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Preliminary Plan for the Use and Dissemination of Foreground

Horst Hejny

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Horst Hejny
With the collaboration of
all project partners

Checked by:		Approved by:	
Name:	Horst Hejny	Name:	Chevrel, S.
Date:	23 February 2012	Date:	26 March 2012
Signature:		Signature:	

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Summary

The plan for the use and dissemination of foreground is one of the compulsory reports that FP7 projects are required to present to the Commission. It summarises the consortium's strategy and concrete actions to protect, disseminate and exploit the foreground generated by a project. The present preliminary plan helps participants establish a basis for the dissemination and use of foreground, prepare to implement their strategy and conclude any necessary agreements.

The plan is divided into two sections: one related to results that shall be disseminated and dissemination activities, including scientific publications, and one that describes exploitable results and related activities, which remain confidential, at least until the protection and the economic exploitation of the results have been implemented. The plan also describes the socioeconomic impact of the results, the target group(s) for dissemination and exploitation activities, any contributions to standards or policy developments and any potential risk associated with the results.

This report describes the preliminary stage of the plan at the beginning of the project work. It outlines the intended actions as to dissemination and possible exploitation of results as well as the structure of the final plan.

Contents

1. Preliminary intentions

1.1. DISSEMINATION, COMMUNICATION, CAPACITY BUILDING

The results of the work need to be made known to related and also other interested parties. To this effect, the use of a wide variety of dissemination media is proposed including written, oral and visual presentations in order to inform and actively involve governmental organisations, industry and societal groups during the project as well as in its aftermath. The target audience will be the industry and their trade organisations and governmental organisations. Other social stakeholders may participate as well but are not in the main focus due to the more technical content of the presentations. These groups are addressed by other means. Specifically, towards the end of project, the results of the project and its achievements and consequences will be collated and presented in a book.

Capacity building activities will comprise workshops and/or seminars mainly on local level at the same time as the foreseen annual meetings and a final conference. This means that we envisage one workshop per test site. The capacity building activities are mainly dedicated to the related local authorities and local communities including NGOs. Depending on the success of the activities a second workshop/seminar might be planned if necessary. It must be ensured that all messages about possibilities and consequences of impact assessment (based on the project achievements and common good practice) can be brought across.

The capacity building activities will be combined with mobilisation or awareness campaigns in order to ensure that all interested and affected groups are aware of and can take part in the discussions at the events. As the events will be organised jointly with project meetings double travelling of the project partners will be avoided so that all partners may participate.

An effective and wide reaching promotion campaign is proposed focused around the development of a project website, publication of a series of non-technical factsheets/illustrations/leaflets, a project brochure and a poster series, a few standalone videos or slideshows. All promotional material will be tailored to the target stakeholder community and be prepared to a common format and standard. All multimedia material mentioned will clearly make reference to FP7 Environmental Theme and be at least available for download on the project web site. Other distribution channels will be explored as well. A logo will be included to ensure distinctiveness and recognition of all project outputs. Furthermore, press conferences will be organised and press releases issues upon reaching project milestones.

Communication and promotion activities will be at two levels: 1. Non-technical level targeting the interaction between society, regulators and industry, and 2. technical level targeting industry, researchers and policy makers. This two levels approach should ensure to provide every interested party with factual information in an understandable manner.

The publication and dissemination of realistic, interactive and objective information on the social and environmental issues relating to mineral extraction and new methodologies in managing and reducing such effects in the future is core to the success of the project. In order to ensure that information about the project outputs reach all related and interested parties, a detailed communication strategy will be established identifying target groups and ways of reaching them appropriately. Such a strategy ensures that the envisaged "trialogue" will include the right partners from all involved parties.

Special communication channels will be established and maintained with the ETP-SMR and the Raw Materials Supply Group (RMSG). It is expected that the project will contribute to the ETP-SMR in the domain of environmental footprint reduction by using new observing, monitoring methods, and providing information about populations and societies affected by the exploration and exploitation of raw material. The RMSG as being a stakeholder group comprising extractive and user industries,

Member States, environmental NGOs, trade unions and the Commission is supposed to be the right group in order to initiate the envisaged "trialogue" on European level affecting also the related discussions in ICPC countries.

The project will make available reliable and objective information about affected ecosystems, populations and societies, to serve as a basis for a sound "trialogue" between industrialists, governmental organisations and stakeholders. Using the communication strategy established will initiate and develop this "trialogue", which is meant to contribute to reconciliation of interests in order to reach common agreement upon actions to deal with environmental and social impacts of mining activities. Apart from this the "trialogue" would in a way also confirm the project idea and outcomes and confirm its usefulness.

Similar to the capacity building events "trialogue" events will be organised in connection with the annual project meetings (at test sites) and the final meeting. Additionally, one event will take place in Brussels in the second half of the project involving lobbying organisations like Euromines or IMA and other EU stakeholders together with members of the RMSG. "Trialogue" activities will be accompanied by related web-based discussions via the discussion forum at the project web site.

1.2. EXPLOITATION

The issue of foreground intellectual property and the potential exploitation of any products derived from the research will of course also be addressed. An exploitation plan, officially called 'Plan for the Use and Dissemination of Foreground', will be developed and maintained to identify any technologies, software, methodologies or datasets with commercial potential, to initiate IPR protection (e.g. patent filing, trademark registration, copyright) with a view to post-project exploitation and to identify the most appropriate mechanism for commercial knowledge transfer (e.g. by direct licensing, spin-out, or innovation relay centre).

The plan will identify the ownership of background IPR and any foreground IP developed by the consortium partners. This plan will be updated with each periodic report to the EC and maintained as an evolving document. IPR with commercial potential will not be disclosed in the public domain. It is possible that some EO techniques or products may have generic components that could be adapted for other cross-cutting market sectors, including: geohazard prediction, flood and landslide warning, monitoring water degradation and scarcity, contaminated land remediation, the monitoring of safety-critical plant, civil infrastructure (e.g. nuclear waste repositories, earthworks) and not least, heritage conservation.

In order to assure coherence of the work supported within the 7th Framework Programme, as well as with initiatives such as the Group on Earth Observations (GEO), the INSPIRE Directive, Global Monitoring for Environment and Security (GMES), representatives of the Consortium will - upon request by the European Commission - participate in meetings where the project objectives and outcomes (of a public nature) will be presented in the perspective of contributing to common approaches and sharing of best practices.

The beneficiaries will adhere to the GEOSS data sharing principle, in particular that principle which states that "all data, metadata, and products for use in education and research will be encouraged to be made available free of charge or at no more than the cost of reproduction" (GEOSS 10-Year Implementation Plan Reference Document, February 2005, www.earthobservations.org,). Beneficiaries will also undertake to register components resulting from work undertaken within the scope of the project in the GEOSS Components registry.

Special attention will be paid to produce and communicate environmental policy-related results. The Clause 29[1] on access to data and results relevant for policy will be taken into consideration. Foreground includes the tangible (e.g. prototypes, source code and processed earth observation

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[1] **General Clause 29**. *ACCESS RIGHTS TO FOREGROUND FOR POLICY PURPOSES AND TRANSFER OF OWNERSHIP OF FOREGROUND (specific to environment research)*
1. The Project should ensure that protocols and plans for data collection and storage are in line with Community Data Policy.

images) and intangible (IPR) results of the project. Results generated outside the project (i.e. before, after or in parallel with the project) do not constitute foreground.

A clause on "Open Access" to publication on research results was included in the contract with the Commission.

2. Structure and content of the final plan

2.1. INTRODUCTION

The final plan for the use and dissemination of foreground is one of the compulsory reports that FP7 projects are required to present to the Commission. It summarises the consortium's strategy and concrete actions to protect, disseminate and exploit the foreground generated by a project. The preliminary plan as described in chapter 1 helps participants establish a basis for the dissemination and use of foreground, prepare to implement their strategy and conclude any necessary agreements.

However, the final plan for the use and dissemination of foreground shall be updated and complete. It is presented at the end of the project and describes participants' detailed plans for the management of foreground. The plan thus enables the Commission to evaluate the success of a project.

The plan is divided into two sections: one related to results that shall be disseminated and dissemination activities, including scientific publications, and one that describes exploitable results and related activities, which remain confidential, at least until the protection and the economic exploitation of the results have been implemented. The plan also describes the socioeconomic impact of the results, the target group(s) for dissemination and exploitation activities, any contributions to standards or policy developments and any potential risk associated with the results.

2.2. RESULTS TO BE DISSEMINATED

Parts of foreground obtained as outcome of a project may not be suitable for commercial exploitation, but may still be valuable as knowledge that can contribute to future scientific developments. In other cases, the results have already been protected and eventually put on the market, but it is still worthwhile to disseminate them to the public to provide an opportunity for future innovation. The dissemination of FP7 projects' foreground also matches the public character of research carried out with the financial support of the European Community. Participants are required to highlight the Community financial contribution to the project in all dissemination activities (as well as in protection activities, such as patent applications). Article II.30.4 of Annex II to the Grant Agreement provides a short statement fulfilling this objective.

Nevertheless, the dissemination of foreground may hamper its protection, its commercial exploitation or even the legitimate interests of some participants. Therefore, it is crucial to meticulously follow the procedures provided for in Annex II and always ensure that dissemination activities are carried out with the agreement of all participants and the approval of the Commission, where relevant. Confidential data or key information related to the use of foreground shall not be included in this public part of the plan.

Dissemination activities include publications, websites, workshops, conferences, etc. This section shall summarise how participants plan to reach their target public, their communication strategy and a specific set of actions. Dissemination activities shall be presented in a verifiable way that will enable the Commission to keep track of them. Regarding scientific publications, references such as the title, the author, the scientific periodical and the date of publication shall be provided. In addition to the information included in the report, participants shall provide these references, along with an abstract, to the Commission, at most two months after each scientific publication.

2.3. EXPLOITABLE RESULTS

This section is confidential. Participants shall first provide a list of all intellectual property rights that have been applied for or registered. Once again, such entries shall be verifiable; for instance, if a European patent has been applied for, the plan shall indicate the patent filing reference number.

Participants shall also provide a list of all the results that may have commercial or industrial applications. Such results may include software, inventions, prototypes, compiled information and data, etc. The plan shall indicate the owner of each particular element of foreground, whether it is a single participant or several of them (in a situation of joint ownership). It shall briefly explain how the foreground has been or is going to be used, in either further research or commercial exploitation activities, including elements such as the following:

- Purpose, main features and benefits of each technology or product, derived from the research results: innovative aspects in comparison with technologies and products already available, needs for further R&D activity (and implied risks), collaboration needs for exploitation (technology transfer activities);
- Customer detection: identification of the potential customers and the factors that affect their purchasing decisions;
- Features of the target market: size, growth rate, share that the technology/product could reach, driving factors likely to change the market, legal, technical and commercial barriers, other technologies likely to emerge in the near future;
- Positioning: how the participant (or other entity) entitled to the technology exploitation is positioned (or should be positioned) in the market, competing businesses/applications/technologies.

The members of a consortium shall of course discuss these issues in advance and agree on the best strategy for the exploitation of foreground among the various existing options: direct or indirect exploitation, involving the whole consortium or only some of its members, exploitation through a separate legal entity such as a spin-off, etc.

2.4. EXAMPLES OF EXPLOITABLE RESULTS

It is sometimes not easy for project participants to identify the results worth exploiting. The following should give an indication of what exploitable results are and where to find them. So, what are sources of results?

- Contractual deliverables
- Tools, components, equipment developed in the project
- Non-contractual documents produced in the project
- Technical or commercial data produced in the project
- Expertise based on combined knowledge

Exploitable results then could be (non-exhaustive list):

- Reports
  (contractual, policy statements, handbooks, etc.)
- Prototypes
  (technical prototypes, commercial prototypes)
- Data
  (statistics, benchmarks, trends, calibrations, etc.)
- Software
  (spreadsheets, algorithms, code, databases, systems, etc.)
- IPR
  (patents, copyright, trademark, registered designs, etc.)
- Educational
  (lecture material, courses, course notes, CDs, etc.)
- Media
  (website, video, audio, CDs, etc.)

- Publications
  (scientific journals, newsletters, proceedings, etc.)
- and many more

It will be up to all project participants to collaborate in the process of identifying exploitable results and initiate appropriate measure for protection and/or commercialisation and use.

2.5. THE ELEMENTS OF THE FINAL PLAN

The plan for use and dissemination of foreground will be established at the end of the project. It should, where appropriate, be an update of the initial plan for use and dissemination of foreground as outlined in Annex I to the Grant Agreement and chapter 1 of this report and be consistent with the report on societal implications on the use and dissemination of foreground (deliverable D5.8, due also at the end of the project).
The plan will consist of two sections.

2.5.1. Section A

This section should describe the dissemination measures, including any scientific publications relating to foreground. **<u>Its content will be made available in the public domain</u>** thus demonstrating the added-value and positive impact of the project on the European Union.
Section A includes two templates/tables:
- Template/Table A1: List of all scientific (peer reviewed) publications relating to the foreground of the project.
- Template/table A2: List of all dissemination activities (publications, conferences, workshops, web sites/applications, press releases, flyers, articles published in the popular press, videos, media briefings, presentations, exhibitions, thesis, interviews, films, TV clips, posters).

These tables are cumulative, which means that they should always show all publications and activities from the beginning until after the end of the project. Updates are possible at any time.
The tables are shown on the following pages.

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 identifier[2] (if available)	Is/Will open access[3] be provided to this publication? (Yes/No)
1										
2										
3										

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[2] A permanent identifier should be a persistent link to the published version full text if open access or abstract if article is pay per view) or to the final manuscript accepted for publication (link to article in repository).

[3] Open Access is defined as free of charge access for anyone via Internet. Please answer "yes" if the open access to the publication is already established and also if the embargo period for open access is not yet over but you intend to establish open access afterwards.

Template A2: List of dissemination activities								
No.	Type of activities[4]	Main leader	Title	Date	Place	Type of audience[5]	Size of audience	Countries addressed
1								
2								
3								

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[4] A drop down list allows choosing the dissemination activity: publications, conferences, workshops, web, press releases, flyers, articles published in the popular press, videos, media briefings, presentations, exhibitions, thesis, interviews, films, TV clips, posters, Other.

[5] A drop down list allows choosing the type of public: Scientific Community (higher education, Research), Industry, Civil Society, Policy makers, Medias ('multiple choices' is possible.

2.5.2. Section B

This section should specify the exploitable foreground and provide the plans for exploitation. All these data can **be public or confidential; the report must clearly mark non-publishable (confidential) parts** that will be treated as such by the Commission. Information under Section B that is not marked as confidential **will be made available in the public domain** thus demonstrating the added-value and positive impact of the project on the European Union.

The part B1 lists the applications for patents, trademarks, registered designs, etc. in the template B1 shown hereafter.

The list should, specify at least one unique identifier e.g. European Patent application reference. For patent applications, only if applicable, contributions to standards should be specified. This table is cumulative, which means that it should always show all applications from the beginning until after the end of the project.

The part B2 lists information about all exploitable results.

Confidential[6] or public: Confidential information to be marked clearly

Template B1: List of applications for patents, trademarks, registered designs, etc.					
Type of IP Rights[7]:	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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[6] Not to be confused with the "EU CONFIDENTIAL" classification for some security research projects.

[7] A drop down list allows choosing the type of IP rights: Patents, Trademarks, Registered designs, Utility models, Others.

Confidential[8] or public: Confidential information to be marked clearly

Template B2: List of exploitable foreground								
Type of Exploitable Foreground[9]	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[10]	Timetable, commercial or any other use	Patents or other IPR exploitation (licences)	Owner & Other Beneficiary(s) involved

[8] Not to be confused with the "EU CONFIDENTIAL" classification for some security research projects.

[19] A drop down list allows choosing the type of foreground: General advancement of knowledge, Commercial exploitation of R&D results, Exploitation of R&D results via standards, exploitation of results through EU policies, exploitation of results through (social) innovation.
[10] A drop down list allows choosing the type sector (NACE nomenclature) : http://ec.europa.eu/competition/mergers/cases/index/nace_all.html

In addition to the tables B1 and B2, the participants need to provide a text to explain the exploitable foreground, in particular:
- Its purpose
- How the foreground might be exploited, when and by whom
- IPR exploitable measures taken or intended
- Further research necessary, if any
- Potential/expected impact (quantify where possible)

3. References

European IPR Helpdesk: Information related dissemination and exploitation in the frame of FP7 projects. http://www.ipr-helpdesk.eu/