

7.1 DOE Small Business Innovative Research Program Overview

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Abstract

DOE provides assistance to Small Business centered research and development through the Small Business Innovative Research Program and the related Small Business Technology Transfer Program. The SBIR program was created by the Small Business Innovative Development Act of 1982 and re-authorized by the Small Business Research and Development Enhancement Act of 1992, which also created the STTR program. The STTR was re-authorized by the Small Business Reauthorization Act of 1997. These two programs are similar except the STTR program requires the collaboration of a non-profit research institution such as a college or university.

Over the first 15 years of the SBIR program DOE has provided Nearly \$600 Million and FY 2000 funding amounts to approximately \$80 Million. In addition, four other agencies also participate in these programs: Department of Defense, Department of Health and Human Services, National Aeronautics and Space Administration, and the National Science Foundation.

Both the SBIR and STTR use a phased award process. Only research conducted in the United States is eligible for application and the principal investigator must be a full time employee of the Small Business. In addition, Phase II applications are limited to projects that were Phase I awardees in the 12 months previous to the Phase II solicitation.

Three Criteria are used in Scoring the Phase I Applications: 1) strength of the Scientific/Technical Approach, 2) ability to carry out the project in a cost-effective manner, and 3) impact. Evaluation criteria for Phase II are nearly the same as Phase I *except* that in Phase II a “Company Commitment” component is included in the impact score.

The FY 2001 solicitation, covering 44 different areas of research and development, will be available in November 20, 2000. The two topics specific to Environmental Management are included in the announcement. The deadline for Phase I grant applications is expected to be February 2001 with the grant application announcement for Phase II expected in April 2001. Grant awards are expected in late August or September 2001.

Additional Information on the SBIR and STTR Programs is available at the following websites: <http://sbir.er.doe.gov/sbir> and <http://sttr.er.doe.gov/sttr>, or by calling the SBIR/STTR Hot Line (301) 903-5707 or by E-Mail at SBIR-STTR@science.doe.gov.