

# EVAL-INNO

## The RTDI Programme Evaluation Guidelines and the Benchmarking Manual



# RTDI Programme Evaluation Guidelines

# Target audience



## Organisations

- thinking about commissioning an evaluation,

## “In-house analysts”

- who support the decision making process pertaining to evaluations, and

## Current and future evaluators

- who need to conduct their work in a policy- and politics-influenced environment, which impose certain limitations compared to pure research assignments

# A practice-oriented book at hands

- Presents and teaches the „evaluation thinking“ from the perspective of those working with the evaluation, but who are not RTDI evaluation experts
- Well-known evaluation principles are explained also in practical terms – what and how can be done
- Helps asking questions in various evaluation settings
- Provides methodological guidance to the most common empirical methods (questionnaire surveys, interviews)
- Draws on the critical points throughout the process
- All the above is explained with the help of commonly used RTDI programmes
- Still, the decisions remain with the user...
- The Guidelines will be presented in November 2013

# Contents



1. Concepts used in the Guidelines
2. Enforcing basic principles
3. The decisions that define evaluation objectives and shape evaluation methodologies
4. A start-kit for the basic methodological designs
5. Guidance for the evaluation process

# Complementary pilot exercises



## The programmes to be evaluated

- Serbia: The Programme for co-financing of the Innovation projects in 2011 [MES Innovation Projects 2011], managed by the Ministry of Sciences
- Montenegro: Voucher Scheme for Innovative SMEs managed by DDSME
- Hungary: Széchenyi University Knowledge Transfer programme

Using the Guidelines draft, programme-specific methodologies have also been developed

# Main questions to obtain the evaluation focus

## Montenegro

**Relevance**: Was the voucher scheme the right thing to do?

**Policy consistency**: How well does the RTDI programme fit in the wider policy environment?

**Processes**: Should and how should the programme processes be redesigned?

**Impact**: What has happened as a result of the RTDI programme?

**Quality**: How good are the outputs?

**Future recommendations**: Given the results on impacts, what should be done next?

## Serbia

**Relevance**: Was the MES Innovation Projects 2011 programme the right thing to do?

### **Processes**

Is the programme working well?

**Impact**: What has happened as a result of the RTDI programme?

**Efficiency**: What is the return on the investment?

## Hungary

**Relevance**: Was the Széchenyi Duó Grant the right thing to do?

### **Processes**

Are the programme processes well-designed? Is the programme working well?

**Effectiveness**: Has the programme lived up to expectations?

**Quality**: How good are the outputs?

**Impacts**: What has happened as a result of the RTDI programme?

**Strategy**: Should and how should the programme construct be redesigned?

# As a result of the pilot exercise...



Faster learning of evaluations is facilitated, involving all partners needed in such exercises

Stakeholders get acquainted with the idea of „comparisons“ and learning with the help of external parties

Awareness is raised to the specific features of RTDI evaluations





# Benchmarking Manual

# Three objectives

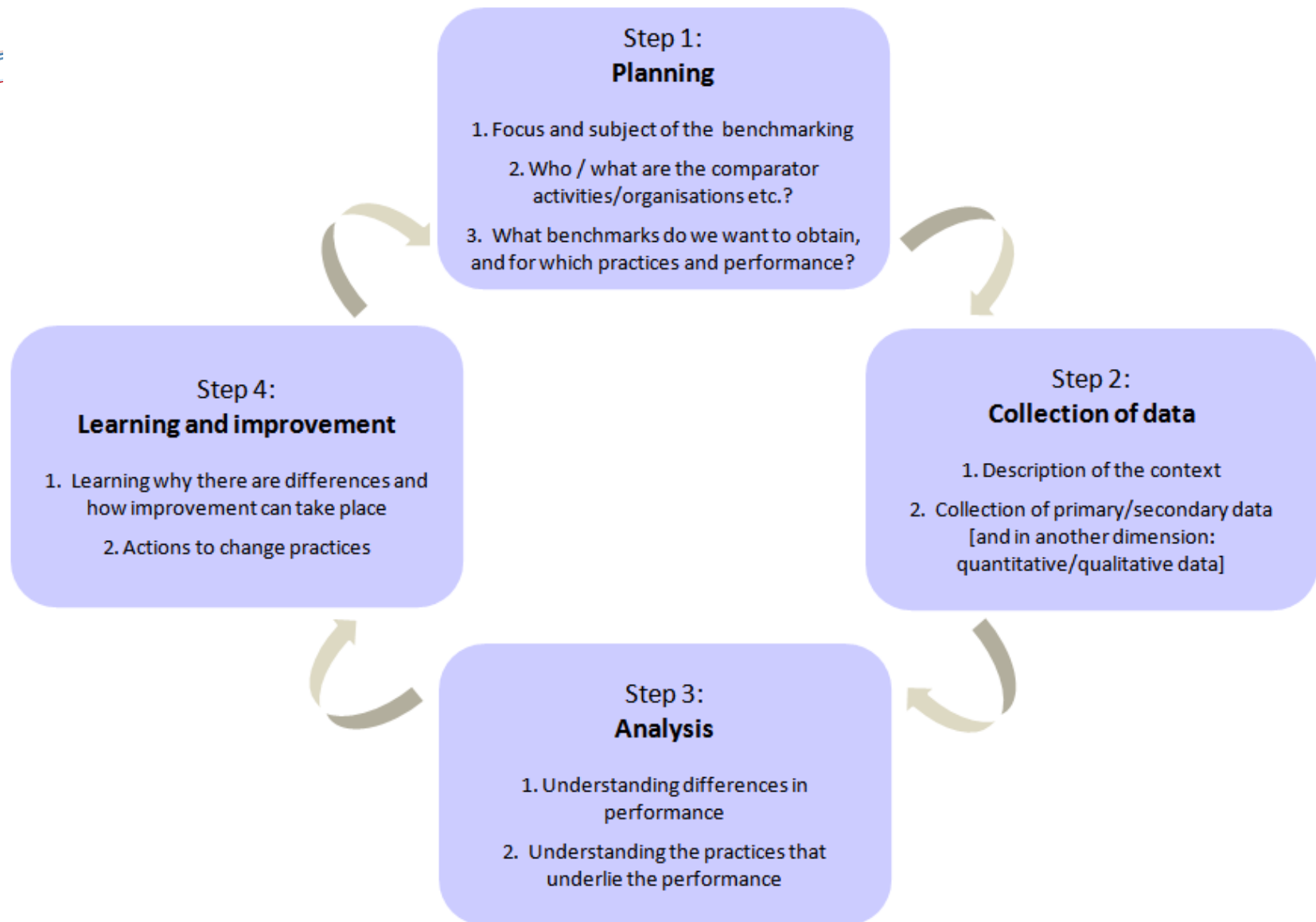


- to help spreading the idea of a modern management tool;
- to identify competitive innovative performance, competencies, some factors of success (and failures);
- to assist the improvement of performance and practice in the organisations and the national innovation systems concerned, in learning organisations and in the policy making process

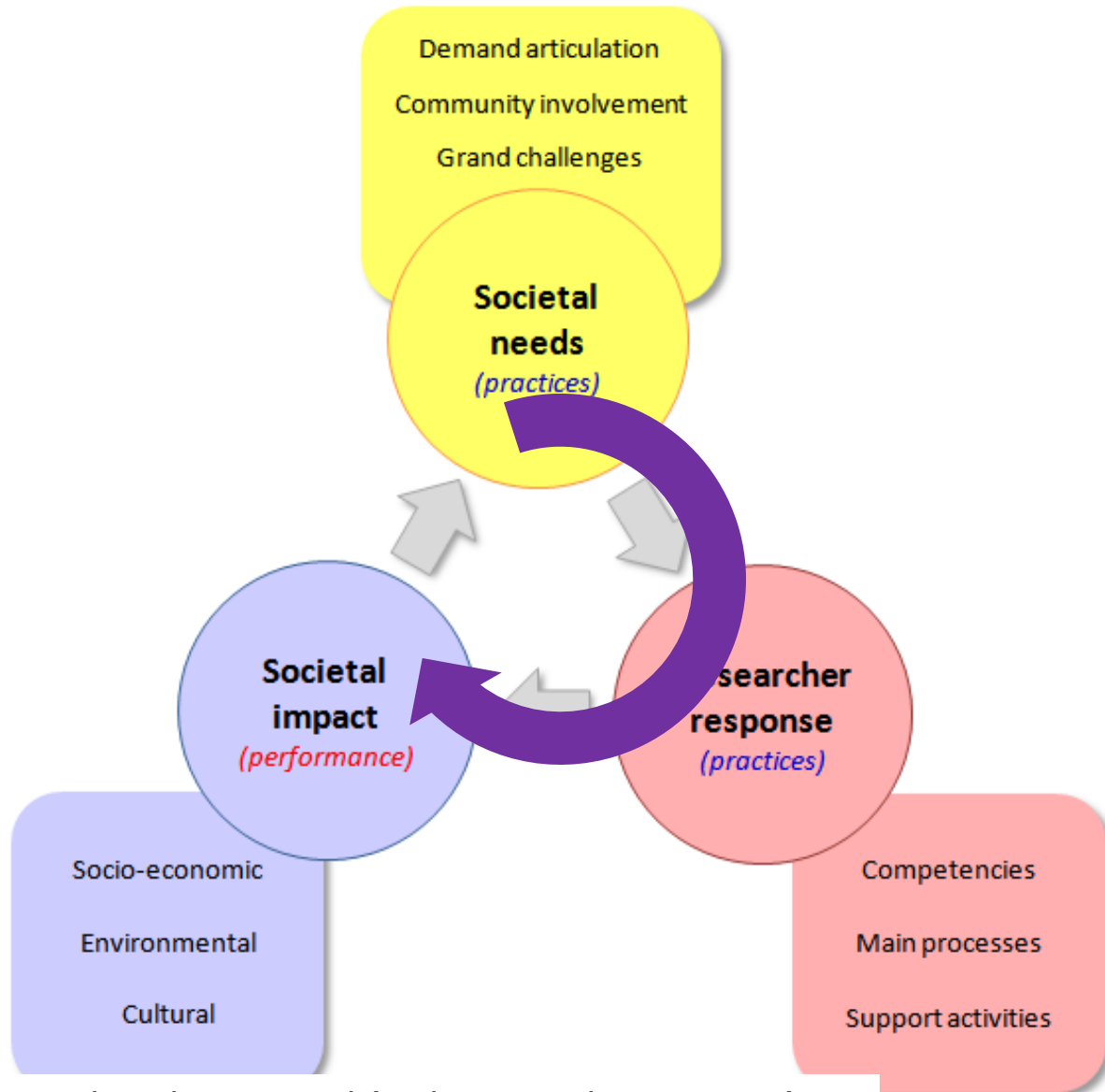
# Contents of the Benchmarking Manual

1. Approach
2. The subject of the benchmarking: public R&D based innovation organisations
3. The type of benchmarking
4. The three dimensions of benchmarking
  - Societal needs / Researcher response / Societal impacts
5. Differentiation of performance and practice
6. Measurement
  - Contextual factors / questionnaires / interview questions
7. Contents of the individual benchmarking reports
8. References

# A generalised benchmarking cycle



# The EVAL-INNO benchmarking framework



Source: EVAL-INNO Benchmarking Manual (under internal peer review)

# Benchmarks for observing the channelling of societal needs

	Questionnaire	Interview
<i>Community involvement and interactions</i>		
Building joint visions, incl. societally relevant objectives	•	•
Embeddedness into global and local communities of stakeholders	•	•
Awareness to risks and ethical issues		•
<i>Demand articulation</i>		
Services expected / demanding users		•
Funding combined with assessment	•	•
<i>Grand challenges in the research agenda</i>		
Health, demographic change and wellbeing	•	•
Food security, sustainable agriculture, marine and maritime research, and the bio-economy	•	•
Secure, clean and efficient energy	•	•
Smart, green and integrated transport	•	•
Inclusive, innovative and secure societies	•	•
Climate action, resource efficiency and raw materials	•	•

# Benchmarks for observing the researcher response practices

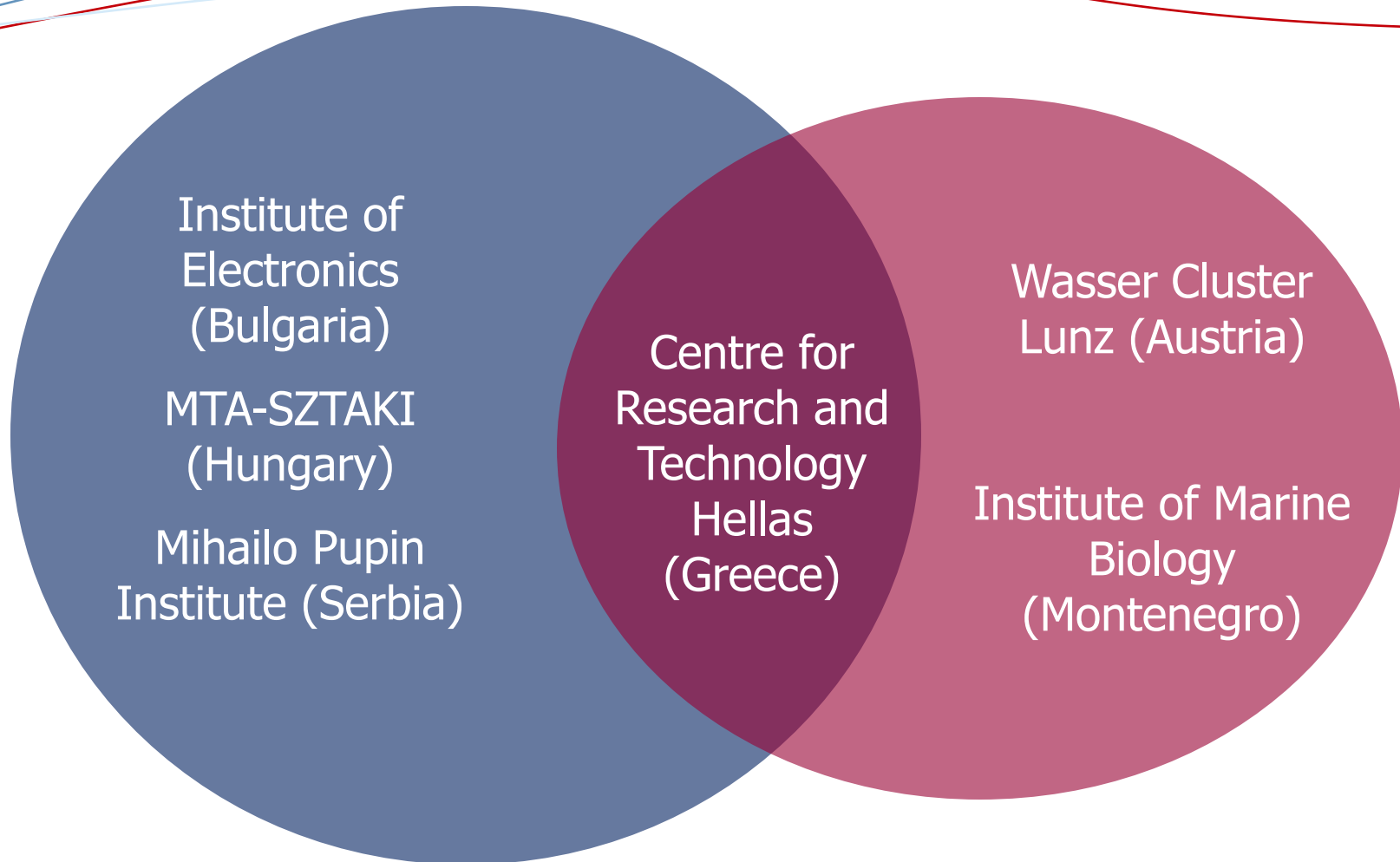
	Questionnaire	Interview
<i>Competencies</i>		
Researchers (number, age, gender etc.)	●	
Leadership		●
Learning ability (from external parties)	●	●
Core competencies		●
<i>Main processes</i>		
Researchers hosted / sent	●	
Collaboration with external parties / stakeholders	●	●
Conference visits / presentations	●	
Research methods used and renewed		●
IP awareness		●
Communities of practice		●
Marketing of knowledge		●
<i>Support activities</i>		
Research infrastructure and ICT infrastructure	●	●
Organisational knowledge management practices	●	●
Human resources management (incl. training)		●
Funding and administration of activities		●

# Benchmarks for observing the impact of the research organisation

	Questionnaire	Interview
<i>Socio-economic impacts</i>		
Contribution to important new products / services	•	•
Contribution to new technologies and processes	•	•
Spin-off firms	•	•
Patents and licence fees	•	
Contribution to standardisation		•
Contribution to legislation and regulation		•
Improvement of the quality of life	•	•
Consultancy and metrology services	•	•
<i>Environmental impacts</i>		
Contribution to pollution prevention / reduction		•
Contribution to waste management and recycling		•
Environmental monitoring, regulation and inst. change		•
Consultancy services	•	•
<i>Cultural impacts</i>		
Publications impact	•	
Media appearance	•	•
Teaching activities	•	•



# The organisations approached



# Completion of the exercise will result...



- 6 individual benchmarking reports from the EVAL-INNO countries
- One comparative study, covering also the lessons learnt.

# Thank you for your attention!



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