IP-Unilink

FINAL CONFERENCE
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Agenda

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IP-Unilink Micro Analysis:

A Comparative Analysis of Institutional Innovation and Intellectual Property (IP) Policies, Strategies and Practices

1. Objectives and goals
2. Participants
3. Methodology
4. Results

Objective

- The objective of Phase 2 of the IP Unlink Program is to conduct a micro-level analysis aiming
  - to contribute to the transparency and mutual understanding of ***Innovation and IP management regimes***
  - by developing a **comparative analysis of institutional Innovation and Intellectual Property (IP) policies, strategies and practices**.

The four key goal areas are:

1. **An assessment of the National legislative and political framework for Innovation and IP for HEIs in EU and BRIC**

2. **A critical assessment of how some major HEIs in the EU and BRIC have been and are currently managing Innovation and IP:**
   - A review of their main Strategies and Policies for innovation and IP
   - A review of their dedicated organisations, structures and functions for innovation and IP
   - A review of their current activities, processes and practices
   - A historical review of key indicators (e.g.: patent applications, spin-offs, budgets, etc.)

The four key goal areas are *(cont):*

3. **A critical analysis of what factors support and hinder best practices for innovation and IP management**
   - History
   - Culture
   - Organisation
   - Leadership
   - Resources
   - Legislation
4. **A summary of the factors and measures used in the HEI to define the success for their Innovation and IP management regimes**

Participants in Micro Analysis

- In total there are 10 countries and 14 HEIs participating in the Micro Analysis Phase:
- The 7 Consortium Members participating include:

Poland	Jagiellonian University
Spain	Alicante University
Sweden	Chalmers University of Technology, CIT
China	Kunming University of Science and Technology
Brazil	University of Campinas
Russia	St Petersburg Electrotechnical University
India	Indian Institute of Technology, Roorkee

Participants in Micro Analysis

The 7 additional participating HEIs include:

UK	University of Surrey
Germany	Saarland University
Belgium	KU Leuven
China	Changchun University of Science & Technology
Brazil	University of Sao Paulo
Russia	Novosibirsk State Technical University
India	Indian Institute of Technology - Kharagpur

Methodology

- 2 main methods for collecting data
  - ***Empirical*** – interviews with key persons at the respective HEI who worked with IP & Innovation
  - ***Secondary*** sources – the websites of the HEI and national data

- The Consortium partners collected the data both
  - in their own HEI
  - in a 2nd HEI

Results: IP Policies / Regulations

1. **11 out of 14 HEIs have an IP policy**
   - Missing- Sweden, Poland and Russia (1)

2. **Who is (generally) the owner of IP generated at the HEI?**
   - The HEI – Poland, Spain, China, India, Brazil, Russia, UK, Germany, Belgium
   - The Researcher/Inventor – Sweden

IP Policies / Regulations

1. **What are the most common incentives for transforming research into innovation?**
   i. Share licensing incomes: 78,6% (11 of 14)
   ii. Get equity in start-up/spin off: 64,3% (9 of 14)
   iii. Moral – prestige: 42,9% (6 of 14)
   iv. Training: 42,9% (6 of 14)
   v. Going to conferences: 28,6% (4 of 14)
   vi. Other: 42,9% (6 of 14)
      1. E.g. researcher 'earns points', possibility to higher salary and promotion, patent applications count toward promotion and rewards, fund for professional development

IP Policies / Regulations

Examples of incentive schemes for HEI researchers – distribution of incomes in % (e.g. royalties)

	Sweden Alt.1/Alt. 2		Spain Alt.1/Alt.2		Poland	China	India	Brazil	Russia
HEI	33 %	N/A	40 %	20%	25%	30%	20%	33,33%	100%
Department /Center	33 %	N/A	-	-	15% Will change to 12,5%	10%	20%	33,33%	
Research Group	-	N/A	-	80%	50%	60%	-	-	
Individual Researcher	33 %	N/A	60 %	-	-	-	60%	33,33%	
Other	-	N/A	-	-	10% (IP Fund) Will change to 12,5%	-	-	-	

Processes Comparison - Education

- **What education do you provide on IP and Innovation and to whom? Examples include:**
  - **IP and Innovation training for researchers and PhD students**
    - **Courses**
    - **Seminars**
    - **Workshops**
    - **Meetings**
  - **Undergraduate and Postgraduate programs in IP and Entrepreneurship**
  - **Collaborative activities with National IP Office**

Processes Comparison – Search for and Assess Value in Research

- **All Universities have processes in place for:**
  - Searching for value in research
    - Invention disclosures, individual meetings, etc.
  - Assessing the value identified
    - Market, IP, Technical, Business assessments
  - Developing innovations and bring them to market and society
    - Raising funds, developing prototypes, developing IP strategy and business models, identifying customers
- **Processes performed by support units**
  - TTO, Innovation Office, Incubators, Business school students

Processes Comparison – IP Portfolio

- **10 out of 14 Universities have a process for managing an IP portfolio**
  - Yes – Spain, China (1), Russia and Brazil
  - No – India, Sweden, Poland, China (2), Belgium
- **Examples of HEIs that have IP portfolios:**
  - **Spain** – part of the tasks of the IP unit of the TTO to manage the portfolio – do not create strategies around the portfolio
  - **China** – the division of R&D at KUST manages the portfolio, monitors payments and infringements, and creates strategies around the IP portfolio
  - **Russia** – the HEI's patent office is responsible for management
  - **Brazil** – INOVA manages the portfolio, monitors payments, and create strategies around the portfolio

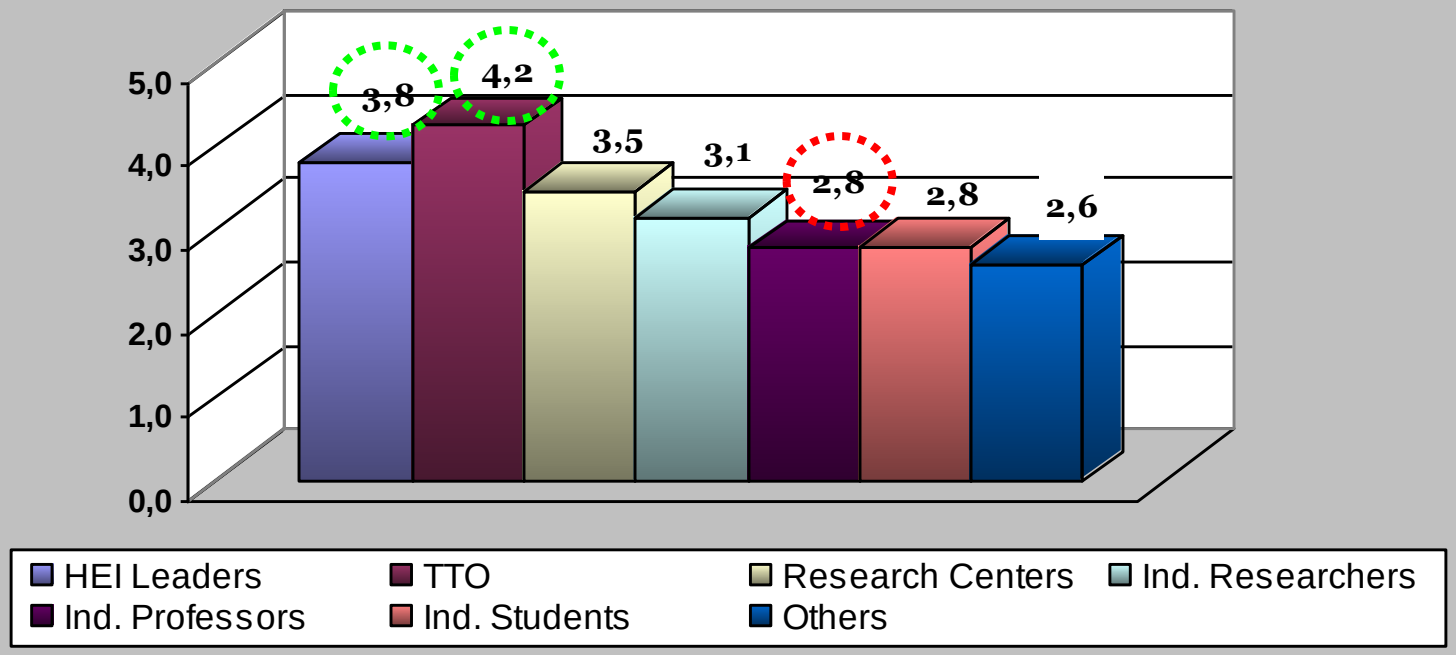
Processes Comparison - Contracts

- **What kind of contracts are used to support Innovation and IP Management?**
  - R&D: 100% (14 of 14)
  - IPR license: 85,7% (12 of 14)
  - Service provision: 85,7% (12 of 14)
  - MTA: 71,4% (10 of 14)
  - Transfer of IP rights: 64,3% (9 of 14)
  - Clinical trials: 64,3% (9 of 14)
  - Employment: 57,1% (8 of 14)
  - Technology supply: 57,1% (8 of 14)
  - Other contracts: 64,3% (9 of 14)
    - Non-disclosure agreements, shareholders agreements, customer agreements

Culture for Innovation – Q2 - Average

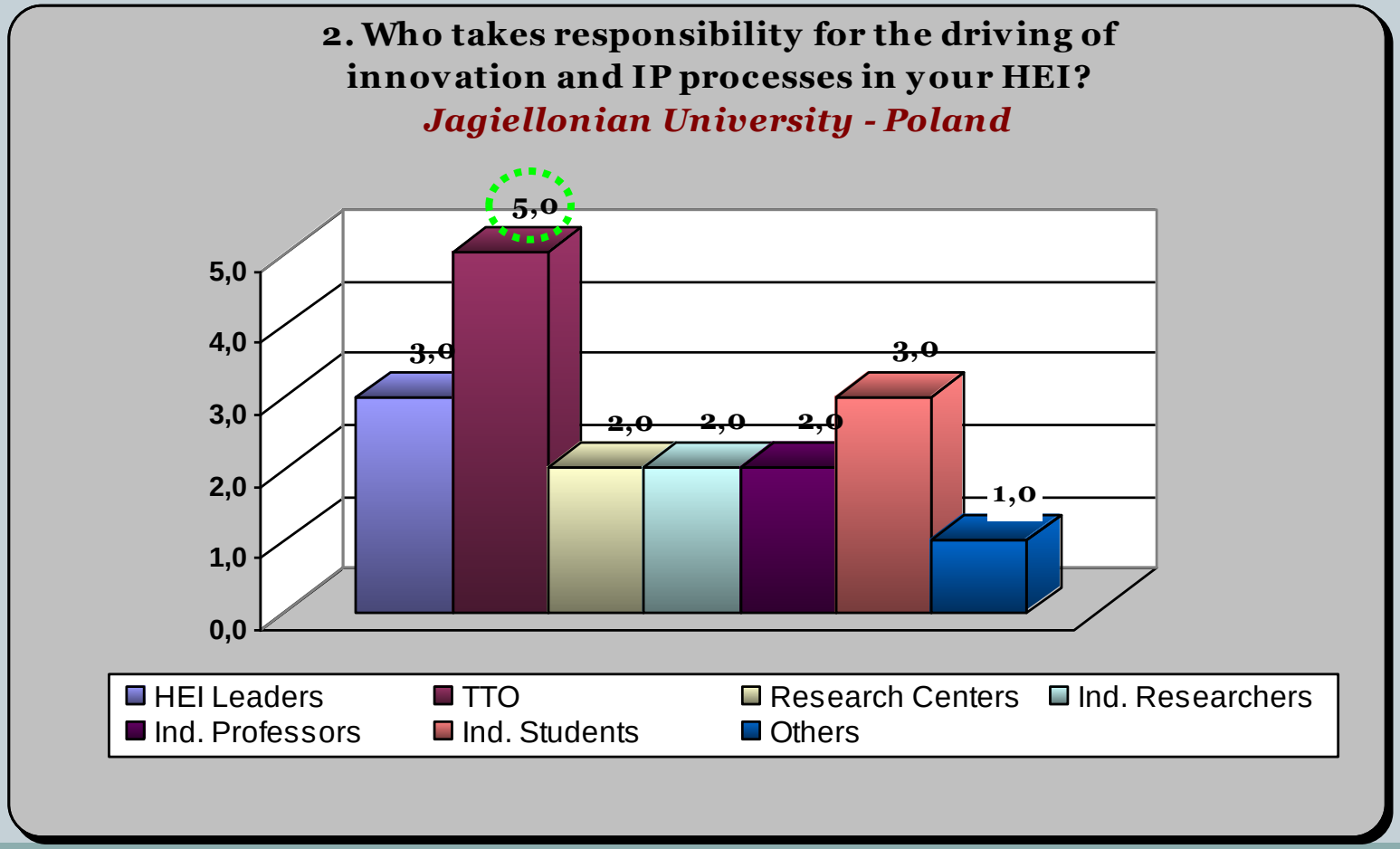
2. Who takes responsibility for the driving of innovation and IP processes in your HEI?

Average of All Interviewed Universities



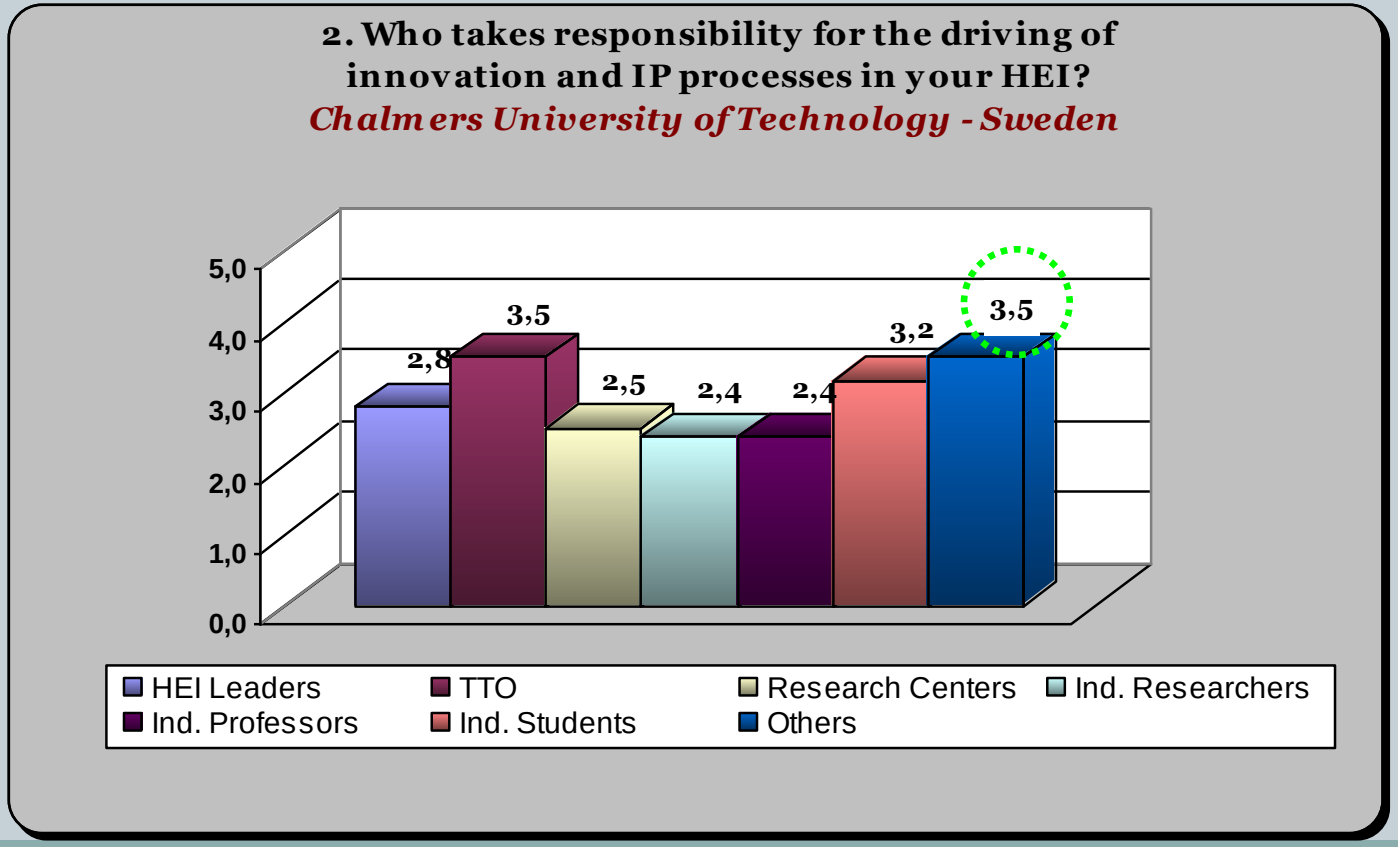
Culture for Innovation – Q2 – UJ Poland

- At UJ Poland – the TTO takes full responsibility



Culture for Innovation – Q2 – Sweden

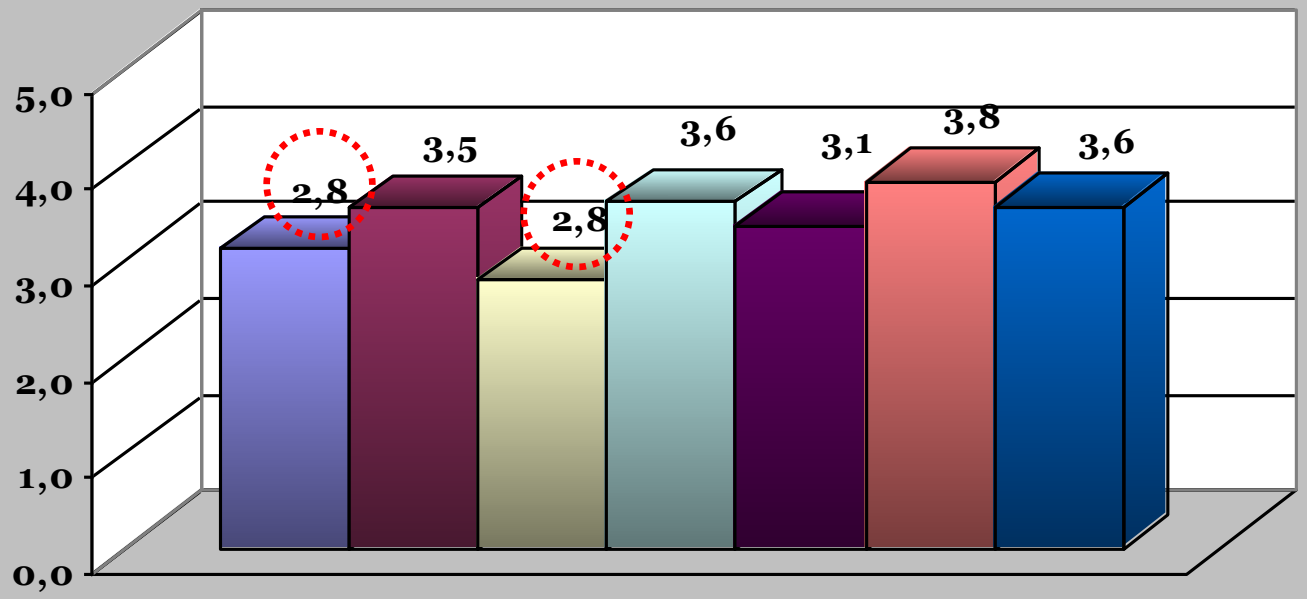
- In Sweden – many different innovation system actors take responsibility for innovation at the University
  - E.g. Innovation bridge, Regional Government, ALMI Business Partner, Innovationskapital



Culture for Innovation – Q3 - Average

3. To what extent do you have the resources you need to drive and manage innovation & IP?

Average of Consortium Members

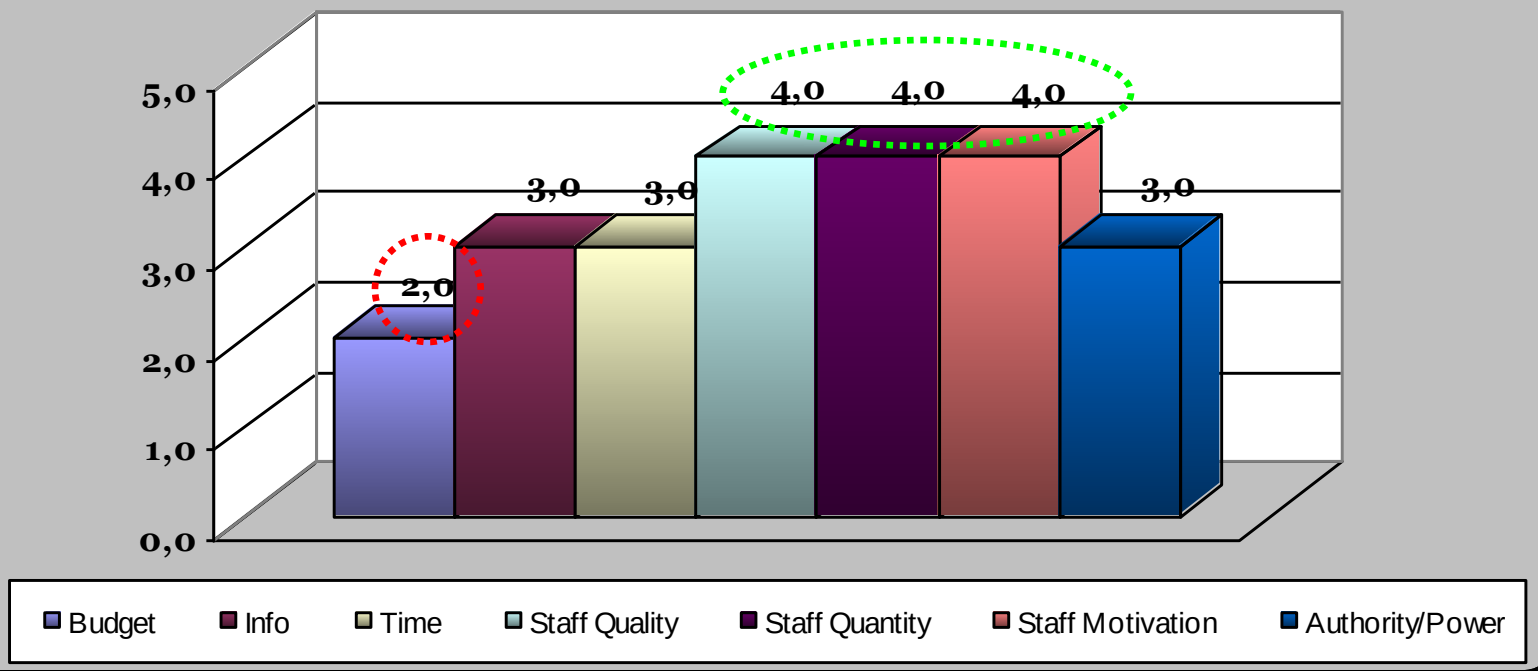


Culture for Innovation – Q3 – China

- KUST – has sufficient competent and motivated staff – but lacks budget

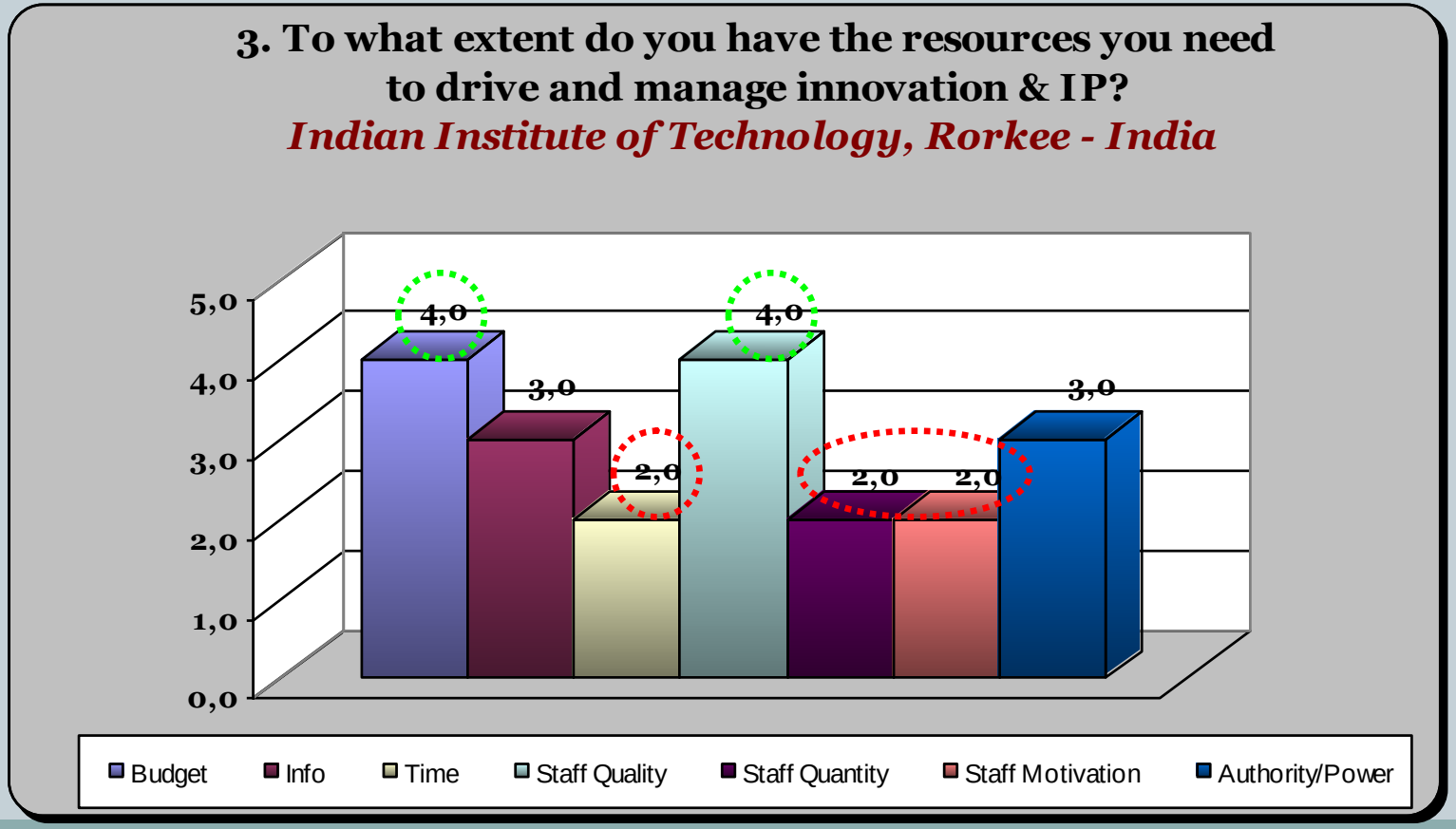
3. To what extent do you have the resources you need to drive and manage innovation & IP?

Kunming University of Science & Technology - China

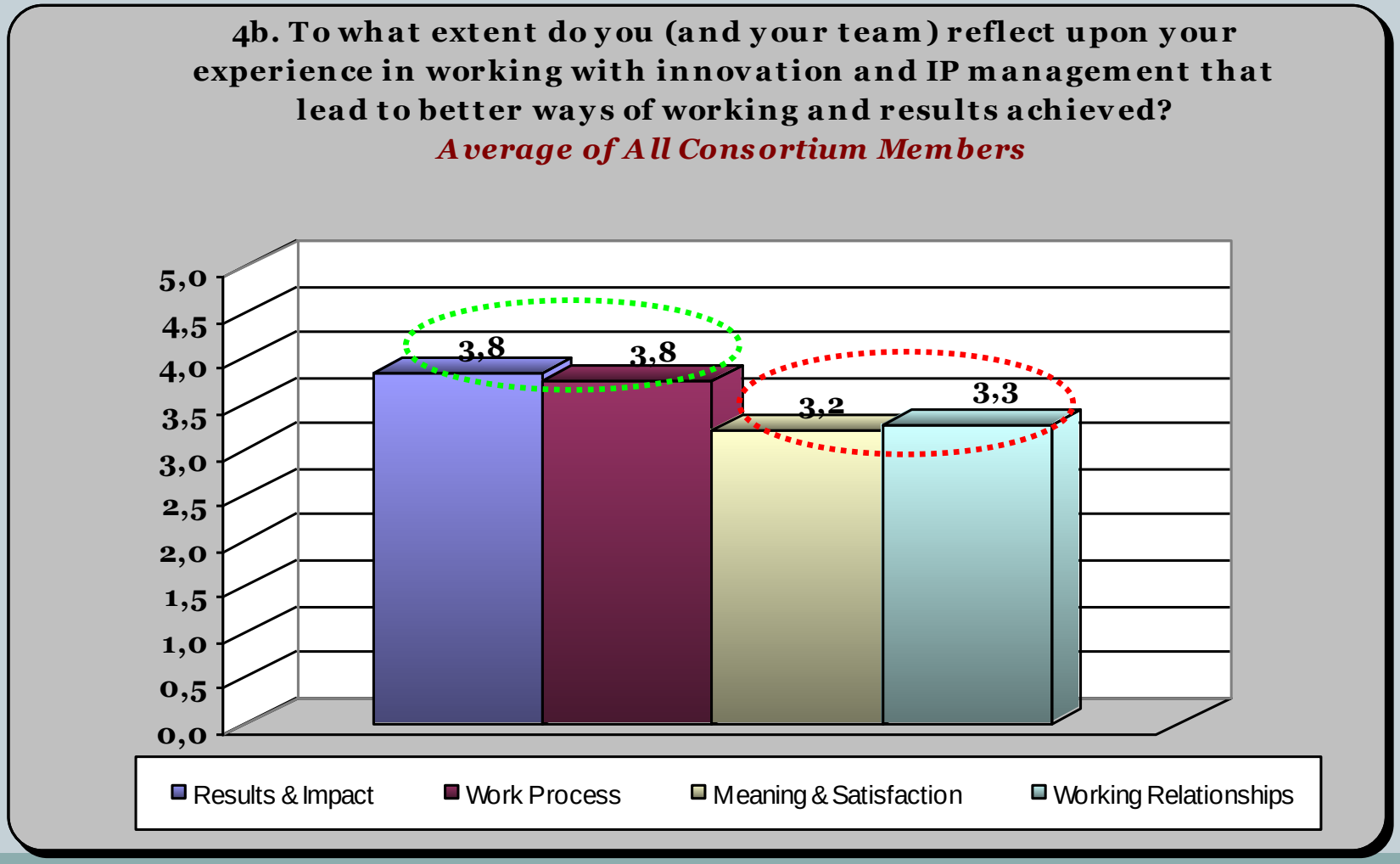


Culture for Innovation – Q3 – India

- ITR – has sufficient budget and their staff is competent – but they don't have enough staff, the staff is not motivated and they lack time



Culture for Innovation – Q4b - Average



Reference – for more infomation

The final output:

- A Report presenting an in-depth analysis of how HEIs manage Innovation and IP – with many concrete examples
- Key sections of the report:
  - Background, Goals, Theoretical perspective, Methodology
  - National Environment for Innovation and IP
  - HEI Missions, Strategies, Policies and Regulations
  - HEI Innovation Systems – Organizations and Units
  - HEI Innovation Activities and Practices
  - HEI Historical Indicators
  - HEI Culture for Innovation
  - Assessment and Conclusions
- Full report available at the IP Unilink homepage: **www.ip-unilink.net**

Thank you for your attention!

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