When Do Researchers Read Patents? – Data Codebook

- **author** = 1 if respondent is from corresponding author pool (which includes some industry researchers), 0 if from industry-focused pool (which includes some scientific journal article authors)

Have you ever read any part of a patent (other than your own)? (**readpatent**)
❍ Yes (1)
❍ No (0)

Questions for Respondents Who HAVE Read Part of a Patent

You indicated that you HAVE read at least part of a patent. In the past year, approximately how many different patents have you read (in whole or in part)? (**numpatentsread**; dummy **read5plus** = 1 if numpatentsread ≥ 5)

Please check ALL of the ways in which you have come across the patents you read: (dummy for checking any one of these: **found**)
❑ A lawyer or someone from a legal department gave it to me. (**found_legal**)
❑ Another scientific researcher gave it to me. (**found_scientist**)
❑ Found a citation to it in a paper or publication. (**found_citation**)
❑ Searched the US Patent and Trademark Office website. (**found_ptosearch**)
❑ Searched Derwent Innovations Index or Chemical Abstracts Service. (**found_derwent**)
❑ Searched WIPO, Espacenet, or PATSTAT. (**found_wipo**)
❑ Searched Google Patents. (**found_googlepatents**)
❑ Searched Google Scholar and found patent results. (**found_googlescholar**)
❑ Other: (**found_other**) _____

Have you read a patent for any of these SCIENTIFIC reasons? Check ALL that apply. (**read_scientific** = 1 if any of first 5 are checked, 0 if last is checked)
(**read_scientific_all** = read_scientific with omitted variables set to 0 for non-readers)
❑ To learn how other researchers solved a particular technical problem I was facing. (**read_problem**)
❑ To research a general scientific topic. (**read_general**)
❑ To browse information about cutting-edge technologies. (**read_cuttingedge**)
❑ To cite the patent in one of my publications. (**read_cite**)
❑ Other scientific reason: (**read_othersci**) _____
❑ No, I did not read any patents for scientific reasons. (**read_nosci**)

Have you read a patent for any of these LEGAL reasons? Check ALL that apply. (**read_legal** = 1 if any of first 4 are checked, 0 if last is checked)

- ❑ To determine whether my research might be infringing a patent. (**read_infringing**)
- ❑ To determine whether my research might be patentable. (**read_patentable**)
- ❑ I was an expert witness or otherwise involved in a patent lawsuit. (**read_lawsuit**)
- ❑ Other legal reason: (**read_otherlegal**) _____
- ❑ No, I did not read any patents for legal reasons. (**read_nolegal**)

What kind of patents have you read? Please check ALL that apply. (dummy **read_noresponse** for no response)

- ❑ Granted U.S. patents (**read_grant**)
- ❑ U.S. patent applications (**read_app**)
- ❑ Granted foreign patents (**read_foreigngrant**)
- ❑ Foreign patent applications (**read_foreignapp**)
- ❑ I don't know (**read_dk**)

For the following questions, consider the MOST RECENT patent you read in your field. Do you know what the legal status of this patent was? (dummy **recent_noresponse** for no response)

- ❍ Granted U.S. patent (**recent_grant**)
- ❍ U.S. patent application (**recent_app**)
- ❍ Granted foreign patent (**recent_foreigngrant**)
- ❍ Foreign patent application (**recent_foreignapp**)
- ❍ I don't know (**recent_dk**)

Did you find useful scientific information in the patent (either applied to a particular problem or regarding a general research topic)? (**read_useful**)

- ❍ Yes (1)
- ❍ No (0)

How useful was the patent at providing each of the following kinds of information?

	Very useful (1)	Moderately useful (2)	Slightly useful (3)	Not at all useful (4)	N/A (didn't look for this) (0)
Instructions for how to make the patented invention (**useful_instructions**)	❍	❍	❍	❍	❍
Protocols that were tangential to the patented invention (**useful_protocols**)	❍	❍	❍	❍	❍
General scientific information (**useful_general**)	❍	❍	❍	❍	❍
Related references (**useful_references**)	❍	❍	❍	❍	❍

Please share any other thoughts you have about how patents are useful (or could be more useful) as a source of technical information:

Do you think that you could recreate the invention described in the most recent patent you read in your field? (**enabled**)

❍ Definitely yes (5)
❍ Probably yes (4)
❍ Maybe (3)
❍ Probably not (2)
❍ Definitely not (1)

Please explain:

Has anyone instructed you not to read patents because of possible adverse legal consequences? (**instructed**)

❍ Yes (1)
❍ No (0)

Did being instructed not to read patents because of possible adverse legal consequences affect whether you read patents? (**instructed_effect**)

❍ Yes (1)
❍ No (0)

Please explain:

Questions for Respondents Who Have NOT Read Part of a Patent

You indicated that you have NOT read any part of a patent (other than your own). Why haven't you read any patents? Please check ALL that apply:

- ❑ Patents do not contain information that would be useful to me. (**no_notuseful**)
- ❑ Patents are written in jargon that is too hard to understand. (**no_jargon**)
- ❑ I don't know how to find relevant patents. (**no_find**)
- ❑ Finding relevant patents is too time consuming. (**no_time**)
- ❑ I was instructed not to read patents because of possible adverse legal consequences. (**no_instructed**)
- ❑ I'm not interested in patenting the results of my research. (**no_interest**)
- ❑ I've never really thought about it before. (**no_neverthought**)
- ❑ Other: (**no_other**) _____

Please explain:

Do you anticipate that reading a patent later in your career might be useful? (**no_readlater**)

- ❍ Yes (1)
- ❍ No (0)

Please describe any circumstances under which you might read a patent in the future:

Questions for All Respondents

Some have suggested that patent examination should occasionally rely on peer reviews from researchers in the field of the invention. Would you be willing to occasionally review patents for the U.S. Patent & Trademark Office to help improve the patent literature? (**review**)

- ❍ Yes, I would occasionally review patent applications for free. (1)
- ❍ Yes, I would occasionally review patent applications if I were paid at least this amount per patent: (2) _____ (**review_money_total**, **review_money_hourly**)
- ❍ No, I would never be willing to review patent applications. (3)

Do you have any final comments about the effect of patents on your research?

In the past year, how many papers (including conference papers) have you submitted? (If none, please enter "0") (**papers**)

In the past year, how many patent applications have been submitted on your inventions? (If none, please enter "0") (**patents**)

Which of the following describe your research field? Please check ALL that apply. (**nofield** = 1 if none are checked)

- ❑ Mechanical (**mechanical**)
- ❑ Electronics (**electronics**)
- ❑ Chemistry (**chemistry**)
- ❑ Biotechnology (**biotechnology**)
- ❑ Medical (**medical**)
- ❑ Software (**software**)
- ❑ Optics (**optics**)
- ❑ Other: (**otherfield**) _____ (if otherfield or optics is only option checked, then **onlyotherfield** = 1)

Which of the following best describes your current research environment? (**sector** = 1–5 scale, also dummy variables)

- ❍ Academic (1) (**academic**)
- ❍ Industry (2) (**industry**)
- ❍ Government (3) (**government**)
- ❍ Nonprofit (4) (**nonprofit**)

Would you characterize the bulk of your research as basic or applied? (**applied**)

- ❍ Primarily basic (0)
- ❍ Primarily applied (1)
- ❍ Equal mix of basic and applied (0.5)

Which characterizes your research? Check ALL that apply.

- ❑ Experimental (**experimental**)
- ❑ Theoretical (**theoretical**)
- ❑ Computational (**computational**)
- ❑ Other: (**otherresearch**) _____

What is your highest degree? (**degree**)

- ❍ Ph.D. or other Doctoral (3) (dummy: **phd**)
- ❍ Master's (2)
- ❍ Bachelor's (1)

Age: (**age**)

- ❍ Under 21 (1)
- ❍ 21 to 24 (2)
- ❍ 25 to 34 (3)
- ❍ 35 to 44 (4)
- ❍ 45 to 54 (5)
- ❍ 55 to 64 (6)
- ❍ 65 or older (7)

Gender: (**gender**)

- ❍ Male (1)
- ❍ Female (2) (dummy: **female**)
- ❍ Other gender identity (3)

Do you currently work in the United States? (**domestic**)

- ❍ Yes, I predominately work in the US. (1)
- ❍ Yes, I work in both the U.S. and another country. (2)
- ❍ No, I predominately work in a different country. (3) (dummy: **foreign**)