



Dissemination and Exploitation (D&E), Project Reporting and monitoring and Open Science in Horizon Europe

Stakeholder Workshop on Horizon Europe implementation

France

15 October 2019, Paris



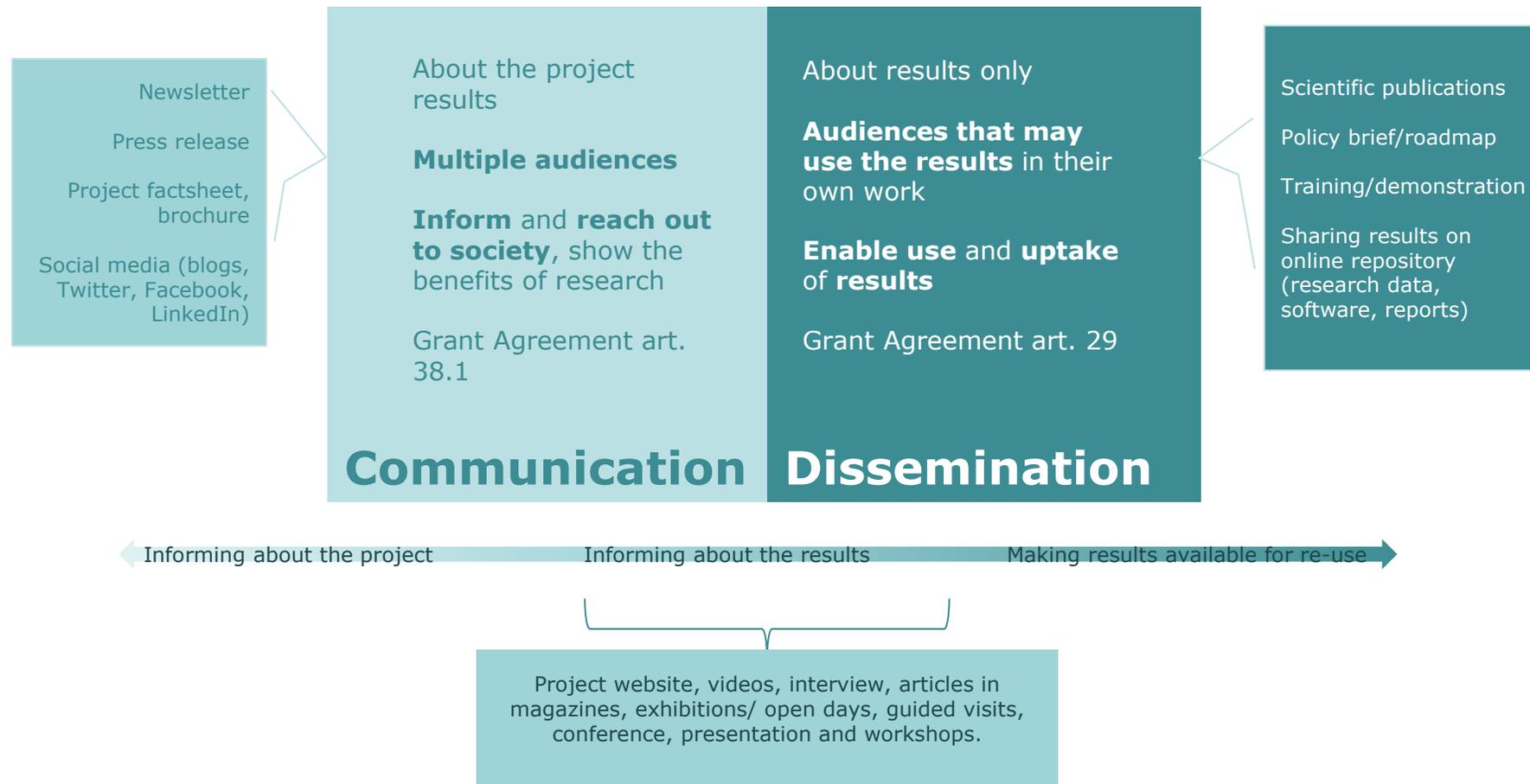
Dissemination and Exploitation in Horizon Europe

Horizon 2020 Programme increased importance given to D&E

H2020 Implementation rules

- **Proposal template** highlights Dissemination and Exploitation plan as an admissibility condition and included in the Impact criterion evaluation
- **Grant agreement (GA)** includes articles 28 on Exploitation and 29 on Dissemination and possibly additional D&E obligations following the WP
- On July 2018, the R&I family endorsed a revised [Strategy for effective dissemination and exploitation of H2020 research results](#) calls for:
 - Better use of funded R&I project results to economic and social use
 - Making available scientific evidence in support of policy making

What is the difference?



What is the difference?



← Making results available Facilitating further use of results Making use of results →

Innovation management, Copyright management, Data management plan, Active stakeholder/user engagement.

Why D&E activities are important for the project?

- To attract new talent to join the team
- To maintain international and interdisciplinary collaboration opportunities
- To improve access to other funding opportunities
- To seek for innovations and if commercial exploitation takes place, new source of income
- To help contribution to societal goals thereby providing more visibility/prestige to the researcher/institution

Why D&E activities are important for the Commission?

- Increase intelligence on the results data we receive from R&I projects
- Complete the FP data with data coming from other sources
- Cluster results in all areas of the FP and make them available in structured way to all interested parties
- Support and advice the beneficiaries on the potential uptake of their results
- Create a framework that can serve synergies of Horizon Europe with other EU initiatives on the R&I results

Why does it not always happen?

From the side of the project/beneficiaries

- Perceiving D&E as "tick boxes", not important for the "real work" of the project (research)
- Focusing on implementing VS aligning work with the needs of users and stakeholders
- Lack of skills (or interest) to consider or share the value and possible benefits of the results for wider society
- Lack of knowledge of dissemination and exploitation risks and opportunities
- Not (yet) truly part of the project design
- Often interpreted as an activity after the project lifetime

From the side of the Commission

- The current reporting on D&E is not fit for the purpose
- Sketchy and sometimes confusing data collection fields
- Limited follow up on the project results after the end of the project



D&E in Horizon Europe

D&E remains key in FP implementation



➤ **Dissemination is a specific objective for all measures**

➤ **D&E in FP**

- 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
- Encourage the third party exploitation

The Dissemination & Exploitation Strategy for Horizon Europe

- To create the necessary **incentives for FP beneficiaries and innovators** to share their results and data for use and reuse
- **To cluster mature research results** and make them available for **Member States and EU regions** for potential uptake
- **Provide holistic support** throughout the dissemination and exploitation lifecycle for **accelerating knowledge circulation in Europe**
- **4 proposed objectives:**
 - Capture R&I data and results and make them available;
 - Increase the uptake, use and valorisation of R&I results;
 - Provide the necessary framework for feeding R&I data and results into policymaking; and
 - Support the key impact pathways implementation of the R&I framework programme.

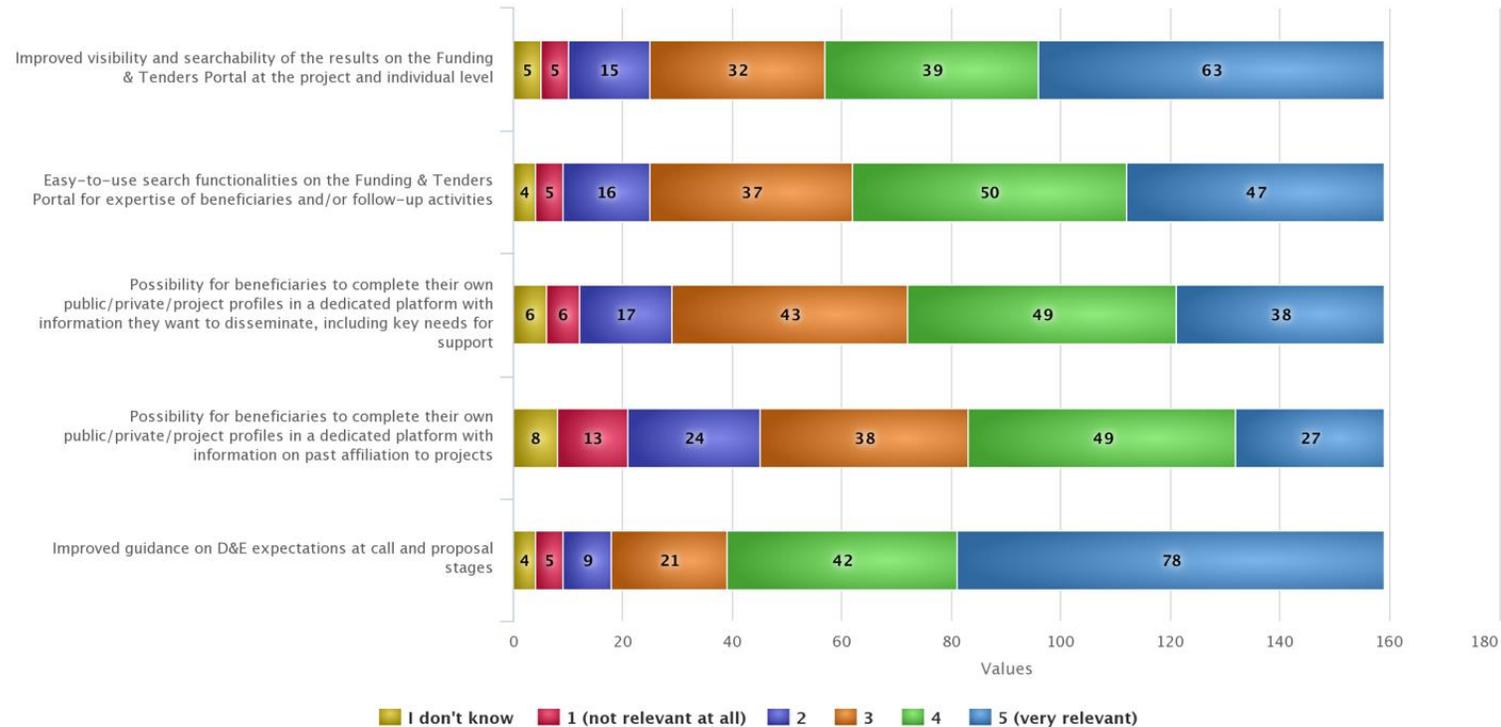


Main orientations for D&E activities under Horizon Europe (1/2)

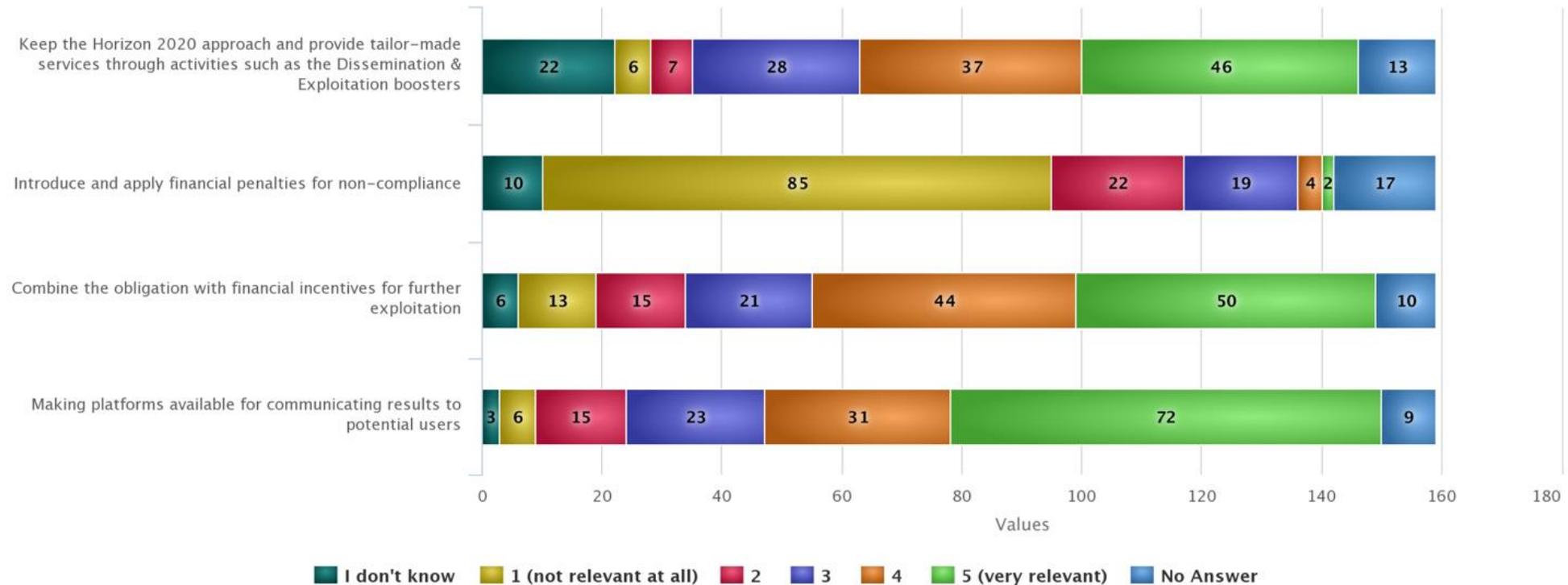
- Change the current D&E reporting templates to allow more and better data collection on the R&I results from the projects
- Continue the delivery of D&E tailored services to beneficiaries to increase their exploitation potential (the D&E Booster)
- Collect data from external sources and combine them with the data from the Framework Programme to complete the information on R&I results after the end of a project
- Launch and promote the Horizon Results Platform to help beneficiaries make their exploitable results available to interested potential users

Main orientations for D&E activities under Horizon Europe (2/2)

- Provide incentives to beneficiaries to continue reporting on D&E after the end of their projects. The incentives could be financial or through dedicated service delivery
- Work more on the synergies with other EU programmes and initiatives. Matchmaking of national or regional needs with existing R&I results
- Cluster R&I project results to address specific requests for common exploitation or programming purposes
- Provide the necessary framework where R&I project results can feed into policy and decision making



- *The majority of the respondents seem to find the proposed orientations relevant or very relevant with biggest support to 'Improve visibility and searchability of the results on the portal' and lowest support to 'Possibility for beneficiaries to complete their own project profiles in a dedicated platform'.*
- *Same trend at EU level.*



- *Making platforms available for communicating results to potential users is the most relevant incentive way for beneficiaries.*
- *To introduce and apply financial penalties for non-compliance is the less relevant incentive 😊.*
- *Same trend at EU level.*



Project reporting and monitoring in Horizon Europe

- ✓ **Monitor progress and delivery**
 - ✓ continuous task that can take place at any moment during the active period of the project (and beyond), but that it could be more relevant at certain periods in project's life, in particular after each reporting period at the time of payments.
- ✓ **Ex-ante control before payment**
- ✓ **Collection of information and data for programme monitoring**
- ✓ **Feedback to policy making**

Review meetings may be organised regularly, normally after each reporting period. External experts may assist.

✓ Continuous reporting

- ✓ Deliverables →
 - ✓ Milestones (follow up) →
 - ✓ Critical risks (follow up) →
 - ✓ Questionnaire for H2020 Key Performance indicators (predefined by the Programme)
- Linked to the action and proposed by the applicants in the proposal (described in Annex I of the grant agreement)

✓ Periodic and Final Reports

- ✓ Periodic technical report →
 - ✓ Periodic financial report →
- Following predefined template (pdf) and web-based forms



- ✓ "ex-ante controls should be *cost-effective, efficient, rapid and harmonised* [...] avoid unnecessarily burdening beneficiaries but help reduce the overall error risk in the control system."
- ✓ "The control system shall ensure an appropriate *balance between trust and control*, taking into account the administrative and other costs of controls at all levels, so that the policy objectives of Horizon 2020 (scientific excellence and international competitiveness) can be achieved".

- ✓ *Where possible, **ex-ante controls will be targeted** to riskier transactions and beneficiaries, rather than being performed systematically.*
- ✓ *Such a system is more flexible and adaptable to specific risks, will reduce the administrative burden on beneficiaries, and will also cost less.*



- Key Impact Pathways (KIPs)
- Linking with existing data sources wherever possible
- Some reporting requirements after project end
- Stronger focus on dissemination and exploitation



Open Science in Horizon Europe

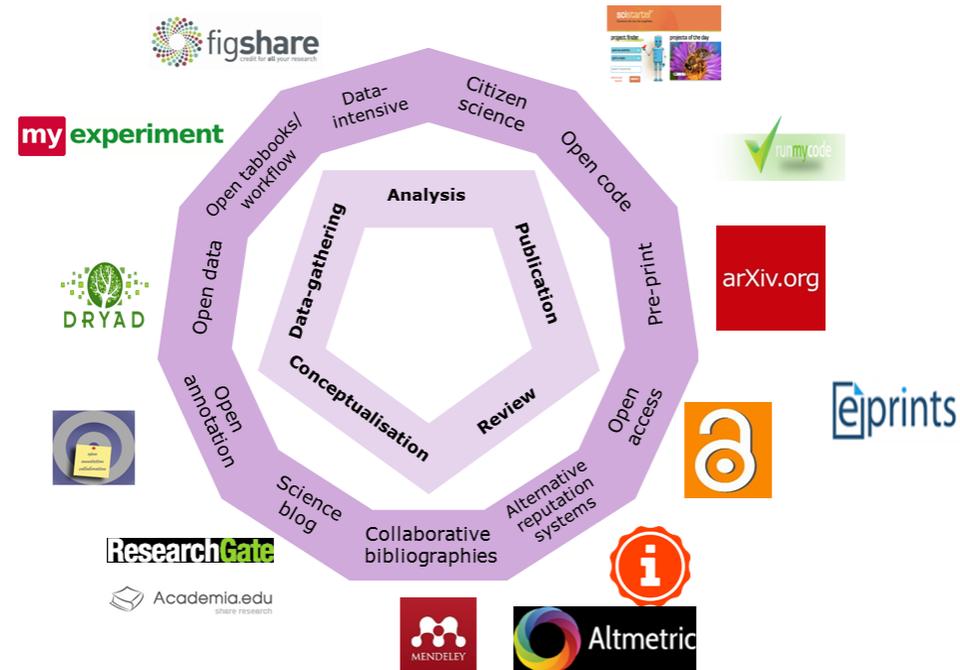
How to describe Open Science?

There are many definitions but maybe Open Science is:

- **A system of practices that moves towards a more open, collaborative, data-intensive and networked way of doing research and sharing research results, enabled by developments in ICT and related infrastructures and the increasing proliferation of data.**

Or Open Science is:

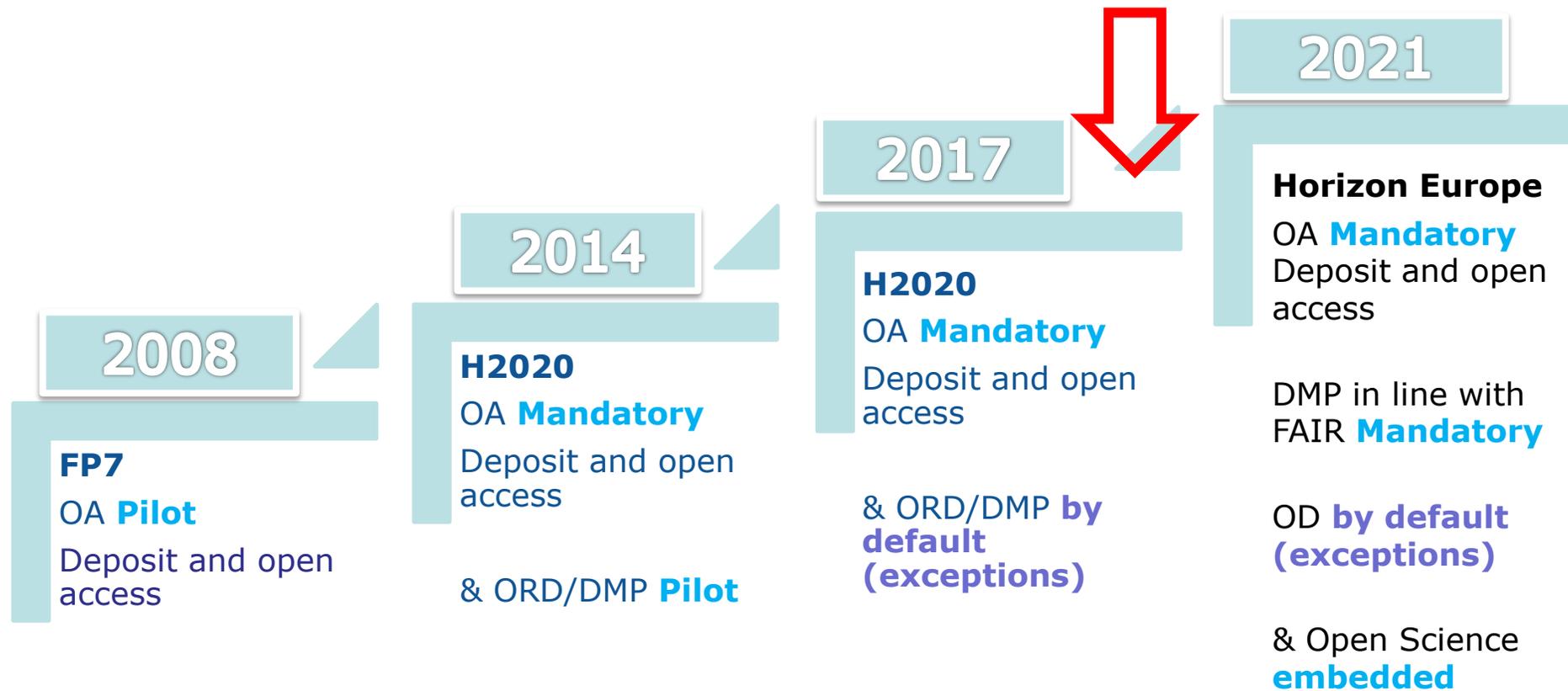
- **Just science done right!**



Why is Open Science so important?

- ✓ *It's good for science: efficiency, verifiability, transparency, interdisciplinarity*
- ✓ *It's good for the economy: access to and re-use of scientific information by industry, innovation*
- ✓ *It's good for society: broader, faster, transparent & equal access for citizens, increased societal impact of science and research*

The evolution of Open Science in the EU funding programmes for R&I



*Horizon Europe goes beyond OA (publications & data)
to embrace & incentivise Open Science as modus operandi for science*

Proposals for research data in Horizon Europe

Mandatory Data Management Plan

- **When there is research data generated, collected, re-used...**

Open by default

- **Unless it cannot be (exceptions will apply- we will not use the term 'opt-out' any more)**

Open access/data management disambiguated

- **Different from current situation**

Use of European Open Science Cloud required

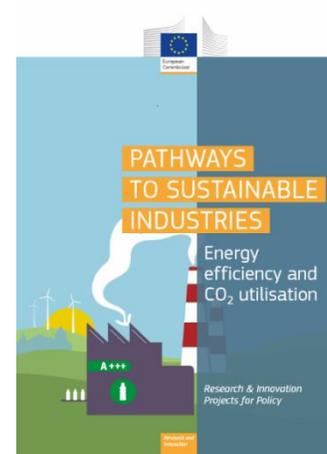
- **In some Work Programmes**

D&E Tools already offered to beneficiaries

- ✓ Common Dissemination & Exploitation Booster
- ✓ H2020 Dashboard
- ✓ Projects for Policy (P4P) reports
- ✓ Innovation Radar (IR)
- ✓ Horizon results platform (upcoming)



COMMON
EXPLOITATION
BOOSTER



CORDIS

Common Dissemination & Exploitation Booster

- A free service for FP beneficiaries to support them in their D&E activities
- 2 pilot boosters for Common Exploitation Booster (CEB) -closed, and Common Dissemination Booster (CDB) -ongoing
- Beneficiaries applied to a call for interest
- Free tailor made consultancy services to increase the impact of D&E efforts
- ✓ New procurement in progress (4-yrs FWC) offering number of similar and new types of D&E services to beneficiaries
- ✓ New call for expression of interest to open in 2019

COMMON
EXPLOITATION
BOOSTER



The 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 F&T Portal



H2020 Implementation



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

[Implementation »](#)

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.

[Results view »](#)

H2020 KPIs



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

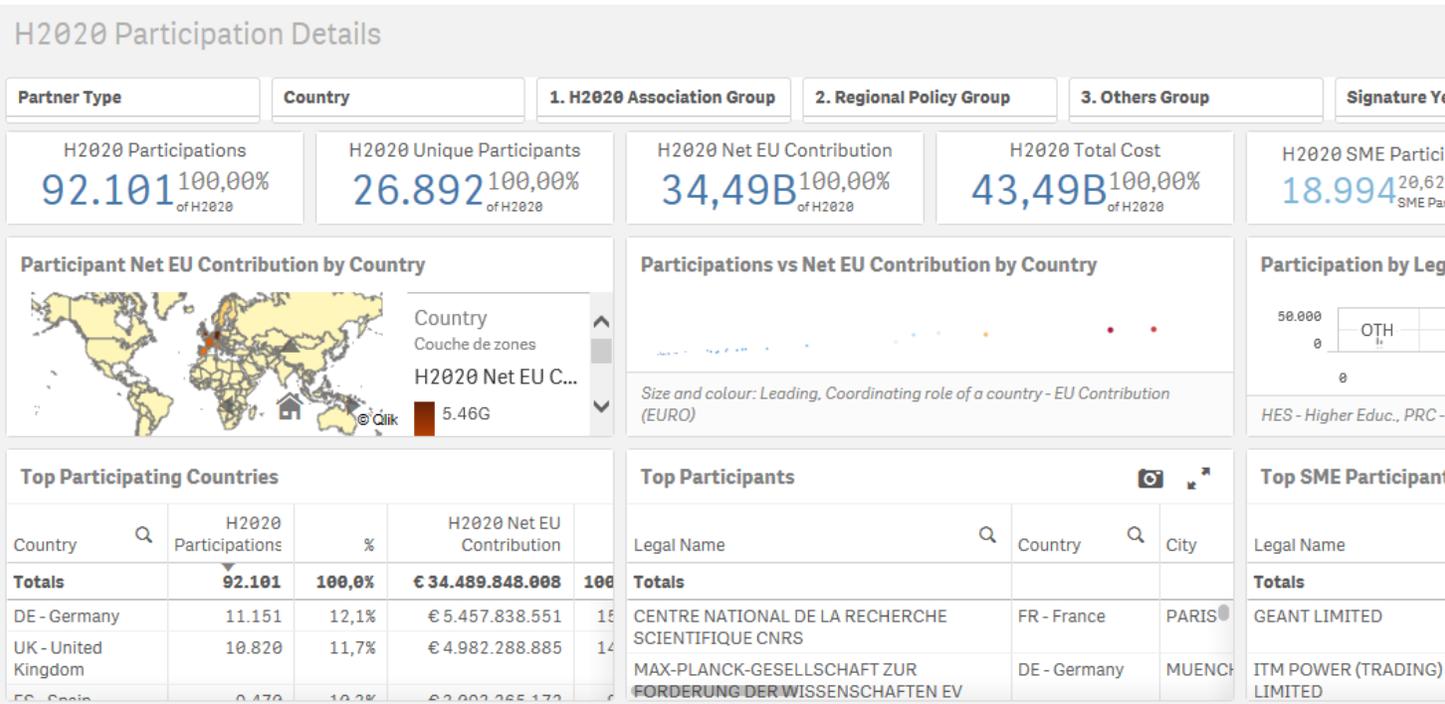
[KPI view »](#)

H2020 Thematic views



Thematic views for relevant H2020 research topic. This part of the dashboard focuses on the cross cutting issues (CCI), for the thematic like INCO, CLIMA, SME and other.

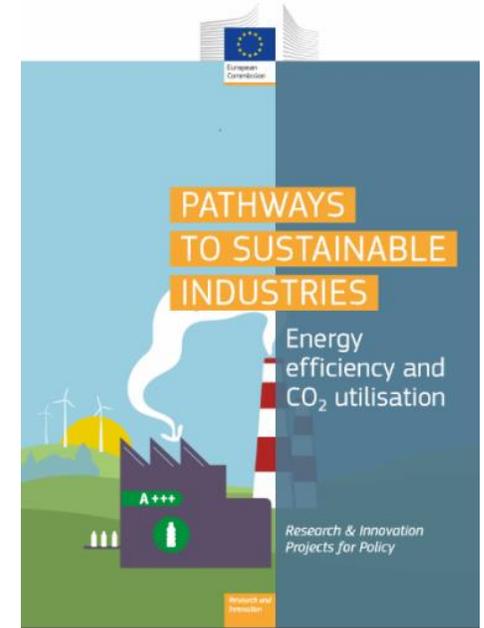
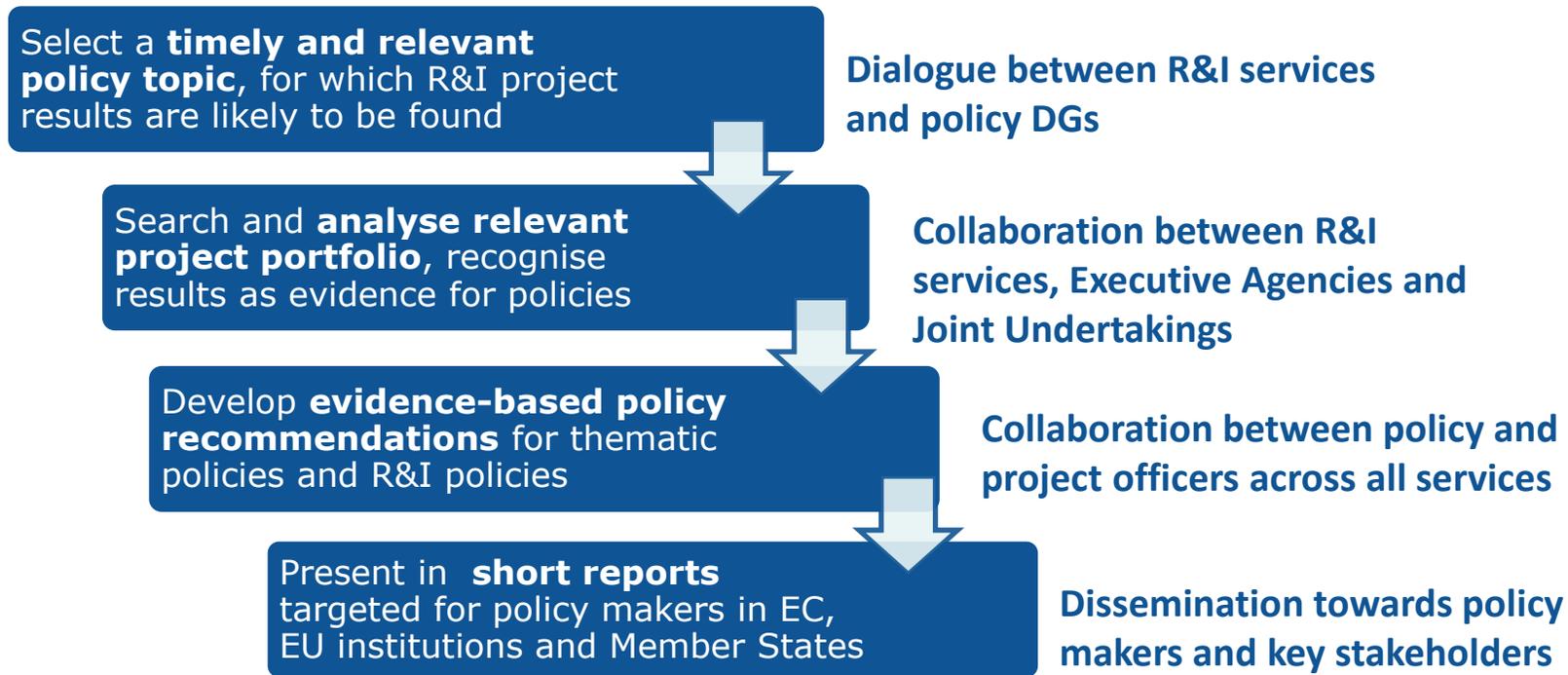
[Thematic views »](#)



<https://ec.europa.eu/research/participants/portal/desktop/en/projectresults/index.html>

Projects for Policy (P4P)

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



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>)



CORDIS/ EU Open Data Portal

- EC dissemination platform on FP funded research projects, publicly available
- Products and services offered:
 - ✓ Publishable summaries for H2020
 - ✓ Results Packs
 - ✓ Enhanced Results in Brief
 - ✓ H2020 public deliverables and Publications
 - ✓ **New:** Patents (FP7, H2020), Investor packs, a renewed website with better visualisation and search functionalities
- Offers support for accessing Open Air results (search interface):
https://data.europa.eu/euodp/en/data/dataset?q=cordis&ext_boolean=all&s
- ✓ The most downloaded datasets from the EU open data portal are the R&I projects data.



Horizon Results Platform

Why a platform?

” ... to turn the high volume and quality of its science and research results faster and deeper into innovations which generate value for economy and society” – **Pascal Lamy, when speaking of Europe’s challenges and ambitions**

A Horizon results Platform is to be formally introduced under Horizon Europe (**Art. 35 in HE Commission proposal**, currently under negotiation with Council and Parliament).

Main idea is to make results of our beneficiaries **known** to a wide community and the public **and for these results to find uses**

What is the platform?

- Part of the D&E strategy 2018 – 2020
- In 2019 a Pilot of this platform will be developed as part of the F&T Portal. It will be kicked off during R&I days 2019
- In this Pilot, projects from Horizon 2020 will be encouraged to present their results
 - *Results to be presented in visually attractive way (e.g. videos), and optionally with more in-depth content references*
 - *Results to be searchable by sector, geography, keywords*
 - *Beneficiaries (the authors of results) and external users (MS ministries, universities, EC Institutions, Investors, etc.) will be “matched” based on their declared “what I am looking for” declarations when registering in the platform.*

Article 10- Open science

1. The programme shall encourage open science as an approach to the scientific process based on cooperative work and diffusing knowledge, in particular in line with the following elements:

- open access to scientific publications resulting from research funded under the Programme;*
- open access to research data, including those underlying scientific publications.*

These elements shall be ensured in accordance with Article 35(3) of this regulation. The latter shall also be in line with the principle 'as open as possible, as closed as necessary';



Article 10- Open science

1a. The principle of reciprocity in open science shall be promoted and encouraged in all association and cooperation agreements with third countries, including agreements signed by funding bodies entrusted for indirect management of the Programme.

2. Responsible management of research data shall be ensured in line with the principles 'Findability', 'Accessibility', 'Interoperability' and 'Reusability' (FAIR). Attention shall also be paid to the long-term preservation of data.

3. Other open science practices shall be promoted and encouraged, including for the benefit of SMEs.

Article 35- Exploitation and dissemination

3. Beneficiaries shall ensure that open access to scientific publications applies under the terms and conditions laid down in the grant agreement. In particular, the beneficiaries shall ensure that they or the authors retain sufficient intellectual property rights to comply with their open access requirements.

Open access to research data shall be the general rule under the terms and conditions laid down in the grant agreement, ensuring the possibility of exceptions following the principle 'as open as possible, as closed as necessary', taking into consideration the legitimate interests of the beneficiaries including commercial exploitation and any other constraints, such as data protection rules, privacy, confidentiality, trade secrets, Union competitive interests, security rules or intellectual property rights.

The work programme may provide for additional incentives or obligations to adhere to open science practices.

Article 35- Exploitation and dissemination

4. Beneficiaries shall manage all research data generated in a Horizon Europe action in line with the FAIR principles and in accordance with the terms and conditions laid down in the grant agreement and shall establish a Data Management Plan.

The work programme may provide, where justified, for additional obligations to use the European Open Science Cloud (EOSC) for storing and giving access to research data.