Substitute Amendments Proposed by Hon. George E. Brown, Jr. Subcommittee on Science, Research and Technology July-1, 1980

(Omit material struck through and insert material printed by typewriter.)

96TH CONGRESS S. 1250

IN THE HOUSE OF REPRESENTATIVES

May 30, 1980

Referred to the Committee on Science and Technology

AN ACT

To promote United States technological innovation for the achievement of national economic, environmental, and social goals, and for other purposes.

- Be it enacted by the Senate and House of Representa-1
- tives of the United States of America in Congress assembled,
- That this Act may be cited as the "Stevenson Technology
- Innovation Act of 1980".
- SEC. 2. FINDINGS.
- The Congress finds and declares that:
- 7 (1) Technology and industrial innovation are cen-
- tral to the economic, environmental, and social well-
- being of citizens of the United States.

1	(2) Technology and industrial innovation offer an
2	improved standard of living, increased public and pri-
3 ;	vate sector productivity, creation of new industries and
4	employment opportunities, improved public services
5	and enhanced competitiveness of United States prod-
6	ucts in world markets.

- (3) Many new discoveries and advances in science Federal occur in universities and Government laboratories, while the application of this new knowledge to commercial and useful public purposes depends largely upon actions by business and labor. Cooperation among academia, Federal laboratories, labor, and industry, in such forms as technology transfer, personnel exchange, joint research projects, and others, should be renewed, expanded, and strengthened.
- (4) Small businesses have performed an important role in advancing industrial and technological innovation.
- (5) Industrial and technological innovation in the United States may be lagging when compared to historical patterns and other industrialized nations.
- (6) Increased industrial and technological innovation would reduce trade deficits, stabilize the dollar, increase productivity gains, increase employment and stabilize prices.
- (7) Government antitrust, economic, trade, patent, procurement, regulatory, research and development, and tax policies have significant impacts upon industrial innovation and development of technology, but

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1.		there is insufficient knowledge of their effects in partic-
2		ular sectors of the economy.
3	· ;	(8) No national policy exists to enhance techno-
4	\$	logical innovation for commercial and public purposes.
5		There is a need for such policy, including a

There is a need for such policy, including a strong national policy supporting domestic technology transfer and utilization of the science and technology resources of the Federal Government.

- (9) It is in the national interest to promote the adaptation of technological innovations to State and local government uses. Technological innovations can improve services, reduce their costs, and increase productivity in State and local governments.
- (10) The Federal laboratories and other federally funded research and development performers frequently provide scientific and technological developments of potential use to State and local governments and private industry. These developments should be made accessible to those governments and industry. There is a need to provide means of access and to give adequate personnel and funding support to these means.
- (11) The nation should give fuller recognition to individuals and companies which have made outstanding contributions to the promotion of technology or technological manpower for the improvement of the economic, environmental, or social well-being of the United States.

1	SEC. 3. PURPOSE.
2	It is the purpose of the Congress in this Act to enhance
3	technological innovation for the improvement of the eco-
4	nomic, environmental and social well-being of the United
5	States.
6	It is the purpose of this Act to improve the economic,
7 :	environmental and social well-being of the United States by
8	(1) establishing organizations in the Executive
9	branch to study and stimulate technology,
10	(2) promoting technology development through the
11	establishment of centers for industrial technology,
12	(3) stimulating improved utilization of federally
13	funded technology developments by State and local
14	governments and the private sector,
15	(4) providing encouragement for the development
16	of technology through the recognition of individuals
17	and companies which have made outstanding contributions
18	in technology, and
19	(5) encouraging the exchange of scientific and
20	technical personnel among academia, industry, and
21	Federal laboratories.
22	SEC. 4. DEFINITIONS.
23	As used in this Act, unless the context otherwise re-
24	quires, the term—

(1) "Office" means the Office of Industrial Technology established under section 5 of this Act.

1	(2) "Secretary" means the Secretary of
2	Commerce.
3	(3) "Director" means the Director of the Office of
4	Industrial Technology, appointed pursuant to section 5
5	of this Act.
6	(4) "Centers" means the Centers for Industrial or section 8
7	Technology established under section 6 of this Act.
8	(5) "Nonprofit institution" means an organization
9	owned and operated exclusively for scientific or educa-
10	tional purposes, no part of the net earnings of which
11	inures to the benefit of any private shareholder or indi-
12	vidual.
13	(6) "Board" means the National Industrial Tech-
14	nology Board established pursuant to section 9. 10.
15	(7) "Federal laboratory" means any laboratory
16	or center owned and funded by the Federal Government.
17	operated either by the Federal Government or by a
18	contractor.
19	(8) "Supporting agency" means either the
20	Secretary of Commerce or the National Science
21	Foundation, as appropriate.
22	SEC. 5. COMMERCE AND TECHNOLOGICAL INNOVATION.
23	(a) In General.—The Secretary shall establish and
24	maintain an Office of Industrial Technology in accordance
25	with the provisions, findings, and purposes of this Act.
	(b) DIRECTOR.—The President shall appoint, by and
ŧ	with the advice and consent of the Senate, a Director of the

1	Office, who shall be compensated at the rate provided for
2	level V of the Executive Schedule in section 5316 of title 5,
3 - i.	United States Code.
4	(c) Duties.—In addition to any other duty prescribed
5	by law or assigned by the Secretary, the Director, on a con-
6	tinuing basis, shall—
7	(1) determine the relationships of technological de-
8	velopments and international technology transfers to
9	the output, employment, productivity, and world trade
10	performance of United States and foreign industrial
11	sectors;
12	(2) determine the influence of economic, labor and
13	other conditions, industrial structure and management,
14	and government policies on technological developments
15	in particular industrial sectors worldwide;
16	(3) identify technological needs, problems, and op-
17	portunities within and across industrial sectors that, if
18	addressed, could make a significant contribution to the
19	economy of the United States;
20	(4) assess whether the capital, technical and other
21	resources being allocated to domestic industrial sectors
22	which are likely to generate new technologies are ade-
23	quate to meet private and social demands for goods
24	and services and to promote productivity and economic
25	growth;
26	(5) propose and support studies and policy experi-
27	ments, in cooperation with other Federal agencies, to

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determine the effectiveness of measures with the potential of advancing United States technological innovation;

- (6) undertake cooperative efforts to stimulate industrial innovation with other officials in the Department of Commerce responsible for trade and economic assistance:
- (7) recommend to the Secretary for transmittal to the President and Congress government measures with the potential of advancing United States technological innovation and exploiting innovations of foreign origin; and
- (8) assist in the preparation of the report required under subsection (d) and publish the results of studies and policy experiments.
- (d) REPORT.—The Secretary shall prepare and submit to the President and Congress, within 3 years after the date of enactment of this Act, a report on the progress, findings, and conclusions of activities conducted pursuant to sections 5, 6, 8, 11, 12, and 13 and 6 of this Act and recommendations for possible modifications thereof.

SEC. 6. CENTERS FOR INDUSTRIAL TECHNOLOGY.

(a) ESTABLISHMENT.—The Director shall provide assistance for the establishment of Centers for Industrial Tech-

1	nology. Such Centers shall be affiliated with any university,
2	or other nonprofit institution, or group thereof, that applies
3	for and is awarded a grant or enters into a cooperative agree-
4	ment under this section. The objective of the Centers is to
5	enhance technological innovation through—
6	(1) the participation of individuals from industry
7	and universities in cooperative technological innovation
8	activities;
9	(2) the development of the generic research base,
10 [†]	important for technological advance and innovative ac-
11	tivity, in which individual firms have little incentive to
12	invest, but which may have significant economic or
13	strategic importance, such as manufacturing
14	technology;
15	(3) the education and training of individuals in the
16	technological innovation process;
17	(4) the improvement of mechanisms for the dis-
18	semination of scientific, engineering, and technical in-
19	formation among universities and industry;
20	(5) the utilization of the capability and expertise,
21	where appropriate, that exists in Federal laboratories;
22	and

1_	(6) the development of continuing financial sup-
2 -	port from other mission agencies, from State and local
3	government, and from industry and universities
4	through, among other means, fees, licenses, and
5	royalties.
6	(b) ACTIVITIES.—The activities of the Centers shall in-
7	clude, but need not be limited to—
8	(1) research supportive of technological and indus-
9	trial innovation including cooperative industry-univer-
10	sity basic and applied research;
11	(2) assistance to individuals and small businesses
12	in the generation, evaluation and development of tech-
13	nological ideas supportive of industrial innovation and
14	new business ventures;
15	(3) technical assistance and advisory services to
16	industry, particularly small businesses; and
17	(4) curriculum development, training and instruc-
18	tion in invention, entrepreneurship, and industrial
19	innovation.
20	Each Center need not undertake all of the activities under
21	this subsection.
22	(c) REQUIREMENTS.—Prior to establishing a Center,
23	the Director shall find that—

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1	(1) consideration has been given to the potential
2	contribution of the activities proposed under the Center
3	to productivity, employment, and economic competive-
4	ness of the United States;
5	(2) a high likelihood exists of continuing participa-
6	tion, advice, financial support, and other contributions
7	from the private sector;
8	(3) the host university or other nonprofit institu-
9	tion has a plan for the management and evaluation of
10	the activities proposed within the particular Center,
11	including:
12	(A) the agreement between the parties as to
13	the allocation of patent rights on a nonexclusive,
14	partially exclusive, or exclusive license basis to
15	and inventions conceived or made under the aus-
16	pices of the Center; and
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18	(B) the consideration of means to place the
19	Center, to the maximum extent feasible, on a self-
20	sustaining basis;
	(4) suitable consideration has been given to the
21	university's or other nonprofit institution's capabilities
22	and geographical location; and
23	(5) consideration has been given to any effects
24	upon competition of the activities proposed under the
25	Center.

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2	(d) PLANNING GRANTS.—The Director is authorized to
3	make available nonrenewable planning grants to universities
4	or nonprofit institutions for the purpose of developing a plan
5	required under subsection (c)(3).
6	(e) RESEARCH AND DEVELOPMENT UTILIZATION.—
7	(1) To promote technological innovation and commercializa-
8	tion of research and development efforts, each Center has the
9	option of acquiring title to any invention conceived or made
10	under the auspices of the Center that was supported at least
11	in part by Federal funds: Provided, That—
2	supporting agency (A) the Center reports the invention to the Direc-
3	-ter together with a list of each country in which the
14	Center elects to file a patent application on the
15	invention;
16	(B) said option shall be exercised at the time of
17	disclosure of invention or within such time thereafter
18	as may be provided in the grant or cooperative
19	agreement;
20	(C) the Center intends to promote the commer-
21	cialization of the invention and file a United States
22	patent application;
23	compensation of the inventor or for (D) royalties be used for educational or research
24	activities of the Center;

į	supporting agency (E) the Center make periodic reports to the Di-
ı	rector, and the Director, may treat information con-
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3	tained in such reports as privileged and confidential
4	technical, commercial, and financial information and
5	not subject to disclosures under the Freedom of Infor-
6	mation Act; and
7	(F) any Federal department or agency shall have
8	the royalty-free right to practice, or have practiced on
9	its behalf, the invention for governmental purposes.
10	The Secretary shall have the right to acquire title to any
וו	patent on an invention in any country in which the Center
12	elects not to file a patent application or fails to file within a
13	reasonable time.
14	(2) Where a Center has retained title to an invention
15	under paragraph (1) of this subsection the Secretary shall
16	have the right to require the Center or its licensee to grant a
17	nonexclusive, partially exclusive, or exclusive license to a re-
31	sponsible applicant or applicants, upon terms that are reason-
19	supporting agency able under the circumstances, if the Secretary determines,
20	after public notice and opportunity for hearing, that such
21	action is necessary—
	(A) because the Center or licensee has not taken

and is not expected to take timely and effective action

to achieve practical application of the invention;

1		(B) to meet health, safety, environmental, or na-
2	·	tional security needs which are not reasonably satisfied
3	,	by the contractor or licensee; or
4	i.	(C) because the granting of exclusive rights in the
5		invention has tended substantially to lessen competition
6		or to result in undue market concentration in the
7		United States in any line of commerce to which the
8		technology relates.
9		(3) Any individual, partnership, corporation, association,
10		institution, or other entity adversely affected by a
11		supporting agency determination made under parapraph (2) of
12		this subsection may, at any time within sixty days after the
13		determination is issued, file a petition to the United States
14		Court of Claims which shall have jurisdiction to determine
15		that matter de novo and to affirm, reverse, or modify as
16		appropriate, the determination of the supporting agency.
17		(f) Additional Consideration.—Before substantial
18		supporting agency public and private funds are committed to a Center, the See-
19		retary shall submit a request to the Attorney General for an
20	<u> </u> 	opinion whether the joint research activities of the Center
21		would be in violation of any of the antitrust laws. The Attor-
22		ney General shall advise the Secretary of his determination
23		and the reasons therefor within 120 days after receipt of such
24		request.
25		SEC. 7. GRANTS AND COOPERATIVE AGREEMENTS.
26	.*	(a) In General.—The Director may make grants and
27		enter into cooperative agreements according to the provisions

of this section in-order to assist any activity consistent with this Act, including activities performed by individuals. The total amount of any such grant or cooperative agreement may not exceed 75 percent of the total cost of the program.

(b) ELIGIBILITY AND PROCEDURE.—Any person or institution may apply to the Director for a grant or cooperative agreement available under this section. Application shall be made in such form and manner, and with such content and other submissions, as the Director shall prescribe. The Director shall act upon each such application within 90 days after the date on which all required information is received.

(c) TERMS AND CONDITIONS.—

- (1) Any grant made, or cooperative agreement entered into, under this section shall be subject to the limitations and provisions set forth in paragraphs (2) and (3) of this subsection, and to such other terms, conditions, and requirements as the Director deems necessary or appropriate.
- (2) Any person who receives or utilizes any proceeds of any grant made or cooperative agreement entered into under this section shall keep such records as the Director shall by regulation prescribe as being necessary and appropriate to facilitate effective audit and evaluation, including records which fully disclose the amount and disposition by such recipient of such pro-

1		eeds, the total cost of the program or project in co	n-
2		nection with which such proceeds were used, and t	he
3	+ i,	amount, if any, of such costs which was provid	\mathbf{ed}

4 through other sources.

SEC. 8. NATIONAL SCIENCE FOUNDATION CENTERS FOR INDUSTRIAL TECHNOLOGY

- (a) ESTABLISHMENT AND PROVISIONS -- The National Science
 Foundation shall provide assistance for the establishment of
 Centers for Industrial Technology. Such Centers shall be
 affiliated with a university, or other nonprofit institution,
 or a group thereof. The objective of the Centers is to enhance
 technological innovation as provided in subsection 6(a). The
 activities of the Centers shall be as provided in subsection
 6(b). Prior to establishing a Center, the National Science
 Foundation shall find that requirements (1) through (5) of subsection
 6(c) have been met. The provisions of subsections 6(e) and
 (f) shall apply to Centers established under this section.
 - (b) PLANNING GRANTS -- The National Science Foundation is authorized to make available nonrenewable planning grants to universities or nonprofit institutions for the purpose of developing a plan, as required under subsection 6(c)(3).
 - (c) TERMS AND CONDITIONS -- Grants, contracts, and cooperative agreements entered into by the National Science Foundation in execution of the powers and duties of the National Science Foundation under this Act shall be governed by the National Science Foundation Act of 1950 and other pertinent Acts.

SEC. &. ADMINISTRATIVE ARRANGEMENTS. Secretary and the National Science Foundation (a) COORDINATION.—The Director shall, on a continuing basis, obtain the advice and cooperation of departments and agencies whose missions contribute to or are affected by the programs established under this Act, including the development of an agenda for research and policy experimentation. These departments and agencies shall include but not be limited to the Departments of Defense, Energy, Health, Educa-Health and Human Services tion, and Welfare, Housing and Urban Development, the Environmental Protection Agency, National Aeronautics and Space Administration, National Science Foundation, Small Business Administration, Council of Economic Advisers, Council on Environmental Quality, and Office of Science and Technology Policy.

(b) COOPERATION -- It is the sense of the Congress that department and agencies, including the Federal laboratories, whose missions are affected by, or could contribute to, the programs established under this Act, should, within the limits of budgetary authorizations and appropriations, support or participate in activities or projects authorized by this Act.

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1	(c) ADMINISTRATIVE AUTHORIZATION
Ź	(1) Departments and agencies described in
3	subsection (b) are authorized to participate in,
4	contribute to, and serve as resources for the
5	Centers and for any other activities authorized under
6	this Act.
7.	(2) The Secretary and the National Science Foundation
8	are authorized to receive moneys and to receive other form
9	of assistance from other departments or agencies to
10	support activities of the Centers and any other activities
11	authorized under this Act.
12	SEC. 9. NATIONAL INDUSTRIAL TECHNOLOGY BOARD.
13	(a) ESTABLISHMENT.—There shall be established a
14	committee to be known as the National Industrial Technol-
15	ogy Board.
16	(b) Duties.—The Board shall take such steps as may
17	be necessary to review annually the activities of the Office
18	and advise the Secretary and the Director with respect to-
19	(1) the formulation and conduct of activities under
20	section 5 of this title;
21	(2) the designation and operation of Centers and
22	their programs under section 6 of this Act including
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1	(3) the preparation of the report required under
2	section 5(d); and
3	(4) such other matters as the Secretary or Direct
4	tor refers to the Board for review and advice.
5.	The Director shall make available to the Board such informa
6	tion, personnel, and administrative services and assistance as
÷	it may reasonably require to carry out its duties.
8	(c) Membership, Terms, and Powers.—
9	(1) The Board shall consist of 15 voting members
10	who shall be appointed by the Secretary. The Director
11	shall serve as a nonvoting member of the Board. The
12	members of the Board shall be individuals who, by
13	reason of knowledge, experience, or training are espe-
14	cially qualified in one or more of the disciplines and
15	fields dealing with technology, labor, and industrial in-
16	novation or who are affected by technological innova-
17	tion. The majority of the members of the Board shall
18	be individuals from industry and business.
19	(2) The term of office of a voting member of the
20	Board shall be 3 years, except that of the original ap-
21	pointees, five shall be appointed for a term of 1 year,
22	five shall be appointed for a term of 2 years, and five
23	shall be appointed for a term of 3 years.
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- (3) Any individual appointed to fill a vacancy occurring before the expiration of the term for which his or her predecessor was appointed shall be appointed only for the remainder of such term. No individual may be appointed as a voting member after serving more than two full terms as such a member.
- (4) The Board shall select a voting member to serve as the Chairperson and another voting member to serve as the Vice Chairperson. The Vice Chairperson shall perform the functions of the Chairperson in the absence or incapacity of the Chairperson.
- (5) Voting members of the Board may receive compensation at a daily rate for GS-18 of the General Schedule under section 5332 of title 5, United States Code, when actually engaged in the performance of duties for such Board, and may be reimbursed for actual and reasonable expenses incurred in the performance of such duties.

SEC. 11. UTILIZATION OF FEDERAL TECHNOLOGY

(a) PO_ICY.--It is the continuing responsibility of the Federal government to ensure the full use of the results of the nation's Federal investment in research and development. To this end the Federal government shall strive to transfer Federally owned or originated technology to State and local governments and to the private sector.

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private industry.

(b) ESTABLISHMENT OF RESEARCH AND TECHNOLOGY APPLICATIONS OFFICES. --2 each Federal laboratory shall establish an Office of Research and 3 Technology applications. Laboratories having existing organizational structures which perform the functions of this section may elect to 5 combine the Office of Research and Technology Applications within the existing organization. The staffing and funding levels for 6 these offices shall be determined between each Federal laboratory 7 and the Federal agency operating or directing the laboratory; provided that (i) each laboratory having a total annual budget 10 exceeding \$20,000,000 shall provide at least one professional 11 individual full-time as staff for its Office of Research and 12 Technology Applications, and (ii) after September 30, 1981 each 13 Federal agency which operates or directs one or more Federal lab-14 oratories shall make available not less than 0.5 percent of the agency's 15 research and development budget to support the technology 16 transfer function at the agency and at its laboratories, 17 including support of the Research and Technology 18 Applications Offices. (c) FUNCTIONS OF RESEARCH AND TECHNOLOGY APPLICATIONS 19 OFFICES. -- It shall be the function of each Office of 20 Research and Technology Applications -- -21 22 (1) to prepare an application assessment of each research and development project in which that lab-23 oratory is engaged which has potential for successful 24 application in State or local government or in 25

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(2) to provide and disseminate information on
federally owned or originated products, processes
and services having potential application to Stat
and local governments and to private industry;
(3) to cooperate with and assist the Center for -
the Utilization of Federal Technology and other
organizations which link the research and develop-
ment resources of that laboratory and the Federal
government as a whole to potential users in State
and local government and private industry; and
(4) to provide technical assistance in response
to requests from State and local government offi-
cials.

Research and Technology Applications Offices shall not substantially compete with similar services available in the private sector.

- (d) CENTER FOR THE UTILIZATION OF FEDERAL TECHNOLOGY—
 There is hereby established in the Department of Commerce
 a Center for the Utilization of Federal Technology. The
 Center for the Utilization of Federal Technology shall—
 - (1) serve as a central clearinghouse for Federally owned or originated technical information having potential application in State or local government or industry including at least (i) all application assessments prepared pursuant to subsection c(1)

and (ii) federally owned patents;

1	(2) coordinate the activities of the Research and
ź ¹ :	Technology Applications Offices of the Federal labora-
3	tories;
4	(3) utilize the expertise and services of the National
5	Science Foundation and the existing Federal Laboratory
6	Consortium for Technology Transfer, particularly in
7 .	dealing with State and local governments;
8	(4) receive requests for technical assistance from State
9	and local governments and refer these requests to the
10	appropriate Federal laboratory;
11	(5) provide funding, where necessary, for Federal labora-
12	tories to provide the assistance specified in subsection
13	c(4); and
14	(6) utilize such technology transfer mechanisms as are
15	appropriate, including but not limited to, personnel
16	exchanges and computer-based systems.
17	(e) AGENCY REPORTINGEach Federal agency which operates or
18	directs one or more Federal laboratories shall prepare annually
19	a report summarizing the activities performed by that agency
20 ·	and its Federal laboratories pursuant to the provisions of this
21	Act. The report shall be transmitted to the Center for the
22	Utilization of Federal Technology by November 1 of each year.
23	SEC. 12. NATIONAL TECHNOLOGY MEDAL
24	(a) There is hereby established National Technology Medal,
25	which shall be of such design and materials and bear such
26	inscriptions as the President, on the basis of recommendations
27	submitted by the Office of Science and Technology Policy, may

prescribe.

1	(b) The President shall periodically award the
2	medal, on the basis of recommendations received
3	from the Secretary or on the basis of such other
4	information and evidence as he deems appropriate,
5	to individuals or companies, which in his judg-
6	ment are deserving of special recognition by
7	reason of their outstanding contributions to
8	the promotion of technology or technological man-
9	power for the improvement of the economic, environ-
10	mental, or social well-being of the United States.
11	(c) The presentation of the award shall be made
12	by the President with such ceremonies as he may
13	deem proper.
14	SEC. 13. PERSONNEL EXCHANGES
15	The Director and the National Science Foundation,

The Director and the National Science Foundation, jointly, shall establish a program to foster the exchange of scientific and technical personnel among academia, industry, and Federal laboratories. Such programs shall include both (i) federally supported exchanges and (ii) efforts to stimulate exchanges without Federal funding.

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SEC. 18. AUTHORIZATION OF APPROPRIATIONS.

- (a) There is authorized to be appropriated to the Secretary for purposes of carrying out section 6, not to exceed \$19,000,000 for the fiscal year ending September 30, 1981, \$40,000,000 for the fiscal year ending September 30, 1982, \$50,000,000 for the fiscal year ending September 30, 1983, and \$60,000,000 for each of the fiscal years ending September 30, 1984, and 1985.
- (b) In addition to authorizations of appropriations under to the Secretary subsection (a), there is authorized to be appropriated for purposes of carrying out the provisions of this Act, not to exceed \$5,000,000 for the fiscal year ending September 30, 1981, \$9,000,000 for the fiscal year ending September 30, 1982, \$14,000,000 for each of the fiscal years ending September 30, 1982, \$14,000,000 for each of the fiscal years ending September 30, 1983, 1984, and 1985.
 - (c) Such sums as may be appropriated under subsections(a) and (b) shall remain available until expended.
- (d) To enable the National Science Foundation to carry out its powers and duties under this Act only such sums may be appropriated as the Congress may authorize by law.