



Europa Media Trainings

IP, Exploitation and Innovation management in running projects

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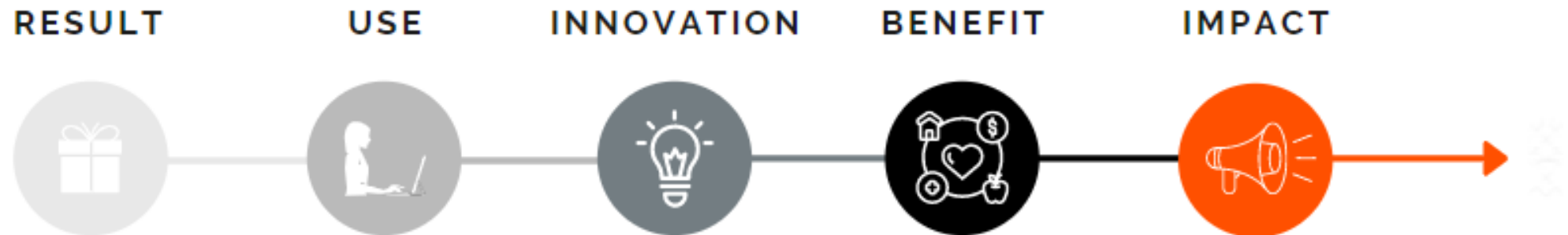
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Exploitation and innovation

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



Policies, guidelines, recommendations

Useful reading

2022/0233 (NLE)

Proposal for a

COUNCIL RECOMMENDATION

on the guiding principles for knowledge valorisation



European Commission - Press release



New approach to enable global leadership of EU standards promoting values and a resilient, green and digital Single Market

Brussels, 2 February 2022

Today, the Commission is presenting a new [Standardisation Strategy](#) outlining our approach to standards within the Single Market as well as globally. The Strategy is accompanied by a [proposal](#) for an amendment to the Regulation on standardisation, a [report](#) on its implementation, and the [2022 annual Union work programme for European standardisation](#). This new Strategy aims to strengthen the EU's global competitiveness, to enable a resilient, green and digital economy and to enshrine democratic values in technology applications.

Standards are the silent foundation of the EU Single Market and global competitiveness. They help manufacturers ensure the interoperability of products and services, reduce costs, improve safety and foster innovation. Standards are an invisible but fundamental part of our daily life: from Wi-Fi frequencies, to connected toys or ski bindings, just to mention a few. Standards give confidence that a product or a service is fit for purpose, is safe and will not harm people or the environment. Compliance with harmonised standards guarantees that products are in line with EU law.

The fast pace of innovation, our green and digital ambitions and the implications of technological standards for our EU democratic values require an increasingly strategic approach to standardisation. The EU's ambitions towards a climate neutral, resilient and circular economy cannot be delivered without European standards. Having a strong global footprint in standardisation activities and leading the work in key international fora and institutions will be essential for the EU to remain a global standard-setter. By setting global standards, the EU exports its values while providing EU companies with an important first-mover advantage.

Executive Vice-President for a Europe Fit for the Digital Age, Margrethe **Vestager**, said: "*Ensuring that data is protected in artificial intelligence or ensuring that mobile devices are secure from hacking, rely on standards and must be in line with EU democratic values. In the same way, we need standards for the roll-out of important investment projects, like hydrogen or batteries, and to valorise innovation investment by providing EU companies with an important first-mover advantage.*"

Commissioner for the Internal Market, Thierry **Breton**, said: "*Technical standards are of strategic importance. Europe's technological sovereignty, ability to reduce dependencies and protection of EU values will rely on our ability to be a global standard-setter. With today's Strategy, we are crystal-clear on our standardisation priorities and create the conditions for European standards to become global benchmarks. We take action to preserve the integrity of the European standardisation process, putting European SMEs and the European interest at the centre.*"

The Strategy presented today proposes five key sets of actions:

1. **Anticipate, prioritise and address standardisation needs in strategic areas:** we need

THE COUNCIL OF THE EUROPEAN UNION,

Having regard to the Treaty on the Functioning of the European Union, and in particular the first and second sentences of Article 292,

Having regard to the proposal from the European Commission,

Whereas:

- (1) On 10 April 2008, the Commission adopted a Recommendation on the management of intellectual property (IP) in knowledge transfer activities and Code of Practice for universities and other public research organisations²⁰. The Council welcomed and supported the Recommendation and the Code of Practice in its Resolution of 30 May 2008²¹. Together the Recommendation and the Code of Practice gave impetus to many publicly funded knowledge producers. Some Member States have made strategic investments in knowledge transfer infrastructures and services such as technology transfer offices and other intermediaries; and some have implemented IP-specific policies, such as the National IP Protocol in Ireland. Further activities promoting knowledge transfer at EU level have been developed as part of the Innovation Union (2010)²².
- (2) The Council Conclusions on Accelerating knowledge circulation in the EU, adopted on 29 May 2018²³, consider that the EU needs to make full use of the relevant scientific and technological knowledge it produces and ensure a more effective transfer of R&I project results to society and industry in order to maximise the impact of R&I investment. It also invites Member States to examine and share best knowledge transfer practices, and calls on the Commission to develop and implement a strategy for the dissemination and practical application of results to further increase the availability and use of R&I project results and accelerate their potential uptake.
- (3) The Commission Communication 'A New ERA for Research and Innovation', adopted on 30 September 2020²⁴, includes strengthening innovation ecosystems for knowledge circulation and valorisation as one of the key objectives of the new ERA and an action to 'Update and develop guiding principles for knowledge valorisation and a code of practice for the smart use of IP'.

²⁰ C(2008) 1329.

²¹ Council Resolution on the management of intellectual property in knowledge transfer activities and on a Code of Practice for universities and other public research organisations, 10323/08.

²² COM(2010) 546 final.

²³ Council document 9507/18.

..

Dissemination and exploitation

What's new in Horizon Europe?



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.**”*



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: | | |

| | | | | |
|---|---|---|---|---|
| CONFIDENTIAL | | | | |
| Invention Disclosure Form | | | | |
| 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: partial contribution to the invention) | | | | |
| | 2 | 3 | 4 | |
| | | | | |
| | | | | |
| Date | | | | |
| FUNDING OF THE INVENTION | | | | |
| Project : | | | | |
| Other: | | | | |
| PERSONAL DETAILS OF THE INVENTOR(S) | | | | |
| | 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).

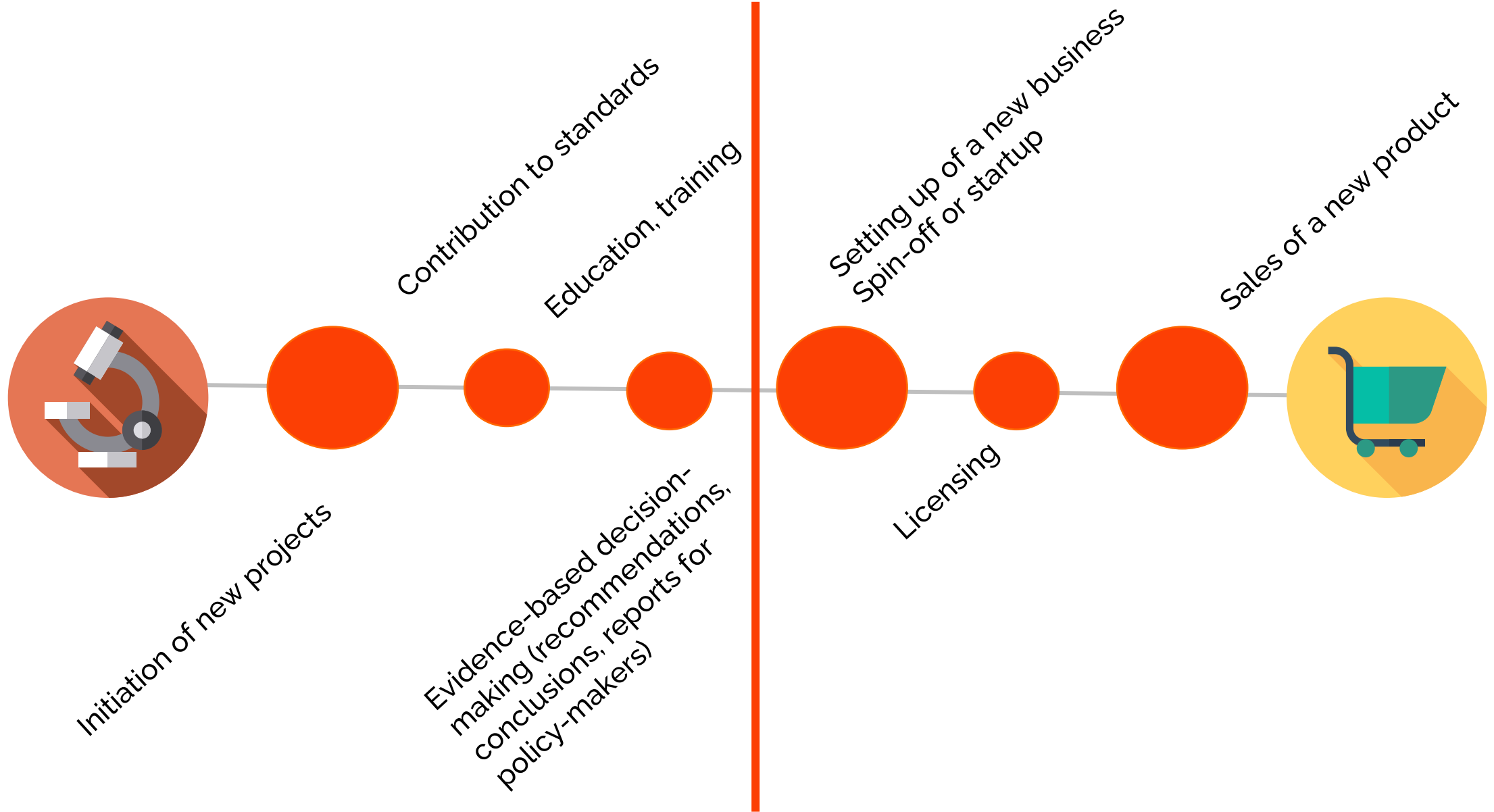


IP protection (#4)

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 |

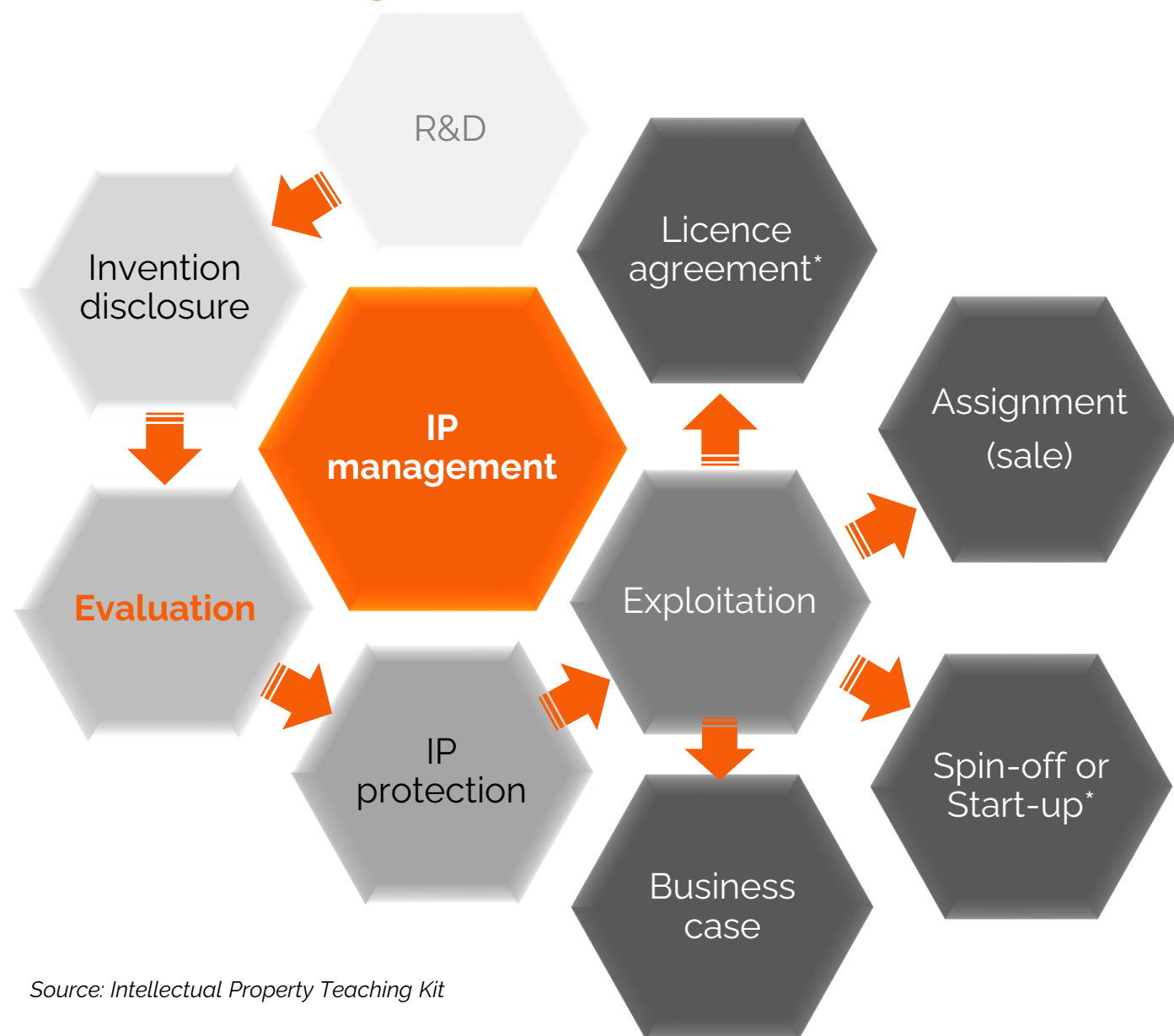
Exploitation of your results (#5)



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?



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



IPR matrix - tool

How to monitor the evolution of your IP

- **Background IP** – know-how/knowledge/data held by beneficiaries and brought to the project
 - ⇒ attached to generated project assets to help determine access rights, ownership issues and IPR
- **Foreground IP** – results/info generated under the project
 - ⇒ to create a concrete mapping of project results and enhance the IP portfolio
- **Exploitable result** – outcome of project that can be commercialized/exploited as a standalone result
 - ⇒ based on the FG, ID the exploitable assets + IPR management procedures (protection, access rights., exploitation plans...)

WHY?

- To help the coordinator to properly **report continuously** these elements



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 page is titled 'Grant Management' and displays project details for '101060280 (CEE2ACT)' under the call 'HORIZON-CL6-2021-GOVERNANCE-01'. The 'Results' section is currently empty, showing a 'No results yet' message. The 'Add Result' 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.

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 |
| ✓ | ✓ | 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

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 Continuat...
 ✓

Other Results
 ✓

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 | ✘ |

**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

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

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

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