



GOBIERNO  
DE ESPAÑA



MINISTERIO  
DE CIENCIA  
E INNOVACIÓN

SECRETARÍA DE ESTADO  
DE INVESTIGACIÓN

DIRECCIÓN GENERAL  
DE COOPERACIÓN  
INTERNACIONAL


# The Spanish National FP6 Impact Assessment Study

*Rocío Castrillo  
European Office  
Spanish Ministry of Science and Innovation*


**EIGHTH CZECH DAYS FOR EUROPEAN RESEARCH**  
Further perspectives of European Research (and Innovation) Area  
26th October, 2010



MINISTERIO  
DE CIENCIA  
E INNOVACIÓN



GOBIERNO  
DE ESPAÑA



MINISTERIO  
DE CIENCIA  
E INNOVACIÓN

SECRETARÍA DE ESTADO  
DE INVESTIGACIÓN

DIRECCIÓN GENERAL  
DE COOPERACIÓN  
INTERNACIONAL

## 1. Rationale


### Why Impact Assessment?

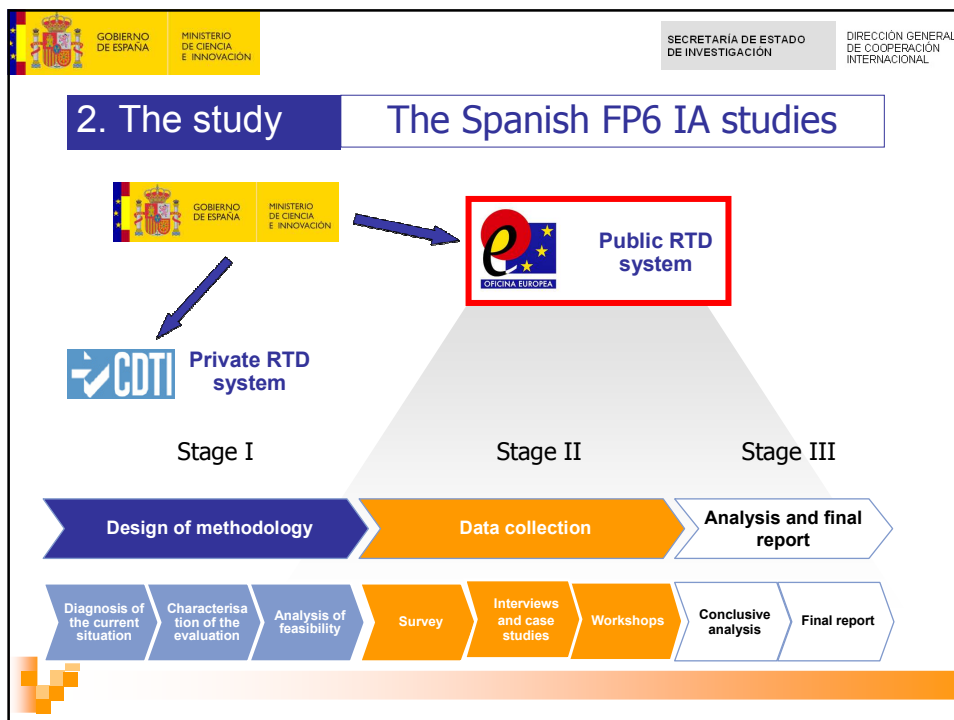
- Statistical information on participation and return rates do not provide all the relevant information for policy decisions

Overall objective:

- To carry out a quantitative and qualitative impact assessment of FP6 participation.
- Targeting the Spanish public R&D system (universities and public research organisations)
- Define a methodology to be used in the future.

Exploratory analysis as the first experience of  
Impact Assessment of the Ministry





GOBIERNO DE ESPAÑA  
MINISTERIO DE CIENCIA E INNOVACIÓN

SECRETARÍA DE ESTADO DE INVESTIGACIÓN

DIRECCIÓN GENERAL DE COOPERACIÓN INTERNACIONAL

2. The study

Methodology design

Benchmarking 12 international experiences of impact assessment of public initiatives

Interviews with national and international experts on impact assessment of R&D programmes.

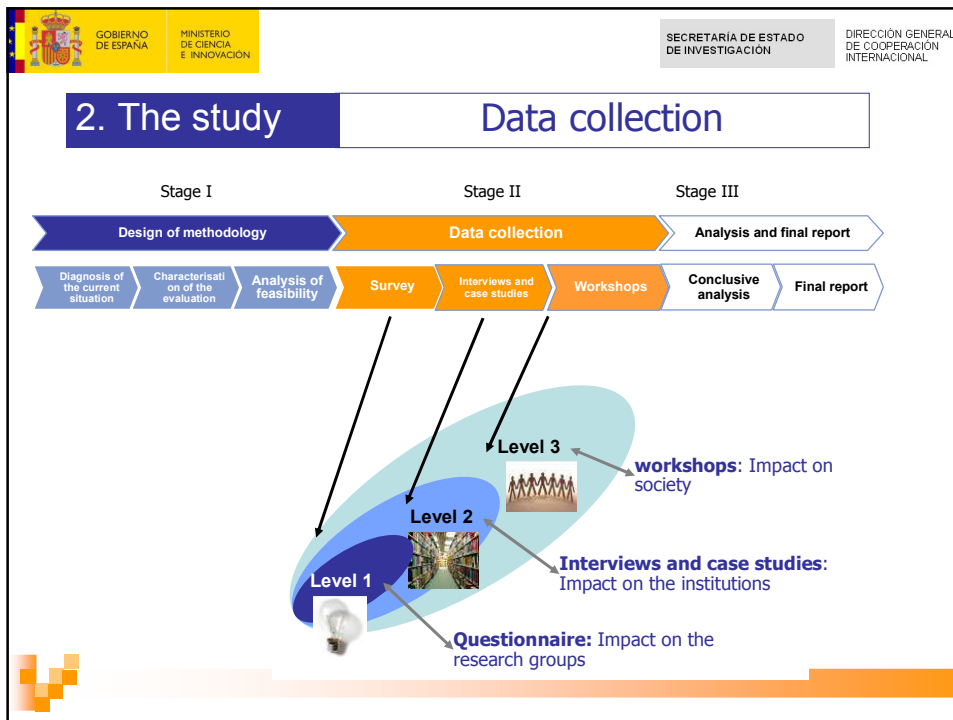
Identification and selection of evaluation criteria & indicators, the scope of the study, methodologies, etc.

GOBIERNO DE ESPAÑA  
MINISTERIO DE CIENCIA E INNOVACIÓN

SECRETARÍA DE ESTADO DE INVESTIGACIÓN

DIRECCIÓN GENERAL DE COOPERACIÓN INTERNACIONAL

2. The study	Areas of evaluation
Area	Sub-Area      Criteria
<b>CULTURE</b>	Collaboration / Internationalization <ul style="list-style-type: none"> <li>Collaboration with Spanish research groups / industries</li> <li>Collaboration with European research groups / industries</li> </ul>
	Entrepreneurship <ul style="list-style-type: none"> <li>Creation of Spin-offs</li> <li>New research lines</li> <li>Strategic focus</li> </ul>
<b>STRATEGY</b>	Focus
<b>MANAGEMENT</b>	People <ul style="list-style-type: none"> <li>Education</li> <li>Mobility</li> <li>Reputation</li> </ul>
	Organization <ul style="list-style-type: none"> <li>Professionalization of management</li> <li>Consolidation of organizational structures</li> </ul>
	Capital
<b>RESULTS</b>	Knowledge <ul style="list-style-type: none"> <li>New knowledge generation</li> <li>Knowledge quality</li> <li>Knowledge transfer</li> </ul>
	Diffusion <ul style="list-style-type: none"> <li>Scientific culture</li> <li>Global vision of R&amp;D</li> </ul>
<b>RELATIONS</b>	Additionality
	Relevance <ul style="list-style-type: none"> <li>Additionality with national policies</li> <li>Relevance for society</li> </ul>

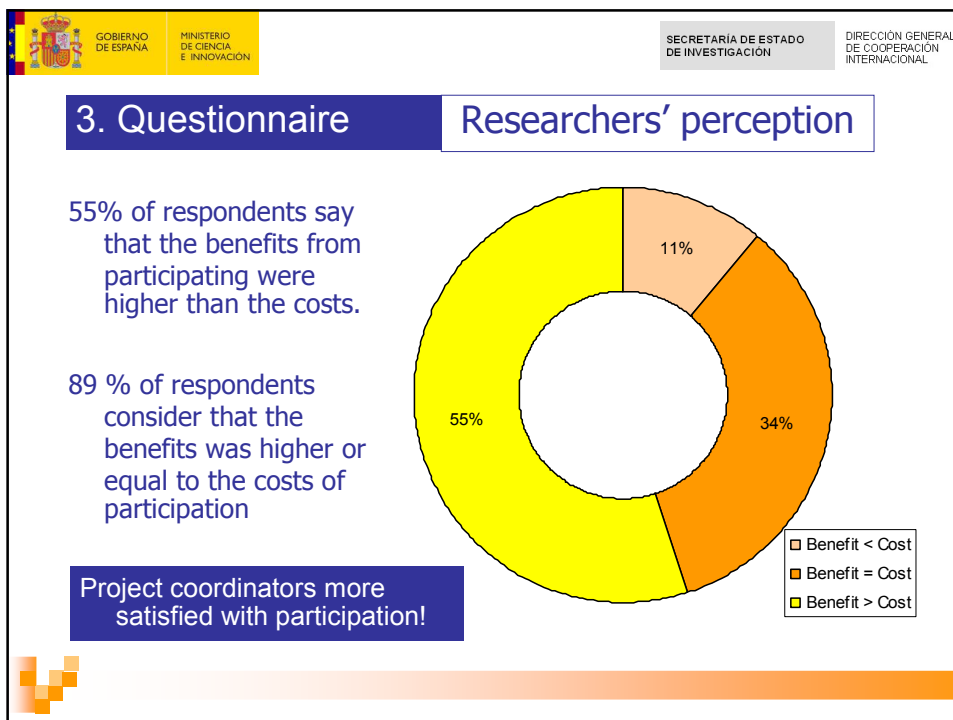


GOBIERNO DE ESPAÑA    MINISTERIO DE CIENCIA E INNOVACIÓN    SECRETARÍA DE ESTADO DE INVESTIGACIÓN    DIRECCIÓN GENERAL DE COOPERACIÓN INTERNACIONAL

## 3. Questionnaire

### Facts

- Questionnaires response rate of 51% (judged as high for this type of studies)
- Statistical error of the sample: less than 2 %.
- Realistic distribution of answers amongst the thematic areas:
  - The weight of Spanish participation by thematic priorities is reflected in the numbers of questionnaires answered.
- 85% of FP6 participation as partner, 15% as coordinator



GOBIERNO DE ESPAÑA  
MINISTERIO DE CIENCIA E INNOVACIÓN

SECRETARÍA DE ESTADO DE INVESTIGACIÓN  
DIRECCIÓN GENERAL DE COOPERACIÓN INTERNACIONAL

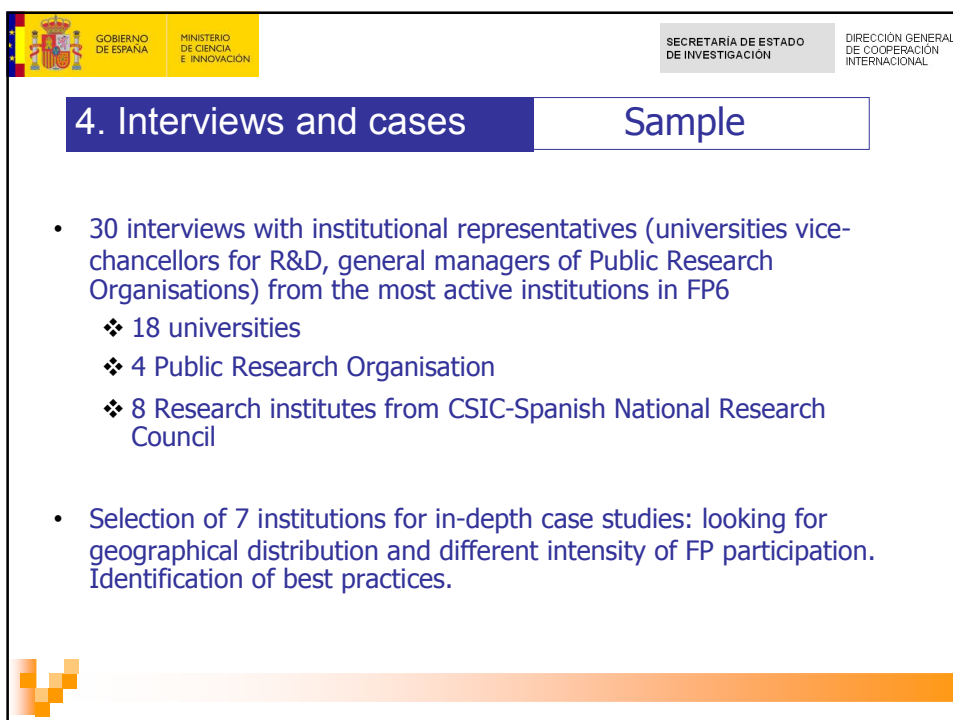
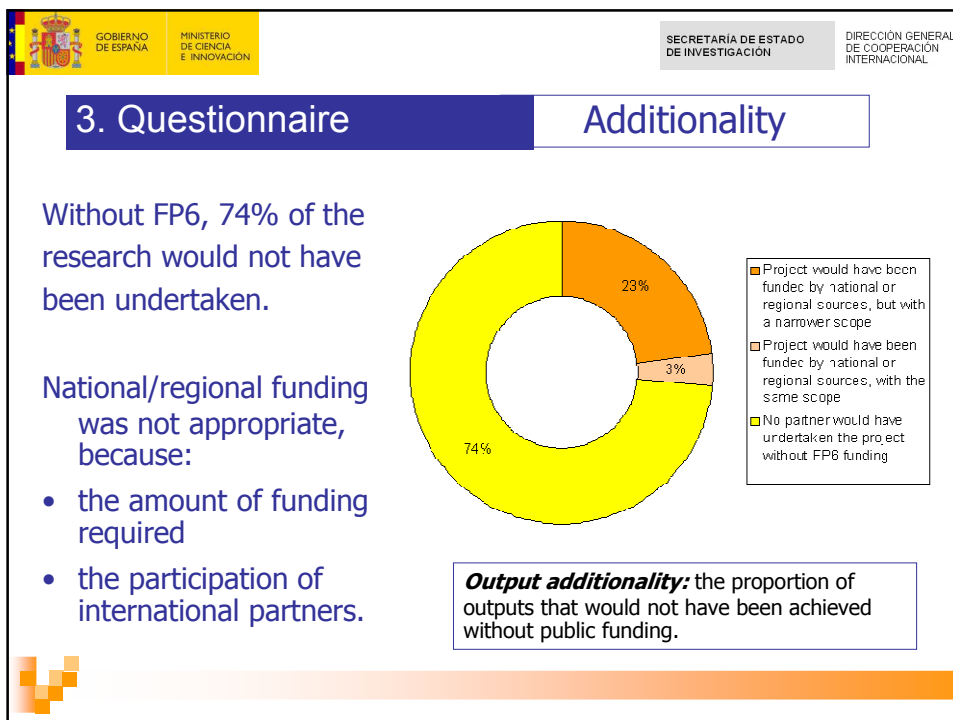
3. Questionnaire


Areas of impact

Impact of the participation in FP6 on the Spanish research groups

0 = Minimum / 10 = Maximum

<b>Increase the knowledge base</b>	<b>7,8</b>
<b>Achieve/extend the areas of interdisciplinary knowledge</b>	<b>7,6</b>
<b>Explore new ways for the application of the knowledge base</b>	<b>7,3</b>
<b>Develop/improve techniques or technologies</b>	<b>6,9</b>
<b>Achieve/extend the areas of complementary technical knowledge</b>	<b>6,6</b>
<b>Increase the number of publications</b>	<b>6</b>
<b>Increase the quality of the publications</b>	<b>5,9</b>
<b>Redirect the research priorities of the group</b>	<b>5,8</b>
<b>Access to data or material from other research projects</b>	<b>5,7</b>
<b>Access to specialized information sources</b>	<b>5,4</b>
<b>Access to complementary technical training</b>	<b>5,1</b>
<b>Redirect the research priorities of the institution</b>	<b>3,5</b>





GOBIERNO DE ESPAÑA
MINISTERIO DE CIENCIA E INNOVACION

SECRETARÍA DE ESTADO DE INVESTIGACIÓN
DIRECCIÓN GENERAL DE COOPERACIÓN INTERNACIONAL

4. Interviews and cases

Impacts


- In many cases less than 10% of external funding for R&D comes from FP.

Importance of FP within institutions is strategic and qualitative more than quantitative

↑

↓

- More impact than national or regional programmes in some areas:
  - Open up the institution to international environment
  - Prestige to institutions (and research groups)
  - Generation of knowledge
- Less impact than national and regional programmes:
  - Collaboration with private sector
  - Job creation



GOBIERNO DE ESPAÑA
MINISTERIO DE CIENCIA E INNOVACION


SECRETARÍA DE ESTADO DE INVESTIGACIÓN
DIRECCIÓN GENERAL DE COOPERACIÓN INTERNACIONAL

4. Interviews and cases


Impacts

- Impact on the institutions: Low
- Impact on the research priorities: Low
- Impact on teaching (universities): Very low
- Impact on internal administration: Low

... but increasing!



GOBIERNO  
DE ESPAÑA




MINISTERIO  
DE CIENCIA  
E INNOVACIÓN

SECRETARÍA DE ESTADO  
DE INVESTIGACIÓN


DIRECCIÓN GENERAL  
DE COOPERACIÓN  
INTERNACIONAL

## 5. Workshops

- 5 workshops held:
  - Impact of FP on the productive sector
  - Impact of FP on the public institutional structures
  - Internationalization of Spanish research
  - Impact of FP6 on the regional and national policies.
  - Final validation workshop



GOBIERNO  
DE ESPAÑA



MINISTERIO  
DE CIENCIA  
E INNOVACIÓN

SECRETARÍA DE ESTADO  
DE INVESTIGACIÓN

DIRECCIÓN GENERAL  
DE COOPERACIÓN  
INTERNACIONAL

## 6. Synthetic conclusions



Overall assessment by participants

Scientific Impact

Added value

Institutional impact

Scientific knowledge and cultural change

Knowledge and technology transfer to the market



GOBIERNO DE ESPAÑA  
MINISTERIO DE CIENCIA E INNOVACIÓN

SECRETARÍA DE ESTADO DE INVESTIGACIÓN

DIRECCIÓN GENERAL DE COOPERACIÓN INTERNACIONAL

## 7. Recommendations

Researchers level

Institutional level

Public administration

➔

1. Promote the use of FP participation as springboard towards other levels of R&D internationalisation

- ETP
- large infrastructures
- collaboration with third countries
- Participation in international organisation activities...

GOBIERNO DE ESPAÑA  
MINISTERIO DE CIENCIA E INNOVACIÓN

SECRETARÍA DE ESTADO DE INVESTIGACIÓN

DIRECCIÓN GENERAL DE COOPERACIÓN INTERNACIONAL

## 7. Recommendations

Researchers level

Institutional level

Public administration


➔

2. The need for ***suitable and steady R&D management personnel*** has to be addressed by universities and PRO not supporting but actually managing the researchers participation.


3. Reinforcement of institutional ***support on legal issues and commercial exploitation*** of projects' results.

4. ***Institutional commitment*** to continuously support FP participation in a steady way, as an inherent role to universities and PRO

5. To consolidate a ***closer institutional coordination among universities and PRO*** with common research areas, for defining positions in international meetings where European R&D research topics are defined.



GOBIERNO  
DE ESPAÑA



MINISTERIO  
DE CIENCIA  
E INNOVACIÓN

SECRETARÍA DE ESTADO  
DE INVESTIGACIÓN

DIRECCIÓN GENERAL  
DE COOPERACIÓN  
INTERNACIONAL

## 7. Recommendations

Researchers  
level


Institutional  
level

Public  
administration


6. A **strategic reflection** is needed at the level of **public administrations**: what are the objectives pursued from FP participation? What kind of participation should be fostered?

7. To support work continuity after the European research projects are completed, by **assessing the distance to market of project results** (assessing the research results) **and providing the specific support** in each case.

8. To define a closer **coordination of initiatives and objectives between national and regional administrations** when promoting participation in European research programmes.



GOBIERNO  
DE ESPAÑA



MINISTERIO  
DE CIENCIA  
E INNOVACIÓN

SECRETARÍA DE ESTADO  
DE INVESTIGACIÓN

DIRECCIÓN GENERAL  
DE COOPERACIÓN  
INTERNACIONAL

# Thank you.

Rocío Castrillo

Spanish Ministry of Science and Innovation

E-mail: [rocio.castrillo@micinn.es](mailto:rocio.castrillo@micinn.es)

European Office

[oficina.europea@micinn.es](mailto:oficina.europea@micinn.es)

### 3. Questionnaire

### Ownership

#### Appropriation of knowledge

51% of researchers consider they obtained or will obtain results which can be ***exploited industrially or commercially***, mainly by means of technical cooperation.

40% of researchers consider they ***need to protect IPR*** of FP6 project results, mainly through patents

70% of researchers consider that ***knowledge*** obtained/to be obtained through the FP6 project is ***transferable***.

A relevant % of knowledge is transferred without IPR protection

