Attachment A

MIST Questionnaire



2013 Microbusiness Innovation Science and Technology Survey

Dear Small Business Owner,

You are part of a vital but often unrecognized part of the economy – the small business community – and the National Science Foundation (NSF) wants to hear from you.

NSF is an independent federal agency tasked with examining U.S. competitiveness in science, engineering, technology, and R&D. We are surveying all types of businesses in the U.S. to measure the extent of innovation and research and development (R&D) activities in our nation. This survey focuses on the smallest businesses in the U.S. Your answers will help policymakers address issues such as how small businesses are affected by the rapid changes in our economy and what the smallest businesses are doing to be competitive.

Your responses are confidential under law. See the statement at the bottom of this page for more details.

Contact our contractor toll-free at 888-225-0236 OR by email at <u>MISTsurvey@westat.com</u>.

Thank you for contributing to our study of our nation's smallest businesses.

This information is solicited under the authority of the National Science Foundation Act of 1950, as amended. All information you provide is protected under the **Confidential Information Protection and Statistical** Efficiency Act of 2002; it will be used only for statistical purposes. Any information publicly released (such as statistical summaries) will be in a form that does not personally identify you or your company. Your response is voluntary and failure to provide some or all of the requested information will not in any way adversely affect you or your company. Pursuant to 5 CFR 1320.5(b), an agency may not conduct or sponsor, and a person is not required to respond to an information collection unless it displays a valid OMB control number. The OMB control number for this collection is 3145-0174 (exp. May 31, 2013). Public reporting burden for this collection of information is estimated to average 20 minutes per response, including the time for reviewing instructions. Send comments regarding this burden estimate and any other aspect of this collection of information, including suggestions for reducing this burden, to: Suzanne Plimpton, Reports Clearance Officer, Facilities and Operations Branch, Division of Administrative Services, National Science Foundation, Arlington, VA 22230.

A. OVERALL COMPANY INFORMATION

If you have more than one business, please answer only for the business named above.

- 1. Did your company have any revenues or grants in 2013?
 - Yes -> Go to Question 2.

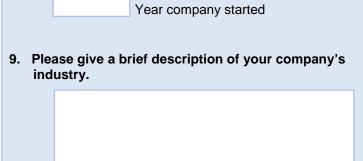
- 2. Did another company own more than 50 percent of your company at any time during 2013?
 - Yes -> Go to Question 47.
 - No → Go to Question 3.
- 3. How important to you are each of the following reasons for owning your company?

		Very important	Somewhat important	Not important
	Wanted to be my own boss			
b.	Flexible hours			
	Opportunity for greater income			
i	Best avenue for m ideas/goods/ services	iy		
(Had to start company to find work			
	Please list any oth owning your own	-		s for

For the pay period including March 12, 2013, how 4. many people worked for your company, including those paid through grants? Include both full-time and part-time workers as well as yourself. Please count each person only once.

	<u>Owners</u>	(Number of people			
a.	Owners who received a W-2 issued by your company for salary or wages	y				
b. Other owners (paid or unpaid)						
	Non-owners					
C.	Employees who received a W-2 issue by your company for salary or wages	ed				
d.	Individuals who received payment in other ways (e.g., contractors/ consultants/ temporary workers who received a 1099 or payment from another company)	[
e.	Unpaid individuals who worked for yo company (e.g., interns, friends, family members)					
the	counting those listed in question 4, following were key people you used isors for your company during the p	as				
		Yes	No			
a.	Scientist or technical expert					
b.	Financial expert or accountant					
	Business expert					
	Marketing expert					
	Individual who offered general					
f.	advice Legal, regulatory, or compliance expert					
g.	Other (specify):					
	your company hire a full-time or par bloyee within the last three years? Yes → Go to Question 7. No → Go to Question 8.	rt-tin	10			
	ase answer the following about your ently hired employee.	mos	st			
		Yes	No			
a.	He/she performs the same tasks we performed before hiring him/her.					
b.	We hired him/her to get skills we otherwise would not have had.					
C.	We hired him/her to take over certain tasks.					

8. What year did your company start? Give the year your company first obtained an EIN (Employer Identification Number) or first filed a tax return, whichever is earlier. Please answer for the firm identified.



B. FINANCIAL INFORMATION

\$

10. What were your company's 2013 revenues, including income from grants? Please round to the nearest one thousand dollars. Your best estimate is fine.

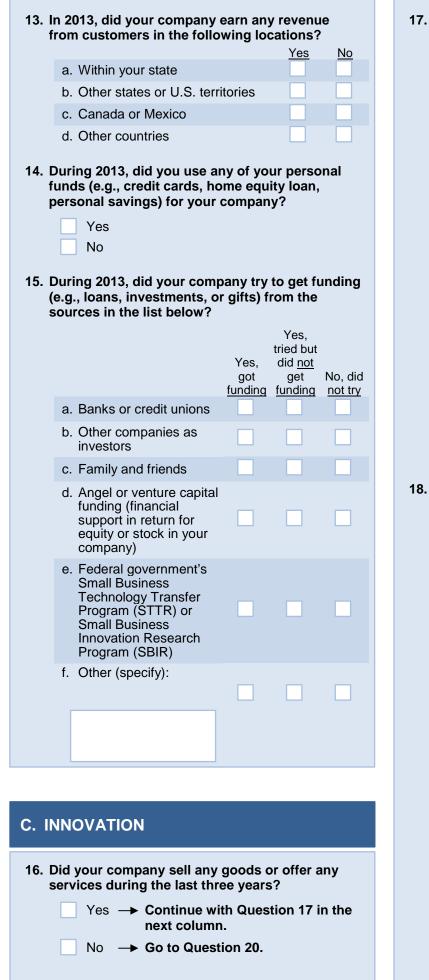
,000 2013 revenues and grants

11. Approximately what share of your company's 2013 revenues and grants came from the following? If none, enter zero; total should equal 100%.

a. Selling <u>goods</u> to customers, including other companies	%
 Selling <u>services</u> to customers, including other companies 	%
c. Income from grants	%
d. Other (specify):	
	%
TOTAL	100%

12. Approximately what percent of your revenues for 2013, excluding grants, were from customers in the United States and its territories? If none, enter zero.

> % Percent of revenues



17. During the last three years, did your company do each of the following regarding the goods or services your company offers? Do not include adaptation or customization of your company's goods or services for a specific client's needs.

Dooc

			Vee	Nia	not
	a.	Offered a new good or service that no company has ever offered before		<u>No</u>	
	b.	Offered a new good or service that your company has never offered before			
	C.	Improved good's performance by making changes in materials, equipment, components, or software			
	d.	Developed a new use for one of your goods or services			
	e.	Added a new feature to one of your goods or services			
	f.	Made it easier for customers to use one of your goods or services (e.g., easier access, more user friendly)			
е	acł	ng the last three years, did y n of the following regarding rices your company offers?			
S	erv	ices your company oners?	Voc	No	Does not
S		Used a new way of purchasing, accounting, computing, maintenance, inventory control, or other support activities	<u>Yes</u>	No	
S	a.	Used a new way of purchasing, accounting, computing, maintenance, inventory control, or other	Yes	<u>No</u>	not
5	a. b.	Used a new way of purchasing, accounting, computing, maintenance, inventory control, or other support activities Reduced costs by changing the way you distribute one	Yes	<u>No</u>	not
s	a. b. c.	Used a new way of purchasing, accounting, computing, maintenance, inventory control, or other support activities Reduced costs by changing the way you distribute one of your goods or services Upgraded techniques, equipment, or software to significantly improve the	Yes	<u>No</u>	not
S	a. b. c.	Used a new way of purchasing, accounting, computing, maintenance, inventory control, or other support activities Reduced costs by changing the way you distribute one of your goods or services Upgraded techniques, equipment, or software to significantly improve the goods or services you offer Made significant improvements in techniques or processes by increasing automation, decreasing energy consumption, or	Yes	No	not

(During the last three years, did you each of the following related to mar		y do	D.	INTE	ELLECT		ERTY			
(a. Made significant changes to the	<u>Yes No</u>	Does not <u>apply</u>	21	you		S. patent app y currently ha	ive pend	ing?	lf no	
	design or packaging of a good or service other than changes that alter how it is used						Number of pa currently per		licatio	ins	
	b. Promoted your company's goods or services in a new way (e.g., the first time use of a new type of advertising, a new brand image, introduction of loyalty cards)			22	Ном	many II G	S. patents do		comp	anv	
	c. Used new ways to sell your company's goods or services (e.g., first time use of franchising or distribution licenses, direct selling, exclusive retailing, new concepts for presentation of your goods or services)	•					Number of p	ter zero.		any	
	d. Used new pricing methods (e.g., first-time use of pricing by demand, discount system)			23	. Plea	r company did					
	e. Created or opened up a new market for your company's goods or services						llowing durin				
	f. Told customers about a new way they can use your company's goods or services				a.	(IP) to oth company	ed intellectual lers not owned through partic al assistance eements	by your	Yes	No	not apply
(During the last three years, did you each of the following related to you organization?	-	Does		b.	owned by through p	IP from others your compan articipation in assistance or eements	у			
	a. Implemented new methods to improve internal processes or deliver goods or services (e.g., introduce supply chain management systems or business re-engineering, lean production and quality	<u>Yes</u> <u>No</u>			C.	agreemer more part each othe subject m	ed in cross-lic nts in which tw ies grant a lice er for the use c atter claimed ne patents own y	o or ense to of the in one or			
	 production and quality management systems) b. Applied new methods or processes to improve workplace organization (e.g., education 				d.	other IP o company use of sof	ree use of pate wned by your (e.g., allowing tware patents rce community	free by the			
	and training systems to improve learning and sharing, implement changes in workplace responsibilities or authority of managers and employees)				e.	patents or	e of open sour r other freely a ned by your co	available			
	c. Started a new way of interacting with other firms or organizations (e.g., alliances, partnerships, outsourcing, subcontracting)										

24. During the last three years, how important were the following for protecting your company's intellectual property? *Mark one for each row.*

operty mark one for each row.	Very <u>important</u>	Moderately important	A little important	Not at all important	Does not <u>apply</u>
a. Utility patents (patents for inventions)					
b. Design patents (patents for appearance)					
c. Trademarks					
d. Copyrights					
e. Trade secrets					
f. Nondisclosure agreements					
g. Other (specify):		_	_	_	

E. SCIENTIFIC AND ENGINEERING RESEARCH AND DEVELOPMENT (R&D)

25. During 2013, did your company do any of the following R&D activities? *Include activities that:*

- Your company performed
- Others paid your company to do
- Your company paid others to do
- a. Conducted work that might lead to a patent
 b. Developed and tested
- prototypes that were derived from scientific research or technical findings
- c. Produced findings that could be published in academic journals or presented at scientific conferences
- d. Applied scientific or technical knowledge in a way that has never been done before
- e. Created new scientific or technical solutions that can be generalized to other situations
- f. Conducted work to discover previously unknown scientific facts, structures, or relationships
- g. Conducted work to extend the understanding of scientific facts, relationships or principles in ways that could be useful to others

26. Did you answer "Yes" to <u>any</u> activities in Question 25?

- Yes -> Continue with Question 27 in the next column.
- No → Go to Question 33.

- 27. What was the total cost in thousands in 2013 for all the R&D activities you answered "Yes" to in Question 25? Your best estimate is fine. *Please include all costs:*
 - Salaries, wages, fringe benefits
 - Equipment, materials, supplies, software
 - Rent, utilities
 - Consultants, contractors

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28. How much of the amount in Question 27 was for purchasing R&D services from others? Your best estimate is fine.

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Costs of R&D services purchased from others

- 29. To calculate the costs of R&D services you performed, please subtract Question 28 from Question 27 and enter the amount here.
 - \$,000 Costs of R&D services you performed
- 30. Of the total R&D amount you reported in Question 29, what percent was for each of the following types of costs?

a. Salaries, wages, and fringe benefits for company's employees	%
b. Equipment	%
c. Software purchases and licenses	%
 d. Other costs (e.g., consultants, contractors, travel, rent) 	%
TOTAL	100%

31. Of the total R&D amount you reported in Question 29, how much was paid for by the following sources?

a. Your company	%
b. Another U.S. company	%
c. U.S. university or college	%
d. U.S. non-profit organization	%
e. U.S. Federal government (including R&D grants)	%
f. U.S. state or local government (not including state universities)	%
g. Other (specify):	
	%
TOTAL	100%

32. How many people worked on the R&D activities you reported in Question 25 for the pay period that included March 12, 2013?

	Number of people
a. Owners	
 Employees who received a W-2 issued by your company for salary or wages 	
c. Other paid workers (e.g., contractors, consultants, temporary workers)	
d. Unpaid workers	
e. Total	

F. YOUR COMPANY STRATEGIES

33. How important is each of the following in how your company seeks a competitive advantage?

	Very important	Moderately important	A little important	Not at all important	Does not <u>apply</u>
a. Your low prices					
b. The quality of your goods/services					
c. Your unique goods/services					
d. The convenience you offer					
e. Your reputation					
f. Other (specify):	_	_			

34. How important is each of the following to your company's strategy?

	Very <u>important</u>	Moderately important	A little important	Not at all important	Does not apply
a. Updating or improving an existing good or service					
 Developing a good or service that will save customers' money 					
 Developing a good or service that will improve current customers' experience 					
d. Having a formal business strategic plan in writing					
e. Partnerships with other businesses					
f. Partnerships with one or more universities					
g. Providing individualized goods or services					

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so. Dur	ring 2013, now important was each of the follow	ing in movin	ig your comp	any forward	17	
		Very <u>important</u>	Moderately important	A little <u>important</u>	Not at all important	Does not <u>apply</u>
a	. Cutting costs enough to make a profit					
b	 Keeping up with demands for your goods or services 					
С	. Finding new customers					
d	I. Keeping current customers					
е	e. Finding people with the right job skills					
f.	Getting access to funds					
g	. Getting access to facilities and equipment					
36. Wh	ere would you like your company to be in five y	ears? Check	k all that app	ly.		
L	Company will have a larger number of employed	es				
	Company will have about the same number of e	employees as	it has current	у		
	Company will be purchased by another compan	y				
	Uncertain					
	Other					

(specify):

G. ABOUT THE OWNER

If your company has more than one owner, answer for the owner with the most responsibility for the direction of the company.

37. Approximately, how many hours each week do you work at this company? Include all hours whether paid or unpaid.

Number of hours

38. Is this the first company you started?

Not applicable: I did not start this company Yes	→ Go to Question 40
No Continue with Question 39.	

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- 39. What is the status of the previous company you started?
 - a. Company is still in business and I still own it
 - b. Company is no longer in business

Yes

<u>No</u>

- c. Company was purchased by another company
- d. Company was purchased by another individual
- e. Other (specify):
- 40. What is the highest level of education you completed?
 - Less than high school
 - High school graduate
 - Some college
 - Bachelor's degree
 - Master's degree
 - Professional degree (e.g., JD, LLB, MD, DDS, DVN)
 - Research doctorate (e.g., PhD, DSc, EdD)
 - Other (specify):

41. What was the major field of study for your highest degree?	H. CONTACT INFORMATION
 Business management/administration Communication Computer science 	47. Please provide the following information for the person we may contact regarding the answers to this survey.
Education (includes research and administration, and teaching)	Name
Engineering Humanities (includes history, foreign	Title
languages and literature, and letters)	
Life sciences (includes agricultural sciences/natural resources, biological/ biomedical sciences and health sciences)	Telephone Extension
Mathematics	
Physical sciences (includes astronomy, atmospheric science and meteorology, chemistry, geological and earth sciences, ocean/marine sciences, and physics)	Fax Extension
Psychology	
Social sciences	E-mail address
Other (specify):	
 42. Are you Hispanic or Latino? Yes No 43. What is your race? Please select one or more. American Indian or Alaska Native Native Hawaiian or other Pacific Islander Asian Black or African-American White 44. Are you male or female? 	48. Enter any comments below.
Male	
Female	
45. Where were you born?	
Inside the U.S.	Thank you for your
Outside the U.S.	participation in this survey.
46. Are you a U.S. citizen?	
Yes	
No	