Dear Respondent:

Thank you for your interest in our study. The purpose of the project is to understand key sources of innovation and competitive advantage for American companies. It is supported by The Kauffman Foundation and the National Science Foundation. Two of the principal investigators, Professors Wesley Cohen and Ashish Arora, are from Duke University, and the third principal investigator, Professor John Walsh, is from Georgia Tech. Professors Cohen and Arora are also Research Associates of the National Bureau of Economic Research located in Cambridge, Massachusetts. The National Opinion Research Center (NORC) at the University of Chicago is implementing the data collection for this project.

We want to ask you a few simple questions about your business. We will keep your responses completely confidential. Your response will help us understand the drivers of innovation and competitive advantage in the American economy. The results of our analysis will be published in scientific journals and available on the project web page: (http://www.prism.gatech.edu/~jwalsh6/innovation.html).

If you participate in this study, we will provide you with a customized report benchmarking you against other firms in your industry, as well as firms in other industries. Most of all, by participating, you will help advance our understanding of innovation, which is a key driver of American economic growth and prosperity.

For each question, circle or check the response that represents the best answer for your firm. If you do not know the exact figures, your best estimates are fine. If there is a question you do not know the answer to, select Don’t Know. When you have completed the questionnaire, please fax it back to NORC at 312-XXX-XXXX, attention XX XX, or email to <acs@norc.org>. 
1. What is your company’s name?

[Blank]

1a. What is your company’s main line of business (or if your company is in more than one line of business, what is the main business that your job is associated with)?

[Blank]

Please keep this industry in mind when answering the following questions.

2. In 2009, have you earned revenue from any new or significantly improved products or services in this industry introduced since 2007, where “New” means new to your firm. Also, please exclude simple resale of goods purchased from others or purely aesthetic changes.

1 □ Yes ➔ CONTINUE BELOW
2 □ No ➔ GO TO LICENSING SECTION (PAGE 4, RIGHT SIDE)
3 □ Don’t Know ➔ GO TO LICENSING SECTION (PAGE 4, RIGHT SIDE)

PRODUCT INNOVATION

3. In 2009, what percent of your revenues in this industry were from new or significantly improved products or services introduced since 2007?

1 □ 0%
2 □ 1-5%
3 □ 6-10%
4 □ 11-25%
5 □ 26-50%
6 □ More than 50%
7 □ Don’t Know

Of all the new or significantly improved products or services you brought to market in this industry during the three years 2007-2009, think of the one that accounts for the most revenue. Please keep this innovation in mind when answering the next set of questions.

4. Did your company patent any part of this innovation (include the filing of any patent applications as well as granted patents)?

1 □ Yes
2 □ No
3 □ Don’t Know

5. Did you introduce this innovation in your industry before any other company?

1 □ Yes
2 □ No
3 □ Don’t Know

6. In what year was this innovation introduced to the market?

1 □ Before 2007
2 □ 2007
3 □ 2008
4 □ 2009
5 □ Don’t Know

7. To commercialize this innovation, did you:

7a. Develop new sales and distribution channels?

1 □ Yes
2 □ No
3 □ Don’t Know

7b. Buy new types of equipment, or hire employees with skills different from those of existing employees?

1 □ Yes
2 □ No
3 □ Don’t Know
8. Did you license this innovation or any related technology to others?
   1 ☐ Yes
   2 ☐ No
   3 ☐ Don’t Know

9. Approximately how many other companies in your industry have or will likely introduce innovations that compete with this innovation?
   1 ☐ None
   2 ☐ 1-3
   3 ☐ More than 3
   4 ☐ Don’t know

10. Did any of the following originate this innovation? In other words, did any of the following create the overall design, develop the prototype or conceptualize the technology? (check all that apply)

<table>
<thead>
<tr>
<th>Source</th>
<th>Yes</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. A Supplier</td>
<td>☐</td>
</tr>
<tr>
<td>b. A Customer</td>
<td>☐</td>
</tr>
<tr>
<td>c. Another firm in your industry</td>
<td>☐</td>
</tr>
<tr>
<td>d. A consultant, commercial lab, or</td>
<td>☐</td>
</tr>
<tr>
<td>engineering service provider</td>
<td></td>
</tr>
<tr>
<td>e. An independent inventor</td>
<td>☐</td>
</tr>
<tr>
<td>f. Universities or government labs</td>
<td>☐</td>
</tr>
<tr>
<td>g. The public domain, such as, publications</td>
<td>☐</td>
</tr>
<tr>
<td>or public meetings</td>
<td></td>
</tr>
<tr>
<td>h. A collaboration between your firm and</td>
<td>☐</td>
</tr>
<tr>
<td>others</td>
<td></td>
</tr>
<tr>
<td>i. Other (specify)</td>
<td>☐</td>
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<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

IF YES TO ANY OF Q10 ➔ GO TO NEXT QUESTION
IF NO TO ALL ➔ SKIP TO QUESTION 15 (PAGE 4, LEFT SIDE)

11. Were any of these sources a startup company?
   1 ☐ Yes
   2 ☐ No
   3 ☐ Don’t Know

12. Did any of these sources have a patent on any part of this innovation?
   1 ☐ Yes
   2 ☐ No
   3 ☐ Don’t Know

13. How did you acquire this innovation? (check all that apply)

<table>
<thead>
<tr>
<th>Source</th>
<th>Yes</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Merger, acquisition or equity purchase</td>
<td>☐</td>
</tr>
<tr>
<td>b. Joint Venture or Cooperative R&amp;D</td>
<td>☐</td>
</tr>
<tr>
<td>c. License</td>
<td>☐</td>
</tr>
<tr>
<td>d. Service contract or consulting</td>
<td>☐</td>
</tr>
<tr>
<td>e. Informal means, such as reverse</td>
<td>☐</td>
</tr>
<tr>
<td>engineering, hiring or informal interaction</td>
<td></td>
</tr>
<tr>
<td>f. Other (specify)</td>
<td>☐</td>
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<tr>
<td></td>
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</tr>
</tbody>
</table>

14. Could you have acquired a similar innovation from elsewhere?
   1 ☐ Yes
   2 ☐ No
   3 ☐ Don’t Know

.SKIP TO QUESTION 16 (SALES FROM THIS INNOVATION, PAGE 4, LEFT SIDE)
15. Was it mainly your company that originated this innovation?
   1. Yes
   2. No
   3. Don’t Know

15a. **IF YES**, Did this innovation largely originate from an R&D project in your company?
   1. Yes
   2. No
   3. Don’t Know

16. In 2009, roughly what percent of your total sales in this industry were from this innovation?
   1. 1-5%
   2. 6-10%
   3. 11-25%
   4. 26-50%
   5. More than 50%
   6. Don’t Know

19. In the last 3 years, have you licensed any technology or product to another party, or have you developed any technology or innovation for another party?
   1. Yes ➔ GO TO NEXT QUESTION
   2. No ➔ SKIP TO BACKGROUND SECTION (PAGE 5, LOWER LEFT)
   3. Don’t Know ➔ SKIP TO BACKGROUND SECTION (PAGE 5, LOWER LEFT)

   Of the innovations you licensed or developed for another party in the period 2007 to 2009, please think of the one that generated the most revenue. Please keep this innovation in mind when answering the next set of questions.

20. Which one of the following would best describe this innovation?
   1. A product or service
   2. A process (or method for delivering a service)
   3. Technology, know-how, information or software

21. Did your company patent any part of this innovation?
   1. Yes
   2. No
   3. Don’t Know

22. Please indicate the number of buyers or licensees for this innovation to date:
   1. 1
   2. 2-5
   3. 6-10
   4. More than 10
   5. Don’t Know
23. Did you develop this innovation for a specific customer? In other words, did the customer contract for this innovation when the innovation was still being developed?

1  Yes
2  No
3  Don’t Know

24. How was the innovation transferred? (check all that apply)

- License (excluding packaged software)  
- Service contract or consulting  
- Merger, acquisition or equity purchase
- Joint or cooperative venture  
- Other (specify) ________________________________

25. Approximately how many years ago did your company enter this industry?

1  Less than 5 years ago
2  5 or more years ago
3  Don’t know

26. In the last 3 years, have you introduced any new or significantly improved processes for making a product or delivering a service in this industry?

1  Yes
2  No
3  Don’t Know

27. Roughly how many employees does your company have in this industry, including employees at other locations worldwide?

1  Less than 25
2  25 to 100
3  101 to 500
4  501 to 1000
5  1,001 to 10,000
6  More than 10,000
7  Don’t know

28. From 2008 to 2009, what was the approximate percent change in your company’s market share in this industry?

1  Remained about the same
2  Declined
3  Increased
4  Don’t know

29. Does your company conduct R&D?

1  Yes
2  No
3  Don’t Know

30. In 2009, roughly what share of your company’s revenues in this industry came from out-licensing of technology or developing technologies or innovations for another party?

1  None
2  1-10%
3  11-25%
4  26-50%
5  More than 50%
6  Don’t know
RESPONDENT INFORMATION

31. How long you have been employed by this company?
   
   
   
   
32. What is your current title or position?
   
   
   
   

33. If you would like a custom report benchmarking your business against others in your industry, please give us the e-mail address we should send it to:

   
   
   

THANK YOU FOR YOUR COOPERATION.

PLEASE FAX THIS QUESTIONNAIRE TO 312-XXX-XXXX, attention XX XX or email to <ACS@NORC.ORG>.

Feel free to use the space below for any additional comments on innovation or competitive advantage in your firm or your industry.