

Innovative Approaches to Technology Transfer Act of 2013

Section 1. Short Title

This Act may be cited as the “Innovative Approaches to Technology Transfer Act of 2013”

Section 2. Table of Contents

Sec.1 Short Title

Sec. 2 Table of Contents

Sec. 3 Innovative Approaches to Technology Transfer Grant Program

Sec. 4 Program Evaluation/Data Collection and Dissemination

Section 3. Innovative Approaches to Technology Transfer Grant Program

(a) In General

Each Federal agency and department required by section 9(n) of the Small Business Act to establish a STTR program shall carry out a grant program to support innovative approaches to technology transfer at research institutions and federal laboratories.

(b) Awarding of Grants

1) In general

Each Federal agency required by subsection (a) to participate in this program, shall award, through a competitive, merit-based process, grants to research institutions, federal laboratories, and consortia thereof, for initiatives that help facilitate and accelerate the transfer of federally funded research and technology into the marketplace.

2) Award criteria

In determining which proposals from qualifying institutions are awarded program grants, each participating federal agency and department shall consider, in addition to any other criteria the agency or department determines necessary, the extent to which proposals-

- A. demonstrate proven technology transfer strategies that can achieve greater scale with program funding; or
- B. outline innovative approaches to technology transfer that have the potential to increase or accelerate technology transfer outcomes and can be adopted by other qualifying institutions.

3) Additional criteria

Successful proposals shall also demonstrate-

- A. a plan for sustainability beyond the duration of the funding award;
- B. the ability to assemble program advisory boards, the members of which have technical, scientific, or other domain-specific expertise. The experts shall be drawn from industry, start-up companies, venture capital, technical enterprises, financial institutions, and business development organizations;

(c) Authorized expenditures for Innovative Approaches to Technology Transfer Grant Program

- 1) The percentage of the extramural budget each Federal agency or department required by subsection (n) of this Act to establish a STTR program may expend on the Innovative Approaches to Technology Transfer Grant Program may be up to
 - A. 0.05 percent for each of fiscal years 2014 and 2015; and
 - B. 0.1 percent for each of fiscal years 2016 and 2017.
- 2) Any portion of the extramural budget expended by a Federal agency or department on the Innovative Approaches to Technology Transfer Grant Program shall count towards an agency's expenditure requirements under Section 9(n) of the Small Business Act.

Section 4. Program Evaluation/Data Collection and Dissemination

Requirements for Program Evaluation and Data Collection

(a) In General

Federal agencies and departments that participate in the Innovative Approaches to Technology Transfer Grant Program shall develop a plan for program evaluation and appropriate data collection to assess the program.

(b) Data to collect from grant program recipients

Each federal agency or department required by subsection (n) of the Small Business Act to establish a STTR shall develop a program evaluation plan and collect annually such information from awardees under Section 3 of this Act as is necessary to assess the Innovative Approaches to Technology Transfer Grant Program. Program evaluation plans should require the collection of data aimed at identifying:

- 1) Commercial partnerships, new ventures, revenues, follow-on funding, intellectual property and other outcomes resulting from the transfer of technology with assistance from the Innovative Approaches to Technology Transfer Grant Program, such as:
 - A. Specific follow-on funding identified and/or obtained;
 - B. Specific follow-on funding sources (i.e. federal, private, other);

- C. Commercial partnerships facilitated;
 - D. Market planning and specific market analysis activities enabled;
 - E. Number of projects which result in a license to an established company with sufficient resources for effective commercialization within five years of receiving an award under Section 3;
 - F. Number of projects which result in a license to a venture capital or private equity-backed start-up company within five years of receiving an award under Section 3;
 - G. Invention disclosures, patents, and other intellectual property information;
 - H. Number of start-up companies that can be linked to receiving an award under Section 3;.
 - I. Success rates of projects supported by qualifying institutions receiving an award under Section 3 in securing Phase I and Phase II SBIR/STTR awards; and
 - J. Clinical collaborations which emerge as a result of grant.
- 2) Data associated with expenses incurred through the transfer of technology with assistance from the Innovative Approaches to Technology Transfer Grant Program, such as-
- A. University loans;
 - B. Legal expenses;
 - C. Rent or Space Costs;
 - D. Mandatory disbursements;
 - E. Program outlays;
 - F. Other related expenses
- 3) Additional data, such as:
- A. Data on investment mix;
 - B. patent citations;
 - C. Technology transfer breakdowns by academic field; and
 - D. Sources of innovation supported by the grant by school, division and department, including:

- i. Numbers of inventions and innovations;
 - ii. Number of transactions, partnerships, or related contractual partnerships entered into for the purpose of transferring or translating the innovation into a new company, service or product;
 - iii. Amount of revenue generated; and
 - iv. Amount of jobs created.
- E. Description of what faculty have done to take services and products to market;
- F. Information on geographic impact, including:
 - i. Local impact;
 - ii. State impact;
 - iii. Regional impact; and
 - iv. National impact.

4) Evaluative Report

The head of each Federal agency and department that participates in the Innovative Approaches to Technology Transfer Grant Program shall submit to the Committee on Science, Space and Technology and the Committee on Small Business of the House of Representatives and the Committee on Small Business and Entrepreneurship of the Senate an evaluative report regarding the activities of the program. The report shall include:

- A. A detailed description of the implementation of the program;
- B. A detailed description of the awardee selection process;
- C. An accounting of the funds used in the program;
- D. A detailed compilation of results achieved by the program, including the number of small business concerns included and the number of business packages developed, and the number of projects that progressed into subsequent SBIR or STTR phases; and an analysis of the program's effectiveness with supporting data.

(c) Data Dissemination

For the purposes of program transparency and dissemination of best practices, the Administrator shall include on the public database under Section 9 (k) 1 of the Small Business

Act, information on the Innovative Approaches to Technology Transfer Grant Program, including:

- 1) The program evaluation plan required under Section 4 (a) of this Act;
- 2) A list of recipients of awards under Section 3 of this Act; and
- 3) Information on the use of funding by recipients of awards under Section 3 of this Act.

DRAFT