

TECHNICAL ANNEX

Survey on Policies and Practices for IP-Mediated Knowledge Transfer¹

I General Information about the Institution

1. Number of academic and other research-active employees:

Full-time (35 hours per week or more): _____

Part-time (less than 35 hours per week): _____

2. Number of PhD students: _____

3. In which of the following technical fields does your university/PRO conduct research?

More than one answer is possible.

Agriculture

Computer Engineering

Biotechnology

Chemical Engineering

Chemistry

Industrial Engineering

Medical Sciences*

Civil Engineering

Operation and
Transportation

Environmental
Engineering

Mechanical Engineering

Physics

Electrical Engineering

Electronics and
Telecommunications

Other

*Include pharmaceuticals, medical instruments and technologies, etc.

¹ This questionnaire is a modified version of the WIPO *Assessment Questionnaire for Stakeholders from Academic and Research Institutions* developed by the Intellectual Property Policies for Universities Focus Group. It is meant as a template only for policies and practices to support IP and IP mediated knowledge transfer. Questions for specific types of IP, such as copyright, or trademarks, can be added as needed.

4. What are the primary roles/missions of your institution? *More than one answer is possible.*
- Teaching/education
 - Social sciences research (humanities, business, economics, etc.)
 - STEM research (science, technology, engineering, mathematics)
 - Medical and health sciences research
 - Visual and performing arts (painting, sculpture, dance, theatre, film, etc.)
 - Other (please explain)
5. Does your institution have any IP policies (including IP regulations, guidelines, rules, etc.) relevant to the creation, ownership and protection of IP, knowledge transfer, or commercialization activities?
- Yes
 - No
 - Don't know/Not relevant

II Ownership of IPRs Created at Your Institution

Questions 7–10 only need to be answered if your institution has an IP policy

6. Does your institution's IP policy regulate ownership of the following IPRs that are created within the institution? *More than one answer is possible.*
- Patents
 - Copyright
 - Industrial designs
 - Utility models
 - Trademarks
 - Plant varieties
 - Trade secrets/confidential business information
 - No, it does not regulate ownership of any IPRs
 - Don't know/Not relevant
7. Does your institution's IP policy follow national regulations on the ownership of IPRs?
- Yes, the institution's policies follow the national regulations
 - Yes, but the institution's policies include areas not covered by the national regulations

- No, because there are no relevant national regulations
- No, the IP policy alters the national regulations
- Don't know/Not relevant

8. Who owns the IP when research is funded by public or private sources?*

More than one answer is possible.

IP owner	Funded by public sources	Funded by private (business) sources
University/PRO	<input type="checkbox"/>	<input type="checkbox"/>
Funding organization/business	<input type="checkbox"/>	<input type="checkbox"/>
Inventor(s)	<input type="checkbox"/>	<input type="checkbox"/>
Other	<input type="checkbox"/>	<input type="checkbox"/>
Don't know/Not relevant	<input type="checkbox"/>	<input type="checkbox"/>

If other, please explain.

*Include both research funded under contract, for instance for a private business or government department, and research funded through research grants.

9. *If the inventor/creator may own the IP:* Which of the following types of inventor or creator can become owners of IPRs (excluding copyright) at your institution? *More than one answer is possible.*

- Students
- PhD students
- Researcher-employees
- Professors
- Visiting researchers (include researchers on exchange from other organizations and honorary appointees).
- Don't know/Not relevant

III IP and Technology Management in the Institution

IP Disclosure Form

10. Are academics and/or researchers required to report inventions with possible commercial applications?

- Yes
 No
 Don't know/Not relevant

11. Is there a well-defined procedure for evaluating the potential commercial value of research produced by your institution?

- Yes
 No
 Don't know/Not relevant

12. *If yes to question 12: Who is responsible for reviewing research results for their potential commercial application and/or possible protection by IPRs? More than one answer is possible.*

- Administration officer/office
 University/PRO department where the invention was made
 Inventor/creator
 Knowledge transfer officer/office owned by or affiliated with the university/PRO
 Private company (not part of or owned by the University/PRO)
 Other (please explain)

- Don't know/Not relevant

IP Protection and Protection Against Infringement

13. Does your institution have policies or guidelines on confidentiality to protect IP?

- Yes
 No
 Don't know/Not relevant

Commercialization

14. Does your institution have regulations, guidelines or an IP policy for the commercialization of IP created at your institution?

- Yes
- No
- Don't know/Not relevant

15. Who manages IP for your institution, including the negotiation of licenses? *More than one answer is possible.*

- Administration officer/office
- University/PRO department where the invention was made
- Inventor/creator
- Knowledge transfer officer/office owned by or affiliated with the University/PRO
- Private company (not part of or owned by the University/PRO)
- Other (please explain)

- Don't know/Not relevant

16. Does your institution have a budget for filing, defending and/or maintaining IPRs?

- Yes
- No
- Don't know/Not relevant

17. Who shares in the financial benefits resulting from the exploitation of IP?

More than one answer is possible.

- Institution
- University/PRO department where invention was conceived
- Inventor/creator
- Government or other public funding body
- Other (please explain)

- Don't know/Not relevant

18. Does your institution provide any of the following types of support for its spin-off companies? *More than one answer is possible.*

- Startup capital
- Releasing researchers/academics to (partially) work in the spinoff company
- Incubator units
- Management and/or administrative support from the institution
- Other (please explain)

Don't know/Not relevant

IV Incentives

19. Does your institution provide any of the following incentives or assistance to encourage staff to actively assist in implementing the IP policy? *More than one answer is possible.*

	Yes	No	Don't know/ Not relevant
1. Funding of research projects to further develop the IP	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Training on IP/technology management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Nonfinancial rewards to inventors (e.g., promotion scheme, public acknowledgement or invention certificates, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Academic recognition/reward	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Financial rewards to inventors (e.g., participation in licensing income)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Assistance in IP management (e.g., human resources, patent information search,	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Yes	No	Don't know/ Not relevant
marketing research, patentability evaluation, commercialization, etc.)			
7. Grants for IP protection costs (e.g., patent filing fees, prototype creation and/or legal fees)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Assistance with a startup/spinoff (e.g., help for developing a business plan, market research, finance, identifying business partners, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Other (please explain):	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

V Engagement with Third Parties

20. How are contacts established between potential commercialization partners and your institution? *More than one answer is possible.*

- Knowledge transfer officer/office identifies contacts
- Inventor(s)/researchers identify contacts
- Advertising or technology databases
- Scientific conferences/seminars
- Other (please explain)

- Don't know/Not relevant

21. Are there written rules or guidelines for licensing, including model contracts?

Yes (please explain)

- No
- Don't know/Not relevant

22. Are the rules for licensing flexible?

Yes (please explain)

- No
- Don't know/Not relevant

23. Are there rules or guidelines for exclusive versus nonexclusive licenses?

Yes (please explain)

- No
- Don't know/Not relevant

VI Funding Sources for Research and Development (R&D)

24. Approximately what percent of your institution's total research expenditures are funded by the following types of organization?
Estimates are acceptable.

- | | |
|---|-------------|
| <input type="checkbox"/> National governments* | _____ % |
| <input type="checkbox"/> Private sector (businesses) | _____ % |
| <input type="checkbox"/> International funding agencies** | _____ % |
| <input type="checkbox"/> Other (please explain) | _____ % |
| | 100% |

- Don't know/Not relevant

* Government includes all national sources of public funding, including national, regional and local governments, plus funding by your university/PRO or other universities/PROs.

** Include government and nonprofit agencies such as the UN, World Bank, European Commission, etc.

VII Publication/Dissemination Policy

25. Are there any initiatives to promote the broad dissemination of R&D results or copyrighted materials, such as Public Domain, Open Search, Open Access, Open Source, Open Course Ware²?

Yes (please explain)

No

Don't know/Not relevant

26. Are there any initiatives, regulations or policies that regulate the policies for publication delays (such as maximum length) for licensed IP?

Yes (please explain)

No

Don't know/Not relevant

VIII IP Policy Awareness Raising

27. How are your institution's policies on IP distributed to its employees and other stakeholders?

Through the institution website, URL _____

Paper copy

Training actions for students and staff

Other (please explain)

No distribution or not relevant (if no IP policy)

² **Open Search** is a collection of technologies that allow publishing of search results in a standard and accessible format. **Open Source** refers to access to software or source code. **Open Access** is associated with journal literature and other scholarly content. **Open Course Ware (OCW)** offers course materials free to anyone with online access.

28. Does your institution have a web page dedicated to IP matters?

- Yes, URL: _____
- No
- Don't know/Not relevant

IX Problems, Challenges and Strategic Issues

29. Does your institution face any of the following challenges and obstacles for the commercialization of IPRs? If yes, please indicate the three most important ones.

For relevant column, tick all that apply.

Challenges and obstacles	Relevant	Three most important ones
Weak scientific innovation capacity	<input type="checkbox"/>	<input type="checkbox"/>
Research not relevant to the needs of businesses in your country	<input type="checkbox"/>	<input type="checkbox"/>
National or local businesses lack the capability to use relevant research results	<input type="checkbox"/>	<input type="checkbox"/>
Lack of funds to file for patents	<input type="checkbox"/>	<input type="checkbox"/>
Lack of technical skills for patent information searches or drafting patents	<input type="checkbox"/>	<input type="checkbox"/>
Inefficient technology evaluation mechanisms (e.g., invention disclosure procedures not in place, inefficient technology evaluation, etc.)	<input type="checkbox"/>	<input type="checkbox"/>
Lack of appropriate institutional IP guidelines/policies	<input type="checkbox"/>	<input type="checkbox"/>
Cultural gap between university and industry	<input type="checkbox"/>	<input type="checkbox"/>
Inadequate national legal framework (e.g., laws, policies, regulations)	<input type="checkbox"/>	<input type="checkbox"/>

Challenges and obstacles	Relevant	Three most important ones
Lack of support from university management	<input type="checkbox"/>	<input type="checkbox"/>
Lack of incentives for researchers/inventors	<input type="checkbox"/>	<input type="checkbox"/>
Conflicts of interest (e.g., what kind of research to undertake; which third parties to cooperate with; whether to put IP into the public domain or whether to seek exclusive commercialization deals, etc.)	<input type="checkbox"/>	<input type="checkbox"/>
Other challenges (please specify):		

30. What are the main goals of your institution in supporting the commercialization of IP? *More than one answer is possible.*

- Earn income
- Support economic development in the region where your institute is located
- Market the scientific and technical expertise of your institution
- Identify research collaboration partners for academic research
- Promote entrepreneurial attitudes among students and academics
- Attract and retain academics
- Identify job opportunities for students

31. Please comment on any additional issues concerning institutional IP policies you consider relevant to this Needs Assessment Questionnaire.