eServices Europa Annual Event

ICT PSP NCPs workshop
Call 4 Info Day

Oeiras (Lisboa), Portugal, 26th - 27th November 2009
Intellectual Property in ICT PSP projects

Stéphane Beslier
IPR Helpdesk – Legal Team
University of Alicante
Outline

• Introduction

• ICT PSP rules
  (Annex II - General conditions of the grant agreement)

• Consortium agreement
  (Specific rules adopted by the project participants)

• IPR-Helpdesk support services
Outline

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Introduction


- The applicable rules are in principle laid down in the **relevant annual work programme**.

Moreover, IP provisions applicable to your CIP project are mainly stated in the relevant **grant agreement model**.

- Finally, information should be sought in the specific documentation related to each **call for proposals**.
THE COMPETITIVENESS AND INNOVATION FRAMEWORK PROGRAMME (CIP)

What is the CIP?

The Competitiveness and Innovation Framework Programme (CIP) aims to encourage the competitiveness of European enterprises. With small and medium-sized enterprises (SMEs) as its main target, the programme supports innovation activities (including eco-innovation), provides better access to finance and delivers business support services in the regions. It encourages a better take-up and use of information and communications technologies (ICT) and helps to develop the information society. It also promotes the increased use of renewable energies and energy efficiency.

With a total budget of €3621 million the programme runs from 2007 to 2013.

The CIP is divided into three programmes:

1. Entrepreneurship and Innovation Programme (EIP)
   - Better access to finance for SMEs through venture capital investment and loan guarantee instruments
   - Business and innovation support services delivered through a network of regional centres
   - Promotion of entrepreneurship and innovation
   - Support for eco-innovation
   - Support for policy-making that encourages entrepreneurship and innovation

2. Information Communication Technologies Policy support Programme (ICT PSP)
   - Developing a single European information space
   - Strengthening the European internal market for ICT and ICT-based products and services
   - Encouraging innovation through the wider adoption of and investment in ICT
   - Developing an inclusive information society and more efficient and effective services in areas of public interest
   - Improving of quality of life

3. Intelligent Energy Europe (EE)
   - Fostering energy efficiency and the rational use of energy sources
   - Promoting new and renewable energy sources and energy diversification
   - Promoting energy efficiency and new energy sources in transport
WORK PROGRAMMES AND SUPPORT MEASURES

2009
- Entrepreneurship and Innovation Programme (EIP): Work programme (last update: 2 October 2009) and support measures
- ICT-PSP: Work programme
- Intelligent Energy Europe Programme (EE): Work programme

2008
- Entrepreneurship and Innovation Programme (EIP): Work programme and support measures (last update: 12 December 2008)
- ICT-PSP: Work programme
- Intelligent Energy Europe Programme (EE): Work programme

2007
- Entrepreneurship and Innovation Programme (EIP): Work programme and support measures
- ICT-PSP: Work programme
- Intelligent Energy Europe Programme (EE): Work programme

IMPLEMENTATION REPORTS

2008
- Competitiveness and Innovation Framework Programme (CIP): Implementation report
- Entrepreneurship and Innovation Programme (EIP): Implementation report

2007
- Competitiveness and Innovation Framework Programme (CIP): Implementation report
- Entrepreneurship and Innovation Programme (EIP): Implementation report
# Grant Agreement Preparations

**Page Updated:** 23/10/2009

### General

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<td>Negotiation Guidance Notes – Best Practice Networks</td>
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- Browse our [Call for Proposals](http://ec.europa.eu/information_society/activities/ict_psp/participating/grant_agreement/index_en.htm) page to find information on calls.

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<tr>
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<td>Model Grant Agreement v2 For Call 2009 onwards</td>
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### Assistance

- Browse our [Frequently Asked Questions](http://ec.europa.eu/information_society/activities/ict_psp/participating/grant_agreement/index_en.htm).
- Contact your National Contact Point first, then ICT PSP Helpdesk (see [Contacts](http://ec.europa.eu/information_society/activities/ict_psp/participating/grant_agreement/index_en.htm) page).
- Look at the NEF user’s guide for preparing your Grant Agreement Preparation Forms (GPs).
Outline

• Introduction

• ICT PSP rules
  (Annex II - General conditions of the grant agreement)

• Consortium agreement
  (specific rules adopted by the participants for a project)

• IPR-Helpdesk support services
IP related issues

• Under which conditions can the participants exchange their knowledge?
   Access rights
   Confidentiality

• Who owns the results generated under the project?
   Ownership
   Joint ownership

• How to exploit the results?
   Protection
   Use and Dissemination
ICT PSP Grant Agreement v2 (for projects from call 2009 onwards)  

10/07/2009

COMMISSION OF THE EUROPEAN COMMUNITIES
DIRECTORATE-GENERAL INFORMATION SOCIETY AND MEDIA

[title of the project]

Grant Agreement No

ICT PSP GRANT AGREEMENT

Version 2, 10/07/2009
ANNEX II

GENERAL CONDITIONS

PART A: IMPLEMENTATION OF THE PROJECT

Article II.1 - Definitions
Article II.2 - Organisation of the consortium and role of the coordinator
Article II.3 - Specific performance obligations of each beneficiary
Article II.4 - Project reports, deliverables and certificates on financial statements
Article II.5 - Approval of reports and deliverables, time-limit for payments
Article II.6 - Subcontracts
Article II.7 - Assignment
Article II.8 - Suspension of the project
Article II.9 - Amendments
Article II.10 - Termination of the grant agreement or of the participation of a beneficiary
Article II.11 - Financial and other consequences of termination

PART B: RULES RELATING TO INTELLECTUAL AND INDUSTRIAL PROPERTY, PUBLICITY AND CONFIDENTIALITY

Article II.12 - Ownership of foreground
Article II.13 - Protection of foreground
Article II.14 - Use and dissemination of foreground
Article II.15 - Access rights to foreground
Definitions

- **Access rights**: licences and user rights to foreground.

- **Foreground**: the results, including information, generated in the course of the project, whether or not they can be protected. Such results include rights related to copyright, design rights, patent rights, plant variety rights, or similar forms of protection.

- **Dissemination**: the disclosure of foreground by any appropriate means other than that resulting from the formalities for protecting it, including the publication of foreground in any medium.

- **Beneficiary (participant)**: a legal entity which participates in this grant agreement concluded with the Community.
ICT PSP Rules

• Ownership/joint ownership of foreground:
  Each participant is the owner of the results it generates during the project.

If foreground is generated in common and respective parts of the participants cannot be determined: joint ownership.
Participants must conclude a joint ownership agreement to deal with allocation and exercise of the joint ownership.

Personnel rights to be taken into consideration.
ICT PSP Rules

• **Protection of foreground:**
  When the foreground can be industrially or commercially applied, its owner shall protect it, taking into account the legitimate interests of the participants.

  *This may be done by means of **IP rights** (e.g. copyright, patent) and may imply that the participants themselves or third parties are subject to certain confidentiality obligations until the protection is effective.*
IP rights basics

**Intellectual property** (copyright and related rights) and **industrial property** (patents, trade marks, designs etc ..):

• Ideas as such are not protected.

• IP rights are territorial rights.

• Legal protection is generally granted for a limited period in time.
IP rights basics

- Inventions (patents and utility models)
- Appearance of a product (industrial designs)
- Distinctive signs for goods/services (trade marks)
- Written/audio-visual works, computer programs, etc. (copyright and related rights)
- Know-how, commercial information, etc. (trade secrets)
ICT PSP Rules

• **Use and dissemination of foreground:**
  The participants shall use the foreground, or ensure that it is used.
  
  *No definition of use.*

  The participants shall also disseminate the foreground as swiftly as possible by any means.
  *(publication of a patent application is not considered as a dissemination).*

  Dissemination activities shall be compatible with IP protection, confidentiality obligations and the legitimate interests of the owner(s) of the foreground.
ICT PSP Rules

• **Access rights to foreground:**
  Access rights to foreground between participants shall be granted when needed for the execution of the project and/or the use of foreground (on a royalty-free basis unless the interested participants agree otherwise) (request can be made up to one year after the end of the project unless participants agree on a different time limit).

*No definition of background, no rules on related access rights.*
ICT PSP Rules

• **Confidentiality (article II.19):**

  The participants shall preserve the confidentiality of any data, documents or other material that is identified as confidential in relation to the execution of the project (“confidential information”).

  The participants shall use the confidential information only in relation to the execution of the project, unless otherwise agreed with the disclosing party.
ICT PSP Rules

• **Special accessibility conditions (article 8):** Foreground needed for cross-border interoperability (common specifications and common building blocks for interoperability) established under the project shall be publicly available, accessible and usable free of charge.
Conclusion

• ICT PSP rules **on may need to be supplemented in the** consortium agreement **and/or other project related contracts**, in light of the specificities of the project and the needs of the participants.
Other project related contracts

<table>
<thead>
<tr>
<th>Negotiation and proposal preparation</th>
<th>Project implementation</th>
<th>Exploitation of results</th>
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<tbody>
<tr>
<td>• MoU</td>
<td>• access rights</td>
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<tr>
<td>• NDA</td>
<td>• joint ownership agreements</td>
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<td>• consortium agreement</td>
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grant agreement
Outline

• IP rights basics

• ICT PSP rules
  (general conditions of the grant agreement)

• **Consortium agreement**
  (specific rules adopted by the participants for a project )

• Helpdesk support services
Grant agreement

Public funding contract concluded between the participants and the European Commission largely based on standard provisions.

- Core agreement
- Annex I (Description of Work and Budget breakdown)
- Annex II (General conditions)
- Annex III (Accessions)
- Annex IV (New accessions)

Consortium agreement

Private contract concluded between the participants to specify or supplement the provisions of the grant agreement.

- Preliminary clauses
- Central clauses (governance, financial provisions, IPR)
- Final clauses
Consortium agreement

• Is it mandatory to sign one?
  **YES**, where provided for in the grant agreement the participants shall make appropriate internal arrangements in the form of a written consortium agreement. (For Pilot Type A projects always required, for Pilot Type B projects very useful).

• When to sign it?
  **Deemed** to be concluded **before** accessing the grant agreement
  Best: as early as possible.

• Is there a specific CIP consortium agreement model?
  **NO**, however, for CIP ICT PSP, the European Commission provides a checklist of topics which may be included in a consortium agreement.
Preliminary clauses

- **Preamble:** may provide basic information about the context of the project (e.g. the legal basis, the reference of the relevant call, the name of the project, the reference of the related grant agreement).

- **Parties:** the beneficiaries of the EC grant will identify themselves (i.e. the signatories of the contract).

- **Definitions:** not advisable to repeat, or modify, the definitions of the grant agreement, but inclusion of additional definitions where appropriate (e.g. ‘background’, ‘use’) is advisable.

- **Technical provisions:** e.g. responsibility and liability.
Central clauses

- **Clauses setting up the internal organisation of the consortium:**
  Depending on the number of participants and the size of the projects, a number of bodies, with defined competences, may be set up.

- **Clauses setting up the management procedures for the project:**
  Representation in the meeting, schedule of meetings, voting procedures, etc.

- **Financial provisions:**
  Details on how to manage the consortium budget (e.g. role of the coordinator, management of the Community grant, financial contribution by the participants themselves).
IP related clauses

• **Background:**
  Where appropriate, the participants should define/identify all the preexisting information, including IP rights, necessary for the project.

  (‘**Background**’: e.g. information and IP rights (granted or applied) possessed by the participants before the starting of the project and which are necessary for project execution or exploitation purposes.)

  If making use of **third parties’ rights**, the participants should verify that any necessary authorisations are obtained in due time.

  The participants may agree on the **conditions** to exchange background (access rights) among themselves.
The consortium agreement may be used to define which information/IPR are available: e.g. an attachment listing the background available to the project (positive list) and/or a list of excluded background (negative list).
Access rights

The participants may consider and agree on conditions related to access rights for background or leave it for the interested participants to discuss on a bilateral basis. They may also include specific conditions in relation to third parties and/or additional access rights.
IP related clauses

- **Ownership/joint ownership of foreground:**
  Participants may adapt the ownership regime(s).

  The consortium agreement may be used to deal with ownership/joint ownership issues or to give the basis for specific agreements (e.g. joint ownership agreements).

  No default regime in the ICT PSP grant agreement in the absence of a joint ownership agreement.
IP related clauses

• **Use of foreground:**

  The participants may detail how to implement this obligation in the consortium agreement in relation to different manners of using the foreground at stake.

  (e.g. use for commercial applications, use for internal research and the possible implications for example in relation to confidentiality).

  (They may agree on a non royalty-free condition for access rights to foreground).

  They may include a definition in the consortium agreement.

  (‘use’: e.g. direct or indirect utilisation of foreground in further research or economic activities).
IP related clauses

- **Dissemination of foreground:**
  The ICT PSP grant agreement contains a default procedure to facilitate coherent dissemination:
  45-day prior notice among participants before any dissemination right to object within 30 days if legitimate interest at stake.

  The consortium agreement may be used to adapt this procedure to the specific needs of the participants (e.g. different time limits or waive the prior notice).
Final clauses

- **Entry into force, duration and termination**: the date on which the consortium agreement enters into force, as well as its duration and reasons for early termination.

- **Applicable law**: up to the participants.

- **Settlement of disputes**: provisions on the competent jurisdiction and/or alternative dispute resolution mechanism to solve conflicts.

- **Confidentiality**: provision to ensure smooth and safe exchange of sensitive information (using an appropriate classification, e.g. public, restricted, confidential).

- **Amendments**: mechanism to enable to modify the consortium agreement (usually by common agreement of all participants).
Please note

• ICT PSP rules can be supplemented provided that the consortium agreement remains consistent with the grant agreement.

• Consortium agreement models available for other EU funded programmes (e.g. FP7) can be used, provided that they are closely adapted to the specificities of the project and the needs of the participants.
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• IPR-Helpdesk support services
First line assistance on IP related issues
IPR-Helpdesk and InnovAccess have joined their efforts to provide assistance in IP matters to SMEs and other stakeholders.

IPR-Helpdesk focuses on the specific IP issues involved in R&D and innovation EU funded projects, and InnovAccess gives you a direct access to national resources and general IP issues.

This integration is an ideal occasion to rationalise our services to better fit to your demand.

We hope to meet your expectations!

IPR-Helpdesk and InnovAccess are a constituent part of the IP Awareness and Enforcement: Modular Based Actions for SMEs project (PeuropAware) which is financed by the CIP Programme, DG Enterprise and Industry of the European Commission.
How can I manage the IP issues for the success of my EU project?

Select a programme above to continue.

HIGHLIGHTS

NEWS
OHIM SMEs in action
The Trade Marks and Designs Registration Agency of the European Union is publishing SME success stories on its website. READ MORE...

GUIDE
How to manage Intellectual Property under FP7 - A practical guide for SMEs
The IPR-Helpdesk is pleased to offer you a new brief guide summarising the key aspects of intellectual property management in FP7 projects from the proposal stage to implementing the project and using its results. READ MORE...

EVENT
Public mini-hearing on the Research Framework Programme in the European Parliament
The Committee of Industry, Research and Energy is organising a public hearing on implementation and simplification of FP7 to be held in Brussels (Belgium) on 10th November 2009. READ MORE...

NEWS
Digital Single Market for Creative Content Online
The European Commission is opening a public consultation to examine the opportunities and challenges on a European market for digital creative content. Deadline for comments is 5th January 2010. READ MORE...
How can I manage the IP related issues in a EU project?

COMPETITIVENESS AND INNOVATION FRAMEWORK PROGRAMME

In the sections below you will find relevant information about the CIP-IP related rules. By clicking on each section you will access to specific documents and other resources dealing with the basic questions on IP management in CIP projects.

Select a section below or a different programme on the left menu to continue.

CIP Sections

- General issues ➔ IP management in CIP funded projects
- Legislation ➔ Grant agreement
How can I manage the IP related issues in a EU project?

**CIP:: IP management in CIP funded projects**

Approaching IP issues in CIP projects – Summary Fiche

1. Preliminary notes

Under the Competitiveness and Innovation Framework Programme (CIP), there are no horizontal rules for participation or a common grant agreement model for the three operational sub-programmes (i.e. the Entrepreneurship and Innovation Programme (CIP), which includes the Eco-Innovation actions, the Information Communication Technologies Policy Support Programme (ICT PSP) and Intelligent Energy - Europe (IEE)).

Potential participants in CIP projects should check the applicable rules in the relevant documentation of the call under which they wish to submit their project proposal.

Generally speaking, the CIP provisions on intellectual property (IP) are not very detailed compared to the rules under the Seventh Framework Programme for research, technological development and demonstration activities (FP7). Therefore, it is essential that potential participants carefully prepare any related issues.

2. How to approach IP matters before starting a CIP project - background

The project proposers should identify all the information, including IP rights, that they own and/or hold before the project starts and which may be necessary for the project, generally known as ‘background’. When making use of third parties’ rights, the participants should verify that any necessary authorisations are obtained in due time.

On this basis, the participants will define which information is going to be available for the project objectives and, if they are to exchange information among themselves, agree on the conditions of use during and after the project by means of licences or user rights, including economic conditions if appropriate. Participants may also negotiate and conclude other multilateral agreements, as provider(s)/recipient(s) of information, such as confidentiality agreements, if need be.

Finally, it should be noted that allowing use of prior IP-related resources does not mean transfer of ownership.
How can I manage the IP related issues in a EU project?

**CIP**: IP management in CIP funded projects

**IP rules in ICT PSP projects**

1. Preliminary notes
2. IP rules
   2.1 Definitions
   2.2 Ownership of results and transfer of ownership
   2.3 Protection of foreground and confidentiality
   2.4 Access rights and accessibility
   2.5 Use and dissemination
   2.6 Final remarks
3. Useful links

Last updated July 2009

1. Preliminary notes

The Information and Communication Technologies Policy Support Programme (ICT PSP), a sub-programme of the Competitiveness and innovation Framework Programme (CIP), is a major funding scheme in the area of Information Society. ICT PSP aims to promote the development and implementation of ICT-based solutions and their use by citizens, governments and businesses, particularly SMEs.

The intellectual property (IP)-related rules of the ICT PSP grant agreement are briefly presented hereafter. Project proposers should always verify the relevant documentation and the grant agreement model for the call they deal with.

2. IP rules

2.1 Definitions

The ICT PSP grant agreement includes the following IP-related definitions:

Access rights: licences and user rights to foreground.

Dissemination: the disclosure of foreground by any appropriate means other than that resulting from the formalities for protecting it, including the publication of foreground in any medium.
1. LEGAL RESOURCES RELATED TO IP, R&D AND INNOVATION

- OHIM. The Trade Marks and Design Registration Office of the EU
  - Legal aspects related to the Community Design (including case law)
  - Legal aspects related to the Community Trade Mark (including case law)

- CPVO. Legal aspects related to the Community Plant Variety Rights

- EPO. Legal texts (European Patent Convention, Regulations, guidelines, case law, etc.)

- WIPO. International Treaties

- Summary fiches on EU Intellectual Property law

2. OFFICIAL INSTITUTIONS AND AUTHORITIES RELATED TO IP, R&D AND INNOVATION

- European Commission
  - Enterprise and Industry. Competitiveness and Innovation framework programme (CIP)
  - Enterprise and Industry. Portal for SMEs
  - Research: FP7
  - Research Enquiry Service (a helpline on aspects of the EU research in general and the EU Research Framework Programmes in particular)
  - Investing in European Research portal (intellectual property and technology transfer)

- CORDIS
  - Community Research and Development Information Service (home page)
  - FP7 Model grant agreement
  - FP7 National Contact Points (NCPs) in Member States and Associated States
  - FP7 Contacts in third countries

- EPO
  - European Patent Office (home page)
  - SMEs case studies
  - Find a professional representative (free database of European patent attorneys)

- WIPO
  - World Intellectual Property Organization (home page)
  - SMEs portal
  - Worldwide Academy (a centre of excellence in teaching, training and research in IP)
  - Information on membership, national IP legislation, contact details of IP Offices
  - OECD
You have an idea

... but you don’t know how to turn that idea into profit-marketing assets for your SME

WHY
Why is intellectual property relevant for you?

HOW
How can you protect your creation?

COST
How much does it cost to get Intellectual Property rights?

Protect your creation in Europe

Information provided by National Patent and Trade Mark Offices, EPO, and OHIM

- Austria
- Belgium
- Bulgaria
- Cyprus
- Czech Republic
- Denmark
- Estonia
- Finland
- France
- Germany
- Greece
- Hungary
- Ireland
- Italy
- Latvia
- Lithuania
- Luxembourg
- Malta
- The Netherlands
- Poland
- Portugal
- Romania
- Slovak Republic
- Slovenia
- Spain
- Sweden
- Turkey
- United Kingdom
- EPO
- OHIM
- WIPO

EVENTS

- IPinno seminar for IP trainers
  Vienna (Austria)
  23-25 September 2009

- IPinno seminar for IP trainers
  Munich (Germany)
  26-27 October 2009

ENFORCEMENT

Best Practices for SMEs

Case studies
Enforcement Support Measures
Full report
Read more...

Your gateway to IP within EU funded projects

IPR Helpdesk
1. LEGAL RESOURCES RELATED TO IP, R&D AND INNOVATION

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  - SMEs portal
  - Worldwide Academy (a centre of excellence in teaching, training and research in IP)
  - Information on membership, national IP legislation, contact details of IP Offices
- OECD
Thank you for your attention

www.ipr-helpdesk.org
ipr-helpdesk@ua.es