DELIVERABLE D8.6.3
IP Manager’s Report (Y3)

<table>
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<tr>
<th>Contract number :</th>
<th>247772</th>
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<td>Project acronym :</td>
<td>SRS</td>
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<tr>
<td>Project title :</td>
<td>Multi-Role Shadow Robotic System for Independent Living</td>
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<td>R – Report</td>
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<td>Dissemination level :</td>
<td>PU – PUBLIC</td>
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<td>Delivery date :</td>
<td>30-04-2013</td>
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<table>
<thead>
<tr>
<th>Author(s) :</th>
<th>Dr. Renxi Qiu</th>
</tr>
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<tbody>
<tr>
<td>Partners contributed :</td>
<td>All</td>
</tr>
<tr>
<td>Contact :</td>
<td>Renxi Qiu, Cardiff University <a href="mailto:Qiur@cf.ac.uk">Qiur@cf.ac.uk</a></td>
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</tbody>
</table>

The SRS project is funded by the European Commission under the 7th Framework Programme (FP7) – Challenges 7: Independent living, Inclusion and Governance

Coordinator: Cardiff University
SUMMARY

The IPR (Intellectual Property Rights) issues in the SRS project activities are governed by Annex II – General Conditions, Description of Work (DoW) and the Consortium Agreement (CA). This IP Manager’s Report is prepared in accordance with the General Conditions, DoW and the CA (refer to Appendix A, Appendix B and Appendix C). It describes the tasks performed during the first year of the project.

There is NO IPR issue during the period of the time. The tasks relating to the dissemination and protection of the knowledge for the period from 1 February 2012 to 30 April 2013 described in the DoW have been completed as planned and the results are summarised in Table 1.

Table 1: SRS tasks (1 February 2010 – 31 January 2011)

<table>
<thead>
<tr>
<th>Tasks</th>
<th>Result Achieved</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Task 7.2</strong> Dissemination addressed to scientific community</td>
<td></td>
</tr>
<tr>
<td>The dissemination for understanding will be carried out by RTD partners and will target scientific community through:</td>
<td></td>
</tr>
<tr>
<td>- Participation in international robotics and assistant technology conferences to promote SRS results (Congresses, Workshops, Symposia) (see section 3.2 for more information).</td>
<td></td>
</tr>
<tr>
<td>- Publication in top-level journals and reviews.</td>
<td></td>
</tr>
<tr>
<td>- Organisation of one invited session about SRS related topics during one major scientific conference like ICORR or ICRA.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>12 Journal papers</td>
</tr>
<tr>
<td></td>
<td>11 Conference papers</td>
</tr>
<tr>
<td></td>
<td>3 Special Sessions on IROS2012 INDIN2012 and ACIVS2012 respectively</td>
</tr>
<tr>
<td><strong>Task 7.3</strong> Dissemination towards the robotic and home care industry</td>
<td></td>
</tr>
<tr>
<td>Contacts will be made with relevant EU associations. Technology against other continents will be undertaken within the consortium by keeping a confidential document up to date on a yearly basis. As the project progresses awareness of project achievements will be through publications and presentations at Workshops and conferences. Advances in process developments will be advertised by the demonstration of SRS demonstrators. Two workshops will be organised to demonstrate the technology with selected applications during Months 18 and 36. Investor event will be organised for new product concepts arising from developed technology.</td>
<td>One workshop in House of Lords, Palace of Westminster, London UK</td>
</tr>
<tr>
<td></td>
<td>Two press conferences in Milan and Stuttgart</td>
</tr>
<tr>
<td></td>
<td>10 Presentations</td>
</tr>
<tr>
<td></td>
<td>14 Media and other publications</td>
</tr>
<tr>
<td><strong>Task 8.3</strong> Management of intellectual assets</td>
<td></td>
</tr>
<tr>
<td>This task aims to use properly and to exploit the</td>
<td>Management of intellectual assets in accordance with the DoW and the CA.</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>Project results (all partners). All project activities must be in accordance with the Consortium Agreement.</td>
<td>All publications reviewed and agreed by all consortium members.</td>
</tr>
</tbody>
</table>
Task 7.2  Dissemination addressed to scientific community

Participants: All partners
Leader: CU
Start/end dates: 1 February 2012 – 30 April 2013

Work planned:
Publications are part of the project dissemination activities, which includes patent applications, journal & conference papers, news letter articles. The targets of this task for the whole duration of the project are:
- Participation in international robotics and assistant technology conferences to promote SRS results (Congresses, Workshops, Symposia) (see section 3.2 for more information).
- Publication in top-level journals and reviews.
- Organisation of one invited session about SRS related topics during one major scientific conference like ICORR or ICRA

Results achieved:

Scientific publications

The following is a list of the SRS journal papers prepared in project year 2:

<table>
<thead>
<tr>
<th></th>
<th>Title</th>
<th>Author(s)</th>
<th>Journal/Conference Details</th>
<th>Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>Service robots in elderly care at home: users’ needs and perceptions as a basis for concept development</td>
<td>Pigini L.</td>
<td>Technology and Disability journal Volume 24, Number 4 / 2012 IOS Press Amsterda m</td>
<td>2012</td>
</tr>
</tbody>
</table>
The following is a list of the SRS conference papers prepared in project year 3:

<table>
<thead>
<tr>
<th>#</th>
<th>Title</th>
<th>Authors</th>
<th>Conference/Book details</th>
<th>Publisher/Place</th>
<th>Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Towards automated task planning for service robots using semantic knowledge representation</td>
<td>Ji Z.</td>
<td><strong>Industrial Informatics (INDIN), 2012 10th IEEE International Conference</strong></td>
<td>IEEE Press Piscatawayy, NJ, USA</td>
<td>2012</td>
</tr>
<tr>
<td>2</td>
<td>Fuzzy logic based symbolic grounding for best grasp pose for homecare robotics</td>
<td>Liu B.</td>
<td><strong>Industrial Informatics (INDIN), 2012 10th IEEE International Conference</strong></td>
<td>IEEE Press Piscatawayy, NJ, USA</td>
<td>2012</td>
</tr>
<tr>
<td>3</td>
<td>Human detection and tracking in an assistive living service</td>
<td>Noyvirt A.</td>
<td><strong>Industrial Informatics</strong></td>
<td>IEEE Press Piscatawayy, NJ, USA</td>
<td>2012</td>
</tr>
</tbody>
</table>

The following is a list of the SRS conference papers prepared in project year 3:

1. Care-O-bot® 3 - Vision of a Robot Butler
   Reiser, U.
   Springer-Verlag Berlin, Heidelberg 2013

2. Feature Interaction Maximisation
   Bennasar M.
   Pattern Recognition Letters
   In Press Elsevier 2013

3. Ontology-based personalised retrieval in support of reminiscence
   Shi, L
   Knowledge-Based Systems
   Volume 45, Elsevier 2013

4. Semantically Enhanced Text Stemmer (SETS) for Cross-Domain Document Clustering
   Stankov I
   Lecture Notes in Computer Science
   LNAl 7828 Springer Berlin, Heidelberg 2013

5. Enhancing Semantic Representation using User-Oriented Ontology in Information Retrieval
   Shi, L
   International Journal of Knowledge-Based and Intelligent Engineering Systems
   In Press IOS Press Amsterdam 2013

6. Continuous Plane Detection in Point-cloud Data Based on 3D Hough Transform
   R. Hulik
   Journal of Visual Communication and Image Representation (JVCI)
   In press Elsevier 2013
<table>
<thead>
<tr>
<th>Paper ID</th>
<th>Title</th>
<th>Authors</th>
<th>Conference</th>
<th>Publisher</th>
<th>Location</th>
<th>Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>Challenges for service robots operating in non-industrial environments</td>
<td>Soroka A.</td>
<td>Industrial Informatics (INDIN), 2012 10th IEEE International Conference on</td>
<td>IEEE Press</td>
<td>Piscataway, NJ, USA</td>
<td>2012</td>
</tr>
<tr>
<td>5</td>
<td>Towards Robust Personal Assistant Robots: Experience Gained in the SRS Project</td>
<td>Qiu, R. Almeida, Anibal T. de (General Chair); Nunes, Urbano (General Chair); Institute of Electrical and Electronics Engineers: IROS 2012 - Conference Proceedings : Celebrating 25 Years of IROS; IEEE/RSJ International Conference on Intelligent Robots and Systems, Vilamoura, Portugal, 7th-12th of October 2012</td>
<td>IEEE Press</td>
<td>Piscataway, NJ, USA</td>
<td>2012</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Evaluation of 3D Feature Descriptors for Classification of Surface Geometries in Point Clouds</td>
<td>Arbeiter, G. Almeida, Anibal T. de (General Chair); Nunes, Urbano (General Chair); Institute of Electrical and Electronics Engineers: IROS 2012 - Conference Proceedings : Celebrating 25 Years of IROS; IEEE/RSJ International Conference on</td>
<td>IEEE Press</td>
<td>Piscataway, NJ, USA</td>
<td>2012</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Fuzzy optimisation based symbolic grounding for service robots</td>
<td>Liu B. Almeida, Anibal T. de (General Chair); Nunes, Urbano (General Chair); Institute of Electrical and Electronics Engineers: IROS 2012 - Conference Proceedings: Celebrating 25 Years of IROS; IEEE/RSJ International Conference on Intelligent Robots and Systems, Vilamoura, Portugal, 7th-12th of October 2012</td>
<td>IEEE Press</td>
<td>Piscataway, NJ, USA</td>
<td>2012</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>A framework for object training and 6 DoF pose estimation</td>
<td>Fischer, J. Berns, Karsten (Chair); Verl, Alexander (Vice Chair); Hägele, Martin</td>
<td>VDE Verlag</td>
<td>Berlin; Offenbach</td>
<td>2012</td>
<td></td>
</tr>
</tbody>
</table>
The following is a list of the SRS special session organised in year 3:

SRS Special Session at IEEE INDIN 2012 on “robot from industrial to domestic environment”
SRS Special Session at IEEE IROS 2012 on “personal robot II”
SRS/SRS-EEU Special Session at ACIVS 2012

Task 7.3 Dissemination towards the robotic and home care industry

Participants: All partners
Leader: ROBOTNIK
Start/end dates: 1 February 2012 – 30 April 2013

Work planned:
Contacts will be made with relevant EU associations. Technology against other continents will be undertaken within the consortium by keeping a confidential document up to date on a yearly basis. As the project progresses awareness of project achievements will be through publications and presentations at Workshops and conferences. Advances in process developments will be advertised by the demonstration of SRS demonstrators.

Expected results:
Two workshops will be organised to demonstrate the technology with selected applications. Investor event will be organised for new product concepts arising from developed technology.

The following is a list of the SRS workshop and press conference in project year 3:

- SRS at future healthcare workshop, House Of Lords, Place of Westminster Sep 2012
- SRS press conference Milan May 2012
- SRS press conference Stuttgart March 2013

The following is a list of the SRS presentation in project year 3:

- Marcus Mast (HDM), Speech on SRS user interface concept at HdM's Day of Research, June 2012
• Renxi Qiu(CU), Anthony Soroka(CU) and Dayou Li(BED), SRS Special Session at IEEE INDIN 2012, Beijing


• Alexandre Noyvirt (CU) and Georg Abeiter (IPA) IEEE/RSJ International Conference on Intelligent Robots and Systems (IROS), Vilamoura, Portugal, Oct 7-12,

• Renxi Qiu (CU), Aging Societies in Europe and Japan conference in Tokyo on 9-10th October. Organised by the European Commission, the Delegation of the European Union to Japan, and the EU-Japan Centre for Industrial Cooperation. Tokyo 2012

• Marcus Mast (HDM), Speech on SRS user interface concept at World Usability Day in Stuttgart, Nov 2012

• Renxi Qiu (CU), Michael Burmester (HDM) and Carsten Maple (BED), Speech on SRS for health care at House of Lords workshop, Westminster, London, UK. Nov 2012

• Renzo Aldrich (FDCGO), ICCHP 2012 - 13th International Conference on Computers Helping People with Special Needs, July 2012, Linz, Austria

• Roberto Guzman (ROB), Robocity12: Robots for citizens, June 2012, Madrid, Spain

• Roberto Guzman (ROB), GMV Robotics Day, Dec 2012, Madrid, Spain

The following is a list of the SRS Media and other publication in project year 3:

• Video Film (HDM), Filming of an official SRS demonstration video with a professional film company with elderly people in a real home environment and publication on YouTube, SRS website, and partner websites, Dec 2012

• HDM, BUT and IPA, Press Conference showcase SRS professional 3D user interface and present first results of SRS user evaluation with 55 users, March 2013

• HDM Press release on SRS user evaluation of professional 3D user interface, March 2013

• HDM Tv Clip, RegioTV broadcast on SRS user evaluation, March 2013

• HDM Tv Clip, Spiegel.de national news magazine and website, video on SRS user evaluation, March 2013

• IPA Tv Clip, Blick Switzerland broadcast on SRS robot, March 2013

• HDM, Reuters coverage of SRS user evaluation as a multiplier for a number of media outlets, March 2013

• FDCGO, SRS Project press conference, May 2012
• IPA, Trade Fair Automatica 2012, May 2012
• IPA, Trade Fair Rehacare 2012, Oct 2012
• CU, SRS Presentation at Science Night in conjunction with the Film Robot and Frank, March 2013, Cardiff
• IPA, SRS Movie, Nov 2012
• ROB, TV Interview “Hablemos de robots”, March 2013
• Annual United Kingdom Department of Health report on Research and Development in assistive technology, May 2013

**Task 8.3 Management of intellectual assets**

*Leader: CU*

*Start/end dates: 1 February 2012 – 30 April 2013*

**Work planned:**

This task aims to use properly and to exploit the project results (all partners). All project activities must be in accordance with the Consortium Agreement.

**Work performed/results achieved:**

- Management of intellectual assets in accordance with the DoW and the CA.
- All publications reviewed and agreed by all consortium members.
Appendix A: IPR issues in Part C of Annex II

SECTION 1 – FOREGROUND

II.26. Ownership
1. Foreground shall be the property of the beneficiary carrying out the work generating that foreground.
2. Where several beneficiaries have jointly carried out work generating foreground and where their respective share of the work cannot be ascertained, they shall have joint ownership of such foreground. They shall establish an agreement regarding the allocation and terms of exercising that joint ownership.

However, where no joint ownership agreement has yet been concluded, each of the joint owners shall be entitled to grant non-exclusive licences to third parties, without any right to sub-licence, subject to the following conditions:
   a) at least 45 days prior notice must be given to the other joint owner(s); and
   b) fair and reasonable compensation must be provided to the other joint owner(s).

3. If employees or other personnel working for a beneficiary are entitled to claim rights to foreground, the beneficiary shall ensure that it is possible to exercise those rights in a manner compatible with its obligations under this grant agreement.

II.27. Transfer
1. Where a beneficiary transfers ownership of foreground, it shall pass on its obligations regarding that foreground to the assignee including the obligation to pass those obligations on to any subsequent assignee.

2. Subject to its obligations concerning confidentiality such as in the framework of a merger or an acquisition of an important part of its assets, where a beneficiary is required to pass on its obligations to provide access rights, it shall give at least 45 days prior notice to the other beneficiaries of the envisaged transfer, together with sufficient information concerning the envisaged new owner of the foreground to permit the other beneficiaries to exercise their access rights.

However, the beneficiaries may, by written agreement, agree on a different time-limit or waive their right to prior notice in the case of transfers of ownership from one beneficiary to a specifically identified third party.

3. Following notification in accordance with paragraph 2, any other beneficiary may object within 30 days of the notification or within a different time-limit agreed in writing, to any envisaged transfer of ownership on the grounds that it would adversely affect its access rights.

Where any of the other beneficiaries demonstrate that their access rights would be adversely affected, the intended transfer shall not take place until agreement has been reached between the beneficiaries concerned.

4. Where a beneficiary intends to transfer ownership of foreground to a third party established in a third country not associated to the Seventh Framework Programme, the Commission may object to such transfer of ownership of foreground, if it considers that this is not in accordance with the interests of developing the competitiveness of the European economy or is inconsistent with ethical principles or security considerations.

In such cases, the transfer of ownership shall not take place unless the Commission is satisfied that appropriate safeguards will be put in place and has authorised the transfer in writing.

In projects funded by Euratom, security considerations must be understood as being the defence interests of the Member States within the meaning of Article 24 of the Treaty establishing the European Atomic Energy Community.

II.28. Protection
1. Where foreground is capable of industrial or commercial application, its owner shall provide for its adequate and effective protection, having due regard to its legitimate interests and the legitimate interests, particularly the commercial interests, of the other beneficiaries.
Where a beneficiary which is not the owner of the foreground invokes its legitimate interest, it must, in any given instance, show that it would suffer disproportionately great harm.

2. Patent applications relating to foreground, filed by or on behalf of a beneficiary must include the following statement to indicate that said foreground was generated with the assistance of financial support from the Union:

The work leading to this invention has received funding from the European Union European Atomic Energy Community Seventh Framework Programme (FP7/2007-2013 FP7/2007-2011) under grant agreement n° xxxxxx.

Furthermore, all patent applications relating to foreground filed shall be reported in the plan for the use and dissemination of foreground, including sufficient details/references to enable the Commission to trace the patent (application). Any such filing arising after the final report must be notified to the Commission including the same details/references.

3. Where the foreground is capable of industrial or commercial application and its owner does not protect it and does not transfer it to another beneficiary, an affiliated entity established in a Member State or Associated country or any other third party established in a Member State or Associated country along with the associated obligations in accordance with Article II.27, no dissemination activities relating to that foreground may take place before the Commission has been informed. The Commission must be informed at the latest 45 days prior to the intended dissemination activity.

In such cases, the Union may, with the consent of the beneficiary concerned, assume ownership of that foreground and adopt measures for its adequate and effective protection. The beneficiary concerned may refuse consent only if it can demonstrate that its legitimate interests would suffer disproportionately great harm. In the event the Union assumes ownership, it shall take on the obligations regarding the granting of access rights.

II.29. Use

1. The beneficiaries shall use the foreground which they own or ensure that it is used.

2. The beneficiaries shall report on the expected use to be made of foreground in the plan for the use and dissemination of foreground. The information must be sufficiently detailed to permit the Commission to carry out any related audit.

II.30. Dissemination

1. Each beneficiary shall ensure that the foreground of which it has ownership is disseminated as swiftly as possible. If it fails to do so, the Commission may disseminate that foreground.

2. Dissemination activities shall be compatible with the protection of intellectual property rights, confidentiality obligations and the legitimate interests of the owner(s) of the foreground.

In projects funded by Euratom, dissemination activities shall also be compatible with the defence interests of the Member States within the meaning of Article 24 of the Treaty establishing the European Atomic Energy Community.

3. At least 45 days prior notice of any dissemination activity shall be given to the other beneficiaries concerned, including sufficient information concerning the planned dissemination activity and the data envisaged to be disseminated. Following notification, any of those beneficiaries may object within 30 days of the notification to the envisaged dissemination activity if it considers that its legitimate interests in relation to its foreground or background could suffer disproportionately great harm. In such cases, the dissemination activity may not take place unless appropriate steps are taken to safeguard these legitimate interests.

The beneficiaries may agree in writing on different time-limits to those set out in this paragraph, which may include a deadline for determining the appropriate steps to be taken.

4. All publications or any other dissemination relating to foreground shall include the following statement to indicate that said foreground was generated with the assistance of financial support from the Union:

The research leading to these results has received funding from the European Union European Atomic Energy Community Seventh Framework Programme (FP7/2007-2013 FP7/2007-2011) under grant agreement n° xxxxxx.
Any *dissemination* activity shall be reported in the plan for the *use and dissemination of foreground*, including sufficient details/references to enable the *Commission* to trace the activity. With regard to scientific publications relating to *foreground* published before or after the final report, such details/references and an abstract of the publication must be provided to the *Commission* at the latest two months following publication. Furthermore, an electronic copy of the published version or the final manuscript accepted for publication shall also be provided to the *Commission* at the same time for the purpose set out in Article II.12.2 if this does not infringe any rights of third parties.

**SECTION 2 – ACCESS RIGHTS**

**II.31. Background covered**

*Beneficiaries* may define the *background* needed for the purposes of the *project* in a written agreement and, where appropriate, may agree to exclude specific *background*.14.

**II.32. Principles**

1. All requests for *access rights* shall be made in writing.

2. The granting of *access rights* may be made conditional on the acceptance of specific conditions aimed at ensuring that these rights will be used only for the intended purpose and that appropriate confidentiality obligations are in place.

3. Without prejudice to their obligations regarding the granting of *access rights*, *beneficiaries* shall inform each other as soon as possible of any limitation to the granting of *access rights* to *background*, or of any other restriction which might substantially affect the granting of *access rights*.

4. The termination of the participation of a *beneficiary* shall in no way affect the obligation of that *beneficiary* to grant *access rights* to the remaining *beneficiaries*.

5. Unless otherwise agreed by the owner of the *foreground* or *background*, *access rights* shall confer no entitlement to grant sub-licences.

6. Without prejudice to paragraph 7, any agreement providing *access rights* to *foreground* or *background* to *beneficiaries* or third parties must ensure that potential *access rights* for other *beneficiaries* are maintained.

7. Exclusive licences for specific *foreground* or *background* may be granted subject to written confirmation by all the other *beneficiaries* that they waive their *access rights* thereto.

8. However, where a *beneficiary* intends to grant an exclusive licence to *foreground* to a third party established in a *third country* not associated to the Seventh Framework Programme, the *Commission* may object to the granting of such an exclusive licence, if it considers that this is not in accordance with the interests of developing the competitiveness of the European economy or is inconsistent with ethical principles or security considerations.

In such cases, the exclusive licence shall not take place unless the *Commission* is satisfied that appropriate safeguards will be put in place and has authorised the grant in writing. In *projects* funded by the European Atomic Energy Community, the *Commission* may also object to the intended grant of any non-exclusive licence to a third party established in a *third country* not associated to the Seventh Framework Programme on the same conditions as set out in this paragraph. Security considerations shall in case of such *projects* be understood as being the defence interests of the Member States within the meaning of Article 24 of the Treaty establishing the European Atomic Energy Community.

**II.33. Access rights for implementation**

1. *Access rights* to *foreground* shall be granted to the other *beneficiaries*, if it is needed to enable those *beneficiaries* to carry out their own work under the *project*. Such *access rights* shall be granted on a royalty-free basis.

2. *Access rights* to *background* shall be granted to the other *beneficiaries*, if it is needed to enable those *beneficiaries* to carry out their own work under the *project* provided that the *beneficiary* concerned is entitled to grant them.

Such *access rights* shall be granted on a royalty-free basis, unless otherwise agreed by all *beneficiaries* before their accession to this agreement.

**II.34. Access rights for use**

1. *Beneficiaries* shall enjoy *access rights* to *foreground*, if it is needed to use their own *foreground*. 

Subject to agreement, such access rights shall be granted either under fair and reasonable conditions or be royalty-free.

2. Beneficiaries shall enjoy access rights to background, if it is needed to use their own foreground provided that the beneficiary concerned is entitled to grant them.

Subject to agreement, such access rights shall be granted either under fair and reasonable conditions or be royalty-free.

3. An affiliated entity established in a Member State or Associated country shall also enjoy access rights, referred to in paragraphs 1 and 2, to foreground or background under the consortium agreement. As the access rights referred to in paragraphs 1 and 2 require that access is needed to use own foreground, this paragraph only applies to the extent that ownership of foreground was transferred to an affiliate entity established in a Member State or Associated country. The beneficiaries may provide for arrangements regarding access rights for affiliated entities in their consortium agreement, including regarding any notification requirements.

4. A request for access rights under paragraphs 1, 2 or 3 may be made up to one year after either of the following events:
   a) the end of the project; or
   b) termination of participation by the owner of the background or foreground concerned.

However, the beneficiaries concerned may agree on a different time-limit.

Appendix B: IPR issues in Section B3.2 of Technical Annex

SRS will have a project Intellectual Property Rights Manager (IPRM). The IPRM will advise the Executive Board on all matters relating to the IPR of the project. The participants within SRS are expected to own the intellectual property of the knowledge gained as a result from the joint programme of activities. Detailed access rules are laid out in the Consortium Agreement (CA) to be signed by all partners before the start of the project. The CA will be ready for signature before the contract is signed.

B1. Rules for protection of knowledge

(a) If an invention or design is made in the course of carrying out any collaborative/joint research work, and if the features of such joint invention or design are such that it is not possible to separate them for the purpose of applying for, obtaining and/or maintaining the relevant patent protection or any other intellectual property right, the parties concerned agree that they may jointly apply to obtain and/or maintain the relevant right together with any other parties concerned;

(b) The parties shall seek to agree between themselves arrangements for applying for, obtaining and or maintaining such right on a case-by-case basis;

(c) To avoid confusion and any doubt, joint ownership of an invention or design shall not affect the obligations arising under the Consortium Agreement.

B2. Rules for governing access rights for the jointly executed research

All participants in the project will enjoy access rights to:

(a) The knowledge arising from work carried out under the joint programme of activities;

(b) The pre-existing know-how of the other participants related to the project tasks if it is required for accomplishing the work in SRS.

Except where other conditions are set in the Consortium Agreement, access rights to generated knowledge and pre-existing know-how shall be granted on a royalty-free basis for non-profit/ non-commercial uses. Access rights for profit-making/ commercial use of the knowledge generated within the network are as detailed in the Consortium Agreement.

In case of pre-existing know-how, access-rights shall be granted only after conclusion of a bilateral agreement between the Parties concerned. The Access Rights granted to a Party eliminated by decision of the Project Board shall terminate at the date of elimination without further notice.
B3. Rules for granting access rights to third parties

SRS will seek to develop “integrated technology packages” based on the collective IPR of the partners. These packages will be offered to potential third-party commercial users as bundled technologies. By agreeing in advance the terms of such offers, SRS partners will avoid multiple negotiations for access and increase the rate of technology adoption.

Appendix C IPR issues: in Sections 8-10 of SRS Consortium Agreement

Section 8: Foreground

Regarding Foreground, EC-GA Article II.26. - Article II.29. shall apply with the following additions:

8.1 Joint ownership

In case of joint ownership, each of the joint owners shall be entitled to use the joint Foreground as it sees fit, and to grant non-exclusive licences, without obtaining any consent from, paying compensation to, or otherwise accounting to any other joint owner, unless otherwise agreed between the joint owners. The joint owners shall agree on all protection measures and the division of related cost in advance.

8.2 Transfer of Foreground

8.2.1 Each Party may transfer ownership of its own Foreground following the procedures of the EC-GA Article II.27.

8.2.2 It may identify specific third parties it intends to transfer the ownership of its Foreground to in Attachment (4) to this Consortium Agreement. The other Parties hereby waive their right to object to a transfer to listed third parties according to the EC-GA Article II.27.3.

8.2.3 The transferring Party shall, however, ensure that the rights of the other Parties will not be affected by such transfer.

Project Board.

8.2.4 The Parties recognize that in the framework of a merger or an acquisition of any part of its assets, a Party may be subject to confidentiality obligations which prevent it from giving the full 45 days prior notice for the transfer as foreseen in the EC-GA, Article II 27.2.

8.3 Dissemination

8.3.1 Publication

8.3.1.1 Dissemination activities including but not restricted to publications and presentations shall be governed by the procedure of Article II.30.3 of the EC-GA subject to the following provisions. Prior notice of any planned publication shall be made 45 days before the publication. Any objection-to the planned publication shall be made in accordance with the GA in writing to the Coordinator and to any Party concerned within 30 days after receipt of the notice. If no objection is made within the time limit stated above, the publication is permitted.

8.3.1.2 An objection is justified if

(a) the objecting Party’s legitimate academic or commercial interests are compromised by the publication; or

(b) the protection of the objecting Party’s Foreground or Background is adversely affected.

The objection has to include a precise request for necessary modifications.

8.3.1.3 If an objection has been raised the involved Parties shall discuss how to overcome the justified grounds for the objection on a timely basis (for example by amendment to the planned publication and/or by protecting information before publication) and the objecting Party shall not unreasonably continue the opposition if appropriate actions are performed following the discussion.
8.3.2 Publication of another Party’s Foreground or Background

For the avoidance of doubt, a Party shall not publish Foreground or Background of another Party, even if such Foreground or Background is amalgamated with the Party’s Foreground, without the other Party’s prior written approval. For the avoidance of doubt, the mere absence of an objection according to 8.3.1 is not considered as an approval.

8.3.3 Cooperation obligations

The Parties undertake to cooperate to allow the timely submission, examination, publication and defence of any dissertation or thesis for a degree which includes their Foreground or Background. However, confidentiality and publication clauses have to be respected.

8.3.4 Use of names, logos or trademarks

Nothing in this Consortium Agreement shall be construed as conferring rights to use in advertising, publicity or otherwise the name of the Parties or any of their logos or trademarks without their prior written approval.

Section 9: Access Rights

9.1 Background covered

9.1.1 In accordance with and subject to the provisions of the EC-GA, any Party may enter in Attachment 1 any specific Background excluded from the obligation to grant Access Rights in accordance with the provisions of this Consortium Agreement. All other Background except that listed in Attachment 1 shall be available for the granting of Access rights in accordance with the provisions of this Consortium Agreement.

9.2 General Principles

9.2.1 Each Party shall implement its tasks in accordance with the Consortium Plan and shall bear sole responsibility for ensuring that its acts within the Project do not knowingly infringe third party property rights.

9.2.2 As provided in the EC-GA Article II.32.3. Parties shall inform the Consortium as soon as possible of any limitation to the granting of Access Rights to Background or of any other restriction which might substantially affect the granting of Access Rights (e.g. the use of open source code software in the Project).

9.2.3 If the Project Board considers that the restrictions have such impact, which is not foreseen in the Consortium Plan, it may decide to update the Consortium Plan accordingly.

9.2.4 Any Access Rights granted expressly exclude any rights to sublicense unless expressly stated otherwise.

Access Rights shall be free of any administrative transfer costs.

Access Rights are granted on a non-exclusive basis, if not otherwise agreed in writing by all the Parties according to the EC-GA Article II.32.7.

9.2.5 Foreground and Background shall be used only for the purposes for which Access Rights to it have been granted.

9.2.6 All requests for Access Rights shall be made in writing.

The granting of Access Rights may be made conditional on the acceptance of specific conditions aimed at ensuring that these rights will be used only for the intended purpose and that appropriate confidentiality obligations are in place.

9.2.7 The requesting Party must show that the Access Rights are Needed.

9.3 Access Rights for implementation

Access Rights to Foreground and Background Needed for the performance of the own work of a Party under the Project shall be granted on a royalty-free basis, unless otherwise agreed for Background in Attachment 1.
9.4 Access Rights for Use
9.4.1 Access Rights to Foreground if Needed for Use of a Party's own Foreground including for third-party research shall be granted on fair and reasonable conditions.
Access rights for internal research activities shall be granted on a royalty-free basis.
9.4.2 A request for Access Rights may be made up to twelve months after the end of the Project or, in the case of Art. 9.7.2.1.2, after the termination of the requesting Party's participation in the Project.
9.4.3 Access Rights to Background if Needed for Use of a Party's own Foreground shall be granted on fair and reasonable conditions.

9.5 Access Rights for Affiliated Entities
Affiliated Entities have Access Rights under the conditions of the EC-GA Article II.34.3.
Such Access Rights to Affiliated Entities shall be granted on fair and reasonable conditions and upon written bilateral agreement.
Affiliated Entities which obtain Access Rights in return grant Access Rights to all Parties and fulfil all confidentiality and other obligations accepted by the Parties under the EC-GA or this Consortium Agreement as if such Affiliated Entities were Parties.
Access Rights may be refused to Affiliate Entities if such granting is contrary to the legitimate interests of the Party which owns the Background or the Foreground.
Access Rights granted to any Affiliated Entity are subject to the continuation of the Access Rights of the Party to which it is affiliated, and shall automatically terminate upon termination of the Access Rights granted to such Party.

Upon cessation of the status as an Affiliated Entity, any Access Rights granted to such former Affiliated Entity shall lapse.
Further arrangements with Affiliated Entities may be negotiated in separate agreements.

9.6 Additional Access Rights
For the avoidance of doubt any grant of Access Rights not covered by the EC-GA or this Consortium Agreement shall be at the absolute discretion of the owning Party and subject to such terms and conditions as may be agreed between the owning and receiving Parties.

9.7 Access Rights for Parties entering or leaving the Consortium
9.7.1 New Parties entering the Consortium
All Foreground developed before the accession of the new Party shall be considered to be Background with regard to said new Party.

9.7.2 Parties leaving the Consortium
9.7.2.1 Access Rights granted to a leaving Party
9.7.2.1.1 Defaulting Party
Access Rights granted to a Defaulting Party and such Party's right to request Access Rights shall cease immediately upon receipt by the Defaulting Party of the formal notice of the decision of the Project Board to terminate its participation in the Consortium.
9.7.2.1.2 Non-defaulting Party
A non-defaulting Party leaving voluntarily and with the other Parties' consent shall have Access Rights to the Foreground developed until the date of the termination of its participation. It may request Access Rights within the period of time specified in Art. 9.4.2.
9.7.2.2 Access Rights to be granted by any leaving Party
Any Party leaving the Project shall continue to grant Access Rights pursuant to the EC-GA and this Consortium Agreement as if it had remained a Party for the whole duration of the Project.

9.8 Specific Provisions for Access Rights to Software
For the avoidance of doubt, the general provisions for Access Rights provided for in this Section 9 are applicable also to Software.
Parties’ Access Rights to Software do not include any right to receive source code or object code ported to a certain hardware platform or any right to receive respective Software documentation in any particular form or detail, but only as available from the Party granting the Access Rights.

Section 10: Non-disclosure of information
10.1 All information in whatever form or mode of transmission, which is disclosed by a Party (the “Disclosing Party”) to any other Party (the “Recipient”) in connection with the Project during its implementation and which has been explicitly marked as “confidential”, or when disclosed orally, has been identified as confidential at the time of disclosure and has been confirmed and designated in writing within 15 days from oral disclosure at the latest as confidential information by the Disclosing Party, is “Confidential Information”.

10.2 The Recipients hereby undertake in addition and without prejudice to any commitment of non-disclosure under the EC-GA, for a period of 3 years after the end of the Project:
- not to use Confidential Information otherwise than for the purpose for which it was disclosed;
- not to disclose Confidential Information to any third party without the prior written consent by the Disclosing Party;
- to ensure that internal distribution of Confidential Information by a Recipient shall take place on a strict need-to-know basis; and
- to return to the Disclosing Party on demand all Confidential Information which has been supplied to or acquired by the Recipients including all copies thereof and to delete all information stored in a machine readable form. If needed for the recording of ongoing obligations, the Recipients may however request to keep a copy for archival purposes only.

10.3 The Recipients shall be responsible for the fulfilment of the above obligations on the part of their employees and shall ensure that their employees remain so obliged, as far as legally possible, during and after the end of the Project and/or after the termination of employment.

10.4 The above shall not apply for disclosure or use of Confidential Information, if and in so far as the Recipient can show that:
- the Confidential Information becomes publicly available by means other than a breach of the Recipient’s confidentiality obligations;
- the Disclosing Party subsequently informs the Recipient that the Confidential Information is no longer confidential;
- the Confidential Information is communicated to the Recipient without any obligation of confidence by a third party who is in lawful possession thereof and under no obligation of confidence to the Disclosing Party;
- the disclosure or communication of the Confidential Information is foreseen by provisions of the EC-GA;
- the Confidential Information, at any time, was developed by the Recipient completely independently of any such disclosure by the Disclosing Party; or
- the Confidential Information was already known to the Recipient prior to disclosure.

10.5 The Recipient shall apply the same degree of care with regard to the Confidential Information disclosed within the scope of the Project as with its own confidential and/or proprietary information, but in no case less than reasonable care.

10.6 Each Party shall promptly advise the other Party in writing of any unauthorised disclosure, misappropriation or misuse of Confidential Information after it becomes aware of such unauthorised disclosure, misappropriation or misuse.
10.7 If any Party becomes aware that it will be required, or is likely to be required, to disclose Confidential Information in order to comply with applicable laws or regulations or with a court or administrative order, it shall, to the extent it is lawfully able to do so, prior to any such disclosure notify the Disclosing Party, and comply with the Disclosing Party’s reasonable instructions to protect the confidentiality of the information.

10.8 The confidentiality obligations under this Consortium Agreement and the EC-GA shall not prevent the communication of Confidential Information to the European Commission.