



# Innovation Indicators

FY2014-15

6/23/2016



## Innovation Indicators – Introduction

Pursuant to the 1977 Agreement between SUNY and The Research Foundation for SUNY (RF), the RF partners with thirty-one state-operated campuses to manage a wide array of externally-funded sponsored programs activities. This document seeks to provide an overview of the innovation and commercialization activities taking place at the thirty-one state-operated campuses with whom the RF is a partner under the 1977 Agreement. The following innovation indicators are provided over a five fiscal year period:

- Number of Invention Disclosures
- Number of New U.S. Patent Applications Filed
- Number of U.S. Patents Issued
- Number of License and Option Agreements Executed
- Number of Operational Start-Ups

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## Innovation Indicators – Glossary

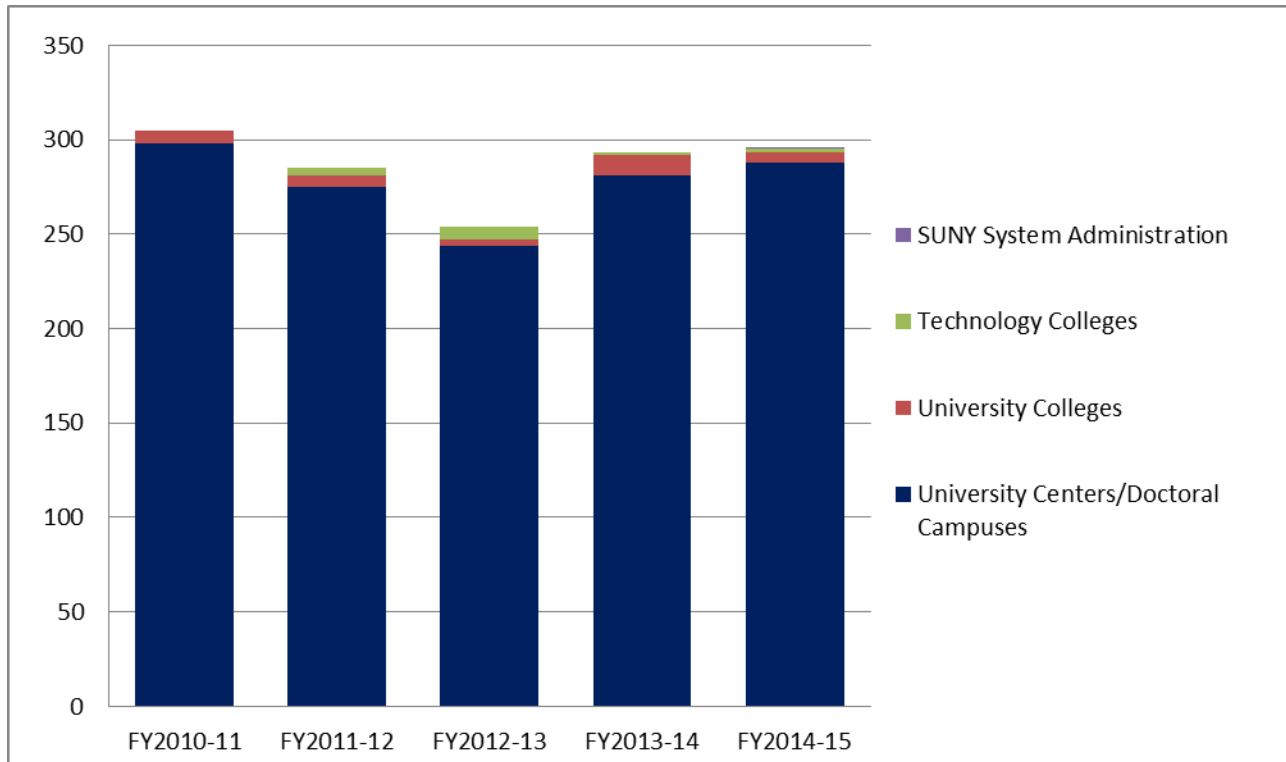
Invention Disclosure	A confidential document that includes detailed specifications, descriptions, and drawings of the invention. An invention disclosure is used to evaluate whether or not patent protection should be sought for the invention.
Patent	A patent is an intellectual property right granted by the Government of the United States of America to an inventor “to exclude others from making, using, offering for sale, or selling the invention throughout the United States or importing the invention into the United States” for a limited time in exchange for public disclosure of the invention when the patent is granted. (Definition from the US Patent and Trademark Office website.)
License Agreement	A legal document that formalizing the transfer of technology between two parties whereby the owner of the technology (licensor) permits the other party (licensee) to share the rights to use the technology. (Definition from the Association of University Technology Managers Licensing Survey.)
Option Agreement	A legal document granting a potential licensee a period of time during which it may evaluate a technology and negotiate the terms of a license agreement. (Definition from the Association of University Technology Managers Licensing Survey.)
Operational Start-Ups	Start-up companies formed to commercialize an innovation developed at SUNY state-operated campuses that are operational as of the last day of the fiscal year. (Definition from the Association of University Technology Managers Licensing Survey.)

## Innovation Indicators – Executive Summary

Some highlights with respect to innovation indicators for FY2014-15 include the following:

- The number of invention disclosures resulting from activities at state-operated campuses have increased by 3 in FY2014-15 from the previous fiscal year. Over the last five fiscal years, invention disclosures are down by 9 or 3%. The decline in disclosures is very likely tied to the 10% decrease in overall sponsored programs expenditures over the last fiscal year. In particular, expenditures from federal sources are down nearly 3% (\$10.3 Million) in the last fiscal year and down nearly 17% (\$69.2 Million) over the last five fiscal years.
- The number of U.S. patent applications filed in FY2014-15 increased by 3, from 243 in FY2013-14 to 246 in FY2014-15. In the five fiscal years between FY2010-11 and FY2014-15, patent applications have increased by 23 or 10%. It should be noted that provisional patent applications comprise a significant portion of the patent applications filed. A provisional patent application is the desired intellectual property protection strategy for most early-stage technologies since it is relatively inexpensive and allows a researcher to continue perfecting the innovation while enabling technology transfer staff to market the new technology to potential partners.
- The number of U.S. patents issued has increased by 9 or nearly 13% in FY2014-15 over the previous fiscal year. Over the last five fiscal years, the number of U.S. patents issued has increased by 15 or more than 23%. The increase in U.S. patents issued resulted from Stony Brook University as well as a number of comprehensive campuses, including Buffalo State College, the College at Old Westbury, and the College at Oneonta.
- The number of license and option agreements executed increased by 24 over the previous fiscal year, from 47 in FY2013-14 to 71 in FY2014-15. Of note, two new licenses were executed for the commercial rights to an innovation developed by researchers at the College of Environmental Science and Forestry. Over the last five fiscal years, the number of license and option agreements executed has increased by 27 (a 61% increase) from 44 in FY2010-11 to 71 in FY2014-15.
- The number of operational start-ups increased by 10 over the last fiscal year. Of note, Stony Brook University added 5 operational start-ups in the last year. Over the last five fiscal years, the number of operational start-ups has also increased by 10 or nearly 14%.

**Innovation Indicators – Invention Disclosures**



Campus Sector	FY2010-11	FY2011-12	FY2012-13	FY2013-14	FY2014-15	1 Yr % Chng	5 Yr % Chng
University Centers/Doctoral Campuses	298	275	244	281	288	2.5%	-3.4%
University Colleges	7	6	3	11	5	-54.5%	-28.6%
Technology Colleges	0	4	7	1	2	100.0%	-
SUNY System Administration	0	0	0	0	1	-	-
<b>Total</b>	<b>305</b>	<b>285</b>	<b>254</b>	<b>293</b>	<b>296</b>	<b>1.0%</b>	<b>-3.0%</b>

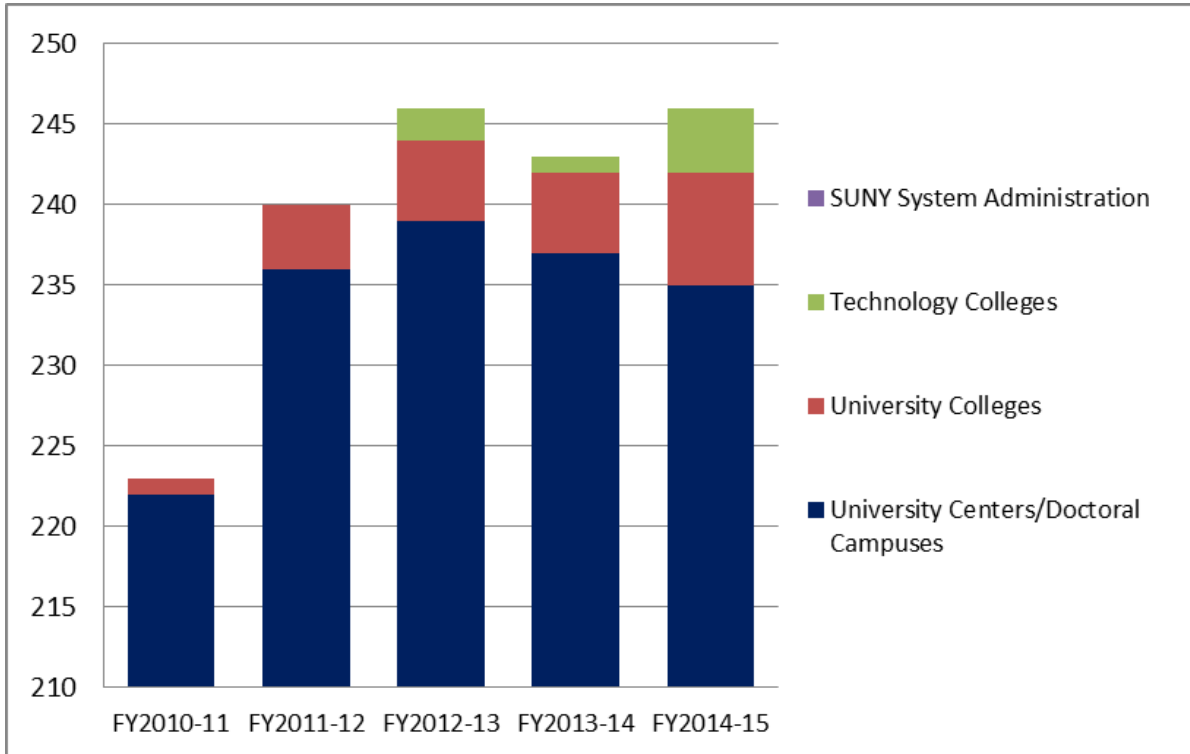
Source: RF Report Center.

## Innovation Indicators – Invention Disclosures

Campus Sector	Campus Location	FY2010-11	FY2011-12	FY2012-13	FY2013-14	FY2014-15
<b>University Centers and Doctoral Campuses</b>		<b>298</b>	<b>275</b>	<b>244</b>	<b>281</b>	<b>288</b>
	University at Albany	19	11	16	22	31
	Binghamton University	27	29	17	26	19
	University at Buffalo	112	90	83	82	78
	SUNY Downstate Medical Center	10	18	14	23	13
	SUNY ESF	7	8	5	4	3
	College of Optometry	3	0	1	1	0
	Stony Brook University	93	90	70	95	107
	SUNY Polytechnic Institute	18	17	22	11	23
	Upstate Medical University	9	12	16	17	14
<b>University Colleges</b>		<b>7</b>	<b>6</b>	<b>3</b>	<b>11</b>	<b>5</b>
	Buffalo State College	0	4	0	0	1
	College at Oneonta	0	0	0	1	0
	Empire State College	0	0	0	0	0
	Old Westbury	4	0	1	7	3
	Purchase College	0	0	0	0	0
	SUNY Brockport	0	1	0	0	0
	SUNY Cortland	0	0	0	0	0
	SUNY Fredonia	1	0	0	1	0
	SUNY Geneseo	0	1	0	0	0
	SUNY New Paltz	0	0	2	0	0
	SUNY Oswego	0	0	0	1	1
	SUNY Plattsburgh	2	0	0	1	0
	SUNY Potsdam	0	0	0	0	0
<b>Technology Colleges</b>		<b>0</b>	<b>4</b>	<b>7</b>	<b>1</b>	<b>2</b>
	Alfred State College	0	0	0	0	1
	Farmingdale State College	0	0	1	0	0
	Maritime College	0	1	0	0	0
	Morrisville State College	0	0	0	0	0
	SUNY Canton	0	0	0	0	1
	SUNY Cobleskill	0	3	6	1	0
	SUNY Delhi	0	0	0	0	0
<b>SUNY System Administration</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1</b>
	Sys. Admin. - Provost	0	0	0	0	1
<b>Total</b>		<b>305</b>	<b>285</b>	<b>254</b>	<b>293</b>	<b>296</b>

Source: RF Report Center.

**Innovation Indicators – New U.S. Patent Applications Filed**



Campus Sector	FY2010-11	FY2011-12	FY2012-13	FY2013-14	FY2014-15	1 Yr % Chng	5 Yr % Chng
University Centers/Doctoral Campuses	222	236	239	237	235	-0.8%	5.9%
University Colleges	1	4	5	5	7	40.0%	600.0%
Technology Colleges	0	0	2	1	4	300.0%	-
SUNY System Administration	0	0	0	0	0	-	-
<b>Total</b>	<b>223</b>	<b>240</b>	<b>246</b>	<b>243</b>	<b>246</b>	<b>1.2%</b>	<b>10.3%</b>

Source: RF Report Center.

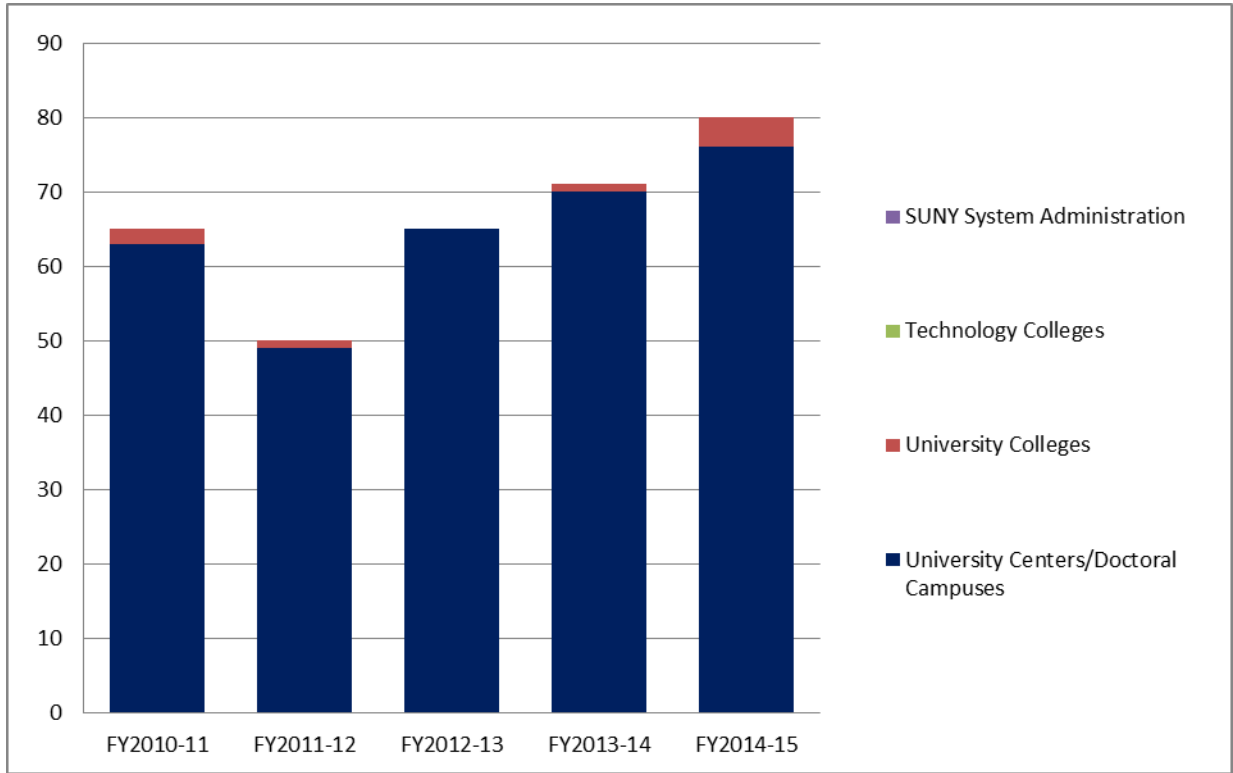


## Innovation Indicators – New U.S. Patent Applications Filed

Campus Sector	Campus Location	FY2010-11	FY2011-12	FY2012-13	FY2013-14	FY2014-15
<b>University Centers and Doctoral Campuses</b>		<b>222</b>	<b>236</b>	<b>239</b>	<b>237</b>	<b>235</b>
	University at Albany	14	16	15	12	20
	Binghamton University	28	25	27	34	25
	University at Buffalo	63	68	42	46	35
	SUNY Downstate Medical Center	8	10	12	5	19
	SUNY ESF	2	3	1	5	6
	College of Optometry	2	2	0	1	1
	Stony Brook University	87	95	122	112	106
	SUNY Polytechnic Institute	14	9	7	9	8
	Upstate Medical University	4	8	13	13	15
<b>University Colleges</b>		<b>1</b>	<b>4</b>	<b>5</b>	<b>5</b>	<b>7</b>
	Buffalo State College	0	0	1	1	1
	College at Oneonta	0	0	0	0	0
	Empire State College	0	0	0	0	0
	Old Westbury	0	2	1	2	6
	Purchase College	0	0	0	0	0
	SUNY Brockport	0	0	0	0	0
	SUNY Cortland	1	0	0	0	0
	SUNY Fredonia	0	1	1	1	0
	SUNY Geneseo	0	0	0	0	0
	SUNY New Paltz	0	0	2	0	0
	SUNY Oswego	0	0	0	0	0
	SUNY Plattsburgh	0	1	0	1	0
	SUNY Potsdam	0	0	0	0	0
<b>Technology Colleges</b>		<b>0</b>	<b>0</b>	<b>2</b>	<b>1</b>	<b>4</b>
	Alfred State College	0	0	0	0	1
	Farmingdale State College	0	0	1	0	0
	Maritime College	0	0	0	0	0
	Morrisville State College	0	0	0	0	0
	SUNY Canton	0	0	0	0	0
	SUNY Cobleskill	0	0	1	1	2
	SUNY Delhi	0	0	0	0	1
<b>SUNY System Administration</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
	Sys. Admin. - Provost	0	0	0	0	0
<b>Total</b>		<b>223</b>	<b>240</b>	<b>246</b>	<b>243</b>	<b>246</b>

Source: RF Report Center.

**Innovation Indicators – U.S. Patents Issued**



Campus Sector	FY2010-11	FY2011-12	FY2012-13	FY2013-14	FY2014-15	1 Yr % Chng	5 Yr % Chng
University Centers/Doctoral Campuses	63	49	65	70	76	8.6%	20.6%
University Colleges	2	1	0	1	4	300.0%	100.0%
Technology Colleges	0	0	0	0	0	-	-
SUNY System Administration	0	0	0	0	0	-	-
<b>Total</b>	<b>65</b>	<b>50</b>	<b>65</b>	<b>71</b>	<b>80</b>	<b>12.7%</b>	<b>23.1%</b>

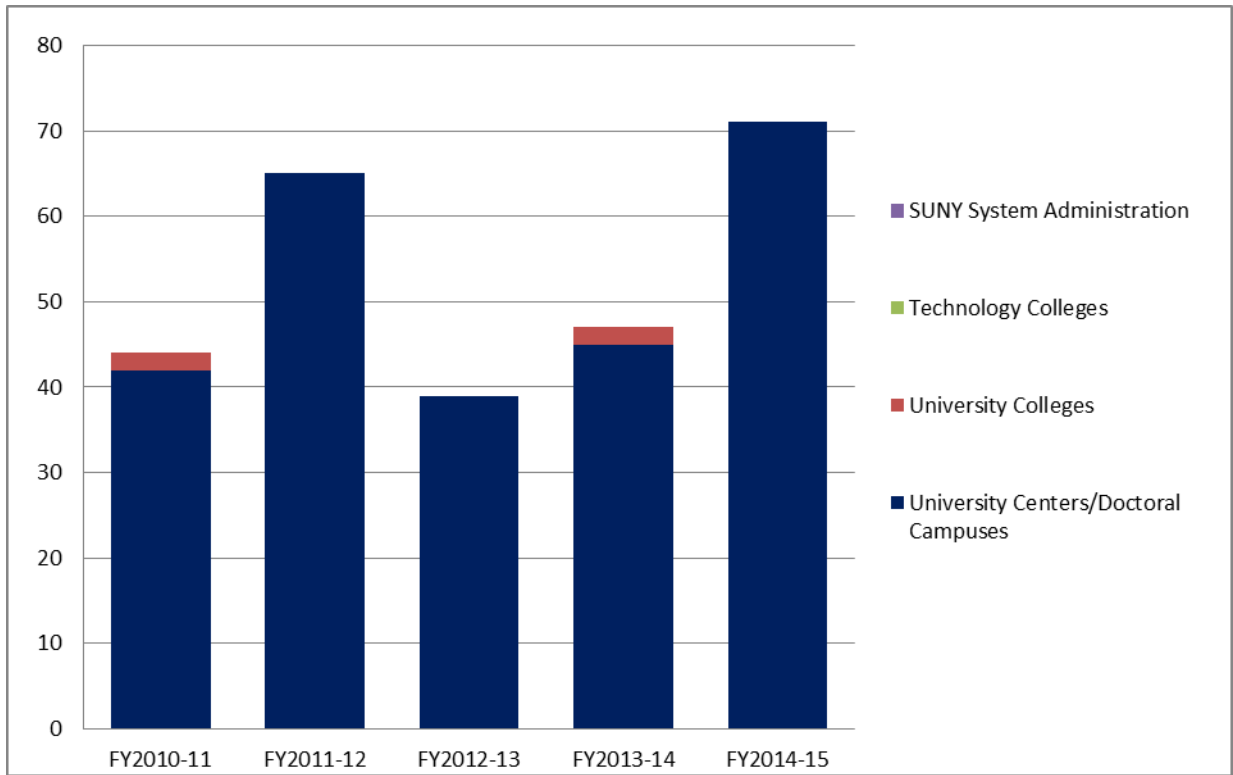
Source: RF Report Center

## Innovation Indicators – U.S. Patents Issued

Campus Sector	Campus Location	FY2010-11	FY2011-12	FY2012-13	FY2013-14	FY2014-15
<b>University Centers and Doctoral Campuses</b>		<b>63</b>	<b>49</b>	<b>65</b>	<b>70</b>	<b>76</b>
	University at Albany	1	2	3	6	2
	Binghamton University	13	15	16	22	22
	University at Buffalo	20	10	11	8	9
	SUNY Downstate Medical Center	11	3	1	4	4
	SUNY ESF	0	0	2	2	2
	College of Optometry	1	0	0	1	0
	Stony Brook University	15	16	28	21	29
	SUNY Polytechnic Institute	1	2	3	4	5
	Upstate Medical University	1	1	1	2	3
<b>University Colleges</b>		<b>2</b>	<b>1</b>	<b>0</b>	<b>1</b>	<b>4</b>
	Buffalo State College	0	0	0	0	2
	College at Oneonta	0	0	0	0	1
	Empire State College	0	0	0	0	0
	Old Westbury	1	0	0	1	1
	Purchase College	0	0	0	0	0
	SUNY Brockport	0	0	0	0	0
	SUNY Cortland	0	0	0	0	0
	SUNY Fredonia	0	0	0	0	0
	SUNY Geneseo	0	0	0	0	0
	SUNY New Paltz	0	0	0	0	0
	SUNY Oswego	0	0	0	0	0
	SUNY Plattsburgh	1	1	0	0	0
	SUNY Potsdam	0	0	0	0	0
<b>Technology Colleges</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
	Alfred State College	0	0	0	0	0
	Farmingdale State College	0	0	0	0	0
	Maritime College	0	0	0	0	0
	Morrisville State College	0	0	0	0	0
	SUNY Canton	0	0	0	0	0
	SUNY Cobleskill	0	0	0	0	0
	SUNY Delhi	0	0	0	0	0
<b>SUNY System Administration</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
	Sys. Admin. - Provost	0	0	0	0	0
<b>Total</b>		<b>65</b>	<b>50</b>	<b>65</b>	<b>71</b>	<b>80</b>

Source: RF Report Center.

**Innovation Indicators – License and Option Agreements Executed**



Campus Sector	FY2010-11	FY2011-12	FY2012-13	FY2013-14	FY2014-15	1 Yr % Chng	5 Yr % Chng
University Centers/Doctoral Campuses	42	65	39	45	71	57.8%	69.0%
University Colleges	2	0	0	2	0	-100.0%	-100.0%
Technology Colleges	0	0	0	0	0	-	-
SUNY System Administration	0	0	0	0	0	-	-
<b>Total</b>	<b>44</b>	<b>65</b>	<b>39</b>	<b>47</b>	<b>71</b>	<b>51.1%</b>	<b>61.4%</b>

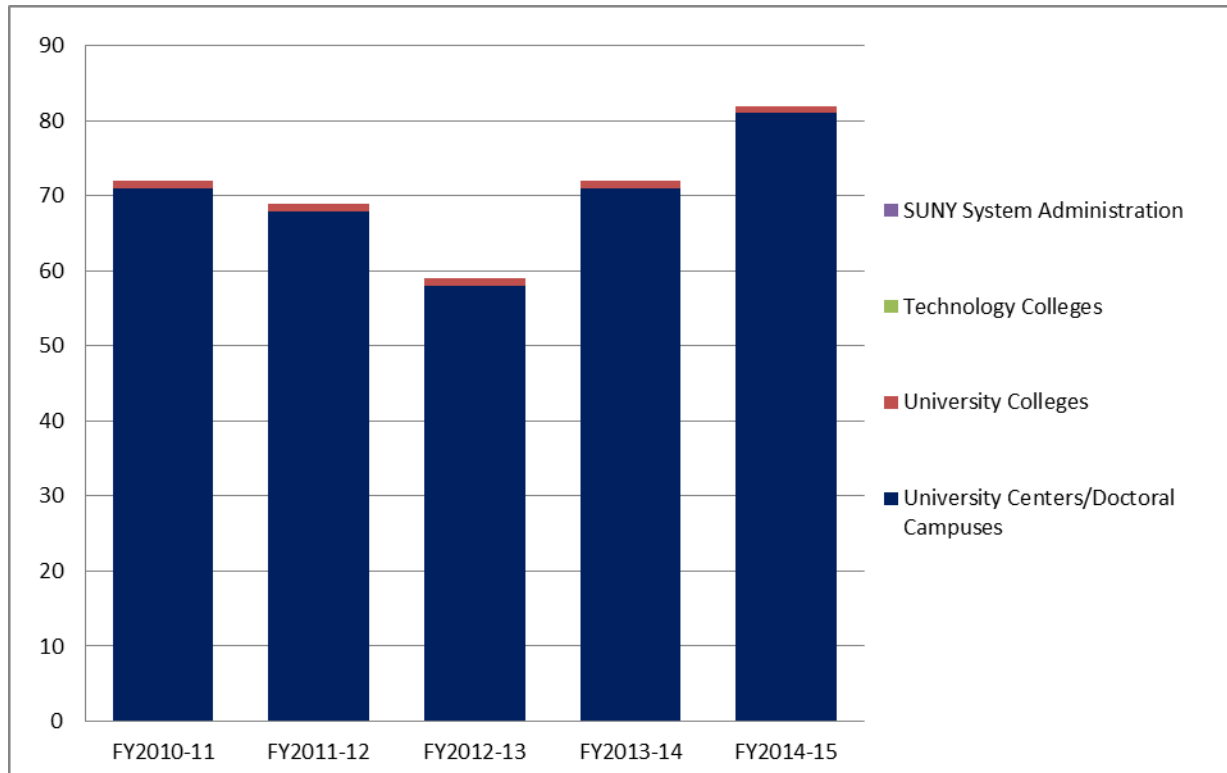
Source: RF Report Center

## Innovation Indicators – License and Option Agreements Executed

Campus Sector	Campus Location	FY2010-11	FY2011-12	FY2012-13	FY2013-14	FY2014-15
<b>University Centers and Doctoral Campuses</b>		<b>42</b>	<b>65</b>	<b>39</b>	<b>45</b>	<b>71</b>
	University at Albany	0	0	1	2	3
	Binghamton University	5	16	0	3	7
	University at Buffalo	12	12	12	19	13
	SUNY Downstate Medical Center	0	2	1	1	1
	SUNY ESF	1	1	1	0	2
	College of Optometry	0	0	0	0	0
	Stony Brook University	17	18	7	9	24
	SUNY Polytechnic Institute	7	15	12	9	14
	Upstate Medical University	0	1	5	2	7
<b>University Colleges</b>		<b>2</b>	<b>0</b>	<b>0</b>	<b>2</b>	<b>0</b>
	Buffalo State College	0	0	0	1	0
	College at Oneonta	0	0	0	0	0
	Empire State College	0	0	0	0	0
	Old Westbury	2	0	0	1	0
	Purchase College	0	0	0	0	0
	SUNY Brockport	0	0	0	0	0
	SUNY Cortland	0	0	0	0	0
	SUNY Fredonia	0	0	0	0	0
	SUNY Geneseo	0	0	0	0	0
	SUNY New Paltz	0	0	0	0	0
	SUNY Oswego	0	0	0	0	0
	SUNY Plattsburgh	0	0	0	0	0
	SUNY Potsdam	0	0	0	0	0
<b>Technology Colleges</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
	Alfred State College	0	0	0	0	0
	Farmingdale State College	0	0	0	0	0
	Maritime College	0	0	0	0	0
	Morrisville State College	0	0	0	0	0
	SUNY Canton	0	0	0	0	0
	SUNY Cobleskill	0	0	0	0	0
	SUNY Delhi	0	0	0	0	0
<b>SUNY System Administration</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
	Sys. Admin. - Provost	0	0	0	0	0
<b>Total</b>		<b>44</b>	<b>65</b>	<b>39</b>	<b>47</b>	<b>71</b>

Source: RF Report Center.

## Innovation Indicators – Operational Start-Ups



Campus Sector	FY2010-11	FY2011-12	FY2012-13	FY2013-14	FY2014-15	1 Yr % Chng	5 Yr % Chng
University Centers/Doctoral Campuses	71	68	58	71	81	14.1%	14.1%
University Colleges	1	1	1	1	1	0.0%	0.0%
Technology Colleges	0	0	0	0	0	-	-
SUNY System Administration	0	0	0	0	0	-	-
<b>Total</b>	<b>72</b>	<b>69</b>	<b>59</b>	<b>72</b>	<b>82</b>	<b>13.9%</b>	<b>13.9%</b>

Source: RF Report Center

## Innovation Indicators – Operational Start-Ups

Campus Sector	Campus Location	FY2010-11	FY2011-12	FY2012-13	FY2013-14	FY2014-15
<b>University Centers and Doctoral Campuses</b>		<b>71</b>	<b>68</b>	<b>58</b>	<b>71</b>	<b>81</b>
	University at Albany	2	2	2	2	2
	Binghamton University	11	9	5	5	4
	University at Buffalo	22	23	22	26	29
	SUNY Downstate Medical Center	4	3	1	3	4
	SUNY ESF	1	1	1	2	2
	College of Optometry	0	0	0	0	0
	Stony Brook University	29	27	24	29	34
	SUNY Polytechnic Institute	2	2	2	3	3
	Upstate Medical University	0	1	1	1	3
<b>University Colleges</b>		<b>1</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>1</b>
	Buffalo State College	0	0	0	0	0
	College at Oneonta	0	0	0	0	0
	Empire State College	0	0	0	0	0
	Old Westbury	1	1	1	1	1
	Purchase College	0	0	0	0	0
	SUNY Brockport	0	0	0	0	0
	SUNY Cortland	0	0	0	0	0
	SUNY Fredonia	0	0	0	0	0
	SUNY Geneseo	0	0	0	0	0
	SUNY New Paltz	0	0	0	0	0
	SUNY Oswego	0	0	0	0	0
	SUNY Plattsburgh	0	0	0	0	0
	SUNY Potsdam	0	0	0	0	0
<b>Technology Colleges</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
	Alfred State College	0	0	0	0	0
	Farmingdale State College	0	0	0	0	0
	Maritime College	0	0	0	0	0
	Morrisville State College	0	0	0	0	0
	SUNY Canton	0	0	0	0	0
	SUNY Cobleskill	0	0	0	0	0
	SUNY Delhi	0	0	0	0	0
<b>SUNY System Administration</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
	Sys. Admin. - Provost	0	0	0	0	0
<b>Total</b>		<b>72</b>	<b>69</b>	<b>59</b>	<b>72</b>	<b>82</b>

Source: RF Report Center.