

La valorizzazione dei risultati in Horizon 2020.

Focus / Comunicazione e disseminazione

Chiara Buongiovanni, Communication Officer

10 Ottobre 2019 - Roma

H2020: «impatto»

H2020: impatto e openness

Public engagement per una Responsible Research and Innovation

Scrivere il capitolo 2 della proposta

Impatti attesi

Diversi tipi di impatto

Misure per massimizzare l'impatto: Disseminazione, *Exploitation* e Comunicazione

Differenza tra Disseminazione e Comunicazione

Elementi - Exploitation Plan

Impatto: misure di innovazione in H2020

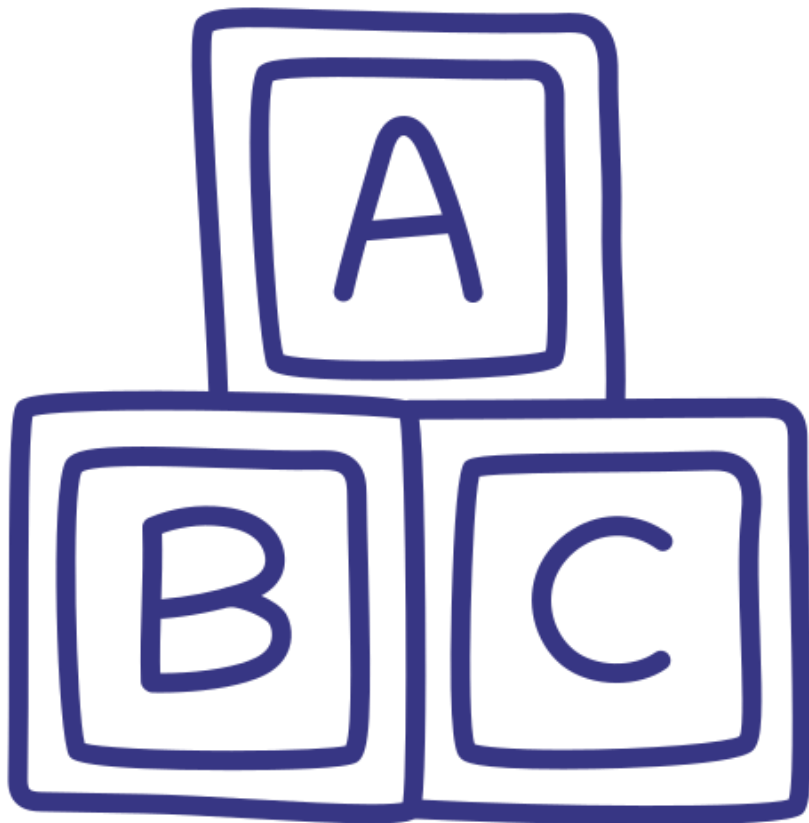
Open Access

Cenni IPR – Intellectual Property Rights (termini e fonti utili)

Focus: Dissemination and Communication Plan

La struttura del Piano

Attività, canali, prodotti



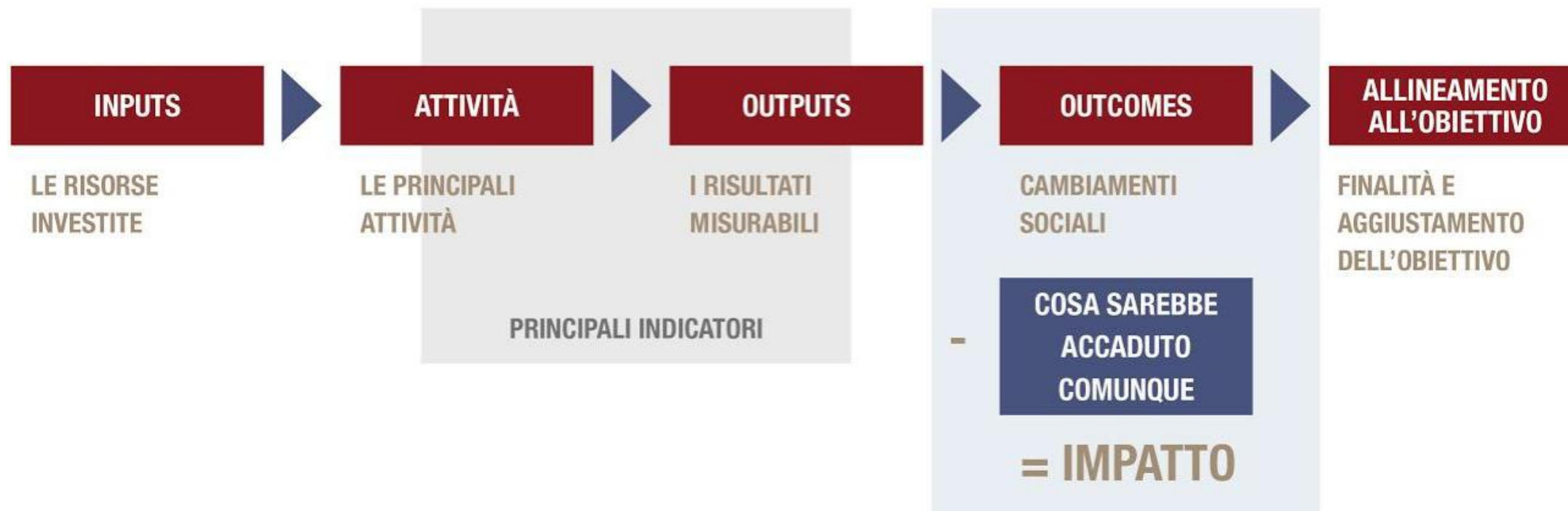
Impact

Impatto

effetti di lungo termine, positivi o negativi, primari o secondari, prodotti **da un intervento** (di sviluppo), diretto o indiretto, voluto o involontario.

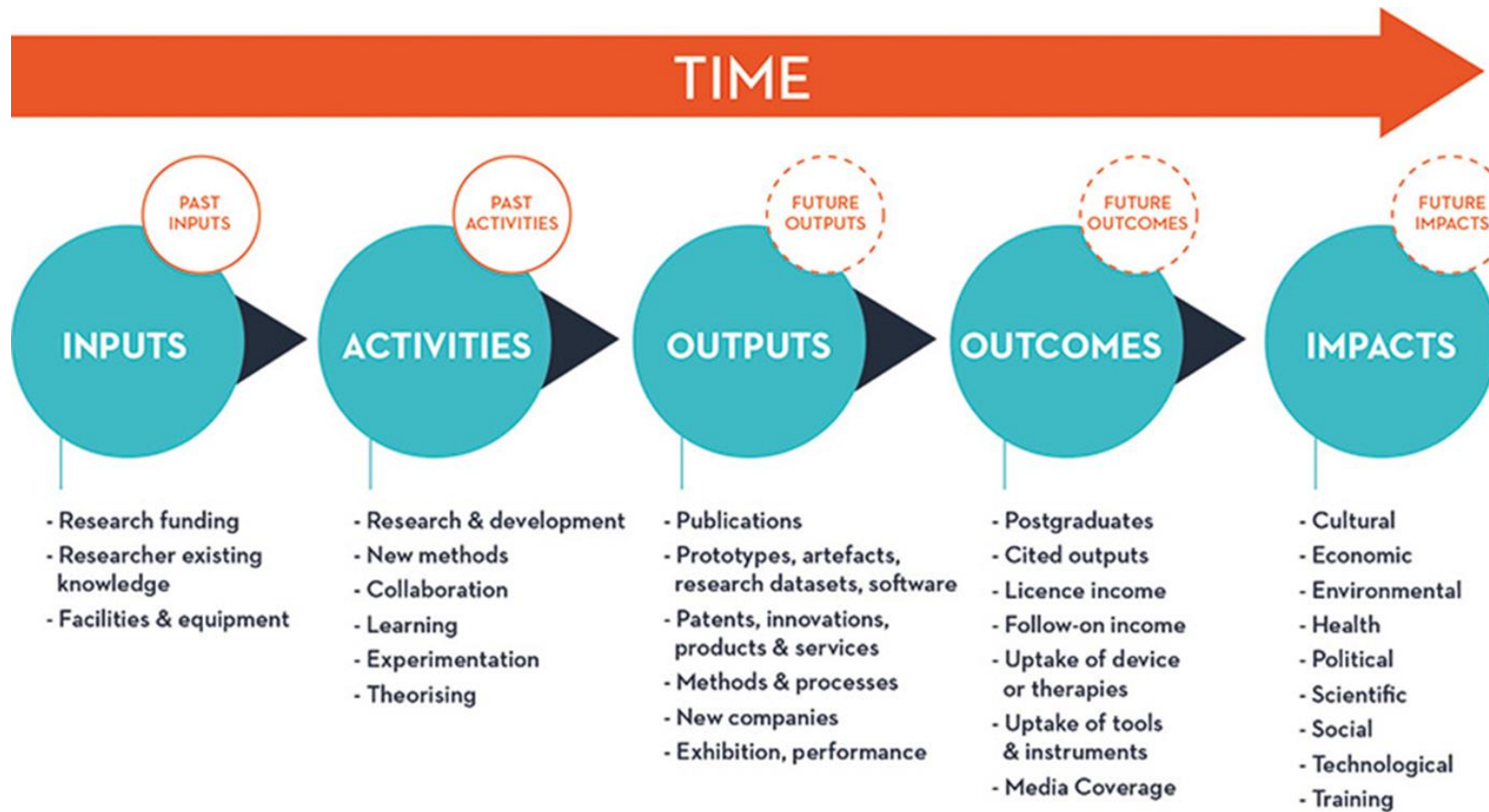
(Glossario Ocse/Dac , 2002)

Impatto



INTRODUZIONE ALLA VALUTAZIONE NELL'AMBITO DELL'INNOVAZIONE SOCIALE
Human Foundation 2018

Impact over time



Impact in context



CULTURAL



Contribution to understanding of ideas and reality, values and beliefs.

ECONOMIC



Contribution to the sale price of products, a firm's costs and revenues (micro level), and economic returns either through economic growth or productivity growth (macro level).

ENVIRONMENTAL



Contribution to the management of the environment, for example, natural resources, environmental pollution, climate and meteorology.

HEALTH



Contribution to public health, life expectancy, prevention of illnesses and quality of life.

POLITICAL



Contribution to how policy makers act and how policies are constructed and to political stability.

SCIENTIFIC



Contribution to the subsequent progress of knowledge, the formation of disciplines, training and capacity building.

SOCIAL



Contribution to community welfare, quality of life, behaviour, practices and activities of people and groups.

TECHNOLOGICAL



Contribution to the creation of product, process and service innovations.

TRAINING



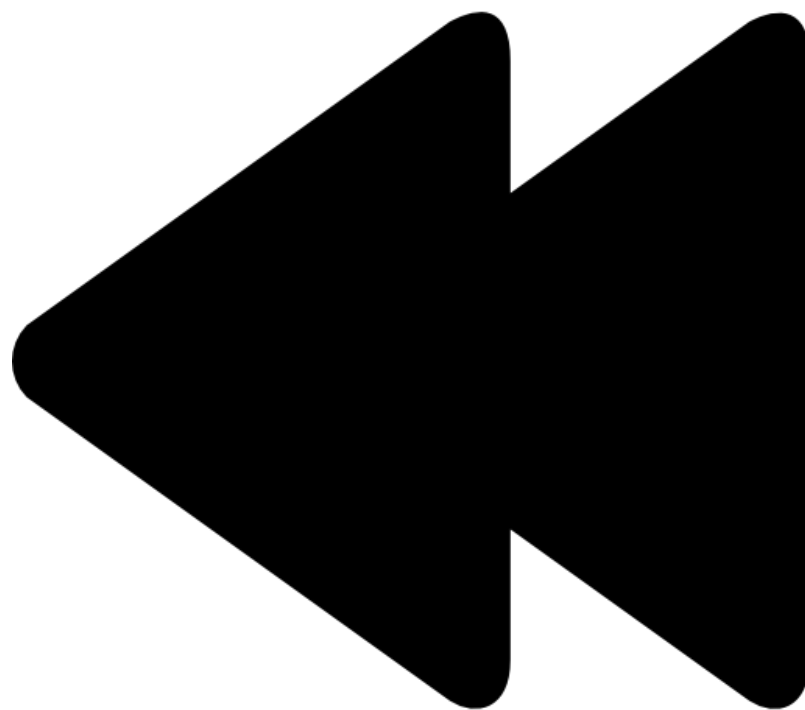
Contribution to curricula, pedagogical tools, qualifications

@University of Helsinki

European Science Foundation Impact Classifications

Impact







Horizon 2020 Establishing a single strategic framework for Research and Innovation

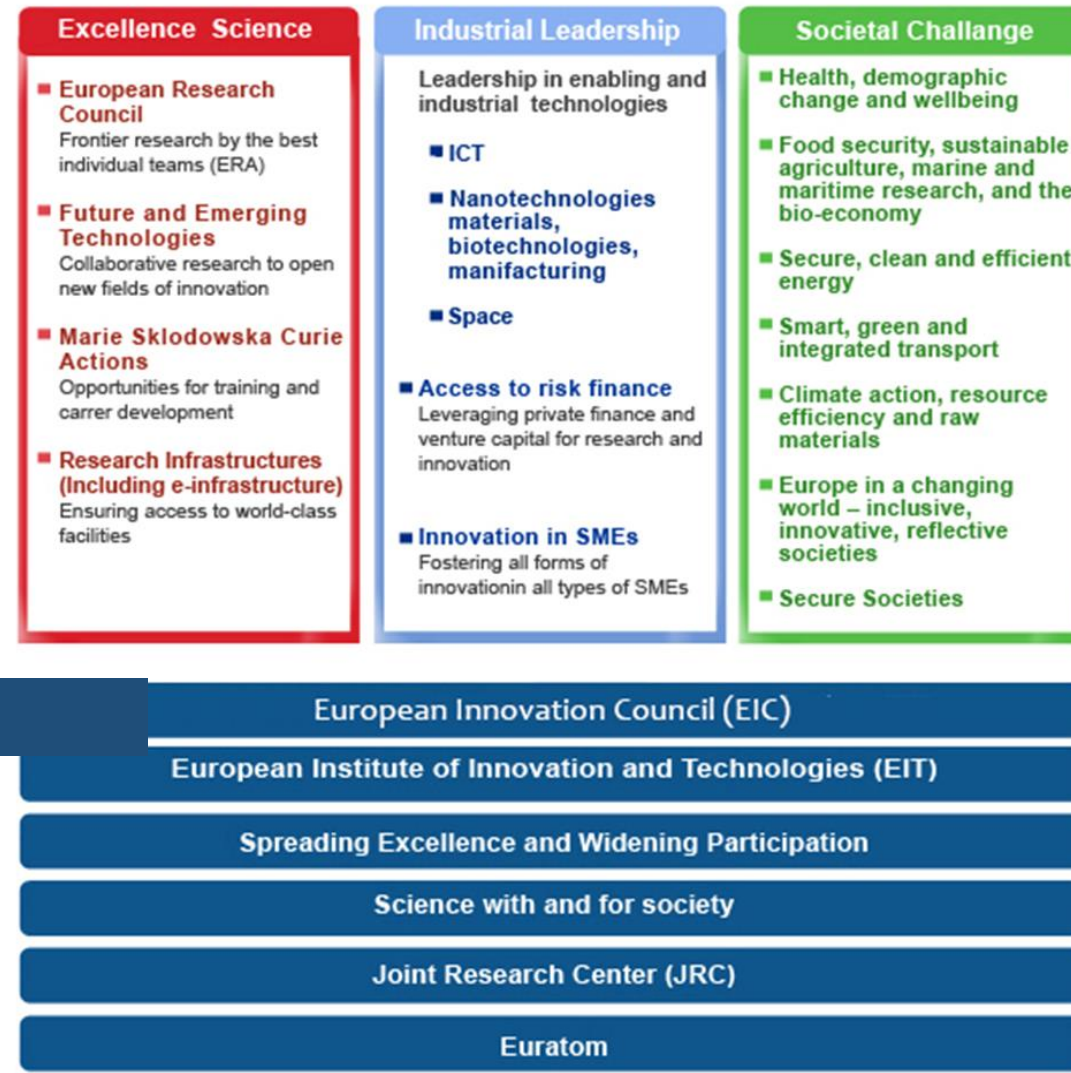


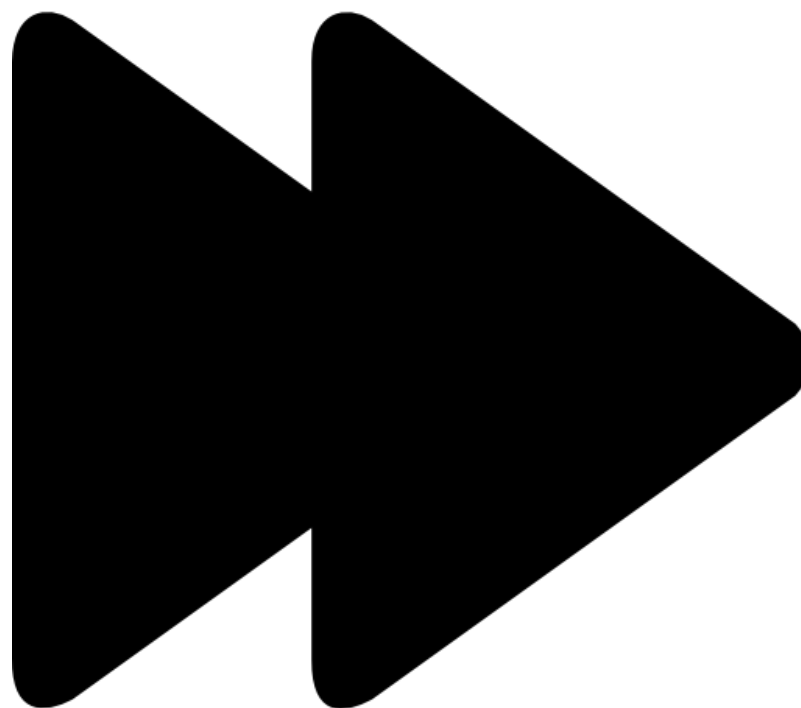
Horizon 2020 is the biggest EU research and innovation programme ever. Almost €80 billion of funding is available over seven years (2014 to 2020) – in addition to the private and national public investment that this money will attract.

Horizon 2020 will help **to achieve smart, sustainable and inclusive economic growth**. **The goal** is to ensure Europe **produces world-class science and technology, removes barriers to innovation** and **makes it easier for the public and private sectors to work together in delivering solutions to big challenges facing our society**.



Excellence in Research shall go hand in hand with **Societal** and **Economic** relevance, in order to tackle **economic crisis** and **societal challenges** and realize **Innovation**.







INTRODUCTION

When I took office as European Commissioner for research, science and innovation, it was important to me to listen to and learn from Europe's research, science and innovation communities. There are many things that Europe does extremely well, such as the European Research Council which, in a few short years, has put in place a unique way of supporting the very best science in Europe. However, it also became apparent to me that the way that science works is fundamentally changing and an equally important transformation is taking place in how companies and societies innovate. Put simply, the advent of digital technologies is making science and innovation more open, collaborative, and global.

These exchanges led me to set three goals for EU research and innovation policy, which I have

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Put simply, the advent of **digital technologies** is making **science and innovation more open, collaborative, and global.**



***“Research is
the transformation of money
into knowledge;
Innovation is the
transformation of
knowledge into money”***

Geoffrey Nicholson



Research is the transformation of money into knowledge

Innovation is the transformation of knowledge into **VALUE**

**Economic, Social,
Environmental Value**

Invention



Innovation

Invention IS NOT Innovation

(© Eugene Sweeney, EC)

Innovation
=
creating **Value**
=
having an **Impact**



- ☐ Public engagement
- ☐ Open access
- ☐ Gender equality
- ☐ Ethics
- ☐ Science education
- ☐ Governance



- ☒ Public engagement
- ☒ Open access
- ☐ Gender equality
- ☐ Ethics
- ☐ Science education
- ☐ Governance



Section 2 –
Impact ☒ ☒

public engagement

‘Choose together’

Public engagement in Responsible Research and Innovation is about **co-creating the future** with citizens and civil society organisations, and also bringing on board the **widest possible diversity** of actors that would not normally interact with each other, **on matters of science and technology**.

Section 1
Excellence

Section 2
IMPACT



open access

‘Share results to advance’

Science has always been open, unlike the processes for producing research and diffusing its results. It is widely agreed that making research results more accessible contributes to improving research and innovation. As new challenges need to be addressed, we move decisively with this fourth dimension from **Open Access** into the broader landscape of **Open Science**.

Section 2
IMPACT





Excellence Science

- **European Research Council**
Frontier research by the best individual teams (ERA)
- **Future and Emerging Technologies**
Collaborative research to open new fields of innovation
- **Marie Skłodowska Curie Actions**
Opportunities for training and career development
- **Research Infrastructures (Including e-infrastructure)**
Ensuring access to world-class facilities

Industrial Leadership

Leadership in enabling and industrial technologies

- **ICT**
- **Nanotechnologies materials, biotechnologies, manufacturing**
- **Space**
- **Access to risk finance**
Leveraging private finance and venture capital for research and innovation
- **Innovation in SMEs**
Fostering all forms of innovation in all types of SMEs

Societal Challenge

- **Health, demographic change and wellbeing**
- **Food security, sustainable agriculture, marine and maritime research, and the bio-economy**
- **Secure, clean and efficient energy**
- **Smart, green and integrated transport**
- **Climate action, resource efficiency and raw materials**
- **Europe in a changing world – inclusive, innovative, reflective societies**
- **Secure Societies**

Nuovo

European Innovation Council (EIC)

European Institute of Innovation and Technologies (EIT)

Spreading Excellence and Widening Participation

Science with and for society

Joint Research Center (JRC)

Euratom

Crosscutting Approach

A normative framework for RRI: the six policy agendas

The European Commission has provided more concrete normative orientations in the form of six policy keys that RRI should further:

Ethics

focuses on (1) research integrity: the prevention of unacceptable research and research practices; and (2) science and society: the ethical acceptability of scientific and technological developments.



Gender Equality

is about promoting gender balanced teams, ensuring gender balance in decision-making bodies, and considering always the gender dimension in R&I to improve the quality and social relevance of the results.



Governance

arrangements that lead to acceptable and desirable futures have to (1) be robust and adaptable to the unpredictable development of R&I (de facto governance); (2) be familiar enough to align with existing practices in R&I; (3) share responsibility and accountability among all actors; and (4) provide governance instruments to actually foster this shared responsibility.



Open Access

addresses issues of accessibility to and ownership of scientific information. Free and earlier access to scientific work might improve the quality of scientific research and facilitate fast innovation, constructive collaborations among peers, and productive dialogue with civil society.

Public Engagement

fosters R&I processes that are collaborative and multi actor: all societal actors work together during the whole process in order to align its outcomes to the values, needs and expectations of society.

Science Education

focuses on (1) enhancing the current education process to better equip citizens with the necessary knowledge and skills so they can participate in R&I debates; and (2) increasing the number of researchers (promote scientific vocations).

RECAP

Excellence in Research shall go hand in hand with Societal and Economic relevance, in order to tackle economic crisis and societal challenges and realize Innovation.



Innovation = creating **Value*** = having an **Impact**

* Value = economic, social, industrial, cultural etc



Responsible Research & Innovation
implemented as a **package** that includes **multi-actor and public engagement** in the entire process of research and innovation



The EU Framework Programme
for Research and Innovation

HORIZON 2020





H2020 Programme
Proposal template 2018-2020
Administrative forms (Part A)
Project proposal (Part B)
Research and Innovation Actions (RIA)
Innovation Actions (IA)

1 February 2018

Disclaimer

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1: Excellence

1.1 Objectives

1.2 Relation to work programme

1.3 Concept and methodology

1.4 Ambition

2. Impact

2.1 Expected impacts

2.2 Measures to maximize impact

a) **Dissemination and exploitation of results**

b) **Communication activities**

3. Implementation

3.1 Work plan – work packages, deliverables

3.2 Management structure, milestones and procedures

3.3 Consortium as a whole

3.4 Resources to be committed

4. Members of the Consortium

4.1 Participants (applicants)

4.2 Third parties involved in the project

5. Ethics and Security

5.1 Ethics

5.2 Security



H2020 Programme

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Capitolo 2 IMPACT

suddiviso in

2.1 Expected impacts

2.2 Measure to maximize Impact



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2. Impact


2.1 Expected impacts


 Please be specific, and provide only information that applies to the proposal and its objectives. Wherever possible, use quantified indicators and targets.

- Describe how your project will contribute to:

 ○ each of the expected impacts mentioned in the work programme, under the relevant topic;

 ○ any substantial impacts not mentioned in the work programme, that would enhance innovation capacity; create new market opportunities, strengthen competitiveness and growth of companies, address issues related to climate change or the environment, or bring other important benefits for society;

 • Describe any barriers/obstacles, and any framework conditions (such as regulation, standards, public acceptance, workforce considerations, financing of follow-up steps, cooperation of other links in the value chain), that may determine whether and to what extent the expected impacts will be achieved. (This should not include any risk factors concerning implementation, as covered in section 3.2.)

 • Describe how the proposal contributes to better alignment of national activities and policies.



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Please be specific, and provide only information that applies to the proposal and its objectives. Wherever possible, use quantified indicators and targets.

- Usa tabelle comparative
- Usa metriche quantitative
- Usa argomentazioni sintetiche e chiare ma non generiche

→ any **substantial impacts not mentioned in the work programme**, that **would enhance innovation capacity**; create new market opportunities, strengthen competitiveness and growth of companies, address issues related to climate change or the environment, or bring other important benefits for society .





any substantial impacts not mentioned in the work programme, that would enhance innovation capacity; create new market opportunities, strengthen competitiveness and growth of companies



• Innovation Capacity (Impact section)

- Capacity of the project results to **stimulate further innovations, and/or increase the amount of benefits** delivered
- Potential **to be used in other areas beyond project objectives?**

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1. Excellence

1.4 Ambition

- Describe the advance your proposal would provide beyond the state-of-the-art, and the extent the proposed work is ambitious.
- Describe the **innovation potential** (e.g. ground-breaking objectives, novel concepts and approaches, new products, services or business and organisational models) **which the proposal represents**. Where relevant, refer to products and services already available on the market. Please refer to the results of any patent search carried out.



Impact is not limited to economic or commercial aspects; it can also be societal, environmental, technical, educational, or scientific.

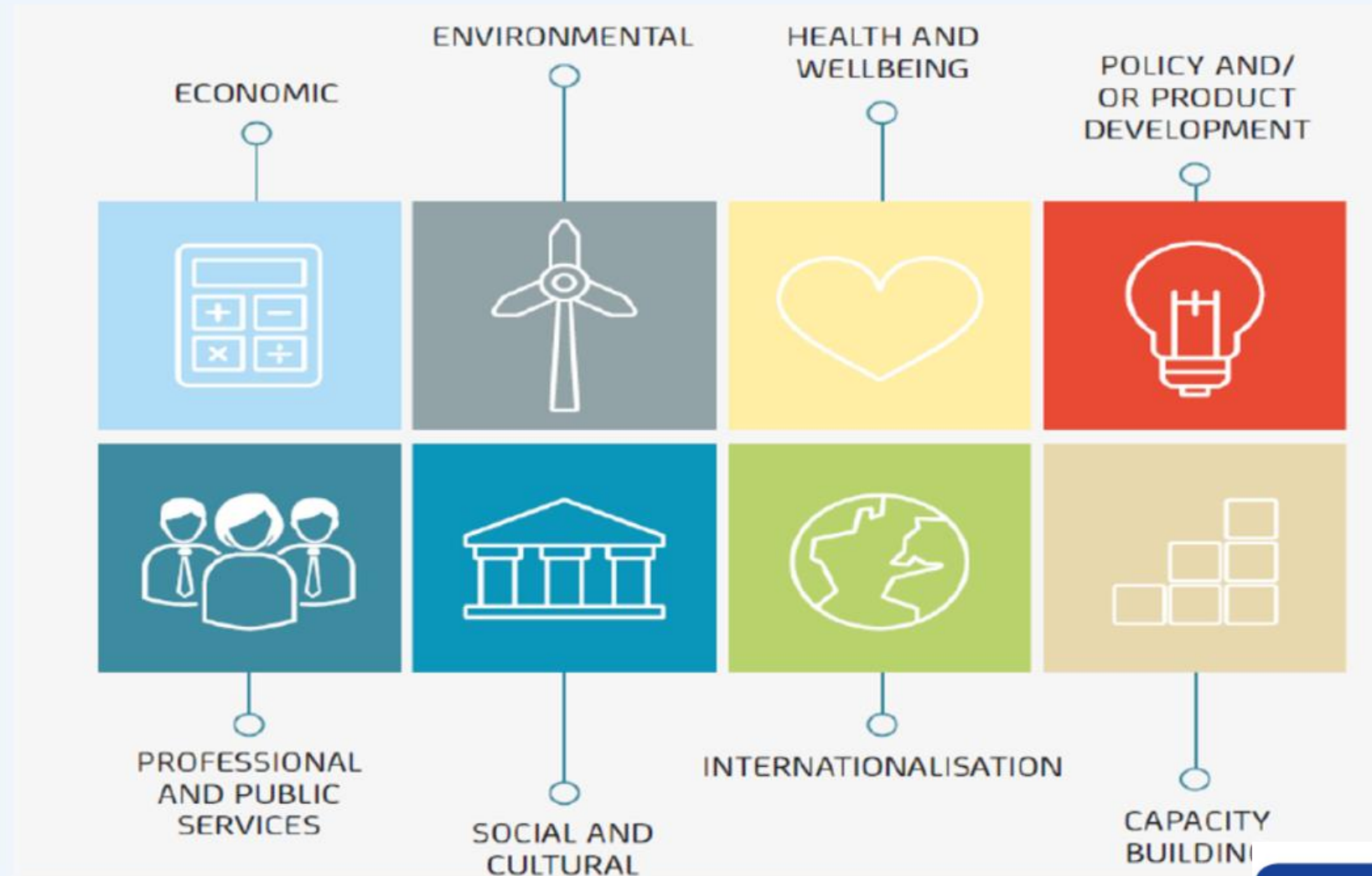


Innovation Potential = Potential of the results to deliver innovations and expected impacts relevant to the call.

Innovation Capacity = Capacity of the results to be used to develop other innovations not mentioned in the call, i.e. “other substantial impacts”.



Thinking universally about research impact



➔ Describe any **barriers/obstacles**, and any **framework conditions** (such as regulation, standards, public acceptance, workforce considerations, financing of follow-up steps, cooperation of other links in the value chain), that may determine whether and to what extent the expected impacts will be achieved. (This should not include any risk factors concerning implementation, as covered in section 3.2.)

*Describe any **barriers/obstacles**, and any **framework conditions** (such as regulation, standards, public acceptance, workforce considerations, financing of follow-up steps, cooperation of other links in the value chain), that may determine whether and to what extent the expected impacts will be achieved. (This should not include any risk factors concerning implementation, as covered in section 3.2.)*

Considera:

- **Legislazione** (incluso etica) (Es. sharing Economy per tasse e assicurazioni; self-driving cars)
- Standard (costituiscono barriere all'ingresso?)
- **Pubblica accettazione** (pregiudizi? Resistenze culturali?)
- Barriere in ingresso al mercato
- Considerazioni sulla **forza lavoro**
- Finanziamento degli step di follow-up
- Cooperazione dei diversi elementi che compongono la value chain



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2.2 MISURE PER MASSIMIZZARE L'IMPATTO

a) Dissemination and
Exploitation of results

b) Communication activities



Communication Plan
*and

Dissemination Plan
*and

Exploitation Plan

RESULTS



Open Access



IP – Intellectual Property
Management

European Charter for Researchers

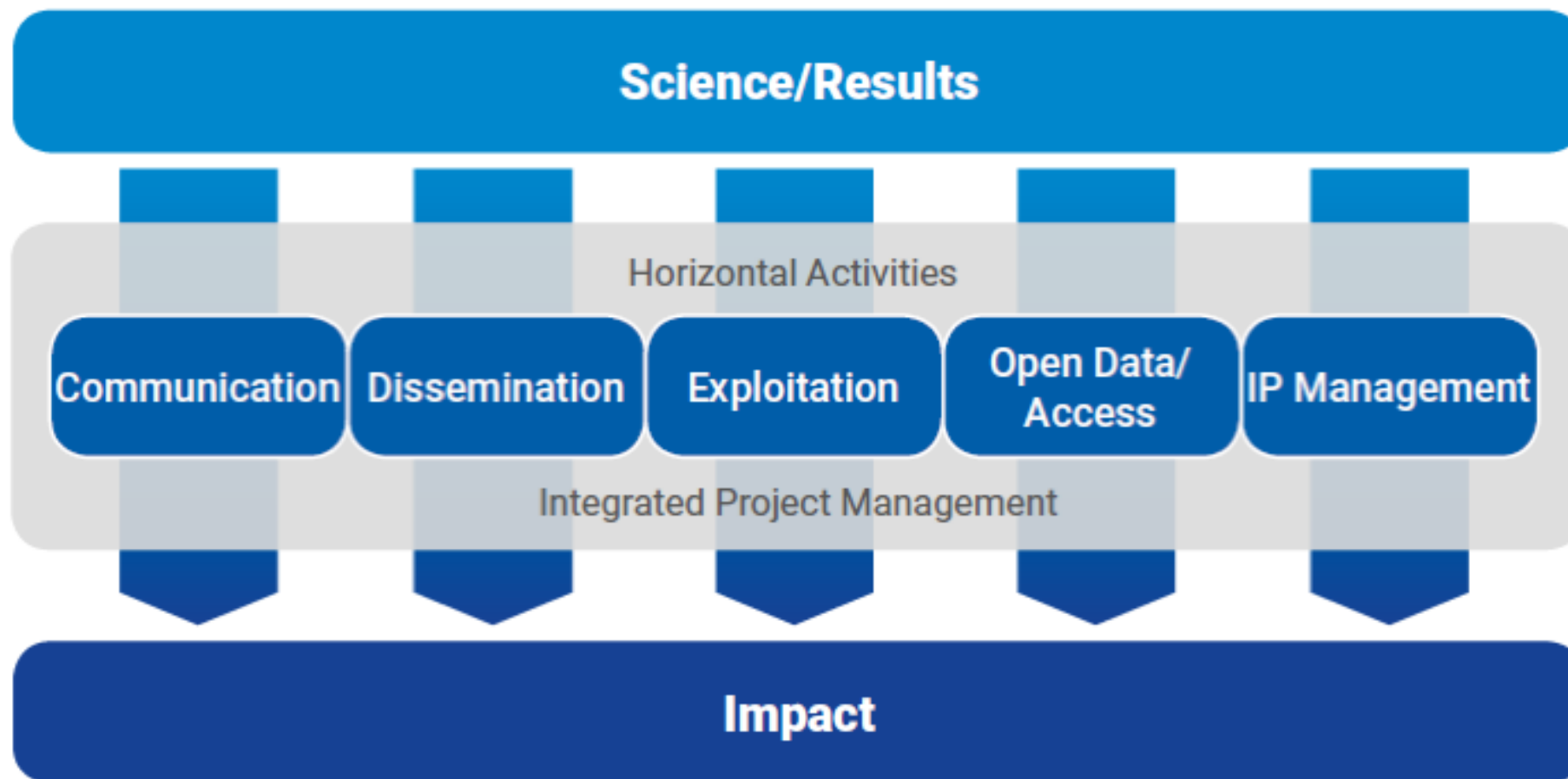
Important! The following sections of the **European Charter for Researchers** refer specifically to outreach and dissemination:

- **Communication**

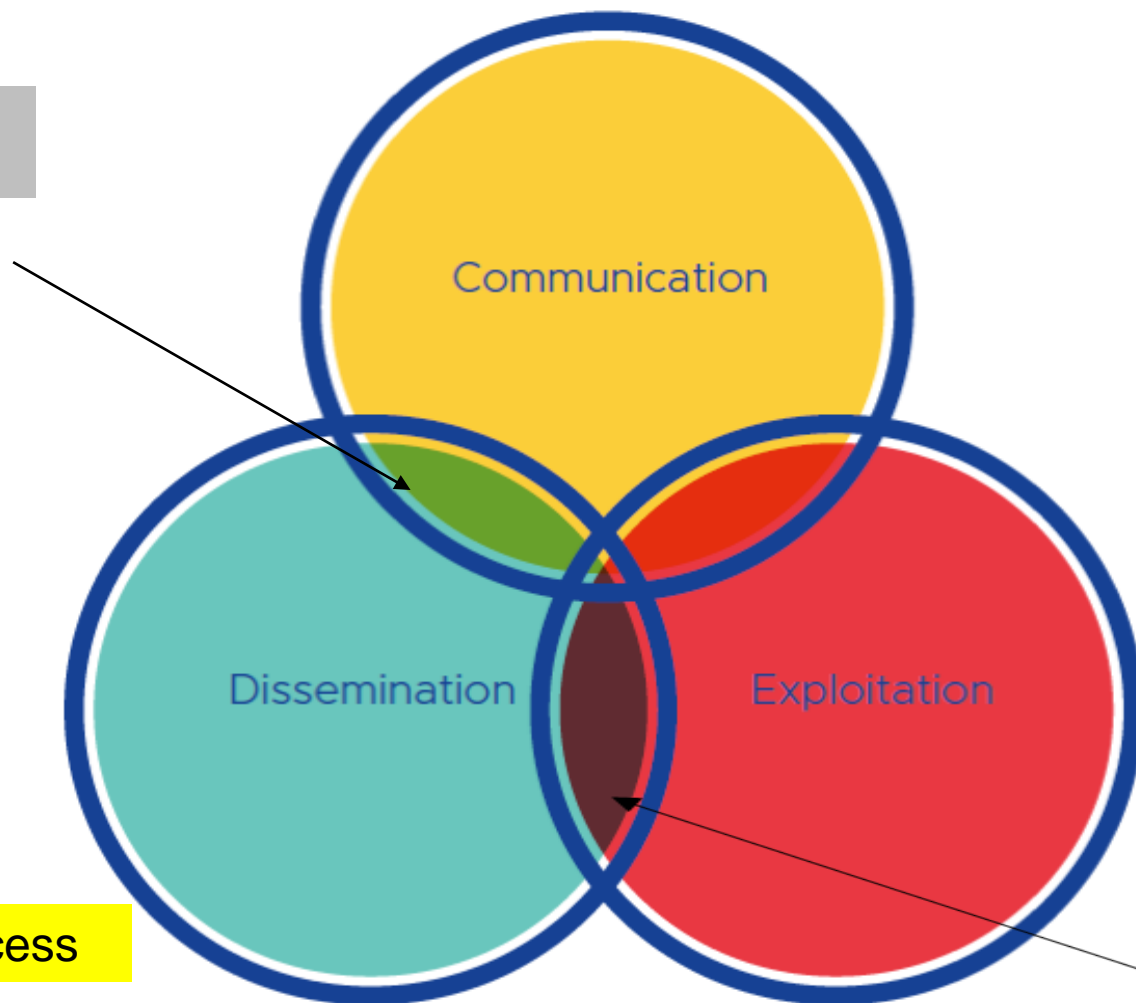
Researchers should ensure that their research activities – both **the action** and, when available, **its results** – are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science. Direct engagement with the public will **help researchers** to better understand public interest in priorities for science and technology and also the public's concerns.

- **Dissemination and exploitation**

All researchers should ensure, in compliance with their contractual arrangements, that results of their research are disseminated (**in line with H2020 open access policy**) and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Senior researchers, in particular, are expected to take a lead in **ensuring that research is fruitful and that results are either exploited commercially or made accessible to the public** (or both) whenever the opportunity arises.



Dissemination and
Communication Plan



Open Access

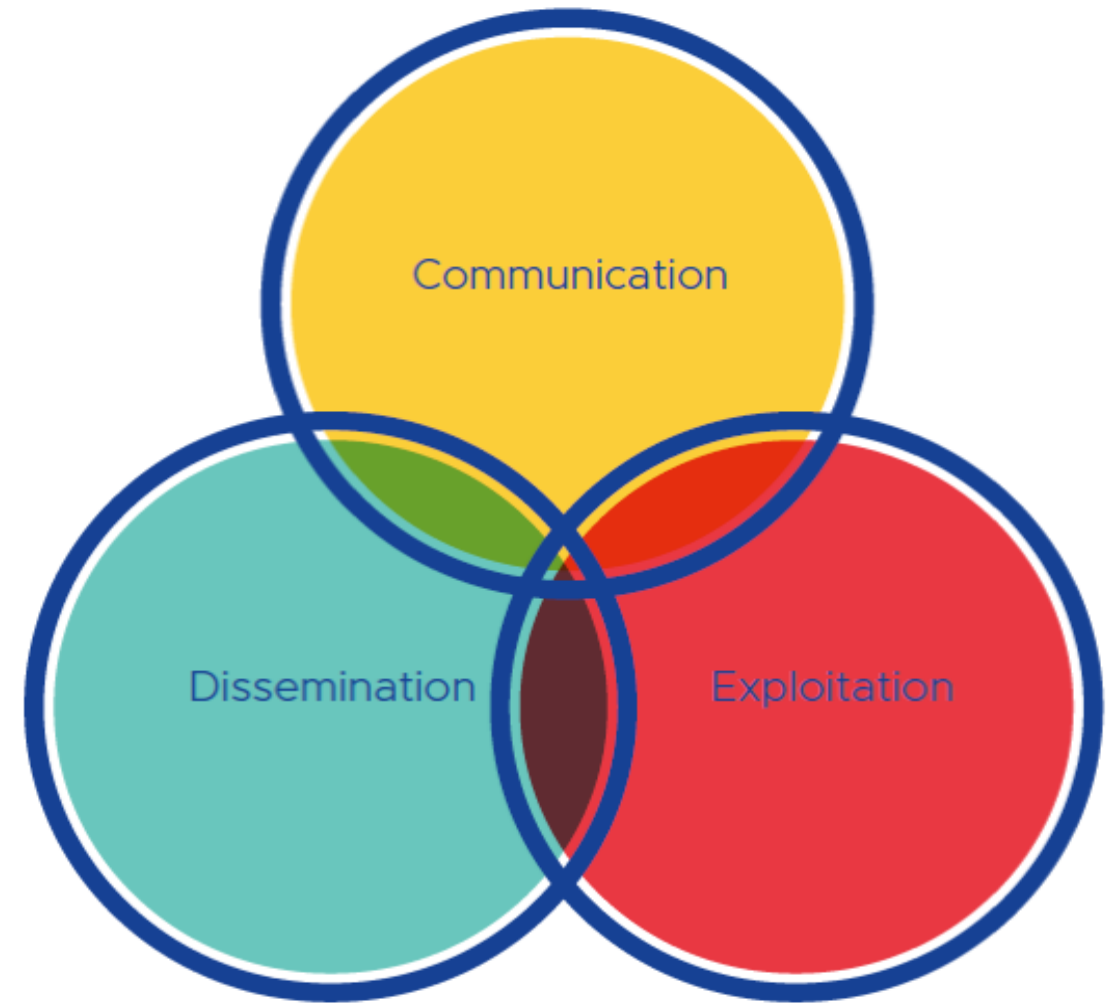
Dissemination and
Exploitation Plan

IP – Intellectual Property Management

Integrated Approach

Overall, it takes an integrated approach to effectively carry out communication, dissemination and exploitation activities. One that enables you to capture and monitor project results, select the right tools to inform about them, and manage open access while at the same time considering a strategy for IP protection, if there are commercial opportunities. It should promote your project on many levels, reaching out to both a wider audience and interested parties, while exploring possible exploitation routes.

DIFFERENCES



Communication

"Communication on projects is a strategically planned process that starts at the outset of the action and continues throughout its entire lifetime, aimed at promoting the action and its results. It requires strategic and targeted measures for communicating about (i) the action and (ii) its results to a multitude of audiences, including the media and the public and possibly engaging in a two-way exchange."

(Source: EC Research & Innovation Participant Portal Glossary/Reference Terms)

Objective

Audience

Timeline

Processes and
format



Definition

Dissemination

Objective

Audience

Timeline

Processes and
format

"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."

(Source: EC Research & Innovation
Participant Portal Glossary/Reference
Terms)



Definition

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."



Definition

(Source: EC Research & Innovation Participant Portal Glossary/Reference Terms)

Objective

Audience

Timeline

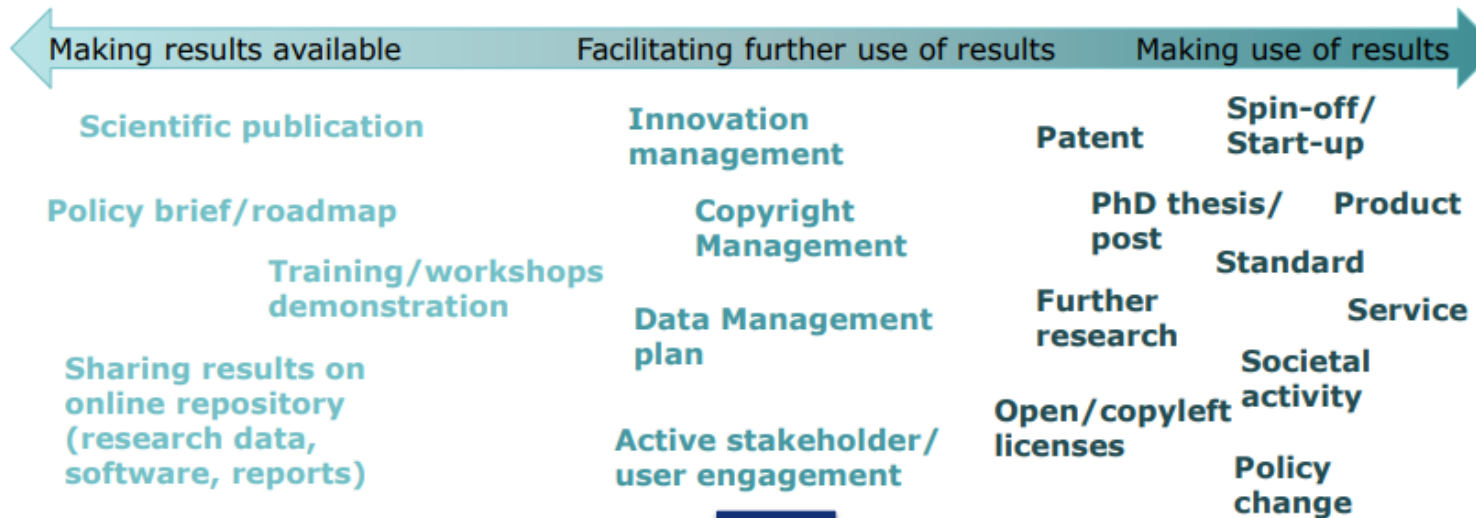
Processes and
format

Disseminazione vs Comunicazione

→ Disseminazione	→ Comunicazione (Outreach)
Collegato solo ai risultati	Collegato ai risultati e al progetto
Audience che può usare il risultato	Audience multiplo
Target con un alto grado di alfabetizzazione scientifica	Target con conoscenza differente
Favorire lo sfruttamento dei risultati	Aumentare la visibilità del progetto e dei suoi risultati
Inizia con la produzione dei primi risultati	Parte sin da subito
G.A. art 29	G.A. art 38.1

Disseminazione vs Sfruttamento

Dissemination	Exploitation
Describing and making available results so that they can be used	Making use of results , for scientific, societal or economic purposes
Audiences that may make use of results	Groups and entities that are making concrete use of results
All results which are not restricted due to the protection of intellectual property, security rules or legitimate interests	All results generated during project Participant shall make best efforts to exploit the results it owns, or to have them exploited by another legal entity
Grant Agreement Art. 29	Grant Agreement art. 28



Source: http://ec.europa.eu/research/participants/data/ref/h2020/other/events/2017-03-01/8_result-dissemination-exploitation.pdf

Dissemination actions

Dissemination is intrinsically linked to exploitation in the sense that efficient publicity is a facilitator of the exploitation of these results beyond the project lifetime.

Examples of dissemination actions:

- Publication of an **article in a peer reviewed** journal;
- Papers presented at a **scientific conference**;
- Presentation of **project results to policy makers**;
- Increase access to and sharing of research data and publications (**Open Access measures**);
- Publishing a **summary report of your project findings** on a public website (this overlaps with Communication)

- A **press release for the general public** at the start of the project.
- An **interview in the local radio station** after a major achievement of your project.
- An **event in a shopping mall** that shows how the outcomes of your project are relevant to our everyday lives.
- **Local workshops** about the project with a target audience(s) for whom your project is of interest.
 - Example: a project dealing with research about the preservation of marine environment, organizing workshops with coast-guards, fishers and recreational sailors in all Mediterranean countries, also inviting the local press to the workshops.
- A **toolkit/ brochure/ presentation** to explain your project to students at schools and universities to show how interesting research can be and to promote your research field or assist teachers/ professors in preparing and delivering teaching materials.
- **Web and social media** presence and activities
- (Stakeholder engagements actions)

Exploitation

- Ulteriore **ricerca**
- Il risultato diventa background per un **altro progetto**
- Il risultato diventa un **prodotto o un servizio** da commercializzare
- Il risultato dà vita ad uno **spin-off o/e start up**
- **Licenze**, Join Venture e Assegnazione

Benefits ☺

If strategy for effective Comm/Diss/Ex is in place

+

Improve your proposal's chances of success.

+

Increase the visibility of your research, enhance your reputation and help your efforts gain understanding and support (also financially), by presenting your work and its results not only to the scientific community, but also to potential industrial partners, policymakers and society at large.

+

Sharpen your profile within the scientific community and attract talented scientists/students for your own or partner institution(s).

+

Tap into additional funding sources by explaining how your project successfully tackles current issues and challenges, and how this positively affects our daily lives (e.g. by creating new jobs, improving public knowledge, influencing a change in policy).

+

Discover novel approaches and solutions by promoting the exchange of knowledge on all levels – cross-sectoral and interdisciplinary.

+

Attract potential users of the project results – including business partners for commercial exploitation, but also other users such as researchers, educators, policymakers, etc.

+

Help strengthen the research and innovation landscape in Europe by ensuring knowledge transfer, uptake and commercialisation of novel technologies and results by industry, decision makers and the scientific community.

+

Spread knowledge and allow that knowledge to be built upon by making your project results openly available and searchable under fair conditions.

WHY Benefits vs Risks

Risks ☹️

If strategy for effective Comm/Diss/Ex is missing

Lower prospects of success for your proposal.

Recognition and reputation of your work remains limited to a small circle of experts. Advancing your field of research has less traction.

Needless duplication of your resources and spending of public funds (i.e. limited "return on investment" of public R&I funding).

Little awareness of the needs and significance of your research on policy level, potentially resulting in limited public funding/investment.

Untapped potential of your project results and data. New knowledge and insights, which could lead to whole new fields of application are lost.

Difficulties to find partners who might take an interest in (commercially) exploiting your results, leading to missed opportunities for commercialisation of project results.

Europe's full innovation potential remains untapped.

Uphold barriers that prevent others from gaining access to research publications and data they can check and re-use.

WHY
Benefits vs Risks

Contractual Obligations

A number of obligations related to communication, dissemination and exploitation are formally outlined in different Horizon 2020 documents; such as the Rules of Participation, the proposal template for Research & Innovation Actions (RIA)/Innovation Actions (IA), or the respective Model Grant Agreement.

More specifically, by signing the EC Grant Agreement participants agree to:

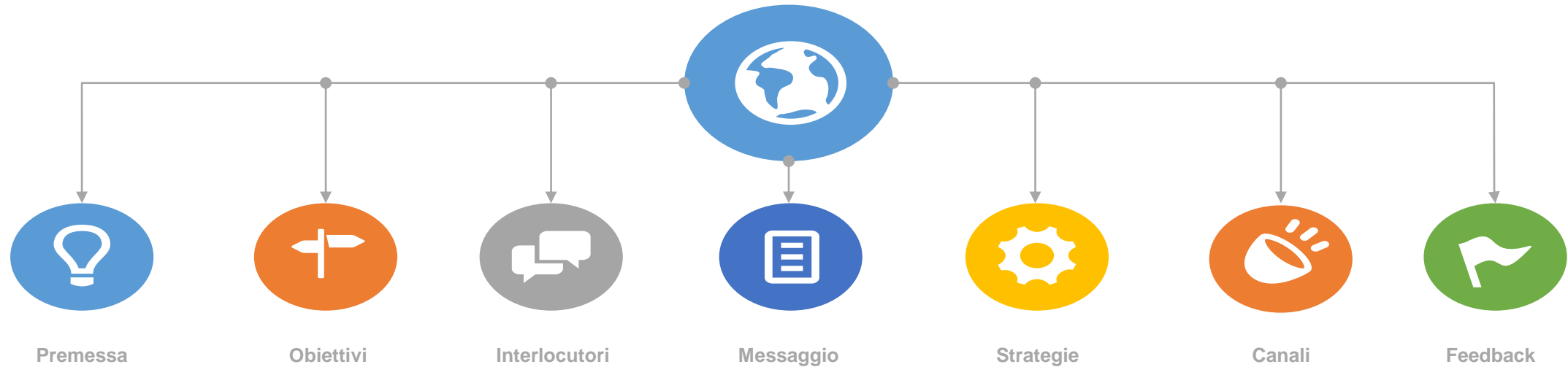
- **Promote the action and its results**, by providing targeted information to multiple audiences (including the media and the public), in a strategic and effective manner and possibly engaging in a two-way exchange
! (Article 38 of the Model Grant Agreement)
- **Disseminate results** — as soon as possible — through appropriate means, including in scientific publications (Article 29 of the Model Grant Agreement) **!**
- **Ensure open access** (free of charge, online access for any user) to all peer-reviewed scientific publications relating to its results (Article 29 of the Model Grant Agreement) **!**
- **Take measures aiming to ensure 'exploitation' of the results** — up to four years after the end of the project — by using them in further research activities; developing, creating or marketing a product or process; creating and providing a service, or using them in standardisation activities
! (Article 28 of the Model Grant Agreement)
- **! Acknowledge EU funding** in all communication, dissemination and exploitation activities (including IPR protection and standards) as well as on all equipment, infrastructure and major results financed by the action by using the wording and criteria specified in the Grant Agreement

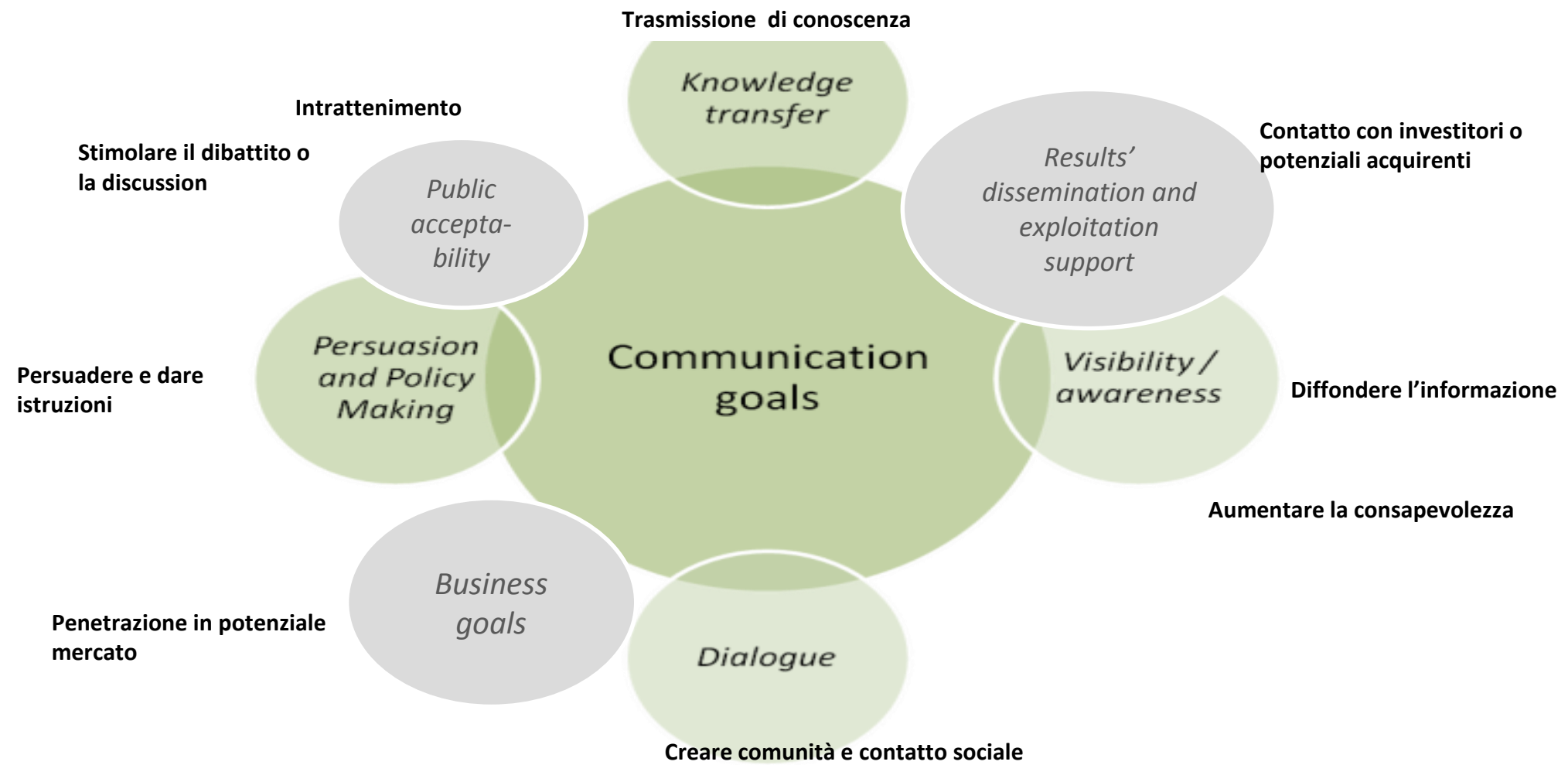
!

**WHY
Contractual
Obligations**

PLAN STRATEGICALLY

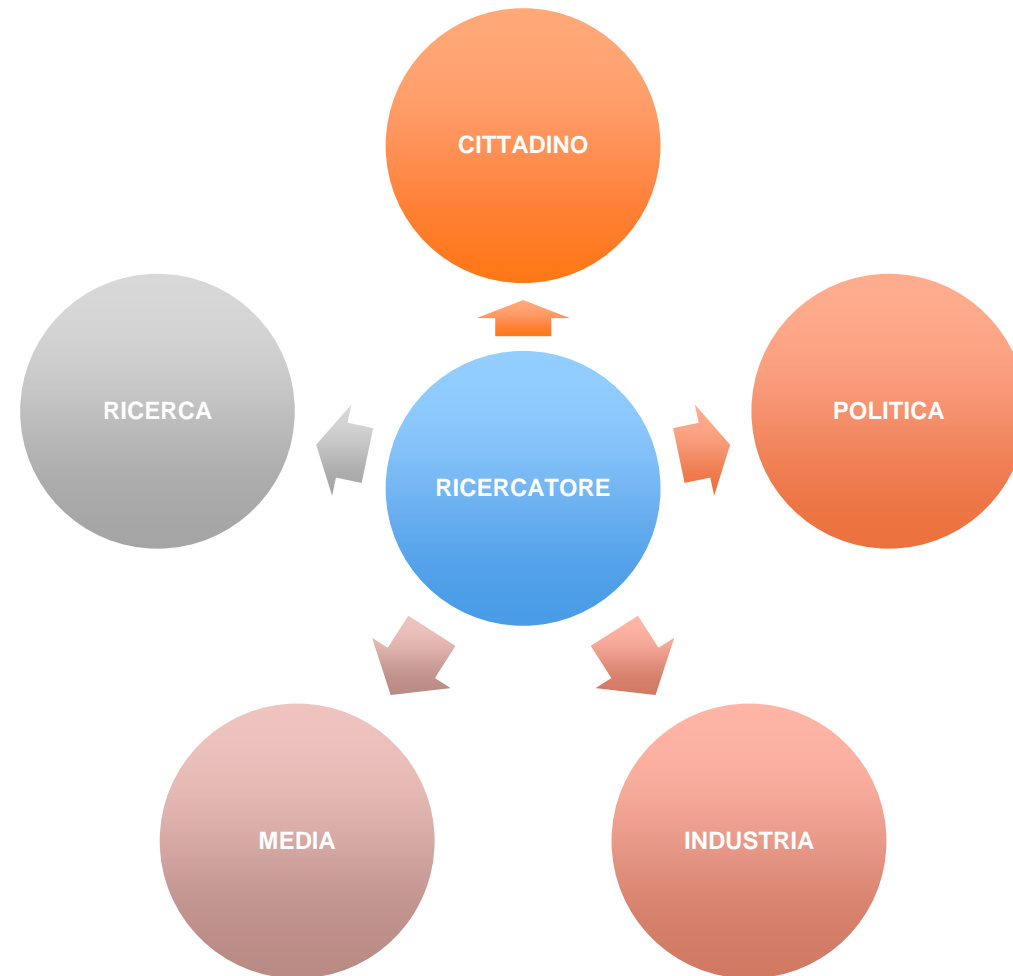
Il piano di comunicazione e disseminazione







Interlocutori



Target audience: **specify!**

from 'the general public' to → 'female citizens commuting by train to work in one of the EU-10 countries'

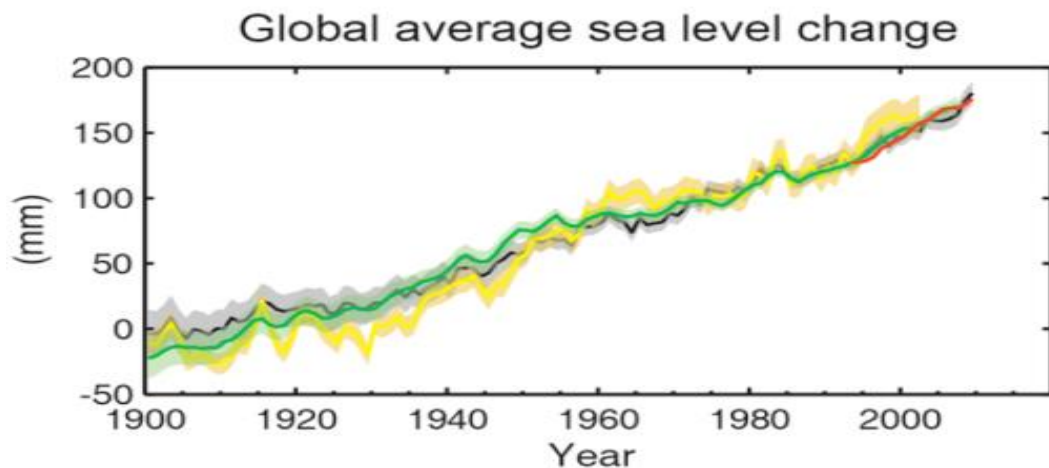
from 'decision-makers' to → 'Europarlamentarians involved in the design of the new transport policy 2013'.



information

message

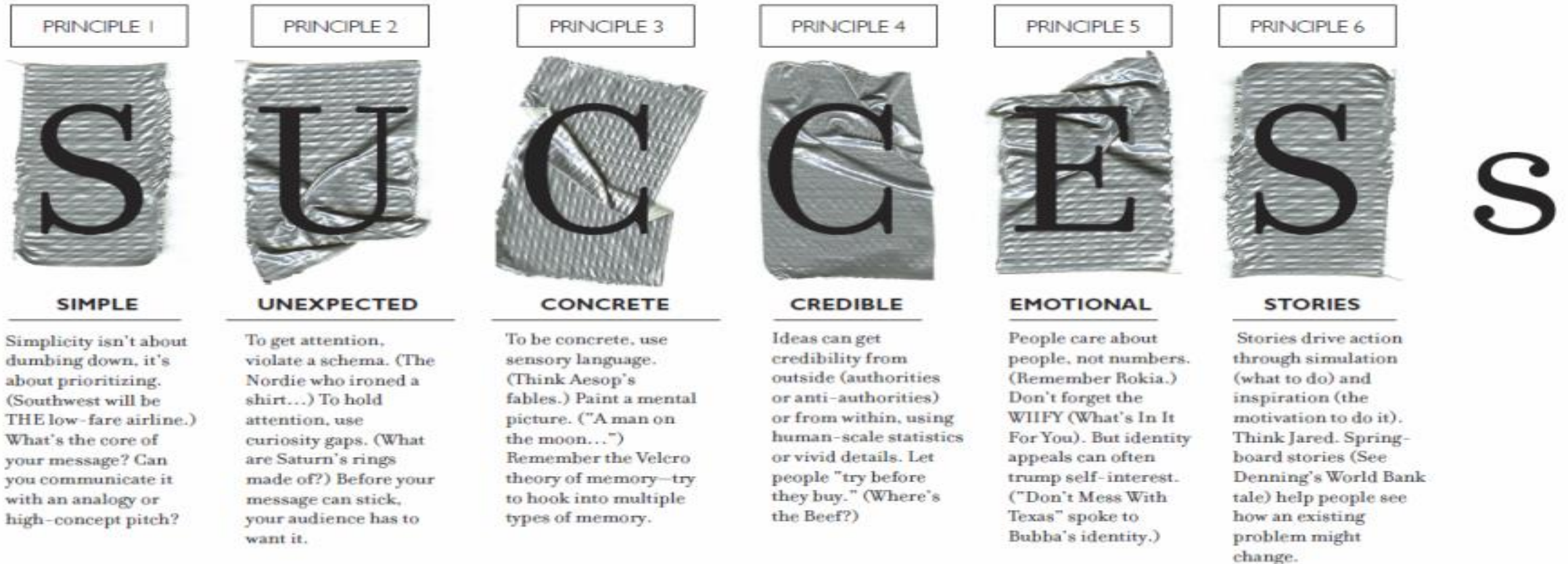
Messaggio



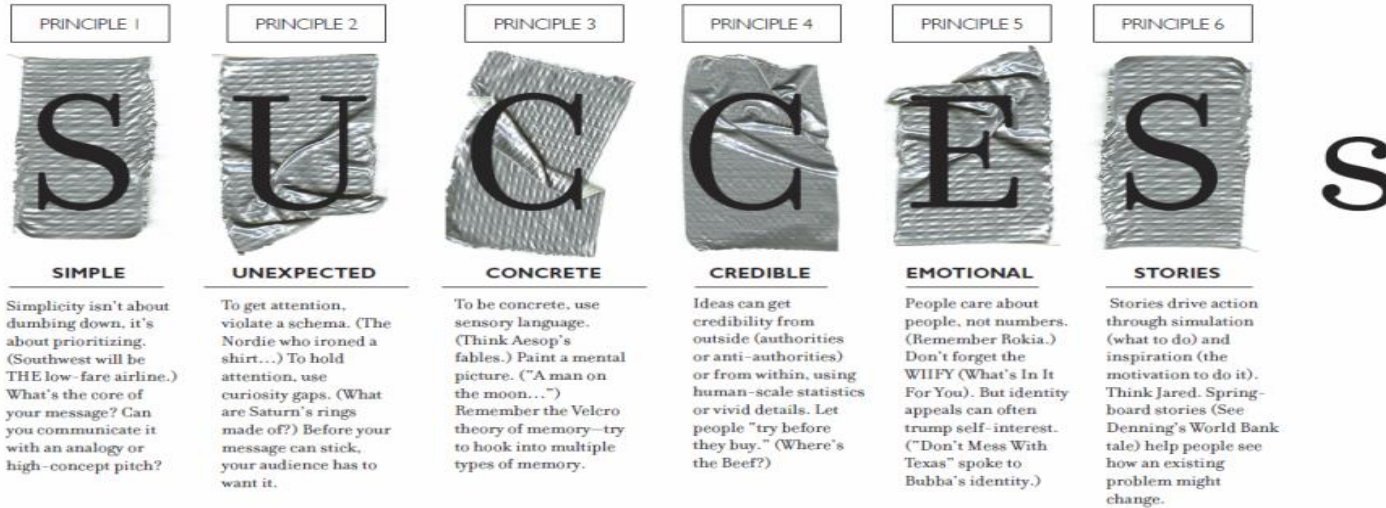
After much anticipation, the [Intergovernmental Panel on Climate Change](#) on Friday revealed it's [new assessment](#) of climate change, after two years of deliberation. The bottom line: global temperatures and sea levels will rise even faster than everyone thought. If the world aggressively cuts back on CO2 emissions, the global mean surface temperature by 2100 could be kept below a 2 degree Celsius rise (compared with 1986-2005), considered the limit beyond which severe consequences will arise. But if nations continue on the present course, temperature could rise by up to 4.8 degrees C.



Package your message through SUCCESS Model



Package your message through SUCCESS Model



PRINCIPLE 7

E

Engaging

Identify ad added value, feasible, sustainable call to Action and invite people to take it up

Engage > enabling people to be part of your story



Strategie





Canali

Target Audiences	Project events	Project poster and leaflet	Webportal	Social Media <i>LinkedIn, twitter</i>	Newsletter	Webinars	Project publications	Key project results relevant to the target groups in particular
RDI Stakeholders / ICT networks	xxx	xx	xxx	xxx	xx	xxx	xxx	<ul style="list-style-type: none">• <u>Key interest</u>: proposals of concrete new avenues for EU-US ICT collaboration• <u>Expected/wished sustainable main outcomes for this group</u>: identified areas for (exclusive) feasible collaboration, implemented joint programmes in these fields, new collaboration opportunities
ICT companies / industry	x	xx	xxx	xxx	xx	xxx	x	<ul style="list-style-type: none">• <u>Key interest</u>: information about collaboration opportunities, based on industry needs• <u>Expected/wished sustainable main outcomes for this group</u>: Information on (funded) collaboration opportunities, accessible in easy-to-read and easy-to-use format: ICT industry toolkit, event presentations, etc.
Policy makers	xx	xx	xx	x	xx	xxx	xxx	<ul style="list-style-type: none">• <u>Key interest</u>: provision of policy briefs with important recommendations• <u>Expected/wished sustainable main outcomes for this group</u>: policy briefs with concrete and easy to implement recommendations, White Paper

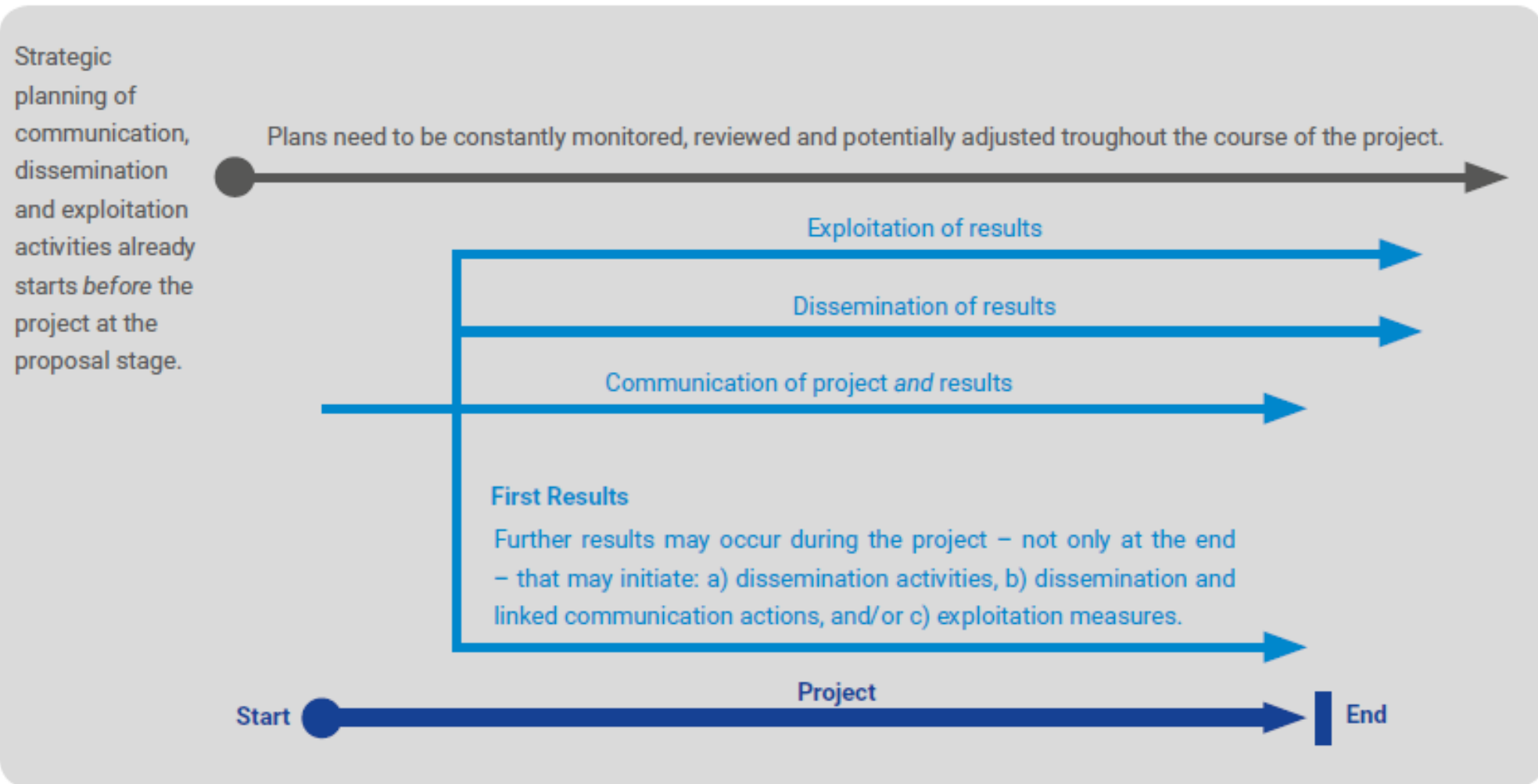


Come pensiamo di valutare le attività di comunicazione?

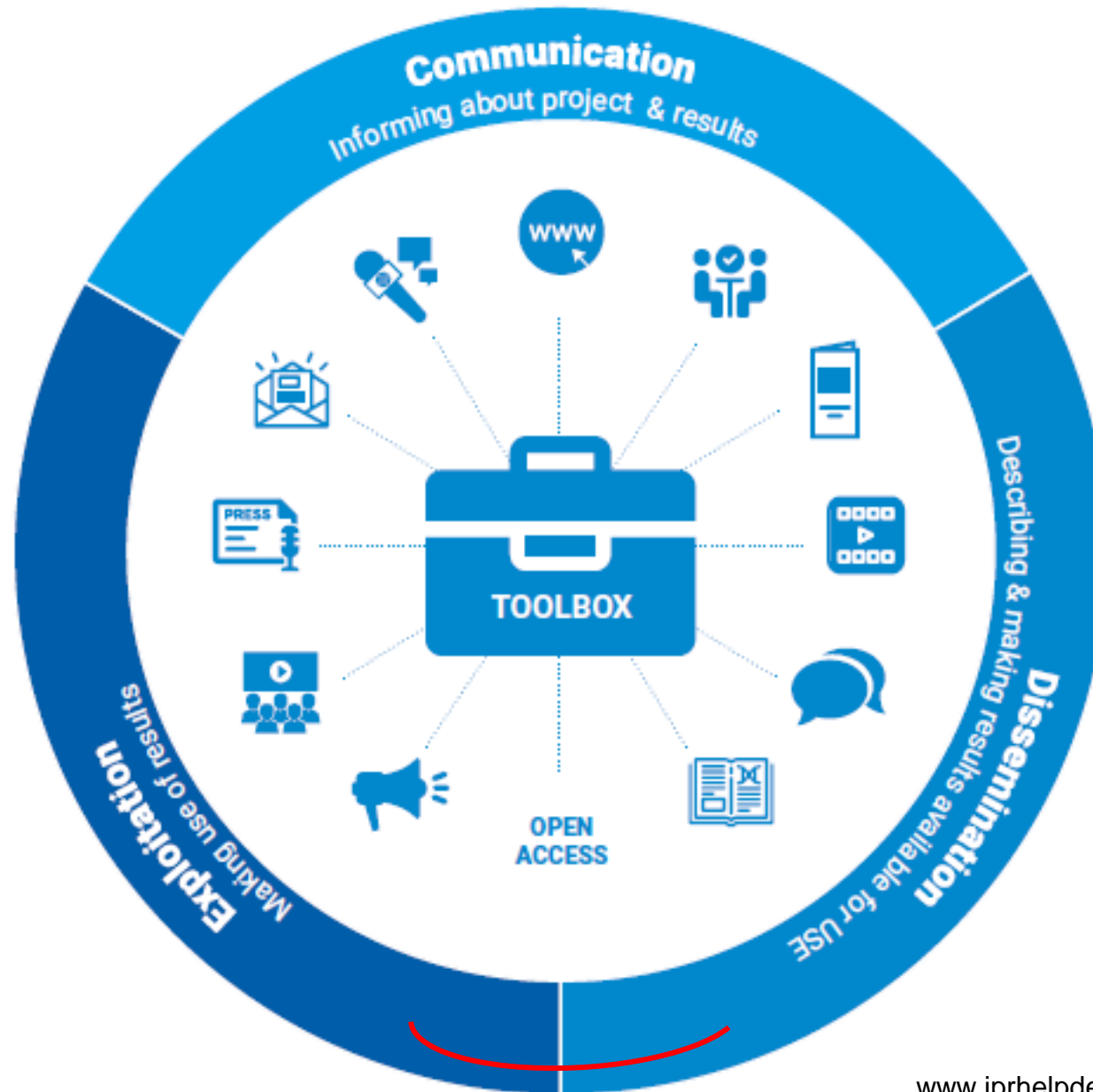
- **Evidenza** nei media (press release recepiti dai giornali, numero di articoli, dibattito televisivo)
- **Interesse** di investitori o finanziatori privati nella vostra area
- **N. Persone** che chiedono maggiori informazioni
- **N. riferimenti scientifici** nelle pubblicazioni.
- **N. presentazioni** fatte a workshops/conferenze
- **Sondaggi** con gli utenti finali
- **Monitoraggio** del sito web (click, durata delle visite nel sito etc)
- Numero di click per Newsletter
- **Numero di interazioni** sui social media
- ...

PLAN STRATEGICALLY

Communication, Dissemination,
Exploitation



Choose the right tools to address the challenges of the call and contribute to the expected impact!





Exploitation Plan



Disclaimer
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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.*

- **Outputs generated during the project**, which **can create impact during and/or after** the funding
- Can be **used either by the project partners or by other** stakeholders
- **Reusable and exploitable entities** (inventions, products, services), or
- **Elements** (knowledge, technology, processes, networks) that have **potential to contribute for further work**, research or innovations
- Administrative **deliverables, reports or dissemination materials** (e.g. publications) are often not considered results in themselves

What is

Exploitation

about



Source: http://ec.europa.eu/research/participants/data/ref/h2020/other/events/2017-03-01/8_result-dissemination-exploitation.pdf

Exploitation

- **Perform a characterisation/mapping of potential valuable and exploitable results**, i.e. identify different types of results and their potential user groups – on partner and/or consortium level.
- Describe your plans on how to **get the expected innovations “out of the lab”** and into (or at least closer to) the market.
- **Identify possible, most appropriate exploitation routes** for the expected key exploitable results corresponding to the nature of the different results and their target users.
- Describe where and how the innovations will be deployed. **Will new markets be created?**
- **Choose concrete exploitation measures to ensure that results will meet real needs** and thus will be taken up. What are the relevant steps within the project’s lifetime and beyond?
- **Reflect on potential barriers/obstacles**, and how to overcome them.
- **Identify any further conditions for market deployment**, i.e. financial investments, regulatory affairs, business development, marketing.
- Consider including dedicated formats (workshops, questionnaires, etc.) to **capture and assess exploitation opportunities** in the project.
- **Demonstrate how interested parties will get access to results**, and under which terms.
- **Plan and describe adequate internal structures** safeguarding effective knowledge, IP and innovation management, helping to create, capture and manage research results.

Keep in mind: The final Plan for the Dissemination and Exploitation of Results is critical and *the* most important deliverable at the end of your project!

Further information and practical tips can be found in the Fact Sheet “The Plan for the Exploitation and Dissemination of Results in Horizon 2020” developed by the European IPR Helpdesk.



Exploitation strategy / Top4 :

1. analisi del mercato (e possibile impatto sullo stesso),
2. management della proprietà intellettuale
3. innovation management
4. business plan

Connessione tra le azioni di **disseminazione** e di **exploitation** al fine di operare in vista di una futura commercializzazione del prodotto/servizio oggetto della proposta

Effective Exploitation Plan
reflects the
key exploitable results

CHECKLIST



✓ **Different types of exploitable results**

(knowledge, methods, agreements, networks, technologies are clearly identified and their direct and indirect value and impact for different stakeholders are considered)

✓ **The barriers and risks for exploitation** (actual use of the results after project funding) are recognized and countered with appropriate measures)

✓ Concrete measures to ensure that the **results meet real needs**, and will be taken up by potential users (e.g. engaging them in project)

✓ **Roles and responsibilities of partners** in exploiting results or supporting results exploitation by other (intermediate or end) users

Exploitation and IPR management activities must be reported

- Quantitatively and qualitatively (patent applications, licenses, copyrighted/copylefted material, registered designs etc)
- Patent applications have EU funding acknowledgement and exist on website

PLAN STRATEGICALLY

Communication, Dissemination,
Exploitation

IMPATTO

Criterio di Valutazione in Horizon 2020

1: Excellence

1.1 Objectives

1.2 Relation to work programme

1.3 Concept and methodology

1.4 Ambition

2. Impact

2.1 Expected impacts

2.2 Measures to maximize impact

a) **Dissemination and exploitation of results**

b) **Communication activities**

3. Implementation

3.1 Work plan – work packages, deliverables

3.2 Management structure, milestones and procedures

3.3 Consortium as a whole

3.4 Resources to be committed

4. Members of the Consortium

4.1 Participants (applicants)

4.2 Third parties involved in the project

5. Ethics and Security

5.1 Ethics

5.2 Security



H2020 Programme

Proposal template 2018-2020

Administrative forms (Part A)
Project proposal (Part B)

Research and Innovation Actions (RIA)
Innovation Actions (IA)

Version 3.4
1 February 2018

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Award Criteria [Single and second stage]

1: Excellence

- 1.1 Objectives
- 1.2 Relation to work programme
- 1.3 Concept and methodology
- 1.4 Ambition

2. Impact

- 2.1 Expected impacts
- 2.2 Measures to maximize impact
 - a) Dissemination and exploitation of results
 - b) Communication activities

3. Implementation

- 3.1 Work plan – work packages, deliverables
- 3.2 Management structure, milestones and procedures
- 3.3 Consortium as a whole
- 3.4 Resources to be committed

Threshold: 3/5

Threshold: 3/5

Threshold: 3/5

Threshold: 10/15

Details, Weightings and thresholds to be laid down in WP



Open
Access



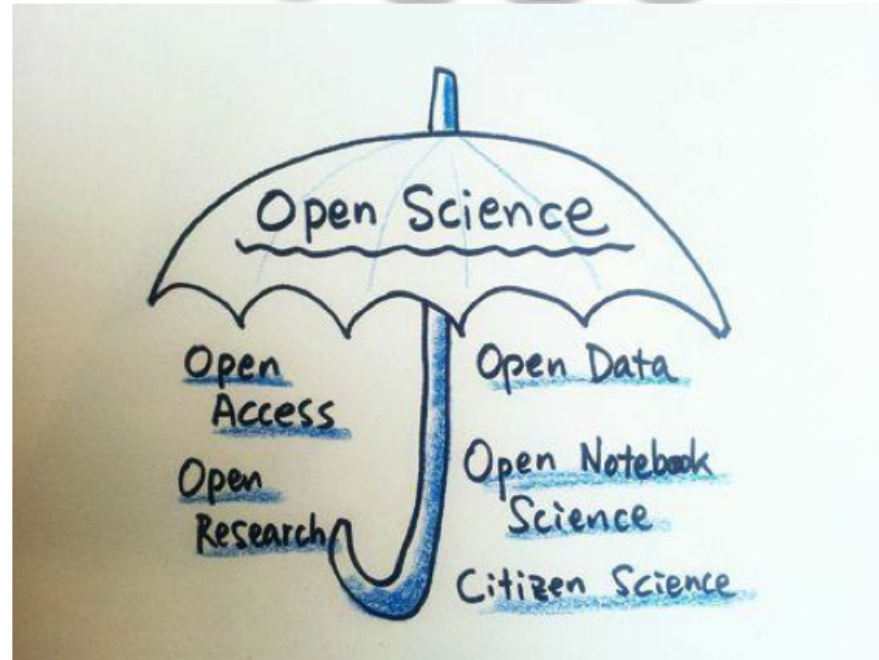
IP
Managament

Horizon 2020 Programm
Proposal template 2018-2020
Administrative forms (Part A)
Project proposal (Part B)
Research and Innovation Action (RIA)
Innovation Action (IA)

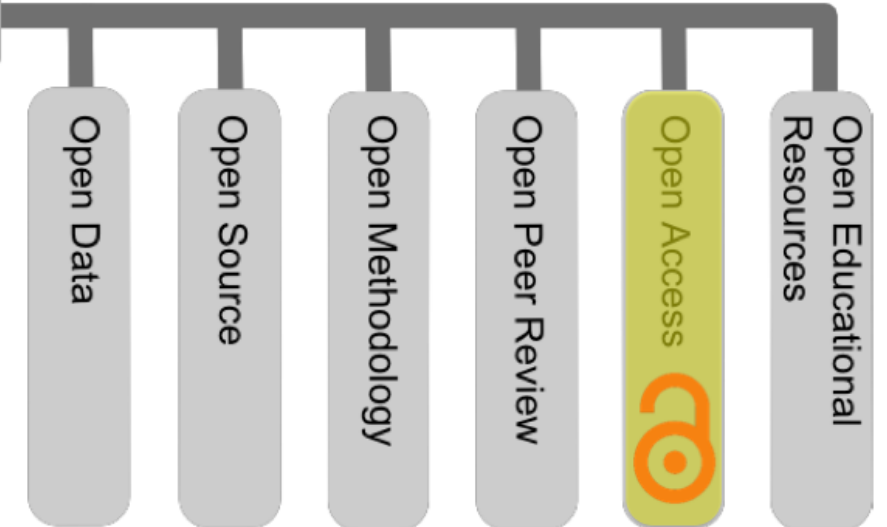
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OPEN SCIENCE




Open Science



= unrestricted online access to peer-reviewed scholarly research.

What about Open Access?

The European Commission promotes the overall concept of Open Research by supporting open access in its framework programmes, aiming to improve science and innovation in the public and private sectors. By making project results and data accessible to all societal actors, other researchers, innovators and the public, can find and re-use these for their own specific needs. In this way further research is encouraged, novel solutions can be found, and complex challenges can be tackled. It's about making research outputs more transparent and their use more efficient.



why

In addition to providing open access to peer-reviewed publications, the European Commission has enabled access to and reuse of research data

results presented in the scientific publications. To be able to handle the collected, processed and/or generated data in your Horizon 2020 project, as well as any other data you wish to provide, a **Data Management Plan (DMP)** is required for all projects participating in the extended ORD Pilot. It should ensure that the relevant data is **findable, accessible, interoperable and reusable** or “**FAIR**”, as well as define the procedures involved in capturing, handling and managing the research data throughout the project's life cycle and beyond.



how

Open Access
Open Data



Data Management Plan

Documento del GdL Dati della ricerca – rilasciato 15.05.2017¹

Griglia per l'elaborazione del piano di gestione dei dati della ricerca

L'elaborato consiste di due parti, la prima più estesa contiene una griglia che illustra in modo dettagliato tutti gli aspetti relativi all'elaborazione di un piano di gestione dei dati e riflette i requisiti richiesti dalla Commissione Europea e dai principali finanziatori della ricerca, la seconda contiene alcune definizioni.

Ciascuna voce relativa al DMP è in inglese, d'altronde i DMP richiesti dai finanziatori internazionali sono prevalentemente in lingua inglese, mentre le spiegazioni sono riportate in italiano. Per ciascuna voce sono stati inclusi i link a risorse informative correnti quando è stato possibile.

Le sezioni della prima parte del documento sono le seguenti:

- Sezione relativa a dettagli amministrativi del progetto
- Sezione relativa alla descrizione dei dataset
- Sezione relativa agli standard e ai metadati
- Sezione relativa alla sicurezza e alla confidenzialità dei dati
- Sezione relativa alla condivisione e all'accesso ai dati
- Sezione relativa al data management, alla documentazione e alla curation dei dati
- Sezione relativa alle responsabilità
- Sezione relativa alle politiche istituzionali sulla condivisione e sicurezza dei dati

¹ Il documento è il secondo degli elaborati del GdL Dati della ricerca, un gruppo di lavoro interuniversitario che si è costituito spontaneamente nel periodo aprile - dicembre 2016. Al gruppo hanno partecipato esperti di Open Access, informatici, bibliotecari, uffici della ricerca afferenti alle seguenti istituzioni: Politecnico di Milano, Università di Milano Statale, Università di Torino, Università di Trento, Università di Venezia Ca' Foscari (ricerca). La redazione di questo documento e il coordinamento del sottogruppo sul Data Management Plan sono stati affidati a [Marisol Ocioni](#) dell'Università di Venezia Ca' Foscari.

<http://bit.ly/2N8TSXD>

ALMA MATER STUDIORUM - UNIVERSITÀ DI BOLOGNA
AREA SISTEMI DIPARTIMENTALI E DOCUMENTALI (ASDD)
Centro Risorse per la Ricerca Multimediale (CRR-MM)

DATA MANAGEMENT PLAN
Open Research Data Pilot - Horizon2020

GUIDA ALLA REDAZIONE

<http://bit.ly/2CTgITU>

About DMPonline

Background Latest news

Funding bodies increasingly require their grant-holders to produce a Data Management Plan (DMP), both during the bid-preparation stage and after funding has been secured. DMPonline helps research teams respond to this requirement, and any expectations that their institution or others may apply.

DMPonline is based on the open source DMPRoadmap codebase, which is jointly developed by the Digital Curation Centre (DCC) and the University of California Curation Center (UC3). The DCC & UC3 work closely with research funders and universities to produce a tool that generates active DMPs and caters for the whole lifecycle of a project, from bid-preparation stage through to completion.

How the tool works

There are a number of templates within the tool that represent the requirements of different funders and institutions. Users are asked three questions at the outset so we can determine the appropriate template to display (e.g. the ESRC template when applying for an ESRC grant). Guidance is provided to help you interpret and answer the questions. This guidance is provided by researcher funders, universities and disciplines.

Getting Started

If you have an account please sign in and start creating or editing your DMP.

If you do not have a DMPonline account, click on 'Create account' on the homepage.

Please visit the 'Help' page for guidance.

Additional Information

We are constantly improving the user interface and functionality of DMPonline. If you would like to contribute with feedback and suggestions, please contact us by emailing dmponline@dcc.ac.uk. You can also report bugs and request new features directly on [GitHub](#).

https://dmponline.dcc.ac.uk/about_us

RDS ands nectar

home | news | events | programs | about

FAIR self-assessment tool

Welcome to the ARDC FAIR Data self-assessment tool. Using this tool you will be able to assess the 'FAIRness' of a dataset and determine how to enhance its FAIRness (where applicable).

This self-assessment tool has been designed predominantly for data librarians and IT staff, but could be used by software engineers developing FAIR Data tools and services, and researchers provided they have assistance from research support staff.

<https://www.ands-nectar-rds.org.au/fair-tool>

What about Open Access?

The European Commission promotes the overall concept of Open Research by supporting open access in its framework programmes, aiming to improve science and innovation in the public and private sectors. By making project results and data accessible to all societal actors, other researchers, innovators and the public, can find and re-use these for their own specific needs. In this way further research is encouraged, novel solutions can be found, and complex challenges can be tackled. It's about making research outputs more transparent and their use more efficient.

In addition to providing open access to peer-reviewed publications, the European Commission has enabled access to and reuse of research data

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Open Access nel Grant Agreement

29.2 Open access to scientific publications

Each beneficiary must ensure open access (free of charge, online access for any user) to all peer-reviewed scientific publications relating to its results. [...]

29.3 Open access to research data

Regarding the digital research data generated in the action ('data'), the beneficiaries must:

- (a) deposit in a research data repository and take measures to make it possible for third parties to access, mine, exploit, reproduce and disseminate
- (b) provide information — via the repository — about tools and instruments at the disposal of the beneficiaries and necessary for validating the results

Definizione di **scientific publication**



The dominant type of **scientific publication** is the **journal article**

Research data: data underlying publications and/or other data (such as curated but unpublished datasets or raw data)

Grant beneficiaries are also strongly encouraged to provide open access to other types of scientific publications including:

- monographs
- books
- conference proceedings
- grey literature (informally published written material not controlled by scientific publishers, e.g. reports).

Open Access manuale d'uso

1

Depositing publications in repositories

#machine-readable electronic copy #preservations #repository #post-print

Green Road

#self-archiving #embargo

Gold Road

#cost

2

3

Providing open access to publications.

(GOLD) immediately, if the publication itself is published 'open access' (i.e. if an electronic version is also available free of charge to the reader via the publisher) or (GREEN) within at most 6 months (12 months for publications in the social sciences and humanities).

**SHERPA
ROMEO**

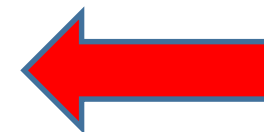
Not an obligation to publish - Not at odds with patenting - OA publications go the same peer review

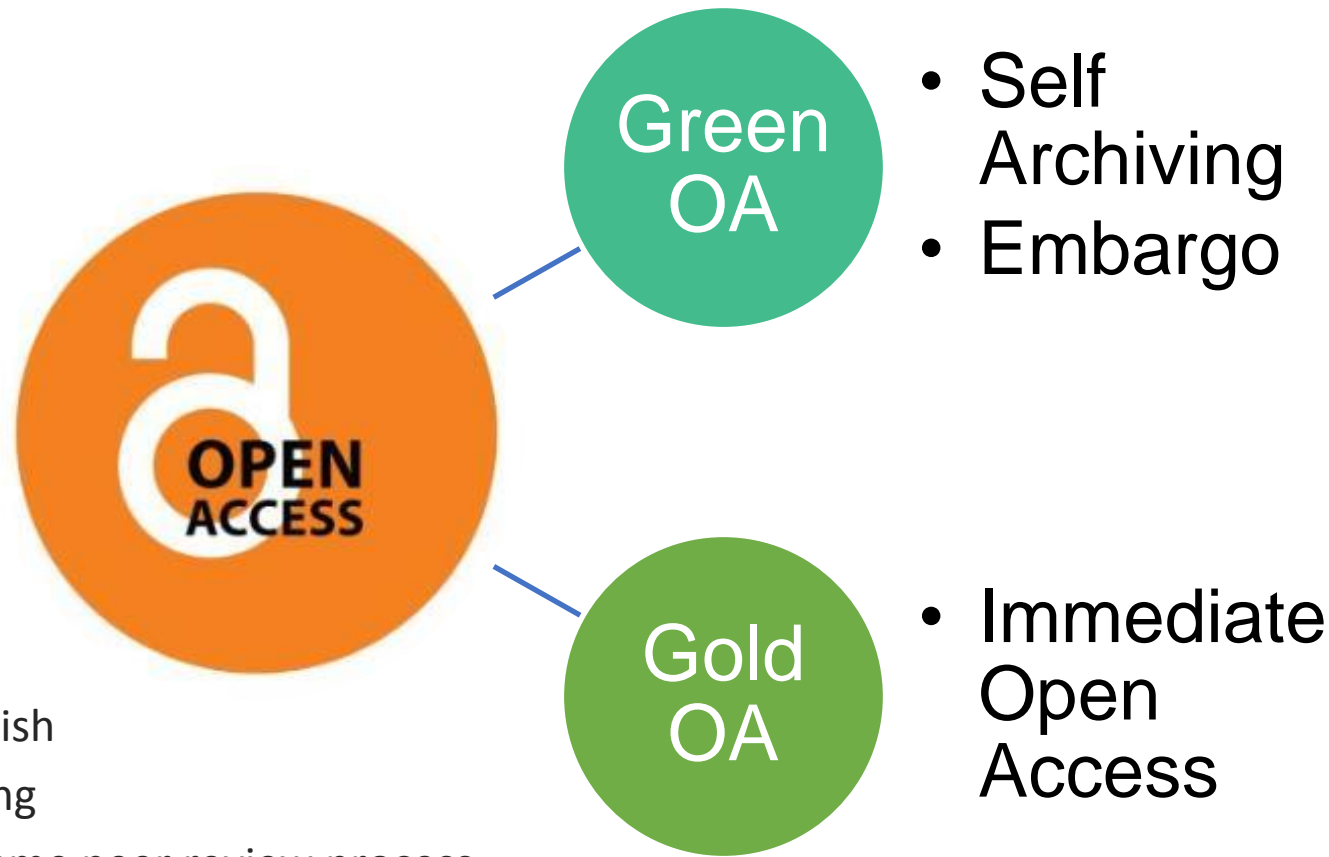
Open Data

- 1 the '**underlying data**' (the data needed to validate the results presented in scientific publications), including the associated metadata (i.e. metadata describing the research data deposited), as soon as possible
- 2 **any other data** (for instance curated data not directly attributable to a publication, or raw data), including the associated metadata, as specified and within the deadlines laid down in the DMP – that is, according to the individual judgement by each project/grantee



Peer-reviewed publications (Open Access)	Research Data (Open Data)
<p>Mandatory Each Horizon 2020 beneficiary must ensure open access to peer-reviewed scientific publications relating to results of the project.</p> <p>It is not, however, an obligation to publish and does not override any prior decisions to seek IP protection.</p>	<p>A flexible pilot under Horizon 2020 called the Open Research Data Pilot (ORD Pilot) gives open access to research data by default.</p> <p>“As open as possible, as closed as necessary.” Grantees have the possibility to opt out at any stage, but need to say why.</p>
<p>Self-Archiving > GREEN Open Access The final peer-reviewed publication is deposited in an online repository of choice, often after an embargo period set by the publisher. Beneficiaries must ensure open access to the publication within a maximum of six months (twelve months in the social sciences and humanities).</p> <p>Open Access Publishing > GOLD Open Access Publication in Open Access journals. Open access to the peer-reviewed publication is provided immediately, often by paying a fee to the publisher. Note that a copy of the publication still needs to be deposited in a repository.</p>	<p>Deposit data in a repository of choice.</p> <p>Open access to data underlying the consortium’s scientific publications, as well as any other research data of choice.</p> <p>H2020 projects must have a Data Management Plan (DMP), unless they have opted out of the ORD Pilot.</p>
<p>Open access costs are eligible for funding, if they fulfil the general eligibility conditions specified in the Grant Agreement.</p>	<p>Data management costs are fully eligible for funding, if they fulfil the general eligibility conditions specified in the Grant Agreement.</p>





WHAT OA is NOT:

Not an obligation to publish

Not at odds with patenting

OA publications go the same peer review process

RESEARCH DATA – OPEN BY DEFAULT



RESEARCH DATA – OPEN BY DEFAULT

Data management costs are fully eligible for funding



No repository imposed:
deposit data where you want



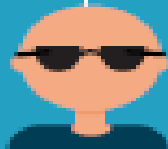
AS OPEN AS POSSIBLE, AS CLOSED AS NECESSARY

Grantees have the right to opt-out, but need to say **why**



Top three reasons for opt-out:

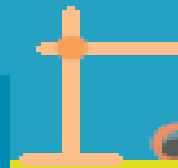
privacy



intellectual
property rights



might jeopardise
project's main
objective



Opt-out option are foreseen at any crucial phase: application; grant agreement preparation; after signature

- If the project will not generate / collect any data
- Conflict with **obligation to protect results**
- Conflict with **confidentiality** obligations
- Conflict with rules on **protection of personal data**
- Conflict with security obligations
- If participation to Open Research Data Pilot would jeopardise the achievement of the main aim.
- Other legitimate reasons (free text box in proposals)



Make your research data available FAIR and free of charge!



To find out more on how to setup your Data Management Plan, please take a look at the Online Manual on Data Management, which also provides a template in its Annex 1.



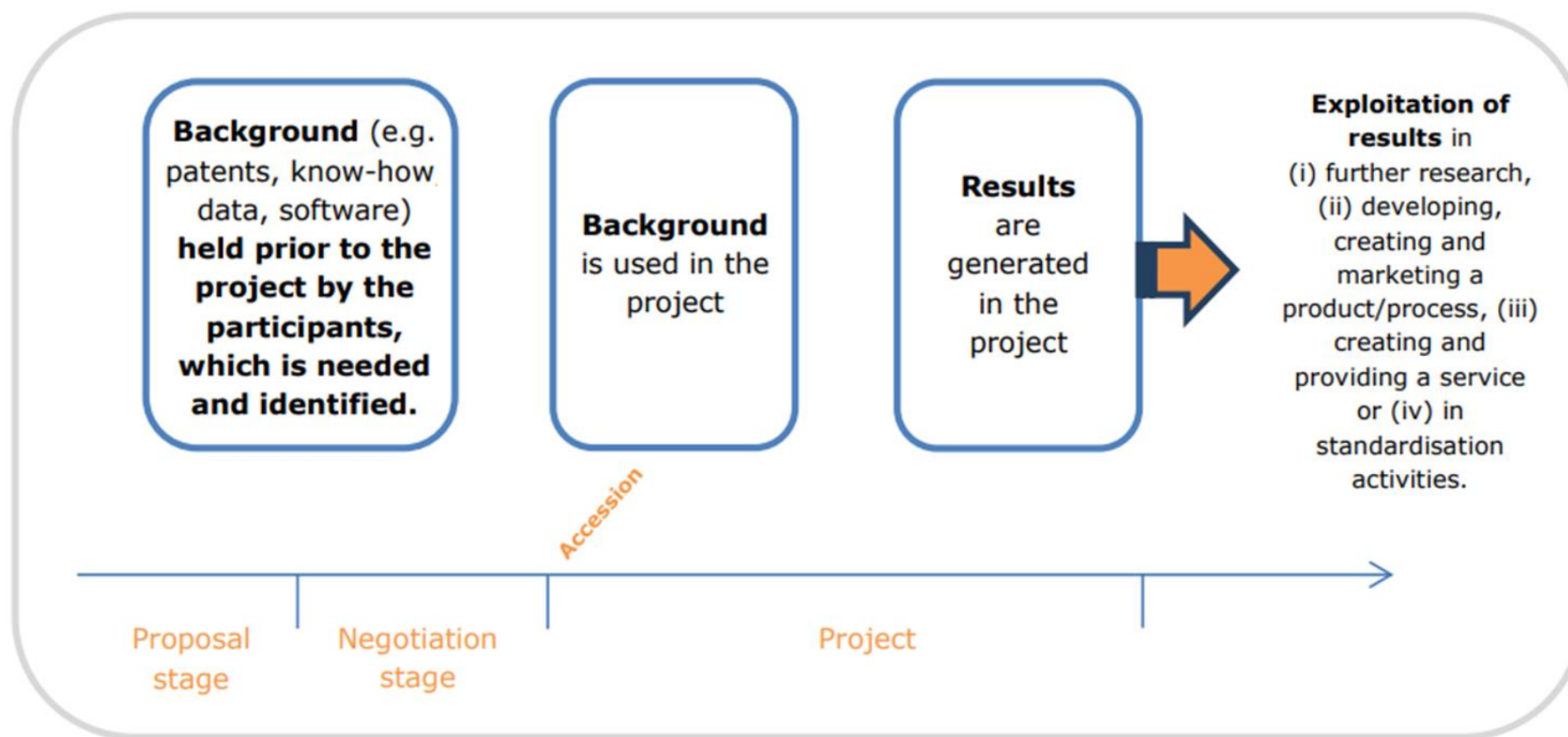


IP Managament



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Gestione della conoscenza (IP)



*Outline the strategy **for knowledge management and protection.***

(...) You will need an appropriate Consortium Agreement to manage (amongst other things) the ownership and access to key knowledge (IPR, data, etc.).



H2020 Programme

Proposal template 2018-2020

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Innovation Actions (IA)

Version 3.4
1 February 2018

26/01/2017

Intellectual Property rules

The IP rules in Horizon 2020 can be found in:

- (i) the **Rules for Participation**
- (ii) the (model) **Grant Agreement**
- (iii) the applicable **work programme**
- (iv) H2020 **Online Manual**: IP section is a work in progress

How to find: **Participant Portal**

Costs reimbursements


- Costs of intellectual property rights (IPR), including protecting results (e.g. fees paid to the patent office for patent registration) and royalties on access rights are **eligible costs**

Further information

Example of fact sheets available in the website:

- IP management in Horizon 2020: at the proposal stage
- IP management in Horizon 2020: at the grant preparation stage
- IP management in Horizon 2020: at the implementation stage
- Open access in Horizon 2020
- Publishing v. patenting
- Exploitation channels for public research results and series on commercialising IP

Check www.iprhelphdesk.eu/library !



For regular updates on our
communication, dissemination
and exploitation training activities,
please visit our website under
www.iprhelphdesk.eu/training

For further questions and general IP advice, please contact our Helpline team:

service@iprhelphdesk.eu

Phone +352 25 22 33-333 (Helpline)

Fax + 352 25 22 33-334 (Helpline)

www.iprhelphdesk.eu

Prodotti

- ✓ News di progetto
- ✓ Eventi di progetto
- ✓ **Comunicato stampa**
- ✓ **Video**
- ✓ **Infografiche**

- ✓ **Policy Brief**
- ✓ **Newsletter**
- ✓ **Pubblicazioni**

- ✓ (...)

never

forget

about

the

WHY

Contact me

Chiara Buongiovanni
buongiovanni@apre.it
@clarainbeta

buona fortuna!

