

# Good Practice Case Studies within ERA-LEARN 2020

## Practices of Evaluation and Impact Assessment

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#### **Summary report on good practices in the implementation of JPIs**

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## EXECUTIVE SUMMARY

During the Annual Joint Programming Conference 2016, the attendees stressed that the time is ripe for providing evidence of the impact achieved by Public to Public Partnerships (P2Ps). This requires adequate Monitoring and Evaluation approaches and their implementation. P2Ps, as highly complex system innovation platforms, are driven by “*collective search and learning*” - which also applies to their *Monitoring & Evaluation* processes. A joint research strategy calls for a joint approach toward monitoring and evaluation of the instruments used and joint actions conducted to gain evidence on the performance of JPIs toward their objectives and expected impacts. Monitoring and Evaluation is considered essential for the effective development and implementation of JPIs (Joint Programming Initiatives). The High Level Group for Joint Programming (Groupe de haut niveau pour la Programmation Conjointe – GPC) has a dedicated Implementation Group, “Monitoring & Evaluating JPIs”, tasked with developing a common framework to measure the performance and impact of JPIs on relevant societal challenges, highlighting the importance of Monitoring and Evaluation in the joint programming process.

Thus, the specific objective of this report is to survey and analyse activities and progress made among JPIs in the area of successful evaluation and impact assessment practices in order to provide good practice examples to the wider JPI (and P2P) community. This publication contains three case studies that examine the approach to Evaluation and Impact Assessment at three JPIs and presents the key lessons learned. The case studies do not constitute in-depth evaluations of JPI activities and ongoing practices. Instead, they aim to illustrate how select approaches promote effective monitoring, evaluation, and impact assessment and could provide inspiration to the JPI community. The case studies outline the main benefits and challenges practitioners have faced when putting in place such approaches, and the key factors for their successful implementation. The main target audience for this publication are JPI monitoring and evaluation teams as well as the wider P2P community.

The case studies examine Monitoring and Evaluation approaches and instruments used in the context of existing JPIs. The case study analysis relies on a review of existing literature and targeted interviews with relevant P2P programme managers and participants.

**Table 1. Overview of the case studies conducted as part of Deliverable 2.3**

Case study	Type of activity
1 – FACCE-JPI Applies a Stepwise Approach to Assess Impact at Network Level	Stepwise assessment of three impact targets
2 – Recalibration of JPND’s Evaluation Framework: A tool for organisational learning, management, and impact creation	Adjusting the Monitoring & Evaluation framework to take into account the maturation of the JPI
3 – Indicators for Assessing Progress of P2Ps: The Case of JPI MYBL	Development of indicators and external evaluation

### Key lessons learned

The case studies highlight a variety of benefits commonly accruing to JPIs that set up adequate Monitoring & Evaluation frameworks and activities, including: (i) the development of a comprehensive, focused set of indicators beyond operational objectives and the explicit linking of the JPI’s vision, aims, and objectives to the indicator framework; ii) tool for organisational learning, where impact assessment provides the opportunity to reflect on internal organizational processes that can feed back into revisions of Strategic Research Agendas (SRAs); iii) assisting the overall coordination and giving direction for future activities; and iv) raising awareness among key stakeholders and improving impact communication.

The cases pinpoint a number of factors that enable the development of effective Monitoring and Evaluation frameworks, such as:

- **Considering the feasibility of the evaluation framework and its implementation from the beginning:** It is important to move beyond only looking at the robustness of a framework and take into account how feasible the approach and process will be in practice. *Keeping the indicators and related data collection activities as simple and cost-effective as possible and striking the right balance between ambition and practical information*, while reflecting the aims of the assessment and the indicators' value added, is crucial.
- **Early implementation of monitoring geared toward the P2Ps objectives:** It will be especially beneficial for impact assessment later on, particularly if monitoring activities mirror the P2P's objectives. Moreover, it would allow for a learning process that possibly leads to adaptation of the indicator set to better reflect updated objectives and activities.
- **Flexibility of initial set of indicators:** Tying into the importance of early implementation, it is equally important to allow for additions, substitutions, and reductions (due to inappropriate proxy measures or difficulty in data collection such as data being not available, sensitive, or expensive) to the performance indicators at a later point when the JPI has matured more fully. Moreover, it is necessary to *continuously consider the adaptation* of indicators according to updated objectives and activities.
- **Adapting instead of reinventing Monitoring & Evaluation:** The cases of both FACCE-JPI and JPI MYBL demonstrate that it is highly beneficial to use existing frameworks (in this case JPND's) as a starting point and adapting it to their specific needs. Relying on other work done, by JPIs to Co-Work and other JPI evaluation teams, is an efficient approach toward the Monitoring & Evaluation framework development and *ensures comparability across JPIs*. Such external expertise is also a good strategy to compensate for areas where the JPI may lack internal knowledge and to ensure a comprehensive framework.

Nevertheless, the case studies also reveal the obstacles and challenges to be overcome in the process:

- **Time-consuming process and tedious data collection:** Elaborating the Evaluation and Monitoring framework, refining the indicators, and gathering disparate types of data from a variety of sources are some of the reasons evaluation and impact assessment activities tend to be rather time-consuming. Chasing non-responses to questionnaires, harmonizing possible adjustments (cf. FACCE-JPI), and coordinating intense collaborative work are additional commonly experienced challenges.
- **Ensuring measurability:** Every indicator needs to be measured through easily accessible, reliable, and readily collected data and have baseline data available for comparison purposes. Furthermore, it is vital to clearly define how indicators are quantified/qualified.
- **Lack of internal expertise:** Sometimes there is limited experience and expertise with the evaluation of research programming activities in the JPI context. A possible way to overcome this challenges is to rely on other JPI evaluation teams, possibly of JPIs that are more mature and have more advanced frameworks in place, and external expertise (e.g., appointing an independent external expert group)

Several key conclusions can be drawn from the case study analysis: **Planning impact assessment as early as possible in the life cycle of a P2P reduces costs and time** associated with the activity and facilitates the Monitoring & Evaluation process. **Involving actors that can create policy impact** (i.e., national delegates in the General Assembly) might encourage national delegates to spur national strategic and structural alignment activities. Furthermore, using **Monitoring & Evaluation activities as a reflection and learning tool** is a good strategy since JPIs are highly complex system innovation platforms that develop in an evolutionary manner. They demand an evaluation and impact assessment approach that is similarly evolutionary ('evolution of evaluation') and regular reflection on the evaluation framework to ensure its added value.



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**Good Practice Case Study within ERA-LEARN 2020**  
**Practices of Evaluation and Impact Assessment**

**FACCE-JPI Applies a Stepwise Approach to  
Assess Impact at Network Level**

Date: 9 May 2017

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Deliverable: 2.3 – Summary report on good practices in the implementation of JPIs

Lead contractor for this deliverable: AIT – Austrian Institute of Technology GmbH

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## Abstract

During the Annual Joint Programming Conference 2016 the attendees stressed that the time is ripe for providing evidence of the impact achieved by Public to Public Partnerships (P2Ps). This requires adequate Monitoring and Evaluation approaches and their implementation. P2Ps, as highly complex system innovation platforms, are driven by “*collective search and learning*” - which also applies to their *Monitoring & Evaluation* processes. This is the first of three case studies that showcase processes that allow P2Ps to assess whether and how impact will be/has been achieved.

The Joint Programming Initiative on Agriculture, Food Security and Climate Change (FACCE-JPI) developed an evaluation framework with major *objectives* considered from the beginning. It therefore introduces three “Targets” as the foundation of the framework which are to be assessed *step-by-step*. FACCE-JPI succeeded in carrying out the evaluation on “Target 1” (“Alignment”) by making use of an online survey sent out to the Governing Board members.

The key preparatory document is the “FACCE-JPI Evaluation framework” published in 2013, elaborated with input from a number of external experts. During the *phased process*, the JPI co-coordinator was continuously involved.

FACCE-JPI presents an approach whose benefits are worth sharing within the P2P community. Nevertheless, this process also shows obstacles and provides valuable lessons learned.

- *Key benefits* of FACCE-JPI's stepwise evaluation approach are improved feasibility by assessing “Targets” according to their measurability at a certain point in time. The focus on the JPI's objectives ensures that the framework not only captures internal processes but integrates indicators beyond the P2P's organisational structure and processes.
- *Major obstacles* are the time-consuming overall process, the tedious data collection, and initial scarce internal experience with this specific form of evaluation of research programming activities.
- *Lessons learned* were that early implementation of monitoring geared toward the P2P's objectives is beneficial for future evaluations as is considering the feasibility (besides robustness) of the evaluation framework and its implementation from the beginning. Including a phased process that allows time for organisational learning seems to be a wise step to take provided links are created in order not to evaluate the achievement of different targets in isolation from each other. Boiling down the number of potential indicators to only few implemented items is also wise provided this is not done at the expense of the variety of potential impact types).

This case indicates that P2Ps profit from considering their objectives in their evaluation frameworks from the beginning and starting activities to assess impact in a timely manner respecting the time lag of impact creation. Early waves of data collection among internal and external stakeholders can build awareness, improve organisational learning and, in turn, improve the creation of impact.

*The author is grateful to Heather McKhann (INRA; FACCE-JPI co-coordinator) and Paul Wiley, responsible for FACCE's evaluation of Target 1: Alignment. She would also like to thank the ERA-LEARN Consortium partners for their useful suggestions on earlier drafts of this case study.*



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# 1 Ambition and Background of FACCE-JPI

## 1.1 Ambition of FACCE-JPI's Monitoring & Evaluation Framework

This case study showcases how FACCE-JPI assesses impact through its Monitoring & Evaluation activities. Six years after its launch, the ambition is to show evidence for impact created in the course of time. This ambition requires adequate approaches and processes of evaluation. FACCE-JPI developed a **stepwise approach**. This case study also shows how Monitoring & Evaluation activities also serve as a reflection and learning tool.

FACCE-JPI set up its Monitoring & Evaluation framework relatively early in 2013. The *four-phased process* was executed under the funding scheme of two CSAs and took more than three years so far, while the JPI co-coordinator was continuously involved. The **key preparatory document is the “[FACCE-JPI Evaluation framework](#)”**<sup>2</sup> that was published in 2013 under the first CSA. It builds on the Logic Framework analysis of JPND, which was undertaken with external advisors, and the work done in JPIs To Co-Work and was adapted to the needs of FACCE-JPI. This document encompasses an indicator framework for different kinds of impacts and suggestions for data collection including a questionnaire to the Governing Board members.

The evaluation framework paper therefore introduces three “**Targets**”:

- **Target 1: Alignment (T1)**
- **Target 2: Scientific Impact (T2)**
- **Target 3: Societal Impact (T3)**

The FACCE-JPI evaluation framework provides potential indicators for the three Targets. For each Target, the indicators are identified according to the *three dimensions* “*organisational structure*”, “*process*”, and “*outcome*”.

According to the document, “it should be kept in mind that some of the expected results of FACCE-JPI will appear at a later stage than others, and the time frame has to be set appropriately.”<sup>3</sup> The FACCE-JPI monitoring & evaluation therefore focuses on the organisation, process, and outcomes of Target 1 using monitoring data and a questionnaire sent to the Governing Board.

## 1.2 Background: Aims and achievements of FACCE-JPI's alignment activities

As FACCE-JPI's evaluation focuses on Target 1 that aims at alignment, the following describes the general background of the initiative and the JPI's aims and achievements with respect to alignment activities. FACCE-JPI was launched in October 2010 by the European Council. It brings together 22 countries committed to building an integrated European Research Area addressing the interconnected challenges of sustainable agriculture, food security and impacts of climate change.<sup>4</sup> It aims to do so with a strong transdisciplinary research base, encompassing economic and social aspects in addition to scientific ones, and with a creative approach towards the *alignment of national programmes*.

FACCE-JPI's Strategic Research Agenda<sup>5</sup> was validated by the FACCE Governing Board in 2012. An implementation plan was launched at the end of 2013, setting out short-term and mid-term priority actions to

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<sup>2</sup> Hansen, S. S., Walldo J., Gøtke, N. (DASTI), Breuer B., Bender, J. (BLE), Heather McKhann (INRA, FACCE Secretariat), Vetter S., Ropac, S. (BMLFUW), Pastori, G., Arkenberg, A. (BBSRC, FACCE Secretariat) (2013). FACCE-JPI EVALUATION FRAMEWORK - Framework for monitoring and evaluation of FACCE-JPI and its joint actions. FACCE CSA.

<https://www.faccejpi.com/Media/Monitoring-and-Evaluation-Framework>

<sup>3</sup> *ibid.* p 24

<sup>4</sup> FACCE-JPI. About us.

<https://www.faccejpi.com/About-Us/What-is-FACCE-JPI>

<sup>5</sup> FACCE JPI - Strategic Research Agenda. Revised Edition (2016).

[https://www.faccejpi.com/content/download/4042/38829/version/1/file/FACCE-JPI%20\\_SRA.PDF](https://www.faccejpi.com/content/download/4042/38829/version/1/file/FACCE-JPI%20_SRA.PDF)

implement the SRA. An update to the original SRA took place in 2016. This update refreshed the original five core themes<sup>6</sup> around new, *more impact-driven research priorities*.

In 2013, the Secretariat launched the ex-post evaluation “Retrospective Look on the First Three Years of FACCE”<sup>7</sup> which was executed by an external evaluator (internal use). The study’s objective was to identify how processes can foster collective ownership and *efficient alignment of research between the various actors*. Although FACCE-JPI managed to develop innovative instruments for alignment (FACCE being a reference regarding: knowledge hubs, thematic annual programming etc.<sup>8</sup>), the interviewees acknowledged that alignment was still a major challenge. The findings were *considered in the revision of Target 1 / Policy Impact indicators* and point to the *increasing significance of adequate monitoring and assessment of alignment activities*.

To date, FACCE-JPI’s *key achievements with respect to alignment activities* are:

- Launch of 10 joint research actions, mobilising approximately €110M of funding for transnational research activities, 80% coming from national research budgets.
- Increase of visibility and influence on European and international policymaking. The P2P’s core research themes are gradually taken into account by national research agendas in view of aligning national programmes.
- Development of innovative instruments (e.g. knowledge hub) that have been duplicated by other JPIs.

## 2 Assessment of Targets – Approach, Overall Process, and Implementation

This chapter firstly introduces the general approach (the idea of impact types and the strategy of their assessment), section 2.2 presents FACCE-JPI’s overall Monitoring & Evaluation process, and 2.3 shows the operationalisation of the first impact type assessed (Target 1) and provides information on the data collection.

### 2.1 FACCE-JPI’s approach: Three Targets and their stepwise evaluation

FACCE-JPI’s approach and process is that it introduces three “Targets”. The FACCE-JPI monitoring and evaluation framework describes the *relationship of Targets* as follows: the alignment and coordination of national and European programmes (Target 1) is needed to ensure high quality transnational research

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<sup>6</sup> FACCE-JPI’s five core research themes:

- Sustainable food security under climate change, based on an integrated food systems perspective: modeling, benchmarking and policy research perspective
- Environmentally sustainable growth and intensification of agricultural systems under current and future climate and resource availability
- Assessing and reducing trade-offs between food production, biodiversity and ecosystem services
- Adaptation to climate change throughout the whole food chain, including market repercussions
- Greenhouse gas mitigation: nitrous oxide and methane mitigation in the agriculture and forestry sector, carbon sequestration, fossil fuel substitution and mitigating GHG emissions induced by indirect land use change

<sup>7</sup> Sébastien Treyer, S., Brun, M. (IDDRI) (2014). RETROSPECTIVE LOOK ON THE FIRST THREE YEARS OF FACCE - Achievements, perspectives and room for progress. Internal use.

<sup>8</sup> For more information on these instruments, please see:

Gøtke, N., McKhann, H., Albouy, I., Bunthof, C., Bura, M., Lesser, C., Aller Moran, P., te Boekhorst, D., Wiley P. (2016) FACCE-JPI Implementation Plan 2016 - 2018. p 12

<https://www.faccejpi.com/Media/Implementation-Plan-2016-2018>

activities (Target 2). These research activities in turn will contribute to the overall goal of the JPI: [...] tackling the societal challenge (Target 3).

FACCE-JPI's framework paper presents a **definition of the three Targets**:

#### Definition of FACCE-JPI Targets

- **Target 1 (Alignment, narrow concept of Policy Impact, see chapter 2.4)**  
The alignment of national and European research programmes covers the extent to which FACCE-JPI is able to increase the alignment and coordination of the national and European research activities. This constitutes the political aspects of the FACCE-JPI in terms of e.g. commitment of member states.
- **Target 2 (Scientific Impact):**  
Increasing high quality transnational research activities within food security, agriculture and climate change covers the FACCE-JPI's ability to launch joint calls, fund research projects and increase the scientific impact of the European research within food security, agriculture and climate change. This includes the ability, e.g., to implement the FACCE-JPI strategic research agenda and to mobilise research communities.
- **Target 3 (Societal Impact):**  
The societal impact on the challenge of food security, agriculture and climate change covers the FACCE-JPI's ability to create an impact on the societal issue of the JPI: food security under climate change. This includes the FACCE-JPI contribution to, e.g., a more efficient use of scarce resources or the development of the European bio-economy.

*FACCE-JPI Evaluation Framework, p23*

For each Target, the indicators are identified according to the *three dimensions* “organisational structure”, “process”, and “outcome”.

- The **structure** – the ability of the JPI to construct the **necessary structures**
- The **process** – the ability of the JPI to ensure efficient **decision making**
- The **outcome** – the ability of the JPI to produce **long-term outcome or impact**

#### *Time lag of intended impacts and suggested method of data collection*

According to the FACCE-JPI evaluation framework document, “it should be kept in mind that some of the expected results of FACCE-JPI will *appear at a later stage than others, and the time frame has to be set appropriately*.”<sup>9</sup> The FACCE-JPI evaluation therefore focuses on the organisation, process and outcomes of Target 1 “which requires a *continuous monitoring effort and which forms the organisational basis of the JPI and for targets 2 and 3*. The latter are outcome-based targets and focus on the projects generated by FACCE. Here only the outcome dimension is relevant” according to the FACCE-JPI evaluation framework. With respect to Target 2 and Target 3, “mainly science parameter and problem-solving capacity are the items to assess/measure, which are evaluated according to their quality, fitness for application and innovation (T2), and to their problem-solving capacity (T3).”<sup>10</sup>

The “Monitoring/evaluation of T1 should be performed by the coordination of FACCE-JPI (as the most practical model) in order to guarantee the functionality/good performance of FACCE, while monitoring/evaluation of T2

<sup>9</sup> Hansen, S. S., Waldo J., Götke, N. (DASTI), Breuer B., Bender, J. (BLE), Heather McKhann (INRA, FACCE Secretariat), Vetter S., Ropac, S. (BMLFUW), Pastori, G., Arkenberg, A. (BBSRC, FACCE Secretariat) (2013). FACCE-JPI EVALUATION FRAMEWORK - Framework for monitoring and evaluation of FACCE-JPI and its joint actions. FACCE CSA. p24

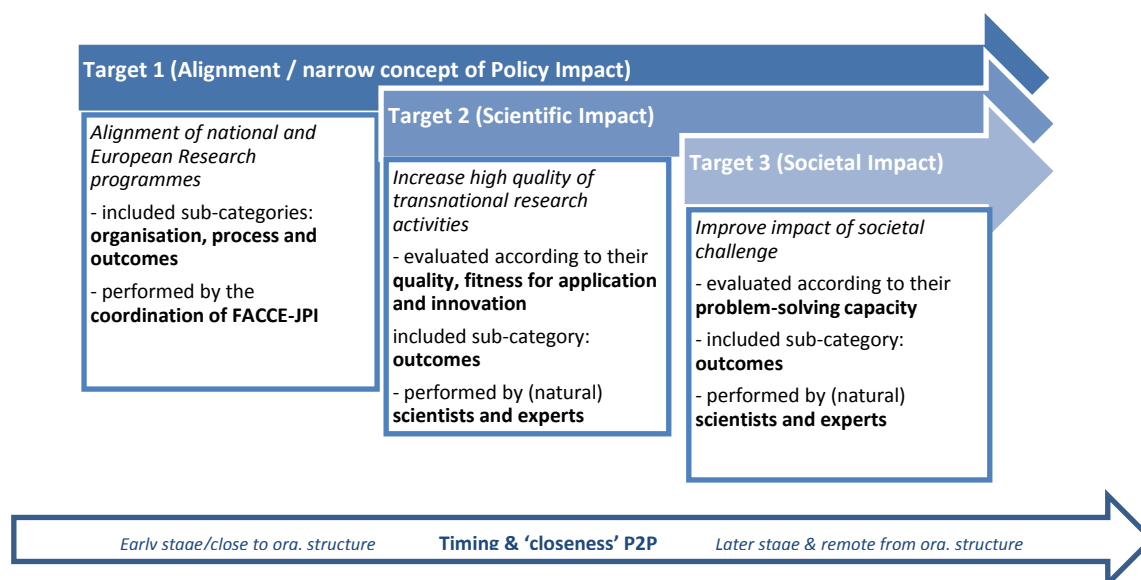
<https://www.faccejpi.com/Media/Monitoring-and-Evaluation-Framework>

<sup>10</sup> *ibid.* p 25

and T3 would best be performed by (natural) scientists and experts in the field and generate both an impact assessment and a feedback to the Strategic Research Agenda.”

Figure 1 presents a plan for the stepwise evaluation of the three Targets according to the timing and the data sources ‘closeness’ to the P2P’s organisational structure according to the FACCE-JPI evaluation framework document. It furthermore displays its suggestions for the indicators’ focus, relevant sub-categories, and the actor performing the evaluation.

**Fig. 1: Suggested Plan for the Stepwise Evaluation of Targets 1-3 (Timing and data collection)**

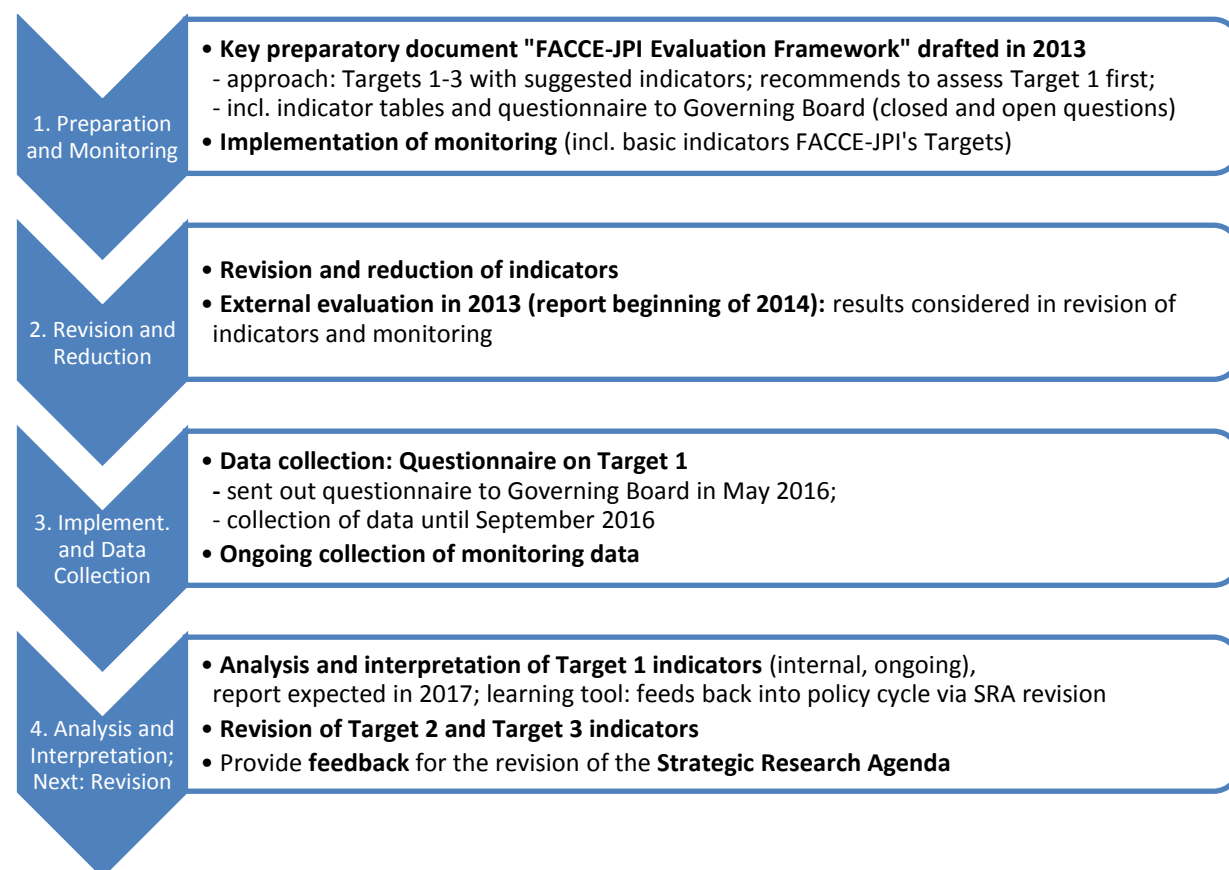


Source: Own presentation, based on FACCE-JPI evaluation framework

## 2.2 Overall process

Figure 2 displays the Monitoring & Evaluation activities of FACCE-JPI as a **four-phased process** which reflects the ‘**evolution of evaluation**’. The subsequent paragraphs describe the four phases (for general information, see [FACCE-JPI’s Monitoring & Evaluation web page](#)).

**Figure 2: Overall Process – Four Phases**



Source: Own presentation

### 1. Preparation and Monitoring

The **key preparatory document** "[FACCE-JPI Evaluation framework](https://www.facejpi.com/Media/Monitoring-and-Evaluation-Framework)"<sup>11</sup> serves as a starting point for Monitoring & Evaluation of FACCE-JPI and its joint actions. This paper presents procedures and tools for Monitoring & Evaluation of joint activities. It was written by FACCE partners with input from external experts. The Governing Board adopted this document in 2013. This document explores different approaches to monitoring and evaluating JPIs (and similar P2Ps) as a first step – concluding that overall experience is weak. The document presents an *"encyclopaedia" of possible indicators* for each target.

Based on the definition of Targets, basic indicators for Target 1 **monitoring** were defined and implemented.

### 2. Revision and Reduction of suggested indicators

Firstly, indicators for Target 1 were refined. The **indicators were therefore revised and significantly reduced** under the funding of a second CSA. According to the JP co-coordinator, a "real-life adaptation" took place in order to improve feasibility of monitoring & evaluation, e.g., use a relatively small set of indicators and

<sup>11</sup> Hansen, S. S., Waldo J., Gøtke, N. (DASTI), Breuer B., Bender, J. (BLE), Heather McKhann (INRA, FACCE Secretariat), Vetter S., Ropac, S. (BMLFUW), Pastori, G., Arkenberg, A. (BBSRC, FACCE Secretariat) (2013). FACCE-JPI EVALUATION FRAMEWORK - Framework for monitoring and evaluation of FACCE-JPI and its joint actions. FACCE CSA.

<https://www.facejpi.com/Media/Monitoring-and-Evaluation-Framework>

avoid data difficult to collect (not available, sensitive, expensive, time-consuming).

### *3. Implementation: Data Collection*

The data collection encompasses the **monitoring data** (see [FACCE-JPI evaluation framework](#) p 28 ff) held by the Secretariat (such as participation and financial contribution to joint actions, member state participation in Governing Board meetings and other high level meetings) and the **questionnaire to the Governing Board** (ibid. p 34 ff) that provides the basis to analyse the perceptions and expectations of the board on the ability of FACCE-JPI to align national research programmes.

The Governing Board members received the survey by email beforehand in order to make it possible to see the questions and plan the answers. The questionnaire was sent out as an online survey<sup>12</sup> in May 2016. The final response (in total 22) was received in September.

### *4. Analysis and Interpretation of results; Revision of indicators*

The **analysis of Target 1** is ongoing. This task is planned to be executed internally. The report will be published in due course after being considered by the Governing Board.

**Indicators for Target 2 and Target 3 are currently being further refined.**

## 2.3 Implementation: Operationalisation of Target 1 and data collection

This chapter presents a practical example of how the scope of Target 1 (Policy Impact) is defined and linked to alignment activities at network level as well as the Target's operationalisation, and data collection.

As indicated above, the FACCE-JPI Evaluation Framework describes Target 1 mostly as activities towards the "Alignment" of national and European research programmes. The present paper suggests that the scope of Target 1 indicators at network level encompasses aspects of<sup>13</sup>:

- National awareness
- National commitment
- Strategic alignment
- Structural alignment

### *Operationalisation and presentation of indicators*

According to the FACCE-JPI Evaluation Framework, the data on Target 1 is best collected within the organisational structures of FACCE-JPI due to the low remoteness of impact generation of this impact type (see chapter 2.1). The recommended methods for data collection are the i) questionnaire to the Governing Board and ii) monitoring data provided by the Secretariat.

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<sup>12</sup> Software: SurveyMonkey

<sup>13</sup> The "Short Guide on P2P evaluation / impact assessment" and the "Report on the Definition and Typology of Alignment" adds supplementary information.

INRA (2015). Deliverable 4.1- Report on the Definition and Typology of Alignment. ERA-Learn 2020

[https://www.era-learn.eu/alignment/definition-typology/D4.1\\_ReportontheDefinitionandTypologyofAlignment\\_INRA\\_final\\_Nov2015.pdf](https://www.era-learn.eu/alignment/definition-typology/D4.1_ReportontheDefinitionandTypologyofAlignment_INRA_final_Nov2015.pdf)

According to the previous definitional work, *six objectives* of alignment activities are introduced as a part of the Evaluation framework in order to develop indicators and items from it:

#### Six Objectives of Policy Impact at network level

- Aligning national programmes across Member States
- Avoiding duplication and filling gaps between Member States and creating critical mass
- Alignment of funders' schedules to that of the JPI
- Member States identify and exchange information on relevant nat. programmes and research activities
- Implementation of joint activities
- Development of funding specifically tailored to each joint activity

FACCE-JPI Evaluation Framework, p28ff

The operationalisation of these six objectives resulted in 57 questionnaire items, most of them being closed questions (Likert scale 1-5), and only few open ones. In comparison to the latest evaluation on JP by the expert group<sup>14</sup>, the FACCE-JPI framework suggests a similar operationalisation. Here, Policy Impact at network level can be observed by e.g. mobilisation of co-investment, the adoption of national research agendas, and new funding regulations.

The FACCE-JPI evaluation framework document presents tables of indicators (ibid. p28ff). For each indicator, the table shows its objective, criteria, and source. The questionnaire items are assigned to these indicators (ibid. p34ff):

**Table 1: Example for presentation of indicators**

Objective	Criteria	Indicator	Source	Item
Aligning national programmes across member states	The content of research funding programmes is adapted based on the scientific priorities as defined in FACCE-JPI research strategy to be complementary or match with programmes in other countries	Extent of member states indicating that national research funding programmes is adapted to match or complement FACCE-JPI research strategy	Questionnaire to the Governing Board / Member State representatives	On a scale from 1-5, where 5 is highest, to which extent do you assess that specific content from the FACCE - JPI Strategic Research Agenda has been taken up in national research programmes within food security, agriculture and climate change in your country?

Source: own presentation, FACCE-JPI Evaluation Framework, p24f

#### Data collection: Questionnaire to the Governing Board

The Governing Board members received the survey items beforehand by email in order to make it possible to see the questions and plan the answers. In May 2016, the questionnaire was sent out as an **online survey** (software: "Survey monkey").

The final response was received in September with responses from all 22 Governing Board members (the initial deadline of July was extended to September). **Chasing non-responses** was successful but time-

<sup>14</sup> see also operationalisation in: Hunter A., Hernani J. T., Giry C., Kristin Danielsen K., Antoniou L. (2016). Evaluation of Joint Programming to Address Grand Societal Challenges - Final Report of the Expert Group. European Commission, Directorate-General for Research and Innovation; Directorate B — Open Innovation and Open Science  
<https://www.era-learn.eu/publications/ec-publications/evaluation-of-joint-programming-to-address-grand-societal-challenges-final-report-of-the-expert-group>

consuming. All in all, **an extra six weeks was needed from the original deadline** to the final responses (considering that this was over the summer period):

- A **group email reminder** to all Governing Board members was sent before and after the first deadline that explained the importance of the survey for the on-going success of FACCE-JPI.
- After the second deadline, individual emails were sent to non-respondents, followed by **individual phone calls** to encourage the last missing answers.

## 2.4 Linking concepts of FACCE-JPI and JPIs to Co-Work / ERA-LEARN

This case study also aims at indicating *similarities of the FACCE-JPI's (2013) and JPIs To Co-Work/ERA-LEARN 2020's (2016) evaluation concepts*. The three Targets of FACCE-JPI correspond to the concept of **'impact types'** presented by JPIs To Co-Work/ERA-LEARN 2020 (see Background Document on P2P evaluation / impact assessment p14; cf. also definitions in annex Box A1):

- **Narrower form of Policy Impact with focus on alignment** (Target 1)
- **Scientific Impact** (Target 2)
- **Societal Impact** (Target 3)

### *Concepts of "periodicity" and "remoteness"*

FACCE-JPI's approach also takes into account the different **degrees of measurability** of the Targets. The concepts of "periodicity" and "remoteness" introduced by the ERA-LEARN "Short Guide on P2P evaluation / impact assessment" (definition see annex Box A4) are relevant to estimate the impact type's measurability.

- The FACCE-JPI Evaluation Framework refers to the concept of **"periodicity"**. This concept assumes that impact types tentatively emerge along a *timeline*. In a qualified sense, the order corresponds to the Targets' order 1-3. Policy Impact (partly corresponding to Target 1) can take on an *enabler* function with respect to Scientific and Societal Impact.
- The **"remoteness"** of impact creation from the P2P is implicitly considered by FACCE-JPI:
  - The creation of impact can occur relatively *close to the P2P's sphere of influence*, e.g. when national delegates directly influence national alignment activities (cf. Target 1 / Narrower form of Policy Impact with focus on alignment; data collection via questionnaire to the Governing Board).
  - Impact creation can also take place rather far from the P2P's sphere of influence, e.g. the uptake of scientific results created by the P2P's beneficiaries (Target 2 / Scientific Impact) and then applied in the economic/societal sphere (Target 3 / Societal Impact). Another perspective is more *actor-centred*: the impact can spread from direct stakeholders towards more 'distant' beneficiaries and end-users.

## 3 Key results

FACCE-JPI elaborated and implemented an evaluation framework that assesses FACCE-JPI's alignment activities and their effects (as a narrow concept of Policy Impact) as a first step. We identify two major *milestones* of the overall process according to the JP co-coordinator: 1) the development of the *FACCE-JPI Evaluation Framework* document, as the initial milestone, serves as a reference point for current and future



work and the 2) *actual data collection*.

### 3.1 Key benefits

By showing evidence of impact, this exercise can create legitimacy *of Joint Programming and improve support of stakeholders*. The planned evaluations especially can provide information on the impact created and can be partly related back to alignment activities. Furthermore, it can initiate organisational learning. Through this, the evaluation does not only illuminate the current status of Target 1 (Alignment) but can also provide organisational learning opportunities and *shape future alignment activities and expectations* around it.

As the data analysis is ongoing, the key results focus on the evaluation framework in general and its practical implementation.

- **A stepwise evaluation approach improves its feasibility:** Assessing Targets / impact types according to their degree of measurability and, hence, focus the efforts on Target 1 seems beneficial.
- **Indicators beyond internal processes:** In the past, there was criticism on over-focusing on operational objectives. This approach builds on indicators that aim at objectives beyond the P2P's organisational structure and processes.
- **Potential for awareness building among key stakeholders:** A questionnaire to the Governing Board involves national delegates who can potentially initiate alignment activities at national level. By being part of the evaluation, awareness is raised which can shape the respondents' self-perceived role as active contributors to (national) alignment activities.
- **Organisational learning feeds back into revision of the SRA** (and the whole P2P community): This impact assessment also serves as a learning exercise for FACCE-JPI. Internally, a high degree of reflection and organisational learning is expected that can feed back into the revision of the Strategic Research Agenda. According to the JPI co-coordinator, the whole P2P community might also profit from these experiences and results.

### 3.2 Obstacles and lessons learned

This process reveals barriers and lessons learned that are worth considering for future work on evaluation frameworks and their implementation.

#### Obstacles of this exercise

- **Time-consuming overall process and tedious data collection:** Elaborating the framework, refinement of indicators and gathering disparate types of data from several sources were among the reasons that the implementation took relatively long. The issue of non-response caused considerable delay and extra work time.
- **Challenges in establishing common concepts and terminology:** Although concepts and terminology for evaluation and impact assessment are known in the respective communities, it seems to require constant efforts to establish common evaluation concepts and build capacities.
- **Scarce internal experience:** There has been limited experience and expertise with this specific form of evaluation of research programming activities. Relevant capacities have been developed; further support and development of capabilities seem essential.

#### Lessons learned and key success factors

- **Also considering the feasibility (besides robustness) of the evaluation framework and its implementation from the beginning:**

- It proves necessary to boil down the number of potential indicators to only a *few implemented items*. According to the JPI co-coordinator, it is important to “get down to the essence what we really need to know”, reflect the aims of the assessment, and think about the indicators’ added value.
- The *phased process allows time for organisational learning*: the stepwise advancement proved beneficial, as it enabled continuous feasibility checks. There is, nevertheless, room for improvement with regard to project scheduling, i.e. starting the data collection earlier for future assessments.
- **Early implementation of monitoring geared toward the P2P’s objectives:** The monitoring shall mirror the P2P’s objectives and be implemented from the start. The adaptation of monitoring indicators according to the P2P’s new updated objectives needs to be considered continuously.
- **Monitoring & Evaluation needs to be adapted - not reinvented:** Making use of the Logic Framework Analysis developed by JPND and work done by JPIs To Co-Work and to adapt them to the needs of FACCE-JPI proved reasonable.
- **Chasing non-responses encouraged the last missing answers:** with the help of a group email reminder to all Governing Board members and individual phone calls.

## 4 Conclusion and Outlook

Feasibility, timing, and showing evidence are key success factors of a sound evaluation / impact assessment. Continuous reflection and work on the 'evolutionary' development of evaluation practices of the P2P community seem inevitable.<sup>15</sup> FACCE-JPI has conceptualised and operationalised Target 1 (Alignment), developed a questionnaire to the Governing Board, and collected monitoring data.

Major conclusions from this case study are:

- **Planning the assessment of impacts as early as possible** in the life cycle of a P2P reduces costs and time required. The consideration of the P2P's objectives from the beginning and the timely assessment of impact types in their respective order facilitated the Monitoring & Evaluation process. Although still work in progress, the stepwise evaluation approach seems to improve feasibility of the evaluation task.
- **Indicators beyond internal processes:** This approach builds on indicators that aim at objectives beyond the P2P's organisational structure and processes and, hence, overcomes the over-focus on operational objectives.
- **Added value by involving actors who can create (policy) impact.** By being part of the evaluation, national delegates might redefine their self-perceived role as active contributors to (national) alignment activities in the JP context which can result in activities that drive strategic and structural alignment.

JPIs as highly complex system innovation platforms develop in an evolutionary manner which implies a continuous "collective searching and learning". The evaluation procedures likewise develop incrementally. By using Monitoring & Evaluation activities as a **reflection and learning tool**, it seems promising to integrate stakeholders/beneficiaries in the process of impact assessment to a larger extent.

As an outlook, **Target 2 (Scientific Impact)** and **Target 3 (Societal Impact)** are to be assessed in the near future. These will again **require tailored methods** of identification and measurement. These *methods that aim at scientific and societal impact need to be discussed*. They will consider the impact types' generation mechanisms, such as the time it takes until the type of impact is observable, the degree of remoteness from the P2P, the stakeholders/beneficiaries involved, and how to provide them with incentives to contribute to an impact assessment.

---

<sup>15</sup> Amanatidou, E., Cunningham, P., Cox, D., contr. Hunter, A., Dinges, M., Köngeter, A., Meyer, S. (2016). Short guide on P2P evaluation / impact assessment, ERA-Learn 2020, Deliverable: 3.4a  
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#### **Interview:**

McKhann, H. (INRA, FACCE-JPI co-coordinator)

## Annex

### A1: Definition of impact types at project level of P2Ps (extract)

#### Policy impact:

Research influences how policy makers and policies act. It can provide evidence that influences policy decisions and can enhance citizens' participation in scientific and technological decisions.

#### Science impact:

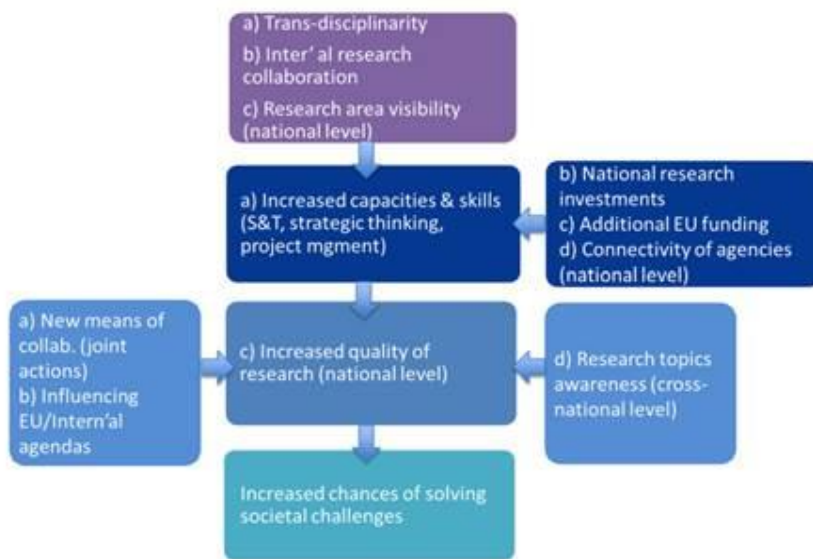
Research results have an effect on the subsequent progress and contribution to the body of knowledge. They affect the formation and development of disciplines as well as training and can also affect the development of a research field itself, generating interdisciplinary and international projects.

#### Societal impact:

Research affects the welfare, behaviour, practices and activities of people and groups, including their well-being and quality of life. It also concerns customs and habits: consumption, work, sexuality, sports, and food.

*Extracted from Background Document on P2P evaluation / impact assessment, ERA-LEARN 2020, p14*

### A2: The 'chain of impacts' perceived in the ERA-NET experience



Source: Deliverable D 3.5, Updated report on the impact of networks, p17 (example ERA-Nets)

### A3: Short guide and background document on P2P evaluation / impact assessment

In December 2016, the ERA-Learn 2020 portal published practical guidance documents for P2Ps' monitoring and impact assessment:

- **Short guide on P2P evaluation / impact assessment - [Download](#)**

Evaluation and impact assessment has become an imperative need for all P2Ps. Following a process of consultation with the P2P community, ERA-LEARN 2020 has published a Guide for P2P impact assessment (Deliverable 3.4a) drawing on relevant evaluation theories and good practices.

- **Background Document on P2P evaluation / impact assessment - [Download](#)**

It is advised that this Guide be read in conjunction with this Background document, which provides additional information on the concepts used in the Guide as well as examples from P2P-relevant work. Naturally, the Background Document is a living document that can and should be updated in the course of ERA-LEARN 2020 reflecting on the evolving needs for evaluation / impact assessment of P2Ps.

### A4: Periodicity and remoteness if impact

#### **Periodicity**

Impact assessment exercises oriented towards intermediate/long-terms impacts are not usually done earlier than 3-5 years after the end of the measure/programme. It should also be noted, however, that the longer the time has passed since the end of the intervention, the less the ability for direct attribution of the impacts identified to the specific intervention. (p13)

#### **Remoteness**

Networks have a 'chain of impact' that includes the network's impact on its members, the members' impacts on their local environments, and the members' combined impact on their broader environment. (p8).

*Extracted from Short Guide on P2P evaluation / impact assessment. ERA-Learn 2020*

### A5: Impact types at network level (extract): "Conceptual impact" and "Structural impact"

#### **Conceptual impact**

This kind of impact refers to the impact on the knowledge, understanding and attitudes of policy-makers. In this category of impact we identify examples of changed thinking amongst policy makers, influences on policy issues and increased awareness in the policy world due to participation in a P2P. [...]

#### **Structural impact**

Structural impact relates to changes in institutions and structures in the national or European research landscape due to changed thinking amongst policy makers and influences on policy issues stemming from the acquired knowledge from participating in a P2P. The set-up of specific formal or informal structures in order to improve coordination at national level is an example of this type.

# Good Practice Case Study within ERA-LEARN 2020 : Practices of Evaluation and Impact Assessment

Recalibration of JPND's Evaluation Framework: A tool for organisational  
learning, management, and impact creation

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**Project no.** 645782

**Project acronym:** ERA-LEARN 2020

**Project full title:** Strengthening joint programming in Europe

**Funding scheme:** Coordination and support action

**Start date of project:** 1 January 2015

**Duration:** 36 months

### **Deliverable D2.3**

#### **Summary report on good practices in the implementation of JPIs**

**Submission date** June 2017

**Dissemination Level:** Wider Public

**Organisation name of lead contractor for this deliverable:** AIT – Austrian Institute of Technology<sup>16</sup>

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<sup>16</sup> Anja Köngeter

## Abstract

The Joint Programme Neurodegenerative Disease Research (JPND) is the largest global research initiative that enables participating countries to collaborate on tackling the challenge of age-related neurodegenerative diseases. JPND was among the first JPIs to establish a monitoring and evaluation framework. In 2016-2017, this framework was revised. This good practice case study focuses on the recalibration of the existing monitoring and evaluation framework and its underlying rationales. The case study highlights main sources and processes needed for performing the framework and highlights key benefits as well as challenges in this regard.

The author is grateful to Abida Durrani (Programme Officer, ZonMw; WP leader Monitoring & Evaluation). She would also like to thank the ERA-LEARN Consortium partners for their useful suggestions on earlier drafts of this case study.

The evaluation framework and its recalibration presented in this case-study were elaborated by JPND as a part of the Monitoring and Evaluation work package financed under the funding scheme of two EC Coordinated Support Actions (FP7 JUMPAHEAD and H2020 JPsustainD).

The author thanks JPND for allowing to disclose part of their work and reflections to support this case-study that was conducted by the AIT as a contribution to the ERA-LEARN 2020 project (WP2: Optimising P2P Implementation; Task 2.2). In total, three case studies on Practices on Evaluation and Impact Assessment are assigned to this subtask.

The JPND recalibrated monitoring and evaluation framework can be retrieved on the JPND website: <http://www.neurodegenerationresearch.eu/initiatives/monitoring-and-evaluation/>

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# 1 Background and ambition of JPND's evaluation framework

## 1.1 Objectives and achievements of JPND

As the **initial pilot of the Joint Programming Initiatives** (JPIs), the Joint Programme Neurodegenerative Disease Research (JPND) is the largest global research initiative that enables participating countries to collaborate on tackling the challenge of age-related neurodegenerative diseases.<sup>17</sup> JPND was launched in 2011 and its organisational structure encompasses the Management Board, the Executive Board, the Scientific Advisory Board, and the Secretariat. There are currently 30 member countries participating in JPND, including three Third Country members (non-voting).

JPND's **objective** is to enable efficient and goal-oriented research collaboration in order to optimise national research strategies and funding schemes that help to find causes, develop cures, and identify appropriate ways to care for those with neurodegenerative diseases more rapidly. The Strategic Research Agenda (SRA) "JPND's Research Strategy" (2012)<sup>18</sup> therefore identified common research goals that would benefit from joint action between countries in order to accelerate progress on solutions that can alleviate the symptoms and lessen the social and economic impact for patients, families, and health care systems<sup>19</sup>. JPND therefore obtains the function as a network hub connecting policy makers and communities of practice. JPND is promoting strategic and institutional *alignment* of research across Europe [through a number of activities](#) designed to build on and increase the impact of existing programmes and initiatives. The second CSA JPsustaiND introduced *three updated objectives* that are integrated into the adjusted evaluation framework.

**Key activities and achievements**<sup>20</sup>, with focus on themes particularly relevant for the recalibration process, encompass *alignment, communication/outreach, and the three updated objectives*:

Ensure awareness of JPND's importance among policy-makers (as an enabling activity) and push alignment activities by:

- improving national coordination structures to involve all relevant stakeholders (Ministries, Research Funding Organisations, etc.)
- motivating national key actors with a sufficient level of representativeness to accelerate the decision-making process
- collaborating with EC and H2020 to increase leverage effects and commitments from Member states

Creation of a 'real common pot' (funding for transnational projects)

Establish a communications network with respective digital infrastructure to engage the community of JPND stakeholder groups

Increase the number of participating countries globally

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<sup>17</sup> JPI Factsheet (2016).

<https://www.faccejpi.com/Media/JPIs-Factsheet>

<sup>18</sup> JPND – JPND Research Strategy (2012).

[http://www.neurodegenerationresearch.eu/fileadmin/Documents/2012/SRA-related/JPND\\_brochure\\_final\\_Hyperlink\\_2012.pdf](http://www.neurodegenerationresearch.eu/fileadmin/Documents/2012/SRA-related/JPND_brochure_final_Hyperlink_2012.pdf)

<sup>19</sup> JPND – About JPND.

<http://www.neurodegenerationresearch.eu/about/>

<sup>20</sup> JPND – JPND Research Strategy (2012).

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<sup>20</sup> Amouyel, P. (2016). Impacts of Public-Public Partnerships – expectations and experiences. Annual Joint Programming conference 2016, Nov 23rd.

## 1.2 Ambition of the evaluation framework's recalibration

JPND's internal monitoring activities have already been designed and implemented.

In general, monitoring and evaluation activities are embedded in the overall structure of JPND because of the following **general ambitions of monitoring and evaluation**:

Accountability: Explaining to the community what happened as a result of JPND (public) funds;

Analysis: Learning on how to improve the way JPND activities are designed and managed and to generate evidence about the effectiveness of the activities to provide information on future decisions;

Advocacy: Identifying success stories of JPND activities that can be promoted within relevant communities in order to increase (financial) commitment.

JPND reacted to new internal and external challenges with updated objectives after the ending of the first CSA. In order to account for these new challenges and respective objectives, a work package of the second CSA was dedicated to the adjustment of the existing evaluation framework.

The aim of recalibration was to adjust the existing monitoring and evaluation taking into account the aims and specific objectives of JPsustaiND. The **ambition of this recalibration** is:

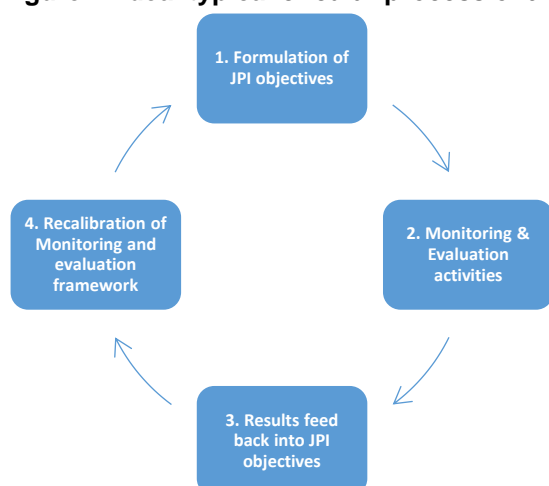
To consider the objectives and necessary activities to achieve this by applying the Logical Framework analysis (LFA) that follows the 'chain of impact' from the beginning. Through this, it is possible to *relate back the three updated objectives to concrete activities*.

By reflecting on the initial evaluation framework, JPND also aims at *improving the value added* of its monitoring & evaluation instrument and at pushing the JPI's activities more efficiently *towards impact creation*.

To provide an improved tool for *organisational learning* by reflecting on mechanisms of organisational processes and the *impact generation*. By understanding the JPI's mode of action the results of evaluation can provide useful information for the JPI's *management*.

In general, this case shows how the maturation of a Public-Public-Partnership (P2P) and the development of an evaluation framework go hand in hand: *Figure 1* shows how the evaluation framework is subject to an *open and alive development* resulting in a circular process. The stylized diagram depicts that the formulation of JPI objectives affects the setup of the evaluation framework and its activities. The results of the evaluation can reveal the need for organisational adjustments and can feed back into JPI objectives. In turn, the monitoring and evaluation framework might need to be adjusted. In the course of a recalibration, the new understanding and gained knowledge can be reflected and integrated within organisational processes.

**Figure 1: Ideal typical circular process of the JPI's objectives and evaluation activities**



Source: Own presentation

## 2 The Recalibration of the Evaluation Framework

### 2.1 JPND's evaluation approach at a glance: Two types of indicators

The [key preparatory document](#)<sup>21</sup> for JPND's evaluation framework "Monitoring and evaluation of EU Joint Programming - Neurodegenerative Diseases Research (JPND)" contains i) the *framework for monitoring and evaluation* including a set of performance indicators and ii) a *questionnaire* amongst participating countries to investigate the attitude and opinions towards the initiative.

The document firstly presents the *Logical Framework Analysis (LFA)* as an analytical tool<sup>22</sup> that provides a structured approach to look at the programme intervention (see figure A1 and table A2 in the annex). A fundamental distinction is made between Type A (upper part of figure A1) and Type B indicators (lower part). The document defines Type A and Type B indicators as follows (ibid p11, 15):

#### **Type A: "Process of Joint Programming (Policy Level)"**

These indicators monitor the effect of JPND on (European) research programming, research policy and funding (the concept of joint programming).

#### **Type B: "Scientific focus and societal view"**

These indicators monitor the scientific and societal impact of JPND research on degenerative diseases.

Type A indicators focus on internal processes and the policy level and do not feature a thematic focus, whereas Type B indicators refer to JPND's specific research field. They monitor the scientific and societal impact; indicators defined more generally can be used for other JPIs. *Type A* indicators are hence valid for *all Joint Programming interventions*. Many Type A indicators evaluate *alignment activities at network level*. The impact resulting from Type A related activities might be an *enabler* for impact related to Type B activities ("Scientific focus and societal view").

<sup>21</sup> Mostert, B., Beem, E., Visser, P. J., Boekholt, P., Vullings, W. (2012). Monitoring and evaluation of EU Joint Programming – Neurodegenerative Diseases Research (JPND).

[http://www.neurodegenerationresearch.eu/uploads/media/Monitoring\\_and\\_Evaluation\\_Framework\\_1.8Mb\\_.pdf](http://www.neurodegenerationresearch.eu/uploads/media/Monitoring_and_Evaluation_Framework_1.8Mb_.pdf)

<sup>22</sup> For detailed information on *Logical Framework Analysis*, please see ERA-Learn guide and background document (Box A3 in annex).

The ERA-Learn “Background Document on P2P evaluation / impact assessment” introduces different **impact types**. For the definitional work on impact types undertaken by ERA-Learn: please confer the Short guide and background document on P2P evaluation / impact assessment p14; annex Box A3, A4.

Three of these impact types largely correspond to the JPND’s Type A and Type B indicators:

- Type A: **Policy Impact**

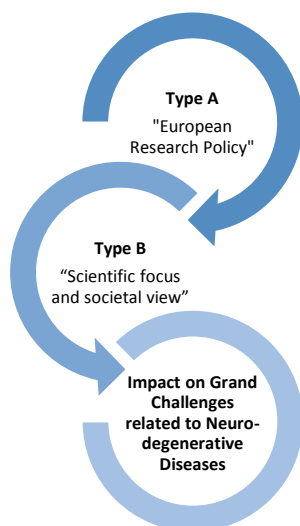
- Type B: **Scientific Impact** and **Societal Impact**

However, please note that these two concepts are **not identic**:

The ERA-Learn perspective relates to a more general and holistic understanding of network impact whereas JPND’s understanding is closer to actual activities and internal pro-cesses. In the following, the terminology of ERA-Learn will be added where appropriate.

This logic implies not only a parallel generation of Type A and Type B related impact but also the progression of impact generation: the “Process of Joint Programming (Policy Level)” relates to the concept of “Policy impact”. A well-working process supports “scientific” and “societal impact”. Figure 2 illustrates this relationship in an ideal typical diagram highlighting the *enabler function* of Type A related impact. A well-coordinated “Process of Joint Programming” on “scientific” and “societal impact” that, finally, makes impact on Grand Challenges related to Neuro-degenerative Diseases is depicted as a ‘trickle down’ effect.

**Figure 2: Type A related impact (Internal processes and “Policy impact”) support Type B related impact (“Scientific and Societal Impact”)**



Source: Own presentation

Both documents present a *questionnaire* to the Management Board that aim at Type A indicators in their annexes.

## 2.2 The overall process of the evaluation framework’s recalibration

The overall process of JPND’s Monitoring & Evaluation activities are shown in figure 3. The phased process reflects the ‘*evolution of evaluation*’ and the role of recalibration with respect to the updated objectives and the feedback of evaluation results into the revision of the SRA. In order to give a brief overview, the subsequent paragraphs describe the overall process in five phases<sup>23</sup>.

**Figure 3: Overall process of the monitoring & evaluation framework’s recalibration**

<sup>23</sup> For more general information, please see JPND’s Monitoring & Evaluation [website](#).



Source: Own presentation

### 1. Initial evaluation framework

The initial document “[Monitoring and evaluation of EU Joint Programming - Neurodegenerative Diseases Research \(JPND\)](#)”<sup>24</sup> was drafted in 2012 and is still used as a **reference** for JPND’s monitoring and evaluation. As the first evaluation framework published among JPIs, it also influenced subsequent Joint Programming evaluation frameworks as well as the work of JPIs to Co-Work and ERA-Learn. This evaluation framework focuses on the **programme level**. ZonMw is the work package leader for Monitoring and Evaluation activities. The development of the initial evaluation framework was subcontracted to an external partner. The document contains two parts:

<sup>24</sup> Beem, E., Mostert, B. Framework for Monitoring & Evaluation of JPND. JPND Overview presentation. [http://www.neurodegenerationresearch.eu/uploads/media/Overview\\_Presentation\\_480kb\\_.pdf](http://www.neurodegenerationresearch.eu/uploads/media/Overview_Presentation_480kb_.pdf)



i) The first part focuses on the framework of monitoring and evaluation and is based on a *logical framework analysis (LFA)* / intervention logic of JPND and suggested indicators (figure A1 and A2 in annex).

ii) The second part consists of an online *questionnaire*<sup>25</sup> to the Management Board (first wave in the end of 2012 in order to investigate the attitudes and opinions towards the initiative from a *member states' and organisational perspective*.

As a result of the LFA, the evaluation framework categorised the proposed Type A and Type B indicators as: Input, Output, Outcome, and Impact indicators (see also ERA-Learn Guide and Background material<sup>26</sup>). According to the evaluation framework document, outcomes and impacts are not to be expected during the lifetime of the JUMPAHEAD runtime and need to be assessed at a later stage. Therefore, data collection (i.e. monitoring data and questionnaire) was *only executed for input and output indicators*

## 2. Reformulation of objectives

With maturation of JPND, the objectives needed to be adapted to new challenges. The overall aim of JPsustainND is to support the development and extension of the JPND capacities, by creating a dedicated structure responsible for the long term JPND management and implementation. In doing so, these capacities will be extended globally and to EU Member States not yet participating. In order to achieve this aim, new objectives are added to build long-term sustainability for JPND, support further alignment activities and push globalisation. With this, JPND's objectives *shift from rather internal to external processes*. The **three updated objectives** are (for details, please see Annex A5):

### Objective 1: Sustainability

Explore possible scenarios for long-term sustainability by Member States, create political awareness to prepare their implementation, and develop and implement a dedicated structure responsible for long-term JPND management and implementation.

### Objective 2: Globalisation

Extend the capacity of JPND beyond its current membership globally and in particular to EU Members States that do not yet participate in JPND and map the available resources for neurodegenerative disease research.

### Objective 3: Alignment

Alignment of national and JPND research strategy by developing and implementing innovative strategies and initiatives<sup>27</sup>. In JPsustainND, this updated objective supports the involvement of different key stakeholders to further develop and achieve better alignment and outreach; e.g. GPC, Member States, EC, research institutions, researchers, and European citizens.

## 3. Recalibration of the evaluation framework

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<sup>25</sup> Software: SurveyMonkey

<sup>26</sup> Amanatidou, E., Cunningham, P., Cox, D., contr. Hunter, A., Dinges, M., Köngeter, A., Meyer, S. (2016). Short guide on P2P evaluation / impact assessment, ERA-Learn 2020, Deliverable: 3.4a

[https://www.era-learn.eu/monitoring-and-assessment/Monitoring-and-impact-assessment-of-networks/ERALEARN2020D3.4aGuiderevision\\_DEC2016\\_final.pdf](https://www.era-learn.eu/monitoring-and-assessment/Monitoring-and-impact-assessment-of-networks/ERALEARN2020D3.4aGuiderevision_DEC2016_final.pdf)

Amanatidou, E., Cunningham, P., Cox, D., contr. Hunter, A., Dinges, M., Köngeter, A., Meyer, S. (2016). Background Document on P2P evaluation / impact assessment, ERA-Learn 2020, Deliverable: 3.4b

<https://www.era-learn.eu/monitoring-and-assessment/Monitoring-and-impact-assessment-of-networks/ERALEARN2020D3.4bBackgroundDocumentfortheP2PIAGuideprefinal.pdf>

<sup>27</sup> E.g. strategies for further coordination of national and JPND research agendas; Initiatives for knowledge management, brokerage and transfer; Innovative strategies for the creation of infrastructures and tools that support international research activity; Novel strategies for industry-academia collaborations.

These updated objectives called for the recalibration of the evaluation framework. The document "Recalibrated monitoring and evaluation framework"<sup>28</sup> was finalised in summer 2016 by ZonMw and heavily builds on the initial framework developed in 2012.

The whole process of conceptualisation, management, and execution of the monitoring & evaluation framework is executed by ZonMw in **close collaboration** with the Management Board, the Executive Board and other work package Leaders of JPsustainND (mainly written and oral consultation). The intense recalibration work took **six months for harmonisation**.

The recalibration document encompasses:

the recalibration of the evaluation framework, including an *adjusted set of performance indicators* for JPND in general and JPsustainND in particular.

an *adjusted questionnaire* to be distributed amongst participating countries to investigate the attitudes towards and opinions of the initiative and the (perceived) effectiveness and usefulness of JPND.

#### *4. Monitoring report: Data collection and analysis*

Although outcome and impact indicators are defined, the data collection, as in the initial document, is again only executed for input and output indicators. To collect the information needed for the first monitoring report (expected 2nd quarter of 2017), different **sources** are consulted, for example:

The minutes of the Management Board meetings (information about the countries' attendance)

The composition and minutes of the different working and action groups

Information on the supported projects in the joint calls for proposals and the annual reports of the supported projects

Information on the progress of the mapping exercise and outreach and communications activities

Information on alignment and capacity extension of research agendas in neurodegenerative disease research

The semi-structured questionnaire was sent out in March 2017. The collection of monitoring data has been continuously executed. The *analysis and interpretation of data* will be done by ZonMw. No subcontracting in this phase. (For the final evaluation in 2019 subcontracting is considered.)

#### *5. Ongoing Monitoring and feedback for overall management of the initiative*

Monitoring in the context of JPND consists of the on-going collection of information from the various activities (and work packages of JPsustainND) to assist in the overall management of the initiative. Evaluation on the other hand is looking at longer-term perspective by investigating the effects in terms of short-term outcomes and scientific and socio-economic impacts.

The framework and performance indicators (Type A and Type B), if necessary, will be refined again in 2018 according to new insights.

Monitoring activities of JPND will be continuously performed and a "Report on researcher's opinions regarding JPND calls for proposals processes" is planned for 2018. These activities will provide *input for the final evaluation* (planned in 2019) that will also collect data for outcome and impact indicators.

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<sup>28</sup> ZonMw (2016). JPND – Recalibrated monitoring and evaluation framework. Deliverable 6.1 (internal use only).

## 2.3 Major adjustments in the course of recalibration

The recalibration of the evaluation framework lead to adjustments that mainly affect the scope and the number of indicators. In particular, the integration of the three new objectives resulted in an *increase of indicators*. These new objectives include the themes *outreach and communication*. The recalibration improves the ability of the evaluation framework to 'chase' the JPI's effects from internal processes towards its outreach and wider influence. Through this, the number of indicators rose from 17 to 46 for *Type A indicators* and from 12 to 17 for *Type B indicators*.

- **Many new Type A indicators were added** which seem to result from an **improved understanding of the "Process of Joint Programming"** (possibly due to the closeness to the JPI's sphere of influence). The new indicators mainly concern four sub-dimensions:

- Explore possible scenarios for long-term *sustainability*, e.g. "creation of a legal entity for long-term JPND management" and "(increase in) financial commitment of Member States for future partnership (6 years or more)"
- Alignment encompassing *strategic alignment*, e.g. "Changes in national research priorities", "New or updated country strategies that mirror the impact of JPND", and *institutional alignment* concerning harmonised rules and funding.
- *Globalisation*, e.g. "the number of new EU (i.e. 13 missing Member states) and non-EU (i.e. third countries) states joining / participating in JPND activities".
- An additional sub-dimension is the *communication objective*: the usage of media and stakeholder involvement is stressed, e.g. the usage of website and social media, "expansion of website to multilingual online platform", "increased number of policy-making stakeholders in JPND database", the incorporation of stakeholders and stakeholder concerns into the communication content".

- **Few Type B indicators were added** which target ambitions of

- *stakeholder involvement via online platforms* e.g. "existence of web portal and database for researchers", "satisfaction of researchers about accessibility of information by means of web portal" and
- the *potentials of impact creation*, e.g. "number of products applied in policy and practice as a result of granted JPND supported projects [e.g. guidelines, protocol standards, changes in professional practice]"; "innovative strategies to facilitate wider access to technology platforms and infrastructure".

When having a closer look at the divide between input/output/outcome/impact indicators<sup>29</sup>, the major growth is found for input, output (and outcome) indicators. According to the interview partner, it is aimed at reducing the amount of indicators for the final evaluation of CSA JP sustainND due to the long duration of data collection.

Besides the new objectives, additional reasons for the adaptation of indicators are:

**Improved understanding of organisational processes:** The experience gained during the first years of JPND has disclosed more concrete knowledge on how the JPI can create impact. This knowledge leads to more specific indicators, in particular in the JPI's sphere of influence (Type A indicators; input and output indicators).

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<sup>29</sup> **Number of indicators by CSA and indicator type:**

CSA 1 Type A indicators: 17 (8 Input, 5 Output, 2 Outcome, 2 impact)

CSA 2 Type A indicators: 46 (24 Input, 14 Output, 6 Outcome, 2 impact)

CSA 1 Type B indicators: 12 (2 Input, 5 Output, 2 Outcome, 3 impact)

CSA 2 Type B indicators: 17 (3 Input, 5 Output, 7 Outcome, 1 impact)

**Additional sub-dimension concerning communication:** To account for the increasing importance of the JPI's outreach, the communication and advocacy sub-dimension is added "with the aim of developing a sustainable infrastructure and web-based platform, accessible to citizens and stakeholders" (only Type A indicators).

**Initial indicators less appropriate than originally thought:** For example, data is not available, sensitive or expensive to collect. Indices with sub-indicators are partly introduced.

### 3 Key Results

JPND succeeded in the recalibration of their monitoring & evaluation framework by integrating the updated objectives of CSA JPsustainD and learning from the experiences with the initial set of indicators.

#### 3.1 Key benefits

To ensure the added value of evaluation activities, JPND's evaluation framework is in need of adaptation during the lifetime of the initiative in order to account for its 'moving targets'. JPND's recalibration provides the subsequent key benefits:

**Include outreach and communication indicators:** The evaluation framework added the themes outreach and communication. By this, indicators gradually capture the effect on stakeholders. The evaluation's recalibration aims at 'chasing' the effects of the JPND initiative and it can continuously improve understanding of the mechanisms of impact creation.

**A tool for organisational learning:** The JPND's recalibration of the evaluation framework provides the opportunity to reflect on internal organisational processes, helps *identify modes of impact creation*, as well as their relationship so that internal *success factors* can be identified.

**Management tool for coordination and setting future objectives:** Results of analysis will assist in the overall management of the initiative and gives direction for future activities.

**Communicate the programme's impact to stakeholders:** According to the interview partner, the information collected will allow for better communication of the programme's impact to stakeholders. This can raise credibility and communicability which can be crucial for public relations, staff morale, as well as attracting and retaining support from current and potential funders.

**Improve sustainability:** Sustainability of the initiative can be improved by the above mentioned benefits. At the moment, the recalibration focuses on integrating the current and developing perspective of JPND (sustainability, alignment and globalisation). The evaluation activities and reflection of results related to "Policy impact" (see chapter 2.1 and Box A4 in annex) can trigger alignment activities by involving survey respondents (raise awareness among key stakeholders).

#### 3.2 Obstacles and lessons learned

Evaluation activities and impact assessment periodically challenge P2Ps. JPND's recalibration of the evaluation framework discloses new as well as known **obstacles**:

**The overall process is time-consuming:** In total, the harmonisation of the recalibration's indicators took six months because this exercise requires intense collaboration between numerous partners, e.g. collect information and harmonise adjustments of evaluation framework, take up work of external advisor (responsible person cannot be contacted anymore to gain from the person's expertise).

**Sparse evidence on impact achieved:** JPND (as a forerunner with respect to evaluation) works its way towards impact assessment. However, despite the recalibration, the evaluation framework will probably only provide sparse concrete evidence on impact achieved.

**Missing digital infrastructure and insufficient shared expertise and standards:** It would be helpful to make use of a joint digital infrastructure (e.g. data base and software solutions) and shared expertise and standards (e.g. data collection, some fixed evaluation criteria) according to the interview partner.

**Measurement of items sometimes unclear:** JPND's initial framework and the recalibration document do not always clearly define how indicators are quantified/qualified. For the sake of transparency and reproducibility it would be beneficial to display this information precisely.

Major **lessons learned** and **key success factors** of the recalibration are

**Centralised and internal organisation beneficial:** ZonMw as a work package leader is responsible for conceptualisation, management and execution and implementation of monitoring & evaluation activities. As internal and implicit knowledge is essential, the centralised internal organisation is considered to be critical for its successful harmonisation.

**Boiling down the number to only few actually implemented key performance indicators:** As per the interviewee, it currently takes too long to collect information for the increased number of indicators. A recalibration shall aim at partly substituting indicators.

**Reconsidering initial indicators during recalibration:** During the monitoring and evaluation activities, it turned out that some indicators are less useful than originally thought. Partly because they are inappropriate proxy indicators (indirect measures) or data is difficult to collect (not available, sensitive, or expensive). In this case, recalibration shall be used to substitute these indicators (e.g. think about new proxy indicators, other kinds of sources, and indices with sub-indicators).

**Considering management process in evaluation framework:** In order to attribute impacts to a programmatic intervention, the examination of the management process is needed to accurately assess the impact of a programme and understand the context in which the programme / intervention takes place. According to the interview partner, it is not efficient to focus exclusively on measuring changes in the target. If the causal relationship is explicit, one will be able to demonstrate progress towards ultimate impacts by identifying intermediate outcomes along a causal chain.

## 4 Conclusion and Outlook

JPND succeeded in updating its initial evaluation framework according to the JPI's updated objectives. This case shows how the recalibration provides the opportunity to *reflect on mechanisms of organisational processes and impact generation* as well as its potential to provide *feedback for the intervention's strategic orientation*. In general, this case study shows that evaluation / Impact assessment is an *open and alive tool for multiple purposes* and can provide *added value* for all P2Ps.

JPND's recalibration of the evaluation framework is thus both a result *and* a means of the organisational learning process. **Major findings** of this case study are:

The *key purposes* of a recalibrated evaluation framework are: better understand mechanisms of impact creation, communicate the programme's impact to stakeholders, maintain a tool for organisational learning, as well as making use of a management tool for coordination and setting future objectives.

The 'evolutionary' development of JPIs demands *regular reflection* of the evaluation framework to ensure its added value (*evolution of evaluation*). The recalibration of the evaluation framework evolves in close *interplay* with the JPI's *objectives*, its *organisational development*, as well as its presumed *mode of action*. The evaluation results can reveal the *need for adjustment* of the P2P's *objectives and processes*. In addition,

improved understanding of organisational processes resulted in the specification of indicators and gearing them towards the JPI's outcome and impact.

However, the evaluation currently undertaken will assess alignment activities and can provide relevant information on its achievements and communication/outreach. In addition, it has the potential to link internal processes (input, output) to observable external effects (outcome and impact) in the final evaluation.

As an **outlook**, it would be helpful if P2P management structures lay the foundations for measuring impact via a well *implemented progress monitoring* that include, e.g. information on number of actors reached, number of actions running/finished by year etc. As a joint objective, it seems promising to *work collectively on methods of evaluation/impact assessment* which can be more easily implemented and geared towards the JPIs' objectives. P2Ps are – and JPIs to an even greater extent - highly complex system innovation platforms that develop in an evolutionary manner. The evaluation procedures likewise develop in such an incremental way. To ensure an evaluation's added value, it is critical to *integrate updated objectives*, think about impact creation as a 'chain of impacts', and apply appropriate indicators from the beginning.

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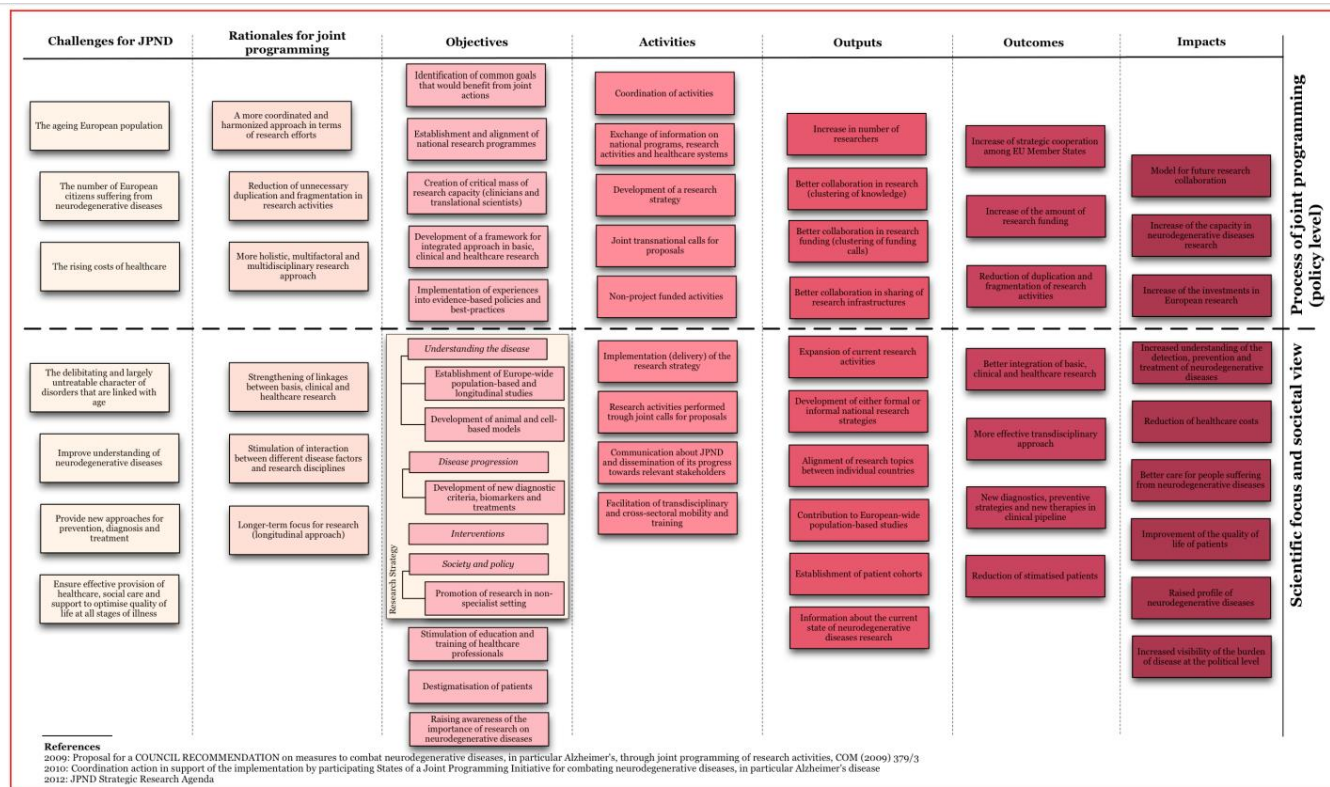
### **Interview:**

Abida Durrani (Programme Officer, ZonMw; WP leader)



## Annex

**Figure A1: Intervention Logic of JPND**



Source: Technopolis Group analysis, based on JPND documentation (2012).

Source: Technopolis Group analysis based in JPND documentation (2012)

## Annex A2: Overview of the initial framework's proposed indicators

Figure 4 Overview of all proposed indicators of performance

Indicator category	Type A	Type B
<b>Input</b>	<ul style="list-style-type: none"> <li>Participation grade of Member States in Management Board meetings (a.1).</li> <li>Attitude towards JPND goals and objectives (a.2).</li> <li>Opinion on the progress and anticipated results of JPND (a.3).</li> <li>The drop out of countries (a.4).</li> <li>Participation grade of Member States in JPND Research Strategy implementation working groups (a.5).</li> <li>The number of new joint transnational calls for proposals (a.6).</li> <li>The share of granted projects versus the number of applications (a.7).</li> <li>The number of new initiatives for non-project funded activities (a.8).</li> </ul>	<ul style="list-style-type: none"> <li>The number of collaborative research projects funded through JPND joint calls that address the various scientific priorities (b.1).</li> <li>The number of non-project funded activities that address the various scientific priorities (b.2).</li> </ul>
<b>Output</b>	<ul style="list-style-type: none"> <li>The national research (funding) priorities adapted as result of JPND and the (scientific) priorities of JPND's Research Strategy (a.9).</li> <li>Alignment of national research funding programmes (a.10).</li> <li>New or updated country strategies that mirror the impact of JPND (a.11).</li> <li>Efficiency benefits through pooling (a.12).</li> <li>Allocated funding through joint transnational calls for proposals or non-project funded activities (a.13).</li> </ul>	<ul style="list-style-type: none"> <li>The existence of an up-to-date overview of neuro-degenerative diseases research programmes and initiatives (b.3).</li> <li>The number of Europe-wide population-based studies with contribution of JPND (b.4).</li> <li>The number of large-scale longitudinal and cross-sectional population cohorts initiated since the start of JPND (b.5).</li> <li>Satisfaction of researchers about accessibility and availability of information by means of databases (b.6).</li> <li>The number of databases that is widely accessible for researchers in the domain of neurodegenerative diseases (b.7).</li> </ul>
<i>Not included in monitoring cycles of JPND during lifetime of the JUMPAHEAD project</i>		
<b>Outcome</b>	<ul style="list-style-type: none"> <li>The amount of JPND common research funding for neurodegenerative diseases as share of total EU research funding (a.14).</li> <li>The total amount of European funding available for neurodegenerative diseases research (a.15).</li> </ul>	<ul style="list-style-type: none"> <li>The number of scientific publications in high ranked journals focusing on prevention, diagnosis and treatment over the years as a result of granted JPND projects (b.8).</li> <li>Regular interactions between JPND and stakeholder groups (b.9).</li> </ul>
<b>Impact</b>	<ul style="list-style-type: none"> <li>The number of publications in high impact journals of European researchers as share of world in neurodegenerative diseases research (a.16).</li> <li>Investment in European R&amp;D in neurodegenerative diseases research as share of total investment in R&amp;D (a.17).</li> </ul>	<ul style="list-style-type: none"> <li>Public opinion of neurodegenerative diseases (b.10).</li> <li>Exchange of practices across different types of research (basic, clinical and healthcare) (b.11).</li> <li>Quality of life judgement by patients and caregivers in existing studies (b.12).</li> </ul>

### Box A3: Short guide and background document on P2P evaluation / impact assessment

In December 2016, the ERA-Learn 2020 portal published practical guidance documents for P2Ps' monitoring and impact assessment:

- **Short guide on P2P evaluation / impact assessment - Download**

Evaluation and impact assessment has become an imperative need for all P2Ps. Following a process of consultation with the P2P community, ERA-LEARN 2020 has published a Guide for P2P impact assessment (Deliverable 3.4a) drawing on relevant evaluation theories and good practices.

- **Background Document on P2P evaluation / impact assessment - Download**

It is advised that this Guide be read in conjunction with this Background document, which provides additional information on the concepts used in the Guide as well as examples from P2P-relevant work. Naturally, the Background Document is a living document that can and should be updated in the course of ERA-LEARN 2020 reflecting on the evolving needs for evaluation / impact assessment of P2Ps.

### Box A4: Definition of impact types at project level of P2Ps (extract)

**Policy impact:**

Research influences how policy makers and policies act. It can provide evidence that influences policy decisions and can enhance citizens' participation in scientific and technological decisions.

**Science impact:**

Research results have an effect on the subsequent progress and contribution to the body of knowledge. They affect the formation and development of disciplines as well as training and can also affect the development of a research field itself, generating interdisciplinary and international projects.

**Societal impact:**

Research affects the welfare, behaviour, practices and activities of people and groups, including their well-being and quality of life. It also concerns customs and habits: consumption, work, sexuality, sports, and food.

**Annex A5: Objectives of JPsusaiIND<sup>30</sup>**  
**Recalibration document – confidential**

**Objective 1:**

Explore possible scenarios for long-term sustainability by Member States, create political awareness to prepare their implementation, and develop and implement a dedicated structure responsible for long-term JPND management and implementation.

**Objective 2:**

Extend the capacity of JPND beyond its current membership globally and in particular to EU Members States that do not yet participate in JPND and map the available resources for neurodegenerative disease research, by:

- Establishing collaborations with other initiatives or partners at the European and global levels;
- Extending the capacity and capabilities of JPND globally and to the missing EU-13 Member States and non-EU countries;
- Identifying available national research and innovation resources in the area of neurodegenerative diseases.

**Objective 3:**

Alignment of national and JPND research strategy by developing and implementing:

- Strategies for further coordination of national and JPND research agendas;
- Initiatives to promote patient and carer perspectives;
- Initiatives for knowledge management, brokerage and transfer;
- Innovative strategies for the creation of infrastructures and tools that support international research activity;
- Novel strategies for industry-academia collaborations.

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<sup>30</sup> ZonMw (2016). JPND – Recalibrated monitoring and evaluation framework. Deliverable 6.1 (not published), p4

# Good Practice Case Study within ERA-LEARN 2020 : Practices of Evaluation and Impact Assessment

Indicators for Assessing Progress of P2Ps: The Case of JPI MYBL

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**Project no.** 645782

**Project acronym:** ERA-LEARN 2020

**Project full title:** Strengthening joint programming in Europe

**Funding scheme:** Coordination and support action

**Start date of project:** 1 January 2015

**Duration:** 36 months

### **Deliverable D2.3**

#### **Summary report on good practices in the implementation of JPIs**

**Submission date** September 2017

**Dissemination Level:** Wider Public

**Organisation name of lead contractor for this deliverable:** AIT – Austrian Institute of Technology<sup>31</sup>

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<sup>31</sup> Michael Dinges and Anna Wang

## Abstract

Within a climate of overall appreciation with respect to the progress of Public to Public Partnerships (P2Ps), the attendees of the Annual Joint Programming Conference 2016 stressed that the time is ripe to show what impact has been achieved - showing evidence for this impact acquires adequate approaches and processes of evaluation. P2Ps, as highly complex system innovation platforms that develop in an evolutionary manner, are driven by **“collective search and learning” processes** - which particularly holds for their Monitoring & Evaluation. Three case studies<sup>32</sup> therefore showcase examples of Monitoring & Evaluation and identify approaches and processes that allow P2Ps to assess the impact achieved.

The Joint Programming Initiative More Years Better Lives (JPI MYBL) is an example of a Joint Programming Initiative in which a set of performance indicators has been set up in an early phase of the programme. The set of key indicators was later used in an independent evaluation in order to assess the progress made in the JPI. The case study demonstrates that performance indicators can provide good guidance for legitimisation and learning on the one hand, but tremendous effort may be required to collect relevant information. Therefore, indicators need to be selected with care and the Monitoring and Evaluation framework must allow for modifications to the indicator set at a later point. This case study provides information on the development of the indicators set and how the indicators were used by the external evaluation. It is not the purpose of this case study to analyse the results and achievements of JPI MYBL.

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<sup>32</sup> The two earlier case studies on FACCE-JPI and JPND can be found here: [https://www.era-learn.eu/monitoring-and-assessment/Monitoring-and-impact-assessment-of-networks/practices-of-evaluation-and-impact-assessment/Case\\_Study\\_JPND\\_Evaluation.pdf](https://www.era-learn.eu/monitoring-and-assessment/Monitoring-and-impact-assessment-of-networks/practices-of-evaluation-and-impact-assessment/Case_Study_JPND_Evaluation.pdf)

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## Background and ambition

### Objectives and achievements of MYBL

The Joint Programming Initiative “More Years, Better Lives – The Potential and Challenges of Demographic Change” (JPI MYBL) was established in 2012 with the purpose to **foster coordination and collaboration between European and national research programmes related to demographic change**. The JPI MYBL follows five guiding aims:

- To develop a European Strategic Research Agenda (SRA) to identify research gaps, potential for alignment, and joint activities. The SRA was adopted in April 2014, following which a first round of joint calls on “Extended Working Life and its Interaction with Health, Wellbeing, and beyond” was launched in 2015. Two more joint calls were opened in subsequent years: “Welfare, Wellbeing, and Demographic Change: Understanding Welfare Models” in 2016 and “Ageing and Place in a digitising world” in 2017.
- To better coordinate national, regional, and European activities relevant for demographic change
- To exchange best practice, pool expertise and financial resources, and carry out joint activities
- To gain understanding of demographic change by a cross-disciplinary and holistic approach
- To have an impact on national and EU agenda setting

The JPI builds its SRA around **four broad research domains**: 1) Quality of life, health, and wellbeing, 2) Economic and social production, 3) Governance and institutions, and 4) Sustainable welfare. Within these domains, the Agenda highlights eleven research issues that will be given priority in the short- and medium-term. MYBL is presently in the process of updating the original SRA (2016-2017) and is focusing on developing strategies for alignment of national research programmes, implementing joint activities, and fostering public engagement. Since areas affected by demographic change cover a wide range of research fields and policy topics, MYBL follows a transnational, multi-disciplinary approach (technological, economic, social, political, and societal) to provide solutions for upcoming challenges. Currently, JPI MYBL has 17 member states, 15 European countries plus Canada and Israel.

JPI MYBL’s key activities to date include:

- **Three joint calls** for proposals following the adoption of its SRA in 2014. The topics were “Extended Working Life and its Interaction with Health, Wellbeing and beyond” in 2015, “Welfare, Wellbeing and Demographic Change: Understanding Welfare Models” in 2016, and “Ageing and place in a digitising world” in 2017. The first two joint calls funded 5 projects each.
- **Three ‘Fast Track’ projects** where experts work together over a relatively short period, reviewing a topic and preparing for further research. The first such project was the Data Mapping Project (2013) where a team conducted a mapping and critical review of relevant data sources at national and European levels. The following year, a second project reviewed policies and practice on the employment of older people to define research needs (“Understanding employment participation of older workers”). A third fast-track project is currently underway on the implications of migration for an ageing society (“Demographic Change and Migration”). Experts from participating states will provide a comparative overview of their countries’ recent history of migration and analyse the relationship between migration and health, employment, pensions, and public attitudes.
- **Two Coordination and Support Actions (CSAs)**, J-AGE I and J-AGE II, funded by the European Commission to support MYBL’s implementation and alignment activities. Specific activities include supporting and fostering the overall management of the JPI, the development and updating of the SRA and its implementation by joint activities, the mapping of relevant national programmes and a

complementary foresight activity, the generation of a communication and dissemination plan to increase visibility, and the Monitoring and Evaluation of the initiative.

## Ambition of the indicator framework

During J-AGE I, JPI MYBL aimed at establishing a Monitoring and Evaluation framework early on in its lifecycle (2013-2014). As part of WP6, the United Kingdom's Economic and Social Research Council (ESRC) developed **two sets of indicators**:

- The **Type A indicators** (Deliverable D6.1) are inward looking and measure how well the JPI functions. The focus is on the effect of the JPI on European and national research programming, research policy, and funding, i.e., these indicators are focused on the 'research system(s)' which are at the core of JPI activities.
- The **Type B indicators** (Deliverable D6.2) aim at monitoring progress towards the scientific and societal impact of the implementation of the Strategic Research Agenda (SRA) work programme, i.e., thinking beyond impact on the research system to impact on wider society.

At the point of development, MYBL was already in a position whereby it was able to learn from others. JPND (Joint Programme - Neurodegenerative Disease Research) has already developed its Monitoring and Evaluation Framework and JPIs to Co-Work has been running workshops on evaluation in its series of workshops focusing on areas of the framework conditions. The European Commission has shown interest in some standardisation of monitoring and impact indicators across JPIs. According to the J-AGE I document on the development of the Type A indicators, the above factors combined led to MYBL using an analysis of the JPND framework as a starting point of indicator development.

### Process of developing indicators

The team of JPI MYBL conducted an analysis of the JPND Monitoring and Evaluation framework at the beginning to gain a better understanding of the metrics being used by the pilot JPI and to facilitate comparison between JPIs where possible. It enabled creating indicators that build on the experiences of others and an understanding of the metrics used by the pilot JPI, thereby facilitating comparison between JPIs where possible.

The JPI MYBL's Type A indicator development process started with reviewing the JPND Monitoring and Evaluation framework against its vision, aims, and objectives. MYBL's vision, aim, and objectives were mapped, from there, its short-, medium-, and long-term aims were set out. In the next step, a comparison between those of JPND and those of MYBL was carried out. Subsequently, the indicator framework was elaborated using the short-, medium-, and long-term aims of the JPI. This method also involved a careful examination of the differences between the scientific fields and the aims of the JPI. For example, the JPND framework considers the need to reduce the amount of fragmentation within the field whereas in the field of demographic change this was considered to be less of an issue for the JPI to address. For MYBL, a transdisciplinary approach and engagement and influence of non-academic stakeholders was seen to be key to the process. Therefore indicators were developed to enable measurement against this criterion. With the input and approval of the General Assembly and other JPI evaluation teams, the final Type A indicators draw on the framework developed by JPND but do not replicate these indicators. Some simplification has taken place and additional indicator types were included which also adhere to different success criteria. This is to be expected since the objectives of each JPI are tailored toward specific societal challenges that may also require different approaches to contributing to their solutions.

A similar learning process took place in the development of the Type B indicators - an iterative process that started by mapping the indicators used by the JPIs AMR and JPND against the MYBL indicators. This process was adopted to ensure consistency in the Monitoring and Evaluation indicators developed across JPIs since MYBL's indicator framework was modelled after JPND, and AMR's indicators were developed as part of JPIs to Co-Work and published after MYBL's. It identified four potential new Type A indicators and the initial set of proposed Type B indicators. The

mapping occurred in two stages: 1) Mapping AMR indicators against MYBL Type A and B indicator definitions, which identified some Type B indicators and indicators that could potentially be added to the current Type A indicators to facilitate comparability between JPIs. 2) Mapping JPND Type B indicators and identifying potential Type B indicators for MYBL.

The final set of indicators were established following consultations and feedback from the General Assembly, an independent external Evaluation Advisory Group, the Scientific Advisory Board, and the Societal Advisory Board. The General Assembly was particularly involved in the process: General Assembly members gave feedback for the initial proposed sets of Type A and B indicators, and where possible, those suggestions were incorporated into the final set. Feedback from General Assembly members suggested that the framework ought to include process variables which would focus on the activities of the JPI and how effective they are in delivering the aims of the JPI. Following consideration of this addition and its impact on the scope and number of indicators, it was decided to include 'process' as an additional indicator type. Including wider stakeholder engagement was another suggestions that has been incorporated into the final framework. The set of indicators was then put to test with JPI MYBL conducting an external evaluation of the early phase of the JPI. In the evaluation, the developed indicators were used as a means to measure progress toward meeting the objectives set.

## The JPI MYBL indicator framework

Both Type A and B indicators were broken down into five categories according to the information they provide to Monitoring and Evaluation:

- *Input indicators* describe the resources used for the implementation of MYBL (e.g., the amount of funding and the human resources needed for the initiative, member state contributions to initiatives and governance, etc.)
- *Process indicators* measure MYBL activities
- *Output indicators* measure the knowledge and value added directly attributable to MYBL activities (e.g., activities related to the implementation of the SRA)
- *Outcome indicators* measure the initial results of MYBL and are less tangible than outputs (e.g., increased research funding, raising awareness within the stakeholder community)
- *Impact indicators* measure the long-term socio-economic effects of MYBL and its activities (e.g., instrumental impacts such as influencing the development of policy or practice, shaping legislation; conceptual impacts such as contributing to the understanding of policy issues or reframing discourse; etc.)

JPI MYBL developed a total of 20 Type A indicators, 7 Type B indicators, and 3 proxy impact indicators. Since the complete set of Type A and B indicators is not publicly available, the following tables provide an excerpt of the indicator set with one example for each indicator category.

**Table 1: Excerpt of Type A indicator set (one example per indicator category)**

Indicator Category	No.	Type A
Input	A2	Level of non-funded staff resource contributed to the activities of the JPI

<b>Process</b>	A6	Members find it as easy and cost effective to collaborate through the JPI as they do to fund their own research directly
<b>Output</b>	A9	National research funding policies have been influenced as a result of JPI MYBL and the activities of the JPI
<b>Outcome</b>	A20	Members of GA and SAB consider the JPI is leading research in the field in Europe.
<b>Impact</b>	A16	Robust JPI MYBL policies to: maximise impact from JPI funded activities and; ensure engagement of non-academic stakeholders throughout the research process

Source: J-AGE Set of modified Type A Indicators for Evaluation (Deliverable 6.1)

**Table 1: Excerpt of Type B indicator set (one example per indicator category)**

<b>Indicator Category</b>	<b>No.</b>	<b>Type B Indicator</b>
<b>Input</b>	B1	The financial value of collaborative research projects funded through the JPI-MYBL joint calls that address each of the SRA scientific priorities.
<b>Output</b>	B3	The existence of an up-to date overview of demographic change research programmes and initiatives.
<b>Outcome</b>	B6	Proportion of SAB and SOAB members satisfied with the quality and reach of stakeholder engagement with the JPI MYBL.
<b>Impact</b>	B7	Increased use of demographic change research amongst relevant stakeholders.
<b>Proxy Impact</b>	PI2	Proportion and type of stakeholders taking part in JPI MYBL activities.

Source: J-AGE Set of Type B Indicators for Evaluation (Deliverable 6.2)

Evaluation and monitoring during the lifetime of J-AGE focuses on short/medium term aims, and therefore input, process, and output indicators are monitored systematically during the lifespan of J-AGE. This is appropriate given the stage of JPI development and corresponds to the approach taken by the Monitoring and Evaluation teams of other JPIs. Outcomes and impacts take a longer time period to develop and will be picked up in the longer term monitoring and external evaluation of the initiative.

The first external evaluation in March 2015 aimed at covering all Type A input, process, and output indicators and an initial assessment of the outcome indicators. It not only conducted an assessment of the indicators but also identified room for improvement in MYBL's Monitoring and Evaluation framework to be taken up during J-AGE II. The evaluator's recommendations in relation to the Monitoring and Evaluation framework are synthesised below:

- **Definition of terms** including: Clarification of the definition of 'coordination', distinguishing between coordination within JPI member states, between member states and between the JPI and member states, in order to ensure the collection of relevant, structured, and comparable data in the future; and consistent usage of terms between the evaluation framework and other JPI documents.
- **Need for the development of monitoring and evaluation tools** to improve data collection and facilitate the final evaluation, for example: tools to enable MYBL representatives to quickly record examples of

alignment and stakeholder engagement and awareness, data collection methods in other J-AGE II workpackages such as those around measuring changes in national funding.

- **New data collection methods** need to be considered either through annual monitoring or future evaluation activities such as: qualitative data to contextualise quantitative findings and draw out examples of outcomes and impacts at national level is necessary; focussed data collection to inform the final evaluation; clear, structured, and comparable data about stakeholder engagement and output dissemination at the national and JPI levels.

## Outlook

The second CSA, J-AGE II, started on March 1, 2015, and will finish by the end of February 2018. This second phase will continue to support and foster the overall management of MYBL, update the SRA, and support the implementation of joint activities. It will also conduct a second and final external evaluation toward the end of the project, where indicators that were not considered in the first evaluation (some Type A and all Type B) will be analysed.

WP6 is once again dedicated to Monitoring and Evaluation activities and builds on the work and activities of J-AGE. It will **continue to monitor** the progress of MYBL against the developed indicators, **gather evidence on impact**, and **conduct a second and final external evaluation**. The final evaluation will draw on all evidence gathered to date, gather its own evidence and cover all indicators to inform the future direction of the JPI.

## Key Results

JPI MYBL developed a set of Type A and Type B indicators that form the basis of its Monitoring and Evaluation framework. The Type A indicators are monitored systematically and have already been put to test in a first external evaluation. The process revealed lessons learned that are worth considering for future work on evaluation frameworks.

## Obstacles and challenges

Although MYBL has successfully managed to develop a full set of Monitoring and Evaluation indicators early on in its lifecycle, according to J-AGE I documents (deliverable 6.1 and 6.2) it had to overcome a number of challenges to do so. These are described in detail below.

- **Keeping the framework simple:** One of the main challenges in the process of indicator development was to ensure that the framework was simple and does not include too many indicators. This was considered critical in order to keep the activities related to annual data collection viable and to not overburden JPI members with data gathering. An effortless and simple Monitoring and Evaluation framework is also more sustainable in the long-term. Thus, following suggestions from the General Assembly in the drafting process, the development process included a methodical removal of duplicative indicators and a rationalisation through re-formulating or removing some indicators.
- **Balancing ambition and practical information:** Since the indicators were developed at a time when MYBL was relatively young, the stage of the JPI required paying particular attention to striking the right balance. On the one hand, the Monitoring and Evaluation framework and its indicators needed to be sufficiently ambitious, on the other hand, those activities should serve to enhance the day-to-day operations and delivery of the JPI.

- **Ensuring comparability:** Adopting the right indicators to make them comparable across JPIs was of key importance. The European Commission likely considers gathering practical information that have corresponding counterparts in other JPIs most useful for future evaluation of JPIs. Therefore, some indicators that may appear rather less ambitious at first glance were retained. To this end, it was also made clear from the outset that additional indicators could be added at a later date once the JPI had developed more fully.
- **Assuring measurability:** Every indicator needs to allow for measurement through easily accessible, reliable, and readily collected data and have available baseline data for comparison purposes. This was especially challenging in the development process of the Type B indicators.
- **Understanding the contribution of the JPI to any changes in indicators:** Given the complex landscape in which JPIs operate it remains a challenge to actually understand whether the JPI has contributed to any changes in indicators.

## Key benefits and lessons learned

### Benefits

- **Adopting a Monitoring and Evaluation framework and developing indicators early on in the lifecycle** of the JPI was tremendously beneficial. It allowed for monitoring of relevant indicators from the beginning, reduced time and costs associated, and will facilitate impact assessment down the road. Furthermore, gaps and missing indicators could be identified and added during the earlier stages of JPI maturity. J-AGE II will also be able to make adjustments to the system according to the first external evaluation's findings and recommendations to improve the final evaluation.
- **Linking vision, aims, and objectives of the JPI to the indicator framework** and developing indicators based on short-, medium-, and long-term aims allowed for comprehensive indicators to be elaborated. Its input, process, output, outcome, and impact indicators broadly map along a timeline from short to longer term.
- By starting the indicator development process with mapping out the JPND Monitoring and Evaluation framework, then mapping JPI AMR indicators against MYBL's as well as closely studying the transformational proxy impact indicators of JPI Cultural Heritage and Global Change, MYBL ensured that its **indicator framework is comparable across JPIs**. To this end, experts involved in other JPIs and the author of the JPND Monitoring and Evaluation framework were involved directly in the feedback rounds to harvest input on how the framework and indicators might be further developed and adapted. Other JPI evaluation teams and the JPIs to Co-Work evaluation group were also involved in discussions.
- **The flexibility of the indicator framework** is a key benefit, especially in view of the two sets of indicators being established when MYBL was relatively young. It was made clear from the outset that additional indicators could be added at a later date once the JPI had developed more fully. It is also fully anticipated that the set of indicators might be further modified over the lifespan of the JPI as the JPI develops activities in response to the SRA and the Implementation Plan.
- **Potential for awareness building among key stakeholders** by involving the General Assembly in consultations. General Assembly members gave feedback for the initial proposed sets of Type A and B indicators, and where possible, those suggestions were incorporated into the final set. Since the General Assembly's membership is composed of national delegates who can potentially initiate alignment at national level, raising awareness can potentially shape the delegates' self-perceived role as active contributors to (national) alignment activities.

## Lessons learned and key success factors

- **Considering the feasibility of the approach and the process from the beginning** is a key success factor. It is necessary to keep the indicators and related data collection activities simple and as cost-effective as possible. Striking the right balance between ambition and practical information, while reflecting the aims of the assessment and the indicators' value added, is crucial.
- **Monitoring & Evaluation needs to be adapted - not reinvented:** There is no one-size-fits-all Monitoring and Evaluation framework. Using JPND's and AMR's framework as a starting point and adapting them to MYBL's needs proved to be the best course of action. Involving other JPI evaluation teams and the JPIs to Co-Work evaluation group in discussions further benefitted the indicator development and ensured comparability across JPIs.
- **Adding external expertise** when needed to advise on the Monitoring and Evaluation work is a good strategy to compensate for areas where the JPI may lack internal knowledge and to ensure a comprehensive framework. JPI MYBL appointed an independent external expert group, the Evaluation Advisory Group, in June 2013 to advise on the development of the Type B indicators and the external monitoring process. Its membership consists of experts in impact evaluation as well as experts in demographic change. Their proposal to supplement the final evaluation of MYBL with other impact evaluation activities, to not rely only on the developed indicators, was incorporated into J-AGE II. Additional impact evaluations to complement the evidence and data from the monitoring of Type A and Type B indicators have been added to the J-AGE II WP6 programme of work.
- **The early implementation of a sound monitoring system geared toward the P2P's objectives** from the start is enormously helpful for impact assessment a couple of years later. The adaptation and development of new monitoring tools following recommendations from the first external evaluation is being considered.
- The **flexibility to adapt the indicator framework** at a later point, when the JPI has matured more fully, is a key success factor for the effective early establishment of evaluation and monitoring frameworks.

## Conclusion

The JPI MYBL indicator development process revealed that the early development of an indicator framework, the adaptation of already existing Monitoring and Evaluation frameworks of other JPIs to fit its own requirements and circumstances, and allowing for modifications to the set of indicators later on are the main benefits of MYBL's framework. The most significant conclusions to be drawn from the development process are:

- **The emphasis on feasibility proved to be beneficial** to the overall process. In particular, establishing the right balance between an ambitious evaluation framework and providing practical information for a maturing JPI, emphasising the need to keep data collection simple, and consulting by external experts from the beginning.
- **Planning the assessment of impacts as early as possible** in the lifecycle of a P2P potentially reduces costs and time required. Furthermore, the implementation of relevant indicators related to the P2Ps objectives from the beginning facilitates the Monitoring and Evaluation process as well as impact assessment in the future. The stepwise evaluation approach, covering only Type A input, process, and output indicators and an initial assessment of the outcome indicators in the first external evaluation, seems to improve the feasibility of the evaluation task. Furthermore, early implementation enjoys the added benefit of allowing for refinement and adjustment of the framework with ample time left to the final evaluation for improvements to manifest.
- **The consultation of the General Assembly members can provide added value** by improving the evaluation framework and building awareness among national delegates. For example, national delegates might redefine their own role as actors who can provide policy impact that can result in activities that foster strategic and structural alignment on national level.



- **Monitoring and Evaluation as a reflection and learning tool:** JPIs are highly complex system innovation platforms that develop in an evolutionary manner which implies a continuous “collective searching and learning”.
  - Continuous refinement and recalibration of Monitoring and Evaluation activities are a part of this process. Modifying the indicator framework later on, obtaining outside expertise, or making adjustments after the framework has been put to test in a first external evaluation.
  - By using Monitoring and Evaluation activities as a reflection and learning tool, it seems promising to integrate stakeholders/beneficiaries in the process of impact assessment to a larger extent. This was taken up during the development of the Type B indicators, where the General Assembly suggested that the set should include wider stakeholder engagement.



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