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

<table>
<thead>
<tr>
<th>Name</th>
<th>Org. Type</th>
<th>City</th>
<th>ST</th>
<th>Zip Code</th>
<th>Amount $1000's</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>
ATP

Overview

Applications
R & D Status Summary
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

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.]

<table>
<thead>
<tr>
<th>Reported</th>
<th>Code</th>
<th>Title</th>
<th>In ATP Proposal</th>
<th>Pursued By Us</th>
</tr>
</thead>
<tbody>
<tr>
<td>Y</td>
<td>A</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Y</td>
<td>B</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Y</td>
<td>C</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Y</td>
<td>D</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Y</td>
<td>E</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Y</td>
<td>F</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
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?
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:

\begin{itemize}
  \item P = Higher performance
  \item C = Lower cost
  \item B = Both P and C
  \item N = New solution
  \item O = Other
\end{itemize}

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:

\begin{itemize}
  \item % Unit cost reduction _____
  \item % Performance/quality improvement per unit _____
  \item % product life increase _____
\end{itemize}

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.

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

When is revenue anticipated? ______

Choose one of the following:

13
Describe & quantify other business goals

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

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 ___

List A: List B:

14
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:

List B:

<table>
<thead>
<tr>
<th>Exclusive license signed?</th>
<th>Non-exclusive license signed?</th>
</tr>
</thead>
<tbody>
<tr>
<td>(Y/N/?)</td>
<td></td>
</tr>
</tbody>
</table>

Have you negotiated to form alliances? ___

Complete the following questions if you responded “Y” above:

<table>
<thead>
<tr>
<th>Formed alliances with suppliers?</th>
<th>Formed alliances with joint producers?</th>
<th>Formed alliances with distributors?</th>
<th>Formed alliances with customers?</th>
</tr>
</thead>
<tbody>
<tr>
<td>(Y/N/?)</td>
<td>(Y/N/?)</td>
<td>(Y/N/?)</td>
<td>(Y/N/?)</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>0</th>
<th>None remain</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Minor</td>
</tr>
<tr>
<td>2</td>
<td>Moderately</td>
</tr>
<tr>
<td>3</td>
<td>Major</td>
</tr>
<tr>
<td>?</td>
<td>Not sure</td>
</tr>
</tbody>
</table>

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
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/?)

24
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:

<table>
<thead>
<tr>
<th></th>
<th>1 = &lt;$5M</th>
<th>2 = $5M to &lt;25M</th>
<th>3 = $25M to &lt;100M</th>
<th>4 = $100M+</th>
</tr>
</thead>
</table>

In the next 5 years? ____

Choose one of the following:

<table>
<thead>
<tr>
<th></th>
<th>1 = &lt;$5M</th>
<th>2 = $5M to &lt;25M</th>
<th>3 = $25M to &lt;100M</th>
<th>4 = $100M+</th>
</tr>
</thead>
</table>

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:

<table>
<thead>
<tr>
<th>Value Range</th>
<th>Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>$0</td>
<td>0</td>
</tr>
<tr>
<td>&lt;$1M</td>
<td>1</td>
</tr>
<tr>
<td>$1M-$5M</td>
<td>2</td>
</tr>
<tr>
<td>$5M-$10M</td>
<td>3</td>
</tr>
<tr>
<td>$10M-$25M</td>
<td>4</td>
</tr>
<tr>
<td>$25M-$50M</td>
<td>5</td>
</tr>
<tr>
<td>$50M+</td>
<td>6</td>
</tr>
</tbody>
</table>

In next 5 years? ______

Choose one of the following:

<table>
<thead>
<tr>
<th>Value Range</th>
<th>Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>$0</td>
<td>0</td>
</tr>
<tr>
<td>&lt;$1M</td>
<td>1</td>
</tr>
<tr>
<td>$1M-$5M</td>
<td>2</td>
</tr>
<tr>
<td>$5M-$10M</td>
<td>3</td>
</tr>
<tr>
<td>$10M-$25M</td>
<td>4</td>
</tr>
<tr>
<td>$25M-$50M</td>
<td>5</td>
</tr>
<tr>
<td>$50M+ or more</td>
<td>6</td>
</tr>
</tbody>
</table>

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:

<table>
<thead>
<tr>
<th>Value Range</th>
<th>Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>$0</td>
<td>0</td>
</tr>
<tr>
<td>&lt;$1M</td>
<td>1</td>
</tr>
<tr>
<td>$1M-$5M</td>
<td>2</td>
</tr>
<tr>
<td>$5M-$10M</td>
<td>3</td>
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<tr>
<td>$10M-$25M</td>
<td>4</td>
</tr>
<tr>
<td>$25M-$50M</td>
<td>5</td>
</tr>
<tr>
<td>$50M+ or more</td>
<td>6</td>
</tr>
</tbody>
</table>

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

Choose one of the following:

Choose one of the following:

In the next 5 years? ____

Choose one of the following:

Choose one of the following:

MAIN MENU FOR ATP CLOSE-OUT REPORT SOFTWARE
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:

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>&lt;10%</td>
</tr>
<tr>
<td>2</td>
<td>10--&lt;25%</td>
</tr>
<tr>
<td>3</td>
<td>25--&lt;50%</td>
</tr>
<tr>
<td>4</td>
<td>50--&lt;75%</td>
</tr>
<tr>
<td>5</td>
<td>75--&lt;100%</td>
</tr>
</tbody>
</table>

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

MAIN MENU FOR ATP CLOSE-OUT REPORT SOFTWARE
Have you received assistance from the NIST laboratories in carrying out your ATP funded project TO DATE? (Y/N) ____
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:

<table>
<thead>
<tr>
<th>Value</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>None</td>
</tr>
<tr>
<td>1</td>
<td>&lt;1 week</td>
</tr>
<tr>
<td>2</td>
<td>1-4 weeks</td>
</tr>
<tr>
<td>3</td>
<td>1-6 months</td>
</tr>
<tr>
<td>4</td>
<td>7-12 months</td>
</tr>
<tr>
<td>5</td>
<td>&gt;1 year</td>
</tr>
</tbody>
</table>

Complete the following if you responded 1-5 above:

Value of Assistance _____

Choose one of the following:

<table>
<thead>
<tr>
<th>Value</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>Critical</td>
</tr>
<tr>
<td>3</td>
<td>Substantial</td>
</tr>
<tr>
<td>2</td>
<td>Moderate</td>
</tr>
<tr>
<td>1</td>
<td>Marginal</td>
</tr>
</tbody>
</table>

Research Consultation with NIST Scientists

Amount of Time ____

Choose one of the following:

<table>
<thead>
<tr>
<th>Value</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>None</td>
</tr>
<tr>
<td>1</td>
<td>&lt;1 week</td>
</tr>
<tr>
<td>2</td>
<td>1-4 weeks</td>
</tr>
<tr>
<td>3</td>
<td>1-6 months</td>
</tr>
<tr>
<td>4</td>
<td>7-12 months</td>
</tr>
<tr>
<td>5</td>
<td>&gt;1 year</td>
</tr>
</tbody>
</table>

Complete the following if you responded 1-5 above:

Value of Assistance _____

Choose one of the following:

<table>
<thead>
<tr>
<th>Value</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>Critical</td>
</tr>
<tr>
<td>3</td>
<td>Substantial</td>
</tr>
<tr>
<td>2</td>
<td>Moderate</td>
</tr>
<tr>
<td>1</td>
<td>Marginal</td>
</tr>
</tbody>
</table>
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

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

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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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:

<table>
<thead>
<tr>
<th>FTE Positions</th>
<th>Average Annual Salary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Scientist/Engineer</td>
<td>______</td>
</tr>
<tr>
<td>Technician</td>
<td>______</td>
</tr>
<tr>
<td>Marketing</td>
<td>______</td>
</tr>
<tr>
<td>Production</td>
<td>______</td>
</tr>
<tr>
<td>Senior Management</td>
<td>______</td>
</tr>
<tr>
<td>Other Administrative</td>
<td>______</td>
</tr>
<tr>
<td>Clerical</td>
<td>______</td>
</tr>
<tr>
<td>Other</td>
<td>______</td>
</tr>
</tbody>
</table>

Choose one from list H:

<table>
<thead>
<tr>
<th>List H:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 = &lt;$10K</td>
</tr>
<tr>
<td>2 = 10-$25K</td>
</tr>
<tr>
<td>3 = 25-$50K</td>
</tr>
<tr>
<td>4 = 50-$75K</td>
</tr>
<tr>
<td>5 = 75-$100K</td>
</tr>
<tr>
<td>6 = &gt;$100K+</td>
</tr>
</tbody>
</table>

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**

---

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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 "s" or "N" to the above question:

Estimate increase TO DATE ($1000's)? ______
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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:

<table>
<thead>
<tr>
<th>3</th>
<th>2</th>
<th>1</th>
<th>0</th>
</tr>
</thead>
<tbody>
<tr>
<td>Primary</td>
<td>Secondary</td>
<td>Possible</td>
<td>Unlikely</td>
</tr>
</tbody>
</table>

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.]

<table>
<thead>
<tr>
<th>Reported</th>
<th>Code</th>
<th>Title</th>
<th>Filed</th>
<th>Granted</th>
</tr>
</thead>
<tbody>
<tr>
<td>Y</td>
<td>A</td>
<td>/</td>
<td>/</td>
<td>/</td>
</tr>
<tr>
<td>Y</td>
<td>B</td>
<td>/</td>
<td>/</td>
<td>/</td>
</tr>
<tr>
<td>Y</td>
<td>C</td>
<td>/</td>
<td>/</td>
<td>/</td>
</tr>
<tr>
<td>Y</td>
<td>D</td>
<td>/</td>
<td>/</td>
<td>/</td>
</tr>
<tr>
<td>Y</td>
<td>E</td>
<td>/</td>
<td>/</td>
<td>/</td>
</tr>
<tr>
<td>Y</td>
<td>F</td>
<td>/</td>
<td>/</td>
<td>/</td>
</tr>
</tbody>
</table>
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

(PCT applications filed in these regions ______
Foreign applications filed in these regions ______

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

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

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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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
Future investment in ATP funded technology -- Next five years
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 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? _____

List J:

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

List K:

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

<table>
<thead>
<tr>
<th>3 = Primary</th>
</tr>
</thead>
<tbody>
<tr>
<td>2 = Significant</td>
</tr>
<tr>
<td>1 = Minor</td>
</tr>
<tr>
<td>0 = No likely</td>
</tr>
</tbody>
</table>

Section 11: Summary Assessment (continued)

AFTER 5 years?

Choose one of the following:

<table>
<thead>
<tr>
<th>3 = Primary</th>
</tr>
</thead>
<tbody>
<tr>
<td>2 = Significant</td>
</tr>
<tr>
<td>1 = Minor</td>
</tr>
<tr>
<td>0 = No likely</td>
</tr>
</tbody>
</table>

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
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:

<table>
<thead>
<tr>
<th>A</th>
<th>Accrual</th>
</tr>
</thead>
<tbody>
<tr>
<td>C</td>
<td>Cash</td>
</tr>
<tr>
<td>O</td>
<td>Other</td>
</tr>
</tbody>
</table>

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