

2008 Survey of Industrial Research and Development: R&D INTELLECTUAL PROPERTY SECTION

Jointly conducted by the

U.S. Census Bureau and the
National Science Foundation

Due:

To return by mail:
U.S. CENSUS BUREAU
1201 East 10th Street
Jeffersonville, IN 47132-0001

To file electronically:
www.census.gov/econhelp/rd
UID:
Password:

For information or assistance:
www.census.gov/econhelp/rd

To speak with an analyst:
1-800-851-2014, option "0"
(8:00 a.m. – 5:00 p.m. EST, M-F)

OR

Write to the address above.
Include your 11-digit Identification
Number (ID) printed in the mailing
address.

Please correct any errors in this mailing address

Please forward this form to the appropriate R&D personnel who have access to records for this company's R&D activities.

This form asks about legal concepts related to R&D and innovation at your company, including:

- Intellectual property
- Technology transfer

YOUR RESPONSE IS REQUIRED BY LAW. Title 13, United States Code, requires businesses and other organizations that receive this questionnaire to answer the questions and return the report to the U.S. Census Bureau.

By the same law, **YOUR CENSUS REPORT IS CONFIDENTIAL.**

- It may be seen only by persons sworn to uphold the confidentiality of Census Bureau information and may be used only for statistical purposes.
- Copies retained in respondents' files are immune from legal process.

PATENTS

	Estimates are acceptable
1. As of January 1, 2007 what was the total number of active U.S. utility patents (patents for invention) owned or controlled by your company? <i>(Enter 0 if none)</i>	
2. How many U.S. utility patents did your company apply for in 2007? <i>(Enter 0 if none)</i>	
3. How many U.S. utility patents were issued to your company in 2007 by the USPTO? <i>(Enter 0 if none)</i>	
4. From 2005-2007, what percent of discoveries disclosed to your legal department did your company attempt to patent? <i>(Enter 0 if none)</i>	%

IP PROTECTION.

5. Indicate the importance of the following types of intellectual property (IP) protection for discoveries resulting from your company's research and development.

	IP protection is -			
	Very important	Somewhat important	Not important	Don't know / not applicable
A. Patents.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Trademarks.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. Copyrights	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D. Masks (copyright protection for semiconductor products established through the Semiconductor Protection Act of 1984)..	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
E. Trade Secrets.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

TECHNOLOGY TRANSFER ACTIVITIES

6. During 2007 did this company perform the following activities:

	Yes	No	Do not know
A. Licensed IP to an outside party?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Licensed IP from an outside party?.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. Sold IP to an outside party?.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D. Purchased IP from an outside party?.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
E. Participated in technical assistance or "know-how" agreements to transfer IP not protected by a patent or copyright to an outside party?.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
F. Participated in technical assistance or "know-how" agreements to receive IP not protected by a patent or copyright from an outside party?.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
20u7			
Estimates are acceptable			
G. Transferred IP to a spin out of your company (in which the owners of your company maintain an equity stake)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. As of January 1, 2007, how many active agreements did your company have to license IP to an outside party? (Enter 0 if none).....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
H. Received IP from a parent company as part of a spin out (in which the owners of the parent company maintain an equity stake in your company)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. How many new agreements did your company enter into in 2007 to license IP to an outside party? (Enter 0 if none)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I. Acquired a controlling interest in another company for the primary purpose of acquiring their IP?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. What were your company's total revenues (royalties, license fees, and other fees) for the use of IP in 2007? (Enter 0 if none)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. What percent of your company's total revenues (royalties, license fees, and other fees) for the use of IP in 2007? (Enter 0 if none)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. What percent of your company's agreements to license IP to an outside party :			
A. Involve technology your company had already commercialized? (Enter 0 if none).....			
B. Include royalty payments based on sales of goods or services using the IP? (Enter 0 if none)...			%
<i>If 10B is greater than 0, What is the average royalty rate (as a percentage of gross sales) for these agreements? (Enter 0 if none)</i>			%
C. Involve your company acquiring equity in the licensee company? (Enter 0 if none)			%

LICENSING
IP OUT

D. Are exclusive in nature (include exclusivity clauses)? *(Enter 0 if none)*

	%
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E. Are limited to use in the United States? *(Enter 0 if none)*

	%
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LICENSING IP IN

	2007
	Estimates are acceptable
12. As of January 1, 2007 how many active agreements did your company have to license IP from an outside party? <i>(Enter 0 if none)</i>	
13. Of the amount reported in question 12, what percent was from:	
A. Universities or colleges? <i>(Enter 0 if none)</i>	%
B. For-profit companies? <i>(Enter 0 if none)</i>	%
C. Federal government agencies? <i>(Enter 0 if none)</i>	%
D. Other organizations? <i>(Enter 0 if none)</i>	%
14. How many new agreements did your company enter into in 2007 to license IP from an outside party? <i>(Enter 0 if none)</i>	
15. Of the amount reported in 14, what percent was from:	
A. Universities or colleges? <i>(Enter 0 if none)</i>	%
B. For-profit companies? <i>(Enter 0 if none)</i>	%
C. Federal government agencies? <i>(Enter 0 if none)</i>	%
D. Other organizations? <i>(Enter 0 if none)</i>	%
15. What were your company's total payments (royalties, license fees, and other fees) for the use of IP in 2007? <i>(Enter 0 if none)</i>	\$

16. What percent of your company's agreements to license IP from an outside party include royalty payments based on sales of goods or services using the IP? (Enter 0 if none)

%

A. What is the average royalty rate (as a percentage of gross sales) for these agreements? (Enter 0 if none)

%

B. What percent of your company's agreements to license IP from an outside party involve your company giving equity to the licensor? (Enter 0 if none)

%

C. What percent of your company's agreements to license IP from an outside party are exclusive in nature (include exclusivity clauses)? (Enter 0 if none).....

%

17. What percent of your company's agreements to license IP from outside party are limited to use in the United States? (Enter 0 if none)

%

RESEARCH AND DEVELOPMENT COLLABORATIONS

2007

Estimates are acceptable

18. As of January 1, 2007 to how many collaborative research and development agreements was your company a party? Collaborative research and development agreements are defined here as agreements through which two or more parties pool resources to undertake R&D and share in any resulting intellectual property. (Enter 0 if none).....

19. How many new collaborative research and development agreements did your company enter into in 2007? (Enter 0 if none).....

20. Of the collaborative R&D agreements to which your company is a party, what percent involved collaborations with the following types of organizations? (Detail may not add to 100%).....

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A. Universities or colleges? (Enter 0 if none)

%

--	--

B. Federal government agencies? (Enter 0 if none).....

%

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C. For-profit companies? (Enter 0 if none)

%

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D. What percent were from other organizations? (Enter 0 if none)

%

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21. What percent involved collaborations with the following:

--	--

A. Customers? (Enter 0 if none)

%

--	--

B. Suppliers? (Enter 0 if none)

%

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C. Competitors? (Enter 0 if none)

%

--	--

D. Other? (Enter 0 if none).....

%

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