



**ATP Close-out 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 Close-out 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 11-27 for each application listed on page 9 which you are pursuing. For example, if you enter three applications on page 9 (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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Report on ATP Project 199600000 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 Close-out Report.

MAIN MENU FOR ATP CLOSE-OUT REPORT SOFTWARE

Close-out Report on ATP Project 19940000000 for 6/30/2001
ATP Organization

ATP

- û **Overview**
 - R & D Status Summary
 - Applications
 - NIST Laboratory Assistance
 - Collaboration Impacts
 - Employment Effects
 - Attraction of New Funding
 - Intellectual Property
 - Dissemination of Information
 - 5-Year Investment Plan
 - Summary Assessment
 - Fiscal Year Financial Data

Company information, technology class, and subcontractors

SECTION 1: OVERVIEW

Overview

This Close-out 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: _____

Choose one of the following:

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

Your company's employment size: _____

Choose one of the following:

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

The company/establishment SIC (Principal Activity)
Code used on employment and tax forms: _____
[Consult your payroll officer.]

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 CLOSE-OUT REPORT SOFTWARE

Close-out Report on ATP Project 19940000000 for 6/30/2001
ATP Organization

ATP

Overview

U **Applications**

R & D Status Summary
NIST Laboratory Assistance
Collaboration Impacts
Employment Effects
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Business progress and early economic impacts by application

SECTION 2: APPLICATIONS

Applications

Review the list of major commercial applications reported earlier & add any NEW applications that you or another company pursue now or plan to pursue.

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 9)

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 9)

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 9)

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 |

Describe & quantify other business goals

Strategies for Commercialization

Choose one from list A: (see below)

Licensing to others _____

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 _____

Choose one from list B:

Legal Form

List A:

List B:

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

S = Subcontract
P = Partner/JV
I = Informal

Application Code: _____

Application Title: _____ : Page 2

(from chart on page 9)

Strategies for Commercialization continued

Describe other commercial strategy



SECTION 2: APPLICATIONS (continued)

Application Code: _____

Application Title: _____ : Page 3

(from chart on page 9)

Progress towards commercialization

(Y/N/?)

Have you negotiated license agreements? _____

Complete the following questions if you responded "Y" above:

(Y/N/?)

Exclusive license signed? _____

Non-exclusive license signed? _____

List B:

S = Subcontract
P = Partner/JV
I = Informal

Have you negotiated to form alliances? _____

Complete the following questions if you responded "Y" above:

(Y/N/?)

Choose one from list B:

Legal Form

Formed alliances with suppliers? _____

Formed alliances with joint producers? _____

Formed alliances with distributors? _____

Formed alliances with customers? _____

Alliance partner, Type (e.g., customer, supplier), Legal Form

--

Name spin-off companies & describe roles

Application Code: _____

Application Title: _____ : Page 3

(from chart on page 9)

Progress toward Commercialization continued

Have you completed To Date...

(Y/N/?)

product/process definition? _____
concept test with customers? _____
any other market analysis? _____

Complete the following if you answered "Y" to completed other market analysis:

Describe other market analysis progress

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

Choose one of the following:

0 = None remain
1 = Minor
2 = Moderately
3 = Major
? = Not sure

Complete the following if you responded 1,2, or 3 above:

Describe these technical barriers and plans to overcome them

SECTION 2: APPLICATIONS (continued)

Application Code: _____

Application Title: _____ : Page 4

(from chart on page 9)

Progress toward Commercialization continued

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?

Choose one of the following:

- | |
|-----------------|
| 0 = None remain |
| 1 = Minor |
| 2 = Moderately |
| 3 = Major |
| ? = Not sure |

Complete the following if you responded 1,2, or 3 above:

Describe these non-technical barriers and plans to overcome them

Application Code: _____

Application Title: _____: Page 4

(from chart on page 9)

Progress toward Commercialization continued

Report Changes in Competitive Standing:

Choose one from list C:

- Overall competitive standing _____
- Domestic economic conditions _____
- International political/economic conditions _____
- Trade barriers/trade wars _____
- Entry of new competitors _____

Choose one from list D:

Status of existing competitors _____

Choose one from list C:

Other factors _____

List C:

- | |
|---------------|
| - = Worsened |
| 0 = Unchanged |
| + = Improved |
| ? = Not sure |

List D:

- | |
|----------------------------|
| 1 = They moved into lead |
| 2 = Pulled even |
| 3 = Advanced; still behind |
| 4 = Unchanged |
| 5 = Fell behind |
| 6 = Not sure |

Describe competitive environment

How has your world market share changed since receiving the ATP award? ____

Choose one of the following:

- | |
|---------------|
| + = Increased |
| - = Decreased |
| 0 = Unchanged |
| ? = Not sure |

SECTION 2: APPLICATIONS (continued)

Application Code: ____

Application Title: _____: Page 5

(from chart on page 9)

Progress toward Commercialization continued

Complete the following question if you responded “+” or “-” to the previous question:

To what extent is this change related to the ATP award? ____

Choose one of the following:

- | |
|-------------------|
| 2 = Significantly |
| 1 = Moderately |
| 0 = Little/none |
| ? = Not sure |

Early Impacts on Revenue and Cost

Can you now make/perform a new/improved product/service? (Y/N/?) ____

Complete the following if you responded “Y” above:

Describe:

Complete the following if you responded that the primary result expected from the ATP project is a Product or Process(page 11).

Have you TO date:

(Y/N/?)

made a production prototype? ____
set up a pilot production/commercial demo? ____
determined production rates? ____
begun production? ____

Application Code: ____

Application Title: _____: Page 5

(from chart on page 9)

Early Impacts on Revenue and Cost continued

Complete the remainder of this and the following page if you responded that the primary result expected from the ATP project is a Product or Service(page 11).

Have you earned revenues from products/services TO DATE? (Y/N/?) ____

Note: Consider only products/services directly embodying ATP-funded technology. Revenues directly related to process improvements are addressed separately.

Complete the following if you answered "Y" above:

Briefly identify the products/services(NOT process improvements)

List major customers and where they are located

Cumulative revenues to date (\$1,000)_____ % from Exports _____

Cumulative costs of purchased materials/components/supplies for products/services sold to date [e.g. feedstocks, utilities, packaging, shipping] (\$1000's) _____

Application Code: _____

Application Title: _____: Page 5

(from chart on page 9)

Early Impacts on Revenue and Cost continued

Would these products/services have been produced and sold without the ATP project? (Y/N/?)_____

Complete the following if you responded "Y" above:

How would revenues and costs have been different



SECTION 2: APPLICATIONS (continued)

Application Code: _____

Application Title: _____ : Page 6

(from chart on page 9)

Early Impacts on Revenue and Cost continued

Have you adopted process improvements that incorporate ATP funded technology?
(Y/N/?)

Complete the following(through top of next page) if you responded “Y” above:

Describe any process improvements adopted

What products were produced using this process improvement?

List the major customers for these products and where they are located

Application Code: _____

Application Title: _____ : Page 6

(from chart on page 9)

Early Impacts on Revenue and Cost continued

Would these products have been produced/sold without the process?
(Y/N/?)

Complete the following if you responded "Y" above:

How would revenues and costs have been different?

Have you earned licensing royalties from the ATP-funded technology? (Y/N/?)

Complete the following if you answered "Y" above:

Total licensing royalties earned TO DATE(\$1000's) ____

Are royalties a percentage of licensee sales? (Y/N/?) ____

Complete the following if you responded "Y" above:

What is the average percentage ____%

List licensees, geographic location, & use being made of the license

Application Code: ____

Application Title: _____: Page 6

(from chart on page 9)

Early Impacts on Revenue and Cost continued

Describe ATP-related revenue/cost impacts OUTSIDE your firm/JV

Describe other commercialization progress

Impacts on Revenues and Costs--Next Five Years

What is the estimated total market size in the next 2 years? ____

Choose one of the following:

- | |
|--------------------|
| 1 = <\$5M |
| 2 = \$5M to <25M |
| 3 = \$25M to <100M |
| 4 = \$100M+ |

In the next 5 years? ____

Choose one of the following:

- | |
|--------------------|
| 1 = <\$5M |
| 2 = \$5M to <25M |
| 3 = \$25M to <100M |
| 4 = \$100M+ |



SECTION 2: APPLICATIONS (continued)



Application Code: ____

Application Title: _____: Page 7

(from chart on page 9)

Impacts on Revenues and Costs--Next Five Years continued

What are the anticipated total product/service revenues for your firm in the next 2 years? ____

Choose one of the following:

- 0 = \$0
- 1 = <\$1M
- 1 = \$1M-<\$5M
- 3 = \$5M-<\$10M
- 4 = \$10M-<\$25M
- 5 = \$25M-<\$50M
- 6 = \$50M+

In next 5 years? _____

Choose one of the following:

- 0 = \$0
- 1 = <\$1M
- 1 = \$1M-<\$5M
- 3 = \$5M-<\$10M
- 4 = \$10M-<\$25M
- 5 = \$25M-<\$50M
- 6 = \$50M+

What is estimated value of in-house process improvements to your firm (e.g. in increased productivity/lower production costs) in the next 2 years? _____

Choose one of the following:

- 0 = \$0
- 1 = <\$1M
- 1 = \$1M-<\$5M
- 3 = \$5M to <\$10M
- 4 = \$10M to <\$25M
- 5 = \$25M to <\$50M
- 6 = \$50M or more

Application Code: _____

Application Title: _____ : Page 7

(from chart on page 9)

Impacts on Revenues and Costs--Next Five Years continued

In the next 5 years? _____

Choose one of the following:

- 0 = \$0
- 1 = <\$1M
- 1 = \$1M-<\$5M
- 3 = \$5M to <\$10M
- 4 = \$10M to <\$25M
- 5 = \$25M to <\$50M
- 6 = \$50M or more

What is estimated value of licensing revenues expected in next 2 years? ____

Choose one of the following:

- 0 = \$0
- 1 = <\$100k
- 2 = \$100k-<\$1M
- 3 = \$1M-<\$5M
- 4 = \$5M-<\$10M
- 5 = \$10M+

In the next 5 years? ____

Choose one of the following:

- 0 = \$0
- 1 = <\$100k
- 2 = \$100k-<\$1M
- 3 = \$1M-<\$5M
- 4 = \$5M-<\$10M
- 5 = \$10M+

MAIN MENU FOR ATP CLOSE-OUT REPORT SOFTWARE

ATP

- Overview
- Applications
- ☐ **R & D Status Summary**
- NIST Laboratory Assistance
- Collaboration Impacts
- Employment Effects
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Report R&D Status

SECTION 3: R&D SUMMARY STATUS

R&D Summary Status

Estimate your current progress in completing...

Choose one from list E:

your ATP-funded R&D project? _____
all R&D needed for product development or clinical
trials to begin commercialization? _____

List E:

Choose one of the following:

- 1 = <10%
- 2 = 10-<25%
- 3 = 25-<50%
- 4 = 50-<75%
- 5 = 75-<100%

As a result of the ATP award, where are you in the R & D cycle? _____

Choose one of the following:

- + = Ahead
- 0 = Same Place
- = Behind
- ? = Not Sure

Complete the following question if you responded "+" to the above question.

Ahead by how much? _____

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

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Report assistance from NIST laboratories outside ATP

Have you received assistance from the NIST laboratories in carrying out your ATP funded project TO DATE? (Y/N) _____

SECTION 4: NIST LABORATORY CONTRIBUTION

Complete the remainder of this form if you answered "Y" to the above.

Consider ONLY activities of the NIST laboratories; not ATP staff.

Usage of NIST test equipment

Amount of Time _____

Choose one of the following:

- 0 = None
- 1 = <1 week
- 2 = 1-4 weeks
- 3 = 1-6 months
- 4 = 7-12 months
- 5 = >1 year

Complete the following if you responded 1-5 above:

Value of Assistance _____

Choose one of the following:

- 4 = Critical
- 3 = Substantial
- 2 = Moderate
- 1 = Marginal

Research Consultation with NIST Scientists

Amount of Time _____

Choose one of the following:

- 0 = None
- 1 = <1 week
- 2 = 1-4 weeks
- 3 = 1-6 months
- 4 = 7-12 months
- 5 = >1 year

Complete the following if you responded 1-5 above:

Value of Assistance _____

Choose one of the following:

- 4 = Critical
- 3 = Substantial
- 2 = Moderate
- 1 = Marginal

MAIN MENU FOR ATP CLOSE-OUT REPORT SOFTWARE

Close-out Report on ATP Project 1994000000 for 6/30/2001
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û **Collaboration Impacts**
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Report impacts of collaborations

The next questions pertain to your collaboration experiences with joint venture members, subcontractors, or other alliance partners.

Has your ATP project involved collaboration with other organizations (through joint ventures, subcontracts, or other strategic alliances) to help achieve the project goals? (Y/N/?) ____

SECTION 5: COLLABORATION IMPACTS

Choose one from list F:

How much is ATP responsible for the collaborations? _____

To what extent has collaboration helped YOUR FIRM:

Choose one from list G:

- obtain R&D expertise which the company lacks? _____
- ensure a reliable, quality source of supply? _____
- plan for manufacturing during the R&D phase? _____
- identify customer needs? _____
- accelerate product entry into the market place? _____
- obtain use of specialized facilities or equipment? _____
- avoid redundant R&D labor hours? _____
- How many? _____
- avoid redundant R&D equipment costs? _____
- How much? (\$1000's) _____
- save time, in general? _____
- stimulate creative thinking? _____
- attract more investment capital? _____

To what extent has collaboration contributed to:

Choose one from list G:

- delay in beginning of R&D phase? _____
- increased project coordination and management costs? _____
- delayed product entry into the market place? _____

To what extent are you likely to pursue further

Choose one from list F:

collaborations because of your ATP experience? _____

List F:

- 3 = Great extent
- 2 = Moderate extent
- 1 = Slightly
- 0 = Not at all
- ? = Not sure

List G:

- 2 = Significantly
- 1 = Moderately
- 0 = Little/none
- ? = Not sure

Describe any other positive/negative impacts from collaboration

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⓪ **Employment Effects**
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Report changes in employment

SECTION 6: EMPLOYMENT EFFECTS

Employment Effects

Estimate the number of NEW AND RETAINED (otherwise would have been lost) full-time equivalent (FTE) positions of different types & salary ranges (excluding fringe benefits) created DIRECTLY TO PERFORM ATP-FUNDED R&D or INDIRECTLY FOR SUBSEQUENT R&D, PRODUCTION, OR MARKETING to date:

	FTE Positions	Average Annual Salary
		Choose one from list H:
Scientist/Engineer	_____	_____
Technician	_____	_____
Marketing	_____	_____
Production	_____	_____
Senior Management	_____	_____
Other Administrative	_____	_____
Clerical	_____	_____
Other	_____	_____

List H:

- | |
|---------------|
| 1 = <\$10K |
| 2 = 10-\$25K |
| 3 = 25-\$50K |
| 4 = 50-\$75K |
| 5 = 75-\$100K |
| 6 = >\$100K+ |

How many positions have been eliminated as a result of the project? _____

Complete the following if positions have been eliminated:

Explain how the ATP project caused jobs to be lost

SECTION 6: EMPLOYMENT EFFECTS (continued)

Describe any other ATP-related effects on employment at your firm

Describe ATP-related effects on employment OUTSIDE your firm/JV

Anticipated Future Employment Effects

Will any positions be eliminated after the ATP project? (Y/N/?)

Is hiring expected for new R&D related to the ATP project? (Y/N/?)

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

Estimate number of new FTE employees: _____

Choose one of the following:

- | |
|-----------|
| 1 = 1-2 |
| 2 = 3-5 |
| 3 = 6-10 |
| 4 = 11-25 |
| 5 = >25 |

Is hiring expected for product development/production? (Y/N/?)

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

Estimate number of new FTE employees: _____

Choose one of the following:

- | |
|-----------|
| 1 = 1-2 |
| 2 = 3-5 |
| 3 = 6-10 |
| 4 = 11-25 |
| 5 = >25 |

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Report new funding the ATP project has attracted

SECTION 7: ATTRACTION OF NEW FUNDING

Attraction of New Funding

Have you received new EXTERNAL funding for the ATP-funded technology or its commercialization since the ATP award was announced? (Y/N/?)

Complete the next two questions if you responded "Y" to the above question:

Estimate the total amount TO DATE (\$1000's)

From what sources? (Y/N/?)

Owner/angel investors

Stock issue: venture capital

Stock issue: public offering

Long-term debt financing

Federal program: SBIR

Federal program: Other

Program Name

State or local government

Other

Complete the following if you have indicated "other" sources of funding:

Describe the other sources of external funding

How has your firm's INTERNAL funding of this project changed as a result of the ATP award?

[Consider what would have been invested with and without the ATP award, and any other changes in internal funding from past earnings.]

Choose one of the following:

N = No Project w/o ATP
+ = Increased
- = Decreased
0 = Stayed the same
? = Not sure

SECTION 7: ATTRACTION OF NEW FUNDING (continued)

Complete the following question if you responded "+" or "N" to the above question:

Estimate increase TO DATE (\$1000's)? _____



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Ⓢ **Intellectual Property**
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Report Intellectual Property created

SECTION 8: 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 8: 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

Enter below EACH filed patent & copyright DERIVING FROM THE ATP PROJECT. Do NOT enter items that predate ATP funding or cover pre-existing technology.

Press the INSERT key to add each. Enter the Title & Date filed.
Report on EACH patent/copyright by highlighting it & pressing ENTER.
Update when Granted.

Write in the name of each patent/copyright in the chart provided below.

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

Reported	Code	Title	Filed	Granted
Y	A		/ /	/ /
Y	B		/ /	/ /
Y	C		/ /	/ /
Y	D		/ /	/ /
Y	E		/ /	/ /
Y	F		/ /	/ /

SECTION 8: INTELLECTUAL PROPERTY (continued)

For each patent or copyright entered on page 41, complete the following screen:

Patent/Copyright Code: _____

(From chart on page 41)

Patent/Copyright Title: _____

Is this a Patent or Copyright? _____

Choose one of the following:

P = Patent
C = Copyright

Patent Number _____

Copyright Number _____

Is this a core patent or spin-off from another? _____

Choose one of the following:

C = Core
S = Spin-off

If you selected "C=Core," enter

Patent code(s) [see Table p. 41] of any Spin-offs

(These codes are automatically entered in the table on page 41 by the computer software. In order to respond to this question, pull these codes from the table at the time of data-entry.)

PCT applications filed in these regions _____

Foreign applications filed in these regions _____

For each of the above regions questions, choose all of the following that apply:

E = Europe
J = Japan
C = Canada
M = Mexico
S = SE Asia
O = Other

Applications supported [from Applications List] _____

Applications List

A. Application Title #1
B. Application Title #2
C. Application Title #3

(This list should include all applications recorded in Section 2: APPLICATIONS. List the appropriate applications; e.g, ABC or AC)

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Ⓢ **Dissemination of Information**

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Report dissemination of Non-Proprietary Information

SECTION 9: 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 the above questions, choose one of the following:

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

Describe other dissemination plans

Progress in Disseminating Non-Proprietary Information

To what extent has non-proprietary information been shared? _____

Choose one of the following:

- | |
|------------|
| 3 = Much |
| 2 = Some |
| 1 = Little |
| 0 = None |

SECTION 9: DISSEMINATION OF INFORMATION (continued)

Dissemination of Non-Proprietary Information continued

List publications in professional journals on ATP-funded technology

List presentations at conferences on ATP-funded technology

List user association activities on ATP-funded technology

List major public relations/press coverage of ATP-funded technology

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û **5-Year Investment Plan**
Summary Assessment
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Future investment in ATP funded technology -- Next five years

Section 10: 5-Year Investment Plan

5-Year Investment Plan for ATP-Funded Technology

Is YOUR company planning additional R&D? (Y/N/?)

Complete the following two questions if you responded "Y" to the first question:

How much additional R&D is planned--in the next 2 years? _____

Choose one of the following:

- | |
|------------------|
| 1 = \$100k-<\$1M |
| 2 = \$1M-<\$5M |
| 3 = \$5M-<\$10M |
| 4 = >\$10M |

In the next five years? _____

Choose one of the following:

- | |
|------------------|
| 1 = \$100k-<\$1M |
| 2 = \$1M-<\$5M |
| 3 = \$5M-<\$10M |
| 4 = >\$10M |

Is YOUR company planning additional production facilities? (Y/N/?)

Complete the following two questions if you responded "Y" to the above:

How much investment in production facilities is planned
--in the next 2 years? _____

Choose one of the following:

- | |
|------------------|
| 1 = \$100k-<\$1M |
| 2 = \$1M-<\$5M |
| 3 = \$5M-<\$10M |
| 4 = >\$10M |

In the next five years? _____

Choose one of the following:

- | |
|------------------|
| 1 = \$100k-<\$1M |
| 2 = \$1M-<\$5M |
| 3 = \$5M-<\$10M |
| 4 = >\$10M+ |

Section 10: 5 Year Investment Plan (continued)

5-Year Investment Plan for ATP-Funded Technology continued

Is ANOTHER company planning additional R&D? (Y/N/?) _____

Is ANOTHER company planning additional production facilities? (Y/N/?) _____

Describe investments planned OUTSIDE your firm/JV



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Ⓢ **Summary Assessment**
Fiscal Year Financial Data

Summary assessment of ATP project

Section 11: Summary Assessment

Summary Assessment

How has the ATP award affected your:

Choose one from list I:

credibility with suppliers? _____
with customers? _____
investors? _____
internal management? _____

List I:

+ = Positively
- = Negatively
0 = Not at all
? = Not sure

How has ATP funding affected these aspects of technology development?

Choose one from list J:

R&D scope? _____
ability to take on technical challenges? _____
long-term research? _____
interest in collaborations? _____
R&D speed? _____
preservation of U.S. ownership of the company? _____
preservation of U.S. ownership of the technology? _____

Choose one from list K:

To what extent has useful new knowledge resulted? _____

N = No project w/o ATP
+ = Increased
- = Decreased
0 = Stayed the same
? = Not sure

List J:

3 = Great extent
2 = Moderate extent
1 = Slightly
0 = Not at all
? = Not sure

List K:

Section 11: Summary Assessment (continued)

Describe effects of ATP funding on your R&D efforts

Has the ATP project had any environmental impacts TO DATE? (Y/N/?) ____

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

Describe the impacts and quantify if possible

Has the ATP project had any health or safety impacts TO DATE? (Y/N/?) ____

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

Describe the impacts and quantify if possible

Anticipated Future Effects of ATP-funded Technology

How important a revenue source is the ATP technology expected to be over the

next 5 years? ____

Choose one of the following:

- 3 = Primary
- 2 = Significant
- 1 = Minor
- 0 = No likely

Section 11: Summary Assessment (continued)

AFTER 5 years?

Choose one of the following:

- 3 = Primary
- 2 = Significant
- 1 = Minor
- 0 = No likely

Describe anticipated future effects of ATP funding WITHIN your firm


Describe anticipated future effects OUTSIDE your firm/JV

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 **Fiscal Year Financial Data**

any income statement & balance sheet for most recent year Comp

SECTION 12: FISCAL YEAR FINANCIAL DATA

Fiscal Year Financial Data

Enter the most recent fiscal year financial data for the corporate entity directly responsible for the ATP project. ALL FINANCIAL DATA IN \$1000's.

Corporate entity: _____
Year ending: _____

INCOME STATEMENT

Contract/Grant revenue _____
Product/service sales _____
License fees/royalties _____
Other revenue _____
Cost of sales (cost of goods sold) _____
R&D expenditures _____
Net income before income taxes _____
Net income after income taxes _____

Describe other revenue

BALANCE SHEET

Total assets _____
Total liabilities _____
Net worth _____

	Full-time	Part-time
Total number of employees	_____	_____
Number of R&D employees	_____	_____

Method of Accounting _____

Choose one of the following:

A = Accrual
C = Cash
O = Other

Audited/Reviewed by independent CPA? (Y/N/?) _____

