ECSEL JOINT UNDERTAKING COORDINATOR’S DAY 2019

Brussels, 25/03/2019
AGENDA

9:00-9:30  Registration and welcome coffee
9:30-9:40  Welcome and introduction
9:40-10:00  ECSEL in a nutshell
10:00-11:00  Reporting and Payment including Reviews
11:00-11:30  Coffee break
11:30-12:00  Audits: different types of audits, CFEs, how do we process audits, etc.
12:00-12:30  Do’s and Don’t’s in Payments, Sygma Compas
12:30-12:35  Meet the staff
12:35-13:30  Lunch
13:30-14:00  Amendments and updates of the GA
14:00-14:15  Communication -
14:15-14:45  Dissemination, exploitation (dissemination and exploitation, open access, etc.)
14:45-15:00  Evaluations
15:00-16:00  Open discussion, future of ECSEL, free discussion with coffee
16:00  End with possibility to meet your PO after appointment
Dissemination & Exploitation
Horizon 2020 Programme: increased importance given to D&E

D&E in project life cycle
- **Rules for Participation** state clear D&E obligations for beneficiaries
- **Grant agreement** (GA) includes articles 28 on Exploitation and 29 on Dissemination and possibly additional D&E obligations following the WP/call
- Project Reporting includes D&E section

Better D&E → More Impact → Improved value of R&I funding*
What are project 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.

**Key exploitable results** are the outputs generated during the project which can be used and create impact, either by the project partners or by other stakeholders.

Project results can be reusable and exploitable (e.g. inventions, prototypes, services) as such, or elements (knowledge, technology, processes, networks) that have potential to contribute for further work on research or innovation.
<table>
<thead>
<tr>
<th>Communication</th>
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<tr>
<td><strong>Taking strategic and targeted measures for promoting the action itself and its results to a multitude of audiences, including the media and the public, and possibly engaging in a two-way exchange</strong></td>
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| • Reach out to society as a whole  
• Demonstrate how EU funding contributes to tackling societal challenges  
• Is strategically planned with communication objectives and not only ad-hoc efforts  
• Uses pertinent messages, right medium and means |

<table>
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<tr>
<th>Dissemination</th>
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<td><strong>Making the results of a project public, not only by scientific publications in any medium</strong></td>
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</table>
| • Circulation of knowledge and results to the ones that can best make use of them  
• Enabling the value of results to be potentially wider than the original focus  
• Essential element of all good research practice and vital part of the project plan  
• Strengthens and promotes the profile of the organisation |

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<tr>
<th>Exploitation</th>
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<tr>
<td><strong>The utilisation of results in developing, creating and marketing a product or process, or in creating and providing a service, or in standardisation activities.</strong></td>
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</table>
| • Make use of the results; recognising exploitable results and their stakeholders  
• Concretise the value and impact of the R&I activity for societal challenges  
• Can be commercial, societal, political, or for improving public knowledge and action, it also include recommendations for policy making  
• Project partners can exploit results themselves, or facilitate exploitation by others (e.g. through making results available under open licenses) |
Communication versus Dissemination

**Communication**
- About the project
- **Multiple audiences**
- Inform and reach out to society, show the benefits of research
- Grant Agreement art.38.1

**Dissemination**
- About results only
- **Audiences that may use the results** in their own work
- Enable use and uptake of results
- Grant Agreement art.29

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Informing on project

- Project factsheet, brochure
- Social media (blogs, Twitter, Facebook, LinkedIn)
- Press release
- Newsletter

Informing on results

- Scientific publications
- Policy brief/roadmap
- Training/demonstration
- Sharing results on online repository (research data, software, reports)

Making results available for re-use

- Project website, videos, interview, articles in magazines, exhibitions/ open days, guided visits, conference, presentation and workshops.
Dissemination versus Exploitation

**Dissemination**
- Scientific publications
- Policy brief/roadmap
- Training/demonstration
- Sharing results on online repository (research data, software, reports)
- **About results only**
- **Audiences that may use the results** in their own work
- **Enable use and uptake of results**
- Grant Agreement art. 29

**Exploitation**
- **Utilisation of results**, for scientific, societal or economic purposes
- **Groups and entities that are making concrete use of results**
- **All results generated during project** (exploitation by the project or another entity)
- **Grant Agreement art. 28**

**Making results available**
- Making use of results

**Facilitating further use of results**

- Innovation management, Copyright management, Data management plan, Active stakeholder/user engagement.
- Spin-off/Start-up
- Product
- Patent
- PhD thesis/post
- Standard
- Service
- Societal activity
- Open/copyleft licenses
- Further research
- Policy change
Why D&E does not always happen?

• Perceiving D&E as "tick boxes", not important for the "real work" of the project (research)

• Focusing on implementation rather than aligning work with the needs of users and stakeholders

• Lack of skills/resources (or interest) to effectively consider or share the value and possible benefits of the results for wider society

• Lack of knowledge of D&E risks and opportunities (e.g. IP issues/solutions, awareness of other similar projects)

• Not (yet) truly part of the project design!

• Often interpreted as an activity to be conducted at the end of the project to get the final payment
Why should you do D&E?

• Improves the quality of your research through feedback
• Attracts new talents to join your team
• Provides further international and interdisciplinary collaboration opportunities
• Improves access to other funding opportunities (notably from private)
• You can contribute to societal goals thereby providing more visibility/prestige to the researcher/institution
D&E Strategy for Horizon 2020: Action plan objectives

Paving the way for Horizon Europe

• Capture R&I data and results and make them available;
• Further the uptake and use of R&I results;
• Use R&I data and results in policy-making;
• Enable the demonstration of the impact of the R&I framework programme

« added value of the EU research and innovation funding »
D&E under Horizon Europe

- Dissemination is a specific objective for all measures
- D&E in FP (article 12)
  - Information, communication, publicity and D&E
  - Calling for a comprehensive D&E strategy
- FP and SP annexes on D&E
  - Demonstrate the impact and maximise the European added value of the FP
  - Dissemination of clusters of mature results to EU regions
  - Accelerate exploitation towards market uptake
- Delivery mechanism
  - Contractual obligations of beneficiaries for D&E reporting during and after the project
D&E tools to support beneficiaries

- H2020 Dashboard
- Projects for Policy (P4P)
- The common D&E "Boosters"
- Innovation Radar (IR)
- CORDIS
1. H2020 Dashboard

✓ Frequently refreshed, one click stop shop for H2020 data
✓ Modern visual analytics (data discovery tool)
✓ Complete picture (data on proposals, projects and results)
✓ External DB through Participant Portal:
H2020 Dashboard key elements:

- **H2020 Implementation:**
  - Proposals – aggregate data on proposal subscription, requested EU funding
  - Projects – projects, participants, EU contribution, project costs
- **H2020 results**
- **H2020 KPIs**
- **H2020 Thematic views:**
  - International Cooperation
  - Climate action and sustainable development
  - Small and medium-sized enterprises
  - European Innovation Council Pilot
  - Innovation Radar
  - Seal of Excellence
Look...

H2020 Implementation
Consolidated information regarding H2020 subscriptions and success rates, namely H2020 proposals and applicants to the calls of interests as well as ongoing and finalized investments - H2020 projects and participants.

H2020 Results
Results of the H2020 programme related to the different indices such as high impact publications, IPRs, dissemination activities and more.
This section presents the aggregated information for the H2020 scientific reporting.

H2020 KPIs
Information related to the monitoring of H2020 in the different parts of the programme including publications, patents, innovating organisations and innovation actions.

H2020 Thematic views
Thematic views for relevant H2020 research topics. This part of the dashboard focuses on the cross-cutting issues (CCI), for the thematics like INCO, CLIMA, SME and other.
Look...
2. Projects for Policy (P4P): Approach

The objective is to create a systematic collaboration practice for R&I and policy actors with a supporting framework.

Select a **timely and relevant policy topic**, for which R&I project results are likely to be found.

Search and **analyse relevant project portfolio**, recognise results as evidence for policies.

Develop **evidence-based policy recommendations** for thematic policies and R&I policies.

Present in **short reports** targeted for policy makers in EC, EU institutions and Member States.

Dialogue between R&I services and policy DGs.

Collaboration between R&I services, Executive Agencies and Joint Undertakings.

Collaboration between policy and project officers across all services.

Dissemination towards policy makers and key stakeholders.
3. Innovation Radar (IR)

✓ A data-driven methodology to deliver intelligence on
  ✓ The innovations emerging from the projects
  ✓ The innovators: who and where?
  ✓ Market readiness: how can we help them to get to the market?

✓ Structured systematic data without increasing reporting for beneficiaries nor POs
✓ Not topic-specific approach
✓ (https://www.innoradar.eu)
4. New D&E Boosters - 2019!

- New procurement in progress (4-yrs FWC) offering number of similar and new types of D&E services to beneficiaries
- New calls for expression of interest to open in Summer of 2019
- Notification through the Funding and Tender Portal
5. CORDIS

✓ The point of reference to seek information on EC funded research projects, public available
✓ Focus on dissemination
✓ Products and services offered:
  ✓ Publishable summaries for H2020
  ✓ Results Packs
  ✓ Enhanced Results in Brief
  ✓ H2020 public deliverables and Publications
  ✓ Upcoming: Patents (FP7, H2020), Investor packs, a renewed website with better visualisation and search functionalities (introduction of taxonomy)...
✓ Offers support for accessing Open Air results (search interface):
Resources supporting/ currently accessible to beneficiaries

H2020 online manual & Participant portal
- Dissemination and Exploitation – to be expanded with more concrete guidance on D&E
- Open Access and Data Management
- Communication
- H2020 Glossary
- Presentation of the Coordinators day on D&E

Resources supporting/ currently accessible to beneficiaries

**IPR helpdesk**

- Guidance
- Helpline
- Trainings
- New guidance on Communication, Dissemination and Exploitation under development
- Dissemination towards potential users of results

https://www.iprhelpdesk.eu/
Resources supporting/ currently accessible to beneficiaries

CORDIS
- Publishable summaries
- Enhanced results-in-brief
- Results packs
- Public H2020 deliverables
Horizon Impact Awards (1)

A prize scheme that recognizes and celebrates impacts created by projects from the Research Framework Program for the benefit of society.

**Timeline:**

<table>
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<tr>
<th>Event</th>
<th>Date/Time</th>
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<tr>
<td>Opening of submission</td>
<td>14 March 2019</td>
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<tr>
<td>Deadline</td>
<td>21 May at 12:00:00 CET</td>
</tr>
<tr>
<td>Evaluation</td>
<td>May-July 2019</td>
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<tr>
<td>Award</td>
<td>September 2019</td>
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- The **uptake of results** contributes towards **transformative impacts** on the economy, society, policymaking, culture, health, the environment and our quality of life.
- **5 prizes of €10 000** each
- For completed FP7 and H2020 projects
Obligation to communicate

ARTICLE 38 — PROMOTING THE ACTION – VISIBILITY OF EU FUNDING

38.1 Communication activities by beneficiaries

38.1.1 Obligation to promote the action and its results

The beneficiaries must 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.

This does not change the dissemination obligations in Article 29, the confidentiality obligations in Article 36 or the security obligations in Article 37, all of which still apply.

Before engaging in a communication activity expected to have a major media impact, the beneficiaries must inform the [Commission][Agency] (see Article 52).

Ad hoc efforts or mere dissemination of results are NOT sufficient. (Dissemination of results (see Article 29) cannot replace communication activities (or vice-versa); both provisions must be complied with.)
ARTICLE 27 — PROTECTION OF RESULTS — VISIBILITY OF EU FUNDING

27.1 Obligation to protect the results

Each beneficiary must examine the possibility of protecting its results and must adequately protect them — for an appropriate period and with appropriate territorial coverage — if:

(a) the results can reasonably be expected to be commercially or industrially exploited and
(b) protecting them is possible, reasonable and justified (given the circumstances).

When deciding on protection, the beneficiary must consider its own legitimate interests and the legitimate interests (especially commercial) of the other beneficiaries.
Obligation: Exploiting the results

ARTICLE 28 — EXPLOITATION OF RESULTS

28.1 Obligation to exploit the results

Each beneficiary must — up to four years after the period set out in Article 3 — take measures aiming to ensure ‘exploitation’ of its results (either directly or indirectly, in particular through transfer or licensing; see Article 30) by:

(a) using them in further research activities (outside the action);
(b) developing, creating or marketing a product or process;
(c) creating and providing a service, or
(d) using them in standardisation activities.

[OPTION for additional exploitation obligations if foreseen in the work programme: In addition, the beneficiaries must — up to four years after the period set out in Article 3 — comply with the additional exploitation obligations set out in Annex 1.]

This does not change the security obligations in Article 37, which still apply.
Obligation: Disseminate the results

ARTICLE 29 — DISSEMINATION OF RESULTS — OPEN ACCESS — VISIBILITY OF EU FUNDING

29.1 Obligation to disseminate results

Unless it goes against their legitimate interests, each beneficiary must — as soon as possible — ‘disseminate’ its results by disclosing them to the public by appropriate means (other than those resulting from protecting or exploiting the results), including in scientific publications (in any medium).

This does not change the obligation to protect results in Article 27, the confidentiality obligations in Article 36, the security obligations in Article 37 or the obligations to protect personal data in Article 39, all of which still apply.

A beneficiary that intends to disseminate its results must give advance notice to the other beneficiaries of — unless agreed otherwise — at least 45 days, together with sufficient information on the results it will disseminate.

Any other beneficiary may object within — unless agreed otherwise — 30 days of receiving notification, if it can show that its legitimate interests in relation to the results or background would be significantly harmed. In such cases, the dissemination may not take place unless appropriate steps are taken to safeguard these legitimate interests.

If a beneficiary intends not to protect its results, it may — under certain conditions (see Article 26.4.1) — need to formally notify the [Commission][Agency] before dissemination takes place.
Open access to scientific publication

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.

In particular, it must:

(a) as soon as possible and at the latest on publication, deposit a machine-readable electronic copy of the published version or final peer-reviewed manuscript accepted for publication in a repository for scientific publications;

Moreover, the beneficiary must aim to deposit at the same time the research data needed to validate the results presented in the deposited scientific publications.

(b) ensure open access to the deposited publication — via the repository — at the latest:
   (i) on publication, if an electronic version is available for free via the publisher, or
   (ii) within six months of publication (twelve months for publications in the social sciences and humanities) in any other case.

(c) ensure open access — via the repository — to the bibliographic metadata that identify the deposited publication. The bibliographic metadata must be in a standard format and must include all of the following:
   • the terms ["European Union (EU)" and "Horizon 2020"] ["Euratom" and Euratom research and training programme 2014-2018’];
   • the name of the action, acronym and grant number;
   • the publication date, and length of embargo period if applicable, and
   • a persistent identifier.
Open access to publications

Open access can be provided through:

a) **gold open access (open-access publishing)**

   ‘Gold open access means that open access is provided immediately via the publisher when an article is published, i.e. where it is published in open access journals or in ‘hybrid’ journals combining subscription access and open access to individual articles.

b) **green open access** (self-archiving).

   ‘Green open access’ means that the published article or the final peer-reviewed manuscript is archived by the researcher (or a representative) in an online repository. Access to the article is often — but not necessarily — delayed (H2020 embargo period between 6 and 12 months; see below) as some scientific publishers may wish to recoup their investment by selling subscriptions and charging pay-per-download view fees during an exclusivity period.

**Best practice:** Authors are encouraged to retain their copyright and grant appropriate licences to publishers. A [template](#) for an open access clause addendum which can be added to publishing agreements is available on the Participant Portal.
Open access to research data

29.3 Open access to research data

[OPTION 1a for actions participating in the open Research Data Pilot]: Regarding the digital research data generated in the action ('data'), the beneficiaries must:

• deposit in a research data repository and take measures to make it possible for third parties to access, mine, exploit, reproduce and disseminate — free of charge for any user — the following:
  • the data, including associated metadata, needed to validate the results presented in scientific publications as soon as possible;
  • other data, including associated metadata, as specified and within the deadlines laid down in the ‘data management plan’ (see Annex 1);
• provide information — via the repository — about tools and instruments at the disposal of the beneficiaries and necessary for validating the results (and — where possible — provide the tools and instruments themselves).

This does not change the obligation to protect results in Article 27, the confidentiality obligations in Article 36, the security obligations in Article 37 or the obligations to protect personal data in Article 39, all of which still apply.

As an exception, the beneficiaries do not have to ensure open access to specific parts of their research data under Point (a)(i) and (iii), if the achievement of the action’s main objective (as described in Annex 1), would be jeopardised by making those specific parts of the research data openly accessible. In this case, the data management plan must contain the reasons for not giving access.
Open access to research data

Participation is therefore now in principle the default. However, actions may opt out at any stage — both before signing the GA and afterwards (through an amendment; see Article 55) —, if:

- participation is incompatible with the obligation to protect results (see Article 27)
- participation is incompatible with the security obligations (see Article 37)
- participation is incompatible with rules on protection of personal data
- participation would mean that the project's main aim might not be achieved
- the project will not generate/collect any research data or
- there are other legitimate reasons not to take part.
Obligation: Information on EU funding

29.4 Information on EU funding — Obligation and right to use the EU emblem

Unless the [Commission][Agency] requests or agrees otherwise or unless it is impossible, any dissemination of results (in any form, including electronic) must:

(a) display the EU emblem and

(b) include the following text:

“For ECSEL JU also mention EPS that participate in project

“This project has received funding from the [European Union’s Horizon 2020 research and innovation programme][Euratom research and training programme 2014-2018] under grant agreement No [Number].”

When displayed together with another logo, the EU emblem must have appropriate prominence.

For the purposes of their obligations under this Article, the beneficiaries may use the EU emblem without first obtaining approval from the [Commission][Agency].

This does not however give them the right to exclusive use.

Moreover, they may not appropriate the EU emblem or any similar trademark or logo, either by registration or by any other means.

29.5 Disclaimer excluding [Commission][Agency] responsibility

Any dissemination of results must indicate that it reflects only the author’s view and that the [Commission][Agency] is not responsible for any use that may be made of the information it contains.
Transfer of ownership

ARTICLE 30 — TRANSFER AND LICENSING OF RESULTS

30.1 Transfer of ownership

Each beneficiary may transfer ownership of its results.

It must however ensure that its obligations under Articles 26.2, 26.4, 27, 28, 29, 30 and 31 also apply to the new owner and that this owner has the obligation to pass them on in any subsequent transfer.

This does not change the security obligations in Article 37, which still apply.

Unless agreed otherwise (in writing) for specifically-identified third parties or unless impossible under applicable EU and national laws on mergers and acquisitions, a beneficiary that intends to transfer ownership of results must give at least 45 days advance notice (or less if agreed in writing) to the other beneficiaries that still have (or still may request) access rights to the results. This notification must include sufficient information on the new owner to enable any beneficiary concerned to assess the effects on its access rights.

Unless agreed otherwise (in writing) for specifically-identified third parties, any other beneficiary may object within 30 days of receiving notification (or less if agreed in writing), if it can show that the transfer would adversely affect its access rights. In this case, the transfer may not take place until agreement has been reached between the beneficiaries concerned.
ARTICLE 30 — TRANSFER AND LICENSING OF RESULTS

30.2 Granting licences

Each beneficiary may grant licences to its results (or otherwise give the right to exploit them), if:

(a) this does not impede the access rights under Article 31 and

(b) [OPTION 1 if additional exploitation obligations in Annex 1: the beneficiary complies with its additional exploitation obligations (see Article 28.1 and Annex 1)] [OPTION 2: not applicable].

In addition to Points (a) and (b), exclusive licences for results may be granted only if all the other beneficiaries concerned have waived their access rights (see Article 31.1).

This does not change the dissemination obligations in Article 29 or security obligations in Article 37, which still apply.
Objections to transfer or licensing

ARTICLE 30 — TRANSFER AND LICENSING OF RESULTS

30.3 [Commission][Agency] right to object to transfers or licensing

[OPTION 1 for EU grants: The [Commission][Agency] may — up to four years after the period set out in Article 3 — object to a transfer of ownership or the exclusive licensing of results, if:

(a) it is to a third party established in a non-EU country not associated with Horizon 2020 and

(b) the [Commission][Agency] considers that the transfer or licence is not in line with EU interests regarding competitiveness or is inconsistent with ethical principles or security considerations.

A beneficiary that intends to transfer ownership or grant an exclusive licence must formally notify the [Commission][Agency] before the intended transfer or licensing takes place and:

- identify the specific results concerned;

- describe in detail the new owner or licensee and the planned or potential exploitation of the results, and

- include a reasoned assessment of the likely impact of the transfer or licence on EU competitiveness and its consistency with ethical principles and security considerations.
QUESTIONS?