



European IP Helpdesk

Stay ahead of the innovation game.

Effective IP and Outreach Strategies
Help Increase the Impact of Research
and Innovation

Stephanie Weber & Jörg Scherer, 19 April 2023





European IP Helpdesk

- Service initiative of the European Commission
- Addressing **current and potential beneficiaries of EU-funded projects, researchers and EU SMEs**
- Free-of-charge first-line support on intellectual property (IP)
- Hands-on IP and innovation management support
- International pool of IP experts from various thematic fields
- Unique cooperation scheme with the Enterprise Europe Network: 44 ambassadors from 27 EU countries





The EC IP Helpdesks





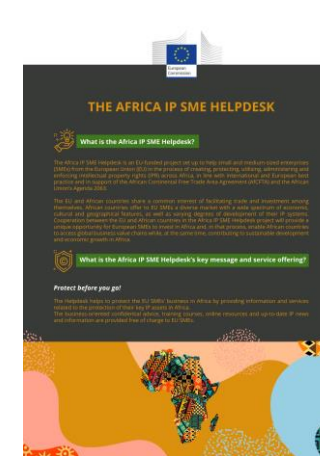
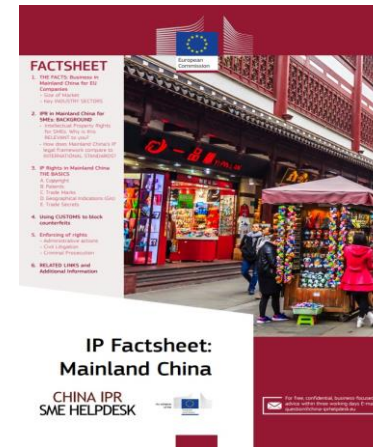
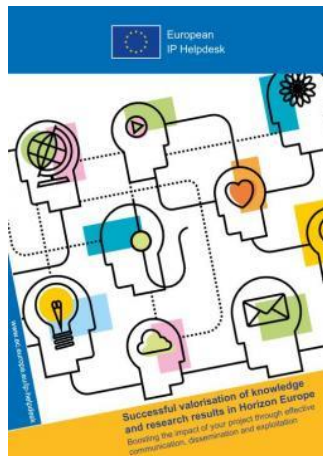
Upcoming webinars

Europa - Upcoming events

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|--------------------------------------|--|--------------------------------------|---|
| <p>11
APR
2023</p> | <p>Training and workshops
EU - Webinar: IP in Business collaborations for SMEs and Start-ups</p> <p>📺 Live streaming available</p> | <p>19
APR
2023</p> | <p>Training and workshops
EU - Webinar: Effective IP and Outreach Strategies Help Increase the Impact of Research and Innovation</p> <p>📺 Live streaming available</p> |
| <p>20-21
APR
2023</p> | <p>Conferences and summits
EU-Startups Summit 2023</p> <p>📍 Barcelona, Spain</p> | <p>25-28
APR
2023</p> | <p>Conferences and summits
EU Knowledge Valorisation Week 2023</p> <p>📺 Live streaming available</p> |
| <p>25
APR
2023</p> | <p>Training and workshops
IP assessment: how to improve informed decision-making</p> | <p>26
APR
2023</p> | <p>Training and workshops
EU - Webinar: IP and Artificial Intelligence - Advanced</p> <p>📺 Live streaming available</p> |
| <p>27
APR
2023</p> | <p>Training and workshops
EU - Webinar: IP Commercialisation & Licensing - Advanced</p> <p>📺 Live streaming available</p> | <p>27
APR
2023</p> | <p>Training and workshops
IP assessment: how to improve informed decision-making</p> |
| <p>02
MAY
2023</p> | <p>Training and workshops
EU - Webinar: IP & Open Science</p> <p>📺 Live streaming available</p> | <p>03
MAY
2023</p> | <p>Training and workshops
EU - Webinar: Maximizing the Impact of Horizon 2020 project results</p> <p>📺 Live streaming available</p> |
| <p>03
MAY
2023</p> | <p>Training and workshops
IP assessment: how to improve informed decision-making</p> | <p>04
MAY
2023</p> | <p>Training and workshops
EU - Webinar: IP for Future and Emerging Technologies</p> <p>📺 Live streaming available</p> |
| <p>10
MAY
2023</p> | <p>Training and workshops
EU - Webinar: IP in EU funded projects with a special focus on MSCA</p> <p>📺 Live streaming available</p> | <p>11-12
MAY
2023</p> | <p>Conferences and summits
PATLIB 2023</p> <p>📺 Live streaming available</p> |



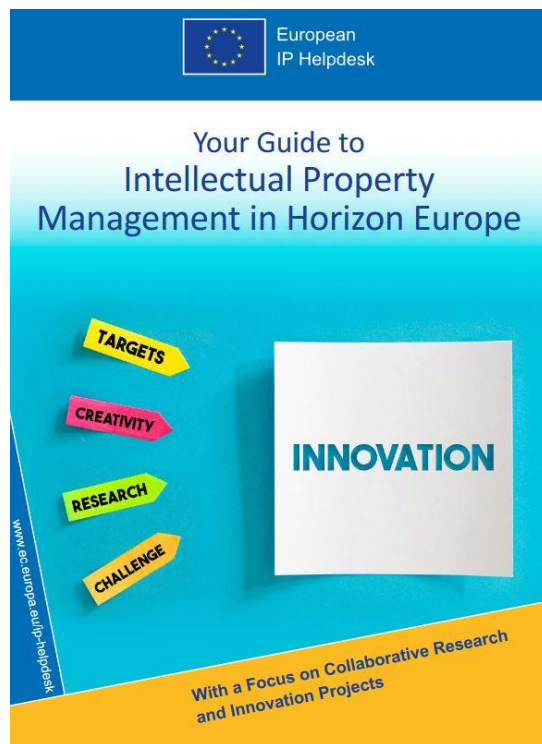
EC IP (SME) Helpdesk Hub – Gateway to Information



- E-learning modules & more
- Guides / Topic, country, sector-specific factsheets / Infographics
- Case studies



Your Guide to Intellectual Property management in Horizon Europe

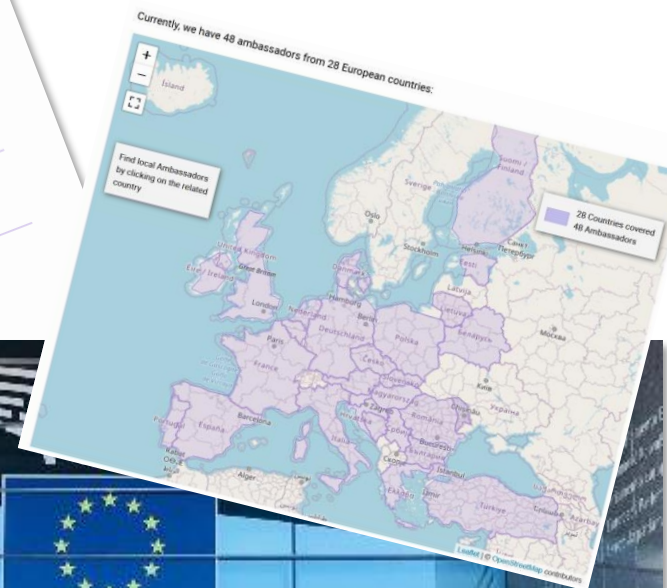


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Ambassador Scheme

- **Cooperation scheme** with the Enterprise Europe Network (EEN): 44 ambassadors – 27 countries
- **Building IP capacities** among European SMEs
- **Overcoming language barriers**
- Making the topic **more accessible**
- Exchange and feedback from ambassadors on **needs of SMEs**
- Local **awareness** and **training events**





Today's Roadmap

- **Setting the Scene**
Why you should care about communication, dissemination and exploitation in your Horizon project
- **Terminology & Concepts**
What are key features, distinctions and touching points?
- **Ready, Set, Action!**
Putting outreach and IP strategies into practice





Setting the Scene





Make a difference – make an impact.

Implementation Strategy: guiding principles

- Maximising impacts
- Greater transparency and further simplification (model grant agreement and guidance to beneficiaries)

Horizon Europe legislation defines three types of impact tracked through **Key Impact Pathways**



Communication, dissemination and exploitation activities are an **integral part of Horizon projects** – and in Horizon Europe in particular! - to help **maximise the impacts** of EU research & innovation funding.



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.”*





Communicat

European Commission

English

Search

Home > ... > Research by area > Industrial research and Innovation > EU valorisation policy > Knowledge Valorisation Platform

Knowledge Valorisation Platform

About the platform, hot topics, best practices, get involved, events, news and background



The Knowledge Valorisation Platform connects players in the EU with the common goal to transform the excellent research results and data we produce in Europe into sustainable products and solutions for the benefit of all - be it

Code of practice on the management of intellectual assets for knowledge valorisation

Commission Recommendation



"Intellectual assets management is key for both individuals and organisations to improve their ability to collaborate, communicate and valorise knowledge. Together with stakeholders, we have developed a code of practice to support the Guiding Principles for knowledge valorisation and promote the effective use and sharing of intellectual assets."

Mariya Gabriel
Commissioner for Innovation, Research, Culture, Education and Youth

Intellectual asset means any result or products generated by any R&I activities (such as intellectual property rights, data, know-how, prototypes, processes, practices, technologies, software).

The **code of practice** provides guidance for R&I actors to successfully manage their intellectual assets in order to maximise the socio-economic benefits of research results and innovative technologies for the EU taking into account sustainability.

Key elements

- Revised guidance**
Replaces the 2008 code of practice for universities and other public research organisations to reflect the changes in the R&I landscape.
- Inclusiveness**
Co-creation with a wide range of R&I stakeholders with an interest in intellectual assets management through a community of practice
- From ideas to market**
Identifying the most suitable means to control intellectual assets, to find the appropriate markets and to involve business partners

RESEARCH & INNOVATION EU KNOWLEDGE VALORISATION WEEK

25-28 April 2023

MAKING RESEARCH & INNOVATION RESULTS WORK FOR A RESILIENT AND SUSTAINABLE EUROPE

PROGRAMME

Supporting public health, creating business opportunities, working on the green transition, strengthening democracy - we can all benefit from research in life. The Guiding Principles for Knowledge Valorisation is the new pan-European initiative to turn research and innovation results into solutions more effectively.

At the EU Knowledge Valorisation Week, you will hear about inspiring examples of putting these guidelines into practice for the public good and your own goals. This is a forum to exchange experiences and discover novel approaches of creating value from scientific findings and inventions.

The three thematic days of the Week will focus on valorisation for sustainability, management of intellectual assets and industry-academia cooperation. With the ongoing economic shifts, those who develop and produce the technologies of tomorrow's net zero economy will clearly have the greatest competitive edge and impact on prosperity and well-being. The webinars will highlight such opportunities through peer learning.

Practitioners will also explain how the brand-new European Codes of Practice on intellectual assets management and on standardisation can help your work.

Inspired by the European Year of Skills, the Knowledge Valorisation Week will provide hands-on training for researchers, young innovators and anyone interested. On Friday, you can advance your skills in intellectual assets management in a series of free online courses.

Knowledge Valorisation

HORIZON RESULTS PLATFORM

MAKING RESEARCH RESULTS WORK FOR A RESILIENT AND SUSTAINABLE EUROPE

"Turning Europe's research results into innovations which generate value for economic growth and contribute to a sustainable future."

LAB - EAP - ACP innovation in the European future

Open Research Europe

Submit your research

Rapid & Transparent Publishing

Fast publication and open peer review for research stemming from Horizon 2020 funding across all subject areas.

- Subject Areas | Browse all >
- Natural sciences
 - Engineering and technology
 - Medical and health sciences
 - Agricultural and veterinary sciences
 - Social sciences
 - Humanities and the arts



Dissemination & Exploitation under Horizon Europe

- **D&E (incl. communication activities) as integral part of the Key Impact Pathway** to demonstrate the contribution to the impact on society
- **Improvements on the proposal/reporting template** to introduce more specific language on D&E
- **Emphasis on continuous reporting** on D&E (even after the end of the project)
- Encouragement of **third-party exploitation** (where appropriate)
- Provision of **supporting tools/platforms**



What is in it for you?

- Improves your proposal's **chances of success**
- **Increases the visibility** of your research/business, **enhances your reputation** and helps gain understanding and support
- **Opens up other funding sources and business opportunities** by explaining how your project successfully tackles current issues and challenges
- **Supports the spread of knowledge** and allows that **knowledge to be built upon**





Contractual Obligations & Rights

Horizon 2020

- **Rules for Participation**
- **Horizon 2020 Model Grant Agreement**
 - **Article 38:** Promote the action and its results
 - **Article 29:** Disseminate results
 - **Article 28:** Take measures aiming to ensure ‘exploitation’ of the results

Horizon Europe

- **Rules for Participation**
- **Horizon Europe Model Grant Agreement**
 - **Article 16:** Intellectual Property Rights (IPR) – Background and Results – Access Rights and Rights of Use
 - **Article 17:** Communication, Dissemination & Visibility
 - **Annex 5** “Specific Rules”



Open Science policy under Horizon Europe

- Beneficiaries must **retain sufficient intellectual property rights to comply with the open access requirements** related to scientific publications
- Require **research data to be FAIR and open by default** (with exceptions notably for commercial purposes) → *“as open as possible, as closed as necessary”*
- **Engage and involve citizens**, civil society organisations and end-users in co-design and co-creation processes and promote responsible research and innovation
- Launch of **“Open Research Europe” open-access publishing platform** to host Horizon 2020 (and later Horizon Europe) beneficiaries’ publications



Obligation to Disseminate vs. Obligation to Protect

Make sure you comply with the obligation to protect, ...

Be aware: Sometimes early disclosure of results may undermine potential future exploitation activities.

THEN

... comply with the obligation to disseminate.

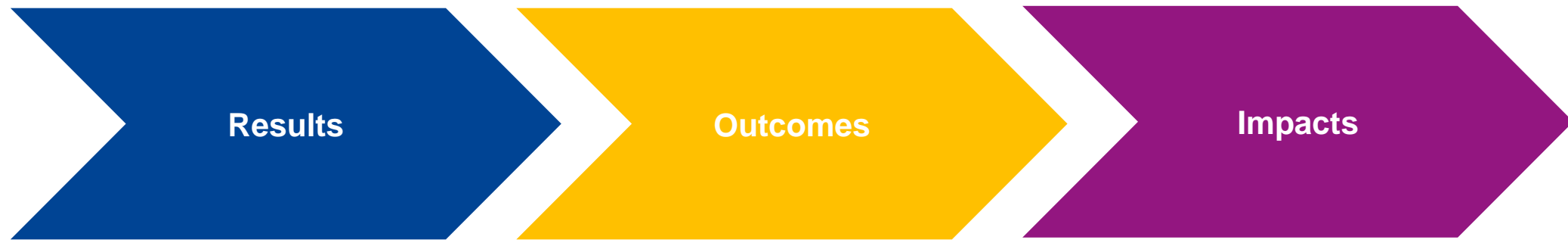


Terminology & Concepts





New in Horizon Europe: Results – Outcomes – Impacts



Additional specification:

- Research outputs
- Key results



Central Definitions



Communication



Dissemination



Exploitation



Communication

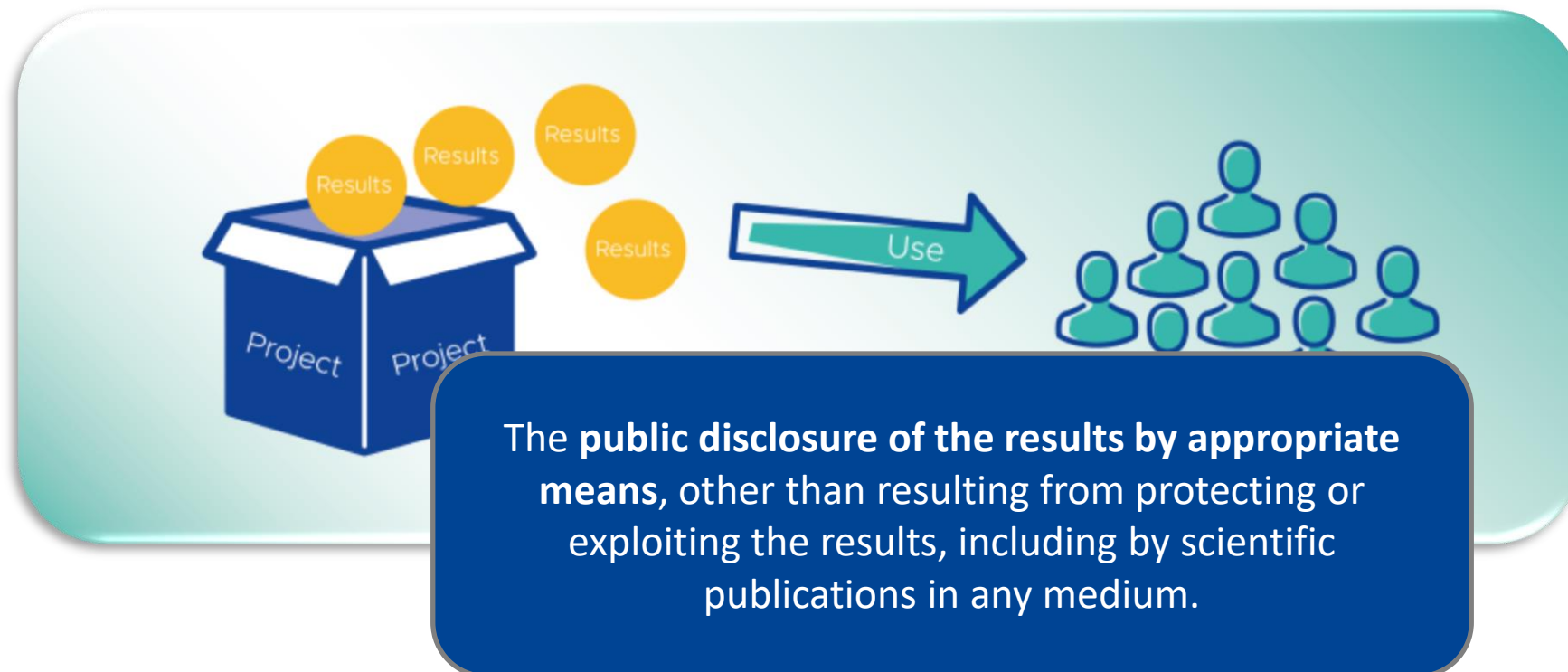


Communication measures should promote the project throughout the full lifespan of the project. The aim is to **inform and reach out to society and show the activities performed, and the use and the benefits the project will have for citizens.***

* Source: Horizon Europe Proposal Template

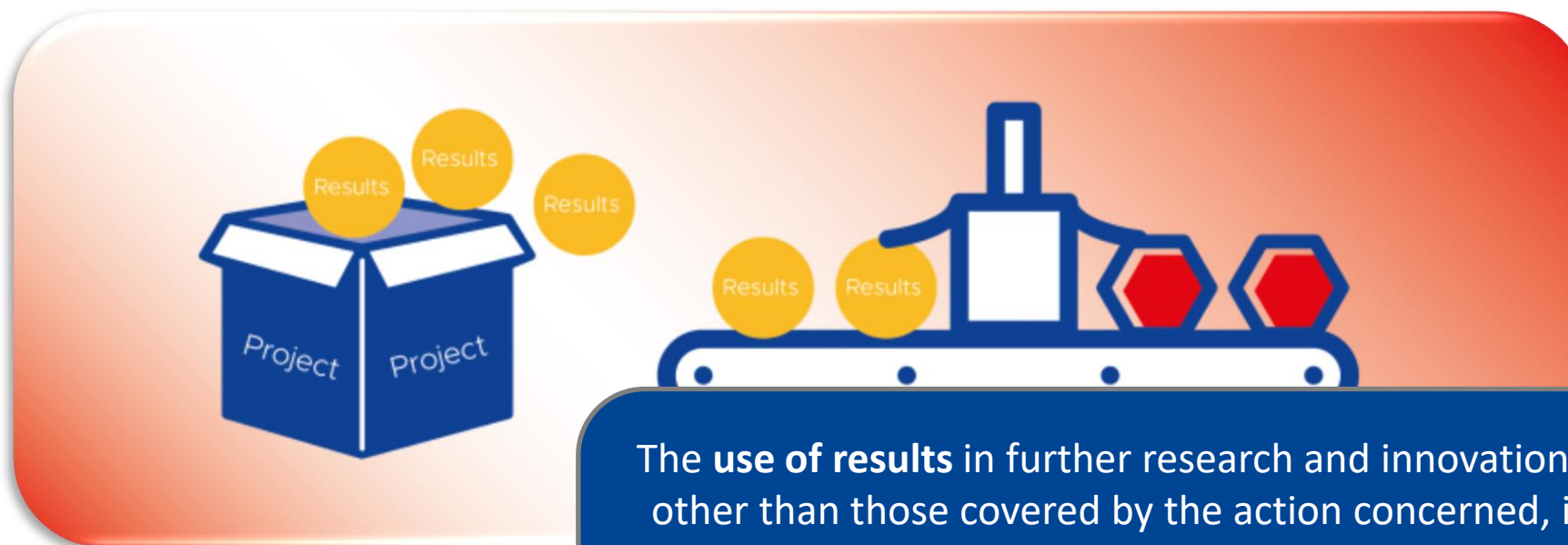


Dissemination





Exploitation



The **use of results** in further research and innovation activities other than those covered by the action concerned, including among other things, commercial exploitation such as developing, creating, manufacturing and marketing a product or process, creating and providing a service, or in standardisation activities.






Communication

Dissemination

Exploitation



<p>Reach out to society and show the impact and benefits of EU-funded R&I activities, e.g. by addressing and providing possible solutions to fundamental societal challenges.</p>	<p>Transfer knowledge & results with the aim to enable others to use and take up results, thus maximising the impact of EU-funded research.</p>	<p>Effectively use project results through scientific, economic, political or societal exploitation routes aiming to turn R&I actions into concrete value and impact for society.</p>	 Objective
<p>Inform about and promote the project AND its results/success.</p>	<p>Describe and ensure results available for others to USE → focus on results only!</p>	<p>Make concrete use of research results (not restricted to commercial use.)</p>	 Focus
<p>Multiple audiences beyond the project's own community incl. media and the broad public.</p>	<p>Audiences that may take an interest in the potential USE of the results (e.g. scientific community, industrial partner, policymakers).</p>	<p>People/organisations including project partners themselves that make concrete use of the project results, as well as user groups outside the project.</p>	 Target Audience



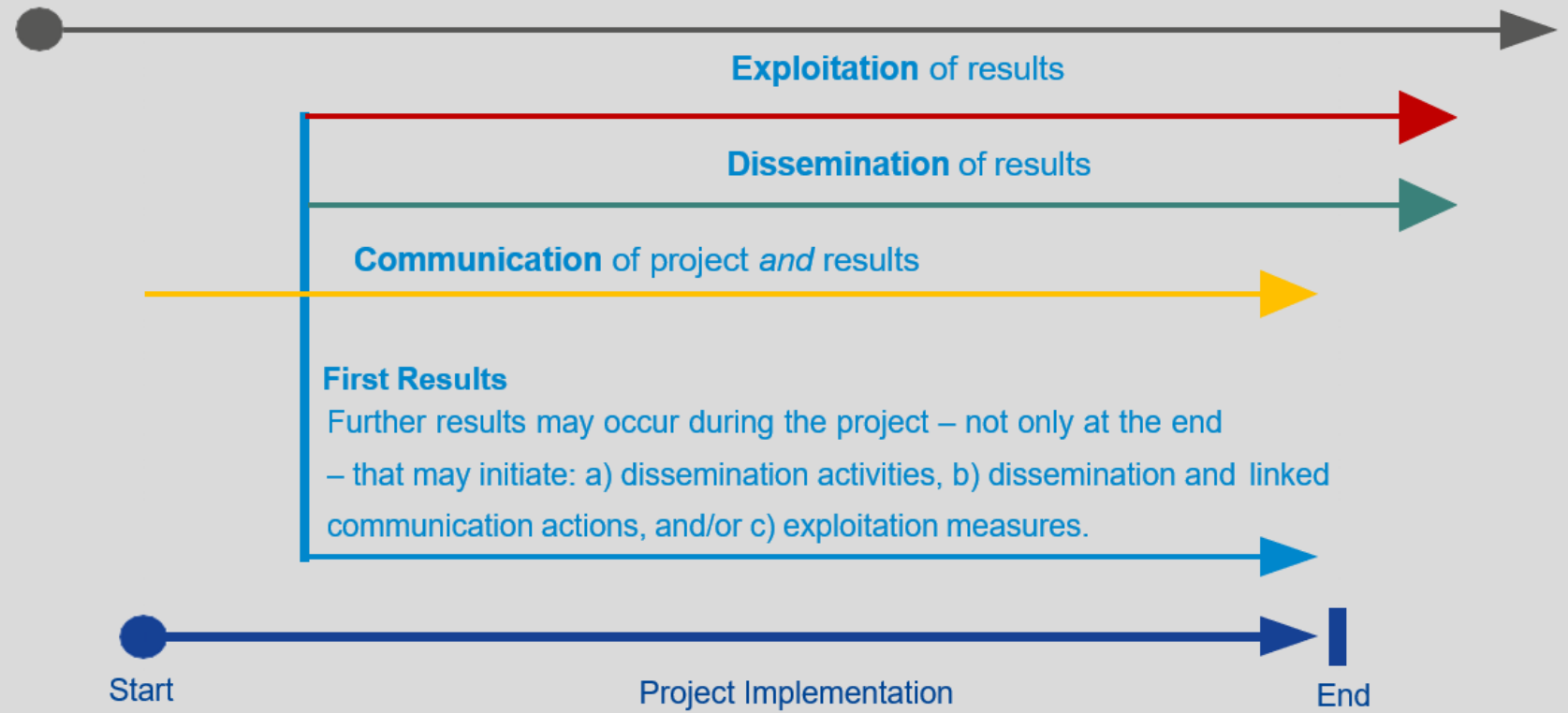
Strategic planning of communication, dissemination and exploitation activities **already starts before the project** at the proposal stage.

New in Horizon Europe:

Applicants have to submit (unless Work Programme says otherwise) a **short description of the D,E & C activities** together with the impact pathways in their proposal

Not a full fledged D&E plan is required at proposal stage, but a **complete exploitation, dissemination and communication plan** has to be submitted during the first 6 months of the project.

Plans need to be constantly monitored, reviewed and potentially adjusted throughout the course of the project.



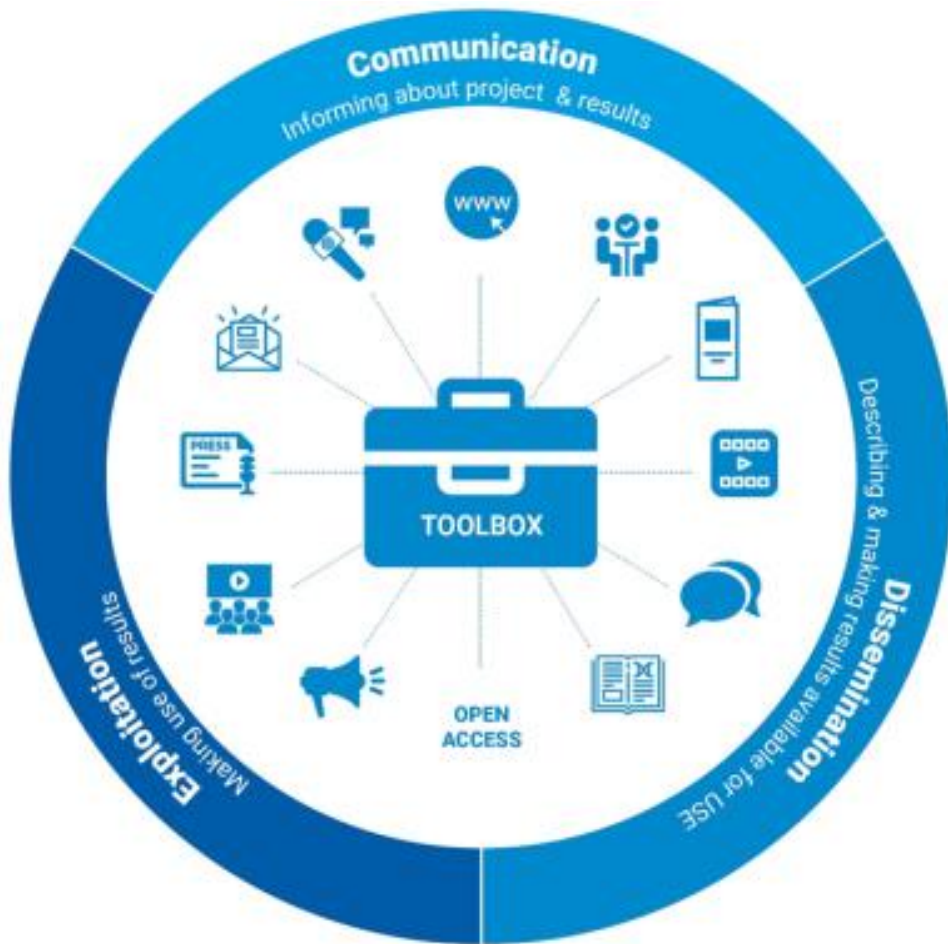


Ready, Set, Action!





Potential Tools





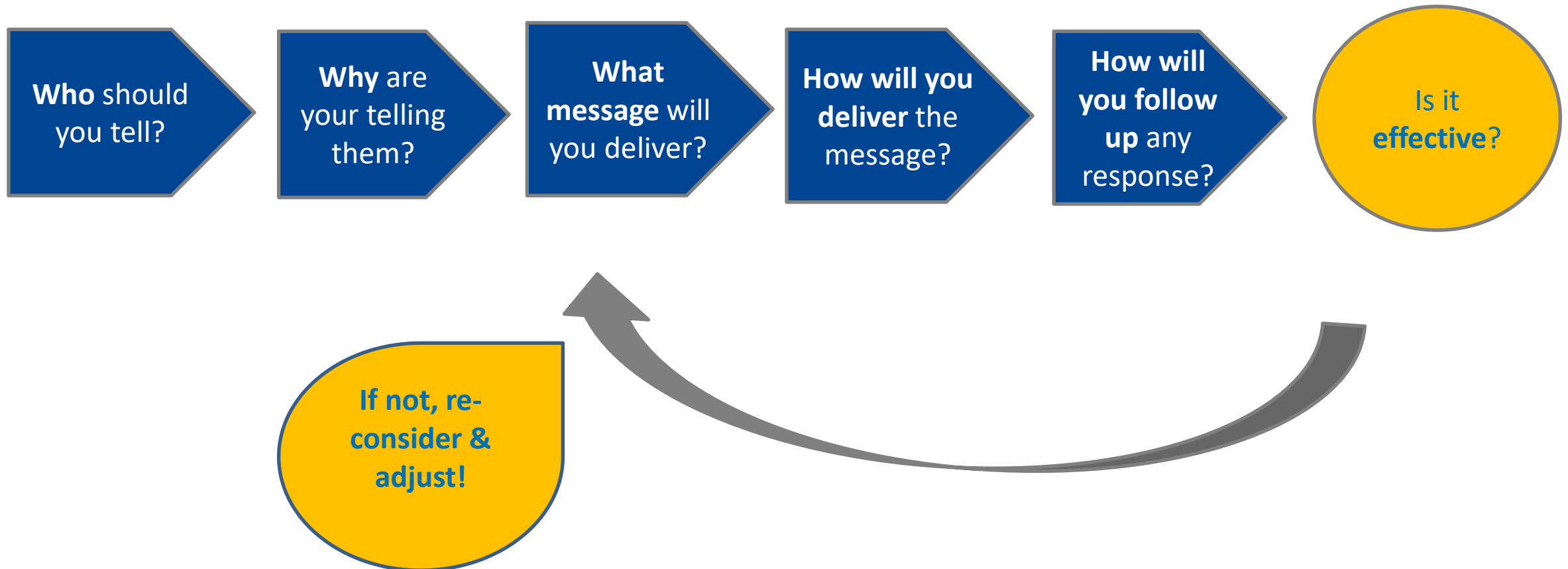
Potential Tools

First **define the purpose** of the communication, dissemination and/or exploitation measure, and **who is addressed by it**, then **identify the right tool** and **carry out the activity** that will optimally convey your message.





Monitoring



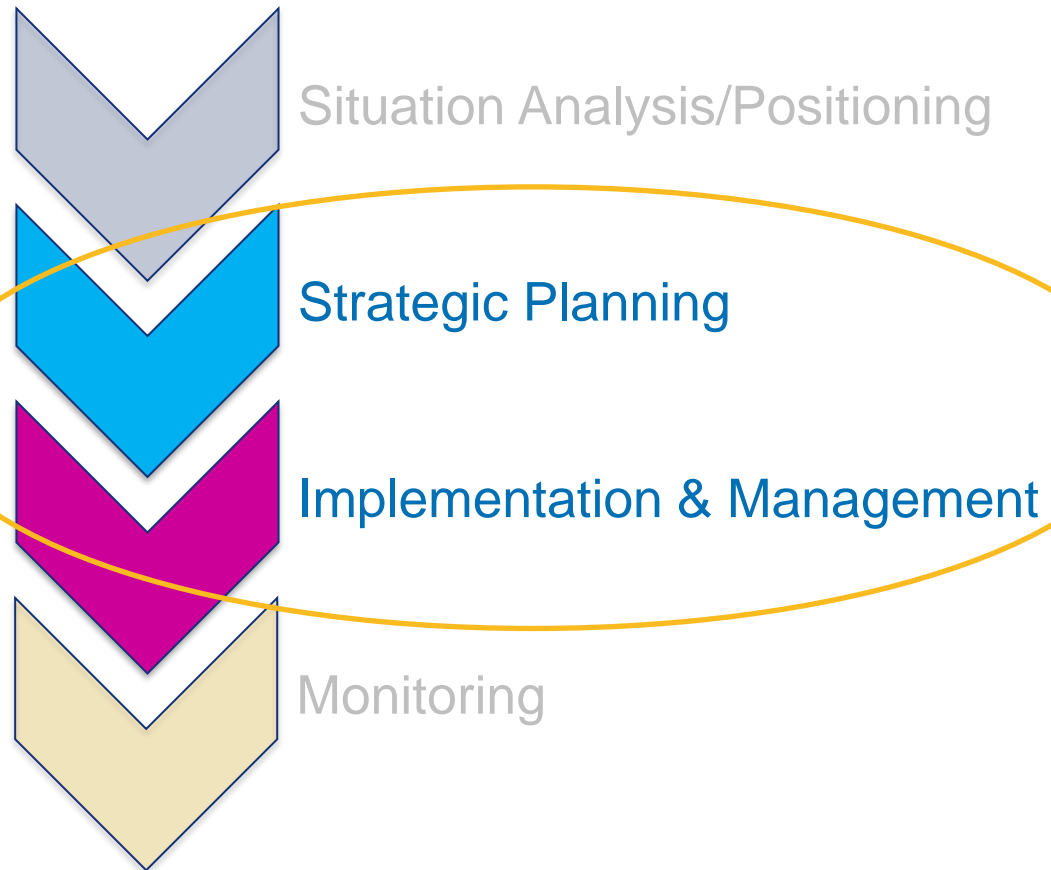


Finding your way ...



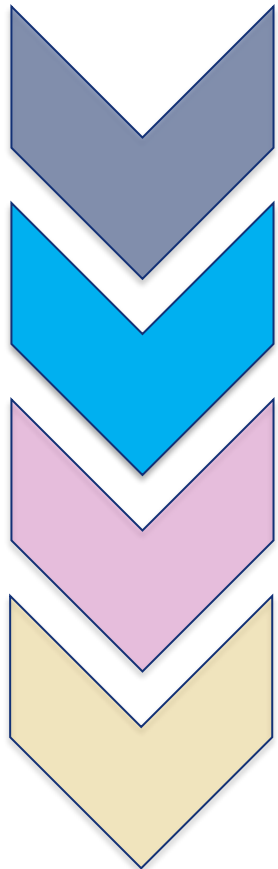


Finding your way ...





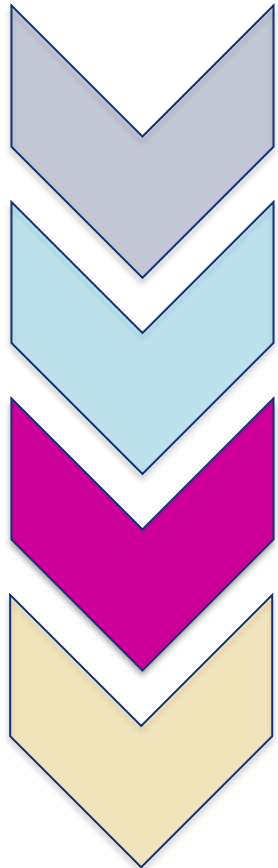
Communication: Strategic Planning



- Define clear (**measurable**) **communication objectives** for the project and the results
- Identify (& potentially prioritise) **target audiences**
- Formulate **key messages**
- Create a distinct “**project branding**” that will ensure a professional, consistent visual appearance of the project across all outreach activities → communication toolkit
- Develop a **communication activity plan** incl. measures, timelines, responsibilities – to be done during the project → identify **communication hooks/angles**
→ *Plan for the “Dissemination and Exploitation, including Communication Activities” mandatory Deliverable (M6)*
- Plan **resources, management & monitoring structures**



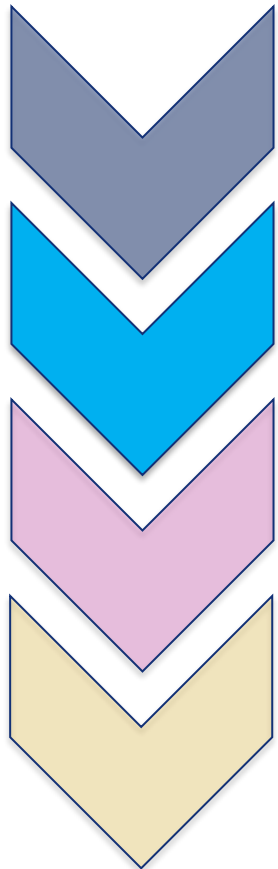
Communication: Implementation & Management



- Bring your message(s) across using adequate **communication tools/media channels**
- **Tell a story**, don't just list facts
- Use your **network and existing resources** within your consortium
- **Think global, act local**: Address media and stakeholders on local and regional level
- Inform EC about activities with **expected large media impact**
- Use communication activity plan as central **management and monitoring tool**



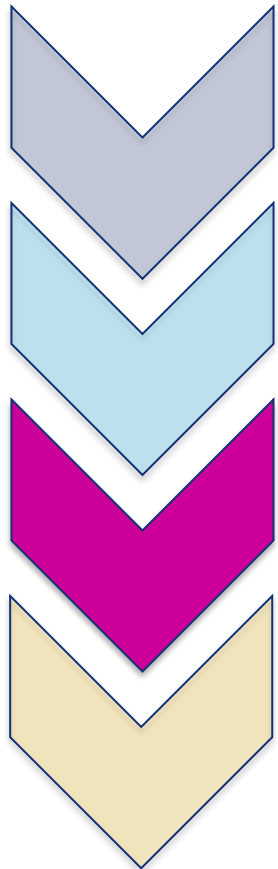
Dissemination: Strategic Planning



- Describe **key exploitable results** which contribute to the expected impacts
- Define **target audiences that will potentially use the results** to maximise the expected impacts
- Identify relevant ways to **actively engage** with the target audiences
- Have a **clear dissemination policy & a strategy for knowledge management**
- Develop a **Plan for the Dissemination and Exploitation** of results, including the management of research data
→ *mandatory Deliverable (M6)*



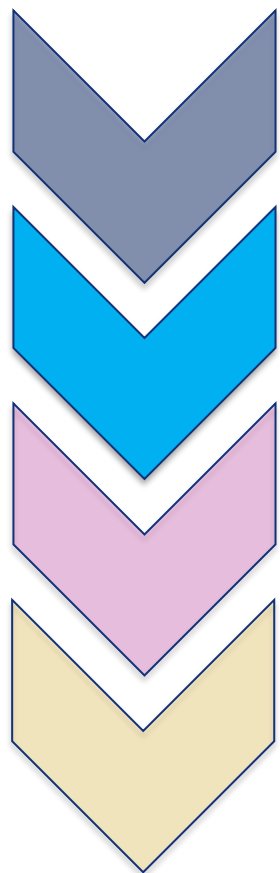
Dissemination: Implementation & Management



- Have **structures and procedures in place** to manage and monitor the plans
- **Coordinate dissemination** to ensure coherence and strategic focus, for instance through:
 - Scientific publications
 - Open Access repositories
 - Conferences/workshops/training
 - Policy Briefs/recommendations
 - (...)
- Ensure **IP management** is integrated with dissemination management
- Keep in mind: **Dissemination drives exploitation** - and vice versa



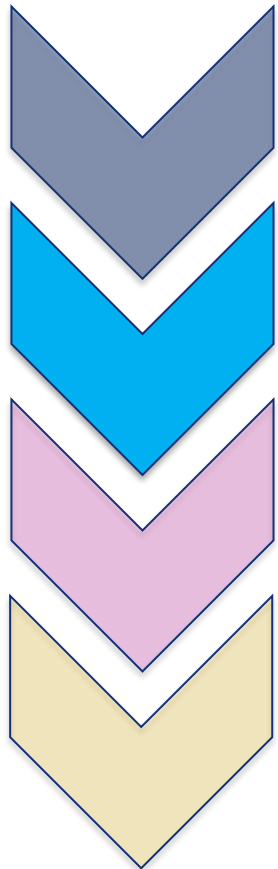
Exploitation: Your Obligations



- The beneficiaries **must take measures** aiming to ensure **exploitation** of their results — either by themselves (*e.g. a beneficiary owning results uses them directly*) or indirectly by others (other beneficiaries or third parties, *e.g. through licensing or by transferring the ownership of results*).
- This is a best effort obligation: The beneficiaries must be proactive and take specific measures to try to ensure that their results are exploited (to the extent possible and justified).
- Exploitation includes commercial and non-commercial objectives: i.e. the use of results in further research and innovation activities, teaching, policy or decision making, commercial exploitation, or in standardisation activities.
- Obligations go beyond the end of the project.



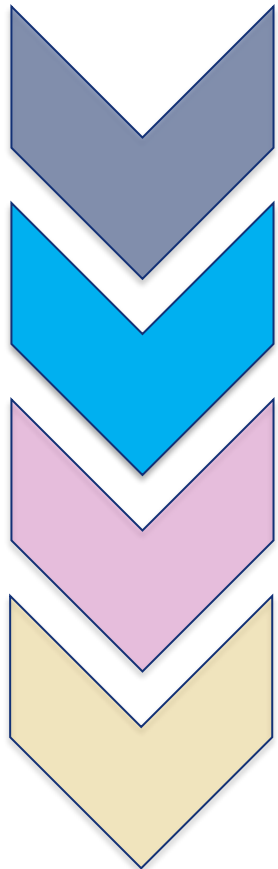
Exploitation: Strategic Planning



- Identify **Key Results**
- Usually the **selection and prioritisation of exploitable results** is based on the “Innovation Potential” of key results
- **Innovation Potential** is determined by a) innovation readiness (TRL), b) innovation management (steps/capabilities for execution), c) market potential (demand/barriers)
- Develop **exploitation strategies** corresponding to the nature of the different results and their target users → identify and choose appropriate exploitation pathways



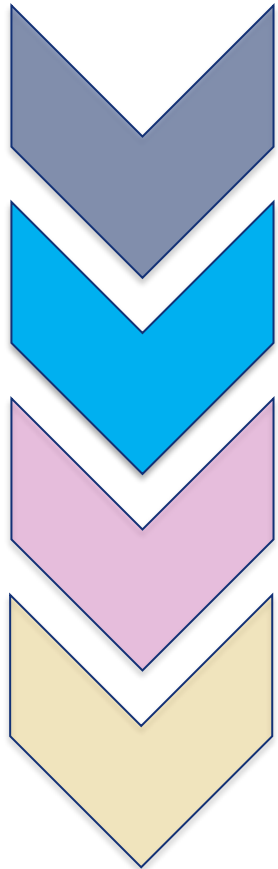
Exploitation: Strategic Planning



- Define **main target groups/markets** and “offers” (mostly: bundles of research outputs) for each target group
- If relevant, identify and address “**take-to-market**” **partners**
- Identify conditions for market deployment, i.e. financial investments, regulatory approvals, standards, prototypes, proofs of scale-up, etc. Is any further work (investment/funding) envisaged to convince your targets (e.g. proof of concept/scale-up)?



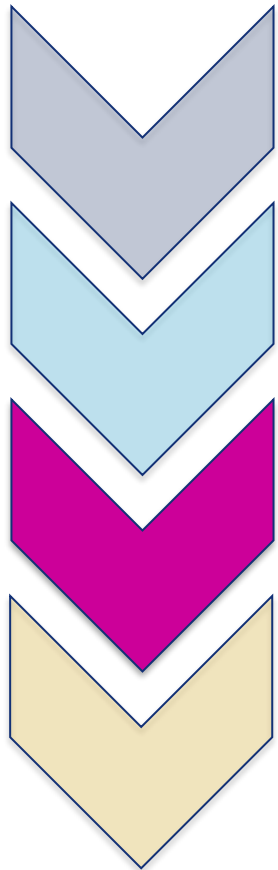
Exploitation: Strategic Planning



- Consider **potential barriers/obstacles**, and how to overcome them. In case of commercial exploitation, consider Freedom-To-Operate (F-T-O) analysis
- Demonstrate how interested parties will get **access to results**, and under which terms
- Define **exploitation pathway(s)/RIAs** or **business model(s)/IAs**



Exploitation Roadmap



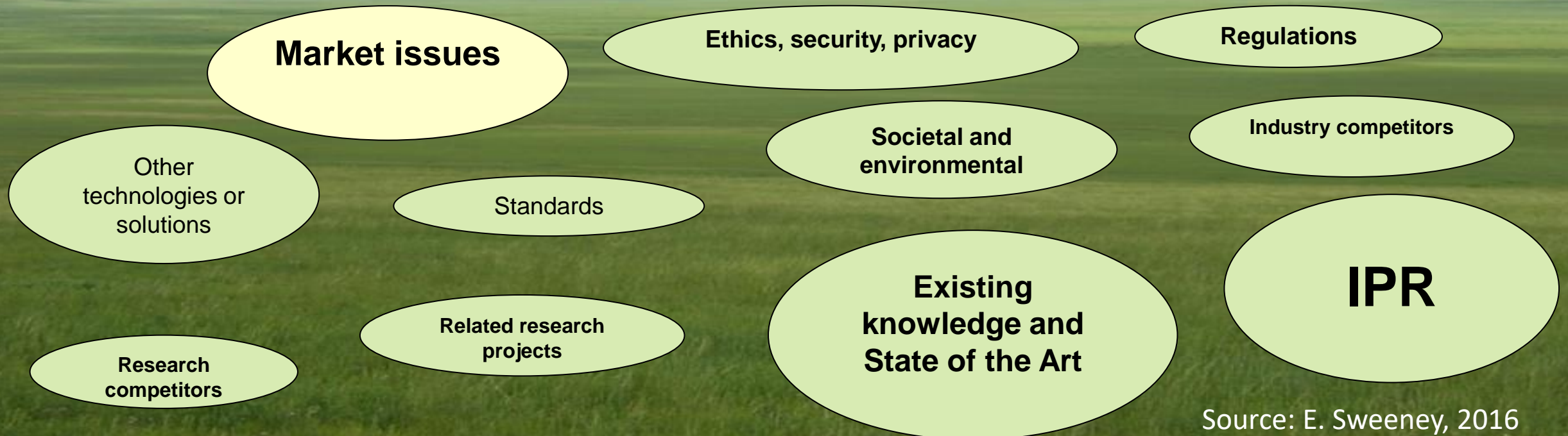
Understand the landscape, develop a credible exploitation strategy and plan the exploitation route(s)



Understand the landscape

Strategic intelligence – components for a sound exploitation & impact strategy

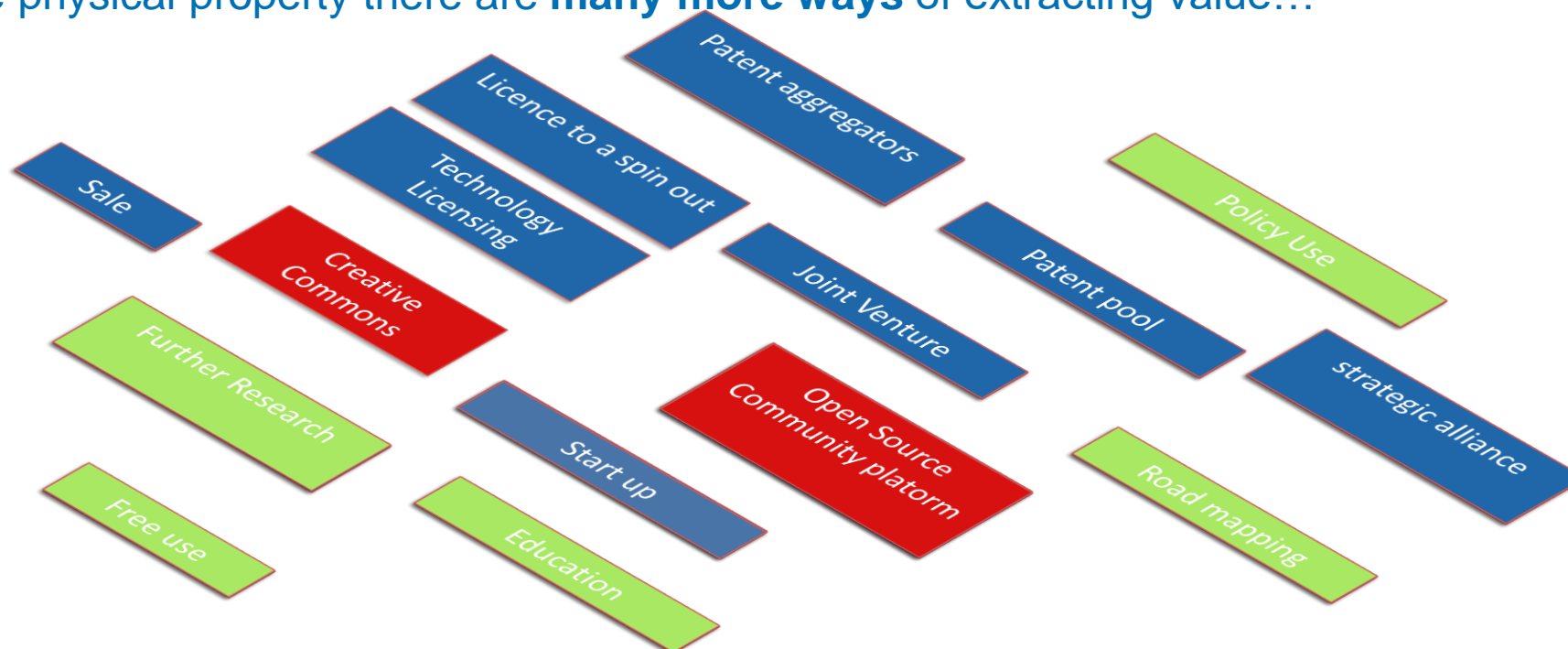
*WP and Call Challenges,
Objectives & Topics; Expected Impact*





Exploitation Pathways

- Project outputs are **valuable intellectual assets** which, like physical property, can be **used and traded** – bought, sold or leased, used in JV's, or as collateral
- But, unlike physical property there are **many more ways** of extracting value...





Licensing

- The beneficiaries may grant licences to their results, including on an exclusive basis
- *Exclusive* licences (e.g. for commercial exploitation) may be granted only if all other beneficiaries have waived their access rights.
- The beneficiary must formally notify the granting authority in advance (via the Funding & Tenders Portal) of any planned transfer or exclusive licence.
- A notification before the results are generated is allowed, if the specific results concerned (and the details of the transfer/licence) can already be identified so an assessment can be made.
- Requests for access to results needed for exploitation for must be made —unless agreed otherwise in writing —up to one year after the end of the action.



New:

The provision of a **results ownership list (ROL)** is **mandatory** at the end of the project.

In case of joint exploitation – do not forget to rule ownership issues and access rights to results of consortium partners beyond the project duration



Results Ownership List

- The **results ownership list (ROL)** will take the form of a template to be filled out in the final periodic report listing the owner of the results (be it a beneficiary or other legal entity).
- In case of joint ownership, all joint owners must be listed even if (some of) the joint owners are not members of the consortium. The results ownership list provides a snapshot in time meaning that ownership changes may happen after the submission of the final periodic report.
- Failure to fill in the results ownership template will block the submission of the final periodic report and hence the final payment. However, difficulties in determining the ownership of the results will not bar the submission of the results ownership list. If the ownership of the results is not clear, the beneficiaries will have to indicate all potential owners.



Obligations of beneficiaries to exploit their results and the **Horizon Results Platform**

- 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.

<https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/opportunities/horizon-results-platform>



Horizon Results Platform

- Publishing results in the Horizon Results Platform ensures high visibility to a variety of potential users and stakeholders including industry, academia, investors, public administrations, etc and may lead to finding help to exploit the results directly (e.g. financing) or finding third parties which may be interested to exploit the results.

Examples for potential use of the platform:

- *Beneficiaries have developed a prototype and have jointly filed for intellectual property protection, however they do not have the capacity to bring the results to the market.*
- *Beneficiaries in a project have developed R&I policy recommendations and guidelines to be used by public authorities in case of water pollution resulting from industrial activities. The beneficiaries would like to see them being used but despite their best efforts they have not managed to have local authorities use them.*



Horizon Results Platform

However, if justified on the basis of a request of the beneficiary, the obligation to use the Horizon Results Platform may be waived.

Examples:

- *A beneficiary is intending to exploit certain key exploitable results commercially, either directly or indirectly, but awaits a marketing authorisation before being able to do so.*
- *Two beneficiaries owning results are close to finalising an agreement with a third party to exploit certain key exploitable results.*



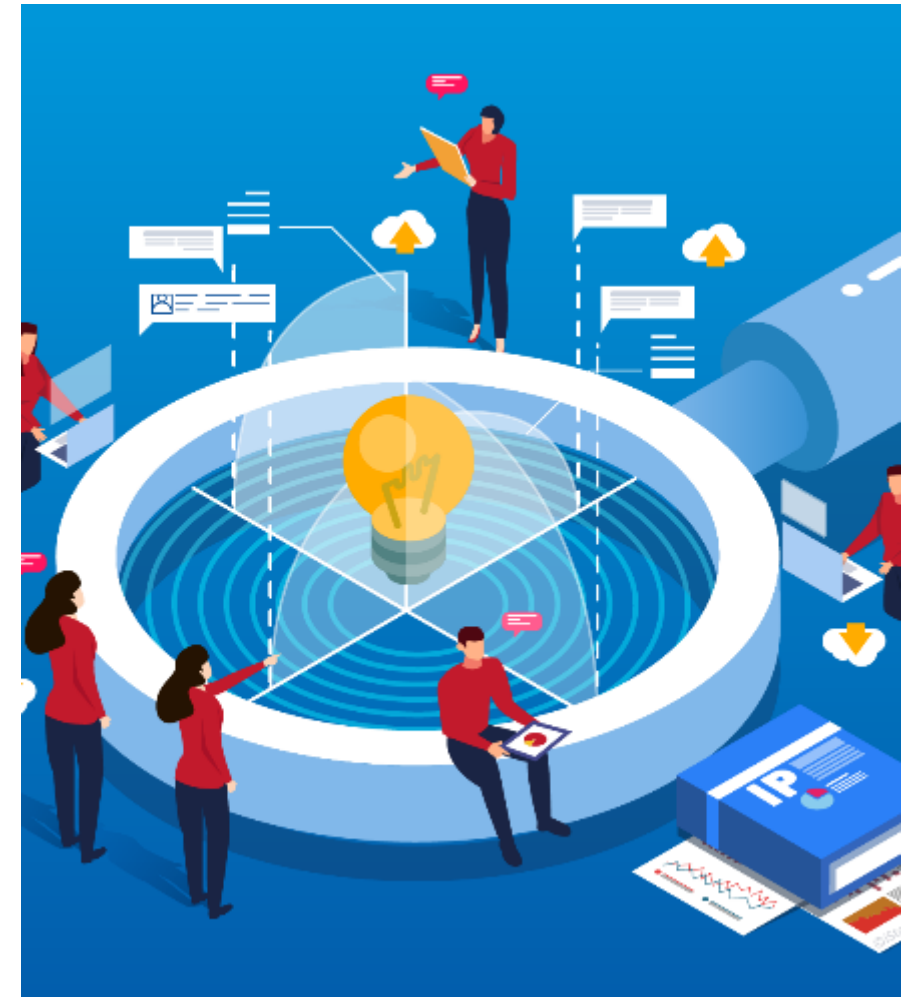
EC support services

- Beneficiaries should consider applying for dissemination and exploitation support services, including go to market support and IP management provided by the Commission during and after the end of their action i.e.
 - the Horizon Results Booster
 - the European IP Helpdesk
 - the Horizon IP Scan (focus on the starting phase of actions)



Horizon IP Scan

- A new EC innovation advisory and support measure within the "2020 IP Action Plan"
- Open for applications since May 2021 – running until November 2023
- For SMEs involved in collaborative HEU projects





Horizon IP Scan

- Show SMEs involved in collaborative Horizon projects how to **protect their existing IP** when embarking on a research and innovation endeavour with multiple partners;
- Assist them in developing a **shared strategy** with their partners **to manage and exploit new IP jointly generated** in their project.
- Following a continuous open call scheme, SMEs can apply for the service any time via the Horizon IP Scan website.



Find out more

General

- [EU Funding Programmes 2021-2027: Online Manual](#)
- [Horizon Europe: Model Grant Agreement](#)

Communication Activities

- Brochure: [Successful valorisation of knowledge and research results in Horizon Europe : boosting the impact of your project through effective communication, dissemination and exploitation](#)
- Online Manual: [Disseminating & Exploitation of Results: Communicating Your Project](#)
- Guide: [Communicating EU Research & Innovation](#); [Social Media Guide for EU-funded R&I Projects](#)
- Videos: [The EU Guide to Science Communication](#)

Dissemination & Exploitation

- Online Manual: [Horizon 2020 Participant Portal Online Manual “Dissemination & Exploitation of Results”](#)

IP Management

- [Code of Practice on the management of intellectual assets for knowledge valorisation in the European Research Area](#)
- European IP Helpdesk Bulletin: [Horizon Europe](#)
- European IP Helpdesk Guide: [Your Guide to IP in Horizon 2020](#)

Open Access & Data Management

- Online Manual: [Horizon 2020 Participant Portal Online Manual “Open Access & Data Management”](#)
- Guidelines: [Rules on Open Access to Scientific Publications & Open Access to Research Data in Horizon 2020](#); [Data Management in Horizon 2020](#)
- Infographic: [Open Access](#)



Contact:

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Thank You!

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