

Calendar No. 349

115TH CONGRESS
2D SESSION

S. 1961

To amend the Small Business Act to temporarily reauthorize certain pilot programs under the Small Business Innovation Research Program and the Small Business Technology Transfer Program, and for other purposes.

IN THE SENATE OF THE UNITED STATES

OCTOBER 16, 2017

Mr. RISCH (for himself and Mrs. SHAHEEN) introduced the following bill; which was read twice and referred to the Committee on Small Business and Entrepreneurship

MARCH 19, 2018

Reported by Mr. RISCH, with an amendment

[Strike out all after the enacting clause and insert the part printed in *italic*]

A BILL

To amend the Small Business Act to temporarily reauthorize certain pilot programs under the Small Business Innovation Research Program and 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 “SBIR and STTR Over-
3 sight and Pilot Program Extension Act of 2017”.

4 **SEC. 2. PILOT EXTENSIONS AND REPORTING COMPLIANCE;**
5 **PILOT PROGRAM.**

6 Section 9 of the Small Business Act (15 U.S.C. 638)
7 is amended—

8 (1) in subsection (cc), by striking “2017” and
9 inserting “2018”;

10 (2) in subsection (gg)(7), by striking “2017”
11 and inserting “2018”;

12 (3) in subsection (jj)(7), by striking “2017”
13 and inserting “2018”;

14 (4) in subsection (mm)—

15 (A) in paragraph (1)—

16 (i) in the matter preceding subpara-
17 graph (A), by striking “2017” and insert-
18 ing “2018”;

19 (ii) in subparagraph (I), by striking
20 “and” at the end;

21 (iii) in subparagraph (J), by striking
22 the period at the end and inserting “;
23 and”; and

24 (iv) by adding at the end the fol-
25 lowing:

1 “(K) funding for improvements that in-
 2 crease commonality across data systems; reduce
 3 redundancy; and improve data oversight and ac-
 4 curacy.”; and

5 (B) by adding at the end the following:

6 “(7) SBIR AND STTR PROGRAMS; FAST PRO-
 7 GRAM.—

8 “(A) DEFINITION.—In this paragraph, the
 9 term ‘covered Federal agency’ means a Federal
 10 agency that—

11 “(i) is required to conduct an SBIR
 12 program; and

13 “(ii) elects to use the funds allocated
 14 to the SBIR program of the Federal agen-
 15 cy for the purposes described in paragraph
 16 (1).

17 “(B) REQUIREMENT.—Each covered Fed-
 18 eral agency shall transfer an amount equal to
 19 15 percent of the funds that are used for the
 20 purposes described in paragraph (1) to the Ad-
 21 ministration—

22 “(i) for the Regional SBIR State Col-
 23 laborative Initiative Pilot Program estab-
 24 lished under subsection (tt);

“(ii) for the Federal and State Technology Partnership Program established under section 34; and

“(iii) to support the Office of the Administration that administers the SBIR program and the STTR program, subject to agreement from other agencies about how the funds will be used, in carrying out those programs and the programs described in clauses (i) and (ii).

“(8) PILOT PROGRAM.—

“(A) IN GENERAL.—Of amounts provided to the Administration under paragraph (7), not less than \$5,000,000 shall be used to provide awards under the Regional SBIR State Collaborative Initiative Pilot Program established under subsection (tt) for each fiscal year in which the program is in effect.

“(B) DISBURSEMENT FLEXIBILITY.—The Administration may use any unused funds made available under subparagraph (A) as of April 1 of each fiscal year for awards to carry out clauses (ii) and (iii) of paragraph (7)(B) after providing written notice to—

1 “(i) the Committee on Small Business
2 and Entrepreneurship and the Committee
3 on Appropriations of the Senate; and

4 “(ii) the Committee on Small Busi-
5 ness and the Committee on Appropriations
6 of the House of Representatives.”; and

7 (5) by adding at the end the following:

8 “(tt) REGIONAL SBIR STATE COLLABORATIVE INI-
9 TIATIVE PILOT PROGRAM.—

10 “(1) DEFINITIONS.—In this subsection—

11 “(A) the term ‘eligible entity’ means—

12 “(i) a research institution; and

13 “(ii) a small business concern;

14 “(B) the term ‘eligible State’ means—

15 “(i) a State that the Administrator
16 determines is in the bottom half of States,
17 based on the average number of annual
18 SBIR program awards made to companies
19 in the State for the preceding 3 years for
20 which the Administration has applicable
21 data; and

22 “(ii) an EPSCoR State that—

23 “(I) is a State described in clause
24 (i); or

25 “(II) is—

1 “(aa) not a State described
2 in clause (i); and

3 “(bb) invited to participate
4 in a regional collaborative;

5 “(C) the term ‘EPSCoR State’ means a
6 State that participates in the Experimental
7 Program to Stimulate Competitive Research of
8 the National Science Foundation, as established
9 under section 113 of the National Science
10 Foundation Authorization Act of 1988 (42
11 U.S.C. 1862g);

12 “(D) the term ‘FAST program’ means the
13 Federal and State Technology Partnership Pro-
14 gram established under section 34;

15 “(E) the term ‘pilot program’ means the
16 Regional SBIR State Collaborative Initiative
17 Pilot Program established under paragraph (2);

18 “(F) the term ‘regional collaborative’
19 means a collaborative consisting of eligible enti-
20 ties that are located in not less than 3 eligible
21 States; and

22 “(G) the term ‘State’ means any State of
23 the United States, the District of Columbia, the
24 Commonwealth of Puerto Rico, and any terri-
25 tory or possession of the United States.

1 “(2) ESTABLISHMENT.—The Administrator
2 shall establish a pilot program, to be known as the
3 Regional SBIR State Collaborative Initiative Pilot
4 Program, under which the Administrator shall pro-
5 vide awards to regional collaboratives to address the
6 needs of small business concerns in order to—

7 “(A) be more competitive in the proposal
8 and selection process for awards under the
9 SBIR program and the STTR program; and

10 “(B) increase technology transfer and com-
11 mercialization.

12 “(3) GOALS.—The goals of the pilot program
13 are—

14 “(A) to create regional collaboratives that
15 allow eligible entities to work cooperatively to
16 leverage resources to address the needs of small
17 business concerns;

18 “(B) to grow SBIR program and STTR
19 program cooperative research and development
20 and commercialization through increased
21 awards under those programs;

22 “(C) to increase the participation of States
23 that have historically received a lower level of
24 awards under the SBIR program and the
25 STTR program;

1 “(D) to utilize the strengths and advan-
 2 tages of regional collaboratives to better lever-
 3 age resources, best practices, and economies of
 4 scale in a region for the purpose of increasing
 5 awards and increasing the commercialization of
 6 the SBIR program and STTR projects;

7 “(E) to increase the competitiveness of the
 8 SBIR program and the STTR program;

9 “(F) to identify sources of outside funding
 10 for applicants for an award under the SBIR
 11 program or the STTR program, including ven-
 12 ture capitalists, angel investor groups, private
 13 industry, crowd funding, and special loan pro-
 14 grams; and

15 “(G) to offer increased one-on-one engage-
 16 ments with companies and entrepreneurs for
 17 SBIR program and STTR program education,
 18 assistance, and successful outcomes.

19 “(4) APPLICATION.—

20 “(A) IN GENERAL.—A regional collabo-
 21 rative that desires to participate in the pilot
 22 program shall submit to the Administrator an
 23 application at such time, in such manner, and
 24 containing such information as the Adminis-
 25 trator may require.

1 ~~“(B) INCLUSION OF LEAD ELIGIBLE ENTI-~~
 2 ~~TIES AND COORDINATOR.—~~A regional collabo-
 3 ~~rative shall include in an application submitted~~
 4 ~~under subparagraph (A)—~~

5 ~~“(i) the name of each lead eligible en-~~
 6 ~~tity from each eligible State in the regional~~
 7 ~~collaborative, as designated under para-~~
 8 ~~graph (5)(A); and~~

9 ~~“(ii) the name of the coordinator for~~
 10 ~~the regional collaborative, as designated~~
 11 ~~under paragraph (6).~~

12 ~~“(C) AVOIDANCE OF DUPLICATION.—~~A re-
 13 ~~gional collaborative shall include in an applica-~~
 14 ~~tion submitted under subparagraph (A) an ex-~~
 15 ~~planation regarding how the activities of the re-~~
 16 ~~gional collaborative under the pilot program~~
 17 ~~would differ from other State and Federal out-~~
 18 ~~reach activities in each eligible State in the re-~~
 19 ~~gional collaborative.~~

20 ~~“(5) LEAD ELIGIBLE ENTITY.—~~

21 ~~“(A) IN GENERAL.—~~Each eligible State in
 22 ~~a regional collaborative shall designate 1 eligible~~
 23 ~~entity located in the eligible State to serve as~~
 24 ~~the lead eligible entity for the eligible State.~~

1 “(B) AUTHORIZATION BY GOVERNOR.—

2 Each lead eligible entity designated under sub-
3 paragraph (A) shall be authorized to act as the
4 lead eligible entity by the Governor of the appli-
5 eable eligible State.

6 “(C) RESPONSIBILITIES.—Each lead eligi-
7 ble entity designated under subparagraph (A)
8 shall be responsible for administering the activi-
9 ties and program initiatives described in para-
10 graph (7) in the applicable eligible State.

11 “(6) REGIONAL COLLABORATIVE COORDI-
12 NATOR.—Each regional collaborative shall designate
13 a coordinator from amongst the eligible entities lo-
14 cated in the eligible States in the regional collabo-
15 rative, who shall serve as the interface between the
16 regional collaborative and the Administration with
17 respect to measuring cross-State collaboration and
18 program effectiveness and documenting best prac-
19 tices.

20 “(7) USE OF FUNDS.—Each regional collabo-
21 rative that is provided an award under the pilot pro-
22 gram may, in each eligible State in which an eligible
23 entity of the regional collaborative is located—

24 “(A) establish an initiative under which
25 first-time applicants for an award under the

1 SBIR program or the STTR program are re-
2 viewed by experienced, national experts in the
3 United States, as determined by the lead eligi-
4 ble entity designated under paragraph (5)(A);

5 “(B) engage national mentors on a fre-
6 quent basis to work directly with applicants for
7 an award under the SBIR program or the
8 STTR program, particularly during Phase II,
9 to assist with the process of preparing and sub-
10 mitting a proposal;

11 “(C) create and make available an online
12 mechanism to serve as a resource for applicants
13 for an award under the SBIR program or the
14 STTR program to identify and connect with
15 Federal labs, prime government contractor com-
16 panies, other industry partners, and regional in-
17 dustry cluster organizations;

18 “(D) conduct focused and concentrated
19 outreach efforts to increase participation in the
20 SBIR program and the STTR program by
21 small business concerns owned and controlled
22 by women, small business concerns owned and
23 controlled by veterans, small business concerns
24 owned and controlled by socially and economi-
25 cally disadvantaged individuals (as defined in

1 section 8(d)(3)(C)), and historically Black col-
 2 leges and universities;

3 “(E) administer a structured program of
 4 training and technical assistance—

5 “(i) to prepare applicants for an
 6 award under the SBIR program or the
 7 STTR program—

8 “(I) to compete more effectively
 9 for Phase I and Phase II awards; and

10 “(H) to develop and implement a
 11 successful commercialization plan;

12 “(ii) to assist eligible States focusing
 13 on transition and commercialization to win
 14 Phase III awards from public and private
 15 partners;

16 “(iii) to create more competitive pro-
 17 posals to increase awards from all Federal
 18 sources, with a focus on awards under the
 19 SBIR program and the STTR program;
 20 and

21 “(iv) to assist first-time applicants by
 22 providing small grants for proof of concept
 23 research; and

24 “(F) assist applicants for an award under
 25 the SBIR program or the STTR program to

1 identify sources of outside funding, including
 2 venture capitalists, angel investor groups, pri-
 3 vate industry, crowd funding, and special loan
 4 programs.

5 ~~“(8) AWARD AMOUNT.—~~

6 ~~“(A) IN GENERAL.—~~The Administrator
 7 shall provide an award to each eligible State in
 8 which an eligible entity of a regional collabo-
 9 rative is located in an amount that is not more
 10 than \$200,000 to carry out the activities de-
 11 scribed in paragraph (7).

12 ~~“(B) LIMITATION.—~~

13 ~~“(i) IN GENERAL.—~~An eligible State
 14 may not receive an award under both the
 15 FAST program and the pilot program for
 16 the same year.

17 ~~“(ii) RULE OF CONSTRUCTION.—~~

18 Nothing in clause (i) may be construed to
 19 prevent an eligible State from applying for
 20 an award under the FAST program and
 21 the pilot program for the same year.

22 ~~“(9) DURATION OF AWARD.—~~An award pro-
 23 vided under the pilot program—

24 ~~“(A) shall be for a period of not more than~~
 25 ~~1 year; and~~

1 “(B) may be renewed by the Administrator
2 for 1 additional year.

3 ~~“(10) TERMINATION.—The pilot program shall~~
4 ~~terminate on September 30, 2018.~~

5 ~~“(11) REPORT.—Not later than March 30,~~
6 ~~2018, the Administrator shall submit to the Com-~~
7 ~~mittee on Small Business and Entrepreneurship of~~
8 ~~the Senate and the Committee on Small Business of~~
9 ~~the House of Representatives a report on the pilot~~
10 ~~program, which shall include—~~

11 ~~“(A) details regarding the recipient of each~~
12 ~~award provided under the pilot program, includ-~~
13 ~~ing the amount of each award, the number of~~
14 ~~small business concerns that received assistance~~
15 ~~from the award amounts, and the manner in~~
16 ~~which the award was used to meet the goals de-~~
17 ~~scribed in paragraph (3);~~

18 ~~“(B) to the extent practicable, an assess-~~
19 ~~ment of the best practices of the pilot program,~~
20 ~~including an analysis of how the pilot program~~
21 ~~compares to the FAST program and a single-~~
22 ~~State approach; and~~

23 ~~“(C) recommendations regarding whether~~
24 ~~any aspect of the pilot program should be ex-~~
25 ~~tended or made permanent.~~

1 ~~“(uu) OUTSTANDING REPORTS AND EVALUA-~~
 2 ~~TIONS.—~~

3 ~~“(1) IN GENERAL.—Not later than March 30,~~
 4 ~~2018, the Administrator shall submit to the Com-~~
 5 ~~mittee on Small Business and Entrepreneurship of~~
 6 ~~the Senate, the Committee on Small Business of the~~
 7 ~~House of Representatives, and the Committee on~~
 8 ~~Science, Space, and Technology of the House of~~
 9 ~~Representatives—~~

10 ~~“(A) each report, evaluation, or analysis,~~
 11 ~~as applicable, described in subsection (b)(7),~~
 12 ~~(g)(9), (o)(10), (y)(6)(C), (gg)(6), (jj)(6), and~~
 13 ~~(mm)(6); and~~

14 ~~“(B) metrics regarding, and an evaluation~~
 15 ~~of, the authority provided to the National Insti-~~
 16 ~~tutes of Health, the Department of Defense,~~
 17 ~~and the Department of Education under sub-~~
 18 ~~section (cc).~~

19 ~~“(2) INFORMATION REQUIRED.—Not later than~~
 20 ~~December 31, 2017, the head of each agency that is~~
 21 ~~responsible for carrying out a provision described in~~
 22 ~~subparagraph (A) or (B) of paragraph (1) shall sub-~~
 23 ~~mit to the Administrator any information that is~~
 24 ~~necessary for the Administrator to carry out the re-~~

1 sponsibilities of the Administrator under that para-
 2 graph.”.

3 **SECTION 1. SHORT TITLE.**

4 *This Act may be cited as the “SBIR and STTR Over-*
 5 *sight and Pilot Program Extension Act of 2018”.*

6 **SEC. 2. PILOT EXTENSIONS AND REPORTING COMPLIANCE;**

7 **PILOT PROGRAM.**

8 *Section 9 of the Small Business Act (15 U.S.C. 638)*
 9 *is amended—*

10 (1) *in subsection (cc), by striking “2017” and*
 11 *inserting “2019”;*

12 (2) *in subsection (gg)(7), by striking “2017” and*
 13 *inserting “2019”;*

14 (3) *in subsection (jj)(7), by striking “2017” and*
 15 *inserting “2019”;*

16 (4) *in subsection (mm)—*

17 (A) *in paragraph (1)—*

18 (i) *in the matter preceding subpara-*
 19 *graph (A), by striking “2017” and inserting*
 20 *“2019”;*

21 (ii) *in subparagraph (I), by striking*
 22 *“and” at the end;*

23 (iii) *in subparagraph (J), by striking*
 24 *the period at the end and inserting “; and”;*
 25 *and*

1 (iv) by adding at the end the following:

2 “(K) funding for improvements that in-
3 crease commonality across data systems, reduce
4 redundancy, and improve data oversight and ac-
5 curacy.”; and

6 (B) by adding at the end the following:

7 “(7) *SBIR AND STTR PROGRAMS; FAST PRO-*
8 *GRAM.*—

9 “(A) *DEFINITION.*—In this paragraph, the
10 term ‘covered Federal agency’ means a Federal
11 agency that—

12 “(i) is required to conduct an *SBIR*
13 program; and

14 “(ii) elects to use the funds allocated to
15 the *SBIR* program of the Federal agency for
16 the purposes described in paragraph (1).

17 “(B) *REQUIREMENT.*—Each covered Federal
18 agency shall transfer an amount equal to 15 per-
19 cent of the funds that are used for the purposes
20 described in paragraph (1) to the Administra-
21 tion—

22 “(i) for the *Regional SBIR State Col-*
23 *laborative Initiative Pilot Program* estab-
24 lished under subsection (tt);

1 “(ii) *for the Federal and State Tech-*
 2 *nology Partnership Program established*
 3 *under section 34; and*

4 “(iii) *to support the Office of the Ad-*
 5 *ministration that administers the SBIR*
 6 *program and the STTR program, subject to*
 7 *agreement from other agencies about how*
 8 *the funds will be used, in carrying out those*
 9 *programs and the programs described in*
 10 *clauses (i) and (ii).*

11 “(8) *PILOT PROGRAM.—*

12 “(A) *IN GENERAL.—Of amounts provided to*
 13 *the Administration under paragraph (7), not less*
 14 *than \$5,000,000 shall be used to provide awards*
 15 *under the Regional SBIR State Collaborative*
 16 *Initiative Pilot Program established under sub-*
 17 *section (tt) for each fiscal year in which the pro-*
 18 *gram is in effect.*

19 “(B) *DISBURSEMENT FLEXIBILITY.—The*
 20 *Administration may use any unused funds made*
 21 *available under subparagraph (A) as of April 1*
 22 *of each fiscal year for awards to carry out*
 23 *clauses (ii) and (iii) of paragraph (7)(B) after*
 24 *providing written notice to—*

1 “(i) the Committee on Small Business
2 and Entrepreneurship and the Committee
3 on Appropriations of the Senate; and

4 “(ii) the Committee on Small Business
5 and the Committee on Appropriations of the
6 House of Representatives.”; and

7 (5) by adding at the end the following:

8 “(H) REGIONAL SBIR STATE COLLABORATIVE INITIA-
9 TIVE PILOT PROGRAM.—

10 “(1) DEFINITIONS.—In this subsection—

11 “(A) the term ‘eligible entity’ means—

12 “(i) a research institution; and

13 “(ii) a small business concern;

14 “(B) the term ‘eligible State’ means—

15 “(i) a State that the Administrator de-
16 termines is in the bottom half of States,
17 based on the average number of annual
18 SBIR program awards made to companies
19 in the State for the preceding 3 years for
20 which the Administration has applicable
21 data; and

22 “(ii) an EPSCoR State that—

23 “(I) is a State described in clause
24 (i); or

25 “(II) is—

1 “(aa) not a State described
2 in clause (i); and

3 “(bb) invited to participate
4 in a regional collaborative;

5 “(C) the term ‘EPSCoR State’ means a
6 State that participates in the Established Pro-
7 gram to Stimulate Competitive Research of the
8 National Science Foundation, as established
9 under section 113 of the National Science Foun-
10 dation Authorization Act of 1988 (42 U.S.C.
11 1862g);

12 “(D) the term ‘FAST program’ means the
13 Federal and State Technology Partnership Pro-
14 gram established under section 34;

15 “(E) the term ‘pilot program’ means the
16 Regional SBIR State Collaborative Initiative
17 Pilot Program established under paragraph (2);

18 “(F) the term ‘regional collaborative’ means
19 a collaborative consisting of eligible entities that
20 are located in not less than 3 eligible States; and

21 “(G) the term ‘State’ means any State of
22 the United States, the District of Columbia, the
23 Commonwealth of Puerto Rico, and any terri-
24 tory or possession of the United States.

1 “(2) *ESTABLISHMENT.*—*The Administrator shall*
2 *establish a pilot program, to be known as the Re-*
3 *gional SBIR State Collaborative Initiative Pilot Pro-*
4 *gram, under which the Administrator shall provide*
5 *awards to regional collaboratives to address the needs*
6 *of small business concerns in order to—*

7 “(A) *be more competitive in the proposal*
8 *and selection process for awards under the SBIR*
9 *program and the STTR program; and*

10 “(B) *increase technology transfer and com-*
11 *mercialization.*

12 “(3) *GOALS.*—*The goals of the pilot program*
13 *are—*

14 “(A) *to create regional collaboratives that*
15 *allow eligible entities to work cooperatively to le-*
16 *verage resources to address the needs of small*
17 *business concerns;*

18 “(B) *to grow SBIR program and STTR*
19 *program cooperative research and development*
20 *and commercialization through increased awards*
21 *under those programs;*

22 “(C) *to increase the participation of States*
23 *that have historically received a lower level of*
24 *awards under the SBIR program and the STTR*
25 *program;*

1 “(D) to utilize the strengths and advantages
 2 of regional collaboratives to better leverage re-
 3 sources, best practices, and economies of scale in
 4 a region for the purpose of increasing awards
 5 and increasing the commercialization of the
 6 SBIR program and STTR projects;

7 “(E) to increase the competitiveness of the
 8 SBIR program and the STTR program;

9 “(F) to identify sources of outside funding
 10 for applicants for an award under the SBIR
 11 program or the STTR program, including ven-
 12 ture capitalists, angel investor groups, private
 13 industry, crowd funding, and special loan pro-
 14 grams; and

15 “(G) to offer increased one-on-one engage-
 16 ments with companies and entrepreneurs for
 17 SBIR program and STTR program education,
 18 assistance, and successful outcomes.

19 “(4) APPLICATION.—

20 “(A) IN GENERAL.—A regional collaborative
 21 that desires to participate in the pilot program
 22 shall submit to the Administrator an application
 23 at such time, in such manner, and containing
 24 such information as the Administrator may re-
 25 quire.

1 “(B) *INCLUSION OF LEAD ELIGIBLE ENTI-*
 2 *TIES AND COORDINATOR.*—*A regional collabo-*
 3 *rative shall include in an application submitted*
 4 *under subparagraph (A)—*

5 “(i) *the name of each lead eligible enti-*
 6 *ty from each eligible State in the regional*
 7 *collaborative, as designated under para-*
 8 *graph (5)(A); and*

9 “(ii) *the name of the coordinator for*
 10 *the regional collaborative, as designated*
 11 *under paragraph (6).*

12 “(C) *AVOIDANCE OF DUPLICATION.*—*A re-*
 13 *gional collaborative shall include in an applica-*
 14 *tion submitted under subparagraph (A) an ex-*
 15 *planation regarding how the activities of the re-*
 16 *gional collaborative under the pilot program*
 17 *would differ from other State and Federal out-*
 18 *reach activities in each eligible State in the re-*
 19 *gional collaborative.*

20 “(5) *LEAD ELIGIBLE ENTITY.*—

21 “(A) *IN GENERAL.*—*Each eligible State in a*
 22 *regional collaborative shall designate 1 eligible*
 23 *entity located in the eligible State to serve as the*
 24 *lead eligible entity for the eligible State.*

1 “(B) *AUTHORIZATION BY GOVERNOR.—*
 2 *Each lead eligible entity designated under sub-*
 3 *paragraph (A) shall be authorized to act as the*
 4 *lead eligible entity by the Governor of the appli-*
 5 *cable eligible State.*

6 “(C) *RESPONSIBILITIES.—Each lead eligi-*
 7 *ble entity designated under subparagraph (A)*
 8 *shall be responsible for administering the activi-*
 9 *ties and program initiatives described in para-*
 10 *graph (7) in the applicable eligible State.*

11 “(6) *REGIONAL COLLABORATIVE COORDI-*
 12 *NATOR.—Each regional collaborative shall designate a*
 13 *coordinator from amongst the eligible entities located*
 14 *in the eligible States in the regional collaborative,*
 15 *who shall serve as the interface between the regional*
 16 *collaborative and the Administration with respect to*
 17 *measuring cross-State collaboration and program ef-*
 18 *fectiveness and documenting best practices.*

19 “(7) *USE OF FUNDS.—Each regional collabo-*
 20 *rative that is provided an award under the pilot pro-*
 21 *gram may, in each eligible State in which an eligible*
 22 *entity of the regional collaborative is located—*

23 “(A) *establish an initiative under which*
 24 *first-time applicants for an award under the*
 25 *SBIR program or the STTR program are re-*

1 *viewed by experienced, national experts in the*
2 *United States, as determined by the lead eligible*
3 *entity designated under paragraph (5)(A);*

4 *“(B) engage national mentors on a frequent*
5 *basis to work directly with applicants for an*
6 *award under the SBIR program or the STTR*
7 *program, particularly during Phase II, to assist*
8 *with the process of preparing and submitting a*
9 *proposal;*

10 *“(C) create and make available an online*
11 *mechanism to serve as a resource for applicants*
12 *for an award under the SBIR program or the*
13 *STTR program to identify and connect with*
14 *Federal labs, prime government contractor com-*
15 *panies, other industry partners, and regional in-*
16 *dustry cluster organizations;*

17 *“(D) conduct focused and concentrated out-*
18 *reach efforts to increase participation in the*
19 *SBIR program and the STTR program by small*
20 *business concerns owned and controlled by*
21 *women, small business concerns owned and con-*
22 *trolled by veterans, small business concerns*
23 *owned and controlled by socially and economi-*
24 *cally disadvantaged individuals (as defined in*

1 *section 8(d)(3)(C)), and historically Black col-*
2 *leges and universities;*

3 *“(E) administer a structured program of*
4 *training and technical assistance—*

5 *“(i) to prepare applicants for an*
6 *award under the SBIR program or the*
7 *STTR program—*

8 *“(I) to compete more effectively*
9 *for Phase I and Phase II awards; and*

10 *“(II) to develop and implement a*
11 *successful commercialization plan;*

12 *“(ii) to assist eligible States focusing*
13 *on transition and commercialization to win*
14 *Phase III awards from public and private*
15 *partners;*

16 *“(iii) to create more competitive pro-*
17 *posals to increase awards from all Federal*
18 *sources, with a focus on awards under the*
19 *SBIR program and the STTR program;*
20 *and*

21 *“(iv) to assist first-time applicants by*
22 *providing small grants for proof of concept*
23 *research; and*

24 *“(F) assist applicants for an award under*
25 *the SBIR program or the STTR program to*

1 *identify sources of outside funding, including*
 2 *venture capitalists, angel investor groups, pri-*
 3 *vate industry, crowd funding, and special loan*
 4 *programs.*

5 “(8) *AWARD AMOUNT.*—

6 “(A) *IN GENERAL.*—*The Administrator*
 7 *shall provide an award to each eligible State in*
 8 *which an eligible entity of a regional collabo-*
 9 *rative is located in an amount that is not more*
 10 *than \$300,000 to carry out the activities de-*
 11 *scribed in paragraph (7).*

12 “(B) *LIMITATION.*—

13 “(i) *IN GENERAL.*—*An eligible State*
 14 *may not receive an award under both the*
 15 *FAST program and the pilot program for*
 16 *the same year.*

17 “(ii) *RULE OF CONSTRUCTION.*—*Noth-*
 18 *ing in clause (i) may be construed to pre-*
 19 *vent an eligible State from applying for an*
 20 *award under the FAST program and the*
 21 *pilot program for the same year.*

22 “(9) *DURATION OF AWARD.*—*An award provided*
 23 *under the pilot program—*

24 “(A) *shall be for a period of not more than*
 25 *1 year; and*

1 “(B) may be renewed by the Administrator
2 for 1 additional year.

3 “(10) *TERMINATION*.—The pilot program shall
4 terminate on September 30, 2019.

5 “(11) *REPORT*.—Not later than March 30, 2019,
6 the Administrator shall submit to the Committee on
7 Small Business and Entrepreneurship of the Senate
8 and the Committee on Small Business of the House
9 of Representatives a report on the pilot program,
10 which shall include—

11 “(A) details regarding the recipient of each
12 award provided under the pilot program, includ-
13 ing the amount of each award, the number of
14 small business concerns that received assistance
15 from the award amounts, and the manner in
16 which the award was used to meet the goals de-
17 scribed in paragraph (3);

18 “(B) to the extent practicable, an assess-
19 ment of the best practices of the pilot program,
20 including an analysis of how the pilot program
21 compares to the FAST program and a single-
22 State approach; and

23 “(C) recommendations regarding whether
24 any aspect of the pilot program should be ex-
25 tended or made permanent.

1 “(uu) *OUTSTANDING REPORTS AND EVALUATIONS.*—

2 “(1) *IN GENERAL.*—Not later than March 30,
3 2019, the Administrator shall submit to the Com-
4 mittee on Small Business and Entrepreneurship of
5 the Senate, the Committee on Small Business of the
6 House of Representatives, and the Committee on
7 Science, Space, and Technology of the House of Rep-
8 resentatives—

9 “(A) each report, evaluation, or analysis, as
10 applicable, described in subsection (b)(7), (g)(9),
11 (o)(10), (y)(6)(C), (gg)(6), (jj)(6), and (mm)(6);
12 and

13 “(B) metrics regarding, and an evaluation
14 of, the authority provided to the National Insti-
15 tutes of Health, the Department of Defense, and
16 the Department of Education under subsection
17 (cc).

18 “(2) *INFORMATION REQUIRED.*—Not later than
19 December 31, 2018, the head of each agency that is
20 responsible for carrying out a provision described in
21 subparagraph (A) or (B) of paragraph (1) shall sub-
22 mit to the Administrator any information that is nec-
23 essary for the Administrator to carry out the respon-
24 sibilities of the Administrator under that para-
25 graph.”.

Calendar No. 349

115TH CONGRESS
2D Session

S. 1961

A BILL

To amend the Small Business Act to temporarily reauthorize certain pilot programs under the Small Business Innovation Research Program and the Small Business Technology Transfer Program, and for other purposes.

MARCH 19, 2018

Reported with an amendment