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 ESTAB_STATE
City: ______________________ State ____________

ESTAB_ZIP
ZIP: ______________

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
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.

\[
\begin{align*}
\text{THOUSANDS} & \quad 1 \\
\text{MILLIONS} & \quad 2 \\
\text{BILLIONS} & \quad 3 \\
\text{NONE} & \quad 4 \\
\text{REFUSED} & \quad 7 \\
\text{DON'T KNOW} & \quad 8
\end{align*}
\]

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?

\[
\begin{align*}
\text{YES} & \quad 1 \\
\text{NO} & \quad 2 \\
\text{REFUSED} & \quad 7 \\
\text{DON'T KNOW} & \quad 8
\end{align*}
\]

CONTINUE_RD_ANGEL
Q9. Private investors or "angels"?

\[
\begin{align*}
\text{YES} & \quad 1 \\
\text{NO} & \quad 2 \\
\text{REFUSED} & \quad 7 \\
\text{DON'T KNOW} & \quad 8
\end{align*}
\]

CONTINUE_RD_US
Q10. Another U.S. company?

\[
\begin{align*}
\text{YES} & \quad 1 \\
\text{NO} & \quad 2 \\
\text{REFUSED} & \quad 7 \\
\text{DON'T KNOW} & \quad 8
\end{align*}
\]

CONTINUE_RD_FOREIGN
Q11. A foreign (non-US) company?

\[
\begin{align*}
\text{YES} & \quad 1 \\
\text{NO} & \quad 2 \\
\text{REFUSED} & \quad 7 \\
\text{DON'T KNOW} & \quad 8
\end{align*}
\]
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
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?

<table>
<thead>
<tr>
<th>Answer</th>
<th>Code</th>
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<tbody>
<tr>
<td>YES</td>
<td>1</td>
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<tr>
<td>NO</td>
<td>2</td>
</tr>
<tr>
<td>REFUSED</td>
<td>7</td>
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<tr>
<td>DON'T KNOW</td>
<td>8</td>
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</tbody>
</table>

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.

<table>
<thead>
<tr>
<th>Revenue in Thousands</th>
<th>Code</th>
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</thead>
<tbody>
<tr>
<td>YES</td>
<td>1</td>
</tr>
<tr>
<td>MILLIONS</td>
<td>2</td>
</tr>
<tr>
<td>REFUSED</td>
<td>7</td>
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<tr>
<td>DON'T KNOW</td>
<td>8</td>
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</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Answer</th>
<th>Code</th>
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<tbody>
<tr>
<td>YES</td>
<td>1</td>
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<tr>
<td>NO</td>
<td>2</td>
</tr>
<tr>
<td>REFUSED</td>
<td>7</td>
</tr>
<tr>
<td>DON'T KNOW</td>
<td>8</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Revenue in Thousands</th>
<th>Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>YES</td>
<td>1</td>
</tr>
<tr>
<td>MILLIONS</td>
<td>2</td>
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<tr>
<td>REFUSED</td>
<td>7</td>
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<tr>
<td>DON'T KNOW</td>
<td>8</td>
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</tbody>
</table>
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 (Section 4)
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…)

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<td>VERY IMPORTANT</td>
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<tr>
<td>SOMEWHAT IMPORTANT</td>
<td>3</td>
</tr>
<tr>
<td>NOT TOO IMPORTANT</td>
<td>4</td>
</tr>
<tr>
<td>THIS REASON IS NOT APPLICABLE TO THE COMPANY</td>
<td>5</td>
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<tr>
<td>REFUSED</td>
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<td>DON’T KNOW</td>
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**COLLAB_BUS**
e. To access commercialization capabilities of other firms. (Would you say this was…)

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<tr>
<td>NOT TOO IMPORTANT</td>
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<tr>
<td>THIS REASON IS NOT APPLICABLE TO THE COMPANY</td>
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<td>REFUSED</td>
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<td>DON’T KNOW</td>
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**COLLAB_OTH**
f. Some other reason not yet mentioned. (Would you say this was…)

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<td>4</td>
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<tr>
<td>NO OTHER REASON</td>
<td>5</td>
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<td>REFUSED</td>
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</tr>
<tr>
<td>DON’T KNOW</td>
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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
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

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)

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.

A1. NAME OF STRATEGIC PARTNER: ________________________________

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

CITY: ________________________________
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.

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

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?

<table>
<thead>
<tr>
<th>Response</th>
<th>Code</th>
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<tbody>
<tr>
<td>YES</td>
<td>1</td>
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<tr>
<td>NO</td>
<td>2</td>
</tr>
<tr>
<td>REFUSED</td>
<td>7</td>
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<tr>
<td>DON'T KNOW</td>
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</table>

b. Manufacturing?

<table>
<thead>
<tr>
<th>Response</th>
<th>Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>YES</td>
<td>1</td>
</tr>
<tr>
<td>NO</td>
<td>2</td>
</tr>
<tr>
<td>REFUSED</td>
<td>7</td>
</tr>
<tr>
<td>DON'T KNOW</td>
<td>8</td>
</tr>
</tbody>
</table>

c. Marketing/Sales

<table>
<thead>
<tr>
<th>Response</th>
<th>Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>YES</td>
<td>1</td>
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<tr>
<td>NO</td>
<td>2</td>
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<tr>
<td>REFUSED</td>
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<tr>
<td>DON'T KNOW</td>
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</tbody>
</table>

d. Distribution

<table>
<thead>
<tr>
<th>Response</th>
<th>Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>YES</td>
<td>1</td>
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<tr>
<td>NO</td>
<td>2</td>
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<td>REFUSED</td>
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<td>DON'T KNOW</td>
<td>8</td>
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</table>

e. Any other role?

<table>
<thead>
<tr>
<th>Response</th>
<th>Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>YES (SPECIFY)</td>
<td>1</td>
</tr>
<tr>
<td>NO</td>
<td>2</td>
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<tr>
<td>REFUSED</td>
<td>7</td>
</tr>
<tr>
<td>DON'T KNOW</td>
<td>8</td>
</tr>
</tbody>
</table>

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?

<table>
<thead>
<tr>
<th>YES</th>
<th>1</th>
</tr>
</thead>
<tbody>
<tr>
<td>NO</td>
<td>2</td>
</tr>
<tr>
<td>REFUSED</td>
<td>7</td>
</tr>
<tr>
<td>DON'T KNOW</td>
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b. Manufacturing?

<table>
<thead>
<tr>
<th>YES</th>
<th>1</th>
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<tbody>
<tr>
<td>NO</td>
<td>2</td>
</tr>
<tr>
<td>REFUSED</td>
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</tr>
<tr>
<td>DON'T KNOW</td>
<td>8</td>
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</table>

c. Marketing/Sales

<table>
<thead>
<tr>
<th>YES</th>
<th>1</th>
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<tbody>
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<tr>
<td>REFUSED</td>
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<tr>
<td>DON'T KNOW</td>
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</tbody>
</table>

d. Distribution

<table>
<thead>
<tr>
<th>YES</th>
<th>1</th>
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</thead>
<tbody>
<tr>
<td>NO</td>
<td>2</td>
</tr>
<tr>
<td>REFUSED</td>
<td>7</td>
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<tr>
<td>DON'T KNOW</td>
<td>8</td>
</tr>
</tbody>
</table>

e. Any other role?

<table>
<thead>
<tr>
<th>YES (SPECIFY)</th>
<th>1</th>
</tr>
</thead>
<tbody>
<tr>
<td>NO</td>
<td>2</td>
</tr>
<tr>
<td>REFUSED</td>
<td>7</td>
</tr>
<tr>
<td>DON'T KNOW</td>
<td>8</td>
</tr>
</tbody>
</table>

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.

<table>
<thead>
<tr>
<th>YES</th>
<th>1</th>
</tr>
</thead>
<tbody>
<tr>
<td>NO</td>
<td>2</td>
</tr>
<tr>
<td>NOT APPLICABLE</td>
<td>3</td>
</tr>
<tr>
<td>REFUSED</td>
<td>7</td>
</tr>
<tr>
<td>DON'T KNOW</td>
<td>8</td>
</tr>
</tbody>
</table>

**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?

A1. NAME OF KEY CUSTOMER: ________________________________

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

KEYCUST#_CITY
CITY: ________________________________

KEYCUST#_STATE    KEYCUST#_COUNTRY
STATE: ________________ COUNTRY: ________________

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.

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

________________________________________________________________________

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

CITY: ________________________________________________________________

COUNTRY: __________________________________________________________

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.

AWD#_TTL
1a. TITLE:  .................................................................................................................

AWD#_YR
1b. YEAR OF AWARD:  ____________________________

AWD#_ORG
1c. AWARDING ORGANIZATION:  __________________________________________

AWD#_TYPE
1d. 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
SIG_EVENT_RESTRUC
d. (Has there been) a company re-structuring?

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

SIG_EVENT_MERGER
e. (Has there been ) a company merger or acquisition activity?

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

SIG_EVENT_DOWN
f. (Has there been) business difficulty and/or downsizing?

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

SIG_EVENT_OTH
g. Has there been any other significant event?

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

COMP_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
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
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.

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)

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

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)

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…

<table>
<thead>
<tr>
<th>Choice</th>
<th>Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sole proprietorship</td>
<td>1</td>
</tr>
<tr>
<td>Partnership</td>
<td>2</td>
</tr>
<tr>
<td>Limited liability company (LLC)</td>
<td>3</td>
</tr>
<tr>
<td>Corporation</td>
<td>4</td>
</tr>
<tr>
<td>REFUSED</td>
<td>7</td>
</tr>
<tr>
<td>DON'T KNOW</td>
<td>8</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Choice</th>
<th>Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>YES</td>
<td>1</td>
</tr>
<tr>
<td>NO</td>
<td>2</td>
</tr>
<tr>
<td>REFUSED</td>
<td>7</td>
</tr>
<tr>
<td>DON'T KNOW</td>
<td>8</td>
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</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Choice</th>
<th>Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>YES</td>
<td>1</td>
</tr>
<tr>
<td>NO</td>
<td>2    (Q60)</td>
</tr>
<tr>
<td>REFUSED</td>
<td>7    (Q60)</td>
</tr>
<tr>
<td>DON'T KNOW</td>
<td>8    (Q60)</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Stock Ticker Symbol</th>
<th>Code</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>7    (Q61)</td>
</tr>
<tr>
<td></td>
<td>8    (Q61)</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Choice</th>
<th>Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>YES</td>
<td>1</td>
</tr>
<tr>
<td>NO</td>
<td>2    (Q61)</td>
</tr>
<tr>
<td>REFUSED</td>
<td>7    (Q61)</td>
</tr>
<tr>
<td>DON'T KNOW</td>
<td>8    (Q61)</td>
</tr>
</tbody>
</table>
Q60a. What is the name of your parent company?

REFUSED ................................................................................................... 7
DON’T KNOW ................................................................................................ 8

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)

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

-refused- ................................................................................................... 7 (Q61)
DON’T KNOW ............................................................................................. 8 (Q61)

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

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](http://www.something.com) and your user name and password are SOMETHING.