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***Commercialization and Business  
Planning Guide  
for the Post-Award Period***

**Designed Especially for  
the Technology Entrepreneur**

*prepared for*  
**The Advanced Technology Program**

National Institute of Standards and Technology  
Technology Administration  
United States Department of Commerce

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## About the Advanced Technology Program (ATP)

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Started in 1990, the Advanced Technology Program (ATP) is a unique partnership between U.S. industry and government—one that is designed to advance the nation's competitiveness. ATP invests in industrial projects that, although high-risk, have the potential of yielding high payoffs for the nation. The program is industry-driven, with all projects envisioned, planned, and carried out by U.S. businesses. Both small and large companies, individually or as members of a joint venture, are eligible to participate in the program.

Companies become involved with the Advanced Technology Program through announced competitions. All competitions are open to single-company applicants (small, medium, and large firms), as well as to joint ventures. A rigorous peer-review process is used to evaluate proposals against publicly announced selection criteria. Awards are made for proposals that score high on technical, business, and national economic merit. From 1994 through 1998, most of ATP's funding was applied to focused program areas. Focused Program Competitions channeled support to a technology cluster of related projects. These clusters included:

- ▶ Adaptive Learning Systems
- ▶ Catalysis & Biocatalysis Technologies
- ▶ Component-based Software
- ▶ Digital Data Storage
- ▶ Digital Video in Information Networks
- ▶ Information Infrastructure for Healthcare
- ▶ Manufacturing Composite Structures
- ▶ Materials Processing for Heavy Metals
- ▶ Microelectronics Manufacturing Infrastructure
- ▶ Motor Vehicle Manufacturing Technology
- ▶ Photonics Manufacturing
- ▶ Premium Power
- ▶ Selective-Membrane Platforms
- ▶ Technologies for the Integration of Manufacturing Applications
- ▶ Tissue Engineering
- ▶ Tools for DNA Diagnostics
- ▶ Vapor Compression Refrigeration Technology

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In each year from 1990 through 1998, ATP also held a General Competition; these annual competitions were open to all technologies. ATP is currently experimenting with alternative forms of competition.

ATP awards vary in size. Awards to individual companies are limited to \$2 million for a three-year period, and are limited to covering direct research and development costs only. **Fortune 500** companies, or the equivalent, must provide at least 60 percent of total project costs. Irrespective of the size of the company, single applicants must cover their own indirect costs. This helps to assure their commitment and encourages faster commercialization. Awards to joint ventures can cover a period of up to five years. Joint ventures often take the form of a supplier chain, acting as a virtual corporation for purposes of this project. Joint ventures must provide more than 50% of the resources required to complete the project. Again, this is to assure a high level of commitment on the part of award recipients. Historically, small businesses have fared well in this program. Of the 352 single applicant awards made between 1990 and 1998, 146 were made to small businesses. Of the 119 joint ventures funded during this same period, 39 were led by small businesses.

ATP funding is for research, not product development. As a result, companies whose ATP funding is ending must locate other sources of funds in order to make their technologies commercially successful. The objective of this guide is to assist ATP awardees during this post-award period. Our aim is to help companies deepen and refine their business plans, as well as attract funding to continue with the development and commercialization of their technologies.

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