

ProTon Europe 2009 survey of Knowledge Transfer activity in Europe (Fiscal Year 2008)

Dear ProTon Europe Member,

Welcome to the ProTon Europe 2009 Annual Survey, which is being conducted on an annual basis by ProTon Europe in collaboration with the national partner associations.

The Survey intends to gather information concerning knowledge and technology transfer in Public Research Organisations (PROs) in Europe and the functions performed by their Knowledge Transfer Offices (KTOs). By combining these measures, ProTon Europe and its national partner associations will be able to increase the recognition of the knowledge transfer (KT) function and to demonstrate its importance for the benefit of the public. The survey campaign will be open until **September 15th 2009** so applied questionnaires need to be submitted by that date. In case you encounter any difficulty please contact the ProTon Europe Secretariat at secretariat@protoneurope.org.

The Annual Survey 2009 comprises **18 Core Questions**. The **Optional Questions** are not obligatory but it is very appreciated if you can submit the Full Questionnaire.

All responses should relate only to the year being surveyed: **fiscal year 2008**. **We skipped the Fiscal Year 2007 to report on the most recent data which should be available by now.**

In order to facilitate and speed the integration of all the data, we published the questionnaire online on Survey Monkey website at the following address:
http://www.surveymonkey.com/s.aspx?sm=Y9XodUFXOi9NAvquRQgtkg_3d_3d

You are invited to print this questionnaire, to collect the data requested and to write them on this paper form first. When all data have been noted, you can then go on the Survey Monkey website to introduce the final data into the questionnaire online.

All individual answers will be kept confidential by ProTon Europe and will not be communicated to other parties unless specific permission is given by responding organizations. Your data will therefore be kept confidential. Only aggregated data will be published. The 4th annual report organized last year in 2008 and dedicated to the fiscal year 2006 can be downloaded from the website under the item: Reports: Summary 4th annual survey

Should you need some help, please don't hesitate to contact the secretariat.

Best regards,

José Syne,

Secretary General

5th ProTon Europe Annual Survey Questionnaire / PEASQ_2008

Section 0: General

Do you agree that the information you will provide on your institution can be made public by ProTon Europe?

Yes No

CORE QUESTIONS

Section 1: PRO(s) served by the KTO

1. Number of PRO(s) served by your KTO on a permanent and privileged base:

- 1.1. General universities
- 1.2. Technical universities
- 1.3. Hospitals
- 1.4. Research & Technology Organizations (RTOs)

2. Number of academic and research staff in the PRO(s) served (Full time equivalent – FTEs):

- 2.1. Number of academic staff (FTEs)
- 2.2. Number of research staff (FTEs)

Section 2: KTO's profile

3. Year of foundation of your KTO

4. Resources devoted to KTO's activities:

- 4.1. Total number of KTO staff in 2008 (FTEs)
- 4.2. KTO's budget¹ in 2008 ('000 Euros),000 €
- 4.3. What percentage of the KTO's budget is spent on outsourcing, excluding patent costs?%
- 4.4. Does the KTO outsource some of the following activities ?
 - 4.4.1. Preparing patents applications Yes No
 - 4.4.2. Legal work for research contracts Yes No
 - 4.4.3. Legal work for licensing contracts Yes No

5. Which of the following activities does your KTO undertake? *Please, check all that apply.*

- 5.1. Seeking and/or managing research contracts from government organizations Yes No
- 5.2. Seeking and/or managing research contracts with industry Yes No
- 5.3. Selling expertise/consultancy/services to industry Yes No
- 5.4. Managing the patent portfolio Yes No
- 5.5. Scouting for new IP/technology Yes No
- 5.6. Licensing Yes No

¹ Including (i) *PRO's endowment funds* (including personnel and ordinary expenses); (ii) *self-financing from contracted and collaborative research* (revenues from research and consultancy contracts, collaborative research, technical services); (iii) *self-financing from patenting /know-how* (revenues from licensing activities, patent assignments, participation to spin-offs' equity).

- 5.7. Creation of spin-off companies Yes No
- 5.8. Continuous Professional Development (CPD) Yes No
- 5.9. Management of Science and Technology Parks Yes No
- 5.10. Agreements with seed capital funds or business angel networks Yes No

Section 3: IPR Protection

- 6. Number of invention disclosures² received in 2008
- 7. Total number of priority patent applications³:
 - 7.1. Number of priority patent applications filed to the national patent office
 - 7.2. Number of priority patent applications filed to the EPO
 - 7.3. Number of priority patent applications filed to the USPTO
- 8. Total number of patent applications (PCT I):
 - 8.1. Number patent applications (PCT I) filed to the national patent office
 - 8.2. Number of patent applications (PCT I) filed to the EPO
 - 8.3. Number of patent applications (PCT I) filed to the USPTO
- 9. Total number of patent extensions (normally PCT II, but not exclusively):
 - 9.1. Number of patent extensions filed to the EPO
 - 9.2. Number of patent extensions filed to the USPTO
- 10. Total number of patent grants:
 - 10.1. Number of patents granted by the national patent office
 - 10.2. Number of patents granted by the EPO
 - 10.3. Number patents granted by the USPTO
- 11. Total number of active patents as of December 31st 2008⁴:
 - 11.1. National patent office: number of active national patents (priority patent applications + PCT I applications + grants)
 - 11.2. EPO: number of active patents (priority patent applications + PCT I applications + PCT II applications + grants)

² A disclosure is a document that contains all the information which is deemed necessary to evaluate the potential of an invention/result deriving from the research activities so as to be able to decide its legal protection and/or active commercialization.

³ The priority filing of a patent application is the first filing under the form of a provisional, national patent application, regional (EP of other) or international (PCT) patent application. All national patents will derive from the priority date of such priority patent applications.

⁴ Including both active patent applications filed and active patents granted as of December 31st 2008 (number of active patent portfolio, excluding the cases of sold, re-assigned or expired patents).

- 11.3. USPTO: number of active patents (priority patent applications + PCT I applications + PCT II applications + grants)
- 11.4. Number of national validations (post PCT II procedure)
12. Total amount of patent fees paid in 2008 ('000 Euros):000 €

Section 4: Licensing

Activity related with licenses. A licence is the official document where the Licensor (e.g. your institution) grants rights to use the technology under licence in a defined field of use and territory.

13. Total number of licences and/or options executed in 2008:
- of which:
- 13.1. Number of exclusive licences:
- 13.2. Number of licences and/or options executed with non-EU partners
14. Total value of licensing income in 2008 (in '000 Euros; VAT excluded):000 €

Section 5: Interaction with Industry

Collaborative Research: Research sponsored by industry partners that is expected to contribute to the creation of new knowledge and to the economic development of the partner. The PRO is expected to retain IP rights of the results and inventions. Frequently, there is public funding in support of this research.

Contract Research: Research and technology development paid for by third parties and formalized through a contract involving full economic cost and profit where appropriate. The contracting party usually defines the work to be done and retains the IP rights.

Consultancy: The sale for a fee of consulting services based on previous knowledge and not generating new knowledge beyond the state of the art.

Technical services: The sale of services for a fee. These may include the use of special infrastructure, performance of tests, etc.

15. Value of R&D expenditure (grants + contracts) in 2008 ('000 Euros) received from:
- 15.1. Industry⁵000 €
- 15.2. Government offices & agencies000 €
- 15.3. Donations000 €
- 15.4. PRO's own funds000 €
- 15.5. Total value of R&D expenditure in 2008 ('000 Euros)000 €
- of which:
- 15.6. Percentage of R&D expenditure in 2008 devoted to Science Research%

Section 6: Spin-offs

Spin-off: New company whose business model and technology is based primarily on knowledge generated by the PRO.

Start-up: Any other new company created with some support by the PRO(s) served.

⁵ Including contract research & consulting, collaborative research, technical services and training for industry (VAT excluded).

16. Number of spin-offs created in 2008
17. Number of active spin-offs as of December 31st 2008
- of which:*
- 17.1. Number of active spin-offs which signed a licence agreement with the PRO in 2008
 - 17.2. Number of active spin-offs in which your KTO/PRO (or its representative) holds equity
18. Number of spin-offs which have closed down in 2008

The following questions are non-obligatory

OPTIONAL QUESTIONS

Section 1: PRO(s) served by the KTO

19. Number of PROs served by your KTO with written policies in these issues:

- 19.1. Inventions
- 19.2. Ownership of copyright
- 19.3. Involvement of students in contract research with companies
- 19.4. Collaboration with industry and contract research
- 19.5. Creation of spin-offs
- 19.6. Conflict of interest

20. Number of PROs served by your KTO with:

- 20.1. Business incubator
- 20.2. Science & Technology Park

21. Legal relationship between your KTO and the PRO(s) served? *Please check all that apply.*

- 21.1. Department/unit of the PRO
- 21.2. Non for profit entity, whose majority is controlled by the PRO
- 21.3. For profit entity, whose majority is controlled by the PRO
- 21.4. Non for profit entity, bound by a written and preferential services agreement
- 21.5. For profit entity, bound by a written and preferential services agreement

Section 2: KTO profile

22. Financial sources of KTO's budget in 2008:

- 22.1. PRO's endowment funds (including personnel and ordinary expenses)%
- 22.2. Self-financing from contracted and collaborative research (revenues from research and consultancy contracts, collaborative research, technical services)%
- 22.3. Self-financing from patenting/know-how (revenues from licensing activities, patent assignments, participation to spin-offs' equity)%
- 22.4. *Total KTO's budget in 2008* 100%

23. Approximate number of academic and research PRO personnel actually served by the KTO for the KTO activities managed during 2008 (internal clients)

Section 3: IPR Protection

24. Number of 2008 patent applications jointly owned with one or more third parties.....

Section 5: Interaction with Industry

Collaborative Research: Research sponsored by industry partners that is expected to contribute new knowledge and to the economic development of the partner. The PRO is expected to retain ownership rights of the results and inventions. Frequently, there is public funding in support of this research.

Consultancy: The sale for a fee of consulting services based on previous knowledge and not generating new knowledge beyond the state of the art

Contract Research: Research and technology development paid for by third parties and formalized through a contract involving full economic cost and profit where appropriate. The contracting party usually defines the work to be done and retains the ownerships rights.

Technical services: The sale of services for a fee. These may include the use of special infrastructure, performance of tests, etc.

- 25. Number of collaborative research contracts/grants executed in 2008
- 26. Revenues from collaborative research contracts/grants executed in 2008 ('000 Euros; VAT excluded)000 €
- 27. Number of Research & Consultancy (R&C) contracts (excluding collaborative research) executed in 2008
- 28. Revenues from Research & Consultancy (R&C) contracts (excluding collaborative research)executed in 2008 ('000 Euros; VAT excluded)000 €
- 29. Regarding contracted and collaborative R&D, consultancy and technical services in 2008, please indicate the number of:
 - 29.1. Private clients/partners served by your KTO
 - 29.2. Public clients/partners served by your KTO
 - 29.3. Non-EU clients/partners (both private and public) served by your KTO

Section 6: Spin-offs

Spin-off: New company whose business model and technology is based primarily on knowledge generated by the PRO.

- 30. Active spin-off companies' average turnover ('000 Euros) in 2008000 €
- 31. Average number of employees in active spin-off companies in 2008 (FTEs)
- 32. Revenues generated in 2008 from profits and/or sales of equity in spin-offs in which your PRO/KTO holds equity ('000 Euros)000 €
- 33. Number of start-ups created in 2008
- 34. Does your KTO manage seed capital? Yes No

Section 7: Comments & Suggestions

35. Please, feel free to provide us any further information, comments and/or suggestions on the ProTon Europe Annual Survey 2008.

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Glossary

Academic Staff: Faculty members with education and/or research duties.

Budget: it is the amount of money that is available for, required for, or assigned to a particular purpose in a specific period. This amount includes, in KTO cases: (i) *PRO's endowment funds* (including personnel and ordinary expenses); (ii) *self-financing from contracted and collaborative research* (revenues from research and consultancy contracts, collaborative research, technical services); (iii) *self-financing from patenting/know-how* (revenues from licensing activities, patent assignments, participation to spin-offs' equity).

Collaborative Research: Research sponsored by industry partners that is expected to contribute at the same time to new knowledge and to the economic development of the partner. The PRO is expected to retain ownership rights on the results and inventions.

Consultancy: The sale for a fee of consulting services based on existing knowledge.

Contract Research: Research and development sponsored by industry partner.

Disclosure: Document that contains all the information which is deemed necessary to evaluate the potential of an invention/result deriving from the research activities so as to be able to decide its legal protection and/or active commercialization.

Equity: Financial term for the difference between a company's assets and liabilities, that is, the value that accrues to the owners.

Extension: A PCT application or a patent application in another country than that where priority patent has been filed.

FTE (Full Time Equivalent): People working part-time are only included for the fraction that they are employed.

Invention disclosure: A disclosure is a document that contains all the information which is deemed necessary to evaluate the potential of an invention/result deriving from the research activities so as to be able to decide its legal protection and/or active commercialization.

IPR (Intellectual Property Rights): Patents, registered designs, software, etc.

KTO (Knowledge Transfer Organization): Outside organizations or departments units (not physical persons) involved in the transfer of knowledge from PROs, that are entrusted by one or several PROs with a substantial activity in the transfer of knowledge from those PROs, including intellectual property management, licensing, partnering with industry and the creation of new companies.

Licence: in a licence agreement, the Licensor (e.g. your institution) grants rights to use the technology under Licence in a defined Field of Use and Territory.

O/H (Overheads): Costs incurred by a business which are not discretely associated with a particular product or service which that business provides for its customers.

Option: Grants the potential licensee a time period during which it may evaluate the technology and negotiate the terms of a licence agreement.

Patent Cases: Series of patents or patent family deriving from the same priority. A patent family comprises the priority patent application and may comprise PCT, national and regional patent applications and granted patents.

Priority filing of a patent application: The first filing under the form of a provisional, national patent application, regional (EP or other) or international (PCT) patent application from which priority date all national patents will derive.

PCT (Patent Cooperation Treaty): The Treaty makes it possible to seek patent protection for an invention simultaneously in each of a large number of countries by filling an "international" patent application.

PCT I (Chapter I): The chapter of the PCT regulating the filing of the international application, international search, establishment of the written opinion of the International Searching Authority, international publication of the international application, and provides for the communication of the international application and related documents to designated Offices.

PCT II (Chapter II): The chapter of the PCT regulating the optional international preliminary examination procedure, and provides for the communication of the international preliminary examination report and certain related documents to elected Offices.

PRO (Public Research Organizations): Universities and other research institutions funded primarily by public funds.

Professional Staff: Professional position whose duties include any management task (liaison, marketing, negotiation, evaluation, administration, legal and business counseling, etc) for the support of Knowledge Transfer activities. It doesn't include clerical and administrative staff.

Public Collaborative Research: Public funding for collaborative research (e.g. EU R&D Framework programs, similar national funding, etc.)

Research and Development expenditures: Total R&D expenditures, including share of academic costs dedicated to research and R&D overheads. Criterion normally used when reporting this figure to the national statistics office if requested.

Research Staff: University graduates involved in research other than academic staff and undergraduates. This includes permanent research staff, post-docs, researchers on fellowships, etc.

Revenue: It is the amount of money that the PRO receives from its knowledge transfer activities.

Seed Capital: Money that is given to someone to help start a new business.

Spin-off (in relation to a PRO): New company (Start-up) whose business model and technology is based primarily on knowledge generated by the PRO.

Start-up: New company formed by university entrepreneurs. This survey does NOT include Spin-offs as defined above.

Technical services: The sale of services for a fee. These may include the use of special infrastructure, performance of tests, etc.