

COLLECTING LEGAL SEX DATA FROM UNIVERSITY INVENTORS

A Step-by-Step Tip Sheet for TTOs

Access the full
step-by-step guide



A 4-STEP PROCESS TO SUCCESS

1

Determine TTO's Data Privacy Protection Capabilities

Determine if the TTO database system offers a means to protect personal data. The database provider and TTO's IT department can help in determining the database's level of security.

2

Meet with Data Governance, Institutional Research, and/or HR Department(s)

Check on the institution's data governance practices to ensure compliance with any regulations. Ask for guidelines related to storage and privacy of employee sex or gender data.

3

Choose a Method to Obtain Data

Consider the pros and cons of each, depending on whether a central HR database has sex data, the TTO's level of operational support for collecting and reporting data, and data privacy laws or institution regulations.

4

Report Information to AUTM and Analyze Your Data

Include aggregate data in the TTO's response to AUTM's annual *Licensing Activity Survey*. After conducting internal analysis, use the findings to identify where to target in-reach efforts to close the gaps in women's participation.

METHODS TO OBTAIN DATA

Method

+ Pros

– Cons

What's Involved

WIPO Prediction Tool

Use World Intellectual Property Organization tool specifically designed to 'predict' inventor sex from first name

Note: See the full step-by-step guide for detailed instructions.

- Simplest approach to implement (a good option for small offices)
- Doesn't require input from inventors
- Can be quickly implemented by any staff, including students or interns

- Least accurate
- Doesn't let inventors self-identify
- Assumes an overly simplistic Male/Female dichotomy of gender

- Provide spreadsheet of inventor first names to WIPO
- WIPO will run spreadsheet against their Gender Dictionary and return data
- Resolve any blanks or unknowns in the returned data
- Aggregate data for analysis and reporting to AUTM

TTO Collects via ID Form

Include a sex or gender question on your TTO's Invention Disclosure Form (*see suggested wording on reverse*)

- Highly accurate approach
- Allows inventors to self-report

- More complex to implement
- May result in missing data if inventors choose not to respond to the question

- Determine form of sex or gender question to be used on the ID Form
- Design implementation system compatible with your ID Form process and database

Access Institution's Data

Access sex data already collected by your institution (e.g., in central HR database)

- Most accurate approach
- Data likely aligns with AUTM's question
- Inventors have already reported it themselves
- Is already collected and stored by the Institution

- May be difficult to access data or find a collaborator who can pull the data
- May require specialized database knowledge
- Resource and time intensive

- Locate your institution's data on employees' sex
- Determine your TTO's approach to accessing that data

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Legal Sex vs. Gender

AUTM's annual *Licensing Activity Survey* of 2022 data asks questions about the involvement of "women" in invention disclosures and new patent filings, and thus does not account for the full spectrum of gender identities. While the authors acknowledge the importance of allowing individuals to self-select their gender when possible and that the "legal sex" of an individual may not align with their gender, this guidance document focuses on collecting data on "legal sex," which is the sex indicated on government-issued identification and is typically understood to refer to biological sex (Male and Female). The authors understand that some institutions capture legal sex (M/F) while others capture self-identified gender and still others use legal sex-prediction tools.

Guidance for Including a Sex/Gender Question on the Invention Disclosure Form

What is your sex?

- ☐ Female
- ☐ Male
- ☐ Other
- ☐ I prefer not to disclose

What is your gender identity today?

Please select the relevant option(s) below to describe your gender identity.

- ☐ Woman
- ☐ Man
- ☐ Another identity (please specify)

- ☐ I prefer not to disclose

or

- ☐ Woman
- ☐ Man
- ☐ Transgender
- ☐ Non-binary
- ☐ Another identity (please specify)

- ☐ I prefer not to disclose

Consider Asking About Race/Ethnicity

Although the AUTM *Licensing Activity Survey* does not currently ask questions about race and ethnicity, you might consider adding such questions to the Invention Disclosure Form along with modifications to include a sex/gender question. The question can be phrased for either a single choice (e.g., What is your primary ethnicity? Select only one.) or multiple choices (e.g., What is/are your ethnicity(ies)? Select all that apply.). The following are commonly used options: American Indian/Alaska Native, Asian, Black/African American, Hispanic or Latino, Native Hawaiian/Other Pacific Islander, and White.

Why Collect This Data and What to Do with It?

Accurate and consistent data on women's participation in the innovation ecosystem is essential for tracking progress, evaluating initiatives' effectiveness, and identifying targets for future interventions designed to address the gaps in women's participation.

In addition to analyzing your own institution's data, be sure to submit it to AUTM as part of the annual *Licensing Activity Survey*. Visit <https://autm.net/surveys-and-tools/surveys/licensing-survey> to learn how.

See <https://www.fuentek.com/blog-post/techtransfer-metrics-gather-analyze-communicate/> for advice on how to analyze the data and make comparisons across departments or against peer institutions.

**Let us know
about your
experiences:**

Forough Ghahramani, EdD, MBA, MS
forough@alumni.upenn.edu
Assistant Vice President for Research,
Innovation, and Sponsored Programs
NJEdge, Inc.

Anne Hall, PhD
hallx412@umn.edu
Sr. Technology Portfolio Manager
Technology Commercialization
University of Minnesota

Laura A. Schoppe, MBA, RTTP
laschoppe@fuentek.com
President
Fuentek, LLC