



NATIONAL SCIENCE FOUNDATION
ARLINGTON, VA 22230

HIGHER EDUCATION RESEARCH AND DEVELOPMENT SURVEY
University Intellectual Property and Commercialization Module

Question 1. How many of the following activities involving intellectual property occurred at your institution in FY 2009?

| | FY 2009 Number |
|--|----------------|
| A. Invention disclosures received Include the inventions officially disclosed to your institution's technology licensing/transfer office (or designated legal entity). | _____ |
| B. Licenses executed Include exclusive and nonexclusive agreements. | _____ |
| C. Option agreements executed Include exclusive and nonexclusive agreements. | _____ |
| D. Active licenses Include those active at the end of FY 2009. | _____ |
| E. Active options Include those active at the end of FY 2009. | _____ |

Question 2. During FY 2009, how many of the following U.S. patent activities took place at your institution?

Include patents for:

- Inventions (utility patents)
- Aesthetic elements (design patents)
- **Plants (utility or plant patents)**

| | FY 2009 Number of U.S. Patents | | |
|---|-----------------------------------|-------|--------|
| | Utility | Plant | Design |
| A. Provisional patent applications filed The provisional patent application preserves an earlier date for 12 months for the consideration of patentability. | _____ | _____ | _____ |
| B. Patent applications filed Include initial filings for the original patent only. Do NOT include renewals, continuations, or divisions. | _____ | _____ | _____ |
| C. Patents issued | _____ | _____ | _____ |

Question 3. During FY 2009, how many Plant Variety Protection (PVP) applications were filed by your institution?

PVPs are filed with the United States Department of Agriculture (USDA) to protect plant varieties that cannot be patented. Plants protected by PVPs include tuber propagated plants (such as peanuts) and plants reproduced using seeds.

_____ applications

Question 4. During FY 2009, how many of the following foreign patent activities took place at your institution?

**FY 2009
Number**

A. Patent applications filed outside the United States

B. Patent Cooperation Treaty (PCT) applications filed

The PCTs are issued by the World Intellectual Property Organization (WIPO) and give patent protection for 18 months in WIPO's member nations.

C. Patents issued by other countries

Question 5. How many of the U.S. and foreign patents your institution FILED in FY 2009 were for inventions developed at least in part through federally funded projects?

_____ patents

Question 6. How many of the U.S. and foreign patents ISSUED to your institution in FY 2009 were for inventions developed at least in part through federally funded projects?

_____ patents

Question 7. How many startup companies formed in FY 2009 have licenses for technology from your institution?

_____ companies

Question 8. For how many of the startup companies reported in Question 7 does your institution have an ownership stake?

An **ownership stake** could include stock, equity, options, and warrants.

_____ companies

Question 9. For the startup companies reported in Question 7, how many have licensed your institution's technology in the following areas?

| | FY 2009 Number |
|---|---------------------------|
| A. Agricultural and biological sciences/technologies | _____ |
| B. Engineering and applied sciences | _____ |
| C. Health professions, sciences and technologies | _____ |
| D. Mathematics and physical sciences | _____ |
| E. Other | _____ |
| F. TOTAL | _____ |

Question 10. How much technology-related revenue did your institution receive in FY 2009 for the categories below?

| | FY 2009 Total (in thousands) |
|---|---|
| A. Exclusive licenses | \$ _____ |
| B. Non-exclusive licenses | \$ _____ |
| C. Ownership transfer of technology | \$ _____ |
| D. Sales of royalty rights | \$ _____ |
| E. Cash dividends | \$ _____ |
| F. Equity cash-outs | \$ _____ |
| G. Other revenue from intellectual property (please specify) _____ _____ _____ | \$ _____ |
| H. TOTAL | \$ _____ |

Question 11. Of the U.S. patents reported in Question 2, row b, how many were FILED for inventions in each of the technology areas below?

If a patent involved more than one technology area, please divide the patent across the areas. For example, report a patent filed covering two technology areas as .5 for each area.

| | FY 2009 Patents filed |
|---|----------------------------------|
| A. Agricultural and biological sciences/technologies | _____ |
| B. Engineering and applied sciences | _____ |
| C. Health professions, sciences and technologies | _____ |
| D. Mathematics and physical sciences | _____ |
| E. Other | _____ |
| F. TOTAL | _____ |

Question 12. Of the U.S. patents reported in Question 2, row c, how many were ISSUED for inventions in each of the technology areas below?

If a patent involved more than one technology area, please divide the patent across the areas. For example, report a patent issued covering two technology areas as .5 for each area.

| | FY 2009 Patents issued |
|---|-----------------------------------|
| A. Agricultural and biological sciences/technologies | _____ |
| B. Engineering and applied sciences | _____ |
| C. Health professions, sciences and technologies | _____ |
| D. Mathematics and physical sciences | _____ |
| E. Other | _____ |
| F. TOTAL | _____ |