

# AUTM Licensing Activity Survey



## Welcome to the 2020 Licensing Activity Survey

For nearly three decades, the survey has been tech transfer's most comprehensive benchmark report on licensing income, patents, startups and more.

To help you gather your data and respond to the survey we've created a [Survey Toolkit](#). You'll find worksheets, instructions and definitions, sample questionnaire, and answers to frequently asked questions

As always, 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 LICENSES 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 STARTUPS were formed that were dependent upon the licensing of your institution's technology for their initiation?**

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

**John Miner**

Chair, AUTM Metrics & Surveys Portfolio

## (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

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

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

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

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

**(Q1.10)** State / Province

**(Q1.11)** Zip / Postal Code

## **(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?

**(Q2.2)** How many **LICENSING FTEs** were employed in your technology transfer office in 2020?

**(Q2.3)** How many **OTHER FTEs** were employed in your technology transfer office in 2020?

## **(Q3) Research Expenditures**

**(Q3.1)** What were your **TOTAL RESEARCH EXPENDITURES** in 2020?

**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 2020?

**(Q3.3)** What were your research expenditures from **INDUSTRY SOURCES** in 2020?

**(Q3.4)** How much of the research expenditures from **INDUSTRY SOURCES** was funding for **CLINICAL TRIALS** in 2020?

**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 2020?

**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 2020?

**(Q4.3)** How many different **DISCLOSURES** were included in your **TOTAL LICENSES** and **TOTAL OPTIONS** executed in 2020?

**(Q4.4)** How many of your executed licenses were **EXCLUSIVE LICENSES** in 2020?

**(Q4.5)** How many of your executed licenses were **NON-EXCLUSIVE LICENSES** in 2020?

**(Q4.6)** How many of your executed licenses included **EQUITY** in 2020?

**(Q4.7)** How many licenses/options were with **STARTUPS** in 2020?

**(Q4.8)** How many licenses/options were with **SMALL COMPANIES** in 2020?

**(Q4.9)** How many licenses/options were with **LARGE COMPANIES** in 2020?

**(Q4.10)** How many **OTHER NEW COMPANIES** received support from your institution in 2020?

**(Q4.11)** How many licenses/options were **ACTIVE** as of the last day of your 2020 reporting year, *cumulative through the 2020 reporting period?*

## (Q5) License Income

**(Q5.1)** What was the total number of **LICENSES/OPTIONS** yielding **LICENSE INCOME** in 2020?

**(Q5.2)** How many licenses/options yielded **RUNNING ROYALTIES**?

**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**?

**(Q5.4)** What was the **TOTAL LICENSE INCOME** received at your institution?

**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**?

**(Q5.6)** How much of the license income was attributed to **CASHED-IN EQUITY**?

**(Q5.7)** How much of the license income received was attributed to license income of **ALL OTHER TYPES**?

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

## **(Q6) Legal Fees**

**(Q6.1)** What was spent on external **LEGAL FEES** for patents and/or copyrights in 2020?

**(Q6.2)** What was received in **LEGAL FEES REIMBURSEMENTS** from licensees in 2020?

**(Q6.3)** What amount of the external **LEGAL FEES** for patents and/or copyrights was billed directly from legal service providers to startups in 2020?

## **(Q7) Intellectual Property Activity**

**(Q7.1)** How many **DISCLOSURES** were received in 2020?

**(Q7.2)** How many of the **DISCLOSURES** referenced support from a federal grant?

**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 2020?

**(Q7.4)** How many **NEW PATENT APPLICATIONS** were filed in 2020?

**(Q7.5)** Of the new patent applications filed in 2020, how many were filed as **US PROVISIONAL APPLICATIONS**?

**(Q7.6)** Of the new patent applications filed in 2020, how many were filed as **US UTILITY PATENT APPLICATIONS**?

**(Q7.7)** Of the new patent applications filed in 2020, how many were filed as **NON-US PATENT APPLICATIONS**?

**(Q7.8)** Of the new patent applications filed in 2020, how many were filed as **PLANT PATENTS**?

**(Q7.9)** How many **US PATENTS ISSUED** in 2020?

**(Q7.10)** How many of the **DISCLOSURES** included at least one woman on the disclosure form?

**(Q7.11)** How many **DISCLOSURES** were returned to inventors?



**(Q7.12)** How many of the **NEW PATENT APPLICATIONS** filed included at least one woman on the application form?

## **(Q8) Startup Companies**

**(Q8.1)** How many **STARTUP COMPANIES** were formed that were dependent upon the licensing of your institution's technology for their initiation?

**(Q8.2)** How many of these **STARTUPS** have their primary place of business in your home state or province?

**(Q8.3)** How many of your startups were **OPERATIONAL** as of the last day of this reporting period?

**(Q8.4)** Of all your startups, how many became **NON-OPERATIONAL**? (Include only companies dependent on the licensing of your institution's technology for their initiation, and were reported in this or prior AUTM Licensing Activity Surveys.)

**(Q8.5)** Of the startups formed in 2020 — see question **(Q8.1)** — how many does your institution hold **EQUITY**?

## (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?

- Yes  
 No

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

## (Q10) Supplemental Questions

The individual responses to Supplemental Questions will remain confidential and will only be evaluated in aggregate.

**(Q10.1)** As employees across your institution return to work, will your tech transfer office continue to accommodate teleworking for one or more staff members?

- Yes  
 No  
 Undecided

**(Q10.2)** If your institution plans to continue teleworking, approximately what percentage of your staff do you expect to telework?

- Less than 10%  
 11% to 25%  
 26% to 50%  
 51% to 75%  
 More than 75%

**(Q10.3)** Which positions or job functions are you **not** permitting to telework, if any?

**(Q10.4)** In 2020, how many **OPEN SOURCE LICENSES** did your institution make available?

**(Q10.5)** In 2020, how many Inter-Institutional Agreements (IIA) did your institution execute?

**(Q10.6)** In 2020, how many Patent Cooperation Treaty (PCT) applications did your institution file?

**(Q10.7) Canadian Survey Only:** In 2020, how many Canadian patent applications did your institution file?

**(Q10.8) Canadian Survey Only:** In 2020, how many Canadian patents were granted to your institution?

——— End of Survey ———