PROGRESS-TT
Legacy Plan (Final)
Deliverable 6.3

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Circulation:	Public
Issued on:	31 December 2017

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Scope of the document

This Legacy Plan, Deliverable 6.3, presents the consortium's strategy for establishing ongoing access for the TT community and other stakeholders to the results of the PROGRESS-TT project beyond the duration of the project. The strategy builds on the work of one of the earliest project deliverables – the Capacity Building Strategy (CBS) – which pulled together a picture of the then TT landscape, with its core needs identified, which then shaped the targeted focus of all the efforts of the Consortium or what regards the PROGRESS-TT project. The Legacy Plan is therefore a mirror document of the original CBS, pulling together the impact and results of the project, validating the ongoing goals of the partners in seeking to continue the enhancement of the TT ecosystem and highlighting activities which have had particular impact and will continue being performed beyond the project duration.

The Legacy Plan has been contributed to by the project consortium as a whole and by its individual partners, drawing their conclusions from both their individual experiences learned during the PROGRESS-TT project as well as feedback from all the stakeholders who participated throughout the project. Input from the PROGRESS-TT Advisory Board[1] has also been critical from the start of the project, influencing the CBS document and more recently providing feedback on the outputs of the project. The more general issue of data management has been addressed in annex 1 of this document in a revised version at M36 of the project "Management Plan".

[1] The PROGRESS-TT Advisory Board includes the following organisations: European Commission, JRC on Intellectual Property (JRC) & TTO Circle, the League of European Research Universities (LERU), the European Long Term Investors Association (ELTIA), the European Innovation and Technology Institute (EIT), the European Association of Innovation Agencies (TAFTIE), the European Investment Fund (EIF), the Licensing Executive Society (LES international) and the European Business Angel Network (EBAN)

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Introduction

At the start of the PROGRESS-TT project a Capacity Building Strategy (CBS) was drafted by the consortium. The CBS presented a conceptual framework within which existing and future Capacity Building activities could be developed for increased coherence and impact; within that framework the CBS laid out the specific PROGRESS-TT approach for Capacity Building of Technology Transfer professionals, an example of a sub-strategy of the wider CBS. During the three years of project implementation the PROGRESS-TT approach to capacity building of TT professionals has been tested and validated with over 130 TTOs. The codified body of knowledge that has been generated from the support activities, in other words the project foreground IP, is now to be disseminated and exploited beyond the project beneficiaries to ensure maximal outreach and impact.

The present document, the PROGRESS-TT Legacy Plan, sets the framework for the exploitation and dissemination of the project foreground to the stakeholder community. It lays out a roadmap of activities that will be put in place by the consortium to ensure transparency, visibility and accessibility of foreground IP, i.e. the materials developed and lessons learned in PROGRESS-TT. in addition, the project reports on the foreseen future ("legacy") roles of each consortium partner, roles that have been considered whilst the project is still running to enable open discussions and implementation of the relevant access and exploitation strategies planned to take place before the formal end of the project.

The objectives of the Legacy Plan therefore are to:

- Present the exploitable components (foreground IP) that arose from the project;
- Determine how this exploitable knowledge will be further used;
- Detail the commitment of relevant project partners for effective exploitation;
- Specify the open access, publishable results and describe how they are to be curated and further circulated (thus made available);
- Establish the most appropriate post-project dissemination tools and channels;
- Inform stakeholders, especially the targeted user communities of the project developments and encourage continued interactions/ networking;
- Provide a coordinated access to all relevant information and resources which the entire stakeholder community will continue to be able to access in the future;
- Detail the provisions agreed as far as the more general issue of data management is concerned (see annex 1 of this document) in a revised version at M36 of the project "Management Plan".

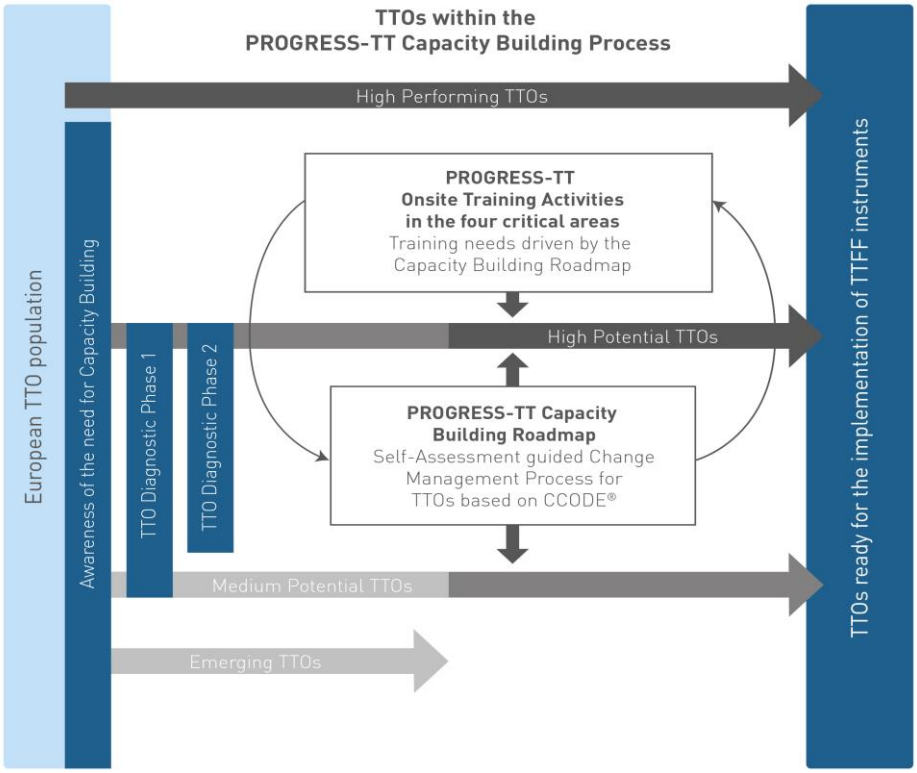
Key Learning (post CBS of 2015)

This section contains references to selected elements of the original Capacity Building Strategy drafted at the start of PROGRESS-TT which were then validated through the project implementation. It also describes the areas where the Legacy Plan sets out different, more focused or alternative next steps by the consortium.

The CBS concluded the following as key parameters for capacity building activities to be carried out under PROGRESS-TT:

- Address the classical ***technology transfer (TT) issues*** in the EU, fully acknowledging that this is a subset of the broader knowledge transfer.
- Focus support on the ***practitioners' perspectives*** in the strategic dimension as well as at the operational level.
- Emphasize TT strategies and activities springing out of the PROs and the PROs role in the appropriate "***ecosystems***" for innovation.
- Recognize the ***differences in needs*** for support across the community (giving priority to supporting high- and medium-potential TTOs, i.e. TTOs that are less effective than the highest performers at translating excellent research into commercial returns but have the highest potential to become high performers and consequently need intensive and direct support) and the corresponding variations in effectiveness in the various strategies and activities attempting to close the gaps.
- Identify situations where external ecosystem ***partners*** can be valuable partners for TT professionals.
- The support provided by PROGRESS-TT is not aimed at addressing the funding of the capacity building activities (except for what regards early stage investment support such as establishing a PoC), nor at ***recommending certain TT tools or methods over others,*** but working on leveraging best practice from the community.

The delivery model proposed at the start of the project – and followed throughout – was the following:



Having thus set the scene, the operational activities then kicked-off with the compilation and design of training materials and resources, being both a content driven program of events and a range of five different learning environments, comprising one-to-many events including webinars, training courses, workshops and boot camps (for a total of 16 events) and one-to-one coaching interventions, all addressing a subset of the PROGRESS-TT Critical Areas of Focus (CAFs) 1 to 4.

Validated CBS Learning

The key messages and recommendations from the CBS which we now refer to as the "validated learning" are briefly summarized as follows:

1. Effective TT is **context** specific, there is no "one size fits all" model;
2. 4 **Critical Areas of Focus** were identified covering the range of skills and knowledge TTOs declared to be most in need of training;
3. It is essential to identify the right **beneficiaries** able to immediately leverage the learning of this focused project;
4. The importance of both **individual training** *and* **shared learning experiences** (via the 4 types of event, the teaming and clustering approaches of the coaching programme or the case studies illustrating a number of best practice identified by PROGRESS-TT) is critical;
5. The relevance of **accreditation** (possibly of entire TTOs) to the sector should be factored in;
6. There is a clear need for **additional tools and resources** that demonstrate good practices and stimulate inspiration.

We now look into each of these validated learnings one by one.

1. *Context Dependency of TT*

Technology Transfer is context dependent. Although the increasing impetus of "the knowledge triangle" and the corresponding demand for impact from publicly funded research pertains to all PROs, the opportunities for creating value through technology transfer varies greatly from institution to institution and from region to region. There is no such thing as a generic technology transfer best practice and no "magic wand". To determine how TT should be developed in each location, the context must be clearly understood and defined.

In its simplest form, the key parameters are Potential, Desire, Systems, and Stakeholders.

- *Potential*, as in the size and the relevance of the research base: Number of researchers, quality of research, fields of research, international reputation/recognition, industry relations, joint research with industry, etc.
- *Desire*, reflecting the level of awareness and strategic emphasis: Institutional, regional, and institutional culture, policies, strategies and operational incentives.
- *Systems*, defining operational capabilities: The size, experience and maturity of a dedicated organization with TT professionals
- *Stakeholders* describing TTO's access to relevant funding and to a complete "ecosystem" for technology-based innovation.

2. *The Four Critical Areas of Focus*

The purpose of this taxonomy is not to provide a "score" or "ranking" of any parameter with regard to a "golden standard", but only to provide a set of characteristics as a foundation for creating an institution-specific plan for developing, improving or expanding its TT capacity. This led to the conclusion that there were core competences and knowledge/ skill areas which each TTO could usefully develop-to be called the four Critical Areas of Focus (CAF).

3. *Beneficiaries' segmentation*

TT has had a very different history in the countries comprising the EU, described below in a very simplified way:

- Countries/areas like the UK, Ireland, Belgium, and Switzerland with the longest experience, and consequently some of the best TTO's in Europe.
- Countries like the Netherlands, Germany, Austria, Denmark, Norway have eliminated the professors privilege in the early 2000's and have invested considerable resources in ramping up institutional TT activities
- Countries like Sweden, Italy and Finland have not – partly or at all – eliminated the professor's privilege, and have a completely different set of experiences
- The new member states in the east and south east of EU have neither had the time nor the resources to take TT very far, and considerable gaps exist

Even in the countries and regions where investments have been made, and experiences collected, there may still be a gap, albeit at a different level. Therefore, we can expect to find gaps widespread, but they are likely to be of different natures/characters requiring different strategies and activities.

Also, the societal status of a PRO and the nature of its immediate stakeholder surroundings is likely to affect the choice of tools and mechanisms, which will turn out to be successful for this particular PRO.

4. Individual Training & shared benefits for entire TTOs

Based on a clear description of the context for TT, a plan for capacity building for a given TTO must contain the following elements:

- The big picture that is derived directly from the ***context description***, defining the overall scope of the need for Technology Transfer Capacity Building at the level of individual institutions and how it relates to local, regional and national considerations.
- The different ***targets*** that must be developed or integrated in order to implement the picture (***indicators, actions and milestones*** targeted).
- The ***approaches*** by which the targets must be developed and integrated (e.g. coaching and mentoring, training, etc.).
- The ***human resources*** needed to reach the targets and produce the results, including qualifications, skills, and training requirements.
- These elements should be ***planned strategically at TTO level*** and monitoring should include checks of how the sharing and the leveraging of individual learning was carried out at team level.

5. Accreditation

Accreditation of Offices was explored in response to views that such a development may enhance the effectiveness of the offices and in particular make them more attractive business partners for the financial sector. Eventually this approach proved too ambitious for a time-bound project like PROGRESS-TT so the team reverted back to event material certification through ATTP. The issue of TTO accreditation however will continue being explored separately from PROGRESS-TT.

6. Delivery mechanisms, tools & resources

PROGRESS-TT built on best practice and illustrative case studies which were mapped out by the project. Underpinned by these best practice, are extended sets of tools and activities, which have provided valuable input to the more operational side of the CBS[2]. This is important, since the scale of the capacity building challenge is very large, reinforcing the need to find efficient tools and delivery mechanisms, that will allow planning for the most sustainable continuation of impact.

[2] The impact of the project activities was assessed at the end of the implementation phase and is available as an overview as part of the final report (detailed proceedings are available upon request).

Throughout the project implementation phase, PROGRESS-TT has ensured that the development of and access to the outputs generated by the project would be made available to the maximum number of TTOs identified as project target for (namely medium and high-potential TTOs that are under-resourced yet serving a PRO R&D community whose outputs have much greater potential to impact the innovation landscape) by:

1. Establishing ongoing routes for providing support in the 4 CAFs to all eligible in the EU who can benefit from it , including utilising the project materials and worshop/boot camp/training event formats (key role for existing project partners);
2. Keeping a well-maintained website :
    a. with easy access to created materials and tools;
    b. access to a TT diagnostic tool;
    c. access to a database of TTOs.

Additional Lessons Learned

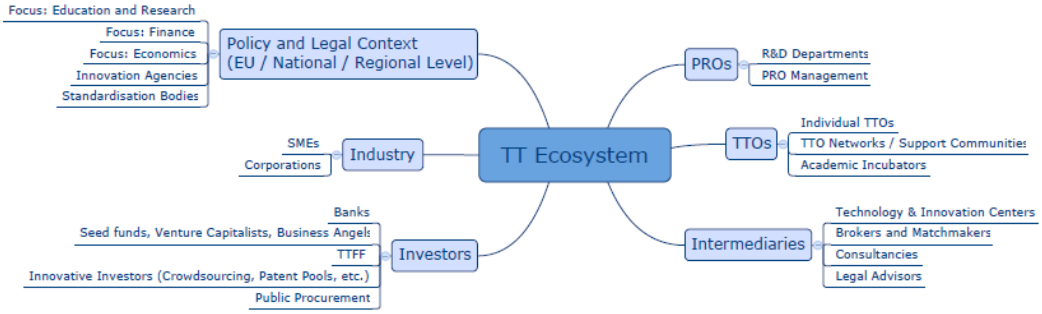
The experience of the partners in implementing the project have led to several additional insights, which were incorporated where possible within the project. These can be briefly described as follows:

1. The positive, critical impact of mentoring an office (not just individuals) had been underestimated until PROGRESS-TT. Indeed, coaching beneficiaries confirmed that this type of support and upskilling is the single most effective way to leverage increased skills and outputs from a TTO;
2. An enhanced understanding of the critical role of support from institutional management level was garnered throughout the project, including appreciating the essential role of an effective ecosystem (such as access to funding sources, serial entrepreneurs, industry partners). In implementing the one-to-one coaching approach, one of the most common problem areas encountered was a lack of management buy-in to the TT function. Where this could be addressed by increased awareness raising at management level as well as an increase in skills within the TTO, very effective ecosystems could be nurtured.

Stakeholders

The identity and roles of the stakeholders in TT were set out fully in the original CBS. Here in the Legacy Plan their further roles in benefitting from or even further contributing to the impact of PROGRESS-TT are set out.

The primary users of the results of PROGRESS-TT are the actors of the European TT ecosystem and they fall into 3 categories: those directly managing the innovation interface as TT practitioners; those players providing access to essential tools and resources which fuel the TT process (such as fund providers and public sector bodies) and ultimately the general public, as the ultimate beneficiaries of the outputs of innovation, both societal and economic.



By ensuring that there is a continued dissemination strategy sharing information and awareness about the goals and impact of TT, using the results of PROGRESS-TT, then all these stakeholders will both benefit and over time become ever-more interactive and contribute to the TT process.

- National governments and private organisations will continue to enhance their understanding of the effects of using systems and tools to increase TT success;
- TT Offices (TTOs) and intermediaries will continue to access, embed and utilise these systems and tools;
- Other national and regional programmes will be able to leverage the Best Practices as shared across the community;
- The general public be more aware of the importance of TT (i.e. research that can enhance societal development and economic growth);
- There will be increased awareness of the support given to TT and the innovation landscape by the EU.

The “Dissemination” section below has more details of the range of instruments employed to maintain full engagement with the stakeholders.

Interests of Each Partner in Using the Project Results

The key ownership and access principles around the IP used or developed in the project were clearly established in the Project Consortium Agreement. All project partners had automatic **access to background IP** during the project and will continue having access to foreground IP (project results) after the end of the project. With regard to commercial use, partners may use all foreground IP in products or services but only the actual owners of the IP are free to license it to third parties. Given that the majority of the tangible outputs of this project are to be made available under open access terms to third parties, the proactive

commercial licensing of the results is not likely to feature as a significant volume of activity post completion of PROGRESS-TT. However conditions for access by third parties is described at page 27 of this Plan.

ASTP-Proton as the pan-European association of technology transfer professionals will play a **strategic role of custodian** to the project results. Through its direct engagement with the broad spectrum of the community and strategic relationship with each national association, through its National Associations Advisory Committee (NAAC), TTO practitioners will remain intimately aware of and involved in the direct utilization of all the tools and resources developed within this project. ASTP-Proton already provides a strong service as a source of training, expertise and member services and has resources (in the form of professional expertise at HQ) to continue to support the effective communication and dissemination of the project results.

In addition to its custodian role, ASTP-Proton through its Professional Development Committee of experts in technology transfer, will continue utilizing and developing the digital resources which will be openly available to the whole sector. Its dedicated working group on digital tools will be utilizing the e-learning platform. Training courses, peer review services and professional development towards accreditation are all services provided by ASTP-Proton, and many of these will continue benefiting from the results of the project by incorporating materials or using the experts. Further development of the TTOBase will also be explored by ASTP-Proton and Fraunhofer and the TT community to determine what additional functionality may prove effective and feasible, to enhance the ability of TTOs to showcase their skills and be effective conduits to their institution's technology and researchers.

While the goals and ambitions of each partner are summarized in the table below, it is important to understand the level of ongoing commitment that each partner shares to seeing the TT capacity building. The end of this project will in no way terminate the interactive relationships of this consortium. Individually they will also continue to make direct use of many of the outputs of the project.

Several of the partners are directly involved in the business of providing training and expert advice to the TT community and so will continue to make direct use of all the training packages, library of resources and other tools developed. The PROGRESS-TT website will remain supported for at least 12 months post the end of the project. After the 12 month period, all materials and relevant information originally on the PROGRESS-TT website will be directly accessible through ASTP-Proton's website who as custodian will also continue efforts to maintain and raise awareness of these materials to the widest community of stakeholders to ensure uptake, development and use. The academic and research partners shall continue to work closely with external parties as part of academic studies, looking wherever possible at the ongoing evaluation of impact, enhancing the understanding of processes, tools and their success in improving the TT ecosystem. The industrial partners' engagement in the project has further enhanced the mutual understanding of TTO staff and industrial colleagues in how each can more efficiently work together. Thus as well as contributing directly in training events, the industrial partners intend to continue expanding their relationships with relevant TTOs by using the TTO Base to keep up to date with the contacts and activities of TTOs.

By the end of the project, no commercial use by third parties was envisaged or requested. However should any of the foreground results be of independent commercial interest by any third party, then they can contact ASTP-Proton for advice on potential terms, clarification of the relevant owners to be consulted and potential negotiation of access to the results.

Foreground	Ownership	Custodianship of foreground beyond project end[3]	Access (Commercial/non-commercial)
1. **Database of TTOs** (i.e. SQL or CSV[4] dump)	Contributed to by all consortium partners & external parties	Fraunhofer to maintain and support) ASTP-Proton (to maintain and support)	*Non-commercial:* Open Access[5] via ASTP-Proton *Commercial*: Access to the frozen dump date 2107 will be available on request to AP/FH
2. "TT-Diagnostic" Off-line self-assessment tool (based on CCODE™ tool) & improvement check tool (pdf and Excel upon request)	Consortium (MITO as prime developer) Includes background IP owned by Pera(CCODE™)[6] Tool further developed as part of the project by Pera, MITO & ASTP	ASTP-Proton	*Non-commercial:* Open Access cannot be guaranteed (see footnote 7) *Commercial*: MITO/ASTP-Proton/KIM/AP
3. Best practice library & case studies (narratives, pdf)	IT elements of the Library includes background IP (see footnote[7]) owned by the external developer All library content developed bespoke for the project by UniBO, ASTP, KIM, Pera & MITO	ASTP-Proton	*Non-commercial:* Open Access via ASTP-Proton *Commercial*: MITO/KIM

[3] Until the end of the project (December 2017) and except for the database of TTOs, the custodian of the foreground is the project consortium; unless stated otherwise, access to the foreground during that timeframe is through the project website and public deliverables.

[4] comma-separated values

[5] Open access will follow the Open Access Policy adopted by PROGRESS-TT.

[6] Pera is under administration and access to the background cannot be guaranteed. Therefore access to the foreground cannot be provided.

[7] According to the agreement signed between the external provider and the relevant project partners, materials including, but not limited to, software, script or programming code developed or provided by the external provider with the exception of original elements created specifically for the clients, shall remain the property of the external provider. The iteration therefore belongs to the project.

4. **"Training Solutions", i.e. event organisation guidelines** (i.e. "Bootcamp: Expert Briefing Document", text; pdf)	Developed bespoke for the project by MITO, KIM & ASTP	ASTP-Proton	*Non-commercial:* Open Access via ASTP-Proton *Commercial*: MITO/ASTP-Proton/UNIBO/KIM
5. **"Coaching guidance"** (Expert handbook, pdf)	Developed bespoke for the project by MITO, ASTP, KIM, Pera	ASTP-Proton	*Non-commercial:* Open Access via ASTP-Proton *Commercial*: MITO/ASTP-Proton/UNIBO/KIM
6. **"E-learning platform content[8]"**	Content and update to user interface done by MITO & KIM	ASTP-Proton	*Non-commercial:* Open Access via ASTP-Proton for 12 months *Commercial:* to be discussed further
7. **"learning material" (content of WP4 events, accredited by ATTP)**	Content developed by the experts for the project with support by ASTP, MITO, KIM	ASTP-Proton	*Non-commercial:* Open Access via ASTP-Proton *Commercial*: MITO / ASTP-Proton

[8] IT infrastructure Includes background IP owned by the external developer

Achievements of the project

PROGRESS-TT through its programme of capacity building activities contributed to energising the TTO community, specially embracing the wider geographical zones with a shorter TT history such as eastern and southern Europe, with many new networks and relationships formed which will outlive the project life[9]. Overall, PROGRESS-TT accelerated 137 TTOs across the whole 28 territories in the EU and countries associated to H2020; 30 of which received coaching and mentoring to. In addition, a legacy of materials and resources is progressively being made available to everyone, not just those who directly participated in the project activities. These will continue enhancing capacity building in TT for many years to come.

An overview of each of the foreground IP elements introduced in the previous section follows (fuller descriptions of the results are set out in the relevant annexes while details of the routes to access are set out in subsequent chapters of this Legacy plan).

PRO-TT BASE - A database of European Technology Transfer Offices

- *Description:* Based on background concept developed by Fraunhofer
- *Background IP ownership:* Fraunhofer IMW
- *Foreground IP ownership:* Jointly by Fraunhofer IMW and ASTP-Proton, to enable effective support, development and maintenance of the portal.
- *Custodianship:* ASTP-Proton will provide portal access via its own website. A clear transition period with associated timetable of steps has been agreed with Fraunhofer IMW to ensure that post 2017, the TTO database remains active and accessible.
- *Users*: whole spectrum of stakeholders, to find and learn about specific TTOs across EU. There is no alternative single source of this information thus is invaluable as a reference tool for all seeking to make contact with a technology expert or specific TTO.
- *Route of access*: project website until end 2017, then ASTP-Proton's website.

Additional notes:
The TTOBase under the custodianship of ASTP-Proton will strongly rely on a proactive approach by ASTP-Proton to continually invite and remind TTOs of the existence of the database with opportunities to update and add to it. Given the direct interaction which ASTP-Proton has not only with its own members but with the broad range of players across the whole sector, the TTObase has potential to become a reference database in the TT field.
Shortly after the project end, ASTP-Proton intends to contact all its members with a reminder that the TTOBase is available for them to be included and to submit details directly to Fraunhofer IMW. ASTP-Proton will also stimulate engagement with the twenty-seven national associations which form its National Association Advisory Council (NAAC), so that they in turn can reach out to their respective memberships and encourage additions to the database. Some NAs may have the right to directly share its member list with ASTP-Proton or Fraunhofer IMW Fraunhofer IMW can then check the TTO-Base and create a basic profile for each TTO which is not yet in the TTO-Base. As a means for quality assurance Fraunhofer IMW added

[9] A full impact assessment of the project capacity building solutions is underway. Its results will be shared with key stakeholders at the M36 meeting and in the final version of the Legacy Plan.

the functionality "*This profile needs an update*" in the TTO-Base so that TTOs can easily requests profile updates.

The TT Diagnostic Tool

- *Description:* This novel diagnostic tool (based on background IP of Pera - the CCODE™ tool) comprises an offline methodology enabling users (TTOs) to assess their current performance levels around 5 dimensions for successful technology transfer and the 4 critical areas of focus.
- *Foreground IP ownership:* Consortium (MITO prime developer)
- *Custodianship:* ASTP-Proton
- *Users*: This tool was developed primarily as a tool to enable TTOs to provide information to enable a profile of their key needs per the 4 CAFS to be drawn up. Where continued structured access and training is to be provided under the CAFs, this tool may continue to be relevant for the partner training organizations.
- *Route of access:* the off-line self-assessment tool will be available as pdf and Excel format upon direct request to ASTP-Proton.

A Library of TT Best Practice and Case Studies

- *Description:* This online directory of Best Practice Case studies comprises a digital archive of 44 cases and used in the events. The cases will remain publicly available via websites of PRO-TT and ASTP-Proton.
- *Background IP ownership:* Copyright developed by UNIBO, KIM, MITO
- *Foreground IP ownership:* ASTP-Proton
- *Custodianship:* ASTP-Proton; new case studies will be prepared post-project by volunteer TTOs and will be reviewed by a dedicated editorial committee to be created by ASTP-Proton
- *Users*: All TTOs and training providers
- *Route of access*: Project website until end 2017 then ASTP-proton's website

Training solutions (for live and online learning)

- *Description:* 16 training solutions (combination of PowerPoint presentations and other handouts) were generated during the project in collaboration between the project partners and external experts hired by the project. All content was successfully submitted to ATTP[10] for certification.
- *Background IP ownership:* none
- *Foreground IP ownership:* ASTP-Proton
- *Custodianship:* ASTP-Proton
- *Users*: Training providers, including all the original partners. TTOs interested to go through the material as self-help tools.
- Route of access: project website until end 2017 then ASTP-proton's website

A Coaching Guidance for TT capacity building

- *Description:* An expert handbook was put together to guide the support activities of the external experts working in collaboration with PROGRESS-TT; this helped ensure that consistency in approach and quality could be given to the TTOs.

[10] http://attp.info/

- *Background IP ownership:* Consortium
- *Foreground IP ownership:* ASTP-Proton
- *Custodianship:* ASTP-Proton
- *Users*: ASTP-Proton experts willing to use the methodology or build upon it.
- *Route of access:* ASTP-Proton website.

E-learning Platform Approach and Content

- *Description:* during the PROGRESS-TT project the e-Learning platform developed using an external supplier was used as the prime repository of event material and additional learning content (such as webinars and tutorials); access to the platform and its content will continue post-project as ASTP-Proton intends to continue hosting the platform on its server with the support of an external developer to help maintain the platform.
- *Background IP ownership:* commercially developed software platform (IT infrastructure belongs to the developer)
- *Foreground IP ownership:* ASTP-Proton
- *Custodianship:* ASTP-Proton
- *Users*: TTOs
- *Route of access:* via the ASTP-Proton website.

General Dissemination of Public Results

All practical resources will be available for free, accessible from the ASTP-Proton website.

For each identified stakeholder, an ongoing communication strategy is required, with regard to the ongoing access and availability of the free materials and resources. The routes and messages are set out below. The project website which has until now been the key repository of all information, will be supported until the end of 2018 and until then a transition of all functions and relevant information shall be passed across to the ASTP-Proton website, as custodian of all the Open Access results.

Specific commercial exploitation by partners will be subject to their own individual campaigns and these campaigns will not form part of this Legacy Plan.

Dissemination Strategy post PROGRESS-TT

Communication and dissemination strategy

To maximize its long-term impact across the targeted stakeholders, communication and dissemination activities are of paramount importance. This Legacy Plan provides a strategy for the continuous dissemination of the PROGRESS-TT results, allowing for their sustainability beyond the end of the project.

For the primary audience of TT practitioners, the key goals of the post-PROGRESS-TT communication strategy are to maintain awareness of the existence of the Open Access

materials, to encourage TTOs to update the TTO-Base, to encourage the continued development and enhancement of the library of case studies and to encourage the development and use of the online learning tool. The three tables below break down the post-project communication focus per stakeholder. The first table concentrates on the first tier of stakeholders (TTOs, TT national associations, TT experts and PROGRESS-TT past participants), the second table on the second tier of stakeholders (TT Fund managers, Ministries and other intermediaries in charge of TT and Intermediaries and TT companies/ public agencies), the last table shows post-project communication effort towards the public at large.

Post-project communication focus – first-tier stakeholders:

Who?	Why target them?	Message	How to communicate with them?
TTO practitioners	Main target for project; are in charge of the TTO strategy including capacity building (for staff) actions to help reach performance targets;	Help in understanding TTO growth potential and/or existing needs The tools can help you plan how to build your staff capacity Learn from other TT professionals' experiences Help in recognising TT profession (informing about courses, credits and, where available, certificates);	LinkedIn Twitter Website: Dedicated page on "access to material and tools" and access to web tools; Access to interactive spaces Receive regular ASTP-Proton Newsletters, showcasing enhanced learning and networking opportunities
TT national associations	They can promote PRO-TT solutions to their members (individual TTOs) National associations are the voices of TT in any given country, hence, they have a lobbying position to the EC if their voices are consolidated.	Solutions exist to improve the TTO performance of the country, targeted to your TTO members' needs Inform the TTO managers (sign-posting) Help in the ongoing identification of best practices, in finding TT	Harness the National Association Advisory Council (NAAC) of ASTP-Proton. LinkedIn Twitter Website: Access to PRO-TT material and dissemination activities

		training materials available for TT staff and faculty	
TT Experts	Experts that have expressed an interest in getting involved in delivering PROGRESS-TT (either through WP4 or WP5); their CVs are being collected and filtered against the project needs Most are private consultants looking to gain new clients; some are experienced TTO managers wishing to "give something back" to the community		Keep them informed of the progress of the project; what's next for them
PROGRESS-TT past participants	TTOs that have staff participating in the PROGRESS-TT event		Received targeted updates on enhanced accreditation system

For the second tier of stakeholders, identified as the resource providers (funders and public sector organizations) it will be essential to maintain awareness of the ongoing activities and use of tools and best practice sharing culture. Key messages will be around the fact that the community is interactive, sharing best experiences and open to engagement with all other stakeholders to continually improve the innovation landscape. If the news and updates can encourage them to continue engaging and working on enhanced processes and finding more opportunities for effective TT then the goals of PROGRESS-TT will remain active.

Post-project communication focus – second-tier stakeholders:

Who?	Why target them?	Message	How to communicate with them?
TT Fund managers	Main target for project; 1) They have a crucial role to support TTOs financially (the lack of funds is one of the barriers early identified in underachieving TTOs) 2) TT Funds may engage in supporting ongoing access to results 3) It is also important to help TT Funds Managers to get to know more about TT in order to improve their decision-making in terms	2 levels: 1. Capacity building of Fund staff: "We can help you plan how to build your staff capacity and improve their investment performance in TT" 2.Increased investment opportunities: which TT practitioners will give them access to	LinkedIn Twitter Website: Dedicated page on Considering them as key stakeholders: including them in PR mailings, inviting them to actively participate in TT meetings, workshops and training sessions and to propose training

	of investment in TT activities.		topics also relevant for their staff.
Ministries and other intermediaries in charge of TT	Secondary target for the project. They can recommend PRO-TT solutions to their members (individual TTOs)	Solutions exist that are targeted to your country/region TTOs' needs; Inform the TTO managers (sign-posting)	
Intermediaries and TT companies/ public agencies	Important target audience during the exploitation phase of the project results, they can use the material and results generated by the project	Business cases that can help you (and your courses) with real scenarios and successful processes	General AP newsletters , informing of resource library and tools

The final permanent audience with whom we should maintain engagement is the general public. In addition to the messages identified below, there is also scope to build collective messages combining information about several EC project outputs, which have synergy across the field of TT.

Post-project communication focus – third-tier stakeholders:

Who?	Why target them?	Message	How to communicate with them?
Public at large	Not a direct target audience but indirectly might come across the project results online primarily	General awareness of what is TT and why it is important to get the results out of the labs and into society. Role and impact of EC supported TT projects	AP Website PR releases

Communication channels

Websites

The project website was the primary means to disseminate project information, resources including public deliverables and access to a number of project tools such as the library of Best Practice or the TT Diagnostic Tool. The website was also expanded to carry online learning facilities. However the ongoing maintenance of the site will continue for a limited period of time, with the different functionalities being transferred across to other sites.

As custodian of the Open Access portfolio, the website of ASTP-Proton will be expanded to include these materials. Its digital resource section will clearly signpost the PROGRESS TT materials, together with any relevant click-through licences which commercial users may require. Its portal will also encourage users to offer updated examples, which will be assessed and added to the digital library, thus ensuring
News and blog items will also be encouraged to appear on its website, around the use and even development of the Open Access portfolio. Press releases announcing relevant developments and the evolution of the project and its impact will continue to be harnessed and promoted.

Social media

Twitter and LinkedIn were set up as main project communication channels to give more visibility to the project. These channels will continue being relevant post-project and ASTP-Proton will further develop their use as more and more knowledge professionals get to know the project through participation in or seeing reports about its events. In addition to project results visibility, these networks will provide the needed "push" for audience to visit the relevant pages where the project legacy will be accessible. Further sustainability and use of these channels, the logo and identity will be further assessed and where possible, will be preserved as long as the materials and resources available remain valid and dependent upon these identities. Partners still need to determine how their individual use plans will continue to underwrite the ongoing free dissemination of PROGRESS TT materials and tools.

Additional Fora Identified to Attract Further Stakeholders

"Sister" organizations of ASTP-Proton dedicated to professionalization of TT offices (such as ATTP global network) may find it useful for their members to also be aware of and access the materials available, especially if their members are engaged in collaborations with EU organizations. Regular awareness raising slots at each ASTP-Proton conferences will promote this information directly, as well as at each NAAC meeting. The ASTP-Proton network supports different communities, known as Special Interest Groups and the possibility of encouraging a long-term community of mentored TTO (under WP5) to form such a SIG is being explored. Such a community will be invited to reunite at ASTP-Proton conferences and ways to strengthen and develop this active community will be explored.

Other EU projects

Cross fertilizing the use of the PROGRESS-TT outputs across a range of other EU projects, both ongoing and completed is also relevant in terms of expanding the widest possible community of stakeholders to benefit from the results.

Accreditation

As identified early on in the project, the recognition of skills and the professionalization of TT has led to the development of different approaches to accreditation. These have been explored within the project as part of WP3, but the essence of the conclusions of that WP bring a legacy of activity which needs to be addressed here in the Legacy Plan. Accreditation

by the Association of Technology Transfer Professionals (ATTP[11]) for the material used at the 16 events run under the project has been achieved; all 16 event participants were sent the certificate showing the allocation of any relevant CE points they earned through the courses.

Furthermore, the full engagement of the TT sector, not just through ASTP-Proton but also through its global sister organisations under the umbrella of ATTP continues to develop understanding and effective accreditation regimes for the profession. Recognition of individuals is well established. Accreditation of materials and course is equally valued and established. The next challenge for the TT community in terms of accreditation looks at whether and how entire office accreditation may be valued or meaningful. The report in prepared in PROGRESS-TT on the matter describes the investigations made under this project, but given its conclusion that it should be addressed in a different forum from PROGRESS-TT, ASTP-Proton will continue to drive this discussion and debate within its role as a founding member of ATTP, an organisation which seeks to ensure relevance and quality in its function as an international accreditation body, representing a dynamic and evolving profession.

Importance of certification

According to the International Organization for Standardization (ISO), certification is "the provision by an independent body of written assurance (a certificate) that the product, service or system in question meets specific requirements" (www.iso.org). With reference to learning events, professional certification "ensures recognition and validation of formal and non-formal learnings. It strengthens employability and mobility and increases motivation for learning throughout life" (www.efcorcert.eu). For this reason, the set of learning events implemented by the PROGRESS-TT project would highly benefit from having a professional certification.

For professionals working in technology transfer, obtaining a professional certification can be extremely valuable to signal to employers, colleagues and third parties that a professional has reached relevant and demonstrable core competencies in the field. In a survey to TT professionals employed in European universities developed within the PROGRESS-TT project, the respondents explicitly recognized the importance of certification for their profession. To this end, TT professionals try to attend certified training courses that allow them to reach the certification. In fact, to the question asking to indicate whether the accreditation of courses was perceived as important (on a 1-5 scale, where 1=unimportant and 5=extremely important), 50% of the respondents answered assigning the highest values of 4 or 5 (total average value equal to 3.23), and 23% of them assigned the value 3.

The professional certification of TT professionals and the participation of TT professionals to certified courses can also benefit their organizations through the increase of available competencies and knowledge, and through potential networks established through meeting instructors and other professionals attending collective training courses. TTOs that aim at sustaining a high quality of their services are aware of the importance of growing a base of TT professionals attending certified training courses. Therefore, it could be interesting for TTOs

[11] http://attp.info/

to obtain a certification based on the depth and breadth of competences available through TT staff attending certified courses.

The present certification plan will therefore discuss two levels of certification possibilities. First, the individual-level professional certification – based on the certification of learning materials used in the capacity building of TT professionals. Second, the organizational-level certification – regarding the certification of TTOs based on the degree of involvement of their staff in the various learning activities of the PROGRESS-TT project. This type of organizational level certification could be valuable for the TTOs, as it would indicate a strategic approach to learning, with selected members of staff attending learning events that are specifically relevant to their activities with, eventually, the whole team or a number of key personnel having attended a complete sequence of learning events of the PROGRESS-TT project, covering all four Critical Areas of Focus (namely: Scouting ideas and technologies and incentivising disclosures; Assessing IP potential, validating technologies and incentivising for commercialisation; Accessing finance and interacting with financial stakeholders; Securing staff skills and organising the TTO for growth).

Certification of individual professionals

From a review of existing opportunities to obtain the certification of the learning materials produced by PROGRESS-TT, two main options were identified.

1. Certification of material by the Alliance of Technology Transfer Professionals to be used by Registered Technology Transfer Professional RTTP (http://attp.info/)
   The RTTP certification is managed by the Alliance of Technology Transfer Professionals (ATTP). ATTP is an international non-for-profit organization, created in 2010 by different Technology Transfer Associations and participated to date by ASTPPROTON -Proton (Europe), AUTM (USA and global), Praxis Unico (UK), KCA (Australasia), SARIMA (South Africa), SNITTS (Sweden), TechnologieAllianz (Germany), UNITT (Japan), and ÜSİMP (Turkey). ATTP allows technology transfer professionals becoming "Registered Technology Transfer Professional" (RTTP). The RTTP certification is widely used and courses eligible for the RTTP certification must be of direct relevance to technology transfer/knowledge transfer and may include ongoing courses, conferences and webinars, while degree and diploma programmes are excluded because they do not include practitioners.

2. Certification of material by the European Knowledge and Technology Transfer Society EuKTS (https://www.eukts.eu/)
   The European Knowledge and Technology Transfer Society (EuKTS) was set up through a European project to become an international non-for-profit association providing certification and accreditation to support the development of knowledge transfer (KT) by increasing the standard, recognition, the education, the training and the mobility of the knowledge and technology transfer professionals across Europe and beyond. EuKTS is operative since the end of 2015 and has recently started to provide accreditation for trainer providers such as universities, high schools, private training providers, consortium of providers.

Eventually, the working group decided to opt for option 1. Indeed the choice of the RTTP option is the most suitable one with regards to the project's needs, for two main reasons. First, this certification scheme better fits the learning events organized within the PROGRESS-TT as it is focused on courses, conferences and webinars that are oriented towards practitioners – rather than towards university-promoted masters or courses, as is the case for the EuKTS certification approach. Furthermore, RTTP is a consolidated and well-established certification path, with several years of experience, which certification is widespread worldwide, whereas EUKTS has been launched more recently and it is still in an early phase of development.

RTTP individual-level certification

ATTP has established criteria whereby a TT professional can become a "Registered Technology Transfer Professional" (RTTP) based on attendance of Recognised TT training events amounting to 60 Continuing Education (CE) points, together with submission of evidence of practical experience, in the form of a written case study. Application for recognition can be submitted once the relevant points and case study have been prepared, and then assessment will be made of the quality of the application. Automatic granting of RTTP status is not guaranteed. CE points are generally allocated as follows:

- *For courses*: one point per hour of course time, excluding breaks; each course can award 20 points maximum, with 7 points maximum if only held by one trainer or having no local content;
- *For conferences*: one point per hour of conference time, excluding breaks; each conference can award 10 points maximum, and the professional can claim maximum 30 CE points from attending conferences;
- *For webinars*: one point per hour of webinar; the professional can claim maximum 5 CE points from attending webinars.

ATTP process of training recognition

Given that one of the aims of PROGRESS-TT is the production of content for learning events and the delivery of TT courses, it was essential for PROGRESS-TT to understand how event contents could be recognized by ATTP.

ATTP assesses courses, conferences, and webinars for Recognition. The Recognition Process ensures the quality of TT learning provided and its suitability to train and professionally develop TT professionals. The process is guided by the following principles:

- To provide events that are educationally sound, up-to-date, of high quality and demonstrably effective;
- To engage experienced technology transfer/knowledge transfer practitioners in the design and delivery and evaluation of learning events;
- To demonstrate the ultimate benefit of learning events through satisfied participants and comprehensive evaluation processes;
- To ensure proper and ethical administration of all evaluation and financial aspects relating to the learning events;
- To embrace voluntary self-regulation, which is inherent in the recognition process;
- To demonstrate commitment to the people served by the organisation and training events;

- To promote events of the highest quality and integrity;
- To maintain fair, ethical and clearly stated advertising and enrolment practices by accurately and fairly representing the organisation and its learning events to all people.

Associations joining ATTP benefit from free recognition of four training courses (excluding travel costs for assessors to undertake any required field visit), annual meeting or conference, and up to two webinars. Assessment of subsequent courses is made at the prevailing rate (e.g. currently $30/point for onetime courses and $75/event for repeating courses).

Recognition of courses

In the Recognition Process of courses, training proposals are assessed according to the following criteria:

Criterion	≤ 1 day course	> 1 day course
a) Competent administration	mandatory	mandatory
b) Diversity of trainers	preferred	mandatory*
c) Information is current and relevant	mandatory	mandatory
d) Overall course designed by tech transfer professionals	mandatory	mandatory
e) Delegate feedback form	mandatory	mandatory
f) Opportunity for informal networking	preferred	mandatory*
g) Some local expert content	preferred	mandatory*
h) Diversity of formats	preferred	preferred
i) Diversity of participants	preferred	preferred
j) Trainers with international perspective	preferred	preferred
k) Trainers are leading technology transfer professionals	preferred	preferred

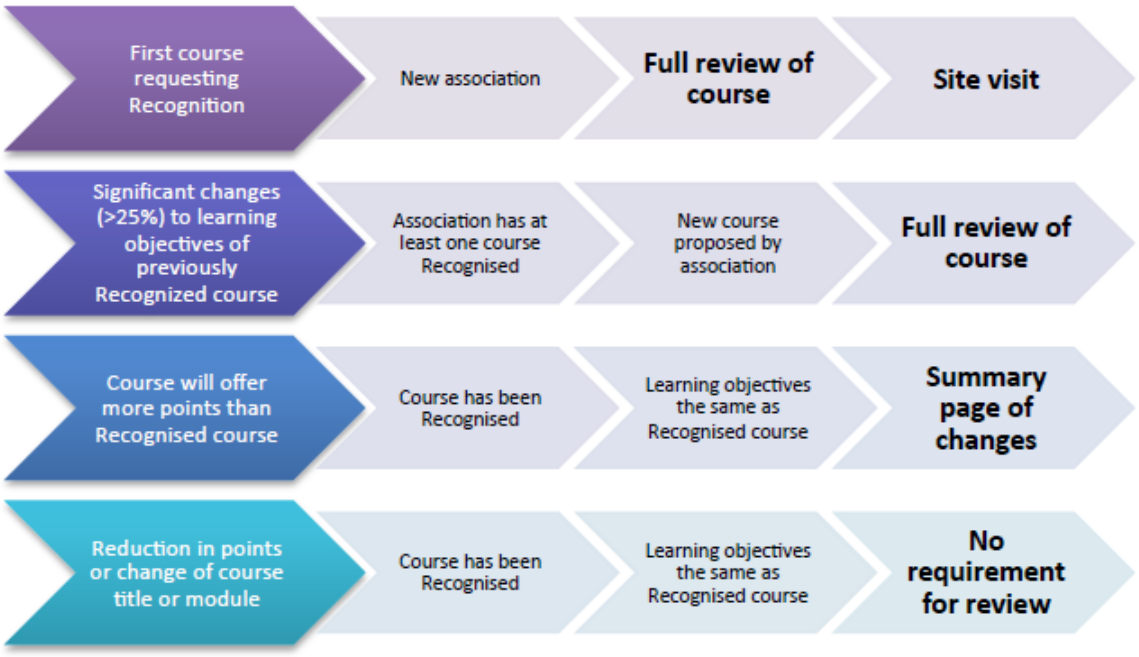
* Should a course that is greater than one day not fulfil these mandatory criteria, it will be reviewed as a one-day course and will only be awarded CE points as if it is a one- day course.

Source: ATTP CRC Guidelines

The Recognition Process is carried out by the ATTP Course Recognition Committee depending on:

- Whether the proponent association has already had a course recognized;
- Whether the course is new or a modification of an existing course;
- The extent and modification done to a previously recognized course.

Depending on these elements, the Recognition Process is summarized by the following figure:



Source: ATTP CRC Guidelines

The request for ATTP Recognition of TT courses is carried out through an application form available at ATTP website. The ATTP Course Recognition Committee considers the documentation and provides feedback to the applicant within one month (even if shorter time requirements apply in certain cases). After that, they plan a site visit for new proponents or assign CE points in case the training meets requirements.

The duration of a course recognition is for an initial period of 3 years.

Recognition of webinars

The recognition of webinars is given providing that they cover TT topics in forms of training (not just as a discussion group), are carried out by a proponent association having already one recognized course, and forecasting a system of attendance confirmation.

Recognition of PROGRESS-TT learning material and events

The request for ATTP Recognition of PROGRESS-TT learning events was presented by ASTP-Proton which allowed to save costs for the Recognition, since ATTP offers free recognition to materials owned by members. Based on partners' shared interpretation of the PROGRESS-TT partnership agreement and subsequent specifications relating to capacity building content created for and by the PROGRESS-TT project, all partners are co-owners of all the materials produced within the project. Therefore, ASTP-Proton can claim ownership of learning materials to be submitted for ATTP Recognition as any other project partner.

Commercial use by Third Parties

As several stakeholders include commercial organizations involved in training and education in any or all of the four CAF files, we have ensured that an open access policy is put in place (*click through variety, example to be found in an annex to this Legacy Plan*) for the commercial use of materials and tools. Commercial use is defined as "use where income is directly generated from the utilization of the foreground copyright materials from the PROGRESS-TT project".

The aims of such an access strategy is simply to ensure that appropriate user rights are granted, and furthermore to provide a mechanism to understand where and how the materials are being used. The aim is not to generate income, since no fees will be charged for such access (royalty free license for commercial use).

There remains possibly one limited commercial opportunity where the tools (such as the Diagnostic tool) would be commercially licensed to a third party, with the responsibility to then commercially license it on to further parties. If the main licensee intended to add services and charge revenue, then a licence fee would be expected back to the Consortium. However, given the fact that there is an active commitment by ASTP-Proton to fulfil its custodian and access manager roles, such a need for a third party to manage to materials is not deemed necessary at present.

Monitoring and impact

To ensure that the provisions of the Legacy Plan are actually implemented and to remain aware of the ongoing relevance and use of the legacy materials of PROGRESS-TT, several activity points have been identified, with measurement and reporting of different usage and impact results. This will cover the freely available usage but hopefully enable downstream measurement of impact of effective TT skills and ecosystems emerging. The downstream developments will emerge as part of the continuous awareness raising and data gathering, such as through ASTP-Proton surveys and comparative studies that provide evidence of the added value of a long-term ecosystem.

Some success indicators proposed are:

Channel	**Success indicator**
Website (PROGRESS-TT page on ASTP-Proton website)	[xx] expressions of interest per quarter
TTO Database	[xx] hits per quarter [xx] updates per quarter
Library of materials	[xxx] downloads per quarter
New events using materials	[xx] acknowledged per quarter
Online platform	[xx] requests to use
Commercial use	[xx] licenses signed off per annum

Future Landscape of Capacity-Building for Technology Transfer

Despite the work and achievements of PROGRESS-TT, capacity building of the TT community remains a challenge and the sector is continuously looking to find ways to enhance the skills of all individuals engaged, increase awareness and commitment of organizations to promote the activities, and design and deliver ways to positively impact on the efficiency of the whole ecosystem. Focusing on the lessons learned from PROGRESS-TT, we can identify additional steps which the community can continue to develop. Scaling up impact of capacity building is the single greatest challenge, thus moving forward with initiatives which address whole offices, whole institutions and whole regions seems the logical way to leverage the existing knowledge and skills available. Other challenges remain and are areas where the dialogue between the players in the community must continue, with the facilitation of ASTP-Proton as central player in the capacity building effort.

However, now that a dynamic has been created through PROGRESS-TT, it is important to consolidate the learning achieved and sustain the capacity building effort to extend it to more challenging topics such as competences for deal making and increased revenue generation capacity. PROGRESS-TT therefore recommends, as a priority, that a "**TTO Accelerator" programme** be launched for TTOs that have successfully increased their capacity through PROGRESS-TT and for other high-potential TTOs across Europe aimed at moving them closer to successful deal making and commercialization of their IP portfolios.

Capacity Building - Whose responsibility is it?

That next step maybe facilitated either by private initiatives or further public funding. Indeed, different parties may be responsible for contributing resources (costs) for these capacity-building activities. It could be appraoched by apportioning costs across different elements: e.g. liability for creation/validation period for new tools (EU) and thereafter the ongoing access to enhance and receive the trainings (paid for by all parties, especially PROs/ public sector). ASTP-Proton as main sectoral association plays an essential role in ensuring capacity can be built amongst the professionals of the sector, through training, networking and providing access to the legacy of PROGRESS-TT. But is there a role for industry bodies or others to be more stregically involved?

What topics still need to be upskilled?

The identification of effective mechanisms is required to find further topics where enhanced skills are needed based on feedback from PROGRESS-TT experiences using e.g. diagnostic tool; next generation diagnostic tool. Post-project, ASTP-Proton as sector association will continue evaluating whether additional training "needs" can be identified - in consultation with other key players in the ecosystem such as researchers (how to engage them better with partners, including TTO staff) ; key industrial sector players (to identify innovation needs of their sectors); finance partners (to fund translational and development activities on project basis or via new companies) ; PRO management boards (to help understand how the commercialisation mission is designed into the overall strategic plan of the PRO). Further consultation /ongoing communication routes for these key players, may need to be established where information can be exchanged.

The community of TT professionels ought to recognise that while there are core TT specific topics which need to be delivered, there are also other skills such as so-called soft skills (negotiation, networking, financial management, project management etc…) which are essential for those involved in TT sector. The impact of this upskilling could be significant, if we understand the background of where TT workers are drawn from (scientist role turning to TT business world, business world not used to role in developing partnerships , legal world without much scientific understanding, marketing people without understanding of academic/industry dynamics etc.). Access to soft skills training can perhaps be shared with other sectors.

Who should be eligible to receive this upskilling?

Stratifying the planned recipients could look at the following:

a. Geographical evolution (countries where whole TTO mission is new)
b. Institutional evolution (young TTO's needing creation/vision capacity)
c. TTO evolution (individuals needing to gain new skills, junior, senior, very experienced etc.)
d. TTO sector evolution (practitioner trainers identified , with succession planning)

In addition, relevant issues such as the following shoudl also be considered:

- Identify roles for key external stakeholders, such as technology parks, investment groups with funds, R&D sponsors……should they share training access to help build these TT communities?
- Consider the issue of career progression and whether space in this sustainability model to discuss or recognise this element? Should we consider building in exchange programs across TTOs, across TTO/industry partners?

How can additional infrastructure needs of the TT sector be identified?

"Political infrastructure" is essential with commitment of different critical players in the ecosystem is essential (e.g. as outlined in Koen Debackere paper, TTO-transforming Engine 2012). Physical Infrastucture which enables the further development and validation of early stage technology from public sector research is also crucial, thus access to regional, national and EU Financial instruments is critical. In the meantime virtual infrastructure such as the "**TTO Accelerator" programme** must be created whiles the momentum created by PROGRESS-TT is still alive so that high-potential TTOs across Europe aimed can swiftly move closer to successful deal making and commercialization of their IP portfolios.

Annex 1

Data Management Plan

V2 last updated ***2017-12-31***

Coordinator of Data Management Plan	**Lutz Maicher, Fraunhofer MOEZ**
Name of Project	**PROGRESS-TT**
Project Number	H2020-CBTT-2014-643486
Project consortium members	MITO Technology (Project Coordinator) ASTP-Proton (WP6 Coordinator) Fraunhofer IMW University of Bologna KIM Innovation Market DSM Nutritional Products Ltd. Philips International B.V. VTT Ventures OY
Project Duration	Start: **2015-01-01** End: **2017-12-31**

Table of Contents

1. Introduction

PROGRESS-TT, the project described in this data management plan (DMP), aims to build a body of knowledge and instruments for building capacity of technology transfer practitioners.
This DMP describes which type of data is finally created in the activities of the project, and how this data is stored, organized, accessed, shared, reused and preserved.
Note: This DMP does NOT describe the handling of data which is considered as preliminary results, like draft documents or databases under construction.

2. Data Types and Storage

The following table summarizes the types of data which are / will be created as project results through the project consortium. The following data types are considered:

- **R – Report.** A report is a PDF document containing contents (text, tables, figures, etc.) which are reflecting the results of a specific activity.
- **D – Raw Data.** This is structured raw data, like a database or an Excel-Sheet, containing computer readable data which can be used as input for software or quantitative analysis.
- **C – Code.** This is software code which is generated as a result of a specific project activity.
- **O – Other.** E.g. personal data from survey.

If the data type in the table is followed by "+" means, that a specific deliverable will produce multiple reports. If a data type is written in italic, it is additional material which might be generated by an activity, but is not the official deliverable of the task.

Del. No.	Deliverable name	Responsible	Data Type	Dissemination level	Delivery date (proj. month)
D1.1	Map of the project Experts and Recipients communities	Fraunhofer	R *Data*	PU	M6
D1.2	Capacity Building Strategy	Fraunhofer	R	PU	M12
D2.1	Library of Best Practice	UNIBO	R *Data*	CO	50% M12 100% M24
D2.2	Raw content for complete training material.	UNIBO	R	CO	50% M12 100% M24
D3.1	First packaged solutions	KIM	R+	PU	M15
D3.2	All IT requirements for online capacity building activities identified	KIM	R	CO	M12
D3.3	Relevant wide-reaching e-enabled solutions migrated to the IT platform	KIM	R *Code*	PU	50% M18 100% M24
D3.4	Final version of packaged solutions	KIM	R *Code*	PU	M32
D4.1	Project calendar of wide-reaching events.	ASTP	R	PU	M9
D4.2	Up to 16 events promoted and organised	ASTP	R+	PU	M33
D4.3	Users' and organisers' feedback assessment reports.	ASTP	R+	CO	From M18 and on a quarterly basis

D5.1	The two project calls launched.	MITO	R	CO	M12 and 20
D5.2	For calls 1 and 2 respectively: final list of retained and redirected applicants.	MITO	R+	CO	M15 and 23
D5.3	For calls 1 and 2 respectively: final list of recipients matched to experts.	MITO	R+	CO	M16 and 24
D5.4	For call 1 and 2 respectively: Individual Capacity Building Action Plans drafted and agreed by recipients.	MITO	R+	CO	M17 and 25
D5.5	All Teaming & Clustering support delivered	MITO	R	CO	M33
D5.6	Users' and organisers' feedback assessment reports created.	MITO	R+	PU	From M18 & on a quarterly basis
D6.1	Plan for the Use and Dissemination of project results	ASTP	R	CO	M6
D6.2	Assessment report on the dissemination of the projects results to date.	ASTP	R	RE	M36
D6.3	Legacy Plan	ASTP	R	PU	M36
D6.4	Project Website	ASTP	Code	PU	M5
D7.1	Detailed project plan	Pera	R	CO	M2
D7.2	Project Management Process	Pera	R	CO	M1
D7.3	Progress Reports	Pera	R+	RE	Six-monthly
D7.4	Archived Project Documentation	Pera	O	CO	36

E-Mails: The DMP does not handle any data which is generated through email conversation within the project consortium, or with external partners in the realm of the project execution. It is recommended that project partners store email conversation in their email systems. For better data retrieval and personal information management all project members are asked to start the subject line of all emails related to PROGRESS-TT with the term "PRO-TT".

Data Management Tracker

All data items which are ruled by the DMP are logged in a centralised Data Management Tracker. The Data Management Tracker is an Excel-Document stored in the DocStore and managed by the Project Management.

The tracker contains for each data item covered by the DMP:

- Name of the Data Item
- Link to storage
- Data Type (Report, Raw Data, Code, other)
- Dissemination Level (PU, Restricted, Commission)
- Note on Personal Data
- Note on Confidentiality
- Note on Copyright or Background IP
- Responsible Contact Person

3. Data Organization, Documentation and Metadata

This section describes the rules for organization, documentation and metadata generation for each data type mentioned in the section 2.

Data Type	Data Organization	Storage	Metadata	Back-Up-Strategy
Reports	Project Management collects the final report documents and uploads them to the DocStore. Reports are uploaded as PDFs preferably.	DocStore; folder related to WP	• Technical Metadata by DocStore • Naming of the documents should describe relationship to task and deliverable	The Docstore is hosted by Pera Consulting and is backed-up regularly.
Code	Source code should be managed by the developers in a source code repository. The developers will provide a link to the final version of the source code to the project management.	Source code repository hosted by the developers.	• Technical Metadata by source code repository • Good practice of software code documentation should be applied	The developers have to assure that the source code repository is backed up regularly.
Raw Data	Project Management collects the final raw data sets and uploads them to the DocStore. Raw data are saved as PDFs preferably.	DocStore; folder related to WP	• Technical Metadata by DocStore • Naming of the documents should describe relationship to task and deliverable	The Docstore is hosted by Pera Consulting and is backed-up regularly.
Other				

Personal Data

The EU Data Protection Directive (95/46/EG) defines personal data as following:

> **Personal Data** shall mean any information relating to an identified or identifiable natural person ('Data Subject'); an identifiable person is one who can be identified, directly or indirectly, in particular by reference to an identification number or to one or more factors specific to his physical, physiological, mental, economic, cultural or social identity.

In the case personal data is involved, like in D1.1 or D4.3, the rule of the Data Protection Directive (95/46/EG) has to be followed. Personal data has to be collected in a sparse way, dissemination levels have to be as strict as possible, and the concerned persons have to agree on the processing of the data.

Each project partner collecting and processing personal data has to carefully answer the following questions:

1. Which personal data will exactly will be collected? Are they necessary for the task?
2. How consent will be gained and documented?
3. How the information will be processed?
4. How personal information will be protected?

Copyrights from third partners or background IP

Data Items may contain copyrighted material from third parties or background IP provided by one of the project partners.
This have to be made explicit in the according note in the data management tracker.

4. Data Access and Intellectual Property

The section describes how data access is organized according to the access levels mentioned in the table above. The Project Management is responsible to ensure that the technical facilities (like the DocStore) and organizational proceedings (like informing the European Commission or external partners) fulfil the rules of the Dissemination Levels.

Dissemination Level	Who is allowed to see and use this data?	How to assure the dissemination level
PU	Public Data should be electronically accessible by anyone who is interested in the data. Public Data will be released under a dedicated Open Access Policy (described at Annex 1)	Data with dissemination level "public" will be published either at the PROGRESS-TT website, or in other public accessible online facilities. In the latter case a link from the PROGRESS-TT website will guide access to this content. **Important:** Before releasing data into public, it should be assured that no ineligible personal data, or embargo-related data is published. Copyrights of third parties has to be assured, and any ethical issues solved.
Restricted	Restricted Data is only accessible for the members of the project consortium. This data can only be shared with third parties after permission of the project management.	Data with dissemination level "restricted" will be saved in the DocStore (reports, data, others). Only members of the project consortium have access rights to the DocStore. If the DocStore is not eligible for the data type (i.e. code), the data should be stored in an appropriate system (i.e. code repository) where the accessibility has to be restricted to members of the project consortium as well.
Commission	Commission data is accessible for all members of the project consortium and eligible stakeholders of the European commission.	Data with dissemination level "Commission" will be handled like data with dissemination level "Restricted". Furthermore, eligible members of the European Commission will get access to the data, usually through emails.

According to the Grant Agreement the ownership of data generated by the PROGRESS-TT consortium is handled as follows. More detailed questions related to the IP of project results are handled in the PERD document, and are not part of the data management plan.

Confidentiality

For some data items outstanding rules for confidentiality do hold. This has to be noted in the data management tracker. The following to case studies do demonstrate how confidentiality is handled in detail.

Case study #1: WP1 & 2 survey - confidentiality of data

- Data provided by respondents is kept confidential to PRO-TT partners = *Dissemination level "Restricted"*
- It is solely used in an aggregate form for statistics analysis of the PRO-TT project only

Case study#2: TT Diagnostic tool

- "Confidentiality and data management policy for applicants to the PROGRESS-TT Capacity Building Call" created by MITO & available from the online TT Diagnostic tool
- Data provided by applicants to the tool is used exclusively for the purposes of the project = *Data Type "Raw Data"; Dissemination Level "Restricted"*
- Only members of the PROGRESS -TT consortium will have access to data
- Typically, data requested to applicants is not confidential; PROGRESS -TT does not require you to provide confidential data if you do not wish to do so
- The evaluation report will only be available to the PRO-TT consortium and to the applicant = *Data Type "Report"; Dissemination Level "Restricted"*

- The evaluation report will remain strictly confidential at all material times, even after the duration of the project, unless the applicant specifically requires PRO-TT to make the report available
- TTOs & TT Funds admitted to receiving WP5 intensive capacity building support will need to sign an Intervention Agreement including specific provisions about confidentiality.

5. Data Sharing and Reuse

Only data with dissemination level "Public" can be shared without any constraint. Sharing data having other dissemination levels with entities which do not have access rights, the Project Management has to give permission. Special attention holds for data items with notes on Confidentiality, Personal Data, or Copyright and Background IP issues in the data management tracker.

The **reuse of data** with dissemination level "Public" is governed by the license attached to the published data. The reuse of other data will be governed by the IP issues further described in the PEDR.

6. Data Preservation and Archiving

By the end of Month 36, a strategy for the safe storage and – whenever relevant – dissemination of the documents generated by the project will be prepared as deliverable 7.4.