

Deliverable 2.4

Plan for Exploitation and Dissemination of Results (PEDR)

Version 1

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Summary

Objective

The TechOceanS Plan for Exploitation and Dissemination of Results (PEDR) describes the dissemination, communication and exploitation activities to be performed as a means to promote TechOceanS and exploit the project results. It is a dynamic document and therefore evaluated periodically for effective needs and adjusted if needed.

Rationale

The TechOceanS PEDR outlines the EC rights and obligations of the consortium related to the dissemination and communication of project results, identifies key project stakeholders, defines the communication tools and channels and describes the means (tools, messages) of dissemination. In addition, it describes the internal processes and protocols set up to manage generated knowledge and to ensure exploitation of TechOceanS results. The protocols are set up for efficient:

- **Dissemination:** to enable the timely release of non-confidential project news, activities and results to all stakeholders.
- **Knowledge Management:** to ensure the timely identification, collection and description of knowledge generated by TechOceanS to inform knowledge transfer, dissemination and exploitation activities.
- **Knowledge Transfer, Exploitation and Impact:** to effectively transfer knowledge in order to support the uptake of results and exploitation by different end-users which will provide measurable impacts for TechOceanS while ensuring any project-generated Intellectual Property (IP) is properly managed.

The PEDR adopts EC best practice guidelines and defines the objectives of TechOceanS' communication, dissemination and engagement strategy. It also identifies end-users, proposes communication tools and channels, and outlines responsibilities and resources to carry out effective knowledge management and measure impact. TechOceanS will develop and make use of the latest tools, resources and communication channels to ensure cost effectiveness and maximum impact.

1. Introduction

To ensure the adoption of TechOceanS solutions and to maximise impacts of results, the project has implemented effective communication, dissemination, exploitation and knowledge transfer methodologies across several work packages (WP2, WP7 and WP12), together referred to as Theme 5.

The overall aim of Theme 5 is to disseminate the project results, as well as to implement the Plan for the Exploitation and Dissemination of Results (PEDR).

1.1. PEDR

In this deliverable report, the PEDR is explained with associated protocols for effective communication and dissemination (WP2). The PEDR also sets out the exploitation and knowledge transfer plans and protocols that will be carried out as part of WP7 and WP12. The PEDR adopts EC best practice guidelines to ensure the project reaches the wider community (communication and dissemination) and targeted end-users (knowledge transfer and exploitation).

The objectives of the PEDR are to:

- Provide a useful guide to all members of the TechOceanS consortium about rules and responsibilities surrounding communication, dissemination and exploitation
- Promote the project activities and results beyond the consortium to industrial partners, policymakers, the scientific community and society, by employing a range of communication and dissemination tools
- Ensure the timely and efficient knowledge management and transfer of project outputs, while safeguarding Intellectual Property (IP)
- Capture key messages and outcomes based on knowledge generated through the TechOceanS project to ensure effective transfer of knowledge output to target- and end-users
- Pave the way for the continuous uptake of results from the TechOceanS project throughout Europe and beyond, both during and after the project's lifetime

The PEDR functions as an operational manual and as such it will be evaluated for effectiveness at 12-month intervals and adjusted if needed.

2. Key Principles Guiding the PEDR

2.1. Rights, rules and obligations related to results

The PEDR serves primarily as a reference to guide partners in their dissemination, communication and exploitation activities in order to maximise the impact of project-developed results. This requires a brief summary of some key aspects of the rights and obligations relating to the protection of these results, however it is not an exhaustive summary. For further details on project and EU rules surrounding ownership and protection of results please refer to the Grant Agreement ([GA](#)), Consortium Agreement ([CA](#)), [IP Protection Guidelines](#) and Data Management Policy.

2.1.1. Ownership of results

Results are owned by the party that generates them. As per the TechOceanS [Consortium Agreement](#) (Section 8.2), two or more partners own results jointly if they have jointly generated them and it is not possible to establish the respective contribution of each party or separate them for the purpose of

applying for, obtaining or maintaining their protection. The joint owners must agree (in writing) on the allocation and terms of exercise of their joint ownership ('joint ownership agreement'), to ensure compliance with their obligations under the GA.

2.1.2. General obligation to maintain confidentiality

During the implementation of the action and **for five years after the payment of the balance**, the parties [must keep confidential any data](#), documents or other material (in any form) that are identified as confidential at the time they are disclosed ('**confidential information**'). Confidentiality obligations no longer apply if: (a) the disclosing party agrees to release the other party; (b) the information becomes generally and publicly available, without breaching any confidentiality obligations; (c) the disclosure of the confidential information is required by EU or national law.

2.1.3. Communication and dissemination of results

The partners must promote the action and its results in accordance with the GA Article 29.

During the project, and for a period of one year after the end of the project, each partner must disseminate its results as soon as possible by disclosing them to the public by appropriate means (see section 8.3 in the [Consortium Agreement](#), the [IP Protection Guidelines](#) and the [Data Management Policy](#)). However, no dissemination may take place before a decision is made regarding possible protection (see [section 2.2.1](#) of this document and section 2 of the [IP Protection Guidelines](#)). Other participants may object if their legitimate interests could potentially suffer harm.

Partners that intend to disseminate their results must give **advance notice** to the other partners of at least **45 days** (best practice timeline, shorter notice periods may be requested from the project coordinator), together with sufficient information on the results they will disseminate. As a minimum, the title, list of authors and an abstract must be supplied. Any other partner may object within 30 days of receiving notification, if they can show that their legitimate interests in relation to the results would be significantly harmed. In such cases, the dissemination may not take place unless appropriate steps are taken to safeguard these legitimate interests (see [section 2.2.1](#) for a full explanation of advance notice protocol).

Open Access

It is an obligation when publishing scientific publications to publish as open access (free of charge, online access for any user). Therefore, each partner should ensure open access for all publications relating to its results. Partners must:

- As soon as possible, and at the latest upon publication, deposit a machine-readable electronic copy of the published version or final peer-reviewed manuscript accepted for publication in a repository for scientific publications. Additionally, the partner must also

deposit at this time the research data needed to validate the results presented in the report.

- Ensure open access to the deposited publication, via the repository, at the latest:
 - On publication, if electronic version is available for free via the publisher, or
 - Within six months of publication (twelve months for publications in the social sciences and humanities) in any other case.
- Ensure open access, via the repository, to the bibliographic metadata that identifies the deposited publication.

There are two main routes towards open access publications:

- i. **Self-archiving** (referred to as **'green' open access**) means that the published article or the final peer-reviewed manuscript is archived (deposited) by the author, or a representative, in an online repository before, alongside or after its publication. Repository software usually allows authors to delay access to the article ('embargo period').
- ii. **Open access publishing** (also referred to as **'gold' open access**) means that an article is immediately provided in open access mode published. In this model, the payment of publication costs is shifted away from readers paying via subscriptions. 'Gold' open access is the preferred type by the EC.

EU emblem

Unless the European Commission Research Executive Agency (REA) requests or agrees otherwise, any communication activity related to TechOceanS (including at conferences, seminars, in information material, such as brochures, leaflets, posters, presentations, etc., in electronic form, via social media, etc.) and any infrastructure, equipment or major result funded by the grant must:

- display the EU emblem and
- include the following text: *"This project has received funding from the European Union's Horizon 2020 research and innovation programme under Grant Agreement No 101000858 (TechOceanS). This output reflects only the author's view and the Research Executive Agency (REA) cannot be held responsible for any use that may be made of the information contained therein."*

When displayed in association with another logo, the EU emblem must have appropriate prominence. For the purposes of their obligations under this Article, the partners may use the EU emblem without first obtaining approval from the Agency. This does not, however, give them the right to exclusive use.

Moreover, they may not appropriate the EU emblem or any similar trademark or logo, either by registration or by any other means.

Any communication activity related to the action must indicate the following disclaimer:



This project has received funding from the European Union's Horizon 2020 research and innovation programme under Grant Agreement No 101000858 (TechOceanS). This output reflects only the author's view and the Research Executive Agency (REA) cannot be held responsible for any use that may be made of the information contained therein.

If you have any queries about the use of this disclaimer, please contact AquaTT (keegan@aquatt.ie).

2.1.4. General Data Protection Regulation

The General Data Protection Regulation (EU 2016/679) (GDPR) provides enhanced protection to individuals' data privacy rights. Organisations storing or using personal data (anything that allows identification of an individual) must clearly disclose what data are being collected and how, why it is being processed/used, how long it is being retained, and if it is being shared with any third parties. Personal data can be names, email addresses, job titles, phone numbers, and anything that allows identification of an individual.

The TechOceanS project website, managed by AquaTT, complies with GDPR through the inclusion of a Privacy Statement and cookie bar, informing website visitors about what TechOceanS does with their personal data. There is a 'Subscribe to News' button clearly visible on each page of the website so that people can voluntarily sign up to the TechOceanS mailing list. The sign-up page contains a link to the Privacy Statement, and subscription is on a double opt-in basis, whereby people who sign up need to confirm their email address to complete the subscription process. The subscription system sends an automatic TechOceanS email to the subscriber who then needs to click on the link in the email sent to them. Using double opt-in ensures compliance regarding consent under GDPR. The mailing list will only be used to share TechOceanS related information and news.

All databases and data used in the project will be in agreement with the GDPR. This includes the Stakeholder Database which, in compliance with privacy regulations, will not include specific contact details. As previously described, both the stakeholder database and project mailing list will be populated in line with GDPR guidance, and all data will be stored in a secure and compliant manner.

2.2. Mandatory requirements relating to publications

2.2.1. Pre-dissemination requirements

According to the TechOceanS Consortium Agreement (CA) Article 8.3 for any planned publication (including scientific publications, oral and poster presentations, non-scientific and non-peer reviewed publications, etc.) where TechOceanS results are presented, the Prior Notice Protocol (outline below) must be applied:

The main partner involved in the dissemination of results from the TechOceanS project must give other partners at least 45 days advanced notice of their intention to disseminate (CA Article 8.4). This includes all types of dissemination, communication and publication activities, whereby new results from the project are disclosed. Partners who intend to publish / present results, must:

- Upload the planned publication (full draft if possible, but at a minimum this must include an abstract and details on where it will be published or presented) to the project SharePoint and inform the partnership via e-mail (including where to find the uploaded information) of their intent at least 45 calendar days before publishing.
- Partners have 30 days to object. Any objection needs to be justified and precise suggested modifications given. An objection is justified if:
 - It adversely affects protection of results/background of the objecting party
 - Legitimate interests of the objecting party would be significantly harmed
- If no objection is raised within this time, or if objections are addressed and accepted by the objecting partner, the publication may then be submitted.

2.2.2. Post-dissemination requirements

As part of the EU contractual requirements, all scientific publications and dissemination and communication activities should be reported as part of the ‘Continuous Reporting’ of the project in the EC Funding and Tenders Opportunities Portal (formerly EC Participant Portal).

- Publication and dissemination & communication activities carried out by all TechOceanS partners should be reported as part of the six-monthly reporting procedures that have been established by the project coordinator. As per the [project PMO Handbook](#) this reporting should be submitted by the 14th of the month in which it is due. Partners should report all these activities in the [communications and dissemination log](#) available in the Theme 5 folder in the project intranet (SharePoint).
- The log will be periodically reviewed by the Theme 5 leaders for completeness and correctness.
- Once checked, AquaTT (as Theme 5), will upload the activities to the EC Funding and Tender Opportunities Portal under the ‘Continuous Reporting’ section.

*Note: Please do not change anything directly on the EC Funding and Tender Opportunities Portal yourself in relation to dissemination or publication activities; this will be done by AquaTT based on the reviewed log.

2.2.3. Dissemination and publication activity reporting

The following information is required for **every communication and dissemination activity** and is part of mandatory EC reporting:

- **Type of Activity (specify number of activities per type):** organisation of a conference or workshop, press release, popularised publication, exhibition, flyer, training, social media,

website, communication campaign, participation in a conference, workshop or other event, video/film, brokerage event, pitch event, trade fair, participation in activities organised jointly with other EU-funded projects, other.

- **Type of Audience reached (specify the number of persons per type):** scientific community, industry, civil society, general public, policymakers, media, investors, customers, other.
- **Total Funding amount** for dissemination and communication activities linked to TechOceanS spent until the time of reporting. We request that you record the total funding amount attributed to each dissemination activity inputted to the logs (please fill this in on the last column of the log). Total funding amount should include direct costs + indirect costs + personnel costs.

2.3. Stakeholder identification and engagement

The purpose of the engagement activities described in the TechOceanS PEDR are to facilitate dialogue, build relationships and generate exchanges between TechOceanS and relevant industry, policy, science and societal stakeholders. Therefore, in order to design impactful activities, the project in M3 produced a dedicated [Engagement Strategy \(D2.2\)](#) to provide an overview of the TechOceanS key stakeholder sectors and guide the project's strategy for identifying and engaging with specific stakeholders within these groups.

The TechOceanS Engagement Strategy draws on the expertise and networks of the whole consortium, from research organisations to SMEs, partners and stakeholders, to provide the most effective engagement tools for each target audience. The Strategy describes how individual stakeholders will be identified on an ongoing basis through a stakeholder database developed and maintained by Theme 5 as part of Task 2.3. The Engagement Strategy also describes the stakeholder database, which is stored on the project SharePoint. Suggestions for promoting and building the stakeholder database can be sent to the WP2 leader by emailing Keegan Porter (keegan@aquatt.ie, with Sive Finlay sive@aquatt.ie in 'cc) and ERINN's Cliona Ní Cheallacháin (cliona@erinn.eu).

2.4. IP Protection

TechOceanS is an ambitious project that is developing, producing and demonstrating a wide array of new ocean measurement technologies with an expansive range of potential applications across the scientific, industrial and societal sectors. Beyond the advancement of scientific concepts, the project also expects to deliver distinct impacts through the commercialisation and widespread transfer and exploitation of the technologies and other knowledge produced by the partners in the consortium. In order to ensure any and all TechOceanS-developed intellectual property (IP) is appropriately protected, the project devoted a dedicated Task (2.4) to the development of a set of [IP Protection Guidelines \(D2.3\)](#). All partners should familiarise themselves with these guidelines and the protocols therein.

The guidelines include a description of the project's [IP Assessment form](#) and this is available on the project SharePoint. As described in the IP Protection Guidelines, completed templates will be confidential regardless of the IP protection measures warranted and will only be shared within the consortium and with the EC project office in order to carry out required evaluations. An internal database of identified IP will be maintained within the [project dissemination log](#) on the SharePoint.

3. Knowledge management and transfer and exploitation of results

3.1. Definitions and terminology

The foundation of the TechOceanS PEDR is the knowledge management process which has been implemented from the start of the project and which informs both dissemination and exploitation. TechOceanS distinguishes between communication, dissemination and knowledge transfer, in line with the EC definitions as follows:

- **Communication** is a strategically planned process that starts at the outset of the project and continues throughout its entire lifetime. It is aimed at promoting the action and its results. It requires strategic and targeted measures for communicating about (i) the action and (ii) results to a multitude of audiences, including the media and the public and possibly engaging in a two-way exchange.
- **Dissemination** is the public disclosure of the project results by any appropriate means (other than resulting from protection or exploiting the results), including by scientific publication in any medium. It is the process of promotion and awareness-raising right from the beginning of a project. It makes research results known to various stakeholder groups (e.g., research peers, industry and other commercial actors, professional organisations, policymakers) in a targeted way, enabling them to use the results in their own work. This process must be planned and organised at the beginning of each project. Activities used for dissemination purposes are for example a public website, press releases, publications, and attendance at events.

- **Knowledge transfer and exploitation of results** is more advanced than communication and dissemination and requires several steps including identifying exploitation mechanisms and activities, focused on identified end-users to ensure impact and uptake of the results.
- **Knowledge Outputs (KOs)** are any new/innovative unit of knowledge/key learning generated by or through research activity. They are not limited to de-novo or pioneering discoveries and may also include new methodologies/processes, adaptations, insights, alternative applications of prior know-how/knowledge.
- **Key Exploitable Results (KERs)** are KOs which have been validated and assessed by an internal committee and deemed to be of *sufficient achievable impact through project resources* to warrant the in-project development of a corresponding Key Impact Pathway and Knowledge Transfer Plan.
- A **Key Impact Pathway** is an analysed stepwise plan for achieving the identified eventual impact of any piece of knowledge, regardless of whether this impact is achievable short, medium or long term. In TechOceanS these will be applied to all assessed KERs. The Key Impact Pathway identifies the End User capable of producing the desired eventual impact and outlines a specific series of transfer activities to intermediate target users that provide a feasible plan to reach them.
- An **End User** is the individual(s) who is identified as being in a position wherefrom they could feasibly apply a given unity of Knowledge (KO/KER) and by so doing create the desired eventual impact of that knowledge. The KO/KER may need to evolve in order to reach the end user.
- A **Target User** is an individual(s) (organisations should be avoided where possible as specificity is crucial), whose position makes them a potential steppingstone needed for a KO/KER to progress towards an identified end user and eventual impact. Target users are individuals with a specific mandate or responsibilities relevant to the specific KO/KER being evaluated. Target users should not merely be potential users of knowledge, but should be individuals whose application of the knowledge is likely to advance it down the key impact pathway. There can be any number of target users in a key impact pathway.
- An **Eventual Impact** is the ultimate end benefit of the application of the knowledge (KO/KER). It is defined as an overall enhanced situation, generally for society but it can also be research or industry specific (although arguably these sectors should themselves be benefitting society). Eventual impacts can be the adoption of new technologies, products or innovation identified and refined within the project or a change in protocols.

3.2. Knowledge Management & Transfer Overview

In its broad-based innovation strategy for the EU, the European Commission identified the importance of improving knowledge transfer between public research institutions and third parties, including

industry and civil society organisations, as one of ten key areas for action (<http://ec.europa.eu/invest-inresearch/pdf/downloaden/knowledgetransferweb.pdf>). TechOceanS employs a proven Knowledge Management and Transfer methodology in order to effectively address this key aspect of facilitating project impact.

Knowledge Management is the process of identifying, capturing, organising, analysing, organising, and storing knowledge to ensure its availability and ability to be *transferred effectively* to specific users. In TechOceanS, knowledge management is covered in Theme 5, under a specific task under WP7 – Data and Knowledge Management (Task 7.1 Knowledge Management, led by AquaTT & ERINN).

Knowledge Transfer (KT) is the overall process of moving knowledge between knowledge sources to targeted potential users of the knowledge. KT consists of a range of activities that aim to capture and transmit knowledge, skills, and competence from those who generate them to those who will transform them into added value outcomes. It encompasses both commercial and non-commercial activities such as research collaborations, consultancy, licensing, spin-off creation, researcher mobility, and publications. While financial benefits can be expected, KT helps to focus research being conducted on the wider needs of society and industry. The ultimate end benefit of successful KT is the application to, and influence of, knowledge on targeted communities with greater impact (short and long term) across the triple helix of academia, industry and society ([http://europa.eu/rapid/press-release MEMO-07-127 en.htm?locale=en](http://europa.eu/rapid/press-release_MEMO-07-127_en.htm?locale=en)).

TechOceanS implements the **Knowledge Management and Transfer methodology** originally developed in the FP7 MarineTT project (GA #244164), and further developed and applied by the H2020 COLUMBUS project (GA# 652690). This methodology has been applied in many FP7 and Horizon 2020 funded projects such as AQUAEXCEL, AQUAEXCEL²⁰²⁰, AquaInnova, ARRINA, COEXIST, COMMON SENSE, ECsafeSEAFOOD, MaCuMBA, MG4U, ParaFishControl, MATES, SIMBA, ERGO REvIVED water, RES4BUILD, SEALIVE and BIOGEARS.

The methodology focuses on capturing all of the project's '**Knowledge Outputs**' (KOs) and, through a series of analysis and prioritisation, identifying the '**Key Exploitable Results**' (KERs).

In this process, **KOs** are defined as being a 'new/innovative unit of knowledge / key learning generated by or through research activity. They are not limited to *de-novo* or pioneering discoveries and may also include new methodologies/processes, adaptations, insights, alternative applications of prior know-how/knowledge.'¹ Traditionally, such knowledge might be referenced as a small part of a paper that is potentially not published until three to five years after the approach is pioneered in a research project. The KT process aims to accelerate this transfer of knowledge and to identify and prioritise which, if any, KOs have the potential for further development.

KERs within TechOceanS are those 'tangible or intangible output of the action, such as data, knowledge and information whatever their form or nature'² *which have been deemed to be of high-priority for project transfer actions*. The means by which KERs will be identified from KOs is described

¹ www.columbusproject.eu

² <https://intellectual-property-helpdesk.ec.europa.eu/>

in this section, but it is important to note that TechOceanS is not implying any sort of value judgement between KOs and KERs. Rather, the project is simply using this distinction to allow knowledge that is of the most direct impact to the project, or is most feasibly transferrable by the project, to be prioritised when assigning resources for transfer. By focusing on identifying KERs and transferring them when they have been assessed as having potential application and impact, it is possible to fast track them, providing a faster impact on target- and end-users external to the project.

All captured knowledge will be assessed and recorded in line with the Consortium Agreement (CA), respecting privacy and Intellectual Property Rights (IPR) requirements. This approach is essential to avoid unforeseen delays or obstacles related to confidentiality or competitiveness and, also, to provide partners with the security they need to allow them to be transparent in their findings thus enabling the project to quickly identify opportunities for exploitation. The overall objective is to ensure the fastest route for new knowledge to where it can add value and create impact.

All partners will contribute to the project's Knowledge Management and Transfer activities by adhering to the protocols and assisting in the collection and analysis of KOs and the transfer of high potential KERs to end-users.

It is important for all partners to note that KOs may not always be the actual final results of research, but can also include part of the methodology to obtain the final result, which itself could be an innovation for the whole research area.

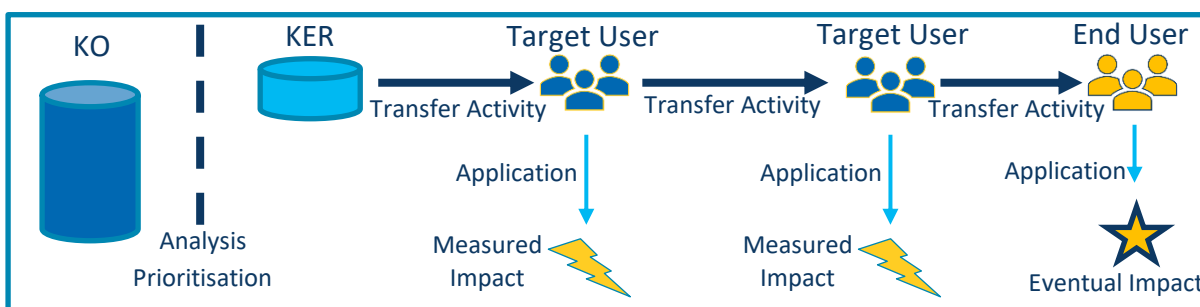
The Knowledge Management and Transfer methodology consists of the following three overall phases and is further described in detail below:

- 1. Collect and Understand**
- 2. Validate and Analyse**
- 3. Transfer and Exploit**

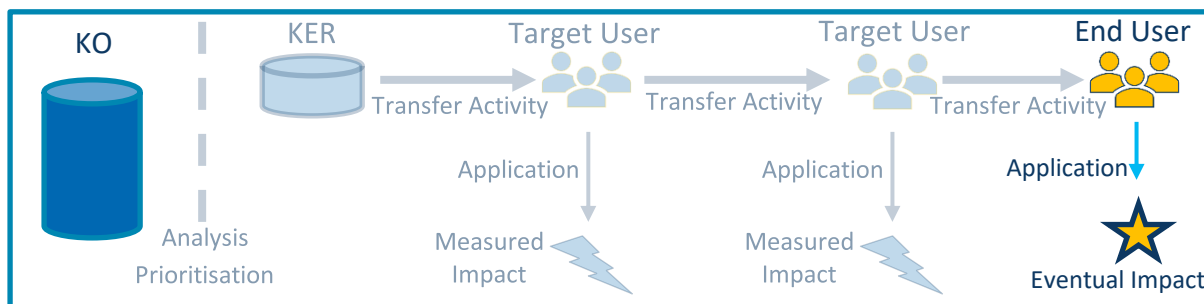
Theme 5 leaders, ERINN and AquaTT, will coordinate and collaborate with other WPs in TechOceanS to carry out KT within and beyond the project partnership.

3.3. Knowledge Management and Transfer: Steps and Protocols

This section of the PEDR outlines the stepwise process which will be carried out within TechOceanS as part of the Theme 5 knowledge management tasks (Tasks 7.1, 7.3, 12.1, 12.2 and 12.3). This methodology will see KOs identified, collected, reviewed and assessed in order to develop the transferrable project KERs. The figure below outlines an example of a full knowledge transfer pathway. The following subsections will refer to this image to demonstrate how each step contributes to the development of this.



3.3.1. Collection



The first phase of the TechOceanS Knowledge Management and Transfer process involves the capturing of KOs in an internal Knowledge Output Table (KOT) which will be maintained by Theme 5 in the Theme 5 folder on SharePoint. The Theme 5 leaders will be responsible for populating this table, but are reliant on the cooperation of all partners in the consortium. Theme 5 will collect the KOs through interviews and e-mail exchanges with partners. After these meetings, they will send the interviewed partner a summarised list of the potential KOs that have been discussed. This will include a basic overview of each KO comprised of knowledge descriptions, potential end users and eventual potential impacts. The partners will review these summaries and suggest any edits or additional information; once the partner is satisfied their KOs are accurately represented, they will sign them off as confirmed. A KO will not be considered ready for subsequent analysis until it has been signed off by the responsible partner.

Quality control measures will be performed to ensure that the KOs can be clearly understood by those who may not be experts in the relevant disciplines. In accordance with the [IP Protection Guidelines](#), each partner will treat information from other partners as confidential unless otherwise stated and not disclose it to other parties unless the information is publicly available. This conformation with project IP protocol is reinforced by the final stage of the collection process, wherein (as per section 2.2 of the [IP Protection Guidelines](#)) once validated by the owner all KOs will be checked by the PMO for any potential IP protection requirements. This will ensure that any IP risks or requirements are identified before advancing to the analysis stage.

This collection phase aims to describe and understand the KO to help identify its potential impact and lay the foundation for later Knowledge Transfer activities that are impactful. ERINN and AquaTT will work with KO owners to clarify how the KO could be beneficial to different target and end users. They will also identify potential applications and eventual impact of a KO. This information lays the foundation for developing pathways to impact of KOs that progress to being a KER.

It should be noted that KOs/KERs, especially those collected early in the project, are likely to continue to develop over the course of TechOceanS. Collected knowledge will be periodically reviewed by Theme 5 and partners asked to provide updates if applicable. As the collection will be available on the SharePoint, partners will be able to advise the Theme 5 leaders if a given KO/KER needs to be updated.

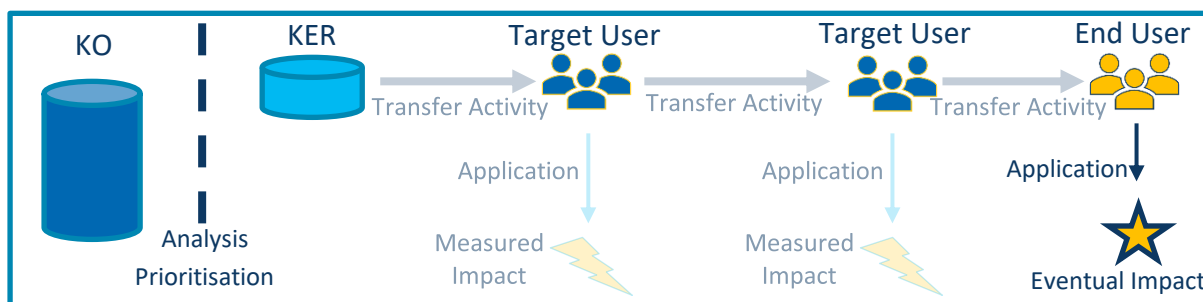
PROTOCOL – Knowledge Collection

1. Theme 5 arranges and conducts interviews with at least one representative of each technical Theme and sub-Theme, ensuring also that any research partner who does not lead either of these is interviewed. If the Theme leaders or interviewees think another individual is better placed to address a certain topic, a corresponding interview will be arranged.
2. After the interview, Theme 5 will send the interviewee drafts of any Knowledge Outputs identified. These KOs will also be added to an internal Knowledge Output Table (KOT) on the SharePoint.
3. Interviewees are requested to respond with any corrections or suggested additions/edits in a timely manner. In particular, this review should focus on:
 - If the title of the KO(s) is sufficiently informative
 - If the description of the KO(s) is sufficiently comprehensive for a non-expert to adequately understand the nature of the KO and to determine its possible application
 - If the potential end-users of the KO, as well as the potential application by each of these end users is reasonable/desirable and if there are any other potential end users
 - If the KO(s) is publicly available or is subject to IPR protection, which would have an effect on transfer potential
4. Once the interviewee is satisfied with the accuracy of their KOs they will be marked as “confirmed” in the KOT.

5. Once confirmed, an IP review will be carried out as per the protocol outlined in section 2.2 of the [IP Protection Guidelines](#). This involves:
 - The Project Management Team will review each KO to determine whether it will require an IP assessment
 - If an IP assessment is deemed necessary, the generating partner will be asked to complete an IP Assessment Form
 - These Assessment Forms will be reviewed by the Project Management Office and Theme 5, who will provide guidance as necessary until all relevant parties believe sufficient IP protection rules have been applied to the further dissemination, communication and exploitation of the KO
6. Once the IP assessment is completed, or if an IP assessment is not deemed necessary, KOs will advance to the validation and analysis stage

*Note: Although it is available on the SharePoint and the descriptions of the knowledge are limited in scientific detail, the KOT is nevertheless considered confidential to the consortium.

3.3.2. Validation and Analysis



In the Validation and Analysis stage, the collected KOs are reviewed and assessed for potential application and impact. In TechOceanS, this analysis will take place via remote meetings with groups of internal experts. The purpose of these meetings is three-fold:

1. Firstly, the current KOs will be reviewed for completeness and accuracy and the suggested end users and impacts will be assessed and validated.
2. Secondly, the KOs will be evaluated in order to prioritise them according to feasibility of transfer within the project or after the project (but as a direct result of the project). This is not a ranking of their importance but rather a method to help TechOceanS identify where to focus transfer and exploitation efforts.

3. For those prioritised, the expert groups will attempt to identify potential target users whose application of the knowledge would be of benefit in transferring it towards its eventual impact.

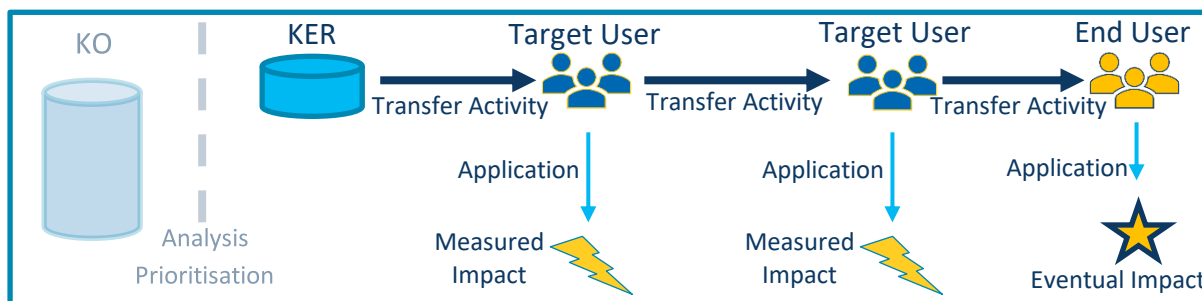
Those KOs that are validated and deemed to be of priority for the project will be re-labelled as KERs and progress to the third phase. Any KO that is not made a KER will continue to be periodically reviewed and any remaining at the end of the project will still be captured as evidence of impactful research for final reporting.

The identification of target users in the analysis stage is critical to laying the groundwork for transfer and exploitation plans in the third phase. The exercises in this phase may also serve to identify potential stakeholders worth connecting with, even in cases where the knowledge may not yet be ready for transfer.

PROTOCOL – Knowledge Validation and Analysis

1. At periodic intervals, Theme 5 will organise KO and KER “expert analysis meetings”. The frequency and makeup of these meetings will be determined in collaboration with the Project Coordinator and management team as well as based on the current status of knowledge collection and management in the project.
2. The expert analysis meetings will carry out a thorough examination and evaluation of the KOs (collected so far) and their applicability and readiness for transfer. Particular attention will be paid to:
 - Identification of all likely target and end users – thinking outside the box is encouraged
 - Identification of associated application and impact potential
3. Participants in these meetings will be asked to:
 - Confirm the accuracy and feasibility of each presented KO (to the best of their understanding)
 - Assign to each KO a ranking to determine whether or not it should be prioritised as a KER based on its current status
 - Discuss and identify potential target users to whom the knowledge should be transferred in order to progress it towards its eventual impact
4. After each expert analysis meeting, Theme 5 will revise the KOT to identify any progression of knowledge (such as a KO being changed to a KER)
5. If any questions emerged from the expert analysis meeting, Theme 5 will reach out to the relevant generators of the knowledge to attempt to provide an answer

3.3.3. Transfer Planning and Exploitation



The objectives of this step are to elaborate on the information generated in phase two, to develop plans for how to transfer the KERs to the identified target users and to measure the success of any such transfer. These transfer plans will include more detailed profiles of the target users including, where possible, specific contacts and the individual partner within TechOceanS best positioned to conduct the transfer. This phase will attempt to clearly describe how the impact of the TechOceanS KERs will be measured, even after the project has come to a close.

The work carried out in this phase will not only be important for accurately reporting the full breadth of impact of the project to the European Commission, but it will also assist all partners in carrying out exploitation activities.

Not every KER transfer plan will be able to be reasonably executed during the lifetime of the project but, by delivering clear plans, the knowledge management methodology will help establish how exploitation actions within the project will feed into the overall impact of the project as a whole and help achieve the societal goals of TechOceanS.

PROTOCOL – Knowledge transfer planning and exploitation

For any knowledge that has been determined to be a KER:

1. Theme 5 will collaborate with the project management team and the generating partner(s) of a KER to develop a Knowledge Transfer Plan (KTP) for each KER. In particular, this effort will focus on the following considerations regarding the first target user(s) in the plan:
 - a. Building on the impact potential identified in the validation and analysis step ensure that a concise and compelling narrative for the opportunity / business case is developed
 - b. The technical level of the Target User; the depth of information needed; and the style of language most effective for communicating with them
 - c. The background knowledge of the Target User
 - d. Any preconceived ideas that the Target User may have relating to the area of interest
 - e. Ways in which to relate the knowledge to examples with which the target user is familiar, or ones they can easily envisage

- f. The level of evidence or validation that the Target User requires
2. Theme 5 will be responsible for drafting these plans, which will then be provided to the project management team, project coordinator and generating partner(s)
 3. Once a KTP has been drafted and reviewed, it will be opened up for feedback from the rest of the consortium
 4. All KTPs will be available on the SharePoint
 5. Theme 5 will work with all relevant partners to assist where possible in the translation of KTPs into exploitation activities. The nature of these exploitation activities will be highly dependent on the KER, the target user, the transferring partner, the timeline, resources available and other variable considerations. The exploitation activities themselves may be carried out within a range of externally-focused tasks

4. Summary of the plan for the communication, dissemination and exploitation of project results

TechOceanS will pursue a comprehensive plan in order to ensure results from all project activities are properly communicated, disseminated and supported with appropriate exploitation actions. Each of these actions has been assigned a responsible partner and key performance indicators (KPIs) so that the project management team can measure the full impact of the project. The table below outlines these planned actions and may be updated during periodic reviews of the PEDR to reflect any changes in the research activities.

Activity	Responsible Partner	When and Where	KPIs
Joint trials/ collaborations	NOC, PLOCAN, SZN	TechOceanS plans numerous trials and testing leveraging complementary on-going fieldwork to increase impact (e.g. see Kay Bidle, Javier Aristegui, Marcos Llope Letters of Supports). In addition, the project plans extensive stakeholder knowledge transfer (engagement, training) at our major demonstration activities in WP16, specifically at SZN (Naples, IT) and the Canary Region. The SZN demonstration focusses on knowledge transfer with: aquaculture and fisheries (large and longstanding industry in this region); and the global ocean observing community (coastal), particularly the biological observing	Collaborative trials with >6 stakeholder groups/>3 joint trials / demonstrations

		community. The demonstration in the Canary Region will be used for knowledge transfer with: aquaculture and fisheries (regional strength); the offshore industries (large regional presence with coastal infrastructure used to demonstrate impact / structural assessment) and the global ocean observing community (coastal and offshore). In the latter, TechOceanS anticipates knowledge transfer with stakeholders from ODA recipient nations via a training event and shared demonstrations.	
Targeted knowledge transfer activities, based on the Knowledge Management process	ERINN	Starting from M12, collection of knowledge outputs will begin, thereafter feeding into the analysis for key exploitable results generated by the project and the development of customised transfer plans and activities for identified users.	>10 Knowledge Transfer Activities carried out > 5 business plans developed for high potential KERs
Knowledge Exchange placements between students and young scientists with industry bodies, stakeholders and other partner institutions	NOC, AquaTT	TechOceanS will focus placements in sectors currently under-represented in the consortium i.e. the (i) aquaculture and fisheries; (ii) offshore industries; and in the govt. / regulatory sector. Example opportunities include in govt. / regulatory sector of aquaculture in the Canary Region (e.g. ciguatera control groups), in the environmental divisions of major offshore industries (discussions begun) and within the sensors industry (e.g. see Prooceano LOS). The project will attempt to focus these at the beginning and end of the project to aid refinement of specifications and dissemination of results.	>3 placements with key stakeholders
Training workshops (2) will be held to showcase TechOceanS results and will cover modules on technology through to commercialisation	AquaTT, NOC	Year 2 and Year 4 Location TBD as they are planned in conjunction with other project meetings or dissemination events (e.g. conference / workshop) to maximise travel efficiency and impact. In light of the impact of COVID-19 we will ensure that an online offering is available for those unable or not wanting to travel.	>100 participants

Organisation of a Policy Panel meeting	ERINN, NOC	Year 4, Brussels and online	>25 participants
Interactive presentations at scientific conferences, particularly those attended by concurrent projects	All partners	Ongoing throughout the project; Example: Oceanology International, EGU, International Conference on Aquaculture & Fisheries	10-15 presentations
Peer review publications	All partners	Once knowledge is generated and where required protected; Example: Frontiers' Best Practices in Ocean Observing topic, Limnology and Oceanography: Methods, Nature Methods, Methods in Oceanography and others.	5-10 papers
TechOceanS "research highlights" publication	ERINN	M48, uploaded to the project website and disseminated through all project channels.	>1,000 copies downloaded
Publication of a science-policy brief	AquaTT, NOC	M40, uploaded to the project website and disseminated through all project channels.	>250 copies downloaded
Audio-visual material showing demonstration activities	NOC, AquaTT	M40, uploaded to the project website and disseminated through all project channels.	>1,000 views
Press Releases	AquaTT	Ongoing throughout the project; Disseminated through channels such as Alpha Galileo as well as through partner channels.	>8 articles
Project Factsheet	AquaTT	Developed for electronic viewing in WP2 and uploaded to the project website and provided to all partners for electronic dissemination. Once events begin to take place in person, this factsheet will be converted into a printable brochure and distributed for dissemination at events and meetings.	>2,500 views / copies distributed

5. TechOceanS dissemination and communication resources

The importance of disseminating knowledge and results from research projects has been recognised by the EC as one of its priorities (COM (287)182 final). Communication and dissemination of results is a contractual obligation of participation in research initiatives supported under the European Union's Horizon 2020 research and innovation programme. The specific aims of this provision are to promote knowledge sharing, greater public awareness, transparency, and education. The communication and dissemination activities involve not only looking at where and when the information should be disseminated but also what should be communicated and how it should be presented. As such, several dissemination and communication resources have been developed and are outlined below, along with guidelines on how to use each of them.

5.1. TechOceanS Logo

The project logo is an integral part of the brand as it is included in all project promotional material. The TechOceanS logo is constructed using a combination of rounded bold lettering, harmonious and representative colour choices and stylised uppercase letters signifying key aspects of the project such as biological sensors, coverage of a range of ocean depths, imagery and genomics. The "T" is designed to represent an antibody, the "O" a camera/sensor and the "S" is shaped to represent a strand of e-DNA. The letter colourings are inspired by the range of depths of the marine environment at which the project will operate, demonstrating the commitment to covering several essential ocean variables.

The TechOceanS project logo is available in two different versions, full colour, and mono colour (black and white). The full project name is contained within the logo. The suite of logos is available on the TechOceanS [Branding](#) folder on SharePoint and can be requested from WP2 leader AquaTT (keegan@aquatt.ie). Guidance on how to properly utilise the TechOceanS logo can be found in the [Brand Guidelines](#).

5.2. Project factsheet

A promotional factsheet presenting the TechOceanS objectives and expected results will be designed and made available to be shared digitally and distributed at relevant events, both virtual and in-person. The factsheet will be used to raise awareness of the project and its goals.

Once available, the factsheet will be posted to the TechOceanS website (www.techoceans.eu). Partners will also be able to download the full factsheet from the TechOceanS [WP2](#) folder on SharePoint or request it from WP2 leader AquaTT (keegan@aquatt.ie).

Partners are encouraged to distribute the factsheet through their networks and at relevant events. If partners wish to have the factsheet available in another language, they should follow the protocol outlined below:

PROTOCOL – Factsheet Translation

1. Contact AquaTT (contact person: keegan@aquatt.ie) requesting the original template with English text.
2. AquaTT supplies a template with the original text in English to requesting partner
3. Partner translates text (as laid out in the template) into their language
4. Partner then sends translated text back to AquaTT
5. AquaTT applies the translated text to the leaflet template and publishes the new version of the leaflet, after validation and sign-off from the partner responsible for the translation.

5.3. Website

The project website, (www.techoceans.eu) has been developed following the EU’s best practice guidelines for project websites.³ The website is fully compliant with the General Data Protection Regulation (EU 2016/679, GDPR) by incorporating a privacy statement and cookie bar informing website visitors about what TechOceanS does with any personal data gathered. Google Analytics is used to track traffic and monitor the use of the website.

To ensure successful promotion of the project and to sustain the interest of the target audience and attract new users, the website’s content will be maintained, continuously updated and populated with new information through the project’s lifetime. The website will remain active for five years after the end of the project, serving as a valuable public resource of research information on the subject and promoting the outputs of this publicly funded research.

PROTOCOL - Requests for updates, postings or other activity involving the website

- AquaTT manages the TechOceanS public website (www.techoceans.eu) including regular updates. Any partners who wish to upload materials, news or events to the website should contact Keegan Porter (keegan@aquatt.ie). Partners are requested to include a link to the TechOceanS website on their own institution/company’s website where possible.
- NOC manages the TechOceanS SharePoint, all partners should have access to this resource and be able to upload documents to it. Please email Hannah Sait (hannah.sait@noc.ac.uk) to gain access.

³ http://www.eurosfair.pr.fr/7pc/documents/1271333123_project_website_guidelines_en.pdf

5.4. Social Media accounts

Social networking is an important part of the TechOceanS communication strategy. A dedicated Twitter account (<https://twitter.com/TechOceanS>) for the project was created at the start of project (October 2020 – M1) and is used to post and share relevant information. The Twitter page is maintained by WP2 leader AquaTT and project-related tweets are posted regularly in accordance with the H2020 social media guide for EU-funded projects.⁴

In November 2020, an additional social media presence was established through the development of a dedicated LinkedIn page (www.linkedin.com/company/techoceans/) to target professional audiences. TechOceanS will make effective use of both social media platforms to connect with both existing and potential partners and to share project activities with a wide range of key target audiences.

- Partners should try to contribute to social media channels where possible. Support can be requested from AquaTT.
- **Twitter:**
Partners wishing to communicate via the TechOceanS Twitter account have the following options:
 - Send a short message (280 characters max) to WP2 leader AquaTT (email keegan@aquatt.ie) who can tweet from the TechOceanS account on your behalf. Ideally, include an image to make it more visually appealing
 - Refer to TechOceanS by tagging the project (using @TechOceanS) in your own tweets; AquaTT will always aim to retweet such tweets
 - Retweet TechOceanS tweets through your personal and institutional Twitter accounts
- **General Rules**
 - Ensure the content is yours to share (research or opinions) or acknowledge the source accordingly
 - Ensure there are no IP issues
 - Refer to (tag) [@TechOceanS](https://twitter.com/TechOceanS)
 - Use appropriate tags and hashtags to acknowledge funding (#H2020, @REA_research)
 - Utilise other relevant hashtags such as:
 - (Awareness/general) #HealthyOceans #OceanDecade #OceanSensors #techoceans #H2020 #ROVs #UnderwaterVehicles #research #science #EU #genomics #oceanconservation #oceanmonitoring #marine #fisheries #offshore #Marinebiodiversity
 - (Technical) #RobotSubmersibles #Environmentalmonitoring #Blue Growth #Microfluidics #NucleicAcid #Sequencing #Genomic #RecombinantAntibody #biotoxin #HAB #contaminant #cytometer #EOV
 - Do not use offensive or argumentative language or illegal content, etc.

Note: For other general rules on social media use please read the H2020 social media guide for EU funded projects.⁴

⁴http://ec.europa.eu/research/participants/data/ref/h2020/other/grants_manual/amga/soc-med-guide_en.pdf

5.5. Annual Newsletters

An annual newsletter will be developed and shared widely to the partnership and subscriber database (hosted by Mailchimp). The first newsletter will be published in M12 (October 2021) and will showcase project updates, interviews with partners, key events of interest and other relevant information about the project. The project website includes an option for visitors to subscribe to the project newsletter.

- AquaTT will design, develop and distribute the TechOceanS newsletter, but **input from all partners regarding ideas and content is required.**
- All partners will be given prior notice of the planned publication of the newsletter, in order to get contributions.
- In case one has an objection, the objection should be a precise request for necessary modifications.
- Partners are expected to send the newsletters to their own contacts and networks for optimum distribution and dissemination.

5.6. Press Releases and Promotional Articles

Press releases will be developed based on news-worthy outcomes of the project. They will be issued to appropriate media outlets (such as sector relevant trade press, journals, web portals) to make industry, civil society organisations, policy-making authorities and the wider community aware of the project, its objectives and its outcomes. Other news, such as event announcements and updates, release of the project newsletters, etc. is disseminated as short news articles which are uploaded to the project news and home page, and added at the same time to the project social media channels. The strategy is intended to ensure that there is publicity and media coverage at local, regional, European and international levels.

Theme 5 co-leader, AquaTT has access to several existing channels and networks for disseminating news, i.e. CORDIS (the Community Research and Development Information Service, the EC's primary public repository and portal to disseminate information on EU-funded research projects and their results in the broadest sense), AlphaGalileo (a business-to-business science news service, providing an internet-based bridge from researchers to the media, and thus to the public), the European Marine Research Network [EuroMarine](#), sector relevant technology platforms and other related EC projects and initiatives which ensures a broad awareness of the project across the spectrum of TechOceanS' stakeholders. All partners are encouraged to contact their institutional press offices and publish articles and press releases at the regional, national and international level, making use of their own communication networks and channels.

- AquaTT will take the lead in writing and publishing press releases based on partners' inputs and news.
- Once approved, these will be disseminated using the existing channels described above, and any other relevant means. Publications and press releases will also be uploaded to the [Theme 5 SharePoint folder](#) and all partners will be encouraged to distribute these at national or regional levels.
- Where necessary, the partners can adapt the press releases to customise them to their audience, and if needed translate the articles. However, where significant text changes are made partners should first clear this with AquaTT or else ensure it is clear that the article's authorship is the partner's and not the project's. Any articles published in this manner should be noted in the dissemination log or forwarded to AquaTT (keegan@aquatt.ie) so they may do so.
- Where partners want to initiate the writing of any article, they may proceed. They can contact AquaTT who can offer support for writing and editing and will provide graphics and images if required. Partners must ensure they have the necessary license to publish images or graphics. Partners who write their own articles are asked to share them with Theme 5 leaders so the project can help promote it through its channels as well. Partners who write their own articles must ensure they are abiding by the branding guidelines and EC requirements.

5.7. PowerPoint and Poster Templates

5.7.1. Power Point Presentation Template

A TechOceanS PowerPoint template has been developed to use at internal and external events when presenting the project and/or its outcomes. Font typeface, size, style, colour use and other presentation guidelines can be found in the TechOceanS Brand Guidelines. The template will be updated if needed over the course of the project. The PowerPoint presentation template is available to download from the TechOceanS SharePoint in the [WP2](#) folder and can be requested from the WP2 leader AquaTT (keegan@aquatt.ie).

5.7.2. Deliverable Template

A Word template has been designed and developed for TechOceanS project deliverables, as well as internal and external reports. The template includes the TechOceanS branding across the document heading, formatting, font type, size and colours. This template will be updated if needed over the course of the project. The deliverable template is available to download from the TechOceanS SharePoint in the [WP2](#) folder and can be requested from the WP2 leader AquaTT (keegan@aquatt.ie).

- Partners should use the TechOceanS template when promoting the project's objectives or presenting project results.
- [Download the template](#) from the SharePoint.
- Respect the template format (font and layout)

- Always ensure that the correct EU emblem, acknowledgement and disclaimer is present on any TechOceanS presentations.

5.8. Audio-visual material for stakeholder and public dissemination

Where possible, short videos and films will be produced in TechOceanS to present the various activities, technologies and outputs, particularly those involved in the live demonstrations, which should generate publicly-shareable footage.

Videos on TechOceanS and its work will be published on the TechOceanS project website and added to video-sharing websites Vimeo and YouTube, as well as posted on the project's social media accounts. Partners are encouraged to share the videos with their wider networks.

5.9. Other promotional material

Other promotional material can be developed as required, depending on available budget. Please contact AquaTT (keegan@aquatt.ie) with any other ideas for promotional material to support your communication and dissemination activities.

6. Events

Conferences, seminars, demonstrations, workshops and other meetings are very useful forums to consult with TechOceanS target audiences in a face-to-face capacity and to address issues relevant to the work done in the project. International and sector relevant conferences, meetings, etc. will be frequently attended to communicate the results of the project to the maximum number of persons.

Over the lifetime of the project TechOceanS plans to host and attend a number of events in order to demonstrate, train, communicate, disseminate and transfer project knowledge to external stakeholders. The following list identifies the specific events that are currently planned. This list will be expanded into an Annex in future revisions of the PEDR. The current planned events are:

- Student-focussed training events to be hosted through Task 7.3 (location TBD, held by M32)
- 2 dedicated training events through Task 7.4 (location TBD, held by M32)
- Science-Policy Panel meeting for policy makers, regulators, operators, IGOs/NGOs, international ocean observation organisations, fisheries organisations, the European Commission and related research representatives (currently planned for Brussels, year 4 of the project)
- [ASLO Conference](#) (Online, 22-27 June 2021)
- [EGU General Assembly](#) (Vienna, 3-8 April 2022)
- [Oceanology International](#) (London, 15-17 March 2022)
- [International Conference on Aquaculture & Fisheries](#) (Online, 19-20 August 2021)

Events will be included by AquaTT on the TechOceanS website. All activities, including attendance to external events should be reported to AquaTT who will add it to the reporting template (see section 4).

- TechOceanS partners should inform the Project Coordinator and AquaTT of their planned outreach events so as to allow optimised resource allocation
- All public engagement and outreach activities must be reported during (internal and external) reporting periods (see section 5). Please add the details of such outreach activities to the “[Communication and Dissemination Log](#)” which is available on SharePoint and is collected every six months by AquaTT (keegan@aquatt.ie).

7. Conclusion

Task 2.1 is involved with the implementation and evaluation of impact of the PEDR. However throughout the project, the Theme 5 leaders will continue to review and amend the PEDR in line with the deliverables on the exploitation and dissemination of results (D7.3, 12.1, 12.2 and 12.4) and knowledge exchange (D7.2). These updates of the PEDR will include a summary of the activities carried out. As part of the revision process, each subsequent version of this deliverable (D2.4) will be validated by the consortium. The current version will function as the operational manual and will be revised (at a minimum) for the following deliverable dates:

- D7.3 Exploitation and Dissemination of Results 1: M18
- D7.2 Overview of Scientific Knowledge Exchange Activities: M32
- D12.1 Exploitation and Dissemination of Results 2: M36
- D12.2 Exploitation and Dissemination of Results 3: M48

Furthermore, the project coordinator, executive committee and project partners will also review the PEDR at each review stage and provide recommendations.

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Work Package Leader	AquaTT			
Work Participants	ERINN			

Lead Partner	AquaTT, 10
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