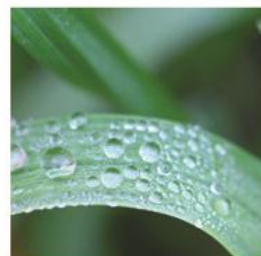
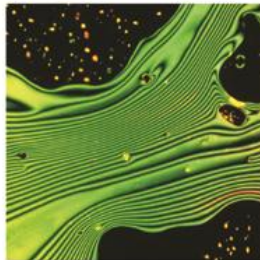


The Small Business Innovation Research (SBIR) & Small Business Technology Transfer (STTR) Program

Annual Report
fiscal 2009-2011



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1. Introduction

Under the Small Business Innovation Development Act of 1982, Public Law 97-219, as amended, the U.S. Small Business Administration (SBA) has authority to establish policy for monitoring, evaluating, and reporting on accomplishments of the Small Business Innovation Research (SBIR) program.

Public Law 97-219 was signed on July 22, 1982, and is found in section 9 of the Small Business Act and at Title 15 United States Code (U.S.C.) § 638. Congress reauthorized the SBIR program in 1986, and again in 1993, extending it to October 1, 2000. This reauthorization also increased the percentage of research and development (R&D) funds that participating Federal agencies must direct to small businesses under the program from 2 percent to 2.5 percent. On December 21, 2000, Public Law 106-554 was signed, reauthorizing the SBIR program through September 30, 2001. Through a series of extensions, the program was extended through the end of Fiscal Year (FY) 2011.

To qualify for the SBIR program, agencies must have an extramural research and development (R&D) budget greater than \$100 million. As of October 1, 2011, there are 11 agencies, which include:

- Department of Defense (DOD)
- Department of Health & Human Services (HHS)
- Department of Energy (DOE)
- National Aeronautics & Space Administration (NASA)
- National Science Foundation (NSF)
- Department of Agriculture (USDA)
- Department of Homeland Security (DHS)
- Department of Education (ED)
- Department of Commerce (DOC)
- Environmental Protection Agency (EPA)
- Department of Transportation (DOT)

This report highlights the performance of the SBIR program as reported to SBA by the participating agencies.

To conduct this analysis, SBA used the congressional fiscal year. For some agencies, dollar obligations may occur in future years. SBA cannot credit those future obligations to the fiscal reporting years in this report. SBA is congressionally mandated to report on all agency obligations that occur within the congressional fiscal year. Additionally, numbers reported for underserved communities come from agency-reported annual report data. As such, this represents the most accurate data for the congressional fiscal year.

Nevertheless, SBA took steps to provide analysis across years in order to account for these variations.

For further information, Appendix D details each agency by fiscal year. Each agency is broken down important category and respective fiscal year (e.g. Phase I, Phase II, subsequent Phase IIs, Modifications for FY08, Modifications for FY09, etc.).

Lastly, this report outlines some of the key initiatives undertaken by the agencies and SBA toward program improvement.

SBIR/STTR Program Highlights

- Over the 2009 and 2011 fiscal years, the SBIR program gave out an average of \$1.99 billion in SBIR awards per year while the STTR program averaged \$245 million in STTR awards annually. This represents a 34% increase in average dollars over the last 10 years.
- Between 2009 and 2011, the SBIR program gave out an average of 5,730 awards to an average of 3,112 distinct companies. The number of awards has stayed flat, and is down slightly from 2002 levels. Average award sizes, however, have increased in nominal terms by 27% over this period. 10 of 11 agencies maintain average award sizes that do not exceed the maximum award size guidelines.
- The SBIR program is competitive. Between 2009 and 2011, 16% of Phase 1 proposals received an award. Over half of Phase I awards go on to receive a Phase 2 award, netting an “effective proposal acceptance rate” of 7% for Phase II awards
- In terms of agency breakout, DOD and HHS comprise approximately 79% of the awards, with the next three largest agencies (DOE, NASA, and NSF) comprising an additional 18% of the awards.
- Over the last 5 years (FY2007-FY2011), the SBIR program has met the statutory goal of 2.5% of agency extramural R&D spending, averaging 2.54%.
- Over the last 3 years (FY2009-FY2011), the STTR program as a whole has met the statutory goal of 0.3% of agency extramural R&D spending.
- Timelines for selecting companies and making awards varies widely by agency; several agencies (DOD, EPA, USDA, and DOT) will need to significantly reduce their timelines to meet new statutory targets.
- Distribution of awards remains relatively concentrated. Ten states received two-thirds of all SBIR award dollars. Additionally, half of the states and territories less than 10% of all SBIR award dollars.
- Awards to HUBZone certified and minority/disadvantaged-owned businesses have modestly declined. Since 2007, awards to HUBZone certified businesses have decreased by 1% and awards to Minority/Disadvantaged-owned businesses have decreased by 1.8%.
- In regards to women-owned businesses, SBA only began to fully track these numbers in 2009. We have incomplete award data for women-owned businesses in the program. Nevertheless, in FY 2011, 15.3% of SBIR awards went to women-owned businesses.
- Performance of agencies in reporting data on the program in a timely manner has been mixed.

In addition to working to improve performance at individual agencies, the program launched multiple cross agency initiatives to improve program effectiveness including sharing best practices, overhauling the TechNet database, improving the public facing SBIR.gov, and instituting awards programs to celebrate successful companies in the program.

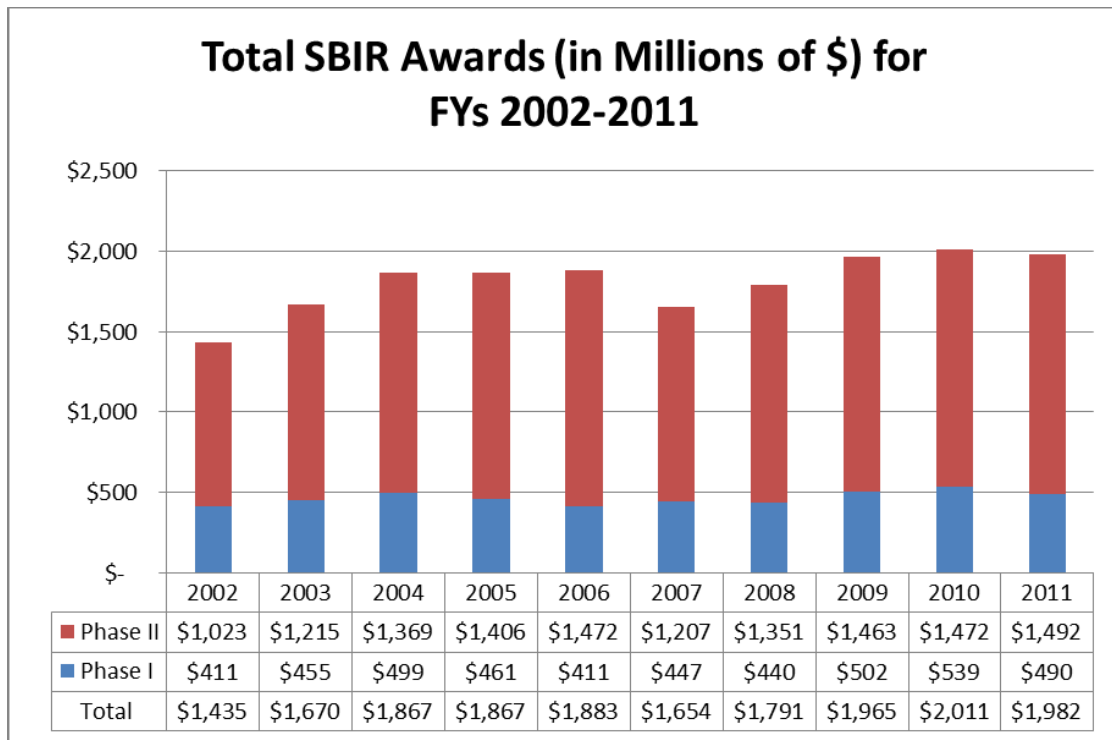
2. SBIR Program Performance

This section identifies the impact of the SBIR program and its performance by individual agencies.

a. Awards

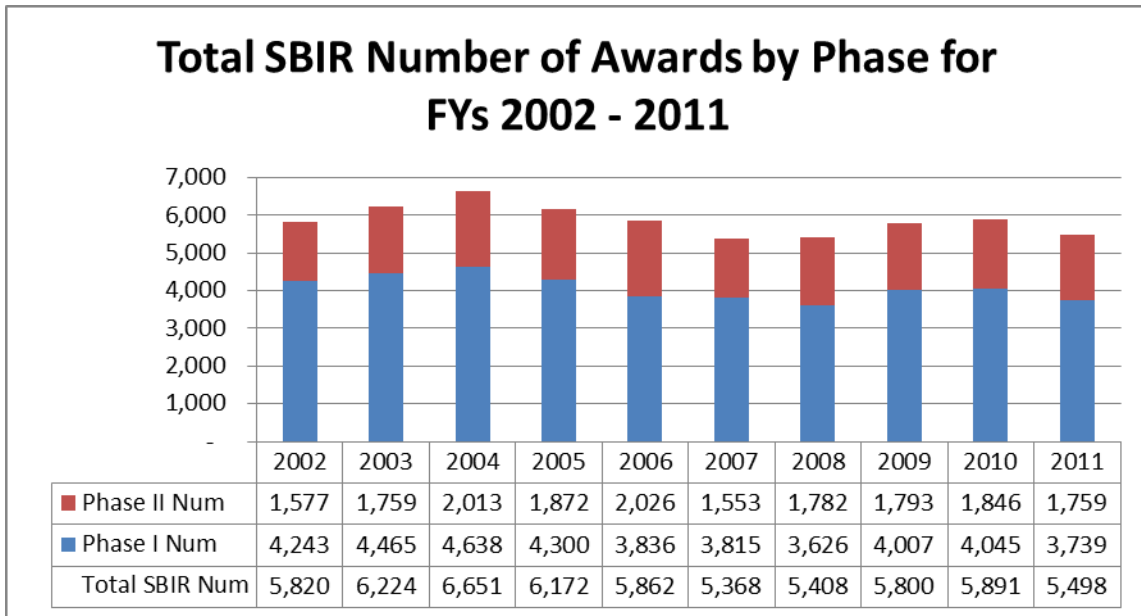
The funding levels of SBIR awards has grown 34% between FY 2002 and 2011 from a total of \$1.44 billion dollars to \$1.93 billion dollars each year. Approximately three quarters of the dollars fund Phase II projects.

Exhibit 1 – SBIR Award Amounts by Phase for FYs 2002-2011 (In millions of \$)



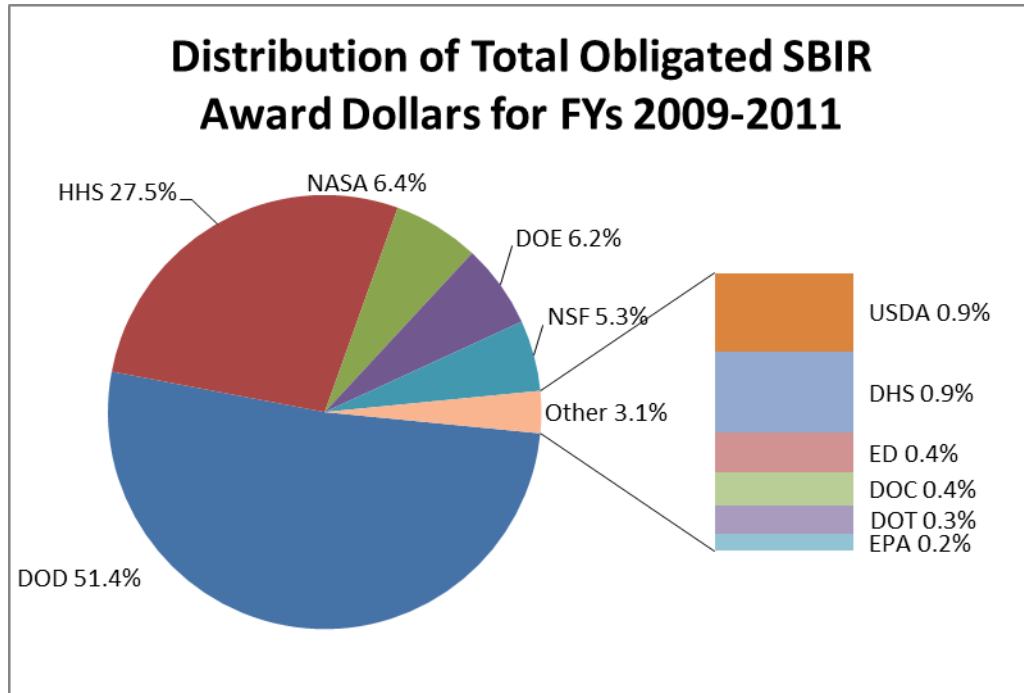
The program gives out approximately 6,000 awards a year, with some year to year variation. Approximately two thirds of the total awards made are for smaller sized Phase 1 awards. There has been a modest decline in the number of awards over time. The total awards of 5,497 in 2011 represent a 5.6% decline from 2002 and a 17.4% decline from a high of 6,651 in 2004.

Exhibit 2 – Total SBIR Number of Awards by Phase for FYs 2002-2011



In terms of their agency composition, around 79% of SBIR award dollars are located in DOD and HHS, while around 18% of dollars are located in DOE, NASA, and NSF. The remaining agencies (USDA, DHS, DOC, ED, DOT, and EPA) make up less than 4% of the program.

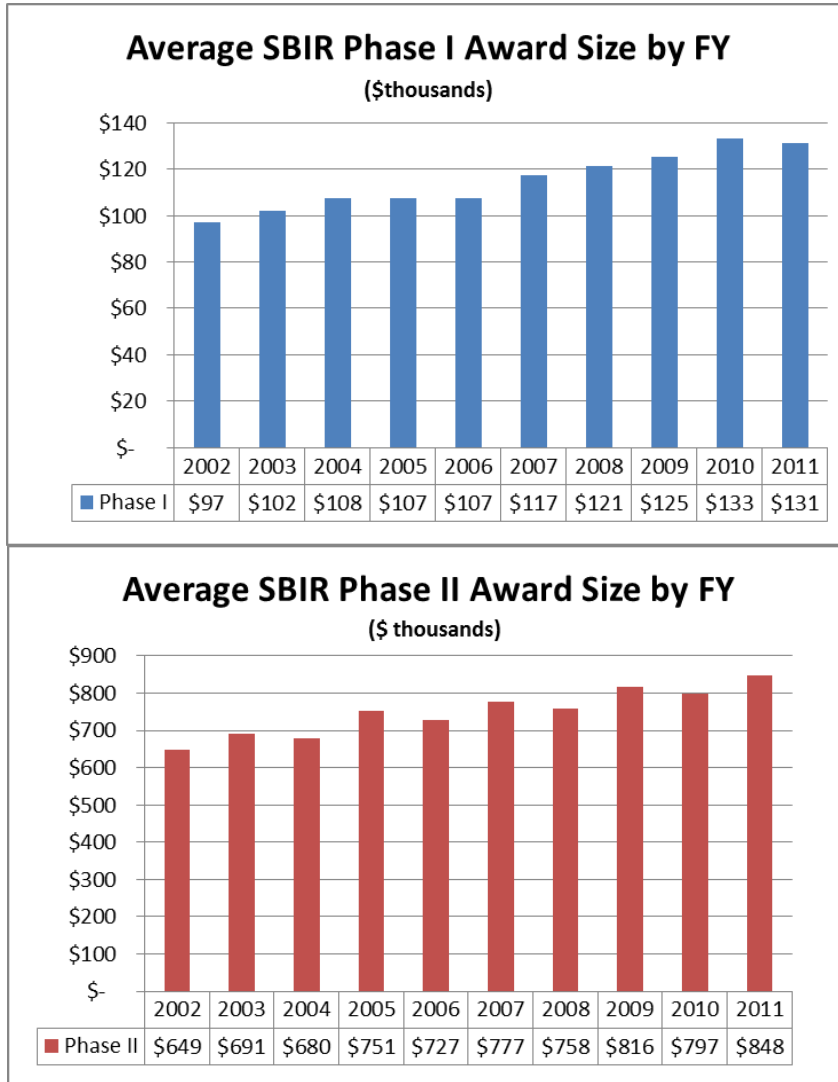
Exhibit 3 – Distribution of Total Obligated SBIR Award Dollars for FYs 2009-2011
 (Average Yearly Award \$ = \$2.32 billion)



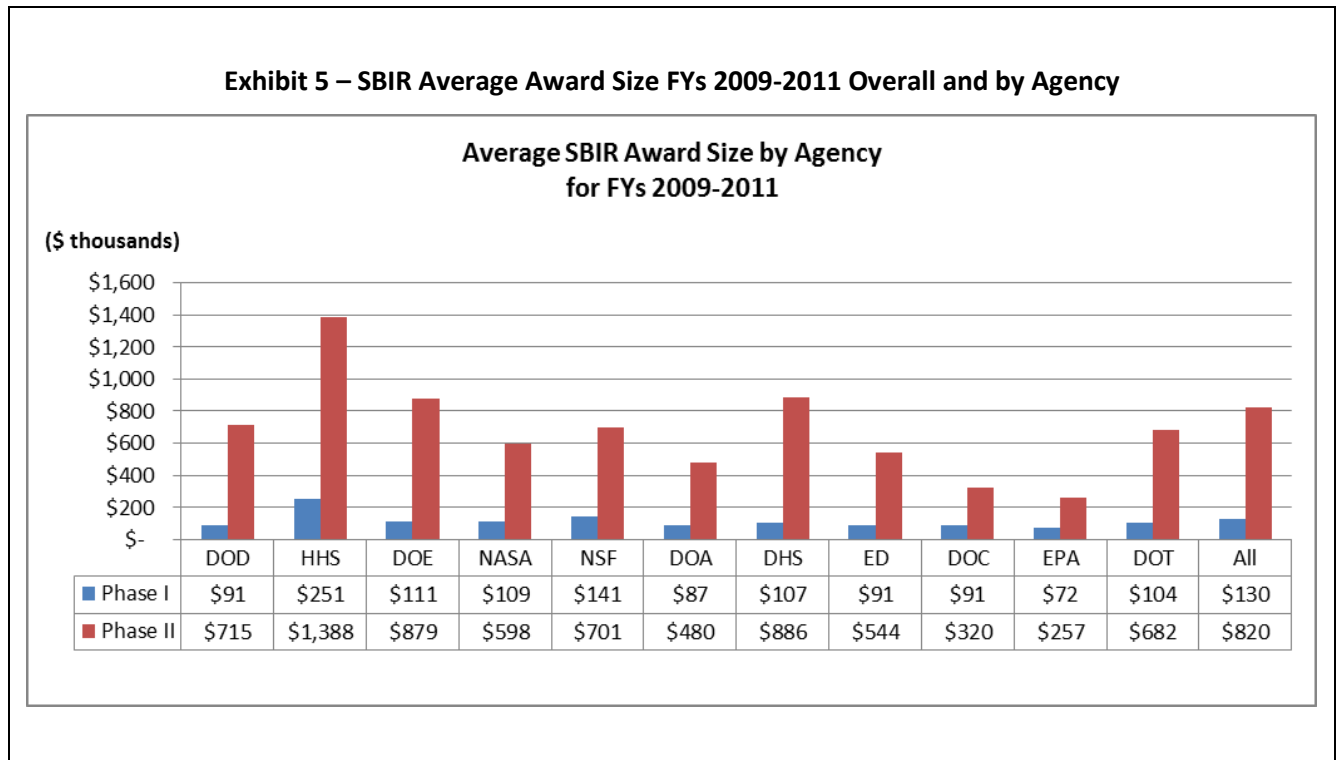
DOD	1,191,558	DHS	21,181
HHS	636,853	ED	10,417
DOE	149,168	DOC	8,519
NASA	144,603	EPA	7,471
NSF	122,281	DOT	4,388
USDA	20,600	TOTAL	2,317,039

The combination of the increase in total award dollars and a smaller number of awards is shown in an overall increase in the average size of SBIR Phase I and Phase II awards. Since 2002, the nominal size of Phase I awards increased by 35%, while the size of Phase II awards increased by 31%. The real value of these awards increased at a somewhat slower pace over this period due to inflation in the costs of doing research. In March of 2010, to adjust for the effects of inflation, SBA increased SBIR award size guideline amounts from \$100,000 to \$150,000 for Phase I and from \$750,000 to \$1,000,000 for Phase II.

Exhibit 4 – Average SBIR Award Size by Phase for FYs 2002-2011



Average award size tends to vary by agency. While all other agencies maintained average award sizes below the maximum award size guidelines, HHS awards were significantly higher (almost twice the size of the average award) for both Phase I and Phase II.



b. Solicitations and Proposal Acceptance Rates

The number of solicitations and topics (within solicitations) for Phase I, Phase II, and subsequent Phase II awards vary from year to year. In aggregate, agencies on average issue 20 solicitations each year with an average of 1,200 topics. Over the past ten years, over 200 solicitations have been issued with an average of 61.7 topics per solicitation.

Exhibit 6 – SBIR Solicitations and Topics FYs 2002 – 2011

	Number of Solicitations	Number of Topics
2002	17	1177
2003	15	1235
2004	20	1447
2005	21	1224
2006	19	1237
2007	19	1308
2008	24	1305
2009	23	1179
2010	23	1155
2011	21	953

Exhibit 7 displays the average number of solicitations per year over the past ten years. The largest number of solicitations were released by DOD and ED with roughly 3 solicitations per year followed by DHS, EPA, DOC, and HHS.

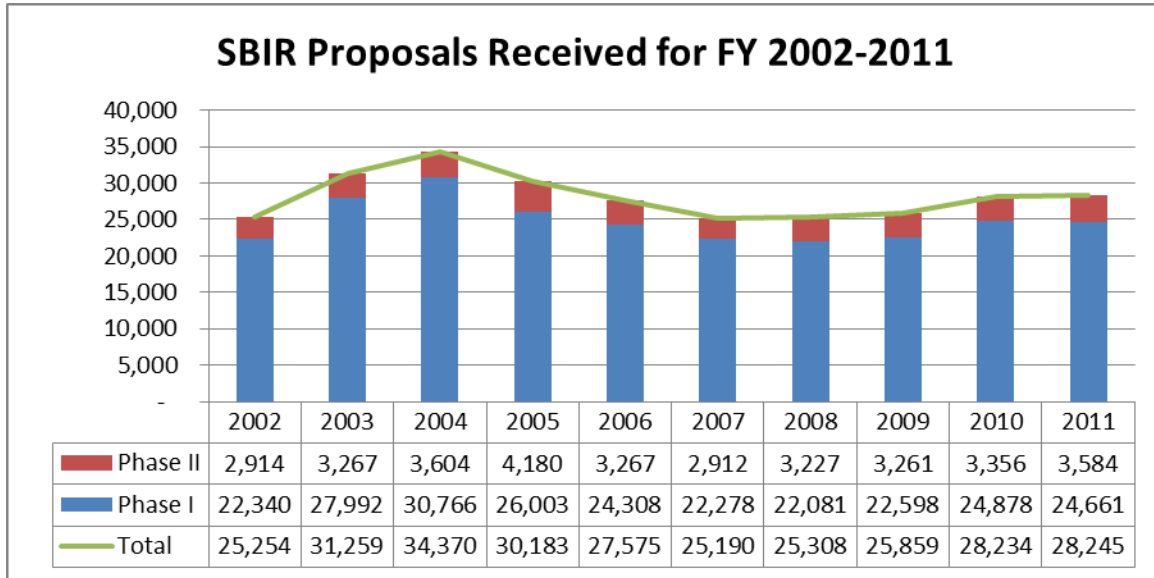
Exhibit 7 – Agencies Grouped By Average Number of Solicitations Per Year between FYs 2002 – 2011	
<i># of Solicitations</i>	<i>Agencies</i>
1	DOE, NASA, USDA
1-2	NSF, DOC, DOT, DHS
2.1-3	DOD, HHS, ED, EPA
Agency Avg	2.02

As shown in the table below, the average number of topics has increased from 107 per agency in 2002 to 119 per agency in 2007 and 2008. As DOD accounts for more than half of the topics, a decrease in DOD topics affects the overall total and average of all topics issued that fiscal year.

Exhibit 8 – SBIR Topics by Year from FYs 2002 – 2011													
	DOD	HHS	DOE	NASA	NSF	USDA	DHS	ED	DOC	EPA	DOT	Avg	Total
2002	890	144	45	28	4	9	N/A	11	22	13	11	107	1177
2003	926	170	47	30	4	10	N/A	7	19	13	9	112	1235
2004	1086	208	47	25	4	11	14	6	19	15	12	132	1447
2005	875	189	49	28	3	11	12	5	18	26	8	111	1224
2006	885	210	49	29	5	12	16	3	15	4	9	112	1237
2007	949	209	54	27	8	12	17	7	4	4	17	119	1308
2008	935	198	60	28	6	12	13	7	13	14	19	119	1305
2009	789	215	66	30	4	12	17	7	13	14	12	107	1179
2010	753	215	68	31	8	12	17	6	18	10	17	105	1155
2011	586	196	71	31	8	10	15	4	11	10	11	87	953

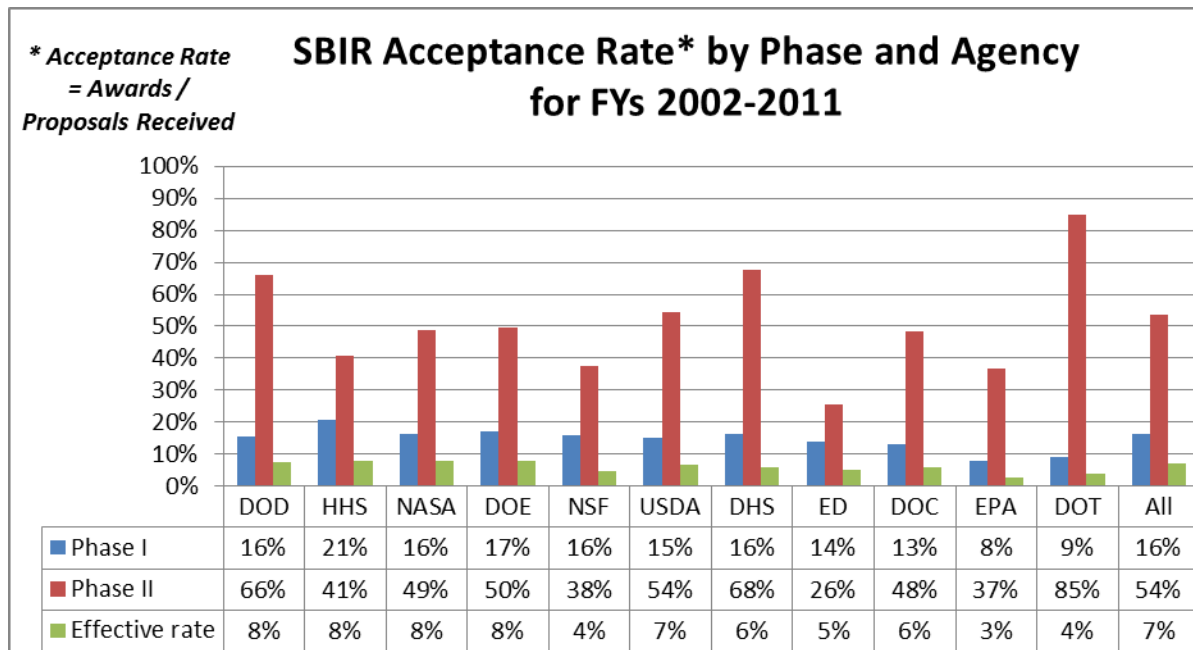
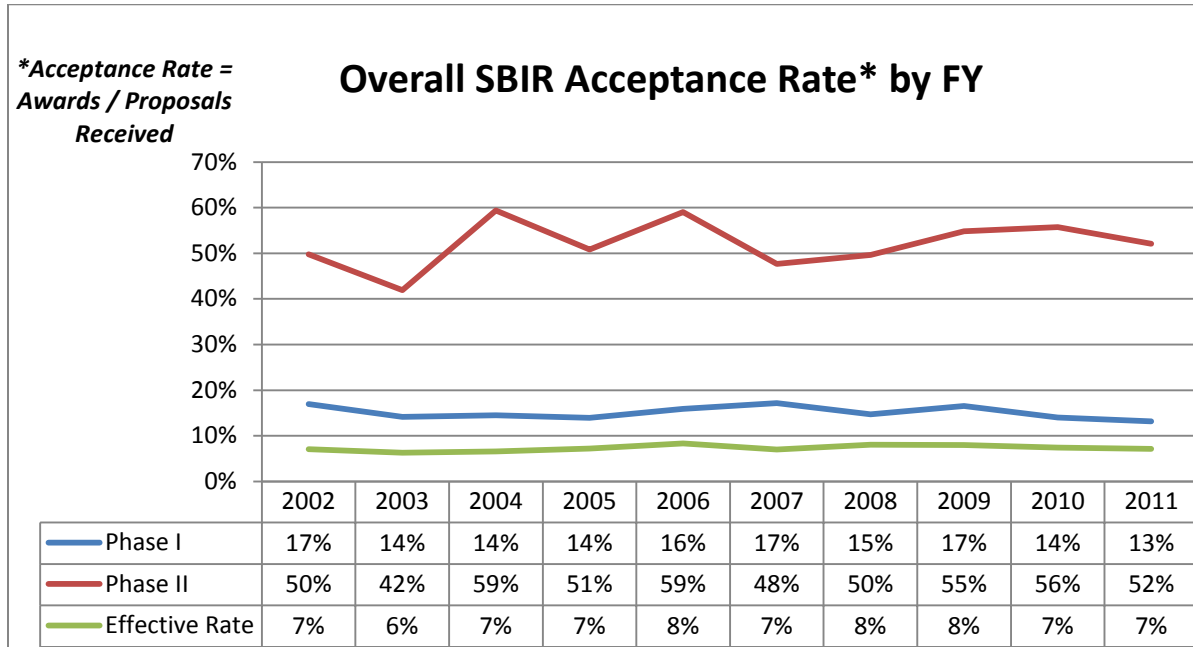
Over the past ten years, applicants have submitted over a quarter million proposals, almost half to DOD. Between FY 2007 and FY 2011 the average number of Phase I proposals received was 23,299 and the average number of Phase II proposals received was 3,268. The combined average of Phase I and II proposals received was 26,257 (see Appendix C). The number of proposals submitted have stayed relatively consistent on a yearly basis.

Exhibit 9 – SBIR Proposals Received for FYs 2002-2011



Based on the number of awards, the proposal acceptance rates (Number of Awards/Number of Proposals) averaged approximately 16% for Phase I applicants and 53% for Phase II applicants. To determine the likelihood that a new proposal would receive a Phase II Award, we multiply the proposal acceptance rates in Phase I by the proposal acceptance rates for Phase II. To note, this calculation does also include Phase I awardees who choose not to apply for a Phase II grant. From 2002 to 2011, the “effective proposal acceptance rate” for the SBIR program is 7%, which means that a proposal has a 7% chance of receiving a Phase I award and a subsequent Phase II award.

Exhibit 10 – SBIR Proposal Acceptance Rate for FYs 2002-2011 by FY



c. Impact

Consistent with the statutory program goals, in measuring the impact of the SBIR program, SBA currently considers the number of companies financed, geographic distribution, and percentage of awards to historically underserved communities.

Number of Companies. Between FY 2009 and 2011, agencies provided SBIR awards to 5,854 companies. For these companies, the number of awards has remained a steady 1.3 awards per company.

Exhibit 11 – Number of Companies Receiving SBIR Awards (FYs 2009 – 2011)

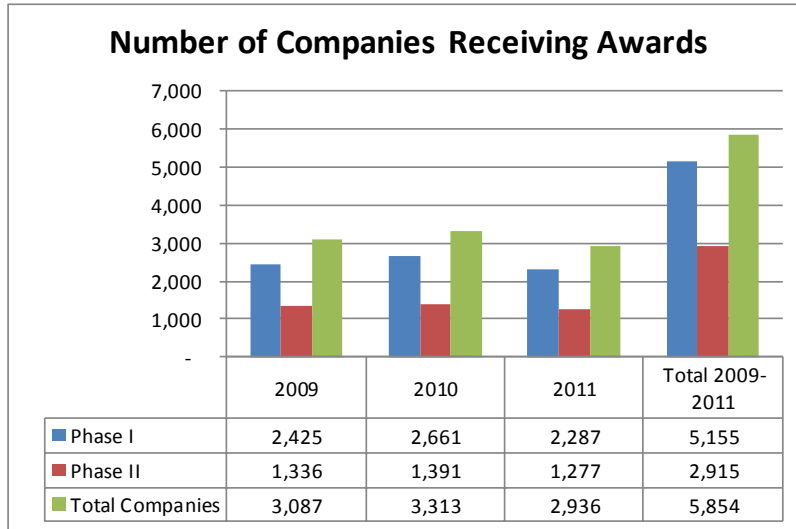
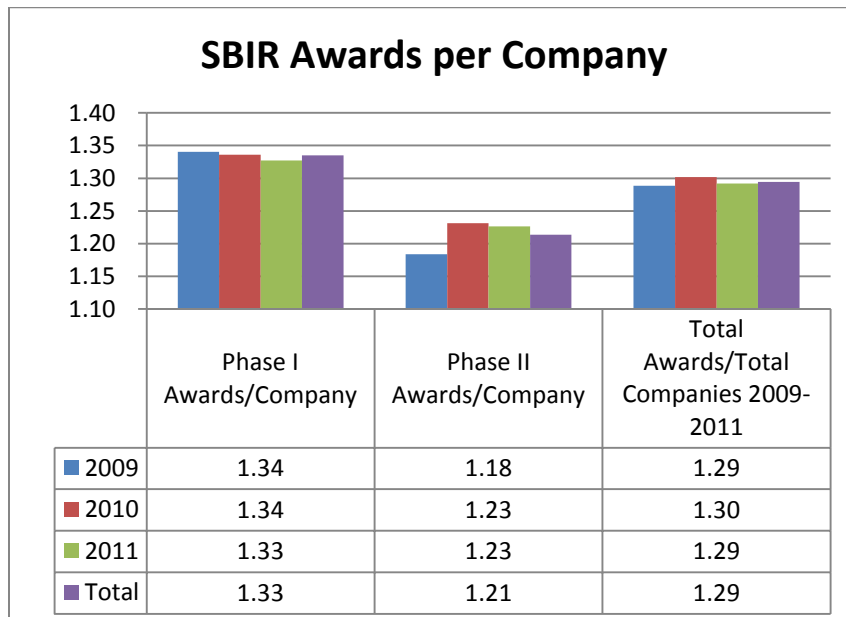
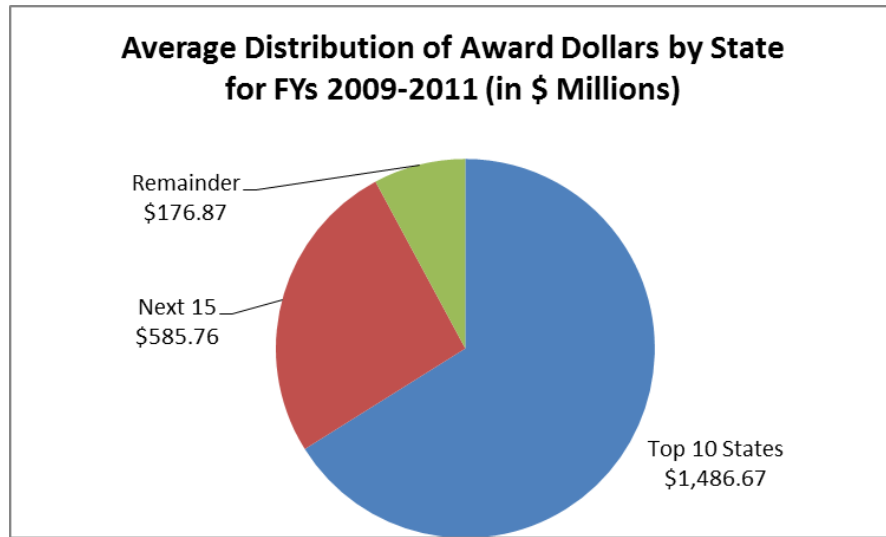


Exhibit 12 –SBIR Awards per Company (FY 2009 – 2011)



Geographic Distribution. Ten states received two-thirds of all SBIR award dollars. These states include CA, MA, VA, NY, MD, CO, PA, TX, OH and NJ. Half of the states and territories received less than 10% of all SBIR award dollars. Appendix A provides further geographic detail.

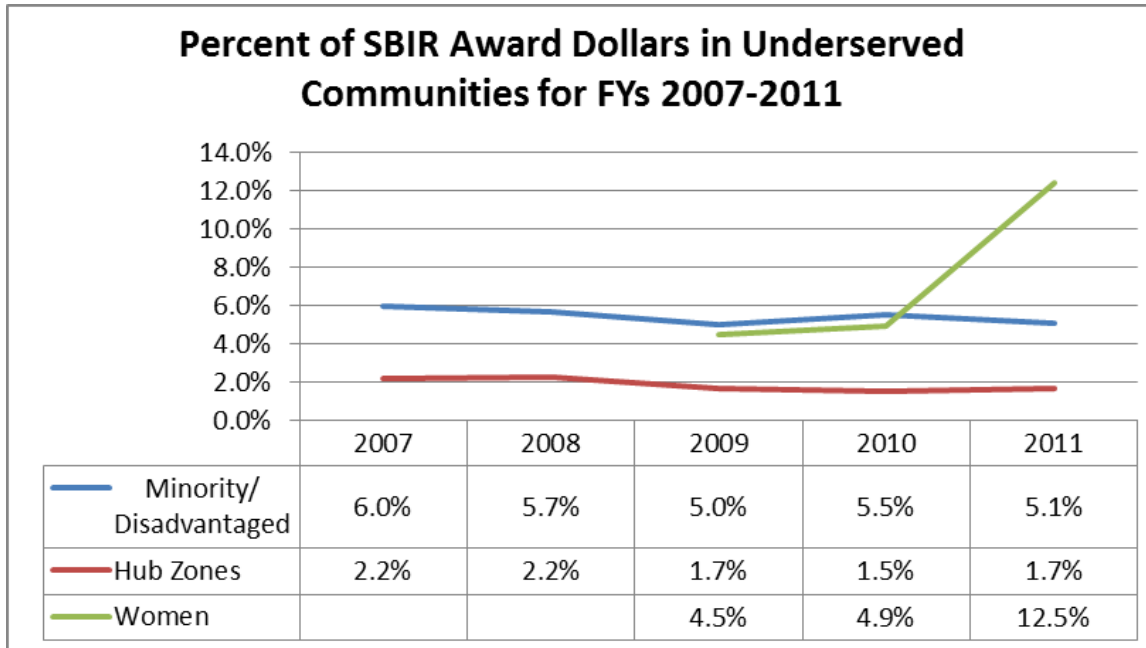
Exhibit 13 – Average SBIR Award Dollars by State FYs 2009 – 2011 (Phase I & Phase II)



Underserved Communities. Between FY 2007 and FY 2011, approximately 5.4% of SBIR award dollars went to minority-owned or disadvantaged businesses; 7.3% went to women-owned businesses and 1.9% to HUBZone certified small businesses. There is some overlap between these numbers, for example, some minority-owned or disadvantaged companies can also be HUBZone certified small businesses. In regards to women-owned businesses, SBA only began to fully track these numbers in 2009. As a result, we have minimal award data for women-owned businesses in the program. Nevertheless, in FY 2011, 15.3% of SBIR awards went to women-owned businesses.

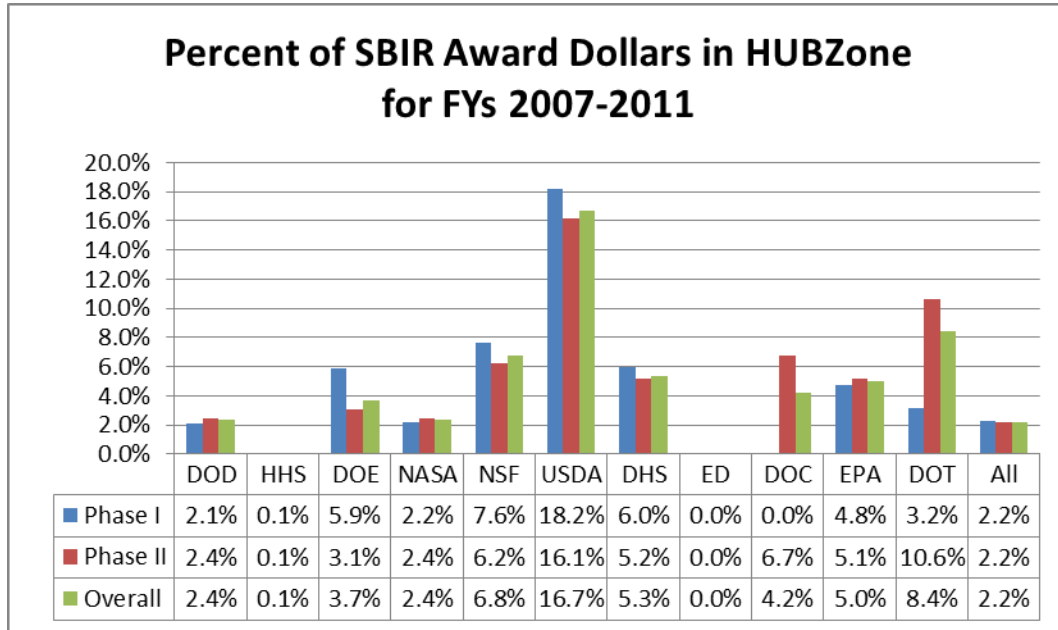
In general, HUBZone certified and minority/disadvantaged-owned businesses have seen a decline since 2007 with a 0.9% decrease in minority/disadvantaged-owned communities and a 0.5% decrease in HUBZone certified businesses.

Exhibit 14 – Percent of SBIR Award Dollars in Underserved Communities for FYs 2007 – 2011



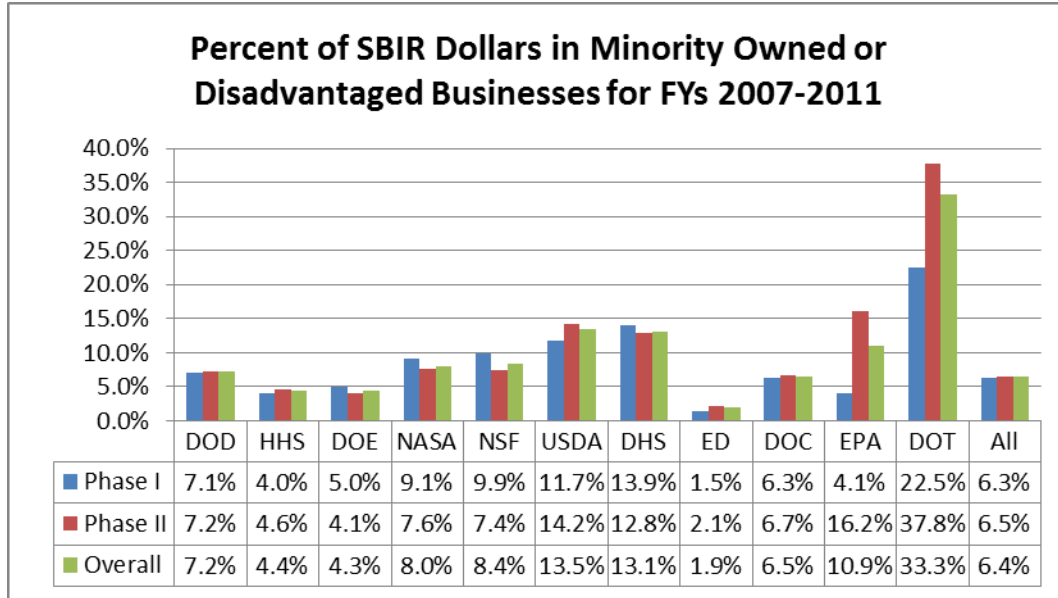
Between FY 2007 and FY 2011, the SBIR program awarded over \$205 million dollars (about \$54 million in Phase 1 awards and \$151 million in Phase 2 awards, see Appendix C) to HUBZone certified companies. Nevertheless, there is significant variance between agencies and their awards to HUBZone certified firms. For example, USDA provided the highest percentage of dollars with an average of 16.7% of awards going to HUBZone certified businesses. In contrast, ED provided no awards to HUBZone certified businesses and HHS awarded an average of 0.1% of awards to HUBZone certified businesses.

Exhibit 15 – Percent of SBIR Award Dollars in HUBZones by Agency for FYs 2009-2011



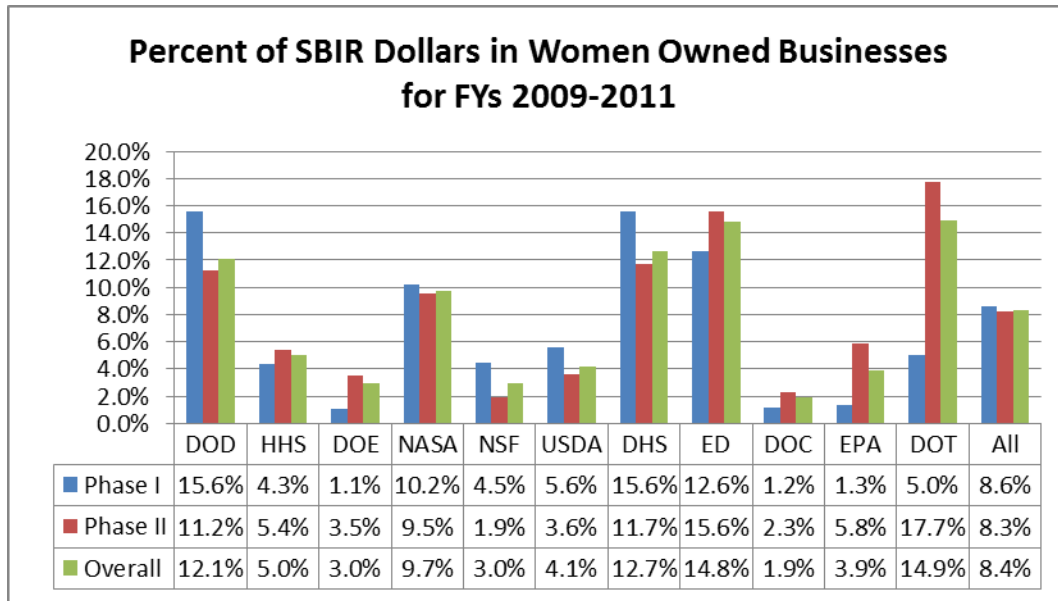
The SBIR program awarded a total of \$625 million (\$154 million in Phase 1 and \$470 million in Phase 2, see Appendix C) to minority-owned or disadvantaged businesses. Every agency gave money to a minority-owned or disadvantaged business. The leading agency was DOT, which comprised more than 25% of the dollars going to minority-owned or disadvantaged businesses.

Exhibit 16 – Percent of SBIR Award Dollars in Minority-Owned/Disadvantaged Businesses by Agency for FYs 2007-2011



For awards to women-owned businesses, the SBIR program awarded over \$523 million dollars to women-owned businesses (\$138 million in Phase I and \$385 million in Phase II, see Appendix C). All agencies awarded SBIR awards to women-owned businesses and ED provided the highest percentage of agency SBIR award dollars to women-owned businesses, followed closely by DOT.

Exhibit 17 – Percent of SBIR Award Dollars in Women-Owned Businesses by Agency for FY 2009-2011



d. Agency Compliance

SBA measures compliance based on the ratio of SBIR award obligations to its extramural budget and agency response times. To note, agencies self-reported the data below for the charts related to award obligations, extramural budget calculations, and agency response times.

SBIR Obligated To Extramural Budget Percentage. In general, agencies are required to obligate at least 2.5% of their Extramural Budget to SBIR awards. Appendix B provides a description for how this is calculated. To note, generally, these numbers do not include

Given the complexities of annual budget cycles, the prevalence of Congressional Continuing Resolutions, uncertainty of timelines on making awards, and other factors, there is significant variability in year-to-year performance. However, looking at three and five year averages gives a sense of an agency’s performance over time.

As a whole, the program is meeting its 2.5% SBIR award obligation. The 3-year average is 2.59%, while the 5-year average is 2.54% for the program as a whole.

Almost all agencies averaged at or above the 2.5% target over a 3 year period. These agencies were DOD, HHS, DOE, NASA, USDA, DHS, ED, and DOC. NSF, EPA and DOT feel short at 2.36%, 2.43%, and 2.16% on 3 year averages respectively.

Several agencies have had problems meeting this requirement over the past 5 years, e.g. NSF and DOT. In contrast, DHS and ED have consistently met and surpassed this requirement.

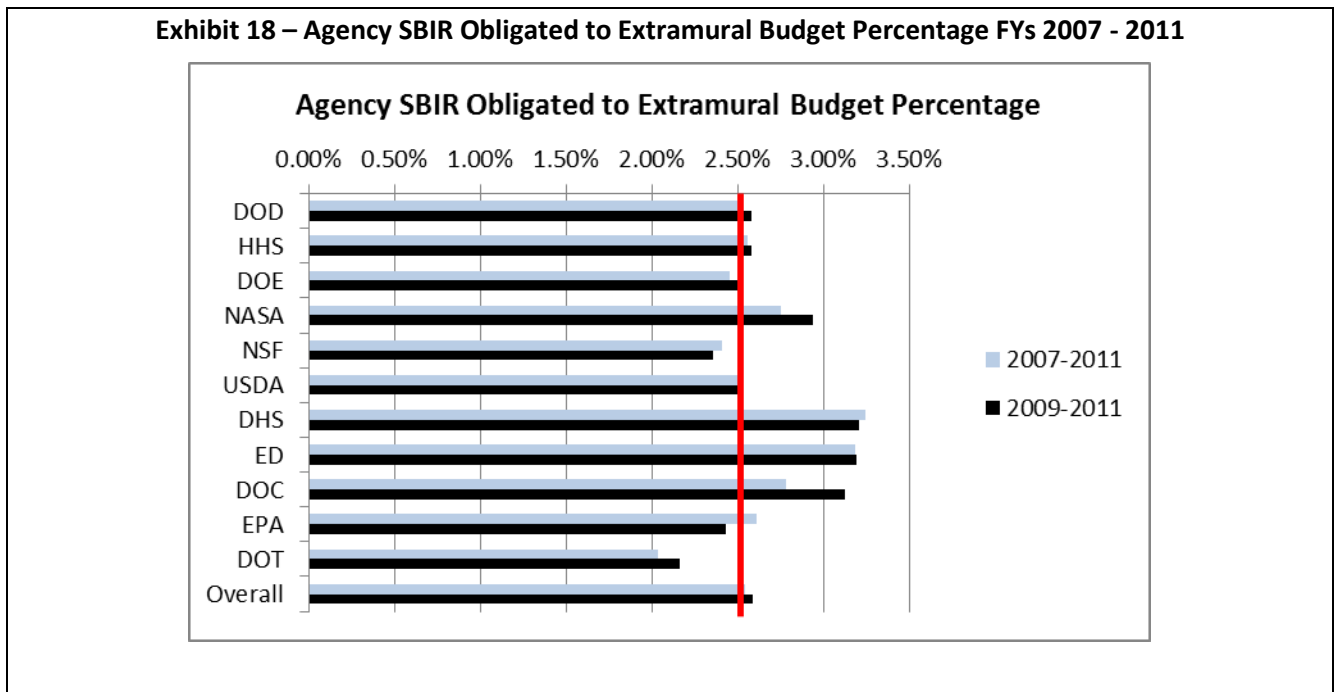
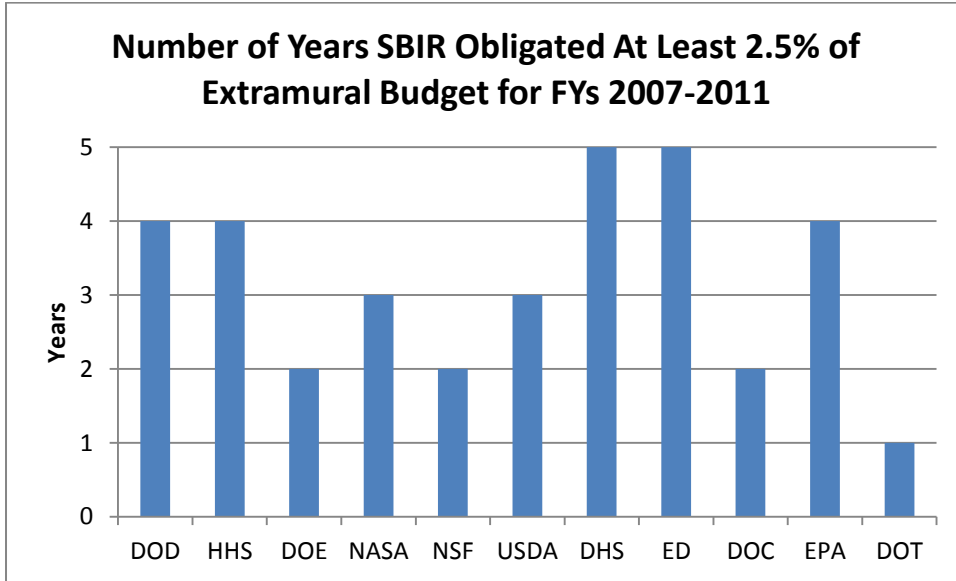


Exhibit 19 – Number of Years Compliant at 2.5% of Extramural Budget by Agency for FYs 2007 - 2011



The following provides a summary of each agency’s compliance with hitting the targeted 2.5% of extramural budget. On the right, the higher the “Number at or Above 2.5%”, the better the agency has performed in its compliance with the extramural budget. In general, the largest agencies impact the 3-year and 5-year averages the most, followed closely by the medium-sized agencies. Some highlights include:

- In the past five years, eight agencies have been in compliance: DOD, HHS, DOE, NASA, USDA, DHS, ED, and DOC.
- Two agencies have come close to compliance: NSF (2.36%) and EPA (2.43%).
- Lastly, one agency has substantially missed their compliance: DOT (2.16%).

Exhibit 20 – Agency Obligated SBIR Share of Extramural Budget Scorecard FYs 2007-2011

Agency SBIR Obligated to Extramural Budget Percentage

Agency	2007	2008	2009	2010	2011	2007-2011	2009-2011	Number at or Above 2.5%
DOD	2.37%	2.50%	2.57%	2.59%	2.59%	2.52%	2.58%	4
HHS	2.52%	2.53%	2.65%	2.60%	2.50%	2.56%	2.58%	4
DOE	2.30%	2.41%	2.59%	2.29%	2.63%	2.45%	2.50%	2
NASA	2.43%	2.37%	2.51%	2.77%	3.55%	2.75%	2.94%	3
NSF	2.52%	2.48%	2.25%	2.61%	2.25%	2.41%	2.36%	2
USDA	2.57%	2.48%	2.09%	2.57%	2.92%	2.53%	2.53%	3
DHS	3.44%	3.14%	2.94%	2.91%	4.12%	3.25%	3.21%	5
ED	3.21%	3.15%	3.29%	2.93%	3.37%	3.19%	3.19%	5
DOC	2.02%	2.32%	4.17%	2.48%	2.56%	2.78%	3.12%	2
EPA	3.29%	2.51%	2.19%	2.53%	2.55%	2.61%	2.43%	4
DOT	1.68%	1.89%	1.37%	2.27%	2.74%	2.04%	2.16%	1
Overall	2.43%	2.50%	2.57%	2.58%	2.62%	2.54%	2.59%	4

*NR = "Not Reported"; SBA did not receive data.

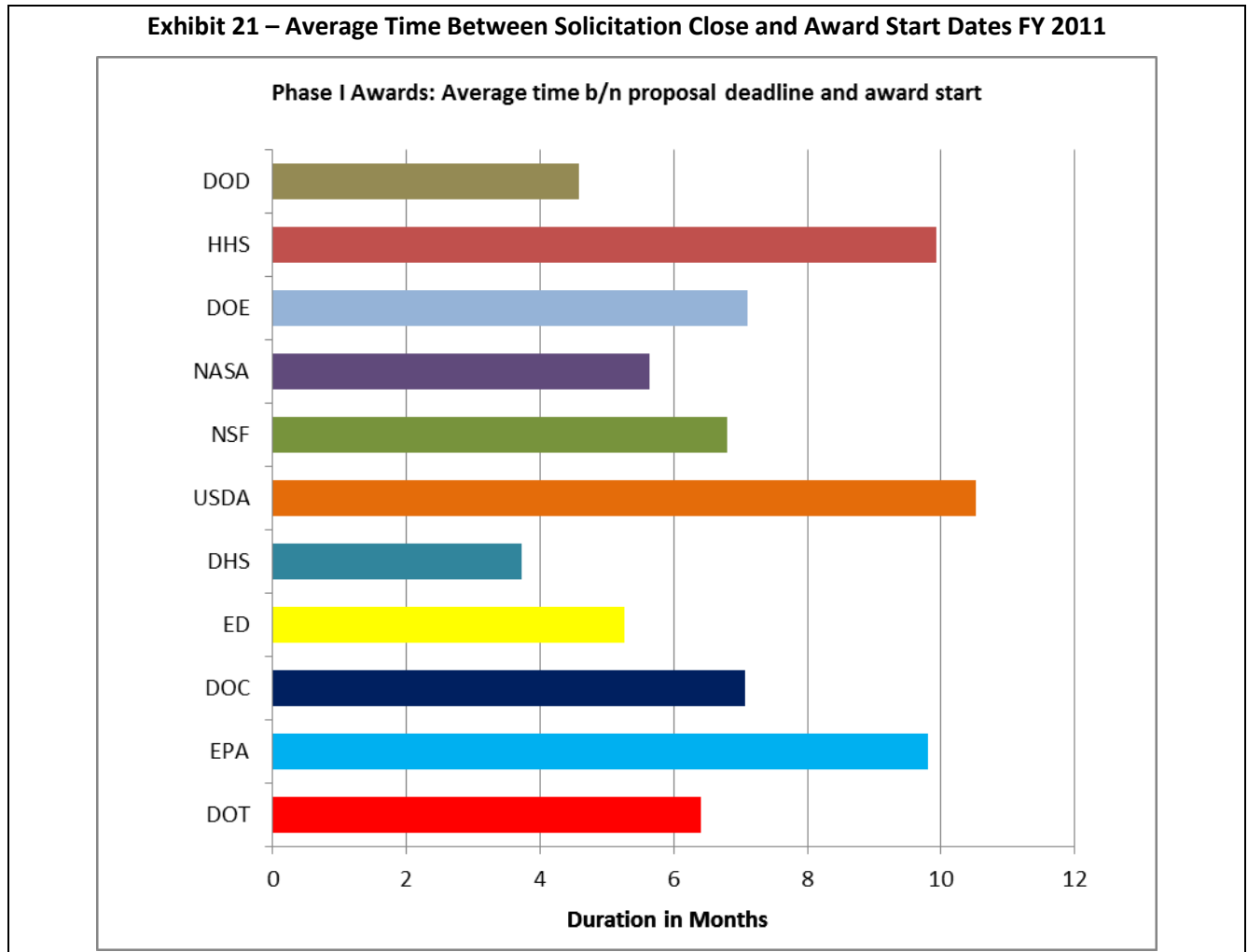
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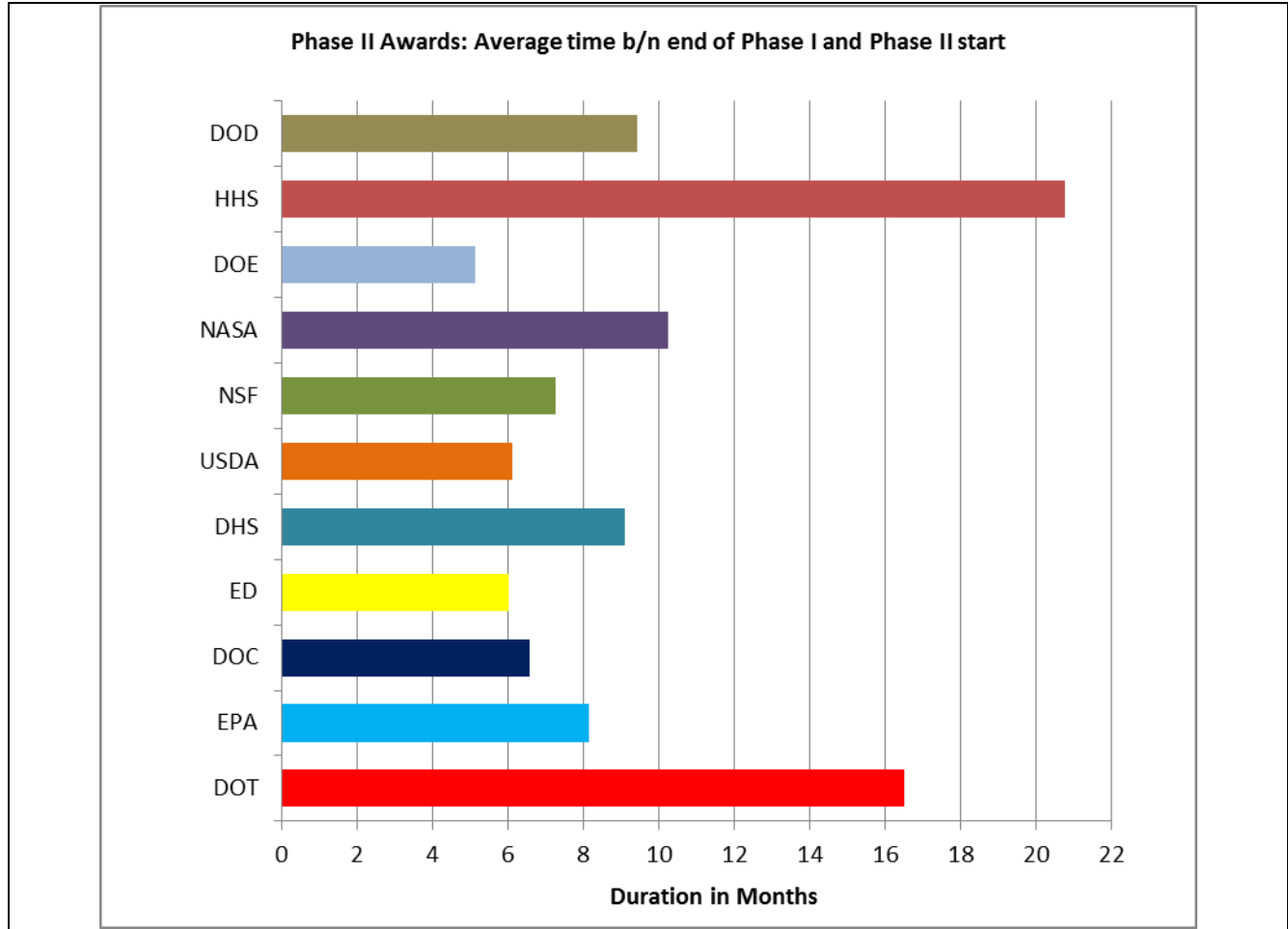
- At or above 2.5%
- 2.45% to 2.49%
- Below 2.45%

SBIR Obligated To Extramural Budget Percentage. As a result of feedback from many SBIR awardees, SBA began collecting timeline information (Appendix F) in the beginning of FY 2010, which included the following:

1. Average months between Phase I proposal deadline and start of award.
2. Percent of Phase I awards dispersed in less than 6 months from proposal deadline.
3. Average months between Phase I end and Phase II start.
4. Average months between Phase II selection and Phase II start.
5. Percent of Phase II awards dispersed in less than 3 months.

Below is a graphical representation of average timeline data provided FY 2011





USDA, HHS, and EPA took the longest time to issue Phase I awards following the close of solicitation: USDA (10.5 months), HHS (a little less than 10 months), and EPA (9.8 months). Three other agencies were particularly slow to make Phase 2 awards following the completion of Phase 1 awards: DOT (16.5 months), DOD (~9.5 months), and NASA (10.23 months). Timeline reductions are a key component of the SBIR’s program focus on commercialization. If companies cannot receive their awards in a timely fashion, they face significant market risk, budget shortfall/delay, and even shutdown.

All agencies are encouraged to further reduce award timelines, including HHS and NSF, who were given higher prescribed upper limits on notification timelines per the current SBIR Policy Directive. Timeline reductions are a key component of the SBIR’s program focus on commercialization. If companies cannot receive their awards in a timely fashion, they face significant market risk, budget shortfall/delay, and even shutdown.

e. SBIR Data Collection Scorecard for FY 2011

Exhibit 22 – SBIR Data Collection Agency Scorecard for FY2011

Agency	Solicitation/Awards	Compliance/Budget	Special Groups	Timelines
DHS	Green (05/21/2012)	Green (05/21/2012)	Green (05/21/2012)	Green (05/21/2012)
DOC	Green (05/21/2012)	Green (05/21/2012)	Green (05/21/2012)	Green (05/21/2012)
NSF	Green (05/25/2012)	Green (05/25/2012)	Green (05/25/2012)	Green (05/25/2012)
DOT	Green (06/04/2012)	Green (06/04/2012)	Green (06/04/2012)	Green (06/04/2012)
NASA	Green (06/12/2012)	Green (06/12/2012)	Green (06/12/2012)	Green (06/12/2012)
EPA	Green (06/12/2012)	Green (06/12/2012)	Green (06/12/2012)	Green (06/12/2012)
DOE	Yellow (07/14/2012)	Yellow (07/14/2012)	Yellow (07/14/2012)	Yellow (07/14/2012)
ED	Yellow (08/21/2012)	Yellow (08/21/2012)	Yellow (08/21/2012))	Yellow (08/21/2012)
USDA	Yellow (08/27/2012)	Yellow (08/27/2012)	Yellow (08/27/2012)	Yellow (08/27/2012)
HHS	Yellow (08/28/2012)	Yellow (08/28/2012)	Yellow (08/28/2012)	Yellow (08/28/2012)
DOD	Red	Red	Red	Red

Green: Data submitted within 90 days of the statutory deadline (June 15, 2012 or earlier).
Yellow: Data submitted within 180 days after the statutory deadline (September 15, 2012 or earlier).
Red: Data has yet to be formally submitted.

On-time reporting

On time reporting is important in measuring program performance and to ensure that the program is consistent with the statute. Timely reporting also helps increase program transparency and governance, enables prospective program applicants to better assess the fit of the program, and enables stakeholders to evaluate program performance.

In March 2011, SBA announced a new online Annual Report data collection process for the FY 2011 Annual Report. In order to help enable the transition to a new annual reporting system format SBA extended the SBIR and STTR annual report data submission deadline to May 21, 2012.

Reporting Categories

Each participating SBIR agency is required to submit data on solicitation and awards, compliance toward extramural contribution to SBIR program, underserved communities participation (e.g. minority-owned, women-owned, and HUBZone certified businesses), and the reporting of agency timelines on proposal evaluation and dispersal of award funding.

Agency Reporting Performance

Six agencies submitted program data within 90 days of the statutory FY 2011 annual reporting deadline: DHS, NASA, NSF, DOC, EPA, and DOT.

HHS, DOE, USDA and ED submitted FY 2011 annual reports between 90 to 180 days after the statutory deadline.

DOD has not formally submitted an annual report to SBA. Informally, DOD reported timeline data and solicitation and award data eleven months after the statutory reporting deadline. DOD submitted draft and award data for extramural budget figures, underserved communities data, and their agency approved report data for FY 2011 in late March of 2013.

Technical Difficulty

Agencies experienced varying levels of difficulty with the new data reporting system. Therefore, SBA gave more flexibility to agencies beyond the regular submission deadline from March 15, 2012 to June 15, 2012 to adapt to a new annual reporting technical system. DOD, DOE, and HHS voiced objection to publishing the dates of SBIR data submission for FY2011 due to the technical difficulties they encountered with SBA's new data reporting system. These agencies assert that the lateness in the submission of the data was attributable to technical issues, outside of the control of these agencies.

In order to resolve technical issues, SBA hosted a series of conference calls with HHS and DOD, which also included SBA and DOD's respective contractors, REI, Inc. and BRTRC.

f. Energy Independence and Security Act of 2007

On December 19, 2007, the President signed into law the Energy Independence and Security Act of 2007 (Public Law 110-140, codified at 15 U.S.C. § 638(z)(1)-(3)), directing the SBA to:

- Ensure that SBIR agencies give high priority to small business concerns that participate in or conduct energy efficiency or renewable energy system research and development projects;
- Include in SBA's annual report to Congress a determination of whether such priority is being carried out;
- Consult with the heads of the agencies in determining whether such priority has been given; and
- Issue guidelines and directives to assist the participating agencies in meeting these requirements.

On September 3, 2008, guidelines were issued to the participating agencies for meeting these requirements. Agencies are complying with the Energy Independence and Security Act of 2007 by including energy-related priorities in SBA projects.

Hundreds of projects have been funded by the agencies in the past 3 years. Below is a sample of priorities given to energy-related projects from 2009-2011:

- Biomass-to-Gasoline Process
- Development of cost effective and flexible desulfurization technology to clean-up biogas generated from waste streams fuels
- Compact Gas-Phase Sulfur Analyzer for JP-8 Reformers
- Next Generation Energy Efficient Supplemental Lighting for Plant Production
- Wind Powered Water Pumping Incorporating Compressed Air Energy Storage
- Conversion of Agricultural Waste into High Quality Insulation for Energy Conversion
- Low Wind Speed Wind Turbine; 50- 100 Watt Wind Energy Harvesting in Light Tactical Applications
- Compact, Lightweight Intelligent Cartridge for Interoperable fuel Transport
- Development of GaN Substrates for High Power and Multi-Functional Devices
- Nonpolar Green LEDs Based on InGaN
- Roll-to-Roll Process for Transparent Metal Electrodes in OLED Manufacturing
- Advanced Heat Exchanger based on 3D Woven Metal Wires
- Nanofluids Enhanced Twisted Tape Heat Exchanger
- Novel Ethanol Dehydration Membranes
- Novel Membranes for Enhancing Value of Bio-Oil
- New Fabrication Technique for Ultrathin Membranes
- Roadway Waste Heat Electricity Productions Using Improved Roadway Paving Technologies
- Solar Roadways
- Air-Steam Hybrid: an Alternative to Internal Combustion-Cleaner
- High-capacity hydrogen storage system for a fuel cell or battery hybrid power supply for electric wheelchairs and scooters
- Hyper Molecular Modeling System, which allows users to interact with molecular models generated by the computational chemistry software in real time
- The Virtual Physics Lab
- Development of Intelligent Process Control for Thin Film Solar Panel Manufacturing
- Bio-Electrochemical Systems for Ethanol Wastewater Treatment
- Explore wearable power generation and distribution technologies that will power an array of body worn sensors and devices for the first responders

- Energy efficient oxygen concentrator
- Rapid Hydrogen and Methane Sensors for Wireless Leak Detection
- Lightweight IMM Multi-Junction Photovoltaic Flexible Blanket Assembly
- Real Time Optical Control System for Thin Film Solar Cell Manufacturing
- An Integrated Decision Support Framework for Sustainability CAE
- Wave Energy Harvesting; Advanced Cooling and Advanced Waste Heat Recovery
- Hydrogen Odorant Technology
- Self Sustaining Intelligent Pavement Systems
- STEM Solar Explorations platform

In addition to energy efficiency and renewal energy topics in the SBIR solicitations, other mechanisms used to give priority to energy efficiency include outreach to raise awareness of the Energy Independence and Security Act of 2007 to the small business research community through presentations, conferences, meetings, and website notices. Some websites report success stories that show the impact of the SBIR program on energy efficiency and renewable energy system technology research. For example, instructions have been included in some solicitations stating that proposals that address energy related aspects to their technology development will have a “tie-breaker” advantage. This is also stressed during outreach presentations to the small business community. One agency is also teaching students about the underlying concepts related to energy efficiency and renewable energy.

3. STTR Program Performance

a. Introduction

This section is a report on the Small Business Technology Transfer (STTR) program. This report is prepared pursuant to Public Law 102-564, the Small Business Research and Development Enhancement Act of 1992, as amended. This report describes the operation and administration of the STTR program for fiscal years (FYs) 2009-2011. It also provides data on the number of solicitations released, the number of proposals received and number of awards resulting from those solicitations.

To conduct this analysis, SBA used the congressional fiscal year. For some agencies, dollar obligations may occur in future years. SBA cannot credit those future obligations to the fiscal reporting years in this report. SBA is congressionally mandated to report on all agency obligations that occur within the congressional fiscal year. Additionally, numbers reported for underserved communities come from agency-reported annual report data. As such, this represents the most accurate data for the congressional fiscal year.

Nevertheless, SBA took steps to provide analysis across years in order to account for these variations.

For further information, Appendix E details each agency by fiscal year. Each agency is broken down important category and respective fiscal year (e.g. Phase I, Phase II, subsequent Phase IIs, Modifications for FY08, Modifications for FY09, etc.).

b. Summary of Legislation

Title I of Public Law 102-564 amended the Small Business Act by reauthorizing the Small Business Innovation Research (SBIR) program. Congress passed Title II of the Act authorizing the STTR program.

The STTR program and the SBIR program share a similar philosophy. The STTR program recognizes Federally funded research and development as a base for technological innovation that will contribute to the growth and strength of the Nation's economy. It differs from the SBIR program in that STTR awards are made to small businesses that pursue technological innovation through cooperative research and development with Federal laboratories and non-profit scientific and educational institutions. In September 1996, Public Law 104-208 reauthorized the STTR program through FY 1997. In December 1997, Public Law 105-135 reauthorized the program through September 30, 2006. In October 2001, Public Law 107-50 reauthorized the STTR program through FY 2009 and increased the program set-aside from 0.15 percent to 0.30 percent which began in FY 2004. The program was extended through continuing resolutions through FY 2011.

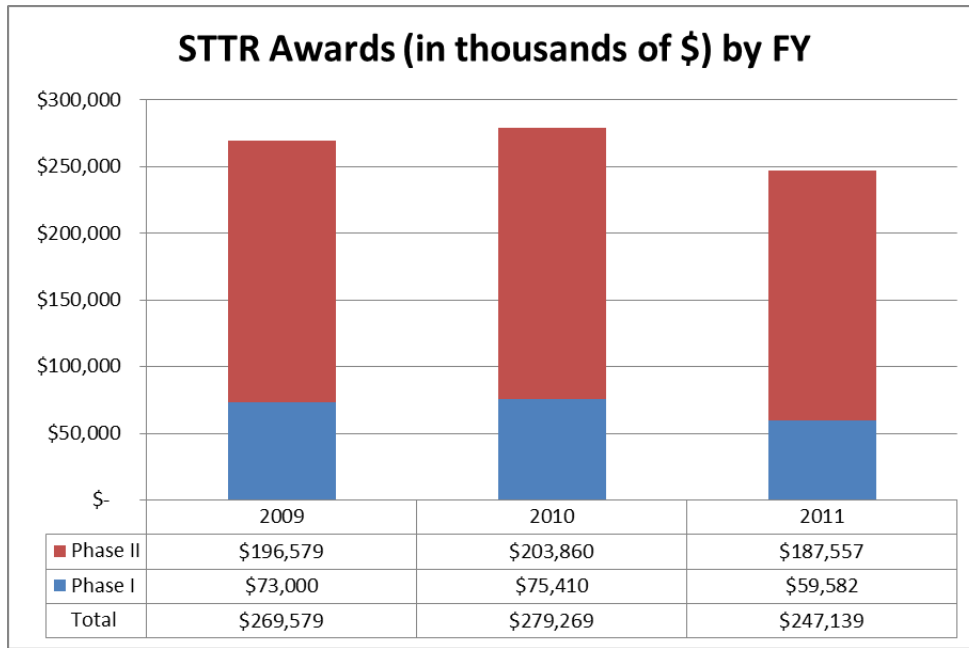
An STTR program is mandated for agencies that have an extramural research and development (R&D) budget greater than \$1 billion. As of October 1, 2011, there are 5 agencies that meet this requirement;

- Department of Defense (DOD)
- Department of Health & Human Services (HHS)
- Department of Energy (DOE)
- National Aeronautics & Space Administration (NASA)
- National Science Foundation (NSF)

This report highlights the performance of the STTR program as reported to SBA by the participating agencies.

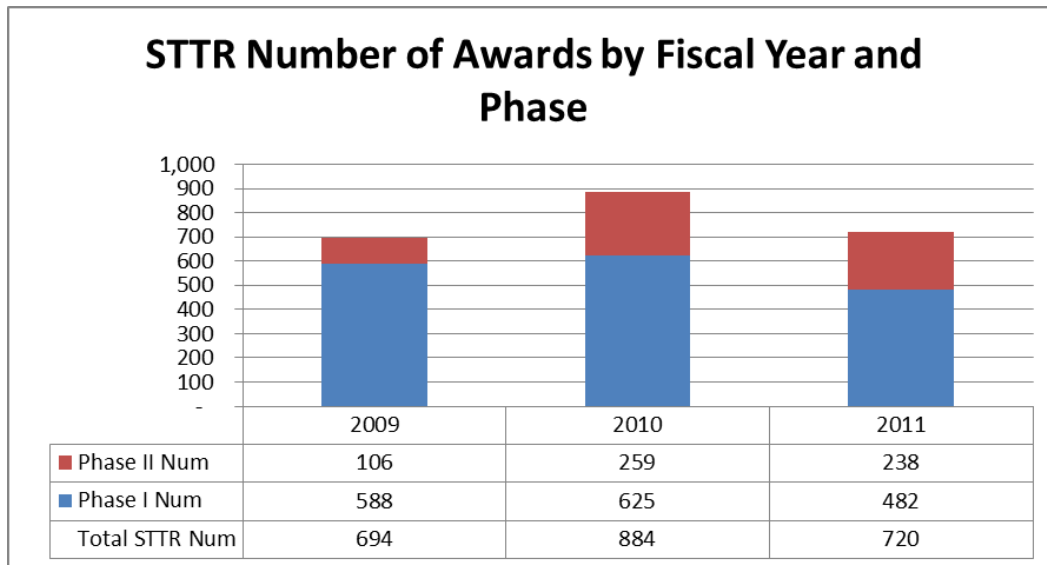
Funding levels of STTR awards modestly decreased 8.2% between FY 2009 and 2011 from \$269 million to \$247 million dollars per year. Similar to SBIR, approximately three quarters of dollars fund Phase II projects.

Exhibit 23 – STTR Award Amounts by Phase for FYs 2009-2011 (In thousands of \$)

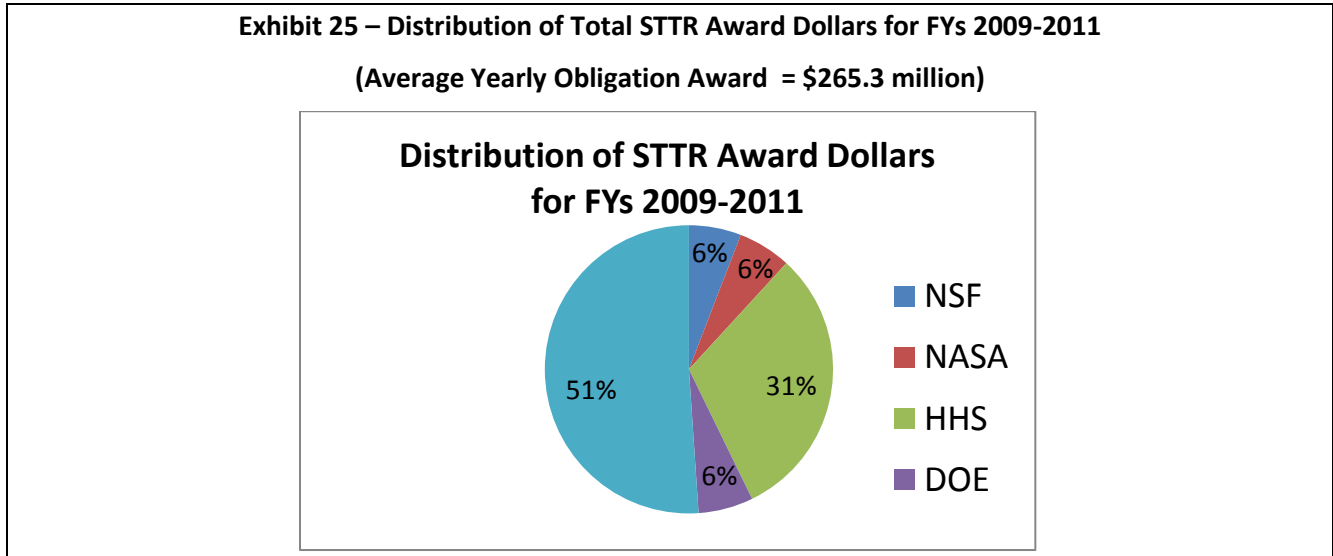


Agencies make approximately 769 STTR awards per year (566 for Phase 1 and 203 for Phase 2), with some year to year variation. Approximately, two thirds of the total awards made are to smaller sized Phase 1 awards. Generally, the number of STTR awards ranges between 700-900 awards annually.

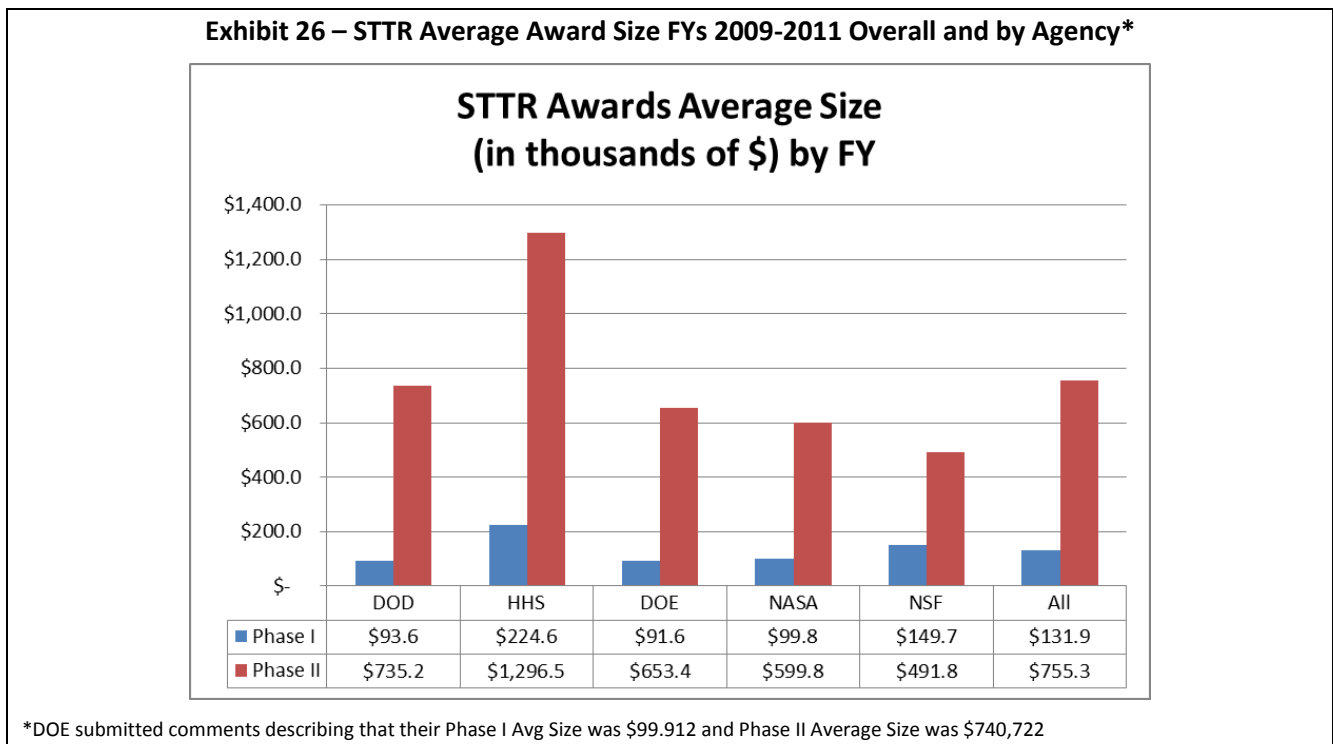
Exhibit 24 – STTR Award Number by Phase for FYs 2009-2011



In terms of agency composition, 51% of STTR award dollars originate with DOD, 31% with HHS, while DOE, NASA, and NSF each contribute 6% of STTR award dollars.



The STTR average award size tends to vary by agency. While all other agencies maintained average award sizes below the award size guidelines, HHS awards were significantly higher.



c. Solicitations and Proposal Acceptance Rates

The number of solicitations and topics vary from year to year. From 2009 –z 2011, in aggregate, agencies on average issued 6 solicitations each year with an average of 310 topics. Over the past three years, 18 solicitations have been issued with an average of 57 topics per solicitation.

Exhibit 27 – STTR Solicitations and Topics FYs 2009 – 2011		
	Number of Solicitations	Number of Topics
2009	6	353
2010	6	350
2011	6	331

To get a better sense of the makeup of these solicitations, we look at the average number of solicitations per year over the past three years. DOD has 2 solicitations per year while DOE, HHS, NASA, and NSF each has one.

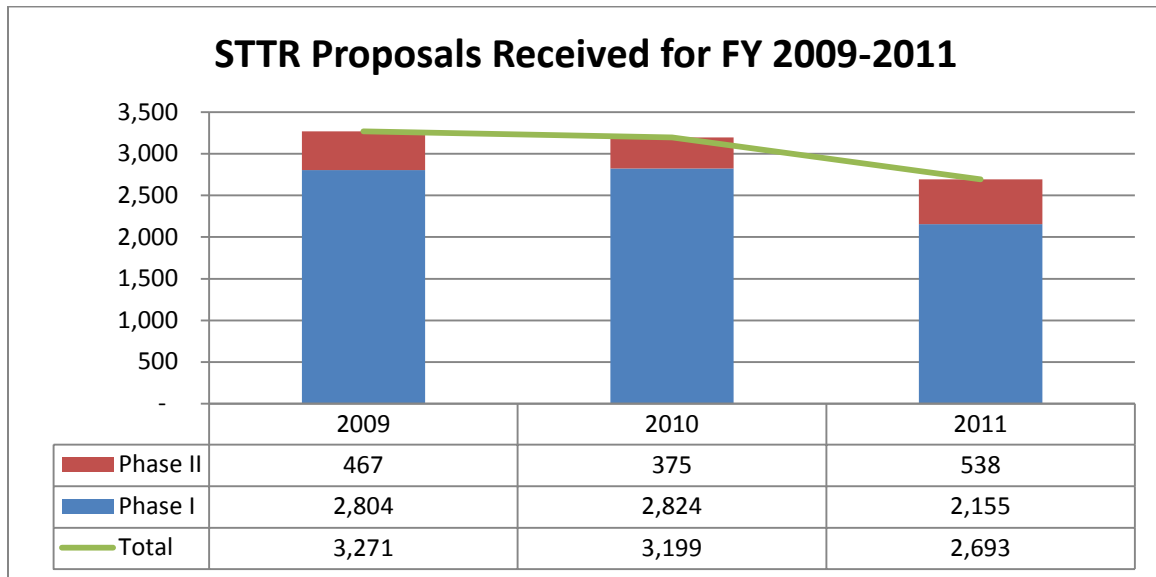
Exhibit 28 – Agencies Grouped By Average Number of Solicitations Per Year between FYs 2009 – 2011	
<i># of Solicitations</i>	<i>Agencies</i>
1	HHS, DOE, NASA, NSF
2	DOD
<i>Agency Avg</i>	1.2

As shown in the table below, the average number of topics has decreased from 70.6 per agency in 2009 to 44.8 per agency in 2011. As DOD accounts for about one third of the topics, a decrease in DOD topics affects the overall total and average of all topics issued that fiscal year.

Exhibit 29 – STTR Topics by Year from FYs 2009 – 2011							
	DOD	HHS	DOE	NASA	NSF	Avg	Total
2009	123	153	66	10	1	70.6	353
2010	126	68	68	10	1	70	350
2011	111	139	71	10	1	44.8	224

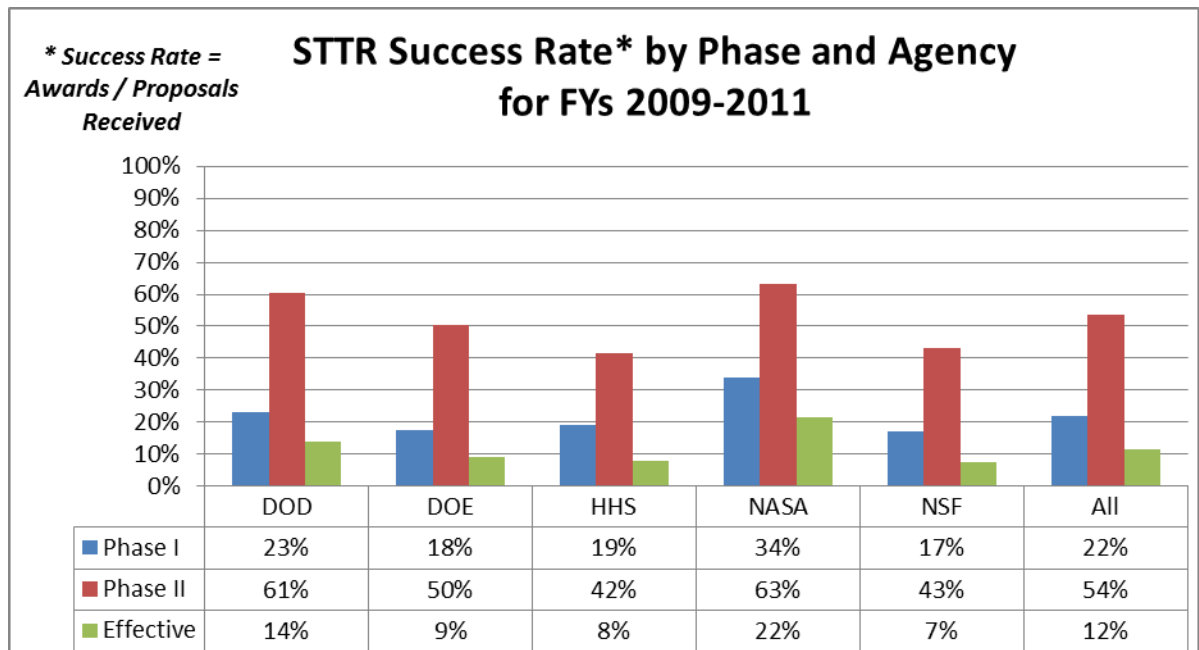
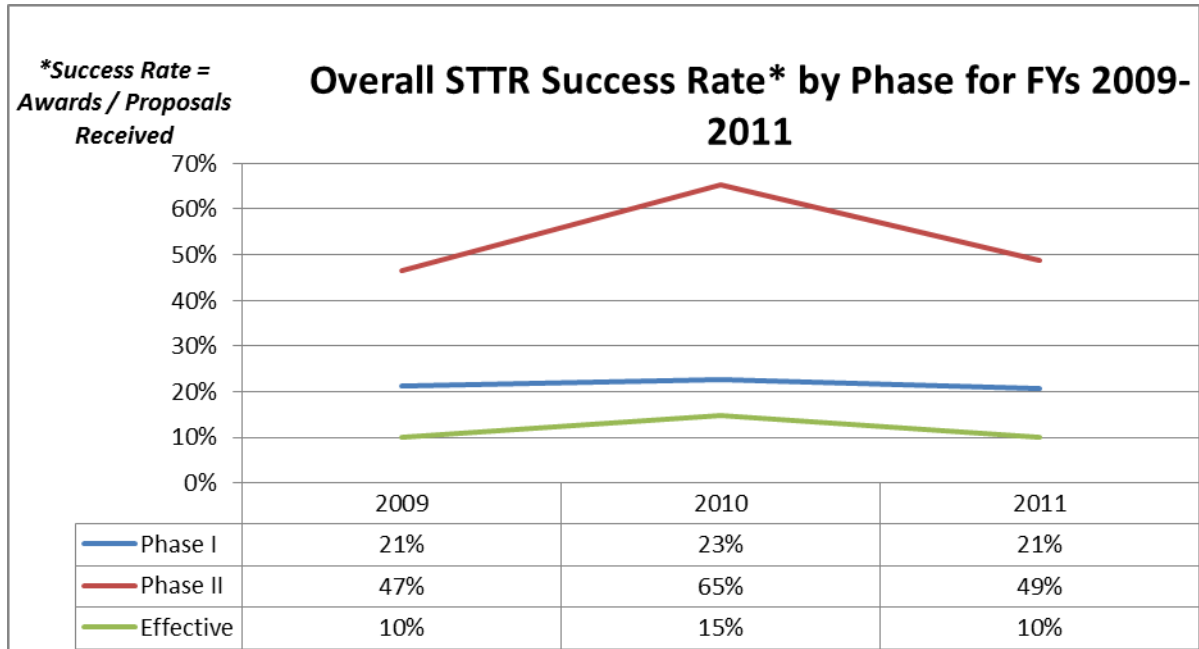
Over the past three years, applicants have submitted over 9,000 applications. Between FY 2009 and FY 2011, the combined average of Phase I and II proposals received was 3,000. The number of proposals submitted have stayed relatively consistent on a yearly basis with a modest decrease because of a decrease in topics.

Exhibit 30 – STTR Proposals Received for FY 2009-2011 by FY and Agency



Based on the number of awards, the proposal acceptance rates (Number of Awards/Number of Proposals) averaged approximately 22% for Phase I applicants and 51% for Phase II applicants. To determine the likelihood that a new proposal would receive a Phase II Award, we multiply the proposal acceptance rates in Phase I by the rates for Phase II to see what the likely acceptance of a Phase I proposal reaching Phase II would be. To note, this calculation does also include Phase I awardees who choose not to apply for a Phase II grant. From 2009 to 2011, the effective proposal acceptance rate of STTR was 12% meaning that a proposal has a 12% chance of receiving a Phase I award and a subsequent Phase II award.

Exhibit 31 – STTR Proposal Acceptance Rate for FY 2009-2011 by FY and Agency



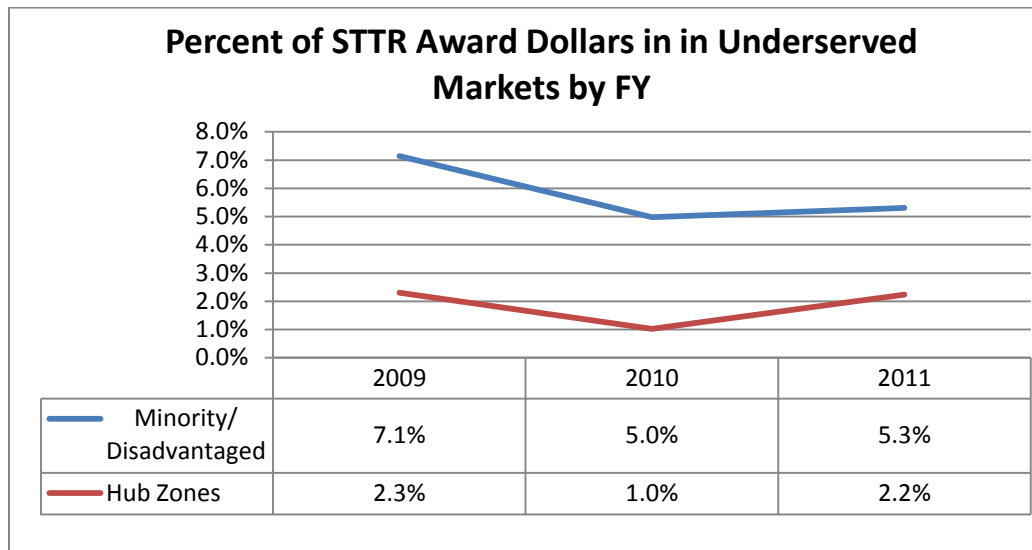
d. Impact

In measuring the impact of the STTR program, SBA looks at the percentage of awards to historically underserved communities. SBA and participating program agencies are improving data collection and categorization regarding women-owned firms, state breakdown, and number of companies served and will offer more robust analysis of underserved communities in the future.

Underserved Communities. Between FY 2009 and FY 2011, there has been a 0.1% decrease in the number of HUBZone certified firms that received STTR awards and a 1.8% decrease in the number of firms owned by minority/disadvantaged groups that have received STTR awards. There is some overlap between these numbers, for example, some minority-owned or disadvantaged companies can also be located in HUBZones.

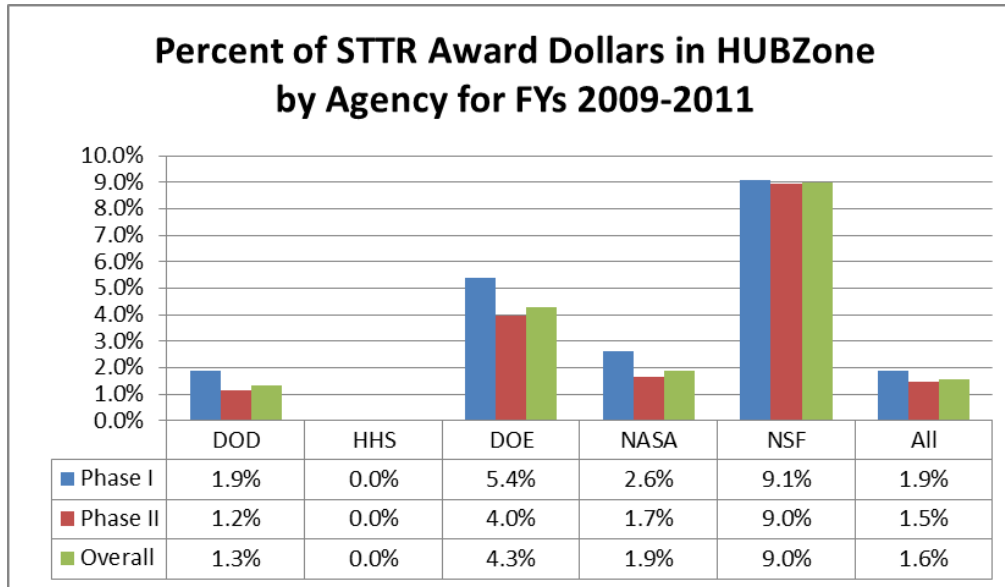
Regarding awards to women-owned businesses and in terms of state breakdown, the STTR program was unable to compile relevant information because of data validity concerns. Nevertheless, SBA is confident that the numbers represented in the SBIR section are an accurate reflection of women-owned businesses and state distribution in the STTR program.

Exhibit 32 – Percent of STTR Award Dollars in Underserved Communities for FYs 2009 – 2011



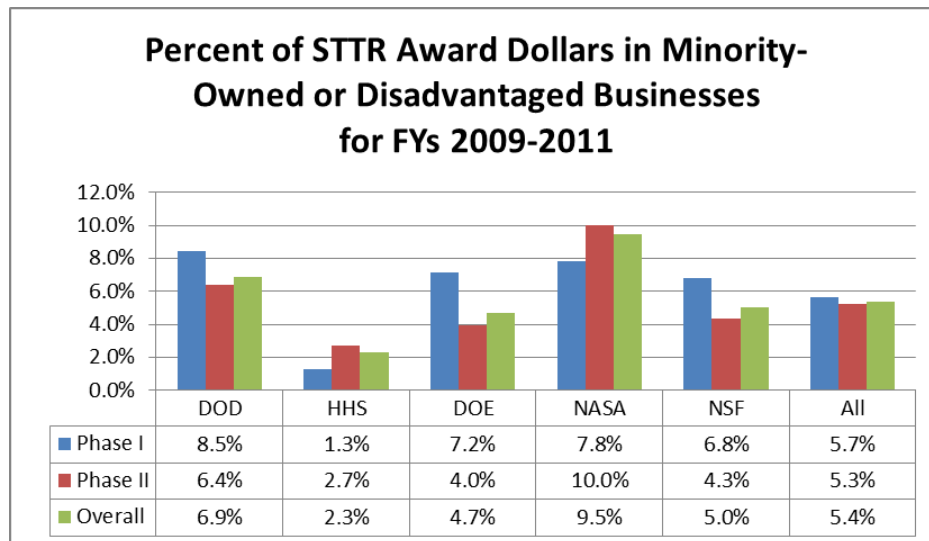
Between FY 2009 and FY 2011, the STTR program awarded over \$12 million dollars to HUBZone certified companies. Nevertheless, there is significant variance among the agencies regarding the number of STTR awards made to HUBZone certified firms.

Exhibit 33 – Percent of STTR Award Dollars to HUBZone Certified Businesses by Agency for FYs 2009-2011



In regards to STTR dollars going to minority-owned or disadvantaged businesses, the STTR program awarded a total of \$44 million (\$11.9 million in Phase 1 and \$32.1 million in Phase 2, see Appendix E) to these firms. Every agency gave money to a minority-owned or disadvantaged business. NASA made the largest number of STTR awards to minority-owned or disadvantaged businesses during FY 2009-2011.

Exhibit 34 – Percent of STTR Dollars in Minority-Owned/Disadvantaged Businesses by Agency for FYs 2009-2011



e. Agency Compliance

SBA measures agency compliance based on the ratio of STTR award obligations to the agency’s Extramural Budget and agency response times. To note, agencies self-reported the data below for the charts related to award obligations, extramural budget calculations, and agency response times.

STTR Obligated To Extramural Budget Ratio. In general, agencies with extramural research and development (R&D) budgets that exceed \$1 billion are required to obligate at least 0.3% of their Extramural Budget for SBIR awards.

Given the complexities of annual budget cycles, the prevalence of Congressional Continuing Resolutions, uncertainty on timelines on making awards, and other factors, there is significant variability in year-to-year performance. However, looking at three and five year averages gives a sense of an agency’s performance over time.

As a whole and on average, the STTR program met the 0.3% small business obligation over the 3-year time period from FY 2009-2011. DOD, HHS, NASA, and NASA averaged at or above the 0.3% target over the 3-year period. DOE averaged just shy of the target averaging 0.29% over a three year period.

Exhibit 35 – Agency STTR Obligated to Extramural Budget Percentage FYs 2009 -2011

Agency	2009	2010	2011	2009-2011	Number at or Above 0.3%
DOD	0.30%	0.31%	0.31%	0.31%	3
DOE	0.29%	0.26%	0.32%	0.29%	1
HHS	0.37%	0.34%	0.32%	0.34%	3
NASA	0.19%	0.34%	0.41%	0.31%	2
NSF	0.38%	0.26%	0.27%	0.30%	1
Overall	0.31%	0.30%	0.33%	0.31%	3

Legend

At or above 0.30%

0.28% to 0.29%

Less than 0.28%

*HHS and SBA used different sets of extramural calculations (see appendix E); however, both calculations show that HHS is in compliance with the 0.30% budget obligation.

f. Energy Independence and Security Act of 2007

On December 19, 2007, the President signed into law the Energy Independence and Security Act of 2007 (Public Law 110-140 codified at 15 U.S.C. §638(z) (1)-(3)), directing the SBA to:

- Ensure that STTR agencies give high priority to small business concerns that participate in or conduct energy efficiency or renewable energy system research and development projects;
- Include in SBA's annual report to Congress a determination of whether such priority is being carried out;
- Consult with the heads of the agencies in determining whether such priority has been given; and
- Issue guidelines and directives to assist the participating agencies in meeting these requirements.

On September 3, 2009, guidelines were issued to the participating agencies for meeting the requirements.

The STTR program solicitations have included energy efficiency or renewable energy topics. Some of those topics or technology areas are:

- Contaminate Removal for Laboratory Pharmaceutical Synthesis
- Portable Photoacoustic Microscopy
- Compact Lightweight Intelligent Cartridge for Interoperable Fuel Transport
- Heat Actuated Cooling System
- High Power and Capacity Anode for Thermal Battery
- Spinning Inertia Energy Scavenger by Thin-Film Alternator
- Standardized Ultraportable Rugged Fuel-Cell Automated Carrier Equipment
- Cathode Improvements for Thermal Batteries
- Hybrid Harvesting Energy for Wireless Sensor Networks
- Solar Refrigeration
- Thin Film Thermal Batteries
- Solid State Lighting
- Core Technology for Organic Light Emitting Diodes
- Energy Efficient Membranes
- Selective Catalytic Conversion of Fossil Feedstocks
- Biomass Deconstruction and Catalytic Conversion to Fuels
- Nanotechnology Applications in Electronics, Sensors, and Controls
- Technologies to Assess the Behavior of a Lithium-Ion Cell Containing and Internal Short Circuit
- Process Heat Transfer Enhancement
- High Intensity Discharge Lamps
- Biomass Densification
- Advanced Hydropower Systems
- Advanced Exploration Technologies for Hidden Geothermal Resources
- Hydrogen Home Fueling System
- High Efficiency Organic or Sensitized Photovoltaic Cells
- Development of Hydrogen/Halogen Fuel Cell Technology Renewable Based-Energy Storage
- Advanced Materials for High Energy Density Electrochemical Capacitors, and Next Generation Ultra-Low Power Microprocessor Design
- Advanced Electrodes and Electrolytes for Improved Energy Density and Safety Lithium-Ion Batteries
- CO₂ Harvesting and Mobile Production of Liquid Fuel (CHAMP-Fuel)
- Bright White Tandem OLED with Carbon Nanotube Hole Injecting Interlayer
- Self-Assembled Rare Earth Doped Nanostructured Metal Aluminate Phosphors

- Novel High Performance Permeation Barrier for Long Lifetime Flexible OLED Lighting
- Rapid Hydrogen and Methane Sensors for Wireless Leak Detection
- Lightweight IMM Multi-Junction Photovoltaic Flexible Blanket Assembly
- Real Time Optical Control System for Thin Film Solar Cell Manufacturing
- Oxidation Resistant Carbon Supports For Fuel Cells
- Bright White Tandem OLED with Carbon Nanotube Hole Injecting Interlayer
- Self-Assembled Rare Earth Doped Nanostructured Metal Aluminate Phosphors

In addition to energy efficiency and renewable energy topics in the STTR solicitations, other mechanisms used to give priority to energy efficiency include outreach to raise awareness of the Energy Independence and Security Act of 2007 to the small business research community through presentations, conferences, meetings, and website notices.

g. STTR Data Collection Score Card for FY2011

Exhibit 36 – STTR Data Collection Agency Scorecard for FY2011

<u>Agency</u>	<u>Solicitation/Awards</u>	<u>Compliance/Budget</u>	<u>Special Groups</u>	<u>Timelines</u>
NSF	Green (05/25/2012)	Green (05/25/2012)	Green (05/25/2012)	Green (05/25/2012)
NASA	Green (06/12/2012)	Green (06/12/2012)	Green (06/12/2012)	Green (06/12/2012)
DOE	Yellow (07/14/2012)	Yellow (07/14/2012)	Yellow (07/14/2012)	Yellow (07/14/2012)
HHS	Yellow (09/14/2012)	Yellow (09/14/2012)	Yellow (09/14/2012)	Yellow (09/14/2012)
DOD	Red (10/18/2012)	Red (10/18/2012)	Red (10/18/2012)	Red (10/18/2012)

Green: Data submitted within 90 days of the statutory deadline (June 15, 2012 or earlier).
Yellow: Data submitted within 180 days after the statutory deadline (September 15, 2012 or earlier).
Red: Data submitted after 180 days after the statutory deadline (September 16, 2012 or after).

On-time reporting

On time reporting is important in measuring program performance and to ensure that the program is consistent with the statute. Timely reporting also helps increase program transparency and governance, enables prospective program applicants to better assess the fit of the program, and enables stakeholders to evaluate program performance.

In March 2011 SBA announced a new online Annual Report data collection process for the FY 2011 Annual Report and extended the SBIR and STTR annual report data submission deadline to May 21, 2012 to help enable the transition to a new format annual reporting system.

Reporting Categories

Each participating STTR agency is required to submit data on solicitations and awards, compliance toward extramural contribution to the STTR program, special group participation (e.g. minority-owned, women-owned, and HUBZone certified business), and the reporting of agency timelines on proposal evaluations and dispersal of award funding.

Agency Reporting Performance

Two of the five participating agencies submitted all program data within 90 days of the statutory deadline for FY 2011. These agencies were NASA and NSF.

Two agencies submitted program data within 180 days of the statutory FY 2011 annual reporting deadline. These agencies were DOE and HHS.

DOD submitted the draft version of its FY 2011 data more than seven months (10/18/2012) after the statutory deadline. DOD submitted the agency report data for FY 2011 more than eleven months (02/06/2013) after the statutory deadline.

Technical Difficulty

Agencies experienced varying levels of difficulty with the new data reporting system. SBA gave more flexibility to agencies beyond the regular submission deadline from March 15, 2012 to June 15, 2012 to adapt to a new annual reporting technical system. DOD, DOE, and HHS voiced objection to publishing the dates of STTR data submission for FY2011 due to the technical difficulties they encountered with SBA's new data reporting system. These agencies assert that the lateness in the submission of the data was attributable to technical issues, outside of the control of these agencies.

In order to resolve technical issues, SBA hosted a series of conference calls with HHS and DOD, which also included SBA and DOD's respective contractors, REI, Inc. and BRTRC.

4. Key Initiatives

a. *TechNet*

The role of the SBA is to oversee and coordinate the efforts of the eleven participating agencies in the SBIR/STTR program. SBA coordinates the solicitation schedules at the participating agencies, collects and maintains the data required to assess the SBIR/STTR program and reports to the U.S. Congress about the programs. SBA's core reporting responsibilities are reporting the number of awards, amount of money spent, and the performance of participating agencies in meeting minimum small business set aside thresholds.

The purpose of the investment in TechNet is to meet statutory reporting requirements through an enhanced TechNet database and development of the SBIR.gov portal, which provide a central repository for interested stakeholders to learn about the SBIR program and solicitations and to provide value for companies in Phases I-III of the program. The SBIR/STTR system provides a secure web based electronic system for the collection of Phase I and Phase II award information, company information and Non-Awardee information, as mandated by the U.S. Congress. In the future, the platform is also expected to collect and host proposals, company applications, Commercialization Phase III information, and to provide transparency to mitigate fraud, waste and abuse within the program.

The upgrades to TechNet will help SBA and participating agencies improve SBIR operations and reporting of commercialization outcomes. The enhanced TechNet system closes many performance gaps in the SBIR/STTR program, including the ability to collect and maintain data that is required to assess the SBIR/STTR program and report information to the U.S. Congress. Before the investment in TechNet, the SBA SBIR program collected much of its information by paper and the program office was unable to reconcile the paper-based annual reports submitted by Agencies with the information entered into TechNet. The enhanced TechNet investment has created a centralized place to collect, catalogue, and display program metrics for public and internal use.

Additionally, the transfer and enhancement of SBIR.gov from NSF to SBA continues to drive enhanced public outreach about the program. The SBIR.gov portal provides:

- The ability to segment visitors into roles and create targeted splash/landing pages based on visitors' interests and needs: Applicant, Awardees, Investor, Large Business Concern, SBIR/STTR Agencies, Other Interested Citizens;
- Provide web-based outreach tools to users, such as conference listings and registration links, agency information and links, and blogging; and
- Provide an area for identifying Licensing Opportunities for investors and entrepreneurs

The SBIR/STTR program was reauthorized through 2017 by the U.S. Congress in December 2011 as part of the National Defense Authorization Act of 2012. SBA is focused on implementing the reauthorization and translating the statute into more detailed regulations and directives that will govern how the program will work and be administered. There are two governing bodies of rules for SBIR/STTR that need to be modified before all the changes can take effect: (1) SBA size and eligibility regulations and (2) SBIR/STTR policy directives. These are broader SBA regulations that define what constitutes a small business and the eligibility requirements for the SBIR/STTR programs. The reauthorization modified the requirements for venture capital participation, domestic ownership and affiliation as related to the SBIR/STTR programs. Minor enhancements to the TechNet system will be made to accommodate these changes.

Additional enhancements are planned as a result of the SBIR reauthorization. Key changes include, but are not limited to:

- More support for commercialization efforts and enhanced provisions for Phase III transitions;
- Greater reporting from agencies to increase accountability in the program; and
- Stronger measures to prevent fraud, waste, and abuse in the program.

The investment objectives continue to support the new SBIR policy directives and enhancements. Additionally, benchmarks will be established to measure the effectiveness of these changes. The system will support the gathering of statutorily required information from both applicants and agencies, and support the new measures put in place to address fraud, waste and abuse.

b. Tibbetts/Hall of Fame Awards

Named after Roland Tibbetts, the pioneer of SBIR program, Tibbetts Awards are presented to companies and individuals from all over the United States who are beacons of promise and models of excellence for achieving commercial success through the SBIR program.

The Tibbetts Award winners are selected based on the economic impact of their technological innovation, and on whether they have met federal research and development needs, encouraged diverse participation in technological innovation, and increased the commercialization of federal research.

In addition, the Hall of Fame award recognizes companies that have an extended period of extraordinary success of research, innovation, and product commercialization.

SBA brought the Tibbetts and Hall of Fame Awards back from hiatus and began collecting nominations for 2011. On February 15, 2011, forty-four small businesses and eight individuals were honored for the critical role that they play in research and development for the government and for their success in driving innovation and creating new jobs.

The complete list of Tibbetts Award winners can be found at: <http://sbir.gov/news/2011-tibbetts-awards-ceremony>

The SBA also presented eight Hall of Fame awards to companies with extraordinary records of accomplishments through the SBIR program over the past thirty years. Award winners include:

- A123 Systems – Westborough, MA
- Advanced Ceramics Research (BAE Systems) – Tucson, AZ
- ATMI – Danbury, CT
- ROBOT Corp. – Bedford, MA
- MARTEK Corp. – Columbia, MD
- Qualcomm, Inc. – San Diego, CA
- Symantec – Mountain View, CA
- ViaSat, Inc. – Carlsbad, CA

c. Program Effectiveness and Leveraging Best Practices

The SBA announced a series of improvements in the fall of 2010 to increase the effectiveness and efficiency of the overall program. The initiatives center on leveraging best practices among existing agencies, as well as implementing broader Administration priorities such as increasing transparency. Some of the key initiatives include: building a unified web portal; establishing intramural technology transfer topics; expanding bridge financing programs; implementing and publishing performance management metrics; decreasing timelines to award; and releasing joint solicitations between agencies.

The purpose of these changes was to make the program more entrepreneur-friendly and to ensure that entrepreneurs have the support they need to do what they do best – innovate and create jobs. By leveraging best practices among the 11 agencies who participate in the SBIR program and strengthening performance measurements to ensure effective operation government wide, these key initiatives will produce better results for the program.

To increase program effectiveness and help agencies share best practices, SBA focused on:

- **Unified web portal and performance management** – SBA launched the SBIR.gov/Tech-Net public facing website on August 1, 2011 and launched the Government database in fall 2011. More details are in the Tech-Net section of this report.
- **Performance management framework** – Previously, there was not a comprehensive method to measure performance across the SBIR agencies against the program’s statutory goals. SBA is working to develop a set of measures that will be useful indicators of SBIR program performance that will focus on commercialization of awardees, the existence and treatment of repeat-award winners, and the timeliness of award milestones. The performance management indicators have been drafted and reviewed by Agencies through multiple drafts. The data will be collected through Tech-Net and the Annual Report.
- **Intramural technology transfer topics** – There exists a great potential for SBIR programs to fund targeted innovations leading to the advancement of federal intramural lab technologies and enhancing small business commercialization prospects. By using the SBIR open competition model, the small businesses that are most suited to conduct the required follow-on research to fully exploit the federal technologies will be identified and supported toward that end. SBIR agencies will seek to replicate the NIST model of using the SBIR program as a platform for intramural technology transfer. In spring 2011, at least 8 new solicitation topics by 3 agencies were provided on intramural technologies for technology transfer. This is in addition to the NIST program.
- **Bridge financing program** – Companies coming out of the SBIR program frequently find fundraising difficult – the frequently cited “Valley of Death”. This initiative will look to expand successful “bridge financing” programs launched at several agencies. These programs provide supplemental funding to Phase II awardees, based on a match with private investment. These efforts more fully leverage SBIR dollars and increase the alignment with the private sector.
- **Timelines between the close of the solicitation and award** – One of the most challenging aspects has been to drive down timelines between the close of the solicitation and the issuance of an award. From the perspective of SBIR applicants, if the time from application to award takes too long it discourages potential applicants. This effort focuses on: (1) agencies committing to dramatically

improving cycle times; (2) publishing the timeline data to encourage accountability and transparency; and (3) sharing best practices and making policy changes to shorten the timelines. To address this challenge, SBA has been looking at other programs like the Qualifying Therapeutic Discovery Project Program under the Internal Revenue Service (IRS) with assistance from the National Institutes of Health (NIH), as a model for improving efficiency. At some agencies, more training and education of contracting and granting officers from within the SBIR program offices regarding award processing may be necessary. In Appendix F, we have collected and documented the timelines for parts of the SBIR process at agencies.

- **Joint Solicitations-** The path for identifying SBIR/STTR funding opportunities and other information is inefficient, cumbersome and often intimidating to entrepreneurs. Moreover, many topics cross-cut many (often all) agencies; yet, small business applicants are not aware of these topic similarities. Consequently, opportunities for entrepreneurs may be missed. SBA used SBIR.gov to market a joint-agency SBIR Funding Opportunity Announcement (FOA) focused on robotics that cross-cuts several SBIR agencies led by NIH, and with cooperation and cooperation from NSF, DARPA, USDA, and DHS. Many agencies participated in this joint solicitation. This joint solicitation had a total of 20 Phase I SBIR awards (3 DARPA/DoD, 3 DHS, 9 NIH, 3 NSF, 2 USDA) for a total of \$2,182,318. Out of that number, 16 solicitations were funded in FY11 for \$1,602,792 (3 DARPA, 3 DHS, 8 NIH, 2 USDA) and 4 were funded in FY12 for \$579,526 (1 NIH, 3 NSF). See here for more information on the Joint Robotics SBIR PAR-10-279: <http://grants.nih.gov/grants/guide/pa-files/PAR-10-279.html> .

5. Appendix A – Geographic SBIR Award Data for FYs 2009-2011

	State	Award Amount	Award Number	State	Award Amount	Award Number
Top 10				Remainder		
	1 CA	\$ 1,281,320,132	3,876	26 UT	\$ 50,844,376	151
	2 MA	\$ 849,779,977	2,419	27 TN	\$ 48,440,475	141
	3 VA	\$ 384,043,021	1,251	28 MO	\$ 40,456,882	138
	4 NY	\$ 360,429,019	939	29 KY	\$ 36,519,061	88
	5 MD	\$ 336,656,477	910	30 SC	\$ 31,012,700	86
	6 CO	\$ 307,000,289	916	31 MT	\$ 29,308,617	88
	7 PA	\$ 253,557,711	752	32 DE	\$ 28,331,523	102
	8 TX	\$ 252,742,114	853	33 HI	\$ 25,628,255	85
	9 OH	\$ 248,698,639	769	34 AR	\$ 25,246,626	88
	10 NJ	\$ 185,796,445	508	35 OK	\$ 25,084,028	48
				36 RI	\$ 23,395,384	51
Next 15				37 IA	\$ 19,226,177	59
	11 MI	\$ 182,778,583	485	38 VT	\$ 17,063,204	51
	12 FL	\$ 163,172,920	510	39 NE	\$ 14,963,181	41
	13 NC	\$ 155,365,623	356	40 LA	\$ 14,804,941	38
	14 WA	\$ 146,079,507	393	41 ME	\$ 14,161,259	58
	15 IL	\$ 141,997,549	429	42 NV	\$ 13,798,301	52
	16 AL	\$ 130,986,326	419	43 KS	\$ 13,631,742	52
	17 AZ	\$ 125,722,906	408	44 ID	\$ 11,741,753	43
	18 OR	\$ 115,795,290	249	45 WV	\$ 11,526,321	34
	19 CT	\$ 102,755,929	323	46 WY	\$ 8,366,844	36
	20 WI	\$ 98,688,448	216	47 MS	\$ 8,007,480	32
	21 NH	\$ 86,250,644	251	48 ND	\$ 6,888,600	13
	22 NM	\$ 85,968,708	280	49 DC	\$ 6,760,455	23
	23 MN	\$ 79,996,100	240	50 SD	\$ 2,641,970	13
	24 GA	\$ 76,998,618	228	51 AK	\$ 2,019,222	7
	25 IN	\$ 64,732,506	218	52 PR	\$ 649,947	3
				53 FM	\$ 85,200	1
				Grand Total	\$ 6,747,918,007	19,820

6. Appendix B – Extramural Budget Calculation for FY2011

Below are extramural budget calculations provided directly from participating SBIR and STTR agencies. The comprehensiveness of these budget explanations vary widely. SBA will work with participating agencies to gain greater clarity and transparency on how these budget calculations are computed.

Department of Defense:

The methodology used for calculating the amount of the extramural budget is as follows:

Total Component RDT&E budget appropriation, less Congressional Reductions, less OSD Reductions, less Programs exempted by statute (15 USC 638 (e)(2)), less Intramural RDT&E (15 USC 638 (e)(1)), equals Total Extramural RDT&E budget base for SBIR and STTR assessment.

Department of Health and Human Services:

NIH – The calculation for the extramural research and development base used to determine the set-aside for the Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs includes Research Grants, R&D contracts, the extramural portion of the Cancer Control program (prior to FY 2008), and extramural grants in the National Library of Medicine (NLM). (Medical Library Assistance Awards (MLAA) grants are not included; these are support grants; NLM extramural contracts are not included, as these are service and support contracts.) A proration is made for certain minority programs (MBRS/BRS) and the Fogarty International Center, whose grant portfolio does not lend itself to small business awards. MBRS/BRS awards are made to institutions to strengthen, balance, and stabilize their programs. The program provides flexible funds on a formula basis. The amounts are provided to the Institutes and Centers (ICs). This calculation establishes the minimum that each IC must set-aside for SBIR/STTR awards. ICs have the option of spending more.

CDC – CDC participates in the National Science Foundation’s (NSF) annual Federal Funds survey*. This survey is the primary source of information about Federal funding for R&D in the United States. Federal Funds data, as collected, span 3 government fiscal years: the fiscal year just completed, the current fiscal year, and the next fiscal year. Actual data are collected for the year just completed; estimates are obtained for the current and next fiscal year. CDC uses the data generated by the survey (i.e., estimated R&D for current fiscal year) to calculate our annual extramural R/R&D from which the SBIR set-aside is derived.

*The results of NSF’s Federal Funds survey are used to calculate CDC’s extramural R/R&D data and to derive CDC’s SBIR set-aside. The responses to the NSF survey questions are self-reported by each designated program office within CDC. Extramural activities are defined as those whose primary objective is to build capacity external to CDC by carrying our message throughout the world and improving the effectiveness of management processes or procedures for outside activities: Management and support services for Research & Development activities; Engineering and technical support services to state and local health surveillance systems; Personnel as direct assistance to state and local health departments; Grants or contracts to facilitate state-based education or surveillance; Vaccines for the immunization of children.

In general, we define program support costs as any costs related to the ability of CDC to implement its programs. These are costs that fund people such as project officers for

cooperative agreements, grants, and contracts, or other activities and/or functions that are necessary to assure programs in the field are executed to achieve the greatest health impact and the most efficient use of resources. In addition, program support activities include some aspects of CDC's work in surveillance, evaluation, epidemiology, and intramural research. While the majority of these costs are not external to the Agency (i.e. CDC onsite staff or contractors provide the support), they are important to the execution and evaluation of programs in the field. These activities have a primary objective to build capacity external to CDC by improving the effectiveness of management processes or procedures for outside activities. These activities are an essential part of the Agency's core mission; our work would not be possible without these costs.

FDA – The calculation for the extramural research and development base used to determine the set-aside for the Small Business Innovation Research (SBIR) Programs include Research Grants, and R&D contracts. FDA took the extramural research budget for FY 2011 and calculated 2.5%.

ACF -- ACF took the research budget for FY 2011 and calculated 2.5%.

Department of Energy:

The DOE calculates extramural R&D as follows: Each year, DOE collects and reports data on its R&D funding. Two major categories are used to report this data: "Conduct of R&D" that includes basic and applied research and development; and "Facilities" that includes all capital projects. Only "Conduct of R&D" obligations are assessed for SBIR.

A very substantial portion of the DOE "Conduct of R&D" budget is related to the DOE's defense mission. Most defense-related funding is exempted from SBIR assessments by language in the Small Business Research and Development Act of 1992 (P.L. 102-564) that states "...for the Department of Energy it shall not include amounts obligated for atomic energy defense programs solely for weapons activities or for naval reactor programs." The above data adjusts for that portion of total FY 2010 DOE R&D that is exempted per the Public Law.

Most of the non-exempted R&D is extramural R&D, which is performed in DOE contractor-operated laboratories, or by universities and other contractors. DOE intramural R&D is that which is performed in DOE's government-owned and government-operated laboratories.

National Aeronautics and Space Administration:

- Calculate prior year's extramural R&D obligations as a percentage of total budgeted R&D, adjusted for operational exclusions.
- The calculated percentage of extramural R&D in the year of execution is used as the basis for calculating future estimates for extramural R&D.
- Then, apply the defined statute for SBIR/STTR to the projected estimates for extramural R&D.
- The result is a working estimate for budget authority for SBIR/STTR.

Exclusions:

- Based on the definition of R&D, projects that are operational in nature (not R&D) would be excluded from the analysis of calculating extramural R&D.

– **Examples**

- Space Operations (Space Station excluding ISS Research), Cross Agency Support, Education, Construction and Environmental Compliance & Restoration, and Inspector General
- Missions that have launched and are fully operational, operational satellites.
- Expendable Launch Vehicles (ELV)
- Program & Management Support
- Mission and Ground Operations
- Ongoing review of projects as they mature to operational

National Science Foundation:

At NSF, all costs classified as “conduct of research and development” under OMB Circular A-11’s character classification schedule, with the exception of the costs of the Federally Funded Research and Development Centers (FFRDCs), form the basis for calculating the SBIR and STTR budgets.

The Small Business Innovation Development Act of 1982 defines an agency’s extramural research budget to include, “...total obligations minus amounts obligated for agency activities in or through Government owned and Government-operated facilities...”

NSF Footnote for FY 2009

In FY 2009, the estimate of NSF’s total R&D costs was \$6.095 billion including funds associated with the American Reinvestment & Recovery Act, (ARRA). From this total, the Foundation excluded approximately \$252 million budgeted for the FFRDCs, for a total extramural research and development budget of \$5.770 billion. Applying the statutorily mandated set-aside of 2.50 %, the estimated SBIR budget, including the ARRA funds, was \$144.25 million.

Footnote for FY 2011

In FY 2011, NSF was funded through a full-year continuing resolution that was based on the FY 2010 appropriation. The SBIR and STTR targets established by NSF for FY 2011 in the Current Plan were likewise based upon the FY 2010 target for these two programs. Given the actual obligations for FY 2011, however, we recognize that this approach led to underestimating the amounts required for the targets.

NSF has determined that several changes affecting NSF’s character classifications occurred in FY 2010 and FY 2011, and these changes contributed directly to the agency underestimating the targets for FY 2011.

The character class designations for a number of NSF investments were reviewed and reclassified in this time frame. This led to a shift of over \$400 million from the non-investment and education and training categories to research. These shifts will be maintained going forward, and they have been reflected in NSF’s FY 2012 target for SBIR and STTR.

In addition, there were a number of smaller shifts that were specific to FY 2011. The most noteworthy of these entailed decreased support for major equipment and a corresponding increase for research.

In keeping with NSF's longstanding support for investments in SBIR and STTR, the agency is establishing new procedures to ensure that shifts like those described above are better reflected the annual targets set by the agency following enactment of appropriations.

Department of Agriculture:

Every fiscal year, USDA agency budget officers estimate the amount of funds available for R&D, including how much will be available for extramural R&D.

These estimates are reported to the USDA budget office and forwarded to the National Institute of Food and Agriculture, which manages the SBIR Program for USDA.

Department of Homeland Security:

Science and Technology (S&T) Directorate

A detailed explanation of the methodology the S&T Directorate used for calculating its extramural RR&D: Per the Science and Technology (S&T) Directorate CFO, in FY11, the S&T Directorate received \$686.7M in its RDA&O appropriation. Of that amount, \$140M was for the operations, maintenance and construction of DHS labs, \$13M for Standards, \$6.5M for Test and Evaluation oversight, \$7.9M for Safety Act, \$8.7M for Scholars and Fellows, and Minority Serving Institutions. The remainder is \$499.6M for R&D funding of which \$135.1M goes to intramural R&D and \$364.5M goes to extramural R&D. The 2.5% SBIR assessment of this amount should have been \$9,111,264. However, the S&T Directorate provided \$11,821,580 for the S&T SBIR Program, exceeding the 2.5% statutory amount.

Domestic Nuclear Detection Office (DNDO)

A detailed explanation of the methodology the S&T Directorate used for calculating its extramural RR&D: Per the Domestic Nuclear Detection Office (DNDO) Budget and Finance Manager, in FY11, DNDO received \$274.886M in its RD&O appropriation. Of that amount, approximately \$103.880M was classified under object class 25.5 "Research and Development of Contracts". The 2.5% assessment of this amount should have been \$2.597M. However, in FY11, DNDO classified additional projects under object class 25.5 and subsequently provided \$4.75M for the DNDO SBIR Program within its FY2011 Spend Plan, exceeding the 2.5% statutory amount.

Department of Education:

To ensure compliance with Federal requirements for the Small Business Innovation Research (SBIR) program, the Department of Education (ED) uses its most recent actual obligations for research and development, as reported to the National Science Foundation for the Survey of Federal Funds for Research and Development. These obligations are calculated by the Budget Service with the assistance of program analysts who have detailed knowledge of program budgets, plans, and operations.

Because ED supports extramural research and development through a variety of programs with different purposes, structures, and authorizations, different approaches are more appropriate or efficient when used with particular programs. Most research and development activities supported by ED are administered by one of its two research agencies, the Institute of Education Sciences (IES) and the National Institute on Disability and Rehabilitation Research (NIDRR). Through their primary programs of research, these agencies also support extensive dissemination and knowledge utilization activities, as well as training and fellowship programs to expand the capacity of their respective fields to conduct rigorous research and development. To determine the overall share of program resources that support extramural research and development, ED periodically reviews grants and contracts awarded under each competition, topic, or program of research (e.g., research on reading and writing education or model systems for rehabilitation of burn injuries). For each competition, topic, or program of research, analysts determine the average share of each award that supports basic or applied research and development.

ED also supports research and development through smaller programs or set-asides under larger programs. For some of these programs, such as the Technology and Media Program in the Special Education account and the National Activities programs within the Career, Technical and Adult Education accounts, there are a small number of awards that analysts review each year to determine the share of each award that supports research and development. For other programs, such as International Research and Studies grants within the International Education and Foreign Language Studies program or the Demonstration Projects to Ensure Quality Higher Education for Students with Disabilities, both in the Higher Education account, the activities authorized under the program result in fairly uniform percentages of research and development supported by each project so a program average is applied to calculate extramural research and development obligations. Based on the most recent actual extramural research and development obligations reported for all programs in the Department, we calculate the amount that must be devoted to the SBIR competitions administered through IES and NIDRR for the coming fiscal year.

Department of Commerce:

NIST uses data contained in its' financial accounting system to determine the total amount of Research and Development funds obligated during the fiscal year. Specific National Science Foundation codes denote that the funds are being used for Research and Development work and unique object classes identify the work as extramural or intramural.

NOAA uses the National Science Foundation definitions of extramural research and development (R&D), defined as R&D performed by organizations outside the Federal sector with Federal funds under grant, contract, or cooperative agreement. The NOAA Line Offices estimate the amount of their extramural R&D by using data on grants, contracts, and cooperative agreements. A number of Cooperative institutes with which NOAA's Office Oceanic and Atmospheric Research has long standing agreements are included in the extramural estimates.

Environmental Protection Agency:

EPA's research and development resources primarily reside in the Office of Research and Development's (ORD) Science and Technology appropriation, with a lesser amount residing in ORD's Superfund appropriation. During the development of the Agency's operating plan (and prior to congressional earmarks), payroll, travel, facility, and operating expenses, and other costs required to support in-house research are excluded from these appropriations. The Agency directs 2.5% of the remaining extramural resources to its SBIR program. In addition, upon determination that ORD will monitor a congressional

earmark, ORD directs 2.5% of those resources to the SBIR program. To facilitate comparison between years, EPA uses enacted budgets in the calculation of SBIR funding because EPA has two year authority to obligate funds.

Department of Transportation:

The Office of the Secretary of Transportation provides us with the final extramural research budget each FY when those numbers are determined. We then calculate the SBIR assessment using the minimum percentages established for that year, in this case, 2.5%.

7. Appendix C – Agency SBIR Profiles

Agency Name: Department of Defense

Awards

FY	Solicitations / Topics	Phase I				Phase II				Total Award Amount (\$ thousands)
		Proposals Received	Number of Awards	Awards / Proposals	Award Amount (\$ thousands)	Proposals Received	Number of Awards	Awards / Proposals	Award Amount (\$ thousands)	
2002	2/890	12,859	2,158	17%	\$ 181,480.0	1,055	661	63%	\$ 439,792.0	\$ 621,272.0
2003	2/926	15,038	2,113	14%	\$ 178,885.0	1,482	1,080	73%	\$ 624,960.0	\$ 803,845.0
2004	4/1086	15,681	2,075	13%	\$ 188,146.0	1,721	1,173	68%	\$ 741,187.0	\$ 929,333.0
2005	3/875	13,480	2,344	17%	\$ 213,209.0	1,649	998	61%	\$ 712,617.0	\$ 925,826.0
2006	3/885	13,253	1,862	14%	\$ 166,008.0	1,532	1,172	77%	\$ 774,102.0	\$ 940,110.0
2007	3/949	12,407	1,982	16%	\$ 177,138.0	1,081	854	79%	\$ 647,960.0	\$ 825,098.0
2008	3/935	12,280	1,826	15%	\$ 161,289.0	1,672	1,034	62%	\$ 734,225.0	\$ 895,514.0
2009	3/789	12,434	2,017	16%	\$ 181,932.0	1,581	922	58%	\$ 657,104.0	\$ 839,036.0
2010	3/753	12,799	2,052	16%	\$ 179,067.0	1,464	1,071	73%	\$ 739,387.0	\$ 918,454.0
2011	3/586	10,304	1,816	18%	\$ 172,734.8	1,737	938	54%	\$ 698,409.5	\$ 871,144.32
Total	29/8674	130,535	20,245	16%	\$ 1,799,888.8	14,974	9,903	66%	\$ 6,769,743.5	\$ 8,569,632.3

Percentage of SBIR Award Dollars to Underserved Communities for Department of Defense

FY	Minority-Owned/Disadvantaged			HUBZone			Women-Owned		
	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$
2007	220	\$ 60,490	7.3%	88	\$ 29,063	3.5%			
2008	198	\$ 67,010	7.5%	72	\$ 27,490	3.1%			
2009	218	\$ 57,107	6.8%	53	\$ 18,494	2.2%	414	\$ 91,315	10.9%
2010	217	\$ 70,150	7.6%	58	\$ 9,849	1.1%	452	\$ 95,862	10.4%
2011	182	\$ 57,912	6.6%	55	\$ 17,476	2.0%	425	\$ 130,486	15.0%
Total	1035	\$ 312,669	7.2%	326	\$ 102,372	2.4%	1291	\$ 317,663	12.1%

Extramural Calculations

Amounts in Millions of \$

FY	Extramural R&D Budget	Required SBIR Budget (2.5% of Extramural R&D Budget)	SBIR Obligated	SBIR share of R&D Extramural Budget	Percent Above or Below Required Amount
2002	\$ 31,059.7	\$ 776.5	\$ 599.0	1.93%	-22.9%
2003	\$ 35,928.1	\$ 898.2	\$ 917.6	2.55%	2.2%
2004	\$ 40,615.6	\$ 1,015.4	\$ 1,016.1	2.50%	0.1%
2005	\$ 42,943.6	\$ 1,073.6	\$ 1,074.3	2.50%	0.1%
2006	\$ 45,437.0	\$ 1,135.9	\$ 1,159.2	2.55%	2.0%
2007	\$ 46,782.3	\$ 1,169.6	\$ 1,106.7	2.37%	-5.4%
2008	\$ 46,857.1	\$ 1,171.4	\$ 1,172.1	2.50%	0.1%
2009	\$ 48,884.9	\$ 1,222.1	\$ 1,254.3	2.57%	2.6%
2010	\$ 47,955.2	\$ 1,198.9	\$ 1,239.5	2.58%	3.4%
2011	\$ 41,678.3	\$ 1,042.0	\$ 1,080.8	2.59%	3.7%
Overall	\$ 428,141.8	\$ 10,703.5	\$ 10,619.7	2.48%	-0.8%

*Agencies are required to obligate at least 2.5% of their R&D Extramural Budget to SBIR awards.

At or above 2.5%

2.45% to 2.49%

Below 2.45%

Agency Name: Department of Health and Human Services

Awards

FY	Solicitations / Topics	Phase I				Phase II				Total Award Amount (\$ thousands)
		Proposals Received	Number of Awards	Awards / Proposals	Award Amount (\$ thousands)	Proposals Received	Number of Awards	Awards / Proposals	Award Amount (\$ thousands)	
2002	2/144	3,472	1,032	30%	\$ 138,748.0	799	391	49%	\$ 347,843.0	\$ 486,591.0
2003	1/170	5,061	1,210	24%	\$ 175,544.0	876	404	46%	\$ 355,512.0	\$ 531,056.0
2004	1/208	5,871	1,212	21%	\$ 191,139.0	944	379	40%	\$ 380,766.0	\$ 571,905.0
2005	2/189	5,462	988	18%	\$ 165,393.0	1,539	390	25%	\$ 414,982.0	\$ 580,375.0
2006	3/210	3,996	870	22%	\$ 147,077.0	899	407	45%	\$ 425,598.0	\$ 572,675.0
2007	2/209	3,439	777	23%	\$ 168,295.0	782	299	38%	\$ 320,461.0	\$ 488,756.0
2008	3/198	3,414	806	24%	\$ 180,717.0	637	312	49%	\$ 361,037.0	\$ 541,754.0
2009	3/215	3,927	739	19%	\$ 194,270.0	739	339	46%	\$ 440,673.0	\$ 634,943.0
2010	3/215	3,927	774	20%	\$ 206,460.0	739	309	42%	\$ 435,386.0	\$ 641,846.0
2011	2/196	5,838	813	14%	\$ 183,833.8	713	292	41%	\$ 428,586.1	\$ 612,419.92
Total	22/1954	44,407	9,221	21%	\$ 1,751,476.8	8,667	3,522	41%	\$ 3,910,844.1	\$ 5,662,320.9

Percentage of SBIR Award Dollars to Underserved Communities for Department of Health and Human Services

FY	Minority-Owned/Disadvantaged			HUBZone			Women-Owned		
	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$
2007	66	\$ 25,510	5.2%	2	\$ 475	0.1%			
2008	69	\$ 27,663	5.1%	2	\$ 475	0.1%			
2009	60	\$ 26,980	4.2%	7	\$ 1,126	0.2%			
2010	60	\$ 24,612	3.8%			0.0%	15	\$ 5,918	0.9%
2011	40	\$ 23,815	3.9%	1	\$ 292	0.0%	140	\$ 89,246	14.6%
Total	295	\$ 128,580	4.5%	12	\$ 2,368	0.1%	155	\$ 95,163	5.2%

Extramural Calculations

Amounts in Millions of \$

FY	Extramural R&D Budget	Required SBIR Budget (2.5% of Extramural R&D Budget)	SBIR Obligated	SBIR share of R&D Extramural Budget	Percent Above or Below Required Amount
2002	\$ 19,180.0	\$ 479.5	\$ 486.7	2.54%	1.5%
2003	\$ 21,383.4	\$ 534.6	\$ 535.5	2.50%	0.2%
2004	\$ 22,912.3	\$ 572.8	\$ 574.7	2.51%	0.3%
2005	\$ 23,161.9	\$ 579.0	\$ 582.6	2.52%	0.6%
2006	\$ 23,274.6	\$ 581.9	\$ 584.0	2.51%	0.4%
2007	\$ 23,616.0	\$ 590.4	\$ 595.9	2.52%	0.9%
2008	\$ 23,544.0	\$ 588.6	\$ 595.0	2.53%	1.1%
2009	\$ 24,334.1	\$ 608.4	\$ 643.6	2.64%	5.8%
2010	\$ 24,965.8	\$ 624.1	\$ 650.0	2.60%	4.1%
2011	\$ 24,713.5	\$ 617.8	\$ 616.9	2.50%	-0.1%
Overall	\$ 231,085.5	\$ 5,777.1	\$ 5,865.1	2.54%	1.5%

*Agencies are required to obligate at least 2.5% of their R&D Extramural Budget to SBIR awards.

At or above 2.5%
2.45% to 2.49%
Below 2.45%

Agency Name: Department of Energy

Awards

FY	Solicitations / Topics	Phase I				Phase II				Total Award Amount (\$ thousands)
		Proposals Received	Number of Awards	Awards / Proposals	Award Amount (\$ thousands)	Proposals Received	Number of Awards	Awards / Proposals	Award Amount (\$ thousands)	
2002	1/45	971	228	23%	\$ 22,573.0	189	100	53%	\$ 73,066.0	\$ 95,639.0
2003	1/47	1,185	219	18%	\$ 21,750.0	207	105	51%	\$ 71,866.0	\$ 93,616.0
2004	1/47	1,312	247	19%	\$ 24,435.0	201	115	57%	\$ 79,209.0	\$ 103,644.0
2005	1/49	1,490	259	17%	\$ 25,732.0	227	108	48%	\$ 74,344.0	\$ 100,076.0
2006	1/49	1,312	262	20%	\$ 26,548.0	226	123	54%	\$ 77,214.0	\$ 103,762.0
2007	1/54	1,318	278	21%	\$ 27,726.0	243	111	46%	\$ 80,735.0	\$ 108,461.0
2008	1/60	1,494	280	19%	\$ 27,902.0	244	141	58%	\$ 101,757.0	\$ 129,659.0
2009	1/66	1,674	373	22%	\$ 37,157.0	263	154	59%	\$ 113,605.0	\$ 150,762.0
2010	1/68	1,863	268	14%	\$ 26,853.0	342	112	33%	\$ 109,652.0	\$ 136,505.0
2011	1/71	2,490	198	8%	\$ 29,298.5	246	114	46%	\$ 110,699.6	\$ 139,998.14
Total	10/556	15,109	2,612	17%	\$ 269,974.5	2,388	1,183	50%	\$ 892,147.6	\$ 1,162,122.1

Percentage of SBIR Award Dollars to Underserved Communities for Department of Energy

FY	Minority-Owned/Disadvantaged			HUBZone			Women-Owned		
	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$
2007	31	\$ 9,081	8.4%	25	\$ 5,094	4.7%			
2008	19	\$ 7,091	5.5%	24	\$ 4,815	3.7%			
2009	34	\$ 8,544	5.7%	33	\$ 6,237	4.1%			
2010	11	\$ 1,998	1.5%	18	\$ 4,650	3.4%			
2011	7	\$ 1,900	1.4%	15	\$ 3,792	2.7%	21	\$ 12,703	9.1%
Total	102	\$ 28,614	4.5%	115	\$ 24,588	3.7%	21	\$ 12,703	3.0%

Extramural Calculations

Amounts in Millions of \$

FY	Extramural R&D Budget	Required SBIR Budget (2.5% of Extramural R&D Budget)	SBIR Obligated	SBIR share of R&D Extramural Budget	Percent Above or Below Required Amount
2002	\$ 3,761.0	\$ 94.0	\$ 95.6	2.54%	1.7%
2003	\$ 3,768.1	\$ 94.2	\$ 95.1	2.52%	1.0%
2004	\$ 4,093.3	\$ 102.3	\$ 103.6	2.53%	1.3%
2005	\$ 4,113.1	\$ 102.8	\$ 100.8	2.45%	-2.0%
2006	\$ 4,171.8	\$ 104.3	\$ 103.8	2.49%	-0.5%
2007	\$ 4,509.2	\$ 112.7	\$ 103.8	2.30%	-8.0%
2008	\$ 4,944.3	\$ 123.6	\$ 119.1	2.41%	-3.6%
2009	\$ 5,514.7	\$ 137.9	\$ 142.6	2.59%	3.4%
2010	\$ 5,983.1	\$ 149.6	\$ 137.2	2.29%	-8.3%
2011	\$ 5,856.7	\$ 146.4	\$ 154.0	2.63%	5.2%
Overall	\$ 46,715.2	\$ 1,167.9	\$ 1,155.7	2.47%	-1.0%

*Agencies are required to obligate at least 2.5% of their R&D Extramural Budget to SBIR awards.

At or above 2.5%

2.45% to 2.49%

Below 2.45%

Agency Name: National Aeronautics and Space Administration

Awards

FY	Solicitations / Topics	Phase I				Phase II				Total Award Amount (\$ thousands)
		Proposals Received	Number of Awards	Awards / Proposals	Award Amount (\$ thousands)	Proposals Received	Number of Awards	Awards / Proposals	Award Amount (\$ thousands)	
2002	1/28	1,659	306	18%	\$ 21,242.0	550	278	51%	\$ 88,330.0	\$ 109,572.0
2003	1/30	2,238	267	12%	\$ 18,604.0	251	7	3%	\$ 90,825.0	\$ 109,429.0
2004	1/25	2,695	311	12%	\$ 21,669.0	297	156	53%	\$ 84,408.0	\$ 106,077.0
2005	1/28	2,170	290	13%	\$ 20,160.0	273	139	51%	\$ 92,824.0	\$ 112,984.0
2006	1/29	2,208	297	13%	\$ 20,675.0	280	143	51%	\$ 83,157.0	\$ 103,832.0
2007	1/27	1,709	260	15%	\$ 25,397.0	280	120	43%	\$ 71,451.0	\$ 96,848.0
2008	1/28	1,500	276	18%	\$ 27,450.0	243	122	50%	\$ 71,803.0	\$ 99,253.0
2009	1/30	1,403	348	25%	\$ 34,542.0	258	164	64%	\$ 98,499.0	\$ 133,041.0
2010	1/31	1,705	266	16%	\$ 36,431.7	335	168	50%	\$ 100,414.0	\$ 136,845.7
2011	1/31	1,752	450	26%	\$ 44,787.7	340	215	63%	\$ 128,351.5	\$ 173,139.27
Total	10/287	19,039	3,071	16%	\$ 270,958.4	3,107	1,512	49%	\$ 910,062.6	\$ 1,181,021.0

Percentage of SBIR Award Dollars to Underserved Communities for National Aeronautics and Space Administration

FY	Minority-Owned/Disadvantaged			HUBZone			Women-Owned		
	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$
2007	36	\$ 8,527	8.8%	14	\$ 3,855	4.0%			
2008	38	\$ 9,274	9.3%	7	\$ 2,699	2.7%			
2009	47	\$ 12,678	9.5%	12	\$ 2,699	2.0%	51	\$ 11,586	8.7%
2010	37	\$ 9,211	6.7%	10	\$ 3,536	2.6%	54	\$ 13,412	9.8%
2011	56	\$ 11,584	6.7%	13	\$ 2,300	1.3%	66	\$ 18,012	10.4%
Total	214	\$ 51,273	8.2%	56	\$ 15,089	2.5%	261	\$ 67,893	10.9%

Extramural Calculations

Amounts in Millions of \$

FY	Extramural R&D Budget	Required SBIR Budget (2.5% of Extramural R&D Budget)	SBIR Obligated	SBIR share of R&D Extramural Budget	Percent Above or Below Required Amount
2002	\$ 4,344.0	\$ 108.6	\$ 109.6	2.52%	0.9%
2003	\$ 4,179.0	\$ 104.5	\$ 109.4	2.62%	4.7%
2004	\$ 4,300.0	\$ 107.5	\$ 106.1	2.47%	-1.3%
2005	\$ 4,400.0	\$ 110.0	\$ 113.0	2.57%	2.7%
2006	\$ 4,200.0	\$ 105.0	\$ 103.8	2.47%	-1.1%
2007	\$ 3,992.5	\$ 99.8	\$ 96.8	2.43%	-3.0%
2008	\$ 4,180.0	\$ 104.5	\$ 99.3	2.37%	-5.0%
2009	\$ 5,310.5	\$ 132.8	\$ 133.0	2.51%	0.2%
2010	\$ 4,935.7	\$ 123.4	\$ 136.8	2.77%	10.9%
2011	\$ 4,998.0	\$ 125.0	\$ 177.6	3.55%	42.1%
Overall	\$ 44,839.7	\$ 1,121.0	\$ 1,185.5	2.64%	5.8%

*Agencies are required to obligate at least 2.5% of their R&D Extramural Budget to SBIR awards.

At or above 2.5%
2.45% to 2.49%
Below 2.45%

Agency Name: National Science Foundation

Awards

FY	Solicitations / Topics	Phase I				Phase II				Total Award Amount (\$ thousands)
		Proposals Received	Number of Awards	Awards / Proposals	Award Amount (\$ thousands)	Proposals Received	Number of Awards	Awards / Proposals	Award Amount (\$ thousands)	
2002	1/4	1,477	277	19%	\$ 29,400.0	148	66	45%	\$ 48,600.0	\$ 78,000.0
2003	1/4	2,704	447	17%	\$ 44,500.0	225	77	34%	\$ 45,000.0	\$ 89,500.0
2004	1/4	2,704	447	17%	\$ 44,500.0	225	77	34%	\$ 45,000.0	\$ 89,500.0
2005	2/3	1,482	152	10%	\$ 15,054.0	271	132	49%	\$ 64,101.0	\$ 79,155.0
2006	2/5	1,620	259	16%	\$ 25,768.0	140	76	54%	\$ 64,681.0	\$ 90,449.0
2007	2/8	1,751	286	16%	\$ 28,407.0	239	79	33%	\$ 39,475.0	\$ 67,882.0
2008	2/6	1,450	224	15%	\$ 22,275.0	236	81	34%	\$ 39,951.0	\$ 62,226.0
2009	2/4	1,533	311	20%	\$ 35,284.0	234	114	49%	\$ 94,368.0	\$ 129,652.0
2010	2/8	2,463	431	17%	\$ 67,172.0	275	80	29%	\$ 39,033.0	\$ 106,205.0
2011	2/8	2,450	272	11%	\$ 40,352.1	350	98	28%	\$ 71,147.9	\$ 111,500.00
Total	17/54	19,634	3,106	16%	\$ 352,712.1	2,343	880	38%	\$ 551,356.9	\$ 904,069.0

Percentage of SBIR Award Dollars to Underserved Communities for National Science Foundation

FY	Minority-Owned/Disadvantaged			HUBZone			Women-Owned		
	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$
2007	45	\$ 12,075	17.8%	13	\$ 2,663	3.9%			
2008	29	\$ 4,881	7.8%	23	\$ 5,477	8.8%			
2009	33	\$ 6,180	4.8%	31	\$ 6,141	4.7%			
2010	49	\$ 10,200	9.6%	50	\$ 10,685	10.1%			
2011	32	\$ 6,774	6.1%	30	\$ 7,420	6.7%	52	\$ 10,363	9.3%
Total	188	\$ 40,110	9.2%	147	\$ 32,386	6.8%	52	\$ 10,363	3.1%

Extramural Calculations

Amounts in Millions of \$

FY	Extramural R&D Budget	Required SBIR Budget (2.5% of Extramural R&D Budget)	SBIR Obligated	SBIR share of R&D Extramural Budget	Percent Above or Below Required Amount
2002	\$ 3,000.0	\$ 75.0	\$ 78.0	2.60%	4.0%
2003	\$ 3,430.0	\$ 85.8	\$ 91.4	2.66%	6.6%
2004	\$ 3,430.0	\$ 85.8	\$ 91.4	2.66%	6.6%
2005	\$ 3,590.0	\$ 89.8	\$ 92.1	2.57%	2.6%
2006	\$ 3,618.1	\$ 90.5	\$ 90.5	2.50%	0.0%
2007	\$ 3,785.0	\$ 94.6	\$ 95.4	2.52%	0.8%
2008	\$ 3,853.0	\$ 96.3	\$ 95.5	2.48%	-0.9%
2009	\$ 5,770.0	\$ 144.3	\$ 129.7	2.25%	-10.1%
2010	\$ 4,824.0	\$ 120.6	\$ 125.7	2.61%	4.2%
2011	\$ 4,956.0	\$ 123.9	\$ 111.5	2.25%	-10.0%
Overall	\$ 40,256.1	\$ 1,006.4	\$ 1,001.1	2.49%	-0.5%

*Agencies are required to obligate at least 2.5% of their R&D Extramural Budget to SBIR awards.

At or above 2.5%
2.45% to 2.49%
Below 2.45%

Agency Name: Department of Agriculture

Awards

FY	Solicitations / Topics	Phase I				Phase II				Total Award Amount (\$ thousands)
		Proposals Received	Number of Awards	Awards / Proposals	Award Amount (\$ thousands)	Proposals Received	Number of Awards	Awards / Proposals	Award Amount (\$ thousands)	
2002	1/9	449	86	19%	\$ 6,348.0	68	39	57%	\$ 11,055.0	\$ 17,403.0
2003	1/10	656	86	13%	\$ 6,384.0	67	38	57%	\$ 10,714.0	\$ 17,098.0
2004	1/11	582	99	17%	\$ 7,649.0	65	38	58%	\$ 11,047.0	\$ 18,696.0
2005	1/11	561	91	16%	\$ 7,195.0	79	40	51%	\$ 11,738.0	\$ 18,933.0
2006	1/12	653	97	15%	\$ 7,627.0	61	32	52%	\$ 9,277.0	\$ 16,904.0
2007	1/12	512	80	16%	\$ 6,187.0	70	35	50%	\$ 11,879.0	\$ 18,066.0
2008	1/12	652	77	12%	\$ 6,056.0	69	37	54%	\$ 12,688.0	\$ 18,744.0
2009	1/12	350	70	20%	\$ 5,531.0	56	31	55%	\$ 19,562.0	\$ 25,093.0
2010	1/12	538	92	17%	\$ 8,006.0	62	39	63%	\$ 14,914.0	\$ 22,920.0
2011	1/10	509	56	11%	\$ 5,527.0	75	37	49%	\$ 16,908.2	\$ 22,435.20
Total	10/111	5,462	834	15%	\$ 66,510.0	672	366	54%	\$ 129,782.2	\$ 196,292.2

Percentage of SBIR Award Dollars to Underserved Communities for Department of Agriculture

FY	Minority-Owned/Disadvantaged			HUBZone			Women-Owned		
	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$
2007	4	\$ 850	4.7%	23	\$ 2,062	11.4%			
2008	19	\$ 3,051	16.3%	17	\$ 4,449	23.7%			
2009	22	\$ 2,703	10.8%	23	\$ 3,225	12.9%			
2010	26	\$ 5,986	26.1%	28	\$ 4,672	20.4%			
2011	4	\$ 1,837	8.2%	11	\$ 3,526	15.7%	15	\$ 2,908	13.0%
Total	75	\$ 14,427	13.2%	102	\$ 17,934	16.8%	15	\$ 2,908	4.3%

Extramural Calculations

Amounts in Millions of \$

FY	Extramural R&D Budget	Required SBIR Budget (2.5% of Extramural R&D Budget)	SBIR Obligated	SBIR share of R&D Extramural Budget	Percent Above or Below Required Amount
2002	\$ 627.6	\$ 15.7	\$ 17.4	2.77%	10.9%
2003	\$ 709.8	\$ 17.7	\$ 17.1	2.41%	-3.6%
2004	\$ 727.1	\$ 18.2	\$ 18.7	2.57%	2.9%
2005	\$ 768.0	\$ 19.2	\$ 18.9	2.47%	-1.4%
2006	\$ 779.2	\$ 19.5	\$ 16.9	2.17%	-13.2%
2007	\$ 756.1	\$ 18.9	\$ 19.5	2.57%	2.9%
2008	\$ 755.2	\$ 18.9	\$ 18.7	2.48%	-0.7%
2009	\$ 788.6	\$ 19.7	\$ 16.4	2.09%	-16.6%
2010	\$ 890.3	\$ 22.3	\$ 22.9	2.57%	3.0%
2011	\$ 768.2	\$ 19.2	\$ 22.4	2.92%	16.8%
Overall	\$ 7,570.1	\$ 189.3	\$ 189.0	2.50%	-0.1%

*Agencies are required to obligate at least 2.5% of their R&D Extramural Budget to SBIR awards.

At or above 2.5%
2.45% to 2.49%
Below 2.45%

Agency Name: Department of Homeland Security

Awards

FY	Solicitations / Topics	Phase I				Phase II				Total Award Amount (\$ thousands)
		Proposals Received	Number of Awards	Awards / Proposals	Award Amount (\$ thousands)	Proposals Received	Number of Awards	Awards / Proposals	Award Amount (\$ thousands)	
2004	2/14	525	97	18%	\$ 9,535.0	33	20	61%	\$ 9,850.0	\$ 19,385.0
2005	2/12	423	62	15%	\$ 6,158.0	18	14	78%	\$ 17,123.0	\$ 23,281.0
2006	2/16	351	67	19%	\$ 7,159.0	34	28	82%	\$ 22,807.0	\$ 29,966.0
2007	2/17	420	61	15%	\$ 6,990.0	34	22	65%	\$ 18,207.0	\$ 25,197.0
2008	3/13	291	28	10%	\$ 3,095.0	33	26	79%	\$ 16,438.0	\$ 19,533.0
2009	3/17	293	52	18%	\$ 5,295.0	30	15	50%	\$ 15,574.0	\$ 20,869.0
2010	3/17	309	51	17%	\$ 5,440.0	30	21	70%	\$ 17,965.0	\$ 23,405.0
2011	3/15	219	44	20%	\$ 4,959.7	30	18	60%	\$ 14,309.5	\$ 19,269.2
Total	20/121	2,831	462	16%	\$ 48,631.7	242	164	68%	\$ 132,273.5	\$ 180,905.2

Percentage of SBIR Award Dollars to Underserved Communities for Department of Homeland Security

FY	Minority-Owned / Disadvantaged			HUBZone			Women-Owned		
	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$
2007	9	\$ 3,549	14.1%	4	\$ 1,348	5.3%			
2008	6	\$ 1,672	8.6%	2	\$ 1,100	5.6%			
2009	10	\$ 1,946	9.3%	6	\$ 1,294	6.2%	10	\$ 2,946	14.1%
2010	14	\$ 4,049	17.3%	6	\$ 1,950	8.3%	9	\$ 1,222	5.2%
2011	10	\$ 2,925	15.2%	1	\$ 100	0.5%	13	\$ 3,896	20.2%
Total	49	\$ 14,141	12.9%	19	\$ 5,792	5.2%	32	\$ 8,064	13.2%

Extramural Calculations

Amounts in Millions of \$

FY	Extramural R&D Budget	Required SBIR Budget (2.5% of Extramural R&D Budget)	SBIR Obligated	SBIR share of R&D Extramural Budget	Percent Above or Below Required Amount
2004	\$ 784.0	\$ 19.6	\$ 19.4	2.47%	-1.1%
2005	\$ 919.9	\$ 23.0	\$ 23.3	2.53%	1.3%
2006	\$ 898.3	\$ 22.5	\$ 30.0	3.34%	33.6%
2007	\$ 732.5	\$ 18.3	\$ 25.2	3.44%	37.6%
2008	\$ 621.1	\$ 15.5	\$ 19.5	3.14%	25.6%
2009	\$ 709.5	\$ 17.7	\$ 20.9	2.94%	17.7%
2010	\$ 804.2	\$ 20.1	\$ 23.4	2.91%	16.4%
2011	\$ 468.0	\$ 11.7	\$ 19.3	4.12%	64.7%
Overall	\$ 5,937.4	\$ 148.4	\$ 180.9	3.05%	21.9%

*Agencies are required to obligate at least 2.5% of their R&D Extramural Budget to SBIR awards.

At or above 2.5%
2.45% to 2.49%
Below 2.45%

Agency Name: Department of Education

Awards

FY	Solicitations / Topics	Phase I				Phase II				Total Award Amount (\$ thousands)
		Proposals Received	Number of Awards	Awards / Proposals	Award Amount (\$ thousands)	Proposals Received	Number of Awards	Awards / Proposals	Award Amount (\$ thousands)	
2002	2/11	387	56	14%	\$ 4,260.0	36	12	33%	\$ 3,259.0	\$ 7,519.0
2003	2/7	172	16	9%	\$ 1,185.0	68	16	24%	\$ 6,603.0	\$ 7,788.0
2004	2/6	437	46	11%	\$ 4,211.0	7	7	100%	\$ 4,738.0	\$ 8,949.0
2005	2/5	162	22	14%	\$ 1,647.0	38	14	37%	\$ 6,792.0	\$ 8,439.0
2006	2/3	199	49	25%	\$ 4,634.0	28	8	29%	\$ 4,041.0	\$ 8,675.0
2007	4/7	83	25	30%	\$ 1,974.0	129	13	10%	\$ 8,489.0	\$ 10,463.0
2008	4/7	189	33	17%	\$ 2,915.0	48	12	25%	\$ 7,477.0	\$ 10,392.0
2009	4/7	198	18	9%	\$ 1,449.0	31	13	42%	\$ 8,499.0	\$ 9,948.0
2010	4/6	258	35	14%	\$ 3,122.0	47	11	23%	\$ 2,539.0	\$ 5,661.0
2011	3/4	237	25	11%	\$ 2,547.7	30	12	40%	\$ 8,562.8	\$ 11,110.51
Total	29/63	2,322	325	14%	\$ 27,944.7	462	118	26%	\$ 60,999.8	\$ 88,944.5

Percentage of SBIR Award Dollars to Underserved Communities for Department of Education

FY	Minority-Owned/Disadvantaged			HUBZone			Women-Owned		
	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$
2007			0.0%			0.0%			
2008			0.0%			0.0%			
2009	3	\$ 925	9.3%			0.0%			
2010			0.0%			0.0%			
2011			0.0%	1		0.0%	12	\$ 3,950	35.6%
Total	3	\$ 925	1.9%	1		0.0%	12	\$ 3,950	11.9%

Extramural Calculations

Amounts in Millions of \$

FY	Extramural R&D Budget	Required SBIR Budget (2.5% of Extramural R&D Budget)	SBIR Obligated	SBIR share of R&D Extramural Budget	Percent Above or Below Required Amount
2002	\$ 272.2	\$ 6.8	\$ 7.5	2.76%	10.5%
2003	\$ 296.9	\$ 7.4	\$ 7.8	2.62%	4.9%
2004	\$ 292.4	\$ 7.3	\$ 8.9	3.06%	22.4%
2005	\$ 296.0	\$ 7.4	\$ 8.4	2.85%	14.0%
2006	\$ 323.0	\$ 8.1	\$ 8.7	2.69%	7.4%
2007	\$ 327.0	\$ 8.2	\$ 10.5	3.21%	28.4%
2008	\$ 313.0	\$ 7.8	\$ 9.9	3.15%	26.0%
2009	\$ 304.2	\$ 7.6	\$ 10.0	3.29%	31.7%
2010	\$ 346.0	\$ 8.7	\$ 10.1	2.93%	17.1%
2011	\$ 329.4	\$ 8.2	\$ 11.1	3.37%	34.9%
Overall	\$ 3,100.1	\$ 77.5	\$ 93.0	3.00%	20.0%

*Agencies are required to obligate at least 2.5% of their R&D Extramural Budget to SBIR awards.

At or above 2.5%

2.45% to 2.49%

Below 2.45%

Agency Name: Department of Commerce

Awards

FY	Solicitations / Topics	Phase I				Phase II				Total Award Amount (\$ thousands)
		Proposals Received	Number of Awards	Awards / Proposals	Award Amount (\$ thousands)	Proposals Received	Number of Awards	Awards / Proposals	Award Amount (\$ thousands)	
2002	2/22	308	47	15%	\$ 3,347.0	25	13	52%	\$ 3,597.0	\$ 6,944.0
2003	2/19	272	45	17%	\$ 3,220.0	43	19	44%	\$ 5,094.0	\$ 8,314.0
2004	2/19	345	49	14%	\$ 3,559.0	43	19	44%	\$ 4,998.0	\$ 8,557.0
2005	2/18	344	49	14%	\$ 3,497.0	44	19	43%	\$ 5,360.0	\$ 8,857.0
2006	2/15	205	23	11%	\$ 2,037.0	35	18	51%	\$ 5,041.0	\$ 7,078.0
2007	1/4	149	12	8%	\$ 1,100.0	22	4	18%	\$ 1,200.0	\$ 2,300.0
2008	3/13	194	40	21%	\$ 3,652.0	10	6	60%	\$ 2,108.0	\$ 5,760.0
2009	2/13	250	40	16%	\$ 3,539.0	35	28	80%	\$ 8,992.0	\$ 12,531.0
2010	2/18	318	25	8%	\$ 2,323.0	37	15	41%	\$ 4,621.0	\$ 6,944.0
2011	2/11	281	23	8%	\$ 2,116.6	23	12	52%	\$ 3,997.8	\$ 6,114.45
Total	20/152	2,666	353	13%	\$ 28,390.6	317	153	48%	\$ 45,008.8	\$ 73,399.4

Percentage of SBIR Award Dollars to Underserved Communities for Department of Commerce

FY	Minority-Owned/Disadvantaged			HUBZone			Women-Owned		
	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$
2007	2	\$ 374	16.3%	1	\$ 400	17.4%			
2008	4	\$ 365	6.3%	3	\$ 1,007	17.5%			
2009	1	\$ 89	0.7%			0.0%			
2010	3	\$ 791	11.4%			0.0%			
2011	3	\$ 585	9.6%			0.0%	2	\$ 495	8.1%
Total	13	\$ 2,204	8.9%	4	\$ 1,407	7.0%	2	\$ 495	2.7%

Extramural Calculations

Amounts in Millions of \$

FY	Extramural R&D Budget	Required SBIR Budget (2.5% of Extramural R&D Budget)	SBIR Obligated	SBIR share of R&D Extramural Budget	Percent Above or Below Required Amount
2002	\$ 275.5	\$ 6.9	\$ 6.9	2.52%	0.8%
2003	\$ 333.7	\$ 8.3	\$ 8.3	2.49%	-0.3%
2004	\$ 337.8	\$ 8.4	\$ 8.6	2.53%	1.3%
2005	\$ 355.8	\$ 8.9	\$ 8.9	2.49%	-0.4%
2006	\$ 253.6	\$ 6.3	\$ 7.1	2.79%	11.7%
2007	\$ 221.3	\$ 5.5	\$ 4.5	2.02%	-19.3%
2008	\$ 248.3	\$ 6.2	\$ 5.8	2.32%	-7.2%
2009	\$ 299.4	\$ 7.5	\$ 12.5	4.17%	67.0%
2010	\$ 280.6	\$ 7.0	\$ 6.9	2.48%	-1.0%
2011	\$ 238.6	\$ 6.0	\$ 6.1	2.56%	2.5%
Overall	\$ 2,844.6	\$ 71.1	\$ 75.5	2.66%	6.2%

*Agencies are required to obligate at least 2.5% of their R&D Extramural Budget to SBIR awards.

At or above 2.5%
2.45% to 2.49%
Below 2.45%

Agency Name: Environmental Protection Agency

Awards

FY	Solicitations / Topics	Phase I				Phase II				Total Award Amount (\$ thousands)
		Proposals Received	Number of Awards	Awards / Proposals	Award Amount (\$ thousands)	Proposals Received	Number of Awards	Awards / Proposals	Award Amount (\$ thousands)	
2002	4/13	556	40	7%	\$ 2,795.0	36	12	33%	\$ 2,699.0	\$ 5,494.0
2003	3/13	530	51	10%	\$ 4,216.0	42	9	21%	\$ 2,024.0	\$ 6,240.0
2004	4/15	487	43	9%	\$ 2,724.0	63	24	38%	\$ 4,986.0	\$ 7,710.0
2005	4/26	363	38	10%	\$ 2,462.0	37	14	38%	\$ 3,142.0	\$ 5,604.0
2006	1/4	422	41	10%	\$ 2,860.0	28	15	54%	\$ 3,618.0	\$ 6,478.0
2007	1/4	401	36	9%	\$ 2,516.0	28	12	43%	\$ 4,119.0	\$ 6,635.0
2008	1/14	379	25	7%	\$ 1,745.0	27	7	26%	\$ 1,575.0	\$ 3,320.0
2009	1/14	379	23	6%	\$ 1,609.0	27	8	30%	\$ 2,760.0	\$ 4,369.0
2010	1/10	504	34	7%	\$ 2,349.0	18	11	61%	\$ 2,474.0	\$ 4,823.0
2011	1/10	464	27	6%	\$ 2,078.8	28	11	39%	\$ 2,473.7	\$ 4,552.54
Total	21/123	4,485	358	8%	\$ 25,354.8	334	123	37%	\$ 29,870.7	\$ 55,225.5

Percentage of SBIR Award Dollars to Underserved Communities for Environmental Protection Agency

FY	Minority-Owned/Disadvantaged			HUBZone			Women-Owned		
	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$
2007	5	\$ 505	7.6%			0.0%			
2008	2	\$ 687	20.7%	4	\$ 554	16.7%			
2009	3	\$ 687	15.7%	3	\$ 554	12.7%			
2010	3	\$ 483	10.0%			0.0%			
2011	1	\$ 224	4.9%	1	\$ 73	1.6%	3	\$ 530	11.6%
Total	14	\$ 2,586	11.8%	8	\$ 1,181	6.2%	3	\$ 530	3.9%

Extramural Calculations

Amounts in Millions of \$

FY	Extramural R&D Budget	Required SBIR Budget (2.5% of Extramural R&D Budget)	SBIR Obligated	SBIR share of R&D Extramural Budget	Percent Above or Below Required Amount
2002	\$ 230.7	\$ 5.8	\$ 5.8	2.53%	1.3%
2003	\$ 268.5	\$ 6.7	\$ 6.3	2.35%	-6.0%
2004	\$ 265.9	\$ 6.6	\$ 7.7	2.90%	16.0%
2005	\$ 232.1	\$ 5.8	\$ 5.7	2.45%	-1.9%
2006	\$ 398.6	\$ 10.0	\$ 6.5	1.63%	-35.0%
2007	\$ 169.5	\$ 4.2	\$ 5.6	3.29%	31.4%
2008	\$ 151.6	\$ 3.8	\$ 3.8	2.51%	0.3%
2009	\$ 169.5	\$ 4.2	\$ 3.7	2.19%	-12.2%
2010	\$ 190.5	\$ 4.8	\$ 4.8	2.53%	1.3%
2011	\$ 181.5	\$ 4.5	\$ 4.6	2.55%	1.9%
Overall	\$ 2,258.4	\$ 56.5	\$ 54.6	2.42%	-3.3%

*Agencies are required to obligate at least 2.5% of their R&D Extramural Budget to SBIR awards.

At or above 2.5%

2.45% to 2.49%

Below 2.45%

Agency Name: Department of Transportation

Awards

FY	Solicitations / Topics	Phase I				Phase II				Total Award Amount (\$ thousands)
		Proposals Received	Number of Awards	Awards / Proposals	Award Amount (\$ thousands)	Proposals Received	Number of Awards	Awards / Proposals	Award Amount (\$ thousands)	
2002	1/11	202	13	6%	\$ 1,275.0	8	5	63%	\$ 5,123.0	\$ 6,398.0
2003	1/9	136	11	8%	\$ 1,098.0	6	4	67%	\$ 2,116.0	\$ 3,214.0
2004	1/12	127	12	9%	\$ 1,182.0	5	5	100%	\$ 2,511.0	\$ 3,693.0
2005	1/8	66	5	8%	\$ 680.0	5	4	80%	\$ 3,027.0	\$ 3,707.0
2006	1/9	89	9	10%	\$ 892.0	4	4	100%	\$ 2,444.0	\$ 3,336.0
2007	1/17	89	18	20%	\$ 1,714.0	4	4	100%	\$ 2,653.0	\$ 4,367.0
2008	2/19	238	11	5%	\$ 2,719.0	8	4	50%	\$ 2,064.0	\$ 4,783.0
2009	2/12	157	16	10%	\$ 1,600.0	7	5	71%	\$ 3,210.0	\$ 4,810.0
2010	2/17	194	17	9%	\$ 1,688.0	7	9	129%	\$ 5,799.0	\$ 7,487.0
2011	2/11	117	15	13%	\$ 1,720.1	12	12	100%	\$ 8,716.7	\$ 10,436.74
Total	14/125	1,415	127	9%	\$ 14,568.1	66	56	85%	\$ 37,663.7	\$ 52,231.7

Percentage of SBIR Award Dollars to Underserved Communities for Department of Transportation

FY	Minority-Owned/Disadvantaged			HUBZone			Women-Owned		
	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$	Number of Awards	Award Amount (\$ thousands)	Percentage of Total Award \$
2007	8	\$ 2,414	55.3%			0.0%	4	\$ 800	18.3%
2008	3	\$ 500	10.5%			0.0%	7	\$ 700	14.6%
2009	3	\$ 300	6.2%			0.0%	4	\$ 904	18.8%
2010	8	\$ 2,700	36.1%	2	\$ 199	2.7%	9	\$ 3,643	48.7%
2011	10	\$ 3,713	35.6%	4	\$ 2,486	23.8%	5	\$ 2,489	23.9%
Total	32	\$ 9,627	28.7%	6	\$ 2,685	5.3%	29	\$ 8,536.3	24.9%

Extramural Calculations

Amounts in Millions of \$

FY	Extramural R&D Budget	Required SBIR Budget (2.5% of Extramural R&D Budget)	SBIR Obligated	SBIR share of R&D Extramural Budget	Percent Above or Below Required Amount
2002	\$ 163.4	\$ 4.1	\$ 6.4	3.91%	56.6%
2003	\$ 120.0	\$ 3.0	\$ 3.2	2.68%	7.1%
2004	\$ 130.0	\$ 3.3	\$ 3.7	2.84%	13.6%
2005	\$ 140.0	\$ 3.5	\$ 3.7	2.65%	5.9%
2006	\$ 150.0	\$ 3.8	\$ 3.8	2.50%	0.1%
2007	\$ 259.4	\$ 6.5	\$ 4.4	1.68%	-32.8%
2008	\$ 253.1	\$ 6.3	\$ 4.8	1.89%	-24.4%
2009	\$ 321.5	\$ 8.0	\$ 4.4	1.37%	-45.1%
2010	\$ 330.2	\$ 8.3	\$ 7.5	2.27%	-9.3%
2011	\$ 384.3	\$ 9.6	\$ 10.5	2.73%	9.4%
Overall	\$ 2,252.0	\$ 56.3	\$ 52.3	2.32%	-7.1%

*Agencies are required to obligate at least 2.5% of their R&D Extramural Budget to SBIR awards.

At or above 2.5%
2.45% to 2.49%
Below 2.45%

8. Appendix D – SBIR Summary Tables

SBIR Summary Table FY2009

Fiscal Year 2009 SBIR Agency Obligations Summary (dollars in thousands)

	DOD	HHS	DOE	NASA	NSF	USDA	DHS	ED	DOC	EPA	DOT	TOTAL
Agency Extramural Budget (\$)	48,884,935	24,334,093	5,514,677	5,310,500	5,770,000	788,567	709,500	304,162	299,387	169,474	321,531	92,406,826
Agency SBIR Budget (\$)	1,208,758	608,352	137,869	113,400	144,250	19,714	22,832	7,604	12,485	4,237	4,019	2,283,520
Dollars Obligated (\$)*	1,254,325	643,616	142,614	133,041	129,652	16,443	20,869	10,011	12,497	3,719	4,416	2,371,203
Percent of SBIR to Extramural Budget	2.57%	2.64%	2.59%	2.51%	2.25%	2.09%	2.94%	3.29%	4.17%	2.19%	1.37%	2.57%
Deficit/Surplus (\$)	45,567	35,264	4,745	19,641	(14,598)	(3,271)	(1,963)	2,407	12	(518)	397	87,683

Fiscal Year 2009 SBIR Agency Award Profile (dollars in thousands)

	DOD	HHS	DOE	NASA	NSF	USDA	DHS	ED	DOC	EPA	DOT	TOTAL
Total Phase I Awards	2,017	739	373	348	311	70	52	18	40	23	16	4,007
Total Phase I Dollars Awarded (\$)	181,932	194,270	37,157	34,542	35,284	5,531	5,295	1,449	3,539	1,609	1,600	502,208
Minority-Owned / Disadvantaged Phase I Awards	154	45	26	31	27	17	8	2	1	3	3	317
Minority-Owned / Disadvantaged Phase I Dollars (\$)	13,772	7,804	2,595	3,090	3,340	1,358	696	175	89	-	300	33,219
HUBZone Phase I Awards	34	6	22	9	24	17	5	-	-	2	-	-
HUBZone Phase I Dollars (\$)	3,027	375	2,193	899	2,764	1,345	544	-	-	209	-	-
Women-Owned Phase I Awards	285	-	-	38	-	-	7	-	-	-	3	119
Women-Owned Phase I Dollars (\$)	26,980	-	-	3,796	-	-	696	-	-	-	300	11,356
Total Phase II Awards	922	339	154	164	114	31	15	13	28	8	5	1,793
Total Phase II Dollars Awarded (\$ (Obligations)	657,104	440,673	113,605	98,499	94,368	19,562	15,574	8,499	8,992	2,760	3,210	1,462,846
Minority-Owned / Disadvantaged Phase II Awards	64	15	8	16	6	5	2	1	-	-	-	-
Minority-Owned / Disadvantaged Phase II Dollars (\$)	43,335	19,176	5,949	9,589	2,840	1,345	1,250	750	-	687	-	-
HUBZone Phase II Awards	19	1	11	3	7	6	1	-	-	1	-	117
HUBZone Phase II Dollars (\$)	15,467	751	4,044	1,800	3,377	1,880	750	-	-	345	-	84,921
Women-Owned Phase II Awards	129	-	-	13	-	-	3	-	-	-	1	49
Women-Owned Phase II Dollars (\$)	64,335	-	-	7,790	-	-	2,250	-	-	-	604	28,414
Average Amount for Phase I Awards (\$)	90	263	100	99	113	79	102	81	88	70	100	125
Average Amount for Phase II Awards (\$)	713	1,300	738	601	828	631	1,038	654	321	345	642	816

Fiscal Year 2009 SBIR Agency Solicitation Profile (dollars in thousands)

	DOD	HHS	DOE	NASA	NSF	USDA	DHS	ED	DOC	EPA	DOT	TOTAL
Number of Solicitations Released	3	3	1	1	2	1	3	4	2	1	2	23
Number of Research Topics in Solicitations	789	215	66	30	4	12	17	7	13	14	12	1,179
Number of Phase I Proposals Received	12,434	3,927	1,674	1,403	1,533	350	293	198	250	379	157	22,598
Number of Phase II Proposals Received	1,581	739	263	258	234	56	30	31	35	27	7	3,261

*For DOD, Total Dollars Obligated is calculated by (Phase I & II Obligations + Modifications + Technical Assistance Programs)

Phase I Obligations: \$103,314,775 (Agency 2009) + \$112,057,874 (Agency 2010)

Phase II Obligations: \$376,156,464 (Agency 2009) + \$364,927,225 (Agency 2010)

Modifications: \$164,048,267 (Agency 2009) + \$123,608,548 (Agency 2010)

Technical Assistance: \$6,509,082 (Agency 2010)

SBIR Summary Table FY2010

Fiscal Year 2010 SBIR Agency Obligations Summary (dollars in thousands)

	DOD	HHS	DOE	NASA	NSF	USDA	DHS	ED	DOC	EPA	DOT	TOTAL
Agency Extramural Budget (\$)	47,955,244	24,965,774	5,983,053	4,935,700	4,824,000	890,326	804,200	346,000	280,576	190,537	330,216	91,505,626
Agency SBIR Budget (\$)	1,198,881	624,144	149,519	124,100	120,600	22,258	23,796	8,650	3,269	4,823	8,255	2,288,295
Dollars Obligated (\$)*	1,239,534	650,026	137,159	136,846	125,717	22,921	23,405	10,130	6,946	4,823	7,487	2,364,993
Percent of SBIR to Extramural Budget	2.58%	2.60%	2.29%	2.77%	2.61%	2.57%	2.91%	2.93%	2.48%	2.53%	2.27%	2.58%
Deficit/Surplus (\$)	40,653	25,882	(12,360)	12,746	5,117	663	(391)	1,480	3,677	-	(768)	76,698

Fiscal Year 2010 SBIR Agency Award Profile (dollars in thousands)

	DOD	HHS	DOE	NASA	NSF	USDA	DHS	ED	DOC	EPA	DOT	TOTAL
Total Phase I Awards	2,052	774	268	266	431	92	51	35	25	34	17	4,045
Total Phase I Dollars Awarded (\$)	179,067	206,460	26,853	36,432	67,172	8,006	5,440	3,122	2,323	2,349	1,688	538,912
Minority-Owned / Disadvantaged Phase I Awards	135	42	9	26	42	13	10	-	1	2	4	284
Minority-Owned / Disadvantaged Phase I Dollars (\$)	11,721	7,482	798	2,595	6,722	1,108	1,049	-	95	140	400	32,110
HUBZone Phase I Awards	43	-	11	5	41	21	4	-	-	-	2	
HUBZone Phase I Dollars (\$)	3,649	-	1,200	500	6,256	1,881	450	-	-	-	199	
Women-Owned Phase I Awards	308	13	-	38	-	-	8	-	-	-	4	127
Women-Owned Phase I Dollars (\$)	28,676	2,804	-	3,789	-	-	847	-	-	-	393	14,135
Total Phase II Awards	1,071	309	112	168	80	39	21	11	15	11	9	1,846
Total Phase II Dollars Awarded (\$) (Obligations)	739,387	435,386	109,652	100,414	39,033	14,914	17,965	2,539	4,621	2,474	5,799	1,472,184
Minority-Owned / Disadvantaged Phase II Awards	82	18	2	11	7	13	4	-	2	1	4	
Minority-Owned / Disadvantaged Phase II Dollars (\$)	58,429	17,130	1,200	6,615	3,478	4,878	3,000	-	696	343	2,300	
HUBZone Phase II Awards	15	-	7	5	9	7	2	-	-	-	-	144
HUBZone Phase II Dollars (\$)	6,200	-	3,450	3,036	4,429	2,791	1,500	-	-	-	-	98,069
Women-Owned Phase II Awards	144	2	-	16	-	-	1	-	-	-	5	45
Women-Owned Phase II Dollars (\$)	67,186	3,113	-	9,623	-	-	375	-	-	-	3,250	21,406
Average Amount for Phase I Awards (\$)	87	267	100	137	156	87	107	89	93	69	99	133
Average Amount for Phase II Awards (\$)	690	1,409	979	598	488	382	855	231	308	225	644	797

Fiscal Year 2010 SBIR Agency Solicitation Profile (dollars in thousands)

	DOD	HHS	DOE	NASA	NSF	USDA	DHS	ED	DOC	EPA	DOT	TOTAL
Number of Solicitations Released	3	3	1	1	2	1	3	4	2	1	2	23
Number of Research Topics in Solicitations	753	215	68	31	8	12	17	6	18	10	17	1,155
Number of Phase I Proposals Received	12,799	3,927	1,863	1,705	2,463	538	309	258	318	504	194	24,878
Number of Phase II Proposals Received	1,464	739	342	335	275	62	30	47	37	18	7	3,356

* For DOD, Total Dollars Obligated is calculated by (Phase I & II Obligations + Modifications + Technical Assistance Programs)

Phase I Obligations: \$67,008,921 (Agency 2010) + \$131,199,623 (Agency 2011)

Phase II Obligations: \$374,460,213 (Agency 2010) + \$427,650,709 (Agency 2011)

Modifications: \$100,988,280 (Agency 2010) + 128,452,264 (Agency 2011)

Technical Assistance: \$4,656,753 (Agency 2010) + \$5,116,987 (Agency 2011)

SBIR Summary Table FY2011

Fiscal Year 2011 SBIR Agency Obligations Summary (dollars in thousands)

	DOD	HHS	DOE	NASA	NSF	USDA	DHS	ED	DOC	EPA	DOT	TOTAL
Agency Extramural Budget (\$)	41,678,272	24,713,513	5,856,673	4,998,000	4,956,000	768,200	468,038	329,400	238,570	181,517	384,323	84,572,506
Agency SBIR Budget (\$)	1,041,956	617,823	145,567	124,950	123,900	19,204	16,572	8,647	5,966	4,807	9,608	2,119,000
Dollars Obligated (\$)*	1,080,815	616,918	154,035	177,616	111,474	22,435	19,269	11,110	6,114	4,623	10,510	2,214,918
Percent of SBIR to Extramural Budget	2.59%	2.50%	2.63%	3.55%	2.25%	2.92%	4.12%	3.37%	2.56%	2.55%	2.73%	2.62%
Deficit/Surplus (\$)	38,859	(905)	8,468	52,666	(12,426)	3,231	2,697	2,463	148	(184)	902	95,918

Fiscal Year 2011 SBIR Agency Award Profile (dollars in thousands)

	DOD	HHS	DOE	NASA	NSF	USDA	DHS	ED	DOC	EPA	DOT	TOTAL
Total Phase I Awards	1,816	813	198	450	272	56	44	25	23	27	15	3,739
Total Phase I Dollars Awarded (\$)	172,735	183,834	29,299	44,788	40,352	5,527	4,960	2,548	2,117	2,079	1,720	489,957
Minority-Owned / Disadvantaged Phase I Awards	119	27	6	44	26	0	8	0	2	0	6	238
Minority-Owned / Disadvantaged Phase I Dollars (\$)	11,311	6,834	900	4,385	4,058	0	800	0	185	0	577	29,051
HUBZone Phase I Awards	35	0	12	11	22	4	1	0	0	1	1	87
HUBZone Phase I Dollars (\$)	3,212	0	1,799	1,100	3,578	397	100	0	0	73	100	10,359
Women-Owned Phase I Awards	283	96	7	43	43	11	9	8	1	1	1	503
Women-Owned Phase I Dollars (\$)	27,352	22,535	999	4,226	6,377	1,068	899	900	95	80	100	64,631
Total Phase II Awards	938	292	114	215	98	37	18	12	12	11	12	1,759
Total Phase II Dollars Awarded (\$) (Obligations)	496,664	202,253	66,882	50,144	47,029	16,908	13,393	7,313	3,998	2,474	8,323	915,381
Total Subsequent Phase II Dollars Awarded (\$)	171,241	237,739	57,854	82,687	24,092	0	917	1,250	0	0	394	576,174
Modifications**	240,175									70	73	809,580
Minority-Owned / Disadvantaged Phase II Awards	63	13	1	12	6	4	2	0	1	1	4	107
Minority-Owned / Disadvantaged Phase II Dollars (\$)	46,601	16,981	1,000	7,199	2,715	1,837	2,125	0	400	224	3,136	82,217
HUBZone Phase II Awards	20	1	3	2	8	7	0	1	0	0	3	45
HUBZone Phase II Dollars (\$)	14,264	292	1,993	1,200	3,842	3,130	0	0	0	0	2,386	27,106
Women-Owned Phase II Awards	142	44	14	23	9	4	4	4	1	2	4	251
Women-Owned Phase II Dollars (\$)	103,134	66,711	11,704	13,785	3,985	1,840	2,997	3,050	400	450	2,389	210,445
Average Amount for Phase I Awards (\$)	95	226	148	100	148	99	113	102	92	77	115	131
Average Amount for Phase II Awards (\$)	745	1,468	971	597	726	457	795	714	333	225	726	848

Fiscal Year 2011 SBIR Agency Solicitation Profile

	DOD	HHS	DOE	NASA	NSF	USDA	DHS	ED	DOC	EPA	DOT	TOTAL
Number of Solicitations Released	3	2	1	1	2	1	3	3	2	1	2	21
Number of Research Topics in Solicitations	586	196	71	31	8	10	15	4	11	10	11	953
Number of Phase I Proposals Received	10304	5838	2490	1752	2450	509	219	237	281	464	117	24,661
Number of Phase II Proposals Received	1737	713	246	340	350	75	30	30	23	28	12	3,584

*For DOD, Total Dollars Obligated is calculated by (Phase I & II Obligations + Modifications + Technical Assistance Programs)

Phase I Obligations: \$41,416,586 (Agency 2011) + \$166,724,270 (Agency 2012)

Phase II Obligations: \$374,460,213 (Agency 2011) + \$427,650,709 (Agency 2012)

Modifications: \$100,988,280 (Agency 2011) + 128,452,264 (Agency 2012)

Technical Assistance: \$4,656,753 (Agency 2011) + \$5,116,987 (Agency 2012)

** Modifications include: Subsequent Phase II awards, Technical Assistance Program and Commercial Pilot Program, among

9. Appendix E – STTR Summary Tables

STTR Summary Table FY2009

Fiscal Year 2009 STTR Agency Obligations Summary (dollars in thousands)

	DOD	HHS	DOE	NASA	NSF	TOTAL
Agency Extramural R&D Budget (\$)	46,374,086	23,997,000	5,514,677	5,310,000	5,770,000	86,965,763
Agency SBIR Budget (\$)	139,122	71,990	16,373	16,600	17,310	261,395
Dollars Obligated (\$)*	137,214	88,312	16,241	9,995	21,778	273,540
Percent of SBIR to Extramural Budget	0.30%	0.37%	0.29%	0.19%	0.38%	0.31%
Deficit/Surplus (\$)	(1,908)	16,322	(132)	(6,605)	4,468	12,145

Fiscal Year 2009 STTR Agency Award Profile (dollars in thousands)

	DOD	HHS	DOE	NASA	NSF	TOTAL
Total Phase I Awards	344	117	40	28	59	588
Total Phase I Dollars Awarded (\$)	32,054	25,318	3,992	2,796	8,840	73,000
Minority-Owned / Disadvantaged Phase I Awards	34	4	6	2	4	50
Minority-Owned / Disadvantaged Phase I Dollars	3,099	553	596	200	599	5,047
HUBZone Phase I Awards	5	0	1	1	7	14
HUBZone Phase I Dollars (\$)	410	0	100	100	1,050	1,660
Total Phase II Awards	136	49	14	12	31	242
Total Phase II Dollars Awarded (\$) (Obligations)	103,979	59,743	10,251	7,199	15,407	196,579
Minority-Owned / Disadvantaged Phase II Awards	12	3	1	4	1	21
Minority-Owned / Disadvantaged Phase II Dollars	7,209	3,948	750	2,400	498	14,805
HUBZone Phase II Awards	2	0	0	1	2	5
HUBZone Phase II Dollars (\$)	1,249	0	0	600	1,000	2,849
Average Amount for Phase I Awards (\$)	93	216	100	100	150	124
Average Amount for Phase II Awards (\$)	765	1,219	732	600	497	812
Total Phase I & II Awarded	136,034	85,060	14,243	9,995	24,247	269,579

Fiscal Year 2009 STTR Agency Solicitation Profile

	DOD	HHS	DOE	NASA	NSF	TOTAL
Number of Solicitations Released	2	1	1	1	1	6
Number of Research Topics in Solicitations	123	153	66	10	1	353
Number of Phase I Proposals Received	1,571	598	260	100	275	2804
Number of Phase II Proposals Received	207	114	35	25	86	467

***Notes on HHS Extramural R&D Budget Calculation**

For FY2009, SBA used the department-wide HHS extramural R&D budget (\$24,334.1M (0.36%)) for the compliance calculation. HHS used the NIH's extramural R&D budget (\$23,997.0M (0.37%)) for the compliance calculation as NIH is the only HHS component participating in the STTR program. Although both calculations have shown HHS was in compliance with the 0.3% extramural R&D budget obligation, SBA and HHS are in discussions regarding the appropriate extramural budget measurement.

Fiscal Year 2009 STTR Agency Research Institution Profile

	DOD	HHS	DOE	NASA	NSF	TOTAL
Number of FFRDCS	14	0	18	0	0	32
Number of Universities	441	254	36	50	86	867
Number of Other Non-Profits	25	38	0	2	4	69

Fiscal Year 2009 STTR Agency Cooperative Research Profile (dollars in thousands)

	DOD	HHS	DOE	NASA	NSF	TOTAL
Total Dollars of Awards	136,034	79,217	14,243	13,466	24,247	1,317,582
Dollars to Small Business	72,676	49,768	9,976	8,452	15,367	156,239
Dollars to Research Institution	42,809	38,513	6,266	5,014	8,880	101,481
Number of Awards to Universities	441	254	36	50	86	867
Dollars to Universities	38,809	33,510	4,109	5,463	8,455	90,346
Number of Awards to FFRDCS	14	0	18	0	0	32
Dollars to FFRDCS	1,223	0	1,359	0	0	2,582
Number of Awards to Other Non-Profits	25	38	0	2	4	69
Dollars to Other Non-Profits	2,777	5,003	0	222	424	8,427

PHASE I

Number of Awards to FFRDCS	10	0	15	0	0	25
Number of Awards to Universities	318	139	25	31	57	570
Number of Awards to Other Non-Profits	16	22	0	1	2	41
Total Dollars of Awards	32,054	25,318	3,992	3,196	8,840	72,078
Dollars to Small Business	18,244	15,434	2,453	1,998	5,081	43,179
Dollars to Research Institution	11,637	13,107	1,539	1,198	3,759	31,240
Dollars to Universities	10,785	11,372	1,009	1,168	3,633	27,968
Dollars to FFRDCS	304	0	530	0	0	834
Dollars to Other Non-Profits	548	1,734	0	30	126	2,438

PHASE II

Number of Awards to FFRDCS	4	0	3	0	0	7
Number of Awards to Universities	123	115	11	19	29	297
Number of Awards to Other Non-Profits	9	16	0	1	2	28
Total Dollars of Awards	103,979	59,743	10,251	11,998	15,407	186,948
Dollars to Small Business	54,462	34,334	6,322	7,511	10,286	113,676
Dollars to Research Institution	31,172	25,406	3,929	4,487	5,120	69,927
Dollars to Universities	28,024	22,138	3,099	4,295	4,822	62,378
Dollars to FFRDCS	919	0	829	0	0	1,748
Dollars to Other Non-Profits	2,230	3,269	0	192	298	5,988

*** For DOD, Total Dollars Obligated** is calculated by (Phase I & II Obligations + Modifications + Technical Assistance Programs)

Phase I Obligations: \$103,314,775 (Agency 2009) + \$112,057,874 (Agency 2010)

Phase II Obligations: \$376,156,464 (Agency 2009) + \$364,927,225 (Agency 2010)

Modifications: \$164,048,267 (Agency 2009) + \$123,608,548 (Agency 2010)

Technical Assistance: \$6,509,082 (Agency 2010)

STTR Summary Table FY2010

Fiscal Year 2010 STTR Agency Obligations Summary (dollars in thousands)

	DOD	HHS	DOE	NASA	NSF	TOTAL
Agency Extramural R&D Budget (\$)	45,053,401	24,637,000	5,983,053	4,935,700	4,824,000	85,433,154
Agency SBIR Budget (\$)	135,161	73,910	18,242	3,800	14,047	245,159
Dollars Obligated (\$)*	137,979	83,797	15,720	16,794	22,141	278,015
Percent of SBIR to Extramural Budget	0.31%	0.34%	0.26%	0.34%	0.46%	0.33%
Deficit/Surplus (\$)	2,818	9,887	(2,522)	12,994	8,094	32,856

Fiscal Year 2010 STTR Agency Award Profile (dollars in thousands)

	DOD	HHS	DOE	NASA	NSF	TOTAL
Total Phase I Awards	383	120	45	42	25	625
Total Phase I Dollars Awarded (\$)	35,187	27,793	4,496	4,197	3,737	73,092
Minority-Owned / Disadvantaged Phase I Awards	35	1	1	4	2	44
Minority-Owned / Disadvantaged Phase I Dollars (\$)	2,927	18	0	400	300	3,637
HUBZone Phase I Awards	2	0	4	2	1	7
HUBZone Phase I Dollars (\$)	200	0	400	200	150	749
Total Phase II Awards	158	39	22	21	19	256
Total Phase II Dollars Awarded (\$) (Obligations)	114,377	56,004	11,455	12,597	9,427	174,315
Minority-Owned / Disadvantaged Phase II Awards	13	0	0	1	0	15
Minority-Owned / Disadvantaged Phase II Dollars (\$)	7,623	0	0	600	0	8,822
HUBZone Phase II Awards	2	0	1	0	2	5
HUBZone Phase II Dollars (\$)	1,500	0	750	0	1,000	3,250
Average Amount for Phase I Awards (\$)	92	232	100	100	149	117
Average Amount for Phase II Awards (\$)	724	1,436	521	600	496	681
Total Phase I & II Awarded	149,564	83,797	15,950	16,794	13,164	247,407

Fiscal Year 2010 STTR Agency Solicitation Profile

	DOD	HHS	DOE	NASA	NSF	TOTAL
Number of Solicitations Released	2	1	1	1	1	6
Number of Research Topics in Solicitations	126	145	68	10	1	350
Number of Phase I Proposals Received	1,646	601	278	113	186	2,824
Number of Phase II Proposals Received	183	98	37	31	26	375

*Notes on HHS Extramural R&D Budget Calculation

For FY2010, SBA used the department-wide HHS extramural R&D budget (\$24,965.8M (0.34%)) for the compliance calculation. HHS used the NIH's extramural R&D budget (\$24,637.0M (0.34%)) for the compliance calculation as NIH is the only HHS component participating in the STTR program. Although both calculations have shown HHS was in compliance with the 0.3% extramural R&D budget obligation, SBA and HHS are in discussions regarding the appropriate extramural budget measurement.

Fiscal Year 2010 STTR Agency Research Institution Profile

	DOD	HHS	DOE	NASA	NSF	TOTAL
Number of FFRDCS	22	0	14	1	0	37
Number of Universities	494	212	49	58	44	857
Number of Other Non-Profits	25	40	0	1	0	66

Fiscal Year 2010 STTR Agency Cooperative Research Profile (dollars in thousands)

	DOD	HHS	DOE	NASA	NSF	TOTAL
Total Dollars of Awards	149,564	83,797	15,950	6,794	13,164	247,407
Dollars to Small Business	86,708	47,813	9,955	3,895	17,209	165,579
Dollars to Research Institution	49,607	34,854	5,600	2,899	4,932	97,891
Number of Awards to Universities	494	212	49	58	22	835
Dollars to Universities	46,065	29,454	4,404	7,103	4,932	91,958
Number of Awards to FFRDCS	22	0	14	1	0	37
Dollars to FFRDCS	1,378	0	1,866	73	0	3,317
Number of Awards to Other Non-Profits	25	40	0	1	0	66
Dollars to Other Non-Profits	2,164	5,400	0	100	0	7,664

PHASE I

Number of Awards to FFRDCS	18	0	7	1	0	26
Number of Awards to Universities	347	118	38	40	10	553
Number of Awards to Other Non-Profits	18	24	0	1	0	43
Total Dollars of Awards	35,187	27,793	4,496	3,341	3,737	73,092
Dollars to Small Business	20,223	15,160	2,787	2,006	2,233	42,409
Dollars to Research Institution	12,707	12,525	1,709	1,334	1,504	29,779
Dollars to Universities	11,540	10,485	1,445	3,167	1,504	28,142
Dollars to FFRDCS	553	0	264	73	0	890
Dollars to Other Non-Profits	613	2,040	0	100	0	2,754

PHASE II

Number of Awards to FFRDCS	4	0	7	0	0	11
Number of Awards to Universities	147	94	11	18	12	282
Number of Awards to Other Non-Profits	7	16	0	0	0	23
Total Dollars of Awards	114,377	56,004	11,455	3,453	9,427	174,315
Dollars to Small Business	66,485	32,653	8,938	6,863	5,999	120,938
Dollars to Research Institution	36,900	22,329	4,562	3,935	3,427	71,153
Dollars to Universities	34,525	18,969	2,959	3,935	3,428	63,816
Dollars to FFRDCS	825	0	1,602	0	0	2,427
Dollars to Other Non-Profits	1,550	3,360	0	0	0	4,910

STTR Summary Table FY2011

Fiscal Year 2011 STTR Agency Obligations Summary (dollars in thousands)

	DOD*	HHS	DOE	NASA	NSF	TOTAL
Agency Extramural R&D Budget (\$)	39,232,046	24,310,000	5,865,673	4,998,000	4,956,000	79,361,719
Agency SBIR Budget (\$)	117,696	72,928	17,597	14,990	14,868	238,079
Dollars Obligated (\$)**	122,621	74,185	16,656	20,679	13,240	247,381
Percent of SBIR to Extramural Budget	0.31%	0.31%	0.28%	0.41%	0.27%	0.31%
Deficit/Surplus (\$)	4,925	1,257	(941)	5,689	(1,628)	9,302

Fiscal Year 2011 STTR Agency Award Profile (dollars in thousands)

	DOD	HHS	DOE	NASA	NSF	TOTAL
Total Phase I Awards	309	98	26	45	4	482
Total Phase I Dollars Awarded (\$)	29,754	22,141	2,600	4,489	599	59,582
Minority-Owned / Disadvantaged Phase I Awards	24	2	2	3	0	31
Minority-Owned / Disadvantaged Phase I Dollars (\$)	2,179	400	200	300	0	3,079
HUBZone Phase I Awards	13	0	1	2	0	16
HUBZone Phase I Dollars (\$)	1,200	0	100	200	0	1,500
Total Phase II Awards	127	44	22	27	18	238
Total Phase II Dollars Awarded (\$) (Obligations)	91,174	55,392	16,193	16,190	12,641	191,590
Minority-Owned / Disadvantaged Phase II Awards	9	1	1	1	2	14
Minority-Owned / Disadvantaged Phase II Dollars (\$)	4,907	724	750	599	949	7,930
HUBZone Phase II Awards	2	0	2	0	2	6
HUBZone Phase II Dollars (\$)	816	0	750	0	1,000	2,566
Average Amount for Phase I Awards (\$)	96	226	100	100	150	124
Average Amount for Phase II Awards (\$)	718	1,259	736	600	702	805
Total Phase I & II Awarded	120,927	77,532	18,793	20,679	13,240	251,171

Fiscal Year 2011 STTR Agency Solicitation Profile

	DOD	HHS	DOE	NASA	NSF	TOTAL
Number of Solicitations Released	2	1	1	1	1	6
Number of Research Topics in Solicitations	111	139	71	10	0	224
Number of Phase I Proposals Received	1,274	562	146	124	49	2,155
Number of Phase II Proposals Received	305	105	43	39	46	538

* Dollars obligated can include subsequent awards and modifications to previous year's awards. Total agency obligation for DOD is calculated on a two year basis, with \$55,189.5 for FY2010 and \$65,738 for FY2011 (\$ in thousands)

**Notes on HHS Extramural R&D Budget Calculation

For FY2011, SBA used the department-wide HHS extramural R&D budget (\$24,713.5M (0.31%)) for the compliance calculation. HHS used the NIH's extramural R&D budget (\$24,310M (0.32%)) for the compliance calculation as NIH is the only HHS component participating in the STTR program. Although both calculations have shown HHS was in compliance with the 0.3% extramural R&D budget obligation, SBA and HHS are in discussions regarding the appropriate extramural budget measurement.

Fiscal Year 2011 STTR Agency Research Institution Profile

	DOD	HHS	DOE	NASA	NSF	TOTAL
Number of FFRDCS	25	0	17	3	0	45
Number of Universities	388	154	30	65	5	642
Number of Other Non-Profits	23	35	1	4	4	67

Fiscal Year 2011 STTR Agency Cooperative Research Profile (dollars in thousands)

	DOD	HHS	DOE	NASA	NSF	TOTAL
Total Dollars of Awards	120,927	72,709	18,791	20,507	3,088	214,392
Dollars to Small Business	62,548	43,104	11,468	12,819	2,035	131,974
Dollars to Research Institution	36,749	29,605	7,323	7,689	1,052	82,418
Number of Awards to Universities	388	154	30	65	5	642
Dollars to Universities	31,707	62,625	5,610	6,993	566	107,501
Number of Awards to FFRDCS	25	0	17	3	0	45
Dollars to FFRDCS	2,342	0	1,681	250	0	4,272
Number of Awards to Other Non-Profits	23	35	1	4	4	67
Dollars to Other Non-Profits	2,700	11,559	33	445	487	15,225

PHASE I

Number of Awards to FFRDCS	17	0	13	2	0	32
Number of Awards to Universities	279	81	12	41	2	415
Number of Awards to Other Non-Profits	13	17	1	2	2	35
Total Dollars of Awards	29,754	21,967	2,598	4,317	599	57,313
Dollars to Small Business	17,017	12,366	1,607	2,637	393	34,020
Dollars to Research Institution	10,814	9,601	990	1,681	206	23,293
Dollars to Universities	9,817	18,061	549	1,555	116	30,098
Dollars to FFRDCS	585	0	409	70	0	1,064
Dollars to Other Non-Profits	412	4,080	33	55	90	4,670

PHASE II

Number of Awards to FFRDCS	8	0	4	1	0	13
Number of Awards to Universities	109	73	18	24	3	227
Number of Awards to Other Non-Profits	10	18	0	2	2	32
Total Dollars of Awards	91,174	50,742	16,193	16,190	2,489	157,079
Dollars to Small Business	45,531	30,738	9,861	10,182	1,642	97,954
Dollars to Research Institution	25,935	20,004	6,332	6,008	847	59,126
Dollars to Universities	21,890	44,565	5,061	5,438	450	77,403
Dollars to FFRDCS	1,757	0	1,272	180	0	3,208
Dollars to Other Non-Profits	2,288	7,480	0	390	397	10,554

10. Appendix F – SBIR Award Timelines

Note: As a result of feedback from many SBIR awardees, SBA began collecting timeline information in the beginning of FY 2010.

Award Timelines of Participating SBIR Agencies - FY 2010

	DOD	HHS		DOE	NASA	NSF	USDA	DHS		ED	DOC		EPA	DOT
		GR	CTR					S&T	DNDO		NIST	NOAA		
Average months between phase I proposal deadline and start of award	5.92	9.93	9.03	7.07	4.93	6.45	9.5	4.03	3.57	7.6	6.3	6.07	9	4.23
Percent of phase I awards dispersed in less than 6 months from proposal deadline	42%	10%	10%	0%	100%	0%	0%	100%	100%	48%	0%	0%	0%	100%
Average months between phase I end and phase II start	8.61	20.77	N/A	3.97	6.47	7.38	9.5	6.03	3.07	3.87	5.57	5.03	8	11
Average months between phase II selection and phase II start	N/A*	N/A**	N/A**	0.3	3.9	2.7	3.5	3.53	1 to 3	0.7	0.03	0.03	1	6
Percent of phase II awards dispersed in less than 3 months	N/A*	N/A**	N/A**	100%	2%	16%	0%	13%	100%	100%	100%	100%	100%	0%

Footnotes

*DOD does not track the date a company is notified of an award.

**NIH does not track the date a company is notified of an award. The duration between notification and first day of period of performance can range from a week to several months. Long delays (i.e. >60 days) are usually due to the delay in the NIH budget each fiscal year.

Abbreviations

NIST - National Institute of Standards and Technology

NOAA - National Oceanic and Atmospheric Administration

S&T - Science and Technology

DNDO - Domestic Nuclear Detection Office

GR - Grants

CTR - Contracts

Award Timelines of Participating SBIR Agencies - FY 2011

	DOD	HHS	DOE	NASA	NSF	USDA	DHS	ED	DOC	EPA	DOT
Average months between phase I proposal deadline and start of award	4.59	9.93	7.1	5.63	6.8	10.53	3.73	5.27	7.07	9.8	6.4
Percent of phase I awards dispersed in less than 6 months from proposal deadline	58%	10%	0%	99%	70%	0%	98%	100%	0%	0%	73%
Average months between phase I end and phase II start	9.42	20.77	5.13	10.23	7.26	6.12	9.1	6	6.57	8.13	16.5
Average months between phase II selection and phase II start	0	0	1.5	7.53	2.3	2.83	4.2	5.27	1	1	4.23
Percent of phase II awards dispersed in less than 3 months	100%	0%	100%	0%	41%	0%	0%	100%	100%	100%	18%

2012 Policy Directive: SBIR Funding Process on Selection of Awardees

The language below is borrowed from the draft of the forthcoming Policy Directive on SBA’s efforts to reduce award timelines.

(1) Time period for decision on proposals.

- (i) NIH and NSF must provide notice to applicants on a proposal decision within 12 months after the closing date of the solicitation and issue the award within 15 months.
- (ii) All other agencies must provide notice to applicants on a proposal decision within 90 days after the closing date of the solicitation and issue the award within 180 calendar days.
- (iii) All agencies are encouraged to further reduce award timelines below these upper limits.