



Technology Transfer in Computing Systems

D1.1: TTP Eol calls statistics 1

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Summary

This report describes the outcomes of the first 2 TETRACOM calls for Technology Transfer Projects (TTPs). The number of proposals grew from 30 in the first call to 43 in the second. The applicants were from 13 different countries within Europe and involved 46 SMEs. All projects were reviewed by independent external reviewers drawn equally from academia and industry. The projects were ranked based on the reviewers scores and were used by the SC to make the final decision on what projects were to be funded. Surprisingly, the key issue in determining successful projects appears to be adequate planning/resources and the partner profiles rather than transfer concept. The single most important issue in determining a successful application is the existence of existing IP to transfer. 22 projects in total were awarded, 9 in the first call, and 13 in the second call.

Introduction

This document provides statistics and analysis for the first two TTP calls in TETRACOM. It first outlines the review process for each call and then summarizes the characteristics of the applications. This is followed by an analysis of the review results and overall process. It concludes with recommendations for future calls.

Selection of reviewers

A key issue was the selection of reviewers. For credibility and transparency, it was important that the reviewers be external to TETRACOM. Each partner was tasked with recruiting 6 external reviewers. The final pool of reviewers was evenly split between academia and industry; all of them having experience in working across the academic/industry divide. Surprisingly, it was relatively easy to find reviewers – a good indicator for the level of interest in the TTP concept of TETRACOM.

In order to keep the work load manageable and ensure that the reviews could be produced in a short time frame 6 reviewers were selected for the first call and each was allocated 10 applications to be completed by May 1, 2014.

First Call

The following persons, operating under NDA, served as evaluators.

- John Goodacre, Product Marketing, ARM
- Siegfried Benkner, Professor, TU Vienna
- Francois Bodin, CTO CAPS-Enterprise, Professor INRIA
- Axel Jantsch, Professor, KTH
- Wim De Waele, Director, IMinds
- Colin Adams, Commercialisation Director, Uni Edinburgh

Second Call

The following persons, operating under NDA, served as evaluators:

- Jürgen Teich, University of Erlangen, Germany
- Heiko Falk, University of Ulm, Germany
- Bart Kienhuis, University of Leiden, Netherlands
- Rolf Drechsler, University of Bremen, Germany
- Bernd Janson, Zenit GmbH, Germany
- Frank Gielen, Intec, Belgium
- Laurent Julliard, Kalray, France
- Stanislas De Vocht, Iminds, France

Reviewing process

First call

The first call for proposals was published on Feb 14, 2014 with the submission deadline set to Mar 31. The SC's goal was to reduce any barriers to participation that comes with a new instrument. This led to 2 key decisions – a short application form and rapid external review. This way the amount of effort needed to be invested by applicants was relatively small and they would be able to start, if successful, soon after submission.

The reviewing process went largely smoothly. One reviewer was late with his reviews and had difficulties accessing the review portal remotely. In the end we accepted scanned hand written reviews.

The level of detail provided by the reviewers varied considerably. Some provided one or two word justifications for their scores; others provided longer explanations.

The reviews fed into a steering committee meeting where we decided on the proposals to accept. The SC largely awarded proposals based on the ranking of the reviewers up to a 308,700 EUR budget limit. In a few cases proposals that were ranked highly by one reviewer but low by another had further scrutiny. In these cases, one reviewer spotted fundamental problems with the proposal that prevented allocation of funds.

Once the selection was made, the successful and unsuccessful applicants were notified by email. Anonymized reviewers comments were sent to those who requested feedback. In a few cases, applicants were unhappy with the outcome. Prolonged email discussion took place with advice on how to improve their application given. In the end, we believe that all applicants found the process and experience positive.

Second call

The process for the second call largely followed the same process with one significant change. One of the major recommendations from the 1st review meeting (May 2014, Barcelona) was as follows:

1. **Consider excluding the core consortium from the open TTP calls.**

This recommendation concerned the appearance of transparency and fairness of TETRACOM. The SC accepted this recommendation and no existing partner from the core consortium was allowed to submit a proposal into the second call.

The second call for TTP proposals was published on Nov 17, 2014 with the submission deadline set to Dec 31. Applicants notified by mid-February.

Based on observations during call 1 and reviewer recommendations, some improvements have been made to the first version. The second call for TTPs has been distributed as a package of three different documents.

- **The call text**
- **Instructions for preparing a TTP proposal**
- **TTP proposal form**

Details of each document can be found in the management report D4.2 and are not repeated here.

Small changes were also made to the application to include a section on technology readiness level. This was an issue that the reviewers picked up on during the first call. A preference for cash rather than manpower as a contribution and support of SMEs was also communicated to the reviewers. A new set of reviewers were selected with, once again, 2 reviewers allocated to each proposal. The turnaround time for reviewers was very short, due to the Christmas vacation. It was therefore decided that each reviewer was given an honorarium of 500 Euros on successful completion of his reviews. Provision for payment is part of Edinburgh's budget.

Overall the quality of reviews was improved this time around. Encouraging reviewers to provide detailed explanations improved the overall review. In only one case did a reviewer return a minimalistic text.

Once again, the proposals went forward to the SC who followed the ranking of the reviewers and allocated up to a budget of 357,000 EUR. In 3 cases concerns were raised by a reviewer that prevented a proposal ranked in the acceptance zone from proceeding. In one case the matching funding was less than 50%, so the TETRACOM contribution was scaled back accordingly.

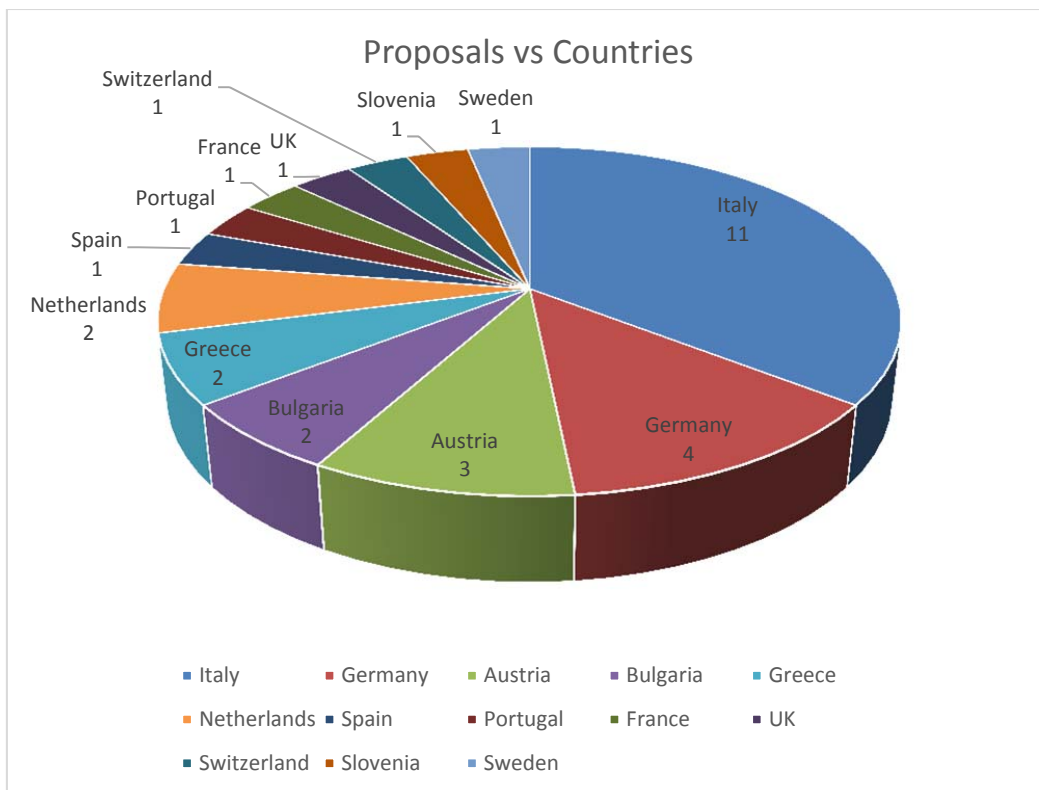
Applicants were informed of the outcomes by email along with the comments from the reviewers. In a few cases, once again, there is ongoing email discussion about why their proposal was unsuccessful. Advice on how to improve their chances of success has been passed on and we will continue to work with the applicants to make sure that whatever the outcome, they have a positive experience of TETRACOM.

Analysis of applications

First call

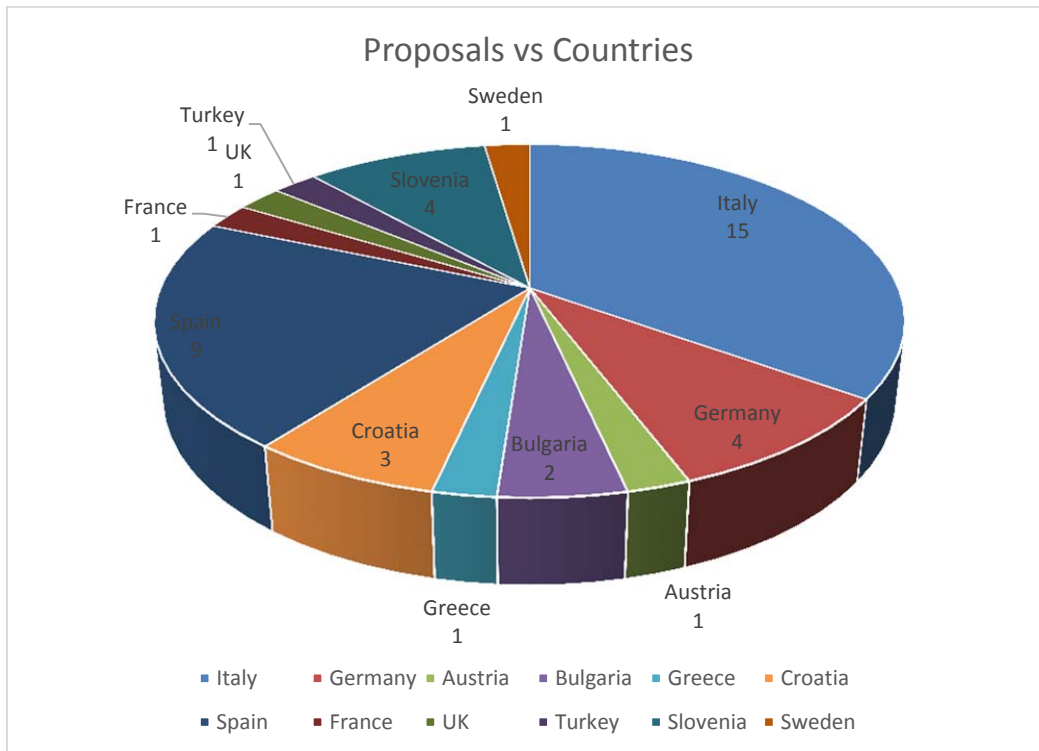
A total of **31 TTP proposals** were submitted online. Based on the submissions, we have the following summary statistics:

- The academic proposers originate from 13 different European countries (see chart below), 12 of which are EU countries.
- The company partners are distributed over 10 countries, 9 of which are EU countries.
- 14 proposals involve SME company partners.
- 3 proposals come from new EU member states (Bulgaria and Slovenia).
- 28 proposals come from outside TETRACOM's founding consortium.
- The requested TTP funding from TETRACOM is between 15k and 78k EUR, with an average of approx. 30k EUR.
- The matching company funding is between 4.5k and 170k EUR, with an average of approx. 27k EUR.
- The total requested funding is approx. 924k EUR, the total matching company funding is approx. 1.1M EUR.
- The average proposed TTP duration is 8.6 months.
- 10 of the academic TTP proposers are HiPEAC members. 6 of the submitted project proposals involve company partners that are linked to HiPEAC.



Second call

A total of **43 TTP proposals** have been submitted for TTP call 2 by the deadline via the online submission at <http://www.TETRACOM.eu>. Submission statistics are summarized below. For sake of easier comparison, the corresponding numbers from call 1 are given in brackets.



- The academic proposers originate from 12 [13] different European countries (see chart below), 11 [12] of which are EU countries.
- The company partners are distributed over 11 [10] countries, 10 [9] of which are EU countries.
- 32 [14] proposals involve SME company partners.
- 9 [3] proposals come from new EU member states (Bulgaria, Croatia, and Slovenia).
- 43 [28] proposals come from outside TETRACOM's founding consortium.
- The requested TTP funding from TETRACOM is between 11k [15k] and 73k [78k] EUR, with an average of approx. 28k [30k] EUR.
- The matching company funding is between 7k [4.5k] and 70k [170k] EUR, with an average of approx. 32k [27k] EUR.
- The total requested funding is approx. 1.2M [924k] EUR, the total matching company funding is approx. 1.4M [1.1M] EUR.
- The average proposed TTP duration is 9 [8.6] months.
- 19 [10] of the academic TTP proposers are HiPEAC members. 3 [6] of the submitted project proposals involve company partners that are linked to HiPEAC.

There is an increase in the number of SMEs interested in participating in TTPs. The increase of applicants from new member states is probably due to recent HiPEAC activity in these states and word of mouth communication after the first call. The large increase in non-core member applications is due to changes in the application rules as noted above. The larger budget awarded in the second scales with the increased number of TTP proposals. Involvement of HiPEAC is a critical once again.

Projects awarded

The following 9 TTP proposals were accepted in call 1

TTP no.	Name/Partner	Country	Duration	EC contribution
5	Igor Skrjanc, UL	SL	M13-M22	€29,232.00
6	Panos Markopoulos, TUE	NL	M13-M18	€30,000.00
7	Pablo F. Gonzalez, UPC	ES	M13-M24	€20,063.00
8	Andrea Cataldo, USalento	IT	M13-M18	€39,996.00
9	David Harvey, LJMU	UK	M13-M24	€32,392.00
10	Tim Willemse, TUE	NL	M13-M21	€49,189.00
11	Norbert Wehn, UNIKL	DE	M13-M18	€27,930.00
12	Ben Juurlink, TUB	DE	M13-M16	€29,960.00

In the second call we accepted the following 13 TTPs.

TTP no.	Name/Partner	Country	Duration	EC contribution
19	Christian Haubelt University Rostock	DE	12 months	€37,843.76
20	Petar Yakimov Technical University of Sofia	BG	10 months	€14,600.15
21	Norbert Wehn Universität Kaiserslautern	DE	5 months	€22,344.00
22	Miguel Salido Universitat Politècnica De València	ES	9 months	€11,963,14
23	Franc Novak Jozef Stefan Institute	SI	12 months	€25,000.00
24	Josep Larriba-Pey Centre d'Innovació I Tecnologia	ES	12 months	€25,795.00
25	Kai Lampka Uppsala University	SE	6 months	€33,859.08
26	Holger Blume Leibniz Universität Hannover	DE	10 months	€35,000.00
27	David Harley Liverpool John Moores University	UK	9 months	€37,096.37
28	Roman Trobec	SI	6 months	€29,113.00

	Jozef Stefan Institute			
29	Marko Bertogna Università degli Studi di Modena e Reggio Emilia	IT	10 months	€29,999.59
30	Horacio Perez Fundación Universitaria San Antonio	ES	12 months	€22,744.90
31	Luca Catarinucci University of Salento	IT	10 months	€37,450.00

The number of new member states proposals funded has risen from 1 to 2. It is particularly encouraging to note that one of these proposals was unsuccessful first time around.

There are 2 individuals: David Harvey and Norbert Wehn who have successful applications in both TETRACOM calls. Perhaps they can share their experiences with the wider community and help promote TETRACOM.

Analysis of reviewers' scores and recommendations

Across the 2 calls, the overall average score has remained consistent 16.1 in the first call vs 15.3 in the second call out of a possible 25. The slight drop in score may be due to more weaker applicants being encouraged to join in call 2 after the success of call 1. However, given the small sample size and different reviewers used in each call, no firm conclusions can be drawn.

The average scores for each criteria across the calls is as follows:

- Expected impact 3.1
- Transfer concept 2.9
- Resources and Budget 2.9
- Partner Profiles 3.4
- Overall Score 15.3

For each criterion, the scores ranged across the full range from 1 to 5.

The overall scores ranged from 7 to 23.

For the successful projects the average scores were

- Expected impact 3.3
- Transfer concept 3.1
- Resources and Budget 3.1

- Partner Profiles 3.9
- Overall Score 16.7

For the unsuccessful projects the average scores were

- Expected impact 2.9
- Transfer concept 2.8
- Resources and Budget 2.0
- Partner Profiles 2.3
- Overall Score 10.6

In all categories the unsuccessful projects performed worse than the successful ones. However, it would seem that the biggest differentiator between successful and unsuccessful projects is not expected impact or transfer concept but rather budget and partner profiles. On examining the text for the choices it would seem that low scores in these categories was associated with partners with no credible track record in TTP and insufficient matching funding from the industrial partner, undermining the credibility of a genuine transfer.

Examining the reviews more qualitatively, the following are some of the most frequent reasons for rejection

- No product or IP to transfer
- An R&D project, not a TTP
- Consulting, not a TTP
- Matching industry funding missing
- Not a realistic timetable or budget

These observations will be highlighted in guidance information in the final call for TTPs.

Summary and Recommendations

Overall the TTP proposal, review and award process has been successful. Small changes have been made to the process between calls 1 and 2 and the community has responded with increased submission numbers. Based on the analysis of this document we make the following recommendations:

- Involve double award winners and new member state partners in promotion of TETRACOM
- Publish statistical analysis of successful and unsuccessful applications
- Publish key reasons for failure of proposals highlighted in reviewer text
- Present analysis at next TETRACOM event collocated with HiPEAC.
- Select final reviewers based on quality of responses in first 2 calls