



# SBIR: Defining Metrics and Outcomes of Success

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# Caveats

- Existing studies from both NIH and the NRC are snapshots in time and cover a subset of SBIR Phase II awardees, dependent on survey responses
- Participants in the Commercial Assistance Program (CAP) are tracked for 18 months
- Outcome numbers are underestimates
- The PODS database currently has data for CAP participants only
- Invention reporting is required as a term and condition of award and is required to be updated after award.

# NIH Evaluation of SBIR Program Outcomes

- 2003 National Survey to Evaluate the NIH SBIR Program
  - NIH surveyed companies that received Phase II awards between 1992 and 2001
  - 768 respondents – 73% reported commercializing new or improved products, processes, usages, and/or services in health-related fields.
- 2009 National Survey to Evaluate the NIH SBIR Program
  - NIH surveyed companies that received Phase II awards between 2002 and 2006
  - 719 respondents – 61% reported commercializing the core technology or information supported by their award

# NRC Evaluation of SBIR Program

- Meeting program and legislative goals, supporting the NIH mission, and supporting small businesses
- Achieving significant commercialization:
  - Phase II Survey data shows that 40 percent of SBIR-funded projects reach the marketplace
  - A smaller number (3-4%) of projects each generate more than \$5 million in revenues, a skew not atypical of early-stage technology funding
  - 58% of the NRC Phase II survey respondents attracted additional investment (not including additional SBIR awards)

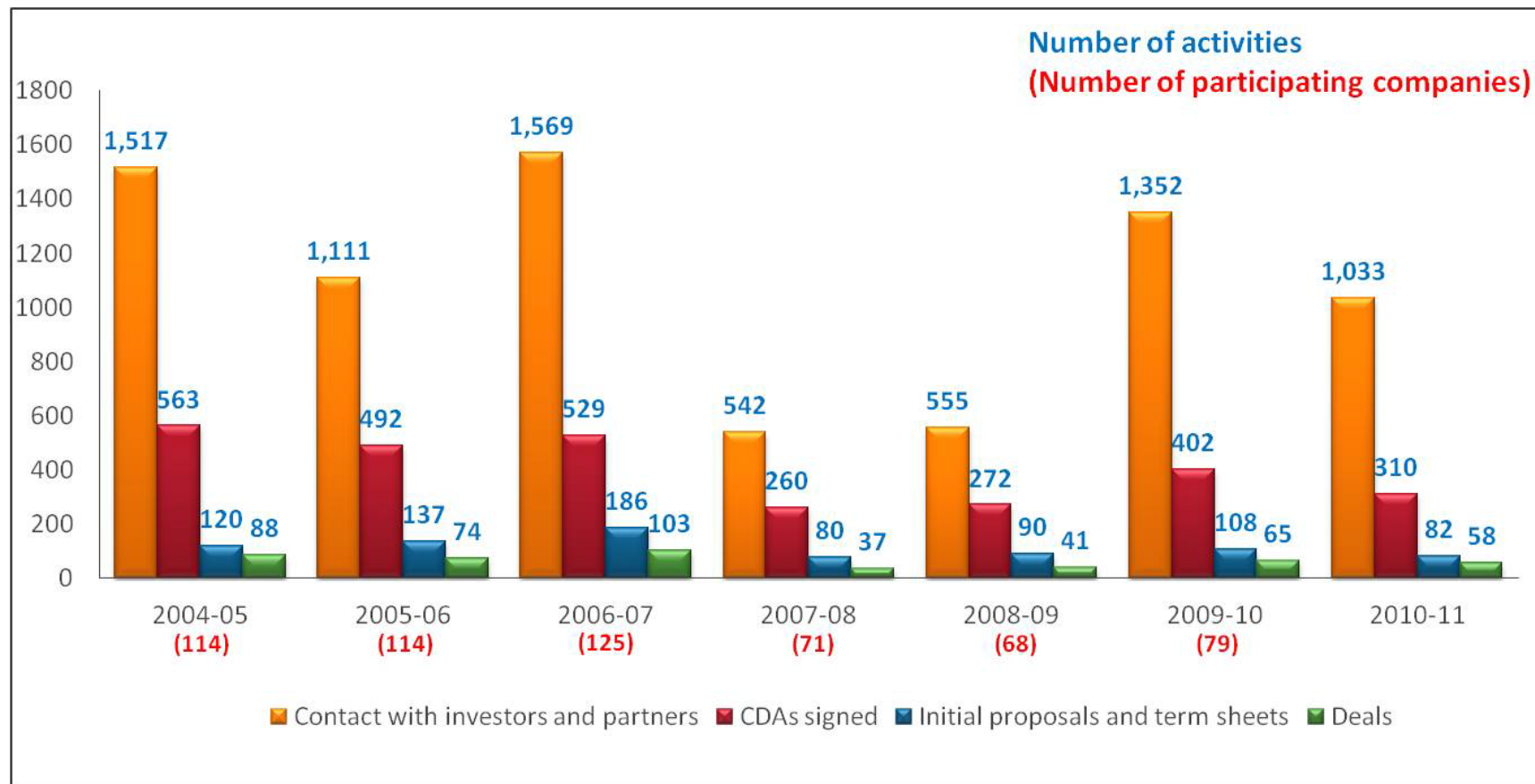
# NIH Commercialization Assistance Program (CAP)

- Specialized technical assistance program for SBIR Phase II Awardees
- Established in 2004
- Funded by NIH, managed by Larta Institute
- 690 SBIR Phase II life science companies to date
- Grantees from the past five years are eligible
- 2009-2010 split into two tracks:
  - Advanced Commercialization Training Track (ACT)
  - Commercialization Training Track (CTT)
- 10 month long program that includes personalized 1-on-1 mentoring, and developing industry connections

# CAP Company Tracking

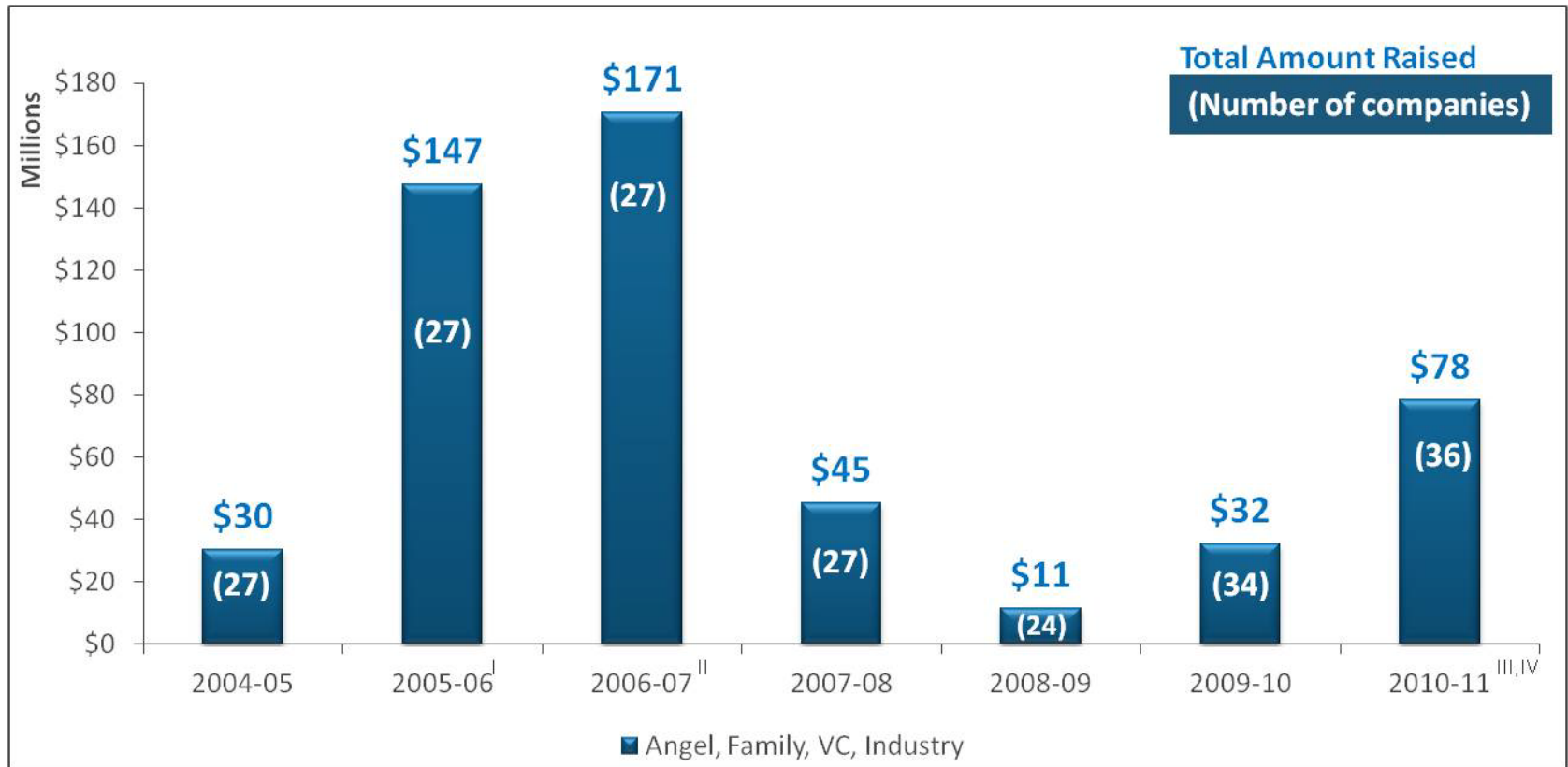
- Use an online portal to track companies' performance over 18 months after the program ends
- Metrics collected include:
  - Investment funds raised
  - Grant/loans received
  - New jobs created
  - Partnerships
  - New products
  - Product sales
  - Financial indicators
  - Qualitative assessment

# CAP Results: Road to Commercialization



**\*2010-11 18 month tracking not complete**

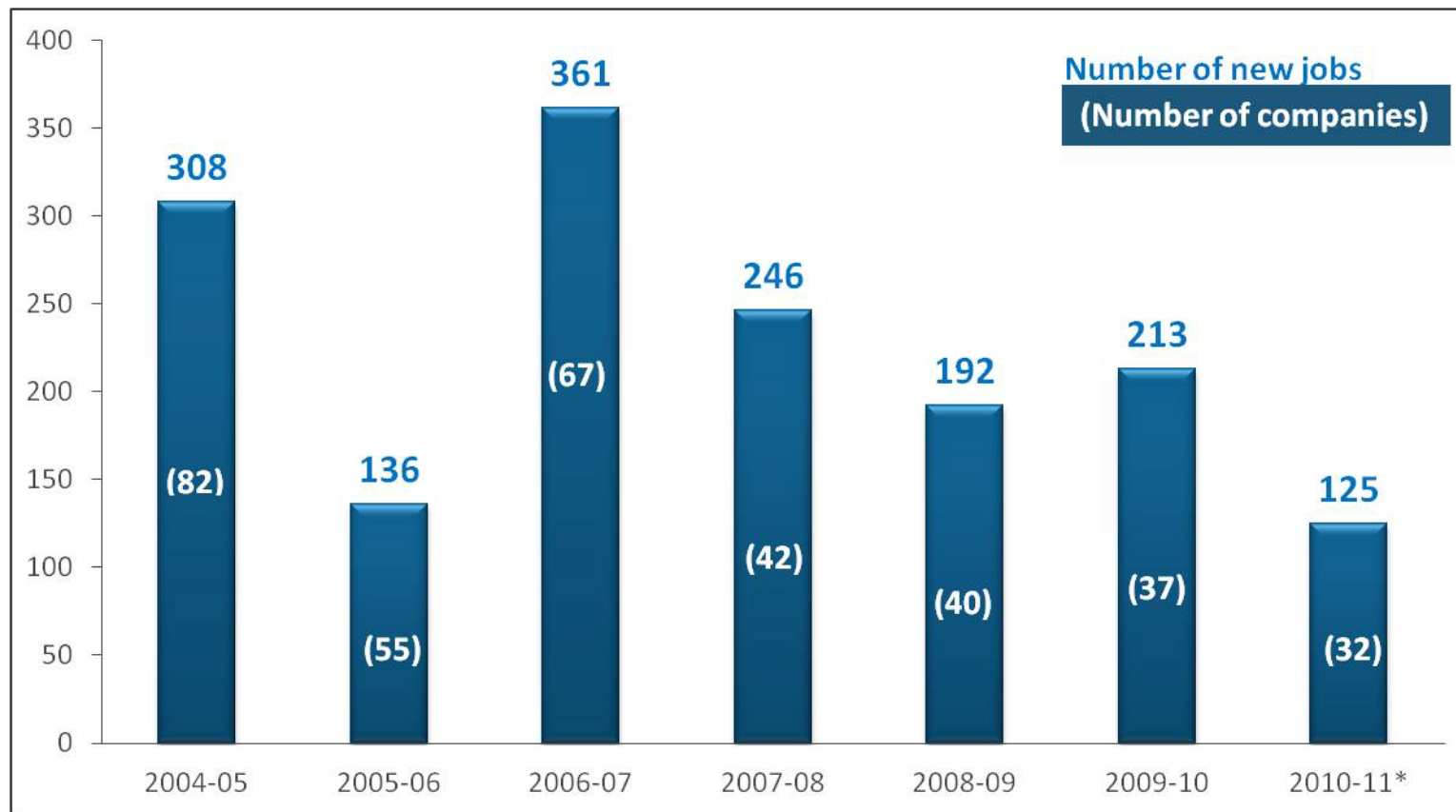
# Results: Non-Government Funding Raised



**Total: greater than \$500 Million raised**



# Results: Employment



**1,581 new jobs created by 355 companies (minimum)**  
**51% of CAP companies reported increase in employment**

# Performance Outcomes and Data Systems (PODS)

- Integrated, flexible tool for program managers
- For NIH internal users only
- Allows users to save reports and choose to share them with others
- All data in PODS are primarily linked to project number
- Enhances NIH's SBIR/STTR program reporting capabilities on commercialization outcomes

# Current PODS Content

- SBIR/ STTR awardee data sourced from IMPAC II
- 2002 and 2008 National Surveys of the Programs = Legacy Data
- Commercialization Assistance Program (CAP) outcomes and Quad Chards = SBIR companies only
- Success Stories
- Other publicly available data: patents, publications, clinicaltrials.gov data, etc.
- Google search linkage to each company
- Query save/share / export features

# Next Steps

- Overall goal and requirement to institute routine tracking of all awardees using multiple metrics including long-term commercialization outcomes. Requires:
  - Additional resources (may be available from 3% Admin Funds in re-authorization)
  - OMB approval to track awardees after the award ends.
- Reauthorization requires companies to provide updates on their commercialization outcomes, both on previous awards and going forward.
- Expand CAP to STTR
- Revised, enhanced NIH SBIR/STTR final report form undergoing clearance. Designed to capture structured commercialization data at the end of the award, and could be used for follow-on tracking.