


The slide has a dark blue background with a large green circular graphic on the left. The title "Today's Program" is in yellow. A list of eight items is shown with yellow square bullets. The NIST logo is in the bottom left, and the full name of the organization is in the bottom right.

Today's Program


- ATP Overview
- Competition Process
- Business Criterion
- Technical Criterion
- Gated Approach and Electronic Submission
- Administrative Highlights
- Closing Remarks

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ATP's Mission ...

To accelerate the development of **innovative technologies** for **broad national benefit** through **partnerships** with the private sector.



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Exciting New Technologies ...



900 mm
3 mm

Bridging the Gap Between the Laboratory and the Marketplace



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ATP is Part of NIST

NIST's Mission ... Strengthen the U.S. economy and improve the quality of life by working with industry to develop and apply technology, measurements, and standards.



Helping America Measure Up

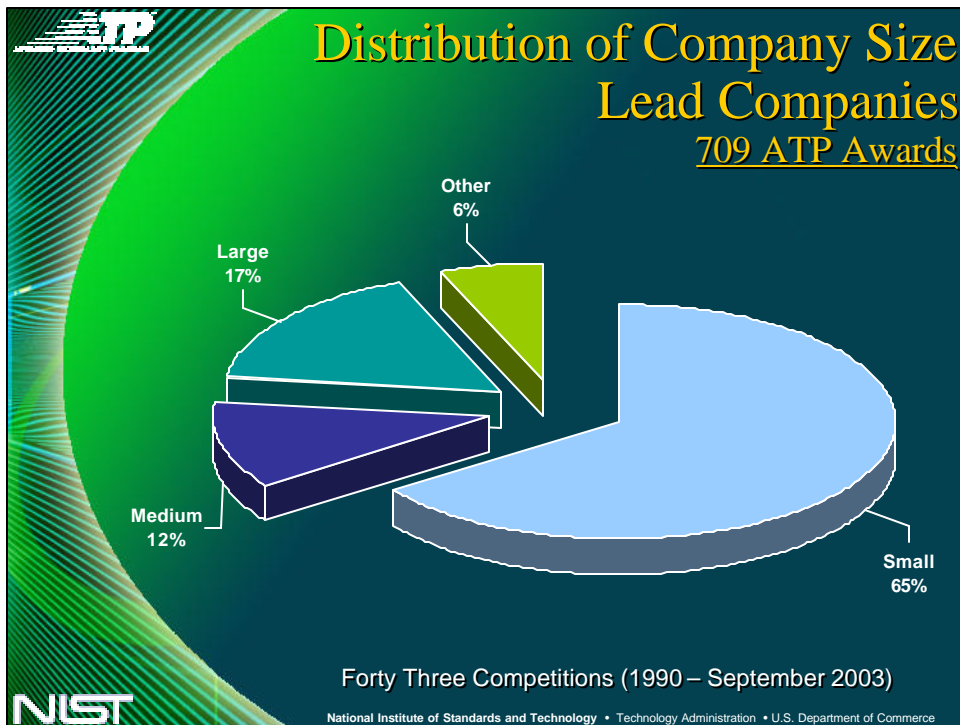
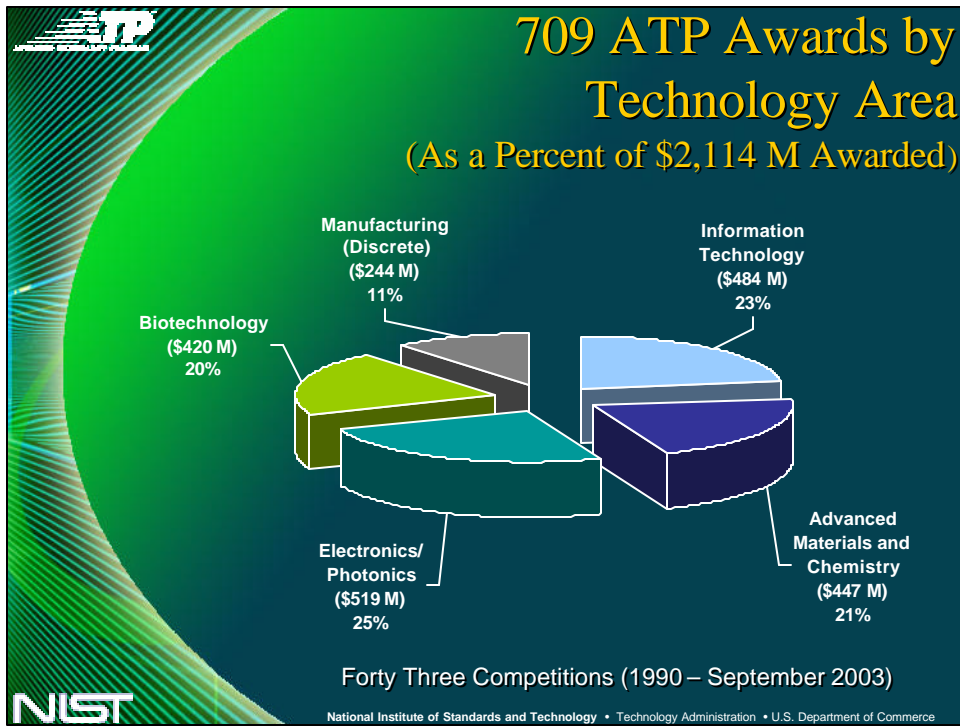
- \$773 million FY 2004 operating budget
- 3,000 employees
- 1,800 associates
- **NIST laboratories:** National measurement standards
- **Advanced Technology Program:** \$2,114 million co-funding with industry since 1990
- **Manufacturing Extension Partnership:** 400 centers nationwide to help small manufacturers
- **Baldrige National Quality Award**

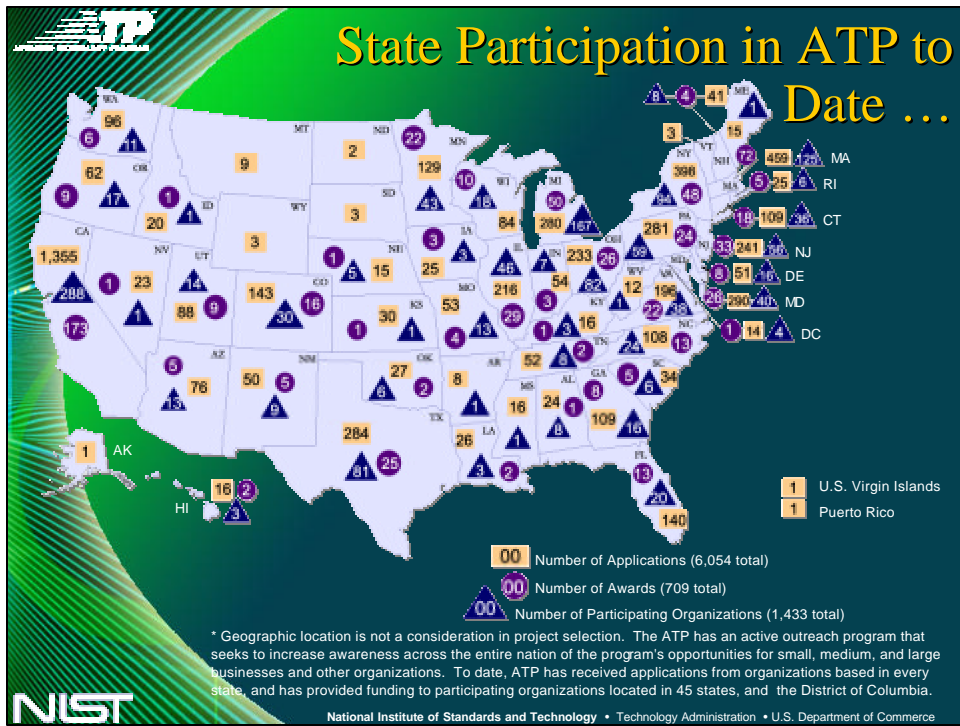
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Since 1990 ...

- 6,054 proposals submitted to 43 competitions, requesting \$12,969 M from ATP
- 709 projects awarded with 1,433 participants and an equal number of subcontractors
- 207 joint ventures and 502 single companies
- \$4,101 M of high-risk research funded
 - ATP share = \$2,114 M
 - Industry share = \$1,987 M
- Small businesses are thriving
 - 65% of projects led by small businesses
- Over ...
 - 165 universities participate
 - 30 national laboratories participate
 - 900 patents

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What Can ATP Do for You?

- Create sustainable technical advantage
 - you direct the research goals
 - we share in the risk of longer-range, higher-payoff research
 - ATP commits ~ \$1,000,000 per year per project
- Retain your Intellectual Property Rights
 - U.S. for-profit companies keep rights to intellectual property from ATP-funded projects
- Encourage integration of *business* and *technical* planning
 - plan now for commercializing your research results
 - attend ATP-sponsored workshops with venture capitalists

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What Can ATP Do for You?

(cont'd)

- Gain recognition within industrial and financial sectors
 - an ATP award will attract attention from investors, strategic partners, potential customers, and others
- Find partners through our website
 - visit ATP's Collaboration Bulletin Board
 - join ATP's Alliance Network List Server
- We are *flexible* and *fair*, but *firm*
 - we will monitor your progress, but also be supportive if roadblocks appear as long as the project continues to meet the criteria



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Is ATP Right for You?

- Are you looking to further your technical advantage by conducting challenging research?
- Are the risks primarily technical?
- Does your project have the potential to generate broad-based economic benefits for the United States?
- Are you committed to taking the research into the marketplace?




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Advanced Technology Program

Two Ways to Apply ...

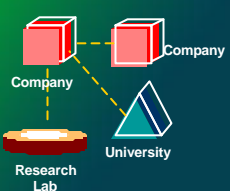
As a Single Company:

Alone



Company

With Subcontractors



Company

Research Lab

University

Company

- For-profit company
- 3-year time limit
- \$2M award cap
- Company pays indirect costs
- Large companies cost share at least 60% of total project costs

- ATP encourages teaming arrangements
- Most projects involve alliances

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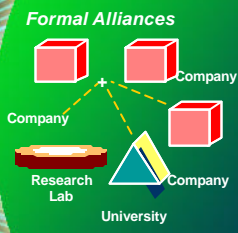
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Two Ways to Apply ... (cont'd)

As a Joint Venture:

Formal Alliances



Company

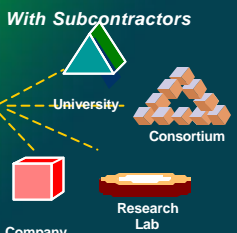
Company

Research Lab

University

Company

With Subcontractors



University

Consortium

Company


Research Lab

- At least 2 for-profit companies
- 5-year time limit
- No limit on award amount (other than availability of funds)
- Industry share >50% total cost

- ATP encourages teaming arrangements
- Most projects involve alliances


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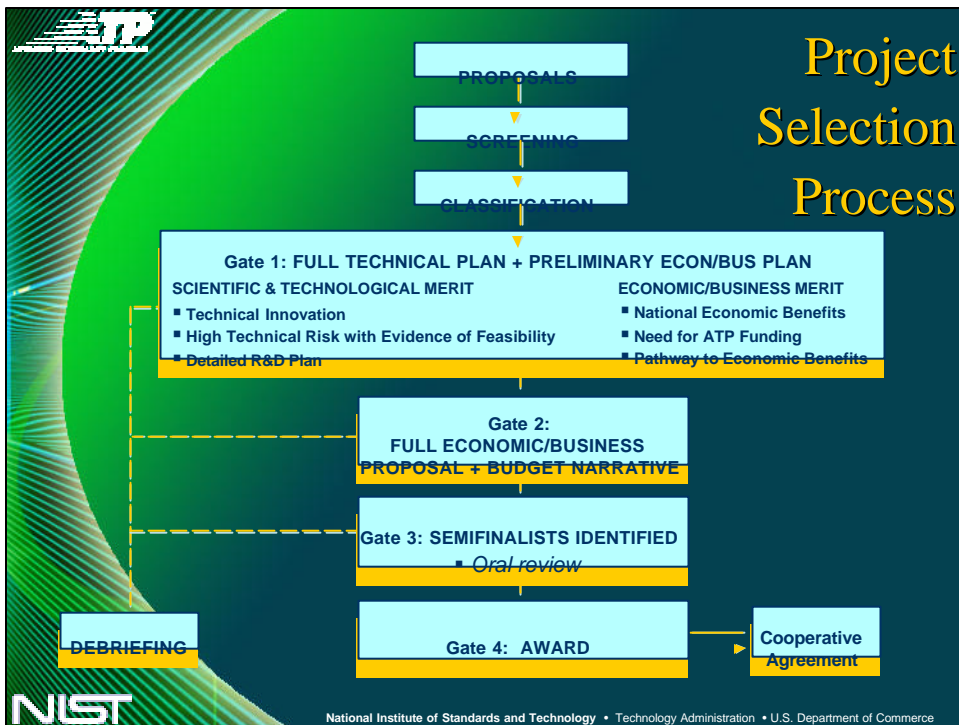



Two Major Criteria

- Scientific and Technological Merit (50%)
 - Technical innovation
 - High technical risk with evidence of feasibility
 - Detailed technical plan
- Potential for Broad-Based Economic Benefits (50%)
 - National economic benefits
 - Need for ATP funding
 - Pathway to economic benefits




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The Gated Approach

- **Gate 1:** Executive Summary, complete technical narrative, plus preliminary info on economic/business narrative
- **Gate 2:** Complete economic/business narrative, plus detailed budget information, if pass gate 1
- **Gate 3:** Semifinalist, if pass gate 2
- **Gate 4:** Award, if pass gate 3 and selected




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Two Major Criteria

- **Scientific and Technological Merit (50%)**
 - **Technical innovation**
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Business Drivers and Technical Planning

What is Needed for Technical Success?



Market Opportunity


Overcoming High Technical Risk Barriers

Technical Innovation

What is Needed for Market Success?




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Economic/Business Criterion

- Potential for Broad-Based **Economic Benefits**
 - National economic benefits
 - Need for ATP funding
 - Pathway to economic benefits




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National Economic Benefits

ATP Perspective
ATP cares about longer term net benefits for the nation

Private Investor Perspective
Private investors care about near term and own return on their investment




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National Economic Benefits (cont'd)

- Describe the business opportunity
 - **Why is it of economic importance to you and the nation?**
- How will you benefit? How will others benefit (e.g., your customers, competitors, your industry, other industries, and the general public)?
- What is the business advantage of your technical approach over others?
 - **Quantify the magnitude of impact**


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National Economic Benefits (cont'd)

- Who are the potential users of the technology?
- How large are the markets and what are the growth trends?
- How will these markets change once the proposed technology is available?

Be specific and give supporting evidence (quantitative and qualitative).



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Need for ATP Funding

Describe the difference ATP can make


- Broader scale or scope of R&D?
- Acceleration of R&D?
- Greater collaboration?

... leading to greater national benefits faster

- What market opportunity will be missed without ATP funding?




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Need for ATP Funding (cont'd)

Why does your project need public funds?


I need
money for
R&D



- Is the project “too risky” to obtain private or internal funding?
- Do you think your company won’t capture the major benefit?
- Where else have you looked for funding and why you were unsuccessful?
- Why ATP and not some other Federal Program?
 - Document past efforts to secure funding from private sources, government sources, industry partners

Government?
Venture Capital?
Corporate Investment?

Personal Sources?
Institutional Loans?
Angel Investors?



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Pathway to Economic Benefits

ATP-Funded Projects

→

New/Improved Products, Processes, and Services

↓

Broad Based Economic Benefits

Commercialization Pathways

- Demonstrate an understanding of the market and the market need
- Assess your strengths, weaknesses and opportunities from a competitive standpoint
- Develop a commercialization plan



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Pathway to Economic Benefits (cont'd)

What is your **strategy, plan, and project structure** for realizing your own growth and for national economic benefits?

Commercialization Plan and Strategy

Intellectual Property Protection

Broader Diffusion

Company Commitment, Structure & Management

Business Experience and Qualifications

Organizational Information

U.S. Economic Growth

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Commercialization Plan

Company

- ▶ Window of opportunity
- ▶ Strategic vision
- ▶ Resource planning
- ▶ Company structure
- ▶ Growth
- ▶ Investment strategy
- ▶ Strategic alliances and early adopters

Applications

- ▶ Products and markets
- ▶ Potential uses
- ▶ Pricing and sales
- ▶ Competitive analysis
- ▶ Strategy for bringing product to market
- ▶ Production and distribution

Taking Technology from the Laboratory to the Marketplace

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Commercialization Plan - Tips

- Plan for commercialization at the outset and involve your business staff
- Recognize that a fantastic technology may capture the imagination but not necessarily the market
- Develop a reasonably well defined commercialization plan for the technology



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Intellectual Property Protection and Broader Diffusion

- How will you protect the core technology needed to commercialize the results?
- How will benefits of your technology reach others?
- How will new knowledge diffuse to others in the same or other industry sectors?
 - **publish results? patent? seek licensing partners? include user groups? form alliances?**
- What will you do to increase likelihood of diffusion beyond project participants?



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Commitment

- Company resources
 - human; financial; equipment; research facilities
- Priority of project to the company
 - involve highest appropriate level of management
 - strong company role; not just pass-through to subcontractors
 - every JV partner has a clear role
- Evidence of customer / supplier / investor interest and support
 - letters showing real interest and involvement
 - formal and informal alliances
 - other forms of active involvement



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Organizational Structure, Project Management, and Business Experience/Qualifications

- Roles/responsibilities of participants
 - show qualified business personnel involved
- Plan for managing project's tasks
- Business experience/track record of each company and its principals
- Evidence of financial and business viability




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Organizational Information

- Date and state of incorporation
- Previous federal awards
- Source of cost share
- Financial, employment, and ownership information




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Common Proposal Weaknesses: Business

- Lacks connection between technical goals and business opportunity
- Insufficient evidence of economic benefits
- Poorly developed or no commercialization plan
- Insufficient plan for broader diffusion
- Insufficient plan for including critical business partners
- Failure to address market opportunity
- Unconvincing case for the need for ATP funding



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Summary: Economic/ Business Criterion

- Preliminary info briefly addressing “potential for broad-based economic benefits” selection criterion (**Gate 1**)

Single company: 4 pages maximum
Joint venture: 5 pages maximum
- Fully address “potential for broad-based economic benefits” selection criterion (**Gate 2**, if your technical plan passes Gate 1)

Single company: 15 pages maximum
Joint venture: 20 pages maximum



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Business Drivers and Technical Planning

What is Needed for Technical Success?




Overcoming
High
Technical
Risk Barriers

What is Needed for Market Success?




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Scientific and Technological Merit Criterion

- Scientific and Technological Merit
 - **Technical innovation**
 - **High technical risk with evidence of scientific feasibility**
 - **Detailed R&D plan**



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Linking Innovation and Risk: Describe a Successful Leap

Does your idea...

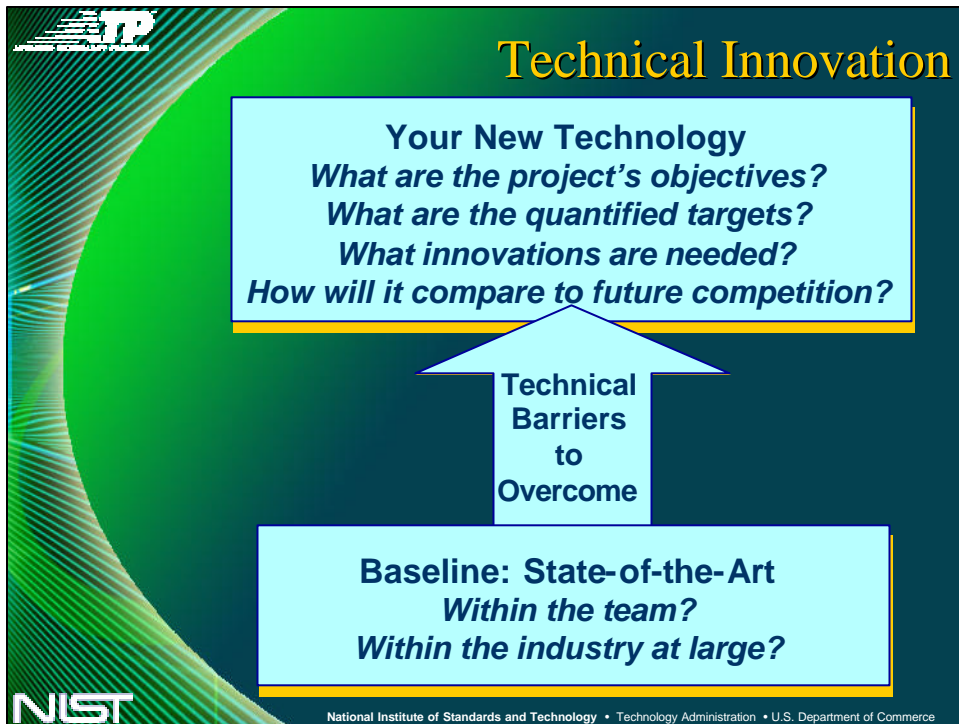
- Extend the state-of-the-art?
- Change the state of practice?
- Integrate multi-disciplinary technologies?



*Path Changing
R&D*



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-
- Technical Innovation (cont'd)**
- Define objectives and quantify targets for these objectives
 - Describe the technical barrier needing innovation
 - **What is the problem?**
 - Outline why the solution or approach is innovative—contrast concrete targets to current practice and your competition
 - **What is “the gap” needing innovation?**
 - Illustrate the technical impact with and without complete success
 - **What will be the technical legacy of the innovation?**
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High Technical Risk and Feasibility

High Technical Risk

- technical challenges
- significant uncertainty of success
- risky innovation or integration

Feasibility

- sound scientific foundation
- sound engineering approach



Your ATP proposal should balance both!

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High Technical Risk With Evidence of Scientific Feasibility

- Analyze the highest technical risk elements
 - **What certain tasks are the most challenging and why?**
 - **Would the risks be credible to those in the field?**
- Provide evidence that the approach is feasible
 - **Why are the scientific and engineering foundations sound?**

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-
- Detailed R&D Plan
(cont'd)**
- Detailed description of technical approach
 - Tasks and subtasks described and linked to performer(s)
 - Interrelationships of tasks
 - Metrics—quantitative and objective
 - Milestones—interim and final
 - Decision-point strategy
 - Contingency plans/alternate approaches
 - Project timeline Gantt chart
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Technical Experience and Qualifications (Including Key Suppliers and Informal Collaborators)

- Technical experience, qualifications and location of all technical performers, key suppliers, and informal collaborators
 - **Subcontractors and key suppliers**
 - **Joint Venture partners**
 - **Critical Informal collaborators**
 - **Describe any ownership or financial arrangements between performers with any of the proposer(s)**
 - **Explain R&D at non-U.S. sites and see Exhibit 12**



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Facilities and Resources

- Adequacy of facilities, equipment and resources
 - **Existing vs. needed**
 - **Timeline for meeting needs**




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Human and Animal Subjects

- ATP funds projects involving human and/ or animal subjects
- Must comply with applicable Federal rules
- Not limited to traditional biomedical research
- Refer to **“Guidelines and Documentation Requirements for Research Involving Human and Animal Subjects”**




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Common Proposal Weaknesses: Technical

- Lacks sufficient detail
 - How will you reach technical objectives?
 - What’s innovative?
 - Why is a risky technical approach needed?
- Unsupported assertions
- Outside ATP mission
 - Low risk (e.g., product development)
 - Lacks demonstrated feasibility (e.g., basic research)
 - Scale-up or demo to only prove economically feasible
- Lacks connection between technical goals and business opportunity

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Summary: Scientific and Technological Merit Criterion


Three critical components need to be addressed (Gate 1)

- Technical innovation
- High technical risk with evidence of scientific feasibility
- Detailed R&D plan

Single company: 20 pages maximum
Joint venture: 30 pages maximum




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Summary: The Gated Approach

- **Gate 1:** Complete technical narrative, plus preliminary info on economic/business criterion
 - If pass, go to Gate 2; otherwise debriefing
- **Gate 2:** Full economic/business narrative, plus detailed budget information
 - If pass, go to Gate 3; otherwise debriefing
- **Gate 3:** Semifinalist (oral review)
 - If pass, go to Gate 4; otherwise debriefing
- **Gate 4:** Award, if pass gate 3 and selected




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Gate 1: Executive Summary

- Briefly highlight major sections of the proposal
 - **Scientific and Technological Merit**
 - Technical innovation
 - High technical risk with evidence of scientific feasibility
 - Detailed technical plan
 - **Potential for Broad-based Economic Benefits**
 - National economic benefits
 - Need for ATP funding
 - Pathway to economic benefits
- Address the ATP selection criteria
 - **Link technical objectives, planned commercial application, and expected economic benefits**

2 pages maximum



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Gate 1: Complete Technical Narrative

- Fully address “scientific and technological merit” selection criterion
 - **technical innovation**
 - **high technical risk with evidence of scientific feasibility**
 - **detailed technical plan**

Single company: 20 pages maximum
Joint venture: 30 pages maximum




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Gate 1 (cont'd): Preliminary Information on Economic/Business Narrative

- Briefly address “potential for broad-based economic benefits” selection criterion
 - **National economic benefits**
 - **Need for ATP funding**
 - **Pathway to economic benefits**

Single company: 4 pages maximum
Joint venture: 5 pages maximum




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Gate 1: Results

- If you don't pass Gate 1 you will receive a debriefing on your technical plan
- If you pass Gate 1, you will be invited to submit a full economic rationale and business plan that addresses the potential for broad-based economic benefits for the nation



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Gate 2: Complete Economic/Business Narrative

- Fully address “potential for broad-based economic benefits” selection criterion
 - **National economic benefits**
 - **Need for ATP funding**
 - **Pathway to economic benefits**

Single company: 15 pages maximum
Joint venture: 20 pages maximum




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Gate 2 (cont'd): Budget Info

- Submit detailed budget narrative (Exhibit 10 in the *ATP Proposal Preparation Kit*)
- Budget information is **NOT** included in page limit



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Gate 3: Results—Semifinalist

- If selected as a **semifinalist**, you will
 - be invited to NIST for an oral review
 - be asked to provide financial statements
 - be asked for a two-page resume or CV for key team members
 - be asked to provide written responses to questions for clarification



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Gate 4: Award

- If selected, an award is made
- A cooperative agreement is issued by the NIST Grants Officer

Congratulations!



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Electronic Submission System (ESS)

The ESS allows proposers to submit proposals to ATP *via* the Internet!


Key features:

- User-friendly electronic forms
- Commonly used formats for narrative
- Digital signatures
- Secure submission

<http://ess.atp.nist.gov>



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Electronic Submission System (ESS) (cont'd)

Requirements:

- Windows 98, NT, 2000, or XP
- Microsoft Internet Explorer or Netscape 4.x or greater (not including 7.0 or above) web browsers
- PDF, Microsoft Word, or ASCII format for narrative
- Digital Certificate from ACES program

<http://ess.atp.nist.gov>



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Helpful Hints for Electronic Submission

- Visit the ESS website
- Familiarize yourself with Helpful links
 - Steps to Submit, Helpful Hints, FAQs, User Guide
- Apply for ACES Digital Certificate EARLY!
 - Apply for and retrieve cert from SAME Browser
 - Export certificate and save in a secure location
- Download and Install Forms and Viewer
- Work with the ATP ESS Help Desk
 - 1-800-ATP-FUND or 1-800-287-3863 ext. “ESS”
- Don't wait to submit on deadline day to ensure timely receipt

<http://ess.atp.nist.gov>



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Think About Proposal as a Whole

- Identify the economic opportunity
- Name the technical barriers that stand in the way of realizing that opportunity
- Relate the specific R&D objectives to these barriers
- Show a detailed R&D plan for eliminating barriers
- Envision a commercialization strategy and plan for taking the proposed technology, once developed, to market
- Include the right team members to get the job done



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The slide features a dark teal background with a large green circular graphic on the left side. The text is in white and yellow. The NIST logo is in the bottom left, and the footer text is in the bottom right.

Administrative Highlights

- Intellectual property provisions
- Foreign-owned company participation
- Budget preparation
- Payments

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Intellectual Property Provisions


- U.S. for-profits retain title to inventions
- Companies may license inventions
- Universities/non-profits may receive royalties; cannot own title; cannot be granted exclusive license to inventions
- Government reserves right to paid-up, royalty-free, non-exclusive license for governmental use (not exercised to date)

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Foreign-Owned Company Participation

- U.S.-incorporated company with a parent company in another country may participate
- As with all projects, each company's participation must be:
 - **in the economic interest of United States**
- Home country of parent company must afford U.S. companies:
 - **comparable opportunities to participate in government-funded programs similar to ATP;**
 - **comparable local investment opportunities; and**
 - **adequate and effective protection of U.S.-owned intellectual property rights**



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Foreign-Owned Company Participation (cont'd)

- Submit Foreign-owned Company Questionnaire in Gate 2 (Exhibit 11 in the *ATP Proposal Preparation Kit*)
- Refer to “ATP Eligibility Criteria for U.S. Subsidiaries of Foreign-Owned Companies: Legislation, Implementation, and Results”




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Budget Preparation

- **Gate 1:** Submit page 3 of NIST-1262 (SA) or NIST-1263 (JV) with initial proposal (*Exhibit 4 or Exhibit 7 in ATP Proposal Preparation Kit*)
- **Gate 2:** Submit detailed budget narrative (*Exhibit 10 in ATP Proposal Preparation Kit*), if proposal passes Gate 1
 - **Identify:**
 - yearly project costs
 - direct costs
 - indirect costs
 - sources of funds/cost share



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Direct Costs

- Any costs that can be identified specifically with a particular cost objective:
 - personnel
 - fringe benefits (vacation, sick, and military leave; insurance; retirement; etc.)
 - travel
 - equipment
 - materials/supplies
 - subcontracts
 - other



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Indirect/Overhead Costs

- Any costs not directly identified with a single cost objective but identified with two or more final cost objectives:
 - **depreciation on buildings and equipment**
 - **facility operations and maintenance**
 - **general administration**
 - salaries/expenses of executive officers
 - personnel administration
 - accounting and auditing




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Cost Share Contributions

- Identify cash and in-kind
- In-kind contributions
 - **equipment, research tools, software, supplies, etc.**
 - **limited to 30% of total cost share**




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Payments

- Method—Automated Standard Application for Payment System (ASAP)
- Same day or next day electronic payment
- Draw down should not exceed immediate need
- Normal payment rules apply
 - **Satisfactory performance**
 - **Timely submission of required reports**
 - **Meeting cost share**
- NIST can impose restrictions, if warranted

http://www.fms.treas.gov/asap/pr_handbooks.htm




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Accounting Systems

- ATP may require the recipient to provide an accounting system certification within 90 days of issuance of the award if:
 - **recipient has had no prior federal support**
 - **concerns are raised about the recipient's financial management system**
 - **recipient is considered to be a high-risk**
- Cost of certification may be included as “other” costs on **NIST Form 1262 (SA)** (*Exhibit 4 in ATP Proposal Preparation Kit*) or **NIST Form 1263 (JV)** (*Exhibit 7 in ATP Proposal Preparation Kit*)



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Helpful Resources

- Administrative Requirements
 - 15 CFR Part 14
- Cost Principles
 - 48 CFR Part 31 (For-profits)
 - OMB Circular A-21 (Universities)
 - OMB Circular A-122 (Non-profits)
 - 45 CFR Part 74, Appendix E (Hospitals)
- Hot links available on ATP website:
 - www.atp.nist.gov/alliance/roadmap.htm
 - www.atp.nist.gov/atp/helpful.htm



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ATP Website Resources

The screenshot shows the NIST ATP website with a magnifying glass icon on the left. The website content includes:

- Advanced Technology Program** header with NIST logo.
- 2004 Competition** section: "Fiscal Year 2004 Competition (closes April 14, 2004)" with a link to the announcement.
- High-tech R&D areas** section: "ATP funds high-tech, high-potential projects from all technology areas. A complete listing of the special laboratories of projects ATP has funded is shown here."
- Recent Awards** section: "Recent Awards (as of September 18, 2003)" with links to announcements, candidate listings, and award statistics.
- ATP Quick Links and Search** section with a search box.
- Headlines, News & Events** section with various news items.
- ATP Quick Facts** section: "ATP Supports All Sectors of the Economy", "ATP Promotes and Supports the Development of High-Tech Technology", "ATP Supports Quality of Life", "ATP Award Statistics", "Candidates from FAO's Fast-Track Search".
- Products and Services** section: "Funded Projects Database", "Technical Funding Database", "Status Reports for Completed ATP Projects", "High-Tech Resources", "Electronic Submission System", "Scientific Studies and Other Publications", "Science Network".

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FY2004 Competition

- **Federal Register Announcement:**
 - ATP 2004 budget includes \$60.7 million for new awards
 - Continued streamlined competition process
 - *New ATP Proposal Preparation Kit (02/04)*
 - Optional electronic submissions for all proposers
- **ATP automatically sends out *Kit* and announcements to mailing list**

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FY2004 Competition Important Dates

- The Competition is **currently open**
- The **deadline** is:
 - **Wednesday, April 14, 2004**




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FY2004 Competition Important Information

- To be considered for funding in Fiscal Year 2004
 - **Proposers must submit their Gate 1 proposals by Wednesday, April 14, 2004**
- All hand-delivered or electronically submitted proposals must be received by **3:00 PM Eastern time on April 14, 2004**




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FY2004 Competition Important Information (cont'd)

- All other carrier delivered proposals **must be postmarked by the due date** (April 14, 2004) and **received** no later than 3:00 P.M. Eastern time on:
 - **Wednesday, April 28, 2004**
- Proposals submitted through guaranteed overnight carriers are deemed to be postmarked on the date they are delivered to the carrier




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Points of Contact

- Competition process, project selection criteria, or other programmatic questions
 - **Bettijoyce Lide, (301) 975-2218**
 - ***bettijoyce.lide@nist.gov***
- Eligibility and cost-sharing requirements, budgets, or other administrative matters
 - **Barbara Lambis, (301) 975-4447**
 - ***barbara.lambis@nist.gov***
- Human and/or animal subjects used in research
 - **Phone: (301) 975-8779**




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Points of Contact (cont'd)

- Electronic Submission System
 - John Garguilo, (301) 975-4426
 - john.garguilo@nist.gov
- Foreign participation as single-company proposers, joint ventures, or subcontractors
 - Connie Chang, (301) 975-4318
 - connie.chang@nist.gov



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For Info on ATP and to Join Our Mailing List . . .

- Call toll-free: 1-800-ATP-FUND
(1-800-287-3863)
- Fax your name and
address to: 301-926-9524
- Send e-mail to: atp@nist.gov
- Visit ATP's website: www.atp.nist.gov



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