

# TIPS

TRANSPORT R&D  
FOR INNOVATION



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# FP7 Requirements for your Project's Exploitation Plan

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# Outline

- Goal of the presentation
  - Summarise the exploitation requirements of FP7
- Outline
  - Definitions
  - Official documents
  - Proposal stage exploitation
  - Project stage exploitation
  - Outlook to Horizon 2020



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# Why exploitation ?

- Ensures use and dissemination of the knowledge generated.
  - Demonstrates the added value of projects.
  - Promotes further scientific developments.
- Maximises the impact of the funding granted in the market.
- Ensures sustainable growth, more and better jobs, as well as industry competitiveness.
- To be verified by the EC.



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# Why FP7 ?

- FP7 ends right now ...
- Much experience with exploitation in FP7 and earlier Framework Programmes
- TIPS is dealing with FP7 projects
- H2020 exploitation still unknown but continuity expected



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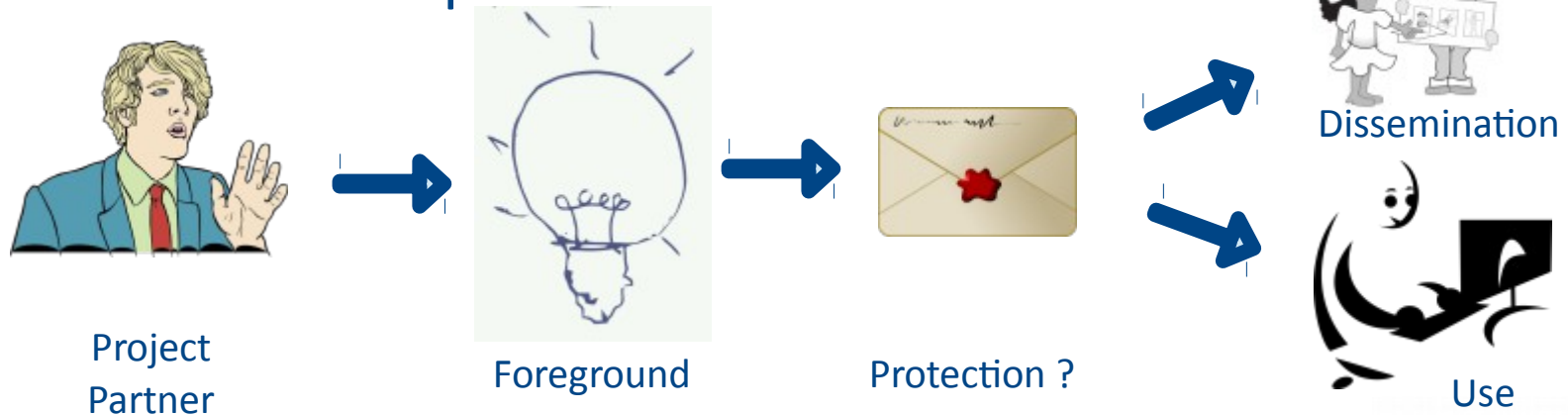
# Official Documents

- Base document: Grant agreement
  - Article II.29. Use
    - 1. The beneficiaries shall use the foreground which they own or ensure that it is used.
    - 2. The beneficiaries shall report on the expected use to be made of foreground in the plan for the use and dissemination of foreground. The information must be sufficiently detailed to permit the Commission to carry out any related audit.
  - Article II.4. Reports and deliverables
    - 2. ... the plan for the use and dissemination of foreground.



# What do we speak about ?

- Exploitation: get value or use from a project.
- Use:  
direct or indirect utilisation of foreground in further research activities other than those covered by the project, or for developing, creating and marketing a product or process, or for creating and providing a service. (Article II.29 of GA)
- Dissemination: publication



# Exploitation Paths

- Universities and research centres
- Large companies
- SMEs
- NGOs
- Administrations and government organizations
- International organizations



- Publications
- Product development
- Services
- Consulting
- Spin-off company
- European economic interest group
- Patents
- Further Financing





# Proposal Stage Exploitation

- Guidelines for proposers

## Section B3.1 Expected impacts listed in the work program

- Describe how your project will contribute towards the expected impacts listed in the work program
- description of plans for the dissemination and/or exploitation of the results for the consortium as a whole and for the individual participants in concrete terms
- Recommended length ... 10 pages

- Evaluation Criteria

- Appropriateness of measures for the dissemination and/or exploitation of project results, and management of intellectual property.



# Project Stage: PUDF

- Plan for the use and dissemination of foreground
  - summarises the strategy and the concrete actions of a consortium for the protection, exploitation and dissemination of the results.
  - must be submitted within 60 days after the end of the project (article II.29 and 30 and II.4.2(b) of the standard model Grant Agreement).
- Section A
  - scientific publications, dissemination activities.
  - Disclosed publicly by the EC.
- Section B
  - exploitable foreground and plans for its exploitation.
  - made available to the public, except if clearly marked as confidential.



# PUDF – Section A: Dissemination

- List of scientific publications;
- List of dissemination measures: the type of activity (web site, conference, ...), the main leader, title, date and place, type and size of audience and countries addressed.
- This section should summarise:
  - how participants plan to reach their target public
  - the communication strategy



# PUDF – Section A: Dissemination

**TEMPLATE A1: LIST OF SCIENTIFIC (PEER REVIEWED) PUBLICATIONS, STARTING WITH THE MOST IMPORTANT ONES**

NO.	Title	Main author	Title of the periodical or the series	Number, date or frequency	Publisher	Place of publication	Year of publication	Relevant pages	Permanent identifiers <sup>13</sup> (if available)	Is/Will open access <sup>14</sup> provided to this publication?
1	<i>Economic transformation in Hungary and Poland'</i>		<i>European Economy</i>	<i>No 43, March 1990</i>	<i>Office for Official Publications of the European Communities</i>	<i>Luxembourg</i>	<i>1990</i>	<i>pp. 151 - 167</i>		yes/no
2										
3										



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# PUDF – Section A: Dissemination

**TEMPLATE A2: LIST OF DISSEMINATION ACTIVITIES**

NO.	Type of activities <sup>15</sup>	Main leader	Title	Date/Period	Place	Type of audience <sup>16</sup>	Size of audience	Countries addressed
1	Conference		European Conference on Nanotechnologies	26 February 2010				
2								
3								



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# PUDF – Section B: Exploitation

- List of all the intellectual property rights
- List of all the results that may have commercial or industrial applications
- Owner of each particular element of foreground
- Strategic plans for the future exploitation of foreground
  - its purpose, how it might be exploited, when and by whom, target market and market positioning, further research required, if any, potential/expected impact



# PUDF – Section B: Exploitation

**TEMPLATE B1: LIST OF APPLICATIONS FOR PATENTS, TRADEMARKS, REGISTERED DESIGNS, ETC.**

Type of IP Rights <sup>18</sup> :	Confidential Click on YES/NO	Foreseen embargo date dd/mm/yyyy	Application reference(s) (e.g. EP123456)	Subject or title of application	Applicant (s) (as on the application)



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# PUDF – Section B: Exploitation

Type of Exploitable Foreground <sup>19</sup>	Description of exploitable foreground	Confidential Click on YES/NO	Foreseen embargo date dd/mm/yyyy	Exploitable product(s) or measure(s)	Sector(s) of application <sup>20</sup>	Timetable, commercial or any other use	Patents or other IPR exploitation (licences)	Owner & Other Beneficiary(s) involved
	<i>Ex: New superconductive Nb-Ti alloy</i>			<i>MRI equipment</i>	<i>1. Medical 2. Industrial inspection</i>	<i>2008 2010</i>	<i>A materials patent is planned for 2006</i>	<i>Beneficiary X (owner) Beneficiary Y, Beneficiary Z, Poss. licensing to equipment manuf. ABC</i>



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# PUDF

- The plan should also describe:
  - the socio-economic impact of the results
  - the target group(s) for dissemination and exploitation activities
  - any contributions to standards or policy developments
  - any potential risk associated with the results.
- Detailed tables provided in the reporting guidance note.



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# PUDF Example

## Table of contents

INTRODUCTION .....	8	3.1 EXPLOITATION VECTORS.....	68
1 DISSEMINATION STRATEGY .....	9	3.2 EXPLOITATION MODEL .....	71
1.1 STRATEGY DESCRIPTION.....	9	3.3 COMPETITORS.....	71
1.2 DISSEMINATION PLAN OBJECTIVES.....	10	3.4 EXPLOITATION OBJECTS.....	72
1.3 IDENTIFIED AUDIENCE .....	10	3.4.1 Individual Objects .....	72
1.3.1 User Communities .....	10	3.4.2 Composite Objects .....	73
1.3.2 Projects .....	12	3.5 EXPLOITATION DIRECTION.....	76
1.3.3 Working Groups.....	16	3.5.1 Internal .....	76
2 DISSEMINATION PLAN .....	18	3.5.2 External .....	77
2.1 DISSEMINATION CHANNELS .....	18	3.6 REGIONAL DIMENSION .....	79
2.1.1 Internet .....	18	3.7 PROMOTER.....	80
2.1.1.1 Project Web Site .....	18	4 MARKET ANALYSIS .....	81
2.1.1.2 E-mailing Lists and Newsletters .....	22	4.1 MARKET SEGMENTS .....	81
2.1.2 Events .....	23	4.1.1 Games for Health, and for Psycho-education.....	81
2.1.2.1 Organization of public workshops.....	23	4.1.2 ICT solutions for Eating disorders, Gambling and other addictions .....	83
2.1.2.2 Organization of a Networked session at the ICT 2010 event.....	24	4.1.3 ICT solutions for pain rehabilitation.....	84
2.1.2.3 Participation in events .....	26	4.1.4 Motion Capture (for Games) .....	84
2.1.3 Press .....	28	4.1.5 Affective Interfaces and bio-feedback (for Games) .....	87
2.1.3.1 Scientific Publications (in conference proceedings and scientific journals).....	28	4.1.6 Speech Recognition (for Games).....	91
2.1.3.2 Press Release/Press Coverage.....	29	4.2 RELEVANT R&D PROJECTS.....	93
2.1.3.3 Advertisements .....	29	4.3 SWOT ANALYSIS .....	97
2.2 DISSEMINATION MATERIAL .....	30	4.3.1 Integrated PlayMancer result .....	97
2.2.1 Project Logo .....	30	4.3.2 PlayMancer serious game for mental health .....	99
2.2.2 Project Brochure .....	30	4.3.3 PlayMancer serious game for pain rehabilitation.....	100
2.2.3 Project Poster.....	33	4.3.4 User emotion recognition component.....	101
2.2.4 Project Banner.....	36	4.3.5 Multi-sensor Motion capture component (IOTracker system) .....	103
2.2.5 Project Presentation Template.....	38	5 EXPLOITATION STRATEGY .....	105
2.2.6 Presentations.....	39	5.1 COMMON EXPLOITATION STRATEGY .....	105
2.2.7 Publications .....	39	5.2 INDIVIDUAL PARTICIPANT'S EXPLOITATION PLANS .....	106
2.2.8 Audiovisual Material.....	56	5.2.1 [REDACTED] .....	106
2.2.9 Press Releases.....	60	5.2.1.1 Profile.....	106
2.2.10 Public Project Documents.....	61	5.2.1.2 Expected use/ exploitation of the project results.....	107
2.3 DISSEMINATION ACTIVITIES: DISTRIBUTION OF MATERIAL BY DISSEMINATION CHANNEL.....	64	5.2.2 [REDACTED] .....	108
3 USE PLAN.....	68	5.2.2.1 Profile.....	108
		5.2.2.2 Expected use/ exploitation of the project results.....	108

# PUDF TIPS Example

- Executive Summary**.....
- Project Summary**.....
- 1.TIPS exploitation support summary**.....
- 2.Result collection**.....
- 3.List of exploitable result(s)**.....
- 4.SWOT Analysis**.....
  - 4.1SW-Analysis.....
    - 4.1.1Status quo of the project result(s) (today/end of the project).....
    - 4.1.2Protection Right situation.....
    - 4.1.3Market applicability of the product/process/service range.....
  - 4.2OT-Analysis.....
    - 4.2.1Market.....
    - 4.2.2Customers.....
    - 4.2.3Competitiveness.....
    - 4.2.4Legal framework conditions.....
    - 4.2.5Ecological framework conditions.....
    - 4.2.6Other framework conditions.....
- 5.Use of project results**.....
  - 5.1Protection Right Applications made DURING the project's lifetime.....
  - 5.2Roadmap for exploitation measures AFTER the project's lifetime.....



# Outlook to Horizon 2020

- Goal: Coverage of the full innovation chain from basic research to market uptake
- The rules on IPR, exploitation and dissemination of results are built on the basis of proven FP7 provisions with an appropriate balance between legal security and flexibility. (*Morten Møller*)
- Best efforts obligation; WP may foresee additional obligations

(Art. 40 Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL laying down the rules for the participation and dissemination in 'Horizon 2020 – the Framework Programme for Research and Innovation)



# Conclusion

- Exploitation is of continued importance.
- EC interest is to verify the use and impact of the grants.
- EC wants to verify the use of the results achieved.
- Continuation:  
Participant individual exercise



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