

TECHNOLOGY TRANSFER MANAGEMENT POLICY

1. INTRODUCTION

Together with the two traditional objectives of training and research, the Universities involved (Sant'Anna School of Advanced Studies, *Scuola Normale Superiore* and IMT Lucca; hereinafter the: "Schools") shall pursue the so-called Third Mission of higher education institutions in order to encourage the direct application, valorisation and use of knowledge to contribute to the social, cultural and economic development of the community. In the context of the Third Mission, Universities interact directly with the community, encouraging economic growth, through the transformation of knowledge generated by research into knowledge useful for productivity. Activities such as the management and valorisation of intellectual property, the creation of companies, third party research and more in general research-industry relationships all fall within this scope. This policy document is intended to outline a common plan and guide-lines for the Schools for the purpose of valorising the results of research and the management of intellectual property rights - with a view to also promoting and supporting the creation of new innovative companies (spin-offs), - so as to encourage the acquisition, management and transfer of intellectual property rights based on the results of research carried out within those Schools, in order to maximise their impact and the effects, including territorial effects, of investments in research and development.

Specifically, this policy is intended to:

- a) represent the strategic, operational and procedural point of reference for the acquisition, management and transfer of intellectual property rights based on the results of research activities carried out at the Schools;
- b) identify and realise a common vision, accompanied by the valorisation of the results of research activities by the Schools, to include not only patents but also trademarks, designs and models, plant varieties, utility models, software, data-bases, copyright, know how etc.;
- c) recognise and promote the economic, social and innovative role of the University with respect to the community, companies and institutions, activating and sharing tools and strategies that enable the effective social and functional impact of the results of research activities;
- d) define criteria for identifying the possible effects of action to valorise research, which criteria shall be based upon transparency, researchers' rights, the prevalence of the public interest over the private interest.
- e) fortify the training and research mission of each School, promoting knowledge of tools and processes relative to the ownership of intangible assets, amongst young graduates, Doctors of Philosophy, research fellows and researchers, encouraging professional training – including with regard to technical and administrative personnel – that is in line with technology transfer expectations in the workplace.

2. OBJECTIVES AND STRATEGY OF THE JOINT TTO (TECHNOLOGY TRANSFER OFFICE) The creation and consolidation of a joint TTO for the Schools clearly falls within the scope of activities described above, in consideration of the realisation by those Schools of activities relating to the Third Mission. It is therefore vital to identify and define a common strategy based on the following objectives:

- A. promote coordinated management of intellectual property in the context of agreements with any external bodies involved through European or national projects or research contracts, in particular basing their decisions on guide-lines issued by AICIPI-NETVAL for relationships with industries;
- B. valorise and disseminate the results of university research, promoting its use by companies and bodies;
- C. intensify links with industry and make new technologies, know how, research personnel and structures available to companies;

D. with regard to intellectual property (IP) generated internally, promote the assignment of inventors' rights to their School and prioritise the licensing of IP over and above its assignment;

E. provide support to teaching staff and researchers in the identification of the productive and commercial impact of their discoveries, also through the creation of new companies, prioritising their recognition as spin-off companies (through an accreditation procedure rather than equity interests held by the School in the spin-off company).

Newly established strategic decisions will be supported by constant activities providing awareness, information and education on IP and entrepreneurship, aimed at students, PhD students, research fellows and researchers.

For the pursuit of those strategies, the joint TTO will carry out the following primary functions:

a) advice and training on technology transfer in particular and the valorisation of the results of scientific research and the Third Mission in general;

b) coordination of procedures for the protection, management and exploitation of intellectual property, also in relationships established by Universities with companies;

c) support in the definition and launch of entrepreneurial ideas in accordance with their respective applicable procedures and regulations;

d) collaboration with national and international associations for University technology transfer and in particular with other universities that have implemented joint TTOs;

e) the promotion of joint participation in procurement procedures and the search for additional funding opportunities in the context of technology transfer.

For the protection and valorisation of research results, the Schools propose outlining joint procedures and adopting common tools that facilitate the aggregation of these activities such as a website, standardised patent and spin-off databases, standard forms and contractual models, prioritising composite protection that is not restricted to patent ownership rights but which also considers the industrial and/or commercial and/or social potential of research findings.

With regard to the valorisation of the results of research through the creation and development of spin-off companies, the Schools agree that these activities contribute to the pursuit of a common and key objective; public research becomes a means for encouraging local, regional and national economic development and for creating employment and new resources for the Country.

The Schools will therefore implement procedures for the accreditation of those companies as "spin-offs" in accordance with their internal regulations, paying particular attention to the propensity of those spin-offs for innovation, the protection of the environment, the needs of persons and ethical conduct, and providing the requested support; with regard to those activities the Schools will require spin-offs to be inspired by transparency and moral integrity, preparing adequate control mechanisms.

The Schools will encourage cooperation in the creation and organisation of training activities and projects on technology transfer and innovation, intellectual property, and on the Third Mission of higher education.

The specific and complementary nature of rules governing the Schools will enable an increased offer of potential research, benefitting from the integration of resources, such as for example the single platform for the offer of the portfolio of patents on a joint website.

In consideration of the specific nature of activities conducted by the TTO, the Schools will guarantee all necessary technical expedients to ensure the required confidentiality of their respective data and

information made reciprocally available, also with regard to and in the interests of their respective teaching staff and researchers.

The Schools express an interest in collaboration with other joint TTOs established by other universities.

3. GOVERNANCE OF THE JOINT TTO

The common strategy described above will be realised through operational synergy between the TTO for each School involved in the realisation of a joint office: this office will be composed of personnel from the three Schools based on a multi-disciplinary and integrated approach to their various profiles and responsibilities.

For the purpose of full sharing of the activities specified above, and in line with the establishment of a joint TTO, the Schools agree upon the establishment of a Joint Technology Transfer Committee, comprising three fixed members (one for each School) and which may be increased by the presence of additional members chosen from time to time from amongst teaching staff and researchers for the three Schools, or externally, in relation to specific requirements, and indicatively proposed by the School that submits the relative paperwork to the Committee for analysis.

The Joint Committee will express an opinion on any matters and activities shared by the three Schools, or rather those relating to intellectual property and the creation of spin-offs, at the times and according to the procedures detailed in the specific regulations.

In order to best conduct the tasks allocated to it, the composition of the Joint Committee and the TTO will be based upon the principle of multidisciplinary, including persons with varying profiles and cross-sector skills and prior experience in the context of technology transfer and the valorisation and management of the results of research.