



# *Practical aspects of the proposal – The Impact*

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# Application Form – Part B structure

## 1. EXCELLENCE

**What**  
What is the project about?

## 2. IMPACT

**Why**  
Why should we do the project? What evidence do we collect and measure in the project to demonstrate the projects value?

## 3. IMPLEMENTATION

**How**  
How to achieve the objectives?

# Research Proposal Template



**Horizon Europe Programme**  
Standard Application Form (HE RIA, IA)

Application form (Part A)  
Project proposal – Technical description (Part B)

Version 3.0  
26 May 2021

1. Excellence

2. Impact

3. Quality and efficiency of the  
implementation

# Evaluation criteria (RIAs and IAs) - IMPACT

## HORIZON EUROPE

- Credibility of the pathways to achieve the **expected outcomes and impacts** specified in the work programme, and the likely **scale** and **significance** of the contributions due to the project.
- Suitability and quality of the **measures to maximize expected outcomes and impacts**, as set out in the **dissemination and exploitation plan, including communication** activities.

# The Impact

- Impact must be measurable, quantifiable.
- What evidence do you collect and measure in the project to demonstrate impact?
- How do you engage with target groups? What role do you give them? How do you measure their engagement?

# The Impact

- Proposals must include a **narrative** explaining how the project's results are expected to contribute towards each of the **outcomes** (→ **topic text**), together with the **target groups** that would benefit if the outcomes were to be achieved
- Project's contributions to the topic's outcomes must lead, in the longer term, to the **wider impacts** listed in the work programme (→ **destination**)

# Topic example:

HORIZON-CL4-2021-TWIN-TRANSITION-01-12

Breakthrough technologies supporting technological sovereignty in construction

## Expected Outcomes:

- Integrate breakthrough technologies derived from other industries
- Demonstrate increased use of resources, reduced waste and CO2 emissions
- Demonstrate safety
- Increase wellbeing on workforce

## Scope:

- Develop, test, promote the required technologies, devices, systems
- Demonstrate in at least 4 diverse construction sites

Type: RIA

Budget/project (M€): 8-10 M€

Number of funded projects: 3

# Destination in Work Programme

## DESTINATION – CLIMATE NEUTRAL, CIRCULAR AND DIGITISED PRODUCTION

This destination will directly support the following Key Strategic Orientations, as outlined in the Strategic Plan:

- KSO C, 'Making Europe the first **digitally led circular, climate-neutral and sustainable economy** through the transformation of its mobility, energy, construction and production systems.'
- KSO A, 'Promoting an open strategic autonomy by leading the development of key **digital, enabling and emerging technologies, sectors and value chains** to accelerate and steer the digital and green **transitions** through human-centred technologies and innovations.'
- KSO D, 'Creating a more resilient, inclusive and democratic European society, prepared and responsive to threats and disasters, addressing inequalities and providing high-quality health care, and empowering all citizens to act in the green and digital transitions.'

Proposals for topics under this Destination should set out a credible pathway to the following expected impact of Cluster 4:

- **Global leadership in clean and climate-neutral industrial value chains, circular economy and climate-neutral digital systems and infrastructures (networks, data centres)**, through innovative production and manufacturing processes and their digitisation, new business models, sustainable-by-design advanced materials and technologies enabling the switch to decarbonisation in all major emitting industrial sectors, including green digital technologies.

Accelerating the twin green and digital transitions will be key to building a lasting and prosperous growth, in line with the EU's new growth strategy, the European Green Deal. Europe's ability to lead the twin transitions will require new technologies, with investment and innovation to match. Research and innovation will be fundamental to create the new products, services and business models needed to sustain or enable EU industrial leadership and competitiveness, and to create new markets for climate neutral and circular products. The shift towards a sustainable and inclusive economic model will be further enabled by the



## Section 2: Impact (3 sub-chapters)

1. **Project's pathways towards impact**
2. **Measures to maximise impact - Dissemination, exploitation and communication**
3. **Summary**

## 2.1 Project's pathways towards impact *[e.g. 4 pages]*

→ Describe the **contribution** of your project results

(1) **outcomes** specified in this topic, and

(2) the **wider impacts**, in the longer term, specified in the respective destinations in the work programme.

→ Requirements and potential barriers

→ Proposals must indicate the likely **scale and significance** of the project's contribution to outcomes and impacts

**Scale** refers to how widespread the outcomes and impacts are likely to be.

**Significance** refers to the importance, or value, of those benefits.

Check out nice trainings on this:

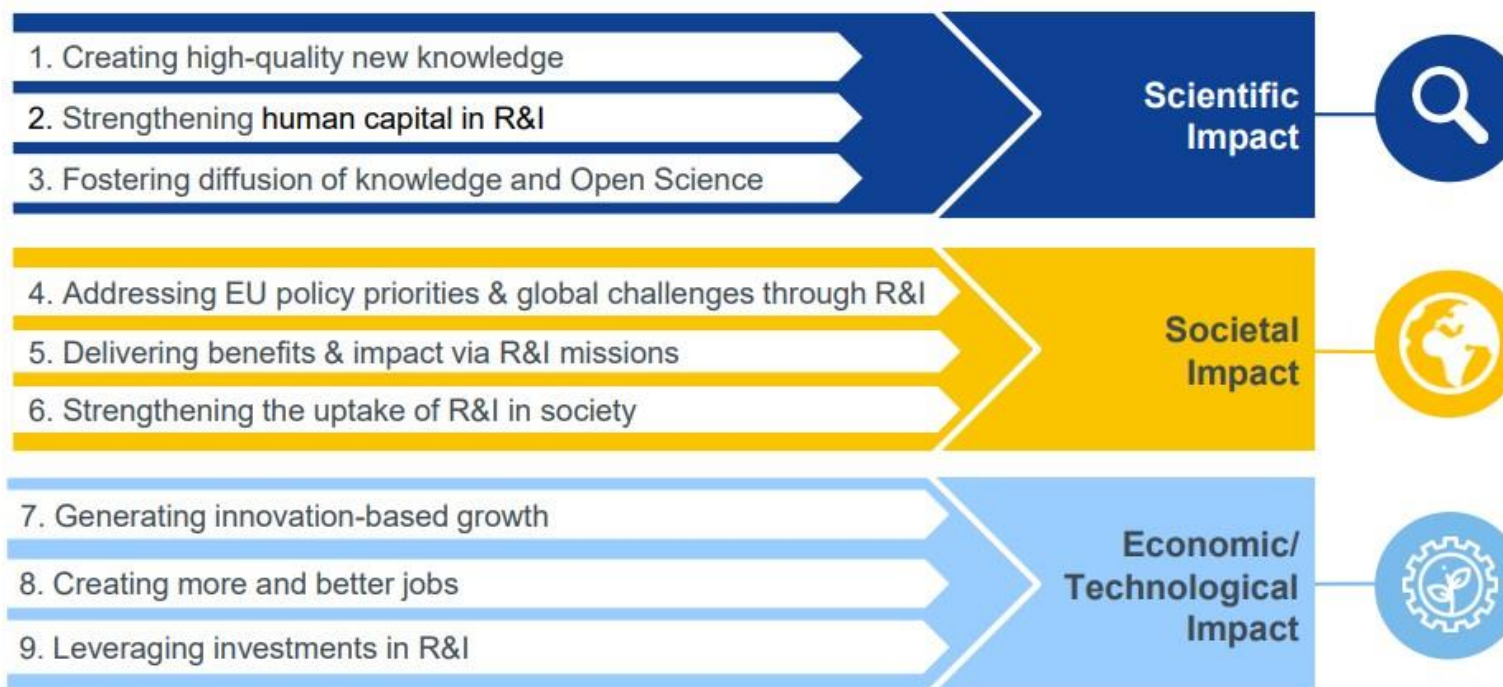
<https://www.ucd.ie/impacttoolkit/>

<https://umcgresearch.org/-/impact-umcg>

# Key Impact Pathways



## The 9 KIPs in 3 areas of impact



Source: Webinar [How to prepare a successful proposal in Horizon Europe](#), EC, 24 March 2021  
[A successful proposal for Horizon Europe - part II](#), EC, 21 April, 2021

## 2. Impact

### *Impact – aspects to be taken into account.*

- Credibility of the pathways to achieve the expected outcomes and impacts specified in the work programme, and the likely scale and significance of the contributions due to the project.
- Suitability and quality of the measures to maximise expected outcomes and impacts, as set out in the dissemination and exploitation plan, including communication activities.

*The results of your project should make a contribution to the expected outcomes set out for the work programme topic over the medium term, and to the wider expected impacts set out in the 'destination' over the longer term.*

*In this section you should show how your project could contribute to the outcomes and impacts described in the work programme, the likely scale and significance of this contribution, and the measures to maximise these impacts.*

### 2.1 Project's pathways towards impact [e.g. 4 pages]

- Provide a **narrative** explaining how the project's results are expected to make a difference in terms of impact, beyond the immediate scope and duration of the project. The narrative should include the components below, tailored to your project.
  - (a) Describe the unique contribution your project results would make towards (1) the **outcomes** specified in this topic, and (2) the **wider impacts**, in the longer term, specified in the respective destinations in the work programme.
    - ⚠ *Be specific, referring to the effects of your project, and not R&I in general in this field.*
    - ⚠ *State the target groups that would benefit. Even if target groups are mentioned in general terms in the work programme, you should be specific here, breaking target groups into particular*

### New:

- Expected impact = in destination (long term)
- Expected outcomes = in topic (short term)
- Impact of the outcomes depends on the defined target groups

## 2.2 Measures to maximise impact - Dissemination, exploitation and communication *[e.g. 4 pages]*

- A first version of 'plan for the dissemination and exploitation including communication activities
- Target groups
- If exploitation is expected primarily in non-associated third countries, justify by explaining how that exploitation is still in the Union's interest.
- Strategy for the management of intellectual property and exploitation

Address target groups. How do you engage with target groups? How do you measure their engagement?

Plan for the dissemination and exploitation including communication activities. A plan is a strategy, meaning provide a table with info to whom, with which method you provide what and how much of it

**Plan** for the dissemination and exploitation including communication activities.

<b>What to be disseminated and exploited</b>	<b>To whom</b>	<b>How is the method</b>	<b>Barriers</b>	<b>By whom</b>	<b>How much/achievements</b>	<b>How well</b>
Product 1: Model/Algorithm/Material	Innovators, technicians, companies	New mathematical model	Regulations ...	Partner x, mathematicians	Number of models/algorithms	
Service 1: Training	Architects, Engineers, Scientists		Resources, therefore eg. online	Partner y, engineer	Number of downloads/clicks	Increase in % of work force trained

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# Intellectual Property Rights and IP Management



Strategically consider and negotiate IPRs and IP Mgmt with your partners at the proposal stage!

How shall **results** be made **accessible** to a broader (scientific) public?

What is the **commercialization potential** of your project's results?

Which **exploitation channels** seem appropriate, and what are the most suitable forms of **IP protection**?



# Addressing IP in Your Proposal



## TYPE OF IPRs

Patent

Utility Model

Design

Trademark

Copyright\*

Trade Secret\*

\* No formalities or registration

**comprehensive and feasible** strategy for the management of the IP generated in the project

IP strategy **underpinning** the 'credibility' of the pathways

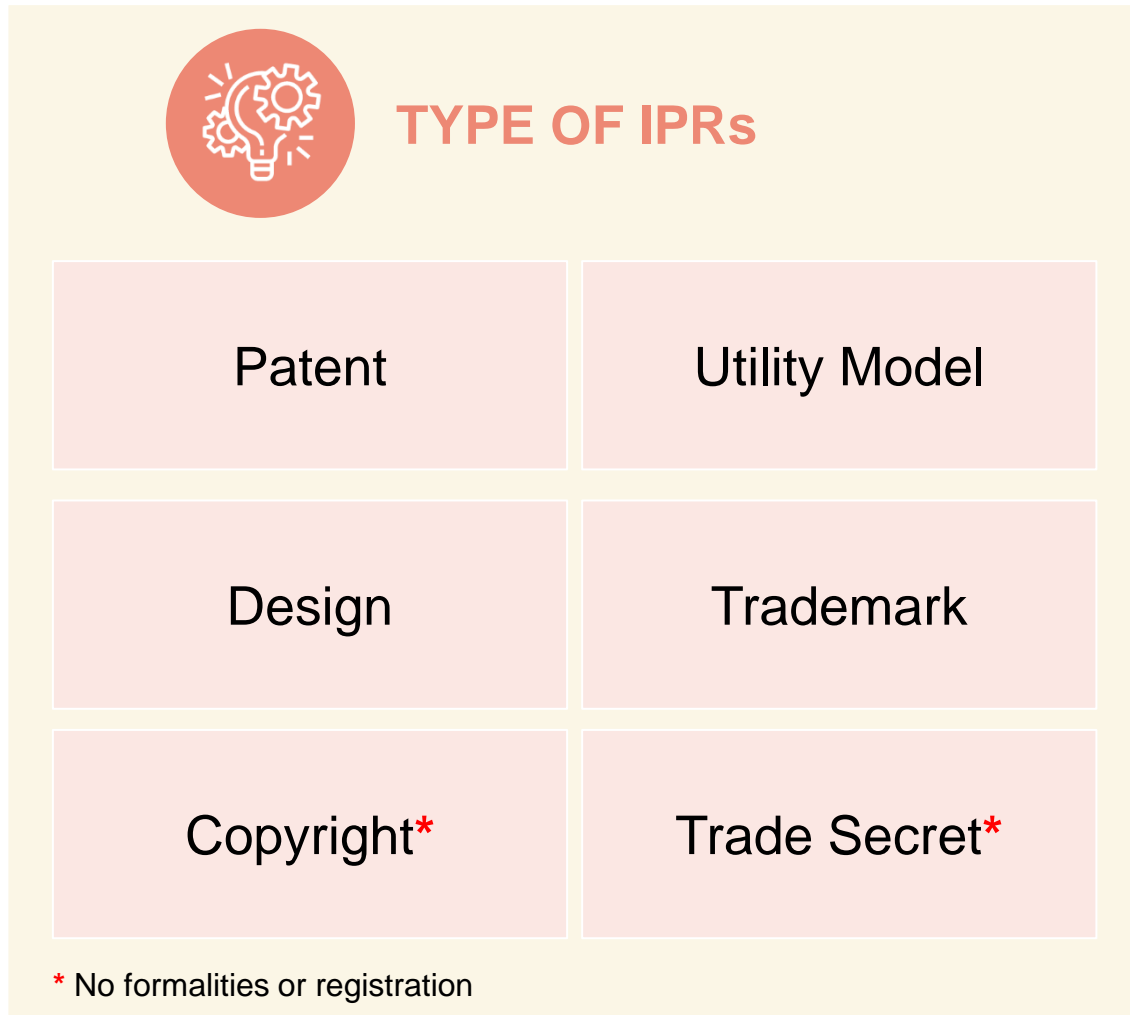
**'freedom to operate'** for background IP

**balance** between publication of results and IP protection

**additional** exploitation obligations in relation to IP

clear identification of **who** owns which IP (**Results Ownership List** mandatory at the end of the project)

# Addressing IP in Your Proposal



## ACCESS RIGHTS

- Free during the project
- Fair conditions after the project



## BACKGROUND IP

IP and know-how of each partner **prior** to the project



Communication  
Dissemination  
Exploitation

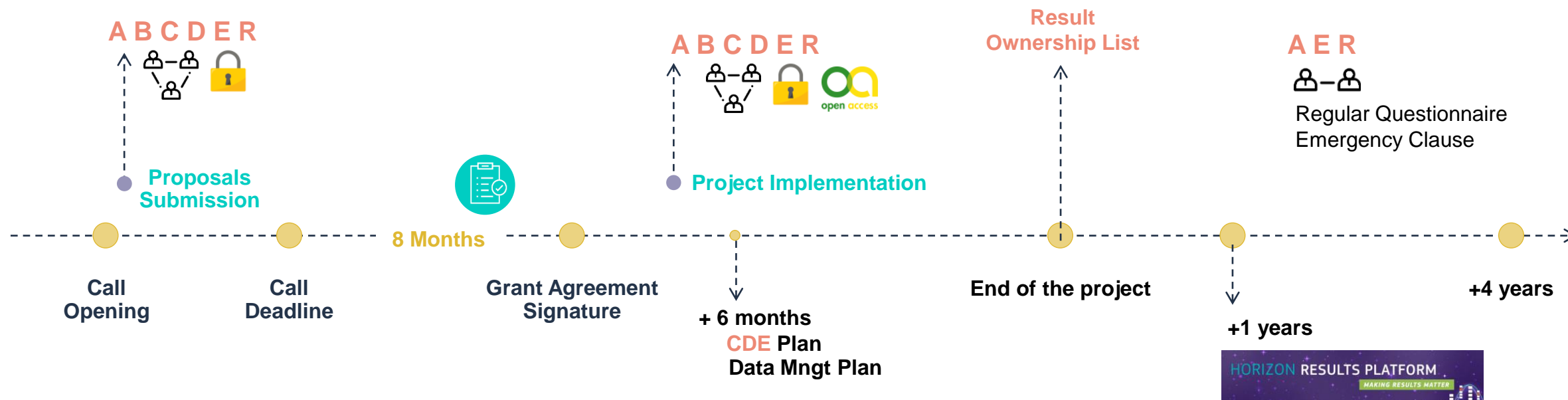
## RESULTS

IP and know-how developed **during** the project (Results Ownership List)

# Your IP Timeline



**A:** access rights  
**B:** background IP  
**C:** communication  
**D:** dissemination  
**E:** exploitation  
**R:** results



## 2.2 Measures to maximise impact - Dissemination, exploitation and communication [e.g. 5 pages]

- Describe the planned measures to maximise the impact of your project by providing a first version of your 'plan for the dissemination and exploitation including communication activities'. Describe the dissemination, exploitation and communication measures that are planned, and the target group(s) addressed (e.g. scientific community, end users, financial actors, public at large).

⚠ Please remember that this plan is an admissibility condition, unless the work programme topic explicitly states otherwise. In case your proposal is selected for funding, a more detailed 'plan for dissemination and exploitation including communication activities' will need to be provided as a

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Call: [insert call identifier] — [insert call name]

EU Grants: Application form (HE RIA/IA): V1.1 – 19.04.2021

mandatory project deliverable within 6 months after signature date. This plan shall be periodically updated in alignment with the project's progress.

⚠ Communication<sup>1</sup> measures should promote the project throughout the full lifespan of the project. The aim is to inform and reach out to society and show the activities performed, and the use and the benefits the project will have for citizens. Activities must be strategically planned, with clear objectives, start at the outset and continue through the lifetime of the project. The description of the communication activities needs to state the main messages as well as the tools and channels that will be used to reach out to each of the chosen target groups.

⚠ All measures should be proportionate to the scale of the project, and should contain concrete actions to be implemented both during and after the end of the project, e.g. standardisation

- ⚠ *All measures should be proportionate to the scale of the project, and should contain concrete actions to be implemented both during and after the end of the project, e.g. standardisation activities. Your plan should give due consideration to the possible follow-up of your project, once it is finished. In the justification, explain why each measure chosen is best suited to reach the target group addressed. Where relevant, and for innovation actions, in particular, describe the measures for a plausible path to commercialise the innovations.*
- ⚠ *If exploitation is expected primarily in non-associated third countries, justify by explaining how that exploitation is still in the Union's interest.*
- ⚠ *Describe possible feedback to policy measures generated by the project that will contribute to designing, monitoring, reviewing and rectifying (if necessary) existing policy and programmatic measures or shaping and supporting the implementation of new policy initiatives and decisions.*
- *Outline your strategy for the management of intellectual property, foreseen protection measures, such as patents, design rights, copyright, trade secrets, etc., and how these would be used to support exploitation.*
  - ⚠ *If your project is selected, you will need an appropriate consortium agreement to manage (amongst other things) the ownership and access to key knowledge (IPR, research data etc.). Where relevant, these will allow you, collectively and individually, to pursue market opportunities arising from the project.*
  - ⚠ *If your project is selected, you must indicate the owner(s) of the results (results ownership list) in the final periodic report.*



## 2.2 Summary

### → Canvas

Specific needs, expected results, D & E & C measures, target groups, outcomes, impacts

Provide a summary of this section by presenting a **canvas** with **KIP-** Key Impact Pathways.

The canvas breaks the impact down into its component parts.

What is a CANVAS: lets see

## 2.3 Summary

Provide a summary of this section by presenting in the canvas below the key elements of your project impact pathway and of the measures to maximise its impact.

### KEY ELEMENT OF THE IMPACT SECTION

SPECIFIC NEEDS	EXPECTED RESULTS	D & E & C MEASURES
<p><i>What are the specific needs that triggered this project?</i></p> <p><b>Example 1</b> Most airports use process flow-oriented models based on static mathematical values limiting the optimal management of passenger flow and hampering the accurate use of the available resources to the actual demand of passengers.</p> <p><b>Example 2</b> Electronic components need to get smaller and lighter to match the expectations of the end-users. At the same time there is a problem of sourcing of raw materials that has an environmental impact.</p>	<p><i>What do you expect to generate by the end of the project?</i></p> <p><b>Example 1</b> <b>Successful large-scale demonstrator:</b> Trial with 3 airports of an advanced forecasting system for proactive airport passenger flow management.</p> <p><b>Algorithmic model:</b> Novel algorithmic model for proactive airport passenger flow management.</p> <p><b>Example 2</b> Publication of a <b>scientific discovery on transparent electronics</b>.</p> <p><b>New product:</b> More sustainable electronic circuits.</p> <p><b>Three PhD students trained.</b></p>	<p><i>What dissemination, exploitation and communication measures will you apply to the results?</i></p> <p><b>Example 1</b> <b>Exploitation:</b> Patenting the algorithmic model.</p> <p><b>Dissemination towards the scientific community and airports:</b> Scientific publication with the results of the large-scale demonstration.</p> <p><b>Communication towards citizens:</b> An event in a shopping mall to show how the outcomes of the action are relevant to our everyday lives.</p> <p><b>Example 2</b> <b>Exploitation of the new product:</b> Patenting the new product; Licencing to major electronic companies.</p> <p><b>Dissemination towards the scientific community and industry:</b> Participating at conferences; Developing a platform of material compositions for industry; Participation at EC project portfolios to disseminate the results as part of a group and maximise the visibility vis-à-vis companies.</p>

TARGET GROUPS	OUTCOMES	IMPACTS
<p><i>Who will use or further up-take the results of the project? Who will benefit from the results of the project?</i></p> <p>Example 1</p> <p><b>9 European airports:</b> Schiphol, Brussels airport, etc.</p> <p><b>The European Union aviation safety agency.</b></p> <p><b>Air passengers (indirect).</b></p> <p>Example 2</p> <p><b>End-users:</b> consumers of electronic devices.</p> <p><b>Major electronic companies:</b> Samsung, Apple, etc.</p> <p><b>Scientific community</b> (field of transparent electronics).</p>	<p><i>What change do you expect to see after successful dissemination and exploitation of project results to the target group(s)?</i></p> <p>Example 1</p> <p><b>Up-take by airports:</b> 9 European airports adopt the advanced forecasting system demonstrated during the project.</p> <p>Example 2</p> <p><b>High use of the scientific discovery published</b> (measured with the relative rate of citation index of project publications).</p> <p><b>A major electronic company</b> (Samsung or Apple) <b>exploits/uses the new product</b> in their manufacturing.</p>	<p><i>What are the expected wider scientific, economic and societal effects of the project contributing to the expected impacts outlined in the respective destination in the work programme?</i></p> <p>Example 1</p> <p><b>Scientific:</b> New breakthrough scientific discovery on passenger forecast modelling.</p> <p><b>Economic:</b> Increased airport efficiency Size: 15% increase of maximum passenger capacity in European airports, leading to a 28% reduction in infrastructure expansion costs.</p> <p>Example 2</p> <p><b>Scientific:</b> New breakthrough scientific discovery on transparent electronics.</p> <p><b>Economic/Technological:</b> A new market for touch enabled electronic devices.</p> <p><b>Societal:</b> Lower climate impact of electronics manufacturing (including through material sourcing and waste management).</p>



# DOs

&

# DON'Ts



Be as concise and precise as possible

Address the 9 Key Impact Pathways

Address impact short term (duration of project)  
and long term (10years from now)

Explain well where the impact is on EU level  
must be clear how results will be made available  
outside of countries where partners are located

Write an excellent CANVAS

Don't define impact in qualitative terms only

Don't have an insufficient exploitation strategy

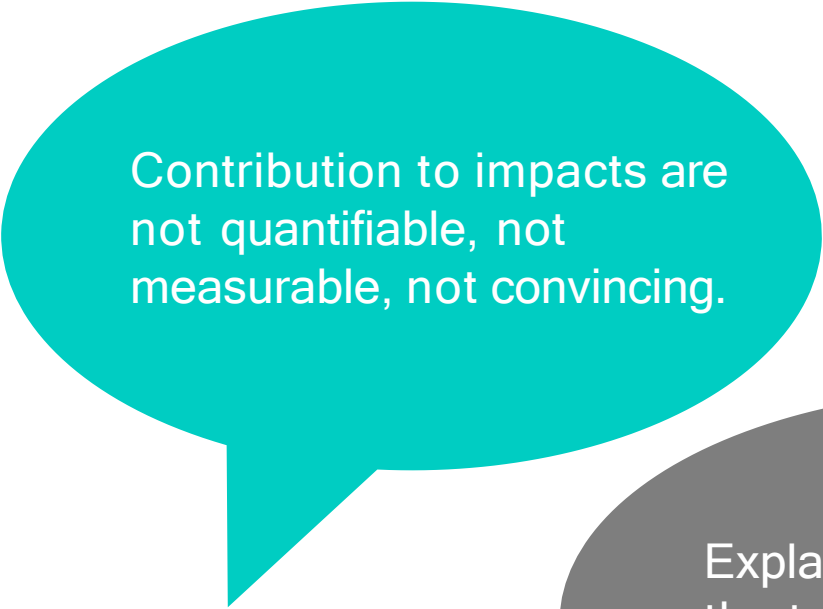
Don't omit explaining the means of delivery of  
end results to users

Don't be vague regarding targeted stakeholders


# Feedback from evaluations



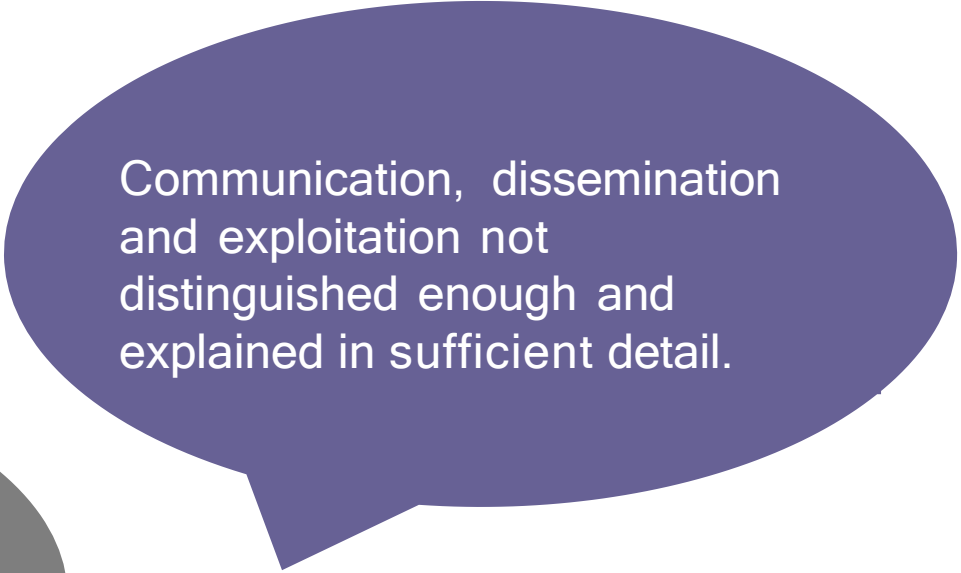
## Evaluation Summary Reports (ESR)



Contribution to impacts are not quantifiable, not measurable, not convincing.



Explanation missing how the target groups are reached



Communication, dissemination and exploitation not distinguished enough and explained in sufficient detail.

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*Questions?*

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