

Assessing and Improving Your Office's Performance



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Introducing Today's Presenters



Tony Raven, PhD
Cambridge Enterprise



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Knowledge Transfer Ireland



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Ascenion



Erin Rayment, PhD
Queensland University of Technology



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Transfer-Audit

A Joint Initiative „Innovation Factor University“
by Stifterverband and Heinz Nixdorf Foundation

Dr Christian Stein, CEO Ascenion GmbH

AUTM Webinar, April 20, 2021

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Transfer-Audit

What it is?

Development tool for universities and other academic institutions who want to further and develop their cooperation strategies with external partners (from business, politics, culture and the public sector).



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Transfer-Audit

What it provides?

- Strengthens transfer in all potential fields of University activities – in commercial exploitation of research results and in developing science and research, including human resources.
- Serves to establish guidance to structure and create the right environment for knowledge and technology transfer at academic institutions
- Provides innovative universities with the best possible support and advice in achieving their individually set goals and to offer a suitable development process to strengthen cooperation between business and science.



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How is it done?

The one-year Transfer Audit process consists of various steps

- ▶ A university project team is provided with external, experienced transfer experts from science, business and society.
- ▶ Together they analyze existing structures, processes and the results of cooperation relationships in relation to the strategic and operational goals of the university.



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How is it done?

The one-year Transfer Audit process consists of various steps

- ▶ On the basis of the analysis, the transfer audit offers universities the opportunity
 - to summarize individual activities and different developments in the transfer area in an overall context and structure, and
 - to generate a action-focused package of measures for panning out an institutional innovation strategy
- ▶ Institution-specific objectives and aims can be focused on
 - a particular field of research or teaching,
 - emphasize both, or one of the two focus areas (research/teaching).

How is it done?



What do you get?

Internal and external value for the academic institution

- University-wide awareness and engagement with KTT matters
- Action-focused, institution-specific results
- Opportunity to align individual activities and partial developments in one overall embedded perspective and strategy
- Preparation for federal funding initiatives to support extended strategy
- Exchange with and support from transfer experts

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Things to consider

- Considerable commitment necessary
 - Personnel: team of 12 people
 - Time: 12 months
- Long term commitment by Management is needed if Transfer Audit should make sense
- Measure is usually not initiated by KTT office itself but through University management or through external advice of stake holders (e.g. ministries and granting bodies)
- Costs are with 40-50 k€ relatively high



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Thank you for your attention

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Recognizing the profession

Alison Campbell

Director Knowledge Transfer Ireland
Past Chair AUTM



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TT today.....and more.....

- IP
- POC
- Licensing
- Start-up/spin-out
- E-ship
- Collaboration
- Strategic partnerships
- Corp partnership
- Consultancy
- Non-commercial engagement
- Marketing
- Comms
- In-reach & out-reach
- Seed funds
- Training
- Post deal management
- Compliance
- Reporting
- Funders – proposals, T&Cs
- Economic development
- Policy
- Strategy
- Working groups
- People management & development

We're in: Universities/Healthcare systems/Government labs/Charities/Industry.....

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The technology transfer profession is expanding and maturing globally

- The RTTP qualification was established to reflect this: **Recognized TT Professional**
- And to set the **international standard** for who we are and what we do
 - Before others outside the profession did it for us
- The qualification recognizing demonstration of what we have achieved
 - The training we have had taken
 - The contributions to the profession we have made
- 14 national TT associations are signed up

FOUNDERS:



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The 5 Core Competencies assessed to gain RTTP

- **Strategy & Business Insight**
 - strategic thinking; market-led, entrepreneurial approach; business and commercial skills
- **Entrepreneurial Leadership**
 - securing funding; leading negotiations; developing new ventures
- **Effective Engagement**
 - communication, collaboration and influencing
- **Legal and Technical Knowhow**
 - having the key legal, technical and domain related knowledge required to effectively transfer knowledge
- **Governance and Project Management**
 - developing major initiatives to support K/TT; managing knowledge and information flow; and developing and managing systems and processes for knowledge exchange

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RTTP who can apply?

- People who work in TT offices (or equivalent) and aligned organisations
 - Who are active in academic to business (A2B) commercialization and partnership
 - Who play a key role in achieving outcomes – and can demonstrate this
- For example leading on:
 - Third party collaborations
 - Complex and significant commercial deals (e.g. licensing, substantial consultancy arrangement(s), strategic partnership etc.)
 - The pre-investment phase of spin-out company creation
 - Projects which led to a significant technology transfer/ knowledge transfer/ knowledge exchange outcome

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Candidate RTTP – for entrants to the profession

- Signals that they have committed to a pathway of training and development leading to the award of full RTTP status.
- It indicates to employers that they are serious about their career and aspire to meet the highest standards.
- It demonstrates a supportive office environment for professional development
- Involves a Career Aspiration Plan
 - Includes the training/ experiences/ mentoring needed
 - Prepared either with the support of the Director, or a supervisor/ line-manager approved by the Director

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Professional recognition - why should it matter?

Personally

- ✓ Confirms achievement of core competencies
- ✓ Demonstrates
 - ✓ leadership of a complex tech transfer/knowledge transfer project
 - ✓ responsibility for significant achievements
 - ✓ contributions in the field
- ✓ An internationally portable qualification
- ✓ Your manager thought that you were good enough to invest in

Organizationally

- ✓ An objective standard that the office is staffed with good professionals
- ✓ Incentive to retain good people
- ✓ Helps the argument for greater training budgets

Nationally

- ✓ An objective assessment that provides evidence that investment in TT has been well made
- ✓ Gives comfort that investment in research is being looked after
- ✓ Another tool to internationally benchmark

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Thank you

✉ kti@knowledgetransferireland.com

🌐 www.knowledgetransferireland.com

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Customer Surveys to assess your office performance

Audience

20 April 2021

Dr Tony Raven

Chief Executive, Cambridge Enterprise

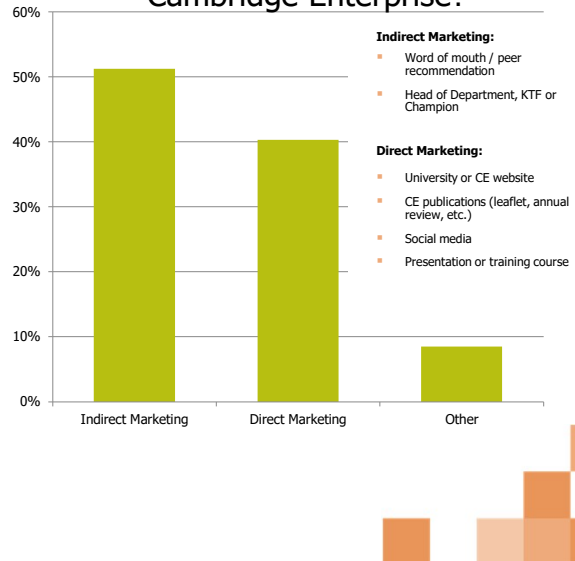


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Why academic customer surveys?

- The perception of our office by our academic colleagues is probably the biggest factor in institutional support for our activities.
- Surveys can provide evidence to counter the nay-sayers with loud voices
- They can provide good data on how to improve performance
- Despite all our traditional efforts *Word of Mouth* is still our most effective marketing tool

How did you first hear about Cambridge Enterprise?



User Perception Survey

- Repeated at 3-year intervals to generate longitudinal data
- Sent to all 5178 Researchers in the University
- A few simple quick questions <90s
- Anonymous option
- 18-day duration with 2 reminders
- Prize draw for three iPads for responders
- High response rate for a survey – 27%
- Response representative of campus and users/non-users

School	Survey responses		Population
	% resp.	% resp.	N
Clinical Medicine	28	29	1526
Biological Sciences	22	19	976
Physical Sciences	17	18	907
Technology	12	14	724
Arts and Humanities	7	7	379
Humanities and Social Sciences	11	12	629
Institutions independent of any school	0	1	37
Other / not known	3		
Total	100	100	5178

The questions *

1. In what context are you currently working?
2. Have you been involved in any of the following?
3. In your opinion does the University provide enough commercialisation etc support?
4. Which of these University services are you aware of?
5. Prior to completing this survey were you aware of Cambridge Enterprise?
6. How did you first hear about Cambridge Enterprise?
7. Which of the following Cambridge Enterprise services are you aware of?
8. Have you every used any of the following Cambridge Enterprise services?
9. When did you last engage with Cambridge Enterprise?
10. How would you rate your experience in your last engagement?
11. Based on your last experience, how likely are you to recommend Cambridge Enterprise to a peer or colleague?
12. Any other thoughts, observations or suggestions?

Awareness – some way to go!

Were you aware of us before this survey?

Yes	68%
No	32%

The (most interesting) results - 1

How likely are you to recommend us to a peer / colleague

Score 1-5	9%
Score 6-10	91%
Score 9-10	49%

VS

How did you first hear of us?

Informal recommendation	35%
Talk, lecture, presentation or training course	18%
University or Cambridge Enterprise website	14%
Head of Department etc	11%
Leaflet, Annual Review etc	3%
Third-party referral	2%
Social media	1%
Other	16%

The (most interesting) results - 2

Which services were you aware of?

Tech transfer	69%
Consultancy Support	65%
Seed Funds	45%

VS

Which services have you used?

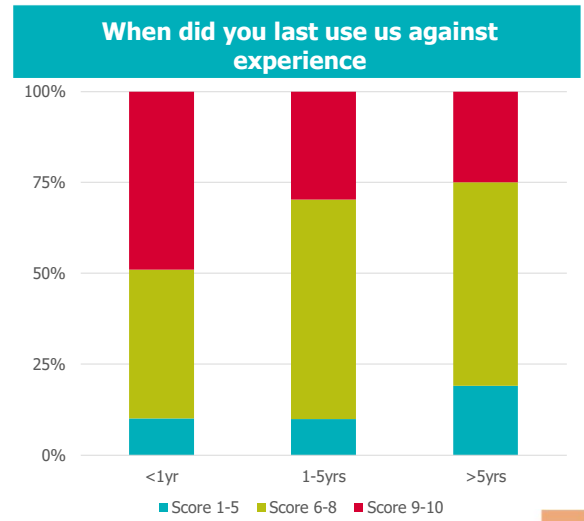
Tech transfer	49%
Consultancy Support	64%
Seed Funds	12%

The (most interesting) results -2

How would you rate your overall experience?

Score 1-5	10%
Score 6-10	90%
Score 9-10	42%

VS



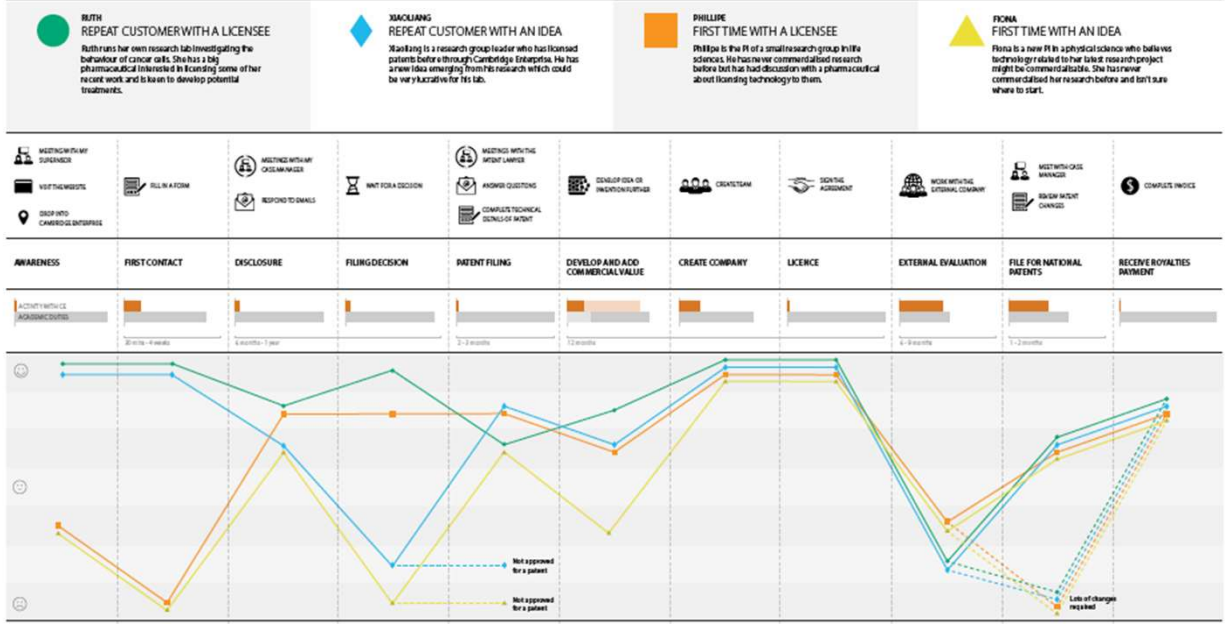
Customer Journey Mapping

Why customer journey mapping?

- Structured independent expert interviews (modernhuman.co)
- The survey tells you people's perception of us but not why they feel that way
- Customer journey mapping tells you about their journey with us, what they are thinking and feeling along the way and where the highs and lows are
- When we know the low-points we can address them and improve the overall experience

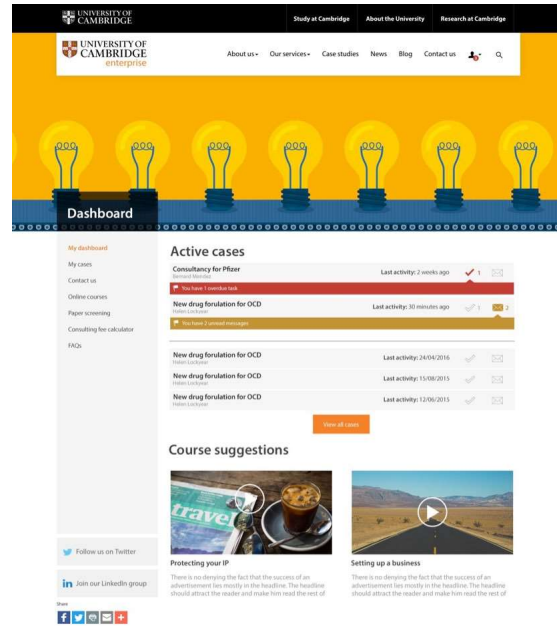


COMMERCIALISING AN IDEA WITH TECHNOLOGY TRANSFER



What have we learnt from it?

- Some of it came as a "flash of the blindingly obvious"!
- Understand that not all customers are the same, especially in first contact.
 - New modes of first contact
 - Identify which type of customer you are dealing with
- Low points are often associated with saying no
 - Introduced "How to say no" training.
- Knowing what is going on is important to them
 - Introducing an academic portal where they can follow what is happening without having to phone or email.



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Thank you!



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Question One

In what context are you currently working / studying at the University of Cambridge? Please select all that apply:

- a. Academic staff
- b. Support staff
- c. Post-doctorate
- d. Early-career researcher
- e. Student (including post-graduate)
- f. Other

Question Two

Have you been involved in any of the following? Please select all that apply:

- a. Undertaken any form of commercial activity
- b. Been involved in creating new knowledge
- c. Shared expertise and 'know-how' with external organisations or companies
- d. Worked on a start-up or early-stage company
- e. None of the above

Question Three

In your opinion, does the University provide enough entrepreneurial and commercialisation support for spin-out and start-up businesses, inventors and experts?

- a. Yes
- b. No
- c. Don't know

Please share any comments, below.



Question Four

Which of these University services are you aware of? Please tick all that apply.

- a. Technology transfer (working with academics and researchers to turn their ideas and inventions into patents, licences and research tools, e.g. software and reagents)
- b. Seed funding (helping with business plans, finding mentors or financial support to invest in or help start a company)
- c. Consultancy (helping academics and researchers to share their expertise and know-how)
- d. Other (free text)

Question Five

Prior to completing this survey, were you aware of Cambridge Enterprise?

- a. Yes
- b. No

If 'no', 'Thank you for completing this survey. Click here to find out more about how Cambridge Enterprise helps the University's innovators, experts and entrepreneurs make their ideas more commercially successful for the benefit of society, the economy, the individual and the University.'

Question Six

How did you first hear about Cambridge Enterprise?

- a. An informal recommendation (e.g. word of mouth)
- b. Peer recommendation
- c. Head of Department, Knowledge Transfer Facilitator, Enterprise Champion
- d. External or third-party referral
- e. University of Cambridge or Cambridge Enterprise website
- f. A Cambridge Enterprise leaflet, Annual Review or other publication
- g. Social Media
- h. A talk, lecture, presentation or training course
- i. Other (please specify)



Question Seven

Which of the following services provided by Cambridge Enterprise are you aware of? Please select all that apply.

- a. Consultancy Services
- b. Seed Funds
- c. Technology Transfer
- d. Research Tools (including reagents)
- e. Software Services
- f. None
- g. Other (please specify)

If 'none', 'Thank you for completing this survey. Click here to find out more about how Cambridge Enterprise helps the University's innovators, experts and entrepreneurs make their ideas more commercially successful for the benefit of society, the economy, the individual and the University.'

Question Eight

Have you ever used any of the following Cambridge Enterprise services? Please tick all that are relevant.

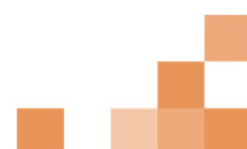
- a. Consultancy Services
- b. Seed Funds
- c. Technology Transfer
- d. Research Tools (including reagents)
- e. Software Services
- f. None
- g. Other (please specify)

If 'none', skip to Q12

Question Nine

When did you last engage with or contact Cambridge Enterprise?

- a. In the last 12 months
- b. Between 1 year and 5 years ago
- c. More than 5 years ago



Question Ten

Thinking about when you last engaged with Cambridge Enterprise, how would you rate your overall experience?

1 – 10 bar – respondent to circle

Please comment on your choice of score.

Question 11

Thinking about your last experience of working with Cambridge Enterprise, how likely are you to recommend Cambridge Enterprise to a peer or colleague?

1 – 10 bar – respondent to circle

Question 12

If you have any thoughts, observations or suggestions that you would like to share about Cambridge Enterprise, please comment below.



KCA Capability Framework

Dr Erin Rayment

Chair, Knowledge Commercialisation Australasia

Executive Director, Industry Engagement, QUT

Acknowledgement of Traditional Owners

The Queensland University of Technology (QUT) acknowledges the Turrbal and Yugara, as the First Nations owners of the lands where QUT now stands. We pay respect to their Elders, lores, customs and creation spirits. We recognise that these lands have always been places of teaching, research and learning.

QUT acknowledges the important role Aboriginal and Torres Strait Islander people play within the QUT community.



Unis miss the cut as innovators

By **TIM DODD**
HIGHER EDUCATION EDITOR
Follow [@TimDoddEDU](#)



12:00AM OCTOBER 17, 2018
4 COMMENTS

THE CONVERSATION

Academic rigour, journalistic flair

Arts + Culture Business + Economy Cities **Education** Environment + Energy FactCheck Health + Medicine Politics + Soci

Poor research-industry collaboration: time for blame or economic reality at work?

November 10, 2015 10:20am AEDT



Home

Discussion paper 'Boosting the Commercial Returns from Research' released



University-industry collaboration not as bad as OECD portrays

BRIEFING

Australian businesses have a problem with collaborating with unis - and it could be costing them billions

DAVID MCDONALD
NOV 28, 2017, 9:33 AM



Industry, university commercialisation has been 'woeful'

By **GLENDA KORPORAAL**
CHINA CORRESPONDENT
Follow [@GlendaKorporaal](#)

12:00AM MARCH 1, 2016
NO COMMENTS

Australian business has a poor record of connection with the academic and research world, says the chair of the federal government-backed Innovation and Science Australia, Bill Ferris.

"Only 5 per cent of all Australian businesses have any engagement with our universities," he told a lunch in Sydney yesterday hosted by the Committee for Economic Development of Australia. "A lot of businesses don't know where universities are."

Future of innovation in Australia uncertain after latest #LibSpill

By [Rachel French](#) | 30 September 2018,

#AUTM2019

Uni business models should focus on home-grown innovation: Tudge



Julie Hare Education editor

Feb 26, 2021 - 5.19pm

Save Share

The holy grail of commercialising research has again been named a government priority, with income from home-grown innovations potentially helping to fill the financial void caused by the drop in international student enrolments.

2021...

On R&D spend, success can be hard to find

David Noble, Michael Charles & Robyn Keast

Contributor
5 April 2021

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Any discussion about Australia's R&D sector generally starts off by claiming that 'Australia has spent billions on R&D over the past thirty years.' That is true, we have. And yet, despite these billions, Australia ranks in the middle at the best, and in many measures well below, our OECD counterparts.

Time and again, new policy initiatives are rolled out with predictable fanfare, usually based on the catch-cry that Australia produces great innovations, but generally fails to commercialise them.

THE AUSTRALIAN

Tuesday, April 13, 2021 | Today's Paper | Mind Games

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UNSW chief Ian Jacobs calls for new research commercialisation fund

IAN JACOBS



Angela McCabe Lecturer, Management, La Trobe University
Rachel Parker Professor and Director, Global Change Institute, The University of Queensland

Australia has long been seen as failing to fully capitalise on its ground-breaking research. A consultation paper on university research commercialisation is the latest federal government effort to increase the impact of research. Its focus is on creating incentives for industry-university collaboration to translate and commercialise research.

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Education

FEBRUARY 26, 2021 11:10 AM AEDT

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Getting more for Australia from our university research

The Morrison Government has today launched the University Research Commercialisation consultation paper on how to maximise the social and economic benefits of Australia's multi-billion-dollar university research sector.

Industry urged to commercialise in bid to build scale and resilience



By David Crowe

September 28, 2020 - 8.00pm

Save Share A A A 75 View i

Industries will gain more federal help to commercialise new products and expand their scale under a budget plan that offers more assistance but rules out a return to direct subsidies.

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Higher education: University grants may be tied to research that sells

EXCLUSIVE
By SIMON BENSON
POLITICAL EDITOR

6:12AM FEBRUARY 26, 2021
210 COMMENTS



Why do we need this framework?

- Career pathways (exit and entry points)
- Assist with recruitment and role clarity
- Identify individual/team/department resource requirements
- Understand external expectations:
 - Industry
 - Government
 - University executive
- Opportunity to contribute to the professionalisation our sector

<https://techtransfer.org.au/kca-capability-framework/>



@KCALtd @QUT @erinrayment

TECHNOLOGY TRANSFER PROFESSIONALS *IN Australia*

REPORT
Knowledge Transfer in
Australia:
Is there a Route to
Professionalisation?

Client: Knowledge Commercialisation Australasia

Attention: Melissa Geue

Prepared by: Athena Prib

gemaker team: Athena Prib, Jessica Simpson, Dr Ken Crane, Dr Gordon Brown, Shayne Brown and Natalie Chapman

Date: 10 May 2016



Why is knowledge transfer SO IMPORTANT?



Economic Good Public Good Innovation Job Creation Competitiveness

P.18

What does a TTP ACTUALLY DO?



P.12

Over **315** TTPs in Australia (in 2013)

26 Registered TTPs

11 Certified Licensing Professionals

TTPs are located in:

- Universities
- Research Organisations
- Co-operative Research Centres

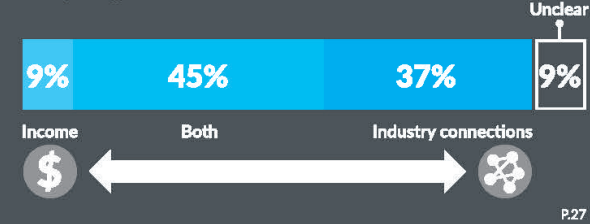
P.12 P.13

TTPs are commonly known as:

BDM Accountant *Senior Commercial Engagement Manager*
 Analyst *Director* *Leader Business Development* Chief Operating Officer
Commercialisation Manager
 Legal Counsel *Deputy Director* IP Manager CEO
 Business Development Manager *Corporate Lawyer*
Commercialisation Associate Associate Director

P.13

Why organisations commercialise



P.27

Competencies to commercialise research

More detail outlined in report

P.34

TTP career stages



P.23

How we measure up

	Current Strengths	Areas for Development
Observed by TTPs	Teamwork Qualifications & Experience Strategy & Results	Social Media Marketing & Relationships Legal
Observed by Stakeholders	Intellectual Property Qualifications & Experience Knowledge Transfer	Communication & Influence Business Acumen Strategy & Results

P.32

For further information please refer to the report

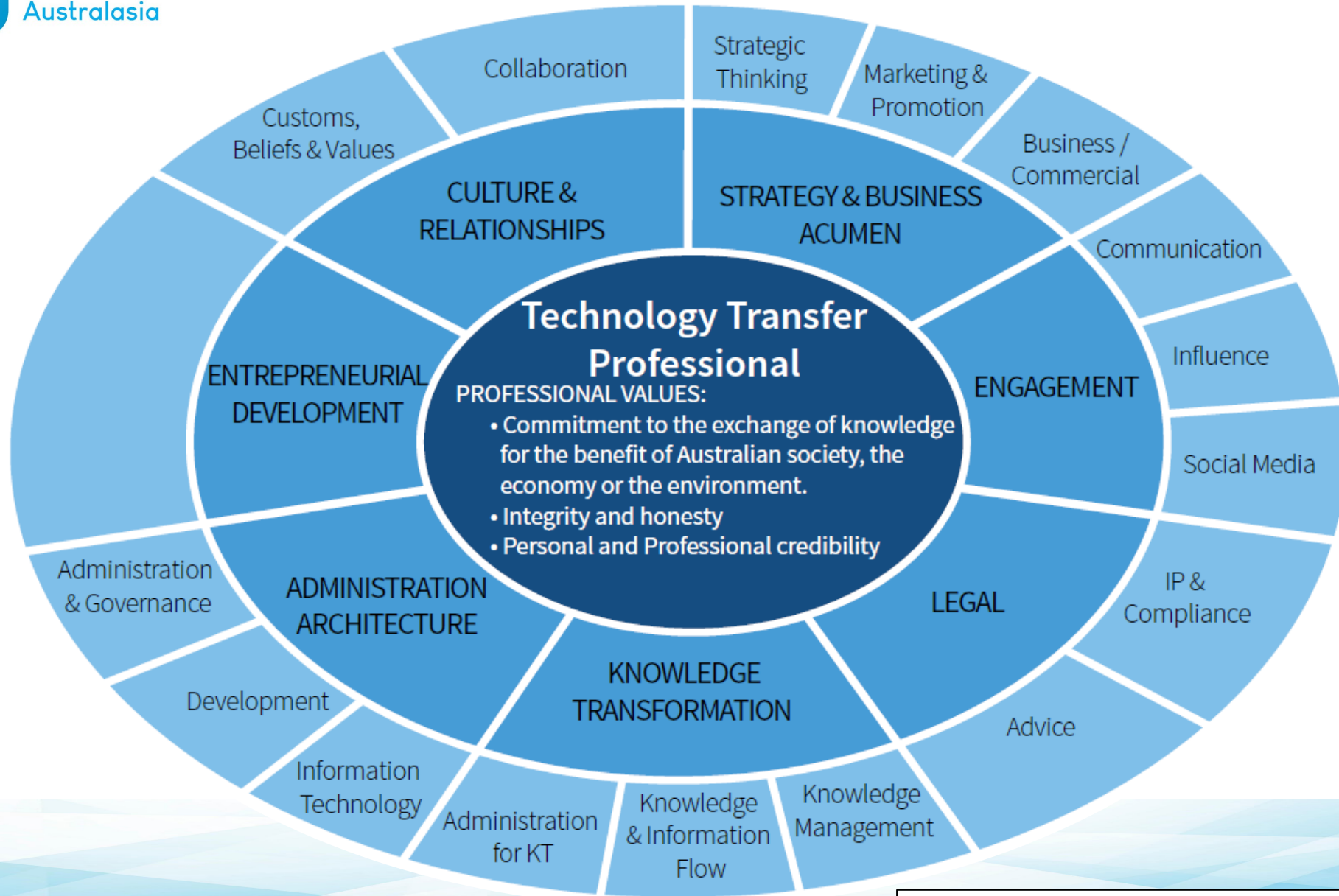
**Knowledge Transfer In Australia:
Is there a Route to Professionalisation?**

Page numbers as referenced



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Detailed capability framework

Capability Clusters	Early Career	Mid-Career In addition to Early Career level	Senior In addition to Mid-Career level
Legal			
<p>IP & Compliance Manages the creation, protection, assignment & enforcement of IP legal rights.</p>	<ul style="list-style-type: none"> ▪ Maintains compliance with the Unit's responsibilities under its IP policy ▪ Monitors & reports on patent regulations & procedures in Australia ▪ Ensures patent matters are considered well in advance of major gates ▪ Ensures the correct & timely payment of patent fees ▪ Assists with legal, drafting & management of IP licence agreements, research services agreements & legal & commercial correspondence to facilitate contract compliance ▪ Conducts IP due diligence ▪ Maintains an accurate & current patent database system ▪ Assesses the commercial viability of intellectual property notifications & provides advice on commercial pathways ▪ Reviews & drafts documents for the provision of collaborative research services & the commercialisation or transfer of the resulting IP 	<ul style="list-style-type: none"> ▪ Monitors & reports on patent regulations in the US, EU & other jurisdictions ▪ Conducts IP due diligence & signs-off documents ▪ Advises Organisation inventors, Business Development Managers, Patent Attorneys & Organisation Licensees during patent prosecution process ▪ Makes early identification of potentially valuable IP ▪ Provides patent portfolio data reports on patent data, deadlines, forecasts, budget expenditure & reporting metrics. ▪ Manages, with legal staff, the administration, monitoring & compliance requirements of contracts related to IP ▪ Instructs & manages patent service providers as the primary interface ▪ Manages contract administration & compliance in a commercial environment, and/or manages maintenance & improvement of departmental systems & processes in an IP driven business 	<ul style="list-style-type: none"> ▪ Provides advice to Senior Management on legal aspects of the knowledge transfer work, including IP, compliance & business contractual matters ▪ Supports the Senior Management in the development & implementation of a strategic intellectual property/ patent portfolio management team
<p>Advice Manages IP licensing & other knowledge transfer legal agreements.</p>	<ul style="list-style-type: none"> ▪ Provides timely, effective, practical advice to the legal team ▪ Applies a general understanding of general, commercial, contract & intellectual property law 	<ul style="list-style-type: none"> ▪ Applies understanding of corporations law & its application to privately held companies ▪ Assists in the negotiation of agreements to support the Unit's commercialisation & activities ▪ Facilitates provision of sound, practical, strategic legal advice to the Unit ▪ Provides broad, high level commercial & legal advice & support to the wider organisation, based on successful work experience and/or tertiary study 	<ul style="list-style-type: none"> ▪ Oversees systems that ensure the efficient & effective provision of legal advice & diligence for the knowledge transformation work done in the Unit

Meet Sally

She is early in her career...

She started work for a TTO with 2 other people 3 months ago in a small university.

She has a PhD in chemistry.

Worked in business for two years as an analyst.

Sally is ambitious.

She wants to get to the top of the tech transfer ladder.

But she has no idea how...and where the top is?



Any questions?

Dr Erin Rayment

Chair, Knowledge Commercialisation Australasia

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Executive Director, Industry Engagement, QUT

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