

# ATP PROPOSAL PREPARATION KIT

## November 2000

### TABLE OF CONTENTS

#### [Foreword](#)

#### Chapter 1. QUESTIONS & ANSWERS ABOUT THE ATP

##### [A. GENERAL INFORMATION](#)

- [/atp/kit-00/chapt1.htm - A.1](#) What is the Advanced Technology Program (ATP)?
- [/atp/kit-00/chapt1.htm - A.2](#) Who may apply?
- [/atp/kit-00/chapt1.htm - A.3](#) How can I receive funding?
- [/atp/kit-00/chapt1.htm - A.4](#) What are the guidelines for preparing an ATP proposal?
- [/atp/kit-00/chapt1.htm - A.5](#) How many gates are there in this new proposal submission process?
- [/atp/kit-00/chapt1.htm - A.6](#) Will confidential/proprietary information in my proposal be protected?
- [/atp/kit-00/chapt1.htm - A.7](#) Where can I seek help with preparing my proposal?
- [/atp/kit-00/chapt1.htm - A.8](#) Does ATP hold any public meetings or conferences to assist in proposal preparation?
- [/atp/kit-00/chapt1.htm - A.9](#) Is there a deadline for submitting an ATP proposal?
- [/atp/kit-00/chapt1.htm - A.10](#) Where do I submit proposals?
- [/atp/kit-00/chapt1.htm - A.11](#) Who should I contact if I have questions?

##### [B. ELIGIBILITY](#)

- [/atp/kit-00/chapt1.htm - B.1](#) Who is eligible to apply?
- [/atp/kit-00/chapt1.htm - B.2](#) Can universities, governmental laboratories, and independent research organizations participate?
- [/atp/kit-00/chapt1.htm - B.3](#) Can a foreign-owned company apply for ATP funding?

##### [C. FUNDING AND COST SHARING](#)

- [/atp/kit-00/chapt1.htm - C.1](#) How much funding can I receive and do I have to provide cost sharing?
- [/atp/kit-00/chapt1.htm - C.2](#) How does ATP define cost sharing?
- [/atp/kit-00/chapt1.htm - C.3](#) Can independent research and development (IR&D) funds be used as cost sharing?
- [/atp/kit-00/chapt1.htm - C.4](#) Are there any projects ATP will not fund?
- [/atp/kit-00/chapt1.htm - C.5](#) What types of costs are unallowable?
- [/atp/kit-00/chapt1.htm - C.6](#) Will ATP fund research performed outside the United States?

##### [D. SELECTION CRITERIA AND SELECTION PROCESS](#)

- [/atp/kit-00/chapt1.htm - D.1](#) What selection/evaluation criteria are used to select ATP proposals for funding?
- [/atp/kit-00/chapt1.htm - D.2](#) How are proposals selected for funding?
- [/atp/kit-00/chapt1.htm - D.3](#) What are the most common reasons for failure of an ATP proposal?

##### [E. PATENT INFORMATION](#)

- [/atp/kit-00/chapt1.htm - E.1](#) Who retains title to patentable inventions arising from an ATP-funded project?
- [/atp/kit-00/chapt1.htm - E.2](#) Does the Federal government have any rights to patentable inventions arising from an ATP-funded project?

##### [F. HUMAN AND ANIMAL SUBJECTS](#)

- [/atp/kit-00/chapt1.htm - F.1](#) Will ATP fund projects involving human subjects?

[/atp/kit-00/chapt1.htm - F.2](#) We are not a biotech company; does our research involve human subjects?

[/atp/kit-00/chapt1.htm - F.3](#) Will ATP fund projects involving animal subjects?

## **Chapter 2. GUIDELINES FOR PREPARING ATP PROPOSALS**

### **A. PROPOSAL FORMAT**

[/atp/kit-00/chapt2.htm - A.1](#) Bindings

[/atp/kit-00/chapt2.htm - A.2](#) Double-Sided Copy

[/atp/kit-00/chapt2.htm - A.3](#) Electronic Proposal Submission

[/atp/kit-00/chapt2.htm - A.4](#) Facsimile (FAX) Submissions

[/atp/kit-00/chapt2.htm - A.5](#) Figures and Diagrams

[/atp/kit-00/chapt2.htm - A.6](#) Font

[/atp/kit-00/chapt2.htm - A.7](#) Line Spacing

[/atp/kit-00/chapt2.htm - A.8](#) Margins

[/atp/kit-00/chapt2.htm - A.9](#) Number of Copies

[/atp/kit-00/chapt2.htm - A.10](#) Page Limit

[/atp/kit-00/chapt2.htm - A.11](#) Page Numbering

[/atp/kit-00/chapt2.htm - A.12](#) Paper Size

[/atp/kit-00/chapt2.htm - A.13](#) Proposal Language

[/atp/kit-00/chapt2.htm - A.14](#) Table of Abbreviations

[/atp/kit-00/chapt2.htm - A.15](#) Table of Contents

[/atp/kit-00/chapt2.htm - A.16](#) Typed Document

[/atp/kit-00/chapt2.htm - A.17](#) Usage of Metric/System International (SI) Units

### **B. PROPOSAL FORMS AND OTHER DOCUMENTS**

[/atp/kit-00/chapt2.htm - B.1](#) Single Company Only

[/atp/kit-00/chapt2.htm - B.2](#) Joint Venture Only

[/atp/kit-00/chapt2.htm - B.3](#) Single Company and Joint Venture

### **C. EXECUTIVE SUMMARY**

#### **D. PROJECT NARRATIVE**

[/atp/kit-00/chapt2.htm - D.1](#) Scientific and Technological Merit

[/atp/kit-00/chapt2.htm - D.2](#) Potential for Broad-Based Economic Benefits

### **E. BUDGET NARRATIVE (BUDGET DATA)**

#### **APPENDICES**

**Appendix A:** ATP Technology Area Code

**Appendix B:** Required Detailed Information to Address ATP Selection Criterion on Potential for Broad-Based Economic Benefits

#### **EXHIBITS - TEAR-OUT DOCUMENTS**

1. ATP Proposers' Conference Registration Form (<http://www.atp.nist.gov/atp/kit-00/exhibit1.htm>)
2. ATP Proposal Checklist (<http://www.atp.nist.gov/atp/kit-00/exhibit2.htm>)
3. Form NIST-1262 (Pages 1 & 2), Single Company Advanced Technology Program Proposal Cover Sheet (<http://www.atp.nist.gov/atp/kit-00/exhibit3.htm>)
4. Form NIST-1262 (Page 3), Estimated Multi-Year Budget - Single Company (<http://www.atp.nist.gov/atp/kit-00/exhibit4.htm>)
5. Form NIST-1262 (Page 4), Subcontracts (<http://www.atp.nist.gov/atp/kit-00/exhibit5.htm>)
6. Form NIST-1263 (Pages 1 & 2), Joint Venture Advanced Technology Program Proposal Cover Sheet (<http://www.atp.nist.gov/atp/kit-00/exhibit6.htm>)
7. Form NIST-1263 (Page 3), Estimated Multi-Year Budget - Joint Venture (<http://www.atp.nist.gov/atp/kit-00/exhibit7.htm>)
8. Form NIST-1263 (Page 4), Other Joint Venture Participants (<http://www.atp.nist.gov/atp/kit-00/exhibit8.htm>)
9. Form NIST-1263 (Page 5), Subcontracts (<http://www.atp.nist.gov/atp/kit-00/exhibit9.htm>)

10. Standard Form 424B, Assurances - Non-Construction Programs (<http://www.whitehouse.gov/media/pdf/sf424b.pdf>)
11. Form CD-511, Certifications Regarding Debarment, Suspension and Other Responsibility Matters; Drug-Free Workplace Requirements and Lobbying (<http://www.doc.gov/forms/pdf/cd511fil.pdf>)
12. Standard Form-LLL, Disclosure of Lobbying Activities (<http://www.whitehouse.gov/OMB/grants/sfillin.pdf>)
13. Form CD-346, Applicant For Funding Assistance (<http://www.doc.gov/forms/pdf/cd346fil.pdf>)
14. Budget Data (<http://www.atp.nist.gov/www/forms/dn-233.pdf>)

## FOREWORD

As the recently appointed Director of the Advanced Technology Program (ATP), it is my pleasure to provide you with this new version of the *ATP Proposal Preparation Kit* (Kit). This Kit provides you with all the necessary guidelines for developing an ATP proposal during fiscal year 2001. All individuals who are currently on the ATP mailing list will receive a copy of this Kit as well as other announcements. If you are not on our mailing list and wish to be added, please contact our ATP toll-free "**hotline**" number **1-800-ATP FUND** or **1-800-287-3863**.

All around us, innovation is affecting the way we live. It's **spurring economic growth, creating jobs, improving our quality of life** and **putting American companies in the lead in many markets**. But innovation takes time, resources and a commitment. The ATP strives to bridge the gap between the research lab and the marketplace. It accelerates the development of innovative technologies that promise significant commercial payoffs and widespread benefits for the U.S. economy and society. Through the ATP, government and industry share a common commitment to the future -- leveraging public sector funds with those of the private sector to support projects that impact and transform businesses, industries, and lives.

This revised Kit has been streamlined and reduced by more than 50 percent to ease the burden on potential proposers. One major change is in the ATP proposal submission requirements which provides for a multiple stage and sequential review process. This multiple stage process has been instituted to reduce the amount of information required at one time. Required information may be submitted at different stages as determinations are made that a proposal has high merit based on the established selection criteria.

If this is your introduction to the ATP, I encourage you to visit our Web home page located at <http://www.atp.nist.gov>. The home page provides general information about the ATP, resources that can help you develop a proposal, a searchable database of previously funded ATP projects, and much more.

New opportunities bring us new challenges. I look forward to receiving many creative and innovative proposals.

Alan P. Balutis, Director  
Advanced Technology Program  
National Institute of Standards and Technology

## CHAPTER 1: QUESTIONS & ANSWERS ABOUT THE ATP

### A. GENERAL INFORMATION

## 1. What is the Advanced Technology Program (ATP)?

The Advanced Technology Program (ATP) began in 1990 to provide cost shared funding to industry to accelerate the development and broad dissemination of challenging, high-risk technologies that promise significant commercial payoffs and widespread benefits for the nation. This unique government-industry partnership accelerates the development of emerging or enabling technologies, leading to revolutionary new products, industrial processes and services that can compete in rapidly changing world markets. The program challenges industry to take on higher risk projects with commensurately higher potential payoff to the nation than they would otherwise. The ATP statutory authority is 15 U.S.C. Sec. 278n (<http://www4.law.cornell.edu/uscode/15/278n.text.html>). The ATP implementing regulations may be found in 15 CFR Part 295 ([http://www.access.gpo.gov/nara/cfr/cfrhtml\\_00/Title\\_15/15cfr295\\_00.html](http://www.access.gpo.gov/nara/cfr/cfrhtml_00/Title_15/15cfr295_00.html)).

## 2. Who may apply?

A single for-profit company and/or industry-led joint venture. See section B. of this chapter for more details.

## 3. How can I receive funding?

You must submit a proposal to ATP in response to a solicitation/request for proposals published by ATP. Annual notices are published in the *Federal Register* announcing the availability of ATP funds. Additionally, a specific solicitation/request for proposals is published in the [Commerce Business Daily \(CBD\)](#).

## 4. What are the guidelines for preparing an ATP proposal?

Detailed instructions for preparing an ATP proposal are provided in [Chapter 2](#) of this Kit. Proposal submission requirements have been modified to a multiple stage and sequential review process to reduce the amount of information required at one time. Required information may be submitted at different stages as determinations are made by ATP that a proposal has high merit based on the selection criteria. We call these stages in the review process "gates." A proposal must pass through each gate in order to receive funding.

## 5. How many gates are there in this new proposal submission process?

There are **four** "gates" as follows:

**Gate 1:** The proposer submits detailed information to address the scientific and technological merit selection criterion. Additionally, the proposer submits preliminary information to address the selection criterion on the potential for broad-based economic benefits. If the information submitted is determined to have high merit, ATP notifies the proposer and requests that the required additional information be submitted for consideration in Gate 2.

**Gate 2:** The proposer submits more detailed information to address the potential for broad-based economic benefits selection criterion and detailed budget data. If the information submitted is determined to have high merit, ATP notifies the proposer of its selection as a semi-finalist and the proposal proceeds to Gate 3.

**Gate 3:** The proposer is requested to submit required forms and additional documentation, as necessary, and may be invited to NIST for an oral review. If ATP determines, based on all the information received, that the proposal has sufficiently high merit to be funded, the proposal is considered a finalist and proceeds to Gate 4.

**Gate 4:** Final award processing and issuance, if selected.

## 6. Will confidential/proprietary information in my proposal be protected?

**Yes.** Information obtained by ATP or other Department of Commerce offices on a confidential basis on business operations and trade secrets possessed by any company or joint venture will be protected by the government to the full extent of the law. Such information will be withheld from disclosure under the Freedom of Information Act.

## 7. Where can I seek help with preparing my proposal?

- Visit ATP's website at <http://www.atp.nist.gov/atp/resources.htm> which provides links to State agencies and to other resources, both public and private, that can help proposers develop ATP proposals.
- Visit the ATP ALLIANCE NETWORK website at <http://www.atp.nist.gov/alliance> which provides useful tools for creating and managing R&D partnerships. The website offers interactive forums such as the Collaboration Bulletin Board, through which potential proposers can anonymously post their interest in finding a partner, and the R&D Alliances Forum, where individuals can exchange their ideas and questions about high-risk R&D alliances.
- The NIST [Manufacturing Extension Partnership](#) (MEP) is a nationwide network of locally managed extension centers whose sole purpose is to provide small and medium-sized manufacturers with the help they need to succeed. The centers provide guidance to high technology companies seeking resources and teaming relationships that help with commercialization efforts. To contact an MEP Center, call 1-800-MEP 4 MFG (1-800-637-4634) or visit MEP's website at <http://www.mep.nist.gov>.

## 8. Does ATP hold any public meetings or conferences to assist in proposal preparation?

**Yes.** ATP holds one or more proposers' conferences. These meetings provide general information regarding the ATP, tips on preparing good proposals, and an opportunity for questions and answers. Proprietary technical discussions of specific proposals should not take place at this public meeting. Attendance is not required, and many successful ATP recipients have not attended a proposers' conference. However, those who have attended have said they found the session helpful. Each ATP competition announcement will include information regarding the time and place of proposers' conferences. If you plan to attend a conference, please complete and return the ATP Proposers' Conference Registration Form (see [Exhibit 1](#)). Receipt of your advance registration form will assist us in making adequate provisions for attendees.

NIST staff will not critique individual proprietary project ideas during the time they are being developed by a proposer. However, we will at any time answer questions you may have about such things as our project selection criteria, selection process, eligibility requirements, cost sharing requirements, and the general characteristics of a good ATP project.

## 9. Is there a deadline for submitting an ATP proposal?

**Yes.** Once an ATP solicitation/request for proposals is published in the [Commerce Business Daily \(CBD\)](#), you may submit your proposal until the date specified in the *CBD*.

## 10. Where do I submit proposals?

National Institute of Standards and Technology  
Advanced Technology Program  
100 Bureau Drive, Stop 4701  
Administration Building 101, Room A413  
Gaithersburg, MD 20899-4701

# Explore Litigation Insights

Docket Alarm provides insights to develop a more informed litigation strategy and the peace of mind of knowing you're on top of things.

## Real-Time Litigation Alerts



Keep your litigation team up-to-date with **real-time alerts** and advanced team management tools built for the enterprise, all while greatly reducing PACER spend.

Our comprehensive service means we can handle Federal, State, and Administrative courts across the country.

## Advanced Docket Research



With over 230 million records, Docket Alarm's cloud-native docket research platform finds what other services can't. Coverage includes Federal, State, plus PTAB, TTAB, ITC and NLRB decisions, all in one place.

Identify arguments that have been successful in the past with full text, pinpoint searching. Link to case law cited within any court document via Fastcase.

## Analytics At Your Fingertips



Learn what happened the last time a particular judge, opposing counsel or company faced cases similar to yours.

Advanced out-of-the-box PTAB and TTAB analytics are always at your fingertips.

## API

Docket Alarm offers a powerful API (application programming interface) to developers that want to integrate case filings into their apps.

## LAW FIRMS

Build custom dashboards for your attorneys and clients with live data direct from the court.

Automate many repetitive legal tasks like conflict checks, document management, and marketing.

## FINANCIAL INSTITUTIONS

Litigation and bankruptcy checks for companies and debtors.

## E-DISCOVERY AND LEGAL VENDORS

Sync your system to PACER to automate legal marketing.