

## Innotech Follow-up Survey

Application ID: \_\_\_\_\_

Respondent Type:

M1 Respondent Type:	
Leader	1
Partner	2

Rule for choosing partner: where if the leader is a research institute, we interview the partner that is a firm and constitutes the highest share of budget if there are multiple firms; and if the leader is a firm, the partner that is a research institute and constitutes the highest share of budget if there are multiple research institutes.

M2 Respondent's institution Type	
Research institution	1
Enterprise	2

M3 Call for Proposals Round:	
CFP1	1
CFP2	2

Name of Institution: \_\_\_\_\_

Date of Survey: Day \_\_\_\_\_ Month \_\_\_\_\_ Year \_\_\_\_\_

*Introduction: Innotech is a program of NCBIR that supports research entities and businesses in carrying out innovative projects representing various scientific and industrial areas. We are contacting you on behalf of the World Bank and NCBIR because your organization was part of a consortium that applied for an InTech grant. All information you provide will be kept strictly confidential and used for research purposes only.*

### Section A: Basic Information about the Innotech Application

*About the Innotech Application*

A1 – According to NCBIR records, the title of the project your organization applied for was the following?

A1	_____
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Throughout the remainder of this interview, we will refer to this project as the “Innotech project”.

A2. Please make sure we are talking with the lead researcher or lead business partner in charge of this proposed project from your institution's side.

A2a: Name of respondent: \_\_\_\_\_

A2b: Position of respondent

If M2=2	If M2=1
1. Owner/chairman/president/ board member 2. high level managers (company director) 3. medium level managers (head of departments, project managers) 4. line managers (head of sections, team leaders) 5. Chief/senior experts 6. other experts 7. other employees	1. scientist without managing responsibilities 2. scientist with managing responsibilities at the level of <ol style="list-style-type: none"> <li>research team</li> <li>department of a faculty</li> <li>faculty</li> <li>university</li> </ol>

A2c: Contact details of respondent:

- i) Phone number: \_\_\_\_\_
- ii) Email address: \_\_\_\_\_

A3: What is the current operating status of the enterprise or research institution that you applied for this project under:

	A3
Continues to operate under the same name as in the initial application	1
Institution is currently in operation but has changed its name (specify new name) _____	2
Enterprise or institution has closed down	3

A4 Did the project you applied with get a grant from public money?

Yes	1 → Go to A4.1
No	2 → Go to A4.2

A4.1– What was the funding outcome of this project?

	A4
Funded by NCBIR through Innotech	1
Funded by NCBIR through another program	2
Funded by another funding agency	3

A4.2– Did you started the project besides getting no grant?

No, the project was not launched	1
Yes, we started the project using internal money	2
Yes, we started the project using external money	3

IF A4.2=1 DO NOT ASK: C1a, c2a, c3a, c4, c5a, c6a, c7c, c14a, c15a, c16, c17, d1-d9.

## Section B: About the Consortia and Collaboration

According to our records your application was from a consortium consisting of the following:

Leader \_\_\_\_\_

Partner 1 \_\_\_\_\_

Partner 2 \_\_\_\_\_

Partner 3 \_\_\_\_\_

Partner 4 \_\_\_\_\_

**B1: IF PARTNER**

What is the NIP number of your organization? \_\_\_\_\_

**B2: IF LEADER:** Did you collaborate with **Partner 1** before applying to the program?

**IF PARTNER:** Did you collaborate with **Leader** before applying to the program?

	B2
Yes	1
No	2 → Go to B5
Don't know/Don't remember	999 → Go to B5

**B3:** What year did you begin this collaboration? \_\_\_\_\_ / Don't know 999

**B4 –** What was the nature of this collaboration?

	Yes	No
a. Joint R&D project	1	0
b. Purchase of R&D services	1	0
c. Technological consultancy	1	0
d. Licensing/patent registration	1	0
e. Test of a new prototype	1	0
f. Preparation of technical documentation	1	0
g. Co-authored research publication	1	0
h. Sold a product developed by them	1	0
i. Other (specify)	1	0

**B5 – IF LEADER** How did your first or proposed collaboration with Partner 1 form?

	B5
Partner 1 contacted us → Go to B7	1
We contacted Partner 1	2
We met at a trade fair → Go to B7	3

Other (specify) → Go to B7	4
Don't know/Don't remember	999

*IF PARTNER* How did your first or proposed collaboration with Leader form?

B6 – *IF LEADER* How did you find out about Partner 1?

*IF PARTNER* How did you find out about Leader?

Business directory	1
Chamber of commerce	2
From business partners/other acquaintances	3
Thanks to personal relationships	4
I had studied at this institution	5
Contacted institution to find out researchers working in this field	6
Followed research work of institution	7
Other (specify)	8

B7 –

*IF LEADER*: Did you collaborate with Partner 1 since making the Innotech application?

*IF PARTNER*: Did you collaborate with Leader since making the Innotech application?

	B4
Yes, we worked together on the Innotech project only	1
Yes, we worked together on the Innotech project and on other projects	2
Yes, we worked together on another project, but not on the Innotech project	3
No, we did not end up working together during this timeframe	4 → Go to B9
Don't know/Don't remember	999

B8 – What was the nature of this collaboration that took place during the past 5 years (since applying for Innotech together)?

	Yes	No
a. Joint R&D project	1	0
b. Purchase of R&D services	1	0
c. Technological consultancy	1	0
d. Licensing	1	0
e. registration of common patent	1	0
f. Test of a new prototype	1	0
g. Preparation of technical documentation	1	0
h. Co-authored research publication	1	0
i. Sold a product developed by them	1	0
j. Other (specify)	1	0

Go to B10

B9 – *IF LEADER*: What is the main reason why you did not collaborate with Partner 1 since applying for Innotech (during the past 5 years (2011 to 2015))?

	B9
Lack of funding/lack of grant for the project	1
We had confidentiality concerns	2
Partner 1 does not understand our needs sufficiently	3
Partner 1 is difficult to work with	4
Other (Specify)	5

Go to B 12

*IF PARTNER*: What is the main reason why you did not collaborate with Leader since applying for Innotech (during the past 5 years (2011 to 2015))?

	B9
Lack of funding/ lack of grant for the project	1
We had confidentiality concerns	2
Leader does not understand our needs sufficiently	3
Leader is difficult to work with	4
Other (Specify)	5

Go to B12

B10 – *IF LEADER* Are you currently still collaborating with Partner 1?

*IF PARTNER*: Are you currently still collaborating with Leader?

	B10
Yes	1
No	2 →GO TO B12

B11 – *IF LEADER*: How frequently do you communicate with Partner 1?

*IF PARTNER*: How frequently do you communicate with Leader?

	B11
At least once a day	1
At least once a week	2
At least once a month	3
Other (specify)	4

**QUESTIONS TO BE ASKED ONLY IF THERE IS A SECOND PARTNER**

*If there are three or more partners, the second partner should be the partner with the second highest share of the budget of the project.*

B12: Did you collaborate with **Partner 2** before applying to the program?

	B12
Yes	1

No	2 → Go to B15
Don't know	999 → Go to B15

B13: What year did you begin this collaboration? \_\_\_\_\_/Don't know/Don't remember 999

B14 – What was the nature of this collaboration?

	Yes	No
a. Joint R&D project	1	0
b. Purchase of R&D services	1	0
c. Technological consultancy	1	0
d. Licensing	1	0
e. Registration of common patent	1	0
f. Test of a new prototype	1	0
g. Preparation of technical documentation	1	0
h. Co-authored research publication	1	0
i. Sold a product developed by them	1	0
ii. j. Other (specify)	1	0

B15 – How did your first or proposed collaboration with Partner 2 form?

	B15
Partner 2 contacted us	1
We contacted Partner 2	2
We met at a trade fair	3
Thanks to personal relationships	4
Other (specify)	5
Don't know/Don't remember	999

B16 – Did you collaborate with Partner 2 since making the Innotech application?

	B16
Yes, we worked together on the Innotech project only	1
Yes, we worked together on the Innotech project and on other projects	2
Yes, we worked together on another project, but not on the Innotech project	3
No, we did not end up working together during this timeframe	4 → Go to B18

B17 – What was the nature of this collaboration that took place with PARTNER 2 during the past 5 years (since applying for Innotech together)?

	Yes	No
a. Joint R&D project	1	0
b. Purchase of R&D services	1	0
c. Technological consultancy	1	0
d. Licensing	1	0

e. Registration of common patent	1	0
f. Test of a new prototype	1	0
g. Preparation of technical documentation	1	0
h. Co-authored research publication	1	0
i. Sold a product developed by them	1	0
j. Other (specify)	1	0

Go to B19

B18 –What is the main reason why you did not collaborate with Partner 2 since applying for Innotech (during the past 5 years (2011 to 2015))?

	B18
Lack of funding	1
We had confidentiality concerns	2
Partner 1 does not understand our needs sufficiently	3
Partner 1 is difficult to work with	4
Other (Specify)	5

Go to B21

B19– Are you currently still collaborating with Partner 2?

	B19
Yes	1
No	2 →GO TO B21

B20 How frequently do you communicate with Partner 2?

	B20
At least once a day	1
At least once a week	2
At least once a month	3
Other (specify)	4

*Questions about collaboration outside of this initial consortium – we are interested in research-industry collaboration, so don't need to ask about all collaborators on research etc.*

B21 In the past five years (2011 to 2015) have you collaborated with another firm, research institute, or university apart from the collaborators that were part of the consortia for the Innotech project?

	B21
Yes	1
No	2 → Go to B24
Don't know/Don't remember	999 → Go to B24

B22: Which of the following forms of collaboration did you take part in with these other collaborators during the past five years?

	Yes	No
a. Joint R&D project	1	0
b. Purchase of R&D services	1	0
c. Technological consultancy	1	0
d. Licensing	1	0
e. Registration of common patent	1	0
f. Test of a new prototype	1	0
g. Preparation of technical documentation	1	0
h. Co-authored research publication	1	0
i. Sold a product developed by them	1	0
j. Other (specify)	1	0

B23 – Did any of the following stages of the idea to market process occur through these collaborations?

	Yes	No
a. Firm and researcher developed initial idea together	1	0
b. Firm approached researcher with market opportunity/problem to solve	1	0
c. Researcher had completed prototype and approached firm to try and get this to market	1	0
d. Other (specify)	1	0

*Barriers or Constraints to More Collaboration*

B24 (removed)

B25: Are you doing as much collaboration with enterprises as you would like?

	B25
Yes	1 → Go to B27
No	2
Difficult to say	99

B26– For academic researchers: What is the most important reason that prevents you from doing more collaboration with firms?

	B17
We have insufficient information about the needs of companies	1
We have no incentives to collaborate with firms	2
We are of the opinion that firms are difficult to work with	3
We have confidentiality concerns	7
We are too busy with day-to-day operations	9
We have insufficient funds	10

No enterprises are directly involved in our type activities	11
Other (specify)	12

B27 –Do you know of firms in your industry that you could talk to if you had ideas to take to market?

	B27
Yes	1 → Go to Section C
No	2 → Go to Section C

B28-B30 ASK ONLY IF FIRM, M2=2

B28 – For firms: Are you doing as much collaboration with researchers at research institutes and universities as you would like?

	B28
Yes	1 → Go to B30
No	2
Difficult to say	99

B29 –What is the most important reason that prevents you from doing more collaboration with researchers at research institutes and universities?

	B17
We have insufficient information about the capabilities of research institutions and/or universities	1
We do not need cooperation as we conduct R&D in-house	2
We are of the opinion that research institutions/universities do not understand our needs	3
The services of research institutions/universities are very expensive	4
The services of research institutions/universities are of bad quality	5
The services of research institutions/universities are not delivered on time	6
We have confidentiality concerns	7
We have no need for innovation and R&D activities	8
We are too busy with day-to-day operations	9
We have insufficient funds	10
No research institutions/universities are directly involved in our type of activities	11
Other (specify)	12

B30 –Do you know of researchers you can ask for ideas/help in solving problems/opportunities facing your firm?

	B30
Yes	1 → Go to Section C
No	2 → Go to Section C

## Section C: Research and Innovation Achieved

*Outcomes of doing research and innovation (timeframe: last 5 years?)*

C1 – During the past 5 years (2011 to 2015) did you apply for a patent related to the Innotech project or any other project?

	C1a for the Innotech project	C2b for any other project
YES	1	1
NO	2	2
Don't remember/Don't remember	99	99

→ If both C1a and C2b are “No” OR “DON'T KNOW”, go to C5

C2 – Where did you apply for this patent?

	ASK IF A4=1 OR A4.2=2 OR=3 C2a for the Innotech project		ASK ALL C2b for any other project	
	Yes	No	Yes	No
Polish Patent Office	1	0	1	0
European Patent Office	1	0	1	0
Other (specify)	1	0	1	0
Don't remember/Don't remember	999		999	

C3 – What type of patent did you apply for?

	ASK IF C1a=1 C3a for the Innotech project		ASK IF C1b=1 C3b for any other project	
	Yes	No	Yes	No
Patent	1	0	1	0
Utility patent	1	0	1	0
Industrial patent				
Design patent	1	0	1	0
topography of integrated circuits	1	0	1	0
Don't remember/ Don't remember	999		999	

C4 – Was the application for this patent approved?

	ASK IF C1a=1 C4a for the Innotech project	ASK IF C1b=1 C4b for any other project
Yes – It was approved	1	1
No – It was denied	2	2

For some application it was approved, and for some denied	3	3
Don't have an answer yet	4	4

C5 – During the past 5 years (2011 to 2015), did you publish any research articles related to the Innotech project or any other project?

	ASK IF A4=1 OR A4.2=2 OR=3 C5a for the Innotech project	ASK ALL C5b for any other project
Yes	1	1
No	2	2

→ If both C5a and C5b are “No”, go to C8

C6 – How many articles did you publish?

	ASK IF C5a=1 C6a for the Innotech project	ASK IF C5b=1 C6b for any other project
C6		

C7 – For your five most important publications past 5 years (2011 to 2015), please provide the following information.

	C7a – Outlet (e.g. name of journal)
1	
2	
3	
4	
5	

C8 – During the past 5 years (2011 to 2015), did you develop any of the following...?

	YES	NO
C8a – Industrial design	1	2
C8b – New product prototype	1	2
C8c – New product	1	2
C8d – Upgraded product	1	2
C8e – New processes	1	2
C8f – Upgraded processes	1	2

#### *R&D processes*

If the respondent is a researcher at a research institute or university, ask questions C9 through C11.

If the respondent is at a firm, ask questions C12 and C13.

C9 – For academic researchers: What percentage of your time did you spend on research on average during the past 5 years (2011 to 2015)?

C9	%
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C10 – For academic researchers: How many people worked in your research team on average during the past 5 years (2011 to 2015)? *Count only individuals in a research role.*

C10	people
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C11 – For academic researchers: What is the total amount of research grants you received during the past 5 years (2011 to 2015)?

C11	PLN	→ Go to C14
9999999999	Don't know/Don't remember	

C12 – For firms: What was the average size of your workforce devoted to R&D during the past 5 years (2011 to 2015)?

C12	people
999	Don't know/Don't remember

C13 – For firms: What is the total amount your firm spent on research and development (R&D) during the past 5 years (2011 to 2015)?

C13	PLN
999	Don't know/Don't remember

C14 – During the past 5 years (2011 to 2015), did you receive funding for research projects (including the Innotech project) from other Polish or EU agencies, i.e. not from the Innotech/NCBIR program?

	C14a for the Innotech project	C14b for any other project
YES	1	1
NO	2	2

→ IF C14a=1 AND C14b=2 ASK C15a; IF C14a=2 AND C14b=1 ASK C15b; IF C14a=2 AND C14b=2 ASK C16

C15 – During the past 5 years (2011 to 2015), how much funding did you receive and what was the agency (if you received funding from several agencies, please list the five largest amounts)?

ASK IF A4=1 OR C12a=1 C15a for the Innotech project

	C15a1 Amount (PLN)	C15a2 Agency
a		
b		
c		
d		
e		

ASK ALL C15b for any other project

	C15b1 Amount (PLN)	C15b2 Agency
a		
b		
c		
d		
e		

ASK IF A4=1 OR A4.2=2 OR=3

C16 – Did the consortium you applied under complete the Innotech project?

	C16
YES	1 → Go to section D
NO	2
Project hasn't been completed yet jet	3 → Go to section D

ASK IF A4=1 OR A4.2=2 OR=3

C17 – What is the most important reason why you did not complete the project?

	C17
Lack of funding	1
Problems with collaboration	2
Research idea did not work	3
Research completed by others made this work no longer necessary	4
More exciting or profitable opportunities came along	5
Other (Specify)	6

## Section D: Commercialization

DO NOT ASK IF A4.2=1

D1 – Which of the following stages of commercialization have you attained for research coming out of the project your consortium applied for?

	D1
Have a product or process that is ready to be sold or that is being sold	1a
Have product/process ready to implement within our firm	1b
Have a working prototype that is almost ready to be sold	2 → Go to D7
Have a product or process that may be turned into something that can be sold in the future	3 → Go to D7
Other (Specify)	4 → Go to D7
No research came out of the project which is likely to be commercialized	5 -> Go to D10

D1a: Please describe the product or process that is ready to be sold or that is being sold:

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D2 – Have you taken any of the following steps towards selling the product or process coming out of the project your consortium applied for?

	Yes	No
a. Discussions/negotiations with a vendor or firm that will sell your product our process	1	0
b. Participated in trade fairs to showcase the product or process	1	0
c. Participated as advertiser in scientific/technical conferences	1	0
d. Presentation in domestic market	1	0
e. Other (Specify)	1	0

D3 – Is the product or process currently being sold or licensed in Poland or outside Poland?

	D3
YES, in Poland only	1
YES, in Poland and outside Poland	2
YES, outside Poland only	3
NO	4 → Go to D7
Don't know	999

D4 – Is the product or process being sold only by one of the consortium parties? Or also sold by others?

	D4
By the consortium leader or partner only	1
By the consortium leader or partner and by others	2
By others only	3
Don't know/Don't remember	999

D5 – What was the total value of sales coming from this product or process (year by year for last 3 years)?

	Value (PLN)	Don't know
D5a – In 2013		9
D5b – In 2014		9
D5c – In 2015		9

D6 – ONLY FOR FIRMS: What percent of sales for the enterprise that sold the product or process come from this product or process?

	%	Don't know
D6a – In 2013		9
D6b – In 2014		9
D6c – In 2015		9

D7 – ONLY FOR FIRMS: Did the project help your firm lower the costs or boost the efficiency of producing an existing product?

	D7
YES	1
NO	2 → Go to D11

D8 – ONLY FOR FIRMS: By how many percent did it lower the costs?

D8	%	9999	Don't know
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D9: Who is using the new or improved process developed by this project?

	D4
It is not yet in use by any enterprise	1
Used by the consortium leader or partner only	2
Used by the consortium leader or partner and by others	3
Used by others only	4
Don't know/Don't remember	9

*Other commercialization of research not through the project they applied for*

If the respondent is a researcher at a research institute or university (If M2=2), ask D10 and D11, otherwise go to Section E

D10. Apart from the project proposed for Innotech, have any of the following arisen from research you conducted in the last 5 years?

	YES	NO
A product or process that is ready to be sold	1	0
Have product/process ready to implement within our firm	1	0
A working prototype that is almost ready to be sold	1	0
A product or process that may be turned into something that can be sold in the future	1	0
None of the other research I have done in the past 5 years is close to being commercialized	1	0
I didn't have any other projects beside Innotech project in the last 5 years	1 → GO TO E1	0

D11 – Have you taken any of the following steps towards selling the product or process coming out of this research that was not part of the Innotech project?

	Yes	No
a. Discussions/negotiations with a vendor or firm that will sell your product our process	1	0
b. Participated in trade fairs to showcase the product or process	1	0
c. Participated as advertiser in scientific/technical conferences	1	0
d. Presentation in domestic market	1	0
e. Other (Specify)	1	0

## Section E: End Questions

Questions E1=E5 only if the respondent is part of an enterprise:

E1: What was your firm's total employment in 2010, and what is its current employment?

a. Total number of full-time workers in 2010	
b. Total number of full-time workers now	

E2: What was your firm's total expenditure on research and development in 2010, and what was it for 2015?

a. Total R&D spending in 2010	<b>PLN</b>	9 Don't know/ Don't remember
b. Total R&D spending in 2015	<b>PLN</b>	9 Don't know Don't remember

E3: What was your firm's total revenue in 2010, and what was it for 2015?

a. Total revenue in 2010	<b>PLN</b>	9 Don't know/ Don't remember
b. Total revenue in 2015	<b>PLN</b>	9 Don't know/ Don't remember

E4: What percentage of the firm's total sales in 2015 arose from new innovative products and services introduced in the last five years?

Percent \_\_\_\_\_ / Don't know/Don't remember/Don't remember 999

E5: What percentage of the firm's total sales in 2015 came from exports outside of Poland?

Percent \_\_\_\_\_ / Don't know/Don't remember 999

*Respondent details:*

E6: Gender of respondent

Male	1
Female	2