



eServices Europa Annual Event

ICT PSP NCPs workshop

Call 4 Info Day



Oeiras (Lisboa), Portugal, 26th - 27th November 2009





IPR-Helpdesk is a constituent part of the "IP Awareness and Enforcement: Modular Based Actions for SMEs (IPeuropAware)" project which is financed by the CIP Programme, DG Enterprise and Industry of the European Commission





Intellectual Property in ICT PSP projects

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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





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Introduction

- The CIP legal base is Decision No 1639/2006/EC on the Competitiveness and Innovation Framework Programme (Official Journal, L 310, 9.11.2006, p. 15).
- 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**.



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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



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

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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

Find

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- 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

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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.



 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.



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





• 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.





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.





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.



 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

Negotiation and proposal preparation	Project implementation	Exploitation of results		
 MoU NDA consortium agreement 	 access rights joint ownership agreements 	licensingassignment		
arent egreenet				

grant agreement





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Grant agreement





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

- 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 <u>to specify or supplement</u> 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. responsability 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).



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 B Б В B B R R

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.



• **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.



• 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).



• 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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First line assistance on IP related issues









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Thank you for your attention www.ipr-helpdesk.org ipr-helpdesk@ua.es





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