Horizon Results Platform & European IP Helpdesk
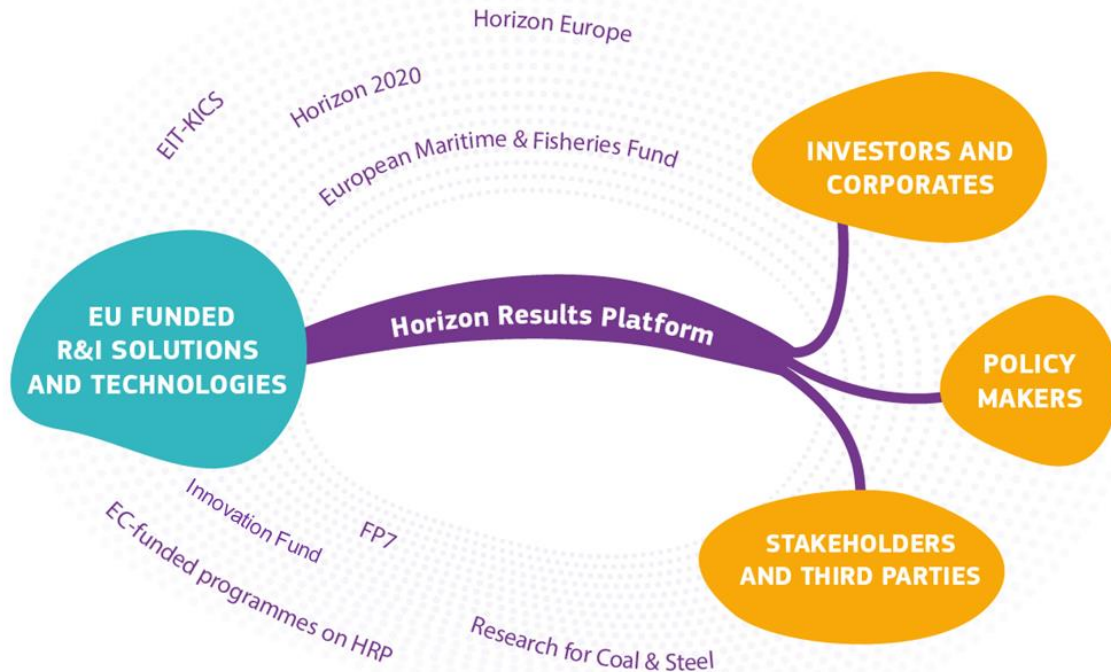
08/10/2024 IP and Technology Transfer

Next session:
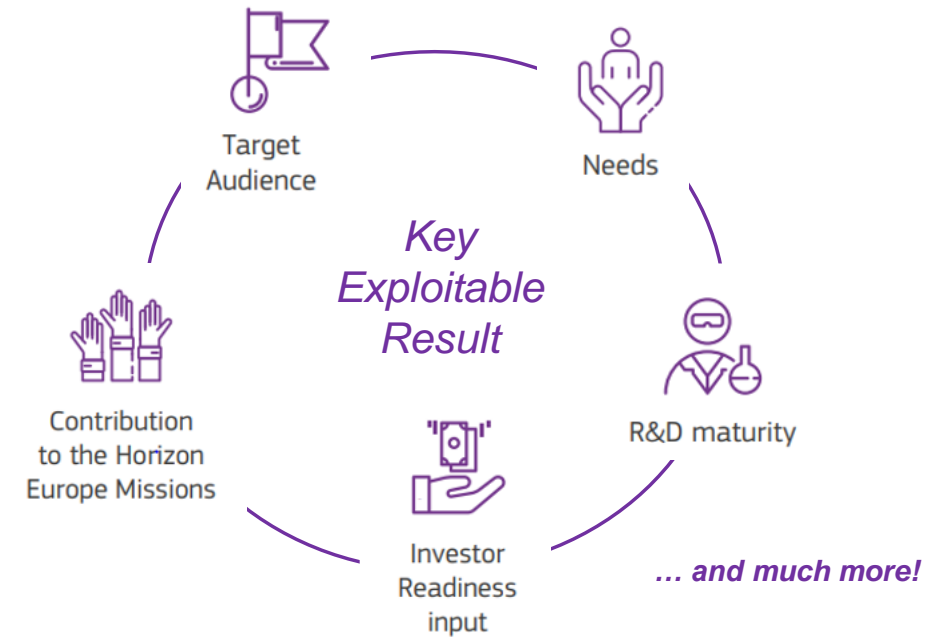
- *November/December 2024 Thinking International – International Business Opportunities*

European Commission

Horizon Results Platform (HRP)

EC's corporate platform promoting Key Exploitable Results (KERs), hosted on the F&T Portal

*Per **Key Exploitable Result (KER)** on HRP: essential information, driving **matchmaking***

*N.B.: In **Horizon Europe**, use of the **Horizon Results Platform** becomes mandatory, if, one year after the end of the action, a Key Exploitable Result has not yet been exploited (not all results).*

... and much more!

European Commission

HRP: Promoting EC-Funded Solutions

A unique ecosystem of partners to advance the uptake of your KERs

Benefits to you via HRP:

- **Matchmaking opportunities**
  - Empowering Startups & SMEs initiative

- **Demand-driven training**
  - Tailored training and support from mentors and coaches

- **Access** investors and grow networks

[HRP TV](Inspirational Interviews, Expert Insights)

Dual Frequency Plasma Technology

Find your local Network contact point

Paolo Scopece
CEO at Nadir S.r.l. Plasma & Polymers
I'm the main responsible of Nadir.

Marco Gorini
Enterprise Europe Network (EEN):
Driving Ambitious SMEs to Innovate and
Achieve International Success

NADIR
Plasma & Polymers

enterprise
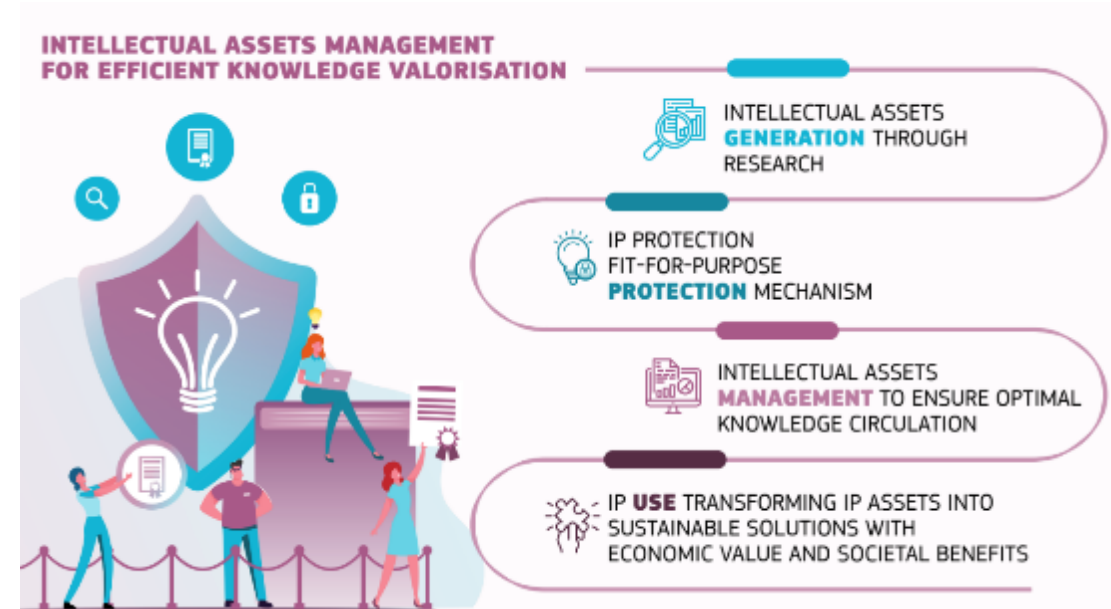europe
network

European Commission

Training: IP Commercialisation/Valorisation

The training series addresses IP-related aspects in four areas, introducing the main aspects of IP management with a view to commercialising/valorising intellectual assets:

I.   IP and Artificial Intelligence

II. IP and Software

III. **Technology Transfer – 08/10/2024**

IV. Thinking international - International business Opportunities

➢ *NB: You will need to register for each session individually!*

INTELLECTUAL ASSETS MANAGEMENT FOR EFFICIENT KNOWLEDGE VALORISATION

INTELLECTUAL ASSETS **GENERATION** THROUGH RESEARCH

IP PROTECTION FIT-FOR-PURPOSE **PROTECTION** MECHANISM

INTELLECTUAL ASSETS **MANAGEMENT** TO ENSURE OPTIMAL KNOWLEDGE CIRCULATION

IP **USE** TRANSFORMING IP ASSETS INTO SUSTAINABLE SOLUTIONS WITH ECONOMIC VALUE AND SOCIETAL BENEFITS

European Commission

Please be sure to sign up for the next session as well!

Horizon Results Platform Team
Email: EC-HORIZON-RESULTS-PLATFORM@ec.europa.eu

Thank you,
we look forward to hearing from you!

European IP Helpdesk

- Service initiative of the European Commission

- Addressing **current and potential beneficiaries of EU-funded projects, researchers and EU SMEs**

- Free-of-charge first-line support on intellectual property (IP)

- Hands-on IP and innovation management support

- International pool of IP experts from various thematic fields

- Unique cooperation scheme with the Enterprise Europe Network: 43 ambassadors from 26 EU countries
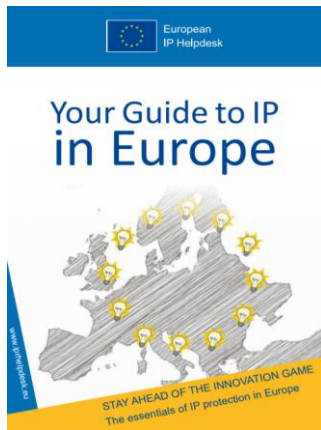
ec.europa.eu/ip-helpdesk

Training
free online and on-site sessions

Website
frequent updates from the world of IP and innovation

Helpline
confidential treatment of individual IP questions

Publications
practical IP knowledge through high-level publications

Ambassadors
local IP support throughout Europe

Events
info point at key networking events and conferences

The EC IP Helpdesks

www.ec.europa.eu/ip-helpdesk

# EC IP (SME) Helpdesk Hub – Gateway to Information

- E-learning modules & more
- Guides / Topic, country, sector-specific factsheets / Infographics
- Case studies

Out Now: Your Guide to Open Science in Horizon Europe

- Open science promotes transparency, accessibility, and collaboration in scientific research

- This Guide helps readers understand OS, offering explanations and guidelines for those preparing or already implementing a Horizon Europe project proposal.

European
IP Helpdesk

Your Guide to
Open Science in Horizon Europe

www.ec.europa.eu/ip-helpdesk
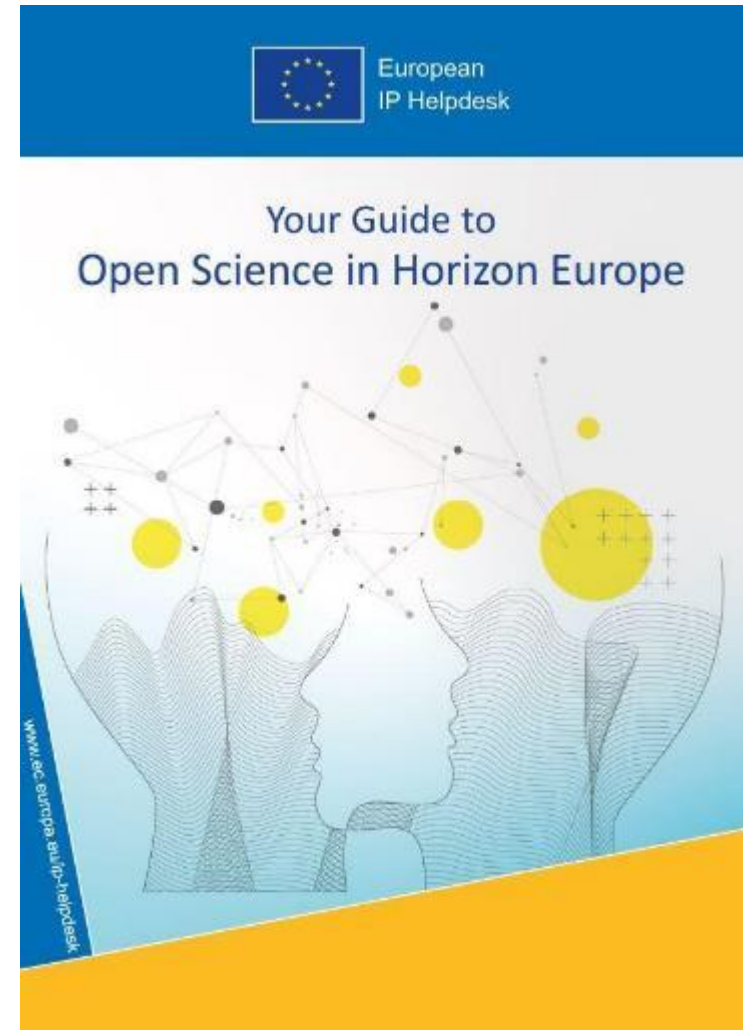
Public Consultation on Craft and Industrial Geographical Indications

- The consultation will shape future international policy and negotiations on geographical indications.

- Open until 10 October 2024, contributions can be submitted [online](#) or via email to GROW-CIGI@ec.europa.eu.
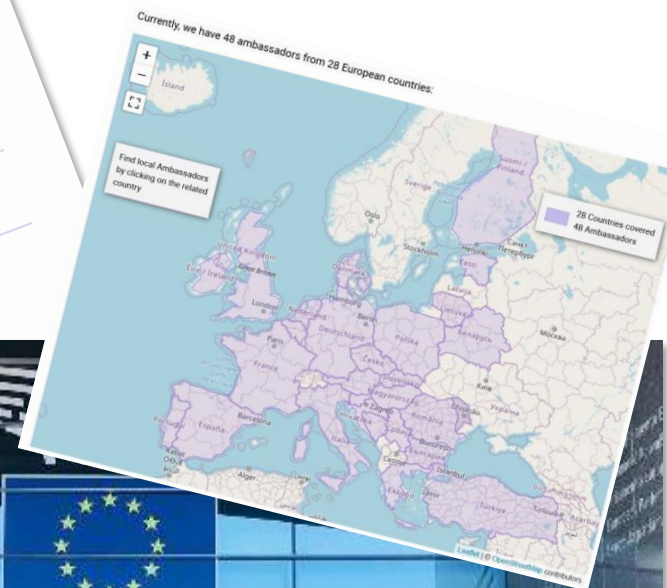
Ambassador Scheme

- **Cooperation scheme** with the Enterprise Europe Network (EEN): 43 ambassadors – 26 countries
- **Building IP capacities** among European SMEs
- **Overcoming language barriers**
- Making the topic **more accessible**
- Exchange and feedback from ambassadors on **needs of SMEs**
- Local **awareness** and **training events**

Upcoming events

Europa - Upcoming events

24 SEP 2024
Training and workshops
EU - Webinar: IP for Future and Emerging Technologies
((•)) Live streaming available

25 SEP 2024
Training and workshops
Intellectual Property in the Mobility Industry - A Global Perspective on How to protect your Innovation

26 SEP 2024
Training and workshops
EU - Webinar: IP in Horizon Projects (HEU)
((•)) Live streaming available

01 OCT 2024
Training and workshops
EU - Webinar: IP in Biotechnology
((•)) Live streaming available

02 OCT 2024
Training and workshops
EU - Webinar: IP in Business collaborations for SMEs and Start-ups
((•)) Live streaming available

08 OCT 2024
Training and workshops
EU - Webinar & Horizon Results Platform: Technology Transfer
((•)) Live streaming available

09 OCT 2024
Training and workshops
EU - Webinar: IP and Artificial Intelligence
((•)) Live streaming available

09 OCT 2024
Training and workshops
Coop: EIC & EPO Webinar: Licensing-based business models
((•)) Live streaming available

14 OCT 2024
Training and workshops
EU - Webinar: IP Commercialisation & Licensing - Advanced
((•)) Live streaming available

15 OCT 2024
Training and workshops
EU - Webinar: IP Management in ICT Projects
((•)) Live streaming available

EU-13 Roadshow

Strengthening IP Awareness and Community Engagement in the Widening Countries

24 October
Novi Sad, Serbia

29 October
Brno, Czechia

European
IP Helpdesk

- Enhance the dissemination of IP-related knowledge

- Provide innovation support to SMEs, researchers, and EU beneficiaries from EU-13 and Widening countries.

[Register for Novi Sad, Serbia](#)

[Register for Brno, Czechia](#)

Thank you!

- www.ec.europa.eu/ip-helpdesk

- helpline@iprhelpdesk.eu
- training@iprhelpdesk.eu

- X @iprhelpdesk

- LinkedIn /european-ipr-helpdesk

- Subscribe / Newsletter

Roadmap

I. What is Technology Transfer?

II. Stages of Technology Transfer
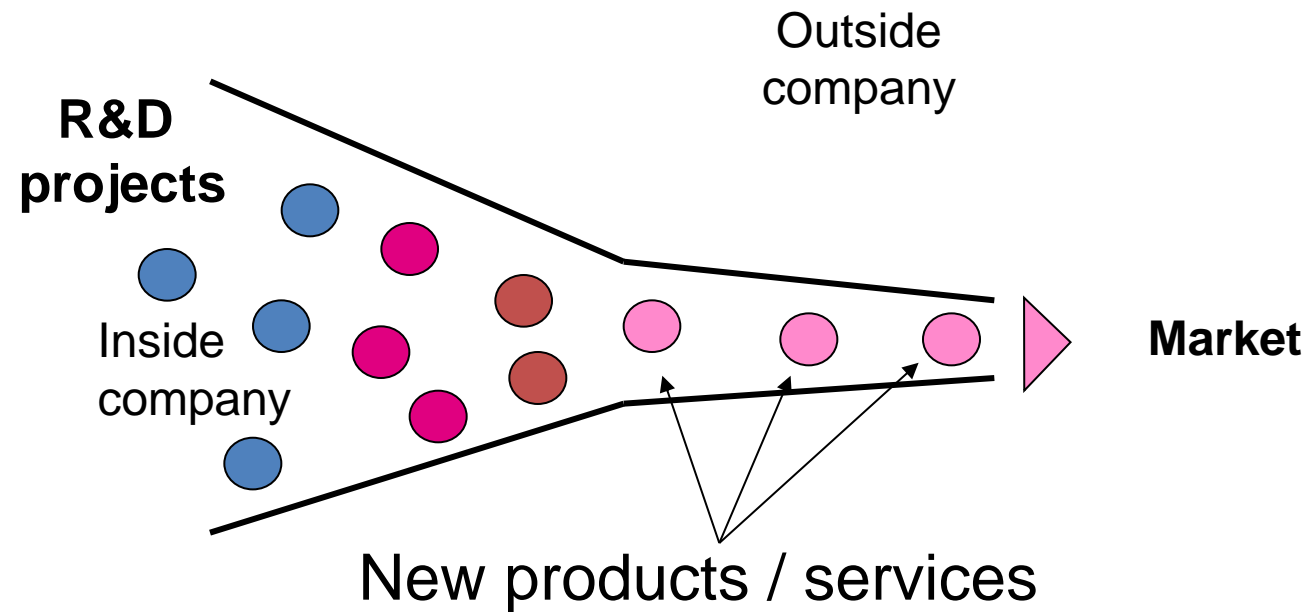
III. Actors + Assistance

IV. Case Studies

I. What is Technology Transfer?

"Technology transfer is the process of transferring (scientific) ideas / findings or technologies from one organization to another for the purpose of further development and commercialization."*

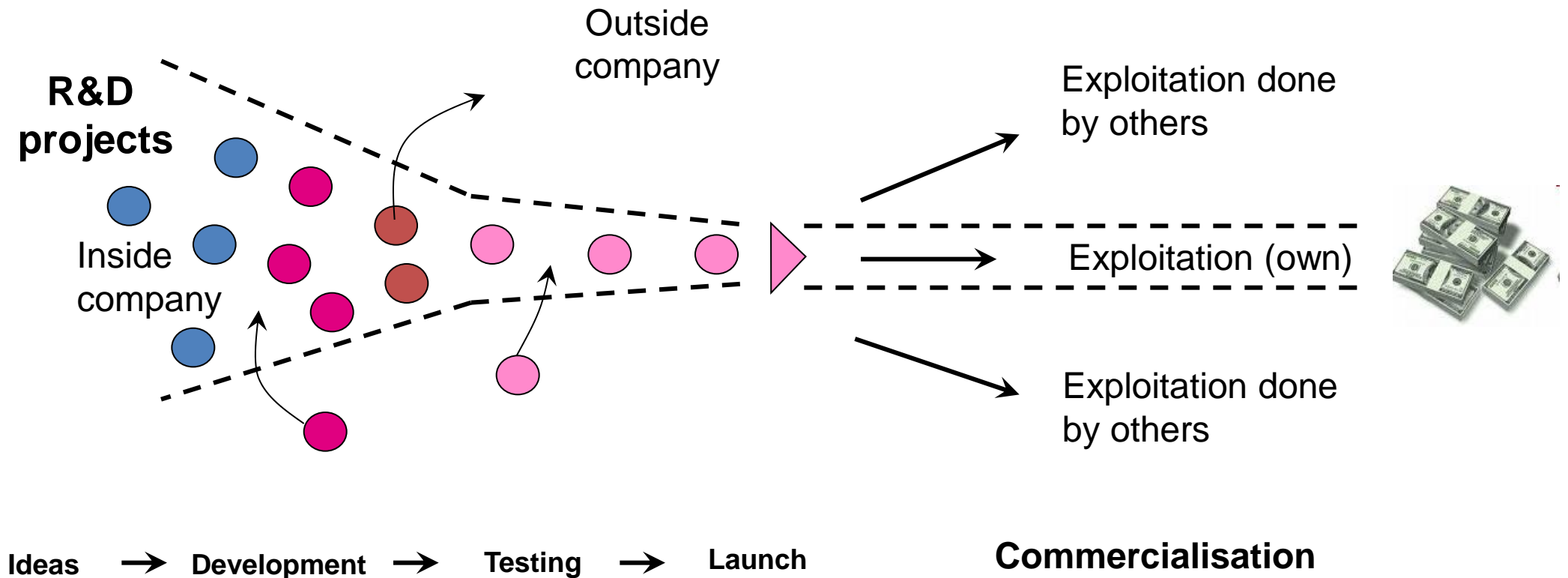*Based on definition of AUTM (Association of University Technology Managers)*

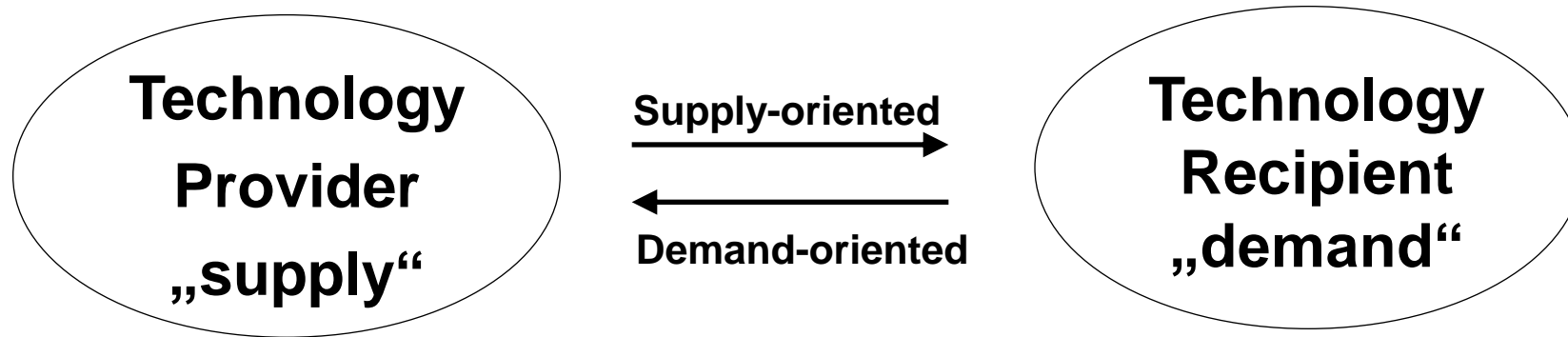# Closed Innovation

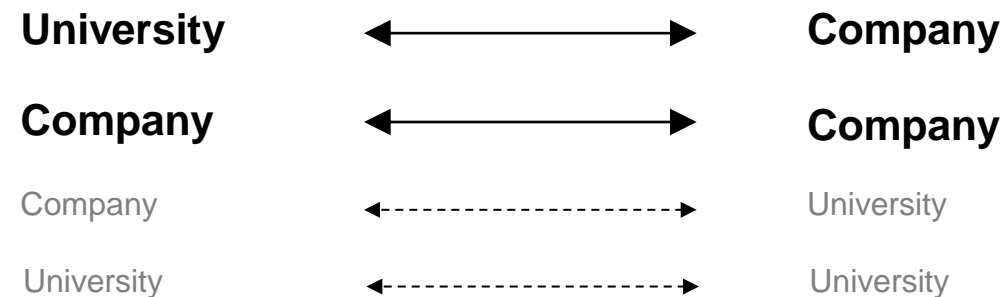Ideas → Development → Testing → Launch

Open Innovation

R&D projects

Outside company

Inside company

Exploitation done by others

Exploitation (own)

Exploitation done by others

Ideas → Development → Testing → Launch

Commercialisation

Technology - Transfer

Technology Provider „supply" — **Supply-oriented** → **Demand-oriented** ← Technology Recipient „demand"

Types of Partnership:

University	⟷	**Company**
Company	⟷	**Company**
Company	⟷	University
University	⟷	University

Examples for Technology Transfer

- Perceptual audio coding technology
  - Fraunhofer Institute for Integrated Circuits

- Formula of carbohydrates and electrolytes to stimulate fluid absorption…
  - University of Florida

- Method for rating web pages objectively and mechanically, effectively measuring the human interest and attention devoted to them
  - Stanford University

Advantages of Technology Transfer

Reasons for collaborating with a partner:

- Access a technology / know how

- Share risks / costs

- Speed up product development

- Reduce time-to-market

- Generate profits

- Access new markets

- Commercialise ideas

Barriers to Technology Transfer

Potential problems for technology transfer:

- Missing information on available technologies / know-how
- Missing information on available potential partners
- Missing infrastructure / skills to adapt technology / know-how
- Missing funds
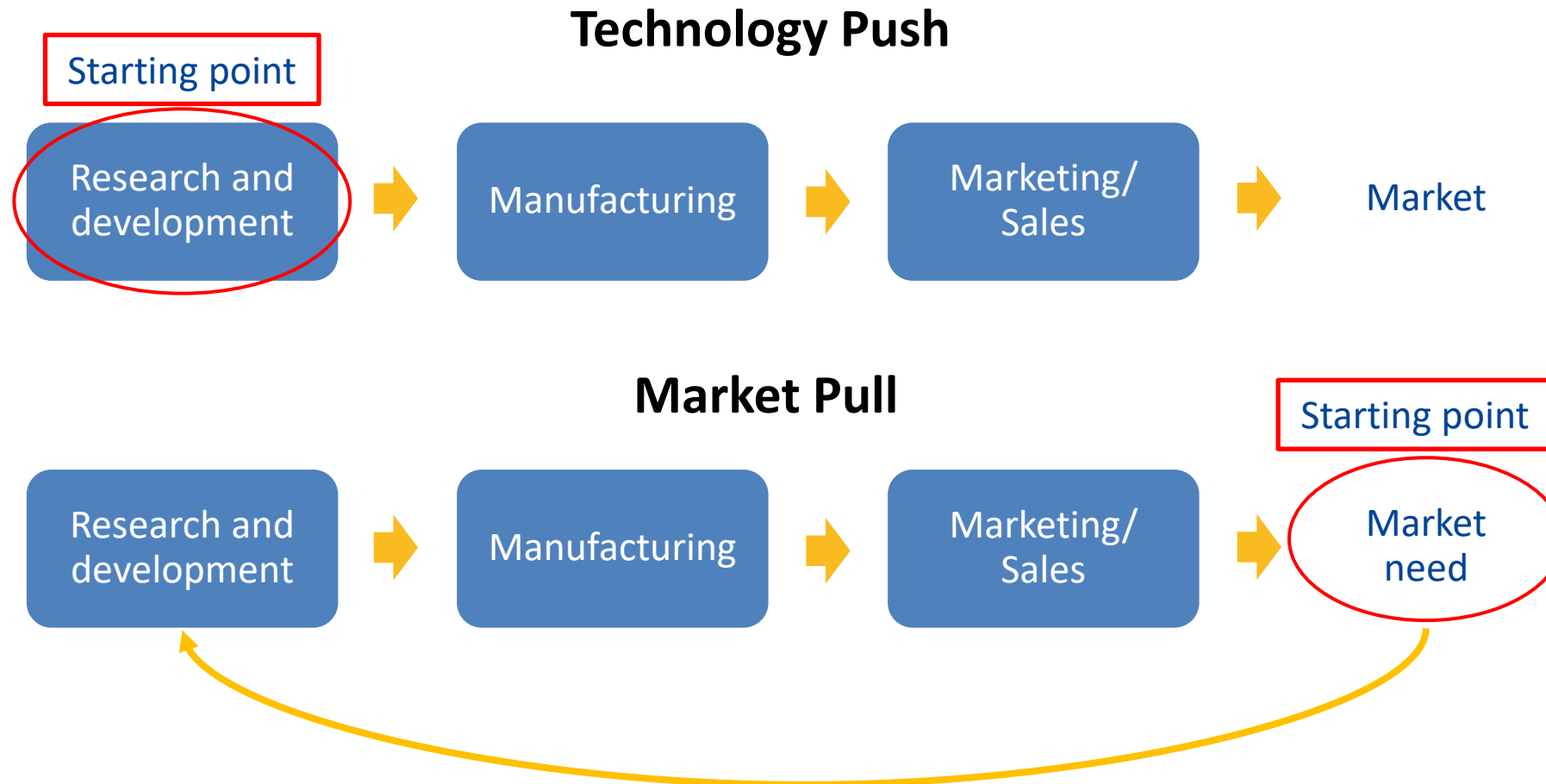- Missing (common) interests
- Missing communication / trust

Why do universities engage in Technology Transfer?

- Universities can only cover first part (research) but not later stages (commercialization)

- Licensing revenue

- Regulations

- Reputation of university / researchers (attract talents and money)

- Economic development

Technology Push vs Market Pull (I/II)

Technology Push

Starting point

Research and development → Manufacturing → Marketing/ Sales → Market

Market Pull

Starting point

Research and development → Manufacturing → Marketing/ Sales → Market need

Roadmap

I. What is Technology Transfer?

II. **Stages of Technology Transfer**

    I. **Search for technology**

    II. Screening of technology

    III. Contractualisation

III. Actors + Assistance

IV. Case Studies

Information as basis for Tech Transfer

- Challenge: lack of information:
  - Potentially relevant technology / know-how
  - Owner of potentially relevant technology / know-how

- Lack of information in 2 directions:
  - Supply-oriented: who is interested in a certain technology (recipient/demand)
  - Demand-oriented: who is offering a certain technology (offer/supply)

- Support is coming in 2 forms:
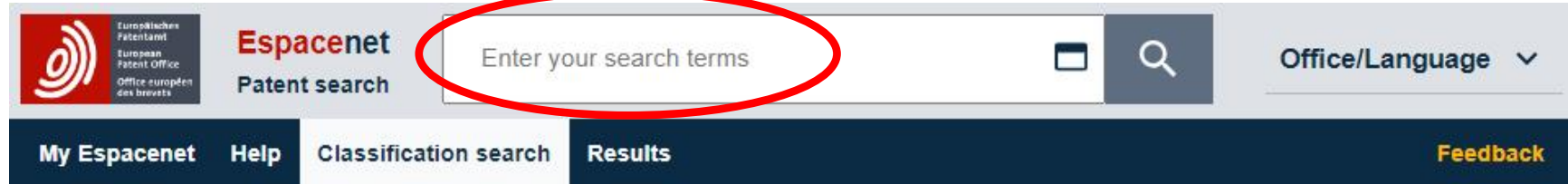 - Tools
  - Actors

Information as basis for Tech Transfer

Finding relevant information is key

- Use specific tools to identify potential partners

- Use patent information

- Using these tools range from easy to complex (specialists available)

The Espacenet database (over 150 million docs)

https://worldwide.espacenet.com

Espacenet: free access to over 140 million patent documents

Also for identifying potential partners

The Espacen... ...on docs)

Roadmap

I. What is Technology Transfer?
II. **Stages of Technology Transfer**
    I. Search for technology
    II. **Screening of technology**
    III. Contractualisation
III. Actors + Assistance
IV. Case Studies

Screening of technology

2 main criteria for evaluation
(of potentially interesting technology for you):

1. Legal

2. Market

Screening of technology – 2 main perspectives

Technology Provider „supply"

Technology Recipient „demand"

Is it possible to go for patent (IP) protection?
(new, inventive, commercial application)

Legal

Is there valid IP-protection?

Does it make sense to go for patent (IP) protection?

Market

Does the protected technology/know-how meet your business needs?
Is there "good" IP-protection ("good"= fitting business needs)?

Webinar on IP-Assessment

Screening of technology

What (other) topics would you evaluate (focus: demand-side)?

- Legal

- Market

- Technology

- Finance

- Fit to business (strategy)

- Regular Seminar on IP-Assessment
- 3-part seminar on IP-Assessment
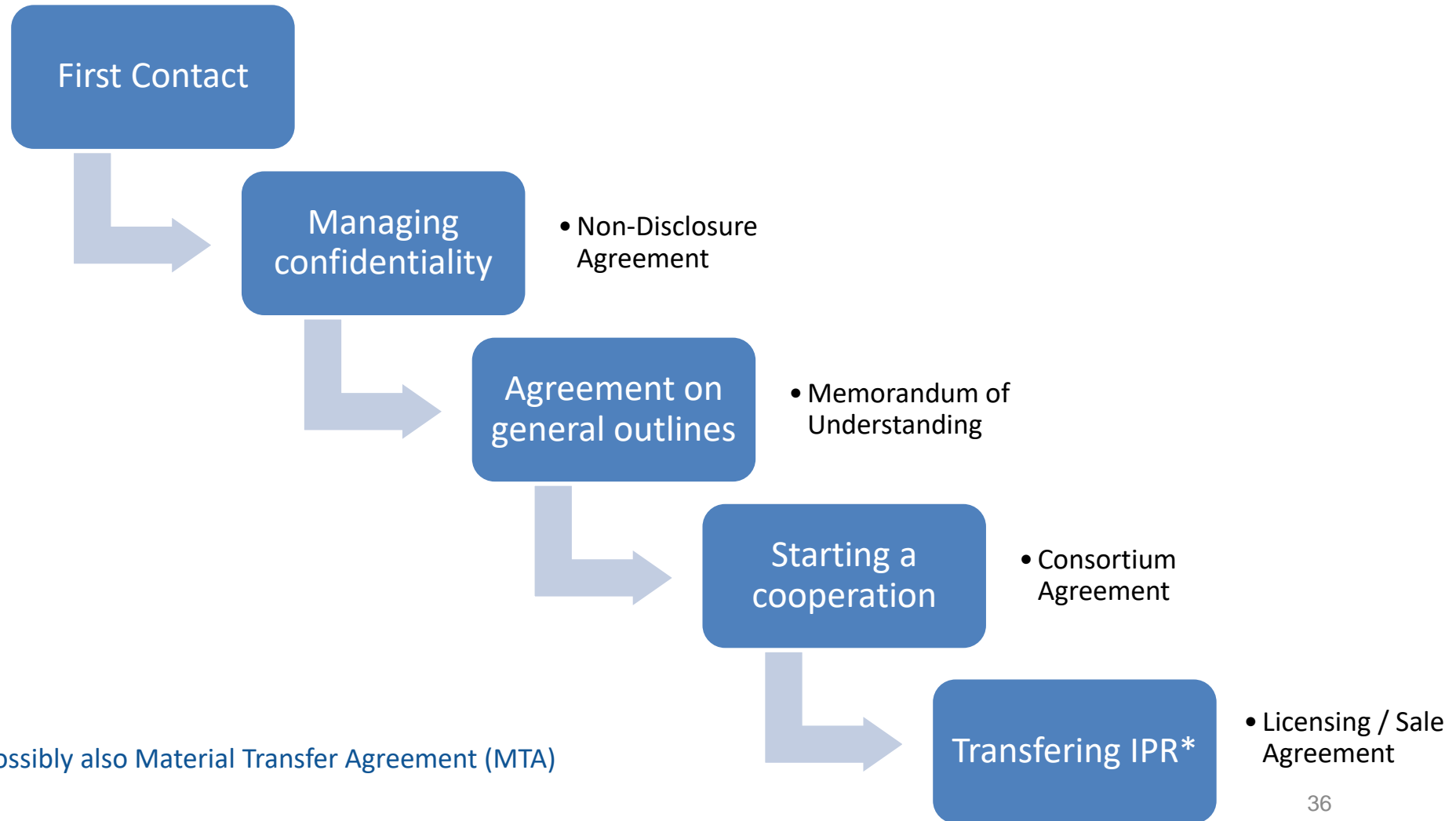*(together with EPO) (May 2024)*

Roadmap

I. What is Technology Transfer?
II. **Stages of Technology Transfer**
    I. Search for technology
    II. Screening of technology
    III. **Contractualisation**
III. Actors + Assistance
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Contractualisation of a transaction

First Contact

Managing confidentiality
- Non-Disclosure Agreement

Agreement on general outlines
- Memorandum of Understanding

Starting a cooperation
- Consortium Agreement

Transfering IPR*
- Licensing / Sale Agreement

* possibly also Material Transfer Agreement (MTA)

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Contractualisation of a transaction – Non Disclosure Agreement (NDA)

- Sometimes called a Confidential Disclosure Agreement (CDA)

- Legal document between two or more parties

- Agrees that information will be held confidential for a specific period of time

- Should describe how confidential information is identified, handled and stored

- Generally includes a clause about information becoming public knowledge

Contractualisation of a transaction – Memorandum of Understanding (MoU)

- Also named "Letter of Intent" (LoI)

- Documents the intent of two or more parties

- (Mostly) legally non-binding (non-legal language)

- Documents main terms (goals, roles, responsibilities, financial obligations) of negotiations

- Often first step towards final contract

Contractualisation of a transaction – Consortium Agreement

- Agreement between two or more partners to collaborate collectively

- Defines roles and responsibilities among consortium partners

- Should explicitly describe how project results (IPR) will be shared and commercialized (including responsibility)

- Should document background IP and ownership

Contractualisation of a transaction – Material Transfer Agreement (MTA)

- A legal agreement that governs the transfer of tangible materials between two organizations

- Defines the rights of the originator of the materials and ownership of any derivative works

- Usually used with biological samples (but also with material samples or chemicals)

- Can be used for transfer between universities, industrial partners or research centers

Options for transfer of IPR

- Transfer of Ownership
  - Selling IPR to other entity
  - One-time transaction

- License
  - Allowing an other entity to use IPR
  - No transfer of ownership
  - Ongoing partnership

- Spin-off
  - Part of existing organization (e.g. student of faculty of university) form a new and independent entity
  - IPR (held by existing organization) form important constituent of spin-off; therefore, access rights for IPR have to be defined

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Transfer options - an IP license

- Indirect exploitation of intellectual property

- Licensing agreement: the owner of IP (Licensor) grants the Licensee the right to use the IP

- The Licensor maintains the ownership of the IP

Transfer options - an IP license

- Indirect exploitation of intellectual property

- Licensing agreement: the owner of IP (Licensor) grants the Licensee the right to use the IP

- The Licensor maintains the ownership of the IP

Webinar on Commercialisation and Licensing

Transfer options - an IP license

Permission to use IP

Payments

Licensor
*IP owner (e.g.
university,
company,
individual)*

Licensee
*(e.g.
company)*

Splitting rights in a partnership

A key issue…

- Determines the subsequent options for Technology Transfer
- Determines the possible profitability of the project

…But the priorities diverge:

- Academic: desire to publish, often owner of the IPR
- Industry: secrecy and commercialization; desire to be unique user of the IPR

Splitting rights in a partnership – manage ownership in IPR

Prior to the start of the project: Consortium Agreement

- **Definition** of the background and IPR of each partner

- **Access** to the background IPR during and after the project

- **Protection and exploitation** of the results:

  - Secrecy or patent application?

  - Who is in charge of the application, the extension and the renewal of the rights?

  - Which part of the revenues goes to which partner?

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Managing ownership - conclusion

- Splitting the rights in a partnership is a crucial point

- The more you discuss and set-up the repartition of the rights in advance, the better will go on the cooperation with your partners

→ Don't hesitate to dedicate time to discuss this issue -
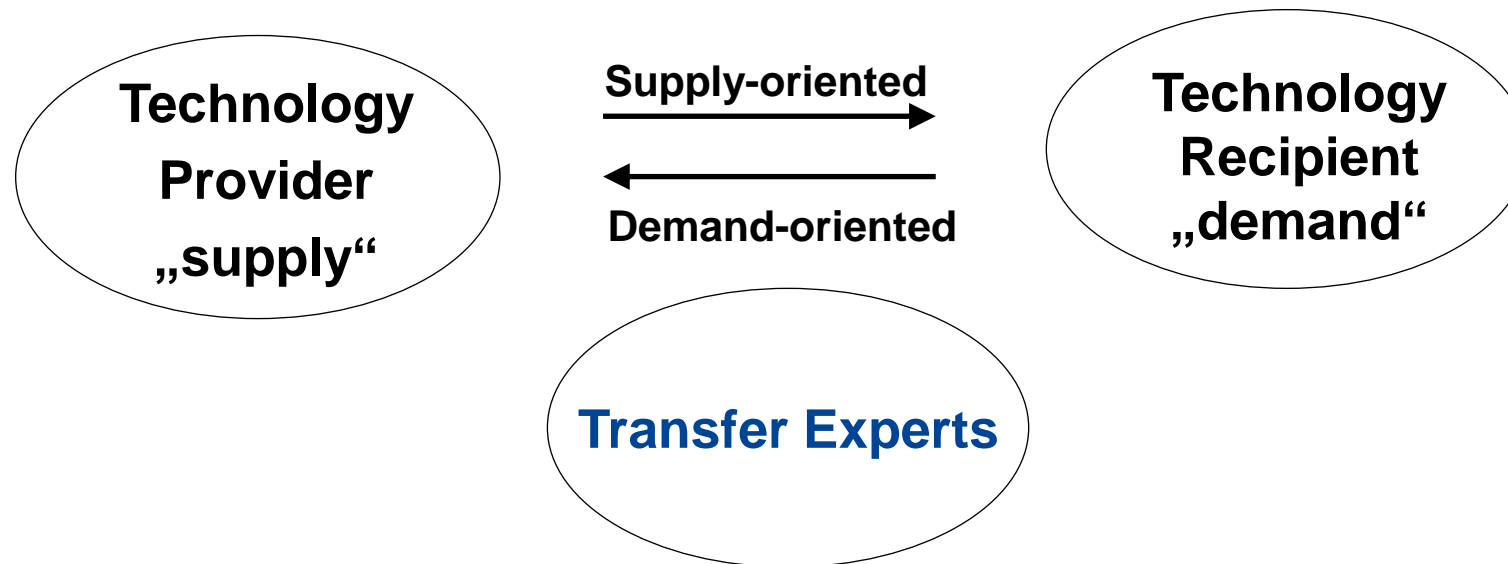 it is not lost time, it ensures the future success of the cooperation

Roadmap

I. What is Technology Transfer?

II. Stages of Technology Transfer

III. **Actors + Assistance**

IV. Case Studies

Professionals experienced in different aspects of Technology Transfer

Technology Provider „supply"

Supply-oriented →

← Demand-oriented

Technology Recipient „demand"

Transfer Experts

- **Technology Transfer Offices**
- **Regional actors**
- **Consulting companies**
- **Specific programes/service initiatives**

Actors & Assistance - where can I go to get information and help?

Professionals experienced in different aspects of technology transfer can be found in …

- **Technology Transfer Offices** (University or Public Research Organisations)
- **Regional actors** (e.g. innovation centers, chambers of commerce, incubators)
- **Consulting companies** specialized in technology transfer
- **Specific programes/service initiatives** like the European IP Helpdesk

Technology Transfer Office

- Typically a (small) office set up by a university or research center to manage the protection and commercialization of technologies developed by its staff (supply oriented)

- Will usually perform technology marketing and licensing activities

- May also support start up efforts. Some TTOs may even manage seed capital funds

Regional actors (Innovation Center, Technology Park or Incubator)

- Typically established by a region / state to foster innovation and support public /private research initiatives

- Principally concerned with connecting actors with resources and the communication of new technology opportunities

- May have experts available to provide advice (development of business plans, start up funding, etc.) but usually does not work with very early stage technologies

Consulting company

- May have been created by university or research organization (spin-out) or established by former university TT managers

- Usually staffed with specialists who have different technical backgrounds (scientific expertise, IP expertise, business development, etc.)

- Usually offer full range of services (IP protection, market assessment, marketing, etc.), can work demand-oriented

- Will generally receive some type of compensation upon signing of successful license agreement

Roadmap

I. What is Technology Transfer?

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Europäisches
Patentamt
European
Patent Office
Office européen
des brevets

EPO TECHNOLOGY TRANSFER CASE STUDIES | FOS4X

Sensors for blades – stress reduction for wind turbines

Encouraged by an IP-savvy university institute director with an entrepreneurial spirit and positive feedback from industry sponsors, a team of young researchers decided to bring their fibre optic measurement technology to market. Access to the university's patent portfolio and research facilities, together with the business experience acquired by one of the co-founders, paved the way to the creation of fos4X. The young company decided early on to focus on applications for wind turbines, and their patents turned out to be crucial in a market of mostly large players. The company was acquired in 2020 by PolyTech on the basis of its innovative technology and IP portfolio.

Case study: fos4x (TTF case studies)

https://www.epo.org/learning/
materials/sme/innovation-
case-studies/technology-
transfer-case-studies_de.html

fos4X provides streaming analytics using fibre-optic sensors on the rotor blades of wind turbines

Case study:
Orcan Energy
(SME case studies)

https://www.epo.org/learning/materials/sme/sme-case-studies.html

EPO SME CASE STUDIES | ORCAN ENERGY

Recycling waste heat to cool down the planet

A renewable energy company founded in 2008, Orcan Energy offers standard components for heat power generators that recycle waste heat by turning it into electricity, using the Organic Rankine Cycle (ORC), a process similar to that used in steam engines. Having started as a spin-off from the Technical University of Munich (TUM) in Germany, Orcan now has 65 employees. Patents are important, because the risk of Orcan's standard components being copied is high. Eight early patents were filed by the TUM and then subsequently acquired by Orcan. Ownership of these patents was vital in order to attract funding. Orcan co-operates with other companies, but simplifies patent management by avoiding joint ownership. It has a detailed patent protection strategy and understands when to file a patent application and where to file it.
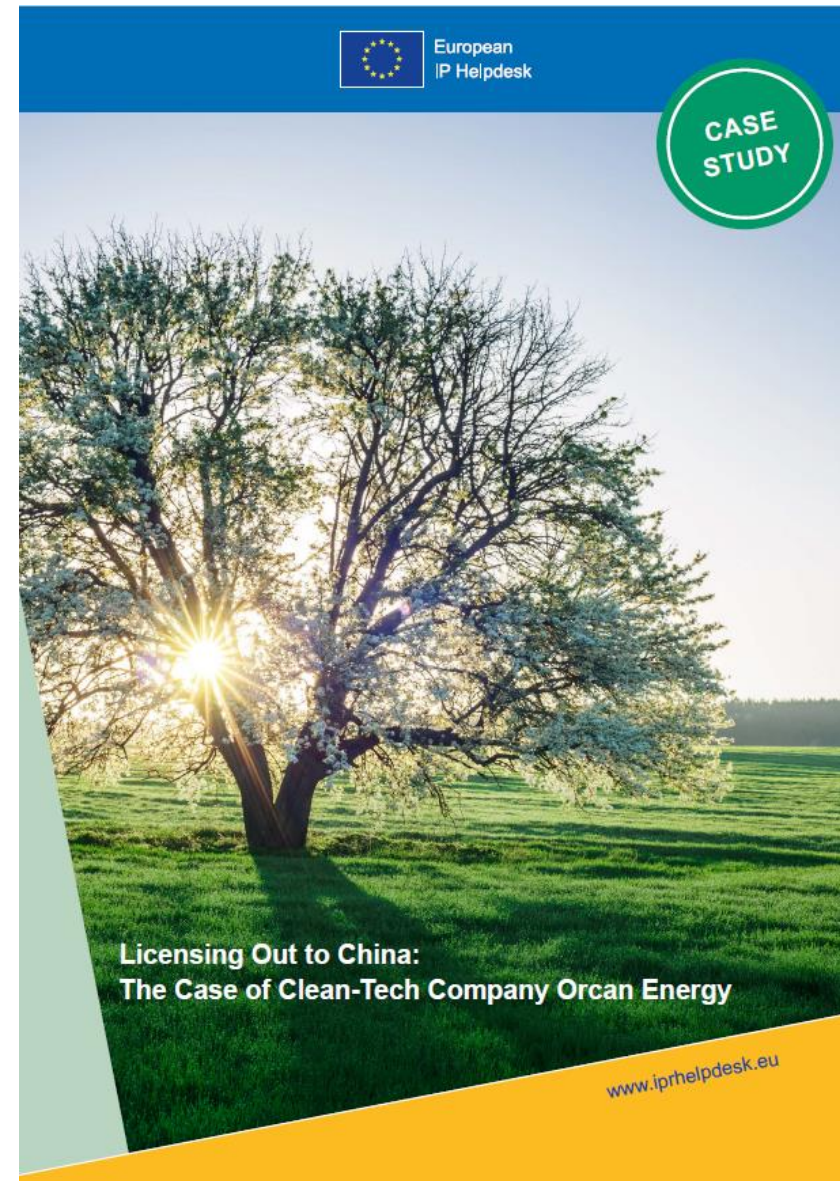
Orcan Energy's compact ORC module offers up to 25 kW of electrical power. Stacks of two or more modules can be used where needed, depending on the customer's waste energy output.

Case study II:
Orcan Energy

http://iprhelpdesk.eu/news/case
-study-orcan-energy

https://intellectual-property-
helpdesk.ec.europa.eu/regional-
helpdesks/european-ip-
helpdesk/europe-case-
studies_en

European
IP Helpdesk

CASE
STUDY

Licensing Out to China:
The Case of Clean-Tech Company Orcan Energy

www.iprhelpdesk.eu

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Contact us!

- www.ec.europa.eu/ip-helpdesk

- service@iprhelpdesk.eu

- Twitter @iprhelpdesk

- LinkedIn /european-ipr-helpdesk

Thank You!

DISCLAIMER

The European IP Helpdesk provides free-of-charge first-line support on IP-related issues aiming to help current and potential beneficiaries of EU-funded projects, as well as EU SMEs, manage their Intellectual Property assets.

The European IP Helpdesk is managed by the European Commission's European Innovation Council and SMEs Executive Agency (EISMEA), with policy guidance provided by the European Commission's Directorate-General for Internal Market, Industry, Entrepreneurship and SMEs (DG Grow).

The information provided by the European IP Helpdesk is not of a legal or advisory nature and no responsibility is accepted for the results of any actions made on its basis. Moreover, it cannot be considered as the official position of EISMEA or the European Commission. Neither EISMEA nor the European Commission nor any person acting on behalf of EISMEA or of the European Commission is responsible for the use which might be made of this information.

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