

CHECKLIST/REMINDERS FOR SUBMISSION OF AN ATP PROPOSAL

A. SINGLE COMPANY (also complete items under C and D below):

- 1. No indirect costs are included in the ATP funds requested.
- 2. If a large company (annual revenues in excess of \$3.034 billion), cost sharing is at least 60 percent of total yearly project costs (direct plus all of the indirect costs).
- 3. Total project duration does not exceed 3 years.
- 4. Total ATP funding does not exceed \$2 million.

B. JOINT VENTURE (also complete items under C and D below):

- 1. Cost sharing is more than 50 percent of total yearly project costs (direct plus indirect costs).
- 2. Total project duration does not exceed 5 years.
- 3. At least two separately owned, for-profit companies are substantially involved in the R&D and both are contributing to the cost share.

C. SINGLE COMPANY AND JOINT VENTURE:

- 1. Amounts on page 3 of NIST-1262 and NIST-1263 add up and match amounts in Budget Narrative.
- 2. Total value of in-kind contributions does not exceed 30 percent of nonfederal share of total project costs.
- 3. Information on page 4 of Form NIST-1262 and page 5 of Form NIST-1263 (Subcontracts) corresponds with information in the Project Narrative and Budget Narrative.
- 4. **GATE 1 AND GATE 2 SUBMISSIONS:** 16 copies of the proposal (1 original, signed, bound proposal plus 15 copies [1 unbound and 14 bound]).
- 5. **GATE 1 SUBMISSION:**
 - a. Form NIST-1262 (all four pages) or Form NIST-1263 (all five pages).
 - b. Executive Summary.
 - c. Project Narrative: Scientific and Technological Merit—Detailed information addressing the scientific and technological merit selection criterion including the following:
 - (1) Technical Innovation—Detailed information describing the proposed innovation, why it is innovative, technical barriers that prevent technical improvement in this

area, the technical objectives and targets of the proposed research, technical competitors, and impact on the U.S. knowledge base of the proposed research.

- (2) High Technical Risk With Evidence of Scientific Feasibility—Detailed information about the technical risks of the research, and the scientific foundation or rationale for the approach.
- (3) Detailed Technical Plan—Detailed plan explaining how the targets and objectives will be achieved, including task and subtask descriptions, task interrelationships, metrics, milestones, decision points, alternate approaches, qualifications of key personnel, information on facilities and information on subcontractors.
- d. Project Narrative: Potential for Broad-Based Economic Benefits—Preliminary information addressing potential for the broad-based economic benefits selection criterion.
- e. List of bibliographic technical references including patent citations, if applicable.
- f. R&D Work Performed Outside the United States by the Recipient or Subcontractor Questionnaire, if applicable.
- 6. **GATE 2 SUBMISSION:**
 - a. Form NIST-1262 (all four pages) or Form NIST-1263 (all five pages).
 - b. Budget Narrative.
 - c. Project Narrative: Potential for Broad-Based Economic Benefits—Detailed information addressing potential for the broad-based economic benefits selection criterion including the following:
 - (1) National Economic Benefits—Detailed information describing the potential benefit to the U.S. economy from the invention, including a discussion of the business opportunity, market for the technology, source of the economic benefit, and the magnitude of the economic impact.
 - (2) Need for ATP Funding—Detailed information describing the company’s efforts to obtain funding from other sources for the project and the difference that ATP funding would make, consistent with the information supplied in response to question 15 on Form NIST-1262 or Form NIST-1263.
 - (3) Pathway to Economic Benefits—Detailed information describing the company’s commercialization plan including its strategic vision, proposed product, window of opportunity, customers, and strategic alliances. Also, detailed information about the company’s plans to protect the intellectual property and diffuse the technology, as well as the company’s commitment to the project, organizational structure, business experience, and general organizational information.
 - d. List of bibliographic references supporting business assertions or data.
 - e. Letters of support.
 - f. Letters of commitment.



- g. Letters documenting efforts to secure other funding.
- h. Foreign-Owned Company Questionnaire, if proposer or any joint venture participant is foreign-owned.

ADDITIONAL DOCUMENTS REQUIRED FOR GATES 1 AND 3: If the research involves human and/or animal subjects, please refer to the booklet titled *Advanced Technology Program Guidelines and Documentation Requirements for Research Involving Human and Animal Subjects*, which can be obtained at http://www.atp.nist.gov/atp/kit-04/has_guide/contents.htm or by calling 1–800–287–3863. A Human Subjects Determination Checklist is included in this *Proposal Preparation Kit* (see **Exhibit 2**) to assist in determining whether the proposal may have human subjects involvement, which would require additional documents with the Gate 1 and/or Gate 3 submission. If the required information is not included with the proposal, the proposal may be deemed unacceptable.

NOTE: If a proposal is selected as a semifinalist, it advances to **Gate 3** and the following additional forms and documents will be required when requested by ATP and can be found at ATP’s helpful resources website (<http://www.atp.nist.gov/atp/helpful.htm>), unless otherwise noted:

1. SF-424B, Assurances—Non-Construction Programs.
2. Form CD-511, Certifications Regarding Debarment, Suspension and Other Responsibility Matters; Drug-Free Workplace Requirements and Lobbying.
3. SF-LLL, Disclosure of Lobbying Activities, if applicable.
4. Form CD-346, Applicant for Funding Assistance
5. Financial Statement, if not a public company.
6. For joint ventures only, a Draft Joint Venture Agreement (<http://www.atp.nist.gov/atp/jvsample.htm>).
7. Budget Narrative for all subcontractors receiving \$500,000 or more.

D. PAGE LIMITS:

Proposal Type	GATE 1	GATE 2
Single Company	24 pages (No more than 20 pages for detailed information addressing the Scientific and Technological Merit selection criterion and no more than 4 pages for preliminary information addressing the Potential for Broad-Based Economic Benefits selection criterion)	15 pages (detailed information addressing the Potential for Broad-Based Economic Benefits selection criterion)
Joint Venture	35 pages (No more than 30 pages for detailed information addressing the Scientific and Technological Merit selection criterion and no more than 5 pages for preliminary information addressing the Potential for Broad-Based Economic Benefits selection criterion)	20 pages (detailed information addressing the Potential for Broad-Based Economic Benefits selection criterion)



Page limits **EXCLUDE** Forms NIST-1262 and NIST-1263, Budget Narrative, Executive Summary, list of bibliographic technical references, list of bibliographic references supporting business assertions or data, Foreign-Owned Company Questionnaire, R&D Work Performed Outside the United States by the Recipient or Subcontractor Questionnaire, letters of commitment, letters of support, letters documenting efforts to secure other funding, and any human and/or animal subjects documentation.

Page limits **INCLUDE** all text, diagrams, flowcharts, pictures, tables, illustrations, and resumes. To maximize pages for relevant technical and business information, the following suggestions are offered:

1. List data only for the key people and briefly highlight their education and experience. Do not include lengthy resumes for all people involved in the project.
2. Cite only those references that are particularly relevant to the ATP project. Do not include copies of published papers as appendices or lengthy lists of publications.
3. Do not include supplemental material not specifically requested in this *Proposal Preparation Kit*, either separate from or bound with the proposal.
4. Do not include company sales catalogs, financial statements (ATP will request these if the proposal is selected as a semifinalist), videotapes or audiotapes, presentation slides, and other marketing materials.