

Table of Contents

THE QUESTIONNAIRE	13
PARTICIPANTS LIST	19
Characteristics of the Sample.....	20
SUMMARY OF MAIN FINDINGS.....	21
Number of Grants STTR Applied For.....	21
Number of SBIR Grants Applied For	21
Number of SBIR Grants Won	21
Number of STTR Grants Won	21
Mean Level of Funding for STTR Grants	21
Subcontracting as a Percentage of Total Funding.....	22
Share of Each of SBIR and STTR Grants as Percentage of the Total of the Two	22
Percentage of Sample that has Ever Won an STTR Phase 1 Grant.....	22
Percentage of the Sample that has Ever Won and SBIR Phase 1 Grant.....	22
Staff Time per Year Spent on SBIR/STTR Grants	22
Use of Consultants	22
Propensity to Attend the HHS Annual SBIR/STTR Conference	23
Staff Facility with RePORT, Federal RePORTER and Grants.Gov	23
Participation in the National Institute of Health’s Niche Assessment Program	24
Percentage of SBIR & STTR Phase 1 Contracts Resulting from Prior SBIR/STTR Contracts	24
Best Prospects at the NIH for SBIR or STTR Contracts	24
SBIR/STTR Cooperation with One’s Own Spin-Offs.....	24
SBIR/STTR Cooperation with Companies Owned or Headed by Alumni	24
SBIR/STTR Cooperation with Companies that License University-Developed Technology	25
Percentage of Projects Proposed by Universities and the Percentage Proposed by Companies.....	25
Percentage of PHASE 1 Grant Recipients that Move to Phase 2	25
Percentage of PHASE 2 Grant Recipients that Move to Phase 3	25
Assessment of the Quality of Knowledge of University Staff Officials that Assist in Obtaining SBIR and STTR Grants.....	26
Plans for Staff Time Spent on the Pursuit of SBIR & STTR Grants	26
Table 1 How many of each of the following has the college or other entities that are at least partially controlled by the college applied for in the past three years?	27
Table 1.1.1 How many STTR Grants has the college or other entities that are at least partially controlled by the college applied for in the past three years?	27
Table 1.1.2 How many STTR Grants has the college or other entities that are at least partially controlled by the college applied for in the past three years? Broken out for public and private universities.....	27
Table 1.1.3 How many STTR Grants has the college or other entities that are at least partially controlled by the college applied for in the past three years? Broken out by type of institution.....	27
Table 1.1.4 How many STTR Grants has the college or other entities that are at least partially controlled by the college applied for in the past three years? Broken out by enrollment	28

SURVEY OF BEST PRACTICES FOR PURSUIT OF NIH SBIR AND STTR GRANTS

Table 1.1.5 How many STTR Grants has the college or other entities that are at least partially controlled by the college applied for in the past three years? Broken out by annual tuition (\$)	28
Table 1.2.1 How many SBIR Grants has the college or other entities that are at least partially controlled by the college applied for in the past three years?	28
Table 1.2.2 How many SBIR Grants has the college or other entities that are at least partially controlled by the college applied for in the past three years? Broken out for public and private universities	28
Table 1.2.3 How many SBIR Grants has the college or other entities that are at least partially controlled by the college applied for in the past three years? Broken out by type of institution.....	29
Table 1.2.4 How many SBIR Grants has the college or other entities that are at least partially controlled by the college applied for in the past three years? Broken out by enrollment	29
Table 1.2.5 How many SBIR Grants has the college or other entities that are at least partially controlled by the college applied for in the past three years? Broken out by annual tuition (\$)	29
Table 2 How many of each of the following has the college or other entities that are at least partially controlled by the college won in the past three years?	30
Table 2.1.1 How many STTR Grants has the college or other entities that are at least partially controlled by the college won in the past three years?.....	30
Table 2.1.2 How many STTR Grants has the college or other entities that are at least partially controlled by the college won in the past three years? Broken out for public and private universities	30
Table 2.1.3 How many STTR Grants has the college or other entities that are at least partially controlled by the college won in the past three years? Broken out by type of institution.....	30
Table 2.1.4 How many STTR Grants has the college or other entities that are at least partially controlled by the college won in the past three years? Broken out by enrollment	31
Table 2.1.5 How many STTR Grants has the college or other entities that are at least partially controlled by the college won in the past three years? Broken out by annual tuition (\$)	31
Table 2.2.1 How many SBIR Grants has the college or other entities that are at least partially controlled by the college won in the past three years?.....	31
Table 2.2.2 How many SBIR Grants has the college or other entities that are at least partially controlled by the college won in the past three years? Broken out for public and private universities	31
Table 2.2.3 How many SBIR Grants has the college or other entities that are at least partially controlled by the college won in the past three years? Broken out by type of institution.....	32
Table 2.2.4 How many SBIR Grants has the college or other entities that are at least partially controlled by the college won in the past three years? Broken out by enrollment	32
Table 2.2.5 How many SBIR Grants has the college or other entities that are at least partially controlled by the college won in the past three years? Broken out by annual tuition (\$)	32

Table 3 How much funding (US \$) has the college or other entities that are at least partially controlled by the college received in the past three years under each of the following programs:..... 33

 Table 3.1.1 How much funding (US \$) has the college or other entities that are at least partially controlled by the college received in the past three years under STTR Grants? 33

 Table 3.1.2 How much funding (US \$) has the college or other entities that are at least partially controlled by the college received in the past three years under STTR Grants? Broken out for public and private universities 33

 Table 3.1.3 How much funding (US \$) has the college or other entities that are at least partially controlled by the college received in the past three years under STTR Grants? Broken out by type of institution..... 33

 Table 3.1.4 How much funding (US \$) has the college or other entities that are at least partially controlled by the college received in the past three years under STTR Grants? Broken out by enrollment..... 34

 Table 3.1.5 How much funding (US \$) has the college or other entities that are at least partially controlled by the college received in the past three years under STTR Grants? Broken out by annual tuition (\$) 34

 Table 3.2.1 How much funding (US \$) has the college or other entities that are at least partially controlled by the college received in the past three years under SBIR Grants? 34

 Table 3.2.2 How much funding (US \$) has the college or other entities that are at least partially controlled by the college received in the past three years under SBIR Grants? Broken out for public and private universities 34

 Table 3.2.3 How much funding (US \$) has the college or other entities that are at least partially controlled by the college received in the past three years under SBIR Grants? Broken out by type of institution..... 35

 Table 3.2.4 How much funding (US \$) has the college or other entities that are at least partially controlled by the college received in the past three years under SBIR Grants? Broken out by enrollment..... 35

 Table 3.2.5 How much funding (US \$) has the college or other entities that are at least partially controlled by the college received in the past three years under SBIR Grants? Broken out by annual tuition (\$) 35

Table 4 About what percentage of total grants received from either program were accounted for by SBIR grant and what percentage from STTR grants? (the total should add to 100%)..... 36

 Table 4.1.1 About what percentage of total grants received from both programs were from SBIR? 36

 Table 4.1.2 About what percentage of total grants received from both programs were from SBIR? Broken out for public and private universities..... 36

 Table 4.1.3 About what percentage of total grants received from both programs were from SBIR? Broken out by type of institution..... 36

 Table 4.1.4 About what percentage of total grants received from both programs were from SBIR? Broken out by enrollment..... 37

 Table 4.1.5 About what percentage of total grants received from both programs were from SBIR? Broken out by annual tuition (\$)..... 37

 Table 4.2.1 About what percentage of total grants received from both programs were from STTR? 37

 Table 4.2.2 About what percentage of total grants received from both programs were from STTR? Broken out for public and private universities 37

Table 4.2.3 About what percentage of total grants received from both programs were from STTR? Broken out by type of institution.....	38
Table 4.2.4 About what percentage of total grants received from both programs were from STTR? Broken out by enrollment.....	38
Table 4.2.5 About what percentage of total grants received from both programs were from STTR? Broken out by annual tuition (\$)	38
Table 5.1 What percentage of the SBIR/STTR grant funds received by your institution over the past three years were as a subcontractor to a business or other higher education or other research organization?	39
Table 5.2 What percentage of the SBIR/STTR grant funds received by your institution over the past three years were as a subcontractor to a business or other higher education or other research organization? Broken out for public and private universities	39
Table 5.3 What percentage of the SBIR/STTR grant funds received by your institution over the past three years were as a subcontractor to a business or other higher education or other research organization? Broken out by type of institution.....	39
Table 5.4 What percentage of the SBIR/STTR grant funds received by your institution over the past three years were as a subcontractor to a business or other higher education or other research organization? Broken out by enrollment.....	40
Table 5.5 What percentage of the SBIR/STTR grant funds received by your institution over the past three years were as a subcontractor to a business or other higher education or other research organization? Broken out by annual tuition (\$).....	40
Table 6 Has your institution ever won any of the following?	41
Table 6.1.1 Has your institution ever won STTR phase 1 grant?	41
Table 6.1.2 Has your institution ever won STTR phase 1 grant? Broken out for public and private universities	41
Table 6.1.3 Has your institution ever won STTR phase 1 grant? Broken out by type of institution.....	41
Table 6.1.4 Has your institution ever won STTR phase 1 grant? Broken out by enrollment	41
Table 6.1.5 Has your institution ever won STTR phase 1 grant? Broken out by annual tuition (\$)	42
Table 6.2.1 Has your institution ever won STTR phase 2 grant?	42
Table 6.2.2 Has your institution ever won STTR phase 2 grant? Broken out for public and private universities	42
Table 6.2.3 Has your institution ever won STTR phase 2 grant? Broken out by type of institution.....	42
Table 6.2.4 Has your institution ever won STTR phase 2 grant? Broken out by enrollment	42
Table 6.2.5 Has your institution ever won STTR phase 2 grant? Broken out by annual tuition (\$)	43
Table 6.3.1 Has your institution ever won SBIR phase 1 grant?.....	43
Table 6.3.2 Has your institution ever won SBIR phase 1 grant? Broken out for public and private universities	43
Table 6.3.3 Has your institution ever won SBIR phase 1 grant? Broken out by type of institution.....	43
Table 6.3.4 Has your institution ever won SBIR phase 1 grant? Broken out by enrollment	43
Table 6.3.5 Has your institution ever won SBIR phase 1 grant? Broken out by annual tuition (\$)	44

Table 6.4.1 Has your institution ever won SBIT phase 2 grant?	44
Table 6.4.2 Has your institution ever won SBIT phase 2 grant? Broken out for public and private universities	44
Table 6.4.3 Has your institution ever won SBIT phase 2 grant? Broken out by type of institution.....	44
Table 6.4.4 Has your institution ever won SBIT phase 2 grant? Broken out by enrollment	44
Table 6.4.5 Has your institution ever won SBIT phase 2 grant? Broken out by annual tuition (\$)	45
Table 7.1 How much total staff time in hours per year would you say your staff expends in studying prospects for, applying for, directing and evaluating the results of SBIR and STTR grants? As a guide, one person working full time on this issue and no others would have spent about 1,800 hours in a year.....	46
Table 7.2 How much total staff time in hours per year would you say your staff expends in studying prospects for, applying for, directing and evaluating the results of SBIR and STTR grants? As a guide, one person working full time on this issue and no others would have spent about 1,800 hours in a year. Broken out for public and private universities	46
Table 7.3 How much total staff time in hours per year would you say your staff expends in studying prospects for, applying for, directing and evaluating the results of SBIR and STTR grants? As a guide, one person working full time on this issue and no others would have spent about 1,800 hours in a year. Broken out by type of institution.....	47
Table 7.4 How much total staff time in hours per year would you say your staff expends in studying prospects for, applying for, directing and evaluating the results of SBIR and STTR grants? As a guide, one person working full time on this issue and no others would have spent about 1,800 hours in a year. Broken out by enrollment	47
Table 7.5 How much total staff time in hours per year would you say your staff expends in studying prospects for, applying for, directing and evaluating the results of SBIR and STTR grants? As a guide, one person working full time on this issue and no others would have spent about 1,800 hours in a year. Broken out by annual tuition (\$)	48
Table 8.1 Has your institution ever had its SBIR/STTR proposals to NIH or other health and human service agencies read and critiqued by any of the following?.....	49
Table 8.2 Has your institution ever had its SBIR/STTR proposals to NIH or other health and human service agencies read and critiqued by any of the following Broken out for public and private universities	49
Table 8.3 Has your institution ever had its SBIR/STTR proposals to NIH or other health and human service agencies read and critiqued by any of the following Broken out by type of institution	50
Table 8.4 Has your institution ever had its SBIR/STTR proposals to NIH or other health and human service agencies read and critiqued by any of the following Broken out by enrollment.....	50
Table 8.5 Has your institution ever had its SBIR/STTR proposals to NIH or other health and human service agencies read and critiqued by any of the following Broken out by annual tuition (\$)	51
Table 9.1 Which phrase best describes your view of the HHS Annual SBIR/STTR Conference?.....	52
Table 9.2 Which phrase best describes your view of the HHS Annual SBIR/STTR Conference? Broken out for public and private universities.....	52
Table 9.3 Which phrase best describes your view of the HHS Annual SBIR/STTR Conference? Broken out by type of institution.....	53

Table 9.4 Which phrase best describes your view of the HHS Annual SBIR/STTR Conference? Broken out by enrollment	53
Table 9.5 Which phrase best describes your view of the HHS Annual SBIR/STTR Conference? Broken out by annual tuition (\$)	54
Table 10 To the best of your knowledge has anyone from your university attended any of the following?	55
Table 10.1.1 To the best of your knowledge has anyone from your university ever attended any HHS SBIR/STTR Annual Conference?.....	55
Table 10.1.2 To the best of your knowledge has anyone from your university ever attended any HHS SBIR/STTR Annual Conference? Broken out for public and private universities.....	55
Table 10.1.3 To the best of your knowledge has anyone from your university ever attended any HHS SBIR/STTR Annual Conference? Broken out by type of institution	55
Table 10.1.4 To the best of your knowledge has anyone from your university ever attended any HHS SBIR/STTR Annual Conference? Broken out by enrollment	55
Table 10.1.5 To the best of your knowledge has anyone from your university ever attended any HHS SBIR/STTR Annual Conference? Broken out by annual tuition (\$)	56
Table 10.2.1 To the best of your knowledge has anyone from your university attended the 2015 HHS SBIR/STTR Annual Conference?	56
Table 10.2.2 To the best of your knowledge has anyone from your university attended the 2015 HHS SBIR/STTR Annual Conference? Broken out for public and private universities.....	56
Table 10.2.3 To the best of your knowledge has anyone from your university attended the 2015 HHS SBIR/STTR Annual Conference? Broken out by type of institution.....	56
Table 10.2.4 To the best of your knowledge has anyone from your university attended the 2015 HHS SBIR/STTR Annual Conference? Broken out by enrollment.....	56
Table 10.2.5 To the best of your knowledge has anyone from your university attended the 2015 HHS SBIR/STTR Annual Conference? Broken out by annual tuition (\$)	57
Table 10.3.1 To the best of your knowledge has anyone from your university attended the 2016 HHS SBIR/STTR Annual Conference?	57
Table 10.3.2 To the best of your knowledge has anyone from your university attended the 2016 HHS SBIR/STTR Annual Conference? Broken out for public and private universities.....	57
Table 10.3.3 To the best of your knowledge has anyone from your university attended the 2016 HHS SBIR/STTR Annual Conference? Broken out by type of institution.....	57
Table 10.3.4 To the best of your knowledge has anyone from your university attended the 2016 HHS SBIR/STTR Annual Conference? Broken out by enrollment.....	58
Table 10.3.5 To the best of your knowledge has anyone from your university attended the 2016 HHS SBIR/STTR Annual Conference? Broken out by annual tuition (\$)	58
Table 10.4.1 To the best of your knowledge has anyone from your university ever heard of this conference?.....	58
Table 10.4.2 To the best of your knowledge has anyone from your university ever heard of this conference? Broken out for public and private universities	58
Table 10.4.3 To the best of your knowledge has anyone from your university ever heard of this conference? Broken out by type of institution.....	59
Table 10.4.4 To the best of your knowledge has anyone from your university ever heard of this conference? Broken out by enrollment	59
Table 10.4.5 To the best of your knowledge has anyone from your university ever heard of this conference? Broken out by annual tuition (\$)	59

Table 11.1 About how capable is your organization in utilizing RePORT, Federal RePORTER, Grant.Gov and other sites to track trends in grants from the NIH and other HHS agencies?	60
Table 11.2 About how capable is your organization in utilizing RePORT, Federal RePORTER, Grant.Gov and other sites to track trends in grants from the NIH and other HHS agencies? Broken out for public and private universities.....	60
Table 11.3 About how capable is your organization in utilizing RePORT, Federal RePORTER, Grant.Gov and other sites to track trends in grants from the NIH and other HHS agencies? Broken out by type of institution	61
Table 11.4 About how capable is your organization in utilizing RePORT, Federal RePORTER, Grant.Gov and other sites to track trends in grants from the NIH and other HHS agencies? Broken out by enrollment.....	62
Table 11.5 About how capable is your organization in utilizing RePORT, Federal RePORTER, Grant.Gov and other sites to track trends in grants from the NIH and other HHS agencies? Broken out by annual tuition (\$).....	63
Table 12.1 Has your organization ever participated in the NIH's niche assessment program for PHASE 1 awardees?	64
Table 12.2 Has your organization ever participated in the NIH's niche assessment program for PHASE 1 awardees? Broken out for public and private universities.....	64
Table 12.3 Has your organization ever participated in the NIH's niche assessment program for PHASE 1 awardees? Broken out by type of institution	64
Table 12.4 Has your organization ever participated in the NIH's niche assessment program for PHASE 1 awardees? Broken out by enrollment.....	64
Table 12.5 Has your organization ever participated in the NIH's niche assessment program for PHASE 1 awardees? Broken out by annual tuition (\$).....	65
Table 13.1 What percentage of your institution's Phase 1 SBIR or STTR awards or contracts resulted from technologies highly related to, or actual extensions of, technologies for which your institution had received prior SBIR or STTR awards or contracts?	66
Table 13.2 What percentage of your institution's Phase 1 SBIR or STTR awards or contracts resulted from technologies highly related to, or actual extensions of, technologies for which your institution had received prior SBIR or STTR awards or contracts? Broken out for public and private universities.....	66
Table 13.3 What percentage of your institution's Phase 1 SBIR or STTR awards or contracts resulted from technologies highly related to, or actual extensions of, technologies for which your institution had received prior SBIR or STTR awards or contracts? Broken out by type of institution	67
Table 13.4 What percentage of your institution's Phase 1 SBIR or STTR awards or contracts resulted from technologies highly related to, or actual extensions of, technologies for which your institution had received prior SBIR or STTR awards or contracts? Broken out by enrollment.....	67
Table 13.5 What percentage of your institution's Phase 1 SBIR or STTR awards or contracts resulted from technologies highly related to, or actual extensions of, technologies for which your institution had received prior SBIR or STTR awards or contracts? Broken out by annual tuition (\$).....	68
Table 14 Has your institution ever entered into an SBIR or STTR partnerships with small businesses that meet any of the following criteria? (Check all that apply).....	71
Table 14.1.1 Has your institution ever entered into an SBIR or STTR partnerships with small businesses that were initially started and spun off with the support of your institution?.....	71

Table 14.2.1 Has your institution ever entered into an SBIR or STTR partnerships with small businesses that were owned or headed by alumni of your institution?	71
Table 14.2.2 Has your institution ever entered into an SBIR or STTR partnerships with small businesses that were owned or headed by alumni of your institution? Broken out for public and private universities	71
Table 14.2.3 Has your institution ever entered into an SBIR or STTR partnerships with small businesses that were owned or headed by alumni of your institution? Broken out by type of institution.....	71
Table 14.2.4 Has your institution ever entered into an SBIR or STTR partnerships with small businesses that were owned or headed by alumni of your institution? Broken out by enrollment	72
Table 14.2.5 Has your institution ever entered into an SBIR or STTR partnerships with small businesses that were owned or headed by alumni of your institution? Broken out by annual tuition (\$)	72
Table 14.3.1 Has your institution ever entered into an SBIR or STTR partnerships with small businesses that were owned or headed by current or former faculty of your institution?.....	72
Table 14.3.2 Has your institution ever entered into an SBIR or STTR partnerships with small businesses that were owned or headed by current or former faculty of your institution? Broken out for public and private universities	72
Table 14.3.3 Has your institution ever entered into an SBIR or STTR partnerships with small businesses that were owned or headed by current or former faculty of your institution? Broken out by type of institution	73
Table 14.3.4 Has your institution ever entered into an SBIR or STTR partnerships with small businesses that were owned or headed by current or former faculty of your institution? Broken out by enrollment	74
Table 14.3.5 Has your institution ever entered into an SBIR or STTR partnerships with small businesses that were owned or headed by current or former faculty of your institution? Broken out by annual tuition (\$)	74
Table 14.4.1 Has your institution ever entered into an SBIR or STTR partnerships with small businesses that licensed technology developed by your institution?	74
Table 14.4.2 Has your institution ever entered into an SBIR or STTR partnerships with small businesses that licensed technology developed by your institution? Broken out for public and private universities	74
Table 14.4.3 Has your institution ever entered into an SBIR or STTR partnerships with small businesses that were licensed technology developed by your institution? Broken out by type of institution.....	74
Table 14.4.4 Has your institution ever entered into an SBIR or STTR partnerships with small businesses that were licensed technology developed by your institution? Broken out by enrollment.....	75
Table 14.4.5 Has your institution ever entered into an SBIR or STTR partnerships with small businesses that were licensed technology developed by your institution? Broken out by annual tuition (\$)	75
Table 15 As an estimate, about what for about percentage of your STTR and SBIR projects your institution has participated in was the initial idea for a partnership proposed by your institution to a small business?	76
Table 15.1.1 As an estimate, about what for about percentage of your STTR and SBIR projects by your institution to a small business has participated in was the initial idea for a partnership proposed by your institution to a small business?	76

Table 15.1.2 As an estimate, about what for about percentage of your STTR and SBIR projects by your institution to a small business has participated in was the initial idea for a partnership proposed by your institution to a small business? Broken out for public and private universities.....	76
Table 15.1.3 As an estimate, about what for about percentage of your STTR and SBIR projects by your institution to a small business has participated in was the initial idea for a partnership proposed by your institution to a small business? Broken out by type of institution.....	76
Table 15.1.4 As an estimate, about what for about percentage of your STTR and SBIR projects by your institution to a small business has participated in was the initial idea for a partnership proposed by your institution to a small business? Broken out by enrollment	77
Table 15.1.5 As an estimate, about what for about percentage of your STTR and SBIR projects by your institution to a small business has participated in was the initial idea for a partnership proposed by your institution to a small business? Broken out by annual tuition (\$)	77
Table 15.2.1 As an estimate, for about what percentage of your STTR and SBIR projects was the initial idea for a partnership proposed by your partner rather than by your institution?.....	77
Table 15.2.2 As an estimate, for about what percentage of your STTR and SBIR projects was the initial idea for a partnership proposed by your partner rather than by your institution? Broken out for public and private universities.....	77
Table 15.2.3 As an estimate, for about what percentage of your STTR and SBIR projects was the initial idea for a partnership proposed by your partner rather than by your institution? Broken out by type of institution	78
Table 15.2.4 As an estimate, for about what percentage of your STTR and SBIR projects was the initial idea for a partnership proposed by your partner rather than by your institution? Broken out by enrollment	78
Table 15.2.5 As an estimate, for about what percentage of your STTR and SBIR projects was the initial idea for a partnership proposed by your partner rather than by your institution? Broken out by annual tuition (\$)	78
Table 16.1 About what percentage of PHASE 1 SBIR or STTR grants that your organization has participated in have moved to PHASE 2?	79
Table 16.2 About what percentage of PHASE 1 SBIR or STTR grants that your organization has participated in have moved to PHASE 2? Broken out for public and private universities	79
Table 16.3 About what percentage of PHASE 1 SBIR or STTR grants that your organization has participated in have moved to PHASE 2? Broken out by type of institution.....	79
Table 16.4 About what percentage of PHASE 1 SBIR or STTR grants that your organization has participated in have moved to PHASE 2? Broken out by enrollment.....	80
Table 16.5 About what percentage of PHASE 1 SBIR or STTR grants that your organization has participated in have moved to PHASE 2? Broken out by annual tuition (\$).....	80
Table 17.1 Of those that have moved to Phase 2, what percentage have achieved any funding in Stage 3?	81
Table 17.2 Of those that have moved to Phase 2, what percentage have achieved any funding in Stage 3? Broken out for public and private universities.....	81
Table 17.3 Of those that have moved to Phase 2, what percentage have achieved any funding in Stage 3? Broken out by type of institution	81

SURVEY OF BEST PRACTICES FOR PURSUIT OF NIH SBIR AND STTR GRANTS

Table 17.4 Of those that have moved to Phase 2, what percentage have achieved any funding in Stage 3? Broken out by enrollment.....	82
Table 17.5 Of those that have moved to Phase 2, what percentage have achieved any funding in Stage 3? Broken out by annual tuition (\$).....	82
If you or staff members have attended conferences, webinars, courses or taken other measures to better prepare it for obtaining SBIR or STTR grants please mention these resources. Be as specific as possible. Don't say merely "took webinar" but name the webinar and the sponsoring company.	83
If your institution has used consultants to obtain SBIR or STTR grants who were the consultants and how much did your office or institution spend?.....	84
What kind of support does your institution offer to applicants during the application process for SBIR or STTR grants?.....	85
Table 18.1 How would you rate the knowledge of those in your office or related offices entrusted with helping your faculty and administrative staff to apply for SBIR and STTR grants?.....	86
Table 18.2 How would you rate the knowledge of those in your office or related offices entrusted with helping your faculty and administrative staff to apply for SBIR and STTR grants? Broken out for public and private universities.....	86
Table 18.3 How would you rate the knowledge of those in your office or related offices entrusted with helping your faculty and administrative staff to apply for SBIR and STTR grants? Broken out by type of institution.....	87
Table 18.4 How would you rate the knowledge of those in your office or related offices entrusted with helping your faculty and administrative staff to apply for SBIR and STTR grants? Broken out by enrollment.....	88
Table 18.5 How would you rate the knowledge of those in your office or related offices entrusted with helping your faculty and administrative staff to apply for SBIR and STTR grants? Broken out by annual tuition (\$).....	88
Table 19.1 Do you think that your department should invest more staff time, less staff time, or about the same amount of time investing in trying to get SBIR and STTR grants?	89
Table 19.2 Do you think that your department should invest more staff time, less staff time, or about the same amount of time investing in trying to get SBIR and STTR grants? Broken out for public and private universities.....	89
Table 19.3 Do you think that your department should invest more staff time, less staff time, or about the same amount of time investing in trying to get SBIR and STTR grants? Broken out by type of institution.....	89
Table 19.4 Do you think that your department should invest more staff time, less staff time, or about the same amount of time investing in trying to get SBIR and STTR grants? Broken out by enrollment.....	90
Table 19.5 Do you think that your department should invest more staff time, less staff time, or about the same amount of time investing in trying to get SBIR and STTR grants? Broken out by annual tuition (\$).....	90
Which higher education institutions do you believe have exemplary programs in obtaining NIH SBIR/STTR grants and what do admire about them?	91
What advice can you offer to peers about obtaining SBIR/STTR grants and contracts?.....	92

THE QUESTIONNAIRE

Introduction

1. Please give us the following contact information
 - A. Name
 - B. Institution
 - C. Work Title
 - D. Country
 - E. Email Address

2. Is your institution a public or private college?
 - A. Public
 - B. Private

3. Which of the following best describes your institution?
 - A. Community College
 - B. 4-year College
 - C. MA or PHD Granting Institution
 - D. Research University

4. What is the full time equivalent enrollment of your institution?

5. What is the annual tuition at your institution prior any aid or deductions?

Volume of Applications and Grants

6. How many of each of the following has the college or other entities that are at least partially controlled by the college applied for in the past three years?
 - A. STTR Grants
 - B. SBIR Grants

SURVEY OF BEST PRACTICES FOR PURSUIT OF NIH SBIR AND STTR GRANTS

7. How many of each of the following has the college or other entities that are at least partially controlled by the college won in the past three years?
 - A. STTR Grants
 - B. SBIR Grants

8. How much funding (US \$) has college or other entities that are at least partially controlled by the college received in the past three years under each of the following programs:
 - A. STTR Grants
 - B. SBIR Grants

9. About what percentage of total grants received from either program were accounted for by one or the other? (the total should add to 100%)
 - A. Percentage received from SBIR
 - B. Percentage received from STTR

10. What percentage of the SBIR/STTR grant funds received by your institution over the past three years were as a subcontractor to a business or other higher education or other research organization?

11. Has your institution ever won any of the following?
 - A. STTR phase 1 grant
 - B. STTR phase 2 grant
 - C. SBIR phase 1 grant
 - D. SBIR phase 2 grant
 - E. Other (please specify)

Staff Time & Use of Consultants

12. How much total staff time in hours per year would you say your staff expends in studying prospects for, applying for, directing and evaluating the results of SBIR and STTR grants? As a guide, one person working full time on this issue and no others would spend about 1,800 hours in a year.

13. Has your institution ever had its SBIR/STTR proposals to NIH or other health and human service agencies read and critiqued by any of the following
- A. A consultant who reads and critiques such proposals for a fee
 - B. A former grant recipient or applicant connected to your institution who is serving in a mentorship capacity

Conference Attendance

14. Which phrase best describes your view of the HHS Annual SBIR/STTR Conference?
- A. More or less a waste of time and money
 - B. Not essential to go and you can get the needed info elsewhere
 - C. Important to go at least once to get a better feel for the grant decision-making process and useful for contacts
 - D. Try to go as often as possible for both useful information on grant decision-making and contacts
 - E. Essential and we try to be there every year
15. To the best of your knowledge has anyone from your university attended any of the following?
- A. Ever attended any HHS SBIR/STTR Annual Conference
 - B. Attended the 2015 HHS SBIR/STTR Annual Conference
 - C. Plan to attend the 2016 HHS SBIR/STTR Annual Conference
 - D. Have never heard of this conference
16. About how capable is your organization in utilizing RePORT, Federal RePORTER, Grant.Gov and other sites to track trends in grants from the NIH and other HHS agencies?
- A. I think we are behind the curve here
 - B. No formal training is offered but many researchers know how to use these applications
 - C. We've had workshops and tutoring sessions and think we are pretty conversant
 - D. We emphasize knowing how to use these sites and we offer extensive training and support as the sites can be critical in targeting grant applications properly

Phase 1 Awards

17. Has your organization ever participated in the NIH's niche assessment program, for PHASE 1 awardees?
- A. Yes
 - B. No
18. If your organization has participated in this program how do you evaluate it?
19. What percentage of your institution's Phase 1 SBIR or STTR awards or contracts resulted from technologies highly related to, or actual extensions of, technologies for which your institution had received prior SBIR or STTR awards or contracts?
20. Below is a list of the various institutes that make up the National Institutes of Health. Read over the list and pick out a few that you think offer the best prospects for technologies that can be developed commercially over the next five years. Also, which technologies and, if possible, why do you feel this way?
- A. National Cancer Institute
 - B. National Center for Complementary and Alternative Medicine
 - C. National Center on Minority Health and Health Disparities
 - D. National Center for Research Resources
 - E. National Eye Institute
 - F. National Human Genome Research Institute
 - G. National Heart, Lung, and Blood Institute
 - H. National Institute on Aging
 - I. National Institute on Alcohol Abuse and Alcoholism
 - J. National Institute of Allergy and Infectious Diseases Extramural Activities
 - K. National Institute of Arthritis and Musculoskeletal and Skin Diseases
 - L. National Institute of Biomedical Imaging and Bioengineering
 - M. National Institute of Child Health and Human Development
 - N. National Institute on Drug Abuse
 - O. National Institute on Deafness and Other Communication Disorders
 - P. National Institute of Dental and Craniofacial Research
 - Q. National Institute of Diabetes and Digestive and Kidney Diseases
 - R. National Institute of Environmental Health Sciences
 - S. National Institute of General Medical Sciences
 - T. National Institute of Mental Health
 - U. National Institute of Neurological Disorders and Stroke

- V. National Institute of Nursing Research
- W. National Library of Medicine

Partnerships with Business

21. Has your institution ever entered into SBIR or STTR partnerships with small businesses that meet any of the following criteria? (Check all that apply)
- A. They were initially started and spun off with the support of your institution
 - B. They are owned or headed by alumni of your institution
 - C. They are owned or headed by current or former faculty of your institution
 - D. They have licensed technology developed by your institution
22. As an estimate, about what for about percentage of your STTR and SBIR projects your institution has participated in was the initial idea for a partnership proposed:
- A. By your institution to a small business
 - B. By a small business to your institution
23. About what percentage of PHASE 1 SBIR or STTR grants that your organization has participated in have moved to PHASE 2?
24. Of those that have moved to Phase 2, what percentage have achieved any funding in Stage 3?

Useful Resources

25. If the college has attended conferences, webinars, courses or taken other measures to better prepare it for obtaining SBIR or STTR grants please mention these resources. Be as specific as possible. Don't say merely "took webinar" but name the webinar and the sponsoring company.
26. If your institution has used consultants to obtain SBIR or STTR grants who were the consultants and how much did your office or institution spend?

Institutional Support for Applicants

27. What kind of support does your institution offer to applicants during the application process for SBIR or STTR grants?

SURVEY OF BEST PRACTICES FOR PURSUIT OF NIH SBIR AND STTR GRANTS

28. How would you rate the knowledge of those in your office or related offices entrusted with helping your faculty and administrative staff to apply for SBIR and STTR grants?
- A. No such people available to us
 - B. Can't say that they know too much about these programs
 - C. They can give some decent general advice about the application process and requirements
 - D. They seem to have studied the grants process and can make good recommendations to enhance our prospects
 - E. They know these programs very well, have long experience with them and are an invaluable help
29. Do you think that your department should invest more staff time, less staff time, or about the same amount of time investing in trying to get SBIR and STTR grants?
- A. More Time
 - B. About the same amount of time Less Time

Advice and Role Models

30. Which higher education institutions do you believe have exemplary programs in obtaining NIH SBIR/STTR grants and what do admire about them?
31. What advice can you offer to peers about obtaining SBIR/STTR grants and contracts?