R&I-LINKS2UA

STRENGTHENING R&I ⟶ LINKS TOWARDS UKRAINE

Communication, Dissemination, Exploitation as part of a successful Horizon 2020 project proposal, European Bank for Reconstruction and Development (EBRD) workshop, Kyiv, December 5-6, 2018

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Module overview

1. **Impact in Horizon 2020**: a brief overview
2. How to maximise impact in the Horizon 2020 proposals and projects **(Innovation management)**
3. Communication, dissemination, exploitation

IMPACT (focus: exploitation)

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1. **Intellectual Property rights:** main principles in Horizon 2020
2. Open access and open data in Horizon 2020 projects **(Data and knowledge management)**
3. Case study
4. Closure

IMPACT (focus: data management & protection)

2. Impact in Horizon 2020: a brief overview

Key terminology (1)

- **Innovation**: The process, including its outcome, by which new ideas respond to societal or economic needs and demand and generate new products, services or business and organisational models that are successfully introduced into an existing market or that are able to create new markets and that contribute value to society

- **Innovation Management:** Overall management of all activities related to understanding needs, with the objective of successfully identifying new ideas, and managing them, in order to develop new products and services which satisfy these needs

- **Intellectual Property Rights (IPR):** The legal rights granted with the aim of protecting the creators of the intellect. These rights include Industrial Property Rights and Copyright and Related Rights

Go to:
http://ec.europa.eu/research/participants/portal/desktop/en/support/reference_terms.

Key terminology (2)

- **Dissemination:** Sharing research results with potential users - peers in the research field, industry, other commercial players, and policymakers
- **Exploitation:** The use 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
- **Communication:** Taking strategic and targeted measures to promote the project and its results to a multitude of audiences

2. Impact in Horizon 2020: a brief overview

What is meant by impact in terms of Horizon 2020 projects?

- **Impact**: The changes or benefits to the economy, society, culture, public policy or services, health, the environment or quality of life, derived from the innovation
- Impact is assessed alongside research outputs to provide an evaluation of research taking place within a firm or an institution
- As such, research outputs, for example, knowledge generated and publications, can be translated into outcomes, for example, new products, services and standards, which generate impacts

Terminology

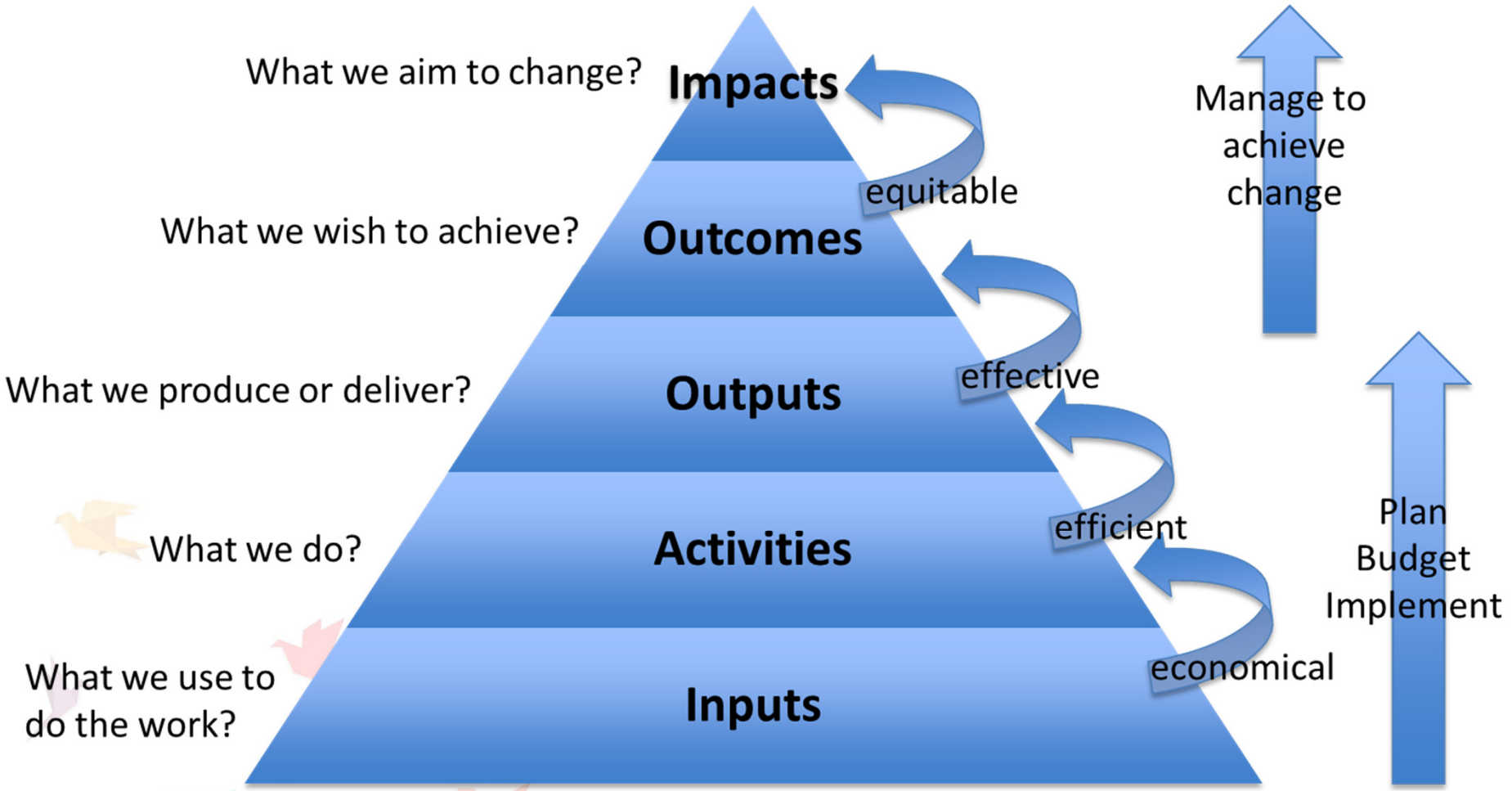
High level (policy or programme) objectives to which the project contributes: broader aim of the project, problem to be solved – **to contribute**

Project's central (immediate) objective: what the project aims to bring about, a specific outcome it wants to reach – **to achieve**

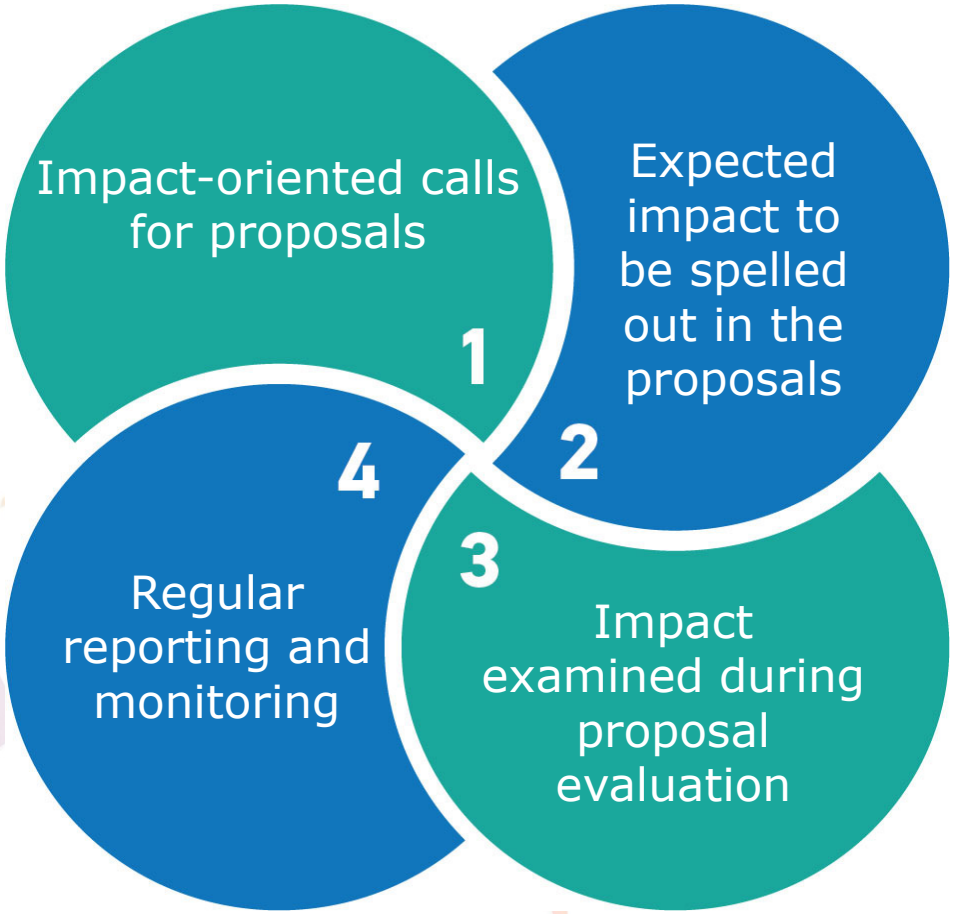
The "objective" does NOT contain:

Activities: Tasks that have to be undertaken to deliver the desired results – **to do**

Output: tangible products or services delivered by the project – **to produce**


What we aim to change?
Impacts
What we wish to achieve?
Outcomes
What we produce or deliver?
Outputs
What we do?
Activities
What we use to do the work?
Inputs
equitable
effective
efficient
economical
Manage to achieve change
Plan
Budget
Implement

An impact-oriented approach at all stages of Horizon 2020



- Built-in innovation and impact orientation:
  - challenge-based approach
  - funding all the way from lab to market
  - enhanced involvement of business, in particular Small and Medium-sized Enterprises (SMEs)

Global expected impact in different pillars of Horizon 2020

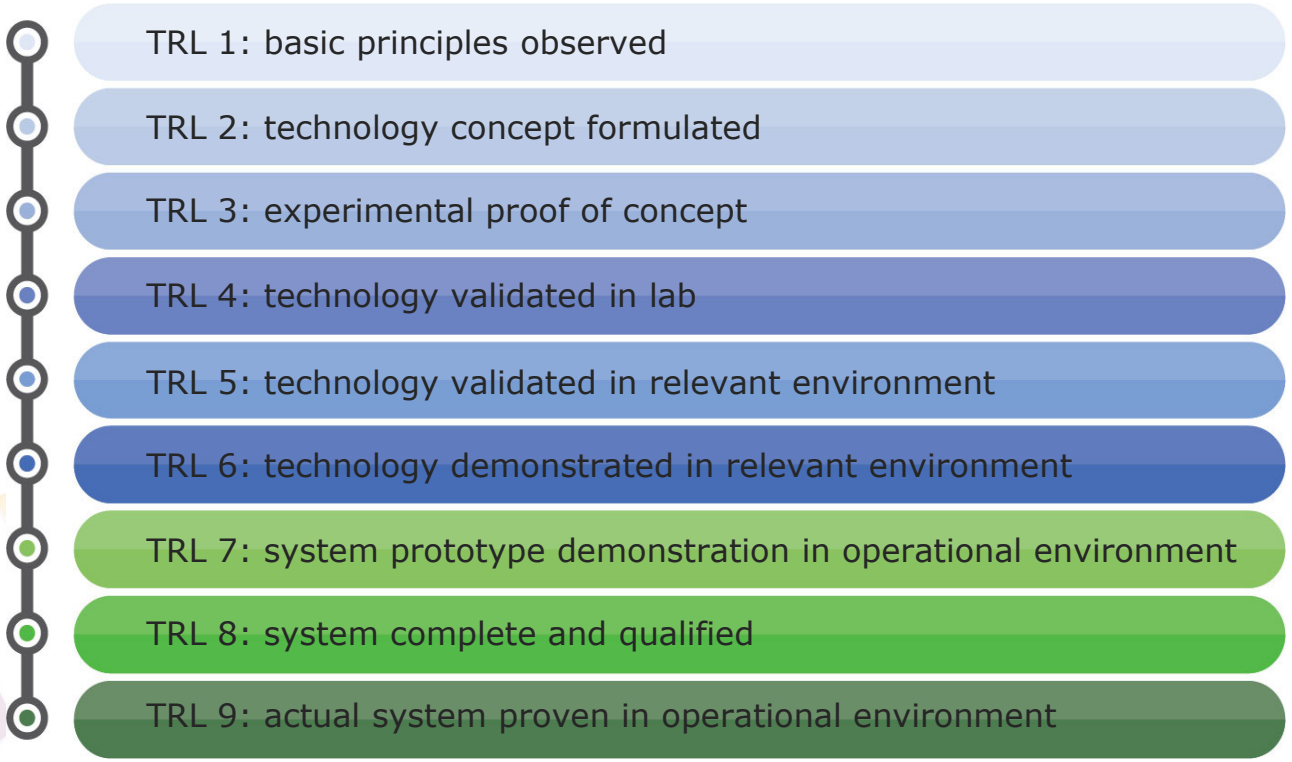
Delivering solutions adressing key societal and technical challenges

Innovations
Competitiveness
Growth
Jobs
Budget savings

Theory
Method
Knowledge
Technology-development
Reseacher training
Application

Quality of life
Health
Environment
Public services
Policy
Creative activity
Public engagement
Understanding
Education

Varying expected impact depending on the Technology Readiness Level (TRL) in Horizon 2020



Future & Emerging Technologies

Societal Challenges

Leadership in enabling and industrial technologies

TRL in Horizon 2020 is used to assess the maturity level of a particular technology

Key performance indicators → impact

Excellent Science

- Percentage of publications from ERC funded projects which are among the top 1% highly cited
- Publications in peer-reviewed high impact Journals
- Patent applications and patents awarded in Future and Emerging Technologies
- Cross-sector and cross-country circulation of researchers, including PhD Candidates
- Number of researchers who have access to research infrastructures through support from Horizon 2020

Key performance indicators → impact

Industrial Leadership

- Patent applications and patents awarded in the different enabling and industrial technologies
- Percentage of participating firms introducing innovations
- Number of joint public private publications
- Total investments mobilised (from different funds)
- Number of organisations funded and amount of private funds leveraged
- Percentage of participating SMEs introducing innovations
- Growth and job creation in participating SMEs

Key performance indicators → impact

Societal Challenges

- Publications in peer-reviewed high impact journals in this area
- Patent applications and patents awarded in this area
- Number of prototypes and testing activities
- Number of joint public-private publications
- New products, processes, and methods launched into the market
- Percentage of the respective Societal Challenge funds allocated to related research activities

What evaluators of Horizon 2020 proposals are looking for

The evaluators pay particular attention to:

- Expected impacts described for the topic of the project
- Key performance indicators (KPIs) including target values
- Enhancing innovation capacity and integration of new knowledge
- Strengthening competitiveness and growth of industrial partners by developing and delivering innovations meeting market needs
- Other environmental or social impacts…

They evaluate effectiveness of the proposed measures to exploit and disseminate the project results (including management of IPR), to communicate the project...

Do's and Dont's

2. Impact

- 2.1 Expected impacts
- 2.2 Measures to maximise impact
  - Dissemination and exploitation of results
  - Communication activities

- Quantify as much as possible.
- Use financial figures and develop a business model and/or business plan.
- Elaborate a convincing commercialization plan.
- Take into account all the expected impacts described in the topic.
- Expected impacts should be derived and justified on previous results.
- Plan a good cooperation with end users from the beginning of the project.
- Involve policy makers, SMEs and industry in the proposal or plan a sustainable cooperation with them.

Do’s and Dont’s

- Describe industrial uptake of research results in details.
- Develop an excellent dissemination plan (with diverse dissemination measures).
- Address adequately and clearly explain dissemination of project results.
- Don´t miss concrete market details: potential market volumes, which markets, specific products, prices, etc. Don´t copy proposal parts (mainly IPR management) from your previous project proposals.
- Don´t repeat (or copy) required impact from the call - develop your own proposal content.
- Don´t confuse dissemination with communication or exploitation.

3. How to maximise impact in Horizon 2020 proposals and projects

3. How to maximise impact in the Horizon 2020 proposals and projects (I)

Some guidelines for impact maximisation

Link the proposal to the policy context of the call for proposals

Involve potential end-users and stakeholders in the proposal

Identify how the consortium expects the results of the project to be applied

Understand the barriers to any application of the project results

- IP rights issues
- Skills shortage
- Mismatch between market needs and the solution

3. How to maximise impact in the Horizon 2020 proposals and projects (II)

Some guidelines for impact maximisation

Anticipate the potential need to take further steps to apply the project results in practice

- Standards to be agreed
- Financing the testing
- Promoting acceptance by consumers

Implement open access and consider how to manage the data

Prepare the exploitation and dissemination plan carefully

Innovation management / role of the innovation manager in Horizon 2020

1. Secure the foundations
2. Capture the projects results
3. Assess and protect the project results
4. Disseminate and exploit the project results

Key issues to be addressed by the innovation manager:

- IPR Management
- Exploitation management
- Barriers/ Obstacles
- Enhancing innovation capacity
- Standards/ Regulation

Communication, Dissemination, Exploitation

Just as a hint: Useful PPT online (from RI-LINKS2UA project)

https://ri-links2ua.eu/object/news/487/attach/Communication__Dissemination__Exploitation_in_H2020_BRUGNER.pdf

What is 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** and in particular to some specific audiences
- **Demonstrate how EU funding contributes to tackling societal challenges**

Let's hear what EU officials say about the topic:

https://www.youtube.com/watch?v=0JbLCd-7u7g&index=2&list=PLvpwIjZTs-Lhe0wu6uy8gr7JFfmv8EZuH

Section 2. Dissemination and Exploitation

What is dissemination?

Dissemination

The public disclosure of the results by any appropriate means, including by scientific publications in any medium.*

- **Transfer of knowledge and results** to the ones that can best make use of it
- **Maximizes the impact of research**, enabling the value of results to be potentially wider than the original focus

*http://ec.europa.eu/research/participants/portal/desktop/en/support/reference_terms.html

What is exploitation?

Exploitation

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.*

- **Make use of the results**; recognising exploitable results and their stakeholders
- **Concretise the value and impact of the R&I activity** for societal challenges

*http://ec.europa.eu/research/participants/portal/desktop/en/support/reference_terms.html

The importance of „impact“ for your H2020 project

The main difference in the evaluation process lies in the weight of **communication, dissemination and exploitation activities**.

Validation criteria for Horizon 2020

Sources: Guide to the submission and evaluation process, European Commission

The Horizon 2020 Grant Agreement and its guidelines for communication - 1

Alexandra Ruete, DG R&I, Communicating H2020 projects, Info day presentation, 17. November 2014

The Horizon 2020 Grant Agreement and its guidelines for communication - 2

Projects:

- *must define a **"comprehensive communication plan"***
- *must include in the proposal a **work package for communication** or include them into another work package*
- *need to address the "**public policy perspective**" with their communication activities*
- *need to keep their communication measures **proportionate** to the scale of the action.*
- *may freely **choose the type of communication activities***

Part B: Impact

2.2b Communication activities

What can be done to promote your project and your results (= communication)?

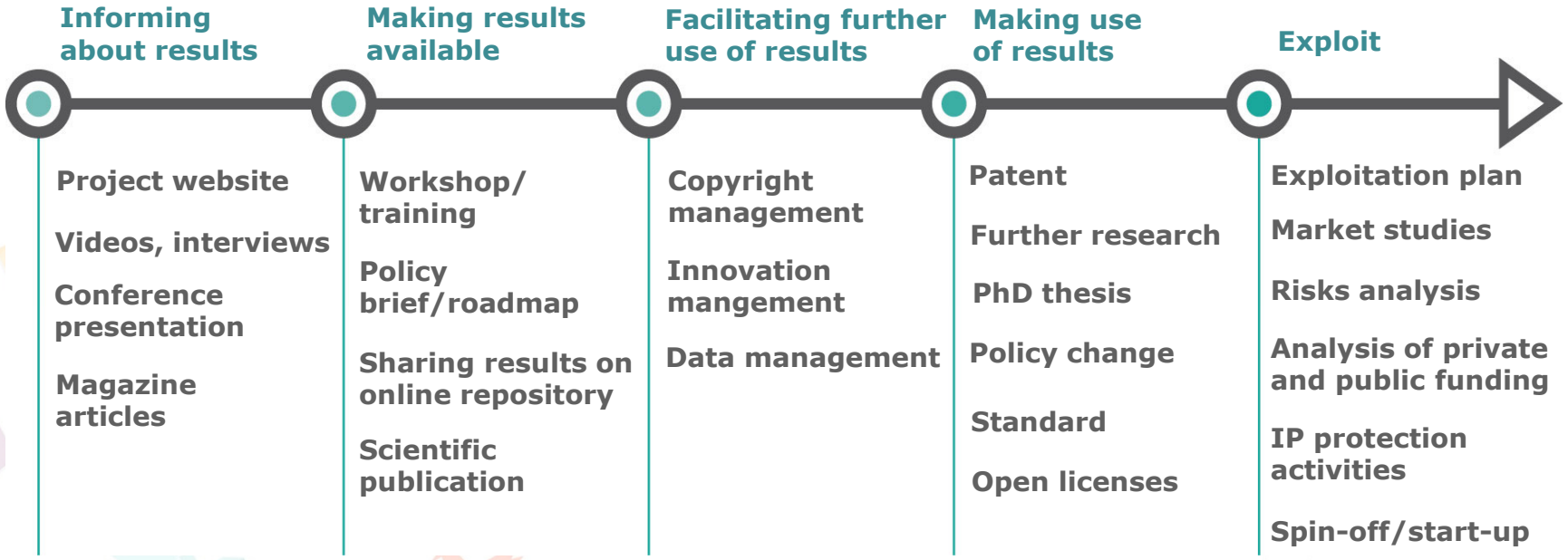
- Identify concrete target groups and targets
- Consistency with the Draft Plan for Dissemination and Exploitation
- Effective Management, clear responsibilities, reasonable ressources
- Suitable devices and medium

Communication, dissemination and exploitation activities

Activities	Targeted audience	Objectives
Communication	Multiple audience	Inform and reach out to society, show the benefits of research
Dissemination	Audience that may make use of results	Enable use and uptake of results
Exploitation	Groups and entities that are making concrete use of results	Making use of results, for scientific, societal or economic purpose

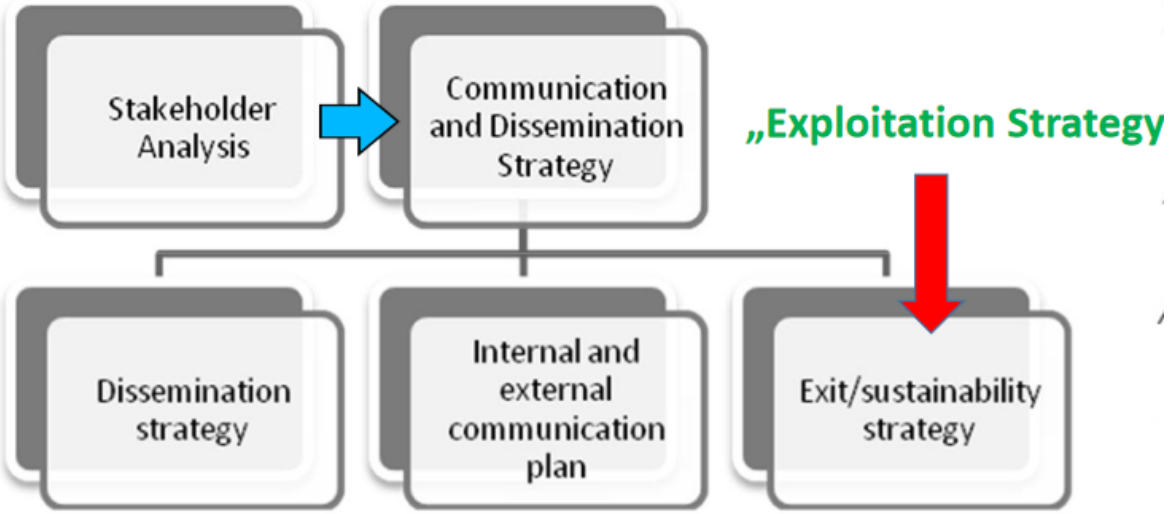
Example of communication, dissemination and exploitation activities

In order to create visibility for project achievements and to ensure knowledge spillover and access to a broader public, a broad variety of different dissemination channels can be used:



How are communication, dissemination and exploitation interlinked?

Your H2020 project: Assessment and preparation phase



Key questions to emphasize your exploitation strategy

- What outputs will be created?
- Where will the outputs be made available during and after the project?
- In what area do you expect to make an impact?
- Who are the potential users of your results?
- What needs might the results of your project meet?
- How will you contact potential users?

Focus on the exploitation plan

Explains what the exploitable results of the project are

Explains how these results are exploited / will be exploited

Reflects the steps undertaken to protect and exploit the project results

Evolves and becomes more precise and substantial during the project lifetime

Exploitation plan, an example

Executive summary

Chapter 1. Exploitation results – targets and current status

Chapter 2. Scientific exploitation and knowledge transfer

- Scientific dissemination
- Academic cooperation
- Academia-industry cooperation: new training , programmes etc.

Chapter 3. Preparation of commercial exploitation

Chapter 4. Standardisation strategy and activities

Chapter 5. Commercial exploitation: Roadmaps – per each technology/method/ tool

- What is expected to be achieved in terms of exploitation by the end of the project? What is the success indicator?
- How will the technology get commercialized? (new product, part of an existing product, application in a use case, …)
- Who will commercialize the technology?

Chapter 6. Partners' exploitation roadmap

Chapter 7. IPR strategy and overview of the IPR rules and regulations

Chapter 8. Next steps: Phases and planning – at the level of the project

Typical misconceptions in CDE

But why does it not always happen?

or barriers to effective D&E in projects

- Perceiving dissemination and exploitation as "tick boxes", not important for the "real work" of the project
- Confusion between communication, dissemination, exploitation
- Focusing on implementing and validating technical objectives instead of aligning work with the needs of users and stakeholders
- Limited considerations of what can be valuable key results of the project
- Lack of skills (or interest) to effectively consider the value and possible benefits of the key results outside "typical" community
- Lack of knowledge of dissemination and exploitation risks and opportunities, alternative channels and routes, stakeholders, competing solutions
- Lack of reflection and joint discussions within the consortia

4. Intellectual Property rights: main principles in Horizon 2020

4. Intellectual Property rights: main principles in Horizon 2020

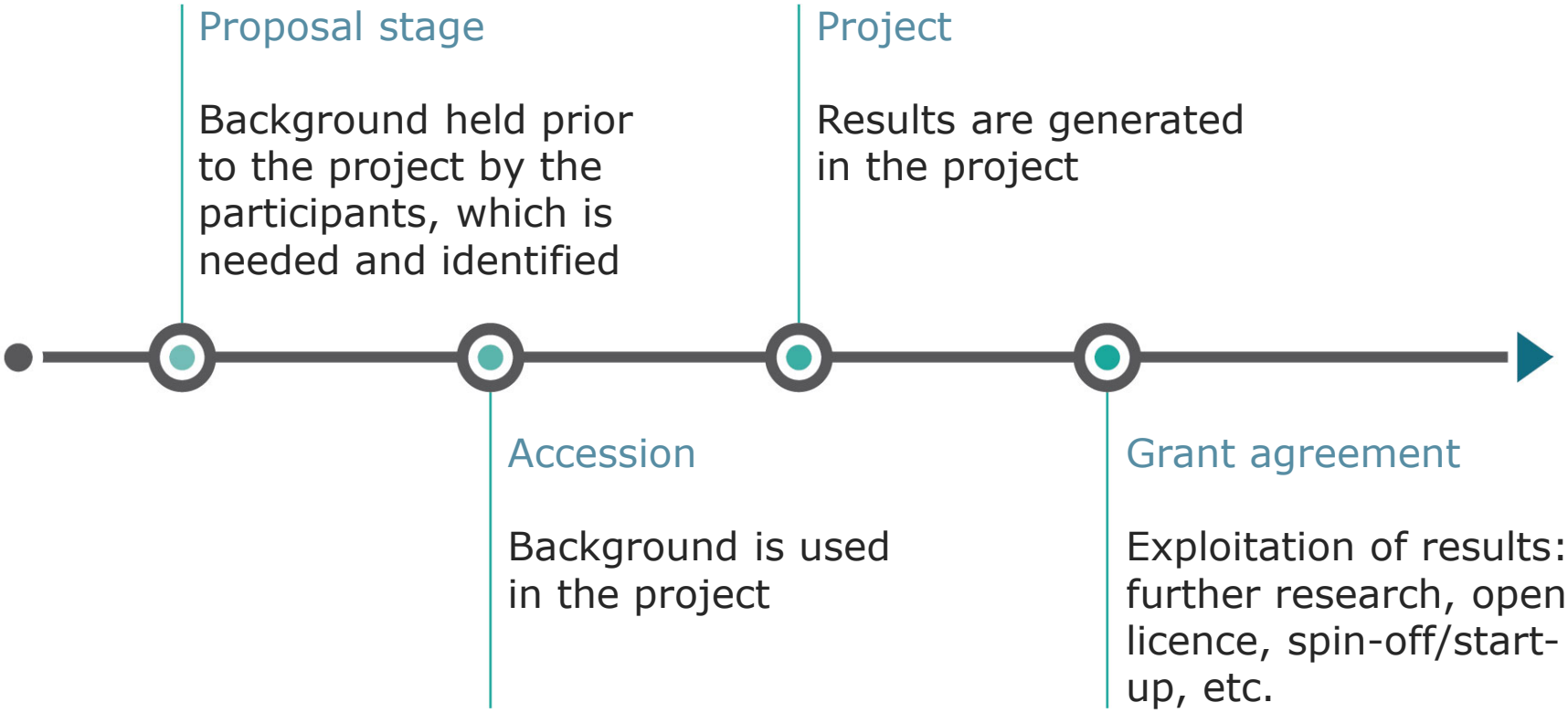
IP management

Goal: To better protect and reap commercial and economic benefits of a Horizon 2020 project

Terminology:

- **Background:** Tangible or intangible input (data, knowhow, information) which is held by the project partners prior to their accession to the agreement. Includes IP as copyright, patents/ patent applications
- **Results:** All results which are generated under the project – whether protectable or not. Such results may include copyrights, design or patent rights, trademarks or others, and belong to the partners who have generated them
- **Access Rights:** Each project partner has the right to request access rights to the other project partner's background and results as long as it needs them in order to carry out its work under the project or to use its own results

IP management in Horizon 2020 - Process



IP management in Horizon 2020 – what to remember

Background: The consortium partners identify and agree on the background for the project and how to use this in the project

Ownership of the results: In Horizon 2020, generally the Grant Agreement establishes that the results of the project belong to the participant generating them

General obligation to exploit: Each beneficiary must take measures to ensure the exploitation of its results, in particular through transfer or licensing, for up to four years after project completion

Costs of IP protection are Horizon 2020 project eligible costs: Costs related to intellectual property which occurred during the project implementation, can be eligible for reimbursement. Include them in the proposal budget!

5. Open access and open data in Horizon 2020 projects

5. Open access and open data in Horizon 2020 projects

Open Science: approach in Horizon 2020

The Europe 2020 strategy for a smart, sustainable and inclusive economy underlines the central role of knowledge and innovation in generating growth

Broader access to scientific publications and data therefore helps to:

- build on previous research results (improved quality of results)
- encourage collaboration and avoid duplication of effort (greater efficiency)
- speed up innovation (faster progress to market means faster growth)
- involve citizens and society (improved transparency of the scientific process).

This is why the EU wants to improve free access to scientific information and to boost the benefits of public investment in research funded under Horizon 2020

5. Open access to publications and open data

Open access to scientific publications (OA): providing online access to scientific information that is free of charge to the end-user and reusable. 'Scientific' refers to all academic disciplines.

The 2 main routes to open access are:

- **Self-archiving / 'green' open access** – the author, or a representative, archives (deposits) the published article or the final peer-reviewed manuscript in an online repository before, at the same time as, or after publication. Some publishers request that open access be granted only after an embargo period has elapsed.
- **Open access publishing / 'gold' open access** - an article is immediately published in open access mode. In this model, the payment of publication costs is shifted away from subscribing readers.

Open access to research data refers to the right to access and reuse digital research data under the terms and conditions set out in the Grant Agreement.

Part B: Impact

Open Access (OA)

Green Open Access

- OA documents server (institutional or disciplinary)
- Publication up to 6 or 12 month later
- Consider copyrights

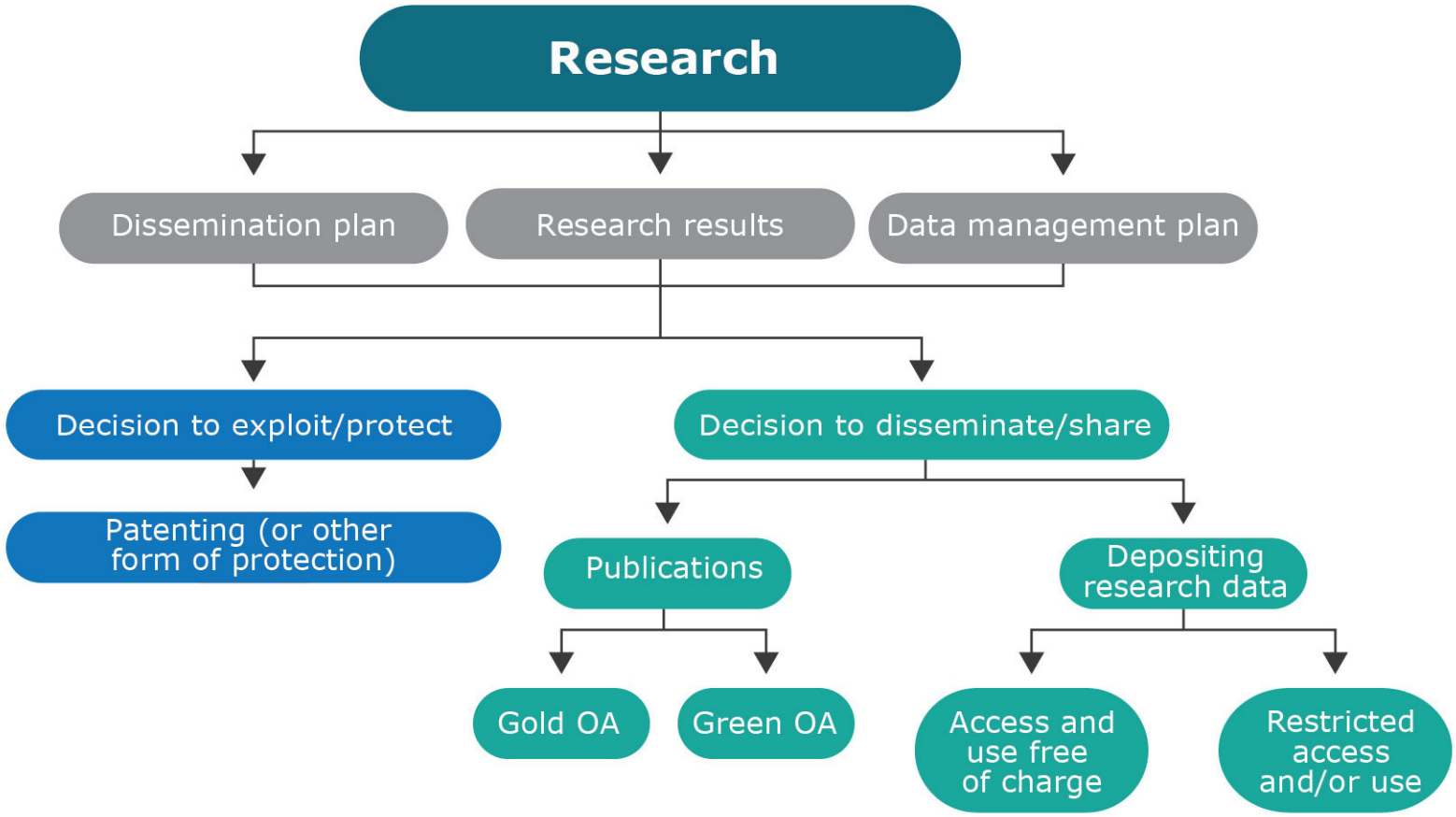
Gold Open Access

- First publication in OA-journal
- Publication fee (eligible in project budget)
- OA-journals: http://doaj.org

If you publish you have to use open access.

Check https://www.openaire.eu/

5. Open access to publications and open data



6. Ethical standards in Horizon 2020

Ethical vs Legal

What the researchers should do:

"Start thinking (and discussing) about ethics while designing your research protocols. *Do not wait until the last minute to seek advice or check what is required under national and European legislation."*

Importance of research ethics in Horizon 2020

- **Importance of Research Ethics in Horizon 2020**
- Research ethics is crucial for all scientific domains (NOT only in Life Sciences). For example:
- Data protection & Privacy
- Dual use issues
- Environmental risks and safety issues
- Research integrity aspects
- In Horizon 2020, all proposals considered for funding will be submitted to an Ethics Review procedure.
- **Only proposals that comply with ethical principles and legislation may receive funding!**

Importance of research ethics in Horizon 2020

- **Identifying dual-use concerns**

What are dual-use items? Definition: items, including software and technology, which can be used for both civil and military purposes, and shall include all goods which can be used for both non-explosive uses and assisting in any way in the manufacture of nuclear weapons or other nuclear explosive devices - Article 2(1) of Regulation No 428/2009

No ethics manager at hand? Make yourself one!

What we call the 1 hour Ethics Manager

"How to complete your ethics self-assessment"

http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/ethics/h2020_hi_ethics-self-assess_en.pdf

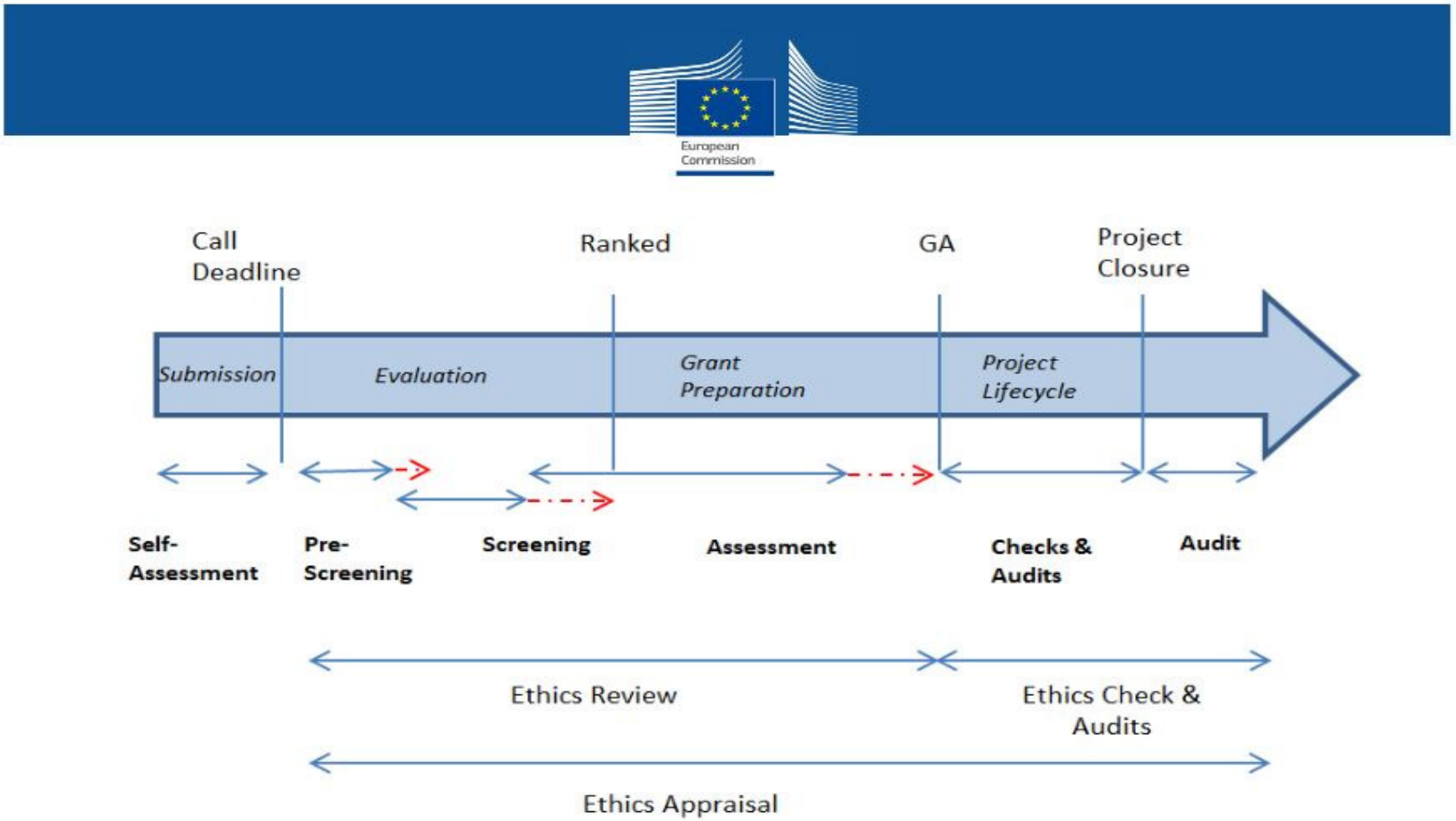
Importance of research ethics in Horizon 2020

- **How to complete your Ethics Self-Assessment**
- Guide with information and advice on how to address ethics in research / Horizon 2020
- For ALL applicants (NOT only medical research)
- Fill-in the Ethics issues table in Part A of the submission system
- All ethics issues should be addressed in your proposal part B (specific section)!

Importance of research ethics in Horizon 2020

Main ethics issues

- Human embryos and foetuses
- Human beings
- Human cells/tissues
- Personal data
- Animals
- Non-EU Countries
- Environment & Health and Safety
- Dual use
- Exclusive focus on civil applications
- Potential misuse of research results
- Other issues (Ethics integrity)


European Commission
Call Deadline
Ranked
GA
Project Closure
Submission
Evaluation
Grant Preparation
Project Lifecycle
Self-Assessment
Pre-Screening
Screening
Assessment
Checks & Audits
Audit
Ethics Review
Ethics Check & Audits
Ethics Appraisal

6. Case Study

6. Case study – focus on the project impact

CoPro - Improved energy and resource efficiency by better coordination of production in the process industries

- **Call: SPIRE-02-2016**
- **November, 1st 2016 – April, 30th 2020**
- 17 partners from 8 countries
- Coordinator: Prof. Sebastian Engell, TU Dortmund, Germany
- Website: https://www.copro-project.eu

- EC funding (A): 6.06 M€
- Private investment (B): 29.5 M€ (expected)
- Leverage factor (=B + C / A): 4.9

Leverage factor: estimation of the cumulative additional investments for the deployment and transfer of successful concepts into industrial products. These investments are additional to the EU funding (IP protection cost, user interactions, additional equipment, market exploration, prototyping…)

+ 3 end users to be further selected for feasibility studies, non-EU organisations eligible

Case study

Contributions of the project: providing a positive change

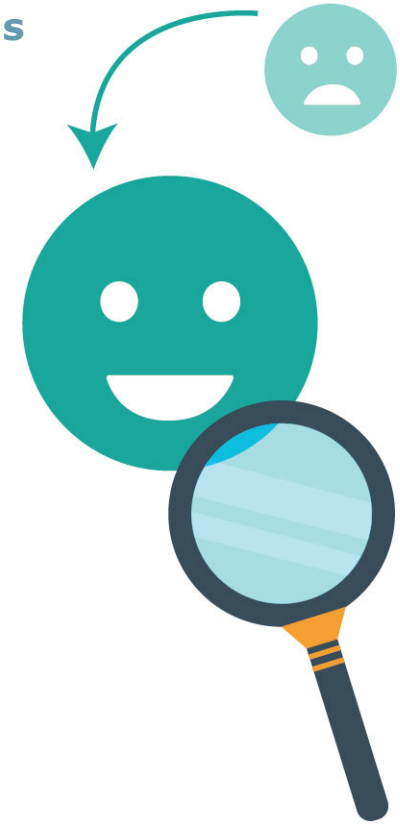
1. EU needs: why the EU funds are being allocated to the project

Improving energy and resource efficiency of production plants and chemical parks / production clusters

2. The Project Solution

Methods and tools for
- process monitoring and optimal dynamic planning,
- scheduling and control of plants, industrial sites and clusters under dynamic market conditions

Decision support to operators and managers, heading for automated closed-loop solutions



3. Value to Customers

- Reduced environmental impact of production processes
- Reduced cost of energy & resources through b**etter coordination and control** (no investments into equipment)
- Improved transparency
- Coordination in chemparks

4. How will this happen?

What key steps will get the project solution to a sufficient scale to meet the EU needs?

- Use cases
- Algorithms and software
- Consultancy and engineering of solutions by SMEs
- Standardisation activities

Case study

Industrial Use Cases

Optimal site and cracker planning and scheduling including optimisation of plants operations and DSR

Alexander Gammersbach
Team Leader of Site Optimisation,
INEOS Köln GmbHOptimisation

We operate a petrochemical complex with interacting plants and produce a large number of base chemicals. We need to plan this production for at least the year ahead. With optimal planning of the site and optimization of some of our units we can react quickly to changes in the market and save resources and energy.

Coordination of the production and distribution of gases in a chemical complex

Christine Maul
Team Lead of Advanced Process Control,
Covestro Deutschland AG

We strive to optimize the production and distribution of basic chemical gases required in the synthesis of our polymers. By means of advanced modelling, monitoring and optimization methods, we want to improve the energetic efficiency in the production of gases while respecting environmental and safety regulations.

Case study

What are the key expected sustainability impacts of CoPro?

Estimated impacts for broad deployment by 2030 (relative to 2015)

Indicator	Expected Impact
Reduction in greenhouse gas (GHG) emissions	4%
Reduction of the use of energy from non-renewable sources	2-10%
Waste minimization (in specific cases)	25%
Reduction of fresh water consumption (where applicable)	10%

What are the **key expected innovations** of *CoPro?*

Innovations	Baseline TRL	Expected TRL
Tools for plant-wide optimization	3	6
Tools for coordination in industrial parks	2	5
Tools for more efficient modelling	2	5
Integration and deployment platform	4	6

To end: Key messages about impact and exploitation in Horizon 2020

- Horizon 2020 has an **impact oriented approach**; **impact** is one of the three evaluation criteria in the proposals
- **Maximising impact** is key for proposal and project success
- International cooperation partners **add value to the impact** and success of proposals/projects in different ways
- Horizon 2020: open access to publications and research data (leveraging the positive affects of data exploitation, **impact**)

Some links - Ethics

http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/ethics_en.htm **Ethics in H2020**

http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/ethics/h2020_hi_ethics-self-assess_en.pdf **Self-assessment**

http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/guide_research-civil-apps_en.pdf **Research with focus on civil applications**

http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/guide_research-misuse_en.pdf **potential misuse of research**

http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/guide_research-refugees-migrants_en.pdf **Resarch on refugees, migrants**

Some links – dissemination, exploitaiton, IPR

http://ec.europa.eu/research/participants/data/ref/h2020/other/grants_manual/amga/soc-med-guide_en.pdf

https://www.iprhelpdesk.eu/sites/default/files/EU-IPR-Brochure-Boosting-Impact-C-D-E.pdf

https://www.iprhelpdesk.eu/sites/default/files/newsdocuments/FS-Plan-for-the-exploitation-and-dissemination-of-results_1.pdf

https://www.iprhelpdesk.eu/sites/default/files/newsdocuments/Fact-Sheet-IP-Management-H2020-Proposal-Stage.pdf

https://www.iprhelpdesk.eu/sites/default/files/newsdocuments/Fact-Sheet-IP-Management-H2020-Grant-Preparation-Stage.pdf

https://www.iprhelpdesk.eu/sites/default/files/newsdocuments/Fact-Sheet-IP-Management-H2020-Project-Implementation-and-Conclusion.pdf

https://www.iprhelpdesk.eu/sites/default/files/newsdocuments/Patenting_v._publishing_0.pdf

https://www.iprhelpdesk.eu/sites/default/files/newsdocuments/Fact-Sheet-Inventorship-Authorship-Ownership.pdf

https://www.iprhelpdesk.eu/sites/default/files/newsdocuments/Fact-Sheet-Commercialising-IP-Joint-Ventures.pdf

https://www.iprhelpdesk.eu/sites/default/files/newsdocuments/Fact-Sheet-How-to-Manage-Confidential-Business-Information.pdf

Some links – open access

http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/oa-pilot/h2020-hi-erc-oa-guide_en.pdf

http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-pilot-guide_en.pdf

http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/oa-pilot/h2020-oa-guide-model-for-publishing-a_en.pdf

Main sources of information and supporting materials

- Intellectual Property (IP) Management at the Horizon 2020 proposal stage: https://www.iprhelpdesk.eu/Fact-Sheet-IP-Management-H2020-Proposal-Stage
- Your Guide to Intellectual Property (IP) in Horizon 2020: https://www.iprhelpdesk.eu/sites/default/files/documents/EU_IPR_IP-Guide.pdf
- The Plan for the Exploitation and Dissemination of Results in Horizon 2020: https://www.iprhelpdesk.eu/sites/default/files/newsdocuments/FS-Plan-for-the-exploitation-and-dissemination-of-results_1.pdf
- Open access and open data: http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-pilot-guide_en.pdf
- ARIaT – Annotated Research and Innovation Actions Template: set of good practices to understand and write innovation related issues both in Research and Innovation Actions (RIA) and Innovation Actions (IA) of Horizon 2020 http://www.health2market.eu/results/h2020-annotated-template

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THANK YOU FOR YOUR ATTENTION!

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Sources:

***EC – DG R&I**
***RI-LINKS2UA project**
***EC ISF**

https://ri-links2ua.eu/

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