

## Survey Questions for SBIR

ID #	Logic		Item	Freq.	Response Scale	Variable type/Data entry format	Question Item Source Material	Outputs or Outcomes Addressed
1		Only asked if member of project team.	Are you still involved in this project?		Y/N	Binary	I-Corps Indicators & Monitoring System <sup>2</sup>	N/A (Demographics)
2		Only asked if member of project team <i>and</i> not still involved in project.	Who is the corresponding contact on this project effort right now?		A. Principal Investigator B. Entrepreneurial Lead C. Mentor	Multiple Choice	I-Corps Indicators & Monitoring System <sup>2</sup>	N/A (Demographics)
3		Only asked if member of project team <i>and</i> still involved in project.	Are you continuing in this line of research or project effort?		A. Yes B. No C. I don't know	Multiple choice	I-Corps Indicators & Monitoring System <sup>2</sup>	N/A (Demographics)

4		Only asked if member of project team <i>and</i> project is not active.	(INNOVATION PROJECTS) What was the main reason that you have NOT continued this line of research/project?	<ul style="list-style-type: none"> <li>A. We did not identify a large enough market for our product/technology</li> <li>B. The time to get the technology into market was too great</li> <li>C. We encountered difficulties with our technology itself</li> <li>D. We failed to obtain needed financing/ investment to continue</li> <li>E. Key personnel left company</li> <li>F. Estimated costs too high</li> <li>G. Patent Problems</li> <li>H. Technology obsolete</li> <li>I. Market needs changed</li> <li>J. Costs too high (not competitive in market place)</li> <li>K. Business segment in recession</li> <li>L. Market was not there to being with</li> <li>A. We had problems with intellectual property</li> <li>B. Other (please describe):</li> </ul>	Multiple Answers, with text box to describe "other"	I-Corps Indicators & Monitoring System <sup>2</sup> ; SBIR Common Questions	Immediate Outcome: Evaluation of commercial potential
5		Only asked if member of project team <i>and</i> project is not active.	(RESEARCH PROJECTS) What was the main reason this project ended?	<ul style="list-style-type: none"> <li>C. The research achieved the discoveries proposed, and no further avenues arising from these discoveries merited a new proposal.</li> <li>D. The research did not achieve the proposed discoveries due to technical or logistical obstacles.</li> <li>E. We encountered difficulties with our research design itself</li> </ul>	Multiple Answers, with text box to describe "other"	I-Corps Indicators & Monitoring System <sup>2</sup> ; SBIR Common Questions	Immediate Outcome: Evaluation of commercial potential

					F. We failed to obtain further funding to continue G. Other research directions have since been given higher priority H. Other (please describe):			
6	Job Creation	Only asked if company has been incorporated	Not counting owner(s), as of participation in the NSF-funded project, how many people worked for [NAME BUSINESS] <b>at the time of the SBIR Phase II award?</b>	First response	Full time employees*** Part time employees  *** Full time: working 35 hours or more per week. Please <b>exclude</b> contract workers who work for the business either full- or part-time but are not on the business' official payroll.	Numerical: open	Kauffman Firm Survey <sup>3</sup> ; I-Corps Indicators & Monitoring System <sup>2</sup>	Long Term Outcome: Job creation
7	Job Creation	Only asked if company has been incorporated	Not counting owner(s), as of participation in the NSF-funded project, how many people <b>currently work for</b> [NAME BUSINESS]?	Annual	Full time employees*** Part time employees  *** Full time: working 35 hours or more per week. Please <b>exclude</b> contract workers who work for the business either full- or part-time but are not on the business' official payroll.	Numerical: open	Kauffman Firm Survey <sup>3</sup> ; I-Corps Indicators & Monitoring System <sup>2</sup>	Long Term Outcome: Job creation
8	Job Creation	Only asked if company has been incorporated	Not counting owner(s), as of participation in the NSF-funded project, how many people <b>have worked for</b> [NAME BUSINESS]?	Annual	Full time employees*** Part time employees  *** Full time: working 35 hours or more per week. Please <b>exclude</b> contract workers who work for the business either full- or part-time but are not on the business' official payroll.	Numerical: open	Kauffman Firm Survey <sup>3</sup> ; I-Corps Indicators & Monitoring System <sup>2</sup>	Long Term Outcome: Job creation
9	Business Activities	Only asked if	Which of the following partnership activities		<ul style="list-style-type: none"> <li>Grantee is acquired by partner company</li> </ul>	Multiple answer	SBIR Common Questions	Intermediate Outcome:

	s/Commercialization	company has been incorporated	has your company engaged in?	<ul style="list-style-type: none"> <li>• Grantee acquires partner company</li> <li>• Grantee acquires Intellectual property from partner company</li> <li>• Grantee's IP is acquired</li> <li>• Grantee in-licenses from partner company</li> <li>• Grantee out-licenses to partner company</li> <li>• Grantee enters into a Research &amp; Development Agreement with partner company</li> <li>• Grantee makes an Equity Investment in partner company</li> <li>• Grantee receives and Equity Investment from partner company</li> <li>• Grantee receives a Grant or Award from partner company</li> <li>• Grantee or Grantee's Customer enters into a Distribution Agreement with partner company</li> <li>• Grantee enters into a Joint Venture with partner company</li> <li>• Grantee receives a Phase IIB supplement based on partner company's investment</li> <li>• Grantee receives a TECP supplement based on partner company's commercial interest</li> <li>• Other</li> </ul>	matrix: for any selected response, responders then see drop down menus for "activity status": (Complete, First Contact, or Discussion) and a structured text box for \$ amount where appropriate		Partnerships are developed outside academia
--	---------------------	-------------------------------	------------------------------	---	--	--	---

10	Addition al Resourc es	For commerc ialization projects	Have you/the grantee (company) participated in an IIP Commercialization Assistance Program?		A. NO B. YES • Dawnbreaker • TECP • IA • Other	Binary: y/n with drop down selection options if YES	SBIR Common Questions	Long Term Outcome: Development of new businesses and companies
11	Translati on of research findings	For GOALI and other industry partners hip awards	Did your industrial partner incorporate any of your research findings in to their practices/manufacturin g/business model?		A. Yes B. No	Binary: y/n	SBIR Common Questions	Intermediate Outcome: Partnerships are developed outside academia
12	Outputs : Commer cializati on		Please list any companies that have demonstrated interest in partnership activities related to your NSF- funded research. What is the nature of the interest?		A. Continued Conversations B. Monetary Commitment C. Contractual Agreement D. Other (please describe)	Structured text box , with multiple answer matrix for nature of interest	SBIR Common Questions	Intermediate Outcome: Partnerships are developed outside academia
13	Outputs : Commer cializati on		Please list the Commercialization Grade. Defined below: A. Products/processes/s ervices based on the grant effort are in use by the target consumer population. (e.g., for SBIR, minimum cumulative criteria are \$1M at the 8 <sup>th</sup>			Multiple choice	SBIR Common Questions	Long Term Outcome: Products, services or processes are produced and commercial markets are established

			<p>anniversary of the award, \$0.5M at the 5<sup>th</sup> anniversary, and \$25K at the 3<sup>rd</sup> anniversary).</p> <p>B. Commercialization is underway and significant (not just sample sales), product income is starting to flow.</p> <p>C. Commercialization/D development efforts continue, but significant sales of licensing revenues have not resulted yet (do not count grants or investments). Roughly 20% of these “works in progress” will eventually become successful projects.</p>					
14	Outputs : Licensing	This question may be asked even if no company has been incorporated.	Please enter information about your patent’s position.		<p>Patent position:</p> <ul style="list-style-type: none"> <li>• Strong</li> <li>• Primarily Trade Secret</li> <li>• Key patents/Patent Applications from Academic partners</li> <li>• Appears to be infringing prior art</li> </ul>	Multiple choice	SBIR Common Questions	Intermediate Outcome: IP is licensed or acquired

15	Outputs : Licensing		Please enter information about your patent's original source.		A. Internal (within our company) B. External (choose organization type): • Academic • For Profit • Government • Investor • Not for Profit	Binary: internal/external with drop down menu to select description of external	SBIR Common Questions	Intermediate Outcome: IP is licensed or acquired
16	Outputs : Product /Service /Process (PSP)		Is your company's output a product, service or process? (Please describe.)	First response only	A. Product B. Service C. Process	Multiple answer with structured text box entry to describe	SBIR Common Questions	Outputs: Grantee description of outputs
17	Outputs : Product /Service /Process (PSP)		In what year did you record your first sales?	First response only		Structured numerical text box or drop down with 4-digit year	SBIR Common Questions	Long Term Outcome: Development of new businesses and companies
18	Outputs : Product /Service /Process (PSP)		What are your <b>PSP sales</b> (in US dollars) for the last 12 months?			Structured numerical text box	SBIR Common Questions	Long Term Outcome: Development of new businesses and companies
19	Outputs : Product /Service /Process (PSP)		What are your <b>PSP sales</b> (in US dollars) since commercialization of your PSP?			Structured numerical text box	SBIR Common Questions	Long Term Outcome: Development of new businesses and companies
20	Outputs :		What are your corporation's <b>total sales</b>			Structured numerical text	SBIR Common Questions	Long Term Outcome:

	Product /Service /Process (PSP)		(in US dollars) for the last 12 months/at the time of your SBIR Phase II award?			box		Development of new businesses and companies									
21	Economic Impacts		Please estimate the amount of total sales and licensing revenues from the products, services, or processes, as well as the % of each derived from NSF-funded project(s).	Annual	Matrix: <table border="1" style="margin-left: 20px;"> <tr> <td></td> <td>Total</td> <td>% from NSF project(s)</td> </tr> <tr> <td>licensing</td> <td></td> <td></td> </tr> <tr> <td>sales</td> <td></td> <td></td> </tr> </table>		Total	% from NSF project(s)	licensing			sales			Numerical Matrix: open	SBIR Common Questions	Long Term Outcome: Development of new businesses and companies
	Total	% from NSF project(s)															
licensing																	
sales																	
22	Outputs : Commercialization		Please list any companies that have demonstrated interest in partnership activities related to your NSF-funded research. What is the nature of the interest?		A. Continued Conversations B. Monetary Commitment C. Contractual Agreement D. Other (please describe)	Structured text box , with multiple answer matrix for nature of interest	SBIR Common Questions	Intermediate Outcome: Partnerships are developed outside academia									
23	Outputs : Licensing	Only asked if company has been incorporated	How many of the following does [NAME BUSINESS] have? Enter zero if none.			Numerical: open for each option <ul style="list-style-type: none"> <li>• Inventions Disclosed</li> <li>• Licensing Agreements</li> <li>• Patent</li> </ul>	Kauffman Firm Survey <sup>3</sup> ; I-Corps Indicators & Monitoring System <sup>2</sup>	Intermediate Outcome: IP is licensed or acquired									

						<ul style="list-style-type: none"> <li>• Applications</li> <li>• Patents Granted</li> <li>• Patents in Use</li> <li>• Inventions Producing Royalties</li> <li>• Software Copyrights</li> <li>• Company Trademarks</li> <li>• Non-disclosure Agreements (NDA)</li> <li>• Materials Transfer Agreements (MTA)</li> </ul>		
24	New Research Directions	If above=NO	Primary concern related to market/commercialization efforts:		<ol style="list-style-type: none"> <li>1) Technical Failure or Difficulty <ol style="list-style-type: none"> <li>a) Key personnel left company</li> <li>b) Estimated costs too high</li> <li>c) Ran out of money or other resources</li> <li>d) Patent problems</li> <li>e) Technology obsolete</li> </ol> </li> <li>2) Market Demand Difficulty <ol style="list-style-type: none"> <li>a) Market needs change</li> <li>b) Costs too high (not cost competitive in market place)</li> <li>c) Business segment in recession</li> </ol> </li> </ol>	May choose option A or B ONLY; then any of the subheadings under that option	SBIR Common Questions; PFI:AIR Indicators & Logic Model	Immediate Outcome: Evaluation of commercial potential

					d) Market was not there to begin with			
25	Technology Development		Are there any products, services, or processes in the market, market ready, or awaiting regulatory approval whose commercialization you can attribute (to some degree) to your participation in the NSF-funded project?	Annual		Binary: Y/N	SBIR Common Questions; PFI:BIC Logic Model & Indicators <sup>4</sup> ; PFI:AIR Logic Model & Indicators; I-Corps Indicators & Monitoring System <sup>2</sup>	Long Term Outcome: Products, services or processes are produced
26	Technology Development	Only asked if commercialization can be attributed to the NSF-funded project	[If yes] Please enter the following information about products, services, or processes	Annual	Multiple textboxes – for each row: Describe Product Status Number of units sold (if any) Amount of sales in last fiscal year Amount of sales since commercialization	Multiple textboxes – for each row:	SBIR Common Questions	Long Term Outcome: Products, services or processes are produced
27	Technology Development		Did the original technology and NSF-funded project result in spin-offs or new ideas or products?		a. Spin-off company b. New product idea(s)	Binary: Y/N:	SBIR Common Questions	Long Term Outcome: Development of new companies or products

[1] NSF Engineering, "GARDE Satisfaction Survey." 31-Jul-2013. OMB Control No: 3145-0157

- [2] NCIIA, "I-Corps Indicators & Monitoring System." 23-Oct-2013.
- [3] "Kauffman Firm Survey - Annotated Questionnaire." Ewing Marion Kauffman Foundation.
- [4] NSF Engineering, "PFI:BIC Logic Model & Indicators." 26-Jul-2013.