

Attachment O

OMB APPROVAL NUMBER: 0693-0009
APPROVAL EXPIRES MM/DD/YYYY

BRS CLOSEOUT REPORT

Introduction

This report is the last of a series that you have completed 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 purpose of these reports is to gather 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: []

This report includes items regarding the following content areas:

1. Administrative Information
2. Key Personnel and Staffing
3. Subcontractors
4. Company Characteristics
5. ATP Project Characteristics
6. Research Effort
7. Project Management
8. Research Outputs
9. Project Outcomes
10. Technology Commercialization
11. Future Updates

Section 1: Administrative Information

Company Name and Location

The information shown below refers to your company. 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 where 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.

[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.

TCON_CONFIRM

Our records indicate that [TCON_FNAME TCON_LNAME] is the [Principal Investigator] [your company's Technical Contact]. Is this information correct?

Yes.....1

No.....2

If TCON_COMFIRM=Yes:

Please verify the following information for [TCON_FNAME TCON_LNAME].

- TCON_FNAME First Name
- TCON_LNAME Last Name
- TCON_SALUT [Drop down box with following options: Dr., Mr., Miss, Mrs., Ms.]
- TCON_TITLE Position Title
- TCON_GNDR Gender Male____ Female _____
- TCON_ORG1 Organization Name Line 1
- TCON_ORG2 Organization Name Line 2
- TCON_ADD1 Street Address Line 1 (no PO Box addresses, please)
- TCON_ADD2 Street Address Line 2:
- TCON_ADD3 Street Address Line 3
- TCON_CITY City
- TCON_STATE State
- TCON_ZIP Zip
- TCON_PHONE Telephone
- TCON_EXT Ext.
- TCON_FAX Fax

TCON_EMAIL E-mail

[Programmer note: Pre-fill TCON info if available.]

[If TCON_CONFIRM = NO AND TYPE_OF_PARTICIPATION = SA or JVL]

Principal Investigator

Please identify the Principal Investigator from the following list of personnel, or add a new name.

[If TCON_CONFIRM = NO AND TYPE OF PARTICIPATION = JVP]

Technical Contact

Please identify your company's Technical Contact from the following list of personnel, or add a new name.

[DROP DOWN LIST OF ALL CONTACT NAMES]

[IF OLD NAME IS SELECTED FROM LIST]

Please verify the following information for [TCON_FNAME TCON_LNAME].

| | |
|------------|---|
| TCON_FNAME | First Name |
| TCON_LNAME | Last Name |
| TCON_SALUT | [Drop down box with following options: Dr., Mr., Miss, Mrs., Ms.] |
| TCON_TITLE | Position Title |
| TCON_GNDR | Gender Male____ Female _____ |
| TCON_ORG1 | Organization Name Line 1 |
| TCON_ORG2 | Organization Name Line 2 |
| TCON_ADD1 | Street Address Line 1 <i>(no PO Box addresses, please)</i> |
| TCON_ADD2 | Street Address Line 2: |
| TCON_ADD3 | Street Address Line 3 |
| TCON_CITY | City |
| TCON_STATE | State |
| TCON_ZIP | Zip |
| TCON_PHONE | Telephone |
| TCON_EXT | Ext. |
| TCON_FAX | Fax |
| TCON_EMAIL | E-mail |

[Programmer note: Pre-fill new TCON info if available.]

[IF ADD NEW TCON NAME IS SELECTED AND TYPE_OF_PARTICIPATION = SA or JVL]

Please complete the following contact information for your new Principal Investigator.

[IF ADD NEW TCON NAME IS SELECTED AND TYPE OF PARTICIPATION = JVP]

Please complete the following contact information for your new Technical Contact.

| | |
|------------|---|
| TCON_FNAME | First Name |
| TCON_LNAME | Last Name |
| TCON_SALUT | [Drop down box with following options: Dr., Mr., Miss, Mrs., Ms.] |
| TCON_TITLE | Position Title |
| TCON_GNDR | Gender Male____ Female _____ |
| TCON_ORG1 | Organization Name Line 1 |
| TCON_ORG2 | Organization Name Line 2 |
| TCON_ADD1 | Street Address Line 1 <i>(no PO Box addresses, please)</i> |
| TCON_ADD2 | Street Address Line 2: |
| TCON_ADD3 | Street Address Line 3 |
| TCON_CITY | City |
| TCON_STATE | State |
| TCON_ZIP | Zip |
| TCON_PHONE | Telephone |
| TCON_EXT | Ext. |
| TCON_FAX | Fax |
| TCON_EMAIL | E-mail |

[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.

BCON_CONFIRM

Our records indicate that [BCON_FNAME BCON_LNAME] is your company's Business Contact. Is this information correct?

Yes.....1

No.....2

If BCON_CONFIRM=Yes:

Please verify the following information for [BCON_FNAME BCON_LNAME].

| | |
|------------|---|
| 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 <i>(no PO Box addresses, please)</i> |
| 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 |

[Programmer note: Pre-fill BCON info if available.]

If BCON_CONFIRM= No:

Please identify your company's Business Contact from the following list of personnel, or add a new person.

[DROP DOWN LIST OF ALL CONTACT NAMES]

[IF OLD NAME IS SELECTED FROM LIST]

Please verify the following information for [BCON_FNAME BCON_LNAME].

| | |
|------------|---|
| 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 <i>(no PO Box addresses, please)</i> |
| 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 |

[Programmer note: Pre-fill new BCON info if available.]

[IF ADD NEW BCON NAME IS SELECTED]

Please complete the following contact information for your new 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 <i>(no PO Box addresses, please)</i> |
| 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.

ACON_CONFIRM

Our records indicate that [ACON_FNAME ACON_LNAME] is your company's Administrative Contact. Is this information correct?

Yes.....1

No.....2

If ACON_CONFIRM = Yes:

Please verify the following information for [ACON_FNAME ACON_LNAME].

| | |
|------------|---|
| 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 <i>(no PO Box addresses, please)</i> : |
| 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 | Extension: |
| ACON_FAX | Fax: |
| ACON_EMAIL | E-mail: |

[Programmer note: Pre-fill ACON info if available.]

If ACON_CONFIRM = No:

Please identify your company's Administrative Contact from the following list of personnel, or add a new person.

[DROP DOWN LIST OF ALL CONTACT NAMES]

[IF OLD NAME IS SELECTED FROM LIST]

Please verify the following information for [ACON_FNAME ACON_LNAME].

| | |
|------------|---|
| 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 (<i>no PO Box addresses, please</i>): |
| 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 | Extension: |
| ACON_FAX | Fax: |
| ACON_EMAIL | E-mail: |

[Programmer note: Pre-fill new ACON info if available.]

[IF ADD NEW ACON NAME IS SELECTED]

Please complete the following contact information for your new 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 <i>(no PO Box addresses, please):</i> |
| 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 | Extension: |
| ACON_FAX | Fax: |
| ACON_EMAIL | E-mail: |

[IF NEW ACON NAME IS SELECTED]

Please complete the following contact information for your new 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 <i>(no PO Box addresses, please):</i> |
| 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 | Extension: |
| ACON_FAX | Fax: |
| ACON_EMAIL | E-mail: |

Section 2: Key Personnel

Project Staffing

Please provide information on the total project staffing for your ATP-funded project during the past reporting year.

The past reporting year covers the period [PY_START] to [PY_END].

PROJ_EMPLOY (0-99)

How many employees in total from your company worked on the ATP-funded project during the past reporting year?

___ Total employees

PROJ_FTE (0.00-99.99)

How many full-time equivalent (FTE) employees from your company worked on the ATP project during the past reporting year?

___ FTE employees

Key Project Personnel

The names of key personnel identified on previous BRS reports are listed in the table below. Please update the full-time equivalent (FTE) time contributed to the ATP project by the listed key personnel member in the past reporting year.

You will have an opportunity to add the names of new key personnel in a separate table.

| First Name | Last Name | % FTE on ATP project reported on last BRS report | % FTE on ATP project in past reporting year |
|------------|-----------|--|---|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| KP#_FNAME | KP#_LNAME | KP#_FTE | |

Programmer note: No row additions would be allowed on this table. If possible, please sort the records in descending order by KP#_FTE.

In the table below, please add the names of any other employees from your company who are now considered key personnel for the ATP project at this time.

| First Name | Last Name | Gender | Position Title | Delete Entry |
|---------------------------|---------------------------|----------------------------|---------------------------|--------------|
| | | Male.....1 Female.....2 | | |
| | | Male.....1 Female.....2 | | |
| | | Male.....1 Female.....2 | | |
| | | | | |
| 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, nor should it duplicate names listed in the table on 2-1]

[Programming note: Only new key personnel should be pre-filled in the remaining tables of Section 2. If there are no new KP, the program should skip to Section 3]

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

| Name | Citizenship Status |
|-----------------------|---|
| [KP#_FNAME KP#_LNAME] | Born U.S. citizen = 1 Naturalized U.S. citizen =2 Permanent resident=3 Other=4 |
| [KP#_FNAME KP#_LNAME] | KP#_CITIZEN |

For the key personnel listed below, please indicate graduate degrees that each person holds. Check all that apply for each person.

| Name | Master's | PhD | MD | Other graduate degree |
|-----------------------|----------|---------|--------|-----------------------|
| [KP#_FNAME KP#_LNAME] | | | | |
| [KP#_FNAME KP#_LNAME] | KP#_M | KP#_PHD | KP#_MD | KP#_OTH |

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

| Name | Graduate degree | University | Department |
|-----------------------|--|--------------|--------------|
| [KP#_FNAME KP#_LNAME] | [highest degree selected in table above] | | |
| [KP#_FNAME KP#_LNAME] | | KP#_DEG_UNIV | KP#_DEG_DEPT |

[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.

| Name | Years of Work Experience |
|------------------------|--------------------------|
| | __ years |
| [KP#_FNAME KP#_LNAME] | |
| | |
| [KP#_FNAME KP#_LNAME] | KP#_WRKEXP (0-99) |

For the key personnel listed below, please indicate the role(s) each person serves on the ATP-funded project. Check all that apply for each person.

| Name | Technical Role | Business Development Role | Management Role |
|------------------------|------------------|---------------------------|------------------|
| | | | |
| [KP#_FNAME KP#_LNAME] | | | |
| | | | |
| [KP#_FNAME KP#_LNAME] | KP# _TECHROLE | KP# _BUSROLE | KP# _MGMTROLE |

In the table below, please indicate the full-time equivalent (FTE) time contributed to the project by these key personnel during the past reporting year.

| Name | Position Title | FTE time on the ATP project (0.00-1.00) |
|------------------------|----------------|---|
| | | |
| [KP#_FNAME KP#_LNAME] | [KP#_TITLE] | |
| | | |
| [KP#_FNAME KP#_LNAME] | [KP#_TITLE] | KP#_FTE (0.00-1.00) |

Section 3: Subcontractors

Subcontractor Information

Please review the information provided for each subcontractor identified in earlier BRS reports. If the name or location of the subcontractor has changed, click on the “Edit button” to update that information. If the identity or address information for the contact person at the subcontractor has changed, the “Edit” button will allow you to update that information also. You will have the opportunity to add new subcontractors in a separate table.

| | Subcontractor Organization Name | City | State |
|------|---------------------------------|-----------|------------|
| Edit | | | |
| Edit | | | |
| Edit | | | |
| | SUB#_ORG | SUB#_CITY | SUB#_STATE |

Programmer notes:

- If there are no old subcontractors to review, then skip to NEW_SUB on 3-3.
- Set SUB#_EDITED = 1 for each subcontractor record that was edited. The Edit pop-up window should contain the following pre-filled but editable information:

Subcontractor organization information:

Organization name: [SUB#_ORG]
 Organization city: [SUB#_CITY]
 Organization state: [SUB#_STATE]
 Organization zip code: [SUB#_ZIP]

Subcontractor contact person information:

First Name: [SUB#_CON_FNAME]
 Last Name: [SUB#_CON_LNAME]
 Salutation: [SUB#_CON_SALUT (Dr., Mr., Miss, Mrs., Ms.)]
 Position Title: [SUB#_CON_TITLE]
 Gender: [SUB#_CON_GNDR (Male, Female)]
 Organization Name Line 1: [SUB#_CON_ORG1]
 Organization Name Line 2: [SUB#_CON_ORG2]
 Address Line 1: [SUB#_CON_ADD1]
 Address Line 2: [SUB#_CON_ADD2]
 Address Line 3: [SUB#_CON_ADD3]
 City: [SUB#_CON_CITY]
 State: [SUB#_CON_STATE]
 Zip: [SUB#_CON_ZIP]
 Telephone: [SUB#_CON_PHONE]
 Ext.: [SUB#_CON_EXT]
 E-mail: [SUB#_CON_EMAIL]

Please indicate the total disbursements in the past project year for each subcontractor identified in earlier BRS reports.

| Subcontractor Organization Name | City | State | Total disbursements in the past project year to this subcontractor (dollar amount) | Dollar units |
|---------------------------------------|---------------|----------------|---|-----------------------------|
| | | | | Thousands= 1 Millions =2 |
| | | | | |
| SUB#_ORG | SUB#_CIT Y | SUB#_STAT E | SUB#_PAST1_AM T | SUB#_PAST1_AMT_UNI T |

NEW_SUB

Does your company have any new subcontractors for the ATP project?

[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.

Yes.....1

No.....2

**Programming note: the remainder of Section 3 only applies if NEW_SUB = 1 (Yes).
If NEW_SUB =2, skip to Section 4.**

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

| Subcontractor Organization Name | City | State | Zip | Delete Entry |
|---------------------------------------|-----------|------------|----------|-----------------|
| | | | | |
| | | | | |
| | | | | |
| SUB#_ORG | SUB#_CITY | SUB#_STATE | SUB#_ZIP | |

Add/Update

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

[Fill out for each new subcontractor listed]

SUB#_ORGTYPE (REQUIRED VARIABLE)

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.

- SUB#_CON_FNAME First Name
- SUB#_CON_LNAME Last Name
- SUB#_CON_SALUT [Drop down box with following options:
Dr., Mr., Miss, Mrs., Ms.]
- SUB#_CON_TITLE Position Title
- SUB#_CON_GNDR Gender Male____ Female _____
- SUB#_CON_ORG1 Organization Name Line 1
- SUB#_CON_ORG2 Organization Name Line 2
- SUB#_CON_ADD1 Address Line 1
- SUB#_CON_ADD2 Address Line 2
- SUB#_CON_ADD3 Address Line 3
- SUB#_CON_CITY City
- SUB#_CON_STATE State
- SUB#_CON_ZIP Zip
- SUB#_CON_PHONE Telephone
- SUB#_CON_EXT Ext.
- SUB#_CON_EMAIL E-mail

SUB#_PRIOR

Has your company worked with this subcontractor before (i.e., prior to the current ATP project)?

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

SUB#_PRIORYRS (1-99)

If yes, how many years of experience has your company had working with this subcontractor?

____ Years

SUB#_AMOUNT (0.00-999.99)

What is the total amount of this subcontract for the ATP project?

\$ _____

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

SUB#_AMOUNT_UNITS

SUB#_PAST1_AMT

What were the total disbursements in the past project year to this subcontractor?

\$ _____

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

SUB#_PAST1_AMT_UNITS

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

| | | Yes | No |
|-------------------|---|-----|----|
| SUB#_RD | Collaborative R&D? | 1 | 2 |
| SUB#_EQUIP | Design and delivery of specialized equipment? | 1 | 2 |
| SUB#_MAT | Provision of specialized materials? | 1 | 2 |
| SUB#_TEST | Testing or laboratory services? | 1 | 2 |
| SUB#_OTH | Other | 1 | 2 |
| 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

Background Information

Please provide descriptive information for your company [COMP_NAME]

Company Developments

Over the course of the ATP project, have any of the following significant events occurred at your company? (Please check all that apply.)

- | | |
|---|-------------------|
| <input type="checkbox"/> Change in company top management | SIG_EVENT_TOP |
| <input type="checkbox"/> Change in strategic direction of the company | SIG_EVENT_DIR |
| <input type="checkbox"/> Change in company ownership | SIG_EVENT_OWN |
| <input type="checkbox"/> Company re-structuring | SIG_EVENT_RESTRUC |
| <input type="checkbox"/> Company merger/acquisition activity | SIG_EVENT_MERGER |
| <input type="checkbox"/> Financial difficulty and/or downsizing | SIG_EVENT_DOWN |
| <input type="checkbox"/> Other, please specify: _____ | SIG_EVENT_OTH |
| | SIG_EVENT_OS |
| <input type="checkbox"/> None of the above | SIG_EVENT_NONE |

COMP_FORM

Is your company [COMP_NAME] a:

- | | |
|--|---|
| <input type="checkbox"/> Sole proprietorship?..... | 1 |
| <input type="checkbox"/> Partnership?..... | 2 |
| <input type="checkbox"/> Limited liability company (LLC)?..... | 3 |
| <input type="checkbox"/> 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]

Employment Information

Please provide employment information for your company [COMP_NAME].

COMP_EMPLOY (0-999,999)

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

_____ Total employees

COMP_EMPLOY_RD (0-999,999)

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

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 (0.00-999.99)

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

\$ _____

Thousands.....1

Millions.....2

Billions.....3

COMP_REVENUE_UNITS

COMP_RD (0.00-999.99)

What were total R&D expenditures at your company for the last fiscal year?

\$ _____

Thousands.....1

Millions.....2

Billions.....3

COMP_RD_UNITS

[If COMP_PUB = No]

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

Income Statement

- If applicable, please report negative numbers using a minus sign rather than parentheses.
- Only the following line items may be reported as negative numbers:
 - Sales
 - Income Before Taxes
 - Net Income

Amounts are reported in:

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

INCOME_STATE_UNITS

| | | | |
|-------------|---------------------|----------|----------------------|
| COMP_SAL | Sales | \$ _____ | (-999.9999-999.9999) |
| COMP_OTHREV | Other revenue | \$ _____ | (0.0000-999.9999) |
| COMP_COS | Expenses | \$ _____ | (0.0000-999.9999) |
| COMP_OI | Income Before Taxes | \$ _____ | (-999.9999-999.9999) |
| COMP_NI | Net Income | \$ _____ | (-999.9999-999.9999) |

Balance Sheet

- If applicable, please report negative numbers using a minus sign rather than parentheses. Only Owner's Equity may be reported as a negative number.
- Please note that Total Assets should equal Total Liabilities + Owner's Equity.

Amounts are reported in:

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

BALANCE_STATE_UNITS

| | | | |
|-----------------|-----------------------|----------|---------------------|
| COMP_ASSET_CURR | Current assets | \$ _____ | (0.0000-999.9999) |
| COMP_ASSET_LT | Long-term assets | \$ _____ | (0.0000-999.9999) |
| COMP_ASSET | Total Assets | \$ _____ | (0.0000-999.9999) |
| COMP_LIAB_CURR | Current liabilities | \$ _____ | (0.0000-999.9999) |
| COMP_LIAB_LT | Long-term liabilities | \$ _____ | (0.0000-999.9999) |
| COMP_LIAB | Total Liabilities | \$ _____ | (0.0000-999.9999) |
| COMP_EQUITY | Owners' Equity | \$ _____ | (-999.999-999.9999) |

Investment Information

EQUITY_SEEK

Since the start of the project, did your company seek equity investment from individual investors (i.e., angel investors), venture capital, or other companies?

Yes.....1

No.....2

EQUITY_RECEIVE

Since the start of the project, did your company receive equity investment from individual investors (i.e., angel investors), venture capital, or other companies?

Yes.....1

No.....2

[If EQUITY_RECEIVE = 1 (Yes)]

INV_INDIV

Since the start of the ATP project, has your company received any equity investment from individual investors (i.e., “angel” investors)?

Yes.....1

No.....2

INV_INDIV_AMT (0.00-999.99)

If yes, how much equity investment has your company received from individual investors since the start of the ATP project? (Please report actual disbursements only).

\$ _____

Thousands.....1

Millions.....2

INV_INDIV_UNITS

INV_VC

Since the start of the ATP project, has your company received any equity investment from venture capital?

Yes.....1

No.....2

INV_VC_AMT (0.00-999.99)

If yes, how much equity investment has your company received from venture capital since the start of the ATP project? (Please report actual disbursements only).

\$ _____

Thousands.....1

Millions.....2

INV_VC_UNITS

INV_CORP

Since the start of the ATP project, has your company received any equity investment from other companies?

Yes.....1

No.....2

INV_CORP_AMT (0.00-999.99)

If yes, how much equity investment has your company received from other companies since the start of the ATP project? (Please report actual disbursements only).

\$ _____

Thousands.....1

Millions.....2

INV_CORP_UNITS

Company Management

[If COMP_EMPLOY < 500 and COMP_PUB = No]

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 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

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

[If COMP_RD > 0]

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 (0-100)

What percent of your company's R&D expenditures last fiscal year was devoted to projects with a duration of three years or more?

_____%

COMP_RD_EXT (0-100)

What percent of your company's R&D expenditures last fiscal year was funded from external resources (e.g., government sources, other companies)?

_____%

If COMP_RD_EXT > 0:

Of your company's **externally** funded R&D expenditures last fiscal 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

Since the start of the ATP project, has your company received any new funding awards from a federal government SBIR program?

Yes.....1

No.....2

If yes, specify agency: _____ **COMP_SBIR_SPEC**

Since the start of the ATP project, has your company received any 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**

[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 (0.00-999.99)

What were total R&D expenditures at your business location for the last fiscal year?

\$ _____

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

ESTAB_RD_UNITS

ESTAB_EMPLOY (0-99,999)

At the end of the last calendar quarter, how many employees worked at your business location?

____ Employees

ESTAB_EMPLOY_RD (0-99,999)

At the end of the last calendar quarter, how many employees worked **in R&D** at your business location?

____ R&D employees

Section 5: ATP Project Characteristics

Technology Diffusion

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

KNOW_COMP_IN

Over the course of the ATP project, to what extent did your ATP project draw on results and “know-how” from other **current** R&D projects at your company?

- Large extent4
- Moderate extent.....3
- Small extent.....2
- Not at all.....1

KNOW_COMP_OUT

Over the course of the ATP project, to what extent did other **current** R&D projects at your company draw on results and “know-how” from your ATP project?

- Large extent4
- Moderate extent.....3
- Small extent.....2
- Not at all.....1

Consider external sources of knowledge that you have benefited from in carrying out your ATP project.

| | Over the course of the ATP project, to what extent did your ATP project draw on knowledge from ... | Large Extent | Moderate Extent | Small Extent | Not at all |
|-----------|--|--------------|-----------------|--------------|------------|
| KNOW_UNIV | Universities | 4 | 3 | 2 | 1 |
| KNOW_GOV | Government laboratories | 4 | 3 | 2 | 1 |
| KNOW_NP | Non-profit institutions | 4 | 3 | 2 | 1 |
| KNOW_COMP | Other companies | 4 | 3 | 2 | 1 |

Think about the types of knowledge that your ATP project has produced.

RESULTS_DIFFUSION

How quickly do you expect critical research **results** 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

R&D Collaboration

[If TYPE_OF_PARTICIPATION = SA AND SUBS = 2 (NO)]

COLLAB_RD

In conducting your ATP project, did your company participate in collaborative research partnerships or relationships with other organizations?

Yes.....1

No.....2

[Programmer note: Set COLLAB_RD = 1 for JVLs, JVPs, and those where SUBS=1]

[If TYPE_OF_PARTICIPATION = JVL or JVP]

COLLAB_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

[IF COLLAB_RD = 2]

COLLAB_WISH

In the course of conducting your ATP project, were there times when a collaborative research partnership or relationship with another organization would have been beneficial?

Yes.....1

No.....2

[If COLLAB_RD = 1 (Yes)]

Consider the resources and capabilities your organization alone could bring to bear on this project. To what extent have your collaborative relationships contributed to the ATP-funded project in the following ways?

| Research Stage | Large Extent | Moderate Extent | Small Extent | Not at all |
|--|---------------------|------------------------|---------------------|-------------------|
| COLLAB_IP Contributed intellectual property to the project | 4 | 3 | 2 | 1 |
| COLLAB_RESEXP Increased the breadth of research expertise applied to the project | 4 | 3 | 2 | 1 |
| COLLAB_EQUIP Made critical research equipment or components available to the project | 4 | 3 | 2 | 1 |
| COLLAB_CUST Identified customer needs during the research stage | 4 | 3 | 2 | 1 |
| COLLAB_RESMGMT Provided research management skills to the project | 4 | 3 | 2 | 1 |
| Commercialization Stage | | | | |
| COLLAB_MFGEXP Increased the breadth of manufacturing expertise applied to the project | 4 | 3 | 2 | 1 |
| COLLAB_MFGFAC Made manufacturing facilities available to the project | 4 | 3 | 2 | 1 |
| COLLAB_OLDMKT Provided marketing expertise and distribution networks for your company's existing markets | 4 | 3 | 2 | 1 |
| COLLAB_NEWMKT Provided marketing expertise and distribution networks for markets new to your company | 4 | 3 | 2 | 1 |

[If COLLAB_WISH = 1 (Yes)]

Listed below are a number of potential benefits that can come from a collaborative research relationship. Which of these benefits do you think your company would have experienced had you collaborated with another organization on the ATP-funded project?

Please check all that apply

| I expect a collaborator would have: | |
|--|--------------------------|
| COLLAB_IP_WISH Contributed intellectual property to the project | <input type="checkbox"/> |
| COLLAB_RESEXP_WISH Increased the breadth of research expertise applied to the project | <input type="checkbox"/> |
| COLLAB_EQUIP_WISH Made critical research equipment or components available to the project | <input type="checkbox"/> |
| COLLAB_CUST_WISH Identified customer needs during the research stage | <input type="checkbox"/> |
| COLLAB_RESMGMT_WISH Provided research management skills to the project | <input type="checkbox"/> |
| COLLAB_MFGEXP_WISH Increased the breadth of manufacturing expertise applied to the project | <input type="checkbox"/> |
| COLLAB_MFGFAC_WISH Made manufacturing facilities available to the project | <input type="checkbox"/> |
| COLLAB_OLDMKT_WISH Provided marketing expertise and distribution networks for your company's existing markets | <input type="checkbox"/> |
| COLLAB_NEWMKT_WISH Provided marketing expertise and distribution networks for markets new to your company | <input type="checkbox"/> |

[IF COLLAB_RD = 1 (Yes)]

COLLAB_NEW

As a result of the ATP project, has your company developed new and important research partnerships or relationships with other organizations (aside from joint venture partners and/or subcontractors)?

Yes.....1

No.....2

COLLAB_EXTEND

As a result of the ATP project, has your company expanded or extended existing research partnerships or relationships with other organizations (aside from joint venture partners and/or subcontractors)?

Yes.....1

No.....2

[IF COLLAB_NEW = 1 (Yes)]

Please indicate the types of organizations your company formed new and important research relationships with as a result of the ATP project. (Please check all that apply).

- Other companies? [NEWCOLLAB_COMP](#)
- Universities? [NEWCOLLAB_UNIV](#)
- Government laboratories? [NEWCOLLAB_GOV](#)
- Non-profit organizations? [NEWCOLLAB_NP](#)

[IF COLLAB_EXTEND = 1 (Yes)]

Please indicate the types of organizations your company expanded or extended existing research relationships with as a result of the ATP project. (Please check all that apply).

- Other companies? [EXISTCOLLAB_COMP](#)
- Universities? [EXISTCOLLAB_UNIV](#)
- Government laboratories? [EXISTCOLLAB_GOV](#)
- Non-profit organizations? [EXISTCOLLAB_NP](#)

Section 6: Research Effort

ATP Project

Since the start of the ATP project, how much has your company spent on the ATP project under the Cooperative Agreement?

PROJ_EXPEND_OWN (0.00-999.99)

Actual project expenditure from own sources:

\$ _____

Thousands.....1

Millions.....2

PROJ_EXPEND_OWN_UNITS

PROJ_EXPEND_ATP (0.00-999.99)

Actual project expenditure from ATP sources:

\$ _____

Thousands.....1

Millions.....2

PROJ_EXPEND_ATP_UNITS

PROJ_ADD_RD

Since the start of the ATP project, has your company incurred any additional R&D expenditures related to the ATP project (beyond the Cooperative Agreement)?

Yes.....1

No.....2

If Yes:

PROJ_ADD_AMT (0.00-999.99)

How much has your company spent on additional R&D expenditures related to the ATP project (beyond the Cooperative Agreement)?

Additional project-related R&D expenditure:

\$ _____

Thousands.....1

Millions.....2

PROJ_ADD_AMT_UNITS

Line of Research

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

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

LOR_DESC

Pre-fill LOR_DESC from previous report

For the next few items, please consider your company's R&D expenditure in this line of research, since the start of the project (aside from ATP project and related R&D expenses.)

LOR_PROJ_RD (0.00-999.99)

Since the start of the ATP project, how much R&D expenditure has your company devoted to this line of research, excluding the ATP-funded project? (Your best estimate is fine. Please include expenditures from both internal and external sources of funding.)

\$ _____

Thousands.....1

Millions.....2

LOR_PROJ_RD_UNITS

[If LOR_PROJ_RD > 0]

LOR_PROJ_RD_EXT (0-100)

Since the start of the project, what percent of the R&D expenditure for this line of research (excluding the ATP project) was funded from external sources outside your company (e.g., government sources, other companies)?

_____ % Percent of R&D funded from external sources

[If LOR_PROJ_RD_EXT > 0]

Excluding the ATP project, please indicate the sources of external funding for this line of research.

Since the start of the project, has your company received funding from any of the following sources?

LOR_FED, LOR_FED_SPEC

Federal government programs

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

If Yes:

Specify agency and program:

LOR_LOCAL

State and local government programs

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

LOR_OTH

Other companies

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

Project Effort

Consider the project period [PROJ_START] to [PROJ_END].

PROJ_WO_ATP_PAST1 (0.00-999.99)

Without ATP funding, how much expenditure do you think your company would have devoted to the ATP project research during this period?

\$ _____

Thousands.....1

Millions.....2

PROJ_WO_ATP_PAST1_UNITS

RDSAMEGOAL

Without the ATP award, would your organization have undertaken a project with the same technical goals and milestones as the ATP project?

Yes.....1

No.....2

PROJWORK_WO_ATP

Consider the research work that you have completed to date on the ATP project. Without ATP funding, how much of this research work do you think your company would have completed to date?

None0

1% to 20%1

21% to 40%.....2

41% to 60%.....3

61% to 80%.....4

81% 100%.....5

RD_ACCEL_YRS

Consider your company's research objectives for your ATP project. How much has the ATP project accelerated your company's progress toward your research objectives?

- None.....0
- 1 year.....1
- 2 years.....2
- 3 years.....3
- 4 years.....4
- 5 years.....5
- More than 5 years.....6

Would not be able to achieve company research objectives without the ATP project.....-99

COMM_ACCEL_YRS

Considering the timeline for your ATP project technology, how much has the ATP project shortened the time for your technology to reach the market

- None.....0
- 1 year.....1
- 2 years.....2
- 3 years.....3
- 4 years.....4
- 5 years.....5
- More than 5 years.....6

Without the ATP project, this technology would not reach the market.....-99

What would your company have done with the resources dedicated to your ATP project if you had not received ATP funding? (Please check all that apply.)

- Used these resources for other research projects on the same technology **RES_SAME**
- Used these resources for research projects on a different technology **RES_DIFF**
- Used these resources for activities other than research **RES_OTHER**

[If RES_SAME = 1 (Checked) or RES_DIFF = 1 (Checked)]

How would the project that you would have undertaken without ATP funding have compared to the ATP project in terms of:

| | Much less | Less | Equal | More | Much greater |
|---|-----------|------|-------|------|--------------|
| TECH_RISK Degree of technical risk | 1 | 2 | 3 | 4 | 5 |
| TECH_BREADTH Breadth of technical goals | 1 | 2 | 3 | 4 | 5 |
| TECH_AMBIT Ambitiousness of technical goals | 1 | 2 | 3 | 4 | 5 |
| PROJ_SCALE Overall scale of project | 1 | 2 | 3 | 4 | 5 |
| TECH_COMM Overall time until technology commercialization | 1 | 2 | 3 | 4 | 5 |

Section 7: Project Management

Business Planning

Think about your management and business planning for your ATP-funded technology during the past year. We want to know about the frequency of meetings between your technical and business staff. For each issue select the choice that best describes the frequency of such meetings over the past year.

| | More than once a week | Several times a month | About once a month | Several times a year | Once or twice a year | Less often than once a year |
|--|-----------------------|-----------------------|--------------------|----------------------|----------------------|-----------------------------|
| RESPLAN Research planning | 6 | 5 | 4 | 3 | 2 | 1 |
| RESPROGRESS Research progress and milestones | 6 | 5 | 4 | 3 | 2 | 1 |
| COMMSTRATEGY Commercialization strategy | 6 | 5 | 4 | 3 | 2 | 1 |
| COMPET_ACTIV Competitors' technical and commercial activities | 6 | 5 | 4 | 3 | 2 | 1 |

[If TYPE_OF_PARTICIPATION = JVL or JVP]

Project Communication

JV_MEETINGS (0-99)

Over the course of the project, how many project review meetings were held where all partners in the JV were represented?

____ Number of meetings

JV_JOINTWORK (0-999)

Over the course of the project, how much staff time, in person-days, did your company devote to carrying out joint work on project tasks with staff from your JV partners?

____ Number of person-days

JV_COMMUNICATION

Over the course of the project, how frequently did staff from your company communicate by telephone, email, or video-conference with staff from your JV partners?

- 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 TYPE_OF_PARTICIPATION = JVL or JVP]

Trust and Knowledge Sharing

Please characterize the extent of trust and knowledge sharing that you have experienced in the ATP joint venture project..

JV_TRUST_FAIR

To what extent do you trust your JV partners to show good will and treat your company fairly?

- Large extent4
- Moderate extent.....3
- Small extent.....2
- Not at all.....1

JV_TRUST_UNFAIR

To what extent do you think your JV partners would take unfair advantage of your company if they had the chance (e.g., if you did not have proper legal protections in place)?

- Large extent4
- Moderate extent.....3
- Small extent.....2
- Not at all.....1

JV_SHARE_KNOWLEDGE

To what extent do you think your JV partners share proprietary knowledge or confidential information in order to help the JV achieve its objectives?

- Large extent4
- Moderate extent.....3
- Small extent.....2
- Not at all.....1

JV_SHARE_RELEVANT

To what extent do you think your JV partners share whatever relevant knowledge they have in order to help the JV achieve its objectives?

- Large extent4
- Moderate extent.....3
- Small extent.....2
- Not at all.....1

[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: (Please check all that apply)

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: _____

[If TYPE_OF_PARTICIPATION = JVL or JVP]

Consider the ATP joint venture project overall.

JV_POWER_FORMAL

In terms of the *formal* agreement among JV partners, to what extent do some JV partners have more power than other partners in areas such as decision-making and rights over JV output?

- Large extent4
- Moderate extent.....3
- Small extent.....2
- Not at all.....1

JV_POWER_INFORMAL

In terms of the *informal* relations among JV partners, to what extent do some JV partners have more power than other partners?

- Large extent4
- Moderate extent.....3
- Small extent.....2
- Not at all.....1

Consider the formal JV agreement and other governance procedures developed by your ATP joint venture.

How satisfied are you with the JV agreement and governance procedures with regard to:

JV_GOVERNANCE_BIP

Protection of intellectual property or proprietary information contributed by JV partners

- Very satisfied.....5
- Satisfied.....4
- Neither satisfied nor dissatisfied.....3
- Dissatisfied.....2
- Very dissatisfied.....1

JV_GOVERNANCE_FIP

Ownership of new intellectual property developed by the JV

- Very satisfied.....5
- Satisfied.....4
- Neither satisfied nor dissatisfied.....3
- Dissatisfied.....2
- Very dissatisfied.....1

JV_GOVERNANCE_DISPUTES

Resolution of disputes or disagreements among JV partners

- Very satisfied.....5
- Satisfied.....4
- Neither satisfied nor dissatisfied.....3
- Dissatisfied.....2
- Very dissatisfied.....1

JV_GOVERNANCE_WORK

Verification of work task performance among JV partners

- Very satisfied.....5
- Satisfied.....4
- Neither satisfied nor dissatisfied.....3
- Dissatisfied.....2
- Very dissatisfied.....1

Section 8: Research Outputs

The following section concerns the research output that may have been generated from your company's ATP-funded technology. The section is divided into five parts: presentations, publications, patent applications, issued patents, and project awards. You will be asked to provide the following information for each subsection:

Presentations:

Date of presentation
Title of presentation
Name of meeting or conference
Location of meeting or conference (city, state, country)
Approximate attendance
Author names

Publications:

Date of paper
Title of paper
Status of paper (unpublished, submitted for publication, accepted for publication)
Name of journal of publication where paper was submitted or published (if applicable)
Volume, issue, page numbers (if published)
Author names

Patent applications:

Application number
Application date
Application title
Status of application (pending, issued, abandoned, denied)
Assignee name
Type of application
Inventor names

Patents issued:

Patent number
Issue date
Patent title
Assignee name
Inventor names

Project awards:

Title of award
Year of award
Awarding organization
Type of award (scientific/technical, business/industry)

Presentations

We are interested in conference or meeting presentations where your company has publicly disseminated information about your ATP-funded project.

Please review the information provided for each presentation identified in earlier BRS reports. If the date, title, conference name or author list of the presentation is incorrect, click on the “Edit button” to correct that information. You will have the opportunity to add new presentations in a separate table.

| | Date of Presentation (MM/YYYY) | Title of Presentation | Name of Meeting or Conference |
|------|--------------------------------|-----------------------|-------------------------------|
| Edit | | | |
| Edit | | | |
| Edit | | | |
| | CP#_DATE | CP#_TTL | CP#_CONF |

Programmer notes:

- If there are no presentations for the respondent to review, skip to the table on page 8-3
- Set CP#_EDITED = 1 for each presentation record that was edited. The Edit pop-up window should contain the following pre-filled but editable information:

Presentation information:

Date of Presentation (MM/YYYY): [CP#_DATE]
 Title of Presentation: [CP#_TTL]
 Name of Meeting or Conference: [CP#_CONF]
 Authors: [Author Table]

In the table below, please provide information about any previously unreported presentations regarding the ATP project made by staff of your company.

| Date of Presentation (MM/YYYY) | Title of Presentation | Name of Meeting or Conference | Delete Entry |
|--------------------------------|-------------------------|-------------------------------|--------------|
| | | | |
| | | | |
| | | | |
| CP#_DATE | CP#_TTL | CP#_CONF | |

Add/Update

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

[PROGRAMMER NOTE: PLEASE LOOP THROUGH THE FOLLOWING ITEMS FOR EACH NEW PRESENTATION LISTED IN THE PREVIOUS TABLE. IF THERE ARE NO NEW PRESENTATIONS, SKIP TO PAGE 8-5.]

Please provide the requested information for the following presentation:

Date of Presentation: [CP#_DATE]

Title of Presentation: [CP#_TTL]

Meeting or Conference: [CP#_CONF]

Where was the meeting or conference held?

CP#_CITY City: _____

CP#_STATE State: _____

CP#_COUNTRY Country: _____

CP#_ATTEND

Approximately how many people attended this presentation?

1-24 persons.....1

25-99 persons.....2

100+ persons.....3

Please enter all author names on the presentation in the table below:

| First Name | Last Name | Delete Entry |
|------------|-----------|--------------|
| | | |
| | | |
| | | |
| CP#_FN | CP#_LN | |

Add/Update

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

Papers and Publications

We are interested in papers and publications authored by staff of your company that publicly disseminates information and results from your ATP-funded project.

Please update the status the information provided for each paper/publication identified in earlier BRS reports.

If the date, title, or author list of the paper/publication is incorrect, click on the “Edit button” to correct that information. You will have the opportunity to add previously unreported papers/publications in a separate table.

| | Date of Paper (MM/YYYY) | Title of Paper | Status of paper |
|------|-------------------------|----------------|--|
| Edit | | | Unpublished paper.....1 Submitted for publication.....2 Accepted for publication.....3 |
| Edit | | | |
| Edit | | | |
| | PP#_DATE | PP#_TTL | PP#_STATUS |

Programmer notes:

- If there are no publications for the respondent to review, skip to the table on page 8-6
- For every record with a changed status, please loop through the appropriate set of items listing on the following pages (e.g., unpublished papers get the items on page 8-7).
- Set PP#_EDITED = 1 for each paper/publication record that was edited. The Edit pop-up window should contain the following pre-filled but editable information:

Paper/Publication information:

Date of Paper (MM/YYYY): [PP#_DATE]

Title of Paper: [PP#_TTL]

Authors: [Author Table]

In the table below, please indicate previously unreported ATP-related papers authored by staff of your company.

| Date of Paper (MM/YYYY) | Title of Paper | Status of Paper |
|----------------------------|-------------------------|--|
| | | Unpublished paper.....1 Submitted for publication.....2 Accepted for publication.....3 |
| | | |
| | | |
| PP#_DATE | PP#_TTL | PP#_STATUS |

Add/Update

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

Programming note: If there are no new publications and no old publications with a change in status, then skip to the patent application subsection.

[PROGRAMMER NOTE: PLEASE LOOP THROUGH THE FOLLOWING ITEMS FOR EACH PUBLICATION LISTED AS “UNPUBLISHED”]

Please provide the requested information for the following paper:

Title of Paper: **[PP#_TTL]**

Date of Paper: **[PP#_DATE]**

Please enter all author names for the paper in the table below:

| First Name | Last Name | Delete Entry |
|------------------------|------------------------|--------------|
| | | |
| | | |
| PP#_FN | PP#_LN | |

Add/Update

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

[Programmer note: Pre-fill author names if available from an old record (i.e., the records on page 8-5)]

[PROGRAMMER NOTE: PLEASE LOOP THROUGH THE FOLLOWING ITEMS FOR EACH PUBLICATION LISTED AS “SUBMITTED FOR PUBLICATION”]

Please provide the requested information for the following paper:

Title of Paper: **[PP#_TTL]**

Date of Paper: **[PP#_DATE]**

PP#_PUB Name of journal or publication submitted to: _____

Please enter all author names for the paper in the table below:

| First Name | Last Name | Delete Entry |
|---------------|---------------|--------------|
| | | |
| | | |
| PP#_FN | PP#_LN | |

Add/Update

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

[Programmer note: Pre-fill author names if available from an old record (i.e., the records on page 8-5)]

[PROGRAMMER NOTE: PLEASE LOOP THROUGH THE FOLLOWING ITEMS FOR EACH PUBLICATION LISTED AS “ACCEPTED FOR PUBLICATION”]

Please provide the requested information for the following paper:

Title of Paper: **[PP#_TTL]**

Date of Paper: **[PP#_DATE]**

PP#_PUB Name of journal or publication: _____

Please provide additional citation information, if known:

PP#_VOL Volume number: _____

PP#_ISSUE Issue number: _____

PP#_PGS Page numbers: _____

Please enter all author names for the paper in the table below:

| First Name | Last Name | Delete Entry |
|---------------|---------------|--------------|
| | | |
| | | |
| PP#_FN | PP#_LN | |

Add/Update

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

[Programmer note: Pre-fill author names if available from an old record (i.e., the records on page 8-5)]

Patent Applications

Please update the status the information provided for each patent application identified in earlier BRS reports.

If the application number, date, title, or inventor name list of the patent application is incorrect, click on the “Edit button” to correct that information. You will have the opportunity to add previously unreported patent applications in a separate table.

| | Application Number | Application Date | Application Title | Status of Application |
|------|--------------------|------------------|-------------------|--|
| Edit | | | | Pending.....1 Issued.....3 Abandoned...2 Denied.....9 |
| Edit | | | | |
| Edit | | | | |
| | PA#_APN | PA#_APD | PA#_TTL | PA#_STATUS |

Programmer notes:

- **Programming note: If there are no old patent applications to review, then skip to the table on 8-11.**
- **For every record with a status change to “Issued” prefill that record in the Patents Issued table on page 8-13.**

Programmer note: Set PA#_EDITED = 1 for each patent application record that was edited. The Edit pop-up window should contain the following pre-filled but editable information:

Patent application information:

| | |
|---------------------|-----------------------|
| Application Number: | [PA#_APN] |
| Application Date: | [PA#_APD] |
| Application Title: | [PA#_TTL] |
| Inventors: | [Inventor name table] |

In the table below, please indicate previously unreported ATP-related patent applications authored by staff of your company.

| Application Number | Application Date | Application Title | Status of Application |
|-------------------------|------------------|-------------------------|--|
| | | | Pending.....1 Issued.....2 Abandoned...3 Denied.....4 |
| | | | |
| | | | |
| PA#_APD | | PA#_TTL | PA#_STATUS |

Add/Update

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

Programming note: If there are no new patent applications and no old patent applications with a change in status, then skip to the patents issued subsection.

[PROGRAMMER NOTE: PLEASE LOOP THROUGH THE FOLLOWING ITEMS FOR EACH NEW PATENT APPLICATION]

Please provide additional information for the following patent application:

Application Number: [PA#_APN]

Application Date: [PA#_APD]

Application Title: [PA#_TTL]

[PA#_AN](#)

Please indicate the Assignee Name for this patent application: _____

[PA#_TYPE](#)

Please indicate the type of patent application:

US patent application.....1

Patent Cooperation Treaty,.....2

Foreign patent application,.....3

please specify country [PA#_TYPE_OS](#)

[PA#_STATUS](#)

What is the current status of this patent application filed by your company.

Pending.....1

Issued.....2

Abandoned.....3

Denied.....4

Please enter all inventor names for the patent application in the table below:

| First Name | Last Name | Delete Entry |
|------------------------|------------------------|--------------|
| | | |
| | | |
| PA#_FN | PA#_LN | |

Add/Update

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

Patents Issued

Please update the status the information provided for each issued patent identified in earlier BRS reports.

If the patent number, issue date, title, or inventor name list of the issued patent is incorrect, click on the “Edit button” to correct that information. You will have the opportunity to add previously unreported issued patents in a separate table.

| | Patent Number | Issue Date | Patent Title |
|------|---------------|------------|--------------|
| Edit | | | |
| | | | |
| Edit | | | |
| Edit | | | |
| | PI#_PN | PI#_ISD | PI#_TTL |

Programmer notes:

- Pre-fill with NIST records and where PA#_STATUS = “Issued” from the patent application subsection.
- Programming note: If there are no old issued patents to review and no new patent applications with a status=issued, then skip to the table on 8-14.
- Set PI#_EDITED = 1 for each patent record that was edited. The Edit pop-up window should contain the following pre-filled but editable information:

Patent information:

| | |
|----------------|-----------------------|
| Patent Number: | [PI#_PN] |
| Issue Date: | [PI#_ISD] |
| Patent Title: | [PI#_TTL] |
| Inventors: | [Inventor name table] |

Programmer note: pre-fill with records where PA#_STATUS = “Issued” from the patent application subsection.

Only two types of records should appear in this table:

- **Newly reported patent applications with a status of “issued”**
- **Previously reported patent applications with a change in status to “issued”**

You have previously indicated that the patent applications listed below have resulted in issued patents. Please indicate the patent number, issue date, and patent title for each of these records.

| Application Number | Application Title | Patent Number | Issue Date | Patent Title |
|--------------------|-------------------|---------------|------------|--------------|
| | | | | |
| | | | | |
| | | | | |
| PA#_APN | PA#_TTL | PI#_PN | PI#_ISD | PI#_TTL |

[PROGRAMMER NOTE: PLEASE LOOP THROUGH THE FOLLOWING ITEMS FOR EACH PATENT LISTED IN THE TABLE ON PAGE 8-14. If there are no patent applications that have become issued patents, then skip to table on page 8-16.]

Please provide the requested information for the following issued patent:

Patent Number: [PI#_PN]

Issue Date: [PI#_ISD]

Patent Title: [PI#_TTL]

Please enter all inventor names for the issued patent in the following table:

| First Name | Last Name | Delete Entry |
|------------|-----------|--------------|
| | | |
| | | |
| PI#_LN | PI#_FN | |

Add/Update

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

PI#_AN

What is the Assignee Name for this patent? _____

In the table below, please indicate previously unreported issued patents resulting from the ATP-funded project.

| Patent Number | Issue Date | Patent Title | Delete Entry |
|---------------|------------|--------------|--------------|
| | | | |
| | | | |
| | | | |
| PI#_PN | PI#_ISD | PI#_TTL | |

Add/Update

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

[PROGRAMMER NOTE: PLEASE LOOP THROUGH THE FOLLOWING ITEMS FOR EACH PATENT LISTED IN THE TABLE ON PAGE 8-16]

Please provide the requested information for the following issued patent:

Patent Number: [PI#_PN]

Issue Date: [PI#_ISD]

Patent Title: [PI#_TTL]

Please enter all inventor names for the issued patent in the following table:

| First Name | Last Name | Delete Entry |
|------------|-----------|--------------|
| | | |
| | | |
| PI#_LN | PI#_FN | |

Add/Update

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

PI#_AN

What is the Assignee Name for this patent? _____

Project-related Awards

The titles and award dates of project-related awards that were identified on previous BRS reports are listed in the table below. Please review the information for accuracy.

You will have an opportunity to add the titles and award dates of new awards in a separate table.

| | Title of Award | Year of Award | Awarding Organization |
|------|----------------|---------------|-----------------------|
| Edit | | | |
| Edit | | | |
| Edit | | | |
| | AWD#_TTL | AWD#_YR | AWD#_ORG |

Programming notes:

- **If there are no project awards for the respondent to review, skip to page 8-19 (PROJ_AWDS_NEW)**
- **Set AWD#_EDITED = 1 for each award record that was edited. The Edit pop-up window should contain the following pre-filled but editable information:**

Project Award Information:

Title of Award: [AWD#_TTL]
Year of Award: [AWD#_YR]
Awarding Organization: [AWD#_ORG]

PROJ_AWDS_NEW

During the past reporting year, did your company or project team members receive any previously unreported scientific or industry awards related to your ATP project?

Yes.....1

No.....2

If PROJ_AWDS_NEW = Yes:

Please enter information about any new ATP project-related awards.

| Title of Award | Year of Award | Awarding Organization |
|--------------------------|-------------------------|--------------------------|
| | | |
| | | |
| | | |
| AWD#_TTL | AWD#_YR | AWD#_ORG |

Add/Update

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

Please indicate the type of award your company or project team members received:

| Title of Award | Year of Award | Type of Award |
|--------------------------|-------------------------|--|
| | | Scientific/Technical achievement.....1 |
| | | Business/Industry achievement.....2 |
| | | |
| | | |
| AWD#_TTL | AWD#_YR | AWD#_TYPE |

Section 9: Project Outcomes

Project Technical Goals

[If TYPE_OF_PARTICIPATION = SA]

TECH_ACHIEVE_PROJ

Considering the technical goals of the project, would you say the project achieved ...

- Few, if any, of its technical goals.....1
- Some of its technical goals.....2
- Most of its technical goals.....3
- All of its technical goals.....4
- Beyond its technical goals.....5

[If TYPE_OF_PARTICIPATION = JVL or JVP]

TECH_ACHIEVE_PROJ

Consider the technical goals of the joint venture (JV) project. Would you say the JV project achieved ...

- Few, if any, of its technical goals.....1
- Some of its technical goals.....2
- Most of its technical goals.....3
- All of its technical goals.....4
- Beyond its technical goals.....5

TECH_ACHIEVE_COMP

Consider your company's technical goals for the project. Would you say your company achieved ...

- Few, if any, of its technical goals.....1
- Some of its technical goals.....2
- Most of its technical goals.....3
- All of its technical goals.....4
- Beyond its technical goals.....5

NEWKNOWL

To what extent was useful new knowledge created from your ATP-funded project?

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

RDCOMMCRL

To what extent did your company achieve all technical goals needed to begin product development or clinical trials for initial commercialization of ATP-funded technology?

| | |
|-------------------------|---|
| Fully achieved..... | 5 |
| Largely achieved..... | 4 |
| Partially achieved..... | 3 |
| Somewhat achieved..... | 2 |
| Not achieved..... | 1 |

SIG_TECH_CHALLENGE

How significant are any additional technical (research, development) challenges that still need to be addressed in order to achieve widespread commercialization?

| | |
|-----------------------------|---|
| Very significant..... | 4 |
| Moderately significant..... | 3 |
| Somewhat significant..... | 2 |
| Not significant..... | 1 |

SIG_NONTECH_CHALLENGE

How significant are any additional non-technical (regulatory, business) challenges that still need to be addressed in order to achieve widespread commercialization?

| | |
|-----------------------------|---|
| Very significant..... | 4 |
| Moderately significant..... | 3 |
| Somewhat significant..... | 2 |
| Not significant..... | 1 |

| To what extent have your company's achievements on your ATP project assisted in the ... | Large extent | Moderate extent | Small extent | Not at all | Not Applicable |
|--|--------------|-----------------|--------------|------------|----------------|
| Attraction of equity investment... | | | | | |
| ATTRACT_ANGEL From individual investors (i.e., "angels") | 4 | 3 | 2 | 1 | -8 |
| ATTRACT_VC From venture capital | 4 | 3 | 2 | 1 | -8 |
| ATTRACT_COMP From other companies | 4 | 3 | 2 | 1 | -8 |
| ATTRACT_PUB From public offerings | 4 | 3 | 2 | 1 | -8 |
| ENHANCE_REP Enhancement of the company's reputation with suppliers and customers | 4 | 3 | 2 | 1 | -8 |
| ATTRACT_SCI Attraction of scientists or other employees | 4 | 3 | 2 | 1 | -8 |
| ATTRACT_EXT_FUND Attraction of funding for the line of research from external sources (e.g., federal, state and local governments, other companies) | 4 | 3 | 2 | 1 | -8 |
| ATTRACT_INT_FUND Attraction of internal funding for this line of research | 4 | 3 | 2 | 1 | -8 |

| As a result of your company's experience with the ATP project, would you say your company is more or less likely to: | Much more likely | More likely | Neither more or less likely | Less likely | Much less likely |
|--|------------------|-------------|-----------------------------|-------------|------------------|
| PURSUE_HIRISK Pursue R&D projects with high-technical risk | 5 | 4 | 3 | 2 | 1 |
| PURSUE_LONG Pursue R&D projects with longer time horizons | 5 | 4 | 3 | 2 | 1 |
| COLLAB_COMP Collaborate in R&D with other companies | 5 | 4 | 3 | 2 | 1 |
| COLLAB_NP Collaborate in R&D with universities and other nonprofit organizations | 5 | 4 | 3 | 2 | 1 |

Project Value

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

To what extent has your ATP project ...

ENHANCE_OTH_RD

Enhanced the value of other R&D at your company?

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

STIMULATE_NEW_RD

Stimulated new ideas for R&D at your company?

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

Project impacts

ENV_IMPACT

Has the technology developed by your company during the ATP project produced any environmental impacts to date?

| | |
|----------|---|
| Yes..... | 1 |
| No..... | 2 |

ENV_IMPACT_EXPECT

If not, do you expect the technology developed during the ATP project to have any environmental impacts in the future?

| | |
|----------|---|
| Yes..... | 1 |
| No..... | 2 |

HS_IMPACT

Has the technology developed by your company during the ATP project produced any health or safety impacts to date?

| | |
|----------|---|
| Yes..... | 1 |
| No..... | 2 |

HS_IMPACT_EXPECT

If not, do you expect the technology developed during the ATP project to have any health or safety impacts in the future?

| | |
|----------|---|
| Yes..... | 1 |
| No..... | 2 |

OVERALL_VALUE

Overall, in terms of generating value to your company, would you consider the project to be ...

- Very successful.....5
- Successful.....4
- Neither successful nor unsuccessful.....3
- Unsuccessful.....2
- Very unsuccessful.....1

Section 10: Technology Commercialization

Commercialization Characteristics

The table below presents the line(s) of business at your company that **your project technology will serve** as they were reported on a previous BRS report. Please delete any outdated line(s) of business.

| Name of line of business | Approximately what percent of your company's revenues are from this line of business? | Approximately what percent of your company's R&D expenditures are devoted to this line of business? | Delete Entry |
|--------------------------|---|---|--------------|
| | ____% | ____% | |
| [LOB#_NAME] | LOB#_REV (0-100) | LOB#_RD (0-100) | |
| | | | |

Add/Update

Press 'Add/Update' button to update table.

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

| Name of line of business | Approximately what percent of your company's revenues are from this line of business? | Approximately what percent of your company's R&D expenditures are devoted to this line of business? | Delete Entry |
|--------------------------|---|---|--------------|
| | ____% | ____% | |
| [LOB#_NAME] | LOB#_REV (0-100) | LOB#_RD (0-100) | |
| | | | |

Add/Update

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

Technology Innovation

TECH_EXIST

Do you expect that your company will incorporate the ATP-funded technology in your company's existing products, processes or services?

Yes.....1

No.....2

TECH_NEW

Do you expect that your company will incorporate the ATP-funded technology in new products, processes or services new to your company?

Yes.....1

No.....2

Planned Commercial Applications

ATP is interested in the market opportunities that your company will address using your ATP-funded technology and how your company plans to earn revenues through this introduction.

COMM_PLAN

Do you expect your company to pursue commercialization of any product, process, or service that integrates the ATP-funded technology?

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

[IF COMM_PLAN = NO]

FINAN_RETURN

Do you expect your company to realize any financial return from a product, process, or service that integrates the ATP-funded technology?

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

FINAN_RETURN_DESC

If yes, please briefly explain what kind of financial return you expect.

NO_FINAN_RETURN_DESC

If no, please briefly explain why no financial return is expected.

Programmer note: Skip to Section 11.

Programmer Note: All the remaining items in Section 10 go to respondents where COMM_PLAN =1 (Yes). Respondents with COMM_PLAN=2 (No) get the items in the box at the bottom of page 10-3, then skip to Section 11.

Potential Innovations

Identify and briefly describe the product, service or process innovations that incorporate ATP-funded technology which your company plans to introduce to the marketplace through licensing, direct sales, or other means (e.g., sale of technology).

| Name | Brief Description | Delete Entry |
|------------|-------------------|--------------|
| | | |
| | | |
| | | |
| PROD#_NAME | PROD#_DESC | |

Add/Update

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

Market Applications

We use the term **market application** to refer to the use of your ATP-funded technology to meet market opportunities in specific industries.

Please identify the market applications that your company will pursue through licensing, direct sales, or other means (e.g., sale of technology).

| Market Applications | Delete Entry |
|---------------------|--------------|
| | |
| | |
| | |
| APP#_DESC | |

Add/Update

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

Programmer note: Please put these two tables on the same web page.

Financial Returns

Please indicate what types of financial returns your company expects from commercialization of the market applications you have identified.

| Market applications | Are revenues, related to this market application? | Are cost savings related to this market application? | Are royalties related to this market application? |
|---------------------|---|--|---|
| | Yes.....1 No.....2 | Yes.....1 No.....2 | Yes.....1 No.....2 |
| | | | |
| | | | |
| [APP#_DESC] | APP#_REV | APP#_SAV | APP#_ROY |

Please identify when your company expects to realize financial returns (e.g., revenues, cost savings, royalties) from commercialization of the listed market applications.

| Market Applications (prefill: APP#_DESC) | No financial return expected | Already realized a financial return | 1-3 years after project close | 3-5 years after project close | More than 5 years after project close |
|--|------------------------------|-------------------------------------|-------------------------------|-------------------------------|---------------------------------------|
| | 0 | 1 | 2 | 3 | 4 |
| | 0 | 1 | 2 | 3 | 4 |
| | 0 | 1 | 2 | 3 | 4 |
| APP#_RETURN | | | | | |

Commercialization Plans

| | |
|--|---|
| With commercialization of your ATP-funded technology, do you expect your company to 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 |

Commercialization Effort

Please indicate the status of your collaboration plans and strategic partnership activities in each of the following commercialization areas for your ATP-funded technology.

| Strategic collaboration activity | Current Status of Collaboration Activity | | | | | |
|------------------------------------|--|--|------------------|-----------------------|--------------------------|--------------------|
| | No collaboration planned | Collaboration planned, but no contacts established | Initial contacts | Follow-on discussions | Substantive negotiations | Actual commitments |
| PLAN_RES Research | | | | | | |
| PLAN_DEVELO Product development | 0 | 1 | 2 | 3 | 4 | 5 |
| PLAN_MANU Manufacturing | 0 | 1 | 2 | 3 | 4 | 5 |
| PLAN_TEST Product testing | | | | | | |
| PLAN_MARKET Marketing/ Sales | 0 | 1 | 2 | 5 | 4 | 5 |
| PLAN_DIST Distribution | 0 | 1 | 2 | 3 | 4 | 5 |
| PLAN_OTH Other | 0 | 1 | 2 | 3 | 4 | 5 |
| PLAN_OS Please specify: _____ | | | | | | |

COMM_CUSTOMERS

Is your company actively pursuing customers for market applications from your ATP project technology? (Please consider both internal business unit customers and external customers.)

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

[If COMM_CUSTOMERS=Yes]

How would you characterize the current status of your company's efforts to identify customers for market applications from your ATP project technology? (Check all that apply.)

- | | |
|---|-------------|
| <input type="checkbox"/> Initial contacts | CUST_IC |
| <input type="checkbox"/> Follow-on discussions | CUST_DISS |
| <input type="checkbox"/> Substantive negotiations | CUST_NEG |
| <input type="checkbox"/> Actual commitments | CUST_COMMIT |

Most Important Market Application

Please identify which market application you expect to have the most significant long-term business impact on your company. Please select only one.

MOSTIMPT_APP

- APP1_DESC
- APP2_DESC
- APP3_DESC
- APP4_DESC
- (etc.)

MKT_EXIST

Does a market exist for this application?

Yes.....1

No.....2

Compared to competing applications, does this particular application provide ...

New features PROD_ADVAN_FEAT

Improved performance PROD_ADVAN_PERF

Lower cost PROD_ADVAN_COST

(Check all that apply.)

For this particular application, has your company achieved to date...

Scientific proof of concept STATUS_SCI_PROOF

Laboratory prototype STATUS_LAB_PROTO

Market prototype STATUS_MARK_PROTO

Commercial application STATUS_COMM_APP

(Please check all that apply)

For this particular application, has your company to date completed ...

MKT_CONC Yes.....1

A concept test with customers? No.....2

MKT_OTH Yes.....1

Some other kind of market analysis? No.....2

PRO_PILOT Yes.....1

A pilot production line? No.....2

MKT_INIT Yes.....1

Initiation of production? No.....2

Who will be the targeted customer(s) of this particular application? Please select no more than three descriptions.

- | | |
|--|---------------------|
| <input type="checkbox"/> Industrial processor | CUST_INDUS_PROC |
| <input type="checkbox"/> Components manufacturer | CUST_COMP_MANU |
| <input type="checkbox"/> OEM/systems integrator | CUST_OEM |
| <input type="checkbox"/> End product assembler/manufacturer | CUST_ENDPROD_MANU |
| <input type="checkbox"/> End product marketer/distributor | CUST_ENDPROD_MKT |
| <input type="checkbox"/> End product consumer | CUST_ENDPROD_CONSUM |
| <input type="checkbox"/> Service provider- health/education | CUST_PROV_HEALTH |
| <input type="checkbox"/> Service provide- financial/business information | CUST_PROV_FINAN |
| <input type="checkbox"/> Other | CUST_OTH |
| Please specify: _____ | CUST_OS |

OVERALL_ADVAN

Overall, how would you assess your company’s competitive advantage for this application now relative to the start of your ATP project?

- Worsened.....1
- Unchanged.....2
- Improved.....3

During the project period, how has your company’s competitive advantage for this application been affected by the following factors

| | | Worsened | Unchanged | Improve d |
|------------|-----------------------------------|----------|-----------|--------------|
| COMP_DOM | Domestic economic conditions | 1 | 2 | 3 |
| COMP_INT | International economic conditions | 1 | 2 | 3 |
| COMP_ENTRY | New competitors | 1 | 2 | 3 |
| COMP_PROG | Existing competitors | 1 | 2 | 3 |
| COMP_OTH | Other factors | 1 | 2 | 3 |
| COMP_OS | Please specify: _____ | | | |

Financial Returns

Please indicate whether your company has received revenues or cost savings from a product or process that incorporates your ATP project technology.

Consider the project period [PROJ_START] to [PROJ_END].

During the project period, did your company earn revenues from a product that incorporates your ATP project technology from any of the following sources?

(Please check all that apply):

- Sales of goods and services that incorporate ATP-funded technology? REV_GOODS
- Sale of ATP-funded technology? REV_ATPSALE
- Provision of technical R&D services based on capabilities developed during your ATP project? REV_SERVICE S

[If REV_GOODS =1 (CHECKED)]

REV_PROD_AMT (0.00-999.99)

How much in revenues did your company earn from this product?

\$ _____

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

REV_PROD_AMT_UNITS

REV_PROD_AMT_WO_ATP

Without ATP funding, how much in revenues do you think your company would have earned from this product?

- More.....3
- About the same.....2
- Less.....1
- None.....0

[If REV_ATPSALE =1 (CHECKED)]

REV_ATPSALE_AMT (0.00-999.99)

How much in did your company earn from the sale of the ATP-funded technology?

\$ _____

Thousands.....1

Millions.....2

REV_ATPSALE_AMT_UNITS

SAV_PROC

During the project period, did your company realize any cost savings from a new or improved production process that incorporates your ATP project technology?

Yes.....1

No.....2

[If SAV_PROC=1 (Yes)]

SAV_PROC_AMT (0.00-999.99)

How much in cost savings did your company realize?

\$ _____

Thousands.....1

Millions.....2

SAV_PROC_AMT_UNITS

SAVE_PROC_AMT_WO_ATP

Without ATP funding, how much in cost savings do you think your company would have realized from whatever R&D your company might have pursued instead?

More.....3

About the same.....2

Less.....1

None.....0

Did these cost savings come from (please check all that apply):

New features?

Implementation of production processes that incorporate ATP-funded technology?

SAV_FEATURES

SAV_PROD_PRO

C

The names and locations of licensors of your company’s ATP project technology that were identified on previous BRS reports are listed in the table below. Please review the information for accuracy.

You will have an opportunity to add the names and locations of new licensors in a separate table.

| | Licensor Name | City | State | Country |
|------|---------------|-----------|------------|--------------|
| Edit | | | | |
| Edit | | | | |
| Edit | | | | |
| | LIC#_NAME | LIC#_CITY | LIC#_STATE | LIC#_COUNTRY |

Programming notes:

- If there are no licenses for the respondent to review, skip to page 8-7 (COMM_LICENSE_NEW)
- Set LIC#_EDITED = 1 for each license record that was edited. The Edit pop-up window should contain the following pre-filled but editable information:

Project Award Information:

Licensor Name: [LIC#_NAME]
 City: [LIC#_CITY]
 State: [LIC#_STATE]
 Country: [LIC#_COUNTRY]

COMM_LICENSE_NEW

During the past project year, did your company establish any previously unreported agreements to license your ATP project technology to others?

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

[If COMM_LICENSE_NEW = 1 (YES)]

Please identify any new licensors of your ATP-funded technology.

| Licensor Name | City | State | Country | Type of License | Delete Entry |
|---------------------------|---------------------------|----------------------------|------------------------------|--------------------------------------|--------------|
| | | | | Exclusive.....1 Non-exclusive. .2 | |
| | | | | | |
| | | | | | |
| LIC#_NAME | LIC#_CITY | LIC#_STATE | LIC#_COUNTRY | LIC#_TYPE | |

Add/Update

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

ROY_LIC

During the project period, did your company receive any royalties from licensing of technology from your ATP project?

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

[If ROY_LIC=1 (Yes)]

ROY_LIC_AMT (0.00-999.99)

How much in royalties did your company receive?

\$ _____

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

ROY_LIC_AMT_UNITS

ROY_LIC_AMT_WO_ATP

Without ATP funding, how much in royalties do you think your company would have received from licensing of technology from whatever R&D your company might have pursued instead?

- More.....3
- About the same.....2
- Less.....1
- None.....0

REV_OTHER

During the project period, did your company receive any other revenue as a result of your ATP project (e.g., joint development revenues, contract research revenues)?

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

[If REV_OTHER=1 (Yes)]

REV_OTHER_AMT (0.00-999.99)

How much other revenue did your company receive?

\$ _____

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

REV_OTHER_AMT_UNITS

REV_OTH_AMT_WO_ATP

Without ATP funding, how much of this other revenue do you think your company would have received from whatever R&D your company might have pursued instead?

- More.....3
- About the same.....2
- Less.....1
- None.....0

REV_OTHER_DESC

Please describe the nature of these other revenues.

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 \$_____ (0.00-999.99)
5 years after project end \$_____ (0.00-999.99)
10 years after project end \$_____ (0.00-999.99)

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 \$_____ (0.00-999.99)
5 years after project end \$_____ (0.00-999.99)
10 years after project end \$_____ (0.00-999.99)

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 \$ _____ (0.00-999.99)
 5 years after project end \$ _____ (0.00-999.99)
 10 years after project end \$ _____ (0.00-999.99)

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

To commercialize your ATP-funded technology, does your company plan to make investments over the next 2 years in any of the following areas:

| | None | <\$1 Million | \$1 - \$5 Million | \$5 - \$10 Million | > \$10 Million |
|--|------|--------------|-------------------|--------------------|----------------|
| INVEST_RES Research | 0 | 1 | 2 | 3 | 4 |
| INVEST_PD Product Development | 0 | 1 | 2 | 3 | 4 |
| INVEST_MANU Manufacturing facilities or equipment | 0 | 1 | 2 | 3 | 4 |
| INVEST_MARK Marketing/Sales | 0 | 1 | 2 | 3 | 4 |
| INVEST_DIST Distribution | 0 | 1 | 2 | 3 | 4 |
| INVEST_OTH Other, | 0 | 1 | 2 | 3 | 4 |
| INVEST_OS Please specify: _____ | | | | | |

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 \$ _____ (0.00-999.99)
 - 5 years after project end \$ _____ (0.00-999.99)
 - 10 years after project end \$ _____ (0.00-999.99)
- 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 \$ _____ (0.00-999.99)
 - 5 years after project end \$ _____ (0.00-999.99)
 - 10 years after project end \$ _____ (0.00-999.99)
- Thousands.....1
Millions.....2
Billions.....3

Section 11: Future Updates

Project Contact Person

The Project Contact Person for your company will receive future emails and notifications regarding gathering follow up information on your ATP-funded work. Please select from the table below which member of your staff you would like to designate to be the Project 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]:

| | |
|------------|--|
| 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 <i>(no PO Box addresses, please)</i> |
| 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 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.] |
| 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 <i>(no PO Box addresses, please)</i> |
| 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 <i>(no PO Box addresses, please)</i> |
| 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 Annual 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.
