Color Code

Pink: Question/Text appears on Baseline Only
Black: Question/Text appears on Baseline, Anniversary and Closeout
Blue: Question/Text appears on Anniversary and Closeout Only
Green: Question/Text appears on Closeout Only

Background Information about the Organization
and ATP Project Principals (BRS_BACKGROUND Table)

This Anniversary Report is due September 01, 2002

This report should be prepared by someone with primary responsibility for strategies and plans to commercialize technologies resulting from the ATP-funded project. However some assistance may be required of individuals directly engaged in R&D activity.

Preparer Name: [PREPARER]
Preparer Title: [TITLE]

Background Information about the Organization

For purpose of this report, the reporting organization is a single-company participant in an ATP award or any individual participant in an ATP joint-venture award. Please verify the information that we have on record for your organization as a participant in the ATP project shown above. Make corrections as necessary.

Organization Information

This report asks for information about this organization's background, business planning and progress related to the ATP project, and effects of ATP funding.

OrganizationName:	[COMPANY1]
Organization Unit:	[COMPANY2]
Address Line 1:	[ADDRESS1]
Address Line 2:	[ADDRESS2]
Address Line 3:	[ADDRESS3]
City:	[CITY]
State:	[STATE]
Zip:	[ZIP]
Telephone:	[PHONE]
FAX:	[FAX]
Organization Website:	[WEBSITE]

Your Industry

NIST has designated general "focus area" categories and specific "subfocus area" categories to classify industries connected with NIST-funded research.

Which of these general focus area industry categories best fits the primary line of business of your organization? (You may not find a very precise fit to your industry among these codes. Do the best you can.)

[FOCUSCODE]

Which of these more detailed subfocus area of commercial activity best fits the primary line of business of your organization? (You may not find a very precise fit to your industry among these codes. Do the best you can.)
[SUBFOCUSCODE]

Is this organization part of a larger company?   [PART_COMPANY]

Please provide the following information about your company, using information from the most recent Annual Report.

Company (Consolidated Parent) Name	[FIN_ENTITY]
Year-end date (mm/dd/yyyy)	[FIN_DATE]
Total revenues ($1000s)	[FIN_REV]
Cost of sales ($1000s)	[FIN_SALES]
R&D expenditures ($1000s)	[FIN_RANDD]
Net income before income taxes ($1000s)	[FIN_NETBEFORE]
Net income after income taxes ($1000s)	[FIN_NETAFTER]
Total assets ($1000s)	[FIN_ASSETS]
Total liabilities ($1000s)	[FIN_LIAB]
Retained earnings ($1000s)	[FIN_EARNINGS]
Number of R&D employees	[FIN_RANDDEMPLOY]
Number of employees (total)	[FIN_EMPLOY]
Year company was formed	[FIN_EST]
Is this company's stock publicly traded?	[STOCKPUBLIC]

When was the company's Initial Public Offering (if within the past 10 years)?

Month? (mm) [IPOMONTH]   Year? (yyyy)   [IPOYEAR]

When was the company's most recent Public Offering?

Month? (mm) [RECENTPOMONTH]   Year? (yyyy)   [RECENTPOYEAR]

The ATP seeks to create a comprehensive demographic profile of ATP project participants, including gender, race, and ethnic background of owners of businesses receiving ATP funding. The race and ethnic categories have been established by the

Office of Management and Budget to assure uniformity of reporting across all Federal agencies.

Are ANY of the owners of the company women?   [OWN_WOMEN]

Estimate the percent ownership of the company by gender of the owner(s).

% Male	[PCT_MALE]
% Female	[PCT_FEMALE]
% Stock held or owned by other organizations	[PCT_OTHER_GEN]
	(Total should equal 100%)

Are ANY of the owners of this company Hispanic or Latino? [OWN_LATINO]

Estimate the percent ownership of the company by Hispanic or Latino origin of the owners.

% Hispanic or Latino	[PCT_LATINO_YES]
% not Hispanic or Latino	[PCT_LATINO_NO]
% Stock held or owned by other organizations	[PCT_OTHER_LATINO]
	(Total should equal 100%)

Estimate the percent ownership of the company by race of the owner(s), according to the race each owner identifies with.

% American Indian or Alaska Native	[PCT_AMERICANINDIAN]
% Asian	[PCT_ASIAN]
% Black or African American	[PCT_AFRICAN]
% Native Hawaiian or Other Pacific Islander	[PCT_PACIFIC]
% White	[PCT_WHITE]
% Other race(s)	[PCT_OTHER]
% Stock held or owned by other organizations	[PCT_OTHER_RACE]
	(Total should equal 100%)

Summarize merger/acquisition activity involving the company in the past 5 years:
[MERGE_MEM]

Please provide current information for the following:

How many employees does your company have now? [EMPLOYEES
(PART_COMPANY = 0)]

How many R&D employees does your company employ? (Include scientists, engineers, technicians, laboratory assistants, and skilled craftsmen who are engaged primarily in R&D activities.) [EMPLOYSCIENCE (PART_COMPANY = 0)]

Answer <u>all other questions</u> in this report for the organizational unit performing the ATP project (within the larger company) (PART_COMPANY = 1)

Is this the only unit/location that performs R&D? [EMPLOYLOCATION]

Is this the central R&D facility for the larger company? [EMPLOYRANDD]

How many employees does this organizational unit have now? [EMPLOYEES]

How many R&D employees does this organizational unit employ? (Include scientists, engineers, technicians, laboratory assistants, and skilled craftsmen who are engaged primarily in R&D activities.) [EMPLOYSCIENCE]

What were this organizational unit's total revenues last year? ($1000s) [OU_REV]

Name the unit or division responsible for business strategy and business development of ATP-funded technology (if different from R&D unit). [OU_STRATEGY]

What were this business unit's total revenues last year? ($1000s) [BU_REV]

Background Information about the Organization and ATP Project Principals

Technical Contact

Who is the technical contact on the ATP project for work performed by your organization?

First Name:	[TEC_FNAME]
Last Name:	[TEC_LNAME]
Organization Name:	[TEC_ORGNAME]
Address1:	[TEC_ADD1]
Address2:	[TEC_ADD2]
City:	[TEC_CITY]
State:	[TEC_STATE]
Zip:	[TEC_ZIP]
Telephone:	[TEC_PHONE]
Fax:	[TEC_FAX]
Email:	[TEC_EMAIL]

Answer the following questions about the background of this technical contact.

How many years has he/she been with your organization? [TECH_YEARS]

Where was he/she previously employed? [TECH_PREV]

Was this a start-up firm? [TECH_STARTUP]

Was this a small firm (<500 Employees)? [TECH_SMALL]

What is his/her highest academic degree? [TECH_ADEGREE]

Has this individual managed an R&D project of at least $1M per year in size in the past (prior to the ATP project)? [TECH_MANAGE]

Background Information about the Organization
and ATP Project Principals

Business Development/Strategy Contact

Who has been assigned to business planning and development for your organization's ATP-funded technology?

First Name:	[BUS_FNAME]
Last Name:	[BUS_LNAME]
Organization Name:	[BUS_ORGNAME]
Address1:	[BUS_ADD1]
Address2:	[BUS_ADD2]
City:	[BUS_CITY]
State:	[BUS_STATE]
Zip:	[BUS_ZIP]
Telephone:	[BUS_PHONE]
Fax:	[BUS_FAX]
Email:	[BUS_EMAIL]
No one has been assigned	[BUS_ASSIGNED]

Is this individual an employee or consultant? [BUS_CONTACTSTATUS]

Answer the following questions about the background of this business planning and development contact.

How many years has he/she been with your organization? [BUS_YEARS]

Where was he/she previously employed? [BUS_PREV]

Was this a start-up firm? [BUS_STARTUP]

Was this a small firm (<500 Employees)? [BUS_SMALL]

What is his/her highest college-level business degree[BUS_BDEGREE]

What is his/her highest academic degree[BUS_ADEGREE]

How many years has he/she been primarily involved with business development
   activities, marketing, or sales? [BUS_BYEARS]

Background Information about the Organization
and ATP Project Principals

Addressee for ATP Business Report Notices

Who is the preferred addressee for ATP Business Reporting Notices?

First Name:	[DSK_FNAME]
Last Name:	[DSK_LNAME]
Telephone:	[DSK_PHONE]
Address1:	[DSK_ADD1]
Address2:	[DSK_ADD2]
City:	[DSK_CITY]
State:	[DSK_STATE]
Zip:	[DSK_ZIP]
Fax:	[DSK_FAX]
Email:	[DSK_EMAIL]

The Organization's R&D Activities
Amount/Type of R&D (BRS_RANDDACTIVITY Table)

For how many years has your organization been engaged in R&D (if less than 10 years)?
[YEARS]

Consider your organization's total R&D effort in the calendar year before the ATP award.

Consider your organization's total R&D effort last year.

How much did you spend on R&D? ($1000s) [BUDGET]

What percentage (%) of your R&D spending was contract research performed for another organization or a government agency[CONTRACTRESEARCH]

Concerning your non-contract R&D, i.e., R&D undertaken with internal funds or investment/borrowed funds:

What percentage (%) of the non-contract R&D spending was:

Basic Research?	[RESBASIC]
Directed at new business projects?	[RESNEW]
Support of existing business?	[RESEXIST]
	(Should equal 100%)

What percentage (%) of the non-contract R&D spending was devoted to activities expected to take:

about one year of work?	[RD1]
about 2-3 years of work?	[RD2]
more than 3 years of work?	[RD3]
	(Should equal 100%)

The Organization's R&D Activities

Management of R&D

How likely are you to make your research results available to other organizations and industries? [MRESULTS]

How important do you think keeping your organization's R&D knowledge from spreading to other organizations is to your organization's long run success? [MKNOWLEDGE]

Think about your LARGEST R&D project/research area during this past calendar year (prior to the ATP award). We want to know about meetings between your technical team and your business team.

Think about your management and business planning for your ATP-funded technology during this past year. We want to know about meetings between your technical team and your business team. For each issue listed below, select the choice that best describes the frequency of such meetings last year.

For each issue listed below, select the choice that best describes the frequency of such meetings last year.

R&D Progress and Milestones?	[MPROGRESS]
Commercialization strategy?	[MSTRATEGY]
Commercial products/processes expected to result from the R&D?	[MPRODUCTS]
Customer needs/product requirements?	[MCUSTOMER]
Market developments/competition?	[MMARKET]

The Organization's R&D Activities
Financing of R&D

The Organization's R&D Activities

ATP Related Experience

Has your organization applied for funding to the ATP before (or participated as a JV partner)? [PREVATP]

How many times did it apply? [PREVATPAMT]

How many times did it receive an ATP award (or join an existing award)? [PREVATPAWARD]

Think about whether your technology development plan changed as a result of your ATP proposal and award.

Which of these choices best describes any change? [PLANCHANGE]

Without the ATP award, would you have undertaken a project with similar goals and milestones to the ATP project? [RDSAMEGOALS]

As a result of the ATP award, where are you in the R&D cycle? [RDCYCLE (HOW_MUCH)]

Would you have performed R&D in the same general research area as your ATP project? [RDSAMERESEARCH]

Which of the following best describes the amount of R&D spending your organization anticipates making in the ATP project area, now that it has received the ATP award, compared with the likely amount of spending without the ATP award. [SCALE]

Consider the involvement of various individuals in preparing your ATP proposal.

What percentage (%) of the total effort was performed by:

Your R&D/technical staff?	[RANDDSTAFF]
Your Contracts Office/staff?	[CONTRACTSSTAFF]
Your management/business staff?	[MGMTSTAFF]
Another Organization/unit?	[OTHERUNIT]
	(Should equal 100%)

The Organization's R&D Activities
ATP Related Experience (SKIPPED)

Since submitting your ATP application, has your organization tried to obtain funding from any of the following sources for R&D included in your ATP project?

From a venture capital fund?	[VAR_NAME]
How much did you receive? ($1000s)	[VAR_NAME]
Was it contingent on an ATP award?	[VAR_NAME]
From a private investor or angel?	[VAR_NAME]
How much did you receive? ($1000s)	[VAR_NAME]
Was it contingent on an ATP award?	[VAR_NAME]
From (another) U.S. company?	[VAR_NAME]
How much did you receive? ($1000s)	[VAR_NAME]
Was it contingent on an ATP award?	[VAR_NAME]
From a non-U.S. company?	[VAR_NAME]
How much did you receive? ($1000s)	[VAR_NAME]
Was it contingent on an ATP award?	[VAR_NAME]
From a federal program: SBIR?	[VAR_NAME]
How much did you receive? ($1000s)	[VAR_NAME]
Was it contingent on an ATP award?	[VAR_NAME]
From another Federal program besides ATP?	[VAR_NAME]
How much did you receive? ($1000s)	[VAR_NAME]
Was it contingent on an ATP award?	[VAR_NAME]
From state or local government?	[VAR_NAME]
How much did you receive? ($1000s)	[VAR_NAME]
Was it contingent on an ATP award?	[VAR_NAME]

The Organization's R&D Activities
Financing of R&D

In the calendar year prior to your ATP award did your organization receive funds from any of the following sources for R&D or technology development activities? (* = PREVFUND)

From a venture capital fund?	[*VC]
How much did you receive? ($1000s)	[*VCAMT]
From a private investor or angel?	[*PRIV]
How much did you receive? ($1000s)	[*PRIVAMT]
From (another) U.S. company?	[*US]
How much did you receive? ($1000s)	[*USAMT]
From a non-U.S. company?	[*NONUS]
How much did you receive? ($1000s)	[*NONUSAMT]
From a federal program: SBIR?	[*SBIR]
How much did you receive? ($1000s)	[*SBIRAMT]
From another Federal program besides ATP?	[*FED]
How much did you receive? ($1000s)	[*FEDAMT]
From state or local government?	[*STATE]
How much did you receive? ($1000s)	[*STATEAMT]

Since announcement of its ATP award, has your organization received funds from any of the following sources for R&D or technology development activities? (* = PASTYEARFUND)

From a venture capital fund?	[*VC]
Was it contingent on an ATP award?	[*VCCON]
How important do you anticipate this funding will be to financing your cost share on the ATP project?	[*VCATP]
How important do you anticipate this funding will be to financing other ATP-related R&D or facilities?	[*VCOTH]
How much did you receive to date? ($1000s)	[*VCAMT]
From a private investor or angel?	[*PRIV]
Was it contingent on an ATP award?	[*PRIVCON]
How important do you anticipate this funding will be to financing your cost share on the ATP project?	[*PRIVATP]
How important do you anticipate this funding will be to financing other ATP-related R&D or facilities?	[*PRIVOTH]
How much did you receive to date? ($1000s)	[*PRIVAMT]
From (another) U.S. company?	[*US]
Was it contingent on an ATP award?	[*USCON]
How important do you anticipate this funding will be to financing your cost share on the ATP project?	[*USATP]

How important do you anticipate this funding will be to financing other ATP-related R&D or facilities?	[*USOTH]
How much did you receive to date? ($1000s)	[*USAMT]
From a non-U.S. company?	[*NONUS]
Was it contingent on an ATP award?	[*NONUSCON]
How important do you anticipate this funding will be to financing your cost share on the ATP project?	[*NONUSATP]
How important do you anticipate this funding will be to financing other ATP-related R&D or facilities?	[*NONUSOTH]
How much did you receive to date? ($1000s)	[*NONUSAMT]
From a federal program: SBIR?	[*FEDSBIR]
Was it contingent on an ATP award?	[*FEDSBIRCON]
How important do you anticipate this funding will be to financing your cost share on the ATP project?	[*FEDSBIRATP]
How important do you anticipate this funding will be to financing other ATP-related R&D or facilities?	[*FEDSBIROTH]
How much did you receive to date? ($1000s)	[*FEDSBIRAMT]
From another Federal program besides ATP?	[*FED]
Was it contingent on an ATP award?	[*FEDCON]
How important do you anticipate this funding will be to financing your cost share on the ATP project?	[*FEDATP]
How important do you anticipate this funding will be to financing other ATP-related R&D or facilities?	[*FEDOTH]
How much did you receive to date? ($1000s)	[*FEDAMT]
From state or local government?	[*STATE]
Was it contingent on an ATP award?	[*STATECON]
How important do you anticipate this funding will be to financing your cost share on the ATP project?	[*STATEATP]
How important do you anticipate this funding will be to financing other ATP-related R&D or facilities?	[*STATEOTH]
How much did you receive to date? ($1000s)	[*STATEAMT]

Compared with your proposed amounts at the time of your ATP award, how much has your company invested in the ATP project as of this stage of your project (from internal and external sources) through this point in time? [INVESTMENT]

How much more to date? ($1000s) [HOW_MUCH_MORE_INV]

How much less to date? ($1000s) [HOW_MUCH_LESS_INV]

This past year, has your organization applied for funding to the ATP again (as either a single-company applicant or joint-venture partner)? [PREVATPANN]

Did it receive an ATP award (or join an existing award)? [PREVATPAWARDANN]

Early Impacts of ATP - Summary Assessment

Estimate your current progress in meeting:

All technical goals and milestones of your ATP project?	[RDPROJECT]
All R&D needed for product development or clinical trials to begin commercialization in your most important application?	[RDCOMMCRL]

Without the ATP award, would you have undertaken a project with similar goals and milestones to the ATP project? [RDSAMEGOALS]

As a result of the ATP award, where are you in the R&D cycle? [RDCYCLE (HOW_MUCH)]

Would you have performed R&D in the same general research area as your ATP project? [RDSAMERESEARCH]

Has your organization earned any revenue (or experienced reduced costs of production of goods for sale) to date as a result of its ATP project? (Consider revenue-generating activities such as sales of new or improved products based at least in part on your ATP project, implementation of new design/production processes that reduce production costs of goods for sale, and/or technology licensing activities.) [EARNED_REVENUE]

Have revenues (or reduced costs) to date been large enough to pay off your organization's R&D costs to date of bringing the ATP-funded technology into the marketplace? [LARGE_ENOUGH]

How has the ATP award affected your credibility or awareness with:

suppliers?	[CRED_SUP]
customers?	[CRED_CUST]
investors?	[CRED_INV]
internal management?	[CRED_MAN]

How has the ATP funding affected these aspects of technology development by your organization?

R&D scope?	[EXP_SCOPE]
Ability to take on technical challenges?	[EXP_RISK]
Long-term research?	[STRATEGY]
Interest in collaborations?	[COLLAB]
Preservation of US ownership of the company?	[KEPT_US_C]
Preservation of US ownership of the technology?	[KEPT_US_T]
To what extent has useful new knowledge resulted?	[GENERATED]

Describe the effects of ATP funding on your R&D efforts: [RDEFF_MEM]

Has the ATP project had any environmental impacts TO DATE? [ENV_IMPACT]
    Describe the impacts and quantify if possible: [ENV_MEM]

Has the ATP project had any health or safety impacts TO DATE? [HS_IMPACT]
    Describe the impacts and quantify if possible: [HS_MEM]

Anticipated Future Effects of ATP-funded Technology

How important a revenue source is the ATP technology expected to be over the next 5 years? [REV_SRC]

How important a revenue source is the ATP technology expected to be AFTER next 5 years? [REV_SRC_5]

Describe anticipated future effects of ATP funding WITHIN your firm: [FUT_C_MEM]

Describe anticipated future effects OUTSIDE your firm/JV: [FUT_OC_MEM]

Employment Changes Across the Organization

Since the announcement of the ATP award.

How many employees have been hired (net of any who have left)? [??]

Early Impacts of ATP - Employment Effects

Estimate the number of NEW AND RETAINED (otherwise would have been lost) full-time equivalent (FTE) positions of different types and salary ranges (excluding fringe benefits) created DIRECTLY TO PERFORM ATP-FUNDED R&D or INDIRECTLY FOR SUBSEQUENT R&D, PRODUCTION, OR MARKETING to date. Enter the number in zero if none:

Scientist/Engineer	Number of fulltime positions	[NUM_SCI]	Average Annual Salary:	[SAL_SCI]
Technician	Number of fulltime positions	[NUM_TECH]	Average Annual Salary:	[SAL_TECH]
Marketing	Number of fulltime positions	[NUM_MARK]	Average Annual Salary:	[SAL_MARK]
Production	Number of fulltime positions	[NUM_PROD]	Average Annual Salary:	[SAL_PROD]
Senior Management	Number of fulltime positions	[NUM_MANA]	Average Annual Salary:	[SAL_MANA]
Other Administrative	Number of fulltime positions	[NUM_ADMIN]	Average Annual Salary:	[SAL_ADMIN]
Clerical	Number of fulltime positions	[NUM_CLER]	Average Annual Salary:	[SAL_CLER]
Other	Number of fulltime positions	[NUM_OTH]	Average Annual Salary:	[SAL_OTH]

How many positions have been eliminated as a result of the project? [POS_ELIM]

Explain how the ATP project caused jobs to be lost: [ELIM_MEM]

Describe any other ATP-related effects on employment at your firm. [EFF_C_MEM]

Describe ATP-related effects on employment OUTSIDE your firm/JV. [EFF_OC_MEM]

The Organization's R&D Activities
Classification of the Technology
Select the ATP Technology Codes that best describe the technology being developed.

Primary Technology Code: [TECHCODE1]

Secondary Technology Code: [TECHCODE2]

R&D Partnering with Other Organizations

Cooperative R&D (BRS_RANDDPARTNER Table)

Think about any cooperative R&D your organization has been engaged in during the PAST 5 YEARS (prior to the ATP project). Consider partnering arrangements such as subcontracts used to perform R&D or subcontracts where this organization was a subcontractor to another organization to perform R&D, research joint ventures, and any other joint research arrangements.

Think about any cooperative R&D on your ATP project. Consider partnering arrangements such as subcontracts used to perform R&D, your ATP research joint venture, and any other joint research arrangements.

Has your organization engaged in any such cooperative R&D arrangements?
[COOPRANDD]

Approximately what percent of your annual R&D budget, on average, was devoted to projects involving cooperative R&D? [COOPRANDDBUDGET]

Did this cooperative R&D involve a for-profit company?	[PROFITCOOPRANDD]
Did this cooperative R&D involve a customer?	[PCUSTOMER]
Did this cooperative R&D involve a competitor?	[PCOMPETITOR]
Did this cooperative R&D involve a supplier?	[PSUPPLIER]
Did this cooperative R&D involve a university (for example, in a research joint venture or through subcontracting) ?	[UNIVCOOPRANDD]

R&D Partnering with Other Organizations

Cooperative R&D

Consider whether your organization has experienced any of the following impacts as a result of its cooperative R&D in the PAST 5 YEARS (prior to the ATP project).

Consider whether your organization has experienced any of the following impacts as a result of its cooperative R&D on the ATP project. For each possible impact, select the choice that best describes how significant the impact was.

Review the following questions from your earlier report to ATP and update your responses as appropriate.

For each possible impact, select the choice that best describes how significant the impact was.

Gained technical expertise that you do not have	[TECHEXP]
Reduced costs of R&D to your organization	[REDCOST]
Reduced risk of failure to achieve R&D goals	[REDRISK]
Obtained proprietary information on R&D activities	[PROPINFO]
Gained opportunity to work with scientists and engineers from other organizations	[RECRUIT]
Had difficulty in coordinating multiple research teams	[COORDINA]
Had greater than expected delays in completing R&D tasks	[DELAY]
Had difficulty in reaching agreement over intellectual property rights	[IPRIGHTS]
Accelerated technology development	[TECHDEV]
Learned about competing technologies	[COMPTECH]
Learned about technical progress in a field important to your company	[TECHPROG]
Obtained help in identifying customer needs	[CUSTNEEDS]
Obtained access to marketing and distribution channels in your industry	[ACCESSIND]
Obtained access to marketing and distribution channels in other industries	[ACCESSOTH]
Obtained funding for joint development	[FUNDJOINT]
Had communication problems related to differences in organizational goals and cultures.	[COMMPROB]
Received assistance in overcoming domestic competition	[ASSISTDOM]
Received assistance in overcoming foreign competition	[ASSISTFOR]
Increased the costs of R&D	[INCCOST]
Obtained access to materials or specialized equipment or facilities that your organization does not have	[ACCESSMA]
Identified and engaged in work to solve industry-wide problems	[IDWORK]
Did you have to cancel a partnering agreement?	[CANCELPA]

R&D Partnering with Other Organizations

Subcontractors (BRS_SUBLIST Table)

Are you using subcontractors on this ATP project (for contracts amounting to $25K or more) on your part of this ATP project? [USESUB (BRS_RANDDPARTNER Table)]

How many do you plan to have? [USESUBAMT (BRS_RANDDPARTNER Table)]

Identify each major (totaling $25K or more over the entire project) subcontractor involved in the ATP project. Provide complete organization names and respond to the questions concerning each subcontractor.

Below is a table summarizing your subcontractor information. Each subcontractor's name is a hot link to detailed data. If the name is in red, portions of the detailed data are incomplete. Click on the name to complete or edit this information. Click on "Add a subcontractor" to add another subcontractor.

List of Subcontractors

Name	Organization Type	City	State	Zip Code	Amount ($1000's)
[COMPANY]	[ORG_TYPE]	[CITY]	[STATE]	[ZIP]	[AMOUNT]

Enter or Edit the Subcontractor Information

Organization Name	[COMPANY]
Organization Type	[ORG_TYPE]
City	[CITY]
State	[STATE]
Zip Code	[ZIP]
Amount $1000s	[AMOUNT]

How many years had your organization been doing business with the subcontractor prior to the proposal?[NUMYEARS]

With its ATP funding, is this subcontractor:

Developing new technology?	[TECHDEV]
Making a special customized tool, material, or piece of equipment?	[SPECIAL]
Supplying you with tools, materials, or equipment that the subcontractor routinely sells to other companies?	[SUPPLY]
Providing primarily testing and validation services?	[TV]
Performing another type of work?	[OTHERWORK]
Describe the work:	[OTHERWORKMEMO]

Is this subcontractor:

A potential customer for your ATP-funded technology (e.g., as a licensee of yours or as purchaser of your product)?	[CUSTOMER]
A potential competitor of yours (e.g., may offer products in some of the same markets as you do or have a technology with similarities to yours)?	[COMPETITOR]

For subcontract amounts greater than or equal to $100,000, consider the following possible reasons why your organization used a subcontract rather than a formal ATP joint venture (JV) relationship for the portion of your R&D to be performed by this subcontractor.

For each, select the choice that best describes the importance of the reason.

We can control disclosure of certain proprietary information more easily than with a JV relationship.	[IMPPI]
We anticipate the cost of project administration would be higher with a JV relationship.	[IMPPROJADMINCOST]
Subcontractor is unwilling or unable to share cost of R&D at level we would require of a full JV partner under ATP's JV rules.	[IMPRANDDCOST]
A non-profit/university is not eligible to be our sole JV partner.	[IMPNONPROFIT]

R&D Partnering with Other Organizations (BRS_RANDDPARTNER Table)

Joint Venture Partners

Now let's look at your relationships with your ATP joint venture partners.

Have you performed cooperative R&D in a joint venture with any of your current ATP partners before? [JVCOOPRANDD (JV_NEW = 0)]

Indicate which ones, and how many years they have been working together: [JVCOOPRANDD_MEM (JV_MEM = 0)]

Have any new organizations joined your ATP joint venture since the start of the project? [JVNEW]

Have you performed cooperative R&D in a joint venture with the new ATP partner(s) before? [JVCOOPRANDD (JVNEW = 1)]

Indicate the name(s), and how many years you have been working together: [JVCOOPRANDD_MEM (JVNEW = 1)]

Review the following questions from your earlier report to ATP and update your responses as appropriate.

From your point of view, which of the following best describes the nature of your organization's PRIMARY R&D role in your ATP joint venture? [JVROLE]

From your point of view, which of the following best describes the working relationship between your organization and other ATP Joint Venture (JV) members? [JVRELATIONSHIP]

Applications (BRS_APPLIST Table)

Consider how your ATP-funded technology can be applied in commercial products and services and how these market opportunities, can be exploited. Be prepared to create a list of the major potential commercial applications.

Here are some examples. Perhaps you have developed a new material with separate applications in bridge construction/repair and construction of off-shore oil plateforms. Or, you may have developed a new process with application in precision machining of auto engine parts and potentially having a medical use as well. You will be asked to list each application separately, identifying the use and/or market. Among the examples above, one application might be "durable material for bridge repair," and another might be "precision machining for automobile engine parts."

Will your organization or another organization pursue commercial applications of the technology your organization develops in this ATP project? []

If a particular application involves use in more than one industry, list each industry's use as a separate application. Group together as a single entry all applications that target the same market or need and have common business goals and strategies.

Click on "Add an application" to add each application to the list.

When you add an application, you will be asked to provide a brief picture of the business strategy for that application and to indicate whether or not this is the most important application of your ATP technology for your organization in the FIRST THREE YEARS after ATP funding ends and/or in the long run. Once one application is designated as the most important, and saved, you will be asked a series of more detailed questions about the business goals and strategies of the organization for that particular application. Please be sure to mark one of your applications as the most important within 1-3 years.
A table summarizing your applications will appear on this initial screen where each application name is a hot link to the more detailed information you provided for each application. If the name is in red, your detailed information about the application is incomplete. Click on the application name to complete the requested information or to edit previously entered information.

Add an Application

Applications
(Cont.)

To update your other applications, click "All Applications" in the menu on the left, then click on an application name in the table.

Application Name: [TITLE]

Was this application described in the ATP proposal? [PROPOSAL]

You described this application in a previous ATP business report. Does this application continue to be part of your business plan or viable for some other organization to pursue? [STILL_VIABLE]

This application occurs primarily through: [APP_PRIM]
Select one: A product (or group of related products or software) you will produce/offer for sale; A service (or group of related services) you will produce/offer for sale; A process that you will implement in-house to produce an old product in a new way; A license to another organization for use of your technology (patent/technology licensing); A product|service|process|licensing opportunity that some other organization will pursue

Think about your target industry for this application. A target industry is the industry in which your direct customer or licensee operates. If the application is an in-house process, your own industry is the target industry. If some other organization is pursuing this application, consider that organization's industry to be the target industry.

**NIST has designated general "focus area" categories and specific "subfocus area" categories to classify industries connected with NIST-funded research.
Which of these general focus area industry categories best fits your target industry? (You may not find a very precise fit to your target industry among these codes. Do the best you can. If your technology is usable by a number of industries, report a separate application for each significant industry.)**

Which of these more detailed subfocus area of commercial activity best fits your target industry? (You may not find a very precise fit to your target industry among these codes. Do the best you can. If your technology is usable by a number of industries, report a separate application for each significant industry.) [SUBFOCUSCODE]

Who will be the direct customer of your technology? Select the choice that fits best. (In the case of an in-house process, your own organization is assumed to be the direct customer. If some other organization is pursuing this application, or licensing your technology for this application, consider that organization to be your direct customer.) [APP_CUST]

Select one: Industrial processor (e.g., materials, food, pharmaceuticals); Components manufacturerr (e.g., materials, food, pharmaceuticals); OEM/systems integrator
End product assembler/manufacturer; End product marketer/distributor
End product consumer
Service provider– health/education
Service provider–financial/business/information
Other

When do you anticipate the technology will be brought to market/put into commercial use for this application?   [WHEN_MKT]

To date, have you earned revenues from product(s) in this application? [NEW_REV]
     Identify the products by name and use (limited to 255 characters): [NEWREV_MEM]
List the major customers and where they are located: [NEWCUS_MEM]

Applications

(Cont.)

Estimate cumulative revenues to date for/from this application ($1000s):
[TOT_NEWREV]

Estimate cumulative number of units or unit weight sold: [TOT_NEWUNITS]
     Unit of measure (production unit, system, kg, ton, etc.):   [UNIT_OF_MEASURE]

Out of all your ATP applications, will this be THE MOST IMPORTANT ATP APPLICATION to your organization WITHIN 1-3 YEARS AFTER ATP? [MOSTIMP1]
Out of all your ATP applications, will this be THE MOST IMPORTANT ATP APPLICATION to your organization FOUR OR MORE YEARS AFTER ATP? [MOSTIMP4]

Will this be THE MOST IMPORTANT ATP APPLICATION OVERALL to your organization out of all your ATP applications?   [MOSTIMPALL]

Business Plan for Most Important Application
in first three years after ATP
Identification of Business Goals and Markets (BRS_APPIMPORTANT Table)

What business problem or customer need is being addressed?   [APP_MEM]

Will your product/service be perceived as a "new-to-the-world" solution or as an improvement to an existing market solution?   [MKTEXISTS]

What is your major competitive advantage over existing approaches to addressing the problem or customer need Note: For higher performance, consider improved quality, improved reliability, and/or new features.   [ADVANTAGE]

State project goals for your technology that need to be met in order for the technology to be commercially successful, relative to technology existing AT PROJECT START:

% Reduction in unit cost	[GOAL_COST]
% Improvement on performance/quality per unit	[GOAL_PERF]
% Increase in product life	[GOAL_LIFE]

Identify the specific feature or characteristic of your technology most critical to your competitive advantage - [e.g., power, speed, size, weight, cost]. Note: If both performance and cost are critical, combine them.(e.g.,if cost per unit of power is most critical, use $/hp) [GOAL_ATTR]

What is the appropriate unit of measurement for this feature or characteristic? [GOAL_UNITS]

These next five questions ask about this feature or characteristic. Assume the same unit of measure you listed above (e.g., if you indicated that "kg" was the appropriate unit of measure for this feature, provide responses to the next five questions in terms of "kg").

BEST AVAILABLE value for this feature AT PROJECT START [GOAL_BASE]

Goal for this feature of your technology at project end WITH ATP FUNDING   [GOAL_ATP]

Value expected at project end WITHOUT ATP FUNDING [GOAL_NOATP]

Value of this feature needed for commercial viability   [GOAL_VIAB]

CURRENT VALUE ACHIEVED BY YOUR ORGANIZATION/PROJECT?   [IMPROVE]

How important are technological advances by other members of your ATP joint venture to your ability to achieve these goals	[TECHADVJV]
How important are technological advances by subcontractors to your ability to achieve these goals	[TECHADVSUB]
How important is speed to market?	[MKT_SPEED]
How much will ATP funding shorten time to market	[GOAL_TIME]
What is the window of opportunity to market?	[MKT_WINDOW]

Most Important Application
(Cont.)

Indicate the importance of these geographic markets:

North	[GEO_NA]
Asia	[GEO_ASIA]
Europe	[GEO_EUROPE]
Other	[GEO_OTH]

Describe and quantify other business goals: [GOAL_MEM]

Most Important Application
(Cont.)
Strategies for Commercialization
Commercialization Strategies and Progress

Does your business plan include partnering with another organization to produce and/or bring the product or service to market   [PARTNER]

How important do you anticipate the following types of partnership strategies to be?

Alliances with suppliers	[STG_SUPP]
Is an alliance in place?	[STG_SUPPNOW]
Does/will alliances involve an ATP JV partner?	[STG_SUPPJV]
Form joint development and production alliances	[STG_JOINT]
Is an alliance in place?	[STG_JOINTNOW]
Does/will alliances involve an ATP JV partner?	[STG_JOINTJV]
Alliances with distributors	[STG_DIST]
Is an alliance in place?	[STG_DISTNOW]
Does/will alliances involve an ATP JV partner?	[STG_DISTJV]
Alliances with customers	[STG_CUST]
Is an alliance in place?	[STG_CUSTNOW]
Does/will alliances involve an ATP JV partner?	[STG_CUSTJV]
Spin-off companies	[STG_SPIN]
Is a spin-off in place?	[STG_SPINNOW]
Does/will it involve an ATP JV partner?	[STG_SPINJV]

Because you said that some alliance is now in place, name the alliance partner(s), type(s)
    (e.g., customer, supplier), and legal form of partnership: [ALL_MEM]

Because you said that some spin-off is now in place, name the spin-off companies and
    describe their roles: [SPIN_MEM]

How likely are you to license the technology to others for this application (in parallel
    with producing a product or service for sale yourself)? [STG_LIC]

Have you completed to date ...

product/process definition?	[MKT_DEF]
concept test with customers?	[MKT_CONC]
any other market analysis?	[MKT_OTH]

Describe other market analysis progress: [MKT_MEM]

Most Important Application
(Cont.)
Strategies for Commercialization
Commercialization Strategies and Progress

Have you to date:

made a production prototype?	[PRO_PROTO]
set up a pilot production/commercial demo?	[PRO_PILOT]
determined production rates?	[PRO_RATES]
begun production?	[PRO_BEGUN]

You indicated above that you have earned revenues from this application:

Estimate the cumulative costs of purchased materials/components/supplies for products/services sold to date [e.g., feedstocks, utilities, packaging, shipping] ($1000s): [TOT_COST]

How important was ATP funding to your ability to earn these revenues - at all? [EARNROYALATALL]

How important was ATP funding to your ability to earn these revenues - in this time frame?   [EARNROYALTHISTIMEFRAME]

Explain your responses to these two questions: [EARNROYALMEMO]

Report Changes in Competitive Standing:

Overall competitive standing	[COMP_STAND]
Domestic economic conditions	[COMP_DOM]
International political/economic conditions	[COMP_INT]
Trade barriers/trade wars	[COMP_TRADE]
Entry of new competitiors	[COMP_ENTRY]
Status of existing competitors	[COMP_PROG]
Other factors	[COMP_OTH]

Describe competitive environment: [COMP_MEM]

How has your world market share changed since receiving the ATP award? [WORLD_SHA]
To what extent is this change related to the ATP award?   [WORLD_EXT]

Describe other commercialization progress: [COMM_MEM]

Missing from this section are questions regarding….

> Estimated value of in-house improvements (2 years and 5 years out)
> Estimated licensing revenues (2 years and 5 years out)
> If "yes" to currently earning licensing royalties, there are 13 follow-up
> > questions regarding the nature and details of the licensing agreement

5-Year Plan for This Application (BRS_APPIMPORTANT Table)

How significant are any technical barriers to be overcome before full-scale commercialization of the technology is feasible? [BARTEC]

Describe these technical barriers and plans to overcome them. [BARTEC_MEM]

 How significant are the NON-TECHNICAL barriers (e.g., regulatory approval, attraction of capital, market presence/brand, industry codes/standards) to be overcome before full-scale commercialization of the technology is feasible. [BARNON]

Describe these non-technical barriers and plans to overcome them. [BARNON_MEM]

Impact on Revenues and Costs -- Next Five Years

What is the estimated total market size in the next 2 years? [MARKET_2]

What is the estimated total market size in the next 5 years? [MARKET_5]

What are the anticipated total revenues for your firm in the next 2 years? [TOTREV_2]

What are the anticipated total revenues for your firm in the next 5 years? [TOTREV_5]

To update your other applications, click "All Applications" in the menu on the left, then click on an application name in the table.

Intellectual Property (BRS_ECON Table)

Strategies for Protecting Intellectual Property
Related to your ATP-funded Technology

Consider the following possible strategies for protecting your intellectual property in your ATP funded technology. For each, select the choice that best describes the likelihood of your using this strategy.

Patents:	[PROT_PAT]
Copyrights:	[PROT_CPY]
Trade Secrets:	[PROT_SEC]
Speed to Market:	[PROT_SPEED]
Other:	[PROT_OTH]

Describe other Intellectual Property Strategy: [PROT_MEM]

Intellectual Property (BRS_ECON Table)

PRIOR Intellectual Property RELATED to the ATP Funded Technology

Consider previously issued patents or patent applications upon which your ATP-funded technology is based (which you either own or plan to license). Consider these to be patents related to your ATP project.

How many RELATED patents (filed or granted) predate the ATP Project?	[PRE_EXIST]
Of these RELATED patents, how many were filed by your organization?	[PRE_HELD]
Of these RELATED patents, how many do you hold or plan to hold through a PATENT LICENSE AGREEMENT with another organization?	[PRE_LIC]
Of these RELATED PATENT LICENSES, how many are EXCLUSIVE to your organization?	[PRE_EXCL]

List up to three organizations from whom you are licensing technology related to the ATP Project:

	Name	Organization type
1	[LICNAME1]	[LICORGTYPE1]
2	[LICNAME2]	[LICORGTYPE2]
3	[LICNAME3]	[LICORGTYPE3]

Intellectual Property (BRS_PATLIST Table)

Patents/Copyrights

Provide information about each filed patent and copyright DERIVING FROM THE ATP PROJECT. Do NOT enter items that predate ATP funding or cover pre-existing technology.
Click on "Add a patent" to add a patent to the list. A new screen will appear where you will be asked to provide details of the patent application.
In the table below, each patent title is a hot link to the more detailed information you provided for each patent. If the name is in red, your detailed information about the patent is incomplete. Click on the patent title to complete the requested information or to edit previously entered information.

List of Patents/Copyrights

Title	Inventor(s)	Filing Date	Filing Number	Issue Date	Issue Number
[TITLE]	[INVENTOR]	[FIEL_DATE]	[FILE_NUM]	[ISSUE_DATE]	[ISSUE_NUM]

Enter or Edit the Patent/Copyright Information

Patent/Copyright Title: [TITLE]

Inventor(s) (last name, first name; last name, first name): [INVENTOR]

Patent or Copyright? Patent Patent number: [PAT_COPY and PAT_NUM/COPY_NUM]

Filing Date (mm/dd/yyyy): [FILE_DATE]   Filing Number: [FILE_NUM]
Issue Date (mm/dd/yyyy): [ISSUE_DATE] Issue Number: [ISSUE_NUM]

Is this a core patent or spin-off from another? [CORE_SPIN]

Select any spin-offs: [SPINS]

PCT applications filed in these regions: [PCT_APP]

Foreign applications filed in these regions: [FOR_APP]

Applications supported (from Applications List): [APPS_SUPP]

After saving these data, click on "Patents/Copyrights" in the navigation tree to add another patent/copyright.

Dissemination of Information (BRS_ECON Table)

Plans for Disseminating Non-Proprietary Information related to your ATP-Funded Technology

Consider the following possible approaches for disseminating NON-PROPRIETARY information related to your ATP funded technology. For each, select the choice that best describes the likelihood of your using this approach.

Publishing in professional journals:	[DIS_JOUR]
Presenting papers at conferences:	[DIS_CONF]
Participation in user associations:	[DIS_USER]
Public relations/press coverage:	[DIS_PRESS]
Other:	[DIS_OTH]

Describe your other dissemination plans: [DIS_MEM]

To what extent are you comfortable with ATP's dual objectives of a) encouraging you to protect your intellectual property as an incentive to commercialize your ATP-funded technology AND b) seeking broad diffusion of knowledge created in ATP-funded projects? [DIS_OBJ]

Dissemination of Information (BRS_ECON Table)

Progress in Disseminating Non-Proprietary Information

To what extent has non-proprietary information been shared? [DIS_SHARED]

List publications in professional journals on ATP-funded technology: [from DIJOURNAL Table]

List presentations at conferences on ATP-funded technology: [from DICONFERENCE Table]

List user association activities on ATP-funded technology: [DIS_MUSER]

List major public relations/press coverage of ATP-funded technology: [DIS_MPRESS]

Details about the Journal Publications listed above (BRS_DIJOURNAL Table)

Enter or Edit journal publication information for a single item.

Authors of article (last name, first name; last name, first name):	[AUTHORS]
Title of article	[TITLE]
Journal Name	[JNAME]
Volume of journal	[VOLUME]
Pages of article (n-n)	[PAGES]
Publication Date (mm/dd/yyyy)	[PUBDATE]

After saving these data, click on "Progress" in the navigation tree to continue reporting on Dissemination of Information.

Details about the Presentations listed above (BRS_DICONFERENCE Table)

	[AUTHORS]
	[TITLE]
	[CONFNAME]
	[LOCATION]
	[CONFDATE]

After saving these data, click on "Progress" in the navigation tree to continue reporting on Dissemination of Information.

Details about the Awards listed above (BRS_DIAWARD Table)

	[AWD_ORG]
	[TITLE]
	[AWD_DESC]
	[AWD_YEAR]
	[TYPE_ACHIEVEMENT]
	[AWD_RECIPIENT]
	[AWD_RCVD_BEFORE]

After saving these data, click on "Progress" in the navigation tree to continue reporting on Dissemination of Information.

5-Year Investment Plan (BRS_RANDDACTIVITY Table)

5-Year Investment Plan for your ATP-Funded Technology

Is your company planning additional R&D? [RD_PLAN]

How much additional R&D is planned--in the next 2 years?	[RD_2]
How much additional R&D is planned--in the next 5 years?	[RD_5]
Is your company planning additional production facilities?	[PROD_PLAN]
How much investment in production facilities is planned--in the next 2 years?	[PROD_2]
How much investment in production facilities is planned--in the next 5 years?	[PROD_5]
Is ANOTHER company planning additional R&D?	[RD_PLANO]
Is ANOTHER company investing in new R&D?	[RD_INVSTO]
Is ANOTHER company planning additional production facilities?	[PROD_PLANO]
Is ANOTHER company investing in new production facilities?	[PROD_INVSTO]

Describe investments planned OUTSIDE your firm/JV: [INVST_MEM]