



**ATP Baseline Business Report
Optional Worksheet For Organizing Data**

June 30, 2001

Important Note: Use the diskette for reporting to the ATP. Please **DO NOT** send the worksheet back to NIST; send the **DISKETTE ONLY**. The worksheet is provided for the convenience of companies who wish a hard copy of the questions to use for collecting and organizing data prior to using the software.

**Advanced Technology Program
National Institute of Standards and Technology
Technology Administration
U.S. Department of Commerce**

Instructions for using the optional worksheet to organize data prior to running the ATP Baseline Business Report Software:

PLEASE NOTE: This worksheet is intended to resemble the computer screen as much as possible. The heavy black bars indicate the beginning and ending of individual computer screens; however, directions for program manipulation (getting around in the software) have been deleted for clarity of the worksheet. The pick lists that appear throughout this worksheet appear on the computer screen with directions for selection at the time of data-entry. Use of the worksheet is discretionary; some will wish to proceed immediately to the software and enter the data directly.

Some questions require a selection from a pick list; for these questions, write the appropriate letter, number, or character in the blank provided next to the question. For those questions requiring explanation or description, write your response in the space provided beneath the question. If you need more space, write "SEE ATTACHED" in the space provided on the worksheet and attach additional pages after the appropriate page.

You will need to complete pages 12-16 for each application listed on page 10 which you are pursuing. For example, if you enter three applications on page 10 (coded A, B, and C, respectively), and indicate "Y" under pursued by us for each, then you should complete this section of the worksheet three times, one time for each application entered. You may photocopy this worksheet as needed for your data collection. The application title and code on the worksheet are automatically entered when using the computer software.

Make sure you respond to **every** question in each section, giving thorough explanations and descriptions when required.




ATP


Business Reporting System
Software

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Version 2.0)) 03/31/97



Report on ATP Project 1996000000 for 6/30/2001
ATP Organization

ATP

☐ **Baseline Report**
Anniversary Report
Close-out Report
Post-Project Report

Note: The correct report type for this report has already been selected for you. This is a Baseline Report.

MAIN MENU FOR ATP BASELINE REPORT SOFTWARE

Baseline Report on ATP Project 19940000000 for 6/30/2001
ATP Organization

ATP

⌂ **Overview**
Applications
Intellectual Property
Dissemination of Information

Company information, technology class, and subcontractors

SECTION 1: OVERVIEW

Overview

This Baseline Report is due ____.

It should be prepared by someone with primary responsibility for strategies & plans to commercialize technologies resulting from the ATP-funded project.

Preparer Name(s) _____

Preparer Title(s) _____

Classification of the Technology

Enter the ATP Technology Codes from List A (**see attachment**) that best describe the technology being developed:

Primary Technology Code _____

Secondary Technology Code _____

If your Primary Technology Code is category **9900** ("Other..."), describe the technology: _____

Employment Size and SIC Code

Is your company a subsidiary of another? (Y/N) _____

Complete the following if you responded "Y" above.

If so, enter the consolidated company's employment size: _____

1 = 1-19
2 = 20-49
3 = 50-99
4 = 100-249
5 = 250-499
6 = 500-999
7 = 1000+

Choose one of the following:

Your company's employment size: _____

1 = 1-19
2 = 20-49
3 = 50-99
4 = 100-249
5 = 250-499
6 = 500-999
7 = 1000+

Choose one of the following:

The company/establishment SIC (Principal Activity) Code used on employment and tax forms: _____

[Consult your payroll officer.]

SECTION 1: OVERVIEW

Overview: Contact Information

Company:
Address:

City: State: Zip: -
Telephone: () -

	Business Contact	Technical Contact
First Name:		
Last Name:		
Telephone: () -	() -	() -
Fax: () -	() -	() -
E-mail:		

Addressee for ATP Business Report Diskette

First Name:
Last Name:
Telephone: () -
Address:

City: State: Zip: -

For Joint Venture Leads:

JVs: Has membership changed (excluding subcontractors) (Y/N/?)

Complete the following screen if you respond "Y" to the above question.

Describe any JV changes & state whether ATP has been notified.

SECTION 1: OVERVIEW (continued)

Overview: Subcontractors

List EACH major (totaling \$25,000 or more) subcontractor involved in the ATP project for which your company is the contracting agent.

Enter the subcontractor Name, Organization type, City, State, Zip Code, and Amount of the contract(\$1000). Press the Insert Key to add each.

Organization Codes: S=Small (<500 employees) business; L=Large business; U=University; G=Government; O=Other

List of Subcontractors

Name	Org. Type	City	ST	Zip Code	Amount \$1000's

MAIN MENU FOR ATP BASELINE REPORT SOFTWARE

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ATP

Overview



Applications

Intellectual Property

Dissemination of Information

Business progress and early economic impacts by application

SECTION 2: APPLICATIONS

Applications

List all major commercial applications in your ATP proposal as well as any new applications identified since. Press the INSERT key to add each.

Group together under a single entry all applications that target the same market or need and have common business goals and strategies. **For example, "Medical devices--bone pins and cartilage connectors" might be listed as a single application.**

Press INSERT & enter a Title to add each. In the "In ATP proposal" column, enter "Y" for applications identified in the proposal, and "N" otherwise. In "Pursued by Us" column, enter "Y" for those that YOU pursue now or plan to pursue, and "N" otherwise.

Report on EACH application by highlighting it and pressing ENTER.

(Insert the name of each application in the chart below.)

[NOTE: The columns named "Reported" and "Code" need no data entry.]

List of Applications

Reported	Code	Title	In ATP Proposal	Pursued By Us
Y	A			
Y	B			
Y	C			
Y	D			
Y	E			
Y	F			

SECTION 2: APPLICATIONS (continued)

Application Code: _____ Application Title: _____

Is commercialization OF YOUR TECHNOLOGY currently being planned or pursued BY OTHERS? (Y/N) _____

Complete the following if you responded "Y" to the above question:

List names of others

The following two screens in the Applications section will appear on your screen and need to be answered (or prior responses reviewed) ONLY for applications for which you responded in the Applications chart, "Y" to you are pursuing or planning to pursue.

SECTION 2: APPLICATIONS (continued)

Application Code: _____

Application Title: _____ : Page 1

(from chart on page 10)

Enter the SIC code from List B (**see attachment**) that best classifies the product, process, or service expected to result for this application: _____

Identification of Business Goals and Markets

What primary result is expected from the ATP project? _____

Choose one of the following:

M = Manufact. Process P = Product S = Service

Is it an Improved or New product/process/service? _____

Choose one of the following:

I = Improved N = New

Which of these supply/production/distribution stages will you address for this application [**list codes that apply, e.g., 236**]? _____

Choose codes from the following list:

1 = Raw materials production 2 = Materials processing 3 = Components manufacturing 4 = Assembly 5 = Distribution 6 = User services

What problem or customer need is being addressed?

Application Code: _____

Application Title: _____: Page 1

(from chart on page 10)

Identification of Business Goals and Markets continued

What is your major advantage over the competition or other approaches to meeting the customer need? _____

Choose one of the following:

- | |
|------------------------|
| P = Higher performance |
| C = Lower cost |
| B = Both P and C |
| N = New solution |
| O = Other |

Note: For higher performance, consider improved quality, improved reliability, and/or new features.

Complete the following if you responded "O" above.

Describe other.

Complete the following if you responded "P", "C", or "B" above.

State project goals relative to technology existing AT PROJECT START:

- % Unit cost reduction _____
- % Performance/quality improvement per unit _____
- % product life increase _____

Identify the attribute most critical to commercialization
[e.g., power, speed, size, weight, cost]: _____

Note: If both performance and cost are critical, combine them: use cost/performance or performance/cost as your attribute.

- BEST AVAILABLE value for this attribute AT PROJECT START _____
- Goal for this attribute at project end WITH ATP FUNDING _____
- Value expected at project end WITHOUT ATP FUNDING _____
- Value of this attribute required for commercial viability _____
- CURRENT VALUE ACHIEVED BY YOUR COMPANY/PROJECT _____

SECTION 2: APPLICATIONS (continued)

Application Code: _____

Application Title: _____ : Page 2
(from chart on page 10)

Identification of Business Goals and Markets continued

How important is speed to market? _____

Choose one of the following:

- 2 = Critical
- 1 = Important
- 0 = Unimportant

How much will ATP funding shorten time to market? _____

Choose one of the following:

- 0 = Not at all
- 1 = <1 year
- 2 = 1-<2 years
- 3 = 2-<3 years
- 4 = 3-<4 years
- 5 = 4-<5 years
- 6 = 5+ years
- 9 = No project w/o ATP
- ? = Not sure

What is the window of opportunity to market? _____

Choose one of the following:

- 1 = 1 Year after ATP
- 2 = 2 years after
- 3 = 5 years after
- 4 = >5 years after

When is revenue anticipated? _____

Choose one of the following:

- 0 = During ATP
- 1 = < 1 year after ATP
- 2 = 1-< 2 years after
- 3 = 2-< 3 years after
- 4 = 3-< 4 years after
- 5 = 4-< 5 years after
- 6 = 5 or more years after
- 7 = Never

Application Code: _____

Application Title: _____ : Page 2

(from chart on page 10)

Identification of Business Goals and Markets continued

Indicate importance of these geographic markets:

- North America _____
- Asia _____
- Europe _____
- Other _____

For each of the above markets choose one of the following:

- 3 = Primary
- 2 = Secondary
- 1 = Possible
- 0 = N/A

Complete the following if you answered 1, 2 or 3 to "other geographic markets:

Describe & quantify other business goals

Strategies for Commercialization

Choose one from list A: (see below)

Choose one from list B:

- | | | | |
|---|-----|------------|-----|
| Licensing to others | ___ | Legal Form | ___ |
| Producing product/service in-house | ___ | | ___ |
| Adopting process for in-house use | ___ | | ___ |
| Forming alliances with suppliers | ___ | | ___ |
| Forming joint production alliances | ___ | | ___ |
| Forming alliances with distributors | ___ | | ___ |
| Forming alliances with customers | ___ | | ___ |
| Forming spin-off companies | ___ | | ___ |
| Pursuing another commercialization strategy | ___ | | ___ |

List A:

- | |
|---------------|
| 3 = Primary |
| 2 = Secondary |
| 1 = Possible |
| 0 = N/A |

List B:

- | |
|-----------------|
| S = Subcontract |
| P = Partner/JV |
| I = Informal |

Application Code: _____

Application Title: _____: Page 2

(from chart on page 10)

Strategies for Commercialization continued

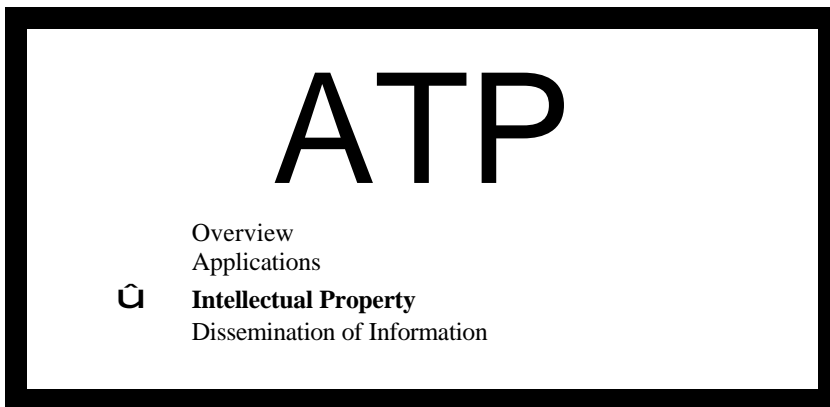
Describe other commercial strategy

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MAIN MENU FOR ATP BASELINE REPORT SOFTWARE

Baseline Report on ATP Project 19940000000 for 6/30/2001
ATP Organization



ATP

- Overview
- Applications
- U Intellectual Property**
- Dissemination of Information

SECTION 3: INTELLECTUAL PROPERTY

Strategies for Protecting Intellectual Property

Indicate the importance of:

- Patents _____
- Copyrights _____
- Trade Secrets _____
- Speed to Market _____
- Other _____

For each of the above choose one of the following:

- | |
|---------------|
| 3 = Primary |
| 2 = Secondary |
| 1 = Possible |
| 0 = Unlikely |

Complete the following if you responded 1,2,or 3 to "Other" strategy:

Describe other Intellectual Property Strategy

PRIOR Intellectual Property RELATED to the ATP Project

How many RELATED patents filed or granted predate the ATP project? ____
Of the RELATED patents, how many were filed by your company? ____
Of the RELATED patents, how many do you hold by Patent License? ____

List licensor Names

Complete the following two questions if you indicated a Patent License:

Of these licenses, how many do you hold by EXCLUSIVE License? ____

SECTION 3: INTELLECTUAL PROPERTY (continued)

What type of organization is the PRIMARY licensor? ____

Choose one of the following:

- | |
|--------------------|
| C = Company |
| D = DoD Laboratory |
| E = DoE Laboratory |
| N = NIST |
| U = University |
| O = Other |



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Overview
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Intellectual Property

Ⓢ **Dissemination of Information**

SECTION 4: DISSEMINATION OF INFORMATION

Dissemination of Non-Proprietary Information

Plans for Disseminating Non-Proprietary Information

Indicate the importance of:

- publishing in professional journals _____
- presenting papers at conferences _____
- participation in user associations _____
- public relations/press coverage _____
- other _____

For each of thee above questions, choose one of the following:

- | |
|---------------|
| 3 = Primary |
| 2 = Secondary |
| 1 = Minor |
| 0 = Not used |

Describe other dissemination plans

