

# ASTP<sup>®</sup> PROTON

## KNOWLEDGE TRANSFER EUROPE

### ASTP Survey on Knowledge Transfer Activities FY2017

#### FOR PREPARATION PURPOSES ONLY

Submit your data online via:

<https://www.surveygizmo.com/s3/4579880/ASTP-Proton-KT-Survey-FY2017>

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#### Introduction - please read carefully

Welcome to the ASTP Annual Survey on Knowledge Transfer Activities

##### **This survey collects data for Financial Year 2017 (FY2017)**

Please provide us with data relevant for the 12 month period that is used within your Knowledge Transfer Office (KTO) or Public Research Organization (PRO) for financial reporting ("Financial Year" or "FY"). If this period does not coincide with a calendar year, then please provide us with data for the 12 month period that ENDS in the year for which data are requested. *For example, if your Financial Year starts on May 1st, Financial Year 2017 (FY2017) would then be the period from May 1, 2017 – April 30, 2018.*

##### **If your KTO is the major service provider of knowledge transfer services for more than one PRO**

Please provide aggregate data for all PROs combined (and indicate the total number of PROs in Question 4).

##### **Before starting to fill out this survey**

Please make sure that you have collected the relevant data for all of the PROs that you report on, in particular the total amount of Research Expenditure in FY2017 and the total number of FTE engaged in research in FY2017. These numbers will be used to normalise data such that the output of organisations of different sizes can be compared more readily. You can determine what data you need to collect by looking up the questions in the pdf file that you received attached to the email with the link to this survey.

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#### Guiding notes

##### **Save and continue later**

If you don't have the data to answer certain questions and you don't have the time to look them up immediately, you can save the survey and revisit it later to fill it in. Please use the 'save and continue' button at the top of each survey page and click on the link in the email that you will receive to continue. If the email with the edit link does not arrive, please contact [survey@astp-proton.eu](mailto:survey@astp-proton.eu)

### Entering values

If you don't know the answer to a question, please leave the question blank. Only fill in zero '0' if the answer is in fact '0'. For most questions, when left unanswered, you will subsequently be asked why you didn't answer the question. We ask this to gain a better understanding of why some questions are not answered.

### Entering numbers (use of comma , and period . )

Most questions only accept whole numbers as an answer. Questions that do accept entering of fractional numbers are marked accordingly.

- If you wish to use a decimal separator, please use a period (.). Do not use a period (.) as thousands separator. The software treats the use of a period (.) in a number as a decimal point. *For example: entering '110.000' will result in conversion to '110'.*
- Do not use a comma (,) as a decimal separator nor as thousands separator. All commas will be removed by the software.

### This survey consists of 29 questions

If you have any questions regarding this survey, please contact ASTP at [survey@astp-proton.eu](mailto:survey@astp-proton.eu)

### Comments and Feedback on the survey

Your comments and feedback are valuable to us in order to improve future surveys. If you have any comments and feedback, please submit them in the feedback box on the last page of the survey.

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## Some information about yourself

**1) Please provide us with some information about yourself, should we need to contact you.\***

Your name:

Email address:

Phone number:

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## Demographics and KTO age

**2) Please provide some basic information on your KTO or PRO.\***

Name of KTO or the Public Research Organisation  
of which the KTO is a part:

Address 1:

Address 2:

City:

Postal code:

Country:

**3) In what year was your KTO first established?\***

- |                            |                            |                            |                            |                            |
|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|
| <input type="radio"/> 1900 | <input type="radio"/> 1924 | <input type="radio"/> 1948 | <input type="radio"/> 1972 | <input type="radio"/> 1996 |
| <input type="radio"/> 1901 | <input type="radio"/> 1925 | <input type="radio"/> 1949 | <input type="radio"/> 1973 | <input type="radio"/> 1997 |
| <input type="radio"/> 1902 | <input type="radio"/> 1926 | <input type="radio"/> 1950 | <input type="radio"/> 1974 | <input type="radio"/> 1998 |
| <input type="radio"/> 1903 | <input type="radio"/> 1927 | <input type="radio"/> 1951 | <input type="radio"/> 1975 | <input type="radio"/> 1999 |
| <input type="radio"/> 1904 | <input type="radio"/> 1928 | <input type="radio"/> 1952 | <input type="radio"/> 1976 | <input type="radio"/> 2000 |
| <input type="radio"/> 1905 | <input type="radio"/> 1929 | <input type="radio"/> 1953 | <input type="radio"/> 1977 | <input type="radio"/> 2001 |
| <input type="radio"/> 1906 | <input type="radio"/> 1930 | <input type="radio"/> 1954 | <input type="radio"/> 1978 | <input type="radio"/> 2002 |
| <input type="radio"/> 1907 | <input type="radio"/> 1931 | <input type="radio"/> 1955 | <input type="radio"/> 1979 | <input type="radio"/> 2003 |
| <input type="radio"/> 1908 | <input type="radio"/> 1932 | <input type="radio"/> 1956 | <input type="radio"/> 1980 | <input type="radio"/> 2004 |
| <input type="radio"/> 1909 | <input type="radio"/> 1933 | <input type="radio"/> 1957 | <input type="radio"/> 1981 | <input type="radio"/> 2005 |
| <input type="radio"/> 1910 | <input type="radio"/> 1934 | <input type="radio"/> 1958 | <input type="radio"/> 1982 | <input type="radio"/> 2006 |
| <input type="radio"/> 1911 | <input type="radio"/> 1935 | <input type="radio"/> 1959 | <input type="radio"/> 1983 | <input type="radio"/> 2007 |
| <input type="radio"/> 1912 | <input type="radio"/> 1936 | <input type="radio"/> 1960 | <input type="radio"/> 1984 | <input type="radio"/> 2008 |
| <input type="radio"/> 1913 | <input type="radio"/> 1937 | <input type="radio"/> 1961 | <input type="radio"/> 1985 | <input type="radio"/> 2009 |
| <input type="radio"/> 1914 | <input type="radio"/> 1938 | <input type="radio"/> 1962 | <input type="radio"/> 1986 | <input type="radio"/> 2010 |
| <input type="radio"/> 1915 | <input type="radio"/> 1939 | <input type="radio"/> 1963 | <input type="radio"/> 1987 | <input type="radio"/> 2011 |
| <input type="radio"/> 1916 | <input type="radio"/> 1940 | <input type="radio"/> 1964 | <input type="radio"/> 1988 | <input type="radio"/> 2012 |
| <input type="radio"/> 1917 | <input type="radio"/> 1941 | <input type="radio"/> 1965 | <input type="radio"/> 1989 | <input type="radio"/> 2013 |
| <input type="radio"/> 1918 | <input type="radio"/> 1942 | <input type="radio"/> 1966 | <input type="radio"/> 1990 | <input type="radio"/> 2014 |
| <input type="radio"/> 1919 | <input type="radio"/> 1943 | <input type="radio"/> 1967 | <input type="radio"/> 1991 | <input type="radio"/> 2015 |
| <input type="radio"/> 1920 | <input type="radio"/> 1944 | <input type="radio"/> 1968 | <input type="radio"/> 1992 | <input type="radio"/> 2016 |
| <input type="radio"/> 1921 | <input type="radio"/> 1945 | <input type="radio"/> 1969 | <input type="radio"/> 1993 | <input type="radio"/> 2017 |
| <input type="radio"/> 1922 | <input type="radio"/> 1946 | <input type="radio"/> 1970 | <input type="radio"/> 1994 |                            |
| <input type="radio"/> 1923 | <input type="radio"/> 1947 | <input type="radio"/> 1971 | <input type="radio"/> 1995 |                            |

**4) What is the total number of Public Research Organisations (PROs) your KTO serves?**

*Please include the total number of PROs for which you are submitting aggregate data in this survey.*

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## **Confidentiality and Permissions**

**5) Do you give explicit permission to ASTP for publishing your data?**

*By submitting data to ASTP survey, you agree that ASTP can use the data for analysis and academic research purposes (no commercial purposes). Unless you give us your explicit permission, ASTP will **never** publish any data submitted by you under this survey nor will any data be traced back to your organisation.*

- YES
- NO

**6) Do you allow us to share your data with your national knowledge and technology transfer association?**

- YES
- NO

**If yes, please choose your national association:**

- Austria - Austrian TT Network
- Belgium - Réseau LIEU
- Belgium - TTO Flanders
- Croatia - Croatian TT Network
- Czech Republic - Transfera
- Denmark - Universities Denmark
- France - Réseau C.U.R.I.E.
- Germany - Technologie Allianz e.V.
- Greece - PRAXI Network
- Hungary - Technology and Knowledge Transfer Forum of Hungarian Universities
- Ireland - IKTIG (Irish Knowledge Transfer & Innovation Group)
- Italy - NETVAL
- Netherlands - VSNU (Vereniging van Samenwerkende Nederlandse Universiteiten)
- Norway - FIN
- Poland - PACTT (Porozumie Akademickich Centrów Transferów Technologii)

- Portugal - UTEN/GAPI
- Russia - NATT (Russian National Association of Technology Transfer)
- Slovenia - SI-TT (Association of Technology Transfer Professionals of Slovenia)
- Spain - RedOTRI
- Spain - Redtransfer
- Sweden - SNITTS (Swedish Network for Innovation and Technology Transfer Support)
- Switzerland - swiTT (Swiss Technology Transfer Association)
- Turkey - ÜSIMP (University-Industry Collaboration Centers Platform of Turkey)
- Ukraine, Azerbaijan, Georgia & Moldova - TTIRA (Technology Transfer Inter-Regional Association)
- United Kingdom - PraxisAuril
- Other

**If your national association is not listed above, please fill in below:**

Name of National Association:

Name of contact person:

Email address of contact person:

## **KTO staff and IP expenditure**

**7) What was the total number of KTO staff in full-time equivalents (FTEs) at the end of FY2017?**

*This question allows the use of a decimal point, but if you wish to do so please use a period (.) instead of a comma (,) as use of commas in numbers is not allowed and the comma will be removed (e.g. 12,4 will become 124)*

Total FTEs:

**8) Of the total FTEs reported under Question 7, how many of them were dedicated for the following activities:**

### **Research Agreements**

*including Material Transfer Agreements and Collaborative Research Agreements:*

### **Commercialisation**

*including IP protection and commercialisation, licensing and company formation:*

**9) What total amount was spent for IP protection by your KTO and PRO(s) combined (€)?**

*Please include both the charges from external IP specialists as well as fees paid to IPR-granting authorities (e.g. the EPO) excluding internal staff-related costs.*

**If you didn't answer one or more questions in this 'KTO staff and IP expenditure' section, please let us know why:**

- Because such data are confidential*
- Because we do not track such data / such data are not readily obtainable within our organisation*
- Because similar data that we do track are not compatible with the questions/definitions used in the ASTP survey*
- I plan to revisit the survey and provide an answer once I have the data at hand*
- Other.*

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## **Quantification of Research Effort, Agreements with Industry**

**10) Please give the aggregate Research Expenditures in FY2017 for all PRO(s) for which your KTO is reporting data under this survey (€).**

*Include share of academic costs dedicated to research (e.g. salary costs of permanent academic staff, costs of administrative support, capital expenditures on new equipment). Exclude cost of new buildings or land.*

**11) What was the (combined) research effort of your PRO(s) in FY2017, expressed in Full Time Equivalent (FTEs)?**

*Include time spent by academic staff on research (also include FTEs for post-docs, PhD students, research fellows, technicians and the like). Exclude time spent by staff on teaching.*

**12) Please use this comment box to provide context where necessary to any of the numbers provided under Questions 10 and 11. Insert comment if there are reasons to assume that the numbers provided may not be comparable with those provided by other European institutions.**

e.g. for some PROs, a lot of research work is being performed by PhD students on stipends, who do count towards the number of FTE in research but are not on the payroll of the PRO and so do not contribute to the Research Expenditures etc.

**13) Please provide the number of agreements with industry that were signed in FY2017:**

Number of new Contract Research Agreements:

Number of new Collaborative Research Agreements

*include all collaboration agreements involving industry, including those under which the industry party does not make any cash payment to the PRO directly (e.g. in case the project is fully subsidised):*

Number of new Consultancy Agreements

*exclude consultancy agreements concluded by individual staff members directly with third parties (i.e. not through the PRO) or those that relate to technical services, testing of equipment and the like:*

**14) Please provide the aggregate amount (€) received directly by your PRO from for-profit parties under the following agreement types in FY2017:**

Contract Research Agreements:

Collaborative Research Agreements

*exclude any cash contribution of a for-profit party to a collaborative project budget (e.g. in a H2020 project) IF such payment is not made directly to your PRO:*

Consultancy Agreements:

***If you didn't answer one or more questions in this 'Quantification of Research Effort, Agreements with Industry' section, please let us know why:***

- Because such data are confidential*
- Because we do not track such data / such data are not readily obtainable within our organisation*
- Because similar data that we do track are not compatible with the questions/definitions used in the ASTP survey*
- I plan to revisit the survey and provide an answer once I have the data at hand*
- Other:*

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## **Invention disclosures, patent applications and patent grants**

### **15) What is the number of invention disclosures received by your KTO in FY2017?**

*Formal or informal descriptions of inventions or discoveries that are discussed with and/or evaluated by the KTO staff or other technology experts to assess their utility outside academia.*

### **16) Please give the total number of priority patent applications filed in FY2017.**

*A priority patent application constitutes the first patent application for a technically unique invention. If priority patent applications relating to the same technically unique invention are submitted simultaneously in multiple patent offices, or are submitted after the first priority patent application within the priority year, only a single priority application should be counted.*

### **17) How many patents were first granted in FY2017?**

*The first grant in any territory of a patent for a technically unique invention. Count a patent grant for the same invention in two or more countries as one technically unique patent. If a first patent grant for a technically unique invention has been counted in a previous year, no further patent grants for such invention should be reported. Please only count the first granted patent in each patent family.*

### **18) What is the total number of patent families in the patent portfolio of your KTO that are active at the end of FY2017?**

*A patent family is a collection of patent applications and granted patents that relates to a single invention.*

### **19) Please give the number of active patent families in the patent portfolio provided under Question 18 that is licensed or optioned at the end of FY2017.**

*Include both patent applications and granted patents for which, as of the end of the reference year, an option agreement or a license agreement is active for at least one patent family member. Note that assigned patent are not considered as part of active patent families.*

***If you didn't answer one or more questions in this 'Invention disclosures, patent applications and patent grants' section, please let us know why:***

*Because such data are confidential*

- Because we do not track such data / such data are not readily obtainable within our organisation*
  - Because similar data that we do track are not compatible with the questions/definitions used in the ASTP survey*
  - I plan to revisit the survey and provide an answer once I have the data at hand*
  - Other:
- 

## **Licenses, options and assignments involving IP**

**20) What is the number of IP agreements executed in FY2017 by type:**

Licenses

Excluding licenses for research materials and software:

Material Licenses:

Software Licenses:

Options:

Assignments:

***If you didn't answer the above question, please let us know why:***

- Because such data are confidential*
- Because we do not track such data / such data are not readily obtainable within our organisation*
- Because similar data that we do track are not compatible with the questions/definitions used in the ASTP survey*
- I plan to revisit the survey and provide an answer once I have the data at hand*
- Other:

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## Commercial Revenues

**21) What are the gross revenues from commercialisation of IP earned in FY2017 (€)?**

*Gross revenues from the commercialisation of all types of know-how and IP (e.g. patents, copyright, designs, trademarks, software, trade secrets, plant breeder rights, etc.) before distribution within the PRO or to inventors. Include license issue fees, annual fees, option fees, milestone payments, running royalties, change-of-control payments, dividends and proceeds from cashed-in equity. Exclude license income forwarded to third parties other than individual inventors.*

**22) Of the gross revenues reported under Question 21, what amount was generated by patent licenses (€)**

**23) Of the gross revenues reported under Question 21, what amount was generated from running royalties (€)?**

*i.e. revenues based on turnover of product*

**24) Of the gross revenues reported under Question 21, what amount relates to cashed-in equity (€)?**

***If you didn't answer one or more questions in this 'Commercial Revenues' section, please let us know why:***

- Because such data are confidential*
- Because we do not track such data / such data are not readily obtainable within our organisation*
- Because similar data that we do track are not compatible with the questions/definitions used in the ASTP survey*
- I plan to revisit the survey and provide an answer once I have the data at hand*
- Other.*

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## Spin-offs and start-ups

### 25) How many spin-offs were established in FY2017?

A spin-off is a company **expressly established to develop or exploit IP** created by a Public Research Organization and **with a formal contractual relationship** for the use of this IP. Include, but do not limit to, spin-offs established by PRO staff. Exclude companies that have no formal agreement for commercially developing IP or know-how created by the institution.

### 26) How many start-ups were established in FY2017?

A start-up is a newly registered company that is **founded by PRO students or employees** but that is **not directly involved with the exploitation of intellectual property generated within that PRO**.

### 27) How many staff members (FTE) were employed by your operating spin-off companies (in aggregate) at the end of FY2017?

Please disregard any change in the number of FTE after take-over or merger of the spin-off company by/with another company. Use the last FTE count before such event instead.

**If you didn't answer one or more questions in this 'Spin-offs and start-ups' section, please let us know why:**

- Because such data are confidential
- Because we do not track such data / such data are not readily obtainable within our organisation
- Because similar data that we do track are not compatible with the questions/definitions used in the ASTP survey
- I plan to revisit the survey and provide an answer once I have the data at hand
- Other.

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## Impact Metrics

**28) Which parameters have you been or are you currently using for assessing the impact (socio-economic, environmental, territorial/regional) of your knowledge transfer activities?**

**29) Which parameters do you think should be used and most relevant for assessing the impact (socio-economic, environmental, territorial/regional) of your knowledge transfer activities?**

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## Feedback

**Please use this space to give us your opinion on any aspect of the survey, e.g. the relevance of particular questions, its length, whether you think something is missing or what you'd like to have changed, if anything.**

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On behalf of the ASTP-Proton Survey Committee:

Thank you very much for participating in this survey.

Cécile Cavalade  
Chair of the Survey Committee  
Vice President ASTP-Proton

If you still wish to access the survey data (e.g. to make amendments or provide additional data) you may request an edit link at [survey@astp-proton.eu](mailto:survey@astp-proton.eu)

Edit links can only be provided as long as the survey hasn't been closed yet.

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