



NATIONAL SCIENCE FOUNDATION
ARLINGTON, VA 22230

Draft Questions on University Intellectual Property and Commercialization
November 2008

Item 1. Please indicate below the numbers of intellectual property transactions that your institution performed in FY 2009.

	Number
A. Disclosures received Include all disclosures submitted to your office during the fiscal year that are counted as received by the institution.	
B. Material Transfer Agreements Include all Material Transfer Agreements (MTAs) that were executed in FY 2009.	
C. Number of licenses executed Include all licenses or option agreements executed in FY 2009 for all technologies. Each agreement, exclusive or non-exclusive, should be counted separately.	
D. Number of licenses active Include the cumulative number of licenses and options over all years that had not terminated by the end of FY 2009.	

Item 2. Please indicate below the numbers of patents filed and issued during FY 2009. For the Total Non-U.S. column, include any initial filings made outside of the U.S. in FY 2009.

	Total U.S.	Total Non-U.S.
A. Provisional patent applications filed Include all NEW provisional patent applications filed in FY 2009.		
B. Patents filed Include all U.S. utility patent applications and non-U.S. patent applications filed in FY 2009. Do not include continuations, divisionals, or CIPs.		
C. Patents issued Include all new U.S. utility patents and non-U.S. patents issued in FY 2009.		

Item 2a. Of the patents filed (row B), how many were for inventions made during a federally funded project? _____

Item 3. Please provide the following information regarding the startup companies formed in FY 2009 that were dependent on licensing your institution's technology for their formation.

Legal name	Location (city, state)	Incorporation date	Technology sector (biotechnology, medicine, engineering, physical sciences, etc)	Does institution have an ownership stake? (yes, no)

Item 4. Please enter the amount of income your institution realized from R&D intellectual property in FY 2009.

A. License income Include license issue fees, payments under options, annual minimums, running royalties, and termination payments.	\$
B. Income from one-time sales of intellectual property	\$
C. Income from equity positions Include cash dividends and disposition of equity holdings, options, and warrants in start-ups and other companies.	\$
D. Other (please specify)	\$
E. TOTAL	\$

Item 5. Please enter the number of U.S. utility patent applications and patents issued in FY 2009 by the field of R&D.

Field of R&D	U.S. Patents filed	U.S. Patents issued
Engineering		
Physical sciences		
Environmental sciences		
Mathematical sciences		
Computer sciences		
Life sciences		
Psychology		
Social sciences		
Education		
Law		
Humanities		
Visual and performing arts		
Business and management		
Communication, journalism, and library science		
Social work		
Other		
TOTAL		

(Alternate version)

Item 5. Please enter the number of U.S. utility patent applications and patents issued in FY 2009 by the department of the inventor(s). If a patent involves multiple inventors, please report these on a fractional basis by department (e.g. a patent issued to 2 inventors from different departments should be reported as .5 in each department).

Department	U.S. Patents filed	U.S. Patents issued
Engineering		
Physical sciences		
Environmental sciences		
Mathematical sciences		
Computer sciences		
Life sciences		
Psychology		
Social sciences		
Education		
Law		
Humanities		
Visual and performing arts		
Business and management		
Communication, journalism, and library science		
Social work		
Other		
TOTAL		