**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 Rübbelke, 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. Departmentt of Justice & Fed. Trade Common, 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. Čandrlić (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.