SOUTH EAST EUROPE
Transnational Cooperation Programme

Fostering Evaluation Competencies
EVAL-INNO
in Research, Technology and
Innovation in the SEE Region

Programme co-funded by the
EUROPEAN UNION

EVAL-INNO

The EVAL-INNO capacity building measures in SEE

Martin Felix Gajdusek

Evaluation and Expertise for Scientific Excellence in the EaP region
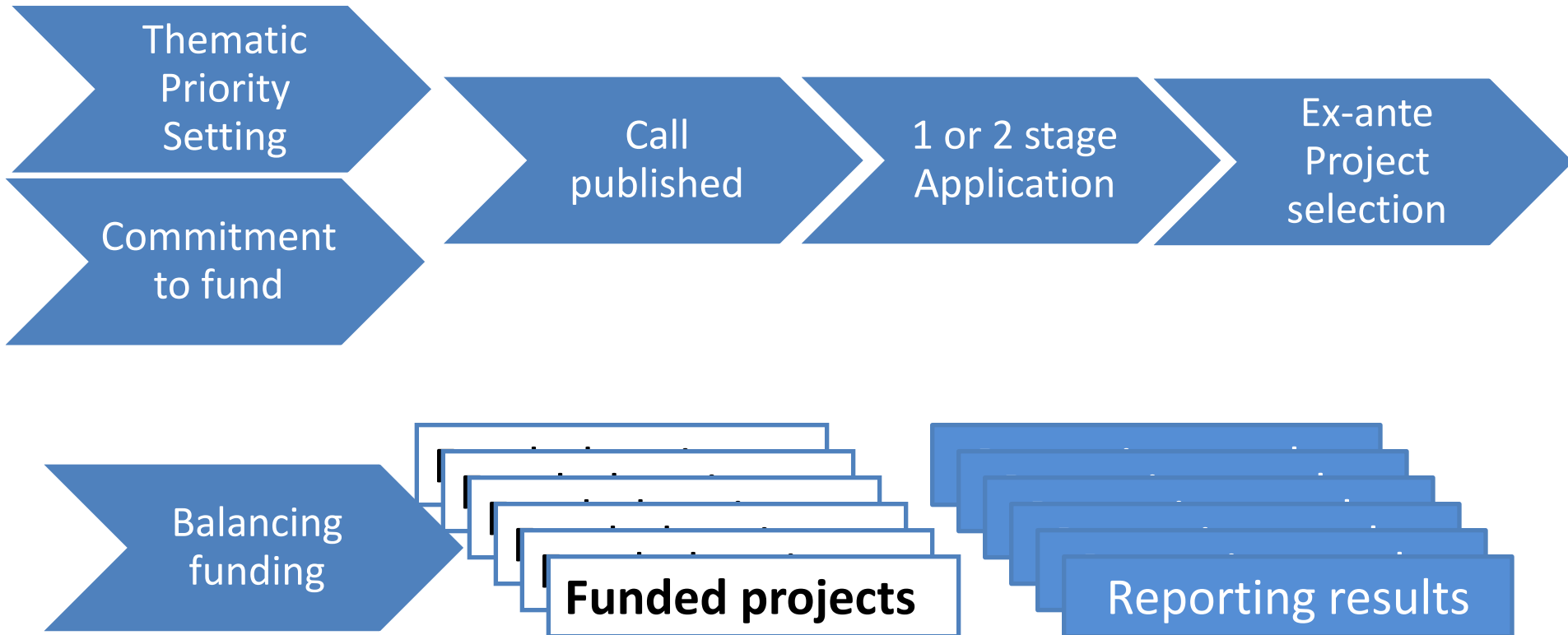7-8 May 2014
Chisinau, Moldova

www.eval-inno.eu

Content

- Monitoring experiences from SEE-ERA NET PLUS (FP7)
- Evaluation levels and Opportunities of Programmes
- Insight in the EVAL-INNO capacity building activities
- Future actions proposed

INCO ERA-NETs: Is funding simple?

Thematic Priority Setting

Commitment to fund

Call published

1 or 2 stage Application

Ex-ante Project selection

Balancing funding

Funded projects

Reporting results

Neither documentation!

Documentation ?

Non covered thematics

Not included funders

Non applicants

Ineligible

Not invited to stage 2 (if)

Available reviewers

Matching thematics (if)

Excluded during balancing

Differing funding rules Coordinator vs. Partners Organisational benefits EU MS, non EU MS partners

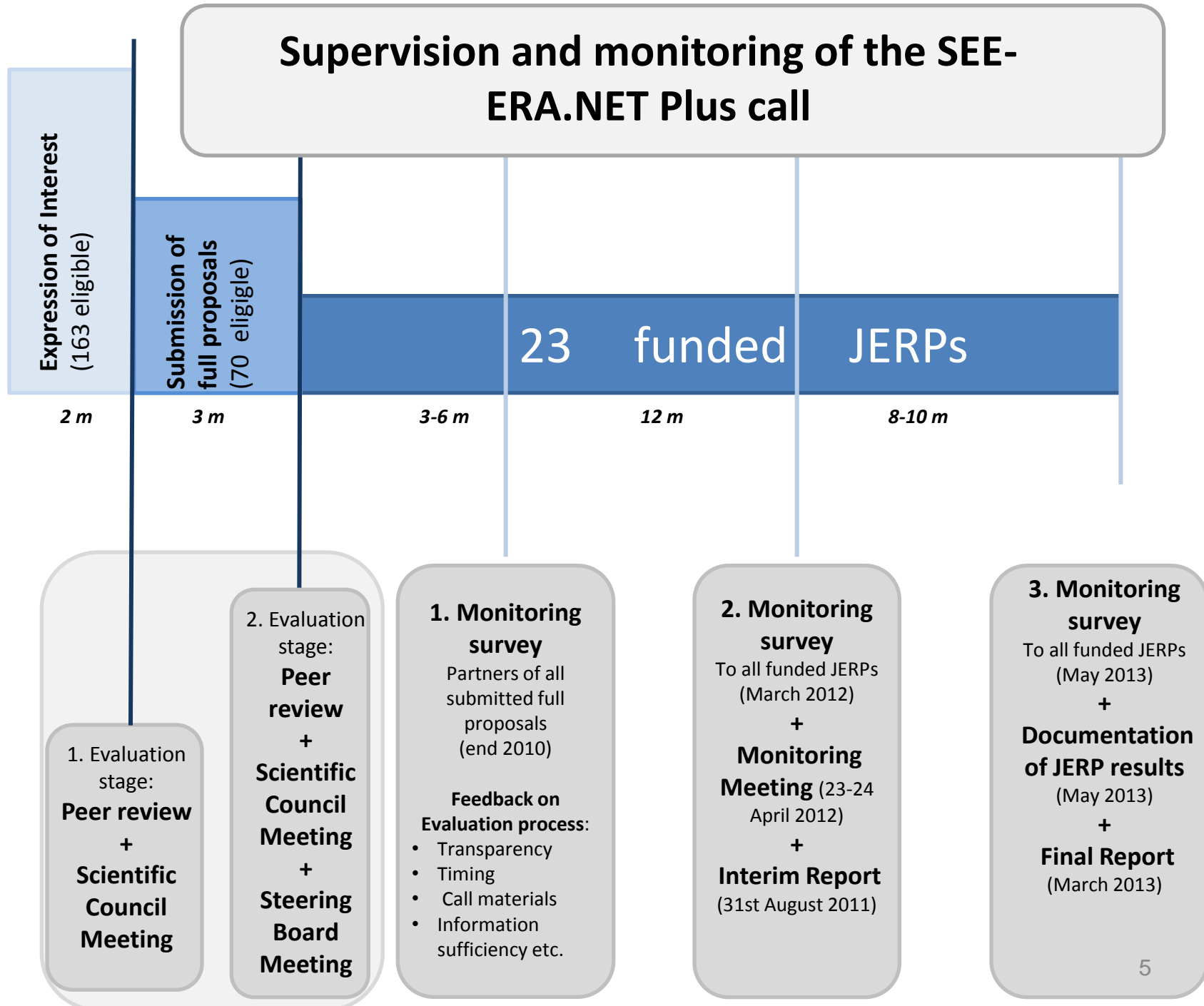Timing (interim, at end, after) Spendings Outputs and Results Impact in some years

And much more!

Supervision and monitoring of the SEE-ERA.NET Plus call

Expression of Interest (163 eligible)

Submission of full proposals (70 eligigle)

23 funded JERPs

2 m | *3 m* | *3-6 m* | *12 m* | *8-10 m*

1. Evaluation stage:
Peer review
+
Scientific Council Meeting

2. Evaluation stage:
Peer review
+
Scientific Council Meeting
+
Steering Board Meeting

1. Monitoring survey
Partners of all submitted full proposals (end 2010)

Feedback on Evaluation process:
- Transparency
- Timing
- Call materials
- Information sufficiency etc.

2. Monitoring survey
To all funded JERPs (March 2012)
+
Monitoring Meeting (23-24 April 2012)
+
Interim Report (31st August 2011)

3. Monitoring survey
To all funded JERPs (May 2013)
+
Documentation of JERP results (May 2013)
+
Final Report (March 2013)

5

Documentation of outputs…

PUBLICATIONS
- Publications in **international peer reviewed journals**
- Publications in **scientific journals** (review by editors)
- **Other publications** directed to the interested public (e.g. newsletters, articles in newspapers, brochures and leaflets etc.)
- **Own publications** of the project with primary scientific audience (e.g. edited proceedings, anthologies, published deliverables if addressed to the audience)
- **Conference papers**, posters, meeting abstracts
- **Databases** created (briefly describe access, target audience, other relevant details e.g. link for further reference)

EVENTS
- **Speeches, workshops and/or sessions** held at conferences
- **Own event organization** (e.g. workshop, conference, own panel or session attached to other conference, outreach events to policy makers or direct beneficiaries of research like farmers, future clients)

EXCHANGE AND TRAVEL
- **Research staff exchange** (including e.g. training in laboratory, summer schools)
- **Student exchange** (mainly educational purpose e.g. training in laboratory or summer schools)
- Other **research related travel** (e.g. field trips for collection of samples)

DEVELOPMENT
- Developed **new/improved products/technologies**
- (planned) joint **patent application(s)**
- **Contribution to standardization** (ISO) or implementation of strategic frameworks
- Joint **applications to other funding schemes** during project duration

Recommendations for better monitoring procedures

- Support function on national level for justification
- Timely planning, introduction
- Data provision can be a contractual obligation of funded projects
- Comparison with proposal (Review meetings, externals)
- Multilateral funding: Centralized vs. distributed by funding partner monitoring efforts – Integrate!

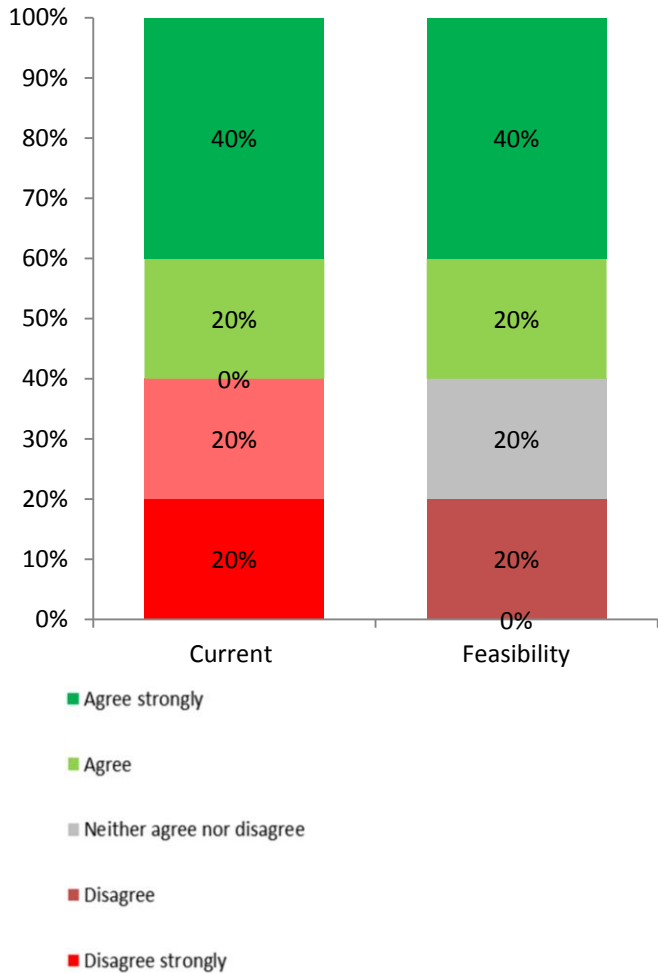# Recommendations for evaluation on "programme level"

- Establish quantitative indicators with objectives of call on programme level

- Control if objectives are part of ex-ante evaluation criteria

- Timely Monitoring + Impact evaluation concept before call (or in parallel)

- Employ knowledge from (external) evaluators or qualified staff (Agencies..)

- Establish learning with concluded (joint) funding actions

- Awareness of the value of evaluation for justification of follow up and sustainability

Potential use of evaluation findings on programme level?

- Varying evaluation culture of owners
- Schedule of calls – timing
- If there are no follow up calls, why?
- Future uptake of findings
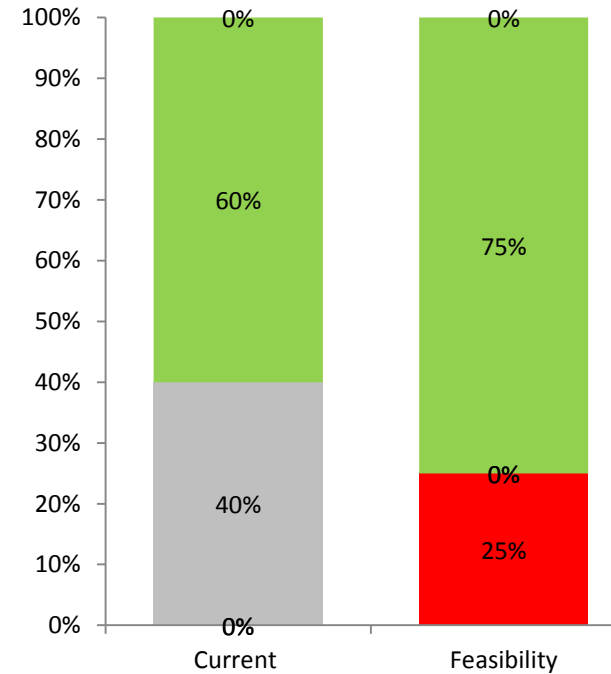- Learning community (of funding parties)

Additionality

Did you explore/ask for behavioral changes towards cooperation that were triggered or influenced by the funding (or the application)

- ■ Agree strongly
- ■ Agree
- ■ Neither agree nor disagree
- ■ Disagree
- ■ Disagree strongly

Did you ask the beneficiaries/funded partners in calls whether the funding had an effect on triggering additional own resources of a beneficiary (beyond planned in kind contributions)
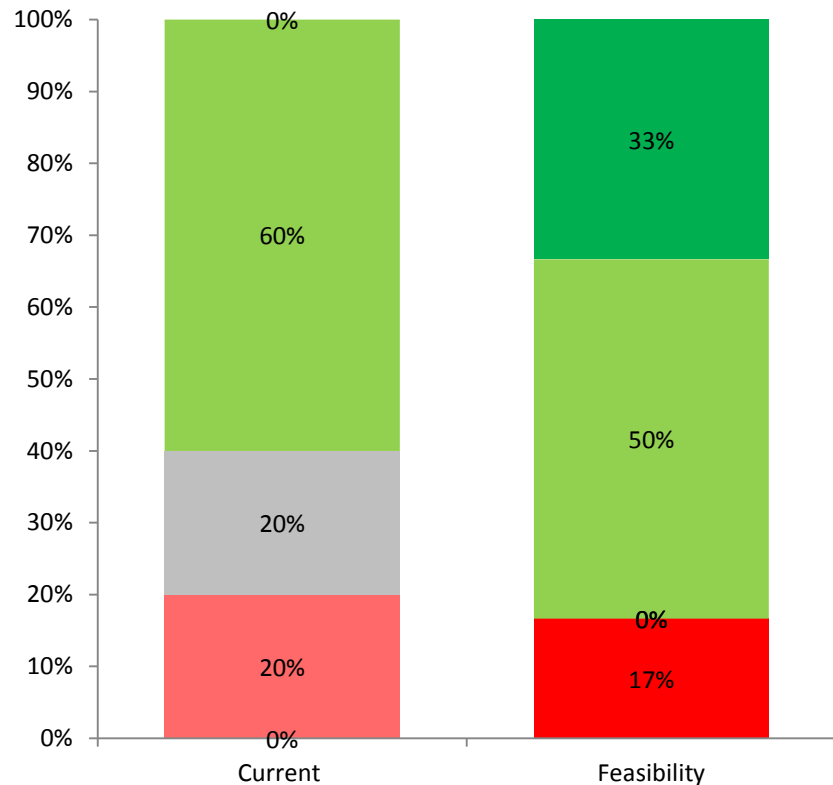

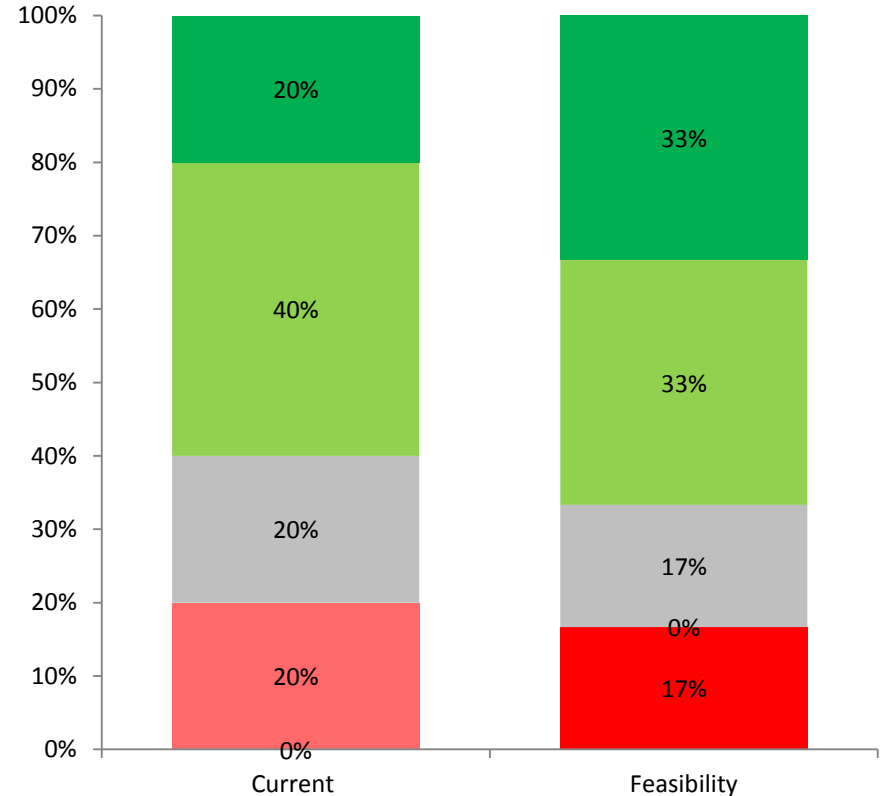**Did you explore the net – effects resulting from the funding provided**

Indicators (Outputs, Results, Call success)

Did you define jointly indicators for the call (to define the final output expected from funded projects) in advance to a call?
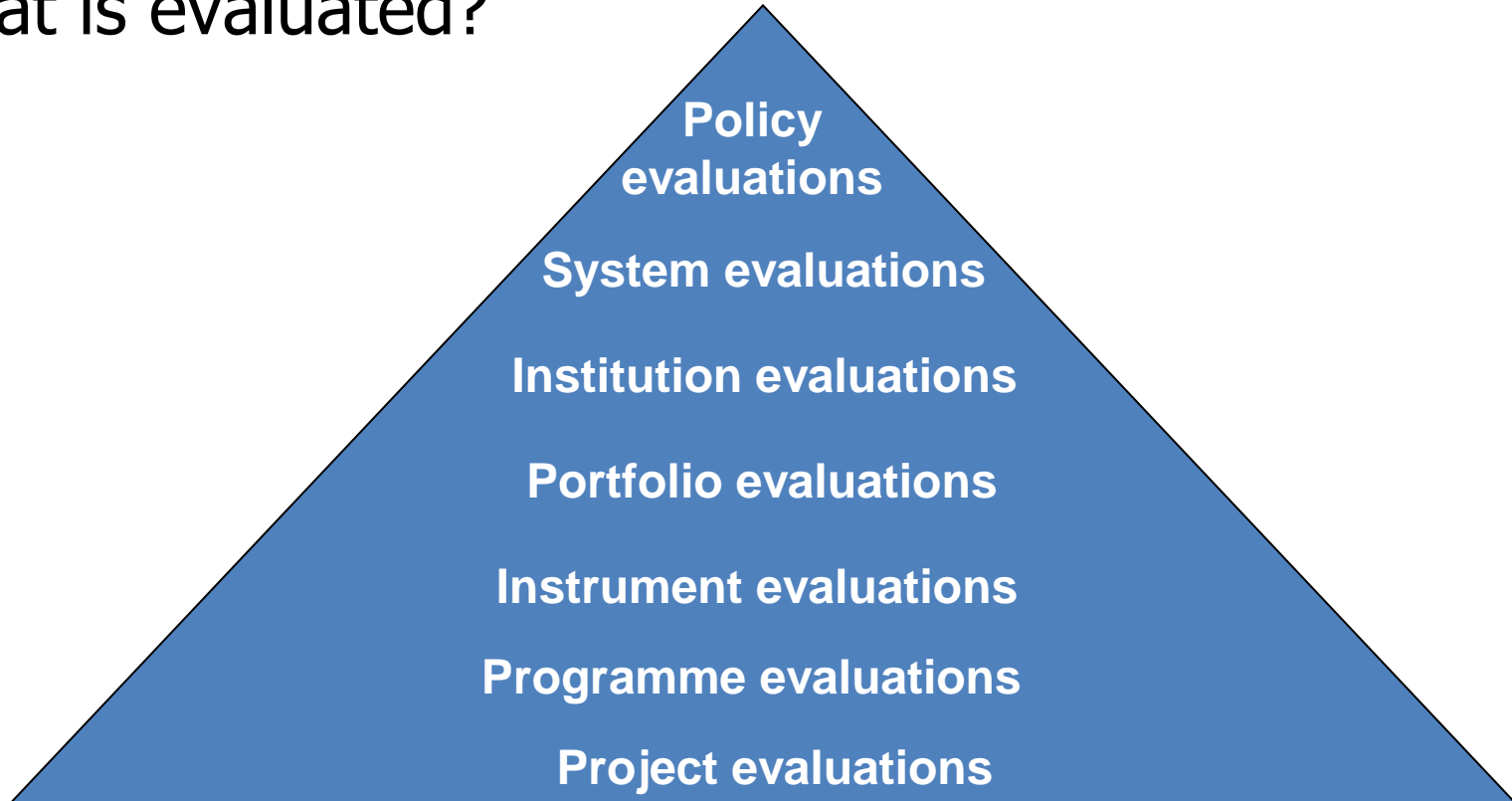
Have you defined a set of indicators so that the success of a call can be assessed when the joint funding ends?
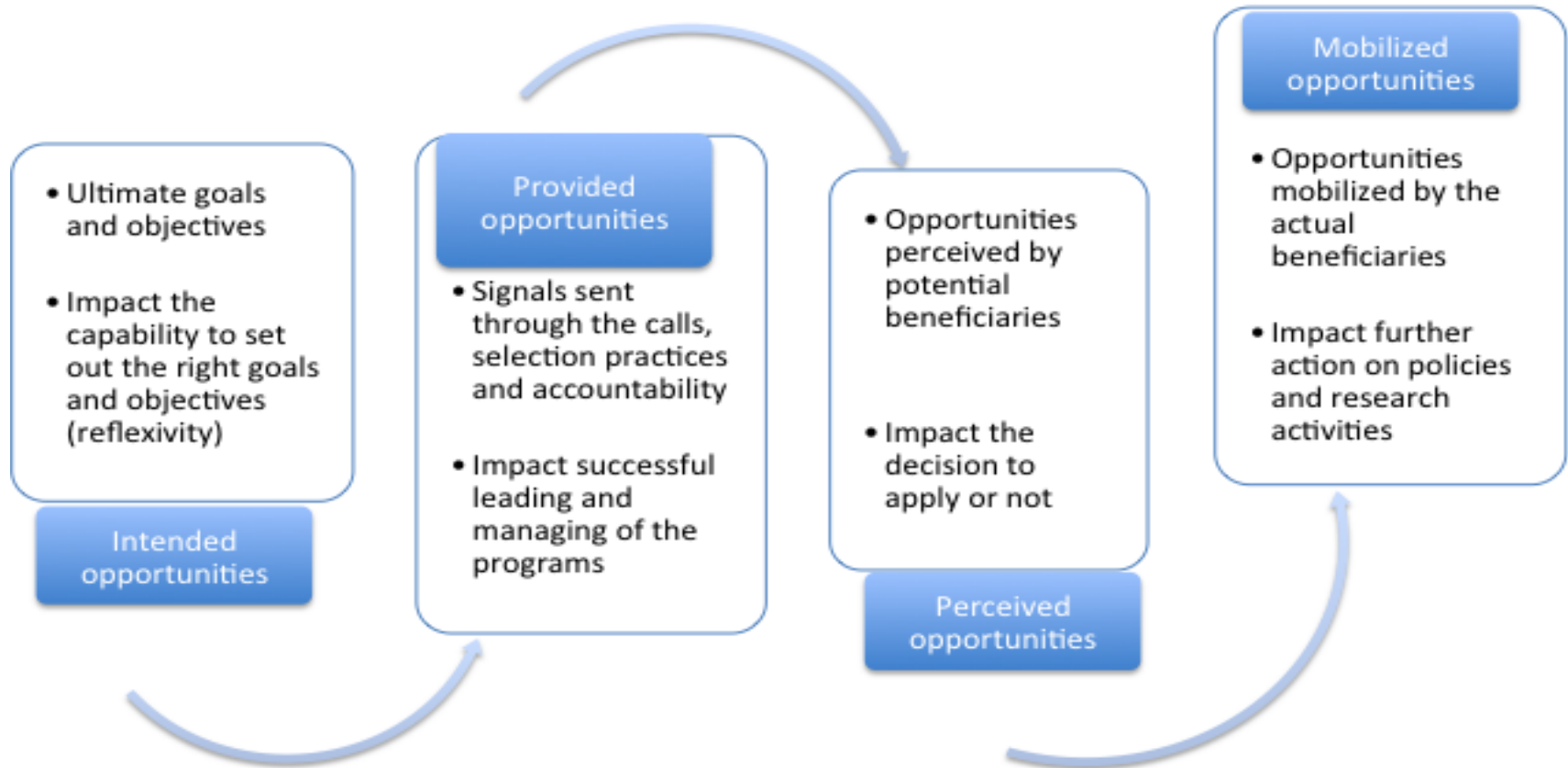
Evaluation Levels

What is evaluated?

Policy evaluations

System evaluations

Institution evaluations

Portfolio evaluations

Instrument evaluations

Programme evaluations

Project evaluations

I am not talking about auditing!

Opportunities of a RTDI Programme/Project

- Ultimate goals and objectives
- Impact the capability to set out the right goals and objectives (reflexivity)

Intended opportunities

Provided opportunities
- Signals sent through the calls, selection practices and accountability
- Impact successful leading and managing of the programs

- Opportunities perceived by potential beneficiaries
- Impact the decision to apply or not

Perceived opportunities

Mobilized opportunities
- Opportunities mobilized by the actual beneficiaries
- Impact further action on policies and research activities

Source: Reale, E., Nedeva, M., Thomas, D., and Primeri, E. (fteval Journal, 39/2014)

The research, technology development and innovation programmes…

▸ Public interventions and measures supporting RTDI

▸ Portfolio

▸ History of the national measures("motives")

  ▸ National demand from beneficiaries;

  ▸ Thematic demand;

  ▸ Political motivated;

  ▸ Taking opportunities (WB; OECD; bilateral; multilateral);

  ▸ Completing/complementing funding portfolio;

  ▸ Following new trends (and new public management).

▸ Programme logic of intervention

  ▸ Policy level (Programme/intervention objective)

  ▸ Programme level (Project goals and plans)

    ▸ Purpose

    ▸ Explicit

14

Why evaluation culture matters

- Evaluation culture is embedded in the public management/new public governance

- Subsidiarity gives national/regional level responsibility and accountability for evaluation

- Overall evaluation culture can be built bottom-up and can hardly be imposed top-down (political pressure helps, it is a necessary but not a sufficient condition)

EVAL-INNO Project aims

Key objective:

- To strengthen regional as well as national evaluation capacities to improve the framework conditions for innovation policies, programmes, institutions and projects.
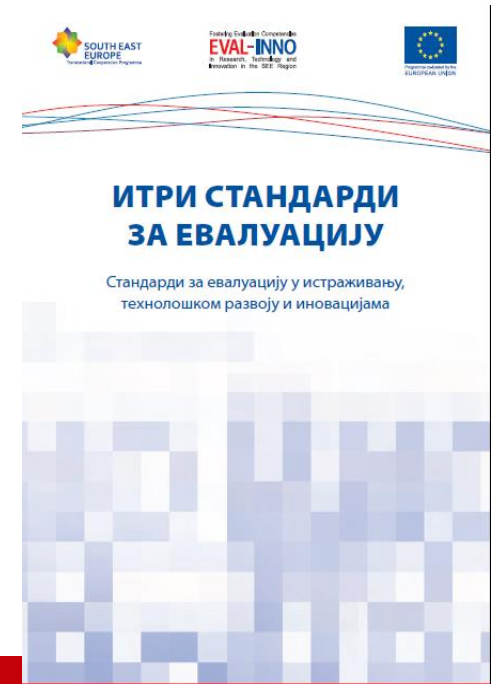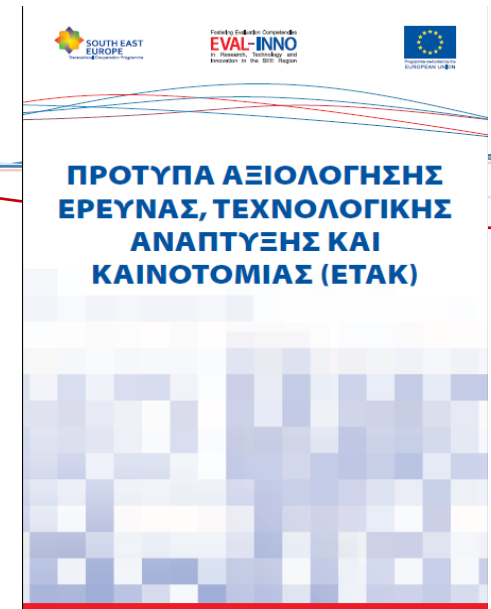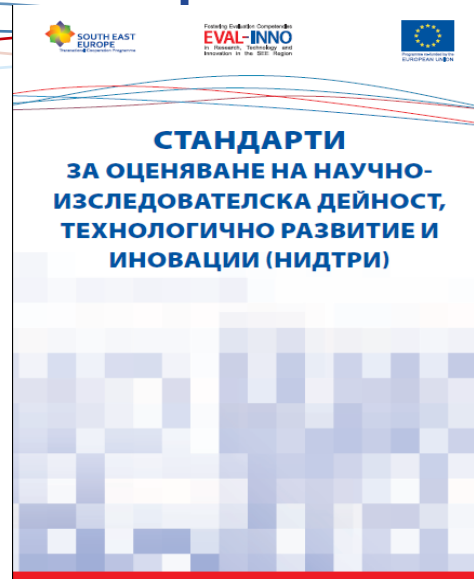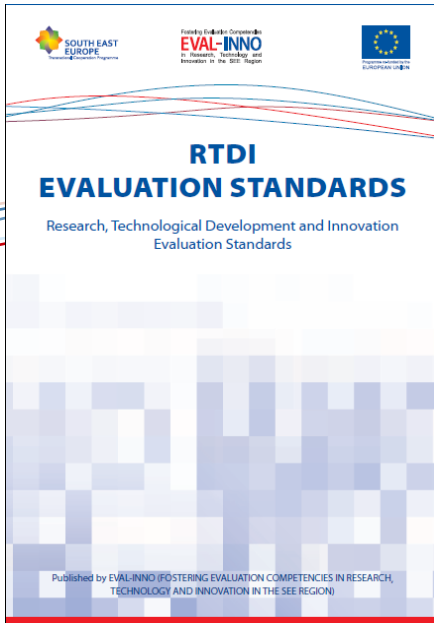
Specific aims:

- promote the role of RTDI evaluation as crucial condition for a reflexive learning innovation system;

- develop needed capacities/competencies for comprehensive RTDI evaluations;

- provide procedural and methodological know-how and tool-kits both on the side of evaluators and on the side of awarding authorities.
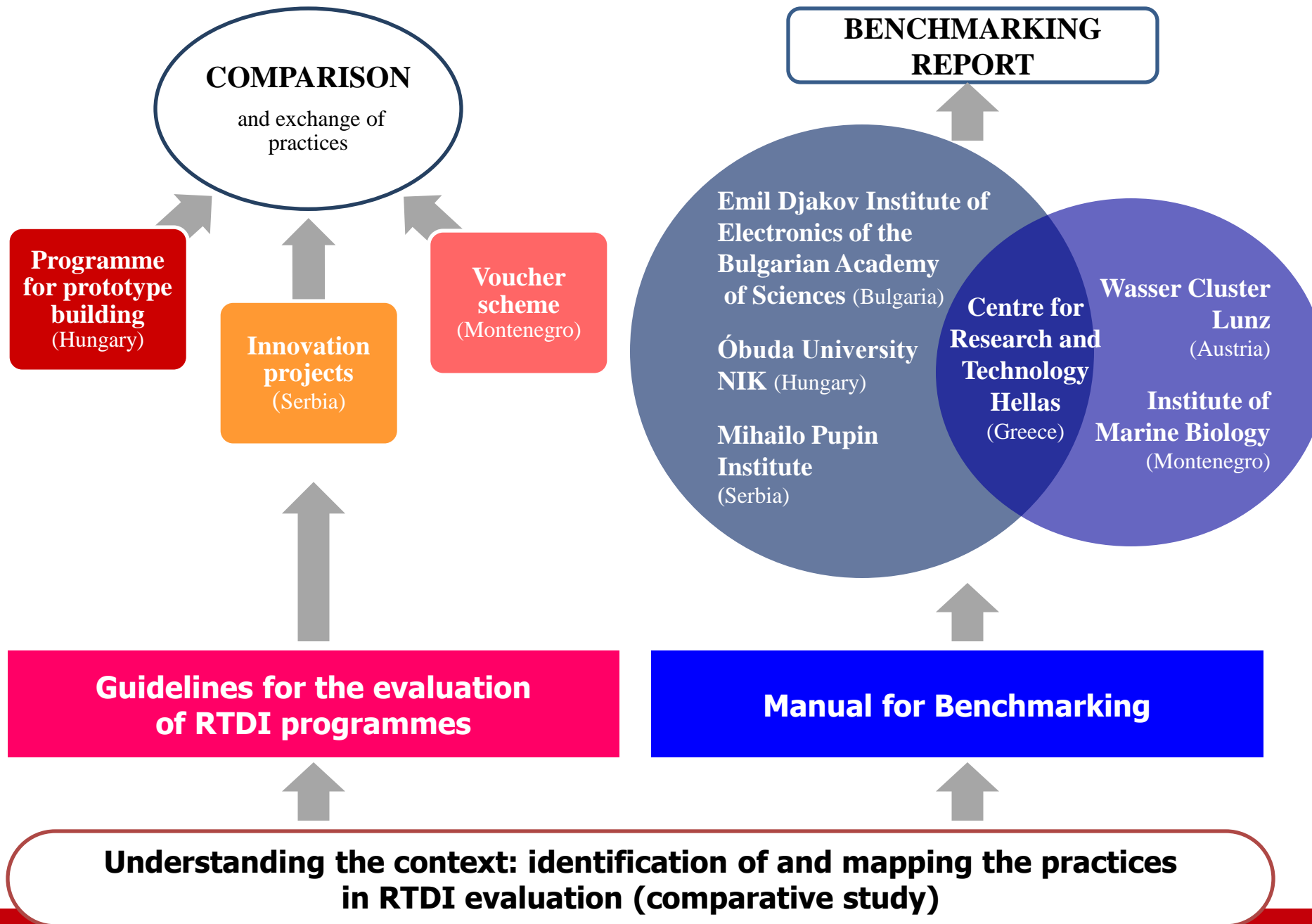
Activities of EVAL-INNO

- Development of RTDI evaluation Standards in 6 languages;
- Virtual infrastructure, database, information hub;
- Trainings weeks (Sofia, Budapest, Podgorica, Belgrade)
  covering 16 countries involving 125 participants;
- Benchmarking manual; Pilot Benchmarking of 6 (+2) RTDI organisations (A, BG, GR, HU, ME, RS);
- Programme evaluation guidelines; 3 pilot evaluations (RS, ME, HU);
- Analysis of current practice in all 6 countries;
- Analysis of existing RTDI evaluation culture;
- Steps to "ownership": missions, final event, publication.
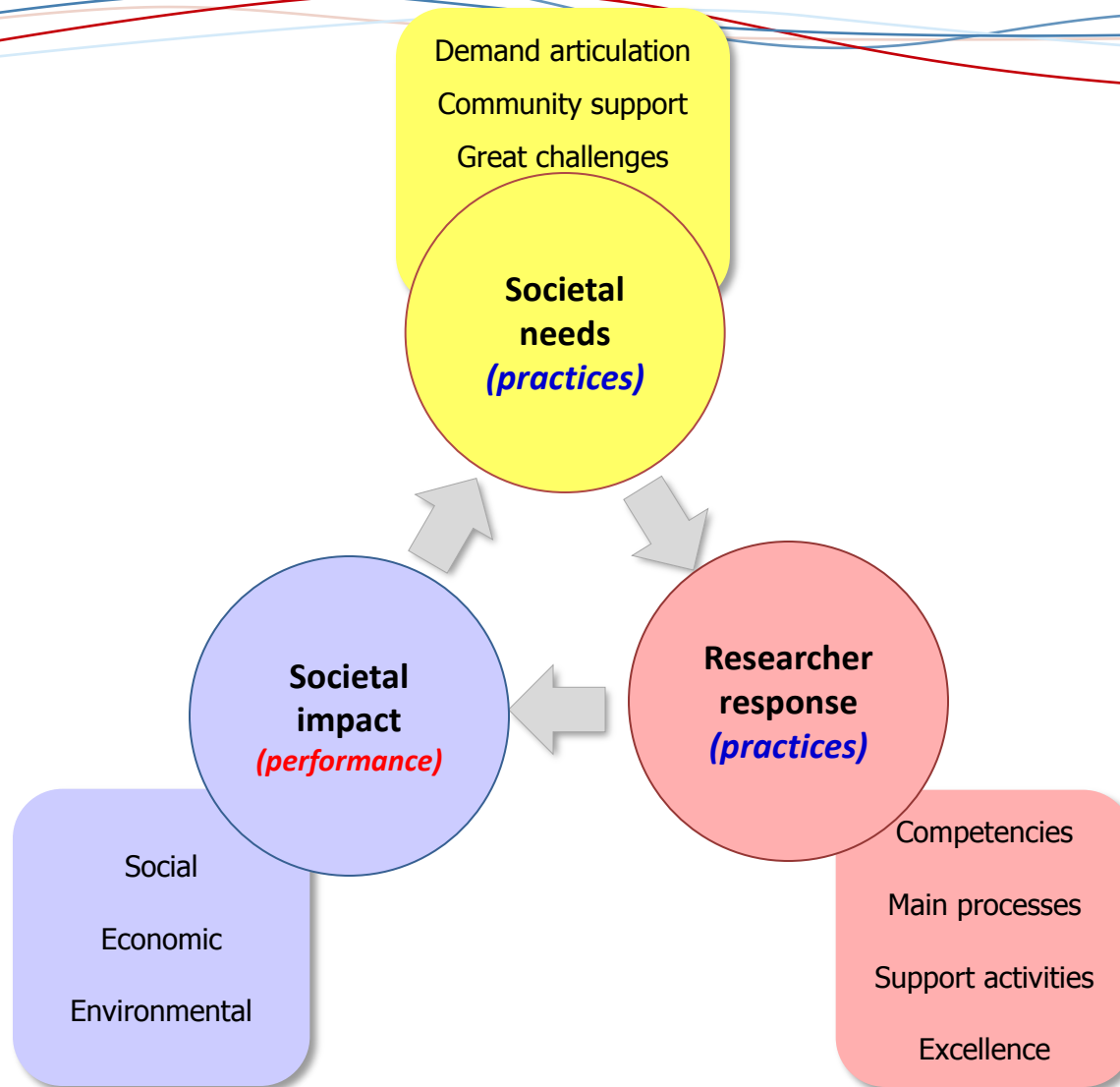
The publishing

	Monday	Tuesday	Wednesday	Thursday
9.00 - 10.00	Introduction to the course and overview of RTDI evaluations **(Dr. Nikos Sidiropoulos, Greece)**	RTDI System Evaluation. A case study **(Prof. Teodora Georgieva, Bulgaria)**	Evaluation Platforms. The Austrian example **(Mag. Dr. Klaus Schuch, Austria)**	Constructing the Terms of References **(Mag. Dr. Klaus Schuch, DI Martin Felix Gajdusek, Austria)**
10.00 - 11.00	History of RTDI evaluation, definitions, types, levels, timing of evaluations **(Dr. Nikos Sidiropoulos, Greece)**	A Structural Funds Operational Programme Evaluation. A case study **(Prof. Teodora Georgieva, Dr. Todor Galev, Bulgaria)**	Evaluating Economic Impacts **(Dr Milos Besic, Montenegro)**	Constructing the Terms of References **(Mag. Dr. Klaus Schuch, DI Martin Felix Gajdusek, Austria)**
Coffee Break				
11.15 - 12.15	Design of evaluation-logic charts **(Mag. Peter Kaufmann, Austria)**	Programme Evaluation. A case study **(Prof. Djuro Kutlaca, Serbia)**	Evaluation of social impact of research **(Dr. Todor Galev, Bulgaria)**	The EVAL-INNO Platform and Databases of Evaluators **(DI Martin Felix Gajdusek, Austria)**
	Rules and ethics for evaluators and commissioning institutes, **(Mag. Peter Kaufmann, Austria)**	Research Institute Evaluation. A case study **(Dr. Balázs Borsi, Hungary)**	Overview of evaluation basic tools and methodologies **(Prof. Lena Tsipouri, Greece)**	Monitoring of evaluations from the perspective of the awarding authorities **(Mag. Dr. Silvo Korez, Austria)**
12.15-13.15				
Lunch				
14.15 -15.15	Competence of evaluators and awarding authorities **(Dr. Nikos Sidiropoulos, Greece)**	University Evaluation. A case study **(Prof. Teodora Georgieva, Bulgaria)**	RTDI Public Procurement Legislation in ERDF and IPA countries **(Prof. Lena Tsipouri, Greece)**	real-case based group exercises
15.15-16.15	Utilisation of evaluation results - Usefulness of evaluation, **(Mag. Peter Kaufmann, Austria)**	Ministry/Research Agency/ Awarding authority Evaluation. A case study **(Dr. Balázs Borsi, Hungary)**	RTDI Public Procurement Legislation in ERDF and IPA countries **(Prof. Lena Tsipouri, Greece)**	real-case based group exercises

policy-delivery and programme owners

The EVAL-INNO benchmarking framework
(for application oriented public research organisations)

Demand articulation

Community support

Great challenges

Societal needs
(practices)

Researcher response
(practices)

Competencies

Main processes

Support activities

Excellence

Societal impact
(performance)

Social

Economic

Environmental

Source: EVAL-INNO Benchmarking Manual

Conclusions, learning and transferability

Pilot programme evaluations

- Programme designs usually fit well the policy environment
- Problem areas are associated with execution, for which partly contextual factors are responsible (e.g. unpredictable or inadequate financing)
- Monitoring and data considerations are prevalent: a basic precondition for more sophisticated evaluations and the development of the evaluation culture
- **RTDI Programme Evaluation Guidelines** (already available)

Benchmarking exercise

- Cross-country analysis: great care should be exercised!
- Traditional RTDI indicators do not necessarily show the impact of e.g. public sector impacts
- Copy and paste: will not work, but as an intelligence tool, to view oneself as part of a larger, globalising RTDI community – it has much to offer
- The practice comparisons and the qualitative factors allow for an overview of visible improvement options at the strategic level
- **Benchmarking manual and comparative study** (will be available)

Future perspective?

- Users/customers
- Product
- Resources

The stakeholders (customers/users)

- National actors (variable picture in each country)
  - Research councils
  - Ministries (programme owners)
  - Agencies
  - Unversities
  - Research organisations
  - Academies

  - Evaluation providers (individuals, companies)
- International actors (importance variable)
  - EC (corresponding to instruments), WorldBank, RCC

Hungary

1. National Innovation Office (H)
4. Ministry of National Economy (H)
2. National Development Agency (E)
3. Hungarian Association of Innovation (H)
5. Federation of Technical and Scientific Societies (H)

Bulgaria

1. Ministry of Economy, Energy, Tourism
1. Ministry of Education, Youth and Science
2. National Science Fund + Natl Innovation Fund (soon to be in ...)
3.
2. Bulgarian Academy of Science
3. Associations of RTDI-related firms, Chambers of Commerce, federations/scientific unions, Union of Scientists, future Innovation Council

Montenegro

Ministry of Science
Ministry of Education 2
1. Ministry of Finance PP Dept.
2.
HE & Research Institutions 3
Directorate for SMEs Dvpt. 4

Austria

2. Ministry of Economy, Family/Youth
1. Ministry of Science and Research BMWF
BMWA
3. Austrian Research Promotion Agency FFG
4. Ministry of Transport, Innov, Technol BMVIT
Austrian Development Agency ADA

Greece

1. General Secretariat for Research and Technology (GSRT)
2. Hellenic Quality Assurance Agency for Her Education (HQAA)
3. National Documentation Center (EKT)
4. General Secretariat for Industry (GSI)
5. Foundation for Economic and Industrial Research (IOBE)

Serbia

2. Innovation Fund
1. Ministry of Education vs STD
4. Chamber of Commerce?
3. Ministry of Economy
MPI
5. Vojvodina ICT Cluster

FYRo Macedonia

FYR Macedonia
1. Ministry of Education and Science
2. MST
2. Chamber of Comm
3. ICT Association
4. Universities
Ministry of Economy
Macedonian Academy for science and art Center for Innovation & Research

Kosovo

Ministry of Education, Science and Technology
Kosovo Innovation Center KosovO
Kosovo Association of Information and Communication

Albania

1. Agency for Research Technology and Innovation Agency for HE
Public Accreditation
Ministry of Innovation and ICT

Croatia

University Zagreb TTO
Min. of Science Universities 2
BICRO Business Innovation Centre
University Rijeka
HIT Hrvatski institut tehnologije
ERA Osijek
INT Park Rijeka ITRA
ASHE AMPEU TEDE UKF N22

BiH

B&H:
1. MST - RS, Fed, cantons
2. Chamber of Comm - RS, Fed Cant
3. Universities

Slovenia

Ministry of Education, Science, Culture & Sport MESCS

Romania

Ministry of Education, Science and Sport
National Authority for Science and Research ACS
MCT Executive Agency for ARI, Research, Development and Innovation Fund UEMSCDI

Italy?
Moldova?
Ukraine?

Strategic   Partnerships?

Maybe likseleg

1. EU-DG R&I
2. AT ITEVAL
3. UKES
4. GERMAN ES
   Serbia

Agency for Science and Higher Education from Croatia
Thinkerspace

Italian National Agency for the evaluation of universities and Research institutes

Slovenian Research Agency

WB

RCC

OECD

American Evaluation Society

UNESCO

DG Enlargement

DG Regio

Danube Region
PA 7 - R&I
PA 8 - competitiveness
Austria & ALL

DG EVALUATION UNIT
(peer-reviewed Journal)

Europ. Evaluation Society

Romania Evaluation Ass.

EVAL-INCO Database
Contact DLR GERMANY. GR

GSRT's National evaluators' database. GR

KPMG BG
World Bank BG
Private Consulting
(Madico Consult, Project Consulting, Agency Strategy)
UNWE (Center for Research + Educational Projects)

QA agencies?

Accredit. Agency Hg

How to define appropriate future action?

Trainings

EVAL-INNO Partner workshop

STICON Post conference session

Partners

…

"4 future groups of action"

4 groups of action

 (1) Structural support actions of common importance

 (2) Regional focused actions

 (3) Capacity building and networking actions

 (4) Specific events

(1) Structural support actions of common importance

- Maintaining an Evaluation Platform
- Publication/update of Evaluation Standards (…language)
- Twinning activities with experienced countries
- Tendering advisory group for RTDI evaluation
- Certificate (QA mechanism) for trained evaluators

(2) Regionally focused actions

- Policy mix peer reviews
- Regional benchmarking exercise
- Evaluating international funding interventions

(3) Capacity building and networking actions

- Training weeks
- Summerschool
- Annual meeting

(4) Specific events

- List of possible events with national or regional focus

(4) Specific events: Exchange on current practice or training elements

o Evaluation of intermediaries/agencies

o National funding portfolio

o Programme logic, Indicators

o Monitoring as apreparatory step

o Cost/benfit of funding interventions

o RTDI evaluation in the S3

o Methodology lectures

o Etc.

-> National focus + regionally open

(1) Structural support actions of common importance

- Maintaining an Evaluation Platform
- Publication/update of Evaluation Standards (…language)
- Twinning activities with experienced countries
- Tendering advisory group for RTDI evaluation
- Certificate (QA mechanism) for trained evaluators

(2) Regionally focused actions

- Policy mix peer reviews
- Regional benchmarking exercise
- Evaluating international funding interventions

(3) Capacity building and networking actions

- Training weeks
- Summerschool
- Annual meeting

(4) Specific events

- List of possible events with national or regional focus

(1) Structural support actions of common importance

- Maintaining an Evaluation Platform
- Publication/update of Evaluation Standards (…language)
- Twinning activities with experienced countries
- Tendering advisory group for RTDI evaluation
- Certificate (QA mechanism) for trained evaluators

(2) Regionally focused actions

- Policy mix peer reviews
- Regional benchmarking exercise
- Evaluating international funding interventions

(3) Capacity building and networking actions

- Training weeks
- Summerschool
- Annual meeting

(4) Specific events

- List of possible events with national or regional focus

Communiqué

...of the final conference 25-26 March 2014

The challenges addressed

- Lack of systematic exchange with evaluators in EU and globally;

- Lack of certified evaluators for programme, institutional, and policy evaluations in the field of research and innovation as well as methodological deficits and weaknesses;

- Lack of knowledge of professional tendering procedures (incl. public procurement laws) to obtain the best evaluation results;

- Beneficiaries of evaluations at policy-level are dispersed across sectors and governance levels, and exchange among them is limited;

- Difficulties to access RTDI evaluation information and good practices and general lack of completed good-practice evaluations in the region.

Steps proposed

- 1. Adopt RTDI evaluation standards (those suggested verbatim by EVAL-INNO or an adapted variation) agreed upon by all relevant national stakeholders.

- 2. Start with a commitment to regularly evaluate larger RTDI programmes and public R&D organisations (incl. universities) by external evaluators. Three to four years might be needed for this first stage, in which programmes will set out clear objectives and secure a budget earmarked for evaluation ranging from 1–2% of their total funds (depending on the size of the programme).

- 3. During this process, commissioning organisations will gain experience, evaluators will be trained on the job (learning by doing), and a market for RTDI evaluations will be created, which will constantly improve its services.

35

Steps proposed

- 4. Provide small yearly membership fees to make the regional RTDI evaluation platform sustainable, which enables encountering and interaction at the regional level by bringing experts from different national and regional administrations into contact with each other and which centrally provides high-quality trainings on evaluation methods and evaluation processes.

- 5. Programme owners will, based on training, learning on the job, and their own experience, increase their ambitions for RTDI policies by tendering more complex evaluations (portfolio and system evaluations), whereas national public, private non-profit, and profit-oriented evaluators (institutions who perform evaluations) will emerge to respond to the increasing market demand for sound RTDI evaluations in South East Europe.

(1) Structural support actions of common importance

- Maintaining an Evaluation Platform
- Publication/update of Evaluation Standards (…language)
- Twinning activities with experienced countries
- Tendering advisory group for RTDI evaluation
- Certificate (QA mechanism) for trained evaluators

(2) Regionally focused actions

- Policy mix peer reviews
- Regional benchmarking exercise
- Evaluating international funding interventions

(3) Capacity building and networking actions

- Training weeks
- Summerschool
- Annual meeting

(4) Specific events

- List of possible events with national or regional focus

Resources?

Maintaining the network and information hub (Platform)

Costs: ½ FTE in money of in kind (depends on host…)

Organising 2 regionally relevant events/year

Costs: Speaker(s), venue costs – e.i. 1000-3000€

Attendence open

Ownership+Membership fee

Members contribute 1500€ annually

Members jointly establish an annual workplan based on their preferences and mainly based on other funding resources, the host supports.

Emphasis of the host is put on developing the structural actions, and smaller workshops on relevant topics to support community building in the countries (open to other countries)

Your suggestions

Fostering Evaluation Competencies

EVAL-INNO

in Research, Technology and Innovation in the SEE Region

Programme co-funded by the
EUROPEAN UNION

Thank you for your attention!

Martin Felix Gajdusek

office@eval-inno.eu
www.eval-inno.eu