

# Appendix B Methods of OTA Surveys

# B

**T**his background paper describes data from two surveys conducted by OTA, or by OTA and its contractors. This appendix details the methods used for each survey and also reproduces the survey instruments.

## **SURVEY OF UNIVERSITY TECHNOLOGY TRANSFER OFFICIALS**

Beginning in summer 1993, OTA surveyed university and non-profit research institutions about their experiences with technology transfer concerning results from federally funded life sciences research. OTA requested information from technology transfer officials at each institution, under the assumption that technology transfer officials would be a key source for understanding technology transfer and the implementation of federal technology transfer policies, practices, and laws.

OTA's survey of technology transfer programs was designed to elicit quantitative and qualitative data from those officials responsible for carrying out the technology transfer function, generally, and for extramural life sciences research funding from the National Institutes of Health (NIH) and the U.S. Department of Energy (DOE). The questions (survey instrument B-1) focused on technology transfer officials' perceptions of and experiences with the implementation of federal technology transfer legislation, especially the Bayh-Dole Act of 1980 (Public Law 96-517). The survey sought both quantitative and qualitative data. Some questions asked respondents for subjective information, because the firsthand experience of these officials was viewed as important to understanding academic technology transfer; whereas

some questions asked for quantitative data, such as income or number of patents.

OTA compiled the population of institutions to be surveyed by obtaining a list of the 45 largest recipients of funds from either NIH or DOE (life sciences only) for FY 1992 (the year most readily available at that time). Officials at NIH and DOE reported that the list tends not to change from year to year, and so OTA felt confident that the FY 1992 list represented the appropriate target population.

The final number of institutions surveyed was fewer than 90 because some institutions receive significant funding from both NIH and DOE, and therefore appear twice on a composite list. The list also was reduced by excluding all for-profit companies, foreign research organizations, and recipients performing nonscientific functions (e.g., a grant to administer a meeting or provide a service). After exclusions, a total of 62 academic research institutions were surveyed by mail. Regardless of the source of funding, all institutions received identical survey instruments, which were coded for tracking only. Survey respondents were offered the opportunity to remove the coding label and hence anonymize their questionnaire; one respondent removed the label.

A single mailing was executed and follow-up calls were made to increase the survey response. In two cases, the instrument was resent to the institution, but duplication in response by these entities was avoided through the coding system. By fall 1993, 50 institutions had returned the survey questionnaire by mail following one round of phone calls, and responses from technology transfer officials at these 50 university and research institutions form the basis for the data OTA reports for this survey.

## **SURVEY OF BIOTECHNOLOGY COMPANIES**

In summer 1993, OTA sought data from selected biotechnology companies about their experience with federal technology transfer, specifically their experiences with life sciences Cooperative Research and Development Agreements (CRADAs)

with NIH and DOE—i.e., their views on technology transfer with researchers at NIH and DOE intramural laboratories. The survey population for this effort was senior executives responsible for managing research and development (R&D) at selected biotechnology companies.

Survey questions (survey instrument B-2) focused on companies' perspectives on the implementation of federal technology transfer legislation, particularly the Federal Technology Transfer Act (FTTA) of 1986 (Public Law 99-502). In consultation with OTA, a contractor prepared the survey instrument and constructed the sample of biotechnology companies. A separate contractor administered the instrument and collected the data by telephone interviews.

To derive the final survey sample, a master list was compiled using several sources (14). A published directory of biotechnology firms (35) served as the base population to which other lists were added; the directory was selected as a starting point because it was inclusive, although it included noncommercial, publishing, and financing organizations that were a priori excluded from the master list.

To evaluate whether the master list was comprehensive, it was compared with random samplings from two additional lists (9,21) and against another database in its entirety (27); the full Dibner list was used because it was published in a form that easily could be read by an electronic text-recognition scanner. Eight percent of the BioScan (9) sample of 124 firms and 11 percent of the Coombs and Alston (21) sample of 126 firms did not appear on the master list. For the Dibner list (27), 29 percent of companies were not on the master list—a total of 258 firms. These firms were added to the master list, although some were deleted later because they were units of firms already on the master list. The complete BioScan and Coombs and Alston lists were not used to supplement the master file because the additional resources required to use them would not have been commensurate with the relative increased contribution to the master list.

Finally, firms that the Dibner database (27) indicated were out of business were deleted from the list. And, using information from Dibner and *Genetic Engineering News* (35), firms on the master list reported as merged or as operating under more than one name-or anew name—were combined into single entries as deemed appropriate. A final, stratified, random sample was drawn according to table B-1. A specific contact for each company was identified using directories described earlier (27,35) or from a third corporate directory (22). In general, the title for the individual targeted was Vice President of Research, Director of R&D, or similar constructions.

Other additions to the master list were made. First, firms not already on the master list but with current or recently concluded CRADAs (NIH or DOE life sciences) were added. NIH information initially was obtained from NIH's Office of Technology Transfer (OTT); the OTA contractor identified a few additional companies with CRADAs on the basis of telephone conversations with officials in the technology transfer offices of individual institutes. (Such CRADAs were generally efforts not reviewed by OTT's CRADA subcommittee because they did not include exclusive licensing provisions.) DOE's Of-

**TABLE B-1—Sampling Design for Biotechnology Company Survey**

Strata	Number	of Firms
Non-CRADA Fortune 500		20
Non-Fortune 500		50
CRADA NIH		20
DOE		10
<b>Total</b>		<b>100</b>

KEY: CRADA = Cooperate Research and Development Agreement; DOE = U.S. Department of Energy, NIH = National Institutes of Health

SOURCE Office of Technology Assessment, 1995, based on D Blumenthal and N. Causino, "Sample of Biomedical and Biotechnology Firms for the U S Congress Office of Technology Assessment Survey About Firms' Involvement in Joint Projects with National Institutes of Health and the Department of Energy of the Study of the Effects of the Federal Technology Transfer Act on the Commercial and Academic Activities of Federal Scientists," Massachusetts General Hospital, Boston, MA, Apr 21, 1993

fice of Technology Utilization provided a list of companies that had DOE life-sciences CRADAs. Second, businesses not already on the master list but receiving U.S. Department of Commerce (DOC) Small Business Research Program awards for life-sciences projects from 1985 through 1992 were also added to the master list. Information about these awards was taken from a DOC publication containing abstracts of the awards (90,91).

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Survey Instrument B-1—Instrument for OTA Survey of University Technology Transfer Officials

Office of Technology Assessment  
United States Congress  
Washington, D.C. 20510-8025

**SURVEY OF TECHNOLOGY TRANSFER**

At the request of Congress, the Office of Technology Assessment (OTA) is conducting an assessment of issues relating to patenting human genetic discoveries and inventions. As part of this effort, OTA is surveying research institutions that receive substantial research funding from the National Institutes of Health (NIH) or the Department of Energy (DOE) to examine technology transfer generally, and for human genetic technologies, specifically. Please give your best estimate in those cases where exact data are unknown.

For the purposes of this survey, OTA has adopted the following definitions:

U.S. government funding for research should include **both direct and indirect costs.**

**Exclusive licenses** are licenses to use, further develop, or in any other way commercialize a technology exclusive of any other party. This includes partially exclusive licenses that have any geographic boundary, time restriction (other than the patent protection term), or exclusion of any other party only for a particular, defined use or application of the technology.

**Nonexclusive licenses** are those licenses that do not exclude any other party from entering into a license with the licensor institution under any circumstances.

Statistically, a **licensing option agreement should be considered the same as any licensing agreement.** Therefore, any income derived from an option should be considered the same as income derived from a license

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1. How much **U.S. government research funding** did your institution receive for the fiscal years indicated?

1991 \_\_\_\_\_ 1992 \_\_\_\_\_

How many invention disclosures resulted from this **research?** 1991 \_\_\_\_\_ 1992 \_\_\_\_\_

How many patent applications filed? 1991 \_\_\_\_\_ 1992 \_\_\_\_\_

How many exclusive licenses granted? 1991 \_\_\_\_\_ 1992 \_\_\_\_\_

How many nonexclusive licenses granted? 1991 \_\_\_\_\_ 1992 \_\_\_\_\_

How much royalty income from exclusive licenses? 1991 \_\_\_\_\_ 1992 \_\_\_\_\_

How much royalty income from nonexclusive licenses? 1991 \_\_\_\_\_ 1992 \_\_\_\_\_

If your institution's fiscal year ends on a date other than June 30, please indicate when:

\_\_\_\_\_

2. For the fiscal years indicated, how much **U.S. government research funding from either NIH or DOE** did your institution receive for human genetics research?

1991 \_\_\_\_\_ 1992 \_\_\_\_\_

How many invention disclosures resulted from this research? 1991 \_\_\_\_\_ 1992 \_\_\_\_\_

How many patent applications filed? 1991 \_\_\_\_\_ 1992 \_\_\_\_\_

How many exclusive licenses granted? 1991 \_\_\_\_\_ 1992 \_\_\_\_\_

How many nonexclusive licenses granted? 1991 \_\_\_\_\_ 1992 \_\_\_\_\_

How much royalty income from exclusive licenses? 1991 \_\_\_\_\_ 1992 \_\_\_\_\_

How much royalty income from nonexclusive licenses? 1991 \_\_\_\_\_ 1992 \_\_\_\_\_

## Survey Instrument B-1—Instrument for OTA Survey of University Technology Transfer Officials (Cont'd.)

3. Please rank the following goals in importance for your office (1= most important, 6=least important).
- To promote local or regional economic development
  - To augment the research budget of my institution
  - To augment the discretionary income of my institution with a steady stream of royalty income
  - To fulfill laws obligating my institution to transfer federally funded technology to the public
  - To stimulate more commercially applicable research at my institution
  - To assist faculty at my institution in establishing industrial research arrangements
4. In approximately what percent of cases does your office seek potential licensees to a technology before pursuing a patent? \_\_\_\_\_%
5. In approximately what percent of cases does your office seek potential licenses to human genetics inventions/discoveries before pursuing a patent? \_\_\_\_\_%
6. Are you aware of any cases in which researchers at your institution, at a company's request, agreed to delay publication of research results that involved U.S. government funding?
- \_\_\_\_\_ No (1)
- \_\_\_\_\_ Yes (2) If yes, please indicate the reason.
- A sponsor needed time to review the publication for proprietary or patentable data (2.1)
  - Time needed to be allowed to prepare and file a patent application (2.2)
  - Other (2.3) \_\_\_\_\_
- How often in the last two fiscal years? 1991 \_\_\_\_\_ 1992 \_\_\_\_\_
- How long was the average delay? \_\_\_\_\_
7. Are you aware of any cases in which researchers at your institution, at a company's request, agreed to **limit public disclosure of research results** that involved U.S. government funding?
- \_\_\_\_\_ No (1)
- \_\_\_\_\_ Yes (2) If yes, please indicate the reason.
- The publication **would** disclose company proprietary information covered in a prior agreement that provided the researchers access to the company's technology or materials (2.1)
  - The disclosure held information that could be the basis for a patent application (2.2)
  - Other (2.3) \_\_\_\_\_
- How often in the last two fiscal years? 1991 \_\_\_\_\_ 1992 \_\_\_\_\_
8. Does the information supplied in the previous two questions significantly differ for cases of inventions/discoveries based on human genetics research funded by NIH or DOE?
- \_\_\_\_\_ No (1)
- \_\_\_\_\_ Yes (2) If yes, please describe the differences in the space below.

## 58 Federal Technology Transfer and the Human Genome Project

### Survey Instrument B-1—Instrument for OTA Survey of University Technology Transfer Officials (Cont'd.)

9. In your judgment, is compliance with **Federal regulations that require** reporting of invention disclosures counterproductive to technology transfer mechanisms used by your office?

No (1)

Yes (2) If yes, for what reason(s)? Please check all that apply.

Writing the reports is a waste of time and money (2.1)

The process of disseminating the reports is a waste of time and money (2.2)

The continuously updated report of invention disclosures could give an unfavorable impression to potential licensees of inventions that continue to remain unlicensed on a revolving basis (2.3)

Other (2.4) \_\_\_\_\_

10. Does your office have a strictly uniform licensing agreement, a standardized licensing agreement, or is each potential license handled on a case-by-case basis?

Uniform agreement (1)

Standardized agreement (2)

Case-by-case (3)

11. Please describe how royalty income is allocated at your institution.

Is the allocation formula different for federally funded research?

No (1)

Yes (2) If yes, how is it different?

12. Of all licenses granted in the last two fiscal years, how much time elapsed from your office's initial involvement with an invention/discovery to the final signing of a licensing agreement, excluding time allowed for receiving a patent? Please indicate how many cases for each timeframe.

Less than 1 week

8-30 days

31-90 days

91-180 days

181-365 days

Over 1 year

Over 2 years

Survey Instrument B-1—Instrument for OTA Survey of University Technology Transfer Officials (Cont'd.)

13. How do you market your institution's technologies to potential licensees? Please estimate percentage of cases where each of the following mechanisms are used at your institution (percentages may add up to more than 100%).

- \_\_\_\_ % Rely on database of invention disclosures to attract licensing interest
- \_\_\_\_ % Contact several key firms that you know are commercializing related technology
- \_\_\_\_ % Canvas local or regional firms by mail, telephone, or visit
- \_\_\_\_ % Turn over the marketing aspect to an outside party
- \_\_\_\_ % Rely on inventor to assist your office in finding a suitable firm
- \_\_\_\_ % Rely on firms already engaged in research projects or sponsored research agreement
- \_\_\_\_ % Other \_\_\_\_\_

14. In your judgment, what are the most effective methods of technology transfer from your institution to industry? For each of the following please indicate degree of effectiveness.

	<u>not effective</u>	<u>effective</u>	<u>very effective</u>
Exclusive licensing	1	2	3
Nonexclusive licensing	1	2	3
Sponsored research agreements	1	2	3
Technical assistance	1	2	3
Personnel exchanges	1	2	3
Site visits	1	2	3
Other _____	1	2	3

15. Has your office ever licensed an invention/discovery without ever intending to file for a patent?

- \_\_\_\_ No (1)
- \_\_\_\_ Yes (2) If yes, how many times in the last two fiscal years? 1991 \_\_\_\_\_ 1992 \_\_\_\_\_
- What percentage were based on human genetics research funded by NIH or DOE?
- 1991 \_\_\_\_\_ % 1992 \_\_\_\_\_ %

16. Has your office ever turned away an interested firm from licensing an invention/discovery because the firm did not agree to a domestic manufacturing preference clause?

- \_\_\_\_ No (1)
- \_\_\_\_ Yes (2) If yes, how many times in the last two fiscal years? 1991 \_\_\_\_\_ 1992 \_\_\_\_\_
- What percentage involved human genetics research funded by NIH or DOE?
- 1991 \_\_\_\_\_ % 1992 \_\_\_\_\_ %

17. In your opinion, what are the primary challenges or obstacles to effective technology transfer from your institution to industry? Please designate in rank order 1-9 (1 =most significant, 9=least significant).

- \_\_\_\_ Cost of patenting inventions/discoveries (1)
- \_\_\_\_ Appearance of conflict of interest before the public (2)
- \_\_\_\_ Lack of industry interest (3)
- \_\_\_\_ Lack of researcher or faculty interest (4)
- \_\_\_\_ Complying with Federal policies, laws, or regulations regarding technology transfer (5)
- \_\_\_\_ Attracting skilled personnel to staff your office (6)
- \_\_\_\_ Conflicts between local or U.S. government requirements (7)
- \_\_\_\_ Industry reluctance to meet royalty demands (8)
- \_\_\_\_ Other (9) \_\_\_\_\_

Survey Instrument B-1—Instrument for OTA Survey of University Technology Transfer Officials (Cont'd.)

18. At your institution, is the inventor(s) involved in the licensing process?

Yes (1)

No (2) if no, why not? Please check one of the following:

Conflict of interest concerns (2.1)

To increase the level of objectivity in licensing negotiations (2.2)

inventor chooses not to be involved (2.3)

Other (2.4) \_\_\_\_\_

Attached below is a peel-off identification number that will be removed by OTA on receipt of the completed survey. This is the only link between the institutions that are being sampled and the surveys returned, and is for tracking and follow-up purposes. We would prefer that you leave the identification number on the survey when you return it so we can avoid repeated follow-up, but if you are uncomfortable with this procedure please remove the label prior to returning the survey.

Thank you very much for your cooperation in completing this survey. We would also like to give you an opportunity to give us any other opinions, concerns, or suggestions related to technology transfer that you feel our questions did not sufficiently address. These comments will be strictly anonymous but may be incorporated in our report to Congress. Feel free to use the reverse side or attach extra sheets, if necessary.

Please return the completed survey by **July 23, 1993** in the enclosed self-addressed stamped envelope in the event that the envelope is lost please return the survey to:

Mike Snyder  
U.S. Congress  
Office of Technology Assessment  
Biological and Behavioral Sciences Program  
Washington, DC 20510-8025

If you have any questions or comments, please feel free to call Mike Snyder at (202) 228-6676.

## Survey Instrument B-2—Instrument for OTA Survey of Biotechnology Companies

Questionnaire name: 6191BS

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\*\*\*QUESTION 1 \*\*\*

\*Schulman Ronca & Bucuvalas, Inc. 444 Park Ave. South, NY, NY  
 Study #6191B Technology Transfer and DNA Patenting: Business Screener

SAMPLE READ-IN: COMPANY PHONE NUMBER 10 DIGITS  
GO TO QUESTION #2 =====> < 1 > [01]###

-- ANSWER REQUIRED --

\*\*\* QUESTION # 2 \*\*\*

\*SAMPLE READ-IN: SAMPLE TYPE

GO TO Q. # 3 '====> < 1 > \*NIH/CRADA  
 GO TO Q. # 3 '====> < 2 > \*DOE/CRADA  
 GO TO Q. # 3 '====> < 3 > \*FORTUNE/NON-CRADA  
 GO TO Q. # 3 '====> < 4 > \*NON-FORTUNE/NON-CRADA  
 GO TO Q. # 3 '====> < 5 > [13]### "

\*\*\* QUESTION # 3 \*\*\*

\*SAMPLE READ-IN: COMPANY NAME 45 COLS.

GO TO Q. # 4 '====&gt; &lt; 1 &gt; [04]###

-- ANSWER REQUIRED --

\*\*\* QUESTION # 4 \*\*\*

\*SAMPLE READ-IN: ADDRESS 1 35 COLS.

GO TO Q. # 5 '====&gt; &lt; 1 &gt; [05]###

-- ANSWER REQUIRED --

\*\*\* QUESTION # 5 \*\*\*

\*SAMPLE READ-IN: ADDRESS 2 30 COLS.

GO TO Q. # 6 '====&gt; &lt; 1 &gt; [06]###

-- ANSWER REQUIRED --

\*\*\* QUESTION # 6 \*\*\*

\*SAMPLE READ-IN: CITY 25 COLS.

GO TO Q. # 7 '====&gt; &lt; 1 &gt; [07]###

-- ANSWER REQUIRED --

\*\*\* QUESTION # 7 \*\*\*

\*SAMPLE READ-IN: STATE 2 COLS.

GO TO Q. # 8 '====&gt; &lt; 1 &gt; [08]###

-- ANSWER REQUIRED --

\*\*\* QUESTION # 8 \*\*\*

\*SAMPLE READ-IN: ZIP CODE 10 COLS.

GO TO Q. # 9 '====&gt; &lt; 1 &gt; [09]###

-- ANSWER REQUIRED --

\*\*\* QUESTION # 9 \*\*\*

\*SAMPLE READ-IN: CONTACT NAME 30 COLS.

GO TO Q. # 10 '====&gt; &lt; 1 &gt; [10]###

-- ANSWER REQUIRED --

\*\*\* QUESTION # 10 \*\*\*

## Survey Instrument B-2—Instrument for OTA Survey of Biotechnology Companies (Cont'd.)

Questionnaire name: 6191BS

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\*SAMPLE READ-IN CONTACT PHONE 15 DIGITS

GO TO Q. # 11 =====&gt; &lt; 1 &gt; [12]###

-- ANSWER REQUIRED --

\*\*\* QUESTION # 11 \*\*\*

\*SAMPLE READ-IN CONTACT TITLE 50 COLS.

GO TO Q. # 12 =====&gt; &lt; 1 &gt; [11]###

-- ANSWER REQUIRED --

\*\*\* QUESTION # 12 \*\*\*

\*SAMPLE READ-IN CLIENT ID 4 DIGITS

GO TO Q. # 13 =====&gt; &lt; 1 &gt; [02]###

-- ANSWER REQUIRED --

\*\*\* QUESTION # 13 \*\*\*

\*SAMPLE READ-IN SAMPLE ID 3 DIGITS

GO TO Q. # 14 =====&gt; &lt; 1 &gt; [03]###

-- ANSWER REQUIRED --

\*\*\* QUESTION # 14 \*\*\*

\*SAMPLE READ-IN REPLICATE 2 DIGITS

GO TO Q. # 15 =====&gt; &lt; 1 &gt; [14]###

-- ANSWER REQUIRED --

\*\*\* QUESTION # 15 \*\*\*

\*DUMMY QUESTION 15

GO TO Q. # 16 =====&gt; &lt; 1 &gt; #hold

GO TO Q. # 16 =====&gt; &lt; 2 &gt; #hold

GO TO Q. # 16 =====&gt; &lt; 3 &gt; #hold

\*\*\* QUESTION # 16 \*\*\*

!SWITCHBOARD INTRO:

Hello, may I speak to [10]###

[11]###

(IF NECESSARY:) I'm [1]### from SRBI, the national research organization in New York City. We are calling on behalf of the Office of Technology Assessment (OTA) of the United States Congress. We are conducting a survey of biotechnology company's views on technology transfer and its impact on their R&D efforts.

GO TO Q. # 24 =====&gt; &lt; 1 &gt; CONTINUE INTERVIEW

DISP CODE # 1 =====&gt; &lt; 2 &gt; No answer

DISP CODE # 12 =====&gt; &lt; 3 &gt; Answering machine

DISP CODE # 2 =====&gt; &lt; 4 &gt; Busy signal

DISP CODE # 9 =====&gt; &lt; 5 &gt; Initial Callback

DISP CODE # 13 =====&gt; &lt; 6 &gt; Away for duration

DISP CODE # 6 =====&gt; &lt; 7 &gt; Initial Refusal

DISP CODE # 3 =====&gt; &lt; 8 &gt; Disconnected phone/NIS

DISP CODE # 8 =====&gt; &lt; 9 &gt; Language barrier

DISP CODE # 14 =====&gt; &lt; 10 &gt; Gatekeeper Refusal

DISP CODE # 15 =====&gt; &lt; 11 &gt; Call cannot be completed

DISP CODE # 16 =====&gt; &lt; 12 &gt; Second refusal

GO TO Q. # 18 =====&gt; &lt; 13 &gt; ENTER REFERRAL INFORMATION

DISP CODE # 18 =====&gt; &lt; 14 &gt; Company out of business

DISP CODE # 19 =====&gt; &lt; 15 &gt; Company not in biotechnology

## Survey Instrument B-2—Instrument for OTA Survey of Biotechnology Companies (Cont'd.)

Questionnaire name: 6191BS

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GO TO Q. # 17 =====> < 16 > Other reason terminating call

\*\*\* QUESTION # 17 \*\*\*

(INTERVIEWER: THIS QUESTION WILL ELIMINATE THIS PHONE NUMBER FROM THE  
IF THIS NUMBER CAN BE DIALED AGAIN, BACK-UP AND CHOOSE ANOTHER  
. CODE TO THE PREVIOUS QUESTION. IF THIS NUMBER CAN NOT BE DIALED AGAIN,  
. ENTER THE REASONS WHY BELOW TO EXIT.)

DISP CODE # 20 =====> < 1 > Open end to disp code

-- MULTI-PUNCH --

-- ANSWER REQUIRED --

\*\*\* QUESTION # 18 \*\*\*

!REFERRAL INFO

Who is the Research & Development Director or equivalent in your  
company?

(ENTER NAME OF R&D DIRECTOR OR EQUIVALENT HERE)

GO TO Q. # 19 =====> < 1 > Open end single mention

-- ANSWER REQUIRED --

\*\*\* QUESTION # 19 \*\*\*

At what phone number can I reach [Q18]###?

(ENTER PHONE NUMBER EVEN IF NO CHANGE)

GO TO Q. # 20 =====> < 1 > Open end single mention

-- ANSWER REQUIRED --

\*\*\* QUESTION # 20 \*\*\*

May I speak to [Q18]###?

GO TO Q. #24 =====> < 1 > Yes, transferred to new respondent TO INTRO)

DISP CODE # 17 =====> < 2 > No, not available now (ARRANGE CALLBACK)

DISP CODE # 14 =====> < 3 > No, gatekeeper refusal

DISP CODE # 14 =====> < 4 > \*hold

\*\*\* QUESTION # 21 \*\*\*

\*DUMMY QUESTION IF NEEDED

GO TO Q. #22 =====> < 1 > #hold

GO TO Q. #22 =====> < 2 > #hold

GO TO Q. #22 =====> < 3 > #hold

\*\*\* QUESTION # 22 \*\*\*

\*DUMMY QUESTION IF NEEDED

GO TO Q. #23 =====> < 1 > #hold

GO TO Q. # 23 =====> < 2 > #hold

GO TO Q. #23 =====> < 3 > #hold

\*\*\* QUESTION # 23 \*\*\*

\*DUMMY QUESTION IF NEEDED

GO TO Q. #24 =====> < 1 > #hold

GO TO Q. # 24 =====> < 2 > #hold

GO TO Q. #24 =====> < 3 > #hold

\*\*\* QUESTION # 24 \*\*\*

!INTRO:

COMPANY NAME: [04]###

## Survey Instrument B-2—Instrument for OTA Survey of Biotechnology Companies (Cont'd.)

Questionnaire name: 6191BS

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COMPANY PHONE: 01 ###  
 CONTACT NAME: [ 10 ##  
 CONTACT PHONE: [12 ###

Hello, I'm [1]### from SRBI,  
 the national research organization in New York City. We are calling on  
 behalf of the Office of Technology Assessment (OTA) of the United States  
 Congress. The OTA is conducting a national assessment of the impact of  
 technology transfer programs on research and development efforts in the  
 life sciences. As part of this assessment we are conducting a survey  
 of biotechnology company's views on technology transfer and its impact  
 on their R&D efforts.

GO TO Q. #25 =====> < 1 > CONTINUE INTERVIEW  
 DISP CODE # 9 =====> < 2 > Initial Callback  
 DISP CODE # 21 =====> < 3 > Respondent Refusal  
 GO TO Q. # 18 =====> < 4 > Wrong person/enter referral info  
 DISP CODE # 19 =====> < 5 > Company not involved in biotechnology  
 GO TO Q. # 17 =====> < 6 > Other reason terminating call

\*\*\* QUESTION # 25 \*\*\*

-S1- First, just a few background questions about your company.  
 Could you tell me which of the following categories best describes

Are you an independent company, a division of a larger company or a  
 subsidiary of a larger company?

GO TO Q. # 30 =====> < 1 > Independent  
 GO TO Q. #26 =====> < 2 > Division  
 GO TO Q. #26 =====> < 3 > Subsidiary  
 GO TO Q. #26 =====> < 5 > (VOL) Refused

\*\*\* QUESTION # 26 \*\*\*

-S1a- Did the larger company acquire your company within the past  
 twelve months?

GO TO Q. # 30 =====> < 1 > Yes  
 GO TO Q. #27 =====> < 2 > No  
 GO TO Q. #27 =====> < 3 > (VOL) Not sure  
 GO TO Q. #27 =====> < 4 > (VOL) Refused

\*\*\* QUESTION # 27 \*\*\*

-S1b- What is the name of your parent company?

(TYPE IN NAME OF PARENT COMPANY BELOW)

GO TO Q. #28 =====> < 1 > Open end  
 -- MULTI-PUNCH --  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 28 \*\*\*

-S1c- Would you say that [04]###'s  
 ties to this parent company are very close, somewhat close, not very  
 close or not at all close?

GO TO Q. #29 =====> < 1 > Very close  
 GO TO Q. #29 =====> < 2 > Somewhat close  
 GO TO Q. #29 =====> < 3 > Not very close  
 GO TO Q. # 29 =====> < 4>Not at all close

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GO TO Q. # 29 =====> < 5 > (VOL) Not sure  
 GO TO Q. #29 =====> < 6 > (VOL) Refused

\*\*\* QUESTION # 29 \*\*\*

-S1d- How much direct influence does your parent company have over

life sciences R&amp;D activities? (READ LIST

GO TO Q. #30 =====&gt; &lt; 1 &gt; A GREAT DEAL.

GO TO Q. #30 =====&gt; &lt; 2 &gt; QUITE A BIT,

GO TO Q. #30 =====&gt; &lt; 3 &gt; SOME OR

GO TO Q. #30 =====&gt; &lt; 4 &gt; NOT VERY MUCH

GO TO Q. #30 =====&gt; &lt; 5 &gt; (VOL) Not sure

GO TO Q. #30 =====&gt; &lt; 6 &gt; (VOL) Refused

\*\*\* QUESTION # 30 \*\*\*

&lt;&lt; CONDITIONAL ASSOCIATED WITH THIS QUESTION &gt;&gt;

IF Q# 25 EQ CODE S 2,3

CONDITIONAL # 1

AND Q# 29 EQ CODE S 1,2

CONDITIONAL # 2

THEN SHOW CODES 2

AND HIDE CODES 1

\*FOR READ\_IN

GO TO Q. #31 =====&gt; &lt; 1 &gt; your company

GO TO Q. #31 =====&gt; &lt; 2 &gt; your parent company

\*\*\* QUESTION # 31 \*\*\*

We would like to get some basic information about the characteristics of [Q30]###.

-S2- Is [Q30]### conducting or funding research, either internally or in conjunction with other organizations on...

(ENTER TWICE TO CONTINUE)

GO TO . #32 =====&gt; &lt; 1 &gt; Text screen

-- TEXT SCREEN --

\*\*\* QUESTION # 32 \*\*\*

-S2a- (Is [Q30] ### conducting or funding research, either internally or in conjunction with other organizations on...)

DNA SEQUENCING OR GENETIC MAPPING OF THE HUMAN GENOME?

GO TO Q. #33 =====&gt; &lt; 1 &gt; Yes

GO TO Q. #33 =====&gt; &lt; 2 &gt; No

GO TO Q. #33 =====&gt; &lt; 3 &gt; (VOL) Not sure

GO TO Q. #33 =====&gt; &lt; 4 &gt; (VOL) Refused

\*\*\* QUESTION # 33 \*\*\*

-S2b- (Is [Q30] ### conducting or funding research, either internally or in conjunction with other organizations on...)

DNA SEQUENCING OR GENETIC MAPPING OF A MODEL ORGANISM GENOME:

MOUSE FRUIT FLY, ROUNDWORM, YEAST?

GO TO Q. #34 =====&gt; &lt; 1 &gt; Yes

GO TO Q. # 34 =====&gt; &lt; 2 &gt; No

GO TO Q. #34 =====&gt; &lt; 3 &gt; (VOL) Not sure

GO TO Q. #34 =====&gt; &lt; 4 &gt; (VOL) Refused

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\*\*\* QUESTION # 34 \*\*\*

-S2c- (Is [Q30] ### conducting or funding research, either internally or in conjunction with other organizations on...)

-SOFTWARE OR DATABASE DESIGN TO SUPPORT GENETIC MAPPING OR DNA SEQUENCING?

GO TO Q. #35 =====> < 1 > Yes  
 GO TO Q. #35 =====> < 2 > No  
 GO TO Q. #35 =====> < 3 > (VOL) Not sure  
 GO TO Q. #35 =====> < 4 > (VOL) Refused

\*\*\* QUESTION # 35 \*\*\*

-S2d- (Is [Q30] ### conducting or funding research, either internally or in conjunction with other organizations on...)

OTHER TECHNOLOGY TO SUPPORT GENETIC MAPPING OR DNA SEQUENCING?

GO TO Q. # 36 =====> < 1 > Yes  
 GO TO Q. #36 =====> < 2 > No  
 GO TO Q. #36 =====> < 3 > (VOL) Not sure  
 GO TO Q. #36 =====> < 4 > (VOL) Refused

\*\*\* QUESTION # 36 \*\*\*

-S2e- (Is [Q30] ### conducting or funding research, either internally or in conjunction with other organizations on...)

OTHER RESEARCH INVOLVING GENE SPLICING, GENE CLONING, MONOCLINAL ANTIBODIES, ENZYMOLOGY OR FERMENTATION?

GO TO Q. # 37 =====> < 1 > Yes  
 GO TO Q. # 37 =====> < 2 > No  
 GO TO Q. # 37 =====> < 3 > (VOL) Not sure  
 GO TO Q. # 37 =====> < 4 > (VOL) Refused

\*\*\* QUESTION # 37 \*\*\*

-S2f- (Is [Q30] ### conducting or funding research, either internally or in conjunction with other organizations on...)

OTHER AREAS OF LIFE SCIENCE RESEARCH?

GO TO Q. # 38 =====> < 1 > Yes  
 GO TO Q. # 38 =====> < 2 > No  
 GO TO Q. # 38 =====> < 3 > (VOL) Not sure  
 GO TO Q. # 38 =====> < 4 > (VOL) Refused

\*\*\* QUESTION # 38 \*\*\*

&lt;&lt; CONDITIONAL ASSOCIATED WITH THIS QUESTION &gt;&gt;

IF Q# 32 EQ CODE S 1	{	CONDIT IONAL # 3
OR Q# 33 EQ CODE S 1	{	CONDIT IONAL # 4
OR Q# 34 EQ CODE S 1	{	CONDIT IONAL # 5
OR Q#35 EQ CODE(S 1	{	CONDIT IONAL # 6
OR Q# 36 EQ CODE S 1	{	CONDIT IONAL # 7
OR Q# 37 EQ CODE S 1	{	CONDIT IONAL # 8

THEN GO TO Q.# 42 ELSE GO TO Q.# 38.

!!IF ANY "YES" IN S2a-f SKIP TO S4 ELSE S3a

-S3a- Was [Q4]###

ever involved in life science research?

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GO TO Q. # 39 =====> < 1 > Yes  
 GO TO Q. # 41 =====> < 2 > No  
 GO TO Q. #41 =====> < 3 > (VOL) **Not sure**  
 GO TO Q. #41 =====> < 4 > (VOL) **Refused**

\*\*\* QUESTION # 39 \*\*\*

-S3b- Has that life science research has been reassigned to another  
 division, etc. of [Q30]###?

GO TO Q. #40 =====> < 1 > Yes  
 GO TO Q. #41 =====> < 2 > No  
 GO TO Q. #41 =====> < 3 > (VOL) **Not sure**  
 GO TO Q. #41 =====> < 4 > (VOL) **Refused**

\*\*\* QUESTION # 40 \*\*\*

-S3c- What is the name of that unit/division?

(TYPE IN NAME OF UNIT/DIVISION BELOW)

GO TO Q. #41 =====> < 1 > Open end  
 -- MULTI-PUNCH --  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 41 \*\*\*

<< CONDITIONAL ASSOCIATED WITH THIS QUESTION >>  
 IF Q#39 EQ CODE(S) 1 (CONDITIONAL # 9)  
 THEN SHOW CODES 2  
 AND HIDE CODES 1

<< CONDITIONAL ASSOCIATED WITH THIS QUESTION >>  
 IF Q# 39 NE CODE(S) 1 (CONDITIONAL # 10)  
 THEN SHOW CODES 1  
 AND HIDE CODES 2

!SCREEN-OUT QUESTION

Thank you for your assistance. The study will focus on organizations  
 that are currently conducting or funding research in the areas that I  
 just described, so I won't have to ask you any more questions, but  
 thank you for all your help.

(ENTER CODE BELOW TO EXIT)

=====> < 1 > Screen-out/No life science research  
 DISP CODE # 23 =====> < 2 > Screen-out/Life science research reassigned  
 DISP CODE # 22 =====> < 3 > \*hold

\*\*\* QUESTION # 42 \*\*\*

-S4- Your organization appears to be conducting the types of life  
 science research in which we are interested.

We need to know who would be the best person in your organization to  
 talk to about technology transfer and the type of R&D in life sciences  
 that you have been supporting. Would that be you or someone else?

GO TO Q. # 43 =====> < 1 > Respondent  
 GO TO Q. #43 =====> < 2 > Someone else

\*\*\* QUESTION # 43 \*\*\*

-S5- Some of the questions we'd like to ask may require you to check  
 your files or confer with others in your office. So, we'd like to  
 send you a one-page worksheet which includes those questions which

## Survey Instrument B-2—Instrument for OTA Survey of Biotechnology Companies (Cont'd.)

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might be hard to answer off the top of your head. In the cover letter we would also explain a little more about the project. Then, we will call you back in about a week and you could read us your answers from the form, as well as answer some questions about your experience and attitudes about technology transfer in the life sciences. answers will be confidential and never attributed to you or our organization. Can I confirm that the mailing address I should send this to is. . . (CONFIRM ADDRESS)

COMPANY NAME: 04 ###  
 ADDRESS: 05 # #  
 ADDRESS: 06 ###  
 CITY: [07]##  
 STATE: 08 ###  
 ZIP CODE : 09 ###

Is that correct?

GO TO Q. #49 =====> < 1 > Yes, correct  
 GO TO Q. #44 =====> < 2 > No, not correct  
 GO TO Q. #44 =====> < 3 > (VOL) Refused

\*\*\* QUESTION # 44 \*\*\*

Let me correct the information I have. Let's start with the correct company name.

(ENTER COMPANY NAME BELOW)

GO TO Q. #45 =====> < 1 > Open end single mention  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 45 \*\*\*

And the correct street address?

(ENTER STREET ADDRESS BELOW)

GO TO Q. #46 =====> < 1 > Open end single mention  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 46 \*\*\*

The correct city?

(ENTER CITY BELOW)

GO TO Q. #47 =====> < 1 > Open end single mention  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 47 \*\*\*

The correct state?

(ENTER STATE BELOW)

GO TO Q. #48 =====> < 1 > Open end single mention  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 48 \*\*\*

The correct zip code?

(ENTER ZIP BELOW)

GO TO Q. # 49 =====> < 1 > Open end single mention

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-- ANSWER REQUIRED --

\*\*\* QUESTION # 49 \*\*\*

!ASK ALL

To whose attention should I sent the letter?

(ENTER NAME BELOW)

GO TO Q. #50 ==> < 1 > Open end single mention

-- ANSWER REQUIRED --

\*\*\* QUESTION # 50 \*\*\*

And what is [Q49]###'s title?

(ENTER TITLE BELOW)

==> < 1 > Open end single mention

-- ANSWER REQUIRED --

\*\*\* QUESTION # 51 \*\*\*

!CLOSING

Thank you so much for your help. We will be sending you a letter right away and we will be back in touch about a week later. Thank You for all of your help. That completes the interview.

/ENTER YOUR INITIALS TO COMPLETE)

' GO TO Q. #52 ==> < 1 > Open end single mention

-- ANSWER REQUIRED --



## Survey Instrument B-2—Instrument for OTA Survey of Biotechnology Companies (Cont'd.)

- A12. Approximately how many life sciences products does your [parent] company have currently undergoing federal regulatory review (FDA, EPA, USDA) prior to marketing? \_\_\_\_\_ # of Products
- B4. Has your [parent] company had life science CRADAs (Cooperative Research and Development Agreements) with any of the National Institutes of Health or the Department of Energy? YES.....1 *Continue with E9.*  
NO.....2 *Skip to End of Form*
- E9. How many life sciences patents obtained by your [parent] company in the last five years have been based fully or partially on work done in your [parent] company's CRADA(s)? \_\_\_\_\_ # of Patents
- E10. How many of the life sciences patents applied for in the last five years by your [parent] company have been based fully or partially on work done in the company's CRADA(s)? \_\_\_\_\_ # of Patents
- E11. How many of the life sciences products marketed by your [parent] company have been based fully or partially on work done in the company's CRADA(s)? \_\_\_\_\_ # of Products
- E12. How many products does your [parent] company have undergoing federal regulatory review prior to marketing that have been based fully or partially on the company's CRADA(s)? \_\_\_\_\_ # of Products
- E13. Over the last five years, approximately what percent of your [parent] company's total gross revenues from all sources including royalties from licenses was derived from products based fully or partially on the company's CRADA(s)? \_\_\_\_\_ % of Gross Revenues
- E13a. For the past five years, what was your [parent] company's total gross revenue from these products? \$ \_\_\_\_\_ Gross Revenue
- E14. For the past five years, what is your [parent] company's total gross sales revenue from products based fully or partially on the company's CRADA(s)? \$ \_\_\_\_\_ Gross Revenue
- E15. Over the last five years, approximately what percent of your [parent] company's total gross revenues was derived from royalty income for products based fully or partially on the company's CRADA(s)? \_\_\_\_\_ % of Gross Revenues
- E15a. For the past five year(s), what is your [parent] company's royalty income from licenses to which the CRADA contributed? \$ \_\_\_\_\_ Royalty Income

**AFTER COMPLETING THIS FORM, PLEASE RETAIN IT UNTIL  
SRBI CALLS TO COLLECT THE INFORMATION.**

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\*\*\* QUESTION # 1 \*\*\*

\*Schulman Ronca & Bucuvalas, Inc. 444 Park Ave. South, NY NY  
 Study #6191B Survey of Biomedical and Biotechnology Firms Involvement  
 in Patenting Human DNA Sequences - Business

SAMPLE READ-IN: COMPANY PHONE NUMBER

====> < 1 > #hold  
 GO TO Q. # 2 ====> < 2 > [??]###

\*\*\* QUESTION # 2 \*\*\*

\*SAMPLE READ-IN: COMPANY NAME

GO TO Q. # 3 ====> < 1 > #hold  
 GO TO Q. # 3 ====> < 2 > [??]###

\*\*\* QUESTION # 3 \*\*\*

\*SAMPLE READ-IN: ADDRESS 1

GO TO Q. # 4 ====> < 1 > #hold  
 GO TO Q. # 4 ====> < 2 > [??]###

\*\*\* QUESTION # 4 \*\*\*

\*SAMPLE READ-IN: ADDRESS 2

GO TO Q. # 5 ====> < 1 > #hold  
 GO TO Q. # 5 ====> < 2 > [??]###

\*\*\* QUESTION # 5 \*\*\*

\*SAMPLE READ-IN: CITY

GO TO Q. # 6 ====> < 1 > #hold  
 GO TO Q. # 6 ====> < 2 > [??]###

\*\*\* QUESTION # 6 \*\*\*

\*SAMPLE READ-IN: STATE

GO TO Q. # 7 ====> < 1 > #hold  
 GO TO Q. # 7 ====> < 2 > [??]###

\*\*\* QUESTION # 7 \*\*\*

\*SAMPLE READ-IN: ZIP CODE

GO TO Q. # 8 ====> < 1 > #hold  
 GO TO Q. # 8 ====> < 2 > [??]###

\*\*\* QUESTION # 8 \*\*\*

\*SAMPLE READ-IN: CONTACT NAME

GO TO Q. # 9 ====> < 1 > #hold  
 GO TO Q. # 9 ====> < 2 > [??]###

\*\*\* QUESTION # 9 \*\*\*

\*SAMPLE READ-IN: CONTACT PHONE

GO TO Q. # 10 ====> < 1 > #hold  
 GO TO Q. # 10 ====> < 2 > [??]###

\*\*\* QUESTION # 10 \*\*\*

\*SAMPLE READ-IN: CONTACT TITLE

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GO TO Q. # 11 =====> < 1 > #hold  
 GO TO Q. # 11 =====> < 2 > [??]###

\*\*\* QUESTION # 11 \*\*\*

\*SAMPLE READ-IN: ORGANIZATIONNUMBER

GO TO Q. # 12 =====> < 1 > #hold  
 GO TO Q. # 12 =====> < 2 > [??]###

\*\*\* QUESTION # 12 \*\*\*

\*SAMPLE READ-IN: Respondent NUMBER FROM SCREENER

GO TO Q. # 13 =====> < 1 > #hold  
 GO TO Q. # 13 =====> < 2 > [??]###

\*\*\* QUESTION # 13 \*\*\*

\*SAMPLE READ-IN: SAMPLE TYPE

GO TO Q. # 14 =====> < 1 > \*NIH/CRADA  
 GO TO Q. # 14 =====> < 2 > \*DOE/CRADA  
 GO TO Q. # 14 =====> < 3 > \*FOR TUNE/NON-CRADA  
 GO TO Q. # 14 =====> < 4 > \*NON-FOR TUNE/NON-CRADA  
 GO TO Q. # 14 =====> < 5 > [??]###

\*\*\* QUESTION # 14 \*\*\*

\*SAMPLE READ-IN: FOR WORDING

GO TO Q. # 15 =====> < 1 > \*your company  
 GO TO Q. # 15 =====> < 2 > \*your parent company  
 GO TO Q. # 15 =====> < 3 > [??]###

\*\*\* QUESTION # 15 \*\*\*

\*DUMMY QUESTION 15

GO TO Q. # 16 =====> < 1 > #hold  
 GO TO Q. # 16 =====> < 2 > #hold

\*\*\* QUESTION # 16 \*\*\*

\*DUMMY QUESTION 16

GO TO Q. # 17 =====> < 1 > #hold  
 GO TO Q. # 17 =====> < 2 > #hold

\*\*\* QUESTION # 17 \*\*\*

\*DUMMY QUESTION 17

GO TO Q. # 18 =====> < 1 > #hold  
 GO TO Q. # 18 =====> < 2 > #hold

\*\*\* QUESTION # 18 \*\*\*

\*DUMMY QUESTION 18

GO TO Q. # 19 =====> < 1 > #hold  
 GO TO Q. # 19 =====> < 2 > #hold

\*\*\* QUESTION # 19 \*\*\*

\*DUMMY QUESTION 19

GO TO Q. #20 =====> < 1 > #hold  
 GO TO Q. #20 =====> < 2 > #hold

\*\*\* QUESTION # 20 \*\*\*

!SWITCHBOARD INTRO:

Hello, may I speak to

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[??]###

(IF NECESSARY:) I'm [1]### from SRBI, the national research organization in New York City. We contacted you two weeks ago about the study we are conducting for the U.S. Congress Office of Technology Assessment about technology transfer and Research and Development in biotechnology

GO TO Q. # 27 =====> < 1 > CONTINUE INTERVIEW  
 DISP CODE # 1 < 2 > No answer  
 DISP CODE # 12 =====> < 3 > Answering machine  
 DISP CODE # 2 =====> < 4 > Bus signal  
 DISP CODE # 9 =====> < 5 > Initial Callback  
 DISP CODE # 13 =====> < 6 > Away for duration  
 DISP CODE # 6 =====> < 7 > Initial Refusal  
 DISP CODE # 3 =====> < 8 > Disconnected phone/NIS  
 DISP CODE # 8 =====> < 9 > Language barrier  
 DISP CODE # 14 =====> < 10 > Gatekeeper Refusal  
 DISP CODE # 15 =====> < 11 > Call cannot be completed  
 DISP CODE # 16 =====> < 12 > Second refusal  
 DISP CODE # 17 =====> < 13 > No such person/doesn't work here  
 DISP CODE # 18 =====> < 14 > Company out of business  
 GO TO Q. # 21 =====> < 15 > Other reason terminating call

\*\*\* QUESTION # 21 \*\*\*

(INTERVIEWER: THIS QUESTION WILL ELIMINATE THIS PHONE NUMBER FROM THE . CODE TO THE PREVIOUS QUESTION. IF THIS NUMBER CAN NOT BE DIALED AGAIN, . ENTER THE REASONS WHY BELOW TO EXIT.)

DISP CODE # 19 =====> < 1 > Open end to disp code  
 -- MULTI-PUNCH --  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 22 \*\*\*

\*DUMMY QUESTION IF NEEDED

GO TO Q. #23 =====> < 1 > #hold  
 GO TO Q. #23 =====> < 2 > #hold

\*\*\* QUESTION # 23 \*\*\*

\*DUMMY QUESTION IF NEEDED

GO TO Q. #24 =====> < 1 > #hold  
 GO TO Q. #24 =====> < 2 > #hold

\*\*\* QUESTION # 24 \*\*\*

\*DUMMY QUESTION IF NEEDED

GO TO Q. #25 =====> < 1 > #hold  
 GO TO Q. #25 =====> < 2 > #hold

\*\*\* QUESTION # 25 \*\*\*

\*DUMMY QUESTION IF NEEDED

GO TO Q. #26 =====> < 1 > #hold  
 GO TO Q. # 26 =====> < 2 > #hold

\*\*\* QUESTION # 26 \*\*\*

\*DUMMY QUESTION IF NEEDED

GO TO Q. # 27 =====> < 1 > #hold

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GO TO Q. # 27 =====&gt; &lt; 2 &gt; #hold

\*\*\*QUESTION # 27 \*\*\*

COMPANY NAME: [??]###  
 COMPANY PHONE: [0]###  
 CONTACT NAME: [.]?##  
 CONTACT PHONE: [?]###

Hello, I'm [I]### from SRBI,  
 the national research organization in New York City. We contacted you  
 two weeks ago about the study we are conducting for the U.S. Congress  
 Office of Technology Assessment about technology transfer and Research  
 and Development in biotechnology companies.

GO TO Q. # 28 =====> < 1 > CONTINUE INTERVIEW  
 DISP CODE # 1 =====> < 2 > No answer  
 DISP CODE # 12 =====> < 3 > Answering machine  
 DISP CODE # 2 =====> < 4 > Busy signal  
 DISP CODE # 22 =====> < 5 > Respondent Callback  
 DISP CODE # 21 =====> < 6 > Respondent Refusal  
 DISP CODE # 16 =====> < 7 > Second refusal  
 DISP CODE # 17 =====> < 8 > Wrong person/doesn't work here  
 GO TO Q. # 21 =====> < 9 > Other reason terminating call

\*\*\* QUESTION # 28 \*\*\*

-A1-"Last week we mailed you a letter about this project asking you to  
 fill out some information about [Q14]### on a recording form.  
 Have you had an opportunity to complete the recording form that we sent  
 you?

GO TO Q. #34 =====> < 1 > Yes  
 GO TO Q. #32 =====> < 2 > No  
 GO TO Q. #29 =====> < 3 > No, never got form

\*\*\* QUESTION # 29 \*\*\*

I'm sorry you never got the form. Can I have your name and fax number  
 so I can fax you that as soon as possible? First, your name...

(ENTER CONTACT NAME HERE)

GO TO . #30 =====> < 1 > Open end single mention  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 30 \*\*\*

And your fax number. . .

(ENTER FAX NUMBER HERE)

GO TO Q. # 31 =====> < 1 > Open end single mention  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 31 \*\*\*

We'll fax you a copy as soon as possible. Thank you for your time.

(ENTER CODE BELOW TO EXIT.)

DISP CODE # 20 =====> < 1 > Fax worksheet  
 DISP CODE # 20 =====> < 2 > \*hold  
 DISP CODE # 20 =====> < 3 > \*hold

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\*\*\* QUESTION # 32 \*\*\*

-A2- It is very important that your organization be included in this study. Could I contact you later this week and collect your information?

GO TO Q. #33 =====&gt; &lt; 1 &gt; Yes

DISP CODE #21 =====&gt; &lt; 2 &gt; No, refused interview

\*\*\* QUESTION # 33 \*\*\*

-A3- When could I contact you to collect this information?

(ENTER CODE BELOW)

DISP CODE # 22 =====&gt; &lt; 1 &gt; Arrange callback

DISP CODE # 22 =====&gt; &lt; 2 &gt; \*hold

DISP CODE # 22 =====&gt; &lt; 3 &gt; \*hold

\*\*\* QUESTION # 34 \*\*\*

!WORKSHEET INFO

-A4- Let's go over the recording sheet now.

(ENTER TWICE TO CONTINUE)

GO TO Q. #35 =====&gt; &lt; 1 &gt; Text screen

-- TEXT SCREEN --

\*\*\* QUESTION # 35 \*\*\*

Starting with question A1, what is your answer to the question. . .

-A1- Which of the following categories best describes your company?

(READ LIST)

GO TO Q. #36 =====&gt; &lt; 1 &gt; INDEPENDENT

GO TO Q. #36 =====&gt; &lt; 2 &gt; DIVISION

GO TO Q. #36 =====&gt; &lt; 3 &gt; SUBSIDIARY

\*\*\* QUESTION # 36 \*\*\*

&lt;&lt; CONDITIONAL ASSOCIATED WITH THIS QUESTION &gt;&gt;

IF Q# 35 EQ CODE(S) 1

(CONDITIONAL # 1)

THEN SHOW CODES 1

AND HIDE CODES 2

&lt;&lt; CONDITIONAL ASSOCIATED WITH THIS QUESTION &gt;&gt;

IF Q# 35 EQ CODE(S) 2,3

(CONDITIONAL # 2)

THEN SHOW CODES 2

AND HIDE CODES 1

\*FOR WORDING: IF A1=INDEPENDENT, SHOW 1 HIDE 2

IF A1=DIVISION OR SUBSIDIARY, SHOW 2 HIDE 1

GO TO Q. #37 =====&gt; &lt; 1 &gt; your company

GO TO Q. #37 =====&gt; &lt; 2 &gt; your parent company

\*\*\* QUESTION # 37 \*\*\*

-A3b- When was [Q36]### incorporated?

-ENTER LAST 2 DIGITS OF YEAR BELOW. NOT SURE=98 REFUSED=99)

GO TO Q. # 38 =====&gt; &lt; 1 &gt; Numeric open end range 0-99

-- NUMERIC OPEN END - RANGE IS

99---

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-- ANSWER REQUIRED --

\*\*\* QUESTION # 38 \*\*\*

-A4- What is [Q36]###'s projected gross revenue for your current fiscal year?

(ENTER ANSWER IN MILLIONS. 9998=DON'T KNOW 9999=REFUSED  
 1=\$1 MILLION OR LESS 9997=\$9 BILLION 997 MILLION OR MORE)  
 GO TO Q. #39 ==> < 1 > Numeric open end range 0-9999  
 -- NUMERIC OPEN END - RANGE IS 0. THRU 9999---  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 39 \*\*\*

-A4a- What is [Q36]###'s projected total dollar volume of sales of ALL products and services for your current fiscal year?

(ENTER ANSWER IN MILLIONS. 9998=DON'T KNOW 9999=REFUSED  
 1=\$1 MILLION OR LESS 9997=\$9 BILLION 997 MILLION OR MORE)  
 GO TO Q. #40 ==> < 1 > Numeric open end range 0-9999  
 -- NUMERIC OPEN END - RANGE IS 9999---  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 40 \*\*\*

-A4b- What is [Q36]###'s projected royalty revenue for your current fiscal year?

(ENTER WHOLE NUMBER BELOW. NONE=0 8=DON'T KNOW 9=REFUSED)  
 GO TO Q. #41 ==> < 1 > Numeric open end range 0-9999999  
 -- NUMERIC OPEN END - RANGE IS ---  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 41 \*\*\*

-A5- What is [Q36]###'s projected total R&amp;D budget for your current fiscal year? Please include both continuing and new projects.

(ENTER ANSWER IN MILLIONS. 9998=DON'T KNOW 9999=REFUSED  
 1=\$1 MILLION OR LESS 9997=\$9 BILLION 997 MILLION OR MORE)  
 GO TO Q. #42 ==> < 1 > Numeric open end range 0-9999  
 -- NUMERIC OPEN END - RANGE IS ---  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 42 \*\*\*

-A6- What is [Q36]###'s projected R&amp;D budget for life sciences for your current fiscal year?

(ENTER ANSWER IN MILLIONS. 9998=DON'T KNOW 9999=REFUSED  
 1=\$1 MILLION OR LESS 9997=\$9 BILLION 997 MILLION OR MORE)  
 GO TO Q. #43 ==> < 1 > Numeric open end range 0-9999  
 -- NUMERIC OPEN END - RANGE IS ---  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 43 \*\*\*

-A7- How many employees does [Q36]### have? Please estimate fulltime equivalents.

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(ENTER NUMBER BELOW. 999998=DON'T KNOW 999999=REFUSED  
 =====> < 1 > Numeric open end range 0-999999  
 -- NUMERIC OPEN END - RANGE IS  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 44 \*\*\*

-A8- Approximately how many life sciences patents has  
 [Q36]### APPLIED for in the past five years?

(ENTER NUMBER BELOW. 97=97 OR MORE 98=DON'T KNOW 99=REFUSED)  
 GO TO Q. #45 =====> < 1 > Numeric open end range 0-99  
 -- NUMERIC OPEN END - RANGE IS 0. THRU 99---  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 45 \*\*\*

-A9- Approximately how many life sciences patents has  
 [Q36]### OBTAINED In the past five years?

(ENTER NUMBER BELOW. 97=97 OR MORE 98=DON'T KNOW 99=REFUSED)  
 GO TO Q. #46 =====> < 1 > Numeric open end range 0-99  
 -- NUMERIC OPEN END - RANGE IS 99---  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 46 \*\*\*

-A10- How many life sciences products does [Q36]###  
 have on the market?

{ENTER NUMBER BELOW. 97=97 OR MORE 98=DON'T KNOW 99=REFUSED)  
 GO TO Q. #47 =====> < 1 > Numeric open end range 0-99  
 -- NUMERIC OPEN END - RANGE IS 99---  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 47 \*\*\*

-A11- How many of these life science products required regulatory  
 review prior to marketing?

(ENTER NUMBER BELOW. 97=97 OR MORE 98=DON'T KNOW 99=REFUSED)  
 =====> < 1 > Numeric open end range 0-99  
 -- NUMERIC OPEN END - RANGE IS 99---  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 48 \*\*\*

-A12- Approximately how many life sciences products does  
 [Q36] ### have currently undergo federal  
 regulatory review (FDA, EPA, USDA prior to marketing?

{ENTER NUMBER BELOW. 97=97 OR MORE 98=DON'T KNOW 99=REFUSED)  
 GO TO Q. #49 =====> < 1 > Numeric open end range 0-99  
 -- NUMERIC OPEN END - RANGE IS 99---  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 49 \*\*\*

-B4- Has [Q36] ### had life science CRADAs  
 (Cooperative Research and Development Agreements) with any of the

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National Institutes of Health (NIH)?

GO TO Q. # 50 =====&gt; &lt; 1 &gt; Yes

GO TO Q. # 50 =====&gt; &lt; 2 &gt; No

\*\*\* QUESTION # 50 \*\*\*

-65- Has [Q36]### had life science CRADAs  
Cooperative Research and Development Agreements) with the  
Department of Energy (DOE)?

GO TO Q. # 51 =====&gt; &lt; 1 &gt; Yes

GO TO Q. #51 =====&gt; &lt; 2 &gt; No

\*\*\* QUESTION # 51 \*\*\*

-E9- How many life sciences patents obtained by [Q36]###  
in the last five years have been based fully or partially on work done  
in [Q36]###'s CRADA(s)?

(ENTER NUMBER BELOW. 97=97 OR MORE 98=DON'T KNOW 99=REFUSED)

GO TO Q. # 52 =====&gt; &lt; 1 &gt; Numeric open end range 0-99

-- NUMERIC OPEN END - RANGE IS

99---

-- ANSWER REQUIRED --

\*\*\* QUESTION # 52 \*\*\*

-E10- How many of the life sciences patents applied for in the last five  
years by [Q36]### have been based fully or partially  
on work done in the company's CRADA(s)?

(ENTER NUMBER BELOW. 97=97 OR MORE 98=DON'T KNOW 99=REFUSED)

GO TO Q. # 53 =====&gt; &lt; 1 &gt; Numeric open end range 0-99

-- NUMERIC OPEN END - RANGE IS

0. THRU

99---

-- ANSWER REQUIRED --

\*\*\* QUESTION # 53 \*\*\*

-E11- How many of the life sciences products marketed by  
[Q36]### have been based fully or **partially**  
on work done in the company's CRADA(s)?

(ENTER NUMBER BELOW. 97=97 OR MORE 98=DON'T KNOW 99=REFUSED)

GO TO Q. #54 =====&gt; &lt; 1 &gt; Numeric open end range 0-99

-- NUMERIC OPEN END - RANGE IS

99---

-- ANSWER REQUIRED --

\*\*\* QUESTION # 54 \*\*\*

-E12- How many products does [Q36]### have  
undergoing federal regulatory review prior to marketing that have been  
based fully or partially on the company's CRADA(s)?

(ENTER NUMBER BELOW. 97=97 OR MORE 98=DON'T KNOW 99=REFUSED)

GO TO Q. #55 =====&gt; &lt; 1 &gt; Numeric open end range 0-99

-- NUMERIC OPEN END - RANGE IS

99---

-- ANSWER REQUIRED --

\*\*\* QUESTION # 55 \*\*\*

-E13- Over the last five years, approximately what percent of  
[Q36]###'s total gross revenues from all sources  
including royalties from licenses was derived from products based fully

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or partially on the company's CRADA(s)?

(ENTER PERCENTAGE BELOW. ALL=100 101=DON'T KNOW 102=REFUSED)  
 GO TO Q. #56 ==> < 1 > Numeric open end range 0-102  
 -- NUMERIC OPEN END - RANGE IS 0. THRU 102---  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 56 \*\*\*

-E13a- For the past five years, what was [Q36]###'s total gross revenue from these products?

(ENTER ANSWER IN MILLIONS. 9998=DON'T KNOW 9999=REFUSED  
 1=\$1 MILLION OR LESS 9997=\$9 BILLION 997 MILLION OR MORE)  
 GO TO Q. #57 ==> < 1 > Numeric open end range 0-9999  
 -- NUMERIC OPEN END - RANGE IS 0. THRU 9999---  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 57 \*\*\*

-E14- For the past five years, what is [Q36]###'s total gross sales revenue from products based fully or partially on the company's CRADA(s)?

{ENTER ANSWER IN MILLIONS. 9998=DON'T KNOW 9999=REFUSED  
 1=\$1 MILLION OR LESS 9997=\$9 BILLION 997 MILLION OR MORE)  
 GO TO Q. # 58 ==> < 1 > Numeric open end range 0-9999  
 -- NUMERIC OPEN END - RANGE IS 0. THRU 9999---  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 58 \*\*\*

-E15- Over the last five years, approximately what percent of [Q36]###'s total gross revenues was derived from royalty income for products based fully or partially on the company's CRADA(s)?

(ENTER PERCENTAGE BELOW. ALL=100 101=DON'T KNOW 102=REFUSED)  
 GO TO Q. #59 ==> < 1 > Numeric open end range 0-102  
 -- NUMERIC OPEN END - RANGE IS 0. THRU 102---  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 59 \*\*\*

-E15a- For the past five years, what was [Q36]###'s royalty income from licenses to which the CRADA contributed?

{ENTER ANSWER IN MILLIONS. 9998=DON'T KNOW 9999=REFUSED  
 1=\$1 MILLION OR LESS 9997=\$9 BILLION 997 MILLION OR MORE)  
 GO TO Q. # 60 ==> < 1 > Numeric open end range 0-9999  
 -- NUMERIC OPEN END - RANGE IS 0. THRU 9999---  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 60 \*\*\*

Now, I would like to ask you a few more general questions about [Q36]###, the types of research it supports, and your experience in obtaining any CRADA.

(PROMPT, IF NECESSARY:) CRADA stands for "Cooperative Research

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and Development Agreement". CRADAs are legal instruments whereby a company and a government entity agree to work together to promote specific applications of government research.

(ENTER TWICE To CONTINUE)

GO TO Q. # 61 =====> < 1 > Text screen  
-- TEXT SCREEN --

\*\*\* QUESTION # 61 \*\*\*

<< CONDITIONAL ASSOCIATED WITH THIS QUESTION >>

IF Q# 49 EQ CODE S 1

CONDITIONAL # 3

OR Q# 50 EQ CODE S 1

CONDITIONAL # 41

THEN GO TO Q.# 65 ELSE GO TO Q.# 61.

!SECTION B: COOPERATIVE RESEARCH AND DEVELOPMENT AGREEMENTS (CRADAs)

!IF YES IN B4 OR B5 FROM WORKSHEET, GO TO B2 ELSE B1

-B1- Has [Q36]### ever applied for any CRADA?

(PROMPT, IF NECESSARY:) CRADA stands for "Cooperative Research and Development Agreement". CRADAs are legal instruments whereby a company and a government entity agree to work together to promote specific applications of government research.

GO TO Q. # 62 =====> < 1 > Yes, your company

GO TO Q. #62 =====> < 2 > Yes, parent company

GO TO Q. #62 =====> < 3 > Yes, both

GO TO Q. #175 =====> < 4 > No

GO TO Q. #175 =====> < 5 > (VOL) Not sure

GO TO Q. #175 =====> < 6 > (VOL) Refused

\*\*\* QUESTION # 62 \*\*\*

-B1a- Has [Q36] ### ever entered into a CRADA?

===== < 1 > Yes, your company

GO TO Q. #63 =====> < 2 > Yes, parent company

GO TO Q. #63 =====> < 3 > Yes, both

GO TO Q. # 64 =====> < 4 > No

GO TO Q. #64 =====> < 5 > (VOL) Not sure

GO TO Q. #64 =====> < 6 > (VOL) Refused

\*\*\* QUESTION # 63 \*\*\*

-B1b- Were any of these life sciences CRADAs?

GO TO Q. #64 =====> < 1 > Yes, your company

GO TO Q. #64 =====> < 2 > Yes, parent company

GO TO Q. #64 =====> < 3 > Yes, both

GO TO Q. #64 =====> < 4 > No

GO TO Q. #64 =====> < 5 > (VOL) Not sure

GO TO Q. # 64 =====> < 6 > (VOL) Refused

\*\*\* QUESTION # 64 \*\*\*

-B1c- Has [ 36]### ever applied for a life sciences CRADA?

GO TO Q. # 65 =====> < 1 > Yes, your company

GO TO Q. #65 =====> < 2 > Yes, parent company

GO TO Q. #65 =====> < 3 > Yes, both

GO TO Q. #182 =====> < 4 > No

GO TO Q. #182 =====> < 5 > (VOL) Not sure

GO TO Q. #182 =====> < 6 > (VOL) Refused

\*\*\* QUESTION # 65 \*\*\*

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    << CONDITIONAL ASSOCIATED WITH THIS QUESTION >>
    IF Q# 49 EQ CODE(S) 1 (CONDITIONAL # 5)
    THEN GO TO Q.# 66 ELSE GO TO Q.# 65.
!!IF YES IN B4 SKIP TO B3
-B2- Has [Q36]### ever applied to the
National Institutes of Health (NIH)?
GO TO Q. #66 =====> < 1 > Yes
GO TO Q. #80 =====> < 2 > No
GO TO Q. #80 =====> < 3 > (VOL) Not sure
GO TO Q. #80 =====> < 4 > (VOL) Refused

*** QUESTION # 66 ***
-B2a1 - To which institute at NIH was your most recent application?

(ENTER NAME OF INSTITUTE BELOW
GO TO Q. #67 =====> < 1 > Open end
-- MULTI-PUNCH --
-- ANSWER REQUIRED --

*** QUESTION # 67 ***
-B2b1 - In which year was this application made?

(ENTER LAST 2 DIGITS OF YEAR BELOW. DON'T KNOW=98 REFUSED=99)

19
GO TO Q. # 68 =====> < 1 > Numeric open end range 0-99
-- NUMERIC OPEN END - RANGE IS 99.--
-- ANSWER REQUIRED --

*** QUESTION # 68 ***
An others?
GO TO Q. # 69 =====> < 1 > Yes
GO TO Q. # 80 =====> < 2 > No

*** QUESTION # 69 ***
-B2a2- To which institute at NIH was your next most recent application?

(ENTER NAME OF INSTITUTE BELOW
GO TO Q. #70 =====> < 1 > Open end
-- MULTI-PUNCH --
-- ANSWER REQUIRED --

*** QUESTION # 70 ***
-B2b2- In which year was this application made?

(ENTER LAST 2 DIGITS OF YEAR BELOW. DON'T KNOW=98 REFUSED=99)

19
GO TO Q. #71 =====> < 1 > Numeric open end range 0-99
-- NUMERIC OPEN END - RANGE IS 99---
-- ANSWER REQUIRED --

*** QUESTION # 71 ***
Any others?
GO TO Q. # 72 =====> < 1 > Yes

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GO TO Q. # 80 =====&gt; &lt; 2 &gt; No

\*\*\* QUESTION # 72 \*\*\*

-B2a3- To which institute at NIH was your next most recent application?

(ENTER NAME OF INSTITUTE BELOW

GO TO Q. # 73 =====&gt; &lt; 1 &gt; Open end

-- MULTI-PUNCH --

-- ANSWER REQUIRED --

\*\*\* QUESTION # 73 \*\*\*

-B2b3- In which year was this application made?

(ENTER LAST 2 DIGITS OF YEAR BELOW. DON'T KNOW=98 REFUSED=99)

19

GO TO Q. #74 =====&gt; &lt; 1 &gt; Numeric open end range 0-99

-- NUMERIC OPEN END - RANGE IS . 99---

-- ANSWER REQUIRED --

\*\*\* QUESTION # 74 \*\*\*

Any others?

GO TO Q. #75 =====&gt; &lt; 1 &gt; Yes

GO TO Q. #80 =====&gt; &lt; 2 &gt; No

\*\*\* QUESTION # 75 \*\*\*

-B2a4- To which institute at NIH was your next most recent application?

(ENTER NAME OF INSTITUTE BELOW

GO TO Q. #76 =====&gt; &lt; 1 &gt; Open end

-- MULTI-PUNCH --

-- ANSWER REQUIRED --

\*\*\* QUESTION # 76 \*\*\*

-B2b4- In which year was this application made?

(ENTER LAST 2 DIGITS OF YEAR BELOW. DON'T KNOW=98 REFUSED=99)

19

GO TO Q. #77 =====&gt; &lt; 1 &gt; Numeric open end range 0-99

-- NUMERIC OPEN END - RANGE IS . 99---

-- ANSWER REQUIRED --

\*\*\* QUESTION # 77 \*\*\*

Any others?

GO TO Q. #78 =====&gt; &lt; 1 &gt; Yes

GO TO Q. #80 =====&gt; &lt; 2 &gt; No

\*\*\* QUESTION # 78 \*\*\*

-B2a5- To which institute at NIH was your next most recent application?

(ENTER NAME OF INSTITUTE BELOW

GO TO Q. # 79 =====&gt; &lt; 1 &gt; Open end

-- MULTI-PUNCH --

-- ANSWER REQUIRED --

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\*\*\* QUESTION # 79 \*\*\*

-B2b5- In which year was this application made?

(ENTER LAST 2 DIGITS OF YEAR BELOW. DON'T KNOW=98 REFUSED=99)

GO TO Q. #80 =====> < 1 > Numeric open end range 0-99  
 -- NUMERIC OPEN END - RANGE IS 0. THRU 99---  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 80 \*\*\*

<< CONDITIONAL ASSOCIATED WITH THIS QUESTION >>  
 IF Q# 50 EQ CODE(S) 1 (CONDITIONAL # 6)  
 THEN GO TO Q. # 81 ELSE GO TO Q.# 80.  
 !IF YES IN B5 SKIP TO CHECKPOINT  
 -B3- Has [Q36]### ever a lied to the  
 Department of Energy (DOE) ?  
 GO TO Q. # 81 =====> < 1 > Yes  
 GO TO Q. # 95 =====> < 2 > No  
 GO TO Q. # 95 =====> < 3 > (VOL) Not sure  
 GO TO Q. # 95 =====> < 4 > (VOL) Refused

\*\*\* QUESTION # 81 \*\*\*

-B3a1- To which DOE laboratory was your most recent application?

(ENTER NAME OF LABORATORY BELOW)  
 GO TO Q. # 82 =====> < 1>Open end  
 -- MULTI-PUNCH --  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 82 \*\*\*

-B3b1- In which year was this application made?

(ENTER LAST 2 DIGITS OF YEAR BELOW. DON'T KNOW=98 REFUSED=99)

19  
 GO TO Q.#83 =====> < 1 > Numeric open end range 0-99  
 -- NUMERIC OPEN END - RANGE IS 0. THRU 99---  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 83 \*\*\*

Any others?  
 GO TO Q. # 84 =====> < 1 > Yes  
 GO TO Q. #95 =====> < 2 > No

\*\*\* QUESTION # 84 \*\*\*

-B3a2- To which DOE laboratory was your next most recent application?

(ENTER NAME OF Laboratory BELOW)  
 GO TO Q. # 85 =====> < 1>Open end  
 -- MULTI-PUNCH --  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 85 \*\*\*

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-B3b2- In which year was this application made?

(ENTER LAST 2 DIGITS OF YEAR BELOW. DON'T KNOW=98 REFUSED=99)

GO TO Q. # 86 =====> < 1 > Numeric open end range 0-99  
 -- NUMERIC OPEN END - RANGE IS 0. THRU 99---  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 86 \*\*\*

An others?

GO TO Q. #87 =====> < 1 > Yes  
 GO TO Q. #95 =====> < 2 > No

\*\*\* QUESTION # 87 \*\*\*

-B3a3- To-which-DOE laboratory was your next most recent application?

(ENTER NAME OF LABORATORY BELOW)  
 GO TO Q. #88 =====> < 1 > Open end  
 -- MULTI-PUNCH --  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 88 \*\*\*

-B3b3- In which year was this application made?

(ENTER LAST 2 DIGITS OF YEAR BELOW. DON'T KNOW=98 REFUSED=99)

19  
 GO TO Q. #89 =====> < 1 > Numeric open end range 0-99  
 -- NUMERIC OPEN END - RANGE IS 99---  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 89 \*\*\*

Any others?

GO TO Q. #90 =====> < 1 > Yes  
 GO TO Q. #95 =====> < 2 > No

\*\*\* QUESTION # 90 \*\*\*

-B3a4- To which DOE laboratory was your next most recent application?

(ENTER NAME OF LABORATORY BELOW)  
 GO TO Q. # 91 =====> < 1 > open end  
 -- MULTI-PUNCH --  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 91 \*\*\*

-B3b4- In which year was this application made?

(ENTER LAST 2 DIGITS OF YEAR BELOW. DON'T KNOW=98 REFUSED=99)

19  
 GO TO Q. #92 =====> < 1 > Numeric open end range 0-99  
 -- NUMERIC OPEN END - RANGE IS 99---  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 92 \*\*\*

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Any others?

GO TO Q. #93 =====> < 1 > yes  
 GO TO Q. #95 =====> < 2 > No

\*\*\* QUESTION # 93 \*\*\*

-B3a5- To which DOE laboratory was your next most recent application?

(ENTER NAME OF LABORATORY BELOW)

GO TO Q. #94 =====> < 1 > Open end  
 -- MULTI-PUNCh --  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 94 \*\*\*

-B3b5- In which year was this application made?

(ENTER LAST 2 DIGITS OF YEAR BELOW. DON'T KNOW=98 REFUSED=99)

. 19  
 GO TO . # 95 =====> < 1 > Numeric open end range 0-99  
 -- NUMERIC OPEN END - RANGE IS 99.--  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 95 \*\*\*

<< CONDITIONAL ASSOCIATED WITH THIS QUESTION >>  
 IF Q# 62 EQ CODE S 4-6 CONDITIONAL # 7  
 OR Q# 63 EQ CODE S 4-6 CONDITIONAL # 8  
 THEN GO TO Q.#151 E SE GO TO Q.# 95.  
 << CONDITIONAL ASSOCIATED WITH THIS QUESTION >>(CONDITIONAL # 9)  
 IF Q# 49 EQ CODE(S) 1  
 THEN GO TO Q.# 95 E SE GO TO Q.#103.  
 !IF NO/NOT SURE/ REFUSED IN B1a OR B1b SKIP TO F1a ELSE B4  
 !IF YES TO B4 FROM WORKSHEET ASK B4 ELSE B5  
 -B4- Earlier you said [Q36]### had  
 life science CRADAs with the National Institutes of Health (NIH).

(ENTER CODE BELOW TO CONTINUE)

GO TO Q. # 96 =====> < 1 > CONTINUE  
 GO TO Q. #96 =====> < 2 > \*hold

\*\*\* QUESTION # 96 \*\*\*

-B4a- How many CRADAs has [Q36]### had with NIH, including those now ongoing?

(ENTER NUMBER BELOW. NOT SURE=98 REFUSED=99)

GO TO Q. #97 =====> < 1 > Numeric open end range 1-99  
 -- NUMERIC OPEN END - RANGE IS 99.--  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 97 \*\*\*

<c CONDITIONAL ASSOCIATED WITH THIS QUESTION >>(CONDITIONAL # 10)  
 IF Q# 96 EQ 1-10  
 THEN GO TO Q.# 97 ELSE GO TO Q.#102  
 !IF B4a=1-97  
 -B4b1- With which institute at NIH do you have the first CRADA?

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(ENTER NAME OF INSTITUTE BELOW  
 GO TO Q. #98 =====> < 1 > Open end  
 -- MULTI-PUNCH --  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 98 \*\*\*  
 << CONDITIONAL ASSOCIATED WITH THIS QUESTION >>  
 IF Q# 96 EQ 2 TO 97 (CONDITIONAL # 11)  
 THEN GO TO Q.# 98 ELSE GO TO Q.#102.  
 !!IF B4a=2-97  
 -B4b2- With which institute at NIH do you have the second CRADA?

(ENTER NAME OF INSTITUTE BELOW  
 GO TO Q. #99 =====> < 1 > Open end  
 -- MULTI-PUNCH --  
 -- ANSWER REQUIRED --

\*\*\* QUESTION # 99 \*\*\*  
 << CONDITIONAL ASSOCIATED WITH THIS QUESTION >>  
 IF Q# 96 EQ 97 (CONDITIONAL # 12)  
 THEN GO TO Q.# 99 ELSE GO TO Q.#102  
 !!IF B4a=3-97  
 -B4b3- With which institute at NIH do you have the third CRADA?

(ENTER NAME OF INSTITUTE BELOW  
 GO TO Q. #100 =====> < 1 > Open end  
 -- MULTI-PUNCH --  
 -- ANSWER REQUIRED --

\*\*\* QUESTION #100 \*\*\*  
 << CONDITIONAL ASSOCIATED WITH THIS QUESTION >>  
 IF Q# 96 EQ 97 (CONDITIONAL # 13)  
 THEN GO TO Q.#100 ELSE GO TO Q.#102  
 !!IF B4a=4-97  
 -B4b4- With which institute at NIH do you have the fourth CRADA?

(ENTER NAME OF INSTITUTE BELOW  
 GO TO Q. #101 =====> < 1 > Open end  
 -- MULTI-PUNCH --  
 -- ANSWER REQUIRED --

\*\*\* QUESTION #101 \*\*\*  
 << CONDITIONAL ASSOCIATED WITH THIS QUESTION >>  
 IF Q#96 EQ 97 (CONDITIONAL # 14)  
 THEN GO TO Q.#101 ELSE GO TO Q.#102  
 !!IF B4a=5-97  
 -B4b5- With which institute at NIH do you have the fifth CRADA?

(ENTER NAME OF INSTITUTE BELOW  
 GO TO Q. #102 =====> < 1 > Open end  
 -- MULTI-PUNCH --  
 -- ANSWER REQUIRED --

\*\*\* QUESTION #102 \*\*\*  
 -B4c- In what year did [Q36]### first receive an

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NIH CRADA?

(ENTER LAST 2 DIGITS OF YEAR FIRST RECEIVED A NIH CRADA)

(DON'T KNOW=98 REFUSED=99)

19  
 GO TO Q. #103 =====> < 1 > Numeric open end range 0-99  
 -- NUMERIC OPEN END - RANGE IS 99---  
 -- ANSWER REQUIRED --

\*\*\* QUESTION #103 \*\*\*

<< CONDITIONAL ASSOCIATED WITH THIS QUESTION >>  
 IF Q# 50 EQ CODE(S) 1 (CONDITIONAL # 15)

THEN GO TO Q.#103' ELSE GO TO Q.#113.  
 !IF YES TO B5 FROM WORKSHEET ASK B5 ELSE B6a  
 -B5- Earlier you said Q36 ### had  
 life science CRADAs with the Department of Energy (DOE).

(ENTER CODE BELOW TO CONTINUE)

GO TO Q. #104 =====> < 1 > CONTINUE  
 GO TO Q. #104 =====> < 2 > \*hold

\*\*\* QUESTION #104 \*\*\*

-B5a- How many life sciences CRADAs has [Q36]### had  
 with DOE, including those now ongoing?

(ENTER NUMBER BELOW. NOT SURE=98 REFUSED=99)

GO TO Q. #105 =====> < 1 > Numeric open end range 1-99  
 -- NUMERIC OPEN END - RANGE IS 99---  
 -- ANSWER REQUIRED --

\*\*\* QUESTION #105 \*\*\*

<< CONDITIONAL ASSOCIATED WITH THIS QUESTION >>  
 IF Q#104 EQ 97 (CONDITIONAL # 16)

THEN GO TO Q.#105 ELSE GO TO Q.#110.  
 !IF B5a=1-97 '  
 -B5b1- With which DOE laboratory do you have the first CRADA?

(ENTER NAME OF LABORATORY BELOW)

GO TO Q. #106 =====> < 1 > Open end  
 -- MULTI-PUNCH --  
 -- ANSWER REQUIRED --

\*\*\* QUESTION #106 \*\*\*

<< CONDITIONAL ASSOCIATED WITH THIS QUESTION >>  
 IF Q#104 EQ (CONDITIONAL # 17)

THEN GO TO Q.#106 ELSE GO TO Q.#110.  
 !IF B5a=2-97  
 -B5b2- With which DOE laboratory do you have the second CRADA?

(ENTER NAME OF LABORATORY BELOW)

GO TO Q. #107 =====> < 1 > Open end  
 -- MULTI-PUNCH --  
 -- ANSWER REQUIRED --

\*\*\* QUESTION #107 \*\*\*





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AND Q# 49 EQ CODE S 1          CONDI TIONAL # 37
AND Q# 50 EQ CODE S 1          CONDI TIONAL # 38
THEN SHOW CODES 1
  AND HIDE CODES 2
<< CONDITIONAL ASSOCIATED WITH THIS QUESTION >>
  IF Q# 13 EQ CODE S 1          CONDI TIONAL # 39)
  AND Q# 49 EQ CODE S 1          CONDI TIONAL # 40)
  AND Q# 50 EQ CODE S 1          CONDI TIONAL # 41)
  THEN SHOW CODES 2
  AND HIDE CODES 1
<< CONDITIONAL ASSOCIATED WITH THIS QUESTION >>
  IF Q# 13 EQ CODE S 1          CONDI TIONAL # 42
  AND Q# 49 NE CODE S 1          CONDI TIONAL # 43
  AND Q# 50 EQ CODE S 1          CONDI TIONAL # 44
  THEN SHOW CODES 2
  AND HIDE CODES 1
<< CONDITIONAL ASSOCIATED WITH THIS QUESTION >>
  IF Q# 13 EQ CODE S 1          CONDI TIONAL # 45)
  AND Q# 49 EQ CODE S 1          CONDI TIONAL # 46)
  AND Q# 50 N CODE S 1          CONDI TIONAL # 47)
  THEN SHOW CODES 1
  AND HIDE CODES 2
<< CONDITIONAL ASSOCIATED WITH THIS QUESTION >>
  IF Q# 13 E CODE S 2          CONDI TIONAL # 48
  AND Q# 49 N CODE S 1          CONDI TIONAL # 49
  AND Q# 50 EQ CODE S 1          CONDI TIONAL # 50
  THEN SHOW CODES 2
  AND HIDE CODES 1
<< CONDITIONAL ASSOCIATED WITH THIS QUESTION >>
  IF Q# 13 EQ CODE S 2          CONDI TIONAL # 51
  AND Q# 49 EQ CODE S 1          CONDI TIONAL # 52
  AND Q# 50 NE CODE S 1          CONDI TIONAL # 53
  THEN SHOW CODES 1
  AND HIDE CODES 2
*TYPE OF CRADA CRADA SAMPLE
IF CRADA SAMPLE AND RESP SAYS BOTH GO WITH SAMPLE
IF CRADA SAMPLE CONTRADICTED BY B4/B5 RESPONSE GO WITH B4/B5 RESPONSE
GO TO Q. #117 =====> < 1 > NIH
GO TO Q. #117 =====> < 2 > DOE

*** QUESTION #116 ***
*TO RANDOMLY PICK ONE Type OF CRADA
SHUFFLE ALL ANSWERS
GO TO Q. #117 =====> < 1 > NIH
GO TO Q. #117 =====> < 2 > DOE
-- SPECIAL FEATURE * SHUFFLING ANSWERS
  ALL ANSWERS --

*** QUESTION #117 ***
*GRID SHOW ANSWERS TO pREVIOUS Type OF CRADA QUESTIONS
GO TO Q. #118 =====> < 1 > NIH
GO TO Q. #118 =====> < 2 > DOE

THIS QUESTION IS IN A GRID --
DISPLAY ANSWERS ALREADY MENTIONED IN QUESTIONS:

```

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\*\*\* QUESTION #118 \*\*\*

!SECTION C: TERMS OF LIFE SCIENCES CRADA

Has [Q36]### agreed to provide any of the following under the terms of its [Q117]### CRADA(s)?

{ENTER TWICE TO CONTINUE}

GO TO Q. #119 =====> < 1 > Text screen  
-- TEXT SCREEN --

\*\*\* QUESTION #119 \*\*\*

-Cl a- (Has [Q36]### agree to provide. ..)

INDUSTRY scientists To WORK IN GOVERNMENT LABS

(under the terms of its [Q117]### CRADAs?)

GO TO Q. #120 =====> < 1 > Yes  
GO TO Q. #120 =====> < 2 > No  
GO TO Q. #120 =====> < 3 > (VOL) Not sure  
GO TO Q. #120 =====> < 4 > (VOL) Refused

\*\*\* (QUESTION #120 \*\*\*

-Cl b- (Has [Q36]### agree to provide. ..)

BIOLOGICAL SAMPLES, BIOMATERIALS, OTHER MATERIALS OR EQUIPMENT TO GOVERNMENT

(under the terms of its [Q117]### CRADAs?)

===== < 1 > Yes  
GO TO Q. #121 =====> < 2 > No  
GO TO Q. #121 =====> < 3 > (VOL) Not sure  
GO TO Q. #121 =====> < 4 > (VOL) Refused

\*\*\* QUESTION #121 \*\*\*

-Cl c- (Has [Q36]### agree to provide. ..)

GOVERNMENT USE OF EQUIPMENT IN [Q36]###'S LABS

(under the terms of its [Q117]### CRADAs?)

GO TO Q. #122 =====> < 1 > Yes  
GO TO Q. #122 =====> < 2 > No  
GO TO Q. #122 =====> < 3 > (VOL) Not sure  
GO TO Q. #122 =====> < 4 > (VOL) Refused

\*\*\* QUESTION #122 \*\*\*

-Cl d- (Has [Q36]### agree to provide. ..)

COMPENSATION FOR GOVERNMENT SCIENTISTS

(under the terms of its [Q117]### CRADAs?)

GO TO Q. #123 =====> < 1 > Yes  
GO TO Q. #123 =====> < 2 > No  
GO TO Q. #123 =====> < 3 > (VOL) Not sure

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GO TO Q. #123 =====&gt; &lt; 4 &gt; (VOL) Refused

\*\*\* QUESTION #123 \*\*\*

-C1e- (Has [Q36]### agree to provide. ...)

OTHER FUNDING FOR GOVERNMENT SCIENTISTS

(under the terms of its [Q117]### CRADAs?)

GO TO Q. #124 =====&gt; &lt; 1 &gt; Yes

GO TO Q. #124 =====&gt; &lt; 2 &gt; No

GO TO Q. #124 =====&gt; &lt; 3 &gt; (VOL) Not sure

GO TO Q. #124 =====&gt; &lt; 4 &gt; (VOL) Refused

\*\*\* QUESTION #124 \*\*\*

-C1f- (Has [Q36]### agree to provide. ...)

DID [Q36] ### AGREE TO UNDERTAKE, MANAGE OR  
PROVIDE FUNDING FOR PATENT PROSECUTION (PATENT APPLICATION PROCESS)

{under the terms of its [Q117]### CRADAs?)

GO TO Q. #125

GO TO Q. #125 =====&gt; &lt; 2 &gt; No

GO TO Q. #125 =====&gt; &lt; 3 &gt; (VOL) Not sure

GO TO Q. #125 =====&gt; &lt; 4 &gt; (VOL) Refused

\*\*\* QUESTION #125 \*\*\*

Did the government agree to provide any of the following  
under the terms of [Q36]###'s

[Q117]### CRADA(s)?

(ENTER TWICE TO CONTINUE)

GO TO Q. #126 =====&gt; &lt; 1 &gt; Text screen

-- TEXT SCREEN --

\*\*\* QUESTION #126 \*\*\*

-C2a- (Did the government agree to provide. ...)

SCIENTISTS TO WORK ON PROJECTS OF INTEREST TO [Q36]###

{under the terms of the [Q117]### CRADA?)

GO TO Q. #127 =====&gt; &lt; 1 &gt; Yes

GO TO Q. #127 =====&gt; &lt; 2 &gt; No

GO TO Q. #127 =====&gt; &lt; 3 &gt; (VOL) Not sure

GO TO Q. #127 =====&gt; &lt; 4 &gt; (VOL) Refused

\*\*\* QUESTION #127 \*\*\*

-C2b- (Did the government agree to provide. ...)

BIOLOGICAL SAMPLES, BIOMATERIALS, OTHER MATERIALS OR EQUIPMENT TO  
[Q36]###'S

(under the terms of the [Q117]### CRADA?)

=====&gt; &lt; 1 &gt; Yes

GO TO Q. #128 =====&gt; &lt; 2 &gt; No

GO TO Q. #128 =====&gt; &lt; 3 &gt; (VOL) Not sure

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GO TO Q. #128 =====&gt; &lt; 4 &gt; (VOL) Refused

\*\*\* QUESTION #128 \*\*\*

-C2c- (Did the government agree to provide. ..)

YOUR USE OF EQUIPMENT IN GOVERNMENT LABS

(under the terms of the [Q17]### CRADA?)

GO TO Q. #129 =====&gt; &lt; 1 &gt; Yes

GO TO Q. #129 =====&gt; &lt; 2 &gt; No

GO TO Q. #129 =====&gt; &lt; 3 &gt; (VOL) Not sure

GO TO Q. #129 =====&gt; &lt; 4 &gt; (VOL) Refused

\*\*\* QUESTION #129 \*\*\*

-C2d- (Did the government agree to provide. ..)

EXCLUSIVE LICENSING OF GOVERNMENT PATENTS RESULTING FROM THE CRADA

(under the terms of the [Q17]### CRADA?)

GO TO Q. #130 =====&gt; &lt; 1 &gt; Yes

GO TO Q. #130 =====&gt; &lt; 2 &gt; No

GO TO Q. #130 =====&gt; &lt; 3 &gt; (VOL) Not sure

GO TO Q. #130 =====&gt; &lt; 4 &gt; (VOL) Refused

\*\*\* QUESTION #130 \*\*\*

-C2e- (Did the government agree to provide. ..)

EXCLUSIVE LICENSING OF GOVERNMENT PATENTS RESULTING FROM RESEARCH THAT IS NOT PART OF THE CRADA

(under the terms of the [Q17]### CRADA?)

GO TO Q. #131 =====&gt; &lt; 1 &gt; Yes

GO TO Q. #131 =====&gt; &lt; 2 &gt; No

GO TO Q. #131 =====&gt; &lt; 3 &gt; (VOL) Not sure

GO TO Q. #131 =====&gt; &lt; 4 &gt; (VOL) Refused

\*\*\* QUESTION #131 \*\*\*

!SECTION D: CONCERNS ABOUT FORMING CRADAs

In considering whether or not to pursue or continue a CRADA, how much concern have the following issues caused [Q36]###?

(ENTER TWICE TO CONTINUE)

===== &gt; &lt; 1 &gt; Text screen

-- TEXT SCREEN --

\*\*\* QUESTION #132 \*\*\*

-D1a- Has concern that...

THE REVIEW PROCESS MAY LEAD TO DISCLOSURE OF INFORMATION

[Q36]### WANTED To KEEP SECRET

been a major concern, a minor concern or not really a concern?

GO TO Q. #133 =====&gt; &lt; 1 &gt; Major concern

GO TO Q. #133 =====&gt; &lt; 2 &gt; Minor concern

GO TO Q. #133 =====&gt; &lt; 3 &gt; Not really a concern

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GO TO Q. #133 =====> < 4 > (VOL) Not sure  
 GO TO Q. #133 =====> < 5 > (VOL) Refused

\*\*\* QUESTION #133 \*\*\*

-DIb- Has concern that...

GOVERNMENT SCIENTISTS MAY GO TO WORK FOR A COMPETING COMPANY, LEADING  
 TO DISCLOSURE TO A COMPETITOR OF INFORMATION [Q36]###  
 WANTED TO KEEP SECRET

been a major concern, a minor concern or not really a concern?

GO TO Q. #134 =====> < 1 > Major concern  
 GO TO Q. #134 =====> < 2 > Minor concern  
 GO TO Q. #134 =====> < 3 > Not really a concern  
 GO TO Q. #134 =====> < 4 > (VOL) Not sure  
 GO TO Q. #134 =====> < 5 > (VOL) Refused

\*\*\* QUESTION #134 \*\*\*

-DIc- Has concern that...

THE REASONABLE PRICING CLAUSE REQUIRED IN THE CRADA CONTRACT MAY  
 RESTRICT PROFITABILITY OF ANTICIPATED PRODUCTS FROM THE CRADA

been a major concern, a minor concern or not really a concern?

GO TO Q. #135 =====> < 1 > Major concern  
 GO TO Q. #135 =====> < 2 > Minor concern  
 GO TO Q. #135 =====> < 3 > Not really a concern  
 GO TO Q. #135 =====> < 4 > (VOL) Not sure  
 GO TO Q. #135 =====> < 5 > (VOL) Refused

\*\*\* QUESTION #135 \*\*\*

-DI d- Has concern that...

THE REASONABLE PRICING CLAUSE REQUIRED IN THE CRADA CONTRACT MAY  
 REDUCE PROFITABILITY OF UNANTICIPATED PRODUCTS FROM THE CRADA

been a major concern, a minor concern or not really a concern?

GO TO Q. #136 =====> < 1 > Major concern  
 GO TO Q. #136 "=====> < 2 > Minor concern  
 GO TO Q. #136 "=====> < 3 > Not really a concern  
 GO TO Q. #136 =====> < 4 > (VOL) Not sure  
 GO TO Q. #136 =====> < 5 > (VOL) Refused

\*\*\* QUESTION #136 \*\*\*

-Die- Has concern that...

THE CRADA DOES NOT GUARANTEE AN EXCLUSIVE LICENSE FOR UNANTICIPATED  
 PRODUCTS THAT MIGHT BE DEVELOPED FROM THE CRADA

been a major concern, a minor concern or not really a concern?

GO TO Q. #137 =====> < 1 > Major concern  
 GO TO Q. #137 =====> < 2 > Minor concern  
 GO TO Q. #137 =====> < 3 > Not really a concern  
 GO TO Q. #137 =====> < 4 > (VOL) Not sure  
 GO TO Q. #137 =====> < 5 > (VOL) Refused

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\*\*\* QUESTION #137 \*\*\*

-D1f- Has concern that...

THE GOVERNMENT MAY NOT HONOR TERMS OF THE CRADA ABOUT EXCLUSIVITY OF LICENSING PRODUCTS

been a major concern, a minor concern or not really a concern?

GO TO Q. #138 =====> < 1 > Major concern  
 GO TO Q. #138 =====> < 2 > Minor concern  
 GO TO Q. #138 =====> < 3 > Not really a concern  
 GO TO Q. #138 =====> < 4 > (VOL) Not sure  
 GO TO Q. #138 =====> < 5 > (VOL) Refused

\*\*\* QUESTION #138 \*\*\*

&lt;&lt; CONDITIONAL ASSOCIATED WITH THIS QUESTION &gt;&gt;

IF Q#132 NE CODE(S) 1

AND Q#133 NE CODE(S) 1

AND Q#134 NE CODE(S) 1

AND Q#135 NE CODE(S) 1

AND Q#136 NE CODE(S) 1

AND Q#137 NE CODE(S) 1

THEN GO TO Q. #139 ELSE GO TO Q. #138

! IF NO MAJOR CONCERNS IN D1a-f SKIP TO D3 ELSE D2

-D2- Have any of these concerns actually caused [Q36]###

to choose not to pursue or not to continue a [Q117]### CRADA?

GO TO Q. #139 =====> < 1 > Yes, chose not to pursue  
 GO TO Q. #139 =====> < 2 > Yes, chose not to continue  
 GO TO Q. #139 =====> < 3 > Yes, both  
 GO TO Q. #139 =====> < 4 > No  
 GO TO Q. #139 =====> < 5 > (VOL) Not sure  
 GO TO Q. #139 =====> < 6 > (VOL) Refused

\*\*\* QUESTION #139 \*\*\*

-D3- "In general which of the following BEST characterizes the ATTITUDES of [Q36]###'s having a

[Q117]### CRADA? (READ LIST)

GO TO Q. #140 =====> < 1 > THE BENEFITS GREATLY OUTWEIGH THE RISKS AND EXPENSES  
 GO TO Q. #140 =====> < 2 > THE BENEFITS SOMEWHAT OUTWEIGH THE RISKS AND EXPENSES  
 GO TO Q. #140 =====> < 3 > THE BENEFITS ARE ABOUT EQUAL TO THE RISKS AND EXPENSES  
 GO TO Q. #140 =====> < 4 > THE RISKS AND EXPENSES SOMEWHAT EXCEED THE BENEFITS  
 GO TO Q. #140 =====> < 5 > THE RISKS AND EXPENSES GREATLY EXCEED THE BENEFITS  
 GO TO Q. #140 =====> < 6 > (VOL) None of these  
 GO TO Q. #140 =====> < 7 > (VOL) Not sure  
 GO TO Q. #140 =====> < 8 > (VOL) Refused

\*\*\* QUESTION #140 \*\*\*

! SECTION E: RETURNS ON INVESTMENT IN CRADA

Earlier we asked about the terms of your [Q117]### CRADA(s); now we want to ask you about actual results.

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(ENTER TWICE TO CONTINUE)

```

===== < 1 > Text screen
-- TEX$ SCREEN --

```

\*\*\* QUESTION #141 \*\*\*

-E1- How important have the intellectual contributions of government scientists been to [Q36] ###'s CRADA project?

Would you say... (READ LIST

```

GO TO Q. #142 =====> < 1 > VERY IMPORTANT
GO TO Q. #142 =====> < 2 > SOMEWHAT IMPORTANT
GO TO Q. #142 =====> < 3 > NOT TOO IMPORTANT
GO TO Q. #142 =====> < 4 > NOT AT ALL IMPORTANT
GO TO Q. #142 =====> < 5 > (VOL) Not sure
GO TO Q. #142 =====> < 6 > (VOL) Refused

```

\*\*\* QUESTION #142 \*\*\*

-E2- Did the government actually provide biological samples, biomaterials other materials or equipment as part of

[Q36]###'S CRADA(s)?

```

GO TO Q. #143 =====> < 1 > Yes
GO TO Q. #144 =====> < 2 > No
GO TO Q. #144 =====> < 3 > (VOL) Not sure
GO TO Q. #144 =====> < 4 > (VOL) Refused

```

\*\*\* QUESTION #143 \*\*\*

-E3- How important was the use of these materials or equipment to

[Q36]###? Would you say... (READ LIST

```

===== < 1 > VERY IMPORTANT
GO TO Q. #144 =====> < 2 > SOMEWHAT IMPORTANT
GO TO Q. #144 =====> < 3 > NOT TOO IMPORTANT
GO TO Q. #144 =====> < 4 > NOT AT ALL IMPORTANT
GO TO Q. #144 =====> < 5 > (VOL) Not sure
GO TO Q. #144 =====> < 6 > (VOL) Refused

```

\*\*\* QUESTION #144 \*\*\*

-E4- As part of [Q36] ###'s

[Q117]### CRADA(s), did the government make available for use biological samples, biomaterials, other materials or equipment that would be unavailable or prohibitively expensive to the company outside the CRADA(S)?

```

GO TO Q. #145 =====> < 1 > Yes
GO TO Q. #145 =====> < 2 > No
GO TO Q. #145 =====> < 3 > (VOL) Not sure
GO TO Q. #145 =====> < 4 > (VOL) Refused

```

\*\*\* QUESTION #145 \*\*\*

-E5- Did Government scientists contribute original research ideas to 36 ### that would not have been available without the CRADA(s)?

```

#146 =====> < 1 > Yes
GO TO Q. #146 =====> < 2 > No
GO TO Q. #146 =====> < 3 > (VOL) Not sure
GO TO Q. #146 =====> < 4 > (VOL) Refused

```

\*\*\* QUESTION #146 \*\*\*

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-E6- Did government scientists provide technical know-how to [Q36]### that would not have been available without the CRADA(s)?

- #147 =====> < 1 > Yes
- GO TO Q. #147 =====> < 2 > No
- GO TO Q. #147 =====> < 3 > (VOL) Not sure
- GO TO Q. #147 =====> < 4 > (VOL) Refused

\*\*\* QUESTION #147 \*\*\*

-E7- Throughout the [Q117]### CRADA(s) did [Q36]###'s scientists form working relationships with government scientists that have continued or you expect to continue beyond the terms of the CRADA(s)?

- GO TO Q. #148 =====> < 1 > Yes
- GO TO Q. #149 =====> < 2 > No
- GO TO Q. #149 =====> < 3 > (VOL) Not sure
- GO TO Q. #149 =====> < 4 > (VOL) Refused

\*\*\* QUESTION #148 \*\*\*

-E7a- Are these simply informal working relationships, or is the intent possibly to seek another CRADA or an extension of the current one(s)?

- GO TO Q. #149 =====> < 1 > Informal
- GO TO Q. #149 =====> < 2 > Seek further CRADA
- GO TO Q. #149 =====> < 3 > (VOL) Not sure
- GO TO Q. #149 =====> < 4 > (VOL) Refused

\*\*\* QUESTION #149 \*\*\*

-E8- Did your CRADA(s) result in an orphan drug or do you anticipate that it will?

- GO TO Q. #150 =====> < 1 > Yes, has resulted
- GO TO Q. #150 =====> < 2 > Yes, anticipated
- GO TO Q. #150 =====> < 3 > Yes, both
- GO TO Q. #150 =====> < 4 > No
- GO TO Q. #150 =====> < 5 > (VOL) Not sure
- GO TO Q. #150 =====> < 6 > (VOL) Refused

\*\*\* QUESTION #150 \*\*\*

-E16- If [Q36]### had the option to do it over again, would they repeat the CRADA(s) for all, most, some, a few or none of them?

- GO TO Q. #151 =====> < 1 > All
- GO TO Q. #151 =====> < 2 > Most
- GO TO Q. #151 =====> < 3 > Some
- GO TO Q. #151 =====> < 4 > Few
- GO TO Q. #151 =====> < 5 > None
- GO TO Q. #151 =====> < 6 > (VOL) Not sure
- GO TO Q. #151 =====> < 7 > (VOL) Refused

\*\*\* QUESTION #151 \*\*\*

!SECTION F: ADMINISTRATIVE PROCESS OF FORMING CRADAs

-F1a- How did [Q36]### first become aware of [Q117]### CRADAs? (READ LIST - MULTIPLE RECORD

- Go To Q. #153 =====> < 1 > JOURNAL OR NEWSLETTER ARTICLE
- GO TO Q. #153 =====> < 2 > ADVERTISEMENT IN JOURNAL OR NEWSLETTER
- GO TO Q. #153 =====> < 3 > PROFESSIONAL MEETING OR TRADE SHOW



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-F1e- How effective are the U.S. government's efforts to raise [Q36]###'s awareness of CRADAs with Federal laboratories? Would you say . . . . (READ LIST)

- GO TO Q. #158 =====> < 1 > VERY EFFECTIVE
- GO TO Q. #158 =====> < 2 > SOMEWHAT EFFECTIVE
- GO TO Q. #157 =====> < 3 > SOMEWHAT INEFFECTIVE
- GO TO Q. #157 =====> < 4 > VERY INEFFECTIVE
- GO TO Q. #158 =====> < 5 > (VOL) Not sure
- GO TO Q. #158 =====> < 6 > (VOL) Refused

\*\*\* QUESTION #157 \*\*\*

-F1f- How could the process be improved?

(ENTER RESPONSES ON SAF NEXT TO F1f, THEN, ENTER TWICE TO CONTINUE)

- GO TO Q. #158 =====> < 1 > Text screen
- TEXT SCREEN --

\*\*\* QUESTION #158 \*\*\*

-F2- Would you characterize the government's involvement in writing the CRADA application(s) as: (READ LIST)

- 1 > VERY HELPFUL TO [ 36]###
- 2 > SOMEWHAT HELPFUL TO [Q36]###
- 3 > NEITHER HELPFUL NOR OBSTRUCTIVE
- 4 > SOMEWHAT OBSTRUCTIVE
- 5 > VERY OBSTRUCTIVE
- GO TO Q. #159 =====> < 1 > \*Very helpful to your (parent) company
- GO TO Q. #159 =====> < 2 > \*Somewhat helpful to your (parent) company
- GO TO Q. #159 =====> < 3 > \*Neither helpful nor obstructive
- GO TO Q. #159 =====> < 4 > \*Somewhat obstructive
- GO TO Q. #159 =====> < 5 > \*Very obstructive
- GO TO Q. #159 =====> < 6 > (VOL) Not sure
- GO TO Q. #159 =====> < 7 > (VOL) Refused

\*\*\* QUESTION #159 \*\*\*

-F3- Did the government require that you use a model form for any CRADA application(s)?

- =====> < 1 > Yes
- GO TO Q. #161 =====> < 2 > No
- GO TO Q. #161 =====> < 3 > (VOL) Not sure
- GO TO Q. #161 =====> < 4 > (VOL) Refused

\*\*\* QUESTION #160 \*\*\*

-F3a- Would you characterize the model form as: (READ LIST)

- GO TO Q. #161 =====> < 1 > VERY HELPFUL
- GO TO Q. #161 =====> < 2 > SOMEWHAT HELPFUL
- GO TO Q. #161 =====> < 3 > NEITHER HELPFUL NOR OBSTRUCTIVE
- GO TO Q. #161 =====> < 4 > SOMEWHAT OBSTRUCTIVE
- GO TO Q. #161 =====> < 5 > VERY OBSTRUCTIVE
- GO TO Q. #161 =====> < 6 > (VOL) Not sure
- GO TO Q. #161 =====> < 7 > (VOL) Refused

\*\*\* QUESTION #161 \*\*\*

-F4- In any CRADA application(s), did [Q36]###

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seek exclusive licensing of patents that might result from your CRADA?

GO TO Q. #162 =====> < 1 > Yes  
 GO TO Q. #163 =====> < 2 > No  
 GO TO Q. #163 =====> < 3 > (VOL) Not sure  
 GO TO Q. #163 =====> < 4 > (VOL) Refused

\*\*\* QUESTION #162 \*\*\*

-F4a- Was the scope of such licenses an issue in the negotiations?

GO TO Q. #163 =====> < 1 > Yes  
 GO TO Q. #163 =====> < 2 > No  
 GO TO Q. #163 =====> < 3 > (VOL) Not sure  
 GO TO Q. #163 =====> < 4 > (VOL) Refused

\*\*\* QUESTION #163 \*\*\*

-F5- In any of its [Q117] ### CRADA application(s), did [Q36] ### seek exclusive licensing of government held patents that are material to the CRADA but are not based on the CRADA?

GO TO Q. #164 =====> < 1 > Yes  
 GO TO Q. #164 =====> < 2 > No  
 GO TO Q. #164 =====> < 3 > (VOL) Not sure  
 GO TO Q. #164 =====> < 4 > (VOL) Refused

\*\*\* QUESTION #164 \*\*\*

-F5a- Was the scope of such licenses a major issue, a minor issue or not really an issue at all in the negotiations?

GO TO Q. #165 =====> < 1 > Major Issue  
 GO TO Q. #165 =====> < 2 > Minor issue  
 GO TO Q. #165 =====> < 3 > Not really an issue  
 GO TO Q. #165 =====> < 4 > (VOL) Not sure  
 GO TO Q. #165 =====> < 5 > (VOL) Refused

\*\*\* QUESTION #165 \*\*\*

!! IF YES TO B1c AND NO TO B1b SKIP TO F6 ELSE F5b  
 -F5b- Did you receive the exclusive licensing of government held patents?

GO TO Q. #166 =====> < 1 > Yes  
 GO TO Q. #166 =====> < 2 > No  
 GO TO Q. #166 =====> < 3 > (VOL) Not sure  
 GO TO Q. #166 =====> < 4 > (VOL) Refused

\*\*\* QUESTION #166 \*\*\*

-F6- Was there a government administrator who was clearly responsible for coordinating the CRADA application process or for negotiating the terms of the CRADA?

GO TO Q. #168 =====> < 1 > Yes  
 GO TO Q. #167 =====> < 2 > No  
 GO TO Q. #168 =====> < 3 > (VOL) Not sure  
 GO TO Q. #168 =====> < 4 > (VOL) Refused

\*\*\* QUESTION #167 \*\*\*

-F6a- Would it have been helpful to have the process coordinated by an administrator?

GO TO Q. #168 =====> < 1 > Yes  
 GO TO Q. #169 =====> < 2 > No

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GO TO Q. #169 =====> < 3 > (VOL) Not sure  
GO TO Q. #169 =====> < 4 > (VOL) Refused

\*\*\* QUESTION #168 \*\*\*

-F6b- Would you characterize the contribution of this administrator to the application process as: READ LIST)

===== < 1 > VERY HELPFUL  
GO TO Q. #169 =====> < 2 > SOMEWHAT HELPFUL  
GO TO Q. #169 =====> < 3 > NEITHER HELPFUL NOR OBSTRUCTIVE  
GO TO Q. #169 =====> < 4 > SOMEWHAT OBSTRUCTIVE  
GO TO Q. #169 =====> < 5 > VERY OBSTRUCTIVE  
GO TO Q. #169 =====> < 6 > (VOL) Not sure  
GO TO Q. #169 =====> < 7 > (VOL) Refused

\*\*\* QUESTION #169 \*\*\*

-F7- To your knowledge, was your CRADA application(s) reviewed by a government committee?

GO TO Q. #170 =====> < 1 > Yes  
GO TO Q. #174 =====> < 2 > No  
GO TO Q. #174 =====> < 3 > (VOL) Not sure  
GO TO Q. #174 =====> < 4 > (VOL) Refused

\*\*\* QUESTION #170 \*\*\*

Were any of the following true of [Q36]###'s experience with the [Q117]### CRADA review committee?

(ENTER TWICE To continue)

GO TO Q. #171 =====> < 1 > Text screen  
-- TEXT SCREEN --

\*\*\* QUESTION #171 \*\*\*

-F8a- The (first/next) is...

THE COMMITTEE'S REVIEW TOOK LONGER THAN WAS REASONABLE FOR THE COMPLEXITY OF THE AGREEMENT UNDER REVIEW

(Was this true of [Q36]###'s experience with the [Q117]### CRADA review committee?)

GO TO Q. #172 =====> < 1 > Yes  
GO TO Q. #172 =====> < 2 > No  
GO TO Q. #172 =====> < 3 > (VOL) Not sure  
GO TO Q. #172 =====> < 4 > (VOL) Refused

\*\*\* QUESTION #172 \*\*\*

-F8b- The (first/next) is...

THE COMMITTEE POINTED OUT AMBIGUITIES OR PROBLEMS IN THE DRAFT AGREEMENT THAT WERE OR MIGHT HAVE BEEN IMPORTANT TO RESOLVE

(Was this true of [Q36]###'s experience with the [Q117]### CRADA review committee?)

GO TO Q. #173 =====> < 1 > Yes  
GO TO Q. #173 =====> < 2 > No  
GO TO Q. #173 =====> < 3 > (VOL) Not sure  
GO TO Q. #173 =====> < 4 > (VOL) Refused

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\*\*\* QUESTION #173 \*\*\*

-F8c- The (first/next) is...

IN LATER ROUNDS OF REVIEW, THE COMMITTEE TOOK ISSUE WITH ELEMENTS OF THE AGREEMENT THAT THEY OVERLOOKED IN EARLIER ROUNDS

(Was this true of [Q36] ###'s experience with the [Q117]## CRADA review committee?)

GO TO Q. #174 =====> < 1 > Yes  
 GO TO Q. #174 =====> < 2 > No  
 GO TO Q. #174 =====> < 3 > (VOL) Not sure  
 GO TO Q. #174 =====> < 4 > (VOL) Refused

\*\*\* QUESTION #174 \*\*\*

\*GO TO Nonprofit QUESTIONS

GO TO Q. #183 =====> < 1 > Skip to F9a  
 GO TO Q. #183 =====> < 2 > \*hold

\*\*\* QUESTION #175 \*\*\*

!SECTION G: CRADAs FROM THE POINT OF VIEW OF COMPANIES THAT HAVE  
 !NOT APPLIED FOR CRADAs

-G1- Had you ever heard of CRADAs?

GO TO Q. #176 =====> < 1 > Yes  
 GO TO Q. #183 =====> < 2 > No  
 GO TO Q. #183 =====> < 3 > (VOL) Not sure  
 GO TO Q. #183 =====> < 4 > (VOL) Refused

\*\*\* QUESTION #176 \*\*\*

-G2- Would [Q36]### ever consider developing one?

GO TO Q. #178 =====> < 1 > Yes  
 GO TO Q. #178 =====> < 2 > No  
 GO TO Q. #178 =====> < 3 > Other  
 -- ABOVE ANSWER ASSOCIATED WITH OPEN END QUESTION #177 --  
 GO TO Q. #178 =====> < 4 > (VOL) Not sure  
 GO TO Q. #178 =====> < 5 > (VOL) Refused

\*\*\* QUESTION #177 \*\*\*

-G2- Other view on developing a CRADA

GO TO Q. #178 =====> < 1 > Associated other open end  
 -- MULTI-PUNCH --  
 -- ANSWER REQUIRED --

\*\*\* QUESTION #178 \*\*\*

-G2a- Has [Q36]### ever made contacts with government scientists or officials to explore the possibility of a CRADA?

GO TO Q. #179 =====> < 1 > Yes  
 GO TO Q. #182 =====> < 2 > No  
 GO TO Q. #182 =====> < 3 > (VOL) Not sure  
 GO TO Q. #182 =====> < 4 > (VOL) Refused

\*\*\* QUESTION #179 \*\*\*

-G3- Is it proceeding?

GO TO Q. #180 =====> < 1 > Yes  
 GO TO Q. #181 =====> < 2 > No

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GO TO Q. #181 =====> < 3 > (VOL) Not sure  
 GO TO Q. #181 =====> < 4 > (VOL) Refused

\*\*\* QUESTION #180 \*\*\*

-G3a- How is it going?

(ENTER RESPONSES ON SAF NEXT TO G3a, THEN,  
 ENTER TWICE TO CONTINUE)

GO TO Q. #182 =====> < 1 > Text screen  
 -- TEXT SCREEN --

\*\*\* QUESTION #181 \*\*\*

-G3b- Why has it been stopped?

(ENTER RESPONSES ON SAF NEXT TO G3b, THEN,  
 ENTER TWICE TO CONTINUE)

GO TO Q. #182 =====> < 1 > Text screen  
 -- TEXT SCREEN --

\*\*\* QUESTION #182 \*\*\*

-G4- How likely is it that [Q36]### will apply  
 for life science CRADAs in the near future? (READ LIST)

GO TO Q. #183 =====> < 1 > VERY LIKELY,  
 GO TO Q. #183 =====> < 2 > SOMEWHAT LIKELY,  
 GO TO Q. #183 =====> < 3 > SOMEWHAT UNLIKELY OR  
 GO TO Q. #183 =====> < 4 > VERY UNLIKELY?  
 GO TO Q. #183 =====> < 5 > (VOL) Not sure  
 GO TO Q. #183 =====> < 6 > (VOL) Refused

\*\*\* QUESTION #183 \*\*\*

Now, a few last questions about your company's relations with  
 non-profit research institutions outside of the United States.

(ENTER TWICE TO CONTINUE)

=====> < 1 > Text screen  
 -- TEXT SCREEN --

\*\*\* QUESTION #184 \*\*\*

-F9a- Does your company have rights to intellectual property  
 licensed (or otherwise obtained from foreign non-profit research  
 institutions?

GO TO Q. #185 =====> < 1 > Yes  
 GO TO Q. #186 =====> < 2 > No  
 GO TO Q. #186 =====> < 3 > (VOL) Not sure  
 GO TO Q. #186 =====> < 4 > (VOL) Refused

\*\*\* QUESTION #185 \*\*\*

-F9b- Could you describe that agreement?

(ENTER RESPONSES ON SAF NEXT TO F9b, THEN,  
 ENTER TWICE TO CONTINUE)

=====> < 1 > Text screen  
 -- TEXT SCREEN --

\*\*\* QUESTION #186 \*\*\*

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-F10a- Does your company participate in collaborative research agreements with foreign non-profit research institutions, in which you obtain or share intellectual property rights?

GO TO Q. #187 =====> < 1 > Yes  
 GO TO Q. #188 =====> < 2 > No  
 GO TO Q. #188 =====> < 3 > (VOL) Not sure  
 GO TO Q. #188 =====> < 4 > (VOL) Refused

\*\*\* QUESTION #187 \*\*\*

-F10b- Could you describe that agreement?

{ENTER RESPONSES ON SAF NEXT TO F10b, THEN,  
 . ENTER TWICE TO CONTINUE)

===== < 1 > Text screen  
 -- TEXT SCREEN --

\*\*\* QUESTION #188 \*\*\*

-F11a- Does your company have rights to intellectual property licensed from other U.S. institutions, who had previously obtained rights from foreign non-profit research institutions?

Go To Q. #189 =====> < 1 > Yes  
 GO TO Q. #190 =====> < 2 > No  
 GO TO Q. #190 =====> < 3 > (VOL) Not sure  
 GO TO Q. #190 =====> < 4 > (VOL) Refused

\*\*\* QUESTION #189 \*\*\*

-F11b- Could you describe that agreement?

(ENTER RESPONSES ON SAF NEXT TO F11b, THEN,  
 . ENTER TWICE TO CONTINUE)

===== < 1 > Text screen  
 -- TEXT SCREEN --

\*\*\* QUESTION #190 \*\*\*

-F12- Finally, do you have any suggestions for improving National Institutes of Health and Department of Energy processes for technology transfer to industry?

(ENTER RESPONSES ON SAF NEXT TO F12, THEN,  
 . ENTER TWICE TO CONTINUE)

===== < 1 > Text screen  
 -- TEXT SCREEN --

\*\*\* QUESTION #191 \*\*\*

That completes the survey. Thank you very much for your time and cooperation!

(INTERVIEWER; PREPARE TO ENTER OPEN ENDS FROM SAF INTO CATI)

(ENTER TWICE TO CONTINUE)

GO TO . #192 =====> < 1 > Text screen  
 -- TEXT SCREEN --

\*\*\* QUESTION #192 \*\*\*

<< CONDITIONAL ASSOCIATED WITH THIS QUESTION >>

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IF Q#111 EQ CODE(S) 1 (CONDITIONAL #60)  
 THEN GO TO Q.#192 ELSE GO TO Q.#193.  
 ENTER RESPONSES FROM SAF B6b HERE:

-B6b- How have they (NIH/DOE CRADAs) differed?

GO TO Q. #193 =====> < 1 > Open end  
 -- MULTI-PUNCH --  
 -- ANSWER REQUIRED --

\*\*\* QUESTION #193 \*\*\*  
 << CONDITIONAL ASSOCIATED WITH THIS QUESTION >>  
 IF Q#156 EQ CODE(S) 3,4 (CONDITIONAL #61)  
 THEN GO TO Q.#193 ELSE GO TO Q.#194.  
 ENTER RESPONSES FROM SAF F1f HERE:

-F1f- How could the process be improved?

GO TO Q. #194 =====> < 1 > Open end  
 -- MULTI-PUNCH --  
 -- ANSWER REQUIRED --

\*\*\* QUESTION #194 \*\*\*  
 << CONDITIONAL ASSOCIATED WITH THIS QUESTION >>  
 IF Q#179 EQ CODE(S) 1 (CONDITIONAL # 62)  
 THEN GO TO Q.#194 ELSE GO TO Q.#195.  
 ENTER RESPONSES FROM SAF G3a HERE:

-G3a- How is it going?

GO TO Q. #195 =====> < 1 > Open end  
 -- MULTI-PUNCH --  
 -- ANSWER REQUIRED --

\*\*\* QUESTION #195 \*\*\*  
 << CONDITIONAL ASSOCIATED WITH THIS QUESTION >>  
 IF Q#179 EQ CODE(S) 2-4 (CONDITIONAL # 63)  
 THEN GO TO Q.#195 ELSE GO TO Q.#196.  
 ENTER RESPONSES FROM SAF G3b HERE :

-G3b- Why has it been stopped?

GO TO Q. #196 =====> < 1 > Open end  
 -- MULTI-PUNCH --  
 -- ANSWER REQUIRED --

\*\*\* QUESTION #196 \*\*\*  
 << CONDITIONAL ASSOCIATED WITH THIS QUESTION >>  
 IF Q#184 EQ CODE(S) 1 (CONDITIONAL #64)  
 THEN GO TO Q.#196 ELSE GO TO Q.#197.  
 ENTER RESPONSES FROM SAF F9b HERE

-F9b- Could you describe that agreement?

GO TO Q. #197 =====> < 1 > Open end  
 -- MULTI-PUNCH --  
 -- ANSWER REQUIRED --

\*\*\* QUESTION #197 \*\*\*  
 << CONDITIONAL ASSOCIATED WITH THIS QUESTION >>

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IF Q#186 EQ CODE(S) 1 (CONDITIONAL # 65)  
 THEN GO TO Q.#197 ELSE GO TO Q.#198.  
 ENTER RESPONSES FROM SAF F10b HERE:

-F10b- Could you describe that agreement?  
 GO TO Q. #198 =====> < 1 > Open end  
 -- MULTI-PUNCH --  
 -- ANSWER REQUIRED --

\*\*\* QUESTION #198 \*\*\*  
 << CONDITIONAL ASSOCIATED WITH THIS QUESTION >>  
 IF Q#188 EQ CODE(S) 1 (CONDITIONAL # 66)  
 THEN GO TO Q.#198 ELSE GO TO Q.#199.  
 ENTER RESPONSES FROM SAF F11b HERE:

-F11b- Could you describe that agreement?  
 GO TO Q. #199 =====> < 1 > Open end  
 -- MULTI-PUNCH --  
 -- ANSWER REQUIRED --

\*\*\* QUESTION #199 \*\*\*  
 ENTER RESPONSES FROM SAF F12 HERE:

-F12- Finally, do you have any suggestions for improving National  
 Institutes of Health and Department of Energy processes for technology  
 transfer to industry?  
 GO TO Q. #200 =====> < 1 > Open end  
 -- MULTI-PUNCH --  
 -- ANSWER REQUIRED --

\*\*\* QUESTION #200 \*\*\*  
 INTERVIEWER: COMPLETE YOUR SAF WITH THE FOLLOWING INFORMATION:

1 - PHONE NUMBER:

2 - ELAPSED TIME: \ HIT TAB KEY

3 - BATCH ID:

4 - CATI RESP #:

{ENTER YOUR INITIALS TO COMPLETE)  
 GO TO Q. #201 =====> < 1 > Open end single mention  
 -- ANSWER REQUIRED --