

### T2.2. Training seminar for IMU staff

Communication, Dissemination, Exploitation in Horizon 2020 and Horizon Europe

Philipp Brugner, Expert for Communication, Dissemination and Exploitation, ZSI – Centre for Social Innovation

ZOOM, April 15, 2021, 14-16:00 CET

## Agenda



14:00 - 14:15 Introduction and tour de table

14:15 - 15:00 1. Understanding, 2. Connecting, 3. Differentiating

**15:00 – 15:10** Coffee break

15:10 - 16:00 4. Succeeding, 5. Supporting, 6. Stocktaking

16:15 End of the meeting

## Oct. 2020-April 2021

May 2021 – Dec. 2021

Jan.-Dec. 2022

Jan.-Sept. 2023

SETTING UP the IMBG -Innovation Management Unit (T2.1)

- Identification of the activities
- Staff selection & tasks distribution
- Development of the Concept (together with selected Unit staff)
- Formal establishment of the Unit (30.4.2021)

Monthly online meetings

(1 visit per year in Kyiv)

- Monthly online meetings (1 visit per year in Kyiv)
- Monthly meetings (1 visit per year in Kyiv)

TRAINING of the IMBG - Innovation Management Unit Staff (T2.2)

- Horizon EUROPE IMBG´s
   Possibilities for the
   participation (Webinar) (end
   of February)
- Dissemination & Exploitation
   I. Webinar (March)

### TRAINING 1:

Topic 1: Project
Management – Managing
/Exploitation of results"
Topics: "Creation of spinoffs, start-ups. business
models development"

(ZSI/Vienna (end of June or

#### TRAINING 2:

Intellectual property rights" and "Technology transfer (ZSI + HZDR) Vienna or Dresden

### TRAINING 3:

Topics: "Fundraising skills" and "Writing a suitable business plan".
ZSI/Vienna, June 2023

TRAINING of IMBG researchers /managers (T2.3)

### TRAINING 1:

September)

Topic 1: Written and oral communication and presentation skills

Topic 2: Horizon Europe – how to write a successful proposal?

(ZSI/Vienna (end of June or September/can be also

#### TRAINING 2

May 2022

Topic 1: Intellectual property rights in R&I projects
Topic 2: Open Science, Open access, Open Data LIP/Lyon

### TDAINING 2.

LIP/Lyon

Topic 1: R&I funding opportunities.
Topic 2: Horizon proposal writing, project management, financial reporting

LEAD: LIP (September



This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 951887

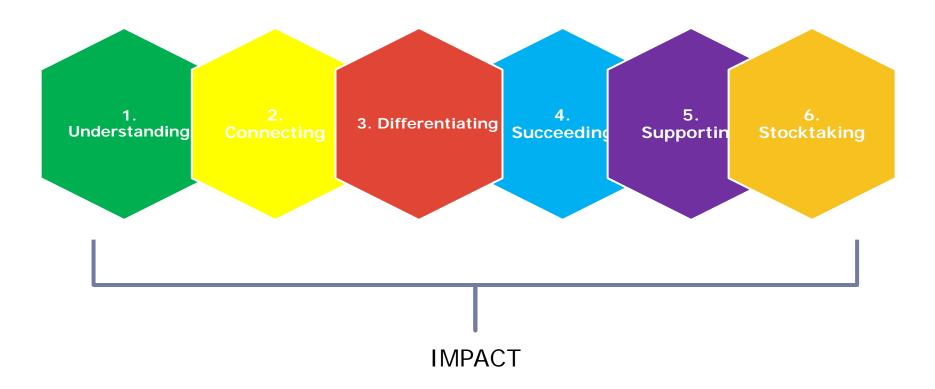
done online)

**FINAL EVENT (T2.4)** 

## Objectives of this training seminar

- 1. To foster understanding about CDE in Horizon 2020 and Horizon Europe
- 2. To « mentally » connect CDE as a project activity with CDE as a contractual obligation stipulated by the Grant Agreement
- 3. To address the differences between CDE as three separate activities
- 4. To succeed by learning from best practices in CDE as proposed by the EC
- 5. To receive an overview of the EC's support services for project beneficiaries in the field of CDE
- 6. To identify and respond to weakenesses in IMBG's current workflows and internal processes for CDE (discussion)

## Learning objectives visualised



## 1. Understanding

### 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

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



## Communication in the H2020 project lifecycle

- Proposal: Work package for communication (or in another WP) + comprehensive communication plan
- Evaluation: Taken into consideration as part of the criterion "impact"
- Reporting: Overview of the progress must also describe the communication activities
- Project Management:
  - 1. PO: Interim and final assessment
  - 2. Internal and external communication
- Impact: Project must strive to create visible impact in its field and to ensure sustainability of its results (communication – dissemination – exploitation)





## What is 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

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



## 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)

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



## 2. Connecting

### Communication:

Article 38 of the MGA « Promoting the action - Visibility of EU funding »

The beneficiaries must promote the action and its results, by providing targeted information to multiple audiences (including the media and the public), in a strategic and effective manner and possibly engaging in a two-way exchange

### Dissemination:

Article 29 of the MGA « Dissemination of results – open access – visibility of EU funding » Unless it goes against its legitimate interests, the beneficiary must — as soon as possible — 'disseminate' its results by disclosing them to the public by appropriate means, including in scientific publications (in any medium

### **Exploitation:**

Article 28 of the MGA « Exploitation of results »

The beneficiary must — up to four years after the period set out in Article 3 — take measures aiming to ensure 'exploitation' of its results (either directly or indirectly, in particular through transfer or licensing; see Article 30)

By signing the grant agreement with the EC, these obligations start becoming effective

## Communication: Article 38

# 38.1 Communication activities by the beneficiary

- 38.1.1 Obligation to promote the action and its results
- 38.1.2 Information on EU funding — Obligation and right to use the EU emblem
- 38.1.3 Disclaimer excluding [Agency and] Commission responsibility

# 38.1 Communication activities by the [Agency and the] Commission

38.2.1 Right to use the beneficiary's materials, documents or information

## Dissemination: Article 29

- 29.1 Obligation to disseminate results
- 29.2 Open access to scientific publications
- 29.3 Open access to research data
- 29.4 Information on EU funding — Obligation and right to use the EU emblem
- 29.5 Disclaimer excluding [Commission][Agency] responsibility

## Exploitation: Article 28

- 28.1 Obligation to exploit the results
- 28.2 Results that could contribute to European or international standards — Information on EU funding

## 3. Differentiating



### COMMUNICATION, DISSEMINATION AND EXPLOITATION WHY THEY ALL MATTER AND WHAT IS THE DIFFERENCE?

### Communication: Promote your action and results

Inform, promote and communicate your activities and results

Reaching multiple audiences Citizens, the media, stakeholders



- Having a well-designed strategy
- · Conveying clear messages
- · Using the right media channels



From the start of the action until the end



- · Engage with stakeholders
- Attract the best experts to your team
- Generate market demand
- Raise awareness of how public money is spent.
- · Show the success of European collaboration
- Legal obligation: Article 38.1 of the Grant Agreement

### Dissemination: Make your results public

Open Science: knowledge and results (free of charge) for others to use



#### چک Only to scientists?

Not only but also to others that can learn from the results: authorities, industry, policymakers, sectors of interest, civil society



Publishing your results on:

- Scientific magazines
- Scientific and/or targeted conferences
- Databases

### When?

At any time, and as soon as the action has results



- Maximise results' impact
- Allow other researchers to go a step forward
- Contribute to the advancement of the state of the art
- Make scientific results a common good
- Legal obligation: Article 29 of the Grant Agreement

#### **Exploitation:** Make concrete use of results

Commercial, Societal, Political Purposes



Not only, but also:

- Industry including SMEs
- · Those that can make good use of them: authorities, industrial authorities, policymakers, sectors of interest, civil society



- Creating roadmaps, prototypes, softwares
- Sharing knowledge, skills, data



Towards the end and beyond, as soon as the action has exploitable results



- Lead to new legislation or recommendations
- For the benefit of innovation, the economy and the society
- Help to tackle a problem and respond to an existing demand
- Legal obligation: Article 28 of the Grant Agreement

what else?



Acknowledge the EU funding!





## Communication vs. dissemination

### What is the difference?

Newsletter

Press release

Project factsheet, brochure

Social media (blogs, Twitter, Facebook, LinkedIn)

About the project results

Multiple audiences

Inform and reach out to society, show the benefits of research

Grant Agreement art. 38.1

About results only

Audiences that may use the results in their own work

Enable use and uptake of results

Grant Agreement art. 29

Scientific publications

Policy brief/roadmap

Training/demonstration

Sharing results on online repository (research data, software, reports)

Communication Dissemination

Informing about the project re-use

Informing about the results

Making results available for

Project website, videos, interview, articles in magazines, exhibitions/ open days, guided visits, conference, presentation and workshops.



## Dissemination vs. exploitation

### What is the difference?

Newsletter

Press release

Project factsheet. brochure

Social media (blogs, Twitter, Facebook, LinkedIn)

About the project results

Multiple audiences

Inform and reach out to society, show the benefits of research

Grant Agreement art. 38.1

About results only

Audiences that may use the results in their own work

Enable use and uptake of results

Grant Agreement art. 29

Scientific publications

Policy brief/roadmap

Training/demonstration

Sharing results on online repository (research data, software, reports)

**Communication Dissemination** 

Informing about the project re-use

Informing about the results

Making results available for

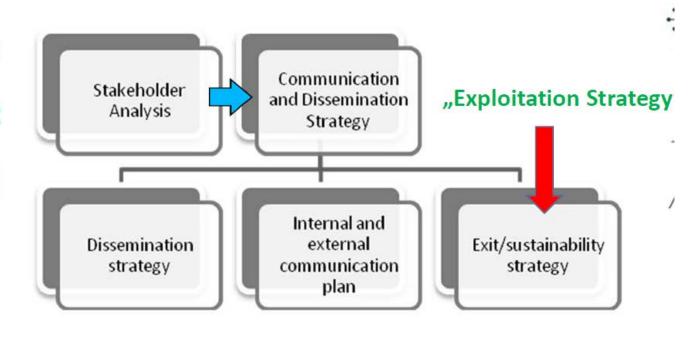
Project website, videos, interview, articles in magazines, exhibitions/ open days, guided visits, conference, presentation and workshops.



## CDE in your project – preparation and execution phase

## How are communication, dissemination and exploitation interlinked?

Your H2020 project: Assessment and preparation phase



## This translates into the following at least 2 deliverables



Communication Plan (internal and external communication)

Important! About the wording - the strategy is part of the plan, but not the plan itself



Dissemination and Exploitation Plan (PDER)



Dissemination Plan



Exploitation Plan

## CDE: Look at it in a very simple way!

- **1. Communications** informs *wider audiences* on the project as a whole.
- 2. **Dissemination -** supports exploitation by informing specific target audiences **potential users** about the project's results
- 3. Exploitation is the concrete use of your results by the project itself or external beneficiaries. The Exploitation Plan is a Business Plan for exploiting project results its focus is on how to use the research
- 4. AND: Also if dissemination and exploitation might be managed within one Work Package, it is a task for every partner in the consortium!

## 4. Succeeding

# 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.



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



## Some videos

**Horizon Results platform – Making results matter** 

https://www.youtube.com/watch?v=NOTc5quDJXo

Horizon 2020 communication, promote your project and success - The EU Guide to Science Communication

https://www.youtube.com/watch?v=0JbLCd-7u7g

**Common Dissemination Booster (CDB) - European Commission** 

https://www.youtube.com/watch?v=ynZSbVSZYn0

Research and innovation to enhance the EU's science diplomacy capabilities

https://www.youtube.com/watch?v=vy0dbQ3PQtQ

## Impact at all stages of the project lifecycle (preparation, implementation, sustainability)

### Impact can only emerge from successful exploitation activities!

- 1. Measurable impact goals you can monitor and evaluate
- 2. Well-targeted stakeholders and/or publics
- 3. A credidble communication, dissemination, exploitation (impact) plan

## An impact-oriented approach at all stages of Horizon 2020



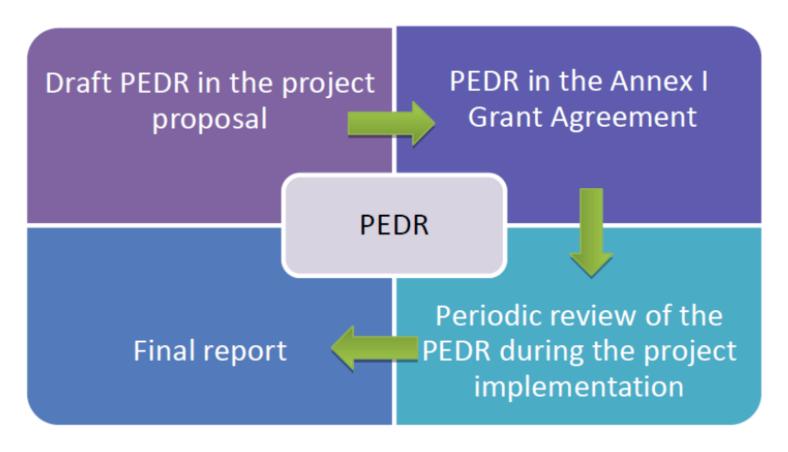
- Built-in innovation and impact orientation:
  - challenge-based approach
  - funding all the way from lab to market
  - enhanced involvement of business, in particular Small and Medium-sized Enterprises (SMEs)



# PDER – Plan on the Dissemination and Exploitation of Results – design & content

- Use written description, or table and written description
- Be specific, even though PDER should be updated during project
- Plan which partners will be in charge of the actions
- Plan the actions in the workplan (WP, GANTT), in the budget
- Address the possible follow-up of your project (investments, wider testing or scaling up...)
- Make sure to articulate properly dissemination, use and IP protection
  - > Provide your business plan, if relevant (mandatory for Innovation Actions
- PDER needs to be updated during the implementation of the project (!)

## The PDER in your project lifecycle



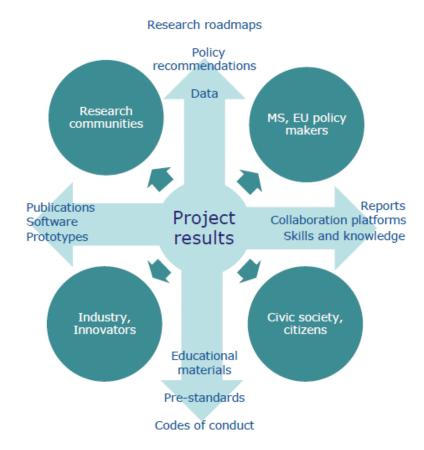
## Exploitation – starting from results

## 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.\*

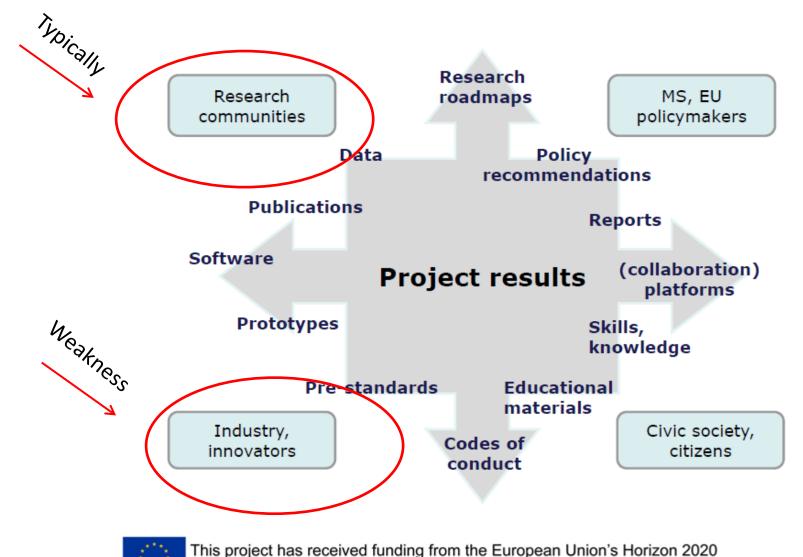
- Key exploitable results are the outputs generated during the project which can be used and create impact, either by the project partners or by other stakeholders
- Project results can be reusable and exploitable (e.g. inventions, prototypes, services) as such, or elements (knowledge, technology, processes,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



 $<sup>*\</sup>underline{\text{http://ec.europa.eu/research/participants/portal/desktop/en/support/reference terms.html}}$ 



# The 4-sector transfer potential of project results



research and innovation programme under grant agreement No 951887

# Dissemination, Exploitation – what is in it for projects?

### Implementing D&E activities can:

- Attract new talents to join their team
- Provide international and interdisciplinary collaboration opportunities
- Improve access to other funding opportunities
- Generate new source of income if commercial exploitation takes place,
- Contribute to societal goals thereby providing more visibility/prestige to the researcher/institution
- Influence policy development in your discipline/field

# Monitoring impact – evaluating dissemination and exploitation

- Dissemination activities and outputs must be reported
- ✓ Think of quantifiable indicators for your monitoring that are based on SMART (specific, measurable, achievable, reasonable, time-bound)
- ✓ Media coverage (number of media outlets etc), Web (page views etc), Social Media (followers etc), Publications (citations), Events (number of participants etc)
- ✓ For guidance, you can always ask your PO

## Novelties in Horizon Europe







### **Evaluation: Same criteria as in H2020**

Same three award criteria: 'Excellence', 'Impact' and 'Quality and efficiency of the implementation'. Excellence only for ERC.

### **Key principles:**

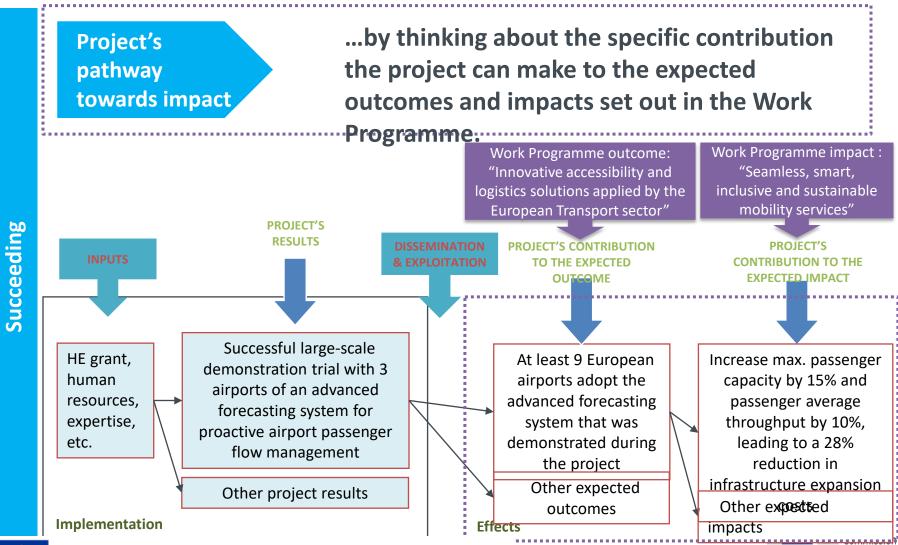
- You should show how your project could contribute to the outcomes and impacts described in the work programme (the pathway to impact
- You should describe the planned measures to maximise the impact of your project ('plan for the dissemination and exploitation including communication activities')

### **NEW!**

New approach to impact: Key Impacts Pathways (KIPs)



## Describing the impact of your proposal







## Measures to maximise impact

Dissemination, exploitation and communication

To include a draft plan in proposal is an admissibility condition, unless the work programme topic explicitly states otherwise.

All measures should be proportionate to the scale of the project, and should contain concrete actions to be implemented both during and after the end of the project

### Elements of the D&E&C plan

- Planned measures to maximise the impact of projects
- Target groups (e.g. scientific community, end users, financial actors, public at large) and proposed channels to interact
- Communication measures for promoting the project and its findings throughout the full lifespan of the project
- Policy feedback measures to contribute to policy shaping and supporting the implementation of new policy initiatives and decisions
- Follow-up plan to foster exploitation/uptake of the results
  - Comprehensive and feasible strategy for the management of the intellectual property (the provision of a results ownership list is mandatory at the end of the project)
  - If exploitation is expected primarily in non-associated third countries, give a convincing justification that this is still in the Union's interest.

# Management of your exploitation activities

Source:



# The management of your exploitation activities



### **Exploitation Management**

### Some practicalities to address

- How far down "TRL" road should I go?
- ➤ Do I need to licence in 3<sup>rd</sup> party components, etc?
- Is more development/funding needed before I can convince an investor/partner?
  - what for (development, proof of scale-up, market validation, etc)?
  - how much?
  - where can I get it from?
- How do I reach my target prospects (end-users, investors, commercialisation partners, research partners, etc)



### The exploitable IP includes:

- Patent in method of joining bamboo
- Design rights in the product, and some component parts
- Copyright in engineering drawings and manufacturing manuals
- Know-How (manufacturing techniques)
- Marks (trademarks, etc)
- Trade secrets
- And "the transfer" training

## 1. Licensing



### Licensing?

Granting the right to use your property under certain agreed terms and conditions, such as

- Territory
- > Field of use
- > For a limited time
- For evaluation only
- Provided you do a good job with it!
- ➤ Etc

**NB**: Can the SME Partner(s) reach all market sectors and territories?



# 2. Open source



## **Open Source**

- Just another type of licence!
- Choose only if appropriate for the business model
- Usually requires source to be made available (sometimes only on request)
- Needs management
- Many different variations
- Beware "viral" clauses which may affect commercialisation

# 3. License or Start-up?

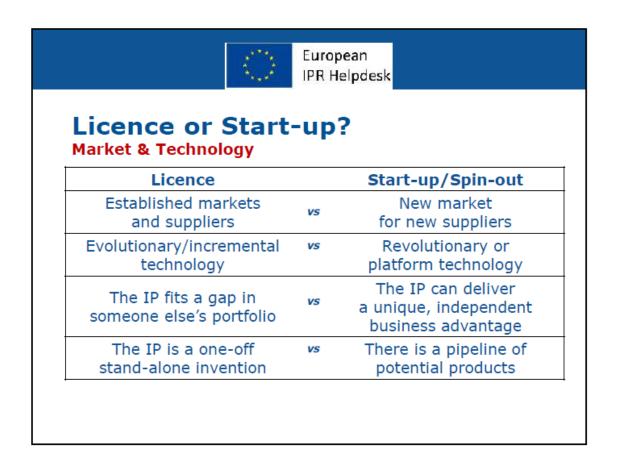


## License or Start-up?

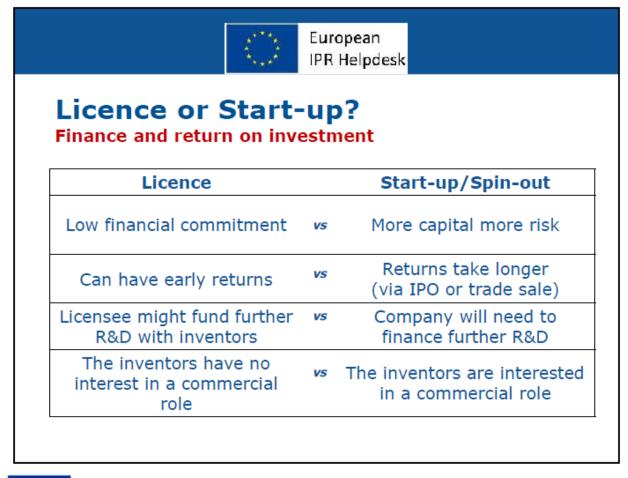
- Licensing licensee has expertise and resource
  - > Takes advantage of the expertise, resources and market know-how of companies already operating in the field.
  - Can address different fields of use and geographical areas
- Start-up must acquire expertise and resource
  - A critical mass of expertise (management, financial, sales, marketing, manufacturing, technical, administrative), and an committed and enthusiastic team
  - Resources for developing, manufacturing and marketing can be very large, particularly if worldwide



# First assessment: Market and Technology



# Second assessment: Finance and return on investment





# 4. Financing innovation





# Summary: Managing exploitation



## Summary Exploitation strategies

- 1) Understand the landscapes (market, technology, IP, etc)
- 2) Know where you want to get to (TRL Level)
- Understand what further work/investment/funding will be needed to reach your objectives
- 4) Build the most attractive "offer" by:
  - building a portfolio of IP (i.e. not just patents!)
  - working with others
  - > adding value through development
  - changing market perceptions
- Choose the most appropriate exploitation route (licensing, start-up, JV, etc)



## Final Summary

People do not buy technology...

They buy goods and services that satisfy their needs and wants

It is about **People** not Technology

# 5. Supporting

The European Commission itself offers various services intended to support Horizon 2020 funded projects in their dissemination and exploitation activities. Usually, these services are free of charge for beneficiaries and are on offer both for individual projects or project groups, in case several projects can be accommodated under a joint topic.

Depending on the type of service, these are the most common ways of support offered:

- Support in the design of effective dissemination and exploitation plans and raising the exploitation potential of research results
- Provision of platforms for the promotion of research results targeting a broad range of stakeholders
- Advising on the innovation potential of projects and support in identifying innovation actors relevant to the project

## Horizon Results Booster



- Mission statement: "Horizon Results Booster Steering research towards strong societal impact, concretising the value of R&I activity for societal challenges"
- Type: Support to strategy development in dissemination and exploitation, business development and go-to-market
- Management: META Group with further partners
- Website: <a href="https://www.horizonresultsbooster.eu/">https://www.horizonresultsbooster.eu/</a>
- Timeframe: The service implementation timeframe is from July 2020 to June 2024

# Horizon 2020 Dashboard



- Mission statement: "The Horizon Dashboard is an intuitive and interactive reporting platform, composed of a set of sheets that allows series of views to discover and filter the Horizon 2020 data"
- Type: Platform to publish and promote research results targeting a broad range of stakeholders (from business to academia)
- Management: EC DG RTD
- Website: <a href="https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/opportunities/horizon-dashboard">https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/opportunities/horizon-dashboard</a>

## **CORDIS**



- Mission statement: "Our mission is to bring research results to professionals in the field to foster open science, create innovative products and services and stimulate growth across Europe"
- Type: Platform to publish and promote research results targeting a broad range of stakeholders (from business to academia)
- Management: Joint management of various EC bodies
- Website: <a href="https://cordis.europa.eu/">https://cordis.europa.eu/</a>

## HORIZON MAGAZINE



- Mission statement: "Horizon brings you the latest news and features about thought-provoking science and innovative research projects funded by the EU. Our articles are written by independent science journalists and are designed to appeal to both scientists and non-scientists alike."
- **Type:** Platform to publish and promote research results targeting a broad range of stakeholders (from business to academia)
- Management: DG RTD
- Website: <a href="https://horizon-magazine.eu/">https://horizon-magazine.eu/</a>

# Horizon Impact Award



- Mission statement: "This award recognises and celebrates societal advancements through research and innovation. Instructions on how to apply, news about the contest and full details of the award."
- **Type:** Award (For 2019 and 2020, projects must have been funded by FP7 and/or Horizon 2020 funding programmes and they must be closed by the time of application.)
- Management: DG RTD
- **Website:** <a href="https://ec.europa.eu/info/research-and-innovation/funding/funding-opportunities/prizes/horizon-impact-award en">https://ec.europa.eu/info/research-and-innovation/funding/funding-opportunities/prizes/horizon-impact-award en</a>

## **Innovation Radar**



- Mission statement: "Our goal is to allow every citizen, public official, professional and business person to discover the outputs of EU innovation funding and give them a chance to seek out innovators who could follow in the footsteps of companies such as Skype, TomTom, ARM Holdings, all of whom received EU funding in their early days"
- Type: Providing advice on how to spark thinking in an "innovation mindset" within a project context and support in identification of innovation actors relevant to the project; Identification of highpotential innovations and innovators in EU-funded R&I projects
- Management: EC DG RTD
- Website: <a href="https://www.innoradar.eu/">https://www.innoradar.eu/</a>





## **₩** 🔯 🕟 EUROPEAN COMMISSION TOOLS



## Research and Innovation success stories • • •

A collection of the most recent success stories from EU-funded Research & Innovation



### (2) Horizon Dashboard • •



An intuitive and interactive knowledge platform where you can extract statistics and data on EU Research and Innovation programmes - sorting by topics, countries, organisations, sectors, as well as individual projects and beneficiaries!



### CORDIS • • •

Multilingual articles and publications that highlight research results, based on an open repository of EU project information.



#### Horizon Results Booster • •



A service free of charge in case you would like to apply to benefit from one of these services:

- 1. Portfolio Dissemination & Exploitation Strategy
- 2. Business plan development
- 3. Go-to-Market Support



#### Horizon Magazine

The latest news and features about thought-provokingscience and innovative research projects funded by the EU.



## Innovation Radar ••





A data-driven method focused on the identification of high potential innovations and the key innovators behind them in EU-funded Research and Innovation projects.



#### Horizon Impact Award

An annual prize to recognise and celebrate outstanding projects that have used their results to provide value for society. The award enables individuals or teams to showcase their best practices and achievements, and inspire beneficiaries of research and innovation funding to maximise the impact of their research!



### 🍘 Horizon Results Platform 🌘 🖜



A public platform that hosts and promotes research results thereby widening exploitation opportunities. It helps to bridge the gap between research results and generating value for economy and society. You can create your own page to showcase your results, find collaboration opportunities and get inspired by the results of others!



Dissemination

Exploitation

### Keep in touch

Funding & Tenders Opportunities portal

Research Enquiry Service





## 6. Stocktaking – CDE on IMBG institutional level

## Let's discuss the following points:

- IMBG's internal workflow for CDE
- Internal management and responsibilities
- Instruments available
- Strategic messaging and dissemination
- Target groups for the institute

# 6. Objectives defined in the GA

- 1. "To present the project as a major milestone for UA science and society" (Part B, p18)
- 2. "Results of BIONANOSENS will be published in all three scientific journals of IMBG" (p19)
- 3. "Visibility of BIONANOSENS will be made possible through IMBG Scientific Information Department" (p19)
- 4. "Developing project leaflet, poster and rollup" (p20-21)

## Sources:

- EC DG RTD
- Research Executive Agency
- EC IPR Helpdesk
- RI-LINKS2UA project
- Own sources





## Philipp Brugner

Centre for Social Innovation (ZSI), Austria

brugner@zsi.at

for your attention!

This presentation reflects only the author's view. The European Union is not liable for any use that may be made of the information contained herein.

