



# Survey of Intellectual Property Commercialization in the Higher Education Sector, 2004

Confidential when completed.

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

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

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

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. Statistics Canada will create a database combining survey responses with other Statistics Canada records concerning your institution.

### 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 publishing or releasing, in any manner, any statistics that would divulge information obtained from this survey relating to any identifiable business, institution or person, without the previous written consent of that business, institution or person. The data reported on this questionnaire will be treated in strict confidence, used for statistical purposes and published in aggregated form only. The confidentiality provisions of the Statistics Act are not affected by either the Access to Information Act or by any other legislation.

### Fax or Other Electronic Transmission Disclosure

Statistics Canada advises you that there could be a risk of disclosure during the facsimile or other electronic transmission of information. However, upon receipt, Statistics Canada will provide the guaranteed level of protection afforded all information collected under the authority of the Statistics Act.

### Returning the Questionnaire

Please mail the completed questionnaire in the enclosed envelope to Statistics Canada, Operations and Integration Division, JT2-C9, 120 Parkdale Avenue, Ottawa, Ontario, K1A 0T6 or fax it to 1-800-755-5514. You can call us at 1-877-540-3973.

### 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		

## 1. General Information

1.1 Please report your fiscal or other business year ending in 2004.

This report covers   months  
(number)

From:    2 | 0 | 0 |  
day month year

To:    2 | 0 | 0 | 4 |  
day month year

**1.2** List the name of the main institution and all affiliated institutions included in your figures. Indicate the relationship with the main institution and whether they are engaged in intellectual property management (identification, protection, promotion or commercialization) by selecting YES or NO in the second column.

Name of Institution	Intellectual property management		Indicate relationship with main institution (i.e., affiliated college, research institute, research hospital or other).
	Yes	No	
	1 <input type="radio"/>	2 <input type="radio"/>	Main institution
	1 <input type="radio"/>	2 <input type="radio"/>	
	1 <input type="radio"/>	2 <input type="radio"/>	
	1 <input type="radio"/>	2 <input type="radio"/>	
	1 <input type="radio"/>	2 <input type="radio"/>	
	1 <input type="radio"/>	2 <input type="radio"/>	
	1 <input type="radio"/>	2 <input type="radio"/>	

**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 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 intellectual property management
		Salaries and benefits (corresponding to FTEs)	Patent and regular legal expenditures	Litigation expenditures	Other operational expenditures	
	(FTEs)	(\$ thousands)				

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 (please specify) _____	
<b>Total</b>	<b>100 %</b>

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

E m p l o y e e	University degrees obtained (e.g., B.A. B.Sc., B.Eng., M.B.A., L.L.B., M.D., Ph.D.)	Technology transfer experience
		Number of years
1		
2		
3		
4		
5		
6		
7		
8		
9		

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.)

- 1  in-house legal counsel
- 2  outside legal counsel
- 3  in-house patent agent
- 4  outside patent agent
- 5  none of the above

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

- 1  No
- 2  Yes → Number of start-ups involved

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

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### 1.4 Intellectual property policies (excluding research contracts)

a. Are researchers required to report the creation of the following types of intellectual property at your institution? *Please refer to the definitions in the accompanying handbook.*

	<u>check one</u>				<u>no such intellectual property at this institution</u>
	<u>The institution's policies state</u>			<u>no policy</u>	
	<u>always</u>	<u>sometimes</u>	<u>never</u>		
Inventions	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>

**Intellectual property protected by copyright:**

Computer software or databases	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>
Educational materials	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>
Other materials	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>
Industrial designs	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>
Trade-marks or official marks	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>
New plant varieties	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>
Other (please specify)	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>

b. Who owns the intellectual property created at the institution? (Check one.)

	<u>The institution's policies state</u>				
	<u>The institution owns</u>	<u>The researcher owns</u>	<u>Joint ownership (institution(s) and researcher)</u>	<u>No policy on ownership</u>	<u>Other (please specify)</u>
Inventions	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	<input type="text"/>
<b>Intellectual property protected by copyright:</b>					
Computer software or databases	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	<input type="text"/>
Educational materials	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	<input type="text"/>
Other materials	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	<input type="text"/>
Industrial designs	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	<input type="text"/>
Trade-marks or official marks	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	<input type="text"/>
New plant varieties	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	<input type="text"/>
Other (please specify)	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	<input type="text"/>

c. At the end of the reference year, did researchers at your institution have the right to decide that their invention(s) would not be commercialized?

- 1  Yes
- 2  No
- 3  Not applicable

d. At the end of the reference year, did your institution have a policy related to the disposal of equity holdings in spin-off companies?

- 1  Yes → What was that policy? \_\_\_\_\_
- 2  No \_\_\_\_\_
- 3  Not applicable

e. Were there any changes to your institution's intellectual property policies during the reference year?

- 1  Yes → Please indicate the changes or attach copies of any new policies.
- 2  No

**1.5 Faculty consulting activities**

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

- 1  Always
- 2  Sometimes
- 3  Never

b. What percentage of your institution's faculty do you estimate to have been engaged in external consulting during the reference year? (Check one for each field of study. See the handbook for definitions of the fields of study).

Field of study	No such faculty at this institution	0%	1 to 25%	26 to 50%	51 to 75%	76 to 100%
Fine and applied arts, humanities and social sciences	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>	6 <input type="radio"/>
Educational, recreational and counselling services	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>	6 <input type="radio"/>
Commerce, management and business administration	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>	6 <input type="radio"/>
Agricultural and biological sciences and technologies	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>	6 <input type="radio"/>
Engineering and applied sciences	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>	6 <input type="radio"/>
Health professions, sciences and technologies	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>	6 <input type="radio"/>
Mathematics and physical sciences	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>	6 <input type="radio"/>
Other (please specify)	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>	6 <input type="radio"/>

### 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.

Sponsor	Number of contracts	Value of contracts (\$ thousands)
Federal government		
Provincial and other levels of government		
Canadian business		
Canadian organizations		
Foreign governments		
Foreign businesses		
Foreign organizations		
Other (please specify) <input type="text"/>		
<b>Total</b>		

b. 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. If you are unable to provide separate numbers for all the categories requested at this time, please provide as many as you can and report a combined total for the remainder (e.g., for C and D).

Type of research contract	Definition/significance	Value of contracts (\$ thousands)
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. Service contracts	The purpose of these contracts is to provide a service and generally the intellectual property developed belongs to the sponsor.	
C. Collaborative R&D	The research sponsor and the institution collaborated in the performance of the research.	
D. Sponsored research contracts	These contracts were performed entirely by parties within the institution.	
E. Other (please specify) <input type="text"/>		
Total value of research contracts		

c. Please add C+D+E in question 1.6b to obtain the value of your institution’s research contracts, excluding clinical trials and service contracts.

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(\$ thousands)

d. Please break down the value of your institution's research contracts, *excluding clinical trials and service contracts as per 1.6c*, by type of intellectual property provision.

Type of intellectual property provision	Value of research contracts as per 1.6c (\$ thousands)
The sponsor owns the intellectual property.	
The sponsor has a license to the intellectual property.	
The sponsor has an option to acquire a license to the intellectual property under commercially reasonable terms.	
The intellectual property is unrestricted.	
Other (please specify) _____	
Total (This must equal the total in 1.6c above.)	

For information only

## 2. Identifying Intellectual Property

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

	Number of intellectual properties reported
Inventions	
<b>Intellectual property protected by copyright:</b>	
Computer software and databases	
Educational materials	
Other materials	
Industrial designs	
Trade-marks and official marks	
New plant varieties	
Other (please specify) _____	

For information only

### 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	1 <input type="radio"/>	2 <input type="radio"/>
Registration of copyright for computer software or databases	1 <input type="radio"/>	2 <input type="radio"/>
Registration of copyright for literary, artistic, dramatic or musical works, books, papers	1 <input type="radio"/>	2 <input type="radio"/>
Registration of copyright for educational materials	1 <input type="radio"/>	2 <input type="radio"/>
Registration of industrial designs	1 <input type="radio"/>	2 <input type="radio"/>
Filing for protection of trade-marks or official marks	1 <input type="radio"/>	2 <input type="radio"/>
Registration of integrated circuit topographies	1 <input type="radio"/>	2 <input type="radio"/>
Filing of applications for plant breeders' rights	1 <input type="radio"/>	2 <input type="radio"/>
Executing of non-disclosure or confidentiality agreements	1 <input type="radio"/>	2 <input type="radio"/>
Administration of material transfer agreements (MTAs) inbound	1 <input type="radio"/>	2 <input type="radio"/>
Administration of material transfer agreements (MTAs) outbound	1 <input type="radio"/>	2 <input type="radio"/>
Other (please specify)	1 <input type="radio"/>	2 <input type="radio"/>

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

	Number of intellectual properties	
	that resulted in protection activity	declined by the institution
Inventions		
<b>Intellectual property protected by copyright:</b>		
Computer software and databases		
Educational materials		
Other materials		
Industrial designs		
Trade-marks and 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.

	Patent applications			Patents issued in:			
	Initiating	Follow-on	Total	Canada	US	Other	TOTAL
1. Agriculture and Biological Sciences/Technologies							
2. Engineering and Applied Sciences							
3. Health Professions, Sciences and Technologies							
4. Mathematics and Physical Sciences							
5. All other not elsewhere classified							
<b>TOTAL</b>							

b. At the end of the reference year, what was the total number of patents held by the institution, including patents issued this year?

	Patents held in:			
	Canada	US	Other	TOTAL

c. Of the total patents held, how many were licensed, assigned or otherwise commercialized at the end of the reference year?

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## 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. If detailed figures are not available, please report totals in the appropriate cells. 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.

	Exclusive or sole licenses	Non-exclusive licenses	TOTAL
<b>a. New licenses</b> executed with Canadian licensees that were:			
i) Sponsors of research contracts or participants in collaborative activities			
ii) Not involved in generating the technology licensed			
iii) Total new licenses with Canadian licensees (a.i.+a.ii)			

<b>b. New licenses</b> executed with foreign licensees that were:			
i) Sponsors of research contracts or participants in collaborative activities			
ii) Not involved in generating the technology licensed			
iii) Total new licenses with foreign licensees (b.i.+b.ii)			
iv) Total new licenses (a.iii+b.iii)			

<b>c. Active licenses</b> with Canadian licensees that were:			
i) Sponsors of research contracts or participants in collaborative activities			
ii) Not involved in generating the technology licensed			
iii) Total active licenses with Canadian licensees (c.i.+c.ii)			

<b>d. Active licenses</b> with foreign licensees that were:			
i) Sponsors of research contracts or participants in collaborative activities			
ii) Not involved in generating the technology licensed			
iii) Total active licenses with foreign licensees (d.i.+d.ii)			
iv) Total active licenses (c.iii+d.iii)			

**4.2** Regarding exclusive licenses granted during the reference year, did the institution reserve for itself the rights to the intellectual property for educational and/or non-commercial research purposes?

- 1  Always
- 2  Sometimes
- 3  Never
- 4  Not applicable

**4.3** During the reference year, how many sublicenses of the institution's intellectual property were executed by licensees?

(number)

**4.4** On a separate sheet, please provide a list of the technologies licensed in the reference year, along with the licensee. In the case of software and database licenses, list only the licenses with a value of over \$1,000.

Name of technology licensed	Name of licensee

**4.5 Income received from intellectual property**

During the reference year, what was the total amount of income received from intellectual property? Include running royalties, milestone payments, license issue fees, software and database end-user license fees and any other income from IP. See the handbook for definitions of "Canadian" and "foreign." Exclude cashed in equity from spin-off companies.

Income received from intellectual property	FROM:		
	Canadian sources (\$ thousands)	Foreign sources (\$ thousands)	TOTAL (\$ thousands)
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) <input style="width: 90%;" type="text"/>			
7. Other (please specify) <input style="width: 90%;" type="text"/>			
<b>Total</b>			

#### 4.6 Intellectual property income distributed

Please report the distribution of income from intellectual property in the reference year as specified below.

##### Intellectual property income distributed

(\$ thousands)

1. To individuals (inventors and co-inventors)	
2. To this institution or to administrative units therein	
3. To other institutions	
4. Other (please specify) <input type="text"/>	
Total (must equal total intellectual property income received in Question 4.5 minus item 4 "reimbursement of patent, legal and related costs" )	

#### 4.7 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)

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, technology sector, institutional link, the percentage of the company owned by the institution and whether the spin-off is publicly traded. Publicly traded is defined as not just listed on a stock exchange but traded at least once per month.

Legal name	Year incorporated	Company status (conceptual stage, early stage, active, merged, inactive, closed)	Technology sector (biotechnology, medicine, engineering, physical sciences, etc.)	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"/>

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)

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

\$  (\$ thousands)

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)

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)

## 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. How many hours were required to complete the survey?

*person-hours*

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.

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6.2 Other comments

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**Thank you for your cooperation !**