

Small Business Administration
Small Business Innovation Research (SBIR) and Small Business Technology
Transfer (STTR) SBIR.gov Database
OMB Control Number 3245-0356
Justification – Part A Supporting Statement

Overview of Information Collection:

SBA is requesting a reinstatement without change of the Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) SBIR.gov database collection, OMB Control Number 3245-0356. This collection governs the collection of the SBIR.gov Company Registry and Commercialization Databases, the only collections in which SBA requests data directly from SBIR/STTR program applicants and participants. See 15 U.S.C. § 638(b)(7) and (k).

1. Need & Method for the Information Collection.

SBA, as the overall administrator for the SBIR and STTR Programs, is required to collect and report to the U.S. Congress information regarding awards made to small business concerns (SBCs) by each Federal agency participating in these programs. The information in the Company Registry and the Commercialization Database, formerly known as Tech Net, is used for evaluating and reporting on the SBIR and STTR programs and collected online through SBIR.gov.

Company Registry: The database includes ownership information from the company at time of application for an SBIR or STTR award. The information is used to help determine eligibility for the award. The registry also is used to provide a mechanism for meeting the statutory requirement that small businesses that are majority-owned by venture capital operating companies (VCOs), hedge funds and private equity firms be registered. See 15 U.S.C. § 638(k)(1)(F)(i) and (dd)(3). The Company Registry includes an option for the small business to consent to release contact information to local and State-level economic development organizations as required by statute. See 15 U.S.C. § 638(ll).

Commercialization Database: This database collects measures of commercial success, such as a company's total sales, additional research & development, external investment amounts, the number of patents filed, the valuation of an initial public offering (IPO), and information on whether the small business merged with another company or was acquired. The collected information is used by the SBA and other participating federal agencies to assess the performance of individual awardees and the overall performance and commercial impact of the SBIR and STTR programs and satisfies the requirement requiring Phase II award winners to provide and update such data. See 15 U.S.C. § 638(k)(2) and (3). The data collection is further used to enforce required minimum data requirements and increased performance standards for participation to ensure applicants meet continued program eligibility. See 15 U.S.C. § 638(qq).

The Company Registry and the Commercialization Database are components of the online SBIR.gov platform and are self-administered webforms. Companies who do not complete the Company Registry are unable to submit applications to the SBIR/STTR programs, and those not providing the required commercialization database information may be deemed ineligible to participate in the SBIR/STTR program. Failure to collect this information may threaten SBIR/STTR participating agencies and SBA of fulfilling requirements and tenets of the Small Business Act (See 15 U.S.C. § 638).

2. Use of the Information.

The information in the Company Registry and the Commercialization Database is used for program implementation, and the SBA's independent monitoring and reporting on the SBIR and STTR programs. The Company Registry information is used to help determine eligibility for SBIR and STTR awards and is used to provide a mechanism for meeting the statutory requirement that small businesses that are majority-owned by VCOCs, hedge funds and private equity firms be registered. See 15 U.S.C. § 638(k)(1)(F)(i) and (dd)(3).

Information collected in the commercialization database is used by the SBA and other agencies to assess the performance of individual awardees and the overall performance and commercial impact of the SBIR and STTR programs and assess awardees eligibility for the program based on meeting statutory minimum performance benchmarks. Commercialization data is only available for use solely for program evaluation purposes by the Federal Government or by other authorized persons subject to use and non-disclosure agreements with the Federal Government covering the use of the database. See 15 U.S.C. § 638(k)(2)(F). Information contained in the commercialization database is considered privileged and confidential and not subject to disclosure.

3. Use of Information Technology.

Information contained in all databases described in the preceding sections is accessed and maintained using the SBIR.gov online platform. Users register with Okta to receive confidential login credentials which are needed for secure access. SBIR.gov also maintains an active system account with SAM.gov to verify SBC registrations and supplement data collection to reduce the information collection burden. 100% of the responses will be collected electronically.

4. Non-duplication.

The SBA is not currently collecting this statutorily mandated information through any other SBA programs or systems. Currently, there are no other centralized database systems other than SBIR.gov that contain validated SBIR or STTR company registrations and all the statutorily required award data. System for Award Management (SAM) does have valid company data and basic award information but does not cover all the fields SBA must collect or all the details SBA is required to provide to Congress in annual reports. In addition, not all applicants are required to be registered in SAM at time of application. SBA incorporates data from SAM directly into

SBIR.gov through an Application Programming Interface to collect already reported firm data, to validate firms and minimize information collected directly from the firm. The Commercialization database is used by SBA to centralize the commercialization reporting process instead of reporting the data separately with different agencies.

5. Burden on Small Business.

SBA continues to take steps to minimize the burden associated with this information collection. First, where possible, SBCs only need to submit certain information once; the collection system will auto populate certain fields, and the information will be electronically available to all participating agencies. This obviates the need for SBCs to send the same information to all agencies separately. Second, the information requested is primarily the type of information that businesses are expected to maintain as part of the ordinary course of business or is information that these SBCs would necessarily have to compile in order to complete the application process at the federal agencies that participate in the SBIR/STTR programs. SBA also utilizes systems like SAM.gov to supplement information previously reported by these small businesses to further reduce its reporting burden. The commercialization database also pre-populates the small businesses historic awards to further minimize data entry. 100% of respondents are expected to be small entities.

6. Less Frequent Collection.

The Small Business Act, 15 U.S.C. § 638(b)(6) requires SBA to independently survey and monitor the operation of the SBIR and STTR Programs with participating agencies. Failure to collect this information would hamper the ability to effectively evaluate and monitor the programs. The agencies and SBA would not be fully compliant with the statute if the information is not collected and reported. Likewise, collecting this information less frequently, e.g., pursuant to every other award instead of every award, would also be in violation of the statute.

The SBIR/STTR reporting requirements for small business are designed to help minimize fraud, waste, and abuse in the program.

7. Paperwork Reduction Act Guidelines.

The Small Business Act (15 U.S.C. § 638(k)) requires that data on commercialization be considered proprietary and protected from public disclosure. The SBA protects this data by restricting access to the Commercialization database to only those individual government employees and authorized government support contractors that have signed non-disclosure agreements and who require access to these databases as part of their job requirements. The Small Business Act (15 U.S.C. § 638(k)) also directs SBA to require that all SBCs applying for a Phase II award update the commercialization database on all prior Phase II awards, and companies receiving a Phase I or Phase II award voluntarily update certain information about their awards annually for a period of five years. All other information collected requires the

respondents to retain records, other than grant/contract or tax records, for no more than three years.

8. Consultation and Public Comments.

SBA published a notice for public comment on this information collection renewal in the Federal Register at 91 FR 21858 on Thursday April 23, 2026. The comment period ended on June 22, 2026. SBA did not receive any comments during the public comment period.

9. Gifts or Payment.

There will be no payments or gifts given to any respondent.

10. Privacy & Confidentiality.

The information collected does contain personally identifiable information and business sensitive information. Pursuant to 15 U.S.C. § 638(k)(4), certain information provided to the Company Registry and the Commercialization Database are only accessible to government personnel and authorized government support contractors that have signed non-disclosure agreements and are privileged and confidential and not subject to disclosure pursuant to 5 U.S.C. § 552, Freedom of Information Act (FOIA), and must not be considered to be a publication for purposes of 35 U.S.C. § 102(a) or (b). In addition, the collection of other business information may implicate the Trade Secrets Act and therefore is subject to protection under Exemption 4 of the FOIA. Any information not specifically protected will nonetheless be protected to the extent permitted by law.

11. Sensitive Questions.

The information collected does include data that is or may be considered sensitive. As discussed below, such data is either statutorily required and protected from disclosure or can be justified as the most effective means to achieve agency objectives. The URL for the Privacy Act SORN governing this collection is available under SBA 38 - TechNet: SBA Privacy Act Issuance (govinfo.gov), 78 FR 23810 (April 22, 2013).

SBA requests the Unique Entity Identifier (UEI) as part of the application to identify participating firms. Firms funded by the SBIR or STTR programs may undergo name or address changes, which makes it difficult to link the program award with the eventual commercial impact. Therefore, the UEI is used to provide standard identification for participating firms.

Additionally, the programs also require SBCs to report the ownership percentages for equity investors as required in the Small Business Act (15 U.S.C. § 638(k)). This information is

sensitive because SBCs do not want this information divulged to competitors. This knowledge has the potential to discourage private investments in the firm.

Third, the Small Business Act (15 U.S.C. § 638(k)) requires the collection and tracking of potentially sensitive data related to an investor who is not a U.S. citizen or permanent resident alien (including the name of such individual) and if an investor is an entity which is not organized under the laws of a U.S. State or the United States (including the name of investor) (as defined by 20 U.S.C. §1001 et. seq.).

The website for the Commercialization database notifies respondents that the information provided for this database will be considered commercially sensitive, treated as confidential, and is exempted from disclosure under the Freedom of Information Act. It will be available only to authorized persons within the reporting firm and to those Federal officials with specific clearance granted by SBA. The data will be protected using Point-To-Point Session Encryption. All logins are protected by "https," the industry standard for encryption. The same standards, disclosures, and security measures defined and applied in the Commercialization database are applied to the Company Registry.

12. Burden Estimate.

Information will be collected from small businesses once whenever possible. This means that the annual reporting burden on small businesses will decrease each year a returning applicant applies to the program because applicants will only be updating changes and confirming data previously reported has not changed. Approximately 34,000 firms are currently registered in the Company Registry at SBIR.gov.

(a) The *Company Registry Database* contains information from companies that plan on submitting SBIR/STTR proposals to solicitations from participating agencies.

Analysis covering last three years shows an average of 4,710 registrations for companies and based on system data, the respondents averaged 15 minutes per registration. More active companies are required to update their registration information at least once every six months; this applies to a subset of registrants which is estimated at half of the annual registrants. This represents a total burden of about 1,766 hours per year. This number is lower than previous years due to reduced numbers of new registrants and firms receiving multiple SBIR awards.

(b) *Commercialization (government) database.* This database contains information from all SBIR or STTR applicants that have won Phase II awards in the past. Each of these Phase II awardees will be asked to complete the survey upon application and to voluntarily update such information annually for a period of five years. The amount of time it will take an awardee to update their Commercialization database profile will vary depending on the number of Phase II awards the firm has been awarded.

Based on review of 2025 data, SBA concluded that 2,376 firms utilized this database to update their company records, submitting 4,022 Company Commercialization Reports, averaging

1.69 reports per firm. The average time spent on submitting these reports was 42 minutes, for a burden total of 2,815 hours.

A financial officer of the SBCs will likely input this information. SBA has assumed that the officer's pay is equal to a GS-14, step 1, employee in the Washington, DC area, who makes on average \$69.19/hour.

Based on this estimate and an average of \$69.19/hour, the estimated annual burden for the Company Registry is \$138,400, based on an estimate of 8,000 firms. The estimated annual cost burden for the Commercialization database is \$204,617. The Commercialization database estimate is based on approximately 2,500 firms using this form annually and 4,225 reports submitted.

SBA estimates that there will be no total annual cost burden to respondents for record keeping or third-party disclosure resulting from collection of the information for the Company Registry and/or the Commercialization databases. The information requested should be collected and retained in the ordinary course of business and no special equipment is needed in order to comply with the information request.

Burden per Response for Company Registry:					
	Number of Respondents	Time Per Response	Cost Per Response	Annual Burden Hours	Annual Burden Cost
Reporting	8,000	Average 15 minutes	\$17.30	2,000	\$138,400
Record Keeping					
Third Party Disclosure					
Total	8,000	15 minutes	\$17.30	2,000	\$138,400
Burden per Response for Commercialization database:					
	Number of Respondents	Time Per Response	Cost Per Response	Annual Burden Hours	Annual Burden Cost
Reporting	4,225 reports	Average 42 minutes	\$48.43	2,958	\$204,617
Record Keeping					
Third Party					

Disclosure					
Total	4,225 reports	42 minutes	\$48.43	2,958	\$204,617
Annual Burden:					
	Annual Time Burden (Hours)		Annual Cost Burden (Dollars)		
Reporting	4,958		\$343,044		
Record Keeping					
Third Party Disclosure					
Total	4,958		\$343,044		

13. Estimated nonrecurring costs.

Not applicable.

14. Estimated cost to the Government

The SBA estimates that the annual cost to the federal government of collecting and maintaining SBIR.gov will be equivalent to 500 hours of work for government or contractor employees. Employees with the required skills for this work are estimated to be equivalent to the GS 14, step 1 level in the Washington, DC area, who make on average \$69.19 per hour or \$143,913 per year. The total estimated labor costs for 500 hours or work at the above pay rate are estimated to be \$34,595. Overall operations and maintenance for SBIR.gov and related databases are estimated to cost \$1,000,000 a year. Total annual combined costs for labor and SBIR.gov operations and maintenance are \$1,034,595.

15. Reasons for changes. Explain the reasons for any program changes or adjustments reported on the burden worksheet.

Upcoming fiscal years should see an increase in the number of firms participating in the SBIR and STTR programs which increases utilization of the Company Registry. Additionally, SBA has made user experience adjustments and made a concerted and coordinated effort to enhance the user experience and utilization of the Commercialization Database resulting in a

higher number of firms utilizing the tool, which was also offset by user experience enhancements streamlining the identifying and population of awards and data.

	Requested	Program Change Due to New Statute	Program Change Due to Agency Discretion	Change Due to Adjustment in Agency Estimate	Change Due to Potential Violation of the PRA	Previously Approved
Annual Number of Responses for this IC	12,225				12,225	0
Annual IC Time Burden (Hour)	4,958				4,958	0
Annual IC Cost Burden (Dollars)	\$343,044				\$343,044	0

16. Publicizing Results.

SBA reports general award information, including abstracts of each award in SBIR.gov. SBA also issues an SBIR/STTR Annual Report each year which includes statutorily required general program and award information.

17. OMB Not to Display Approval.

Not applicable. SBA will display the expiration date.

18. Exceptions to "Certification for Paperwork Reduction Submissions."

Not applicable.

Part B: Surveys, Censuses, and Other Collections that Employ Statistical Methods.

Not applicable.