

fteval Tagung | Verbindlichkeit in der internen Evaluation

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Die Ludwig Boltzmann Gesellschaft

- **LBG erneuert sich ab 2002**

- von 135 Instituten wurden 100 geschlossen
- Reform und Etablierung neuer Institute mittels Wettbewerbsverfahren
- Schlüsselemente: gemeinsame Finanzierung mittels Partnermodel, befristete Laufzeit, Qualitätssicherung
- Weiterentwicklung: Experimentierraum für neuartige Formen der Zusammenarbeit zwischen Wissenschaft, Wirtschaft, Politik und Gesellschaft, Ziel der transdisziplinären Kollaborationen ist die Adressierung gesellschaftlicher Herausforderungen auf Basis exzellenter Forschung

- **LBG – eine außeruniversitäre Forschungsorganisation**

- 35,3 Mio. € p.a. (24 % BMBWF)
- 699 MitarbeiterInnen
- 20 Ludwig Boltzmann Institute, 3 Forschungsgruppen, 2 Center

Interne Evaluation und Verbindlichkeit

- Internal evaluation is the use by an organization of evaluators who are employees of that organization to evaluate the organization's own programs. (Encyclopedia of Evaluation, 2005)
- Internal evaluation is a process of quality review undertaken within an institution for its own ends (with or without the involvement of external peers). (Quality Research International)
- Interne Evaluation ermöglicht eine strukturierte Reflexion und Auswertung zur Erfolgskontrolle der eigenen Aktivitäten – in Bezug auf eigene oder mit Auftraggeber*innen definierte Ziele.



Auftraggeber*innen und Evaluator*innen: Wo liegen die Übergänge zwischen intern und extern?

- Vorteile und Nachteile interner Evaluation: Vertrautheit, Zugang zu Informationen, geringer Zeitbedarf, Kostenersparnis,... vs. Mangel an Distanz und Neutralität, Rollenkonflikte, Akzeptanz,... **Verbindlichkeit?**

Evaluation der Ludwig Boltzmann Institute

- The top level of scientific performance of all institutes is ensured by a rigorous evaluation scheme.
- An interim evaluation takes place in the fourth year and, in case a continuation phase has been approved, further on-site visits in the seventh and eleventh year are mandatory.
- Evaluations are carried out by a panel of independent exclusively international experts.
- Only in the case of a positive evaluation outcome, LBG continues to provide the LBI with a basic budget for the next period. The main objective of the evaluation is to obtain a solid basis for decision-making.
- The main addressees of the evaluation report are the Board of Directors as well as the Scientific Advisory Board of the Ludwig Boltzmann Gesellschaft.

Evaluation transdisziplinärer an gesellschaftlichen Herausforderungen orientierter Forschung

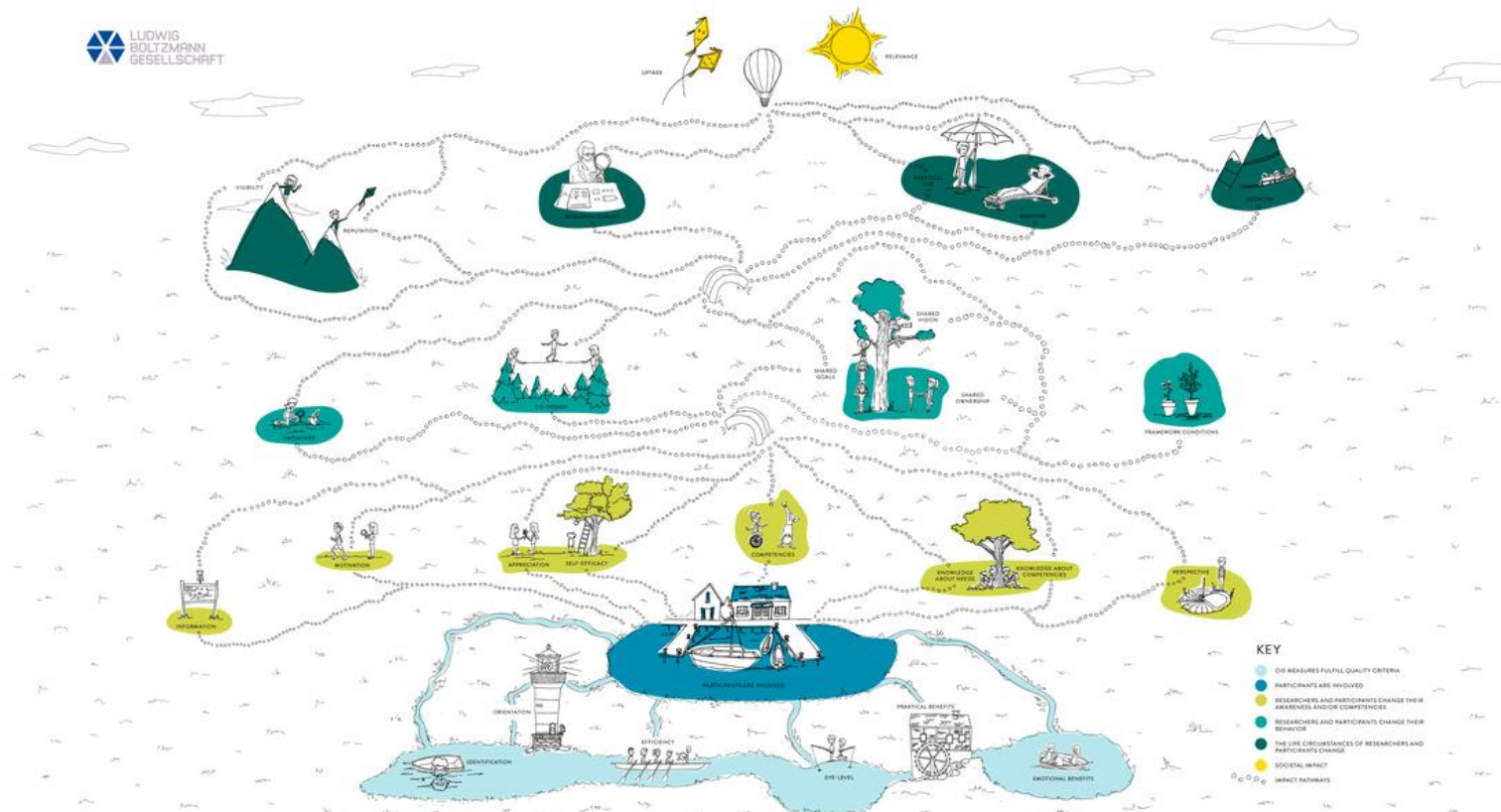
- Was ist der Narrative einer Initiative? Wer entscheidet über den Begriff der Qualität?
- Wie führt die Initiative zu einem Wandel?
- Was sind Hinweise für Fortschritte?

 **“Evaluation as a means to determine together the vision, the process, quality” (Leonie van Drooge, 2019, Evaluating Research in Context)**

- Theory of Change als (gemeinsames) Verständnis wie ein spezifischer Wandel stattfindet
- Vision sowie Logik, wie spezifische Aktivitäten zum gewünschten Wandel führen und welche Annahmen dem Prozess zugrunde liegen
- Identifikation von Indikatoren, um Fortschritt zu monitoren

Theory of Change of Open Innovation in Science

<https://ois.lbg.ac.at/en/projects/impact>



Theory of Change of Open Innovation in Science



OIS Impact Model

		IMPACT	DESCRIPTION	THE PUBLIC PRACTITIONERS	RESEARCHERS	POLICYMAKERS
IMPACT	Level 7 Societal impact	Uptake	Societal actors recognize the benefits of the research and are more likely to take up the research results.			
		Relevance	The research yields usable, actionable, and relevant results.			
OUTCOME	Level 6 The life circumstances of researchers and participants change	Practical use	Participants experience involvement in research as a supportive for their life and work.	✓	✓	✓
		Meaning	Participants experience increased emotional benefits (self-realization, altruism, fun, meaningfulness, a sense of belonging).	✓	✓	✓
		Network	Participants are connected beyond their individual spheres of influence.		✓	✓
		Research quality	New qualities of research are established (multi-perspectives, democratization, transparency, representativeness) and recognized in the scientific community.			✓
		Reputation	Reputation of researchers are improved (perception as experts).			✓
		Visibility	Relevant, surprising, or locally relevant results are more thoroughly covered by the media. Participants increase their visibility.	✓	✓	✓
	Level 5 Researchers and participants change their behavior	Initiatives	Participants start their own research initiatives (proactivity).	✓		
		Shared ownership	Participants hold equal responsibility of the research.	✓	✓	✓
		Shared goals	Goals of the research are determined collaboratively with participants (outcome measures).	✓	✓	✓
		Shared vision	Research priorities are discussed and identified collaboratively together with participants.	✓	✓	✓
	Level 4 Researchers and participants change their awareness and/or competencies	Co-design	Participants contribute to research activities beyond their original roles and co-produce the research design.	✓	✓	✓
		Framework conditions	Political decisions to create better framework conditions for research oriented towards societal relevance are taken.			✓
		Self-efficacy	Participants experience encouragement and self-efficacy to start initiatives.	✓	✓	
	Level 3 Participants are involved	Appreciation	Participants experience appreciation and reduce reservations towards research.	✓	✓	
		Competencies	Participants expand their knowledge and skills.	✓	✓	✓
Motivation		Participants are interested and motivated to participate in research.	✓	✓	✓	
Information		Participants receive first-hand access to (interim) research results.	✓	✓	✓	
Perspective		Researchers and policymakers change their perspectives and engage with participants as equals.			✓	
OUTPUT	Level 2 OIS measures fulfill quality criteria	Knowledge about competencies	Researchers have increased knowledge about participants' competencies.			✓
		Knowledge about needs	Researchers and policymakers have increased knowledge about participants' true needs.			✓
	Level 1 OIS measures are designed	Continuous involvement	Participants are involved continuously.	✓	✓	✓
		One-time involvement	Participants are involved once.	✓	✓	✓
	Level 1 OIS measures are designed	Eye-level	Researchers involve participants as equals and enable participation, co-design, and balance of interests among all participants.			✓
		Efficiency	Researchers consider efforts and barriers during the involvement of participants.			✓
		Orientation	Researchers communicate with participants in understandable language for the specific interest group.			✓
Emotional benefits		Researchers consider the emotional benefits for the participants.			✓	
Practical benefits		Researchers consider the practical benefits for the participants.			✓	
Level 1 OIS measures are designed	Identification	Relevant interest groups are identified and invited to participate.			✓	
	Activities	OIS measures are developed: * Involvement in research agenda setting * Involvement in the research process * Involvement in governance * Involvement in the dissemination of research results			✓	

Instrumente

- **Participation Check:** Grundlage sind gemeinsam entwickelte Qualitätskriterien, Sofort-Feedback-Mechanismus nach allen Beteiligungsaktivitäten, stellt sicher, dass der Aufbau und das Design der Beteiligungsaktivitäten mit den beabsichtigten Zielen übereinstimmt
- **Public Engagement Monitoring:** Aktivität, Ort, Datum oder Zeitraum, Zielgruppe(n), Grad des Engagement, Erwartete Wirkung, Anzahl der Teilnehmer*innen, Beschreibung der Teilnehmer*innen, Kurzbeschreibung des Gelernten - Hat die Interaktion von Forscher*innen und Öffentlichkeit zu einer Veränderung geführt?
- **Impact and Engagement Study:** Eingeschränktes Set von Metriken wird dem multidimensionalen Charakter der Wirkung nicht gerecht, Impact and Engagement Study ist ein umfassender Ansatz, um narrativ die komplexen Wirkungspfade aufzuzeigen, dient zur Reflexion der Wege, Prozesse und Methoden, die zu gesellschaftlichen Auswirkungen geführt haben

Interne Evaluation und Verbindlichkeit?

- **Traditional evaluations**

- Render definitive judgements of success or failure
- Position the evaluator outside to assure independence and objectivity
- Accountability focused on and directed to external authorities and funders

- **Complexity-aware, developmental evaluations**

- Provide feedback, generate learning, support direction or affirm changes in direction
- Position evaluation as an internal, team function integrated into action and ongoing interpretive processes
- Evaluator collaborates in the change effort to design a process that matches philosophically and organizationally

(Michael Patton, 2006, Evaluation for the way we work. Nonprofit Quarterly 13)