

## **Summary of annual assessment of work programmes 2016**

### **1 Introduction**

The objective of the annual assessment of work programmes is to contribute to continuous improvement in joint programming and to evaluate the progress towards the project goals using a defined set of indicators, ad hoc surveys and assessment of funded projects.

#### ***Assessment of funded projects***

The assessment of MATERA and MNT-ERA.NET projects aims at presenting and making an appraisal of the results and impact of finished projects and to draw conclusions that can be used in the preparation and design of the forthcoming M-ERA.NET calls. It complements national and regional efforts and it is a part of the annual assessment of work programmes.

For the 2014 assessment, projects funded in 2010 and 2011 and 2008 under previous ERA-NETs were considered. The assessment for 2008 focused on projects' impact (covering projects that have finished at least 3 years ago) and on results for projects 2010 and 2011.

Concerning work programme for research 2014 there was no survey on satisfaction to the Steering Board like in previous years, since the feedback obtained on the procedures and contents of the work programme in the assessment of the previous years gave sufficient information and showed already high levels of acceptance by the Steering Board.

## **2. Report on impact assessment of projects funded from MATERA & MNT-ERA.NET Calls 2008 (3 years after the projects end)**

### **2.1. Introduction**

The assessment to be carried out under task 2.3 includes the assessment of individual funded projects that have finished from previous ERA-NETs (MATERA and MNT-ERA.NET). The main aims of the assessment of funded projects are:

- Assessing the results of funded projects that have been completed
- Complementing national/regional efforts
- Contributing to improving joint programming

Therefore this assessment will give input to the annual assessment of work programmes and to the joint programming process.

The assessment of funded projects is done at two stages:

- 1) soon after the projects have finished in order to obtain information about their results and
- 2) 3 years after they have finished with the objective of compiling information about their impact.

The assessment is carried out through on-line analyzing questionnaires of three types:

- 1a) Questionnaire on results of funded projects to the parties in funded projects
- 1b) Questionnaire on results of funded projects to the Coordinating Funding Organization
- 2) Questionnaire on the impact of funded projects to all parties in funded projects

In 2015 the assessment of funded projects in MATERA and MNT-ERA.NET calls 2008 covers 26 projects. A questionnaire to assess the project impact was sent to 85 partners and 9 responses were received, covering 35% of the projects.

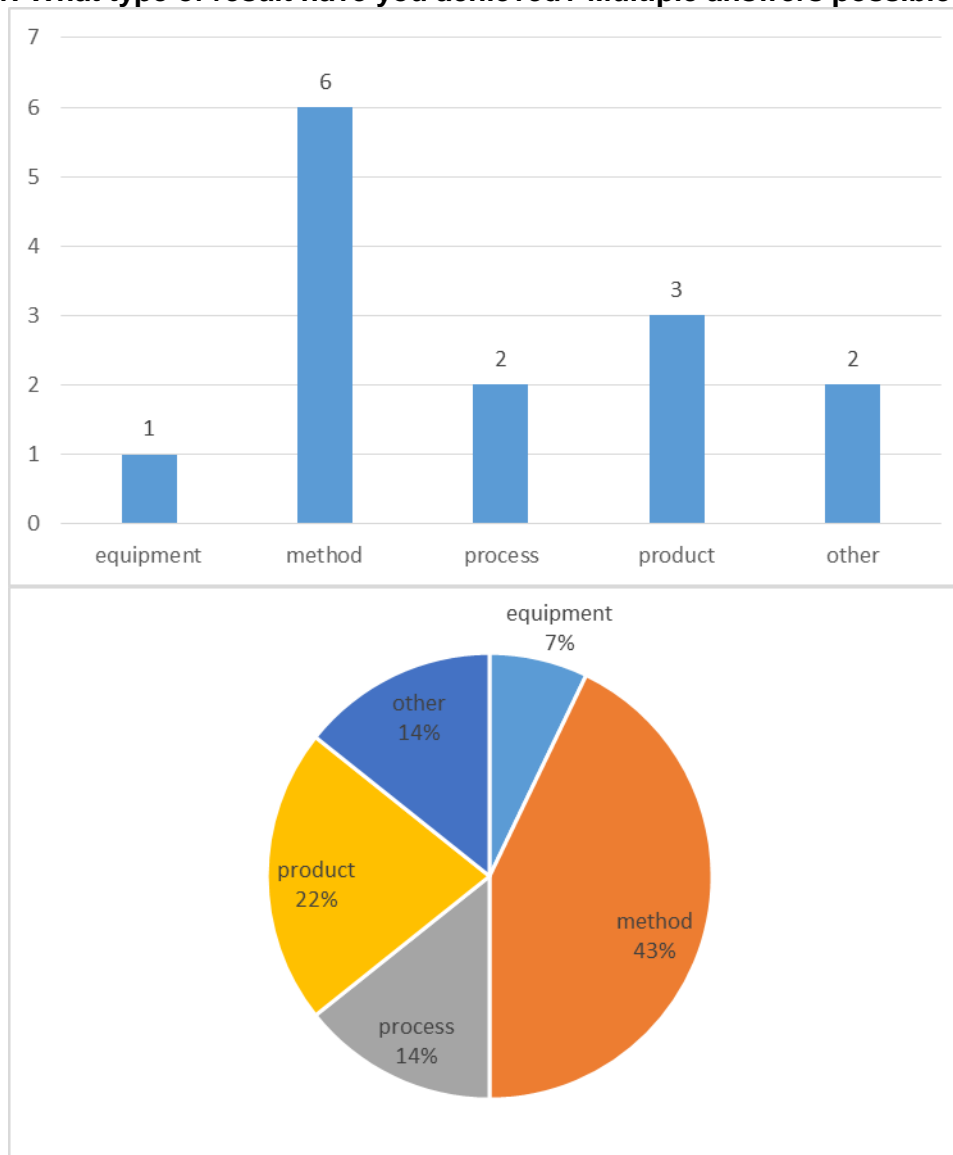
The questionnaire covered the following areas:

- a) Technical results, dealing with issues such as: product, process and service innovations; patents/licenses.
- b) Scientific results, dealing with issues such as: creation of new knowledge or exploitation of existing knowledge; number of publications; participation in conferences, seminars.
- c) Economic effects, dealing with issues such as: creation of spin-offs; commercial returns; impact in capacity-building (new business opportunities, access to know-how, etc.); impact on turnover; employment created.
- d) Transnational benefit, dealing with issues such as: sustainable research collaborations among participants (contracts, FP7 projects, etc.); continuity of the project.

## 2.2. Statistics and results

### PART 1. TECHNICAL RESULTS

**Question 1: What type of result have you achieved? Multiple answers possible**



Most common results of projects are methods, 22% responses reflect their projects have achieved products.

**Question 2: How many invention notifications have been submitted or patent applications filed as a result of this project?**

1 invention notification or patent application has been filed as a result of the assessed projects.

**Question 3: How many license agreements have been reached as a result of this project?**

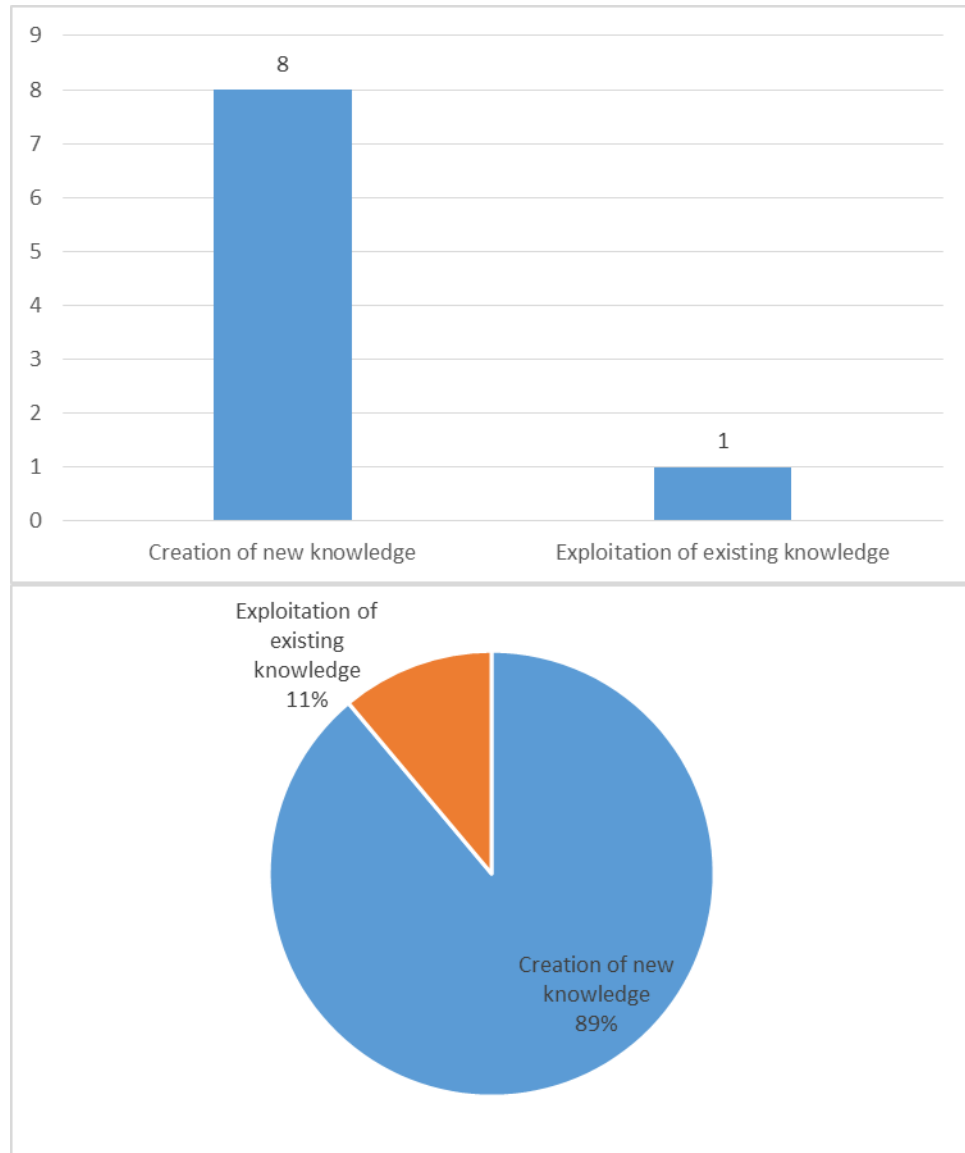
No license agreements are reported as a result of the assessed projects.

**Question 4: How many patents have been granted as a result of this project?**

No patents have been granted as a result of the assessed projects.

## PART 2. SCIENTIFIC RESULTS

### Question 5: What are the results achieved?



Most usually the results of the projects are the creation of new knowledge (89%) rather than the exploitation of existing knowledge.

**Question 6: How many publications in peer reviewed scientific journals have been published as a result of this project?**

In total, 102 publications have been done in peer reviewed scientific journals as a result of the projects.

**Question 7: How many joint publications have been published as a result of this project?**

There were 24 joint publications.

**Question 8: How many citations have the publications linked to this project had?**

6 respondents report that publications linked to the projects have had 231 citations

**Question 9: How many degrees (master, doctoral) have been achieved as a result of this project?**

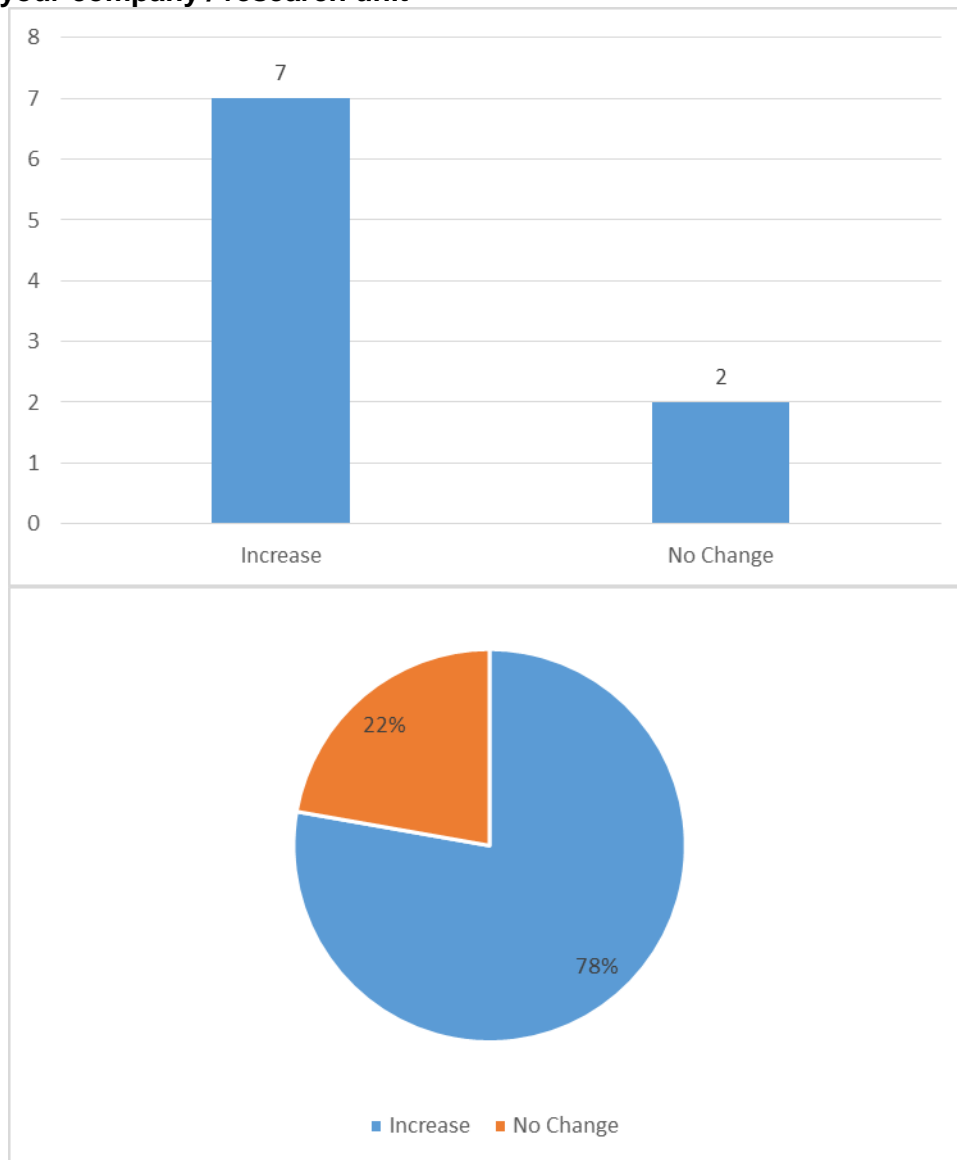
In total 12 master or doctoral degrees have been achieved as a result of the assessed projects.

**Question 10: How many oral presentations of results in Seminars/Conferences have been done as a result of this project?**

In total 96 oral presentations have been done as a result of the assessed projects.

**PART 3. ECONOMIC EFFECTS**

**Question 11: Please indicate the effect in R&D expenses (budget) originating from this project in your company / research unit**



78% of respondents acknowledge an increase in R&D expenses originating from the project. No respondent reports a decrease.

**Question 12: Please indicate the increase or decrease in R&D personnel originated from this project in your company / research unit**

9 people were contracted for the assessed projects

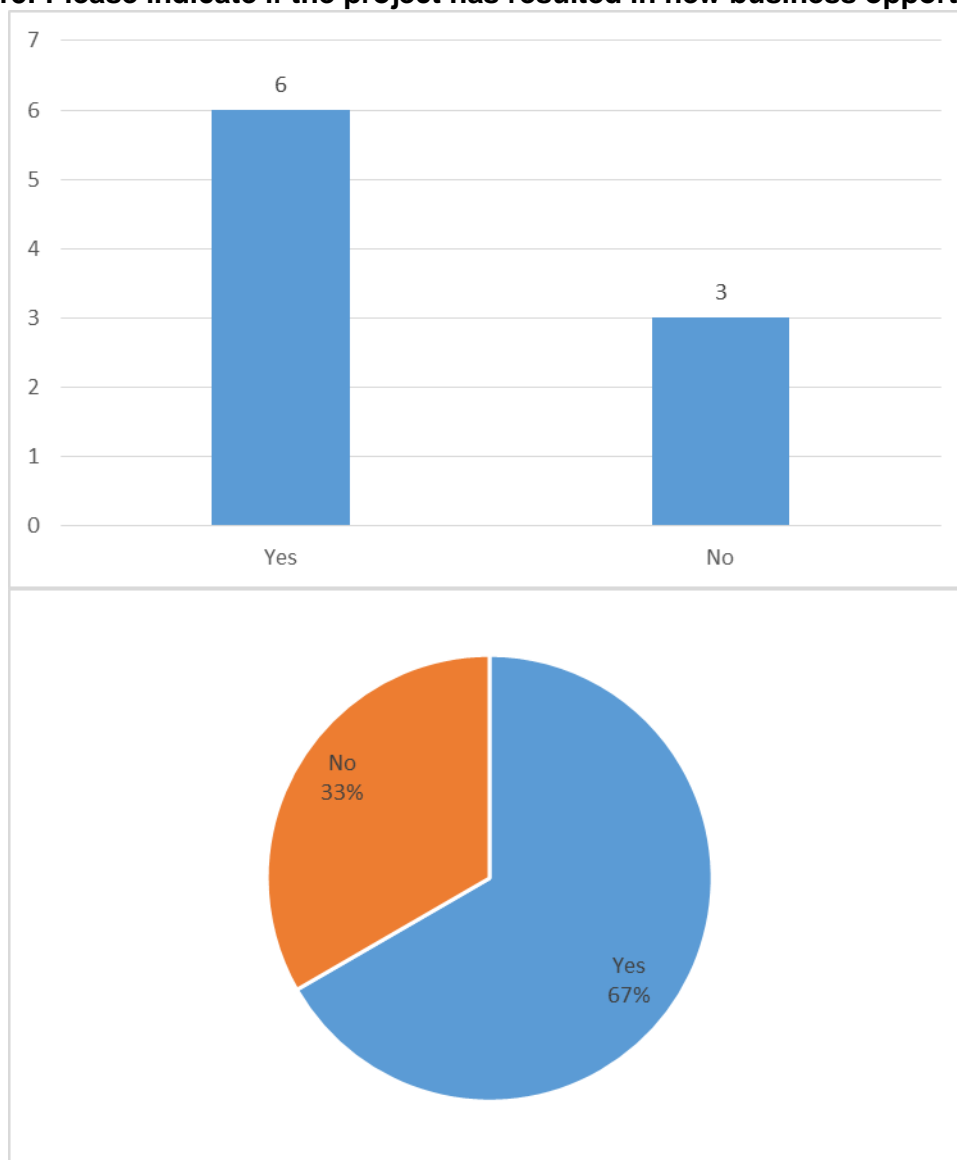
**Question 13: Has this project allowed the non-permanent personnel recruited during the project to get a permanent position, in the company/research unit where the project has been developed, or in another company/research unit partner in the project?**

7 non-permanent personnel recruited during the projects got a permanent position

**Question 14: Please indicate the increase or decrease in turnover originating from this project in your company**

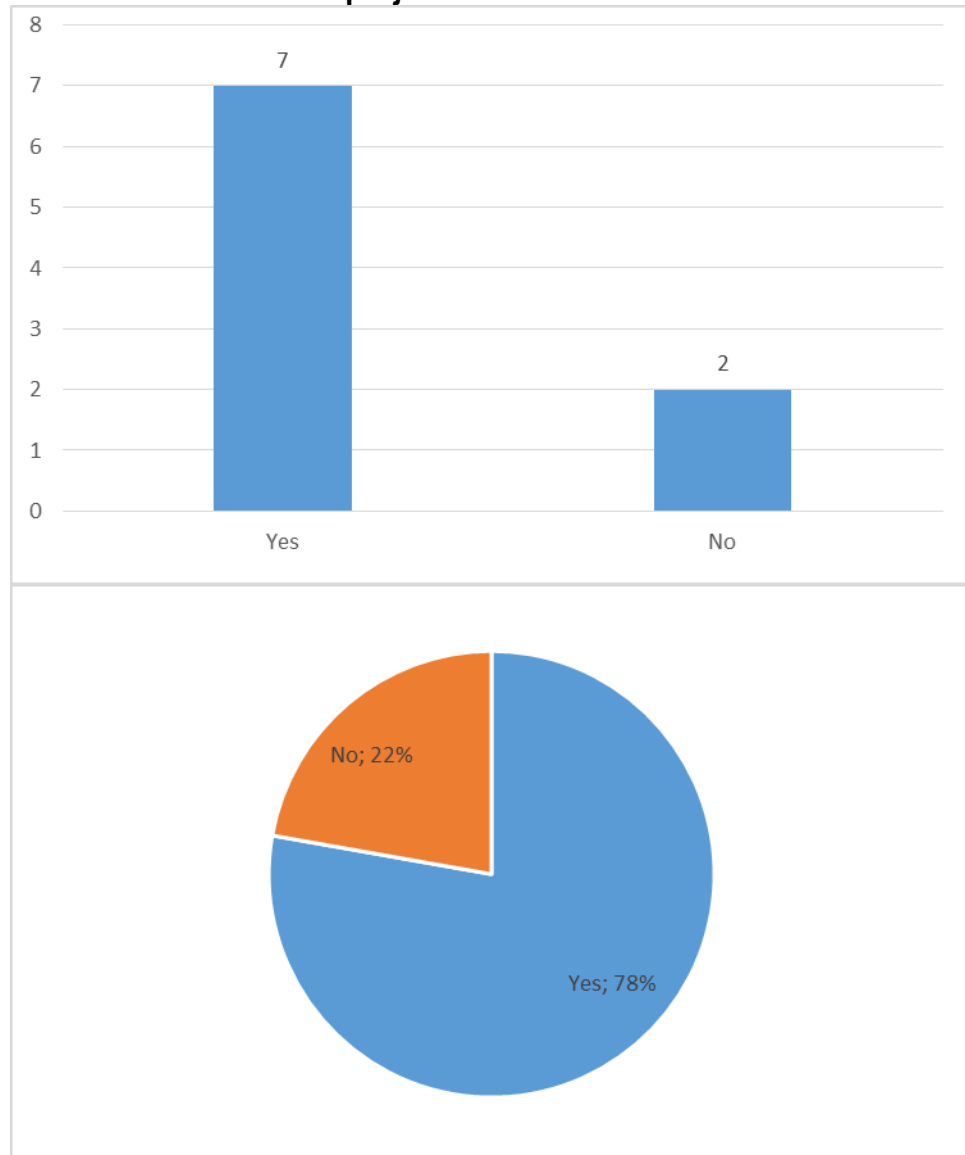
For most of the respondents this question is not available or not applicable. Only one respondent reports 250,000€ increase in turnover.

**Question 15: Please indicate if the project has resulted in new business opportunities**



For 67% of the respondents the project resulted in new business opportunities.

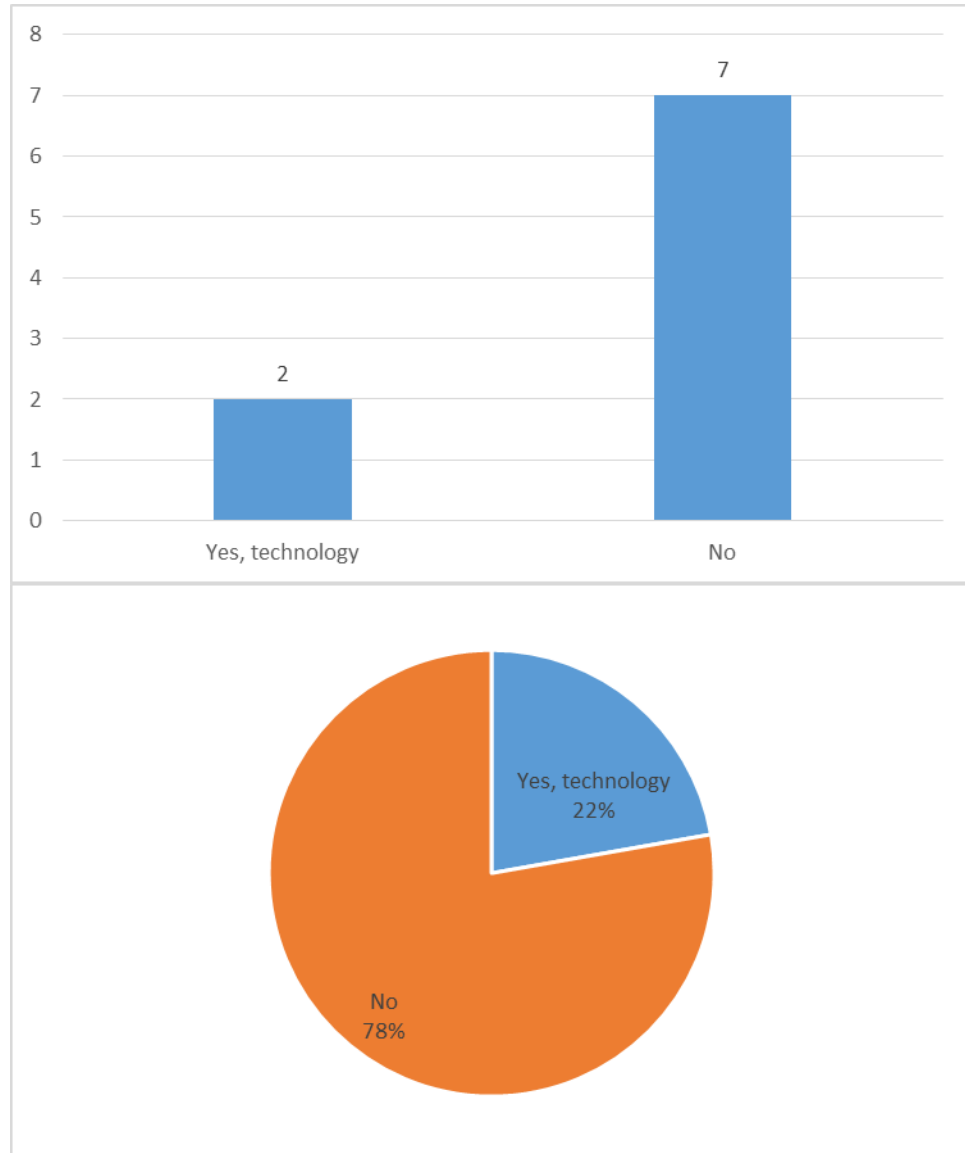
**Question 16: Please indicate if the project has resulted in access to know-how**



For 78% of respondents the project has resulted in access to know-how

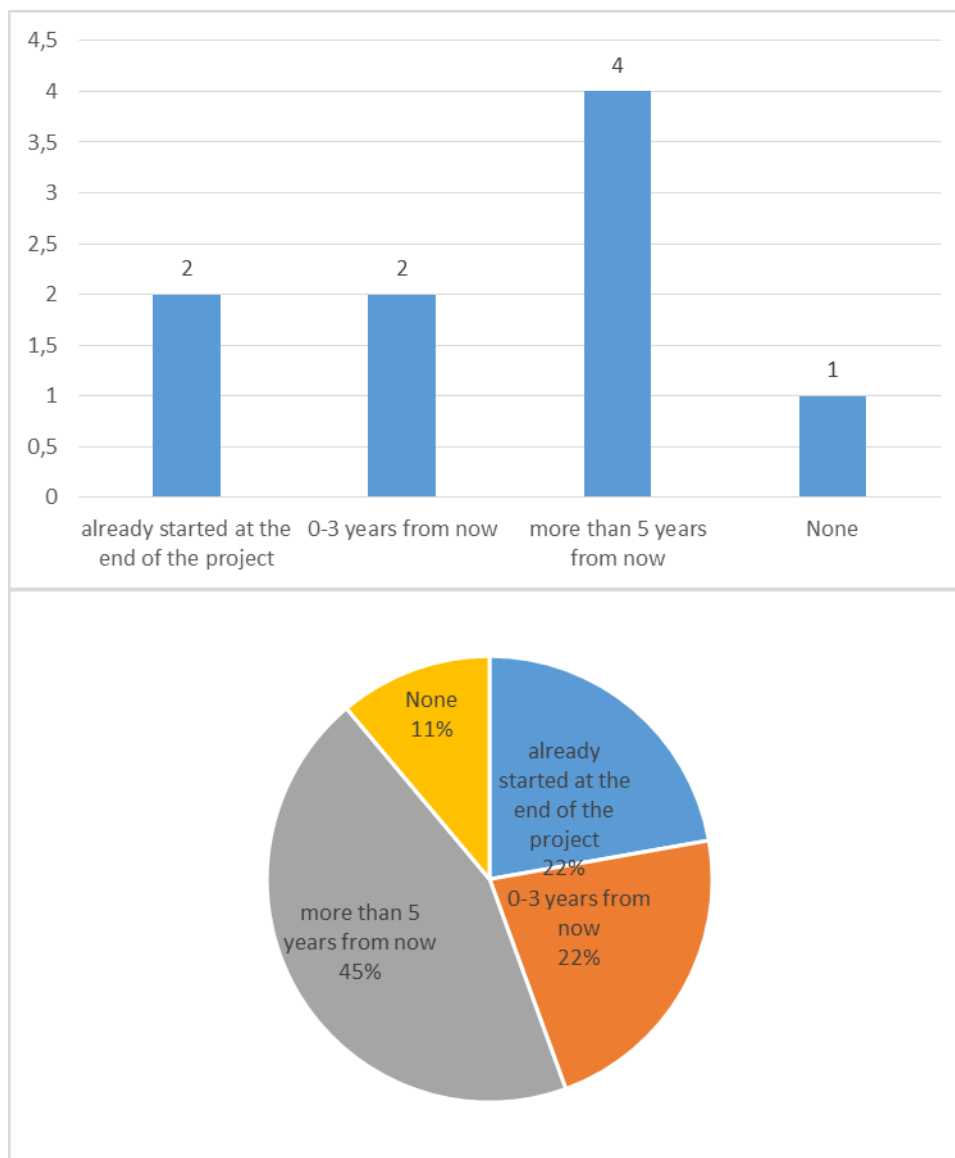


**Question 17: Have you commercialized the outcome as a new product, technology, service or process?**



22% of beneficiaries have commercialized new technologies.

**Question 18: What is the time frame for commercialization of the results of this project?**

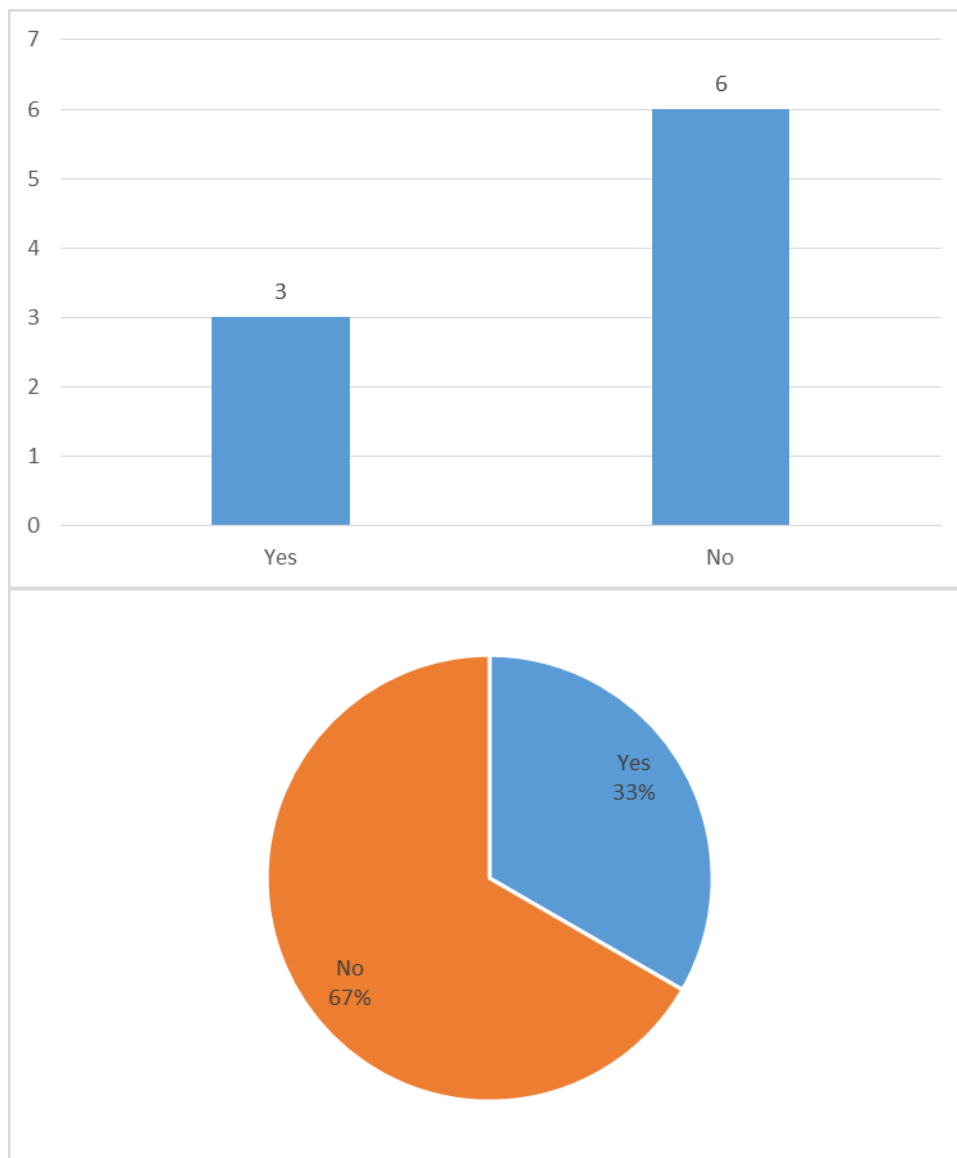


Time frame for commercialization of results is most usually (45%) more than five years from now.

**Question 19: What have been the sales due to the commercialization of the results of this project in your company?**

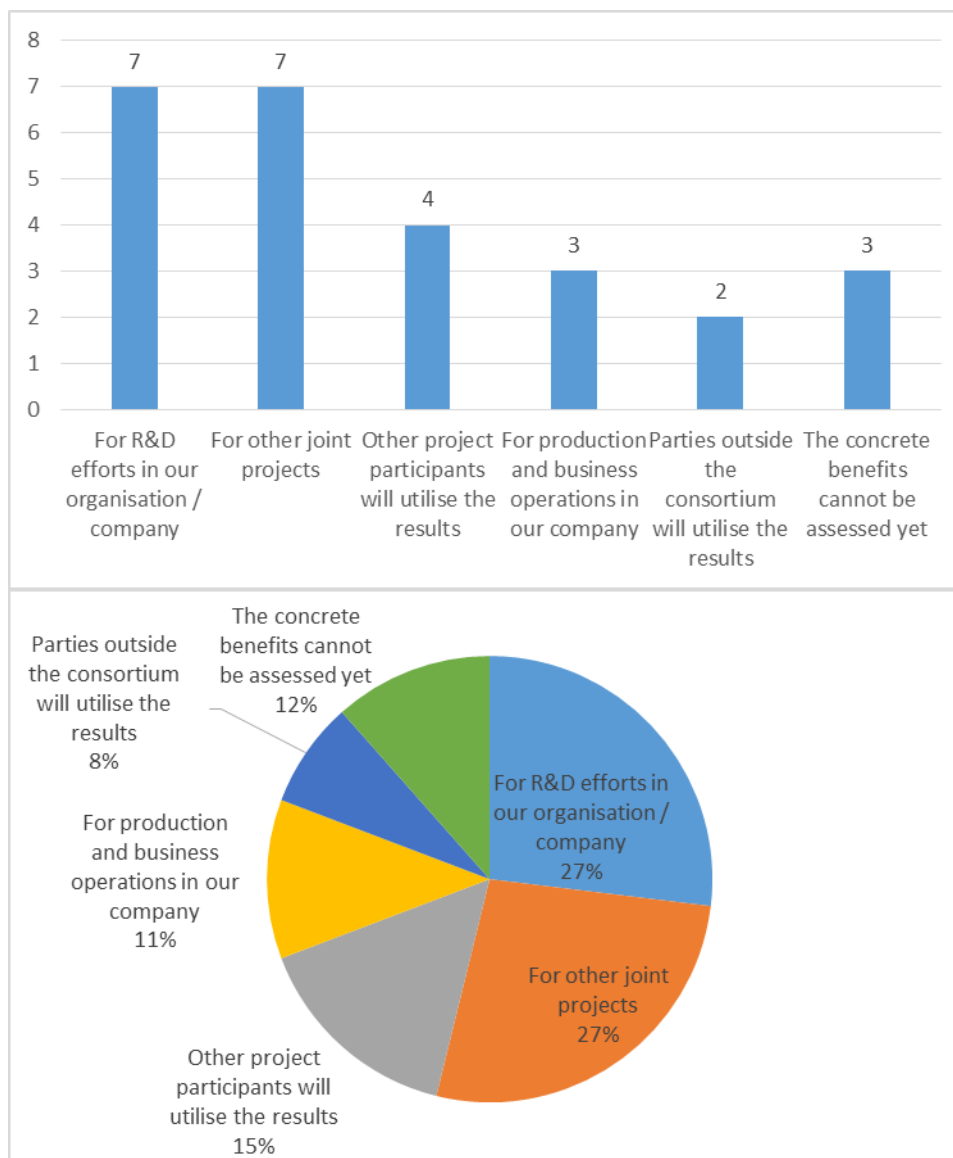
Most usually the response to this question is not available or not applicable

**Question 20: Please indicate if the results of the project have led to access to new markets in your company.**



Most usually (67%) the projects have not led to access new markets

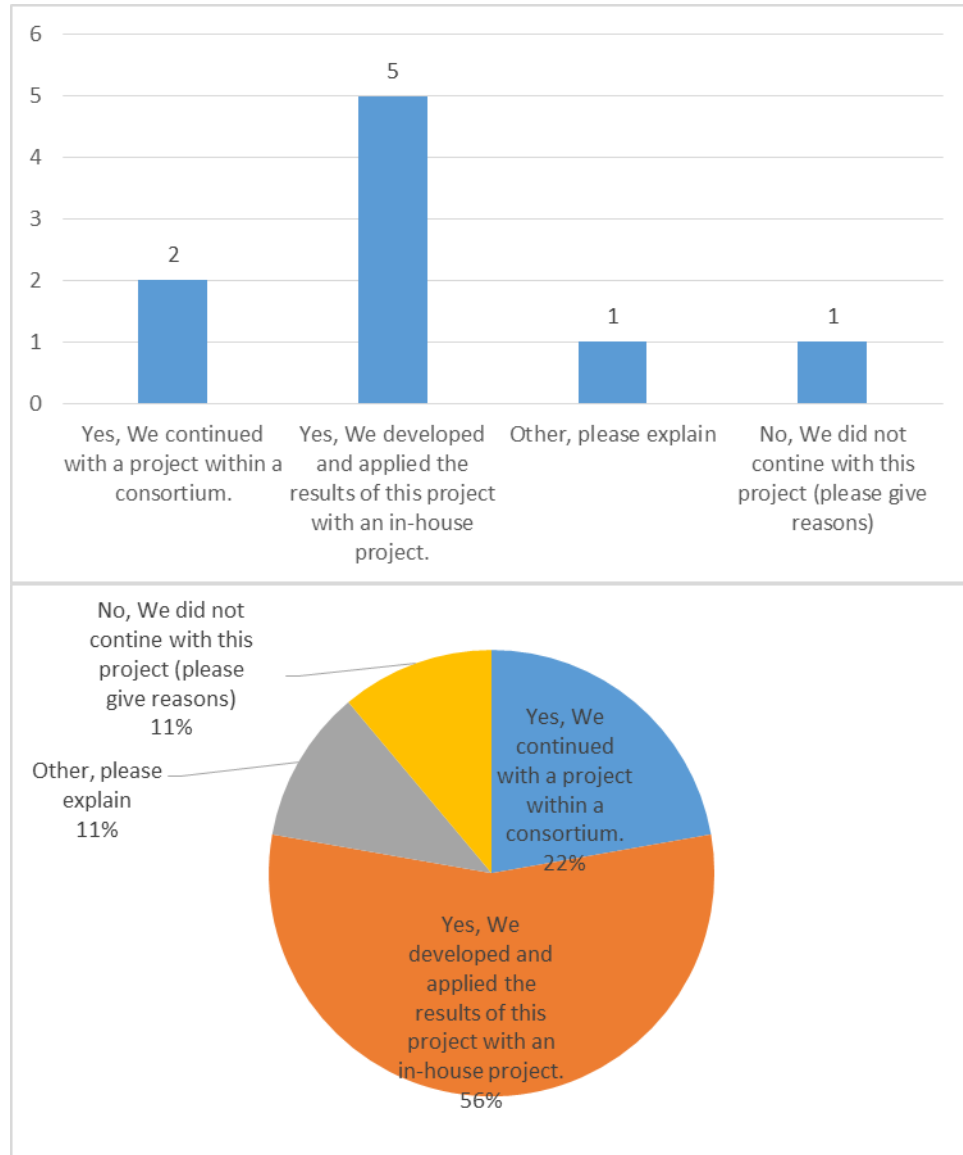
## Question 21: How will the research results of the project be utilized?



Most usually, the research results will be used for R&D efforts in the same organization or company or for other joint projects.

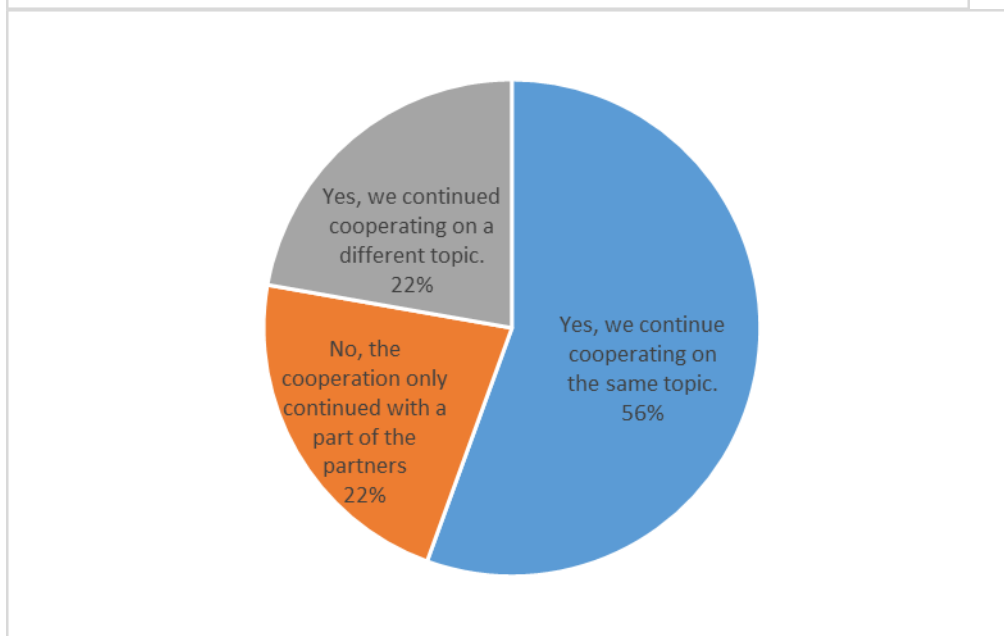
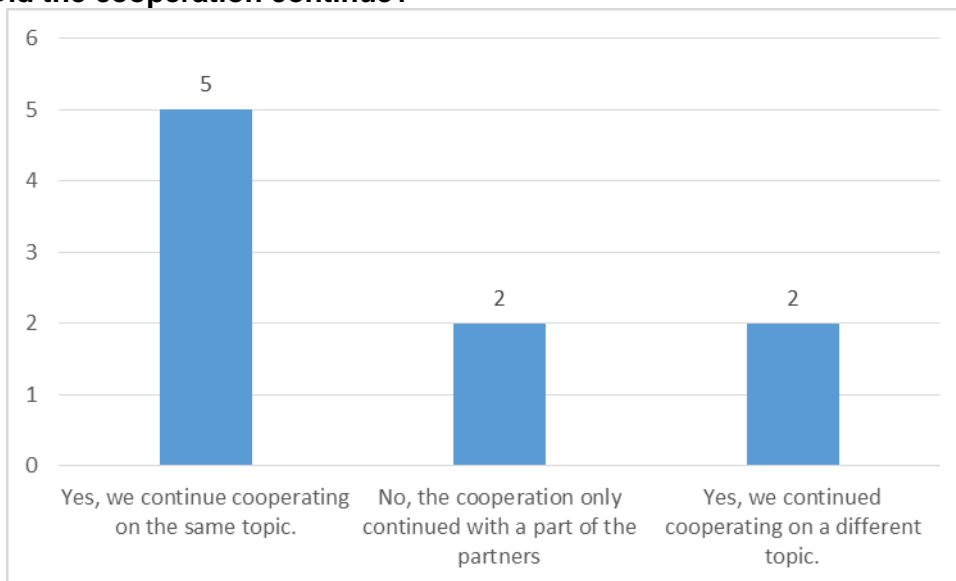
## Question 22: How many spin-offs have been founded as a result of this project?

No spin-off has been founded as a result of the assessed projects.

**PART 4. TRANSNATIONAL BENEFIT**
**Question 23: What happened after the end of this project?**


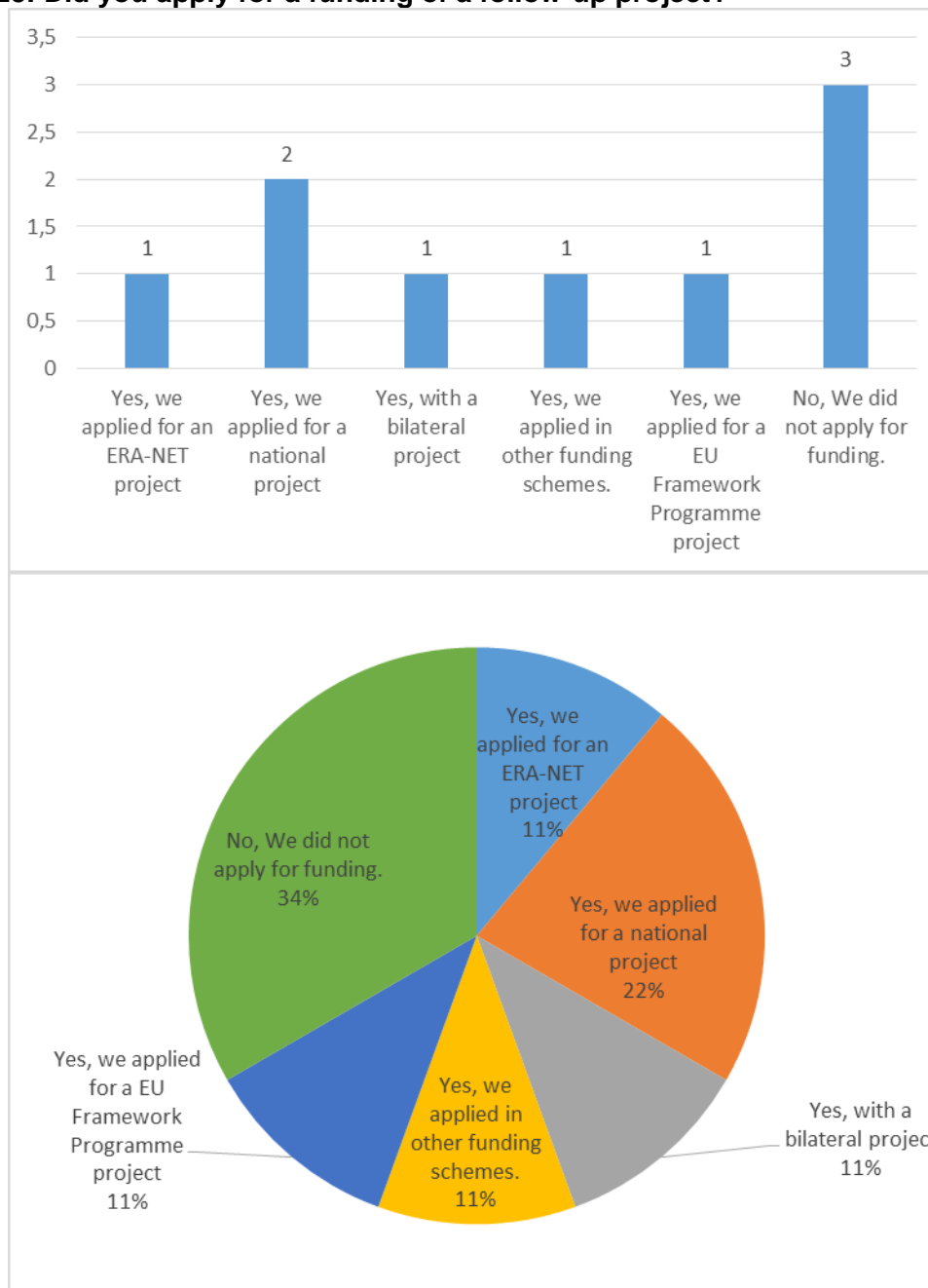
Most usually (56%), the project participants developed and applied the results of the project with an in-house project. Only 11% did not continue with the project.

## Question 24: Did the cooperation continue?



56% of respondents continued cooperating on the same topic. Only in 22% of the cases the cooperation continued with only a part of the partners.

## Question 25: Did you apply for a funding of a follow-up project?



A majority (66%) of respondents applied for funding of a follow-up project, out of which 22% applied for an EU Framework Programme project (11%) or an ERA-NET project (11%).

### 2.3. Conclusions

The response rate has been very low reflecting the difficulty to get responses about projects that have finished more than 3 years ago.

- Most commonly the results of the projects are methods but a good number of responses (22%) report to have achieved products.
- The assessed projects have not led to patents granted but 1 invention notification or patent application has been filed as a result of the 9 assessed projects.
- On the contrary, the number of publications in peer reviewed scientific journals and the number of oral presentations is relatively high as well as the number of citations, indicating a good dissemination of results and a good scientific level of the projects. Nearly 24% of the publications were joint.
- 9 people were contracted for the assessed projects out of which 7 non-permanent got a permanent position.
- Projects have had a positive impact on capacity building, as reflected in the effect on new business opportunities and access to know –how.
- 22% of respondents have commercialized new technologies, although time frame for commercialization of results is most commonly more than five years from now.
- 33% of respondents have accessed new markets due to the assessed projects.
- The projects have established transnational cooperations that have continued after the project end in the majority of the cases.
- The majority of the respondents applied for a follow-up project, most usually for a national project.





**3. Report on assessment of projects funded from MATERA+ & MNT-ERA.NET Calls 2010 and 2011 (less than 1 year after the projects end)**

### 3.1. Introduction

The assessment to be carried out under task 2.3 includes the assessment of individual funded projects that have finished from previous ERA-NETs (MATERA and MNT-ERA.NET). The main aims of the assessment of funded projects are:

- Assessing the results of funded projects that have been completed
- Complementing national/regional efforts
- Contributing to improving joint programming

Therefore this assessment will give input to the annual assessment of work programmes and to the joint programming process.

The assessment of funded projects is done at two stages:

- 3) soon after the projects have finished in order to obtain information about their results and
- 4) 3 years after they have finished with the objective of compiling information about their impact.

The assessment is carried out through on-line analyzing questionnaires of three types:

- 1a) Questionnaire on results of funded projects to the parties in funded projects
- 1b) Questionnaire on results of funded projects to the Coordinating Funding Organisation
- 2) Questionnaire on the impact of funded projects to all parties in funded projects

In 2015, the assessment of funded projects in MATERA+ and MNT-ERA.NET 2010 and 2011 calls covers 29 projects. A questionnaire to assess the project impact was sent to 142 partners and 30 responses were received, covering 19 projects (response rate for projects was 65% and response rate for beneficiaries was 21%).

The questionnaire covered the following areas:

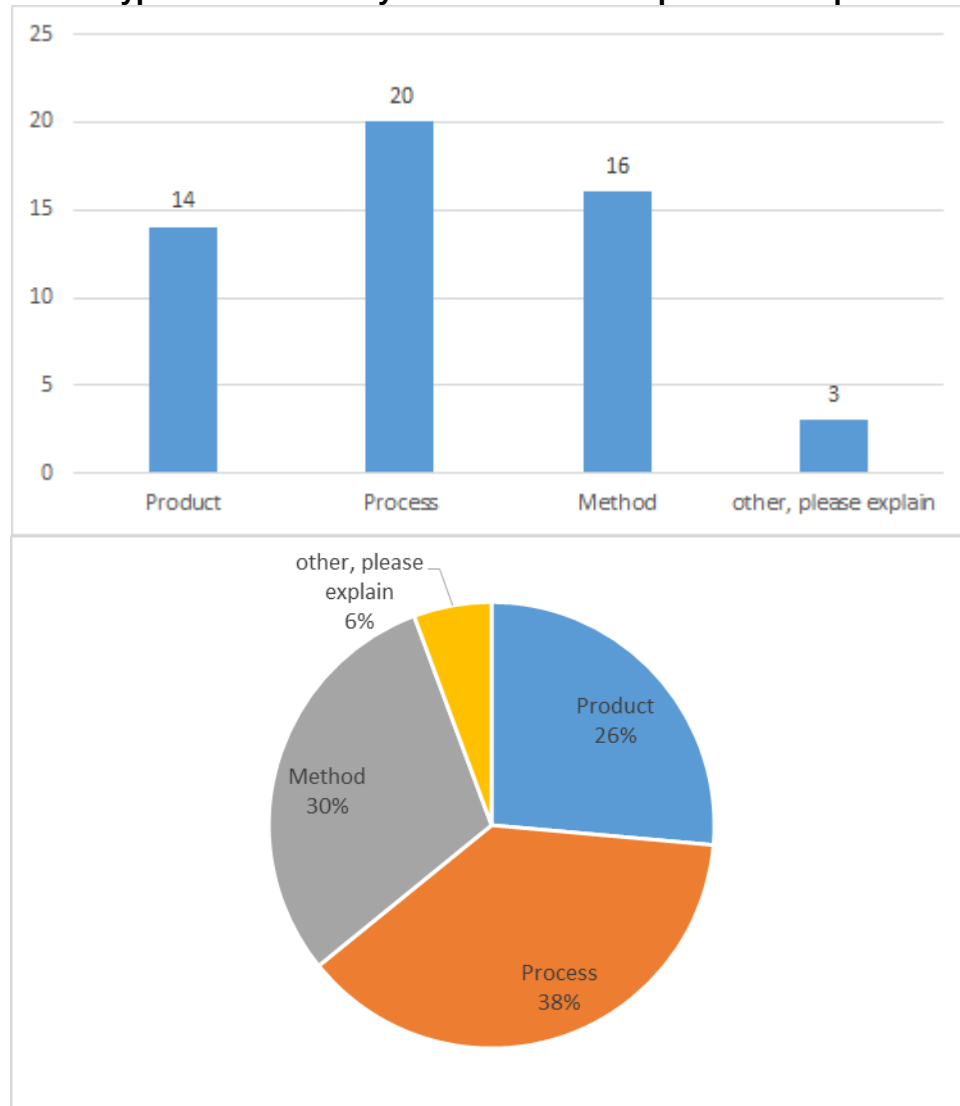
- a) Technical results, dealing with issues such as: product, process and service innovations; patents.
- b) Scientific results, dealing with issues such as: creation of new knowledge or exploitation of existing knowledge; number of publications; participation in conferences, seminars.
- c) Economic effects, dealing with issues such as: commercial returns; impact in capacity-building (new business opportunities, access to know-how, etc.); impact on turnover; employment created.
- d) Transnational benefit, dealing with issues such as: sustainable research collaborations among participants (contracts, FP7 projects, etc.); continuity of the project.

In addition to the questionnaire of the previous years, two new questions were added: one about secondments of researchers and another one about joint publications. Also respondents were asked about potential publication of the results as a success story.

## 3.2. Statistics and results

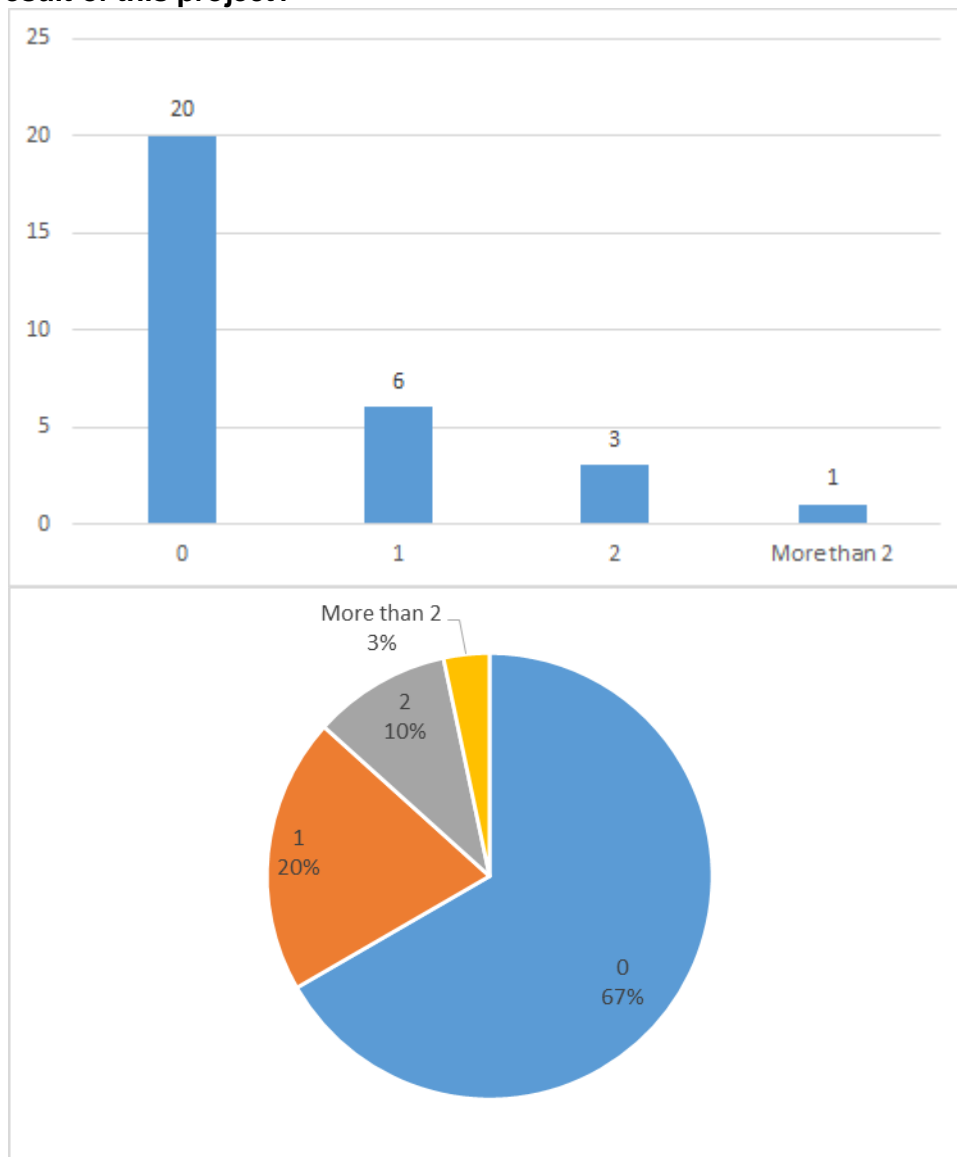
### PART 1. TECHNICAL RESULTS

Question 1: What type of result have you achieved? Multiple answers possible



The type of result most usually achieved is process (38% of the answers) and method (30% of the answers). 26% of the answers reflect to have achieved products.

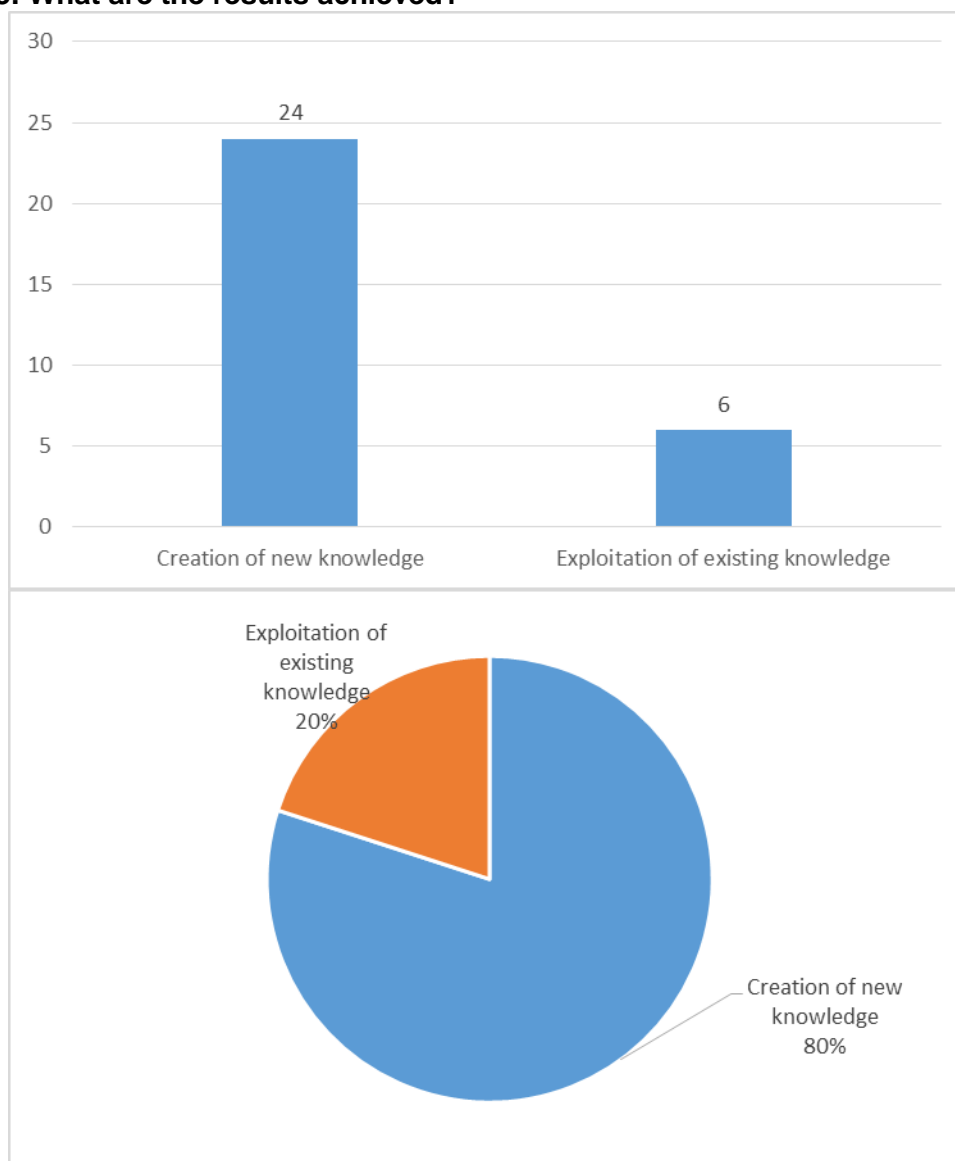
**Question 2: How many invention notifications have been submitted or patent applications filed as a result of this project?**



In total 14 invention notifications have been submitted or patent applications filed as a result of the assessed projects. Among those 10 who report to have submitted an invention notification or patent application the average is 1,4 per project. In 67% of the answers (20 responses) no invention notification has been submitted or patent applications filed.

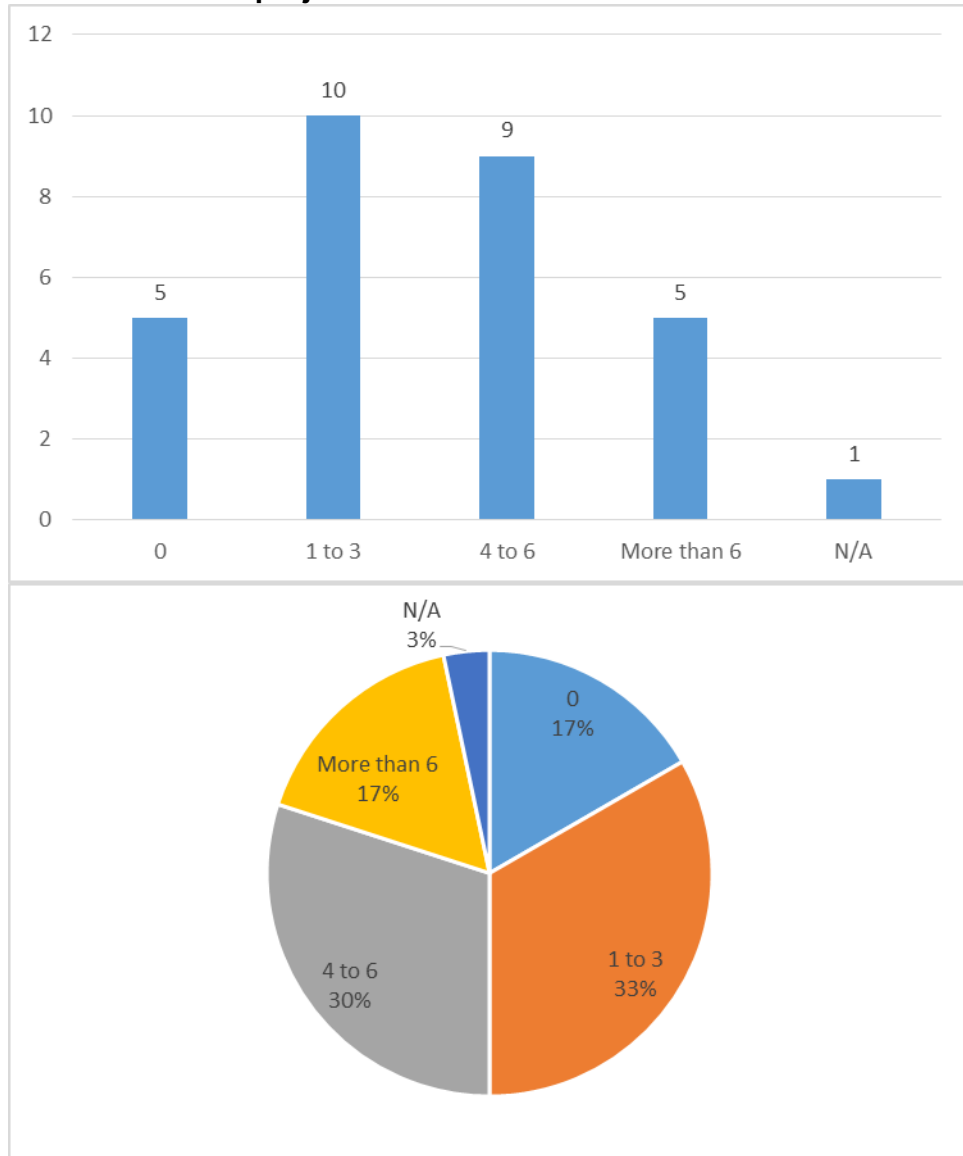
## PART 2. SCIENTIFIC RESULTS

### Question 3: What are the results achieved?



The scientific results most usually achieved are the creation of new knowledge (80% of the answers).

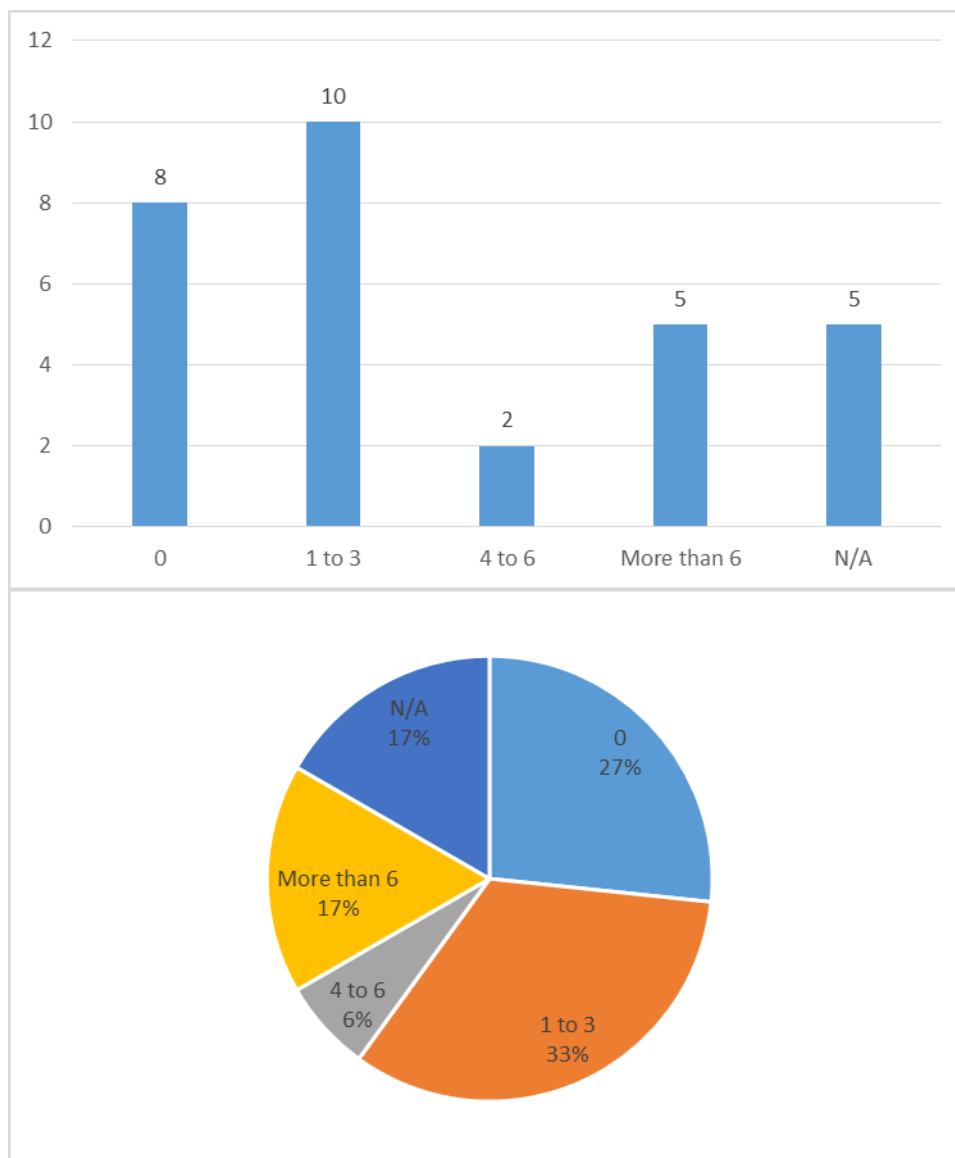
**Question 4: How many publications in peer reviewed scientific journals have been published as a result of this project?<sup>1</sup>**



In total, projects assessed had 117 publications in peer reviewed journals. 33% of the answers report at least 1 but less than 4 publications. 30% of the projects had from 4 to 6 publications. Only 17% of the projects had no peer review publications but several respondents report scientific publications under preparation.

<sup>1</sup> N/A stands for not available or not applicable

**Question 5: How many joint publications have been published as a result of this project?**



In total, projects assessed had 66 joint publications of the project partners. 33% of the answers report at least 1 but less than 4 publications. 6% of the projects had from 4 to 6 publications. 27% of the projects had no joint publications but 17% had more than 6 publications.

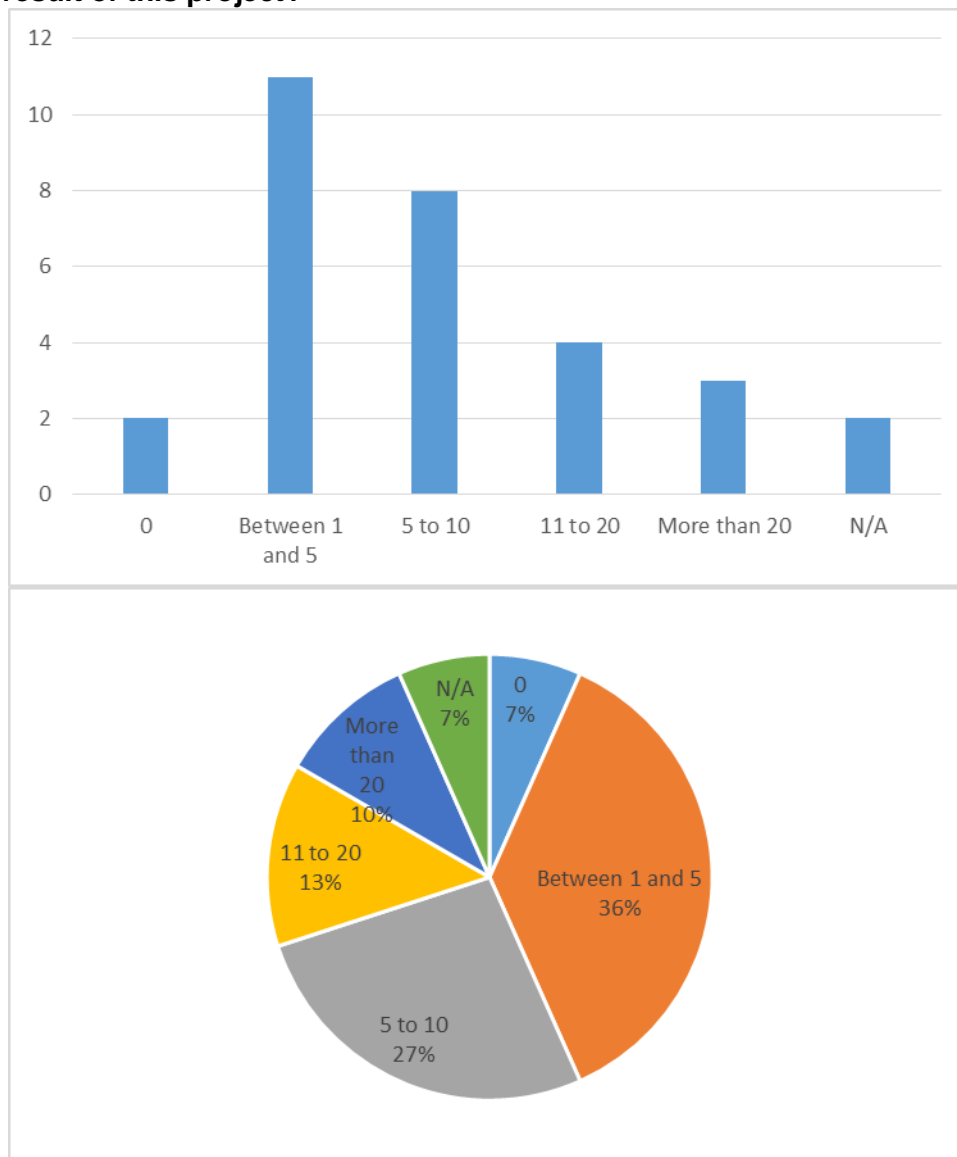
**Question 6: How many degrees (master, doctoral) have been achieved as a result of this project?**

In 40% of the answers no degrees have been achieved. In total 35 degrees have been achieved as a result of the projects of which 14 Master, 12 Doctoral and 9 were not defined by the respondents.

**Question 7: How many secondments/stays of researchers have there been as a result of the project?**

In total 38 secondments are reported and only in 1/3 of the responses there were no secondments of researchers.

**Question 8: How many oral presentations of results in Seminars/Conferences have been done as a result of this project?**

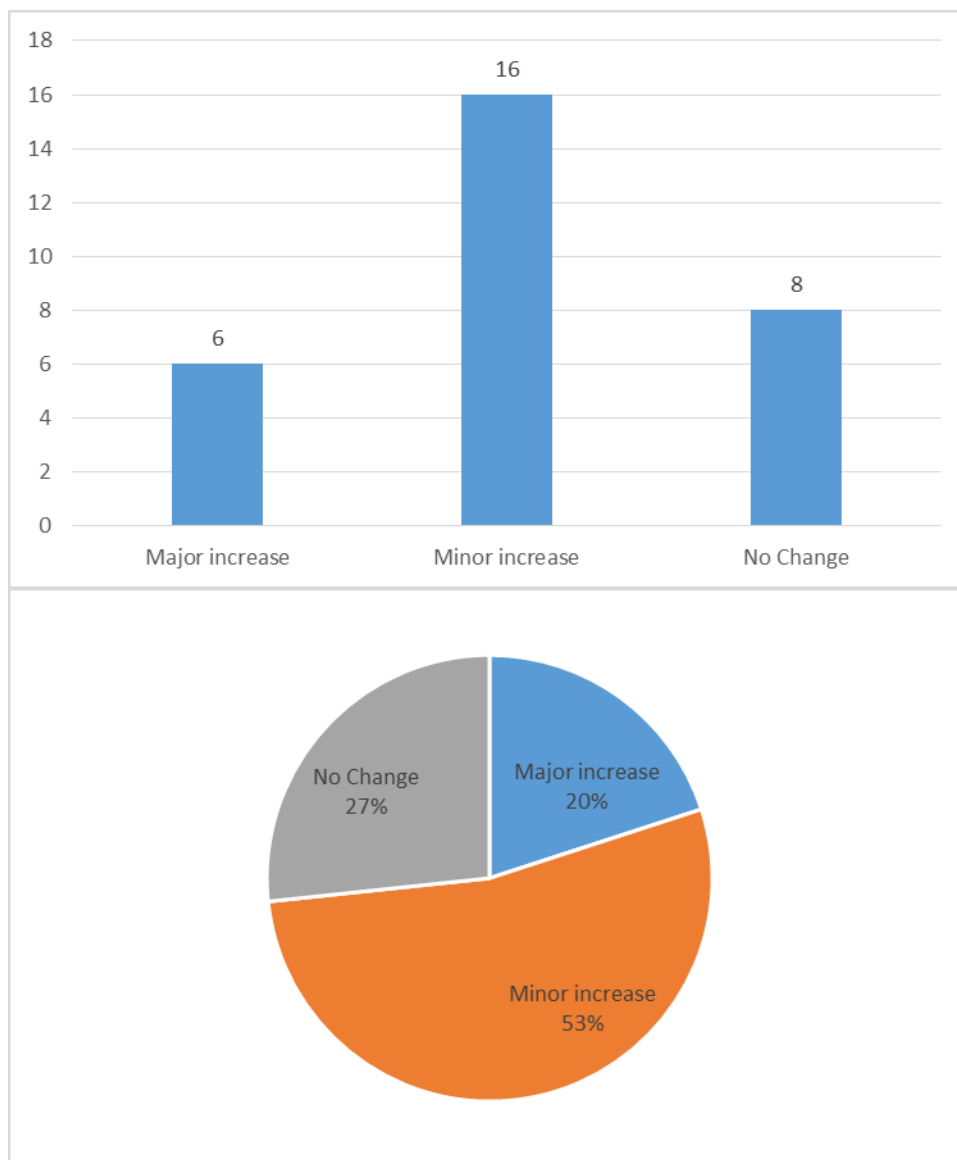


In 36% of the answers the number of oral presentations done in Seminars or Conferences is between 1 and 5. In total 243 presentations have been done as a result of the projects, being the average per project almost 13 oral presentations.



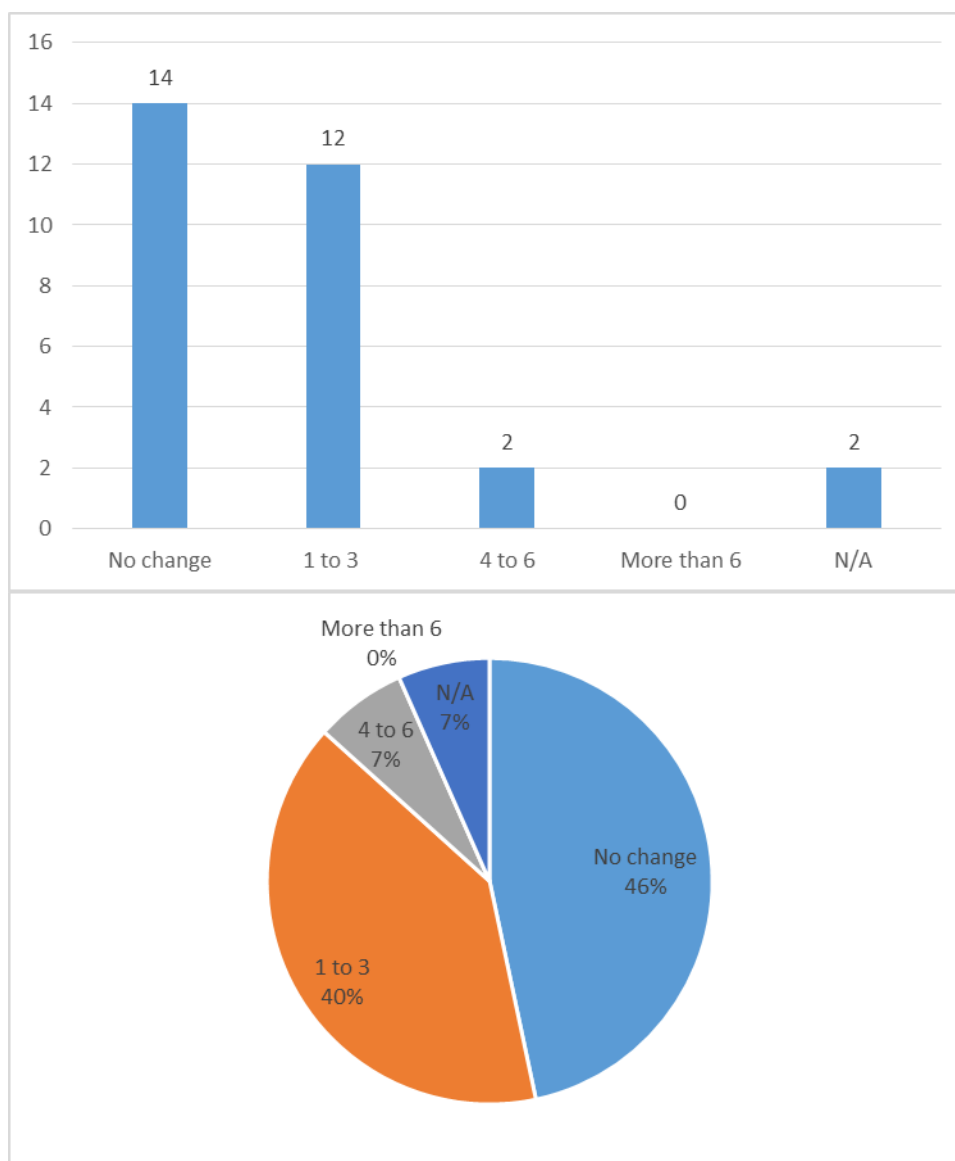
**PART 3. ECONOMIC EFFECTS**

**Question 9: Please indicate the effect in R&D expenses (budget) originating from this project in your company / research unit**



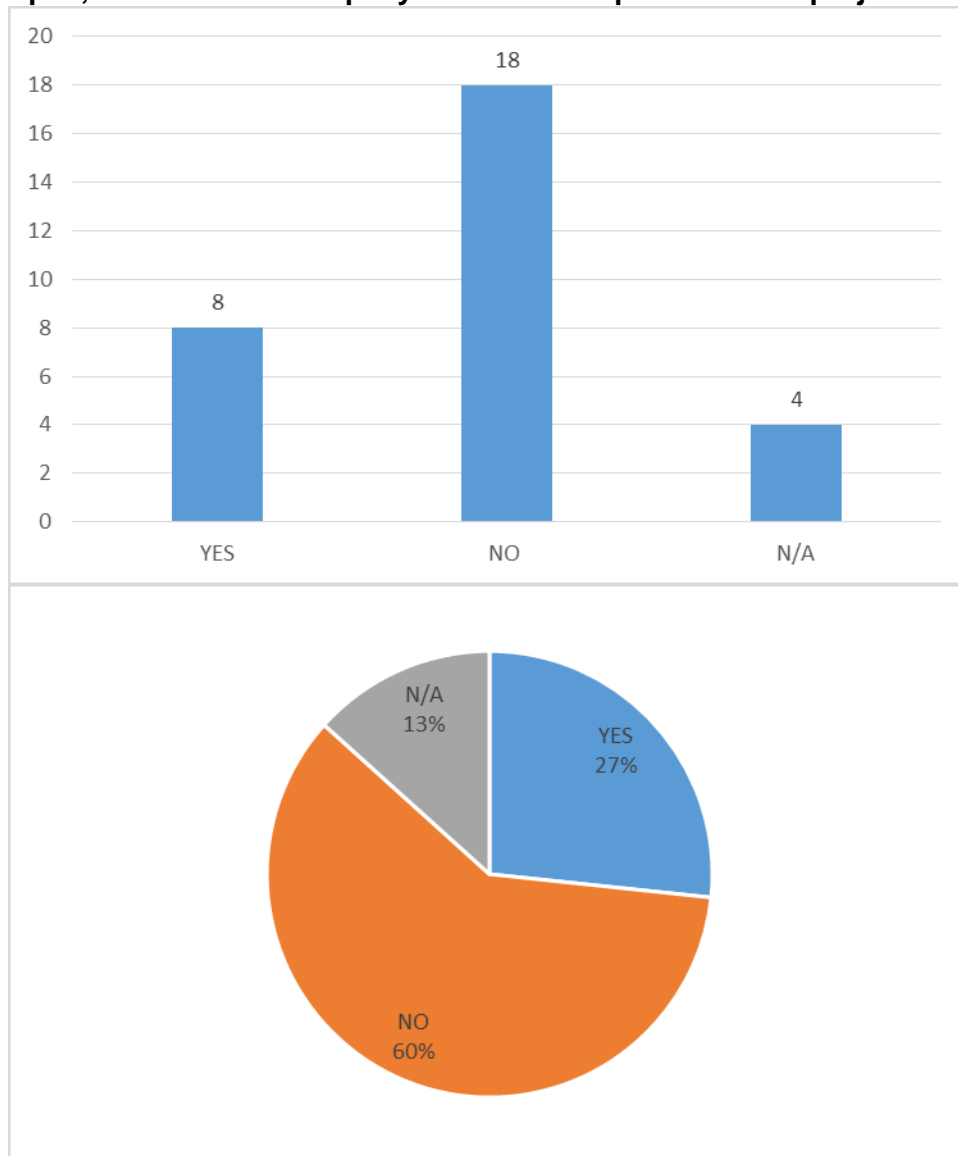
In 73% of the answers the effect over R&D expenses (budget) originating from this project was an increase, being in 20% of the answers a major increase.

**Question 10: Please indicate the increase or decrease in R&D personnel originated from this project in your company / research unit**



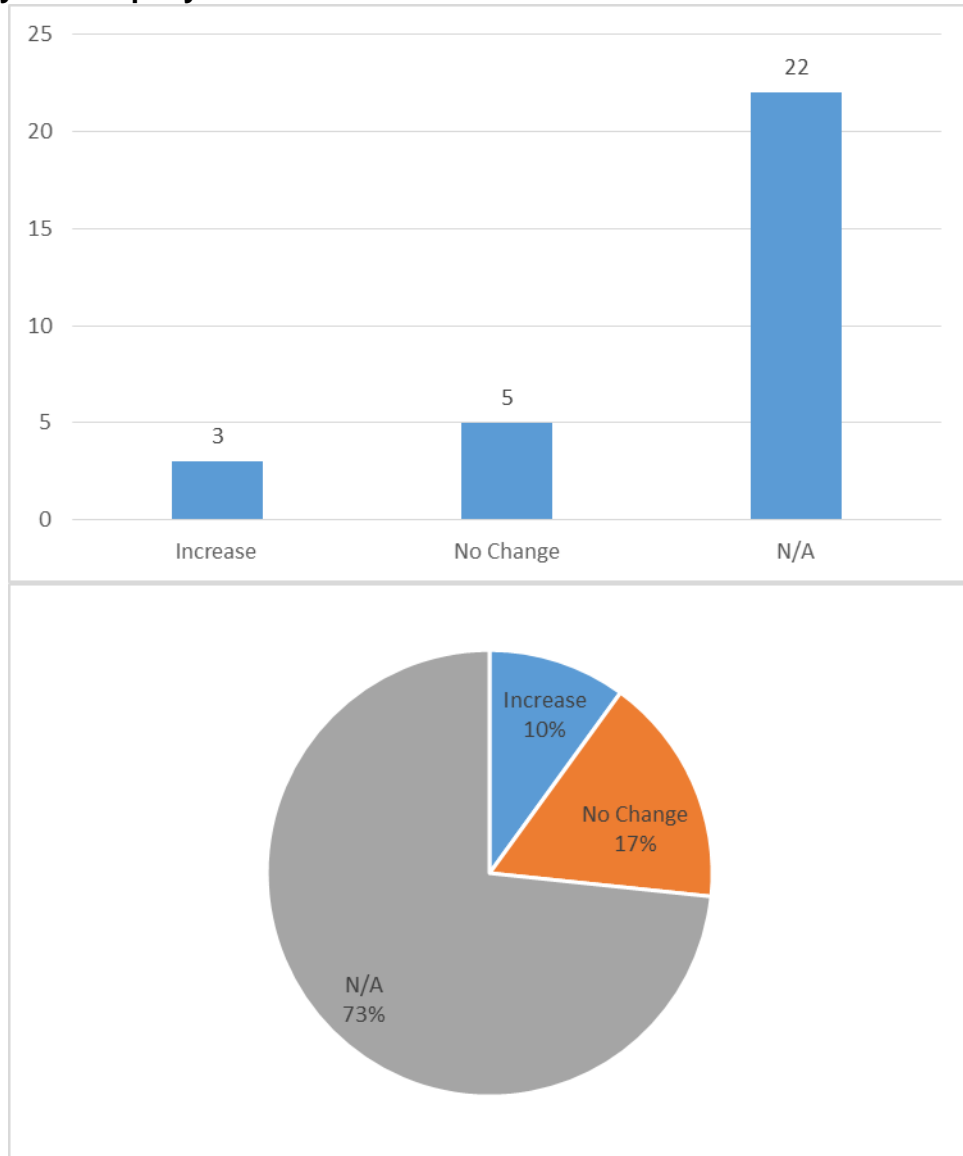
In 40% of the cases the increase in R&D personnel originating from the project was 1 to 3 people. In 46% of the answers the project had no effect over number of R&D personnel and in 7% of the cases (2 responses) the increase of personnel was 4 or more.

**Question 11: Has this project allowed the non-permanent personnel recruited during the project to get a permanent position, in the company/research unit where the project has been developed, or in another company/research unit partner in the project?**



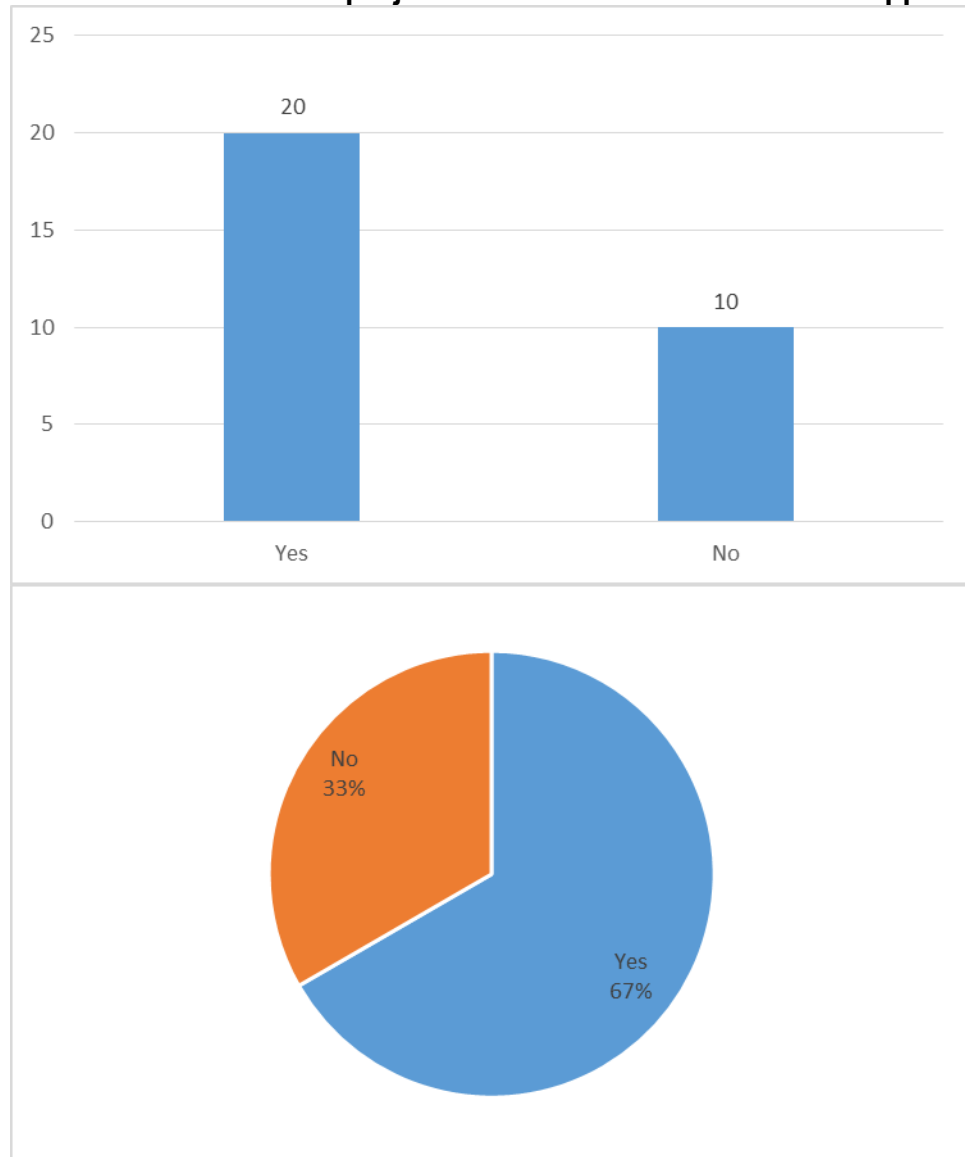
In 27% of the cases the project has allowed the non permanent personnel recruited to get a permanent position. 17 non-permanent personnel recruited during the project got a permanent position, in the company/research unit where the project has been developed, or in another company/research unit partner in the project.

**Question 12: Please indicate the increase or decrease in turnover originating from this project in your company**



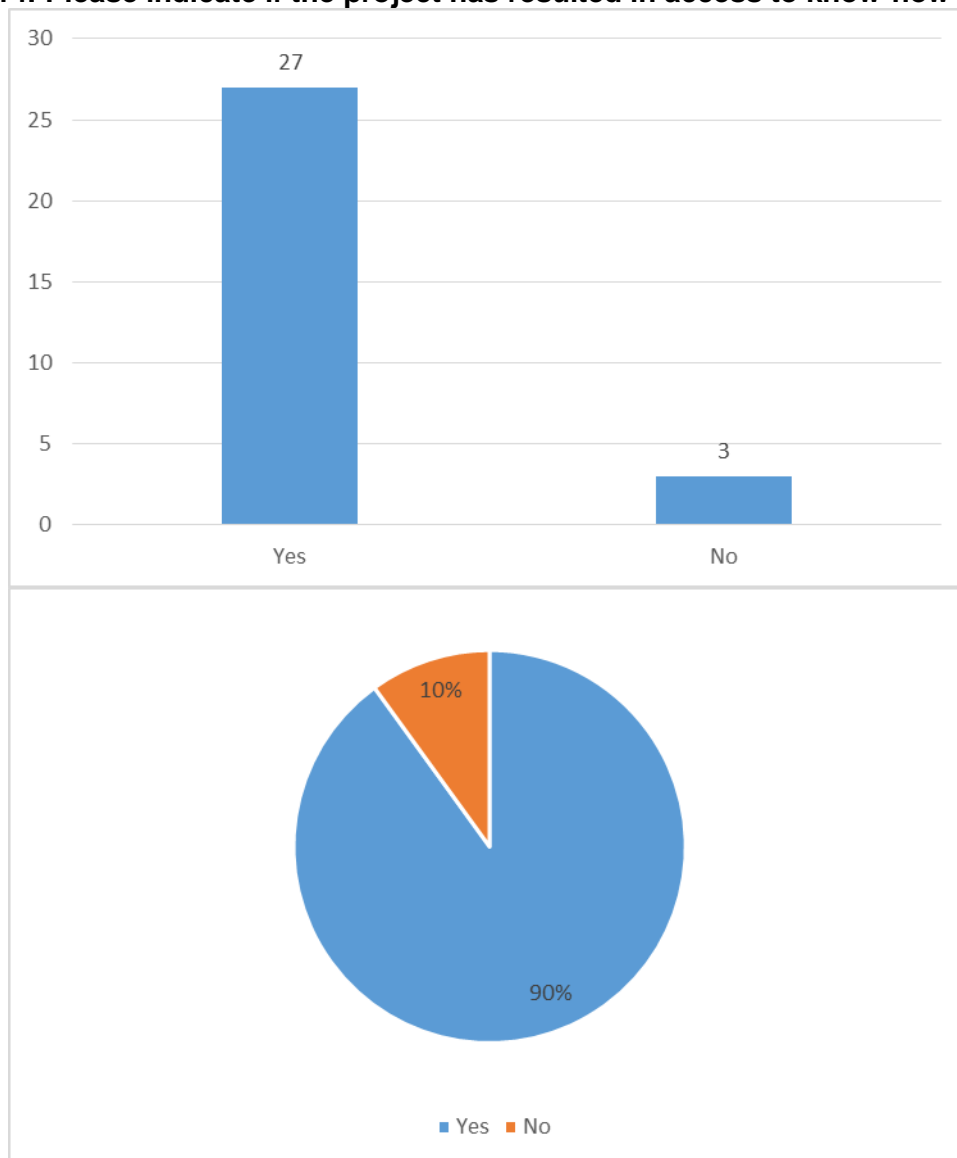
10% of the answers indicate an increase in turnover originating from the projects assessed. For most of the respondents this question is not applicable or not available.

**Question 13: Please indicate if the project has resulted in new business opportunities**



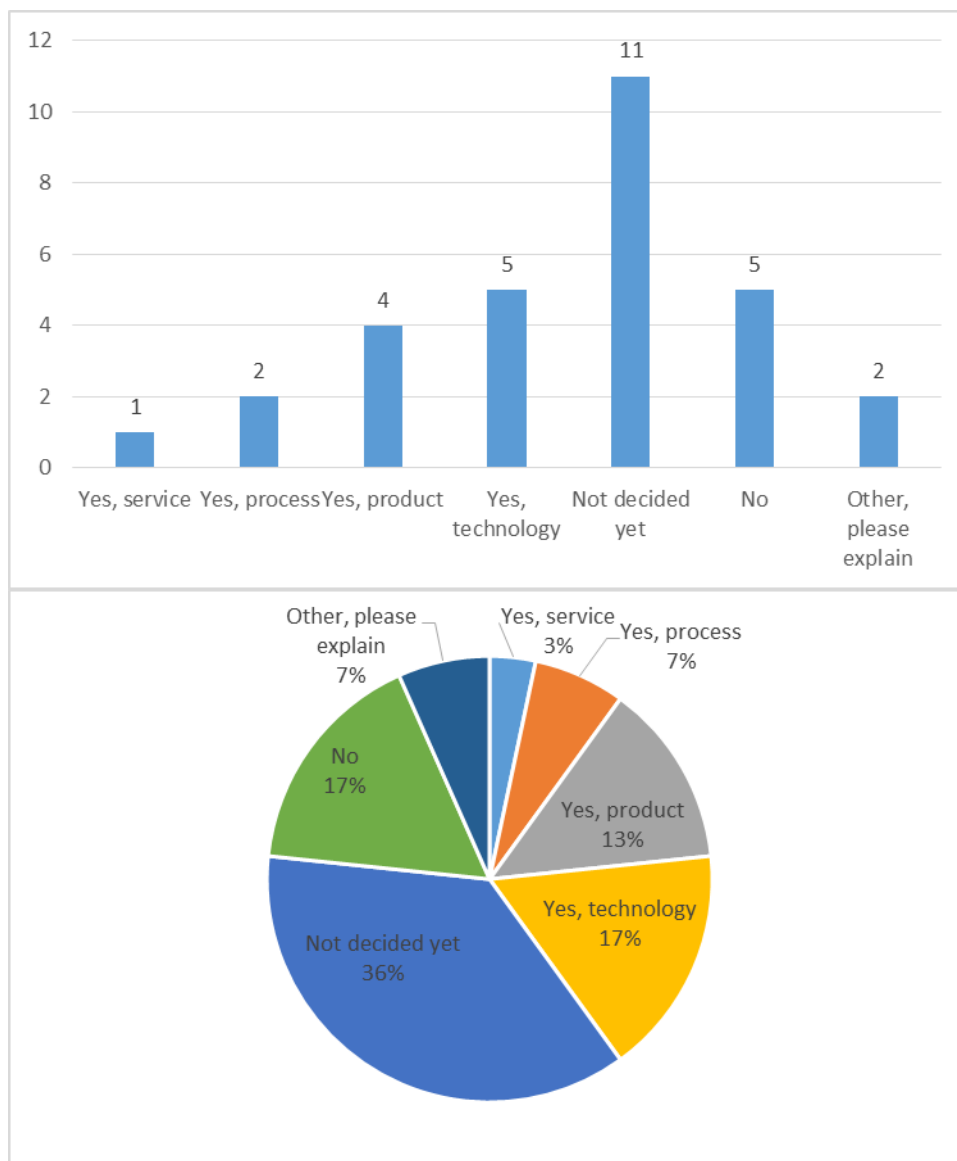
For a majority (67%) of the respondents the project resulted in new business opportunities.

**Question 14: Please indicate if the project has resulted in access to know-how**



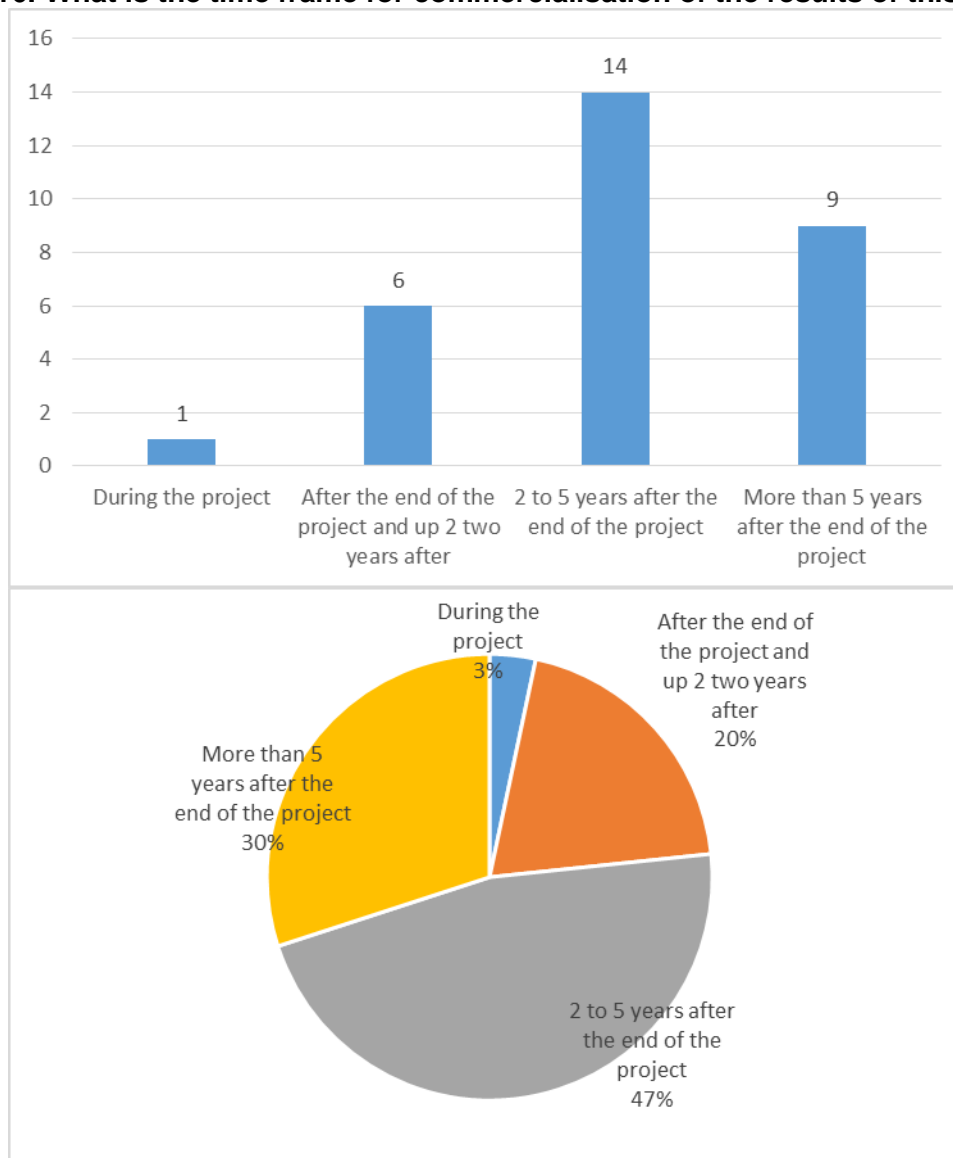
A large majority (90%) had due to the participation in the project access to know-how.

**Question 15: Will you commercialise the outcome as a new product, technology, service or process?**



40% of the answers say they will commercialise the outcome as a new product, technology, service or process. 36% have not decided it yet and only 17% say they will not commercialise the outcome.

**Question 16: What is the time frame for commercialisation of the results of this project?**

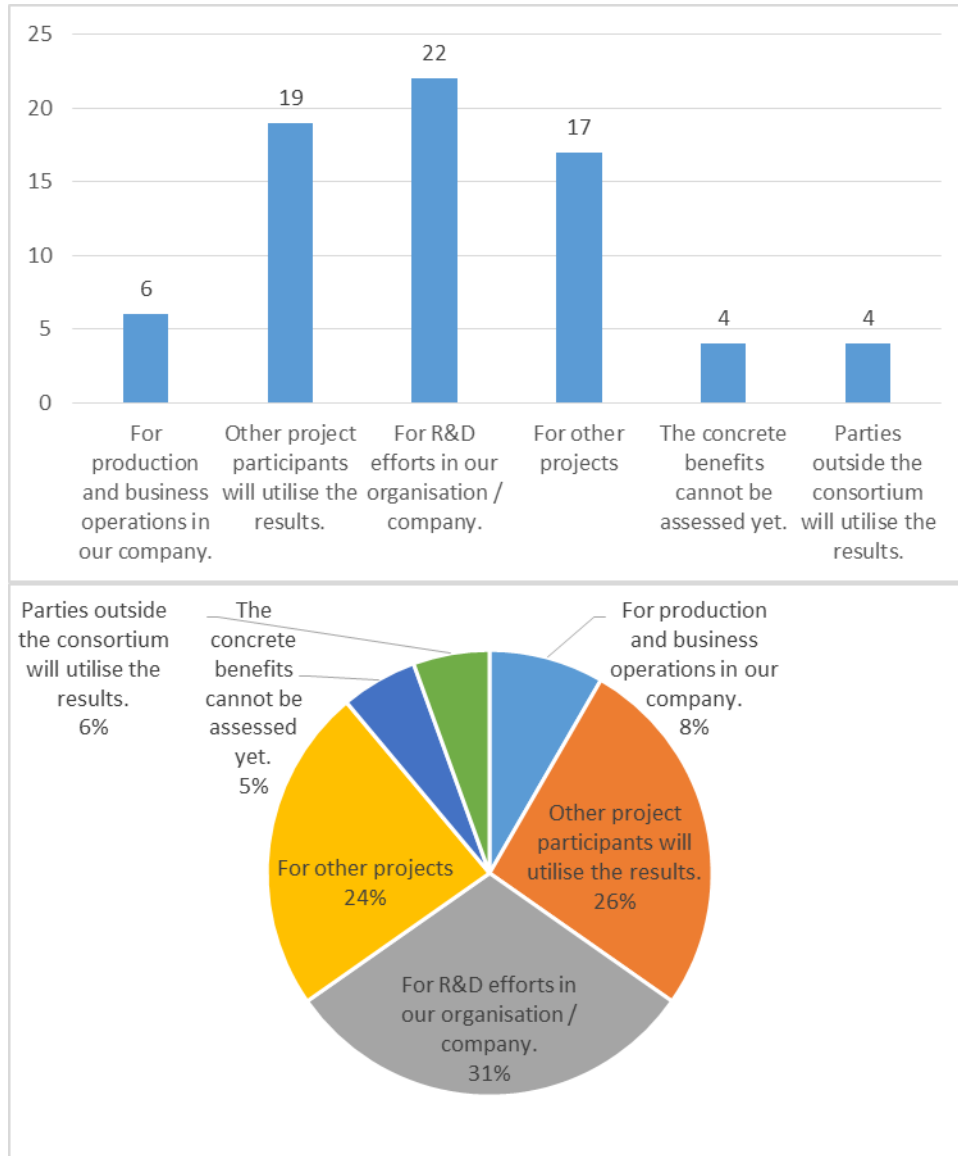


Most usually (47%) time frame for commercialisation is 2 to 5 years and in 23% of the answers respondents say either they have already started commercialisation during the project (3%) or will start in less than 2 years (20%).





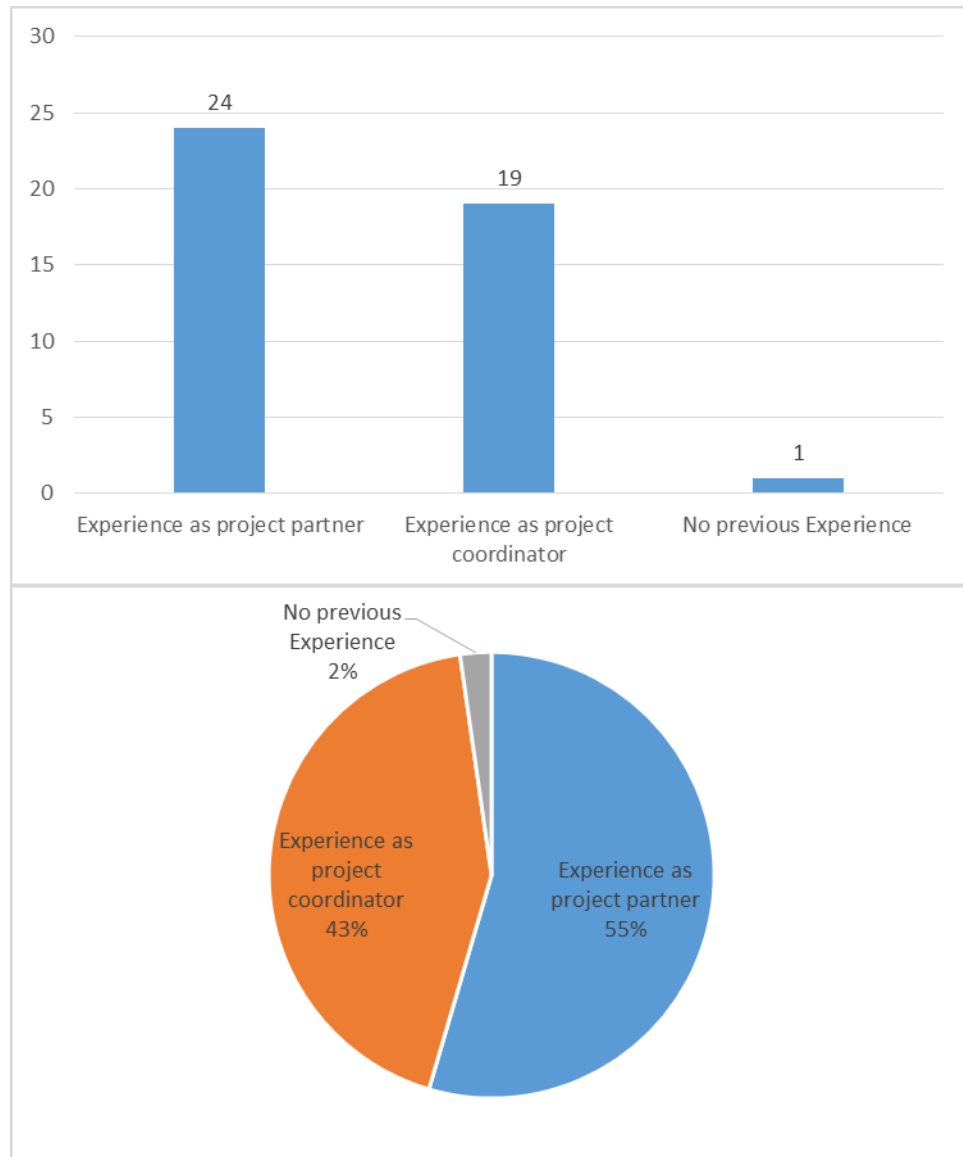
## Question 17: How will the research results of the project be utilised? Multiple answers possible



Most usually results will be utilised for R&D efforts in the organisation (31%), other project participants will utilise the results (26%) or they will be used for other projects (24%).

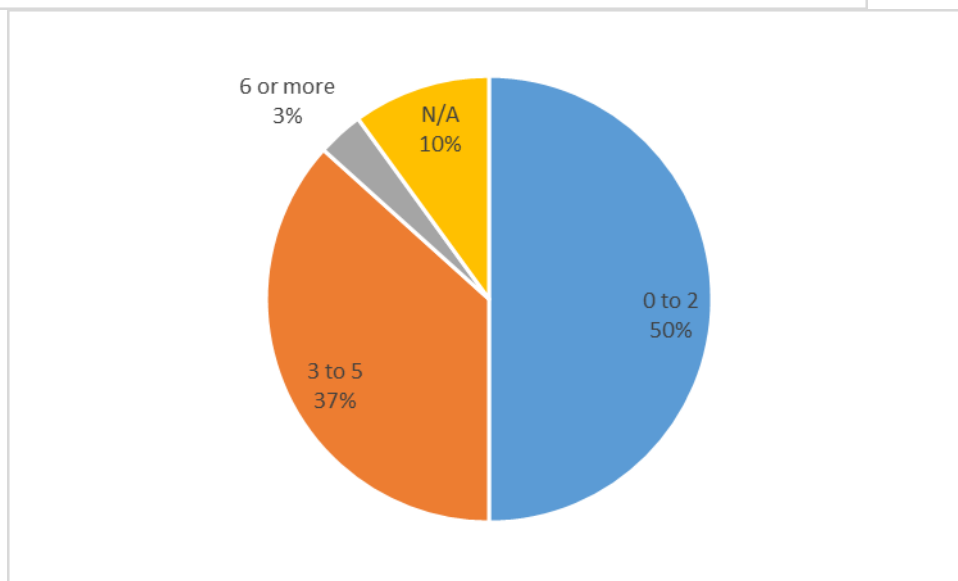
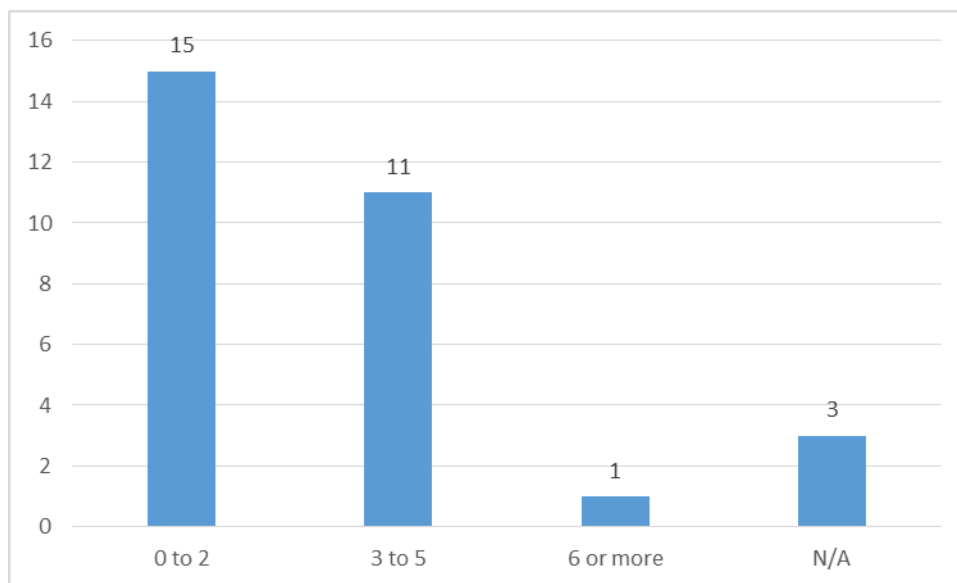
#### PART 4. TRANSNATIONAL BENEFIT

**Question 18: Please indicate previous experience of the company/organisation in transnational projects.**



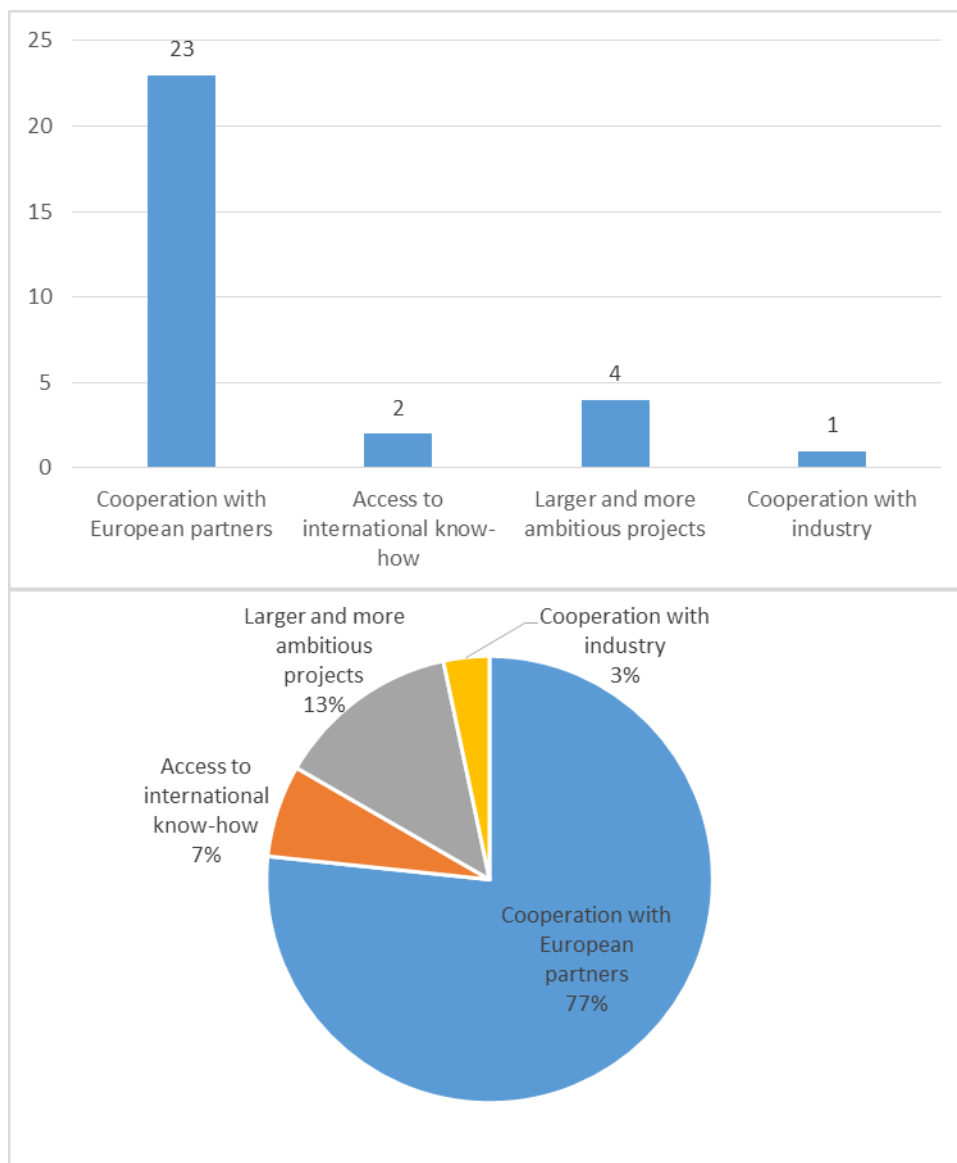
Most of the respondents had previous experience in transnational projects as project partner (55%) and 43% had previous experience as project coordinators. Only 1 respondent is newcomer to transnational cooperation.

**Question 19: Please indicate how many of the partners in the project are new (no previous cooperation in projects with the company department/research unit)**



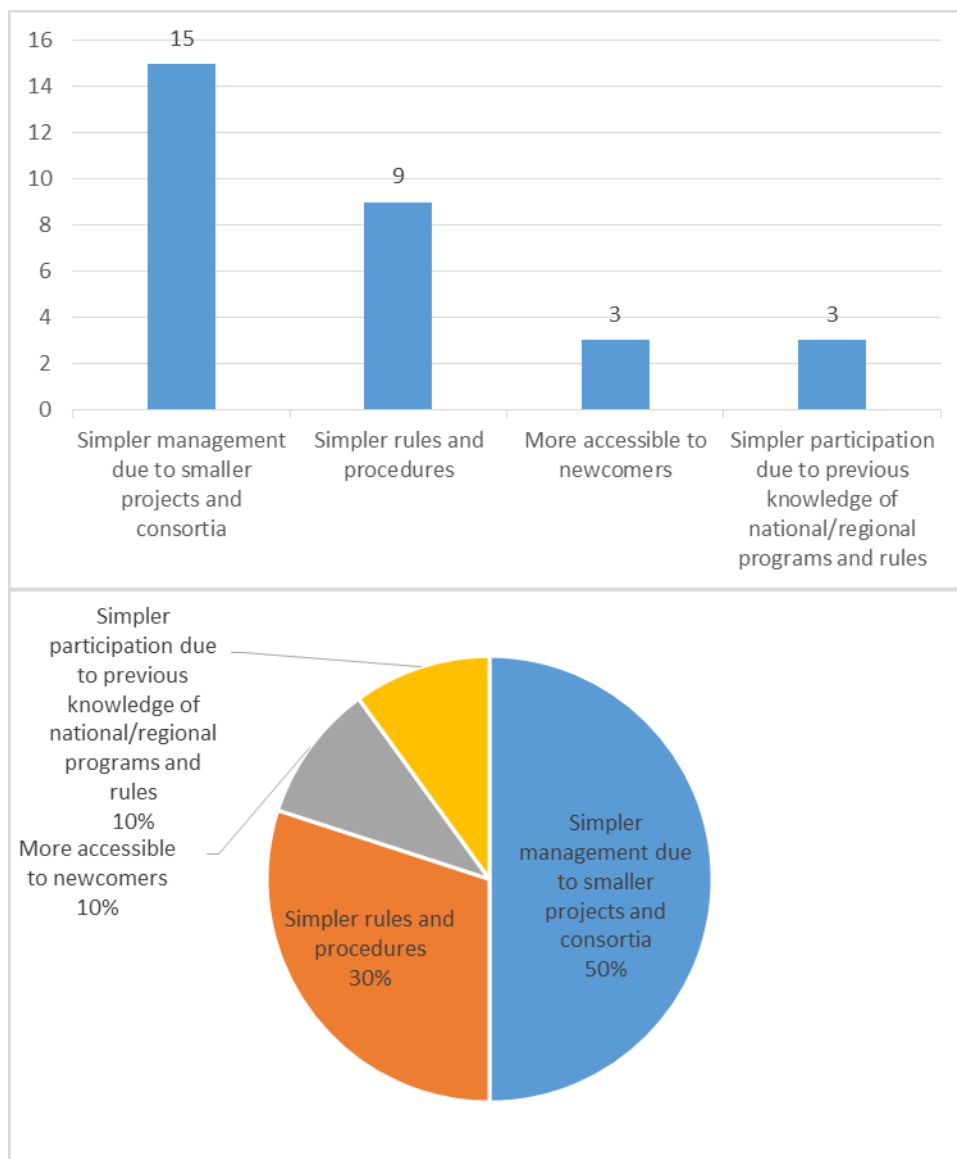
In most of the cases (50% of the answers) a maximum of 2 partners was new.

**Question 20: What is the main added value of the ERA-Net project with respect to national funding?**



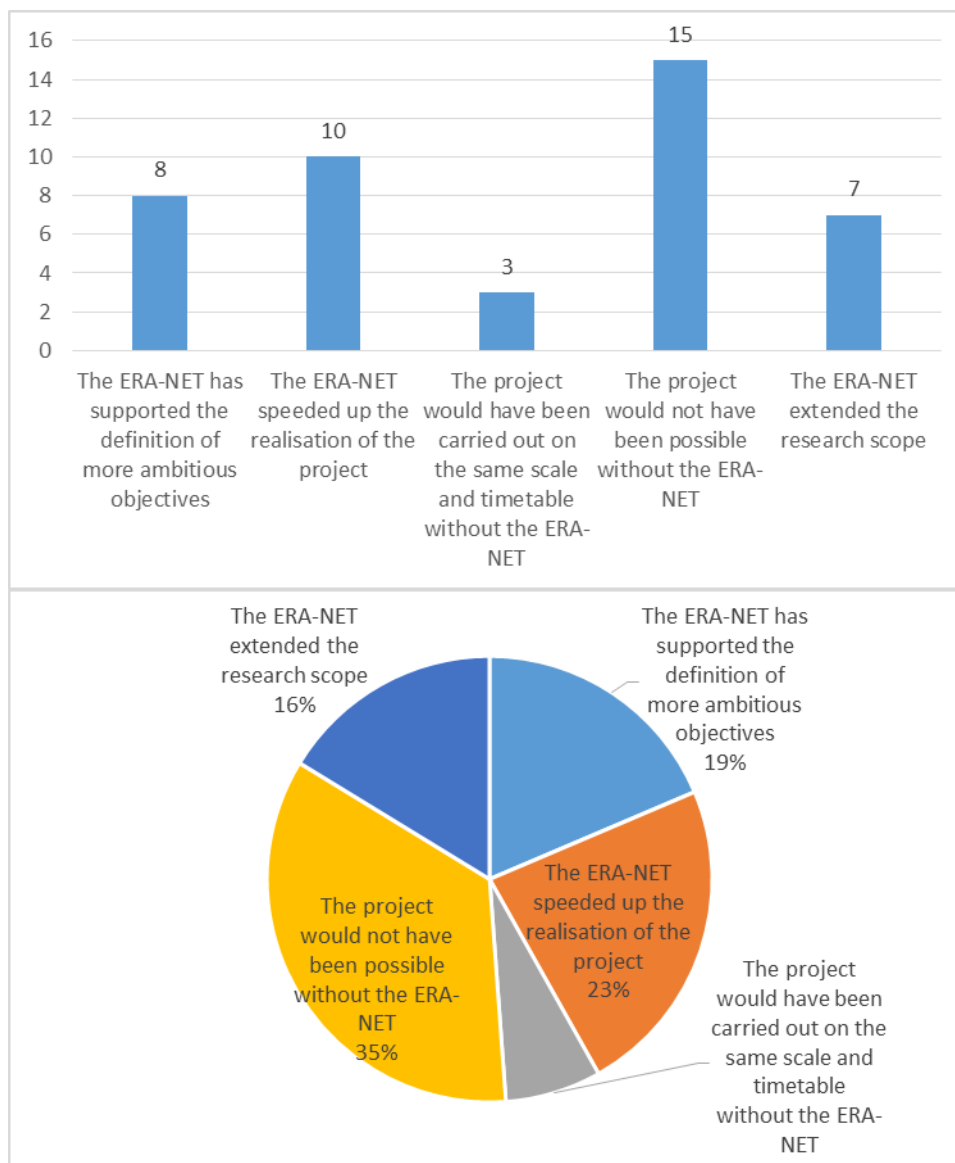
The main added value of ERA-NET with respect to national funding for respondents is cooperation with European partners (77%).

**Question 21: What is the main added value of the ERA-Net project with respect to other transnational funding?**



The main added value of the ERA-NET project with respect to other transnational funding are a simpler management due to smaller projects and consortia (50% of respondents), simpler rules and procedures (30% of respondents).

**Question 22: What is the relevance of the ERA-NET programme / transnational call to realization of the co-operation project?**



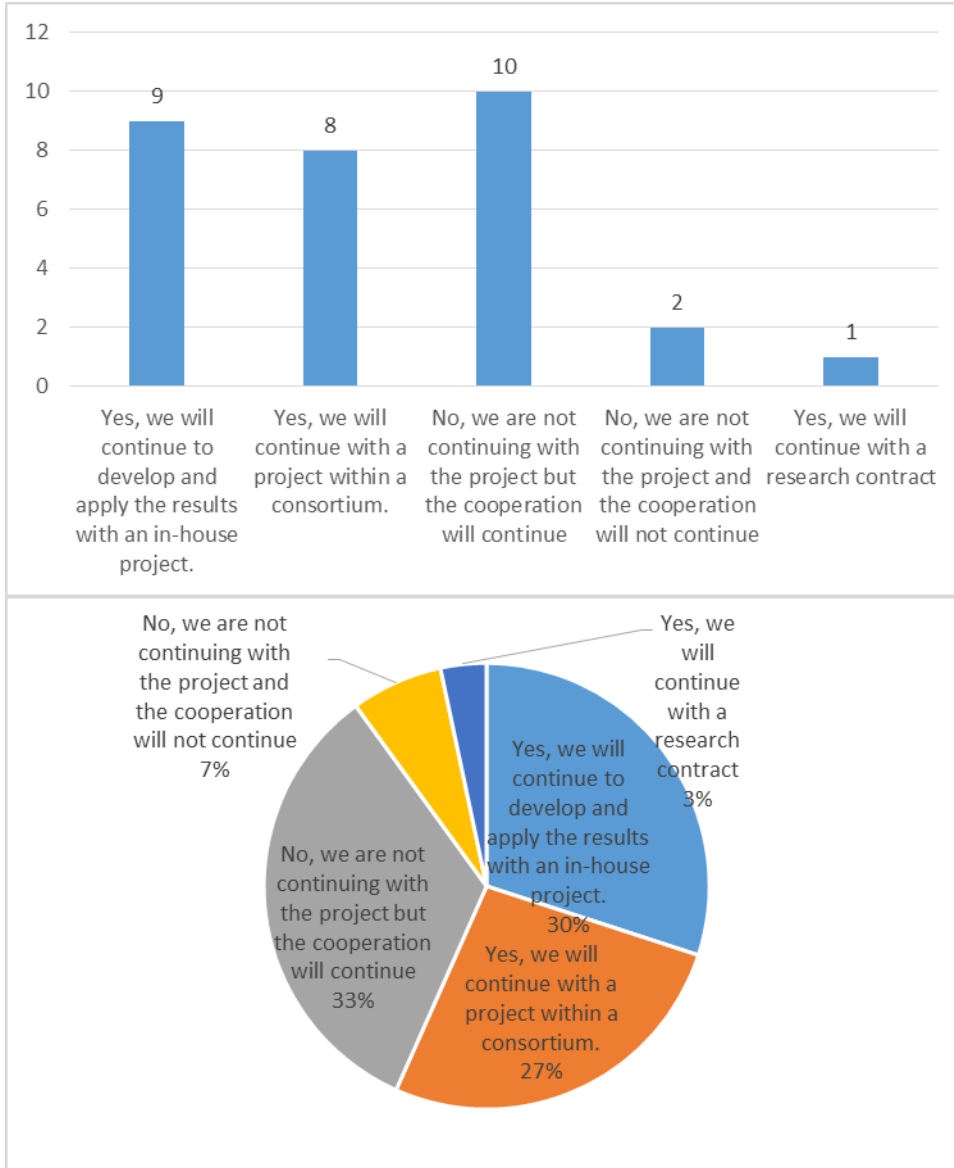
For 35% of the respondents the project would not have been possible without the ERA-NET. Respondents find as main advantages for the project that the ERA-NET speeded up the realization of the project (23%) or that the ERA-NET supported the definition of more ambitious objectives (19%).

**Question 23: Did you experience any problems in the project in terms of the following matters? (Please use a scale of 1-5; 1=no problems at all, 5=many problems)**

Did you experience any problems in the project in terms	Commitment of partners to the projec	Instability of consortium, change of partners	too many participants	Creating concrete co-operation	Partners had different objectives Change of	Objectives that were too ambitious and unrealistic	Reliability of partners in carrying out subtasks	Varying competence levels among the partners	Cultural differences in communication and working	Varying technical solutions and standards	Insufficient financial resources	Ownership and sharing of outcome	Rearrangements in our organisation	A prolonged project and the problems resulting from it	Delayed funding	Other, please explain
Total	47	47	32	48	50	60	49	47	41	43	70	41	38	39	58	40
Average	1,57	1,57	1,07	1,60	1,67	2,00	1,63	1,57	1,37	1,43	2,33	1,37	1,27	1,30	1,93	1,33
Most freque	1	1	1	1	1	2	1	1	1	1	1	1	1	1	1	1

Average for problems encountered stands between 1 and 2,3. In this context the main aspects were respondents have encountered some problems were: objectives were too ambitious and unrealistic, insufficient financial resources and delayed funding.

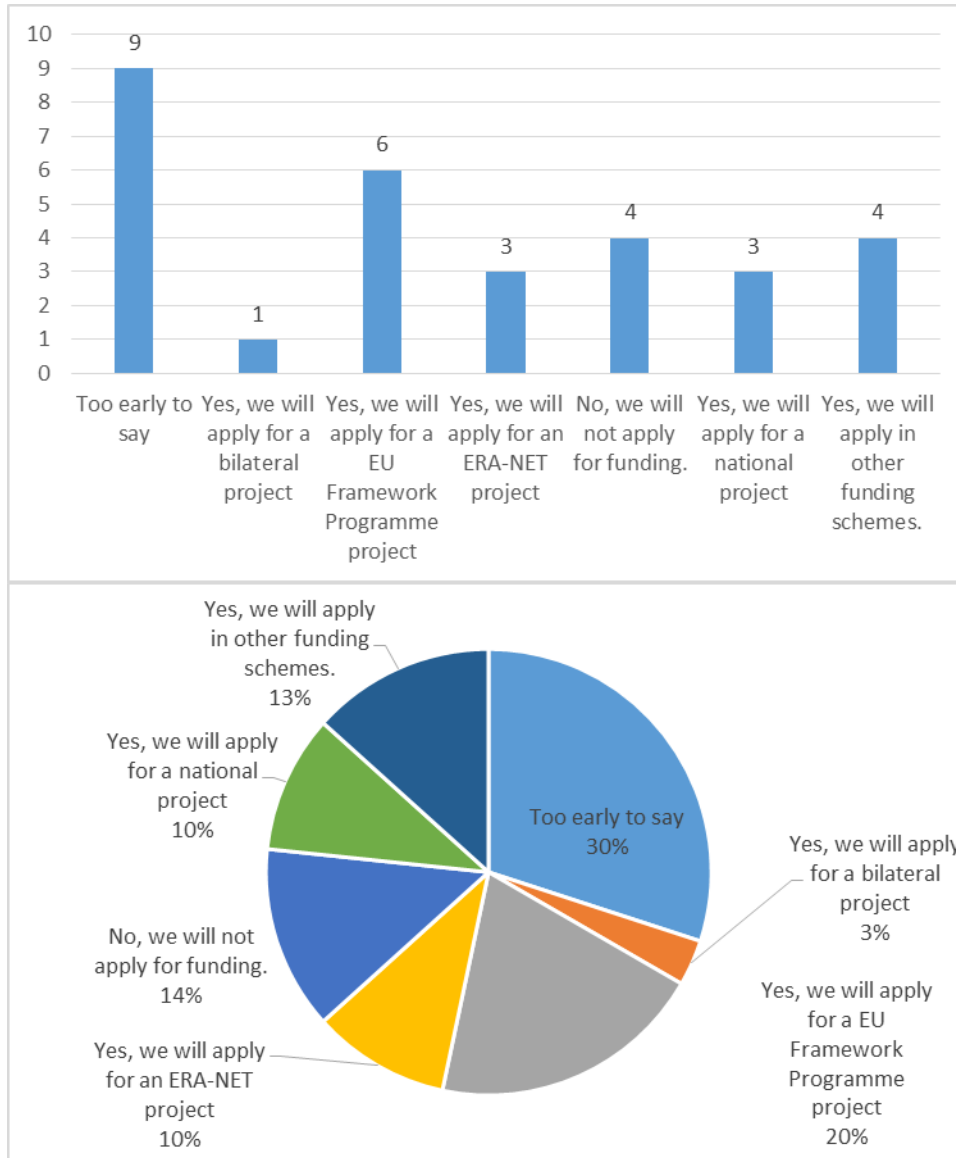
**Question 24: Will the project /cooperation continue?**



In 60% of the cases the project will continue and only in 7% of the responses neither the project nor the cooperation will continue. Most usually (30%) respondents will continue with an in-house project.



**Question 25: Will you apply for funding for a follow-up project?**



56% of respondents will apply for funding, most usually for an EU FP project (20%) or another ERA-NET project (10%) a national project (10%) or other funding schemes (13%).



### 3.3. Conclusions

- Most commonly the results of the projects are not products or services but rather processes and methods.
- The total number of patent applications or invention notifications is considerable, taking into account that projects have just finished. However, a relevant number of projects that have not resulted in patent applications or invention notifications (over 65%). A higher involvement of industry could help ameliorate this outcome and the exploitation of research results.
- The number of publications in peer reviewed scientific journals and the number of oral presentations is relatively high, indicating a good dissemination of results and a good scientific level of the projects. In addition to this, more than half of the publications are joint publications as a result of the cooperation among project partners.
- According to the impact on R&D expenses and personnel a good number of projects have favourable prospects for business and commercial exploitation potential. For the majority of respondents the effect on turnover is not available or not applicable.
- A significant number of the projects (40%) have plans to commercialise their results as new products, services, technologies or process, time frame for commercialisation is most usually 2 to 5 years and 3 % have already started commercialisation.
- Projects have had a positive impact on capacity building, as reflected in the effect on new business opportunities and access to know –how.
- Most of the respondents were not newcomers to transnational cooperation when they participated in the ERA-NET project.
- For the majority of respondents added value of ERA-NET with respect to national funding is cooperation with European partners and with respect to other transnational funding most usually respondents answer simpler management due to smaller projects and consortia.
- For more than one third of respondents the project was only possible with the ERA-NET.
- For a majority of respondents the project will continue and most usually it will continue with an in-house project.
- The majority of respondents will apply for a follow-up project, most usually for an EU FP project.