

## **Summary Report of the Workshop**

### **Workshop ERA-In-Action „Impact assessment of European Framework Programmes in the European Research Area“, 24th September 2008, Brussels**

The ERA-In-Action workshop, which took place on 24 September 2008 in Brussels, focused on ex-post assessment of the impact of European FPs in the EU Member States in the sense of added value - mainly economic added value and impact on innovation and competitiveness at a national level. It concentrated on the methodologies and criteria selected for measuring of FPs impact and the existence of impact studies in different European countries and at a European level. Best practices and experienced problems were discussed during the round table discussion.

Programme of the event can be found [here](#).

**Lenka LEPICOVA (CZELO, TC AV CR)** opened the workshop and gave an introduction to IGLO, the organizing body of the event. IGLO is an informal association of Brussels-based non-profit R&D Liaison Offices facilitating and enhancing the interaction and information exchange between the institutions and experts from different European countries.

**Jens-Peter GAUL (KoWi)**, the moderator of the workshop, welcomed all participants and introduced the first speaker.

### **Speakers:**

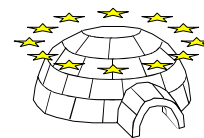
**Vladimir ALBRECHT** (Technology Centre AS CR): *Introduction: „Impact assessment of research programmes (Framework programmes)“*

Mr. Albrecht explained the relevant terminology including terms like ex-ante impact assessment or ex-post evaluation and stressed the importance of development of relevant indicators (hard and soft data). Appropriate selection of indicators is essential in order to make comparisons and draw further conclusions. Three studies aimed at assessment of the performance of the Czech Republic in the FP6 were conducted by the Technology Centre. Firstly, summary evaluation of the CZ participation in the FP6, which is based on data from the E-CORDA database issued by the European Commission in June 2008 is under preparation. The study implements mainly a statistical comparative analysis of the EU member states to assess the participation of the Czech Republic in FP6. Secondly, a questionnaire to all FP6 CZ participants was distributed (50 questions, return rate approx. 25%). Thirdly, a Bibliometric analysis of the CZ participation in the FP6 (based on approx. 700 articles registered in the Web of Science) was conducted - see below. Mr. Albrecht furthermore informed the group about CZ EU presidency event: European Forum on Research and Development Impact Assessment ([www.EUFORDIA2009.eu](http://www.EUFORDIA2009.eu)).

Presentation can be found [here](#).

**Pekka PESONEN** (Tekes): *Impact assessment of FPs at national level - Finland*

Mr. Pesonen publicly introduced the Finnish FP6 study “Finns in the EU 6<sup>th</sup> Framework Programme, Evaluation of Participation and networks”. Tekes - the Finnish Funding Agency for Technology and Innovation has evaluated the Finnish participation in FP6 focusing in



more detail on three thematic fields (corresponding to Finnish needs and its ability to influence at an EU level), energy and environment, forest, and ICT. The study was prepared on request of the Ministry of Employment and the Economy. A call for tender was published (Tekes Impact analysis) and the work was done by Net Effect Ltd. During the evaluation process three thematic workshops and one governance workshop were organized, statistical analysis was used (number of applications and projects and so on), 28 interviews and a survey of funded projects were undertaken (with a satisfactory response rate of 33 %). According to the study the number of participations in FP6 declined compared to the earlier programme but the volume and importance of the projects were higher than ever. Programmes foster international R&D networks and value chains and provide participants with relevant financial resources to carry out projects within international consortia. Well-established networks create challenges to SMEs and better links are needed between regional, national and EU activities.

The report in PDF can be found here: [http://www.tekes.fi/julkaisut/6\\_FP\\_evaluation.pdf](http://www.tekes.fi/julkaisut/6_FP_evaluation.pdf).  
More information connected to the report [here](#).  
Presentation can be found [here](#).

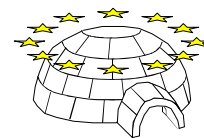
**Laurent SALZARULO** (Swiss State Secretariat for Education and Research): *Impact assessment of FPs at national level - Switzerland*

Switzerland is an Associated country to the FP (having an associated agreement for FP6 since 2004). Renewal of the association agreement for FP7 is bound to the setting up of an indicator system measuring the “cost/efficacy” of the participation in FPs and “concrete positive effects” of the participation in FPs. Thus the State Secretary for Education and Research has received a mandate from the national Parliament to build an indicator system able to evaluate these effects. Constraints identified by project approach are mainly that most of the data aren’t currently available in databases but only from the survey. Problems connected with measuring impacts of FPs in Switzerland are connected with the fact that FPs are shaping only 1,5 % of RTD activities in Switzerland (so even if there is output, it would be irrelevant at a global level) and Parliaments demand is not necessarily focussed on long term impacts. A project (using list of 20 indicators) to be presented informally to a Parliament member in November 2008, is currently being finalized. The intermediate study will be available in spring/summer 2009 and will be based primarily on already available data resulting from participants databases (like E-Corda, internal databases or SESAME). Three years later in 2012, the complete study relying also on a questionnaire survey will be published. Annually, an analysis of the Swiss participation in FPs (Last issue - FP6, July 2008, is available at: <http://www.sbf.admin.ch>) is published. First analysis of Swiss participation in FP7 will be available in 2009.

Presentation can be found [here](#).

**Jiri VANECEK** (Technology Centre AS CR): *Impact assessment of FPs at national level - Czech Republic*

Mr. Vanecek presented a Czech study “Bibliometric Evaluation of the FP-5 and FP6 Results in the Czech Republic”. For these studies, two sources of data were used - publications assigned to FP projects in the electronic repository of the AS CR and a survey. First conclusions from the study show that it was only possible to analyse part of the publications resulting from FP projects and that these publications represented less than 2,5% of all Czech



publications. In these publications the co-authors from EU-25 countries occurred almost 80% more frequently than in the average Czech papers and the publications resulting from FP projects were cited 42% more than the average Czech papers. Only the first half of the study was presented. The second half will be finished by the end of the 2008.

Study can be found [here](#).

**Peter JOHNSTON** (DG INFSO, C3 - Evaluation and Monitoring): *Impact Analysis of ICT Research in FP6*

Ex-post Evaluation of IST Research in FP6 was published in June 2008. The objective of the evaluation was to assess the systemic effects of the IST research activities under the FP6, and the extent to which they have contributed to the FP6 and wider EU strategic objectives. The evaluation was carried out by a panel of high-level independent experts, chaired by Mr Esko Aho. The study showed that the European ICT research investment has been well managed and has been effective in reaching its goals, but improvements can be made mainly in two areas: the flexibility and simplification of the funding mechanism and encouraging more of the best researchers from outside of Europe to participate in areas where Europe can take the lead. The EC invites the EP and the Council to take note of the findings and recommendations of the evaluation Panel, and to reflect on how best to take them forward. On-line public consultation started as well. The results of consultations will be summarised in a Communication on ICT research and innovation in early 2009. The interim evaluation of ICT RTD in the FP7 will also allow the effectiveness of new measures to be assessed. It will be available in late 2009.

The full text of the "Aho Report" on the Effectiveness of Information Society Research in the EU's 6th Framework Programme 2003-2006 is available at:

[http://ec.europa.eu/dgs/information\\_society/evaluation/rtd/fp6\\_ist\\_expost/index\\_en.htm](http://ec.europa.eu/dgs/information_society/evaluation/rtd/fp6_ist_expost/index_en.htm)

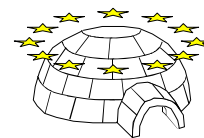
Presentation can be found [here](#).

**Peter FISCH** (DG RTD, A3 - Evaluation and monitoring of programmes): *FP6 Ex-Post Evaluation*

FP6 Ex-post Evaluation is now being prepared by DG RTD. All Community research activities will be evaluated by an identified Expert group with the Chair, Ernst Rietschel, from the Leibniz Association. Input for the study will be based primarily on existing and emerging studies: reports from INFSO and JRC; evidence base of 30+ studies (e.g. Networking Patterns, Behavioural Additionality, FP6 New instruments, Impact of FP6 on new Member States, International Standing of FP, Bibliometric analysis), Member States' studies and expert analyses and self assessments. Panel report should be published by the end of 2008. DG RTD has recently undertaken FP7 Monitoring also. Here, the attention is focused primarily to application numbers, proposal evaluation, time to contract or success rates. Interim evaluation for FP7 is planned for year 2010.

Mr. Fisch invited all participants to cooperate with the Commission and to improve the exchange of information concerning national activities in FP evaluation. So far the Commission knows only a little of what happens in all Member States.

Presentation can be found [here](#).



## **Round table: *Presentation of national impact studies - existing activities, sharing of best practice, problems experienced and solutions found***

### **Germany**

- Mr. Uckel stated that it is important to give attention to this topic and appreciated the activity of the Czech Republic related to the preparation of the conference EUFORDIA during Czech presidency.
- He pointed out the political importance of evaluation activities on the FPs and the significance of evidence based data in the light of the financial perspective and mid-term review. This subject should be openly addressed at the EUFORDIA-conference.
- Germany is a netto-payer (concerning EU budget) and thus the government wants to know what is happening with the money and evaluation of programmes is supported. The BMBF/ministry wants this also with regard to the development of the FP and the communicating “tubes” on the national side to get at least the best out of it for all actors and players.
- Existing study: Evaluation on FP4
- Study being prepared now: Evaluation on FP6
  - Input – Ecorda-databases; 20 face-to-face interviews, 20 000 questionnaires sent out to researchers and managers participating and not participating in FP6, 450 questionnaires sent out to EU-liaison-officers.
  - finished – beginning of 2009
- Main problems:
  - comparison of data with setting up new databases
  - indicators setting.
- Plans for future: ongoing monitoring based on E-corda data

### **Netherlands:**

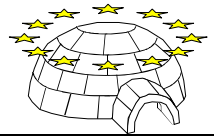
- No overall impact analysis so far, but plan to make an impact study on the FPs
  - This impact analysis should focus broadly on FPs (not only FP6 )
  - Project leader: Stef Smits (Dutch Ministry of Education, Culture and Science)
  - Two main goals identified (by monitoring group and ministry):
    - Long-term results on national education system/ research system
    - Study results to be prepared for the upcoming discussion on FP8
  - Plan to use interviews a lot

### **France:**

- No impact study existing currently, only a participation analysis (statistics) prepared by ministry

### **Spain:**

- First FP6 Impact study now in progress - not closed yet.
  - Planned in several stages:
    1. Methodological design.



2. Survey (current). Response rate 51%. Target: researchers from priority areas and regions (comprising more than 80 % of the total participation).  
1<sup>st</sup> intermediate report of the study will be published by mid November.
  3. Interviews and workshops, in order to include different dimensions (institutional level and societal level).
  4. Final conclusions.
- A workshop is planned to be organised when the 1<sup>st</sup> report of the study is ready (probably beginning of December).

#### **Ireland:**

- Evaluation on FP6 now in progress
  - Preparatory work has been completed with the objectives of this evaluation identified (Impact on the economy / evaluation on the outcomes). The key objectives of the Evaluation of Irish Participation in FP6 are to understand:
- The added value of FP6 in contributing to national research and development and innovation output;
- The relevance of FP6 to Irish industry, including Small Medium Enterprises and the extent to which new companies engaged in the programme;
- The leverage (or lack thereof) from higher education research organisations in encouraging and assisting industry in FP involvement;
- The suitability for participants of support mechanisms in place at national and EU levels
- The discussion is now focussed on the most appropriate methodology to address the objectives of the evaluation.
- The Irish evaluation of FP6 will be completed in March / April 2009.

#### **Norway:**

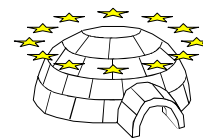
- Existing studies: Evaluation on FP4 and FP5 (done by NIFUSTEP and Technopolis)
- Study being prepared now: Total participation of Norway in FP6 (and the beginning of FP7)
  - National focus (the methodology deals mainly with national data)
  - Evaluation on FP6 will soon be published

#### **Denmark**

- Retrospective statistics on Danish participation in FP6
- Current statistics on Danish participation in FP7 in the wake of the biannual eCorda updates – performed by Danish Agency for Science and Innovation
  - Use of data from eCorda
  - Thematic analysis of the Danish participation in FP7
  - Focus on KBBE, ICT and SSH
  - Will continue throughout FP7
  - Planned for 2009

#### **Turkey:**

- No impact studies so far (only FP6 statistics)
- Planned for the future



### **Sweden:**

- Existing Impact studies on Swedish academia and industry on FP3, FP4, FP5, FP6
- Impact study being prepared now: FP6
  - understand the impacts of FP in Sweden in the period 1990 to date.
  - covers four clusters of technology (Sustainable energy; Life sciences and health; ICT; and Vehicles) and five universities (The Universities of Lund, Gothenburg and Växjö, the Karolinska Institute and the Chalmers Institute of Technology) - together these are expected to give a fair representation of the overall impact.
  - first study that looks over a longer period and tries to understand impacts at an overall level as well as considering sectoral effects and the impacts on the university system.
  - It has been conducted in response to an instruction from the Swedish government to the Swedish Energy Agency, FAS, FORMAS, the Swedish Research Council and VINNOVA.
  - Survey / Data: Mostly face-to-face interviews
  - Available very soon on the VINNOVA website<sup>1</sup>
  - No further study concerning FP6 is being prepared just now

### **Hungary**

- FP6 evaluation now in progress
  - expectations announced at political level
  - based on statistics (data from eCORDA)
  - problems – response rate of survey, data consistency (comparability, overlaps)
  - study will be finished soon and available (only in Hungarian) on website of Hungarian Academy of Science

### **Romania**

- Statistical report about Romania FP6 participation– Ministry would like to extend the statistics and prepare evaluation – now discussions about preparing call for tender (not decided yet).
- Questionnaire is being prepared (for participants of FP6) – not distributed yet, waiting for decision of minister.

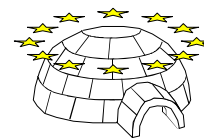
### **Belgium**

- Different approach in different regions of federal state
- At federal level – project on designing the impact assessment study in progress
- SMEs demand – collected success stories of SMEs participating

---

<sup>1</sup> At the time of compiling this report, the study has been published (8 October 2008): [here](#).





## **Round table: discussion on selected issues raised in the previous part of the meeting**

Following issues were discussed during the afternoon part of the meeting:

- **Indicators**
  - Outcome vs. output
  - Number, origin, weighting
- **Outsourcing issues: Pro's and Con's**
- **Methodology (Data Sources)**
  - Process generated data (eCORDA)
  - Survey based data
  - Interview based data
  - Publications and citations (Thompson vs. Scopus)
- **Study used for...**
  - Shaping FP 8
  - National policy making
- **Monitoring vs. Snapshot?**
- **Overall approach vs. selected sectors (comparability issue)**
- **Drivers?**
  - Ministries, Economy or Science?
  - Influence on indicators?
- **Availability?**
  - Language(s) of publication
  - Internal use or open access?
  - Institutionalised forum for discussion needed or desirable?
- **Expectations?**
  - How could the Commission help?
  - What do we expect from the Czech Presidency?

## **Participants:**

Christel Buelens	ULB – Université Libre de Bruxelles	Belgium
Etienne Cools	DGENORS – Ministry of the French Community, Brussels	Belgium
Nadege Ricaud	NCP-FRNS	Belgium
Alain Deleener	IWT	Belgium
Peter Teirlinck	Belspo	Belgium
Stéphane Waha	NCP-Wallonia in Wavre	Belgium
Vladimir Albrecht	Technology centre AS CR, Prague	Czech Republic
Jiri Vanecek	Technology centre AS CR, Prague	Czech Republic
Lenka Lepicova	CZELO	Czech Republic
Martin Kasperek	CZELO	Czech Republic
Jeppe Wohler	Danish Agency for Science, Technology and Innovation	Denmark
Lisbeth Mortensen	Danish Agency for Science, Technology and Innovation	Denmark

## Informal Group of R&D Liaison Offices (IGLO)



Claus Christiansen	DANRO	Denmark
Linne Mogensen	DANRO	Denmark
Pekka Pesonen	Tekes	Finland
Jonna Lehtinen-Salo	Finnish Liaison Office for EU R&D, FiLi	Finland
Bertrand Bouchet	CEA / CLORA	France
Joseph Prieur	ONERA / CLORA	France
Klaus Michael Uckel	Federal Ministry for Education and Research	Germany
Andrea Grimm	EU-Bureau of the Federal Ministry for Education and Research	Germany
Jens-Peter Gaul	KoWi - Liaison Office of the German Research Organisations	Germany
Dieter Dollase	KoWi - Liaison Office of the German Research Organisations	Germany
Susanne Holstein	Leibniz-Association	Germany
Susan Kentner	Helmholtz Gemeinschaft (HGF)	Germany
Erika Szendrak	Hungarian Academy of Sciences, Secretariat General	Hungary
John McDonald	Science, Technology and Innovation Policy, Forfas	Ireland
Catriona Ward	Enterprise Ireland	Ireland
Stef Smits	Dutch Ministry of Education, Culture and Science	Netherlands
Patries Boekholt	Technopolis BV	Netherlands
Andreas Holm Bakke	Ministry of Education and Research	Norway
Elisabeth Wiker	Research Council of Norway	Norway
Letitia Stanila	Ministry of Education, Research and Youth	Romania
Rocío Castrillo	Spanish Ministry of Science and Innovation	Spain
Peter Stern	VINNOVA, Strategy Development Division	Sweden
Maths Persson	VINNOVA-Brussels Office	Sweden
Laurent Salzarulo	Swiss State Secretariat for Education	Switzerland
André Odermatt	SwissCore	Switzerland
Recep Tugrul Özdemir	Scientific and Technological Research Council of Turkey	Turkey
Abdurrahman Turk	Scientific and Technological Research Council of Turkey	Turkey
Peter Johnston	European Commission (DG INFSO)	
Peter Fisch	European Commission (DG RTD)	
Neville Reeve	European Commission (DG RTD)	
Georgios Chorafakis	European Commission (DG RTD)	
Martin Weber	European Court of Auditors	
Olivier Côme	European Court of Auditors	

### Further information:

IGLO website: <http://iglortd.org> (presentations of the meeting)

Lenka Lepičová (CZELO, TC AV CR)

Jens Feldmann (KoWi)

06.11.2008