AGENCY ANNUAL REPORT ON FEDERAL LABORATORY TECHNOLOGY TRANSFER -- In Response to the Technology Transfer Commercialization Act of 2000 (P.L. 106-404)

TEMPLATES FOR DATA TABLES

The templates below correspond to the principal data tables envisioned by the "Guidelines for the Agency Annual Report" under the TTCA.

Agencies may wish to transfer copies of these tables to a text file for use in preparing the annual report. Also, expansions or format modifications of the templates can be done, where appropriate to to meet an agency's specific needs.

■ Collaborative Relationships for Research & Development

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012
• **CRADAs**, total active in the FY[(1)]	112	112	67	84	92
- New, executed in the FY	49	83	33	26	22
▪ Traditional CRADAs,[(2)] total active in the FY	74	51	50	54	63
- New, executed in the FY	17	22	16	12	10
▪ Non-traditional CRADAs,[(3)] total active in FY	38	61	17	30	29
- New, executed in the FY	32	61	17	14	12
• **Other collaborative R&D relationships**					
▪ (specify as relevant), total active in the FY					
- New, executed in the FY					
....add other rows as needed					

CRADA = Cooperative Research and Development Agreement

(1) "Active" = legally in force at any time during the FY. "Total active" is comprehensive of all agreements executed under CRADA authority (15 USC 3710a).
(2) CRADAs involving collaborative research and development by a federal laboratory and non-federal partners.
(3) CRADAs used for special purposes -- such as, material transfer or technical assistance that may result in protected information.

n/a = Data not available from agency at time of this report. -- = Data not requested from agency in previous years' reports. (notes for use if needed)

(NOTES ON TABLE PREPARATION:
Add other interpretive notes as needed.
Please list "0" if there are no non-traditional CRADAs. No entries needed in the "Other collaborative R&D relationships" row if these are not used by the agency.)

■ Invention Disclosure and Patenting

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012
• New inventions disclosed in the FY[(1)]	9	8	5	8	18
• Patent applications filed in the FY[(2)]	6	3	3	8	10
• Patents issued in the FY	4	9	9	12	17

(1) Inventions arising at the federal lab.
(2) Tally includes: U.S. patent applications, foreign patent applications filed on cases for which no U.S. application was filed, divisional applications, and continuation-in-part applications. Excludes: provisional, continuation, duplicate foreign, and PCT applications.

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(NOTES ON TABLE PREPARATION:
Agencies can certainly add rows to provide additional data deemed relevant for describing the active intellectual property portfolio.)

■ Licensing

Profile of Active Licenses

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012
• **All licenses**, number total active in the FY[(1)]	37	40	37	45	42
▫ New, executed in the FY	2	3	2	6	2
▪ **Invention licenses**, total active in the FY	37	40	37	45	42
▫ New, executed in the FY	2	3	2	6	2
- Patent licenses,[(2)] total active in FY	37	40	37	45	42
▫ New, executed in the FY	2	3	2	6	2
- Material transfer (inventions), total active in FY	0	0	0	0	0
▫ New, executed in the FY	0	0	0	0	0
- Other invention licenses,[(3)] total active in FY	0	0	0	0	0
▫ New, executed in the FY	0	0	0	0	0
▪ **Other IP licenses**, total active in the FY	0	0	0	0	0
▫ New, executed in the FY	0	0	0	0	0
- Copyright licenses (fee bearing)	0	0	0	0	0
▫ New, executed in the FY	0	0	0	0	0
- Material transfer (non-inv.), total active in FY	0	0	0	0	0
▫ New, executed in the FY	0	0	0	0	0
- Other [(4)]	0	0	0	0	0
▫ New, executed in the FY	0	0	0	0	0

Multiple inventions in a single license are counted as one license. Licenses that include both patents and copyrights (I.e., hybrid licenses) are reported as patent licenses -- and not included in the count of copyright licenses.

(1) "Active" = legally in force at any time during the FY.
(2) Patent license tally includes patent applications which are licensed.
(3) ..... (provide note if needed; delete, if not)
(4) ..... (provide note if needed; delete, if not)

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(NOTES ON TABLE PREPARATION:
If footnotes (3) or (4) are needed, please briefly list the kinds of licenses included under either "other.")

Profile of Active Licenses (cont.)

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012
• **All income bearing licenses**, number	37	40	37	42	39
▫ Exclusive	7	8	7	9	10
▫ Partially exclusive	2	2	2	3	4
▫ Non-exclusive	28	30	28	30	25
▪ **Invention licenses**, income bearing	37	40	37	42	39
▫ Exclusive	7	8	7	9	10
▫ Partially exclusive	2	2	2	3	4
▫ Non-exlusive	28	30	28	30	25
- Patent licenses,[1] income bearing	37	40	37	42	39
▫ Exclusive	7	8	7	9	10
▫ Partially exclusive	2	2	2	3	4
▫ Non-exlusive	28	30	28	30	25
▪ **Other IP licenses**, income bearing	0	0	0	0	0
▫ Exclusive	0	0	0	0	0
▫ Partially exclusive	0	0	0	0	0
▫ Non-exlusive	0	0	0	0	0
- Copyright licenses (fee bearing)	0	0	0	0	0
▫ Exclusive	0	0	0	0	0
▫ Partially exclusive	0	0	0	0	0
▫ Non-exlusive	0	0	0	0	0
• **All royalty bearing licenses**,[2] number	37	40	37	42	39
▪ **Invention licenses**, royalty bearing	37	40	37	42	39
- Patent licenses,[1] royalty bearing	37	40	37	42	39
▪ **Other IP licenses**, royalty bearing	0	0	0	0	0
- Copyright licenses (fee bearing)	0	0	0	0	0

In general, license income can result from various sources: license issue fees, earned royalties, minimum annual royalties, paid-up license fees, and reimbursement for full-cost recovery of goods and services provided by the lab to the licensee including patent costs.

(1) Patent license tally includes patent applications which are licensed.
(2) Note that royalties are one component of total license income.

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(NOTES ON TABLE PREPARATION:
To keep the proliferation of data calls down, the only license sub-classifications included are patent licenses and copyright licenses. Nonetheless, the totals for Invention licenses and Other IP licenses are presumed to include all the license types identified in the previous table.)

Licensing Management

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012
• **Number of licenses**					
▪ **Invention licenses**, total active in the FY	37	40	37	45	42
▫ New, executed in the FY	2	3	2	6	2
• **Elapsed execution time,**[1] licenses granted in FY					
▪ **Invention licenses**					
▫ average (months)	6	6	6	5	24
▫ minimum (months)	3	3	3	3	1
▫ maximum (months)	12	12	12	9	48
- Patent licenses[2]					
▫ average (months)	6	6	6	5	24
▫ minimum (months)	3	3	3	3	1
▫ maximum (months)	12	12	12	9	48
• **Licenses terminated for cause,** in the FY					
▪ **Invention licenses**	1	1	0	0	0
- Patent licenses[2]	1	1	0	0	0

Data in this table (intentionally) addresses only invention licenses -- with patent licenses distinguished as a subclass.

(1) Date of license application to the date of license execution. (Date of license application is the date the lab formally acknowledges the written request for a license from a prospective licensee and agrees to enter into negotiations.)
(2) Patent license tally includes patent applications which are licensed.

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(NOTES ON TABLE PREPARATION:
Number of licenses in the first three rows repeats data from an earlier table.
In the general case, more than one new license will be executed in the FY. Thereby, the statistics will involve a a distribution of license execution times. Accordingly, the relevant descriptors are: average, minimum, and maximum elapsed times. A median is likely a better statistic than average if the distribution of times is unpeaked, skewed, or otherwise irregular. Use of a median is ok, if deemed more appropriate, but text in the table should be revised as such.)

License Income

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012
• **Total income**, all licenses active in FY [1]	$1,038,451	$848,554	$535,614	$382,843	$727,277
▪ **Invention licenses**	$1,038,451	$848,554	$535,614	$382,843	$727,277
- Patent licenses [2]	$1,038,451	$848,554	$535,614	$382,843	$727,277
▪ **Other IP licenses**, total active in the FY	$0	$0	$0	$0	$0
- Copyright licenses	$0	$0	$0	$0	$0
• **Total Earned Royalty Income** (ERI) [3]	$295,868	$255,054	$196,614	$135,343	$201,263
▫ Median ERI	$5,307	$7,885	$3,983	$2,541	$3,602
▫ Minimum ERI	$233	$1,042	$27	$39	$18
▫ Maximum ERI	$110,095	$77,449	$49,096	$44,130	$61,833
▫ ERI from top 1% of licenses	$110,095	$77,449	$49,096	$44,130	$61,833
▫ ERI from top 5% of licenses	$110,095	$123,742	$49,096	$44,130	$61,833
▫ ERI from top 20% of licenses	$194,714	$173,324	$130,924	$79,267	$103,458
▪ **Invention licenses,** total ERI	$295,868	$255,054	$196,614	$135,343	$201,263
▫ Median ERI	$5,307	$7,885	$3,983	$2,541	$3,602
▫ Minimum ERI	$233	$1,042	$27	$39	$18
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▫ ERI from top 20% of licenses	$194,714	$173,324	$130,924	$79,267	$103,458
- Patent licenses,[2] total ERI	$295,868	$255,054	$196,614	$135,343	$201,263
▫ Median ERI	$5,307	$7,885	$3,983	$2,541	$3,602
▫ Minimum ERI	$233	$1,042	$27	$39	$18
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▫ ERI from top 1% of licenses	$110,095	$77,449	$49,096	$44,130	$61,833
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▫ ERI from top 20% of licenses	$194,714	$173,324	$130,924	$79,267	$103,458
▪ **Other IP licenses**, total ERI	$0	$0	$0	$0	$0
▫ Median ERI	$0	$0	$0	$0	$0
▫ Minimum ERI	$0	$0	$0	$0	$0
▫ Maximum ERI	$0	$0	$0	$0	$0
▫ ERI from top 1% of licenses	$0	$0	$0	$0	$0
▫ ERI from top 5% of licenses	$0	$0	$0	$0	$0
▫ ERI from top 20% of licenses	$0	$0	$0	$0	$0
- Copyright licenses, total ERI	$0	$0	$0	$0	$0
▫ Median ERI	$0	$0	$0	$0	$0
▫ Minimum ERI	$0	$0	$0	$0	$0
▫ Maximum ERI	$0	$0	$0	$0	$0
▫ ERI from top 1% of licenses	$0	$0	$0	$0	$0
▫ ERI from top 5% of licenses	$0	$0	$0	$0	$0
▫ ERI from top 20% of licenses	$0	$0	$0	$0	$0

Note: To ensure consistent categorization of royalty income, data from FY 2008 to FY 2012 have been verified to reflect annual royalty payments in the "other" category versus the "earned royalty income" category.

(1) Total income includes license issue fees, earned royalties, minimum annual royalties, paid-up license fees, and reimbursement for full-cost recovery of goods and services provided by the lab to the licensee including patent costs.
(2) Patent license tally includes patent applications which are licensed.
(3) "Earned royalty" = royalty based upon use of a licensed invention (usually, a percentage of sales or of units sold). Not a license issue fee or a minimum royalty.

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(NOTES ON TABLE PREPARATION:
Some of the entries will be sums of rows below. Note, however, that where distributions are involved, the "summing" process will require an appropriate statistical weighting. That is, start with a list of all royalty-producing licenses, ranked by the level of earned royalties received in the FY. Then, report the sum of revenue in the FY from the top 1% on the list, from the top 5%, and so on.
The statute makes it clear that reporting these distributional statistics can be suspended if such information would inappropriately reveal the amount of royalty income associated with an individual license or licensee.
To keep the proliferation of data calls down, the only license sub-classifications included are patent licenses and copyright licenses. Nonetheless, the totals for Invention licenses and Other IP licenses are presumed to include all the license types identified earlier.)

Disposition of License Income

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012
• **Income distributed** [1]					
▪ **Invention licenses**, total distributed	$1,038,451	$848,554	$535,614	$382,843	$727,277
- To inventors	$179,248	$646,262	$188,520	$222,198	$206,684
-To other[2]	$859,203	$202,292	$347,094	$160,645	$520,593
- Patent licenses,[3] total income distributed	$1,038,451	$848,554	$535,614	$382,843	$727,277
- To inventors	$179,248	$646,262	$188,520	$222,198	$206,684
-To other[2]	$859,203	$202,292	$347,094	$160,645	$520,593

Data in this table (intentionally) addresses only invention licenses -- with patent licenses distinguished as a subclass.

(1) Income includes royalties and other payments received during the FY.
(2) Please provide a note indicating the categories of recipients included in "to other"
(3) Patent license tally includes patent applications which are licensed.

n/a = Data not available from agency at time of this report. -- = Data not requested from agency in previous years' reports. (notes for use if needed)

(NOTES ON TABLE PREPARATION:
It is recognized that in general there is not a balance between income and expenditures in any given FY. It is also recognized that agencies may not have full reporting from the labs on the use of funds. Accordingly, the agency should respond as best it can with the information available.
Also, in previous year's reporting cycle, some agencies provided substantial detail for categories of income disposition other than "to inventors." However, the agencies differed widely on the categories each used. Note (2) above provides an avenue for further disaggregation of "to other" such as the agency judges appropriate.)

■ Other Performance Measures Deemed Important by the Agency

Reporting data under this heading will depend on what, if any, such measures the agency elects to provide.

In the general case, it may be best to present this information as a separate Other Performance Measures table (as below). Alternatively, it may be better to introduce this information as added data rows at appropriate points in one or more the tables further above.

Other Performance Measures

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012
..... Insert as many rows as needed					

(1) .....(add notes as needed)

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(NOTES ON TABLE PREPARATION:
Provide whatever interpretative notes that may be warranted to assist readers in understanding the nature of the measures/data rows included.)

■ Downstream Outcomes from Technology Transfer Activities - See Attachment 1

Textual rather than tabular format for this kind of information. See Guidelines for discussion and citations to examples.