

Color Key

Black: Question Appears on Baseline Anniversary, and Closeout

Blue: Question Appears on Anniversary, and Closeout

Green: Question Appears on Closeout

SECTION 1: OVERVIEW

Overview

This Closeout Report is due on _____

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]**

Preparer Title (s): _____ **[TITLE]**

Classification of the Technology

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

Primary Technology Code: **[TECHCODE1]**

Secondary Technology Code: **[TECHCODE2]**

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

Employment Size and SIC Code

Is your company a subsidiary of another? (Y/N) **[SUBSIDIARY]**

If so, enter the consolidated company's employment size: **[CONEMPLOY]**

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: **[EMPLOYEES]**

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: **[SICCODE]**
[Consult your payroll officer.]

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): **[SUBAMOUNT]**

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

List. of Subcontractors

Name	Org Type	City	State	Zip	Amount (\$1000s)
[COMPANY]	[ORG_TYPE]	[CITY]	[STATE]	[ZIP]	[AMOUNT]
[COMPANY]	[ORG_TYPE]	[CITY]	[STATE]	[ZIP]	[AMOUNT]
[COMPANY]	[ORG_TYPE]	[CITY]	[STATE]	[ZIP]	[AMOUNT]
[COMPANY]	[ORG_TYPE]	[CITY]	[STATE]	[ZIP]	[AMOUNT]
[COMPANY]	[ORG_TYPE]	[CITY]	[STATE]	[ZIP]	[AMOUNT]

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.

In the "In ATP proposal" column, enter "Y" for applications identified in the proposal, and "N" otherwise. In "Pursued by Us" column, enter "Y" for those that YOU pursue now or plan to pursue, and "N" otherwise. Report on EACH application by highlighting it and pressing ENTER.

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

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

Reported	Code	Title	In ATP Proposal	Pursued By Us
Y	A	[TITLE]	[PROPOSAL]	[PURSUE_US]
Y	B	[TITLE]	[PROPOSAL]	[PURSUE_US]
Y	C	[TITLE]	[PROPOSAL]	[PURSUE_US]
Y	D	[TITLE]	[PROPOSAL]	[PURSUE_US]
Y	E	[TITLE]	[PROPOSAL]	[PURSUE_US]
V	F	[TITLE]	[PROPOSAL]	[PURSUE_US]

Application Code: _____

Application Title: _____

Is commercialization OF YOUR. TECHNOLOGY currently being planned or pursued BY OTHERS? (YN) [PURSUE_OTH]

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

List names of others: [PURSUE_MEM]

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.

Application Code: _____

Application Title: _____

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

Identification of Business Goals and Markets

What primary result is expected from the ATP project? [PROD_PROC]

Choose one of the following:

- | |
|-----------------------|
| M = Manufact. Process |
| P = Product |
| S = Service |

Is it an Improved or New product/process/service? [NEW_IMP]

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]? [STAGES]

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? [APP_MEM]

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

Choose one of the following:

- | |
|------------------------|
| P = Higher Performance |
| C = Lower Cost |
| B = Both P & C |
| N = New Solution |
| O = Other |

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

Complete the following if you responded "O" above.

Describe "other": [ADVANT_MEM]

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Application Code: _____

Application Title: _____

Page 1

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

State project goals relative to technology existing AT PROJECT START:

- % Unit cost reduction **[GOAL_COST]**
- % Performance/quality improvement per unit **[GOAL_PERF]**
- % Product life increase **[GOAL_LIFE]**

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

[GOAL_ATTR] _____

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

- BEST AVAILABLE value for this attribute AT PROJECT START **[GOAL_BASE]**
- Goal for this attribute at project end WITH ATP FUNDING **[GOAL_ATP]**
- Value expected at project end WITHOUT ATP FUNDING **[GOAL_NOATP]**
- Value of this attribute required for commercial viability **[GOAL_VIABL]**
- CURRENT VALUE ACHIEVED BY YOUR COMPANY/PROJECT **[IMPROVE]**

How important is speed to market? **[MKT_SPEED]**

Choose one of the following:

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

How much will ATP funding shorten time to market? **[GOAL_TIME]**

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? **[MKT_WINDOW]**

Choose one of the following:

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

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Application Code: _____

Application Title: _____

When is revenue anticipated? **[WHEN REV]**

Choose one of the following:

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

Indicate importance of these geographic markets:

- | | |
|---------------|---------------------|
| North America | [GEO NA] |
| Asia | [GEO ASIA] |
| Europe | [GEO EUROPE] |
| Other | [GEO OTH] |

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

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

Describe and quantify other business goals:

[GOAL MEM]

ATP Consolidated Report - Disk

Application Code: _____

Application Title: _____

Strategies for Commercialization

Choose one from list A: (see below)

Choose one from list B: (Legal Form)

Licensing to others

[STG_LIC]

Producing product/service in-house

[STG_PROD]

Adopting process for in-house use

[STG_USE]

Forming alliances with suppliers

[STG_SUPP]

[STG_TSUPP]

Forming joint production alliances

[STG_JOINT]

[STG_TJOINT]

Forming alliances with distributors

[STG_DIST]

[STG_TDIST]

Forming alliances with customers

[STG_CUST]

[STG_TCUST]

Forming spin-off companies

[STG_SPIN]

Pursuing another commercialization strategy

[STG_OTH]

List A:

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

List B:

S = Subcontract
P = Partner/JV
I = Informal

Application Code: _____

Application Title: _____

Describe other commercial strategy: [STG_MEM]

ATP Consolidated Report - Disk

Application Code: _____

Application Title: _____

Progress Towards Commercialization

Have you negotiated license agreements? (Y/N/?) **[PRO_LIC]**

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

(Y/N/?)

Exclusive license signed? **[PRO_LICX]**

Non-exclusive license signed? **[PRO_LICN]**

S	=	Subcontract
P	=	Partner/JV
I	=	Informal

Have you negotiated to form alliances? **[PRO_LICN]**

(Y/N/?)

Formed Alliances with Suppliers? **[PRO_SUPP]**

Formed Alliances with Joint Producers? **[PRO_JOINT]**

Formed Alliances with Distributors? **[PRO_DIST]**

Formed Alliances with Customers? **[PRO_CUST]**

Choose One from List B:

Legal Form

[PRO_TSUPP]

[PRO_TJOINT]

[PRO_TDIST]

[PRO_TCUST]

Alliance Partner, Type (e.g., customer, supplier,

Legal Form

[ALL_MEM]

Name Spin-Off Companies and Describe Roles:

[SPIN_MEM]

Have you completed to Date:

(Y/N/?)

Product/Process Definition? **[MKT_DEF]**

Concept Test with Customers? **[MKT_CONC]**

Any Other Market Analysis **[MKT_OTH]**

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

Describe other market analysis progress

[MKT_MEM]

ATP Consolidated Report - Disk

Application Code: _____

Application Title: _____

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

Choose one of the following:

- | |
|-----------------|
| 0 = None Remain |
| 1 = Minor |
| 2 = Moderately |
| 3 = Major |
| ? = Not Sure |

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

Describe these technical barriers and plans to overcome them:

[BARTEC_MEM]

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

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:

[BARNON_MEM]

ATP Consolidated Report - Disk

Application Code: _____

Application Title: _____

Report Changes in Competitive Standing:

Choose one from List C:

- Overall Competitive Standing [COMP_STAND]
- Domestic Economic Conditions [COMP_DOM]
- International Political/Economic Conditions [COMP_INT]
- Trade Barriers/Trade Wars [COMP_TRADE]
- Entry of New Competitors [COMP_ENTRY]

Choose one from List D:

- Status of Existing Competitors [COMP_PROC]

Choose one from List C:

- Other Factors [COMP_OTH]

List C:	List D:
- = Worsened	1 = They Moved Into Lead
0 = Unchanged	2 = Pulled Even
+ = Improved	3 = Advanced; Still Behind
? = Not Sure	4 = Unchanged
	5 = Fell Behind
	6 = Not Sure

Describe competitive environment:

[COMP_MEM]

How has your world market share changed since receiving the ATP award? [WORLD_SHA]

Choose one of the following:

- + = Increased
- = Decreased
- 0 = Unchanged
- ? = Not Sure

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

To what extent is this change related to the ATP award? [WORLD_EXT]

Choose one of the following:

- 2 = Significantly
- 1 = Moderately
- 0 = Little/None
- ? = Not Sure

ATP Consolidated Report - Disk

Application Code: _____

Application Title: _____

Early Impacts on Revenue and Cost

Can you now make/perform a new/improved product/service? (Y/N/?) **[NEW_BETTER]**

Complete the following if you responded "Y" above:

Describe:

[N_BET_MEM]

Complete the following if you responded that the primary result expected from the ATP project is a Product or Process

Have you to date:

(Y/N/?)

Made a production prototype? **[PRO_PROTO]**

Set up a pilot production/commercial demo? **[PRO_PILOT]**

Determined production rates? **[PRO_RATES]**

Begun production? **[PRO_BEGUN]**

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/?) **[NEW_REV]**

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). **[NEWREV_MEM]**

List major customers and where they are located. **[NEWCUS_MEM]**

Cumulative revenues to date (\$1,000) **[TOT_NEWREV]** % from Exports: **[EXPORTS]**

Cumulative costs of purchased materials/components/supplies for products/services sold to date (e.g., feedstocks, utilities, packaging, shipping) (\$1,000s) **[COSTS]**

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

[REV_WO_ATP]

Complete the following if you answered "Y" above:

How would revenues and costs have been different?

[RVPROD_MEM]

ATP Consolidated Report - Disk

Application Code: _____
Application Title: _____

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

Complete the following if you answered "Y" above:

Describe any process improvements adopted.

[IMPROV_MEM]

What products were produced using this process improvement?

[IMPPRO_MEM]

List major customers and where they are located. [IMPCUS_MEM]

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

Complete the following if you answered "Y" above:

How would revenues and costs have been different?

[RVPROC_MEM]

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

Complete the following if you answered "Y" above:

Total licensing royalties earned TO DATE (\$1,000's)

[TOT_ROY]

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

[ROY_BASED]

Complete the following if you answered "Y" above:

What is the average percentage?

[AVG_PCEN]%

List licensees, geographic location, and use being made of the license:

[LICENSEES]

ATP Consolidated Report - Disk

Application Code: _____

Application Title: _____

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

[REV_OC_MEM]

Describe other commercialization progress:

[COMM_MEM]

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

Choose one of the following:

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

In the next five (5) years? [MARKET_5]

Choose one of the following:

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

ATP Consolidated Report - Disk

Application Code: _____

Application Title: _____

Impacts on Revenues & Costs – Next Five Years

What are the anticipated total product/service revenues for your firm in the next two years? **TOTREV_2**

Choose one of the following:

- 0 = \$0
- 1 = <\$1M
- 2 = \$1M to <\$5M
- 3 = \$5M to <\$10M
- 4 = \$10M to <\$25M
- 5 = \$25M to <\$50M
- 6 = \$50M+

In the next five years? **TOTREV_5**

Choose one of the following:

- 0 = \$0
- 1 = <\$1M
- 2 = \$1M to <\$5M
- 3 = \$5M to <\$10M
- 4 = \$10M to <\$25M
- 5 = \$25M to <\$50M
- 6 = \$50M+

What is the estimated value of in-house process improvements to your firm (e.g., in increased productivity/lower production costs) in the next two years? **INHOUSE_2**

Choose one of the following:

- 0 = \$0
- 1 = <\$1M
- 2 = \$1M to <\$5M
- 3 = \$5M to <\$10M
- 4 = \$10M to <\$25M
- 5 = \$25M to <\$50M
- 6 = \$50M+

In the next 5 years? **INHOUSE_5**

Choose one of the following:

- 0 = \$0
- 1 = <\$1M
- 2 = \$1M to <\$5M
- 3 = \$5M to <\$10M
- 4 = \$10M to <\$25M
- 5 = \$25M to <\$50M
- 6 = \$50M+

ATP Consolidated Report - Disk

Application Code: _____

Application Title: _____

What is the estimated value of licensing revenues expected in the next two years? **LICREV_2**

Choose one of the following:

- 0 = \$0
- 1 = <\$1M
- 2 = \$1M to <\$5M
- 3 = \$5M to <\$10M
- 4 = \$10M to <\$25M
- 5 = \$25M to <\$50M
- 6 = \$50M+

In the next 5 years? **LICREV_5**

Choose one of the following:

- 0 = \$0
- 1 = <\$1M
- 2 = \$1M to <\$5M
- 3 = \$5M to <\$10M
- 4 = \$10M to <\$25M
- 5 = \$25M to <\$50M
- 6 = \$50M+

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? **[RDPROJECT]**

All R&D needed for product development or clinical trials to begin commercialization? **[RDCOMMCRL]**

Choose one of the following:

List E:

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

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

[RD_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? **[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

SECTION 4: NIST LABORATORY CONTRIBUTION

Have you received assistance from the NIST laboratories in carrying out your ATP-funded project?

[ASSIST]

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 [EQUIP_AMT]

Choose one of the following:

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

Complete the following if you responded 1-5 above:

Value of Assistance [EQUIP_VAL]

Choose one of the following:

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

Research Consultation with NIST Scientists

Amount of Time [SCI_AMT]

Choose one of the following:

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

Complete the following if you responded 1-5 above:

Value of Assistance [SCI_VAL]

Choose one of the following:

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

SECTION 5: COLLABORATION IMPACTS

Report Impacts of Collaborations

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

Has your ATP project involved collaboration with other organizations (through joint ventures, subcontractors, or other strategic alliances) to help achieve the project goals? **[COL_HELP]**

Choose one from List F:

How much is ATP responsible for the collaborations? **[EXTENT]**

Choose one from List G:

To what extent has collaboration helped YOUR FIRM:

obtain R&D expertise which the company lacks?	[COL_OBTRD]
ensure a reliable, quality source of supply?	[COL_ENS]
plan for manufacturing during the R&D phase?	[COL_ENAB]
identify customer needs?	[COL_INC]
accelerate product entry into the market place?	[COL_ACCEL]
obtain use of specialized facilities or equipment?	[COL_USE]
avoid redundant R&D labor hours?	[AVOID_LAB]
How many?	[LABOR_SAV]
avoid redundant R&D equipment costs?	[AVOID_RD]
How much?	[RD_SAV] (\$1000's)
Save time, in general?	[COL_SAV]
Stimulate creative thinking?	[COL_STIM]
Attract more investment capital?	[COL_CAP]

Choose one from List G:

To what extent has collaboration contributed to:

delay in beginning of R&D phase?	[COL_DELAY]
increased project coordination and management costs?	[COL_COSTS]
Delayed product entry into the market place?	[COL_PRO]

Choose one from List F:

To what extent are you likely to pursue further collaborations because of your ATP experience? **[LIKELY]**

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:

[IMPACT_MEM]

SECTION 6: EMPLOYMENT EFFECTS

Employment Effect:

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 SUESEQUENT R&D, PRODUCTION OR MARKETING to date:

	FTE Positions	Average Annual Salary Choose one from List H:
Scientist/Engineer	[NUM_SC]	[SAL_SC]
Technician	[NUM_TECH]	[SAL_TECH]
Marketing	[NUM_MARK]	[SAL_MARK]
Production	[NUM_PROD]	[SAL_PROD]
Senior Management	[NUM_MANA]	[SAL_MANA]
Other Administrative	[NUM_ADMIN]	[SAL_ADMIN]
Clerical	[NUM_CLER]	[SAL_CLER]
Other	[NUM_OTH]	[SAL_OTH]

List H:

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

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

Complete the following if positions have been eliminated:

Explain how the ATP project caused jobs to be lost:

[ELIM_MEM]

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

[EFF_C_MEM]

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

[EFF_OC_MEM]

Anticipated Future Employment Effects

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

[POST_ELIM]

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

[RD_HIRE]

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

Estimate number of new FTE employees: [RD_FTE]

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/?)

[DEV_HIRE]

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

Estimate number of new FTE employees: [DEV_FTE]

Choose one of the following:

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

SECTION 7: ATTRACTION OF NEW FUNDING

Attraction of New Funding

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

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

Estimate the total amount TO DATE (\$1000's): **[FUND_EST]**

From what sources:

- | | |
|-------------------------------|--------------------|
| | (Y/N/?) |
| Owner/angel investors? | [OWNER] |
| Stock issue: venture capital? | [STOCK_VC] |
| Stock issue: public offering? | [STOCK_PUB] |
| Long-term debt financing? | [LT_FINANC] |
| Federal program: SBIR | [FED_SBIR] |
| Federal program: Other | [FED_OTHER] |
| <i>Program Name:</i> | [OTH_PROG] |
| State or local government? | [S_L_GOV] |
| Other? | [OTHERSRC] |

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

Describe the other sources of external funding:

[OTHSRC_MEM]

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.] **[HOW_CGD]**

Choose one of the following:

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

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

Estimate increase TO DATE (\$,1000's) ? **[INCREASE]**

SECTION 8: INTELLECTUAL PROPERTY

Strategies for Protecting Intellectual Property

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

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

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

Describe other intellectual property strategy:

[PROT_MEM]

PRIOR Intellectual Property RELATED to the ATP Project

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

List Licensor Names:

[PRE_MEMO]

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

Of these licenses, how many do you hold by EXCLUSIVE license? [PRE_EXCL]

What type of organization is the PRIMARY licensor? [PRE_TYPE]

Choose one of the following:

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

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Enter below EACH filed patent & copyright DERIVING FROM THE ATP PROJECT. Do NOT enter items that predate ATP funding or cover pre-existing technology.
Enter the Title & Date filed. Report on EACH patent/copyright by highlighting it & pressing ENTER.
Update when Granted.

Write in the name of each patent/copyright in the chart provided below.
[NOTE: The columns named "Reported" and "Code" need no data entry.]

Reported	Code	Title	Filed	Granted
Y	A	[TITLE]	[FILE_DATE]	[GRANT_DATE]
Y	B	[TITLE]	[FILE_DATE]	[GRANT_DATE]
Y	C	[TITLE]	[FILE_DATE]	[GRANT_DATE]
Y	D	[TITLE]	[FILE_DATE]	[GRANT_DATE]
Y	E	[TITLE]	[FILE_DATE]	[GRANT_DATE]
Y	F	[TITLE]	[FILE_DATE]	[GRANT_DATE]

For each patent or copyright entered on the above table, complete the following screen:

Patent/Copyright Code: _____
(From chart on previous page)

Patent/Copyright Title: [TITLE] _____

Is this a Patent (P) or Copyright (C)? [PAT_COPY]

Patent Number: [PAT_NUM]
Copyright Number: [COPY_NUM]

Is this a core (C) patent or spin-off (S) from another? [CORE_SPIN]

If you selected "C=Core", enter

Patent Code(s) (see previous page) from any Spin-offs: [SPINS]
(These codes are automatically entered in the table on page 41 by the computer software. In order to respond to this question, pull these codes from the table at the time of data-entry)

PCT applications filed in these regions: [PCT_APP]
Foreign applications filed in these regions: [FOR_APP]

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

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

Applications supported (from Applications list): [APPS_SUPP]

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)

SECTION 9: DISSEMINATION OF INFORMATION

Dissemination of Non-Proprietary Information

Plans for Disseminating Non-Proprietary Information

Indicate the importance of:

publishing in professional journals	[DIS_JOUR]
presenting papers at conferences	[DIS_CONF]
participation in user associations	[DIS_USER]
public relations/press coverage	[DIS_PRESS]
other	[DIS_OTH]

For each of the above choose one of the following:

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

Describe other dissemination plans::

[DIS_MEM]

Progress in Disseminating Non-Proprietary Information

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

For each of the above choose one of the following:

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

List publications in professional journals on ATP-funded technology:

[DIS_MJOUR]

List presentations at conferences on ATP-funded technology:

[DIS_MCONF]

List user association activities on ATP-funded technology

[DIS_MUSER]

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

[DIS MPRESS]

SECTION 10: 5-YEAR INVESTMENT PLAN

5-Year Investment plan for ATP-Funded Technology

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

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: [RD_2]

Choose one of the following:

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

In the next five years? [RD_5]

Choose one of the following:

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

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

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

How much investment in production facilities is planned in the next 2 years: [PROD_2]

Choose one of the following:

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

In the next five years? [PROD_5]

Choose one of the following:

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

Is ANOTHER company planning additional R&D? (Y/N/?) [RD_PLANO]

Is ANOTHER company planning additional production facilities? (Y/N/?) [PROD_PLANO]

Describe investments planned OUTSIDE your firm/JV:

[INVEST_MEM]

SECTION 11: SUMMARY ASSESSMENT

Summary Assessment

How has the ATP award affected your: **(Choose one from List I):**

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

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?	[EXP_SCOPE]
ability to take on technical challenges?	[EXP_RISK]
Long-term research?	[STRATEGY]
interest in collaborations?	[COLLAB]
R&D speed?	[SHORT_RD]
preservation of U.S. ownership of the company?	[KEPT_US_C]
preservation of U.S. ownership of the technology?	[KEPT_US_T]

To what extent has useful new knowledge resulted? **(Choose one from List K):**

[GENERATED]

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

Describe effects of ATP funding on your R&D efforts:

[RDEFF_MEM]

Has the ATP project had any environmental impacts TO DATE? **(Y/N/?)** [ENV_IMPACT]

If "Y" to the above,:

Describe the impacts and quantify if possible:

[ENV_MEM]

Has the ATP project had any health or safety impacts TO DATE? **(Y/N/?)** [HS_IMPACT]

If "Y" to the above,:

Describe the impacts and quantify if possible:

[HS_MEM]

Anticipated Future Effects of ATP-funded Technology

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

[REV_SRC]

Choose one of the following:

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

AFTER 5 years? [REV_SRC_5]

Choose one of the following:

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

Describe the anticipated future effects of ATP funding WITHIN your firm::

[FUT_C_MEM]

Describe the anticipated effects OUTSIDE your firm/JV::

[FUT_OC_MEM]

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. LIST ALL FINANCIAL DATA IN \$1000's

Corporate entity: [CO_NAME]
 Year ending: [FY_DATE]

INCOME STATEMENT

Contract/Grant revenue	[CG_REV]
Product/service sales	[SALES]
License fees/royalties:	[LIC_FEES]
Other revenue	[OTHER]
Cost of sales (cost of goods sold)	[COST_SALES]
R&D expenditures	[RDEXPEND]
Net income before income taxes	[NIBEFTAX]
Net income after income taxes	[NIAFTTAX]

Describe other revenue::

[REV_MEM]

BALANCE SHEET

Total assets	[ASSETS]
Total liabilities	[LIABIL]
Net worth	[NET_WORTH]

	Full-time	Part-time
Total number of employees	[EMPLOY_FT]	[EMPLOY_PT]
Number of R&D employees	[RDEMP_FT]	[RDEMP_PT]

Method of Accounting: [METH_ACC]

A = Accrual
 C = Cash
 0 = Other

Audited/Reviewed by independent CPA? (Y/N/? [AUDITED])