

[Next Page](#)OMB Control Number: 0694-0119  
Expiration Date: 24 November 2014**DEFENSE INDUSTRIAL BASE ASSESSMENT:  
Strategic Materials****SCOPE OF ASSESSMENT**

The U.S. Department of Commerce, Bureau of Industry and Security (BIS), Office of Technology Evaluation (OTE), in coordination with the Defense Logistics Agency (DLA) is conducting an industrial base survey and assessment of the supply chain associated with six critical and strategic materials required for key defense systems and platforms.

The primary goal of this assessment is to assist the defense community in understanding the health and competitiveness of critical material suppliers, and identify specific issues and problems facing the industry. Over the longer term, agencies will be better informed to develop targeted planning and acquisition strategies to ensure the availability of the materials supply chain to support critical defense missions and programs.

**RESPONSE TO THIS SURVEY IS REQUIRED BY LAW**

A response to this survey is required by law (50 U.S.C. app. Sec. 2155). Failure to respond can result in a maximum fine of \$10,000, imprisonment of up to one year, or both. Information furnished herewith is deemed confidential and will not be published or disclosed except in accordance with Section 705 of the Defense Production Act of 1950, as amended (50 U.S.C App. Sec. 2155). Section 705 prohibits the publication or disclosure of this information unless the President determines that its withholding is contrary to the national defense. Information will not be shared with any non-government entity, other than in aggregate form. The information will be protected pursuant to the appropriate exemptions from disclosure under the Freedom of Information Act (FOIA), should it be the subject of a FOIA request.

Notwithstanding any other provision of law, no person is required to respond to nor shall a person be subject to a penalty for failure to comply with a collection of information subject to the requirements of the Paperwork Reduction Act unless that collection of information displays a currently valid OMB Control Number.

**BURDEN ESTIMATE AND REQUEST FOR COMMENT**

Public reporting burden for this collection of information is estimated to average 14 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information to BIS Information Collection Officer, Room 6883, Bureau of Industry and Security, U.S. Department of Commerce, Washington, D.C. 20230, and to the Office of Management and Budget, Paperwork Reduction Project (OMB Control No. 0694-0119), Washington, D.C. 20503.

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**Important Note:**

The drop-down menus in later sections are based on your responses in Section 2. In order for them to work properly, you must complete Section 2.

<b>Section I: GENERAL INSTRUCTIONS</b>	
A.	Your organization is required to complete this survey using an Excel template, which can be downloaded from the U.S. Department of Commerce, Bureau of Industry and Security (BIS) website: <a href="http://www.bis.doc.gov/TBD">www.bis.doc.gov/TBD</a> . At your request, survey support staff will e-mail the Excel survey template directly to your organization. For your convenience, a PDF version of the survey is available on the BIS website to aid internal data collection. DO NOT submit the PDF version of your organization's response to BIS.
B.	Respond to every question. Surveys that are not fully completed will be returned for completion. Use comment boxes to provide any information to supplement responses provided in the survey form. Make sure to record a complete answer in the cell provided, even if the cell does not appear to expand to fit all the information.  <b>DO NOT COPY AND PASTE RESPONSES WITHIN THIS SURVEY.</b> Survey inputs should be made manually, by typing in responses or by use of a drop-down menu. The use of copy and paste can corrupt the survey template. If your survey response is corrupted as a result of copy and paste responses, a new survey will be sent to you for immediate completion.
C.	<b>Do not disclose any classified information in this survey form.</b>
D.	If information is not available from your organization's records in the form requested, you may furnish estimates.
E.	In some questions on this survey, definitions of terms are included in comment boxes. These are noted by the small red triangle in the upper-right corner of a relevant box. To see the definition, move your mouse over the box with the red triangle.
F.	Questions related to this survey should be directed to BIS staff:  Matthew Sigmund, Trade and Industry Analyst, 202-482-0634, <a href="mailto:matthew.sigmund@bis.doc.gov">matthew.sigmund@bis.doc.gov</a> LaTiesha Cooper, Trade and Industry Analyst, 202-482-5415, <a href="mailto:latiesha.cooper@bis.doc.gov">latiesha.cooper@bis.doc.gov</a> Emily Ensley, Trade and Industry Analyst, 202-482-3256, <a href="mailto:emily.ensley@bis.doc.gov">emily.ensley@bis.doc.gov</a>  Email is the preferred method of contact.
G.	Upon completion, review, and certification of this Excel survey, transmit the survey via e-mail attachment to: TBD. Be sure to retain a copy for your records.
H.	For questions related to the overall scope of this Industrial Base assessment, contact:  Brad Botwin, Director, Industrial Studies Office of Technology Evaluation, Room 1093 U.S. Department of Commerce, BIS 1401 Constitution Avenue, NW Washington, DC 20230
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Section II: Definitions	
Term	Definition
Alloy	A metal made by combining two or more metallic elements to give, for example, greater strength or resistance to corrosion.
Applied Research	Systematic study to gain knowledge or understanding necessary to determine the means by which a recognized and specific need may be met. This activity includes work leading to the production of useful materials, devices and systems or methods, including design, development, and improvement of prototypes and new processes.
Authorizing Official	Executive officer of the organization or business unit or other individual who has the authority to execute this survey on behalf of the organization.
Basic Research	Systematic, scientific study directed toward greater knowledge or understanding of the fundamental aspects of phenomena and of observable facts.
Capacity Utilization Rate	The percent of an organization's potential output that is actually being used in current production, given the current number of shifts in operation.
Commercial and Government Entity (CAGE) Code	Commercial and Government Entity (CAGE) Code identifies companies doing or wishing to do business with the U.S. Federal Government. The code is used to support mechanized government systems and provides a standardized method of identifying a given facility at a specific location. Find CAGE codes at: <a href="http://www.logisticsinformationservice.dla.mil/BINCS/begin_search.aspx">http://www.logisticsinformationservice.dla.mil/BINCS/begin_search.aspx</a>
Component	Any raw material, substance, piece, part, software, firmware, labeling, or assembly which is intended to be included as part of the finished, packaged, and labeled device.
Customer	An entity to which an organization directly delivers the product or service that the facility produces. A customer may be another company or another facility owned by the same parent organization. The customer may be the end user for the item but often will be an intermediate link in the supply chain, adding additional value before transferring the item to yet another customer.
Data Universal Numbering System (DUNS)	A nine-digit numbering system that uniquely identifies an individual business. Find DUNS numbers at: <a href="http://fedgov.dnb.com/webform">http://fedgov.dnb.com/webform</a>
Direct Support	Product/service is provided by your organization to the specified customer, not through a third party (for example, prime contractor or distributor).
Distributor	An entity that buys noncompeting products or product lines, warehouses them, and resells them to retailers or directly to the end users or customers.
Finished Product	Any product, or accessory to any product, that is suitable for use or capable of functioning, whether or not it is packaged or labeled.
Full Time Equivalent (FTE) Employees	Employees who work for 40 hours in a normal work week. Convert part-time employees into "full-time equivalents" by taking their work hours as a fraction of 40 hours.
Indirect Support	Product/service is provided to the specified customer through a third party (for example, prime contractor or distributor).
Manufacturer	An organization that uses labor and capital to convert raw materials into finished or semifinished goods. For the purpose of this survey, manufacturing includes integration and assembly.
Manufacturing Material	Any material or substance used in or used to facilitate the manufacturing process, a concomitant constituent, or a byproduct constituent produced during the manufacturing process, which is present in or on the finished device/product.
North American Industry Classification System (NAICS) Code	North American Industry Classification System (NAICS) codes identify the category of product(s) or service(s) provided by your organization. Find NAICS codes at: <a href="http://www.census.gov/epcd/www/naics.html">http://www.census.gov/epcd/www/naics.html</a>
Precious Metals	Metals that have high economic value due to their rarity. Most commonly gold, silver, platinum, and palladium.
Product/Process Development	Conceptualization and development of a product prior to the production of the product for customers.
Rare Earth Element	A category that includes element numbers 57-71 of the periodic table (lanthanum, cerium, praseodymium, neodymium, promethium, samarium, europium, gadolinium, terbium, dysprosium, holmium, erbium, thulium, and ytterbium) as well as yttrium (39) and scandium (21).
Service	An intangible product (contrasted to a good, which is a tangible product). Services typically cannot be stored or transported, are instantly perishable, and come into existence at the time they are bought and consumed.
Single Source	An organization that is designated as the only accepted source for the supply of parts, components, materials, or services, even though other sources with equivalent technical know-how and production capability may exist.
Sole Source	A organization that is the only source for the supply of parts, components, materials, or services. No alternative U.S. or non-U.S. based suppliers exist other than the current supplier.
STEM	STEM stands for Science, Technology, Engineering and Mathematics.
Supplier	An entity from which your organization obtains inputs. A supplier may be another firm with which you have a contractual relationship, or it may be another facility owned by the same parent organization. The inputs may be goods or services.
United States	The "United States" or "U.S." includes the 50 states, Puerto Rico, the District of Columbia, the island of Guam, the Trust Territories, and the U.S. Virgin Islands.
Unalloyed Metal	A metal in it's pure form, not combined with any other substance.

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Section 1a: Organization Information										
A	From the dropdown, select the description that best identifies your organization:									
B	Does this survey response capture your organization's entire operations or an individual business unit/division's operations? Note: Survey data must be provided for all <b>critical materials-related</b> activities within your organization.									
Provide the following information for the level at which your organization is responding to this survey.										
C	Company/Organization Name									
	Business Unit/Division Name (if applicable)									
	Street Address									
	City									
	State									
	Zip Code									
	Website									
	Phone Number									
Primary DUNS Code for this Level (nine-digit number with no dashes)										
Provide the following information for your parent company, if applicable.										
D.	Company/Organization Name									
	Street Address									
	City									
	State									
	Country									
	Postal Code/Zip Code									
	Primary DUNS Code for Parent Company (nine digit number with no dashes)									
E	Is your organization publicly traded or privately held?									
Point of Contact regarding this survey:										
F	Name		Title		Phone Number		E-mail Address		State	
Comments:										
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**Section 1b: Organization Information**

From the list below, identify any of the general market segments that your organization currently serves:																																											
A	<table border="1"> <tr><td>Aerospace</td><td></td></tr> <tr><td>Automotive</td><td></td></tr> <tr><td>Consumer goods</td><td></td></tr> <tr><td>Construction/Building</td><td></td></tr> <tr><td>Electronics</td><td></td></tr> <tr><td>  Optics/Sensors</td><td></td></tr> <tr><td>  Semiconductors</td><td></td></tr> <tr><td>  Other electronics (specify)</td><td></td></tr> <tr><td>Engineering</td><td></td></tr> <tr><td>Food/Agriculture</td><td></td></tr> <tr><td>Healthcare</td><td></td></tr> <tr><td>Industrial</td><td></td></tr> <tr><td>  Chemical</td><td></td></tr> <tr><td>  Desalination</td><td></td></tr> <tr><td>  Energy/Power generation</td><td></td></tr> <tr><td>  Petrochemical</td><td></td></tr> <tr><td>  Other industrial (specify)</td><td></td></tr> <tr><td>Marine (surface and underwater)</td><td></td></tr> <tr><td>Research and Development</td><td></td></tr> <tr><td>Telecommunication</td><td></td></tr> <tr><td>Other (specify)</td><td></td></tr> </table>	Aerospace		Automotive		Consumer goods		Construction/Building		Electronics		Optics/Sensors		Semiconductors		Other electronics (specify)		Engineering		Food/Agriculture		Healthcare		Industrial		Chemical		Desalination		Energy/Power generation		Petrochemical		Other industrial (specify)		Marine (surface and underwater)		Research and Development		Telecommunication		Other (specify)	
Aerospace																																											
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Semiconductors																																											
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Engineering																																											
Food/Agriculture																																											
Healthcare																																											
Industrial																																											
Chemical																																											
Desalination																																											
Energy/Power generation																																											
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Marine (surface and underwater)																																											
Research and Development																																											
Telecommunication																																											
Other (specify)																																											
From the list below, identify any of the <b>government/defense</b> market segments that your organization currently serves:																																											
B	<table border="1"> <tr><td>Aircraft</td><td></td></tr> <tr><td>C4ISR</td><td></td></tr> <tr><td>Electronics</td><td></td></tr> <tr><td>Energy</td><td></td></tr> <tr><td>Ground Vehicles</td><td></td></tr> <tr><td>Missiles</td><td></td></tr> <tr><td>Research and Development</td><td></td></tr> <tr><td>Ships (surface and underwater)</td><td></td></tr> <tr><td>Space</td><td></td></tr> <tr><td>Other (specify)</td><td></td></tr> </table>	Aircraft		C4ISR		Electronics		Energy		Ground Vehicles		Missiles		Research and Development		Ships (surface and underwater)		Space		Other (specify)																							
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Other (specify)																																											
Comments:																																											

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From the list below, select all applicable business lines your organization currently performs.									
A	Mining/Prospecting	<input type="checkbox"/>							
	Melting	<input type="checkbox"/>							
	Recycling	<input type="checkbox"/>							
	Casting	<input type="checkbox"/>							
	Forging (extrusion)	<input type="checkbox"/>							
	Molding	<input type="checkbox"/>							
	Machining (turning, boring, drilling, milling, electrochemical, electron beam, ultrasonic, etc.)	<input type="checkbox"/>							
	Stamping (punching, blanking, flanging, etc.)	<input type="checkbox"/>							
	Fabrication (cutting, bending, assembling, etc.)	<input type="checkbox"/>							
	Finishing (coating, plating, heat treating, etc.)	<input type="checkbox"/>							
	Research and development	<input type="checkbox"/>							
	Testing/Evaluation/Validation	<input type="checkbox"/>							
Other business line(s) (specify)	<input style="width: 100%;" type="text"/>								
Is your organization considered a small business as defined by the Small Business Administration (SBA)?									
For information on SBA's small business size standards, see: <a href="http://www.sba.gov/category/navigation-structure/contracting/contracting-officials/eligibility-size-standards">http://www.sba.gov/category/navigation-structure/contracting/contracting-officials/eligibility-size-standards</a>									
B	If yes, please specify the type(s) below.								
	<input style="width: 100%; height: 100%;" type="text"/>								
Please provide the following identification codes (see definitions), as applicable, to your organization.									
*Find your organization's Commercial and Government Entity (CAGE) Codes at: <a href="http://www.logisticsinformationservice.dla.mil/BINCS/begin_search.aspx">http://www.logisticsinformationservice.dla.mil/BINCS/begin_search.aspx</a>									
**Find your organization's North American Industry Classification System (NAICS) codes at: <a href="http://www.census.gov/epcd/www/naics.html">http://www.census.gov/epcd/www/naics.html</a>									
C	Commercial and Government Entity (CAGE) Code(s)*	NAICS (6-digit) Code(s)**							
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; height: 20px;"></td> <td style="width: 50%; height: 20px;"></td> </tr> <tr> <td style="width: 50%; height: 20px;"></td> <td style="width: 50%; height: 20px;"></td> </tr> </table>					<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; height: 20px;"></td> <td style="width: 50%; height: 20px;"></td> </tr> <tr> <td style="width: 50%; height: 20px;"></td> <td style="width: 50%; height: 20px;"></td> </tr> </table>			
Comments:	<input style="width: 100%; height: 100%;" type="text"/>								
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Please provide the following information for each of your organizations' facilities with critical materials-related operations.						
	Name	City	State	Country	Facility Primary Business Line (select from dropdown)	
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Comments:						
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**Section 2a: Critical Materials-Related Products**

Complete the table below to describe ALL your organization's critical materials-related capabilities. Capabilities include items sold to external customers in addition to semi-finished items requiring further processing within your organization. For example, if your organization produces titanium sponge that it further processes into titanium ingot and/or bar, each product must be included.

For each unique critical materials-related product your organization produces, provide a **PRODUCT NAME**, indicate the **TYPE** of product, and whether it is an **ALLOY** or **UNALLOYED**. Next specify the **GRADE/COMPOSITION** and provide a brief **ADDITIONAL DESCRIPTION** with any additional information/unique properties of the product. If you indicated **OTHER** in the **GRADE/COMPOSITION** section, specify the makeup of the titanium product here. Complete the **END USE** portion by selecting the **PRIMARY END USE** for the product and providing an **END USE DESCRIPTION**.

In the **PRODUCTION** portion, provide your organization's **AVERAGE MONTHLY OUTPUT** of each product and the **MAXIMUM MONTHLY OUTPUT** your organization would be capable of producing with three eight-hour shifts operating seven days per week with your current facilities and equipment. Next, indicate if the product is sold **OUTSIDE** your organization or utilized for further processing only and specify the **PERCENTAGE SOLD TO EXTERNAL CUSTOMERS**.

Last, specify if your organization is a **SOLE SOURCE** of each product.

**NOTES:** You must use one row for each unique combination of product **TYPE** and **COMPOSITION**. If **OTHER** is selected, provide a description in the applicable write-in section.

	Product Name (write-in)	Type (select from dropdown)	Product Composition			End Use		Production				Sole Source (select from dropdown)
			Alloy/Unalloyed	Grade/Composition* (select from dropdown)	Additional/Other Description (write-in)	Primary End Use (select from dropdown)	End Use Description (write-in)	Average Monthly Output (pounds)	Maximum Monthly Output (pounds)	Is the product sold outside your organization?	Percentage sold to external customers	
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\* Composition notes:

Composition/Grade	Approximate Description	Composition/Grade	Approximate Description
CP	Commercially Pure	6-2-4-6	6% Aluminum, 2% Tin, 4% Zirconium, 6% Molybdenum
10-2-3	10% Vanadium, 2% Iron, 3% Aluminum	6-6-2	6% Vanadium, 6% Aluminum, 2% Tin
6-4	6% Aluminum, 4% Vanadium	3-2.5	3% Aluminum, 2.5% Vanadium
6-2-4-2	6% Aluminum, 2% Tin, 4% Zirconium, 2% Molybdenum	3-2.5	3% Aluminum, 2.5% Vanadium

Comments:

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**Section 2b: Additional Products**

Complete the table below to describe your organization's **additional** capabilities.

For each **TYPE** of material your organization manufactures, indicate the **PRIMARY MATERIAL** of the product and provide a brief **PRODUCT DESCRIPTION** that includes additional materials in the product. Next, indicate the **PRIMARY END USE** of the product, provide an additional **END USE DESCRIPTION**, and indicate whether your organization is a **SOLE SOURCE** of the product.

**NOTES:** One row **MUST** be completed for each unique **TYPE** and **PRIMARY MATERIAL** combination. If **OTHER** is selected, provide a description in the applicable write-in section.

	Type (select from dropdown)	Primary Material (select from dropdown)	Product Description (write-in)	Primary End Use (select from dropdown)	End Use Description (write-in)	Sole Source (select from dropdown)
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Comments:

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**Section 3a: Suppliers for Critical Materials-Related Product Lines**

In the table below, identify the **EXTERNAL** suppliers for your organization's **critical materials-related** product line(s). Suppliers are considered **EXTERNAL** if they are not directly part of the organization completing this survey. For each of the products your organization identified in the **PRODUCTS** section (2a), indicate the suppliers providing key **TYPES** of inputs. Input **TYPES** include: Raw Material, Semi-Finished Material, Finished Material, Rare Earth Element, Precious Metal, Other Metal, Chemical, and Other Material.

For each, provide the **SUPPLIER NAME**, the **TYPE** of input received from the supplier, and an additional **DESCRIPTION** of the product provided (for example: aluminum bar). Next, select the **STATE** and **COUNTRY** where the supplier is located and indicate whether they are a **SINGLE or SOLE SOURCE** for your organization. In the remaining **PRODUCT USE** columns, select the **critical materials-related** product line(s) where the supplied item is utilized (up to five).

**NOTE:** A supplier may be another business unit/division/facility within your same organization.

	Supplier Name	Input Information		Supplier Information			Product Use <small>(select from dropdown)</small>					
		Type <small>(select from dropdown)</small>	Description <small>(write-in)</small>	Supplier State	Supplier Country	Single/Sole Source <small>(select from dropdown)</small>	Critical Material Product 1	Critical Material Product 2	Critical Material Product 3	Additional Product 1	Additional Product 2	
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Comments:												
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Section 3b: Inputs and Sourcing									
<p><b>A</b> Does your organization utilize any of the critical materials listed in <b>part A</b> (below) for <b>critical materials-related</b> operations, your <b>additional</b> operations, or both?</p>									
<p>For each critical material, indicate if it is utilized within <b>critical materials-related operations</b> and/or <b>OTHER operations</b>, whether your organization <b>MAINTAINS</b> inventory of each, and if so, provide the <b>QUANTITY</b> with the associated <b>UNIT OF MEASURE</b>.</p> <p>In the <b>SUPPLIER DETAIL</b> section, select the <b>TYPE</b> of supplier providing the product (options include: Distributor; Mine, Original Manufacturer, Recycler) and the supplier's <b>LOCATION</b>. In the <b>ORIGINAL SOURCE</b> column, indicate the country where the material originally came from (if known).</p>									
Critical Material	Operation Utilization		Inventory				Supplier Detail (select from dropdown)		Original Source (if known)
	Critical Material	Other	Maintain	Quantity	Quantity Unit of Measure	Quantity in KG	Type	Location (Country)	
Aluminum						0			
Ceramics (specify)						0			
Composites (specify)						0			
Cobalt						0			
Copper						0			
Gallium						0			
Gold						0			
Iron						0			
Lead						0			
Lanthanides (specify)						0			
Lithium						0			
Magnesium						0			
Molybdenum						0			
Nickel						0			
Niobium						0			
Palatium						0			
Palladium						0			
Platinum						0			
Silicon						0			
Silver						0			
Steel - Alloys (specify)						0			
Steel - Carbon (specify)						0			
Steel - Stainless (specify)						0			
Steel - Tool (specify)						0			
Tantalum						0			
Tin						0			
Titanium						0			
Tungsten						0			
Vanadium						0			
Zinc						0			
Zirconium						0			
Other (specify)						0			
Other (specify)						0			
Other (specify)						0			
<p><b>C</b> Are you concerned about the availability of the inputs mentioned in part B (above) for your organization's operations?</p> <p>If yes, which inputs? (select from dropdown)</p> <p>Provide a brief description of your concern(s):</p>									
<p><b>D</b> Have you <b>experienced supply chain disruptions</b> regarding the inputs mentioned in part B (above) that have impacted your organization's operations?</p> <p>If yes, which inputs? (select from dropdown)</p> <p>Provide a brief description of your concern(s):</p>									
<p><b>E</b> What steps has your organization taken to minimize the impact of disruptions in availability of these key inputs?</p>									
<p>Comments:</p>									

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<a href="#">Previous Page</a>		<a href="#">Next Page</a>		
Section 4a: U.S. Government and DOD Participation				
A	On a scale of 1-5 (1 = not dependent; 5 = highly dependent), how dependent are your organization's operations on:	Rank 1-5 (select from dropdown)		Provide a brief explanation (write-in)
		Critical Materials- Related	Non Critical Materials- Related	
	U.S. Government <b>defense</b> demand?			
	U.S. Government <b>non-defense</b> demand?			
	Commercial demand?			
If your organization supports Department of Defense (DOD) programs, is that support integrated or separate from commercial operations? (Select from dropdown at right)				
B	Provide a brief explanation of your response.			
	Can your organization simultaneously support DOD and commercial requirements?			
From the list below, select the potential impacts that a sudden decrease in direct and/or indirect U.S. Government demand would have on your organization:				
C	Decreased capital expenditures		Movement of operations overseas	
	Decreased research & development expenditures		Pursuit of new product/service lines	
	Disproportionate reduction in sales revenue		Pursue non-U.S. customers	
	Elimination of all participation in U.S. Government contracts		Pursuit of other U.S. customers	
	Increased product/service costs (ie. an increase in per unit cost)		Reduced participation in U.S. Government contracts	
	Loss of organization viability or solvency		Reduction or elimination of particular product lines	
	Loss of personnel with key skills		Sale of key production equipment	
	Other	(specify)	Other	(specify)
D	Since 2010, has your organization received a rated order (DO or DX) from a U.S. Government agency and/or affiliated contractor? A rated order means a prime contract, a subcontract, or a purchase order in support of an approved program issued in accordance with the provisions of the Defense Priorities and Allocation System (DPAS) regulations (15 CFR part 700).			
Comments:				
<b>BUSINESS CONFIDENTIAL - Per Section 705(d) of the Defense Production Act</b>				

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**Section 4b: U.S. Government and DOD Participation**

To the best of your knowledge, identify any U.S. Government agencies your organization <b>directly and/or indirectly</b> supports from the list below.					
Agency		Type of Support (select from dropdown)	Agency		Type of Support (select from dropdown)
Defense Advanced Research Projects Agency (DARPA)			Director, Defense Research and Engineering (DDR&E)		
Defense Threat Reduction Agency (DTRA)			Federal Aviation Administration (FAA)		
Department of Energy (including the National Nuclear Security Administration)			Missile Defense Agency (MDA)		
U.S. Air Force			U.S. Army		
U.S. Marine Corps			U.S. Navy		
Other DOD	(specify)		Other	(specify)	
Other DOD	(specify)		Other	(specify)	
Other DOD	(specify)		Other	(specify)	

A

Note: DOD is Department of Defense

Comments:

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<a href="#">Previous Page</a>	<b>Section 4c: U.S. Government and DOD Participation</b>	<a href="#">Next Page</a>				
A	Does your organization have knowledge of specific U.S. Government programs and/or agencies (including defense and non-defense) your products ultimately support?					
If your organization has knowledge of specific programs and/or agencies supported, complete part B below. If your organization responded "No" to part A, move to section 5 of the survey document.						
<p>Complete <b>one line</b> for each DOD program/system and product combination for which your organization has visibility, using the following instructions:</p> <p>Provide <b>DOD Office/Branch</b> where the program/system is located, an additional description of the <b>Program/System's Name</b>, select the <b>Product(s) Provided</b>, indicate the <b>Type of Support</b> your organization provided, and provide any <b>Additional Detail</b>.</p> <p>Spell out all acronyms and provide as much detail as possible.</p>						
	DOD Office/Branch <small>(write-in)</small>	Program/System Name <small>(write-in)</small>	Critical Material Product Provided <small>(select from dropdown)</small>	Additional Product Provided <small>(select from dropdown)</small>	Type of Support <small>(select from dropdown)</small>	Additional Detail <small>(write-in)</small>
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
Comments:						
<b>BUSINESS CONFIDENTIAL - Per Section 705(d) of the Defense Production Act</b>						

<a href="#">Previous Page</a>	<b>Section 5: Manufacturing Operations</b>	<a href="#">Next Page</a>	
<p>From the drop-down below, identify the <b>top three</b> business lines/functions that present challenges when utilizing outside/third-party sources to support your operations. Explain each selection.</p>			
A	Business Line/Function <small>(select from dropdown)</small>	Explanation of Challenge <small>(write-in)</small>	
<p>Identify the <b>top five issues</b> that have impacted your operations since 2010. Explain each. Issues may include those related to competition, government policies, material availability and quality, and supplier reliability.</p>			
B	Type of Issue <small>(select from dropdown)</small>	Explanation of Issue <small>(write-in)</small>	
<p>Since 2010, identify three key actions your organization has taken to <b>improve competitiveness</b>? Select general improvement categories from the dropdown menu and provide an explanation for each. General areas include: business restructuring; capital investment; customer service/quality control improvements; innovation, R&amp;D, and design improvements; marketing improvements; staff adjustments.</p>			
C	Improvement Action <small>(select from dropdown)</small>	Explanation of Action <small>(write-in)</small>	
<p>From the list below, identify the key factors/developments your organization anticipates will impact the U.S. <b>critical materials</b> industry over the next five years. For some, indicate "Yes/No", for others indicate "Increase/Decrease." Provide a brief explanation of each.</p>			
	<b>General Issues</b>	Impact	Explanation <small>(write-in)</small>
	Domestic competition		
	International competition		
	Input/production costs		
	New production methods		
	New products		
	<b>Military Aircraft</b>		
	F-35 Joint Strike Fighter		
	Other fixed wing military aircraft (specify model)		
	Other fixed wing military aircraft (specify model)		
	Rotary wing military aircraft (specify model)		
	Rotary wing military aircraft (specify model)		
	<b>Commercial Aircraft</b>		
D	Boeing 787		
	Other Boeing aircraft (specify model)		
	Airbus a350		
	Other Airbus aircraft (specify model)		
	Other aircraft (specify manufacturer/model)		
	Other aircraft (specify manufacturer/model)		
	<b>Aircraft Engines by Manufacturer (specify model)</b>		
	CFM International*		
	Engine Alliance**		
	General Electric Aviation		
	Pratt & Whitney		
	Other	(specify)	
	Other	(specify)	
<p>*CFM International is a joint venture between General Electric Aviation and Snecma. Models include CFM56 and LEAP.                  **Engine Alliance is a joint venture between General Electric Aviation and Pratt and Whitney. Models include the GP7000 series.</p>			
Comments:			
BUSINESS CONFIDENTIAL - Per Section 705(d) of the Defense Production Act			



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**Section 6: Sales**

Provide your organization's 2010-2013 U.S. and non-U.S. sales information and projected 2014-2018 sales trend information. Calendar year data is preferred. Estimates are acceptable. In part A, provide your organization's **total sales** and a breakout of those sales in lines 1 and 2 (should sum to 100%). In part B, provide your organization's total **critical materials-related sales** and a breakout of those sales in lines 1 and 2 (should sum to 100%).

For lines a and b of part B, indicate the percentage of your total **critical materials-related sales** (part B) that go to U.S. government customers.

Note: Ensure your **Source of Sales Data** is consistent with your response in section 1a. In other words, if you have declared this to be a Business Unit/Division response, this section should contain Business Unit/Division-level data.

Source of Sales Data:

Reporting Schedule:

"U.S." means U.S. domestic sales; "Non-U.S." means export sales from U.S. locations		Record in \$ Thousands, e.g. \$12,000.00 = survey input \$12									
		2010		2011		2012		2013*		2014-2018	
		U.S.	Non-U.S.	U.S.	Non-U.S.	U.S.	Non-U.S.	U.S.	Non-U.S.	U.S.	Non-U.S.
A	Total Sales, all Customers (in \$1,000's)										
	1 Total Commercial Sales (as a % of part A)										
	2 Total Government Sales (as a % of part A)										
	Lines 1 & 2 must sum to 100%	0%	0%	0%	0%	0%	0%	0%	0%		
B	Total Critical Materials-Related Sales (in \$1,000's)										
	1 Critical Materials-Related Commercial Sales (as a % of line B)										
	2 Critical Materials-Related Government Sales (as a % of line B)										
	Lines 1 & 2 must sum to 100%	0%	0%	0%	0%	0%	0%	0%	0%		
	a Critical Materials-Related U.S. Government Defense Sales (as a % of line B)										
	b Critical Materials-Related U.S. Government, Non-Defense Sales (as a % of line B)										

\* Furnish full year estimates for 2013.

Comments:

**BUSINESS CONFIDENTIAL - Per Section 705(d) of the Defense Production Act**

**Section 7: Customers**

For your **critical materials-related** business lines, identify at least 10 of your leading customers by sales. Provide the **Direct Customer Name**, indicate the **Type of Customer**, the **Critical Materials Product(s) Provided**, their location (**City, State, Country**), and your organization's estimated average annual sales generated from that customer.

	Direct Customer Name	Type of Customer (select from dropdown)	Critical Materials Product Provided 1 (select from dropdown)	Critical Materials Product Provided 2 (select from dropdown)	Critical Materials Product Provided 3 (select from dropdown)	City	State	Country	2010-2013 Average Annual Sales (select from dropdown)
1									
2									
3									
4									
5									
6									
7									
8									
9									
10									
11									
12									
13									
14									
15									

Comments: \_\_\_\_\_

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<b>Section 8: Financials</b>	
<p>Report line items from your organization's financial statement for years 2010-2013. From the drop-down indicate whether the reported income statement and balance sheet line items are Business Unit/Division or Corporate/Whole Organization financials.</p> <p>Note: Ensure your <b>Source of Financial Line Items</b> is consistent with your response in section 1a. This means if you have declared this to be a Business Unit/Division-level response, this section should contain Business Unit/Division-level data.</p>	
Source of Financial Line Items:	
Reporting Schedule:	
Income Statement (Select Line Items)	<b>Record in \$ Thousands, e.g. \$12,000.00 = survey input of \$12</b>
	2010      2011      2012      2013*
A Net Sales (and other revenue)	
B Cost of Goods Sold	
C Total Operating Income (Loss)	
D Earnings Before Interest and Taxes	
E Net Income	
Balance Sheet (Select Line Items)	<b>Record in \$ Thousands, e.g. \$12,000.00 = survey input of \$12</b>
	2010      2011      2012      2013*
A Cash	
B Total Assets	
C Total Liabilities	
D Retained Earnings	
E Total Owner's Equity	
* Furnish full year <b>estimates</b> for 2013.	
Comments:	
<b>BUSINESS CONFIDENTIAL - Per Section 705(d) of the Defense Production Act</b>	

<a href="#">Previous Page</a>		<b>Section 9: Employment</b>				<a href="#">Next Page</a>	
<p>Record the total number of full-time equivalent (FTE) employees in your U.S.-based operations for the 2010-2013 period. Then, estimate the percentage of these employees that perform the professional occupations indicated in parts b-j.</p> <p>Do not double count personnel who may perform cross-operational roles. Estimates are encouraged.</p> <p>Note: Ensure your <b>Source of Workforce Data</b> is consistent with your response in section 1a. In other words, if you have declared this to be a Business Unit/Division-level response, this section should contain Business Unit/Division-level data.</p> <p>* Furnish full year estimates for 2013.</p>							
Source of Workforce Data:							
Reporting Schedule:							
A	Professional Occupations		2010	2011	2012	2013*	
	a	Total Full Time Equivalent (FTE) Employees					
	b	Administrative, Management, & Legal Staff [as a % of a]					
	c	Engineers, Scientists, and R&D Staff [as a % of a]					
	d	Facility & Maintenance Staff [as a % of a]					
	e	Information Technology Professionals [as a % of a]					
	f	Marketing & Sales [as a % of a]					
	g	Production Line Workers [as a % of a]					
	h	Testing Operators, Quality Control, & Support Technicians [as a % of a]					
	i	Other (specify)					
	j	Other (specify)					
<b>Lines b through j must total 100%</b>			<b>0%</b>	<b>0%</b>	<b>0%</b>	<b>0%</b>	
B	Estimate the percentage of your total FTEs that currently work on <b>critical materials-related</b> business lines:						
C	How many 8 hour shifts does your facility currently operate?						
D	Does your organization have difficulty hiring and/or retaining any of your workforce? If so, please provide a brief explanation of the type of worker and the cause of the difficulty.						
E	Identify any unique <b>critical materials-related</b> skills and/or competencies that are essential to your organization. Identify the general type of skill and/or competency from the drop-down menu then describe it in the right hand box.						
	Type of Skill or Competency		Explanation				
	1						
	2						
	3						
	4						
5							
Comments:							
<b>BUSINESS CONFIDENTIAL - Per Section 705(d) of the Defense Production Act</b>							

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<b>Section 10: Research and Development</b>						
Estimate your company's total research and development (R&D) dollar expenditures for the years 2010 to 2013. In addition, estimate the percentage of total R&D expenditures related to <b>critical materials</b> business lines and <b>defense</b> business lines. Calendar year data is preferred.						
Note: Ensure your <b>Source of R&amp;D Reporting</b> is consistent with your response in section 1a. In other words, if you have declared this to be a Business Unit/Division-level response, this section should contain Business Unit/Division-level data.						
* Furnish full year estimates for 2013.						
Source of R&D Reporting:						
R&D Reporting Schedule:						
<b>R&amp;D Expenditures</b>		<b>Record in \$ Thousands, e.g. \$12,000.00 = survey input of \$12</b>				
		<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013*</b>	
<b>A</b>	<b>a</b> Total R&D Expenditures					
	b Basic Research <i>[as a % of a]</i>					
	c Applied Research <i>[as a % of a]</i>					
	d Product/Process Development <i>[as a % of a]</i>					
	<b>Lines b through d must total 100%</b>		<b>0%</b>	<b>0%</b>	<b>0%</b>	<b>0%</b>
	e	Percent of Total R&D Expenditures [line a] relating to <b>critical materials-related</b> business lines				
f	Percent of Total R&D Expenditures [line a] relating to <b>defense</b> business lines					
<b>B</b>	Estimate the degree of compatibility of your Defense-related R&D with Non-Defense/Commercial R&D.					
<b>C</b>	What is the primary source of your organization's R&D funds?					
	Since 2010, has your organization received any R&D funds from government sources (local, state, federal)?					
	If your organization has received R&D funding from government sources since 2010, estimate the percentage of your total R&D expenditures.					
<b>D</b>	Please provide a brief description of the objective of your organization's R&D activities.					
Comments:						
<b>BUSINESS CONFIDENTIAL - Per Section 705(d) of the Defense Production Act</b>						

<a href="#">Previous Page</a>		<b>Section 11: Capital Expenditures</b>				<a href="#">Next Page</a>	
Record your organization's capital expenditures corresponding to the select categories below.							
Note: Ensure your <b>Source of Capital Expenditure Data</b> is consistent with your response in section 1a. In other words, if you have declared this to be a Business Unit/Division-level response, this section should contain Business Unit/Division-level data.							
Source of Capital Expenditure Data:							
Capital Expenditure Reporting Schedule:							
Capital Expenditure Category				Record in \$ Thousands, e.g. \$12,000.00 = survey input of \$12			
				2010	2011	2012	2013*
A	<b>a Total Capital Expenditures</b>						
	b	Machinery, Equipment, and Vehicles [as a % of a]					
	c	IT, Computers, Software [as a % of a]					
	d	Land, Buildings, and Leasehold Improvements [as a % of a]					
	e	Other	(specify)				
	f	Other	(specify)				
	<b>Lines b through f must total 100%</b>				<b>0%</b>	<b>0%</b>	<b>0%</b>
B	g			Percent of Total Capital Expenditures [line a] supporting <b>critical materials-related</b> business lines			
From 2010-2013, have your organization's capital expenditures been adversely impacted by reductions in U.S. Government defense spending, or do you anticipate them to be in the future? Explain your response below.							
Identify any unique or critical equipment, infrastructure, and/or facilities owned and/or operated by your organization for <b>critical materials-related</b> applications. Provide a brief description of each.							
C	Type of Equipment, Infrastructure, or Facility			Description			
	1						
	2						
	3						
	4						
	5						
* Furnish full year <b>estimates</b> for 2013.							
Comments:							
<b>BUSINESS CONFIDENTIAL - Per Section 705(d) of the Defense Production Act</b>							

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<b>Section 12: Certification</b>	
<p>The undersigned certifies that the information herein supplied in response to this questionnaire is complete and correct to the best of his/her knowledge. It is a criminal offense to willfully make a false statement or representation to any department or agency of the United States Government as to any matter within its jurisdiction (18 U.S.C.A. 1001 (1984 &amp; SUPP. 1197)).</p>	
Organization Name:	
Organization's Internet Address:	
Name of Authorizing Official:	
Title of Authorizing Official:	
E-mail Address:	
Phone Number and Extension:	
Date Certified:	
<p>In the box below, provide any additional comments or any other information you wish to include regarding this survey assessment</p>	
How many hours did it take to complete this survey?	
Would you like to be mailed a copy of this report?	
<b>BUSINESS CONFIDENTIAL - Per Section 705(d) of the Defense Production Act</b>	