

WATERLINE EXPLOITATION PLAN

(Project ID CHIST-ERA-19-CES-006)

WATERLINE Deliverable D7.9

About this document

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Lead author

Alexandra Gemitzi: Professor, Democritus University of Thrace, Project Coordinator

Other contributing author

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Table 1. Description of the work done related to the exploitation and use of Waterline results

Abbreviations

IPR	Intellectual Property rights
IP	Intellectual Property
DMP	Data Management plan

SUMMARY OF THIS PUBLICATION

The present document is a summary of the CHISTERA Waterline participants' plan and strategy aiming at the exploitation produced by the Waterline project. CHISTERA is a program that supports research and innovation in order to promote growth to the EU economy and society. Thus, all EU funded projects, including the CHISTERA ones, should target towards exploitation of the research products and various funded activities. In that way, CHISTERA, besides the exploitation plans within the implementation period of each funded project, requires an exploitation description two years after to each project's completion, in order to ensure that proper exploitation activities are optimizing the exploitation potential of the projects' outcomes.

2 WORK DONE

From the project start all consortium partners have agreed on the use of common terms related to dissemination and exploitation of various activities within the frames of the Waterline project.

Therefore, partners of the Waterline project have agreed on the following, based on the Waterline project description:

a) A short draft plan should be submitted at the first reporting period, i.e. month 12 which is the D7.9 and it should be updated annually (D.7.10 and D7.11). Additionally, as the exploitation plan is closely related to the dissemination activities, it is agreed that a short plan for communication and dissemination activities should be initiated within the first months of the project (D6.1) and should be updated regularly.

b) A long-term plan for exploitation of project results mainly for the follow-up actions after Waterline's activities are completed.

The exploitation plan is closely related to the Intellectual Property rights (IPR) which is delivered as D7.1/7.2, related to the responsibilities, procedures and ownership of project's results.

2.1 Terminology used

The definition of the terms "exploitation" and "dissemination" in the Horizon 2020 projects can be found in the Horizon 2020 Rules for Participation (Official Journal of the European Union, 2013) and were fully implemented within Waterline project:

- Exploitation:

"The utilisation of results in further research activities other than those covered in the project concerned, or in developing, creating and marketing a product or process, or in creating and providing a service, or in standardisation activities."

- Dissemination:

"To specifically address project related outputs and results to target groups by publicly disclosing them by any appropriate means, including by scientific publications in any medium, in order to support their further exploitation, and to maximise the impact of research related results on the long term. means the public disclosure of the results by any appropriate means (other than resulting from protecting or exploiting the results), including scientific publications in any medium."

- Innovation action:

“'innovation action' means an action primarily consisting of activities directly aimed at producing plans and arrangements or designs for new, altered or improved products, processes or services. For this purpose they may include prototyping, testing, demonstrating, piloting, large-scale product validation and market replication”

- Results:

“'results' means any tangible or intangible output of the action, such as data, knowledge or information, that is generated in the action, whatever its form or nature, whether or not it can be protected, as well as any rights attached to it, including intellectual property rights”

Moreover, in the Consortium Agreement of Waterline project the following terms were defined:

Results (foreground, including intellectual property generated during the project) shall be the property of the participant who generated that knowledge. In case that this knowledge is published his or her senior editorship is guaranteed. In order to prove ownership, each participant shall maintain documents showing the development of the generation of knowledge or results. Each partner is responsible for taking the appropriate steps for securing IP (such as products of the mind, products of research and experimentation, products of creativity) Intellectual Property, like Physical Property can be a valuable asset. Like physical property, intellectual property is an asset which can be traded (sold, bought, leased, used as collateral, or given away) of the knowledge or results created during the project. Any owner of any result shall be free to use such result and to commercialize and distribute it.

In case of joint generation of a result and where it is not possible to assign the ownership of the differentiated parts, the partners involved must ensure the protection of the result with a joint ownership agreement. The agreement will detail the rights to use such result and to commercialize and distribute it. Such agreement shall not unreasonably be withheld. Results (resulting from the project) shall be made available free of charge to partners of the consortium for research purposes within the scope and the duration of the project.

Results owned by one or more of the partners shall be licensed to other partners of the consortium on favourable conditions to the extent necessary to enable these partners to exploit their own results. After favourable evaluation of this proposal, and during the process of entering the Grant Agreement, the IPR issues and licensing policies addressed will be described in full details in the CA.

Any information will be defined as confidential when needed, and non-disclosure agreements (NDA) will be signed with any third parties. IP which is not used commercially shall remain for the partners and may be used under collaboration of the partners after the project.

Dissemination and publication of results. The partners are entitled to publish research results and development results obtained from the project in the usual scientific form. However, all concept publications must be submitted to all partners together with a request for permission to publish. At least 30 days prior notice of any dissemination activity shall be given to the other partners concerned, including sufficient information concerning the planned dissemination activity and the data envisaged to be disseminated. Following notification, any of those partners may object within 10 days of the notification to the envisaged dissemination activity if it considers that its legitimate interests in relation to its Foreground or Background could suffer disproportionately great harm. In such cases, the dissemination activity may not take place unless appropriate steps are taken to safeguard these legitimate interests. The partners are entitled to publish research results and development results obtained from the project in scientific form. The academic partners are entitled to use knowledge or results from the project that either have been published or have been de-classified for research and teaching purposes. Each beneficiary must ensure open access (free of charge, online access for any user) to all peer-reviewed scientific publications related to its results.

2.2 WATERLINE INTELLECTUAL PROPERTY RIGHTS (IPR)

The IPR of the Waterline project provides a framework for exploiting intellectual property and supporting the promotion of innovation, invention, creativity,

contributing thus to the improvement of various societal sectors. The Intellectual Property Rights document of the Waterline project is published within Argos Data Management platform (<https://argos.openaire.eu/explore-plans/publicOverview/8ec1f92e-fc32-4428-8fff-64d896a2fb0d>). Thus, although partners involved in the Waterline Consortium are granted the right to publish their inventions, people outside the consortium may also benefit from the Waterline results and products through “open-access” publications and publicly available tools.

2.3 SETTING UP THE EXPLOITATION PLAN

Various research activities, commercial exploitation activities, skills and educational training, and policy making, are among the actions for exploiting and increasing usability of the Waterline results. The Waterline Consortium has agreed that ‘exploitation’ of the Waterline results should be a priority of all involved scientists. Thus, results should be shared in order to be used outside the consortium, in further research and they should also be used to develop products or processes which can be traded. Those activities that promote usability and exploitation of the project results will be reported up to two years after the Waterline’s end.

Single partners may exploit their results (through their own further research or commercial activities). Other beneficiaries or third parties may exploit those results through licensing or by ownership transferring.

All partners have agreed on the following principles in order to ensure proper results use, exploitation and promotion of innovative results:

1. From the project start the project Coordinator, the WP Leaders, and members of the General Assembly, have described within the Consortium Agreement the rules for the IP and innovation management, such as Joint ownership, Transfer of Results, Dissemination of own Results, Obligations to Cooperate with the partners in the Consortium, Exclusive licenses, Access Rights.
2. Regular monitoring of project outputs within each WP in order to identify relevant IP such as software, datasets, papers, web-services, etc.
3. Management and protection of project results through explicit clarification of the ownership of each result, in accordance with the Consortium Agreement. Check for potential “gaps” where there might be loss of IP (poster presentations, conference presentations of initial results).
4. Proper dissemination according to the work plan at various levels and keeping record of the progress level.

2.4 OPEN ACCESS AND IP

2.4.1 Peer-reviewed scientific publications

Waterline consortium, following the CHISTERA requirements, is fully devoted to the open-access principles, ensuring thus that all peer-reviewed scientific publications in international journals become freely available to anyone as soon as possible and in all cases no later than a short embargo period, no later than six months.

As a general rule, the consortium will put any effort to use Open Access Journals for publishing our articles. A comprehensive list of these journals is provided by the Directory of Open Access Journals <http://www.doaj.org>. Authors will avoid signing any copyright agreements with publishers that do not allow them to fulfil the EC Open Access requirement. If, for any reason, our scientists prefer to publish their articles in journals which are not Open Access Journals, authors pay the extra fee for fulfilling the EC Open Access requirement, opting thus for the option known as **Golden OA option**. The publisher will then provide open access to the article and the authors should deposit it immediately in open repositories. The authors must also send a copy of the publication to the Coordinator, for publication on Mendely Data (<https://data.mendeley.com/>), upload it to the Waterline web page (<https://waterlineproject.eu/>). Authors should also publish codes related to their methodology and related software in GitHub repository: <https://github.com/WaterlineProject>. If the Golden OA is considered too expensive for the budget of the partner, or if it is not offered by the chosen publisher, the **Green OA option** will be applied. In this case, authors deposit their final manuscript or the published article in an institutional or subject-based repository. In this case, the publisher's policy allows the author to archive the final manuscript in a repository, before peer review (pre-print version) or after peer-review (post-print version). In order to apply this option, authors first retain their copyright and provide the publisher with a license to publish, instead of signing a simple copyright transfer agreement (CTA). Every dataset produced within the Waterline project, will be made available through Mendeley Data (<https://data.mendeley.com/>), and will be described in the Data Management Plan (DMP) of the Waterline project in Argos Data Management Platform (<https://argos.openaire.eu/explore-plans/publicOverview/8ec1f92e-fc32-4428-8fff-64d896a2fb0d>).

2.4.2 Other publications and dissemination materials including deliverables

These will be made available in **Mendeley data** (<https://data.mendeley.com/>) to ensure a long-term life and accessibility. Additionally, the Consortium will make any offer to make research available through institutional repositories.

2.5 WORK DONE SO FAR

The main results achieved so far with respect to exploitation procedures are summarised in Table 1.

Table 2. Description of the work done related to the exploitation and use of Waterline results

Type of Action	Description	Status	Partner in charge	Partner(s) involved
Consortium Agreement editing	The consortium agreement (CA) was set up in 2021 for regulating the ownership and access to key knowledge and scientific results. The CA was finalized and signed by all partners in November 2021. It described the ownership and sharing of results and intellectual property.	Completed	Democritus University of Thrace	ALL
Data Management Plan	Description of the data production methodology, ownership, handling and sharing. A first draft was developed during March 2022 and is still being updated on a regular basis	Completed	Democritus University of Thrace	ALL
Compliance with Open Access Definition of requirements	Waterline provides open access to peer-reviewed scientific publications through a combination of golden open access and green open access: the Data Management Plan has been delivered in project- month 12 and is fully compliant with the guidelines given on data management in the Horizon 2020 Online Manual.	Completed	ALL	ALL
Proper dissemination of project results to various groups	From the start of Waterline project the consortium is committed to the dissemination plan, presenting the project results to various	Ongoing	ALL	ALL

	stakeholders, such as civil services, civil protection agencies, farmers, schools, students, policy makers.			
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2.6 Long-term planning of dissemination and exploitation

In the long-term, the Waterline Consortium plans to pursue the following activities:

Regular updates of the Plan for Dissemination and Communication and the Plan for Exploitation:

The Plan for Dissemination will be regularly updated during the entire project. Updates will be submitted to the EC as an integral part of the Project Periodic Reports, as stipulated in the Grant Agreement. Updates of the present plan for Exploitation will be also highlighted in the Project Periodic Reports.

Updates of the Data Management: The Data Management Plan evolves during the lifetime of the project and represents faithfully the status of the project reflections on data management. Updates of the data management plan are thus planned and will be submitted to the EC as an integral part of the Project Periodic Reports.

Actions at the end of the project (months 33-36): best practices in capturing and assessing the Intellectual Property and providing measures for exploitation will be provided to the consortium at the end of the project.

Actions after the conclusion of the project (after month 36): IPR provisions will remain in force, such as the obligations regarding exploitation and dissemination.

3 References

Official Journal of the European Union. (2013). REGULATION (EU) No 1290/2013 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 11 December 2013 laying down the rules for participation and dissemination in “Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020)” and repealing Regulation (EC) No 1906/2006. *Regulation (EU) No 1290 / 2013*, 81–103.