

FTEval

The Austrian Platform for Research and Technology Policy Evaluation

PRESENTATION AT THE VIENNA
EVALUATION NETWORK (VEN) EVENT
3. OCTOBER 2019

KLAUS SCHUCH, KATHARINA WARTA



STI Evaluation in Austria

- 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; updates)
- (International) peer review and independent jury decisions are regular practice in Austria
- Continuous institutionalised community learning **(FTEval)**



Platform FTEval



- Founded in 1996
- Registered as association
- <http://www.fteval.at/en/platform/>
- Secretariat hosted by ZSI – Centre for Social Innovation
- We, the Platform, aren't evaluating!
- The platform FTEval is not a closed club
- Unanimity



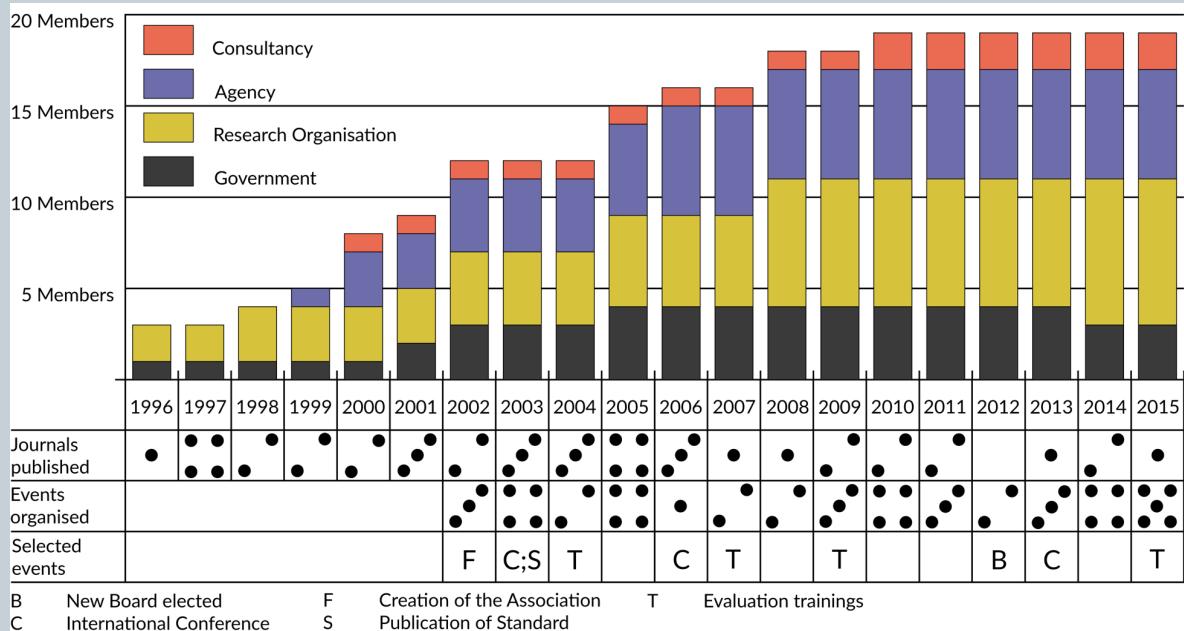
Mission of FTEval



- The mission of the Austrian Platform for Research & Technology Policy Evaluation is to promote the **quality**, the **transparency** and adequate **coverage** of evaluations to improve strategic planning of research, technology and innovation (RTI) policy in Austria. The existing evaluation culture is evolving continuously, in **consultation** with decision makers in Austrian RTI policy.



Development of the Platform FTEval



Board



- Chairwoman: Katharina Warta (Technopolis)
- Vice-Chairman: Falk Reckling (FWF)
- Secretary to the board: Mario Steyer (bmvit)
- Treasurer: Sabine Mayer (FFG)
- Managing director: Klaus Schuch (ZSI)



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 €46k and €120k; usually sponsored by the involved ministries)
- In-kind contributions (e.g. physical secretariat infrastructure paid by ZSI)



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 follies, injustice and wrong decisions are avoided



Evaluation as strategic intelligence



- Evaluation scrutinises assumptions underlying STI policy
 - because it should not be taken for granted that STI 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



STI Programme Evaluation in Austria



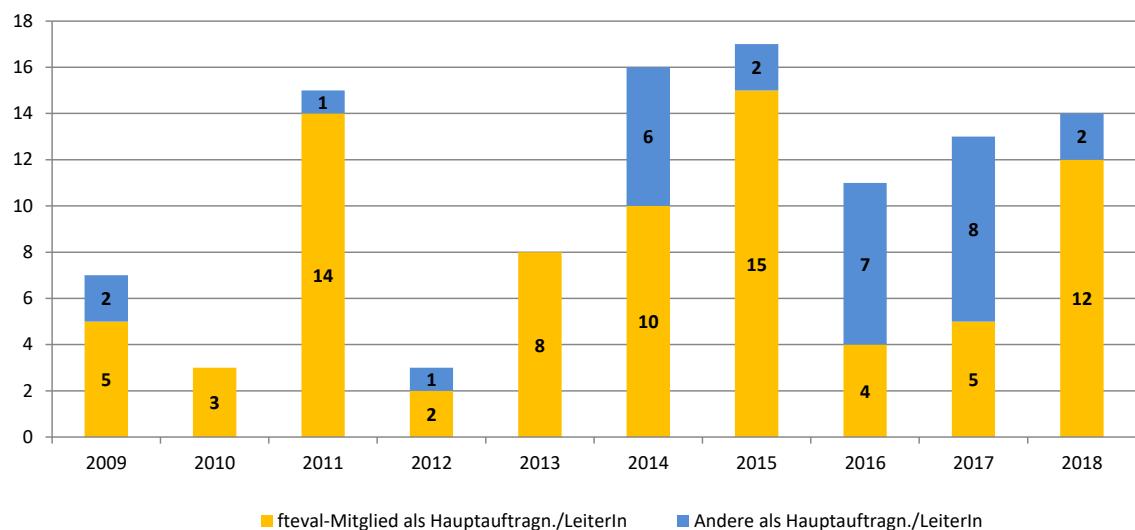
- Programme evaluation required by soft law
- Use of external evaluators (partly incl. foreign experts)
- Mostly based on restricted calls for tenders
- Often intermediate evaluations (some ex-ante, some accompanying and few ex-post evaluations)
- In-house monitoring systems of the funding agencies (used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



Evaluations 2009-2018



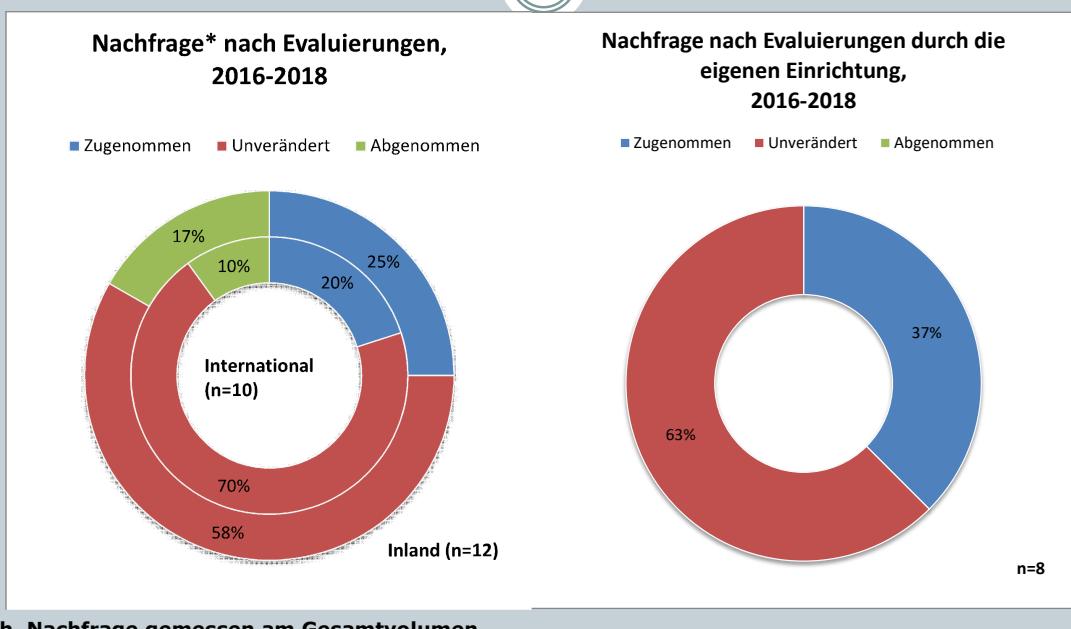
Anzahl an identifizierten Evaluierungen



Quelle: Evaluierungsliste 2019, Summe = 107



Market Analysis – Demand for Evaluations



Evaluators



Commissioning Bodies

Public Procurement of STI 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, but best value principle
- * STI 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 or €60.000 contracts)
- * Often only restricted tenders
- * Too limited budget (0.5-1% of the STI programme)
- * Little room for experimentation
- * No compulsory management response
- * Variable professionalism of awarding authorities
- * A few “alibi”-evaluations



FTEval: Tasks and Services



- **Homepage** (repository of evaluation reports, studies and ToR collection; contact database of evaluators)
- **Trainings** (methodology; procedures)
- **Public events** (e.g. largest European RTI policy evaluation conference)
 - 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**



JOURNAL

The cover of the FTEval Journal Issue 47 features a dark grey background. At the top left is a small white box containing the number '47'. In the center, the word 'fteval' is written in a large, yellow, lowercase sans-serif font. Below it, the word 'JOURNAL' is written in a larger, bold, yellow, uppercase sans-serif font. Underneath 'JOURNAL', the text 'for Research and Technology Policy Evaluation' is written in a smaller, white, uppercase sans-serif font. On the right side, there is a large, stylized yellow and black 'f' logo. At the bottom, there is a graphic of two intersecting diagonal lines forming an 'X' shape, with the words 'Impact of R&I Policy at the Crossroads of' above it, followed by 'POLICY DESIGN', 'IMPLEMENTATION', and 'EVALUATION' stacked vertically. A circular badge on the right side contains the text 'CONFERENCE "Impact of Research and Innovation Policy at the Crossroads of Policy Design, Implementation and Evaluation" VIENNA 2018'. The bottom of the cover lists several article titles and authors in a small white font.

47

fteval

JOURNAL

for Research and
Technology Policy
Evaluation

CONFERENCE
"Impact of Research
and Innovation Policy at
the Crossroads of Policy
Design, Implementation
and Evaluation"
VIENNA 2018

Impact of R&I Policy at the Crossroads of
POLICY DESIGN
IMPLEMENTATION
EVALUATION

PIERRE-BENOIT JOLY, MIREILLE MATT AND DOUGLAS K. R. ROBINSON
RESEARCH IMPACT ASSESSMENT: FROM EX POST TO REAL-TIME ASSESSMENT

NELLY BRUNO AND MARTINA KADUNC
IMPACT PATHWAYS: TRACKING AND COMMUNICATING THE IMPACT OF THE EUROPEAN FRAMEWORK PROGRAMME FOR RESEARCH AND INNOVATION

JULIEN RAVET, BAPTISTE BOITIER, MARCO GRANCAGNOLI, PIERRE LE MOËL, LIVIU STIRBAT, PAUL ZAGAME
THE SHAPE OF THINGS TO COME: EX-ANTE ASSESSMENT OF THE ECONOMIC IMPACT OF HORIZON EUROPE

ISSUE 47 | MAY 2019

STANDARDS

AUSTRIAN PLATFORM
for Research and Technology Policy Evaluation 

EVALUATION STANDARDS FOR RESEARCH, TECHNOLOGY AND INNOVATION POLICY

MARCH 2019
DOI: 10.22163/feval.2019.344

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.)

Neuer fteval Newsletter!

[View this email in your browser](#)



E-NEWSLETTER Mai 2015

Liebe Leserinnen und Leser!

In der Maiausgabe unseres E-Newsletters finden Sie folgende Beiträge:

- [Success breeds success. Experiences from Singapur](#)
- [Workshop zu ORCID](#)
- [New Challenges for the Evaluation of Science and Research: Political Goals, Theory and Methodological Challenges](#)
- [Fortbildung "Evaluation of Science and Innovation Policies"](#)
- [18. Jahrestagung der DeGeval - Gesellschaft für Evaluation](#)
- [Jahreskongress SEVAL 2015 - Evaluation und Unabhängigkeit](#)
- [Workshop on Research Evaluation in Austria](#)
- [Neue Publikationen](#)

Wir laden Sie herzlich ein, uns evaluationsrelevante Beiträge aus dem Bereich der Evaluation von Wissenschaft, Forschung und Innovation zuzusenden.

Klaus Schuch, Stefan Philipp
Plattform fteval



Homepage

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NEWS PLATTFORM JOURNAL BERICHTE VERANSTALTUNGEN LESENWERTES STANDARDS KONTAKT



Über die Plattform fteval

NEWS

„Was kann man aus Evaluierungen für die (neue) FTI-Strategie lernen?“ -

Abonnee unseren Newsletter
 >

News:

Repository



Datei Bearbeiten Ansicht Chronik Leszeichen Extras Hilfe

ZSI - Zentrum für Soziale Innovation X burgessring - LEO: Übersetzung X Funding & tenders X My Trip to Bucharest - Reservation X topic id Europe as a global actor X fteval X Willkommen zum Repository X +

Erste Schritte https://www.ecn-eu.c... Aktuelle Nachrichten http://www.google.at... touristicweb - web co... ZSI Bibliotheks Neu... ZSI Links ZSI Links Dateien - ZSI Cloud 1 2 3

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Im Archiv navigieren Navigieren Sie durch die Einträge im Archiv anhand der Themengebiete.

Über dieses Archiv Nähere Informationen über diese Website.

Das fteval Reposititorium unterstützt QdI 2.0 mit der Basis-URL https://repository.fteval.at/api/qdii

Impressum eprints

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Internal Exchange



fteval inside : fteval insight

Mitglieder laden Mitglieder ein, in die eigene Arbeitswelt zu schauen. Einblicke und Einsichten können durch dieses neue Format der Vernetzung innerhalb der Plattform entstehen. Die Veranstaltungen folgen der gemeinsamen Grundstruktur „Präsentieren – Diskutieren – Plaudern“ am späteren Nachmittag. Jeweils besonders sind die von den GastgeberInnen geprägten Inhalte und Settings.



EU Presidency Conference



Impact of R&I Policy at the Crossroads of

POLICY DESIGN
IMPLEMENTATION
EVALUATION

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23

SAVE THE DATE!



openevaluation2016
INTERNATIONAL RTI POLICY EVALUATION CONFERENCE

24 + 25 NOVEMBER 2016
VIENNA | AUSTRIA

www.openevaluation2016.eu

AUSTRIAN PLATFORM
for Research and Technology Policy Evaluation



IFRIS
Institute For Research
and Innovation in Society

MANCHESTER
1824
The University of Manchester

Other Events



On the way to the best –
Evaluation of the German
Exzellenzinitiative, 3. June 2016

Success breeds success. Experiences
from Singapore, 18. June 2015



The Norwegian
Innovation System, 8 June 2018



25

Trainings





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