

Small Business Innovative Research (SBIR) Program Fiscal Year 2007

The SBIR program was created by the “*Small Business Innovation Development Act of 1982*”, to ensure that small businesses received a greater share of federal research and development awards. The “*Small Business Innovation Development Enhancement Act of 1992*”, reauthorized the SBIR program.

The objectives of the SBIR program are to:

- Stimulate technological innovations by small businesses,
- Use an increasing number of small businesses to meet their R&D needs,
- Increase private sector commercialization of innovations derived from R&D awards to small businesses, and
- Foster and encourage the participation of small businesses, small disadvantaged businesses, women-owned small businesses and small business located in HubZone areas.

For continuously updated information concerning these two programs, you should visit the Small Business Administration website at: <http://www.sba.gov/SBIR/indexsbir-sttr.html>. To obtain an electronic copy of an SBIR or STTR solicitation, visit NIH’s website at: <http://grants1.nih.gov/grants/funding/sbir.htm>. Or, to obtain a hard copy, contact the following:

PHS SBIR/STTR Solicitation Office

13687 Baltimore Avenue
Laurel, MD 20707-5096
Telephone: (301) 206-9385
Fax: (301) 206-9722
Internet Address: a2y@cu.nih.gov

For general information or questions concerning the National Institutes of Health SBIR/STTR programs, contact:

Ms. Jo Anne Goodnight

NIH SBIR/STTR Program Coordinator
6705 Rockledge Drive
Bethesda, MD 20892-7910
Telephone: (301) 435-2688
Fax: (301) 480-0146
Email: jg128w@nih.gov

Ms. Kay Etzler

SBIR/STTR Program Analyst
6705 Rockledge Drive
Bethesda, MD 20892-7910
Telephone: (301) 435-2713
Fax: (301) 480-0146
Email: etzlerk@nih.gov

Ms. Kathleen Shino

NIH SBIR/STTR Program Coordinator
6705 Rockledge Drive
Rockledge I Building, Room 3522
Bethesda, MD 20892-7910
Telephone: (301) 435-2689
Fax: (301) 480-0146
Email: shinok@mail.nih.gov

For general information or questions concerning the **Administration for Children and Families'** (ACF) and the **Centers for Medicare & Medicaid Services'** (CMS) SBIR program, contact:

Ms. Anne F. Bergan, ACF
 370 L'Enfant Promenade, 7th Floor
 Washington, DC 20447
 Telephone Number: 202-260-8515
 FAX Number: 202-205-3598
 E-mail Address: abergan@acf.hhs.gov

Mr. William Saunders, CMS
 Office of Research, Development & Information
 1700 Security Boulevard
 Baltimore, MD 21244-1850
 Telephone Number: 410-786-6533
 FAX Number: 410-786-6511
 E-mail Address: Wsaunders@cms.hhs.gov

Summary of the SBIR Program

The SBIR program continues to show a significant increase in the number of proposals received and the dollar value of awarded. Since the implementation of the program, HHS has received approximately 75,174 Phase I proposals and funded 17,142, with awards exceeding \$1.8 billion. Under Phase II of the SBIR Program, HHS has received approximately 14,873 proposals and funded 5,928 with awards exceeding \$4.4 billion.

In Fiscal Year 2007, HHS released three SBIR solicitations, several thousand copies were downloaded from the SBIR/STTR website to small businesses resulting in 3,439 Phase I proposals received and 877 funded, totaling over \$154 million. For Phase II, 780 proposals were received with approximately 335 funded, totaling over \$365 million.

The SBIR program also includes awards made to, women-owned small businesses, small disadvantaged businesses and HUBZone small business concerns. Below is a chart showing awards made to these various categories under the SBIR Program.

Fiscal Year 2007 SBIR Program						
	Phase One Awards			Phase Two Awards		
Category	No. of Awards	Dollar Amount	Percent	No. of Awards	Dollar Amount	Percent
		<i>(In Thousands)</i>			<i>(In Thousands)</i>	
Total SBIR Awards	877	\$ 154,207		335	\$ 365,928	
WOSB Awards	101	\$ 17,095	11.09	109	\$ 52,019	14.22
SDB Awards	49	\$ 7,800	5.06	17	\$ 17,710	4.84
Hubzone Awards	1	\$ 100	0.06	1	\$ 376	0.10

*WOSB – Women-Owned Small Business
 SDB – Small Disadvantaged Business
 HZ – HubZone Small Business*

Small Business Technology Transfer Research (STTR) Program

General Information

There are **two major differences** between the STTR and SBIR programs. They are:

1. The STTR program **requires** that a small business concern “team” with a research institution to collaborate on a project that has potential for commercialization. The collaboration is not required under an SBIR project.
2. The SBIR program **requires** the Principal Investigator to have their primary employment with the small business concern at the time of award through completion of the project.

The “*Small Business Research and Development Enhancement Act of 1992*”, requires HHS and certain other Federal agencies to reserve a specified amount of their extramural research and development (R&D) budgets for the STTR program. This legislation is intended to:

- Stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions;
- Foster technology transfer between small business concerns and research institutions;
- Increase private sector commercialization of innovations derived from Federal research and development; and
- Foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

Also, in Fiscal Year 2007, HHS released one STTR solicitation. The solicitation was made available on-demand electronically for small businesses. HHS’ total extramural R&D budget for FY 2007 was \$23.2 billion, with an STTR budget of \$69.6 million.

Total STTR Obligations for Fiscal Year 2007	
<i>(To the Dollar)</i>	
Total Agency Obligations Reported	\$72,074,259
Total Amount to Small Businesses	\$41,238,103
Total Amount to Non-Profit Research Organizations	\$30,706,400
Net Dollar Amount of Other	\$129,756

Category	STTR Phase I Awards	STTR Phase II Awards
<i>(To the Dollar)</i>		
Total Dollars Obligated	\$29,449,191	\$48,242,674
Small Business Awards	\$15,953,941	\$25,284,162
Small Disadvantaged Business Awards	\$956,167	\$878,171

HUBZone Awards	0	0
Research Institutions	\$13,365,494	\$17,340,906

Updated: May 20, 2008