

## Survey Questions

How many years have you worked as a researcher in your field?

- a. 0-5
- b. 6-10
- c. 10-25
- d. 25+

Which of the following fields best describes your research?

- a. Biology
- b. Chemistry
- c. Computer Science
- d. Electrical Engineering
- e. Mechanical Engineering
- f. Medicine
- g. Physics
- h. Other<sup>1</sup>

How many researchers does your department employ?

- a. 1-5
- b. 6-10
- c. 10-25
- d. 25+

Rank the following research outcomes in the order that you prioritize them. (Rank from most important to least important.)<sup>2</sup>

- a. Publications
- b. Grants
- c. Patents
- d. Other

How many patent applications have you filed between [YEAR] and [YEAR]?

- a. 0
- b. 1-5
- c. 6-10
- d. 10+

How many of these patent applications were successful?

- a. 0

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<sup>1</sup> If other, respondents will be able to input their field.

<sup>2</sup> For each outcome, respondents will select a number from one to four. Respondents will only be able to select each number once.

- b. 1-5
- c. 6-10
- d. 10+

In what country or countries have you received patents between [YEAR] and [YEAR] while working at your current institution? (Select all that apply.)

- a. France
- b. Germany
- c. United Kingdom
- d. United States
- e. Other European country
- f. Other non-European country
- g. Did not apply

Did you file a patent application for the materials contained within the identified publication?

- a. Yes
- b. No

If so, were you granted a patent?

- a. Yes
- b. No
- c. Pending

If you were not granted a patent, why was it not granted?

- a. Prior disclosure by you or co-author
- b. Prior disclosure by employer or sponsor of the research
- c. Other reason related to novelty
- d. Other reason related to patentability besides novelty
- e. Don't know

If you did not file a patent application, why did you not apply?

- a. Application too time-consuming
- b. Application too expensive
- c. Could not delay publication
- d. Did not realize that invention was patentable until after publication
- e. Believed more data to test or validate the invention would be needed
- f. Applied for utility model or other protection
- g. Patenting unimportant

Have you ever filed a patent application that was rejected because you, a co-inventor, an employer, or a sponsor of your research disclosed the invention to the public?

- a. Yes
- b. No

Has the requirement that inventions not be disclosed to the public such as in a publication or presentation prior to filing a patent application resulted in any of the following problems?  
(Select all that apply.)

- a. Could not complete the patent application in time and did not protect the invention
- b. Could not complete the patent application in time and did not publish the results of the research
- c. Could not determine patentability of the invention until after publication and did not protect the invention
- d. Could not determine patentability of the invention until after publication and wasted time and money filing a patent application to try to protect an invention that was not novel
- e. Did not include certain content in publication to avoid disclosing invention
- f. Filed a patent application on the initial concept of the invention prior to publication which later adversely impacted filing a later patent application on the full invention
- g. Filed a patent application on the invention prior to publication which contained mistakes (e.g. omission of relevant data, mislabeling of a component of the invention, omission of an additional embodiment of the invention, etc.) that may have been corrected if not pressed for time to file the patent application prior to publication
- h. No problems

Under the Paperwork Reduction Act of 1995, persons are not required to respond to a collection of information unless it displays a valid OMB Control Number. This survey will collect data from European scientific researchers from select European research institutions, foreign government officials, and other stakeholders to evaluate the effects of premature disclosure of patentable inventions or ideas on researchers' failures to apply for or receive patents. The USPTO will use the data collected from the survey to estimate the value of lost commercial opportunities in Europe due to the lack of adequate patent grace periods in many European countries. This collection of information is voluntary in accordance with E.O. 12862, *Setting Customer Service Standards*. All data collected from this survey will be kept private, to the extent of the law. Only the aggregated data and the frequency of the responses will be reported, not the individual responses or comments about the survey. The USPTO estimates that it will take respondents approximately 10 minutes (0.17 hours) to complete the survey, including the time to read the instructions, gather the necessary information, complete the survey, and submit it electronically to the USPTO. The time may vary depending upon the circumstances of the individual respondent. If you have any comments or recommendations for reducing the length of this survey or on other aspects of this information collection, please send them to the United States Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450.