



HORIZON EUROPE

THE EU
RESEARCH &
INNOVATION
PROGRAMME 2021 – 27

RESEARCH
AND
INNOVATION



PROPOSAL WRITING CAMP

Session 7: Horizontal Issues – IPR, RRI, Ethics, Open Science



PROPOSAL WRITING CAMP

Intellectual Property Rights - IPR



Intellectual Property rules

The IP rules in Horizon Europe can be found in:

- the Rules for Participation
- the (model) Grant Agreement
- the applicable work programme
- Online Manual(IP section is a work in progress)

How to find them: **Funding & Tenders Portal**

<https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/how-to-participate/reference-documents>

Intellectual Property Guide – by IPR Helpdesk

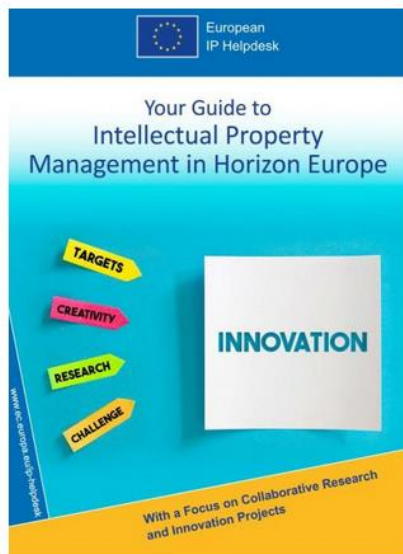
https://intellectual-property-helpdesk.ec.europa.eu/regional-helpdesks/european-ip-helpdesk/ip-guides_en



European Commission > IP Helpdesk > Regional helpdesks > European IP Helpdesk > IP guides

IP guides

Our IP Guides provide you with comprehensive overviews on specific fields of intellectual property rights (IPR) and IP management, including practical tips and further resources.



Your Guide to Intellectual Property Management in Horizon Europe

This guide aims to spotlight critical aspects and novelties related to Intellectual Property (IP) management in the context of collaborative research and innovation projects funded under the European Union's current Framework Programme for Research and Innovation "Horizon Europe" (2021-2027). It does not claim to be exhaustive. The IP rules of Horizon Europe are built to a large extent on the regulations established by the previous Framework Programme "Horizon 2020". Consequently, there are only a few novelties and strategic shifts concerning IP management and its role in the exploitation and valorisation of research results. Therefore, this guide complements the existing guide "Your Guide to IP in Horizon 2020".

[Download](#)

Intellectual Property rules

Background

- Tangible or intangible input (data, knowhow, information) which is held by the project partners prior to their accession to the GA. Includes IP such as copyright, patents /patent applications (filed prior to access to GA).
- Rule: taking part in Horizon projects does not have any influence upon the ownership of background = **your background remains yours!**

Results

- All results which are generated under the project – whether or not protectable. Such results may include copyright, design or patent rights, trademarks or others, and **belong to the partners who have generated them.**

Intellectual Property rules

Access rights

- User rights (incl. licences) to results or background of project partners.

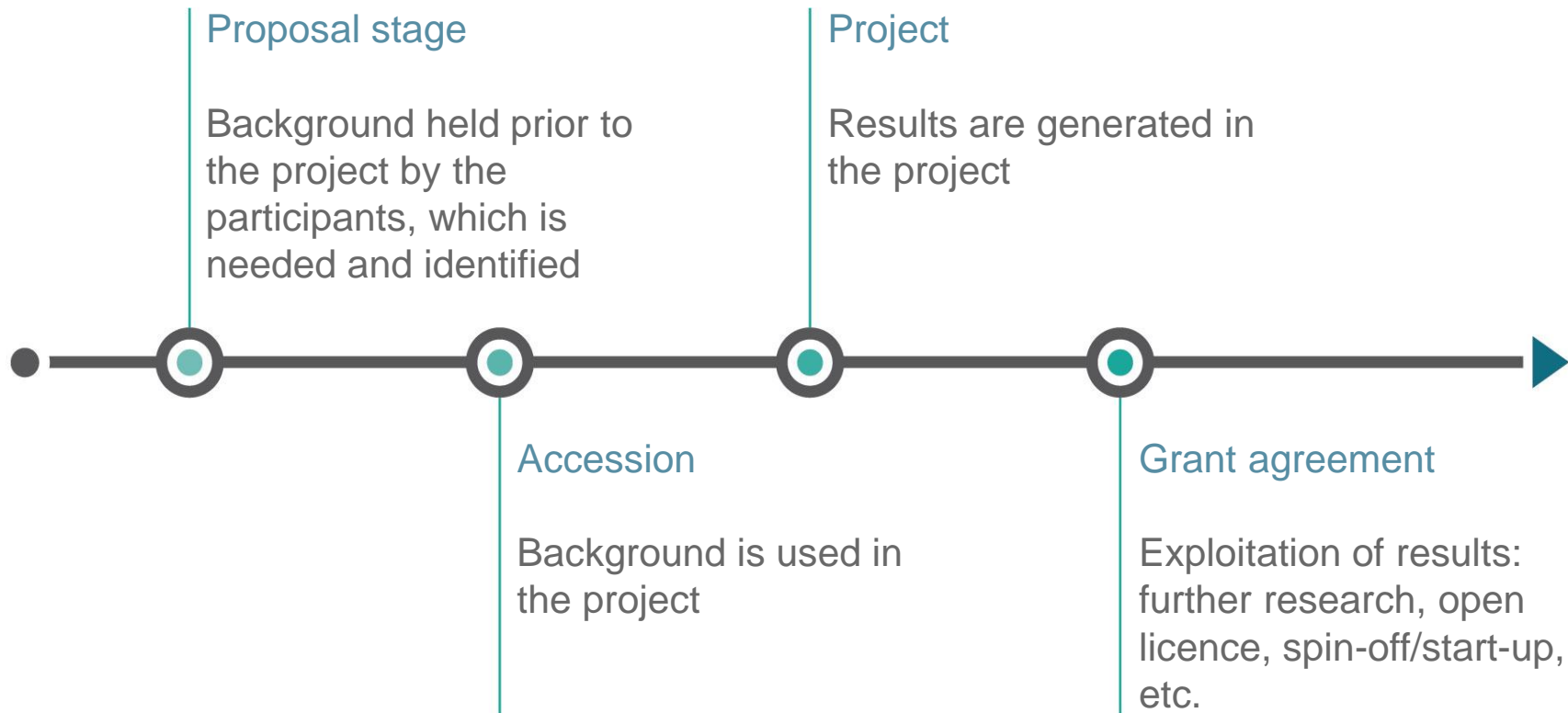
Exploitation

- Utilisation (direct /indirect) of results in research activities, which are not part of the project, as well as utilisation for further development, creation and commercialisation of a product or service.

Dissemination

- Public disclosure and transfer of project results with the aim to enable others to use and take up results, thus maximising the impact of EU-funded research. Targeted audiences that may take an interest in the potential USE of the results (e.g. scientific community commercial partner, policy makers).

IP management in Horizon Europe - Process



IP management in Horizon Europe – what to remember

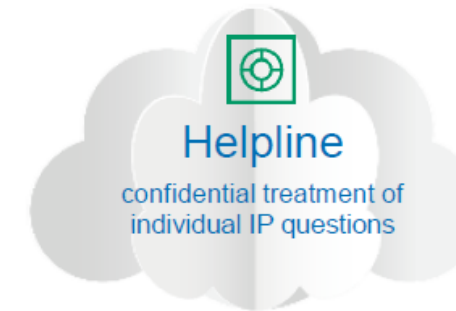


- **Background:** The consortium partners identify and agree on the background for the project and how to use this in the project
- **Ownership of the results:** In Horizon Europe, generally the Grant Agreement establishes that the results of the project belong to the participant generating them
- **General obligation to exploit:** Each beneficiary must take measures to ensure the exploitation of its results, in particular through transfer or licensing, for up to four years after project completion
- **Costs of IP protection** are Horizon Europe project eligible costs: Costs related to intellectual property which occurred during the project implementation, can be eligible for reimbursement. Include them in the proposal budget!

https://intellectual-property-helpdesk.ec.europa.eu/index_en

European IP Helpdesk

- Service initiative of the European Commission
- Addressing **current and potential beneficiaries of EU-funded projects, researchers and EU SMEs**
- Free-of-charge first-line support on intellectual property (IP)
- Hands-on IP and innovation management support
- International pool of IP experts from various thematic fields
- Unique cooperation scheme with the Enterprise Europe Network: 48 ambassadors from 28 EU countries



ec.europa.eu/ip-helpdesk

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Responsible Research and Innovation - RRI



Responsible Research and Innovation - RRI

RRI is an approach which intends to bridge gaps between science, research and innovation communities and society at large by fostering more inclusive, anticipatory, open and responsive research and innovation systems.

six key elements of RRI:

- **ethics,**
- **gender equality,**
- **governance,**
- **public engagement,**
- **science education,**
- **and open access**

PROPOSAL WRITING CAMP

Ethics



The Ethics Issues

1. Human embryonic stem cells & human embryos
2. Humans
3. Human cells/tissues
4. Personal data
5. Animals
6. Non-EU countries
7. Environment, health & safety
8. Artificial Intelligence
9. Other ethics issues
10. *Crosscutting issue: Misuse*



Ethics

Examine

- Part A of the proposal: the Ethics Issues Table, the Ethics Self Assessment, list of participants
- Part B of the proposal: containing the proposed activities, workplan, ethics annexes (if necessary)

4 – Ethics and Security

Part A

Ethics Issues Table

Ethics issues table

This table should be completed as an essential part of your proposal. Please go through the table and indicate which elements concern your proposal by answering 'Yes' or 'No'. If you answer 'Yes' to any of the questions,

- indicate in the adjacent box at which page in your full proposal further information relating to that ethics issue can be found, and
- provide additional information on that ethics issue in the Ethics Self-Assessment section.

For more information on each of the ethics issues and how to address them, including detailed legal references, see the guidelines [How to Complete your Ethics Self-Assessment](#).

1. HUMAN EMBRYONIC STEM CELLS AND HUMAN EMBRYOS			Page
Does this activity involve Human Embryonic Stem Cells (hESCs)?		<input type="radio"/> Yes <input type="radio"/> No	
If YES:	Will they be directly derived from embryos within this project?	<input type="radio"/> Yes <input type="radio"/> No	
	Are they previously established cells lines?	<input type="radio"/> Yes <input type="radio"/> No	
	Are the cell lines registered in the European registry for human embryonic stem cell lines?	<input type="radio"/> Yes <input type="radio"/> No	
Does this activity involve the use of human embryos?		<input type="radio"/> Yes <input type="radio"/> No	
If YES:	Will the activity lead to their destruction?	<input type="radio"/> Yes <input type="radio"/> No	
2. HUMANS			Page
Does this activity involve human participants?		<input type="radio"/> Yes <input type="radio"/> No	
If YES:	Are they volunteers for nonmedical studies (e.g. social or human sciences research)?	<input type="radio"/> Yes <input type="radio"/> No	
	Are they healthy volunteers for medical studies?	<input type="radio"/> Yes <input type="radio"/> No	
	Are they patients for medical studies?	<input type="radio"/> Yes <input type="radio"/> No	
	Are they potentially vulnerable individuals or groups?	<input type="radio"/> Yes <input type="radio"/> No	
	Are they children/minors?	<input type="radio"/> Yes <input type="radio"/> No	
	Are they other persons unable to give informed consent?	<input type="radio"/> Yes <input type="radio"/> No	
Does this activity involve interventions (physical also including imaging technology, behavioural treatments, etc.) on the study participants?		<input type="radio"/> Yes <input type="radio"/> No	
If YES:	Does it involve invasive techniques?	<input type="radio"/> Yes <input type="radio"/> No	
	Does it involve collection of biological samples?	<input type="radio"/> Yes <input type="radio"/> No	

Part A

Ethics Self Assessment

ETHICS SELF-ASSESSMENT

If you have entered any issues in the ethics issue table, you must perform an ethics self-assessment in accordance with the guidelines "[How to Complete your Ethics Self-Assessment](#)" and complete the table below.

Ethical dimension of the objectives, methodology and likely impact
<p>Explain in detail the identified issues in relation to:</p> <ul style="list-style-type: none">– objectives of the activities (e.g. study of vulnerable populations, etc.)– methodology (e.g. clinical trials, involvement of children, protection of personal data, etc.)– the potential impact of the activities (e.g. environmental damage, stigmatisation of particular social groups, political or financial adverse consequences, misuse, etc.)
Compliance with ethical principles and relevant legislations
<p>Describe how the issue(s) identified in the ethics issues table above will be addressed in order to adhere to the ethical principles and what will be done to ensure that the activities are compliant with the EU/national legal and ethical requirements of the country or countries where the tasks are to be carried out. It is reminded that for activities performed in a non-EU countries, they should also be allowed in at least one EU Member State.</p>

How to complete your Ethics Self-Assessment

- **Guide** with information and advice on how to address ethics in research / Horizon Europe
https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/how-to-complete-your-ethics-self-assessment_en.pdf
- For ALL applicants (NOT only medical research)
- Fill-in the Ethics issues table and sections for ethics self-assessment in Part A of the submission system
- If necessary, an annex to Part B on ethics can be added, e.g. Additional information on clinical studies as Annex in Part B

The Ethics Screening of Proposals

Which proposals?	ALL shortlisted proposals Except those cleared at pre-screening (no ethics issues) or directly referred to Ethics Assessment (for proposals involving hE/hESC)
By whom?	2 ethics experts
What?	<ul style="list-style-type: none">- Identification of the ethics issues raised by the proposal- Identification of proposals that raise serious/complex ethics issues and needs to undergo Ethics Assessment <p>For 'cleared' proposals:</p> <ul style="list-style-type: none">- Decision on Ethics Advisor / Board mandate, reporting needs- Advice on Ethics Check / Review during project implementation

PROPOSAL WRITING CAMP

Open Science

“Open science” means an approach to the scientific process based on open cooperative work, tools and diffusing knowledge

(Horizon Europe Regulation and Model Grant Agreement)



Open Science Practices in Horizon Europe

- **early and open sharing of research** (for example through preregistration, registered reports, pre-prints, or crowd-sourcing)
- **research output management** including research data management (RDM)
- measures to ensure reproducibility of research outputs
- providing **open access to research outputs** (e.g. publications, data, software, models, algorithms, and workflows) through **deposition in trusted repositories**
- participation in **open peer-review**
- **involving all relevant knowledge actors including citizens, civil society and end users** in the co-creation of R&I agendas and contents (such as **citizen science**)

Open Science – Open access to scientific publications

- Beneficiaries must ensure **Open Access (OA)** to peer-reviewed scientific publications relating to their results;
- Immediate open access **through trusted repository** (at the latest at the time of publication);
- information via the repository about any research output/tools/instruments needed to validate the conclusions of the scientific publication
- **Only publication fees (if any) in full open access venues** for peer-reviewed scientific publications are eligible for reimbursement
- Metadata must be open in line with the **FAIR principles** (Findable, Accessible, Interoperable and Re-usable)

Open Science – Research Data Management (RDM)

- Beneficiaries must manage the research data generated in the action responsibly, in line with the **FAIR principles**
- establish + regularly update a **data management plan ('DMP')** for generated (and/or collected) data; **by M6 of project**;
- as soon as possible and within the deadlines set out in the DMP, **deposit the data in a trusted repository**;
- follow the principle '**as open as possible as closed as necessary**', i.e. there can be exceptions to open access to research data.
- Costs for RDM (for example data storage, processing and preservation) are eligible

Open Research Europe:

A high-quality, reliable and efficient open access publishing venue for EU-funded research

- Launched in March 2021 for H2020 and HE beneficiaries
- High **scientific standards** (e.g. editorial policies+guidelines), expert **Scientific Advisory Board** across all fields of science
- **Swift publication times** and **transparent** processes (e.g. open peer-review)
No cost to **authors/beneficiaries** (publication fees paid by the Commission)
- **Optional: no obligation** to publish there: but if you do, you comply with HE policy
- <https://open-research-europe.ec.europa.eu/>

Open Research Europe



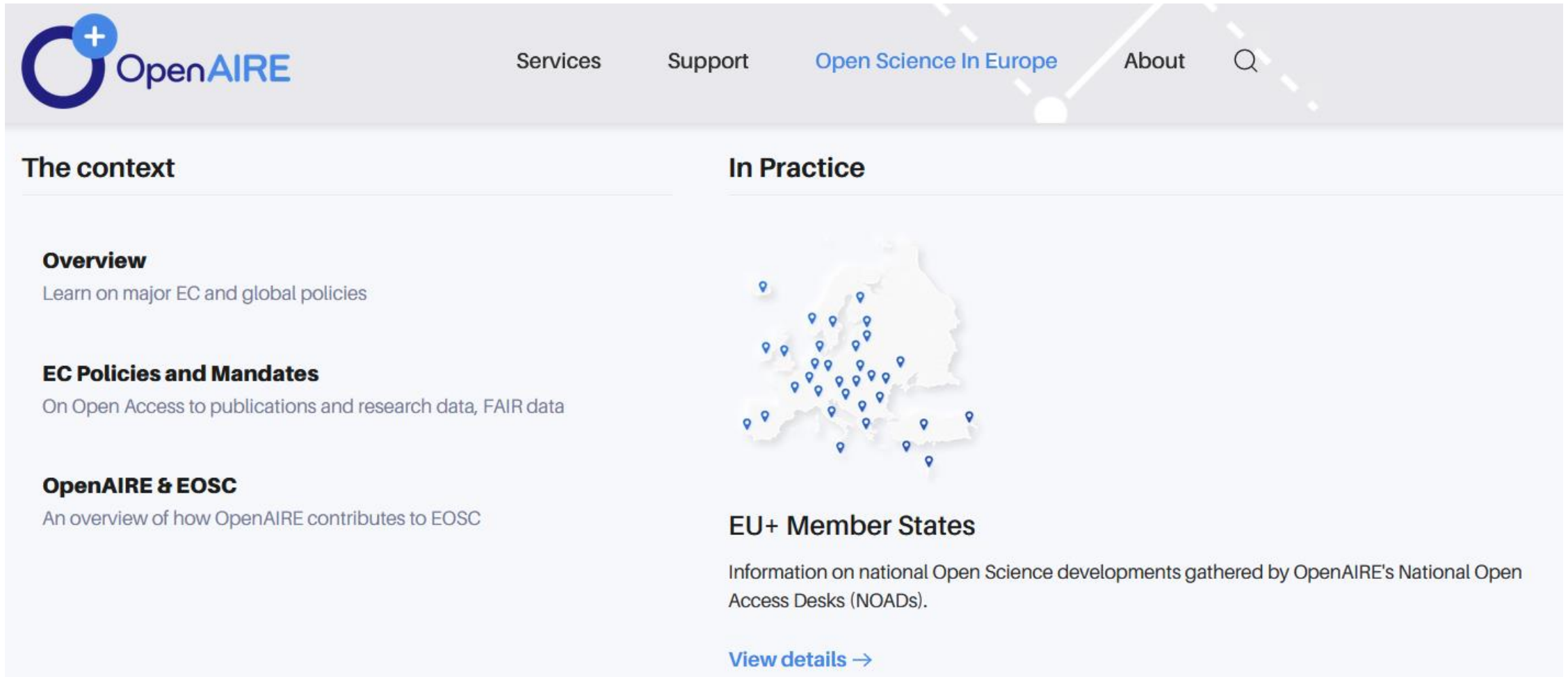
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OpenAIRE - Services for Open Science

<https://www.openaire.eu/>



The screenshot shows the OpenAIRE website interface. At the top left is the OpenAIRE logo, which consists of a blue circle with a white plus sign inside, followed by the text "OpenAIRE" in blue. To the right of the logo is a navigation menu with the following items: "Services", "Support", "Open Science In Europe" (highlighted in blue), "About", and a search icon. Below the navigation menu, the page is divided into two main sections: "The context" on the left and "In Practice" on the right. Under "The context", there are three sub-sections: "Overview" (Learn on major EC and global policies), "EC Policies and Mandates" (On Open Access to publications and research data, FAIR data), and "OpenAIRE & EOSC" (An overview of how OpenAIRE contributes to EOSC). Under "In Practice", there is a map of Europe with several blue location pins, followed by the sub-section "EU+ Member States" (Information on national Open Science developments gathered by OpenAIRE's National Open Access Desks (NOADs)). At the bottom of the "In Practice" section, there is a blue link that says "View details →".

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Horizontal Issues - Group Work



Identify for your proposal key aspects of...

- IPR – Intellectual property rights
- RRI - Responsible Research and Innovation
- Ethics
- Open science
 - **Challenges you see?**
 - **Opportunities created by action?**
 - **What needs to be done to integrate the issues adequately in your project?**

Contact us!

- Trainer 1
- Trainer 2



Thank you!

#HorizonEU

<http://ec.europa.eu/horizon-europe>



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