

# Dissemination and Exploitation under H2O2O Helsinki – 7 November 2019

Katrien Rommens European Commission, DG RTD B.6 – Common Data and Knowledge Management



#### Content

- I. Key concepts of Dissemination and Exploitation
- II. D&E reporting obligations under H2020
- III. D&E guidance and tools





## 1. D&E key concepts

- o Why we need D&E?
- o Legal Basis
- o Definitions:
  - Results
  - Dissemination (vs. Communication)
  - Exploitation
- o Barriers





A better dissemination and exploitation of project results contributes to:

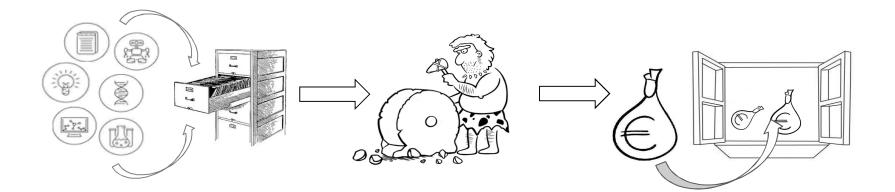
- A more effective circulation of new ideas and knowledge
- An increase of the innovation potential and the creation of new business opportunities
- A maximisation of the impact created through R&I investment

=> D&E is a catalyser for impact creation of R&I investments, European competitiveness and welfare of our society





## Why we need D&E?







# Horizon 2020 Programme increased importance given to D&E

#### H2020 Legal basis

Rules for Participation state clear obligations for beneficiaries:

- "Each participant that has received Union funding shall use its best efforts to exploit the results it owns, or to have them exploited by another legal entity..."
- "Subject to any restrictions due to the protection of intellectual property, security rules or legitimate interests, each participant shall through appropriate means disseminate the results it owns as soon as possible."
- "... participants shall provide any information on their exploitation and dissemination related activities, and provide any documents necessary in accordance with the conditions laid down in the grant agreement"





# Horizon 2020 Programme increased importance given to D&E

#### **Implementation rules**

- Proposal template highlights Dissemination and Exploitation plan as an admissibility condition and included in the Impact criterion evaluation
- Grant agreement (GA) includes articles 28 on Exploitation and 29 on Dissemination
- and possible additional D&E obligations following the WP
- Both periodic as continuous reporting include D&E related sections





# What are project results?

#### Results

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.\*

- Key exploitable results are the outputs generated during the project which can be used and create impact, either by the project partners or by other stakeholders
- Project results can be reusable and exploitable (e.g. inventions, prototypes, services) as such, or elements (knowledge, technology, processes, networks) that have potential to contribute for further work on research or innovation



\*http://ec.europa.eu/research/participants/portal/desktop/en/support/reference\_terms.html



#### What is meant by communication?

#### Communication

Taking strategic and targeted measures for promoting the action itself and its results to a multitude of audiences, including the media and the public, and possibly engaging in a two-way exchange\* Reach out to society as a whole

Demonstrate how EU funding contributes to tackling societal challenges

Is strategically planned with communication objectives and not only ad-hoc efforts

Uses pertinent messages, right medium and means

\* Shortened from <a href="http://ec.europa.eu/research/participants/portal/desktop/en/support/reference">http://ec.europa.eu/research/participants/portal/desktop/en/support/reference</a> terms.html



#### What is meant by dissemination?

#### Dissemination

Making the results of a project public, not only by scientific publications in any medium\* Circulation of knowledge and results to the ones that can best make use of them

Enabling the value of results to be potentially wider than the original focus

Essential element of all good research practice and vital part of the project plan

Strengthens and promotes the profile of the organisation

\* <u>http://ec.europa.eu/research/participants/portal/desktop/en/support/reference\_terms.html</u>



## What is meant by exploitation?

#### Exploitation

The utilisation of results in developing, creating and marketing a product or process, or in creating and providing a service, or in standardisation activities.\* Make use of the results; recognising exploitable results and their stakeholders

Concretise the value and impact of the R&I activity for societal challenges

Can be commercial, societal, political, or for improving public knowledge and action, it also include recommendations for policy making

Project partners can exploit results themselves, or facilitate exploitation by others (e.g. through making results available under open licenses)

\* http://ec.europa.eu/research/participants/portal/desktop/en/support/reference\_terms.html



#### What is the difference between D and E?

Scientific publication Policy brief/roadmap Training Demonstration Sharing results on online repository (research data, software, reports) Describing and making results available

Audiences that may make use of results

All results which are not restricted due to the protection of intellectual property, security rules or legitimate interests.

Grant Agreement art. 29

Dissemination

Utilisation of results, for scientific, societal or economic purposes

Groups and entities that are making concrete use of results

All results generated during project (exploitation by the project or another entity)

Grant Agreement art. 28

#### Exploitation

Spin-off/Start-up Product Patent PhD thesis/post Standard Service Societal activity Open/copyleft license Further research Policy change

Making results available	Facilitating further use of results	Making use of results
	Innovation management, Copyright management, Data management plan, Active stakeholder/user engagement.	



#### Why does it not always happen? From the side of the project/beneficiaries

- Perceiving D&E as a "tick box", not important for the "real work" of the project (research)
- Focusing on implementing vs aligning work with the needs of users and stakeholders
- Lack of skills (or interest) to effectively consider or share the value and possible benefits of the results for wider society
- Lack of knowledge of dissemination and exploitation risks and opportunities (issues, solutions, other projects)
- Not (yet) truly part of the project design
- Often interpreted as an activity after the project lifetime





# What are the benefits of D&E for the beneficiaries

- Attracts new talents to join the team
- Provides international and interdisciplinary collaboration opportunities
- Improves access to other funding opportunities
- In case of commercial exploitation, new sources of income can be generated
- Contributes to societal goals thereby providing more visibility/prestige to the researcher/institution





#### II. D&E REPORTING OBLIGATIONS





# D&E in the Periodic reporting

**Technical Report** 

✓ Part A (under continuous reporting)

- ✓ Publishable summary
- ✓ Deliverables, milestones, risks, etc.
- ✓ Answers to the questionnaire (H2020 KPI\*)
- ✓ Part B narrative part
  - Explanation of the work carried out by the beneficiaries and overview of progress
  - ✓ Update of the plan for exploitation and dissemination of results
  - ✓ Explanations on deviations from DoA

\* Key Performance Indicators



#### Continuous Reporting



#### Publications

#### Publications (from OpenAire)

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#### Continuous Reporting

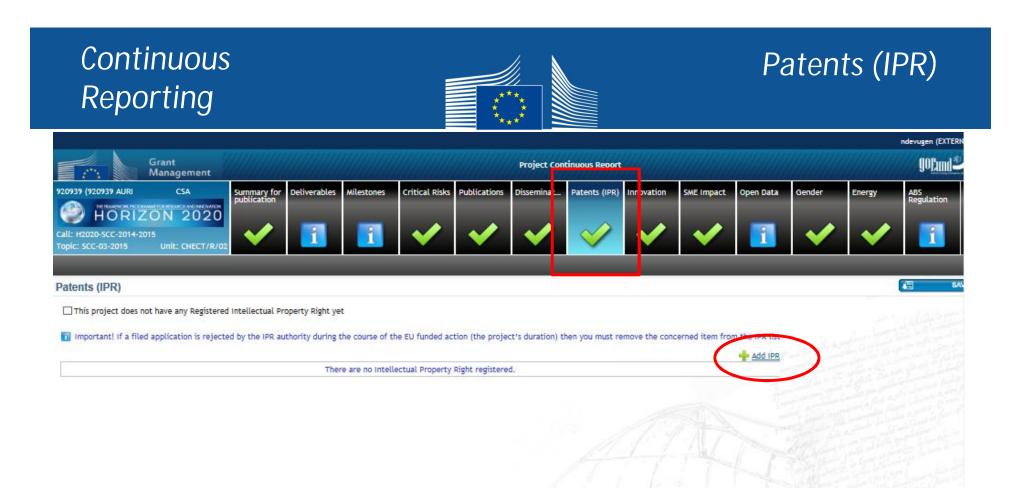


#### Publications

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#### Continuous Reporting



#### Patents (IPR)

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#### Continuous Reporting



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## H2020 periodic report template – Part B: Periodic Technical Report

- 2. Update of the plan for exploitation and dissemination of results (if applicable)
- Include in this section whether the plan for exploitation and dissemination of results as described in the DoA needs to be updated and give details.
- Keep in mind the definitions!
  - Results are not only scientific, tangible, planned results
  - Exploitation is not only commercialisation
  - Also consider policy relevant evidence as an exploitable result
- Pay enough attention to this section, don't leave it blank or incomplete
- Include (especially in final report), forward looking elements. What are the follow-up plans for D&E?



#### III. D&E GUIDANCE AND TOOLS





#### Resources supporting beneficiaries

H2020 online manual & Participant portal

- ✓ Dissemination and Exploitation to be expanded with more concrete guidance on D&E
- ✓ Open Access and Data Management
- ✓ Communication
- ✓ H2020 Glossary
- ✓ Presentation of the Coordinators day on D&E

https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/home

IPR helpdesk

- ✓ Guidance
- ✓ Helpline
- ✓ Trainings
- ✓ New guidance on Communication, Dissemination and Exploitation under development
- ✓ Dissemination towards potential users of results

https://www.iprhelpdesk.eu/





## D&E toolbox

- Horizon Dashboard
- CORDIS
- Innovation Radar (IR)
- NEW in 2019:
  - H2020 Impact Award
  - Horizon Result Platform
  - The common D&E "Booster"





**RESULTS PLATFORM** 







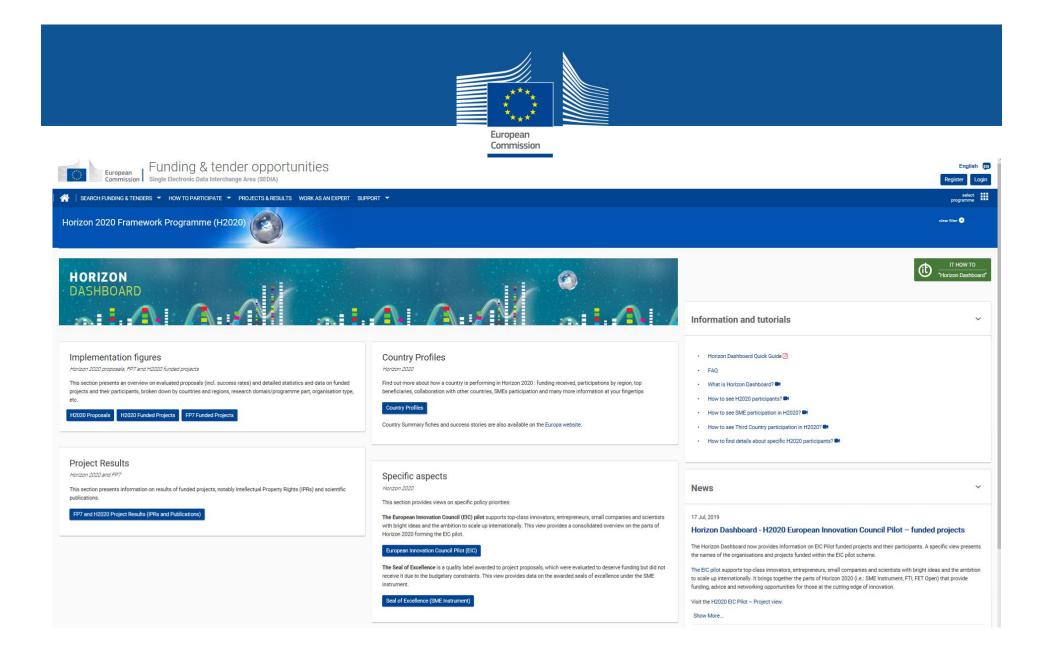
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		Horizon 2020, FP7 and Research Fund for coal and Steel project information and work report summaries are available on CORDIS.	

Accessible through Participant Portal:

https://ec.europa.eu/research/participants/portal/desktop/en/projectresults/index.html



https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/opportunities/horizon-dashboard





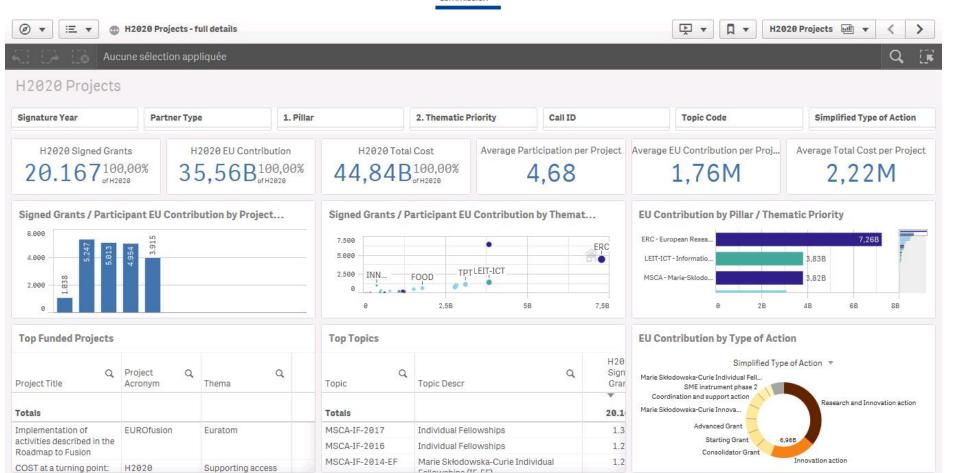
#### 1. Horizon Dashboard

- Frequently refreshed, one click stop shop for H2020 data
- Modern visual analytics (data discovery tool, maps, graphs)
- Useful for monitoring, (regional) analysis, evaluation
- H2020 Implementation data:
  - Proposals aggregate data on proposal subscription, requested EU funding
  - Projects aggregated view and detailed view



- o Thematic views: EIC, Seal of Excellence
- Country profiles







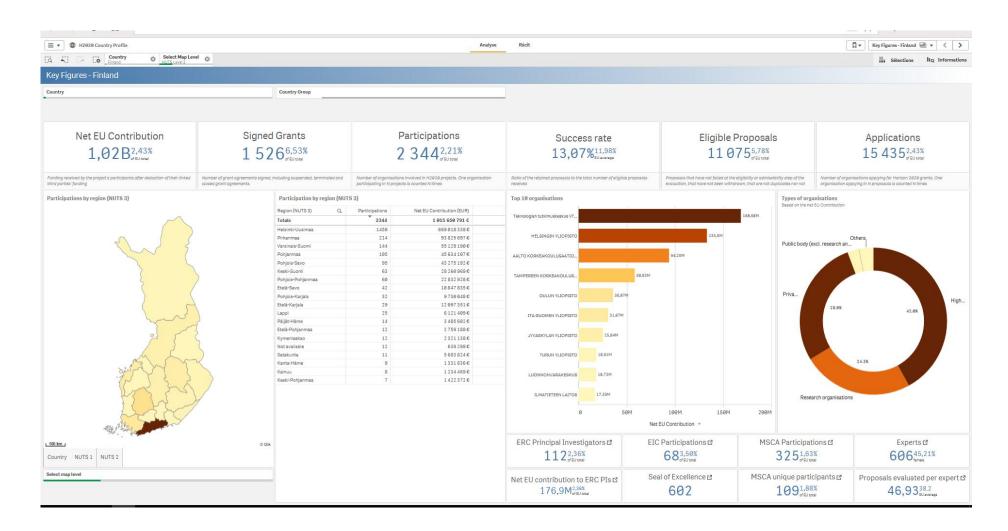


#### Country profiles











#### 2. CORDIS

- The point of reference to seek information on EC funded research projects, public available
- Focus on dissemination
- Products and services offered:
  - o Publishable summaries for H2020
  - o Results Packs
  - o Enhanced Results in Brief
  - o H2020 public deliverables and Publications
  - Upcoming: Patents (FP7, H2020), a renewed website with better visualisation and search functionalities (introduction of taxonomy)...
- Offers support for accessing Open Air results (search interface) <u>https://cordis.europa.eu/en</u>







## 3. Innovation Radar (IR)

- A data-driven methodology to deliver intelligence on
  - The innovations emerging from the projects
  - o The innovators: who and where?
  - o Market readiness: how can we help to get to the market?
- Structured systematic data
- Not topic-specific approach (applicable for entire H2020 programme)
- Advantages for the beneficiaries:
  - An expert assessment on your project innovations
  - o Identify your needs/barriers to go-to-market
  - o Matchmaking with partners, investors
  - Explore the innovation landscape in your country/region, field
- Yearly award: « Innovation Radar Price » based on public voting <u>www.innoradar.eu</u>

# 4. Horizon Impact Award

- 2019: first edition of the « Horizon Impact Award»
  - A celebration of successful EU-funded FP7 & H2020 projects that have created significant impact on economy, policymaking, environment and/or society
  - Ceremony during the R&I Days on 26 September 2019

https://ec.europa.eu/info/research-and-innovation/funding/fundingopportunities/prizes/horizon-impact-award\_en



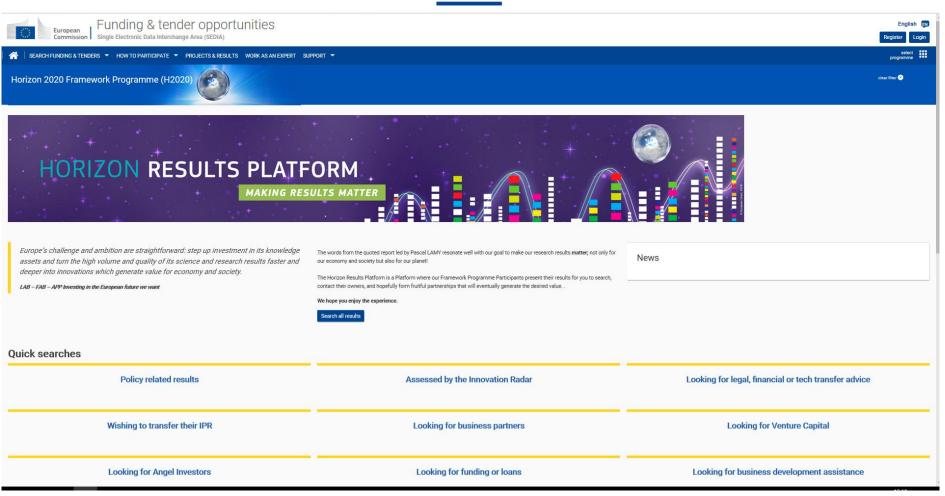
# 5. Horizon Results Platform

 Main idea is to make results of our beneficiaries known to a wide community and the public and for these results to find uses

European Commission NEW

- Business Case
  - o Pilot with Research Results beneficiaries
  - Developed as part of the F&T Portal
  - Vision for Corporate Platform for EC Results; not limited to "Research"
- Pilot Horizon Results Platform
  - Results presented through sales-pitch style abstract, video, PowerPoint presentation(s), other.
  - o By sector, geography, tagged with keywords.
  - External users (MS ministries, universities, EC Institutions, Investors, etc.) will be able to search results and initiate contact
  - Follow-up surveys by Commission to find out the outcome of the interaction (to assist impact assessment)





https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/opportunities/horizon-results-platform





Funding & tender opportunities Single Electronic Data Interchange Area (SEDIA)

\*



#### Filter by

#### Project result search (642)

Search in keywords, organisation, project name

#### Match whole words only

Country	
Select	
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Advanced filters	
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Project ID PIC	
Programme Innovation Radar Assessment	
Result Type	

Claiming significant policy influence Member of the "World Alliance for 1000 solutions" Radical innovation breakthrough



#### Sep 24, 2019

#### Innovative system for people localisation on large cruise ships for safe evacuation

An integrated system of highly innovative technologies that enable the safe evacuation of people from large cruise ships during emergency. The technologies, which were awarded with the prestigious LLoyds List Global Innovation award, are embedded in a globally unique system which includes the following subsystems:

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- · Low-cost, low powered localisable wearable devices in the form of bracelets, cabin key cards and smart life jackets
- Smart gateways integrated to the fire safety system, able to localise and track the wearable devices in real time
   A decision support system able to visualise people location and movement during evacuation and fuse information to provide evacuation intelligence to the safety officers
- An automatic mustering system able to identify people and manage the mustering procedure in real time



#### Sep 23, 2019

**Overview of SUCCESS results** 

The SUCCESS project addressed cybersecurity in the context of critical infrastructures with a particular focus on the critical power infrastructure on which other critical infrastructures depend for their operations. How SUCCESS technology will power the future? View our brochure which provides an overview of the main results!





NEW!!!!!

# 6. The common D&E Booster



https://ec.europa.eu/research/participants/data/ref/h2020/other/comm/190906\_d-e-booster\_en.pdf





# What is the D&E Booster?

- A set of 3 tailor-made services offered to FP beneficiaries aiming at:
  - capacity building of FP beneficiaries in D&E
  - increasing the benefit of the dissemination of results by clustering R&I projects together in a portfolio of similar or complementary project results
  - increasing their exploitation potential and access to markets
- In order to:
  - ensure an effective transfer of R&I project results to policy makers, industry and society
  - maximise the impact of R&I public investment
  - demonstrate and amplify the added value of the FPs
- IMPORTANT: the booster does not provide additional funding for D&E but professional support and guidance!



# How to apply ?

- Who can apply?
  - any FP7 or H2020 beneficiary of ongoing and/or closed projects depending on the requested services
- How to apply?
  - Projects can apply via an online submission form on the F&T Portal: <u>https://ec.europa.eu/eusurvey/runner/DE-Booster-Service-Request</u>
  - According to their needs, projects can select specific module(s) of a service, 1 or more specific service up to the full set of services.
  - Projects can only receive once a particular service/module
  - Selection based on:
    - Eligibility criteria (depending on requested service)
    - Motivation: To benefit from the services, the projects or project groups will be requested to commit and allocate time and resources to participate actively and cooperate
    - No "first come, first served basis"
- How services will be delivered?
  - External service provider for a 4 year framework contract
  - through e-mails, teleconferencing, face-to-face meetings, ...
  - No additional reimbursements for travel costs beneficiaries



# Service 1 : Portfolio Dissemination & Exploitation Strategy

**Module A:** identifying and creating the portfolio of R&I project results

## WHAT?

- o Creation of the portfolio of results
- Guidance on identifying similar on-going projects from any other EU, national and regional funding initiatives
- Mapping of the relevant stakeholders/targeted audience OUTCOME?
- The detailed description of the portfolio of R&I project results,





## Service 1 : Portfolio Dissemination & Exploitation Strategy

**Module B:** design and execution of a portfolio dissemination plan WHAT?

Design of a common dissemination plan for the portfolio and carry out the actual dissemination of the portfolio results.

OUTCOME?

- o Training, guidance and support material through webinars
- o The portfolio dissemination plan and its implementation steps
- o A visual identity for the portfolio
- o A factsheet and a video

FP7 H2020 Ongoing or closed + Dissemination and exploitation plan



# Service 1 : Portfolio Dissemination & Exploitation Strategy

**Module C:** assisting projects to improve their existing exploitation strategy WHAT?

• Guidance and training to improve the project's existing strategy towards effective exploitation of the anticipated key exploitable results.

### OUTCOME?

- o Training, guidance and support material through webinars
- o The improved exploitation strategy and its implementation steps



- + Identified key exploitable results
- + Dissemination and exploitation plan



## Service 2 : Business Plan Development

## WHAT?

- Tailor-made training and support to develop a business plan which shall include but is not limited to:
  - market analysis, business strategy, operations plan, competitor identification and analysis, clear action plan to be implemented by the project, estimation of time to market...etc.
- The project will also receive assistance to identify solutions for its implementation in terms of: start-up operations, investors, funding

### OUTCOME?

- Training, guidance and support material
- o The final business plan and its implementation steps



- + Identified key exploitable results
- + Exploitation plan



## Service 3 : Go-to-Market Support

### WHAT?

- Assistance, coaching, mentoring, contacts with the market stakeholders with a preparation for uptake of the results including:
  - training in pitching, support and guidance for Intellectual Property Rights (IPR), training in innovation management, business services, introduction to non-EU funding opportunities available and support in the project's application

### OUTCOME?

- o Training, guidance and support material
- o A business advisory service







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