

# Exploitation & Open science in Horizon Europe

# Exploitation & Dissemination (D&E)

- D&E cuts across the overall project life cycle, from the proposal until after the end of the project
- Applicants have to submit (unless Work Programme says otherwise) a short description of the D&E activities together with the impact pathways in their proposal
- In Horizon Europe not a full fledged D&E plan is required at proposal stage, but a complete exploitation, dissemination and communication plan has to be submitted during the first 6 months of the project

# Obligation of beneficiaries to exploit their R&I results

- In Horizon Europe, as in H2020, the obligation to exploit remains and is a responsibility of the beneficiaries on a “best efforts” approach
- When specified in the WP additional exploitation obligations could be applied
- Horizon Europe encourages the use of the R&I results through third party exploitation (where appropriate)
- If despite the best effort for exploitation no uptake happens within a specific period after the end of the project (1 year), then the project must use the Horizon Results Platform to make exploitable results visible (unless obligation is waived)
- The Horizon Results Platform is free, is part of the F&T portal, available to all beneficiaries and is based on results, not on projects.

# Follow up on R&I results after the end of the project

- In Horizon Europe, the follow up of the exploitation activities will continue after the end of the project
- The first year after the end of the project, and if no exploitation takes place, beneficiaries must use the Horizon Results Platform for making their exploitable results visible
- For the following period there will probably be a structured questionnaire available to beneficiaries to report on the progress, their needs and obstacles on their path for exploitation
- This questionnaire could be part of the EC grant management system and will remain open until the conclusion of the follow up period after the end of the project where a final report will be created.

# Better and more focused reporting on exploitation & dissemination

- Horizon Europe will introduce:
  - proposal template with more specific language on D&E and the related activities
  - better and more focused D&E reporting. The reporting will include amongst others, enhanced sections for **IP management** and **open science**

# **IPR in Horizon Europe & additional specific provisions**

# Results ownership list (ROL)

## ➤ WHAT ?

A form in the reporting template: several columns asking whether the ownership is a single or joint ownership, the name of the owner(s), the country of establishment of the owner(s) and whether the results will be exploited by the owner(s).

## ➤ WHY ?

Clarification of the ownership of results to help, promote, speed up and simplify the exploitation

# Results ownership list (ROL)

## ➤ WHEN ?

In the last periodic reporting period

## ➤ FOLLOW UP ?

Snapshot in time → follow-up after the end of the project



# Public emergency provision (1)

## ➤ WHY ?

Ensuring availability of results (Necessity in a crisis like Covid crisis)

## ➤ WHAT ?

Right to request the beneficiary to grant non-exclusive license under fair and reasonable conditions

## ➤ WHEN ?

In case of a public emergency = An emergency characterised by a genuine and sufficiently serious threat undermining European Union's security, public order or public health.

# Public emergency provision (2)

## ➤ TO WHOM ?

To legal entities that need the results to address the public emergency and commit to rapidly and broadly exploit the resulting products and services at fair and reasonable conditions.

## ➤ FOR HOW LONG ?

Minimum = the duration decided by the granting authority

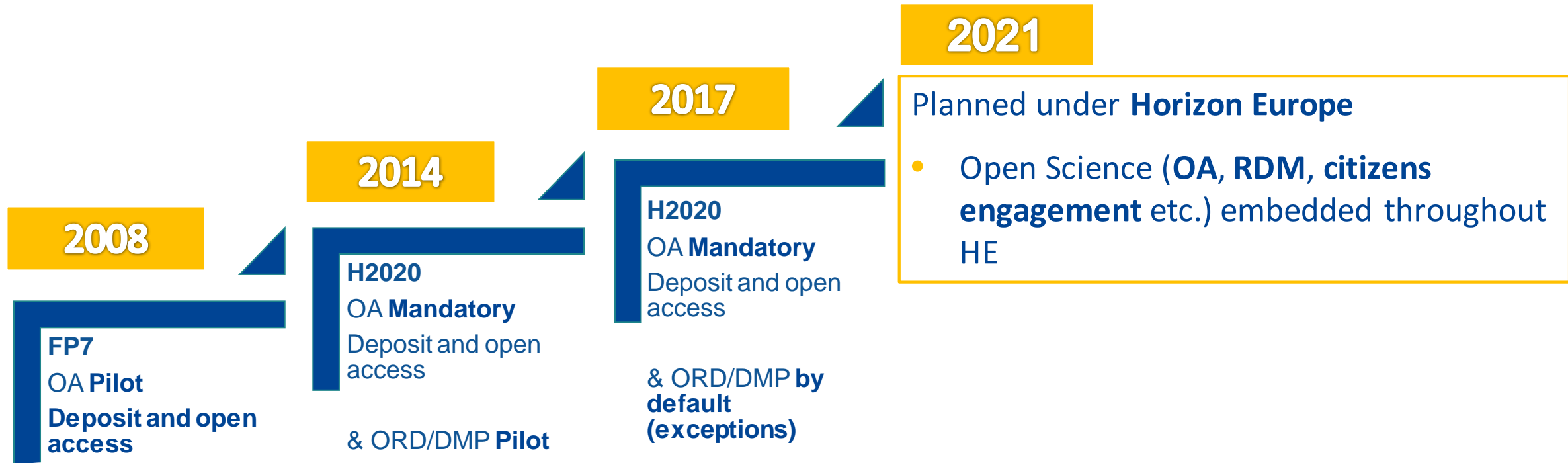
Maximum = up to four years after the end of the action

## ➤ FOR ALL PROJECTS ?

Each time the work programme imposes additional exploitation obligations in case of a public emergency.

# Open Science in Horizon Europe

# Evolution of open science policy across FPs



# Peer-reviewed scientific publications

- **Immediate open access** through **trusted repository** (at the latest at the time of publication);
- **publications** licensed under **CC BY** (or equivalent); **CC BY-NC/ND** (or equivalent) allowed for long-text formats;
- **Information** provided via the repository about any research output, tool, or instrument **needed to validate** the conclusions of a publication;
- Beneficiaries/authors **must retain sufficient IPR** to comply with their OA requirements;
- **Metadata licensed under CC0 or equivalent**, in line with FAIR principles (particularly machine-actionable); **PIDs** (publication, authors, if possible their organizations and the grant).
- **Only** publication fees (if any) in **full open access venues** for peer-reviewed scientific publications are **eligible for reimbursement**.

# Research Data Management (RDM)...

- Emphasis shifts **from open research data to RDM**
- **No opting out** of RDM. Projects generating research data **MUST manage their data** responsibly and in line with FAIR principles
- Open access to research data ‘as open as possible as closed as necessary’, i.e. there can be **exceptions to open access to research data.**
- ...

# ... Research Data Management (RDM)

- Establish and regularly update a **Data Management Plan**
- **Deposit data in a trusted repository** and provide **open access** through it
  - Deposit and open access **ASAP and per DMP**
  - For some actions, additional **obligation** to deposit in a repository that is **federated under EOSC**
- **CC BY** or **CC 0** (or equivalent) license required to open data
- **Exceptions to open access** (duly justified in the DMP; legitimate interests or constraints);
- **Information** via the repository about any other research output or any other tools and instruments needed to **re-use or validate the data**;
- **Metadata requirements** same as for publications (i.e. CC0 and PIDs)
- **Costs for RDM** (for example data storage, processing and preservation) are **eligible**

# Open science: access for validation

- Obligatory **provision of physical or digital access** to data or other results needed for **validation** of conclusions scientific publications
- Legitimate interests/concerns must still be safeguarded



# Open science in case of public emergencies

- If imposed by the WP, if requested by the granting authority
- Requirement for **immediate open access with a CC BY or CC0** or equivalent licence **to any research output**
- With **exceptions**: legitimate interests
  - Then must give non-exclusive license on fair and reasonable conditions to entities that need the research output to address the public emergency and commit to rapidly and broadly exploit the results