Introduction to the purpose of the workshop

Kate Barker, Effie Amanatidou, ERA-LEARN, UNIMAN

ERA-LEARN seminar on monitoring and evaluation of P2Ps, Manchester 28th Jan 2020

Too many questions at some point in time…

We have done so much but what are the results?

Are publications enough? Should we have done better with end-users?

Is our SRA already an achievement?

What should our achievements be compared against?

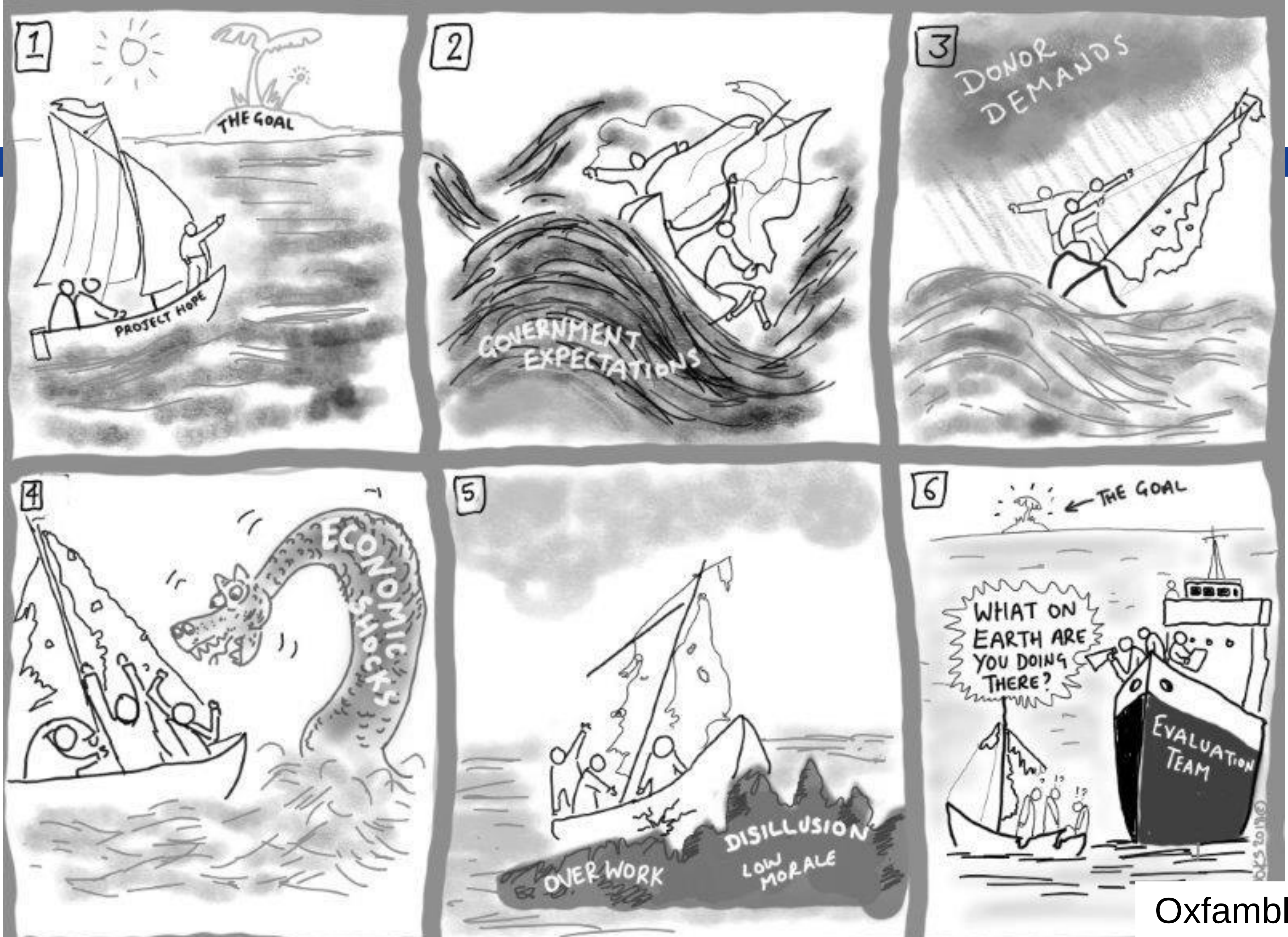
What is an impact? Can it be the activities themselves?

Is it the results from the activities? Something else?

How can we measure our impacts?

How to measure things we cannot count?

How to claim contribution to dealing with a societal challenge? (so many factors come in between)



Oxfamblogs.org

We will try to bring some logic and structure into reality
- not make things less complicated but more nice to look at -

http://www.themindsetchange.com/

Purpose of the workshop/seminar

- **Long-standing research evaluation theories and practices**
- **Deep knowledge gained throughout the years in analysing P2Ps in ERA-LEARN**
- **Acknowledging experiences of P2Ps that are advanced in M&E activities**

The aim of the workshop / seminar is to

- **establish common understanding in relation to monitoring and evaluation of R&I partnerships**
- **Engage participants in hands-on experience in designing and organising the monitoring and evaluation of their partnerships with the help of our newly created RIPE (R&I Partnership Evaluation) Toolkit**

The RIPE Toolkit is a complete methodology for monitoring and evaluation of transnational partnerships in R&I.

It includes concrete steps, examples, numerous templates for online surveys, interviews and case studies and good practice tips based on the work that we have been doing over the years in analysing and assessing P2Ps.

Thus, it is a methodology completely tailored to the needs of P2Ps for monitoring and evaluation

‘Setting the overall framework - needs and challenges for M&E of P2Ps’

Erik Arnold

Co-founder and Chairman of the Technopolis Group, Adjunct Professor in Research Policy at the Royal Institute of Technology (KTH) Stockholm and Honorary Professor at the University of Manchester

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Inputs and activities in P2Ps

Group work (20')

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(5’)

- **Gather in groups**
- **Have one person involved in M&E in your group if possible**

(15’)

- **Work based on own experience and knowledge**
- **Discuss and agree on 5 activities (min.3) that usually take place in a P2P**
- **Then discuss and agree on the types of major different inputs to make these activities possible**

Let’s see what you’ve done

Summing up: overall framework and inputs and activities in P2Ps

Effie Amanatidou, ERA-LEARN, UNIMAN

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What are the inputs and activities that will achieve the P2P objectives

Activities

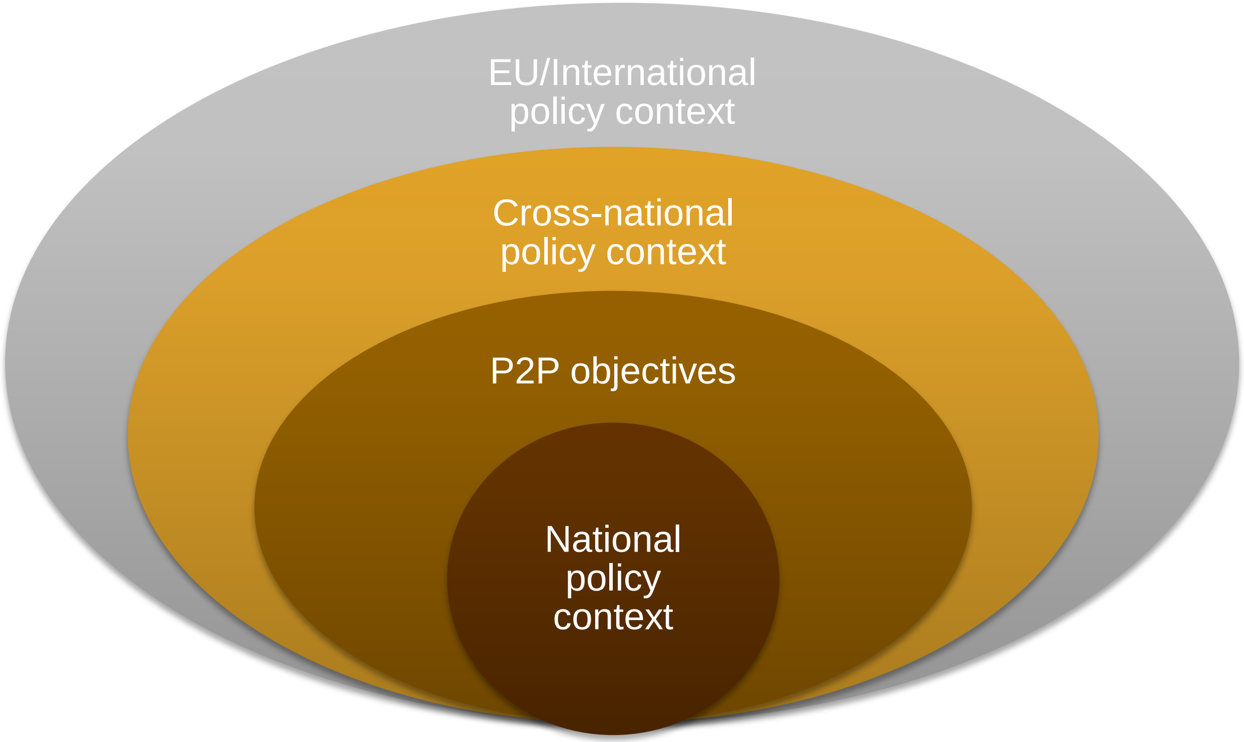
- **Implementing transnational calls; additional joint calls**
- **Dissemination / Up-Take of research results**
- **Foresight and common vision building / Strategic Research Agenda / Implementation Plan**
- **Mapping national/trans-national activities**
- **Knowledge sharing amongst researchers, Mobility and training**
- **Research infrastructures; Widening participation; Internationalisation**
- **Monitoring and evaluation/assessment activities**

Inputs

- **Financial, human resources, skills, infrastructures, ‘costs’ of beneficiaries and end-users, but also…**
- **network structures and processes, governance and decision-making procedures, rights, obligations, rules**

But activities and inputs do not exist in vacuum

The start is with a challenge and the aim to deal with that challenge – Multiple policy/strategy levels intervene in this



Why was the P2P established? Which challenge, problem, or situation does it aim to address?

What are the short-term/operational, the medium-term/intermediate and longer-term/global objectives of the specific JPI?

Linking challenges to objectives – an example (MNT ERA-NET)

• Smart, sustainable, inclusive growth • Effective national research systems; Optimal TN co-operation &competition; Open labour market for researchers; Gender equality &mainstr.; Dig. ERA	Global objectives (Europe 2020 & ERA related)
• excellent science, industrial leadership and tackling societal challenges • support the coordination of non-Community research programmes	Intermediate Objectives (ERA-NET Scheme; H2020)
• Best possible integration of regional and national MNT strategies with European needs and visions, • ensure complementarities with other funding instruments	Specific objectives (Specific network - here MNT ERA-NET)
• support collaborative research projects in micro and nanotechnologies encouraging especially the participation of SMEs and newcomers in small consortia	Operational objectives (calls' objectives)

Objectives need to be SMART (Specific, Measurable, Accepted, Realistic and Time-dependent)

Outcomes – outputs – impacts

Group work (35')

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(35’)

Starting with each of the activity identify a set of at least …

- **2 outputs,**
- **2 outcomes and**
- **2 long-term impacts.**

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Let’s see what you’ve done

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Summing up: Logic Frame in P2Ps - Intervention Logic

Kate Barker, ERA-LEARN, UNIMAN

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From activities to outputs, outcomes and impacts

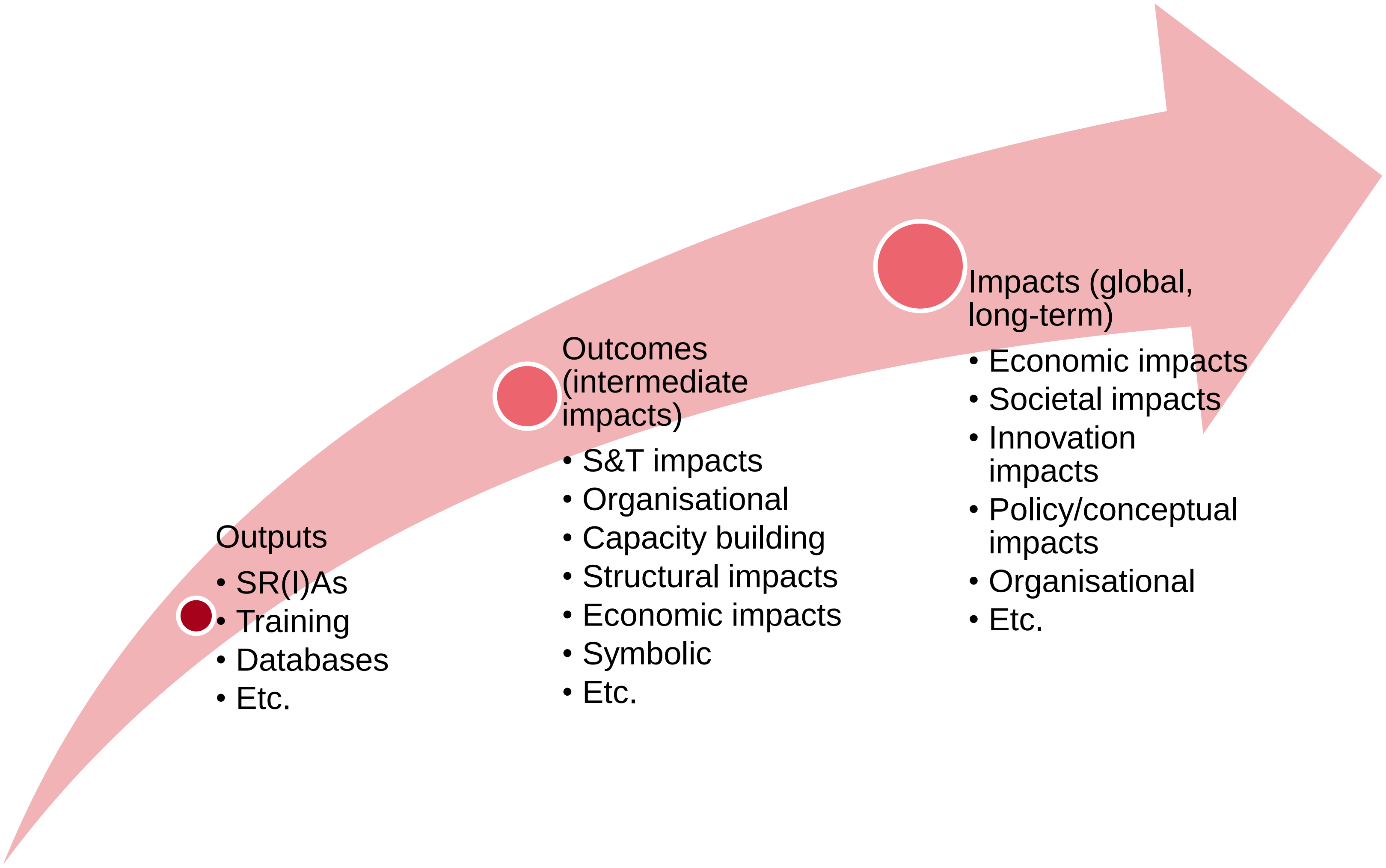
We need to consider that networks have a "chain of impact" that includes

- **the network's impact on its members (network level)**
- **the members' impacts on their local environments, (national level)**
- **the members' combined impact on their broader environment (trans-national)**

Evaluations designed to examine impact must understand the relationship between these three levels and be clear about where their focus lies.

The first step: sharing the right understanding of the terminology!

Typology of impact types



Examples of outcomes and impacts per different type of beneficiary

Type of Beneficiary	Outcomes	Intermediate Impacts	Global Impacts
Research organisation	new technology, new data/method, formal publications, patents	additional research income, commercial income, increased research capacity, spin-off businesses, enhanced reputation	new research trajectories, new solutions for socio-environmental challenges, economic spill-overs to industry
Industrial organisation	new product/service, new technical process, new organisational process, patent, improved capacities	increased turnover/profit, new jobs, protection of existing jobs, increased market share, geographic expansion	economic spill-overs to other businesses, new solutions for socio-economic challenges
Public service organisation	new methods/services, new organisational process	improved service quality, reduced cost of service delivery	improved health, safety, security and/or quality of life for citizens
Public administration	improved scientific evidence, new organisational process	improved governance, reduced administration costs, evidence-based policy making	improved economic, social and/or environmental impacts
Societal organisation	improved scientific evidence, improved services, improved capacities	increased influence	improved standards/regulations, improved quality of life
Environmental organisation	improved scientific evidence, improved services, improved capacities	Increased influence	improved standards/regulations, reduced environmental impacts

Examples of types and timing of impacts

	Short-term	Intermediate	Long-term
Societal	Researchers' posts created	Change of consumer practices	Improved services to citizens
Economic	More national resources in as area	New business models	Increased R&D spending in area
R&I/capacity	New knowledge Patents, prototypes	Commercialisation of invention	Innovation upscaling
Conceptual	More attention to the field addressed	A national strategy in the field	Influence of EU/world strategies
Structural	Inter-ministerial bodies for coord	More coordinated national p-making	Creation of inter' al structure
Attitudinal	Change of user behaviour	More org. collaborations	International coop. strategies
Symbolic	Improved reputation	Increased track record in projects	Increased international collab
Connectivity	New collaborations under activities	Organisational collab. strategies	Strategic alliances among org./countries

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It all comes down to a Logic Frame

Challenges → Objectives → Inputs → Activities → Outputs → Outcomes → (Global) impacts

Well done!

But a Logic Frame is NOT the Intervention Logic …let's see an example

Challenge/Objective	• Brain drain - repatriation
Inputs	• National R&D budget/strategy
Activities	• Post-docs • Exchange visits
Outputs	• No & types of Post-docs • Co-authored publications
Outcome	• Return of ?% of expat researchers
Impact	• Increased international collaboration

Intervention Logic – main underpinning assumptions

The main reasons for researchers leaving is lack of professional opportunities in their home country

The offered post-docs and exchange visits cover their needs in terms of opportunities offered and career prospects

A post-doc position or exchange visit can act as showcase of benefits if they return home

The working conditions in the home country are more appreciated than those abroad

The personal / family opportunities in the home country are more appreciated than those abroad

The political / economic situation in the country can ensure a well-paid tenure position for people to return

The conditions in the institutions in the home country can ensure a well-paid, well-framed position for people to return

People will retain their links abroad when they return home

…

Selecting the evaluation questions

Effie Amanatidou, ERA-LEARN, UNIMAN

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What does that mean?

Effectiveness

- To what extent do the effects (outputs, outcomes, and impacts) induced by the P2P correspond with its objectives?

Relevance

- To what extent are the P2P objectives relevant with respect to the needs, problems and issues identified?

Efficiency

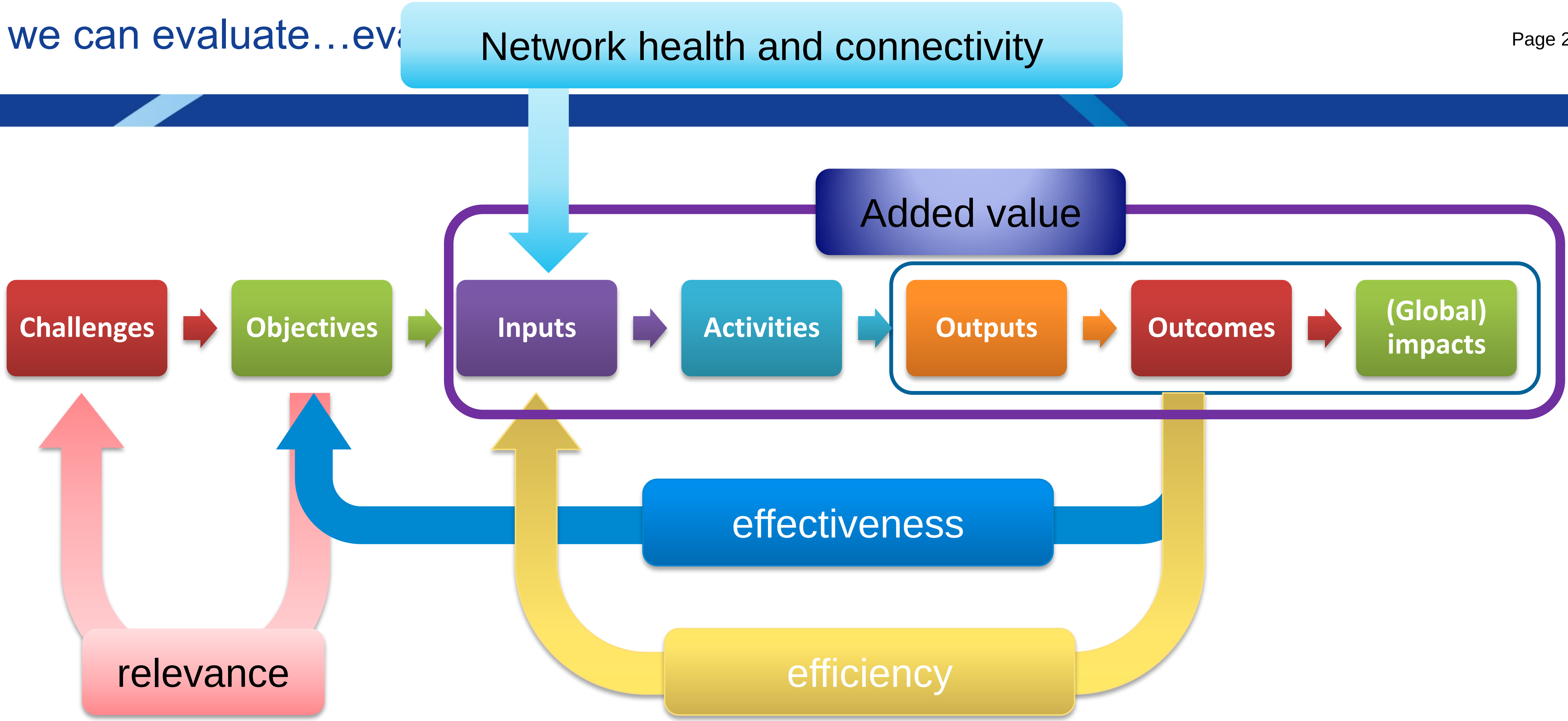
- How economically have the resources used been converted into effects?

Added value

- What is the additional value resulting from the P2P, compared to what could be achieved by Member States alone at national and/or regional levels?
- To what extent do the problems/challenges addressed by the intervention require action at EU level?
- What would be the most likely consequences of stopping or withdrawing the existing policy intervention?

..for more see Background Document to the ERA-LEARN Guide for P2P Impact Assessment (section 5)

What we can evaluate…eva



..no need to examine everything in one go but good to know where to look to explain what went wrong

What does that mean?

‘Network health’: ability to engage its members, sustain their engagement, and adapt as needed.

- What are the network’s governance rules and are they effective?
- Do decision-making processes encourage members to contribute and collaborate?
- How are the network’s internal systems and structures adapting over time?
- Do all members share a common purpose for the network? Are all members working together to achieve shared goals, including goals that emerge over time?
- Are members achieving more together than they could alone?
- Has a sense of trust developed amongst the network participants?
- Has the P2P secured the necessary resources (capacities, money, and infrastructure) to become self-sustained?

‘Network connectivity’: the extent to which the members’ ties to each other are resulting in efficient and effective “pathways” for shared learning and action.

- Has the P2P assembled members with the capacities needed to meet network goals (experience, skills, connections, resources)?
- Who is connected to whom?
- Who is not connected but should be?
- Is membership adjusted to meet changing network needs?
- What are the number, quality, and configuration of network ties?
- How dependent is the network on a small number of individuals?
- Is the network structure adjusted to meet changing network needs and priorities?

Designing indicators

Group work (40’ + 20’ after lunch)

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(10’)

- **Go back to the inputs, activities, outputs, outcomes and impacts you have selected**
- **Correct anything you feel should be corrected**

(30’)

- **Discuss about suitable indicators for the 2 outcomes, 2 outputs and 2 impacts you have thought about each activity**
- **Fill in the table below – you have one print-out on your table**

	Output indicators	Outcome indicators	Impact indicators	Source of information	Timing
Activity 1	• … • …	• … • …	• … • …	• … • …	• … • …
Activity 2	• … • …	• … • …	• … • …	• … • …	• … • …
Activity 3	• … • …	• … • …	• … • …	• … • …	• … • …


WHAT DO YOU SAY?
Let's DO LUNCH!!

Designing indicators: JPI Chairs Task Force

Svend Otto Remøe, JPI OCEANS,
JPI Chairs Task Force on M&E of JPIs

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Designing indicators

Last 20’

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Let’s see what you’ve done

Summing up: indicators

Effie Amanatidou, ERA-LEARN, UNIMAN

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Defining indicators

All indicators should be 'RACER', i.e.:

- **Relevant to the objectives and should measure the right thing;**
- **Accepted (e.g. by staff, stakeholders who hold responsibility)**
- **Credible for non-experts, unambiguous and easy to interpret.**
- **Relatively easy to monitor (e.g. data collection should be possible at low cost).**
- **Robust against manipulation (e.g. If the target is to reduce administrative burdens to businesses, the burdens might not be reduced, but just shifted from businesses to public administration).**
- **The "SMARTer" the policy objective, the easier to define a corresponding indicator.**
- **It may be the case that the most accurate indicators are extremely resource intensive to collect; thus a balance will have to be struck between indicator suitability and ease of collection.**

The JPND Example of Log Frame and indicators

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

JPI Key Performance Indicators

Examples of evaluation frameworks and indicators from several P2Ps in the ERA-LEARN reference library

Indicators – what you need to pay attention to…

- Before proposing new data requirements, you should carefully assess to what extent the existing data reflect the objectives set and whether the missing key data can be collected via existing monitoring structures.
- It is essential to understand that indicators are subject to a number of limitations. They cannot measure all aspects of the reality while indicators that are defined ex-ante can only capture intended impacts. Societal impacts appear especially difficult to measure but don't fall into the trap that 'Impact is only what we can measure'!
- It may be the case that the most accurate indicators are extremely resource intensive to collect; thus a balance will have to be struck between indicator suitability and ease of collection.
- Qualitative indicators can be highly illustrative of the outputs and impacts of activities but are more difficult to aggregate and to subject to quantitative analyses.
- The appropriateness of indicators is case and context dependent.

'Generic' indicators for evaluating the P2P as a whole

Activity	Sub-activity	Output Indicators / nature	Outcome Indicators / nature	Impact indicators / nature	Source of information	Timing of eval.
Mapping national/trans-national activities	Mapping workshops/ meetings	• No of attendants (quant.) • Quality of report/ deliverable (qual.) • Programme clustering (qual.)	• Identification of common areas of interest (qualitative)	• Critical mass of research in certain areas (both quant. qual.)	Monitoring/ questionnaire	Interim/ ex-post
Foresight and common vision	Foresight exercise Vision building ws	• No of attendants (quant.) • Quality of report/deliverable (qualitative)	• Identification of common areas of interest (qualitative)	• Inform national and European policies (qualitative)	Monitoring/ questionnaire	Interim/ ex-post
Strategic Research Agenda / Implementation Plan	Interaction with AB, stakeholders Specific surveys	• No of attendants (quant.) • Quality of discussions (qual.) • Quality / level of approval of SRA (qual.)	• Identification of themes for calls (qual.) • changes in research priorities of agencies (qual.) • alignment of research strategies (qual.)	• Specific strategies for certain areas (qual.) • Influence national strategies/policies/ programmes (qual.) • Changes in national budgets (quant.)	Monitoring/ questionnaire	Interim/ ex-post
Joint calls	Building a portal Call management Evaluation of prop.	• User-friendliness of portal (quant. qual.) • No of proposals submitted/ approved (quant.) • Time to contract (quant.)	• Promotion of research area at national levels (quant.) • Change of national rules, timings (qual.) • Multinational evaluation schemes (qual.)	• Common rules, procedures, timing, and evaluation panels (qualitative) • Changes in legislation to allow payments to foreign researchers (qual.)	Monitoring/ questionnaire	Interim/ ex-post

'Generic' indicators for evaluating P2P-supported projects

Project activity	Output Indicators / nature	Outcome Indicators / nature	Impact indicators / nature	Source of information	Timing of evaluation
Research collaboration	Publications (quant.) New staff, students, employees linked to project/theme (quant.); New methods, services, products (quant/qual); Co-authorships (quant.); New joint proposals/projects (quant.)	Changes to research programmes of organisations (qual.) Increased collaborations (quant.) Higher-research ranking (quant.) Increased reputation (qual.) Access to extra R&I funding (quant.)	New research trajectories / new areas of research (quant./qual.) Solutions to challenges (qual) international profile (quant./qual) Increased long-standing collabs (quant./qual)	Monitoring/ questionnaire	Interim Ex post
Research collaboration Academia – industry	Industry/HE co-publications (quant.) Prototypes of new methods/products/services (quant.qual) Patents, licenses, leasing, etc. (quant)	New methods/products/services (quant.qual); Spin-offs (quant./ qual) Market share figures (quant./qual) Commercial returns – turnover – employment (quant.) Reduced operating costs (quant.)	Solutions to challenges (qual.) Increased industry competitiveness (quant/qual) Improved business models (qual.)	monitoring/ questionnaire	Interim Ex post
Results diss. society	Raising awareness in society (quant./qual)	Change consumers behaviour (quant./qual)	More informed / concerned citizens (quant./qual)	Monitoring/ questionnaire	Interim Ex post
Results diss. policy	Inputs to standards (qual.)	White papers, draft regulations (quant./qual) Changes in policies / regulations (quant/qual.)	Solutions to challenges (qual./quant) Improved policy-making (qual.) Improved service quality (qual) Reduced environmental impacts (quant.qual)	questionnaire	Ex post
Capacity building knowl.	Training schemes/activities (quant./qual.); Masters/PhD students (quant.); Conferences, workshops,	Improved capacities at organisational level (quant./qual.) Changes to human resources	Improved national capacity / performance in specific area (quant./qual) New practices for research organisation	Monitoring/ questionnaire	Interim Ex post

Well done!

Setting up a M&E system

Antonella Autino, PRIMA Foundation

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Draft a data collection methodology and practice a method

Role play (30’)

(10')

- **Each group selects a method (interviews, survey), the subject of investigation and the target group and prepares some 5 questions to address them**

(20')

- **Each group 'plays' the investigator and addresses one of the other groups as the target audience**

OR

(10')

- **Groups choose a couple of projects their networks have funded and look at information available on the web**

(20')

- **Design a case study around them**

Let’s see what you’ve done

Summing up: methods for collection and analysis of data – pros and cons

Chiara Marzocchi, ERA-LEARN, UNIMAN

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Collecting data and information

- **The collection of data required for an evaluation should be planned before the relevant programme activity commences: in the absence of a clear data collection strategy an evaluation may not be possible or be limited.**
- **Monitoring and evaluation are complementary activities, and ideally the design and requirements for each should be considered together. This will facilitate the collection of relevant and high quality data and avoid duplication or missed opportunities for the collection of key data.**
- **It is important to design data collection tools so that they are consistent with relevant existing, or previous, data monitoring and collection tools to enable comparison and ensure data consistency.**
- **GDPR (General Data Protection Regulation) requirements need to be taken into account and planned for prior to collecting data, particularly for monitoring data collected from individuals.**
- **Data collection can be done regularly through monitoring (project reports, annual reports, research proposals, etc.) but also ad hoc and ex-post of a programme or activity, i.e. for impact assessment purposes**

Collecting data and information ad hoc or ex-post

- It is important to set up a monitoring and evaluation system to enable collection of the right data at the right time in an efficient way. However, these data will not be enough to formulate comprehensive answers to the evaluation questions.

- Additional data collection is required for this purpose. This is usually done ad-hoc when such information is required and especially ex-post i.e. after the end of a supported project or the partnership overall or at a regular point in time during the partnership's life-time, e.g. five years after its start.

- Means that are usually deployed for this purpose are targeted questionnaire surveys, interviews or case studies although other means can also be applied.

Data collection and analysis methods: what you need to know before deciding

For each indicator, how can they best be measured/captured?

- **Secondary data: national / European / international statistics (R&I indicators); thematic data (publications, patents, employment, etc.)**
- **Primary data: collection through surveys of value judgements but also facts (publications, collaborations, patents, etc.)**
- **Importance of monitoring systems established at the start of the activity**

What is the added value of applying a quantifiable or a qualitative measurement or a combined approach in measurement?

- **Snap-shot in time vs. longitudinal trends**
- **what vs. why and how**
- **A number vs. a narrative of a chain of impacts**

The issue of attribution – establishing cause-effect relationships

- **Cannot be too ambitious – certain correlations can indeed be made – narratives of impact chains are equally important**

The importance of monitoring and keeping track of possible impact pathways can never be overestimated

Combined evaluation approach (internal and external)

Abida Durrani, Work Package leader M&E JPND, ZonMw

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Quality assurance criteria – writing and disseminating the evaluation report

Kate Barker, ERA-LEARN, UNIMAN

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Synthesising the findings and writing the report

Writing a report for policy-makers

They value information on

- **effectiveness of design,**
- **effectiveness of management,**
- **effectiveness of implementation,**
- **effectiveness of the evaluation itself,**
- **the achievement of objectives,**
- **the broader impacts of the Instrument.**

Writing a Report for R&I Partnership Stakeholders

- **national funding agencies and ministries,**
- **the European Commission and other EU or international bodies,**
- **research institutions and higher education institutes,**
- **user communities (industry, SMEs, civil society, NGOs, etc.),**
- **the broader public,**
- **observer bodies and other interested parties.**

Each stakeholder group will have specific interests and needs concerning the outcome of any evaluation.

Ensuring the quality of the report

To ensure the quality of the report, the report

- **should focus on details related to the specific evaluation question(s) being examined,**
- **should not address dimensions or issues not directly relevant to that specific evaluation exercise and**
- **should tailor output from the evaluation to the needs of the different evaluation audience or stakeholder groups.**

There are plenty examples of evaluation reports and quality assurance criteria that may be useful to review before deciding on the quality criteria that you will apply in your case.

Quality Checklist for Evaluation Reports by the United Nations Evaluation Group

Instructions on how to assess the quality of evaluation reports by the European Commission

Report on Impact of EMRP by EURAMET, the European metrology institutions' association.

Other examples of interim and final evaluation reports can be found on the ERA-LEARN website.

Communicating and using the results

- **Communicating the message is equally important as the content of the message itself.**
- **It makes sense to utilise a range of communication strategies for the different stakeholders concerned: not all stakeholders will be interested in receiving the full evaluation report.**
- **Dissemination of the results widens the usefulness of an evaluation - so utilisation and dissemination plans should be part of the evaluation design.**
- **The greater extent to which policy makers, programme managers and stakeholders are involved in the evaluation, the more useful evaluations are and vice versa.**
- **There are some good examples available of communicating evaluation results and impacts in a short, but comprehensive and attractive way.**

Joint Programming Initiatives: 10 Year Main Achievements Brochure and Individual Factsheets

BiodivERsA Main Achievements Brochure

Managing expectations - Usefulness of evaluation

Role play (35’)

(10')

- **Each group recaps and summarises their evaluation results and presents them to an audience that will play the role of policy-makers, researchers, industry or civil society. Audience to be decided on the sport.**

(25')

- **Role - play**

Review of the workshop and the RIPE Toolkit

Discussion and filling in the evaluation sheets

Some more tips

Continuously running ERA-LEARN central survey for project impact assessment based on harmonised questionnaire developed by ERA-LEARN in consultation with P2Ps.

Contact Hayley Welsh Optimat UK
hayley.welsh@optimat.co.uk

ERA-LEARN Guide for P2P Impact Assessment (Guide and Background document) downloadable at https://www.era-learn.eu/support-for-p2ps/monitoring-and-assessment.

All ERA-LEARN Policy briefs on impacts on P2Ps and their projects https://www.era-learn.eu/support-for-p2ps/monitoring-and-assessment

The RIPE Toolkit for P2P M&E

https://www.era-learn.eu/support-for-p2ps/monitoring-and-assessment

Thank you!

On behalf of ERA-LEARN

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