





Innovation management in Horizon Europe

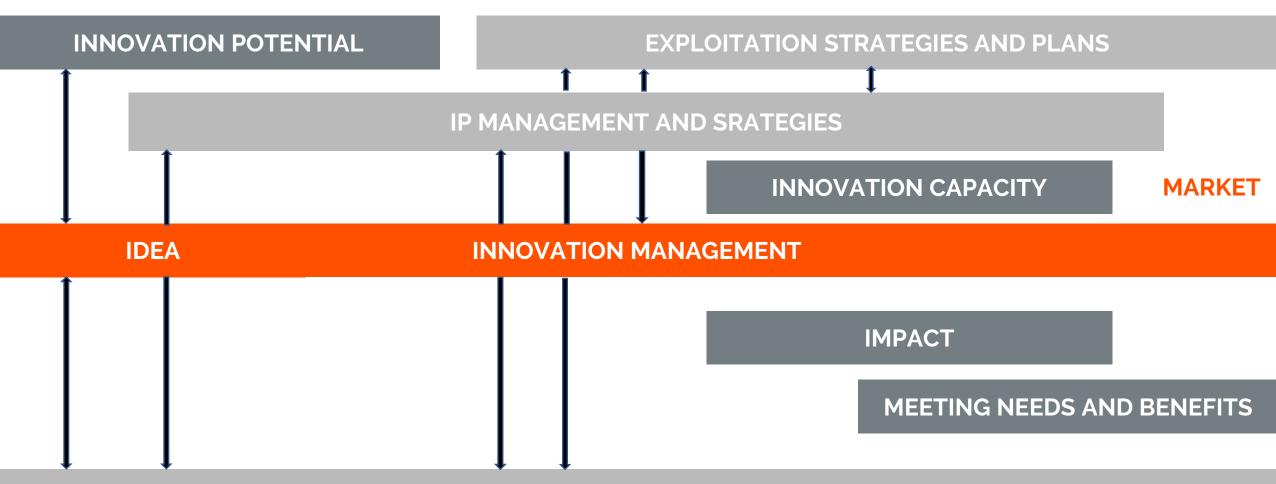
Krisztina Toth

Managing Director, Europa Media Innovations EMG Group

European Funding Academy Horizon Europe Project Management 20-21 October 2022 Brussels



Innovation management

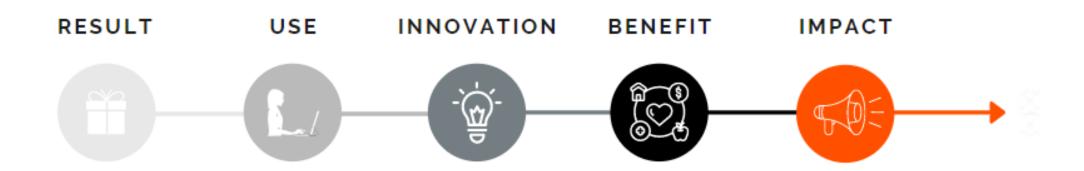


IDENTIFYING MARKET OPPORTUNITIES, MONITORING MARKETS, TECHNOLOGIES AND IPR



Exploitation and innovationFrom idea to market

- Focus on impact and innovation > producing research results
- Consortium must plan to use the results to make innovations
- Innovations need to address the call challenges and contribute to the related impact
- Innovation and impact must be managed in all stages of the project based on how it was addressed in the proposal





Policies, Guidelines, Recommendations Useful reading

2022/0233 (NLE)

Proposal for a

COUNCIL RECOMMENDATION

on the guiding principles for knowledge valorisation

THE COUNCIL OF THE EUROPEAN UNION.

Having regard to the Treaty on the Functioning of the European Union, and in particular the first and second sentences of Article 292.

Having regard to the proposal from the European Commission,

Whereas:

- (1) On 10 April 2008, the Commission adopted a Recommendation on the management of intellectual property (IP) in knowledge transfer activities and Code of Practice for universities and other public research organisations²⁰. The Council welcomed and supported the Recommendation and the Code of Practice in its Resolution of 30 May 2008²¹. Together the Recommendation and the Code of Practice gave impetus to many publicly funded knowledge producers. Some Member States have made strategic investments in knowledge transfer infrastructures and services such as technology transfer offices and other intermediaries; and some have implemented IP-specific policies, such as the National IP Protocol in Ireland. Further activities promoting knowledge transfer at EU level have been developed as part of the Innovation Union (2010)²².
- (2) The Council Conclusions on Accelerating knowledge circulation in the EU, adopted on 29 May 2018²³, consider that the EU needs to make full use of the relevant scientific and technological knowledge it produces and ensure a more effective transfer of R&I project results to society and industry in order to maximise the impact of R&I investment. It also invites Member States to examine and share best knowledge transfer practices, and calls on the Commission to develop and implement a strategy for the dissemination and practical application of results to further increase the availability and use of R&I project results and accelerate their potential uptake.
- (3) The Commission Communication 'A New ERA for Research and Innovation', adopted on 30 September 2020²⁴, includes strengthening innovation ecosystems for knowledge circulation and valorisation as one of the key objectives of the new ERA and an action to 'Update and develop guiding principles for knowledge valorisation and a code of practice for the smart use of IP'.

European Commission - Press release





New approach to enable global leadership of EU standards promoting values and a resilient, green and digital Single Market

Brussels, 2 February 2022

Today, the Commission is presenting a new <u>Standardisation Strategy</u> outlining our approach to standards within the Single Market as well as globally. The Strategy is accompanied by a <u>proposal</u> for an amendment to the Regulation on standardisation, a <u>report</u> on its implementation, and the <u>2022 annual Union work programme for European standardisation</u>. This new Strategy aims to strengthen the EU's global competitiveness, to enable a resilient, green and digital economy and to enshrine democratic values in technology applications.

Standards are the silent foundation of the EU Single Market and global competitiveness. They help manufacturers ensure the interoperability of products and services, reduce costs, improve safety and foster innovation. Standards are an invisible but fundamental part of our daily life: from Wi-Fi frequencies, to connected toys or ski bindings, just to mention a few. Standards give confidence that a product or a service is fit for purpose, is safe and will not harm people or the environment. Compliance with harmonised standards guarantees that products are in line with EU law.

The fast pace of innovation, our green and digital ambitions and the implications of technological standards for our EU democratic values require an increasingly strategic approach to standardisation. The EU's ambitions towards a climate neutral, resilient and circular economy cannot be delivered without European standards. Having a strong global footprint in standardisation activities and leading the work in key international fora and institutions will be essential for the EU to remain a global standard-setter. By setting global standards, the EU exports its values while providing EU companies with an important first-mover advantage.

Executive Vice-President for a Europe Fit for the Digital Age, Margrethe **Vestager**, said: "Ensuring that data is protected in artificial intelligence or ensuring that mobile devices are secure from hacking, rely on standards and must be in line with EU democratic values. In the same way, we need standards for the roll-out of important investment projects, like hydrogen or batteries, and to valorise innovation investment by providing EU companies with an important first-mover advantage."

Commissioner for the Internal Market, Thierry **Breton**, said: "Technical standards are of strategic importance. Europe's technological sovereignty, ability to reduce dependencies and protection of EU values will rely on our ability to be a global standard-setter. With today's Strategy, we are crystalclear on our standardisation priorities and create the conditions for European standards to become global benchmarks. We take action to preserve the integrity of the European standardisation process, putting European SMEs and the European interest at the centre".

The Strategy presented today proposes five key sets of actions:

1. Anticipate, prioritise and address standardisation needs in strategic areas: we need

C(2008) 1329.

Council Resolution on the management of intellectual property in knowledge transfer activities and on a Code of Practice for universities and other public research organisations, 10323/08.

²² COM(2010) 546 final.

²³ Council document 9507/18.



Contractual obligationsGood to understand!

Rules for Participation

- Article 39: Exploitation and Dissemination
- Article 40: Transfer and Licensing
- Article 41: Access Rights

Horizon Europe Model Grant Agreement

- Article 16: Intellectual Property Rights (IPR) Background and Results – Access Rights and Rights of Use
- Article 17: Communication, Dissemination & Visibility
- Annex 5 "Specific Rules"

Remember - Pathway to Impact

"Logical steps towards the achievement of the expected impacts of the project over time, in particular beyond the duration of a project. A pathway begins with the projects' results, to their dissemination, exploitation and communication, contributing to the expected outcomes in the work programme topic, and ultimately to the wider scientific, economic and societal impacts of the work programme destination."





Dissemination and exploitationWhat's new in Horizon Europe?



D&E + Key Impact
Pathways to demonstrate
the contribution to the
impact on society

Improvement on proposal/reporting templates for more D&E specific language

Emphasis on D&E in continuous reporting (even after the end of the project)

Encouragement of third-party exploitation (where relevant) Introduction of incentives and tools for exploitation

6 pillars of IP Management in Horizon Europe

1. IP used

This refers to the **IP needed implement the project**. It includes the pre-existing knowledge and IP of the partners as well as 3rd party IP which is needed.

2. IP created

The project results - knowledge and IP. There needs to be a system in place to capture these results, agree on the ownership and relative contributions, who will manage then and how?

3. IP assessment and evaluation

The results should be assessed with regards to readiness (e.g. complete and validated) and possible use for commercial or industrial applications. If there are commercial applications, then considerations should be given to prior art and freedom to operate analysis and strategies for protection and exploitation.



6 pillars of IP Management in Horizon Europe

4. IP protection

If protection is useful to support commercial exploitation, then this should be put in place. The cost of the protections are eligible costs (foreseen in Annex 1) in Horizon projects. Protection may include formal legal rights (IP rights) as applicable to the IP (e.g. patent, copyright, database rights, design rights), trade secrets, or trademarks to support brands. It is important to ensure that commercial benefits outweigh the investments in managing, protecting and exploiting the results; and for jointly owned IP, the distribution of any potential returns reflects the contributor's relative contributions.

5. IP Dissemination and Exploitation

Once decisions are made about the **IP protection and the exploitation strategy**, the process to tell the right people about the results can start, and exploitation can begin. This would **include transfer of necessary IP** to one partner to another under agreed terms an conditions, including the cost and revenue sharing.

6. IP Post project management

Whilst the project will end, the **D&E** of the results continue. It is important therefore, that the **IP** management system continue after the end of the project, in order to e.g. maintain the protection, manage any agreements related to the **IP** (e.g. licences) and manage cost and revenue sharing.





Capture the results (step 2)

How to...

IP Note

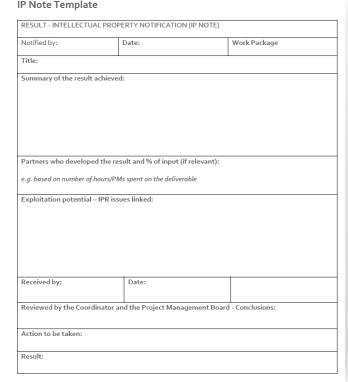
- Whenever a new result is developed, the author will have to fill out an IP Note and send it to the coordinator
- Will support the body/partner in charge (e.g. Steering Committee, Exploitation Manager) to decide on the need for protection

Invention Disclosure Form

- Description of the invention including the list of research sponsors and any supporting document/background
- (!) this document is confidential

Review deliverables and reports

One-to-one sessions with beneficiaries





Invention Disclosure Form

TITLE OF INVENTION

INVENTOR(S)

s(s) that she/ he is the author(s) of the invention fully described below, and

	antial contribution to the invention)								
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		PERSONAL	DETAILS OF THE	INVENTOR(S)					
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none									

Assess and evaluate the IP (step 3) Technology and market assessment

Assessment of foreground IP

- Prior search for patentability
- Search in patents (Espacenet; European Patent Register Alert)
- Search for trademarks and design (EUIPO eSearch Plus)
- Search in standards (CEN-CENELEC)

Market analysis

- Technical reports
- Company websites, annual reports (incl. financial)
- Market reports
- Industry partners

Competitor/technology analysis

- Market size, segmentation, growth potential
- Market share, competitors' current and future plans
- Other technical solutions
- Potential barriers and obstacles



IPR matrix

How to monitor the evolution of your IP

- Background IP know-how/knowledge/data held by beneficiaries and brought to the project
 - ⇒ attached to generated project assets to help determine access rights, ownership issues and IPR
- Foreground IP results/info generated under the project
 - ⇒ to create a concrete mapping of project results and enhance the IP portfolio
- Exploitable result outcome of project that can be commercialized/exploited as a standalone result
 - ⇒ based on the FG, ID the exploitable assets + IPR management procedures (protection, access rights., exploitation plans...)

WHY?

 To help the coordinator to properly report continuously these elements





Obligation to protect (step 4)Your results

Each participant must examine the possibility of protecting its results and must adequately protect them — for an appropriate period and with appropriate territorial coverage — if:

(a) the results can reasonably be expected to be commercially or industrially exploited and

(b) protecting them is possible, reasonable and justified (given the circumstances).

When deciding on protection, the beneficiary must consider its own interests and the interests (especially commercial) of the other beneficiaries.

Protection can be secured by IPR or other means (e.g. trade secret protection).



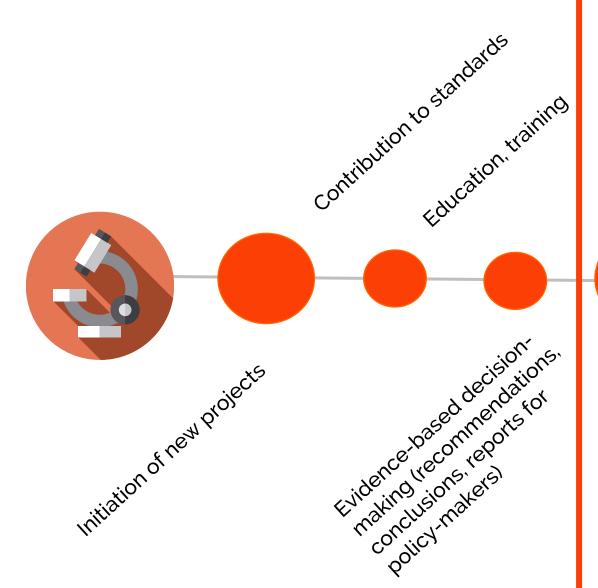


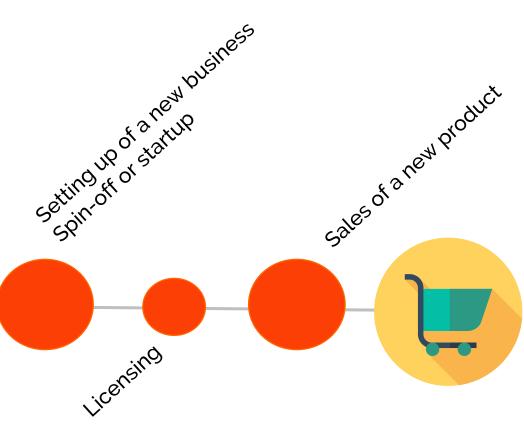
IP Protection One product, many IP protection routes

IP protection	Product type
Patent	Any invention, product or process that offers a new way of doing something or provides a new solution to a problem
Utility model	Minor inventions or minor improvements of existing products
Design	Literary and artistic works: music, books, paintings, computer programmes, databases, etc. Ornamental or aesthetic aspects of a product
Trademark	Any sign capable of distinguishing your goods or services from your competitors'
Copyright	Literary and artistic works: music, books, paintings, computer programmes, databases, etc.
Trade secret	Any information that is not generally known, confers a competitive edge and is subject to reasonable efforts to maintain its secrecy



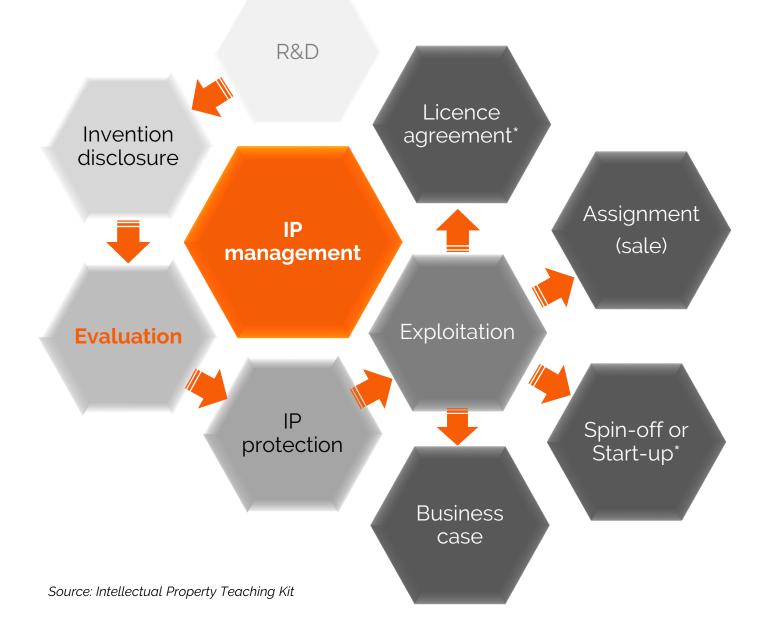
Exploitation of your result







Commercial exploitation routes



Joint Ownership Agreement

- Signed between co-owners of IP
- Ideally during CA preparation or as soon as joint IP is detected
- In order to define in detail the rules governing joint ownership
- Particulars
 - Shares: assignment of shares within the joint ownership
 - IP management: responsibilities for filing and maintaining (including the costs incurred) of the IP rights
 - Protection of rights: obligation imposed on all participants to monitor and report any infringements of the foreground; indication of the partner empowered to conduct legal actions for protection of the foreground
 - Conditions of the use of the foreground: Use in further research; Individual exploitation; Licensing; Transfer
 - Additional clauses: standard contractual matters, i.e. applicable law, jurisdiction or alternative dispute resolution systems





Obligation to exploitYour result

Beneficiaries receiving EU funding must – **up to four years after the end of the action** – use their best efforts to exploit their results directly or to have them exploited indirectly by another entity, in particular through licensing or transfer.

If, despite a beneficiary's best efforts, the results are not exploited within one year after the end of the action, the beneficiaries must (unless otherwise agreed in writing with the granting authority) use the **Horizon Results Platform** to find interested parties to exploit the results.



EC tools to boost your exploitation efforts



Horizon Results Booster

D&E - Business planning - Go to Market

Service 1 – Portfolio Dissemination and Exploitation Strategy (PDES)

Module A: Identification and creation of the portfolio of R&I project results

Application is open to **both individual projects and project groups** (PGs).

Module B: Portfolio Dissemination Plan (design and execution) Application is open **only** to **PGs**. PGs that applied also to PDES-A can be enlarged before starting PDES-B. A portfolio of results has to be provided at the application stage.

Service 1 - Portfolio Dissemination and Exploitation Strategy (PDES)

Module C: Assisting projects to improve their existing exploitation strategy

S

ervices flow

Application is open only to **single projects**.

Upload of exploitation plan is optional. Focus is on 3 Key Exploitable Results (KERs).

Service 2 - Business Plan Development (BPD)

Application is open only to single projects.

Focus is only on 1 KER.

An Exploitation Plan should be available/Draft Business Plan.

Service 3 - Go-To-Market Support (G2M)

6 different support typologies are available.

Some of them are only for individual projects.

Not all support typologies can be selected (max # of EWDs per project).

A (draft) Business Plan should be available. Focus is only on 1 KER.



Horizon IP Scan Helping SMEs valorise IP in R&I projects

- = launched in 2021, a new (pilot) service of the EIC and SME Executive Agency (EISMEA). The service supports European startups and other SMEs involved in EU-funded collaborative research projects to efficiently manage and valorise IP in collaborative R&I efforts
- Builds on an EU-wide network of IP experts providing tailored support and recommendations
- It will be delivered either by a private IP professional (patent or IP attorney) or otherwise qualified IP experts, such as specifically trained staff from a national IP office or an innovation agency
- Three major steps:
 - a preparation phase including a pre-interview
 - a main interview, which is done in an in-person or online meeting
 - provision of an individual report and recommendations
- Who can apply?
 - European start-ups and SMEs that are about to sign a Horizon (2020/Europe) GA or have recently signed one (up to 6 months after signature)
 - SMEs signposted by the Horizon Results Booster (maximum until half of the project duration)
 - SMEs that are referred to Horizon IP Scan by the Enterprise Europe Network in view of a planned cooperation with other entities on a R&I project, up to 6 months after the beginning of a project, but preferably before any agreement is signed



European IP HelpdeskCapacity building & help in managing your IP

- The European IP Helpdesk supports European SMEs and research teams involved in cross-border business and/or EU-funded research activities manage, disseminate and valorise their IP
- Offering a broad range of informative material, a Helpline service for direct IP support as well as onsite and online training, our main goal is to support IP capacity building along the full scale of IP practices: from awareness to strategic use and successful exploitation
- Are you active in other regions such as India, China, Latin America or South- East Asia? Visit the regional IP Helpdesks: https://intellectual-property-helpdesk.ec.europa.eu/regional-helpdesks_en

Helpline

Looking for someone to address with your IP questions?

Training

IP capacity building: webinars and elearning

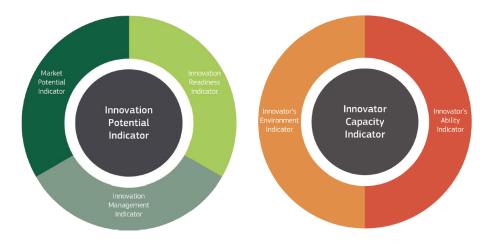
IP resources library

Variety of hands-on, user friendly and easy-to-read publications such as guides, Bulletins, fact sheets or case studies.



Innovation RadarFor cutting-edge EU-funded innovations

- a European Commission initiative to identify high potential innovations and innovators in EU-funded R&I projects
- Builds on the information and data gathered by independent experts involved in reviewing ongoing projects funded by the EU. These experts also provide an independent view regarding the innovations in the projects and their market potential
- Supported by Dealflow.eu which delivers support to high potential innovators identified by Innovation Radar







Innovation Radar For cutting-edge EU-funded innovations

SMART & SUSTAINABLE SOCIETY INNOVATION

Novel chemistries of poly-vinyl ester resins formulations for improving fibre bridging







Market Maturity: Market Ready

These are innovations that are outperforming in innovation management and innovation readiness, and are considered to be "Ready for the market". Learn

Market Creation Potential

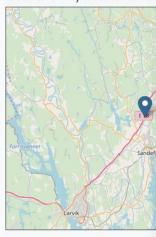
This innovation was assessed by the JRC's Market Creation Potential indicator framework as addressing the needs of existing markets and existing customers, Learn more →

Go to Market needs

Needs that, if addressed, can increase the chances this innovation gets to (or closer to) the market incude:

- · Prepare for Market entry
- Scale-up market opportunities

Location of Key Innovators developing this innovation



Webtools | Leaflet | © OpenStreetMap contributors |

The EU-funded Research Project

This innovation was developed under the Horizon 2020 project DACOMAT with an end date of 31/12/2021

- Read more about this project on CORDIS ->
- Details of this project on the Horizon 2020 dashboard →

Key Innovators

POLYNT COMPOSITES NORWAY AS

SANDEFJORD, NO Large Enterprise

▲1 innovations

Description of Project DACOMAT

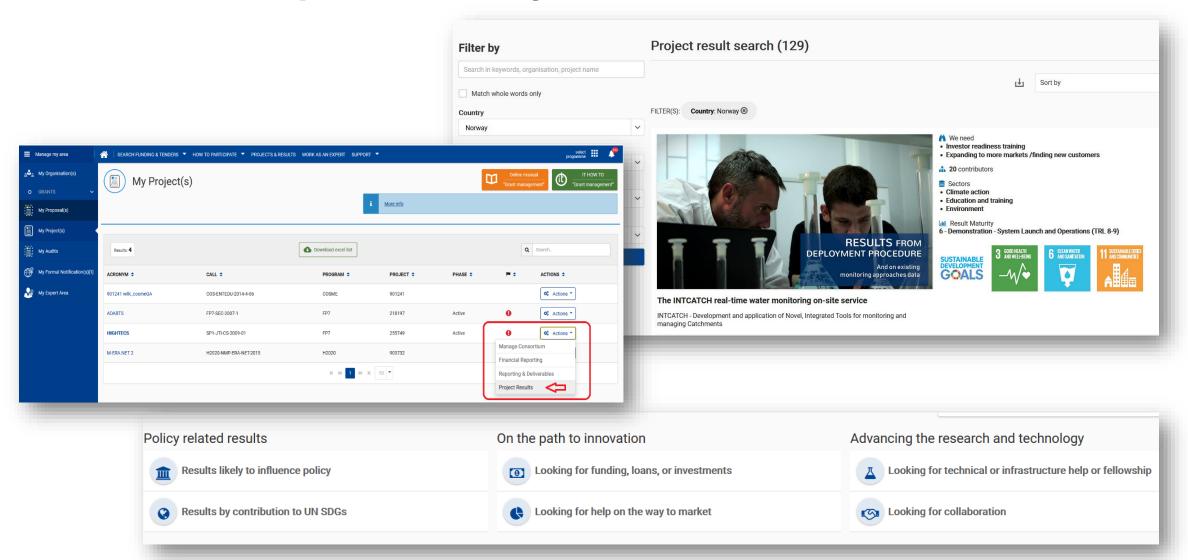
Society is dependent upon the continuous functioning of critical infrastructures such as road bridges and energy supply. These infrastructures are exposed to high loads and harsh environmental conditions through their lifetime in operation and materials failures lead to down time having vast negative effects on productivity and well-being in society in terms of lost time, shortened life cycles and increased service costs. So engineers face the challenge to develop durable materials compatible with industrial standards in an economically viable way. Composites represent attractive materials and are increasingly used for such applications since they demonstrate low weight, high strength and stiffness and high environmental resistance. However composites suffer from sudden brittle failure mainly due to production defects and handling damages; this is currently handled by strict quality and process control from manufacturers, resulting in high production costs which can represent a barrier

to introduction and development of composites in a wide range of applications. The general objective of DACOMAT is to develop more damage tolerant and damage predictable low cost composite materials in particular aimed for used in large load carrying constructions like bridges, buildings, wind-turbine blades and off shore structures. The developed materials and condition monitoring solutions will enable composite structures to be designed and manufactured as large parts allowing for more and larger manufacturing defects and the need for manual inspection to be dramatically reduced. A demonstration of the materials' performances in relevant environment will be conducted in two business cases: wind turbine blades and road bridge beams, while both LCC and LCA analysis will also strengthen the project's credibility. The project gathers the full industrial value chain: ranging from materials development and manufacturing to composite parts demonstrators and standardisation.

Innnovation Radar's analysis of this innovation is based on data collected on 13/03/2021.



Horizon Results Platform Promote the exploitation of your results





EIC Business Acceleration Services & the EIC Community Platform

Under Horizon Europe, the EIC support goes beyond funding, and it aims at accelerating EIC innovations and growth of top deep tech companies. To leverage further EIC investments, as EIC supported researcher, innovator or entrepreneur you will have access to a range of tailor-made EIC Business Acceleration Services.

On the EIC Community Platform you can:

- Access Business Acceleration Services like coaching and matchmaking events
- Explore business opportunities and expand your business network
- Co-create knowledge and self-organise online events and learning opportunities
- Get support from peers and the EIC ecosystem, share experience and start discussions
- Expand networks with EIC ecosystem partners
- Share your experience and get support from peers via horizontal and thematic groups
- · Co-create ideas and knowledge
- Promote interesting other events to the EIC Community

EIC Business Acceleration services:

- **EIC Corporate Programme** bridge the gap between EIC-funded companies and large corporates so they collaborate and develop new business models and opportunities
- **EIC Investor Programme** and e-pitchings are exclusive European pitching and networking events gathering venture capitalists, business angels and other finance partners with the aim to help EIC companies finding their next funding opportunity
- **EIC Innovation Procurement Programme** bring together innovators with procurers to exploit deep tech innovations through early market consultation and thematic procurement scouting activities
- **EIC Community Talks and Trainings** gather together EIC Community members for experience sharing and peer-learning workshops (including for the EIC beneficiaries at an earlier stage of innovation life cycle)
- **EIC Coaching:** Get access to tailored coaching available throughout your project. Selected coaches are active in the community supporting regularly beneficiaries on business development, organisational development and finance
- **EIC Pathfinder Programme** brings together early-stage researchers and SMEs (Pathfinder and Transition beneficiaries) and offers them the tools to bring their innovation to the market by leveraging entrepreneurial skills and promoting early access to market and investment opportunities



Knowledge Valorisation PlatformTo transform research results into products and solutions

- The Knowledge Valorisation Platform connects players in the EU with the common goal to transform the excellent research results and data we produce in Europe into sustainable products and solutions for the benefit of all - be it economic prosperity, environmental benefits, societal progress or improved policy making.
- The platform provides a space for stakeholders to share <u>best practices</u> and establish contacts, to exchange experiences and <u>co-design guidance</u>, and to stay connected to EU developments in knowledge valorisation. The aim of the platform is to ultimately improve policies and enhance capacities and skills.
- Read more about the EU's knowledge valorisation policy

Best Practices

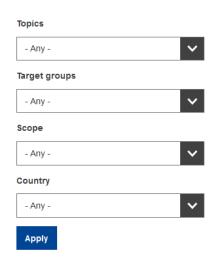
Flanders' twin policy and funding for knowledge valorisation



Entrepreneurial and social potential of Social Sciences and Humanities research



The REVALORISE+ initiative is an Erasmus+ Knowledge Alliance project
Read more



Open Spin-off Creation Model



The model consists of open procedures at many different levels and stages
Read more

Technology transfer from research hospitals



Research Hospitals and their Technology Transfer Offices as key

https://ec.europa.eu/info/research-and-innovation/research-area/industrial-research-and-innovation/eu-valorisation-policy/knowledge-valorisation-platform_en



Horizon Standardisation Booster Standardisation Support for Horizon Europe and H2020 Project

- Contributing to standards is often an objective of many R&I projects. However, the actual process to engage with Standardisation working groups, technical committees, focus groups can be complex to comprehend. This is where **HSbooster.eu** steps in.
- HSbooster.eu is a 24-month European Commission initiative that will provide the European Standardisation Booster. The booster provides expert services to European projects to help them to increase and valorise project results by contributing to the creation or revision of standards.
- HSbooster.eu will provide consultancy services to guide and support beneficiaries and consortia of R&I projects to make sure they take the right strategic approach and contribute efficiently to the Standardisation process and to make them active players in the development of Standards in the corresponding area or domain
- https://hsbooster.eu/





Horizon Standardisation Booster Standardisation Support for Horizon Europe and H2020 Project

Through **five Open Calls** HSbooster.eu provides support services to ongoing and complete H2020 and Horizon Europe projects to support them to contribute to the creation of new standards or the revision of existing standards, and to also guide them in the use of existing standards.

The first open call runs from 21st June - 30th September 2022 covering a range of standardisation urgencies. All services are funded by the European Commission through the HSbooster.eu project, therefore at no cost for the project applying.

To make the application, you will need:

- Basic administrative information on the project (GA number, full name etc.)
- Information about the project objectives and those related to standardisation
- Details on why you are making the application and the goals you would like to achieve with the support of the booster services.



Open Calls for Horizon Europe and H2020 Projects

HSbooster.eu supports EU Research and Innovation projects to valorise results through standardisation and address urgencies identified in the EU Strategy on Standardisation.

If your project would like to contribute to the revision or creation of standards then our experts can help guide you in the right direction through EC-funded Booster Service.

- Meet standardisation experts
- Plan contributions to WGs

- Learn about the Standards landscape
- Improve your skillset and strategy

Submit your application now

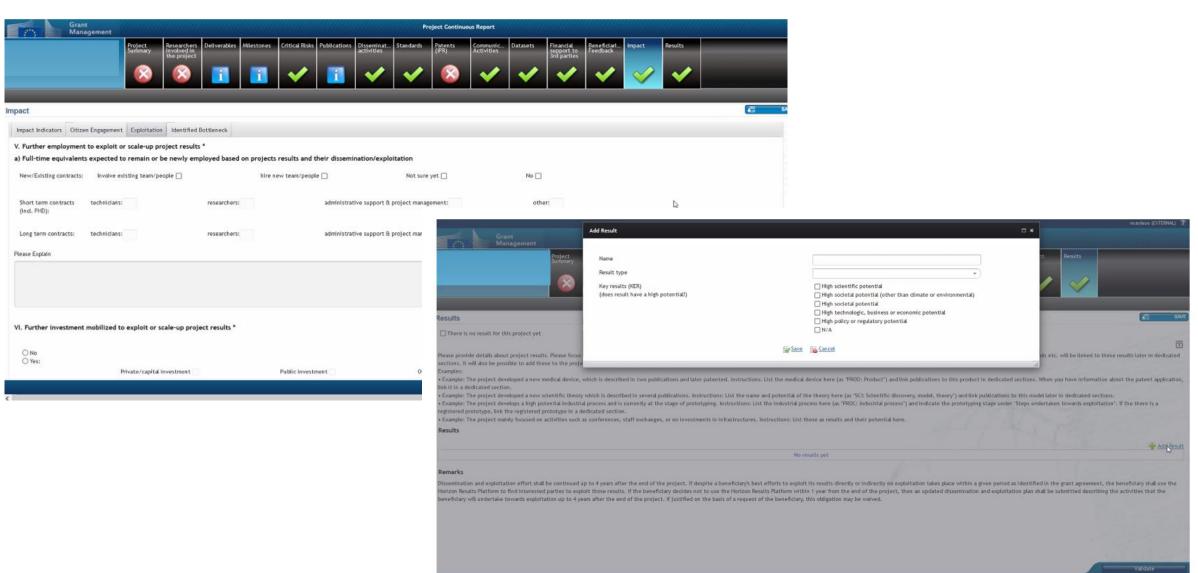




How to report your IP management, exploitation and innovation management efforts?



Continuous reporting Impact and Results tabs





Plan for the Exploitation and Dissemination of Results

What is the "Plan for Dissemination and Exploitation incl. Communication Activities" all about?

- An overall strategy for the communication, dissemination and exploitation of planned and future
 project results should be drafted during the proposal stage, and be regularly updated and
 potentially adjusted throughout the course of the project.
- In addition to the outline of the plan as part of the proposal, in Horizon Europe, an initial "Plan for Dissemination and Exploitation including communication activities" is already due in month 6 of the project.
- The D&E-Plan should include the following aspects:
 - Identify the problem/needs to address
 - Check what is the current offer (i.e. competitive solutions/technologies)
 - What is the added value of your research/technology/methodology
 - Identify the Key Exploitation Result(s) (KER)
 - Explain what the outcome is (do not confuse it with the expected impact to be addressed in the impact canvas of the application)
 - Identify the target groups (early adopters)
 - Describe some dissemination measures and channels to reach out to your target audience
 - Describe some exploitation measures
 - Have a clear intellectual assets management and define the ownership of the results of the project how your results can feed back to policy making and how it contributes to EU priorities



Results ownership list as part of the final periodic report

Single or joint ownership of results? (Indicate the number of owners)	Result owners	Owner country of establish ment	Will the owners exploit the result?	In which form will the result be made available to other consortium members and/or third parties?	Does the exploitation of the results require access to background of one or several consortium members? (If Yes a compulsory question opens below)	Does the exploitation of the results require access to third party IPR? (If Yes, a compulsory question opens below)
[number of owners]	[insert owner name(s)] [Entity or Individual] Entity: Drop down option with project partners + 'Other'. 'Other' opens a field asking for name, address, country, and an identifier such as VAT number. Individual: Drop down option with 'researchers in project	[country]	[YES] [NO]	[Sale of IP] [Licensing] [Open access] [Open source] [Free license] [Secret/non- disclosure agreement] [Other] [N/A]	[YES] [NO]	[YES] [NO] [NOT KNOWN]
				20		

Exploitation requires access to background of consortium members

[insert measures taken /envisaged to give access to the background required for exploitation]

Exploitation requires access to third party IPR

[insert measures taken /envisaged to get access to the required IPR]





Krisztina Toth krisztina.toth@europamedia.org

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