

Austrian Platform for Research and Technology Policy



Evaluation Standards for Research, Technology and Innovation Policies

Presentation at the Vienna Evaluation Network (VEN) event
3. October 2019, Klaus Schuch, Katharina Warta



Standards



- In the meanwhile **third edition**
- **Participatively elaborated** (2017-2018) under guidance of K. Kohlweg (former head of evaluation of the Austrian Development Agency)
- **Published in 2019 in English and German**
- **Attitude:** short, understandable but well substantiated (25 pages text plus 5 annexes)
- **2 side products** developed in course of the production of the standards:
 - ✦ Folder on impact measurement in the field of STI
 - ✦ Folder on evaluation methods



Rationale for Update of the Standards



- **Changed framework conditions** such as the introduction of impact-oriented budgeting (performance and gender budgeting) as well as regulatory embedding of evaluation in the field of STI
- **Change from a pioneering, experimental to an established evaluation culture**, characterised by a high number of evaluations
- Increasing **attention towards ex-post impact and ex-ante design evaluations**, which complement process evaluations dominant in the 2000s
- **Extension of evaluation objects** from the evaluation of single programmes towards larger portfolio evaluations and other STI-policy interventions such as institutions, instruments and regulations
- **higher claims for ethical standards** with regard to transparency, independence, credibility, participation, protection of personal data and research integrity
- **Inclusion of new members** (competences and ,ownership‘)



What's new? – Part 1



- New **mission statement** of FTEval
- Separate chapter on **importance and theoretical justification** of evaluation in the field of STI
- More **action orientation** (condensed version for hasty people on the FTEval homepage as well as checklists and guidelines)
- **Higher conceptual and terminological clarity** (incl. glossary)
- Explicit **orientation on DeGeVal** definitions
- References and additional literature (more **scientific substance**)
- Still better **readability**



What's new? – Part 2



- Emphasis on professional **Terms of References (ToRs)**
- Increased horizontal accent on **gender dimensions** in STI-policy evaluation
- Mandatory **publishing** of RTI-evaluation reports in FTEval's publicly accessible repository
- Suggestion for the introduction of a **Management Response-Systems**
- Numerous **ethical and procedural references** for implementing an as good as possible efficient, transparent and effective evaluation process



Structure



1. Introduction including the new mission statement
2. Definition – What is an evaluation?
3. Meaning of evaluation in STI-policy
4. Objects, types and functions of evaluations
5. General principals for STI-evaluations
6. Preparation / planning and implementation of STI-evaluations
7. Utilisation of evaluation results and implementation of the recommendations of STI-evaluations
 1. Annex about ToR
 2. Annex about adoption of reports
 3. Glossary
 4. Checklists, standards and other glossaries
 5. References and literature



Excursus: General Principles



1. Joint understanding
2. Commitment
3. Participation
4. Utilisation and benefits
5. Feasibility
6. Impartiality
7. Independence
8. Professionalism
9. Gender dimension
10. Transparency
11. Ethics
12. Credibility



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