



## INDICATORS ANNEX

### INDICATORS OF UNIVERSITY-INDUSTRY CO-OPERATION

**Definition:** University-Industry cooperation (UIC) involves two or more parties willingly working together for mutual benefit. Such relationships may be short or long term and may involve one or more projects/areas of activity relevant to the parties involved. The project/case must therefore clearly define the nature and scope of the University-Enterprise cooperation involved as well as the role of and benefit to all the cooperating parties and any other relevant stakeholders. The provision of a service by one party for the other solely for financial remuneration (e.g. consultancy contract) is not considered to be cooperation in the RUISNET sense of the meaning.

Indicators that are relevant to and should be considered in describing the nature and scope of the UIC criterion are listed below.

#### Scope and Dimension

Scope, interest areas

- business or industry sectors (SIC) involved in the project?
- project involves:
  - o physical development?
  - o setting up a new company, centre or institution?
  - o product/process design and innovation?
  - o support for businesses and sectors?
  - o training/labour market support?
  - o community and social support?
  - o environment and infrastructure?
  - o strategic research, statistics and assessment?
  - o general information sharing?
- education/academic/research institutions involved in the project?
- government, agency or associative organisations involved in the project?

Duration





- no. of months and years of project funding / commitment?
- timescale of project key performance and impact measures?

Diversity of activities:

- activities in enterprise / R&D / innovation?
- activities in training and labour market initiatives?
- activities in SMEs and business support?

Entities involved/infrastructure:

- project involves an informal network or association?
- project involves a formalised partnership / funding agreement?
- project involves a joint-venture company or service?

**Intention**

Targets of interest area

- project has defined objectives and target beneficiaries / impact measures?

Target Integration at interest area

- project involves common target beneficiaries recognised by business, academic/research and public/government partner organisations?

Target Coherence of the project proposal (?)

**Promoters**

Diversity: University-Industry-Government (Administration)

- % of promoting organisations from academic/research, business, and public/government sectors?
- % of funding/income from academic/research, business and public/government sources?

Level and territorial promoter's environment

- Country, NUTS1, NUTS2 and/or NUTS 3 areas covered?
- geographic area of eligibility of project (sq km, hectares)?

Promoters Coherence with regard to the project



- no. of project meetings and events between academic/research, business and public/government promoters?
- no. of project research/innovation publications jointly supported by academic/research, business and public/government partners?

## Actors

Diversity: University-Industry-Government (Administration)

- % of participating organisations from academic/research, business, and public/government sectors?

Actors Level: Teachers, businessmen, technicians, officials etc.

- no. of business (and SMEs) representatives participating?
- no. of teachers, academics or research professionals participating?
- no. of public government or agency officials participating?

Actors Coherence with regard to the project (?)

## Commitment

Level of formalisation

- no. of project members/organisations signed up to an informal network or association?
- no. of project members/organisations involved in a formalised partnership / funding agreement?
- no. of project members/organisations involved in a joint-venture company or service?
- no. of project agreed business plans and financial projections?

Level of organisation and implication of the agents

- no. of project members/organisations incurring resource or cost liabilities in the project?
- no. of project members/organisations making funding pledges to the project?
- no. of project members/organisations making capital investments in the project?
- no. of project members/organisations gaining income benefits from the project?



System of financing - financial accountable body is:

- a business project partner or business association?
- an academic/research centre?
- a public/government body?
- a project joint-venture limited/non-profit company?

Target Coherence of the commitments (?)

### **Beneficiaries**

Characteristics: whether beneficiaries are comprised from one or more of the following group special, social groups etc:

- small and medium sized enterprises (SMES <250 staff)?
- firms/workforce or population in disadvantaged region/area (e.g. with GDP per Capita of 75% or less of EU average)?

Scope: number, amount etc

- % of total workforce of business(es) involved that are employed in SMEs?
- % of workforce/people involved that live in disadvantaged regions/areas ?
- % gender and ethnicity breakdown of owners/boards of participating businesses (compared with regional/national average)?
- % gender and ethnicity breakdown of workforce of participating businesses (compared with regional/national average)?
- % gender and ethnicity breakdown of trainees etc participating (compared with regional/national average)?



## INDICATORS OF REGIONAL IMPACT

**Definition:** University-Industry collaborations can have an impact on and contribute to the strategic ambitions and development of the region in which they operate, and other regions. The nature of impact will depend on the aims, objectives and design of the project, and the social, economic and physical environment in which they operate. Impact is defined, in strict terms, as changes and effects that would not occur in the absence of the project/case being delivered – this is called the ‘net impact’. However, the ‘gross impact’ of changes taking place is also worth recording – as are direct outputs from a project - as the net impact of a project/case cannot easily be isolated (n.b. even direct outputs, such as people being trained, may have occurred without the project/case). Both positive and negative impacts should be recorded, as should both quantifiable measures and more qualitative experiences, opinions etc.

To qualify for Phase 1 a project/case must involve a beneficial impact in one or more of the indicator categories 5.1. to 5.7. below.

### 9.1. Economic

Profit – GVA has increased in the sector or local area in a period since the project start

- % change in GVA (gross value added) in project area / sector (gross impact)
- % GVA change in participating firms/economy *minus* the average % GVA change for the region (net impact)

Wealth – employment/incomes have increased in the sector or local area in a period since the project start

- % change in output/GDP in project area / sector (gross impact)
- % output/turnover change in participating firms/economy *minus* the average % output/GDP change for the region (net impact)

Tax revenues – national/local corporation and income tax revenues have increased in the sector or local area in a period since the project start

- assumed to be proportionate to growth in enterprise and employment

### 9.2. Enterprise





**New enterprise formation:**

- no. of new firm start-ups/registrations in the project area / sector
- new firm start ups as % of stock in the project area / sector (gross impact)
- % new start ups of project area/sector stocks *minus* regional average % (net impact)

**New enterprise survival:**

- % of new firm formations in project area / sector surviving after 12 months and 3 years (gross impact)
- % new firm survival rates in project area / sector *minus* regional average % rates (net impact)

**Enterprise value:**

- market capital value of enterprise(s) in the project area / sector
- enterprise % market capital growth in project area / sector (gross impact)
- enterprise % market capital growth *minus* regional % growth in quoted values

**9.3. Employment**

**Employment growth:**

- no. of new jobs created or sustained in the project area / sector
- % change in employment in project area / sector (gross impact)
- % employment change in project area / sector minus regional average % change (net impact)

**Higher level employment:**

- no. of new jobs created in Professional/Technical occupations in project area / sector
- % change in Professional/Technical employment in project area / sector (gross impact)
- % Professional/Technical employment change in project area / sector *minus* regional average % change (net impact)

**9.4. Knowledge**





**Research expertise:**

- no. or research/innovation centres of excellence created or sustained in the project area / sector.
- no. of research and teaching professionals recruited in project area / sector
- no. and % of businesses engaged with academic/research centres I project area / sector.

**Educational attainment:**

- % increase in project area / sector workforce with Level 3 and Level 4+ qualifications (gross impact)
- % change in workforce Level 3 and Level 4+ qualification *minus* regional average % change rates (net impact)
- % change in diploma/graduate (Levels 3 and 4) outturn from educational institutions in the project area / sector (gross impact)
- % change in diploma/graduate outturn minus regional average % change

**9.5. Competitiveness**

**Gross Value Added:**

- GVA per head and per hour in the project area / sector compared with regional or sector average rate

**Investment:**

- business investment as a % of GVA in the project area / sector compared with regional or sector average rate

**Skills:**

- proportion of project area / sector workforce receiving training in the last 4 weeks compared with regional or sector average rate

**Enterprise:**

- business start-ups per 10,000 population/employment in the project area/sector compared with regional or sector average rate

**Competition:**



- exports as a % of business GVA (or turnover) in project area / sector compared with regional or sector average rate

## 9.6. Regional policy

Contribution to EU regional policy objectives after 2006 (Commission proposal):

Objective 1 – Convergence and Competitiveness:

- how the project contributes to modernisation of the productive base
- how the project contributes to improving infrastructure
- how the project contributes to workforce HR / social integration
- how the project contributes to rural development
- how the project contributes to institutional modernisation

Objective 2: Regional Competitiveness and Employment:

- how the project contributes to regional innovation systems and accessibility
- how the project contributes to local employment and social integration

Objective 3: Co-operation Between Regions:

- how the project contributes to access to international networks and markets
- how the project contributes to regional accessibility to knowledge

## 9.7. Regional innovation

Business:

- business investment in R&D as a % share of GDP in project area / sector
- % change in business R&D investment share in project area / sector (gross impact)
- % change in business R&D investment share *minus* regional average % change (net impact)
- R&D jobs as a % of total employment in project area / sector
- % change in R&D jobs in project area / sector (gross impact)
- % change in R&D jobs *minus* regional average % change (net impact)
- no. of intellectual property patent applications in project area / sector
- % change in IP patent applications in project area / sector (gross impact)



- % change in IP patent applications *minus* regional average % change (net impact)

Academic/research:

- no. and value of research awards and contracts in project area / sector
- % change in research awards and contracts in project area / sector (gross impact)
- % change in research awards and contracts minus regional average % change
- no. of intellectual property patent applications per (e.g. million Euro) research award and contract funding (gross impact)



## INDICATORS OF INNOVATION

**Definition:** There is probably any number of definitions of 'innovation', however for a RUISNET project/case it can be regarded as any example of new methods of university-industry collaboration (UIC) and proven successes and good practice. This is likely to be in a quite specific area, rather than novelty in the general approach – the areas of innovation under which examples can be given are listed in the matrix table below. The interest in innovation is more in the *process* of collaboration rather than its end product (although the latter can be cited as proof of innovative success). This can be in (a) ways networks are set up, (b) ways individual businesses are engaged, and/or (c) structures through which collaboration is implemented.

Each relevant selected case should reflect a degree of innovation, which may refer to the project mechanism or the project subject.

Areas of innovation	(a) In Bringing New Networks Together	In Engaging Businesses with Universities	In Systems or Structures for UIC
Pedagogical (teaching/ education methods)			
Organisational			
Economic (financial)			
Management/ownership			
Knowledge transfer			
Technological			
Institutional			
Socio-cultural			



Areas of innovation	(a) In Bringing New Networks	In Engaging Businesses with Universities	In Systems or Structures for UIC
Minority social group (services for)			
Environmental			
Gender equality (services for)			



## INDICATORS OF TRANSFERABILITY

**Definition:** Transferability is defined in terms of 'policy transfer', i.e. whether good practice in the particular regional project/case has any relevance to another region or, in particular, country. National structures and contexts mean that it cannot be assumed that a good project in one place will also be good in another. There is also a difference between actual transfer and transferability, and evidence of the latter is equally valid, based on a clear analysis of the destination industry, region or country.

Indications of whether the project idea or design is transferable. A wide knowledge of existing systems of innovation and its support in other European regions is necessary.

### 11.1. Proven transferability

Evidence of projects that have already been transferred to other sectors/regions:

- Industry sectors (no. and nature of similar industry-based projects adopted in the same technology area, industry or market)
- Regions within country (no. and nature of similar area-based projects adopted in the region or other region)
- Other EU countries (no. and nature of projects transferred to other national structures and regulatory environments).

### 11.2. Contextual transferability

Evidence of projects that can demonstrate potential and demand for the project due to similar local or regional conditions elsewhere:

- Industry sectors (no. and nature of demand for projects adopted in the same technology area, industry or market)
- Regions within country (no. and nature of demand for projects adopted elsewhere in the region or other region)
- Other EU countries (no. and nature of demand in different national structures and regulatory environments).

### 11.3. Structural transferability





Evidence of projects that use facilities and networks that are mirrored in other sectors/regions:

- Industry sectors (nature of organisations and structures that are suited to the project elsewhere in the same technology area, industry or market)
- Regions within country (nature of organisations and structures that are suited to the project elsewhere in the region or other region)
- Other EU countries (nature of organisations and structures that are suited to the project in different national structures and regulatory environments).



## INDICATORS OF SUSTAINABILITY

**Definition:** It should be emphasised that use of the term 'sustainability' does not refer to environmental factors or social balance, but refers to the project/case itself. In simple terms there is sustainability of the direct activities of the project/case, i.e. its successful completion and continuation; and sustainability in terms of secondary or structural effects that sustain the aims and ideas of the project through other means and additional resources.

Sustainability covers issues such as duration, continuity, balance, permanence and stability of the case/project and its development.

### Project sustainability

Duration:

- has the project continued throughout its planned duration or funding period?
- what % of total project funding has been utilised?

Continuity:

- does the project have clear plans and funds to continue?
- has the project secured external sources of funding to enable it to continue?

Self-sustaining:

- is the project designed to become self-sustaining after an initial investment (e.g. loan repayments that will then support further ventures)?
- does the project have a forward business plan for generating its own internal revenue?

### Secondary effects

Projects that create economic or social impact that causes or accelerates further changes (e.g. training schemes for trainers; projects that alter attitudes; increasing the availability of enabling technology).

Effects:



- have any project participants been engaged in subsequent related activity resulting directly from the project?
- have any outcomes, products, publications etc of the project been adopted subsequently in other related initiatives or activities?
- have any profits or income generated by the project been subsequently invested in or used to support other related initiatives or activities?

**Equity:**

- are these secondary effects proportionate to the target enterprise/SME and gender and ethnicity composition of the project (i.e. have similar numbers proven to have benefited and progressed from the project) in the following sectors?
  - o business and employment
  - o academic/research, teaching, training
  - o public/government positions

**Stability:**

- does the project organisation and infrastructure have a finite lifespan?
- does the project have a plans to maintain the organisation and structure beyond the lifespan of the project?
- no. of enterprises or organisational units who are dependent on continuation of the project.
- no. of jobs (FTE) that are dependent on continuation of the project.
- has the project made a risk assessment and contingency for failure to secure funding?

**Enabling:**

- no. of individuals/organisations that have used products (publications, 'tool kits' etc) from the project

no. of businesses/organisations that have formally used patent licenses from the projec