TRACEBOT

Knowledge management checklist

Deliverable 8.5

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Abstract	The knowledge management checklist (D8.5) describes the way we organize the communication and processes around the registration of intellectual property and publications within our project. Three main components are the asset registry, the publication awareness check-list as well as the exploitation monitoring plan. In addition, this document describes procedures to be followed by the project partners with respect to these three fields of knowledge management.

Versioning and Contribution History

Version	Date	Modified by	Modification reason
V0.1	1.6.2021	Carl-Helmut Coulon	First version drafted by A. Remazeilles and C. Coulon
V0.9	8.6.2021	Carl-Helmut Coulon	Version 0.9 send to all partners
V1.0	27.6.2021	Carl-Helmut Coulon	Version 1.0 includes the feedback of all reviews
V1.1	28.6.2021	Carl-Helmut Coulon	Added Executive summary
V1.2	29.6.2021	Carl-Helmut Coulon	Adopted to TraceBOT Template

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1 Executive Summary

The knowledge management checklist (D8.5) describes the way we organize the communication and processes around the registration of intellectual property and publications within our project. Three main components are the asset registry, the publication awareness check-list as well as the exploitation monitoring plan. In addition, this document describes procedures to be followed by the project partners with respect to these three fields of knowledge management.

2   Context

As a Research and Innovation Action, all members of the European project TraceBOT are committed to promote the action and its results, disseminate its results, ensure open access to scientific publications, acknowledge EU funding, and to take measures aiming to ensure the exploitation of the generated results. The completion of all these obligations requires a good synchronization and communication within the consortium, in particular to make sure that any dissemination effort does not prevent exploitation actions.

2.1   Terminology

To define the scope of this work, and before detailing how TraceBOT will handle knowledge and IPR generated, it is worth reminding some definitions [IPR2018]:

Communication: Communication on projects is a strategically planned process that starts at the outset of the action and continues throughout its entire lifetime, aimed at promoting the action and its results. It requires strategic and targeted measures for communicating about (i) the action and (ii) its results to a multitude of audiences, including the media and the public and possibly engaging in a two-way exchange.

Dissemination: The public disclosure of the results by any appropriate means (other than resulting from protecting or exploiting the results), including by scientific publications in any medium

Exploitation: The utilization of results in further research activities other than those covered by the action concerned, or in developing, creating, and marketing a product or process, or in creating and providing a service, or in standardization activities.

Background: Tangible or intangible input (data, knowhow, information) which is held by the project partners prior to their accession to the agreement. Includes IP as copyright, patents/ patent applications (filed prior to access to agreement).

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

2.2   Knowledge and IPR management scheme

The Knowledge and IPR management follow a scheme that is driven by the H2020 policy. First of all, a proper identification of the project result relies on the definition of the background provided by each project partner. Such information is detailed within the Consortium Agreement (CA). The CA also provides rules for defining the ownership and joint ownership modalities, and the condition of transfer of results. The CA of TraceBOT follows the standard DESCA [DESCA](Development of a Simplified Consortium Agreement) model, and these aspects are implemented following the standard modalities.

During the project lifetime, the exploitation of the generated results cannot be handled without taking into account the communication and dissemination management, as well as the Data Management plan, as each of these facets may produce contradictory actions if considered independently. All of these items will be described in deliverables to come: D7.2 – Communication Plan (due in M9), D7.3 – Dissemination plan (M9), D7.4 Exploitation Plan (M9) and D8.2 – Data Management plan (M7). The scope of this document is to detail the tools and procedure used to make sure that all these different perspectives are handled in a coordinated way. In particular, we want to make sure that the divulgation of results (through dissemination, communication or data publication) does not prevent the protection and exploitation of the results or assets generated.

To do so we propose to:

- Systematically identify generated assets across all Work Packages, which will be collected into an **asset registry** (Figure 1: TraceBOT Asset Registry)
- Perform a characterization of each assets through an **asset identification sheet**.
- Implement a procedure or **check-list** to make sure that any asset may not be compromised by any communication or dissemination actions.

These 3 components are described in the following sections. We will then give some indications about the implementation of the methodology, which will be further detailed in the deliverable to come D7.4 *Exploitation plan*.

3 Asset registry

The TraceBOT Asset Registry (Figure **1**: TraceBOT Asset Registry) is meant to provide an overview on upcoming and accomplished exploitable results and knowledge assets. The assets are expected to relate to software and/or hardware and/or data. The proposed table on Figure **1** and the following asset characterization sheet are inspired from the IPR Identification sheet used in the European project MUV [MUV].

TraceBOT Asset Registry							
Targeted exploitable result	Asset	Type of asset	Description	Expected TRL	Ownership	Background underlying asset (if any)	IP condition
Tracing of object status	Asset 1	HW					
	Asset 2	SW					
	Asset 3	Data					
	Asset 4						

Figure 1: TraceBOT Asset Registry

The table contains the following items:

- Targeted exploitable result: Name encapsulating the related asset. This can be a technological field, an application field, etc..
- Asset name: Name of a single asset involved in the exploitable results. Indeed, several assets may be necessary to reach the exploitable outcome.
- Asset type: whether the asset is a hardware item, a software, or a dataset.
- Description: should enable partners not involved in its development to understand its main characteristics
- Expected TRL: expected TRL by the end of the project
- Ownership: Owner of the asset, partners that have been involved in its development.
- Underlying background asset: if the new asset relies on a partner background, identify it.
- IP condition: status type of IP protection envisioned.

The objective of filling such table is to provide a quick glance on exploitable results generated within the project. It permits the owner to inform the rest of the consortium, with a reduced but clear description of the asset. This table only aims at raising awareness on project outcome.

4 Asset characterization sheet

All exploitable results listed in the asset registry are described within the corresponding asset characterization sheet. In addition to the fields of the registry the following questions are answered in a document per asset identified:

- Name of the exploitable result (just for matching with the registry)
- What challenge is solved?
- What is the new technical element of the result that distinguishes it from the state of the art?
- What is the advantage of the result in comparison to the state of the art (value creation)?
- What are the stakeholders to be involved to achieve your exploitation vision?
- What activities of the target user would be the next step in exploitation?
    o Further research
    o Product development
    o Licensing
    o Creation of a Joint-venture
    o Creation of a Spin-off
    o Standardization / regulatory alignment to enable the broad application
- What are the expected steps for you to push exploitation?
- What are the major hurdles (acceptance, competing technology, …) to overcome to make exploitation successful?
- Who are the partners involved in the result?
- Did you protect, or will you protect this result? How? When?

It is important to notice that with these questions, there is no intention to conduct the asset analysis and exploitation in place of the asset (co)-owner, as each partner has its own exploitation strategy and internal procedure. With this questionnaire, we just make sure that the (co-)owners have taken the time to analyze these different facets that are crucial to move forwards the exploitable results. It also permits to track at the project level exploitable results as well as their impacts, and to be able to report on it.

5 Publication awareness check list

We want to avoid with the academics and more commercial partners the situation where one partner releases some information that causes a problem for another partner (from patent filing to publication which require some novelty), especially as the project plans to release code. Therefore, we handle publication as follows:

- Scientific publication:
    - o share within member of TMC as early as possible the intention to publish and proposed content – latest when you start writing it.
    - o If accepted, share the article before publication (CA states 30 calendar days)

If no objection is made within 10 working days, the publication is permitted.

Note that this procedure is described as is in the CA and is thus accepted by all partners. We propose to bring that publication awareness to the TMC which in our project gathers representatives of all partners.

Minor publications (like travel news on the webpage, or retweet) can be published without prior indication only if:

- the author judges that no knowledge content is shared, and
- they are willing to take the accountability for this judgement.

In case of any doubt, it is mandatory to follow the general procedure.

Note that, if any objection is raised against a proposed publication, we will check that the objection is related to an asset already identified. If not, the exploitation manager will make sure that the asset in question gets detailed, following the sheets described in section **Fehler! Verweisquelle konnte nicht gefunden werden.** and section 4.

6 Exploitation Monitoring Plan

At each TMC meeting (every 3 month), the identification of assets will be addressed, in the context of WP7 or WP8. Any that are Identified will be presented to the consortium, and there will be discussion time to identify potential new ones. Through the technical advancement of each WPs, the Exploitation Manager will identify whether new assets may be emerging from the presented results.

The collected assets will be presented on a yearly basis within the exploitation plan. We will also present in the next exploitation plan analysis the initial exploitation of each partner, to check whether the plan defined in the Description of Action requires adjustment, and to see progressively whether we are individually and collectively converging towards these objectives.

We also schedule to conduct a specific section on this exploitation matter during the next TMC meeting, to make sure this vision is shared and understood by all partners.

1. Propose a plan for filling and updating these items, suggesting filling the Innovation Radar for the items identified. Possibly link these update phases with key milestones of the project, and / or with project reviews period, …

2. Propose a strategy for getting interaction and proper control in between the exploitation and the dissemination facets, reminding the needs to inform beforehand of any publication / dissemination objective, to make sure it does not affect an exploitation plan or an IPR being developed by another partner.

3. Remind possibly the first elements onto which we were expecting to provide impact from the DoA (key technologies), as well as the partner exploitation plan. Together with the Background on partner, that the initial state, with the initial objectives, which we can then monitor.

7 References

[IPR2018]   European IPR Helpdesk: making the most of your H2020 Project, available online

[DESCA]   DESCA 2020 model Consortium Agreement, https://www.desca-agreement.eu/

[MUV]   European Project Mobility Urban Values (MUV) D1.2 Project Quality handbook