

**AMENDMENT TO THE RULES COMMITTEE PRINT
FOR H.R. 1806
OFFERED BY MR. COLLINS OF NEW YORK AND
MR. KILMER OF WASHINGTON**

Page 194, after line 13, add the following new title:

1 **TITLE IX—INNOVATIVE AP-**
2 **PROACHES TO TECHNOLOGY**
3 **TRANSFER**

4 **SEC. 901. INNOVATIVE APPROACHES TO TECHNOLOGY**
5 **TRANSFER.**

6 Section 9(jj) of the Small Business Act (15 U.S.C.
7 638(jj)) is amended to read as follows:

8 “(jj) INNOVATIVE APPROACHES TO TECHNOLOGY
9 TRANSFER.—

10 “(1) GRANT PROGRAM.—

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

1 tories in order to improve or accelerate the
2 commercialization of federally funded research
3 and technology by small business concerns, in-
4 cluding new businesses.

5 “(B) AWARDING OF GRANTS AND
6 AWARDS.—

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

1 “(ii) USE OF FUNDS.—Activities sup-
2 ported by grants under this subsection
3 may include—

4 “(I) providing early-stage proof
5 of concept funding for translational
6 research;

7 “(II) identifying research and
8 technologies at institutions that have
9 the potential for accelerated commer-
10 cialization;

11 “(III) technology maturation
12 funding to support activities such as
13 prototype construction, experiment
14 analysis, product comparison, and the
15 collection of performance data;

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

21 “(V) programs to provide advice,
22 mentoring, entrepreneurial education,
23 project management, and technology
24 and business development expertise to
25 innovators and recipients of tech-

1 nology transfer licenses to maximize
2 commercialization potential; and

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

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

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

1 transfer and commercialization strate-
2 gies, or a plan to implement proven
3 technology transfer and commer-
4 cialization strategies that can achieve
5 greater commercialization of federally
6 funded research and technologies with
7 program funding;

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

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

15 “(iv) PROGRAM OVERSIGHT
16 BOARDS.—

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

1 prises, financial institutions, and busi-
2 ness development organizations with a
3 track record of success in commer-
4 cializing innovations. Proposals may
5 use oversight boards in existence on
6 the date of the enactment of the
7 America COMPETES Reauthoriza-
8 tion Act of 2015 that meet the re-
9 quirements of this subclause.

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

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

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

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

22 “(dd) establish milestones
23 and associated award amounts
24 for projects that reach mile-
25 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 of up to \$3,000,000 to a qualifying
22 institution.

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 2016 and 2017; and

18 “(II) 0.1 percent for each of fis-
19 cal years 2018 and 2019.

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) the number of projects which,
24 within 5 years of receiving an award under
25 paragraph (1), result in a license to a

1 start-up company or an established com-
2 pany with sufficient resources for effective
3 commercialization;

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) the number of projects receiving
9 a 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) the number and location of jobs
18 created resulting from projects awarded
19 under 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 submit to the Committee on Science, Space, and
3 Technology and the Committee on Small Business of the House of Representatives and the
4 Committee on Small Business and Entrepreneurship of the Senate an evaluative report regarding the activities of the program. The report shall include—

10 “(i) a detailed description of the implementation of the program;

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

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

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

18 “(C) DATA DISSEMINATION.—For the purposes of program transparency and dissemination of best practices, the Administrator shall include on the public database under subsection (k)(1) information on the Innovative Approaches to Technology Transfer Grant Program, 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.”.

