

APPLICABLE SBIR/STTR POLICY DIRECTIVE 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 TechNet. 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 to be submitted in conjunction with the data for the Application database. The total estimated burden for both databases is 1 hour for those applicants that are not owned by a venture capital, hedge fund, or private equity majority backed firm. This time includes 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 is 5 hours for applicants who must also report ownership information on venture capital, hedge fund, or private equity majority backed firms. This time includes 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

Collection Frequency: Small Businesses Register or Reconfirm at Time of Application

Public Data (Y/N): No

Company Registry Field Name	Reporting Mechanism	Agency interaction
Agency Tracking #	Company reports data to SBA	Receives pdf from Company
SBA Firm ID	Company reports data to SBA	Receives pdf from Company
Company URL	Company reports data to SBA	Receives pdf from Company
HQ Address 1	Company reports data to SBA	Receives pdf from Company
HQ Address 2	Company reports data to SBA	Receives pdf from Company
HQ City	Company reports data to SBA	Receives pdf from Company
HQ Zip Code	Company reports data to SBA	Receives pdf from Company
HQ Zip Code +4	Company reports data to SBA	Receives pdf from Company
HQ State	Company reports data to SBA	Receives pdf from Company
Company Name	Company reports data to SBA	Receives pdf from Company
Number of Employees	XML or manual upload to Tech-Net	Agency collects data, provides to SBA. Also updated as a part of

Flag for External Funding	Company reports data to SBA	commercialization information
Investment Ownership Percentage	Company reports data to SBA	Receives pdf from Company
Majority-Owned by External Funding Firms	Company reports data to SBA	Receives pdf from Company
Affiliate Name	XML or manual upload to Tech-Net	Agency collects data, provides to SBA
Affiliate Address 1	XML or manual upload to Tech-Net	Agency collects data, provides to SBA
Affiliate Address 2	XML or manual upload to Tech-Net	Agency collects data, provides to SBA
Affiliate City	XML or manual upload to Tech-Net	Agency collects data, provides to SBA
Affiliate Zip Code	XML or manual upload to Tech-Net	Agency collects data, provides to SBA
Affiliate Zip Code + 4	XML or manual upload to Tech-Net	Agency collects data, provides to SBA
Affiliate Number of Employees	XML or manual upload to Tech-Net	Agency collects data, provides to SBA
Additional Funding Type	XML or manual upload to Tech-Net	Agency collects data, provides to SBA
Additional Funding Amount	XML or manual upload to Tech-Net	Agency collects data, provides to SBA
Investment Type [VC, Hedge, PE]	Company reports data to SBA	Receives pdf from Company
Investment Firm Name	Company reports data to SBA	Receives pdf from Company
Investment Not US-Based	Company reports data to SBA	Receives pdf from Company
Investment Amount	Company reports data to SBA	Receives pdf from Company

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 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 submitted in conjunction with the data for the Company Registry. The total estimated burden for both databases is 1 hour for those applicants that are not owned by a venture capital, hedge fund, or private equity majority backed firm. This time includes 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* is 5 hours for those applicants that must also report ownership information on venture capital, hedge fund, or private equity majority backed firms. This time includes 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

Reporting Mechanism: XML or manual upload to TechNet

Agency interaction: Agency collects data, provides to SBA

(Exception: *Agency Tracking #*: Agency creates this number for tracking – not submitted by SBC)

Collection Frequency: Quarterly

Public Data (Yes/No): No

Application Info Field Name	Type (integer/variable character)
Company Name	int(50) unsigned
Program [SBIR/STTR]	varchar(4)
Agency Tracking #	varchar(60)
SBA Firm ID	int(10) unsigned
Agency	int(4) unsigned
Solicitation Number	int(20) unsigned
Solicitation Topic Number	varchar(15)
Contact First Name	varchar(50)
Contact Middle Name	varchar(1)
Contact Last Name	varchar(50)

Contact Title	varchar(40)
Contact Phone	varchar(14)
Contact Email	varchar(150)
Phase Number	int(1)
Solicitation Close Date	varchar(10)
Solicitation Year	int(4)
Company URL	varchar(255)
Solicitation Topic	int(10) unsigned
Address 1	varchar(80)
Address 2	varchar(80)
City	varchar(40)
Zip Code	int(5)
Zip Code +4	int(4)
State	varchar(2)
HubZone Certified	varchar(1)
SDB	varchar(1)
Women-Owned	varchar(1)
Women PI	varchar(1)
Socially and Economically Disadvantaged PI	varchar(1)
Student/Faculty Owned	varchar(1)
FAST Assistance	varchar(1)
Allow EDO's to Have Contact Info	varchar(1)
Agency Contact First Name	varchar(50)
Agency Contact Middle Name	varchar(1)
Agency Contact Last Name	varchar(50)
Agency Contact Title	varchar(50)
Agency Contact Phone #	varchar(14)
Agency Contact Email	varchar(50)
Key Individual Percentage of Effort	int(3)
Project Aims Abstract	varchar(unlimited)

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 TechNet. 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* is 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

Reporting Mechanism: XML or manual upload to TechNetAgency interaction: Agencies and companies report to TechNet

Collection Frequency: (1) In real time; (2) SBC updates prior to subsequent award application

Commercialization Field Name	Type (Integer/Decimal Variable Character)	Justification for New Field¹
<u>Firm Level Commercialization:</u>		
Company Name	int(10) unsigned	
Agency Tracking#	int(10) unsigned	
SBA Firm ID	int (10) unsigned	
IPO	varchar(1)	
IPO Value	int(11)	
Merger/Acquired	varchar(1)	
Spinoff	varchar(1)	Policy Directive
Narrative	varchar(4000)	
Comm Contact First Name	varchar(50)	
Comm Contact Middle Name	varchar (1)	
Comm Contact Last Name	varchar(50)	
Comm Contact Title	varchar(50)	
Comm Contact Phone	varchar(14)	
Comm Contact Email	varchar(50)	
Sales Amount	decimal (20,2)	
Investment Amount	decimal (20,2)	
Patent#'s	varchar(4000)	
Number of Patents	int(50)	
Investment Types		

Sales Type
Copyrights

Federal government
commercialization metric

Award Level Commercialization

Product Launched	varchar(1)	
Names of Company Established for Product/Commercialization	varchar(50)	
Sales Amount	decimal(20,2)	
Investment Amount	decimal(20,2)	
Investment Type	int(11)	Policy Directive
Sales Type	int(11)	Policy Directive
Phase III Value	decimal(20,2)	
Phase III Launched/Implemented (CRP)	varchar(1)	Policy Directive
Phase III Narrative (CRP)	varchar(4000)	Policy Directive

[¹ Highlighted fields are new and will be added to the database]