

**AMENDMENT TO THE RULES COMMITTEE PRINT  
FOR H.R. 4435  
OFFERED BY MR. COLLINS OF NEW YORK**

At the end of title VIII, add the following new section:

1 **SEC. 827. INNOVATIVE APPROACHES TO TECHNOLOGY**  
2 **TRANSFER.**

3 Section 9(jj) of the Small Business Act (15 U.S.C.  
4 638(jj)) is amended to read as follows:

5 “(jj) INNOVATIVE APPROACHES TO TECHNOLOGY  
6 TRANSFER.—

7 “(1) GRANT PROGRAM.—

8 “(A) IN GENERAL.—Each Federal agency  
9 required by subsection (n) to establish an  
10 STTR program shall carry out a grant program  
11 to support innovative approaches to technology  
12 transfer at institutions of higher education (as  
13 defined in section 101(a) of the Higher Edu-  
14 cation Act of 1965 (20 U.S.C. 1001(a)), non-  
15 profit research institutions and Federal labora-  
16 tories in order to improve or accelerate the  
17 commercialization of federally funded research

1 and technology by small business concerns, in-  
2 cluding new businesses.

3 “(B) AWARDING OF GRANTS AND  
4 AWARDS.—

5 “(i) IN GENERAL.—Each Federal  
6 agency required by subparagraph (A) to  
7 participate in this program, shall award,  
8 through a competitive, merit-based process,  
9 grants, in the amounts listed in subpara-  
10 graph (C) to institutions of higher edu-  
11 cation, technology transfer organizations  
12 that facilitate the commercialization of  
13 technologies developed by one or more such  
14 institutions of higher education, Federal  
15 laboratories, other public and private non-  
16 profit entities, and consortia thereof, for  
17 initiatives that help identify high-quality,  
18 commercially viable federally funded re-  
19 search and technologies and to facilitate  
20 and accelerate their transfer into the mar-  
21 ketplace.

22 “(ii) USE OF FUNDS.—Activities sup-  
23 ported by grants under this subsection  
24 may include—

1                   “(I) providing early-stage proof  
2 of concept funding for translational  
3 research;

4                   “(II) identifying research and  
5 technologies at institutions that have  
6 the potential for accelerated commer-  
7 cialization;

8                   “(III) technology maturation  
9 funding to support activities such as  
10 prototype construction, experiment  
11 analysis, product comparison, and col-  
12 lecting performance data;

13                   “(IV) technical validations, mar-  
14 ket research, clarifying intellectual  
15 property rights position and strategy,  
16 and investigating commercial and  
17 business opportunities;

18                   “(V) programs to provide advice,  
19 mentoring, entrepreneurial education,  
20 project management, and technology  
21 and business development expertise to  
22 innovators and recipients of tech-  
23 nology transfer licenses to maximize  
24 commercialization potential; and

1                   “(VI) conducting outreach to  
2                   small business concerns as potential  
3                   licensees of federally funded research  
4                   and technology, and providing tech-  
5                   nology transfer services to such small  
6                   business concerns.

7                   “(iii) SELECTION PROCESS AND AP-  
8                   PLICATIONS.—Qualifying institutions seek-  
9                   ing a grant under this subsection shall  
10                  submit an application to a Federal agency  
11                  required by subparagraph (A) to partici-  
12                  pate in this program at such time, in such  
13                  manner, and containing such information  
14                  as the agency may require. The application  
15                  shall include, at a minimum—

16                         “(I) a description of innovative  
17                         approaches to technology transfer,  
18                         technology development, and commer-  
19                         cial readiness that have the potential  
20                         to increase or accelerate technology  
21                         transfer outcomes and can be adopted  
22                         by other qualifying institutions, or a  
23                         demonstration of proven technology  
24                         transfer and commercialization strate-  
25                         gies, or a plan to implement proven

1 technology transfer and commer-  
2 cialization strategies, that can achieve  
3 greater commercialization of federally  
4 funded research and technologies with  
5 program funding;

6 “(II) a description of how the  
7 qualifying institution will contribute  
8 to local and regional economic devel-  
9 opment efforts; and

10 “(III) a plan for sustainability  
11 beyond the duration of the funding  
12 award.

13 “(iv) PROGRAM OVERSIGHT  
14 BOARDS.—

15 “(I) IN GENERAL.—Successful  
16 proposals shall include a plan to as-  
17 semble a Program Oversight Board,  
18 the members of which shall have tech-  
19 nical, scientific, or business expertise  
20 three-fifths of whom shall be drawn  
21 from industry, start-up companies,  
22 venture capital or other equity invest-  
23 ment mechanism, technical enter-  
24 prises, financial institutions, and busi-  
25 ness development organizations with a

1 track record of success in commer-  
2 cializing innovations. Proposals may  
3 use oversight boards in existence on  
4 the date of the enactment of the How-  
5 ard P. ‘Buck’ McKeon National De-  
6 fense Authorization Act for Fiscal  
7 Year 2015 that meet the requirements  
8 of this subclause.

9 “(II) PROGRAM OVERSIGHT  
10 BOARDS RESPONSIBILITIES.—Pro-  
11 gram Oversight Boards shall—

12 “(aa) establish award pro-  
13 grams for individual projects;

14 “(bb) provide rigorous eval-  
15 uation of project applications;

16 “(cc) determine which  
17 projects should receive awards, in  
18 accordance with guidelines estab-  
19 lished under subparagraph  
20 (C)(ii);

21 “(dd) establish milestones  
22 and associated award amounts  
23 for projects that reach mile-  
24 stones;

1                   “(ee) determine whether  
2 awarded projects are reaching  
3 milestones; and

4                   “(ff) develop a process to re-  
5 allocate outstanding award  
6 amounts from projects that are  
7 not reaching milestones to other  
8 projects with more potential.

9                   “(III) CONFLICT OF INTER-  
10 EST.—Program Oversight Boards  
11 shall be composed of members who do  
12 not have a conflict of interest. Boards  
13 shall adopt conflict of interest policies  
14 to ensure relevant relationships are  
15 disclosed and proper recusal proce-  
16 dures are in place.

17                   “(C) GRANT AND AWARD AMOUNTS.—

18                   “(i) GRANT AMOUNTS.—Each Federal  
19 agency required by subparagraph (A) to  
20 carry out a grant program may make  
21 grants up to \$3,000,000 to a qualifying in-  
22 stitution.

23                   “(ii) AWARD AMOUNTS.—Each quali-  
24 fying institution that receives a grant  
25 under subparagraph (B) shall provide

1 awards for individual projects of not more  
2 than \$100,000, to be provided in phased  
3 amounts, based on reaching the milestones  
4 established by the qualifying institution's  
5 Program Oversight Board.

6 “(D) AUTHORIZED EXPENDITURES FOR  
7 INNOVATIVE APPROACHES TO TECHNOLOGY  
8 TRANSFER GRANT PROGRAM.—

9 “(i) PERCENTAGE.—The percentage  
10 of the extramural budget for research, or  
11 research and development, each Federal  
12 agency required by subsection (n) to estab-  
13 lish an STTR program shall expend on the  
14 Innovative Approaches to Technology  
15 Transfer Grant Program shall be—

16 “(I) 0.05 percent for each of fis-  
17 cal years 2014 and 2015; and

18 “(II) 0.1 percent for each of fis-  
19 cal years 2016 and 2017.

20 “(ii) TREATMENT OF EXPENDI-  
21 TURES.—Any portion of the extramural  
22 budget expended by a Federal agency on  
23 the Innovative Approaches to Technology  
24 Transfer Grant Program shall apply to-



1           wards the agency's expenditure require-  
2           ments under subsection (n).

3           “(2) PROGRAM EVALUATION AND DATA COL-  
4           LECTION AND DISSEMINATION.—

5           “(A) EVALUATION PLAN AND DATA COL-  
6           LECTION.—Each Federal agency required by  
7           paragraph (1)(A) to establish an Innovative Ap-  
8           proaches to Technology Transfer Grant Pro-  
9           gram shall develop a program evaluation plan  
10          and collect annually such information from  
11          grantees as is necessary to assess the Program.  
12          Program evaluation plans shall require the col-  
13          lection of data aimed at identifying outcomes  
14          resulting from the transfer of technology with  
15          assistance from the Innovative Approaches to  
16          Technology Transfer Grant Program. Such  
17          data may include—

18                 “(i) specific follow-on funding identi-  
19                 fied or obtained, including follow-on fund-  
20                 ing sources, such as Federal sources or  
21                 private sources, within 3 years of the com-  
22                 pletion of the award;

23                 “(ii) number of projects which, within  
24                 5 years of receiving an award under para-  
25                 graph (1), result in a license to a start-up

1 company or an established company with  
2 sufficient resources for effective commer-  
3 cialization;

4 “(iii) the number of invention disclo-  
5 sures received, United States patent appli-  
6 cations filed, and United States patents  
7 issued within 5 years of the award;

8 “(iv) number of projects receiving a  
9 grant under paragraph (1) that secure  
10 Phase I or Phase II SBIR or STTR  
11 awards;

12 “(v) available information on revenue,  
13 sales or other measures of products that  
14 have been commercialized as a result of  
15 projects awarded under paragraph (1),  
16 within 5 years of the award;

17 “(vi) number and location of jobs cre-  
18 ated resulting from projects awarded under  
19 paragraph (1); and

20 “(vii) other data as deemed appro-  
21 priate by a Federal agency required by this  
22 subparagraph to develop a program evalua-  
23 tion plan.

24 “(B) EVALUATIVE REPORT TO CON-  
25 GRESS.—The head of each Federal agency that

1 participates in the Innovative Approaches to  
2 Technology Transfer Grant Program shall sub-  
3 mit to the Committee on Science, Space, and  
4 Technology and the Committee on Small Busi-  
5 ness of the House of Representatives and the  
6 Committee on Small Business and Entrepre-  
7 neurship of the Senate an evaluative report re-  
8 garding the activities of the program. The re-  
9 port shall include—

10 “(i) a detailed description of the im-  
11 plementation of the program;

12 “(ii) a detailed description of the  
13 grantee selection process;

14 “(iii) an accounting of the funds used  
15 in the program; and

16 “(iv) a summary of the data collected  
17 under subparagraph (A).

18 “(C) DATA DISSEMINATION.—For the pur-  
19 poses of program transparency and dissemina-  
20 tion of best practices, the Administrator shall  
21 include on the public database under subsection  
22 (k)(1) information on the Innovative Ap-  
23 proaches to Technology Transfer Grant Pro-  
24 gram, including—

1                   “(i) the program evaluation plan re-  
2                   quired under subparagraph (A);

3                   “(ii) a list of recipients by State of  
4                   awards under paragraph (1); and

5                   “(iii) information on the use of grants  
6                   under paragraph (1) by recipient institu-  
7                   tions.”.

