

ASTP Survey on Knowledge Transfer Activities FY2021

Some information about yourself

1) Do you allow us to share your data with your national knowledge and technology transfer association?

- YES
- NO

If yes, please choose your national association:

- Austria - Austrian TT Network
- Belgium - Réseau LIEU
- Belgium - TTO Flanders
- Croatia - Croatian TT Network
- Czech Republic - Transfera
- Denmark - Universities Denmark
- Finland - FinnChamps
- France - Réseau C.U.R.I.E.
- Germany - TransferAllianz
- Greece - PRAXI Network
- Hungary - Technology and Knowledge Transfer Forum of Hungarian Universities
- Ireland - IKTIG (Irish Knowledge Transfer & Innovation Group)
- Italy - NETVAL
- Netherlands - VSNU (Vereniging van Samenwerkende Nederlandse Universiteiten)
- Norway - FIN
- Poland - PACTT (Porozumie Akademickich Centrów Transferów Technologii)
- Russia - NATT (Russian National Association of Technology Transfer)
- Slovenia - SI-TT (Association of Technology Transfer Professionals of Slovenia)
- Spain - RedOTRI
- Spain - Redtransfer
- Sweden - SNITTS (Swedish Network for Innovation and Technology Transfer Support)

- () Switzerland - swITT (Swiss Technology Transfer Association)
- () Turkey - ÜSIMP (University-Industry Collaboration Centers Platform of Turkey)
- () Ukraine, Azerbaijan, Georgia & Moldova - TTIRA (Technology Transfer Inter-Regional Association)
- () United Kingdom - PraxisAuril
- () Other

If your national association is not listed above, please fill in below:

Name of National Association: _____

Name of contact person: _____

Email address of contact person: _____

2) Please provide us with some information about yourself, should we need to contact you.

First Name: _____

Last Name: _____

Email Address: _____

Phone Number: _____

ASTP complies with all GDPR requirements and is committed to honesty and transparency, to protecting your data, and to never use it inappropriately.

Demographics and KTO age

3) Please provide some basic information on your Knowledge Transfer Office (KTO) or Public Research Organisation (PRO).

Name of KTO or PRO of which the KTO is a part of:

Street Address: _____

City: _____

Postcode: _____

Country: _____

4) In what year was your KTO first established?

5) What is the total number of PROs your KTO serves?

Please include the total number of PROs for which you are submitting aggregate data in this survey.

KTO staff and IP expenditure

6) What was the total number of KTO staff in Full-Time Equivalents (FTEs) at the end of FY2021?

If you wish to use a decimal point, please use a period (.) instead of a comma (,) as the use of commas in numbers is not allowed and the comma will be removed e.g. 12,4 will become 12.4.

One Full Time Equivalent (FTE) is equivalent to one employee working full-time, however the value is not necessarily equal to the actual number of employees. In case of part-time employees, FTE value will be less than the number of persons. E.g. two employees spending 30% of their work time each at the KTO will add up to 0.6 FTE.

7) What percentage (%) efforts of the total FTEs reported under Question 6 were directed towards the following activities:

_____ Research Support

including MTAs, CDAs, Collaborative Research Agreements, etc.

_____ Commercialisation

including IP protection and commercialisation, licensing, consultancy agreements

_____ Entrepreneurship Support

including training, business planning, incubation

_____ Business Development

including industry liaison

_____ Others

including project management and those not listed above

8) What total amount was spent for IP protection by your KTO and PRO(s) combined (€)?

Please include both the charges from external IP specialists as well as fees paid to IPR-granting authorities (e.g. the EPO) excluding internal staff-related costs, and co-funding from public funding.

Research Effort, Agreements with Non-Academic Parties

The data that we ask you to provide under the following two questions will be used for normalisation purposes. Therefore, please make sure numbers are as accurate as possible. Where possible, please use the same numbers that Public Research Organisations submit through their national statistics office for the Research and Development Official Survey (harmonised by Eurostat and OECD).

9) Please give the aggregate Research Expenditures in FY2021 for all PRO(s) for which your KTO is reporting data under this survey (€).

Include share of academic costs dedicated to research (e.g. salary costs of permanent academic staff, costs of administrative support, capital expenditures on new equipment). Exclude cost of new buildings or land.

10) What was the (combined) research effort of your PRO(s) in FY2021, expressed in FTEs?

Include time spent by academic staff on research (also include FTEs for post-docs, PhD students, research fellows, technicians and the like). Exclude time spent by staff on teaching. If an estimate number, please specify in the comment box below.

Comments:

11) Please use this comment box to provide context where necessary to any of the numbers provided under Questions 9 and 10. Insert comment if there are reasons to assume that the numbers provided may not be comparable with those provided by other European institutions.

e.g. for some PROs, a lot of research work is being performed by PhD students on stipends, who do count towards the number of FTE in research but are not on the payroll of the PRO and so do not contribute to the Research Expenditures etc.

Important guiding note: Please fill in zero '0' if the answer is in fact '0'. If you don't know the answer or wish to skip it for any other reasons, please leave the question blank.

12) Please provide the number of new agreements with non-academic parties that were signed in FY2021:

Note that we are collecting data at an institutional level and not only at KTO level, so please contact other relevant departments, if needed.

Contract Research Agreements: _____

Collaborative Research Agreements:

Consultancy Agreements: _____

Total number of new agreements: _____

13) Please provide the gross amount (€) received directly by your PRO(s) from non-academic parties under the following agreement types in FY2021:

Note that we are collecting data at an institutional level and not only at KTO level, so please contact other relevant departments, if needed.

Contract Research Agreements: _____

Collaborative Research Agreements:

Consultancy Agreements: _____

Total gross amount received: _____

Contract Research means research performed by a PRO at the request of and paid for by a non-academic organisation, using existing knowledge, know-how, materials, equipment and other resources available at the PRO.

Under a Contract Research Agreement, the project is typically designed by the non-academic party and all results and IP are typically owned by the non-academic organisations and PROs may not be allowed to publish the results of the research. The incentive for the PRO to engage in such research is not academic output. For the purposes of this survey, technical services provided to non-academic parties (e.g. scientific measurements, testing, analysis) will qualify as contract research.

Collaborative Research means research performed by at least one PRO and at least one non-academic party, where all parties contribute to the design of the research project, its implementation and share the project outputs. Include all collaboration agreements involving non-academic organisation, including those under which the non-academic party does not make any cash payment to the PRO directly (e.g. in case the project is fully subsidised).

Under a Collaborative Research Agreement, the results and IP are typically owned by the party or parties that generated them (or are jointly owned). All parties share the data/results and academic parties have the right to publish the results of the research. The incentive for the PRO to engage in such research is primarily academically-driven (generation of new scientific knowledge).

Consultancy means the provision of expert advice in a specific field by academics working in a PRO for the benefit of an external, non-academic organisation. Exclude consultancy agreements concluded by individual staff

members directly with third parties (i.e. not through the PRO) or those that relate to research or technical services, testing of equipment and the like.

The services do not typically involve experimentation, measurements, use of specialised equipment or generating new data (such activities would normally qualify as 'contract research') but make use of the academic's specialist knowledge and skills of the field in which he/she works.

Invention disclosures, patent applications and patent grants

For KTOs located in Sweden (due to Professor's privilege), please include only those that are managed by your KTO.

Important guiding note: Please fill in zero '0' if the answer is in fact '0'. If you don't know the answer or wish to skip it for any other reasons, please leave the question blank.

14) What is the number of invention disclosures received by your KTO in FY2021?

Formal or informal descriptions of inventions or discoveries that are discussed with and/or evaluated by the KTO staff or other technology experts to assess their utility outside academia.

15) Please give the total number of priority patent applications filed in FY2021.

A priority patent application constitutes the first patent application for a technically unique invention. If priority patent applications relating to the same technically unique invention are submitted simultaneously in multiple patent offices, or are submitted after the first priority patent application within the priority year, only a single priority application should be counted.

16) How many patents were first granted in FY2021?

Include all patents owned by the PRO including those already out-licensed. For those located in Sweden, please include only those managed by your KTO. The first grant in any territory of a patent for a technically unique invention. Count a patent grant for the same invention in two or more countries as one technically unique patent. If a first patent grant for a technically unique invention has been counted in a previous year, no further patent grants for such invention should be reported. Please only count the first granted patent in each patent family.

17) What is the total number of patent families in the patent portfolio managed by your KTO that are active at the end of FY2021?

A patent family is a collection of patent applications and granted patents that claims the same priority date.

18) Please give the number of active patent families in the patent portfolio provided under Question 17 that is licensed or optioned at the end of FY2021.

Include both patent applications and granted patents for which, as of the end of the reference year, an option agreement or a license agreement is active for at least one patent family member. Note that assigned patents are not considered as part of active patent families. This number should not exceed the amount submitted under Question 17.

Licenses, options and assignments involving IP

Important guiding note: Please fill in zero '0' if the answer is in fact '0'. If you don't know the answer or wish to skip it for any other reasons, please leave the question blank.

19) What is the total number of LOAs (licenses, options and assignments) signed in FY2021:

Please provide us with the number by type below, if available.

20) What is the number of LOAs signed in FY2021 by type:

Total below should equal the total number submitted above. If you cannot categorize any of your LOAs into the following categories, please add them to 'Others'.

_____ Licenses for the commercial use of research materials

_____ Assignments

_____ Total

_____ Patent Licenses

_____ Research Material Licenses

_____ Software Licenses

_____ Options

_____ Assignments

_____ Others

Commercial Revenues

Important guiding note: Please fill in zero '0' if the answer is in fact '0'. If you don't know the answer or wish to skip it for any other reasons, please leave the question blank.

21) What are the gross revenues from commercialisation of IP earned in FY2021 (€)?

Gross revenues from the commercialisation of all types of know-how and IP (e.g. patents, copyright, designs, trademarks, software, trade secrets, plant breeder rights, etc.) before distribution within the PRO or to inventors. Include license issue fees, annual fees, option fees, milestone payments, running royalties, change-of-control payments, dividends and proceeds from cashed-in equity. Exclude license income forwarded to third parties other than individual inventors.

22) Of the gross revenues reported under Question 21:

The total below should not exceed the amount submitted above. If higher, please provide us with an explanation in the comment box below.

_____What amount was generated by patent licenses (€)?

_____What amount relates to cashed-in equity (€)?

Comments:

Spin-offs and start-ups

Important guiding note: Please fill in zero '0' if the answer is in fact '0'. If you don't know the answer or wish to skip it for any other reasons, please leave the question blank.

23) How many spin-offs were established in FY2021?

*A spin-off is a company **expressly established to develop or exploit IP** created by a PRO and **with a formal contractual relationship**. Include, but do not limit to, spin-offs established by PRO staff. Exclude companies that have no formal agreement for commercially developing IP or know-how created by the institution.*

24) How many start-ups were established in FY2021?

*A start-up is a newly registered company that is **founded by PRO students or employees** but that is **not directly involved with the exploitation of intellectual property generated within that PRO**.*

25) How many operating spin-off companies (in aggregate) were there at the end of FY2021?

All operating companies do not have to be necessarily owned by the KTO/PRO.

How many staff members (FTEs) were employed by your operating spin-off companies (in aggregate) at the end of FY2021?

Please disregard any change in the number of FTE after take-over or merger of the spin-off company by/with another company. Use the last FTE count before such event instead.

Call for Successful Impact Stories

Knowledge Transfer aims to maximise the economic and societal benefits of ideas, knowledge or inventions coming from research activities. ASTP would like to promote the variety and importance of KT impacts through the publication of case studies. Impact shall not only be on commerce, services and economy but also on health, policy, law or arts and culture. Share your successful stories (achieved in FY2021) and get them featured on ASTP [resources library](#) and other channels.

26) Does your KTO have a successful impact story?

Yes

No

Would you like to share this impact story with ASTP?

Yes

No

Please provide a 3 line description of your proposed success story.

Who should we contact to collect this impact story?

Name of contact person: _____

Email address: _____

Feedback

Please use this space to give us your opinion on any aspect of the survey, e.g. the relevance of particular questions, its length, whether you think something is missing or what you'd like to have changed, if anything.