

Survey of Intellectual Property Commercialization in the Higher Education Sector, 2009

Confidential when completed.

Collected under the authority of the *Statistics Act*, Revised Statutes of Canada, 1985, Chapter S19.

In all correspondence concerning this questionnaire, please quote this reference number.

Si vous préférez recevoir ce questionnaire en français, veuillez nous téléphoner au 1-877-540-3973.

Please correct name and address, if necessary.



Purpose

The information you provide is essential to assure the availability of pertinent information to monitor science and technology related activities and to support the development of science and technology policy.

Confidentiality

While participation in this survey is voluntary, your cooperation is important to ensure that the information collected is as accurate and as comprehensive as possible.

Statistics Canada is prohibited by law from releasing any information it collects which could identify any person, business, or organization, unless consent has been given by the respondent or as permitted by the *Statistics Act*. The confidentiality provisions of the *Statistics Act* are not affected by either the *Access to Information Act* or any other legislation. Information from this survey will be used for statistical purposes only and will be published in aggregate form only.

Fax or Other Electronic Transmission Disclosure

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Returning the Questionnaire

Please mail the completed questionnaire in the enclosed envelope to:

Statistics Canada
150 Tunney's Pasture Driveway
Distribution Center - SC-0702
Ottawa, Ontario
K1A 0T6

You can contact us at **1-877-604-7828** or by fax at **1-888-883-7999** or by e-mail at bss0@statcan.gc.ca.

Survey Contact

Please indicate the name of the person completing this form so that we know whom to contact should we have any questions.

Name	
Title	
Telephone Number	Extension
Fax Number	
E-mail	

Waiver

I hereby authorize Statistics Canada to publish any or all portions of the data supplied on this questionnaire by this institution.

Yes No

Name of authorized person
Official position

Signature
Institution

1. General Information

1.1 Please report your fiscal or other business year ending in 2009.

This report covers Month From: Day Month Year To: Day Month Year 2 | 0 | 0 | 9

1.2 a) Does this institution engage in intellectual property management (identification, protection, promotion or commercialization)?

Yes No ► Go to question 1.2 c

b) List the name of all affiliated institutions included in this report.

Name of Institution (only list affiliated universities or teaching hospitals)	Intellectual property management		Indicate relationship with main institution
	Yes	No	
	<input type="radio"/>	<input type="radio"/>	
	<input type="radio"/>	<input type="radio"/>	
	<input type="radio"/>	<input type="radio"/>	

c) If there is no intellectual property management at the institution, please provide an explanation.

Intellectual property managed through an affiliated university

Other (please specify)

1.3 Intellectual property management infrastructure, expenditures and personnel

a) Does your institution have one or more central offices engaged in intellectual property management, including identification, protection, promotion or commercialization?

Yes No ► Go to question 1.3 f

b) Please note the names of all offices within the institution that are engaged, wholly or in part, in intellectual property management. For each office, indicate the resources dedicated to intellectual property management. Expenditures should be estimated to correspond to the portion of the office dedicated to intellectual property management. Full-time equivalents (FTEs) is an estimate of the number of person-years. Patent and regular legal expenditures include those for patent filings, patent searches, registration of copyright, etc. Litigation expenditures are those related to disputes over patents/other intellectual property and include settlements.

Name of office	Employees engaged in intellectual property management	Operational expenditures for IP management				Total operational expenditures for intellec- tual property management
		Salaries and benefits (correspond- ing to FTEs)	Patent and regular legal expenditures	Litigation expenditures	Other operational expenditures	
	(FTEs)	(thousands of dollars)				
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$

c) In the reference year, what percentage of your institution's total operational expenditures for intellectual property management were from each of the following sources?

1. Institutional base funding	%
2. Institutional one-time allocations	%
3. Intellectual property commercialization revenues (e.g., licensing, cashed-in equity)	%
4. External sources <i>(please specify)</i>	%
TOTAL	100%

d) For **each** of your institution's employees that were engaged in technology transfer at the end of the reference year, please list the highest university degree obtained and the number of years of technology transfer experience. *(Use a separate sheet of paper if necessary.)*

Employee	Highest university degree obtained				Years of technology transfer experience
1	<input type="radio"/> Bachelors	<input type="radio"/> Masters	<input type="radio"/> Doctorate	<input type="radio"/> Other:	
2	<input type="radio"/> Bachelors	<input type="radio"/> Masters	<input type="radio"/> Doctorate	<input type="radio"/> Other:	
3	<input type="radio"/> Bachelors	<input type="radio"/> Masters	<input type="radio"/> Doctorate	<input type="radio"/> Other:	
4	<input type="radio"/> Bachelors	<input type="radio"/> Masters	<input type="radio"/> Doctorate	<input type="radio"/> Other:	
5	<input type="radio"/> Bachelors	<input type="radio"/> Masters	<input type="radio"/> Doctorate	<input type="radio"/> Other:	
6	<input type="radio"/> Bachelors	<input type="radio"/> Masters	<input type="radio"/> Doctorate	<input type="radio"/> Other:	
7	<input type="radio"/> Bachelors	<input type="radio"/> Masters	<input type="radio"/> Doctorate	<input type="radio"/> Other:	
8	<input type="radio"/> Bachelors	<input type="radio"/> Masters	<input type="radio"/> Doctorate	<input type="radio"/> Other:	
9	<input type="radio"/> Bachelors	<input type="radio"/> Masters	<input type="radio"/> Doctorate	<input type="radio"/> Other:	
10	<input type="radio"/> Bachelors	<input type="radio"/> Masters	<input type="radio"/> Doctorate	<input type="radio"/> Other:	
11	<input type="radio"/> Bachelors	<input type="radio"/> Masters	<input type="radio"/> Doctorate	<input type="radio"/> Other:	
12	<input type="radio"/> Bachelors	<input type="radio"/> Masters	<input type="radio"/> Doctorate	<input type="radio"/> Other:	
13	<input type="radio"/> Bachelors	<input type="radio"/> Masters	<input type="radio"/> Doctorate	<input type="radio"/> Other:	
14	<input type="radio"/> Bachelors	<input type="radio"/> Masters	<input type="radio"/> Doctorate	<input type="radio"/> Other:	
15	<input type="radio"/> Bachelors	<input type="radio"/> Masters	<input type="radio"/> Doctorate	<input type="radio"/> Other:	

e) During the reference year, which of the following types of services did the institution directly use for intellectual property matters? (Check all that apply.)

- in-house legal counsel
- outside legal counsel
- in-house patent agent
- outside patent agent
- none of the above

f) During the reference year, did the institution provide space to start-ups?

- No
- Yes ► Number of start-ups involved

1.4 a) Does your institution have a policy on ownership of intellectual property?

- Yes
- No ► Go to question 1.5

b) According to this policy, who owns the intellectual property created at the institution?
(Check one.)

	The institution owns	The researcher owns	Joint ownership (institution(s) and researcher)	Other (please specify)
Inventions	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Intellectual property protected by copyright:				
Computer software or databases	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Educational materials	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Other materials	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Industrial designs	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Trade-marks or official marks	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
New plant varieties	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Other (please specify)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

1.5 Faculty consulting activities

During the reference year, was information on faculty consulting activities formally recorded by the institution?

- Always
- Sometimes
- Never

1.6 Research contracts

- a) Please provide the following information for research contracts in effect during the reference year. *Do not include research grants (e.g., SSHRC, NSERC, CIHR).* For multi-year contracts, please prorate the total amount of the contract for the reference year. See the handbook for detailed definitions of “Canadian” and “foreign”. If there is any doubt about the classification of the sponsor, please provide the name and address and Statistics Canada will provide the appropriate classification.

Please indicate “0” if there is no value to report for this year.

Sponsor	Number of contracts	Value of contracts
		(thousands of dollars)
Federal government		\$
Provincial and other levels of government		\$
Canadian business		\$
Canadian organizations		\$
Foreign governments		\$
Foreign businesses		\$
Foreign organizations		\$
Other (please specify)		\$
TOTAL		\$

- b) Please indicate what portion of the total value of research contracts provided above were allocated to clinical trials and collaborative R&D. *Do not include research grants (e.g., SSHRC, NSERC, CIHR).* For multi-year contracts, please prorate the total amount of the contract for the reference year.

Please indicate “0” if there is no value to report for this year.

Type of research contract	Definition/significance	Value of contracts
		(thousands of dollars)
a) Clinical trials	The institution only tested drugs or other intellectual property on behalf of another party (e.g., a pharmaceutical company) and therefore, the institution does not own the drug patent(s) or other intellectual property in question.	\$
b) Collaborative R&D	The research sponsor and the institution collaborated in the performance of the research.	\$

2. Identifying Intellectual Property

2.1 Indicate the number of **new** instances of intellectual property reported or disclosed to the institution during the reference year.

Please indicate "0" if there is no value to report for this year.

	Number of new instances of intellectual property reported or disclosed
Inventions	
Intellectual property protected by copyright:	
Computer software or databases	
Educational materials	
Other materials	
Industrial designs	
Trade-marks or official marks	
New plant varieties	
Other (please specify)	

3. Protecting Intellectual Property

3.1 Has the institution engaged in any of the following forms of intellectual property protection over the **past 5 years**? Indicate YES in the column provided, whether or not the action was completed. These are more fully defined in the handbook.

Intellectual property protection activity	Yes	No
Filing of patent applications	<input type="radio"/>	<input type="radio"/>
Registration of copyright for computer software or databases	<input type="radio"/>	<input type="radio"/>
Registration of copyright for literary, artistic, dramatic or musical works, books, papers	<input type="radio"/>	<input type="radio"/>
Registration of copyright for educational materials	<input type="radio"/>	<input type="radio"/>
Registration of industrial designs	<input type="radio"/>	<input type="radio"/>
Filing for protection of trade-marks or official marks	<input type="radio"/>	<input type="radio"/>
Registration of integrated circuit topographies	<input type="radio"/>	<input type="radio"/>
Filing of applications for plant breeders' rights	<input type="radio"/>	<input type="radio"/>
Execution of non-disclosure or confidentiality agreements	<input type="radio"/>	<input type="radio"/>
Administration of material transfer agreements (MTAs) inbound	<input type="radio"/>	<input type="radio"/>
Administration of material transfer agreements (MTAs) outbound	<input type="radio"/>	<input type="radio"/>
Other (please specify)	<input type="radio"/>	<input type="radio"/>
	<input type="radio"/>	<input type="radio"/>

3.2 During the reference year, how many instances of intellectual property resulted in protection activity and how many were declined for protection by the institution?

Please indicate "0" if there is no amount to report for this year.

	Number of intellectual property instances	
	that resulted in protection activity	declined for protection
Inventions		
Intellectual property protected by copyright:		
Computer software or databases		
Educational materials		
Other materials		
Industrial designs		
Trade-marks or official marks		
New plant varieties		
Other (please specify)		

3.3 Patents applications and patents issued

a) During the reference year, how many initiating and follow-on patent applications were filed with the support of the institution? Initiating patent applications include provisionals or first filings. Follow-on patent applications include any that claim priority from an initiating patent application (e.g., CIPs). Regarding international patent applications (for example, Patent Cooperation Treaty, PCT), count the parent PCT as one application and each entry into national phase as one application. Also, of the patents filed with the support of the institution, indicate how many were issued, whether or not the institution retains the rights.

Please indicate "0" if there are no patents to report for this year.

Patent applications			Total patents issued
Initiating	Follow-on	TOTAL	

	Patents held in:			
	Canada	U.S.	Other	TOTAL
b) At the end of the reference year, what was the total number of patents held by the institution, including patents issued this year?				
c) Of the total patents held, how many were licensed, assigned or otherwise commercialized at the end of the reference year?				

4. Exploitation of Intellectual Property by the Institution

4.1 Licenses (including options)

This section deals with stand-alone licenses and options only and excludes those embedded in research contracts and non-commercial (royalty free) licenses. Please report the number of new licenses/options executed during the reference year and the number of active licenses/options at the end of the year. See the handbook for detailed definitions of "Canadian" and "foreign." If in doubt, please provide the name of the licensee and Statistics Canada will assign the appropriate classification.

Please indicate "0" if there are no licenses to report for this year.

	Exclusive or sole licenses	Non-exclusive licenses	TOTAL
a) New licenses executed with Canadian licensees			
b) New licenses executed with foreign licensees			
Total new licenses (a + b)			
c) Active licenses with Canadian licensees			
d) Active licenses with foreign licensees			
Total active licenses (c + d)			

4.2 Research funding related to licenses/options

In the reference year, how much research funding was committed to your institution that was related to license or option agreements executed in the same year? *Include multi-year commitments and funding as a result of a research agreement renewal.*

(thousands of dollars)

\$

4.3 Income received from intellectual property

During the reference year, what was the total amount of income received from intellectual property?

Please indicate "0" if there is no value to report for this year.

Income received from intellectual property	TOTAL
	(thousands of dollars)
1. Running royalties	\$
2. Milestone payments	\$
3. From one time sales of intellectual property (in exchange for a single or several payments)	\$
4. Reimbursement of patent, legal and related costs	\$
5. License income received from another Canadian institution under a revenue-sharing agreement	\$
6. Other (please specify)	\$
	\$
7. Other (please specify)	\$
	\$
TOTAL	\$

FOR INFORMATION ONLY

5. Spin-off Companies

5.1 New companies may be established to:

- 1) license the institution's technology,
- 2) fund research at the institution in order to develop technology that will be licensed by the company, and/or
- 3) provide a service that was originally offered through a department or unit of the institution.

These companies are often called **spin-offs**. The first type, those dependent on licensing the institution's intellectual property, are called **start-ups**.

In the space provided below (or on a separate sheet), list the legal names of all spin-off companies, the year of their incorporation, the company status, institutional link, the percentage of the company owned by the institution and whether the spin-off is publicly traded.

No spin-offs from this institution ► *Go to question 6.1*

Legal name	Year incorporated	Company status (conceptual stage, early stage, active, merged, inactive, closed)	Institutional link (licensing, R&D or service)	% of company owned by the institution	Publicly traded	
					Yes	No
				%	<input type="radio"/>	<input type="radio"/>
				%	<input type="radio"/>	<input type="radio"/>
				%	<input type="radio"/>	<input type="radio"/>
				%	<input type="radio"/>	<input type="radio"/>
				%	<input type="radio"/>	<input type="radio"/>
				%	<input type="radio"/>	<input type="radio"/>
				%	<input type="radio"/>	<input type="radio"/>
				%	<input type="radio"/>	<input type="radio"/>
				%	<input type="radio"/>	<input type="radio"/>
				%	<input type="radio"/>	<input type="radio"/>
				%	<input type="radio"/>	<input type="radio"/>
				%	<input type="radio"/>	<input type="radio"/>
				%	<input type="radio"/>	<input type="radio"/>
				%	<input type="radio"/>	<input type="radio"/>
				%	<input type="radio"/>	<input type="radio"/>
				%	<input type="radio"/>	<input type="radio"/>

5.2 During the reference year, what was the total value of cash dividends received from these spin-off companies (not including disposition of equity)?

(thousands of dollars)

\$

5.3 During the reference year, what was the amount received from disposition of equity holdings, options and warrants in spin-off companies?

(thousands of dollars)

\$

5.4 At the end of the reference year, what was the value of remaining equity held by the institution in publicly traded spin-off companies?

(thousands of dollars)

\$

5.5 During the reference year, how much investment in spin-offs (e.g., venture capital, angel investment) was raised with the assistance of the institution?

(thousands of dollars)

\$

6. Respondent Feedback

6.1 We are committed to minimizing the burden placed on our respondents while obtaining quality statistics. Please answer the following questions to help us fine-tune the survey.

a) Please indicate how long it took you to complete this questionnaire (minutes)

b) In your opinion, which was the most difficult question to answer? (question number)

c) Did you find the questions and classifications used in the survey compatible with your own accounting systems?

Yes

No ► If not, please comment on how the concepts and classifications could be changed to be more compatible.

6.2 Other comments

Thank you for your cooperation !