BASELINE REPORT

Introduction

This report is one of a series that you will complete throughout the life of your ATP project. These reports provide crucial information for ATP program officials to use in assessing the value of the ATP program, and reporting to policymakers and stakeholders. Thus it is important that you read the questions carefully and provide your best answer.

The primary purpose of the present report is to gather baseline information about your project and company. Because the information requested is quite diverse, the person completing this report may need to gather information from various company sources and personnel. These sources should include individuals with detailed knowledge of the technical and business aspects of the ATP-funded project, and general knowledge about your company as a whole.

Please respond to the questions on this report with regard to the following project:

Project title: []
Period of performance: []
Award Number: []

1. Administrative Information
2. Key Personnel
3. Subcontractors
4. Company Characteristics
5. ATP Project Characteristics
6. Research Effort
7. Technology Commercialization
8. Future BRS Reports

OMB No: 0693-0009 Expiration Date: 11/30/06. This report is authorized under the Paperwork Reduction Act. Under the terms and conditions of your ATP award, your response is mandatory. Data collected will be shared with ATP staff, but considered confidential by ATP staff. Public reporting burden for this collection of information is estimated to average 45 to 75 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Director, Advanced Technology Program, National Institute of Standards and Technology, 100 Bureau Drive, Stop 4700, Administration Building, Room A333, Gaithersburg, Maryland 20899-4700.
Section 1: Administrative Information

Company Information

The information shown below refers to your company organization. Please verify the accuracy of this information.

COMP_NAME  Company Name  [COMP_NAME]
UNIT_NAME  Division Name
ESTAB_ADD1  Address Line 1
ESTAB_ADD2  Address Line 2
ESTAB_ADD3  Address Line 3
ESTAB_CITY  City
ESTAB_STATE  State
ESTAB_ZIP  Zip
ESTAB_WEB  Website Address

[Programmer note: prefill company name and address info if available]
[Programmer Note: TCON_FNAME and TCON_LNAME are required fields]

[If TYPE_OF_PARTICIPATION = SA or JVL]

**Principal Investigator**

The Principal Investigator named in the terms and conditions of your ATP Cooperative Agreement is responsible for the overall direction and supervision of the ATP-funded project.

Please complete the following information for the Principal Investigator.

[If TYPE_OF_PARTICIPATION = JVP]

**Technical Contact**

The Technical Contact person for your company should be a mid- to senior-level person with responsibility for direction and supervision of technical work on this ATP-funded project.

Please complete the following information for your company’s Technical Contact.

<table>
<thead>
<tr>
<th>TCON_FNAME</th>
<th>First Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>TCON_LNAME</td>
<td>Last Name</td>
</tr>
<tr>
<td>TCON_SALUT</td>
<td>[Drop down box with following options: Dr., Mr., Miss, Mrs., Ms.]</td>
</tr>
<tr>
<td>TCON_TITLE</td>
<td>Position Title</td>
</tr>
<tr>
<td>TCON_GNDR</td>
<td>Gender Male____ Female ______</td>
</tr>
<tr>
<td>TCON_ORG1</td>
<td>Organization Name Line 1</td>
</tr>
<tr>
<td>TCON_ORG2</td>
<td>Organization Name Line 2</td>
</tr>
<tr>
<td>TCON_ADD1</td>
<td>Street Address Line 1 <em>(no PO Box addresses, please)</em></td>
</tr>
<tr>
<td>TCON_ADD2</td>
<td>Street Address Line 2</td>
</tr>
<tr>
<td>TCON_ADD3</td>
<td>Street Address Line 3</td>
</tr>
<tr>
<td>TCON_CITY</td>
<td>City</td>
</tr>
<tr>
<td>TCON_STATE</td>
<td>State</td>
</tr>
<tr>
<td>TCON_ZIP</td>
<td>Zip</td>
</tr>
<tr>
<td>TCON_PHONE</td>
<td>Telephone</td>
</tr>
<tr>
<td>TCON_EXT</td>
<td>Ext.</td>
</tr>
<tr>
<td>TCON_FAX</td>
<td>Fax</td>
</tr>
<tr>
<td>TCON_EMAIL</td>
<td>E-mail</td>
</tr>
</tbody>
</table>
[Programmer Note: BCON_FNAME and BCON_LNAME are required fields]

Business Contact

The Business Contact person for your company should be a mid- to senior-level person with responsibility for business development and commercialization aspects of this ATP-funded project.

TCON_EQ_BCON
Is your Business Contact the same person as your

[If TYPE_OF_PARTICIPATION = SA or JVL
Principal Investigator: TCON_FNAME  TCON_LNAME]

[If TYPE_OF_PARTICIPATION = JVP
Technical Contact: TCON_FNAME  TCON_LNAME]

Yes .........................  1
No .........................  2

If TCON_EQ_BCON = 1 [Yes]: copy contact info for TCON into BCON variables

If TCON_EQ_BCON = 2 [No]:
Please complete the following information for your company’s Business Contact.

BCON_FNAME First Name
BCON_LNAME Last Name
BCON_SALUT [Drop down box with following options: Dr., Mr., Miss, Mrs., Ms.]
BCON_TITLE Position Title
BCON_GNDR Gender Male____ Female ______
BCON_ORG1 Organization Name Line 1
BCON_ORG2 Organization Name Line 2
BCON_ADD1 Street Address Line 1 (no PO Box addresses, please)
BCON_ADD2 Street Address Line 2:
BCON_ADD3 Street Address Line 3
BCON_CITY City
BCON_STATE State
BCON_ZIP Zip
BCON_PHONE Telephone
BCON_EXT Ext.
BCON_FAX Fax
BCON_EMAIL E-mail
Administrative Contact
The Administrative Contact person is responsible for administrative issues relating to the ATP Cooperative Agreement, including managing contract, budget, and related matters.

Is your Administrative Contact the same person as your

ACON_EQ_TCON
[If TYPE_OF_PARTICIPATION = SA or JVL
Principal Investigator: TCON_FNAME TCON_LNAME]

[If TYPE_OF_PARTICIPATION = JVP
Technical Contact: TCON_FNAME TCON_LNAME]

[If TCON_EQ_BCON=No] or [If ACON_EQ_TCON =No]

ACON_EQ_BCON
Business Contact: [BCON_FNAME BCON_LNAME]?

Yes ......................... 1
No ......................... 2

If ACON_EQ_TCON = Yes: copy contact info for TCON into ACON variables
If ACON_EQ_BCON = Yes: copy contact info for BCON into ACON variables

If both ACON_EQ_TCON and ACON_EQ_BCON =No:
Please complete the following information for your company’s Administrative Contact.

ACON_FNAME First Name
ACON_LNAME Last Name
ACON_SALUT [Drop down box with following options: Dr., Mr., Miss, Mrs., Ms.]
ACON_TITLE Position Title
ACON_GNDR Gender Male____ Female ______
ACON_ORG1 Organization Name Line 1
ACON_ORG2 Organization Name Line 2
ACON_ADD1 Street Address Line 1 (no PO Box addresses, please)
ACON_ADD2 Street Address Line 2
ACON_ADD3 Street Address Line 3
ACON_CITY City
ACON_STATE State
ACON_ZIP Zip
ACON_PHONE Telephone
ACON_EXT Ext.
ACON_FAX Fax
ACON_EMAIL E-mail
Section 2: Key Personnel

Key Project Personnel
In the table below, please identify employees from your company who are key personnel for the ATP project at this time.

<table>
<thead>
<tr>
<th>First Name</th>
<th>Last Name</th>
<th>Gender</th>
<th>Position Title</th>
<th>Delete Entry</th>
</tr>
</thead>
<tbody>
<tr>
<td>[TCON_FNAME]</td>
<td>[TCON_LNAME]</td>
<td>Male………1 Female………2</td>
<td>[TCON_TITLE]</td>
<td></td>
</tr>
<tr>
<td>[BCON_FNAME]</td>
<td>[BCON_LNAME]</td>
<td>Male………1 Female………2</td>
<td>[BCON_TITLE]</td>
<td></td>
</tr>
<tr>
<td>[ACON_FNAME]</td>
<td>[ACON_LNAME]</td>
<td>Male………1 Female………2</td>
<td>[ACON_TITLE]</td>
<td></td>
</tr>
</tbody>
</table>

KP#_FNAME KP#_LNAME KP#_GNDR KP#_TITLE

Add/Update
Press ‘Add/Update’ button to add another row, or to update table.

[Programming note: The same person should not be listed more than once in this table]

For the key personnel listed below, please indicate the citizenship status of each person.

<table>
<thead>
<tr>
<th>Name</th>
<th>Citizenship Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>[KP#_FNAME KP#_LNAME]</td>
<td>Born U.S. citizen = 1 Naturalized U.S. citizen =2 Permanent resident=3 Other=4</td>
</tr>
</tbody>
</table>

[Programmer note: Variables KP#_FNAME KP#_LNAME indicate the names of all key personnel, including TCON, BCON, ACON.]
For the key personnel shown below, please indicate graduate degrees that each person holds. Please check all that apply for each person.

<table>
<thead>
<tr>
<th>Name</th>
<th>Master’s</th>
<th>PhD</th>
<th>MD</th>
<th>Other graduate degree</th>
</tr>
</thead>
<tbody>
<tr>
<td>[KP#_FNAME KP#_LNAME]</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>[KP#_FNAME KP#_LNAME]</td>
<td>KP# M</td>
<td>KP# PHD</td>
<td>KP# MD</td>
<td>KP# OTH</td>
</tr>
</tbody>
</table>

For the key personnel shown below, please enter the university and department where the degree indicated was earned.

<table>
<thead>
<tr>
<th>Name</th>
<th>Graduate degree</th>
<th>University</th>
<th>Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>[KP#_FNAME KP#_LNAME]</td>
<td>[highest degree selected in table above]</td>
<td></td>
<td></td>
</tr>
<tr>
<td>[KP#_FNAME KP#_LNAME]</td>
<td>KP# DEG_UNIV</td>
<td>KP# DEG_DEPT</td>
<td></td>
</tr>
</tbody>
</table>

[Programmer note: Show only the “highest” graduate degree selected in previous table. The order of priority is: (1) PhD, (2) MD, (3) Master’s, (4) Other graduate degree.]

For the key personnel listed below, please enter the total years of work experience of each person.

<table>
<thead>
<tr>
<th>Name</th>
<th>Total years of work experience</th>
</tr>
</thead>
<tbody>
<tr>
<td>[KP#_FNAME KP#_LNAME]</td>
<td></td>
</tr>
<tr>
<td>[KP#_FNAME KP#_LNAME]</td>
<td>KP#_WRKEXP (0-99)</td>
</tr>
</tbody>
</table>
For the key personnel listed below, please indicate the role(s) each person serves on the ATP-funded project. Please check all that apply for each person.

<table>
<thead>
<tr>
<th>Name</th>
<th>Technical Role</th>
<th>Business Development Role</th>
<th>Management Role</th>
</tr>
</thead>
<tbody>
<tr>
<td>[KP#_FNAME KP#_LNAME]</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>[KP#_FNAME KP#_LNAME]</td>
<td>KP#_TECHROLE</td>
<td>KP#_BUSROLE</td>
<td>KP#_MGMTROLE</td>
</tr>
</tbody>
</table>

[Programmer note: In tables above, variable KP#_ indicates names of all key personnel, including TCON, BCON, ACON.]
Section 3: Subcontractors

Subcontractor Information
Does your company have any subcontractors for the ATP project? If so, please provide information on subcontractors that your company is using.

[If TYPE_OF_PARTICIPATION = JVL or JVP]
For joint venture (JV) projects, please report only subcontractors that your company pays directly. Other JV partner organizations will report subcontractors that they pay directly.

In the table below, please identify subcontractors working for your company on the ATP project.

<table>
<thead>
<tr>
<th>Subcontractor Organization Name</th>
<th>City</th>
<th>State</th>
<th>Zip</th>
<th>Delete Entry</th>
</tr>
</thead>
<tbody>
<tr>
<td>SUB#_ORG</td>
<td>SUB#_CITY</td>
<td>SUB#_STATE</td>
<td>SUB#_ZIP</td>
<td></td>
</tr>
</tbody>
</table>

Add/Update
Press ‘Add/Update’ button to add another row, or to update table.
[Fill out for each subcontractor]

**SUB#_ORGTYPE**
The subcontractor [SUB#_ORG] is a: (Check one)
  - For-profit business .................................1
  - University ...........................................2
  - Government laboratory ..........................3
  - Non-profit organization .......................4
  - Other type of organization ....................5

**SUB#_EMPLOY**
How many total employees does this subcontractor have?
  - Fewer than 10.................................1
  - 10 to 99 ..........................................2
  - 100 to 499 ......................................3
  - 500 or more .....................................4
Please provide information for the person at [SUB#_ORG] responsible for carrying out the work on the subcontract.

<table>
<thead>
<tr>
<th>Variable</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>SUB#_CON_FNAME</td>
<td>First Name</td>
</tr>
<tr>
<td>SUB#_CON_LNAME</td>
<td>Last Name</td>
</tr>
<tr>
<td>SUB#_CON_TITLE</td>
<td>Position Title</td>
</tr>
<tr>
<td>SUB#_CON_SALUT</td>
<td>[Drop down box with following options: Dr., Mr., Miss, Mrs., Ms.]</td>
</tr>
<tr>
<td>SUB#_CON_GNDR</td>
<td>Gender</td>
</tr>
<tr>
<td>SUB#_CON_ORG1</td>
<td>Organization Name Line 1</td>
</tr>
<tr>
<td>SUB#_CON_ORG2</td>
<td>Organization Name Line 2</td>
</tr>
<tr>
<td>SUB#_CON_ADD1</td>
<td>Address Line 1</td>
</tr>
<tr>
<td>SUB#_CON_ADD2</td>
<td>Address Line 2</td>
</tr>
<tr>
<td>SUB#_CON_ADD3</td>
<td>Address Line 3</td>
</tr>
<tr>
<td>SUB#_CON_CITY</td>
<td>City</td>
</tr>
<tr>
<td>SUB#_CON_STATE</td>
<td>State</td>
</tr>
<tr>
<td>SUB#_CON_zip</td>
<td>Zip</td>
</tr>
<tr>
<td>SUB#_CON_PHONE</td>
<td>Telephone</td>
</tr>
<tr>
<td>SUB#_CON_EXT</td>
<td>Ext.</td>
</tr>
<tr>
<td>SUB#_CON_EMAIL</td>
<td>E-mail</td>
</tr>
</tbody>
</table>
**SUB#_PRIOR**
Has your company worked with this subcontractor before (i.e., prior to the current ATP project)?
- Yes .................. 1
- No .................... 2

**[If SUB#_PRIOR = Yes]**

**SUB#_PRIORYRS**
How many years of experience has your company had working with this subcontractor?
_____ Years (1-99)

**SUB#_AMOUNT**
What is the total amount of this subcontract for the ATP project?
$ __________ (0.00-999.99)

- Thousands .............. 1
- Millions ............... 2

SUB#_AMOUNT_UNITS

Does the work performed by this subcontractor on the ATP project involve:

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>SUB#_RD</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Collaborative R&amp;D?</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>SUB#_EQUIP</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Design and delivery of specialized equipment?</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>SUB#_MAT</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Provision of specialized materials?</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>SUB#_TEST</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Testing or laboratory services?</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>SUB#_OTH</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td>1</td>
<td>2</td>
</tr>
</tbody>
</table>

**SUB#_OS**
Please specify:

**SUB#_DESC**
Please briefly describe the subcontract work, and indicate why this subcontractor was selected to perform the work.

__________________________________________________________________________________________________________________________
__________________________________________________________________________________________________________________________
__________________________________________________________________________________________________________________________
__________________________________________________________________________________________________________________________
Section 4: Company Characteristics

Please provide descriptive information on your company [COMP_NAME].

Background Information

COMP_FORM
Is your company [COMP_NAME] a:

_Sole proprietorship?..............................................................1
_Partnership?...........................................................................2
_Limited liability company (LLC)?........................................3
_Corporation? .........................................................................4

COMP_MULTI_ESTAB
Does your company currently have more than one business location?

Yes ..............................1
No................................2

[If COMP_FORM = Corporation]

COMP_PUB
Is your company [COMP_NAME] a public company (i.e., company stock is publicly traded)?

Yes ..............................1
No................................2

COMP_PUB_TICKER
If yes, please provide the stock ticker symbol for your company:

_____ Stock ticker symbol

[If COMP_FORM ≠ Corporation, then set COMP_PUB = No]
### COMP_EST_YR
In what year was your company established?

_____ Year (1800-2005)

### COMP_PARENT
Is your company wholly-owned or majority-owned by another company (i.e., a parent company)?

<table>
<thead>
<tr>
<th>Yes</th>
<th>1</th>
</tr>
</thead>
<tbody>
<tr>
<td>No</td>
<td>2</td>
</tr>
</tbody>
</table>

If COMP_PARENT = Yes:

#### COMP_PARENT_NAME
Please provide the name of your parent company:

________ Name

#### COMP_PUBPARENT
Is your parent company a public company (i.e., company stock is publicly traded)?

<table>
<thead>
<tr>
<th>Yes</th>
<th>1</th>
</tr>
</thead>
<tbody>
<tr>
<td>No</td>
<td>2</td>
</tr>
</tbody>
</table>

#### COMP_PARENT_TICKER
If yes, please provide the stock ticker symbol for your parent company:

_____ Stock ticker symbol

#### COMP_PARENT_REVENUE
If your parent company is not a public company, what were total company revenues for your parent company last year?

S_________ (0.00-999.99)

<table>
<thead>
<tr>
<th>Thousands ......1</th>
</tr>
</thead>
<tbody>
<tr>
<td>Millions ..........2</td>
</tr>
<tr>
<td>Billions ..........3</td>
</tr>
</tbody>
</table>
Employment Information

Please provide employment information for your company [COMP_NAME].

**COMP_EMPLOY**
Including full-time and part-time employees, how many employees did your company have at the end of the last calendar quarter?

_______ Total employees (0-999,999)

**COMP_EMPLOY_RD**
Including full-time and part-time employees, how many employees at your company worked in R&D at the end of the last calendar quarter?

_____ R&D employees (0-999,999)
Financial Information

Please provide the following financial information for your company [COMP_NAME] from your last fiscal year financial report.

**COMP_FISCALYR**
What was the closing date for your last fiscal year reporting period?
____Month/Day/Year (Month: 1-12, Day: 1-31, Year: 2000-2005)

**COMP_REVENUE**
Including all sources of revenue (e.g., sales, licensing, research contracts, grants, etc.), what were total company revenues for the last fiscal year?
$__________ (0.00-999.99)

COMP_REVENUE_UNITS
Thousands ......1
Millions ........2
Billions .........3

**COMP_RD**
What were total R&D expenditures at your company for the last fiscal year?
$__________ (0.00-999.99)

COMP_RD_UNITS
Thousands ......1
Millions ........2
Billions .........3
If COMP_PUB = No

Please provide additional financial information for your company [COMP_NAME] from your last fiscal year financial report.

### Income Statement

Amounts are reported in:

<table>
<thead>
<tr>
<th>Units</th>
<th>Description</th>
<th>Min-Max</th>
</tr>
</thead>
<tbody>
<tr>
<td>Thousands</td>
<td>Revenues</td>
<td>(0.00-999.99)</td>
</tr>
<tr>
<td>Millions</td>
<td>Cost of Sales</td>
<td>(0.00-999.99)</td>
</tr>
<tr>
<td>Billions</td>
<td>Income Before Taxes</td>
<td>(-999.99-999.99)</td>
</tr>
<tr>
<td></td>
<td>Net Income</td>
<td>(-999.99-999.99)</td>
</tr>
</tbody>
</table>

**COMP_REV**  Revenues  $_____  (0.00-999.99)

**COMP_COS**  Cost of Sales  $_____  (0.00-999.99)

**COMP_OI**  Income Before Taxes  $_____  (-999.99-999.99)

**COMP_NI**  Net Income  $_____  (-999.99-999.99)

### Balance Sheet

Amounts are reported in:

<table>
<thead>
<tr>
<th>Units</th>
<th>Description</th>
<th>Min-Max</th>
</tr>
</thead>
<tbody>
<tr>
<td>Thousands</td>
<td>Total Assets</td>
<td>(0.00-999.99)</td>
</tr>
<tr>
<td>Millions</td>
<td>Current assets</td>
<td>(0.00-999.99)</td>
</tr>
<tr>
<td>Billions</td>
<td>Long-term assets</td>
<td>(0.00-999.99)</td>
</tr>
</tbody>
</table>

**COMP_ASSET**  Total Assets  $_____  (0.00-999.99)

**COMP_ASSET_CURR**  Current assets  $_____  (0.00-999.99)

**COMP_ASSET_LT**  Long-term assets  $_____  (0.00-999.99)

**COMP_LIAB**  Total Liabilities  $_____  (0.00-999.99)

**COMP_LIAB_CURR**  Current liabilities  $_____  (0.00-999.99)

**COMP_LIAB_LT**  Long-term liabilities  $_____  (0.00-999.99)

**COMP_EQUITY**  Owners’ Equity  $_____  (0.00-999.99)
<table>
<thead>
<tr>
<th>Shareholder Category</th>
<th>Percentage</th>
<th>Variable</th>
</tr>
</thead>
<tbody>
<tr>
<td>Founders and top management</td>
<td>____%</td>
<td>COMP_SHR_MGMT (0-100)</td>
</tr>
<tr>
<td>Individual investors (i.e., “angel” investors)</td>
<td>____%</td>
<td>COMP_SHR_ANGEL (0-100)</td>
</tr>
<tr>
<td>Venture capital</td>
<td>____%</td>
<td>COMP_SHR_VC (0-100)</td>
</tr>
<tr>
<td>Other companies</td>
<td>____%</td>
<td>COMP_SHR_CORP (0-100)</td>
</tr>
<tr>
<td>Employees</td>
<td>____%</td>
<td>COMP_SHR_EMPL (0-100)</td>
</tr>
<tr>
<td>Other, please specify: ____________</td>
<td>____%</td>
<td>COMP_SHR_OTH (0-100)</td>
</tr>
<tr>
<td>SUM</td>
<td>100%</td>
<td>COMP_SHR_OS</td>
</tr>
</tbody>
</table>
Company Management

[If COMP_EMPLOY < 500 and COMP_PUB = No]

COMP_STARTUP
Do you consider your company to be a start-up company?
   Yes .............................................1
   No ............................................2

[If COMP_STARTUP = Yes]

STARTUP_PREV
Apart from your current company, have any of the senior members of your company been a founder of another start-up company?
   Yes .............................................1
   No ............................................2

STARTUP_EXP
Overall, how much experience do senior members of your company have with managing or directing start-up companies?
   A great deal of experience ......................................................4
   A moderate amount of experience .........................................3
   A little experience ...............................................................2
   No experience at all ............................................................1
[If COMP_STARTUP = Yes]

**STARTUP_BOARD**
Does your company have a formally established Board of Directors?
Yes ..............................1
No.................................2

**STARTUP_SCIBOARD**
Does your company have a formally established Scientific Advisory Board?
Yes ..............................1
No.................................2
[If COMP_STARTUP = Yes]

If STARTUP_BOARD = Yes:

STARTUP_BOARD_INTERACT
How often do senior members of your company consult with members of the Board of Directors (either formally or informally)?
  More than once a week ...........................................................6
  Several times a month .........................................................5
  About once a month ..........................................................4
  Several times a year .........................................................3
  Once or twice a year .........................................................2
  Less often than once a year ..............................................1

If STARTUP_SCIBOARD = Yes:

STARTUP_SCIBOARD_INTERACT
How often do senior members of your company consult with members of the Scientific Advisory Board (either formally or informally)?
  More than once a week ...........................................................6
  Several times a month .........................................................5
  About once a month ..........................................................4
  Several times a year .........................................................3
  Once or twice a year .........................................................2
  Less often than once a year ..............................................1
R&D Characteristics of Your Company

[If COMP_RD > 0]

You reported that your company’s total R&D expenditures for the fiscal year were: [COMP_RD][COMP_RD_UNITS].

What percent of your company’s R&D expenditures last fiscal year was devoted to:

- Basic Research _____% COMP_RD_BAS (0-100)
- Applied Research _____% COMP_RD_APP (0-100)
- Product Development _____% COMP_RD_DEV (0-100)

SUM = 100%

COMP_RD_LT
What percent of your company’s R&D expenditures last fiscal year was devoted to research projects with project duration of three years or more?
_____% (0-100)

COMP_RD_EXT
What percent of your company’s R&D expenditures last fiscal year was funded from external resources (e.g., government sources, other companies)?
_____% (0-100)

If COMP_RD_EXT > 0:
Of your company’s externally funded R&D expenditures last year, what percent was from:
- Federal government _____% COMP_RD_FED (0-100)
- State and local government _____% COMP_RD_STATE (0-100)
- Other companies _____% COMP_RD_CORP (0-100)
- Other external sources _____% COMP_RD_OTH (0-100)

SUM = 100%
[If COMP_EMPLOY < 500]

COMP_SBIR
Has your company ever received R&D funding from a federal government SBIR program?

Yes .........................1
No...........................2

If yes, specify agency: __________ COMP_SBIR_SPEC

If COMP_SBIR = Yes:

COMP_SBIR_YR
What was the most recent year in which your company received an SBIR award?
_____ Year (1982-2005)

Has your company ever received assistance for R&D or business development through:
(Please check all that apply.)

_ A state or local government program COMP_LOCALPROG
_ A university program COMP_UNIVPROG
_ A technology or business incubator COMP_INCUBATOR

COMP_PROGSUPPORT_YR
What was the most recent year in which your company received assistance from a state or local government program, university program, or technology or business incubator?
_____ Year (1980-2005)
[If COMP_MULTI_ESTAB = Yes]

R&D Characteristics of Your Location

Since your company has more than one business location, please answer the following questions with respect to your own specific location.

**ESTAB_TYPE**
Is your business location dedicated exclusively to R&D (i.e., your business location performs only R&D, and no other functions such as manufacturing, sales, etc.)?
- Yes ..............................1
- No...............................2

**ESTAB_RD**
What were total R&D expenditures at your business location for the last fiscal year?
$__________ (0.00-999.99)
- Thousands ......1
- Millions ...........2
- Billions ..........3

**ESTAB_EMPLOY**
At the end of the last calendar quarter, how many employees worked at your business location?
_____ Employees (1-99,999)

**ESTAB_EMPLOY_RD**
At the end of the last calendar quarter, how many employees worked in R&D at your business location?
_____ R&D employees (1-99,999)
Section 5: ATP Project Characteristics

Project Description

**PROJ_DESC**
Please describe the key technology and R&D expertise that your company brings to this project.

____________________________________________________________________
____________________________________________________________________
____________________________________________________________________
____________________________________________________________________

**PROJ_GOAL**
Please describe your company’s “big-picture” overall technical and business goal for this project?

____________________________________________________________________
____________________________________________________________________
____________________________________________________________________
____________________________________________________________________
Project Difficulty and Risk

**PROJ_AMBITIOUS**
Relative to other R&D initiatives in your industry, how ambitious would you say are the overall goals identified for this project?

- Much less ambitious
- Equally ambitious
- Much more ambitious

1-6-7

To what extent would you say your project represents:

**NEWDIR_COMP**
A new R&D direction for your company?

- Large extent
- Moderate extent
- Small extent
- Not at all

4-3-2-1

**NEWDIR_FIELD**
A new R&D direction for your industry or technology field?

- Large extent
- Moderate extent
- Small extent
- Not at all

4-3-2-1
PROJ_DIFFICULT
Consider the technical difficulty of your ATP project. How does this project compare to a typical R&D project at your company?

Much less difficult | Equally difficult | Much more difficult
1-------------------2-------------------3-------------------4-------------------5-------------------6-------------------7

TYP_TECH_PROB
Consider technical risk. What would you say is the probability, from 0% to 100%, that a typical R&D project at your company can achieve all of the technical targets required for project success?

____% (0-100)

ATP_MINTECH_PROB
For your ATP project, consider the technical risk in achieving your minimal technical goals. What would you say is the probability, from 0% to 100%, that your company can achieve the minimal technical targets required for success on this project?

____% (0-100)

ATP_MAXTECH_PROB
For your ATP project, consider the technical risk in achieving your maximal “stretch” technical goals. What would you say is the probability, from 0% to 100%, that your company can achieve the maximal “stretch” technical goals for this project?

____% (0-100)

ATP_BUS_IMPACT_TIME
Consider the expected business impact of the ATP-funded project on your company. Approximately how many years after the start of the project do you expect results to first have an impact on company revenues or costs?

_____years (0-99)

TYP_BUS_IMPACT_TIME
For a typical R&D project at your company, approximately how many years after the start of the project would you expect results to first have an impact on company revenues or costs?

_____years (0-99)
[If TYPE_OF_PARTICIPATION = SA]

PROJ_PROB
Considering all aspects of technical and business risks and challenges, what is your current estimate of the probability, from 0% to 100%, that your company can fully achieve the overall goal for the project?

____% (0-100)

[If TYPE_OF_PARTICIPATION = JVL or JVP]

PROJ_PROB
Think about the overall goal of the joint venture (JV) project as a whole. Considering all aspects of technical and business risks and challenges, what is your current estimate of the probability, from 0% to 100%, that the JV project can fully achieve its overall goals?

____% (0-100)

PROJ_COMP_PROB
Think about your company’s overall goals for the project. Considering all aspects of technical and business risks and challenges, what is your current estimate of the probability, from 0% to 100%, that your company can fully achieve its overall goals?

____% (0-100)
Technology Source

Consider the relationship between your ATP project and other R&D projects at your company.

To what extent does your ATP project:

**BUILD_PREV**  
Build on previous R&D work at your company?  
- Large extent .........................................................4  
- Moderate extent ..................................................3  
- Small extent .......................................................2  
- Not at all..........................................................1

**ENHANCE_PREV**  
Enhance the value of previous R&D work at your company?  
- Large extent ..............................................................4  
- Moderate extent .....................................................3  
- Small extent ..........................................................2  
- Not at all..............................................................1

<table>
<thead>
<tr>
<th>To what extent is your ATP project based on:</th>
<th>Large Extent</th>
<th>Moderate Extent</th>
<th>Small Extent</th>
<th>Not at all</th>
</tr>
</thead>
<tbody>
<tr>
<td>RES_UNIV</td>
<td>Research from universities</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>LIC_UNIV</td>
<td>Technology licensed from universities</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>RES_GOV</td>
<td>Research from government laboratories</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>LIC_GOV</td>
<td>Technology licensed from government laboratories</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>RES_NP</td>
<td>Research from non-profit institutions</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>LIC_NP</td>
<td>Technology licensed from non-profit institutions</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>RES_COMP</td>
<td>Research from other companies</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>LIC_COMP</td>
<td>Technology licensed from other companies</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
</tbody>
</table>
Technology Diffusion

Think about the types of knowledge that your ATP project is expected to produce.

Consider research findings to be knowledge that can be written down and easily communicated to others, and research “know-how” to be knowledge gained from experience and practice that is less easily transferred.

RESULTS_DIFFUSION
How quickly do you expect critical research findings from this project to become known to others outside your company?

- Within 2 years of project end..................................................1
- 2 to 5 years after project end..................................................2
- 5 to 10 years after project end...............................................3
- 10 or more years after project end .........................................4
- Never.......................................................................................5

KNOWHOW_DIFFUSION
How quickly do you expect the critical research “know-how” from this project to become known to others outside your company?

- Within 2 years of project end..................................................1
- 2 to 5 years after project end..................................................2
- 5 to 10 years after project end...............................................3
- 10 or more years after project end .........................................4
- Never.......................................................................................5

<table>
<thead>
<tr>
<th></th>
<th>To what extent does your company encourage staff to:</th>
<th>Large Extent</th>
<th>Moderate Extent</th>
<th>Small Extent</th>
<th>Not at all</th>
</tr>
</thead>
<tbody>
<tr>
<td>RES_PUB</td>
<td>Publish articles in research journals</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>IND_PUB</td>
<td>Publish articles in trade publications</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>RES_CONF</td>
<td>Participate in research meetings and conferences</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>IND_CONF</td>
<td>Participate in industry meetings and conferences</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
</tbody>
</table>
To what extent does your company plan to actively disseminate:

**RESULTS_DISSEM**
Research *findings* from your ATP project?
- Large extent .................................................................4
- Moderate extent ...........................................................3
- Small extent .................................................................2
- Not at all........................................................................1

**KNOWHOW_DISSEM**
Research *“know-how”* from your ATP project?
- Large extent .................................................................4
- Moderate extent ...........................................................3
- Small extent .................................................................2
- Not at all........................................................................1
**Intellectual Property and Innovation**

[If TYPE_OF_PARTICIPATION = SA] Consider the importance of existing intellectual property (IP) for carrying out your ATP project.

How important are each of the following:

<table>
<thead>
<tr>
<th>IP Type</th>
<th>Importance</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Existing IP owned by your company</td>
<td>OWN_BIP</td>
<td></td>
</tr>
<tr>
<td>Extremely important</td>
<td></td>
<td>4</td>
</tr>
<tr>
<td>Very important</td>
<td></td>
<td>3</td>
</tr>
<tr>
<td>Somewhat important</td>
<td></td>
<td>2</td>
</tr>
<tr>
<td>Not too important</td>
<td></td>
<td>1</td>
</tr>
<tr>
<td>Existing IP owned by other companies or organizations that your company already has access to under negotiated agreements</td>
<td>LIC_BIP</td>
<td></td>
</tr>
<tr>
<td>Extremely important</td>
<td></td>
<td>4</td>
</tr>
<tr>
<td>Very important</td>
<td></td>
<td>3</td>
</tr>
<tr>
<td>Somewhat important</td>
<td></td>
<td>2</td>
</tr>
<tr>
<td>Not too important</td>
<td></td>
<td>1</td>
</tr>
<tr>
<td>Existing IP owned by other companies or organizations that your company will need to gain access to through future negotiation</td>
<td>TBD_BIP</td>
<td></td>
</tr>
<tr>
<td>Extremely important</td>
<td></td>
<td>4</td>
</tr>
<tr>
<td>Very important</td>
<td></td>
<td>3</td>
</tr>
<tr>
<td>Somewhat important</td>
<td></td>
<td>2</td>
</tr>
<tr>
<td>Not too important</td>
<td></td>
<td>1</td>
</tr>
</tbody>
</table>
[If TYPE_OF_PARTICIPATION = JVL or JVP]
Consider the importance of existing intellectual property (IP) for carrying out your ATP joint venture (JV) project.

How important are each of the following:

Existing IP owned by your company

- Extremely important ...............................................................4
- Very important........................................................................3
- Somewhat important ...............................................................2
- Not too important....................................................................1

Existing IP owned by your JV partners

- Extremely important ...............................................................4
- Very important........................................................................3
- Somewhat important ...............................................................2
- Not too important....................................................................1

Existing IP owned by companies or organizations outside of your JV, that your company already has access to under negotiated agreements

- Extremely important ...............................................................4
- Very important........................................................................3
- Somewhat important ...............................................................2
- Not too important....................................................................1

Existing IP owned by companies or organizations outside of your JV, that your company will need to gain access to through future negotiation

- Extremely important ...............................................................4
- Very important........................................................................3
- Somewhat important ...............................................................2
- Not too important....................................................................1
**BIP_PATENT**
Does your ATP project depend on any key patents?
- Yes ......................................1
- No ........................................2

---

**[If TYPE_OF_PARTICIPATION = SA] and [If BIP_PATENT = Yes]**

Of the key patents that your ATP project depends on…

**BIP_OWN_PATENTS**
How many are owned by your company?
- _____ Patents (0-99)

**BIP_LIC_PATENTS**
How many are licensed from other companies or organizations?
- _____ Patents (0-99)

---

**[If TYPE_OF_PARTICIPATION = JV] and [If BIP_PATENT = Yes]**

Of the key patents that your ATP project depends on…

**BIP_OWN_PATENTS**
How many are owned by your company?
- _____ Patents (0-99)

**BIP_JVP_PATENTS**
How many are owned by your JV partners?
- _____ Patents (0-99)

**BIP_LIC_PATENTS**
How many are licensed from other companies or organizations outside your JV?
- _____ Patents (0-99)
For your company, how important are each of the following means of capturing value from innovation:

<table>
<thead>
<tr>
<th>VALCAP_SECRECY</th>
<th>Maintaining intellectual property through trade secrecy</th>
<th>Extremely important</th>
<th>Very important</th>
<th>Somewhat important</th>
<th>Not too important</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>VALCAP_PATENT</td>
<td>Maintaining intellectual property through patent or copyright protection</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>VALCAP_FIRSTMKT</td>
<td>Being first to market</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>VALCAP_RDCAPAB</td>
<td>Using complementary R&amp;D capabilities</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>VALCAP_OTHCAPAB</td>
<td>Using complementary manufacturing, distribution, or service capabilities</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>PAT _PROFIT</td>
<td>To earn profits while keeping others from copying your technology</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>PAT _LICREV</td>
<td>To earn licensing revenues</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>PAT _TRADE</td>
<td>To gain access to the technology of others through cross-licensing agreements</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>PAT _BLOCK</td>
<td>To block others from patenting technology paths important to your company</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>PAT _DEFEND</td>
<td>To prevent patent infringement lawsuits against your company</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>PAT _RDREP</td>
<td>To enhance the reputation of your company and your R&amp;D employees</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
</tbody>
</table>
R&D Collaboration

[If TYPE_OF_PARTICIPATION = SA]  
COLLAB_RD  
Has your company participated in collaborative R&D partnerships or relationships with other organizations within the past 3 years?  
Yes ..............................1  
No................................2  

[If TYPE_OF_PARTICIPATION = JVL or JVP]  
COLLAB_RD  
Aside from your current ATP project, has your company participated in collaborative R&D partnerships or relationships with other organizations within the past 3 years?  
Yes ..............................1  
No................................2  

[If COLLAB_RD = Yes]  
Within the past 3 years, how many collaborative R&D partnerships or relationships has your company had with:  

COLLAB_CORP  
Other companies?  
0....................1  
1-2...............2  
3-5.............3  
6-10............4  
11+..........5  

COLLAB_UNIV  
Universities?  
0....................1  
1-2...............2  
3-5.............3  
6-10............4  
11+..........5  

COLLAB_GOV  
Government laboratories?  
0....................1  
1-2...............2  
3-5.............3  
6-10............4  
11+..........5  

5-13
COLLAB_NP
Non-profit organizations?
0....................1
1-2...............2
3-5.............3
6-10..........4
11+.............5
[If TYPE_OF_PARTICIPATION = SA]

In developing your ATP-funded project, to what extent did …

**SA_INDIV_TIES**
Individuals in your company form new research ties or contacts with individuals at other organizations?

<table>
<thead>
<tr>
<th>Extent</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Large extent</td>
<td>4</td>
</tr>
<tr>
<td>Moderate extent</td>
<td>3</td>
</tr>
<tr>
<td>Small extent</td>
<td>2</td>
</tr>
<tr>
<td>Not at all</td>
<td>1</td>
</tr>
</tbody>
</table>

**SA_NEWREL**
Your company establish new research partnerships or relationships with other organizations?

<table>
<thead>
<tr>
<th>Extent</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Large extent</td>
<td>4</td>
</tr>
<tr>
<td>Moderate extent</td>
<td>3</td>
</tr>
<tr>
<td>Small extent</td>
<td>2</td>
</tr>
<tr>
<td>Not at all</td>
<td>1</td>
</tr>
</tbody>
</table>

**SA_EXTENDREL**
Your company extend or strengthen existing research relationships with other organizations?

<table>
<thead>
<tr>
<th>Extent</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Large extent</td>
<td>4</td>
</tr>
<tr>
<td>Moderate extent</td>
<td>3</td>
</tr>
<tr>
<td>Small extent</td>
<td>2</td>
</tr>
<tr>
<td>Not at all</td>
<td>1</td>
</tr>
</tbody>
</table>
[If TYPE_OF_PARTICIPATION = JVL or JVP]

How important was each of the following reasons in your company’s decision to partner with other companies in the ATP-funded joint venture (JV) project.

<table>
<thead>
<tr>
<th>Reason</th>
<th>Importance</th>
<th>Extremely important</th>
<th>Very important</th>
<th>Somewhat important</th>
<th>Not too important</th>
</tr>
</thead>
<tbody>
<tr>
<td>JV_POOL</td>
<td>To pool resources with other firms in order to reduce the cost of R&amp;D or achieve a greater scale of effort</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>JV_RDCOMP</td>
<td>To benefit from complementary R&amp;D expertise and capabilities of different firms</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>JV_LEARN</td>
<td>To gain knowledge and learn from other firms</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>JV_INDOBJ</td>
<td>To address a technological problem that is common to your industry</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>JV_BUS</td>
<td>To access commercialization capabilities of other firms</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>JV_OTH</td>
<td>Other</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>JV_OS</td>
<td>please specify:</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
[If TYPE_OF_PARTICIPATION = JVL or JVP]

**JV_STRUCTURE**
Which of the following best characterizes the structure of your JV?
One project leader; other partners have supporting roles ......................... 1
Some partners are principal participants; other partners have supporting roles...... 2
All partners have equally important roles ...................................................... 3

Would you characterize any of your JV partner companies as a:

**JV_SUPPLIER**  
Supplier (partner company provides inputs to your company’s products/technologies)

**JV_CUSTOMER**  
Customer (partner company purchases your company’s products/technologies)

**JV_COMPLEMENTOR**  
“Complementor” (partner company’s products/technologies are used together with your company’s products/technologies)

**JV_COMPETITOR**  
Competitor (partner company serves the same product market as your company)

**JV_OTHER, JV_OSPEC**  
Other, please specify: ____________

**JV_PRIOR_RESREL**
Prior to this project, to what extent did your company have existing research relationships with your JV partner organizations?
Large extent ................................................................. 4
Moderate extent ........................................................... 3
Small extent ............................................................... 2
Not at all........................................................................... 1

**JV_PRIOR_BUSREL**
Prior to this project, to what extent did your company have existing business relationships with your JV partner organizations?
Large extent ................................................................. 4
Moderate extent ........................................................... 3
Small extent ............................................................... 2
Not at all........................................................................... 1
JV_COLLAB_GENEXP
Prior to this project, to what extent did key members of your project team have experience working in R&D collaborations with other companies?
   Large extent .................................................................4
   Moderate extent ..........................................................3
   Small extent ...............................................................2
   Not at all......................................................................1

JV_COLLAB_SPECEXP
Prior to this project, to what extent did key members of your project team have experience working with key members from your JV partners’ teams?
   Large extent .................................................................4
   Moderate extent ..........................................................3
   Small extent ...............................................................2
   Not at all......................................................................1
Section 6: Research Effort

Line of Research

Consider the specific line of research represented by your ATP project.

LOR_DESC
Please provide a brief descriptive definition for this line of research.

_________________________

LOR_PREV3_RD
In the three years before the ATP award, how much R&D expenditure did your company devote to this line of research? (Your best estimate is fine. Please include expenditures from both internal and external sources of funding.)

$____________ (0.00-999.99)  LOR_PREV3_UNITS

Thousands ......1  Millions ...........2

[If LOR_PREV3_RD > 0]

LOR_PREV3_RD_EXT
What percent of the R&D expenditures for this line of research was funded from external sources outside your company (e.g., government sources, other companies)?

______%  Percent of R&D funded from external sources (0-100)
[If LOR_PREV3_RD_EXT > 0]

For the three years prior to this ATP award, please indicate the sources of external funding for this line of research.

Did your company receive funding from the following sources?

<table>
<thead>
<tr>
<th>LOR_FED, LOR_FED_SPEC</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Federal government programs</strong></td>
</tr>
<tr>
<td>Yes ..............................1</td>
</tr>
<tr>
<td>No ..............................2</td>
</tr>
<tr>
<td>Don’t Know .............. -7</td>
</tr>
</tbody>
</table>

If Yes:
Specify agency and program:
______________________
______________________

<table>
<thead>
<tr>
<th>LOR_LOCAL</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>State and local government programs</strong></td>
</tr>
<tr>
<td>Yes ..............................1</td>
</tr>
<tr>
<td>No ..............................2</td>
</tr>
<tr>
<td>Don’t Know .............. -7</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>LOR_OTH</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Other companies</strong></td>
</tr>
<tr>
<td>Yes ..............................1</td>
</tr>
<tr>
<td>No ..............................2</td>
</tr>
<tr>
<td>Don’t Know .............. -7</td>
</tr>
</tbody>
</table>
Project Effort

PROJ_IDEA_DEV
To what extent had you developed this R&D project idea prior to thinking about applying to ATP?

Large extent .................................................................4
Moderate extent ..........................................................3
Small extent ....................................................................2
Not at all........................................................................1

PROJ_WO_ATP
If the ATP funding had not been received, do you think your company would be carrying out any part of this project at this time?

Yes .........................1
No..........................2

If PROJ_WO_ATP = Yes:

PROJ_WO_ATP_SCALE
Without ATP funding, how much of the ATP project do you think your company would be carrying out?

1% to 20% .................................................................1
21% to 40% .............................................................2
41% to 60% ............................................................3
61% to 80% ............................................................4
81% 100% ................................................................5

If PROJ_WO_ATP_SCALE = 5 (81% to 100%):

PROJ_WO_ATP_SAME
Without ATP funding, would you have undertaken a project with the same or equivalent technical goals and milestones as the ATP project?

Yes ........................................................................1
No..........................................................................2

[If TYPE_OF_PARTICIPATION = JVL or JVP]

JV_WO_ATP
If the ATP funding had not been received, do you think your company would be conducting collaborative work on this project research with any of your JV partner organizations at this time?

Yes .........................1
No..........................2
Section 7: Technology Commercialization

**Commercialization Characteristics**

**NUM_LOB**
How many lines of business does your company have?
__ Lines of business (0-99)

In the table below, please indicate the line(s) of business at your company that **your project technology will serve**.

<table>
<thead>
<tr>
<th>Name of line of business</th>
<th>Approximately, what percent of your company’s revenues are from this line of business?</th>
<th>Approximately, what percent of your company’s R&amp;D expenditures are devoted to this line of business?</th>
<th>Delete Entry</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>%</td>
<td>%</td>
<td></td>
</tr>
<tr>
<td><strong>LOB# NAME</strong></td>
<td><strong>LOB# REV</strong></td>
<td><strong>LOB# RD</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(0-100)</td>
<td>(0-100)</td>
<td></td>
</tr>
</tbody>
</table>

Add/Update
Press ‘Add/Update’ button to add another row, or to update table.
Technology Innovation

TECH_INNOV

[If TYPE_OF_PARTICIPATION = SA]
Please briefly describe the key technological innovation of your ATP project.

[If TYPE_OF_PARTICIPATION = JVL or JVP]
Please briefly describe the key technological innovation of your ATP project, and your company’s contribution to that innovation.

__________________________________
__________________________________
__________________________________
__________________________________
__________________________________

TECH_ADVAN

What is the advantage of this technology over existing technologies or alternative technologies?

__________________________________
__________________________________
__________________________________
__________________________________
__________________________________
In the following questions, we use the term **product** to include both goods and services.

For your company, would you describe your ATP-funded technology as:

**PRODUCT_TECH**
A **product** technology to implement new or improved products with better performance characteristics

Yes ................................1
No.................................2

**PROCESS_TECH**
A **process** technology to implement new or improved methods of production or delivery

Yes ..............................1
No.................................2

With commercialization of your technology, do you expect your company to …

**REV_PROD**
Earn new revenues from new products or significantly improved products?

Yes ..............................1
No.................................2
Don’t Know .............. -7

**SAV_PROC**
Realize cost savings from implementing new production or delivery processes?

Yes ..............................1
No.................................2
Don’t Know .............. -7

**ROY_LIC**
Receive royalties from licensing the technology to others?

Yes ..............................1
No.................................2
Don’t Know .............. -7
Product and Applications

We use the term **product** to include both goods and services.

Please think about the product (the good or service) from your company that incorporates the ATP project technology. This product embodies either a product innovation or a process innovation from the ATP project.

**PROD_DESC**
Please describe this product from your company. Describe the product in general terms; later in this section we will ask you to describe product applications.

**[If TYPE_OF_PARTICIPATION = JVL or JVP ADD THE FOLLOWING]**
For joint venture (JV) projects, please describe only your company’s product. Other JV partner companies will report on their products.

__________________________________
__________________________________
__________________________________
__________________________________

Compared to existing products, does this product provide …

__New features           PROD_ADVAN_FEAT
__Improved performance   PROD_ADVAN_PERF
__Lower cost             PROD_ADVAN_COST

(Check all that apply.)
We use the term **product application** to mean applications to specific industry uses. Please describe potential product applications that your company has identified.

<table>
<thead>
<tr>
<th>Potential product applications</th>
<th>Delete Entry</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>APP#_DESC</td>
<td></td>
</tr>
</tbody>
</table>

Add/Update
Press ‘Add/Update’ button to add another row, or to update table.

For product applications that will be commercialized from your ATP-funded technology, will your company carry out…

**PROD_DEVEL**
Product development?
Yes ..............................1
No ..............................2
Don’t Know .............. -7
Not Applicable .......... -8

**PROD_MANU**
Manufacturing?
Yes ..............................1
No ..............................2
Don’t Know .............. -7
Not Applicable .......... -8

**PROD_MARKETING**
Marketing/Sales?
Yes ..............................1
No ..............................2
Don’t Know .............. -7
Not Applicable .......... -8

**PROD_DISTRIB**
Distribution?
Yes ..............................1
No ..............................2
Don’t Know .............. -7
Not Applicable .......... -8
SEEK_SPART
Will your company seek strategic partners for commercializing your ATP project technology?

Yes ..............................1  
No.................................2  
Don’t Know ..................-7  
Not Applicable..........-8

If SEEK_SPART =Yes:
What role will strategic partners play in commercializing your ATP project technology? 
(Check all that apply.)
__Product Development  SPART_PD  
__Manufacturing  SPART_MANU  
__Marketing/Sales  SPART_MS  
__Distribution  SPART_DIST  
__Other, please specify: ____________  SPART_OTH, SPART_OS
Commercialization Value

The following items ask about anticipated value from commercialization of your project technology.

ANNREV2, ANNREV5, ANNREV10
ANNREV2_UNITS, ANNREV5_UNITS, ANNREV10_UNITS

Consider the total impact of the ATP-funded technology on your company. What do you expect will be the net effect of this technology on your company’s annual revenues?

- 2 years after project end $_____ (0-999.9)
- 5 years after project end $_____ (0-999.9)
- 10 years after project end $_____ (0-999.9)

Thousands ........................................1
Millions ..........................................2
Billions ..........................................3

PROFIT_MARGIN

What do you expect will be the gross profit margin on sales from your company’s products resulting from your technology?

____% (-100-999)

LOB_PROFIT_MARGIN

What is your company’s typical gross profit margin on sales in this line of business?

____% (-100-999)

ANNSAV2, ANNSAV5, ANNSAV10
ANNSAV2_UNITS, ANNSAV5_UNITS, ANNSAV10_UNITS

How much annual cost savings do you expect your company to receive from process improvements resulting from your technology?

- 2 years after project end $_____ (0-999.9)
- 5 years after project end $_____ (0-999.9)
- 10 years after project end $_____ (0-999.9)

Thousands ........................................1
Millions ..........................................2
Billions ..........................................3
ANNLIC2, ANNLIC5, ANNLIC10
ANNLIC2_UNITS, ANNLIC5_UNITS, ANNLIC10_UNITS
How much in annual royalties do you expect your company to receive from licensing your technology to others?
2 years after project end $_____ (0-999.9)
5 years after project end $_____ (0-999.9)
10 years after project end $_____ (0-999.9)

TOTAL_ADD_INVEST
Beyond the ATP project, how much total additional investment do you expect your company will need to make in order to commercialize the project technology?
$__________ (0-999.9)

CALC_NPV
Did your company calculate a Net Present Value (NPV) in planning or seeking funding for this ATP project?
Yes .........................1
No............................2

[If CALC_NPV = Yes]

NPV_VALUE
What was the Net Present Value your company calculated for this project?
$_____ Net present value (0-999.9)

NPV_DISC_RATE
What discount rate did your company use in calculating the Net Present Value for this project?
_____ % Discount rate (1-99)

CALC_I RR
Did your company calculate an Internal Rate of Return (IRR) in planning or seeking funding for this ATP project?
Yes .........................1
No............................2
[If CALC_IRR = Yes]

**IRR_VALUE**
What was the Internal Rate of Return your company calculated for this project?

____ % Internal rate of return (-99-999)

---

**USE_HURDLE**
In making R&D or capital investment decisions, does your company base its decisions on a required rate of return (sometimes called the hurdle rate)?

Yes ..................................1
No .....................................2

---

[If USE_HURDLE = Yes]

**RD_HURDLE**
What is the required rate of return that your company typically applies to R&D investment decisions?

____ % Required rate of return for R&D investment (1-99)

**CAP_HURDLE**
What is the required rate of return that your company typically applies to capital investment decisions?

____ % Required rate of return for capital investment (1-99)

---

Finally, it is important that we have a ballpark estimate of the downstream benefits of your ATP-funded technology to industry users and consumers.

**END_USER_NETVALUE2, END_USER_NETVALUE5, END_USER_NETVALUE10**
**END_USER_UNITS2, END_USER_UNITS5, END_USER_UNITS10**

Think of how the industry might change, including both positive and negative effects, as a result of the commercialization of your ATP-funded technology. What is your estimate of the overall **net value** to your downstream industry users from products or services resulting from your technology?

2 years after project end $____ (0-999.9)
5 years after project end $____ (0-999.9)
10 years after project end $____ (0-999.9)

Thousands ..............................................1
Millions ..................................................2
Billions ...................................................3
CONSUMER_NETVALUE2, CONSUMER_NETVALUE5, CONSUMER_NETVALUE10
NETVALUE_UNITS2, NETVALUE_UNITS5, NETVALUE_UNITS10

Think of how the consumer marketplace might change, including both positive and negative, as a result of the commercialization of your ATP-funded technology. What is your estimate of **net benefits** to consumers from products or services resulting from your technology?

- 2 years after project end $_____ (0-999.9)
- 5 years after project end $_____ (0-999.9)
- 10 years after project end $_____ (0-999.9)

Thousands ..........................1
Millions .................................2
Billions ..................................3
Section 8: Future BRS Reports

BRS Contact Person

The BRS Contact Person for your company will receive future notifications regarding BRS reports. From the list below, please designate your BRS Contact Person.

[INSERT KEY PERSONNEL TABLE WITH “ADD A NEW NAME OPTION”]

If TCON, BCON, or ACON selected, pre-fill all available information:

Please verify the following contact information for [selected name]:

<table>
<thead>
<tr>
<th>Variable</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>RCON_FNAME</td>
<td>First Name</td>
</tr>
<tr>
<td>RCON_LNAME</td>
<td>Last Name</td>
</tr>
<tr>
<td>RCON_SALUT</td>
<td>[Drop down box with following options: Dr., Mr., Miss, Mrs.]</td>
</tr>
<tr>
<td>RCON_TITLE</td>
<td>Position Title</td>
</tr>
<tr>
<td>RCON_GNDR</td>
<td>Gender Male__ Female______</td>
</tr>
<tr>
<td>RCON_ORG1</td>
<td>Organization Name Line 1</td>
</tr>
<tr>
<td>RCON_ORG2</td>
<td>Organization Name Line 2</td>
</tr>
<tr>
<td>RCON_ADD1</td>
<td>Street Address Line 1 (no PO Box addresses, please)</td>
</tr>
<tr>
<td>RCON_ADD2</td>
<td>Street Address Line 2:</td>
</tr>
<tr>
<td>RCON_ADD3</td>
<td>Street Address Line 3</td>
</tr>
<tr>
<td>RCON_CITY</td>
<td>City</td>
</tr>
<tr>
<td>RCON_STATE</td>
<td>State</td>
</tr>
<tr>
<td>RCON_ZIP</td>
<td>Zip</td>
</tr>
<tr>
<td>RCON_PHONE</td>
<td>Telephone</td>
</tr>
<tr>
<td>RCON_EXT</td>
<td>Ext.</td>
</tr>
<tr>
<td>RCON_FAX</td>
<td>Fax</td>
</tr>
<tr>
<td>RCON_EMAIL</td>
<td>E-mail</td>
</tr>
</tbody>
</table>
If old name that is not TCON, BCON, OR ACON selected (pre-fill all available information):

Please provide the following contact information for [selected name]:

- RCON_FNAME  First Name
- RCON_LNAME  Last Name
- RCON_SALUT  [Drop down box with following options: Dr., Mr., Miss, Mrs., Ms.]
- RCON_TITLE  Position Title
- RCON_GNDR  Gender Male____ Female ______
- RCON_ORG1  Organization Name Line 1
- RCON_ORG2  Organization Name Line 2
- RCON_ADD1  Street Address Line 1 (no PO Box addresses, please)
- RCON_ADD2  Street Address Line 2:
- RCON_ADD3  Street Address Line 3
- RCON_CITY  City
- RCON_STATE  State
- RCON_ZIP   Zip
- RCON_PHONE  Telephone
- RCON_EXT   Ext.
- RCON_FAX   Fax
- RCON_EMAIL  E-mail

If “ADD A NEW NAME selected:

Please provide the following contact information for the BRS Contact Person:

- RCON_FNAME  First Name
- RCON_LNAME  Last Name
- RCON_SALUT  [Drop down box with following options: Dr., Mr., Miss, Mrs.]
- RCON_TITLE  Position Title
- RCON_GNDR  Gender Male____ Female ______
- RCON_ORG1  Organization Name Line 1
- RCON_ORG2  Organization Name Line 2
- RCON_ADD1  Street Address Line 1 (no PO Box addresses, please)
- RCON_ADD2  Street Address Line 2:
- RCON_ADD3  Street Address Line 3
- RCON_CITY  City
- RCON_STATE  State
- RCON_ZIP   Zip
- RCON_PHONE  Telephone
- RCON_EXT   Ext.
- RCON_FAX   Fax
- RCON_EMAIL  E-mail
Comments

We are very interested in your reactions to this Baseline Report. Below are a few questions which will assist us in improving the report for future administrations.

DIFF_NAV
How difficult or easy was it to navigate through the report?

- Very difficult..................5
- Somewhat difficult...........4
- Neither difficult or easy ....3
- Somewhat easy..................2
- Very easy........................1

NUM_CONSULTED
How many people did you consult to answer questions on the report?

________

REPORT LikED
Was there anything you particularly liked about this web-based report? If so, please tell us.

__________________________________
__________________________________
__________________________________
__________________________________

REPORT.IMPROVE
Are there any improvements that you would like to recommend? If so, please tell.

__________________________________
__________________________________
__________________________________
__________________________________