This is the questionnaire for the third South African Survey of Intellectual Property (IP) and Technology Transfer (TT) of Publicly Funded Research Institutions (Survey). The Survey is designed to use the most significant indicators to track the overall activity of IP and TT at publicly funded research institutions, identified as such in the Intellectual Property Rights from Publicly Financed Research and Development Act (IPR Act). The Survey will also assist in monitoring the progress made in terms of creating capacity in the country to manage IP and TT as well as the associated outputs, outcomes and impacts.

The Survey is being implemented through a partnership between the Department of Science and Innovation (DSI), the National Intellectual Property Management Office (NIPMO) and the Southern African Research and Innovation Management Association (SARIMA). SARIMA has been appointed to administer the Survey and provide support to the institutions on behalf of the DSI.

It may also be helpful to print out the Questionnaire and read through the whole document and importantly read through the Instructions, Abbreviations and Definitions document before attempting to answer the questions.

To ensure that the Survey delivers meaningful results and analysis, it is crucial to ensure that you understand the questions before completing the questionnaire. As a guide, words that are legal/technical survey terms are CAPITALISED and appear in the Instructions, Abbreviations and Definitions document. These definitions are also available in the online version of the Survey – please hover over the word/s for the definition to show.

You are requested to kindly complete and return this questionnaire as early as possible but at the latest by 28 February 2025. The questionnaire can only be submitted online.

For assistance in completing any part of this questionnaire, please feel free to contact Dr Prenitha Sewnarain as the Project Manager:

E-Mail: prenitha@sarima.co.za
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Be assured that the Survey is strictly CONFIDENTIAL. Aggregated data may be made available for research purposes, upon request. No data associated with any individual institution will be shared without prior written consent of the institution concerned.

Contact details of the person responsible for the submission of this Survey at your institution (typically, the Director):

Institution name: drop down list to select

Title	
First Name(s)	
Surname	
Designation	
Work Phone	
Mobile/Cell	
Email	

SOUTH AFRICAN NATIONAL SURVEY OF INTELLECTUAL PROPERTY AND TECHNOLOGY TRANSFER AT PUBLICLY FUNDED RESEARCH INSTITUTIONS

QUESTIONNAIRE

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SECTION I
TECHNOLOGY TRANSFER INSTITUTIONAL LANDSCAPE

1.1 Factors of TECHNOLOGY TRANSFER: Please rate the importance, as well as the extent to which these factors are present and functioning within your institution and environment

		Importance			Present and functioning		
		Not important	Moderately important	Very important	Not present	Partially functioning	Functioning effectively
INTERNAL FACTORS							
1.1.1	Internal (institutional) individual relationships, for example relationships with innovative researchers						
1.1.2	Support from institution's executive/ management						
1.1.3	Awareness amongst research staff and students about the importance of disclosing and managing IP						
1.1.4	Externally focussed marketing channels such as websites, brochures, etc						
1.1.5	Internally focussed marketing channels, such as websites, bulk email, newsletters, guides, etc						
1.1.6	Calculation and distribution of BENEFIT SHARE						
1.1.7	TTF permitted by the institution to appoint suitable and sufficient number of TT staff						
1.1.8	TTF permitted by the institution to negotiate and recommend an IP TRANSACTION						
1.1.9	TTF permitted by the institution to establish START-UP/SPIN OUT COMPANIES						
1.1.10	TTF permitted by the institution to establish an incubator						
1.1.11	Access to incubation space (either managed by TTF or available externally) albeit not established by TTF						

	Importance			Present and functioning		
	Not important	Moderately important	Very important	Not present	Partially functioning	Functioning effectively
EXTERNAL FACTORS						
1.1.12 A consultative engagement on national technology needs and challenges						
1.1.13 A national online platform to showcase technologies						
1.1.14 A national technology showcasing event						
1.1.15 An international platform to showcase technologies						
1.1.16 TTF engagements with industry (formal and informal)						

1.2 Does your institution have a policy or guideline that addresses the following aspects/ provisions?

1.2.1 Please select in drop down box: Policy in place, Guideline in place, or No policy or guideline in place.
1.2.2 If Policy or Guideline is in place, please answer:
- 1.2.2.1 Is the relevant policy or guideline approved by the Board/Council?
- 1.2.2.2 Is the policy/ guideline broadly adopted and in use?
- 1.2.2.3 Is the policy/ guideline adequate or effective?

Note: The listed aspects or provisions could all be within the same policy or guideline document

Aspects/ Provisions	1.2.1 Policy/ guideline in place or not	1.2.2.1 Approved by Board/ Council	1.2.2.2 Broadly adopted and in use	1.2.2.3 Adequate/ Effective
1.2.1 IP ownership	*Drop down options:* *1. Policy 1 in place* *2. Guideline in place* *3. No policy or guideline in place*	*Yes*	*Yes*	*Yes*
1.2.2 Calculation and distribution of BENEFIT SHARE	*Drop down options:*	*No*	*No*	*No*
1.2.3 Research Pricing/Costing	*Drop down options:*	*Yes*	*Yes*	*Yes*
1.2.4 Conflict of Interest	*Drop down options:*	*Yes*	*Yes*	*No*
1.2.5 Private work	*Drop down options:*	*No*	*No*	*Yes*
1.2.6 Commercialisation of IP	*Drop down options:*	*Yes*	*No*	*No*
1.2.7 Creation of START-UP/ SPIN OUT COMPANIES	*Drop down options:*	*No*	*No*	*No*
1.2.8 Investment in START-UP/ SPIN OUT COMPANIES	*Drop down options:*	*No*	*No*	*No*
1.2.9 Allocation of EQUITY to founders and INSTITUTION in a START-UP/ SPIN OUT COMPANIES	*Drop down options:*	*No*	*No*	*No*
1.2.10 Research Data Management	*Drop down options:*	*Yes*	*Yes*	*Yes*

1.3 Does the policy of your institution provide more than the minimum BENEFIT SHARE to IP CREATORS, as prescribed by the IPR Act (20% of the gross revenue (up to R1 million) and 30% of the nett revenue thereafter)?

1.3.1 YES/ NO
If yes,
1.3.2 what percentage of gross REVENUE is allocated to IP CREATORS? (free text box)
1.3.3 what percentage of nett REVENUE is allocated to IP CREATORS? (free text box)

1.4 Does your institution's policy or guideline provide for benefit sharing with IP ENABLERS?

Yes/No

If yes,
1.4.1 is the portion allocated to IP ENABLERS derived from the BENEFIT SHARE due to IP CREATORS or does the institution have a separate provision or category for IP ENABLERS? Share in IP CREATORS' Pool / Separate Provision
If you answered 'Share in IP CREATORS' Pool:
1.4.2 Do the IP CREATORS decide on the portion accruing to the IP ENABLERS? Yes/No

1.5 Select the most appropriate description for the approval processes within your institution to form a START-UP/SPIN OUT COMPANY

Complex yet still efficient		Complex and inefficient	
Simple yet generally inefficient		Simple and efficient	
No formal approval process in place			

1.6 Select the most appropriate description for the approval processes within your institution to conclude an IP TRANSACTION

Complex yet still efficient		Complex and inefficient	
Simple yet generally inefficient		Simple and efficient	
No formal approval process in place			

SECTION 2
TECHNOLOGY TRANSFER FUNCTION

2.1 For each of the following key TTF activities, please

2.1.1 Please select in drop down box whether TTA is Undertaken by TTF, Outsourced by TTF, or Done elsewhere in institution
2.1.2 Whether the TTF has the capability (having required skills and knowledge) to undertake the activity?
2.1.3 The extent of the capacity (consider factors such as workload, efficient IT systems, etc., that may impact capacity despite having the capability) within the TTF to undertake the activity.
2.1.4 Rate the importance of the activity in achieving TECHNOLOGY TRANSFER goals at your institution.

TECHNOLOGY TRANSFER ACTIVITY (TTA)	2.1.1 Activity	2.1.2 TTF Capability	2.1.3 Capacity			2.1.4 Importance		
			None	Inadequate	Adequate	Not important	Moderately important	Very important
ADMINISTRATIVE AND IP MANAGEMENT								
Identifying and sourcing DISCLOSURES	*Drop down options:* *1. Policy I in place* *2. Guideline in place* *3. No policy or guideline in place*	*Yes*	*x*	*x*	*x*	*x*	*x*	*x*
Conducting novelty searches	*Drop down*	*Yes/No*	*x*	*x*	*x*	*x*	*x*	*x*
Managing process of IP registration, prosecution, and maintenance	*Drop down:*	Yes/No	×	×	×	×	×	×
Statutory Compliance (IPR Act DISCLOSURES, referrals etc)	*Drop down:*	Yes/No	×	×	×	×	×	×
Contract management for R&D	*Drop down:*	Yes/No	×	×	×	×	×	×
Contract management for TTA	*Drop down:*	Yes/No	×	×	×	×	×	×
Conducting institutional training/ awareness workshops, seminars, etc. on IP and innovation	*Drop down:*	Yes/No	×	×	×	×	×	×
Dealing with open source, open access or open educational resources	*Drop down:*	Yes/No	×	×	×	×	×	×

TECHNOLOGY TRANSFER ACTIVITY (TTA)	2.1.1 Activity	2.1.2 TTF Capability	2.1.3 Capacity			2.1.4 Importance		
			None	Inadequate	Adequate	Not important	Moderately important	Very important
Handling requests for publication of R&D outputs by institution or collaborators	*Drop down:*	Yes/No	×	×	×	×	×	×
Management of student entrepreneurship programmes	*Drop down:*	Yes/No	×	×	×	×	×	×
Engagement with industry – Building networks for collaboration	*Drop down:*	Yes/No	×	×	×	×	×	×
Handling copyright matters	*Drop down:*	Yes/No	×	×	×	×	×	×
COMMERCIALISATION								
Development of route-to-market / commercialisation strategy	*Drop down:*	Yes/No	×	×	×	×	×	×
Marketing of technologies	*Drop down:*	Yes/No	×	×	×	×	×	×
Deal structuring and negotiating an IP TRANSACTION	*Drop down:*	Yes/No	×	×	×	×	×	×
Establishing and supporting START-UP/ SPIN OUT COMPANIES	*Drop down:*	Yes/No	×	×	×	×	×	×
Fundraising for technology development and commercialisation	*Drop down:*	Yes/No	×	×	×	×	×	×
Managing an institution incubator	*Drop down:*	Yes/No	×	×	×	×	×	×
Managing proof-of-concept, pre-seed or seed funding	*Drop down:*	Yes/No	×	×	×	×	×	×
Developing and managing social impact or community-based projects	*Drop down:*	Yes/No	×	×	×	×	×	×
ENFORCEMENT								
Monitoring infringement of institution's IP	*Drop down:*	Yes/No	×	×	×	×	×	×

TECHNOLOGY TRANSFER ACTIVITY (TTA)	2.1.1 Activity	2.1.2 TTF Capability	2.1.3 Capacity			2.1.4 Importance		
			None	Inadequate	Adequate	Not important	Moderately important	Very important
Ensuring institution's freedom to operate (non-infringement of third-party IP)	*Drop down:*	Yes/No	×	×	×	×	×	×
Enforcing institution's IP in infringement litigation	*Drop down:*	Yes/No	×	×	×	×	×	×

2.2 Staffing of the TTF

List and describe all staff in the TTF (>0.1 annual FTE). Please use the coding tables accompanied here to complete the following table (the first row provides an example of how to complete the relevant table below).

FOR COLUMN (A)	
Permanent	Perm
Fixed Term Employee (excluding Interns)	FT
Intern	Intrn

FOR COLUMN (B)	
African	A
Coloured	C
Indian/Asian	I
White	W
Other (e.g. foreign)	O

FOR COLUMN (C)	
PhD/Doctorate	PhD
Masters	M.
Hons	Hons.
Bachelors	B.
Diploma	Dip.
Other	Oth.
School Leavers Certificate such as Matric or international equivalent (e.g. A or O levels)	School

FOR COLUMN (D)	
Physical Sciences	Phys
Life Sciences	LS
Engineering and Technology	Eng
Medical and Health Sciences	Med
Agricultural Sciences	Agr
Business/commerce	Bus
Educational sciences	Edu
Law	Law
Social Sciences	Osoc
Humanities	Hum
Other	Other

FOR COLUMN (E)	
Registered Technology Transfer Professional	RTTP
Certified Licensing Professional)	CLP
Both	Both
Other/none	Other/None

				Degree 1		Degree 2					PLEASE SEE DEFINITION SECTION FOR TT FTE AND OTHER FTE DEFINITIONS				
Staff member #	(A) Employment contact	Gender	(B) Population group	(C) Highest qualification	(D) Undergraduate field	(C) Highest qualification	(D) Undergraduate field	(E) Professional Qualification	Years of TT experience		TT FTE		Other FTE		Total FTEs
1	Perm	M	A	PhD	LS	Dip	Phys	RTTP	4		0.4	+	0.2	=	0.6

2.3. Expenditure and Funding Associated with Technology Transfer

2.3 Indicate the total institutional RESEARCH AND DEVELOPMENT

	2019	2020	2021	2022	2023
	R	R	R	R	R
RESEARCH AND DEVELOPMENT EXPENDITURE (excluding CLINICAL TRIAL expenditure)					

2.4 Does your institution include:

2.4.1 A Medical school? Yes/No
2.4.2 åConduct CLINICAL TRIALS? Yes/No
2.4.2.1 If yes, please indicate institution's expenditure on CLINICAL TRIALS

	2019	2020	2021	2022	2023
	R	R	R	R	R
CLINICAL TRIAL expenditure					

2.5 Indicate the expenditure on TECHNOLOGY TRANSFER ACTIVITIES

	2019	2020	2021	2022	2023
	R	R	R	R	R
IP EXPENDITURE					
LITIGATION EXPENDITURE					
TT OPERATIONS EXPENDITURE (note that this includes expenditure on OPERATIONAL ACTIVITIES and COMMERCIALISATION ACTIVITIES)					

2.6 Indicate the amount received in any IP TRANSACTION, as an IP EXPENSE REIMBURSEMENT

	2019	2020	2021	2022	2023
	R	R	R	R	R
IP EXPENSE REIMBURSEMENT					

2.7 Does your institution have access to SEED FUNDING? Yes/No

2.7.1 If yes, please complete the table below on the amount and sources of SEED FUNDING awarded.

	2019	2020	2021	2022	2023
	R	R	R	R	R
2.7.1.1 Amount of TIA SEED FUNDING Awarded					
2.7.1.2 Amount of SEED FUNDING from own institution					
2.7.1.3 Amount of other SEED FUNDING from other sources					
Total SEED FUNDING		**R3 889 595**	**R480 700**	**R1 650 000,00**	
2.7.1.4 Please list the source/s of other SEED FUNDING:	1. __free text_____ 2. _____ 3. _____				

2.8 Indicate in the table below whether your institution requires **additional funding** beyond the funds expected (i.e. from either anticipated internal budget allocation or external funder commitment) for the next two financial years (*2025 and 2026 calendar years for HEIs and 2025/2026 and 2026/2027 for Schedule 1 institutions*) for the listed funding types or categories.

- **Select "Not Applicable" if this type of funding is not relevant to your institution's current stage of technology transfer development or portfolio.**
- **Select "No Gap" if no additional funding is required for this type of funding.**
- **Select one of the four funding ranges in the table below to indicate the extent of the funding requirement if additional funding is needed**

Funding types or categories	Not applicable	No gap	Extent of additional funding required for 2025 and 2026			
			R1 to R1 mil	R1 mil to R5 mil	R5 mil to R10 mil	More than R10 mil
Strategic review funding (market research, technical due diligence, techno-economic feasibility analysis, business model analysis)	*x*	*x*	*x*	*x*	*x*	*x*
Business development funding (including marketing and excluding human capital development)	*x*	*x*	*x*	*x*	*x*	*x*

To support TT OPERATIONS EXPENDITURE	*x*	*x*	*x*	*x*	*x*	*x*
Funding to engage specialist resources, e.g. industry experts, mentors, etc	*x*	*x*	*x*	*x*	*x*	*x*
Early-stage development and translation of research outputs into prototypes and fundable ideas for commercialisation (Seed Funding)	*x*	*x*	*x*	*x*	*x*	*x*
Further technology development and early commercialisation (Post Seed Funding)	*x*	*x*	*x*	*x*	*x*	*x*
Early-stage venture capital/ commercialisation funding	*x*	*x*	*x*	*x*	*x*	*x*
Support funding for incubation of start-up/spin-out companies	*x*	*x*	*x*	*x*	*x*	*x*
Funding for the formation or incorporation of START-UP/SPIN OUT COMPANIES	*x*	*x*	*x*	*x*	*x*	*x*
Scaling up of START-UP/SPIN OUT COMPANIES (business strategy and customer track record established)	*x*	*x*	*x*	*x*	*x*	*x*
START-UP/SPIN OUT COMPANIES expansion funding, product optimisation or development of alternative/ additional products, increasing market share	*x*	*x*	*x*	*x*	*x*	*x*
Due diligence of licensee/assignee (pre-IP TRANSACTION)	*x*	*x*	*x*	*x*	*x*	*x*
Audit of license (post IP TRANSACTION)	*x*	*x*	*x*	*x*	*x*	*x*

SECTION 3A
IP PORTFOLIO (ONLY IPR ACT RELATED IP)

3.1. ACTIONABLE DISCLOSURES

	2019	2020	2021	2022	2023
3.1.1. Indicate the total number of new ACTIONABLE DISCLOSURES reported to NIPMO					
3.1.2. Total number of ACTIONABLE DISCLOSURES within the portfolio managed by the TTF					

3.2. Does your institution have a Patent Portfolio?
Yes/ No

	2019	2020	2021	2022	2023
3.2.1. Total number of NEW PATENT APPLICATIONS filed	Autosum (3.2.1.1 + 3.2.1.2 + 3.2.1.3)	Autosum (3.2.1.1 + 3.2.1.2 + 3.2.1.3)	Autosum (3.2.1.1 + 3.2.1.2 + 3.2.1.3)	Autosum (3.2.1.1 + 3.2.1.2 + 3.2.1.3)	Autosum (3.2.1.1 + 3.2.1.2 + 3.2.1.3)
Of these, how many were					
3.2.1.1. SA PROVISIONAL PATENT APPLICATIONS					
3.2.1.2. SA COMPLETE PATENT APPLICATIONS (as a FIRST FILING)					
3.2.1.3. All other NEW PATENT APPLICATIONS filed (such as applications filed in a territory other than South Africa, as a FIRST FILING, provisional or complete patents, or PCT, etc.)					

3.2.2. **In the review period, 2019 to 2023, has your institution abandoned any NEW PATENT APPLICATIONS?**
Yes/No

3.2.2.1. If Yes , what was the reason for this:

Reason	Number of NEW PATENT APPLICATIONS abandoned for this reason
Supporting data unavailable (e.g. inventor not available, technical information incomplete, further R&D required)	
Lack of funding resources (including resources to appoint expertise to continue patent process)	
Novelty search revealed lack of novelty or inventiveness	
Assessment revealed lack of techno-economically viability	
Market research revealed insufficient commercial opportunity	
Other	

3.2.3. Indicate in the table below the total number of GRANTED PATENTS for the period 2019 to 2023.

3.2.3.1. Of the total number of GRANTED PATENTS, please specify the number granted in each region or country listed below. For each region, count each individual member state or country where a patent was granted or validated as a separate granted right.

For example: ARIPO Member States: Count each individual ARIPO member state where a patent was granted as a separate granted right. This includes patents granted through ARIPO filings and also patents granted via direct filings in any ARIPO member state (e.g. Kenya).

	2019	2020	2021	2022	2023
Total number of GRANTED PATENTS					
Of these, how many were granted in:					
ARIPO Member States (count each member state separately) Member States - The African Regional Intellectual Property Organization (ARIPO)					
Australia					
Brazil					
Chile					
China					
European Members States (count each member state separately) Member States European Patent Organisation					
Gulf Cooperation Council (GCC) Member States (count each member state separately) Gulf Cooperation Council (GCC) Member Countries					
India					
Japan					
Russian Federation					
South Africa					
United Kingdom					
United States of America					
Other					

3.2.4. PATENT FAMILY(/IES)

	2019	2020	2021	2022	2023
Total number of PATENT FAMILY(/IES) in the portfolio with at least one jurisdiction granted					

3.2.5. Single-Jurisdiction Patents

	2019	2020	2021	2022	2023
Total number of patents with only a GRANTED PATENT in South Africa (no other applications pending, relying on South African protection only)					

3.3. Does your institution have a TRADE MARK Portfolio for products/services associated with IP?

Yes/No

	2019	2020	2021	2022	2023
3.3.1. Indicate the total number of NEW TRADE MARK APPLICATIONS filed					
3.3.2. Indicate the total number of GRANTED TRADE MARK registrations					
3.3.2.1. Of these, how many were granted in South Africa					
3.3.3. What is the total number of GRANTED TRADE MARKS within the portfolio managed by the TTF					

3.4. Does your institution have a DESIGN Portfolio?

Yes/No

	2019	2020	2021	2022	2023
3.4.1. Indicate the total number of NEW DESIGN APPLICATIONS filed					
3.4.2. Indicate total number of GRANTED DESIGNS registered					
3.4.2.1. Of these, how many were granted in South Africa					

3.5. Does your institution have a PLANT BREEDERS RIGHTS Portfolio?

Yes/No

	2019	2020	2021	2022	2023
3.5.1. Total number of NEW PBR APPLICATIONS filed					
3.5.2. Total number of GRANTED PBR registrations					
3.5.2.1. Of these, how many were granted in South Africa					

SECTION 3B
IP PORTFOLIO (OUTSIDE SCOPE OF IPR ACT)

3.6. Does your institution have IP that falls outside the scope of the IPR ACT but is still managed by the TTF?
Yes/No

3.7. NON-IPR ACT DISCLOSURES

	2019	2020	2021	2022	2023
3.7.1 Total number of NON-IPR ACT DISCLOSURES that the TTF would consider actionable if the disclosed IP were subject to the IPR Act (auto summed for ease of reference)					
Indicate how many are NON-IPR ACT DISCLOSURES due to the following reasons:					
3.7.1.1 IP was created before the IPR Act came into force (2 August 2010)					
3.7.1.2 IP was not as a result of an R&D activity					
3.7.1.3 R&D resulting in the IP was not publicly-funded (e.g. it was funded on a full cost basis, as defined in the IPR ACT)					
3.7.1.4 Other					

3.8. Does your institution have a NON-IPR ACT Patent Portfolio?
Yes/No

3.9. Did your institution file any NON-IPR ACT NEW PATENT APPLICATIONS during the period 2019 to 2023?
Yes/No

	2019	2020	2021	2022	2023
3.9.1. Total number of NON-IPR ACT NEW PATENT APPLICATIONS filed	Autosum (3.9.1.1 + 3.9.1.2 + 3.9.1.3)	Autosum (3.8.1.1 + 3.8.1.2 + 3.8.1.3)	Autosum (3.8.1.1 + 3.8.1.2 + 3.8.1.3)	Autosum (3.8.1.1 + 3.8.1.2 + 3.8.1.3)	Autosum (3.8.1.1 + 3.8.1.2 + 3.8.1.3)
Of these, how many were					
3.9.1.1. SA PROVISIONAL PATENT APPLICATIONS					
3.9.1.2. SA COMPLETE PATENT APPLICATIONS (as a FIRST FILING)					
3.9.1.3. Applications such as PCT application or applications filed in a territory other than South Africa, as a FIRST FILING)					

3.9.2. In the review period, 2019 to 2023, has your institution abandoned any NON-IPR ACT NEW PATENT APPLICATIONS?
Yes/No

3.9.2.1. If Yes , what was the reason for this:

Reason	Number of NON-IPR ACT NEW PATENT APPLICATIONS abandoned for this reason
Supporting data unavailable (e.g. inventor not available, technical information incomplete, further R&D required)	
Lack of funding resources (including resources to appoint expertise to continue patent process)	
Novelty search revealed lack of novelty or inventiveness	
Assessment revealed lack of techno-economically viability	
Market research revealed insufficient commercial opportunity	
Other	

3.10. Did your institution have any NON-IPR ACT GRANTED PATENTS during the period 2019 to 2023?

Yes/No

If yes, indicate in the table below the total number of NON-IPR ACT GRANTED PATENTS for the period 2019 to 2023.

3.10.1. Of the total number of NON-IPR ACT GRANTED PATENTS, please specify the number granted in each region or country listed below. For each region, count each individual member state or country where a patent was granted or validated as a separate granted right.

For example: ARIPO Member States: Count each individual ARIPO member state where a patent was granted as a separate granted right. This includes patents granted through ARIPO filings and also patents granted via direct filings in any ARIPO member state (e.g. Kenya).

	2019	2020	2021	2022	2023
Total number of NON-IPR ACT GRANTED PATENTS					
Of these, how many were granted in:					
ARIPO Member States (count each member state separately) Member States - The African Regional Intellectual Property Organization (ARIPO)					
Australia					
Brazil					
Chile					
China					
European Members States (count each member state separately) Member States European Patent Organisation					
Gulf Cooperation Council (GCC) Member States (count each member state separately) Gulf Cooperation Council (GCC) Member Countries					
India					
Japan					
Russian Federation					
South Africa					
United Kingdom					
United States of America					
Other					

3.11. NON-IPR ACT - PATENT FAMILY(/IES)

	2019	2020	2021	2022	2023
Total number of NON-IPR ACT PATENT FAMILY(/IES) in the portfolio with at least one jurisdiction granted					

3.12. Single-Jurisdiction Patents

	2019	2020	2021	2022	2023
Total number of NON-IPR ACT patents with only a GRANTED PATENT in South Africa (no other applications pending, relying on South African protection only)					

3.13. Does your institution have a NON-IPR ACT TRADE MARK portfolio for products services associated with IP that falls outside the scope of the IPR Act?

Yes/No

	2019	2020	2021	2022	2023
3.13.1. Indicate the total number of NON-IPR ACT NEW TRADE MARK APPLICATIONS filed					
3.13.2. Indicate the total number of NON-IPR ACT GRANTED TRADE MARK registrations					
3.13.2.1. Of these, how many were granted in South Africa					
3.13.3. What is the total number of NON-IPR ACT GRANTED TRADE MARKS within the portfolio managed by the TTF					

3.14. Does your institution have NON-IPR ACT DESIGN portfolio?

Yes/No

	2019	2020	2021	2022	2023
3.14.1. Indicate the total number of NON-IPR ACT NEW DESIGN APPLICATIONS filed					
3.14.2. Indicate total number of NON-IPR ACT GRANTED DESIGNS registered					
3.14.2.1. Of these, how many were granted in South Africa					

3.15. Does your institution have a NON-IPR ACT PLANT BREEDERS RIGHTS portfolio?

Yes/No

	2019	2020	2021	2022	2023
3.15.1. Total number of NON-IPR ACT NEW PBR APPLICATIONS filed					
3.15.2. Total number of NON-IPR ACT GRANTED PBR registrations					
3.15.2.1. Of these, how many were granted in South Africa					

SECTION 4A
IP TRANSACTIONS (ONLY IPR ACT-RELATED IP TRANSACTIONS)

4.1 Has your institution executed any IP TRANSACTIONS between 2019 and 2023?
Yes/No

4.2 OPTIONS

	2019	2020	2021	2022	2023
4.2.1 Total number of OPTIONS granted					
Of these, how many were:					
4.2.1.1 OPTIONS to a SOUTH AFRICAN ENTITY/IES					

4.3 LICENCES

	2019	2020	2021	2022	2023
4.3.1 Total number of LICENCE agreements executed					

South Africa

	2019	2020	2021	2022	2023
4.3.2 Indicate the total number of LICENCES granting rights in South Africa					
4.3.2.1 of the total number, how many where EXCLUSIVE LICENSES					
4.3.2.1.1 of the EXCLUSIVE LICENCES, how many were granted to SOUTH AFRICAN ENTITY/IES					
4.3.2.2 of the total number, how many where NON-EXCLUSIVE LICENSES					
4.3.2.2.1 of the NON- EXCLUSIVE LICENCES, how many were granted to SOUTH AFRICAN ENTITY/IES					

Foreign Jurisdiction

	2019	2020	2021	2022	2023
4.3.3 Indicate the total number of LICENCES granting rights in foreign jurisdictions					
4.3.3.1 of this total number, how many where EXCLUSIVE LICENSES					
4.3.3.1.1 of the EXCLUSIVE LICENCES, how many were granted to SOUTH AFRICAN ENTITY/IES					
4.3.3.2 of this total number, how many where NON-EXCLUSIVE LICENSES					
4.3.3.2.1 of the NON- EXCLUSIVE LICENCES, how many were granted to SOUTH AFRICAN ENTITY/IES					

4.4 ASSIGNMENTS

	2019	2020	2021	2022	2023
4.4.1 Total number of ASSIGNMENTS executed					
Of these, how many were:					
4.4.4.1 ASSIGNMENTS to a SOUTH AFRICAN ENTITY/IES					

4.5 IP TRANSACTIONS

	2019	2020	2021	2022	2023
4.5.1 Based on the total number of IP TRANSACTIONS executed with SOUTH AFRICAN ENTITY/IES *(auto-summed for ease of reference)*	Auto sum 4.3.2.1.1 4.3.2.2.1 4.3.3.1.1 4.3.3.2.1 4.3.4.1				
Of the total number, how many were to:					
4.5.1.1 START-UP/ SPIN OUT COMPANIES					
4.5.1.2 SMMEs (other than START-UP/SPIN OUT COMPANIES)					
4.5.1.3 LARGE COMPANIES					
Of reported numbers in 4.4.1.1 to 4.4.1.3 above, how many were:					
4.5.1.4 BLACK-OWNED ENTITIES					

4.6 Has your institution executed any IP TRANSACTIONS between 2010 to 2023? Yes/No

4.7 For the period from 2010 to 2023, how many ACTIONABLE DISCLOSURES in your IP portfolio have resulted in:

		As at 31 March 2023 or 31 Dec 2023
4.7.1	LICENSES (active, expired and terminated) as at 31 March 2023 for S1 INSTITUTIONS or 31 December 2023 for HEI's?	
4.7.1.1	Of these, how many LICENSES are still active (31 March 2023 for S1 INSTITUTIONS/ 31 Dec 2023 for HEI's)?	
4.7.2	ASSIGNMENT as at 31 March 2023 for S1 INSTITUTIONS or 31 December 2023 for HEI's?	

4.8 What percentage of the total ACTIONABLE DISCLOSURES in your IP portfolio from 2010 to 2023 have ever been commercialised through a LICENSE or ASSIGNMENT?

4.8.1 What percentage of the total ACTIONABLE DISCLOSURES in your IP portfolio from 2010 to 2023 have ever been commercialised through a LICENSE?

Please select one:

Less than 2%	x	2% to 4%	x	5% to 7%	x
8% to 10%	x	11% to 15%	x	16% to 20%	x
More than 20%	x				

4.8.2 What percentage of the total ACTIONABLE DISCLOSURES in your IP portfolio from 2010 to 2023 have ever been commercialised through an ASSIGNMENT?

Please select one:

Less than 2%	x	2% to 4%	x	5% to 7%	x
8% to 10%	x	11% to 15%	x	16% to 20%	x
More than 20%	x				

4.9 Has your institution received REVENUE from any IP TRANSACTIONS between 2019 and 2023 that involved an ACTIONABLE DISCLOSURE?

Yes/ No

	2019	2020	2021	2022	2023
	R	R	R	R	R
4.10 Total amount of IP TRANSACTION REVENUE					
Indicate how much of IP TRANSACTION REVENUE can be attributed to:					
4.10.1 RUNNING ROYALTIES					
4.10.1 REGULAR FIXED LICENCE FEES					
4.10.1 ONCE-OFF LICENCE FEES					
4.10.1 IP SALE/ ASSIGNMENT CONSIDERATION					

4.11 Total Number of IP TRANSACTIONS yielding IP TRANSACTION REVENUE:

4.11.1 Please provide the total number of IP TRANSACTIONS that generated REVENUE for each year
4.11.2 For each year, please provide the number of IP TRANSACTIONS that fall into REVENUE categories indicated in table

Year	Total	Less than R100 000	R100 000 --R500 000	R500 000 – R1.5m	R1.5m – US$1m (PPP)	Greater than US$1m (PPP)	Rand value of US$1m*
2019							R6.707m
2020							R6.969m
2021							R7.103m
2022							R6.952m
2023							R7.000m[1]

**conversion using South African yearly Purchasing Power Parity (PPP)*

4.12 BENEFIT SHARE distribution to IP CREATORS and IP ENABLERS

	2019	2020	2021	2022	2023
4.12.1 Total number of IP CREATORS to whom BENEFIT SHARE was paid					
4.12.2 Total number of IP ENABLERS to whom BENEFIT SHARE was paid					
4.12.3 Total amount paid to IP CREATORS/ IP ENABLERS (Rand value)	R	R	R	R	R

[1] Estimate – OECD data not available. From World Population Review

SECTION 4B
IP TRANSACTIONS (OUTSIDE SCOPE OF IPR ACT)

4.13 Has your institution executed any IP TRANSACTIONS and/or received any REVENUE between 2019 and 2023 for IP which falls outside the scope of the IPR ACT (NON-IPR ACT)?

Yes /No

4.13.1 NON-IPR ACT LICENCES Executed

	2019	2020	2021	2022	2023
Total number of NON-IPR ACT LICENCES executed					

4.13.2 NON-IPR ACT ASSIGNMENTS Executed

	2019	2020	2021	2022	2023
Total number of NON-IPR ACT ASSIGNMENTS executed					

4.13.3 NON-IPR ACT IP TRANSACTION REVENUE

	2019	2020	2021	2022	2023
	R	R	R	R	R
Total NON-IPR ACT IP TRANSACTION REVENUE					

4.13.4 Total Number of NON-IPR ACT IP TRANSACTIONS yielding IP TRANSACTION REVENUE:

4.13.4.1 For each year, please provide the total number of IP TRANSACTIONS that fall into REVENUE categories indicated in table

4.13.4.2 For each year, please provide the number of IP TRANSACTIONS that fall into REVENUE categories indicated in table

Year	Total	Less than R100 000	R100 000 --R500 000	R500 000 – R1.5m	R1.5m – US$1m (PPP)	Greater than US$1m (PPP)	Rand value of US$1m*
2019							R6.707m
2020							R6.969m
2021							R7.103m
2022							R6.952m
2023							R7.000m[2]

**conversion using South African yearly Purchasing Power Parity ("PPP")*

[2] Estimate – OECD data not available. From World Population Review

SECTION 5
IP IMPACT

This section deals with your full IP portfolio – i.e. both within and outside of the IPR Act.

5.1. Have any START-UP/SPIN OUT COMPANIES been formed to commercialise an ACTIONABLE DISCLOSURE and NON-IPR ACT DISCLOSURES during the reporting period 2019 to 2023?

Yes/ No

	2019	2020	2021	2022	2023
Total number of NON-IPR ACT LICENCES executed					
5.2. Total number of START-UP/SPIN OUT COMPANIES incorporated					
Of these, how many does your institution:					
5.2.1. Hold only EQUITY based on the IP TRANSACTION (directly or through an institution subsidiary)					
5.2.2. Only receive (or potentially receive) IP TRANSACTION REVENUE					
5.2.3. Hold EQUITY based on the IP TRANSACTION and receive (or potentially receive) IP TRANSACTION REVENUE					
5.2.4. Have their primary location in the province where your institution has its headquarters					
5.3. Total FTEs employed by all START-UP/SPIN OUT COMPANIES *(*estimate numbers acceptable)*					
5.3.1. Of these, how many are IP CREATORS/ENABLERS					
5.4. Number of IP CREATORS/ENABLERS supporting (part-time) the START-UP/ SPIN OUT COMPANIES (e.g. advisory panel member, technical consultant, board member, shareholder, director etc) *(*estimate numbers acceptable)*					
5.5. Number of IP CREATORS/ENABLERS that are Directors within the START-UP/SPIN OUT COMPANIES *(*estimate numbers acceptable)*					
5.6. Number of IP CREATORS/ENABLERS that received EQUITY in the START-UP/SPIN OUT COMPANIES *(*estimate numbers acceptable)*					
5.7. Total annual REVENUE for all START-UP/SPIN OUT COMPANIES *(*estimate numbers acceptable)*	R	R	R	R	R

5.8. Please provide the total REVENUE received by your institution from START-UP/ SPIN-OUT COMPANIES:

	2019	2020	2021	2022	2023
5.8.1. attributed to CASHED-IN EQUITY					
5.8.2. attributed to DIVIDENDS					

5.9. Have any START-UP/SPIN OUT COMPANIES been formed to commercialise an ACTIONABLE DISCLOSURE and NON-IPR ACT DISCLOSURES since 2008?

Yes/No

	2008 to 2023				
5.10. How many START-UP/SPIN OUT COMPANIES has your institution formed since 2008?					
Of the total number reported, how many:					
	2019	**2020**	**2021**	**2022**	**2023**
5.11. START-UP/SPIN OUT COMPANIES were still OPERATIONAL at financial year-end					
5.12. Of the those still OPERATIONAL, please indicate how long they have been active					
5.12.1. Less than 1 year					
5.12.2. 1 to 5 years;					
5.12.3. 6 to 10 years					
5.12.4. More than 10 years					
5.13. START-UP/SPIN OUT COMPANIES became NON-OPERATIONAL during the year					

5.14. Did any product or service based on a DISCLOSURE (or that used a process in a DISCLOSURE) enter commercial use (i.e. product or service sold) during the period 2019 to 2023?

Yes/No

	2019	2020	2021	2022	2023
5.15. Total number of DISCLOSURES that have entered commercial use (evidenced by market research, RUNNING ROYALTIES received, or licensee diligence reporting)					
Of the total number reported, how many:					
5.15.1. Are only commercially available in South Africa?					
5.15.2. Are commercially available in South Africa and other countries too?					
5.15.3. Have won international prizes or formal recognition – e.g. best new green technology?					

SECTION 6
QUALITATIVE INPUT

Impact Case Study

Technology Transfer makes significant contributions to global health, humanity, society, and the environment. Please share an impactful Technology Transfer story from your office - a story that had a significant event or activity during any reporting year between 2019 and 2023. Examples can be found in previous survey reports[3], or at the AUTM Better World Project (The Importance of Technology Transfer | Better World (autm.net))

Story Structure: Please provide one or two short stories (750 to 1000 words) following the structure below:

- **Title**
- **Problem Statement:** Describe the problem that was addressed.
- **Solution and Benefits:** Explain the solution developed and its benefits (e.g. a product, process or service)
- **Researchers Involved:** Include the names of the researchers / IP creators involved in solving the problem.
- **Challenges Encountered:** What were the key challenges encountered during the technology transfer process, and how were they addressed?
- **Impact:** Describe the impact of the technology transfer to date and if possible, quantify the impact (e.g. 5000 people provided with potable water).
- **Future Plans:** What are the future plans or next steps for the technology or company described in the story?
- **IP Type:** Specify the type(s) of IP involved.
- **TTO involvement:** Describe how the Technology Transfer Office team assisting the innovation.
- **Funding Information:** Detail the funding received, including sources and if possible, the amounts (both research and technology development funding)

Selected stories will be published in the IP and TT Survey Report or on other media platforms (such as, but not limited to the DSI, NIPMO, or SARIMA websites). By submitting these stories, you grant the DSI, NIPMO and SARIMA permission to publish such article on any open platform.

- **Images:** Please upload suitable high-resolution images associated with your success story, captured during or after the story. The image can be that of a product, team, team member or anyone or anything positively associated with the story. Please provide a caption for the image(s) and ensure that subjects and copyright holder have provided their permission for the photograph to be published.
- **Contact Information:** Provide contact information for an individual who can assist with more details if needed. These details will not be published and will only be used for preparing final publications.

THANK YOU for your time given to this Intellectual Property and Technology Transfer Survey!

[3] Second-SA-National-IP-TT-Survey-Report_Web-Ready.pdf (sarima.co.za)