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.

https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/opportunities/horizon-results-platform
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

- **2008**
  - FP7 OA Pilot
  - Deposit and open access

- **2014**
  - H2020 OA Mandatory
  - Deposit and open access
  - & ORD/DMP Pilot

- **2017**
  - H2020 OA Mandatory
  - Deposit and open access
  - & ORD/DMP by default (exceptions)

- **2021**
  - Planned under Horizon Europe
  - Open Science (OA, RDM, citizens engagement etc.) embedded throughout HE
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