

IPACST Reading List

The **publications from the IPACST** project might also be relevant and can be found here:
<https://ip4sustainability.org/publications/>

Sustainable Transition

ST Online Videos

Transitions NEST (2020) *NESTwebinar #1 - Introduction to Sustainability Transitions* | Jochen Markard. [Online Video]. Available at:
https://www.youtube.com/watch?v=WM3YXeamooM&ab_channel=TransitionsNEST

Transitions NEST (2020) *NESTwebinar #2 - Technological Innovation Systems* | Marko Hekkert. [Online Video] Available at:
https://www.youtube.com/watch?v=Ku2gKDCcqzE&ab_channel=TransitionsNEST

Transitions NEST (2020) *NESTwebinar #3 - Multi-Level-Perspective* | Frank Geels. [Online Video] Available at: https://www.youtube.com/watch?v=Tm6xVb-TXgk&ab_channel=TransitionsNEST

Transitions NEST (2020) *NESTwebinar #10 - Transition Management* | Derk Loorbach. [Online Video] Available at: https://www.youtube.com/watch?v=8YYK4icS1gU&ab_channel=TransitionsNEST

ST Books

Borrás, S. and Edler, J. (eds.). (2014). *The governance of socio-technical systems: explaining change*. Edward Elgar Publishing.

Brumme, A., Buchholz, W. and Rübhelke, D. (2020) 'Impure Public Good Models as a Tool to Analyze the Provision of Ancillary and Primary Benefits', in Buchholz, W. et al. (eds) *Ancillary Benefits of Climate Policy: New Theoretical Developments and Empirical Findings*. Cham: Springer International Publishing (Springer Climate), pp. 109–123.

Elzen, B., Geels, F. W. and Green, K. (2004) *System Innovation and the Transition to Sustainability: Theory, Evidence and Policy*. Edward Elgar Publishing.

Geels, F. W. (2005) *Technological Transitions and System Innovations: A Co-evolutionary and Socio-technical Analysis*. Edward Elgar Publishing.

Gliedt, T. and Larson, K. (2018) *Sustainability in Transition: Principles for Developing Solutions*. London: Routledge.

ST Journal Articles

Geels, F. W. (2002) 'Technological transitions as evolutionary reconfiguration processes: a multi-level perspective and a case-study', *Research Policy*, 31(8), pp. 1257–1274. doi: 10.1016/S0048-7333(02)00062-8.

Geels, F. W. (2011) 'The multi-level perspective on sustainability transitions: Responses to seven criticisms', *Environmental Innovation and Societal Transitions*, 1(1), pp. 24–40. doi: 10.1016/j.eist.2011.02.002.

Geels, F. W. (2019). Socio-technical transitions to sustainability: a review of criticisms and elaborations of the Multi-Level Perspective. *Current Opinion in Environmental Sustainability*, 39, 187-201.

Jacobsson, S. and Bergek, A. (2011) 'Innovation system analyses and sustainability transitions: Contributions and suggestions for research', *Environmental Innovation and Societal Transitions*, 1(1), pp. 41–57. doi: 10.1016/j.eist.2011.04.006.

Kemp, R. (1994) 'Technology and the transition to environmental sustainability', *Futures*, 26(10), pp. 1023–1046. doi: 10.1016/0016-3287(94)90071-X.

Loorbach, D. (2010) 'Transition Management for Sustainable Development: A Prescriptive, Complexity-Based Governance Framework', *Governance*, 23(1), pp. 161–183. doi: 10.1111/j.1468-0491.2009.01471.x.

Loorbach, D., Frantzeskaki, N. and Avelino, F. (2017) 'Sustainability Transitions Research: Transforming Science and Practice for Societal Change', *Annual Review of Environment and Resources*, 42(1), pp. 599–626. doi: 10.1146/annurev-environ-102014-021340.

Markard, J. and Truffer, B. (2008) 'Actor-oriented analysis of innovation systems: exploring micro-meso level linkages in the case of stationary fuel cells', *Technology Analysis & Strategic Management*, 20(4), pp. 443–464. doi: 10.1080/09537320802141429.

Markard, J. and Truffer, B. (2008) 'Technological innovation systems and the multi-level perspective: Towards an integrated framework', *Research Policy*, 37(4), pp. 596–615. doi: 10.1016/j.respol.2008.01.004.

Markard, J., Geels, F. W. and Raven, R. (2020) 'Challenges in the acceleration of sustainability transitions', *Environmental Research Letters*, 15(8), p. 081001. doi: 10.1088/1748-9326/ab9468

Markard, J., Raven, R. and Truffer, B. (2012) 'Sustainability transitions: An emerging field of research and its prospects', *Research Policy*, 41(6), pp. 955–967. doi: 10.1016/j.respol.2012.02.013.

Turnheim, B., Asquith, M., & Geels, F. W. (2020). Making sustainability transitions research policy-relevant: Challenges at the science-policy interface. *Environmental Innovation and Societal Transitions*, 34, 116-120.

Schot, J., & Steinmueller, W. E. (2018). Three frames for innovation policy: R&D, systems of innovation and transformative change. *Research Policy*, 47(9), 1554-1567.

IP and sustainability (transitions)

IP & ST Books

Khor, M. (2002) *Intellectual Property, Biodiversity and Sustainable Development: Resolving the Difficult Issues*. Third World Network.

Lee, B., Iliev, I. and Preston, F. (2009) *Who owns our low carbon future? Intellectual property and energy technologies*. London: Chatham House. Royal Institute of International Affairs

IP & ST Journal Articles

Abdel-Latif, A. (2015) 'Intellectual property rights and the transfer of climate change technologies: issues, challenges, and way forward', *Climate Policy*, 15(1), pp. 103–126. doi: 10.1080/14693062.2014.951919.

Bannerman, S. (2020) 'The World Intellectual Property Organization and the sustainable development agenda', *Futures*, 122, p. 102586. doi: 10.1016/j.futures.2020.102586.

Chavez, A. E. (2015) 'Exclusive Rights to Saving the Planet: The Parenting of Geoengineering Inventions', *Northwestern Journal of Technology and Intellectual Property*, 13, p. 1.

Hall, B. H. and Helmers, C. (2011) 'Innovation and diffusion of clean/green technology: Can patent commons help?', *Journal of Environmental Economics and Management*, 66(1), p. pages 33-51.

Lane, E. (2009) 'Clean Tech Reality Check: Nine International Green Technology Transfer Deals Unhindered by Intellectual Property Rights', *Santa Clara Computer & High Technology Law Journal*, 26, p. 533.

Langinier, C. and Chaudhuri, A. R. (2019) 'Green Technology and Patents in the Presence of Green Consumers', *Journal of the Association of Environmental and Resource Economists*, 7(1), pp. 73–101. doi: 10.1086/705565.

McDonald, M. K. (2015) 'The social impact of intellectual property rights: public health, education, and income inequality', p. 263. Doi: <https://doi.org/10.13016/M2171R>

Ockwell, D. G. *et al.* (2010) 'Intellectual property rights and low carbon technology transfer: Conflicting discourses of diffusion and development', *Global Environmental Change*, 20(4), pp. 729–738. doi: <https://doi.org/10.1016/j.gloenvcha.2010.04.009>.

Rai, V., Schultz, K. and Funkhouser, E. (2014) 'International low carbon technology transfer: Do intellectual property regimes matter?', *Global Environmental Change*, 24, pp. 60–74. doi: 10.1016/j.gloenvcha.2013.10.004.

Raiser, K., Naims, H. and Bruhn, T. (2017) 'Corporatization of the climate? Innovation, intellectual property rights, and patents for climate change mitigation', *Energy Research & Social Science*, 27, pp. 1–8. doi:10.1016/j.erss.2017.01.020.

Rave, T. and Goetzke, F. (2017) 'Environmental innovation activities and patenting: Germany reconsidered', *Journal of Environmental Planning and Management*, 60(7), pp. 1214–1234. doi: 10.1080/09640568.2016.1213706.

Reynolds, J. L., Contreras, J. L. and Sarnoff, J. D. (2017) 'Solar Climate Engineering and Intellectual Property: Toward a Research Commons', *Minnesota Journal of Law, Science and Technology*, 18, p. 1.

Shahzad, F. *et al.* (2021) 'Does intellectual capital efficiency explain corporate social responsibility engagement-firm performance relationship? Evidence from environmental, social and governance performance of US listed firms', *Borsa Istanbul Review*. doi: 10.1016/j.bir.2021.05.003.

Suh, J. W., Sohn, S. Y. and Lee, B. K. (2020) 'Patent clustering and network analyses to explore nuclear waste management technologies', *Energy Policy*, 146, p. 111794. doi: 10.1016/j.enpol.2020.111794.

IP & ST Policy Briefs/Papers

Barton, John H. *et al.* (2007) 'Intellectual Property and Access to Clean Energy Technologies in Developing Countries: An Analysis of Solar Photovoltaic', *Biofuel and Wind Technologies*. ICTSD Programme on Trade and Environment. Trade and Sustainable Energy Series. Issue Paper No. 2

Contreras, J. L., Hall, B. H. and Helmers, C. (2018) *Green Technology Diffusion: A Post-Mortem Analysis of the Eco-Patent Commons*. w25271. National Bureau of Economic Research. doi: 10.3386/w25271.

Fed. Trade Comm'n, The Evolving IP Marketplace: Aligning Patent Notice and Remedies with Competition 28, (2011), <https://www.ftc.gov/sites/default/files/documents/reports/evolving-ip-marketplace-aligning-patent-notice-and-remedies-competition-report-federal-trade/110307patentreport.pdf>.

Plooy, P. D. (2013) *Technology Diffusion through Intellectual Property Rights: Innovating to Combat Climate Change*, *Africa Portal*. South African Institute of International Affairs (SAIIA). Available at: <https://www.africaportal.org/publications/technology-diffusion-through-intellectual-property-rights-innovating-to-combat-climate-change/> (Accessed: 17 June 2021).

U.S. Department of Justice & Fed. Trade Commission, Antitrust Enforcement and Intellectual Property Rights: Promoting Innovation and Competition (April 2007) <https://www.ftc.gov/reports/antitrust-enforcement-intellectual-property-rights-promoting-innovation-competition-report>.

IP & ST Doctoral thesis

Du, Q. (2019) 'Intellectual Property Rights and Climate Change: A Differentiated Patent Regime for Environmentally Sound Technologies', Bangor University (United Kingdom)

General IP Literature

IP reviews

Hall, B., C. Helmers, M. Rogers and V. Sena (2014). "The Choice between Formal and Informal Intellectual Property: A Review." *Journal of Economic Literature* 52(2): 375-423.

Hanel, P. (2006). "Intellectual property rights of business management practices: a survey of the Literature." *Technovation* 26(8): 895-931.

Jiang, Q., J. Qin and L. Kang (2015). A literature review for open source software studies. *Lecture Notes in Computer Science (including subseries Lecture Notes in Artificial Intelligence and Lecture Notes in Bioinformatics)*. 9191: 699-707.

Margan, D. and S. Čandrić (2015). *The success of open source software: A review*. 2015 38th International Convention on Information and Communication Technology, Electronics and Microelectronics, MIPRO 2015 - Proceedings.

Somaya, D. (2012). "Patent Strategy and Management: An Integrative Review and Research Agenda." *Journal of Management* 38(4): 1084-1114.

Wang, B., K.-H. Chai and A. M. Subramanian (2015). "Roots and development of intellectual property management research: A bibliometric review." *World Patent Information*.

IP classics

Grindley, P. C. and D. J. Teece (1997). "Managing intellectual capital: Licensing and cross-licensing in semiconductors and electronics." *California Management Review* 39(2): 8-&.

Levin, R. C., A. K. Klevorick, R. R. Nelson and S. G. Winter (1987). "Appropriating the Returns from Industrial-Research and Development." *Brookings Papers on Economic Activity* (3): 783-831.

Mansfield, E. (1986). "Patents and Innovation - an Empirical-Study." *Management Science* 32(2): 173-181.

Teece, D. J. (1986). "Profiting from Technological Innovation - Implications for Integration, Collaboration, Licensing and Public-Policy." *Research Policy* 15(6): 285-305.

IP books

Granstrand, O. (1999). *The Economics and Management of Intellectual Property: Towards Intellectual Capitalism*. Cheltenham, UK and Northampton, MA, USA, Edward Elgar Publishing.

IP management and strategy

Al-Aali, A. Y. and D. J. Teece (2013). "Towards the (strategic) management of intellectual property: Retrospective and prospective." *California Management Review* 55(4): 15-30.

Arora, Ashish, Andrea Fosfuri, and Alfonso Gambardella. (2001). "Markets for Technology and Their Implications for Corporate Strategy." *Industrial and Corporate Change* 10(2):419-51.

Bader, M. A., O. Gassmann, N. Ziegler and F. Ruether (2012). "Getting the most out of your IP - Patent management along its life cycle." *Drug Discovery Today* 17(7-8): 281-284.

- Blind, K., Edler, J., Frietsch, R. and Schmoch, U. (2006) Motives to patent: Empirical evidence from Germany, *Research Policy*, 35(5), 655–672.
- Blind, K., K. Cremers and E. Mueller (2009). "The Influence of Strategic Patenting on Companies' Patent Portfolios." *Research Policy* 38(2): 428-436.
- Chinying Lang, J. (2001). "Management of Intellectual Property Rights: Strategic Patenting." *Journal of Intellectual Capital* 2(1): 8-26.
- Drahos, P. (1997). "Thinking Strategically About Intellectual Property Rights." *Telecommunications Policy* 21(3): 201-211.
- Ernst, H., (2001). Patent applications and subsequent changes of performance: evidence from time-series cross-section analyses on the firm level.
- Fisher, W. W. and F. Oberholzer-Gee (2013). "Strategic management of intellectual property: An integrated approach." *California Management Review* 55(4): 157-183.
- Grindley, Peter C. and David J. Teece. (1997). "Managing Intellectual Capital: Licensing and Cross-Licensing in Semiconductors and Electronics." *California Management Review* 39(2):8–41.
- Lynskey, M. J. (2009). "Aligning strategy and intellectual property to maximise business value: a proposal for new technology-based firms." *International Journal of Intellectual Property Management* 3(4): 301-325.
- Mihm, J., F. J. Sting and T. Wang (2015). "On the effectiveness of patenting strategies in innovation races." *Management Science* 61(11): 2662-2684.
- Pohlmann, T. and M. Opitz (2013). "Typology of the patent troll business." *R & D Management*.
- Raasch, C. (2009). "Strategic Options to Tackle Patent Expiration: Theoretical Framework and Case Studies." *International Journal of Intellectual Property Management* 3(3): 278-300.
- Reitzig, M. (2004). "Strategic management of intellectual property." *MIT Sloan Management Review* 45(3).
- Reitzig, M. (2007). "How Executives can enhance IP strategy and performance." *MIT Sloan Management Review* 49(1): 37-43.
- Shapiro, C. (2001). "Navigating the Patent Thicket: Cross Licenses, Patent Pools, and Standard Setting."
- Somaya, D. (2012). "Patent Strategy and Management: An Integrative Review and Research Agenda." *Journal of Management* 38(4): 1084-1114.
- Tao, J., J. et al (2005). "Developing an effective strategy for managing intellectual assets." *Research-Technology Management* 48(1): 50-58.
- Ziegler, N., O. Gassmann and S. Friesike (2014). "Why do firms give away their patents for free?" *World Patent Information* 37: 19-25.
- Zobel, A.-K., B. Lokshin and J. Hagedoorn (2017). "Formal and informal appropriation mechanisms: The role of openness and innovativeness." *Technovation* 59: 44-54.