



U.S. DEPARTMENT OF COMMERCE  
U.S. CENSUS BUREAU

FORM  
**ABS-1** (01/05/2021) Draft 5

Attachment C

# 2021 ANNUAL BUSINESS SURVEY

OMB No. 0607-1004: Approval Expires xx/xx/xxxx

## DUE DATE:

### Need help or have questions?

- **Visit** <https://www.census.gov/abs/help>
- **Call** 1-888-824-9954, between 8 a.m. and 8 p.m., Eastern time, Monday through Friday.

### ¿Necesita ayuda?

Si usted habla español y necesita ayuda para completar su cuestionario, llame sin cargo alguno al 1-888-824-9954, entre las 8 a.m. y las 8 p.m., hora del Este, de lunes a viernes.

*(Please correct any errors in this mailing address.)*

**YOUR RESPONSE IS REQUIRED BY LAW.** Title 13, United States Code, Sections 8(b), 131, and 182; Title 42, United States Code, Section 1861-76 (National Science Foundation Act of 1950, as amended); and Section 505 within the America COMPETES Reauthorization Act of 2010, authorize this collection. Sections 224 and 225 of Title 13 require your response. The U.S. Census Bureau is required by Section 9 of Title 13 to keep your information confidential and use your responses only to produce statistics. The Census Bureau is not permitted to publicly release your responses in a way that could identify your business, organization, or institution. Per the Federal Cybersecurity Enhancement Act of 2015, your data are protected from cybersecurity risks through screening of the systems that transmit data.

## COMPLETE THIS SURVEY ONLINE

- Go to: <https://portal.census.gov>



## SECTION A: COMPANY INFORMATION

The following section collects information on the operations and structure of this business. All businesses that receive this survey should answer questions in the upcoming section. The reporting unit for the survey is the U.S.-located company, including all majority-owned subsidiaries and divisions regardless of location. **Report only for domestic operations.**

### A.1 Ceased Operations

Has this business ceased operations?

- Yes
- No – **Skip to 'A.3 Business Ownership – Foreign-Owned Entity'**

### A.2 Date Ceased Operations

Print the month and year this business ceased operations.

MM	YYYY
<input type="text"/>	<input type="text"/>

**Reporting Instructions:** If date ceased operations is before January 2020, **skip to SECTION I: CONTACT INFORMATION** on page 43.

If the ceased operations date is after January 1, 2020, you are still required to complete this survey covering any business activity for 2020; even though this business is not currently operating.

### A.3 Business Ownership – Foreign-Owned Entity

In 2020, was this business a majority-owned subsidiary of a foreign company?

- Yes
- No

**Reporting Instructions for Foreign-Owned Companies:** If this business is owned by a foreign parent, the reporting unit for the survey is the U.S. located company, including all majority-owned subsidiaries and divisions located in the domestic United States (50 states and the District of Columbia). For reporting purposes, the foreign parent and any foreign affiliates this company does not own, should be treated the same as any business partner, customer, or supplier this business does not own.

### A.4 Business Ownership – U.S. Entity

In 2020, did another U.S. company or other entity own more than 50 percent of this business?

*Examples of other entities include estates, trusts, employee stock ownership plans (ESOPs), associations, membership clubs, and cooperatives.*

- Yes – **Skip to 'A.6 Business – 10% or More Ownership'**
- No

### A.5 Business Ownership – Government or Tribal Entity

In 2020, was this business owned by a government or tribal entity?

- Yes
- No

### A.6 Business – 10% or More Ownership

In 2020, did at least one person own 10% or more of this business? **Do not count parent companies, estates, trusts or other entities.**

- Yes
- No – **Select "No" ONLY if no person owned 10% or more of this business.**



**A.7 Number of Owners**

In 2020, how many people owned this business?

- Do not combine two or more owners to create one owner.
- Count spouses and partners as separate owners.
- Count owners who owned at least 10% of this business.

- 1 person
- 2 people
- 3 people
- 4 people
- 5 - 10 people
- 11 or more people
- Business is owned by a parent company, estate, trust or other entity
- Do not know

**A.8 Number of W-2 Paid Domestic Employees or Employee/Owners**

For the pay period including March 12, 2020, how many people worked for this business, including those paid through grants? *Include both full-time and part-time employees as well as yourself. Include only persons in the United States.*

**Count each person only once. If none, report zero.**

- a. Owners who received a W-2 issued by this business for salary or wages .....
- b. Employees who received a W-2 issued by this business for salary or wages .....
- c. Total .....

Number of People			
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**A.9 Number of Domestic Workers Who Did Not Receive a W-2**

Not including employees or employee/owners included in the previous question, how many other people worked for this business in 2020, including those paid through grants? *Include both full-time and part-time workers as well as yourself, if applicable. Include only persons in the United States.*

**Count each person only once. If none, report zero.**

- a. Individuals whose work was directed by this business who received payment in other ways (for example, contractors, consultants, temporary workers who receive a 1099 from this business or payment from another business) .....
- b. Unpaid individuals who worked for this business (for example, friends, volunteers, family members) .....

Number of People			
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**A.10 Total Worldwide and Domestic Sales and Operating Revenues**

In 2020, what was the amount of this business's worldwide and domestic sales and operating revenues, including grants?

**Round to the nearest one thousand dollars. If none, report zero.**

	\$Bil.	Mil.	Thou.	Dol.
2020 sales, revenues, and grants .....	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> 000

**Reporting Instructions:** Report amount using U.S. Generally Accepted Accounting Principles (U.S. GAAP) as recognized by the Financial Accounting Standard Board (FASB). If this business follows International Financial Reporting Standards (IFRS), we request that you estimate any adjustments that would be required to conform to U.S. GAAP.



**A.11 Domestic Sales and Revenues**

How much of the '**A.10 Total Worldwide and Domestic Sales and Operating Revenues**' in 2020 sales, revenues, and grants was attributable to or originated from domestic operations? *Include sales and operating revenues to foreign customers, including foreign subsidiaries.*

**Round to the nearest one thousand dollars. If none, report zero.**

	\$Bil.	Mil.	Thou.	Dol.
Revenues Domestic operations . . . . .				0 0 0

**Reporting Instructions:** For example, a U.S. manufacturing corporation sells parts to customers around the world; however, because all of its operations are located inside the United States, it reports all of its sales in this question.

**A.12 Types of Customers**

In 2020, which of the following types of customers accounted for 10% or more of this business's total sales of goods and/or services? **Select all that apply.**

- U.S. Federal government
- State and local government, including school districts, transportation authorities, etc.
- Other businesses, including distributors of your product(s)
- Other organizations (foreign governments, nonprofits, etc.)
- Individuals

**A.13 Types of Workers**

In 2020, which of the following types of workers were used by this business? **Select all that apply.**

- Full-time paid employees (workers who received a W-2 from this business)
- Part-time paid employees (workers who received a W-2 from this business)
- Paid day laborers
- Temporary staffing obtained from a temporary help service
- Leased employees from a leasing service or a professional employer organization
- Contractors, subcontractors, independent contractors, or outside consultants (workers who received a 1099 or payment from another company)
- None of the above

**A.14 Franchise Operation**

In 2020, did all or part of this business operate as a franchise?

- Yes
- No



**A.15 Working From Home**

In 2020, did this business allow any employees to work from home?

- Yes
- No – **Skip to 'A.17 Factors Affecting Working From Home'**

**A.16 Percent of Employees Working From Home**

In 2020, what percent of all employees at this business worked from home at the following frequencies?  
**If none, report zero. Estimates are acceptable.**

a. Never .....	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	. 0 %
b. Less than one day per week .....	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	. 0 %
c. One day per week .....	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	. 0 %
d. Two to four days per week .....	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	. 0 %
e. Five or more days per week .....	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	. 0 %

**Total = 100%**

**A.17 Factors Affecting Working From Home**

In 2020, did any of the following factors limit 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 (specify) →
- No limiting factors

**A.18 Primary Business Activity**

Describe this business's primary business activity during 2020.



## SECTION B: OWNER CHARACTERISTICS

The following section collects information on the owners of this business. Based on the number of owners you reported, you may be asked to complete this section for up to four owners of this business. If the business had no owners, then proceed to the instructions on the bottom of page 19.

Unless otherwise indicated, the reporting period for this section is calendar year 2020.

### B.1 Percent Ownership

For the person(s) owning the largest percentage(s) in this business in 2020, list each person's name and percentage owned.

- Do not report percentages owned by parent companies, estates, trusts, or other entities.
- If more than 4 people owned this business equally, select any 4 people.
- Round percentages to whole numbers. For example, report 1/3 ownership as 33%.

Name of Owner		Percentage Owned (Estimates are acceptable.)							
<b>Name 1:</b>		<b>Owner 1:</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	. <input type="text"/>	<input type="text"/>	%
<b>Name 2:</b>		<b>Owner 2:</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	. <input type="text"/>	<input type="text"/>	%
<b>Name 3:</b>		<b>Owner 3:</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	. <input type="text"/>	<input type="text"/>	%
<b>Name 4:</b>		<b>Owner 4:</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	. <input type="text"/>	<input type="text"/>	%

If percent entered for Owner 1 is more than 0%, then answer questions for Owner 1 on pages 7, 8, and 9.  
 If percent entered for Owner 2 is more than 0%, then answer questions for Owner 2 on pages 10, 11 and 12.  
 If percent entered for Owner 3 is more than 0%, then answer questions for Owner 3 on pages 13, 14 and 15.  
 If percent entered for Owner 4 is more than 0%, then answer questions for Owner 4 on pages 16, 17 and 18.



## OWNER 1

If the business had no owners, then proceed to the instructions on the bottom of page 19

### B.1.1 Sex

What is the sex of *Owner 1*?

- Male       Female

**Note: Please answer BOTH B.1.2 Ethnicity and B.1.3 Race questions.**

### B.1.2 Ethnicity

Is *Owner 1* of Hispanic, Latino, or Spanish origin?

- No, not of Hispanic, Latino, or Spanish origin  
 Yes, Mexican, Mexican American, Chicano  
 Yes, Puerto Rican  
 Yes, Cuban  
 Yes, another Hispanic, Latino, or Spanish origin –  
*Print, for example, Salvadoran, Dominican, Colombian, Guatemalan, Spaniard, Ecuadorian, etc.* ↴

### B.1.3 Race

What is *Owner 1*'s race? **Select all that apply.**  
*(For this survey, Hispanic origins are not races.)*

- White – *Print for example, German, Irish, English, Italian, Lebanese, Egyptian, etc.* ↴

- Black or African Am. – *Print, for example, African American, Jamaican, Haitian, Nigerian, Ethiopian, Somali, etc.* ↴

- American Indian or Alaskan Native – *Print name of enrolled or principal tribe(s), for example, Navajo Nation, Blackfeet Tribe, Mayan, Aztec, Native Village of Barrow Inupiat Traditional Government, Nome Eskimo Community, etc.* ↴

- Chinese       Vietnamese       Native Hawaiian  
 Filipino       Korean       Samoan  
 Asian Indian       Japanese       Chamorro

- Other Asian – *Print, for example, Pakistani, Cambodian, Hmong, etc.* ↴

- Other Pacific Islander – *Print, for example, Tongan, Fijian, Marshallese, etc.* ↴

### B.1.4 Military Service

Has *Owner 1* ever served in any branch of the U.S. Armed Forces, including the Coast Guard, the National Guard, or a Reserve component of any service branch?

- Yes       No – **Skip to 'B.1.7 Initial Acquisition Year'** on page 8

### B.1.5 Military Service Disability

Is *Owner 1* disabled as the result of illness or injury incurred or aggravated during military service?

- Yes       No



**B.1.6 Other Military Service**

Do any of the following characteristics describe *Owner 1's* military service? **Select all that apply.**

- Served on active duty military service, not including training for the Reserves or National Guard
- Served on active duty military service after September 11, 2001
- Served on active duty military service in 2020
- Served in the National Guard or as a reservist of any branch of the U.S. Armed Forces in 2020
- None of the above

**B.1.7 Initial Acquisition Year**

In what year did *Owner 1* initially acquire ownership of this business?

Year
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

 Don't know

**B.1.8 Primary Income Source**

In 2020, did this business provide *Owner 1's* primary source of personal income?

- Yes       No

**B.1.9 Prior Business Ownership**

Not including this business, what is the status of the previous business *Owner 1* started most recently?

- This is the owner's first business
- Business is still operating and *Owner 1* still owns it
- Business is no longer in operation
- Business was purchased by another company
- Business was purchased by another individual
- Other (specify)

**B.1.10 Education Prior to Owning the Business**

Prior to establishing, purchasing, or acquiring this business, what was the highest degree or level of school *Owner 1* completed?

- Less than high school / secondary school graduate – **Skip to 'B.1.12 Age'** on page 9
- High school / secondary school graduate – Diploma or GED – **Skip to 'B.1.12 Age'** on page 9
- Technical, trade, or vocational school – **Skip to 'B.1.12 Age'** on page 9
- Some college, but no degree – **Skip to 'B.1.12 Age'** on page 9
- Associate Degree (for example, AA, AS)
- Bachelor's Degree (for example, BA, BS)
- Master's Degree (for example, MA, MEng, Med, MSW, MBA)
- Doctorate Degree (for example, PhD, EdD)
- Professional Degree, beyond a Bachelor's Degree (for example, MD, DDS, DVM, LLB, JD)





**B.1.11 Field of Highest Degree Prior to Owning the Business**

Prior to establishing, purchasing, or acquiring this business, what was the field of the highest degree completed for *Owner 1*? **Select all that apply.**

- Biological, agricultural and environmental life sciences
- Chemistry, except biochemistry
- Computer and mathematical sciences and other technology and technical fields
- Earth, atmospheric and ocean sciences
- Economics, political science, psychology, sociology and other social sciences
- Engineering
- Health
- Physics and astronomy
- Science and mathematics teacher education
- Other science and engineering related fields, not listed above ↘

- Art and humanities fields
- Education, except science and math teacher education
- Management and administration fields
- Sales and marketing fields
- Social service and related fields
- Other non-science and non-engineering related fields, not listed above ↘

**B.1.12 Age**

What was the age of *Owner 1* as of December 31, 2020?

- Under 25
- 25 - 34
- 35 - 44
- 45 - 54
- 55 - 64
- 65 or over

**B.1.13 Place of Birth**

Was *Owner 1* born in the United States?

- Yes
- No

**B.1.14 U.S. Citizenship**

Is *Owner 1* a citizen of the United States?

- Yes
- No

**B.1.15 Reasons for Owning the Business**

How important to *Owner 1* are each of the following reasons for owning this business?

**Select one for each row.**

	Very Important	Somewhat Important	Not Important
Wanted to be my own boss	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Flexible hours	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Balance work and family	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Opportunity for greater income	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Best avenue for my ideas / goods / services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Unable to find employment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Working for someone else didn't appeal to me	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Always wanted to start my own business	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
An entrepreneurial friend or family member was a role model	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Wanted to carry on the family business	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Wanted to help and/or become more involved in my community	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (specify) ↘	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



## OWNER 2

If applicable, if not **Skip to 'B.5 One Family Majority Ownership'** on page 19.

### B.2.1 Sex

What is the sex of *Owner 2*?

- Male       Female

**Note: Please answer BOTH B.2.2 Ethnicity and B.2.3 Race questions.**

### B.2.2 Ethnicity

Is *Owner 2* of Hispanic, Latino, or Spanish origin?

- No, not of Hispanic, Latino, or Spanish origin  
 Yes, Mexican, Mexican American, Chicano  
 Yes, Puerto Rican  
 Yes, Cuban  
 Yes, another Hispanic, Latino, or Spanish origin –  
*Print, for example, Salvadoran, Dominican, Colombian, Guatemalan, Spaniard, Ecuadorian, etc.* ↴

### B.2.3 Race

What is *Owner 2's* race? **Select all that apply.**  
*(For this survey, Hispanic origins are not races.)*

- White – *Print for example, German, Irish, English, Italian, Lebanese, Egyptian, etc.* ↴

- Black or African Am. – *Print, for example, African American, Jamaican, Haitian, Nigerian, Ethiopian, Somali, etc.* ↴

- American Indian or Alaskan Native – *Print name of enrolled or principal tribe(s), for example, Navajo Nation, Blackfeet Tribe, Mayan, Aztec, Native Village of Barrow Inupiat Traditional Government, Nome Eskimo Community, etc.* ↴

- Chinese       Vietnamese       Native Hawaiian  
 Filipino       Korean       Samoan  
 Asian Indian       Japanese       Chamorro

- Other Asian – *Print, for example, Pakistani, Cambodian, Hmong, etc.* ↴

- Other Pacific Islander – *Print, for example, Tongan, Fijian, Marshallese, etc.* ↴

### B.2.4 Military Service

Has *Owner 2* ever served in any branch of the U.S. Armed Forces, including the Coast Guard, the National Guard, or a Reserve component of any service branch?

- Yes       No – **Skip to 'B.2.7 Initial Acquisition Year'** on page 11

### B.2.5 Military Service Disability

Is *Owner 2* disabled as the result of illness or injury incurred or aggravated during military service?

- Yes       No



**B.2.6 Other Military Service**

Do any of the following characteristics describe *Owner 2's* military service? **Select all that apply.**

- Served on active duty military service, not including training for the Reserves or National Guard
- Served on active duty military service after September 11, 2001
- Served on active duty military service in 2020
- Served in the National Guard or as a reservist of any branch of the U.S. Armed Forces in 2020
- None of the above

**B.2.7 Initial Acquisition Year**

In what year did *Owner 2* initially acquire ownership of this business?

Year	<input type="checkbox"/> Don't know
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	

**B.2.8 Primary Income Source**

In 2020, did this business provide *Owner 2's* primary source of personal income?

- Yes
- No

**B.2.9 Prior Business Ownership**

Not including this business, what is the status of the previous business *Owner 2* started most recently?

- This is the owner's first business
- Business is still operating and *Owner 2* still owns it
- Business is no longer in operation
- Business was purchased by another company
- Business was purchased by another individual
- Other (specify)

**B.2.10 Education Prior to Owning the Business**

Prior to establishing, purchasing, or acquiring this business, what was the highest degree or level of school *Owner 2* completed?

- Less than high school / secondary school graduate – **Skip to 'B.2.12 Age'** on page 12
- High school / secondary school graduate – Diploma or GED – **Skip to 'B.2.12 Age'** on page 12
- Technical, trade, or vocational school – **Skip to 'B.2.12 Age'** on page 12
- Some college, but no degree – **Skip to 'B.2.12 Age'** on page 12
- Associate Degree (for example, AA, AS)
- Bachelor's Degree (for example, BA, BS)
- Master's Degree (for example, MA, MEng, Med, MSW, MBA)
- Doctorate Degree (for example, PhD, EdD)
- Professional Degree, beyond a Bachelor's Degree (for example, MD, DDS, DVM, LLB, JD)



**B.2.11 Field of Highest Degree Prior to Owning the Business**

Prior to establishing, purchasing, or acquiring this business, what was the field of the highest degree completed for *Owner 2*? **Select all that apply.**

- Biological, agricultural and environmental life sciences
- Chemistry, except biochemistry
- Computer and mathematical sciences and other technology and technical fields
- Earth, atmospheric and ocean sciences
- Economics, political science, psychology, sociology and other social sciences
- Engineering
- Health
- Physics and astronomy
- Science and mathematics teacher education
- Other science and engineering related fields, not listed above ↗

- Art and humanities fields
- Education, except science and math teacher education
- Management and administration fields
- Sales and marketing fields
- Social service and related fields
- Other non-science and non-engineering related fields, not listed above ↗

**B.2.12 Age**

What was the age of *Owner 2* as of December 31, 2020?

- Under 25
- 25 - 34
- 35 - 44
- 45 - 54
- 55 - 64
- 65 or over

**B.2.13 Place of Birth**

Was *Owner 2* born in the United States?

- Yes
- No

**B.2.14 U.S. Citizenship**

Is *Owner 2* a citizen of the United States?

- Yes
- No

**B.2.15 Reasons for Owning the Business**

How important to *Owner 2* are each of the following reasons for owning this business?

**Select one for each row.**

	Very Important	Somewhat Important	Not Important
Wanted to be my own boss	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Flexible hours	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Balance work and family	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Opportunity for greater income	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Best avenue for my ideas / goods / services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Unable to find employment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Working for someone else didn't appeal to me	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Always wanted to start my own business	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
An entrepreneurial friend or family member was a role model	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Wanted to carry on the family business	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Wanted to help and/or become more involved in my community	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (specify) ↗	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



### OWNER 3

If applicable, if not **Skip to 'B.5 One Family Majority Ownership'** on page 19.

#### B.3.1 Sex

What is the sex of *Owner 3*?

- Male
- Female

**Note: Please answer BOTH B.3.2 Ethnicity and B.3.3 Race questions.**

#### B.3.2 Ethnicity

Is *Owner 3* of Hispanic, Latino, or Spanish origin?

- No, not of Hispanic, Latino, or Spanish origin
- Yes, Mexican, Mexican American, Chicano
- Yes, Puerto Rican
- Yes, Cuban
- Yes, another Hispanic, Latino, or Spanish origin – *Print, for example, Salvadoran, Dominican, Colombian, Guatemalan, Spaniard, Ecuadorian, etc.* ↴

#### B.3.3 Race

What is *Owner 3's* race? **Select all that apply.** (For this survey, Hispanic origins are not races.)

- White – *Print for example, German, Irish, English, Italian, Lebanese, Egyptian, etc.* ↴

- Black or African Am. – *Print, for example, African American, Jamaican, Haitian, Nigerian, Ethiopian, Somali, etc.* ↴

- American Indian or Alaskan Native – *Print name of enrolled or principal tribe(s), for example, Navajo Nation, Blackfeet Tribe, Mayan, Aztec, Native Village of Barrow Inupiat Traditional Government, Nome Eskimo Community, etc.* ↴

- Chinese
- Vietnamese
- Native Hawaiian
- Filipino
- Korean
- Samoan
- Asian Indian
- Japanese
- Chamorro

- Other Asian – *Print, for example, Pakistani, Cambodian, Hmong, etc.* ↴

- Other Pacific Islander – *Print, for example, Tongan, Fijian, Marshallese, etc.* ↴

#### B.3.4 Military Service

Has *Owner 3* ever served in any branch of the U.S. Armed Forces, including the Coast Guard, the National Guard, or a Reserve component of any service branch?

- Yes
- No – **Skip to 'B.3.7 Initial Acquisition Year'** on page 14

#### B.3.5 Military Service Disability

Is *Owner 3* disabled as the result of illness or injury incurred or aggravated during military service?

- Yes
- No



### B.3.6 Other Military Service

Do any of the following characteristics describe *Owner 3's* military service? **Select all that apply.**

- Served on active duty military service, not including training for the Reserves or National Guard
- Served on active duty military service after September 11, 2001
- Served on active duty military service in 2020
- Served in the National Guard or as a reservist of any branch of the U.S. Armed Forces in 2020
- None of the above

### B.3.7 Initial Acquisition Year

In what year did *Owner 3* initially acquire ownership of this business?

Year
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

 Don't know

### B.3.8 Primary Income Source

In 2020, did this business provide *Owner 3's* primary source of personal income?

- Yes       No

### B.3.9 Prior Business Ownership

Not including this business, what is the status of the previous business *Owner 3* started most recently?

- This is the owner's first business
- Business is still operating and *Owner 3* still owns it
- Business is no longer in operation
- Business was purchased by another company
- Business was purchased by another individual
- Other (specify)

### B.3.10 Education Prior to Owning the Business

Prior to establishing, purchasing, or acquiring this business, what was the highest degree or level of school *Owner 3* completed?

- Less than high school / secondary school graduate – **Skip to 'B.3.12 Age'** on page 15
- High school / secondary school graduate – Diploma or GED – **'B.3.12 Age'** on page 15
- Technical, trade, or vocational school – **Skip to 'B.3.12 Age'** on page 15
- Some college, but no degree – **Skip to 'B.3.12 Age'** on page 15
- Associate Degree (for example, AA, AS)
- Bachelor's Degree (for example, BA, BS)
- Master's Degree (for example, MA, MEng, Med, MSW, MBA)
- Doctorate Degree (for example, PhD, EdD)
- Professional Degree, beyond a Bachelor's Degree (for example, MD, DDS, DVM, LLB, JD)



**B.3.11 Field of Highest Degree Prior to Owning the Business**

Prior to establishing, purchasing, or acquiring this business, what was the field of the highest degree completed for *Owner 3*? **Select all that apply.**

- Biological, agricultural and environmental life sciences
- Chemistry, except biochemistry
- Computer and mathematical sciences and other technology and technical fields
- Earth, atmospheric and ocean sciences
- Economics, political science, psychology, sociology and other social sciences
- Engineering
- Health
- Physics and astronomy
- Science and mathematics teacher education
- Other science and engineering related fields, not listed above ↗

- Art and humanities fields
- Education, except science and math teacher education
- Management and administration fields
- Sales and marketing fields
- Social service and related fields
- Other non-science and non-engineering related fields, not listed above ↗

**B.3.12 Age**

What was the age of *Owner 3* as of December 31, 2020?

- Under 25
- 25 - 34
- 35 - 44
- 45 - 54
- 55 - 64
- 65 or over

**B.3.13 Place of Birth**

Was *Owner 3* born in the United States?

- Yes
- No

**B.3.14 U.S. Citizenship**

Is *Owner 3* a citizen of the United States?

- Yes
- No

**B.3.15 Reasons for Owning the Business**

How important to *Owner 3* are each of the following reasons for owning this business?

**Select one for each row.**

	Very Important	Somewhat Important	Not Important
Wanted to be my own boss	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Flexible hours	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Balance work and family	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Opportunity for greater income	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Best avenue for my ideas / goods / services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Unable to find employment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Working for someone else didn't appeal to me	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Always wanted to start my own business	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
An entrepreneurial friend or family member was a role model	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Wanted to carry on the family business	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Wanted to help and/or become more involved in my community	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (specify) ↗	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



## OWNER 4

If applicable, if not **Skip to 'B.5 One Family Majority Ownership'** on page 19.

### B.4.1 Sex

What is the sex of *Owner 4*?

- Male       Female

**Note: Please answer BOTH B.4.2 Ethnicity and B.4.3 Race questions.**

### B.4.2 Ethnicity

Is *Owner 4* of Hispanic, Latino, or Spanish origin?

- No, not of Hispanic, Latino, or Spanish origin
- Yes, Mexican, Mexican American, Chicano
- Yes, Puerto Rican
- Yes, Cuban
- Yes, another Hispanic, Latino, or Spanish origin – *Print, for example, Salvadoran, Dominican, Colombian, Guatemalan, Spaniard, Ecuadorian, etc.* ↘

### B.4.3 Race

What is *Owner 4's* race? **Select all that apply.** (For this survey, Hispanic origins are not races.)

- White – *Print for example, German, Irish, English, Italian, Lebanese, Egyptian, etc.* ↘

- Black or African Am. – *Print, for example, African American, Jamaican, Haitian, Nigerian, Ethiopian, Somali, etc.* ↘

- American Indian or Alaskan Native – *Print name of enrolled or principal tribe(s), for example, Navajo Nation, Blackfeet Tribe, Mayan, Aztec, Native Village of Barrow Inupiat Traditional Government, Nome Eskimo Community, etc.* ↘

- |                                       |                                     |  |
|---------------------------------------|-------------------------------------|--|
| <input type="checkbox"/> Chinese      | <input type="checkbox"/> Vietnamese | <input type="checkbox"/> Native Hawaiian |
| <input type="checkbox"/> Filipino     | <input type="checkbox"/> Korean     | <input type="checkbox"/> Samoan          |
| <input type="checkbox"/> Asian Indian | <input type="checkbox"/> Japanese   | <input type="checkbox"/> Chamorro        |

- Other Asian – *Print, for example, Pakistani, Cambodian, Hmong, etc.* ↘

- Other Pacific Islander – *Print, for example, Tongan, Fijian, Marshallese, etc.* ↘

### B.4.4 Military Service

Has *Owner 4* ever served in any branch of the U.S. Armed Forces, including the Coast Guard, the National Guard, or a Reserve component of any service branch?

- Yes       No – **Skip to 'B.4.7 Initial Acquisition Year'** on page 17

### B.4.5 Military Service Disability

Is *Owner 4* disabled as the result of illness or injury incurred or aggravated during military service?

- Yes       No





**B.4.6 Other Military Service**

Do any of the following characteristics describe *Owner 4's* military service? **Select all that apply.**

- Served on active duty military service, not including training for the Reserves or National Guard
- Served on active duty military service after September 11, 2001
- Served on active duty military service in 2020
- Served in the National Guard or as a reservist of any branch of the U.S. Armed Forces in 2020
- None of the above

**B.4.7 Initial Acquisition Year**

In what year did *Owner 4* initially acquire ownership of this business?

Year
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

 Don't know

**B.4.8 Primary Income Source**

In 2020, did this business provide *Owner 4's* primary source of personal income?

- Yes       No

**B.4.9 Prior Business Ownership**

Not including this business, what is the status of the previous business *Owner 4* started most recently?

- This is the owner's first business
- Business is still operating and *Owner 4* still owns it
- Business is no longer in operation
- Business was purchased by another company
- Business was purchased by another individual
- Other (specify)

**B.4.10 Education Prior to Owning the Business**

Prior to establishing, purchasing, or acquiring this business, what was the highest degree or level of school *Owner 4* completed?

- Less than high school / secondary school graduate – **Skip to 'B.4.12 Age'** on page 18
- High school / secondary school graduate – Diploma or GED – **Skip to 'B.4.12 Age'** on page 18
- Technical, trade, or vocational school – **Skip to 'B.4.12 Age'** on page 18
- Some college, but no degree – **Skip to 'B.4.12 Age'** on page 18
- Associate Degree (for example, AA, AS)
- Bachelor's Degree (for example, BA, BS)
- Master's Degree (for example, MA, MEng, Med, MSW, MBA)
- Doctorate Degree (for example, PhD, EdD)
- Professional Degree, beyond a Bachelor's Degree (for example, MD, DDS, DVM, LLB, JD)



**B.4.11 Field of Highest Degree Prior to Owning the Business**

Prior to establishing, purchasing, or acquiring this business, what was the field of the highest degree completed for *Owner 4*? **Select all that apply.**

- Biological, agricultural and environmental life sciences
- Chemistry, except biochemistry
- Computer and mathematical sciences and other technology and technical fields
- Earth, atmospheric and ocean sciences
- Economics, political science, psychology, sociology and other social sciences
- Engineering
- Health
- Physics and astronomy
- Science and mathematics teacher education
- Other science and engineering related fields, not listed above ↗

- Art and humanities fields
- Education, except science and math teacher education
- Management and administration fields
- Sales and marketing fields
- Social service and related fields
- Other non-science and non-engineering related fields, not listed above ↗

**B.4.12 Age**

What was the age of *Owner 4* as of December 31, 2020?

- Under 25
- 25 - 34
- 35 - 44
- 45 - 54
- 55 - 64
- 65 or over

**B.4.13 Place of Birth**

Was *Owner 4* born in the United States?

- Yes
- No

**B.4.14 U.S. Citizenship**

Is *Owner 4* a citizen of the United States?

- Yes
- No

**B.4.15 Reasons for Owning the Business**

How important to *Owner 4* are each of the following reasons for owning this business?

**Select one for each row.**

	Very Important	Somewhat Important	Not Important
Wanted to be my own boss	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Flexible hours	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Balance work and family	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Opportunity for greater income	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Best avenue for my ideas / goods / services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Unable to find employment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Working for someone else didn't appeal to me	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Always wanted to start my own business	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
An entrepreneurial friend or family member was a role model	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Wanted to carry on the family business	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Wanted to help and/or become more involved in my community	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (specify) ↗	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



**B.5 One Family Majority Ownership**

In 2020, did **two or more members of one family own the majority** of this business? (*Family refers to spouses / unmarried partners, parents / guardians, children, siblings, or close relatives.*)

Yes

No

**B.6 Joint Ownership**

In 2020, did spouses / unmarried partners jointly own this business?

Yes

No – **See instructions at the bottom of this page**

**B.7 Equal Operation**

In 2020, was this business operated equally by both spouses / unmarried partners?

Yes, equally operated by spouses / unmarried partners

No, primarily operated by **Owner 1**

No, primarily operated by **Owner 2**

If you reported "No" to '**A.4 Business Ownership – U.S. Entity**' AND you reported between 1-9 total employment to '**A.8 Number of W-2 Paid Domestic Employees or Employee Owners**', then **skip to SECTION D: RESEARCH AND DEVELOPMENT FOR MICROBUSINESSES** on page 28.

All others **skip to SECTION E: TECHNOLOGY, OPERATIONS, AND INNOVATION** on page 33.





**The next questions ask about research performed and/or funded by your organization. Please read the information below before continuing.**

**By research we mean...**

For the purposes of this survey, research includes **research and experimental development**.

**Research and experimental development** comprise creative and systematic work to:

- Increase the stock of knowledge, including knowledge of humankind, culture, and society OR
- Devise new applications of available knowledge (including materials, products, devices, processes, systems, or services)

**Research activities must be...**

- **Novel:** projects that advance current knowledge or create new knowledge
- **Creative:** projects focused on original concepts and hypotheses
- **Uncertain:** project outcomes are unable to be completely determined at the outset
- **Systematic:** projects are planned and budgeted
- **Transferable/Reproducible:** project methodology and results are transferable/reproducible to other situations and locations

**May meet** the criteria for research

- Laboratory or animal studies
- Clinical trials
- Prototype development
- Outcomes research
- Development/measurement of new methods to deliver/measure social service outcomes
- Policy research
- Humanities research
- Research traineeships
- Other experimental studies

**Most likely do not meet** the criteria for research

- Internal program monitoring or evaluation
- Public service grants or outreach programs
- Education or training programs
- Quality control testing
- Market research
- Management studies/efficiency surveys
- Literary, artistic, or historical projects, such as films, music, or books and other publications
- Feasibility studies, unless included as part of an overall research project

**C.5 Research Performed by Your Organization**

Did your organization perform research in FY 2020?

**Include:**

- Research performed by your organization's employees or contract employees. (Contract employees are individuals contracted to work on projects otherwise fully performed by your organization's staff.)

**Exclude:**

- Research performed outside your organization by subcontractors or subawardees. (**Report in C.6 Research Performed by Others.**)

Yes

No

**If you would like to add additional detail or clarification to your response, please comment in the space provided below.**



**C.6 Research Performed by Others**

Did your organization fund research performed by others outside your organization in FY 2020?

**Include:**

- All grants, contracts, subcontracts, and subawards awarded by your organization to external recipients to perform research

**Exclude:**

- Research performed by contract employees

Yes

No

**If you would like to add additional detail or clarification to your response, please comment in the space provided below.**

If you reported "No" for 'C.5 Research Performed by Your Organization' AND "No" for 'C.6 Research Performed by Others,' skip to 'C.16 Burden Estimate' on page 27.

If you reported "No" for 'C.5 Research Performed by Your Organization' AND "Yes" for 'C.6 Research Performed by Others,' skip to 'C.15 Funding for Research Performed by Other Organizations' on page 27.

All others continue to 'C.7 Funding for Research Performed by This Organization.'

**C.7 Funding for Research Performed by This Organization**

In FY 2020, how much was spent on research performed within your organization?

**Round to the nearest one thousand dollars. If none, report zero.**

**Include:**

- Direct costs, such as salaries and wages, travel, equipment, supplies, consulting, and other expenditures directly supporting your organization's research projects
- Indirect costs associated with research expenditures, such as general and administrative salaries and wages, fringe benefits, facility costs, depreciation, etc. These should be calculated using your organization's applicable fringe, overhead, and General and Administrative (G&A) or Facilities and Administrative (F&A) rates

**Exclude:**

- Capital expenditures (i.e., costs for construction or renovation of facilities)
- Payments/funds in excess of the actual cost of the research work performed (e.g., fees)
- Payments made by your organization to subcontractors or subawardees performing research outside your organization

**Total** .....

\$Mil.	Thou.	Dol.
<input type="text"/>	<input type="text"/>	<input type="text" value="0"/> <input type="text" value="0"/> <input type="text" value="0"/>

**If you would like to add additional detail or clarification to your response, please comment in the space provided below.**



**C.8 Research Funding Sources**

How much of the 'C.7 Funding for Research Performed by This Organization' came from each of the following sources?

**Round to the nearest one thousand dollars. If none, report zero.**

	\$Mil.	Thou.	Dol.
a. <b>Federal government:</b> Any agency of the United States government. Include subcontract or subaward funds your organization received for research activities on federal projects . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0
b. <b>State and local government:</b> Any state, county, municipality, or other local government entity in the United States . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0
c. <b>Businesses:</b> Domestic or foreign for-profit organizations. Report funds from a company's nonprofit foundation in Row d . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0
d. <b>Foundations:</b> Domestic or foreign nonprofit grant-making organizations . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0
e. <b>Universities:</b> Domestic or foreign degree-granting institutions . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0
f. <b>All other nonprofits:</b> Domestic or foreign public charities and other nonprofit organizations not reported in Row d or e . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0
g. <b>Internal funds:</b> Your organization's own funds from your endowment, general donations, or other unrestricted sources . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0
h. <b>Individual donors:</b> Gifts designated by the donors for research . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0
i. <b>Other, specify:</b> <input type="checkbox"/> All other sources not reported above. . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0
<input type="text"/>			
<b>Total</b> . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0



**C.9 Field of Research**

How much of the 'C.7 Funding for Research Performed by This Organization' was spent in each of the following fields?

**Round to the nearest one thousand dollars. If none, report zero.**

<p>a. <b>Agricultural Sciences and Natural Resources and Conservation:</b> e.g., Agricultural sciences, Animal sciences, Applied horticulture, Fishing and fisheries science, Food science and technology, Forestry, Natural resources and conservation, Plant sciences, or Soil sciences. . . . .</p>	<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 33%;">\$Mil.</td> <td style="width: 33%;">Thou.</td> <td style="width: 33%;">Dol.</td> </tr> <tr> <td> </td> <td> </td> <td>0 0 0</td> </tr> </table>	\$Mil.	Thou.	Dol.			0 0 0
\$Mil.	Thou.	Dol.					
		0 0 0					
<p>b. <b>Biological, Biomedical, and Health Sciences:</b> e.g., Biochemistry, biophysics, molecular biology; Biotechnology; Botany; Cell biology; Epidemiology; Genetics; Medicine; Neuroscience; Public health; Veterinary medicine; or Zoology. . . . .</p>	<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 33%;"> </td> <td style="width: 33%;"> </td> <td style="width: 33%;">0 0 0</td> </tr> </table>			0 0 0			
		0 0 0					
<p>c. <b>Engineering:</b> e.g., Aerospace, aeronautical, and astronomical engineering; Bioengineering and biomedical engineering; Chemical engineering; Civil engineering; Electrical, electronic, and communications engineering; Industrial and manufacturing engineering; Mechanical engineering; or Metallurgical and materials engineering . . . . .</p>	<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 33%;"> </td> <td style="width: 33%;"> </td> <td style="width: 33%;">0 0 0</td> </tr> </table>			0 0 0			
		0 0 0					
<p>d. <b>Geosciences, Atmospheric Sciences, and Ocean Sciences:</b> e.g., Atmospheric sciences and meteorology, Geological and earth sciences, or Ocean and marine sciences . . . . .</p>	<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 33%;"> </td> <td style="width: 33%;"> </td> <td style="width: 33%;">0 0 0</td> </tr> </table>			0 0 0			
		0 0 0					
<p>e. <b>Mathematics, Statistics, and Computer and Information Sciences:</b> e.g., Computer sciences, Information sciences, Information technology, Mathematics, or Statistics. . . . .</p>	<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 33%;"> </td> <td style="width: 33%;"> </td> <td style="width: 33%;">0 0 0</td> </tr> </table>			0 0 0			
		0 0 0					
<p>f. <b>Physical Sciences:</b> e.g., Astronomy and astrophysics, Chemistry, Materials science, or Physics . . . . .</p>	<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 33%;"> </td> <td style="width: 33%;"> </td> <td style="width: 33%;">0 0 0</td> </tr> </table>			0 0 0			
		0 0 0					
<p>g. <b>Psychology and Social Sciences:</b> e.g., Anthropology; Archaeology; City, urban, community, and regional planning; Criminology; Economics; Geography; Linguistics; Political science and government; Psychology; Public policy analysis; or Sociology, demography, and population studies. . . . .</p>	<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 33%;"> </td> <td style="width: 33%;"> </td> <td style="width: 33%;">0 0 0</td> </tr> </table>			0 0 0			
		0 0 0					
<p>h. <b>Humanities:</b> e.g., English language and literature, letters; Foreign languages and literature; History; or Philosophy and religious studies . . . . .</p>	<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 33%;"> </td> <td style="width: 33%;"> </td> <td style="width: 33%;">0 0 0</td> </tr> </table>			0 0 0			
		0 0 0					
<p>i. <b>Other Fields:</b> e.g., Business management and business administration, Communication and communications technologies, Education, Law, Library science, Social work, or Visual and performing arts . . . . .</p>	<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 33%;"> </td> <td style="width: 33%;"> </td> <td style="width: 33%;">0 0 0</td> </tr> </table>			0 0 0			
		0 0 0					
<p><b>Total</b> . . . . .</p>	<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 33%;"> </td> <td style="width: 33%;"> </td> <td style="width: 33%;">0 0 0</td> </tr> </table>			0 0 0			
		0 0 0					





**C.10 Research Performance**

How much of the 'C.7 Funding for Research Performed by This Organization' was for basic research, applied research, and experimental research?

**Round to the nearest one thousand dollars. If none, report zero.**

**(1) Federal**

**(2) Nonfederal**

**(3) Total**

- a. **Basic research:** Experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundations of phenomena and observable facts, without any particular application or use in view.

\$Mil.	Thou.	Dol.
<input type="text"/>	<input type="text"/>	0 0 0

\$Mil.	Thou.	Dol.
<input type="text"/>	<input type="text"/>	0 0 0

\$Mil.	Thou.	Dol.
<input type="text"/>	<input type="text"/>	0 0 0

- b. **Applied research:** Original investigation undertaken in order to acquire new knowledge. It is directed primarily towards a specific, practical aim or objective.

\$Mil.	Thou.	Dol.
<input type="text"/>	<input type="text"/>	0 0 0

\$Mil.	Thou.	Dol.
<input type="text"/>	<input type="text"/>	0 0 0

\$Mil.	Thou.	Dol.
<input type="text"/>	<input type="text"/>	0 0 0

- c. **Experimental development:** Systematic work, drawing on knowledge gained from research and practical experience and producing additional knowledge, which is directed to producing new products or processes or to improving existing products or processes.

\$Mil.	Thou.	Dol.
<input type="text"/>	<input type="text"/>	0 0 0

\$Mil.	Thou.	Dol.
<input type="text"/>	<input type="text"/>	0 0 0

\$Mil.	Thou.	Dol.
<input type="text"/>	<input type="text"/>	0 0 0

**Total:** Total for column (1) should equal the amount entered for 'C.8 a. Research Funding Sources – Federal Government.' Total for column (3) should equal the amount entered for 'C.7 Funding for Research Performed by This Organization.'

\$Mil.	Thou.	Dol.
<input type="text"/>	<input type="text"/>	0 0 0

\$Mil.	Thou.	Dol.
<input type="text"/>	<input type="text"/>	0 0 0

\$Mil.	Thou.	Dol.
<input type="text"/>	<input type="text"/>	0 0 0

**If you would like to add additional detail or clarification to your response, please comment in the space provided below.**

Examples		
Basic research	Applied research	Experimental development
A researcher is studying the properties of human blood to determine what affects coagulation.	A researcher is conducting research on how a new chicken pox vaccine affects blood coagulation.	A researcher is conducting clinical trials to test a newly developed chicken pox vaccine for young children.
A researcher is studying the properties of molecules under various heat and cold conditions.	A researcher is investigating the properties of particular substances under various heat and cold conditions with the objective of finding longer lasting components for highway pavement.	A researcher is working with state transportation officials to conduct tests of a newly developed highway pavement under various types of heat and cold conditions.
A researcher is investigating the effect of different types of manipulatives on the way first graders learn mathematical strategy by changing manipulatives and then measuring what students have learned through standardized instruments.	A researcher is studying the implementation of a specific math curriculum to determine what teachers need to know to implement the curriculum successfully.	A researcher is developing and testing software and support tools, based on fieldwork, to improve mathematics cognition for student special education.





**C.14 Research Volunteers for Nonprofit Organizations**

a. Did any volunteers work on your **research activities** in FY 2020?

Volunteers are unpaid workers contributing appreciable and essential activity to research performed by your organization. Their research skills should be comparable to those of your employees. Individuals funded by other sources to conduct research at your organization should not be considered volunteers.

- Yes
- No

b. If yes, how many volunteers worked on your **research activities** during FY 2020? . . . . .

--	--	--	--

If you reported "No" for 'C.6 Research Performed by Others,' skip to 'C.16 Burden Estimate.'

**C.15 Funding for Research Performed by Other Organizations**

**Include:**

- All grants, contracts, subcontracts, and subawards awarded by your organization to external recipients to perform research.
- For multi-year awards, include only the amount paid to the external recipient in FY 2020.

**Exclude:**

- Research performed by contract employees.

a. **Research grants or contracts:** Include grants and contracts awarded by your organization to external recipients to perform independent research . . . . .

\$Mil.	Thou.	Dol.									
<table border="1"> <tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr> </table>				<table border="1"> <tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr> </table>				<table border="1"> <tr><td style="width: 20px; height: 20px;">0</td><td style="width: 20px; height: 20px;">0</td><td style="width: 20px; height: 20px;">0</td></tr> </table>	0	0	0
0	0	0									

b. **Subcontracts and subawards:** Include subcontracts and subawards awarded by your organization to external recipients to support your research activities. . . . .

<table border="1"> <tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr> </table>				<table border="1"> <tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr> </table>				<table border="1"> <tr><td style="width: 20px; height: 20px;">0</td><td style="width: 20px; height: 20px;">0</td><td style="width: 20px; height: 20px;">0</td></tr> </table>	0	0	0
0	0	0									

**Total** . . . . .

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0	0	0									

If you would like to add additional detail or clarification to your response, please comment in the space provided below.

**C.16 Burden Estimate**

What was the total amount of staff time it took your organization to complete this questionnaire?

**Include:**

- The time spent reading the instructions, working on the questions, and obtaining information.
- The time spent by all employees in collecting and providing this information.

Hours      Minutes

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## SECTION D: RESEARCH AND DEVELOPMENT FOR MICROBUSINESSES

The following section collects information on research and development activity from businesses with W-2 employment between 1 and 9.

### **What is Research and Development (R&D)?**

Research and development (R&D) comprise creative and systematic work undertaken in order to increase the stock of knowledge and to devise new applications of available knowledge.

The term R&D does NOT include expenditures for:

- Costs for routine product testing, quality control, and technical services unless they are an integral part of an R&D project
- Market research
- Efficiency surveys or management studies
- Literary, artistic, or historical projects, such as films, music, or books and other publications
- Prospecting or exploration for natural resources

### **R&D activity in software INCLUDES:**

- Software development or improvement activities that expand scientific or technological knowledge
- Construction of new theories and algorithms in the field of computer science

### **R&D activity in software EXCLUDES:**

- Software development that does not depend on a scientific or technological advance, such as
  - supporting or adapting existing systems
  - adding functionality to existing application programs, and
  - routine debugging of existing systems and software
- Creation of new software based on known methods and applications
- Conversion or translation of existing software and software languages
- Adaptation of a product to a specific client, unless knowledge that significantly improved the base program was added in that process

### **Reporting unit**

The reporting unit is this business, including all subsidiaries and divisions. Include subsidiary companies where there is more than 50 percent ownership.

### **Reporting period**

Report data for the calendar year 2020, if possible, or for this business's fiscal year ending between April 2020 and March 2021.

### **Estimates are acceptable.**

Report all items to the best of your ability.



**D.1 R&D Activities**

During 2020, did this business do any of the following R&D activities? Include activities that:

- This business performed
- Others paid this business to do
- This business paid others to do

**Select one for each row.**

	Yes	No
a. Conducted activities aimed at acquiring new knowledge or understanding without specific immediate commercial applications or uses . . . . .	<input type="checkbox"/>	<input type="checkbox"/>
b. Conducted activities aimed at acquiring new knowledge for solving a specific problem or meeting a specific commercial objective . . . . .	<input type="checkbox"/>	<input type="checkbox"/>
c. Conducted systematic work, drawing on research and practical experience and resulting in additional knowledge, which is directed to producing new products or processes or to improving existing products or processes . . . . .	<input type="checkbox"/>	<input type="checkbox"/>
d. Developed and tested goods, services, or processes that were derived from scientific research or technical findings . . . . .	<input type="checkbox"/>	<input type="checkbox"/>
e. Developed software that advanced scientific or technological knowledge . . . . .	<input type="checkbox"/>	<input type="checkbox"/>
f. Produced findings that could be published in academic journals or presented at scientific conferences . . . . .	<input type="checkbox"/>	<input type="checkbox"/>
g. Applied scientific or technical knowledge in a way that has never been done before. . . . .	<input type="checkbox"/>	<input type="checkbox"/>
h. Created new scientific or technical solutions that can be generalized to other situations.. . . .	<input type="checkbox"/>	<input type="checkbox"/>
i. Conducted work to discover previously unknown technological facts, structures, or relationships. . . . .	<input type="checkbox"/>	<input type="checkbox"/>
j. Conducted work to extend the understanding of scientific facts, relationships, or principles in ways that could be useful to others. . . . .	<input type="checkbox"/>	<input type="checkbox"/>

If “No” is selected for a. – j., **skip to SECTION E: TECHNOLOGY, OPERATIONS, AND INNOVATION** on page 33.

**D.2 R&D Costs**

What was the total cost (both direct and indirect) in 2020 for all the R&D activities reported as “Yes” in the ‘**D.1 R&D Activities**’ question? *Your best estimate is acceptable.*  
**Report dollar amount in thousands. If none, report zero.**

**Include the following costs:**

- Salaries, wages, fringe benefits
- Plant, machinery, and equipment, except that which was capitalized because it had an alternative future use
- Materials, supplies, software
- Rent, utilities
- Consultants, contractors
- Depreciation expense from plant, machinery, and equipment that was capitalized because it had an alternative future use

**Do not include:**

- Costs for routine product testing, quality control, and technical services unless they are an integral part of an R&D project
- Market research
- Efficiency surveys or management studies
- Literary, artistic, or historical projects, such as films, music, or books and other publications
- Prospecting or exploration for natural resources

Total costs for ‘**R&D Activities**’ reported in the ‘**D.1 R&D Activities**’ question for 2020 . . . . .

\$Mil.	Thou.	Dol.
<input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>	<input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>	<input type="text" value="0"/> <input type="text" value="0"/> <input type="text" value="0"/>

If ‘**D.2 R&D Costs**’ are less than \$50,000, **skip to SECTION E: TECHNOLOGY, OPERATIONS, AND INNOVATION** on page 33.



**D.3 Foreign R&D Costs**

During 2020, what amount, if any, of the **'D.2 R&D Costs'** was performed outside the U.S. by this business or others?

**Round to the nearest thousand dollars.** . . . . .

\$Mil.	Thou.	Dol.
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

**D.4 Domestic R&D Costs**

Calculate this business's domestic R&D costs by subtracting the amount entered for R&D costs outside the U.S. (question **'D.3 Foreign R&D Costs'**) from all R&D costs (question **'D.2 R&D Costs'**). This value will be used in other questions in this survey. **Round to the nearest thousand dollars.**

**This business's domestic R&D cost in 2020.** . . . . .

\$Mil.	Thou.	Dol.
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

If **'D.4 Domestic R&D Costs'** equals \$0, **skip to 'D.9 R&D Employees'** on page 32.

**D.5 Types of R&D Costs**

During 2020, how much of the **'D.4 Domestic R&D Costs'** in domestic R&D costs was for each of the following types of costs? **Round to the nearest thousand dollars.**

	\$Mil.	Thou.	Dol.
a. Salaries, wages, and fringe benefits . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
b. Expensed machinery and equipment (not capitalized). . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. Materials and supplies . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
d. Payments to others for R&D, including purchased R&D services . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
e. Depreciation on R&D property and equipment . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
f. All other costs (for example, consultants, contractors, travel, rent) . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
Total = <b>'D.4 Domestic R&amp;D Costs'</b> . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>

**D.6 Domestic R&D Performance Costs**

Calculate this business's domestic R&D performance costs by subtracting the payments for R&D services (item d. in question **'D.5 Types of R&D Costs'**) from domestic R&D costs (question **'D.4 Domestic R&D Costs'**). Use this value in the next question. **Round to the nearest thousand dollars.**

This business's domestic R&D performance costs in 2020. . . . .

\$Mil.	Thou.	Dol.
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

If **'D.6 Domestic R&D Performance Costs'** equals \$0, **skip to 'D.9 R&D Employees'** on page 32.



**D.7 Funding Sources for R&D Activities**

During 2020, of the 'D.6 Domestic R&D Performance Costs' in total domestic R&D performance cost, how much was paid for by the following sources? **Round to the nearest thousand dollars.**

	\$Mil.	Thou.	Dol.
a. This U.S. business. . . . .	0 0 0	0 0 0	0 0 0
b. Your foreign owner (if this business is foreign-owned) . . . . .	0 0 0	0 0 0	0 0 0
c. Venture capital and angel financing . . . . .	0 0 0	0 0 0	0 0 0
d. Other businesses located within the United States . . . . .	0 0 0	0 0 0	0 0 0
e. Other businesses located outside the United States . . . . .	0 0 0	0 0 0	0 0 0
f. Universities or colleges located within the United States. . . . .	0 0 0	0 0 0	0 0 0
g. Nonprofit organizations located within the United States. . . . .	0 0 0	0 0 0	0 0 0
h. U.S. Federal government (including R&D grants). . . . .	0 0 0	0 0 0	0 0 0

Which agency provided the largest share? **Select one from the list below.**

- Department of Defense
- National Science Foundation
- Department of Health and Human Services including the National Institutes of Health
- Department of Energy
- NASA
- Other agencies

h. U.S., State, or local government (not including state universities) . . . . .	0 0 0	0 0 0	0 0 0
i. All other organizations outside the United States. . . . .	0 0 0	0 0 0	0 0 0
Total = 'D.6 Domestic R&D Performance Costs' . . . . .	0 0 0	0 0 0	0 0 0

**D.8 R&D Categories**

During 2020, of the 'D.6 Domestic R&D Performance Costs' in domestic R&D performance cost, how much was for the following with types of R&D? **Round to the nearest thousand dollars.**

	\$Mil.	Thou.	Dol.
a. <b>Basic research</b> – activities aimed at acquiring new knowledge or understanding without specific immediate commercial applications or uses . . . . .	0 0 0	0 0 0	0 0 0
b. <b>Applied research</b> – activities aimed at solving a specific problem or meeting a specific commercial objective. . . . .	0 0 0	0 0 0	0 0 0
c. <b>Development</b> – systematic work, drawing on research and practical experience and resulting in additional knowledge, which is directed to producing new products or processes or to improving existing products or processes. . . . .	0 0 0	0 0 0	0 0 0
Total = 'D.6 Domestic R&D Performance Costs' . . . . .	0 0 0	0 0 0	0 0 0



**D.9 Domestic R&D Employees**

For the pay period including March 12, 2020, how many employees from this business’s domestic operations were **R&D employees** and how many were **all other employees**? Include owners who receive a W-2. **If none, report zero.**

**R&D employees include** all employees who work on R&D or who provide direct support to R&D, such as researchers, R&D managers, technicians, clerical staff, and others assigned to R&D groups. **Exclude** employees who provide only indirect support to R&D, such as corporate personnel, security guards, and cafeteria workers.

Previously you reported this business’s total number of employees in **‘A.8 Number of W-2 Paid Employees or Employee/Owners’** on page 3. Responses below should not exceed the number of employees reported in A.8.

Employees

- a. How many of those employees and owner/employees were R&D employees? . . . . .
- b. Of the R&D employees, how many were female? . . . . .
- c. Of the R&D employees, how many were male? . . . . .

The sum of b. and c. should equal the amount entered in a.

If you reported 0 for item a. in question **‘D.9 Domestic R&D Employees’**, skip to **‘D.13 Tax Credit for Research Activities’**.

**D.10 Domestic R&D Employees’ Occupations**

Of the **‘D.9 a. R&D Employees’**, how many were? **If none, report zero.**

Employees

- a. Researchers (including R&D scientists, engineers, and their managers) . . . . .
- b. R&D technicians and equivalent staff . . . . .
- c. R&D support staff (clerical and other). . . . .
- d. Total R&D employees (Total from **‘D.9 a. Domestic R&D Employees’**) . . . . .
- e. Of the researchers reported in line **D.10 a.**, how many had PhDs? . . . . .

**D.11 Domestic R&D Employees Full-Time Equivalent**

What was the full-time equivalent of the **‘D.9 a. Domestic R&D Employees’**, R&D employees? *For full-time Domestic R&D employees, use the number of employees for the FTEs. For other full-time employees, not working solely on R&D or part-time employees working on R&D, use the share of full-time workweek they work on R&D. Report partial FTEs in decimals. For example, report 1/2 FTE as .5.*

Number of FTEs

Total FTEs . . . . .

**D.12 Domestic Researchers Full-Time Equivalent**

What was the full-time equivalent of the **‘D.10 a. Domestic R&D Employee Occupations’** researchers? **Report partial FTEs in decimals. For example, report 1/2 FTE as .5.**

Number of FTEs

Total FTEs . . . . .

**D.13 Tax Credit for Research Activities**

Did this business file for the tax credit for increasing research activities (IRS Form 6765) in 2020?

- Yes
- No

**Note: Additional questions about R&D changes due to the coronavirus pandemic will be asked in SECTION H: RESEARCH AND DEVELOPMENT AND THE CORONAVIRUS PANDEMIC.**





## SECTION E: TECHNOLOGY, OPERATIONS, AND INNOVATION

The following section collects information on business technology use, domestic and foreign operations, and business innovation of new or improved goods, services, or business processes that differed significantly from this business's previous goods, services, or processes.

### E.1 Digital Share of Business Activity

In 2020, did this business use a digital format for any of the following types of information?

**Select one for each row.**

	Collected primarily in digital format	Collected, but not digitally	Did not collect	Don't know
a. Personnel . . . . .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Financial . . . . .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Customer feedback . . . . .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Marketing . . . . .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Supply chain . . . . .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. Production . . . . .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Other (specify) ↘ . . . . .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### E.2 Cloud Service Purchases

In 2020, did this business use cloud services for any of the following IT functions? Do not include software purchases with embedded cloud features (e.g., Microsoft office, Adobe).

**Select one for each row.**

	In use, primarily cloud-based	In use, but not cloud-based	Not in use	Don't know
a. Security or firewall . . . . .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Servers . . . . .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Data storage and management ( e.g., Amazon Web Services, IBM Bluemix, Microsoft Azure) . . . . .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Collaboration and file synchronization (e.g., Dropbox, OneDrive, Google Drive). . . . .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Data analysis . . . . .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. Billing and account management. . . . .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Customer relationship management. . . . .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h. Other (specify) ↘ . . . . .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



**E.3 Business Technologies**

In 2020, did this business produce goods or provide services by using or applying any of the following technologies?

**Select one for each row.**

	In use	In testing, but not in use	Not in use nor testing	Don't know
a. Augmented reality . . . . .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Automated guided vehicles (AGV) or AGV systems . . . . .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Machine learning . . . . .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Machine vision. . . . .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Natural language processing . . . . .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. Radio-frequency identification (RFID) system . . . . .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Robotics Touchscreens/kiosks for customer interface (e.g., self-checkout, self-check-in, touchscreen ordering) . . . . .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h. Voice recognition software. . . . .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i. Additive manufacturing (3D printing) including prototyping. . . . .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**E.4 Activities Conducted by Unaffiliated Companies**

In 2020, did any unaffiliated companies located in the United States conduct any of the following activities for this business? *Unaffiliated companies include firms such as independent contractors and suppliers.*

**Select one for each row.**

	Yes	No
a. Core production (cost of goods and services in your primary business activities) . . . . .	<input type="checkbox"/>	<input type="checkbox"/>
b. Distribution and logistics (include transportation costs) . . . . .	<input type="checkbox"/>	<input type="checkbox"/>
c. Marketing, sales/after sales services. . . . .	<input type="checkbox"/>	<input type="checkbox"/>
d. Administrative or management functions . . . . .	<input type="checkbox"/>	<input type="checkbox"/>
e. Research and development (R&D includes creative and systematic work undertaken in order to increase the stock of knowledge and to devise new applications of available knowledge). . . . .	<input type="checkbox"/>	<input type="checkbox"/>
f. Engineering and other technical services (includes testing and design other than R&D). . . . .	<input type="checkbox"/>	<input type="checkbox"/>
g. Information and Communication Technology (ICT) services. . . . .	<input type="checkbox"/>	<input type="checkbox"/>
h. All other operating expenses . . . . .	<input type="checkbox"/>	<input type="checkbox"/>



**E.5 Activities Conducted by Foreign Companies**

In 2020, did any companies located outside the United States conduct any of the following activities for this business? *Companies located outside the United States may be unaffiliated or affiliated, such as a foreign affiliate or a foreign parent.*

**Select one for each row.**

	Yes	No
a. Core production (cost of goods and services in your primary business activities) . . . . .	<input type="checkbox"/>	<input type="checkbox"/>
b. Distribution and logistics (include transportation costs) . . . . .	<input type="checkbox"/>	<input type="checkbox"/>
c. Marketing, sales/after sales services. . . . .	<input type="checkbox"/>	<input type="checkbox"/>
d. Administrative or management functions . . . . .	<input type="checkbox"/>	<input type="checkbox"/>
e. Research and development (R&D includes creative and systematic work undertaken in order to increase the stock of knowledge and to devise new applications of available knowledge). . . . .	<input type="checkbox"/>	<input type="checkbox"/>
f. Engineering and other technical services (includes testing and design other than R&D). . . . .	<input type="checkbox"/>	<input type="checkbox"/>
g. Information and Communication Technology (ICT) services. . . . .	<input type="checkbox"/>	<input type="checkbox"/>
h. All other operating expenses . . . . .	<input type="checkbox"/>	<input type="checkbox"/>

**E.6 New or Improved Goods**

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

**E.7 New or Improved Services**

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



## SECTION F: FINANCING

### CORONAVIRUS PANDEMIC

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

#### F.1 Effect of Coronavirus Pandemic on Business Sales

How would you assess the overall effect of the coronavirus pandemic on this business's sales in 2020?

- Increased significantly
- Increased somewhat
- Had little to no change
- Decreased somewhat
- Decreased significantly

#### F.2 Sources of Financial Assistance During Coronavirus Pandemic

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 – **Skip to 'F.6 Level of Operations During Coronavirus Pandemic'** on page 37

#### F.3 Government Financial Assistance Requested During Coronavirus Pandemic

What was the total dollar amount of government-sponsored coronavirus pandemic financial assistance (from the previous question – 'F.2 Sources of Financial Assistance During Coronavirus Pandemic') that this business **requested? Round to the nearest one thousand dollars. If none, report zero.** . . . . .

\$Bil.	Mil.	Thou.	Dol.
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
			0 0 0

If response is \$0, **skip to 'F.6 Level of Operations During Coronavirus Pandemic'** on page 37.

#### F.4 Government Financial Assistance Received During Coronavirus Pandemic

What was the total dollar amount of government-sponsored coronavirus pandemic financial assistance that this business **received? Round to the nearest one thousand dollars. If none, report zero.** . . . . .

\$Bil.	Mil.	Thou.	Dol.
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
			0 0 0

If response is \$0, **skip to 'F.6 Level of Operations During Coronavirus Pandemic'** on page 37.



**F.5 Government Financial Assistance Forgiveness**

What share of the government-sponsored coronavirus pandemic financial assistance received was forgiven or does not need to be paid back?

- None
- 1 – 25%
- 26 – 50%
- 51 – 75%
- 76 – 100%
- Don't know

**F.6 Level of Operations During Coronavirus Pandemic**

Will this business be able to maintain operations into the next year (2022)?

- Yes, at or above the current level of operations
- Yes, at or below the current level of operations
- No
- Don't know

**F.7 Financial Health of the Business**

In 2021, how concerned are you about the financial health of this business?

- Not that concerned
- Somewhat concerned
- Very concerned

**F.8 Outstanding Debt for the Business**

What is the total amount of this business's current outstanding debt?

**Round to the nearest one thousand dollars. If none, report zero.**

\$Bil.	Mil.	Thou.	Dol.
<input type="text"/>	<input type="text"/>	<input type="text"/>	0 0 0

- Don't know



### SMALL BUSINESS CREDIT

When answering the following questions, please respond based on this business's credit-seeking activity for the 12 months ending December 31, 2020. *Exclude loans that were forgiven as part of a government response to the coronavirus pandemic.*

#### F.9 New Credit Applications

For the 12 months ending December 31, 2020, did this business submit an application for new credit (e.g., a credit card, loan, line of credit, trade financing, etc.)?

- Yes
- No – **Skip to SECTION G: MANAGEMENT PRACTICES** on page 39
- Don't know – **Skip to SECTION G: MANAGEMENT PRACTICES** on page 39

#### F.10 New Credit Sources

For the 12 months ending December 31, 2020, from what lenders 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 (nonprofit 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 payment 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 

#### F.11 New Credit Received


For the 12 months ending December 31, 2020, how much of the total amount of credit requested did this business receive?

- None
- Some
- All
- Don't know

#### F.12 Business Financing Uses

For the 12 months ending December 31, 2020, for what purpose did this business seek financing?

**Select all that apply.**

- Meet operating expenses
- Expand business, pursue new opportunity, or acquire business assets
- Refinance or pay down debt
- Other, specify 



## SECTION G: MANAGEMENT PRACTICES

The following section collects information on management practices and employee training.

### G.1 Managing Production Problems or Service Issues

In 2020, what best describes what happened at this business when a production problem or service issue 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 production problem or service issue arose

### G.2 Number of Key Performance Indicators

In 2020, 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 – **Skip to 'G.4 Frequency of Customer Satisfaction Monitoring'** on page 40

### G.3 Frequency of Key Performance Indicators

During 2020, 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



#### G.4 Frequency of Customer Satisfaction Monitoring

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

#### G.5 Business Targets

In 2020, what best describes the timeframe of business, service, or production targets at this business? *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 ‘G.7 Employee Promotion’**

#### G.6 Level of Effort to Reach Business Targets

In 2020, how much effort did it take to achieve business, service, or production targets at this business as compared to previous years’ effort?

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

#### G.7 Employee Promotion

In 2020, 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 (e.g., tenure or family connections)
- Promotions were based mainly on factors other than performance and ability (e.g., tenure or family connections)
- Employees are not promoted
- Not applicable





**G.8 Under-Performing Employee**

In 2020, was an under-performing employee reassigned or dismissed?

- Yes, within 6 months of identifying under-performing employee
- Yes, after 6 months of identifying under-performing employee
- Under-performing employees were not reassigned or dismissed
- No under-performing employees identified
- Not applicable

**G.9 Employee Training Expenditures**

In 2020, how much did this business spend on formal training programs? **Round to the nearest one thousand dollars.**  
**If none, report zero.** .....

\$Bil.	Mil.	Thou.	Dol.
<input type="text"/>	<input type="text"/>	<input type="text"/>	0 0 0

**G.10 Employee Training Participation**

In 2020, what percent of employees received any formal training?  
**If none, report zero** .....

Percent

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	%
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If response is 0%, **skip to SECTION I: CONTACT INFORMATION** on page 43.

**G.11 Hours of Employee Training**

In 2020, what was the average number of formal training hours each employee received?

Hours

Average number of hours .....

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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**G.12 Area of Employee Training**

In 2020, which of the following areas did employees cover during their formal training?

**Select all that apply.**

- Occupational Safety and Health Administration (OSHA) or other safety training
- Other mandated or required government training (federal, state, or local)
- Improving teamwork or problem-solving skills
- Training in sales and customer service
- Training to use computers or new equipment
- Training on the same use of equipment and tools
- Other, specify ↴



## SECTION H: RESEARCH AND DEVELOPMENT AND THE CORONAVIRUS PANDEMIC

The coronavirus pandemic resulted in major economic changes, as businesses reacted to a general shutdown that started in the United States in mid-March 2020. When answering the following questions, please consider how the coronavirus pandemic affected this business's research and development (R&D) activities.

### H.1 R&D Changes due to the Coronavirus Pandemic

In 2020, did the following statements apply to this business's research and development (R&D) in response to the coronavirus pandemic? **Select one for each row.**

- |   | Yes                      | No                       |
|---|--------------------------|--------------------------|
| a. New R&D projects were started . . . . .                  | <input type="checkbox"/> | <input type="checkbox"/> |
| b. Existing R&D projects were canceled . . . . .            | <input type="checkbox"/> | <input type="checkbox"/> |
| c. Existing R&D projects were disrupted or delayed. . . . . | <input type="checkbox"/> | <input type="checkbox"/> |

Check here if business did not have R&D and **skip to SECTION I: CONTACT INFORMATION** on page 43.

### H.2 Impact of Coronavirus Pandemic on R&D Expenditures

In 2020, did this business modify its in-house R&D expenditures in response to the coronavirus pandemic?

- Yes, increased in-house R&D expenditures
- Yes, decreased in-house R&D expenditures
- No change in in-house R&D expenditures due to the coronavirus pandemic
- Don't know

### H.3 R&D Performance Due to Coronavirus Pandemic

In 2020, did this business perform in-house R&D on coronavirus pandemic related R&D projects in response to the coronavirus pandemic? *For example, R&D to create self-sterilizing work surfaces; R&D to develop a COVID-19 diagnostic test; R&D to adapt LEDs to UV for light-weight air purification system, etc.*

- Yes
- No

### H.4 Impact of Coronavirus Pandemic on R&D Full-Time Equivalent Personnel

In 2020, were there any changes to the number of full-time equivalent (FTEs) R&D personnel employed or contracted in response to the coronavirus pandemic by this business?

- Yes, increase in FTEs
- Yes, decrease in FTEs
- No change in R&D personnel due to the coronavirus pandemic
- Don't know

### H.5 Outsourcing R&D Expenditures due to the Coronavirus Pandemic

In 2020, did this business modify its outsourced R&D expenditures in response to the coronavirus pandemic?

- Yes, increased outsourced R&D expenditures
- Yes, decreased outsourced R&D expenditures
- No change in payments made to other organizations for R&D due to the coronavirus pandemic
- Don't know



## SECTION I: CONTACT INFORMATION

Enter the first and last name of the person who is filling out this survey. We request a telephone number so we can contact you if there is a question.

Contact Name

Title

Area code

Phone number

Ext.

Email address

**Additional Remarks:** Please use this space for any explanations that may be essential in understanding your reported data.

**Thank you for completing the 2021 Annual Business Survey form.**



## **Definitions**

### **Domestic (or U.S.-located):**

Refers to a location in any of the U.S. 50 states and the District of Columbia.

### **Foreign parent (of a U.S.-located business):**

The first entity outside the United States in an affiliate's ownership chain that has a direct or indirect investment interest of more than 50 percent of the affiliate's voting securities.

### **Intellectual property:**

Includes patents, processes, and trade secrets; books and music; trademarks; recorded performances and events such as radio and television programs and motion pictures; broadcast and recorded live performances and events and their content; general use computer software; franchise fees; and other (for example, digital media).

### **Research and Development (R&D):**

Research and development (R&D) comprise creative and systematic work undertaken in order to increase the stock of knowledge and to devise new applications of available knowledge.

The term R&D does NOT include expenditures for:

- Costs for routine product testing, quality control, and technical services unless they are an integral part of an R&D project
- Market research
- Efficiency surveys or management studies
- Literary, artistic, or historical projects, such as films, music, or books and other publications
- Prospecting or exploration for natural resources

### **R&D activity in software INCLUDES:**

- Software development or improvement activities that expand scientific or technological knowledge
- Construction of new theories and algorithms in the field of computer science

### **R&D activity in software EXCLUDES:**

- Software development that does not depend on a scientific or technological advance, such as
  - supporting or adapting existing systems
  - adding functionality to existing application programs, and
  - routine debugging of existing systems and software
- Creation of new software based on known methods and applications
- Conversion or translation of existing software and software languages
- Adaptation of a product to a specific client, unless knowledge that significantly improved the base program was added in that process

