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## **Social Innovation in Marginalised Rural Areas**

**Call: H2020-ISIB-2015-2**

### **Innovative, Sustainable and Inclusive Bioeconomy**

**Work Programme:** Topic ISIB-03-2015. Unlocking the growth potential of rural areas through enhanced governance and social innovation

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#### **Report D4.1**

### **Guidelines to Identify and Analyse Existing Methods to Assess Social Innovation and Impacts**

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## Executive Summary

This deliverable provides guidelines for the identification and analysis of existing frameworks, approaches, methods and tools of evaluation to be carried out in SIMRA in Tasks 4.2 and 4.3 in relation to the specific economic, social, environmental and institutional and governance domains<sup>1</sup> of social innovation, and the analysis of the policy implications of social innovation. The Guidelines in this Deliverable are for use by SIMRA partners. They provide the background and templates for co-constructing the toolkit which is the final and principal output of WP4. A template is provided in an Annex (1) for capturing the information on frameworks, and examples included in the second Annex.

## Acknowledgments

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<sup>1</sup> Domain is used here to refer to different fields of analysis of social innovation.



## 1. Introduction

The EU Horizon 2020 **Social Innovation in Marginalised Rural Areas** (SIMRA) project<sup>2</sup> has the overall objective of advancing the state-of-the-art in understanding and enhancing social innovation and associated governance mechanisms in the agriculture and forestry sectors, as well as in rural development more widely. It aims to fill a significant knowledge gap in the field of innovation as it relates to the development of marginalised rural areas.

A specific objective of SIMRA is to develop an integrated set of methods for the evaluation of social innovation and its impacts in marginalised rural areas across the target regions, which includes those south of the Mediterranean basin. To achieve this, the first step is to develop guidelines to: (i) identify, analyse, adapt, and integrate existing methods that can be used to evaluate SI and its impacts on different components of territorial capital; (ii) analyse policies that influence SI in rural areas at various levels (hereafter referred to as “Guidelines” and considered as Deliverable 4.1).

The second step will be to develop and test a preliminary set of approaches, methods and related operational tools from which to select, adapt, and combine on a case-by-case basis, and depending on resources and needs<sup>3</sup> (Deliverable 4.2). The preliminary set of methods and tools will be tested through their application in selected SIMRA SI case-studies (WP5) and policy documents and processes (WP6).

The third and last step will refine and consolidate, on the basis of feedback from tests, a novel evaluative toolkit which integrates quantitative, qualitative and mixed methods for assessing social innovation, measuring its impacts in marginalised rural areas, and understanding the processes and policies that influence SI (Deliverable 4.3). The final, integrated set of methods will be developed and finalized to be: i) complementary to existing assessment frameworks, including the EU Common Monitoring and Evaluation Framework (CMEF) and capable of capturing social processes and dynamics more precisely; ii) focused on economic, social, environmental, institutional and governance aspects of social innovation; and iii) focused on territorial capital in agriculture, forestry and rural development in marginalised rural areas.

The set of approaches, methods and tools will support:

- (i) the evaluation of social innovation in relation to its role in addressing new needs (e.g. by enhancing businesses and social entrepreneurship options and creating conditions for accessing new markets and providing new investment opportunities;
- (ii) understanding the role of social innovation in reconfiguring and strengthening public institutions across levels, as a means to increase and reinforce the social and political structures, which support social capital, a key factor for local and territorial development.

### 1.1 Scope of the document

The Guidelines in this Deliverable (D4.1) will be used in the identification and analysis of existing frameworks, approaches, methods and tools of evaluation to be carried out in SIMRA in Tasks 4.2 and

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<sup>2</sup> Social Innovation in Marginalised Rural Areas (SIMRA) No: 677622 - SIMRA – RIA, Topic: ISIB-03- 2015 - Unlocking the growth potential of rural areas through enhanced governance and social innovation (SI). The list of partners and full proposal are available online: [http://cordis.europa.eu/project/rcn/200385\\_en.html](http://cordis.europa.eu/project/rcn/200385_en.html) and/or <http://www.simra-h2020.eu/index.php/project/>

<sup>3</sup> For example, decisions can include identifying the cases where social innovation is to be evaluated as well as setting objectives for the evaluation process. These objectives can include approaches such as jointly measuring all the impacts or only a sub-set; and choosing whether to carry out an *ex ante*, *in itinere*, or *ex post* evaluation.



4.3 in relation to the specific economic, social, environmental and institutional and governance domains<sup>4</sup> of social innovation, and the analysis of the policy implications of social innovation. The Guidelines in this Deliverable presented are intended for use by SIMRA partners. They provide the basis for co-constructing a novel evaluative toolkit which is the final and principal output of WP4. A final set of approaches will be provided in D4.3.

## **1.2 Structure of the document**

Section 2 explains the rationale for the identification and analysis of methods that can be used for the evaluation and assessment of social innovation in marginalised rural areas; the specific objectives of the Guidelines are also outlined. Section 3 shows how the three Deliverables of WP4 are integrated with the work of other SIMRA WPs. Section 4 provides a list of definitions that will be used by Tasks 4.2 and 4.3, to create a common starting point for discussion. Section 5 describes the criteria proposed for identifying existing frameworks, approaches, methods and tools. Section 6 outlines the criteria used for categorising and analysing them, detailing the instructions for the completion of the Excel file (Annex 1). Section 7 outlines three explanatory cases completed in Task 4.1 (Annex 2) to demonstrate the use of the spreadsheet Annex 1. It also provides examples of other cases that could be analysed by Tasks 4.2 and 4.3 to aid completion of the review of existing methods in each of the four domains, and for analysing the policies which influence social innovation. Finally, Section 8 provides a brief conclusion of the Deliverable.

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<sup>4</sup> Domain is used here to refer to different fields of analysis of social innovation.



## 2. Rational and objectives of the Guidelines

Standards, guidelines and tools have been developed to evaluate the emergence of innovation across economic sectors. However, no standards or mechanisms have been agreed for the assessment of the impact and performance of social innovation (Nicholls et al., 2015). In the European Union, for example, evaluation methods and tools have been developed for assessing the environmental impacts of economic activities (e.g. Environmental Impact Assessment), social capital connected to specific actors of rural development policies (e.g. Local Action Groups within the EU LEADER programme), and economic impacts of entrepreneurial activities connected with new technologies. A range of approaches have also been developed for the measurement of social impact within the fields of welfare economics, analysing the not-for-profit and the social entrepreneurship sectors (Mulgan, 2010; Ebrahim and Rangan, 2010).

In addition to the complexity of assessment and evaluation of policies to support agriculture and rural development in the European Union, in countries to the south of the Mediterranean there is a different set of policies in place, and a different set of criteria and indicators used for their evaluation (for example see approaches of FAO and UNEP for work on agro-ecology, food security, climate change adaptation). Further, no study has specifically assessed social innovation in marginalised rural areas, and consequently, no agreed standard has emerged in these areas.

The Guidelines provide a toolkit (Excel spreadsheet in Annex 1) to be used by Tasks 4.2 and 4.3 to identify and categorise the existing methods, i.e. those methods already developed and/or used in the European Union as well as in the rest of the world that could be useful for carrying out assessments of social innovation in marginalised rural areas. Existing methods are expected to include, for example: (i) those applied by European rural development policy evaluators and other multilateral international organizations for development cooperation projects and policy evaluation; and, (ii) those proposed by scientists and research centres, which may not have been applied on a regular basis to guide policy making.

More specifically, the Guidelines aim to set a common and standardized methodology for: (i) the identification, selection (or exclusion), categorization, analysis and reporting of existing methods, approaches and tools to evaluate SI and its impacts, in relation to the economic, social, environmental and governance dimensions of marginalised rural areas, at different levels; and (ii) analyse the policies that influence social innovation. By following the approach outlined in the Guidelines (specifically Annex 1), SIMRA partners working in Tasks 4.2 and 4.3 will be able to describe the characteristics of existing qualitative, quantitative and mixed methods which can be used and/or adapted to the need of creating a novel evaluative set of approaches and methods (Box 1).

### **Box 1. Work Package 4 partners and tasks: an overview**

Work Package 4 (WP4) is led by the University of Padova (Italy) (UNIPD).

Task 4.1 is led by UNIPD. UNIPD is responsible for the delivery of the present Guidelines (Task 4.1) as well as the delivery of the finalised set of methods (Task 4.4). The other partners formally involved are: the James Hutton Institute (HUT, UK), the Rural Development Company (RDC, UK) and the Institute of Forest Ecology of the Slovak Academy of Science (IFE-SAS, Slovakia).

Task 4.2 is led by the University of Padova (UNIPD, Italy). The other partners formally involved are: the International Center for Research on the Environment and the Economy (ICRE8, Greece), the University of Foggia (UNIFG, Italy), the European Forest Institute (EFI, Finland), the Agricultural Economics Research Institute (DLO, The Netherlands), the Rural Development Company (RDC, UK), the Accademia Europea per la





ricerca applicata ed il Perfezionamento Professionale Bolzano (EURAC, Italy) and the Centre Technologic Forestal de Catalunya (CTFC, Spain).

Task 4.2 includes four sub-tasks, which are tasked with the specific analysis of: i) methods to assess economic aspects of SI and its impacts (sub-task leader: ICRE8); ii) methods to assess social aspects of SI and its impacts (sub-task leader: UNIFG); iii) methods to assess natural capital and environmental aspects of SI and its impacts (sub-task leader: EFI); iv) methods to assess governance and institutional aspects of SI and its impacts (sub-task leader: DLO).

Task 4.3 is led by the University of Natural Resources and Life Sciences (BOKU, Austria). The other partners formally involved are: the James Hutton Institute (HUT, UK), University of Padova (UNIPD, Italy), the Agricultural Economics Research Institute (DLO, The Netherlands), the Centre for Development and Environment, University of Berne (UNIBE, Switzerland), the University of Oulu (UO, Finland), the Rural Development Company (RDC, UK), the Accademia Europea per la ricerca applicata ed il Perfezionamento Professionale Bolzano (EURAC, Italy), and the University of Foggia (UNIFG, Italy). Task 4.3 includes the development of methods for the analysis of policy that influences social innovation. Two sub-tasks will focus on: (i) Methods for the analysis of policy documents that support or hamper SI in MRAs (sub-task 4.3.1), and (ii) Methods for the analysis of relations between SI and policy processes (sub-task 4.3.2).

Task 4.4. is led by the University of Padova. The other partners formally involved are: the International Center for Research on the Environment and the Economy (ICRE8, Greece), the University of Foggia (UNIFG, Italy), the Agricultural Economics Research Institute (DLO, The Netherlands), the European Forest Institute (EFI, Finland), the James Hutton Institute (HUT, UK), the Accademia Europea per la ricerca applicata ed il Perfezionamento Professionale Bolzano (EURAC, Italy), the University of Natural Resources and Life Sciences (BOKU, Austria), the Centre Technologic Forestal de Catalunya (CTFC, Spain) and the Institute of Forest Ecology of the Slovak Academy of Science (IFE SAS, Slovakia).

Task 4.4 will test and refine the preliminary sets of methods as defined by Tasks 4.2 and 4.3 to establish the final set of methods for use in WP5 for collecting empirical data in CSs, and in WP6 for the policy processes. It will provide guidance for selecting the most appropriate combination of evaluation tools among the whole set proposed, that best fit with the needs of evaluations on a case-by-case basis. Task 4.4 will support WP5 and WP6 in the use of methods and will collect feedback from their application in the tests to refine the approaches before their application for empirical data collection across all of the CSs and policy processes. This is part of the Deliverable 4.2 "Set of methods to assess SI implications at different levels: instructions for WPs 5&6" (Month 16).

Task 4.4 will identify a final comprehensive set of methods that: (i) is based on results of tested methods in existing SI cases; (ii) integrates different assessment strategies, criteria, methodologies and operational tools; (ii) complements existing European frameworks on monitoring and evaluation; and (iii) considers, singularly and in an integrated way, the main components of territorial capital, e.g. economic, social, environmental as well as governance and institutional. This final set will include a guide for helping evaluators choose (through sequential keys) the appropriate mix of methods and operational tools, depending on the evaluation needs (e.g. objectives, *ex-post*, *in itinere* or *ex-ante*, scale of evaluation), and identify integrations and differences with respect to existing assessment frameworks (e.g. EU CMEF). Task 4.4 will be responsible for the final Deliverable 4.3 "Manual on Innovative Methods to assess SI and its impacts" (Month 40).

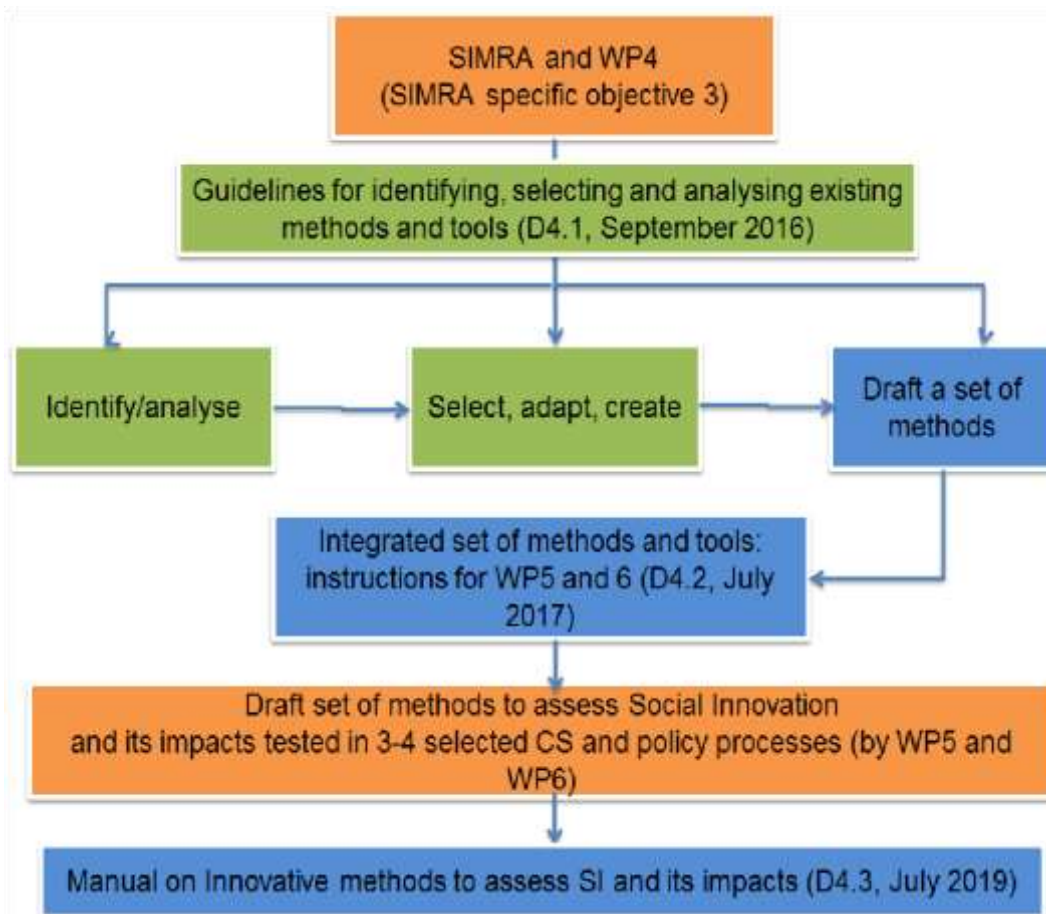


### 3. Integration of the Guidelines with SIMRA Work Packages

Delivery of the Guidelines (Task 4.1) will guide the activities of **Task 4.2**, where SIMRA partners are involved in the specific assessment of the economic aspects of social innovation and impacts (led by ICRE8), social aspects (University of Foggia), natural capital and environmental aspects (EFI) and governance and institutional aspects (DLO), and **Task 4.3** (BOKU), to support the selection of methods for the analysis of policy implications of and for social innovation. Task 4.1 is expected to continuously interact with the leaders of **WP2**<sup>5</sup> to guarantee consistency and integration in the Guidelines of feedback provided by stakeholders about criteria and priority of methods to be used (See Box 2 for results of the first online stakeholder consultation held between July and August 2016).

Task 4.1 is also expected to interact with **WP3** to ensure consistency in the use of terminology as related to the definition of marginalised rural areas. The work of Tasks 4.2 and 4.3 will input to Task 4.4, which will also establish the final set of methods for use in **WP5** for collecting empirical data in the case study areas, and for analysing the policy processes in **WP6** through an appropriate analytical approach. As described above, the test results of WP5 and WP6 will feed into Task 4.4 and lead to the final Deliverable 4.3 “Manual on Innovative Methods to assess SI and its impacts” (Month 40).

A flowchart synthetically presenting the different phases of development and activities related to objective 3 is presented in Figure 1.



**Figure 1.** Flowchart showing final development of the Manual on innovative methods to assess SI and its impacts, expected in July 2019.

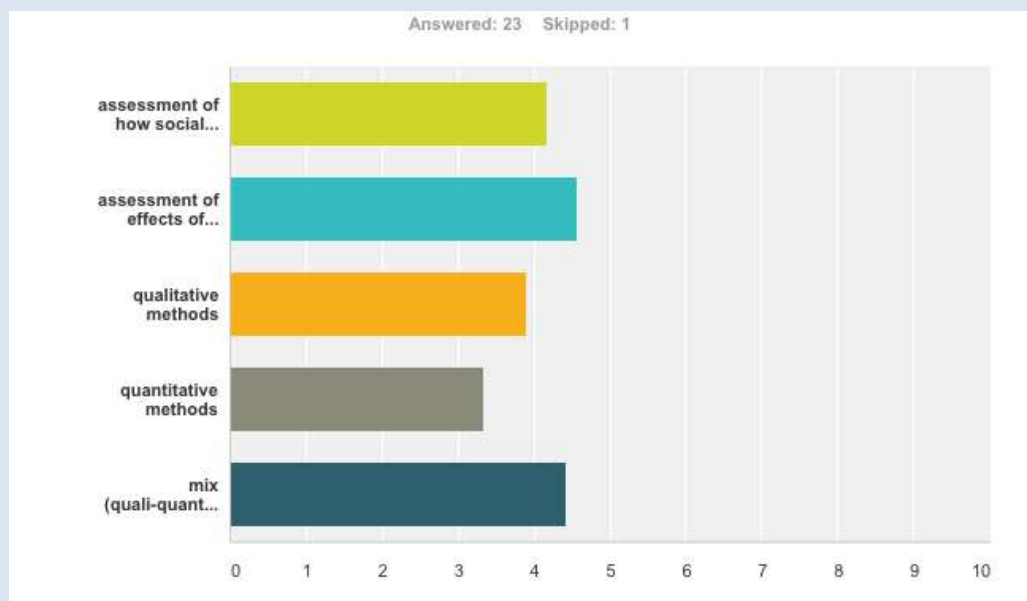
<sup>5</sup> SIMRA is carried out by a Consortium of 25 partners tasked with the delivery of seven Working Packages.



### 3.1 Cross-cutting efforts: Operationalizing stakeholder engagement in SIMRA (Task 2.3)

As part of SIMRA's cross-cutting partnership, in July 2016, SIMRA partners (WP2) submitted the first short survey on stakeholders' perceptions of social innovation to the invited members of the Social Innovation Think Tanks (SITT). Of 34 online invitations, there were 24 respondents, one of which partial (see Box 2). In this document we focus on Question 5, which relates to the importance of assessment and on methods for evaluating social innovation (see Box 2). The members of the SITT were invited to the first stakeholder meeting in Bratislava, held between 26 and 28 October 2016. The results of the survey were shared with the SITT group during the meeting (Box 2).

Box 2. Results of survey of members of SIMRA Social Innovation Think Tank (July-August 2016)



**Figure 2.** Q5: Based on your experience, how would you grade (on a scale from 0 to 5) the importance of assessing social innovation and the type of method most appropriate for use in its evaluation?

The results show that the majority of respondents consider the assessment of social effects of social innovation (78.3%) to be very important (light blue bar in Figure 2) as compared to the assessment of how social innovation is organised and implemented (green bar in Figure 2). The majority of respondents consider mixed methods as the most appropriate (very important) means of evaluation (65.2%) (dark green bar in Figure 2), followed by qualitative methods (26.1%) and then quantitative methods (17.4%) (respectively orange and grey bars in Figure 2). Further, 43.5% of respondents consider qualitative methods as rather important, and 17.4% consider mixed methods as rather important (Figure 2). The information was shared with the SITT group in October 2016, in Bratislava.



## 4. Definition of key terms

This section defines a common language regarding evaluation approaches, methods and tools for measuring social innovation and its impacts in marginalised rural areas. Some definitions are provisional and will be finalized with inputs from WP2 and WP3 is provided (by Month 9). The key terms, with reference to the subsection number, are:

- 4.1 Innovation
- 4.2 Social innovation (provisional definitions: to be refined with inputs from other WPs)
- 4.3 Marginalised Rural Areas (provisional definitions: to be refined with inputs from other WPs)
- 4.4 Evaluation and assessment
- 4.5 Result chain and results model
- 4.6 Impact and impact assessment
- 4.7 Framework, approach, methods and tools.

### 4.1 Innovation

At an international level there has been extensive debate regarding the most appropriate and comprehensive definition of innovation. Because of the complexity of the field as well as its inter-sectorial and interdisciplinary focus, SIMRA Task 4.1 has provisionally adopted the definition provided by the OECD and Eurostat (2005) in the “Oslo Manual” in the present Guidelines (Box 3).

#### Box 3. Definition of innovation

“An **innovation** is the implementation of a new or significantly improved product (good or service), or process, a new marketing method, or a new organisational method in business practices, workplace organisation or external relations” (OECD and Eurostat, 2005: 46).

The OSLO Manual identifies four types of innovation: (i) product innovations, (ii) process innovations, (iii) marketing innovations, (iv) organisational innovations. They are defined as follows (OECD and Eurostat, 2005: 48-51):

- Product innovation** is the introduction of a good or service that is new or significantly improved with respect to its characteristics or intended uses. This includes significant improvements in technical specifications, components and materials, incorporated software, user friendliness or other functional characteristics.
- Process innovation** is the implementation of a new or significantly improved production or delivery method. This includes significant changes in techniques, equipment and/or software.
- Marketing innovation** is the implementation of a new marketing method involving significant changes in product design or packaging, product placement, product promotion or pricing.
- Organisational innovation** is the implementation of a new organisational method in the firm’s business practices, workplace organisation or external relations.

The Oslo Manual also states that, “innovation activities are all scientific, technological, organisational, financial and commercial steps which actually, or are intended to, lead to the implementation of innovations. Some innovation activities are themselves innovative, others are not novel activities but are necessary for the implementation of innovations. Innovation activities also include Research and Development (R&D) that is not directly related to the development of a specific activity” (OECD and Eurostat, 2005: 47). The most recent edition of the Oslo Manual moves beyond innovation in technological products and processes by including innovation across the service sectors, through



consideration of marketing and organisational innovation. However, the definition provided is still mostly related to technical and economic innovations.

The extent to which the general definition of innovation may be relevant to social innovation in the context of marginalised rural areas has not been reported in the scientific or technical literature, save for context specific cases. For example, the LEADER European Observatory analysed 80 case studies to take stock of how the LEADER Community Initiative had been able to “support innovative, demonstrative and transferable operations illustrating the new paths that rural development could follow” (LEADER European Observatory, 1997).<sup>6</sup> As innovation includes meta-economic fields, it may be possible to identify overlaps between innovation and social innovation, a possibility which SIMRA partners will address during the programme of research.

## 4.2 Social innovation

While the academic debate on social innovation dates back to the turn of the 20<sup>th</sup> Century, renewed interest in the concept and the many definitions provided have not yet coalesced around one which is widely accepted and adopted (Nicholls *et al.*, 2015). In practice, however, the following factors are generally agreed to be constituent elements of social innovation (EC, 2013 and 2015):

- **New institutional environments and arrangements** (e.g. new formal or informal rules, new administrative procedures);
- **New governance arrangements** (e.g. new cooperation systems, new negotiated agreements);
- **New fields of activity** (e.g. social entrepreneurship and social enterprises, new social uses of forests);
- **New actors' relationships and interactions** (e.g. new forms of collaboration, new networks; new attitudes, values and behaviours).

In general, from a theoretical viewpoint, social innovation is characterized by the development and implementation of new ideas (products, services and models) that meet social needs and create new social relationships or collaborations. This is expressed as the capacity to create and implement new ideas that are likely to deliver value (thus meeting individual economic interests), and contemporarily respond to social demands (thus meeting societal needs), that are traditionally not addressed by markets or existing institutions. Thus, it can thus be as “new ideas that address unmet social needs – and that work” (Mulgan *et al.*, 2007, as cited in Nicholls *et al.*, 2015: 2).

Social innovation is distinct from classical approaches to innovation. Rather than focusing on introducing new types of production or exploiting new markets in and of itself, it satisfies new needs not provided by the market (even if markets intervene later) or creates new, more satisfactory ways of inclusion, e.g. in terms of giving people a place and a role in production (OECD, 2011, p. 1, as cited in Nicholls *et al.*, 2015: 3). Further, social innovation incorporates the creation of goods and services within a range of different types of enterprises, including cooperatives, mutual enterprises, for profit and not-for-profit organisations, as a new way to create and redistribute wealth. These enterprises can be profitable, but they are social if the surplus is shared amongst the shareholders such that the benefits are advantageous for society and the community as a whole (Jenson and Harrison, 2013).

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<sup>6</sup> For a summary of the case studies, see the LEADER Library of Rural Development [online] <http://ec.europa.eu/agriculture/rur/leader2/rural-en/biblio/index.htm>. This bibliography is relevant because these reflections once coined the approach of what is now epitomized as the LEADER approach, which at the European level is now regulated by Art. 32-35 of the Common Provisions Regulation 1303/2013 governing the European Structural and Investment Funds. The method is a blend of diverse roots and approaches originating in endogenous local development, but it is the EU which provides the platform to reflect and further develop the approach (nowadays called Community-Led Local Development/CLLD) (pers. comm. Robert Lukesch).



Finally, as shown by Bosworth et al. (2016), social innovation can be applied to each of the five elements for innovation (Table 1).

**Table 1.** Schumpeterian innovation versus social innovation (cited from Bosworth et al., 2016: 5)

Schumpeterian innovation	Social innovation
Product	New outcomes: new businesses, organisations, services or products
Process/methods of production	New approaches to value creation and policy/service delivery, new people involved and shifting control of processes
Exploitation of new markets	Serving the breadth of society; responding to social needs (local demand)
Inputs	Maximizing the use of local resources, including human and social capital
Organisational innovations	Network approaches and innovative partnerships

For the purpose of these Guidelines, in advance of refinements based on the development of a peer reviewed paper in WP2, the definition of the Bureau of European Policy Advisors (BEPA, 2010) has been adopted (Box 4). This provides direct links to the social demands which underlie social innovation.

**Box 4. Definition of social innovation**

“**Social innovation** relates to the development of new forms of organisation and interactions to respond to social issues (the process dimension). It aims at addressing (the outcome dimension):

- **Social demands** that are traditionally not addressed by the market or existing institutions and are directed towards vulnerable groups in society (**Approach 1**)
- **Societal challenges** in which the boundary between ‘social’ and ‘economic’ blurs, and which are directed towards society as a whole (**Approach 2**)
- The need to **reform society** in the direction of a more participative arena where empowerment and learning are sources and outcomes of well-being (**Approach 3**)” (BEPA, 2010: 43).

It should be noted that partners of SIMRA have been working on conceptualising the definition for social innovation (Slee et al., draft). From this two further definitions have been proposed, as follow:

- “New social practices which respond to recent societal challenges. It comprises the creation of novel/reconfigured social arrangements or networks between diverse actors, necessarily including civil society, which may involve the creation of new institutions or governance arrangements in the hope that enhanced development outcomes might arise with respect to economy, society or environment or any combination thereof” (Slee et al., draft);
- “Social innovation is a reconfiguration of social relations that delivers outcomes on well-being” (Sarkki, 2016 – pers. com.).



Key-elements of these two definitions are:

- a focus on the process, i.e. how social relations are re-organized and managed to deliver outcomes on well-being;
- well-being outcomes for the economy, society, the environment, governance and institutions, in different possible combinations. All 4 of these domains relate to well-being;
- well-being as the final aim of SI and thus representing the impact of SI: it refers to both individual and collective needs. Increasing well-being for specific groups of individuals determines, directly or indirectly, an increase in the well-being of the whole society.

As work on the definition of Social Innovation progresses in the academic community, there are some salient issues to be discussed. First, in defining social innovation and in developing methods and tools to assess social innovation in marginalised rural areas, care must be taken to avoid renaming or relabelling all innovative initiatives that have a social dimension as “social innovations”. One way to address this is by considering, in the evaluation approach, both questions of process and outcome. There is general agreement that social innovations may be analysed more usefully by focusing on the processes that lead to reconfiguration - including the elements that reshape social interactions - and on the social outcomes that derive from the reconfiguration and the impact on society as a whole (Bosworth et al., 2016). Second, unlike innovation, social innovation could happen in different contexts or in one territory but be considered innovative in a different territory (Bock, 2016; Bosworth et al., 2016). In this case, imitating practices from elsewhere, but adapting them to local circumstances through the development of new relationships and engagement of new actors would be considered a social innovation in its own right.

### **4.3 Marginalised Rural Areas**

SIMRA has identified rural areas, and more specifically marginalised rural areas, as particularly relevant places for analysing the potential of social innovation ideas, their implementation, and the influence that policies may have in terms of supporting or hindering SI itself (e.g. Bosworth et al. 2016). Approaches, methods, tools of assessment and analysis identified in WP4 are likely to be appropriate for capturing the nuances of SI in MRAs. An element of the work of SIMRA will be to define precisely whether and how an approach, method or tool may be applied or applicable (or not, or partially and with adaptations) for the assessment of SI and its impacts and in the analysis of the influence of policy on SI in marginalised rural areas.

As identified in Slee et al. (draft), MRAs are characterized by social needs and societal challenges, which are different than those of urban areas (at least in European contexts). For example, many rural areas (e.g. mountains, islands and remote areas) face difficulties in accessing telecommunication services, physical and cultural isolation, and difficult access to social services (e.g. health care, social assistance, schools) and material services (e.g. shops and post offices). People living in rural areas often experience lower levels of welfare services, and typically disadvantaged groups such as elders, women, children and youth (e.g. those who do not own/drive a car and are on a low income) are further marginalised or placed in a disadvantaged position. In summary, they are not likely to have the same opportunities as similar groups living in urban areas.

Further, due to major budgetary constraints and financial crises since 2008, the public sector in many countries has been reducing public services and associated expenses by re-centralization policies (e.g. small, peripheral hospitals in mountain areas are being shut down) in many rural areas. Private investments and business activities which are able to ensure employment opportunities may be less likely to open and/or remain viable in remote rural areas, where both production and transportation



costs are higher and logistical arrangements more complex. Therefore, rural populations may be more likely to depend on urban and global systems, as well as on each other for their livelihoods (Castle, 2002; Nath et al., 2010; Górriz-Mifsud et al., 2016). At the same time, smaller communities, in some cases characterized by more cohesive and socially-aware structures (Tonnie, 1955; Reimer, 1997; Hillyard, 2007), may “provide a seemingly conducive context for using the potential of social innovation” (Bosworth et al., 2016: 2).

However, a widely used definition of marginalised rural areas does not yet exist, which is the challenge being addressed in WP3. The Organisation for Economic Co-operation and Development (OECD) recognizes predominately rural areas as “these areas in which more than 50% of the population lives in rural communes. Rural communes are the communes with population density below 150 inhabitants / Km<sup>2</sup>.” (OECD, 2011)<sup>7</sup>. Whilst this definition has been criticised and it is being revised,<sup>8</sup> it has been in operational use in different contexts. In addition, rural areas have been characterized by differing processes of development and natural disadvantages which have contributed to the marginalisation of some areas (Bremen et al., 2010). The European Union has recognized natural and demographic disadvantages in the northernmost regions, islands, cross-border and mountain regions (Box 5).

#### Box 5. Treaty of Lisbon. 2007

‘Among the regions concerned, particular attention shall be paid to rural areas, areas affected by industrial transition, and **regions which suffer from severe and permanent natural or demographic handicaps** such as the northernmost regions with very low population density and island, cross-border and mountain regions.’ (Treaty of Lisbon, Amending the Treaty on European Union and the Treaty establishing the European Community (2007/C 306/01), article 158)

As described in the UN Demographic Yearbook, the definition of “urban” follows the definitions of national censuses (UN Statistics, 2014)<sup>9</sup>. However, to date, marginalised rural areas have not been defined as an operational concept. In the EU, the 5<sup>th</sup> Cohesion Report identifies 6 regional typologies at the NUTS-3 level (Dijkstra and Poelman, 2015) which intersect but do not wholly comprise, marginalised rural territories<sup>10</sup>:

#### 1. Urban-rural typology including remoteness

<sup>7</sup> The OECD definition of rural areas was only taken up by a minority of national and regional Rural Development Programmes for the period 2007-2013. Member States or Regions use a wide variety of territorial definition to target their rural areas. Several reasons were provided in order to justify the choice of an alternative (to the OECD) definition of rural areas. These include the “limited” (in several cases) ability of the OECD definition to portray the socio-geographical needs of the country or regional heterogeneity, the desire for a more relevant (nationally) distinction between rural and urban areas, a commitment to earlier national definitions, and the desire to utilize a more policy-priorities-driven tool for the identification of area-specific development needs. [<https://epthinktank.eu/2012/11/28/4589/>]

<sup>8</sup> The European Union presents a new typology of urban-rural identification: 'predominantly rural', 'intermediate' or 'predominantly urban' regions based on a variation of the OECD methodology. The new typology builds on a simple two-step approach to identify population in urban areas:

1. a population density threshold (300 inhabitants per km<sup>2</sup>) applied to grid cells of 1 km<sup>2</sup>;
2. a minimum size threshold (5 000 inhabitants) applied to grouped grid cells above the density threshold.

The population living in rural areas is the population living outside the urban areas identified through the method described above ([http://ec.europa.eu/eurostat/statistics-explained/index.php/Urban-rural\\_typology](http://ec.europa.eu/eurostat/statistics-explained/index.php/Urban-rural_typology)).

<sup>9</sup> Demographic Yearbook 2014, Table 6.

<http://unstats.un.org/unsd/demographic/products/dyb/dyb2014/notes/notes06.pdf>





2. Metro regions
3. Border regions
4. Mountain regions
5. Sparsely-populated regions.

The problem of definition is compounded by the goal of SIMRA of considering the entire Mediterranean basin, given that the countries to the south of the Mediterranean have different definitions and different systems for collecting statistical data. Another question to be addressed is the difference between marginal, marginalised and disadvantaged areas.

For both questions, WP3 is developing a comprehensive definition that will provide scientific-based knowledge and understanding and be included in the in the specific Deliverable.

#### 4.4 Evaluation and assessment

There are many different frameworks for evaluation and definitions of the concept. *“An evaluation is based on an, as systematic and objective as possible, assessment of an ongoing or completed policy, program or project, included in its conception, formulation, implementation and results”* (EC, 2004).

Evaluation is a periodic assessment, which seeks to answer ‘why’ questions about specific performance and outcomes (see Box 6 and Box 7). *“In other words, evaluation seeks to prove that changes in targets are due only to the specific policies undertaken”* (Khandker et al., 2010: 8). These analytical assessments emphasize *“reliability and usefulness of findings. Their role is to improve information and reduce uncertainty”* (OECD, 1999: 6). They aim to determine the relevance and fulfilment of objectives, efficiency, effectiveness, impact and sustainability of the implemented actions (Morra-Imas and Rist, 2009; Kandkher et al., 2010; Gertler et al., 2012). In many cases evaluation draws on monitoring activities, although the reverse does not happen, i.e. monitoring does not draw on evaluation.

##### **Box 6. The definition of evaluation according to the OECD (Morra Imas and Rist, 2009:9)**

**Evaluation** refers to the process of determining the worth or significance of an activity, policy, or program. [It is] as systematic and objective as possible, of a planned, on-going, or completed intervention.

##### **Box 7. The definition of Evaluation according to the Common Evaluation and Monitoring Framework of the EC DG Agri (2015: 66)**

**Evaluation** is a process of judgement of interventions according to their results, impacts and the needs they aim to satisfy. Evaluation looks at the **effectiveness**, the **efficiency**, the **coherence** and at the **relevance** of an intervention.

Sometimes evaluation and valuation are used as synonymous, as they both are about comparisons. However, they have different meanings and contents. While **valuation** is about comparing objects, and is defined as an estimation of something's worth (a good), **evaluation** focuses on the relative merits of actions (projects) (Dasgupta, 1999). Valuation is commonly carried out through the use of purely economic-oriented and quantitative-based cost-benefit analysis. However, for assessing social innovation, participatory techniques and qualitative methods (or mixed approaches) would be needed to provide a more comprehensive analysis of influence on social innovation, and the impacts of social innovation in rural areas (Garbarino and Holland, 2009).



In general, the evaluation of any policy, programme and project is based upon principles, standards, types of evaluation, criteria, evaluation questions and indicators, which are expanded upon in the following sub-sections:

#### 4.4.1 Principles of evaluation

4.4.2 Standards of evaluation (the fit with social innovation is difficult; here it is about who organizes the evaluation, and whether it is based on a self-assessment or an external evaluation)

4.4.3 Types of evaluation (e.g. ex-ante and ex-post; summative and formative; participatory and non-participatory). The latter is often invoked and seen as a way to work with communities in designing their own pathways, but it is not always implemented due complexity in design and implementation.

4.4.4 Criteria of evaluation

4.4.5 Indicators of evaluation

#### **4.4.1 Principles of evaluation**

“A principle is a fundamental law or rule, serving as a basis for reasoning and action [and] explicit elements of a goal” (Lammerts van Bueren and Blom, 1997). Principles of evaluation can relate to the design, implementation and delivery of the results, and include specific reference to the purposes of the evaluation (i.e. improve future policy), impartiality and independence, credibility and usefulness, participation of donors and recipients and cooperation (OECD, 1991; 2011; 2013 a; 201b).

#### **4.4.2 Standards of evaluation**

Standards of evaluation refer to overarching considerations (e.g. free and open evaluation process, evaluation ethics, partnership approaches, coordination, capacity development and quality control), as well as to the stages of planning and design, implementation and reporting, as well as learning and follow-up (OECD, 2013a). These standards are relevant to the development of evaluation methods in the context of participatory approaches such as those to be adopted by SIMRA in the case study areas and through the SI Think Tank. It applies to cases where multiple end users may be involved, and when deciding who should be given a priority in the course of an evaluation; e.g. standards thus apply to stakeholder engagement and governance. In these cases, the methods adopted could include community workshops, mapping and transect walks (Morra-lmas and Rist, 2009).

#### **4.4.3 Types of evaluation**

Evaluation is divided into different types, depending on the methods used (qualitative, quantitative and mixed), the manager of the evaluation (internal, external), the final use (formative or summative), participation (participatory, not participatory) and in relation to the project programme or policy cycle (ex-ante, on going or interim, final, ex-post) (EC, 2004).

Differentiation of the most common types of evaluation is based on the scope and context (Morra-lmas and Rist, 2009), of which:

1. the process-oriented evaluation approach focuses on *how* the process is organized and implemented;
2. the result-oriented evaluation approach focuses on *what* are the contents of decisions and their consequences and impacts (short-medium-long terms / ecological, economic, social impacts).



Four evaluation phases can be considered: *ex ante*, *in itinere* formative, *in itinere* summative and *ex post*. These can be carried out:

1. Before the policy/programme/project is implemented (*ex ante*);
2. During the policy/programme/project implementation (*in itinere*, including both mid-term as summative and ongoing as formative, depending on the final use);
3. After the policy/programme/project has been implemented or completed (*ex post*).

The policy cycle phases can be defined in different ways. For the purposes of the work in Task 4.2, these are conception, formulation, implementation, and evaluation phases (EC, 2004; Krott, 2005). However, this is done with the understanding that the policy cycle should not be seen simplistically and in a normative way, nor applied in a formulaic way. Rather, attention should be paid to “the existence of numerous decision makers, the high degree of competition and contestability among sources of policy advice, and the substantial impact of previous policies on new efforts” (Howard, 2005). The simplification introduced by using static phases along a linear temporal scale does not take into account the iterative and dynamic processes common to real life deliberative policy cycle phases (see Buonanno and Nugent, 2013; Dunn, 2015; Shannon, 2015; Kouplevatskaya-Buttoud and Buttoud, 2006).

Table 2 compares the definitions used to describe the evaluation phases provided by the OECD (Morra-Imas and Rist, 2009) and those of DG Agri in the Common Monitoring and Evaluation Framework (EC, 2015).

As noted above, approaches and methods to carry out different types of evaluation can be qualitative, quantitative or mixed<sup>11</sup>. In the evaluation of the EU Rural Development Programme, the emphasis on quantitative methods has moved increasingly to include mixed methods and approaches to evaluate how needs are addressed and goals achieved (Cristiano and Proietti, 2014; Vidueira et al., 2014; Yang et al., 2015).<sup>12</sup> For example, Yang et al. (2015) propose: (i) spatial econometrics; (ii) stakeholder analysis; and, (iii) qualitative interviews as a way to address the weaknesses of the Common Monitoring and Evaluation Framework. This shows “how policy design, stakeholder's roles, and spatial characteristics impact on implementation and environmental targeting capacity, highlighting the multifaceted nature of the determinants of policy performance”. Researchers have tried to apply new methods and approaches to the evaluation of social innovation (Dayson, 2016).

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<sup>11</sup> Qualitative and quantitative methods and possible tools are categorised and analysed in Annex 1 for the document “Guidelines for the *ex post* evaluation of 2007-2013 RPDs” (European Communities, 2014).

<sup>12</sup> The results of the short survey to SITT partners indicate that mixed methods are also considered to be the most appropriate (see Figure 2).



**Table 2.** Comparison between terminologies related to evaluation as used by the OECD (Morra-Imas and Rist, 2009) and EC DG Agri (EC, 2015) with regard to rural development.

OECD	EC CMEF
Ex-ante or prospective evaluations often include programme theory reconstruction or assessment and scenario studies, as well as summaries of existing research and evaluation to ascertain the empirical support for proposed initiatives (p. 11).	Ex-ante evaluation: Evaluation which is performed before policy implementation. Its purpose is to gather information and to carry out analyses which help to ensure that an intervention is as relevant and coherent as possible. Its conclusions are meant to be integrated at the time decisions are made. Ex-ante evaluation mainly concerns an analysis of context, though it will also provide an opportunity for specifying the intervention mechanisms in terms of what already exists. Moreover, it provides the necessary basis for monitoring and future evaluations by ensuring that there are explicit and, where possible, quantified objectives.
A formative evaluation looks into the ways in which a program, policy, or project is implemented (p. 9). Formative evaluations focus on improvement.	Ongoing evaluation: Evaluation which extends throughout the period of implementation of a policy. Ongoing evaluation includes all the evaluation activities to be carried out during the whole period. The system of ongoing evaluation shall ensure capacity building early on and continuity of evaluation-related activities.
A summative evaluation, often called an outcome or impact evaluation, is conducted at the end of an intervention or on a mature intervention to determine the extent to which anticipated results were realized (p. 10). Summative evaluations focus on results.	Ex-post evaluation: Evaluation which recapitulates and judges an intervention when it is over. It aims at accounting for the use of resources, the achievement of intended and unintended effects. It also tries to draw conclusions which can be generalised to other interventions. For impacts to have the time to materialise, ex post evaluations need to be performed sometime after implementation of the intervention.

The LEADER library on rural development includes the methodology designed to assess the added value of the LEADER Approach (See Table 3). The relevant document (European Leader Observatory, 1997<sup>13</sup>) describes the features that characterise the LEADER approach, including the questions and evaluation issues for each feature (analysis), and the information needed at the national, regional and European levels.

<sup>13</sup> <http://ec.europa.eu/agriculture/rur/leader2/rural-en/biblio/spec/contents.htm>



**Table 3.** Assessing the added value of the LEADER approach: a summary of the three methodological steps identified by the European LEADER Observatory (1997).

<b>Features of LEADER</b>	<b>Analysis of each feature</b>	<b>Information needs at the national/regional and European level</b>
(1) The area-based approach, (2) The bottom-up approach, (3) The local groups (horizontal partnerships), (4) The innovative character of actions, (5) The linkage between actions, i.e. the integrated and multi-sectoral approach, (6) Networking, including transnational cooperation, (7) Methods of management and financing.	(1) A proposed definition to have a common reference, (2) An outline of the motivation for its introduction in LEADER in order to clarify the objectives of its presence in a rural development programme; in this way we have the terms of reference for evaluating the results and the impact, (3) A proposal related to the main questions which will be used to evaluate each specific feature, (4) A short description of the initial situation to show the context, (5) The description of the processes that were activated by its implementation, (6) The results and impact, and the lessons learned.	(1) An assessment of the effectiveness and efficiency of the different institutional levels in the establishment of delivery guidelines and procedures, (2) Identifying models and best practice by comparing different approaches and by looking for ways to explain the differences in the performances of the groups, (3) Evaluating the effectiveness and efficiency of the different institutional levels in making external resources available to the local groups.

The intervention logic “is the logical link between the problem that needs to be tackled (or the objective that needs to be pursued), the underlying drivers of the problem, and the policy options (or the EU actions actually taken) available to address the problem or achieve the objective. The intervention logic is used in both prospective Impact Assessments and retrospective evaluations” (EC, 2015: 10). What DG-Agri refers to as intervention logic is in fact the theory of change. Therefore, the evaluation should explain what it actually does, which is to specifically verify the theory of change of a public intervention. For example, in the Udney case<sup>14</sup>, the problem of unemployment was addressed by linking together renewable energy production, the creation of a social enterprise, and subsequent engagement in the delivery of social services (see a similar case in Zografos, 2007). This used a multi-funding approach, drawing on a number of measures from the Rural Development Programme as well as from the European Social Fund to mobilize the local community.

The evaluation process should capture how, through one of the measures, an intervention has actually addressed the initial problem, and how the specific intervention has connected and integrated with other interventions. Likewise, the LEADER approach seeks to adopt an intervention logic which is closely related to the needs of the territories in which it operates (Dax et al., 2013). In the 2014-2020 Programme period, the EC has specifically advocated a multi-fund approach that can support multi-pronged intervention strategies in the LEADER territories.

<sup>14</sup> A case of social innovation based on the creation of a locally-based association which built a community-owned wind turbiny to produce energy in a rural area in UK, presented and discussed at the SIMRA kick-off meeting in Aberdeen – May 2016



#### 4.4.4 Criteria of evaluation

To evaluate whether an intervention has led to the intended results, impacts and achieved what was needed, in other words to answer the question “*did it work?*”, criteria and indicators need to be established. A criterion identifies the “characteristic on which the judgement of an intervention can be based. An evaluation criterion must be explicit, that is, it must clearly show if the intervention will be judged better or worse. An intervention is generally judged using several criteria” (EC, 2015: 65).

Given that there are differences between evaluation frameworks and approaches, there are also many different criteria that can be adopted, e.g. in terms of practicability and feasibility of implementation, legitimacy, acceptability and desirability, as well as simplicity, accuracy, transparency, and relevance of the evidence. For the purposes of the definitions and the Guidelines in this report, we consider the criteria first proposed by the OECD Development Assistance Committee (OECD, 1991) and adopted by EC DG Agri. These include relevance, effectiveness, efficiency, impact and sustainability (OECD, 1991)<sup>15</sup>. EC DG Agri defines four of these criteria in the Common Evaluation and Monitoring Framework (EC, 2015) (Table 4), which may be aided by, or revised and integrated as part of the SIMRA project.

**Table 4.** Definitions for the criteria of relevance, effectiveness, efficiency and impact (EC, 2015: 66 onwards).

Criterion	Definition
<b>Relevance</b>	The extent to which an intervention's objectives are pertinent to needs, problems and issues. Questions of relevance are particularly important in ex ante evaluation because the focus is on the strategy chosen or its justification.
<b>Effectiveness</b>	The extent to which objectives pursued by an intervention are achieved. An effectiveness indicator is calculated by relating an output, result or impact indicator to a quantified objective.
<b>Efficiency</b>	Best relationship between resources employed and results achieved in pursuing a given objective through an intervention. Efficiency addresses the question whether the more effects could have been obtained with the same budget or whether the same effects could have been obtained at a lower cost? An indicator of efficiency is calculated by dividing the budgetary inputs mobilised by the quantity of effects obtained.
<b>Impact</b>	In an impact assessment process, the term impact describes all the changes which are expected to happen due to the implementation and application of a given policy option/intervention. Such impacts may occur over different timescales, affect different actors and be relevant at different scales (local, regional, national and EU). In an evaluation context, impact refers to the changes associated with a particular intervention which occur over the longer term.

While EC DG Agri has not defined sustainability, we refer to the original definition provided by the OECD (2010 [1991]). The OECD defines sustainability as “the continuation of benefits from a development intervention after major development assistance has been completed. The probability

<sup>15</sup> See the OECD DAC Criteria for Evaluating Development Assistance website: <https://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>



of continued long-term benefits. The resilience to risk of the net benefit flows over time.” The relevant website now defines it as “concerned with measuring whether the benefits of an activity are likely to continue after donor funding has been withdrawn. Projects need to be environmentally as well as financially sustainable”.

This definition helps to ensure that any activity or project which supports social innovation complies with the pillars of economic, social and environmental sustainability (Baker and Mehmood, 2015).

#### 4.4.5 Indicators of evaluation

The EC define an indicator as “a tool to measure the achievement of an objective” (EC, 2015: 14). Also, “an indicator is a quantitative or qualitative parameter which can be assessed in relation to a criterion. It describes in an objectively verifiable and unambiguous way features of the ecosystem [or economy] or the related social system [education, health care], or it describes elements of prevailing policy and management conditions and human driven processes indicative of the state of the eco and social system” (Lammerts van Bueren and Blom, 1997: 22).

Indicators reduce the number of parameters and measurements needed to give an exact description of a situation and simplify the communication process on the results of measurement. Indicators can be simple and quantitative (requires only one measurement), complex and quantitative, compound, indices, proxy indicators, or qualitative (open-ended and focused) (Guijt and Woodhill, 2002). They can be categorised according to the following (see Annex 1, Section 3):

- Whether they are related to the scope of application of the indicator: Input/Process/Results-Outcome/Impact, Performance-based or System-based;
- The source of data used: Primary, Secondary; Fact-based or Perception-based;
- Their reliability, in terms of whether they comply to RACER, SMART, or other criteria (see Tables 6 and 7).

Input/Process indicators are generally referred to as indirect indicators, as they reflect elements of the management and policy system (existence and characteristic of a management plan or law, financial commitments to the programme or measure). Outcome indicators are direct indicators which describe an actual condition of an element of a system (Lammerts van Bueren and Blom, 1997: 22).

The European Regulation (EU) No 834/2014 of 22 July 2014 “laying down rules for the application of the common monitoring and evaluation framework of the common agricultural policy” establishes a set of four overarching common indicators in Article 1.a to d:

**Impact indicators** reflect the areas where the CAP is expected to have an influence;

**Result indicators** reflect the main achievements of CAP specific objectives,

**Output indicators** reflect the implementation of related CAP instruments;

**Context indicators** reflect relevant aspects of the general contextual trends that are likely to have an influence on the implementation, achievements and performance of the CAP.

In the Common Monitoring and Evaluation Framework for the 2016-2020 period, these four types of indicators can be used at the level of the Programme, measures or interventions. Examples are provided in Table 5.



**Table 5.** Examples of indicators drawn from the CMEF (EC, 2015: 17-2).

Indicator	Example
<b>Impact indicators</b> for CAP general objectives (outcome of intervention beyond immediate effects)	I.14 Rural employment rate I.15 Degree of rural poverty I.16 Rural GDP per capita
<b>Result indicators</b> for Pillar II (direct and immediate effect of interventions)	R.04_PII percentage of agricultural holdings receiving support for participating in quality schemes, local markets and short supply circuits, and producer groups/organisations (focus area 3A)
<b>Output indicators</b> for Pillar II (activities directly realised by interventions)	O.16_PII Number of EIP groups supported, number of EIP operations supported and number and type of partners in EIP groups.
<b>Context indicators</b> (general contextual trends (previously included baseline indicators))	C.32 Areas facing natural and other specific constraints (ANCs) (less favoured areas)

Performance indicators “compare actual conditions with a specific set of reference conditions”, or the current situation with a desired situation (target) (Smeets and Weterings, 1999: 11). Performance indicators are used in results-based monitoring and evaluation frameworks to measure whether outcomes are being achieved (Kusek and Rist, 2004). EU Regulation No 808/2014 of 17 July 2014, “laying down rules for the application of Regulation (EU) No 1305/2013 of the European Parliament and of the Council on support for rural development by the European Agricultural Fund for Rural Development (EAFRD)”, specifies the indicators for the implementation and evaluation of the RDP programme. It includes the list of indicators to be used for the establishment of quantified targets in relation to rural development focus areas and a set of pre-defined indicators for the performance review of the Common Strategic Framework (Annex II).

The Guidelines for ex-post evaluation of the 2007-2013 RDPs distinguishes between baseline indicators and input indicators. Baseline indicators “are used to assess the starting point of the programme, and provided the basis for the SWOT analysis and definition of the programme strategy. They inform on the conditions (environmental, social and economic) within the territory before the RDP was implemented” (EC, 2014a: 37). Baseline indicators are further categorised into “those directly related to the wider objectives of the policy (objective-related) and those linked to general trends likely to have an influence on the performance of the programme (context-related)” (EC, 2014a: 37-38). Input indicators “refer to the budget of other resources allocated at each level of the assistance. They provide a reflection of intention, i.e. an allocation of resource to a particular measure or axis of the RDP” (EC, 2014a: 38).

For the 2014-2015 programming period, baseline indicators simply refer to “context indicators”, for which the baseline value is the value at the start of the programming period (EC, 2014a: 38).

Similar to context indicators, descriptive indicators refer to an actual situation and how it changes. In the environmental field, indicators can refer to driving forces (social, economic, political and environmental), pressures (use of resources and land), state (quantity and quality of physical phenomena), impacts and response, which refers to how “groups (and individuals) in society, as well





as government attempts to prevent, compensate, ameliorate or adapt to changes in the state of the environment” (Smeets and Weterings, 1999: 8).

Evaluation of the RDP makes use of both common indicators (for all European Regions) and programme-specific indicators. For the 2014-2020 Programming Period, these indicators should be in accordance with the RACER criteria: Relevant, Accepted, Credible, Easy and Robust (Table 6) and SMART criteria: Specific, Measurable, Achievable, Relevant and Time dependent (Table 7).

**Table 6.** RACER criteria (EC, 2015: 14).

<b>RACER Criteria for indicators</b>	<b>Objective</b>
<b>Relevant</b>	Are indicators closely linked to the objectives to be reached? Are they stated at the right level – are the impact indicators really indicators of impacts and do result indicators refer to results?
<b>Accepted</b>	Are they accepted by stakeholders?
<b>Credible</b>	Are they accepted externally, while being unambiguous and easy to interpret for nonexperts?
<b>Easy</b>	Are they easy to monitor?
<b>Robust</b>	Will they continue to be usable and are they such that they cannot be manipulated easily?

**Table 7.** SMART criteria (EC, 2015: 79).

<b>SMART criteria for indicators</b>	<b>Questions</b>
<b>Specific</b>	Do they specify the target group and the factors that need to change?
<b>Measurable</b>	Are they written in a measurable format, e.g. magnitude of effects, number to be reached?
<b>Achievable</b>	Are they feasible given the available time money, staffing?
<b>Relevant</b>	Are they relevant for the target group?
<b>Time dependent/time-bound</b>	Do they set the time frame within which the objectives must be reached?

While indicators are valuable for providing a simplified view of current situations, one of the major challenges in assessing changes over time rests with the availability of data: data may be missing, it may be discontinuous over time or it may change in terms of collection and measurement.

#### **4.5 Result chain and results model**

A results-chain, also referred to as performance chain, details the passages from an activity to the output (short-term result), outcome (medium-term result) and impact (long-term result, possibly leading to behavioural change) (Box 8). According to some definitions, the difference between outcome and impact is temporal, whereby the outcome is the short-term effect immediately after



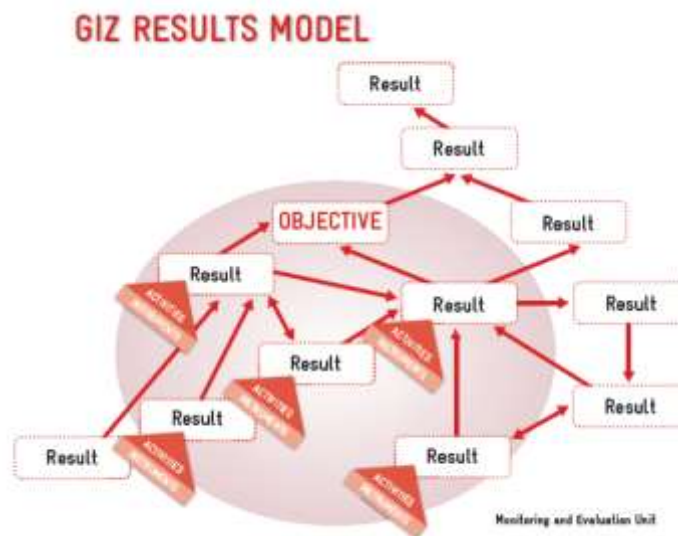
implementation, and the impacts are medium- or long- term effects. However, other definitions refer to the outcome as the effect achieved among beneficiaries and the impact as the overall effect. In that case, outcome and impact should be in the same chain link.

**Box 8. Definition of a standard results chain**

A **results chain** is the causal sequence for a development intervention that stipulates the necessary sequence to achieve desired objectives, beginning with inputs, moving through activities and outputs, and culminating in outcomes, impacts and feedback (Morra-Imas and Rist, 2009: 167).

problem → policy → activity → output → outcome → impact

While this chain implies linear relations which are quite simplistic, results, multi-causation or results model can draw greater attention to the non-linearity of cause and effect. Figure 3 shows a change process, where results stand for “(i) intended positive results of the measure, (ii) other changes / results required of actors outside the sphere of responsibility and (iii) general conditions / external factors outside the sphere of responsibility and the ways in which these interact between and among them” (GIZ, 2013).



**Figure 3.** Example of a results model from the GIZ Monitoring and Evaluation Unit (GIZ, 2013).

The GIZ Monitoring and Evaluation Unit does not distinguish between outputs, outcomes, impacts, but simply refers to ‘results’. According to this model, any output, outcome, or impact is a goal, and anything that may be achieved, more or less directly or indirectly, is a result. The only difference is the possibility of attributing a result to the intervention. The result may range from 0% to 100%: what is converging towards 0% will lie outside the sphere of responsibility (graphically represented by a circle at the centre of Figure 3) (this may be a pre-condition, if it is marked at the bottom or on the side) or will be a small contribution to an impact (if it is at the top, with arrows leading towards it).

In the classical terminology, results inside the ellipse will be outputs, while what is marked as ‘OBJECTIVE’ in Figure 3 will be a result at the outcome level, to which all these outputs are expected to contribute. Any result within the ellipse will indicate an intended programme achievement, which is usually referred to as the outcome.



In a strategic planning process, the linking of results would be depicted first (meaning that the theory of change is laid out as a priority). Only afterwards would the realm of responsibility be defined (by drawing the boundaries of the shaded area), and the objective be set as the principal result within the boundaries of the ellipse.

## 4.6 Impact and impact assessment

Box 9 defines the term **impact** according to the Common Monitoring and Evaluation Framework (also above in Table 3, as part of the criteria for evaluation).

### Box 9. Definition of impact

**Impact** describes all the changes which are expected to happen due to the implementation and application of a given policy option/intervention. Such impacts may occur over different timescales, affect different actors and be relevant at different scales (local, regional, national and EU). In an evaluation context, impact refers to the changes associated with a particular intervention which occur over the longer term (EC, 2015: 70).

The CMEF considers impacts to represent the “expected changes” due to implementation, whereas the OECD defines impact as “the positive and negative changes produced by a development intervention, directly or indirectly, intended or unintended (Measuring impact involves determining the main impacts and effects of an activity on local social, economic, environmental, and other development indicators. The examination should be concerned with both intended and unintended results and must include the positive and negative impact of external factors, such as changes in terms of trade and financial conditions) [OECD 1991b].)” (Morra-Imas and Rist, 2009: 30)

The Common Monitoring and Evaluation Framework defines Impact Assessment as “an integrated process to assess and to compare the merits of a range of policy options designed to address a well-defined problem. It is an aid to political decision making not a substitute for it. The Roadmap informs whether an impact assessment is planned or justifies why no impact assessment is carried out. An impact assessment report is a SWD prepared by the lead service, which presents the findings of the impact assessment process. It supports decision-making inside of the Commission and is transmitted to the Legislator following adoption by the College of the relevant initiative. The quality of each IA report is checked by the Regulatory Scrutiny Board against the requirements of the relevant guidelines” (EC, 2015: 70-71).

The **European Evaluation Network for Rural Development** (EC, 2014a) identifies the methods and procedures for carrying out the ex post evaluation of the 2006-2013 Rural Development Programme and defines programme results (Box 10).

### Box 10. Definition of programme results

**Programme results** are “understood in the terminology of the DG AGRI as direct and immediate effects of policy or programme interventions to be calculated or estimated at a programme beneficiary level (causality needs to be verified). Programme results are measured with result indicators. They can be expected and unexpected, intended or unintended. They provide information on changes, e.g. performance, welfare status or standards (quality of life, environmental, occupational safety, animal welfare, hygiene, etc.) of direct beneficiaries and are measured in physical, monetary or non-monetary terms (e.g. index)” (ENRD: 2014: 50).



Conversely, “programme impacts are in the terminology of DG AGRI causal effects of an intervention lasting in medium or long term (causality has to be verified) and refer to the effect of the programme beyond the immediate direct beneficiaries at the level of the intervention. Programme impacts are linked to the wider objectives of the programme. According to the terminology used by DG AGRI, impacts should be calculated at programme area level only (e.g. economic growth, change in labour productivity, improvement of water quality, etc.)” (EC, 2014a: 50). As a result, impacts should not be assessed using only one measure, but should apply to a group of measures or to the whole Programme. The ENRD recommends that “an integral part of the evaluation of RDPs should be: i) a better understanding of the processes by which results or impacts are achieved, and ii) to identify the factors that promote or hinder their achievement. Such a feedback, including understanding of mechanisms responsible for adapting successful interventions is a basic component of policy learning” (EC, 2014a: 50-51).

There are several challenges to be faced for identifying direct and indirect programme effects. The first challenge is to identify effects “under real world conditions, i.e. to calculate the scope and the magnitude of both intended and unintended changes in specific outcomes that are solely due to policy intervention and not to other factors” (EC, 2014a: 51). The second challenge is to identify the “direct effects as those affecting programme beneficiaries in an immediate way as a direct consequence of programme support”, in terms of: i) direct economic effects, ii) direct environmental effects, and/or iii) direct social effects. These can include, for example, the area under successful land management contributing to the improvement of water quality, or the gross number of jobs created in a given community supported by the programme. The third challenge is to identify the indirect effects of the programme as “effects spread throughout the economy, society or environment, beyond the direct beneficiaries of the public intervention, from the micro-level to the macro or regional level”. The indirect effects of the programme, measured at the level of the beneficiary, can include: (i) leverage effect, which refers to “the propensity for public intervention to induce private spending among direct beneficiaries”; and, (ii) deadweight loss effect, which refers to “those changes observed in economic, environmental or social situation of programme beneficiaries which would even have occurred without the intervention” (EC, 2014a: 52).

The programme indirect effects measured at the level of the RDP assesses positive and negative effects on non-participants (i.e. general equilibrium effects). These may include multiplier effects, resulting from increased income and consumption generated by the public intervention, displacement effects, at the expense of other areas, and substitution effects, at the expense of other persons not qualified to participate (EC, 2014a: 53).

In addition to direct and indirect effects, one of the goals of the evaluation process is to evaluate the programme net effects, “only those effects which are attributable solely to the intervention (cannot be attributed to other factors beyond the intervention), and take into consideration indirect effects (displacement, substitution, multipliers, etc.)” (EC, 2014a: 53). This requires distinguishing between “positive or negative externalities of the RDP, expected or unexpected effects in economic, social, environmental domains”, identifying confounding factors, addressing selection bias and self-selection bias, and identifying homogenous and heterogeneous treatment effects (EC, 2014a: 53).

To assess the positive net effect that public intervention has had in terms of outcomes and impacts, and imputable to it alone, the ENRD proposes using counterfactual analysis or situation (Box 11).



### Box 11. Definition of counterfactual analysis

“The assessment of programme effects should involve **counterfactual analysis**. The key in the counterfactual analysis is to construct a group which is as similar as possible (in observable and unobservable dimensions) to those receiving the intervention. This comparison allows for the establishment of causality – attributing observed changes in outcomes to the programme, while removing confounding factors” (EC, 2014: 56).

The Common Evaluation and Monitoring Framework describes a counterfactual situation as one “which would have occurred in the absence of a public intervention”, also referred to as “policy-off” situation. By comparing the counterfactual and real situations, it is possible to determine the net effects of the public intervention. Various tools can be used for the construction of the counterfactual situation: shift-share analysis, comparison groups, simulation using econometric models, etc. At the baseline, the real situation and the counterfactual situation are identical. If the intervention is effective, they diverge” (EC, 2015: 65).

Methods based on a counterfactual approach have become a standard approach for identifying causal relationships. This poses a problem for the analysis and evaluation of social innovation as social innovation is unique to the context from which it emerges (Katonáné-Kovács et al., 2016), thus difficult to create the counterfactual. For example, technological innovation can be considered an innovation when implemented in different territories. As shown in the Udny case, there is an increase in successful implementation of community-based renewable energy projects. Yet, each territory implements them in a different way, leading to distinct impacts both economically, socially and environmentally, depending on the activities, types of partnerships developed, and approach to the distribution of resources. The evaluation of impacts from social innovation can be addressed through a temporal or historical analysis, through participatory approaches, Social Network Analysis, and more generally through consideration of quantitative approaches and combinations of qualitative and quantitative (mixed) methods (Garbarino and Holland, 2009).

## 4.7 Framework, approaches, methods and tools

The primary goals of the Guidelines are to:

- (i) identify frameworks, approaches, methods and tools, which may be of relevance to assess social innovation and its impacts in marginalised rural areas (Tasks 4.2);
- (ii) analyse the policies that influence SI (Task 4.3).

For the purposes of Tasks 4.2 and 4.3, the following definitions<sup>16</sup> are used.

An assessment framework includes a coherently defined mix of methods and tools. Annex 1 (Excel file) is a template for the specifications of whether an assessment framework is adopted (or not) for analysis.

For example, the CMES/CMEF framework leaves open what approaches, methods or tools should be applied. In Annex 2, an example is provided of what is entailed in analyzing the Guidelines for the ex-post evaluation of the 2006-2013 RDPs. The specific methods and tools which are listed as part of the

<sup>16</sup> Pay attention to the instructions note at p. 41 as the main definitions proposed in these Guidelines might not be fully consistent with definitions that are sometimes used in scientific and evaluation literature. For the purpose of this Guidelines and the analysis of documents that Tasks 4.2 and 4.3 will carry out on their basis, eventual specific definitions used in the document or other material to be analysed have to be reported (if any).



framework all refer to the same framework. This does not mean that they are considered a subset of the framework, rather they refer to the wealth of methods available for evaluation.

If partners in Tasks 4.2 and 4.3 decide to analyze different approaches, methods or tools, these may have been included in a previous framework, but in a specific context and use. However, these may not be relevant to the analysis which will be ultimately required: that of assessing social innovation and its impacts in marginalized rural areas and of analyzing policy influence on social innovation in the same contexts.

For the purposes of the analysis, frameworks will include their own set of approaches, methods and tools. An analysis of approaches may include methods and tools as subsets. Likewise, methods may include tools. However, tools will not include methods or approaches as the subset, instead they are micro-components of methods. A higher level of analysis, whether framework, approach, method or tool, will be undertaken in the first three Sections of Annex 1 (See 6.2). Section 4 of the toolkit is dedicated to the analysis of the all tools included in the framework, approach or method.

Methods can be quantitative, qualitative and mixed, and defined “as a tool to work with data” (Weiss and Ludvig - pers. comm.) (Table 10).<sup>17</sup> Methods are sometimes also referred to as approaches, as when we refer to qualitative approaches, participatory approaches, etc.

For the purposes of these Guidelines, a tool is a testing device for exploring and/or measuring a given phenomenon, such as a paper and pencil test, a questionnaire schedule, an interview, a field testing instrument, or a set of guidelines for observation. However, these classifications are not applied homogeneously. Social Network Analysis, for example, is sometimes described as a tool and sometimes as a method. These different terms should be seen in a kind of network relationship, and analysed according to the terms of their source or reference.

**Table 8.** Examples of methods and tools for sampling, data collection and analysis (Creswell, 2007; Pandey and Pandey, 2015; Weiss and Ludwig - pers. comm.)

	Quantitative methods	Qualitative methods
<b>Sampling methods</b>	Census method (parametric method) Sampling methods (non-parametric method), including: (1) Probability sampling (e.g. random, systematic, stratified, multistage, purposive, cluster and multiple or double sampling, etc); (2) Non probability sampling (e.g. incidental or accidental sampling, judgmental, snow ball, purposive or expert and quota sampling)	Expert-based informants Probability and non-probability sampling

<sup>17</sup> **Quantitative research** is the systematic empirical investigation of observable phenomena via statistical, mathematical or computational techniques. It relies on quantitative methods and quantitative tools of analysis (e.g. statistical analysis). **Qualitative research** “is a situated activity that locates the observer in the world. It consists of a set of interpretative, material practices that make the world visible. These practices transform the world. They turn the world into a series of representations, including field notes, interviews, conversations, photographs, recordings, and memos to the self. (...) This means that qualitative researchers study things in the natural settings, attempting to make sense of, or interpret, phenomena in terms of the meanings people bring to them” (Denzin and Lincoln, 2005). It relies on qualitative methods or data collection (e.g. interviews and observation) and on qualitative methods of analysis (e.g. narrative and grounded theory).



<b>Data collection tools (primary data)</b>	Surveys (non-experimental design) and questionnaires Experiments (experimental design)	Interviews Group discussion/focus groups Observation Case studies Experiments
<b>Data collection tools (secondary data)</b>	Statistical data Census data Databases	Document and content analysis: technical publications such as manual and handbooks; books and journals; official publications by the government, private data services, local bodies
<b>Methods and tools for analysis</b>	Statistical analysis (descriptive and inferential statistics) Constructing measurement scales Explanation and prediction (modelling)	Narrative research Generating empirical relationships (grounded theory)



## **5. Criteria and instructions to identify and select existing assessment and evaluation frameworks, approaches, methods and tools**

### **5.1 Approach**

The definitions provided in Section 4 provide a basis for the identification, selection, categorisation and analysis of methods to assess social innovation and its impacts (Task 4.2) and, through the use of qualitative methods, to analyse the influence of policy on social innovation (Task 4.3). The work of Task 4.2 will build on personal experience in both research and in the field of policy and evaluation practice. To support the creation of a robust set of tools and methodologies, the criteria in Table 8 will be used by the sub-tasks leaders (ICRE8 for economic aspects, UNIFG for social aspects, EFI for environmental and natural capital aspects and DLO for governance/institutional aspects) for searching for specific methods.

Task 4.3 will develop the qualitative approaches and methods to analyse policies that influence SI in rural areas and that will be applied in Task 6.1. Qualitative methods of data collection will focus on three main key influences on SI: (i) the level of importance of actors, (ii) the resources with which actors are equipped, and (iii) the institutional and political frameworks involved. With respect to the methodology, a major focus will be on the interconnections and integration (and non-integration) between social welfare policies and regional development policies. For this, Task 4.3 will analyse empirical cases of SI, including cases where policies had influence on SI (WP6).

The following sub-sections provide instructions for guiding the identification of existing frameworks, approaches, methods and tools used (or designed for being used) in assessment processes in the agricultural and forestry sectors, and in rural development programmes, for monitoring and evaluation. Section 6 sets out how to categorize, analyse and report the frameworks, approaches, methods and tools and their detailed characteristics. This includes who has adopted them, in which sectors and regions have been used and at what level. The details are operationalized in the Excel sheets provided in Annex 1 (empty template), with examples provided in Annex 2.

### **5.2 Dealing with potential overlaps**

Given the potential for overlap, members of the four domains for Task 4.2 (i.e. sub-tasks leaders) can identify from the outset the details of the searches planned on economic, social, environmental and governance and institutional domains. Risks of double analysis of a framework, approach, method or tools identified by more than one sub-task will be prevented by working closely with the UNIPD team (leader of WP4). Before starting to fill in the Excel sheets (Annex 1) with the detailed characteristics of the frameworks, approaches, methods and tools to be analysed (following the instructions and criteria as explained in Section 6 and the examples in Annex 2), each sub-task leader will submit drafts of the list of frameworks, approaches, methods or tools they identified preliminarily, to UNIPD.

Frameworks, approaches, methods or tools identified by more than one domain (e.g. by both social and governance and institutional domains) will be assigned to only one domain (e.g. to DLO) for the detailed analysis (e.g. the completion of the Excel file). The assignment will be decided jointly between UNIPD and the sub-task leaders, according to the stated level of knowledge about the methods and its main field of application. The goal is for each sub-task leader to have a unique list of methods to analyse, without duplicating efforts. Specific instructions will be provided by email when Task 4.2 starts in Month 7.

Specific criteria and suggestions for searching methods are summarised in Table 8.





**Table 9.** Criteria and suggestions for searching methods.

Criteria	Search strategies and keywords
Sector	Agriculture, forestry, water, energy, and biodiversity conservation
Inter-sector	Rural development, territorial planning, climate change
Geographical areas	Rural, urban areas and peri-urban areas
Regions	EU countries (country by country, and by region) and world-wide
Scientific papers	<p><b>Keywords</b> (Innovation, Innov* and synonyms/associated, e.g. forerunnership, forerunner*)</p> <p><b>Combinations</b> of keywords (by using AND). Examples are “innovation (or innov*) AND co-creation”; “innovation (or innov*) AND user involvement”; “innovation (or innov*) AND societal and environmental challenges”; “innovation (or innov*) AND collaborative”; “innovation (or innov*) AND public-private partnership*” (or private and public, or public and private); “innovation (or innov*) AND collaborative networks”; different combinations with AND “economic”, “social”, “environmental” and “governance and / or institutional”)</p> <p>Searches have to be carried out singularly for each combination (not all key words included in one single search line) and in both titles, abstract and key-words sections of papers</p>
Databases	SCOPUS, ISI web of science, research gate, and google scholar databases
Evaluation reports	EU Policy, program and project evaluation of the Rural Development Programme, the European Fund for Regional Development, the European Social Fund European Maritime and Fisheries Fund (EMFF), FAO (Evaluation at FAO), IFAD (Independent Evaluation Office), UNDP (Independent Evaluation Office), World Bank (Independent Evaluation Group), UNEP (Evaluation Office)
Grey literature	At national levels, in English and national languages

The first search can be exploratory. Following the first run of searches in different databases with the initial keywords, all relevant synonyms for each specific domain can be highlighted. The second round of searches will explore the different databases by using a specific set of keywords defined for each of the four domains.



## 6. Criteria and instructions for selecting, categorising and analysing existing assessment frameworks, approaches, methods and tools to assess SI and its impacts, and to analyse policy influencing SI

### 6.1 Introducing the Template

This Section describes the template provided to select, categorise and analyse frameworks, approaches, methods and tools to assess SI and its impacts, as well as influences of policy, actors and resources on SI. The template has the structure of an Excel file comprising 4 main Sections of a short preface and the core 4 Excel worksheets. Each of the frameworks, approaches, methods and tools corresponds to sub-tasks of Tasks 4.2 and 4.3, categorized and analysed in a standardized way. The frameworks, approaches, methods and tools will be selected based on personal experience of the researcher and categorised in the Excel file (Annex 1). The researcher will be able to report whether the object of analysis (a framework, an approach, a method or a tool, or a combination of these) specifically applies to social innovation or whether it could be applied or adapted. At the end of the process, when all frameworks, approaches, methods and tools will have been categorised, their relevance and applicability to social innovation and to MRAs will be analysed in WP4. The final goal of WP4 is reporting on the extent of their replicability and adaptability in all contexts for the assessment of SI and its impacts and analysis of policies in MRAs and in relation to the four domains.

The Excel file in Annex 1 is to be completed by Tasks 4.2 and 4.3. In this template, sub-Tasks of 4.2 will provide four lists and analysis of frameworks, approaches, methods and related tools that have been used (or have been designed but not used yet) to evaluate social innovation, respectively from the perspective of economic, social, environmental, institutional and governance domains. Task 4.3 will provide two lists of frameworks, approaches, methods and related tools that apply to: (i) the analysis of policy documents that support or hamper social innovation in MRA, and (ii) the analysis of relations between SI and policy processes. In this case, the approaches and methods selected are qualitative, including focus groups, different types of interviews, and participant observation. The methods will include qualitative content analysis and interpretative hermeneutics. The methods identified will help for the assessment of the level of impact of actors, resources and the political and institutional setting on social innovation, e.g. if there is more or less influence.

An example of how the categorization is to be carried out in Tasks 4.2 and 4.3 is given in the Excel file attached (Annex 2). The preface provides contact information.

**Section 1** provides general information on the overall assessment framework, approach, method and related tool.

**Section 2** focuses on the level of specificity of the method in relation to (i) Social innovation ("Specificity of the tool"), (ii) Domain and (iii) Sector and territorial sectors.

**Section 3** details the evaluation characteristics of the general framework and approach.

**Section 4** details the specific features of the related tools.

Sections 3 and 4, in particular, provide information which allows WP4 to classify and categorise the methods identified and analysed by Tasks 4.2 and 4.3 for developing Deliverable 4.2. Table 9<sup>18</sup>

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<sup>18</sup> Aside the first two rows of the table, which are intended to be read through and understood in the horizontal direction (the 4 sections are the 4 Excel sheets which compose the Excel file – Annex 1), the other parts of the table have to be read through its vertical direction (i.e. each column list the list the items included in each section, i.e. in each Excel sheet).



summarises the information that will be collected in the four Sections of Annex 1 (i.e. tabs in the spreadsheet).

**Table 10.** Summary of analysis variables by Section in Annex 1.

Section 1. General characteristics of the framework/approach/method/tool	Section 2. Specificity to SI of the framework/approach/method/tool	Section 3. Evaluation characteristics of the framework/approach/method	Sheet 4. Features of the tools (within methods, approaches or frameworks)
ID	ID	ID	ID
Name of assessment framework/approach/method/tool	Name of assessment framework/approach/method/tool	Name of assessment framework/approach/method/tool	Name of tool
Abstract/Summary of the framework/approach/method/tool	Explicit reference to SI of the assessment framework, approach, method or tool	Meaning of the terms (framework, approach, method, tool) as used in the reference.	Data source
Evaluation design	Reference to Approach	Participatory approaches assessment	Scope and details of application of the tool
Full reference	Type of innovation considered	Evaluator	Primary data sources
Website address	Relation to domain	Counterfactual analysis	Secondary data sources
Source	Sector focus	Evaluation approach	Strengths and advantages of the tool
Intended context of application	Territorial of intersectoral focus	Evaluation phase	Weaknesses and limitations of the tool
Urban - rural	Qualitative method applies to inquiry into key factors influencing SI	Policy cycle phase	
Developer of framework, method or tool	Comment on adaptability and replicability to SI	In relation to final use	
Target users		Evaluation criteria	
Funding entities		Indicators	
		Intended spatial scale for the implementation of evaluation	
		Intended scope of application	
		Software used	
		Strengths and advantages of the framework/approach or method	
		Weaknesses and limitations of the framework/approach or method	



## 6.2 Instructions for completing the template (Annex 1)

Descriptions of the detailed contents and structure of each Section of the Excel file follows, together with titles and explanations for each column.

### Section 1 – General characteristics

Section 1 presents the general characteristics of the frameworks, methods and tools identified.

**1.A.** The ID is given to the framework, approach or method that is to be analysed. If the reference refers to a single tool, then add the name of the tool.

**1.B.** Specify the name of the assessment or evaluation framework, approach, method or tool under consideration. Please note that Sections 1, 2 and 3 refer to the assessment or evaluation frameworks, approaches, methods or single tools. Only Section 4 is specifically devoted to the analysis of the features of the tool(s) (which will be connected as sub-sets of a certain framework, approach or method).

**1.C.** Provide the abstract or a short summary of the framework, approach, method or tool. It is expected that the abstract or a short summary can be copied and pasted from the original document.

**1.D-E.** Please specify whether the evaluation design is included in the assessment or evaluation framework, approach or method (columns 1.A. and 1.B.), e.g. a suitable combination of evaluation techniques and methods. If it is then select Yes, and list which ones are included. This will apply only in case of analysis of a framework, approach or method. It does not apply to the analysis of tools alone.

**1.F.** Provide the full reference of the framework, approach, method or tool following the Harvard style.

**1.G.** Provide the link to the website address where the framework, approach, method and tool can be found.

**1.H-I.** Select the source of the framework, approach, method and tool from the drop-down menu: Scientific article, Book, Technical manual, Policy framework, Institutional webpage, Other. If other, then please specify details.

**1.J-K.** Select the context of the application: Europe, North America, Meso and South America, Asia, Africa, Oceania. Specify country if appropriate.

**1.L.** Select whether the framework, approach, method or tool applies to urban – rural: Rural, Peri-urban, Urban<sup>19</sup>

**1.M-S.** Select the categories of the developers of the framework, approach, method or tool, and enter a 0 (does not apply), or 1 (applies) in each column as appropriate. If applicable, identify Scientist, Policy maker, Institutional organisation, Consultant, NGO and/or Private enterprise. If other, specify details.

**1.T-X.** Select the categories of potential target users of the framework, approach, method or tool, and enter a 0 (does not apply), or 1 (applies) with in the relevant columns relating to Scientist, Policy

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<sup>19</sup> In relation to the country-specific definitions of urban, peri-urban and rural. See most recent UN Demographics Yearbook.



maker and project evaluator, Consultant and/or Community-level organisation. If other, please specify.

**1.Y-AC.** Select the entities that funded the development of the framework, approach, method or tool. This should indicate who is interested in the specific work under consideration: Public science and research, Institutional organisation, Private enterprise, Not-for-profit and Other. Specify if possible; specify always if other is selected.

**Important note: if tools are analysed by framework, approach or method, rows in the template may need to be merged by column since most responses apply to the overarching categories of the framework, approach or method but not the tool. See the example of the “guidelines for the evaluation of 2007-2013 rdps”.**

## **SECTION 2 – Specificity to SI of the framework, approach, method or tool**

Section 2 focuses on the relevance of the framework, approach, method or tool identified to the field of social innovation. It refers to the most significant category, whether this is the framework, approach, method or tool.

**2.A.** The ID column is automatically linked to the ID of Section 1 (1.A) and should appear as completed. It will capture the first tool listed for this framework, approach or method.

**2.B.** The column with the name of the framework, approach or method is automatically linked to the name of the assessment framework, approach or method in Section 1 (1.B) and should appear as completed. If no framework, approach or method was analysed in Section 1, then this column will appear as blank.

**2.C-D.** This column identifies whether the framework, approach, method or tool makes explicit reference to social innovation. Select whether social innovation is the main objective, a secondary or indirect objective or whether it is not mentioned in the text. Please include notes if relevant. If it does not relate to social innovation, then move to Question 2.N-Q.

**2.E-H.** If the framework, approach, method or tool makes explicit reference to social innovation, enter 0 (does not apply) or 1 (applies) under relevant approach i.e. Approach 1, Approach 2 and/or Approach 3, or others (see the meaning of these Approaches in Box 4, p. 13).

**2.I-M.** Enter 0 (does not apply) or 1 (applies) depending on whether the framework, approach, method or tool refers to: Product, Process, Marketing and/or Organisation. Add notes if needed.

**2.N-Q.** Even if the framework, approach, method or tool does not refer to SI, enter 0 (does not apply) or 1 (applies) to specify whether it was initially conceived and developed for a specific domain: Economic, social, environmental and/or institutional/governance.

**2.R-U.** In this column select the primary sector(s) in rural areas where the framework, approach, method or tool applies: Agriculture, Livestock and/or Forestry. Please specify whether the framework, approach, method or tool applies to a radically different sector (e.g., fisheries, education, health) but provides a unique approach that could be adopted for the analysis of social innovation.

**2.V-X.** Use this column to select the territorial or inter-sectoral focus where the framework, approach, method or tool applies: Rural development, Land use planning and/or Other (please specify). Examples of inter-sectors include territorial developments, such as wood to energy value chain, organic and short value chains, industrial and vertical value chains, conservation efforts, social farming, farm or forest based education and rehabilitation.



**2.Y-AA.** If this is a qualitative approach or method, please explicit whether it is applicable to inquiring into key factors influencing innovation. Enter 0 (does not apply) or 1 (applies) for: Actors, Resources and/or Policy/Framework.

**2.AB.** This question is very important as it will allow a final selection of frameworks or approaches that contain methods and tools useful for analysis of SI and its impacts. It requires an open response by the researchers of Tasks 4.2 and 4.3.

### Section 3– Evaluation characteristics of the framework / approach

Section 3 refers to the specific characteristics of the framework, approach or method identified in Section 1.F according to the characteristics of evaluation.

**3.A.** The ID column is automatically linked to the ID of Section 1 (1.A) and should appear already completed.

**3.B.** The column with the name of the framework, approach, method or tool is automatically linked to the name in Section 1 (1.B) and should appear as completed.

**3.C-F.** Considering that different authors and evaluators could use the same term (either “framework”, “approach”, “method” or “tool”), but sometimes in ambiguous ways, it is important to specify the meaning and (eventual) definition used. In the reference analysed by Tasks 4.2 or 4.3, the terms might be interpreted and used differently with respect to the common scientific and evaluation literature. A brief description of the meaning and the way (or, if available, a specific definition of) the term/s as used in the reference should be recorded.

**3.G-K.** This question is into the use of participatory approaches involving groups or communities in different stages of the assessment /evaluation process (e.g. data collection, analysis and reporting), with any associated design of impact evaluation, and with different types or levels of stakeholder involvement. If the framework, method or tool relies on, or uses, participatory approaches then select ‘Yes’, and respond to the subsequent questions: Who is involved? How many stakeholder groups are involved? Specify whether the number of stakeholders refers to a group or a number of enterprises and associations. List all the categories of stakeholders involved. Specify the type of participation: information, consultation, co-management, and empowerment.

**3.L-M.** Who uses this tool in evaluations? The options are to select from: Self-assessment or External evaluator, and to provide explanatory notes, if needed.

**3.N-O.** Most quantitative tools make use of counterfactual analysis. However, also qualitative approach or method might use it. This question asks select Yes for when there is a counterfactual analysis, and No for when there is not a counterfactual analysis. Then, you are asked to describe how the approach or method applied counterfactual analysis.

**3.P-Q.** The two main types of evaluation include process-oriented and result-oriented evaluation approaches which focus respectively on how the process is organized and implemented, and what are the contents of decisions and their consequences and impacts. The question asks for selection of one of the two approaches and an explanation in the notes, if needed.

**3.R-S.** The question asks for selection of the **¡Error! No se encuentra el origen de la referencia.** in which the framework, approach, method or tool is used: *Ex ante*, *In itinere*, Final and *Ex post* (Table 2). Space is provided for notes, if needed.



**3.T-U.** The question asks for selection of the policy cycle phases: Conception, Formulation, Implementation and Evaluation. Space is provided for notes, if needed.

**3.V-W.** The question asks for selection of the final use of the tool for evaluation: Formative or Summative. Add notes as appropriate.

**3.X-AB.** The question asks for selection of all the criteria that apply to the use of the framework, approach, method or tool in the context of the evaluation proposed, by recording with a "0" (does not apply) or "1" (applies) to all of options provided: Relevance, Efficiency, Effectiveness, Impact and Other. If Other, please specify.

**3.AC-AR.** This question focuses on the indicators. The first choice is whether indicators are used: select Yes or No. If Yes, then the question asks for specification of the scope of the indicator: i.e. whether the indicator applies to Input, Process, Results/Outcome, Impact, Performance based and/or System-based. Next, select the source of data of the indicator: Primary and/or Secondary data, and whether it is fact-based (Quantitative) or perception-based (Qualitative). Finally, specify the reliability of the indicators, and whether they abide by the SMART, RACER and/or other criteria.

Record all the indicators with a "0" (does not apply) or "1" (applies), and conclude with a specific example from one of the indicators listed in the reference used for the framework, approach, method or tool.

**3.AS-AV.** Record the intended spatial scale for the implementation of evaluation by entering 0 (does not apply) or 1 (applies) for all options provided: Local, Regional, Country-level and/or International.

**4.AW-AY.** Record the intended scope(s) of application by entering 0 (does not apply) or 1 (applies) for the following options: Micro (single unit or civil society initiatives), Meso (cooperation systems) and/or Macro (full sector). In this case, micro refers to a unit as a single organisation, a single person or a single NGO. (e.g. a cooperative). Meso refers to a cluster of units, e.g. a system of cooperatives. The macro level refers to a "cluster of clusters", namely, a while network system, e.g. social farming may include a social enterprise, an educational farm and a cooperative. Scope is not mutually exclusive. For example, the LEADER Local Action Group (LAG) may be both a single local organisation, as well as a coordination system bringing together a whole network (a "cluster of clusters").

**3.AZ-BA.** The final question asks whether software was used. If yes, please specify the name of the package. The question is open and software may include UCINET, EnVIVO, Stata.

**3.BB.** Please include a summary of the strengths and advantages of the framework, approach or method as described in the reference.

**3.BC.** Please include a summary of the limitations and weaknesses the framework, approach or method as described in the reference.

#### Section 4 – Features of the tool(s)

Section 4 describes the features of the specific tool(s) that were identified in the framework, approach, method or in the tool itself.

**4.A.** The ID column is linked to the framework, approach or method of reference. The same ID number should be used for all the tools that are identified in the framework, approach or method under analysis.



**4.B.** Add the name of the tool.

**4.C.** Specify the type of data used: Qualitative, Quantitative, Mixed.

**4.D.** For each of the tools identified, please explain the scope and details of the application of the tool as described in the reference used. The description should be no longer than 125 words.

**4.E.** The type of source of data has to be selected: Primary (e.g. through interview, questionnaires, field measures, etc.), Secondary (e.g. online datasets, reports, etc.), Both.

**4.F-I.** If the data sources are primary, the question asks for an indication and details of the collection methods proposed. If applicable, the columns include options to specify the sampling method (i.e. in the case of interviews, focus groups or surveys). For workshops or focus groups, please specify whether external facilitation was used and whether specific techniques were adopted. For surveys, please specify whether the text of the survey or questionnaire is included. Add any notes you deem useful.

**4.J-N.** If the data sources are secondary, the question asks to indicate and specify the details of the collection methods proposed. The questions ask to: Specify data sources; Specify name of the database if applicable; Select type of database (Open source, fee required, Subject to request); Specify NUT level / geographical disaggregation of data; and the Period of reference of data used

**4.O.** Please include a summary of strengths and advantages of the tool described in the reference.

**4.P.** Please include a summary of limitations and weaknesses of the tool described in the reference.





## 7. Examples of existing assessment frameworks, approaches, methods and tools to assess SI and its impacts in MRAs

Three different, existing frameworks, approaches, methods and tools have been identified in the literature which can be used to analyse policy processes and measure impacts in relation to SI in marginalized rural areas. These have been analysed to provide an illustrative model on how to use the toolkit provided in Annex 1 (the “empty” Excel file). Annex 2 (a “filled in” Excel file) highlights the relevance and applicability to social innovation of the selected and analysed frameworks, approaches, methods or tools, and their strengths and weaknesses (e.g. reliability, replicability, etc.). The three examples have been entered to the template in Annex 2 to indicate the work of Tasks 4.2 and 4.3. They are examples of how the frameworks, approaches, methods or tools have to be analysed by the four sub-Tasks 4.2 leaders and in Task 4.3. Other cases are outlined in this section as examples that could be analysed in details in Tasks 4.2 and 4.3 in subsequent steps.

The focus was on three assessment frameworks and methods that have been used in relation to rural development and natural resources. The selected examples are:

1. European Commission, 2014. Capturing the success of your RDP: Guidelines for the ex-post evaluations of 2007-2013 RDPs. European Evaluation Network for Rural Development and European Commission: Brussels
2. Secco, L., Da Re, R., Pettenella, D.M. and Gatto, P. (2013) Why and how to measure forest governance at local level: A set of indicators, *Forest Policy and Economics*, 49: 57-71.
3. Guijt, I. and Woodhill, M. 2002 (2005). A Guide for Project M&E: Managing for Impact in Rural Development. IFAD: Rome.

These examples do not fit into the qualitative-oriented Task 4.3. However, in the template (Annex 1) key elements of a qualitative framework, approaches, methods and tools have been included and instructions for their compilation are provided in the Guidelines.

**Other frameworks, approaches, methods and tools** that can be analysed are the following (important note: those listed hereafter are just examples, not an exhaustive pre-defined list):

- **Sustainable Development Goals** (for analysis by ICRE8).
- **IAD/SES framework.**
- **The Eco-Innovation Scoreboard:** Developed by the Eco-Innovation Observatory and funded by EC DG Environment since 2010, is the first tool to assess and illustrate eco-innovation performance across the EU Member States. It uses 16 indicators at the country level.
- **Multi-criteria mapping method** (See Stirling, A., and S. Mayer, 1999. Rethinking Risk: a pilot multi-criteria mapping of a genetically modified crop in genetically modified crop in agricultural systems in the UK. SPRU/Genewatch Report, Brighton, UK. And Stirling A., 1997. Multicriteria mapping: mitigating the problems of environmental evaluation? In: Foster J. (ed). Valuating nature: economics, ethics and environment. London: Routledge).
- **Mixed methods** (See Miller D, Vogt N, Nijnik M, Brondizio E, Fiorini S, 2009. Integrating analytical and participatory techniques for planning the sustainable use of land resources and landscapes. In Stan Geertman and John Stillwell (eds.): Planning Support Systems: Best Practices and New Methods, Springer, 317-345; Nijnik M, Miller D, Fiorini S, 2009. Integrating analytical and participatory techniques for evaluation of decision making in natural resource management, Symposium on Society and Resource Management "Meet old and new worlds in Research, Planning, and Management", Vienna, July 5-8; Nijnik M, 2013. Working paper



“Conceptualising the value of multiple services of forest and analysing valuation methods and scales for primary valuation”, JHI, UK).

- **Q method** (See Nijnik M, 2013. A Q-method inquiry into the content and changes in Scottish forestry, US Society of Ecological Economics Conference, Vermont, 9-12 June; Nijnik M, Nijnik A, 2012. A Q-method inquiry into forest governance and change. International Conference of IUFRO on Policy and Governance, Sarajevo, 9-11 May; Nijnik M, Miller D, Nijnik A, 2009. The use of Q-methodology for evaluation of rural policies: some implications from EC funded research. Canadian Society for Ecological Economics Conference, Vancouver, 15-17 October).
- **Participatory approaches and scenarios** (See Nijnik M, Miller D, Nijnik A, Fiorini S, Vogt N, Brondizio E, Morrice J, 2011. Public participation for sustainable use of natural resources: methodology development. International journal of interdisciplinary social sciences 5 (11): 303-320.
- **Stakeholder evaluation** (See Nijnik M, Zahvoyska L, Nijnik A, Ode A, 2008. Public evaluation of landscape content and change. Land Use Policy 26: 77-86; Nijnik M., Nijnik A. Stakeholder evaluation of long-term changes in framework conditions of forestry in Scotland, IUFRO Conference to be held in Sopron, Hungary, 18-23 May 2014).
- **Impacts of stakeholders' engagement on research** (EU, biodiversity): Analysis of the impact of participatory processes in relation to their potential procedural, contextual and substantive effects (Jolibert, C. and Wesselink, A., 2012. Research impacts and impact on research in biodiversity conservation: The influence of stakeholder engagement. *Environmental Science & Policy*, 22, pp.100–111).
- **FP7 ENVIEVAL**: Development and application of new methodological frameworks for the evaluation of environmental impacts of rural development programmes in the EU, is an EU collaborative project coordinated by the Thünen Institute, with the James Hutton Institute (HUT), Agricultural University of Athens (AUA), Natural Resources Institute Finland (LUKE), Council for Agricultural Research and Economics (CREA), Baltic Environmental Forum (BEF), and Szent Istvan University (Grant Agreement No. 312071) in the EC Seventh Framework Programme. [www.envieval.eu/](http://www.envieval.eu/)
- **SOSTARE model**: Published in Paracchini et al. 2015, “Analysis of farm technical efficiency and impacts on ecologic, environmental and economic sustainability”: A diagnostic system to assess sustainability at a farm level: the SOSTARE model. *Agricultural Systems*. 133: 35-53.
- **A fuzzy governance assessment model** (in LAGs): Anzilli, L., G. Facchinetti, G.Mastroleo, A. Tafuro (2015) EU LEADER Programme and Its Governance: *A Fuzzy Assessment Model* - In: *Proceedings of the 7th International Joint Conference on Computational Intelligence (IJCCI 2015)* - Volume 2: FCTA, pages 121-130.



## 8. Conclusions

The Guidelines present a set of definitions which support the initial stages of WP4 of the SIMRA project. These definitions are a starting point for the work being developed in the SIMRA project. Some definitions will be modified as work in WP2 and WP3 gets under way. Similarly the evaluation methods noted will evolve through the period of the project.

The Guidelines also present the criteria for identifying and selecting methods. Annex 1 provides a template for the detailed description of the criteria and instructions for use in Tasks 4.2 and 4.3 for undertaking their methods' analysis, through the use of the Excel spreadsheet. Annex 2 provides the template populated with examples.



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## **Appendix 1. Template: Analysis Social Innovation Database**

See MS Excel file (D4.1\_ANNEX 1\_Annex\_analysis\_SI\_database\_DEF.xlsx) for template for capturing information to enable the compilation of a database of frameworks, approaches, methods and tools for assessing social innovation.

## **Appendix 2. Template: With Examples**

See MS Excel file (D4.1\_ANNEX 2\_Annex\_analysis\_SI\_database\_DEF.xlsx) for template for capturing information to enable the compilation of a database of frameworks, approaches, methods and tools for assessing social innovation, populated with selected examples.