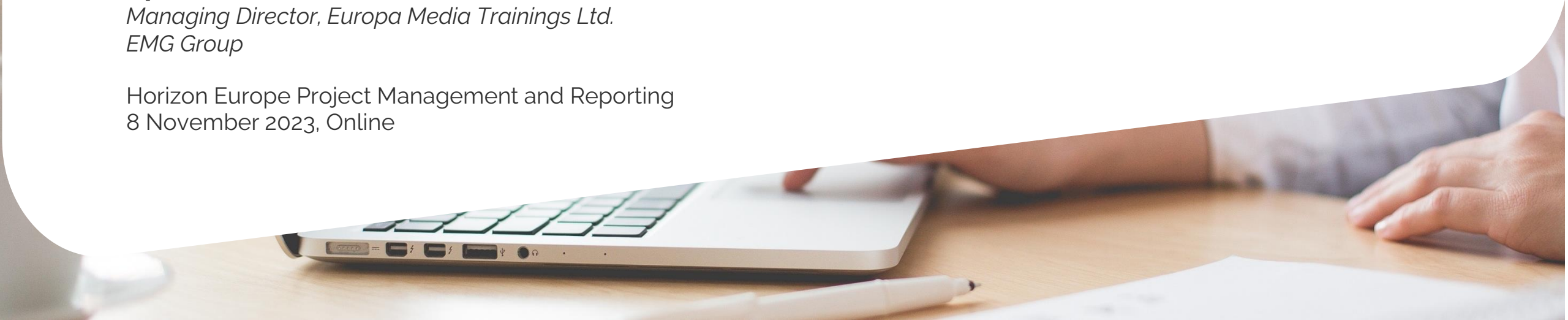


# From results to Impact: Exploitation and Innovation management

**Speaker: Gabriella Lovasz**

*Managing Director, Europa Media Trainings Ltd.  
EMG Group*

Horizon Europe Project Management and Reporting  
8 November 2023, Online



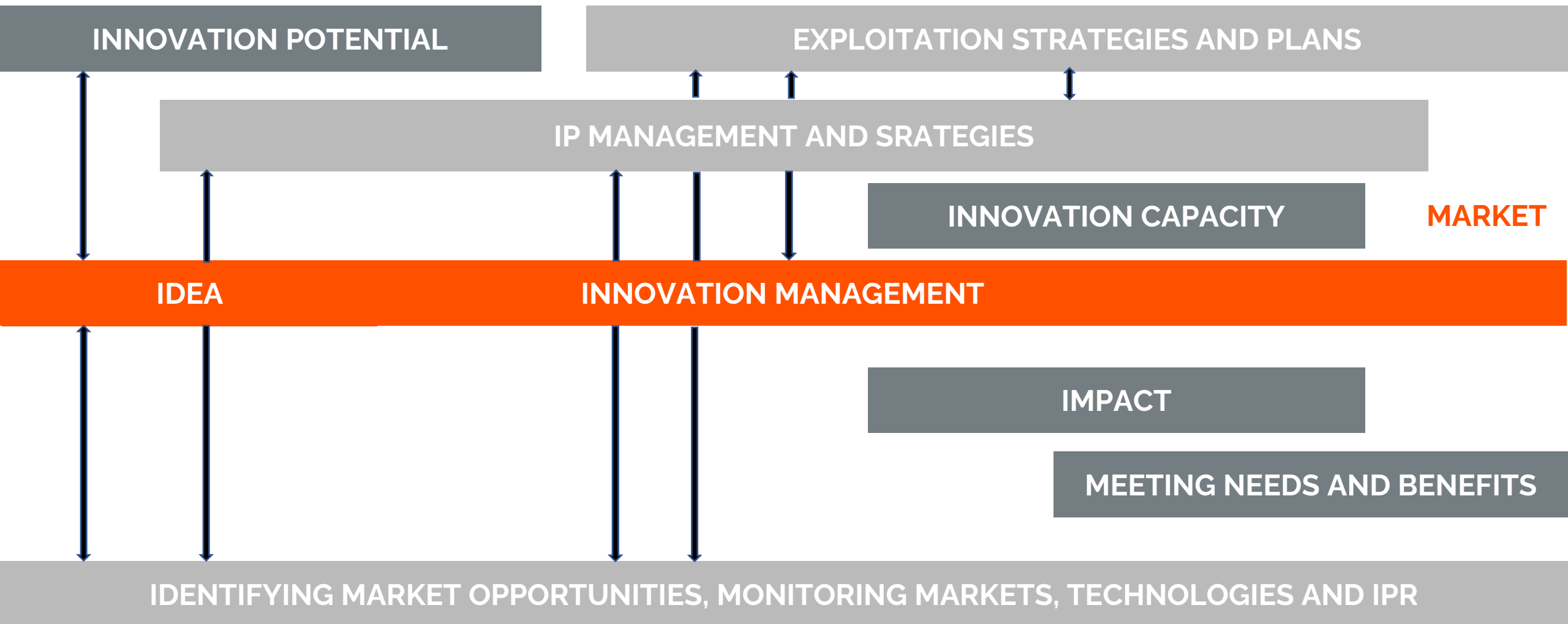
# Content

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

**1**

**Innovation  
management**

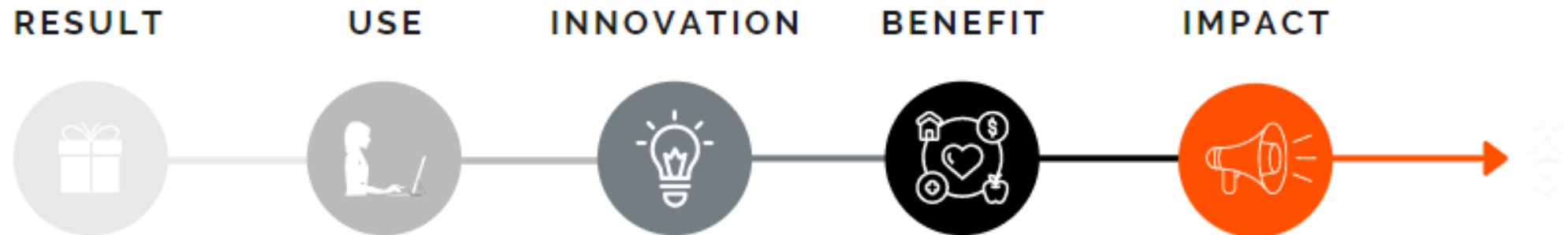
# Innovation management



# 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?



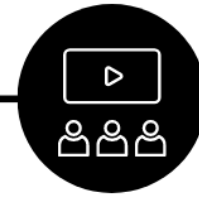
D&E + Key Impact  
Pathways to demonstrate  
the contribution to the  
impact on society



Improvement on  
proposal/reporting  
templates for more  
D&E specific language



Emphasis on D&E in  
continuous  
reporting (even after  
the end of the  
project)



Encouragement of  
third-party  
exploitation (where  
relevant)



Introduction of  
incentives and tools  
for exploitation

# Innovation Ecosystem

Companies

Developers

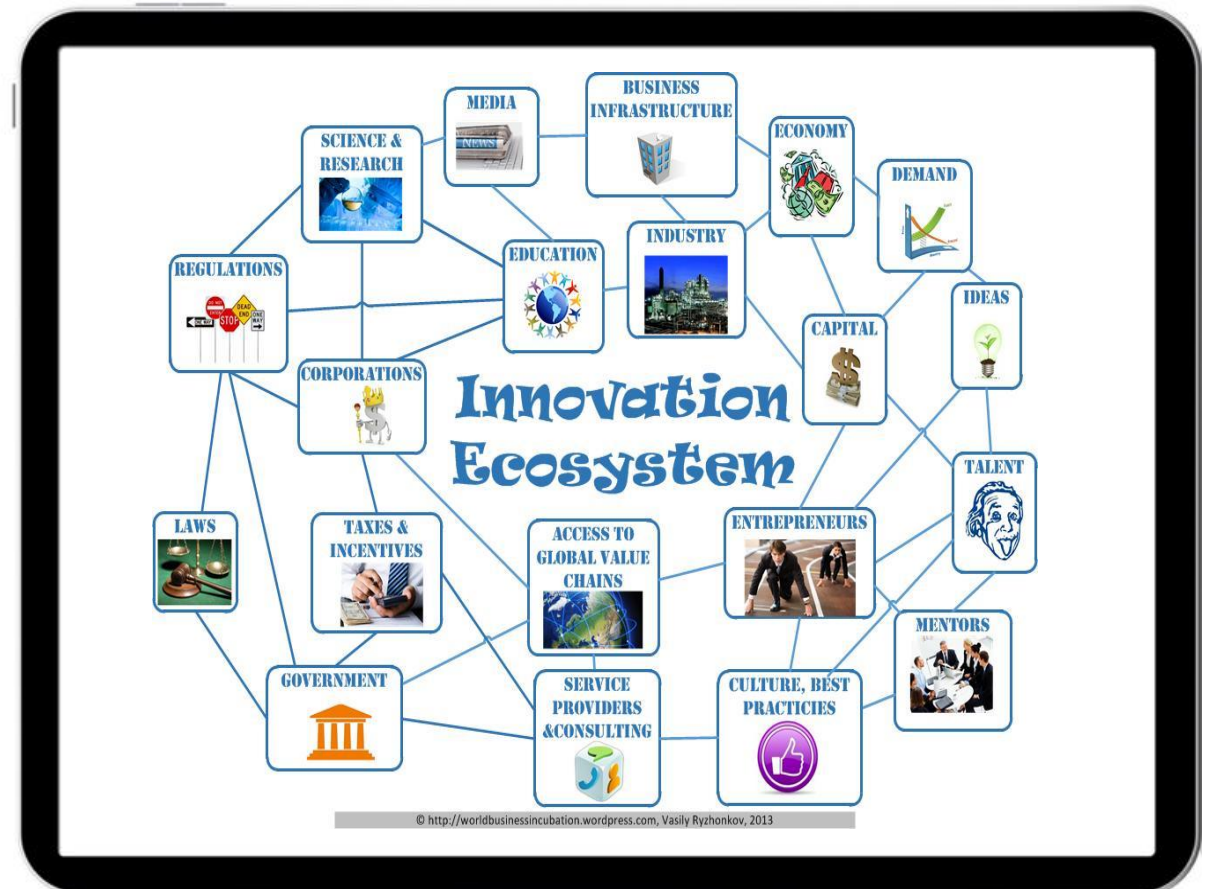
Customers

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)

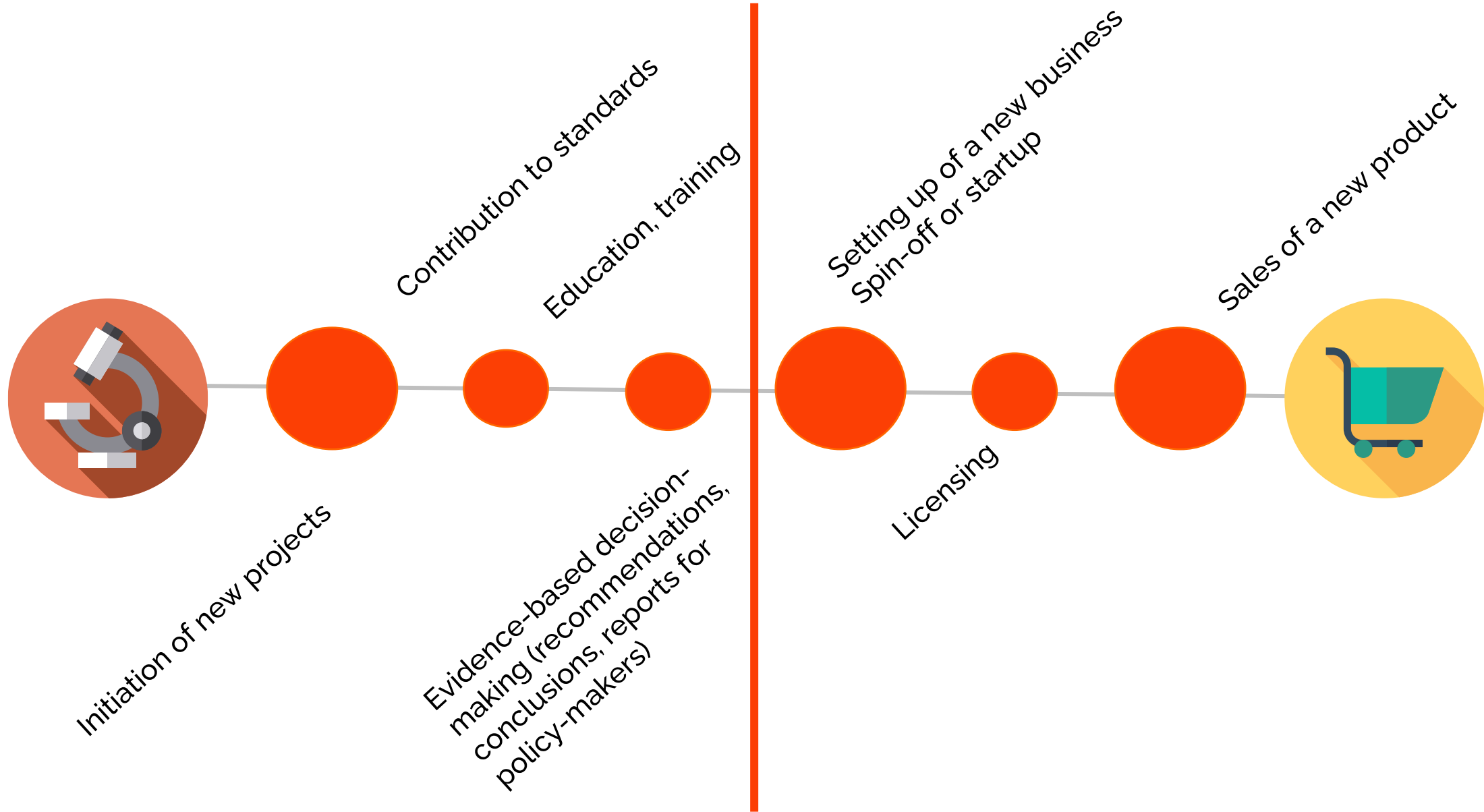
## One product, many IP protection routes

---

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

---

# Exploitation of your results (#5)





# 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**

# 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 interface includes a 'Grant Management' header, project details (101060280 (CEE2ACT), HORIZON-...), and navigation tabs for Project Summary, Researchers involved in the project, Deliverables, and Milestones. The 'Results' section is currently empty, displaying 'There is no result for this project yet' and a 'No results yet' button. The 'Remarks' section contains a note about the obligation to use the platform for finding interested parties to exploit Key Results (KERs).

**Add Result**

Name

Result type

Key results (KER)  
(does result have a high potential?)

- 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

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.
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

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

Results

Disseminat... activities

Standards

Patents (IPR)

Communic... Activities

Datasets

Beneficiaries Feedback

Impact

Other Results

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**

[+ Add Result](#)

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	✕

[Validate](#)

# Results Ownership List

## Final report

ndevugen (EXTERNAL) ?

**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 ContinuatL...	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	✘

Validate

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://ec.europa.eu/info/research-and-innovation/research-area/industrial-research-and-innovation/eu-valorisation-policy/knowledge-valorisation-platform_en)

### Best Practices

#### Flanders' twin policy and funding for knowledge valorisation



#### Entrepreneurial and social potential of Social Sciences and Humanities research



The REVALORISE+ initiative is an Erasmus+ Knowledge Alliance project  
[Read more](#)

#### Open Spin-off Creation Model



The model consists of open procedures at many different levels and stages  
[Read more](#)

#### Technology transfer from research hospitals



Research Hospitals and their Technology Transfer Offices as key players to strengthen the economic impact from collaborations with

Topics

- Any -

Target groups

- Any -

Scope

- Any -

Country

- Any -

Apply

[https://ec.europa.eu/info/research-and-innovation/research-area/industrial-research-and-innovation/eu-valorisation-policy/knowledge-valorisation-platform\\_en](https://ec.europa.eu/info/research-and-innovation/research-area/industrial-research-and-innovation/eu-valorisation-policy/knowledge-valorisation-platform_en)

# 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 **five 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.



## Open Calls for Horizon Europe, DEP and H2020 Projects

HSbooster.eu supports EU Research and Innovation projects to valorise results through standardisation and address urgencies identified in the EU Strategy on Standardisation.

If your project would like to contribute to the revision or creation of standards then our experts can help guide you in the right direction through EC-funded Booster Service.

- ✓ Meet standardisation experts
- ✓ Plan contributions to WGs
- ✓ Learn about the Standards landscape
- ✓ Improve your skillset and strategy

Submit your application now

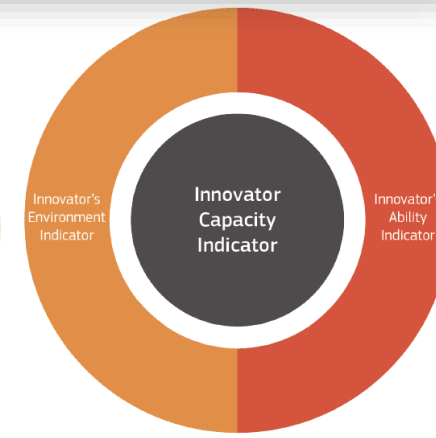
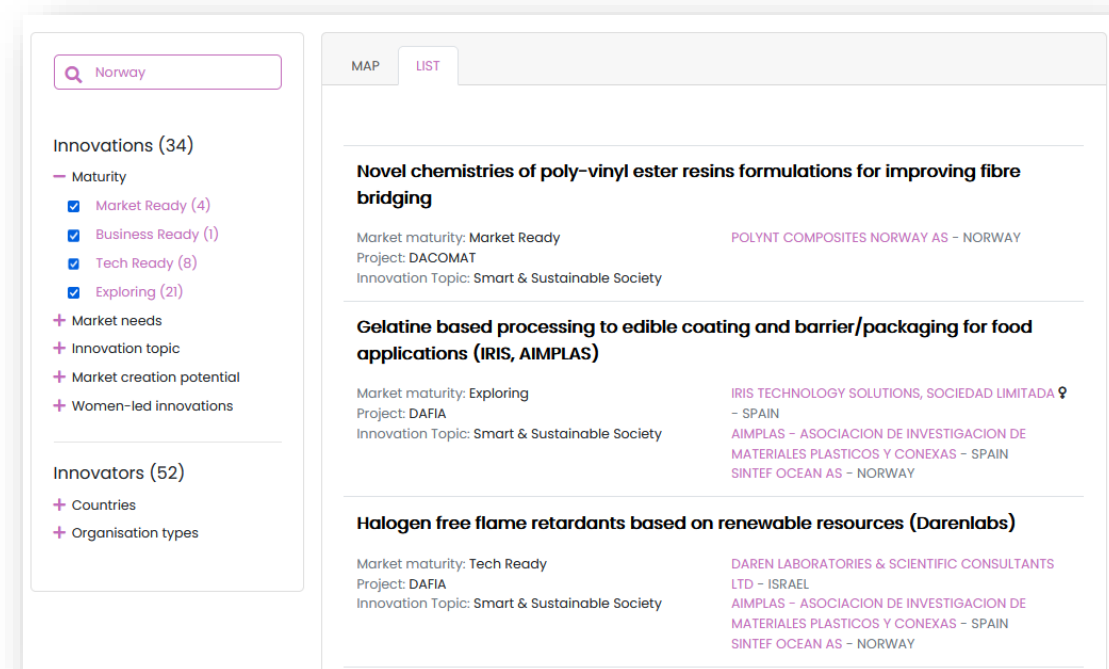


**HSbooster.eu**  
Horizon Standardisation Booster

# 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.



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**  
[gabriella.lovasz@europamedia.org](mailto:gabriella.lovasz@europamedia.org)

**europamediatrainings.com**  
[info@europamediatrainings.com](mailto:info@europamediatrainings.com)

   @EuropaMedia