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Fact Sheet
The Plan for the Exploitation and Dissemination of Results in Horizon 2020

July 2015

Introduction

Horizon 2020 is a Research and Innovation programme aiming at fostering competitiveness and growth and increasing benefits to the European Union economy and citizens. Under different funding schemes the framework programme supports research and development activities resulting in new knowledge, new products and services, and also in non-technological and social innovation. It is essential that the public investment in these activities is converted into socio-economic benefits for the society. This idea is reflected in the Horizon 2020 Rules for Participation[1] with a clear accent to the beneficiaries' obligations to exploit and disseminate the outcomes of the funded activities.

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[1] See Article 43 of the Horizon 2020 Rules for Participation available at:
http://ec.europa.eu/research/participants/data/ref/h2020/legal_basis/rules_participation/h2020-rules-participation_en.pdf

Indeed, exploitation and dissemination[2] are integral part of the European research and innovation funding and certain obligations in this regard arise at the project proposal stage. The Horizon 2020 work programme 2014-2015[3] explicitly specifies that project proposals shall include a draft Plan for the Exploitation and Dissemination of Results. Under Horizon 2020, an exploitation and dissemination plan needs to incorporate detailed exploitation and dissemination strategies, clearly defining how research results will be implemented and how they will impact on the market, on future developments and policy making.

The aim of this fact sheet is to outline the main characteristics and scope of the Plan for the Exploitation and Dissemination of Results (PEDR) in Horizon 2020. Practical hints and best practices will be provided whenever possible, but keep in mind that there are no two similar PEDRs and each PEDR must be tailored to the topic conditions of the specific Horizon 2020 call for proposals and, furthermore, it must reflect the exploitation and dissemination activities that will be undertaken during the implementation of the particular project.

Note that this fact sheet should not be read alone, especially if you are not familiar with the rules governing Horizon 2020 projects. In fact, in order to fully understand the content of this publication it is strongly advisable to read the Horizon 2020 annotated model grant agreement[4], along with the project proposal template available under your call for proposals and our fact sheets on IP management during the Horizon 2020 project life cycle[5].

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[2] The terms "exploitation", "dissemination" are defined under the Horizon 2020 Rules for Participation as follows:
- exploitation – "means 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";
- dissemination - "means the public disclosure of the results by any appropriate means (other than resulting from protecting or exploiting the results), including by scientific publications in any medium";
[3] http://ec.europa.eu/research/participants/data/ref/h2020/wp/2014_2015/annexes/h2020-wp1415-annex-ga_en.pdf
[4] The Horizon 2020 annotated model grant agreement is available at: http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf
[5] See the European IPR Helpdesk library: http://www.iprhelpdesk.eu/library

1.   The Plan for the Exploitation and Dissemination of Results in Horizon 2020
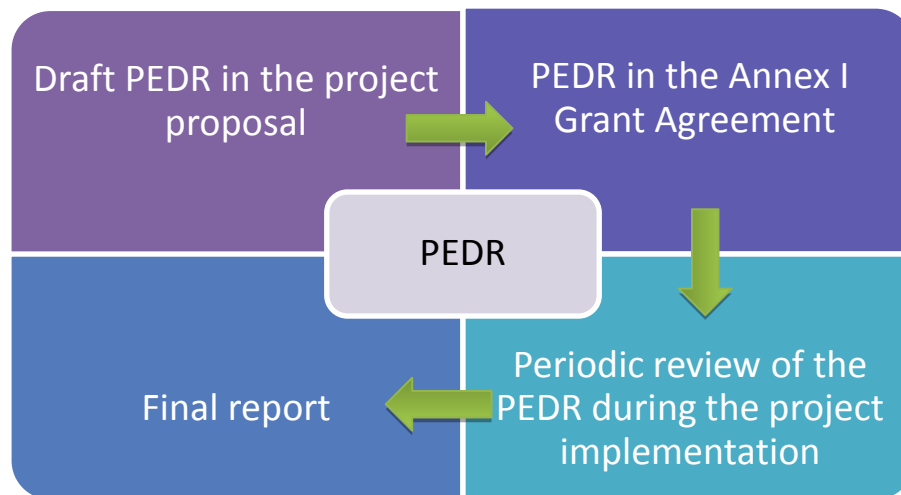
1.1   Characteristics and purpose

According to the Horizon 2020 Rules for Participation and work programme 2014-2015, a plan for the exploitation and dissemination of results is necessary and the obligation to submit such plan arises at the project proposal stage. An exception to this rule could be explicitly established under the conditions of some of the Horizon 2020 calls. For example, a draft PEDR is not required for project proposals at the first stage of two-stage funding actions (e.g. the SME Instrument). However, the principle in Horizon 2020 is that PEDR is required from the proposal stage and this is reflected in the content of the template project proposals for the different Horizon 2020 funding schemes, published on the Participant Portal[6].

The PEDR is a strategic document for the beneficiaries helping them to establish the bases for their intellectual property strategy, dissemination and exploitation activities.

By definition, the Plan for the Exploitation and Dissemination of Results is a document which summarises the beneficiaries' strategy and concrete actions related to the protection, dissemination and exploitation of the project results. The PEDR follows the evolution of the project from the proposal until the submission of the final project report. Thus, a preliminary or draft plan for the exploitation and dissemination of results is part of the project proposal itself. If funding is granted, this part of the project proposal is included into Annex 1 to the grant agreement (Description of the Action) signed between the beneficiaries and the European Commission. In practice, the PEDR will need to be updated during the implementation of the project and beneficiaries are required to report periodically to the European Commission the concrete dissemination and exploitation activities carried out. These activities should be consistent with the PEDR and proportionate to the impact expected from the action. At the end of the project the final report should include the final version of the Plan for the Exploitation and Dissemination of the Results that will allow the European Commission to assess the impact of the project.

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[6] The Horizon 2020 project proposals templates are available at:
http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html

2.   Content of the Plan for the Exploitation and Dissemination of Results

In general terms the content of the PEDR is determined by the type of the Horizon 2020 action and by the objectives of the concrete project. Though, the PEDR should be flexible enough, ensuring that the project follows the needs and the expectations of the beneficiaries during its implementation.

Indeed, beneficiaries in Horizon 2020 projects should remember that a good PEDR contains a clear vision on the objectives of the project and a well-planned strategy for protection, exploitation and dissemination of results. Ensuring this requires the involvement of all project participants at the earlier stage of development of the draft PEDR and proper exploitation, dissemination and IPR management during the project implementation.

2.1 Draft plan for the Exploitation and Dissemination of the project results

Unless otherwise provided in the call for proposals conditions, the draft PEDR is a compulsory part of the project proposal and thus its submission is considered part of the admissibility criteria. The draft plan is part of the Technical Annex, called Research Proposal (Part B) and in terms of acceptability its content is limited in a number of pages, which varies depending on the call for proposals template.

Indeed, although no specific EU guidelines exist, when preparing their draft PEDR, applicants in Horizon 2020 are strongly encouraged to follow the structure and the explanations in the project proposal template applicable for their specific call under the relevant work programme.

The proposal templates provide guidance on the minimum information required as to the exploitation and dissemination measures and the strategy for knowledge management and protection of results to be covered by the PEDR.

2.1.1. Exploitation and dissemination measures

Project proposals evaluation in Horizon 2020, is based on three criteria - excellence, impact, quality and efficiency of their implementation.

The draft plan for the exploitation and dissemination of the project results is required and assessed under the Impact section of the project proposal.

Under this section the applicants in Horizon 2020 projects are expected to explain the concept and goals they intend to achieve within the project, in close correlation with the topics and goals addressed by the specific call and work programme. This section will be assessed in particular in terms of effectiveness of the proposed measures to build a sound intellectual property management and results' exploitation strategy.

It is very important to show in your draft PEDR that you have thought about concrete measures to enhance the innovation capacity and integration of new knowledge and that in general your project has an innovation potential.

Including a business plan as part of the project proposal in some projects allows participants to better outline increased economic impact of the project activities.

A comprehensive PEDR shows the link between the proposed dissemination and exploitation measures and the expected impact of the project. For this reason, the draft plan should be proportionate to the scale of the project and should contain **exploitation and dissemination measures** to be implemented both during and after the project.

Exploitation and dissemination measures should address potential end-users and uses of the results that will be generated. Such measures could include for example research activities, commercial exploitation activities, standardisation, skills and educational training, and policy making.

2.1.2. Strategy for knowledge management, protection, exploitation and dissemination of results

The draft plan for the exploitation and dissemination of results must define **clear objectives** adapted to the relevant target users and set up a concrete **protection, exploitation and dissemination strategy**.

This strategy should give an orientation as to the organisation of the planned project activities and therefore should address as a minimum the following questions:

- What kind of **needs** does the project respond to?
- What kind of **problem** the proposed solution will solve and why this solution will be better than existing ones and in which areas?
- What **new knowledge** (results) the project will generate (assessment of the state of the art)?
- **Who** will use these results?
- What **benefits** will be delivered and how much benefit?
- **How** will end users be **informed** about the generated results?

At the proposal stage applicants are not expected to describe in detail the planned exploitation and dissemination activities. However, they need to provide relevant information covering key elements of their exploitation and dissemination strategy. Such key elements will depend on the type of action and the call conditions, but some of the aspects that applicants could analyse and include are:

- potential geographical coverage and economic size of the target markets where project results will be exploited and disseminated;
- potential users, main competitors and competitive advantages;
- analyses on the state of the art, which will allow applicants to describe the planned developments and differences from existing competing products and services;
- analyses on the intellectual property that is needed and will be brought to the project, including for example information on knowledge and inventions; these analyses could also cover freedom to operate searches;
- facts and figures on the planned exploitable results and their areas of application and intellectual property protection that will allow the evaluation of their potential impact;

> In terms of protection of results, the PEDR is not limited only to industrial and intellectual property rights (e.g. patents, trade marks, design rights, copyright). Indeed,

results generated under the project could be any tangible or intangible output, more particularly data, knowledge or information whatever its form or nature, whether it can be protected or not. Also business information or valuable know-how can be protected via contractual mechanisms, like non-disclosure agreements or as trade secret. Therefore, if relevant, applicants could also mention such mechanisms as a possible form of protection[7].

Furthermore, the intellectual property issues and the questions on the ownership of results in Horizon 2020 projects should be addressed in detail separately, for example within the Consortium Agreement (in Horizon 2020 multi-beneficiary projects).

- description of the exploitation roadmap and business model

Depending on the type of project and the planned activities, applicants could address issues such as proof of concept, prototyping, demonstration of cost effectiveness, standardisation issues, potential regulatory, health or safety barriers and how to overcome them.

- description and timeline of the planned dissemination activities (e.g. scientific publications, organisation of conferences, creation of a website), including Open Access to scientific publications resulting from Horizon 2020 actions.
Open Access to scientific publications is a general obligation in Horizon 2020 and proposals must refer to measures envisaged[8].

Where relevant, the draft PEDR should also provide information on management of the research data generated and/or collected during the project, such as details on what types of data the project will generate, whether and how this data will be exploited or made accessible for verification and re-use.

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[7] You can read more about possible forms of IP protection of results in our fact sheet "How to manage IP in Horizon 2020: project implementation and conclusion": http://www.iprhelpdesk.eu/FS_IP_Management_H2020_implementation

[8] The Horizon 2020 Guidelines on Open Access to scientific publications and research data are available at: http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-pilot-guide_en.pdf
You can also consult our fact sheet on Open Access to scientific publications and research data in Horizon 2020 available at: http://www.iprhelpdesk.eu/FS_Open_Access_to_publications_and_data_in_H2020-FAQs

- description of the planned management structures and procedures, including governance, policies, systems, structures, operational processes and risk management – who will be involved in the exploitation and dissemination activities and how they will be managed.

Participants in Horizon 2020 projects should keep in mind that PEDR must clearly identify the project objectives and in particular how they plan to achieve the best benefits from the project outcomes. This signifies that the draft PEDR should include sound analysis and sufficient quantitative and qualitative indicators as to the planned strategies for exploitation and dissemination of results, which indeed need to be realistic and achievable.

2.1.3. The PEDR under different Horizon 2020 funding schemes

As a general principle, each PEDR must be tailored to the particular Horizon 2020 funding scheme and the topic conditions under the specific call for proposals. Thus in all Horizon 2020 actions the planned exploitation and dissemination activities should demonstrate and justify the **expected impact** of the project as outlined in the work programme under the relevant topic. In this relation, the draft PEDR will be evaluated in terms of the effectiveness of the proposed measures for exploitation and dissemination of results, including management of intellectual property.

In this regard the PEDR for **Research and Innovation, Innovation and SME Actions** should demonstrate a high level of innovation, and focus on the business opportunity and concept for commercialisation, such as development of new innovative products and services, compared to competing solutions.

In **Coordination and Support Actions**, the approach to innovation should be tailored to the specific technical, market and organisational issues to be addressed in relation to the project objectives and thus make evident the enhanced coordination and communication activities in the relevant area.

In **Marie Skłodowska-Curie Actions (MSCA)**, applicants should demonstrate the impact upon the researcher's training and upon the scientific community, through the exploitation, dissemination and communication of results. The concrete plans should correspond to the purposes and nature of the concrete Marie Skłodowska-Curie Action and should demonstrate not only the credibility of the project idea but also that the project's results are likely to improve the creative and innovative potential of the researchers to enhance their career and to advance research based on opportunities of acquisition and transfer of new knowledge.

In MSCA Individual, European, Global Fellowships (IF-EF-GF) and MSCA Innovative Training Networks (INT), the PEDR is implemented within the so-

called Gantt Chart under the corresponding work packages and tables dealing with exploitation and dissemination of results and intellectual property.

2.2 The PEDR and the periodic and the final technical reports

The PEDR is not a document with a fixed content. Indeed it evolves and becomes more precise and substantial during the lifespan of the project, reflecting the steps undertaken to protect, exploit and disseminate the generated results.

In this relation, participants in Horizon 2020 projects are required to include an updated or confirmed Plan for the Exploitation and Dissemination of Results in both **the periodic and final reports**[9], explaining how achieved results are exploited and disseminated. The obligation to submit periodic and final version of the PEDR will not apply to Horizon 2020 actions where a draft plan for the exploitation and dissemination of results was not required.

Even when a PEDR is not required, each periodic and final report contains record of activities related to dissemination and exploitation that have been undertaken and those still planned.

Indeed, the periodic technical report is an overview of the work being implemented and indeed should describe how achieved results are exploited and disseminated. Likewise, the final technical report is a summary of the developed results, their exploitation and dissemination, the action's conclusions and its socio-economic impact.

Checklist

✓ *A draft PEDR is a compulsory part of the project proposal and its submission is considered part of the admissibility criteria, unless otherwise stated in the call for proposals.*

✓ *Keep the PEDR flexible enough and in line with the objectives of the project during its implementation.*

✓ *Create a realistic and achievable PEDR*

✓ *Define clear objectives and well-planned protection, exploitation and dissemination strategies.*

✓ *Include sufficient quantitative and qualitative indicators as to the planned activities for protection, exploitation and dissemination of results.*

✓ *Show the link between the proposed dissemination and exploitation measures and the expected impact of the project.*

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[9] At the time of development of this fact sheet, no official guidelines on project reporting in Horizon 2020 have been released.

Useful Resources

For further information on the topic please also see:

- Horizon 2020 standard project proposal templates for:

    ➢ Research and Innovation actions:
      http://ec.europa.eu/research/participants/data/ref/h2020/call_ptef/
      pt/h2020-call-pt-ria-ia_en.pdf

    ➢ Coordination and Support actions:
      http://ec.europa.eu/research/participants/data/ref/h2020/call_ptef/
      pt/h2020-call-pt-ria-ia-csa_en.pdf

    ➢ Actions funded under the SME Instrument:
      http://ec.europa.eu/research/participants/data/ref/h2020/call_ptef/
      pt/h2020-call-pt-sme-2_en.pdf

- Horizon 2020 MSCAs standard template proposals for:

    ➢ IF-EF: Individual Fellowships - European Fellowships
      http://ec.europa.eu/research/participants/data/ref/h2020/call_ptef/
      pt/h2020-call-pt-msca-if_en.pdf

    ➢ IF-GF: Individual Fellowships - Global Fellowships
      http://ec.europa.eu/research/participants/data/ref/h2020/call_ptef/
      pt/h2020-call-pt-msca-if-gf_en.pdf

    ➢ Innovative Training Networks (INT/EID/EJD):
      http://ec.europa.eu/research/participants/data/ref/h2020/call_ptef/
      pt/h2020-call-pt-msca-itn-2015_en.pdf

    ➢ Research and Innovation Staff Exchange (RISE):
      http://ec.europa.eu/research/participants/data/ref/h2020/call_ptef/
      pt/h2020-call-pt-msca-rise-2015_en.pdf

- Fact sheet on "IP Management in Horizon 2020: project proposal":
  http://www.iprhelpdesk.eu/Fact-Sheet-IP-Management-H2020-Proposal-
  Stage
- Fact sheet on "How to manage IP in Horizon 2020: grant preparation
  stage": http://www.iprhelpdesk.eu/Fact-Sheet-IP-Management-H2020-
  Grant-Preparation-Stage
- Fact sheet on "How to manage IP in Horizon 2020: project implementation
  and conclusion": http://www.iprhelpdesk.eu/Fact-Sheet-IP-Management-
  H2020-Project-Implementation-and-Conclusion

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The European IPR Helpdesk aims at raising awareness of Intellectual Property (IP) and Intellectual Property Rights (IPR) by providing information, direct advice and training on IP and IPR matters to current and potential participants of EU funded projects. In addition, the European IPR Helpdesk provides IP support to EU SMEs negotiating or concluding transnational partnership agreements, especially through the Enterprise Europe Network. All services provided are free of charge.

Helpline: The Helpline service answers your IP queries within three working days. Please contact us via registration on our website – www.iprhelpdesk.eu – phone or fax.

Website: On our website you can find extensive information and helpful documents on different aspects of IPR and IP management, especially with regard to specific IP questions in the context of EU funded programmes.

Newsletter and Bulletin: Keep track of the latest news on IP and read expert articles and case studies by subscribing to our email newsletter and Bulletin.

Training: We have designed a training catalogue consisting of nine different modules. If you are interested in planning a session with us, simply send us an email at training@iprhelpdesk.eu.

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