

Knowledge Governance in the EFRCs

This survey has been sent to each of the United States' Department of Energy, Energy Frontier Research Centers (EFRCs). The survey was designed by Carolina Rossini, Research Fellow, and Silas Bauer, Research Associate from the [Industrial Cooperation Project](#) at the Berkman Center for Internet and Society, Harvard. The purpose of our research is to determine the level of openness or closedness of the research conducted in companies, institutions, and DOE labs in the alternative energy technology industry. By asking the following questions we are trying to determine if the research being conducted at your institution is more open, meaning information is shared with others, or more closed, meaning the information is protected to varying degrees with different legal tools. We're also looking for information on any knowledge sharing guidelines/rules that may be attached to the public funding your EFRC received from the US government through the DOE. Please answer the following questions to the best of your ability.

Sincerely,

The Industrial Cooperation Project Team

Thank you so much for taking the time out of your busy schedule to fill out our survey. We sincerely appreciate and value your feedback. In the following pages there will be a number of multiple choice questions with text boxes next to each answer. In certain cases we will prompt you to enter additional information about the question in the text box. If there is no such prompt, you do not need to enter any information, but if you would like to give us additional information about your answer, please feel free.

Sincerely,

The Industrial Cooperation Project Team

There are 54 questions in this survey

Section 1 - Biographical Information

1 [1]1.1) Name of the institution at which your EFRC is based?

Please write your answer here:

2 [2]1.2) Official name of your EFRC?

Please write your answer here:

3 [3]1.3) Name of the representative answering this questionnaire?

Please write your answer here:

4 [4]1.4) Your job title and role within the EFRC?

Please write your answer here:

5 [5]1.5) Name of the institution's department or departments that this EFRC is affiliated with?

Please write your answer here:

6 [7]1.6) How many people are involved with the EFRC's research?

Please write your answer here:

7 [8]1.7) How many people involved with this EFRCs research are:

	Number of People
Full time/fully covered by the institution hosting the EFRC	<input type="text"/>
Full time/fully covered by the grant	<input type="text"/>
Full time/partially covered by the grant	<input type="text"/>
Part time/fully covered by the institution hosting the EFRC	<input type="text"/>
Part time/fully covered by the grant	<input type="text"/>

8 [9]1.8) How many people involved with this EFRCs research are:

	Number of People
Professors	<input type="text"/>
Post-Doc researchers	<input type="text"/>
PhD candidates	<input type="text"/>
Masters degree candidates	<input type="text"/>
Undergraduate students	<input type="text"/>

9 [10]1.9) Who in your center is in charge of making decisions over how knowledge produced by your center is handled? Is your center subject to the Technology Transfer Office guidelines?

Please write your answer here:

Section 2 - Technology Focus

10 [11]2.1) What Technology Focus is your EFRC pursuing under this grant?

Please write your answer here:

(CONCEPT: Technological Focus is defined as being the "EFRC Objective")

11 [12]2.2) Why was this focus chosen?

Please write your answer here:

12 [13]2.3) What are the expectations of the Center in focusing its efforts on this technology?

Please write your answer here:

**13 [14]2.4) Are the main expectations/goals of this research related to:
(Note: The text box is for further information to the 'Other' selection. 'No Answer' means N/A)**

Please choose **only one** of the following:

- Discovering new knowledge
- Encouraging further scientific research within the field
- The prospect of commercialization of the technology developed
- Other. Please explain:

Make a comment on your choice here:

14 [15]2.5) Was this technology under development at your institution prior to receiving the funding award to become an EFRC? (Please choose Yes or No and ignore 'No Answer')

Please choose **only one** of the following:

- Yes
- No

15 [16]2.6) If the answer to the last question was 'Yes', what year did the research begin at your institution and who were the main funders?

Please write your answer here:

16 [17]2.7) At what stage in the technology value chain does your EFRC's research happen?

Please choose **all** that apply:

- Basic Research
- Translational Research
- Development / Optimization
- Production / Manufacture
- Commercialization

17 [18]2.8) Do you have any partners in any of the phases of your Research? If so can you provide some brief details?

Please write your answer here:

18 [19]2.9) Please, provide any additional comments in regard to the

strategy around the center's Technological Focus :

Please write your answer here:

(CONCEPT: Technological Focus is defined as being the "EFRC Objective")

19 [20]2.10) If your center already holds granted patents, please specify them here:

Please write your answer here:

Section 3 - Funding

20 [21]3.1) What is the total dollar value of the federal grant received to establish your EFRC?

Please write your answer here:

21 [22]3.2) Does the technology being pursued in your EFRC receive other federal grants? (Please choose Yes or No and ignore the 'No Answer' selection)

Please choose **only one** of the following:

- Yes
- No

22 [23]3.3) If the answer to the last question was 'Yes', what is the dollar value of those grants and which federal organization is the origin of the award?

Please write your answer here:

23 [24]3.4) What other sources of funding does your EFRC receive? (The text boxes are for the questions that ask for more information. If we have not asked for additional information, you do not need to put anything in the text box.)

Please choose all that apply and provide a comment:

<input type="checkbox"/> Individual philanthropic grants or individual donations	
<input type="checkbox"/> Corporate sponsored research	
<input type="checkbox"/> Foundation grant. Please list in the space provided:	
<input type="checkbox"/> Rent from rendering of services. Please give examples:	
<input type="checkbox"/> Rent from consulting services. Please give examples:	
<input type="checkbox"/> Rent from patent licensing	
<input type="checkbox"/> None of the above. Other:	

24 [25]3.5) Please, provide any additional comments:

Please write your answer here:

Section 4 - Knowledge Governance

Internal and External Knowledge

General Information

25 [26]4.1) How does your EFRC treat research and technology information inside your organization? (The text boxes are for the questions that ask for more information. If we have not asked for additional information, you do not need to put anything in the text box.)

Please choose all that apply and provide a comment:

All EFRC staff sign onto a Trade Secret agreement/arrangement

All EFRC staff sign a Non-Disclosure Agreement

Information shared informally (without contracts) with people who have the same institutional affiliation as the EFRC

Information shared formally (via contracts) with people who have the same institutional affiliation as the EFRC

Information shared with students who are enrolled at the EFRC's host institution

We deposit the data we generate in our institutional repository.

We deposit our papers in our institutional repository.

None of the above. If so,
please describe:

26 [54]4.2) If your EFRC has a institutional repository, please, insert the link here and tell us who can access it.

Please write your answer here:

27 [27]4.3) How does your EFRC share research and technology information externally? (The text boxes are for the questions that ask for more information. If we have not asked for additional information, you do not need to put anything in the text box.)

Please choose all that apply and provide a comment:

Information shared with any
interested person on demand

Information shared with broad
public via public posting on the
Internet

Information shared informally
(without contracts) with people
with a different institutional
affiliation than your EFRC

Information shared formally
(via contracts) with people with a
different institutional affiliation than
your EFRC

None of the above. If so,
please specify:

28 [28]4.4) How does your EFRC share research and technology information externally through scholarly work?

Please choose **all** that apply:

- Open access Publications/Journals
- Closed access Publications/Journals
- Website of project - open access
- Website of project - closed access (only available to institution)
- Workshops
- Consultancy

29 [29]4.5) How does your EFRC share research and technology information externally through Intellectual Property management? (The text boxes are for the questions that ask for more information. If we have not asked for additional information, you do not need to put anything in the text box.)

Please choose all that apply and provide a comment:

The research will be
deliberately placed in the public
domain

The research will be
deliberately placed under an open
license. Please provide details of
this license:

We will use a traditional All Rights Reserved approach for our creative works (i.e. copyright protection and we intend to enforce it)

We will seek patents on novel inventions

We will use Trade Secrets strategies to protect our research

We will use Trademarks as a protection strategy

We will place the data we build and collect in open databases.

Please list databases:

We will place the data we build and collect in closed databases.

Please list databases:

(Concepts: For the purposes of this questionnaire, an open database is a database with no - or almost no - restrictions on access and use by the broad public. A closed database is a database with protection measures for access and limited rights of use. For more on Open Access Databases see [Science Commons Open Access Data Protocol](#))

30 [30]4.6) If applicable please provide any additional comments to your answers in this section:

Please write your answer here:

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Section 5 - Knowledge Output

31 [31]5.1) What types of knowledge outputs does your EFRC produce? (The text boxes are for the questions that ask for more information. If we have not asked for additional information, you do not need to put anything in the text box.)

Please choose all that apply and provide a comment:

Data - Please describe the type of data being produced:

Databases

Research papers

Unpatentable tools and/or materials. Please give examples:

Patentable tools and/or materials. Please give examples:

32 [32]5.2) What policies govern these knowledge outputs?

Please choose all that apply and provide a comment:

Institutional or EFRC formal Intellectual Property policy. If possible please provide a link to the policy here or send us a copy of the document at indcoopsurvey@cyber.law.harvard.edu:

Institutional or EFRC formal Publication Policy. If possible please provide a link to the policy here or send us a copy of the document at indcoopsurvey@cyber.law.harvard.edu:

Technology transfer office policies and guidelines - Please insert link here

or send us a copy of the document at
indcoopsurvey@cyber.law.harvard.edu:

Other. Please describe; alternativly
insert a link here, or send us a copy of
the document at
indcoopsurvey@cyber.law.harvard.edu:

33 [33]5.3 If the output of the research is copyrightable (such as a paper or software), which of the following licensing options would be used? Note: In the possible answers below, CC stands for Creative Commons, which is a type of license - for more information see the note at the bottom of this question. (The text boxes are for the questions that ask for more information. If we have not asked for additional information, you do not need to put anything in the text box.)

Please choose all that apply and provide a comment:

All rights reserved

Some rights reserved, with
express-communicated license

CC-BY (BY means Attribution must
be given to creator)

CC-BY-NC (NC means the output
can only be used for Non-Commercial
purposes)

CC-BY-NC-ND (ND means that No
Derivative works can be created from
output, only verbatim copies)

CC-BY-NC-SA (SA means that
others can Share Alike derivative
copies of the output but only under an
identical CC license)

CC-BY-ND (see definitions above)

CC-BY-SA (see definitions above)

GNU General Public License (GPL), when the technology is software

Berkeley Software Distribution license (BSD), when the technology is software

Declaration of resources in Open Access, but no express-communicated license

Institutional regulations on publication rights. If possible, please provide a link to the policy/guidelines or send us a copy of the document at indcoopsurvey@cyber.law.harvard.edu:

Informal/Internal practices norms and regulations on publication rights. Please describe them here:

Regulations on citation rights

No kind of assertion is made

Other. List:

N/A

If these licenses are unfamiliar to you and/or you don't know the answer to the question, please try to consult someone from your Technology Transfer office or write to us at 'indcoopsurvey@cyber.law.harvard.edu'. Please do not guess. If you need more explanations on Creative Commons licenses, please access the Creative Commons website at: www.creativecommons.org

34 [34]5.4) Please, provide any additional comments on the above question:

Please write your answer here:

35 [35]5.5) If the output of the research is patentable, which of the following patenting options would be used? (The text boxes are for the questions that ask for more information. If we have not asked for additional information, you do not need to put anything in the text box.)

Please choose all that apply and provide a comment:

Patent licensing with exclusivity. Please provide a brief explanation on when and why this licensing strategy was adopted:

Patent licensing without exclusivity. Please provide a brief explanation on when and why this licensing strategy was adopted:

Trade Secret licensing

Adoption of some 'socially responsible licensing' scheme.

Please describe:

Adoption of open licensing:
Creative Commons licenses (CC)
- See copyright question above

Adoption of open licensing:
GNU General Public Licenses (GPL) - See copyright question

above

Adoption of open licensing: Berkeley Software Distribution licenses (BSD) - See copyright question above

Licensing with spatial condition for a set of actors or countries. Please provide a brief explanation on when and why this licensing strategy is adopted:

"Patent-left" licenses. Please provide a brief explanation on when and why this licensing strategy is adopted:

Patent covenant / non-assertion commons. Please provide a brief explanation on when and why this licensing strategy is adopted:

Patent pool

Other. Please list:

No kind of assertion is made

36 [36]5.6) How is the output of the research handled if it is not IP protected, but rather, traditionally regulated by a contract, such as a Material Transfer Agreement? (The text boxes are for the questions that ask for more information. If we have not asked for additional information, you do not need to put anything in the text box.)

Please choose all that apply and provide a comment:

A Material Transfer Agreement

is negotiated case by case.

The EFRC has a standard Material Transfer Agreement. If possible, please provide a link to the agreement:

Other. Please list:

Subject to standard property and title laws, but the EFRC has a contract for use inspired by Free or Open Source software licenses

Attribution / Citation clauses/norms

Non Commercial clauses

Viral / Copyleft-inspired clauses (i.e. inspired by Creative Commons licenses or GPL, as explained above)

No kind of assertion is made

N/A

37 [37]5.7) Is the technology being developed in your EFRC: (The text boxes are for the questions that ask for more information. If we have not asked for additional information, you do not need to put anything in the text box.)

Please choose all that apply and provide a comment:

A close 'substitute' technology to a technology that exists in the market? If yes, please describe here which technology your technology aims to substitute:

<input type="checkbox"/> If a substitute, do you expect your technology will be more efficient? How much? (percentage if possible):	
<input type="checkbox"/> If a substitute, do you expect your technology will be less costly? How much? (percentage if possible):	
<input type="checkbox"/> If a substitute, do you expect your technology will be more efficient and less costly? How much? (percentages if possible):	
<input type="checkbox"/> Efficiencies and cost issues are too difficult to define at this point	
<input type="checkbox"/> A 'complementary' technology to a technology that exists in the market. Please note which technology your technology aims to complement:	
<input type="checkbox"/> A platform for other technologies to be developed upon	

Section 6 - Knowledge Input

38 [38]6.1) Did/do you need to license in technologies to perform the research of your EFRC? (Please answer Yes or No and ignore the 'No Answer' selection)

Please choose **only one** of the following:

- Yes
 No

39 [40]6.2) If you answered Yes to the previous question, were you able to license in the technology? (Please choose Yes or No and ignore the 'No Answer' selection)

Please choose **only one** of the following:

- Yes
 No

40 [39]6.3) Was licensing in the technology difficult?

Please write your answer here:

41 [42]6.4) What was the cost of licensing in the technology? (No Answer = N/A)

Please choose **only one** of the following:

- High (\$500,000 or more)

Medium (\$100,000 - \$499,999)

Low (\$99,999 or less)

42 [41]6.5) If you could not license in the technology did you: (The text boxes are for the questions that ask for more information. If we have not asked for additional information, you do not need to put anything in the text box.)

Please choose all that apply and provide a comment:

Change the project

Find another technology

Find another licensor/partner

Other. Please explain:

Section 7 - Access

43 [43]7.1) Are there clear rules on who can ACCESS (emphasis added for differentiation with upcoming USE question) the research and technology information being developed in your EFRC? (The text boxes are for the questions that ask for more information. If we have not asked for additional information, you do not need to put anything in the text box.)

Please choose all that apply and provide a comment:

Yes, rules are informally transmitted

Yes, rules are formally transmitted

Rules are transmitted in a physical letter

Rules are transmitted in an e-mail

Rules are published on the Center's web page. Please list URL:

No

44 [44]7.2) Is anonymous access to the Center's research and technology information allowed?

Please choose **only one** of the following:

Yes

No

45 [45]

7.3) If Yes, does a user require an affiliation with the EFRC's home institution to access the resource? (No Answer=N/A)

Please choose **only one** of the following:

- Never
- Sometimes
- Regularly
- Always

Section 8 - Use

46 [46]8.1) Are there clear rules on who can USE the research and technology information being developed in your EFRC? (The text boxes are for the questions that ask for more information. If we have not asked for additional information, you do not need to put anything in the text box.)

Please choose all that apply and provide a comment:

Yes, rules are informally transmitted

Yes, rules are formally transmitted

Rules are transmitted by a physical letter

Rules are transmitted by an e-mail

Rules are published on the Case web page. Please list URL:

No

47 [53]8.2) Please provide a brief description of the rules for USE of the research and technology information being developed in your EFRC? Or, if you prefer, send them to indcoopsurvey@cyber.law.harvard.edu.

Please write your answer here:

Section 9 - Community

**48 [47]9.1) Is there a community of practice being formed by your EFRC?
(Please choose Yes or No and ignore the 'No Answer' selection)**

Please choose **only one** of the following:

- Yes
 No

49 [48]9.2) Additional comments to your answer:

Please write your answer here:

50 [49]9.3) Is this community open to the public or just your host institution? (No Answer = N/A)

Please choose **only one** of the following:

- Open to public
 Open to institution only
 Other (Please explain)

Make a comment on your choice here:

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51 [50]9.4) What are the formal community management tools in use? (The text boxes are for the questions that ask for more information. If we have not asked for additional information, you do not need to put anything in the text box.)

Please choose all that apply and provide a comment:

Wiki - Please list URL:

Blog - Please list URL:

Mailing list

Social Network Platforms -
Please list URL:

P2P Network - Please list
URL:

Repository

Web-site - Please list URL:

VoIP

Forums

Chats

Conference calls

52 [51]9.5) Are there real-world community management tools implemented in parallel with the online tools to support the research of your EFRC?

Please choose **all** that apply:

Conferences

Association-related activities

Private meetings

Staff training

Participation in standards setting-bodies

N/A

Section 10 - Capacity Building Outputs

53 [52]10.1) Is there a course or curriculum that will be developed around the research conducted in your EFRC? (Please choose Yes or No and ignore the 'No Answer' selection)

Please choose **only one** of the following:

- Yes
- No

54 [53]10.2) If 'Yes' is your previous answer, please explain:

Please write your answer here:

Please submit by 2010-03-31

Submit your survey.

Thank you for completing this survey.