

Attachment E

**OMB APPROVAL NUMBER: 0693-0009
APPROVAL EXPIRES MM/DD/YYYY**

PPS Telephone Survey

INTRODUCTION

Hello. (May I please speak with TECHNICAL CONTACT?) This is NAME, calling from Westat on behalf of the Advanced Technology Program or ATP, at the National Institute of Standards and Technology also known as NIST. The purpose of my call is to follow up on the ATP-funded project that your company [COMPANY_NAME] carried out during [PERFORMANCE_PERIOD]. The project name was [PROJECT_NAME.]

S1. Our records show that you were the contact person for this ATP project at your company. Are you (still) the appropriate person in your company to talk about the ATP project and related R&D or commercialization that has taken place since the ATP funding ended?

YES..... 1 (S4)
NO..... 2

S2. Who in your company would be able to talk about the ATP project and related R&D or commercialization that has taken place since ATP funding ended? COLLECT FIRST AND LAST NAME, COMPANY NAME AND TELEPHONE NUMBER

IF RESPONDENT INDICATES THAT TECHNOLOGY HAS BEEN SOLD TO ANOTHER COMPANY, PROBE FOR A RESPONDENT NAME AT THAT COMPANY. BE SURE TO COLLECT A FIRST AND LAST NAME, COMPANY NAME, COMPANY ADDRESS AND RESPONDENT TELEPHONE NUMBER.

S3. Can you please briefly describe the role (he/she) served on the ATP project?

GO TO INTRODUCTION TO NEW RESPONDENT

S4. GO TO RIS AND UPDATE R'S CONTACT INFORMATION: BUSINESS FAX AND E-MAIL.

S5. So that we have a better idea of who our respondents to this survey are, can you briefly describe the role you played on this ATP project?

GO TO Q1

INTRODUCTION FOR NEW RESPONDENT

Hello. (May I please speak with NEW NAME?) This is NAME, calling from Westat on behalf of the Advanced Technology Program or ATP at the National Institute of Standards and Technology also known as NIST. The purpose of my call is to follow up on the ATP-funded project that [COMPANY_NAME] carried out during [PERFORMANCE_PERIOD]. The project name was [PROJECT_NAME.]

S6. TECHNICAL NAME indicated to us that you would be the appropriate person to talk about the ATP project and related R&D or commercialization that has taken place since the ATP funding ended. Is that correct?

YES..... 1 (S9)
NO..... 2

S7. Who would be able to talk about the ATP project and related R&D or commercialization that has taken place since ATP funding ended? COLLECT FIRST AND LAST NAME, COMPANY NAME AND TELEPHONE NUMBER.

IF RESPONDENT INDICATES THAT TECHNOLOGY HAS BEEN SOLD TO ANOTHER COMPANY, PROBE FOR A RESPONDENT NAME AT THAT COMPANY. BE SURE TO COLLECT A FIRST AND LAST NAME, COMPANY NAME, COMPANY ADDRESS AND RESPONDENT TELEPHONE NUMBER.

S8. Can you please briefly describe the role (he/she) served on the ATP project?

S9. GO TO RIS AND UPDATE CONTACT INFORMATION TO REFLECT THIS R. COLLECT BUSINESS FAX AND E-MAIL.

S10. So that we have a better idea of who our respondents to this survey are, can you briefly describe the role you played on this ATP project?

SECTION 1: ADMINISTRATIVE INFORMATION

I'd like to verify the information I have in reference to your company.

Q1. Is the company name (still) [COMP_NAME]?

YES.....	1 (Q2)
NO.....	2
REFUSED.....	7
DON'T KNOW.....	8

COMP_NAME

Q1a. What is the company name?

REFUSED.....	7
DON'T KNOW.....	8

Q1b. Can you please briefly explain the change in your company name?

REFUSED.....	7
DON'T KNOW.....	8

UNIT_NAME

Q2. What is the division or unit name?

WRITE IN "NONE" IF THERE IS NOT A DIVISION OR UNIT NAME

REFUSED.....	7
DON'T KNOW.....	8

Q3. And is the address ADDRESS?

YES.....	1 (Q4)
NO.....	2
REFUSED.....	7
DON'T KNOW.....	8

Q3a. What is the company's address?

ESTAB_ADD1

Address 1: _____

ESTAB_ADD2

Address 2: _____

ESTAB_ADD3

Address 3: _____

ESTAB_CITY

City: _____

ESTAB_STATE

State _____

ESTAB_ZIP

ZIP: _____

ESTAB_WEB

Q4. What is your company's web site address?

COMPANY DOES NOT HAVE WEB SITE.....	0
REFUSED.....	7
DON'T KNOW.....	8

SECTION 2: TECHNOLOGY EFFORT

Now I would like to talk about your company's plans to develop and commercialize the ATP project technology.

CONTINUE_RD

Q5. The ATP funding for this project ended in [PY_END]. Since that time has your company invested in continued R&D or in additional commercialization expenditures for the ATP project technology?

YES.....	1
NO.....	2 (Q16)
REFUSED.....	7 (Q16)
DON'T KNOW.....	8 (Q16)

EXPEND_CONTINUE_RD

Q6. Since the end of your ATP project funding in [PY_END], how much has your company spent on continued R&D for your ATP-funded technology? PROBE: Your best estimate will do.

\$ _____

THOUSANDS.....	1
MILLIONS.....	2
BILLIONS.....	3
NONE.....	4
REFUSED.....	7
DON'T KNOW.....	8

EXPEND_COMM

Q7. Since the end of your ATP project funding, how much has your company spent on commercialization and business development related to your ATP-funded technology? PROBE: Your best estimate will do.

\$ _____

- THOUSANDS..... 1
- MILLIONS..... 2
- BILLIONS..... 3
- NONE..... 4
- REFUSED..... 7
- DON'T KNOW..... 8

The next set of questions concern the source of the funds that your company invested in continued R&D of the ATP project technology after ATP funding ended. Has any of the funding for the continued R&D of the ATP project technology come from:

[Questions 8 through 15 below are from the original PPS (Prasad's write-up, reformatted):]

CONTINUE_RD_VC

Q8. Venture capital funds?

- YES..... 1
- NO..... 2
- REFUSED..... 7
- DON'T KNOW..... 8

CONTINUE_RD_ANGEL

Q9. Private investors or "angels"?

- YES..... 1
- NO..... 2
- REFUSED..... 7
- DON'T KNOW..... 8

CONTINUE_RD_US

Q10. Another U.S. company?

- YES..... 1
- NO..... 2
- REFUSED..... 7
- DON'T KNOW..... 8

CONTINUE_RD_FOREIGN

Q11. A foreign (non-US) company?

- YES..... 1
- NO..... 2
- REFUSED..... 7
- DON'T KNOW..... 8

CONTINUE_RD_SBIR

Q12. An SBIR grant?

YES.....	1
NO.....	2
REFUSED.....	7
DON'T KNOW.....	8

CONTINUE_RD_FED

Q13. Federal programs other than SBIR or ATP?

YES.....	1
NO.....	2
REFUSED.....	7
DON'T KNOW.....	8

CONTINUE_RD_SLG

Q14. State or local government?

YES.....	1
NO.....	2
REFUSED.....	7
DON'T KNOW.....	8

CONTINUE_RD_DIV

Q15. Another unit of your company?

YES.....	1
NO.....	2
REFUSED.....	7
DON'T KNOW.....	8

SECTION 3: COMMERCIALIZATION PLANS

COMM_PLAN

Q16. Do you expect your company to pursue commercialization of any product, process, or service that integrates the ATP-funded technology?

YES.....	1	Q18
NO.....	2	
REFUSED.....	7	
DON'T KNOW.....	8	

NO_COMM_PLAN

Q17. Please briefly explain why your company has no plans to pursue commercialization of the ATP technology.

GO TO SECTION 7: COMPANY CHARACTERISTICS

REV_GOODS

Q18. Since the ATP funding ended in [PY_END], has your company earned revenues from sales of goods or services that incorporate ATP-funded technology?

- YES..... 1
- NO..... 2 Q20
- REFUSED..... 7 Q20
- DON'T KNOW..... 8 Q20

REV_PROD_AMT

Q19. In the time since your ATP funding ended, how much in revenues did your company earn from selling goods or services incorporating ATP technology? PROBE: Your best estimate will do.

\$ _____

- THOUSANDS..... 1
- MILLIONS..... 2
- REFUSED..... 7
- DON'T KNOW..... 8

REV_ATPSALE

Q20. Since the ATP funding ended in [PY_END], has your company earned revenues from the sale of the ATP-funded technology?

- YES..... 1
- NO..... 2 Q22
- REFUSED..... 7 Q22
- DON'T KNOW..... 8 Q22

REV_ATPSALE_AMT

Q21. How much in revenues did your company earn from selling the ATP technology? PROBE: Your best estimate will do.

\$ _____

- THOUSANDS..... 1
- MILLIONS..... 2
- REFUSED..... 7
- DON'T KNOW..... 8

REV_SERVICES

Q22. Since the ATP funding ended in [PY_END], has your company earned revenues from providing technical R&D services based on capabilities developed during the ATP project?

- YES..... 1
- NO..... 2
- REFUSED..... 7
- DON'T KNOW..... 8

REV_PROD_AMT_WO_ATP

Q23. Without the ATP project technology, how much in revenues do you think your company would have earned from the products or services incorporating the ATP technology (in the time since your ATP funding ended)? PROBE: Your best estimate will do.

- \$ _____
- THOUSANDS..... 1
 - MILLIONS..... 2
 - REFUSED..... 7
 - DON'T KNOW..... 8

PROFIT_MARGIN

Q24. What is the gross profit margin on the revenues from these sales? PROBE: Your best estimate will do.

- _____ %
- REFUSED..... 7
 - DON'T KNOW..... 8

LOB_PROFIT_MARGIN

Q25. What is your company's typical gross profit margin on sales for this line of business? PROBE: Your best estimate will do.

- _____ %
- REFUSED..... 7
 - DON'T KNOW..... 8

SAV_PROC

Q26. In the time since your ATP funding ended, has your company realized any cost savings from new or improved production or delivery processes, through implementation of your ATP project technology?

- YES..... 1 (Q28)
- NO..... 2
- REFUSED..... 7
- DON'T KNOW..... 8

SAV_PROC_EXPECTED

Q27. Do you expect that your company will realize cost savings in the future from new or improved production or delivery processes, through implementation of your ATP project technology?

- YES..... 1 (Q29)
- NO..... 2 (Q29)
- REFUSED..... 7 (Q29)
- DON'T KNOW..... 8 (Q29)

SAV_PROC_AMT

Q28. How much in cost savings did your company realize (in the time since your ATP funding ended)?
PROBE: Your best estimate will do.

\$ _____

- THOUSANDS..... 1
- MILLIONS..... 2
- REFUSED..... 7
- DON'T KNOW..... 8

COMM_LICENSE

Q29. Has your company licensed your ATP project technology to others?

- YES..... 1 (Q31)
- NO..... 2
- REFUSED..... 7
- DON'T KNOW..... 8

COMM_LICENSE_EXPECTED

Q30. Do you expect that your company will license your ATP project technology to others in the future?

- YES..... 1 (Section 4)
- NO..... 2 (Section 4)
- REFUSED..... 7 (Section 4)
- DON'T KNOW..... 8 (Section 4)

AFTER ALL RESPONSES IN Q30, GO TO SECTION 4.: PROJECT OUTCOMES.

ROY_LIC

Q31. In the time since your ATP funding ended, has your company received any royalties from licensing of your ATP project technology?

- YES..... 1
- NO..... 2 (Section 4)
- REFUSED..... 7 (Section 4)
- DON'T KNOW..... 8 (Section 4)

**IF Q31 = 1, ASK Q32
ELSE GO TO SECTION 4.: PROJECT OUTCOMES.**

ROY_LIC_AMT

Q32. How much in royalties did your company receive (in the time since your ATP funding ended)?
PROBE: Your best estimate will do.

\$ _____

- THOUSANDS..... 1
- MILLIONS..... 2
- REFUSED..... 7
- DON'T KNOW..... 8

SECTION 4: PROJECT OUTCOMES

TECHNOLOGY DIFFUSION

Now we'd like you to think about the types of knowledge that resulted from your ATP project.

We would like you to think of research **findings** as knowledge that can be written down and easily communicated to others, and research **"know-how"** as knowledge acquired from experience and practice that is less easily transferred.

RESULTS_DIFFUSION

Q33. To what extent would you say research **findings** from this project are now known to others outside your company? Would you say to a...

- Large extent,..... 1
- Moderate extent,..... 2
- Small extent, or 3
- To no extent at all?..... 4
- REFUSED..... 7
- DON'T KNOW..... 8

KNOWHOW_DIFFUSION

Q34. To what extent would you say research **"know-how"** from this project is now known to others outside your company? Would you say to a...

- Large extent,..... 1
- Moderate extent,..... 2
- Small extent, or 3
- To no extent at all?..... 4
- REFUSED..... 7
- DON'T KNOW..... 8

R&D Collaboration

Now please think about collaborative R&D partnerships or relationships that your company has with other organizations.

**IF PROJECT IS SINGLE APPLICANT (SA), ASK Q35a.
ELSE, SKIP TO Q35b**

COLLAB_RD_NEW

Q35a. Since the end of your ATP funding, has your company had any collaborative R&D partnerships or relationships with other organizations that you would say is a result of the ATP project in some way?

YES.....	1 (Q36)
NO.....	2 (Q38)
REFUSED.....	7 (Q38)
DON'T KNOW.....	8 (Q38)

COLLAB_RD_CONTINUE

Q35b. Since the end of your ATP funding, has your company continued collaborative R&D relationships with any of the organizations that were part of your ATP project?

YES.....	1
NO.....	2
REFUSED.....	7
DON'T KNOW.....	8

COLLAB_RD_NEW

Q35c. Since the end of your ATP funding, has your company had any new collaborative R&D partnerships or relationships with other organizations that you would say is a result of the ATP project in some way?

YES.....	1
NO.....	2
REFUSED.....	7
DON'T KNOW.....	8

**IF Q35b OR Q35c = YES, CONTINUE.
ELSE, SKIP TO SECTION 5.: TECHNOLOGY COMMERCIALIZATION**

Q36. Are these collaborative R&D partnerships or relationships with...

COLLAB_CORP

a. Other companies?

YES.....	1
NO.....	2
REFUSED.....	7
DON'T KNOW.....	8

COLLAB_UNIV

b. (With) Universities?

YES.....	1
NO.....	2
REFUSED.....	7
DON'T KNOW.....	8

COLLAB_OTH

c. (With) Other organizations such as non-profit organizations, government labs, etc.?

YES.....	1
NO.....	2
REFUSED.....	7
DON'T KNOW.....	8

Q37. How important were the following reasons for your company's decision to enter these R&D collaborations?

COLLAB_POOL

a. To pool resources with other firms in order to reduce the cost of R&D or achieve a greater scale of effort. Would you say this was an...

Extremely important.....	1
Very important.....	2
Somewhat important, or	3
Not too important reason?.....	4
THIS REASON IS NOT APPLICABLE TO THE COMPANY.....	5
REFUSED.....	7
DON'T KNOW.....	8

COLLAB_RDCOMP

b. To benefit from complementary R&D expertise and capabilities of different firms. (Would you say this was...)

EXTREMELY IMPORTANT.....	1
VERY IMPORTANT.....	2
SOMEWHAT IMPORTANT.....	3
NOT TOO IMPORTANT.....	4
THIS REASON IS NOT APPLICABLE TO THE COMPANY.....	5
REFUSED.....	7
DON'T KNOW.....	8

COLLAB_LEARN

c. To gain knowledge and learn from other firms. (Would you say this was...)

EXTREMELY IMPORTANT.....	1
VERY IMPORTANT.....	2
SOMEWHAT IMPORTANT.....	3
NOT TOO IMPORTANT.....	4
THIS REASON IS NOT APPLICABLE TO THE COMPANY.....	5
REFUSED.....	7
DON'T KNOW.....	8

COLLAB_INDOBJ

d. To address a technological problem that is common to your industry. (Would you say this was...)

EXTREMELY IMPORTANT.....	1
VERY IMPORTANT.....	2
SOMEWHAT IMPORTANT.....	3
NOT TOO IMPORTANT.....	4
THIS REASON IS NOT APPLICABLE TO THE COMPANY.....	5
REFUSED.....	7
DON'T KNOW.....	8

COLLAB_BUS

e. To access commercialization capabilities of other firms. (Would you say this was...)

EXTREMELY IMPORTANT.....	1
VERY IMPORTANT.....	2
SOMEWHAT IMPORTANT.....	3
NOT TOO IMPORTANT.....	4
THIS REASON IS NOT APPLICABLE TO THE COMPANY.....	5
REFUSED.....	7
DON'T KNOW.....	8

COLLAB_OTH

f. Some other reason not yet mentioned. (Would you say this was...)

COLLAB_OS

SPECIFY: _____

EXTREMELY IMPORTANT.....	1
VERY IMPORTANT.....	2
SOMEWHAT IMPORTANT.....	3
NOT TOO IMPORTANT.....	4
NO OTHER REASON.....	5
REFUSED.....	7
DON'T KNOW.....	8

Section 5: Technology Commercialization

Product and Applications

PROD_DESC

Q38. We use the term **product** to include both goods and services.

Please think about the product, the good or service, from your company that incorporates the ATP project technology. This product embodies either a product innovation or a process innovation from the ATP project.

Please describe for me this product from your company. Describe the product in general terms; later, we will ask you to describe specific product applications.

IF PROJECT IS JV: Please describe only your company's product. Other JV partners will report on their products.

RESPONDENT ANSWERED THAT NO PRODUCT OR GOOD OR SERVICE WAS DEVELOPED (EVEN WHEN THE QUESTION WAS REPEATED)..... 0 (Q41)

PROD_ADVAN

Q39. Compared to existing products, does this product provide...

PROD_ADVAN_FEAT

a. New features?

YES.....	1
NO.....	2
NOT APPLICABLE.....	3
REFUSED.....	7
DON'T KNOW.....	8

PROD_ADVAN_PERF

b. Improved performance?

YES.....	1
NO.....	2
NOT APPLICABLE.....	3
REFUSED.....	7
DON'T KNOW.....	8

PROD_ADVAN_COST

c. Lower cost?

YES.....	1
NO.....	2
NOT APPLICABLE.....	3
REFUSED.....	7
DON'T KNOW.....	8

PROD#-DESC

Q40. Now we'll use the term product application to mean applications of your product to specific industry uses. Please describe actual product applications that your company has identified.

A. PRODUCT APPLICATION: _____

B. PRODUCT APPLICATION: _____

C. PRODUCT APPLICATION: _____

Strategic Partners and Customers

COMM_PARTNERS SPART_ONPROJ

Q41. In the time since your ATP project funding ended, has your company had strategic partners for commercialization of your ATP project technology?

- YES..... 1
- NO..... 2 (Q43)
- NOT APPLICABLE..... 3 (Q43)
- REFUSED..... 7 (Q43)
- DON'T KNOW..... 8 (Q43)

COMM_PARTNERS_NAME

Q42. Please tell me the names of your strategic partners. IF R IS HESITANT TO NAME PARTNERS, EXPLAIN THAT INFORMATION WILL ONLY BE SEEN BY ATP STAFF.

SPART#_NAME

A1. NAME OF STRATEGIC PARTNER:

A2. What is their location, that is, their city, state or country?

SPART#_CITY

CITY: _____

SPART#_STATE

SPART#_COUNTRY

STATE: _____ COUNTRY: _____

A3. I'm going to read a list of roles this strategic partner might have played in commercializing your ATP project technology. Please tell me if this strategic partner played this role.

SPART#_PD

a. Product Development?

- YES..... 1

NO..... 2
 REFUSED..... 7
 DON'T KNOW..... 8

SPART#_MANU

b. Manufacturing?

YES..... 1
 NO..... 2
 REFUSED..... 7
 DON'T KNOW..... 8

SPART#_MS

c. Marketing/Sales

YES..... 1
 NO..... 2
 REFUSED..... 7
 DON'T KNOW..... 8

SPART#_DIST

d. Distribution

YES..... 1
 NO..... 2
 REFUSED..... 7
 DON'T KNOW..... 8

SPART#_OTH

e. Any other role?

SPART#_OS

YES (SPECIFY)_____ 1
 NO..... 2
 REFUSED..... 7
 DON'T KNOW..... 8

B1. Are there any other strategic partners? COLLECT NAME OF PARTNER.
 IF NO OTHER STRATEGIC PARTNERS, SKIP TO Q43.

B2. What is their location, that is, their city, state or country?

CITY: _____

STATE: _____ COUNTRY: _____

B3. I'm going to read a list of roles this strategic partner might have played in commercializing your ATP project technology. Please tell me if this strategic partner played this role.

a. Product Development?

YES..... 1
NO..... 2
REFUSED..... 7
DON'T KNOW..... 8

b. Manufacturing?

YES..... 1
NO..... 2
REFUSED..... 7
DON'T KNOW..... 8

c. Marketing/Sales

YES..... 1
NO..... 2
REFUSED..... 7
DON'T KNOW..... 8

d. Distribution

YES..... 1
NO..... 2
REFUSED..... 7
DON'T KNOW..... 8

e. Any other role?

YES (SPECIFY) _____ 1
NO..... 2
REFUSED..... 7
DON'T KNOW..... 8

C1. Are there any other strategic partners? COLLECT NAME OF PARTNER.
IF NO OTHER STRATEGIC PARTNERS, SKIP TO Q43.

C2. What is their location, that is, their city, state or country?

CITY: _____

STATE: _____ COUNTRY: _____

C3. I'm going to read a list of roles this strategic partner might have played in commercializing your ATP project technology. Please tell me if this strategic partner played this role.

a. Product Development?

YES..... 1
 NO..... 2
 REFUSED..... 7
 DON'T KNOW..... 8

b. Manufacturing?

YES..... 1
 NO..... 2
 REFUSED..... 7
 DON'T KNOW..... 8

c. Marketing/Sales

YES..... 1
 NO..... 2
 REFUSED..... 7
 DON'T KNOW..... 8

d. Distribution

YES..... 1
 NO..... 2
 REFUSED..... 7
 DON'T KNOW..... 8

e. Any other role?

YES (SPECIFY)_____ 1
 NO..... 2
 REFUSED..... 7
 DON'T KNOW..... 8

COMM_CUSTOMERS

Q43. In the time since your ATP project funding ended, has your company had key customers for product applications incorporating your ATP project technology? Please consider both internal business unit customers and external customers.

YES..... 1
 NO..... 2
 NOT APPLICABLE..... 3
 REFUSED..... 7
 DON'T KNOW..... 8

**IF Q43 = 1, CONTINUE.
 ELSE (IF Q29 = 1 SKIP TO Q45, OTHERWISE SKIP TO SECTION 6.: POST PROJECT DEVELOPMENTS)**

COMM_CUSTOMERS_STATUS-

Q44. Can you please tell me the names of your key customers?

KEYCUST#_NAME

A1. NAME OF KEY CUSTOMER: _____

A2. What is their location, that is, their city, state or country?

KEYCUST#_CITY

CITY: _____

KEYCUST#_STATE

STATE: _____

KEYCUST#_COUNTRY

COUNTRY: _____

KEYCUST#_PROD

A3. Please describe how this key customer has used product applications incorporating your ATP project technology.

B1. Is there another key customer? COLLECT NAME. IF NO OTHERS: IF Q29 = 1 SKIP TO Q45, OTHERWISE SKIP TO SECTION 6.: POST PROJECT DEVELOPMENTS.
NAME: _____

B2. What is their location, that is, their city, state or country?

CITY: _____

STATE: _____

COUNTRY: _____

B3. Please describe how this key customer has used product applications incorporating your ATP project technology.

C1. Is there another key customer? COLLECT NAME. IF NO OTHERS: IF Q29 = 1 SKIP TO Q45, OTHERWISE SKIP TO SECTION 6.: POST PROJECT DEVELOPMENTS.
NAME: _____

C2. What is their location, that is, their city, state or country?

City: _____

State: _____

Country: _____

C3. Please describe how this key customer has used product applications incorporating your ATP project technology.

**IF Q29= 1, SKIP TO Q45.
ELSE OTHERWISE SKIP TO SECTION 6.: POST PROJECT DEVELOPMENTS**

Licensors

Q45. You mentioned earlier that you had licensed the ATP project technology. Please tell me the names of the licensors of your ATP project technology.

LIC#_NAME

A1. (What is the name of the first licensor?)

A2. What is their location, that is, their city, state or country?

LIC#_CITY

CITY: _____

LIC#_STATE

STATE: _____

LIC#_COUNTRY

COUNTRY: _____

LIC#_TYPE

A3. Is this license...

Exclusive or 1

Non-exclusive?..... 2

REFUSED..... 7

DON'T KNOW..... 8

B1. Are there any other licensors? COLLECT NAME OF LICENSOR.
IF NO OTHER, SKIP TO SECTION 6.: POST PROJECT DEVELOPMENTS.

B2. What is their location, that is, their city, state or country?

CITY: _____

STATE: _____ COUNTRY: _____

B3. Is this license...

Exclusive or	1
Non-exclusive?.....	2
REFUSED.....	7
DON'T KNOW.....	8

C1. Are there any other licensors? COLLECT NAME OF LICENSOR.
IF NO OTHER, SKIP TO SECTION 6.: POST PROJECT DEVELOPMENTS.

C2. What is their location, that is, their city, state or country?

CITY: _____

STATE: _____ COUNTRY: _____

C3. Is this license...

Exclusive or	1
Non-exclusive?.....	2
REFUSED.....	7
DON'T KNOW.....	8

Section 6: Post-Project Developments

PROJ_AWDS

Q46. Since the end of your ATP funding, has your company received any scientific or industry awards related to your ATP project?

YES.....	1
NO.....	2 (Q47)
REFUSED.....	7 (Q47)
DON'T KNOW.....	8 (Q47)

Q46a. Please describe any awards that your company has received.

1a. [AWD#_TTL](#)
TITLE: _____

1b. [AWD#_YR](#)
YEAR OF AWARD: _____

1c. [AWD#_ORG](#)
AWARDING ORGANIZATION: _____

1d. [AWD#_TYPE](#)
Would you say this award is for...

scientific or technical achievement or.....	1
business or industry achievement?.....	2
REFUSED.....	7
DON'T KNOW.....	8

2a. Are there any other awards? IF NO, SKIP TO Q47)
TITLE: _____

2b. YEAR OF AWARD: _____

2c. AWARDING ORGANIZATION: _____

- 2d. Would you say this award is for...
- | | |
|---|---|
| scientific or technical achievement or..... | 1 |
| business or industry achievement?..... | 2 |
| REFUSED..... | 7 |
| DON'T KNOW..... | 8 |

3a. Are there any other awards? IF NO, SKIP TO Q47)
 TITLE: _____

3b. YEAR OF AWARD: _____

3c. AWARDING ORGANIZATION: _____

- 3d. Would you say this award is for...
- | | |
|---|---|
| scientific or technical achievement or..... | 1 |
| business or industry achievement?..... | 2 |
| REFUSED..... | 7 |
| DON'T KNOW..... | 8 |

COMM_ACTIVE

Q47. Since the end of your ATP funding, how active has your company been in pursuing efforts to commercialize your ATP project technology? Would you say it's been...

- | | |
|---------------------------|---|
| Extremely active,..... | 1 |
| Very active,..... | 2 |
| Somewhat active, or | 3 |
| Not too active?..... | 4 |
| REFUSED..... | 7 |
| DON'T KNOW..... | 8 |

Q48. How important have the following factors been in determining progress toward commercialization of your ATP project technology?

COMM_CORPINT

a. Maintaining corporate commitment and interest. Would you say this factor has been...

- | | |
|------------------------------|---|
| Extremely important..... | 1 |
| Very important..... | 2 |
| Somewhat important, or | 3 |
| Not too important?..... | 4 |
| REFUSED..... | 7 |
| DON'T KNOW..... | 8 |

- COMM_TECHBARR**
- b. Overcoming technical barriers. (Would you say this factor has been...)
- | | |
|--------------------------|---|
| EXTREMELY IMPORTANT..... | 1 |
| VERY IMPORTANT..... | 2 |
| SOMEWHAT IMPORTANT..... | 3 |
| NOT TOO IMPORTANT..... | 4 |
| REFUSED..... | 7 |
| DON'T KNOW..... | 8 |
- COMM_IDMKT**
- c. Identifying markets or customers. (Would you say this factor has been...)
- | | |
|--------------------------|---|
| EXTREMELY IMPORTANT..... | 1 |
| VERY IMPORTANT..... | 2 |
| SOMEWHAT IMPORTANT..... | 3 |
| NOT TOO IMPORTANT..... | 4 |
| REFUSED..... | 7 |
| DON'T KNOW..... | 8 |
- COMM_ALTTECH**
- d. Staying ahead of competing alternative technologies. (Would you say this factor has been...)
- | | |
|--------------------------|---|
| EXTREMELY IMPORTANT..... | 1 |
| VERY IMPORTANT..... | 2 |
| SOMEWHAT IMPORTANT..... | 3 |
| NOT TOO IMPORTANT..... | 4 |
| REFUSED..... | 7 |
| DON'T KNOW..... | 8 |

RECENT_EVENTS

Q49. Since the end of your ATP funding, have any of the following significant events occurred at your company? CIRCLE ALL THAT APPLY.

- SIG_EVENT_TOP**
- a. Has there been a change in company top management?
- | | |
|-----------------|---|
| YES..... | 1 |
| NO..... | 2 |
| REFUSED..... | 7 |
| DON'T KNOW..... | 8 |
- SIG_EVENT_DIR**
- b. (Has there been) a change in strategic direction of the company?
- | | |
|-----------------|---|
| YES..... | 1 |
| NO..... | 2 |
| REFUSED..... | 7 |
| DON'T KNOW..... | 8 |
- SIG_EVENT_OWN**
- c. (Has there been) a change in company ownership?
- | | |
|-----------------|---|
| YES..... | 1 |
| NO..... | 2 |
| REFUSED..... | 7 |
| DON'T KNOW..... | 8 |

- d. [SIG_EVENT_RESTRUC](#)
(Has there been) a company re-structuring?
- YES..... 1
NO..... 2
REFUSED..... 7
DON'T KNOW..... 8
- e. [SIG_EVENT_MERGER](#)
(Has there been) a company merger or acquisition activity?
- YES..... 1
NO..... 2
REFUSED..... 7
DON'T KNOW..... 8
- f. [SIG_EVENT_DOWN](#)
(Has there been) business difficulty and/or downsizing?
- YES..... 1
NO..... 2
REFUSED..... 7
DON'T KNOW..... 8
- g. [SIG_EVENT_OTH](#)
Has there been any other significant event?
[SIG_EVENT_OS](#)
- YES (SPECIFY) _____ 1
NO..... 2
REFUSED..... 7
DON'T KNOW..... 8

[COMP_INV_INDIV](#) [INV_INDIV](#)

Q50. In the time since the end of your ATP funding, has your company received equity investment from individual outside investors, for example, "angel" investors"?

- YES..... 1
NO..... 2
REFUSED..... 7
DON'T KNOW..... 8

[COMP_INV_VC](#) [INV_VC](#)

Q51. (In the time) since the end of your ATP funding, has your company received equity investment from venture capital?

- YES..... 1
NO..... 2
REFUSED..... 7
DON'T KNOW..... 8

COMP_INV_CORP INV_CORP

Q52. (In the time) since the end of your ATP funding, has your company received equity investment from other companies?

- YES..... 1
- NO..... 2
- REFUSED..... 7
- DON'T KNOW..... 8

Now we have a couple of questions about your overall goals and achievements to date.

OUTCOMES_RES SAT_RESEARCH

Q53. Overall, how satisfied are you with research achievements and outcomes from your ATP project to date? Would you say you are...

- Very satisfied,..... 1 (Q55)
- Satisfied,..... 2 (Q55)
- Neutral,..... 3 (Q55)
- Dissatisfied, or..... 4
- Very dissatisfied?..... 5
- REFUSED..... 7 (Q55)
- DON'T KNOW..... 8 (Q55)

DISSAT_RESEARCH

Q54. Why are you dissatisfied with the research achievements and outcomes from your ATP project? PROBE: Any other reasons?

OUTCOMES_COMM SAT_COMMCRL

Q55. Overall, how satisfied are you with commercialization achievements and outcomes from your ATP project to date? Would you say you are...

- Very satisfied,..... 1 (Section 7)
- Satisfied,..... 2 (Section 7)
- Neutral,..... 3 (Section 7)
- Dissatisfied, or..... 4
- Very dissatisfied?..... 5
- REFUSED..... 7 (Section 7)
- DON'T KNOW..... 8 (Section 7)

DISSAT_COMMCRL

Q56. Why are you dissatisfied with the commercialization achievements and outcomes from your ATP project? PROBE: Any other reasons?

SECTION 7: COMPANY CHARACTERISTICS

Finally we would like to get some background information on your company. Whenever I say “your company” I am referring to [COMP_NAME].

COMP_FORM

Q57. Would you say your company is a...

- Sole proprietorship..... 1
- Partnership..... 2
- Limited liability company (LLC), or..... 3
- Corporation?..... 4
- REFUSED..... 7
- DON'T KNOW..... 8

COMP_MULTI_ESTAB

Q58. Does your company currently have more than one business location?

- YES..... 1
- NO..... 2
- REFUSED..... 7
- DON'T KNOW..... 8

IF Q57 = 4 (CORPORATION) CONTINUE. ELSE SKIP TO Q61

COMP_PUB

Q59. Is your company a public company, that is, is the company stock publicly traded?

- YES..... 1
- NO..... 2 (Q60)
- REFUSED..... 7 (Q60)
- DON'T KNOW..... 8 (Q60)

COMP_PUB_TICKER

Q59a. What is the stock ticker symbol for your company?

- _____ (Q61)
- REFUSED..... 7 (Q61)
 - DON'T KNOW..... 8 (Q61)

COMP_PARENT

Q60. Is your company wholly- or majority-owned by another company, that is, does your company have a parent company?

- YES..... 1
- NO..... 2 (Q61)
- REFUSED..... 7 (Q61)
- DON'T KNOW..... 8 (Q61)

COMP_PARENT_NAME

Q60a. What is the name of your parent company?

REFUSED.....	7
DON'T KNOW.....	8

COMP_PUBPARENT

Q60b. Is your parent company a public company, that is, is the parent company stock publicly traded?

YES.....	1
NO.....	2 (Q60d)
REFUSED.....	7 (Q60d)
DON'T KNOW.....	8 (Q60d)

COMP_PARENT_TICKER

Q60c. What is the stock ticker symbol for your parent company?

_____	(Q61)
REFUSED.....	7 (Q61)
DON'T KNOW.....	8 (Q61)

COMP_PARENT_REVENUE

Q60d. What were total company revenues for your parent company last year? PROBE: Your best estimate will do.

\$ _____	
THOUSANDS.....	1
MILLIONS.....	2
BILLIONS.....	3
REFUSED.....	7
DON'T KNOW.....	8

EMPLOYMENT INFORMATION

COMP_EMPLOY

Q61. How many employees did your company have last year? Please include both full-time and part-time employees. PROBE: Your best estimate will do.

_____ TOTAL EMPLOYEES	
REFUSED.....	7
DON'T KNOW.....	8

COMP_EMPLOY_RD

Q62. How many employees at your company worked in R&D last year? Please include both full-time and part-time employees. PROBE: Your best estimate will do.

_____ R&D EMPLOYEES

REFUSED..... 7

DON'T KNOW..... 8

FINANCIAL INFORMATION

The next questions are about financial information for your company, [COMP_NAME]. We'd like to have this information as it was presented in your last fiscal year report.

COMP_FISCALYR

Q63. What was the closing date for your last fiscal year report?

_____/_____/_____
 MONTH DAY YEAR

REFUSED..... 7

DON'T KNOW..... 8

COMP_REVENUE

Q64. Including all sources of revenue such as sales, licensing, research contracts, grants, etc., what were total company revenues for the last fiscal year? PROBE: Your best estimate will do.

\$ _____

THOUSANDS..... 1

MILLIONS..... 2

BILLIONS..... 3

REFUSED..... 7

DON'T KNOW..... 8

COMP_RD

Q65. What were total R&D expenditures at your company for the last fiscal year? PROBE: Your best estimate will do.

\$ _____

THOUSANDS..... 1

MILLIONS..... 2

BILLIONS..... 3

REFUSED..... 7

DON'T KNOW..... 8

**IF Q59 = 1 (Publicly traded), SKIP TO ALTERNATIVE RESPONDENTS.
ELSE, CONTINUE.**

COMP_RD COMP_NI

Q66. What was your company's Net Income, that is, income after taxes, last fiscal year? PROBE: Your best estimate will do.

\$ _____

- THOUSANDS..... 1
- MILLIONS..... 2
- BILLIONS..... 3
- REFUSED..... 7
- DON'T KNOW..... 8

SECTION 7: ALTERNATIVE RESPONDENTS

As you may or may not know, part of the cooperative agreement with ATP was to complete survey reports like this. Another survey will take place in two years.

Should we be unable to locate you in two years, can you please provide me with the names of at least two individuals who could answer questions like the ones I asked you today?

Alternative Respondent #1

Name: _____

Company: _____

Phone Number: _____

E-mail address: _____

Address: _____

Role related to ATP project: _____

Alternative Respondent #2

Name: _____

Company: _____

Phone Number: _____

E-mail address: _____

Address: _____

Role related to ATP project: _____

Section 8: Research Outputs

Publications and Patents

We are interested in papers and publications authored by your company's staff and patents filed by your company, as a result of your ATP-funded project.

We have developed a website where you can easily review the information we currently have and make any necessary changes or additions.

If you could please visit the website in the next week and update the information, we would appreciate it. The website address is <http://www.something.com> and your user name and password are SOMETHING.