

Day 1: Setting up an IP focused technology transfer support at National, University of Faculty level: Establishing the necessary framework conditions.

Understanding and being able to clearly regulate the ownership of research results produced using public funding is a pre-requisite for their successful protection and commercialisation. Claim to ownership is typically laid out in a **national law** and is normally the employer although in some countries a system called ‘professors privilege’ assigns ownership to the individual researchers. Such legislation also sometimes lays out a minimum level of reward for an inventor if an invention is owned by and successfully commercialised by the employer.

When national law assigns ownership rights to the employer then it is Good Practice to have an associated by-law, (an **‘IP Policy’**) that deals with issues that will arise at institutional level. These include the responsibilities of the researchers e.g. to report their research results and to assist in their successful transfer, and the responsibilities of the organisation e.g. to take reasonable steps to protect the results and to commercialise them. Most IP Policies also deal with how any rewards will be divided between researcher and their employer if the commercialisation is successful.

IP Policies from PROs across the world deal with the same core set of issues. However, how they deal with them varies considerably. The success of developing and implementing an IP Policy is highly dependent on existing internal and external conditions as well as the prevailing culture of an organisation and the appetite and willingness to change.

This one day workshop has been designed to introduce the main issues inherent in developing an IP Policy at an institution. It will use numerous real examples to illustrate how and why different groups have dealt with what can be quite emotive issues. Historical and contemporary examples from the EU and the region will be used to help participants understand what can go right and wrong!

The workshop will end with a session where each participant can bring specific issues from their own country and organisation to the table so they can be shared with others in a similar position and discussed with the trainers.

Examples will be given from the regional and wider international community on how different Public Research Organisations (PROs) have addressed the main issues in order to set up a framework that legitimises, encourages and rewards technology transfer by the academic community. Newer models related to **‘IP Open Access’** and **‘research commons approach’** will be used to challenge established norms and show that one size does not fit all and that models continue to evolve. Finally, examples of ‘Poorer Practice’ and ‘Lessons Learned’ will also be discussed.

Content:

- IP Ownership – regulating the issue at national level
- IP Policy - understanding and addressing the main issues at institutional level
- Implementing a policy – what resources and activities are needed to move from theoretical to the practical implementation with clear impact on technology transfer.
- Recent developments in IP policy for certain research sectors

Learning outcomes: As a result of attending this one day workshop participants should understand the main issues inherent in developing a robust IP Policy and have insights in to different approaches based on examples from the EU and USA. They should feel confident to start drafting an IP policy for their home institution.

Target audience

This day is particularly relevant for any group trying to establish a technology transfer unit at their Faculty, Institute or University and who needs to understand the underlying legal issues. It will also be of benefit to those from policy organisations who are dealing with national policy and legislation to encourage innovation and technology transfer from PROs.

Day 2: Supporting knowledge exchange: developing a strategic roadmap and planning for long term implementation.

Introduction

Contract Research and Advisory Services can play an important role in helping PROs to share their specialized knowledge, equipment and facilities with enterprises who want to innovate. Taking a strategic approach to this activity can benefit a public research organisation in a wide variety of sometimes unexpected ways; these include demonstrating the relevance of the research group to a wider stakeholder group, diversifying funding streams that can then be used to improve and maintain equipment or support an independence research strategy, improving the relevance of the undergraduate teaching curriculum and laying the ground for more collaborative research partnerships with innovative enterprises including as partners for national and EU funding grant schemes.

However, most faculties and research institutes in the Western Balkans are still taking a very 'ad-hoc' approach to their contract research. Contacts are made mainly 'on a personal basis' rather than in a systematic way, legal and administrative support is low and there is no overall strategic plan for developing the activity.

This one day workshop will look at how a Faculty, Institute or University can develop a strategic roadmap for their contract research and then identify the resources needed to implement the plan.

The day will be strongly based around the data sets that each PRO has gathered regarding their contract research activities and will thus be based on 'learning by doing'. Each group will also have access to the 'Voice of the Customer' interviews carried out by EU4TECH.

Examples of different approaches to contract research and consultancy will be showcased including very centralised and regulated models ('top-down') to more personal and entrepreneurial approaches ('bottom up').

Each participating group will be supported to produce a strategic map that fits their own internal and external environment.

The day will conclude with a Q&A with the Head of a Research Services office or similar organisation from an EU MS PRO.

Content:

- The strategic role of contract research in technology transfer and knowledge exchange
- Developing your road-map
- Implementation planning
- Q&A

Learning outcomes: As a result of attending this one day workshop participants should feel able to complete a strategic roadmap for their organisation and present it to their managers. They should also have a robust methodology for both ongoing mapping for technology and a tool-kit for revising their roadmap.

Target audience

This workshop is aimed at the 15 units who participated in the EU4TECH Contract research mapping exercise. It will enable one or two individuals from each organisation to develop a customised mapping report and roadmap that can be shared with faculty/ institute/ university and used to make this activity part of a wider strategic development plan. Participants may also find the mapping report is useful as they prepare applications for some IPA funds.

Day 3: Fundamentals of technology transfer I: Understanding the main processes and activities.

Introduction

A number of groups in the WB6 are in the process of setting up or further developing their Technology Transfer activities. They are exploring new models and processes that have a stronger focus on assessment of research outputs and protection of strong results. This issue will become increasingly important as new funding instruments are launched e.g. to support Proof of Concept projects.

This one day workshop will focus on the main processes and activities that a good Technology Transfer unit will undertake to help researchers identify, protect valorise and then transfer their technology. This will include formal processes such a disclosure and evaluation and less formal methods including 'scouting' and use of technology fliers.

It will also introduce techniques and tools that can be used to help researchers refine their research at an earlier stage so that it is more likely to meet market needs and to results in a successful innovation. This will include technology benchmarking, development of a Lean/ Business Canvas and identification of an underlying business model and unique value proposition. Developing this tool kit will help people working in Innovation Centers and CTTs to have ways to engaged with researchers and to build trust and confidence in the tech transfer team.

Content:

- Main Technology Transfer processes, activities and tools
- Assessing and benchmarking technology
- Seeking market feedback
- Developing a lean/ Business Canvas and identifying a unique value proposition

Leaning outcomes: As a result of attending this one day workshop participants should have a basic tool-kit for assessing and evaluating technology and be able to plan further valorisation (increase of TRL) towards an emerging route to market.

Target audience

This workshop is designed for individuals who will be directly supporting the technology transfer process e.g. as part of a CTT or an Innovation Centre. The workshop is self contained but participants will find it useful to participate in Day 2.

Day 4: Fundamentals of technology transfer II: Licensing and spinoff (1/2 day)

Introduction

Licensing of technology – either in the form of a patent or codified ‘know-how’ is a central part of transferring technology and realising value for the owners and inventor. This is particularly true if the technology is an improvement on an existing product/ service and so had value to an existing company who are already set-up to manufacture and reach the appropriate customer base.

Licensing is also a global norm and licensing agreements all deal with the same central set of issues. However, actually negotiating a ‘win-win’ licensing deal is something that not many individuals have been involved with and this lack of direct experience can also reduce the willingness of a researcher to simply ‘hand-over’ their IPR to a CTT and trust that the CTT will be able to negotiate a good deal. No workshop can replace the real experience but this one is designed to help you to have a go!

For some technology opportunities a spinoff company is the better or only option for commercialisation. A company can be the preferred route to market if the potential strength and return from the technology justifies the additional complexity and risk of setting up a commercial venture, or if the technology is so new or disruptive that no company yet exists to licensing it to.

This one day workshop will look at how licensing and spinoff can be used as way to transfer mature technology out of the research environment.

The morning will cover the fundamentals of licensing technology to a third party followed by an opportunity to participate in a mock licensing negotiation.

This will be followed by a short session to examine how different PROs have approached spinoff over the years including those who have made equity based spinoff it a central part of their technology commercialisation strategy to those who have made a conscious decision not to involve the PRO directly, but to encourage and legitimise academic ‘start-up’ including by offering a recognised trademark to companies who have emerged from the PRO.

There will be an opportunity for all the PROs to discuss their own situation and to seek advice on how to address specific issues e.g. ‘conflict of interest’ and ‘initial equity splits’.

Content

- Introduction to licensing – understanding the anatomy of a licensing agreement
- Approaching a licensing negotiation
- Negotiating a license with an external company (Case study and group activity)
- Introduction to academic spinoff
- Best Practice examples and case studies in legitimizing and supporting the activity

Learning outcomes: As a result of attending this one day workshop participants should understand the fundamentals of a licensing contract and term sheet. They will be able to develop a negotiating strategy and understand the approach to carrying out multiple rounds of negotiations.

Participants will also understand the rationale for selecting a spinoff as the preferred route to market and have an over-view of different institutional practices with regard to institutions taking an equity stake or offering a formal endorsement to a spinoff.

Target audience

This workshop is designed for individuals who will be directly supporting the technology transfer process e.g. as part of a CTT or an Innovation Centre. The workshop is self contained but participants will find it useful to participate in Day 1.



Day 4 (Afternoon) Introduction to the EU4TECH mentoring activity and a possible JRC led Technology Transfer Circle for the Western Balkans

The final part of this 4 day workshop will lay the group for the EU4TECH mentoring activity including input in to a needs analysis and proposing an ideal profile for different potential mentor.

This will be followed by a JRC led discussion on the possibility of setting up a Technology Transfer Circle for the region. This might borrow aspects of good practice from both the national Polish PACTT initiative as well as the EU TTO Circle coordinated by JRO.

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