



# A circular multilayer plastic approach for value retention of end-of life multilayers films

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## D7.2: PLAN ON DISSEMINATION AND EXPLOITATION

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**WP7: Pre-normative studies, dissemination,  
communication and exploitation**

### Project Information

|                           |                               |
|---------------------------|-------------------------------|
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### Document information

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## Table of Contents

|   |    |
|---|----|
| Abbreviations.....  | 4  |
| Executive summary .....                                     | 5  |
| Introduction .....  | 6  |
| Dissemination and Exploitation Team (DET) .....             | 7  |
| SECTION A. DISSEMINATION PLAN .....                         | 9  |
| Dissemination Strategy.....                                 | 9  |
| Dissemination activities .....                              | 10 |
| Specific actions towards brand owners.....                  | 14 |
| Specific actions towards policy makers .....                | 14 |
| Research & Innovation Open to the World (Open Science)..... | 15 |
| Dissemination procedure .....                               | 15 |
| Monitoring and evaluation of dissemination .....            | 16 |
| SECTION B. EXPLOITATION PLAN.....                           | 18 |
| Exploitation definition.....                                | 18 |
| Exploitation and IPR Strategy .....                         | 18 |
| Exploitation and IP management process.....                 | 19 |
| Key Exploitable Results.....                                | 20 |
| Monitoring and way forward .....                            | 22 |
| Annex I - Procedure for dissemination of results .....      | 23 |
| Annex II – Dissemination and Exploitation Board .....       | 27 |
| Annex III – Dissemination Reporting Tool .....              | 28 |
| Annex IV – List of events with participation of CIMPA ..... | 29 |

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## Abbreviations

|                   |   |
|-------------------|---|
| DEB               | Dissemination and Exploitation Board              |
| DET               | Dissemination and Exploitation Team               |
| DMP               | Data Management Plan                              |
| DW                | Digital Watermarking                              |
| GPL               | General Public License                            |
| IP                | Intellectual Property                             |
| IPR               | Intellectual Property Rights                      |
| KPI               | Key Performance Indicator                         |
| LCA               | Life Cycle Analysis                               |
| ML                | multilayer  |
| NIR               | Near Infra-Red                                    |
| OA                | Open Access                                       |
| PEDR              | Plan of Exploitation and Dissemination of Results |
| RTO               | Research Technology Organisation                  |
| scCO <sub>2</sub> | Supercritical CO <sub>2</sub>                     |
| TEA               | Techno-Economic Analysis                          |
| TRL               | Technology Readiness Levels                       |
| WP                | Work Package                                      |

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## Executive summary

The present Plan on Dissemination and Exploitation (D7.2), prepared within the WP7: “Pre-normative studies, dissemination, communication, and exploitation”, will ensure that all actions to disseminate, exploit and protect the results generated by the project are considered and coordinated. The two key areas addressed by this deliverable are the dissemination and the exploitation actions which are separately reported in Dissemination Plan (Section A) and Exploitation Plan (Section B).

The report provides a comprehensive plan of the dissemination activities expected and mapped at the outset of the project, to meet the KPIs that have been further established. Events where CIMPA's results will be presented are detailed, as well as expected workshops and envisaged further exploitation of results (depending on confidentiality restrictions), and other actions to be performed in tasks 7.3 (Dissemination activities towards scientific and industrial communities) and task 7.4. (Exploitation management). The results of the dissemination will include all the relevant information on what was actualized, following the plan (i.e., abstracts of scientific articles published, minutes from conferences attended).

The following section will detail the exploitation plan: mapping key exploitable results and assessing how they will be used and how the partners can exploit them. Clear and coherent principles will guide the exploitation of results, as well as intellectual property and data management. Specifically, these aim to coordinate the rights to results and background rights, in accordance with the commercial interests of partners.

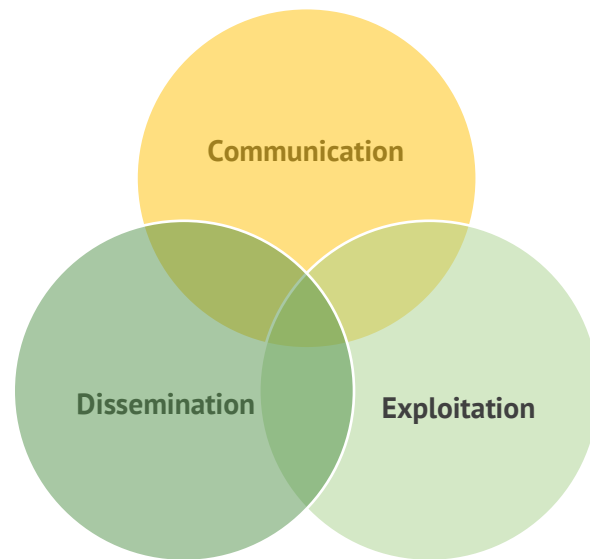
This version is a preliminary one, due at M6. Therefore, there are limited dissemination and exploitation activities on-going.

This document will be regularly reviewed and updated in periodic reports at M18 and M36 to ensure that its objectives are met and amended if necessary.

## Introduction

Communication, dissemination and exploitation activities are instrumental for the successful implementation of CIMPA research and innovation findings. The consortium has set up a whole work package (WP7) that will undertake in a coordinated way these actions. These activities are independent and will be carried out in a synergetic way so that they can feed each other in a virtuous cycle while preserving the interests of all partners.

Three types of activities will be implemented:



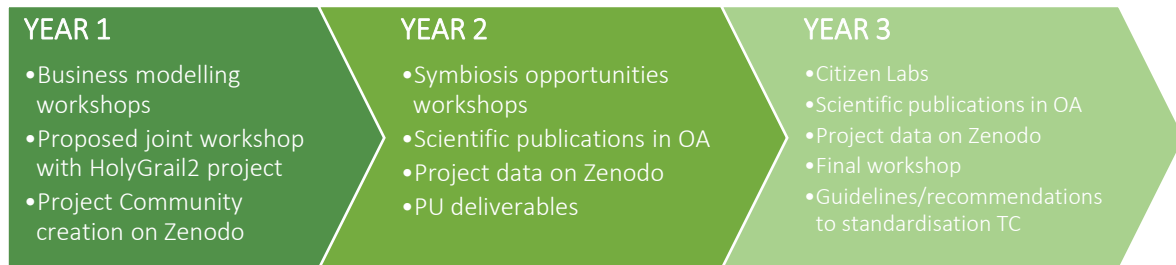
1. **Communication activities** to raise awareness of the project aims and outputs amongst broad stakeholder base including EU citizens. Through these activities, CIMPA will show its strong societal impact regarding the protection of the environment and resources sustainability with a first methodology for circular economy of multilayers.
2. **Dissemination activities** will support technical dissemination and industrial outreach for results use. This will include publishing scientific and technical data in order to make them available to well targeted groups to foster new developments of methodologies for reusing plastic multilayers. It also includes actions towards stakeholders of the industrial value chain in order to prepare the communities for effective take-up, to reach early adopters (within the realm of e.g. packaging manufacturers, sorting centers and recyclers) who will motivate changes, and to increase policy-makers' awareness to influence tomorrow's legislations and standards.
3. **Exploitation & IPR activities** in order to set up IPR strategy and Exploitation plan for the project results to ensure that all partners will have complementary business strategies and that freedom-to-operate conditions will be guaranteed for all of them, as well as an efficient protection of the projects' results.

The early months of the project will focus on raising awareness and establishment of a wide audience base. As the first results and deliverables are reached, the activities will be more targeted, with technical content.

### Communication activities



### Dissemination activities



## Dissemination and Exploitation Team (DET)

A dedicated Dissemination and Exploitation Team (DET) will be in charge of coordinating the activities for the promotion and exploitation of results. The DET will be composed of:

### Dissemination Manager (EuRIC)

- Represented by **Emmanuel Katrakis**. Emmanuel Katrakis has a wide experience in communication notably towards recyclers but also industry, the EC, decision-making authorities, and general public. Emmanuel Katrakis is used to collaborate with the recycling industry to ensure that CIMPA's results will be promoted towards the recycling industry in Europe through the organization of fairs notably.

### Exploitation and IP Manager (PAPREC)

- Represented by **Sophie Sicard**, Advisor to the General Manager at PAPREC. Sophie Sicard has a wide experience in international collaborations, and PAPREC is particularly well positioned to play this role since its activities cover a large part of the plastic recycling value chain: collection, sorting and recycling.
- With the support of **Nadège Boccon**, chemistry engineer with extensive experience in innovation and IP management from BENKEI.

Both the Dissemination and Exploitation Managers will closely work together as well as with the other academics, RTOs, and companies of the project in order to make sure that all targeted audiences will be reached. They will oversee the project's results management: results tracking, dissemination and protection strategy, consolidation of the PEDR. A procedure will be

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implemented to ensure that the management of the results will be carried out in agreement with the overall dissemination and exploitation strategy of CIMPA.

The DET will convene ordinary meetings in parallel to the Steering Committee or General Assembly and extraordinary meetings at any time upon written request of any member of the DET.

The DET shall give notice in writing of a meeting to each Member of that Consortium Body as soon as possible and no later than 14 calendar days preceding the ordinary meeting or 7 calendar days for extraordinary meetings.



## SECTION A. DISSEMINATION PLAN

### Dissemination Strategy

#### Objectives

Summarising the EC definition of Dissemination as “the public disclosure of the results by any appropriate means ensuring results available for others to use”, the main dissemination objectives are to:

- a) run an effective and tailored dissemination plan to ensure the best impact of project results;
- b) develop a comprehensive set of communications materials to ensure a successful positioning of the project, exposure and delivery of its results;
- c) deliver CIMPA’s expected results and progress to the defined target groups using effective communication tools and channels.

Moreover, dissemination is a legal obligation of beneficiaries under Horizon 2020 model grant agreements.



#### *Obligation to disseminate results (Article 29.1 of the Model Grant Agreement)*

*Unless it goes against their legitimate interests, each beneficiary must — as soon as possible — ‘disseminate’ its results by disclosing them to the public by appropriate means (other than those resulting from protecting or exploiting the results), including in scientific publications (in any medium).*

#### Subject of dissemination

The following general subjects of dissemination have been identified:

- i. publishable research results (reached objectives and achievements) and if relevant research data sets
- ii. developed techniques and methodologies (in view of pre-industrial research impacts)
- iii. developed tools and technologies (in respect of industrial IPR issues)
- iv. innovation aspects (in an “open innovation” perspective).

All dissemination activities will include the following:



Key exploitable project results have been analysed and selected to be disclosed by appropriate means, in order to get them used (exploited).

By sharing outputs and research results with the rest of the scientific community and potential users, CIMPA will contribute to the development on new sorting, recycling, decontamination

and upgrading technologies for a circular economy of multilayers plastics and thus, the progress of science in general.

The following 17 deliverables of the projects will be public:

1. D1.2. Circularity-by-design guidelines for the next generation of recyclable films capable of substituting today's difficult-to-recycle multilayers.
2. D1.8. Second version of the open-source model as a prediction tool for design of simple multilayer films.
3. D2.1. Characterization of multilayers in incoming waste flows (household and agricultural).
4. D2.6. Waste preparation protocol and batches to be delivered to WP3, WP4, WP5.
5. D3.5. Publishable report on production of multi-layered films from mechanically recycled ML films.
6. D4.6. Publishable report on physical recycling of ML films.
7. D5.5. Publishable report on holistic evaluation of circularity of ML films.
8. D6.2. Screening LCA, environmental hotspots and data gaps.
9. D6.3 Screening LCC.
10. D6.4 Circularity Assessment of CIMPA multilayer packaging Solutions.
11. D6.5 CIMPA's circular driven Business models for multilayer packaging Solutions.
12. D7.1 Communication Plan.
13. D7.2 Plan on dissemination and exploitation.
14. D7.3 Project web-site.
15. D7.4 Scientific and industrial papers report.
16. D7.5 Report on clustering activities.
17. D7.8 final report on legislative and pre-normative actions including policy brief.

## Dissemination activities

Effective dissemination channels and platforms will be used to disseminate results that emerge throughout the project in a targeted manner. Some of the channels/platforms are:



Moreover, according to the information needs of the envisaged target groups, different dissemination activities have been planned towards potential users - peers in the research field, industry, other commercial players, and policymakers.

### Specific actions towards universities and technical centres

Results from the developments and scale-up of the different processes developed in CIMPA by RTOs (mechanical recycling, physical recycling, decontamination, reprocessing) will be published in peer-reviewed journals with the aim of showing to the scientific community the technical details and steps towards a full reuse of plastic multilayers. Partners will take care:

- a) to select gold access to allow the whole community to get access to the project results.
- b) to send a summary of papers to partners expecting to protect results to make sure publication does not jeopardize results patentability according to the project process/policy .

Open data access will be provided through specific repositories as explained in the Data Management Plan for every scientist to have access to research data, provided there is no conflict with IP exploitation.

It is expected that these results will also lead to the generation of new designs of multilayers, with the introduction of new materials developed by academics and research centres.

CIMPA results will be arranged into key themes according to partners' expertise.

| Nº  | Partner              | Topics  |
|-----|----------------------|---|
| P1  | IPC                  | Control of morphology of ML blends by extension flow mixing<br>High barrier multi-nanolayered films production using extensional flow mixing<br>Migration models of organic molecules across multilayered films |
| P2  | TNO                  | Dissolution technology for multilayer plastic recycling<br>Impact assessment of multilayer plastics and its recycling   |
| P3  | VTT                  | Valorization of thermoplastics with VAREX line  |
| P4  | AIMPLAS              | Recycling plastics, recycling packaging and food packaging  |
| P5  | FILIGRADE            | Digital watermarking for multilayers  |
| P6  | LEYGATECH            | Food contact packaging made with recyclable materials   |
| P7  | PELLENC              | New sorting capabilities  |
| P8  | EVERSIA              | Food contact packaging made with recyclable materials   |
| P9  | PROSPEX<br>INSTITUTE | Consumers and value chain engagement towards recyclable multilayers   |
| P10 | BARBIER              | Packaging for agriculture   |
| P11 | PAPREC               | Reuse of recycled materials   |

**Table 1. Anticipated topics to be covered by dissemination activities**

The partners will individually and in collaboration publish and present scientific advances in technical papers as well as in journals (preferably peer reviewed) and magazines.

Scientific publications are an effective way to disseminate high-level project knowledge and to share project results with representatives of the various target groups.

The following journals are especially relevant for the project, and they will be considered for publications:

#### Journals

##### Open academic journals:

- Resources, Conservation and Recycling
- Elsevier Waste Management: International Journal of Integrated Waste Management, Science and Technology
- Elsevier Environmental Impact Assessment Review
- Elsevier Journal Polymer Science

##### Relevant news media outlets:

- Wiley Recycling Magazine Polymer Testing
- Materials Chemistry and Physics
- Advanced Manufacturing: Polymer and Composites Science Resource Recycling
- Plastics Recycling World
- Recycling magazine
- Waste recycling news
- Euwide recycling
- Enviropress

CIMPA consortium will target high-profile academic conferences, workshops and fairs organised by national, European and international organisations that involve and/or represent multilayer packaging, plastic recycling and circular economy.

Several conferences and fairs have been identified as potential forums for dissemination.

#### Conferences/meetings

- AMI Multilayer Flexible Packaging Conference
- Plastics Recycling Show Europe
- ISWA World Congress
- World Congress and Expo on Recycling
- Plastics Beyond Petroleum (USA)
- AMI Chemical Recycling
- AMI Design for sustainability
- Plastic Free World Conference & Expo
- CONAMA
- Circular Plastics Alliance working groups meetings
- IFAT

- Pollutec
- RWM
- Ecomondo
- eREC
- Hispack
- Brightland Polymer Days

The list of events will be updated regularly.

### **Specific actions towards recyclers and sorting centers**

EuRIC, as the association representing the interests of plastic recyclers in Europe, will contact its members to promote CIMPA results based on analysis of interests and constraints. The purpose will be to ensure that recycling and sorting centres are able to use the CIMPA technology. EuRIC will provide a roadmap to these centres, according to new regulation evolutions, to ensure the implementation of multilayer sorting.

Expert from plastic films recycling have been contacted by email and through LinkedIn post to quickly present the project and ask them to answer to a specific survey on the needs and challenges of recyclers (sorting, mechanical recycling, dissolution and pyrolysis). Expected experts are recyclers, sorting users, sorting manufacturers, green dot associations... A resume of results of this survey could be included in the newsletter but it has to be confirmed (WP1).

ADIVALOR, who is in charge of the collection of French agricultural films, has been reached to provide post-consumer agricultural films sample (WP2).

### **Specific actions towards film manufacturers**

The consortium will promote CIMPA results, notably the solution for the design of new multilayers adapted to the CIMPA methodology and favouring their reuse towards the industrial sectors through associations and industrial networks. Partners will use its EU network of clusters (PROPLAST (IT), Packaging Valley (DE), AVEP (ES), PLASTIPOLIS FR, PLASTR (CZ), Bydgoszcz Industrial Cluster (PL) and professional associations representing plastic and flexible packaging manufacturers in Europe (e.g. EUROOPEN, FLEXPACK, EUROPEAN PLASTIC CONVERTERS, EIPA but also national ones such as ELIPSO in France). This will also be a lever to contact standardization committees to promote recyclability of multilayer packaging.

CEFLEX (The Circular Economy for Flexible Packaging) and PRE (Plastics Recyclers Europe) will be also addressed.

Moreover, industrial partners will patent and thus communicate about recyclability of multilayer packaging to fit with circular economy principles.

Targeted fairs and industry-oriented journals in which CIMPA members will disseminate:

|                                |                            |
|--------------------------------|----------------------------|
| Fairs, congresses and meetings | Industry-oriented journals |
|--------------------------------|----------------------------|

|  |  |
|--|--|
| <p><b><u>European and worldwide audience:</u></b></p> <p>K-Show<br/>PRE annual meeting<br/>AMI Multilayer Flexible Packaging Conference<br/>Plastics Recycling Show Europe<br/>World Congress and Expo on Recycling<br/>Hispack</p> <p><b><u>National audience:</u></b></p> <p>Equiplast<br/>Assises nationales des déchets, ADEME</p> | <p><b><u>European and worldwide audience:</u></b></p> <p>Compounding World, Film and Sheet Extrusion, Packaging Europe, Plast 21, Plastics Technology Resources, Conservation and Recycling – Elsevier Waste Management: Int. J. Integ. Waste Management Sci. Technol. – Elsevier<br/>Environ. Impact Assess. – Elsevier<br/>J. Pol. Sci. – Wiley<br/>Recycling Magazine</p> <p><b><u>National audience:</u></b></p> <p>Interempresas, Alimarket, Enfasis Packaging, Envasprés, Industria alimentaria, Plásticos Universales, Retema</p> |
|--|--|

### **Specific actions towards brand owners**

Prospex Institute will oversee a mapping of all stakeholders and notably relevant brand-owners. Identified stakeholders will be engaged to participate in 2 workshops to enrich the study on circular-driven business models (WP1) with the point of views and visions of brand-owners. Prospex Institute will ask brand-owners considered as strategic to join the Stakeholders Advisory Board (SAB). DANONE already confirmed its wish to participate in CIMPA's SAB.

A list of stakeholders supporting the implementation of CIMPA will be created in the upcoming months.

### **Specific actions towards policy makers**

Increasing the recycling of multilayer films to the level targeted by CIMPA would be a major contribution to the objectives set by the European Green Deal (COM(2019) 640 final) and the New Circular Economy Action Plan (COM(2020) 98 final).

Industry associations such as EuRIC have, thanks to their network and activities, the ability to engage directly with not only the industry they represent but with the plastic value chain at large, NGOs (SITRA, Holland Circular Hotspot, the French Institute of Circular Economy...) and obviously policy-makers (AMORCE). EuRIC will promote project results towards European institutions and make the interface between the progress of CIMPA and the relevant policy-developments, be them of a voluntary nature (implementation of commitments made in the framework of Circular Plastics Alliance) or of regulatory one (revisions of relevant directives or standardization deliverables). EuRIC will also in that respect liaise with the relevant Technical Committees of CEN/CENELEC in order to support standardization deliverables aiming at facilitating the market uptake of recyclable multilayer packaging.

In addition, recyclable multilayer packaging should allow to develop a simple and efficient communication (standardized logo, colours up to advertisements on TV and magazines...) to empower consumers to make the most sustainable choice across Europe.

## Research & Innovation Open to the World (Open Science)

Open access to research data is encouraged throughout the project. A Data Management Plan is set-up in WP8 and it targets the control, protection, delivery and enhancing the value of data.

The Data Management Plan covers data handling, preparation of meta-data like contact person and general information on the creation of data, conservation, access restrictions and services, and intellectual property issues; it will describe the data sets expected from the project, the partners involved in their generation and their status (open/confidential)

Open access to publications of project results will be encouraged.

**Open access (OA) to publications** will be granted by partners' institutions through using either:

- Self-archiving (Green OA) in dedicated repositories, open access is ensured within 6 months.
- Open access publishing (Gold OA).

All public data generated within the project will be made available on Zenodo.

The IP management team (PAP, BNK) will support partners about how to use the data collected and/or produced during the project, respecting the creativity commons of all companies, researchers, the intellectual property and the future exploitation of the results. Each partner will keep its sensitive data. Non-sensitive data will be placed in Zenodo.

## Dissemination procedure

During the project and for a period of 1 year after the end of the project, the dissemination of own results by one or several parties including but not restricted to publications and presentations, shall be governed by the procedure of Article 29.1 of the Grant Agreement.

The procedure for dissemination of results (Annex I), approved by all partners, sets the common rules for the examination by CIMPA partners of publication and communication materials before their release. It defines two paths of examination: accelerated and standard path.



*The obligation to disseminate results (Art. 29.1) does not change the obligation to protect results in Article 27, the confidentiality obligations in Article 36, the security obligations in Article 37 or the obligations to protect personal data in Article 39, all of which still apply.*

*A beneficiary that intends to disseminate its results must give advance notice to the other beneficiaries of — unless agreed otherwise — at least 45 days, together with sufficient information on the results it will disseminate.*

*Any other beneficiary may object within — unless agreed otherwise — 30 days of receiving notification, if it can show that its legitimate interests in relation to the results or background would be significantly harmed. In such cases, the dissemination may not take place unless appropriate steps are taken to safeguard these legitimate interests.*

*If a beneficiary intends not to protect its results, it may — under certain conditions (see Article 26.4.1) — need to formally notify the [Commission][Agency] before dissemination takes place*

## Dissemination & Exploitation Board

A Dissemination & Exploitation Board (DB) has been set-up in order to ensure the participation of all partners and guarantee a high-level of quality control prior to dissemination.

It is composed of one representative per partner, being the main point of contact, responsible to review and comment disseminatable items (undertaking shorter dissemination procedures). This will make sure there is more accountability and quicker action to provide feedback on disseminatable results.

The list of members of this board is presented in Annex II.

## Monitoring and evaluation of dissemination

Impact monitoring is an important part of CIMPA's communication and dissemination strategy. The effectiveness of dissemination activities will be reviewed during Executive Board meetings, based on quantitative and qualitative criteria: quality of media references, number and impact factors of scientific publications, video views and comments (neutral, positive, negative), website visits, attendance numbers at workshops, e-newsletter distribution tracking, interactions with related initiatives and projects. These measures will help to achieve the expected impact of the project by addressing the full range of potential users and uses.

Together with the indicators presented in the D7.1. Communication Plan, the following KPIs will be used to evaluate dissemination activities:

| Tool  | KPI                           | M36 |
|---|-------------------------------|-----|
| <b>Proposed joint workshop with HolyGrail2.0 project</b>          | Nº of participants            | 50  |
| <b>Presentations at academic conferences</b>                      | Nº of contributions delivered | +6  |
| <b>Project workshops (including business modelling workshops)</b> | Nº of events                  | 2   |
|   | Nº of registered participants | 50  |
| <b>Academic Publications</b>                                      | Nº of publications            | 5   |
| <b>Final Workshop</b>   | Nº of attendees               | 100 |

Table 2. CIMPA's KPI summary



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To record the dissemination activities, partners will use a Dissemination Reporting Tool (Annex III), containing spread sheets with items related to the type of activity, number of attendees, date, target groups, etc.

These mechanisms and tools enable the consortium to keep record of dissemination activities, evaluate them and adjust/modify procedures or parts of the process as well as quantify the audience reached by the project.

Each partner will be free to customize it adding means and tools to maximise the effectiveness of the Dissemination action and the spread of the project results.

## SECTION B. EXPLOITATION PLAN

### Exploitation definition

The European Commission describes **exploitation** as “*the utilisation of results in further research activities other than those covered by the action concerned, or in developing, creating and marketing a product or process, or in creating and providing a service, or in standardisation activities.*”

Other definitions shared by “Horizon 2020 Rules for Participation” that will be helpful to have a common understanding among the consortium partners when thinking about exploitation are the following:

**Results** generated under the project could be any tangible or intangible output, more particularly data, knowledge or information whatever its form or nature, whether it can be protected or not.

Project results need to be protected through **Intellectual Property (IP)**, which includes:

- Products of the mind
- Products of research & experimentation
- Products of creativity

Intellectual Property, like Physical Property, can be a valuable asset. As a physical property, intellectual property is an asset which can be traded (sold, bought, leased, used as collateral, or given away)

The safeguarding and protection of the intangible assets of the project is achieved through **Intellectual Property Rights (IPR)**, the law which provides legal “rights” to protect Intellectual Property.

- Patents (technical inventions)
- Copyright (Software, Written works, Engineering drawings, Semiconductor Topologies, etc.)
- Design Rights (appearance)
- Database Rights (creation and arrangement of data)
- Trademarks
- Utility Models/petty patents etc

### Exploitation and IPR Strategy

#### Objectives

CIMPA’s objective is to favor exploitation strategy that will allow partners or interested third parties to exploit project results industrially or commercially. Indeed, it is a key to ensure achievement of the impacts foreseen at the proposal stage.

The aim of the exploitation and IPR strategy is to ensure that all partners will have complementary business strategies and that freedom-to-operate conditions will be guaranteed for all of them, as well as efficient protection of projects’ results.

The exploitation of the project's key results as well as the management of knowledge and intellectual property are critical issues not only for the success of the project but also for the protection of the interests of each of the consortium partners.

The main rules addressing issues of ownership and use of IPR and the exploitation plan have been developed. Moreover, these will be constantly updated so that they encompass the progress that is made during the project.

CIMPA will address all issues related to exploitation, management of intellectual property and data management from the beginning of the project. Therefore, before the project starts the consortium has paved the way to build a strategy with clear and robust policies. A consortium agreement has been signed which contains provisions regulating rights to results as well as background rights. The main rules addressing issues of ownership and use of Intellectual Property, including "IPR for the Results of the project" and "background" knowledge are presented below.

### Exploitation and IP management process

The CIMPA consortium has been set up to enable the partners to manage IPR as smoothly and efficiently as possible. First, the best possible implementation conditions of CIMPA have been created. These conditions encompass:

- **Setting up a fully complementary group of partners with no obvious conflicts of interests:** the consortium covers a complete chain of value with no direct overlap of competences and/or markets. The three film manufacturers (LEY, BAR, EVE) are each one focusing on specific multilayer types for their own markets. FIL and PEL focus each one on their respective sorting technologies (respectively digital watermarking and NIR sorting) and as such results exploitation will be clear on their respective markets, depending on the concerned field. Every RTO has an expertise on different parts of the value chain, from decontamination, recycling mechanical or physical, reprocessing.
- **Reaching at preliminary stage clear rules for sharing the ownership of the project results and for granting access rights to partners' background and results.** This main goal is to prevent partners from any restriction of freedom-to-operate in their respective markets and to create a climate of trust. On a general basis, when the results will concern end-users together with universities, RTOs or technology-providers, Freedom-To-Operate conditions will be guaranteed for the end-users. In counterpart, RTOs or technology-providers will be free to transfer or license to potential other users, i.e. other users working outside the field of business of the Partners end-users in order to widespread the project results widely across different industrial sectors.

Based on these general conditions, CIMPA proposes an exploitation strategy in line with the industrial and research strategies of the different partners.

The partners recognize the scientific and commercial potential of the project results they plan to develop. Its dissemination and exploitation will strive to be carried out as rapidly as possible after the swift protection of the IP or protected as confidential know-how or trade secrets.

Management of Intellectual Property Rights will be the object of a task in WP7, Task 7.4. Sophie Sicard (PAP) as Exploitation and IP manager, will be in charge of tracking and proposing adequate IPR actions for generated knowledge (Results), and for establishing exploitation and dissemination strategies. The IP manager will also act as Innovation manager. She will be supported by Nadège Boccon (BNK). The objective is to ensure high-impact exploitation of the results of the project while at the same time protecting the commercial interests of partners. IP and any related decisions will be discussed at General Assembly meetings at least every 6 months. The IP Manager will regularly update the **IP database**, which will clearly indicate which IP is held by whom. When needed, the IP Manager will give advice to the parties concerned about the ownership of IP resulting from the project using the simple rules outlined in the consortium agreement and propose protection strategies according to the nature of the result. She will also manage and inform partners about opportunities to provide input to standards.

The key background brought in by each partner has been identified and listed in the consortium agreement. This list includes specific limitations and/or conditions for implementation or exploitation. In particular, several partners have the right to keep certain information secret when their disclosure can jeopardize the confidentiality of its internal developments nor confidential developments on behalf of third parties

## Key Exploitable Results

The Consortium Agreement defines Results as follow: “Any tangible or intangible output of the action, such as data, knowledge and information whatever their form or nature, whether or not they can be protected, which are generated in the action as well as any attached rights, including intellectual property rights.”

Expected Results have been listed in the Project Proposal with the help of Partners. Key Exploitable Results list will be regularly updated by the Partners throughout the Project, in cooperation with the DET, which is charged with collecting the results at least 5 weeks before the General Assembly meeting.

Information that should be provided includes:

- The Name of Partners involved in the generation of the relevant Key Exploitable Result,
- A short summary of the state of the art on the same subject,
- The protection means expected,
- The exploitation means expected – dissemination through publication of results being a potential exploitation plan.

Expected results list :

**This table is confidential (available for CIMPA partners only).**

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**Table 3. Expected results list, including expected owner among partners, means of protection and means of exploitation**

In the course of the project, this list will be up-graded to include obtained exploitable results, and include the corresponding ownerships (Results Ownerships List – ROL).

The DET will organize workshop with partners concerned to discuss which exploitation route should be targeted: commercial exploitation, exploitation for further research and development, technology transfer.

- Commercial exploitation

When identified as the best route of exploitation for an exploitable result, the Exploitation and IPR Manager will support the identified owners (identified according to the Consortium Agreement and the Description of Action in the Grant Agreement) in processing with protection measures set up. When possible, the patent protection will be favored in order to ensure a monopoly for the future exploiting party. If so, the Exploitation and IPR Manager will support owners in contacting a patent attorney to prepare a prior art search, to draft the patent application and to process with administrative steps for patent application.

When the Technology Watch and Benchmarking activity foreseen in the project will have point out a potential competition out of the consortium, a Freedom-To-Operate analysis will be requested to ensure no external IPR would prevent the future exploitation of the result.

- Exploitation for further research and development

This route will be considered in case further R&D is necessary to achieve higher Technology Readiness Level and envisage a commercial exploitation. In that case, the Exploitation and IPR Manager will support the identified owners in analyzing the R&D roadmap toward higher TRL, in order to identify the weight of this preliminary result in the final result expected toward market exploitation. Depending of the weight of this preliminary results, it will be decided if the preliminary result needs to be protected and how.

Once the relevant protection will have been set up, the exploitation through dissemination will be favored except if secret has been identified has the most relevant protection.

- Technology Transfer

This route will be considered in case no consortium partner is interested in exploiting the result or has the means and resources to exploit it. The Exploitation and IPR Manager will help to formalize the IP asset – through patenting, know-how description, etc... and will support owners, when possible and relevant, to set up partnership, including corresponding contracts.

Objective will be to ensure return on investment for partners, while maximizing potential to reach market and thus reach expected impacts of the project.

Finally, the DET, with the support of partners, will identify results that could be of interest in other domains. Creativity sessions will be organized to this extent with the objective to foster transfer of innovation out of the project scope.

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## Monitoring and way forward

As stated earlier, communication, dissemination and exploitation activities will be instrumental in ensuring sound implementation of CIMPA and its results. Ensuring the maximum effectiveness, the progress of the above-mentioned activities, procedures and strategies will be regularly monitored, and their results evaluated. Accordingly, these results will be reported in periodic PEDRs, due annually.

Such monitoring will help identify possible areas of improvement in the strategy and redefine activities as necessary.

Performance indicators included on this plan will guide the quality evaluation of the planned activities.

To facilitate the monitoring, all partners should habitually inform the WP7 leader of their planned communication and dissemination activities, and similarly consult with the IP manager on exploitation activities, following the outlined procedures.

## Annex I - Procedure for dissemination of results

**CIMPA partners involved:** All

**Stakes and purpose of the procedure:** The full exploitation of CIMPA results, most notably through patenting, could be hampered by previous publications or communication of results. In order to avoid such unintentional effects of publications and communications, the present procedure sets the common rules for the examination by CIMPA partners of publication and communication materials before their release.

**Summary:** This procedure defines 2 paths of examination of requests for dissemination from CIMPA partners:

- Accelerated path – at least 10 working days before the scheduled release; preferably for simple and short publications,
- Standard path (Management manual) – at least 45 days before the scheduled release; preferably for extensive publications containing results; always for emerging protectable results.

The examination may never reject a publication or communication, but changes in the content may be requested by partners.

In case of the release of a press release or a similar document containing only publicly available information or no information about results, partners should contact Maria Vera Duran (EuRIC) with the draft of the press release for validation and release. In case of doubt, please copy the Exploitation and IP Manager, Sophie Sicard (PAP).

### ACCELERATED PATH

The accelerated path should:

Preferably be used for simple and short publications such as poster, leaflets, press releases, abstracts, conference slides without results, etc.

Be avoided for more extensive publications, especially when containing results, such as articles, papers, conference slides, website.

Never be used for emerging protectable results (patents, trademarks, utility models...)

#### **Step 1: Send examination request**

- When: As soon as possible and at least 10 working days before the scheduled release,
- Who: Requester,
- To whom: Dissemination manager + Members of the Dissemination & Exploitation Board (see enclosed mailing list),
- How: By email,
  - Email Title: URGENT - Publication request CIMPA - Deadline = XXXX,
  - The deadline (indicated in title) must be set at least 3 workings days before the scheduled release,
  - Content of the request:

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- Copy of the publication,
  - Type of publication: poster, abstract, publication, press release, conference slides, etc.,
  - Publisher name/entity,
  - Place of publication,
  - Date of publication,
  - Event (if applicable),
  - Who is it intended for? Several may apply: general public, academia / students, public authorities (local, national, European), industry, packaging specialists / waste specialists / professional associations,
  - Is it open access?
  - Is it peer reviewed? If yes, by who?
  - Does the publication contents results from CIMPA? If yes, are these results eligible for patent? Please specify,
  - Which partner(s) might have an issue with this document? Please have a previous discussion with the partner(s) involved, and
  - Any other relevant information.

### Step 2: Request examination & questions

- Who: Dissemination manager + Dissemination & Exploitation Board members,
- To whom: Requester + copy other Dissemination & Exploitation Board members,
- How: By email.

### Step 3: Answer evaluators' questions

- Who: Requester,
- To whom: Dissemination manager + Dissemination & Exploitation Board members,
- How: By email.

### Step 4: Answer on examination request

- When: End-of-Business (EOB) on the deadline day at the latest (Please note that the absence of answer will be considered as a validation),
- Who: Dissemination manager + Dissemination & Exploitation Board members,
- To whom: Requester + copy other Dissemination & Exploitation Board members,
- How: By email.
  - Email content:
    - Do you approve the content of the proposed publication? Please answer as YES or MODIFICATION REQUEST. (NO is not an answer),
    - In case a modification is requested, please specify and explain the reasons for the request.

### Step 5: Modification request follow-up / Trouble-shooting

- When: As soon as possible after the modification request is sent,
- Who: Dissemination manager + Requester + Modification requester,  
In good faith, the CIMPA members should make their best efforts to reach a solution that is acceptable to all parties. In case no agreement is found, the Confidential



Information of the objecting Party must be removed from the publication as indicated by the objecting Party.

- How: By email & phone if necessary.

### Step 6: Send and upload final version

When: At least one working day before the scheduled release,

- Who: Requester,
- To whom: Dissemination manager + Members of the Dissemination & Exploitation Board,
- How: By email + Uploading on the collaboration platform.

## STANDARD PATH

This standard path is the one defined by the Management Manual of CIMPA.

The standard path can be used for any type of publications.

The standard path should always be used for emerging protectable results (patents, trademarks, utility models...)

### General rule

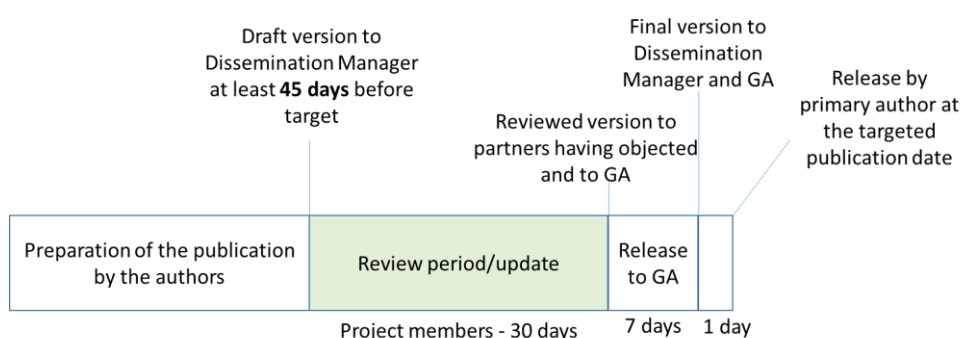
Any publication items or information about emerging protectable results should be put available to the consortium on the collaborative platform 45 days before planned publication and sent to PAP (Sophie Sicard), as IP manager.

All the partners have 30 days to disapprove (or approve) the data or partial data envisaged to publish,

In the absence of any objection within the 30-day period, it is deemed that the parties agree,

In the event that an objection is raised within the 30-day period, the affected parties shall seek (in good faith) a solution on a timely basis.

### Procedure for partners



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In case of dissemination items (abstracts, publications, presentations, press releases, leaflets, websites...) or in case of emerging protectable results (patents, trademarks, utility models...):

■ **Step 1:** Primary Author sends item(s) by email to the Dissemination manager and the members of the Dissemination & Exploitation Board and uploads the proposed publications on the collaboration platform (including mandatory acknowledgement) at least 45 calendar days before the submission:

- Date of publication and submission, journal name,
- Date, title and location of the actual event,
- Abstract,
- Any other relevant information (see accelerated path description above).

The email title should read: FOR ACTION - Publication request CIMPA - Deadline = XXXX

■ **Step 2:** Any objection shall be made to the Dissemination Manager, Management team and Primary Author within 30 calendar days after receipt of the publication.

- The objecting party can request a publication delay of not more than 90 calendars days from the time they raised such an objection. After 90 calendars day, the publication is permitted, provided that Confidential Information of the objecting party has been removed from the publication as indicated by the objecting party,
- The final version of a publication must be stored onto the collaborative platform.

■ **Step 3:** Once reviewed, the primary author uploads the final version on the collaborative platform.

■ **Step 4:** The Dissemination Manager updates the CIMPA Activity Report and the platform every 6 months.

■ **Step 5:** The Dissemination Manager informs the coordinator of any relevant dissemination activities. A list of actual publications will be included on the publicly available website.

Every quarter, partners send to EuRIC any feedback about the impact of released documents (interviews, demands for contacts...).

## **Annex II – Dissemination and Exploitation Board**

**The details of members of Dissemination and Exploitation Board are confidential (available for CIMPA partners only)**



## Annex IV – List of events with participation of CIMPA

| Event  | Location                   | Date                                | Target Group  | Partner's Participation |
|--|----------------------------|-------------------------------------|---|-------------------------|
| <b>2021</b>  |                            |                                     |   |                         |
| Cluster Meeting on projects contributing to Plastics Strategy                          | Online                     | September 30 <sup>th</sup> , 2021   | H2020 project coordinators (Eleven R&I projects)        | IPC, EuRIC, BENKEI      |
| eREC – Digital Recycling Expo and Conference for Circular Economy and Waste Management | Online                     | October 4-9 <sup>th</sup> , 2021    | Recycling industry (companies and customers)            | EuRIC                   |
| <b>Ecomondo</b>  | Rimini, Italy              | October, 26-29 <sup>th</sup> , 2021 | All sectors of the circular economy                     | EuRIC                   |
| <b>Pollutec</b>  | Lyon, France               | October 12-15 <sup>th</sup> , 2021  | Environment professionals                               | EuRIC, IPC, PAPREC      |
| <b>PRS Europe</b>  | Amsterdam, The Netherlands | November 4-5 <sup>th</sup> , 2021   | Plastics Recycling industry in Europe                   | tbc                     |
| <b>PPRC Europe (Paper &amp; Plastics Recycling Conference Europe)</b>                  | Rotterdam, The Netherlands | November 16-17 <sup>th</sup> , 2021 | Paper & Plastics Recycling industries                   | tbc                     |
| <b>2022</b>  |                            |                                     |   |                         |
| <b>EU Industry Days</b>  | tbc                        | February                            | Policymakers, industry, general public                  | tbc                     |
| <b>European Research and Innovation Days</b>   | Online/<br>Brussels        | June 2022                           | Policymakers, researchers, entrepreneurs and the public | tbc                     |
| European Green Week  | Online/<br>Brussels        | June 2022                           | Policymakers, researchers, entrepreneurs and the public | tbc                     |

|             |        |           |                                      |     |
|-------------|--------|-----------|--------------------------------------|-----|
| <b>IFAT</b> | Munich | June 2022 | Waste management, recycling industry | tbc |
|-------------|--------|-----------|--------------------------------------|-----|

The list of events will be updated regularly.