

# Austrian Platform for Research and Technology Policy Evaluation

# Why evaluation?

- \* Evaluation is like dental hygiene
  - \* to avoid „blind spots“ and lock-ins
  - \* to avoid „tunnel visions“
  - \* to think outside the box
  - \* to question issues regularly
  - \* not tolerating black boxes
  - \* and, thus, guaranteeing that most crude goofiness, injustice and wrong decisions are avoided

# Evaluation as strategic intelligence

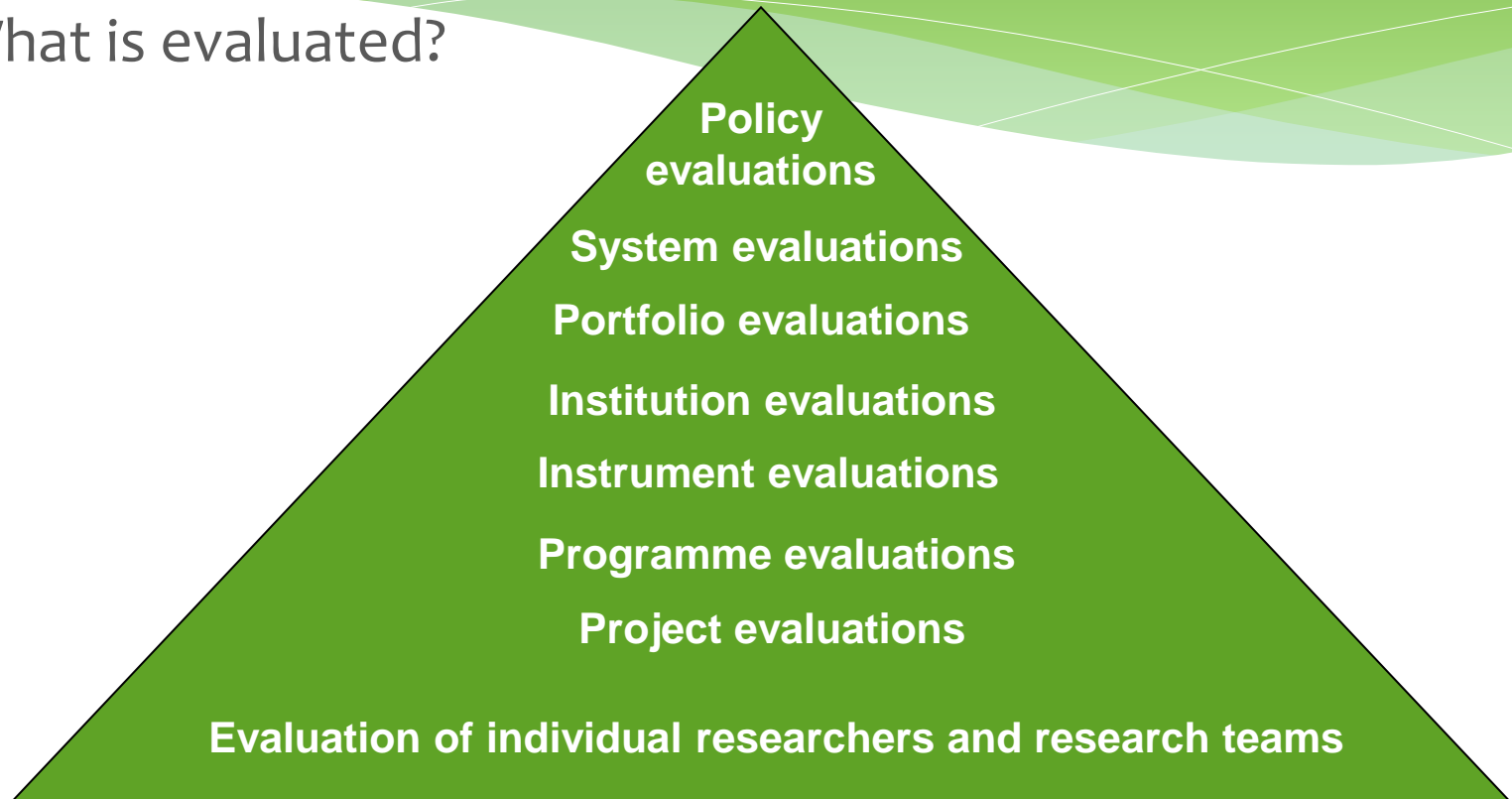
- \* Evaluation scrutinises assumptions underlying RTI policy
  - \* because it should not be taken for granted that RTI policy does this or that the way it does it
- \* Evaluation scrutinises legitimacy of interventions
- \* Evaluation assesses different options for actions (and also identifies such ones)
- \* Independent evaluation replaces missing allocation mechanisms
  - \* especially in view of a non-existent market, which decides upon success or failure

# RTI Evaluation in Austria

- \* Developed FTI evaluation culture
- \* Legally binding basis: “Research and Technology Funding Law” + “Guidelines to support economic-technical research and technology development” (issued by the Federal Ministry of Transport, Innovation and Technology and the Federal Ministry of Economy and Labour in 2007)
- \* Continuous institutionalised community learning (FTEVAL)

# Evaluation Levels

\* What is evaluated?



# Platform FTEVAL

- \* Founded in 1996
- \* Members (Federal Ministry of Science, Research and Economy; Federal Ministry of Transport, Innovation and Technology; AQ - Agency for Quality Assurance and Accreditation Austria; AIT-Austrian Institute of Technology; AWS-Austria Wirtschaftsservice; CDG-Christian Doppler Research Association; Convelop; FFG-Austrian Research Promotion Agency; FWF-Austrian Science Fund; Institute for Advanced Studies; Joanneum Research; Austrian Institute for SME Research; LBG-Ludwig Boltzmann Gesellschaft; Austrian Council for Research and Technology Development; Technopolis Austria; WIFO-Austrian Institute of Economic Research; WWTF-Vienna Science and Technology Fund; ZIT-The Technology Agency of the City of Vienna; ZSI-Centre for Social Innovation)
- \* <http://www.fteval.at/en/platform/>
- \* Secretariat hosted by ZSI – Centre for Social Innovation

# Mission of FTEVAL

- \* The mission of the Platform Research & Technology Policy Evaluation is to encourage **more, better and more transparent evaluations** for an optimal strategic planning of RTD-policy in Austria and to develop a **culture of evaluation** together with decision-makers in the field of Austrian technology and research policy.

# Budget

- \* Fixed membership fees (€2,300/y)
  - \* Enough to maintain a small secretariat (1/2 FTE and a few regular activities)
- \* Variable budget depending on yearly programme (between €40k and €100k; usually sponsored by the involved ministries)
- \* In-kind contributions (e.g. physical secretariat infrastructure paid by ZSI)



# Board

- \* Chairman: Katharina Warta (Technopolis)
- \* Vice-Chairman: Rudolf Novak (FWF)
- \* Secretary to the board: Mario Steyer (bmvit)
- \* Treasurer: Sabine Mayer (FFG)
- \* Managing director: Klaus Schuch (ZSI)

# FTEVAL: Tasks and Services

- \* **Homepage** (repository of evaluation reports, studies and ToR collection; contact database of evaluators)
- \* **Trainings** (methodology; procedures)
- \* **Public events** (e.g. long-term impact of research – E. Arnold)
  - \* Buy-in of foreign experts!
- \* **Internal exchange forum** (e.g. on programme objectives and evaluation criteria – indicators)
- \* **Individual consultancy** (e.g. on general evaluation approaches, ToR development etc.)
- \* **Journal** (highlighting themes, methods and past evaluations)
- \* **Newsletter**
- \* **International networking**

# fteval JOURNAL

for Research and  
Technology Policy  
Evaluation

ISSUE 39 | SEPTEMBER 2014

CONFERENCE  
»Evaluation of STI  
policies, instruments and  
organisations:  
New horizons and  
new challenges,  
Vienna 2013«

EMANUELA REALE, MARIA  
NEDEVA, THOMAS DUNCAN  
& EMILIA PRIMERI

EVALUATION  
THROUGH IMPACT:  
A DIFFERENT  
VIEWPOINT

MATHIAS WEBER &  
WOLFGANG POLT

ASSESSING MISSION-  
ORIENTATED R&D  
PROGRAMS:  
COMBINING  
FORESIGHT AND  
EVALUATION

CLAUDIA MICHEL, SIMON  
HEARN, GABRIELA WUELSE  
& THOMAS BREU

ASSESSING THE BROAD  
SOCIETAL IMPACTS OF  
RESEARCH: THE CASE  
OF THE NCCR NORTH-  
SOUTH PROGRAMME

# STANDARDS

**PLATFORM**  **teval**  
Research & Technology Policy Evaluation



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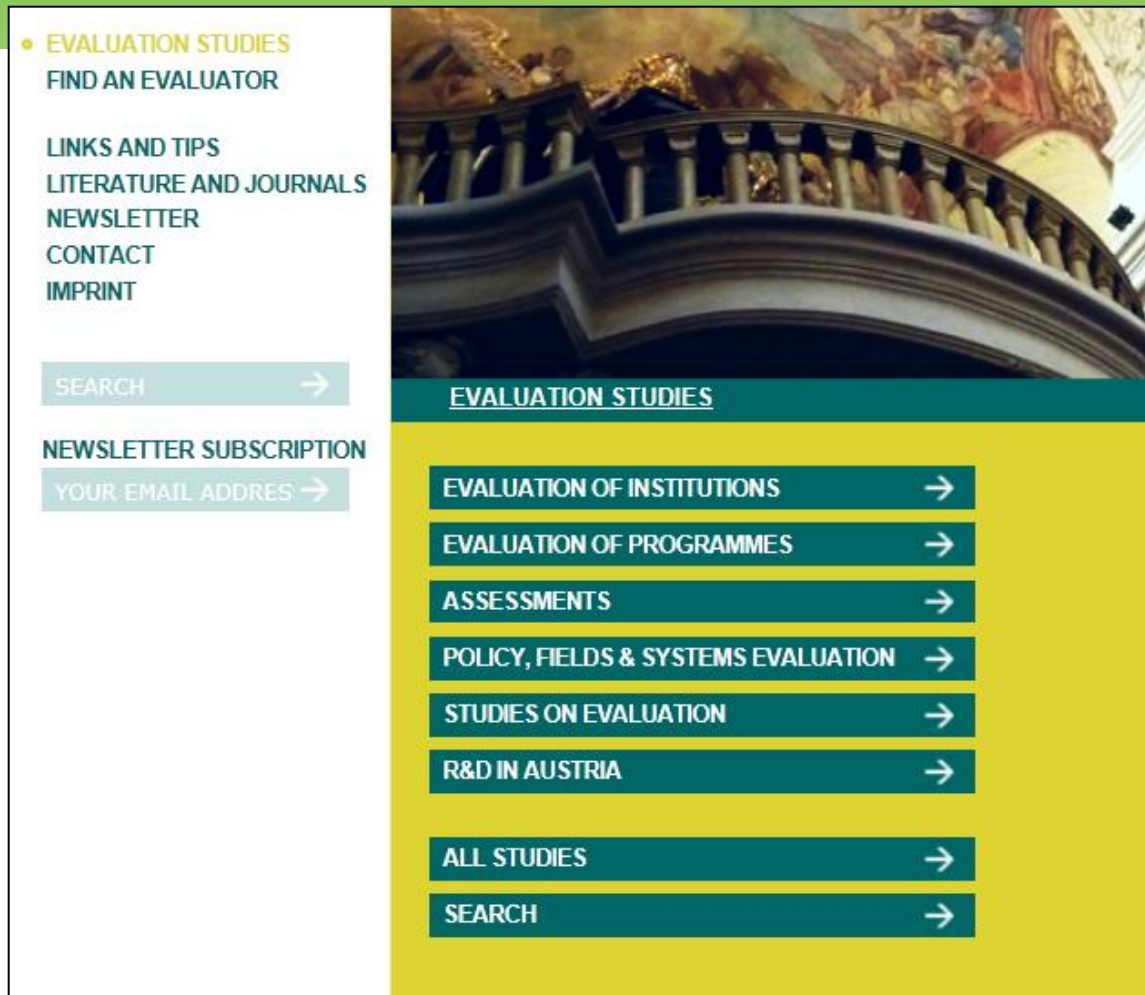
**RESEARCH AND TECHNOLOGY  
POLICY EVALUATION  
EVALUATION STANDARDS IN  
RESEARCH AND TECHNOLOGY  
POLICY**

# PUBLICATION

**Evaluation of Austrian Research and Technology Policy**  
A Summary of Austrian Evaluation Studies from 2003 to 2006

Platform Research and Technology Policy Evaluation &  
Austrian Council for Research and Technology Development (Eds.)

# Homepage: evaluation studies



• **EVALUATION STUDIES**  
FIND AN EVALUATOR

LINKS AND TIPS  
LITERATURE AND JOURNALS  
NEWSLETTER  
CONTACT  
IMPRINT

SEARCH →

NEWSLETTER SUBSCRIPTION  
YOUR EMAIL ADDRESS →

**EVALUATION STUDIES**

- EVALUATION OF INSTITUTIONS →
- EVALUATION OF PROGRAMMES →
- ASSESSMENTS →
- POLICY, FIELDS & SYSTEMS EVALUATION →
- STUDIES ON EVALUATION →
- R&D IN AUSTRIA →
- ALL STUDIES →
- SEARCH →

# Homepage: find an evaluator

**EVALUATION STUDIES**

- **FIND AN EVALUATOR**

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YOUR EMAIL ADDRESS →

**LIST**

**LIST/SEARCH**

Use this page to identify potential evaluators:

**[ 1 ] Browse**  
Browse all listings

**[ 2 ] Search by keyword**  
(Search for competences, publications, references ... etc.)

Enter a keyword:

**[ 3 ] General criteria**

Area of Competences	Type of Evaluation
<input type="checkbox"/> Science Policy	<input type="checkbox"/> Ex ante
<input type="checkbox"/> Research Policy	<input type="checkbox"/> Interim

# Principles

- \* We aren't evaluators!
- \* Transparency and forthrightness
- \* The platform fteval is not a closed club
- \* unanimity



# RTI Evaluation Characteristics in Austria

- \* Programme evaluation required by soft law
- \* Use of external evaluators (partly incl. foreign experts)
- \* Mostly based on restricted calls for tenders
- \* Often intermediate evaluations (few ex-ante, some accompanying and few ex-post evaluations)
- \* In-house monitoring systems of the funding agencies (used as input for external evaluations)
- \* RTI evaluation recommendations are not binding, but follow-ups are usually done

# Public Procurement of RTI Evaluations in Austria

## \* positive

- \* Standard procedure
- \* ToRs have improved
- \* No dominating conflict attitude (no claims to the Federal Public Procurement Office)
- \* No “lowest price” automatism
- \* RTI evaluation expertise in Austria available
- \* Inclusion of foreign experts is an asset (German!)
- \* Evaluation reports are publicly available
- \* Follow-ups are usually implemented

## \* negative

- \* High threshold for direct awarding (€ 100k)
- \* Convergence towards internal thresholds (€ 29,900 contracts)
- \* Often only restricted tenders
- \* Too limited budget (0.5-1% of the RTI programme)
- \* Little room for experimentation
- \* No compulsory management response
- \* Variable professionalism of awarding authorities
- \* A few “alibi”-evaluations

# Austrian Platform for Research and Technology Policy Evaluation

c/o ZSI

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