

# TABLE OF CONTENTS

ACKNOWLEDGEMENTS.....v

TABLE OF CONTENTS..... vii

LIST OF ABBREVIATIONS ..... xiii

CHAPTER I: INTRODUCTION ..... 1

1. Climate change, clean energy technologies and intellectual property ...1
2. Scope and limits of the research .....5
3. Summary of the main contents of each chapter .....6

CHAPTER II: CLIMATE CHANGE IN THE CONTEXT OF THE EU:  
ENVIRONMENTAL PROTECTION AND RENEWABLE ENERGY  
GOALS..... 11

1. Introduction to European environmental law..... 11
  - 1.1 The notion of ‘environment’ and the governing Treaty provisions ..... 11
  - 1.2 General principles of environmental law and their legal effect ..... 14
    - 1.2.1 The sustainable development principle ..... 15
    - 1.2.2 The precautionary principle ..... 18
    - 1.2.3 The prevention principle ..... 19
    - 1.2.4 The ‘polluter should pay’ principle ..... 20
    - 1.2.5 The rectification at source principle ..... 21
    - 1.2.6 The integration principle ..... 21
    - 1.2.7 Legal force: Compulsory or non-compulsory nature? ..... 23
2. Overview of the legal regime addressing climate change goals ..... 26
  - 2.1 The international context ..... 26
    - 2.1.1 The United Nations Framework Convention on Climate Change ...26
    - 2.1.2 The Kyoto Protocol ..... 28
  - 2.2 The European context ..... 30
    - 2.2.1 General measures to reduce GHG emissions ..... 32
    - 2.2.2 Climate and Energy Package: The ‘20-20-20’ targets ..... 32
    - 2.2.3 European Strategic Energy Technology Plan (SET-Plan) ..... 33
    - 2.2.4 Europe 2020 strategy ..... 34
    - 2.2.5 The Lisbon Treaty and its impact on climate and energy policy ..... 36
3. Clean technologies and their relevance to EU climate goals ..... 37
  - 3.1 The debate over the definition and scope of clean technologies ..... 37

3.1.1 Environmentally Sound Technologies.....	38
3.1.2 Clean technology/ ‘Cleantech’ v Environmental technology/ ‘Green tech’ .....	39
3.1.3 Adaptation and mitigation technologies .....	40
3.2 Clean Energy Technologies: Types and contribution to EU targets.....	41
3.2.1 The relevance of renewable energy to the reduction of GHG emissions and conventional fuel dependence .....	42
3.2.2 Types of clean energy technologies and related IPRs issues.....	43
3.2.2.1 Biomass and biofuels .....	43
3.2.2.2 Photovoltaic (PV) and concentrating Solar-thermal Power (SCP).....	45
3.2.2.3 Wind.....	48
3.2.2.4 Summary of the IP matters regarding the selected clean energy CTEs.....	49
3.3 The Clean Energy Technological Revolution: Challenges to be faced .....	50
3.3.1 Stimulation of innovation in the clean energy technology sector....	50
3.3.2 Diffusion of knowledge & encouragement of third party access ....	52
3.3.3 Transfer of clean energy technologies to developing countries .....	52
<b>4. Summary.....</b>	<b>53</b>

**CHAPTER III: FIRST IP LINKAGE WITH CLIMATE CHANGE CONCERNS: THE IMPLICATIONS OF THE ENVIRONMENTAL INTEGRATION PRINCIPLE.....55**

<b>1. The evolution of EU environmental policy until recent codifications.....</b>	<b>55</b>
<b>2. A governance analysis of the environmental integration principle.....</b>	<b>58</b>
2.1 Good governance in the European Union.....	59
2.1.1 The White Paper and its main governance principles .....	59
2.1.1.1 Principle of effectiveness .....	60
2.1.1.2 Principle of coherence.....	61
2.1.2 The Lisbon Treaty: Last developments of the governance principles .....	62
2.2 Environmental integration principle: Application as fundamental principle of good governance?.....	63
2.2.1 From the European judicial body perspective .....	63
2.2.2 From the European Commission perspective .....	66
<b>3. A legal analysis of the environmental integration principle .....</b>	<b>67</b>
3.1 Sustainable Development: Overarching goal and principle.....	68
3.2 The environmental integration principle.....	70
3.3 The legal obligations stemming from Article 11 TFEU .....	75
3.3.1 Different kinds of obligations for the EU institutional bodies .....	75

3.3.1.1	The EU's overarching objectives as a boundary framework ....	76
3.3.1.2	The obligation to seek a balance between the objectives.....	76
3.3.1.3	The obligation to actively work to attain the overarching objectives .....	77
3.3.1.4	The obligation to take specific action .....	77
3.3.2	The legal significance of Article 11 TFEU for the EU institutions .....	78
3.2.2.1	For the European Council .....	79
3.2.2.2	For the EU legislative bodies .....	79
3.2.2.3	For the European judicial body .....	86
3.2.2.4	For the supervisory authority .....	88
3.2.3	The ancillary legal significance of Article 11 TFEU for the EU Member States.....	89
3.2.3.1	Principle of loyal cooperation: Scope of indirect duties and rights .....	89
3.2.3.2	EU law implementation within the national legal orders.....	90
3.2.3.3	Justifiable basis for environmental protection .....	92
3.2.3.4	Do Member States have an obligation to take action?.....	93
<b>4.</b>	<b>Operating the environmental integration principle with regard to IP .....</b>	<b>95</b>
4.1	General liaisons between contemporary global problems and IP.....	96
4.2	Interface between environmental law and intellectual property law ....	98
4.3	Legal significance of EU environmental law for patent law .....	99
4.3.1	Implications of the EU environmental principles.....	100
4.3.2	Implications of EU secondary law and policy on climate change and energy.....	103
<b>5.</b>	<b>Summary.....</b>	<b>103</b>

**CHAPTER IV: SECOND IP LINKAGE WITH CLIMATE CHANGE CONCERNS: KEY DRIVERS OF STIMULATING CLEAN ENERGY TECHNOLOGY INNOVATION AND ALTERNATIVE MECHANISMS.....107**

<b>1.</b>	<b>Overview of relevant IPRs in the realm of clean energy technologies.....</b>	<b>107</b>
1.1	Trade Secret Law .....	109
1.1.1	Trade Secret Law in Europe .....	110
1.1.2	Lack of common eligibility standards for protection: Analysis of the UK .....	112
1.1.3	Protecting clean technology innovations via Trade Secret Law....	115
1.2	Patent Law .....	117
1.2.1	Patent law in Europe.....	118

1.2.2	Overview of the substantive requirements for patentability.....	120
1.2.3	Protecting clean technology innovations via patent law.....	122
1.3	Conflicting views on the role of IPRs: Incentive vs Access / Dissemination .....	127
1.4	Market failure in clean technology innovation .....	131
<b>2.</b>	<b>Main IP-related methods to stimulate clean technology innovation .....</b>	<b>133</b>
2.1	Accelerating patent prosecution via ‘Fast-track’ mechanisms .....	135
2.1.1	Multijurisdictional overview .....	135
2.1.1.1	UK Intellectual Property Office (UKIPO) .....	136
2.1.1.2	Australia’s Intellectual Property (IP Australia).....	136
2.1.1.3	Korean Intellectual Property Office (KIPO) .....	137
2.1.1.4	Japan Patent Office (JPO) .....	138
2.1.1.5	U.S. Patent and Trademark Office (USPTO).....	138
2.1.1.6	Israel Patent Office (IPO) .....	141
2.1.1.7	Canadian Intellectual Property Office (CIPO).....	142
2.1.1.8	Brazil - National Institute of Industrial Property (INPI).....	142
2.1.1.9	China - State Intellectual Property Office (SIPO) .....	143
2.1.2	Critical analysis: General benefits and drawbacks .....	143
2.2	Information Databases and Search Engines: the case of the EPO .....	145
2.3	Reinforcement of protection: Lengthening of the monopoly duration or extension of the scope of protection .....	147
2.5	Relaxation of patentability standards: ‘Inventive step’ .....	149
<b>3.</b>	<b>Other potential actions associated with IP to stimulate clean technology innovation.....</b>	<b>152</b>
3.1	Compulsory licensing .....	152
3.2	Patent rewards system.....	156
3.3	Patent pools and other voluntary models.....	158
3.3.1	‘Eco-Patent Commons’ .....	160
3.3.2	‘GreenXchange’ .....	161
3.4	Open innovation: European ‘Open Source Clean Technology Initiative’ .....	163
3.5	Public sector licensing structures and partnership arrangements .....	166
<b>4.</b>	<b>Non-IP related methods of stimulating clean technology innovation .....</b>	<b>169</b>
4.1	Non-patented clean energy technologies or already in the public domain .....	169
4.2	Green economic index .....	170
4.3	Financing developing countries: Building renewable energy plants...170	
4.4	Forcing nations to respect environmental commitments: Suspension of IPRs.....	171
<b>5.</b>	<b>Summary.....</b>	<b>172</b>

**CHAPTER V: ALTERNATIVE COLLABORATIVE IP MECHANISM: ‘PUBLIC-PRIVATE PARTNERSHIP’ TO ENHANCE CLEAN ENERGY TECHNOLOGY INNOVATION IN THE EUROPEAN UNION ..... 177**

<b>1. Main features of the PPP contract in the innovation cycle .....</b>	<b>177</b>
1.1 The understanding of PPPs in research and innovation.....	177
1.2 The renewable energy industry sector in Europe and the PPP model.....	181
1.3 A favourable framework for PPP collaboration.....	183
1.3.1 Objectives of the alliance.....	183
1.3.2 Main contractual aspects.....	184
1.3.3 Suitable management of IP sharing as a crucial contractual element.....	188
<b>2. The EU steps towards the encouragement of RD&amp;I in new clean energy technologies: the European Strategic Energy Technology (SET)-Plan .....</b>	<b>189</b>
2.1 Rationale for direct public support and EU action.....	190
2.1.1 Correcting market and policy failures .....	190
2.1.2 Trade-off between IP protection and knowledge dissemination ...	192
2.1.3 Solving EU financing gap for clean energy technology innovation .....	193
2.2 Implementation of the SET-Plan and public financing tools.....	193
2.2.1 Establishment of six European Industrial Initiatives (EIIs): PPPs .....	195
2.2.2 Criteria to guide the selection of appropriate financing mechanisms .....	197
2.2.3 Alternative available financing mechanisms to support innovation .....	199
2.2.3.1 Public loans or loans guarantees .....	199
2.2.3.2 Publicly Private Equity Partnerships (PPEPs) .....	200
2.2.3.3 Subsidies .....	200
2.3 EU state aid rules: A possible barrier to the establishment of PPPs? .....	202
2.3.1 Environmental and R&D Aid Exemptions: Article 107(3) TFEU.....	202
2.3.2 Interrelation between Horizon 2020 (SET-Plan) and State aid rules.....	204
2.4 Improving management of EU innovation (RD&I programs).....	205
2.4.1 Reasons behind the lack of participation of industry sector and SMEs.....	206
2.4.2 Overcome the problem with more appropriate provisions for IPRs .....	207

<b>3. Overview of the IPRs clauses and related provisions applicable to contractual PPPs under Horizon 2020.....</b>	<b>208</b>
3.1 Definitions within the introductory provisions .....	210
3.2 Confidentiality and information to be made available.....	215
3.3. Ownership, protection and licensing of results .....	216
3.4 Exploitation and dissemination of results .....	218
3.5 Access rights to background and results.....	220
<b>4. Observations and proposals to enhance the IP framework for PPPs.....</b>	<b>224</b>
4.1 Observations to the new rules of the IP framework in H2020.....	226
4.2 Suitability of the H2020 IP framework for SET-Plan contractual PPPs .....	229
<b>5. Summary.....</b>	<b>234</b>
<b>CHAPTER VI: FINAL CONCLUSIONS.....</b>	<b>239</b>
<b>ANNEX .....</b>	<b>247</b>
1. List of general EU measures to reduce GHG emissions.....	247
2. Main legislative instruments of the Climate and Energy Package....	248
3. Informative charts on the worldwide ‘Fast-track’ mechanisms .....	249
4. Summary of the main EPO forums and reports on patents and clean energy .....	251
5. Informative charts on the EPO database for clean energy technologies.....	263
6. Summary chart on FP7 Public-Private Partnerships (PPPs) .....	265
<b>LIST OF STATUTORY INSTRUMENTS.....</b>	<b>267</b>
<b>LIST OF CASES .....</b>	<b>271</b>
<b>BIBLIOGRAPHY .....</b>	<b>273</b>