



ASSOCIAZIONE  
ITALIANA  
PER LA RICERCA  
INDUSTRIALE



# Responsible partnering for collaborative research and knowledge transfer

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Outsourcing della Ricerca Industriale  
PROBLEMATICHE E POTENZIALITA' DELLA RICERCA AFFIDATA A TERZI  
(IN ITALIA, ALL'ESTERO, IMPORTATA)

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# Outline of the Presentation

- Brief words about EARTO and RTOs
- The rise of R&D outsourcing
- Responsible Partnering Initiative
- New mechanisms to foster collaborative research and knowledge transfer in EU R&D and Innovation Policy

## Brief Words about EARTO and RTOs 1/3

### **EARTO DEFINES RTOs AS**

*“...organisations ... which as their predominant activity provide research and development, technology and innovation services and which are managerially independent”*

- RTOs are **mission-orientated** research organisations
- They **build bridges** between basic research and practical applications
- They cover **all sectors** from energy to security or medical devices
- **Putting knowledge to practical use is the common denominator**

## Brief Words about EARTO and RTOs 2/3

### **Examples of RTOs typical activities:**

- Basic and applied research
- Advanced engineering
- Design and development
- Measurement and tests
- Prototype production
- Licensing and spin-off formation...

### **RTO Business Model:**

- Some “core” funding – depends on the country
- Greatest part of their funding is won competitively
- Mix of public competitive funding and private contracts

# Brief Words about EARTO and RTOs 3/3

## **EARTO represents 350 RTOs**

- 150,000 employees, €15 billion annual turnover
- More than 100,000 customers annually
- Some of our larger members: VTT, SINTEF, TNO, VITO, Fraunhofer, CEA
- EARTO members in Italy: AIRI, D'Appolonia, CETMA, EURAC, Tecnoalimenti

## **EARTO's Mission**

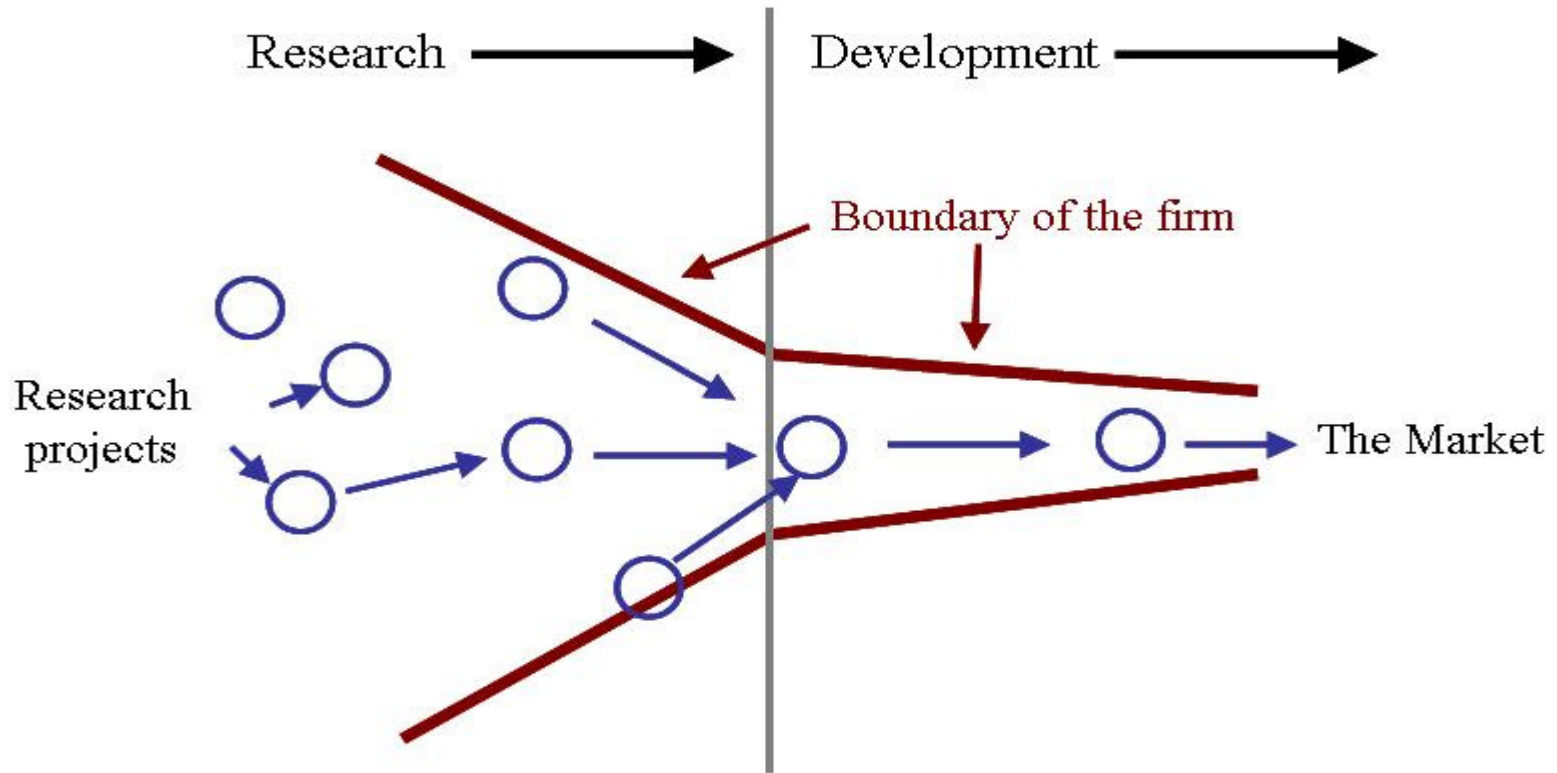
- Representing its members' view to EU decision-makers
- Lobbying for EU programmes adapted to RTOs' needs
- Promoting the "RTO branding"
- Acting as a Forum for Exchange of Information and Cooperation



# The Rise of R&D Outsourcing – Towards Open Innovation 1/4

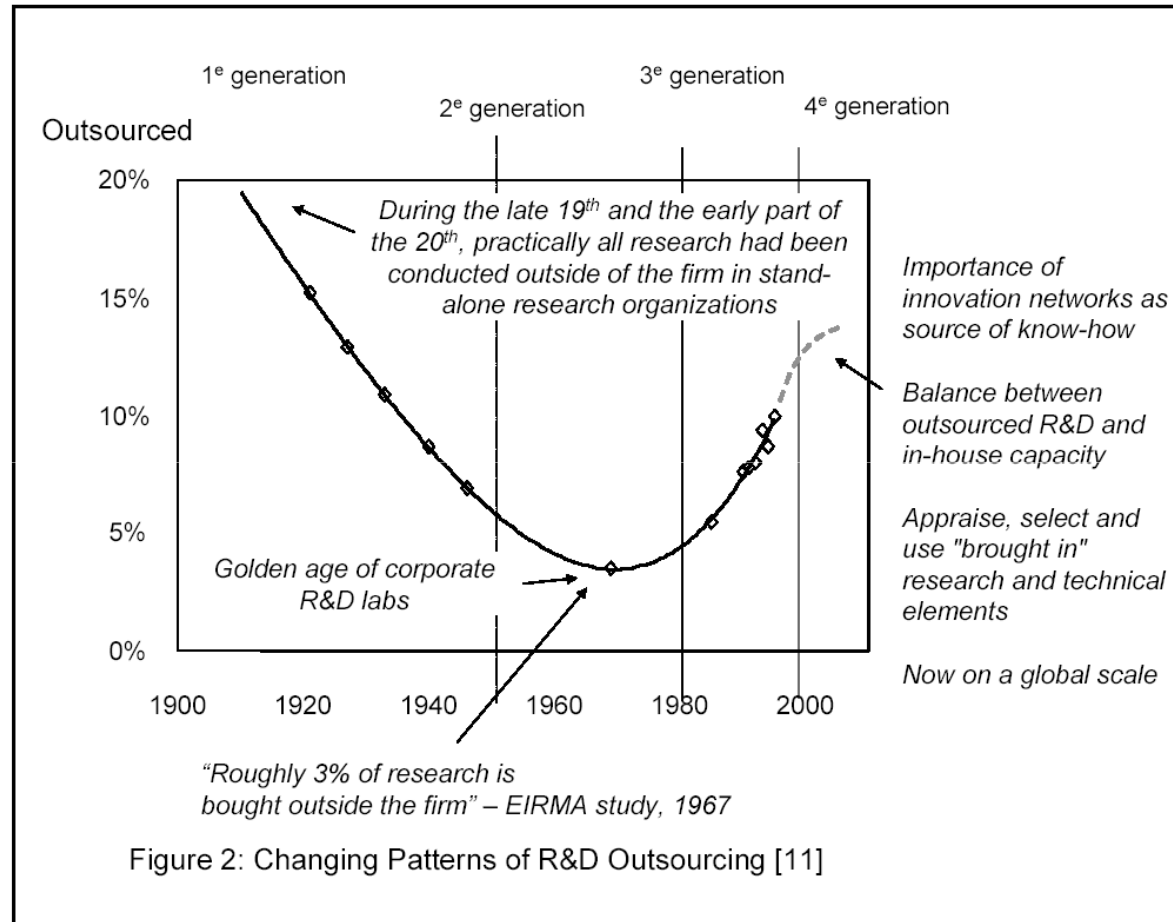


# The Rise of R&D Outsourcing – Towards Open Innovation 2/4



Source: Henry William Chesbrough (2006) "Open Innovation: The New Imperative for Creating and Profiting from Technology"

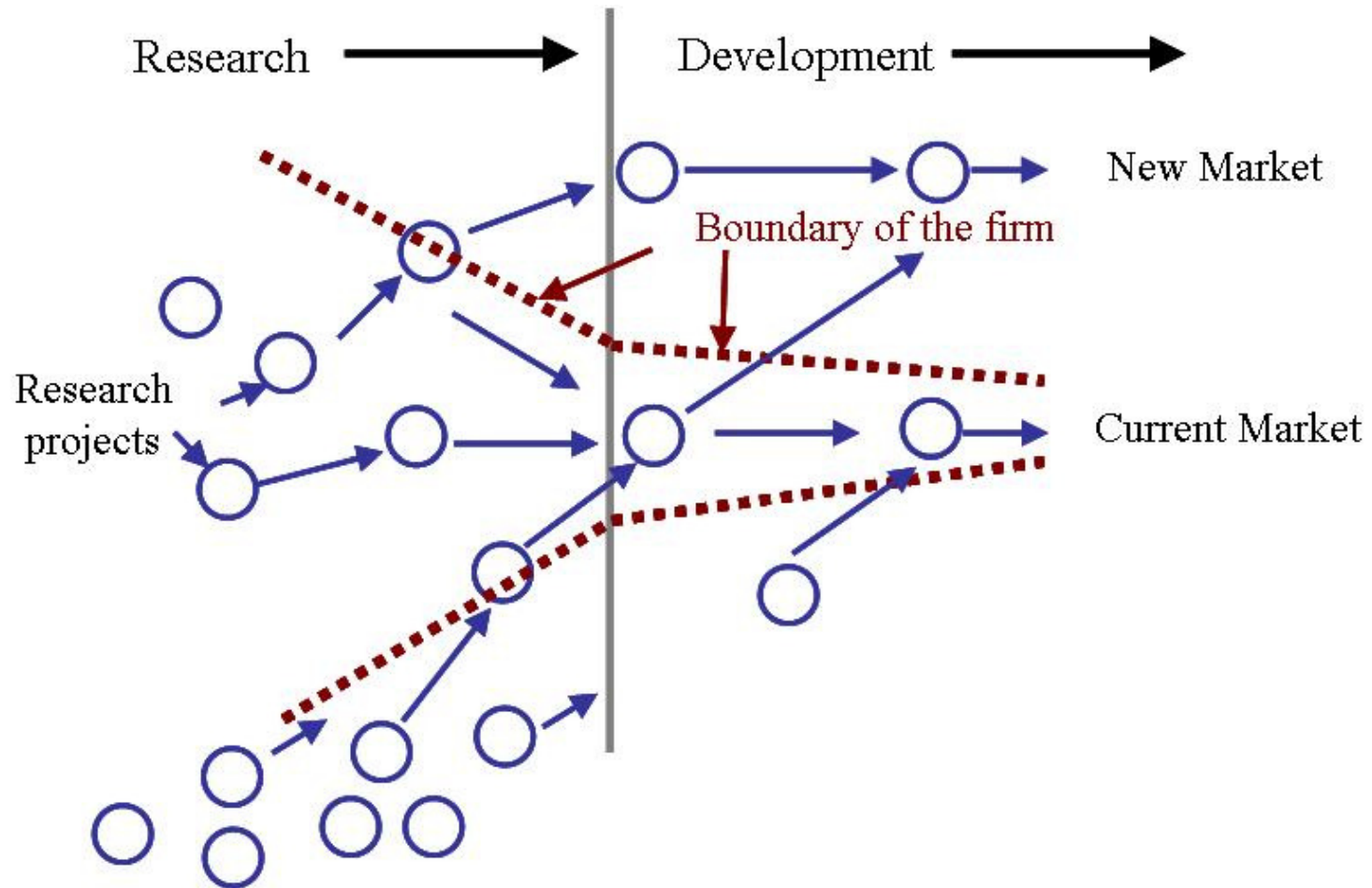
# The Rise of R&D Outsourcing – Towards Open Innovation 3/4



Responsible Partnering, European Commission, January 2005, p. 3

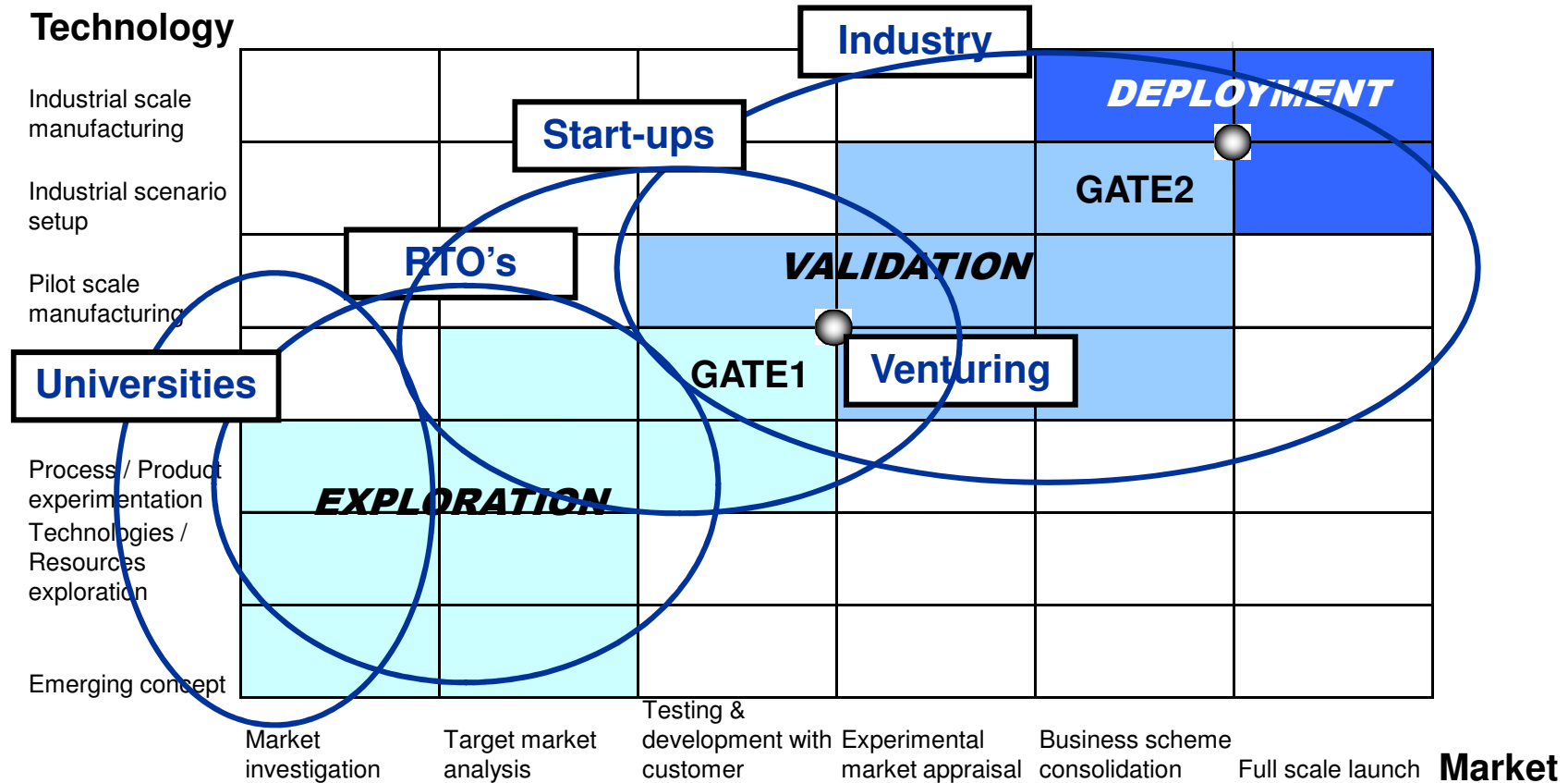


# The Rise of R&D Outsourcing – Towards Open Innovation 4/4



Source: Henry William Chesbrough (2006) "Open Innovation: The New Imperative for Creating and Profiting from Technology"

# Complementarity of Skills in an Open Innovation Environment



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# Responsible Partnering Initiative and Handbook



- Launched in 2004
  - By EIRMA, EUA, EARTO, ProTon Europe
- First Handbook released in 2005
  - “Living document”
  - Voluntary code of conduct, based upon internal commitment and self-assessment rather than certification
  - Designed by practitioners
  - Intended for senior managers with strategic/operational responsibilities
- Endorsed by key stakeholders
  - Commissioners Potočník and Verheugen
  - Aho report 2006
  - BUSINESSEUROPE

# 2009 Edition – Responsible Partnering



- Updated to include latest developments
  - Conclusions of Responsible Partnering Conference, Lisbon, December 2007
  - EC Recommendation on IP Management and Code of Practice, 2008
  - Results of DOC-CAREERS project, 2009
  - Analysis of issues such as SMEs, State aid, Human Factors
- Published on <http://www.responsible-partnering.org/>

# Contents 2009 Responsible Partnering Guidelines

## Definitions

1. Scope and Purpose
2. Collaborative Research and Knowledge Transfer as Key Sources of Innovation: Changing Patterns and Changing Obligations
3. How to be a Responsible Partner
4. The Human Aspects of Effective Collaboration **NEW**
5. Identifying Good Partners
6. Constructing the Collaborative Research Agreement
7. Other Legal Aspects of Collaboration **NEW**
8. Concluding Remarks

Appendix: Implementation Guidelines and Checklists **NEW**

## References



# Responsible Partnering: Key Principles

- Key principle: well-managed collaboration between public and private sector bodies benefits everyone
- Mutual understanding, respect and give-and-take for win-win and lasting partnerships
- Handbook develops guidelines for strategic and operational management and self-assessment compliance process
- Takes into account different needs, activities and mindsets of partners
- Aims to improve IP management by universities and research organisations
- « Fair returns » for all partners

## Guidelines – How to be a Responsible Partner 1/2

- Treat collaboration strategically
- Align interests
- Organise for lasting relationships
- Provide the right professional skills
- Establish clear intent
- Use standard practices and communicate regularly

## Guidelines – How to be a Responsible Partner 2/2

- Achieve effective IP management
- Provide relevant training
- View Innovation as trans-disciplinary activity
- Foster strong institutions
  
- **Structured approach needed to implement the guidelines**
- **Self-assessment checklist in the booklet**

# Human Aspects of Effective Collaboration

## General principles

- Organisations must select the right people
- Benefit of collaboration for individual employees must be clearly highlighted

## Specific Recommendations

- Training for young researchers is essential: entrepreneurship, transferable skills
- Encourage multidisciplinary and team-based approaches
- Flexible approach depending on research focus
- Adapting skills development to type of partners
- Regular review procedures to secure commitment
- Partner-orientated mindsets

# How to Identify Good Partners

## **Provide clear contact points for prospective partners**

### **Tools to identify good partners:**

- Scientific publications
- Patents
- Scientific conferences
- Seminars and other form of direct interaction
- EU FP projects
- Intermediaries (EC, membership associations, etc...)
- Internal company networks



# Other Points Covered – Responsible Partnering Handbook

## Collaborative Research Agreement

- How to prepare negotiations: adaptation to the partnership's goals
- Model Agreements (DESCA, Lambert, etc..)
- List of points usually covered in a Collaborative research Agreement

## Other legal aspects of collaboration

- State Aid rules in Public-Private R&D partnerships (direct: funding; indirect: IP transfer) – **possible revision in 2011**
- Competition and anti-trust

## Self-Assessment Checklist

# EU R&D and Innovation Policy – Mechanisms to Foster Collaborative Research and Knowledge Transfer 1/3

## EC has recognised importance of **Open Innovation**

- Need for EU programmes and measures to foster collaborative research and knowledge transfer recognised
- **FP7**: main instrument to foster R&D partnerships between universities, research institutes, including RTOs, and industry

## **New mechanisms launched in 2008-10:**

- Public-Private Partnerships (JTIs, PPPs of the Recovery Plan and Future Internet PPP)
- EIT (KICs)

## EU Innovation Union Strategy – 6 October 2010

### European Innovation Partnerships

- New concept to tackle Grand Societal Challenges and cover the whole Innovation Chain
- Partnership between all actors: universities, research institutes (incl. RTOs), industry, civil society and decision-makers
- Challenge-driven and cross-disciplinary
- Steering Board with representatives from all categories
- Opportunities for further collaboration

# EU R&D and Innovation Policy – Mechanisms to Foster Collaborative Research and Knowledge Transfer 3/3

## **New EU set of Model Consortium Agreements**

- EC to foster effective collaborative research and knowledge transfer
- Instrument: sets of model consortium agreements with different IP management models

## **European Knowledge Market for Patent and Licensing**

- EC proposals by end 2011
- Will build on MS experience in IP trading platforms and market place

## **Competition Policy – EC review**

- Implications of collaborative IPR agreements on competition

## **Open Access for publically-funded programmes?**



Thank you for your attention!

Responsible Partnering Handbook available online:

<http://www.responsible-partnering.org>