Year 4 Cluster Administrator Survey:

Dear Cluster Administrators,

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

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

Cluster Administrator Survey Instructions:

- > The cluster administrator survey contains five parts, each located on one of the five worksheets after the Instructions worksheet you are currently reading.
- > Each part has its own set of instructions located at the top of the worksheet under the worksheet title. Please take the time to read these instructions, as they contain important information about how to accurately complete the associated worksheet.
- > For each worksheet, **please start each row by completing the left-most column** (e.g., small business name, event name, etc.). Once the left-most cell of the row is completed, you will notice that the content of some of the cells to the right of it have changed. We built this automation to facilitate your entry and to ensure that you only complete what is necessary.
- > A glossary of terms is provided on the last worksheet to the right to help you clarify any term that isn't clear.

Large Organizati

Please provide a roster of large organizations (e.g., large businesses, universities and resear nonprofit institutions) that have participated in the cluster be

If a large organization participating in the cluster changed name during the Regional Innov name.

Clarification and definitions for each column can b

| Large organization's name | Point of Contact - First Name |
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| Organization A | Enter First Name |
| Organization B | Enter First Name |
| Organization C | Enter First Name |
| Organization D | Enter First Name |
| Organization E | Enter First Name |

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ch institutions, business associations, public sector agencies, foundations and other tween **October 1, 20XX** and **September 30, 20XX**.

ation Clusters initiative, please enter it only once using its new name and **bold** the

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Please provide a roster of small businesses that have parti (i) has either gone through the cluster intake/screening pr service funded vi

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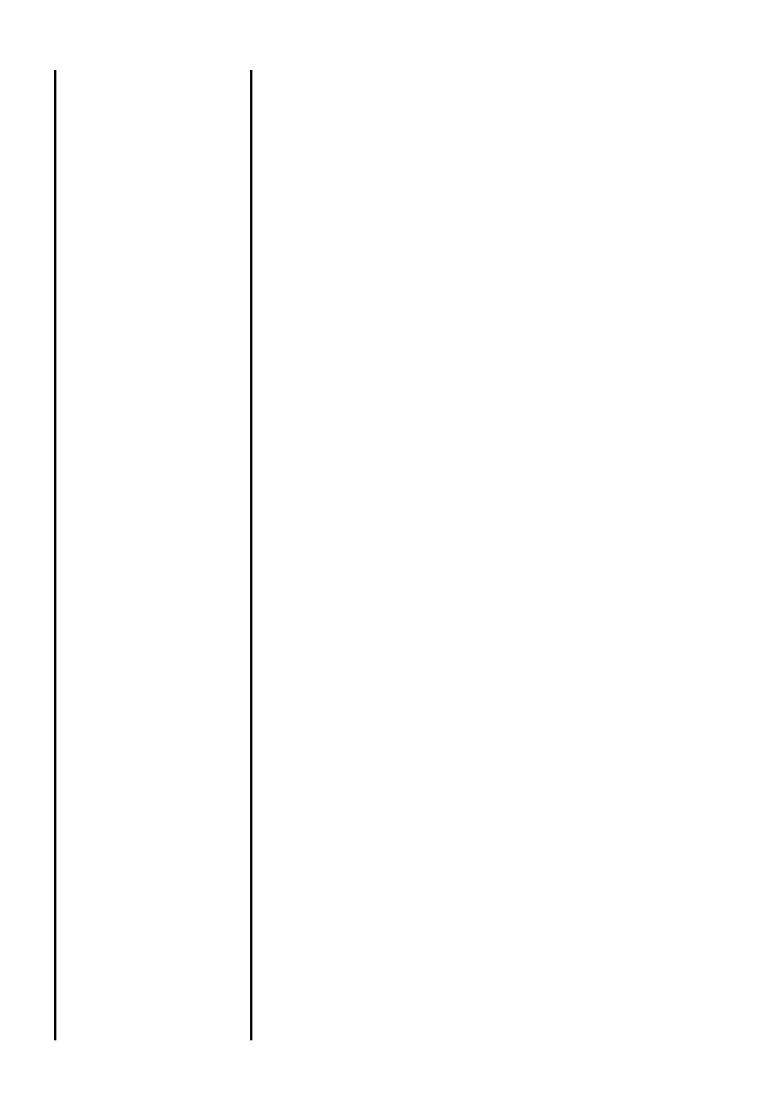
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cipated in the cluster at any time between **October 1, 20XX, and September 30, 20**2 ocess and has become a cluster member or operates/is purposefully seeking to operate a the SBA's Regional Innovation Clusters initiative between **October 1, 20XX and S**

ame during the duration of the Regional Innovation Clusters initiative, please enter it

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XX. A small business cluster participant is defined as one that e in the cluster's industry of focus, AND (ii) has received any **eptember 30, 20XX**.

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Small Business Information

less in the roster please provide the following information for the period between October 1, 20X

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

| Did the small business have any employees as of 9/30/2014? | Did the small business withdraw from the cluster as of 9/30/2014 ? | Month and year of small business withdrawal from cluster | Reason for small business withdrawal |
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| X, and September 30, 20XX. ader. | For each ¿ |
|---|--|
| If you selected "Other" in column K, please explain | Estimated number of hours spent on one- on-one counseling/technical assistance between 10/1/2013 and 9/30/2014 |
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active small business participant in the cluster, please provide the following i

Clarification and de

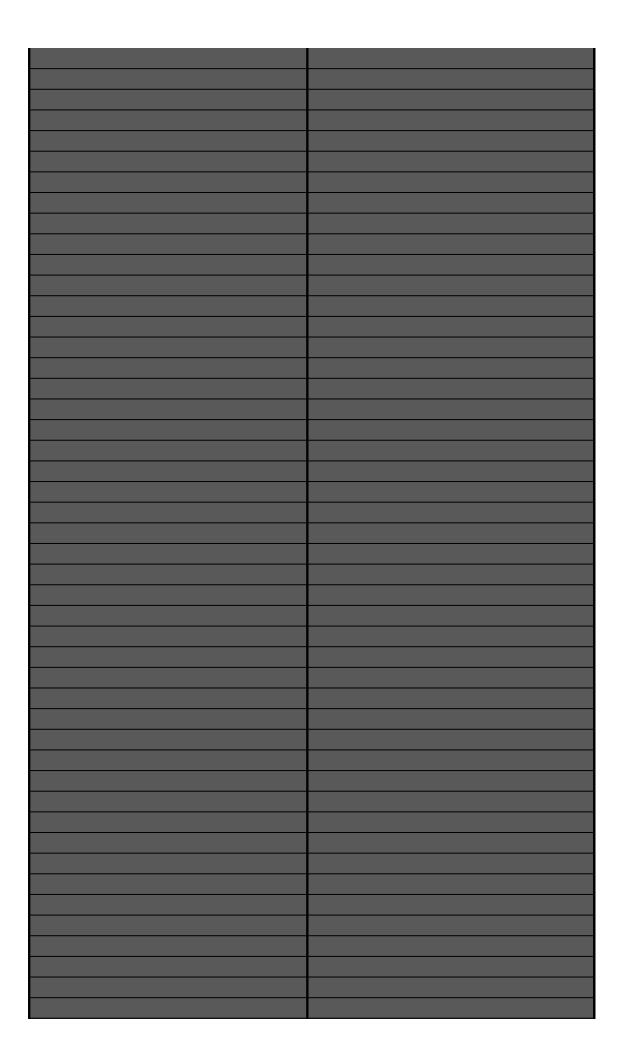
| Primary mode of one-on-one counseling/technical assistance | If you selected "Other" in column N, please explain |
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| Cai | assistance | services | to Silia | n dusmess |

nformation on One-on-one counseling and technical assistance services for the period be *finitions for each column can be obtained by clicking the column's header.*

| Primary area of focus | Secondary area of focus |
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| Tertiary area of focus | If you selected "Other" in column P, Q, |
| Tertiary area of focus | or R, please explain |
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| | | |
| | If an event (e.g., conf | erence, symposium) invol |
| | | |
| | | |
| Group event/activity name | Group event/activity type | Year and quarter during which group event/activity was held |
| A | В | С |
| Event A | Select from list | Select from list |
| Event B | Select from list | Select from list |
| Event C | Select from list | Select from list |
| Event D | Select from list | Select from list |
| Event E | Select from list | Select from list |
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Group events/activities offered by the cluster

'activities organized or sponsored by the cluster between **October 1, 20**Please note that matchmaking and showcasing opportunities can in

ves multiple activity types, please reenter the event's name with the othe component of the eve

Clarification and definitions for each column can be obt

| Primary area of focus | Secondary area of focus |
|-----------------------|-------------------------|
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XX, and **September 30**, **20**XX, using SBA funds from the Regional Innovation Clusters initiative. volve a single small business as well as several.

er activity type(s) in the rows below and, when available, provide the number of participants for each ent.

ained by clicking the column's header.

| Tertiary area of focus | If you selected "Other" in column D, E, or F, please explain | Number of small business cluster participants that attended the group event/activity |
|------------------------|---|---|
| F | G | Н |
| | | Enter number |
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| Number of large businesses that attended the group event/activity | Number of public sector agencies that attended the group event/activity | Number of universities and research institutions that attended the group event/activity |
|---|---|--|
| I | J | K |
| Enter number | Enter number | Enter number |
| Enter number | Enter number | Enter number |
| Enter number | Enter number | Enter number |
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| Number of foundation and other | Number of business |
|---------------------------------------|--------------------------|
| nonprofit organizations that attended | |
| the group event/activity | the group event/activity |
| L | M |
| Enter number | Enter number |
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| | In the table below, please provide information on contracts/st awards. Please only Clarification | |
| Small business name | Award type | Month and year of award |
| A | В | С |
| Business A | Select from list | Enter date |
| Business A | Select from list | Enter date |
| Business B | Select from list | Enter date |
| Business C | Select from list | Enter date |
| Business D | Select from list | Enter date |
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tract awards received by cluster small businesses

ibcontracts, loans, private equity, grants, and SBIR/STTR awards for all include awards that were awarded between **October 1, 20XX**, and **Sept**

and definitions for each column can be obtained by clicking the colum

| Total dollar amount | Share of total award to small business | Expected contract duration (years) |
|---------------------|---|---------------------------------------|
| D | E | F |
| Enter amount | Enter percentage | N/A |
| Enter amount | Enter percentage | N/A |
| Enter amount | Enter percentage | N/A |
| Enter amount | Enter percentage | N/A |
| Enter amount | Enter percentage | N/A |
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active small business cluster participants that reported such ember 30, 20XX.

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Influence of cluster on award

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| 1) Number of non-small business cluster participants | | |
|---|--------------------|--|
| participated in your cluster between October 1, 20XX, and September 30, 20X | X. Click on a | |
| <u>Participant type</u> | Number of entities | |
| ge businesses | | |
| siness associations | | |
| versities or research institutions | | |
| lic sector agencies | | |
| indations and other nonprofit organizations | | |

| 2) Estimated use of SBA funds and September 30, 2011, toward: | | |
|--|------------------|--|
| direct provision of services to cluster participants (e.g., training/workshop events, showcasing opportunities, matchmaking opportunities, other group events/activities, one-on-one counseling/technical assistance, newsletters, virtual collaboration platform development/management): | cum diculavad in | |
| other activities that did not include interaction with cluster participants (e.g., cluster management, cluster promotion, and strategic planning): | - | |

| 3) Estimated use of cluster time by activity type September 30, 20 AA. | | |
|--|-------------------|--|
| ocpicinoci 50, 2022. | | |
| One-on-one counseling/technical assistance of small businesses: | to make sure once | |
| 9 | | |
| Group events/activities: i) Training and workshops: | | |
| ii) Networking events: | | |
| iii) Matchmaking opportunities (e.g., small business referrals, teaming/matchmaking events, teaming facilitation and support): | | |
| iv) Showcasing opportunities (e.g., technology and prototype demonstrations to third parties individually or at events, trade exhibitions): | | |
| Information dissemination (e.g., newsletters, posting of industry-relevant reports and presentations, creation and operation of industry-relevant database and virtual collaboration platforms): | | |
| Cluster management, including strategic planning, cluster promotion: | | |
| Other (please explain below): | | |
| | | |

Total percentage for question 0%

Total percentage for question 3):

| Active cluster participant: |
|---|
| Business association: |
| Business development: |
| Cluster withdrawal: |
| Contract/subcontract: |
| Group event/activity: |
| One-on-one counseling/technical assistance: |
| First cluster participation date: |
| Large business: |
| Matchmaking opportunity: |
| Networking event: |
| Nonprofit organization: |
| Public sector agency: |
| SBIR/STTR: |
| Showcase opportunities: |

| Small business: |
|-------------------------------------|
| Small business cluster participant: |
| Training/workshop: |

Cluster Administrator Survey Glossary

A small business that meets the definition of a "small business cluster participant" (see entry below) **AND** has specifically a counseling/technical assistance OR 2) attended a cluster training/networking/matchmaking/showcase opportunity at least between October 1, 2013, and September 30, 2014.

An organization created for the purpose of representing and furthering the business interests of its members. These organ forms, such as a trade association that represents a specific industry or a chamber of commerce that represents the busin geographic area.

The process and related tasks concerned with the preliminary analysis of potential growth opportunities as well as the sup ongoing implementation of growth opportunities. Examples include identifying new reasons why potential customers and small business, identifying new sales channels and customers, and identifying relationships that may be mutually revenue business and its clients/partners.

A cluster participant withdraws from the cluster if it (i) formally rescinded its engagement with the cluster; (ii) is known to relocated outside the cluster's area, or changed its name (in which case, if the new small business is still a cluster participal cluster roster of the cluster); OR (iii) has not been in contact with the cluster since 3/31/2014.

A legal document signed by all parties of a sales transaction that defines the parameters of that transaction (e.g., number duration of the performance). In the context of this spreadsheet, the contract/subcontract category includes all contracts of goods and services, including purchase orders and blanket orders received from buyers.

An event/activity hosted by the cluster, individually or in collaboration with other organizations, whereby cluster participal relevant to the cluster's industry of focus, showcase their products or services, or network with program sponsors, large by Various types of group events/actitives include trainings/workshops, networking opportunities, showcasing opportunities, opportunities.

An activity defined as the provision of one-on-one assistance and guidance related to starting or growing a business, inclugeneral business consulting, technical assistance, business development, and guidance related to resolving specific business

Either (i) the date on which the small business became a cluster member if the cluster has a membership or intake process the small business first received one-on-one counseling/technical assistance, attended a networking/training/showcase of in the cluster newsletter mailing list, if the cluster does not have a membership or intake process.

Any company that did not qualify as a small business (see "small business" definition in this glossary), based on SBA's stan

An event/activity facilitated by the cluster, either alone or in collaboration with other organizations, whereby cluster partibusinesses and prime contractors or among themselves around contracting and award opportunities in a particular technocluster with the explicit intention of creating competitive teams able to respond to these opportunities. These events/actismall businesses or a single one. Examples include small business referral, teaming/matchmaking events, and teaming fac

An event facilitated by the cluster, either alone or in collaboration with other organizations, whereby cluster members me large businesses, prime contractors, and other potential end users or providers to end users of the small business product

An organization that uses funds earned or donated to help achieve its goals. Any earnings beyond the costs of doing busin organization for future programs and activities. Most nonprofits are incorporated under Section 501(c) of the Internal Rev

Any organization responsible for the oversight and administration of specific government functions. Such an organization state, or local government. Examples of public sector agencies are federal agencies, such as the SBA, public corporations,

Small Business Innovation Research/Small Business Technology Transfer, U.S. government grant programs coordinated by encourage and support technological innovation, meet the research and development needs of the federal government, a commercialization of federally funded technologies.

An event/activity facilitated by the cluster, individually or in collaboration with other organizations, whereby cluster partic display, demonstrate, market) technology products or services to potential customers, including prime and subprime cont showcase opportunities include technology and prototype demonstrations to third parties individually or at events and traevents/activites can involve multiple small businesses or a single one.

The SBA defines a small business as one that is independently owned and operated, is organized for profit, and is not dom on the industry, size standard eligibility is based on the average number of employees for the preceding 12 months or on 3-year period.

Examples of SBA general size standards include the following:

- (i) <u>Manufacturing:</u> For most manufacturing industries, the maximum number of employees must be below 500, but small manufacturing industries may have up to 1,500 employees;
- (ii) <u>Services:</u> For most professional services, annual receipts may not exceed \$7 million, but there are exceptions for certai \$33.5 million;
- (iii) Retailing: Annual receipts may not exceed \$7.0 to \$35.5 million, depending on the particular category of product being
- (iv) General and heavy construction: General construction annual receipts may not exceed \$33.5 million;
- (v) Special trade construction: Annual receipts may not exceed \$14 million; and
- (vi) Agriculture: Annual receipts may not exceed \$0.75 to \$12.5 million, depending on the category of agricultural product

More information can be found on the SBA website: http://www.sba.gov/sites/default/files/files/Size_Standards_Table.pd

A small business that (i) has either gone through the cluster intake/screening process and has become a cluster member of to operate in the cluster's industry of focus **AND** (ii) has received any service funded via the SBA's Regional Innovation Clu 1, 2013 and September 30, 2014.

An activity defined as conducting a group session or workshop on one or more topics of interest to small businesses that a