



TransformAr

Accelerating and upscaling transformational adaptation
in Europe: demonstration of water-related innovation
packages

Preliminary Exploitation Plan

Deliverable 6.6



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ABBREVIATIONS

| Abbreviations | Description |
|---------------|-------------------------------------|
| GA | Grant Agreement |
| CA | Consortium Agreements |
| KER | Key Exploitable Result |
| IPR | Intellectual Property Rights |
| TA | Transformational Adaptation |
| CCA | Climate Change Adaptation |
| IP | Intellectual Property |
| IEM | Innovation and Exploitation Manager |
| IMB | Innovation Management Board |

EXECUTIVE SUMMARY

The following deliverable corresponds to the Preliminary Exploitation Plan (D6.6) for TransformAr's project results. This deliverable can be considered as a planning document useful for project partners regarding their possibilities, rights, and obligations to protect all created results in the framework of the project by Intellectual Property Rights. Similarly, this document can be considered as a consulting document to obtain additional information about how the exchange of information and results analysis are going to be carried out in order to design the Exploitation Strategy for TransformAr's results. This deliverable will be evolved and updated during the project lifetime.

Based on the forecast of the project's results, this Preliminary version of the Exploitation Plan (D6.6) describes the exploitation activities that will be developed during the project's lifetime, also points out result protection possibilities and summarises provisions and terms of the grant and consortium agreements (GA & CA) regarding TransformAr results protection. This document will establish, from the beginning of the project, the goals, guidelines, strategies, and workflows for partners to follow when developing the activities related to the transfer of knowledge and exploitation towards end-users, being updated regularly, since new results may come out during the project's development.

The Final Exploitation Plan (D6.7) will be delivered at the end of the fourth year of the project (M40), which will include joint exploitation objectives as well as partner-specific exploitation plans for each meaningful result. The final version of the Exploitation Plan will include the evaluation of patentability of Key Exploitable Results (KER) and will also include a description of actions leading to exploitation as well as the specific model and strategy for each exploitable result, summarising the possible exploitation strategies for the obtained TransformAr outcomes together with their most suitable channels for commercialization.

The design of actions leading to exploitation will be here described in order to set strategic guidelines for obtaining a specific model and strategy for the exploitation of each significant exploitable result. With this objective in mind, we must initially highlight two fundamental pillars on which the proper execution of a Results Exploitation Plan is based:

- **Project results collection:** different types of results are expected within the project, from services or tools to new methodologies or strategies. All these results will be analysed in order to define which of them are more likeable to be exploited. Similarly, it will be necessary to agree which results will be made publicly available and which will be kept confidential for the exclusive use by the project partners.
- **Intellectual Property Rights (IPR) management:** To define a tailor-made and effective exploitation strategy for TransformAr results it will be necessary to ensure that the dissemination measures proposed during and after the end of the project are aligned with exploitation requirements and IPR (Intellectual Property Rights) management procedures, in particular, the disclosure of new ideas with commercial potential.

1.0 PROJECT SUMMARY

Climate change impacts are here and now. The impacts on people, prosperity and planet are already pervasive but unevenly distributed, as stated in the new EU Blueprint strategy (European Commission-EC, 2019). To reduce climate-related risks, the EC and the IPCC agree that transformational adaptation (TA) is essential. In TransformAr, TA refers to the upscaling and acceleration of systemic climate change adaptation (CCA). TransformAr will break down to major barriers for TA, reflected also in the EU Blueprint on adaptation: the need for more and better data, deeper knowledge and faster deployment of solutions, limited awareness on the need for adaptation and limited resources (financial and human) to make the transition from adaptation planning to actual implementation. TransformAr aims to develop and demonstrate solutions and pathways, deemed essential for climate and social resilience, to achieve rapid and far-reaching transformational adaptation across the EU. Transformational adaptation will be triggered by a co-innovation process that will co-create transformational adaptation pathways for six demonstrator regions and communities in Europe.

During the development of the project, several results are expected to be obtained and the main objective of the Preliminary Exploitation Plan is to establish, from the beginning of the project, the goals, guidelines, strategies, and workflows for partners to follow when developing the activities related to the transfer of knowledge and exploitation towards end-users. The following Preliminary Exploitation Plan document will describe the different involved actions within this task that can be used by the partners as Exploitation of results related activities guidelines:

- **RESULTS COLLECTION (Section 5):** In this section, a general description of the key exploitable results (KER) of the project will be included. Throughout the development of the project, this list will be continuously updated.
- **LIST OF EXPLOITABLE RESULTS (Section 6) AND EXPLOITATION ANALYSIS (Section 7):** Once the key results of the project have been compiled, they will be analysed to identify those that are considered innovative to be transferred to the market. It will be necessary to analyse their markets, competitors, applicability, value proposition, innovation degree and technological readiness level (TRL), to determine exploitability potential and potential impact of each result.
- **EXPLOITATION STRATEGY (Section 8):** This section will describe partners-specific exploitation plans, including the most adequate path for protecting the results through IPR, the proposed exploitation route and the proposed action plan. For the preliminary version, this section contains a roadmap of an exploitation strategy. Then, for each of the exploitable results identified, the most appropriate exploitation strategy will be drawn up, considering the interests of the partners as well as taking into account the state of the art and market information obtained in the previous section.

2.0 GRANT AGREEMENT AND CONSORTIUM AGREEMENT ARTICLES RELATED TO EXPLOITATION

This chapter is left empty for the present public version. Further details can be reviewed in the confidential annex and it will be completed during the analysis of the results and enhanced by the actions taken by the partners and the consortium as a whole for the Final Version of the Exploitation Plan that will be available at the end of the project.

3.0 OBJECTIVES OF THE EXPLOITATION PLAN

This Exploitation Plan will set a strategic plan to exploit the results generated throughout the project, allowing for the implementation of the strategic plan beyond TransformAr's lifetime.

Partners will develop new scientific knowledge that will be disseminated when relevant. The process for knowledge projection will be defined in the Exploitation Plan to define the rights to each partner and the possibilities incurred by the solutions development, both for the patenting and exploitation plan.

A final version of the Exploitation Plan will contain the routes for the project results, including the joint exploitation objectives as well as the partner-specific exploitation plans for each significant result. It will also include a description of actions leading to exploitation as well as the specific model and strategy for each exploitable result.

To maximise the impact of the exploitation activities, the involvement of all partners in the exploitation plan activities and in the achievement of the described objectives is highly recommended.

Additional information can be reviewed in the confidential annex and it will be completed during the analysis of the results and enhanced by the actions taken by the partners and the consortium as a whole for the Final Version of the Exploitation Plan that will be available at the end of the project.

4.0 EXPLOITATION STRATEGY DEFINITION AND RELATED EXPLOITATION ACTIVITIES

This chapter is left empty for the present public version. Further details can be reviewed in the confidential annex and it will be completed during the analysis of the results and enhanced by the actions taken by the partners and the consortium as a whole for the Final Version of the Exploitation Plan that will be available at the end of the project.

5.0 RESULTS COLLECTION

This chapter is left empty for the present public version. Further details can be reviewed in the confidential annex and it will be completed during the analysis of the results and enhanced by the actions taken by the partners and the consortium as a whole for the Final Version of the Exploitation Plan that will be available at the end of the project.

6. LIST OF EXPLOITABLE RESULT(S)

Not all the project results of the project are exploitable. Furthermore, the partners may have developed different kinds of exploitable results e.g. process, technologies, methods, protocols, recommendations for standards. This section will include an analysis of those results with potential to be exploited. *(This section will be left empty for the current version. It will be continuously updated through the coming years)*



and enhanced by the actions taken by the partners and the consortium as a whole for the Exploitation Plan of the results that will be available at the end of the project.)

Additional information can be reviewed in the confidential annex and it will be completed during the analysis of the results and enhanced by the actions taken by the partners and the consortium as a whole for the Final Version of the Exploitation Plan that will be available at the end of the project.

7.0 EXPLOITATION ANALYSIS

The expected results will be analysed with respect to their potential to be exploited as global and individual solutions.

Additional information can be reviewed in the confidential annex and it will be completed during the analysis of the results and enhanced by the actions taken by the partners and the consortium as a whole for the Final Version of the Exploitation Plan that will be available at the end of the project.

8.0 EXPLOITATION STRATEGY

After collecting and analysing all the potential outcomes the analysis of the possible exploitation strategies will take place.

Additional information can be reviewed in the confidential annex and it will be completed during the analysis of the results and enhanced by the actions taken by the partners and the consortium as a whole for the Final Version of the Exploitation Plan that will be available at the end of the project.

9.0 FUTURE TASKS AND EXPLOITATION RECOMMENDATIONS

Future task and exploitation recommendations can be divided depending on the potential exploitation strategy discussed with consortium partners grounded on their interests:

- Non-commercial exploitation: as further research activities, policy recommendations, ...
- Commercial exploitation: as developing a new product, process or services.

Additional information can be reviewed in the confidential annex and it will be completed during the analysis of the results and enhanced by the actions taken by the partners and the consortium as a whole for the Final Version of the Exploitation Plan that will be available at the end of the project.

ANNEX A: DISCLAIMER

Diligence

The execution of the project has been carried out with the maximum diligence, according to the published information and the state of the art at all times. The execution of the project does not require the incorporation or identification of all the documentation which could potentially exist related to an investigation, but only the one that can be accessed at any time. Considering that generally the part of the investigation is carried out following certain patent classifications to obtain a reproducible result, this circumstance constitutes an essential restriction which determines that relevant documents are not identified, since the patent offices have been able to use other classifications. Another relevant restriction is that the patent applications are not published in most countries until 18 months after the application has been filed in the patent office, so that only after that can they be identified. This implies that highly relevant documents may not have been found in a precise moment. Therefore, the execution of the project does not require assuring the legal terms of the investigation or the specific legal scope of the protection, obligations and rights which are included in the regulation of intellectual property, which, furthermore, do not constitute the purpose of this project.

Integrity

In the execution of projects, FEUGA is not responsible for the integrity, precision and update of the information contained in the databases used that are owned by third parties, as well as the various sources of information used that are owned by third parties and which are related with the intellectual property, patent standards and scientific literature.

Responsibility

FEUGA is not responsible of any infringement, damage or prejudice related to the technological project or the legal situation of the identified intellectual property. The responsibility of FEUGA related to the results of the investigation is limited to possible failures of its strict obligations in the framework of the execution of the service and is limited to the maximum cost incurred to the development of the service.



Climate change impacts are here and now. The impacts on people, prosperity and planet are already pervasive but unevenly distributed, as stated in the new EU Blueprint strategy (European Commission-EC, 2019). To reduce climate-related risks, the EC and the IPCC agree that transformational adaptation is essential. The TransformAr project aims to develop and demonstrate products and services to launch and accelerate large-scale and disruptive adaptive process for transformational adaptation in vulnerable regions and communities across Europe.

The 6 TransformAr lighthouse demonstrators face a common challenge: water-related risks and impacts of climate change. Based on existing successful initiatives, the project will develop, test and demonstrate solutions and pathways, integrated in Innovation Packages, in 6 territories.

Transformational pathways, including an integrated risk assessment approach are co-developed by means of 9 Transformational Adaptive Blocks. A set of 22 tested actionable adaptive solutions are tested and demonstrated, ranging from nature-based solutions, innovative technologies, financing, insurance and governance models, awareness and behavioral change solutions.



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