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## Introduction

Dear ATP Joint Venture Member,

We are conducting this survey to help assess various aspects of joint venture projects funded by the Advanced Technology Program. Your responses will provide valuable information about the experiences of joint venture partners and give us insight into the functioning of these research alliances. We urge you to complete this survey so that we might better understand the factors that contribute to outcomes of joint ventures.

Our records show that your company has been a participant in the following ATP Joint Venture project:

Project Title: **Test Project Title 50**  
Project Performance Period: **3/4/2001 - 1/1/2005**

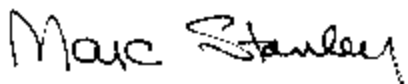
The following companies and organizations were involved in the project (or subsequently acquired the interest in the project):

- Project Partners:
1. **CompanyName1**
  2. **CompanyName2**
  3. **CompanyName3**
  4. **CompanyName4**
  5. **Int Wes**
  6. **Non Profit Ver 2**
  7. **NonProfit1**
  8. **NonProfit2**
  9. **Test**
  10. **Westat Non Version 2**
  11. **Westat Version 2**

The questions on this survey refer to this particular joint venture. Be assured that all data you provide is confidential, and will be used for study purposes only.

Thank you for supporting our efforts by taking the time to complete the survey. Your feedback is very important to us and will help shape the future of the Advanced Technology Program.

Sincerely,



Marc Stanley  
Acting Director, Advanced Technology Program

*[OMB NO.: 0693-0040 Expires 03/31/2006 - This survey is authorized under the Paperwork Reduction Act. Your response is voluntary and all data collected will be considered confidential. Public reportings for this collection of information are estimated to average 30 minutes per response, including the time reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this estimate or any other aspects of this collection of information, including suggestions for reducing the length of this questionnaire, to the National Institute of Standards and Technology, 100 Bureau Drive, Stop 3220, Gaithersburg, MD, 20899-3220 and the Office of Management and Budget Information and Regulatory Affairs, Office of Management and Budget, Washington, DC 20503.]*

## Overview

This page provides information about:

- [What kinds of questions you'll be asked](#)
- [How to navigate through the survey](#)
- [When are your answers saved](#)
- [How to clear your answers](#)
- [The three ways to leave the survey: Exit, Timeout, and Submit](#)
- [How to print the survey and/or your responses](#)
- [Where you can get help if you have additional questions](#)

### What kinds of questions will you be asked?

There are five sections to the survey:

- I. JV Formation
- II. JV Structure and Governance
- III. JV Personnel
- IV. Outcomes of the Joint Venture
- V. Organization Characteristics

### How to navigate through the survey?

Each page of the survey has two buttons that allow you move forward and backward through the pages of the survey. They are the "Previous Page" and "Next Page" buttons. On most pages, these buttons appear at both the top and the bottom of the page. You can change your responses as often as you like, and you can re-visit sections of the survey as often as you like.

### When are your answers saved?

Your answers are saved each time you move to a new page, go back to an earlier page, or exit the survey by clicking on "Save & Exit". If you click on the X in your browser window to exit the survey, your responses on the current page will not be saved. If you need to leave the survey before you have completed it, always click on the "Save & Exit" button that appears on each page of the survey.

### How to clear your answers?

Each question has a question number printed in blue to accompany it. You can click on the question number to clear your answer.

**The three ways to leave the survey: Exit, Timeout, and Submit****Exit**

You do not have to complete the survey in one sitting. If you wish to exit the survey to return at a later time, all you have to do is click on the "Save & Exit" button and all your responses will be saved. Your survey, however, will not be considered complete until you click on "Submit Survey" (see Submit section below).

**Timeout**

After 25 minutes of inactivity (that is, you haven't interacted with the survey in 25 minutes), you will be given a "timeout" warning. After you get this warning, you'll have 5 minutes to resume activity or you will be timed out. If you are timed out, new or changed responses to the questions on your current page will not be saved.

**Submit**

After you have navigated through the end of the survey, you will be taken to a Finish page. If you have left any questions blank, you will be notified of this and you will be given the opportunity to go back and fill in missing answers. If you are satisfied that you are done with the survey, you will be instructed to click on the "Submit Survey" button, and this will complete your participation. Once you have clicked on this button, your survey is considered complete and you will not be able to access the survey online again.

**How to print the survey and/or your responses?**

To print the entire survey, including any answers you might have already entered, click on the "Print Survey" button which appears at the bottom of most pages of the survey.

**Where you can get help if you have additional questions?**

If you have any questions, please call the study manager Dr. Jennifer O'Brien toll-free at 1-888-240-6667 or email her at [JVSurvey@westat.com](mailto:JVSurvey@westat.com).

## I. JV Formation

Q1. To what extent was your organization actively involved in developing the original JV project proposal? To a...

- (Q1. = 4) Large extent
- (Q1. = 3) Moderate extent
- (Q1. = 2) Small extent
- (Q1. = 1) Not at all

Q2. What was your organization's role in the JV project? (Check all that apply.)

- (Q2Man = 1) Perform project management and administration
- (Q2Rd = 2) Perform R&D
- (Q2Othr = 3) Other, please describe:

 (q2os)





















Q3. Prior to this JV project, how much experience with R&D collaborations with companies did your team members have? Would you say.....

- (Q3. = 4) A great deal of experience
- (Q3. = 3) Moderate amount of experience
- (Q3. = 2) Very little experience
- (Q3. = 1) No experience at all

## II. JV Structure and Governance

- Q4. Which of the following best characterizes the structure of your JV? (Choose one.)
- (Q4. = 1) One project leader; other partners have supporting roles
  - (Q4. = 2) Some partners are principal participants; other partners have supporting roles
  - (Q4. = 3) All partners have equally important roles; there are no supporting roles
- Q5. In terms of the *formal* agreement among JV partners, to what extent did some JV partners have more power than other partners in areas such as decision-making and rights over JV output? To a...
- (Q5. = 4) Large extent
  - (Q5. = 3) Moderate extent
  - (Q5. = 2) Small extent
  - (Q5. = 1) Not at all
- Q6. In terms of the *informal* relations among JV partners, to what extent did some JV partners have more power than other partners? To a...
- (Q6. = 4) Large extent
  - (Q6. = 3) Moderate extent
  - (Q6. = 2) Small extent
  - (Q6. = 1) Not at all

Q7. Consider the formal JV agreement and other governance procedures developed by your ATP joint venture.

<b>How satisfied were you with the JV agreement and governance procedures with regard to:</b>	Very dissatisfied	Dissatisfied	Neutral	Satisfied	Very satisfied
<b>Q7a.</b> Protection of intellectual property or proprietary information contributed by JV partners	 (Q7a. = 1)	 (Q7a. = 2)	 (Q7a. = 3)	 (Q7a. = 4)	 (Q7a. = 5)
<b>Q7b.</b> Ownership of new intellectual property developed by the JV	 (Q7b. = 1)	 (Q7b. = 2)	 (Q7b. = 3)	 (Q7b. = 4)	 (Q7b. = 5)
<b>Q7c.</b> Resolution of disputes or disagreements among JV partners	 (Q7c. = 1)	 (Q7c. = 2)	 (Q7c. = 3)	 (Q7c. = 4)	 (Q7c. = 5)
<b>Q7d.</b> Verification of work task performance among JV partners	 (Q7d. = 1)	 (Q7d. = 2)	 (Q7d. = 3)	 (Q7d. = 4)	 (Q7d. = 5)

### III. JV Personnel

Q8. Over the course of the project, *on average* how many full-time equivalent technical staff per year *from your organization* worked on the project?

(Q8.) Number of full-time staff per year

Q9. Over the course of the project, *on average* how many project review meetings were held per year where all partners in the JV were represented?

(Q9.) Number of project review meetings per year

Q10. During the project, *on average* about how many days per year did staff from your organization meet with staff from other JV partners to carry out joint work on project tasks?

(Q10.) Number of days per year

Q11. *On average*, about how many people from your organization were involved in these meetings to carry out joint work?

(Q11.) Number of people

Q12. Over the course of the project, *on average*, how frequently did individuals from your organization communicate by telephone, email, or video-conference with staff from your JV partners?

(Q12. = 5) Several times a week

(Q12. = 4) Weekly

(Q12. = 3) Biweekly

(Q12. = 2) Monthly

(Q12. = 1) Quarterly

Q13. Throughout the joint venture project, did any key personnel at your organization stop working on this project due to either internal transfer or leaving your organization?

(Q13. = 1) Yes

(Q13. = 2) No

Q14. Throughout the joint venture project, did any key personnel at your *JV partners* stop working on this project due to either internal transfer or leaving their organization?

(Q14. = 1) Yes

(Q14. = 2) No



## IV. Outcomes of the Joint Venture

**We would like to ask some questions about the exchange of technical knowledge among the JV partners.**

**Some knowledge can be written down and easily transferred, while other knowledge is hard to define and not easily communicated. This other kind of knowledge is thought of as "know how" that must be acquired through experience and interaction.**

**Q15.** To what extent was exchange of technical "know-how" among JV partners critical to achieving research success in your JV?

- (Q15. = 4) Large extent
- (Q15. = 3) Moderate extent
- (Q15. = 2) Small extent
- (Q15. = 1) Not at all → **Please continue with Q17**

**Q16.** How successful were you in exchanging technical "know-how" with your JV partners to meet the objectives of the project?

- (Q16. = 5) Very successful
- (Q16. = 4) Successful
- (Q16. = 3) Neither successful nor unsuccessful
- (Q16. = 2) Unsuccessful
- (Q16. = 1) Very unsuccessful

**Q17.** To what extent was work on the JV project highly interdependent (i.e., demand a high degree of coordination among the JV partners)? To a...

- (Q17. = 4) Large extent
- (Q17. = 3) Moderate extent
- (Q17. = 2) Small extent
- (Q17. = 1) Not at all → **Please continue with Q19**

**Q18.** How successful were you in achieving coordination with your JV partners to meet the objectives of the project?

- (Q18. = 5) Very successful
- (Q18. = 4) Successful
- (Q18. = 3) Neither successful nor unsuccessful
- (Q18. = 2) Unsuccessful
- (Q18. = 1) Very unsuccessful



**Now we would like to know about intellectual property developed from the JV project.**

**Think of all patents resulting from the JV, including patents from either your organization or any other partner of the JV.**

**Q19.** At your organization, how many patent applications and granted patents resulted from the JV project?

Please provide your best estimate if you don't know the exact number. Enter 0 in both boxes if your organization had no patent applications from the JV project.

Number of patent applications:  (Q19a.)

Number of granted patents:  (Q19b.)

**Now consider the JV as a whole. Think of all patents resulting from the JV, including patents from your organization or any other partner in the JV.**

**Q20.** Please describe patents resulting from the JV project that are recognized as extremely valuable in your industry or technology field.

Patent Assignee (Name of Organization)	Title of Patent (or Keywords)	Names of Inventors (Last Name, First Initial)
<a href="#">Click here to add a new patent entry.</a>		

If there are no patents recognized as extremely valuable in your industry or field, please indicate "None" by checking the following box:

(Q20. = 0) None

**Consider the technical goals for the JV project overall.**

**Q21.** At the end of the project, would you say the JV had achieved:

- (Q21. = 1) Few, if any, of its technical goals
- (Q21. = 2) Some of its technical goals
- (Q21. = 3) Most of its technical goals
- (Q21. = 4) All of its technical goals
- (Q21. = 5) Beyond its technical goals

**Q22.** Overall, in terms of delivering value to your organization, would you consider this JV project to be:

- (Q22. = 5) Very successful
- (Q22. = 4) Successful
- (Q22. = 3) Neither successful nor unsuccessful
- (Q22. = 2) Unsuccessful
- (Q22. = 1) Very unsuccessful

**Q23.** How important were the following aspects of ATP support for the JV project?

	Not important	Somewhat important	Very important	Extremely important
<b>Q23a.</b> ATP funding ensured stability of funding and commitment from JV partners	<input type="checkbox"/> (Q23a. = 1)	<input type="checkbox"/> (Q23a. = 2)	<input type="checkbox"/> (Q23a. = 3)	<input type="checkbox"/> (Q23a. = 4)
<b>Q23b.</b> ATP involvement helped foster trust and cooperation among JV partners	<input type="checkbox"/> (Q23b. = 1)	<input type="checkbox"/> (Q23b. = 2)	<input type="checkbox"/> (Q23b. = 3)	<input type="checkbox"/> (Q23b. = 4)

## V. Organization Characteristics

### We have just a few questions about your organization.

Q24. How many employees work in R&D at your organization today?

(Q24.) Number of R&D employees

Q25. What is the annual budget, from all funding sources, for R&D at your specific location in the current year?

\$  (Q25.)  (Q25.Radio = 1) Thousand  
 (Q25.Radio = 2) Million  
 (Q25.Radio = 3) Billion  
 (Q25.Radio = -7) No funds allocated to R&D in the current year

### Finally, please answer a few questions about yourself:

Q26. To what extent were you personally involved in this JV project?

- (Q26. = 4) Large extent  
 (Q26. = 3) Moderate extent  
 (Q26. = 2) Small extent  
 (Q26. = 1) Not at all

Q27. How many other people did you consult to obtain the information we have asked for in this survey?

(Q27.) Number of people

Q28. Did you consult any records to answer any of the questions on this survey?

- (Q28. = 1) Yes  
 (Q28. = 2) No