

Question One: What percentage of litigation or enforcement costs was recovered from licensees?

Table 5.1: What percentage of litigation or enforcement costs was recovered from licensees?

	Mean	Median	Minimum	Maximum
Entire Sample	10.17	0.00	0.00	100.00

Table 5.2: What percentage of litigation or enforcement costs was recovered from licensees? Broken out by country.

Country	Mean	Median	Minimum	Maximum
USA	12.78	0.00	0.00	100.00
Other	1.36	0.00	0.00	10.00

Table 5.3: What percentage of litigation or enforcement costs was recovered from licensees? Broken out by enrollment.

Enrollment	Mean	Median	Minimum	Maximum
Under 10,000	13.75	0.00	0.00	100.00
10,000 to 19,999	0.00	0.00	0.00	0.00
20,000 to 29,999	7.27	0.00	0.00	50.00
30,000 and Above	48.75	47.50	0.00	100.00
Hospital	0.00	0.00	0.00	0.00

Table 5.4: What percentage of litigation or enforcement costs was recovered from licensees? Broken out by technology area.

Technology Area	Mean	Median	Minimum	Maximum
Energy	2.50	0.00	0.00	10.00
Medical	16.47	0.00	0.00	100.00
Engineering and Informatics	0.00	0.00	0.00	0.00
Mining, Materials & Agriculture	0.00	0.00	0.00	0.00

Table 5.5: What percentage of litigation or enforcement costs was recovered from licensees? Broken out by what the technology transfer office serves.

Institution	Mean	Median	Minimum	Maximum
A specialized unit or college such as a medical school or engineering college	0.00	0.00	0.00	0.00
Major research university	12.81	0.00	0.00	100.00
A college or university that is not a major research university	2.00	0.00	0.00	10.00

Table 5.6: What percentage of litigation or enforcement costs was recovered from licensees? Broken out by the number of full time employees in the technology transfer office in 2009.

# of Employees	Mean	Median	Minimum	Maximum
3 or Fewer	0.00	0.00	0.00	0.00
4-7	5.00	0.00	0.00	50.00
8-13	0.18	0.00	0.00	0.90
14 or more	36.88	0.00	0.00	100.00

Question Two: How many non-US patents has the office filed in the past two years?

Table 5.7: How many non-US patents has the office filed in the past two years?

	Mean	Median	Minimum	Maximum
Entire Sample	30.66	7.50	0.00	325.00

Table 5.8: How many non-US patents has the office filed in the past two years? Broken out by country.

Country	Mean	Median	Minimum	Maximum
USA	28.17	6.50	0.00	325.00
Other	38.13	12.50	2.00	150.00

Table 5.9: How many non-US patents has the office filed in the past two years? Broken out by enrollment.

Enrollment	Mean	Median	Minimum	Maximum
Under 10,000	10.00	5.00	2.00	25.00
10,000 to 19,999	17.23	8.00	0.00	77.00
20,000 to 29,999	57.50	35.00	5.00	150.00
30,000 and Above	3.50	3.50	0.00	7.00
Hospital	83.75	5.00	0.00	325.00

Table 5.10: How many non-US patents has the office filed in the past two years? Broken out by technology area.

Technology Area	Mean	Median	Minimum	Maximum
Energy	27.75	5.50	0.00	100.00
Medical	39.83	12.50	0.00	325.00
Engineering and Informatics	15.86	7.00	0.00	77.00
Mining, Materials & Agriculture	14.00	10.00	2.00	30.00

Table 5.11: How many non-US patents has the office filed in the past two years? Broken out by what the technology transfer office serves.

Institution	Mean	Median	Minimum	Maximum
A specialized unit or college such as a medical school or engineering college	87.50	10.50	4.00	325.00
Major research university	26.09	8.00	0.00	150.00
A college or university that is not a major research university	6.20	6.00	0.00	10.00

Table 5.12: How many non-US patents has the office filed in the past two years? Broken out by the number of full time employees in the technology transfer office in 2009.

# of Employees	Mean	Median	Minimum	Maximum
3 or Fewer	4.80	5.50	0.00	10.00
4-7	22.50	8.50	0.00	100.00
8-13	86.25	9.00	2.00	325.00
14 or more	53.00	40.50	20.00	150.00

Question Three: Describe your efforts to monitor legal costs: Have costs gone up or down in recent years? What do you expect in the near future? Have you implemented plans to control or lower legal costs? What do you recommend to your peers?

1. Cost has gone up in recent years. We expect cost to go down. Yes we have implemented plans to lower cost. We hired a lawyer on staff in an effort to cut the cost of outside counsel.
2. Patent costs are closely monitored at each step in the prosecution.
3. File, do market analysis, then at 1 yr decide to continue or not.
4. Costs are growing and will continue to grow. Improving collection of reimbursable legal costs from licensees.
5. Hired patent licensing agent as permanent employee in organization; discontinuing patents that are not producing income; re-evaluating what patents to prosecute.
6. We have capped legal costs; negotiated fixed "cafeteria" rates with our law firms; reduced the number of law firms; moved the go-no go decision earlier in the process; patenting less.
7. Costs are stable. We file fewer patents and aggressively seek recovery through licensing, options, and sponsored research.
8. Review tender every 2 years for retained patent attorney.
9. Costs have gone up and will continue to do so in the future. We are trying to make decisions on a more timely basis to avoid extension and Continuation fees as well as requiring our licensees to pay these fees.
10. Costs have increased and will continue to increase. We try to manage costs by filing our own provisional applications, using many firms with varying skill sets and abandoning patent applications that are not being licensed.
11. Legal fees are stable.
12. Extensive. Grown slightly. Significant cost control plan 4 years old now. Use primarily 4 firms, deep discounts in rates, with aggressive caps for categories of service. Early assessment on going forward with full patents, aggressive pruning of older unlicensed cases
13. Recent effort with Procurement Office to narrow number of firms and negotiate lower rates. Long-term and volume engagement/commitments being considered, but not yet enacted.
14. Weekly review by patent paralegal.

15. We have a formal policy that is communicated to our external legal counsel. We encourage fixed price transactions. Costs are escalating. We intend to ask our faculty to help limit low value ownership claims.
16. Cost control measures being put in place. Having quality, clear, specific, objective disclosures before engaging legal counsel. Carefully assess commercial prospects and the value of IP in following through on those prospects before initiating patent filings.
17. We try to obtain costs up front for work on licenses/contracts and also on patent filings. We also tend to avoid litigation if possible. Costs have gone up in recent years due to the increase the size of our patent portfolio so we have has to be more diligent in which patents we file a priority application for.
18. Costs will continue to rise. We always monitor costs and consider our options. However, constantly changing lawyers in order to drive down costs is a false economy. In these matters you need a close and good relationship with the lawyers who understand your business and this is not achievable by chopping and changing. These are strategic decisions for the University if it wants to continue to engage in TT activities.
19. Expenses have gone down, better invention disclosure evaluation and triage.
20. Net costs have stayed fairly stable, we monitor closely typically by quarter. Would expect the same as our budget has not increased (total costs go up but we manage to the net cost).
21. Costs have gone up. There is a new plan to control costs.
22. Up and we expect the trend to continue unless we do more in-house patent drafting and filing.
23. Costs have gone up significantly because of extended required responses to USPTO. We expect them to continue to rise for this reason. Lowering costs by hiring patent agent and negotiating fixed-price patent services from law firms.
24. Based on AUTM stats, our patent costs are relatively lower than other universities based on research expenditures and disclosures. We've further significantly reduced legal costs; filing our own provisionals and doing own assignment recordation & maintenance.
25. Implemented new cost forecasting, patent decision mechanisms. All costs saved to be re-invested in patent budget.
26. Down. Improve monitoring via database.

Question Four: How much did the technology transfer office pay for outside law firms in 2009?

Table 5.13: How much did the technology transfer office pay for outside law firms in 2009?

	Mean	Median	Minimum	Maximum
Entire Sample	\$924,703.03	\$350,000.00	\$11.00	\$6,100,000.00

Table 5.14: How much did the technology transfer office pay for outside law firms in 2009? Broken out by country.

Country	Mean	Median	Minimum	Maximum
USA	\$1,072,665.67	\$449,000.00	\$11.00	\$6,100,000.00
Other	\$530,136.00	\$55,000.00	\$224.00	\$3,400,000.00

Table 5.15: How much did the technology transfer office pay for outside law firms in 2009? Broken out by enrollment.

Enrollment	Mean	Median	Minimum	Maximum
Under 10,000	\$622,978.57	\$350,000.00	\$30,000.00	\$1,500,000.00
10,000 to 19,999	\$696,611.58	\$181,000.00	\$224.00	\$6,100,000.00
20,000 to 29,999	\$1,238,857.14	\$752,000.00	\$20,000.00	\$3,400,000.00
30,000 and Above	\$2,367,666.67	\$700,000.00	\$403,000.00	\$6,000,000.00
Hospital	\$505,002.75	\$110,000.00	\$11.00	\$1,800,000.00

Table 5.16: How much did the technology transfer office pay for outside law firms in 2009? Broken out by technology area.

Technology Area	Mean	Median	Minimum	Maximum
Energy	\$133,257.50	\$66,509.50	\$11.00	\$400,000.00
Medical	\$1,360,242.50	\$700,000.00	\$20,000.00	\$6,100,000.00
Engineering and Informatics	\$160,870.67	\$146,000.00	\$224.00	\$403,000.00
Mining, Materials & Agriculture	\$604,032.00	\$562,096.00	\$350,000.00	\$900,000.00