Civil Space Industrial Base (CSIB) Assessment – Compliance Guidance for Respondents

Section 1a: Organization Information

Part A: Answers from "Submission Type" through the 2-3 sentence description are required. For types of business, blanks will be considered "No's." Questions regarding UEI, CAGE, and NAICS should be completed as appliable. Any affirmative answers to the bottom table regarding primary/additional business types necessitate completion of the entire respective row.

Part B: This short part must be completed, with the second question pending the answer to the first.

Part C: If "Yes" at the top of this Part (regarding Beneficial Ownership), the table should be completed as applicable. If "No," everything grays out and you do not need to provide the information. For Parent Company questions, if "Yes," minimum Parent Organization 1 must be completed.

Part D: If at least one MAD/JV activity indicated, then all column questions need to be completed.

Part E: Point of contact (POC) information is required and important. However, this part's information does not necessarily have to match perfectly with Tab 16.

Section 1b: Location/Facility Information

Part A: If indicating one or more U.S. facilities inside the box, all column questions must be completed. Explanation needed only if "Other" is chosen for "Primary Function."

Part B: If indicating one or more non-U.S. facility inside the box, all column questions must be completed. Explanation needed only if "Other" is chosen for "Primary Function."

Section 2a: NASA Technology Taxonomy, Products and Services

- As applicable, you must select from provided dropdowns to match NASA Technology Taxonomy area/subarea product/service capabilities. If capability box left blank, it's assumed that the organization does not have a capability for the NASA Technology Taxonomy area/subarea.

Section 2b – Section 2g: NASA Technology Taxonomy Areas/Subareas Capabilities

- For identified product/service capability, all seven column questions must be answered. Use best judgment/discretion on primary or top Critical Mineral and HTSUS code.

- For any TX "Others," please specify product/service in the fourth column question, "Product/Service Description." The product/service description will auto-generate along with the TX area/subarea throughout the rest of the survey.

Section 3: Critical Products and Services
- For any indicated product/service capability, all column questions must be completed. The fourth column question is critical if your organization has multiple facilities listed on Tab 1b. Please identify/select which of your facilities holds primary capability for the corresponding critical product/service.
- For a description of each critical product/service, click on the cell. A yellow box should appear with a general explanation of each critical product/service.

Section 4: Supplier Information
- First, estimate the organization's total number of direct suppliers in 2022 (upper right hand corner box).
- Minimum one supplier for each auto-populated product/service. If multiple, provide information for up to three suppliers. All nine column questions must be completed as applicable.
- Reminder that suppliers can be considered "in-house," such as from a subsidiary company or different business unit/division.

Section 5: Customer Information
- First, estimate the organization's total number of direct customers in 2022.
- Next, complete all nine column questions for the top/most important customer of each listed product/service.
    - The single most important customer is determined by the criteria dropdown selected (located in the fourth column).
- Add up the percentages of annual total sales and include the total in the box labeled "Percentage of Total Sales." Total percent should not exceed 100.

Section 6: Support of U.S. Government (USG) - Agencies & Space-related Programs
Part A: The first two column questions must be completed. In the third column, the secondary product/service only needs to be completed if a second item is provided to the agency supported.

Part B: This number can be an estimate. If zero, Part C will gray out.

Part C: You may use the hyperlinks to navigate around to specific agencies/types of programs, including ten rows at the bottom for any "Others" that were not found as a listed program. Column questions "Participation," at least one "Product/Service" (generated from 2b-3), the

"Primary Supplier" (from Section 4) associated with the product(s)/service(s), and the "Primary Customer" (from Section 5) must be completed.

Section 7: Emerging Technologies
Part A: The entire table must be completed, if respondents indicate other in primary application area or partnership with USG agency to develop technology, please include an explanation in the last column. If there are more than 2 'Other' emerging technologies, that were not included in this list, please identify the two most critical to space and write them into the provided cell. For supplier, if multiple, select the most important.

Part B: Unless selecting 'None' in the first column, please provide a number for pending patents and approved/current patents.

Part C: Respondents are not required to have five emerging technology research areas; however, for each partner, the entire row must be completed, including a person of contact and their email. For technology readiness and time until commercialization, estimates based on the respondent's best judgment are acceptable.

Part D: Please answer CapEx change-related questions by selecting between the yes and no dropdowns. For every yes response, identify the reasons for changes. Then, identify the top 10 most important machines, tools, or other CapEx-related items that are essential to your organization by completing the table.

Section 8: USG Contracts
Part A: Answer all three questions regarding how many prime contracts, subcontracts, and SBIR and STTR awards that your organization has received from NASA, NOAA, or other USG agencies between 2019-2022. If none, enter "0" for each provided box. Next, complete the table for your organization's top five active contracts with NASA and/or NOAA by monetary value. Enter contract value in thousands, eg. $12,000 should be entered $12 in the survey. For contract value, estimates are acceptable.

Part B: For all six questions in this part, answer the questions and provide explanations. Explanations are required. For question 4, if multiple issues are experienced or influence the organization with regards to NASA and/or NOAA, respondents should select the most significant issue based on their best judgment.

Part C: Complete Part C before advancing to Part D or E. If your organization has NASA or non-NASA/Other USG agency SBIR/STTR projects, each section in the first table must be completed with all projects (if less than 3) or up to 3 NASA SBIR/STTR projects. If a respondent has more than 3 NASA SBIR/STTR projects, the top 3 by monetary value between 2019-2022 should be selected. If a respondent has non-NASA SBIR/STTR projects, the second

table must be completed with all projects (if less than 3) or up to 3 projects. If a respondent has more than 3 non-NASA/NOAA SBIR/STTR projects, the top 3 by monetary value should be selected. If respondents do not have any non-NASA SBIR/STTR projects, please select "This organization has not participated in space-related, non-NASA SBIR/STTR projects" above the second table and move to Part D. For definitions to the Technology Readiness Level (TRL), follow the link provided above each table.

Part D: If your organization has NASA-related SBIR/STTR programs that they are working towards commercializing, Part D must be completed for each program (generated from Part C). If your organization is not working towards commercializing its SBIR/STTR programs, you may select the dropdown "My organization is not working towards commercializing any innovations results from NASA-Related SBIR or STTR programs." If respondents are working towards commercializing the innovation, they must answer each question in the table. If the respondent does not have any additional funding from USG agencies, the column can be left blank. If the respondent does not have any additional funding from external sources, the column, as well as funding source name and amount received, may be left blank. If there is no primary customer/end-user, the column may be left blank. Finally, the "Explain" column may be used to capture any nuance not found in a question's dropdown.

Part E: If your organization does not partner with any entities for the listed projects in Part C, they should indicate this in the appropriate box in Part E and move to Section 9. If respondents do have partners, they should indicate the number of partners, type of partnership and the information on the primary partner entity. If respondents have multiple, the primary partner should be selected based on the organization's best judgment. Estimates are acceptable for number of partner entities and percent of work completed with partner entities.

Section 9: U.S. Export Control Regulations
Part A: If your organization is not subject to export control regimes, it should select "Not Applicable. Our space-related products and or services are not subject to export controls" in question 1 and proceed to Section 10. If respondents are subject to export control regimes, they should indicate the number of ECCNs and/or USMLs used to export between 2019-2022, select the primary CCL and USML category and primary challenge experienced based on their best judgment. If none, enter "0" for each provided box. Finally, provide the top 5 non-US space related customers for your organization and complete each column question of the table in totality. Estimates for percentage of space-related total annual sales are acceptable. If 10 digit HTSUS code is unknown, provide a 8-digit HTS or 6-digit HS code.

Part B: If your organization has no deemed export licenses, enter "0" and move to Part C. Otherwise, all four questions in this part must be answered.

Part C: If a respondent does not have any desired changes to export controls it may select "My organization does not have any desired changes" and move to Section 10. If a respondent has

more than 5 desired changes, the respondent should identify the 5 most important based on the respondent's best judgment. Complete all column questions.

Section 10: DMSMS & Supply Chain Disruptions

Part A: The first two questions must be answered. If the third question is answered "No," then the table in Part A will gray out. However, if "Yes," all columns must be completed, except for "Explain," as there are no "Other" dropdown options that require "Explain" to be filled out.

Part B: The first question must be answered. If the second question is answered "No," the Part B table will gray out. However, if "Yes" all columns need to be completed. The "Explain" column should be used to describe any "Other" selected in the "Disruption Experienced," "Primary Mitigation/Resolution," and "Primary Impact on Contractual Delivery" column questions.

Part C: If the first question is answered "No," Part C will gray out, and the respondent can move to Part D. If "Yes," complete the section. Rows/Questions 1a-3a correspond to critical mineral use, while rows/questions 1b-3b relate to broader compounds, gases, materials, metals, or other inputs. For 1a-3a, any indicated direct critical mineral use should be cross checked with identified "Primary Critical Mineral Use" question in Sections 2b-2g concerning NASA Technology Taxonomy product/service capabilities. Regarding 1a-3a and 1b-3b, for any identified direct critical mineral or otherwise critical input disrupted, all column questions must be completed. This includes completing the "Explain" column to describe "Other" responses that correspond with column questions "Disruption Cause (if known)" and "Disruption(s) Mitigation Measures."

Part D: If the first question is answered "No," Part D will gray out and the respondent can proceed to Part E. If your organization uses any categories of semiconductor products or components, answer the table beginning with the "Disruption Experienced/Expected" for 2019-2022 and 2023-2027 through the questions on "Anticipated Change in Usage by Technology Node Range, 2022-2027." Next, complete the "Explanation of Disruptions/Expectations" and "Explanation of Anticipated Changes in Technology Node Usage" sections. Lastly, answer the questions about your organization's awareness of the "Creating Helpful Incentives to Produce Semiconductors for America" (CHIPS) Program, including the explanation section.

Part E: If your organization has been impacted by the war in Ukraine that began in February 2022, select "Yes" and complete the following table. List up to 5 products or services impacted, cross-checking with previously listed products and services in Sections 2 and 3 of the survey. If more than 5 products or services have been impacted, the respondent should identify the 5 most important based on the respondent's best judgment. Fill out all columns as applicable, and explain your organization's proposed or realized resolution, if a resolution is available.

Section 11: Quality Assurance and Engineering Standards

The hyperlinks at the top of Section 11 can be used to easily navigate between Parts A-G. Each set of standards has been hyperlinked in its respective part for easy reference. Any "Yes" responses to the question "Currently Compliant with Standard" requires respondents to answer the second question, "Currently hold independent certificate of compliance?" The "Comments" box should be utilized for any explanation. Only affirmative ("Yes") responses are required. If your organization does not follow the listed set of standards, leave the response blank.

Part A: Any "Yes" responses to the question "Currently Compliant with Standard" requires respondents to answer the second question, "Currently hold independent certificate of compliance?" The "Comments" box should be utilized for any explanation.

Part B: Any "Yes" responses to the question "Currently Compliant with Standard" requires respondents to answer the second question, "Currently hold independent certificate of compliance?" The "Comments" box should be utilized for any explanation.

Part C: Any "Yes" responses to the question "Currently Compliant with Standard" requires respondents to answer the second question, "Currently hold independent certificate of compliance?" The "Comments" box should be utilized for any explanation.

Part D: Any "Yes" responses to the question "Currently Compliant with Standard" requires respondents to answer the second question, "Currently hold independent certificate of compliance?" The "Comments" box should be utilized for any explanation.

Part E: Any "Yes" responses to the question "Currently Compliant with Standard" requires respondents to answer the second question, "Currently hold independent certificate of compliance?" The "Comments" box should be utilized for any explanation.

Part F: Any "Yes" responses to the question "Currently Compliant with Standard" requires respondents to answer the second question, "Currently hold independent certificate of compliance?" The "Comments" box should be utilized for any explanation.

Part G: Any "Yes" responses to the question "Currently Compliant with Standard" requires respondents to answer the second question, "Currently hold independent certificate of compliance?" The "Comments" box should be utilized for any explanation.

Section 12: Challenges & COVID-19 Impacts

Part A: For any "Yes" responses in column question "A," rank the issues by importance even if the respondent indicates fewer than 5 issues. For the ranked issues, an Explanation must be provided. Only affirmative "Yes" responses are required.

Part B: For any "Yes" responses to "Impacts Experienced," the impacts must be ranked. If more than 3 impacts are indicated, only rank the Top 3. Only affirmative "Yes" responses are required. Similarly, identify any "Actions Taken" in response to indicated "Impacts Experienced," including the column question on timeframe implementation (e.g., short term, long term, etc.), and rank the Top 3 Actions Taken. The "Explain" question box must be completed if the respondent identified any "Impacts Experienced." At the bottom of Part B, complete the small table on USG COVID-19 assistance/relief. If your organization received any financial assistance for any of the USG COVID-19 Programs either for 2020 or 2021, indicate the amount received (estimates are accepted).

Part C: Identify any interest areas/topics that your organization would like to receive government assistance and/or more information on. Only affirmative "Yes" responses are required. A compliance analyst will track your answers and follow up with your organization on these areas and topics accordingly.

Section 13: Employment & STEM Workforce
Part A: FTE employees, contractors, and total non-U.S. citizen workers should be recorded for all four years from 2019-2022. For 2022, include the latest available employment figures. Then, estimate the percentage of your organization's FTE workforce that currently works on space-related products/services.

Part B: Indicate hiring and/or retention difficulties for each occupation area. "# of Unfilled Vacancies" can be estimated. If applicable, identify the "Job Title Most Impacted" for each occupation type and select the "Top Workforce Issue Area" from the options provided in the dropdown.

Part C: All questions in Part C must be answered using the provided dropdowns. Regardless of response, all six questions require a comment explanation.

Part D: Complete the table for your organization's Non-U.S. Citizen Workers (including contractors) from the list of countries provided, including all column questions as applicable. If your employee's country is not listed, omit that response.

Section 14: Cyber Statures
Part A: Only affirmative "Yes" responses are required for any applicable security measures. Blanks will be assumed as "No's/NA." For Part A2, both questions must be answered, but estimates are allowed.

Part B: All questions must be answered.

<u>Part C:</u> Complete the table with all methods of compromise that resulted from malicious cyber activities that your organization experienced between 2019-2022. If experienced by your organization, all column questions are required, except the last two, "Primary Technology Taxonomy Subarea Impacted/Implicated" and "Primary USG Program Affected," which should be answered if applicable and/or tracked by the organization.

<u>Part D:</u> Answer all four questions. Dropdown selections must be made for the four NIST standards. If left blank, it is assumed organization has not adopted or abided by the respective NIST standard.

Section 15: Financial Information
- "Source of Financial Line Items" and "Reporting Schedule" must be completed, as well as all line items for years 2019-2022.
- Estimates are acceptable for all line items.
- Complete the table on "Other Select Items," which is focused on research and development (R&D).
- Fill out question regarding your organization's financial health.
- Use comment section to provide any additional explanation of anomalies, transactions, or non-recurring events in your organization's finances from 2019-2022.

Section 16: Certification
- All Certification information is required, including "Date Certified" and "How many hours did it take to complete this survey."