

Assessing EU RTD Programme Impact



**Collecting Quantitative and Qualitative Data at Project Level:
Designing Suitable Questionnaires for Measurement
of EU RTD Programme Impact**

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1 Introduction

The Fifth Framework Programme (FP5) is making new demands on evaluators and evaluation structures. It is not a mere continuation of past activities. New priorities reflecting the needs of economic actors and citizens are reorienting programme content. The three new criteria established for the selection of themes and objectives - criteria which relate to the attainment of (i) social objectives, (ii) economic development and scientific and technological prospects, and (iii) Community 'value added' and 'subsidiarity' - are likely to lead to a much richer and more varied project mix. Downstream impacts are also likely to be more diverse, and the challenge for evaluators is to find better ways of assessing these impacts, since there is a statutory requirement to evaluate FP5 activities and impacts.

One way of tackling this problem is to design questionnaires capable of eliciting quantitative and qualitative data at a project level which will allow measurement of EU RTD programme impacts. DG Research thus commissioned a study to develop such questionnaires. In turn, the intention is that these questionnaires will form the basis of impact measurement at the Framework Programme level and at the level of individual Thematic and Horizontal Programmes.

Specifically, DG Research asked for at least two questionnaires to be designed: an *ex ante* questionnaire focusing on expected impacts and administered at the outset of a project; and an *ex post* questionnaire focusing on realised impacts, to be administered three to five years after a project's completion. In turn, each of these questionnaires was expected to comprise three parts, with these parts focusing respectively on the type of impacts associated with each of the selection criteria noted earlier, namely (i) social objectives, (ii) economic development and scientific and technological prospects, and (iii) Community 'value added' and 'subsidiarity'. In addition, DG Research also expected the delivery of the questionnaires to be accompanied by a 5000 word report covering methodological aspects and a discussion of the concepts involved.

In response, Technopolis Ltd. (UK) and VTT Group for Technology Studies (Finland) offered to design three questionnaires: an *ex ante* questionnaire to be completed at **Project Start**; and end-of-term questionnaire to be completed at **Project End**; and an *ex post* questionnaire to be administered three years after project completion, the **Project End + Three Years** questionnaire. These are attached as Appendices to the current report, which itself constitutes the requested discussion paper.

The report is structured into six Sections. This short introductory note is followed by a discussion of overall design philosophy in Section 2. Section 3 then summarises the basic design elements which are common to the set of three questionnaires. In Section 4, which should be read in conjunction with the Appendices containing the three questionnaires, each question in the first questionnaire is reviewed in some detail, with notes on the relationship of each question to 'mirror' questions in the subsequent questionnaires. Commentary is also provided on modes of analysis – primarily cross-sectional analyses covering all projects and conducted at **Project Start**, **Project End** and **Project End + Three Years**, and longitudinal analyses linking participant responses in two or more of the questionnaires. Section 5 discusses the second and third questionnaires but does not replicate any of the earlier discussion concerning cross-sectional and longitudinal analyses, since all the same points apply. Instead it highlights some of the differences between these questionnaires and the first one. Finally, a few concluding remarks are offered in Section 6.

2 Design Philosophy

The starting point for the design of any evaluation questionnaire is always to clarify the purpose of the exercise. In this instance, we have presumed that the ultimate aim is to provide programme administrators and policymakers with information relevant to the task of formulating, implementing and managing new and existing Framework Programmes. We also presume that the type of information to be collected should satisfy the accountability demands of the European Parliament and the European taxpayer at large.

The next presumption is that information on the impact or likely impact of RTD programmes on participants, participants' organisations and society at large is relevant to the purposes described above. We further believe that achievements and impacts relevant to the overall goals of FP5 are most worthy of our attention, i.e. impacts related to:

- S&T excellence;
- Competitiveness;
- Employment;
- Quality of life;
- Environment;
- Support to the regulatory environment.

Moreover, we believe that information of a 'quantitative' nature which assesses the scale, extent, timing and location of impacts or likely impacts is especially pertinent to the task in hand.

Quantitative statements, however, can take many forms. The statement that "work on new products was more important than work on new processes in 15 out of 18 Specific Programmes" is just as 'quantitative' as one which states that "new products produced as a result of participation in Specific Programmes led to commercial rewards five times larger than those from projects focused on new processes in 15 out of 18 programmes".

In one important respect the second statement is 'better' or more 'information-rich' than the first because statements of the first kind can often be derived from the second but not *vice versa*. Both, however, are still quantitative in nature, and both statements are also of potential use to programme administrators and policymakers. Indeed, their relative utility is often independent of the 'information-richness' of the statements. If a key policy aim had been to stimulate work on new products rather than new processes irrespective of associated commercial returns, a statement of the first kind would be sufficient to let policymakers know that their goal had been achieved.

In questionnaires designed to elicit quantitative data of use to programme administrators and policymakers, there is often a natural desire to construct questionnaires which can lead to 'information-rich' statements, which in turn can be used to derive whole series of other useful quantitative statements about programme performance and impact. This is often neither feasible nor desirable, however, because considerations of aesthetics, epistemology, practicality and cost-effectiveness act to constrain choice.

In the first instance, applying 'Occam's Razor' ("It is vain to do with more what can be done with fewer"), the collection of data capable of producing 'information-rich' statements is often not needed to produce statements capable of satisfying the needs of administrators and policymakers.

Secondly, problems of causality and attribution mean that there is always an epistemological gap between what we can know (that the flap of a butterfly's wings in Brussels can lead eventually to a tsunami in Japan) and what we can't know (which butterfly to blame when one happens!). The search for 'information-sufficient' statements about the 'knowable' is thus infinitely preferable to unholy quests for the grail of 'information-rich' statements about the 'unknowable'. The search for meaningful, 'information-rich' statements about the return on investment (ROI) which can be directly attributed to RTD projects is a case in point, especially when macro-econometric approaches are more likely in the long-term to yield useful, information-sufficient statements about the relationship between EU RTD spend and industrial performance.

Thirdly, the collection of data capable of producing 'information-rich' statements often requires elaborate elicitation techniques which can complicate questionnaire design and impose unreasonable demands on target audiences, both of which can reduce response rates dramatically and hence threaten the feasibility of questionnaire approaches. In impact assessments in particular, although it is often feasible to construct indicators for particular impacts which would allow 'information-rich' statements to be generated, the sheer range and diversity of potential impact types and affected areas makes it infeasible to collect the huge amounts of data which would allow 'information-rich' statements to be generated about each and every conceivable impact.

The upshot of all this is that questionnaire design involves compromise, and the ethos underpinning our design choice is that questionnaires should be short, simple and capable of producing quantitative statements of use to programme administrators and policymakers. This has led to questionnaire designs which emphasise the production of 'information-sufficient' statements about a wide range of impacts within the context of short questionnaires easily completed by respondents. This contrasts with an 'information-rich' approach employing very lengthy questionnaires which are difficult for a target audience to complete.

What this means in practice is that the questionnaires we have designed ask particular types of question and collect particular types of data. In the first instance, the questionnaires typically contain questions which are 'attitudinal' rather than 'factual' in nature. Attitudinal questions attempt to elicit 'subjective' data on, for example, the relative importance attached by respondents to particular issues. Factual questions often elicit data which provide an 'objective' measurement of something, e.g. the number of published papers produced over a project's lifetime. 'Guesstimates' of 'factual' values can be elicited via questions which are closer in nature to 'attitudinal' than 'factual' questions. All types of question, however, elicit information which can be used to produce quantitative, information-sufficient statements.

The emphasis on attitudinal questions in the questionnaires we have designed exists primarily because respondents can give answers to these quickly and easily, whereas the objective information demanded by factual questions is often inconvenient (and sometimes impossible) for respondents to provide.

This is not to say, however, that the questionnaires totally neglect 'factual' questions. Wherever feasible and desirable, attempts are also made to elicit factual data concerning, for example, the number of specific outputs associated with a particular project. Similarly,

attempts are also made on a number of occasions to calibrate the responses to attitudinal responses with parallel factual responses.

The questionnaire also focuses on the collection of particular types or levels of data. Basic measurement theory distinguishes between a hierarchy of four data types. Starting at the lowest level, these are:

- Nominal data – which differentiates, for example, between objects of type (a) and type (b) and can be represented symbolically as (a, b);
- Ordinal data – which deals with the ranking of objects and can be represented as (a>b);
- Interval data – which expresses the difference between objects along a scale composed of fixed intervals (a-b =c);
- Ratio data – which measures the difference between objects along a fixed interval scale for which there is an absolute reference point, the equivalent of saying that the value of the ratio between points on the scale can be determined (a/b = c).

Our questionnaire designs focus primarily on the collection of ‘ordinal’ data which can be used to derive information-sufficient quantitative statements, as opposed to an emphasis on higher-order ‘interval’ or ‘ratio’ data which can be used to produce ‘information-rich’ statements, but which can be very difficult for respondents to provide.

The **Exhibit** below shows the type of questions which can be asked in a questionnaire, the type of answers which can be elicited, and the type of statements which can be made on the basis of the data elicited. The main point to take on board is that even ordinal data can generate useful, quantitative, information-sufficient statements of use to administrators and policymakers. The other important point to note is that questions which demand factual answers and facilitate the production of information-rich statements often demand too much of respondents. Our design philosophy, therefore, has been to focus primarily on attitudinal questions, ordinal data and information-sufficient statements capable of satisfying the needs of most policymakers and administrators.

Exhibit 1 – Question, Data and Resultant Statement Types

Question	Question Type	Answer	Data Type	Statement Type	Example
Did your project lead to products?	Factual	Yes/No	Nominal	Information-poor	70% of projects lead to products
How important was the production of projects as a project goal?	Attitudinal	Low 1 –5 High	Ordinal	Information-sufficient	70% of projects said that the production of projects was a very important project goal
How many projects were produced as a result of your project?	Factual	Between 0-10 Between 11-20 Greater than 20	Ordinal	Information-sufficient	70% of projects said that they led to the production of more than 10 products
What proportion of your goals related to the production of new products were achieved?	Attitudinal /Factual	Actual/ ‘Guesstimated’ percentage e.g. 55	Interval	Information-sufficient	70% of projects achieved over 50% of their goals related to the production of new products
What was the increase in turnover directly attributed to your project in the three years following project end?	Factual	Actual monetary value e.g. 100,000 EURO	Ratio	Information-rich	Projects led to an overall increase in turnover of 10 billion EURO in the three years after the end of the programme.

3 Basic Design Elements

In line with the design philosophy described above, the FP5 impact questionnaires presented here embody the following design elements:

- A primary focus on the evaluation issues of programme effectiveness (goal attainment) and impact assessment (including unintended impacts);
- A focus on both the goals of the participants and EU policy goals, spanning scientific, technological and socio-economic goals;
- A sequence of three questionnaires distributed at *Project Start*, *Project End* and *Project End Plus Three Years*, all designed to track achievements over time in terms of specific goals and impact areas and to allow cross-sectional ‘snapshot’ analyses at individual points in time;
- A stand-alone structure to each questionnaire facilitating their distribution and analysis in the absence of supplementary data sources;
- The possibility of excluding some questions or completing them prior to distribution if alternative data sources are available;
- A common design structure which looks in turn at goal attainment and impacts on the RTD project team; on the organisation as a whole; and on the broader socio-economic environment;
- A primary focus on the collection of data on the most immediate and causally-related impacts, i.e. those affecting the RTD project team itself;
- A secondary focus on the impacts on the parent organisation as a whole;
- A tertiary focus on broader, socio-economic impacts, where causality and attribution problems are most severe;
- The collection of data on variables such as organisation type and nature of work being conducted in order to facilitate the aggregation and analysis of data in interesting and meaningful ways;
- A strong emphasis on ‘information sufficiency’ which manifests itself in terms of a primary focus on ‘attitudinal’ and ‘guesstimate’ questions and the collection of ordinal level data, supplemented wherever possible with ‘factual’ questions and higher level data collection;
- A strong focus on user-friendliness which limits the number of variables on which data are collected; keeps the number of questions and the overall length of the questionnaire to a bare minimum; and uses data elicitation formats which allow respondents to answer many questions in the same general manner.

4 Questionnaire 1 – *Project Start*

This part of the report walks through the individual Sections of the first questionnaire and reviews the questions within them. It comments on the structure of each question, the reason for its inclusion and the ways in which responses to it should be analysed. This includes cross-sectional analyses of all the data generated in the first questionnaire exercise and longitudinal analyses over time of the data generated in successive questionnaires. It is imperative, therefore, that this part of the report is read in conjunction not only with Appendix 1 which contains the *Project Start* questionnaire, but also with Appendices 2 and 3 which contain the remaining two questionnaires.

4.1 Cover Sheet

When the questionnaire is distributed at the start of a project, the cover sheet will obviously include an European Commission logo, a formal title relating it to the Monitoring and Evaluation of the Fifth Framework Programme, and details of where and to whom to send the completed reply.

At present it simply points out that the questionnaire should be completed by a member of the project team and a representative of senior management from the organisational unit most likely to benefit from the conduct of the project. The aim here is to elicit responses which are authoritative at 'project', 'organisation' and, as far as possible, at 'socio-economic environment' levels. The wording of the request is also intended to elicit responses from senior management most closely connected with the RTD team rather than remote figures in the headquarters of MNCs.

The cover sheet also includes a note to project participants designed to encourage them to complete as much of the questionnaire as possible even though some questions might not be pertinent to their participation.

4.2 Section 1 – Project and Organisational Details

The questions on this sheet are needed to 'tag' individual projects and also to characterise the organisations conducting the projects.

To reduce the burden on the recipients of the questionnaire, some of the data entries could be made prior to its distribution or even excluded if the questionnaire responses are subsequently related to existing data sources.

The variables used to characterise the organisation taking part in the project are:

- Role in Organisation;
- Status of Organisation;
- Employment;
- RTD Employment;
- Turnover;
- R&D budget as % of Turnover (and hence RTD budget if the figure for turnover is provided);
- Industrial Sector (name and NACE code if known).

All the above variables can be used to segment responses at the analysis stage. Responses to the role and status questions can be analysed for each 'nominal' category, e.g. University Laboratory, Research Institute, Independent Company etc. Similarly, the 'ratio' responses to the employment, turnover and R&D budget questions can be coded *post hoc* into categories which can again be used to segment overall responses, e.g. the absolute figures given for employment levels can be re-coded into bands such as 0-10 employees, 11-100 employees; 101-250 employees etc. and the responses analysed for each band or 'segment'.

It should be noted that combining the results to the status and employment or turnover questions will allow data to be segmented by, for example, firm size.

Regarding the Industrial Sector question, the responses will need to be coded *post hoc* into nominal categories – either NACE categories or other categories deemed to be useful.

Although included in the questionnaire primarily as a means of segmenting responses, the responses to the organisational type questions can be presented either via pie charts or bar charts. The results can then be compared with known programme composition profiles to check whether the responses to the questionnaire are representative.

In addition to their use in cross-sectional or ‘snapshot’ analyses conducted at ***Project Start***, ***Project End*** and ***Project End + Three Years***, the data collected on employment and turnover can also be used in longitudinal analyses to track changes in these variable over time. Sophisticated analyses should then be possible which check for relationships between changes in these variables and other aspects of project performance, e.g. degree of goal attainment.

4.3 Nature of Your Project

This section contains a mix of questions, some of which are intended solely to characterise the nature of the projects in order to facilitate future segmentation exercises; others which characterise projects but which also address important evaluation issues such as goal attainment and additionality.

The first question considers the strategic importance of projects to the organisations involved. The responses can be analysed to provide a simple frequency distribution or used as another segmentation option. This is likely to be useful when searching for correlations with performance-related variables, since a reasonable *a priori* hypothesis is that success is positively correlated with the importance accorded to a project. It will also be possible to conduct longitudinal analyses which track whether perceptions of strategic importance decrease or increase over time, and whether or not these changes in perception are linked with actual performance.

The second question looks at expectations in terms of commercial returns. This also helps characterise the nature of the project, and the responses can be analysed in exactly the same way as for the previous question. However, the question also establishes a ‘benchmark’ against which actual performance in terms of commercial returns – assessed in subsequent questionnaires - can be compared.

The third question comprises an important set of project descriptors, each of which can be used to generate frequency distributions and segmentation categories which can be used in correlation searches. Previous research, for example, tells us that ‘exciting’ research in ‘core’ technology areas is often correlated with high perceived benefits of involvement.

The frequency distributions from this question also help place analyses of many of the other performance-related variables into perspective. For example, comparisons of actual project outputs and impacts are likely to vary from one FP5 area to another, not only because performance *per se* is likely to vary across programme areas, but also because the nature of the work conducted in these areas differs enormously too – with some areas oriented towards the production of ‘academic’ or ‘intangible’ outputs and others geared more towards ‘tangible’ outputs and commercial returns. Understanding the nature of the work being

conducted in these different programmes, therefore, is key to any attempts to conduct meaningful comparisons of performance between programmes.

The last question in this Section addresses the issue of additionality, or perceived additionality at the start of the project. Naturally, asking the same in question in subsequent questionnaires at the end of the project and three years later will allow an examination of changes in perception and a comparison of what actually happened with initial expectations.

When analysing responses to this question in a ‘snapshot’ exercise, the responses should be grouped initially into the first three categories, with a subsequent analysis of the responses falling into the sub-categories of the third category. This will facilitate an analysis of:

- ‘Pure’ additionality for all partners concerned, i.e. none would participated in the absence of EU funding;
- ‘Pure’ additionality for the responding partner, i.e. this partner would not have participated even if some of the others had done so;
- ‘Process’ or ‘behavioural’ additionality, i.e. EU funding allowed the partner to carry out work which would have been undertaken anyway, but allowed the work to be carried out with more funds, expanded objectives, more partners etc.

4.4 Section 3 Goals of Your Organisation

This Section goes to the heart of the matter. In essence it asks participants to indicate which of a series of goals are relevant to their organisation and asks about expectations in each of these goal areas. These expectations thus become benchmarks against which achievements in each area, addressed in subsequent questionnaires under the headings of outcomes (*Project End* questionnaire) and impacts (*Project End + Three Years* questionnaire), can be compared.

The Section also focuses primarily on the goals and expected impacts on the project team rather than on later downstream impacts on the organisation as a whole or the socio-economic environment in general, though these are also covered in a relatively minor way in this Section. The Section is thus primarily geared to goals and goal attainment in terms of strengthening scientific and technological capability in the EU – one of the main aims of FP5.

The Section starts with a categorisation of the headline ‘KENS’ goals normally associated with collaborative R&D programmes. These are Knowledge-oriented goals, Exploitation-oriented goals, Network-oriented goals and Strategic Management-oriented goals. It then asks respondents to estimate expected changes in organisational capabilities, performance or behaviour in these domains as a consequence of participation in the project. A ‘minor to major’ ordinal scale is used rather than a higher level scale asking for percentage changes. The addition of a scale of the latter type would have allowed calibration of the ‘minor to major’ scale, but this was not included because of the difficulty respondents would face estimating percentage changes in intangible entities such as ‘improved exploitation potential’.

As it stands, however, the question does allow the different types of goals to be ranked across the programme as a whole via a comparison of the ‘minor to major’ frequency distributions for each goal. For most collaborative R&D programmes, the starting hypothesis is that most participants will expect major changes in ‘knowledge-oriented’ areas and more minor changes in ‘exploitation-oriented’ areas. Similar questions in subsequent questionnaires will also allow a comparison of expected changes with actual changes.

An additional component of the same question explores a further dimension of additionality or European Added Value, namely the extent to which European collaboration is expected to be an important factor influencing the attainment of the expected changes in organisational capabilities, performance and behaviour. Again, similar questions in subsequent questionnaires will allow comparisons to be made with ‘after the event’ perceptions of the importance of European collaboration.

The next question in this Section focuses on the factors likely to limit goal attainment and affect project progress adversely. At this stage of the programme life-cycle its analysis should alert programme administrators to the areas of most concern to participants. Subsequently, the analysis of similar questions in the follow-on questionnaires will allow an examination of whether or not these fears were realised or appeased.

The remaining question in this Section is the single most important question in the whole questionnaire. It disaggregates the KENS goals and asks respondents to indicate the relevance of each these goals to their participation in the project. Respondents are further asked to indicate the scale of expected achievements and impacts at various points in time in the future. Their responses then constitute benchmarks against which actual achievements and impacts, measured in subsequent questionnaires, can be compared.

In ‘snapshot’ analyses, the most important task is to rank the goals of participants across the programme, first in terms of relevance, and secondly in terms of scale of expected impacts at various points in time. Comparison of the goals considered highly relevant by most participants with overall programme goals can be most informative. If the main aim of a particular programme or sub-programme, for example, is to improve competitiveness via the development of new products, and if a ranking analysis reveals that these goals are irrelevant for most participants, programme goals are unlikely to be achieved and selection processes may need to be revised.

Three additional points should be made about this last question in the Section. In the first instance, no attempt is made to collect data on the probability of expected impacts. Collecting such data for each goal would have overloaded respondents. Secondly, no attempt is made to collect higher level data on impacts. This would have involved defining different indicators and metrics for each of the goals and would have been too cumbersome. It would also have pre-empted any ranking of goals in the absence of a simple means of relating one metric to another. Finally, it should be noted that careful comparison of expected and actual goal attainment in longitudinal analyses should also reveal the extent of unintended as well as intended impacts.

4.5 Section 4 – Project Outputs

This Section lends itself to the collection of higher level data, e.g. the number of tangible outputs such as publications expected as a result of participation in a project. In the first instance, therefore, respondents are asked whether or not particular outputs are expected and, secondly, how many.

It should be noted that the emphasis in this Section is on simplicity. In reality the number of outputs associated with a project will vary from one point in time to another. The number of publications expected at the end of a project, for example, is likely to be less than the number

expected three years afterwards due to the time lags involved in publishing. The problem of attribution is another complicating factor. In reality one should try to distinguish between ‘major’ and ‘minor’ contributions to particular outputs, e.g. product developments. Attempts to take all these factors into account, however, inevitably lead to complicated questionnaire designs which are off-putting to respondents, especially when dealing with hypothetical entities such as ‘expected outputs’ rather than ‘actual outputs’.

The simple approach adopted nevertheless has merit. One distinct advantage is that it provides a benchmark against which actual achievements can be assessed at a later date. The data can also be summed conveniently and extrapolated to provide output estimates for FP5 as a whole.

4.6 Section 5 Economic Impacts on Your Organisation

In this Section the emphasis shifts to the economic consequences of participation for the organisation as a whole, not just for the project team. Correspondingly, the focus shifts to expectations relevant to the overall FP5 goal of enhancing competitiveness and away from the primary focus of the earlier Sections, namely the enhancement of scientific and technological capabilities within the EU.

In the first question in this Section, respondents are asked to estimate the likelihood of relevant economic impacts and indicate the scale of expected impacts over different periods of time. As in earlier Sections, these estimates act as benchmarks in longitudinal analyses of successive questionnaires. They can also be used in cross-sectional analyses of the questionnaire to show which impacts are most likely and which are expected to have the biggest impacts.

The first question also contains a column which asks for overall expected percentage changes in some of the impact areas, e.g. turnover and profits. This will allow some of the ‘minor to major’ scales for expected impact to be calibrated in these areas. This is important because large and small firms do not always share a common view of what is a major or minor change. For example, a one percent increase in turnover for a small firm with a turnover of 1 MEURO would generally be regarded as a minor change by that firm. It is not clear, however, that a one percent increase for a firm with a turnover of 1 BEURO (i.e. 10 MEURO) would be regarded as minor by a member of that firm. Incorporating estimates of overall expected percentage change alongside estimates formed using a ‘minor to major’ scale helps eliminate some of these uncertainties.

It should be noted, however, that the tactic of asking for overall expected percentage changes is not used for all impact categories. This is simply because it is not applicable in some areas. For entry into new markets, for example, it would be difficult for a respondent to estimate expected percentage change.

One further point should be noted concerning the use of an expected percentage change measure for the turnover of an organisation (and estimates of actual change in subsequent questionnaires). If estimates of percentage change are tied back to the turnover figures provided in Section 1, it will be possible to provide reasonable estimates of increased turnover in real money terms for FP5 as a whole.

The second question in this Section has a similar structure to the first and lends itself to the same type of analytical treatment. It focuses on the rich variety of ways in which the competitiveness of an organisation can be enhanced. It should therefore lead to an increased understanding of the ways organisations perceive that Framework related RTD will affect their downstream operations. Longitudinal analysis will also confirm whether or not these aspirations are realised.

The final question in this Section returns to the issue of commercial returns and complements the initial question on this topic in Section 2. In this instance, however, data are elicited not only on the expected scale of commercial returns, but also on their timing and the markets likely to generate them. Cross-sectional analysis will reveal which markets are expected to provide the largest commercial returns, and longitudinal analysis will compare achievements with expectations.

An additional element of this question also asks for estimates of overall expected commercial returns along a referenced 1-5 scale, with each point corresponding to a financial band expressed in MEURO. Again this will allow calibration of 'minor to major' scales and provide a richer perspective on the nature and scale of expected commercial returns.

4.7 Section 6 EU Policy Goals

This Section focuses on downstream impacts external to the organisations involved in projects. It also switches attention to the remaining high level goals associated with FP5 and to expected impacts in areas other than the development of scientific and technological capability and the enhancement of competitiveness.

In the first instance, the opening question of the Section is designed to compare the relative likelihood and scale of expected impacts at a number of 'spatial' levels in a variety of different impact spheres, each of which is connected to the broad goals of FP5 and the EU more generally.

Because the problems associated with causality and attribution become ever more exacerbated the further away one moves in space and time from the initial 'perturbation', i.e. from the RTD project itself, there is no attempt to collect anything other than 'ordinal' data in this particular question. These are sufficient, however, to realise the main aims of this question, which are firstly to establish the relative ranking of expected impacts in each policy area in terms of probability of occurrence and scale of expected impact, and secondly to establish benchmarks against which future performance can be judged.

The final four questions of this Section all have a similar structure. Each one addresses an important high level goal of the EU and is designed to explore downstream impacts of relevance to these goals. All have the same structure as the last question in the previous Section, i.e. the question concerned with commercial returns. Each question takes a group of sub-goals associated with a parent goal and asks for estimates of expected changes over time, together with estimates of overall expected changes expressed along referenced scales. The analysis of each question also parallels that for the earlier question on commercial returns.

5 Questionnaires 2 and 3 – *Project End* and *Project End + Three Years*

This part of the report does not work through each of the *Project End* and *Project End + Three Years* questionnaires in as much detail as before. Suffice it to say that both questionnaires have the same the basic structure as the *Project Start* questionnaire apart from the fact that they ask for estimates of actual outputs, achievements and impacts as well as for further expected impacts in the future. As such they complement the first questionnaire by allowing longitudinal comparisons of achievements and expectations, thus providing a perspective on goal attainment at two successive points in time. Naturally, cross-sectional analyses can also be performed at *Project End* and three years subsequently.

This part of the report simply points out some of the differences between the first questionnaire, on the one hand, and the second and third questionnaires on the other.

The main difference, which permeates all Sections of both the second and third questionnaires, concerns the dual focus on actual impacts to date and expected impacts in the future. This is demonstrated immediately in the second question of Section 2 of both questionnaires, which asks for assessments of commercial returns to date and expected returns in the future.

The second noticeable difference does not occur until Section 4 and deals with project outputs. On the presumption that participants are likely to have a better feel for actual and expected impacts at the end of a project and subsequently, they are asked not only to provide details of actual outputs to date, but also to specify the number of additional future outputs which are likely to be attributable to the project.

The third difference does not occur until the *Project End + Three Years* questionnaire. In this, two questions which appeared in the earlier questionnaires are missing. These are:

- The question in Section 2 which deals with the nature of the project
- The question in Section 3 which deals with obstacles to project progress

In both instances, the question's use is redundant given that the responses to the question are unlikely to change over the three year period after the project's conclusion. By the same token, it is also worth considering the exclusion in the third questionnaire of:

- The question in Section 2 which deals with strategic importance
- The question in Section 2 dealing with additionality
- The question in Section 3 dealing with the importance of European collaboration

6 Conclusion

Impact assessment is relatively easy when the 'distance' between an 'event' and a related 'consequence' in space and time is small. In the real world, however, assessing the downstream impact of a research and development project on the broad socio-economic environment in which it is conducted is a hazardous business fraught with uncertainty.

No matter how difficult or near-impossible the task might seem, however, assessments are needed in order to inform policymakers of the wisdom of their actions, and taxpayers of the wisdom of the policymakers. Tools are needed, therefore, which allow such assessments to be made.

Questionnaires constitute such tools, albeit imperfect ones. Their use is nevertheless justified when few other tools exist to do the job. They are also relatively easy to administer and cost-effective compared to more labour-intensive, interview and case-study based tools. They offer only a partial take on complex problems, but even one such perspective is invaluable when no others exist.

The questionnaires presented here are certainly not perfect, but we have tried our best to make them 'less imperfect' than they might have been. Many participants confronted with the task of completing them are likely to raise their eyebrows in mock horror. Although every effort has been made to make the questionnaires as short and as simple as possible, at ten pages long they are still ten pages too long for most participants. Every effort will need to be made by the Commission, therefore, to persuade participants of the necessity of completing questionnaires such as these if statutory demands to assess impacts are to be satisfied in cost-efficient ways.

Appendix 1

Questionnaire 1

Project Start

To be completed by a member of the project team in conjunction with a representative of senior management from the organisational unit most likely to benefit directly from the conduct of the project, e.g. a university department, an independent firm or a subsidiary or division of a large multi-national.

NB Please note that this questionnaire is to be completed by participants from a wide range of organisations involved in very different project types across the whole of the Fifth Framework RTD Programme. Many questions are thus more applicable to some projects than to others.

Respondents are only expected to complete those parts of questions which are most relevant to their participation.

Section 1 Project and Organisational Details

Name of Representative of Senior Management

Position within Organisation

Name of Project Representative

Position within Organisation

Function In Project Technical Contact Administrative Contact Research Partner Other (please specify)

Name of Organisation

Address Street No. Street City Country Post Code

Tel Fax Email Website

Role of Organisation in Project Co-ordinator/Main Partner Partner Associate Partner

Status of Organisation University Lab or Department Public Research Institute/Centre

Private or Semi-public Research Institute Public Utility/Authority

Independent Private Company Subsidiary of Larger Enterprise

Other (please specify)

Organisational Details Employment (in last financial year in unit specified above e.g. independent company, subsidiary, department etc.)

RTD Staff (in same unit)

Turnover (if applicable, of same unit in last financial year)

R&D Budget as % of Turnover (in same unit)

Industrial Sector NACE Code (if known)

Project Details Project Title RTD Programme Contract Number

Section 2 Nature of Your Project

Please indicate the strategic importance of this project to your organisation.

Minor importance	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Major importance
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Please indicate whether or not you expect the project to lead to significant commercial returns for your organisation. Leave blank if none anticipated.

Negligible commercial returns	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Significant commercial returns
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Please tick each of the following scales to characterise the nature of your organisation's participation in this project.

Low cost	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	High cost
Low risk	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	High risk
Technically trivial	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Technically complex
Routine	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Exciting
Necessary	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	A luxury
Short-term	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Long-term
Fundamental	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Applied
Curiosity-driven	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Mission-oriented
RTD-oriented	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Diffusion-oriented
Product-oriented	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Process-oriented
In a core technology for your organisation	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	In a peripheral area for your organisation
Feasible without collaborators	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Only feasible with collaborators

What would have happened if the project as a whole had not received EU funding support?

<input type="checkbox"/>	Project would not have been undertaken by any of the partners		<input type="checkbox"/>	With reduced funds	
<input type="checkbox"/>	Project would have continued without EU funding but your organisation would not have participated in it		<input type="checkbox"/>	With reduced objectives	
<input type="checkbox"/>	Your organisation would have participated, but:	<input type="checkbox"/>	With no partners	<input type="checkbox"/>	With longer time scale
		<input type="checkbox"/>	With fewer partners	<input type="checkbox"/>	Other (please specify)
		<input type="checkbox"/>	With other partners	<input type="checkbox"/>	
		<input type="checkbox"/>	With same partners	<input type="checkbox"/>	

Section 3 Goals of Your Organisation

The goals normally associated with collaborative RTD programmes can be classified as follows:

- **Knowledge-oriented goals.** These are goals of a technical nature concerned with the expansion and consolidation of know-how and knowledge bases. Examples include ‘Deepen Understanding’, ‘Upgrade Skills’ and ‘Develop New Tools and Techniques’
- **Exploitation-oriented goals.** Some goals have a strategic or commercial orientation and are more concerned than others with the eventual exploitation of knowledge and skill bases. Examples include ‘Develop New Products’, ‘Production of Patents and Licences’ and ‘Improve Competitiveness’
- **Network-oriented goals.** These relate to network formation and the establishment of new links and partnerships. They have a structural or systemic nature in that they invariably refer to the relationship between an organisation and its environment. Examples include ‘Access Academic Know-how’ and ‘Establish New Academic-Industry Links’
- **Strategic Management-oriented goals.** Goals such as ‘Access Additional Funds’, ‘Reduce Costs’ and ‘Spread Risks’ reflect a combination of opportunistic, economical and parsimonious practices characteristic of sound R&D management and stewardship

Participation in collaborative programmes provides organisations with an opportunity to attain goals such as these. Please estimate the scale of expected changes in organisational capabilities, performance or behaviour in the following areas as a consequence of your organisation’s participation in this project.

Also indicate the importance of European collaboration to the eventual attainment of changes such as these. Leave blank if European collaboration is not important.

Goals	Expected Change in Organisational Capabilities, Performance or Behaviour							Importance of European Collaboration						
	Minor	1	2	3	4	5	Major	Minor	1	2	3	4	5	Major
Knowledge-oriented Goals e.g. to improve the ‘knowledge base’ of organisation														
Exploitation-oriented Goals e.g. to improve exploitation potential and commercial rewards														
Network-oriented Goals e.g. to improve networking abilities and establish new links														
Strategic Management Goals e.g. to improve the strategic management of RTD resources														

Please specify what you think will be the main obstacles to overall goal attainment and project progress. Leave blank if not relevant.

Obstacles to Progress	Importance of Obstacle to Progress Low 1 2 3 4 5 High					Obstacles to Progress	Importance of Obstacle to Progress Low 1 2 3 4 5 High				
Over ambitious project goals						Levels of interest within partners					
Intrinsic technological difficulty						Competence of EU officials					
Technological developments elsewhere in the world						Restructuring or strategic shifts within own organisation					
Constraints on availability of relevant technological inputs						Restructuring or strategic shifts within partner organisations					
Constraints on availability of qualified personnel						Transaction and communication costs of collaborative RTD					
Competence of own organisation						Disagreements over intellectual property rights (ipr)					
Levels of interest within own organisation						Insufficient funding					
Competence of partners						Divergent objectives of partners					

The goal sets associated with collaborative RTD comprise many individual goals, and organisations can strive to attain many of these. Please indicate whether any of the following goals are relevant to your participation in this project. Leave blank if not relevant.

Also indicate the scale of expected achievements and subsequent impacts in the relevant areas. Leave blank when no further impacts are expected.

Goals	Relevance of Goal to Project Low High 1 2 3 4 5	Scale of Expected Achievements and Impacts														
		By Project End Minor Major 1 2 3 4 5					0-3 Years after Project End Minor Major 1 2 3 4 5					3-10 Years after Project End Minor Major 1 2 3 4 5				
Knowledge-oriented Goals																
Enhance organisation's knowledge base	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Maintain expertise in a research area	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Produce new knowledge	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Explore new, alternative scientific and technological paths	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Accelerate RTD	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Gain deeper understanding in core scientific and technological areas	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Reorient organisation's RTD portfolio towards longer-term RTD	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Monitor scientific and technological developments in the field	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Develop, evaluate or improve tools, methods, techniques and tests	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Broaden scope of RTD activity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Produce publications, PhDs etc.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Enhance skills of RTD staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Increase or maintain number of RTD staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Network-oriented Goals																
Gain access to complementary sources of expertise, know-how and/or technology	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Transfer expertise, know-how and/or technology	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Overcome failure to locate appropriate national partners and expertise	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Form new research partnerships and networks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Form new, longer-term business alliances	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Monitor competitors' activity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Improve co-operation with universities and research institutes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Improve co-operation with firms	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Improve co-operation with suppliers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Improve co-operation with customers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Gain follow-on entry into other programmes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Gain follow-on entry into RTD and business collaborations in the private sector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Enhance reputation and image of the organisation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Gain opportunity to work in other organisations abroad	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Goals	Relevance of Goal to Project Low High 1 2 3 4 5	Scale of Expected Achievements and Impacts														
		By Project End					0-3 Years after Project End					3-10 Years after Project End				
		Minor		Major			Minor		Major			Minor		Major		
		1	2	3	4	5	1	2	3	4	5	1	2	3	4	5
Exploitation-oriented Goals																
Reorient RTD portfolio towards shorter-term, exploitation-oriented RTD																
Produce demonstrators, prototypes, pilots etc.																
Produce patents and licences																
Develop or improve new software, codes, databases etc.																
Develop or improve new products																
Develop or improve new processes																
Develop or improve new services																
Develop or improve standards																
Implement field trials																
Learn to work in new markets																
Improve competitiveness of organisation																
Increase turnover, market share or productivity of organisation																
Ensure dissemination of project results																
Improve protection of the environment																
Improve quality of life																
Strategic Management-oriented Goals																
Gain access to additional public funds																
Generate in-house contribution to project																
Reduce in-house contribution to project																
Share costs between partners																
Reduce financial risks																
Reduce technological risks																
Other Goals (Please specify)																

Section 4 Project Outputs

By ticking in the appropriate boxes, please confirm whether your organisation is expected to produce any of the following outputs as a result of your participation in this project. If possible, also provide quantitative estimates of the number of outputs expected in each case.

Outputs	Please Tick if Outputs Expected	Total Estimated Quantity
New tools or techniques	<input type="checkbox"/>	<input type="checkbox"/> Number of new tools or techniques
Demonstrators, prototypes, pilots etc.	<input type="checkbox"/>	<input type="checkbox"/> Number of demonstrators, prototypes, pilots etc.
Publications in limited distribution 'grey literature' (e.g. conference papers, policy documents)	<input type="checkbox"/>	<input type="checkbox"/> Number of publications
Publications in refereed journals	<input type="checkbox"/>	<input type="checkbox"/> Number of publications in refereed journals
Other publications intended for widespread distribution (books etc.)	<input type="checkbox"/>	<input type="checkbox"/> Number of other publications
Outputs made available electronically (reports, data sets, code, shareware or other software items made available via the web, CD-ROMs etc.)	<input type="checkbox"/>	<input type="checkbox"/> Number of outputs made available electronically
Public presentations of results (seminars, conferences, radio, TV etc.)	<input type="checkbox"/>	<input type="checkbox"/> Number of public presentations of results
Patents	<input type="checkbox"/>	<input type="checkbox"/> Number of patents
Copyrights, trademarks, registered designs, know-how agreements etc.	<input type="checkbox"/>	<input type="checkbox"/> Number of copyrights, trademarks, registered designs, know-how agreements etc.
Licences issued	<input type="checkbox"/>	<input type="checkbox"/> Number of licences issued
New products	<input type="checkbox"/>	<input type="checkbox"/> Number of new products to which project will contribute
New processes	<input type="checkbox"/>	<input type="checkbox"/> Number of new processes to which project will contribute
New services	<input type="checkbox"/>	<input type="checkbox"/> Number of new services to which project will contribute
Contribution to technical standards	<input type="checkbox"/>	<input type="checkbox"/> Number of technical standards to which project will contribute
Regulations or directives affected	<input type="checkbox"/>	<input type="checkbox"/> Number regulations or directives to which project will contribute
Qualifications gained by personnel as a result of the project (PhDs etc.)	<input type="checkbox"/>	<input type="checkbox"/> Number of qualifications gained

Section 5 Economic Impacts on Your Organisation

Please indicate the likelihood of the following downstream economic impacts on your organisation as a result of your participation in this project, together with some indication of the relative scale of the expected impacts and a quantitative estimate of percentage change where applicable. Leave blank if not relevant, or when no further impacts are expected.

Economic Impacts	Likelihood of Future Impacts Low High 1 2 3 4 5	Scale of Expected Impacts				Overall Expected Percentage Change (where applicable)
		By Project End	0-3 Years after Project End	3-10 Years after Project End		
		Minor Major 1 2 3 4 5	Minor Major 1 2 3 4 5	Minor Major 1 2 3 4 5		
Increased turnover	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Increased profits	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Greater savings	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Improved financial viability	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		
Expanded share of existing markets	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Creation of entirely new markets	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		
Entry into new markets for your organisation	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		
Entry into new geographical markets for your organisation	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		
Increased productivity	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Increased competitiveness	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	

If you expect your project to improve the competitiveness of your organisation, please indicate the likelihood of achieving this improvement via any of the following routes. Also indicate the relative scale of the expected impacts and provide a quantitative estimate of percentage change where applicable. Please leave blank if not relevant, or when no further impacts are expected.

Routes to Enhanced Competitiveness	Likelihood of Future Impacts Low High 1 2 3 4 5	Scale of Expected Impacts				Overall Expected Percentage Change (where applicable)
		By Project End	0-3 Years after Project End	3-10 Years after Project End		
		Minor Major 1 2 3 4 5	Minor Major 1 2 3 4 5	Minor Major 1 2 3 4 5		
Reduced labour costs	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Reduced capital costs	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Reduced material input costs	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Lower energy costs	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Reduced overheads	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Higher quality goods, services etc.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		
Lower prices	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Expanded product/service range	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		
Enhanced reputation for leading-edge technology	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		
Improved innovation performance	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		
Reduced throughput time	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Faster time to market	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Greater production flexibility	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		
Establishment of <i>de facto</i> standards	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		

Please indicate the relative scale and timing of expected commercial returns, together with a quantitative estimate of overall expected commercial returns in MEURO.

Commercial Returns	Scale of Expected Impacts						Overall Expected Commercial Returns					
	By Project End		0-3 Years after Project End		3-10 Years after Project End							
	Minor	Major	Minor	Major	Minor	Major						
	1	2	3	4	5	1	2	3	4	5		
Commercial returns in local markets	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>					MEURO
Commercial returns in regional markets	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	5				> 10,000
Commercial returns in national markets	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	4				1,000 – 10,000
Commercial returns in EU markets	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	3				100 – 1,000
Commercial returns in global markets	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	2				10 – 100
								1				0 – 1

Section 6 EU Policy Goals

Framework RTD Programmes are intended to achieve a range of high-level policy goals. Please indicate the probability of your project contributing to each of the following policy goals using a scale of 0 (no probability) to 10 (absolute certainty).

If your project is likely to contribute to these goals, please characterise the expected impacts of your organisation's participation in this project over the next ten years at local, regional, national, European and global levels. Leave blank if no impacts are expected, **and indicate negative impacts with a minus (-) sign.**

Policy Goals	Probability of Contributing to Policy Goal 0 - 10	Scale of Expected Impacts over the Next Ten Years														
		Local Level		Regional Level		National Level		European Level		Global Level						
		Low	High	Low	High	Low	High	Low	High	Low	High					
		1	2	3	4	5	1	2	3	4	5	1	2	3	4	5
Improved employment situation	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved quality of life and health	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved preservation of the environment	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved economic development and growth	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved competitiveness	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved scientific and technological capability	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Establishment of critical RTD masses	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Increased levels of investment in RTD	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Development of standards	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved inputs to policy formulation	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved inputs to regulation and legislation	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved cohesion across the EU	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Implementation of Community goals in general	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Other (please specify) _____	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Please indicate the relative scale and timing of expected impacts in the following areas, together with a quantitative estimate of overall expected impact. Leave blank if no impacts are expected, **and indicate negative impacts with a minus (-) sign.**

Employment	Scale of Expected Impacts		Overall Expected Employment Change
	0-3 Years after Project End Minor Major 1 2 3 4 5	3-10 Years after Project End Minor Major 1 2 3 4 5	
Net employment growth in own RTD workforce	<input type="text"/>	<input type="text"/>	<input type="text"/> Full Time Equivalents
Net employment growth in own organisation	<input type="text"/>	<input type="text"/>	<input type="text"/> 5 > 10,000
Net employment growth in project consortium	<input type="text"/>	<input type="text"/>	<input type="text"/> 4 1,000 – 10,000
Net employment growth in customer and supply chains	<input type="text"/>	<input type="text"/>	<input type="text"/> 3 100 – 1,000
Net employment growth in economy at large	<input type="text"/>	<input type="text"/>	<input type="text"/> 2 10 – 100
			<input type="text"/> 1 0 – 10

Quality of Life	Scale of Expected Impacts		Overall Expected Number of People Affected
	0-3 Years after Project End Minor Major 1 2 3 4 5	3-10 Years after Project End Minor Major 1 2 3 4 5	
Improved health care	<input type="text"/>	<input type="text"/>	<input type="text"/> Number of People Affected
Improved consumer nutrition	<input type="text"/>	<input type="text"/>	<input type="text"/> 5 > 10,000
Improved safety	<input type="text"/>	<input type="text"/>	<input type="text"/> 4 1,000 – 10,000
Improved quality of life for the elderly and disabled	<input type="text"/>	<input type="text"/>	<input type="text"/> 3 100 – 1,000
Improved education and culture	<input type="text"/>	<input type="text"/>	<input type="text"/> 2 10 – 100
			<input type="text"/> 1 0 – 10

Environment	Scale of Expected Impacts		Overall Expected Percentage Reduction in Pollutant or Resource Saved
	0-3 Years after Project End Minor Major 1 2 3 4 5	3-10 Years after Project End Minor Major 1 2 3 4 5	
Reduced pollution, noise or radiation	<input type="text"/>	<input type="text"/>	<input type="text"/> % Reduction
Increased preservation of natural resources and heritage	<input type="text"/>	<input type="text"/>	<input type="text"/> 5 > 10%
Cleaner production and rational use of energy	<input type="text"/>	<input type="text"/>	<input type="text"/> 4 1 – 10%
			<input type="text"/> 3 0.1 – 1%
			<input type="text"/> 2 0.01 – 0.1%
			<input type="text"/> 1 0 – 0.01%

Support for the Development of Standards, Regulations and Policies	Scale of Expected Impacts		Overall Expected Level or Sphere of Impact
	0-3 Years after Project End Minor Major 1 2 3 4 5	3-10 Years after Project End Minor Major 1 2 3 4 5	
In the area of scientific infrastructure	<input type="text"/>	<input type="text"/>	<input type="text"/> Impact Level
In the area of transport or communications infrastructures	<input type="text"/>	<input type="text"/>	<input type="text"/> 5 Global
In the area of enterprise and market development	<input type="text"/>	<input type="text"/>	<input type="text"/> 4 European
In the area of energy and environment	<input type="text"/>	<input type="text"/>	<input type="text"/> 3 National
In the area of regional development and cohesion	<input type="text"/>	<input type="text"/>	<input type="text"/> 2 Regional
			<input type="text"/> 1 Local

Appendix 2

Questionnaire 2

Project End

To be completed by a member of the project team in conjunction with a representative of senior management from the organisational unit most likely to benefit directly from the conduct of the project, e.g. a university department, an independent firm or a subsidiary or division of a large multi-national.

NB Please note that this questionnaire is to be completed by participants from a wide range of organisations involved in very different project types across the whole of the Fifth Framework RTD Programme. Many questions are thus more applicable to some projects than to others.

Respondents are only expected to complete those parts of questions which are most relevant to their participation.

Section 1 Project and Organisational Details

Name of Representative of Senior Management

Position within Organisation

Name of Project Representative

Position within Organisation

Function In Project Technical Contact Administrative Contact Research Partner Other (please specify)

Name of Organisation

Address Street No. Street City Country Post Code

Tel Fax Email Website

Role of Organisation in Project Co-ordinator/Main Partner Partner Associate Partner

Status of Organisation University Lab or Department Public Research Institute/Centre

Private or Semi-public Research Institute Public Utility/Authority

Independent Private Company Subsidiary of Larger Enterprise

Other (please specify)

Organisational Details Employment (in last financial year in unit specified above e.g. independent company, subsidiary, department etc.)

RTD Staff (in same unit)

Turnover (if applicable, of same unit in last financial year)

R&D Budget as % of Turnover (in same unit)

Industrial Sector NACE Code (if known)

Project Details Project Title RTD Programme Contract Number

Section 2 Nature of Your Project

With hindsight, please indicate the strategic importance of this project to your organisation.

Minor importance	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Major importance
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Please indicate whether or not the project has led to significant commercial returns for your organisation and whether any are expected in future. Leave blank if none realised or anticipated.

Negligible commercial returns to date Negligible commercial returns expected in future	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%;"><input type="checkbox"/></td> <td style="width: 20%;"><input type="checkbox"/></td> <td style="width: 20%;"><input type="checkbox"/></td> <td style="width: 20%;"><input type="checkbox"/></td> <td style="width: 20%;"><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> </table>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Significant commercial returns to date Significant commercial returns expected in future
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>								

Please tick each of the following scales to characterise the nature of your organisation's participation in this project.

Low cost	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	High cost
Low risk	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	High risk
Technically trivial	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Technically complex
Routine	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Exciting
Necessary	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	A luxury
Short-term	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Long-term
Fundamental	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Applied
Curiosity-driven	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Mission-oriented
RTD-oriented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Diffusion-oriented
Product-oriented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Process-oriented
In a core technology for your organisation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	In a peripheral area for your organisation
Feasible without collaborators	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Only feasible with collaborators

With hindsight, what would have happened if the project as a whole had not received EU funding support?

<input type="checkbox"/>	Project would not have been undertaken by any of the partners				
<input type="checkbox"/>	Project would have continued without EU funding but your organisation would not have participated in it	<input type="checkbox"/>	With no partners	<input type="checkbox"/>	With reduced funds
<input type="checkbox"/>	Your organisation would have participated, but:	<input type="checkbox"/>	With fewer partners	<input type="checkbox"/>	With reduced objectives
		<input type="checkbox"/>	With other partners	<input type="checkbox"/>	With longer time scale
		<input type="checkbox"/>	With same partners	<input type="checkbox"/>	Other (please specify)

Section 3 Outcomes for Your Organisation

The goals normally associated with collaborative RTD programmes can be classified as follows:

- **Knowledge-oriented goals.** These are goals of a technical nature concerned with the expansion and consolidation of know-how and knowledge bases. Examples include ‘Deepen Understanding’, ‘Upgrade Skills’ and ‘Develop New Tools and Techniques’
- **Exploitation-oriented goals.** Some goals have a strategic or commercial orientation and are more concerned than others with the eventual exploitation of knowledge and skill bases. Examples include ‘Develop New Products’, ‘Production of Patents and Licences’ and ‘Improve Competitiveness’
- **Network-oriented goals.** These relate to network formation and the establishment of new links and partnerships. They have a structural or systemic nature in that they invariably refer to the relationship between an organisation and its environment. Examples include ‘Access Academic Know-how’ and ‘Establish New Academic-Industry Links’
- **Strategic Management-oriented goals.** Goals such as ‘Access Additional Funds’, ‘Reduce Costs’ and ‘Spread Risks’ reflect a combination of opportunistic, economical and parsimonious practices characteristic of sound R&D management and stewardship

Participation in collaborative programmes provides organisations with an opportunity to attain goals such as these. Please estimate the scale of actual changes in organisational capabilities, performance or behaviour in the following areas as a consequence of your organisation’s participation in this project.

Also indicate the importance of European collaboration to the attainment of changes such as these. Leave blank if European collaboration was not important.

Goals	Actual Change in Organisational Capabilities, Performance or Behaviour						Importance of European Collaboration							
	Minor	1	2	3	4	5	Major	Minor	1	2	3	4	5	Major
Knowledge-oriented Goals e.g. to improve the ‘knowledge base’ of organisation														
Exploitation-oriented Goals e.g. to improve exploitation potential and commercial rewards														
Network-oriented Goals e.g. to improve networking abilities and establish new links														
Strategic Management Goals e.g. to improve the strategic management of RTD resources														

Please specify what you think were the main obstacles to overall goal attainment and project progress. Leave blank if not relevant.

Obstacles to Progress	Importance of Obstacle to Progress Low 1 2 3 4 5 High					Obstacles to Progress	Importance of Obstacle to Progress Low 1 2 3 4 5 High				
Over ambitious project goals						Levels of interest within partners					
Intrinsic technological difficulty						Competence of EU officials					
Technological developments elsewhere in the world						Restructuring or strategic shifts within own organisation					
Constraints on availability of relevant technological inputs						Restructuring or strategic shifts within partner organisations					
Constraints on availability of qualified personnel						Transaction and communication costs of collaborative RTD					
Competence of own organisation						Disagreements over intellectual property rights (ipr)					
Levels of interest within own organisation						Insufficient funding					
Competence of partners						Divergent objectives of partners					

The outcomes associated with collaborative RTD are many and varied. Please indicate whether any of the following outcomes occurred or are likely to occur as a result of your participation in this project. Leave blank if not relevant.

Also indicate the relative scale of actual and expected achievements and subsequent impacts in the relevant areas. Leave blank when no further impacts are expected.

Outcomes	Relevance of Outcome to Project		Scale of Actual Achievements and Impacts by Project End		Scale of Expected Achievements and Impacts			
	Low	High	Minor	Major	0-3 Years after Project End		3-10 Years after Project End	
	1	2 3 4 5	1	2 3 4 5	Minor	Major	1	2 3 4 5
Knowledge-oriented Outcomes								
Enhanced organisation's knowledge base	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Maintained expertise in a research area	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Produced new knowledge	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Explored new, alternative scientific and technological paths	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Accelerated RTD	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gained deeper understanding in core scientific and technological areas	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Reoriented organisation's RTD portfolio towards longer-term RTD	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Monitored scientific and technological developments in the field	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Developed, evaluated or improved tools, methods, techniques and tests	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Broadened scope of RTD activity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Produced publications, PhDs etc.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Enhanced skills of RTD staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Increased or maintained number of RTD staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Network-oriented Outcomes								
Gained access to complementary sources of expertise, know-how and/or technology	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Transferred expertise, know-how and/or technology	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Overcame failure to locate appropriate national partners and expertise	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Formed new research partnerships and networks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Formed new, longer-term business alliances	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Monitored competitors' activity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Improved co-operation with universities and research institutes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Improved co-operation with firms	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Improved co-operation with suppliers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Improved co-operation with customers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gained follow-on entry into other programmes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gained follow-on entry into RTD and business collaborations in the private sector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Enhanced reputation and image of the organisation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gained opportunity to work in other organisations abroad	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Outcomes	Relevance of Outcome to Project Low High 1 2 3 4 5	Scale of Actual Achievements and Impacts by Project End Minor Major 1 2 3 4 5	Scale of Expected Achievements and Impacts	
			0-3 Years after Project End Minor Major 1 2 3 4 5	3-10 Years after Project End Minor Major 1 2 3 4 5
Exploitation-oriented Outcomes				
Reoriented RTD portfolio towards shorter-term, exploitation-oriented RTD	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Produced demonstrators, prototypes, pilots etc.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Produced patents and licences	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Developed or improved new software or codes	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Developed or improved new products	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Developed or improved new processes	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Developed or improved new services	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Developed or improved standards	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Implemented field trials	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Learned to work in new markets	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved competitiveness of organisation	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Increased turnover, market share or productivity of organisation	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Ensured dissemination of project results	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved protection of the environment	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved the quality of life	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Strategic Management Outcomes				
Gained access to additional public funds	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Generated in-house contribution to project	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Reduced in-house contribution to project	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Shared costs between partners	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Reduced financial risks	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Reduced technological risks	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Other Outcomes (Please specify)				
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Section 4 Project Outputs

Please provide actual data and/or estimates for the following outputs. Leave blank if not relevant, or when no further outputs are expected

Output	Number of Outputs during Project	Number Expected 0-3 Years after Project End	Number Expected 3-10 Years after Project End
New tools or techniques	<input type="text"/>	<input type="text"/>	<input type="text"/>
Demonstrators, prototypes, pilots etc.	<input type="text"/>	<input type="text"/>	<input type="text"/>
Publications in limited distribution 'grey literature' (e.g. conference papers, policy documents)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Publications in refereed journals	<input type="text"/>	<input type="text"/>	<input type="text"/>
Other publications intended for widespread distribution (books etc.)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Outputs made available electronically (reports, data sets, code, shareware or other software items made available via the web, CD-ROMs etc.)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Public presentations of results (seminars, conferences, radio, TV etc.)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Patent applications	<input type="text"/>	<input type="text"/>	<input type="text"/>
Patents granted	<input type="text"/>	<input type="text"/>	<input type="text"/>
Copyrights, trademarks, registered designs, know-how agreements etc.	<input type="text"/>	<input type="text"/>	<input type="text"/>
Licences issued	<input type="text"/>	<input type="text"/>	<input type="text"/>
Contribution to new products	<input type="text"/>	<input type="text"/>	<input type="text"/>
Contribution to new processes	<input type="text"/>	<input type="text"/>	<input type="text"/>
Contribution to new services	<input type="text"/>	<input type="text"/>	<input type="text"/>
Contribution to technical standards	<input type="text"/>	<input type="text"/>	<input type="text"/>
Contribution to regulations or directives	<input type="text"/>	<input type="text"/>	<input type="text"/>
Qualifications gained by personnel as a result of the project (PhDs etc.)	<input type="text"/>	<input type="text"/>	<input type="text"/>

Section 5 Economic Impacts on Your Organisation

Please indicate the relative scale of the following downstream impacts to date as a result of your participation in this project. Also indicate the likelihood of future impacts and their expected scale, with a quantitative estimate of percentage change where applicable. Leave blank if not relevant, or when no further impacts are expected.

Economic Impacts	Scale of Actual Impacts by Project End		Likelihood of Future Impacts		Scale of Expected Impacts					
	Minor Major		Low High		0-3 Years after Project End		3-10 Years after Project End		Overall Expected Percentage Change (where applicable)	
	1 2 3 4 5		1 2 3 4 5		Minor Major	1 2 3 4 5	Minor Major	1 2 3 4 5		
Increased turnover	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Increased profits	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Greater savings	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved financial viability	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Expanded share of existing markets	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Creation of entirely new markets	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Entry into new markets for your organisation	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Entry into new geographical markets for your organisation	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Increased productivity	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Increased competitiveness	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

If your project has improved the competitiveness of your organisation via any of the following routes, please indicate the relative scale of actual impacts to date. Also indicate the likelihood of future impacts and their expected scale, with a quantitative estimate of percentage change where applicable. Please leave blank if not relevant, or when no further impacts are expected.

Routes to Enhanced Competitiveness	Scale of Actual Impacts by Project End		Likelihood of Future Impacts		Scale of Expected Impacts					
	Minor Major		Low High		0-3 Years after Project End		3-10 Years after Project End		Overall Expected Percentage Change (where applicable)	
	1 2 3 4 5		1 2 3 4 5		Minor Major	1 2 3 4 5	Minor Major	1 2 3 4 5		
Reduced labour costs	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Reduced capital costs	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Reduced material input costs	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Lower energy costs	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Reduced overheads	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Higher quality goods, services etc.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Lower prices	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Expanded product/service range	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Enhanced reputation for leading-edge technology	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved innovation performance	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Reduced throughput time	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Faster time to market	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Greater production flexibility	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Establishment of <i>de facto</i> standards	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Please indicate the relative scale and timing of actual and expected commercial returns, together with a quantitative estimate of overall expected commercial returns in MEURO.

Commercial Returns	Scale of Actual Impacts By Project End Minor Major 1 2 3 4 5	Scale of Expected Impacts				Overall Expected Commercial Returns
		0-3 Years after Project End Minor Major 1 2 3 4 5		3-10 Years after Project End Minor Major 1 2 3 4 5		
		Commercial returns in local markets	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Commercial returns in regional markets	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		
Commercial returns in national markets	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		
Commercial returns in EU markets	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		
Commercial returns in global markets	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		

Section 6 EU Policy Goals

Framework RTD Programmes are intended to achieve a range of high-level policy goals. Please indicate the probability of your project contributing to each of the following policy goals using a scale of 0 (no probability) to 10 (absolute certainty).

If your project has, or is likely to, contribute to these goals in the future, please characterise the actual and expected impacts of your organisation’s participation over the next ten years at local, regional, national, European and global levels. Leave blank if no impacts are expected, **and indicate negative impacts with a minus (-) sign.**

Policy Goals	Probability of Contributing to Policy Goal 0 - 10	Scale of Actual and Expected Impacts									
		Local Level		Regional Level		National Level		European Level		Global Level	
		Low	High	Low	High	Low	High	Low	High	Low	High
		1	2	3	4	5	1	2	3	4	5
		To	Over Next	To	Over Next	To	Over Next	To	Over Next	To	Over Next
		Date	10 Years	Date	10 Years	Date	10 Years	Date	10 Years	Date	10 Years
Improved employment situation	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved quality of life and health	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved preservation of the environment	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved economic development and growth	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved competitiveness	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved scientific and technological capability	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Establishment of critical RTD masses	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Increased levels of investment in RTD	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Development of standards	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved inputs to policy formulation	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved inputs to regulation and legislation	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved cohesion across the EU	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Implementation of Community goals in general	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Other (please specify) _____	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Please indicate the relative scale and timing of expected impacts in the following areas, together with a quantitative estimate of overall expected impact. Leave blank if no impacts are expected, **and indicate negative impacts with a minus (-) sign.**

Employment	Scale of Expected Impacts		Overall Expected Employment Change
	0-3 Years after Project End Minor Major 1 2 3 4 5	3-10 Years after Project End Minor Major 1 2 3 4 5	<input type="text"/> Full Time <input type="text"/> Equivalents <input type="text"/> 5 > 10,000 <input type="text"/> 4 1,000 – 10,000 <input type="text"/> 3 100 – 1,000 <input type="text"/> 2 10 – 100 <input type="text"/> 1 0 – 10
Net employment growth in own RTD workforce	<input type="text"/>	<input type="text"/>	
Net employment growth in own organisation	<input type="text"/>	<input type="text"/>	
Net employment growth in project consortium	<input type="text"/>	<input type="text"/>	
Net employment growth in customer and supply chains	<input type="text"/>	<input type="text"/>	
Net employment growth in economy at large	<input type="text"/>	<input type="text"/>	
Quality of Life	Scale of Expected Impacts		Overall Expected Number of People Affected
	0-3 Years after Project End Minor Major 1 2 3 4 5	3-10 Years after Project End Minor Major 1 2 3 4 5	<input type="text"/> Number of People <input type="text"/> Affected <input type="text"/> 5 > 10,000 <input type="text"/> 4 1,000 – 10,000 <input type="text"/> 3 100 – 1,000 <input type="text"/> 2 10 – 100 <input type="text"/> 1 0 – 10
Improved health care	<input type="text"/>	<input type="text"/>	
Improved consumer nutrition	<input type="text"/>	<input type="text"/>	
Improved safety	<input type="text"/>	<input type="text"/>	
Improved quality of life for the elderly and disabled	<input type="text"/>	<input type="text"/>	
Improved education and culture	<input type="text"/>	<input type="text"/>	
Environment	Scale of Expected Impacts		Overall Expected Percentage Reduction in Pollutant or Resource Saved
	0-3 Years after Project End Minor Major 1 2 3 4 5	3-10 Years after Project End Minor Major 1 2 3 4 5	<input type="text"/> % Reduction <input type="text"/> 5 > 10% <input type="text"/> 4 1 – 10% <input type="text"/> 3 0.1 – 1% <input type="text"/> 2 0.01 – 0.1% <input type="text"/> 1 0 – 0.01%
Reduced pollution, noise or radiation	<input type="text"/>	<input type="text"/>	
Increased preservation of natural resources and heritage	<input type="text"/>	<input type="text"/>	
Cleaner production and rational use of energy	<input type="text"/>	<input type="text"/>	
Support for the Development of Standards, Regulations and Policies	Scale of Expected Impacts		Overall Expected Level or Sphere of Impact
	0-3 Years after Project End Minor Major 1 2 3 4 5	3-10 Years after Project End Minor Major 1 2 3 4 5	<input type="text"/> Impact Level <input type="text"/> 5 Global <input type="text"/> 4 European <input type="text"/> 3 National <input type="text"/> 2 Regional <input type="text"/> 1 Local
In the area of scientific infrastructure	<input type="text"/>	<input type="text"/>	
In the area of transport or communications infrastructures	<input type="text"/>	<input type="text"/>	
In the area of enterprise and market development	<input type="text"/>	<input type="text"/>	
In the area of energy and environment	<input type="text"/>	<input type="text"/>	
In the area of regional development and cohesion	<input type="text"/>	<input type="text"/>	

Appendix 3

Questionnaire 3

Project End Plus Three Years

To be completed by a member of the project team in conjunction with a representative of senior management from the organisational unit most likely to benefit directly from the conduct of the project, e.g. a university department, an independent firm or a subsidiary or division of a large multi-national.

NB Please note that this questionnaire is to be completed by participants from a wide range of organisations involved in very different project types across the whole of the Fifth Framework RTD Programme. Many questions are thus more applicable to some projects than to others. Respondents are only expected to complete those parts of questions which are most relevant to their participation.

Section 1 Project and Organisational Details

Name of Representative of Senior Management

Position within Organisation

Name of Project Representative

Position within Organisation

Function In Project Technical Contact Administrative Contact Research Partner Other (please specify)

Name of Organisation

Address Street No. Street City Country Post Code

Tel Fax Email Website

Role of Organisation in Project Co-ordinator/Main Partner Partner Associate Partner

Status of Organisation University Lab or Department Public Research Institute/Centre

Private or Semi-public Research Institute Public Utility/Authority

Independent Private Company Subsidiary of Larger Enterprise

Other (please specify)

Organisational Details Employment (in last financial year in unit specified above e.g. independent company, subsidiary, department etc.)

RTD Staff (in same unit)

Turnover (if applicable, of same unit in last financial year)

R&D Budget as % of Turnover (in same unit)

Industrial Sector NACE Code (if known)

Project Details Project Title RTD Programme Contract Number

Section 2 Nature of Your Project

With hindsight, please indicate the strategic importance of this project to your organisation.

Minor importance	<input style="width: 20px; height: 20px; margin: 0 5px;" type="text"/> <input style="width: 20px; height: 20px; margin: 0 5px;" type="text"/> <input style="width: 20px; height: 20px; margin: 0 5px;" type="text"/> <input style="width: 20px; height: 20px; margin: 0 5px;" type="text"/> <input style="width: 20px; height: 20px; margin: 0 5px;" type="text"/>	Major importance
------------------	--	------------------

Please indicate whether or not the project has led to significant commercial returns for your organisation and whether any are expected in future. Leave blank if none realised or anticipated.

Negligible commercial returns to date Negligible commercial returns expected in future	<table style="margin: auto;"> <tr> <td><input style="width: 20px; height: 20px;" type="text"/></td> <td><input style="width: 20px; height: 20px;" type="text"/></td> <td><input style="width: 20px; height: 20px;" type="text"/></td> <td><input style="width: 20px; height: 20px;" type="text"/></td> <td><input style="width: 20px; height: 20px;" type="text"/></td> </tr> <tr> <td><input style="width: 20px; height: 20px;" type="text"/></td> <td><input style="width: 20px; height: 20px;" type="text"/></td> <td><input style="width: 20px; height: 20px;" type="text"/></td> <td><input style="width: 20px; height: 20px;" type="text"/></td> <td><input style="width: 20px; height: 20px;" type="text"/></td> </tr> </table>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	Significant commercial returns to date Significant commercial returns expected in future
<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>								
<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>								

With hindsight, what would have happened if the project as a whole had not received EU funding support?

<input style="width: 40px; height: 20px;" type="text"/>	Project would not have been undertaken by any of the partners		<input style="width: 40px; height: 20px;" type="text"/>	With reduced funds
<input style="width: 40px; height: 20px;" type="text"/>	Project would have continued without EU funding but your organisation would not have participated in it	<input style="width: 40px; height: 20px;" type="text"/>	<input style="width: 40px; height: 20px;" type="text"/>	With reduced objectives
<input style="width: 40px; height: 20px;" type="text"/>	Your organisation would have participated, but:	<input style="width: 40px; height: 20px;" type="text"/>	<input style="width: 40px; height: 20px;" type="text"/>	With longer time scale
		<input style="width: 40px; height: 20px;" type="text"/>	<input style="width: 40px; height: 20px;" type="text"/>	Other (please specify)
		<input style="width: 40px; height: 20px;" type="text"/>	<input style="width: 40px; height: 20px;" type="text"/>	
		<input style="width: 40px; height: 20px;" type="text"/>	<input style="width: 40px; height: 20px;" type="text"/>	
		<input style="width: 40px; height: 20px;" type="text"/>	<input style="width: 40px; height: 20px;" type="text"/>	

Section 3 Impacts on Your Organisation

The goals normally associated with collaborative RTD programmes can be classified as follows:

- **Knowledge-oriented goals.** These are goals of a technical nature concerned with the expansion and consolidation of know-how and knowledge bases
- **Exploitation-oriented goals.** These are goals with a strategic or commercial orientation concerned with the eventual exploitation of knowledge and skill bases
- **Network-oriented goals.** These relate to network formation and the establishment of new links and partnerships
- **Strategic Management-oriented goals.** These are goals such as ‘Access Additional Funds’, ‘Reduce Costs’ and ‘Spread Risks’ which reflect a combination of opportunistic, economical and parsimonious practices characteristic of sound R&D management and stewardship

Participation in collaborative programmes provides organisations with an opportunity to attain goals such as these. Please estimate the scale of actual changes in organisational capabilities, performance or behaviour in the following areas as a consequence of your organisation’s participation in this project. Also indicate the importance of European collaboration to the attainment of changes such as these. Leave blank if European collaboration was not important.

Goals	Actual Change in Organisational Capabilities, Performance or Behaviour							Importance of European Collaboration						
	Minor	1	2	3	4	5	Major	Minor	1	2	3	4	5	Major
Knowledge-oriented Goals e.g. to improve the ‘knowledge base’ of organisation														
Exploitation-oriented Goals e.g. to improve exploitation potential and commercial rewards														
Network-oriented Goals e.g. to improve networking abilities and establish new links														
Strategic Management Goals e.g. to improve the strategic management of RTD resources														

The impacts associated with collaborative RTD are many and varied. Please indicate whether any of the following impacts occurred or are likely to occur as a result of your participation in this project. Leave blank if not relevant.

Also indicate the relative scale of actual and expected achievements and subsequent impacts in the relevant areas. Leave blank when no further impacts are expected.

Impacts	Relevance of Impact to Project Low High 1 2 3 4 5	Scale of Actual Achievements and Impacts Minor Major 1 2 3 4 5	Scale of Expected Impacts 3-10 Years after Project End Minor Major 1 2 3 4 5
Knowledge-oriented Impacts			
Enhanced organisation's knowledge base	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Maintained expertise in a research area	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Produced new knowledge	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Explored new, alternative scientific and technological paths	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Accelerated RTD	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gained deeper understanding in core scientific and technological areas	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Reoriented organisation's RTD portfolio towards longer-term RTD	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Monitored scientific and technological developments in the field	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Developed, evaluated or improved tools, methods, techniques and tests	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Broadened scope of RTD activity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Produced publications, PhDs etc.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Enhanced skills of RTD staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Increased or maintained number of RTD staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Network-oriented Impacts			
Gained access to complementary sources of expertise, know-how and/or technology	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Transferred expertise, know-how and/or technology	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Overcame failure to locate appropriate national partners and expertise	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Formed new research partnerships and networks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Formed new, longer-term business alliances	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Monitored competitors' activity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Improved co-operation with universities and research institutes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Improved co-operation with firms	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Improved co-operation with suppliers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Improved co-operation with customers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gained follow-on entry into other programmes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gained follow-on entry into RTD and business collaborations in the private sector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Enhanced reputation and image of the organisation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gained opportunity to work in other organisations abroad	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Impacts	Relevance of Impact to Project Low High 1 2 3 4 5	Scale of Actual Achievements and Impacts Minor Major 1 2 3 4 5	Scale of Expected Impacts 3-10 Years after Project End Minor Major 1 2 3 4 5
Exploitation-oriented Impacts			
Reoriented RTD portfolio towards shorter-term, exploitation-oriented RTD	<input type="text"/>	<input type="text"/>	<input type="text"/>
Produced demonstrators, prototypes, pilots etc.	<input type="text"/>	<input type="text"/>	<input type="text"/>
Produced patents and licences	<input type="text"/>	<input type="text"/>	<input type="text"/>
Developed or improved new software or codes	<input type="text"/>	<input type="text"/>	<input type="text"/>
Developed or improved new products	<input type="text"/>	<input type="text"/>	<input type="text"/>
Developed or improved new processes	<input type="text"/>	<input type="text"/>	<input type="text"/>
Developed or improved new services	<input type="text"/>	<input type="text"/>	<input type="text"/>
Developed or improved standards	<input type="text"/>	<input type="text"/>	<input type="text"/>
Implemented field trials	<input type="text"/>	<input type="text"/>	<input type="text"/>
Learned to work in new markets	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved competitiveness of organisation	<input type="text"/>	<input type="text"/>	<input type="text"/>
Increased turnover, market share or productivity of organisation	<input type="text"/>	<input type="text"/>	<input type="text"/>
Ensured dissemination of project results	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved protection of the environment	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved the quality of life	<input type="text"/>	<input type="text"/>	<input type="text"/>
Strategic Management Impacts			
Gained access to additional public funds	<input type="text"/>	<input type="text"/>	<input type="text"/>
Generated in-house contribution to project	<input type="text"/>	<input type="text"/>	<input type="text"/>
Reduced in-house contribution to project	<input type="text"/>	<input type="text"/>	<input type="text"/>
Shared costs between partners	<input type="text"/>	<input type="text"/>	<input type="text"/>
Reduced financial risks	<input type="text"/>	<input type="text"/>	<input type="text"/>
Reduced technological risks	<input type="text"/>	<input type="text"/>	<input type="text"/>
Other Impacts (Please specify)	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>

Section 4 Project Outputs

Please provide actual data and/or estimates for the following outputs. Leave blank if not relevant, or when no further outputs are expected.

Output	Number of Outputs 3 Years after Project End		Number Expected 3-10 Years after Project End	
New tools or techniques		<input type="text"/>		<input type="text"/>
Demonstrators, prototypes, pilots etc.		<input type="text"/>		<input type="text"/>
Publications in limited distribution 'grey literature' (e.g. conference papers, policy documents)		<input type="text"/>		<input type="text"/>
Publications in refereed journals		<input type="text"/>		<input type="text"/>
Other publications intended for widespread distribution (books etc.)		<input type="text"/>		<input type="text"/>
Outputs made available electronically (reports, data sets, code, shareware or other software items made available via the web, CD-ROMs etc.)		<input type="text"/>		<input type="text"/>
Public presentations of results (seminars, conferences, radio, TV etc.)		<input type="text"/>		<input type="text"/>
Patent applications		<input type="text"/>		<input type="text"/>
Patents granted		<input type="text"/>		<input type="text"/>
Copyrights, trademarks, registered designs, know-how agreements etc.		<input type="text"/>		<input type="text"/>
Licences issued		<input type="text"/>		<input type="text"/>
Resultant products		<input type="text"/>		<input type="text"/>
Resultant processes		<input type="text"/>		<input type="text"/>
Resultant services		<input type="text"/>		<input type="text"/>
Technical standards affected		<input type="text"/>		<input type="text"/>
Regulations or directives affected		<input type="text"/>		<input type="text"/>
Qualifications gained by personnel as a result of the project (PhDs etc.)		<input type="text"/>		<input type="text"/>

Section 5 Economic Impacts on Your Organisation

Please indicate the relative scale of the following downstream impacts to date as a result of your participation in this project. Also indicate the likelihood of future impacts and their expected scale, with a quantitative estimate of percentage change where applicable. Leave blank if not relevant, or when no further impacts are expected.

Economic Impacts	Scale of Actual Impacts 3 Years after Project End		Likelihood of Future Impacts		Scale of Expected Impacts	
	Minor	Major	Low	High	3-10 Years after Project End	Overall Expected Percentage Change (where applicable)
	1	2 3 4 5	1	2 3 4 5	1 2 3 4 5	
Increased turnover	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Increased profits	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Greater savings	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved financial viability	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Expanded share of existing markets	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Creation of entirely new markets	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Entry into new markets for your organisation	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Entry into new geographical markets for your organisation	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Increased productivity	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Increased competitiveness	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

If your project has improved or is expected to improve the competitiveness of your organisation via any of the following routes, please indicate the relative scale of actual impacts to date. Also indicate the likelihood of future impacts and their expected scale, with a quantitative estimate of percentage change where applicable. Please leave blank if not relevant, or when no further impacts are expected.

Routes to Enhanced Competitiveness	Scale of Actual Impacts 3 Years after Project End		Likelihood of Future Impacts		Scale of Expected Impacts	
	Minor	Major	Low	High	3-10 Years after Project End	Overall Expected Percentage Change (where applicable)
	1	2 3 4 5	1	2 3 4 5	1 2 3 4 5	
Reduced labour costs	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Reduced capital costs	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Reduced material input costs	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Lower energy costs	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Reduced overheads	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Higher quality goods, services etc.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Lower prices	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Expanded product/service range	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Enhanced reputation for leading-edge technology	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Improved innovation performance	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Reduced throughput time	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Faster time to market	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Greater production flexibility	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Establishment of <i>de facto</i> standards	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	

Please indicate the relative scale and timing of actual and expected commercial returns, together with a quantitative estimate of overall expected commercial returns in MEURO.

Commercial Returns	Scale of Actual Impacts 3 Years after Project End					Scale of Expected Impacts 3-10 Years after Project End					Overall Expected Commercial Returns	
	Minor	Major				Minor	Major				MEURO	
	1	2	3	4	5	1	2	3	4	5	<input type="text"/>	
Commercial returns in local markets	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Commercial returns in regional markets	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	5 > 10,000
Commercial returns in national markets	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	4 1,000 – 10,000
Commercial returns in EU markets	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	3 100 – 1,000
Commercial returns in global markets	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	2 10 – 100
												1 0 – 1

Section 6 EU Policy Goals

Framework RTD Programmes are intended to achieve a range of high-level policy goals. Please indicate the probability of your project contributing to each of the following policy goals using a scale of 0 (no probability) to 10 (absolute certainty).

If your project has, or is likely to, contribute to these goals in the future, please characterise the actual and expected impacts of your organisation's participation over the next ten years at local, regional, national, European and global levels. Leave blank if no impacts are expected, **and indicate negative impacts with a minus (-) sign.**

Policy Goals	Probability of Contributing to Policy Goal 0 - 10	Scale of Actual and Expected Impacts									
		Local Level		Regional Level		National Level		European Level		Global Level	
		Low	High	Low	High	Low	High	Low	High	Low	High
		1	2	3	4	5	1	2	3	4	5
		To	Over Next	To	Over Next	To	Over Next	To	Over Next	To	Over Next
		Date	10 Years	Date	10 Years	Date	10 Years	Date	10 Years	Date	10 Years
Improved employment situation	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved quality of life and health	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved preservation of the environment	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved economic development and growth	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved competitiveness	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved scientific and technological capability	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Establishment of critical RTD masses	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Increased levels of investment in RTD	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Development of standards	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved inputs to policy formulation	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved inputs to regulation and legislation	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Improved cohesion across the EU	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Implementation of Community goals in general	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Other (please specify) _____	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Please indicate the relative scale and timing of expected impacts in the following areas, together with a quantitative estimate of overall expected impact. Leave blank if no impacts are expected, **and indicate negative impacts with a minus (-) sign.**

Employment	Scale of Actual Impacts 3 Years after Project End Minor Major 1 2 3 4 5	Scale of Expected Impacts 3-10 Years after Project End Minor Major 1 2 3 4 5	Overall Expected Employment Change
Net employment growth in own RTD workforce Net employment growth in own organisation Net employment growth in project consortium Net employment growth in customer and supply chains Net employment growth in economy at large	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> Full Time <input type="text"/> Equivalents <input type="text"/> 5 > 10,000 <input type="text"/> 4 1,000 – 10,000 <input type="text"/> 3 100 – 1,000 <input type="text"/> 2 10 – 100 <input type="text"/> 1 0 – 10
Quality of Life	Scale of Actual Impacts 3 Years after Project End Minor Major 1 2 3 4 5	Scale of Expected Impacts 3-10 Years after Project End Minor Major 1 2 3 4 5	Overall Expected Number of People Affected
Improved health care Improved consumer nutrition Improved safety Improved quality of life for the elderly and disabled Improved education and culture	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> Number of People <input type="text"/> Affected <input type="text"/> 5 > 10,000 <input type="text"/> 4 1,000 – 10,000 <input type="text"/> 3 100 – 1,000 <input type="text"/> 2 10 – 100 <input type="text"/> 1 0 – 10
Environment	Scale of Actual Impacts 3 Years after Project End Minor Major 1 2 3 4 5	Scale of Expected Impacts 3-10 Years after Project End Minor Major 1 2 3 4 5	Overall Expected Percentage Reduction in Pollutant or Resource Saved
Reduced pollution, noise or radiation Increased preservation of natural resources and heritage Cleaner production and rational use of energy	<input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> % Reduction <input type="text"/> 5 > 10% <input type="text"/> 4 1 – 10% <input type="text"/> 3 0.1 – 1% <input type="text"/> 2 0.01 – 0.1% <input type="text"/> 1 0 – 0.01%
Support for the Development of Standards, Regulations and Policies	Scale of Actual Impacts 3 Years after Project End Minor Major 1 2 3 4 5	Scale of Expected Impacts 3-10 Years after Project End Minor Major 1 2 3 4 5	Overall Expected Level or Sphere of Impact
In the area of scientific infrastructure In the area of transport or communications infrastructures In the area of enterprise and market development In the area of energy and environment In the area of regional development and cohesion	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> Impact Level <input type="text"/> 5 Global <input type="text"/> 4 European <input type="text"/> 3 National <input type="text"/> 2 Regional <input type="text"/> 1 Local

