

<b>Strategic Partnership Policy</b>	<i>Approved by the AUTM Board of Directors: July 16, 2006</i>
	<i>Amended by the AUTM Board of Directors: May 19, 2016</i>

Written requests should be forwarded to: AUTM Headquarters  
1 Parkview Plaza  
Oakbrook Terrace, IL 60181  
Fax: +1.847.686.2253  
E-mail: info@autm.net

**Basic Parameters:**

- All partnerships must be consistent with the strategic plan, mission, vision and goals, benefit AUTM members and be economically sound.
- AUTM will not be affiliated with an event that occurs within 60 days of a similarly focused AUTM educational activity that takes place within the same geographic region. Those organizations on AUTM’s partnering organizations list may be exempted from this parameter.

**Consideration and Decision-making Process:**

All requests received by AUTM leaders and/or members should be forwarded to Headquarters for recording and initial assessment against the established criteria. Written requests are to be accompanied by full details of the proposal (no verbal requests will be accepted).

**Criteria for assessment:**

- Revenue implication/generation for AUTM
- Fit with AUTM objectives
- Opportunity for promotion of AUTM membership
- Nature of request
  - Endorsement
  - Association
  - Direct provision
- Potential impact on AUTM’s reputation
- Opportunity cost for AUTM leader(s)
- Degree of difficulty of provision (e.g. translation required)
- Availability of local support and expertise
- Degree of development of technology transfer in the local environment
- Availability and suitability of background material for the cooperation
- AUTM ownership of background IP
- Reputation and “like-mindedness” of requesting organization
- Language accommodations

## ASSOCIATION OF UNIVERSITY TECHNOLOGY MANAGERS POLICY

*Printed copies are for reference only. Please refer to the electronic copy for the latest version.*

Requests will be assessed in the following manor

<u>Request Type</u>	<u>Action</u>	<u>Approval</u>	<u>Once Approved or Declined</u>
Requests from non-partnering organizations  * Contains “red” flag. * Financial and/or time commitment required.	Headquarters to review request and present to appropriate Cabinet Member.	Cabinet Member makes recommendation to Executive Committee; Executive Committee has final approval.	* Headquarters to advise non-partnering organization of Executive Committee decision. * Headquarters to assist/coordinate the implementation of partnership and/or arrangements as needed.
Requests from non-partnering organizations  * Does not contain “red” flag. * Does not require financial and/or time commitment.	Headquarters to review request with appropriate Cabinet Member. Cabinet Member determines if request requires Executive Committee approval.	Cabinet Member to determine and proceed as needed. Headquarters to inform the Executive Committee.	* Headquarters to advise non-partnering organization of decision. * Headquarters to assist/coordinate the implementation of partnership and/or arrangements as needed.
Requests from non-partnering organizations  * Contains “red” flag. * Does not require financial and/or time commitment.	Headquarters to review request and present to appropriate Cabinet Member.	Cabinet Member makes recommendation to Executive Committee; Executive Committee has final approval.	* Headquarters to advise non-partnering organization of Executive Committee decision. * Headquarters to assist/coordinate the implementation of partnership and/or arrangements as needed.
“New” requests from partnering organizations  * Contains “red” flag. * Financial and/or time commitment required.	Headquarters to review request and present to appropriate Cabinet Member.	Cabinet Member makes recommendation to Executive Committee; Executive Committee has final approval.	* Headquarters to advise partnering organization of Executive Committee decision. * Headquarters to assist/coordinate the implementation of partnership and/or arrangements as needed.
“New” requests from partnering organization  * Does not contain “red” flag. * Does not require financial and/or time commitment.	Headquarters to review request and present to appropriate Cabinet Member.	Cabinet Member to determine and proceed as needed. Headquarters to inform the Executive Committee.	* Headquarters to advise partnering organization of decision. * Headquarters to assist/coordinate the implementation of partnership and/or arrangements as needed

<p>Requests from partnering organization to promote a reoccurring event.</p> <p>Example: Curriculum remains the same but venue, date and speakers change. The Executive Committee previously approved the “original” event request.</p> <p>* Contains “red” flag. * Financial and/or time commitment required.</p>	<p>Headquarters to review request and present to appropriate Cabinet Member.</p>	<p>Cabinet member makes recommendation to Executive Committee; Executive Committee has final approval.</p>	<p>* Headquarters to advise partnering organization of Executive Committee decision. * Headquarters to assist/coordinate the implementation of partnership and/or arrangements as needed.</p>
<p>Requests from partnering organization to promote a reoccurring event.</p> <p>Example: Curriculum remains the same but venue, date and speakers change. The Executive Committee previously approved the “original” event request.</p> <p>* Does not contain “red” flag. * Does not require financial and/or time commitment.</p>	<p>Headquarters to review request and inform Cabinet Member.</p>	<p>Headquarters approves and informs Executive Committee.</p>	<p>* Headquarters to advise partnering organization of decision. * Headquarters to assist/coordinate the implementation of partnership and/or arrangements as needed.</p>

**Partnering Organizations as of February 2006**

- American Intellectual Property Law Association (AIPLA)
- Association for University Research and Industry Links (AURIL)
- Association of American Medical Colleges (AAMC)
- Association of American Universities (AAU)
- Association of European Science and Technology Transfer Professionals (ASTP)
- Association of University Research Parks (AURP)
- Biotechnology Industry Organization (BIO) Council on Governmental Relations (COGR)

Federal Laboratory Consortium for Technology Transfer (FLC)  
Korean Technology Transfer Center (KTTC) Licensing Executives Society (LES)  
National Association of Seed and Venture Funds, Inc. (NASVF)  
Knowledge Commercialisation Australia (KCA)  
National Association of State Universities and Land-Grant Colleges (NASULGC)  
National Business Incubation Association (NBIA)  
National Council of University Research Administrators (NCURA)  
National University of Singapore (NUS)  
State Science & Technology Institute (SSTI)  
The Society for Technology Management (STEM)  
National Center for Industrial Property Information and Training (NCIPI)  
The University Companies Association (UNICO)

Following approval or rejection of the request, Headquarters will notify the AUTM contact of the decision and the basis for that decision. Decisions are to be logged at Headquarters and posted on the AUTM Board eGroup, and a standard AUTM response should be made available to the original contact. In cases of acceptance, the nominated AUTM leader for the cooperation should then become the key contact with the requestor. The AUTM leader for the cooperation has the responsibility to report to the Cabinet Member.

### **Compliance**

AUTM officials may determine compliance of its Partnering Organizations under this Strategic Partnerships Policy. AUTM also has the right to modify or suspend its Strategic Partnership Policy and withdraw any permission granted under this agreement if the provisions stated below are not followed.

Any questions concerning this Strategic Partnerships Policy should be directed to the AUTM Administrative Director.

### **1. Independent Educational Forums**

- AUTM may consider allowing the Association's name and logo to be affiliated with independent educational events that meet the parameters stated above. The following stipulations apply:
- The appropriate AUTM Cabinet Member, Executive Committee and/or Headquarters representative must review and approve all proposals. To fairly evaluate the proposal and the group requesting the partnership, the following information is required:
  - a. A description and short background of the event organizing entity.
  - b. A draft agenda or list of speakers and topics to be involved with the event.
  - c. The event's target market and the number of people expected to attend.
  - d. The frequency with which the organizer holds conferences related to technology transfer and whether the partnership could be extended to future projects.
  - e. Any additional information the organizers believe AUTM should consider.

- AUTM is not responsible for developing educational components at independent forums, but may provide contact information for AUTM experts whom forum organizers may invite to participate.
- AUTM staff must be allowed to review and approve promotional materials prior to final production to ensure compliance with parameters and policies.
- AUTM is an objective, membership-driven, nonprofit organization and does not endorse any specific company, product, service, publisher or conference provider. For this reason, AUTM may be listed on promotional materials as an “**association partner**” or “**participating association**”— not as a “supporting association,” “official association,” “sponsor,” “cosponsor,” “endorser” or any other description that implies commercial endorsement or approval.
- Only the AUTM President or its designee may speak on behalf of AUTM. Other members of AUTM who make educational presentations are not authorized to speak on AUTM's behalf unless they have received express written authorization from the AUTM President. Any AUTM leader participating in an independent educational event as a representative of AUTM must agree to do so without anticipation of payment or profit.

If AUTM leaders agree to a strategic partnership, arrangements can include the following elements.

**AUTM typically provides:**

- Event listing on the AUTM website and in the AUTM Update or other appropriate
- AUTM newsletter.
- A brief event description, submitted by event organizers, in one issue of the AUTM Update or other appropriate AUTM publication, at AUTM's discretion.
- A link from the AUTM website to the event URL.
- One-time use of AUTM name and logo as “association partner” or “participating association.”
- In some cases, one-time use of the AUTM member mailing list (mailing addresses only; member e-mails are not made available). Mailing must be scheduled in consideration of promotional activity for AUTM events, which will have priority.

**AUTM typically receives:**

- Mailing list of conference attendees, including phone, fax and e-mail (if e-mails are made available).
- 100-word promotional description, with contact information, in conference materials.
- One complete set of onsite event materials.
- The right to reproduce and distribute up to 100 copies of onsite event materials.
- Onsite exhibit booth where AUTM publications, brochures and background information will be available throughout the educational event.
- Two complimentary full conference registrations for AUTM leaders and up to four complimentary registrations for AUTM staff for use in staffing an exhibit booth.
- Link from education provider's website.

## **2. Provision of AUTM Courses**

On request, AUTM leaders may present AUTM courses at educational forums sponsored by nonprofit organizations and related professional entities. The AUTM Cabinet Member for Professional Development will oversee coordination of course development and delivery, along with the Cabinet Member for International Strategy if the educational forum takes place outside the United States. The following provisions apply:

- The AUTM Cabinet Member for Professional Development and/or Executive Committee must review and approve all requests. To fairly evaluate the proposal, the following information is required:
  - a. A description and short background of the requestor.
  - b. The event's target market and the number of people expected to attend.
  - c. The frequency with which the organizer holds conferences related to technology transfer and whether the partnership would be extended to future projects.
  - d. Any additional information the organizers believe AUTM should consider.
- AUTM, led by an Executive Committee-approved volunteer event champion, develops and delivers all educational content. The AUTM champion works with the requestor to refine content, and coordinate dates and location of courses.
- Requestor is responsible for all expenses related to developing and delivering Official AUTM Courses. These expenses include but are not limited to instructor compensation, travel, lodging, materials creation and incidentals. For international travel over ten hours of flight time, requestor must provide first-class or business-class airline travel. The AUTM champion should use the budget model available from AUTM headquarters to determine costs.
- Under special circumstances, AUTM will consider sharing costs. The entity in need of financial assistance must submit a written explanation of financial circumstances and a detailed budget that outlines costs, as well as cost-sharing and revenue-sharing formulas. AUTM reserves the right to adjust costs and formulas.
- Requestors are responsible for all logistical elements — e.g., promotion, registration, facility arrangement, presenter and delegate accommodations, etc. — of delivering the courses.
- All promotional materials will identify AUTM as the sole educational source, as appropriate.
- AUTM should receive a percentage of event's net profits. AUTM champion and requestor will recommend a revenue-sharing formula to AUTM officers, who can approve or modify the formula.

If AUTM leaders agree to the partnership, arrangements can include the following elements.

### **AUTM typically provides:**

- One to two days of educational programming.
- A complimentary 300- to 400-word event description, submitted by event organizers, in one issue of the AUTM Update.
- A link from the AUTM website to the event URL.
- Use AUTM name and logo as “education provider” or “educating association” on all event materials.

**AUTM typically receives:**

- A percentage of net profits, as determined by revenue-sharing agreement.
- Mailing list of conference attendees, including phone, fax and e-mail.
- 200-word description, with contact information, in all conference materials.
- Onsite display area where AUTM publications, brochures and background information will be available throughout the educational event.
- Link from education providers' website.

**3. Provision and Display of AUTM Materials at Industry Events**

On request, AUTM may consider forwarding materials about AUTM, its mission and goals, and related information for display at industry events that meet the basic parameters listed above. All requests must receive approval from the President. The following stipulations apply:

- AUTM is not responsible for costs related to display area or onsite handling of materials.
- Event organizer will ensure AUTM materials are displayed throughout the event.
- Event organizer may not use AUTM's name or logo in any conference promotional materials, onsite materials or other printed or electronic communications without express written approval from AUTM.

Event organizer may not state or imply any support or endorsement by AUTM without express written approval from AUTM.