

# From results to Impact: Exploitation and Innovation management

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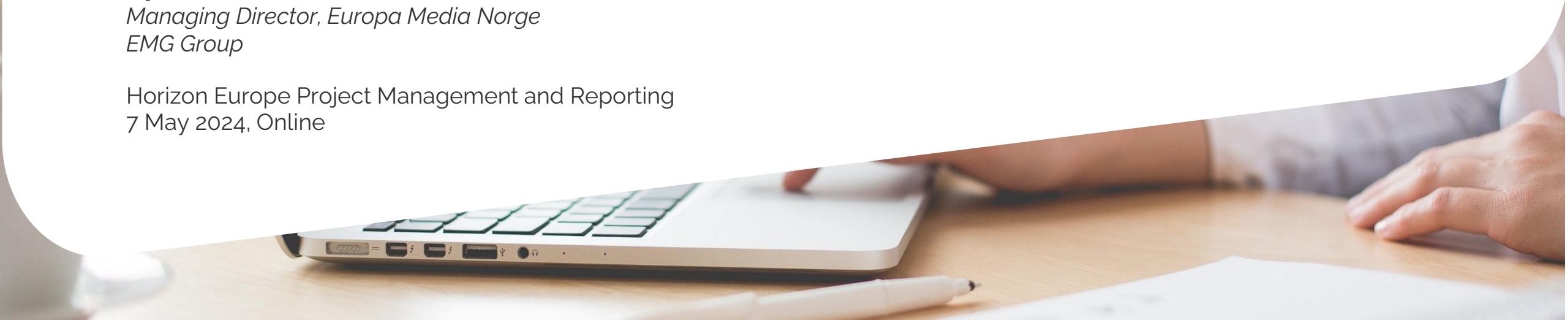
**Speaker: Gabriella Lovasz**

*Managing Director, Europa Media Norge*

*EMG Group*

Horizon Europe Project Management and Reporting

7 May 2024, Online



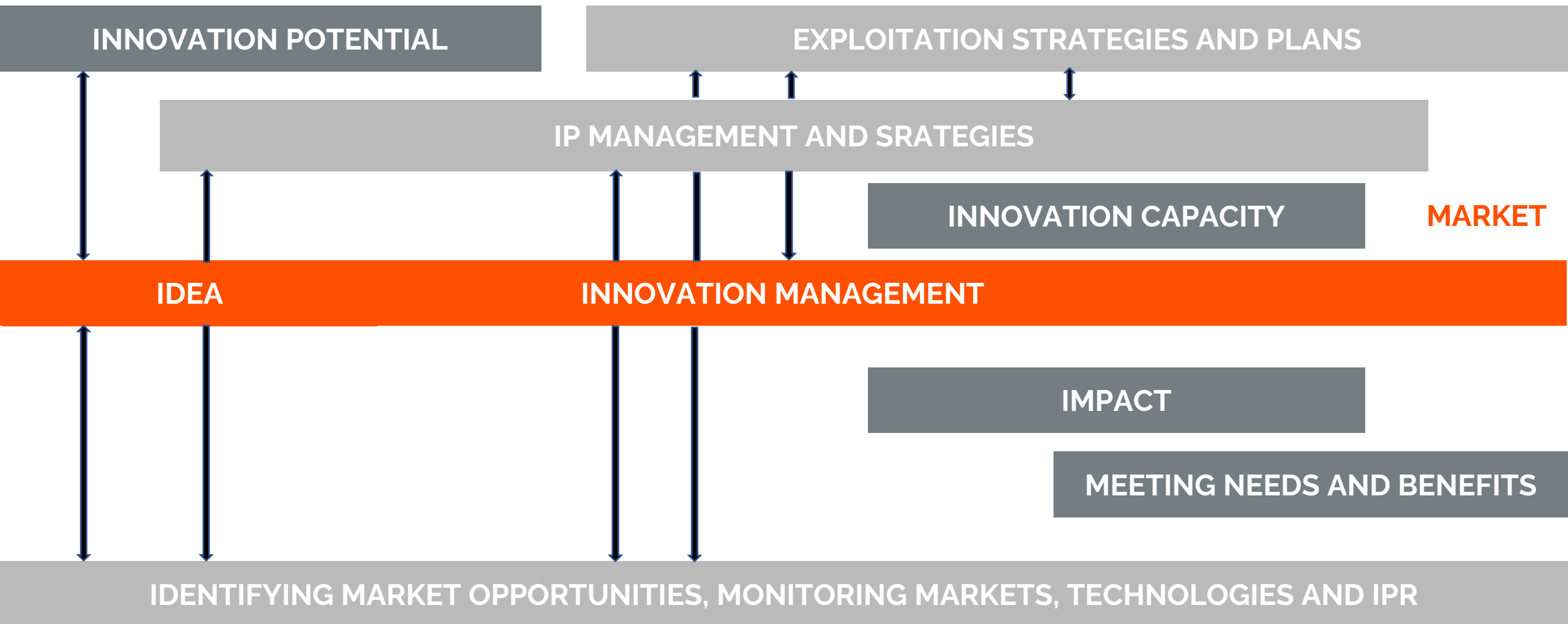
# Content

1. Innovation management
2. Continuous reporting – Results
3. EC tools to boost your exploitation

**1**

**Innovation  
management**

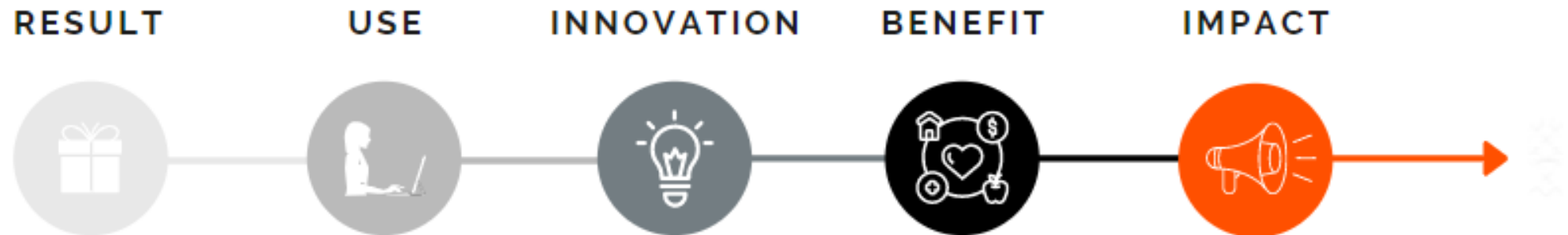
# Innovation management



# Exploitation and innovation

## From idea to market

- Focus on impact and innovation > producing research results
- Consortium must plan to use the results to make innovations
- Innovations need to address the call challenges and contribute to the related impact
- Innovation and impact must be managed in all stages of the project based on how it was addressed in the proposal



# Dissemination and exploitation

## What's new in Horizon Europe?



# Innovation Ecosystem

Companies

Developers

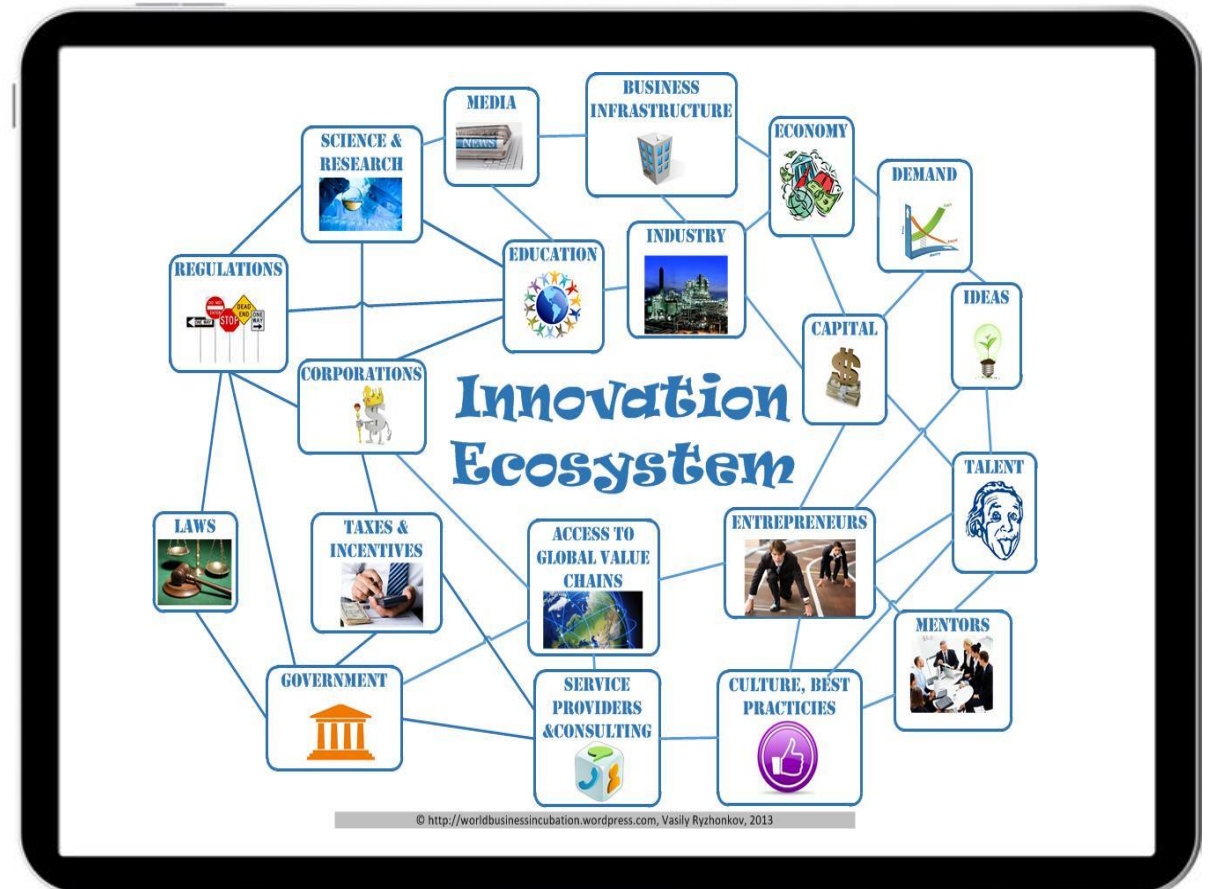
Customers

Public Agencies

Universities

Regulations, standards, financial instruments

Culture of local business environment





# Contractual obligations

## Rules for Participation

- **Article 39:** Exploitation and Dissemination
- **Article 40:** Transfer and Licensing
- **Article 41:** Access Rights

## 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”

## Remember - 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 **project 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.**”*







# Innovation management

## **Create, capture and manage the research results**

- The management framework (who is responsible)
- The management procedures (how it will be done)
- Establish good foundations and guiding principles/policies
- IP management and protection strategies and procedures

## **Exploit the research results**

- Assess the opportunities
- Exploitation strategies and plans
- Exploit/Extract value from research outputs
- Dissemination and communication of research outputs

# 6 pillars of IP Management

## In Horizon Europe

### 1. IP used

- This refers to the IP needed implement the project. It includes the pre-existing knowledge and IP of the partners as well as 3rd party IP which is needed.

### 2. IP created

- The project results – knowledge and IP. There needs to be a system in place to capture these results, agree on the ownership and relative contributions, who will manage then and how?

### 3. IP assessment and evaluation

- The results should be assessed with regards to readiness (e.g., complete and validated) and possible use for commercial or industrial applications. If there are commercial applications, then considerations should be given to prior art and freedom to operate analysis and strategies for protection and exploitation.



# 6 pillars of IP Management

## In Horizon Europe

### 4. IP protection

If **protection is useful to support commercial exploitation**, then this should be put in place. **The cost of the protections are eligible costs** (foreseen in Annex 1) in Horizon projects. Protection may **include formal legal rights** (IP rights) as applicable to the IP (e.g., patent, copyright, database rights, design rights), trade secrets, or trademarks to support brands.

It is important to ensure **that commercial benefits outweigh the investments** in managing, protecting and exploiting the results; and **for jointly owned IP, the distribution of any potential returns reflects the contributor's relative contributions**.



# 6 pillars of IP Management

## In Horizon Europe

### 5. IP Dissemination and Exploitation

Once **decisions are made about the IP protection and the exploitation strategy**, the process to tell the right people about the results can start, and exploitation can begin.

This **would include transfer of necessary IP to one partner to another** under agreed terms and conditions, including the cost and revenue sharing.

### 6. IP Post project management

Whilst the project will end, the **D&E of the results continue**. It is important therefore, that the **IP management system continue after the end of the project**, in order to e.g., **maintain the protection, manage any agreements related to the IP (e.g., licences) and manage cost and revenue sharing**.





# Capture the results (#2)

## How to...

### IP Note

- Whenever a new result is developed, the author will have to fill out an IP Note and send it to the coordinator
- Will support the body/partner in charge (e.g. Steering Committee, Exploitation Manager) to decide on the need for protection

### Invention Disclosure Form

- Description of the invention including the list of research sponsors and any supporting document/background
- (!) this document is confidential

### Review deliverables and reports

### One-to-one sessions with beneficiaries

IP Note Template

RESULT - INTELLECTUAL PROPERTY NOTIFICATION (IP NOTE)		
Notified by:	Date:	Work Package
Title:		
Summary of the result achieved:		
Partners who developed the result and % of input (if relevant): <i>e.g. based on number of hours/PMs spent on the deliverable</i>		
Exploitation potential – IPR issues linked:		
Received by:	Date:	
Reviewed by the Coordinator and the Project Management Board - Conclusions:		
Action to be taken:		
Result:		

<b>CONFIDENTIAL</b>				
<b>Invention Disclosure Form</b>				
Office				
TITLE OF INVENTION				
INVENTOR(S)				
I(s) that she/ he is the author(s) of the invention fully described below, and despite there are no other persons with a claim to co-authorship. (Inventors: equal contribution to the invention)				
	2	3	4	
Date				
<b>FUNDING OF THE INVENTION</b>				
Project :				
Other:				
<b>PERSONAL DETAILS OF THE INVENTOR(S)</b>				
	1	2	3	4
Name				
Phone number				
E-mail				
Employer				



# Joint Ownership Agreement

- Signed **between co-owners** of IP
- Ideally during CA preparation or as soon as joint IP is detected
- In order to define in detail the rules governing joint ownership
- Particulars
  - **Shares:** assignment of shares within the joint ownership
  - **IP management:** responsibilities for filing and maintaining (including the costs incurred) of the IP rights
  - **Protection of rights:** obligation imposed on all participants to monitor and report any infringements of the foreground; indication of the partner empowered to conduct legal actions for protection of the foreground
  - **Conditions of the use of the foreground:** Use in further research; Individual exploitation; Licensing; Transfer
  - **Additional clauses:** standard contractual matters, i.e. applicable law, jurisdiction or alternative dispute resolution systems

# Assess and evaluate the IP (#3)

## Technology and market assessment

- **Assessment of foreground IP**
  - Prior search for patentability
  - Search in patents (Espacenet; European Patent Register - Alert)
  - Search for trademarks and design (EUIPO eSearch Plus)
  - Search in standards (CEN-CENELEC)
- **Market analysis**
  - Technical reports
  - Company websites, annual reports (incl. financial)
  - Market reports
  - Industry partners
- **Competitor/technology analysis**
  - Market size, segmentation, growth potential
  - Market share, competitors' current and future plans
  - Other technical solutions
  - Potential barriers and obstacles







# IP protection (#4)

## Your obligations

Each participant 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 interests and the interests (especially commercial) of the other beneficiaries.

**Protection can be secured by IPR or other means (e.g., trade secret protection).**

# IP protection (#4)

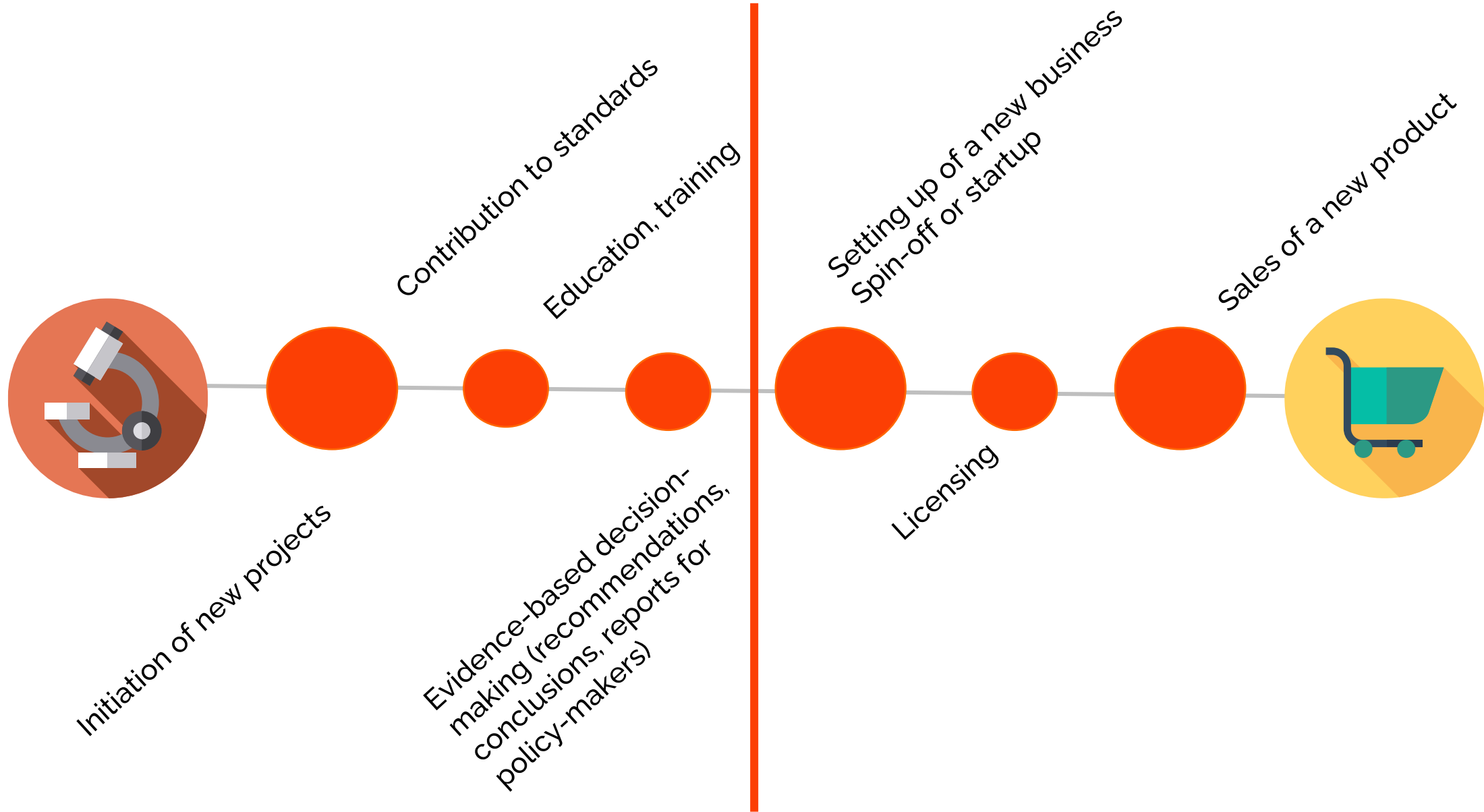
## One product, many IP protection routes

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IP protection	Product type
Patent	Any invention, product or process that offers a new way of doing something or provides a new solution to a problem
Utility model	Minor inventions or minor improvements of existing products
Design	Literary and artistic works: music, books, paintings, computer programmes, databases, etc. Ornamental or aesthetic aspects of a product
Trademark	Any sign capable of distinguishing your goods or services from your competitors'
Copyright	Literary and artistic works: music, books, paintings, computer programmes, databases, etc.
Trade secret	Any information that is not generally known, confers a competitive edge and is subject to reasonable efforts to maintain its secrecy

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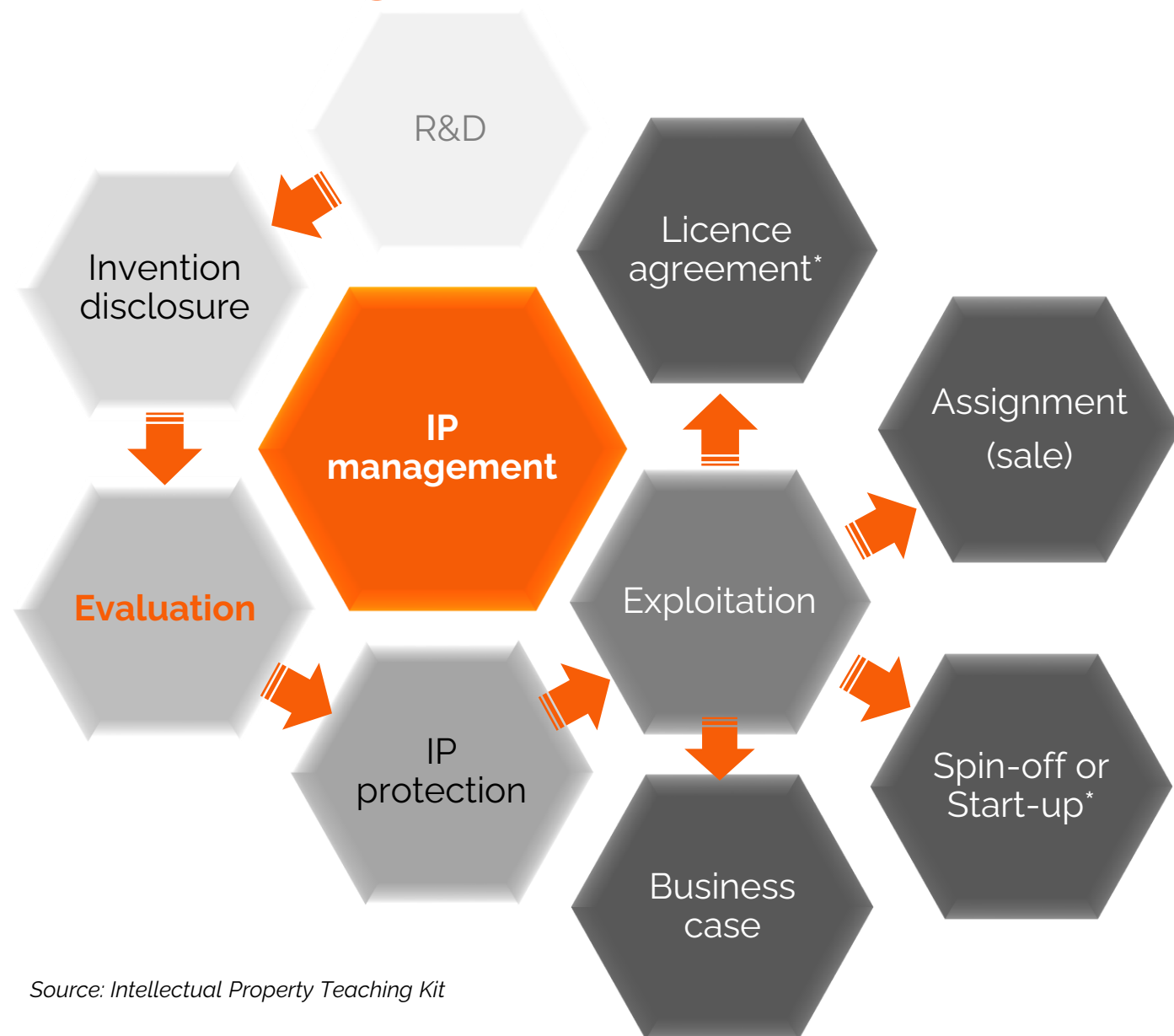
# Exploitation of your results (#5)



# Exploitation of your results (#5)

## Commercial exploitation

- Decide on how to commercialise your IP:
  - By its IP owner
  - Through assignments
  - By business partners (e.g. licencing, Joint venture and spin-offs)
- Update the Plan for the Exploitation and Dissemination of Results
- Include into the Final Plan for the Exploitation and Dissemination of Results
- Report the exploitation activities to the EC – How?



Source: Intellectual Property Teaching Kit

# IP post project management (#6)

## Your obligations

- Beneficiaries receiving EU funding must – **up to four years after the end of the action** – use their **best efforts to exploit their results directly or to have them exploited indirectly by another entity**, in particular through licensing or transfer.
- If, despite a beneficiary's best efforts, **the results are not exploited within one year after the end of the action, the beneficiaries must (unless otherwise agreed in writing with the granting authority) use the Horizon Results Platform** to find interested parties to exploit the results.

HORIZON RESULTS PLATFORM

MAKING RESULTS MATTER







2

**Continuous reporting  
- Results**



# Exploitation

## During project implementation

- **Plan for Exploitation and Dissemination of Results incl. Communication (PEDR)**
- **Data Management Plan (DMP)**
- **Continuous reporting tabs**
  - Results
  - Other Results
  - Results Ownership List (last reporting period)
  - Standards
  - Intellectual Property Rights (IPR)
  - Impact & Impact Continuation



# Results (1)

Grant Management		Project Continuous Report														ntothkis (EXTERNAL)	HOW TO
Project Summary	Researchers involved in the project	Deliverables	Milestones	Critical Risks	Publications	Results	Disseminati... activities	Communic... Activities	Standards	Intellectual property rights (IPR)	Datasets	Impact	Impact Continuati...	Other Results			
✓	⚠	i	i	✗	i	✓	✓	✓	✓	✓	✓	✓	✓	✓			

## Results

SAVE

There is no result for this project yet

Please provide details about project results. Please focus on the content of the results, for example discoveries and theories, products, services, methods etc. Publications, intellectual property rights, datasets, software, algorithms, protocols etc. will be linked to these results later in separate tables. It will also be possible to add these to the project as a whole.

Examples:

1. The project developed a new medical device, which is described in two publications and later patented. Instructions: List the medical device here (as 'PROD: Product') and link publications to this product in dedicated sections. When you have information about the patent application, link it in a dedicated section.
2. The project developed a new scientific theory which is described in several publications. Instructions: List the name and potential of the theory here (as 'SCI: Scientific discovery, model, theory') and add relevant publications later in dedicated sections.
3. The project develops a high potential industrial process and is currently at the stage of prototyping. Instructions: List the industrial process here (as 'PROC: Industrial process') and indicate the prototyping stage under 'Steps undertaken towards exploitation'. If there is a registered prototype, link the registered prototype in a dedicated section.
4. The project mainly focused on activities such as conferences, staff exchanges, or on investments in infrastructures. Instructions: List these as results and their potential here.

### Results

No results yet

[+ Add Result](#)

### Remarks

Please do not forget that you are obliged under the Grant Agreement to use the Horizon Results Platform to find interested parties to exploit your KERs if you have not been able to exploit them within one year after the end of the project (unless the obligation has been waived by the granting authority). Exploitation efforts must be continued up to four 4 years after the end of the project, even when the Horizon Results platform is used.

Validate

# Results (2)

The screenshot shows the 'Add Result' dialog box in the Horizon Results Platform. The background page is titled 'Grant Management' and displays project details for '101060280 (CEE2ACT)'. The dialog box contains the following fields and options:

- Name:** A text input field.
- Result type:** A dropdown menu.
- Key results (KER) (does result have a high potential?):** A list of checkboxes:
  - High scientific potential
  - High societal potential (other than climate or environmental)
  - High societal potential
  - High technologic, business or economic potential
  - High policy or regulatory potential
  - N/A

At the bottom of the dialog box, there are 'Save' and 'Cancel' buttons.

The background page shows the 'Results' section with the following content:

There is no result for this project yet

Please provide details about project results. Please focus on the content of the results, for example:

Examples:

1. The project developed a new medical device, which is described in two publications and later patented. Instructions: List the medical device here (as 'PROD: Product') and link publications to this product in dedicated sections. When you have information about the patent application, link it in a dedicated section.
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4. The project mainly focused on activities such as conferences, staff exchanges, or on investments in infrastructures. Instructions: List these as results and their potential here.

**Results**

No results yet

[Add Result](#)

**Remarks**

Please do not forget that you are obliged under the Grant Agreement to use the Horizon Results Platform to find interested parties to exploit your KERs if you have not been able to exploit them within one year after the end of the project (unless the obligation has been waived by the granting authority). Exploitation efforts must be continued up to four 4 years after the end of the project, even when the Horizon Results platform is used.

# Results (3)

Grant Management Project Continuous Report ndevugen (EXTERNAL) ?

Project Summary	Researchers involved in the project	Deliverables	Milestones	Critical Risks	Publications	<b>Results</b>	Disseminat... activities	Standards	Patents (IPR)	Communic... Activities	Datasets	Beneficiaries Feedback	Impact	Other Results
✓	✓	i	i	✓	i	✓	✓	✓	✓	✓	✓	✓	✓	✓

**Results** SAVE

There is no result for this project yet

Please provide details about project results. Please focus on the content of the results, for example discoveries and theories, products, services, methods etc. Publications, intellectual property rights, datasets, software, algorithms, protocols etc. will be linked to these results later in dedicated sections. It will also be possible to add these to the project as a whole.

Examples:

- Example: The project developed a new medical device, which is described in two publications and later patented. Instructions: List the medical device here (as 'PROD: Product') and link publications to this product in dedicated sections. When you have information about the patent application, link it in a dedicated section.
- Example: The project developed a new scientific theory which is described in several publications. Instructions: List the name and potential of the theory here (as 'SCI: Scientific discovery, model, theory') and link publications to this model later in dedicated sections.
- Example: The project develops a high potential industrial process and is currently at the stage of prototyping. Instructions: List the industrial process here (as 'PROC: Industrial process') and indicate the prototyping stage under 'Steps undertaken towards exploitation'. If there is a registered prototype, link the registered prototype in a dedicated section.
- Example: The project mainly focused on activities such as conferences, staff exchanges, or on investments in infrastructures. Instructions: List these as results and their potential here.

**Results**

Name	Result type	Key results (KER) (does result have a high potential?)	Description of high potential	Audience or target group	Steps undertaken towards exploitation	Market maturity (state of the market targeted by this result)	Actions
a	LEARN: Learning and training (learning n	High scientific potential	sssssss	Researchers	Prototyping in laboratory environment	Not yet existing and not clear if market	✗
test2	SERV: Service (new or improved)	High societal potential (other than clima High policy or regulatory potential	insert description	Citizens	Feasibility study Business plan	Emerging: growing demand, scarce suppl	✗

[+ Add Result](#)

**Validate**

# Results Ownership List

## Final report

Grant Management Project Continuous Report

Project Summary	Researchers involved in the project	Deliverables	Milestones	Critical Risks	Publications	Results	Disseminat... activities	Standards	Patents (IPR)	Communic... Activities	Datasets	Impact	Impact Continuat...	Other Results
✓	✓	i	i	✓	i	✓	✓	✓	✓	✓	✓	✓	✓	✓

**Results** SAVE

Please do not forget that you are obliged under the Grant Agreement to use the Horizon Results Platform to find interested parties to exploit your KERs if you have not been able to exploit them within one year after the end of the project (unless the obligation has been waived by the granting authority). Exploitation efforts must be continued up to four 4 years after the end of the project, even when the Horizon Results platform is used.

Specific elements requested in the table below are aimed at fulfilling Art. 2(21) and 38 of the Horizon Europe Regulation ('Beneficiaries shall own the results they generate' during a project etc.). Please recall that it is mandatory to submit a 'results ownership list' with the last periodic report (see Annex 5 of Model Grant Agreement). By duly filling in this table you fulfil this obligation. The submission of your last periodic report will be blocked if the 'results ownership list' is not filled in.

**Results Ownership List**

Indicate the owner(s) of the results.

Note: \_\_

This is the 'results ownership list' required under the Grant Agreement. \_\_

The submission of your last Periodic Report will be blocked if this table is not filled in.

[+ Add Result Ownership](#)

Result name	Single or joint ownership of results? (Indicate the number of owners)	Result owners	Will the owners exploit the result?	In which form will the result be made available to other consortium members and/or third parties?	Does the exploitation of the results require access to background of one or several consortium members?	Does the exploitation of the results require access to third party IPR?	Actions
test1	Single	Entity: 973276467-Germany	Yes	Open source	No	Not known	✘
test3	Single	Entity: 999997930-France	Yes	Open access	No	Not known	✘

3

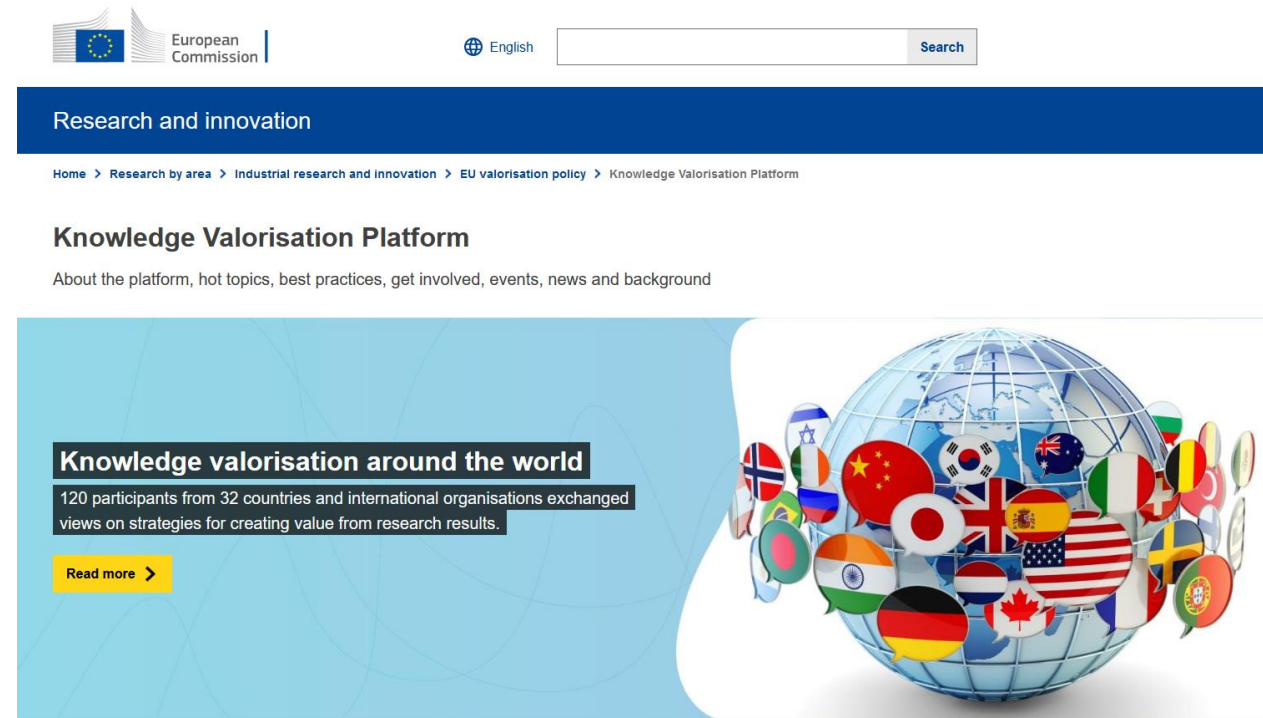
**EC tools to boost  
your exploitation**



# Knowledge Valorisation Platform

## Transform research results into products and solutions

- 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 economic prosperity, environmental benefits, societal progress or improved policy making.
- The platform provides a space for stakeholders to share **best practices** and establish contacts, to exchange experiences and **co-design guidance**, and to stay connected to EU developments in knowledge valorisation. The aim of the platform is to ultimately improve policies and enhance capacities and skills.
- [Read more about the EU's knowledge valorisation policy](https://research-and-innovation.ec.europa.eu/research-area/industrial-research-and-innovation/eu-valorisation-policy/knowledge-valorisation-platform_en)



European Commission

English

Search

Research and innovation

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

#### Knowledge valorisation around the world

120 participants from 32 countries and international organisations exchanged views on strategies for creating value from research results.

Read more >



# Horizon Standardisation Booster

## Standardisation support for your project

- **Contributing to standards** is often an objective of many R&I projects. However, the actual process to engage with Standardisation working groups, technical committees, focus groups can be complex to comprehend. This is where HSbooster.eu steps in.
- HSbooster.eu is a 24-month European Commission initiative that will provide the European Standardisation Booster. **The booster provides expert services to European projects** to help them to increase and valorise project results by contributing to the creation or revision of standards.
- HSbooster.eu will **provide consultancy services to guide and support beneficiaries and consortia of R&I projects to make sure they take the right strategic approach and contribute efficiently to the Standardisation process** and to make them active players in the development of Standards in the corresponding area or domain

<https://hsbooster.eu/>

# Horizon Standardisation Booster

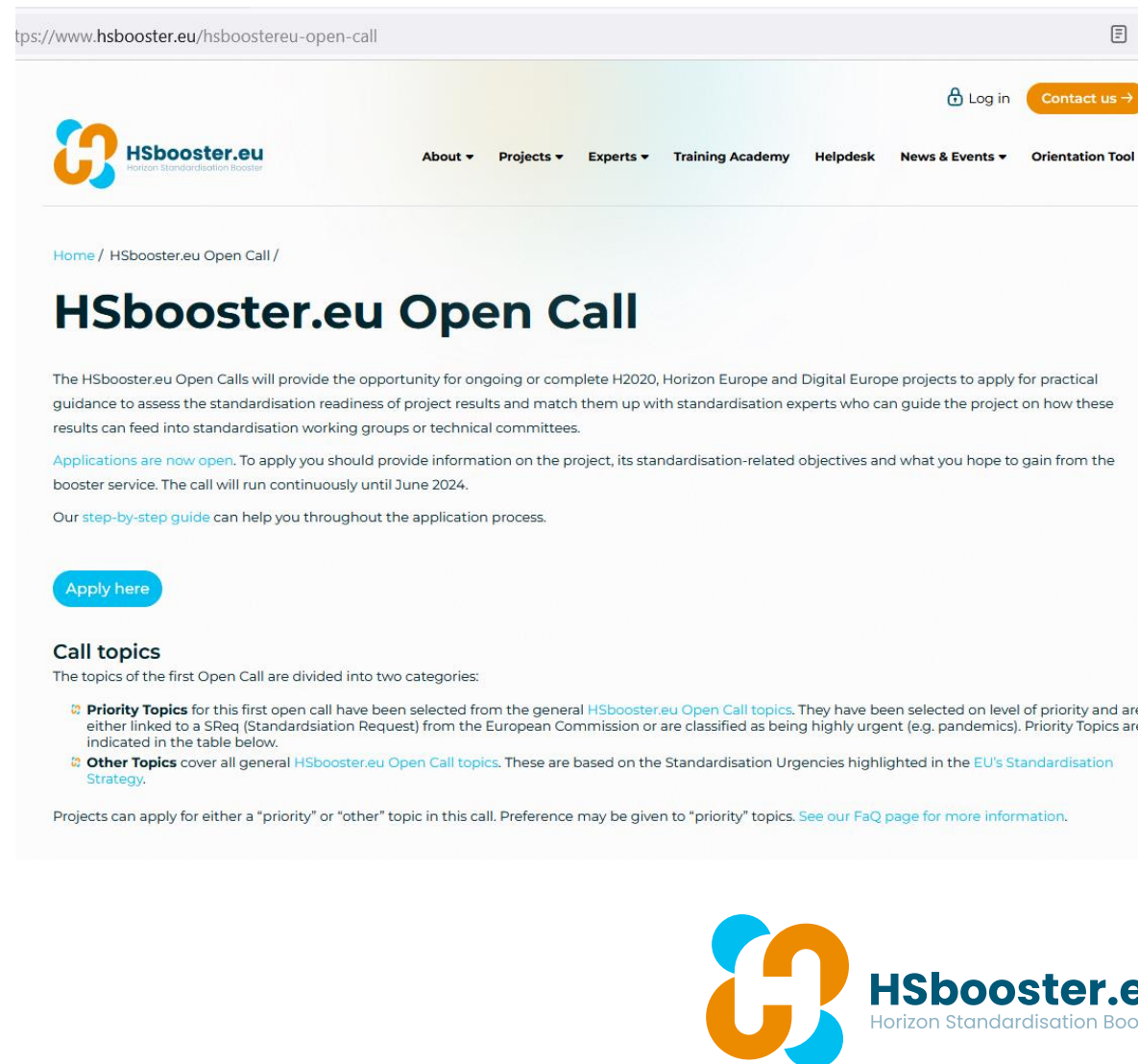
## Standardisation support for your project

Through **Open Calls** HSbooster.eu provides support services to ongoing and complete H2020, Horizon Europe and DEP projects to support them to contribute to the creation of new standards or the revision of existing standards, and to also guide them in the use of existing standards.

All services are funded by the European Commission through the HSbooster.eu project, therefore at **no cost for the project applying**.

### To make the application, you will need:

- Basic administrative information on the project (GA number, full name etc.)
- Information about the project objectives and those related to standardisation
- Details on why you are making the application and the goals you would like to achieve with the support of the booster services.



The screenshot shows the HSbooster.eu website interface. At the top, there is a navigation bar with the HSbooster.eu logo and a menu with items: About, Projects, Experts, Training Academy, Helpdesk, News & Events, and Orientation Tool. A 'Log in' button and a 'Contact us' button are also visible. The main content area features the title 'HSbooster.eu Open Call' and a sub-header 'Home / HSbooster.eu Open Call /'. Below the title, there is a paragraph explaining the purpose of the Open Calls: 'The HSbooster.eu Open Calls will provide the opportunity for ongoing or complete H2020, Horizon Europe and Digital Europe projects to apply for practical guidance to assess the standardisation readiness of project results and match them up with standardisation experts who can guide the project on how these results can feed into standardisation working groups or technical committees.' This is followed by a section titled 'Applications are now open.' which states: 'To apply you should provide information on the project, its standardisation-related objectives and what you hope to gain from the booster service. The call will run continuously until June 2024.' A link to a 'step-by-step guide' is provided. A prominent blue 'Apply here' button is located below this text. The 'Call topics' section follows, stating: 'The topics of the first Open Call are divided into two categories:'. It then lists two categories: 'Priority Topics' and 'Other Topics', each with a brief description. The 'Priority Topics' section mentions they are selected on level of priority and are either linked to a SReq (Standardisation Request) from the European Commission or are classified as being highly urgent (e.g. pandemics). The 'Other Topics' section mentions they are based on the Standardisation Urgencies highlighted in the EU's Standardisation Strategy. At the bottom of the page, a note states: 'Projects can apply for either a "priority" or "other" topic in this call. Preference may be given to "priority" topics. See our FAQ page for more information.'

# Innovation Radar

## For cutting-edge EU-funded innovations

- The Innovation Radar is a European Commission initiative to identify high potential innovations and innovators in EU-funded research and innovation projects.
- The Innovation Radar platform builds on the information and data gathered by independent experts involved in reviewing ongoing projects funded by the EU. These experts also provided an independent view regarding the **innovations in the projects and their market potential.**
- Innovation Radar is supported by Dealflow.eu which delivers support to high potential innovators identified by Innovation Radar.

Innovations (11723)

- Maturity
  - Market Ready (2124)
  - Business Ready (1656)
  - Tech Ready (1970)
  - Exploring (5973)
- + Market needs
- + Innovation topic
- + Market creation potential
- Women-led innovations
  - Show women-led innovations (2950)
- Funding programme ⓘ
  - Horizon Europe (189)
  - Horizon 2020 (9121)
  - LIFE (204)
  - FP7 (2013)
  - CIP (196)
- + UN SDG ⓘ

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Innovators (5617)

- + Organisation types
- + Countries

LIST
MAP

**A debondable primer for plastic & textile substrates that is triggered by microwave (MW) radiation.**

Market maturity: Tech Ready C-TECH INNOVATION LIMITED - United Kingdom  
 Market creation potential: High RESCOLL - France  
 Project: DECOAT  
 Innovation Topic: Smart & Sustainable Society

9 INDUSTRY, INNOVATION AND INFRASTRUCTURE
 12 RESPONSIBLE CONSUMPTION AND PRODUCTION
 13 CLIMATE ACTION

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**Debonding of PVC foils from PVC dashboards**

Market maturity: Business Ready RESCOLL - France  
 Market creation potential: High  
 Project: DECOAT  
 Innovation Topic: Smart & Sustainable Society

9 INDUSTRY, INNOVATION AND INFRASTRUCTURE
 12 RESPONSIBLE CONSUMPTION AND PRODUCTION
 13 CLIMATE ACTION

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**Eco-design tool for opportunities identification and benefits assessment of recyclable coatings**

Market maturity: Exploring ECOMATTERS B.V. - The Netherlands  
 Market creation potential: No MCP category  
 Project: DECOAT  
 Innovation Topic: Smart & Sustainable Society

9 INDUSTRY, INNOVATION AND INFRASTRUCTURE
 12 RESPONSIBLE CONSUMPTION AND PRODUCTION
 13 CLIMATE ACTION



A black clothespin is attached to a thin, dark string that runs diagonally across the frame. The clothespin is holding a white rectangular card. The card has the word "QUESTIONS?" written on it in a bold, orange, sans-serif font. The background is a plain, light-colored wall.

**QUESTIONS?**

# THANK YOU!

*for your attention*

**Gabriella Lovasz**  
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