Briefing for Post-Project Evaluation Framework

1 September 2014

Agenda

I
- Background and Objectives

II
- Merits of the New Evaluation Framework

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

IV
- Post-Project Evaluation Form (Sample)

V
- 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.
- Structured and comprehensive evaluation system to assess the outcome of ITF-funded projects.

Background and Objectives

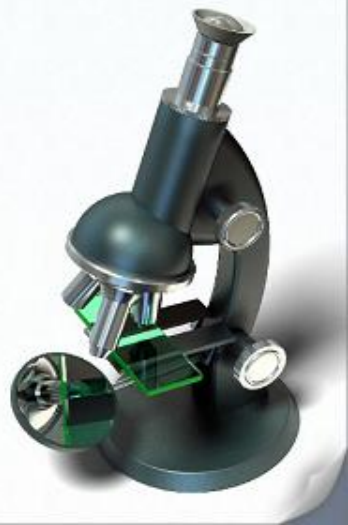
Shortcomings of Existing Framework

- 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.



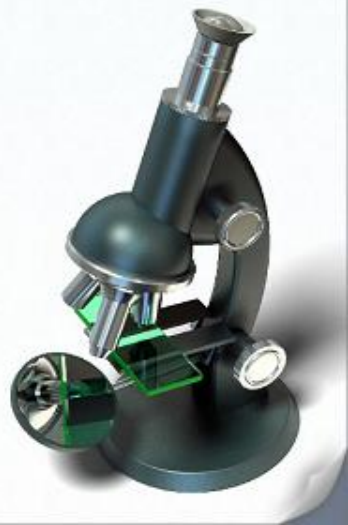
III. New Post-Project Evaluation Form and Workflow for Handling

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.

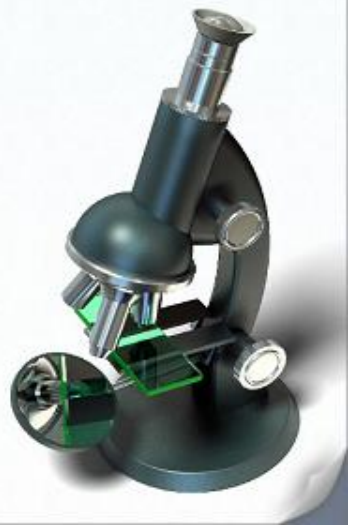


New Post-Project Evaluation Form

- 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)

ITC Admin Team

- Input the assessment scores of the project concerned into the Evaluation Form template generated automatically by ITCFAS.

#1

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 co-applicants/industry sponsors (if any).
- Propose preliminary rating based on the above

#2

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

ITC Technical Team

- Verify and confirm the final rating in the ITCFAS

#3b

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 years** after project completion.
- Commercialisation results reported by the PC/OM will be jointly assessed by the TC/TR Panel and ITC.

#5

ITC Technical Team

- The evaluation results will serve as a useful reference in future assessment of new ITSP applications

#6

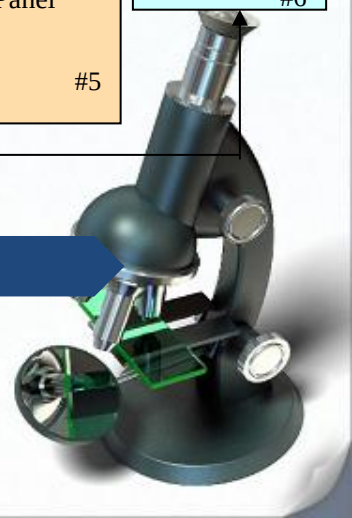
About 5 months after project completion

After assessment score input by Admin Team

About 6 months after project completion

About 2 years after project completion

About 5 years after project completion



(Note): Detailed workflow of individual Centres may slightly different 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.: ART/118CP)

2. R&D Centre
- ☐ Automotive Parts and Accessory Systems R&D Centre (APAS)
- ☑ Hong Kong Applied Science and Technology Research Institute (ASTRI)
- ☐ 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)*

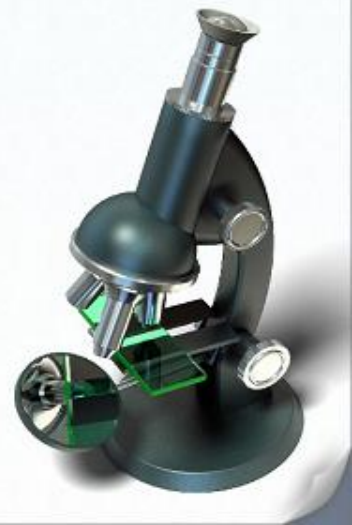
4. Project Coordinator: Eric Kong-Chau TSANG (Eng) 曾江州 (Chi)

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$): 0.000
   Amount of ITF Funding Sought (HK$): 16,224,579.000

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

Page 1 of 21



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 venders and OEM/ODM manufacturers and help them to have an excellent position in LTE market.

9. Project Deliverables

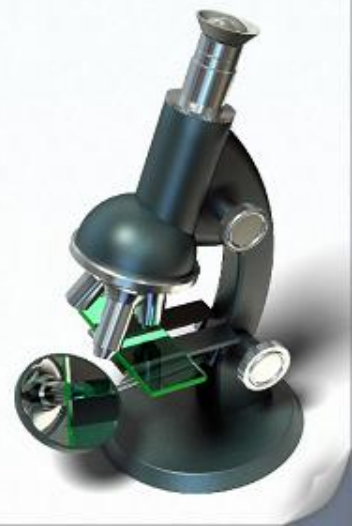
(A brief summary of the project deliverables developed)

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 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)



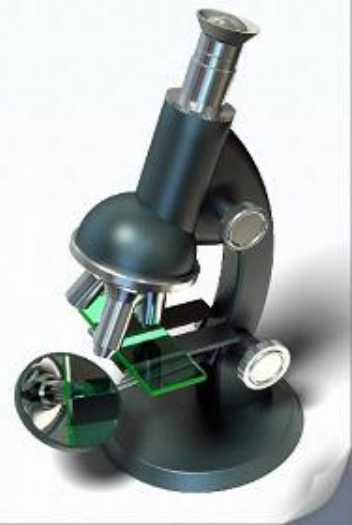
New Post-Project Evaluation Form (Sample)

11. **Marks obtained in Original Assessment**

Components (weightings for Platform & Collaborative Projects/Seed Projects)	Markings
(a) Innovation and Technology Components (20%/36%) (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%)	This project was approved before the marking scheme established.
Total (100%):	Nil

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

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



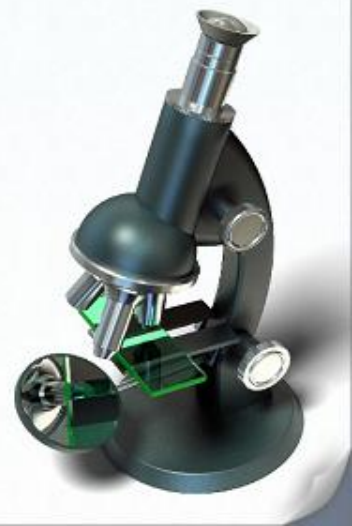
New Post-Project Evaluation Form (Sample)

Part B – Performance Assessment

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

		*Extremely 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*	○	●	○	○	○	○
	➢ *Improve production capability*	○	●	○	○	○	○
	➢ *Improve product quality*	○	●	○	○	○	○
	➢ *Reduce production/product cost*	○	○	●	○	○	○
	➢ *Increase competitiveness*	○	●	○	○	○	○
	➢ *Attract investment from private sector locally/abroad*	●	○	○	○	○	○
	➢ *Others (please specify: _____)*	○	○	○	○	○	○
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?**	○	●	○	○	○	
III.	Financial Considerations						
Q3	**How effective was the project team in making use of the available financial resources and managing the budget?**	○	●	○	○	○	
Q4	**How well did the project team secure the**	●	○	○	○	○	

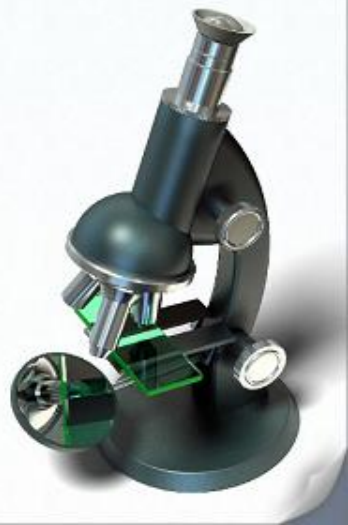
Page 4 of 21



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:*** _____	❍ ● ❍ ❍ ❍

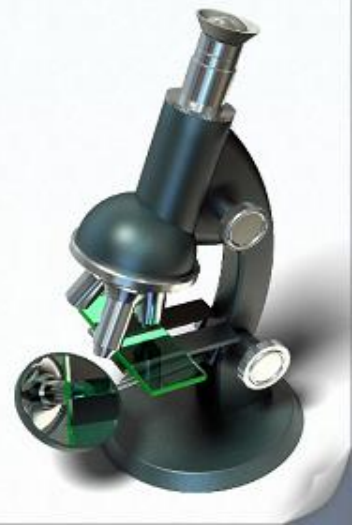
^Item falling short of expectation should be rated 'D' or 'E'. Please refer to note on rating scale on page 5



New Post-Project Evaluation Form (Sample)

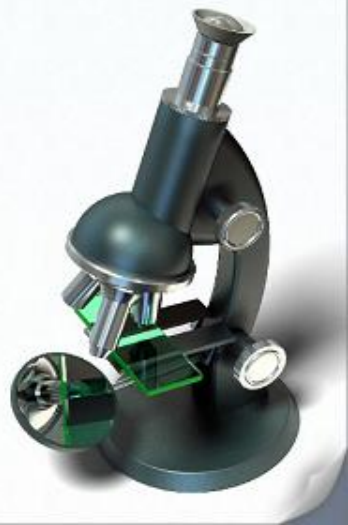
		*Extremely satisfied/ likely^*	A	B	C	D	E	*Extremely disappointed/ unlikely*
V.	Impact to the Community							Not Applicable
Q6	**How well did the project support major Government policies (where applicable)?**		○	○	○	○	○	●
Q7	**How likely will the project results bring benefits to the community?**		○	○	●	○	○	
Q8	**How well did the project provide opportunities for training of local scientific personnel?**		○	●	○	○	○	
Q9	**How well do you think the project results will create R&D culture in the industry?**		○	●	○	○	○	
VI.	IP Rights and Benefit Sharing							
Q10	**How likely is/are the IPs generated be patentable?**		○	●	○	○	○	
Q11	**How satisfactory is the progress of patent application (where applicable)?**		○	●	○	○	○	○
Q12	**How likely will the IP benefits be generated?**		○	●	○	○	○	
VII.	Project Management							
Q13	**How well did the Project Coordinator manage the project as a whole?**		○	●	○	○	○	
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)*?**		○	●	○	○	○	
Q15	**Apart from the regular reporting requirements, how well did the Project Coordinator keep the TC/TR Panel**		○	●	○	○	○	

Page 6 of 21



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)**

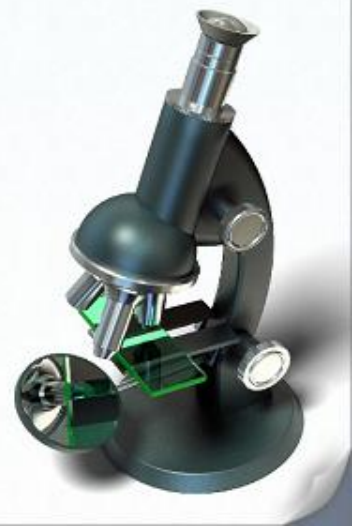
❍ **Technology Review Panel (TR Panel)**

(Note: not applicable to APAS R&D Centre)

❍ **Innovation and Technology Commission (representative on TC / TR Panel / APAS Subgroup of ITSP Panel)**

Name of TC/TR Panel Chairman:	_____	***Name of ITC representative:***	_____
	_____	***Post Title:***	_____
Signed:	_____	***Signed:***	_____

Page 8 of 21



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 ITC in 2 years 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)**

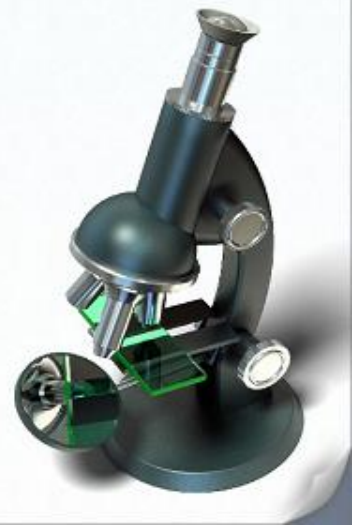
Jointly Assessed by:

❍ **Technology Committee (TC)**

❍ **Technology Review Panel (TR Panel)**

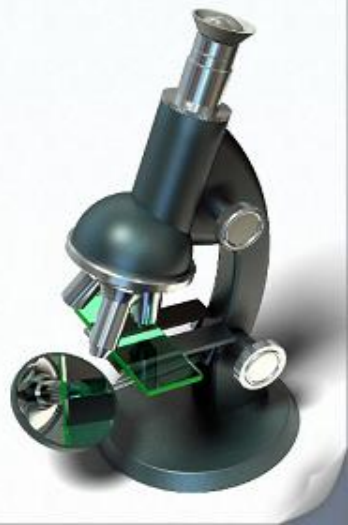
(Note: not applicable to APAS R&D Centre)

❍ **Innovation and Technology Commission (representative on TC / TR Panel / APAS Subgroup of ITSP Panel)**



New Post-Project Evaluation Form (Sample)

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

	*During the project period HK$**	*After project ends HK$*
Licensing/sale of technology		
Royalty		
Sales of sample/prototype		
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:		

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

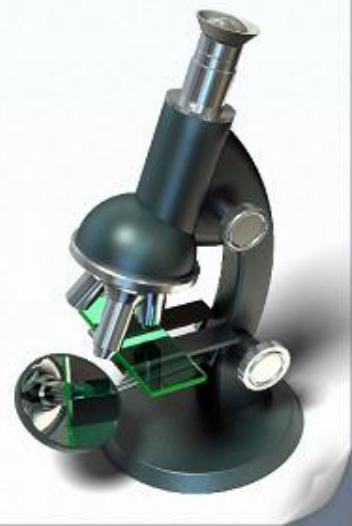
Q2. Is there any spin-off company established to commercialise the project results?

☐ 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

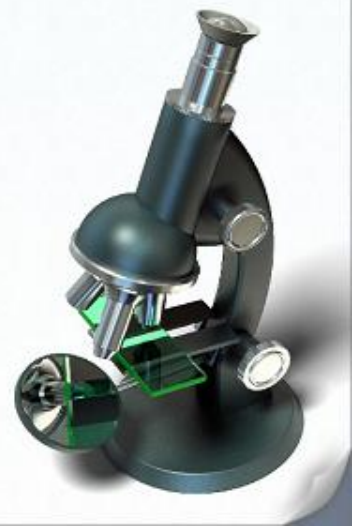
If yes, please provide details:

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

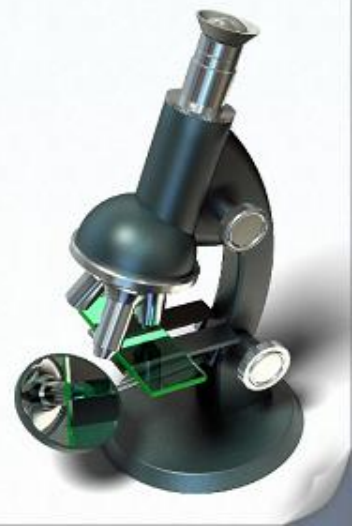
If yes, please provide information on the contribution to the overall interest of the community (e.g. related Government initiatives, public sector trial/adoption, etc.)

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: _____

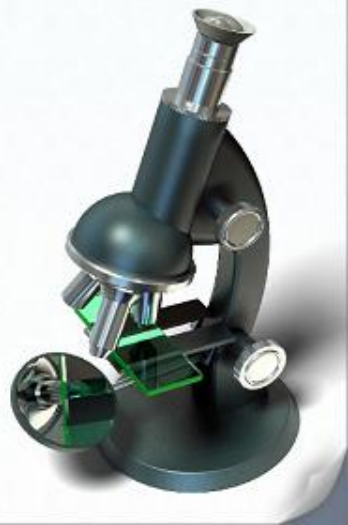
Page 14 of 21



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 ITC in 5 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:

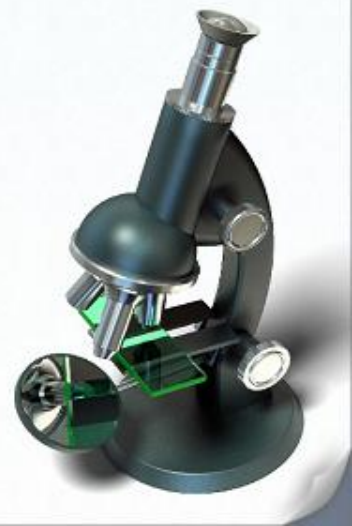
❍ **Technology Committee (TC)**

❍ **Technology Review Panel (TR Panel)**

(Note: not applicable to APAS R&D Centre)

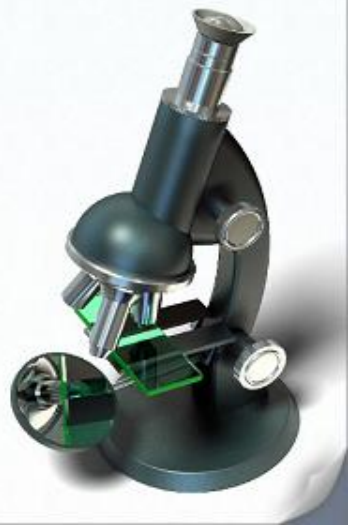
❍ **Innovation and Technology Commission (representative on TC / TR Panel / APAS Subgroup of ITSP Panel)**

Page 16 of 21



New Post-Project Evaluation Form (Sample)

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

	*During the project period HK$**	*After project ends HK$*
Licensing/sale of technology		
Royalty		
Sales of sample/prototype		
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:		

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

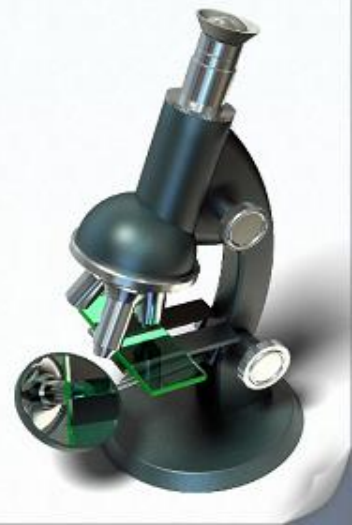
Q2. Is there any spin-off company established to commercialise the project results?

☐ 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

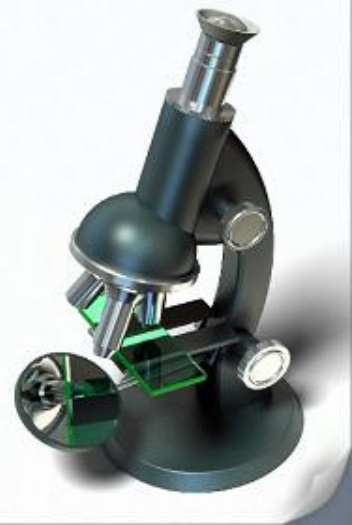
If yes, please provide details:

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

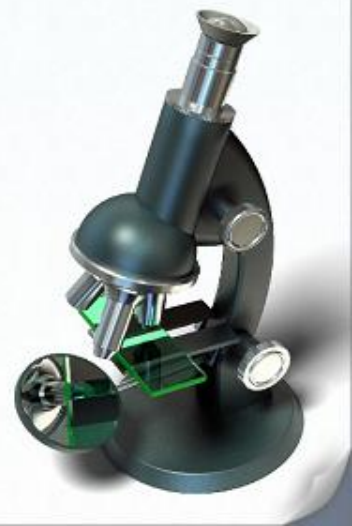
If yes, please provide information on the contribution to the overall interest of the community (e.g. related Government initiatives, public sector trial/adoption, etc.)

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: _____

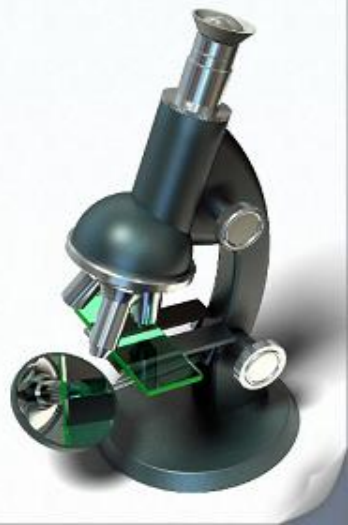
Page 20 of 21



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