

# Briefing for Post-Project Evaluation Framework



# Agenda

Background and Objectives

Merits of the New Evaluation Framework

 New Post-Project Evaluation Form and Workflow for Handling

Post-Project Evaluation Form (Sample)

• Q & A Session

# 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.
- T 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.
- T 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 <u>up to 5</u> 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



- ↑ 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.

- ↑ 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.

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).

T 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)

ITC Technical Team

- Conduct preliminary assessment on how well did the project team carry out the research work.
- Assess the usefulness of the R&D results.
- Reference would be made to the project progress and final reports; project visit/review meeting with the project team; and the feedback from the industry coapplicants/industry sponsors (if any).
- Propose preliminary rating based on the above

R&D Centre (Note)

- Present the proposed ratings to the Centre's Technology Committee (or its delegated authority) to decide collectively the final rating.
- For straightforward cases, the assessment results will be tabled at the TC meeting for endorsement. TC will only discuss those cases which merit their attention, e.g. either with good potential and shall be groomed; or failed despite huge investment and have to be further reviewed to learn the lesson.
- Centre's Organisation Manager (OM) to input the final rating and submit through the ITCFAS

#3a

R&D Centre (Note)

- Project Coordinator (PC)/ Centre's Organisation Manager (OM) to fill in Part C1 of the evaluation form (with Centre CEO's endorsement) to report on progress of commercialisation/ technology transfer activities about 2 years after project completion.
- Commercialisation results reported by the PC/OM will be jointly assessed by the TC/TR Panel and ITC.

#4

R&D Centre (Note)

- Project Coordinator (PC)/ Centre's Organisation Manager (OM) to fill in Part C2 of the evaluation form (with Centre CEO's endorsement) to report on progress of commercialisation/ technology transfer activities about 5 vears after project completion.
- Commercialisation results reported by the PC/OM will be jointly assessed by the TC/TR Panel and ITC.

**ITC Technical** Team

• The evaluation results will serve as a useful reference in future assessment of new **ITSP** 

applications

#### ITC Technical Team

• Verify and confirm the final rating in the ITCFAS

#3b

#5

#2

About 6 months after project completion

About 2 years after project completion

About 5 years after project completion

About 5 months after project completion

ITC Admin

• Input the

project

assessment

scores of the

concerned into

the Evaluation

Form template

automatically

by ITCFAS.

#1

generated

Team

After assessment score input by **Admin Team** 

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



#### Evaluation form for ITF project undertaken by R&D Centres

(10)	be completed	d 6 ma	uths after project completion)		
1	Project Title		LTE Release 9 Evolution and Perfo	ART/118	
			Automotive Parts and Accessor	y Systems I	R&D Centre (APAS)
		Ø	Hong Kong Applied Science as (ASTRI)	d Technolo	gy Research Institute
2	R&D		Hong Keng R&D Centre fo	Legistics	and Supply Chair
	Centre		Management Enabling Technol	ogies (LSC	M)
			Nano and Advanced Materials	nstitute (N	AMD
			Hong Kong Research Instit (HKRITA)	ute of Te	stiles and Appare
3.	Industry				
	Co-Applican (if applicable		3 <del>4-</del>		
١.		e)	Eric Kong-Chau (Eng TSANG	) 曾江州	(Chi)
	()f'applicable	c) rdinator			
5.	() applicable Project Coor	e) rdinator	TSANG    Platform Project Collaborativ		2000
5.	Of applicable Project Coor Type of Project Total Project	e) rdinator ect (Cost (	TSANG    Platform Project Collaborativ		□ Seed Project
5.	Of applicable Project Coor Type of Project Total Project Amount of In	e/ rdinator ect (Cost () ndustry	TSANG  Platform Project Collaborativ  HKS):	: Project	Seed Project
5.	Of applicable Project Coor Type of Project Atmount of It Amount of O	cdinator ect Cost () ndustry Other Sc	TSANG	: Project	Seed Project 20,333,319,000 108,740,000
5.	Of applicable Project Coor Type of Project Atmount of It Amount of O	ect Cost () ndustry Other Sc TF Fun	TSANG  Platform Project Collaborativ  HKS):  Sponsorship (HK\$):  rurces of Financial Contribution (HI	: Project	Seed Project 20,333,319,000 108,740,000
5.	Of applicable Project Coor Type of Project Amount of It Amount of It Project Scho	ect Cost ( industry other So TF Fun dule:	TSANG  Platform Project Collaborativ  HKS):  Sponsorship (HK\$):  rurces of Financial Contribution (HI	: Project	Seed Project 20,333,319,000 108,740,000
1.	Of applicable Project Coor Type of Project Amount of D Amount of T Project Schoo Original C	ect Cost () ndustry Other Sc TF Fun dule:	TSANG  Platform Project Collaborativ  HKS): Sponsorship (HK\$): nurves of Financial Contribution (HI ding Sought (HK\$):	: Project	Seed Project 20,333,319,000 108,740,000 0,000 16,224,579,000



Revised/Actual Completion Date (dd/mm/yyyy).	25/1/2013	_
Sumber of Months Delayed (if any):	D	

#### 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 beautibrining 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 Rol-8 core technologies for demonstration and trial purposes. This project will deliver world-leading LTE Rol-9 hasehand core for both terminal and femto cell. It will keep ASTRINION Kong's leading position in LTE area and create a competitive edge for local design houses, equipment venders 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
  Com.
- Physical Layer Reference Design for LTB 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)



#### 11. Marks obtained in Original Assessment

Components (weightings for Platform & Collaborative Projects/Seed Projects)	Markings
(a) Innovation and Technology Components (20%/36%) (b) Technical Capability (20%/32%)	
(c) Financial Considerations (16%/8%) (d) Holistic Plan to Realisation/Commercialisation (16%/4%)	This project was approved before the marking
(c) Relevance with Government Policies or in Overall Interest of the Community (12%/8%)	scheme established.
F  IP Rights and Benefit Sharing (8%,4%)   G  Management Capability (8%,6%)	
Total (100%):	Nil

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

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



-	be fointly assessed by Technology Commit el / ITSP Panel (for APAS) and ITC about <u>6</u>	and the same of th						The same of the sa
		Extremel 3 satisfied/ likely^	A	8	c	D	E	Extremely disappointed / unlikely
L	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		O	•	O	0	ာ	0
	> Improve production capability		o	•	o	o	О	0
	> Improve product quality		0	•	0	0	ာ	ပ
	> Reduce production/product cost		o	0	•	0	0	0
	> Increase competitiveness		o	•	0	o	0	0
	> Attract investment from private sector locally/abroad		•	O	0	0	O	o
	> Others (please specify:)		o	O	0	0	0	o
П.	Delivery of Project Outcomes/Results with Te	chnical Cap	pabil	ity				
Q2	How well did the project team carry out the research and deliver the project results as proposed in the R&D work plan?		0	•	0	0	0	
III.	Financial Considerations							
Q3	How effective was the project team in making use of the available financial resources and managing the budget?		0	•	o	0	0	
04	How well did the project team secure the			0	0	o	0	



industry sponsorship as pledged (fointly:
completed by Technical Team and Admin
Team)?

IV. Realisation/Commercialisation

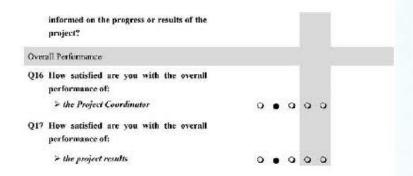
Q5 How likely do you think the industry will
adopt or license the technology?
If rated 4 or 5, please specify reasons:

Altern folling short of expectation should be rated 'O' or 'E'. Please refer to note on rating
scale on page 5



		Extremel  3 satisfied/ likely^	A	В	С	D	Е	Extremely disappointed/ unlikely
v	Impact to the Community							Not Applicable
Q6	How well did the project support major Government policies (where applicable)?		o	O	o	0	Э	•
Q7	How likely will the project results bring benefits to the community?		0	0	•	o	0	
Q8	How well did the project provide opportunities for training of local scientific personnel?		0	•	0	o	0	
Q9	How well do you think the project results will create R&D culture in the industry?		0	•	0	o	0	
VI.	IP Rights and Denefit Sharing							
Q10	How likely is/are the IPs generated be patentable?		0	•	o	o	0	
QII	How satisfactory is the progress of patent application (where applicable)?		0	•	o	0	٥	o
Q12	How likely will the IP benefits be generated?		0	•	O	o	၁	
VIL	Project Management							
Q13	How well did the Project Coordinator manage the project as a whole?		٥	•	o	0	0	
	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) (faintly completed by Technical Team and Admin Team)?		0	•	o	0	0	
Q15	Apart from the regular reporting requirements, how well did the Project Coordinator keep the TC/TR Panel		0	•	o	0	၁	







Addit	tional comments/remarks on perform  D or Ej;	nance (compulsory if rating for Q16 or Q17 is
Nate to	rating scale:	
A	Outstanding. A most impressi- above expectation.	we performance which is significantly
В	Generally a very impressive per	formance which exceeds expectation
C	Performance fully meets expect:	ation.
D	Performance falls short of but e some room for improvement.	lose to fully meeting expectations, with
E	Performance falls seriously shor	rt of expectation.
Jointly	Assessed by:	
O Tee	hnology Committee (TC)	O Innovation and Technology
O Tes	hnology Review Panel (TR Panel)	Commission
(Note:	not applicable to APAS R&D	(representative on TC / TR Panel /
	Centrej	APAS Subgroup of ITSP Panel)
Name .	of TC/TR	Name of ITC
Panel	Chairman:	representative:
	· · · · · · · · · · · · · · · · · · ·	Post Title:
Signed	Ŀ	Signed:



Date of Assessment:	Date of Assessment:	
Endorsed by CEO of R&D Centre:		
Name:		
Signed:		
Date:		



	rt C1 - R tivities	cport o	n Progress of Comme	rciali	sation/Technolog	y Tran	sfer
Pan the	iel / ITSI	Panel of ex	ised by Technology Co (for APAS) and FTC in immercialisation/techno- r below)	2000	n after project c	ompleti	ion based on
1.	comme		narks on perform tion/technology transfer	r activ	ities:	oplicant	
	submit	ted aga Yes	in for further assessment (to be assessed again)		1 (narmally 5	389F	after project
	10000	100	completion))	I.		Jems	aner project
		No	(no further assessmen	t is rec	paired)		
Lake	atly Asses	ead ho					
	andre ca		F 222	~	121 72-1	- 40	200
			mittee (TC)	0	Innovation	and	Technology
01	l'echnolo:	gy Revi	ew Panel (TR Panel)	C	ommission		
(No	tie: mul	upplica	the to APAS R&D	(r	epresentative on	TC /	TR Panel /
	Centr	e)		A	PAS Subgroup of	ITSP P	anel)



Name of TC/TR	Name of ITC	
Panel Chairman:	representative:	
	Post Title:	
Signed:	Signed:	
Date of Assessment:	Date of Assessment:	



L.	How much incor project completion applicable)?					
					During the	After projec
					project	endr
					persol	HKS
					HKS*	
	Licensing/sale o	f technology				(Fa
	Royalty					
	Sales of sample,	/prototype				78
	Proceed from cu	stamization/co	nsultancy se	rvices		(6)
	Proceed from		researci	h/further		
	Use of technol sales/provision		ction of g	oods for		
	intellectual Pray copyright, know		Rs) (e.g. tra	de mark,		
	Other technol specify:	17.00	activities	(Please		
				Total:		
	As recorded in the	final report of	the project i	n question		
2.	Is there any spin-	aff campany or	tahlishad ta	commerci	alica the renier	et equilte?
		POSSESSED OF THE PARTY OF THE P			anse the projet	r results:
	☐ Yes			No		
	If yes, please pr	ovide details:				
2.	Is there any join established to cor				ny set up by r	esearch staff)
				No		

Re	case the Project Coordinate kD Centre, an authorised re- vert.			
4.	How many MOU/LOIs have	been signed?		
5.	Are there any products/soft have been rolled out in the		eveloped from	the project results which
	☐ Yes		No	
	If yes, please provide detail	ils:		
5.	How many IPRs have been g			727
	now many irra nave been g	enerated from t	he project resu	
		enerated from t	he project resu	lts? Number
	Patents filed Patents granted	enerated from t	he project resu	
	Patents filed		he project resu	
	Patents filed Patents granted	stered or not)	he project resu	
	Potents filed Patents granted Copyrights (no matter regis	stered or not)	he project resu	
7.	Patents filed  Patents granted  Copyrights (no matter regist  Trademarks/designs regist	stered or not) ered	j	Number
7.	Patents filed  Patents granted  Copyrights (no matter regist  Trademarks/designs regist  Others (please specify:	stered or not) ered	j	Number
•.	Patents filed  Patents granted  Copyrights (no matter regist  Trademarks/designs regist  Others (please specify:	stered or not) ered efer activities had	) ve been conduc	Number
7.	Patents filed  Patents granted  Copyrights (no matter regist  Trademarks/designs regist  Others (please specify:  How many technology trans	stered or not) ered fer activities had blicotions issued	) ve been conduc	Number
7.	Patents filed  Patents granted  Copyrights (no matter regist Trademarks/designs regist Others (please specify:  How many technology trans  Academic/professional pub	stered or not) cred ifer activities had blications issued inferences condu	) ve been conduc	Number
,	Patents filed  Patents granted  Copyrights (no matter regist Trademarks/designs regist Others (please specify:  How many technology trans  Academic/professional put Media interviews/press con	stered or not) cred ifer activities hav blications issued inferences condu	) ve been conduc cted	Number  ted?  Number



Is there project?	any science and	technology/indus	try award grante	for the results of
	Yes		No	
If yes, p	olease provide de	tolis:		
5 m 3 m 1 m 1 m	하게 하다 살아가 있다면 하는데 하나지 않다	ndustry, have the t to the communi		ovetailed Governm
	Yes		No	
If yes, p	and the second second		r	나 살아 아이지 않는데 아이를 하다 가게 줘?
Please p	rovide details/ex	Government initi	essful commerci	or trial/adaption, e
Please p	rovide details/ex results (e.g. hr //organisation al	Government initi	essful commerci	or trial/adoption, e
Please p project company	rovide details/ex results (e.g. hr //organisation al	Government initi	essful commerci	or <i>trial/adaption</i> , o alisation/realisatio ing benefits to



Name:	Namer	
Signed:	Signed:	
Date:	Date:	



<sup>\*</sup>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.

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

(to be jointly assessed by Technology Committee (TC) / Technology Review (IR) Panel / ITSP Panel (for APAS) and ITC in the solution of according to the schedule as agreed) after project completion based on the progress of commercialisation/technology transfer activities reported by the Project Coordinator below).

- 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:

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

(Note: nut applicable to APAS R&D (representative on TC / TR Panel /

Centre) APAS Subgroup of ITSP Panel)



Name of TC/TR	Name of ITC	
Panel Chairman:	representative:	
	Post Title:	
Signed:	Signed:	
Date of Assessment:	Date of Assessment:	



(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)

01.	. How much income has bee	n received during	the pr	oject period	and after the
	project completion through	the commercialisa	tion of	the project	results (where
	applicable)?				

	During the project persod HKS	After project ench HKS
Licensing/sale of technology		
Royalty		
Sales of sample/prototype		92
Proceed from customization/consultancy services		
Proceed from contract research/further development of project results		
Use of technology in production of goods for sales/provision of services		
Intellectual Property Rights (IPRs) (e.g. trade mark, copyright, know-how, etc.)		
Other technology transfer activities (Please specify:)		
Total:		

02.	Is there and	u spin-off	company	establish	ed to co	mmercial	ise the	project	results?

Yes	No	
please provide de		

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





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

	If yes, please provide de	talls:		
29	case the Project Coording &D Centre, an authorised port.			
	How many MOU/LOIs have	e been signed?		
	Are there any products/so have been rolled out in th		eveloped from t	he project results which
	☐ Yes		No	
		530 070 do		
	How many IPRs have been	n generated from t	he project resul	ts?
	Potents filed			
	Patents granted			
	Copyrights (no matter re-	gistered or not)		
	Trademarks/designs regi	istered		
	Others (please specify:		Ĩ	
	How many technology tra	nsfer activities ha	ve been conduct	ed?
				Number
	Academic/professional p	ublications issued		
	Media interviews/press	conferences condu	cted	
	Workshops/seminars org	jan/zed		
	Free-of-charge consultan	cy services provid	ed to the industr	γ



-			
3. Is there project?		technology/indus	stry award granted for the results of th
	Yes		Nu
If yes,	please provide de	toils:	
	om serving the in		project results dovetailed Government
	Yes		No
2000,000,000			contribution to the averall interest of the intives, public sector trial/adoption, etc.
project	results (e.g. h y/organisation a	xperience of succ	cessful commercialisation/realisation roject results bring benefits to the he technologies developed from the
project compan	results (e.g. h y/organisation a	xperience of succ	roject results bring benefits to th
project compan	results (e.g. h y/organisation a	xperience of succ	roject results bring benefits to th
project compan project).	results (e.g. h y/organisation a	eperience of successive did the profession to	roject results bring benefits to th



Names	Namer	
Signed:	Signed:	
Date:	Date:	



<sup>\*</sup>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

