**Appendices**

**Appendix IV: Company Registry Database**

The fields below describe the data collected for the Company Registry. The Company Registry is collected directly from SBC applicants through the SBA, online. SBC applicants are expected to register this information before their first application to the program at any participating agency; thereafter, the SBC applicant is required to update this information upon every application. Information in this database is privileged and confidential and not subject to disclosure pursuant to 5 U.S.C. § 552, Freedom of Information Act. The information is only accessible to government personnel. The data will be protected using Point-To-Point Session Encryption. All logins are protected by "https," the industry standard for encryption.

This information is expected to be submitted in conjunction with the data for the Application database. The total estimated burden for both databases will be 1 hour for those applicants that are not owned by a venture capital, hedge fund, or private equity majority backed firm. This time will include reading reporting directions, gathering information, and filling out the online data forms.

SBA estimates that the reporting burden for the collection of the Company Registry and Applicant Information Database will be 5 hours for applicants who must also report ownership information on venture capital, hedge fund, or private equity majority backed firms. This time will include reading reporting directions, gathering information, and filling out the online data forms.

You are not required to respond to this collection of information unless it displays a currently valid OMB control number. (3245-0356). Comments on this burden or other aspects of this collection of information should be submitted to Chief, Administrative Information Branch, 409 Third Street, SW, Washington , DC 20416, and/or SBA Desk Officer, Office of Management and Budget, New Executive Office Bldg., Rm. 10202, Washington, DC 20503. You may also send comments to SBA via email to TechNet@sba.gov

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Company Registry Field name** | **Reporting Mechanism** | **Agency interaction** | **Collection Frequency** | | **Public Data (Y/N)** | | **Advanced**  **(Y/N)** | **New Field**  **(Y/N)** |
| Agency Tracking # | Company reports data to SBA | Receives pdf from Company | Register or reconfirm at time of application | | N | | N | N |
| SBA Firm ID | Company reports data to SBA | Receives pdf from Company | Register or reconfirm at time of application | | N | | N | Y |
| Company URL | Company reports data to SBA | Receives pdf from Company | Register or reconfirm at time of application | | N | | N | Y |
| HQ Address 1 | Company reports data to SBA | Receives pdf from Company | Register or reconfirm at time of application | | N | | N | N |
| HQ Address 2 | Company reports data to SBA | Receives pdf from Company | Register or reconfirm at time of application | | N | | N | N |
| HQ City | Company reports data to SBA | Receives pdf from Company | Register or reconfirm at time of application | | N | | N | N |
| HQ Zip Code | Company reports data to SBA | Receives pdf from Company | Register or reconfirm at time of application | | N | | N | N |
| HQ Zip Code +4 | Company reports data to SBA | Receives pdf from Company | Register or reconfirm at time of application | | N | | N | N |
| HQ State | Company reports data to SBA | Receives pdf from Company | Register or reconfirm at time of application | | N | | N | N |
| Company Name | Company reports data to SBA | Receives pdf from Company | Register or reconfirm at time of application | | N | | N | N |
| Number of Employees | XML or manual upload to Tech-Net | Agency collects data, provides to SBA. Also updated as a part of commercialization information | Register or reconfirm at time of application | | N | | N | N |
| Flag for External Funding | Company reports data to SBA | Receives pdf from Company | Register or reconfirm at time of application | | N | | N | Y |
| Investment Ownership Percentage | Company reports data to SBA | Receives pdf from Company | Register or reconfirm at time of application | | N | | N | Y |
| Majority-Owned by External Funding Firms | Company reports data to SBA | Receives pdf from Company | Register or reconfirm at time of application | | N | | N | Y |
| Affiliate Name | XML or manual upload to Tech-Net | Agency collects data, provides to SBA | | Register or reconfirm at time of application | | N | Y | Y |
| Affiliate Address 1 | XML or manual upload to Tech-Net | Agency collects data, provides to SBA | | Register or reconfirm at time of application | | N | Y | Y |
| Affiliate Address 2 | XML or manual upload to Tech-Net | Agency collects data, provides to SBA | | Register or reconfirm at time of application | | N | Y | Y |
| Affiliate City | XML or manual upload to Tech-Net | Agency collects data, provides to SBA | | Register or reconfirm at time of application | | N | Y | Y |
| Affiliate Zip Code | XML or manual upload to Tech-Net | Agency collects data, provides to SBA | | Register or reconfirm at time of application | | N | Y | Y |
| Affiliate Zip Code + 4 | XML or manual upload to Tech-Net | Agency collects data, provides to SBA | | Register or reconfirm at time of application | | N | Y | Y |
| Affiliate Number of Employees | XML or manual upload to Tech-Net | Agency collects data, provides to SBA | | Register or reconfirm at time of application | | N | Y | Y |
| Additional Funding Type | XML or manual upload to Tech-Net | Agency collects data, provides to SBA | | Register or reconfirm at time of application | | N | N | N |
| Additional Funding Amount | XML or manual upload to Tech-Net | Agency collects data, provides to SBA | | Register or reconfirm at time of application | | N | N | N |
| Investment Type [VC, Hedge, PE] | Company reports data to SBA | Receives pdf from Company | | Register or reconfirm at time of application | | N | N | Y |
| Investment Firm Name | Company reports data to SBA | Receives pdf from Company | | Register or reconfirm at time of application | | N | N | Y |
| Investment Not US-Based | Company reports data to SBA | Receives pdf from Company | | Register or reconfirm at time of application | | N | N | Y |
| Investment Amount | Company reports data to SBA | Receives pdf from Company | | Register or reconfirm at time of application | | N | N | N |

**Appendix V: Application Information Database**

The fields below describe the data collected for the Application Information Database. The Application Information Database is collected directly from SBC applicants through the participating agencies, online and in paper form. SBC applicants are expected to submit this data with every application to any participating agency every time. Agencies in turn provide quarterly updates of application data to SBA. Information in this database is privileged and confidential and not subject to disclosure pursuant to 5 U.S.C. § 552, Freedom of Information Act. The information is only accessible to government personnel. The data will be protected using Point-To-Point Session Encryption. All logins are protected by "https," the industry standard for encryption

This information is expected to be submitted in conjunction with the data for the Company Registry. The total estimated burden for both databases will be 1 hour for those applicants that are not owned by a venture capital, hedge fund, or private equity majority backed firm. This time will include reading reporting directions, gathering information, and filling out the online data forms.

SBA estimates that the reporting burden for the collection of the *Company Registry* and *Applicant Information Database* will be 5 hours for those applicants that must also report ownership information on venture capital, hedge fund, or private equity majority backed firms. This time will include reading reporting directions, gathering information, and filling out the online data forms.

You are not required to respond to this collection of information unless it displays a currently valid OMB control number. (3245-0356). Comments on this burden or other aspects of this collection of information should be submitted to Chief, Administrative Information Branch, 409 Third Street, SW, Washington , DC 20416, and/or SBA Desk Officer, Office of Management and Budget, New Executive Office Bldg., Rm. 10202, Washington, DC 20503. You may also send comments to SBA via email to TechNet@sba.gov

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Application Info Field Name** | **Reporting Mechanism** | | **Agency interaction** | | **Collection Frequency** | | **Public Data (Y/N)** | **Type** | | **Advanced (Y/N)** | | **New Field**  **(Y/N)** |
| Company Name | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N | int(10) unsigned | | N | | N |
| Program [SBIR/STTR] | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N | varchar(4) | | N | | N |
| Agency Tracking # | XML or manual upload to Tech-Net | | Agency creates this number for tracking – not submitted by SBC | | Report at time of application | | N | varchar(50) | | N | | N |
| Agency | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N | int(10) unsigned | | N | | N |
| Solicitation Number | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N | int(10) unsigned | | N | | N |
| Solicitation Topic Number | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N | varchar(20) | | N | | N |
| Contact First Name | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N | varchar(25) | | N | | N |
| Contact Middle Name | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N | varchar(1) | | N | | N |
| Contact Last Name | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N | varchar(35) | | N | | N |
| Contact Title | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N | varchar(40) | | N | | N |
| Contact Phone | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N | varchar(255) | | N | | N |
| Contact Email | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N | varchar(255) | | N | | N |
| EIN # | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N | varchar(255) | | N | | N |
| RI EIN# (STTR only) | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N | varchar(255) | | N | | N |
| Phase Number | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N | int(11) | | N | | N |
| Solicitation Close Date | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N | varchar(20) | | N | | N |
| Solicitation Year | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N | int(11) | | N | | N |
| Company URL | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N | varchar(255) | | N | | N |
| Solicitation Topic | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N | int(10) unsigned | | N | | N |
| Address 1 | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N |  | | N | | N |
| Address 2 | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N |  | | N | | N |
| City | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N |  | | N | | N |
| Zip Code | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N |  | | N | | N |
| Zip Code +4 | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N |  | | N | | N |
| State | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N |  | | N | | N |
| HubZone Certified | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N |  | | N | | N |
| SDB | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N |  | | N | | N |
| Women-Owned | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N |  | | N | | N |
| Women PI | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N |  | | N | | Y |
| Socially and Economically Disadvantaged PI | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N |  | | N | | Y |
| Student/Faculty Owned | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N |  | | N | | Y |
| FAST Assistance | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N |  | | N | | Y |
| Allow EDO's to Have Contact Info | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N |  | | N | | Y |
| Key Individual Percentage of Effort | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N |  | | Y | | Y |
| Project Aims | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N |  | | Y | | Y |
| Abstract | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N |  | | N | | N |
| Key Individual First Name | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N |  | | Y | | Y |
| Key Individual Middle Name | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N |  | | Y | | Y |
| Key Individual Last Name | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N |  | | Y | | Y |
| Key Individual Position/Title | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N |  | | Y | | Y |
| Key Individual Email | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N |  | | Y | | Y |
| Key Individual Phone | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N |  | | Y | | Y |
| Criminally Liable Flag | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N |  | | Y | | Y |
| CL First Name | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N |  | | Y | | Y |
| CL Middle Name | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N |  | | Y | | Y |
| CL Last Name | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N |  | | Y | | Y |
| CL Company Associated | XML or manual upload to Tech-Net | | Agency collects data, provides to SBA | | Report at time of application | | N |  | | Y | | Y |
|  |  | |  | |  | |  |  | |  | |  |
|  | |  | |  | |  | | |  | |  |

**Appendix VII: Commercialization Database**

The fields below describe the data collected for the Commercialization Database. The Commercialization Database is collected directly from SBC applicants through a centralized collection, online.. SBC applicants are expected to register this information after their first application after the receipt of a Phase II award to the program at any participating agency; thereafter, the SBC applicant is required to update this information upon every application and/or update the information annually – whichever period comes first.

Information in this database is privileged and confidential and not subject to disclosure pursuant to 5 U.S.C. § 552, Freedom of Information Act. The information is only accessible to government personnel. The data will be protected using Point-To-Point Session Encryption. All logins are protected by "https," the industry standard for encryption.

The estimated reporting burden for the collection of information in the *Commercialization Database* will be 1.5 hours to read the directions, gather the required information, and to complete the survey each year. You are not required to respond to this collection of information unless it displays a currently valid OMB control number. (3245-0356). Comments on this burden or other aspects of this collection of information should be submitted to Chief, Administrative Information Branch, 409 Third Street, SW, Washington , DC 20416, and/or SBA Desk Officer, Office of Management and Budget, New Executive Office Bldg., Rm. 10202, Washington, DC 20503. You may also send comments to SBA via email to TechNet@sba.gov

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Commercialization Field Name** | **Reporting Mechanism** | **Agency interaction** | **Collection Frequency** | **Public Data (Y/N)** | **Type** | **Advanced (Y/N)** | **New Data Request (Y/N)** |
| **Firm Level Commercialization** | |  |  |  |  |  |  |
| Company Name | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | int(10) unsigned | N | N |
| Agency Tracking # | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | int(10) unsigned | N | N |
| SBA Firm ID | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | int(10) unsigned | N | N |
| IPO | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | YES/NO | N | N |
| IPO Value | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | int(11) | N | N |
| IPO Amount | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | decimal(20,2) | N | N |
| IPO Year | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | int(11) | N | N |
| Merger/Acquired | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | YES/NO | N | N |
| M&A Value | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | decimal(20,2) | N | N |
| M&A Year | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | int(11) | N | N |
| Narrative | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | longtext | N | N |
| Comm Contact First Name | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | varchar(25) | N | Y |
| Comm Contact Middle Name | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | varchar(1) | N | Y |
| Comm Contact Last Name | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | varchar(35) | N | Y |
| Comm Contact Title | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | varchar(50) | N | Y |
| Comm Contact Phone | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | varchar(255) | N | Y |
| Comm Contact Email | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | varchar(255) | N | Y |
|  | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | int(10) unsigned | N | N |
| Sales Amount | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | decimal(20,2) | N | N |
| Investment Amount | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | decimal(20,2) | N | N |
| Patent #'s | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | int(11) | N | Y |
| Number of Patents | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | decimal(10,2) | N | Y |
| Investment Types | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N |  | N | Y |
| Sales Type | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N |  | N | Y |
|  |  |  |  |  |  |  |  |
| **Award Level Commercialization** | |  |  |  |  |  |  |
| Product Launched | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | int(11) | Y | Y |
| Names of Company Established for Product/Commercialization | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | int(11) | Y | Y |
| Sales Amount | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | int(10) unsigned | Y | N |
| Investment Amount | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | int(11) | Y | N |
| Patent #'s | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | longtext | Y | Y |
| Number of Patents | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | int(11) | Y | Y |
| Investment Types | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | int(11) | Y | N |
| Sales Type | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | int(11) | Y | N |
| Phase III Value | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | int(10) unsigned | Y | Y |
| Phase III Launched/Implemented [CRP] | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | int(11) | Y | Y |
| Phase III Narrative [CRP] | Agencies + companies report to Tech-Net | XML or manual upload to Tech-Net | 1) In real time 2) SBC updates prior to subsequent award application | N | int(11) | Y | Y |