

## Proposed Modules for 2021 (Year 4) ABS

### A. DESIGN

1. Does this business conduct design activities?

Design activities are structured creative processes that may include:

- Design of the “look” of manufactured products;
- Design for function;
- Design for ease of manufacturing;
- Design for sustainability or resilience;
- Design for quality;
- Design of business processes, i.e. design thinking;
- Service design for how customers experience the delivery of a service; or
- Design of user experience (UX) that addresses interaction with goods, services, or digital content by users.

- Yes (Go to Q1a)
- No (Go to Q8)

1a. Does this business provide resources for design activities?

- Yes (Go to Q1b)
- No (Go to Q2)

1b. Do those resources have a designated budget?

- Yes
- No

2. Does this business conduct the following design-related engineering activities?

- |  | Yes                      | No                       |
|--|--------------------------|--------------------------|
| • Prepare technical specifications including computer-aided drafting   | <input type="checkbox"/> | <input type="checkbox"/> |
| • Create first-time use of components or the initial tooling of equipment                                      | <input type="checkbox"/> | <input type="checkbox"/> |
| • Construct prototypes that include all the technical and performance characteristics of a new good or service | <input type="checkbox"/> | <input type="checkbox"/> |

2a. Does this business provide resources for design-related engineering activities?

- Yes (Go to Q2b)
- No (Go to Q3)

2b. Do those resources have a designated budget?

- Yes
- No

3. Are design activities performed by...

- |                   | Yes                      | No                       |
|-------------------|--------------------------|--------------------------|
| • ...employees?   | <input type="checkbox"/> | <input type="checkbox"/> |
| • ...contractors? | <input type="checkbox"/> | <input type="checkbox"/> |

4. What types of employees and/or contractors routinely perform design activities? *Select all that apply.*

- Designers
- Key managers (for example in marketing, product or website development)
- Company leadership
- Related occupations in engineering, craft production, programming, research, or other fields

5. How many employees and/or contractors routinely perform design activities?

2019: \_\_\_\_\_

2016: \_\_\_\_\_

6. How are the employees and/or contractors who routinely perform design activities organized?

- As one or a few working independently
- As a small team
- As multiple teams and/or centralized design unit/department

7. How would you describe this business's approach to design? *Select ALL that apply.*
- Design is used to enhance the appearance and attractiveness of the final good or service
  - Design is integrated into the development of new goods or services
  - Design is a central directing element of the business model
  - Other \_\_\_\_\_

8. How much do you expect company resources for design activities to change over the next 3 years?
- Increase substantially
  - Increase slightly
  - No change
  - Decrease slightly
  - Decrease substantially

9. Does this business use the following methods to protect intellectual property?

	Yes	No
a. Utility patents (applied for or awarded)	<input type="checkbox"/>	<input type="checkbox"/>
b. Design patents (applied for or awarded)	<input type="checkbox"/>	<input type="checkbox"/>
c. Copyright	<input type="checkbox"/>	<input type="checkbox"/>
d. Trademarks	<input type="checkbox"/>	<input type="checkbox"/>

10. Does this business use the following less formal means of protecting intellectual property?

	Yes	No
a. Design complexity	<input type="checkbox"/>	<input type="checkbox"/>
b. Nondisclosure agreements or non-compete clauses	<input type="checkbox"/>	<input type="checkbox"/>
c. Branding and product image	<input type="checkbox"/>	<input type="checkbox"/>

## B. FINANCING

### CAPITAL FUNDING

1. What were the source(s) of capital used to start or initially acquire this business? *Select all that apply.*

- Personal/family savings of owner(s)
- Personal/family assets other than savings of owner(s)
- Personal/family home equity loan
- Personal credit card(s) carrying balances
- Business credit card(s) carrying balances
- Government-guaranteed business loan from a bank or financial institutions, including SBA-guaranteed loans
- Business loan from a bank or financial institution
- Business loan from a Federal, state, or local government
- Business loan/investment from family/friend(s)
- Investment by venture capitalist(s)
- Grants
- Other source(s) of capital
- Don't know
- None needed (Go to Q3)

### AMOUNT OF CAPITAL NEEDED TO START OR INITIALLY ACQUIRE THE BUSINESS

2. What was the total amount of capital used to start or initially acquire this business? *Capital includes savings, other assets, and borrowed funds of owner(s).*

- \$0
- \$1 - \$4,999
- \$5,000 - \$9,999
- \$10,000 - \$24,999
- \$25,000 - \$49,999
- \$50,000 - \$99,999
- \$100,000 - \$249,999
- \$250,000 or more
- Don't know

### FUNDING FROM OWNER(S)

3. In 2019, what was the total amount of money that the owner(s) personally put into this business? *Your best estimate is fine.*

Include:

- Investments from personal savings
- Personal retirement accounts
- Home equity loans
- Personally borrowed funds
- Personal credit cards

- \$0
- \$1 - \$4,999
- \$5,000 - \$9,999
- \$10,000 - \$24,999
- \$25,000 - \$49,999
- \$50,000 - \$99,999
- \$100,000 - \$249,999
- \$250,000 or more
- Don't know
- Business does not have owners

### PROFITABILITY

4. For the last 12 months ending on December 31, 2019, did this business have profits, losses, or break even?

- Profits
- Losses
- Break even

## NEGATIVE IMPACT ON PROFITABILITY

5. For the last 12 months ending on December 31, 2019, which of the following negatively impacted the profitability of this business? *Select all that apply.*
- Lack of access to financial capital
  - High cost of financial capital
  - Unable to find qualified labor
  - Taxes
  - Government regulations (for example, U.S. Federal, state and/or local)
  - Slow business or lost sales
  - Customers or clients not making payments or paying late
  - The unpredictability of business conditions
  - Changes or updates in technology
  - None of the above

## OPERATIONAL CHANGES AS A RESULT OF CORONAVIRUS PANDEMIC

When answering questions in this section, please factor in the 2020 coronavirus pandemic and how it affected your business.

6. How would you assess the overall affect of the 2020 coronavirus pandemic on this business's sales in 2020?
- Increased significantly
  - Increased somewhat
  - Had little to no change
  - Decreased somewhat
  - Decreased significantly
7. Since March 13, 2020, has this business requested financial assistance from any of the following sources?
- Include:
- Paycheck Protection Program (PPP) loans
  - Small Business Economic Injury Disaster Loans
  - Other Federal, state, or local government programs aimed specifically at addressing the coronavirus pandemic
- Yes

- No (Go to Q11)
- 8. What was the total dollar amount of government-sponsored coronavirus pandemic financial assistance (from the previous question 7) that this business sought?

\$\_\_\_\_\_ .00

- 9. What was the dollar amount this business received? *If no financial assistance was received, enter '0' and go to Question 11.*

\$\_\_\_\_\_ .00

- 10. What share of this government-sponsored coronavirus pandemic financial assistance, if any, was forgiven or does not need to be paid back?

- None
- 1-25 %
- 26-50 %
- 51-75 %
- 76-100 %

- 11. Will this business be able to meet its funding needs to maintain operations into the next year (2021)?

- Yes
- No
- Don't know

- 12. In 2020, how concerned are you about the financial health of this business?

- Not concerned at all
- Somewhat concerned
- Very concerned

- 13. What is the total amount of outstanding debt of this business?

- No debt
- \$1-\$25,000
- \$25,001 - \$50,000
- \$50,001 - \$100,000
- \$100,001 - \$250,000
- \$250,001 - \$1,000,000
- More than \$1,000,000
- Don't know

**WORKING FROM HOME**

14. In 2019, did this business allow any employees to work from home?

- Yes
- No - (Go to Q16)

**PERCENT OF EMPLOYEES WORKING FROM HOME**

15. In 2019, what percent of all employees at this business worked from home at the following frequencies? *If none report 0. Estimates are acceptable.*

- Never \_\_\_\_\_%
  - Occasionally (less than one day per week) \_\_\_\_\_%
  - One day per week \_\_\_\_\_%
  - Two to four days per week \_\_\_\_\_%
  - Five days per week (full-time) \_\_\_\_\_%
- TOTAL= 100%

**FACTORS AFFECTING WORKING FROM HOME**

16. In 2019, what factors limited the ability of this business’s employees to work from home? **Select all that apply.**

- Job or parts of job cannot be performed from home
- Management of employees working from home too costly or complicated
- Security (IT or other) concerns
- Other
- No factors

**SMALL BUSINESS CREDIT**

In this section, answer based on this business’s credit seeking activity in the last 12 months. Please exclude loans that were forgiven as part of a government response to the coronavirus pandemic.

**NEW CREDIT APPLICATIONS**

17. For the 12 months ending on December 31, 2019, did this business submit an application for new credit (for example, a credit card, loan, line of credit, trade financing, etc.)?

- Yes
- No (Go to Section C)
- Don’t know (Go to Section C)



## CREDIT SOURCES

18. For the credit this business applied for in the 12 months ending on December 31, 2019, from what lender(s) did this business apply for new credit? *Select all that apply.*

**Bank** (financial institution that accepts deposits and extends credit, either in person or online)

**Credit Union** (non-profit financial institution that provides banking services, including loans, to its members)

**Fintech/Online Lender** (type of finance company that operates exclusively online and/or by phone to issue loans or lines of credit, usually with no collateral requirements. Includes payments companies that offer loans and cash advances to merchants)

**Finance Company** (company that provides loans or leases but unlike a bank does not accept deposits or offer banking services. Examples include mortgage companies, equipment dealers, and auto finance companies)

**Community Development Financial Institution (CDFI)** (financial institution certified by the U.S. Department of the Treasury that provides credit, financial services, and technical assistance to underserved people or places)

Other, specify: \_\_\_\_\_

## NEW CREDIT APPLICATIONS AMOUNT

19. For the 12 months ending on December 31, 2019, how much of the total amount of credit sought did this business obtain?

- None
- Some
- All
- Don't know

## BUSINESS FINANCING USES

20. For the 12 months ending on December 31<sup>st</sup>, 2019, for what purpose(s) was this business seeking financing? *Select all that apply.*

- Meet operating expenses
- Expand business, pursue new opportunity, or acquire business assets
- Replace capital assets or make repairs
- Refinance or pay down debt
- Other, specify: \_\_\_\_\_

### C. TECHNOLOGY

#### DIGITAL SHARE OF BUSINESS ACTIVITY

1. In 2020, did this business use a digital format for any of the following types of information?? *Mark one for each row*

	In use	In testing	Not in use	Don't know
Personnel	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Financial	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Customer feedback	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Marketing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supply chain	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Production	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (specify)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

#### CLOUD SERVICE PURCHASES

2. In 2020, did this business use cloud services for any of the following IT functions? *Mark one for each row*

	In use	In testing	Not in use	Don't know

All IT functions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Security or firewall	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Servers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Data storage and management (Examples: Amazon Web Services, IBM Bluemix, Microsoft Azure)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Collaboration and file synchronization (Examples: Dropbox, OneDrive, Google Drive)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Data analysis	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Billing and account management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Customer relationship management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (specify)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**BUSINESS TECHNOLOGIES**

3. In 2020, did this business produce goods or provide services by using or applying any of the following technologies? *Mark one for each row*

	In use	In testing	Not in use	Don't know
Augmented reality	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Automated guided vehicles (AGV) or AGV systems	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Machine learning	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Machine vision	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Natural language processing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Radio-frequency identification (RFID) system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Robotics	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Touchscreens/kiosks for customer interface (Examples: self check-out, self check-in, touchscreen ordering)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Voice recognition software	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Additive Manufacturing (3d Printing)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

#### **PURCHASED SERVICES AND SUPPLIERS**

4. In 2020, did your business purchase outreach, advertising, e-commerce, web analytics, or customer relationship management (CRM) services from an outside vendor?

Examples of such services include **specialized software or services** that initiate and manage customer relationships, both (1) through tailored (profiled/personalized) advertising and (2) through personalized dialogue and profiling, recommender systems, monitoring or web/social media, etc. Other examples include focus testing, website analytics and public profile management, as well as dynamically adaptive product placement and pricing.

- Yes
- No (Go to Q5)
- Don't know (Go to Q5)

4.A. List the primary vendor who provided this service.

- 
- Don't know

4.B. How important was the purchase of **services** related to outreach, advertising, e-commerce, web analytics, or customer relationship management (CRM) to your business's core operations?

- Very important
- Somewhat important
- Not at all important
- Don't know

5. In 2020, did your business purchase personnel recruiting and monitoring services from an outside vendor?

Examples of such services include **specialized software or software-enabled services** that recruit new staff (through web-based recruiting websites, tailored job advertising, social media search, etc.), analyze staff characteristics and activity, monitor staff (health, office performance, happiness and complaints), and detect and analyze staff web presence/activity.

- Yes
- No (Go to Q6)
- Don't know (Go to Q6)

5.A. List the primary vendor who provided this service.

- 
- Don't know

5.B. How important was the purchase of personnel recruiting and monitoring services to your business's core operations?

- Very important
- Somewhat important
- Not at all important
- Don't know

6. In 2020, did your business purchase enhanced services related to finances and sales from an outside vendor?

Examples of such services include **software or services** dedicated to improving supply chain management, demand forecasting, problem spotting, sales, and delivery procedures as well as specialized software or services devoted to managing and forecasting a business's finances, including daily adaptive forecasting and situation monitoring, adaptive office finance software, and adaptive tax management software (including enhanced tax planning).

- Yes
- No (Go to Q7)
- Don't know (Go to Q7)

6.A. List the primary vendor who provided this service.

- 
- Don't know

6.B. How important was the purchase of enhanced services related to finances and sales to your business's core operations?

- Very important
- Somewhat important
- Not at all important
- Don't know

## **D. MANAGEMENT PRACTICES MODULE**

### **MANAGING SERVICE OR PRODUCTION PROBLEMS**

1. In 2019, what best describes what happened at this business when a service or production problem arose? *For example, finding a quality defect in a product or piece of equipment breaking down.*
  - We fixed it but did not take further action
  - We fixed it and took action to make sure that it did not happen again
  - We fixed it and took action to make sure that it did not happen again, and had a continuous improvement process to anticipate problems like these in advance
  - No action was taken
  - No service or production problem arose

### NUMBER OF KEY PERFORMANCE INDICATORS

2. In 2019, how many key performance indicators were monitored at this business? *Key performance indicators are formal, quantifiable measures of performance or quality at this business.*
- 1-2 key performance indicators
  - 3-9 key performance indicators
  - 10 or more key performance indicators
  - No key performance indicators

### FREQUENCY OF KEY PERFORMANCE INDICATORS

3. During 2019, how frequently were the key performance indicators reviewed at this business? *Select all that apply.*

- Yearly
- Quarterly
- Monthly
- Weekly
- Daily
- Hourly or more frequently
- Never

4. How often does this business monitor customer satisfaction through analysis of complaints, customer satisfaction surveys, focus groups, or other methods? *Select all that apply.*

- Yearly
- Quarterly
- Monthly
- Weekly
- Daily
- Hourly or more frequently
- Never

### BUSINESS TARGETS

5. In 2019, what best describes the timeframe of business, service, or production targets at this business?



Select ONE only. Examples of business, service, or production targets include number of customers, production, quality, efficiency, sales, waste, and on-time delivery.

- Main focus was on short term (less than one year) targets
- Main focus was on long term (more than one year) targets
- Combination of short-term and long-term targets
- No targets – Skip to Employee Promotion

6. In 2019, how much effort did it take to achieve business, service, or production targets at this business? Select ONE only.

- Minimal effort
- Less than normal effort
- Normal effort
- More than normal effort
- Extraordinary effort

#### **EMPLOYEE PROMOTION**

7. In 2019, what was the primary way employees were promoted at this business?

- Promotions were based solely on performance and ability
- Promotions were based partly on performance and ability and partly on other factors (for example, tenure or family connections)
- Promotions were based mainly on factors other than performance and ability (for example, tenure or family connections)
- Employees are not normally promoted.

#### **UNDER-PERFORMING EMPLOYEE**

8. In 2019, when was an under-performing employee reassigned or dismissed?

- Within 6 months of identifying employee under-performance
- After 6 months of identifying employee under-performance
- Under-performing employees are not reassigned or dismissed
- No under-performing employees identified

#### **EMPLOYEE TRAINING EXPENDITURES**

9. In 2019, what did your business spend on formal training programs?

\$ \_\_\_\_\_ .00

#### **EMPLOYEE TRAINING PARTICIPATION**

10. In 2019, what percent of or how many workers received any formal training?

\_\_\_\_\_ %      OR      Number of workers: \_\_\_\_\_

11. In 2019, what was the average number of formal training hours each worker received?

Average number of hours: \_\_\_\_\_

12. Which of the following areas did workers cover during their training? *Select all that apply.*

- Improving teamwork or problem-solving skills
- Training in sales and customer services
- Training to use computers and/or new equipment
- Training on the same use of equipment and tools
- None of the above

## E. INNOVATION

### **New and Improved Goods**

1. During the three years 2018 to 2020, did this business introduce to the market any new or improved goods that differed significantly from this business's previous goods? *This includes the addition of new functions or improvements to existing functions or user utility. Functions include quality, technical specifications, reliability, durability, economic efficiency during use, affordability, convenience, usability, and user friendliness. User utility includes attributes such as affordability and financial convenience.*

**Goods:** usually a tangible object such as a smartphone, furniture, or packaged software, but also includes digital goods such as downloadable software, music and film. *Exclude the simple resale of new goods or changes of a solely aesthetic nature.*

- Yes

No

**New and Improved Services**

2. During the three years 2018 to 2020, did this business introduce to the market any new or improved services that differed significantly from this business's previous services? *This includes the addition of new functions or improvements to existing functions or user utility. Functions include quality, technical specifications, reliability, durability, economic efficiency during use, affordability, convenience, usability, and user friendliness. User utility includes attributes such as affordability and financial convenience.*

**Services:** intangible activities, such as retailing, insurance, educational courses, air travel, consulting, etc., also includes digital services. *Exclude the simple resale of new services.*

- Yes  
 No

**Novelty of New or Improved Goods or Services**

3. During the three years 2018 to 2020, did this business introduce any new or improved goods or services that differed significantly from goods or services previously offered by this business that were:

**Select one for each row.**

	Yes	No
<b>New to the market?</b> This business introduced a new or improved good or service that was not previously offered by any of your competitors (it may have already been available in other markets).	<input type="checkbox"/>	<input type="checkbox"/>
<b>New only to this business?</b> This business introduced a new or improved good or service that was identical or very similar to products already offered by your competitors.	<input type="checkbox"/>	<input type="checkbox"/>

**New and Improved Business Processes**

4. During the three years 2018 to 2020, did this business introduce any of the following types of new or improved business processes that differed significantly (e.g., greater efficacy, resource efficiency, reliability and resilience, affordability, convenience and usability) from your previous business processes?

	Yes	No
a. Methods for producing goods or providing services (including methods related to engineering and related technical testing, analysis and certification)	<input type="checkbox"/>	<input type="checkbox"/>
b. Logistics, delivery or distribution methods	<input type="checkbox"/>	<input type="checkbox"/>
c. Marketing methods for promotion, packaging, pricing, product placement or after sales services	<input type="checkbox"/>	<input type="checkbox"/>
d. Information and communication systems (including hardware, software and data processing)	<input type="checkbox"/>	<input type="checkbox"/>
e. Administration and management activities (including decision-making, human resource management, and methods for accounting or other administrative operations)	<input type="checkbox"/>	<input type="checkbox"/>
f. Product and business process development activities (including activities to identify, develop, or adapt products or processes, or adopting new methodologies for developing products and processes)	<input type="checkbox"/>	<input type="checkbox"/>