




Technology Transfer in Multilateral Technology Alliances

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University of Arizona – Fast Facts

- UA One of the U.S. Top 20 Universities
 - Comprehensive including Arizona's Medical And Agricultural Schools
 - Research Expenditures of USD 600 Million
 - Top Recipient NSF Funding in Physical Sciences
 - Top Recipient NASA funding: Leader in Space Sciences, Astronomy & Optics
 - MIS program in top 5 for last 20 years; Top 10 Worldwide Entrepreneurship Program
- Student Population: 38,000



Scale Perspective – USD 600 Million

- UA Negotiates About 3400-3600 Agreements Per Year
- About 1500 Are With Industry (Dow Chemical Has About 250 Agreements with Universities Per Year)
 - 200 Clinical Trials 300 BMTA's, 250 CDA's
 - 800 Research & Service Agreements, Task Orders
- FY2001-FY2006:
 - 12.5% Of Award Dollars Were From Industry
 - Expenditures 6.2% (National Average Of 5%)



There Is Great Value In Partnering

Value Elements Spread Across Typically 5 Areas

- Peer Communication & Knowledge Sharing
- New Knowledge Generation
- Research Tools & Artifacts (Perhaps Even IP)
- Creation/Placement of Highly Qualified People
- Opportunities for “Continuing Education”



In Alliances, Intellectual Property:

- Structures the relationships
 - Gives certainty to what each group brings to the effort
 - Gives certainty to what each group takes from the effort
- Allows for future clarity of action
 - What may, or may not, be done
 - How the parties benefit economically



Negotiation

- Clarity of goals required
- Cannot be a zero-sum negotiation (winner take all)
- In case of difficulty, problems can be separated along lines of:
 - Ownership
 - Control
 - Financial Interest
 - Risk
 - Attribution



Partnering: Many Cultural Perspectives

Trait	University	Industry
Decision Making:	Distributed / Bottom Up	Concentrated / Top Down
Focus:	Individual Freedom	Team & Integration
Primary Purpose:	Societal / Purpose Driven	Economic / Profit Driven
Environment:	Open / Opportunistic	Closed / Planned
Research Customer:	Students, Peers & Governments	For Profits & Consumers



Best Practices

- Remember: IP is different in different countries
 - Germany is not the United Kingdom is not Russia is not the United States
 - e.g. Patent Joint Ownership
 - Germany – accountable to other owner except in assigning the patent
 - U.S. – not accountable
- Remember: IP is different among different classes (P,C, TM, TS)
 - Nature of rights granted
 - Treatment and perfection of rights



Best Practices - Continued

- Construct alliances for specific goals and partners
 - No “Universal Solution”
- Separate Foreground IP (what is created in the alliance) from Background IP (what is brought to the alliance)
- Separate types of IP from one another
- Reward the supply chain
 - Very difficult NOT to have an on-going dependency on each other – ALLIANCE!
 - Each partner must have an upside or lacks incentive to cooperate