



# IF<sub>4</sub>TM

Institutional framework for development  
of the third mission of universities in Serbia

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## **Review on EU policies and legal frameworks for establishing university third mission**

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# IF4TM

## **D1.1 Review on EU policies and legal frameworks for establishing university third mission**

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Abstract	This report informs about practices, policies and legal frameworks for establishing the third mission of universities. The report is based on the questionnaire which was filled in by ten EU HEIs in the scope of WP1 of IF4TM project. Both national laws and regulations and institutional policies are addressed and examined. The regulation of the three pillars of the third mission of the universities, namely technology transfer and innovation, continuous education and social engagement is discussed and recommendations for further enhancement in these fields should be discussed in the Policy Seminar.
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## DOCUMENT CONTROL SHEET

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## LIST OF ABBREVIATIONS

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CE – Continuous Education  
CEO - Continuous Education Office  
DUK - Danube University Krems  
HEI – Higher Education Institution  
IP – Intellectual Property  
IST – Instituto Superior Técnico  
LLL – Life-long Learning  
SE – Social Engagement  
TTI – Technology Transfer and Innovation  
TTO – Technology Transfer Office  
UM – University of Maribor  
UNG – Univerza v Novi Gorici  
UNIBA – Università degli Studi di Bari "Aldo Moro"  
UNIVIE – University of Vienna  
UOB - University of Brighton  
UPORTO – University of Porto  
US – University of Salento  
UY – University of York



## EXECUTIVE SUMMARY

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This report is aimed at aggregating information about the third mission of universities in a universe of ten HEIs from five different countries. As the concept of third mission encompasses three dimensions (Technology Transfer, Continuous Education and Social Engagement) a questionnaire was prepared for obtaining relevant data from the abovementioned HEIs in the scope of WP1 of IF4TM project.

The questionnaire included questions regarding practices, policies and legal frameworks for establishing and supporting the third mission of universities. The questionnaire was filled in by one representative of each HEI, who was responsible for collecting the relevant data within their institution.

The questionnaire was composed of five parts. The first part focused on the characterization of the HEI involved in the study. The second part targets the framework of national legislation and institutional policies regarding the third mission of universities. The third part was dedicated to technology transfer and innovation including references to the framework specified in the second part. The fourth used the same methodology to continuous and lifelong education. The final part of the questionnaire focused on social engagement.



## 1 Questionnaire Contents

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The questionnaire was designed to obtain data regarding practices, policies and legal frameworks for establishing and supporting the third mission of universities. The questionnaire<sup>1</sup> was filled in by one representative of each HEI, who was responsible for collecting the relevant data within their institution.

Figure 2 below shows the landscape of the subject matters and questions included in the questionnaire that led to the preparation of this report.

The first part of the questionnaire focused on obtaining data related to the description of the HEIs in terms of size, degrees offered, funding, among others. From the information obtained, the diversity of contexts among institutions could be verified.

The second part of the questionnaire aimed at acquiring information related to the national legislations and to the applicable policies in each institution directly connected with Third Mission. From the information obtained of the five national legislation frameworks, it appears that the three dimensions are separately approached both in national legislations as in internal policies.

The third part of the questionnaire focused on Technology Transfer and Innovation, including applicable legislation, activities and good practices and the questions were defined in order to allow the assessment of the impact of IP in the scope of Technology Transfer. Once again, the diversity of contexts among institutions could be verified, although this proved to be the most developed dimension within the responding HEIs.

The fourth part of the questionnaire focused on CE and LLL and followed the same approach as the one that was used for TTI. It should be noted that the only institutions which have Continuous Education Policies are Danube University Krems (LLL strategy), University of Bari (Strategic Plan 2014-2016 and Strategic Plan 2016-2018) and University of Salento.

The fifth and final part of the questionnaire focused on the SE dimension and, from the responses obtained, it seems to be the least developed dimension within the responding HEIs. However, this could be due to the fact that activities related to such dimension are shared by different offices and departments of the institutions.


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<sup>1</sup> <http://goo.gl/forms/uBGGLFLdgN>





**Figure 1: Welcome page of the online questionnaire**



## IF4TM Questionnaire - Policies and legal frameworks for establishing the 3rd mission of universities

In the scope of WP1 of IF4TM project this questionnaire aims at collecting data about practices, policies and legal frameworks for establishing and supporting the 3rd mission of universities.  
Please provide all the answers in English.

As defined in the project proposal, "the Third Mission encompasses a wide range of activities involving the generation, use, application and exploitation of knowledge and other university capabilities outside academic environments (Tuunainen, 2005). Those activities are divided into three dimensions: 1) Technology transfer and innovation; 2) Continual education; 3) Social engagement."

This questionnaire should be filled in by one representative of the HEI (preferably someone involved in the project) who will be responsible for collecting the relevant data within the institution.

The deadline for submission is 15/02/2015.

**\*Required**

**Your Name \***

**E-mail address \***

**Unit \***

**Continue »**


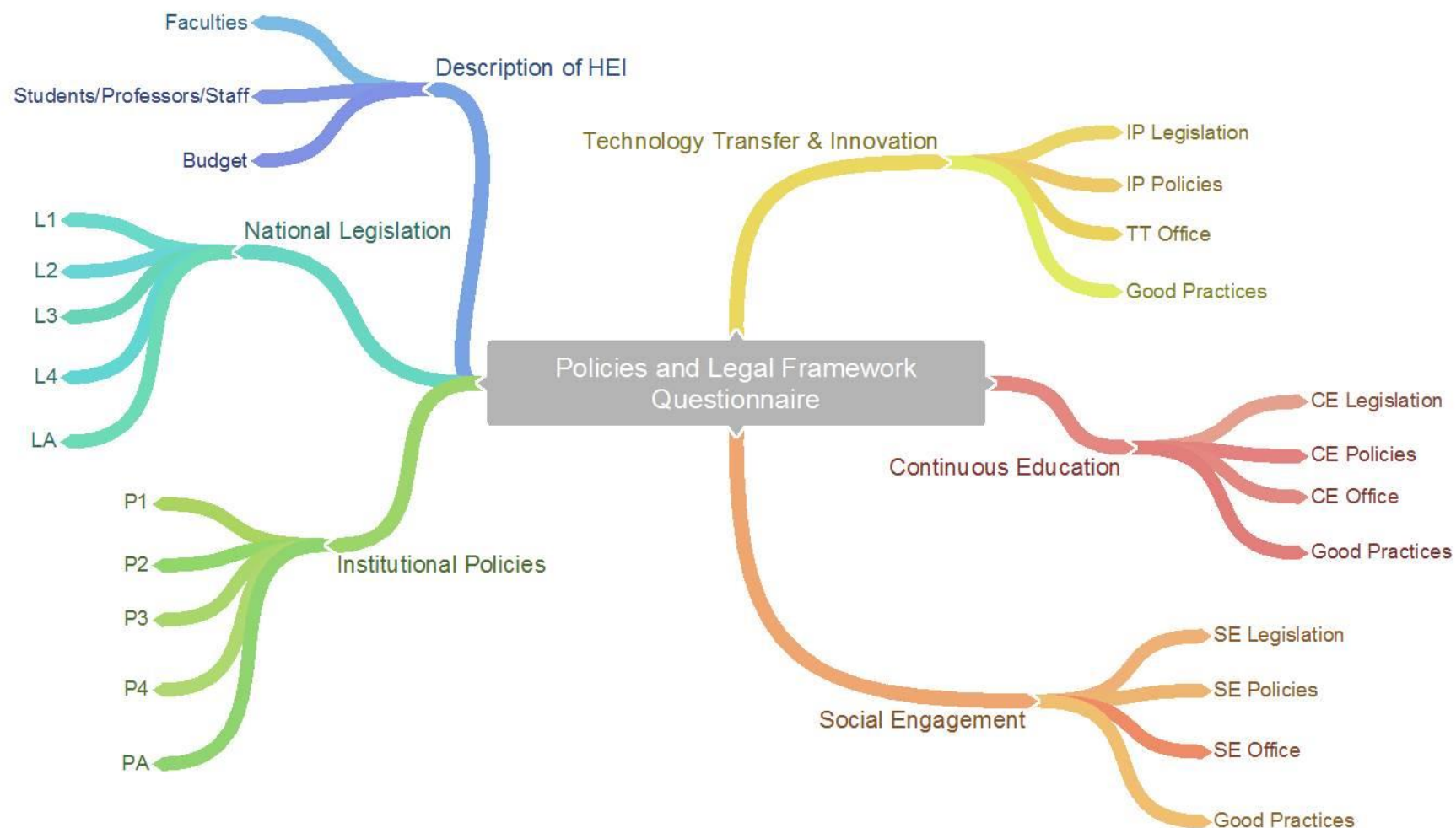
  
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Figure 2: Landscape of the questionnaire applied





## **2 Description of the EU HEIs**

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There were ten HEIs that responded to the questionnaire: two from Austria, two from Italy, two from Portugal, two from Slovenia and two from the United Kingdom.

### **2.1 Austrian HEIs**

Danube University Krems is a public institution, with 3 Schools/Faculties, 8,500 students, 283 teaching staff and researchers and 267 non-academic staff. The institution offers 2nd cycle (MSc) and 3rd cycle (PhD) courses. It has an annual budget of 40,000,000.00€ and an income of 32,000,000.00€ from private/competitive sources.

The University of Vienna is a public institution, with 15 Schools/Faculties, 93,000 students, 6,800 teaching staff and researchers and 3,100 non-academic staff. The institution offers 1st cycle (BSc), 2nd cycle (MSc) and 3rd cycle (PhD) courses. It has an annual budget of 650,000,000.00€ and no income from private/competitive sources was reported.

### **2.2 Italian HEIs**

University of Bari is a public institution, with 23 Schools/Faculties, 53000 students, 1441 teaching staff and researchers and 1,512 non-academic staff. The institution offers 1st cycle (BSc), 2nd cycle (MSc) and 3rd cycle (PhD) courses. It has an annual budget of 304,075,964.35€ and an income of 82,928,382.69€ from private/competitive sources.

University of Salento is a public institution, with 6 Schools/Faculties, 16984 students, 855 teaching staff and researchers and 529 non-academic staff. The institution offers 1st cycle (BSc), 2nd cycle (MSc) and 3rd cycle (PhD) courses. It has an annual budget of 183,963,978€ and an income of 86,329,668€ from private/competitive sources.

### **2.3 Portuguese HEIs**

Instituto Superior Técnico is a public institution and it is itself one of the schools of the University of Lisboa. It has 11,589 students, 853 teaching staff and researchers and 515 non-academic staff. The institution offers 1st cycle (BSc), 2nd cycle (MSc) and 3rd cycle (PhD) courses. It has an annual budget of 108,000,000€ and an income of 56,000,000€ from private/competitive sources.

University of Porto is a public institution, with 15 Schools/Faculties, 30,066 students, 2,286 teaching staff and researchers and 1,542 non-academic staff. The institution offers 1st cycle (BSc), 2nd cycle (MSc) and 3rd cycle (PhD) courses. It has an annual budget of 220,500,000€ and an income of 104,700,000€ from private/competitive sources.

### **2.4 Slovenian HEIs**

Univerza v Novi Gorici is a private institution, with 7 Schools/Faculties, 500 students, 140 teaching staff and researchers and 35 non-academic staff. The institution offers 1st cycle (BSc), 2nd cycle (MSc) and 3rd cycle (PhD) courses. It has an annual budget of 8.000.000€ and an income of 320.000€ from private/competitive sources.



University of Maribor is a public institution, with 17 Schools/Faculties, 16,000 students, 600 teaching staff and researchers and 500 non-academic staff. The institution offers 1st cycle (BSc), 2nd cycle (MSc) and 3rd cycle (PhD) courses. It has an annual budget of 90,000,000€ and an income of 2,000,000€ from private/competitive sources.

## **2.5 United Kingdom HEIs**

University of Brighton is a public institution, with 10 Schools/Faculties, 23,000 students, 1,253 teaching staff and researchers and 1,620 non-academic staff. The institution offers 1st cycle (BSc), 2nd cycle (MSc) and 3rd cycle (PhD) courses. It has an annual budget of 234,000,000€ and an income of 53,000,000€ from private/competitive sources.

University of York is a public institution, with 3 Schools/Faculties, 16,469 students, 1,580 teaching staff and researchers and 2,210 non-academic staff. The institution offers 1st cycle (BSc), 2nd cycle (MSc) and 3rd cycle (PhD) courses. It has an annual budget of 366,000,000€ and an income of 70,000,000€ from private/competitive sources.



**Table 1: Comparative overview of the responding EU HEIs regarding description figures**

<b>Institution Name:</b>	<b>Country:</b>	<b>Legal status:</b>	<b>Number of Faculties/Schools:</b>	<b>Number of students:</b>	<b>Number of teaching staff and researchers:</b>	<b>Number of non-academic staff:</b>	<b>Degree levels offered:</b>	<b>Annual Budget (M€):</b>
Danube University Krems	Austria	Public	3	8,500	283	267	2nd cycle (MSc) 3rd cycle (PhD)	40
University of Vienna	Austria	Public	15	93,000	6,800	3,100	1st cycle (BSc) 2nd cycle (MSc) 3rd cycle (PhD)	650
Università degli Studi di Bari "Aldo Moro"	Italy	Public	23	53,000	1,441	1,512	1st cycle (BSc) 2nd cycle (MSc) 3rd cycle (PhD)	304
University of Salento	Italy	Public	6	16,984	855	529	1st cycle (BSc) 2nd cycle (MSc) 3rd cycle (PhD)	184
University of Porto	Portugal	Public	15	30,066	2,286	1,542	1st cycle (BSc) 2nd cycle (MSc) 3rd cycle (PhD)	221
Instituto Superior Técnico	Portugal	Public	1	11,589	853	515	1st cycle (BSc) 2nd cycle (MSc) 3rd cycle (PhD)	108
Univerza v Novi Gorici	Slovenia	Private	7	500	140	35	1st cycle (BSc) 2nd cycle (MSc) 3rd cycle (PhD)	8
University of Maribor	Slovenia	Public	17	16,000	600	500	1st cycle (BSc) 2nd cycle (MSc) 3rd cycle (PhD)	90
University of Brighton	UK	Public	10	23,000	1,253	1,620	1st cycle (BSc) 2nd cycle (MSc) 3rd cycle (PhD)	234
University of York	UK	Public	3	16,469	1,580	2,210	1st cycle (BSc) 2nd cycle (MSc) 3rd cycle (PhD)	366



### 3 Third Mission: Overview of legislation and policies

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#### 3.1 Overview of Austrian Legislation

L1 (Legislation 1): The Third Mission of Universities in Austria is regulated by the Universities Act of 2002 (Leistungsvereinbarungen mit den Universitäten). Due to the autonomy of the universities in Austria the institutions have wide autonomy regarding their activities (e.g study programmes). Also in terms of third mission the universities are rather independent entities. The Universities Act of 2002, which is the leading document to define and describe the universities' missions refers to continuing education especially for the alumni at universities (§ 3, paragraph 5) and to cooperation and use of knowledge (§ 3, paragraphs 7 and 8).

However, in Austria performance agreements have been implemented to govern universities. This is defined in § 13 of the Universities Act of 2002 and continuing education is mentioned under § 13, paragraph 2.1.c and social goals are mentioned is and under § 13, paragraph 2.1.g.

These performance agreements are the most relevant governance instruments to force university third mission activities. This is the only legislative document regarding universities which may have an impact on third mission policies and practices at Austrian universities. The Ministry therefore seeks individual contracts with each university, and among many other issues "third mission".

Parliament Correspondence no. 230 from 16.03.2015 defines that the agreed plans and objectives of performance agreements 2010-2012 were successfully implemented by the universities. The enhanced service level agreements should, in the future and in addition to the core areas of research and teaching benefits, make the universities in the field of social activities ("Third Mission") more visible. The use of indicators for accountability and transparency has become increasingly important to the organization of cooperation between universities and the government. Financing and control are increasingly based on evidence-based data to reflect the performance of universities.

The Universities Act of 2002 (English version) is available at:

[http://wissenschaft.bmwf.gv.at/fileadmin/user\\_upload/wissenschaft/naric/E\\_UG.pdf](http://wissenschaft.bmwf.gv.at/fileadmin/user_upload/wissenschaft/naric/E_UG.pdf)

A presentation by the University of Vienna (German version), including information about the Universities Act of 2002, is available at:

[http://wissenschaft.bmwf.gv.at/fileadmin/user\\_upload/Studien\\_und\\_Berichte/Lurf\\_2015-JahrderLeistungsvereinbarungs-Verhandlungen.pdf](http://wissenschaft.bmwf.gv.at/fileadmin/user_upload/Studien_und_Berichte/Lurf_2015-JahrderLeistungsvereinbarungs-Verhandlungen.pdf)

L2 (Legislation 2): The Intellectual Property Law in Austria covers also scientific work and publicly funded research issues. The latest amendment pays attention to publicly (partly) funded projects or activities too.

The Intellectual Property Law (German version) is available at:

<https://www.ris.bka.gv.at/GeltendeFassung/Bundesnormen/10001848/Urheberrechtsgesetz%2c%20Fassung%20vom%2015.02.2016.pdf>





### 3.1.1 Policies of Danube University Krems (DUK)

P1 (Policy 1): LLL strategy - The ministry has asked all universities to develop an LLL strategy. This paper should be used to implement LLL at the university. In fact each university in Austria has such an institutional LLL strategy. English version available at:

<http://www.donau-uni.ac.at/en/universitaet/ueberuns/lifelonglearning/index.php>

P2 (Policy 2): Annual Report - The annual report refers to the performance agreements and institutional development plans and reports on the annual achievements in different activities. These reports also deliver some figures about number of students in continuing education. German version available at:

<http://www.donau-uni.ac.at/de/universitaet/ueberuns/jahresberichte/index.php>

P3 (Policy 3): Institutional development plan - Each university has to develop a plan for its activities (3 or 5 years). This plan also includes strategies and plans in LLL, university business co-operations, but only very little about social engagement or outreach. German version available at:

[http://www.donau-uni.ac.at/imperia/md/content/donau-uni/entwicklungsplan\\_donau-universitaet\\_krems\\_2015-2020.pdf](http://www.donau-uni.ac.at/imperia/md/content/donau-uni/entwicklungsplan_donau-universitaet_krems_2015-2020.pdf)

### 3.1.2 Policy of University of Vienna (UNIVIE)

P1 (Policy 1): University 2020 Development Plan - In addition to the performance of their tasks in research and teaching, increasing focus has been given to social expectations of universities to strengthen their "social commitment" (Third Mission). An open, democratic society and their ability to innovate depend essentially on the education of their populations and highly qualified university graduates are essential for the competitiveness of a location. German version available at:

<https://www.univie.ac.at/rektorenteam/ug2002/entwicklung.pdf>

## 3.2 Overview of Italian Legislation

L1 (Legislation 1): The most relevant legislative document related to Third Mission of Universities in Italy is Law no. 240/2010 concerning the reorganisation of universities. In December 2010, a comprehensive reform (Law 240/2010, or 'Gelmini reform') changed the institutional governance and internal organization of Italian state. The law proclaims autonomy and accountability as its basic principles (Article 1) and provides for changes in three key areas of university administration: governing bodies; recruitment; funding and salaries. Such changes are deeply concerned with the widespread demand for a (new) legal framework regulating partnerships between academia and industry or – better say – society as a whole. As a fact, starting from the change approach proposed by the Lisbon Strategy, by the Bologna Process and by the European Universities Charter on Lifelong Learning, the modernisation and innovation in the Italian University system depends on the response that can be given to social, economic and cultural challenges. This assumption generated the need to identify a third innovative mission for Universities, besides the two traditional missions of research and higher education. In Italy, the public awareness of the importance of the so-called third mission has grown over time. Within the research assessment exercise 2004-2010, the National agency for the evaluation of the university and research system,



introduced eight indicators aimed at assessing third mission activities of three types of institutions, including universities.

The Italian version is available at: <http://www.camera.it/parlam/leggi/102401.htm>

More recently, the Agency published a Handbook for the evaluation of universities' third mission, which includes a wider set of activities and indicators. As a fact, each university is called to define its own set of strategies and plans in this field. Continuing education and social engagement alongside technology transfer & innovation are therefore envisaged to play a growing role in reducing the gap between education and employment, to relate "science and society", by encouraging dialogue between the parties, through territorial valorisation and consolidation of the "network" of subjects operating in that area.

L2 (Legislation 2): A second relevant legislative document is the Italian Legislative Decree No. 104/2013. A core element of the so-called third missions is continuing education. In this regard, it is important to consider the wider scenario concerning the labour market reform process aimed at reducing the high unemployment rate and, in particular, the youth unemployment rate, through a structural revision of public employment services and a simplification of the types of labour contracts. A growing formal role is acknowledged also to universities in the field of education and employment, in line with occupational demands of both students and adult learners and employers. To this end, Legislative Decree No. 104/2013 has introduced new instruments to strengthen career guidance in secondary schools and a pilot programme (through apprenticeship contracts) for students in the last two years of secondary school.

L3 (Legislation 3): Another relevant legislative document is the Italian Legislative Decree No. 13/2013. More importantly here, Legislative Decree no. 13/2013, (which follows Law no. 92/2012 entitled "A growth-oriented reform of the labour market") aims at guaranteeing the fundamental and universal right to lifelong learning, defining the basis for a more systematic and strategic approach to lifelong and lifewide learning opportunities and needs, in accordance with the European directives on the recognition of non-formal and informal learning and on non-formal education network systems.

Universities are challenged to play a relevant role in implementing legislative decree n. 13 of 2013, which provides for the general outline of the National System for the Certification of Skills. The cornerstone of the system is the establishment of the National Framework of Regional Qualifications, which serves to organize, aggregate and accord nationwide recognition to over 2,600 regional vocational qualifications. This system is based on the expansion of statistical classifications (economic activity and job classifications) involving a mapping of the labour market and of occupations.

The Italian version is available at:

<http://www.gazzettaufficiale.it/eli/id/2013/02/15/13G00043/sq>

L4 (Legislation 4): Regarding Intellectual Property, the Industrial Property Code is established in Legislative Decree No. 30 of February 10, 2005, as amended up to Decree-Law No. 1 of January 24, 2012, converted into law with changes by Law No. 27 of March 24, 2012.

Third mission has been included among the institutional activities and its assessment is included into the periodical Evaluation Report to be transmitted to the Ministry of University and Research no later than July 31st of every year.





The Italian version is available at: <http://www.uibm.gov.it/index.php/la-proprieta-industriale/scoprire-la-pi/il-codice-proprieta-industriale>

LA (Additional Legislation): Additional legislation was mentioned including DM 17/2013. Decree of Self-assessment, accreditations initial and period seats and course of study and periodic evaluation identifying indicators and periodic evaluation parameters of research and third mission (Annex E), recognized in effect the third mission as an institutional mission of universities, alongside the traditional missions of teaching and research.

The Italian version is available at:

[http://www.anvur.org/attachments/article/26/3.%20DM%2047\\_2013.pdf](http://www.anvur.org/attachments/article/26/3.%20DM%2047_2013.pdf)

### **3.2.1 Policies of Università degli Studi di Bari "Aldo Moro" (UNIBA)**

P1 (Policy 1): Strategic Plan 2014-2016 - There are specialized courses only in some faculties such as e.g. Economy Department. Recently some management modules have been inserted experimentally in other faculties or in Postgraduate courses. Training and support processes to entrepreneurship development were activated for researchers, young graduates and students, aiming to diversify and upgrade the career opportunities and employability for an increased regional socio- economic growth. Italian version available at:

<http://www.uniba.it/ateneo/programmazione-bilanci/piano-strategico-2014>

P2 (Policy 2): Strategic Plan 2016-2018 – Third mission has been included among the institutional activities and its assessment is included into the periodical Evaluation Report to be transmitted to the Ministry of University and Research no later than July 31st of every year. Italian version available at:

<http://www.uniba.it/amministrazione-trasparente/performance/piano-performance/documentoprogrammazioneintegrata-2016.pdf>

### **3.2.2 Policies of University of Salento (US)**

P1 (Policy 1): Regulation concerning inventions obtained as part of the University of Salento - The University of Salento considers the management of intellectual property strategic element to protect its inventive heritage and transfer knowledge to support innovation and progress of the community.

Italian version available at: <http://www.unisalento.it/web/10122/304>

P2 (Policy 2): University Regulations for the regulation of activities for external clients, public and private, and the transfer of research results - These regulations govern the implementation of the provisions of Articles 65 and 67 of the University Regulations for the administration, finance and accounting, the activities carried out by the University of Milan, using resources provided by public bodies or private, on the basis of contracts and agreements, also on commission, relating to: Pure or applied research activities financed by third parties; Consulting activities concerning monographic studies, formulation of technical or scientific advice, advice on project activities, feasibility studies, technical and scientific assistance and coordination or supervision activities; Training activities, concerning the planning, organization and execution of courses, seminars, conferences, preparation of teaching materials, participation in training projects; Analysis, monitoring, calibration, testing, experiences and measurements on materials, equipment, manufactured goods and the customer are interesting structures; Clinical activities in the veterinary field; Transfer of



research results, such as transfer of the past achievements of a study or a research carried out in universities.

Italian version available at: <http://www.unisalento.it/web/10122/304>

**P3 (Policy 3):** Regulation of relations between the University of Salento and Spin-Off companies research - The University of Salento, in accordance with the general principles of its Statute, promotes the transfer of knowledge gained through research institutions through the creation of spin-off off and start-up aiming to use economic and business of research results and the development of new products and services linked to innovation.

Italian version available at: <http://www.unisalento.it/web/10122/304>

### **3.3 Overview of Portuguese Legislation**

**L1 (Legislation 1):** In Portugal, Law no. 62/2007, of 10th September, establishes the legal framework for higher education institutions, regulating its constitution, functions and organization.

Higher education institutions have the right and duty to participate, either individually or through their organizational units, in liaison activities to society, including the dissemination and transfer of knowledge as well as economic value of scientific knowledge (Law 62/2007 – article 2 (4)). Higher education institutions also have the responsibility for the transfer and economic enhancement of scientific and technological knowledge (article 8 (1d)).

The Portuguese Law no. 62/2007 (Portuguese version) is available at:

<https://dre.pt/application/dir/pdf1sdip/2007/09/17400/0635806389.pdf>

**L2 and L3 (Legislation 2 and Legislation 3):** In relation to Intellectual Property, the two main legislative documents in Portugal are the Industrial Property Code (L2) (approved by Decree-Law 36/2003 of 5 March and amended by Decree-Law 318/2007 of 26 September, Decree-Law 360/2007 of 2 November, Decree-Law 143/2008 of 25 July and Law 16/2008 of 1 April) and the Code of Copyright and Related Rights (L3) (as last amended by Law No. 16/2008 of April 1, 2008). These two documents lay down the rules for, among others, the ownership of rights, the compensation rights for inventors and authors, and the criteria of attribution of such rights. They serve as the basis for the Universities' policies regarding the subject matter.

The Portuguese Industrial Property Code (English version) is available at:

<http://www.wipo.int/edocs/lexdocs/laws/en/pt/pt071en.pdf>

The Portuguese Code of Copyright and Related Rights (Portuguese version) is available at:

<http://www.wipo.int/edocs/lexdocs/laws/pt/pt/pt093pt.pdf>

**L4 (Legislation 4):** Scattered provisions can also be found in legislation such as the “University Teaching Career Statutes” (Decree-Law No. 448/79, of 13th November and following amendments), in which article 63-A defines that the ownership of pedagogical material belongs to its authors, allowing in advance the institutions to use such material; article 70 defines that copyright related compensations are compatible with the exclusivity obligation, among others.

The Portuguese “University Teaching Career Statutes” (Portuguese version) are available at:

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*D1.1 Review on EU policies and legal frameworks for establishing university third mission*



<http://www.unl.pt/data/docentes/legislacao-alteracao-ao-ecdu.pdf>

### **3.3.1 Policies of University of Porto (UPorto)**

P1 (Policy 1): Statutes of the University of Porto - The duties of the University of Porto are, inter alia, the following: (...) The social value of knowledge and its transfer to economic and social agents, as drivers of innovation and change; (...). English version available at:

[https://sigarra.up.pt/up/en/WEB\\_BASE.GERA\\_PAGINA?p\\_pagina=18374](https://sigarra.up.pt/up/en/WEB_BASE.GERA_PAGINA?p_pagina=18374)

P2 (Policy 2): Intellectual Property Regulation – It regulates the protection and commercialization of U. Porto inventions. English version available at:

<https://drive.google.com/file/d/0BzAvXL5tWIOWT21DNnNFc2dWbIU/view?pref=2&pli=1>

P3 (Policy 3): External Services Provisions Policy - Portuguese version available at:

[http://upin.up.pt/sites/default/files/Regulamento\\_Prestacao\\_de\\_Servicos\\_U.PORTO\\_Fev\\_2010.pdf](http://upin.up.pt/sites/default/files/Regulamento_Prestacao_de_Servicos_U.PORTO_Fev_2010.pdf)

P4 (Policy 4): Spin-Off Companies Policy - Portuguese version available at:

[http://upin.up.pt/sites/default/files/Regulamento\\_de\\_Empresas\\_Spin-Off\\_da\\_Universidade\\_do\\_Porto.pdf](http://upin.up.pt/sites/default/files/Regulamento_de_Empresas_Spin-Off_da_Universidade_do_Porto.pdf)

### **3.3.2 Policies of Instituto Superior Técnico (IST)**

P1 (Policy 1): Statutes of the Instituto Superior Técnico (IST) - The Instituto Superior Técnico is a legal person governed by public law, is part of the Technical University of Lisbon and has statutory, scientific, cultural, pedagogical, administrative, financial and property autonomy. IST shall seek to contribute to the competitiveness of the Portuguese economy through technological transfer, innovation and furtherance of entrepreneurship. IST also comprises self-owned aimed to the creation and transfer of science and technology and for the promotion of fundamental and applied research. English version available at:

<http://tecnico.ulisboa.pt/en/about-IST/statutes/>

P2 (Policy 2): Strategic Plan (A school for the world) - The Strategic Plan of IST is materialized in a series of initiatives at the management and the operational levels, which have been grouped together in eleven focus areas. The focus areas cover the three components of the core mission of the IST – Higher Education, Research, Development & Innovation and Technology Transfer. One of the aims of the strategic plan is to reinforce IST links with the industry, improve IST career services, enhance the valorisation of the IST intellectual property and strengthen the entrepreneurial mind-set. English version available at:

<http://tecnico.ulisboa.pt/files/sobre-IST/plano-estrategico-2015.pdf>

P3 (Policy 3): Intellectual Property Policy - The contents of this policy are important for all of IST's collaborators (students, professors, researchers and other employees) as well as for all entities that interact with the School. It lays down the rules regarding ownership of intellectual property rights and, among others, the compensation rights of inventors and authors. The Policy was approved by the President of IST on July 15th, 2010, and officially published on



August 9th. Its first amendment is dated of August 3rd, 2015, and it was officially published on August 13th, 2015. English version of the 2010 Policy (without amendment) available at:

<http://tt.tecnico.ulisboa.pt/files/sites/41/Regulamento-da-Propriedade-Intelectual-Tradu%C3%A7%C3%A3o-PL-101205-V-Final.pdf>

### **3.4 Overview of Slovenian Legislation**

L1 (Legislation 1): In Slovenia, the Employment Related Industrial Property Rights Act governs the right of the employer to acquire the inventions of the employees stemming from the employment. Once the invention is acquired, the employer is obliged to award the employee and protect the invention. Inventions created by university teachers, researchers and other staff in higher education institutions and researchers in public research institutions may be acquired by their employers if the institution has proper infrastructure for protection and exploitation of acquired inventions in place. Such infrastructure is supposed to be financed from public means (which is unfortunately not always the case). On the basis of the act, the university may adopt rules, which specify what shares of the revenue the institution, institution unit and inventor receive out of successful exploitation of an acquired invention.

The Employment Related Industrial Property Rights Act (In Slovenian) is available at:

<http://pisrs.si/Pis.web/pregledPredpisa?id=ZAKO361>

An official English version of the Employment Related Industrial Property Rights Act is not available.

L2 (Legislation 2): The Higher Education Act regulates the status issues of higher education institutions and the conditions for the provision of higher education activities, defines public service in higher education and regulates the manner of its financing. The act states that university professors are responsible for educational, artistic and research activities, as well as for the transferring of knowledge related to these activities.

The Higher Education Act (In Slovenian) is available at:

<http://pisrs.si/Pis.web/pregledPredpisa?id=ZAKO172>

An official English version of the Higher Education Act is not available.

L3 (Legislation 3): The Research and Development Act lays down principles and objectives, and regulates the manner of implementation of the research and development policy, which is funded from the state budget and other sources. One of the purposes of the act is to create a research and development environment that ensures the creation of new knowledge and insights, as well as the transfer of knowledge for public benefit and economic use in order to increase social well-being.

The Research and Development Act (In Slovenian) is available at:

<http://pisrs.si/Pis.web/pregledPredpisa?id=ZAKO3387>

An official English version of the Research and Development Act is not available.

#### **3.4.1 Policies of Univerza v Novi Gorici (UNG)**

P1 (Policy 1): IP Management Strategy



The IP Management Strategy is part of the strategic plan of the university named Programme of Activities of the University of Nova Gorica: Development Plan for the 2010-2025 Period. The Development plan is accessible as supplement to the University Report on Quality.

Transfer of knowledge to business environment: Cooperation with industry and business environments is something all UNG employees strive for. It is in this manner that the conditions for the transfer of knowledge from academic institutions to business environments are created. Moreover, UNG and its activities will become more recognisable, resulting in better employment opportunities for UNG graduates.

UNG was the initiator and one of the founders of the Primorska Technology Park that should, among other things, contribute to the creation of a more stimulating business environment for graduates with bachelor, master and doctoral degrees. UNG has also established the Industrial Liaison Office and the University Incubator.

Strategic plan:

On 16th September 2009, the Senate of the University adopted The Programme of Activities of the University of Nova Gorica: development plan for period 2010–2025. The programme includes the presentation of the current situation, the development plan for the period of 2010–2015 and a vision of development for the long-term period of 2016–2025. In the future, UNG shall continue to focus its attention on the development of master and doctoral study programmes, and on scientific and research activities.

The short-term development strategy is annually reviewed and adopted by the University management (Rector, Vice-Rectors, Deans and Heads of research units). For this purpose, the management gathers at dedicated meetings, in which the strategic development of UNG for the current year is discussed.

Short-term priorities: to increase the enrolment in all study programmes; to increase UNG's recognisability in public; to construct a common university campus; to further develop lifelong-learning opportunities and enhance e-learning activities.

New pedagogical approaches: to review the possibilities of introducing distance learning and life-long learning activities – to find strategic partners.

### **3.4.2 Policies of University of Maribor (UM)**

P1 (Policy 1): Rules on Industrial Property Rights Management at the University of Maribor - The Rules on Industrial Property Rights Management at the University of Maribor regulate the acquisition procedure of employee inventions at the University of Maribor as well as rights and obligations of the university and inventors stemming from inventions discovered or created on the basis of an employment relationship at the university. The provisions of these rules apply mutatis mutandis to the acquisition procedure of rights pertaining to inventions discovered or created either by contractors on the basis of a contractual relationship or by students.

English version available at:

<http://www.um.si/en/about/um-statute/Documents/Rules%20on%20industrial%20property%20rights%20management%20at%20the%20University%20of%20Maribor.pdf>





### 3.5 Overview of UK Legislation

L1 (Legislation 1): Higher Education Act 2004: Higher Education in the UK was for many years government funded for a small number (around 10%) of high achieving school leavers. At the beginning of the 21st century, the Labour Government aimed to increase higher education take up to around 50% of school leavers, with an increased level of funding directly from students, and an increasing legislative provision for lower income students and applicants from diverse social backgrounds (a policy of Widening participation). The recent Higher Education Act from the conservative government raised the level of student payments (approximately threefold) whilst reducing government subsidies.

The Higher Education Act 2004 is available at:

<http://www.legislation.gov.uk/ukpga/2004/8/contents>

L2 (Legislation 2): Access top Higher Education Policy: Following the move towards self-financing for institutions, in the HE Act 2004, this policy has sought to increase the level of competition between institutions through for example, creating a wider base for awarding degree programmes, and revising the student repayment mechanisms. Further support was made for widening participation.

Access top Higher Education Policy is available at:

<https://www.gov.uk/government/publications/2010-to-2015-government-policy-access-to-higher-education/2010-to-2015-government-policy-access-to-higher-education>

L3 (Legislation 3): BIS committee response: Further policy and reports from the UK government have identified the need for closer collaboration between Universities and Business organisations, particularly around issues of skills, access to higher education, and Science and technology innovation.

BIS committee response is available at:

<https://www.gov.uk/government/publications/business-university-collaboration-government-response-to-bis-select-committee>

L4 (Legislation 4): National Intellectual Property is legislated by the CDPA legislation.

The CDPA legislation is available at:

<http://www.legislation.gov.uk/ukpga/1988/48/contents>

#### 3.5.1 Policies of University of Brighton (UoB)

P1 (Policy 1): Strategic Plan - The University of Brighton Strategic Plan interprets the University future direction alongside national requirements. The objectives are based on a number of key themes: learning, developing, local/global presence, sustainable practices. The Plan articulates: "Economic and social engagement will continue to be core business for the university ... embedded in our approach to the student experience, to learning and research, and to partnerships."

Available at:

[https://issuu.com/universityofbrighton/docs/strategic\\_plan/1?e=2898258/2829223](https://issuu.com/universityofbrighton/docs/strategic_plan/1?e=2898258/2829223)

P2 (Policy 2): Five year review of EASE - The University of Brighton has an Economic and Social Engagement (EASE) department dedicated to 3rd mission activities. The Review and

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*D1.1 Review on EU policies and legal frameworks for establishing university third mission*



proposals report is a comprehensive audit of the department that particularly notes the success of embedding Business Development Managers into academic schools and the Profitnet business discussion platforms.

Available at:

<https://staff.brighton.ac.uk/ease/SiteCollectionDocuments/EASE%20Review%202009-15%20pdf.pdf>

P3 (Policy 3): Coast to Coast - The geographic location of Brighton mean that the University looks heavily east/west in its actions to realise its 3rd mission policies.

Available at:

<http://www.coast2capital.org.uk/strategic-objectives/strategic-economic-plan#sthash.usnA0xVI.V1XctyC5.dpbs>

PA (Additional Policy): Institutional IP is governed by an internal policy. Available at (with restricted access):

<https://staff.brighton.ac.uk/ease/ip/docs/Creating%20and%20Exploiting%20our%20Ideas%20and%20Intellectual%20Property.pdf>

### 3.5.2 Policies of University of York (UY)

Dimension 1 of TM: Technology Transfer and innovation - The University of York has a strong tradition of collaborative research and knowledge exchange. This work is able to take place through commercial partnerships and through a range of funding opportunities available to organisations from funders from local development groups to EU agencies. UY can support organisations in carrying out collaborative research and can also assist in finding external funding sources for work in partnership with the university.

Potential funding sources include:

- Knowledge Transfer Partnerships - Funding available for 12 weeks to 2 years for company-based research projects
- Innovate UK - Funding available for company-led research projects

Available at: <https://www.york.ac.uk/business/funding/ktp/#tab-1>

Knowledge Transfer Partnerships (KTP) is a well-established programme which helps organisations improve their competitiveness, productivity, performance and profitability by tapping into the knowledge, skills and expertise in UK universities. Each KTP is a three-way partnership between a business, a university and a graduate, with grants available to cover investment in innovation. KTP enables Higher Education Institutions to apply their wealth of knowledge and expertise to important business problems, facilitate collaborations that lead to measurable research impact, and provide an employment opportunity for high-calibre graduates. KTP is classed as research related income. Partnerships are funded through the business partner and government. The level of funding contributed by the business will depend on its size. Investment in KTP varies but is typically around £60,000pa with grants available of up to 67% for small companies or 50% for larger organisations.

Available at: <https://www.york.ac.uk/business/funding/ktp/#tab-1>



Innovate UK, formerly The Technology Strategy Board (TSB), is a brokerage organisation enabling companies, industry, research and learning organisations to collaborate on innovative projects and reach their full potential. Innovate UK acts as a signposting service for organisations seeking support for a range of business development issues; from finding partners to taking a project to market.

Available at - <https://www.york.ac.uk/business/funding/innovate-uk/>

#### Consultancy services

The University of York actively engages academics from all departments in consultancy services for external organisations. Staff from the University of York are available for consultancy work and the business development team can assist you in finding suitable expertise. A number of organisations and departments provide high quality consultancy services.

Available at - <https://www.york.ac.uk/business/consultancy/>

#### Dimension 2 of TM: Continued Education -

##### Learning and Teaching Strategy 2015-2020

UY's policy on continued education represents a flexible approach to this area and recognizes the technological impact of alternative delivery methods such as MOOC's. The policy is essentially a work in progress and is deliberately set up to respond to future changes. In this context, an extract of the Learning and Teaching Strategy 2015-2020 is presented: "C2.2 We expect to see new formats of learning and teaching, particularly at PGT level. We will be flexible in adapting to these, but will adhere to our principles in Section B of this strategy. We will develop clear policy on the options, constraints and resources for alternative modes of delivery. We will have similar consideration to the expanding formats and modes of continuing professional development, lifelong learning and other supplementary programmes."

Available at:

<https://www.york.ac.uk/media/staffhome/learningandteaching/documents/L&T%20strategy%202015%20to%202020%20final.pdf>

##### UY's approach to online and distance education

Online and distance learning courses at the University of York allow you to study flexibly, anywhere in the world, and receive a recognised and respected qualification from a leading international university and member of the Russell Group of top UK universities.

We only offer online and distance learning courses where we have a particular strength: we are not a mass-market provider and we do not outsource our teaching or support. Our courses provide high quality, research-informed curricula, combined with personal academic support. Studying with us, you'll be part of a collaborative learning community and have access to excellent learning resources.

Available at: <http://www.york.ac.uk/distance-learning/courses/our-approach/>

#### Dimension 3 of TM: Social Engagement

##### Student Volunteering





UY co-ordinates three key programmes which give you the chance to help in the classroom through York Students in Schools, volunteer with charities and voluntary organisations through York Students in Communities and lead a curriculum-linked project through the @Work programme. Alternatively, if you want to set-up your own initiative we can support you with through the University Community Fund.

Available at: <https://www.york.ac.uk/students/work-volunteering-careers/skills/volunteer/>

#### York Students in Schools

York Students in Schools (YSIS) offers you the opportunity to gain confidence in the classroom as a volunteer assistant, as well as engage in the wider education sector through mentoring, projects and language support.

Available at: <https://www.york.ac.uk/students/work-volunteering-careers/skills/volunteer/ysis/>

#### York Students in Communities

UY offer a wide range of termly volunteering opportunities for University of York Students. We advertise placements termly, Week 3 - Week 5 and project roles throughout the year.

Placements vary in length and time commitment based upon the role. These usually range from up to 5 hours per week over a term to a 6 month commitment. Details of the commitment are available on the role description.

Available at: <https://www.york.ac.uk/students/work-volunteering-careers/skills/volunteer/cavu/>

#### @Work: Summer Projects 2016

@Work is an exclusive opportunity for first and second year students from Education, English and Related Literature, History of Art, and Politics to take part in summer term projects. It is: Real. You will work with a client from the world of media, culture, government, charity or education.

Available at: <https://www.york.ac.uk/students/work-volunteering-careers/skills/volunteer/@work/>

#### Community

If you are a local volunteer involving organisation UY can help to find student volunteers to support the organisation.

Available at: <https://www.york.ac.uk/students/work-volunteering-careers/skills/volunteer/cavu/informationforcommunity/>

UY's aim is to bring together the community and university, allowing a mutually beneficial exchange of knowledge, skills and experience between the York community and the students at the University of York.

UY is always looking for new, creative and beneficial ways for the community and students to work together.

#### University Community Fund

UY can offer funding of up to £500 or £5000 to students or staff with the creativity, commitment and enthusiasm to make an impact in the local community by developing their own volunteering project.



If a student or staff member has an idea for developing their volunteering project they can apply to the University Community Fund to kickstart their initiative.

Available at: <https://www.york.ac.uk/students/work-volunteering-careers/skills/volunteer/communityfund/>

PA (Additional Policy): Sustainability Strategy

The University's approach to sustainability will be based on the Five Capitals Model. This is a disaggregation of the 'triple bottom line' approach into five 'capitals' that are better-suited to a university's core activity of developing human and social capital through research, teaching, and interactions with business and society.

The University of York aspires to be a responsible member of the local, national and global community. UY will contribute to a broader recognition of the benefits of sustainability through our learning and teaching, research and other activities. To this end UY aims to: Embed sustainability in the institutional culture: promote sustainable working and living practices and make sustainability core to our structures, governance, decision-making and operational processes; Create and disseminate understanding of sustainability: lead in generating the knowledge to enhance sustainability in society and embed sustainability in the curriculum and professional development provided to the university community; Achieve widespread recognition for best practice and innovation in sustainability: be recognised as an exemplar of good practice in sustainability; Enhance biodiversity and minimise our environmental footprint: be more effective in our use of resources and make large reductions in use of natural resources, in carbon emissions and waste production.

Available at:

[https://www.york.ac.uk/media/abouttheuniversity/governanceandmanagement/documents/Sustainability\\_Strategy\\_final\\_Oct%202012%20forweb.pdf](https://www.york.ac.uk/media/abouttheuniversity/governanceandmanagement/documents/Sustainability_Strategy_final_Oct%202012%20forweb.pdf)

## 4 Technology Transfer & Innovation

### 4.1 Legislation and Policy Overview

Table 2: Comparative overview of the responding EU HEIs regarding TTI

Institution Name:	Is there national legislation that governs ownership of intellectual property?	If yes, select relevant legislative documents from the ones that you have listed previously:	If there is commercial exploitation of the invention, is financial compensation to inventors foreseen in national legislation?	If yes, select relevant legislative documents from the ones that you have listed previously:	Is there national legislation that governs ownership of intellectual property specifically for academic inventions?	If yes, select relevant legislative documents from the ones that you have listed previously:	Is there national legislation that governs ownership of intellectual property specifically for inventions conceived with public funds?	If yes, select relevant legislative documents from the ones that you have listed previously:	Internal policy regarding intellectual property: [Does your institution have an IP Policy?]	Internal policy regarding intellectual property: [Is financial compensation to inventors foreseen in internal policies?]
Danube University Krems	Yes	L2	Don't know	-	Yes	L2	Don't know	-	No	No
University of Vienna									Yes, in the scope of P1	Don't know
Università degli Studi di Bari "Aldo Moro"	Yes	L1, L2, L3, L4	Yes	L1, L2, L3, L4	Yes	L3	Yes	L3	Yes, in the scope of P1	No
University of Salento									Yes, in the scope of P1	Yes, in the scope of P1
University of Porto	Yes	L2, L3	Yes	L2, L3	No	-	No	-	Yes, in the scope of P2	Yes, in the scope of P2
Instituto Superior Técnico									Yes, in the scope of P3	Yes, in the scope of P3



Univerza v Novi Gorici	Yes	L1	Yes	L1	Yes	L1	Yes	L1	Yes, in the scope of P1	Yes, in the scope of P1
University of Maribor									Yes, in the scope of P1	Yes, in the scope of P1
University of Brighton	Yes	L4	Yes	L4	Yes	L4	Yes	L4	Yes, in the scope of PA	Yes, in the scope of PA
University of York									Don't know	Don't know

## **4.2 Inventors and assignees**

In Austria, the Intellectual Property Law (L2) governs general ownership of intellectual property and also governs ownership of intellectual property specifically for academic inventions.

In Italy, Law no. 240/2010 (L1) (concerning the reorganisation of universities), Legislative Decree No. 104/2013 (L2) and Legislative Decree no. 13/2013 (L3) all govern general ownership of intellectual property and also the financial compensation owed to inventors in case of commercial exploitation of the invention. Although the respondents did not mention L4, there is an obvious connection and L4 (Industrial Property Code established in Legislative Decree No. 30 of February 10, 2005) was added to the table. There is legislation that governs ownership of intellectual property specifically for academic inventions and ownership of intellectual property specifically for inventions conceived with public funds.

In Portugal, there are two legislative documents that govern Intellectual Property which include compensation to inventors and authors: the Portuguese Industrial Property Code (L2) (article 59) and the Portuguese Code of Copyright and Related Rights (L3) (article 14). Regarding ownership of intellectual property specifically for academic inventions and ownership of intellectual property specifically for inventions conceived with public funds, neither of these specific subject matters is governed by national legislation.

In Slovenia, the four subject matters (Intellectual Property, compensation to inventors and authors; ownership of intellectual property specifically for academic inventions; and ownership of intellectual property specifically for inventions conceived with public funds) are addressed and governed by the Employment Related Industrial Property Rights Act (L1).

In the UK, the four subject matters (Intellectual Property, compensation to inventors and authors; ownership of intellectual property specifically for academic inventions; and ownership of intellectual property specifically for inventions conceived with public funds) are addressed and governed by the CDPA – Copyright, Designs and Patents Act (L4).

With respect to policies related to Intellectual Property:

The Danube University Krems does not have a policy that governs Intellectual Property or that foresees financial compensation to inventors.

The University of Vienna has an IP Policy, within the University 2020 Development Plan (P1), but it is not known if it foresees financial compensation to inventors.

The University of Bari has an IP Policy, within the Strategic Plan 2014-2016 (P1), but it does not foresee financial compensation to inventors.

The University of Salento has an IP Policy, Regulation concerning inventions (P1) and it foresees financial compensation to inventors.

The University of Porto has an IP Policy, Intellectual Property Regulation (P2), and it foresees financial compensation to inventors.

Instituto Superior Técnico has an IP Policy, Intellectual Property Policy (P3), and it foresees financial compensation to inventors.

The Univerza v Novi Gorici has an IP Policy, IP Management Strategy (P1), and it foresees financial compensation to inventors.

The University of Maribor has an IP Policy, Rules on Industrial Property Rights Management at the University of Maribor (P1), and it foresees financial compensation to inventors.

The University of Brighton has an IP Policy, IP Internal Policy (PA), and it foresees financial compensation to inventors.

The University of York neither reported if it has an IP Policy nor if it foresees financial compensation to inventors.

### **4.3 Internal Structures and Figures**

Of the ten institutions, only two do not have a Technology Transfer Office: the University of Brighton and the Danube University Krems.

#### Danube University Krems (DUK)

DUK therefore has no TTO staff. No average number of patent applications and no spin-offs were reported. It has, nevertheless, an incubator. Entrepreneurship is taught at the Danube University. The Danube University offers an MBA in entrepreneurship. Furthermore the university offers "modules" short courses up to 10 ECTS on entrepreneurship. But there is no one model of this. It rather depends on the units and their profile and field.

#### University of Vienna (UNIVIE)

UNIVIE has a TTO with 15 employees. The average number of patent applications per year is 7. It has an incubator but no spin-offs were reported. Two departments are responsible for Intellectual Property Management: Forschungsservice; Forschungsservice und Förderberatung. Entrepreneurship is taught at the University of Vienna. There are projects for social entrepreneurship, and it might be taught in different fields of study, depending on the study.

#### University of Bari Aldo Moro (UNIBA)

UNIBA has a TTO with 3 employees. The average number of patent applications per year is 5. It has an incubator and 5 spin-offs with patented technology and 16 spin-offs without patented technology. The University of Bari ILO mission is represented by the economical valorisation of the research results. Such valorisation is not meant as simply earning from the organization doing the research, but rather as valorisation of the whole productive section of the research group and a valorisation of the territory. In particular, this department offers support in putting in practice the so called "third mission" of the university: sensitization of the protection of intellectual rights steaming out from research; support in achieving patents; support for the negotiation activity and for the cessation or patents and technology; support in forming and developing academic Spin-off; support in forming clauses about the intellectual property regime concerning various types of events focused on research; support the university participation to productive districts, technology centres, centres of excellence; support in participation to festivals, expositions, meetings for presentations of lines and results of researches developed by the departments; promotion of professional figures and competencies within companies so to contrast the scares attitude toward innovation. The ILO



office – the technological transfer - interacts systematically with: internal departments and research structures; projects area; carrier guidance; area for training opportunities. The area for technological transfer works in close connection with the Patents and Spin-off commissions. They use the investigations of the ILO Office, that are in charge of the preliminary contacts with researchers and other subjects involved. The technology transfer Area has systematic contacts with professors and researchers afferent to the research and services structure (departments, interdisciplinary research centres, laboratories). Furthermore, singles out the applicative fields for the research results, potentially interesting for companies and for valorisation and/or development paths. This may also help researchers in founding Spin-off and in understanding the path for getting a patent and the following “dressing” needed to offer the patent and/or technology to the market. Entrepreneurship is taught at the University of Bari. There are specialized courses only in some faculties such as e.g. Economy Department. Recently some management modules have been inserted experimentally in other faculties or in Postgraduate courses. Training and support processes to entrepreneurship development were activated for researchers, young graduates and students, aiming to diversify and upgrade the career opportunities and employability for an increased regional socio-economic growth. Some examples are: 1- Realization of the FUTURE LAB in collaboration with the Politecnico di Bari, for the Regional call “La Rete ILO per la Smart Puglia”. The FUTURE LAB is a place to promote and support processes of knowledge “contamination” in order to impact on entrepreneurship and innovation culture, favoring the diffusion of new learning models. The Future Lab is a place where the creativity of young people is promoted, diffused and enhanced; the birth and development of new ideas are supported; new employment opportunities with high technical and professional quality are created; the young startupperes are sustained in the boot path to the creation of company; the opportunities and places for discussion and promotion of different experiences are provided in order to stimulate collaboration and construction of formal and informal links between the young people and to enhance the quality of human capital; 2-Organization of the initiative “Call4UNIBA: The Square of Ideas”, in collaboration with the Norba Group and the ItaliaCamp Association. Its goal was to promote a call for ideas to implement innovative business ideas, generated from knowledge and skills developed in the academic world, in collaboration with the companies of the regional and national territory; 3-The university activated a partnership with the Provinces of Provincia di Barletta - Andria - Trani, and the Credito Cooperativo Bank of Andria, with reference to a project called CreAttività, presented answering to the ministerial invitation for “Action Province Youth” in 2011, to promote the culture of entrepreneurship among the youngsters and to sustain the development of innovative entrepreneurial ideas within the local territory.

#### University of Salento (US)

US has a TTO with 4 employees. The average number of patent applications per year is 8. It does not have an incubator. It has 10 spin-offs with patented technology and 19 spin-offs without patented technology. The main activities offered by the TTO of the University of Salento are: support to processes related to third mission, because it is for the transfer of research results to the market processes, for promotion of university patents and study of their intellectual potential; it supports the start of business initiatives as well as a reference point for social and technological innovation processes guided by search. In the University of Salento the keen interest about entrepreneurial training related to social innovation and





technology issue in recent years, has found fertile ground. The University of Salento was ranked among the top 350 universities in the world ranking in the Times Higher Education World University Rankings, compiled by Thomson Reuters in 2013, confirming a profile of excellence in teaching, in the production and dissemination of research, innovation capacity in liaison with industry and international contacts.

These results are combined with development of spin offs and innovative start-ups gathering of young companies but respectable sizes for turnover, number of employees and growth trend. This context is becoming a favourable environment of young talents and valid business initiatives provided you manage to fuse harmoniously new ways of entrepreneurial education, basic research, industrial research and In the University of Salento the keen interest about entrepreneurial training related to social innovation and technology issue in recent years, has found fertile ground. The University of Salento was ranked among the top 350 universities in the world ranking in the Times Higher Education World University Rankings, compiled by Thomson Reuters in 2013, confirming a profile of excellence in teaching, in the production and dissemination of research, innovation capacity in liaison with industry and international contacts. These results are combined with development of spin offs and innovative start-ups gathering of young companies but respectable sizes for turnover, number of employees and growth trend. This context is becoming a favourable environment of young talents and valid business initiatives provided you manage to fuse harmoniously new ways of entrepreneurial education, basic research, industrial research and experimental research and innovation according to the well proven logic of Public-Private-Partnership experimental research and innovation according to the well proven logic of Public-Private-Partnership.

#### University of Porto (UPorto)

UPorto has a TTO with 8 employees. The average number of patent applications per year is 30. It has an incubator and 8 spin-offs with patented technology and 196 spin-offs without patented technology. The main activities offered by the TTO of the University of Porto are: Industry Liaison; Entrepreneurship; and Protection and Commercialization of Technologies. Entrepreneurship is taught at the University of Porto with classes and within MSc Degrees. Available at: [https://sigarra.up.pt/feup/en/CUR\\_GERAL.CUR\\_VIEW?pv\\_curso\\_id=719](https://sigarra.up.pt/feup/en/CUR_GERAL.CUR_VIEW?pv_curso_id=719)

#### Instituto Superior Técnico (IST)

Instituto Superior Técnico has a TTO with 8 employees. The average number of patent applications per year is 15. It does not have an incubator. It has 2 spin-offs with patented technology and 48 spin-offs without patented technology. The Technology Transfer Office of IST is composed of two units: the Intellectual Property Unit and the Corporate Partnerships Unit. The Intellectual Property Unit's activities include, among others, the evaluation of invention disclosures and submission of applications, management, and commercialization of all of IST's Intellectual Property (such as patents, trademarks, design and software); dissemination of knowledge regarding IP and Technology Transfer to students, researchers and teaching staff; analysis, preparation and negotiation of legal documents and contracts involving IP issues and confidentiality. The Corporate Partnerships Unit's activities include, among others, the management of a spin-off community created to foster and facilitate networking opportunities between academia and entrepreneurs as well as the management of all contacts with enterprises for students' placement, namely career counseling, coaching,





and job search services to the students and provides to the companies the possibility of contact with potential talents for the core of their organization. This is done through comprehensive and clearly defined procedures established with the aim of guaranteeing quality to the services provided by TT@IST. Entrepreneurship is taught at Instituto Superior Técnico. Courses available at IST are: Product development and Entrepreneurship, Technology based entrepreneurship/Entrepreneurship, Entrepreneurship, Innovation and Technology Transfer and Entrepreneurship in Bioengineering.

#### Univerza v Novi Gorici (UNG)

UNG has a TTO but no TTO staff was reported due to the fact that currently the TTO has no employees. No average number of patent applications and no spin-offs were reported. It does not have an incubator. The Industrial Liaison Office at the University of Nova Gorica manages the technology transfer and promotes the use of the University's capacities in industrial applications and researches. The already formed Intellectual property of the University is ready to be offered to appropriate business partners interested in its purchase or presented to potential partners, seeking the opportunities for cooperation. Entrepreneurship is taught at the Univerza v Novi Gorici in its School of Engineering and Management.

#### University of Maribor (UM)

UM has a TTO with 4 employees. The average number of patent applications per year is 8. It has an incubator and 3 spin-offs without patented technology. The main activities of the TTO (TechnoCenter at University of Maribor) are: (1) technology transfer and commercialization of inventions; (2) professional and administrative support for different forms of research collaboration (contracts, grants, and other initiatives) between sides mentioned above; and (3) development of business and research partnerships between University and organizations from private or public sector (spin-off companies, licensing, etc.). Entrepreneurship is taught at the University of Maribor in its Faculty of Economics and Business.

#### University of Brighton (UOB)

UOB has no TTO staff. The average number of patent applications per year is 1. It does not have an incubator and no spin-offs were reported. Entrepreneurship is taught at the University of Brighton in many courses and specifically within both business and engineering subject areas.

#### University of York (UY)

UY has a TTO with 11 employees. The average number of patent applications per year was not reported. It does not have an incubator and no spin-offs with or without patented technology were reported. The main activities of the TTO were not reported. At Careers, UY offers a range of support to students who want to set up their own businesses. They also encourage students to develop enterprise as a mind-set - a set of skills and values that will help students deal with tricky situations, and will often set UY students apart from others when applying for jobs. Available at: Enterprise. <https://www.york.ac.uk/students/work-volunteering-careers/skills/enterprise/>



#### **4.4 Good Practices**

##### Danube University Krems (DUK)

DUK reported the following good practices or activities:

“a strong cooperation with medical industry as well as other units have their inventions. However there is no one unit which covers these kind of activities. Rather the decentralized units as their work very close with and to the business sector have developed their knowledge about technology transfer and invention.”

##### University of Vienna (UNIVIE)

UNIVIE reported the following good practices or activities:

- University Meets Industry (uniMind): [www.postgraduatecenter.at/unimind](http://www.postgraduatecenter.at/unimind)
- University Meets Social Responsibility: [www.postgraduatecenter.at/unibility](http://www.postgraduatecenter.at/unibility)
- University Meets Public (UMP): <http://www.postgraduatecenter.at/lifelong-learning-projekte/laufende-projekte/university-meets-public/>
- Kinderuni: [www.kinderuni.at/kinderuniwien/](http://www.kinderuni.at/kinderuniwien/)
- Technology transfer: <http://techtransfer.univie.ac.at/technologietransfer/>

##### University of Bari Aldo Moro (UNIBA)

UNIBA reported the following good practices or activities:

- Collaboration with ENEA through the several meetings with spin-off and research group aimed at offering services to the companies about internationalization, technology innovation, technology transfer, and R&ST. To this aim, meetings have been organized during which the companies presented to the Enterprise Europe Network experts their needs of internationalization, technology innovation, valorisation of the results steaming from researches and activities. Technological and industrial partners have been sought, among the Enterprise Europe Network, to establish large space for collaboration and for joint projects.
- Cycles of seminars for university students and for a larger audience have been organized about innovation, business creation, creativity.
- Organization and participation in business competitions such as 'Start up week end', Start Cup, Festival of Innovation and other events on entrepreneurship and exploitation of research results, where the spin-offs and start-ups of the university gathered great results.
- Meetings for first audit with companies have been organized to tap the demands, multiply the contacts, establish strong relationships and build capillary network.
- Participation in events of technological brokerage such as the stock market research and the stock market for innovation and high technology.
- Organizing visits of representatives of Mediterranean countries to share innovation paths and to build a network for agrifood incubators interested in food.



- The TecnoPolis Scientific and Tecnological Park S.c.r.l. company, of which UNIBA is the only partner, is focused on management in Italy and abroad of supporting activities in creating companies and spin-offs, the coaching and support to public administrations at all levels in the formulation and implementation of information programs, modernization and innovation of its services, and the promotion and management of science and technology park, also in synergy with the competence centers, the technology clusters and associative organizations participated by universities.

#### University of Salento (US)

US reported the following good practices or activities:

A patent granted to the University of Salento has been purchased by a local company who decided to industrialize and to assume the youngest researcher among the inventors with an initial contract of apprenticeship and then indefinitely.

Some spin offs have attracted American investors that have shown considerable shares in the capital and have invested large funds in this environment.

#### University of Porto (UPorto)

UPorto reported the activities included in the following link: <http://www.ktforce.eu/mapa>

#### Instituto Superior Técnico (IST)

IST reported the following good practices or activities:

The Intellectual Property Unit has a set of internal procedures to manage its Intellectual Property Portfolio. Anytime inventors develop an invention, whose ownership belongs, totally or partially, to IST and for which there is a possibility of economic exploitation, the first step is to communicate the invention, creation or software by filling in the Invention Disclosure Form to the Unit. The disclosure form has two parts, both of which are required to be filled in. Part A provides basic information about the inventors, creators or authors and about the disclosure object. Part B allows initiating the assessment of whether IST is interested in protecting the disclosed information. The invention disclosure form must be signed by all the inventors, creators or authors. Each of the inventors, creators or authors must fill in, date and sign the Compulsory Declaration, using the same date as in the disclosure form. The invention disclosure form and the compulsory declarations (as well as any optional declaration or the agreement, whenever applicable) must be submitted to IST's Technology Transfer Office (TT@IST), to the attention of the Intellectual Property Unit. Documents referred to in item 20 of the invention disclosure form must be sent by the inventor, creator or author #1 to [pi@tecnico.ulisboa.pt](mailto:pi@tecnico.ulisboa.pt), with the subject "Communication". Scanned documents of the invention disclosure form and declarations may also be attached in the same e-mail (as delivered to TT@IST), to accelerate the process. In case the Intellectual Property Unit does not consider the communication of invention, creation or software complete, the inventors, creators or authors will be contacted in order to complete the provided information. After receiving the complete information, the Intellectual Property Unit may invite the inventors, creators or authors for a meeting to accelerate the assessment of IST's interest in protecting the disclosed information. The presence of all inventors, creators or authors is not necessary in this meeting. The assessment process will include legal, technological and



commercial due diligence, to be carried out by the Intellectual Property Unit and by the inventors, creators or authors. With the support of the inventors, creators or authors during the assessment process, IST will decide to proceed, or not, with the legal protection of the disclosed information within a maximum of 30 days after the reception of the complete information and will inform IST's inventors or creators concerning the possibility of publication of results related to the invention, creation or software. If IST decides to proceed with the legal protection of those results, the elaboration and management of the application process begins, the submission of which may be filed several weeks after the above mentioned decision. During this stage, the inventors, creators or authors must collaborate with the Intellectual Property Unit and keep the confidentiality related to the subject-matter to protect. The inventors, creators or authors must inform the coordinator of the research unit, mentioned in IST's Statutes, which they are associated with or which are relevant to the disclosure, that they will submit an invention, creation or software in compliance with IST's Intellectual Property Policy. In the cases of associated research units, item 4 of the Disclosure Form must be filled in and the coordinator of the research unit must sign the form. Regardless of the type of research unit, its coordinator must also sign the Disclosure Form in case the indicated percentages of contribution to the invention are different.

#### University of Maribor (UM)

**VENTURE FACTORY.** The university incubator - Venture Factory is an important element of the innovation ecosystem of the University of Maribor. It is focused on promoting and supporting entrepreneurial activities of students, researchers and professors of the University of Maribor, as well as other innovative individuals.

Venture Factory functions within the "Entrepreneurship and innovation" pillar of the consortium RAZ:UM that was developed by the University of Maribor. Within the consortium, Venture Factory implements programmes for promoting entrepreneurship, consulting (potential) entrepreneurs and incubating start-up companies (spin-off and spin-out). Total number of already established companies is 68, Drugi vid, U2g, ASK, Incepto, Adora med, Sitec, ...:

[http://www.tovarnapodjemov.org/Dokumenti/clani/Inkubirana\\_podjetja\\_311.aspx](http://www.tovarnapodjemov.org/Dokumenti/clani/Inkubirana_podjetja_311.aspx) and  
[http://www.tovarnapodjemov.org/Dokumenti/clani/Alumni\\_podjetja\\_355.aspx](http://www.tovarnapodjemov.org/Dokumenti/clani/Alumni_podjetja_355.aspx))

The Venture Factory has been successfully working for more than 15 years and its mission is to create circumstances under which entrepreneurial experts at the University of Maribor (professors, researchers and students) and other innovative individuals will be able to implement their business ideas and thus successfully commercialize their excellent knowledge and technologies. For our work, we have received many awards (Microsoft, Municipality of Maribor,...) and recognitions, as well as continuous positive media response (more than 300 Article's per Year).

Our main activities are:

- Promoting entrepreneurship; we organise a series of entrepreneurship events and programmes.
- Consulting entrepreneurs; we offer excellent consulting services and tools to entrepreneurs.



- Incubating start-up companies; we offer a stimulating working environment for start-up companies.

More: [www.tovarnapodjemov.org](http://www.tovarnapodjemov.org); [www.startupmaribor.si](http://www.startupmaribor.si); [www.startup.si](http://www.startup.si)

### Venture factory

**Alpe-Adria initiative;** Partner organizations from Slovenia, Austria and Italy implemented a strategic project called 'Innovation ecosystem for cross border cooperation-INNO CBC. Purpose of the implemented project, co-financed from cross-border territorial cooperation Austria-Slovenia, is to identify common strategic fields and topics of innovation for future cooperation within cross-border area. In the field of identification and networking of open innovation approaches, a policy recommendations and action plan were prepared, how to use innovative methods. In the framework of preparation of future projects and tackling relevant social challenges, smart city initiatives were identified as important platforms enabling cooperation of different organization in different fields.

The cooperation with **Microsoft**, hosting the Microsoft Innovation Centre (MIC) is a win-win situation for both partners: Microsoft found a ready-made location where start-ups and SMEs have already been attending various trainings, workshops and consultancies, and Venture Factory had another high-quality service to offer its members in the university incubator and other interested SMEs. In part, the equipment located in Venture Factory, is used also for high-tech IT software solution development by the students and specialised IT trainings provided by Microsoft ([http://www.innovationcenter.si/en-GB/Dokumenti/Tools\\_and\\_programs\\_76.aspx](http://www.innovationcenter.si/en-GB/Dokumenti/Tools_and_programs_76.aspx)).

Similar cooperation has been developed with the second largest Slovenian bank, located in Maribor. **Nova kreditna banka** Maribor or NKBM entered in a partnership agreement under which the bank outsources its advisory services in the area of entrepreneurship to the Venture factory. The NKBM assessed that the Venture Factory can offer high quality complementary services, therefore a partnership is a much more effective way to provide such services instead of developing their own consultancy department (<http://www.nkbm.si/podjetniskicenter>) .

**The Initiative Start:up Slovenia** is an answer to the increasingly larger gap in the evolution of the Slovenian start-up ecosystem. This is why in 2011, the leading subjects of the innovative environment have started to connect into the Initiative Start:up Slovenia in order to create and strengthen national programmes for encouraging entrepreneurship, and ensure a network of comprehensive support for launching and building start-up companies all across Slovenia. Venture Factory, Technology Park Ljubljana, Technology Park Primorska, RC IKT, Technology Park Pomurje, RCR Zasavje and the Incubator of the Savinja region are already united in the initiative. At the same time, we have liaised with other key stakeholders of the start-up ecosystem, wrote down the basic national strategy Start:up manifesto as well as designed and improved many programmes for activating talents, building start-up companies and their growth. The initiative Start:up Slovenia is an open platform that various organisations and individuals can join by giving a statement of support, as long as they wish to contribute to the vision of a dynamic, entrepreneurial talent-friendly country ([www.startup.si](http://www.startup.si)).



**TechnoCenter.** In 2014, ADORA Med was established as a University of Maribor spin-off company by a team of four engineers, including Kristjan Kosič, a researcher and a teaching assistant at the Faculty of Electrical Engineering and Computer Science of the University of Maribor. ADORA Med enables touchless presentation of patient's information during surgical procedures by providing seamless natural user interface experience for physicians. ADORA Med won second place in worldwide finals of a prestige student competition Microsoft ImagineCup 2013 and was the finalist of the Slovenia Startup of the Year competition.

Although specific rules on establishing university spin-off companies of the University of Maribor are still in the final phases of adoption, the university has an established procedure for establishing university spin-off companies. The procedure is managed by the university technology transfer office (TehnoCenter at University of Maribor), which helps founder(s) to prepare a comprehensive presentation of their business idea to the university leadership. Upon getting an approval from the university leadership, the university and the spin-off company sign an agreement, which includes terms and conditions for licensing the university intellectual property. University of Maribor does not directly take equity in university spin-off companies.

**TechnoCenter** at the University of Maribor was established in 2005 as a **Technology Transfer Office**. Its mission is to provide services for promoting and supporting technology and knowledge transfer, thus contributing to national and especially regional economic development.

The most important goals include:

- transfer of knowledge and new technologies to industry;
- greater diversity of research activities and increased support for research at faculties;
- creating innovation culture;
- protection and management of intellectual property;
- connecting industry and public research organizations in order to achieve greater synergy.

TechnoCenter UM works as an interface between university research area, industry, state and other persons and institutions concerned. Key competences can be divided into three sections:

- Technology transfer and commercialization of innovations.
- Professional and administrative support for different forms of research collaboration (contracts, grants, and other initiatives) between sides mentioned above.
- Development of business and research partnership between University and organizations from private or public sector (spin-off companies, licensing, etc.).

Supporting activities to key competences are:

- Commercializations of inventions.
- Protection of intellectual property.
- Providing assistance to spin-out and/or spin-off companies.
- Assisting in obtaining venture capital.





## Intellectual property rights (IPR)

IP policy is a must-have tool: provides clear and transparent rules on IP management while involving the personal, institutional, national and international aspects of IP management in one regulatory document. Advantages of a good IP Policy:

- Creates guidance & consistency for IP and technology management procedures
- Involves transparency in decision making process
- Safeguards the interests of all parties by stipulating deadlines
- Facilitates professional IP management
- Creates legal certainty for companies and other third parties
- Supports commercialization activities
- Stimulates more industrial support for research
- Guarantees the fair distribution of the income among stakeholders
- Encourages bringing research results to the public benefit
- Enhances the promotion & reputation of the university and the researchers

### IPR at Technocenter UM

Inventors are:

- University teachers, researchers and other employees at the University of Maribor, who discovered or created an invention.
- Contractors and students, who are not in employment relationship with the UM and when the invention is a result of a contractual relationship or when the UM's resources were used in the discovery or creation of the invention.

Inventors are obliged to:

- Immediately inform the UM's Department for Scientific Research by clearly indicating that the writing is a notification of invention.
- Refrain from any actions, which would mean the disclosure of the invention to unauthorized persons, thus putting the patent protection or the protection of other IPR at risk, before and after the submission of the notification.
- Provide UM with assistance by offering explanations about the invention and by making the necessary declarations.

The inventor, who fails to inform the UM, breaches the obligations deriving from employment.

IPR process at UM:

- Inventors must inform University of Maribor (R&D department) about their invention.
- Inventors application must include the description of the invention, type of invention, personal data of the inventors, type of acquisition procedure, statement on financial resources provided by the inventors and information on eventual rights and obligations by companies and other third parties.
- R&D department sends the application to Technology Transfer Office at UM that manages the procedure from this point on.
- With the application of the invention UM receives the right to fully (receives all rights) or limited (agreed with the inventor, limited rights) acquisition of the invention.

- The invention acquisition procedure has several options based on the share of costs covered by the inventor:
  - Costs of the acquisition procedure are financed entirely by the inventor or faculty from funds of the group(s) that created the invention.
  - Costs of the acquisition procedure are financed in a limited extent by the inventor or faculty from research grants of the group(s) that created the invention (at least 40 % of costs). The remaining amount is financed by UM from relevant system resources.
  - Costs of the acquisition procedure are financed entirely by UM from relevant system resources.

In the case of option 1) UM fully acquires the invention, the continuation of the procedure is conducted by the primary inventor. The Dean of the university member decides on commercial exploitation.

In the case of options 2) and 3) the decision on full or limited acquisition is made by the Rector on the basis of the opinion of the Committee for the preparation of opinion in invention acquisition procedure, which is formulated at the request of the Technology Transfer Office. The Rector decides on the commercial exploitation.

- Committee for the preparation of opinion in invention acquisition procedure consists of a representative of UM member appointed by the Dean, a representative by the UM appointed by the vice-rector for R&D and a representative of Technology transfer office.
- With the full acquisition of the invention UM is obliged to file for a patent or any other right from the industrial property rights (if not, UM has to inform the inventor).
- Inventor has the right to financial reward when UM starts to commercially exploit the invention. The share of the revenue depends on the options from the costs of invention acquisition procedure.

Structure	Share belonging directly to the inventor	Share belonging to the faculty or research group that created the invention	Share belonging to UM and the Rector's fund
Option 1	65 %	30 %	5 %
Option 2	50 %	20 %	30 %
Option 3	40 %	25 %	35 %

- Irrespective of the above manner of distribution, UM, the relevant faculty and the inventors may agree on a different manner of distribution in a special agreement.
- UM has a possibility to exploit the invention with the foundation of a spin-off company.

No good practices or activities were reported by the remaining HEIs.

Additionally, University of Bari Aldo Moro (UNIBA) identified the following activities:





Financing a project by the Ministry of Economic Development in response to the 'Proclamation for the financing of projects for the expansion and capacity building of the Technology Transfer Office (TTO) of Italian Universities and public research bodies';

LINE 1 - Strengthening UTT of providing greater focus on the protection of the UTT and transfer of industrial property rights related to specific industrial sectors. Financing a project by the Ministry of Economic Development in response to the 'Proclamation for the financing of projects for the expansion and capacity building of the Technology Transfer Office (TTO) of Italian Universities and public research bodies' – Thanks to this funding, the Office of Technology Transfer UNIBA will be enhanced through the recruitment of two figures of "Knowledge Transfer Manager" with knowledge and expertise in complementary fields, such as the scientific-technological and economic-legal. The two figures of "Knowledge Transfer Manager" will implement a series of actions aimed at: The management of intellectual property; scouting inside and outside; business creation; the research-industry relations; engagement and communication.

Development of projects in collaboration with other THREE - NETWORK ILO PUGLIA - The Municipality of Plan 2014 and Alliances Network for Innovation in Puglia. By signing the "Memorandum of Understanding for the Network of Puglia" ILO has brought to completion the process of professionalization and integration of structures dedicated to the exploitation of the public Puglia search results, through the notice "Alliances for Innovation" which marked a sharp break with past practice by strengthening the relations between ILO, intermediaries and individuals Puglia enterprise systems and research. The City of Network Plan formalized the contributions of Puglia ILO, which have identified the following ten areas: 1. strengthening of the ILO Network; 2. Promotion of skills for the enhancement of R & I; 3. innovative entrepreneurship support; 4. promotion of systems of "Open Innovation"; 5. strengthening the connection "Research-Enterprise"; 6. support for scouting and exploitation of R & I activities; 7. protection and exploitation of Intellectual Property; 8. promotion of internationalization of R & I; 9. dissemination and scientific communication; 10. rationalization of the Apulian chain of R & I.

In addition, Instituto Superior Técnico (IST) identified that the Intellectual Property Unit usually uses platforms of IP valorisation, such as Thomson Innovation, Global Patent Index from European Patent Office. Regarding IP protection, the unit often uses the European Patent Database from EPO-ESPACENET, Global Patent Index.

## 5 Continuous Education

### 5.1 Legislation and Policy Overview

**Table 3: Comparative overview of the responding EU HEIs regarding CE**

Institution	Is there national legislation that governs Continuous Education in universities?	If yes, select relevant legislative documents from the ones that you have listed previously:	Does your institution have a Continuous Education Policy?	If yes, select relevant policy documents from the ones that you have listed previously:
Danube University Krems	Yes	L1	Yes	P1
University of Vienna	Yes	L1	Don't know	-
Università degli Studi di Bari "Aldo Moro"	Yes	L1, L2, L3	Yes	P1, P2
University of Salento	Yes	L1, L2, L3	Yes	-
University of Porto	Don't know	-	Don't know	-
Instituto Superior Técnico	Don't know	-	No	-
Univerza v Novi Gorici	Don't know	-	No	-
University of Maribor	Don't know	-	No	-
University of Brighton	No	-	No	-
University of York	No	-	No	-



The results shown in Table 3, in summary, provide the following information:

In Austria, Continuous Education is governed by the Universities Act of 2002 (L1). In Italy, Continuous Education is governed by 3 legislative documents: Law no. 240/2010 concerning the reorganisation of universities (L1); Legislative Decree No. 104/2013 (L2); and Legislative Decree no. 13/2013 (L3) as in the case of Intellectual Property. In Portugal, Slovenia and in the UK no legislative documents were reported. The only institutions which have Continuous Education Policies are Danube University Krems, the LLL strategy (P1); the University of Bari, Strategic Plan 2014-2016 (P1) and Strategic Plan 2016-2018 (P2); and University of Salento although no policy was defined.

In Slovenia there are no legislation documents however there is a national strategy for CE.

Available at:

[http://www.mss.gov.si/fileadmin/mss.gov.si/pageuploads/podrocje/razvoj\\_solstva/IU2010/Strategija\\_VZU.pdf](http://www.mss.gov.si/fileadmin/mss.gov.si/pageuploads/podrocje/razvoj_solstva/IU2010/Strategija_VZU.pdf)

## **5.2 Internal Structures and Figures**

### Danube University Krems (DUK)

DUK does not have a Continuous Education Office. However, as it is an institution that offers exclusively Continuous Education courses, there is not a separate CE office, but 580 elements of staff were reported to be involved in CE activities. The number of participants in Continuous Education courses in 2015 was 9,000 and the average ECTS of a Continuous Education course (in hours) is 90. The students of Continuous Education Courses are former students of the same institution and students from other institutions. The Danube University Krems is specialized in continuing education and offers only continuing education programmes. Therefore the university uses all kinds of tools (which are mentioned above) including also contract with other universities. DUK has also a branch campus to include Germany as potential market.

### University of Vienna (UNIVIE)

UNIVIE has a Continuous Education Office with 40 employees. The number of participants in Continuous Education courses in 2015 was 1,600 and the average ECTS of a Continuous Education course (in hours) is 90. The students of Continuous Education Courses are usually former students of the same institution. The tools and incentives used for attracting students to enrol in Continuous Learning courses are all of the mentioned: alumni, their own magazine, marketing measures like twitter, linkedin, facebook, events and student events, personal networks depending on the subject, etc.

### University of Bari Aldo Moro (UNIBA)

UNIBA reported that it has a Continuous Education Office. Additionally, the University of Bari has the objective of lifelong learning through a number of initiatives reported by the Departments under the monitoring carried out through the so called SUA (Scheda Unica di Ateneo – single card for the athenaeum). This is an online card where the full description of the university activities is reported.



There is a learning centre of the University for Permanent Service (CAP). This is an experimental service front office realized by the Department of Education, Psychology, Communication. Its main functions are: to promote and support the learning process within the university context and certify and accredit skills acquired in formal and informal settings turning them into spendable credits in courses of academic training. The Centre was established in 2013 under the project EIF (European Fund for the integration of citizens of Third Countries) "Established at Work". The leader is the Department of Immigration of the Puglia Region and it is aimed specifically at migrant subjects who want to start a process of recognition and certification of cultural and academic qualifications acquired in their home countries. In 2015, it became the University Service Centre for Lifelong Learning with its own status within the university organizational structure. Even if it has been initiated in favour of foreigners, the service offers hospitality to all types of users interested in receiving information about, such as:

- Training offer and the services offered by the University of Bari for the recognition of cultural and academic qualifications, how to handle and prepare the paperwork for the reconstruction of their portfolio of skills and experience;
- How to recognize credits earned at foreign universities to start the procedure of certification of securities held;
- Possible advisory services aimed at active job search.

In 2015, 300 young foreigners used this centre, more than half applied for recognition of training / professional degrees and most of them expressed the need for a certification of knowledge of Italian language.

#### University of Salento (US)

US has a Continuous Education Office with 2 employees. The number of participants in Continuous Education courses in 2015 was 31 and the average ECTS of a Continuous Education course (in hours) is 65. The students of Continuous Education Courses are usually former students of the same institution and students from other institutions. The tools and incentives used for attracting students to enrol in Continuous Learning courses are: agreements signed between the University and professional, alumni network, associations to organize Continuous learning courses.

#### University of Porto (UPorto)

UPorto reported that it has a Continuous Education Office and made the following link available:

[https://sigarra.up.pt/up/en/WEB\\_BASE.GERA\\_PAGINA?p\\_pagina=educa%C3%A7%C3%A3o%20cont%C3%ADnua%20na%20u.porto](https://sigarra.up.pt/up/en/WEB_BASE.GERA_PAGINA?p_pagina=educa%C3%A7%C3%A3o%20cont%C3%ADnua%20na%20u.porto)

#### Instituto Superior Técnico (IST)

IST reported that it has a Continuous Education Office and that the students of Continuous Education Courses are former students of the same institution and students from other institutions. No further information regarding structure and figures was included.



#### Univerza v Novi Gorici (UNG)

UNG reported that it does not have a Continuous Education Office and no further information regarding structure and figures was included.

#### University of Maribor (UM)

UM reported that it does not have a Continuous Education Office and that the students of Continuous Education Courses are usually students from other institutions. The tools and incentives used for attracting students to enrol in Continuous Learning courses include the alumni network. No further information regarding structure and figures was included.

#### University of Brighton (UOB)

UOB reported that it does not have a Continuous Education Office and no further information regarding structure and figures was included.

#### University of York (UY)

UY reported that it does not have a Continuous Education Office and no further information regarding structure and figures was included.

### **5.3 Good Practices**

#### Danube University Krems (DUK)

DUK reported the following good practices or activities:

University with a strong management approach, profit centre organisations, strong central support units (marketing, finance etc.), programme directors with strong ownership and responsibility for the programmes as product managers, large number of external lecturers (flexibility, access to knowledge, time to market), high number of interinstitutional cooperations, strong market orientation, market analysis and monitoring tools, no accreditation processes (market defines) besides the institutional rules.

#### University of Vienna (UNIVIE)

UNIVIE reported the following good practices or activities:

- University Meets Industry (uniMind): [www.postgraduatecenter.at/unimind](http://www.postgraduatecenter.at/unimind)
- University Meets Social Responsibility: [www.postgraduatecenter.at/unibility](http://www.postgraduatecenter.at/unibility)
- University Meets Public (UMP): <http://www.postgraduatecenter.at/lifelong-learning-projekte/laufende-projekte/university-meets-public/>

The University of Vienna additionally identified as part of their activities: Corporate Programs with business partners and public institutions.

#### University of Bari Aldo Moro (UNIBA)

UNIBA reported the following good practices or activities:

A core element of the so-called third missions is continuing education. In this regard, it is important to consider the wider scenario concerning the labour market reform process aimed at reducing the high unemployment rate and, in particular, the youth unemployment rate,



through a structural revision of public employment services and a simplification of the types of labour contracts. A growing formal role is acknowledged also to universities in the field education and employment, in line with occupability demands of both students and adult learners and employers. To this end, Legislative Decree No. 104/2013 (L2) has introduced new instruments to strengthen career guidance in secondary schools and a pilot programme (through apprenticeship contracts) for students in the last two years of secondary school. More importantly here, Legislative Decree no. 13/2013 (L3), (which follows Law no. 92/2012 titled “A growth-oriented reform of the labour market”) aims at guaranteeing the fundamental and universal right to lifelong learning, putting the basis for a more systematic and strategic approach to lifelong and lifewide learning opportunities and needs, in accordance with the European directives on the recognition of non-formal and informal learning and on non-formal education network systems. Universities are challenged to play a relevant role in implementing Legislative Decree no. 13/2013 (L3), which provides for the general outline of the National System for the Certification of Skills. The cornerstone of the system is the establishment of the National Framework of Regional Qualifications, which serves to organize, aggregate and accord nationwide recognition to over 2,600 regional vocational qualifications. This system is based on the expansion of statistical classifications (economic activity and job classifications) involving a mapping of the labour market and of occupations. The descriptive approach adopted by the system will allow progressive extensions (vocational training, the education system, university degrees, vocational qualifications and apprenticeship profiles), as well as dynamic updates. Lifelong learning policies are decided at national level following institutionalised consultations among the Regions, the State, the local governments and the social partners. Policies are implemented by locally integrated systems, coordinating public and private stakeholders – such as universities – operating in the field.

In this perspective, the third mission represents a new approach to reduce the gap between education and employment, to relate “science and society”, by encouraging dialogue between the parties, through territorial valorization and consolidation of the “network” of subjects operating in that area.

#### University of Salento (US)

US did not report good practices or activities in the field of Continuous Education.

#### University of Porto (UPorto)

UPorto did not report good practices or activities in the field of Continuous Education.

#### Instituto Superior Técnico (IST)

IST did not report good practices or activities in the field of Continuous Education.

#### Univerza v Novi Gorici (UNG)

UNG did not report good practices or activities in the field of Continuous Education.

#### University of Maribor (UM)

UM reported the following activity: Training for employees.

#### University of Brighton (UOB)



UOB did not report good practices or activities in the field of Continuous Education.

University of York (UY)

UY did not report good practices or activities in the field of Continuous Education.



## 6 Social Engagement

### 6.1 Legislation and Policy Overview

Table 4: Comparative overview of the responding EU HEIs regarding SE

Institution	Is there national legislation that governs Social Engagement in universities?	If yes, select relevant legislative documents from the ones that you have listed previously:	If yes, select the stakeholders:	Does your institution have a Social Engagement Policy?	If yes, select relevant policy documents from the ones that you have listed previously:
Danube University Krems	Yes	L1	Local government, Industry and civil society, Other stakeholders	No	-
University of Vienna	Yes	L1	-	Yes	-
Università degli Studi di Bari "Aldo Moro"	Yes	L1, L2, L3, LA	Primary and secondary education institutions, Industry and civil society	Yes	P1, P2
University of Salento	Yes	L1, L2, L3, LA	Primary and secondary education institutions, Local government, Industry and civil society	Yes	-
University of Porto	Yes	L1	Industry and civil society	Yes	P3, P4
Instituto Superior Técnico	Yes	L1	Primary and secondary education institutions, Industry and civil society	Yes	P1
Univerza v Novi Gorici	No	-	-	No	-
University of Maribor	No	-	-	No	-
University of Brighton	No	-	Local government, Industry and civil society	Yes	P1, P2
University of York	No	-	-	No	-

The results shown in Table 4, in summary, provide the following information:

In Austria, Social Engagement is governed by the Universities Act of 2002 (L1) and the stakeholders involved are local government, industry and civil society and other stakeholders.

In Italy, Social Engagement is governed by 4 legislative documents: Law no. 240/2010 concerning the reorganisation of universities (L1); Legislative Decree No. 104/2013 (L2) and Legislative Decree no. 13/2013 (L3), as in the case of Intellectual Property and Continuous Education, but also by DM 17/2013 - Decree of Self-assessment (LA). The stakeholders involved are primary and secondary education institutions, industry and civil society.

In Portugal, Social Engagement is governed by Law no. 62/2007, of 10<sup>th</sup> September (L1), which establishes the legal framework for higher education institutions, regulating its constitution, functions and organization. The stakeholders involved are primary and secondary education institutions, Industry and civil society.

In Slovenia, Social Engagement is not governed by national legislation.

In the UK, there is no formal Social Engagement legislation, however the UK HEI's mentioned that some parts of the Access to Higher Education Policy (L2) and the BIS committee response (L3) could be viewed as informing Social Engagement Policy. The stakeholders involved are Local government, Industry and civil society.

The only institutions which have Social Engagement Policies are:

University of Vienna (UNIVIE) (although no specific policy was named).

University of Bari Aldo Moro (UNIBA), in the scope of Strategic Plan 2014-2016 (P1) and Strategic Plan 2016-2018 (P2). The forms of relationship with stakeholders include activities with primary and secondary education institutions, industry and/or civil society involved in HEI governing bodies.

University of Salento (US) (although no specific policy was named). The forms of relationship with stakeholders include activities with primary and secondary education institutions, Industry and/or civil society involved in HEI governing bodies and other forms of relationship with stakeholders.

University of Porto (UPorto), in the scope of the External Services Provisions Policy (P3) and the Spin-Off Companies Policy (P4). The forms of relationship with stakeholders include activities with primary and secondary education institutions, local government representatives involved in HEI governing bodies, industry and/or civil society involved in HEI governing bodies, other forms of relationship with stakeholders.

Instituto Superior Técnico (IST), within the Statutes of the Instituto Superior Técnico (P1). The forms of relationship with stakeholders include activities with primary and secondary education institutions and industry and/or civil society involved in HEI governing bodies.

University of Brighton (UOB), within the Strategic Plan (P1) and Five year review of EASE (P2). The forms of relationship with stakeholders include local government representatives involved in HEI governing bodies, industry and/or civil society involved in HEI governing bodies.



Note that although Univerza v Novi Gorici (UNG) does not have a Social Engagement Policy, it develops the following activities: activities with primary and secondary education institutions, local government representatives involved in HEI governing bodies, industry and/or civil society involved in HEI governing bodies, other forms of relationship with stakeholders.

Also note that although University of York (UY) does not have a Social Engagement Policy, it develops the following activities: activities with primary and secondary education institutions, Local government representatives involved in HEI governing bodies, Industry and/or civil society involved in HEI governing bodies.

## **6.2 Internal Structure and Figures**

### Danube University Krems (DUK)

DUK does not have Offices or Units responsible for Social Engagement activities and no further information regarding structure and figures was included.

### University of Vienna (UNIVIE)

UNIVIE does not have Offices or Units responsible for Social Engagement activities and no further information regarding structure and figures was included.

### University of Bari Aldo Moro (UNIBA)

UNIBA reported that it has Offices or Units responsible for Social Engagement activities but no further information regarding structure and figures was included.

### University of Salento (US)

US reported that it has Offices or Units responsible for Social Engagement activities. The Communications Office is the University responsible for social and public engagement activities.

The main activities developed related to career services are:

The University of Salento formally establishes the relationship with enterprises and organizations by entering into a training agreement, necessary to guarantee insurance cover at the expense of the university, the trainee. The trainee is assisted by the company tutor, who is responsible for entering the host in the entity and the educational tutor who is a teacher of his own faculty, identified by the trainee and certifying the validity of the training project. At the end of the experience, the company tutor, prepares and career service office assessment of the work by the trainee. The number of patents filed with industry in 2015 was 2 and the number of contracts signed with the local industry in 2015 was 15.

### University of Porto (UPorto)

UPorto reported that it has Offices or Units responsible for Social Engagement activities and they indicated that an example is University of Porto Innovation:

[https://sigarra.up.pt/up/en/WEB\\_BASE.GERA\\_PAGINA?p\\_pagina=inovacao](https://sigarra.up.pt/up/en/WEB_BASE.GERA_PAGINA?p_pagina=inovacao)

The main activities developed related to career services can be assessed in the following linked:



[https://sigarra.up.pt/up/en/web\\_base.gera\\_pagina?p\\_pagina=recrutamento](https://sigarra.up.pt/up/en/web_base.gera_pagina?p_pagina=recrutamento)

#### Instituto Superior Técnico (IST)

IST reported that the following Offices or Units are responsible for Social Engagement activities:

- ATT/NPE (Corporate Partnerships Unit) is the IST main contact point for companies from all over the world, answering all question regarding student recruitment, provide tools to establish contacts with students and channelling cooperation opportunities to research centers and IST departments. The main goal is to assist employers in the recruitment of IST's talents and to offer a career development program for students. This program provides students with opportunities to interact with networks of professionals and obtain quality internships and full-time positions and join together all resources that support student transition to the professional world;
- NAPE (Student Support Unit) is an interface structure between students and the School Governing Offices. The unit promotes the IST students integration, supporting all kind of activities that contribute for a better involvement of the academic community, and it also disseminates the IST studies near the student community, with higher incidence at the secondary education level;
- GCRP (Public Relations and Media Office) provide necessary support for the promotion of the activities carried out at the IST by creating and maintaining communication channels that help disseminate those activities.

The main activities developed related to career services are:

- IST Career Workshop – improve students' soft skills;
- IST Jobbank – platform for job search and posting employment opportunities, only available for IST students;
- IST Career Weeks – companies can make themselves known and students can interact with them at the beginning of the recruitment process. This event is mainly organized by student organizations and each weeks or couple of days represents a field of study;
- AEIST JobShop – 3 days job fair. The Job Shop is an interactive networking event and students are focused on the companies' recruiters;
- IST Summer Internships (July – September) – MSc students have an opportunity for valuable on-the-job experience.

Regarding the additional information requested, IST filed 1 patent in joint ownership with industry in 2015 and signed 63 contracts with local industry.

#### Univerza v Novi Gorici (UNG)

UNG does not have Offices or Units responsible for Social Engagement activities and no further information regarding structure and figures was included.

#### University of Maribor (UM)



UM does not have Offices or Units responsible for Social Engagement activities. It filed 2 patents in joint ownership with industry in 2015 and signed 96 contracts with local industry.

#### University of Brighton (UOB)

UOB reported that the Economic and Social Engagement (EASE) department oversees partnerships with business and communities, at both local and regional levels and it also administers research and IP contracts. The Careers Office is a part of the Student Services team. The office provides current students and alumni with information, advice and support in securing employment.

#### University of York (UY)

UY reported that it has Offices or Units responsible for Social Engagement activities. The Student Volunteering is responsible for these activities. Available at: <https://www.york.ac.uk/students/work-volunteering-careers/skills/volunteer/>

The main activities developed related to career services are:

Employer events: these range from formal presentations about a company to informal, drop-in sessions, where students can find out more. Skills sessions: brush up students' skills with the help of employer-led workshops and skills courses. Workshops and talks: covering a variety of topics from recruitment processes (CV writing, making applications and going for interviews) to career options, and there are also sessions and workshops in each department too. Available at: <https://www.york.ac.uk/about/departments/support-and-admin/careers/>

### **6.3 Good practices**

#### Danube University Krems (DUK)

DUK reported the following good practices or activities: kids' university, mini med study (a number of lecturers dedicated to health which are free and open to the public), day of the research, open doors day, kindergarten at campus, sport activities available also to the public.

#### University of Vienna (UNIVIE)

UNIVIE did not report good practices or activities in the field of Social Engagement.

#### University of Bari Aldo Moro (UNIBA)

UNIBA did not report good practices or activities in the field of Social Engagement.

#### University of Salento (US)

US reported the following good practices or activities:

During the Researchers' Night events (not limited to the night but lasting for the whole day), they will invite the general public to our campus to take part in tours, initiatives and discussions. The aim is to unveil the figure of the researcher, often seen as an ivory tower pursuit. In a path constituted by several stands, their researchers will tell their stories and explain to the public how they work and what is the impact of their activity on everyone's daily lives. Hence, during the day, students from all levels will be invited to visit the laboratories



and touch by hand experiments carried out by highly competitive teams working on fascinating and exciting international environments.

Starting from the late afternoon, and until late in the night, the public will be invited to walk on the “science path” and choose their own fork depending on the associated skills. Along each branch, the devoted research team will guide the audience in understanding different aspects of science and technology with backgrounds as diverse as archeology, history, linguistics, biotechnology, robotics, mathematics and fundamental physics.

#### University of Porto (UPorto)

UPorto reported the activities included in the following link: <http://www.ktforce.eu/mapa>

#### Instituto Superior Técnico (IST)

IST reported the following good practices or activities:

- Promotion and advertisement / Admission, by organizing study visits to Instituto Superior Técnico and visits to secondary schools, oriented at higher education candidates, and participation in fairs and exhibitions of Science and Technology;
- “Explora os Materiais” aims to show secondary school students how the large group of materials work and what Materials Engineering can be;
- Physics Week, organised by the Physics students' group at Instituto Superior Técnico. The event was attended by students from basic and secondary education who could make thermodynamics, mechanical and electromagnetism experiments;
- “Verão na ULisboa”(summer at ULisboa): This is an initiative of Universidade de Lisboa which provides an unique opportunity to meet and experience the rhythm and spirit of academic life for 8th, 9th, 10th, 11th or 12th grade student.

#### Univerza v Novi Gorici (UNG)

UNG did not report good practices or activities in the field of Social Engagement.

#### University of Maribor (UM)

UM did not report good practices or activities in the field of Social Engagement.

#### University of Brighton (UOB)

UOB reported that a number of centralised support teams provide initiatives such as: STEM outreach, profitnet and greengrowth business forums, embedded business development managers, links between teaching/research and industry embedded in strategic policy and realised with course delivery. There is also a number of student supported volunteer activities such as CUPP and active students.

Additionally, like many ex-polytechnics, the University of Brighton has strengths in its industrial links, providing practical problem solving and vocationally led courses.

#### University of York (UY)

UY reported that the good practices and activities in the field of Social Engagement are included in Policy 3.





## 7 Summary and Conclusions

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Due to the diversity of contexts among institutions as well as related to national legislations, IST considers that this report is a first step to the establishment of the entire framework. Further discussions between EU HEIs are considered relevant for the definition of such framework.

Some preliminary conclusions can be drawn up. Nevertheless these need to be validated as the Project develops. The first conclusion to mention is that comprehensive HEIs tend to be more focused on Continuous Education. Secondly, it appears that the existence of national legislation regarding a dimension promotes the existence of institutional policies to create a framework for application of such national rules. In addition, apparently lower student/faculty ratio increases the relevance of Technology Transfer.

With a view to summarizing the information acquired through the application of the questionnaire, some figures were added to this final section of the report to illustrate the information gathered.

In this context, Figure 3 below shows a summary of applicable national legislations identified by the responding HEIs.

Figure 4 presents the summary of applicable national legislations in the context of Technology Transfer and Innovation, including information regarding the existence of internal policies.

Figure 5 presents the summary of applicable national legislations in the context of Continuous Education, including information regarding the existence of internal policies.

Figure 6 presents the summary of applicable national legislations in the context of Social Engagement, including information regarding the existence of internal policies.

Although all HEIs develop activities within the three dimensions of the Third Mission, it is important to note that, regarding Technology Transfer, Instituto Superior Técnico's and University of Maribor's good practices should be highlighted; regarding Continuous Education, Danube University Krems' good practices should be highlighted; and, with respect to Social Engagement, University of Bari's and University of Brighton's good practices should also be highlighted.



**Figure 3: Summary of National Legislations**

	<b>Austria</b>	<b>Italy</b>	<b>Portugal</b>	<b>Slovenia</b>	<b>UK</b>
<b>L1</b>	Universities Act of 2002 and performance agreements	Law 240/2010 (reorganization of Universities)	Law 62/2007 (legal framework for HEI)	Employment Related Industrial Property Rights Act	Higher Education Act 2004
<b>L2</b>	Intellectual Property Law	Decree 104/2013 (career guidance)	IP Code	Higher Education Act	Access top Higher Education Policy
<b>L3</b>		Decree 12/2013 (right to LL ed.)	Copyright Code	Research and Development Act	BIS committee response (Univ & Business relations)
<b>L4</b>		IP Code	Teaching careers statutes		CDPA legislation (IP)
<b>LA</b>		Decree of Self-assessment			

Figure 4: Summary on TT&I

	IP Law	Inventor compensation		Ownership by HEIs		Ownership public funds		HEI IP policy	HEI inventor policy
<b>Krems</b>	L2	?	-	Y	L2	?	-	N	N
<b>Vienna</b>								Y	?
<b>Bari</b>	L1, L2, L3, L4	Y	L1, L2, L3, L4	Y	L3	Y	L3	Y	N
<b>Salento</b>								Y	Y
<b>Porto</b>	L2, L3	Y	L2, L3	N	-	N	-	Y	Y
<b>Lisboa</b>								Y	Y
<b>N. Gorici</b>	L1	Y	L1	Y	L1	Y	L1	Y	Y
<b>Maribor</b>								Y	Y
<b>Brighton</b>	L4	Y	L4	Y	L4	Y	L4	Y	Y
<b>York</b>								?	?

Figure 5: Summary on CE

	Country has CE legislation		HEI has CE policy
<b>Krems</b>	Y	LI	Y
<b>Vienna</b>			?
<b>Bari</b>	Y	LI, L2, L3	Y
<b>Salento</b>			Y
<b>Porto</b>	?	-	?
<b>Lisboa</b>			N
<b>N. Gorici</b>	?	-	N
<b>Maribor</b>			N
<b>Brighton</b>	N	-	N
<b>York</b>			N



Figure 6: Summary on SE

	<b>Country has SE legislation</b>		<b>Stakeholders</b>	<b>HEI has SE policy</b>
<b>Krems</b>	Y	LI	Local government, Industry and civil society, Other	N
<b>Vienna</b>			-	Y
<b>Bari</b>	Y	LI, L2, L3, LA	Primary and secondary education institutions, Industry and civil society	Y
<b>Salento</b>			Primary and secondary education institutions, Local government, Industry and civil society	Y
<b>Porto</b>	Y	LI	Industry and civil society	Y
<b>Lisboa</b>			Primary and secondary education institutions, Industry and civil society	Y
<b>N. Gorici</b>	N	-	-	N
<b>Maribor</b>			-	N
<b>Brighton</b>	N	-	Local government, Industry and civil society	Y
<b>York</b>			-	N



## REFERENCES

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Danube University Krems, Krems, Austria, <http://www.donau-uni.ac.at/en/>

Instituto Superior Técnico, Lisbon, Portugal, <https://tecnico.ulisboa.pt/en/>

University of Maribor, Maribor, Slovenia, <http://www.um.si/en/Pages/default.aspx>

Univerza v Novi Gorici, Nova Gorica, Slovenia, <http://www.unq.si/sl/>

Università degli Studi di Bari "Aldo Moro", Bari, Italy,  
[http://www.studenti.ict.uniba.it/esse3/Home.do;jsessionid=A3861BC6D7F0920680041F859543EB73.jvm2a?cod\\_lingua=ita](http://www.studenti.ict.uniba.it/esse3/Home.do;jsessionid=A3861BC6D7F0920680041F859543EB73.jvm2a?cod_lingua=ita)

University of Vienna, Vienna Austria, <https://www.univie.ac.at/en/>

University of Brighton, Brighton, United Kingdom, <https://www.brighton.ac.uk/index.aspx>

University of Porto, Porto, Portugal,  
[https://sigarra.up.pt/up/en/WEB\\_BASE.GERA\\_PAGINA?p\\_pagina=home](https://sigarra.up.pt/up/en/WEB_BASE.GERA_PAGINA?p_pagina=home)

University of Salento, Lecce, Italy, [https://international.unisalento.it/home\\_page](https://international.unisalento.it/home_page)

University of York, York, United Kingdom, <http://www.york.ac.uk/>





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## ANNEXES

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### Annex 1

#### **IF4TM Questionnaire - Policies and legal frameworks for establishing the 3rd mission of universities**

The questionnaire was developed by IST with the aim of aggregating thorough information regarding the Third Mission in ten EU HEIS. The questionnaire provided herein is given in the content and form which was applied for the data gathering. The survey was web based and it included both multiple choice and open questions.

### IF4TM Questionnaire - Policies and legal frameworks for establishing the 3rd mission of universities

In the scope of WP1 of IF4TM project this questionnaire aims at collecting data about practices, policies and legal frameworks for establishing and supporting the 3rd mission of universities.  
Please provide all the answers in English.

As defined in the project proposal, "the Third Mission encompasses a wide range of activities involving the generation, use, application and exploitation of knowledge and other university capabilities outside academic environments (Tuunainen, 2005). Those activities are divided into three dimensions: 1) Technology transfer and innovation; 2) Continual education; 3) Social engagement."

This questionnaire should be filled in by one representative of the HEI (preferably someone involved in the project) who will be responsible for collecting the relevant data within the institution.

The deadline for submission is 15/02/2015.

**\* Required**

**Your Name \***

**E-mail adress \***

**Unit \***



## Description of your Higher Education Institution (HEI)

**Institution Name: \***

**Country: \***

**Legal status: \***

- ☐ Public  
☐ Private

**Number of Faculties/Schools: \***

**Number of students: \***

**Number of teaching staff and researchers: \***

**Number of non-academic staff: \***

**Degree levels offered: \***

- ☐ 1st cycle (BSc)  
☐ 2nd cycle (MSc)  
☐ 3rd cycle (PhD)

**Annual Budget (€):**

**Income from private/competitive sources (€):**

All types of funds except pre-determined government budget

## National legislation that governs the Third Mission of Universities in your country:

Identify national legislative documents relevant for the third mission of universities, summarize its main points and provide a link (URL) for the full document, preferably in English



## Legislative Document (L1)

Title:

Summary and relevance for third mission:

Maximum of 3000 characters

Link (URL) to legislation or English translation:

## Legislative Document (L2)

Title:

Summary and relevance for third mission:

Maximum of 3000 characters

Link (URL) to legislation or English translation:

## Legislative Document (L3)

Title:

Summary and relevance for third mission:

Maximum of 3000 characters



Link (URL) to legislation or English translation:

## Legislative Document (L4)

Title:

Summary and relevance for third mission:

Maximum of 3000 characters

Link (URL) to legislation or English translation:

## Additional Legislative Documents (LA)

Room to refer additional legislation related with third mission of universities

Refer additional national legislative documents

For each document provide title, summary and a link (URL) or English translation (Maximum of 4000 characters)

## Institutional policies of your university for Third Mission activities:

Identify institutional policy documents of your university that are relevant for the third mission, summarize its main points and provide a link (URL) for the



full document

## Policy Document (P1)

Title:

Summary and relevance for third mission:

Maximum of 3000 characters

Link (URL) to policy or English translation:

## Policy Document (P2)

Title:

Summary and relevance for third mission:

Maximum of 3000 characters

Link (URL) to policy or English translation:

## Policy Document (P3)

Title:

Summary and relevance for third mission:

Maximum of 3000 characters



Link (URL) to policy or English translation:

## Additional Policy Documents (PA)

Room to refer for additional but less relevant policy documents related with third mission of universities

Refer additional policy documents

For each document provide title, summary and a link (URL) or English translation (Maximum of 4000 characters)

## A. Technology Transfer & Innovation

1. Is there national legislation that governs ownership of intellectual property? \*

- ☐ Yes  
☐ No  
☐ Don't know

If yes, select relevant legislative documents from the ones that you have listed previously:  
you can choose more than one option

- ☐ L1  
☐ L2  
☐ L3  
☐ L4  
☐ LA

2. If there is commercial exploitation of the invention, is financial compensation to inventors foreseen in national legislation? \*

- ☐ Yes  
☐ No  
☐ Don't know





If yes, select relevant legislative documents from the ones that you have listed previously:  
you can choose more than one option

- ☐ L1
- ☐ L2
- ☐ L3
- ☐ L4
- ☐ LA

3. Is there national legislation that governs ownership of intellectual property specifically for academic inventions? \*

- ☐ Yes
- ☐ No
- ☐ Don't know

If yes, select relevant legislative documents from the ones that you have listed previously:  
you can choose more than one option

- ☐ L1
- ☐ L2
- ☐ L3
- ☐ L4
- ☐ LA

4. Is there national legislation that governs ownership of intellectual property specifically for inventions conceived with public funds? \*

- ☐ Yes
- ☐ No
- ☐ Don't know

If yes, select relevant legislative documents from the ones that you have listed previously:  
you can choose more than one option

- ☐ L1
- ☐ L2
- ☐ L3
- ☐ L4
- ☐ LA

5. Internal policy regarding intellectual property: \*

	Don't know	No	Yes, in the scope of P1	Yes, in the scope of P2	Yes, in the scope of P3	Yes, in the scope of PA
Does your institution have an IP Policy?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Is financial compensation to inventors	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>



foreseen in  
internal policies?

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7. Is there a Technological Transfer Office (TTO) at your University? \*

- ☐ Yes  
☐ No

8. Number of TTO staff:

9. Average number of patent applications per year:

10. University incubator: \*

- ☐ Yes  
☐ No

11. Total number of spin-offs with patented technology:

12. Total number of spin-offs without patented technology:

13. Is entrepreneurship taught at your University? If yes, in which scope/model? \*

14. Main activities offered by your TTO:

Maximum of 3000 characters

15. List good practices or activities of your institution that are related with Technology Transfer & Innovation:

Maximum of 3000 characters



**Additional comments regarding Technology Transfer & Innovation:**  
(for example other metrics used in this field, innovation platforms used, integration in entrepreneurial ecosystem, IP valorisation) Maximum of 3000 characters

## B. Continuous Education

**1. Is there national legislation that governs Continuous Education in universities? \***

- ☐ Yes  
☐ No  
☐ Don't know

**If yes, select relevant legislative documents from the ones that you have listed previously:**  
you can choose more than one option

- ☐ L1  
☐ L2  
☐ L3  
☐ L4  
☐ LA

**2. Does your institution have a Continuous Education Policy? \***

- ☐ Yes  
☐ No  
☐ Don't know

**If yes, select relevant policy documents from the ones that you have listed previously:**  
you can choose more than one option

- ☐ P1  
☐ P2  
☐ P3  
☐ PA



**3. Is there a Continuous Education Office? \***

- ☐ Yes  
☐ No

**4. Number of Continuous Education Office staff:**

**5. Number of participants in Continuous Education courses in the past year (2015):**

**6. Average ECTS of a Continuous Education course (in hours):**

**7. Participants in Continuous Education background:**

- ☐ Former students of the same institution  
☐ Students from another institution

**8. Tools or incentives for attracting students to enroll in Continuous Learning courses (contracts with companies, alumni network, professional associations, etc.)**

Maximum of 3000 characters

**9. List good practices or activities of your institution that are related with Continuous Education:**

Maximum of 3000 characters

**Additional comments regarding Continuous Education:**

(for example other metrics used in this field, personal development programs) Maximum of 3000 characters



## C. Social Engagement

### 1. Is there national legislation that governs Social Engagement in universities? \*

- ☐ Yes
- ☐ No
- ☐ Don't know

If yes, select relevant legislative documents from the ones that you have listed previously:  
you can choose more than one option

- ☐ L1
- ☐ L2
- ☐ L3
- ☐ L4
- ☐ LA

If yes, select the stakeholders:

you can choose more than one option

- ☐ Primary and secondary education institutions
- ☐ Local government
- ☐ Industry and civil society
- ☐ Other stakeholders

### 2. Does your institution have a Social Engagement Policy? \*

- ☐ Yes
- ☐ No
- ☐ Don't know

If yes, select relevant policy documents from the ones that you have listed previously:  
you can choose more than one option

- ☐ P1
- ☐ P2
- ☐ P3
- ☐ PA

If yes, select forms of relationship with stakeholders:

you can choose more than one option

- ☐ Activities with primary and secondary education institutions
- ☐ Local government representatives involved in HEI governing bodies
- ☐ Industry and/or civil society involved in HEI governing bodies
- ☐ Other forms of relationship with stakeholders

### 3. The university has Offices or Units responsible for Social Engagement activities? \*

- ☐ Yes



☐ No

**4. If yes, please identify the Offices or Units within the University responsible for social engagement activities:**

Maximum of 3000 characters

**5. Please identify the main activities developed related to career services and the Office within the University that conducts each activity:**

Maximum of 3000 characters

**6. Number of patents filed in joint ownership with industry in the past year (2015):**

**7. Number of contracts signed with the local industry in the past year (2015):**

**8. List good practices or activities of your institution that are related with Social Engagement:**

Maximum of 3000 characters

**Additional comments regarding Social Engagement:**

(for example other metrics used in this field, programs with primary and secondary education, cooperation with local government, cooperation with industry and civil society) Maximum of 3000 characters





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