

# 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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# **Austrian Platform for Research and Technology Policy Evaluation**

c/o ZSI  
Linke Wienzeile 246, A-1150 Wien

[office@fteval.at](mailto:office@fteval.at)

[www.fteval.at](http://www.fteval.at)

++43-(01) 495 04 42 - 30

