

OMB Control Number 3245-0356  
Expiration Date:

Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) Programs Company Registry and Commercialization Information Collection

**Appendix IV: Company Registry Database**

The fields below describe the data collected for the Company Registry. The Company Registry is collected directly from SBC applicants through SBIR.GOV. SBC applicants are expected to register this information before their first application to the program at any participating agency; thereafter, the SBC applicant is required to update this information upon every application. Based on 15 U.S.C. 638(k), information in this database is privileged and confidential and not subject to disclosure pursuant to 5 U.S.C. § 552, Freedom of Information Act. The information is only accessible to participating federal agencies' personnel, agents or contractors. The data will be protected using Point-To-Point Session Encryption. All logins are protected by "https," the industry standard for encryption.

Commented [RCB1]:  
Commented [RCB2R1]:

The total estimated burden for the registry databases is approximately 30 minutes. This time includes reading reporting directions, gathering information, and filling out the online data forms.

You are not required to respond to this collection of information unless it displays a currently valid OMB control number. (3245-0356). Comments on this burden or other aspects of this collection of information should be submitted to Director, Records Management Division, 409 Third Street, SW, Washington, DC 20416, and/or SBA Desk Officer, Office of Management and Budget, New Executive Office Bldg., Rm. 10202, Washington, DC 20503. You may also send comments to SBA via email to [technology@sba.gov](mailto:technology@sba.gov)

**Collection Frequency: Small Businesses Register or Reconfirm at Time of Application**

**Public Data (Y/N): No**

<b>Company Registry Field Name</b>	<b>Reporting Mechanism</b>	<b>Agency interaction</b>
Agency Tracking #	Company reports data to SBA	Receives pdf from Company
SBA Firm ID	Company reports data to SBA	Receives pdf from Company
Company URL	Company reports data to SBA	Receives pdf from Company
HQ Address 1	Company reports data to SBA	Receives pdf from Company
HQ Address 2	Company reports data to SBA	Receives pdf from Company
HQ City	Company reports data to SBA	Receives pdf from Company
HQ Zip Code	Company reports data to SBA	Receives pdf from Company
HQ Zip Code +4	Company reports data to SBA	Receives pdf from Company
HQ State	Company reports data to SBA	Receives pdf from Company

Company Name	Company reports data to SBA	
Number of Employees	XML or manual upload to TechNet	
Receives pdf from Company		
Agency collects data, provides to SBA. Also updated as a part of commercialization information		
Flag for External Funding	Company reports data to SBA	Receives pdf from Company
Investment Ownership Percentage	Company reports data to SBA	Receives pdf from Company
Majority-Owned by External Funding Firms	Company reports data to SBA	Receives pdf from Company
Affiliate Name	XML or manual upload to TechNet	Agency collects data, provides to SBA
Affiliate Address 1	XML or manual upload to TechNet	Agency collects data, provides to SBA
Affiliate Address 2	XML or manual upload to TechNet	Agency collects data, provides to SBA
Affiliate City	XML or manual upload to TechNet	Agency collects data, provides to SBA
Affiliate Zip Code	XML or manual upload to TechNet	Agency collects data, provides to SBA
Affiliate Zip Code + 4	XML or manual upload to TechNet	Agency collects data, provides to SBA
Affiliate Number of Employees	XML or manual upload to TechNet	Agency collects data, provides to SBA
Additional Funding Type	XML or manual upload to TechNet	Agency collects data, provides to SBA
Additional Funding Amount	XML or manual upload to TechNet	Agency collects data, provides to SBA
Investment Type [VC, Hedge, PE]	Company reports data to SBA	Receives pdf from Company
Investment Firm Name	Company reports data to SBA	Receives pdf from Company
Investment Not US-Based	Company reports data to SBA	Receives pdf from Company
Investment Amount	Company reports data to SBA	Receives pdf from Company

## **Appendix VII: Commercialization Database**

The fields below describe the data collected for the Commercialization Database. The Commercialization Database is collected directly from SBC applicants through SBIR.GOV. SBC applicants are expected to register this information after their first application after the receipt of a Phase II award to the program at any participating agency; thereafter, the SBC applicant is required to update this information upon every application and/or update the information annually – whichever period comes first.

Based on 15 U.S.C. 638(k) † information in this database is privileged and confidential and not subject to disclosure pursuant to 5 U.S.C. § 552, Freedom of Information Act. The information is only accessible to participating federal agencies' personnel, agents or contractors - The data will be protected using Point-To-Point Session Encryption. All logins are protected by "https," the industry standard for encryption.

The estimated reporting burden for the collection of information in the *Commercialization Database* is 1.5 hours to read the directions, gather the required information, and to complete the survey each year. You are not required to respond to this collection of information unless it displays a currently valid OMB control number. (3245-0356). Comments on this burden or other aspects of this collection of information should be submitted to [Director, Records Management](#) 409 Third Street, SW, Washington, DC 20416, and/or SBA Desk Officer, Office of Management and Budget, New Executive Office Bldg., Rm. 10202, Washington, DC 20503. You may also send comments to SBA via email to [technology@sba.gov](mailto:technology@sba.gov)

**Reporting Mechanism: XML or manual upload to SBIR.GOV**  
**Agency interaction: Agencies and companies report to SBIR.GOV**

**Collection Frequency: (1) In real time; (2) SBC updates prior to subsequent award application**

**Commercialization Field Name      Type (Integer/Decimal  
Variable Character)**

**Firm Level Commercialization:**

Company Name	int(10) unsigned
Agency Tracking#	int(10) unsigned
SBA Firm ID	int (10) unsigned
IPO	varchar(1)
IPO Value	int(11)
Merger/Acquired	varchar(1)
Spinoff	varchar(1)
Narrative	varchar(4000)
Comm Contact First Name	varchar(50)
Comm Contact Middle Name	varchar (1)
Comm Contact Last Name	varchar(50)
Comm Contact Title	varchar(50)
Comm Contact Phone	varchar(14)
Comm Contact Email	varchar(50)
Sales Amount	decimal (20,2)
Investment Amount	decimal (20,2)
Patent#’s	varchar(4000)
Number of Patents	int(50)
Investment Types	
Sales Type	
Copyrights	

**Award Level Commercialization**

Product Launched	varchar(1)
Names of Company Established for Product/Commercialization	varchar(50)
Sales Amount	decimal(20,2)
Investment Amount	decimal(20,2)
Investment Type	int(11)
Sales Type	int(11)

Phase III Value	decimal(20,2)
Phase III Launched/Implemented	varchar(1)
(CRP) Phase III Narrative (CRP)	varchar(4000)

