



# AUTM Licensing Activity Survey



## Welcome to the 2019 Licensing Activity Survey

For nearly three decades, the Survey has been tech transfer's most comprehensive benchmark report on licensing income, patents, start-ups and more.

It's been an extraordinary year in many ways. This year, we're moving the Survey from a decades-old homegrown platform to improve how the data is gathered and shared. Qualtrics is already a familiar tool to many academic institutions. Over 2,000 universities in 90 countries have chosen Qualtrics. It provides a more stable, market-tested platform that will enable AUTM to better serve the tech transfer community.

Thank you for contributing the data that helps tell the story of tech transfer's impact.

A handwritten signature in black ink that reads "Ragan Robertson".

Ragan Robertson  
Chair, AUTM Metrics & Surveys Portfolio

# Instructions

Login to update your survey responses as often as you wish until the survey close date.

We encourage you to answer all the questions. The highlighted questions are to be answered in order to submit your survey.

- (Q3.1) What were your TOTAL RESEARCH EXPENDITURES?
- (Q4.1) How many TOTAL did your institution execute?
- (Q4.2) How many TOTAL OPTIONS did your institution execute?
- (Q5.4) What was the TOTAL LICENSE INCOME received at your institution?
- (Q7.1) How many DISCLOSURES were received?
- (Q7.4) How many NEW PATENT APPLICATIONS were filed?
- (Q8.1) How many START-UPS were formed that were dependent upon the licensing of your institution's technology for their initiation?

If you are unable to provide an exact number in response to a question, please provide your best estimate, instead of providing no answer at all.

If you intend to answer a question with zero, enter the number 0. Do not leave the answer blank.

Information for your institution's primary contact — frequently the Director — may be pre-populated. Type over the supplied information if this needs updating.

(Q1.5). Primary Contact's First Name



Chris

If you participated in the 2018 Survey, you can compare this year's response to last year's. If you didn't participate in the 2018 Survey or there was no response available from that previous Survey, you'll see "Not Available" for the 2018 Survey.

(Q3.3). What were your research expenditures from **INDUSTRY SOURCES** in 2019? (In the 2018 Survey, your funding from INDUSTRY SOURCES was **\$14,349,761.**)

For responses requiring dollar amounts, round to the nearest dollar. Go ahead and enter commas and dollar signs; the Survey will automatically strip those commas and dollar signs from your submitted amount.

(Q3.2). What were your research expenditures from **FEDERAL GOVERNMENT SOURCES** in 2019? (In the 2018 Survey, your funding from FEDERAL GOVERNMENT SOURCES was **\$291,767,000.**)

\$328,221,549

Hover over the **bolded blue terms** to get definitions and instructions to guide your responses.

(Q4.8). How many licenses/options were with **SMALL COMPANIES** in 2019? (In the 2018 Survey, your licenses with **SMALL COMPANIES** were **64.**)

For the purposes of this Survey, **SMALL COMPANIES** are defined as having 500 or fewer employees at the time the license/option was signed. Small companies do **NOT** include start-ups initiated by your institution.

Need to skip ahead to a section? Or move backwards to complete an answer? Just click the arrows at the bottom of each section.

(Q1.11). Zip Code

85721



All finished with your Survey responses? Click Submit on the final page.

# AUTM Licensing Activity Survey



## Submit Your Responses

Are you ready to submit your Survey responses? Click on the Submit arrow below. You'll be directed to a summary of your responses that you can download.

Still have questions? Contact Paul Stark, AUTM Marketing & Communications Director, [pstark@autm.net](mailto:pstark@autm.net).

<< Return to Survey

>> Submit

After you click Submit, you'll have an opportunity to download your responses.

# AUTM Licensing Activity Survey



We thank you for your time spent taking this survey.  
Your response has been recorded.

Below is a summary of your responses

[Download PDF](#)

You can find a complete list of definitions and detailed instructions on how to complete the Survey [here](#). For a list of the Survey questions click [here](#).

Still have questions? Email Paul Stark, Marketing & Communications Director, [pstark@autm.net](mailto:pstark@autm.net).

## (Q1) Institution and Contact Information

(Q1.1) Do you want to keep your institution's name and data confidential?

- Yes
- No

(Q1.2) What category best describes your institution?

- Public
- Private not-for-profit
- Private for-profit

(Q1.3) Does your institution have a medical school?

- Yes
- No
- Not disclosed

(Q1.4) On what date does your **REPORTING PERIOD** end (MM/DD/YYYY)?

**(Q1.5). Primary Contact's First Name**

{e://Field/PRIMARY\_FIRST}

**(Q1.6) Primary Contact's Last Name**

{e://Field/PRIMARY\_LAST}

**(Q1.7) Primary Contact's Title**

{e://Field/PRIMARY\_TITLE}

**(Q1.8) Primary Contact's Email**

{e://Field/PRIMARY\_EMAIL}

**(Q1.9) Primary Contact's Phone**

{e://Field/PRIMARY\_PHONE}

**(Q1.10) State**

{e://Field/STATE\_PROVINCE}

**(Q1.11) Zip Code**

#{e://Field/ZIP}

## (Q2) Institution Staffing

(Q2.1) What was the first year that your institution dedicated at least 0.5 of a staff person to technology transfer activities? (In the 2018 Survey, your institution's **PROGRAM START YEAR** was **#{e://Field/FY18\_PROGYR}**).

#{e://Field/FY18\_PROGYR}

(Q2.2) How many **LICENSING FTEs** were employed in your technology transfer office in 2019? (In the 2018 Survey, your LICENSING FTEs were **#{e://Field/FY18\_LICFTE}**).

(Q2.3) How many **OTHER FTEs** were employed in your technology transfer office in 2019? (In the 2018 Survey, your OTHER FTEs were **#{e://Field/FY18\_OTHFTE}**).

## (Q3) Research Expenditures

(Q3.1). What were your **TOTAL RESEARCH EXPENDITURES** in 2019? (In the 2018 Survey, your TOTAL RESEARCH EXPENDITURES were  $\${e://Field/FY18\_TOTEXP}$ .)

**NOTE: TOTAL RESEARCH EXPENDITURES should be greater than or equal to the sum of your funding from GOVERNMENT SOURCES and INDUSTRY SOURCES.**

(Q3.2) What were your research expenditures from **FEDERAL GOVERNMENT SOURCES** in 2019? (In the 2018 Survey, your funding from FEDERAL GOVERNMENT SOURCES was  $\${e://Field/FY18\_FEDEXP}$ .)

(Q3.3) What were your research expenditures from **INDUSTRY SOURCES** in 2019? (In the 2018 Survey, your funding from INDUSTRY SOURCES was  $\${e://Field/FY18\_INDEXP}$ .)

(Q3.4) How much of the research expenditures from **INDUSTRY SOURCES** was funding for **CLINICAL TRIALS** in 2019? (In the 2018 Survey, your funding for **CLINICAL TRIALS** was  $\${e://Field/FY18\_CLINEXP}$ .)

**NOTE: Funding for CLINICAL TRIALS must be less than or equal to your funding from INDUSTRY SOURCES.**



## (Q4) License/Option Agreements

(Q4.1) How many **TOTAL LICENSES** did your institution execute in 2019? (In the 2018 Survey, your TOTAL LICENSES were  $\{e://Field/FY18\_LCTOTLIC\}$ .)

**NOTE: TOTAL LICENSES should equal the sum of your EXCLUSIVE LICENSES and NON-EXCLUSIVE LICENSES.**

(Q4.2) How many **TOTAL OPTIONS** did your institution execute in 2019? (In the 2018 Survey, your TOTAL OPTIONS were  $\{e://Field/FY18\_LCTOTOPT\}$ .)

(Q4.3) How many different **DISCLOSURES** were included in your TOTAL LICENSES and TOTAL OPTIONS executed in 2019? (In the 2018 Survey, your DISCLOSURES were  $\{e://Field/FY18\_LCINVDIS\}$ .)

(Q4.4) How many of your executed licenses were **EXCLUSIVE LICENSES** in 2019? (In the 2018 Survey, your EXCLUSIVE LICENSES were  $\{e://Field/FY18\_LCEXCL\}$ .)

(Q4.5) How many of your executed licenses were **NON-EXCLUSIVE LICENSES** in 2019? (In the 2018 Survey, your NON-EXCLUSIVE LICENSES were  $\{e://Field/FY18\_LCNEX\}$ .)

(Q4.6) How many of your executed licenses included **EQUITY** in 2019? (In the 2018 Survey, your licenses that included EQUITY were  $\{e://Field/FY18\_LCEXEQ\}$ .)

(Q4.7) How many licenses/options were with **START-UPS** in 2019? (In the 2018 Survey, your licenses with START-UPS were  $\{e://Field/FY18\_LCEXSU\}$ .)

(Q4.8) How many licenses/options were with **SMALL COMPANIES** in 2019? (In the 2018 Survey, your licenses with SMALL COMPANIES were  $\{e://Field/FY18\_LCEXSM\}$ .)

(Q4.9) How many licenses/options were with **LARGE COMPANIES** in 2019? (In the 2018 Survey, your licenses with LARGE COMPANIES were  $\{e://Field/FY18\_LCEXLG\}$ .)

(Q4.10) How many **OTHER NEW COMPANIES** received support from your institution in 2019? (In the 2018 Survey, OTHER NEW COMPANIES receiving your support were  $\{e://Field/FY18\_NEWCOMPSUPP\}$ .)

(Q4.11) How many licenses/options were **ACTIVE** as of the last day of your 2019 reporting year, *cumulative through the 2019 reporting period*? (In the 2018 Survey, your **ACTIVE LICENSES/OPTIONS** were  $\{e://Field/FY18\_ACTLIC\}$ .)

## (Q5) License Income

(Q5.1) What was the total number of **LICENSES/OPTIONS** yielding **LICENSE INCOME** in 2019? (In the 2018 Survey, your total number of **LICENSES/OPTIONS** yielding **LICENSE INCOME** was  $\{e://Field/FY18\_LCGNLI\}$ .)

(Q5.2) How many licenses/options yielded **RUNNING ROYALTIES** in 2019? (In the 2018 Survey, your licenses/options yielding **RUNNING ROYALTIES** were  $\{e://Field/FY18\_LCGNRR\}$ .)

***NOTE: The number of licenses/options yielding **RUNNING ROYALTIES** should be less than or equal to your **TOTAL LICENSES/OPTIONS** yielding license income.***

(Q5.3) How many licenses/options yielded more than \$1 million in **LICENSE INCOME**? (In the 2018 Survey, your licenses/options yielding more than \$1 million in license income were  $\{e://Field/FY18\_LC1M\}$ .)

(Q5.4) What was the **TOTAL LICENSE INCOME** received at your institution? (In the 2018 Survey, your TOTAL LICENSE INCOME was  $\${e://Field/FY18\_LIRECD}$ .)

**NOTE: The TOTAL LICENSE INCOME should be equal to the sum of your LICENSE INCOME attributed to RUNNING ROYALTIES, CASHED-IN EQUITY, and all other types.**

(Q5.5) How much of the license income received was attributed to **RUNNING ROYALTIES**? (In the 2018 Survey, your license income attributed to RUNNING ROYALTIES was  $\${e://Field/FY18\_LIRUNR}$ .)

(Q5.6) How much of the license income was attributed to **CASHED-IN EQUITY**? (In the 2018 Survey, your license income attributed to CASHED-IN EQUITY was  $\${e://Field/FY18\_CAINEQ}$ .)

(Q5.7) How much of the license income received was attributed to license income of **ALL OTHER TYPES**? (In the 2018 Survey, your license income attributed to ALL OTHER TYPES was  $\${e://Field/FY18\_LIOTHR}$ .)

(Q5.8) How much of the license income was **LICENSE INCOME PAID TO OTHER INSTITUTIONS**? (In the 2018 Survey, your LICENSE INCOME PAID TO OTHER

INSTITUTIONS was  $\${e://Field/FY18\_LIPDIN}.$ )

## (Q6) Legal Fees

(Q6.1) What was spent on external **LEGAL FEES** for patents and/or copyrights in 2019? (In the 2018 Survey, your LEGAL FEES for patents and/or copyrights were  $\${e://Field/FY18\_EXPLGF}.$ )

(Q6.2) What was received in **LEGAL FEES REIMBURSEMENTS** from licensees in 2019? (In the 2018 Survey, your LEGAL FEES REIMBURSEMENTS were  $\${e://Field/FY18\_REIMLG}.$ )

(Q6.3) What amount of the external **LEGAL FEES** for patents and/or copyrights was billed directly from legal service providers to start-ups in 2019? (In the 2018 Survey, your external LEGAL FEES billed directly from legal service providers to start-ups were  $\${e://Field/FY18\_DIRLGF}.$ )

## (Q7) Intellectual Property Activity

(Q7.1) How many **DISCLOSURES** were received in 2019? (In the 2018 Survey, your DISCLOSURES received were  $\{e://Field/FY18\_INVDIS\}$ .)

(Q7.2) How many of the **DISCLOSURES** referenced support from a federal grant? (In the 2018 Survey, your DISCLOSURES referencing support from a federal grant were  $\{e://Field/FY18\_FEDINVDIS\}$ .)

***NOTE: The number of DISCLOSURES referencing support from FEDERAL GRANTS should be less than or equal to your TOTAL DISCLOSURES.***

(Q7.3) How many **TOTAL US PATENT APPLICATIONS** were filed in 2019? (In the 2018 Survey, your TOTAL US PATENT APPLICATIONS FILED were  $\{e://Field/FY18\_TPTAPP\}$ .)

(Q7.4) How many **NEW PATENT APPLICATIONS** were filed in 2019? (In the 2018 Survey, your NEW PATENT APPLICATIONS FILED were  $\{e://Field/FY18\_NPTAPP\}$ .)

(Q7.5) Of the new patent applications filed in 2019, how many were filed as **US PROVISIONAL APPLICATIONS**? (In the 2018 Survey, your US PROVISIONAL APPLICATIONS were  $\{e://Field/FY18\_NPTAPPPR\}$ .)

(Q7.6) Of the new patent applications filed in 2019, how many were filed as **US UTILITY PATENT APPLICATIONS**? (In the 2018 Survey, your US UTILITY PATENT APPLICATIONS were **#{e://Field/FY18\_NPTAPP}**.)

(Q7.7) Of the new patent applications filed in 2019, how many were filed as **NON-US PATENT APPLICATIONS**? (In the 2018 Survey, your NON-US PATENT APPLICATIONS were **#{e://Field/FY18\_NPTAPPNUS}**.)

(Q7.8) Of the new patent applications filed in 2019, how many were filed as **PLANT PATENTS**? (In the 2018 Survey, your PLANT PATENTS were **#{e://Field/FY18\_PATPLANT}**.)

(Q7.9) How many **US PATENTS ISSUED** in 2019? (In the 2018 Survey, your US PATENTS ISSUED were **#{e://Field/FY18\_USPTIS}**.)

(Q7.10) How many of the **DISCLOSURES** included at least one woman on the disclosure form? (In the 2018 Survey, your **DISCLOSURES** including at least one woman were **#{e://Field/FY18\_GNDRINV}**.)

(Q7.11) How many DISCLOSURES were returned to inventors? (In the 2018 Survey, DISCLOSURES returned to inventors were  $\{e://Field/FY18\_INVDISRET\}$ .)

(Q7.12) How many of the NEW PATENT APPLICATIONS filed included at least one woman on the application form? (In the 2018 Survey, the number of NEW PATENT APPLICATIONS filed that included at least one woman was  $\{e://Field/FY18\_GNDRNPT\}$ .)

## (Q8) Start-Up Companies

(Q8.1) How many START-UP COMPANIES were formed that were dependent upon the licensing of your institution's technology for their initiation? (In the 2018 Survey, your START-UPS were  $\{e://Field/FY18\_STRTUP\}$ .)

(Q8.2) How many of these START-UPS have their primary place of business in your home state? (In the 2018 Survey, your START-UPS with their primary place of business in your home state were  $\{e://Field/FY18\_STRTHS\}$ .)



(Q8.3) How many of your start-ups were **OPERATIONAL** as of the last day of this reporting period? (In the 2018 Survey, your START-UPS still OPERATIONAL were  $\{e://Field/FY18\_STOPCM\}$ .)

(Q8.4) Of all your START-UPS, how many became **NON-OPERATIONAL**? (In the 2018 Survey, your START-UPS considered NON-OPERATIONAL were  $\{e://Field/FY18\_STRNOP\}$ .)

(Q8.5) In how many of your start-ups does your institution hold **EQUITY**? (In the 2018 Survey, the number of START-UPS in which your institution held EQUITY was  $\{e://Field/FY18\_STUPEQ\}$ .)

## (Q9) Licensed Technologies, Post-License Activity

(Q9.1) Did one or more of your institution's **LICENSED TECHNOLOGIES** become available for consumer (public) or commercial use? (In the 2018 Survey, your response was  $\{e://Field/FY18\_LTAVMK\}$ .)

- Yes
- No

(Q9.2) If you answered "yes" to the above question, how many of your **LICENSED TECHNOLOGIES** became available? (In the 2018 Survey, your LICENSED TECHNOLOGIES

that became available were [\\${e://Field/FY18\\_LTAV}.](#))

## (Q10) Survey Feedback

To help improve the quality of the Survey, let us know how you use the data.

(Q10.1) With whom do you typically share your licensing activity data (select all that apply)?

- Economic development groups
- General public
- Industry
- Local, regional or federal government
- Media
- Tech transfer colleagues
- University stakeholders
- Other

(Q10.2) How do you prefer to have the Survey data presented (select all that apply)?

- Exportable file (csv, Excel, PDF, etc.)
- Infographic
- Online searchable database

- PowerPoint
- Press release
- Digital report
- Printed report
- Webinar
- Other

**(Q10.3) Provide any additional comments regarding the Survey or STATT Database.**

**Submit Your Responses**

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