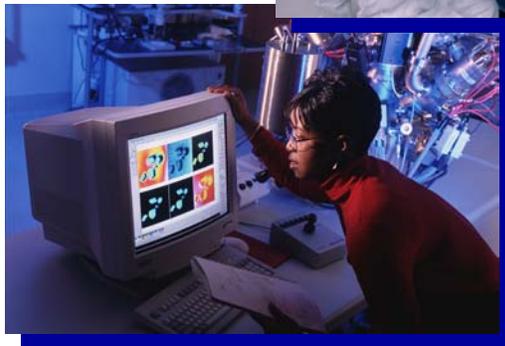
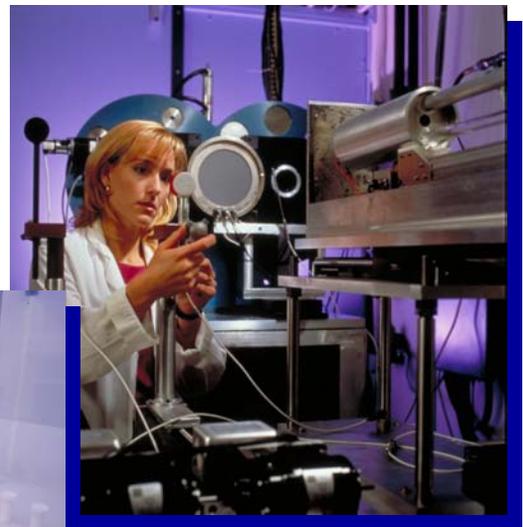




Survey of ATP Applicants

Year 2000



Help shape the future of ATP

Advanced Technology Program
Economic Assessment Office

National Institute of Standards and Technology



Dear ATP Applicant,

Please help us assess the effectiveness of the Advanced Technology Program year 2000 award competition. Your cooperation will give us valuable insight into our award process. By filling out this survey, you will give us a better view of our award application process and will help us understand the factors that led to your decision to apply to the program.

We consider all data you give us to be confidential. Westat, an independent research firm in Rockville, Maryland, is collecting the data for us; they are strictly required to protect the confidentiality of all the information collected.

Please support this survey by taking a few minutes to fill out the packet. If another person in your company would be a better respondent for this survey, please forward these materials to that person. Your input is important to us and will help shape the future of ATP.

This survey is authorized under the Paperwork Reduction Act. Public reportings for this collection of information is estimated to average 25 minutes per response, including the time of reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

If you have comments about this estimate or any other aspects of this collection of information, including suggestions for reducing the length of this questionnaire, send them to the National Institute of Standards and Technology, 100 Bureau Drive, Stop 3220, Gaithersburg, MD 20899-3220 and the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.

OMB NO: 0693-0033 Expires 02/28/2003

For each question in the survey, clearly mark the selection that best represents your view.

- 1.** Below are several reasons why a company might apply to ATP for funding. **Please tell us how important each reason was in your decision to apply to ATP:**

a. Internal company funding is not available.

Extremely important
 Very important
 Somewhat important
 Not too important

b. Internal company funding and commitment to the project depends on receiving external funding.

Extremely important
 Very important
 Somewhat important
 Not too important

c. ATP funding provides external validation of the technological potential of the project.

Extremely important
 Very important
 Somewhat important
 Not too important

d. ATP funding provides external validation of the commercial potential of the project.

Extremely important
 Very important
 Somewhat important
 Not too important

e. ATP funding facilitates collaboration among different organizations.

Extremely important
 Very important
 Somewhat important
 Not too important

f. ATP funding provides stability of funding for the project over time.

Extremely important
 Very important
 Somewhat important
 Not too important

2. We would like to know how the project you *proposed* to ATP compares with a *typical* R&D project at your company.
-

First, think about technical risk.

- a. From 0 to 100%, what would you say is the approximate probability that your proposed ATP project could fully achieve its technical goals? _____%

(Try to answer based on how you thought about your project when you proposed it to ATP.)

- b. What is the approximate probability that a typical R&D project at your company could fully achieve its technical goals? _____%
-

Now consider the expected impact of your proposed ATP project on your company.

- c. Approximately how many years after the start of the project could you expect results to first have an impact on company revenue? _____years

(Try to answer based on how you thought about your project when you proposed it to ATP.)

-
- d. Think of the most optimistic estimate for company revenue that could result from your proposed ATP project once the impact on revenue begins.

How much annual company revenue might result from this project...

Two years after the initial revenue impact?

(Check one.)

(Try to answer based on how you thought about your project when you proposed it to ATP.)

- Less than \$1 million
- \$1 million to less than \$3 million
- \$3 million to less than \$5 million
- \$5 million to less than \$10 million
- \$10 million to less than \$20 million
- \$20 million to less than \$30 million
- \$30 million to less than \$50 million
- \$50 million to less than \$75 million
- \$75 million to less than \$100 million
- \$100 million to less than \$200 million
- \$200 million to less than \$300 million
- \$300 million to less than \$500 million
- \$500 million to less than \$1 billion
- \$1 billion or more
- Don't know

Five years after the initial revenue impact?

(Check one.)

- Less than \$1 million
 - \$1 million to less than \$3 million
 - \$3 million to less than \$5 million
 - \$5 million to less than \$10 million
 - \$10 million to less than \$20 million
 - \$20 million to less than \$30 million
 - \$30 million to less than \$50 million
 - \$50 million to less than \$75 million
 - \$75 million to less than \$100 million
 - \$100 million to less than \$200 million
 - \$200 million to less than \$300 million
 - \$300 million to less than \$500 million
 - \$500 million to less than \$1 billion
 - \$1 billion or more
 - Don't know
-

Now think about the expected impact of the *typical R&D project* at your company.

- e. Approximately how many years after the start of the project could you expect results to first have an impact on company revenue? _____ years

-
- f. Think of the most optimistic estimate for company revenue that could result from the typical R&D project once the impact on revenue begins.

How much annual company revenue might result from the typical project...

Two years after the initial revenue impact?
(Check one.)

- Less than \$1 million
- \$1 million to less than \$3 million
- \$3 million to less than \$5 million
- \$5 million to less than \$10 million
- \$10 million to less than \$20 million
- \$20 million to less than \$30 million
- \$30 million to less than \$50 million
- \$50 million to less than \$75 million
- \$75 million to less than \$100 million
- \$100 million to less than \$200 million
- \$200 million to less than \$300 million
- \$300 million to less than \$500 million
- \$500 million to less than \$1 billion
- \$1 billion or more
- Don't know

Five years after the initial revenue impact?
(Check one.)

- Less than \$1 million
 - \$1 million to less than \$3 million
 - \$3 million to less than \$5 million
 - \$5 million to less than \$10 million
 - \$10 million to less than \$20 million
 - \$20 million to less than \$30 million
 - \$30 million to less than \$50 million
 - \$50 million to less than \$75 million
 - \$75 million to less than \$100 million
 - \$100 million to less than \$200 million
 - \$200 million to less than \$300 million
 - \$300 million to less than \$500 million
 - \$500 million to less than \$1 billion
 - \$1 billion or more
 - Don't know
-

Now we have some questions about other characteristics of your proposed ATP project.

3. Aside from revenue impact, would you expect your proposed ATP project to lead to cost savings at your company?

(Try to answer based on how you thought about your project when you proposed it to ATP.)

Yes... What do you think would be the annual cost savings 5 years after the project is completed?

\$_____ thousand
 million

No
 Don't know

4. a. To what degree was your proposed ATP project based on university research?

To a large degree
 To a moderate degree
 To some degree
 Not at all (*Go to #4c*).
 Don't know

b. Did your proposed ATP project depend on technology licensed from universities?

Yes
 No
 Don't know

c. For your proposed ATP project, how critical was university-based expertise and involvement?

Very critical
 Somewhat critical
 Not too critical
 Not at all critical
 Don't know

5. To what extent would you say your proposed ATP project represented a new R&D direction for...

a. Your company?

Large extent
 Moderate extent
 Small extent
 Not at all

b. Your industry or technology field?

Large extent
 Moderate extent
 Small extent
 Not at all

6. When developing your proposed ATP project, to what extent did you...

.....
a. Believe that knowledge and results from the project would be public in nature and would benefit others?

- Large extent
- Moderate extent
- Small extent
- Not at all

.....
b. Plan to actively disseminate knowledge from the project by publishing or presenting results?

- Large extent
 - Moderate extent
 - Small extent
 - Not at all
-

7. Here are a few ways that firms protect intellectual property and get value from their R&D. For each, please rate how important it might be for your proposed ATP project.

a. Keeping results from the project as trade secret.

- Extremely important
- Very important
- Somewhat important
- Not too important

.....
b. Getting a patent or copyright for results from the project.

- Extremely important
- Very important
- Somewhat important
- Not too important

.....
c. Using complementary knowledge or resources that only you have in order to create value.

- Extremely important
 - Very important
 - Somewhat important
 - Not too important
-

8. In developing your ATP proposal, to what degree did...

a. Individuals in your company form new ties or contacts with individuals at other organizations?

- Large extent
- Moderate extent
- Small extent
- Not at all

.....
b. Your company form new partnerships or relationships with other organizations?

- Large extent
- Moderate extent
- Small extent
- Not at all

.....
c. Your company extend or strengthen existing relationships with other organizations?

- Large extent
 - Moderate extent
 - Small extent
 - Not at all
-

Now we have some questions about your experience during the proposal preparation and review process.

9. How many total hours of staff time did your company use in preparing your ATP proposal?

- None. Our company did not prepare the ATP proposal. (Go to #13.)
 - Less than 40 hours
 - 40 to less than 80 hours
 - 80 to less than 160 hours
 - 160 to less than 240 hours
 - 240 to less than 320 hours
 - 320 to less than 400 hours
 - 400 to less than 480 hours
 - 480 hours or more
 - Don't know
-

10. What was the total cost to your company in preparing the ATP proposal?

- Less than \$5,000
 - \$5,000 to less than \$10,000
 - \$10,000 to less than \$15,000
 - \$15,000 to less than \$20,000
 - \$20,000 to less than \$30,000
 - \$30,000 to less than \$40,000
 - \$40,000 to less than \$50,000
 - \$50,000 to less than \$75,000
 - \$75,000 or more
 - Don't know
-

11. Regardless of whether you received funding for the project, how useful was it for your company to go through the process of preparing the ATP proposal?

- Very useful
 - Somewhat useful
 - Not too useful
 - Not at all useful
 - Don't know
-

12. Overall, how useful to your company was feedback you received from ATP during the review process (for example, in oral review or proposal debriefing)?

- Very useful
 - Somewhat useful
 - Not too useful
 - Not at all useful
 - Don't know
-

13. a. Regardless of the outcome of your proposal, to what extent do you believe the ATP review and decision process was a fair process?

- Large extent
- Moderate extent
- Small extent
- Not at all

b. If you have comments about the ATP review and decision process, please share them with us:

Now we turn to questions about the amount of funding devoted to the specific line of research represented by your proposed ATP project.

14. In the three years before submitting your ATP proposal, approximately how much funding — from internal and external sources — did your company devote to this line of research?

Your best estimate is fine.

We consider internal funding to be money from any part of your company and external funding to be money from outside of your company for specific R&D, either from government sources or other companies.

Funding from internal sources...

\$_____ thousand
 million

Funding from external sources...

\$_____ thousand
 million

Check here if your company did not devote any money to this line of research in the three years before submitting your ATP proposal.

Then go to #16.

15. In the three years before submitting your ATP proposal, did your company receive funding from any of the following sources for this line of research?

If so, please tell us how critical it was for your company's research effort in this area.

a. Federal government programs [other than ATP].

Received funding?

- Yes...
 - Very critical
 - Moderately critical
 - Somewhat critical
 - Not too critical
- No
- Don't know

b. State or local government programs

Received funding?

- Yes...
 - Very critical
 - Moderately critical
 - Somewhat critical
 - Not too critical
- No
- Don't know

c. Other companies

Received funding?

- Yes...
 - Very critical
 - Moderately critical
 - Somewhat critical
 - Not too critical
- No
- Don't know

d. Venture capital or other private investment

Received funding?

- Yes...
 - Very critical
 - Moderately critical
 - Somewhat critical
 - Not too critical
 - No
 - Don't know
-

16. a. Is your company currently carrying out any part of the R&D project that you proposed to ATP?

- Yes
 No (*Go to #17.*)

b. Which of the following best describes the scale of effort of the R&D project you are now undertaking?

- Larger than proposed to ATP
(*Go to #17.*)
 About the same as proposed
(*Go to #17.*)
 Smaller than proposed

c. How much of the project proposed to ATP would you say is now being carried out?

- Less than 20%
 20% to 39%
 40% to 59%
 60% to 79%
 80% or more
 Don't know
-

Now think again about the line of research represented by your proposed ATP project.

17. Since submitting your ATP proposal, approximately how much funding — from internal and external sources — has your company committed to this line of research?

Your best estimate is fine.

We consider internal funding to be money from any part of your company, and external funding to be money from outside of your company for specific R&D, either from government sources or other companies.

Funding from internal sources...

\$ _____ thousand
 million

Funding from external sources...

\$ _____ thousand
 million

- Check here if your company did not devote any money to this line of research since submitting your ATP proposal.**
Then go to #19.
-

18. Since submitting your ATP proposal, **has your company committed funds originating from any of the following sources to this line of research?**

a. Federal government programs [*other than ATP*]

- Yes
- No
- Don't know

b. State or local government programs

- Yes
- No
- Don't know

c. Other companies

- Yes
- No
- Don't know

d. Venture capital or other private investment

- Yes
 - No
 - Don't know
-

Finally, we have just a few more questions about your company.

19. Approximately how many employees did your company have at the end of the year 2000?

- None
- 1 to 4
- 5 to 9
- 10 to 24
- 25 to 49
- 50 to 74
- 75 to 99
- 100 to 149
- 150 to 199
- 200 to 249
- 250 to 299
- 300 to 399
- 400 to 499
- 500 to 749
- 750 to 999
- 1,000 to 1,499
- 1,500 to 1,999
- 2,000 or more
- Don't know

20. What were the approximate total company revenues for the year 2000, including money from sales, licensing, consulting, etc.?

Your best estimate is fine.

- \$ _____
- thousand
 - million
 - billion
 - None. Our company had no revenue in 2000.
-

If your company has more than one site, please answer the remaining questions with respect to your own business location. Otherwise, answer with respect to your company.

21. At the end of the year 2000, how many employees worked in R&D at your company/business location?

- None
- 1 to 4
- 5 to 9
- 10 to 24
- 25 to 49
- 50 to 74
- 75 to 99
- 100 to 149
- 150 to 199
- 200 to 249
- 250 to 299
- 300 to 399
- 400 to 499
- 500 to 749
- 750 to 999
- 1,000 to 1,499
- 1,500 to 1,999
- 2,000 or more
- Don't know

22. a. What was the approximate budget, from all funding sources, for R&D at your company/business location in the year 2000?

\$ _____ thousand
 million

b. What percentage of the year 2000 R&D budget at your company/business location would you say was devoted to product development, as opposed to research (either basic or applied)?

_____ % Product Development

c. What percentage of the year 2000 R&D budget at your company/business location would you say came from external funding sources?

_____ % External

Thank you very much for participating in this study. Please return your completed survey to us in the envelope provided. If the envelope has been misplaced, mail your survey to:

Jeffrey Kerwin
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1650 Research Boulevard
Rockville, MD 20850