

Calendar No. 142107TH CONGRESS
1ST SESSION**S. 856****[Report No. 107-54]**

To reauthorize the Small Business Technology Transfer Program, and for other purposes.

IN THE SENATE OF THE UNITED STATES

MAY 9, 2001

Mr. KERRY (for himself, Mr. BOND, Mr. CLELAND, Ms. LANDRIEU, Mr. BENNETT, Mr. LEVIN, Mr. LIEBERMAN, Mr. HARKIN, Mr. BINGAMAN, Mr. ENZI, Ms. CANTWELL, Ms. SNOWE, Mr. BURNS, and Mrs. CARNAHAN) introduced the following bill; which was read twice and referred to the Committee on Small Business and Entrepreneurship

AUGUST 28, 2001

Reported under authority of the order of the Senate of July 30, 2001, by Mr. KERRY, without amendment

A BILL

To reauthorize the Small Business Technology Transfer Program, and for other purposes.

1 *Be it enacted by the Senate and House of Representa-*
2 *tives of the United States of America in Congress assembled,*

1 **SECTION 1. SHORT TITLE.**

2 This Act may be cited as the “Small Business Tech-
3 nology Transfer Program Reauthorization Act of 2001”.

4 **SEC. 2. EXTENSION OF PROGRAM AND EXPENDITURE**
5 **AMOUNTS.**

6 (a) IN GENERAL.—Section 9(n)(1) of the Small Busi-
7 ness Act (15 U.S.C. 638(n)(1)) is amended to read as fol-
8 lows:

9 “(1) REQUIRED EXPENDITURE AMOUNTS.—

10 “(A) IN GENERAL.—With respect to each
11 fiscal year through fiscal year 2010, each Fed-
12 eral agency that has an extramural budget for
13 research, or research and development, in ex-
14 cess of \$1,000,000,000 for that fiscal year,
15 shall expend with small business concerns not
16 less than the percentage of that extramural
17 budget specified in subparagraph (B), specifi-
18 cally in connection with STTR programs that
19 meet the requirements of this section and any
20 policy directives and regulations issued under
21 this section.

22 “(B) EXPENDITURE AMOUNTS.—The per-
23 centage of the extramural budget required to be
24 expended by an agency in accordance with sub-
25 paragraph (A) shall be—

1 “(i) 0.15 percent for each fiscal year
2 through fiscal year 2003;

3 “(ii) 0.3 percent for each of fiscal
4 years 2004 through 2006; and

5 “(iii) 0.5 percent for fiscal year 2007
6 and each fiscal year thereafter.

7 (b) CONFORMING AMENDMENT.—Section 9 of the
8 Small Business Act (15 U.S.C. 638) is amended in sub-
9 sections (b)(4) and (e)(6), by striking “pilot” each place
10 it appears.

11 **SEC. 3. INCREASE IN AUTHORIZED PHASE II AWARDS.**

12 (a) IN GENERAL.—Section 9(p)(2)(B)(ix) of the
13 Small Business Act (15 U.S.C. 638(p)(2)(B)(ix)) is
14 amended—

15 (1) by striking “\$500,000” and inserting
16 “\$750,000”; and

17 (2) by inserting before the semicolon at the end
18 the following: “, and shorter or longer periods of
19 time to be approved at the discretion of the award-
20 ing agency where appropriate for a particular
21 project”.

22 (b) EFFECTIVE DATE.—The amendments made by
23 subsection (a) shall be effective beginning in fiscal year
24 2004.

1 **SEC. 4. AGENCY OUTREACH.**

2 Section 9(o) of the Small Business Act (15 U.S.C.
3 638(o)) is amended—

4 (1) in paragraph (12), by striking “and” at the
5 end;

6 (2) in paragraph (13), by striking the period at
7 the end and inserting a semicolon; and

8 (3) by adding at the end the following:

9 “(14) implement an outreach program to re-
10 search institutions and small business concerns for
11 the purpose of enhancing its STTR program, in con-
12 junction with any such outreach done for purposes
13 of the SBIR program; and”.

14 **SEC. 5. POLICY DIRECTIVE MODIFICATIONS.**

15 Section 9(p) of the Small Business Act (15 U.S.C.
16 638(p)) is amended by adding at the end the following:

17 “(3) MODIFICATIONS.—Not later than 120 days
18 after the date of enactment of this paragraph, the
19 Administrator shall modify the policy directive
20 issued pursuant to this subsection to clarify that the
21 rights provided for under paragraph (2)(B)(v) apply
22 to all Federal funding awards under this section, in-
23 cluding the first phase (as described in subsection
24 (e)(6)(A)), the second phase (as described in sub-
25 section (e)(6)(B)), and the third phase (as described
26 in subsection (e)(6)(C)).”.

1 **SEC. 6. STTR PROGRAM DATA COLLECTION.**

2 (a) IN GENERAL.—Section 9(o) of the Small Busi-
3 ness Act (15 U.S.C. 638(o)), as amended by this Act, is
4 amended by adding at the end the following:

5 “(15) collect, and maintain in a common format
6 in accordance with subsection (v), such information
7 from awardees as is necessary to assess the STTR
8 program, including information necessary to main-
9 tain the database described in subsection (k).”.

10 (b) DATABASE.—Section 9(k) of the Small Business
11 Act (15 U.S.C. 638(k)) is amended—

12 (1) in paragraph (1)—

13 (A) by inserting “or STTR” after “SBIR”
14 each place it appears;

15 (B) in subparagraph (C), by striking
16 “and” at the end;

17 (C) in subparagraph (D), by striking the
18 period at the end and inserting “; and”; and

19 (D) by adding at the end the following:

20 “(E) with respect to assistance under the
21 STTR program only—

22 “(i) whether the small business con-
23 cern or the research institution initiated
24 their collaboration on each assisted STTR
25 project;

1 “(ii) whether the small business con-
2 cern or the research institution originated
3 any technology relating to the assisted
4 STTR project;

5 “(iii) the length of time it took to ne-
6 gotiate any licensing agreement between
7 the small business concern and the re-
8 search institution under each assisted
9 STTR project; and

10 “(iv) how the proceeds from commer-
11 cialization, marketing, or sale of tech-
12 nology resulting from each assisted STTR
13 project were allocated (by percentage) be-
14 tween the small business concern and the
15 research institution.”; and

16 (2) in paragraph (2)—

17 (A) by inserting “or an STTR program
18 under subsection (n)(1)” after “(f)(1)”;

19 (B) in subparagraph (A)(iii), by inserting
20 “and STTR” after “SBIR”; and

21 (C) in subparagraph (D), by inserting “or
22 STTR” after “SBIR”.

23 (c) SIMPLIFIED REPORTING REQUIREMENTS.—Sec-
24 tion 9(v) of the Small Business Act (15 U.S.C. 638(v))

1 is amended by inserting “or STTR” after “SBIR” each
2 place it appears.

3 (d) REPORTS TO CONGRESS.—Section 9(b)(7) of the
4 Small Business Act (15 U.S.C. 638(b)(7)) is amended by
5 striking “and (o)(9)” and inserting “, (o)(9), and
6 (o)(15)”.

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