



Briefing for Post-Project Evaluation Framework



1 September 2014



Agenda

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II

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I. Background and Objectives



Background and Objectives

- † To gauge the effectiveness of ITF in supporting industry needs.
- † To track how far the R&D deliverables are realised/commercialised.
- † Structured and comprehensive evaluation system to assess the outcome of ITF-funded projects.



Background and Objectives

Shortcomings of Existing Framework

- † Comments and feedbacks collected are one-off: 6 months after project completion only, no further tracking and following-up in a systematic manner.
- † Survey feedbacks are in narrative form, rendering them difficult to analyse and generate report for management.



II. Merits of the New Evaluation Framework



Merits of the New Evaluation Framework

- † More comprehensive assessment on the achievement of project milestones/deliverables and performance of the Project Coordinator and the project team in a structured manner.
- † More extensive coverage on the efforts in dissemination and transfer of project deliverables and technologies up to 5 years after project completion.
- † Quantitative feedback on the adoption of project results by the industry where applicable.



III. New Post-Project Evaluation Form and Workflow for Handling



New Post-Project Evaluation Form

- † Part A (Key Project Details) – automatically filled by ITCFAS.
- † Part B (Performance Assessment) – **jointly assessed** by subject officer of ITC's technical team and the relevant R&D Centre's Technology Committee (TC) or its delegated authority (e.g. Technology Review (TR) Panel) **6 months after project completion.**



New Post-Project Evaluation Form

- † Detailed arrangements to be agreed between ITC, R&D Centres and TC/TR Panel.
- † Part B (Performance Assessment) – the evaluation form will be jointly signed/endorsed by TC/TR Panel Chairman, CEO of R&D Centres and ITC representative.



New Post-Project Evaluation Form

- † Part C (Report on Progress of Commercialisation/Technology Transfer Activities) – **jointly assessed** by subject officer of ITC's technical team and the relevant R&D Centre's Technology Committee (TC) or its delegated authority (e.g. Technology Review (TR) Panel) **in 2 years and 5 years after project completion** (reporting timeframe may be adjusted on case-by-case basis).

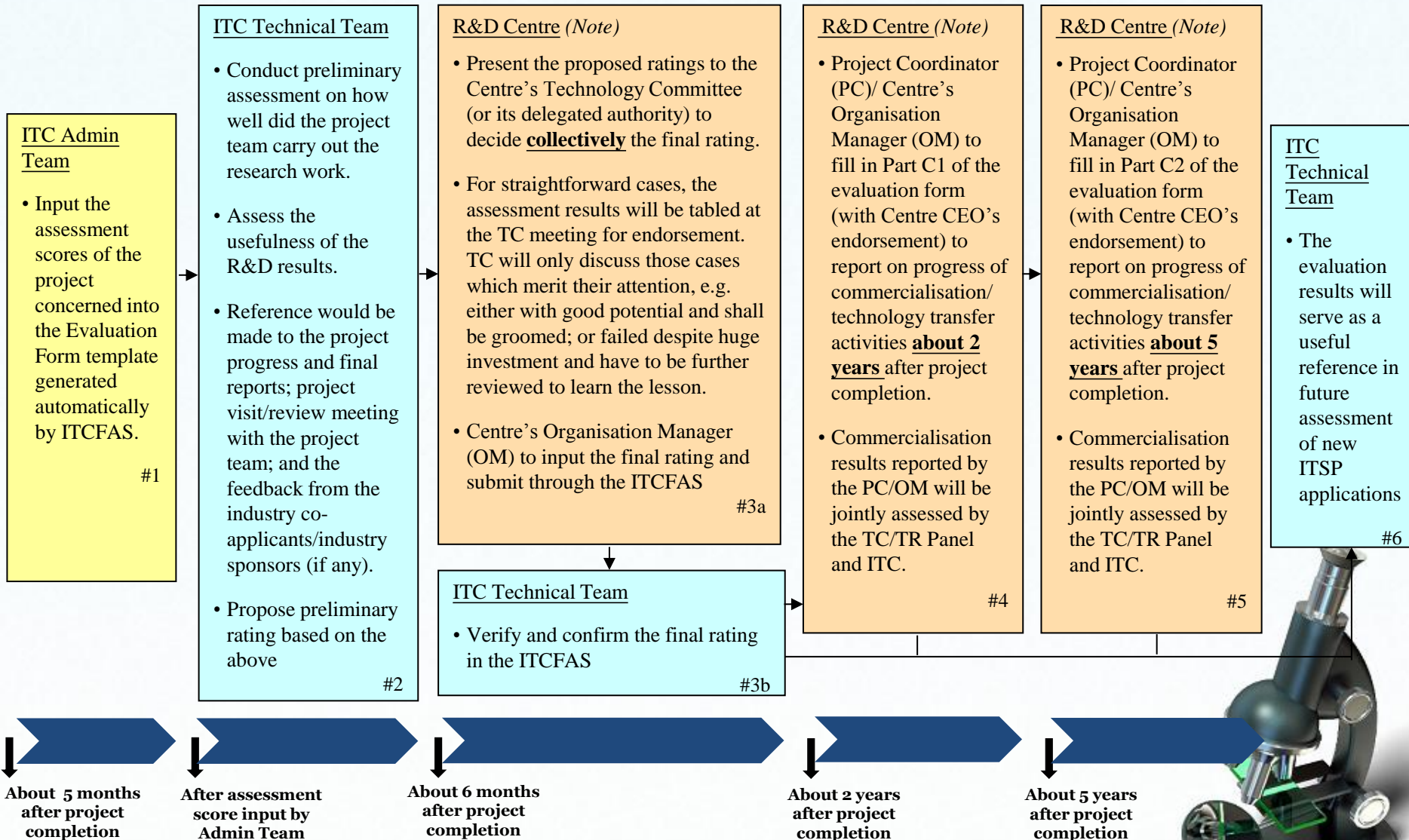


New Post-Project Evaluation Form

- ↑ ITCFAS will automatically bring up the case when due for assessment.



Workflow for Handling Post-Project Evaluation Form for Projects Undertaken by R&D Centres (example)



(Note): Detailed workflow of individual Centres may slightly differ subject to discussion with TC/TR Panel/ITC.



IV. Post-Project Evaluation Form (Sample)



New Post-Project Evaluation Form (Sample)

Evaluation form for ITF project undertaken by R&D Centres

Part A - Key Project Details

(to be completed 6 months after project completion)

1. Project Title: LTE Release 9 Evolution and Performance Enhancement (Ref: No: AR1/118CP)

Automotive Parts and Accessory Systems R&D Centre (APAS)
 Hong Kong Applied Science and Technology Research Institute (ASTRI)

2. R&D Centre Hong Kong R&D Centre for Logistics and Supply Chain Management Enabling Technologies (LSCM)
 Nano and Advanced Materials Institute (NAMI)
 Hong Kong Research Institute of Textiles and Apparel (HKRITA)

3. Industry Co-Applicant *(if applicable)* _____

4. Project Coordinator Eric Kong-Chau (Eng) 曾江州 (Chi) TSANG

5. Type of Project Platform Project Collaborative Project Seed Project

6. Total Project Cost (HK\$): 20,333,319.000
 Amount of Industry Sponsorship (HK\$): 108,740.000
 Amount of Other Sources of Financial Contribution (HK\$): 0.000
 Amount of ITF Funding Sought (HK\$): 15,224,579.000

7. Project Schedule:
 Original Commencement Date (dd/mm/yyyy): 26/7/2011
 Revised Commencement Date (dd/mm/yyyy): 26/7/2011
 Original Completion Date (dd/mm/yyyy): 25/1/2013



New Post-Project Evaluation Form (Sample)

Revised/Actual Completion Date (dd/mm/yyyy):

25/1/2013

Number of Months Delayed (if any):

0

8. Project Summary

(A brief summary of the R&D technology achievement)

In this full project, LTE Rel-9 baseband core technologies for both terminal and femto BTS would be developed. Key areas in LTE TDD/FDD for terminal and femto BTS such as enhanced downlink MIMO (Dual-layer beamforming or 8x2 MIMO), Reliable RSRP measurement that can improve terminal handover performance will be explored. Physical layer reference design that supports LTE Rel-9 TDD/FDD for terminal and femto BTS will be delivered as the achievements of this project.

This project will have significant benefits to the local industry. LTE has been widely accepted as next generation worldwide cellular standard. Today LTE trial networks have been deployed worldwide based on LTE Rel-8 specifications. It's expected that commercial deployment of LTE network will be started from year 2012. It will be based on LTE Rel-9 specifications. It's expected that by the end of year 2015, there will be more than 300 million LTE users worldwide.

Today, ASTRI has become a global leading provider for LTE Rel-8 core technologies for demonstration and trial purposes. This project will deliver world-leading LTE Rel-9 baseband core for both terminal and femto cell. It will keep ASTRI/Hong Kong's leading position in LTE area and create a competitive edge for local design houses, equipment vendors and OEM/ODM manufacturers and help them to have an excellent position in LTE market.

9. Project Deliverables

(A brief summary of the project deliverables developed)

The project deliverables are listed in the following.

- Physical Layer Simulation Platform for LTE Rel-9 TDD/FDD Terminal and Femto BTS
- Physical Layer Reference Design for LTE Rel-9 TDD/FDD Terminal Baseband Core
- Physical Layer Reference Design for LTE Rel-9 TDD/FDD Femto BTS Baseband Core.
- At least two patents

10. Impact to the Community [e.g. Item 4, Part V of application form]

(A brief summary on how the project can bring social benefit)



New Post-Project Evaluation Form (Sample)

11. Marks obtained in Original Assessment

Components (weightings for Platform & Collaborative Projects/Seed Projects)	Markings
(a) Innovation and Technology Components (20%/36%)	This project was approved before the marking scheme established.
(b) Technical Capability (20%/32%)	
(c) Financial Considerations (16%/8%)	
(d) Holistic Plan to Realisation/Commercialisation (16%/4%)	
(e) Relevance with Government Policies or in Overall Interest of the Community (12%/8%)	
(f) IP Rights and Benefit Sharing (8%/4%)	
(g) Management Capability (8%/8%)	
Total (100%):	Nil

12. Project Status: Completed Terminated on (dd/mm/yyyy):

Completion of Part B is required even if the project is terminated.



New Post-Project Evaluation Form (Sample)

Part B – Performance Assessment

(to be jointly assessed by Technology Committee (TC) / Technology Review (TR) Panel / TSP Panel (for APAS) and TTC about 6 months after project completion)

	Extremel y satisfied/ likely^	A	B	C	D	E	Extremely disappointed / unlikely
I. Innovation and Technology Component:							
Q1 How well do you think the project results have achieved in the following areas (where applicable)?							Not Applicable
➢ Technology breakthrough		<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
➢ Improve production capability		<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
➢ Improve product quality		<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
➢ Reduce production/product cost		<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
➢ Increase competitiveness		<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
➢ Attract investment from private sector locally/abroad		<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
➢ Others (please specify: _____)		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
II. Delivery of Project Outcomes/Results with Technical Capability							
Q2 How well did the project team carry out the research and deliver the project results as proposed in the R&D work plan?		<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
III. Financial Considerations							
Q3 How effective was the project team in making use of the available financial resources and managing the budget?		<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Q4 How well did the project team secure the		<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

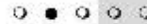


New Post-Project Evaluation Form (Sample)

industry sponsorship as pledged (*jointly completed by Technical Team and Admin Team*)?

IV. Realisation/Commercialisation

Q5 How likely do you think the industry will adopt or license the technology?



If rated 4 or 5, please specify reasons:

^AItem falling short of expectation should be rated 'D' or 'E'. Please refer to note on rating scale on page 5



New Post-Project Evaluation Form (Sample)

	<i>Extremel y satisfied/ likely^</i>	A	B	C	D	E	<i>Extremely disappointed/ unlikely</i>
V. Impact to the Community							Not Applicable
Q6	How well did the project support major Government policies (where applicable)?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Q7	How likely will the project results bring benefits to the community?	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Q8	How well did the project provide opportunities for training of local scientific personnel?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Q9	How well do you think the project results will create R&D culture in the industry?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
VI. IP Rights and Benefit Sharing							
Q10	How likely is/are the IP's generated be patentable?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Q11	How satisfactory is the progress of patent application (where applicable)?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q12	How likely will the IP benefits be generated?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
VII. Project Management							
Q13	How well did the Project Coordinator manage the project as a whole?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Q14	How well did the project team comply with the reporting requirements (e.g. submit the progress/final reports in good time and in good quality) (jointly completed by Technical Team and Admin Team)?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Q15	Apart from the regular reporting requirements, how well did the Project Coordinator keep the TC/TR Panel	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	



New Post-Project Evaluation Form (Sample)

informed on the progress or results of the project?

Overall Performance

Q16 How satisfied are you with the overall performance of:

> *the Project Coordinator*

Q17 How satisfied are you with the overall performance of:

> *the project results*



New Post-Project Evaluation Form (Sample)

Additional comments/remarks on performance (*compulsory if rating for Q16 or Q17 is D or E*):

Note to rating scale:

- A **Outstanding.** A most impressive performance which is significantly above expectation.
- B **Generally a very impressive performance** which exceeds expectation
- C **Performance fully meets expectation.**
- D **Performance falls short of but close to fully meeting expectations,** with some room for improvement.
- E **Performance falls seriously short of expectation.**

Jointly Assessed by:

- Technology Committee (TC) Innovation and Technology
 Technology Review Panel (TR Panel) Commission
(Note: not applicable to APAS R&D Centre) *(representative on TC / TR Panel / APAS Subgroup of ITSP Panel)*

Name of TC/TR

Name of ITC

Panel Chairman:

representative:

Post Title:

Signed:

Signed:



New Post-Project Evaluation Form (Sample)

Date of Assessment: _____ *Date of Assessment:* _____

Endorsed by CEO of R&D Centre:

Name: _____

Signed: _____

Date: _____



New Post-Project Evaluation Form (Sample)

Part C1 - Report on Progress of Commercialisation/Technology Transfer Activities

*(to be jointly assessed by Technology Committee (TC) / Technology Review (TR) Panel / ITSP Panel (for APAS) and TTC in **Year 5** after project completion based on the progress of commercialisation/technology transfer activities reported by the Project Coordinator below)*

1. Comments/remarks on performance of lead applicant on the commercialisation/technology transfer activities:

2. Do you think that the project has potential and an additional report should be submitted again for further assessment?

- Yes (to be assessed again in | ___ | (normally 5 years after project completion))
- No (no further assessment is required)

Jointly Assessed by:

- Technology Committee (TC) Innovation and Technology
 Technology Review Panel (TR Panel) Commission
(Note: not applicable to APAS R&D Centre) (representative on TC / TR Panel / APAS Subgroup of ITSP Panel)



New Post-Project Evaluation Form (Sample)

Name of TC/TR

Panel Chairman:

Signed:

Date of Assessment:

Name of ITC

representative:

Post Title:

Signed:

Date of Assessment:



New Post-Project Evaluation Form (Sample)

(To be filled in the Project Coordinator / R&D Centre 2 years after project completion)*

Q1. How much income has been received during the project period and after the project completion through the commercialisation of the project results (where applicable)?

	<i>During the project period</i> HK\$*	<i>After project end</i> HK\$
<i>Licensing/sale of technology</i>	_____	_____
<i>Royalty</i>	_____	_____
<i>Sales of sample/prototype</i>	_____	_____
<i>Proceed from customization/consultancy services</i>	_____	_____
<i>Proceed from contract research/further development of project results</i>	_____	_____
<i>Use of technology in production of goods for sales/provision of services</i>	_____	_____
<i>Intellectual Property Rights (IPRs) (e.g. trade mark, copyright, know-how, etc.)</i>	_____	_____
<i>Other technology transfer activities (Please specify: _____)</i>	_____	_____
Total:	_____	_____

* As recorded in the final report of the project in question.

Q2. Is there any spin-off company established to commercialise the project results?

Yes No

If yes, please provide details:

Q3. Is there any joint venture or start-ups (e.g. company set up by research staff) established to commercialise the project results?

Yes No



New Post-Project Evaluation Form (Sample)

If yes, please provide details:

** In case the Project Coordinator of the original project is no longer employed by the R&D Centre, an authorised representative of the R&D Centre should complete the report.*

Q4. How many MDU/LOIs have been signed?

Q5. Are there any products/software/services developed from the project results which have been rolled out in the market?

Yes No

If yes, please provide details:

Q6. How many IPRs have been generated from the project results?

Number

Patents filed

Patents granted

Copyrights (no matter registered or not)

Trademarks/designs registered

Others (please specify: _____)

Q7. How many technology transfer activities have been conducted?

Number

Academic/professional publications issued

Media interviews/press conferences conducted

Workshops/seminars organized

Free-of-charge consultancy services provided to the industry

Others (please specify: _____)



New Post-Project Evaluation Form (Sample)

Q8. How many training opportunities/jobs have been created in relation to commercialisation of project results?

Q9. Is there any science and technology/industry award granted for the results of the project?

Yes No

If yes, please provide details:

Q10. Apart from serving the industry, have the project results dovetailed Government policies or brought benefit to the community at large?

Yes No

If yes, please provide information on the contribution to the overall interest of the community (e.g. related Government initiatives, public sector trial/adoption, etc.)

Q11. Please provide details/experience of successful commercialisation/realisation of project results (e.g. how did the project results bring benefits to the company/organisation after adoption the technologies developed from the project).

Completed by the
Project
Coordinator*: _____

Endorsed by CEO of
R&D Centre: _____



New Post-Project Evaluation Form (Sample)

Name: _____ Name: _____
Signed: _____ Signed: _____
Date: _____ Date: _____

** This form may be completed by an authorized/designated person on behalf of the R&D Centre if the Project Coordinator has left the organisation.*



New Post-Project Evaluation Form (Sample)

Part C2 - Report on Progress of Commercialisation/Technology Transfer Activities

(to be jointly assessed by Technology Committee (TC) / Technology Review (TR) Panel / ITSP Panel (for APAS) and TIC in [] years (or according to the schedule as agreed) after project completion based on the progress of commercialisation/technology transfer activities reported by the Project Coordinator below)

1. Comments/remarks on performance of lead applicant on the commercialisation/technology transfer activities:

2. Do you think that the project has potential and an additional report should be submitted again for further assessment?

- Yes (to be assessed again in [] years after project completion)
 No (no further assessment is required)

Jointly Assessed by:

- Technology Committee (TC) Innovation and Technology
 Technology Review Panel (TR Panel) Commission

(Note: not applicable to APAS R&D Centre) *(representative on TC / TR Panel / APAS Subgroup of ITSP Panel)*



New Post-Project Evaluation Form (Sample)

Name of TC/TR

Panel Chairman:

Signed:

Date of Assessment:

Name of ITC

representative:

Post Title:

Signed:

Date of Assessment:



New Post-Project Evaluation Form (Sample)

(To be filled in by the Project Coordinator / R&D Centre 5 years (or according to the schedule as agreed by TC/TR Panel and ITC) after project completion)*

Q1. How much income has been received during the project period and after the project completion through the commercialisation of the project results (where applicable)?

	<i>During the project period</i> HK\$*	<i>After project end</i> HK\$
<i>Licensing/sale of technology</i>	_____	_____
<i>Royalty</i>	_____	_____
<i>Sales of sample/prototype</i>	_____	_____
<i>Proceed from customization/consultancy services</i>	_____	_____
<i>Proceed from contract research/further development of project results</i>	_____	_____
<i>Use of technology in production of goods for sales/provision of services</i>	_____	_____
<i>Intellectual Property Rights (IPRs) (e.g. trade mark, copyright, know-how, etc.)</i>	_____	_____
<i>Other technology transfer activities (Please specify: _____)</i>	_____	_____
Total:	_____	_____

* As recorded in the final report of the project in question.

Q2. Is there any spin-off company established to commercialise the project results?

Yes No

If yes, please provide details:

Q3. Is there any joint venture or start-ups (e.g. company set up by research staff) established to commercialise the project results?

Yes No



New Post-Project Evaluation Form (Sample)

If yes, please provide details:

** In case the Project Coordinator of the original project is no longer employed by the R&D Centre, an authorised representative of the R&D Centre should complete the report.*

Q4. How many MOU/LOIs have been signed?

Q5. Are there any products/software/services developed from the project results which have been rolled out in the market?

Yes No

If yes, please provide details:

Q6. How many IPRs have been generated from the project results?

Number

Patents filed _____
Patents granted _____
Copyrights (no matter registered or not) _____
Trademarks/designs registered _____
Others (please specify: _____) _____

Q7. How many technology transfer activities have been conducted?

Number

Academic/professional publications issued _____
Media interviews/press conferences conducted _____
Workshops/seminars organized _____
Free-of-charge consultancy services provided to the industry _____
Others (please specify: _____) _____



New Post-Project Evaluation Form (Sample)

Q8. How many training opportunities/jobs have been created in relation to commercialisation of project results?

Q9. Is there any science and technology/industry award granted for the results of the project?

Yes No

If yes, please provide details:

Q10. Apart from serving the industry, have the project results dovetailed Government policies or brought benefit to the community at large?

Yes No

If yes, please provide information on the contribution to the overall interest of the community (e.g. related Government initiatives, public sector trial/adoption, etc.)

Q11. Please provide details/experience of successful commercialisation/realisation of project results (e.g. how did the project results bring benefits to the company/organisation after adoption the technologies developed from the project).

Completed by the
Project
Coordinator*: _____

Endorsed by CEO of
R&D Centre: _____



New Post-Project Evaluation Form (Sample)

Name: _____ Name: _____
Signed: _____ Signed: _____
Date: _____ Date: _____

** This form may be completed by an authorized/designated person on behalf of the R&D Centre if the Project Coordinator has left the organisation.*



V. Q & A Session

