



This project is co-financed by the
European Union and the Republic of Turkey

Bu proje Avrupa Birliđi ve Türkiye Cumhuriyeti tarafından
finanse edilmektedir



Technical Assistance for Turkey in Horizon 2020 Phase-II
EuropeAid/139098/IH/SER/TR

Turkey in Horizon 2020 II

General & Introductory Training on Dissemination & Exploitation

Exploitation in HORIZON Europe

Vasilis Papanikolaou
AUSTRALO



REPUBLIC OF TURKEY
MINISTRY OF INDUSTRY
AND TECHNOLOGY



COMPETITIVE
SECTORS
PROGRAMME



TÜBİTAK

Exploitation: a reminder



Exploitation

Objective: Effectively use results through appropriate exploitation routes

Focus: Make concrete use of results (not limited to commercial use!)

Target Audience: People/organisations – inside and outside the project - that make concrete use of the results

Exploitation: a reminder

Article 39 – Exploitation and Dissemination

- *“Each beneficiary that has received Union funding shall use its best efforts to exploit the results it owns, or to have them exploited by another legal entity. Exploitation may be direct by the beneficiaries or indirect in particular through the transfer and licensing of results in accordance with Article 40”*
- *“Beneficiaries shall disseminate their results as soon as it is feasible, in a publicly available format, subject to any restrictions due to the protection of intellectual property, security rules or legitimate interests.”*

Article 51: Information, communication, publicity and dissemination and exploitation

Para 3: The Commission shall also establish a **dissemination and exploitation strategy** for increasing the availability and diffusion of the Programme’s research and innovation R&I results and knowledge to accelerate exploitation towards market uptake and boost the impact of the Programme.

Specific to Horizon Europe

- In Horizon Europe, as in H2020, **the obligation to exploit remains and is a responsibility** of the beneficiaries on a “best efforts” approach
- When **specified in the WP** additional exploitation obligations could be applied
- Horizon Europe **encourages the use of the R&I results through third party exploitation** (where appropriate)
- If despite the best effort for exploitation **no uptake happens within a specific period after the end of the project** (1 year), then the project **must use the Horizon Results Platform** to make exploitable results visible (unless obligation is waived)
- The Horizon Results Platform is free, is part of the F&T portal, available to all beneficiaries and is based on results, not on projects.

Results: Example & Definition

Research Communities

MS, EU Policymakers

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 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



Industry, Innovators

Civic Society, Citizens

Exploitation Routes

Exploitable
Result

Commercial

Implies the paid provision of the project results to the end users, complying with a licensing scheme which will be defined in the business plan.

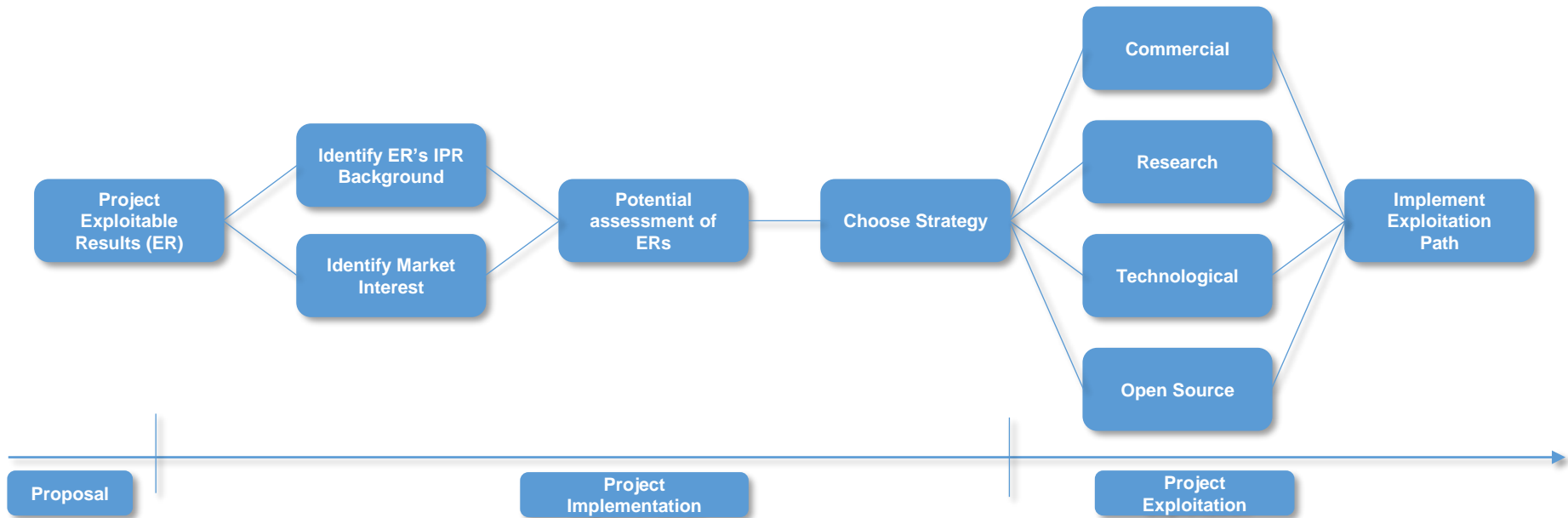
Research

Implies the reutilisation of the research know-how acquired in future research activities.

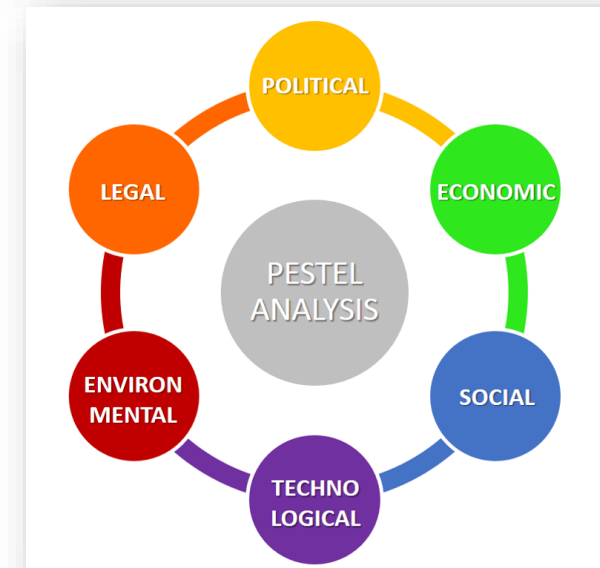
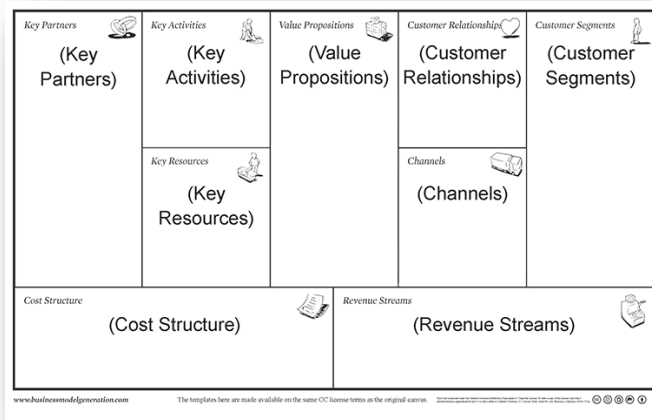
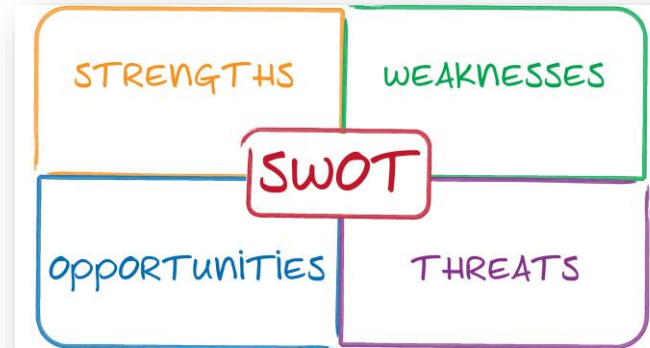
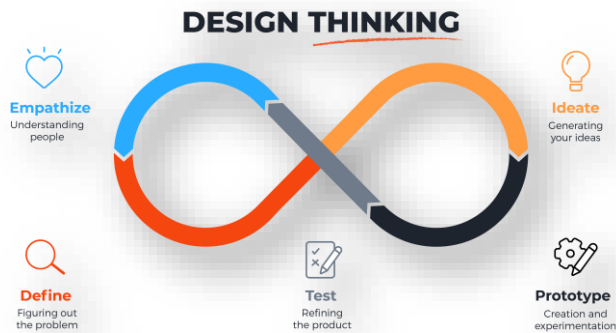
Technological

Implies the reutilisation of the technological know-how acquired for the development of innovative products and the provision of advanced services built on top of them.

Exploitation Strategy Pathway



Exploitation Tools (examples)



IPR in Horizon Europe

Background Knowledge

- The beneficiaries must identify and agree on what constitutes **background for their action** (in order to be able to give access to it).
- The beneficiaries must identify and agree (in writing) on the background for the action (**‘agreement on background’**).
- Background is not limited to input owned, but potentially extends to anything the beneficiaries lawfully hold (*e.g. through a licence with the right to sub-licence*). It also extends to input held by other parts of the beneficiary’s organization.
- If access to background is subject to **legal restrictions** or limits, the beneficiary must inform the other beneficiaries — before signing the GA
- If a beneficiary breaches any of its obligations under this Article, the grant may be reduced.

IPR in Horizon Europe

Results & Foreground Knowledge

- **Results belong** normally to the beneficiary that produced them.
- If beneficiaries have **jointly generated results** and it is not possible to establish **their respective contribution** (or to separate them for protection), the beneficiaries automatically become joint owners. In this case, the beneficiaries concerned must conclude a **joint ownership agreement** (in writing).
- The joint owners automatically have the right under the GA to grant non-exclusive **licenses** to third parties against fair and reasonable compensation (without prior authorisation from the other joint owners) — unless otherwise provided in the joint ownership agreement.

IPR in Horizon Europe

Results ownership list (ROL)

What?: A form allowing project partners to inform the Commission about the ownership, the name of the owner(s), the country of establishment of the owner(s) and whether the results will be exploited by the owner(s).

Why?: Clarification of the ownership of results to help, promote, speed up and simplify the exploitation

In case of Public Emergencies:

- The European Commission has the right to request the disclosure of IP (under non-exclusive license) to other beneficiaries, that need your results in order to address public emergencies.
- Maximum duration: up to four years after the end your project

Open Science

Peer Reviewed Publications

- **Immediate open access** through **trusted repository**(at the latest at the time of publication);
- **Publications** licensed under **CC BY** (or equivalent); **CC BY-NC/ND**(or equivalent) allowed for long-text formats;
- **Information** provided via the repository about any research output, tool, or instrument **needed to validate** the conclusions of a publication;
- Beneficiaries/authors **must retain sufficient IPR** to comply with their OA requirements;
- **Metadata licensed under CC0 or equivalent**, in line with FAIR principles (particularly machine-actionable); **PIDs** (i.e. ORCID) (publication, authors, if possible their organizations and the grant).
- **Only** publication fees (if any) in **full open access venues** for peer-reviewed scientific publications are **eligible for reimbursement**.

Open Science

Research Data Management

- Emphasis shifts **from open research data to RDM**
- **No opting out** of RDM. Projects generating research data **MUST manage their data** responsibly and in line with FAIR principles
- Open access to research data ‘as open as possible as closed as necessary’, i.e. there can be **exceptions to open access to research data.**
- Establish and regularly update a **Data Management Plan (its obligatory)**
- **Deposit data in a trusted repository** and provide **open access** through it.
- **Exceptions to open access** (duly justified in the DMP; legitimate interests or constraints)
- **Costs for RDM**(for example data storage) are eligible.


In case of Public Emergencies:


- Requirement for **immediate open access with a CC BY or CC0** or equivalent licence to any research output

In a Proposal

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

 *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.*

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.

In a Proposal



Reporting

Results Table

Project pathway to impact: Results table with drop down menu

Table 3.1 Results										
Name	Result type	Key results (KER) Does this result have a high potential?	Description of high potential [*]	Expected time to impact [*] When do you expect the result to be exploited or used?	Audience or target group [*]	Webpage of the result [*]	Horizon Results platform [*] Do you intend to publish this result on the Horizon Results Platform?	Steps undertaken towards exploitation ^{**}	Market maturity ^{**} The state of the market targeted by this result	Indicate if you have used any support service from the European Commission ^{**}
<i>[Free text]</i>	POL: Policy recommendation, guidance, awareness raising, advocacy	High policy or regulatory potential <i>[Multiple choice]</i>	<i>[Free text] (max. 200 characters)</i>	1 to 2 years	Policy-makers and authorities, national	<i>[URL or N/A]</i>	<i>[Yes/No]</i>	Pilot, demonstration or testing <i>[Multiple choice]</i>	Market creating: not existing but potential for the creation of a new market	Choose an item. <i>[Multiple choice]</i>

SERV, PROC, BUS, DSG, or METH.

**Questions only asked for KER
** Questions only asked for KR + only if 'Result type' is: SCI, PROD,*

Identification of KER, the type of potential, link with other results (publications, datasets, IPR and standards)

Reporting

Results Ownership List

Table 3.2 Results ownership List						
Single or Joint ownership of result Indicate the number of owners	Result owner(s)	Owner country of establishment	Will the owner(s) exploit the result?	If relevant, in which form will the result be made available to other consortium member(s) and/or third party(ies)	Does the exploitation of the results require access to background of one or several consortium members? (*) If yes a compulsory question opens below	Does the exploitation of the results require access to third party IPR? ** If yes a compulsory question opens below
[1,2,...]	<p>[Entity or Individual]</p> <p>Entity: Drop down option with project partners + 'Other'. 'Other' opens a field asking for name, address, country, and an identifier such as VAT number.</p> <p>Individual: Drop down option with 'researchers in project (pre-filed)' + 'Other'. 'Other' opens a field asking for name, address, country, and an identifier like ORCID, Researcher Id.</p>	Pre-field for project partners	Yes/No	Choose an item.	Yes/No	Yes/no/not known

Teşekkür ederim!

Thank you!



REPUBLIC OF TURKEY
MINISTRY OF INDUSTRY
AND TECHNOLOGY



COMPETITIVE
AND INNOVATIVE
PROGRAMME



TÜBİTAK