Year X Cluster Administrator Survey:

Dear Cluster Administrators,

Thank you for taking the time to assist in the data-collection process for the Small Business Administration's Regional Innovation Clusters initiative. We greatly appreciate your help!

Below are some brief but important general instructions about how to complete this spreadsheet. Please review them before starting.

Cluster Administrator Survey Instructions:

> The cluster administrator survey contains five parts, each located on one of the five worksheets after the Instructions worksheet you are currently reading.

> Each part has its own set of instructions located at the top of the worksheet under the worksheet title. Please take the time to read these instructions, as they contain important information about how to accurately complete the associated worksheet.

> For each worksheet, **please start each row by completing the leftmost column** (e.g., small business name, event name, etc.). Once the leftmost cell of the row is completed, you will notice that the content of some of the cells to the right of it have changed. We built this automation to facilitate your entry and to ensure that you only complete what is necessary.

> A glossary of terms is provided on the last worksheet to the right to help you clarify any term that isn't clear.

If you have any questions about this document or how to complete it, please call Optimal Solutions Group toll-free at **1-800-970-2487**.

To return this spreadsheet to Optimal, simply save it in an easily accessible location that you will remember, and send it as an attachment to clusters@optimalsolutionsgroup.com.

Large Organization Roster

Please provide a roster of large organizations (e.g., large businesses, universities and research institutions, business associations, public sector agencies, foundations and other nonprofit institutions) that have participated in the cluster between October 1, 20XX and September 30, 20XX+1.

If a large organization participating in the cluster changed name during the Regional Innovation Clusters initiative, please enter it only once using its new name and **bold** the name.

Large organization's name	Point of Contact - First Name	Point of Contact - Last Name	Email Address of Point of Contact
Organization A	Enter First Name	Enter Last Name	Enter Email Address
Organization B	Enter First Name	Enter Last Name	Enter Email Address
Drganization C	Enter First Name	Enter Last Name	Enter Email Address
Drganization D	Enter First Name	Enter Last Name	Enter Email Address
Drganization E	Enter First Name	Enter Last Name	Enter Email Address

	Small Business Roster		
	Please provide a roster of small businesses that have participated in the cluster at any time between October 1, 20XX, and September 30, 2 that (i) has either gone through the cluster intake/screening process and has become a cluster member or operates/is purposefully seeking to a any service funded via the SBA's Regional Innovation Clusters initiative between October 1, 20XX and If a small business in the roster changed its name during the duration of the Regional Innovation Clusters initiative, please enter in <i>Clarification and definitions for each column can be obtained by clicking the column</i>		
Small business's name	Point of Contact - First Name	Point of Contact - Last Name	Email Address of Point of Contact
Α	В	С	D
Business A	Enter First Name	Enter Last Name	Enter Email address
Business B	Enter First Name	Enter Last Name	Enter Email address
Business C	Enter First Name	Enter Last Name	Enter Email address
Business D	Enter First Name	Enter Last Name	Enter Email address
Business E	Enter First Name	Enter Last Name	Enter Email address
Business F	Enter First Name	Enter Last Name	Enter Email address
Business G	Enter First Name	Enter Last Name	Enter Email address
Business H	Enter First Name	Enter Last Name	Enter Email address

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XX+1. A small business cluster participant is defined as one erate in the cluster's industry of focus, AND (ii) has received **September 30, 20XX+1**.

For each small business in the roster please provide the following information for the period between **October 1, 2** 20XX+1.

only once using its new name and **bold** the name.

Clarification and definitions for each column can be obtained by clicking the column's he

header.

Business Address	Was the small business an active participant?	Month and year of first cluster participation	Did the small business have any employees as of 9/30/20XX+1 ?	Did the small business withdraw from the cluster as of 9/30/20XX+1 ?	Month and year of small business withdrawal from cluster	Reason for small business withdrawal
E	F	G	Н	I	J	K
Enter address	Select from list	Enter date	Select from list	Select from list		
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	One-on-one counseling/techni				
20XX, and September 30, ader.	For each <u>active</u> small business participant in the cluster, please provide the following ind				
If you selected "Other" in column K, please explain	Estimated number of hours spent on one- on-one counseling/technical assistance between 10/1/20XX and 9/30/20XX+1	Primary mode of one-on-one counseling/technical assistance	If you selected "Other" in column N, please explain		
L	М	N	0		

cal assistance services to small business

formation on One-on-one counseling and technical assistance services for the period between **October 1, 20XX, and September 30, 20XX+1.**

finitions for each column can be obtained by clicking the column's header.

Primary area of focus	Secondary area of focus	Tertiary area of focus	If you selected "Other" in column P, Q, or R, please explain
Р	Q	R	S

			Group events/activ	vities offered by the cluster				
		In the table below, please list all group events/activities organized or sponsored by the cluster between October 1, 20XX, and September 30, 20XX+1 , u Please note that matchmaking and showcasing opportunities can involve a single small business as we If an event (e.g., conference, symposium) involves multiple activity types, please reenter the event's name with the other activity type(s) in the rows below component of the event.						
			Clarification and defi	initions for each column can be obt	ained by clicking the column's hea			
Group event/activity name	Group event/activity type	Year and quarter during which group event/activity was held	Primary area of focus	Secondary area of focus	Tertiary area of focus			
Α	В	С	D	Е	F			
Event A	Select from list	Select from list						
Event B	Select from list	Select from list						
Event C	Select from list	Select from list						
Event D	Select from list	Select from list						
Event E	Select from list	Select from list						
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sing SBA funds from the Regional Innovation Clusters initiative. ll as several.

and, when available, provide the number of participants for each

der.

If you selected "Other" in column D, E, or F, please explain	Number of small business cluster participants that attended the group event/activity	Number of large businesses that attended the group event/activity	Number of public sector agencies that attended the group event/activity	Number of universities and research institutions that attended the group event/activity	Number of foundation and other nonprofit organizations that attended the group event/activity	Number of business associations that attended the group event/activity
G	Н	I	J	К	L	М
	Enter number	Enter number	Enter number	Enter number	Enter number	Enter number
	Enter number	Enter number	Enter number	Enter number	Enter number	Enter number
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		Financing and con	tract awards received b	y cluster small busines	ises		
	Financing and contract awards received by cluster small businesses Financing and contract awards received by cluster small businesses In the table below, please provide information on contracts/subcontracts, loans, private equity, grants, and SBIR/STTR awards for all active small business cluster participants that reported such awards. Please only include awards that were awarded between October 1, 20XX, and September 30, 20XX+1. Clarification and definitions for each column can be obtained by clicking the column's header.						
Small business name	Award type	Month and year of award	Total dollar amount	Share of total award to small business	Expected contract duration (years)	Influence of cluster on award	
Α	В	С	D	E	F	G	
Business A	Select from list	Enter date	Enter amount	Enter percentage	N/A	Select from list	
Business A	Select from list	Enter date	Enter amount	Enter percentage	N/A	Select from list	
Business B	Select from list	Enter date	Enter amount	Enter percentage	N/A	Select from list	
Business C	Select from list	Enter date	Enter amount	Enter percentage	N/A	Select from list	
Business D	Select from list	Enter date	Enter amount	Enter percentage	N/A	Select from list	

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1) Number of non-small business cluster participants		
In the table below, please indicate the number of non-small business entities of each type that participated in your cluster between October 1, 20XX, and September 30, 20XX+1. Click on a "Participant type" cell to obtain a definition of that participant type.		
<u>Participant type</u>	Number of entities	
Large businesses		
Business associations		
Universities or research institutions		
Public sector agencies		
Foundations and other nonprofit organizations		

2) Estimated use of SBA funds		
 Please estimate the percentage of your cluster's SBA funding that was used between October 1, 20XX, and September 30, 20XX+1, toward: The total of 1) and 2) below must add up to 100%. To help you check, please see the sum displayed in cell H12. 		
1)	direct provision of services to cluster participants (e.g., training/workshop events, showcasing opportunities, matchmaking opportunities, other group events/activities, one-on-one counseling/technical assistance, newsletters, virtual collaboration platform development/management):	
	other activities that did not include interaction with cluster participants (e.g., cluster management, cluster promotion, and strategic planning):	
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3) Estimated use of cluster time by activity type		
Please estimate the percentage of time that your cluster has dedicated to providing, organizing, and/or		

Please estimate the percentage of time that your cluster has dedicated to providing, organizing, and/or performing each of the following seven categories of activities between **October 1, 20XX, and September 30, 20XX+1.**

Please make sure these individual percentages add up to 100% (see sum in cell H17 to make sure once the question has been fully answered) and enter 0% instead of leaving an entry blank if the cluster did not dedicate any time to providing an activity:

a)	One-on-one counseling/technical assistance of small businesses:		
b)	Group events/activities:		
	i) Training and workshops:		
	ii) Networking events:		
	iii) Matchmaking opportunities (e.g., small business referrals, teaming/matchmaking events, teaming facilitation and support):		
	 iv) Showcasing opportunities (e.g., technology and prototype demonstrations to third parties individually or at events, trade exhibitions): 		
c)	Information dissemination (e.g., newsletters, posting of industry-relevant reports and presentations, creation and operation of industry-relevant database and virtual collaboration platforms):		
d)	Cluster management, including strategic planning, cluster promotion:		
e)	Other (please explain below):		

Total percentage for question 0%

Total percentage for question 0%

Cluster Administrator Survey Glossary

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Active cluster participant:	A small business that meets the definition of a "small business cluster participant" (see entry below) AND has specifically received 1) one-on-one counseling/technical assistance OR 2) attended a cluster training/networking/matchmaking/showcase opportunity at least once during the period between October 1, 20XX, and September 30, 20XX+1.
Business association:	An organization created for the purpose of representing and furthering the business interests of its members. These organizations can take various forms, such as a trade association that represents a specific industry or a chamber of commerce that represents the businesses within a defined geographic area.
<u>Business development:</u>	The process and related tasks concerned with the preliminary analysis of potential growth opportunities as well as the support and monitoring of the ongoing implementation of growth opportunities. Examples include identifying new reasons why potential customers and partners may engage the small business, identifying new sales channels and customers, and identifying relationships that may be mutually revenue producing for the small business and its clients/partners.
<u>Cluster withdrawal:</u>	A cluster participant withdraws from the cluster if it (i) formally rescinded its engagement with the cluster; (ii) is known to have gone out of business, relocated outside the cluster's area, or changed its name (in which case, if the new small business is still a cluster participant, it should be listed on the cluster roster of the cluster); OR (iii) has not been in contact with the cluster since 3/31/20XX+1.
<u>Contract/subcontract:</u>	A legal document signed by all parties of a sales transaction that defines the parameters of that transaction (e.g., number of units, price per unit, duration of the performance). In the context of this spreadsheet, the contract/subcontract category includes all contracts and subcontracts for the sale of goods and services, including purchase orders and blanket orders received from buyers.
<u>Group event/activity:</u>	An event/activity hosted by the cluster, individually or in collaboration with other organizations, whereby cluster participants discuss topics or issues relevant to the cluster's industry of focus, showcase their products or services, or network with program sponsors, large businesses, and contractors. Various types of group events/actitives include trainings/workshops, networking opportunities, showcasing opportunities, and matchmaking opportunities.
One-on-one counseling/technical assistance:	An activity defined as the provision of one-on-one assistance and guidance related to starting or growing a business, including but not limited to general business consulting, technical assistance, business development, and guidance related to resolving specific business issues.
First cluster participation date:	Either (i) the date on which the small business became a cluster member if the cluster has a membership or intake process, OR (ii) the date on which the small business first received one-on-one counseling/technical assistance, attended a networking/training/showcase opportunity, or was included in the cluster newsletter mailing list, if the cluster does not have a membership or intake process.
Large business:	Any company that did not qualify as a small business (see "small business" definition in this glossary), based on SBA's standards.
Large organization:	This broad category of cluster participants include large businesses (those too large to meet the criteria for small businesses established by SBA) as well as supporting institutions (e.g., universities and research institutions, business associations, public sector agencies, foundations and other nonprofit institutions).

Matchmaking opportunity:	An event/activity facilitated by the cluster, either alone or in collaboration with other organizations, whereby cluster participant(s) meet with large businesses and prime contractors or among themselves around contracting and award opportunities in a particular technology area selected by the cluster with the explicit intention of creating competitive teams able to respond to these opportunities. These events/activities can involve multiple small businesses or a single one. Examples include small business referral, teaming/matchmaking events, and teaming facilitation and support.
Networking event:	An event facilitated by the cluster, either alone or in collaboration with other organizations, whereby cluster members meet with program sponsors, large businesses, prime contractors, and other potential end users or providers to end users of the small business product or service.
Nonprofit organization:	An organization that uses funds earned or donated to help achieve its goals. Any earnings beyond the costs of doing business must be retained by the organization for future programs and activities. Most nonprofits are incorporated under Section 501(c) of the Internal Revenue Code.
Public sector agency:	Any organization responsible for the oversight and administration of specific government functions. Such an organization may be part of the federal, state, or local government. Examples of public sector agencies are federal agencies, such as the SBA, public corporations, and county and city boards.
<u>SBIR/STTR:</u>	Small Business Innovation Research/Small Business Technology Transfer, U.S. government grant programs coordinated by the SBA designed to encourage and support technological innovation, meet the research and development needs of the federal government, and promote commercialization of federally funded technologies.
Showcase opportunities:	An event/activity facilitated by the cluster, individually or in collaboration with other organizations, whereby cluster participant(s) showcase (i.e., display, demonstrate, market) technology products or services to potential customers, including prime and subprime contractors. Examples of showcase opportunities include technology and prototype demonstrations to third parties individually or at events and trade exhibitions. These events/activites can involve multiple small businesses or a single one.
<u>Small business:</u>	The SBA defines a small business as one that is independently owned and operated, is organized for profit, and is not dominant in its field. Depending on the industry, size standard eligibility is based on the average number of employees for the preceding 12 months or on sales volume averaged over a 3-year period. Examples of SBA general size standards include the following: (i) <u>Manufacturing</u> : For most manufacturing industries, the maximum number of employees must be below 500, but small businesses in certain manufacturing industries may have up to 1,500 employees; (ii) <u>Services</u> : For most professional services, annual receipts may not exceed \$7 million, but there are exceptions for certain industries reaching up to \$33.5 million; (iii) <u>Retailing</u> : Annual receipts may not exceed \$7.0 to \$35.5 million, depending on the particular category of product being provided; (iv) <u>General and heavy construction</u> : General construction annual receipts may not exceed \$33.5 million; (v) <u>Special trade construction</u> : Annual receipts may not exceed \$14 million; and (vi) <u>Agriculture</u> : Annual receipts may not exceed \$0.75 to \$12.5 million, depending on the category of agricultural product. More information can be found on the SBA website: http://www.sba.gov/sites/default/files/Size_Standards_Table.pdf.

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Small business cluster participant:	A small business that (i) has either gone through the cluster intake/screening process and has become a cluster member or operates/is actively seeking to operate in the cluster's industry of focus AND (ii) has received any service funded via the SBA's Regional Innovation Clusters grant between October 1, 20XX and September 30, 20XX+1.
<u>Training/workshop:</u>	An activity defined as conducting a group session or workshop on one or more topics of interest to small businesses that are cluster participants.