Welcome to **Day 1** *of the international course on*

Advancing Societal Impact of Social Sciences and Humanities

12, 14, 19, 21 & 26 May 2020
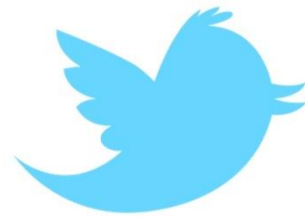
AESIS

NETWORK FOR
ADVANCING & EVALUATING THE SOCIETAL IMPACT OF SCIENCE

OXFORD UNIVERSITY
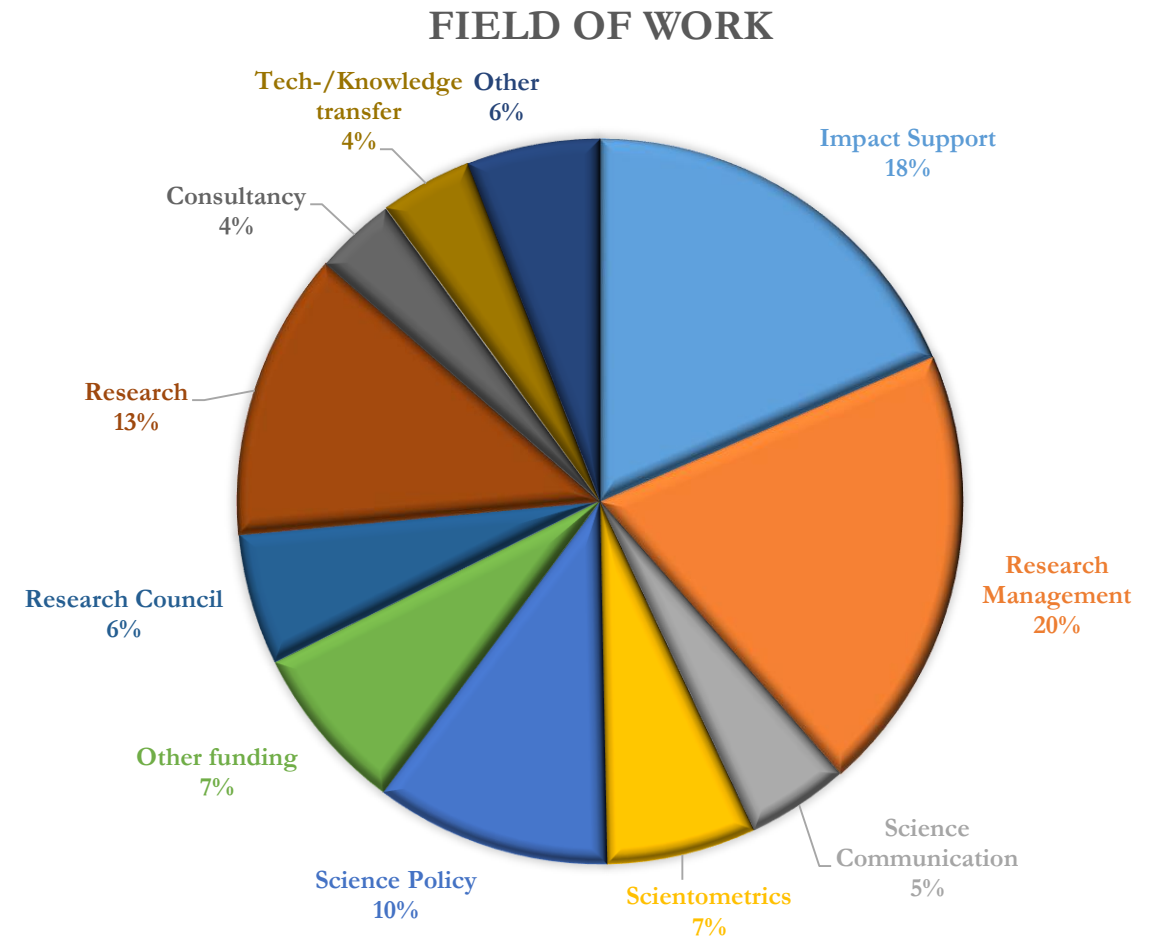INNOVATION

UNIVERSITY OF
OXFORD

DAY 1

#OXCO20
@AESISNET

AESIS

OVERVIEW OF AESIS

The AESIS network was founded in 2015 with the aim of creating an international, open community for various types of professionals working on stimulating and demonstrating the impact of science on economy, culture and well-being.

FIELD OF WORK

- Tech-/Knowledge transfer 4%
- Other 6%
- Consultancy 4%
- Impact Support 18%
- Research 13%
- Research Management 20%
- Research Council 6%
- Science Communication 5%
- Other funding 7%
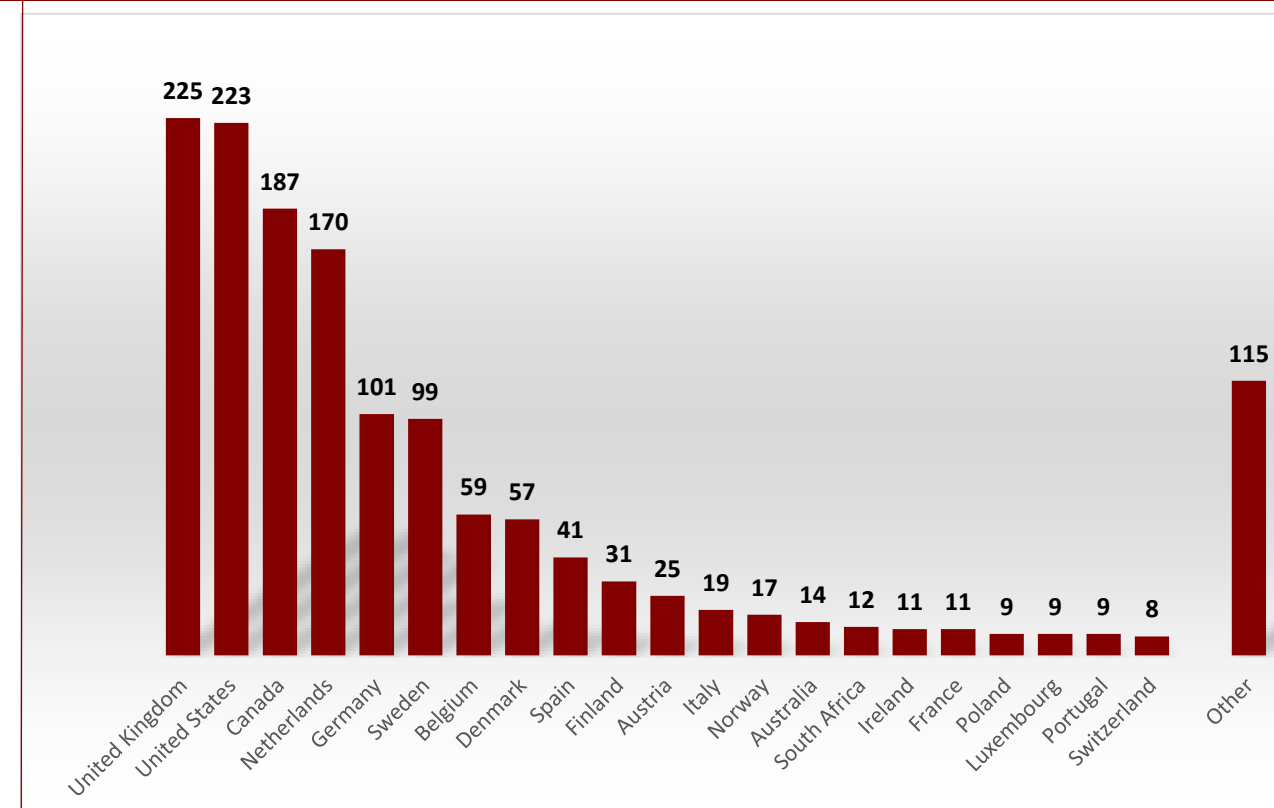- Science Policy 10%
- Scientometrics 7%

AESIS

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THE TEAM

Tomas van den Broeke – Unit Manager SSH
Bonita Liu – Project Manager SSH

Lisa Bakker – Project Manager
Anika Duut van Goor – Director
Nadine de Reuver – Project Manager
Frank Zwetsloot – Founding Director

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ZOOM

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OVERVIEW OF THE PROGRAMME

Morning

> **Introductions**
>
> **The Case Study**
>
> **Mark Mann**
>
> Themes and Aims of the Course
>
> Conditions for Spin-offs and Entrepreneurship

Afternoon

> **Marc Sedam**
>
> How to Develop IP Policies with an exclusive focus on SSH

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CASE STUDY

Make a plan to improve the societal impact of you SSH disciplines:

What are the most important challenges to reach your goals?

Everybody prepare a 5 minute presentation plus Q&A

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Mark Mann

Innovation Lead, Humanities & Social Sciences,

Oxford University Innovation

& Senior Consultant, Oxentia

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QUESTIONS?

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OVERVIEW OF THE PROGRAMME
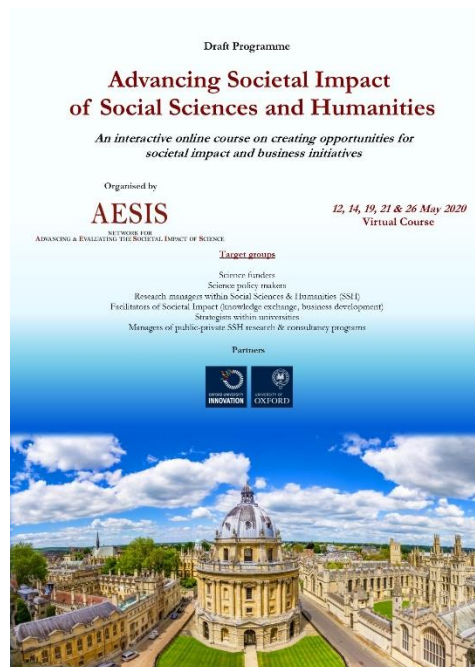
Morning

    Introductions

    The Case Study

    Mark Mann

    Themes and Aims of the Course

    Conditions for Spin-offs and Entrepreneurship

Afternoon

    Marc Sedam

    How to Develop IP Policies with an exclusive focus on SSH
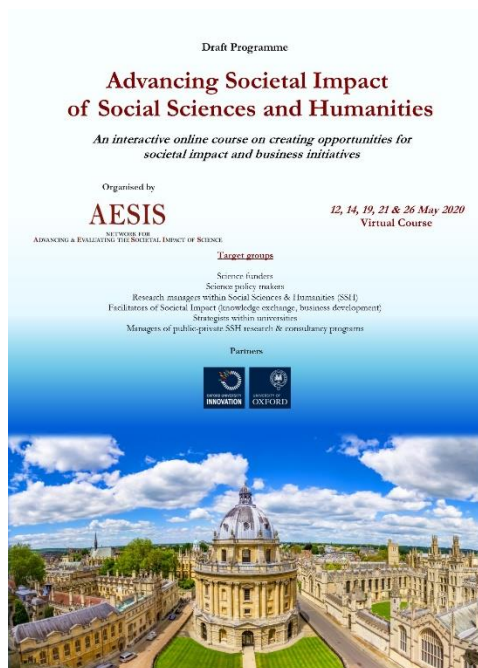
    Informal lunch chat

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#OxCo20

OVERVIEW OF THE COURSE

Tuesday 12 May - Introduction, Spin offs and IP policies
Mark Mann & Marc Sedam

Thursday 14 May - Identifying and Developing Business Opportunities
Frank Zwetsloot & Mikkel Rasmussen

Tuesday 19 May - Implementing an Impact Strategy in your SSH University Unit
Thomas König & David Budtz Pedersen

Thursday 21 May - Structures for Mapping and Assessing Impact of SSH
Adam Luqmani, Catherine Kerfoot & Alis Oancea

Tuesday 26 May - Consultancy Opportunities for SSH
Oliver Cox
Case study presentations

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#OxCo20

Thank you

Enjoy lunch!

Greetings from Oxford!

- **What are the most effective ways to manage an impact unit?**

- **What are the pathways to integrate impact in research strategies?**

- **How do I make academic ideas 'market-ready'?**

- **How do I organise public & private alliances?**

- **How and when should I set up consultancy & other services?**

Introductions
Me, then you.

OXFORD UNIVERSITY INNOVATION

OXFORD UNIVERSITY INNOVATION

UNIVERSITY OF OXFORD

Conditions for Spin-offs and Entrepreneurship

Dr Mark Mann

- I am not an all-knowing sage
- There was no strategy (though there is one now)
- I had no idea what I was doing
- I made a lot of mistakes
- I have had a few successes
- Hopefully you can learn from this and develop a strategy that suits your institution

Today's session

First half

- A brief intro to OUI and what was common practice.

- A few stories and examples. What does SSHA tech transfer look like?

- Group exercise:

- Find similarities and differences between the stories

- Plot on a chart

- Discuss changes in approach in a TTO

Second half

- We'll bring together everyone's thoughts and discuss together

- We will then try and put this together into some sort of strategy

- A few suggested dos and don'ts

About Oxford University Innovation

Who we are and what we do

- **Transferring ideas** through Licensing, Ventures, Social Enterprise, Services, IP and Patents, Material Sales, Clinical Outcomes, Startup Incubator, Oxford University Hospitals NHS Foundation Trust

Licensing & Ventures

- **Supporting researchers and external partners** to utilise academic expertise and technical services

Consulting Services

- **Enabling ventures to grow from concept to maturity** through Seed Funds, Oxford Angels Network, Spinout Equity Management
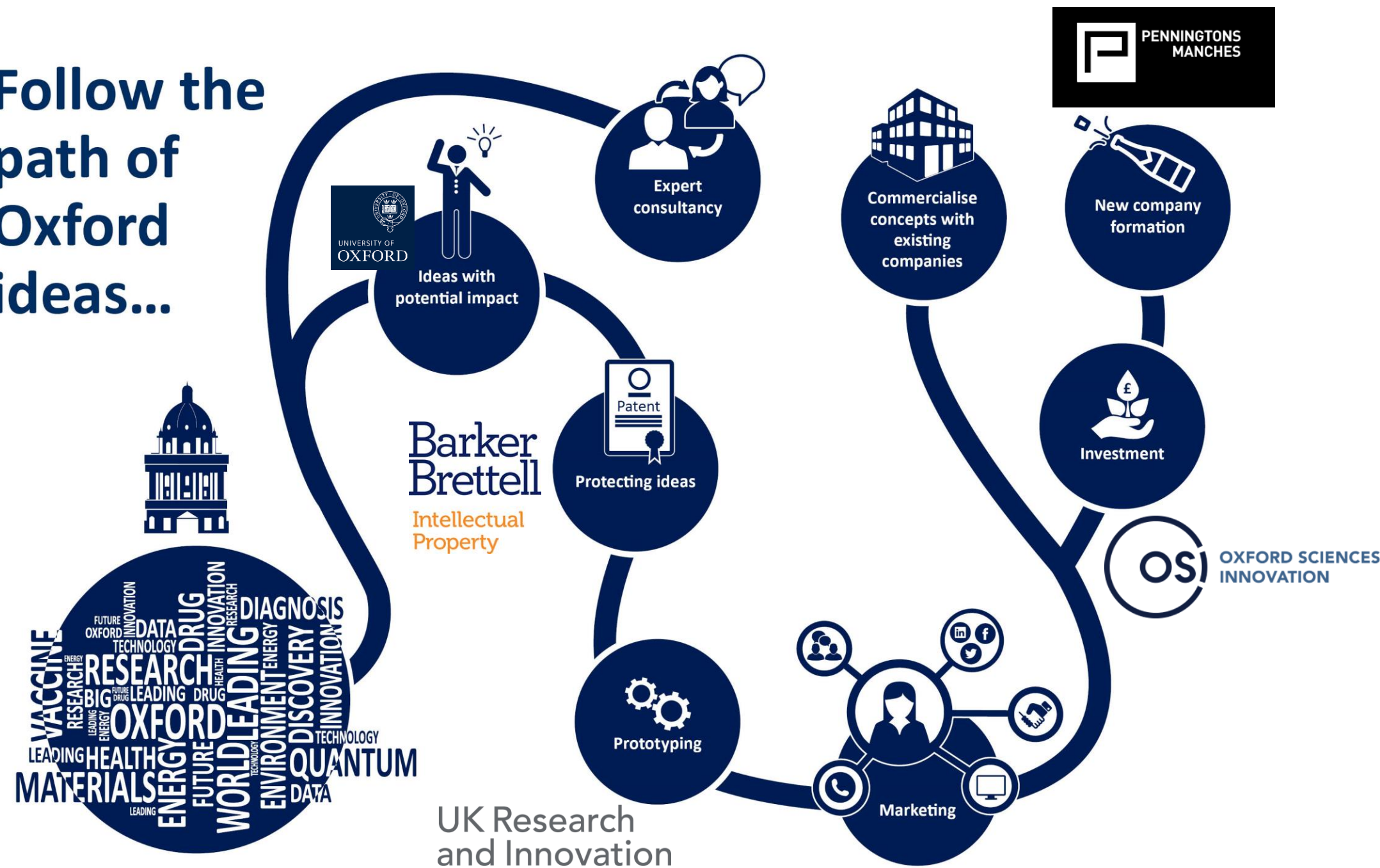
Funding, Investment & Management

The technology commercialisation conveyor belt Licensing and Ventures

Follow the path of Oxford ideas…

Ideas with potential impact

Expert consultancy

Commercialise concepts with existing companies

New company formation

Protecting ideas

Investment
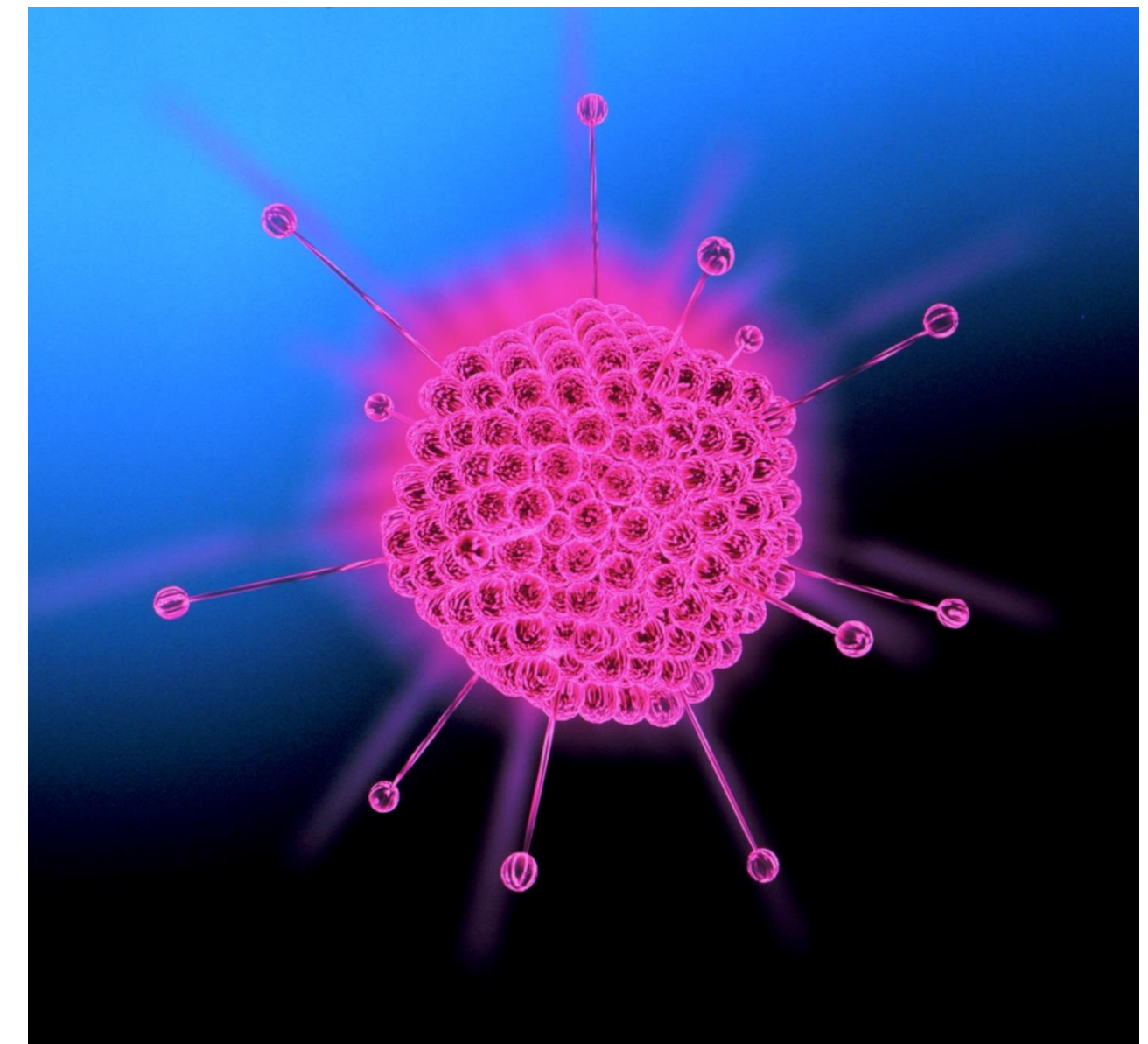
Prototyping

Marketing

UK Research and Innovation

Hard IP – patents, licenses, silicon, drugs, stuff…

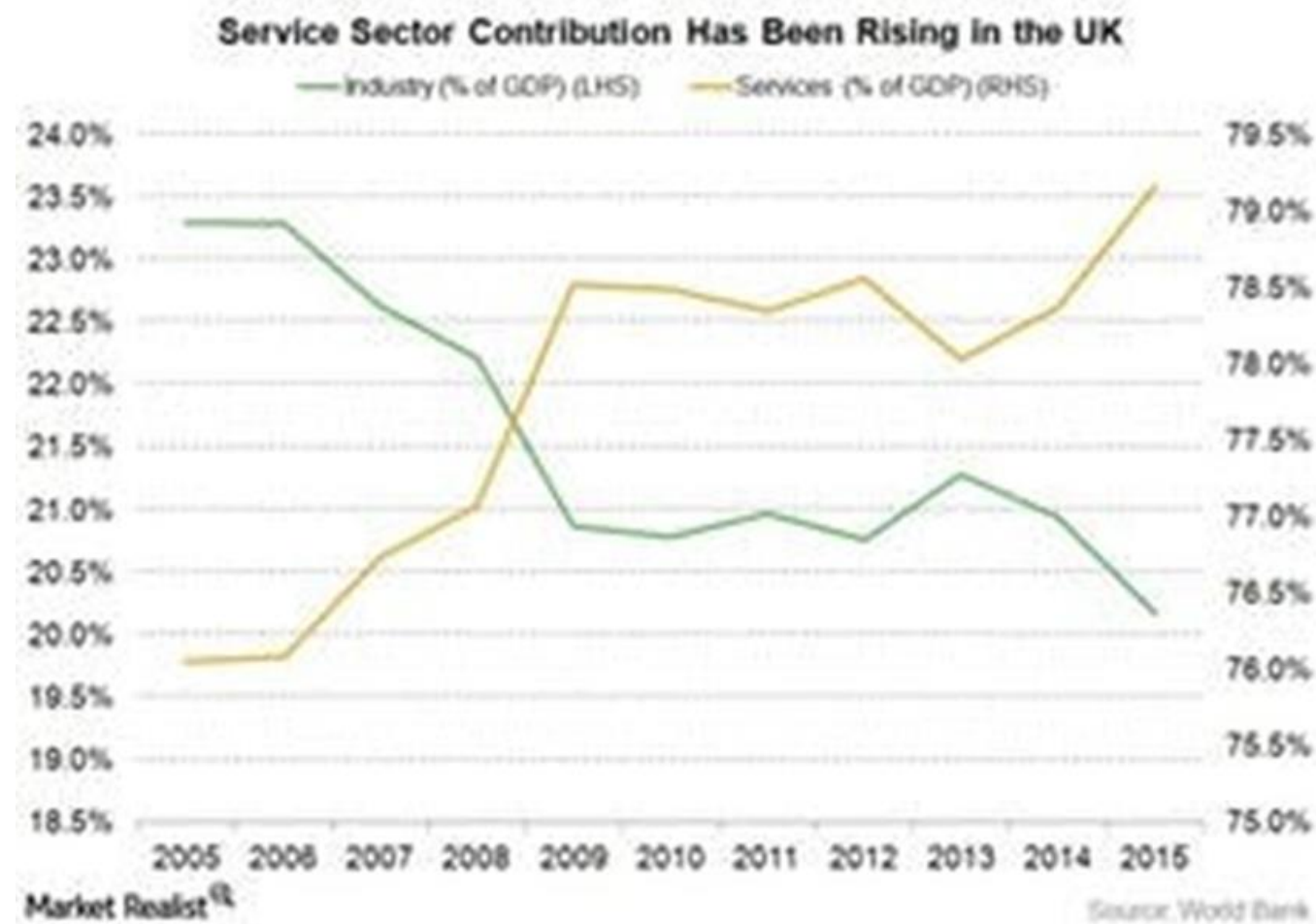# "There is no patent therefore I cannot see the value"

- TTO/KTO business models are usually designed around taking a percentage of licence income.

- What is there to licence?

- Where equity in startups and spinoffs is taken it can take ~15 years for exit.

- Consultancy is usually a "bare bones" operation which just about covers its staff costs at 10%.

- SSHA does not fit with the model.

Die Höhle der Löwen
How many technology companies do you see?

Service Sector Contribution Has Been Rising in the UK

Industry (% of GDP) (LHS)   Services (% of GDP) (RHS)

Market Realist®   Source: World Bank

Country/Economy	Total GDP(PPP)(US $MM)	Agricultural	Industrial	Service	Agricultural	Industrial	Service
World	**127,800,000**	**6.4%**	**30.0%**	**63.0%**	**8,179,200**	**38,340,000**	**80,514,000**
China	23,210,000	7.9%	40.5%	51.6%	1,833,590	9,400,050	11,976,360
European Union	20,850,000	1.6%	25.1%	70.9%	333,600	5,233,350	14,782,650
United States	19,490,000	0.9%	19.1%	80.0%	175,410	3,722,590	15,592,000

Digging around in Oxford's old buildings

Innovations: what could we do with them?

Depth and diversity at Oxford University

Social Sciences Division

Anthropology and Museum Ethnography, School of
Archaeology, School of
Business School, Saïd
Economics, Department of
Education, Department of
Geography and the Environment, School of
Government, Blavatnik School of
Interdisciplinary Area Studies, School of
International Development, Department of
Internet Institute, Oxford
Law, Faculty of
Oxford Martin School
Politics and International Relations, Department of
Social Policy and Intervention, Department of
Sociology, Department of

Humanities Division

American Institute, Rothermere
Art, Ruskin School of
Classics, Faculty of
English Language and Literature, Faculty of
History, Faculty of
History of Art department
Linguistics, Philology & Phonetics, Faculty of
Medieval and Modern Languages, Faculty of
Music, Faculty of
Oriental Studies, Faculty of
Philosophy, Faculty of
Theology and Religion, Faculty of
TORCH | The Oxford Research Centre in the Humanities
Voltaire Foundation

First AHSS spinout in 2011 – in Classics Oxford Multi-Spectral
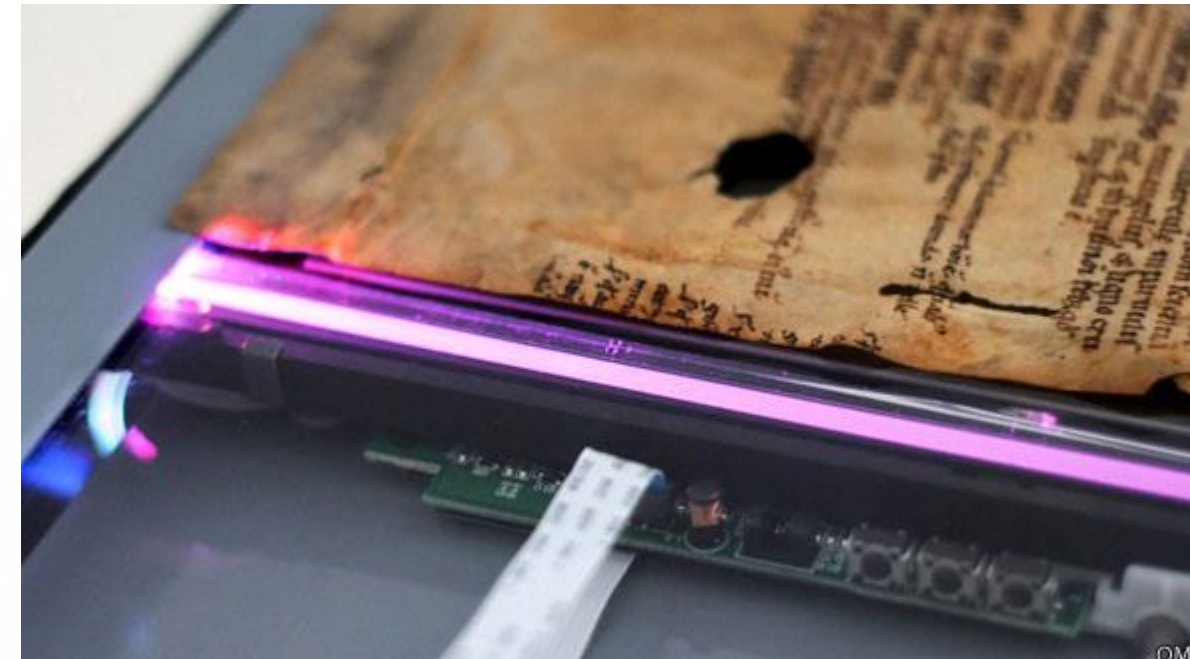
- Uses infrared/UV to detect faded ancient inks.
- Papyrus scanning empire?
- A little short of demand BUT
- Useful for fraud detection – now being applied in China.

Were we approaching this in the wrong way?

+ =

- But where is the intellectual property????!!!!
- What does the academic ACTUALLY want to do?
- What got them interested in what they were studying in the first place?

FlexSR
Flexible Speech Recognition

- Faculty of Linguistics, Philology and Phonetics

- Have developed a new methodology for speech recognition based on the way the human brain learns speech

- Three patents

- BUT

- Limited understanding of the commercial world before beginning the project.

- Common among most academics, particularly in the Humanities.

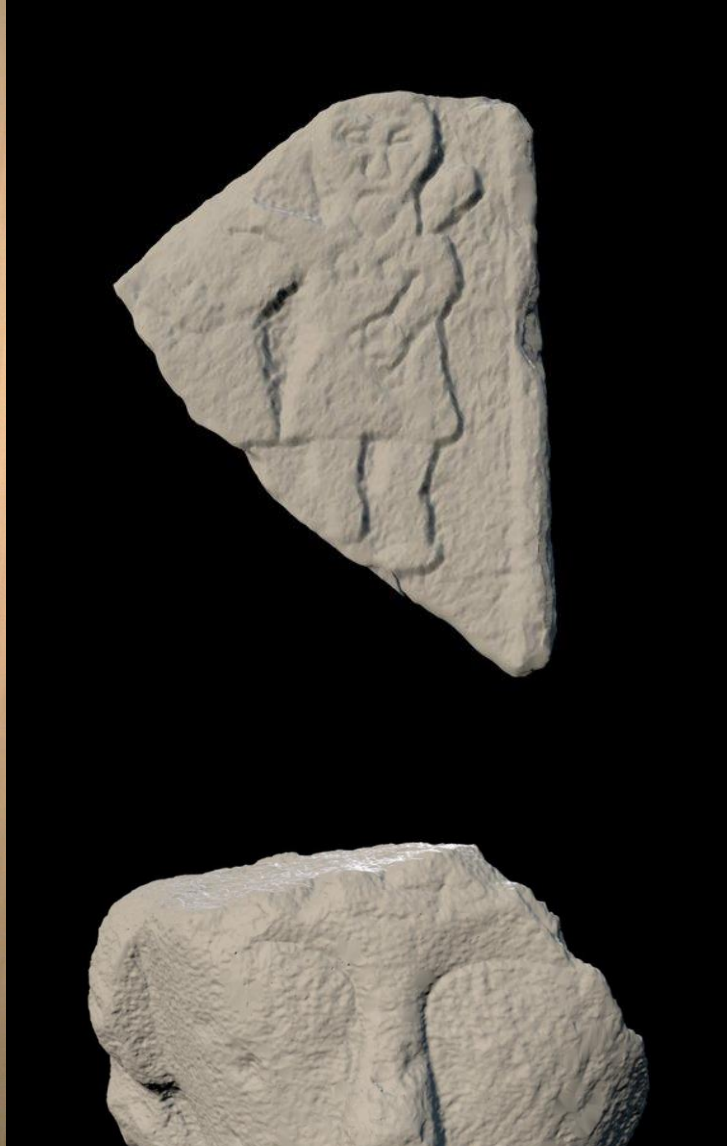- This is, in effect, a traditional tech spinout, however.
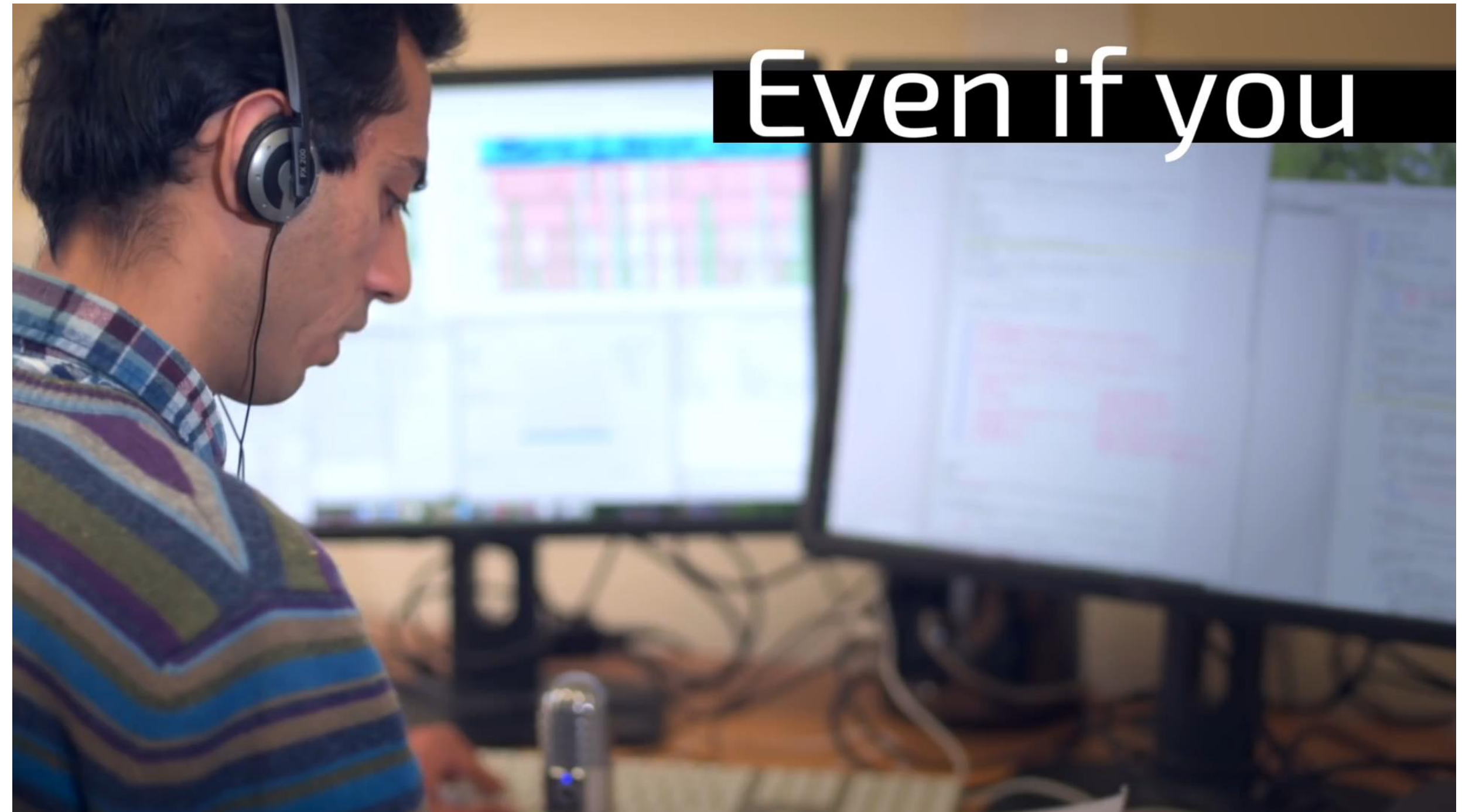
InkPath
A FitBit for Personal Development

PalaeoPi

Gailenreuth
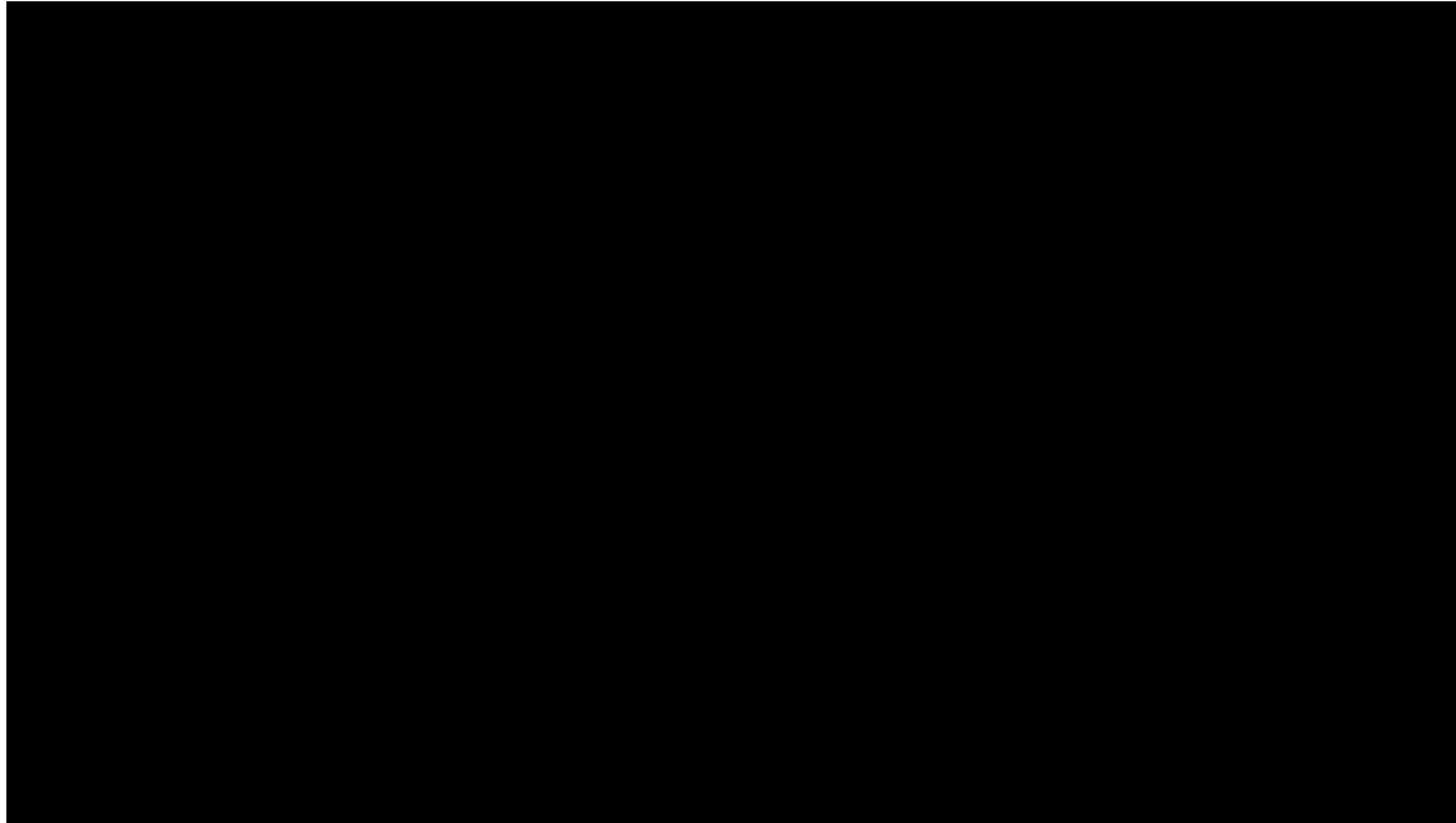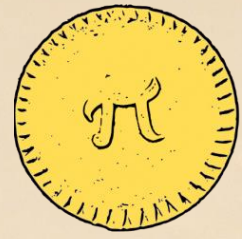
OxWater from Geography (spinning out now)
Using AI in the field to detect a broken pump before it breaks

- A box of electronics on the back of a hand pump to measure how it is being used + machine learning to infer when a pump is ABOUT to break

- This was patented – EU & US

- "You could apply this to the oil industry…"

- The academics involved wanted to make a social impact and were not interested in oil.

- They started a company without our help.

- Now we are trying to help it grow.

- Idea protected but in the wrong place and there is not much point in protecting it in the place it is used.

Although the Smart Handpumps crowdfunding campaign is now closed, you can still join the team on their journey and donate here <u>here</u>.

SMART HANDPUMPS

A project by: Patrick Thomson

SUCCESSFUL

WE RAISED £50,231

from 209 donors

COMPLETED

This project received pledges on Mon 01 Jul 2019

We set up a crowdfunding platform to raise money for social or environmental causes.

📍 University of Oxford   🏷 Community / Technology

Effective Ethics
Meet Oliver

- Developed a questionnaire asking questions about a person's ethical construct.
  - Questions not hugely unexpected – quite obvious
  - Uses anthropological theory to characterise the moral framework based on the answers.
- Could it be protected by a patent?
- How best to protect the questionnaire?
  - Wants to protect as he talked about it at a conference and people were interested in his outcomes.
- **Where is the value?**

Seven moral rules

|		
	Family	• Help your family • Love, care, protect • 'Blood is thicker than water'
	Group	• Help your group • Loyalty, unity, solidarity • 'United we stand, divided we fall'
	Reciprocity	• Return favours • Trust, reciprocity, gratitude • 'One good turn deserves another'
	Bravery	• Be brave • Heroism, courage, generosity • 'With great power comes great responsibility'
	Deference	• Respect your superiors • Humility, obedience • 'Blessed are the meek'
	Fairness	• Divide disputed resources • Equity, bargaining, compromise • 'Let's meet in the middle'
	Property	• Respect others' property • Property rights, theft • 'Possession is nine-tenths of the law'

Same values, different priorities
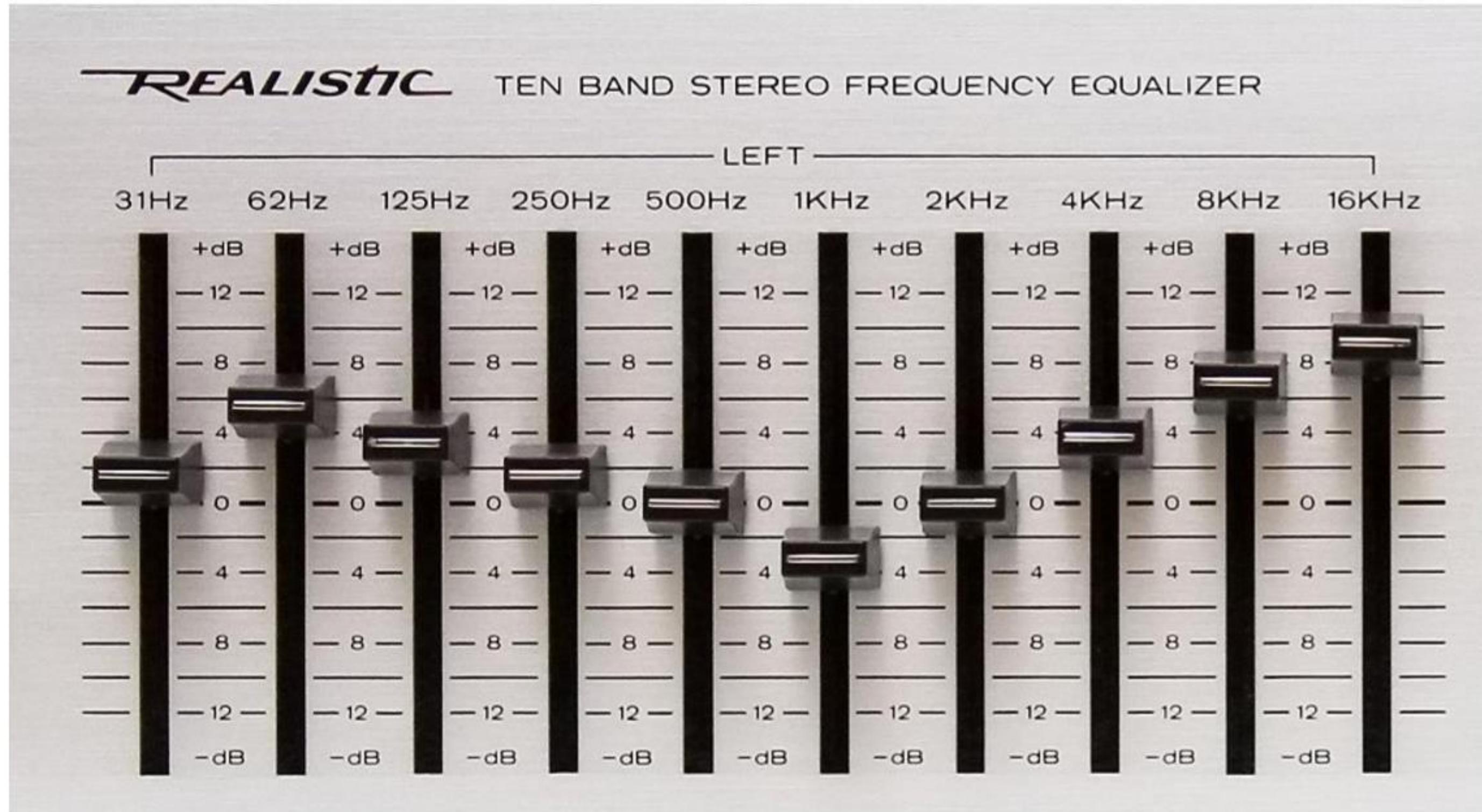
Curry, O. S., Mullins, D. A., & Whitehouse, H. (2019). Is it good to cooperate? Testing the theory of morality-as-cooperation in 60 societies. *Current Anthropology*, 60(1).

Business has shown interest.
There is a market

Example 1: A call centre business
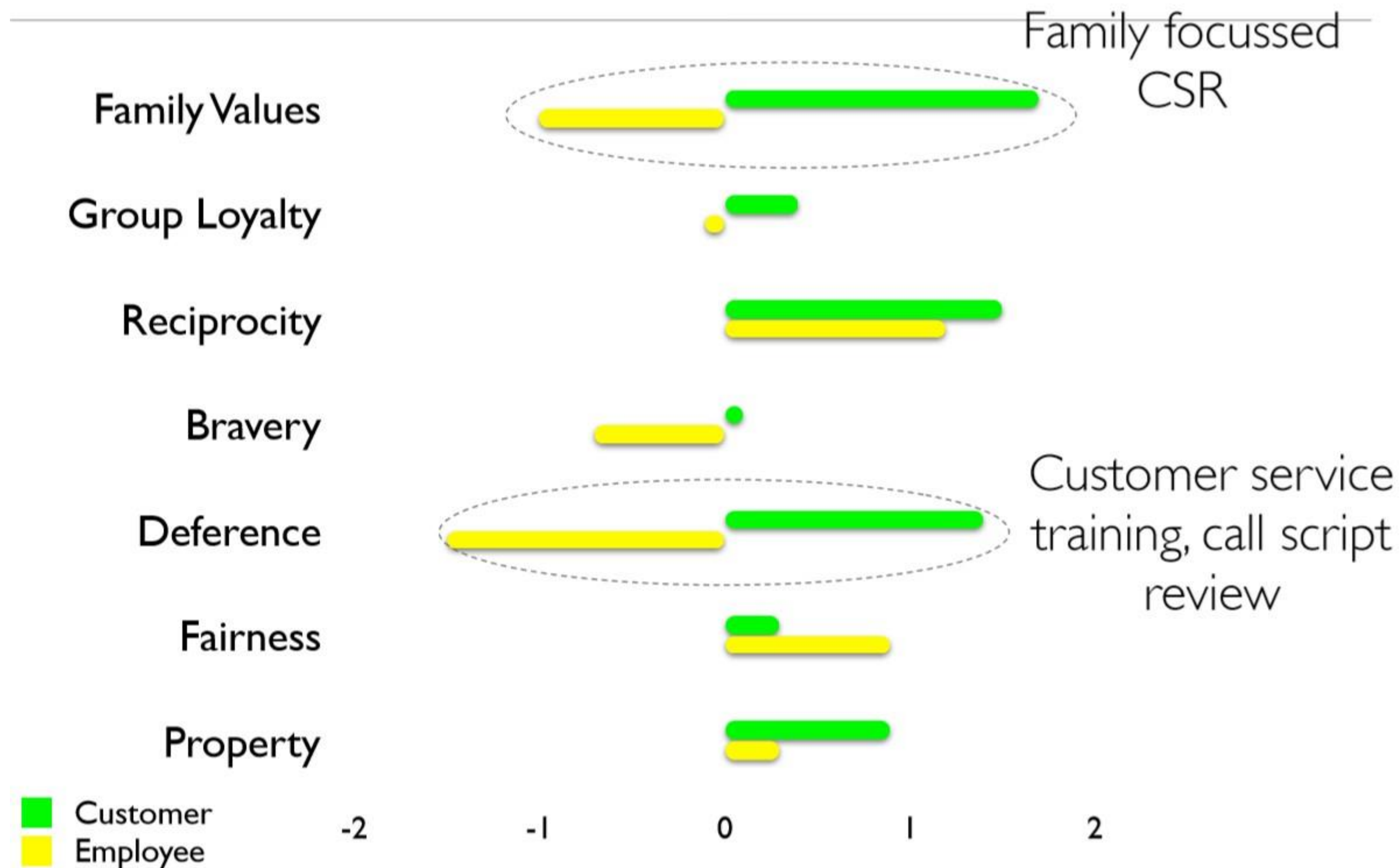
What could you do with it?

How to be better

- Targeted training
- Bespoke operational change
- Code of ethics
- Moral messaging
- Effective CSR

"YOUR COUNTRY NEEDS YOU"

- Pre-seed funding obtained to carry out a pilot.
- Company developed a series of products such as:
- An initial ethical audit
- Developed specific training modules for a client's staff to close the gaps identified
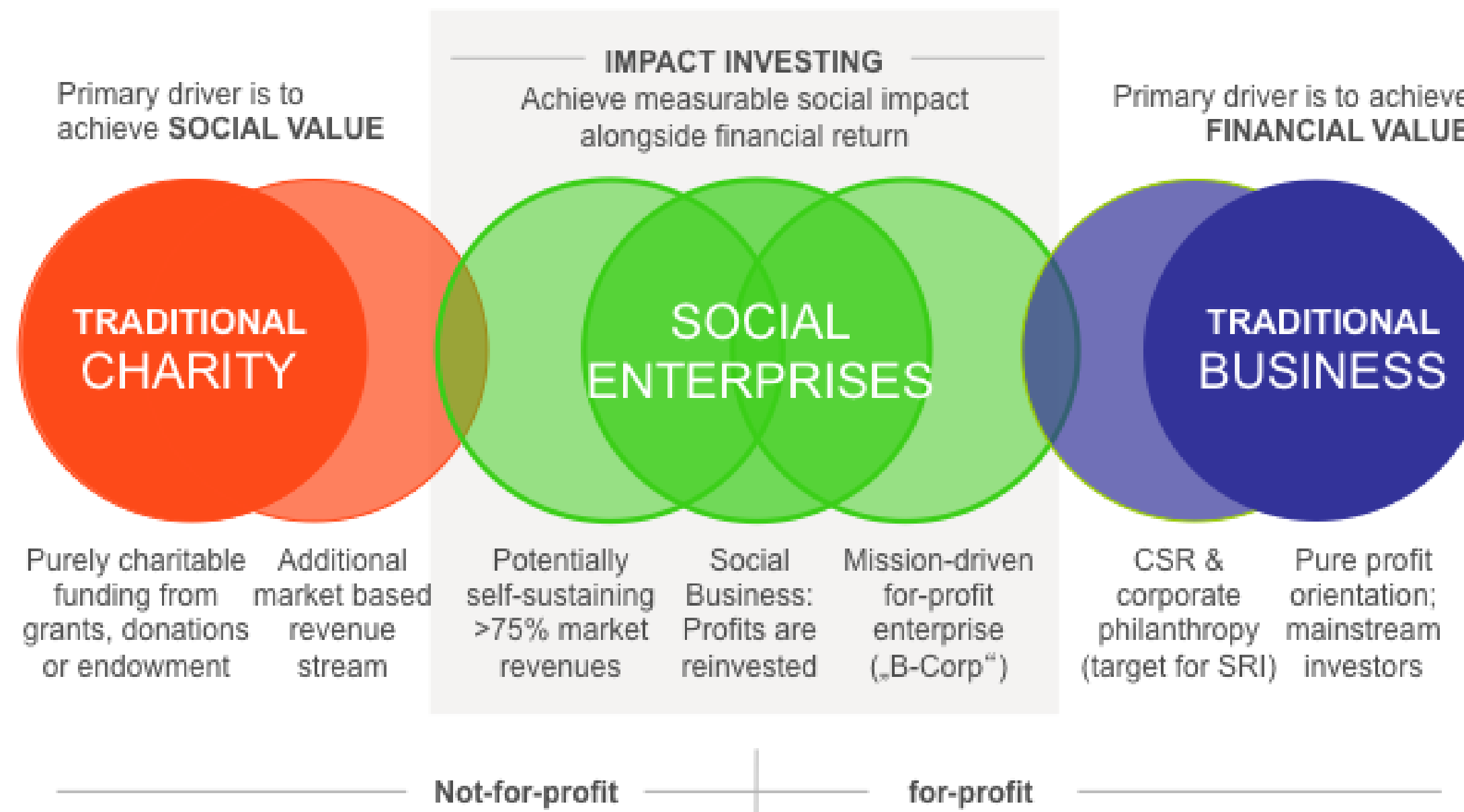- Now spinning out as a company providing the service.

Social Enterprises. Where they sit.

The business model spectrum revisited

Primary driver is to achieve **SOCIAL VALUE**

IMPACT INVESTING
Achieve measurable social impact alongside financial return

Primary driver is to achieve **FINANCIAL VALUE**

TRADITIONAL CHARITY

SOCIAL ENTERPRISES

TRADITIONAL BUSINESS

Purely charitable funding from grants, donations or endowment

Additional market based revenue stream

Potentially self-sustaining >75% market revenues

Social Business: Profits are reinvested

Mission-driven for-profit enterprise ("B-Corp")

CSR & corporate philanthropy (target for SRI)

Pure profit orientation; mainstream investors

Not-for-profit   for-profit

Source: Adapted from J. Kingston Venturesome, CAF Venturesome, and EVPA.

What is a social enterprise?
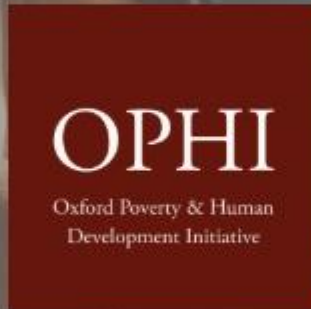# PS: this is our definition

- A social enterprise **is a business** that applies commercial strategies to maximize improvements in **financial, cultural, social and environmental well-being**—this may include maximizing social impact alongside profits for external shareholders.

- Specifically, this purpose is enshrined in a clause (5.1) in the Articles of Association (or Bylaws) of the **business** where each of the Founders and University/OUI has the power of veto over changing it.
  - In practice, University/OUI should not agree to changing the purpose unless the Founders are completely comfortable with it.

- **It is not**:
  - A **charity**
  - Something that **won't make any money**.

- It might however:
  - Be a "not for profit"
  - Return money to the Department to do more research
  - Not "make enough money" for mainstream VCs to be interested in it.

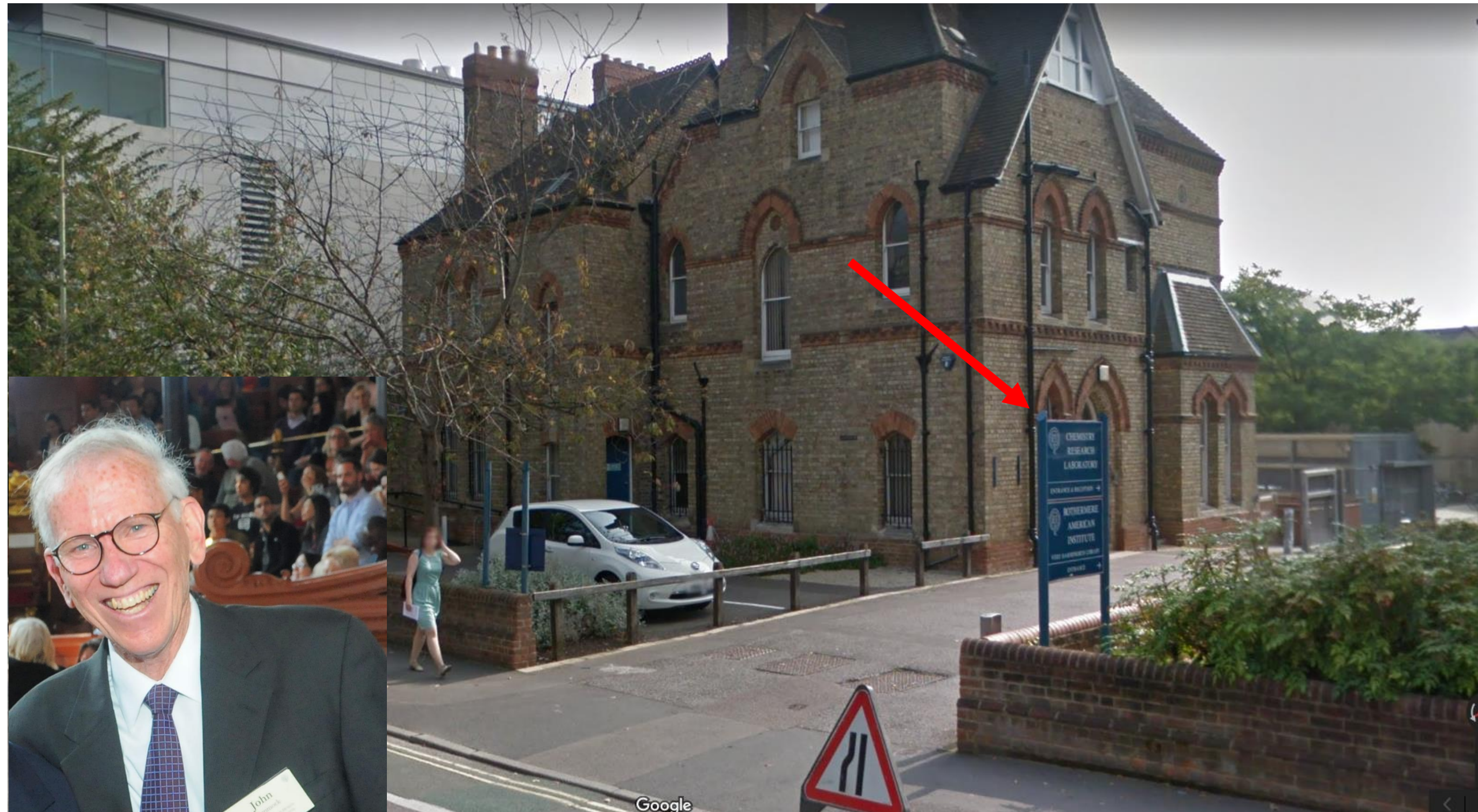# Social Enterprises in Developing Nations
Example: https://sophiaoxford.org/

International Development

So what are we selling here?

- OPHI and Asociación Horizonte Positivo had worked with Costa Rican government on a multi-dimensional poverty index (MPI).

- The biggest bank in Costa Rica wanted to assess whether it was forcing its own workforce into poverty.

- They developed the Business MPI to measure it – the resultant consultancy encouraged the board of directors to put together a hardship fund for those in poverty, paid out of their own salaries.

No really, what are we selling here?

- On the back of the pilot with BAC, OPHI and HP+ launched the bMPI last month.

- HP+ was exclusively licensed to deliver a consultancy and accreditation service on the back of a trademark.

- 20 were expected to sign up. They got 80.

This is going global

Agenda: High-Level Side Event at the 72nd United Nations General Assembly

Using the Multidimensional Poverty Index to Track Progress in the SDGs

19 September 2017, 11am-1pm, CR 2, UN HQ, New York

Reflections by Eminent Speakers

- H.E. Juan Orlando Hernández, *President of Honduras*
- H.E. *Dasho* Tshering Tobgay, *Prime Minister of Bhutan*
- H.E. Juan Manuel Santos, *President of Colombia (by video)*
- H.E. Enrique Peña Nieto, *President of Mexico (by video)*
- H.E. Ana-Helena Chacón, *Vice-President of Costa Rica*
- H.E. Isabel de Saint Malo de Alvarado, *Vice-President of Panama*

Ministerial Discussion

- H.E. Jeff Radebe, *Minister in the Presidency for Planning, Monitoring and Evaluation, South Africa*
- H.E. Ghada Waly, *Minister of Social Solidarity, Egypt*
- H.E. Adoracion M. Navarro, *Undersecretary, National Economic Development Authority, Philippines*
- H.E. Shamsul Alam, *Senior Secretary, General Economics Division, Bangladesh Planning Commission*

Leaders in International Institutions

- Achim Steiner, *Administrator, UNDP*
- Ángel Gurría, *Secretary-General, OECD*
- Thomas Gass, *Assistant Secretary General for Policy Coordination and Inter-Agency Affairs, United Nations*
- Ahmed Aboul Gheit, *Secretary-General, League of Arab States*
- Mohamed Ali Alhakim, *Executive Secretary, UN-ESCWA*
- Carin Jämtin, *Director General, Sida*
- Laurence Christian Chandy, *Director of Data, Research and Policy, UNICEF*
- Carolina Sanchez-Paramo, *Senior Director for Poverty and Equity Global Practice, World Bank*
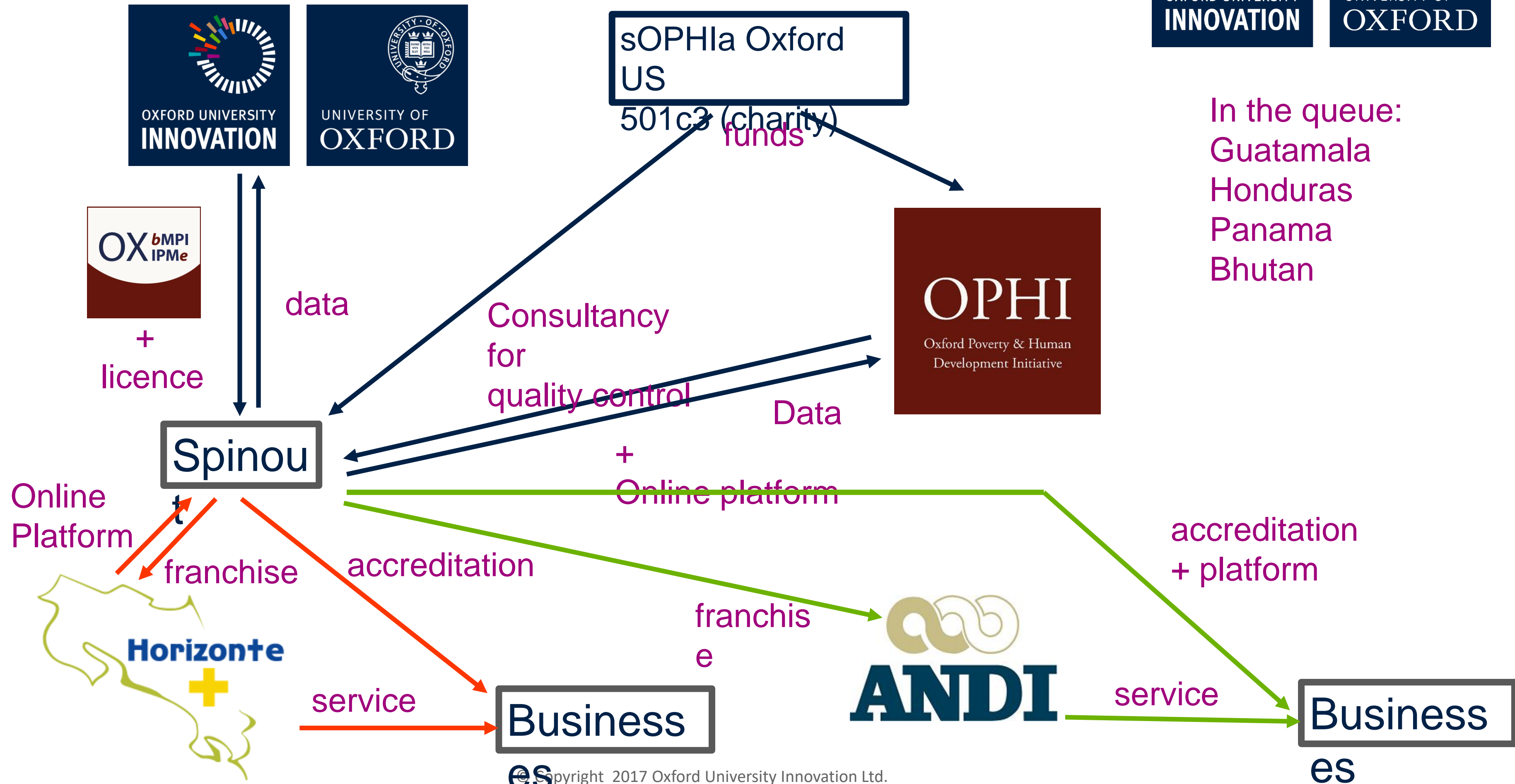
Closing Remarks
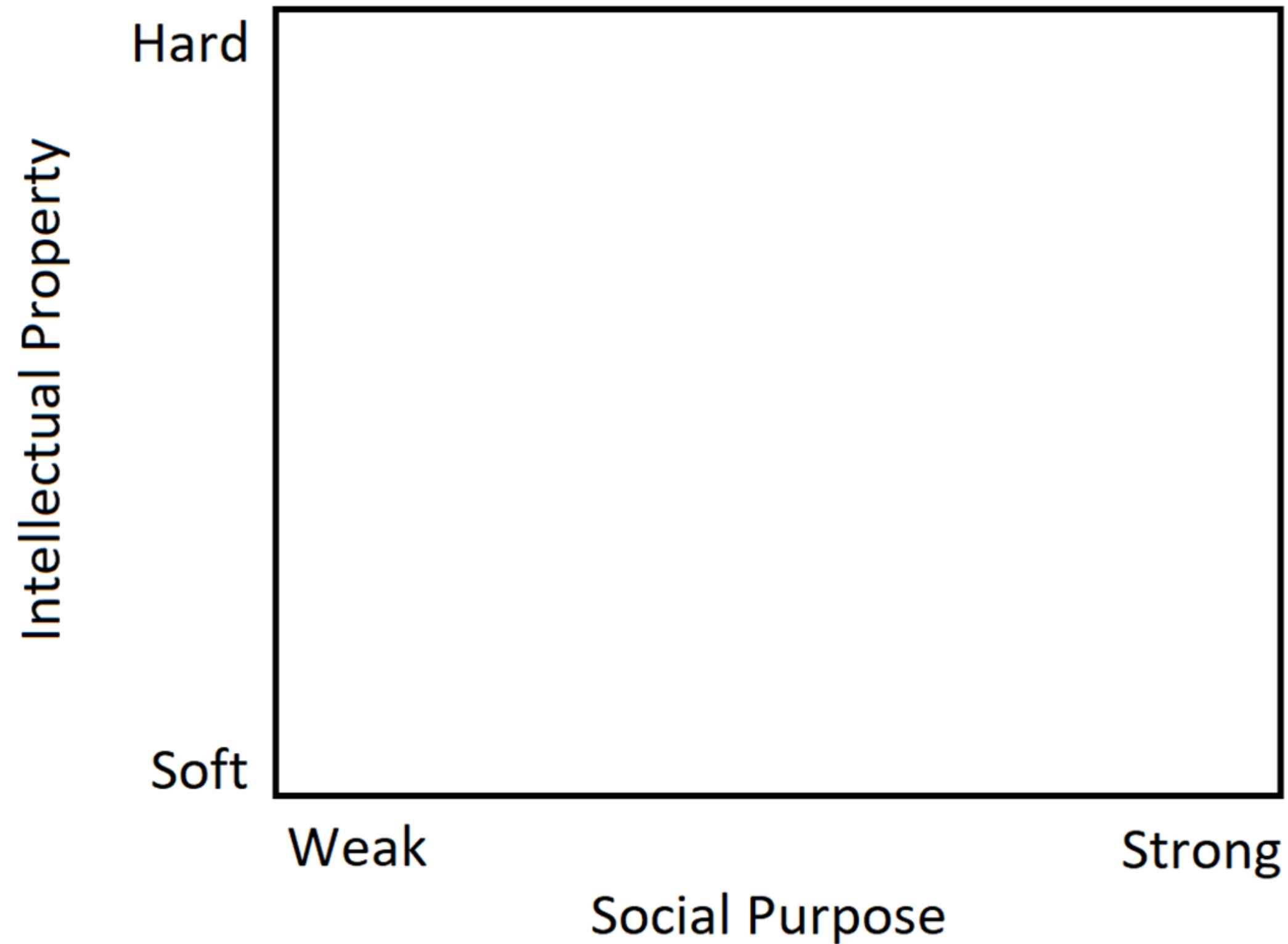*Dr. Sabina Alkire, Moderator and Director of OPHI, University of Oxford*

Confirmed Agenda as of 7:30pm, BST, 14 September 2017

The structure - sOPHIa

sOPHIa Oxford US
501c3 (charity)
funds

In the queue:
Guatamala
Honduras
Panama
Bhutan

+ licence

data

Consultancy
for
quality control
+
Online platform

Data

Spinou
t

Online
Platform

franchise

accreditation

Online platform

accreditation
+ platform

franchis
e

service

service

Business
es

Business
es

Framing the problem space

Intellectual Property — Hard / Soft (vertical axis)
Social Purpose — Weak / Strong (horizontal axis)

Traditional TT area ?

FlexSR
sOPHIa
PalaeoPi
Effective Ethics
OxWater
InkPath

Where would spinouts from your universities sit?

Discuss similarities and differences. Anything easier? Anything harder?

Part 2

Framing the problem space

Chart with vertical axis labeled "Intellectual Property" ranging from "Soft" to "Hard", and horizontal axis labeled "Social Purpose" ranging from "Weak" to "Strong".

Traditional TT area ?

FlexSR
sOPHIa
PalaeoPi
Effective Ethics
OxWater
InkPath

Where would spinouts from your universities sit?

Discuss similarities and differences. Anything easier? Anything harder?

OUI's existing business model and governing principles

- 30% top-slice of licence income with £15,000 directly to OUI per express spinout licence.

- 15% top-slice from readily licensable software (almost never used)

- 10% from consultancy (which covers costs of the team, just)

- Variable equity for the University in spinouts of which OUI takes a slice of in an equity realisation of 15%.

- Newly-developed schemes should be uniform across all University divisions.

The pipeline and its nature

- Little in IP, so licence income at best of low value.

- Much could be trademarked – methodologies.

- Disproportionately high in spinouts.

- Franchise agreements may become more common (consultancy/QC wrapped up with weak copyright IP and a trademark) delivered either through spinouts or direct from OUI (e.g. Mathematical Reasoning).

- High degree of lean spinouts and social enterprises which will require post-spin support.

- Very few patents, so confidentiality provisions become more important.

Impact: 25% = £180 p.a.

- Measured through the breadth and depth of impact.
- AHSS knowledge exchange until now largely consulting. How do you measure impact?

Stimulating debate…
The biggest problem with AHSS valorisation

Policy developed by a University is focussed on STEMM subjects

IP often diffuse or cannot be patented and/or the copyright is worthless.

Means confidentiality more important than normal.

Things that can be patented and are patented shouldn't be; "shoe-horning" AHSS into a model that doesn't work.

Resourcing becomes an issue as income often only comes through licensing

Trademarking and brand building

- Identifying where the value in an idea lies

- Think idea as a headstart not a moat

- Brand building more important

- Order of importance of the brand
  - Who/team
  - The idea
  - Advantage over everyone else

- Developing a sustainable business model is the key to all of this

- Patents can be a crutch rather than an aid

- Need service agreements and franchises

Lean Spinouts

The problem it solves

- Clear, non-negotiable terms
- Standard docs
- TTO pays for incorporation (paid back at growth)
- No investment
- Bootstrappable
- Ready to go service templates
- Potentially part-time staff
- Provide advice to grow.
- Paying for them and models for doing so

Social Enterprise

A great fit for SSHA

- Brand and ethical positioning – mission statements. Fits with academic drivers.

So much depends on your institution however

- Tax reliefs

- Structure and governance

- Takes resource to manage shares and membership. Advantages and disadvantages.

- The decision tree

- University involvement?

What does this mean for TTOs/KTOs

Provocative questions for you all

- Is this a new role? Is it my job to do this?

- Could and/or should this creativity be applied to STEMM subjects as well?
  - Would you save money by properly working through a commercial model first before filing a patent?

- What impact does this have on the power dynamic in an academic/service based relationship? In some instances you will co-create IP.
  - Is this feasible in a university?

- How are TTOs/KTOs to become self-sustaining?

What training is there for the professors?

Training courses for SSHA academics in "technology transfer and/or business" in Oxford listed below

- ·
- ·
- ·
- ·
- ·
- ·
- ·
- ·
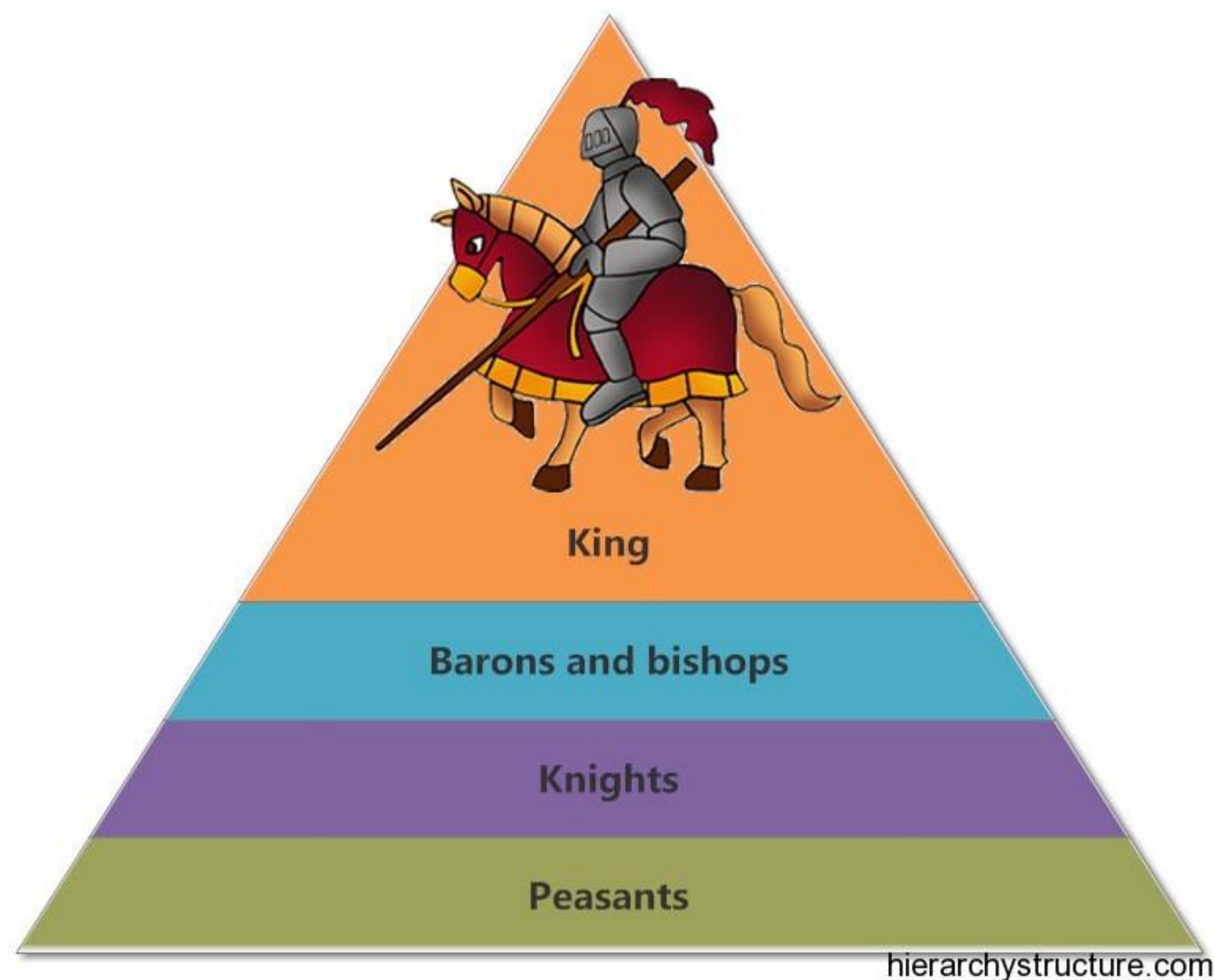- …as for interacting with business…

Warning: provocative slide coming up.

European Universities are structured feudally and KT professionals are often treated like peasants

European Feudal Hierarchy

King

Barons and bishops

Knights

Peasants

hierarchystructure.com

Italy: University of Bologna, 1088

The oldest university in Europe – and also the oldest university in the world – is the University of Bologna in Italy. In fact, this is the institution for which the term "university" ("universitas" in Latin) was coined – the word did not exist before that. Originally founded to promote legal studies, it has long since branched out to other disciplines. Across the centuries, the University of Bologna's illustrious alumni have included a number of popes, Copernicus, Dante, and even car maker Enzo Ferrari.

England: University of Oxford, 1096, and University of Cambridge, 1209

The University of Oxford is the oldest university in England, and thereby the United Kingdom. Its fierce rival, the University of Cambridge, was founded roughly 100 years later, when disputes with the townspeople forced a large number of Oxford scholars to leave, many of which settled in Cambridge and set up a new university. Both institutions are today considered among the very best universities in the world.

Scotland: University of St Andrews, 1410–1413

Scotland's oldest university was founded between 1410 and 1413, half a century after the second Scottish War of Independence. Initially, the taught subjects revolved around theology and philosophy; today, the University of St Andrews offers degree programmes in a wide spectrum of academic disciplines.

France: University of Paris, around 1150

There is some debate around the original founding date of the University of Paris, France, the famous "Sorbonne". It originally emerged as a private corporation around 1150 and was later chartered as a university. The university no longer exists in its original form. Instead, following revolts in the late 1960s, the faculties were split up into thirteen successors.

Portugal: University of Coimbra, 1290

Portugal's oldest university was originally founded in Lisbon in 1290 and relocated a number of times before moving permanently to its current location. The University of Coimbra is the namesake for the "Coimbra Group", an association of traditional research universities in Europe, many members of which are actually portrayed in this article.

Austria: University of Vienna, 1365

The University of Vienna sets more than one record: Not only is it the oldest university in the German-speaking countries; with more than 90,000 students, it is also the largest by enrolment. And in most rankings, the University of Vienna usually scores best within Austria.

Is it only an AHSS problem?
Answer: it depends

Are KT professionals only a service?

- "It's my invention. I did all of it."
    - And your post-doc/student did nothing?
    - Your KT support did nothing?
    - Your business/research partner did nothing?

- KT professional has the potential to add value and co-create the impact, as do all other stakeholders.

- If the impact is thought to be important then all stakeholders need to be treated equally.

- Therefore, training will be most effective when stakeholders **are trained together.**

- It is an opportunity to learn and respect each party's strengths and weaknesses, to build relationships and to take these principles forward to the second, third....tenth project. **Culture change.**

Oxford University Innovation's new products applied

- Lean spinout
  - spin out a company that doesn't need investment for the price of filing a patent.

- Social enterprise spinouts.
  - Companies Limited by Guarantee.
  - Discussing how to get the first money in. Could either be:
  - Convert to a CIC to get 30% SITR or
  - Create a shares subsidiary to get either SEIS (50%) or EIS (30%) tax relief.

- Service agreements
  - Research-backed methodology that is proven to work, published and recognised by the field.
  - Franchise the spinout/company to deliver the methodology on your behalf. Can be trademarked.
  - Charge for quality control. Withdraw the franchise if corners are being cut. This PROTECTS the methodology.

Social Enterprise #1:
sOPHIa Oxford UK

- Lean spinout
  - spin out a company that doesn't need investment for the cost of filing a patent.

- Social enterprise spinouts.
  - Company Limited by Guarantee.
  - Funded through loans and donations.
  - Will take advantage of tax reliefs for social impact work.

- Service/franchise agreements
  - Research-backed methodology that is proven to work, published and recognised by the field.
  - Franchise the spinout/company to deliver the methodology on your behalf. Trademarked methodology.
  - Charge for quality control. Withdraw the franchise if corners are being cut. This PROTECTS the methodology.

Sustainability
Partner up with other institutions to pool resources

- Needs infrastructure and support.

- More "organic" companies and social enterprises benefit from a fully-functioning ecosystem.
  - Share best practice
  - Combine pipelines
  - Expand networks
  - Pool talent
  - Channel funding
  - Channel resources

- We are expanding our incubator's services

- Massive outreach from us to the community and other universities

Potential sources of target income for TTO/KTO
## Short answer: no up-front ways of charging

- A percentage of an IP-service bundle. A franchise.

- A percentage of revenue when a company grows to a particular size to go back into the pot so we can do it again.

- Consensus in Europe appears to be that this is capped.

- Grants from the central University and elsewhere.

How income model looks

- Obviously different to slice this and dice this with so many variables.

- Based on a third AHSS team member in a year's time.

- Only AHSS, not all social enterprise across the University.

- Will require government or central University funding to fill the gap.
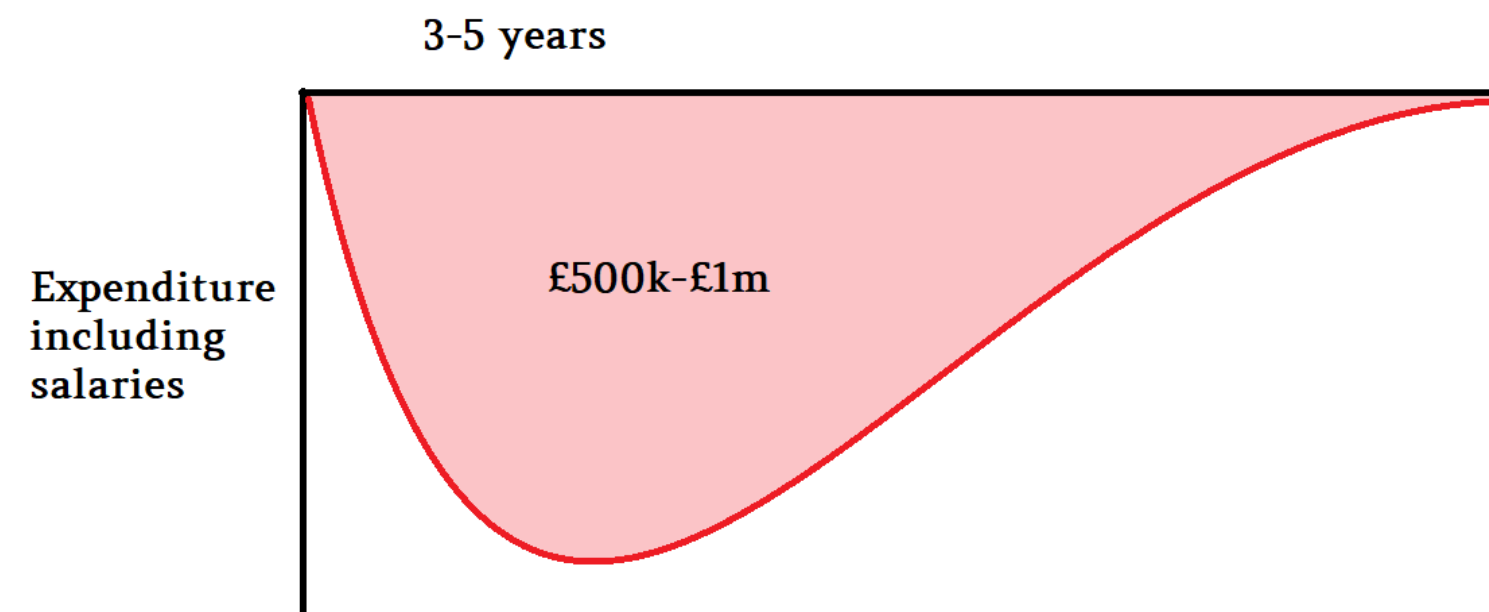
3-5 years

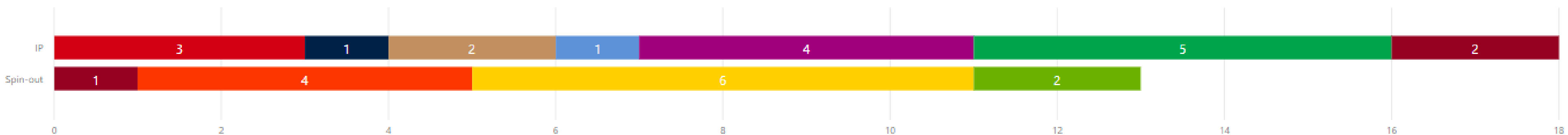Expenditure including salaries

£500k-£1m

Social Sciences Division
114 (including joint) active projects
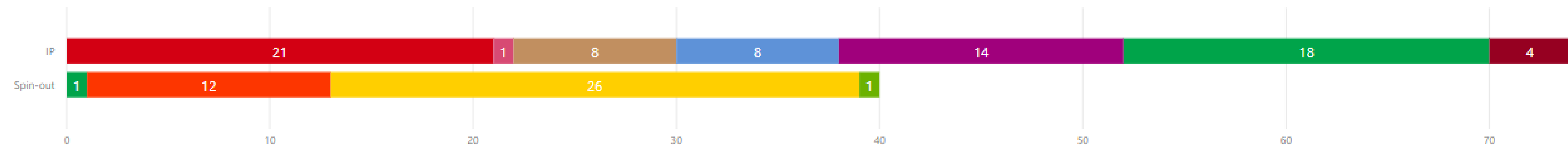
What is now happening in Oxford
SSHA half the social enterprise pipeline

Count of Project Number by Divisions
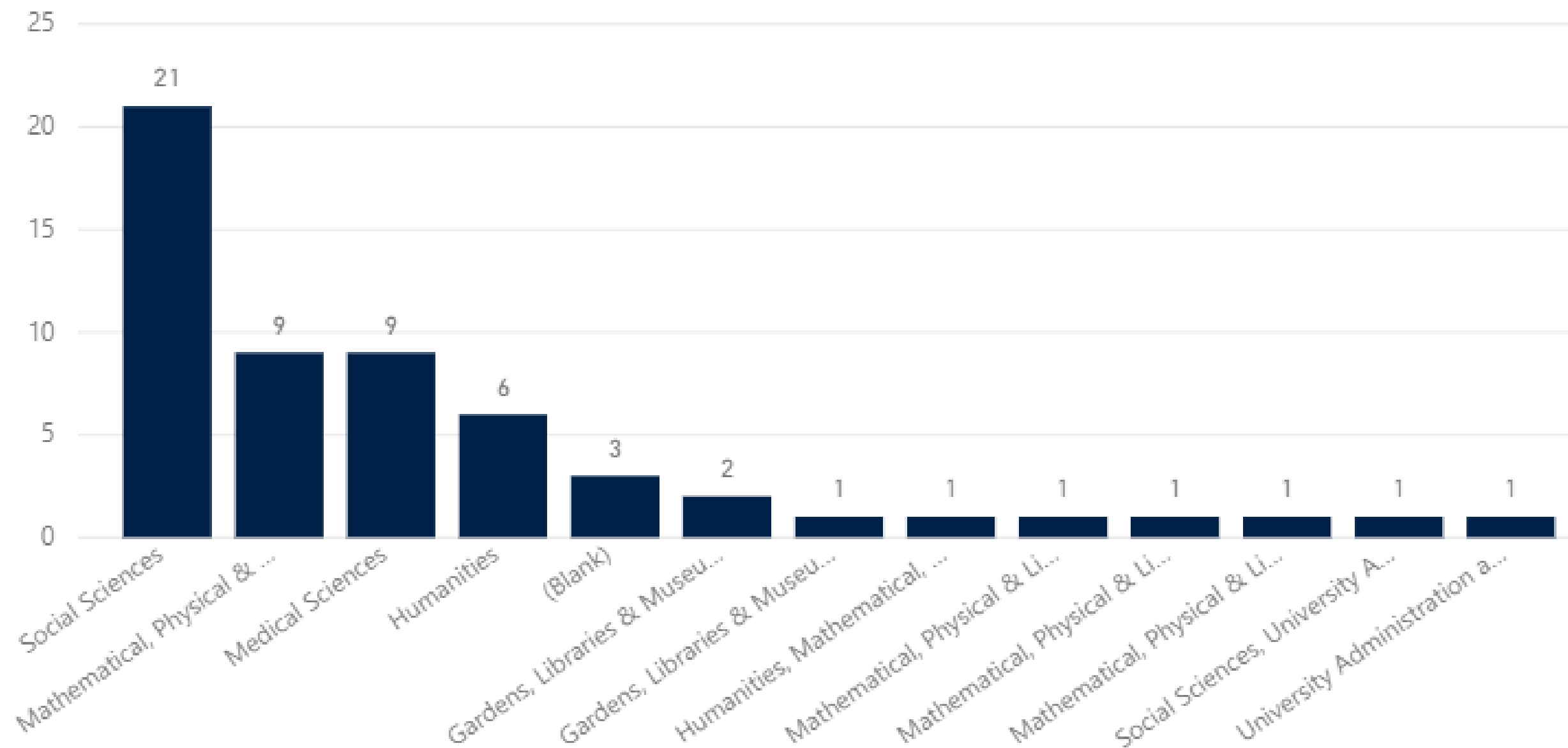
- 57 projects now in the pipeline
- Half from SSHA
- Requires translational funding to support the pipeline.
- Translational funding required for SSHA generally less than for STEMM
- Investment required generally less than patenting.

How to Develop IP Policies (and Practice) with a Focus on SSHA

Marc Sedam

Vice Provost of Innovation and New Ventures, University of New Hampshire

Chair, AUTM

Technology Transfer in SSHA

- "I don't have patents and am not interested in working with companies so none of this applies to me."

What is Technology Transfer?

- 40+ leaders from across the globe met in Thailand last September to produce this answer

A collaborative, creative endeavor that translates knowledge and research into impact in society and the economy.

Let's Break This Down

Keyword	SSHA?
Collaborative	😁
Creative	😁
Translates knowledge/research	😁
Impact	😁
Society	😁
Economy	😱

Everything Old is New Again

- I entered TT in the late 1990s
- Chart would look nearly identical to most STEM scientists of the time
- Key insight was connecting impact to commercialization
- "How does your scholarship have societal impact if no one reads your paper?"

What Did We Set Out to Do

- Universities have valued commercialization of STEM for decades

- UNH does not have med, dental, vet, or pharmacy school

- Strong liberal arts tradition
  - Arts, Humanities, Social Sciences (SSHA)

- Let's talk to the entire campus

Traditional University Policy

- University owns IP but most policies are written where IP = patents

- Copyrights are occasionally discussed and often connected with funding

- Trademarks are almost never discussed except for "university marks"

- AND the concept of an 'exempted scholarly work' shows up

Exempted Scholarly Work

If a Covered Individual is granted, pursuant to this section, Copyrights that would otherwise be owned by the University in **instructional materials**, such as class notes, curriculum guides, theses, or dissertations, the University retains a non-exclusive, irrevocable, royalty-free License to use, display, duplicate, create derivative works from and/or distribute the materials with appropriate attribution for University educational and/or research purposes.

-UNH Intellectual Property Policy

What is a Creative Work?

- Wikipedia defines a **"creative work"** as:
  - a manifestation of creative effort including but not limited to artwork, literature, music, paintings, surveys, evaluation materials, etc.

- In the academic environment, a **"creative work"** means:
  - NON-patentable intellectual property that has market value outside of the university environment.
  - Also includes a variety of educational programs (including virtual courses), process quality management programs for industry, non-patentable creations that meet niche market needs, software APPS for a variety of purposes, social & outreach engagement programs, etc.
  - Creative Works (covered by copyrights and trademarks) supplement patents
    - Providing opportunities for expansion of licensing a family of IP around a certain innovation

Policy

- Focused heavily on understanding the policy construct of UNH and clearly communicating we we were **<u>not</u>**:
  - Usurping the "professor's privilege"
  - Taking ownership of exempted scholarly works
- Started to make ourselves available to people in SSHA to help with publishing contracts and data rights agreements

Disconnect

- Separating basic scholarship from the application of scholarship
  - Same as separating commercialization results from the basic research done to create them
- Why aren't creative works included more in the tech transfer practice?
  - People have known about royalties since at least the publication of 'Little Women'
- Many IP policies were written decades ago leaving SSHA outputs unconsidered

Three Basic TT Challenges

1. TTOs are taught to license things exclusively

2. Relative value of each transaction

3. TT metrics don't exist to capture the outputs of scholarship

   – Quite possibly the most significant challenge

Breakout Exercise

- ## Group 1
  – What potential business models exist in SSHA that don't exist in STEM disciplines? Are there aspects of SSHA commercialization that your TTO doesn't understand?

- ## Group 2
  – Suggest alternative metrics for measurement in SSHA and how these might impact commercialization.

Where Did This Start?

With the arts, of course

- Mariana Trench

- Deepest part of the ocean and mapped by UNH scientists

- So why did we receive a call from Warner Brothers?
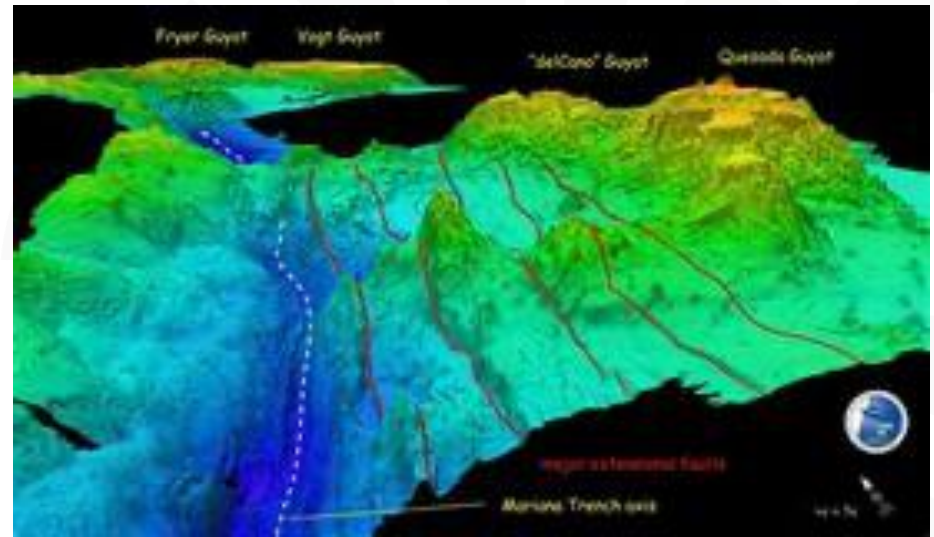
"The Call"

- Random call enquiring about this copyrighted image from WB

- Wanted to know "if they could use it"

- Were not forthcoming about the use case and UNH was uncomfortable granting rights without knowing *how* it would be used

- Any guesses?

High Art!

Next Up. Using Trademarks for Good

- In 2007, Dot Sheehan, UNH Assoc. Athletics Director, developed a local program she named Operation Hat Trick

- Goal was to generate income and fund the specific needs of wounded veterans with gaps in healthcare or services

- 2011 - Trademark Applications Filed

- 2012 - Non-Profit Formed and license agreement signed

Operation Hat Trick Today

- Over 650 licensees
- $1.4 million donated directly to veterans' needs
- One of the fastest growing new brands in the collegiate apparel market
- Project $20MM in retail sales this year
  - Would lead to a $1MM annual donation to veterans

UNH Innovation

What's Next—A New Business Model

- Scholarship is mutable and shareable
- Scholars often put the results of their work online to communicate/share/give back to their community
- But…that scholarship will be read, interpreted, and sometimes *changed* without the permission of the authors
- What do you do when your work isn't really your work?

Practice

- UNHInnovation has a sophisticated back office, business, tracking, and financial functions
- Leverage these to take burden of scholars in SSHA

Enter—The NH Primary License

- Use a combination of trademark and copyright rights to regain control of scholarship

- Faculty ownership of the copyright/scholarly work doesn't effect model

- Allows faculty to change, adapt, and adjust their scholarship over time and still make the same offering to the public

How It Works

- Faculty update their work before launch
- UNH creates a university-owned trademark to cover the copyrighted work
- Faculty agrees to only use the trademarked name for future publications
- UNH and faculty agree to the pricing and revenue share
- Creative work is distributed online only

Case Study: Prevention Innovations Research Center

- Decades of scholarship dedicated to the prevention of sexual assault and relationship violence

- Experts in their field

- Created evidence-based tool to promote bystander intervention which was given out online *for free*

- Downloads were a handful each year with no tracking

Not Focused on the Value of the Work

- Faculty promoted their expertise not the end product
- No other "evidence-based" product existed but hundreds of researchers did
- Pressed them to sell their work based on value of its impact not where it was published
  - A problem in tenure, btw!
- Interest started to flow

Case Study: Bringing the Bystander®

- 2012 Trademark application filed on Bringing in the Bystander®

- 2013 Registration gained & copyright application filed on the Program Curriculum

- 2014 Licensing began via
    - Direct Sales
    - Regional and Customized Trainings
    - Trainer-the-trainer events, and
    - Traditional licensing model

- 2014 Prevention Innovations Research Center Formed

PREVENTION INNOVATIONS™
Research Center

- As of June 2018 – 400 End User Licenses

- Trained over 10,000 people on preventing relationship and sexual violence

- Hired four support staff

- Regional Trainings

UNH Innovation
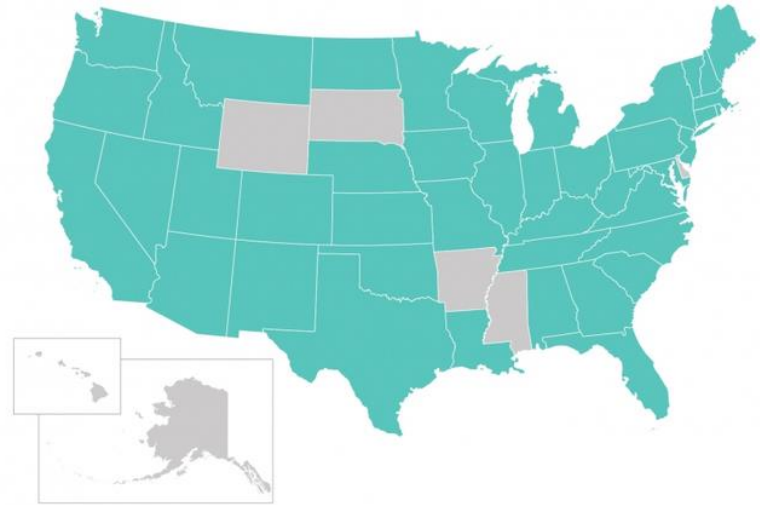
Value Proposition

- Value of PIRC was in the training based on content (train-the-trainer)

- Volume of licensing was becoming a challenge logistically

- Faculty received over $10MM in funding based on the new value proposition and a seat on the White House Task Force for Sexual Assault Prevention

Today: Soteria Solutions!

- Founded by Dr. Sharyn Potter & Jane Stapleton of UNH's Prevention Innovations Research Center
  - Innovators of the Year, 2015
  - UNH's first female-founded research-based start-up
  - Participated in both UNH and National I-Corps Programs
  - Focuses on the dissemination of products and research from PIRC

- Soteria signed exclusive license 15 months ago
- Partner with Bloomberg and other companies which are sometimes more challenging in the academy

10 min break

Evolution

- Learned the value of copyrights
- Licensed and created trademarks
- Combined into UNH Primary License
- Did hundreds of licenses per year on just a few ideas

Welcome to https://license.unh.edu

UNH
Innovation

What's Next?

- Moving to a 100% online platform starting this week!!!

- Handles all processing, finance, licensing, versioning, and distribution

- Licensing with people providing oversight not effort

- Let's take a look

Goal: Become the Amazon.com of Tech Transfer

- license.unh.edu removes human FTE from equation meaning no license is too small

- Images, apps, curricula, software…whether it has financial value or not we can simplify transactions and made access to scholarship even easier

- Do one transaction or 1,000 with the same effort

Today

- UNH remains in the top 10 in the US for total number of licenses signed over the past five years.
  - In 2016 we signed more licenses than Harvard and MIT combined!!!
- NH Primary License model is being copied and used in an increasing number of US universities
- Engages the entire campus in commercialization
- Cross-fertilization of work
- Dissemination of UNH scholarship more broadly than ever with financial benefit

UNH
Innovation

Three Suggestions for SSHA commercialization

- Clear policy on ownership of copyrights by the institution and the separation of CW from ESW

- Allow commercialization to be a consideration on promotion and tenure
  - Existence is a positive but absence is not a negative

- Require each SSHA project to have an "alternative metric" to track success and summarize totality of these metrics each year