



Circular BIOeconomy TRANSFORMAtion for regions by enabling resource and governance networks

D5.3 Exploitation and Sustainability Plan – Initial version

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Executive Summary

Sound Innovation and Intellectual Property Rights (IPR) management is essential in order to enable the successful exploitation of BIOTRANSFORM's assets. Therefore, the BIOTRANSFORM consortium places great emphasis in managing innovation and IPR during the implementation of the project, with a view to effectively paving the way for smooth exploitation and sustainability of its results following its completion.

The current report presents the **initial version** of BIOTRANSFORM's **Exploitation and Sustainability Plan**, encompassing the project's Innovation and IPR Management Strategy. This document sheds light on the key terms and procedures pertaining to the management and protection of intellectual property, lays down the main components of the relevant methodology to be applied throughout the project (IPR Matrix methodology) and describes the initial results of its implementation, in terms of **Background IP, Results** and **Key Exploitable Results (KER)**.

Along these lines, an overview of BIOTRANSFORM's KERs as envisioned at this early stage of the project is also presented, along with the partners' initial plans for their post-project exploitation. In particular, this report includes specific exploitation plans per each identified KER, including the target groups that stand to benefit from their use, as well as individual exploitation plans for each member of the BIOTRANSFORM consortium.

The report will be further elaborated and updated at the end of the project, when all the services of the project have been developed and validated. With that in mind, the final version of the Exploitation and Sustainability Plan will be developed on M28. The final version will specifically describe the project's KERs and their main exploitation routes, the target groups per project KER, the general terms of use of each KER and the relevant IPR provisions, the joint exploitation plans for the consortium as well as per individual project partner (or groups of partners), the means and procedures for the exploitation of the KERs and a roadmap to this end.

1. Introduction

The BIOTRANSFORM partners are committed to produce results that will be sustainable after the project's completion, all while ensuring that innovative ideas emerging from the project are fully identified and investigated in terms of exploitation potential. To this end, BIOTRANSFORM places great emphasis not only on managing the **Intellectual Property Rights (IPR)** of the partners' ideas and project results, but also on mapping out the expected uses and benefits of each BIOTRANSFORM's KER, with a view to effectively paving the way for smooth exploitation and sustainability of its results, following the completion of the project.

With that in mind, the current document constitutes the **initial version** of the BIOTRANSFORM's **Exploitation and Sustainability Plan** which will serve as the basis for the activities to be implemented in the framework of Task 5.2 towards sound innovation management as well as towards exploitation and sustainability of the project's results after the end of the grant.

The initial version of the BIOTRANSFORM Exploitation and Sustainability Plan comprises 8 chapters, as follows:

- **Chapter 1** provides introductory information about the context in which this report has been elaborated, its relation to other project activities, as well as to its structure.
- **Chapter 2** clarifies key terms pertaining to IPR management, defines the underlying objectives in the framework of the project and offers an overview of intellectual property protection instruments that could be employed.
- **Chapter 3** outlines the Innovation and IPR management strategy and its underlying stages in the context of BIOTRANSFORM and describes the methodology to be followed in this respect.
- **Chapter 4** introduces the IPR Matrix and explains the procedures followed in order to identify the BIOTRANSFORM background IP and Results as well as the project's key exploitable results, as perceived at this stage of the project.
- **Chapter 5** offers a preliminary overview of the background IP and Results of project partners and the project's KERs, as identified at this stage of the project.
- **Chapter 6** describes the exploitation plans per project KER, including actions that are currently foreseen as necessary in order for the KERs to be exploited.
- **Chapter 7** outlines the individual exploitation plan set out by each of the members of the BIOTRANSFORM consortium at this stage of the project.
- **Chapter 8** concludes on the next steps foreseen in the context of the project towards the exploitation of its Key Exploitable Results.

The BIOTRANSFORM Exploitation and Sustainability Plan will be updated and further elaborated, according to the project's progress. More specific, its updated and **final version** is expected at **towards the end of the project (M28)** and will include the final description and owners of the project's KERs as well as their plans regarding IP protection and valorisation, which are expected to facilitate exploitation after the end of the project.

2. IPR management overview

The following subsections aim to set the objectives of the IPR management strategy as well as to clarify the main terms concerning the key elements of IPR management, which represent the principal aspects of the IPR management procedures of the project.

2.1 Objectives

BIOTRANSFORM's IPR management objectives embrace the need to protect project's KERs in order to handle and manage efficiently all the outcomes that will stem during the project's life span with a view to ensuring the exploitation and dissemination of BIOTRANSFORM's Key Exploitable Results. To this end, the main objectives of the BIOTRANSFORM's Innovation and IPR Management Strategy are the following:

- Define and describe the IPR management methodology to be followed within the context of BIOTRANSFORM during the course of the project.
- Identify the Results that will emerge from the activities foreseen within the lifecycle of the project thus, determining a Results' portfolio from the early stages of the project.
- Develop a common understanding among the BIOTRANSFORM's partners, concerning key terms and issues revolving around the background IP and Results and respective access rights.
- Assess and conceptualise a preliminary framework of the IP protection that will be employed for each identified KER of BIOTRANSFORM.
- Monitor, identify and eventually resolve any possible conflicts that may arise in terms of IP within the consortium and beyond if applicable.
- Establish common guiding routes and actions within the consortium to safeguard the smooth operation of the IPR strategies to be implemented.

In general, the key concepts to consider for designing the Innovation and IPR management strategy of Horizon Europe projects are the following¹:

- Background
- Results
- Key Exploitable Results
- Dissemination
- Access rights

Therefore, the following subsections aim to clarify the main terms concerning the key elements of IPR management, which represent key aspects of the IPR management procedures of the project.

¹ European Commission, European Innovation Council and SMEs Executive Agency, [Your guide to Intellectual Property Management in Horizon Europe](#), Publications Office, 2022

2.2 Background

Background IP means any **data, know-how or information** – whatever is form or nature (tangible or intangible), including any rights such as intellectual property rights – that is:

- Held by the partners before they acceded to the Agreement and
- Needed to implement the action or exploit the results.

If background is subject to rights of a third party, the beneficiary concerned must ensure that it is able to comply with its obligations under the Agreement².

2.3 Results

By the term Results, any tangible or intangible output of the project is meant, such as data, knowledge or information, that is generated in the project, whatever its form or nature, whether or not it can be protected, as well as any rights attached to it, including intellectual property rights³. In this respect, project Results can arise and can be obtained from project partners in order to protect and exploit the underlying KERs of the project which include intellectual property rights (e.g., copyrights, industrial designs, patents). It should be noted that results generated outside the project activities cannot be defined as project results.

2.4 Key Exploitable Results

Exploitation of project's results means the utilisation of results in further research and innovation activities other than those covered by the actions concerned, including among other things, commercial exploitation such as developing, creating, and marketing a product or process, creating and providing a service, or in standardisation activities⁴.

Under this scheme, A KER is an identified main interesting result (either the whole result or a part of it) or a combination of results, which has been selected and prioritised due to its high potential to be "exploited" – meaning to make use and derive benefits- downstream the value chain of a product, process or solution, or act as an important input to policy, further research or education⁵. To this end, not all project results may meet the above conditions and be identified as KER.

2.5 Access Rights

Access rights refer to user rights for requesting access to a project partner's background and results in order to implement its activities under the project or to use its own results. In addition, access rights can be utilized as long as they are needed for exploiting the project's results. The granting of access rights within a collaborative Horizon Europe project follows specific rules pre-defined in the Grant

² See Article 16.1 of the BIOTRANSFORM Grant Agreement

³ See Article 16.2 of the BIOTRANSFORM Grant Agreement

⁴ See Annex 5 of the BIOTRANSFORM Grant Agreement

⁵ HEU Results Platform, [Introducing the Horizon Results Platform and Horizon Results Platform TV](#)

Agreement⁶ and the Consortium Agreement⁷. Depending on their purpose of use, access rights within BIOTRANSFORM can be depicted in the following table.

Table 1: Access Rights according to the GA

Purpose for Access	Access to Background	Access to Results
<p>Project Implementation</p>	<ul style="list-style-type: none"> Royalty-free Unless otherwise agreed in Attachment 1 of Consortium Agreement 	<p>Royalty-free</p>
<p>Exploitation of Results</p>	<ul style="list-style-type: none"> Access rights to results for internal research and for teaching activities on a royalty free basis. Fair and reasonable conditions A request for Access Rights may be made up to six months after the end of the Project or after the termination of the requesting Party’s participation in the Project. 	

2.6 Protection of Results

Protection of Results constitutes a tool to create value through the licensing, sale or commercialisation of IP in the form of products and services. Moreover, its utilisation is vital for prospective commercial or industrial exploitation as it can contribute to support the branding of products and services both to customers and investors.

When considering IP protection, it must be noted that IP results can be protected by several types of IPR, and consequently, the most appropriate protection strategy must be chosen. The selection of the most suitable form of IP protection depends on the nature and specific characteristics of the results under consideration and the objectives of the IP owner.

There are various types of instruments that may be considered for protecting IP. Under the frame of BIOTRANSFORM, meaningful IP protection instruments that can be used are the following:

- Trade and service marks.
- Patents.
- Utility models.
- Copyrights.
- Trade secrets.
- Confidentiality agreements.

Further details with respect to each of the above-mentioned protection instruments are provided in the subsections below.

⁶ See Article 16 and Annex 5 of the BIOTRANSFORM Grant Agreement

⁷ See Section 9 of the BIOTRANSFORM Consortium Agreement

2.6.1 Trademarks and service marks

Trademarks

A trademark constitutes an exclusive right over the use of a sign in relation to the goods and services for which it is registered⁸. Trademarks consist of signs capable of distinguishing the products (either goods or services) of a trader from those of others. The main function of a trademark is to identify the commercial origin of a product. This does not mean that it must inform the consumer of the actual person who has manufactured the product or even the one who is trading in it. It is sufficient that the consumer can trust in a given enterprise, not necessarily known to him, being responsible for the product sold under the trademark.

Service Marks

In modern trade, consumers are confronted not only with a vast choice of goods of all kinds but also with an increasing variety of services which tend more and more to be offered on a national and even international scale. There is therefore also a need for signs that enable the consumers to distinguish between the different services such as insurance companies, car rental firms, airlines, etc.

These signs are called service marks and fulfil essentially the same origin-indicating and distinguishing function for services as trademarks do for goods. Since service marks are signs that are very similar in nature to trademarks, basically the same criteria can be applied. Thus, service mark protection has sometimes been introduced by a very short amendment to the existing trademark law, simply providing for the application to service marks of the provisions on the protection of trademarks⁹.

2.6.2 Patents

A patent is an exclusive right granted for the protection of inventions (products or processes) offering a new technical solution or facilitating a new way of doing something. The patent holder enjoys the exclusive right to prevent third parties from commercially exploiting their invention for a limited period. In return, the patent holder must disclose the invention to the public in the patent application¹⁰.

A patent does not give its owner the positive right to use the patented invention. Third party rights may have to be requested. Still, a patent owner has the right to decide who may or may not use the patented invention throughout the period during which the invention is protected. Moreover, the patent owner may give permission to other parties, or license them, to use the invention on mutually agreed terms. The owner may also sell the right to the invention to someone, who then becomes the new owner of the patent. Finally, patents are granted only country by country, some regionally, and may also be used in non-patented territories.

⁸ European Commission, Executive Agency for Small and Medium-sized Enterprises, [Your guide to IP in Europe, Publication Office](#), 2019, p.5.

⁹ See WIPO Intellectual Property Handbook 2008: Policy, Law and Use. Chapter 2: Fields of Intellectual Property Protection, p. 68.

¹⁰ See [Your Guide to IP in Europe](#) for the definition of patents in the European context.

Once a patent expires, the protection ends, and the invention becomes part of the public domain, in the sense that the owner no longer holds exclusive rights in it, and it becomes available for commercial exploitation, free of charge, by others¹¹.

2.6.3 Utility Models

Also referred to as a “petty patent”, a utility model is an exclusive right granted for an invention, which allows its owner to prevent others from commercially using the protected invention, without their authorisation, for a limited period¹². The inclusion of utility models into the intellectual property system in some countries has the primary objective of nurturing the rapid evolution of indigenous innovativeness, particularly in small and medium-sized enterprises and among individuals¹³.

2.6.4 Copyrights

Copyright (or author’s right) is the term used to describe the rights that creators have over their literary, scientific and artistic works. There is not an exhaustive list containing the works that can be protected by copyright. However, there are several works usually covered by copyright at international level¹⁴:

- literary works such as novels, poems, plays, newspaper;
- articles;
- computer programs, databases;
- films, musical compositions, and choreographies;
- artistic works such as paintings, drawings, photographs;
- sculptures;
- architecture and
- advertisements, maps, and technical drawings.

Copyright protection also includes moral rights, including the right to claim authorship of a work, and the right to oppose changes to it that could harm the creator's reputation. The creator - or the owner of the copyright in a work - can enforce rights administratively and in the courts, by inspection of premises for evidence of production or possession of illegally made “pirated” goods related to protecting works. The owner may obtain court orders to stop such activities, as well as seek damages for loss of financial rewards and recognition. Finally, it is important to note that copyright only protects the expression of ideas represented in a physical embodiment, not the ideas themselves, and provided the expression is original¹⁵.

A very common and useful copyright tool that is applied is the **Creative Commons License (CC)**, which forge a balance inside the traditional “all rights reserved” setting that copyright law creates. These copyright licenses and tools give everyone from individual creators to large companies and institutions a simple, standardized way to grant copyright permissions to their creative work. There

¹¹ See WIPO Intellectual Property Handbook 2008: Policy, Law and Use. Chapter 2: Fields of Intellectual Property Protection, p. 17.

¹² Definition of utility models in the European context retrieved from [Your Guide to IP in Europe](#).

¹³ See WIPO Intellectual Property Handbook 2008: Policy, Law and Use. Chapter 2: Fields of Intellectual Property Protection, p. 40.

¹⁴ European Commission, Executive Agency for Small and Medium-sized Enterprises, [Your guide to IP in Europe](#), Publications Office, 2019, p.33.

¹⁵ See WIPO Intellectual Property Handbook 2008: Policy, Law and Use. Chapter 2: Fields of Intellectual Property Protection, p. 40.

are several Creative Commons Licenses and each one helps the creators retain copyright while allowing others to copy, distribute, and make some uses of their work, at least non-commercially. Furthermore, every Creative Commons license ensures creators get the credit for their work they deserve, and also works around the world and lasts as long as applicable copyright lasts (because they are built on copyright). The set of Creative Commons licenses is composed of the following licenses¹⁶:

- CC BY (Attribution)
- CC BY-SA (Attribution-ShareAlike)
- CC BY-ND (Attribution-NoDerivs)
- CC BY-NC (Attribution-NonCommercial)
- CC BY-NC-SA (Attribution-NonCommercial-ShareAlike)
- CC BY-NC-ND (Attribution-NonCommercial-NoDerivs)

2.6.5 Trade Secrets

Any confidential business information providing a competitive advantage to an enterprise can be considered a trade secret. The type of information that can be protected as a trade secret is therefore highly diverse. It can include know-how, technical knowledge (potentially protectable as a patent), but also business and commercial data such as lists of customers, business plans, recipes or manufacturing processes¹⁷.

2.6.6 Confidentiality Agreements

Confidentiality is an extremely important issue for participants in innovation projects, from the setting-up to the implementation and exploitation phases. Exchanging valuable information with other partners is generally a necessity that regularly occurs in collaborative initiatives or undertakings. Accordingly, confidentiality issues and measures should be taken into consideration in order to safely exchange information, facilitating the project development and ensuring the non-disclosure of sensitive technology, business or commercially confidential information. Confidentiality agreements provide protection and more security to an organisation that is about to share or make available information to another organisation by ensuring that confidential information will be used only for the permitted purposes agreed between the signatories of the agreement and will not be used or revealed to third parties without consent. Therefore, the signature of a confidentiality agreement can be seen as a very important step to keep confidential information secret in order to maintain a competitive edge¹⁸.

3. IPR Management Strategy

Under the frame of BIOTRANSFORM, key IP and innovation management will be employed, with a view to setting a common understanding concerning the background, results, ownership (including

¹⁶ For more information about Creative Commons licenses visit: [CreativeCommons.org](https://creativecommons.org)

¹⁷ Definition of trade secrets in the European context retrieved from <https://iprhelpdesk.eu/sites/default/files/2018-12/european-ipr-helpdesk-your-guide-to-ip-in-europe.pdf>.

¹⁸ See Non-Disclosure Agreement of European IPR Helpdesk: https://intellectual-property-helpdesk.ec.europa.eu/system/files/2021-03/One-Way-Non-Disclosure-Agreement-EN-1_2021.pdf.

joint ownership), access and usage rights, dissemination and exploitation during and after the project development. In this respect, the BIOTRANSFORM IPR management strategy applies a comprehensive framework which separates the IP management processes of the project in the following stages:

- Start of the Project
- During Project Implementation
- After Project End

In this respect, the following figure illustrates the IPR management stages, as considered within BIOTRANSFORM. More details about these stages are presented in the sub-sections that follow.

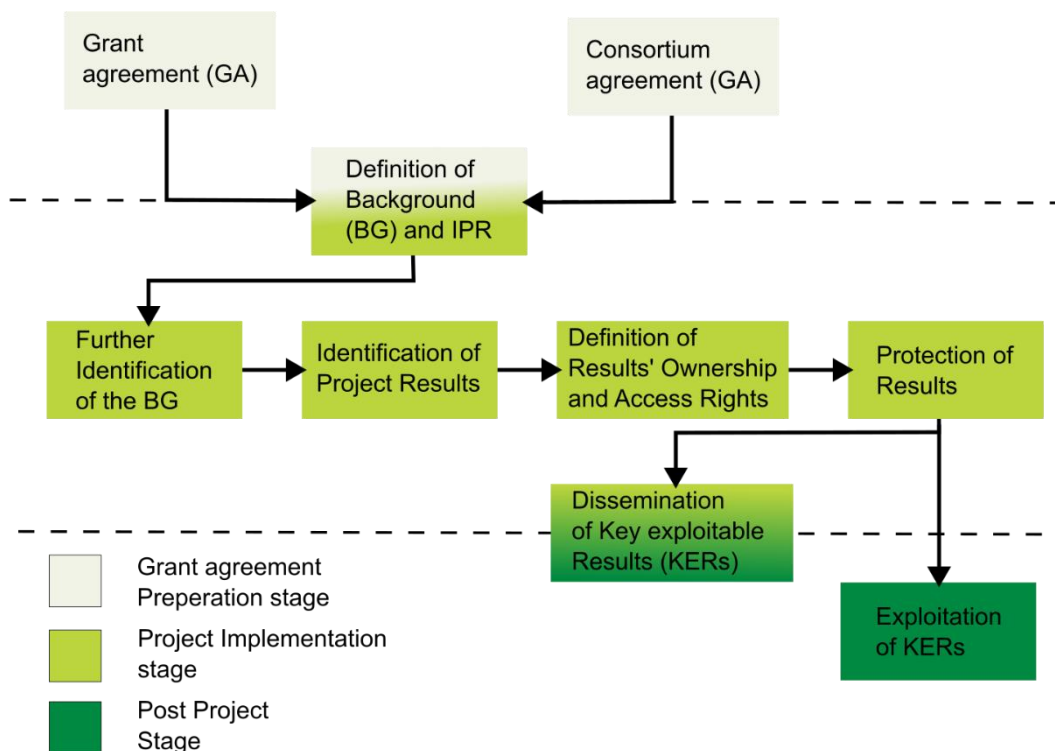


Figure 1: BIOTRANSFORM IPR Management Stages

3.1 Start of the Project

Both the **Grant Agreement and the Consortium Agreement constitute documents which include a description of several issues related to IPR**. Their unique provisions represent a reference point for IPR issues within the project partners. In this respect, any further advancements regarding IPR actions to be put in place by project partners will be facilitated under the underlying provisions.

3.1.1 Grant Agreement

The Grant Agreement constitutes a contract which sets out the key rules and conditions of the project and is conducted between the European Commission (EC) and the BIOTRANSFORM partners. It represents the main contractual basis for BIOTRANSFORM while its main points and sections

referring to IPR are included in **Section 2 “Rules for carrying out the action”**¹⁹. Under this scheme, the management of the BIOTRANSFORM IP is regulated, whereas access rights and obligations related to the background are set. In addition, the GA defines issues concerning the ownership and protection of the project’s generated results, as well as their exploitation and dissemination outcomes. Finally, transferability and access rights to results are also defined in the BIOTRANSFORM GA.

3.1.2 Consortium Agreement

The Consortium Agreement constitutes a contract among the partners of BIOTRANSFORM consortium which aims to define rights and obligations within the partnership for the purposes of carrying out the project’s foreseen actions and activities²⁰. The CA minimises the probability of later disputes as it provides rules and responsibilities during the project as well as defines the access rights to be granted to the partners concerning the project. In addition, rights and responsibilities are outlined among the consortium members concerning issues of the IP.

The BIOTRANSFORM Consortium Agreement main points and sections referring to IPR are contained in:

- **Section 8 “Results”**, that sets out provisions on ownership and joint ownership of results, as well as on their transfer and dissemination.
- **Section 9 “Access Rights”**, which clarifies the access rights governing principles along with the access rights for the exploitation and dissemination purposes. It also states specific provisions for access rights to the software.
- **Attachment 1 “Background included”** that presents the initial list of usable background IP.

3.1.3 Definition of Background

At the start of the project, all project partners must identify the background that is pertinent for the project actions and grant access rights to this IP, in principle²¹. The background of a project can be identified and agreed within the consortium agreement, after the internal evaluation of pre-existing knowledge, considering two main aspects:

- **Identification of background:** Naming of the background IP that each project partner provides to the consortium, and which is imperative for successful implementation and exploitation of the project actions.
- **Definition of Access Rights:** Clarification of the rights to use knowledge under the terms and conditions agreed within the consortium and in alignment with the underlying background rules and obligations set by the EC in order to ensure the smooth implementation of the project.

¹⁹ See Article 16 and Annex 5 of the BIOTRANSFORM Grant Agreement.

²⁰ See Section 2 of the BIOTRANSFORM Consortium Agreement.

²¹ See Attachment 1 in the Consortium Agreement for a detailed description of the BIOTRANSFORM background and the access rights granted in principle for the consortium

3.2 *During Project implementation*

During the implementation stage of the project, IP handling procedures are foreseen to be applied among the BIOTRANSFORM partners in order to properly organise results management of the project. In this respect, as the project evolves, the focus will be on project results identification, ownership, access rights, and protection of results, as well as exploitation. BIOTRANSFORM IPR management emphasises the establishment of robust handling procedures of IPR issues that are of strategic importance to the project to facilitate exploitation of its results.

Therefore, partners should focus on two different points:

- **Providing access rights to their knowledge** for other partners to carry out their work on the project.
- **Establishing early asset identification procedures** with a view to protecting, disseminating, and exploiting the project's assets, all while fostering long-term cooperation among partners and efficient project management.

In this respect, key IP related issues in the BIOTRANSFORM implementation phase include:

3.2.1 *Background identification*

During the project implementation stage, it is imperative to identify the relevant Background items, if any, complementary to those outlined in the Consortium Agreement. To this end, any partner may add additional Background to Attachment 1 of the BIOTRANSFORM Consortium Agreement during the project, provided they give written notice to other partners. However, in case that a partner wishes to modify or withdraw its Background in Attachment 1, approval of the General Assembly will be needed according to the Consortium Agreement provisions²².

3.2.2 *Results identification*

A core process of the BIOTRANSFORM IP management is the project results' identification with a view to creating a concrete mapping of the project's assets and enhancing the BIOTRANSFORM IP portfolio. Therefore, all IP valuable assets within the project must be identified, listed, named, described and analysed in a systematic way.

3.2.3 *Ownership of results*

The Grant Agreement of BIOTRANSFORM establishes that the results of the project are owned by the partner(s) that generates them. Given the collaborative nature of the project, an individual result can be jointly developed by two or more partners and its joint ownership is subject to the agreement on the allocation and terms of the exercise of their joint ownership²³. Although regulations concerning the frame of joint ownership are embedded in the BIOTRANSFORM Consortium Agreement²⁴, partners may establish during the project implementation a separate joint ownership agreement in order to define the allocation and terms of exercising their ownership.

²² See Section 9 of the BIOTRANSFORM Consortium Agreement

²³ See Article 16 and Annex 5 of the BIOTRANSFORM Grant Agreement

²⁴ See Paragraph 8.2 of the BIOTRANSFORM Consortium Agreement

Moreover, according to the [Europe Horizon reporting template](#), BIOTRANSFORM partners are requested to prepare a **Results Ownership List** to clarify ownership of project results and to facilitate the process for exploitation of these by project partners and, where relevant, third parties. As a minimum, the list should include details of whether the result has single or joint ownership, the name of the owner(s), the country of establishment of the owner(s) and whether the results will be exploited by the owner(s). The Results Ownership List will be prepared and included in the final version of Exploitation Plan as well as in the **Final Periodic Report**, where the ownership of projects results will be fully defined amongst BIOTRANSFORM partners.

3.2.4 Protection of results

Effective exploitation of the innovative concepts and KERs developed under the frame of BIOTRANSFORM depends on the protection of the project’s results. Consortium partners are bound by the terms of their grants and must adequately protect their results, for an appropriate period and with appropriate territorial coverage, if²⁵ :

- The project’s results can reasonably be expected to be commercially or industrially exploited and,
- Protecting them is possible and justified (given the circumstances)

In this respect, when considering IP protection BIOTRANSFORM partners must consider their own legitimate interests, including the prospects for commercial exploitation, along with the legitimate interests of the whole consortium and any other legitimate interests. The table that follows illustrates the different protection instruments that can be applied to a variety of subjects.

Table 2: Protection instruments of Results

Subject Matter	Patent	Utility Model	Copyright	Trademark	Confidential Information
Invention	X	X			X
Software	X*	X	X		X
Scientific Article			X		
Technology Design			X	X	
Name of Technology				X	
Know How	X	X			X
Website			X	X	X

*Software patentability is still a debated issue given its exclusion as subject matter as by Article 52(2)(c) and (3) of the European Patent Convention (EPC).

Source: **IPR Helpdesk**.

3.2.5 Exploitation of results

The identified KERs of BIOTRANSFORM will be effectively exploited as foreseen within the project’s Grant Agreement²⁶. Particularly, the consortium partners should be fully aware that they must, up to

²⁵ See Article 16 and Annex 5 of the BIOTRANSFORM Grant Agreement

²⁶ See Article 16 and Annex 5 of the BIOTRANSFORM Grant Agreement

four years after project completion, use their best efforts to ensure exploitation of their results, either directly or indirectly by another entity, through transfer or licensing.

If, despite the best efforts for exploitation, no uptake happens within the following year after the end of the project, the partners must use the [Horizon Results Platform](#) to make exploitable results visible to potential interested entities, unless obligation is waived, which is free and part of the [Funding & Tenders Portal](#).

To this end, the BIOTRANSFORM consortium will seek exploitation opportunities of the project's results in (i) further research activities (outside the action), (ii) developing, creating, or marketing a product or process, (iii) creating and providing a service, (iv) using them in standardisation activities or other use scenarios such as to inform policy or for educational purposes. Hence, exploitation is by no means limited to commercial exploitation²⁷.

In parallel to the successive phases of IP identification, determinisation of claims for ownership and exploitation as well as the definition of IP protection measures, further actions will run, including:

- **Outlining of potential exploitation routes** anticipated for each of BIOTRANSFORM's assets beyond the end of the project.
- **Elaboration of the BIOTRANSFORM Exploitation and Sustainability Plan** to serve as the road map for the roll-out of the commercially exploitable results of the project after the end of the Grant.

3.2.6 *Dissemination of results*

BIOTRANSFORM partners are set to select the appropriate means for dissemination of project results (e.g., scientific publications, publication on web sites, conferences, etc.), according to the conditions set forth in the CA and in other specific confidentiality agreements that might arise in order to maintain confidentiality during and after the end of the project²⁸. Additionally, partners must disseminate their results as soon as they are feasible by using publicly available formats in accordance with any restrictions due to IP protection, security rules or legitimate interests and the provisions of GA²⁹.

Along with that, the Open Science approach will be followed by partners, which focuses on spreading knowledge as soon as it is available using digital and collaborative technology. Considering that, BIOTRANSFORM partners are requested to make their scientific publications available as Open Access publications, and grant access as open as possible and as closed as necessary³⁰.

It has to be noted that all partners should be aware that they first ensure the protection of a project's exploitable result and then proceed to dissemination actions of this or any other underlying result.

3.3 *Post Project Stage*

At the project's conclusion, the final version of the Exploitation and Sustainability Plan will be submitted, outlining the use that BIOTRANSFORM consortium intends to make of its KERs and the

²⁷ European Commission, [Your guide to IP management in Horizon Europe](#), p.20

²⁸ See Paragraph 8.4 of the BIOTRANSFORM Consortium Agreement

²⁹ See Article 17 and Annex 5 of the BIOTRANSFORM Grant Agreement

³⁰ European Commission, [Your guide to IP management in Horizon Europe](#), p.19

related plans and time frame for their exploitation. The plan will describe further activities that need to be implemented in order to ensure the use and long-term sustainability of BIOTRANSFORM KERs. In addition, it will include the final findings concerning IP issues, as well as the final update of the IPR Matrix (See Section 4), detailing the IPR applied and registered. This deliverable, therefore, will envisage the final strategy of the consortium as shaped at the end of the project for exploitation, management of intellectual property rights and sustainability, including also any selected commercialization pathways if applicable.

At this final stage of the project, consortium partners will employ some basic actions, aiming to ensure the sound post-project management of the innovation and exploitation processes. Typically, they will:

- Explore exploitation strategies and pathways, either joint or not, and agree on the most suitable ones
- Look at possible IP ownership arrangements and related responsibilities, including the definition of relative contributions of joint-owners, and
- Weigh potential (licensing) agreement and remuneration options linked to the use of IP resulting from the project and options for remuneration

On the other hand, there will be follow-up by EC on partners' progress, needs and obstacles on their path towards exploitation two years after the end of the project. Under this frame, BIOTRANSFORM partners will be called to complete a structured Questionnaire to report on their exploitation state.

3.4 Role of the Exploitation Manager

The Exploitation Manager (EM) is responsible for defining the project's Innovation and IPR Management Strategy, preparing the respective reports and ensuring that innovative ideas which arise during the project will be thoroughly examined and assessed for potential exploitation, while at the same time all background intellectual property and results of the project is managed. To this end, the EM will be in close communication with the Project Coordinator and the General Assembly to ensure continuous feedback from escalating project activities from the start until the project completion.

The Exploitation Manager will be responsible for the organisation and management issues of the BIOTRANSFORM IPR strategy implementation. It is considered good practice for a partner to inform and consult the EM accordingly before deciding whether to protect the results stemming from its underlying activities or not – particularly if the partner is considering a potential joint IP scheme.

Finally, the EM also assumes a mediation role in case of IP conflicts (see Section 3.6), monitors project activities and feeds the development of the subsequent versions of this report.

3.5 Knowledge Management of the Project

The management of the IP constitutes an integral part of the overall BIOTRANSFORM project management structure and thus it is important to establish a permanent IP monitoring scheme during the project. In this respect, an efficient IPR management methodology should define, from the early

stages of the project, the procedures under which newly generated/ identified results will be handled within the lifespan of BIOTRANSFORM.

Efficient management of IP in BIOTRANSFORM will be achieved through adopting a process able to identify IP results as well as to determine their adequate handling and protection. In this respect, it is essential to establish mechanisms that will guarantee that IP information is reliable and timely captured. Should WP Leaders identify a new result that will be generated under their respective WP activities, the EM must be informed accordingly.

The BIOTRANSFORM EM constitutes the party that will handle screening and managing of any newly identified results and their corresponding IP issues that arise during the project's lifespan. The EM will direct the consortium partners in order to commonly establish the most adequate and efficient IPR strategy based on the nature of the newly identified result and the purposes of the BIOTRANSFORM consortium concerning the exploitation of this result. To facilitate this process, the BIOTRANSFORM IPR management strategy foresees creating and updating a living IPR Matrix (See section 4) to be revised and extended with new pieces of project results as the project's implementation advances.

3.6 IP Conflicts

In order to proactively avoid IP conflicts, project partners will be well-informed about IP rules and guided through the exploitation process with the help of the EM and the IPR Matrix. In this respect, partners will identify their IPR results, formulate their ownership and exploitation claims and if deemed necessary, transfer any relevant results to BIOTRANSFORM's key exploitable results according to the principal rights and obligations defined in the Consortium Agreement of BIOTRANSFORM (Section 8 of BIOTRANSFORM CA). The Exploitation Manager will provide assistance for the following indicative (and not exclusive) issues:

- Is there a possible misunderstanding about the definition of the exploitable result and therefore of the object of claims?
- Are there exploitation claims that should be further specified so that the partners can check the compatibility of their claims?
- Are the foreseen exploitation claims compatible with the ownership claims of the partners (related issue of access rights)?
- Are there any confidentiality issues e.g., on new knowledge of strategic importance for a partner and consequently the need for a confidential agreement?
- Are there any possible IP conflicts between the partners, both related to ownership and the related need for access rights and to exploitation claims?

In terms of IP conflict, the Exploitation Manager will encourage conflicting parties to get in contact and proactively find solutions, making written agreements whenever necessary. In case no agreement will be achieved, internal mediation process will be kicked off following the provisions of section 11.8 of the BIOTRANSFORM Consortium Agreement. In case the IP issues remain unresolved after this first mediation procedure, further mediation processes will be applied according to the BIOTRANSFORM CA provisions (See Section 11.8 of the BIOTRANSFORM Consortium Agreement).

4. IPR Matrix Methodology

The BIOTRANSFORM IPR management approach foresees the utilisation of an IPR Matrix in order to define the main IPR issues concerning the BIOTRANSFORM Exploitation and Sustainability Plan. This approach will support all partners in identifying and managing the background knowledge, the results and key exploitable results of the project in order to have a full overview about IP protection and necessary agreements to enable successful exploitation.

The IPR Matrix methodology is comprised of 4 distinct but interconnected steps, as follows:

- **Step 1:** Addition of new Background and definition of access rights among partners within the project according to the CA processes³¹, complementary to the identified BG³² in the BIOTRANSFORM CA at the start of the project.
- **Step 2:** Identification of the results, that are foreseen to be generated under the BIOTRANSFORM activities.
- **Step 3:** Identification of the project's KERs (as defined at this early stage of the project) and the partners contributing to each one along with their corresponding interest for their exploitation.
- **Step 4:** Definition of a preliminary framework of **IPR protection** for the defined BIOTRANSFORM results, which will enhance their further exploitation.

At this early stage of the project, the objective of the Exploitation and Sustainability Plan of BIOTRANSFORM is to define the KERs on the one hand and identify, to the extent possible, the BG and results of the project along with their corresponding access rights on the other hand. During the later stages of the project's implementation, the Exploitation and Sustainability Plan will be updated accordingly, in order to capture and integrate the evolvement of the identified results and IPR approach of the project. In particular, the identification of KERs would yield the need to establish an ownership regime among project partners for each one of the KER. In addition, rules and conditions to get access to KERs need also to be considered. Finally, the selection of the IPR to be employed in each case will follow.

Under this framework, the structure of the IPR Matrix that will be used throughout the duration of the project is summarized below.

³¹ See Paragraph 9.1.2 of BIOTRANSFORM Consortium Agreement.

³² See Attachment 1 of BIOTRANSFORM Consortium Agreement.

Table 3: Structure of IPR Matrix

Background (BG)	Results (R)	Key Exploitable results (KER)
<ul style="list-style-type: none"> • BG# • Partner’s Background • Short Description of BG • Type of Protection • Conditions to Use within BIOTRANSFORM • Conditions to use outside BIOTRANSFORM • Interest in further exploitation through BIOTRANSFORM results • Remarks 	<ul style="list-style-type: none"> • R# • Project Result • Related WP • Contributing Partners • Short Description of R • Related BG# • Type of Protection • Conditions to Use within BIOTRANSFORM • Interest in further commercialization of Project Results • Conditions to use after the end of the Project 	<ul style="list-style-type: none"> • KER# • Key Exploitable result • Main partner • Further contributing partner(s) • Related R# • Related BG# • Proposition for the KER-owner • Short description of the KER • Relevance for IP Protection • Exploitation pathways

4.1 Identification of Background IP

In the first part of the IPR Matrix, the BG that will be used during the project’s implementation shall be identified, as illustrated in the following figure.

#	Relevant Background	Contributing Partner	BG number	Short description of BG	Type of protection	Conditions to use within BIOTRANSFORM	Conditions to use outside BIOTRANSFORM	Interest in further exploitation through BIOTRANSFORM's results	Remarks

Figure 2: IPR Matrix Background

In the second column of this part of the IPR Matrix, the project’s BG is listed as identified at the time. In the third column, the name of the partner who owns this background is indicated. For each identified background required for the creation of a result, a specific background number per partner shall be assigned. In column 4, the corresponding background number shall be indicated while column 5 should include a short description of the background. In column 6, partners shall indicate relevant IP protection types for the background in terms of patents, copyright, etc. In the seventh column, the conditions to use the background within the project shall be indicated by each partner, whether there are any restrictions to use the background or not (e.g., free to use). In the eighth column, any conditions for using the background outside the framework of BIOTRANSFORM is indicated, while in the last column partners shall mention if they have any interest in further exploiting the relevant background through the results of the project.

4.2 Identification of project Results

In the second part of the IPR Matrix, the results of the project are identified, as presented in the following figure.

WP #	Project result (PR)/ Achievement	Specific project result	Main Partner(s)	Contributing partner(s)	Related BG number	Short description of FG	FG number	Type of protection	Conditions to use within BIOTRANSFORM	Interest in Further Commercialization of Project Results	Conditions to use after the end of project

Figure 3: IPR Matrix Results

In the first four columns, the BIOTRANSFORM results along with the relevant WP, are listed. In the fifth column, the main partner responsible for the Results shall be indicated. In the sixth column, the further contributing partners for the Results shall be indicated as well. In the seventh column, the related background number is attached to the underlying R. In the eighth column, a short text describing the identified R shall be included by the responsible partner. In the ninth column, a R number shall be attached to each result per each contributing partner. In the tenth column, partners shall indicate relevant IP protection type(s) for the R (e.g., patent, copyright, etc.). In the next column, the conditions to use the R within BIOTRANSFORM (e.g., free to use or subject to charges) shall be indicated by each partner whether there are any restrictions to use the R or not. In the twelfth column, the project partners shall describe if they have an interest in exploitation of the project result. Finally, in the last column, the conditions (e.g., free to use, license fee, etc.) to use after the project shall be indicated by the partners.

4.3 Identification of Key Exploitable Results

Based on the identified Results the partners will define their key exploitable results along with the underlying IPR provisions, such as protection, definition of access rights and exploitation pathways.

At this step, the third part of the IPR Matrix was elaborated, which defined the KERs, indicating the main contributors for these results, with the aims:

- to **identify IP ownership and exploitation claims**, as well as pro-actively indicate possible conflicts for each exploitable result; and
- to **support decisions on issues pertaining to IP protection**, in order to timely make the needed steps in this regard, including any potential IP agreements (e.g. for joint ownership, providing access rights or even an NDA for confidentiality).

The following figure provides an illustrative overview of this part of the IPR Matrix.

ER#	Exploitable Result	Short description of ER	Main partner(s)	Contributing Partner(s)	Related FG number	Related BG number	ER Owner(s)	Potential IP protection	M	U	L	S	O	Most promising concerning M-U-L-S-O	Intended users	Benefits	Actions for the exploitation of the ER		
																	What	Who	When

Figure 4: IPR Matrix Exploitable Results

In the first two columns, the number and a short name of the identified exploitable results are listed. In the third column, a short text of the identified KER shall be included. In the following column, the main partner(s) responsible for the KER shall be listed. In the fifth column, other relevant contributing partner(s) for the KER shall be indicated as well. In the sixth column, the related R number shall be indicated, whereas in the seventh column the relevant background number shall be stated. In the eighth column, a proposition of the IP ownership of the KER shall be indicated by the main partner contributing to the creation of the KER. In the next column, the responsible partner shall indicate the relevance for possible IP protection. In the next 5 columns, the exploitation routes are divided into five different categories:

- **M: Making** a product and selling it.
- **U: Using** the project result internally for further development, for instance:
 - to develop something else for sale; or
 - for R&D departments (public or private) to use the results in new research projects.
- **L: Licensing** the project result to third parties.
- **S: Providing a Service**, such as consultancy, etc.
- **O: Others**

The responsible partner for the KER shall choose which exploitation paths are appropriate in consultation with the contributing partners, the Project Coordinator and the Exploitation Manager. Finally, in the last column, the responsible partner shall indicate which exploitation claim would be the most promising.

5. BIOTRANSFORM'S Background, Results and Key Exploitable Results

5.1 Background

The Background as preliminary identified in the CA preparation and further elaborated according to the BIOTRANSFORM CA processes to be used so as to achieve the objectives of BIOTRANSFORM is presented in the following table.

Table 4: Background

#	Relevant Background	Contributing Partner	BG number	Short description of BG	Type of protection	Conditions to use within BIOTRANSFORM	Conditions to use outside BIOTRANSFORM	Interest in further exploitation through BIOTRANSFORM's results	Remarks
1	Biomass conversion pathways	ALCN	BG1	Background knowledge in biomass conversion processes, strategy conceptualization, multicriteria assessment, bio- and phytoremediation, nature-based technologies and air/water treatment	N/A	Access rights to background is only granted to the extent that it is strictly required for the implementation of the action, and subject to the terms and conditions of existing third-party agreements that may prohibit the granting of access rights	Access Rights to background is only granted to the extent that it is strictly necessary for the exploitation of another beneficiary's own results, under fair and reasonable conditions, subject to any legal restrictions or limits, including restrictions imposed by the rights of third parties and personnel, and existing IPR, specifically: (1) Patent Nr. AT516363 – Gradual vertical constructed wetlands; (2) Trademark "vertical ecosystem ®"	TBD	

2	Background knowledge in forestry	VTT	BG2	Background knowledge in forest biomass conversion processes and technologies, in chemical processes and in sustainability assessment.	N/A	Access rights to background is only granted to the extent that it is strictly required for the implementation of the action, and subject to the terms and conditions of existing third-party agreements that may prohibit the granting of access rights	Access Rights to background is only granted to the extent that it is strictly necessary for the exploitation of another beneficiary's own results, under fair and reasonable conditions, subject to any legal restrictions or limits, including restrictions imposed by the rights of third parties and personnel, and existing IPR	TBD	
3	Background knowledge in sustainability science and decarbonisation	LIST	BG3	Background knowledge and methods in sustainability assessment, carbon footprinting, decarbonization strategies, decarbonization roadmaps for territories, alignment to Paris agreement targets, socio-technical assessments	N/A	Access rights to background is only granted to the extent that it is strictly required for the implementation of the action, and subject to the terms and conditions of existing third-party agreements that may prohibit the granting of access rights	Access Rights to background is only granted to the extent that it is strictly necessary for the exploitation of another beneficiary's own results, under fair and reasonable conditions, subject to any legal restrictions or limits, including restrictions imposed by the rights of third parties and personnel, and existing IPR.	TBD	
4	Background knowledge obtained from relevant past and ongoing projects (RuralBioUp, ShapingBio, BioLoc, DALIA) and other relevant documents and notifications	HUB	BG4	Background knowledge in availability and conversion strategies of Biomass (Agricultural and Forest). Processes and Technologies in use	N/A	Access rights to background is only granted to the extent that it is strictly required for the implementation of the action, and subject to the terms and conditions of existing third-party agreements that may prohibit the granting of access rights	Access Rights to background is only granted to the extent that it is strictly necessary for the exploitation of another beneficiary's own results, under fair and reasonable conditions, subject to any legal restrictions or limits, including restrictions imposed by the rights of third parties and personnel, and existing IPR.	Obtained knowledge and outcomes to be used for further consideration for policies and related regulations	

5	Background knowledge derived from other relevant past and ongoing projects (SCALIBUR, CEE2ACT, BIOMODEL4REGIONS, BBTWINS, HOOP, DISHEAT, AGROWCHAIN)	CluBE	BG5	Background knowledge in analysing regional biomass and bioenergy potentials, the core cluster structures, and the regional innovation systems devoted to the energy, bioeconomy and environment sectors	N/A	Access rights to background is only granted to the extent that it is strictly required for the implementation of the action, and subject to the terms and conditions of existing third-party agreements that may prohibit the granting of access rights	Access Rights to background is only granted to the extent that it is strictly necessary for the exploitation of another beneficiary's own results, under fair and reasonable conditions, subject to any legal restrictions or limits, including restrictions imposed by the rights of third parties and personnel, and existing IPR.	TBD
6	Know-how from previous projects SUPERBIO, ICT-BIOCHAIN, EXCornsEED, BIOSWITCH, BioBEC, BIO4AFRICA, Scale-UP, A3BIO, MPowerBIO, P2PFinBio and urBIOfuture	CTA	BG6	Know-how gained through the SUPERBIO, ICT-BIOCHAIN, EXCornsEED, BIOSWITCH, BioBEC, BIO4AFRICA, Scale-UP, A3BIO, MPowerBIO, P2PFinBio and urBIOfuture projects: lessons learned, materials, deliverables and reports, as well as network contacts.	Copyright, trade secret, creative common licenses	Access Rights to Background if Needed for Exploitation of a Party's own Results within BIOTRANSFORM, including for research on behalf of a third party, shall be granted on Fair and Reasonable conditions.	Access Rights to Background if Needed for Exploitation of a Party's own Results outside BIOTRANSFORM, including for research on behalf of a third party, shall be granted on Fair and Reasonable conditions.	TBD
7	Background	CLIB	BG7	Knowledge about chemical industry in NRw region, including structures and side streams. Knowledge about side and residue streams in the region, potentials of utilisation.	N/A	Access rights to background is only granted to the extent that it is strictly required for the implementation of the action, and subject to the terms and conditions of existing third-party agreements that may prohibit the granting of access rights	Access Rights to background is only granted to the extent that it is strictly necessary for the exploitation of another beneficiary's own results obtained within BIOTRANSFORM, under fair and reasonable conditions, subject to any legal restrictions or limits, including restrictions imposed by the rights of third parties and personnel, and existing IPR.	TBD

Table 5: Results

WP	#	Project result (PR)/ Achievement	Specific project result	Main Partner(s)	Contributing partner(s)	Related BG number	Short description of FG	R number	Type of protection	Conditions to use within BIOTRANSFORM	Interest in Further Commercialization of Project Results	Conditions to use after the end of project
1	1.1	Limits of the current linear fossil-based economy	Environmental, economic and social limits of linear fossil-based economies	Q-PLAN	ALCN, CluBE, VTT, HUB, CTA, CLIB		Evaluation of the environmental, economic and social limits of linear fossil-based economies in the project's focal regions.	R1.1.1	Copyright	Free to use while mentioning the copyright	TBD	TBD
1	1.2	Circular bioeconomy development in EU regions	Analysis of the status quo of circular bioeconomy development in EU regions	HUB	ALCN, CluBE, VTT, HUB, CTA, CLIB		Information on the current status of the circular biobased transitions in the EU regions, thus providing the baseline references to draft transition routes	R1.2.1	Copyright	Free to use while mentioning the copyright	TBD	TBD
1	1.3	Circular bioeconomy solutions	Database of useful and relevant circular bioeconomy solutions	VTT	ALCN, ACR+, CTA, CLIB, CluBE, HUB, Q-PLAN	BG1	Database of useful and relevant solutions to be integrated in the regional circular bio-based transitions pathways	R1.3.1	Copyright	Free to use while mentioning the copyright	TBD	TBD

1	1.4	Existing impact assessment methodologies	Review on existing impact assessment methodologies	CTA	LIST, ALCN		Review on already existing methodologies to assess environmental/ social/ economic impacts of fossil/ bio-based and linear/circular economies, as well as their transitions	R1.4.1	Copyright	Free to use while mentioning the copyright	TBD	TBD
1	1.5	Multi-actor approach in case-study regions	Organisation of a multi-actor approach in case-study regions	CluBE	ALCN, HUB, VTT, CTA, CLIB, ACR+		Organisation of stakeholders and the different actors involved in each region into a well-structured case-study region.	R1.5.1	Copyright	Free to use while mentioning the copyright	TBD	Free to use except for the personal data according to the privacy notices and consent forms signed
2	2.1	Impact assessment	Impact assessment tool	LIST	ALCN, VITO		A list of (lifecycle) sustainability assessment indicators within the “Doughnut Economics” model of planetary and social boundaries	R2.1.1	Copyright	Free to use while mentioning the copyright	TBD	TBD
2	2.2	BIOTRANSFORM's assessment package	Logistics tool	VITO			Software, that can optimise logistic pathways	R2.2.1	Copyright		Yes	Service contract
			Resource flow analysis tool	ALCN		BG1	Visualisation of in- and output of resources	R2.2.2	Copyright	Free to show while mentioning the copyright	Yes	Service contract
			Multi-criteria indicator overview	LIST/ALCN		BG1	Quick assessment of different possible solutions, showing the	R2.2.3	Copyright	Free to use while mentioning	Yes	Service contract

							potential outcome for certain parameters			the copyright		
			User manual for measuring specific impacts	ALCN	VTT, VITO, CTA, CLuBE, CLIB, HUB		a user manual for measuring specific impacts utilising tools in the assessment package.	R2.2.4	Free to use	Free to use while mentioning the authors	Can be used for replications	Free to share mentioning the authors
3	3.1	Transition roadmaps	Transition roadmaps from linear fossil-based to a circular bioeconomy of each case-study	ALCN	ACR+, CLuBE, CTA, LIST, VITO, HUB, CLIB	BG1	Roadmaps with milestones and circular economy guides for each case-study region including rural-urban-industrial symbiosis schemes presented as guide / action plan.	R3.1.1	Copyright	Free to use while mentioning the copyright	Yes, as further service	Free to apply in more regions in case with support from project partners
3	3.2	Transition guideline	Transition guideline as general document - extrapolation from roadmaps	ALCN	CLuBE, HUB		Easily understandable visualised guideline for a circular bioeconomy transition of regions	R3.2.1	Copyright	Free to use while mentioning the copyright	Yes, for replications	Guideline can be used when authors are mentioned
4	4.1	Suitable financing pathways	Financing roadmap	ACR+	ALCN, CTA, CLIB		A roadmap to assist public and private entities to take up funding/ financial solutions tailored to their needs	R4.1.1	Copyright	Free to use while mentioning the copyright	TBD	TBD

4	4.2	Transition financing and governance methodology	Specific methodology for regional governance and financing tools	ACR+	CluBE, CTA, ALCN	The methodology will consist of a short, practical guide to help regional authorities with the transition between linear fossil-based systems to circular bio-based ones and listing effective governance and financing instruments to do so.	R4.2.1	Copyright	Free to use while mentioning the copyright	TBD	TBD
4	4.3	Policy recommendations	Policy brief for transition from linear fossil-based to circular bioeconomy	ACR+	CluBE, ALCN, VTT, CTA, CLIB, HUB	Key policy recommendations to be implemented at European or national level to overcome the barriers and take advantage of the opportunities for the transition from linear fossil-based to a circular bioeconomy	R4.3.1	Copyright	Free to use while mentioning the copyright	TBD	TBD
5	5.1	Identity	website, brand, logo, social media, promo video	Q-PLAN	All Partners	The BIOTRANSFORM brand enhanced throughout the duration of the project facilitating the dissemination and exploitation of the project's outcome	R5.1.1	Copyright	Free to use while mentioning the copyright	TBD	TBD

5.3. Key Exploitable Results

Table 6: Key exploitable results

KER#	Key Exploitable Result	Short description of KER	Main partner(s)	Contributing Partner(s)	Related R number	Related BG number	KER Owner(s)	Potential IP protection	M	U	L	S	O	Most promising concerning M-U-L-S-O (which exploitation path is most promising by the proposed owner)
1	BIOTRANSFORM's impact assessment tool	BIOTRANSFORM's impact assessment tool to support decision making towards circular bioeconomy	LIST	ALCN, VITO	R2.1.1			Copyright		U2		S	O	U2
2	BIOTRANSFORM's assessment package and user manual	Logistics tool	VITO		R2.2.1		VITO ownership	Copyright		U2		S	O	U2, S
		Resource flow analysis tool	ALCN		R2.2.2	BG1	ALCN ownership	Copyright		U2		S	O	S
		Multi-criteria indicator overview	LIST/ALCN		R2.2.3	BG1		Copyright		U2		S	O	S

		User manual for measuring specific impacts utilising tools in the assessment package.	ALCN	VTT, VITO, CTA, CLuBE, CLIB, HUB	R2.2.4		Joint ownership - all partners	Copyright	U2	S	O	O	
3	BIOTRANSFORM's transition methodology	Transition roadmap development for regional authorities	ALCN	ACR+, CLuBE, CTA, LIST, VITO, HUB, CLIB	R3.1.1		Joint ownership - all partners	Copyright	U2	S		S	
4	Transition financing and governance methodology	Transition financing and governance support to help regional authorities shift between linear fossil-based systems to circular bio-based ones	ACR+	CLuBE, CTA	R4.2.1		Joint ownership - all partners	Copyright	U2	S	O	S	
5	Key policy recommendations.	Key policy recommendations to be implemented at European or national level to overcome the barriers and take advantage of the opportunities for the transition from linear fossil-based to a circular bioeconomy	ACR+	CLuBE, ALCN, VTT, CTA, CLIB, HUB	R4.3.1		Joint ownership - all partners	Copyright	U2	S	O	S	
4	Knowledge generation	Scientific publications and open data	CTA	LIST, ALCN	R 1.4.1	BG6	Joint ownership - T1.4 partners	Copyright	-	U2	-	-	U2

			All	All			TBD	Copyright		U2					U2
		Guidelines and roadmaps	ALCN	All	R3.2.1		Joint ownership - all partners	CC		U2	S	0			S

6. Exploitation plan per Key Exploitable Result

In this section of the Exploitation and Sustainability Plan the KERs of the BIOTRANSFORM project are described, along with the main contributors to their development. Information is also provided on who their intended users are, the benefits they stand to gain from exploiting that KER as well as on potential exploitation routes. In parallel, the main creator of each KER indicates any foreseeable action that may be needed to facilitate the intended exploitation route(s) of the KER, concisely outlining what needs to be done, when and by whom.

The above information is presented in two tables for each KER:

- One table summarizing the exploitation plan of that KER.
- A second table summarizing any actions needed for the exploitation of that KER.

Each KER is presented in a different sub-section of this section.

The Exploitation Plan per Key Exploitable Result constitute preliminary plan which have been developed according to the current stage of BIOTRANSFORM project and will be updated in the final version of Exploitation and Sustainability Plan on M28.

6.1. BIOTRANSFORM’s impact assessment tool

Table 7: Exploitation Plan for the BIOTRANSFORM’s impact assessment tool

KER Description	BIOTRANSFORM’s impact assessment tool to support decision making towards circular bioeconomy
Creators of KER	LIST is the creator of this KER with contribution from ALCN & VITO
Intended users and expected benefits from exploiting the KER	<ul style="list-style-type: none"> • Research institutes • Industry • Consultancies • Regional authorities <p>The BIOTRANSFORM’s impact assessment tool will support transitions to circular economy. More specifically the tool will provide quick overviews of the potential impact of possible transitions solutions by examining sustainability assessment indicators within the “Doughnut Economics” model of planetary and social boundaries. This way, decision-making will be supported and accelerated and different pathways will be compared. The quick impact assessment will facilitate decision-making in the first place and gives less room for lobbying.</p>
Intended exploitation route	Exploitation path #1: The impact assessment tool will be provided to the intended users who wish to proceed to a quick impact assessment to support and facilitate decision-making.

	<p>Exploitation path #2: The tools will be also utilised on other research projects and activities which demand quick assessment.</p> <p>Exploitation path #3: The tools will also be used for services for clients like regions, municipalities, biomass-processing organisations or other actors within the bioeconomy</p>
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Table 8: Actions needed for the exploitation of the BIOTRANSFORM's impact assessment tool

	What?	By whom?	When?
IPR	Copyright	LIST	Before the end of the project
Communication and dissemination	The impact assessment tool will be shown publicly through the project's website and will be promoted through events and publications in scientific journals of other interested media channels	ALCN, VTT, VITO, CTA, CluBE, CLIB, HUB	Before the end of the project

6.2. BIOTRANSFORM's assessment package and user manual

Table 9: Exploitation Plan for the BIOTRANSFORM's assessment package and user manual

KER Description	BIOTRANSFORM's assessment package is composed of 3 different tools (Logistics tool, Resource flow analysis tool and multi-criteria indicator overview) to help assess and establish transition pathways accompanied by a user manual for measuring specific impacts utilising tools of the assessment package.
Creators of KER	LIST, ALCN & VITO are the creators of this KER with contribution from VTT, VITO, CTA, CluBE, CLIB, HUB
Intended users and expected benefits from exploiting the KER	<ul style="list-style-type: none"> • Research institutes • Industry • Consultancies • Regional authorities <p>The BIOTRANSFORM's assessment package will provide awareness and tools for enabling the transformation towards a full circular bioeconomy by assessing environmental, social, and economic impacts of circular bio economies, and providing a comparison of circular bio-based vs linear fossil-</p>

	based economies. This way, decision-making will be supported and accelerated.
Intended exploitation route	<p>Exploitation path #1: The assessment package can be exploited as a standalone KER in the form of an additional consulting tool in order to facilitate transitions and decision-making</p> <p>Exploitation path #2: The tool will be also utilized on other research projects and activities which demand quick assessment.</p>

Table 10: Actions needed for the exploitation of the BIOTRANSFORM's assessment package and user manual

	What?	By whom?	When?
IPR	Copyright	All partners	Before the end of the project
Validation and fine-tuning	<p>The assessment package will be created by M12 and will be validated with pilot application to the 6 case-study regions</p> <p>The assessment package will be refined through co-creation workshops and feedback loops</p>	ALCN, VTT, VITO, CTA, CluBE, CLIB, HUB	Before the end of the project
Communication and dissemination	The impact assessment tool will be publicly available through the project's website and will be promoted through events and publications in scientific journals of other interested media channels	ALCN, VTT, VITO, CTA, CluBE, CLIB, HUB	Before the end of the project

6.3. BIOTRANSFORM's transition methodology

Table 11: Exploitation Plan for the BIOTRANSFORM's transition methodology

KER Description	Transition roadmaps from linear fossil-based to a circular bioeconomy for regional authorities
Creators of KER	ALCN is the creator of this KER with contribution from ACR+, CluBE, CTA, LIST, VITO, HUB, CLIB

Intended users and expected benefits from exploiting the KER	<ul style="list-style-type: none"> • Policy makers • Regional authorities <p>The transition methodology will aid policymakers in assessing and promoting policies in favour of the circular bio-based transition in Europe.</p>
Intended exploitation route	<p>This transition methodology will be exploited through a public route, ensuring maximum uptake by policymakers enhanced by communication activities</p>

Table 12: Actions needed for the BIOTRANSFORM's transition methodology

	What?	By whom?	When?
IPR	Copyright	ALCN	Before the end of the project
Communication and dissemination	The transition methodology will be publicly available through the project's website and will be promoted through events and publications in scientific journals of other interested media channels	ACR+, CluBE, CTA, LIST, VITO, HUB, CLIB	Before the end of the project

6.4. Transition financing and governance methodology

Table 13: Exploitation Plan for the Transition financing and governance methodology

KER Description	Transition financing and governance support to help regional authorities shift between linear fossil-based systems to circular bio-based ones
Creators of KER	ACR+ is the creator of this KER with contribution from CluBE, ALCN, CTA, CLIB
Intended users and expected benefits from exploiting the KER	<ul style="list-style-type: none"> • Policy makers • Regional authorities <p>The practical guideline targeting regional authorities will provide key principles and recommendations for a regional governance toward a circular bio-based economy, as well as how to fund and finance this transition assisting them to take up funding/financial and governance solutions tailored to their needs.</p>
Intended exploitation route	<p>This financing and governance roadmap will be exploited through a public route, ensuring maximum uptake by policymakers and regional authorities</p>

Table 14: Actions needed for the exploitation of the Transition financing and governance methodology

	What?	By whom?	When?
IPR	Copyright	ACR+	Before the end of the project
Communication and dissemination	The roadmap will be publicly available through the project's website and will be promoted through events and publications in scientific journals of other interested media channels	All partners	Before the end of the project

6.5. Key policy recommendations

Table 15: Exploitation Plan for the key policy recommendations

KER Description	Key policy recommendations to be implemented at European or national level to overcome the barriers and take advantage of the opportunities for the transition from linear fossil-based to a circular bioeconomy
Creators of KER	ACR+ is the creator of this KER with contribution from CluBE, ALCN, VTT, CTA, CLIB, HUB
Intended users and expected benefits from exploiting the KER	<ul style="list-style-type: none"> • Policy makers • Regional and national authorities • Relevant EU Initiatives <p>The main benefit from this asset is that policy makers can replicate our methodology for the transition towards circular bio-based systems and enable the establishment of transition pathways locally and across the EU in line with actual EU strategies.</p>
Intended exploitation route	A policy working group with EU stakeholders and the other grant(s) funded under this topic will be organized to discuss the conclusions of the project in terms of barriers and opportunities for the transition toward a circular bio-based economy while also integrating already existing recommendations.

Table 16: Actions needed for the exploitation of the key policy recommendations

	What?	By whom?	When?
IPR	Copyright	ACR+	Before the end of the project

Validation and fine-tuning	Policy working group	ACR+	Before the end of the project
Communication and dissemination	Promotion and dissemination of material through the BIOTRANSFORM communication channels (website, social media, newsletter, press releases), presentations by partners to various events and conferences and through partners networks.	All partners	By M36

6.6. Knowledge generation

Table 17: Exploitation Plan for the knowledge generation

KER Description	Scientific publications and open data, guidelines and roadmaps providing different insights and best practices on policymaking, regional stakeholder management, technical and sustainability issues
Creators of KER	All partners
Intended users and expected benefits from exploiting the KER	<ul style="list-style-type: none"> • Policy makers • Regional and national authorities • Academia <p>The different insights and best practices on policymaking, regional stakeholder management, technical and sustainability issues, etc. will be valuable knowledge for practitioners and academia providing guidance, knowledge and suitable tools to facilitate their work.</p>
Intended exploitation route	BIOTRANSFORM will transfer the knowledge in an understandable way through the scientific production of the project (peer reviewed articles), specific reports and white-papers for targeted stakeholders, e-learning materials and, more importantly, conclusions about the way forward in circular bio based transition policymaking and supporting tools.

Table 18: Actions needed for the exploitation of the knowledge generation

	What?	By whom?	When?
IPR	Copyright	All partners	By the end of the project

Communication and dissemination	Available in the project Website, open access repositories, promoted through events and publications in scientific journals of other interested media channels	All partners	By the end of the project
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7. Exploitation plan per partner

This section summarizes, in tabular format, the Key Exploitable Results of the BIOTRANSFORM project that each partner is currently interested the most to exploit, as well as how they intend to proceed to this end.

Table 19: Individual Exploitation Plans for partners

Individual Exploitation Plans of the BIOTRANSFORM partners	
BIOTRANSFORM partner: VTT	Key Exploitable Results of major interest: <ul style="list-style-type: none"> • BIOTRANSFORM's transition methodology • Knowledge generation (Guidelines and roadmaps) <p>Exploitation Plan: VTT is a visionary R&D and innovation centre, which has a mission to drive sustainable growth of business and society by tackling global challenges by the means of science and technology. VTT's interest on the transition methodology, guidelines and roadmaps of the assessment tool will be used as efficient means to guide local and governmental authorities as well as companies in bioeconomy transition and to accelerate the coordination between industries and policy makers. Additionally, VTT will utilise the above KERs to enrich inhouse existing knowledge and expertise and boost future collaborations with other R&D organisations, industries, academia, policy makers and civil society.</p>
BIOTRANSFORM partner: ALCN	Key Exploitable Results of major interest: <ul style="list-style-type: none"> • BIOTRANSFORM's circular bioeconomy assessment package, user manual and transition methodology <p>Exploitation Plan: ALCN is a Research and Innovation Institute dedicated to circular economy principles, creating out-of-the-box solutions by combining different disciplines. ALCN is predominantly interested to use the developed approach and the tools to consult regional authorities, cities, or even companies on how to transition from linear systems to circular ones. Moreover, ALCN will enrich its own expertise and knowledge by using the project's KERs to further expand their activities internationally.</p>
BIOTRANSFORM partner: LIST	Key Exploitable Results of major interest: <ul style="list-style-type: none"> • BIOTRANSFORM's circular bioeconomy assessment package and user manual

Exploitation Plan: LIST is a Research and Technology Organisation (RTO). The Environmental Sustainability Assessment and Circularity (SUSTAIN) research unit provides industry and policy makers with science-based assessment of the impacts and risks associated to manufacturing of products and technologies, consumption patterns, energy systems and the urban built environment. The main interest of LIST for BIOTRANSFORM assets is the “impact assessment package” to be further developed and applied in a replicable perspective, to support the definition and development of transition pathway towards sustainable, circular bioeconomy in European and other regions. The development of the assessment package will also enrich LIST’s existing knowledge and expertise, giving to it a competitive edge in the field of circular economy transitioning.

BIOTRANSFORM partner: VITO

Key Exploitable Results of major interest:

- BIOTRANSFORM’s circular bioeconomy assessment package and user manual

Exploitation Plan: VITO is an independent Flemish research organisation on a mission to accelerate the transition towards a sustainable world by creating innovative technological solutions and sharing in-house knowledge with businesses and government bodies. The main interest of VITO for BIOTRANSFORM assets is to use the developed approach, the circular bioeconomy assessment package and user manual for consultancies of regional authorities and companies and in future research projects.

BIOTRANSFORM partner: CTA

Key Exploitable Results of major interest:

- BIOTRANSFORM’s transition methodology
- Policy recommendations
- Knowledge generation (Guidelines and roadmaps)
- BIOTRANSFORM’s assessment package

Exploitation Plan: CTA, as an innovation cluster playing a key role in a region which is undergoing an ambitious transition towards a circular and greener economy with a relevant interest in boosting the bioeconomy as a key regional sector. CTA is intending to exploit the project’s results by providing and acquainting the policymakers of Andalucia (and other potential regions in Spain with the transition methodology and policy recommendations, to accelerate the transition in the region). CTA’s key role of increasing regional knowledge by promoting innovation between the regional stakeholders and its members, reinforces its aim to exploit the project’s results. CTA will be able to enhance its knowledge and experience in the bioeconomy field through exploiting the project’s KERs. Additionally, the project KERs will enrich the expertise and knowledge of CTA boosting the quality of its services to members and stakeholders and facilitating the involvement in EU projects.

BIOTRANSFORM partner: CluBE

Key Exploitable Results of major interest:

- BIOTRANSFORM’s transition methodology
- Policy recommendations
- Knowledge generation (Guidelines and roadmaps)
- BIOTRANSFORM’s assessment package

Exploitation Plan: CluBE, as a quadruple helix cluster playing a key role in a region which is undergoing an ambitious transition from being Greece’s primary coal energy producer for more than half a century. CluBE is intending to exploit the project’s results by providing and acquainting the policymakers of Western Macedonia with the transition methodology and policy recommendations, to accelerate the transition in the region. CluBE’s key role of increasing regional knowledge by promoting innovation between the regional stakeholders and its members, reinforces

its aim to exploit the project’s results. CluBE will be able to enhance its knowledge and experience in the bioeconomy field through exploiting the KERs.

BIOTRANSFORM partner: CLIB	Key Exploitable Results of major interest: <ul style="list-style-type: none"> ● BIOTRANSFORM’s transition methodology ● Policy recommendations ● Knowledge generation (Guidelines and roadmaps) ● BIOTRANSFORM’s assessment package
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Exploitation Plan: CLIB is an international open innovation cluster, focusing on industrial biotechnology as a key technology for sustainable products and processes in the circular bioeconomy. CLIB is interested in the above listed project KERs to increase its own expertise and knowledge on circular economy and will utilise them to help academia and industry including SMEs, as well as local and regional authorities in such transitions.

BIOTRANSFORM partner: HUB	Key Exploitable Results of major interest: <ul style="list-style-type: none"> ● BIOTRANSFORM’s impact assessment tool ● BIOTRANSFORM’s transition methodology ● Policy recommendations ● Knowledge generation (Guidelines and roadmaps) ● BIOTRANSFORM’s assessment package
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Exploitation Plan: BioEast HUB is a non-profit organization based in Prague (Czech Republic) supporting bioeconomy development in the wider Central and Eastern Europe (CEE) to support and promote bioeconomy. BioEast HUB is interested in most project KERS that will first of all enrich BioEast HUB expertise and knowledge on circular bioeconomy and will be used to support regions in the wider CEE to make such transitions by utilising the project generated knowledge and the relevant tools and methodologies developed.

BIOTRANSFORM partner: ACR+	Key Exploitable Results of major interest: <ul style="list-style-type: none"> ● Knowledge generation (Guidelines and roadmaps)
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Exploitation Plan: ACR+, as a network of local and regional authorities, is mostly interested in outputs that can support regional authorities to plan and coordinate circular bioeconomy strategies. ACR+ intends to spread the knowledge generated through the project across its network to support policy makers in the planning and coordination of circular bioeconomy strategies within their local contexts. The promotion of the results will be done through events, online advertising on ACR+ media channels and website and through direct contact with members. The provision of guidelines, methodologies and assessment methods to public authorities to establish and roll out circular biobased systems will facilitate a smooth transition to this model that is adapted to their specific context.

BIOTRANSFORM partner: Q-PLAN	Key Exploitable Results of major interest: <ul style="list-style-type: none"> ● Key policy recommendations ● Knowledge generation
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Exploitation Plan: Q-PLAN is an innovation and management consulting company that focuses its activities on European research, innovation and support actions in various sectors such as Bioeconomy and circular economy, business and finance support services to private and public organisations operating in several industrial and market sectors. The commitment of Q-PLAN to exploit BIOTRANSFORM’s assets stems from its strategic goal of integrating state-of-the-art

services in its portfolio, to facilitate its clients' innovation processes and growth. The key policy recommendations as well as the guidelines and roadmaps will enrich expertise and knowledge of Q-PLAN in a field where already is active leading to boosting the quality of its services and facilitating the involvement in such EU projects.

8. CONCLUSIONS AND NEXT STEPS

This first version of the BIOTRANSFORM Exploitation and Sustainability Plan described the strategy and methodology employed in this respect within the framework of BIOTRANSFORM, while also providing an overview of its Background and project Results as well its Key Exploitable Results. A dedicated tool, namely the IPR Matrix, has been elaborated in order to facilitate the identification and management of BIOTRANSFORM's Key Exploitable Results by project partners under the supervision of the Exploitation Manager (Q-PLAN) throughout the project.

Accordingly, the Exploitation and Sustainability Plan of BIOTRANSFORM will be updated to reflect the final project results along with their protection, ownership, access rights with the support of all partners. The final version of the "Exploitation and Sustainability Plan" will be elaborated on M28 and will provide a more accurate outline of the main exploitable assets of the project, the main target groups of external stakeholders (e.g. prospective end-customers) and the potential benefits they stand to gain from BIOTRANSFORM's outcomes, the exploitation plans per asset, per partner and per groups of partners. Alongside, the updated report will encompass the measures that have been taken to protect the partnership's IP as well as the respective IPR agreements, fostering the successful post-project exploitation and sustainability of the project's assets.

The Exploitation Manager is responsible for keeping the Exploitation and Sustainability Plan updated. In collaboration with all partners, they will monitor project activities as they evolve to timely capture innovation opportunities that may go unnoticed. In parallel, he will identify any potential conflicts of interest and facilitate their resolution before the end of the project, with a view to jointly fostering the smooth post-project exploitation of BIOTRANSFORM results.