

Fiscal Year 2003

Small Business Innovative Research (SBIR) Program

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 \$&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:

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NIH SBIR/STTR Solicitation Office

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Email: sbirsttr@peacetech.com

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

Mr. Hossein Faris, ACF
370 L'Enfant Promenade, 7th Floor
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Telephone Number: 202-205-4922
FAX Number: 202-205-3598
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Mr. William Saunders, CMS
Office of Research, Development & Informaion
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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 56,405 Phase I proposals and funded 13,195, with awards exceeding \$1.2 billion. Under Phase II, HHS has received approximately 10,710 proposals and funded 4,416 with awards exceeding \$2.8 billion.

During fiscal year 2003, HHS released one solicitation, several thousand copies were downloaded from the SBIR/STTR web site to small businesses resulting in 3,706 Phase I proposals received and 1,032 awarded. The SBIR program also includes awards made to small disadvantaged businesses and women-owned small businesses. For Phase I and II, four awards were made to small disadvantaged businesses totaling \$2.2 million, representing 0.5 percent.

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.

HHS released one solicitation and distributed several hard copies, however, most small businesses downloaded the solicitation from the NIH SBIR/STTR web site. In summary, HHS’ total extramural R&D budget for FY 2003 was \$21 billion, with an STTR budget of \$31.5 million.

Total STTR Obligations for Fiscal Year 2003	
Total Agency Obligations Reported	\$30,996,577
Total Amount to Small Businesses	16,969,235
Total Amount to Non-Profit Organizations	13,659,026
Net Dollar Amount of Other	368,316
<i>(To the Dollar)</i>	

Category	STTR Phase I Awards	STTR Phase II Awards
Total Dollars Obligated	\$15,235,425	\$12,157,154
Small Business Awards	8,053,181	8,916,054
Small Disadvantaged Business Awards	158,890	0
Research Institutions	7,099,510	6,559,516
<i>(To the Dollar)</i>		

Updated: May 27, 2004