European Commission

#HorizonEU

THE EU RESEARCH & INNOVATION PROGRAMME

2021 – 2027

HINANO SPREAFICO
REA. C.1

Cluster 2 – Brokerage event

30/09/2021

Research and Innovation

PROPOSAL STAGE

Tips for good dissemination and exploitation

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Definitions: D & E & C

COMMUNICATION

- About the project and results
- Multiple audiences
  Beyond the project's own community
  (include the media and the public)
- Inform and reach out to society, show the benefits of research
- Strategic and targeted messages, right medium and means

DISSEMINATION

- About results only
- Describe and make results visible, including scientific publications
- To audiences that may use the results in their own work
- Enable use and uptake of results, essential for all research practice and vital for the project plan
- Allow the value of results to be potentially wider than the original focus

EXPLOITATION

- Actual use of the results for scientific, societal, economic purposes or for policy making
- All results generated during the project lifetime but also after its end
- Recognise exploitable results and their stakeholders
- Partners can exploit their results or let them being exploited by interested third parties

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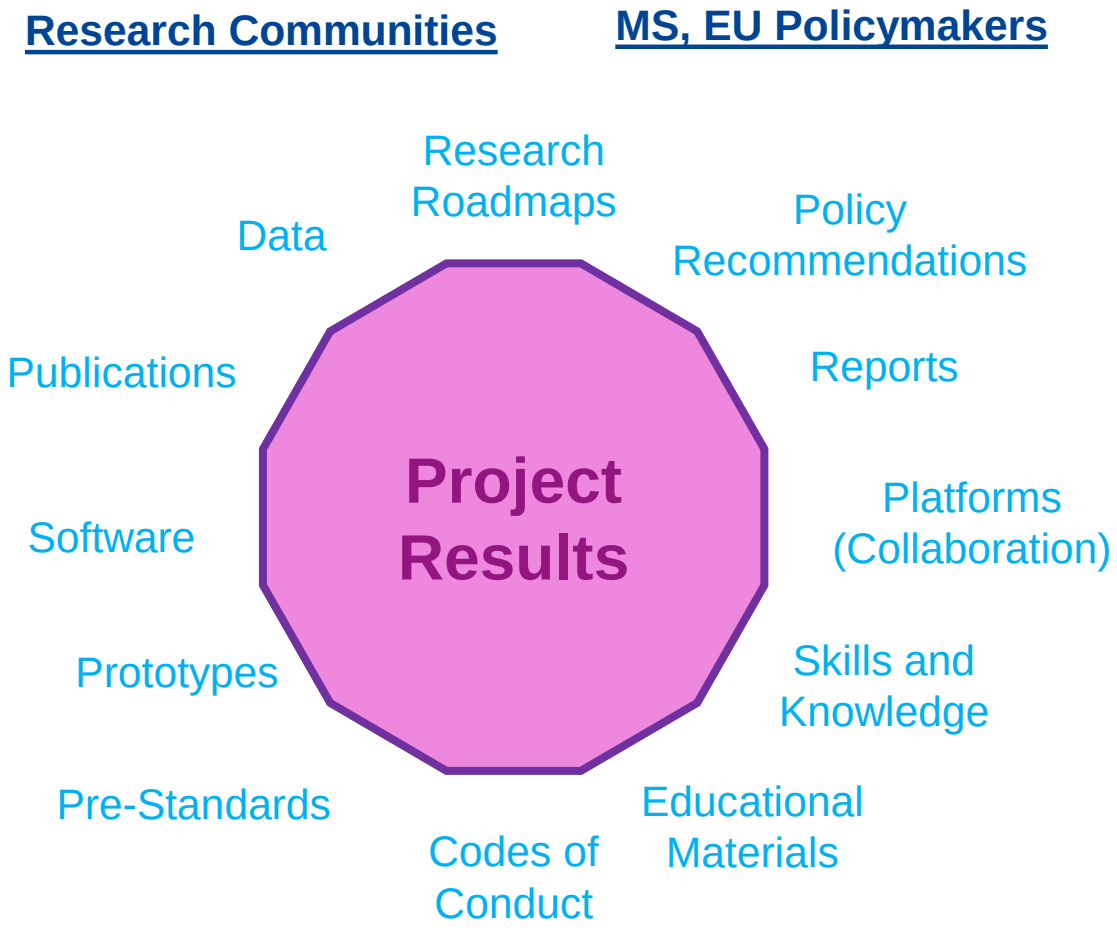
RESULTS

Results' means any **tangible or intangible effect of the action,** such as data, know-how or information, whatever its form or nature, whether or not it can be protected, as well as any rights attached to it, including intellectual property rights…

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



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What's new in D&E under HE?

Changes from H2020

Legal basis, AGA:
H2020
D&E - Art. 29
Communication - Art. 38
HE
C&D – **Art. 17**
C&D - Annex 5

D&E **is part of the Key Impact Pathway** to demonstrate the contribution to the impact on society

Clear definitions of IMPACT, OUTPUTS, OUTCOMES RESULTS

Improvements on the **proposal / reporting template** to introduce more specific language on D&E

Emphasis on **continuous reporting** on D&E and **follow up** (even after the end of the project)

If, despite the best effort for exploitation, no uptake happens 1 year after the end of the project, then the project must use the Horizon Results Platform to make exploitable results visible (unless obligation is waived)

A structured questionnaire available to beneficiaries to report on progress, needs and obstacles for exploitation

Encouragement of **third party** exploitation (where appropriate)

Introduction of **incentives** for exploitation

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What’s remains from H2020 in D&E?

Same definitions

Dissemination

Exploitation

Communication

Across the overall **project lifecycle**, from proposal until after the project end

The obligation to exploit remains
and is a responsibility of the beneficiaries on a **“best efforts” approach**

The **Horizon Results Platform**:
- free,
- part of the F&T portal,
- available to all beneficiaries,
- based on results, not on projects.

Specific **services** offered to beneficiaries

D, E, C: where about?

Proposal preparation

2. Impact

- 2.1 Project’s pathways towards impact [e.g. 4 pages]
- **2.2 Measures to maximise impact - Dissemination, exploitation and communication [e.g. 5 pages, including section 2.3]**
- **2.3 Summary - Provide a summary of this section by presenting in the canvas below the key elements of your project impact pathway and of the measures to maximise its impact.**

Implementation phase

- A complete exploitation, dissemination and communication plan has to be submitted during the first 6 months of the project

Main changes H2020 vs HE – Application form

Check the definitions, page 4

Call: [insert call identifier] — [insert call name]

EU Grants: Application form (HE RIA/IA): V1.1 – 19.04.2021

DEFINITIONS	
Critical risk	A critical risk is a plausible event or issue that could have a high adverse impact on the ability of the project to achieve its objectives. Level of likelihood to occur (Low/medium/high): The likelihood is the estimated probability that the risk will materialise even after taking account of the mitigating measures put in place. Level of severity (Low/medium/high): The relative seriousness of the risk and the significance of its effect.
Deliverable	A report that is sent to the Commission or Agency providing information to ensure effective monitoring of the project. There are different types of deliverables (e.g. a report on specific activities or results, data management plans, ethics or security requirements).
Impacts	Example: *The deployment of the advanced forecasting system enables each airport to increase maximum passenger capacity by 15% and passenger average throughput by 10%, leading to a 28% reduction in infrastructure expansion costs.*
Milestone	Control points in the project that help to chart progress. Milestones may correspond to the achievement of a key result, allowing the next phase of the work to begin. They may also be needed at intermediary points so that, if problems have arisen, corrective measures can be taken. A milestone may be a critical decision point in the project where, for example, the consortium must decide which of several technologies to adopt for further development. The achievement of a milestone should be verifiable.
Objectives	The goals of the work performed within the project, in terms of its research and innovation content. This will be translated into the project's results. These may range from tackling specific research questions, demonstrating the feasibility of an innovation, sharing knowledge among stakeholders on specific issues. The nature of the objectives will depend on the type of action, and the scope of the topic.
Outcomes	The expected effects, over the medium term, of projects supported under a given topic. The results of a project should contribute to these outcomes, fostered in particular by the dissemination and exploitation measures. This may include the uptake, diffusion, deployment, and/or use of the project's results by direct target groups. Outcomes generally occur during or shortly after the end of the project. Example: *9 European airports adopt the advanced forecasting system demonstrated during the project.*
Pathway to impact	Logical steps towards the achievement of the expected impacts of the project over time, in particular beyond the duration of a project. A pathway begins with the projects' results, to their dissemination, exploitation and communication, contributing to the expected outcomes in the work programme topic, and ultimately to the wider scientific, economic and societal impacts of the work programme destination.
Research output	Results generated by the action to which access can be given in the form of scientific publications, data or other engineered outcomes and processes such as software, algorithms, protocols and electronic notebooks.
Results	What is generated during the project implementation. This may include, for example, know-how, innovative solutions, algorithms, proof of feasibility, new business models, policy recommendations, guidelines, prototypes, demonstrators, databases and datasets, trained researchers, new infrastructures, networks, etc. Most project results (inventions, scientific works, etc.) are 'Intellectual Property', which may, if appropriate, be protected by formal 'Intellectual

Check the proposal template, page 10-13

2.2 Measures to maximise impact - Dissemination, exploitation and communication *[e.g. 5 pages, including section 2.3]*

- Describe the planned measures to maximise the impact of your project by providing a first version of your 'plan for the dissemination and exploitation including communication activities'. Describe the dissemination, exploitation and communication measures that are planned, and the target group(s) addressed (e.g. scientific community, end users, financial actors, public at large).

  ⚠ *Please remember that this plan is an admissibility condition, unless the work programme topic explicitly states otherwise. In case your proposal is selected for funding, a more detailed 'plan for dissemination and exploitation including communication activities' will need to be provided as a*

Part B - Page 10 of 23

Call: [insert call identifier] — [insert call name]

EU Grants: Application form (HE RIA/IA): V1.1 – 19.04.2021

mandatory project deliverable within 6 months after signature date. This plan shall be periodically updated in alignment with the project's progress.

⚠ *Communication[1] measures should promote the project throughout the full lifespan of the project. The aim is to inform and reach out to society and show the activities performed, and the use and the benefits the project will have for citizens. Activities must be strategically planned, with clear objectives, start at the outset and continue through the lifetime of the project. The description of the communication activities needs to state the main messages as well as the tools and channels that will be used to reach out to each of the chosen target groups.*

⚠ *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, e.g. standardisation activities. Your plan should give due consideration to the possible follow-up of your project, once it is finished. In the justification, explain why each measure chosen is best suited to reach the target group addressed. Where relevant, and for innovation actions, in particular, describe the measures for a plausible path to commercialise the innovations.*

⚠ *If exploitation is expected primarily in non-associated third countries, justify by explaining how that exploitation is still in the Union's interest.*

⚠ *Describe possible feedback to policy measures generated by the project that will contribute to designing, monitoring, reviewing and rectifying (if necessary) existing policy and programmatic measures or shaping and supporting the implementation of new policy initiatives and decisions.*

- Outline your strategy for the management of intellectual property, foreseen protection measures, such as patents, design rights, copyright, trade secrets, etc., and how these would be used to support exploitation.

  ⚠ *If your project is selected, you will need an appropriate consortium agreement to manage (amongst other things) the ownership and access to key knowledge (IPR, research data etc.). Where relevant, these will allow you, collectively and individually, to pursue market opportunities arising from the project.*

  ⚠ *If your project is selected, you must indicate the owner(s) of the results (results ownership list) in the final periodic report.*

2.2 Measures to maximize impact

Take into account the capacity and role of each consortium member,
and the extent to which the consortium as a whole brings together the necessary expertise

Your D&E strategy must:

Plan measures both during and after the project

- proportionate to the scale of the project
- containing concrete actions (i.e. stakeholders management, business and market actions, standardisation, spin-off, etc.)
- with a draft timeline of when they will reach their own outcomes/impact

Define target group *(e.g. scientific community, end users, financial actors, public at large)*

- Which channels to interact with them?
- What is the function of the proposed target group? How do they contribute to the maximisation of impact?

Outline a comprehensive and feasible strategy for the **management of IP**

Step-by-step D&E

1. Identify the problem/need to address
2. Check out what is the current offer
3. Reflect on what is the added value of your research/technology/methodology
4. Identify the Key Results
5. Explain the outcome
6. Identify the target group
7. Describe the dissemination measures and channels to reach out the audience
8. Describe some exploitation measures
9. Explain how the results can feed to policy making and contribute to the EU priorities. Link the proposal to the policy context
10. Involve potential users and stakeholders in your proposal
11. Explain how you expect the results to be exploited or further developed
12. Identify the barriers to exploitation and explain how you will tackle them. You may involve in your project experts in economics, business, marketing and public administration that could help to overcome barriers.
13. Implement open science practices

Think ahead and enhance your credibility

R&I complete? → further steps are needed!

Follow-up plan to foster exploitation/uptake of the results

- Define who **owns the results**, usually the natural or legal entity that has generated the results, anticipate the "Results Ownership List" at final periodic reporting stage.
- Prepare a comprehensive and feasible **strategy** for the **management of intellectual property** (appropriate with the desired outcomes and impacts)
- Include **policy feedback measures** to integrate your results into policy for a **wider impact -** contribute to policy shaping and support the implementation of new policy initiatives and decisions
- Consider other schemes and benefit from available **platforms and support** (EIC, InnovFin, Invest EU, EEN, European IPR Helpdesk) financing the testing, prototyping, scaling up or production
- Agree on **standards** regarding the technical requirements
- Promote acceptance by **consumers or other partners** in a value chain

Your Communication strategy

- Plan measures adequate to **promote the project** and its findings **throughout the full lifespan** of the project
- **Identify clear objectives and strategies**
- Define clearly the **main message, tool(s) and channel(s)** that will be used to reach out to target groups
- **Promote** your project and its results **beyond the projects own community**
- **Communicate** your research in a way that is **understood by non-specialist**, e.g. the media and the public
- **Inform** EC in advance of communication activities expected to have a **major media impact**
- **Try to reach mass media (local, national, international press, radio and television)**
- **Engage on social media platform and multipliers (ie. other EU-funded projects, events, media portals, interviews, podcasts)**

2.3 Summary: The impact canvas new

KEY ELEMENT OF THE IMPACT SECTION

SPECIFIC NEEDS	EXPECTED RESULTS	D & E & C MEASURES	TARGET GROUPS	OUTCOMES	IMPACTS
What are the specific needs that triggered this project? Example 1 Most airports use process flow-oriented models based on static mathematical values limiting the optimal management of passenger flow and hampering the accurate use of the available resources to the actual demand of passengers. Example 2 Electronic components need to get smaller and lighter to match the expectations of the end-users. At the same time there is a problem of sourcing of raw materials that has an environmental impact.	What do you expect to generate by the end of the project? Example 1 **Successful large-scale demonstrator:** **Successful large-scale demonstrator:** Trial with 3 airports of an advanced forecasting system for proactive airport passenger flow management. **Algorithmic model:** Novel algorithmic model for proactive airport passenger flow management. Example 2 Publication of a **scientific discovery on transparent electronics.** **New product:** More sustainable electronic circuits. **Three PhD students trained.**	What dissemination, exploitation and communication measures will you apply to the results? Example 1 **Exploitation:** Patenting the algorithmic model. **Dissemination towards the scientific community and airports:** Scientific publication with the results of the large-scale demonstration. **Communication towards citizens:** An event in a shopping mall to show how the outcomes of the action are relevant to our everyday lives. Example 2 **Exploitation of the new product:** Patenting the new product; Licencing to major electronic companies. **Dissemination towards the scientific community and industry:** Participating at conferences; Developing a platform of material compositions for industry; Participation at EC project portfolio a disseminate the results as part of a grou vis companies	*Who will use or further up-take the results of the project? Who will benefit from the results of the project?* Example 1 **9 European airports:** Schiphol, Brussels airport, etc. **The European Union aviation safety agency.** **Air passengers (indirect).** Example 2 **End-users:** consumers of electronic devices. **Major electronic companies:** Samsung, Apple, etc. **Scientific commu**	*What change do you expect to see after successful dissemination and exploitation of project results to the target group(s)?* Example 1 **Up-take by airports:** 9 European airports adopt the advanced forecasting system demonstrated during the project. Example 2 **High use of the scientific discovery published** (measured with the relative rate of citation index of project publications). A **major electronic company** (Samsung or Apple) **exploits/uses the new product** in their manufacturing.	*What are the expected wider scientific, economic and societal effects of the project contributing to the expected impacts outlined in the respective destination in the work programme?* Example 1 **Scientific:** New breakthrough scientific discovery on passenger forecast modelling. **Economic:** Increased airport efficiency Size: 15% increase of maximum passenger capacity in European airports, leading to a 28% reduction in infrastructure expansion costs. Example 2 **Scientific:** New breakthrough scientific discovery on transparent electronics.

1. **What are the specific needs that triggered this project?**
2. **What do you expect to generate by the end of the project?**
3. **What dissemination, exploitation and communication measures will you apply to the results?**
4. **Who will use or further up-take the results of the project? Who will benefit from the results of the project?**
5. **What change do you expect to see after successful dissemination and exploitation of project results to the target group(s)?**
6. **What are the expected wider *scientific, economic* and *societal* effects of the project contributing to the expected impacts outlined in the respective destination in the work programme?**

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EC support

Innovation Radar

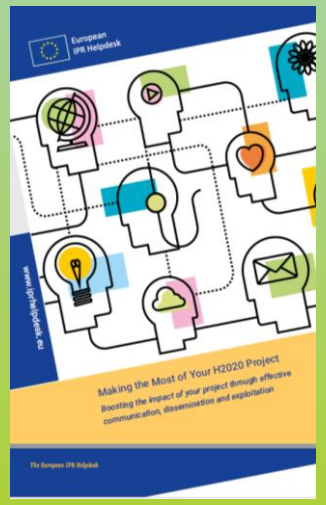
HORIZON RESULTS BOOSTER

HORIZON DASHBOARD
Take data on board

Tracking of Research Results

HRP TV
Horizon Results Platform

BOOSTER



CORDIS
EU research results

HORIZON RESULTS PLATFORM
MAKING RESULTS MATTER

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Thank you for your attention

and happy to answer your questions!

HorizonEU

http://ec.europa.eu/horizon-europe