

## SBIR Baseline Monitoring Survey

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 3145-0238. Public reporting burden for this collection of information is estimated to average 80 to 120 minutes per response, including the time for reviewing instructions (average of 60 minutes for section 2 and 20 minutes per founder for section 3). 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, Office of the General Counsel, National Science Foundation, 2415 Eisenhower Ave., Alexandria, VA 22314.

### Survey Overview

This survey collects information on the founder(s), lineages, business structures, R&D activities, and demographics of your company during the FY 20XX. The survey is divided into 3 sections. Each section asks questions about different aspects of your company. Due to the specialized nature of each section, it might require collaboration with other persons in your company.

### Section 1. Contact Information

#### 1-1. Who is the survey coordinator?

The survey coordinator is the person at your company responsible for gathering all requested information, ensuring instructions are followed, and submitting the completed survey. This is also the person we should contact if there are any queries regarding the form.

Name (Last, First):

Title (at the company):

Telephone:

Email Address:

### Section 2. Company Information

The questions in this section apply to the entire business, and only require one response from the respondent regardless of how many founders were entered.

#### 2-1. Please select the NSF SBIR Award number from the (drop-down) list:

#### General information

#### 2-2. Please provide the company information below.

Company Name:

Company Location (city, state):

Company URL:

DUNS Number:

Employer ID Number (EIN, 9 digit):

## Business Structure

### 2-3. What is the business structure of your company? (Mark only one)

- C-corporation
- S-corporation
- Limited Liability Corporation (LLC)
- Sole Proprietorship
- Other – specify

## Technology Sector

**2-4. Which 5-digit NAICS (North American Industry Classification System) code(s) best describe both business and R&D activities of your company? (Use the *search feature* at [www.census.gov/naics](http://www.census.gov/naics) as a guide; type in a keyword that describes your business. For example, if you are developing a new kind of DNA recombinant technologies, type in the keyword *DNA* in the "2017 NAICS Search" box on the left side of the page and the search will prompt a list of NAICS codes containing that keyword)**

NAICS code(s):

### 2-5. Give your best estimate of the current Technology Readiness Level (TRL) of the technology being developed under your current NSF SBIR/STTR award? (Mark only one)

The Technology Readiness Level (TRL) scale is used to describe the stage of maturity in the development process from observation of basic principles through final product operation. TRL is originally developed by NASA and have been adopted by the U.S. Department of Defense. TRL has served as the basis for conducting technology readiness assessment and enabled a common understanding pertaining to the translation and transition of technology.

- **TRL 1 – Basic Principles Observed and Reported.** This is where scientific research begins to be translated into applied research and development. Examples might include paper studies of a technology's basic properties
- **TRL 2—Technology Concept and/or Application Formulated.** This is where invention begins. Once basic principles are observed, practical applications are identified but speculative, no experimental proof or detailed analysis is available to support the assumption or conjecture.
- **TRL 3—Analytical and Experimental Critical Function and/or Characteristics Proof of Concept.** This is where active R&D is initiated, where the technology is placed in an appropriate context with laboratory demonstrations, modeling and simulation to validate the analytical prediction.
- **TRL 4—Component and/or Breadboard Validation in Laboratory Environment.** This is where active basic technological components are integrated to establish that they will work together. This is relatively "low fidelity" compared with the eventual system. Examples include integration of "ad hoc" hardware in the laboratory.
- **TRL 5—Component and/or Breadboard Validation in Relevant Environment.** This is where fidelity of the technology increases significantly. The basic technological components are integrated with reasonably realistic supporting elements so they can be tested in a simulated environment. Performance predictions are made for subsequent development phases.

- **TRL 6—System/Subsystem Model or Prototype Demonstration in a Relevant Environment.** This is where a representative model or prototype system—well beyond that of TRL 5—is tested in a relevant environment. This represents a major step up in a technology’s demonstrated readiness. Examples include testing a prototype in a high-fidelity laboratory environment or in a simulated operational environment.
- **TRL 7—System Prototype Demonstration in an Operational Environment.** This is where the prototype is near or at planned operational system. This level represents a major step up from TRL 6 by requiring demonstration of an actual system prototype in an operational environment.
- **TRL 8—Actual System Completed and “Flight Qualified” through Test and Demonstration.** This is where the technology has been proven to work in its final form under expected conditions. In almost all cases, this TRL represents the end of true system development.
- **TRL 9—Actual System Proven through Successful Mission Operations.** This is the actual application of the technology in its final form, under mission conditions (such as those encountered in operational test and evaluation).

### R&D efforts

**2-6. Is the company focused solely on the business opportunity for which it received an SBIR/STTR award from the National Science Foundation, or does it also have other ongoing R&D or business efforts unrelated to the award? (Mark only one)**

- The company is focused solely on the R&D efforts for which this company received in SBIR/STTR award from the National Science Foundation
- The company also has other ongoing R&D efforts unrelated to the SBIR/STTR award from the National Science Foundation

### For-profit affiliations

**2-7. Is your company a spin-out or corporate spin-off of another domestic company?**

- Yes
- No

**2-8. Is your company a majority-owned subsidiary of another domestic company?**

- Yes
- No

**2-9. Does another domestic company have the power to control the management and policies of your company?**

- Yes
- No

## University affiliations

The next few questions pertain to the company's previous and current affiliations/relationships to universities and/or research institutions.

**2-10. Were the key inventions underlying the company's products or services made at an university or research institution?**

- Yes
- No

**2-11. Has the company's intellectual property been licensed or obtained from an university or research institution?**

- Yes
- No

**2-12. Does the company use the facilities of an university or research institution as a significant part of its operations?**

- Yes
- No

**2-13. Does an university or research institution own equity in the company?**

- Yes
- No

**2-14. Is an university or research institution entitled to any royalties based on the company's revenues?**

- Yes
- No

**2-15. Was at least one of the company founders affiliated with an university or research institution at the time the company was established?**

- Yes
- No

## Payroll and Revenue

**2-16. When did your company's most recent fiscal year end? (MM/YYYY)**

- Most recent fiscal year ends on: MM  YYYY
- Company has not yet completed one fiscal year

**2-17. In [year selected in prior question], what were the company's total payroll expenses? This includes salaries and wages paid to employees, fringe benefits, payroll taxes (W2, 1099, and other tax forms) but excludes "sweat equity."**

\$  ,000.00

**2-18. In [year selected in prior question], how much revenue or funding did the company receive from each of the following sources? Estimates are acceptable.**

Equity Financing (including convertible debt):	\$ <input type="text"/> ,000.00
Founder contributions (excluding sweat equity and in-kind contributions):	\$ <input type="text"/> ,000.00
Product and service revenue:	\$ <input type="text"/> ,000.00
Debt financing:	\$ <input type="text"/> ,000.00
Licensing or joint development project revenue:	\$ <input type="text"/> ,000.00
SBIR/STTR grants or contracts:	\$ <input type="text"/> ,000.00
Other government grants or contracts (non-SBIR):	\$ <input type="text"/> ,000.00
Other revenues:	\$ <input type="text"/> ,000.00
Total:	\$ <input type="text"/> ,000.00

### Participation in NSF programs

**2-19. Which of the following National Science Foundation (NSF) programs has this company participated in? (Mark all that apply)**

- I-Corps (National)
- I-Corps (Regional)
- Partnerships for Innovation (PFI)
- Industry/University Cooperative Research Centers (I/UCRC)
- NSF Basic Research (Engineering)
- NSF Basic Research (Non-engineering)

**2-20. If applicable, did participation in NSF's I-Corps (National) program lead to the formation of this company?**

- Yes
- No
- Not Applicable

**2-21. If applicable, did participation in NSF’s I-Corps (Regional) program lead to the formation of this company?**

- Yes – list relevant award number(s)
- No
- Not Applicable

**2-22. If applicable, did participation in NSF’s PFI program lead to the formation of this company?**

- Yes– list relevant award number(s)
- No
- Not Applicable

**2-23. If applicable, did participation in NSF’s I/UCRC program lead to the formation of this company?**

- Yes– list relevant award number(s)
- No
- Not Applicable

**2-24. If applicable, did participation in NSF’s NSF Basic Research (Engineering) program lead to the formation of this company?**

- Yes– list relevant award number(s)
- No
- Not Applicable

**2-25. If applicable, did participation in NSF’s Basic Research (Non-engineering) program lead to the formation of this company?**

- Yes– list relevant award number(s)
- No
- Not Applicable

**External funding**

**2-26. Prior to receiving NSF SBIR/STTR funding, what was the total amount of external funding received by the company since its inception by source? DO include founder cash investments, but do not include “sweat equity”. Estimates are acceptable.**

Equity Financing (including convertible debt):	\$ <input type="text"/>	,000.00
Founder contribution (excluding sweat equity and in-kind contributions):	\$ <input type="text"/>	,000.00
Product and service revenue:	\$ <input type="text"/>	,000.00
Debt financing:	\$ <input type="text"/>	,000.00
Licensing or joint development project revenue:	\$ <input type="text"/>	,000.00

SBIR/STTR grants or contracts:	\$ <input type="text"/>	,000.00
Other government grants or contracts (non-SBIR):	\$ <input type="text"/>	,000.00
Other revenues:	\$ <input type="text"/>	,000.00
Total:	\$ <input type="text"/>	,000.00

### Other SBIR/STTR awards

**2-27. Prior to the company's most recent SBIR/STTR award from the National Science Foundation (NSF), what was the total number of Phase I and Phase II SBIR/STTR awards received by the company from any agency of the U.S. Federal Government?**

- Number of Phase I awards:
- Number of Phase II awards:

**2-28. Of the awards reported above, how many came from NSF? Do not include the company's most recent NSF SBIR award.**

- Number of Phase I awards from NSF:
- Number of Phase II awards from NSF:

### Reporting Information

**2-29. How did you hear about the National Science Foundation's SBIR Program? (Mark all that apply)**

- Conference or trade shows
- Professional or personal network
- Consultant or service provider
- Angel investor(s)
- Venture capitalist(s)
- University business incubator or accelerator
- State economic development office
- Small Business Administration
- United States Patent and Trademark Office
- Grants.gov
- NSF.gov
- Social Media – Twitter, Facebook, LinkedIn
- Others – please specify

**2-30. Approximately how long did it take you to complete this section?**

Time (hours: minutes):

## Section 3. Founder(s) Information

### 3-1. How many people founded this company?

A person is considered to be a founder if he/she: is deeply involved in the company operations and day-to-day decision-making process **AND** either was involved in the founding of the company **OR** owns at least 10 % equity of this company.

- 1
- 2
- 3
- 4 or more

### 3-2. Please list up to 3 person(s) who founded the company. If there were more than 3 persons founded the company, select the three who are most involved in the day-to-day management and operations of the company.

Name of Founder 1 (Last, First):

Name of Founder 2 (Last, First):

Name of Founder 3 (Last, First):

### 3-3. In what year was the company founded?

Year (YYYY):

## 3a. Founder 1

### 3-4. What is your name?

### 3-5. What is your title in the company?

### 3-6. What is your email address?

### 3-7. Do you own at least 10 % equity of the company?

- Yes
- No

### 3-8. Were you involved in the founding of the company?

- Yes
- No

### 3-9. Have you been at this company since it was founded?

- Yes
- No



**3-10. Are you currently involved in company operations and decision-making on a day-to-day basis?**

- Yes
- No

**3-11. How did you initially acquire ownership of the company? (Mark only one)**

- Founded or started
- Purchased
- Inherited
- Received transfer of ownership (i.e. as stock options) or gift

**3-12. Do you have signing authority for the company?**

- Yes
- No

### Company involvement

**3-13. Are you an employee of this company?**

- Yes
- No

**3-14. In what year did you become an employee of this company?**

Year (YYYY):

**3-15. Approximately what percentage of your working time is dedicated to the company?**

%

**3-16. Approximately what percentage of your working time was dedicated to the company before Phase I began?**

%

**3-17. What percentage of equity stake in this company do you own?**

%

### Pre-company situation

**3-18. Which of the following best describes your employment situation prior to your involvement in this company? (Mark all that apply)**

- I was self-employed
- I was an undergraduate or graduate student
- I was employed by the government (federal, state, or local)
- I was employed at a not-for-profit research institution
- I was employed by another business with 10 or fewer employees
- I was employed by another business that has between 11 and 499 employees
- I was employed by another business with 500 or more employees
- Other (please specify):

### Number of companies founded

**3-19. Other than this company, how many other companies have you founded? Include companies you founded on your own, or with other individuals.**

- 0 – no other companies founded
- 1
- 2
- 3
- 4 or more – specify

### Number of years at tech start-ups

A tech start-up is a newly-established company or a company that has been established for less than 5 years whose purpose is to bring technology products or services to market.

**3-20. Other than this company, have you worked at any other technology start-up companies?**

- Yes
- No

**3-21. If Yes, other than this company, how many years have you worked at any techstart-up companies? (Round partial years to the nearest whole year)**

- Less than 1 year
- 1 year
- 2 years
- 3 years
- 4 years
- 5 or more years – specify

### University affiliation

**3-22. Are you currently enrolled or employed by an university or other institution of higher learning?**

- Yes
- No

**3-23. If yes, which of the following best describes your enrollment or employment status with an university or other institution of higher learning?**

- Undergraduate student
- Graduate student
- Postdoctoral scholar
- Faculty member
- Staff member
- Other – specify

### Highest degree

**3-24. What was the highest degree or level of school you have completed? (Mark one answer. If currently enrolled, mark the highest degree received)**

- Some college credit, no degree
- Associate's degree (for example: AA, AS)
- Bachelor's degree (for example: BA, BS)
- Master's degree (for example: MA, MS, MEng, MEd, MSW, MBA)
- Professional degree beyond a bachelor's degree (for example: MD, DDS, DVM, LLB, JD)
- Doctorate degree (for example: PhD, EdD)
- Other – specify

**3-25. If applicable, what type of professional degree(s) do you have? (Mark all that apply)**

- Master of Arts (MA)
- Master of Science (MS, MSc)
- Master of Business Administration (MBA)
- Master of Public Health (MPH), Master of Social Work (MSW), Master of Fine Arts (MFA), Master of Music (MM/MMus), Master of Engineering (MEng), Master of Architecture (MArch)
- Master of Education (Med, MEd, MIT, MAEd, MAT)
- Doctor of Philosophy (PhD)
- Doctor of Engineering (DEng, DESc, DES)
- Doctor of Education (EdD)
- Doctor of Fine Arts (DFA), Doctor of Music (DM), Doctor of Public Health (DPH), Doctor of Social Work (DSW)
- Doctor of Medicine (MD), Doctor of Dental Surgery (DDS), Doctor of Veterinary Medicine (DVM)
- Juris Doctor (JD), Legum Baccalaureus (LLB)
- Other(s) – specify

### Year degree earned

**3-26. If a degree (associate's, bachelor's, master's, professional, or doctorate) was attained, in what year was the highest degree awarded?**

Year (YYYY):

### Ethnicity, race, and gender

**3-27. Are you of Hispanic, Latino, or Spanish origin? (Mark one answer)**

- No, not of Hispanic, Latino, or Spanish origin
- Yes, Mexican, Mexican American, or Chicano
- Yes, Puerto Rican
- Yes, Cuban
- Yes, another Hispanic, Latino, or Spanish origin
- Prefer not to answer

**3-28. What is your race? (Mark one answer)**

- American Indian or Alaska Native
- Native Hawaiian or other Pacific Islander
- Asian
- Black or African American
- White
- Prefer not to answer

**3-29. What is your sex? (Mark one answer)**

- Male
- Female
- Prefer not to answer

### Reporting Information

**3-30. Approximately how long did it take you to complete this section?**

Time (hours: minutes):

### 3b. Founder 2 (if applicable)

Questions will be the same as section 3a, from question 3-4 to 3-30

### 3c. Founder 3 (if applicable)

Questions will be the same as section 3a, from question 3-4 to 3-30