



Demonstrator D4.2 Set of Methods to Assess SI Implications at Different Levels: Instructions for WPs 5 & 6

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Laura Secco, Elena Pisani, Catie Burlando, Riccardo Da Re, Paola Gatto, et al.. Demonstrator D4.2 Set of Methods to Assess SI Implications at Different Levels: Instructions for WPs 5 & 6. Department of Territorio e Sistemi Agro-Forestali (TESAF) of the University of Padova (Italy). 2017, http://www.simra-h2020.eu/wp-content/uploads/2017/10/SIMRA_D4.2_Set_of_Methods_to_Assess_SI_Implications_at_Different_Levels_Instructions <hal-04179020>

HAL Id: hal-04179020

<https://hal.science/hal-04179020v1>

Submitted on 10 Aug 2023

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This project has received funding from the European Union's Horizon 2020 research and innovation programme under Grant Agreement No 677622



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

Demonstrator D4.2

Set of Methods to Assess SI Implications at Different Levels: Instructions for WPs 5 & 6

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List of Acronyms

BENISI	Scaling Social Innovation
CBA	Cost Benefit Analysis
CEA	Cost Effectiveness Analysis
CMEF	Common Monitoring and Evaluation Framework
CrESSI	Creating Economic Space for Social Innovation
CS	Case Studies
DD/DiD	Difference in Difference
EC	European Commission
EIA	Environmental Impact Assessment
EIP	European Innovation Partnerships
EU	European Union
GIS	Geographic Information Systems
LAU	Local Administrative Units
LEADER	Liaison Entre Actions de Développement de l'Économie Rurale
MIAA	Methodology for Impact Analysis and Assessment
MRAs	Marginalised Rural Areas
NGO	Non-Governmental Organisation
NUTS	Nomenclature des Unités Territoriales Statistiques
OECD	Organisation for Economic Co-operation and Development
POT	Perceived opportunities and threats
RACER	Relevant, Accepted, Credible, Easy and Robust
RBM	Results Based Management
RDP	Rural Development Programme
SAB	Scientific Advisory Board
SEA	Strategic Impact Assessment
SI	Social Innovation
SI-DRIVE	Social Innovation: Driving Force of Social Change
SIMPACT	Boosting the Impact of Social Innovation in Europe through Economic Underpinnings
SIMRA	Social Innovation in Marginalised Rural Areas
SITT	Social Innovation Think Tank
SMART	Specific, Measurable, Achievable, Relevant and Timebound
SNA	Social Network Analysis
SROI	Social Return on Investment
TEEB	The Economics of Ecosystems and Biodiversity
TEPSIE	Theoretical, Empirical and Policy Foundations for Social Innovation in Europe
ToC	Theory of Change
TSI	Third Sector Impact
WP	Work Package



Executive Summary

This Deliverable provides a preliminary set of methods for the evaluation of the implications of SI at different levels, and provide instructions for their test in pioneer case studies in Work Packages 5 and the analysis of policy in Work Package 6.

The results from the pioneer case studies will be used to improve and refine the set of methods and tools, and in particular the starting point (i.e. the list of questions for data collection), the sampling strategy, and identification of impacts to create a consolidated version to be explained in training CS Teams, and used in the evaluation of case studies (Work Package 5) and in analysis of policy processes (Work Package 6). This will refine its applicability for use in the full set of case studies in 2018 (Work Package 5), and finalised in Deliverable 4.3 as a manual of methods to assess social innovation and its impacts.

Using an evaluation approach, Deliverable 4.2 refers to the set of options proposed to design, test, refine and finalise an innovative methodology for assessing and evaluating social innovation in marginalised rural areas at the local level. The foundation of any evaluation approach is its framework. An evaluation agenda is developed for the assessment and evaluation in which the key dimensions of SI are defined. It includes the key steps, interconnections and relationships to be considered in evaluating social innovation across all of its phases, and the key determinants, dimensions and consequences of SI (e.g. supporting conditions, blocking processes, participants, outputs and impacts, etc.).

The evaluation framework proposed draws on the theoretical underpinning of work in SIMRA on social innovation and marginalised rural areas, and the engagement with stakeholders in the Social Innovation think Tank (SITT), and the theory of change. These underpin the identification of a set of core dimensions for addressing SI process, SI project and related SI effects (Section 4), and a detailed analysis of the sub-dimensions, components and variables for assessing and evaluating SI (Section 5). One of the core dimensions of the evaluation framework is 'agency', in processes of reconfiguration of social practices. Agency refers to the initiator and developer of SI in a territory (not necessarily as a single individual but rather a network or organisation), as well as to one of the key respondents in the assessment process. It is the starting point for exploring why and how the SI initiative emerged in a certain marginalized rural area, for understanding the process of social innovation, and the role of small networks amongst actors as the initial aggregation (clique) that initiate the change.

A second core dimension is the *reconfiguring of–reconfigured social practices*. This dimension can be considered as the 'black box' of social innovation in marginalized rural areas. The evaluation framework seeks to deepen understanding of the components and variables that explain this process of changing relations, conditions and ultimately social practices. These key sub-dimensions are new governance arrangements, new networks and new attitudes. Finally, special attention is given to the effects of SI initiatives, included measurable immediate outputs, outcomes on direct beneficiaries of the SI initiative, and impacts on both direct and indirect beneficiaries in a given territory.

Social innovation initiatives may be established in a marginalised rural area within a EU or non-EU Mediterranean target country. In the approach developed, any SI initiative is considered to comprise of two parts requiring evaluation in conjunction with each other. The first part is the SI process, and the second is the SI project. The SI process occurs with the emergence of the SI idea through the reconfiguration of social practices. The SI process is based on the following dimensions: perceived context, agency (actors and preparatory action), from reconfiguring to reconfigured social practices (i.e. new governance arrangements, new networks, new attitudes). Once these dimensions have occurred, the SI project emerges based on inputs, activities and outputs. These two parts determine outcomes and impacts (identified as 'SI effects') in the economic, social, environmental and institutional domains.

In setting the evaluation methodology, the assumption is that the local level (in spatial, jurisdictional and social scales) is the most relevant for assessing and evaluating a SI initiative and its impacts in a marginalized rural



area. SI often happens at lower spatial levels, and in particular, at the local level where individuals, single organisations and local networks matter in project implementation. The majority of the SIMRA database of examples of SI are developed at a local level, within relatively limited territorial areas and size. Even if SI emerges in a multi-level context and its dimensions, sub-dimensions and components refer to different spatial levels, their effects are typically local. For example, while triggers that lead to the emergence of a SI may occur at any spatial level (e.g. international, national, regional or local), they become salient for SI when their effects and reactions are at a local level.

The local level at which the SI occurs in a certain territory can have distinct boundaries (e.g. a group of landowners within the same municipality) or indistinct boundaries (e.g. a private-public hybrid network engaged in different nearby areas but not in the same municipality). Different solutions are proposed for the evaluation, depending on specific circumstances of the case study. A link to higher jurisdictional and spatial levels is provided by the policy analysis included as a key part of the evaluation. Local effects of regional or national policies are identified, and if incongruences or inconsistencies between policies (e.g. policy gaps) are identified, the matching between local and the higher levels is explored through interviews with policy experts.

The focus for data collection is at the micro-level, and the statistical units of analysis are individuals or single organisations or local networks that act in SI initiatives. The focus on SI impacts is at the meso-level of analysis, and the statistical units of analysis are the specific SI initiative (i.e. the case study) as well as the territory where the SI project is implemented. Primary data are collected at the local and or territorial level while secondary socio-economic, institutional and environmental data, often available at regional, national, European and other macro-regional spatial levels, can be found in various databases (but the data availability and level of aggregation have to be checked on a case-by-case basis). In terms of the *momentum* when the evaluation is carried out with respect to the SI initiative phase of development, in SIMRA only ex-post evaluations are possible. SI cannot be foreseen or planned, but it emerges spontaneously due to the convergence of factors (e.g. an innovator having an idea, supporting perceived context conditions, social dynamic processes that lead to develop the initial idea until its implementation in practice). Then, the proposed evaluation approach and set of methods can be integrated with existing frameworks, for example the EC Common Monitoring and Evaluation Framework. The proposed methods for data collection, processing and evaluation integrate both qualitative approaches and tools (e.g. focus groups, semi-structured interviews, document analysis), and quantitative approaches and tools (e.g. structured interviews based on closed and open coded questions, indicators and complex indices for measuring the SI initiative performance in terms of effectiveness, efficiency, relevance, sustainability, impact and other evaluation criteria). Final reporting is preliminary designed for triangulating information collected by means of qualitative-oriented tools (and described by narrative texts) with data collected by means of quantitative-oriented tools (and described by means of performance indicators, numbers and figures).

An impact evaluation will be applied in SI case studies by adopting two different approaches, the choice between which depends upon the case. An impact evaluation is an assessment of the causal effect of a project, a programme or a policy on beneficiaries (compared to non-beneficiaries). It uses a counterfactual to estimate what the state of the beneficiaries would have been in the absence of the programme (the control or comparison group), compared to the observed status of beneficiaries (treatment group), and to determine the intermediate or final outcomes attributable to the intervention (in this case, the SI initiative).

In SIMRA, an impact evaluation based on robust statistical techniques will be applied only in those specific SI case studies where such a type of impact evaluation is technically feasible (i.e. where the cause-effect relation between the SI and its impacts can be identified and measured separately with respect to the effects due to other factors). The identification of the cases to be evaluated using statistical techniques of impact evaluation will be performed by the CS Teams on a case by case basis in the initial steps of the evaluation process, in collaboration with Work Package 5. Those case studies that have the minimum basic characteristics for being evaluated using the proposed statistical techniques will be used as explicatory case studies to demonstrate SI impacts in MRAs, to check how an impact evaluation of this type should be implemented in practice. They will be used for cross-checking whether the analysis based on stakeholders' perceptions of changes (based on



primary data and qualitative methods) is consistent/aligned with the findings based on the statistical techniques of impact evaluation (based on secondary data and quantitative methods). To focus the evaluation on key impacts (to reduce costs and capture the real meaning and consequences of SI), the method is based on the identification of 'significant aspects and impacts' on the economic, social, environmental and institutional domains. Specific criteria and methods for identifying 'significant impacts' are proposed.

Finally, the preliminary set of methods and tools developed and presented was co-created, taking into consideration the suggestions provided by members of the SIMRA SITT and the literature on SI evaluation and other fields of evaluation. This includes reports published by other EU-funded research projects on SI, i.e. it integrates the requests expressed by practitioners, evaluators, and experts in agriculture, forestry and rural development with the scientific knowledge on, and technical solutions for, evaluation.

Deliverable 4.2 is divided into four Parts. The review of existing methods is in Part I. Part II explains the relationship between the general theoretical background and the evaluation framework proposed (Section 4) and provides details of the dimensions and variables proposed for evaluation (Section 5). The architecture of the proposed SIMRA evaluation approach, process, framework and set of methods is in Part III (Section 6). The instructions for testing the preliminary set of assessment and evaluation methods is in Part IV (Section 7) are operational and include the preliminary questions in Annex 1, and a list of key terms to facilitate the comprehension by CS Teams in Annex 2. The questions by target population (i.e. the questionnaires to be submitted - by means of face-to-face interviews - to the different categories of actors in the case study) are provided in Deliverable 5.1. As a demonstrator, additional supporting resources for assessment and evaluation are accessible on the SIMRA Web Site (www.simra-h2020.eu/resources), including the methods identified and the database of the methods analysed.

Each part of this deliverable can be read standalone. To facilitate the reading, target readers and users are identified for each Part.

Part I - EXISTING KNOWLEDGE provides a review of the methods analysed in Section 2 and a detailed analysis of consultation with members of SIMRA SITT in Section 3. The list of identified and analysed frameworks, approaches, methods and tools (as a Word file) and the database with the methods analysed (as an Excel file) are available online in SIMRA Web Site. The main target readers and users of Part I are SIMRA partners and SITT members.

Part II - SETTING THE SCENE: WHAT WE NEED TO EVALUATE AND WHY contextualises the rationale for the development of the evaluation framework in Section 4 and describes the phases, dimensions, sub-dimensions, variables and related interconnections that likely characterise social innovation in marginalised rural areas (Section 5). These elements represent the core contents of the evaluation, responding to questions of what we need to evaluate and why. Section 5 describes in detail the evaluation framework, designed for the specific purpose of targeting methods and tools of evaluation that address the different elements of an SI initiative. The main target readers and users of Part II are leaders and project partners in Work Packages 5 and 6.

Part III – SETTING THE METHODS: HOW TO ASSESS AND EVALUATE SI IN MRAs provides the fundamentals for understanding the proposed evaluation strategy. Section 6 provides a detailed summary of the elements and sub-elements of the evaluation approach adopted in SIMRA and contextualises them within the overall architecture for assessment and evaluation that SIMRA will have by the end of the project. Based on the evaluation framework proposed in Section 5, it distinguishes the three phases of SI innovation (SI Process, SI Project and SI Effects), and identifies the spatial and temporal levels for evaluation, as well as a set of preliminary questions for assessing their relationship to standard evaluation criteria (relevance, efficiency, effectiveness, impact and sustainability). It provides a specific section on the conditions for carrying out impact evaluation, assuming that two approaches to impact evaluation are possible in SIMRA. The main target readers and users are leaders of Work Packages 5 and 6, and the CSs Teams.

Part IV - INSTRUCTIONS FOR PILOT ASSESSMENT AND EVALUATION OF SI IN MRAs FOR WORK PACKAGES 5 AND 6 specifies the steps and operational instructions that SIMRA CS Teams will follow to test the preliminary set of methods and tools in pilot SI CS initiatives (Section 7). It also specifies the steps and operational



This project has received funding from the European Union's Horizon 2020 research and innovation programme under Grant Agreement No 677622



instructions that Work Package 6 will adopt for the analysis of policy processes, including questions on policy issues that will need to be used in a complementary way in the evaluation of CSs at a local level. Information relevant to policy analysis will be collected at local level by CS Teams using the guide for semi-structured interviews. This will use the questions in Annex 1 once be tested in Work Packages 5 and 6. A list of key terms to facilitate the interpretation and translation of questions and other elements of the method (e.g. identification of persons to be interviewed) into the local languages of case studies completes this part (Annex 2). The main target readers/users are WP5 and WP6 Leaders and pilot CSs Teams.

A final set of concluding remarks (Section 8), acknowledgements and references complete the document.



1. Introduction

1.1. Objective and Purpose

The overall goal of SIMRA Work Package 4 (WP4) is “to build up an innovative, integrated set of methods to evaluate a range of aspects/impacts of social innovation (SI) activities/organisations/networks on, in conjunction or separately according to the needs, economic, social, ecological/environmental and institutional/governance components of territorial capital in marginalised rural areas (MRAs) across the target region” (SIMRA Grant Agreement 677622: 31). The first objective of WP4 is to develop and test an innovative, draft set of methods to measure SI in MRAs, its impacts and related policy implications. In order to reach this stated research objective, two series of research Tasks and related Deliverables were planned. The main output of Task 4.1 was [Deliverable 4.1](#) (Secco *et al.*, 2016). It provided guidelines for the identification and analysis of existing frameworks, approaches, methods and tools of evaluation for used or adaption for the evaluation of social innovation and its impacts in relation to the economic, social, environmental and institutional and governance domains, as well as to its policy implications. The main goal of D4.1 was to provide a standardised tool for exploring what other projects and publications had reported (i.e. how to explore and analyse the literature).

This deliverable aims to provide instructions on the evaluation practice and the data collection in the SI case studies in order to assess SI, its impacts and related policy processes in each case study (for use in Work Packages 5 and 6). More specifically, it provides guidelines for an initial application of the proposed method in a few pioneer¹ case studies. The main aim of such pilot application is to test the applicability (the practical assessment) of the preliminary set of methods and related tools that are proposed for use in SIMRA. This deliverable describes the background on how the set of methods has been developed and how it should be applied in practice. To do this, it combines: a) the analysis of existing frameworks, approaches, methods and tools to evaluate SI and its impacts that have been identified in literature (Task 4.2); b) the analysis of the existing qualitative frameworks, approaches, methods and tools to evaluate policy implications of SI (Task 4.3); c) the opinions expressed by the members of the SITT at their workshop in Bratislava (October 2016), and in the second online consultation (July 2017); d) a step-wise process of development of an integrated and innovative set of methods and tools, that will be tested and refined during the next months of the project on the basis of the pioneer case studies and pilot tests results.

The purpose of Deliverable 4.2 is as a set of instructions to guide the design of assessment and evaluation and test the collection of first empirical results of SI initiatives and their impacts in pioneer SIMRA case studies (WP5), and in selected political processes (WP6). Feedback on its implementation will be used to refine the proposed set of methods and tools, and develop a more advanced version to be used in 2018 to collect empirical results across all SIMRA case studies and policy processes. In doing so, Deliverable 4.2 prepares the ground for the final manual (Deliverable 4.3, i.e. the main expected output of WP4 at the end of SIMRA) that will be used by evaluators to assess SI in marginalised rural areas (MRAs), its impacts and policy implications. The final, integrated set of methods for use in SIMRA, will be a timely and novel element for supporting decision-making, based on SI assessment and evaluation².

¹ Pioneer case studies are SI case studies identified in the SIMRA [online database](#) of social innovation in marginalised rural areas (Bryce *et al.*, 2017) which the preliminary set of methods will be on with, to check the assessment in practice. They are intended to be “pilot tests”, to verify whether the proposed evaluation framework, methods and tools are complete, clear, functional to the evaluation purposes, and understandable by data collectors and analysts (CS Teams, WP5 and WP6). They will be piloted in the testing of the proposed methodology.

² Despite these two terms being often used synonymously, they specify two different concepts: while assessment means “the action of assessing something”, evaluation means “the making of a judgement about something” (Oxford Dictionary online, 2017). SI assessment includes all those activities that are necessary (e.g. identification of methods, data collection, etc.) for completing the evaluation (i.e. for having a final judgement) of a SI initiative. The term evaluation used in D4.2 includes also the term assessment (unless differently specified).



Deliverable 4.2 provides the rationale, and a first attempt at specifying the key dimensions on which to focus the evaluation of SI in marginalised rural areas (MRAs). It proposes a specific and innovative approach to the assessment and evaluation in a field as diverse and complex as that of social innovation in MRAs in relation to agriculture, forestry and rural development, to be tested in Work Packages 5 and 6.

1.2. An Overview of Work Package 4 Activities

An assessment and evaluation framework³ for social innovation, its impacts and related policy processes needs to be specific and strictly connected to the definition of SI, yet broad enough to include the variability and breadth of cases of social innovation in marginalised rural areas throughout Europe and non-EU Mediterranean areas. The various steps and paths towards developing the SIMRA evaluation methods and tools for evaluating SI and its impacts and policy implications, briefly recalled in the previous paragraph, are presented in Figure 1.

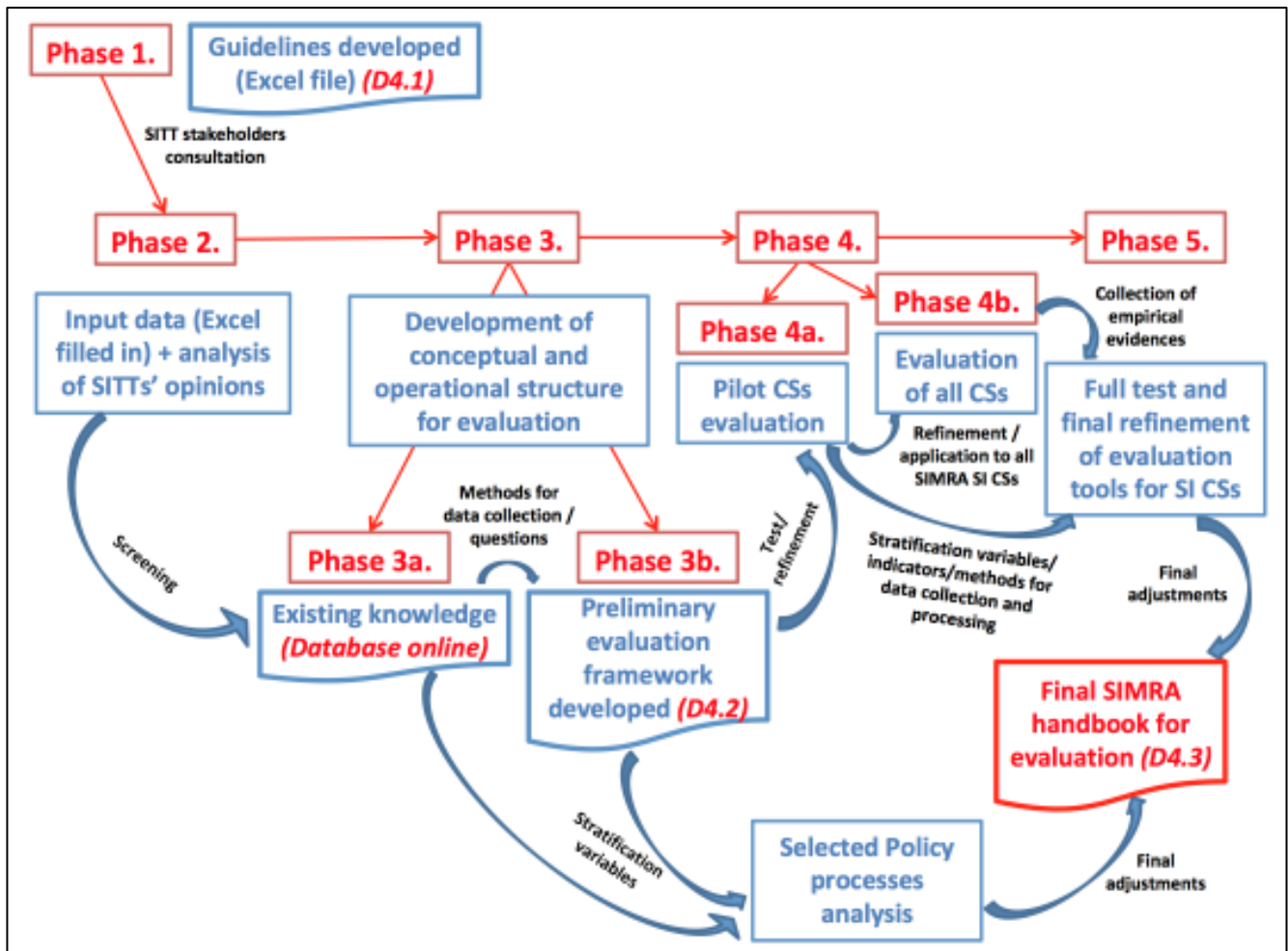


Figure 1. Paths to the development of evaluation methods and tools for use in SIMRA. (Source: SIMRA research team).

Phase 1 consists of the development of the Guidelines for identifying and analysing, following a standard approach, existing methods to be used in or adapted to the evaluation of social innovation in marginalised rural areas (Secco *et al.*, 2016). At the same time, members of the SIMRA Social Innovation Think Tank (SITT) members are consulted on methods for evaluation in a world café session held at the SITT workshop (Bratislava, 28th October 2017). The main outputs of Phase 1 are reported in Secco *et al.* (2016; D4.1)

³ From now onwards “assessment and evaluation framework” is “evaluation framework”.



[Deliverable 4.1](#) and the [summary report](#) to stakeholders on the results of the consultation. These outputs derive from completion of Tasks 4.1 and 2.1 (Polman *et al.*, 2017).

Phase 2 comprises the compilation of an Excel file for analysing the identified existing methods, and a more detailed analysis of the results that emerged from consultations with members of the SITT at the workshop (Bratislava, 2016) and online (July 2017). The principal outputs of Phase 2 are internal to SIMRA, and consist of: (i) a database of existing methods, analysed in detail (in an Excel structure, provided in Secco *et al.*, 2016; D4.1)⁴, and (ii) main observations and suggestions made by SITT members in the consultations. These documents have driven the development of the evaluation framework and the related proposed methods and tools.

Phase 3 comprises the development of the evaluation framework in its conceptual and operational fundamentals. It includes two sub-phases:

- (i) the compilation of a document collecting and organising potentially useful ideas/methods/variables, extracted from the analysis of existing methods and consultation with members of the SITT (Figure 1, Phase 3.a), and
- (ii) the development of an evaluation framework and related methods and tools, specifically designed for targeting such methods and tools to the various dimensions and aspects of SIs in MRAs (Figure 1, Phase 3.b).

The main output of Phase 3 is this deliverable, which provides:

- (i) a detailed explanation of the requirements for the assessments and evaluations in order to understand a SI initiative, its impacts and related policy implications;
- (ii) an overview of the SIMRA approach and methods proposed to assess and evaluate a SI initiative and, finally, the guiding operational instructions to WP5 and WP6 for understanding and testing this preliminary set of methods and tools.

Phases 4 and 5 of the development process will be reported in Deliverable 4.3.

⁴ This database is available online in the SIMRA Web Site at www.simra-h2020.eu/resources.



This project has received funding from the European Union's Horizon 2020 research and innovation programme under Grant Agreement No 677622



PART I – EXISTING KNOWLEDGE



2. Literature Review: A Brief Overview of Existing Methods

This Section provides an overview of the literature analysis⁵ on existing frameworks, approaches, methods and tools for evaluation that could be applied or adapted to the case of social innovation in marginalised rural cases. In the following we provide: i) an outline of the methodological steps used for the literature analysis, and ii) a synthesis of main results. The SIMRA database of frameworks, approaches and methods, with detail of analysis and specifications of evaluation tools, are accessible in the SIMRA Resources webpage (see www.simra-h2020.eu/resources/)

2.1. Materials and Methods of Literature Analysis

The selection of publications for the analysis was carried out separately for each domain (economic, social, environmental, and governance/institutional). However, the selection criteria used were common. An initial screening enabled the identification of a number of publications in each domain, presenting frameworks, approaches, methods and tools used in different fields for evaluation. An electronic search aimed at identifying the frameworks, approaches, methods and tools in Scopus, Google Scholar and Web of Science databases was carried out using text terms with appropriate truncation and relevant indexing terms⁶. Additional publications were identified from the reference lists of reviews retrieved within the electronic search.

The search was not limited to any language or country of publication. However, not all the identified publications were relevant to social innovation and/or social innovation in marginalised rural areas. To be included in the analysis, a framework, approach, method and related tool needed to respect the following criteria: i) to refer to the specific domain of the sub-task (economic, social, environmental or governance/institutional); ii) to encompass, directly or indirectly, social issues; iii) to be accessible, so that judgement of its relevance based on the other criteria was feasible. The full text the publications and studies fulfilling the inclusion criteria were collected and evaluated for relevance according to the aim of the review. Reviewing the scientific literature provided few insights, so the search was expanded to include white papers, grey literature and other reports. As a result, the above procedure was repeated on Google and Bing search engines rather than only in scientific databases⁷.

The main inclusion/exclusion criterion applied to all the domains was that of relevance to the specific domain⁸. However, overlaps between domains have been identified. For example, some frameworks, approaches and methods are related to social and environmental domains, but use economic (monetary) terms and/or borrow heavily from methods developed in the discipline of economics. Several tools have been excluded due to the fact that they are not free to use.

⁵ Secco *et al.* (2016) in Deliverable 4.1 provided guidelines for the identification of existing frameworks, approaches, methods and tools of evaluation and a standardized reporting form for their analysis (Annex - Excel file). The literature review was carried out by SIMRA sub-Tasks 4.2.1, 4.2.2, 4.2.3 and 4.2.4 on economic, social, environmental and governance/institutional aspects of SI, as well as by Task 4.3 on qualitative methods for policy analysis. Work Package 4 Leader focused on the evaluation frameworks developed by the EU, large research and evaluation consortia, and think tanks and studies more explicitly focused on social innovation.

⁶ The search in the economic domain was in the form: [*economic terms*] and [*evaluation terms*] and [*area/sector terms*] and [*social innovation terms*]. The search terms used were: *economic, cost, investment, benefit, turnover, value added, wealth, income, employment, wage, development, growth, capital, spending, efficiency, effectiveness, impact, evaluation, valuation, assessment, framework, approach, tool, toolkit, toolbox, method, rural, urban, peri-urban, local, regional, agriculture, forestry, social innovation, innovation, NGO and social enterprise*.

⁷ In the example of the economic domain, the search in the Tools and Resources for Assessing Social Impact database (<http://mckinseyonsociety.com/social-impact-assessment/what-is-social-impact-assessment/>) used the criteria: i) Approach: Tool, Method, Best Practice; ii) Purpose: Assessment; iii) Organisation: Social Enterprise, Social Investor; iv) Sector: General Applicability; v) Focus: Organisational Effectiveness, Impact, Outcomes, Outputs; vi) Geography: Developed Countries; vii) Techniques: Benchmarking, Cost Analysis, Descriptive Statistics, Expert Review, Mapping Methods, Multidimensional Indices, Regression Methods, Strategic Assessment.

⁸ A situation often encountered by the economic subtask was that economic aspects were confused with individual user benefits or broader social impacts, such as the valuation of changes in amenity or quality of life factors (e.g. health, safety, recreation, air or noise quality). As a result, these kinds of frameworks, approaches and methods were excluded, except insofar as they examined an area's level of economic activity.



Where relevant, frameworks, approaches or methods have been included if designed for applications in the field and potentially applicable at a local scale (with minor or major changes and based on data availability). However, references to social innovation aspects as defined by SIMRA is not guaranteed.

For each framework, approach or method identified through the search, general information on the overall assessment method and related tools were provided. The level of specificity of the method in relation to social innovation was considered, its domains and territorial sector described, and the evaluation characteristics specified in detail. An overview of the frameworks, approaches and methods in the “hot-spot” have been provided⁹.

2.2. Main Findings

In total, 163 frameworks, approaches and methods were collected, but only the most relevant (n. 111) were analysed fully. Often, a single framework, approach and/or method comprises a number of assessment or evaluation tools. Consequently, within the 111 analysed sets, 214 tools were identified and described. Although different meanings may be used, 62.2% of the tools mentioned the word “framework”, “approach, or “tool” in the text, and 69.4% use the term “method”. The majority of the methods have a full reference (97.3%), and in 73.9% of the cases a website address is also provided. Less than half of the cases (45%) include an evaluation design. The main source of information is scientific articles (approximately half), followed by technical manuals, books and webpages. In the majority of cases, the intended context of application is not specified, and in only 30.9% of cases the focus is explicitly on rural areas (Figure 2). The scale of application is very often global (54.1%), or for Europe (32,4%), with few in Africa and Asia (Figure 2).

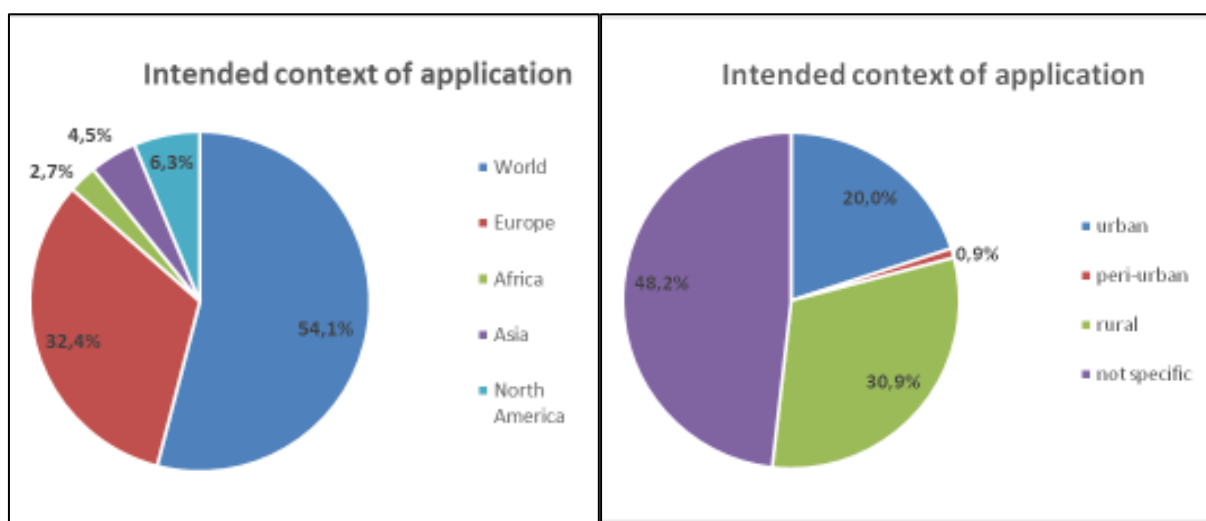


Figure 2. Applications of the frameworks, approaches and methods analysed, in terms of geographical region, and context (Source: SIMRA research team based upon the SIMRA database of frameworks and methods).

⁹ As an example, in the economic domain the main observations about frameworks were that: i) IRIS has a very rich database with metrics; ii) SIMPACT (an FP7 EU-funded project) is very relevant to the SIMRA approach but, at the time of our literature survey, has not published its assessment framework; iii) TEEB has provided a standard for environmental valuation, and is applied in economics; iv) MIAA framework provides concrete and detailed explanations of how it should be applied (which is useful for the development of SIMRA methods); v) “Assessing social impact in private ventures” and “Double bottom line” frameworks are collections of tools; vi) Poverty and Social Impact Analysis is addressed for use at a higher scale, but some methods might be adjustable to local use; vii) Bill & Melinda Gates Foundation contains important methods and tools; viii) the UK HM treasury is the only one referring to stated preference methods, but relatively basic examples; ix) making the most of it, economic evaluation in the social welfare field has interesting case studies and narrative; x) some (e.g. the polyhedral model) are very new and it is not possible to obtain much information in terms of approaches and methods. Cost-Benefit Analysis (CBA), Cost Effectiveness Analysis (CEA) and Social Return on Investment (SROI) are the most popular methods. The Local Multiplier 3, Stated Preference Surveys and Revealed Preference Surveys are the most widely used.



Scientists are the main developers or proponents of individual frameworks, approaches or methods and related tools, sometimes in collaboration with other categories (e.g. institutional organisations)¹⁰. Target users are heterogeneous and principally comprise the scientific community (73%), policy programme and project evaluators (62%), consultants (47%) and community-level organisations (39%) (Figure 3).

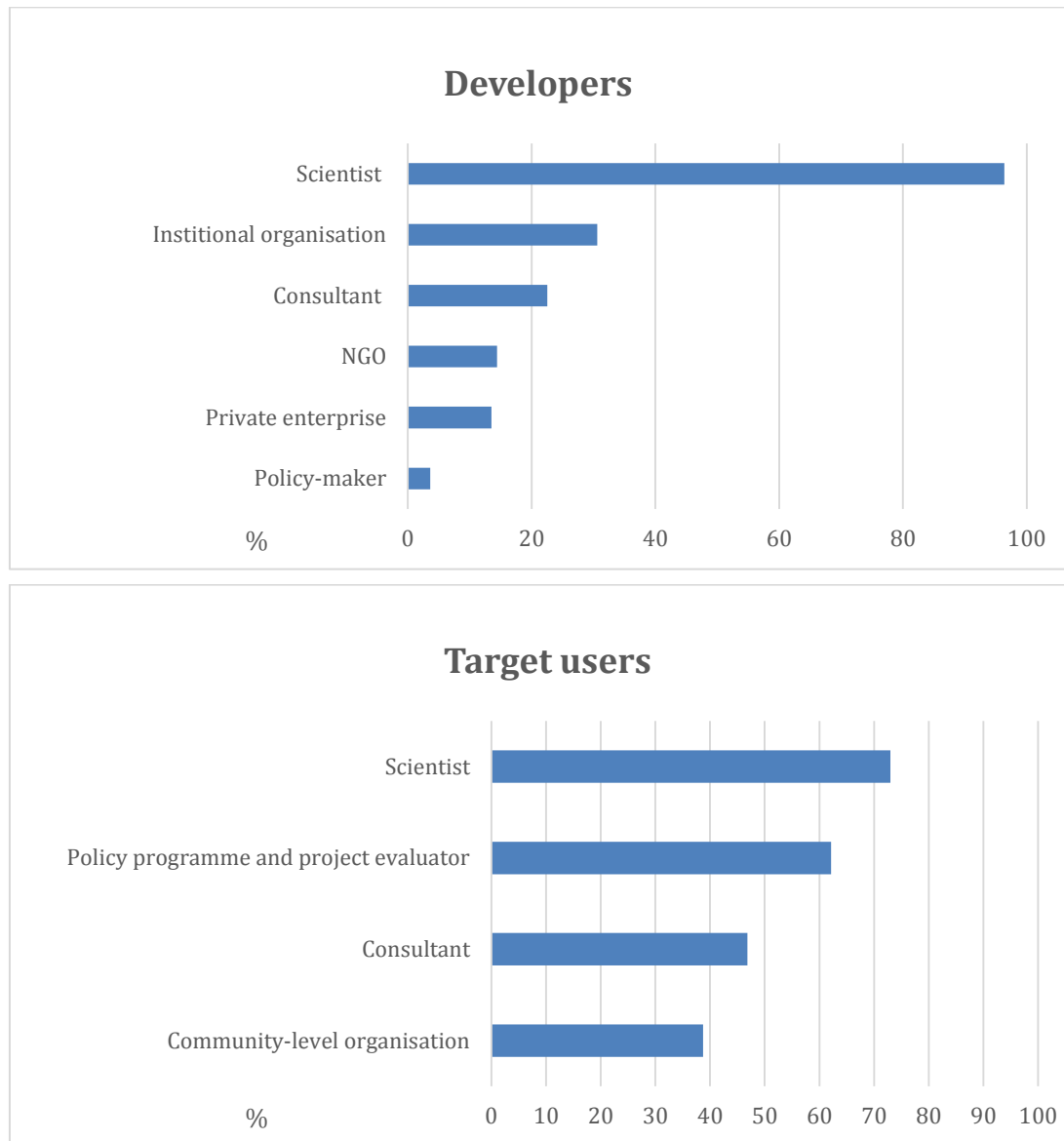


Figure 3. Developers of the frameworks, approaches and methods by community of origin, and intended target users (Source: SIMRA research team based upon the SIMRA database of frameworks and methods)

Over two-thirds of the analysed methods do not explicitly mention social innovation. In a few cases the topic is secondary or an indirect area of interest, while only in the remaining cases (21.6%) is it the main scope of application. Amongst the evaluation frameworks specifically focused on social innovation, there are several EU-funded projects, included: CrESSI (Creating Economic Space for Social Innovation), TEPSIE (The Theoretical, Empirical and Policy Foundations for Social Innovation in Europe), TSI (Third Sector Impact), SI-DRIVE (Social Innovation: Driving Force of Social Change), BENISI (Scaling Social Innovation), and SIMPACT (Boosting the Impact of Social Innovation in Europe through Economic Underpinnings). However, they are typically oriented towards urban areas and other types of innovation. The innovation to which publications and reports refer in

¹⁰ Joint development of frameworks, approaches and methods by more than one community (e.g. scientists together with institutional organisations, or with NGOs) is the reason for the total percentage being greater than 100%.



the evaluation frameworks are mainly organisational (87.5% of cases), with a smaller percentage dealing with innovative processes (54.2%), products and markets.

Several frameworks, approaches and methods of evaluation do not directly relate to social innovation. However, they were included in the analysis because they deal with analysing or assessing issues related to one of the four domains of interest for SIMRA (i.e. economic, social, environmental, and institutional). The largest group of frameworks, approaches and methods (35 in total) deals with the social domain, which includes a broad literature on social capital and network theory. All those identified have also been fully analysed in the Excel file.

In the economic aspects domain, 18 frameworks, approaches and methods have been identified; all of them have been analysed in detail and provided in the Excel file. In the environmental aspects domain, there are 28; only a sub-set of them have been fully analysed in the Excel file, focusing on those with promise in relation to social innovation issues. Forty-seven frameworks, approaches and methods have been identified on governance and institutional aspects. However, only a few have been included and fully analysed in the Excel file, as in many cases they were considered inappropriate for the operationalization of assessment and evaluation in the field and at local level.

Governance/institutional aspects can be distinguished into two main categories: i) governing related; ii) institutional change/institutional environments. The former is observed in the forms of acting, interacting, steering, and the latter as existing frames, rules and regulations, norms, and administrative systems. These two categories interrelate.

The reasons for a noticeable lack of methods in the literature is related to there being few operative approaches to evaluate governance and institutions (especially at local level), and because the topic addresses many interrelated issues, several of which overlap with other domains. These include social network analysis, stakeholder analysis, dialogue instruments/conferences, participatory methods, GIS mapping, and cost-benefit analysis. Many of these approaches and methods are included in the social or economic domains, as well as in the cross-sectoral, interdisciplinary and general sets of frameworks, approaches and methods. The latter have been analysed as a separate category (39 in total). Finally, a set of 8 frameworks, approaches and methods have been identified and analysed as qualitative methods specifically oriented to policy analysis.

Some of the frameworks, approaches, methods or tools specifically apply to the primary sector: 33.3% refer to agriculture, 21.6% to livestock and 23.4% to forestry. Other sectors identified are food, energy, cultural heritage, business, defence, education, industry, fishery, environment, medicine, mining, policy, and water. Rural developed is referred to by 39.4% of methods, and 29.8% to land use management. These typically adopt a multi-sector and multi-functionality focus.

At least 54.6% of the evaluation frameworks, approaches and methods require an external evaluator, while 24% of them can be used for self-assessment. Counterfactual analyses are used by 27.9%. Almost a third of cases can be applied to any phase (30.8%). Of those proposed for use in a typical final policy cycle phase 41.3% are for evaluation. Of those applied to the initial or intermediate phases of the typical policy cycle, 10.6% were in conception, 8.7% in formulation and 8.7% in implementation. As for the *momentum* (phase) of evaluation when the framework, approach or method can be applied, in 31.1% of the cases it is not specified, while in 30.1% it is for an ex-post evaluation. Only 16.5% are applied for ex-ante evaluations (see Figure 4). A few methods are designed specifically for application at the local scale.

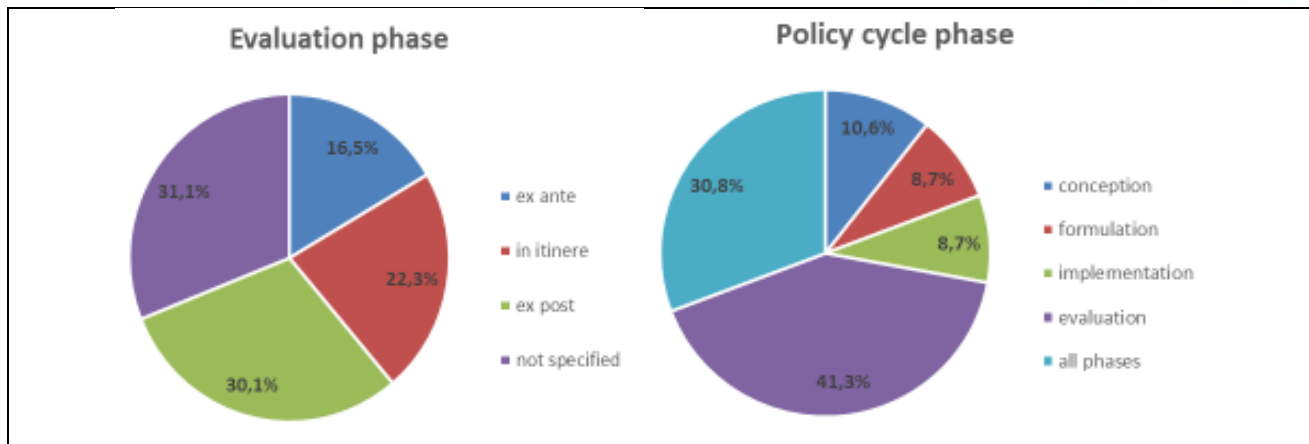


Figure 4. Percentage of frameworks and methods intended for different phases of evaluation and different phases in the policy cycle (Source: SIMRA research team based upon the SIMRA database of frameworks and methods).

Few methods adopt specific evaluation criteria, but the main ones are: impact (55%), effectiveness (45%), relevance (41.4%) and efficiency (33.3%). Other minor criteria are: equity, capacity and sustainability. Explicit use of indicators as main judgement references are used by 66.3%. Amongst them, the majority are focused on results, outcomes and impacts rather than process and inputs. The main source of data derives from primary data (76.8%), and indicators are based both on perceptions and objective facts. Only a few indicators respect the quality criteria for being considered SMART (Specific, Measurable, Achievable, Relevant and Timebound), or RACER (Relevant, Accepted, Credible, Easy and Robust) indicators.

Of the methods analysed, 42.3% propose a participatory approach assessment, involving multi-stakeholders as beneficiaries, policy makers, citizens, experts, community representatives, farmers, decision makers, NGOs, companies, suppliers, public operators, households. Specific software is required 33.7%, for example for modelling, Social Network Analysis and GIS mapping.

More than 200 specific tools for assessment and evaluation were collected and described. These tools are used both for mixed (quantitative and qualitative) analysis (27.1%); or focus on the use of quantitative (36.4%) rather than qualitative data (31.3%). The majority (54.2%) require primary data collection, and only 10.3% are based on secondary data (Figure 5).

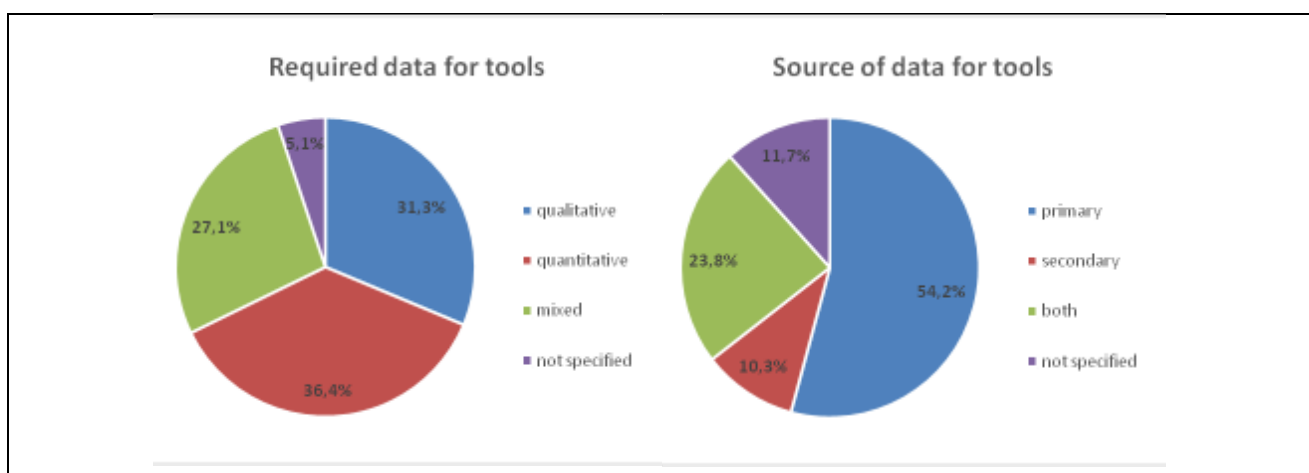


Figure 5. Tools identified for qualitative and quantitative analysis from both primary and secondary data collection sources (Source: SIMRA research team based upon the SIMRA database of frameworks and methods).

Each framework, approach, method and tool which was analysed was described in a qualitative way. The strengths and weaknesses were considered in detail, whether or not the frameworks, approaches or methods



This project has received funding from the European Union's Horizon 2020 research and innovation programme under Grant Agreement No 677622



refer explicitly to social innovation. Consideration was given to their applicability, replicability and adaptability to the assessment of SI in marginalised rural areas, within the SIMRA project. All these details can be found in the list of frameworks, approaches and methods, in the SIMRA Frameworks and Methods database, which includes the specifications of evaluation tools and their characteristics. Full references are also provided. This material is accessible in the SIMRA Resources webpage (www.simra-h2020.eu/resources/).



3. Consultation with SIRA SITT

3.1. Consultation Process

In 2016, the SIMRA Consortium invited experts and stakeholders to join the **SIMRA Social Innovation Think Tank (SITT)**. Since its creation, SIMRA has carried out three consultations, two online (July 2016 and July 2017), and one face-to face workshop (Bratislava, Slovakia, October 26 to 28 2016). The approach adopted in WP4 was to use the consultations as a guide to the development of the evaluation methods through a participatory approach. A [summary report](#) was produced of the consultations of the SITT workshop in Bratislava.

This section provides insights and results obtained from the consultation with the SITT in the workshop and the online survey in July 2017 (Box 1). The summary of the first online consultation was provided in [SIMRA Deliverable 4.1](#) (Secco *et al.*, 2016).

Box 1. Consultation of SITT members on evaluation methods (WP4): meeting in Bratislava (October 2016) and second online consultation (July 2017)

The objectives of the consultation on evaluation methods were to: 1) identify the most appropriate and useful approaches, frameworks, methods and tools that could be used for assessing SI, based on the experience and expertise of the members of the SITT; 2) understand the types of outputs stakeholders would have liked to obtain from an assessment of SI in marginalised rural areas, in terms of types of data and information, format and level; and 3) describe and classify the frameworks, methods and tools for assessing SI by economic, social, environmental, governance/institutional domains.

The consultation session on evaluation methods was divided into two parts. For the first part of the session, the world café participatory approach was adopted. Four topics were addressed in three rounds of discussions focusing on issues related to approaches, assessment frameworks, methods and tools. There were rich discussions in all four groups. The issues covered were: 1) outcome-oriented versus process-oriented evaluation methods; 2) participatory versus experts-based evaluation methods; 3) primary and secondary data; and 4) qualitative versus quantitative methods. The underlying guiding questions were: *what* information would you like to obtain from an evaluation of social innovation? If you were tasked, *how* would you evaluate social innovation? How would you measure SI? What would you expect from those methods? What are their pros and cons? During the second part of the session, participants were encouraged to brainstorm potential indicators to evaluate SI.

The results were based on the joint work of four facilitators and four rapporteurs. The results are derived from the posters (see Figure 7) and the notes taken by the group rapporteurs. Each round of discussions was recorded with permission of SITT members and the recording used to complete the rapporteur notes.

The second online consultation (July 2017) was led by WP2 by means of SurveyMonkey. For WP4, the SITT members were asked for their reflections on a fifth dichotomy: 5) the use of a descriptive versus a normative approach in assessing SI. The specific aim was to understand the opinions of members of the SITT, and suggestions on when it would be best and/or feasible to adopt either or both approaches. The questions comprised a set of three main and sub-questions. Replies were received from 18 members of the SITT.

The following sections contain the results of the consultation process. Details are provided because of the relevance of the results in guiding the development of the evaluation methods and their inclusion in the preliminary list of questions proposed in Annex 1. These results are presented by topic, as discussed in the consultation workshop held in Bratislava, and the online consultation in July 2017. These include tables in which are summarised the strengths and weakness as identified by SITT members, a preliminary list of suggested indicators, and a summary of how suggestions were used in development of the evaluation method.



3.2. Topic A: Outcome-oriented Versus Process-oriented Evaluation

The discussion on process-oriented versus outcome-oriented evaluation¹¹ revealed the opinions of stakeholder on the role of two different types of evaluation in relation to SI, outcome-oriented and process-oriented evaluations (Table 1, Figure 6). Some SITT members highlighted how the evaluation depends on whether SI is defined as a process or as a result, and on the length of the project or activity. Other members of the SITT suggested that both process and result requires to be evaluated because of the relevance of the importance of the relationship between process and outcome. In all the cases, a process-oriented evaluation was seen as a learning process.

Stakeholders highlighted the importance of measuring the tangible (hard) and intangible (soft) elements of SI, and identifying factors that contributed to success or failure in the SI process. Ex-ante evaluation was viewed as helping to reflect on strategies for selecting case studies for the evaluation of SI. Different starting points for SI (e.g. the degree of social involvement is different in different places), and the continuing development of the SI, was seen as a challenge to analysing results and outcomes. Different national contexts mean that what is SI in one country may be standard practice in another. Therefore, the social improvement to be measured as an outcome depended upon the context.

For some SITT members, there were different opinions on the measurement of social improvement, outcomes are the starting point for identifying the elements that led to failure or success; while the opinion of other members of the SITT was that evaluation should start with the situation (context analysis), then the assessment of process and outcomes. In both outcome and process-oriented evaluations, the use of common indicators was identified as important for comparability. In conclusion, it was agreed that a definition of SI was needed to enable the identification of what to measure and how that should be done (See Box 2 for the detailed results of the discussion).

Table 1. Summary of responses of SITT members on Topic A: outcome-oriented versus process-oriented data.

Outcome-based evaluation	Process-based evaluation
• Fulfills political expectations. • A limited set of indicators may be enough to measure the concrete results of a project, but may not be enough to identify it as a SI or not.	• Process is an important element in SI • Process-oriented evaluation is a learning process • Evaluation needs to rely on participatory approaches • It needs to focus on the informality of process • It needs to address motivation of participants

Source: SITT workshop, Bratislava, 28th October 2016 (Topic A).

¹¹ Process-oriented evaluation is defined by the OECD Glossary of Key Terms in Evaluation and Results based Management as: "Evaluation of the internal dynamics of implementing organisations, their policy instruments, their service delivery mechanisms, their management practices, and the linkages among these. Related term: formative evaluation" (OECD, 2010: 30) Outcome-oriented evaluation is defined as: "A study conducted at the end of an intervention (or a phase of that intervention) to determine the extent to which anticipated outcomes were produced. Summative evaluation is intended to provide information about the worth of the programme. Related term: impact evaluation or summative evaluation" (OECD, 2010: 35, see: www.oecd.org/dac/evaluation/2754804.pdf)



Figure 6. Results of the discussion on outcome-based versus process-based evaluation (SITT workshop, Bratislava, October 2016).

Box 2. The detailed contents of discussions on Topic A

During the 1st round of discussions, stakeholders expressed the need to clarify the meaning of evaluation, including whether what matters for evaluation is to understand how the process is developed, and how the nature of the outcome is related to SI. According to other members of the SITT, there are differences between results and outcomes. Consequently, **for evaluation purposes everything depends on whether or not SI is defined as a process or as a result**, and on which types of SI SIMRA is considering. More specifically there are two levels of results: (1) the SI itself, and (2) the impact of the SI on the elements addressed, such as the improvement of health in a community.

In relation to the last point, and following discussions in meetings of the SITT workshop with SIMRA Working Packages 2, 3 and 5, stakeholders highlighted **the importance of measuring the tangible and the intangible elements of SI**. Specifically, the recommendation was for the work on evaluation methods (WP4) to focus on different elements in relation to process versus outcome-oriented evaluations.

In relation to process-oriented evaluation, the objective is to improve processes. Therefore, the evaluation of SI in process-oriented evaluation requires focusing on the intangible features of development (e.g. SI processes comprising participation and interactions between different types of actors, with proactive or reactive attitudes), and on failures. In cases where results have not been achieved, reviewing the process may enable the identification of the factors that led to failure.

In relation to outcome oriented evaluation, it is important to have clarity from the outset about the results being sought. If the evaluation is of a specific project, then the results matter. If the results are good, then process matters. This statement was discussed at length reflecting the different visions of the stakeholders. This discussion highlighted the importance of process oriented approaches to the evaluation of successful projects.

During the 2nd round of discussions, a sharp difference in visions emerged between the process (the 'how') of the SI and the outcome (the 'how much') of the SI. The discussion about "how" highlighted that outcome-



oriented evaluation was important, should be adopted first, and should include the evaluation of process: *“first you look at outcomes and then, depending on the results (positive/negative) we look to the process”*. This view underlined the challenge for evaluators in changing the frames of evaluations from outcome-oriented to process-oriented, and raised questions such as which parameters are the easiest to obtain?

Discussion considered whether these indicators related to process or outcomes. Indicators relating to process are generally soft indicators, whilst indicators relating to outcomes are hard indicators. Hard outcomes are easier to evaluate and transform or translate into numerical estimates: *“Political expectations are always outcome oriented so you have to get them done”*.

The second expressed how the *“difference between SI and other innovation is related to the process”*. According to this view, in SI the important element is the process, so process-oriented evaluation is the most important, and should be able to address the ‘informality of processes’ in SI. To achieve this, it would be important to deal with unrealistic expectations, and to find ways to motivate actors to participate in evaluation processes. Stakeholders also highlighted that ways for dealing with a process-oriented evaluation could be different. They noted that with greater levels of involvement in evaluation, the more participatory the process could be, and the more opportunity of establishing a successful learning process through evaluation. A further item highlighted was the importance of the **relationship between process and outcome** and the need to evaluate both. For example, in the LEADER Programme the focus should be on both the result and whether it was more effective than a top-down approach.

During the 3rd round of discussions, it was stated that while policy makers like outcome-oriented, process-oriented are equally important, and more valuable to other actors. As noted in the 2nd round of discussions, an opinion expressed was that consideration should not be of process-oriented versus outcome-oriented, but both. For example, in the case of cooperatives, the results approach may indicate that they are unsuccessful because of networking failures, and yet a process-oriented evaluation captures their role.

Stakeholders highlighted that the choice of process versus outcome-oriented evaluation depends upon the objective of the evaluation. While the objective of outcome-oriented evaluation is clear, that of process-oriented may not be. The process may not be interesting in itself, but it is in relation to the results. Process ends with outputs, whilst the evaluation of outcomes draws on baseline indicators to evaluate impacts. However, since SI is not well defined, it is difficult to capture all the issues. Therefore, it was concluded that there are different levels of evaluation, which involve different stakeholders, with interests in different aspects of addressing the complexity of the process.

Finally, stakeholders highlighted how the focus is generally about socio-economic evaluation. However, it is also important to measure environmental impacts of SI if we understand SI as a sustainability issue, even if they are not defining SI. This led to a final observation about the added value of SI of measuring its environmental impacts.

Source: SITT workshop, Bratislava, 28th October 2016 (Topic A) (Facilitator: Elena Pisani, UNIPD; rapporteur: Diana Valero, Perth College).

3.3. Topic B: Participatory Versus experts-based Evaluation

The discussions in roundtable on participatory versus experts-based evaluations highlighted their strengths and weaknesses, and the complementarity of the approaches (Table 2, Figure 7). Expert-based approaches were considered to have more credibility associated with the results, while examples supported the use of participatory processes to legitimate, increase ownership and ultimately adoption and implementation. For example, participatory approaches were seen as crucial for assessing the ‘feeling’ or intangible aspects of those involved in SI (e.g. in the evaluation of LEADER) through indicators of trust, involvement of the community in innovative approaches, connection to other actors, and the level of acceptance and exchange of new practices. One of the perceived risks of participatory approaches was the loss of interest of participants (e.g. public).



SITT members also highlighted the importance of **evaluating the impacts of social innovation through actual changes in policy**. The group concluded that it was important to understand “*how you follow a story*”, and how you look at long-term impacts of SI (See Box 3 for the detailed contents of the discussion on Topic B).

Table 2. Summary of responses of SITT members on Topic B: participatory versus expert-based data.

Expert-based	Participatory-based
• Avoid bias, strive for objectivity • More experience in evaluation • Credibility of report results • Creates recommendations derived from participatory approaches • Effective for quantitative evaluations • Ensure validity of feedback to qualitative methods • Increase confidentiality of personal opinions • Possibility to generalise	• More effective from the perspective of end-users • Can validate results • Can be designed by experts • Ensures legitimacy • Enables capturing of process • Ensures ownership of results • Enables bottom-up mobilisation/lobbying • Allows scaling-up of results

Source: SITT workshop, Bratislava, 28th October 2016 (Topic B).

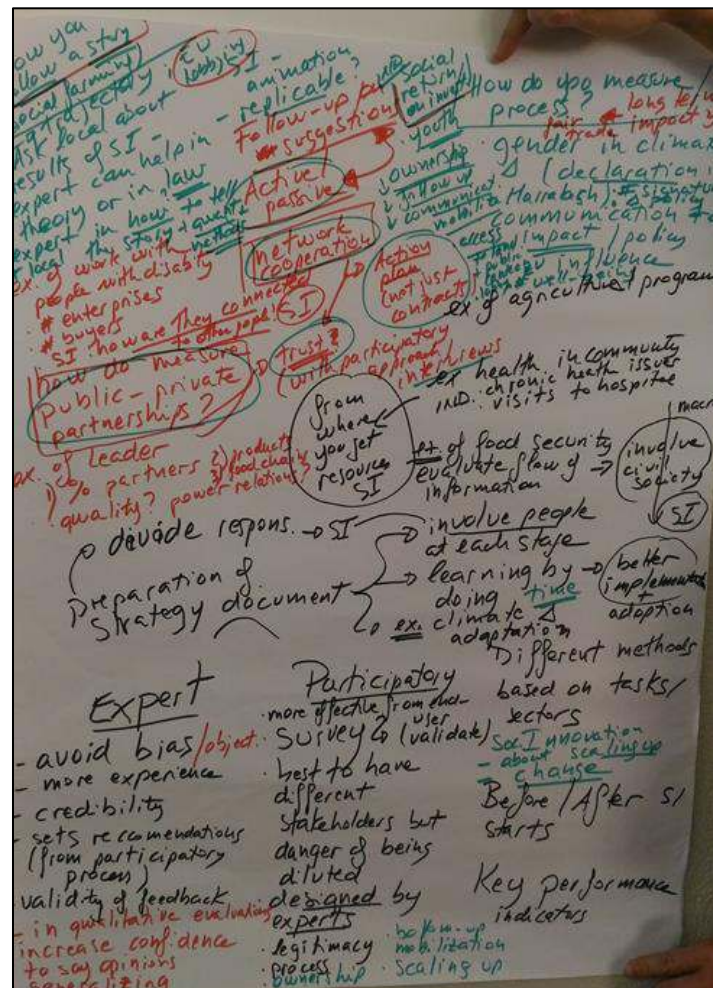


Figure 7. Findings of the expert-based versus participatory-based evaluation approaches (SITT workshop, Bratislava, October 2016).



Box 3. The detailed contents of discussions on Topic B

During the 1st round of discussion, the group considered the advantages and disadvantages of adopting expert and/or participatory based approaches for the evaluation of social innovation. On the one hand, expert-based evaluation was seen as avoiding bias, being more objective, lending credibility to the evaluation and to the recommendations that were proposed. It was also seen as increasing confidence in participatory processes, by setting up the methodology, analysis and reporting. On the other hand, participatory approaches were seen as a way to include different stakeholders (*"the vision of the end-user is very important"*), validate surveys (which could be expert-based), and provide legitimacy to the evaluation, although problems of bias were raised. It was argued that participation increases the ownership of the results obtained for the evaluation. For example, stakeholders suggested that the evaluation could be expert-based but the process participatory.

Stakeholders agreed that both systems could be integrated, without being mutually exclusive: *"you can have the best of both worlds, by asking the right questions"*. For example, a climate change adaptation strategy that could have been developed over a short timescale by experts, instead was developed over a two-year period to ensure that stakeholders were involved at each stage of the process. This secured the implementation of the strategy. Better implementation (through the involvement of many stakeholders), as well as the division of responsibility, were identified as consistent with SI.

A second example discussed was that of food security. One stakeholder suggested that it was necessary to involve civil society in the evaluation of the flow of information required in securing access to food. In this example, the involvement of civil society was consistent with the definition of SI.

A third example was the provision of community health services: experts are needed to undertake a situation analysis, develop a strategy with goals and objectives, and to identify quantifiable indicators. However, the SI is about adoption: how you convince people to adopt this plan. A similar example was provided for agricultural programmes where farmers were encouraged to provide their opinions in a process leading to a plan they could adopt.

During the 2nd round of discussion, expert-based evaluation was identified as important in qualitative methods because it ensured a more objective perspective, and a better basis for generalising the results. Participatory interaction was seen as crucial for assessing the 'feeling' or intangible aspects of those who were involved in social innovation. The example of public-private partnerships in LEADER was identified as difficult to evaluate, and it was agreed that simple proportion (between public and private actors) was not enough to capture more intangible features such as power dynamics and quality of the relationships. One suggestion was to measure: 1) trust, by analysing before and after situations, 2) involvement of the community, for example in cooperatives where people with disabilities work, 3) connection to other actors, and 4) the level of acceptance and exchange of best practices. It was agreed that contracts were not enough to show the strength of a network. Instead, a plan for joint activities, both formal and informal, was needed. Finally, one of the limitations of the participatory approaches was the loss of participant interest: *"if you do not keep people involved during a participatory process, and follow up on their suggestions, then they will become less inclined to collaborate"*.

During the 3rd round of discussion, the group focused on the importance of assessing SI through the process of social mobilisation, and to evaluate the impacts of social innovation through actual changes in policy. The first example referred to focused on measuring the process of developing a women's declaration on climate change within international negotiations. This was seen as an example of bringing people together, bottom-up. The second example concerned social farming, which illustrated the importance that experts (law-makers) can play in the process of achieving specific results by helping to tell the story of those working at the community level. In this example, the result was changes in legislation supporting public procurement of social farming products. The group concluded that it was important to understand *"how you follow a story"*, and suggested reflecting on measuring social return on investment of these efforts, and long-term impacts of SI.

Source: SITT workshop, Bratislava, 28th October 2016 (Topic B) (Facilitator: Catie Burlando, UNIPD; rapporteur: Martin Špaček, IFE SAS).



3.4. Topic C: Primary Versus Secondary Data

The discussions highlighted the **lack of secondary data** on social innovation, **the importance of primary data to identify the specific context of social innovation, and the need to use them both complementarily** (Table 3). Stakeholders suggested the following methods for data collection: 1) focus groups and participatory methods; 2) semi-structured interviews; 3) longitudinal surveys for studying pre- and post- conditions; and 4) stakeholder analysis, emphasising the importance of gathering soft data on interactions, feelings and activities. These types of data could be collected internally or externally, but should be seen as a two-way communication process. Key points raised were that: 1) data should be comparable; 2) triangulation should be used to verify the quality of data; and 3) data should be made publicly available.

Secondary data are considered relevant and useful for analysis at a large scale (e.g. national level), whereas primary data are considered necessary as social innovation is locally specific. Moreover, “soft data”, such as perception, vision, expectation, preferences of stakeholders and involved actors, are considered particularly relevant for social innovation evaluation. Data should be easy to use and interpret, available, recent and reliable. SITT members suggested the use of participatory approaches to gather soft data on interactions, feelings and activities but urged reflection to avoid the risks of subjective biases and negligent answers.

Table 3. Summary of responses of SITT members on Topic C: primary versus secondary data.

Secondary data	Primary data
• Data on economic and environmental impacts is difficult to access and interpret with respect to SI (e.g. green energy) • Data on enterprise innovation is available in some countries but without an evaluation of impacts (e.g. Czech Republic – Innovation Survey) • Cheaper and processed • Support analysis at large scale [i.e. local] (but need to define first at what scale the SI happens) • Not available for the evaluation of SI • No data on activities and social impacts of SI • Reflection: does secondary data actually help SI evaluation?	• Primary data are necessary! SI is locally specific and needs primary data • Local data should be of broad use, for various purposes and relevant for policy and research • The focus should be on processes • “Soft data” is key: perceptions, visions, expectations, preferences, gaps • Analyse impact on different groups • Analyse intermediate impacts • Self-assessment • Data should be directly usable (easy to interpret), available, easy to use, recently collected, reliable • Enable a two-way communication process • Collected internally or externally • Requires time, money, and generally not supported by institutions • Careful with data transfer and generalisations • Potential for subjectivity in data collection

Source: SITT workshop, Bratislava, 28th October 2016 (Topic C) (Facilitator: Riccardo Da Re, UNIPD; rapporteur: Andrej Udovč, IFE SAS).

3.5. Topic D: Qualitative Versus Quantitative Methods

Members of the SITT agreed that evaluation methods and tools should be tailored to: 1) the needs and purpose of the evaluation; 2) the type of project being evaluated; and 3) the object of measurement. Qualitative and quantitative approaches were identified as **complementary and suitable for use in the context of a specific evaluation**. Used together that can be used in triangulation, yielding different types of results which support each other by providing in-depth information on the process and results of a project. It was agreed that the objectives and framework for evaluation needs to guide the approaches and methods used, and the use of when to use internal and external evaluations. Quantitative methods are not always popular amongst practitioners but are considered useful (or fundamental) when lobbying policy makers and funders. Qualitative methods provide in-depth information, providing insight on what different groups of stakeholders



obtain from a project or activity (e.g. SI), and their perceptions of the benefits. Qualitative approaches were considered necessary when describing results (see Table 4 and Table 5).

Table 4. Characteristics of qualitative and quantitative methods identified by SITT members.

	Qualitative	Quantitative
Focus	Process Soft skills People's perception of the project Quality of the project Quality of the network: e.g. frequency of exchanges	Outcomes/Results
Stage of the project¹²	Beginning During the project	End of the project
Methods/tools	Semi-structured interviews Surveys Personal paths	Statistical models (e.g. Logit models)

Source: SITT workshop, Bratislava, 28th October 2016 (Topic D).

The discussion focused on the difference between qualitative methods and quantitative results (Figure 8). SITT members had different perspectives. Some SITT members reported that there are techniques for transforming data collected with qualitative-based methods (e.g. face-to-face interviews) into quantitative data (e.g. numbers or indexes). These techniques could help inform policy makers with synthetic reports based on figures, graphs and numbers that are easily understood and accessible for decision-making. The evaluation could be based on a multi-criteria analysis involving combinations of indicators. Such indicators should be as synthetic as possible. It was noted that for small or new projects, it might be difficult to measure long-term impacts.

Finally, the importance of both an internal and external evaluation was raised, including an evaluation carried out by local, internal evaluators and an evaluation carried out by national or international experts who do not know the local conditions and the needs or aspirations of the local people who initiated the social innovation. Perception of actors directly involved in the initiative might significantly differ from those of external evaluators. A suggestion made was to identify and evaluate the level of satisfaction of those involved in the initiative SI. Box 4 summarises the contents of the discussion on Topic D.

Table 5. Summary of responses of SITT members on Topic D: qualitative versus quantitative methods.

Qualitative methods	Quantitative methods
• More suited to measure SI because it explains how and why the project was successful • In-depth information about a case study and the process • Used to assess short-term impacts of projects • Used to collect information that can be transformed into quantitative data Drawbacks: • Subjective • Training of evaluators can be lengthy • Requiring further resources	• Easier to communicate to policy-makers • Easier to measure • Can be used to assess longer-term impacts of project • Quantitative data are important for policy makers Drawbacks: • Data analysis can be subjective

Source: SITT consultation, Topic D, Bratislava, 28th October 2016.

¹² This sequence was the most commonly cited during the three rounds but the opposite sequence was also mentioned as happening and relevant depending on the type of project.



During the 2nd round of discussions, some issues were reiterated and new ones raised by SITT members. The suggestions are listed below.

1. Individual approaches are insufficient. A mix of approaches is needed.
2. Results depend upon the evaluation being undertaken: an evaluation framework and design for a system analysis is created initially, preferably in as part of a participatory process.
3. Discussion considered what constituted qualitative and quantitative evaluations. Qualitative data is about the description of reality in the participant's own words. It was described as similar to 'dummy variables in econometrics.' Quantitative evaluation was summarised as being about numerical information: "When I use those numbers in a system approach then it is quantitative." Examples of methods discussed at this stage included multi-criteria assessments, which can take both qualitative and quantitative methods into account, illustrating that qualitative and quantitative methods are not exclusive, they can complement each other, and can be used to triangulate results. Methods to transform qualitative information and/or conversation into numerical representation and scales are available. Qualitative results can be compared to quantitative ones. For example, in a project on new market opportunities for farmers, a quantitative measure might be the share of products sold through a shop, or the increase in their income. However, this does not explain anything about the underlying process. For that, a qualitative method may be a valuable accompaniment. To measure the degree of satisfaction on a scale is a qualitative process. Thus, qualitative aspects of the SI require using qualitative methods. SITT members noted that policy makers are not interested in qualitative methods, preferring quantitative information on subjects such as the amount spent (e.g. econometrics to measure marginal effects or a system approach). So, where possible, qualitative data are translated into quantitative data. Discussion considered other approaches, such as system analysis noting that for this it is necessary to have steps that can be measured, and inferential statistics. Methods exist to measure complex things, however as all SI cases are context specific, it is better to add a qualitative description to the results.

During the 3rd round of discussions new insights on qualitative and quantitative methods were provided by SITT members. Although qualitative approaches are about telling stories, it is possible to extract numerical data out of stories, and to tell stories out of numbers. However, the capability of researchers to do so may be limited by experiences by discipline or familiarity with certain methods.

Discussion identified the importance to funder of quantitative outcomes. Throughout a process or project, qualitative methods may be used, and then quantitative methods to measure results. The type of quantitative indicators or measures can be the "*number of people reached by the programme*". For example, in a screening programme for cancer research, the cure is in getting rid of the disease, while the palliative measure is relieving pain without dealing with the cause. The effectiveness of the palliative measure can be assessed on a qualitative scale. Discussion about the type or quality of quantitative data considered how meaningful it can be. i.e. the number of people who are involved does not tell you about the SI process, but rather whether or not and how much they are involved or active.

1. Qualitative approaches provide rich and deep information, but which have overheads of the close involvement of the evaluator, requiring time and training.
2. Consideration was also given to changes in the SI process, and the need for quantitative methods to provide some final evaluation.
3. Both types of methods have positive and negative aspects. Quantitative information helps to communicate, and can be objective. For example, the pulse of a patient may be 70 beats per minute (a quantitative measure). But to what extent can the pulse be considered to be weak? This can be very subjective.

The disadvantages of qualitative methods are their subjectivity. For example, the accuracy of impressions of what is happening rather what is really happening will largely depend upon the respondent. A key question for qualitative approaches is whether a story can provide the information required for an evaluation? An internal evaluation of the group may help to understand how people involved in the process feel. An external evaluation might come to a different conclusion. Obtaining results is important, but it is the quality of the



process that enables good results to be obtained. It was reiterated that SI is about process and it would be wrong to focus on results alone. Social network analysis was identified as one approach to the measurement of networks and strength of links within it, both before and after the project. In an evaluation this would mean studying the situation before the programme started to create a baseline or situational analysis, against which the results could be compared. It was suggested that there may also be a need for a baseline for process-oriented evaluations. Learning from previous experience could also provide something of a baseline. Mixed methods approaches were discussed, stressing the benefits of complementary methods. However, it was recognised that one type of method might be more important or useful than another in any given situation. Sometimes, quantitative approaches might be easier and cheaper to conduct than qualitative ones.

Source: SITT workshop, Bratislava, 28th October 2016 (Topic D) (Facilitator: Laura Secco, UNIPD; rapporteur: Carla Barlagne, HUT).

3.6. Indicators Suggested by SITT Members

Members of the SITT were asked to suggest possible indicators during the workshop in Bratislava, as well as on the July 2017 online consultation. Overarching indicators suggested by members of the SITT included “quality of life”, “happiness/satisfaction”, “well-being”, or the role of learning. Some indicators specifically related to networks in terms of the quality of relationships, regular activity, size, and/or structure. Consultation feedback included recommendations that focus attention on policy issues. Some of these indicators (general and specific) have been considered and included in the list of indicators developed for the set of methods. The full set of indicators proposed is listed in Table 6.

Table 6. Candidate indicators for the evaluation of SI and its impacts, suggested by SITT members.

Indicators
Happiness as a complex indicator reflecting all four dimensions
Life satisfaction/happiness
Impacts on the quality of life
Quality of products before and after
Indicator of well-being with respect to economy, goal achievement, goal met, and overall consensus on leadership
What has been learned?
Increase capacity
Number of network members and change over time to measure the effects of policy interventions
Quality of linkages between network members to measure the sustainability of the network
More active/regular networks
Measure the connectedness of the network through an index of quality and quantity of linkages between network members
Marginalised people connected with “others”
Number of informal networks over the long-term
Changes in policy
Policy responses
New measures and regulation of SI
Number of different actors involved
Number of sectors involved
Number of partners involved
Diversity of enterprises and number of networks
Number of self-employed enterprises
Implementing healthcare plan in rural area
Number of people (inhabitants) in rural areas
Social return on investment
Programmes and communication on TV channels on marginalised rural areas



Increase animal production
Quality of a service or a project
Perceptions of project and benefits gained
Soft skills enhancement: self-confidence, self-esteem, capacity building
Intensity of the network: how often people interact and exchange within the network (e.g. number of ties in a network and strengths of those ties before and after a project; frequency of exchange)
People's attitude in meetings (e.g. "silence" of a person might indicate dissatisfaction)
Successes as well as failure and reasons that can explain it
Meaningfulness of a programme
People's involvement in a programme (e.g. number of people reached by the programme, level of involvement and activity)
Internal and external evaluation
Short-term impact of a project on new/innovative projects
Number of different types of networks and diversity of the stakeholders involved in the network (i.e. quantity and quality of networks)
Number of new jobs
Various impacts of SI
External communication (e.g., social media, press releases)
Income of the household

Source: SITT consultation, Bratislava, 28th October 2016 and online consultation in July 2017.

3.7. Descriptive Approach Versus Normative Approach for Assessing SI

The second online consultation with members of the SITT was carried out in July 2017 under the coordination of Work Package 2. An explanation of the two terms, descriptive and normative, was provided. *Descriptive* means "describing or classifying social innovation in an objective, non-judgemental way (e.g. "four people were the initial innovators", "the initiative was publicly announced on the website"); *normative* means establishing or deriving from a standard or a pre-defined "good" required for social innovation (e.g. "four people are the right number for starting social innovation because there is a need for a minimum number", "the initiative was transparent because the innovators published an announcement on the website").

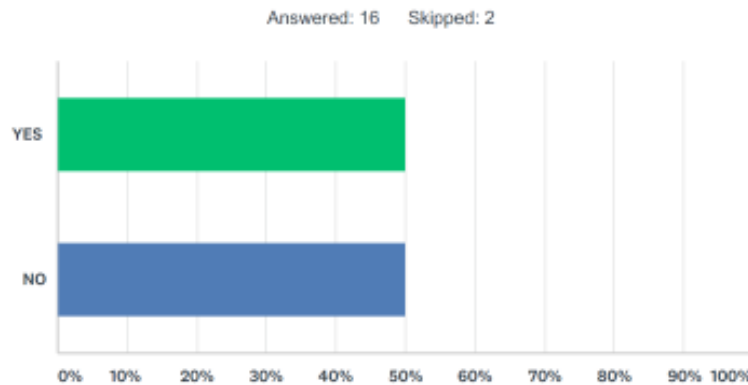
The introduction explained that while it is accepted that we can describe social innovation (e.g. how it is structured, who are the actors involved, how it works, etc.), there is an on-going debate on adopting normative standards for evaluating whether a social innovation initiative is "good" or not, in its various phases. Responses to the questions are provided in Box 5, with the wording presented as submitted.



Box 5. Summary of the second online stakeholder consultation process (July and August 2017)

In July and August 2017, a second consultation was carried out with members of the SITT. Eighteen members of the SITT responded. Four questions were included for the development of the evaluation method, the responses to which follow (wording unedited):

1. *If you were tasked to evaluate social innovation, would you use a descriptive approach with respect to the process phase of social innovation (ideation and development of the initiative)?*



The descriptive indicators suggested were:

- Number of actors initiating the process
- Number of actors participating in the process, representatives of different groups (*this was shared by most respondents*)
- Motivations (i.e. expected benefits)
- Roles and contributions towards solving the societal issue at hand
- Resources (i.e. human, financial, technological) in support of the process development
- Existence of a process coordinating body
- Institutions (i.e. rules of the game) that support the process and its sustainability
- Number of social groups engaged
- Number of local community members (population) who benefit from SI
- Number of innovative products that the SI process brought
- Number of innovative solutions (examples of good practice) that can be used by other communities, municipalities, regions
- Number of new non-profit supporting SI established, or initiatives or networks created
- Number of new jobs for local residents created by SI
- Indicators about dissemination of information (e.g. information about SI, in the local media, seminars, workshops...)
- Reaching goals and targets

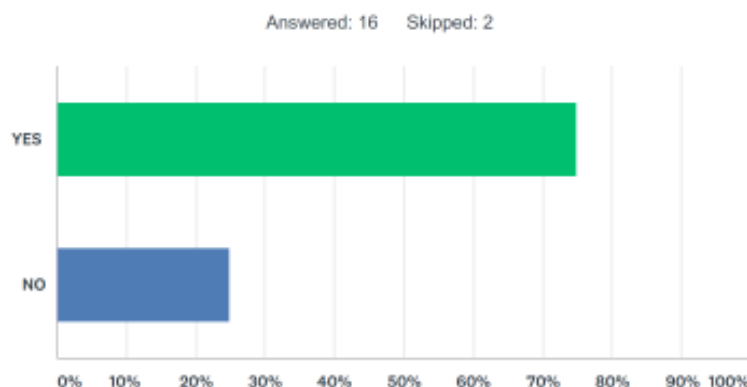
The sources of information suggested were: primary data from questionnaires and surveys, and regular monitoring of progress of the SI, local offices, public speeches, social media, institutional communication, statistical information and research studies. One stakeholder further summarized the **critical factors of success of social innovation** in the following list:

- Setting clear and ambitious targets early in the process
- Involving the widest possible range of stakeholders, including trained and professional experts
- Securing a division of tasks and responsibilities among all involved actors and ensuring mutual trust among them
- Setting realistic expectations and time frames, including benchmarks
- Linking the ongoing project, process or initiative to a broader framework
- Designing and developing a wide range of scenarios and proposals for alternative solutions



- Presenting the project or process outputs in terms of benefits to the public
- Ensuring regular meetings and discussion forums for both addressing key tasks and resolving possible conflicts
- Using the available means to provide information to the local media
- Gaining support and interest in the proposed solutions from local self-government, state administration, opinion leaders, entrepreneurs, NGOs, and both the local community and the wider public
- Securing a partnership between the lead partner responsible for the project's implementation (activities) and project initiators
- Clearly formulating the requirements for securing the sustainability of the project's solution, including measurable parameters (indicators).

2. *If you were tasked to evaluate social innovation, would you use the descriptive approach with respect to the results phase of social innovation (outcomes, impacts and scaling up)?*



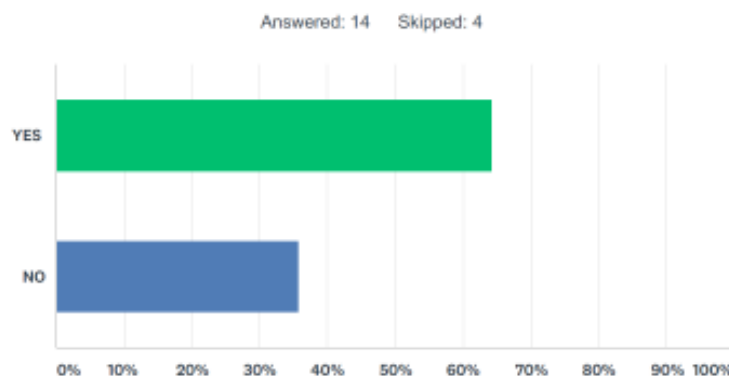
In the second questions, stakeholders clearly expressed support for using a descriptive approach in relation to the results of the social innovation. The indicators proposed for this phase include:

- Positive outcomes that the SI is likely to result in
- Benefits for the participating agents and the community the SI targets
- Institutions and resources to facilitate the transfer of the outcomes across communities
- Employment created
- Number of visitors
- Reduction in costs
- Population change
- Number of individuals/groups profiting from SI (improved social status, life, well-being, and increased income/economical profit)
- Number of activities derived by the action people involved after the starting of the process and new actions for developing the results
- Number and type of stakeholders involved
- Investment made (expenditure)
- % of rural population covered by the social innovation
- % of rural population benefiting from the social innovation
- Consensus on the results
- Inclusiveness

One respondent noted that descriptive indicators can also be perceived as input and output indicators. However, it is difficult to provide examples of descriptive indicators as they depend on the type of project/social innovation (and its objectives) and context of its implementation. Another stakeholder suggested open discussion with the community.



3. *A descriptive evaluation is usually feasible. Is it also possible and advisable to evaluate social innovation using normative standards of "good" social innovation?*



4. *If you were tasked to evaluate social innovation by using a normative approach, what standards, thresholds, requirements, etc. would you adopt for judging whether SI is "good" or not? Please provide us guidance and suggestions (e.g. links to documents, specific examples).*

- I would assess a SI as "successful", "progressive" or "unsuccessful" with respect to its ultimate goal, which first needs to be quantified (by using indicators). I would not use the "good" or "not good" classification as it does not provide any direction for policy action.
- It depends on the nature of SI: if it is focused /has potential to involve/influences whole community or certain groups. Involvement/influence of 50% of potential participants seems to be a very good threshold, but I would prefer relative measures - comparisons in %.
- It is very difficult to exclude particular standards, requirements, because it depends on a case by case basis. For me it would be more important to use the group of standards (for example environmental standards, economic standards...). The same would hold with regards to the requirements.
- We may use criteria and indicators to assess the SI. Defining an initiative as good or bad is tricky and should be based among others on evidences from surveys/analysis of success and failures of SI initiatives. Score cards or tracking tools may be used in evaluation, especially at project level.
- The standards, thresholds, requirements will probably rely upon on the particular types of social innovation, territories, or target groups. However, there are standards as in any evaluation, e.g. acknowledge the context, provide useful information, efficient (relation between costs and utility), reliable, objective, need to involve all the stakeholders.
- Well defined social need; Innovative approach; Sustainability of the results.
- I would refuse to use them since I doubt their usefulness in valuing.
- Environmental sustainability, justice and equity.

3.8. How SITT Member Suggestions are Integrated into SIMRA Methods

Early engagement with SITT members provided suggestions that were included in the development of the evaluation approach, method, and the preliminary list of questions (Annex 1) for the analysis of pilot case studies (SIMRA WP5) and selected policy processes (SIMRA WP6). These include the following important guidelines.

The evaluation of a social innovation initiative must consider both process and outcomes, and be based on learning the dynamics that foster or hinder social innovation. The evaluation framework accounts for the dynamics that occur at different temporal phases of the social innovation (from trigger to outcomes), from different perspectives. The evaluation questionnaire reconstructs the storyline using a calendar of events, the dynamics of the process using through tools of social network analysis and qualitative assessment of



motivation/competence/capacities/actions, and the impacts and effects of the social innovation using indicators of the social, environmental, economic and institutional domains. The actors are: (1) experts/key actors; (2) the clique; (3) the reconfiguring network; (4) project partners; and, (5) beneficiaries. The elements of SI captured in the questionnaire are both tangible (e.g. the number and role of participants in the clique and in the reconfiguring network; the number of beneficiaries reached), and intangible (e.g. motivation, attitude, enthusiasm, voice).

While participatory evaluation of social innovation can increase legitimacy, sense of ownership and adoption of the results, expert-based evaluation can increase the validity and credibility of results for policy-makers. The evaluation questionnaire proposed has been designed for combining self- or participatory-based evaluation with expert-based evaluations. By targeting different actors, the aim of the questionnaire seeks the inputs of different perspectives to unravel 'how you follow the story'.

The dearth of secondary data on social innovation processes calls for greater emphasis on the collection of primary data that is comparable, can be triangulated, is reliable and publicly available. Results of a survey using an evaluation questionnaire cannot always be made publically accessible due to the loss of anonymity in some aspects of methodologies. However, the structured questionnaire, with both open and closed questions, enables the evaluator to obtain and report on data that are comparable, reliable and that can be triangulated across the different target respondents.

Qualitative and quantitative methods are needed to reach policy-makers and funders, as well as support understanding of perception, motivation, quality of the network, and organisational capacity. The evaluation questionnaire combines qualitative and quantitative questions. The variables obtained can be converted into individual indicators, and aggregated into composite indicators and indexes. One stakeholder noted: "Qualitative is about telling stories, but you can take numbers out of stories and tell stories out of figures".

A descriptive approach can guide the evaluation not only of process, but also of results (outcomes and impacts), whereas the application of a normative approach would depend on the targets and objectives defined. The evaluation questionnaire provides space for a description of the evolution and organisation of the SI. In addition, the evaluation questions seek to verify whether SI has positive or negative, intended or unintended impacts and asks respondents to state their own judgement and perspectives of the intervention.

Indicators suggested by SITT stakeholders are relevant for evaluating some of the key dimensions of SI (e.g., networks, attitudes). The following indicators were suggested by the SITT members:

- Satisfaction of different categories of actors (perceptions on benefits gained)
- Motivations of different categories of actors (expected benefits)
- Impacts on the quality of life
- Lessons learned
- Change in capacity
- Quantitative and qualitative characteristics of networks and their dynamics
- Quantitative and qualitative characteristics of different types of networks (e.g., of the actors initiating the process, of those participating in the process)
- Level of civil society engagement: roles and contributions of actors towards solving the societal issue,
- Mechanisms of coordination
- Policy changes
- Demographic data
- Social return on investment and other socio-economic outcomes (e.g., employment, cost, inclusiveness)
- Changes in soft skills
- Stories and factors of successes and failures
- Resources in support of the process development



- Institutions (i.e. 'rules of the game') to support SI and transfer it across communities
- Number and characteristics of beneficiaries
- Number and quality of innovative products and services that the SI initiative brought
- Best practices and innovative solutions used by other communities in other places
- Communication about the SI initiative
- Expected and real outcomes
- New activities promoted by the SI initiative
- Percentage of rural population interested (covered by the SI, benefiting from the SI)
- Social needs
- Consensus on the results of SI
- Sustainability of the SI results

Currently, questions in the structured interviews proposed for data collection of primary data on SI in the pioneer SI case studies (see Part IV and Annex 1) include the variables and aspects highlighted by the indicators that the SITT stakeholders suggested. However, specific indicators and analysis of qualitative data will be developed and carried out once the pilot testing of the set of methods and tools proposed in Part IV in selected pioneer SI case studies and policy processes is carried out. When the data for the proposed variables are available and functional to the SI evaluation, the variables will be combined to identify the most useful indicators.



This project has received funding from the European Union's Horizon 2020 research and innovation programme under Grant Agreement No 677622



PART II – SETTING THE SCENE: WHAT WE NEED TO EVALUATE AND WHY



4. Towards a SIMRA Evaluation Framework

An evaluation agenda requires a clear framework for evaluation that defines the key dimensions of SI and visualises the steps, interconnections and relationships within an SI initiative (e.g. supporting conditions, limiting processes, participants, outputs and impacts). The SIMRA evaluation framework needs to be functional to guide an effective evaluation practice.

The first step in building the SIMRA evaluation method is based on the identification of the key dimensions and sub-dimensions, phases, changes and variables for measurement that are expected to be connected to SI initiatives and related processes and impacts. The evaluation framework aims to provide the basis for informing evaluation of SI, by describing the methods and tools that are most appropriate to use to evaluate the different components of a SI initiative.

The key dimensions and sub-dimensions, phases, changes and variables of SI and their interconnections, valid during the SI initiative and once it is completed, are explained in detail and used to guide the creation of the SIMRA evaluation method in Section 5. Specific assessment tools (e.g. questions for use in interviews with local actors) and evaluation approaches (e.g. integration of quantitative and qualitative methods) for each of these elements are outlined in Part IV and listed in Annex 1. These are to guide the preliminary testing of SI case-studies (WP5) and policy processes (WP6), in a few selected pilot/pioneer cases.

The SIMRA evaluation framework is grounded on theory (See Polman *et al.*, 2017, D2.1; Kluvánková *et al.*, 2017, D2.2), introducing innovative insights aimed at advancing existing knowledge for evaluation of SI. The concept of social innovation draws from a wealth of research and work in a variety of fields, including economics, sociology, ecology and political sciences and is defined in SIMRA as, “*the reconfiguring of social practices, in response to societal challenges, which seeks to enhance outcomes on societal well-being and necessarily includes the engagement of civil society actors*” (Polman *et al.*, 2017; D2.1). Specifically, innovation theory, endogenous and neo-endogenous development, social capital, socio-ecological systems, regional development and social enterprises and entrepreneurship are considered prominent precursors to social innovation in marginalised rural areas (see Polman *et al.*, 2017, D2.1; Kluvánková *et al.*, 2017, D2.2; Slee *et al.*, submitted). These have dynamics in marginalised rural areas related to the level of rurality, physical geography, limited access to infrastructure and often negative population trends (e.g. depopulation, ageing, loss of youth) (Price *et al.*, 2017; D3.1). To operationalise an evaluation framework capable of addressing the specificities of social innovation, Deliverable 4.2 combines theoretical insights on social innovation in MRAs with an approach using theory of change (Morra Ima and Rist, 2009; Khandher *et al.*, 2010; see Part III for more details and Secco *et al.*, 2016; D4.1).

Figure 9 shows the connections between the interdisciplinary theoretical background adopted for the SIMRA definition of social innovation (Polman *et al.*, 2017, D2.1; Kluvánková *et al.*, 2017, D2.2)¹³, the characteristics of marginalised rural areas (Price *et al.*, 2017; D3.1) and the evaluation framework proposed. It also shows how the evaluation framework expands on the abovementioned work to identify the core factors and variables of SI for the specific purposes of evaluation. To do this, it identifies SI *dimensions* (i.e. elements of assessment), *sub-dimensions* (i.e. sub-elements of assessment), components and possible interconnections.

The development of specific concepts leads to the identification, for each sub-dimension, of *components* of SI that can be assessed by means of measurable variables and/or their aggregations (see Pisani *et al.*, in print). Finally, the evaluation framework proposed in SIMRA sets the scene for developing *indicators*, which are derived from both quantitative and qualitative data, and measured from the data collected at the case study level (see Part IV for instructions for data collection and evaluation). These indicators are proposed as principal instruments for the evaluation of SI in SIMRA (see Part III for more details on their development).

¹³ Details are provided in Polman *et al.* (2017; D2.1) and Kluvánková *et al.* (2017; D2.2).

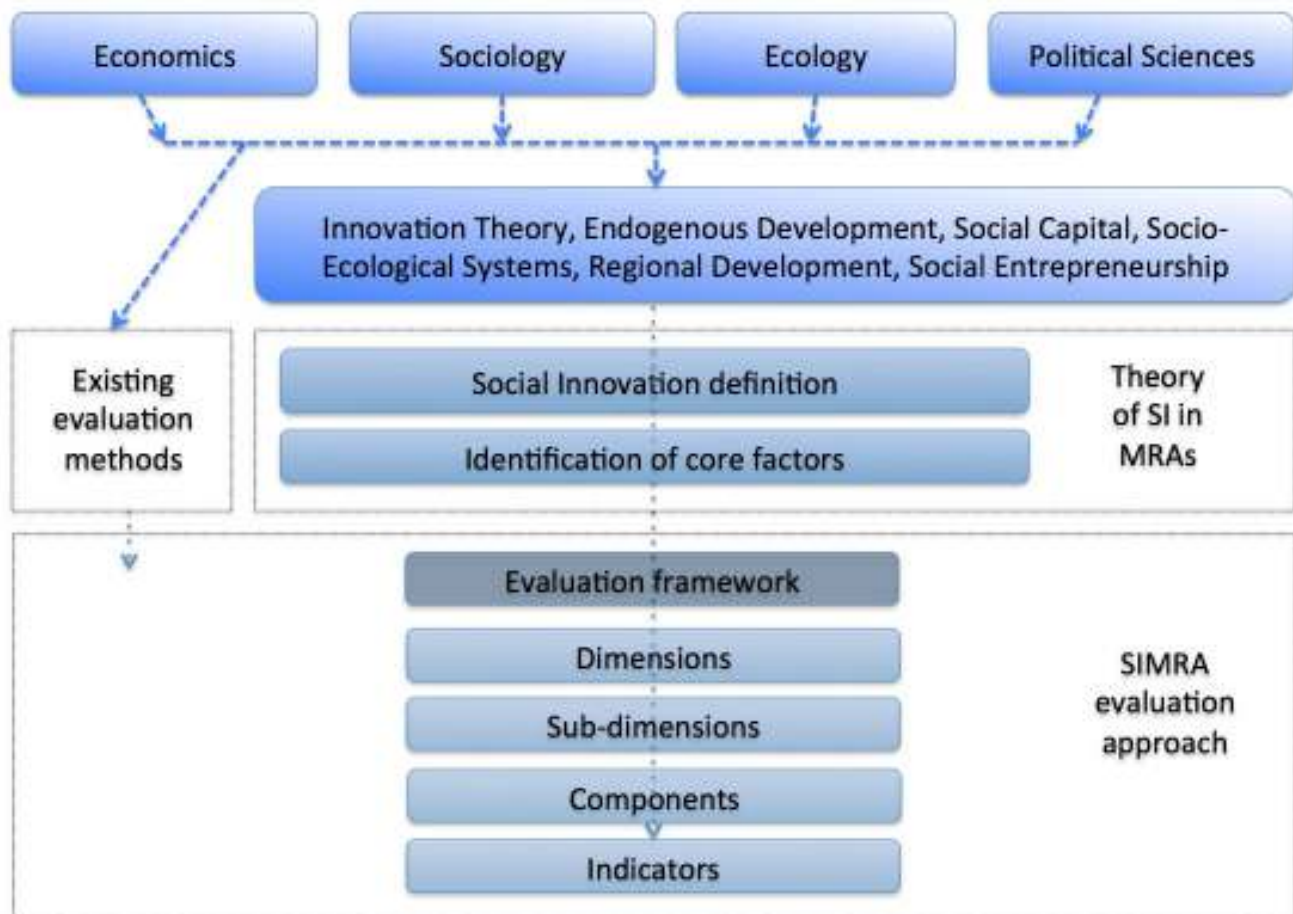


Figure 9. Relationship between the general theoretical framework and the evaluation framework.
Source: SIMRA research team.

The theory of change approach provides the basis for identifying key questions for collecting data on the different elements that constitute SI in MRAs. In the evaluation framework proposed, key questions are used to collect both quantitative and qualitative data on SI. First, this will be undertaken in the pioneer case studies, from which feedback will enable the revision of the questionnaires, which will then be used in the selected case study areas (WP5).

The collection of data at the local level is carried out using questionnaires that are submitted in structured interviews, while the analysis of policy processes, guided by the WP6 Leaders, is carried out using a guide for semi-structured interviews. The questions are tailored for use with each of the different types of actors. Specific details on the evaluation approach and questions are provided in Parts III and IV, and the list of questions for pilot testing is provided in Annex 1.



5. Explaining the SIMRA Evaluation Framework

5.1. General Approach

The emergence of social innovation processes depends on factors that vary according to sector(s) and targets for implementation, as well as geographical, territorial, socio-economic and policy contexts (Polman *et al.*, 2017, D2.1; Kluvánková *et al.*, 2017, D2.2; and Ludvig *et al.*, 2017, D6.1) and that have special characteristics in marginalised rural areas (Price *et al.*, 2017; D3.1). In this section, the proposed SIMRA evaluation framework is described, with detailed analysis of the dimensions, and interrelationships amongst different dimensions, sub-dimensions and variables.

To analyse the emergence, development and impacts of social innovation, a structure agency framework based on a multi-level, cross-scale approach is used (Sewell, 1992; Hays, 1994). The structure agency framework seeks to provide a unified understanding of collective action for social innovation, by bringing together the analysis of both process and outcomes (Cajaiba-Santana, 2014; Howaldt *et al.*, 2015). According to Sewell (1992: 19), “structures are sets of mutually sustaining schemas and resources that empower and constrain social action and that tend to be reproduced by that social action”, a concept which is used and adapted as (*perceived*) context in the framework (Section 5.2.2). In other words, “[s]tructures emerge at the macro level as a result of the actions of the agents and their interactions with other agents” and change slowly (Janssen and Ostrom, 2006).

Agency “is the actor's capacity to reinterpret and mobilize an array of resources in terms of cultural schemas other than those that initially constituted the array” (Sewell 1992: 19; see also Jensen and Meckling, 1976). This perspective recognises agency as “embracing social choices that occur within structurally defined limits among structurally provided alternatives”, and where “human agency and social structure, then, have a simultaneously antagonistic and mutually dependent relationship” (Hays, 1994: 65). Rather than privileging an actor-centered perspective or a context-dependent perspective (e.g. Turker and Vural, 2017), the structure and agency framework draws on an understanding of SI as emerging from the actions of individuals embedded in networks, or a collective, who operate within the enabling and constraining conditions of their own social, economic, environmental and institutional environments to reconfigure practices that seek to improve wellbeing (Cajaiba-Santana, 2014; Howaldt *et al.*, 2015; Haxeltine *et al.*, 2016; Turker and Vural, 2017). The framework recognises a relational framing of the SI process, which sees agency (and cognition) as ‘distributed’ across a system (Chilvers and Longhurst, 2015: 3) rather than easily attributed to individual actors or groups, and reproduced by the practices and commitments of multiple actors (*ibidem*).

Cajaiba-Santana (2014) develops a conceptual framework that draws from the dialectic relationship between structure and agency to address how social innovation can lead to change and *new social practices* that seek to *enhance outcomes on societal well-being*. In this sense, social innovation should not be considered as a “neutral process”, i.e. just a change; rather, it should be considered for its capacity to lead to something new as compared with historical and/or recent trajectories in social action (Pike *et al.*, 2010; Moulaert, 2013; Nicholls and Ziegler, 2015).

The focus on *practices* has enabled the academic debate to bring together concerns for the ways in which structures facilitate and constrain individual and collective actions, and the ways in which agency is indeed able to “make choices that have transformational consequences” (Hays, 1995: 62) “in creative and innovative ways” (Sewell, 1992: 4)¹⁴. As explained by Howaldt *et al.* (2015: 30), “Practice theories overcome the dichotomies between structure and action, subject and object, rule and application, society and the individual, that arbitrarily define micro and macro levels or sociological ‘reality rules’” (Latour and Lépinay, 2010, p. 114, as cited in Howaldt *et al.*, 2015; Giddens, 1979). In short, they allow us to see how new practices may

¹⁴ Referring to Giddens’ “duality of structure”, Sewell explains: “how, in a great variety of times and places, structures are in fact dual: how historical agents' thoughts, motives, and intentions are constituted by the cultures and social institutions into which they are born, how these cultures and institutions are reproduced by the structurally shaped and constrained actions of those agents, but also how, in certain circumstances, the agents can (or are forced to) improvise or innovate in structurally shaped ways that significantly reconfigure the very structures that constituted them” (1992: 5).



reproduce existing structures, or conversely, lead to new social systems being created and institutionalised (or up-scaled), a key issue in the study of social innovation (Hays, 1994; Cajaiba-Santana, 2014; Haxeltine *et al.*, 2016). From this perspective, SI can be seen as “a black box”, to be assessed and evaluated through the analysis of its components and their interactions.

Figure 10 represents the components and interactions of social innovation that may be suited to evaluation.

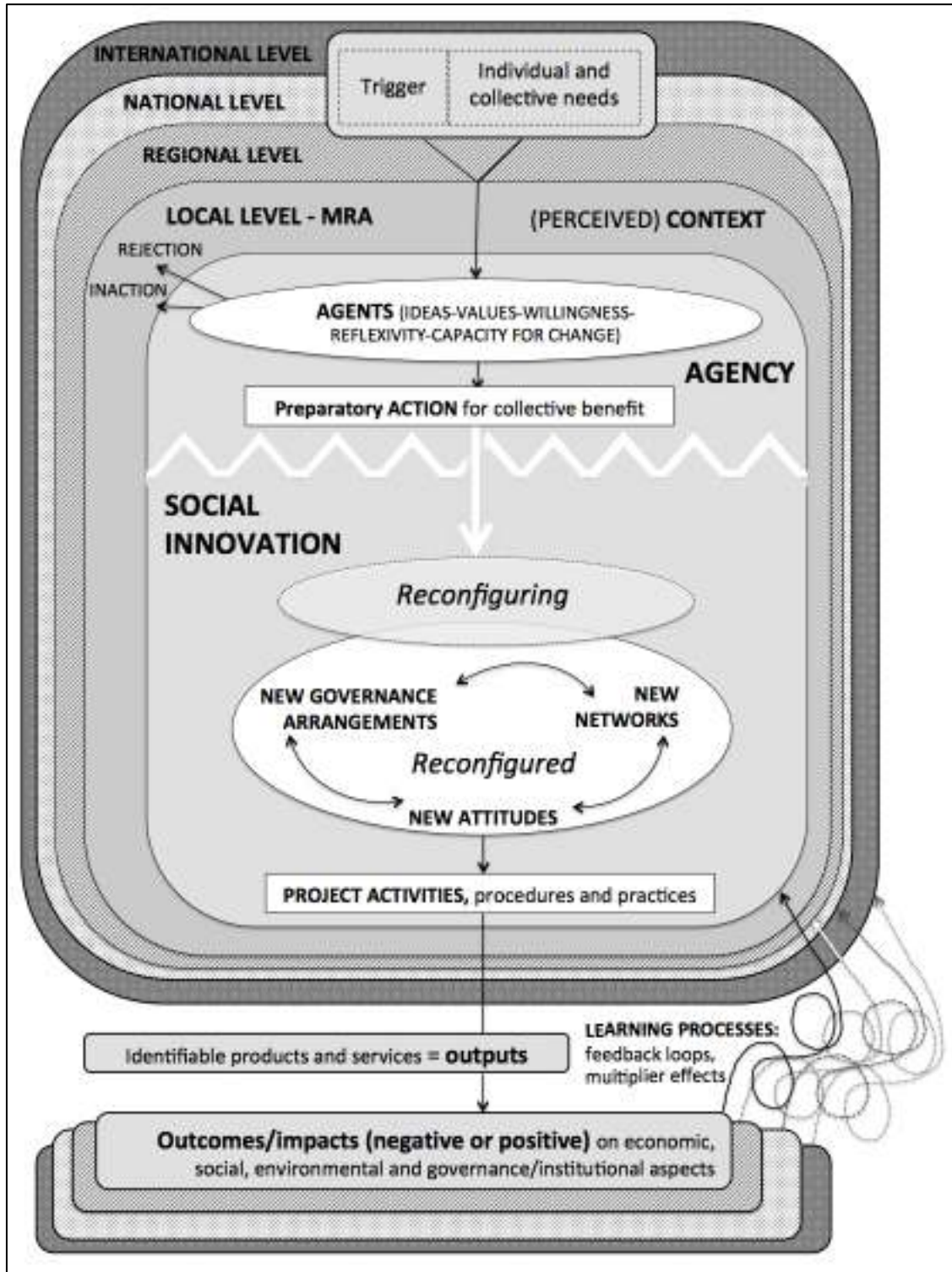


Figure 10. SIMRA evaluation framework proposed to evaluate SI and its impacts in MRAs. Source: SIMRA research team informed by the theoretical framework in Kluvánková *et al.* (2017; D2.2).



The following Sections describe the key phases and dimensions of social innovation identified in the framework. The explanation follows a linear, step-wise, and temporal process (i.e. from the initial drivers of SI and factors that determine the emergence of SI, to the intermediate stages of changing social practices, and the outputs/outcomes and impacts that derive by SI). However, this should not be considered as a strictly deterministic approach¹⁵. Rather, it should be reflected as an operational-functional approach required for an evaluation based on the theory of change and on a result model, i.e. based on identifying the stages, dimensions and variables of a SI (and the changes that a SI may induce) that are to be analysed and “measured”.

5.2. Key Dimensions for the Evaluation of Social Innovation

The framework proposed for the evaluation of social innovation and its impacts includes the following key dimensions: “Individual and collective needs”, “Perceived context”, “Agency”, “Reconfiguring and reconfigured social practices”, “Activities”, “Outputholzs”, “Outcomes and impacts”, “Learning processes” (see

Figure 10). These are explained in two sub-Sections: the first provides an overview of the main concepts, and the second provides “practical implications” for the SIMRA evaluation methods and tools. To aid introduction, some text used in the first Section has been restated in the second part.

5.2.1. Trigger, individual and collective needs

For the purposes of evaluation, two key elements are connected to the set of variables “Individual and collective needs” identified in Kluvánková *et al.* (2017; D2.2). These key elements are “trigger” and “needs”.

5.2.1.1. Trigger and needs: an overview

The evaluation framework proposed starts from the premises of *a trigger and response model*: unmet social needs, societal challenges and governance shifts^{16,17} are framed as the ‘needs’ (or unwell-being) to which agency (comprising actors with their own ideas, visions and trust, willingness to act, reflexivity and capacity to change) responds following a ‘trigger’ at any level, i.e. local, national or international. Unmet social needs, societal challenges and governance shifts are the focal challenge to which a SI responds. In principle, a

¹⁵ More in-depth considerations on the non-linearity of SI initiatives, are discussed from a theoretical point of view in Kluvánková *et al.* (2017; D2.2), and included in Part III.

¹⁶ We refer to unmet social needs, societal challenges and governance shifts as the focal challenge to which a SI responds following a trigger (BEPA, 2011). Unmet needs can be individual or collective. Mulgan *et al.* (2007) identify the areas with a “deficit” of social innovation, and thus a potential need, as: rising life expectancy, climate change, growing diversity of countries and cities, stark inequality (leading to rising violence and mental illnesses), rising incidence of health-related long-term conditions and diseases, behaviour problems of affluence, difficult transitions to adulthood, as well as happiness. Here, “the mismatch between growing GDP and stagnant well being and declining real welfare according to some measures requires new ways of thinking about public policy and civic action” (Mulgan *et al.*, 2007: 9). To identify and categorise the different types of needs for the purposes of evaluation, we found particularly useful to follow the three approaches to social innovation proposed by BEPA (2011). Social innovation can respond to (i) social, economic, environmental and institutional demands of vulnerable groups which are not traditionally addressed by the market of by existing institutions (approach 1: SI responds to specific “social needs”); (ii) societal challenges in which the boundary between social and economic blurs, and which are directed towards society as a whole (approach 2: SI responds to broader “societal challenges”); and (iii) systemic change perspective to be reached through a process of organisational development, and changes in relations between institutions and stakeholders (approach 3: SI responds to “governance shifts”, i.e. tentative experiences of creation of new relationships between public and private spheres, new role adopted by public authorities in managing the society) (BEPA, 2011: 43).

¹⁷ By ‘governance shifts’, we refer to inadequacies in governance shifts, where governance models are no longer adapted to changing circumstances. This may happen when governance shifts towards network-oriented and participatory-based models without designing effective mechanisms, public institutions may not be qualified, prepared or well-resourced to address the shift properly, public administration may be obsolete and bureaucracy not flexible. However, governance shifts that positively stimulate SI (e.g. efforts at networking or engaging citizens in decision making) have to be taken into consideration as well.



possibility for addressing unmet needs may create an opportunity for the emergence of SI. Unmet social needs may refer to the realms of society, economy and environment, and in SIMRA, refer to agriculture, forestry and rural development, and on the special features characterising marginalised rural areas (e.g. remoteness, isolation or depopulation – see Price *et al.*, 2017; D3.1). However, it is not only a matter of a lack of societal well-being: in certain circumstances, an alternative social practice may improve well-being and be considered a social innovation.

The trigger may take the form of a natural or environmental disaster (flooding, drought), social, economic or financial crises, shortage of funding, deliberative or participatory movements which attempt to tackle “wicked” problems. It may also have positive connotations. For example, the trigger could be an unexpected enabling factor such as a new charitable bequest, or a new subsidy that provides unexpected resources. Thus, the trigger may emerge in connection to a single time-bound event (e.g. a three-days extreme flooding event); an accumulation of unmet needs (e.g. a prolonged period with worsening social life because of depopulation); or from a long-term process, whereby a situation becomes untenable (e.g. a critical demographic situation reached as consequence of a process of ageing and abandonment of a mountain area).

Examples of negative triggers are: consistent emigration flows because due to unemployment; abandonment of the territory; extreme climatic events such as flooding, landslides, earthquakes, and drought; uncontrolled consequences of climate change; deep recessions and economic crises; health pandemics; conflicts and wars; unbalanced demographic trends; and natural resources loss and degradation (e.g. biodiversity loss and depletion, water, air and soil pollution, pest outbreaks, invasion of alien species, deforestation).

Triggers are also connected to the concept of disturbances. “Disturbances¹⁸ can be sudden, i.e. a shock, but often gradual changes in an exogenous driver (e.g. the reduction of price support over time).” (Peerlings *et al.*, 2014: p.). Positive events (e.g. changes toward enabling policy, effective decentralisation, subsidies for local action or a charitable bequest, positive social capital) can also “open up” the structure of opportunity, allow leaders to initiate actions towards SI, and facilitate the emergence of networks and purposeful action. This process may not involve any radical changes, but may lead to an overall improvement of the current system¹⁹. Finally, as noted above, the trigger may emerge from participatory movements or mobilisation, whereby actors perceive an opportunity as a possibility for change due to changing conditions, and ‘reframe’ a problem into an opportunity for starting an innovation.

As described in Polman *et al.* (2017; D2.1), environments which promote social innovation can include: i) periods of major social-political turmoil; ii) situations where particular regions or socio-ecological systems are confronted by long-standing and widely-recognised, sometimes “wicked” problems that existing policy structures have been unable to address satisfactorily; iii) situations where there has been a major, unanticipated, socio-ecological disturbance and in its wake a proliferation of responses includes SI (flood, earthquake, nuclear accident); iv) situations where there are major socially, economically, or politically structured divergences in welfare or opportunities between different groups; v) situations where there are major divergences in belief systems within countries, especially in religious and ethical beliefs; vi) situations where there is a power vacuum, or major failings or delivery gaps in state institutions (power); and (vii) situations where the state has dramatically reduced the range of services (Box 5.1 in Polman *et al.*, 2017; D2.1). All of these situations can directly or indirectly lead to the emergence of a trigger. However, while triggers are usually seen as “external” to the actors and independent from their perception and recognition, in the proposed evaluation framework, it matters as to how each specific situation is perceived, framed and

¹⁸ Peerlings *et al.* (2014) frame these concepts as: “In the context of the farm, disturbances are defined as events that disrupt a farm business (see, for example Janssen and Ostrom, 2005). Disturbances can be idiosyncratic in nature, e.g. a farm family crisis or the impact of an outbreak of an animal disease or extreme weather conditions. On the other hand, disturbances can also be structural in nature – i.e. affecting the whole farm sector or all farm businesses in a certain sector, e.g. policy reforms (see, for example Dries and Ciancian [2012] for an analysis of the impact of idiosyncratic and structural shocks on farm employment in the EU)”.

¹⁹ Bruce (1993) uses the examples of technological innovation to describe how, “when conditions are right, a new innovation can set in motion “a continuing sequence of connected events” (citing Burke, 1978: 12).



interpreted by the actors themselves. Thus, a situation becomes problematic (or enabling) when it is perceived as such, and thus recognised as problematic (or enabling) by actors.

5.2.1.2. Trigger and needs: details for SIMRA evaluation

Trigger and needs are potentially interconnected (Figure 11). For the purposes of evaluation, we consider trigger to be an event that determines or accentuates needs to the point of deserving a response and a change in practice.

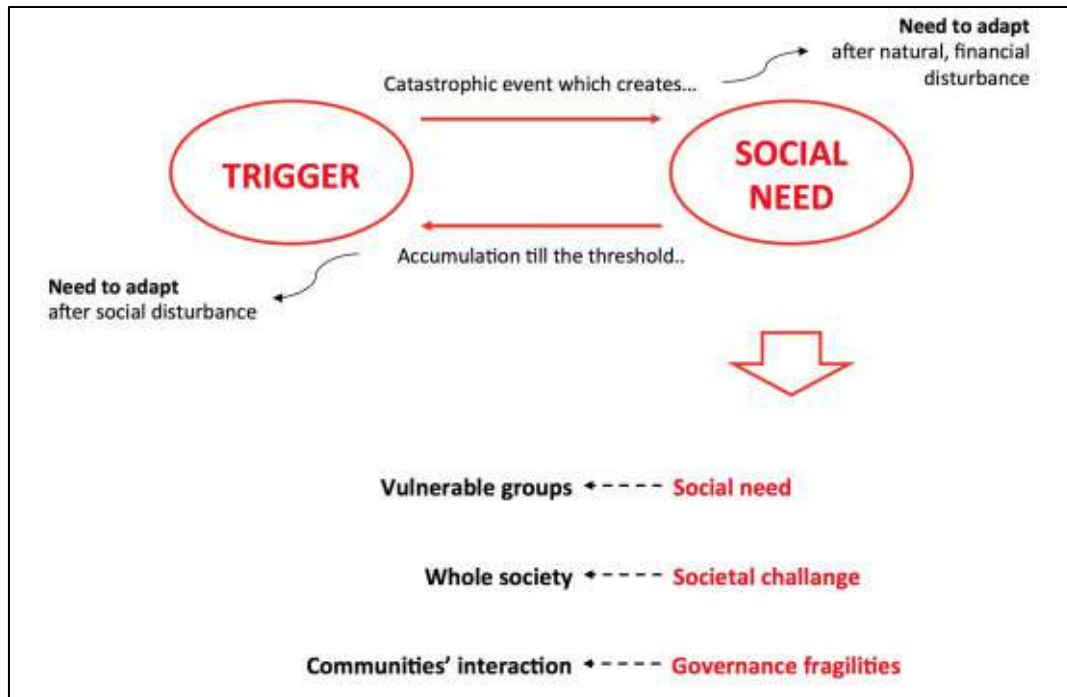


Figure 11. Relationships between trigger and social needs. Source: SIMRA research team.

The trigger could take the form of a discrete event or emerge from a long-running process that is perceived as problematic by individuals or local communities.²⁰ However, it becomes a trigger when it leads to strongly-held *perceptions* that the system will collapse below a certain threshold (i.e. “enough is enough”). Triggers may be easily identifiable as leading to the onset of a SI, or they may be identified by the leaders of the action as ‘the cause’ of their actions. They may be strategically framed²¹ by leaders as the root cause of their demands. Thus, if the trigger is a catastrophic event, it may determine the subsequent needs. In this case, a catastrophic event can be identified objectively, since it happens and it is recorded. Conversely, if needs accumulate over time, and determine the trigger they may be subjective (i.e. different persons/communities might have different thresholds as to what constitutes “enough”).

If accumulated needs are subjective, the trigger may emerge from participatory movements or mobilisation²², whereby actors identify, appropriate, and ‘reframe’ a specific need as a problem on which to start an innovation. Thus, the trigger can spur actor(s) to purposefully begin a series of actions and engage in a process

²⁰ See Biggs *et al.* (2010) for examples of triggers that foster innovation, and Biggs *et al.* (2012) for a discussion on ecological regime shifts and consequent loss of resilience in social-ecological systems brought about by trigger.

²¹ *Framing*, as the practice of attributing opportunity for action to a trigger, and attributing opportunity in the resources identified under perceived context, may be key to a leader, for starting and developing a process of social innovation.

²² Using different terms, social movement theory provides a dynamic account of triggers, described in this case as opportunities or threats: “rather than look upon ‘opportunities and threats’ as objective structural factors, we see them as subject to attribution. No opportunity, however objectively open, will invite mobilisation unless it is i) visible to potential challengers and ii) perceived as an opportunity. [...] Attribution of opportunity or threat is an activating mechanism responsible in part for the mobilisation of previously inert populations” (McAdam *et al.*, 2001: 43). The need to act may have been pall along, but the trigger provides the spark for action.



of reconfiguration, which eventually leads to SI. From this perspective, the trigger²³ does not exist as an objective category, but is seen and used as an opportunity for starting actions that will lead to social innovation by agency.

Perceived unmet needs may include both individual basic (physiological and safety) and higher-level needs (belonging, knowledge, self-esteem and self-actualisation) (see Maslow, 1943; 1954 in Figure 12 and Box 6), as collective needs, such as self-determination in the case of ethnic minorities or indigenous groups. Needs are not necessarily standardised and equal for everybody, but depend upon cultural, social, economic, environmental and political contexts²⁴.

While needs are always present in a community to varying degrees, we hypothesise different scenarios: i) needs may be recognised as salient by the general public and raise political discussion and policy action (e.g. poverty); or ii) needs may not be recognised as salient by the general public and may not be captured statistically at the regional or territorial level, yet deeply affect a minority of the population (e.g. homelessness for single parents, 'working poors', isolated and remote fractions of small villages in rural areas). In both cases²⁵, the trigger may bring the 'need' to the fore and compel specific action to address it (see

Figure 10).

SIMRA aims to identify social and societal needs and characteristics of governance shifts in the context of marginalised rural areas in EU and non-EU Mediterranean countries. In such territories, trigger-needs relationships are typically characterised by remoteness, limited access to services through public mobility, lack of employment, lack of prospects for career building, low income and poverty, population ageing, population loss, lack and loss of services, social problems (e.g. gender inequalities), and lack of IT connectivity (see Price *et al.*, 2017, D3.1, for a full analysis).

In Table 7, we propose a preliminary and non-exhaustive list of social needs, societal challenges and governance shifts that are likely to characterise MRAs in the SIMRA target area. The list is structured around the three focal challenges and corresponding approaches to SI as suggested by BEPA (2011)²⁶. Approach 1 refers to SI as a response to the social demands of vulnerable groups (i.e. it is grounded on specific unmet social needs); approach 2 refers to SI as a response to societal challenges directed towards society as a whole; approach 3 refers to SI as a response to governance shifts (i.e. systemic change in relations between public authority and the society).

²³ Triggers also lead to processes of upscaling, for example *when a new social innovation itself acts as a trigger for its replication* (scaling out) or for its inclusion in changes in policy at a higher level (scaling up) (Moore and Westley, 2011).

²⁴ According to Sen (1999), improvements in well-being depend on people's capabilities as well (see Box 5).

²⁵ In case (a), while some action may be taken, needs may simply (i) not be well addressed from the perspectives of those most vulnerable in terms of equity and effectiveness, or (ii) be considered by the general public and policy-makers as 'too big to tackle'. In case (b), the needs that are not recognised by the public as salient, ('marginalised needs' may refer to those that are not generally considered in a context analysis), may be disregarded by policy makers. However, a specific action of SI may include a statistical or qualitative analysis that specifically describes the marginalised context and raises the profile of the 'need' to the general public (e.g. violence against women, work placement for people with a disability, youth suicide, dementia among the elderly). Within SIMRA, we need to clarify how the context generates the needs and what is the difference between context and needs. For example, if the context variable is the percentage of population over 65 years, related needs may be halting or inverting the process of population ageing, lack of a dynamic social life, job prospects or opportunities that lead to youth emigration; lack of support for young families and thus lower natality rates; or loss of land based activities and traditional knowledge in agriculture and forestry. The relationship between context and needs are a core aspect for the evaluation of SI initiatives at the local level.

²⁶ See footnote 16



Approach 1: The social demand perspective of vulnerable groups

The first approach responds to the question “Which are the main social demands that are traditionally not addressed by the market or existing institutions²⁷ and are directed towards vulnerable groups in society?” suggested by BEPA (2011: 37).

Table 7. The social demand perspective in MRAs. Source: SIMRA research team based on BEPA, 2011.

Vulnerable groups in MRAs	Examples of social needs and demands
<i>Minorities or local indigenous people groups</i> ²⁸ , e.g. groups with strong and ancient cultural identities, generally not recognised as culturally distinct and excluded from the dominant culture.	• Integration • Recognition • Dignity • Respect • “Voice” and “vote” in deciding local development paths
<i>Women</i> , e.g. low qualified and low skilled, typically engaged in the provision of child care or elderly assistance, limited by lack of rural occupational opportunities, or excluded from them for cultural reasons.	• Resources allocated for child care • Hospital assistance for childbirth and post-natal care • Options for carrier development • Recognition of their key role
<i>People with intellectual and physical disabilities</i> , e.g. people affected by physical inabilities in areas with limited transport and physical barriers, lack of job placement opportunities, or with learning difficulties.	• Health assistance centres for therapy • Options for leisure • Social integration • Work placement • Reduced architectonical barriers • Public transport facilities
<i>Long-term unemployed</i> , e.g. low qualified local residents and migrants, men and women, employed in the past in an industrial sector or district ²⁹ .	• Employment opportunities <i>in loco</i> • Avoid relocation and outmigration • Take care of family and maintain personal connections
<i>Offenders</i> , e.g. local people well known in the community but unable to reintegrate because of their criminal record and face difficulties to re-build social relations and reputation.	• Being re-accepted without prejudice • Being given a second chance • Reconstructing their social networks • Regain respect • Have employment opportunities like the others
<i>Elders</i> , e.g. lack of access to transport (personal car or access to public transport), cannot drive or are simply too old for driving; those who face mobility barriers; are limited during	• Remain engaged in society with their values and capacities • Access to resources for health care

²⁷ In several countries (e.g. Austria), the needs of vulnerable groups are addressed by “existing institutions” as well as by market (e.g. cooperatives, third sector). At the national level, there may also be laws that recognise minority groups, as well as specific programmes for low qualified women and other vulnerable groups. SI initiatives attempt at addressing these issues through *niches* initiatives, led by the voluntary engagement of civil society, e.g. social gardening with refugees and minority (migrant) women; or social enterprises aimed at long-term unemployed groups. These initiatives are partly financed through public funds or receive other types of public support. However, despite attention, they may not always work in practice. Thus, when BEPA refers to SI in relation to “traditionally not addressed by market or existing institutions” (2011: 37), we refer to it as being traditionally not *properly* addressed by market or existing institutions.

²⁸ e.g. Cimbri population in the Veneto region, North-Eastern Italy.

²⁹ e.g. The eyewear industry in the Belluno province was flourishing up until the 1990s in the Cadore valleys, but residents lost their jobs due to the international competition of Chinese producers and the collapse of the local industries. Many people remained in the area (now marginalised) because of family relationships and duties, while others emigrated towards urban areas, thus contributing to the further decline of the social tissue.



Vulnerable groups in MRAs	Examples of social needs and demands
extreme weather events (snow, heavy rains heat); or receive declining welfare resources.	• Access to public assistance • Access to mobility options • Access to meeting and leisure centres (not only those managed by churches or small local NGOs) for active social life • Home care
<i>Children and young people</i> , e.g. limited access to school options, cultural activities, sports facilities; engaged in family working activities such as farms, or with parents who work some distance away; limited resources allocated for school improvements and professional education and consequently limited chances of professional careers if they remain in the local area; long distance commutes to high schools and higher costs for mobility; limited internet connection in remote areas.	• Options for choosing sports • High quality school options • Options for vocational training • Access to affordable public transport and leisure centres • Internet connection • Options for building friendships and connections (cinemas, bars, swimming pools, disco dances, theatres, music concerts) (active social life)
<i>Poor families</i> , e.g. low income families, often with one job, unstable, subject to moving in/outside of a community (sometimes not open and flexible as urban communities)	• Minimum salary • Dignity • Employment opportunity • Housing

Approach 2: The societal challenge perspective

The second approach responds to the question “Which examples of societal challenges³⁰ are both social and economic in nature, and are directed towards society as a whole?”, as suggested by BEPA (2011: 38). **Societal challenges** refer to social, economic, institutional and environmental challenges that require adaptation. Examples include natural disturbances such as negative trends in the availability or access to natural resources due to climate change and resource and landscape loss and depletion, or social change, such as ageing, in- and out-migration, declining population, conflict, war and social unrest, or criminality.

Adapting to a natural disturbance may refer to survival after an environmental disaster, including the decision to remain and re-build houses and social life; adapt agricultural or forestry practices to reduced availability and access to natural resources; implement new climate-sensitive ways of producing and distributing green products and services, or finding new products and services that are sought by society. These refer to new social uses of forests for improving general health (e.g. green care), short value chains of local agricultural and forest products and specialties, community-based and rural tourism activities, or nature-based businesses.

Adapting to social change (often reported as ‘social disturbances’) may involve finding ways to manage the long-term care of elderly residents in MRAs during a time of public budget constraints, increasing the attractiveness of marginalised rural areas for young families, for example by guaranteeing basic public services, creating new jobs, creating cultural events and promoting a dynamic social life). It may also involve improving infrastructure and services to reduce out-migration towards urban areas, or integrating newcomers into the local economy and community. Survival after a conflict/war, adaptation to social unrest and resistance to criminality are other examples that require adaptation in marginalised rural contexts.

³⁰ Societal challenges include environmental-related challenges (e.g. climate change) that have both social and economic consequences. Thus, even if the term “ecological” is not explicitly mentioned in the question posed by BEPA, it is implicitly included as a component of societal challenges.



Approach 3: Systemic change perspective

Governance shifts include attempts at adopting citizen engagement mechanisms, increasing information exchange and disclosure, facilitating network creation and managing new roles for the public sector (e.g. process facilitator). Governance shifts are often characterised by inadequacy, i.e. by a limited or absent capacity of the governance model to adapt to continuously fluctuating circumstances. Examples of inadequacies that are obstacles to shifts towards new models and mechanisms include the lack or ineffective involvement of civil society, community and citizens in decision-making processes and lack of voice; unbalanced representation of women in positions of responsibility (e.g. mayors, presidents, CEOs); an overwhelming bureaucracy or obsolete and rigid legal framework, brittle and inflexible public administrations (i.e. an administration with limited institutional capacity unable to address society's needs), conflicts of interest as well as corruption in public and private organisations. Thus, governance inadequacy refers to top-down, managerial systems of control (Holling and Meffe, 1996), which are brittle, inflexible, and lack the capacity to face social, environmental and economic change (societal challenges). They refer to the lack of capacity to steer governance systems involving public and private partners. In marginalised rural areas, this can be due to improper decentralisation or neo-centralisation processes (e.g. Secco *et al.*, 2017), or, more simply, to a progressive reduction in the amount of resources allocated to peripheral (local) governments following financial and economic crises and spending reviews. Thus, governance shifts may fail to address the needs of the most vulnerable groups, leading to greater inequality and overall social instability. It is also possible for governance shifts to be positive. Shifts may be well structured and properly organised, supporting emerging SI initiatives. Both options should be considered in the evaluation.

Box 6– Main methods that inspired the development of the SIMRA method for addressing the dimension Individual and collective needs

From the survey of methods to assess SI and its impacts, different approaches were influential. For example, Maslow's Pyramid (1943; 1954 in Figure 12), in which needs are ranked, is heuristically useful, even though extensive critique has challenged the 'hierarchization' of needs and argued that needs are perceived differently across cultures, ages, gender, class and between individualistic and collective societies (e.g. Wahba and Bridwell, 1976; Hofstede, 1984; Cianci and Gambrel, 2003).

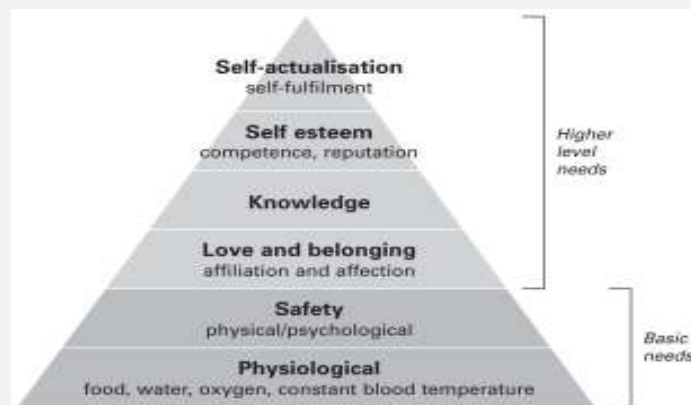


Figure 12. Hierarchy of needs (Maslow, 1943; 1954). Source: <http://blog.readytomanage.com/wp-content/uploads/2012/11/maslow-pyramid.png> accessed 21.03.2017

Needs are also connected with the concept of “quality of life” (Nussbaum and Sen, 1993) and the “substantive freedoms” developed in Sen’s “capability approach” (Sen, 1999). According to Sen (1999: 4-5) rather than guaranteeing a certain level of income or GDP per capita, development “requires the removal of major sources of unfreedom”, including poverty, tyranny, “poor economic opportunities, systematic social deprivation, neglect of public facilities” and social care. Several types of economic, social and political freedoms play a key role “in enhancing and enriching the lives that people are able to lead” (ibidem: 9). “The life that a person leads can be seen as a combination of various doings and beings, which can be generally called functionings. These functionings vary from such elementary matters as being well nourished and disease-free, to more



complex doings or beings, such as having self-respect, preserving human dignity, taking part in the life of the community and so on.” (Nussbaum and Sen, 1993: 3). Therefore, needs are not necessarily standardised, as they depend on cultural contexts and dominant values. Through his studies, Sen tried “to explore a particular approach to well-being and advantage in terms of a person’s ability to do valuable acts or reach valuable states of being” (Sen, 1993: 30).

If we consider “freedoms as the primary ends of development”³¹, we can argue that guaranteeing substantive freedoms means satisfying people’s needs. The five types of basic freedoms include: “1) political freedom; 2) economic facilities; 3) social opportunities; 4) transparency guarantees and 5) protective security. Each of these distinct types of rights and opportunities helps to advance the general capability of a person” (Sen, 1999: 10). They are all interconnected.

However, if we consider that “social innovation [...] seeks to enhance outcomes on societal well-being” (SIMRA definition), Sen’s “capability approach” can help us to define well-being. “The capability approach to a person’s advantage is concerned with evaluating it in terms of his or her actual ability to achieve various valuable functionings as a part of living. The corresponding approach to social advantage, for aggregative appraisal as well as for the choice of institutions and policy, takes the sets of individual capabilities as constituting an indispensable and central part of the relevant informational base of such evaluation” (Sen, 1993: 30). This approach differs from approaches focused on personal utility (e.g. based on pleasures or happiness), absolute or relative opulence (e.g. based on income), or absence of freedoms (Sen, 1993).

Freedom to lead different lives is reflected in a person’s capability set, while the capability of a person depends on factors such as personal characteristics and social arrangements. In addition, papers and methods that have inspired development of the preliminary set of SIMRA methods and tools are: Dawson and Daniel 2010; Bock 2012; AngloAmerican 2012; McLachlan *et al.*, 2015; SIMPACT, and Peerlings *et al.* (2014). More information is provided in the SIMRA Resources Web Site (see www.simra-h2020.eu/resources/).

Box 7 – What we evaluate for the dimension Individual and collective needs

- Before and after: the context of individual and collective needs (see Section on ‘Perceived context’)
- Trigger as a discrete event or long-running process
- Framing processes
- Identification and explanation of the relationship between trigger and needs
- Analysis of how the trigger may change perception of needs and thus compel individual or groups to action (e.g. psychology of the individual, psychology of the group, storyline of strategic framing)
- Specific unmet social needs, societal challenges and/or governance shifts to which SI responds

5.2.2. Perceived context

5.2.2.1. Perceived context: an overview

Context refers to the conditions that enable or constrain SI. In the SIMRA evaluation framework, it includes two sub-dimensions: i) a static one, based on existing context and resources; and ii) a dynamic and subjective one, based on the perceptions and framing of actors of what is an opportunity or a threat (perceived opportunities and threats). The first sub-dimension, Context, refers to the SI context set of variables (see Kluvánková *et al.*, 2017; D2.2)^{32,33}. Context typically includes the regulatory frameworks (laws, legislation and

³¹ Sen further considers freedoms as the “principal means of development” (1999: 10).

³² The SI context includes existing enabling and constraining conditions that influence the actions of actors, and thus determine the “action arena” (Kluvánková *et al.*, 2017; D2.2).

³³ In the SIMRA evaluation framework, the SI context includes elements of the “resource systems” and the “resource units”, as well as of the “governance systems” and “actors” described in McGinnis and Ostrom (2014) (see Kluvánková *et al.*, 2017, D2.2; Section 5.2.2.2 of D4.2).



policy); overall governance and institutional arrangements, both formal and informal; material resources such as availability of funding, raw materials, natural resources and existing infrastructures; and intangible resources such as social memory, culture and identity, discourses, and historical background. These resources are identified as the five capitals (social, natural, human, financial, cultural) (Goodwin, 2003) or considered as dimensions of a territory, e.g. social, financial, legislative, economic, technological and natural territorial systems (Osti, 2010).

The second sub-dimension, Perceived opportunities and threats (POT), refers to the subjective understanding and perception of the context. The latter focuses on the resources or obstacles that are perceived as such by the agents and actors of a system. The existence of a specific set of assets (resources) does not imply that they are visible (identified and recognised), available and/or accessible and at the disposal of actors/agents ready to implement a SI. As described under trigger and needs (Section 5.2.1 above), context is not objectively defined, but rather, it is subject to the collective attribution of 'opportunities' or 'threats'. In one case, the context could offer a set of opportunities that to others are threats. Context must be visible and 'seen' by an agent/actor for SI initiative to start³⁴, and for this reason, it is case-specific at the local level.³⁵

Perceived context refers to all the tangible and intangible resources that are available, accessible to, recognised and used by, actors/agents (or conversely, that hinder actors) in the process of reconfiguring relations and social practices and putting in place mechanisms for SI.

5.2.2.2. Perceived context: details for SIMRA evaluation

In the context of SIMRA evaluation, the dimension Perceived context is distinct from trigger and needs. Trigger refers to a discrete event or a situation "that causes something to start" (Cambridge Dictionary, 2017), and, in the case of SI, that causes agency to start. Perceived context refers to the structure of opportunity, external to the agency, at any scale, which integrates how actors perceive the contextual situation (e.g. the institutional environment) and which enables or constrains the action of the innovator. According to this definition, in the evaluation, it is assumed that perceived context is identified by both a context analysis (i.e. "context indicators", on various types of existing resources) and a "POT" analysis (i.e. analysis of Perceived Opportunities and Threats)³⁶. Analysis of both sub-dimensions provides the baseline for the evaluation, i.e. the scenario before the SI, against which change can be measured

Perceived context is case-specific at the local level, because it constitutes site-specific resources (also available at other levels) that are visible, culturally and socially identified and defined; and types of access that the agent/agency has to resources which are tangible (e.g. financial, physical resources) or intangible (e.g. knowledge, discourses, symbols). For identifying and analysing key resources in the evaluation of the dimension "Perceived context", the concept of capitals is used.^{37,38} Natural Capital is connected to environmental resources, Infrastructural Capital to human-constructed facilities and resources, Financial

³⁴ See footnote 22 for reference to the social movement theory (McAdam *et al.* 2001).

³⁵ Power relations can shape perceived context and the kinds of relationships which develop as a result of agency and the SI initiative. However, power relations are more connected to the specific strengths and weaknesses of the agent/agency in using resources, and are thus explored under the dimension of "Agency".

³⁶ The POT is a SWOT analysis but the components "Opportunities (O)" and "Threats (T)" are considered and seen from the specific perspective of the agency as factors external to agency, i.e. i.e. in relation to what is recognised and perceived as an enabling or constraining component by the agency itself. In evaluation, these could be identified through storytelling. Other methods will also be considered if necessary and possible.

³⁷ When used in the context of Sustainable Rural Livelihoods, capitals have been used to show a multidimensional approach to assets and associated to analyses of poverty. This "recognises human agency and examines the ways in which household livelihood strategies are built around protecting, substituting, increasing and using assets to produce security and achieve other goals." (Hulme and Sheperd, 2003: 414). It also contributes to the delivery of interventions that are not sector-based but recognise that interactions among capitals affect choices and opportunities.

³⁸ In using key words connected with capitals, we are aware that this terminology over-emphasises their role and can be seen to fix them into categories. The approach does not imply support for a materialist and economist view of local development connected with SI. Rather, the approach is adopted for operational reasons, because of its relative ease of use for identifying the elements of the sets of resources for inclusion in the evaluation.



Capital to financial resources, Human Capital to human resources, and Social Capital to social resources (Table 8).

Table 8. Key components of various types of capital and their possible links to different types of resources.
Source: SIMRA research team based on various sources.

Resources	Type of capital	Definition	Key components
Environmental/ natural resources	Natural Capital	The [world's] stocks of natural assets which include geology, soil, air, water and all living things (World Forum on Natural Capital, 2017).	Natural resources such as water, soil, ecosystems, forests, pastures, energy, geology, land.
Human-constructed resources	Infrastructural Capital	The basic physical and organisational structures and facilities (e.g. buildings, roads, power supplies) needed for the operation of a society or enterprise" (Oxford Dictionary, 2017); or "Structures, systems, and facilities serving the economy of a business, industry, country, city, town, or area" (Dictionary.com).	Infrastructure such as airports, bridges, roads, railways, schools, hospitals, ITC infrastructures, buildings, machines, equipment.
Financial/ economic resources	Financial Capital	"Financial capital is any economic resource measured in terms of money used by entrepreneurs and businesses to buy what they need to make their products or to provide their services to the sector of the economy upon which their operation is based, i.e. retail, corporate, investment banking, etc." (Wikipedia)	Funds, investments, charities, short-term loans, medium-term loans, deposits, venture capital, equity, debts, leasing, financial instruments (e.g. futures, options, derivatives, investments funds, bonds), insurance.
Human resources	Human Capital	"The knowledge, information, ideas, skills, and health of individuals" (Becker, 1964). More recently, the definition developed a more collective-oriented meaning. "The collective skills, knowledge, or other intangible assets of individuals that can be used to create economic value for the individuals, their employers, or their community" (Dictionary.com). Or, "The skills, knowledge, and experience possessed by an individual or population, viewed in terms of their value or cost to an organisation or country" (Oxford Dictionary Online).	Skills, information, education, knowledge, health, ideas, values, social and personality attributes included creativity, motivation, competences, experiences, habits, culture.
Social resources	Social Capital	"Networks together with shared norms, values and understandings that facilitate cooperation within or among groups." (Healy and Côté, 2001: 41). Different types of SC: cognitive, relational and structural SC; bonding, bridging and linking SC.	Networks, relations, trust, shared norms, shared values, exchange of information, cooperation, cultural identity, social life, collaboration attitudes, solidarity, social groups, inclusion vs. exclusion, collective action, conflicts.



Resources	Type of capital	Definition	Key components
Institutional/ governance resources	Institutional Capital	Despite institutional capital is referred as important to SI, not clear definition seems available ³⁹ .	Government and non-governmental organisations, actors (included civil society representatives), networks, decision making rules, operational rules, property rights systems (included access rights), monitoring and sanctioning rules, security, legality, access to information, empowerment of different social groups.

McGinnis and Ostrom's framework on socio-ecological systems (2012) (see Box 8 and Kluvánková *et al.*, 2017; D2.2) provides two useful categories of concepts: "Resource Systems" and their specific unitarian components (i.e. "Resource Units"), and "Governance Systems" and their specific unitarian components (i.e. "Actors"). The first category can be conceptually linked to Natural, Financial and Infrastructural Capital, and the second one can be linked to Institutional, Human and Social Capital.

In the SIMRA evaluation approach, we propose two sequential and complementary steps. First, identifying context indicators for natural, human-constructed, financial, human, social and institutional resources at the appropriate level of disaggregation (regional and/or local, when possible). Second, carrying out a POT analysis for the resources in Table 8, as identified by the social innovator and its network. This analysis uses different means of interpretation⁴⁰, including: presence/lack of the resource; whether the resource is supportive or hinders the SI; whether the resource is identified as a resource or is not recognised. This approach allows an assessment of enabling ("presence of...", "support to...") and constraining ("lack of..."; "opposition to...") conditions for SI. The social innovator can directly identify the opportunities and threats as external factors⁴¹ primarily through storytelling and narrative, whereas context indicators are based on secondary and quantitative data, when available at the appropriate level of analysis.

Box 8 – Main methods that inspired the development of the SIMRA method for addressing the dimension Perceived context

The sub-dimension "Context" drew on: (a) *the concepts of the five capitals* that are at the basis of territorial systems, identified by economists and social scientists (e.g. Coleman, 1988; Becker, 1993; Goodwin, 2003; Osti, 2010); and (b) *the basic components of the socio-ecological system framework* (McGinnis and Ostrom, 2012; 2014). The approach and use of these specific frameworks is related to the relevance of natural resources and socio-ecological systems in the analysis of SI in marginalised rural areas (See Figure 13).

In identifying the sub-dimension "(P)OT", reference is made to the theory of access (Ribot and Peluso, 2003). According to these authors, "[...] access analysis involves i) identifying and mapping the flow of the particular benefit of interest; ii) identifying the mechanisms by which different actors involved gain, control, and maintain the benefit flow and its distribution; and iii) an analysis of the power relations underlying the mechanisms of access involved in instances where benefits are derived" (Ribot and Pelulos, 2003: 160-161).

³⁹ The Institutional Capital is referred as "the human, financial, technical, facilities, and other resources necessary to achieve an institution's mission and goals" (<http://oirap.rutgers.edu/msa/Standard-3.htm>), but this meaning is not appropriate for the analysis of the institutional resources in a territory.

⁴⁰ The order of collection of information is not necessarily the one used to illustrate the main contents of the analysis.

⁴¹ Strengths and Weaknesses (as internal factors with respect to the SI) are analysed in relation to other dimensions of social innovation (in particular, the dimension "Agency").

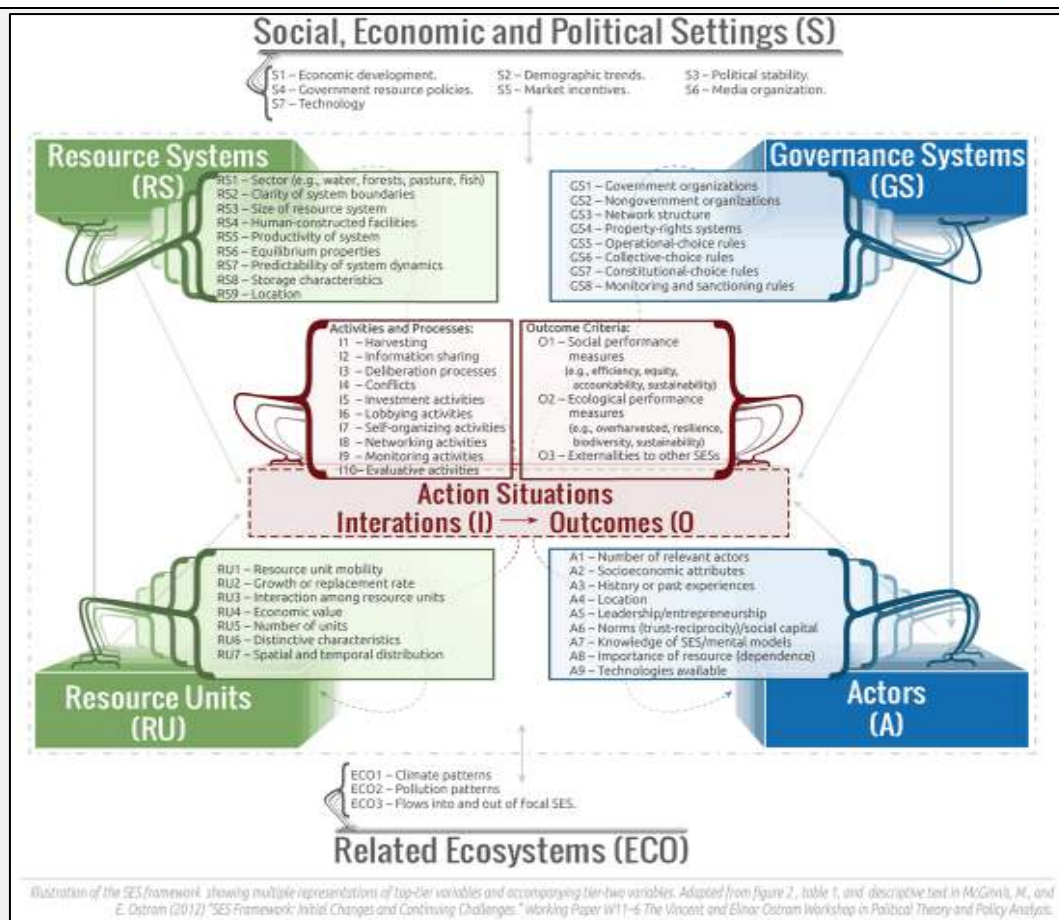


Figure 13. The socio-ecological systems (SES) framework and its specific components. Source: McGinnis and Ostrom (2012) as explained in Kluvánková *et al.* (2017; D2.2).⁴²

The concept of access to resources is multifaceted, involving access control, access maintenance and gaining access. Access can be explored in relation to access to technology and access to resources mediated by technology (Bunker, 1985; Barham *et al.*, 1994), to capital, to markets, to labour and labour opportunities, to knowledge, to authority; it can be facilitated by social identity, via the negotiation of other social relations (Ribot and Peluso, 2003: 165). In SIMRA, social innovation is often about changing access and control to common pool resources (i.e. disused hotels which reopen the use of abandoned villages, social agriculture which opens farming to people with a disability, terraces which are adopted or used by others).

Social innovation allows the reopening of previously closed areas/lands, changing access conditions for different groups of people or organisations. Reference is made to the Q methodology, which uses input from psychology (Stephenson, 1963) and action research to analyse subjective attitudes and perceptions that are difficult to quantify with other means (Barry and Proops, 1999; Brown, 1996; Watts and Stenner, 2012; Nijnik *et al.*, 2016). Its results are case and context specific and rewording is needed for different types of respondents at the national, subnational and local levels.

Other sources that supported the analysis of the dimension of Perceived context are: EU projects on social innovation such as SI-DRIVE (www.si-drive.eu/), TRANSIT (<http://transitsocialinnovation.eu/>; Wittmayer *et al.*, 2015) and CRESSI (www.sbs.ox.ac.uk/faculty-research/research-projects/creating-economic-space-social-innovation-cressi); and Stirling and Mayer, 2001; De Boer and Bressers, 2011; Bock 2012; AngloAmerican, 2012; Cajaiba-Santana, 2014; Katonáné Kovács *et al.*, 2016; and Dudwick *et al.*, 2006. More information is provided in the SIMRA Resources Web Site (see www.simra-h2020.eu/resources/).

⁴² <https://blog.waterdiplomacy.org/blog2014/wp-content/uploads/2013/12/SESepanded.png>.



Box 8 – What we evaluate for the dimension Perceived context

- The baseline for the evaluation
- Context indicators: natural, human-constructed, financial/economic, human, social and institutional/governance resources – in their multifaceted key components (see Table 8)
- Perceived Opportunities and Threats (POT): how resources are interpreted and used by the social innovator, in terms of presence/absence, access to/not access to, power on/not power on, supporting or obstructing resources

Note: the level of analysis is local to where the SI takes place

5.2.3. Agency

5.2.3.1. Agency: an overview

In the SIRMA evaluation framework, we consider *agents* (actors and drivers of their actions) and *actions* as key sub-dimensions of *agency*. Agency is “the actor's capacity to reinterpret and mobilize an array of resources in terms of cultural schemas other than those that initially constituted the array” (Sewell 1992: 19). Agency is also seen as “meaningful human behaviour, individual or collective, that makes a significant difference in the natural and/or social worlds, either by direct, unmediated action or through the mediation of tools, machines, dispositifs, institutions, or other affordances” (Moulaert *et al.* 2016: 169). In a context more specific to SI, agency “refers to the capacity of SI-agents to transformative change” (Haxeltine *et al.*, 2016: 23), including by “modifying, eliminating or creating new institutions and eventually new social systems” (Cajaiba-Santana, 2014: 47).

Agency is referred to as including specific values, visions and trust, willingness to act, reflexivity and capacity for change,⁴³ which influence how actors or groups of actors (agents) seek to change practices to respond to specific needs, but also their level of motivation and power to actually act and sustain their action toward specific goals (Sewell Jr., 1992; Janssen and Ostrom, 2006; Cajaiba-Santana, 2014). In this Section, interconnections amongst these concepts are briefly explained. Developing a framework based on agency and structure “requires gaining information about how agents make their decisions, how they forecast future developments, and how they remember the past” (Janssen and Ostrom, 2006), thus fitting into the typical, driving questions of an evaluation.

Agents and action

As described by Sewell (1992: 20), “*agents* are empowered to act with and against others by structures: they have knowledge of the schemas that inform social life and have access to some measure of human and nonhuman resources”. SI-agents can include individual and collective human actors but also ideas, objects, activities, discourses and narratives of change (Haxeltine *et al.*, 2016: 23). The “objects, activities, discourses and narratives of change” described in the Transformative Social Innovation framework (Haxeltine *et al.*, 2016) are considered part of the *action*. Actors-agents embark on individual or collective actions, which may lead to either individual or societal benefits (see also Schouten *et al.*, 2013).

We hypothesize that actions⁴⁴ seeking societal (collective) benefit typically lead to social innovation. *Action* refers to all those activities that social innovators (actors-agents, as individuals or group/s) may carry out for

⁴³ As explained by Cajaiba-Santana (2014) in relation to social innovation, “...actors are conceived as purposeful, knowledgeable, and reflexive. [Taking from Giddens], the idea of ‘reflexivity’ implies that actors have the capacity to monitor routinely their actions by reflecting upon them and acting according to their intentions. Reflexivity stands for the continuous monitoring of the social context and the activities taking place within this context. Agents' actions have the power of changing institutions, but are at the same time constrained by institutional practices. The social innovation process requires attention to the individual persons; more specifically, to what they think, to what they value, to how they behave, and to how interrelations between actors and social systems take place.” (p. 48)

⁴⁴ Individual actions intended for individual benefits (e.g. internal reorganisation of a company proposed by the director) typically refer to technological innovations that may lead to societal benefits but do not include a reconfiguring of social practices and/or the engagement of civil society. As such they are outside the scope of the SIMRA evaluation framework.



preparing the process of reconfiguring. These could include conducting a context analysis of benchmarking, identifying and contacting potential partners/stakeholders, seeking legal information on options for types of business that could be created, finding consultants where required, introducing the idea in meetings, and raising awareness by communicating the idea (narrative building). These actions, connected with *ex-ante* transaction costs (Williamson, 1985: 20), are implemented to lay the ground for collective action, whereby networks, institutions and attitudes change during the process of reconfiguring.

Characteristics of Agency

In some cases, SI agency may originate from a well-defined organisation where organisational aspects are established and well known. In other cases, agency may take a more distributed form, emerging from an informal group of people where the determinant characteristics of an organisation may be not identifiable at that time, but a network may be identifiable. In the first case, agency is consistent with, but not synonymous of, the concept of *organisation* as defined by Hodgson (2007: 8), involving: “(a) criteria to establish their boundaries and to distinguish their members from non-members, (b) principles of sovereignty concerning who is in charge, and (c) chains of command delineating responsibilities within the organisation”. In the second case, the emphasis is on collective efforts for collective action, where Haxeltine *et al.* (2016) refer to “agency as distributed, rather than easily attributable to individual actors of groups”, while Westley *et al.* (2013) refer to “strategic agency [as] typically not associated with just one individual, rather is produced through the strategies of a number of actors, each of whom takes actions that help the system progress through different stages of innovation and transformation (Garud and Karnoe, 2005, Hahn *et al.*, 2006)”.

Agency is determined by ideas and values (e.g. ethical, moral). In the commonly used sense, values are broad preferences concerning appropriate courses of action. They tend to influence attitudes and behaviour; they can be defined as “beliefs about what is right and wrong and what is important in life” (Oxford Online Dictionary, 2017). Values are linked to, and corroborated by, interrelated beliefs and assumptions on cause-effect relationships. Values guiding agency are “internal values”, which can be coherent or contrast with the dominant external values of the society or historical period; and can be individual values or shared values within a community (e.g. if the agency is a group) (Polman, 2002). Thus, social innovation derives from, and is driven by shared ethical arenas, which are context-specific and a core aspect of social innovation. SI can also have a negative side, with trade-offs between other groups of persons (with different values). This is despite the SIMRA definition of social innovation of its seeking to enhance outcomes of societal well-being (Polman *et al.*, 2017; D2.1).

Leadership, motivation, networks, learning, diverse cultural and knowledge systems, worldviews, values and perception, as well as self-organisation toward sustainability can be analysed as part of the agency guiding changes in practices through social innovation (Westley *et al.*, 2013; McGinnis and Ostrom, 2014). Further, different actors and coalitions of actors play different roles. They can be active in supporting the social innovation, by connecting, pushing forward, and actively committing time; or inactive, by awaiting preliminary results or hesitating to commit for now. They may also reject the innovation and either oppose it during the reconfiguring phase, or fail to play a role in future actions. Actors who reject SI in the first phases could become active again in other phases. Roles can change in different situations and over time⁴⁵. Finally, agency is not necessarily local but can rely on cross-scale and cross-level interactions with different organisations, foundation and research institutes (Cash *et al.*, 2006; Westley *et al.*, 2013).

⁴⁵ For the sake of simplicity, “inaction” and “rejection” are represented in the framework only in connection to the initial phase of the SI initiative (Figure 10).



5.2.3.2. Agency: Details for SIMRA evaluation

In this Section, we describe: i) who belongs to agency and what are the methods that can be used for data collection in the evaluation, depending on the type and structure of the agency, and the different aspects of agency during different SI phases⁴⁶; ii) preparatory actions that agents carry out for starting an SI initiative.

Who belongs to agency: agents/actors?

Agency includes people/individuals who collectively share individual and collective values, ideas, willingness to act, reflexivity and capacity for change towards SI. Individuals may be living in the same community, or working in the same organisation (e.g. private/business, NGO, public-private partnership, etc.). In exploring the sub-dimensions of agency in relation to social innovation, leadership theory is of particular relevance, as leadership⁴⁷ is expected to influence development paths and needs to be measured (see Kluvánková *et al.*, 2017; D2.2).

For evaluation, it is assumed that four types of people or organisations interact: a) *Innovators* have an idea that may be visionary but not necessarily applicable in practice given prevailing conditions; b) *followers* decide to believe and take up the idea, and make it acceptable, feasible, and often amplify and implement it in its initial stages; c) *transformers* adopt the idea early on and contribute to network change and growth; and d) *implementers* realise and consolidate the idea. The final group can be internal or external to an organisation. These actors interact in the emerging process of SI.^{48,49}

Innovators are key leaders as the first drivers of innovation. They are identifiable and either had the idea, invented it, discovered it or were attracted to it (e.g. a group of 4 people who had the idea of building a wind turbine in the Udney community, in UK and started the initiative). Innovators can be members of an organisation/association but act “autonomously” to start the innovation. In doing this they can change relationships within their community and respond to societal challenges (in the case of Udney, a marginalised rural area in UK, the abandonment of the community and the lack of economic resources for the well being of the same community). Innovators can be members of the local community (e.g. they belong to the same rural community and area where the social innovation ideas emerge), or be external. In the latter case, innovators leave a rural area to obtain qualifications and training, spend time away from the community, and then return, or they were new to the community and started a new initiative. Different types of local development approaches (endogenous, neo-endogenous and exogenous) can be associated with the different “origins” of the innovators (Box 9).

⁴⁶ Agency always includes individuals as actors, even when agency refers to an organisation. Depending on the phase of SI to be evaluated, the target population may be different (more details are provided in Parts III and IV).

⁴⁷ Leadership refers to the capacity of an individual to lead collective action, be recognized and respected as a leader based on previous experiences and accountability (Westley *et al.* 2013). It can also refer also to entrepreneurship (Bund *et al.* 2015), administrative and political leadership (Bekkers *et al.* 2013) or community leadership (Ostrom, 2005) (Kluvánková *et al.*, 2017; D2.2).

⁴⁸ The dynamic is shown in a video: www.youtube.com/watch?v=RXMnDG3QzxE&feature=youtu.be

⁴⁹ The Amoeba Lite model supported thinking about change and innovation (AtKisson Inc., 2015). The model uses the amoeba as a metaphor for innovation and change processes and identifies other types of people that may be involved in the innovation. “Laggards” delay adopting a change as long as possible; “reactionaries” resist change and innovation and are highly motivated to stop it from spreading; while “iconoclasts” raise the problems, and critique those who are perceived to be contributing to the problem; “curmudgeon” are fundamentally pessimistic about change; “recluse” hold back from engaging in the process of change. For SIMRA, only the four main ones have been explored, innovator, followers, transformers and implementers, even though we are aware of the importance of other actors as well, i.e. reactionary actors. However, the case studies might help to highlight the role of other actors. The model and other tools for sustainability transformation are available at: <http://atkisson.com/acceleratorlite/>. All material is under copyright.



Box 9 – Endogenous, neo-endogenous and exogenous development approaches: an overview

Local processes of social innovation that have a territorial rather than sectoral focus, and that occur 'from within' without policy support, are referred to as endogenous development approaches (Van der Ploeg, 1994; Shucksmith, 2000; Vázquez-Barquero, 2003). They emerge from a place and may gain support without policy backing their action, or base their actions as a response to top-down policies, as with social mobilisation. Endogenous approaches satisfy the requirement for relevancy, but may need to be evaluated for efficiency, effectiveness, impact and sustainability. Given that communities are not homogenous, other criteria would need to be evaluated, based on trade-offs in distribution of benefits. As High and Nemes (2007: 6) suggest, "endogenous development is aligned with a logic of evaluation that is embedded and inter-subjective, compatible with modes of knowing of the local heuristic system".

Shifts towards place-based policies, which support rural development, have been referred to as the New Rural Paradigm (OECD, 2006, pp. 55–78; p. 15) or neo-endogenous approaches (Ray, 2006). Ray (2000a p. 4) defines neo-endogenous development, as "...endogenous-based development in which extra-local factors are recognised and regarded as essential but which retains a belief in the potential of local areas to shape their future." Nemes analyses the synthesis in terms of integrated rural development, as a situation where the exogenous and endogenous institutions of rural development reinforce rather than oppose one another (Nemes, 2005; Nemes *et al.*, 2006). While neo-endogenous approaches build on local resources and needs, they may need to be evaluated for relevancy, to ensure consistency between the needs the policy is meant to address and the actual impacts (Bosworth *et al.*, 2016a; Dax *et al.*, 2016).

Hypothetically, exogenous processes are unlikely to lead to social innovation because of their reliance on command and control approaches: "The danger is that centre-led projects can be disruptive of established economic and social relations (Beckman and Dissing, 2005), eroding cultural and natural values. There is therefore often an ongoing tension between the formal institutions of the political centre and the needs and established ways of doing things in developing regions" (High and Nemes, 2007: 3-4). Given common goals, ends may not match the means, and top-down approaches may work only if accompanied by consensus building at the local level, institutional innovation, and if addressing a significant need. As with most development interventions, the process of how an innovation is introduced is more important than the innovation itself, and innovative ways of introducing innovations should not be discounted in the initial stages of the evaluation of social innovation. Exogenous processes would need to be evaluated for relevancy, efficiency and equitability, with success stories perhaps demonstrating the presence of a neo-endogenous approach. As noted by High and Nemes (2007: 6), "The basic metaphor of much top-down, exogenous evaluation practice is one of measurement; based on the experimental methods of the natural."

It is likely that an EU evaluation of social innovation initiatives will: i) focus on neo-endogenous approaches, which support social innovation, or ii) consider the opportunities for scaling out and scaling up a local (endogenous) innovation through neo-endogenous approaches. As explained above, the only criteria to change would be relevancy (see Lowe *et al.*, 1995).

Follower(s) are the first to adopt or support the idea of the innovator, they can be co-creators or identify a good idea and identify a practical approach to take it forward. They can be skilled at its promotion and dissemination at early stages (e.g. in the Amoeba Lite model, the latter are called "transformers" - AtKisson Inc., 2015). Together with the innovator, followers constitute the first clique and start to implement the idea, which is later consolidated by implementer(s). The clique represents the core of agency, together with the idea, values, willingness to act, capacity to act and reflexivity. Once started, transformers can expand the SI initiative and related network in its initial implementation steps, with the initiative later consolidated by the implementers. Implementers adopt the new idea later on and help to realise it in practice, spreading it outside the initial network. They are called mainstreamers in the Amoeba Lite model (AtKisson Inc., 2015).

Organisations, individually or as a group of people, can also be innovators. An organisation in itself can be the innovator, yet the current legal representative, e.g. director or president, might not be the original innovator and might not know the storyline of the innovation. The SI can be a product of interactions amongst individuals inside an organisation. The organisation can be: a company (e.g. micro-company, family company);



a SME (with an internal structure, different offices and tasks, interrelated groups of persons with different tasks and competences; a recognised legal status); a NGO (with an internal structure, but different dynamics of decision-making, activities, roles and assignment), or a network (e.g. a Local Action Group within the EU LEADER Programme).

As represented in Figure 14 and explained in Section 6.2.2, SI has different phases of development, which range from the conception and formulation, to implementation and evaluation. In the initial phases those involved are mainly innovators and followers, while in the intermediate phases (i.e. implementation or practical realisation of the social innovation idea), the SI initiative involves other people and organisations.

During the process of SI development, networks amongst individuals and organisations, and the number of links (both internal links of the initial clique and network, and external links of the clique/network) are expected to increase and include the clique as well as direct beneficiaries. Indirect beneficiaries become involved in social innovation *de facto* (through its effects) once the SI has advanced to produce outcomes/impacts, and the initiative has expanded, consolidated and implemented with effects on those who directly participated in the project and on the community. On a temporal scale, the different phases of social innovation may start from a simple situation where only a few people are directly involved (clique), and evolve to a more complex situation, involving indirect beneficiaries within the community (see Figure 14).

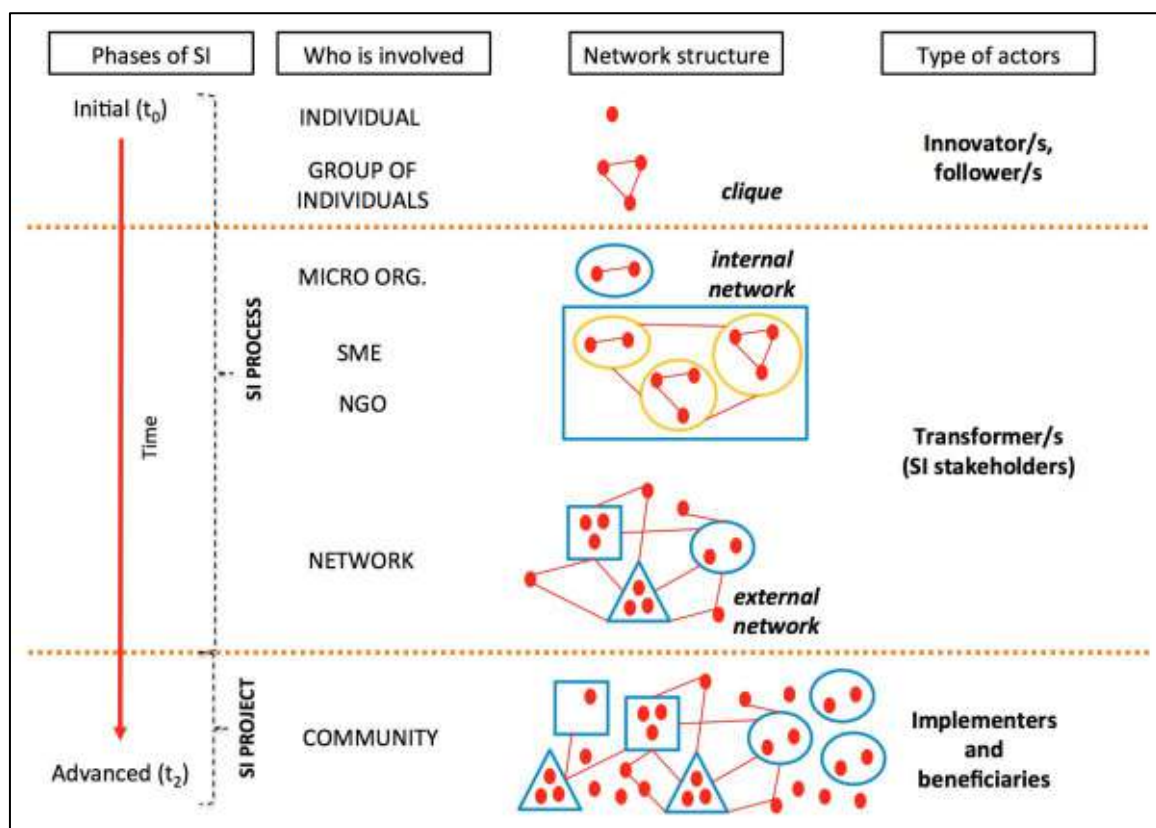


Figure 14. Representation of who is involved in SI in different phases of SI, and the related type of network.

Source: SIMRA research team.

Analysing agency also means addressing some critical challenges relating to what agency means (e.g. access to privileged conditions), what it is and how it is structured, and the ways in which agency (and agents) share ideas and engage in action. We hypothesise characteristics of innovators and followers to influence diverse pathways towards social innovation. These may include gender, age, employment and position, honorary positions in the community, whether they are directly affected by the trigger/need, internal or external residents of the territory (or internal or external organisation), internal or external to a public institution or an association/NGO (at local or higher levels), ethnicity, attitude as a leader or as a prospective leader, ethical and moral principles that inspired action, and experience in actively participating in voluntary initiatives and



projects (see also Boltanski and Thévenot, 1991). Characteristics of human and social capitals are important, including whether they have capabilities or skills as well as relations of trust. The evaluation method aims to capture these identity, aspirations, awareness and capabilities of actors.

Preparatory Action

Action refers to all those activities that innovators, followers, and agents, may carry out at a preliminary stage to 'set the stage' for realising the social innovation in practice. It refers to all those actions that may be necessary for preparing the process of reconfiguring⁵⁰. The action could be seen as the phase of 'organisational appropriation' (McAdam *et al.*, 2001) whereby the ground is prepared for more systematic collective action. These actions do not refer to the activities related to the process of changing social practices, through collective action⁵¹.

The first step for understanding the dimension "Preparatory action" is to identify the activities carried out. They can include benchmarking, identifying partnerships needed and contacting possible partners, seeking legal and technical information for business and contractual agreements, communicating the idea to the local community for improving awareness and building consensus, and screening potential consultants to be hired for future programming and planning.

Initially, action is led by agents (individually or in a clique), while the enlargement of the network and organisation of participatory activities occurs in the process of reconfiguring. Frequently, action is based on the voluntary contribution of a few people interested and highly motivated in the SI idea. They may invest their human (skills, experience, competence), social (relationships), and economic (money, time) resources in such a preparatory phase. People living in small rural communities may have a strong cultural and personal identity directly connected with their own territory and may want to do something to support their community. As a result, action often refers a group of people who act for collective benefit and start the preparation of what is needed for it to be achieved.

From the phase of action to the phase of reconfiguring, there might be a shift from an informal institution (e.g. a group of friends sharing a common goal) to a formal institution (e.g. an extended network of organisations signing a contract of collaboration). These dynamics of changing relations can be evaluated through Social Network Analysis. Action is not necessarily innovative (as the reconfiguring is) and can still fail, e.g. the SI idea may not progress because of problems of leadership, lack of time, emergence of latent conflicts and lack of resources for moving to the next step. However, as action prepares the set for the SI, it can emerge at a later stage.

Once the preliminary action is identified and described, the evaluation can also ask whether it is efficient and effective with respect to the stated goals of the SI. Voluntary work can sometimes be very efficient because engaged people are motivated and can act faster than in other circumstances. Figure 15 illustrates proposed dimensions and sub-dimensions for the evaluation of the SI dimension of Preparatory action⁵².

⁵⁰ In the initial phase relationships may start to change and adaptations of governance arrangements may be possible, and attitudes of engaged innovators and followers can change. The dimension 'Preparatory action' and that of 'Reconfiguring and reconfigured social practices' partially overlap. They are kept separated for the purpose of evaluation, but in real life they are interconnected.

⁵¹ In the evaluation framework, the latter are summed up in the SI dimension 'Project activities'.

⁵² The types of activities will be refined on the basis of the pilot test results, and complemented by the results of the SIMRA case studies evaluation. The aim is to collect a wide range of examples to guide future evaluations of SI in MRAs.

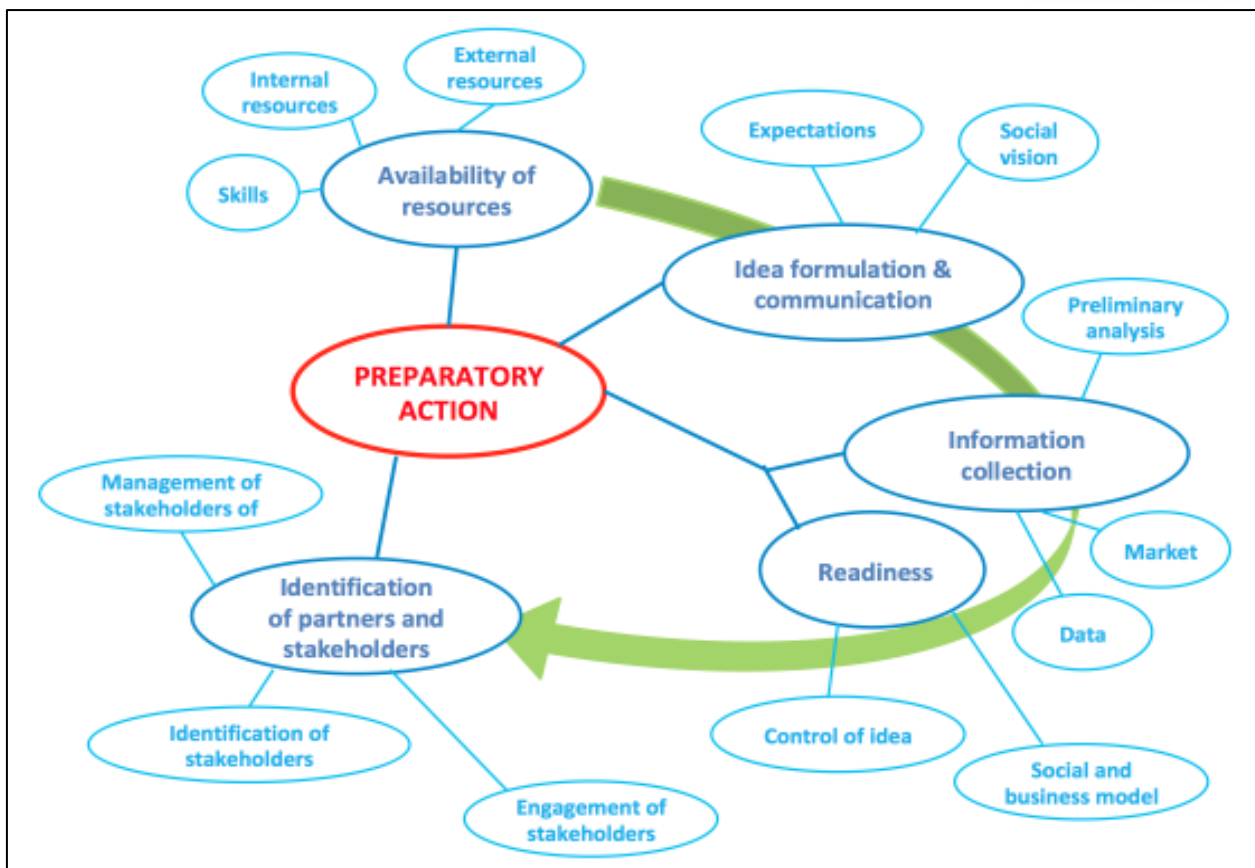


Figure 15. Proposed dimensions and sub-dimensions for the evaluation of the SI dimension 'Preparatory action'. Source: SIMRA research team.

Box 10 – Main methods that inspired the development of the SIMRA method for addressing the dimension Agency

In the survey of existing methods, we drew principally from the following work: Dawson and Daniels (2010), De Boer and Bressers (2011), Young (2011), Banerjee *et al.* (2013), Cajaiba-Santana (2014), the EU projects BENISI and CRESSI, De Vries (2015), Bock (2016), Dietrich *et al.* (2016), Neumeier (2017) and Windrum 2016. More information is provided in the SIMRA Resources Web Site (see www.simra-h2020.eu/resources/).

Box 11 – What we evaluate for the dimension Agency

- The initiation of the social innovation process
- Innovators and followers (leadership): who had the idea?, what were the values driving the idea?, who had the capacity to act for change?, who were the opponents? (i.e. leaders with different ideas that did not want to participate in the development or implementation of the idea or who resisted to the idea)
- Individual and collective characteristics of people involved in the social innovation (e.g. age, gender, education, motivation, reputation, job position)
- The process in terms of who is involved in its initial phases and its outcomes/impacts in terms of the direct and indirect beneficiaries (who belong to which network?)
- Networks: who is doing what (network and network of networks)?, who had the idea (individuals)?, who are the direct and indirect beneficiaries (outcome, impact)?
- Motivations for action



• Contributions of the individuals and clique engaged initially (e.g. voluntary work, economic resources, skills)
• Identification and analysis of similar initiatives (benchmarking, learning from best practices) • Idea formulation and initial external communication (value sharing, defining the vision, refining the message, writing the concept note and/or draft MoU) • Allocation/distribution of tasks and responsibilities • Planning of future steps • Instruments and strategies for the identification of partners and stakeholders • Mechanisms for convincing potential partners to join the initiative • Organisation of preliminary informal meetings and other communication tools • Methods designed for different target populations (innovators/followers/network/community) and different phases of social innovation

5.2.4. Reconfiguring and reconfigured social practices

5.2.4.1. Reconfiguring and reconfigured social practices: an overview

Preliminary actions led by agents within a certain context lead to a *process of reconfiguring* in (i) governance arrangements; (ii) networks (social relationships, e.g. among public and private actors, formal and informal); and (iii) attitudes (connected to beliefs and values), i.e. in social and institutional practices. Social practices “refer to everyday practices and the way they are typically and habitually performed in (much of) a society” (Holtz, 2014: 1). They are ‘types’ of behaviour and understanding that are similar for different individuals at different points of time and locations (Reckwitz, 2002: 250). The process of reconfiguring leads to reconfigured social and institutional practices (i.e. new governance arrangements, new networks and new attitudes, in different combinations).

It is proposed to distinguish between the two phases of “reconfiguring” and “reconfigured” because during the reconfiguring phase it is possible to identify the factors that support, hinder or interrupt the emergence of SI. The interruption can occur at any stage since conception of the idea. It is more visible if it occurs during the action and/or the reconfiguring phase. In particular, if the interruption occurs in the action phase, and action remains action (i.e. no reconfiguring follows), then SI does not happen. Figure 12 represents this possibility by the break line between the agency and SI boxes.

If action leads to SI, then agency remains a key element of SI (and the 2 boxes “agency” and “SI” have to be considered as a unique box). The reconfiguration can occur at any levels along spatial and/or socio-economic scales: it might be well-defined at the local level, but less evident and more distributed at higher levels. During these phases, it is possible to identify what is reconfiguring, who is involved, how the process is carried, where and for how long.

As described in Howaldt *et al.* (2015: 31), social innovation can be “interpreted as a process of collective creation in which the members of a certain collective unit learn, invent and lay out new rules for the social game of collaboration and of conflict or, in a word, a new social practice, and in this process, they acquire the necessary cognitive, rational and organisational skills. Social innovation encompasses new practices (concepts, policy instruments, new forms of cooperation and organisation), methods, processes and regulations that are developed and/or adopted by citizens, customers and politicians, in order to meet social demands and to resolve societal challenges in a better way than existing practices.”

Governance or institutional arrangements refer to ways of implementing and operationalising the ‘rules of the game’ of decision-making process (how decisions are taken and by whom; how they are implemented and by whom) (Ménard, 1995; Polman, 2002), including implementation and empowerment (Kjær, 2004). In the evaluation framework, changes in governance arrangements refer to formal institutions (as policies, laws, regulations, guidelines, codes, standards), as change and adaptation of governance and institutional arrangements in relation to the role of public entities and authorities in facilitating social innovation (both internally and externally).



Networks can include “rules” in terms of forms of interaction amongst actors. These forms of interaction include different forms of relationship (e.g. formal/informal, inclusive/exclusive, economic/ social). Changes in networks can be explored by looking at the: i) composition of the network; ii) structure of the network; iii) relationships; iv) dynamism of boundaries/participation; and v) coordination. The boundaries of networks, rules of (internal) governance arrangements, participation in decision-making, coordination mechanisms and multiple layers of nested enterprises are essential in designing self-organised robust institutions of relevance in marginalised rural areas, such as forest commons (e.g. Kluvánková and Gezik, 2016). In networks, both public and different types of private actors and organisations are involved, thus including both civil society representatives, such as NGOs, and the market, i.e. businesses and entrepreneurs.

Attitudes are “social rules” in the broad meaning of informal institutions, beliefs, values and discourses (North, 1990). They are connected with culture. For ease of analysis, in the evaluation framework formal institutions are included in the “governance arrangements”, and informal institutions “customs, beliefs, (social) norms, values, historical experiences, ...” are included under “attitudes” to highlight their role in social innovation (Sabatier, 1988; Pascual *et al.*, 2017). The three sub-dimensions of social practices (new governance arrangements, new networks and new attitudes) are considered as interactive elements of the same reconfiguring process and mutually influence each other. For example, a new network may imply new attitudes of actors and require new governance arrangements for managing internal and external relations.

5.2.4.2 Reconfiguring and reconfigured social practices: details for SIMRA evaluation

Reconfiguring is “the” key term in the SIMRA definition of SI. Reconfiguring (and the consequent reconfigured) represents the “black box” of the social innovation concept. The term refers to changes in social practices, i.e. ‘new rules of the social game’, which are represented in the evaluation framework by: a) governance arrangements, b) networks, and c) attitudes.

The term ‘social practices’ includes them all as key elements of SI in marginalised rural areas as well as in other contexts. From an evaluative point of view, the issue is one of the relative importance of these three components, i.e. whether one can be considered more important than the others in shaping the process of reconfiguring and, ultimately, in leading to social innovation. A further consideration is whether it was possible to find variables and data that relate to each of the three components, thus whether data can be easily identified, collected and studied to understand the SI process and the complex interactions and changes it implies.

Our initial assumption is that the three components of social practices should have the same importance within the evaluation. This is due to the prospect of finding appropriate variables and data for indicators to be calculated for some of these practices. For example, it is easier to identify variables and indicators on networks than on governance arrangements and/or attitudes^{53,54}. Figure 16 shows the likely imbalance in understanding all three social practices (equally important), and the facility to identify significant variables and data to calculate indicators (possibly higher for networks, medium for governance arrangements and lower for attitudes).

⁵³ Networks can be measured more easily, but this should not impede the capturing and measuring of the other two components. We assume these three social practices are always co-existent and interact reciprocally. A change in networks will probably induce changes in attitudes (e.g. working in a network can increase collaborative attitudes) and, vice versa, acquiring more collaborative attitudes because of increased trust may lead to creating new networks. A change in attitudes can lead to new governance arrangements (e.g. a more open public sector is likely to lead to higher exchange of information). New governance arrangements can encourage network creation, and so on (in a potentially expanding “virtuous cycle”).

⁵⁴ See additional material on existing methods provided online at www.simra-h2020.eu/resources/.

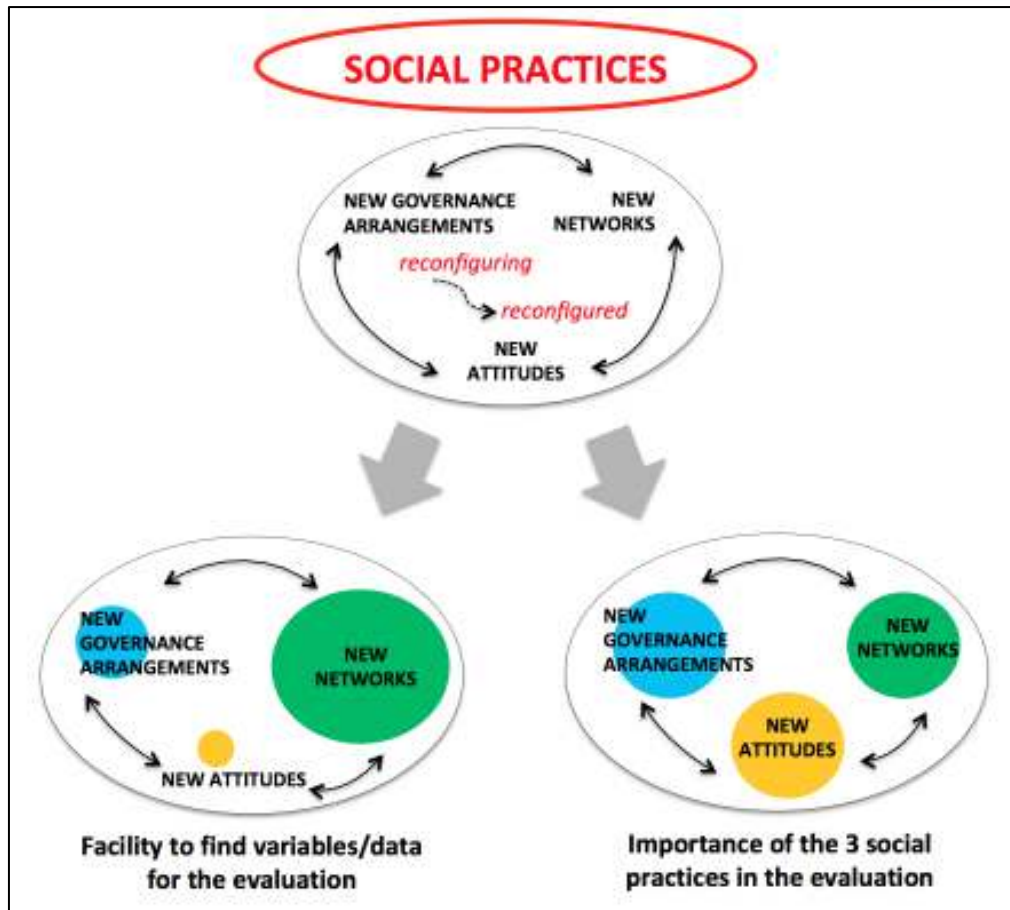


Figure 16. The ‘black box’ of SI in MRAs: reconfiguring and reconfigured social practices with respect to evaluation issues. Source: SIMRA research team.

As the ‘core’ of social innovation, the evaluation of the reconfiguring process of social practices (and of the consequent reconfigured situation) has to be accurate and detailed, even if it refers to several complex aspects. Consideration of ‘who’ is important. This is in terms of: who is involved?, which represents the nodes of the network. nodes can be individuals, groups or organisations. Who is involved determines the quality of relationships, the level of trust, the intensity of the links and exchange flows of information or resources.

The time taken for the reconfiguring process to reach a reconfigured practice/s is another important consideration. This is functional to identifying the variables and mechanisms that determined the length of the process, and whether it was shorter or longer. Faster processes may be connected to types of local links with neighbours, and/or simple and user-friendly governance arrangements that speed up possible bureaucratic processes. Slower processes may be connected to a high number of network participants, unclear and complex interactions with higher jurisdictional or administrative levels, or hidden conflicts.

Where the process happens is another key question. This can help in identifying the variables that determine diverging paths of the development of SI. For example, a specific site or location can be an obstacle or a facilitating factor, due to the biophysical and socio-economic contexts. For reconfigured, the key questions are similar, as the approach is to understand the social practices before (the reconfiguring) and after (the reconfigured) the process is completed. In addition, it is important to explore which instruments are used for establishing the reconfigured social practices (e.g. whether formal types of contracts, and/or informal verbal agreements on how to proceed). The social practices of the reconfiguration process can be compared to the social practices of the reconfigured situation⁵⁵, e.g. whether a network has increased or decreased, or how the

⁵⁵ The need to explore these aspects in detail is connected with the need to understand the key factors in a specific marginalised rural area/case study that support, hinder or interrupt the social innovation. Ideally, successful and



structure has changed in term of composition. How the reconfigured practice is functioning, with respect to the instruments and/or procedures (e.g. which internal rules and mechanisms, what communication tools, what procedures for taking the decisions), and where it is located (e.g. where a new network was established), are all important.

Box 12 – What we evaluate for the dimensions of Reconfiguring and Reconfigured

- The *reconfiguring process* of social practices and the *reconfigured social practices*
- Specifically, for the reconfiguring: *what* social practices?, *who* is in?, *how* it is carried out?, *where* it is carried out?, *how long* was the process?
- Specifically, for the reconfigured: the same as above, and in addition, *which instruments* are used for the formalization?, how it is *functioning*? and *where* it is located?
- *Governance arrangements, networks and attitudes before and after the process*
- Insights on the *process of shifting* from an initial to a new condition

New Governance Arrangements

In the proposed framework, governance⁵⁶ arrangements refer to institutional arrangements, according to the meaning of the term suggested by Polman (2002) and others⁵⁷. New governance arrangements are procedural and/or decisional changes and adaptations, which appear in relation to new roles of public entities/authorities as supporters of SI (e.g. change in an administrative procedure or in a phase of decision making process to support the action of the agency at local level, thus determining a change, i.e. reconfiguring, the governance arrangements). They refer to what public authorities do (change/adapt) when involved in reconfiguring practices, both as external or internal nodes of the network.

“Adequate governance” is reported as one of the main components that contribute to “create the ‘natural environment’ for social innovation to flourish” (BEPA 2013: 42), together with supportive policies, innovative finance, capacity building and recognition tools such as incubators and hubs. Key elements to be explored are the coordination mechanisms used in and by the SI initiative, the length of standard setting processes, the public procurement of innovation, technological and organisational innovations (BEPA, 2013). Coordination is particularly relevant (Klůvanková *et al.*, 2017; D2.2). However, governance arrangements that are identified for evaluation have to be clearly differentiated from: i) trigger (e.g. different from the restructured governance structures or abolishment of laws for environment protection in the USA by President Trump); ii) perceived context (i.e. different from the existing legal framework that may allow or limit SI); iii) institutional/governance outcome/impact (i.e. different from a policy reform approved by means of a new law driven by social movement, e.g. law on social farming approved at national level in Italy); iv) governance elements that belong to networks (i.e. public actors that are inside the network).

interrupted SI cases would be evaluated, the latter not necessarily a SI “failure”. However, with ongoing SI, evaluation might be difficult: actors/agents previously in the SI may be less likely to participate or spend time in long interviews. The implications require consideration with WPs 5 and 3 for the pilot test phase of SIMRA evaluation and CSs final selection.

⁵⁶ The term governance has two main meanings: broader as “every mode of political steering involving public and private actors, including traditional modes of government and different types of steering from hierarchical imposition to sheer information measures”, or narrower as “types of political steering in which non-hierarchical modes of guidance, such as persuasion and negotiation, are employed, and/or public and private actors are engaged in policy formulation” (Héritier 2002 - cit. by Treib *et al.* 2007). The framework does not exclude governance arrangements connected to hierarchical-based models. However, in most SI the narrower meaning of governance is expected to apply. The focus is on public-private interactions, e.g. in relation to special roles of public actors and institutions in defining the ‘rules of the game’.

⁵⁷ Polman (2002) notes discussion by Ménard, (1995: 175) that an institutional arrangement is a way to implement and operationalise ‘rules of the game’. Institutional environments define (or constrain) the environment of institutional arrangements (cf. Williamson 1996: 5). An institutional arrangement is between economic units that govern ways units can co-operate and/or compete. The arrangement may be formal or informal, temporary or long-lasting. Arrangements may involve individuals, groups of individuals co-operating, or government (alone or cooperating with others). Governance arrangements refer to “operational” for setting of rules, implementation of rules and empowerment of rules (Kjær, 2004). i.e. how decisions are taken, by whom, using which procedures and mechanisms, with which instruments decisions are implemented, who is in charge of monitoring, controlling and sanctioning, and how controlling is performed.



Finally, in addition to the description of governance arrangements, “good governance” principles are also important. However, rather than assessing the quality of governance with respect to these good governance principles, which is outside the scope of SIMRA and would imply a common definition of what is ‘good’ in terms of governance in very different contexts (e.g. EU and North Africa), the evaluation questions seek to verify whether SI has positive or negative, intended or unintended impacts on one or more of the most frequently adopted good governance principles (e.g. efficiency, effectiveness, accountability, transparency, capacity, participation, sustainability).

New networks

Over recent decades, agriculture, forestry and rural development programmes and initiatives have led to the active participation of heterogeneous types of stakeholders such as: public institutions (communitarian, national and regional authorities, and local territorial entities), entrepreneurial actors (companies and SMEs working in different economic sectors non exclusively related to agriculture), social and environmental organisations (associations, civil society organisations, and individual citizens). Networks are increasingly forming with policy makers, stakeholders and practitioners. Networks and related public-private partnerships or other types of inter-sectoral forms of aggregation are the basis of several EU programmes and initiatives. In the context of rural development, for example, the Local Action Groups (LAGs) within the EU LEADER programme are typically public-private inter-sectoral networks. Similarly, the Operational Groups of the European Innovation Partnership for Agricultural productivity and Sustainability (EIP-AGRI)⁵⁸ are networks of several partners working in the agricultural sector (e.g. farmers, scientists, agri-business). Networks are also increasingly supported at the national level. In Italy, for example, a new legal instrument to specifically facilitate the creation of networks among enterprises (“network contract”)⁵⁹ was introduced in 2009. Networks increasingly attract the scientific community, and there are consolidated methodologies (e.g. Social Network Analysis) and open-source software for data processing and analysis (e.g. UCINET) for exploring them, both in qualitative and quantitative ways. SNA and related methods are extensively used in the fields of natural resources management, agriculture, forestry and rural development (e.g. Bodin and Crona, 2009; Secco *et al.* 2014; Hauck *et al.* 2016; Pisani *et al.*, in print). In social innovation, networks have a prominent role (see also Kluvánková *et al.*, 2017; D2.2).

Different aspects of networks can be explored: i) composition of the network; ii) structure of the network; iii) relationships. Figure 17 illustrates the specific components of networks used in the SIMRA evaluation framework, considered relevant for SI.

⁵⁸ EIP-AGRI was launched in 2012 to contribute to the EU's strategy ‘Europe2020’ for smart, sustainable and inclusive growth. More information at URL: <https://ec.europa.eu/eip/agriculture/en/about>

⁵⁹ This type of contractual agreement, established by National Law n. 5/2009, can be created amongst enterprises in different economic sectors, is more flexible and dynamic compared to existing formal collaborations (e.g. consortia or cooperatives). The law provides fiscal facilities and procedural simplifications for network contracts where enterprises in agriculture are involved. Business interest is demonstrated by the growth in the number of network contracts from 25 (in 2010) to c.2,700 (2016; Registroimprese, 2017). The instrument is becoming popular in agricultural and forest sectors, and in other rural development-related activities (e.g. rural tourism, such as bike renting in rural areas, social farmings, local agencies that promote eno-gastronomic events) are have one registered contract. (Secco and Pisani, 2016).

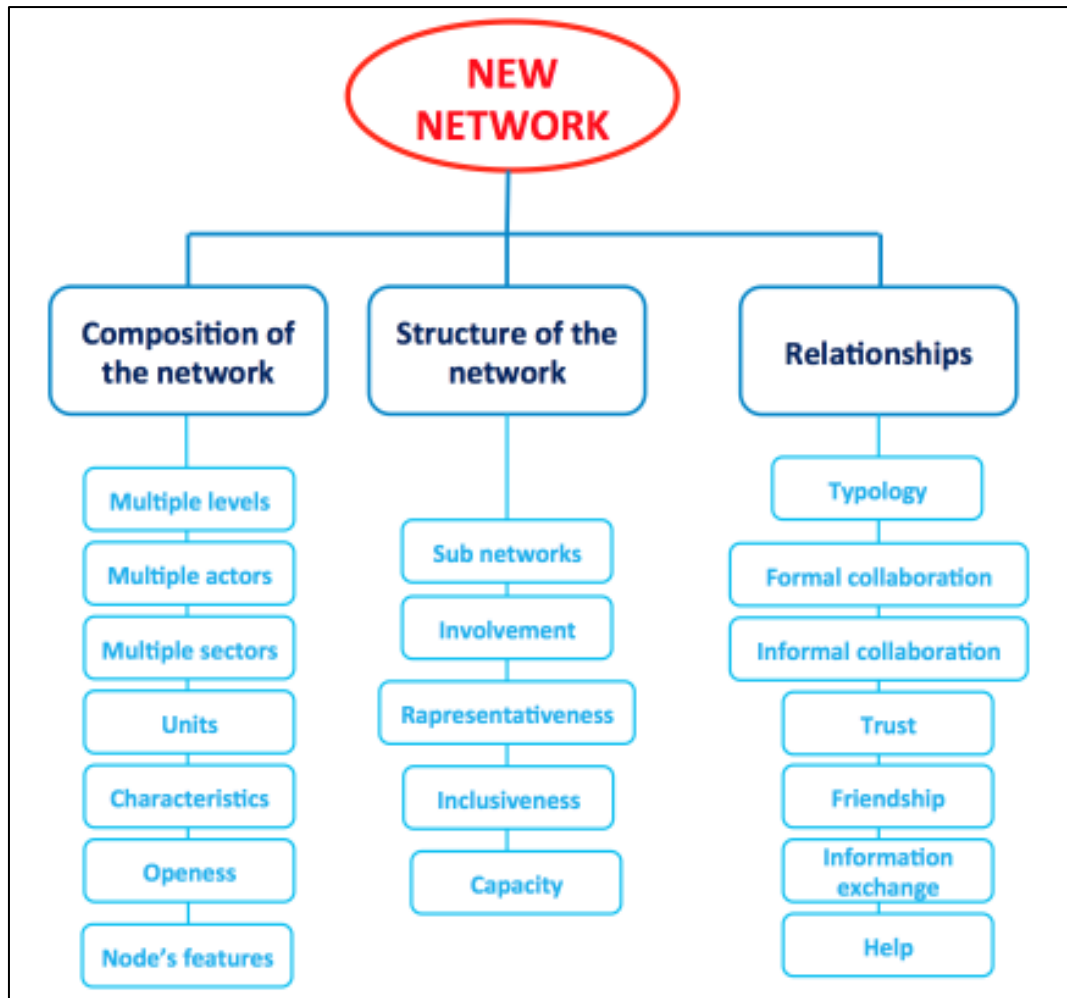


Figure 17. Components and sub-components to be analysed regarding networks in the reconfiguring process.
Source: SIMRA research team.

The basic units of a network are at least two connected individuals. Individuals can be aggregated in groups, sharing the same interests and working for a common objective. Groups that are already networks can be aggregated into larger networks. Smaller and larger networks differ in their nodes: while in the first case nodes are typically individuals, in the second case, they are organisations (in which vision/approach/interests may be “represented”, for example in public meetings, by individuals). For the purposes of evaluation, we can refer to the well-known concept of stakeholder⁶⁰, to include both individuals or those who are invested in the organisation (such as employees and shareholders – internal stakeholders), as well as those who have other relationships to the organisation (such as workers who are not employees, suppliers, vulnerable groups, local communities, and NGOs or other civil society organisations, among others – external stakeholders) (GSSB, 2016: 28). In terms of composition of the network, involved stakeholders can belong to different sectors (e.g. multiple economic sectors, third sector) and/or to different institutional levels (multiple levels) (e.g. a regional public authority, a local farmer).

In terms of openness⁶¹ of the network, various situations are foreseen. For example, a network defined by the clique during the action is open to other new members, who can join it in the process of reconfiguring (thus

⁶⁰ Stakeholders can be defined as an “entity or individual that can reasonably be expected to be significantly affected by the organisation’s activities, products or services [in our case, by the SI initiative], or whose actions can reasonably be expected to affect the ability of the organisation [in our case, of the SI] to successfully implement its strategies and achieve its objectives” (GSSB, 2016: 28).

⁶¹ In rural contexts, networks can be closed and be exclusive for members. e.g. in Italy, the “Regole” are community-based ancient institutions whose members can only be from families which have been local residents for centuries.



influencing it), or a network is completely fluid and fully based on participation of anyone interested in joining; or a network is created but the rules for accessing it (or withdrawing) are strict and thus participation requires a high commitment.

In terms of structure, networks can be analysed as a whole (e.g. in terms of density, centralisation (hierarchical/decentralised), isolated nodes, connectivity, legal status or organisational structure of the network), in relation to the role of nodes (e.g. centrality, brokerage; reputational power of the single nodes; legal status of the single nodes of the network) and/or in relation to the sub-groups that co-exist in the network (e.g. clique is already a network, core/periphery, ego-network) (Borgatti *et al.*, 2013).

Finally, networks can be explored in terms of relationships, both informal and formal. Formal relationships include institutional/institutionalised agreements with public actors involved in the social practice “network. The first includes options such as oral agreements, participation in the same events (e.g. if we both participate to an event, then we talked, we have the same interests and motivation – objective, participate or not participate), social norms, relational roles (e.g. kinship, friendship, professional between colleagues), and relational cognition (affective, perceptual).

New attitudes

A useful definition of attitude is the one provided by Gobottoni *et al.* (2015): “Attitude, as defined by Ajzen (2001) is an evaluative judgement of an object that can be considered as good–bad, harmful–beneficial, pleasant–unpleasant, likeable–dislikeable: this judgement is based on the subjective beliefs we form about that object, but it is also influenced by feeling states and emotions (Agarwal and Malhotra, 2005). Attitude is affected by the socio-economic context in which people live and, at the same time, attitudes are significant for understanding and predicting social behaviour (Ajzen, 2001). To this aim, it becomes really useful to understand the attitude of a community towards traditional activities in order to discern the drivers that guide people’s choices in remaining in the place where they live and in adopting a sustainable life style.” (Gobottoni *et al.*, 2015: 414). Attitudes are somehow connected with beliefs. These concepts are very complex, as they deal with the most profound and personal characteristics of each of us, both individually and as members of collective entities (families, groups, associations, organisations, institutions, parties, etc.). They should be studied and explained in detail by means of philosophical and psychological approaches.

For the sake of simplicity, we selected a few concepts to be explored as proxy for such a complex issue. This simplification is necessary for a specific evaluative need: to identify amenable/measurable variables that can describe attitudes and beliefs of individuals and groups involved in the SI initiative. In the framework, we adopt the definition of beliefs taken from the Stanford Encyclopaedia of Philosophy which defines them as “What one person doubts or hopes, another might fear, or believe, or desire, or intend—different attitudes, all toward the same proposition” or more in general belief are whenever we take something to be the case or regard it as true. Most contemporary philosophers characterise belief as a “propositional attitude”: “the mental state of having some attitude, stance, take, or opinion about a proposition or about the potential state of affairs in which that proposition is true—a mental state of the sort canonically expressible in the form “*S A that P*”, where *S* picks out the individual possessing the mental state, *A* picks out the attitude, and *P* is a sentence expressing a proposition⁶². This corresponds to a representational structure of beliefs that we have used in order to assess information institutions. The belief can be on any kind of proposition or content (e.g. how our vision has changed compared to five years ago or in the case of SIMRA “Do you believe that “you live in a marginalised rural area”?). Its strength can be assessed through different verbs or sentences (as: I believe, I hope, I fear, I doubt). Our interpretation of belief, for evaluation, is therefore a sum of expectations on the project, individual attitude, collective attitude and objective obstacles. To better explain the approach used in evaluating this specific sub-dimension, such components are described in Table 9.

⁶² For example: Ahmed [the subject] hopes [the attitude] that Alpha Centauri hosts intelligent life [the proposition], or Yifeng [the subject] doubts [the attitude] that New York City will exist in four hundred years” (Schwitzgebel, 2015).



Table 9. Beliefs, features and questions as a basis of the evaluation.

Beliefs	Features	Possible questions at the basis of evaluation
Expectations of the project	Not alterable over a short term	Which are your expectations of the project? Do you hope that ... ?
Individual attitudes	Not alterable over the medium term	Do you think you are a positive person?
Collective attitudes	Alterable over a short term	Do you believe that the common project will deliver as expected? (sum of individual answers)
Objective obstacles	-	Are things going well, as expected and planned?

Source: SIMRA research team.

Other concepts are connected to attitudes. Shared or individual ethical/moral values influence attitudes. Depending on the socio-economic and cultural contexts, on the historical development trajectories and also on contingent conditions, personal and collective ethical/moral values are different. Therefore, they are necessarily case-specific and *momentum*-specific, and are also critical from the point of view of evaluation. For example, these values can (or not) include the idea that e.g. social inclusion is important, climate change is a priority in the political agenda, sustainability is a must, governments should address social justice and equity, human rights have to be respected, relations are key to happiness, migrants are welcome, women are resources for the society and economy of a country ("meaningfulness of relationships", as suggested by Pascual *et al.* 2017: 15). These values are different from person to person, from place to place, from country to country and from historical period to historical period, and are typically confidential⁶³.

Attitudes can be personal or collective, in relation to one's networks and/or the whole society. New attitudes can also be influenced by dominant or emerging discourses⁶⁴, both through public opinion or that of leaders or innovators. Individual attitudes can be influenced by dominant institutions, including informal ones, e.g. social norms that guide the relationships and behaviours within a certain community (North, 1990)⁶⁵. The level of commitment by individuals or groups towards new attitudes can fluctuate: the higher the level of commitment, the higher the possibility that "deep normative core" beliefs⁶⁶ change; in certain cases, the shift towards new attitudes is due to monitoring systems and sanctions that may also be social-based, as in the case of robust forest commons regime, e.g. Kluvánková and Gezik, 2016).

Figure 18 illustrates the complexity of attitude with respect to SI, and the challenge of evaluating the different components.

⁶³ A challenge to questions on ethical/moral values in interviews for evaluation is that people may not disclose personal values (e.g. political party), and/or they respond differently to what they believe, with potential risks of bias.

⁶⁴ Discourses can be seen as "an ensemble of ideas, concepts, and categorisations that are produced, reproduced, and transformed in a particular set of practices and through which meaning is given to physical and social realities" (Hajer, 1993: 8-9). Discourses relate to more than language and communication, contributing to societal constructions of reality (Keller, 2006).

⁶⁵ In rural contexts, see for example Kluvánková and Gezik (2016) in relation to robust forest commons regimes, and Górriz-Mifsud *et al.* (2016) in relation to forest governance and social capital.

⁶⁶ "Deep normative core beliefs" are difficult to change even over the long term, while "secondary agents" can be easily changed due to contingent interests in creating a coalition to pursue common objectives, according to the Beliefs Systems model of Sabatier (1988). "Near policy core" are in an intermediate position.

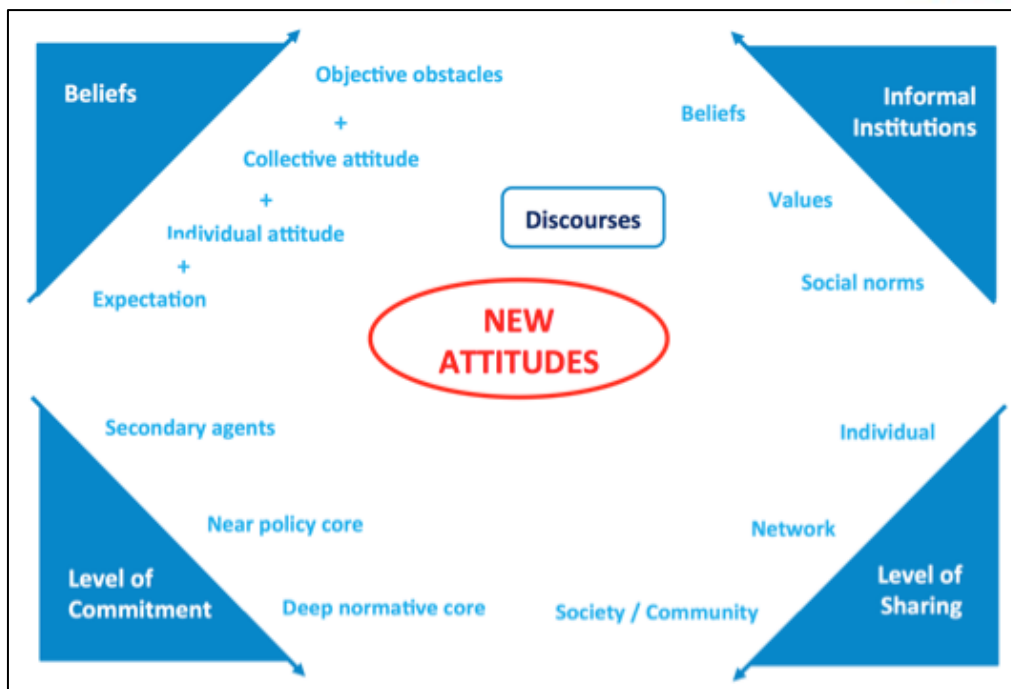


Figure 18. Components of the SI sub-dimension of reconfiguring social practices "New attitudes". Source: SIMRA research team.

Box 13 Main methods that inspired the development of the SIMRA method for addressing the dimension of Reconfiguring and Reconfigured social practices

In the survey of methods to assess reconfiguring and reconfigured social practices, we referred to a number of sources: Sabatier (1988), Knack (2002), Polman (2002), McIntyre (2008), Sørensen and Torfing (2009), Soma (2010), Seraj (2012), BEPA (2013), Soma and Vant (2014), Gobattoni *et al.* (2015), Malek and Costa (2015), McLachlan *et al.* (2015), Pradel-Miquel (2015), Dhondt *et al.* (2016), Soma (2010), Merad *et al.* (2013), Neumeier (2017), Kluvánková and Gezik (2016), Pascual *et al.* (2017), Schwitzgebel (2015). EU projects of relevance were SIMPACT, while for the Social Network Analysis, a recent example is provided in Pisani *et al.* (in print). More information is provided in the SIMRA Resources Web Site (see www.simra-h2020.eu/resources/).

5.2.5. Project activities

5.2.5.1. Project activities: an overview

The process of reconfiguring leads to the reconfiguration of new activities, procedures and practices that are needed to implement and realise in practice the SI project/s deriving from the SI idea. *Project activities* describes the actions that characterise the new reconfigured phase (e.g. communication of SI), *procedures* detail how the activities should be carried out (e.g. who should communicate what to whom), while *practices* refer to how procedures are implemented in practice (e.g. when the news about the main outputs of the SI project should be circulated and by means of which communication channels). In short, project activities and related procedures and practices refer to what is done in the reconfigured social practices⁶⁷ once the SI initiative has become operative through SI projects, to act regularly and have outputs, outcomes and impacts.

⁶⁷ As detailed in Polman *et al.* (2017; D2.1), reconfigured practices and activities can include new investment activities (McGinnis and Ostrom, 2014); monitoring activities (Olsson *et al.*, 2006); resource dependency in organisations and networks (Bekkers *et al.*, 2013; Krlev *et al.*, 2014); allocation of resources (Bekkers *et al.*, 2013); incubation period (Biggs *et al.*, 2010); networking and lobbying activities (McGinnis and Ostrom, 2014; Biggs *et al.*, 2010); and novel property rights and regimes (Ostrom, 2009; Vatn, 2005). For evaluation, activities likely to be in initial, preparatory steps of a SI initiative (SI dimension "Preparatory action" in the proposed evaluation framework) are kept separate from those likely to occur in a more mature phase of the SI initiative, when SI projects are implemented (SI dimension "Project activities"). However, many such activities are carried out throughout the SI process and its implementation phases.



Project activities are located in a different temporal phase with respect to the preparatory actions described in Section 5.2.3.2, and are somewhat different in essence and quality. These activities implement the SI in a reconfigured situation of social practices, and not for preparing SI before the reconfiguring takes place. For example, lobbying can play a relevant role in the preparatory action phase and a secondary role in the project activities phase⁶⁸.

5.2.5.2. Project activities: details for SIMRA evaluation

The term “Project activities”, used in the evaluation framework, encompasses not only activities *per se* but procedures and practices too. The term refers to all those daily working tasks, procedures and practical solutions that are implemented for managing the SI initiative in its implementation phases (i.e. the reconfigured social practices), when SI projects are put in place⁶⁹. Project activities focus on SI project management and planning issues, i.e. what is done on the SI project, by whom, how and by means of which instruments, in general terms. Project activities can become recurrent, when the SI project is consolidated. Both the flows of activities and the tools used are important elements to understand in the analysis, as they can directly or indirectly affect the performance and capacity of the SI initiative in implementing its SI project/s and getting expected outcomes/impacts.

Types of project activities include: organising ad hoc training sessions for SI partners on new communication tools, periodically arranging meetings for sharing information about advancements and future projects, managing the internal decision making process, paying salaries, selecting suppliers and managing procurements, keeping in contact with local authorities not directly involved in the SI, fundraising (e.g. to design and implement a crowdfunding), managing human resources, planning future investments, searching for educational and training needs with respect to the SI objectives and projects, managing, updating and archiving documents, replying to requests of clients or inhabitants interested in the SI project, monitoring the SI project advancement and changing plans if necessary, evaluating projects' effectiveness and other relevant aspects. Project activities include all the aspects needed to manage the SI projects as defined by the reconfigured social practices.

Procedures specify how activities should be carried out, within or in relation to the external contexts by the SI initiative, in the ordinary working and/or relational activities. Procedures can exist in written form, or be simply agreed orally and adopted by everyone in their work. They also imply that different persons, with different roles and responsibilities, perform different types of tasks and are engaged in different ways in the SI management (in business, this would be managed by means, for example, of organisational flow charts).

Practices refer to the practical implementation of procedures (informally or formally). Practices may differ from procedures, since what is done in practice may be different from what should be done according to the procedures.

Box 14 – What we evaluate when analysing the dimension Activities, procedures and practices

- How the initiative planned for its development
- How human resources are managed (e.g. law compliance, training, equity on merits)
- How financial resources are identified, collected and managed (e.g. crowd-funding, fundraising, budget allocation, etc.)
- How infrastructural resources are managed (e.g. work places, facilities, transports)
- How external interactions are managed (e.g. communication, marketing)
- How administration is managed (e.g. administration, cloud services, accounting)

⁶⁸ The literature on social enterprises and entrepreneurship explores one means by which the third sector fosters social innovation through engagement in socially-oriented business practices (Bund *et al.*, 2015; Krlev *et al.*, 2014). Social entrepreneurship is a key factor for SI in marginalised rural areas (see Kluvánková *et al.*, 2017; D2.2).

⁶⁹ For more details on the evaluation approach in relation to SI process and SI project see Part III.



5.2.6. Outputs

5.2.6.1. Outputs: an overview

Outputs are often considered together with outcomes and impacts. We consider SI to include: i) agency; ii) action; iii) a process of reconfiguring; iv) reconfigured social practices; and (v) consequent project activities, these are not the end of the model but focus on SI as a process. This is in line with Cajaiba-Santana's affirmation that, "what underlies the path of social innovation is not a social problem to be solved, but the social change it brings about" (2014: 44). Reconfigured social practices, activities and procedures lead to outputs, which eventually lead to outcomes and impacts. Outputs are the first, immediate results⁷⁰ in terms of products, services, capacities, that are delivered by and derive from SI, and in particular from SI projects that are implemented as a consequence of the SI process. They are identifiable and quantifiable, often tangible, and refer to the creation of opportunities for changes in interactions and behaviour. They are results of the SI initiative and within the control of the SI implementation agency.

5.2.6.2. Outputs: details for the purposes of SIMRA evaluation

Outputs are immediate⁷¹ identifiable results. They can be tangible or intangible, but have to be quantifiable and measurable. Products and services are typically included in the first category, and information, collaboration, ideas for new projects, and the creation of new relationships in the second category. Key questions on outputs are about the types of products and services provided (what is provided by SI projects?), e.g. inclusion of disabled people in a farm's activity, educational sessions on transition to low carbon energy systems or organic farming, e-marketing tools, communication services.

Another point to be explored is who are the direct beneficiaries of the outputs? (e.g. final users such as target vulnerable groups). Outputs should be able to satisfy the initial needs, as these are the reason why agency first started the SI reconfiguring process. These are related to the relevance of SI initiative. The key evaluative question could be: *"Have the SI outputs addressed the initial social needs, societal challenges or governance shifts that characterised the marginalised rural area?"* Here, the initial social needs, societal challenges or governance shifts are those that determined the SI to emerge in the marginalised rural area. This question allows the application of some traditional evaluation criteria, in terms of relevance and effectiveness of the SI initiative.

Box 15 – What we evaluate for the dimension Outputs

- Products and services (identifiable, both tangible and intangible)
- Beneficiaries of the SI outputs
- Satisfaction with respect to the individual, clique and community needs
- Relevance and effectiveness of the SI initiative

5.2.7. Outcomes/impacts

5.2.7.1. Outcomes/impacts: an overview

Outputs of the reconfigured practices, activities and procedures of the social innovation initiative eventually lead to outcomes and impacts. Outcomes are effects of SI at the level of beneficiaries that often emerge over the mid-term, and become visible (i.e. measureable) between 18 and 36 months or 18 to 60 months. However, this is not only a matter of temporal scale. Rather, is a matter of affected population: outcomes are the effects that affect 'direct beneficiaries' of the SI initiative. Direct beneficiaries are those on whom the effects of SI project(s) are targeted; they are primarily affected by the social needs, societal challenges and/or governance shifts that were at the basis of the SI, and the reasons for the SI to emerge.

⁷⁰ In business sciences, it refers to products or services that are delivered in the short-term (1 to 18 months).

⁷¹ In business economics, outputs are often considered immediate tangible results that become visible in the short-term (e.g. 18 months) (Rane and Deorukhkar, 2007). Another option is to refer to outputs that derive from the "first season" of activity (thus the length varies depending on the type of activity: farming, nursery, livestock, ...).



Outcomes are behavioural changes, both intended and unintended, positive and negative (Binnendijk, 2000), that produce new routines, decisions, rules and institutions. The outcomes of SI can have a broader effect than in the original rural site of emergence, shifting social arrangements and institutional relations and values at higher levels as well (e.g. national policy reform, regional or national reconfiguration of social services). In this case, when they affect 'indirect beneficiaries' of the SI initiative, they shift into the category of impacts.

Impacts are typically long-term and widespread effects of SI at the rural territory level. They should be positive, but there can be negative impacts. These are considered to be long-term changes that result from an accumulation of outcomes, leading to concrete benefits for the communities in which SI has took place (e.g. creation of goods, improved access conditions) and that have multiple drivers. In marginalised rural areas, they can be related to the enhancement of social cohesion and human well-being, competitiveness, self-organisation and resilience, higher education and skills (see Polman *et al.*, 2017; D2.1). Outcomes and impacts of SI can be on four main domains: economy, society, environment and/or governance/institutions.

5.2.7.2. Outcomes/impacts: details for SIMRA evaluation

Outcomes/impacts belong to the same category of effects of the SI, but for different groups: while outcomes affect direct beneficiaries, impacts have effects on both direct and indirect beneficiaries. They may be associated with a different length of time, with outcomes in the mid-term and impacts in the long term. However, length⁷² of time is associated with the direct or indirect connections between the SI initiative and the groups of beneficiaries it affects (the closer the link, the faster the effect becoming visible). Outcomes/impacts may happen immediately after the SI project is active, or become visible months or years later. Impacts are often considered "results on the ground" (Emerson *et al.*, 2011). In impact evaluations (Gertler *et al.*, 2016), they are also called "final outcomes" and are associated with long-term goals. Figure 19 shows where outcomes/impacts are positioned in an example of a result-chain.

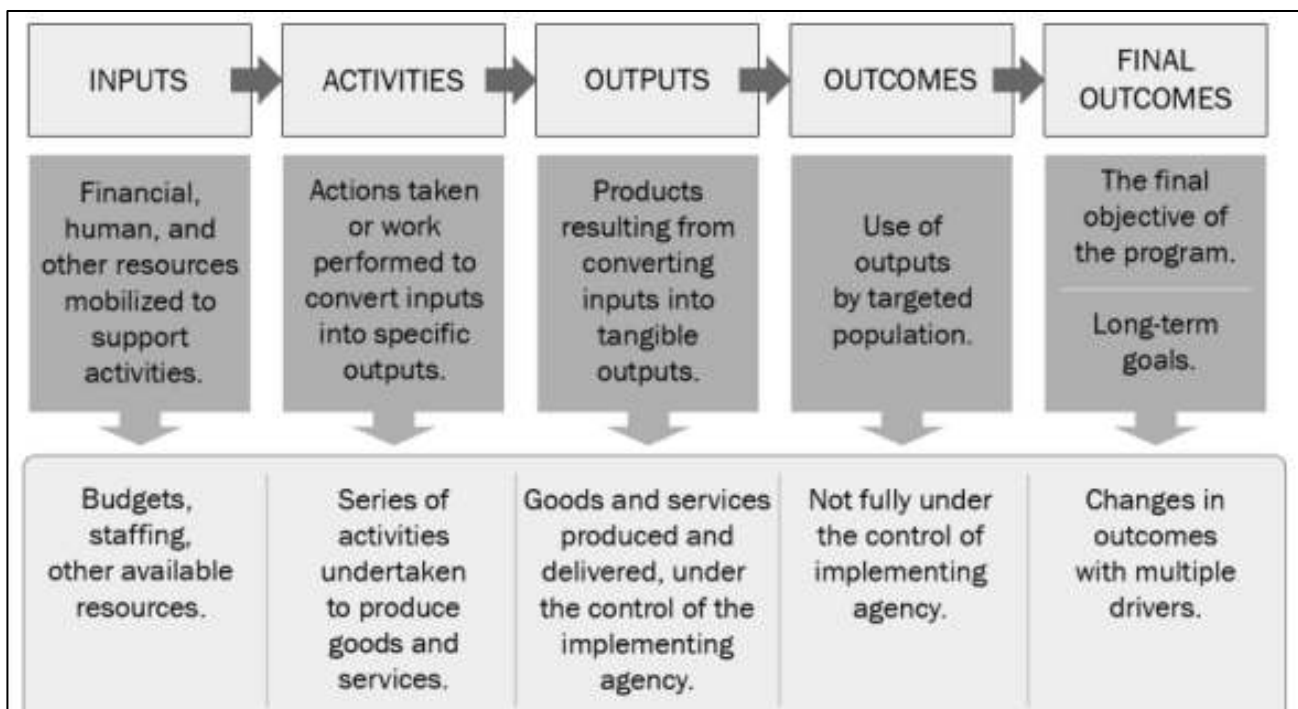


Figure 19. A result-chain used in impact evaluation. Source: Gertler *et al.*, 2016 (Figure 2.1, p. 25, modified).

Impacts can be defined as follows: "Impacts result from the actions spurred by collaborative dynamics. Impacts are intentional (and unintentional) *changes of state within the system context*; they are alterations in

⁷² For SIMRA evaluations, and which can be adopted is used in business economics can be used, where "medium-term" is 18-36 months or 18-60 months, "long-term" is 3-5 years (www.bytestart.co.uk/planning-short-term-long-term.html).



a preexisting or projected condition that has been deemed undesirable or in need of change. Impacts may also include the added value of a new social good or technological innovation developed by collaborative action. Impacts can be physical, environmental, social, economic, and/or political. They can be specific, discrete, and short term or they can be more broadly cast, cumulative in nature, and with longer term impacts. The former is much easier to measure and confirm, the latter more challenging to verify and evaluate. [...] Preferably, the nature and extent of the impacts are consistent with the desired outcomes targeted by the collaborative partners during the iterative principled engagement process. The absence of impacts, as well as unintended impacts (both negative and positive), can occur and should be accounted for" (Emerson *et al.*, 2011: 18).

Box 16 – Main methods that inspired developing the SIMRA method for the dimension Outcomes/impacts

In the survey of existing methods to assess various types of impacts, the Global Reporting Initiative (GRI)⁷³ was identified as a useful model because GRI Standards refer to three different domains that can be affected by the impacts determined by an organisation: environmental impacts, social impacts and economic impacts. According to the GRI Standards, organisations that want to comply with sustainability principles and communicate their performance to an external audience (e.g. clients, public authorities, public opinion, donors) can voluntarily adopt the standards. Even when the standards were initially created for the target of private business-oriented organisations (e.g. transnational corporations protecting their reputation in the face of environmental and social movements and potential boycotting campaigns), *de facto* they can be adopted by any kind of organisation, including public administrations, NGOs, public-private ventures, or network-based initiatives. The GRI model for impact identification, evaluation and reporting can be adapted to the needs in SIMRA. An agency developing a social innovation initiative in a marginalised rural area may be considered similar to an organisation, which carries out activities with different types of effects (impacts) on the environment, society and the economy in its territory. According to the GRI Standards Glossary (GSSB, 2016: 9), impact "refers to the effects an organisation has on the economy, the environment and/or society, which in turn can indicate its contribution (positive or negative) to sustainable development". Further, impacts can be positive, negative, actual, potential, direct, indirect, short-term, long-term, intended, or unintended (GSSB, 2016: 9), and lead to consequences for the organisation's management model, reputation, or ability to achieve its objectives. This confirms the idea that impacts determine changes in the Perceived context where the social innovation is implemented. ToSIA (Tool for Sustainability Impact Assessment of Forest-Wood-Chains) uses a data-oriented approach that is very flexible in the focus of the analysis and the selection of indicators of sustainability (Lindner *et al.*, 2010: 2197). ToSIA calculates sustainability values as products of the relative indicator values (i.e. indicator value expressed per unit of material flow) multiplied with the material flow entering the process. Calculated sustainability values are then aggregated for the segments of the FWC or for the complete chain. The sustainability impact assessment requires carefully specified system boundaries. ToSIA includes both economic, social and environmental indicators. However, the GRI Standards, ToSIA and other inspiring tools do not fully cover all the aspects within the fourth domains of interest for SIMRA evaluation, i.e. including governance and institutional aspects, and require integration with different approaches and methods. We also referred to: TSI, SIMPACT (Dhondt *et al.* 2016), Sefton *et al.* (2002), Hornsby (2012), Clark *et al.* (2004), the Vancity Community Foundation and the BC Association of Farmers Markets (2013), Allee (2008), AngloAmerican (2012), Cajaba-Santana (2014), Dawson and Daniel (2010), McGinnis and Ostrom (2012), Nicholls *et al.* (2012), ISO 14001:2015 standards, Newton *et al.* (2006), Kassa *et al.* (2009), Sandker *et al.* (2010), Millennium Ecosystem Assessment (2005), TEEB (2010) and CICES categorisation of ecosystem services (Haines-Young and Potschin, 2013), OECD Better Life Index, OECD Statistics and European Values Survey (2008), EUROSTAT, Sustainable Development Goals (UN, 2015), Symes and Hoefnagel (2010), Ahmed and Ahmed (2014), Bhatt and Altinay (2013), Temel and Dorjee (2014), GECES (2014), and indicators from the OECD Statistics (2017).

⁷³ Sustainability reporting, common since 1997, is an organisation's practice of reporting publicly on its economic, environmental and/or social impacts. Through this process, an organisation identifies and discloses its significant impacts on economy, environment and society using a globally-accepted standard. Of the world's largest 250 corporations 93% report on their sustainability performance and 82% of these use GRI's Standards. (www.globalreporting.org).



As mentioned above, outcomes and impacts of social innovation in marginalised rural areas can be on different aspects, economic, social, environmental as well as governance/institutional aspects. Depending on the type, dimension and location of the SI initiative, outcomes and impacts can be relevant to environmental aspects (e.g. a SI initiative established in a rural area for a new organic production system, or a rural community transition to low carbon energy systems), social aspects (e.g. a SI initiative established for the inclusion of newcomers or disabled people into farming practices), economic aspects (e.g. a SI initiative established to provide income diversification based on the multi-functionality of forests) or governance/institutional aspects (e.g. a SI initiative for creating new private-public coordination mechanisms and promoting coalitions to support policy reforms). SI initiatives are also expected to have outcomes and impacts on a combination of these aspects. There might be a wide range of aspects connected to each of the four domains. In the evaluation framework, each domain is considered in detail.

Economic aspects

A social innovation initiative can have different effects on the economy and at different levels. For the purposes of SIMRA, we suggest identifying three key types of “economic actors” connected to the social innovation, to determine direct and indirect impacts on the economy. They are: 1) the SI initiative in itself (to be considered as the organisation that provides activities, products and services of social innovation), even if in some cases, during the initial steps, it may not be formally approved as a legal entity and work through an informal aggregation of persons); 2) the network of individuals and organisations directly connected to the SI initiative but not part of the organisation (e.g. satellite activities such as suppliers, direct or indirect buyers/clients); 3) actors working and living in the territory where the SI initiative is established, not directly connected to the SI, but that indirectly benefited (or were negatively affected) for the economic performance by the activities, products and services provided by the SI. The elements to be considered in the evaluation for addressing types of impacts, and the ways to measure them, depend on the type of “economic actors” identified. Whatever the unit of analysis, in SIMRA, economic outcome/impact are defined as “any change in the economy, whether adverse or beneficial, wholly or partially resulting from the activities or products or services delivered by the social innovation in the marginalised rural area” (i.e. by the specific social innovation initiative that is evaluated). Details on the types and variety of possible economic aspects on which SI might have an effect are provided in Part III.

Box 17 – Example of existing methods that have inspired us in developing SIMRA evaluation method on economic aspects

In the case of economic aspects, we drew mainly from the MIAA framework (Methodology for Impact Analysis and Assessment), developed by Hornsby 2012. The framework provides very concrete and detailed explanation of how to be applied; the methodology aims to look at social-purpose organisations throughout the sector, and analysing their impacts in a robust and consistent fashion. To do this, it draws on measurements made at the ground level, and accordingly is accompanied by a set of Guidelines for How to Measure and Report Social Impact. Another key source was the guide to social return on investment (Nicholls *et al.*, 2012). This framework measures and accounts for a much broader concept of value; it seeks to reduce inequality and environmental degradation and improve wellbeing by incorporating social, environmental and economic costs and benefits. Finally, the guide to the use of economic evaluation in social welfare economic evaluation, involving the systematic assessment of costs and outcomes proposed by Sefton *et al.*, 2002 was also very useful, as well as all the OECD Frameworks for measuring well-being and progress.

More information is provided in the SIMRA Resources Web Site (see www.simra-h2020.eu/resources/).

Social aspects

In SIMRA, we define social outcome/impact as “any change in society, whether adverse or beneficial, wholly or partially resulting from the activities or products or services delivered by the social innovation in the marginalised rural area” (i.e. by the specific social innovation initiative evaluated). Details on the types and



variety of social aspects affected by SI are provided in Part III. Box 18 mentions some key methods and sources that supported developing the evaluation framework.

Box 18 – Examples of existing methods that have inspired us in developing SIMRA evaluation method on social aspects

In the case of social aspects, we drew mainly from methods and research work focused on social capital, a relevant factor to support development processes in rural areas. Many recent studies have focused on the ability of social capital to enhance development in areas characterised by socio-economic marginality (e.g., Marquardt *et al.*, 2012). Definitions and measures of social capital often conflate inputs (networks, norms) with outputs (forms of cooperative behaviour like political participation and social organisations). In developing SIMRA evaluation framework, and the overall methodological approach, the work of Pisani *et al.* (in print) on social capital inspired us. By integrating qualitative and quantitative analyses, the identify the specific factors that affect economic and social processes of development, and identify and measure various dimensions of social capital, namely structural, normative-cognitive, bonding, bridging, and linking forms and assess how they combine to determine local development, in the context of EU policy and the LEADER Approach. Also Sabatini (2009) was taken into consideration, with his framework for measurement of social capital based on five different dimensions of the concept: strong family ties (i.e. bonding social capital), weak informal ties (bridging social capital), voluntary organisations (linking social capital), active political participation and civic awareness. Another key method that we decided to adopt in SIMRA is Social Network Analysis (SNA) (Banerjee *et al.*, 2013; Borgatti *et al.*, 2013). SNA is about understanding how the relationships between agents of a system influence or impact specific outcomes of that system. In relation to social innovation, SNA can help understand how the links (what they are and what are their characteristics) between agents (actors or institutions) encourage or hinder SI in its different phases. Other inspiring sources are: Bhatt and Altinay 2013 (how social capital in Indian social entrepreneurial ventures (SEVs) is leveraged in SI under resource constraints); McIntyre 2008 (techniques for engaging with stakeholders and sharing information to encourage social learning and co-construction of knowledge); Ban *et al.*, 2015 (measures to assess the impact on households' economic welfare and social capital); Dax *et al.*, 2016 (quantitative and qualitative analysis of LEADER programme performance in some European countries, with insights on methodological instruments); Knack 2000 (a multivariate analysis to assess the correlation between different social capital index and quality of government based on performance indicators).

More information is provided in the SIMRA Resources Web Site (see www.simra-h2020.eu/resources/).

Environmental aspects

In SIMRA, we define environmental impact as “any change in the environment, whether adverse or beneficial, wholly or partially resulting from the activities or products or services delivered by the social innovation in the marginalised rural area” (i.e. by the specific social innovation initiative that is evaluated). Details on the types and variety of environmental aspects, which SI might have an effect on, are provided in Part III. Box 19 briefly refers to some of the key methods and sources that supported developing the evaluation framework.

Box 19 – Examples of existing methods that have inspired us in developing SIMRA evaluation method on environmental aspects

For addressing environmental aspects, we drew mainly from the international standards ISO 14000 on environmental management systems of organisations (versions 1996, 2001, 2004 and 2015). According to these standards, environmental aspects are “elements of an organisation's activities or products or services that interacts or can interact with the environment” (ISO 14001:2015, term 3.2.2). The environment is defined as “surroundings in which an organisation operates, including air, water, land, natural resources, flora, fauna, humans, and their interrelationships” (ISO 14001:2015, term 3.2.1). Surroundings in this context can extend from within an organisation to the local, regional and global system. Surroundings can be described in terms of biodiversity, ecosystems, climate or other characteristics. Additionally, *environmental impact* is “change to the



environment, whether adverse or beneficial, wholly or partially resulting from an organisation's environmental aspects" (ISO 14001:2015, term 3.2.4). According to the ISO 14001:2004 (p.27), "the relationship between environmental aspects and impacts is one of cause and effect" (see Part III on cases where statistical-based impact evaluation will be applied). Other relevant approaches are two European Directives. The first one is the European Union Directive (85/337/EEC) on Environmental Impact Assessments (known as the EIA Directive), initially introduced in 1985 and later on amended three times (in 1997, 2003 and 2009). The updated version is Directive 2011/92/EU (European Commission, 2011, published on the 13th of December). The second one is the Strategic Environmental Assessment (SEA) Directive 2001/42/EC on the assessment of plans and programmes, i.e. for predicting and evaluating the impact of a strategic action (e.g. a regional planning project) on the environment. Seven key areas are required and the aspects of the environment that may be affected and thus should be taken into consideration are listed, including populations, fauna, flora, air, soil, water, humans, landscape, cultural heritage. Other lists of environmental indicators not specifically connected to data collection or evaluation methods, that were checked are the OECD Key Environmental Indicators (2013), the UN-Habitat Guidelines for Strategic Environmental Assessment (2004), and the Millennium Ecosystem Assessment (2005). We also drew from Newton *et al.* (2006), Lindner *et al.* (2010), TEEB (2010), Papageorgiou and Salmeron (2013), de Vries (2015), Brunner *et al.* (2016) and Verweij *et al.* (2016). More information is provided in the SIMRA Resources Web Site (see www.simra-h2020.eu/resources/).

Governance/institutional aspects

In SIMRA, we define governance/institutional impact as "any change in the governance/institutional environment, whether adverse or beneficial, wholly or partially resulting from the activities or products or services delivered by the social innovation in the marginalised rural area" (i.e. by the specific social innovation initiative that is evaluated). In this domain, there is no single approach for identifying governance/institutional aspects, which depend on the types of activities, products and services provided by the SI and on the context. In addition, the literature on governance is broad, grounded on diverse meanings of the term. Governance is sometimes considered one of the most challenging 'fuzzy' words and concepts: broadly used yet often not clearly explained. These characteristics contribute to making this domain the most problematic from an evaluative point of view.

Only a few methods have been developed and tested/implemented for specifically assessing governance issues at the local level, at least in the field of natural resources management (Secco *et al.* 2014), i.e. the level at which the SIMRA case studies will be assessed. Details on the types and variety of governance/institutional aspects which SI might have an effect on are provided in Part III. Box 20 briefly refers to some of the key methods and sources for developing the evaluation framework.

Box 20 – Examples of existing methods that have inspired us in developing SIMRA evaluation method on governance/institutional aspects

For identifying the main elements for analysing impacts of social innovation in MRAs on governance and institutional aspects, BEPA (2011; 2013) was a key resource. Even if it is not focused on rural areas and rural challenges specifically, they suggest key aspects of governance that are expected to foster social innovation. We can presume that there may be a double-way connection between social innovation and governance: "while the movement and the creative energy in the ecosystem comes from the actors and their connections, the administrative, economic and legal environment has to be enabling" (BEPA 2013: 21). SI actors are affected by current governance and institutional environment but are also able to influence and change it. These aspects may be relevant for fostering social innovation, and when a SI initiative is developed and implemented, related mechanisms and tools can stimulate and/or consolidate more systematic governance reforms, oriented towards the creation of new networks, adoption of new governance procedures, or transparency. For example, while "some of the most resistant barriers to social innovation are rooted in a lack of coordination between the various actors" (BEPA, 2013: 89), we assume that networking-based SI initiatives in a MRA will improve (or at least seek to improve) coordination among actors – including public administrations and policy makers. Similar considerations are valid also for other aspects mentioned by BEPA (2013), including: "collaborative, informal platforms or programmes" (p. 42), "capacity building" (p. 21),



“benchmarking and impact measurement” (p. 21), “good public services” (p. 92), “modernisation of public administrations” (p. 89), “faster standard setting” (p. 92), “new information and communication technologies” (p. 93), “experimentation with new institutional models based on social innovation” (p. 93), accompanying the public sector “towards more effective, efficient and open public administrations” (p. 93), “enduring partnerships” between private and public sector (p. 55), and “making corporate social responsibility a systematic and essential element of analysis and operating mode of all businesses” (p. 55). Emerson *et al.* (2012) proposed the concept of “collaborative governance” as “the processes and structures of public policy decision making and management that engage people constructively across the boundaries of public agencies, levels of government, and/or the public, private and civic spheres in order to carry out a public purpose that could not otherwise be accomplished. This definition allows collaborative governance to be used as a broader analytic construct in public administration and enables distinctions among different applications, classes, and scales” (Emerson *et al.* 2012: 2). This concept is similar to the network governance model, but focuses more distinctly on the institutional arrangements and capacity that public institutions ought to develop and implement to ensure that network governance works in practice. Emerson *et al.* (2012: 10) refer to “a system in which cross-boundary collaboration [among organisations/actors/sectors/levels/scales] represents the predominant mode for conduct decision making and activity”. In their view, collaborative governance includes two components: collaborative dynamics and collaborative actions. The first component consists of “cyclical or iterative interactions” where “principled engagement, shared motivation and capacity for joint action” are the key elements (*ibidem*). Each of them is expanded into several sub-key-elements that allow to understand the procedural arrangements for collaboration. The second one is less well developed and specified. The authors initially argue that it is “usually seen as the major outcome of a linear process and is sometimes conflated with impacts” (*ibidem*: 17), but later propose a list of possible new mechanisms for collective actions and mention “leadership, diverse representation and power” as key elements (*ibidem*: 18).. In the SIMRA framework, these mechanisms can be considered equivalent to the dimension ‘Activities, procedures and practices’ of the SI. Arts and Goverde (2006) adopt an institutional perspective within a Governance Capacity Approach (GCA), to refer to both “indicative governance capacity” and “performative governance capacity”. In the first type of governance capacity, “the key question is whether a certain policy arrangement is such that we can expect a ‘capacity to govern’. This means that there are enough resources available, that the key policy actors are involved, that the rules of the game do not prohibit appropriate (change) behavior, etc.” (Arts and Goverde, 2006: 80). Such governance capacity can be assessed on the basis of the notion of “congruence” assuming that “a certain level of congruence – respectively among the policy views of different actors, among the dimensions of policy arrangements and available resources and rules, and among a policy arrangement and its wider institutional context – is needed for any policy arrangement to perform (and, in contrast, a lack of congruence implies governance failure): [...] the more congruence, the more (potential) governance capacity” (Arts and Goverde, 2006: 80-81). While the institutional capacity can be assessed on the basis of congruence of a policy arrangement, the “performative governance capacity” can be assessed on the basis of the capacity of policy arrangements to balance among jurisdictional, economic-managerial and political-civic principles of good governance that reflect perceptions, needs and strategies of policy actors (Nelissen, 2002). The two types (indicative and performative) of governance capacities are clearly interlinked. Finally, for aspects related to the normative approach to governance assessment, i.e. based on the so-called principles of good governance, we drew from the method and indicators developed by Secco *et al.* (2014) for assessing governance at local level. These indicators focused on forest governance, but can be adapted to the context of agriculture and rural development as well as to cases of social innovation. References adopted for developing the SIMRA preliminary set of methods include: BEPA (2011), Kjær (2004), UNDP (2009), Masten and Saussier (2000), Stirling and Mayer, (2001), Jongeneel *et al.* (2012), Soma and Vatn (2014), Citroni *et al.* (2015), Duberry (2015), Gobattoni *et al.* (2015), Pradel-Miquel (2015), Bosworth *et al.* (2016b), Džinić *et al.* (2016), Scott and Boyd (2016), Ibrahim (2017), Van der Schoor *et al.* (2016), and Górriz-Mifsud *et al.* (2016). More information is provided in the SIMRA Resources Web Site (see www.simra-h2020.eu/resources/).



5.2.8. Innovation and learning processes

5.2.8.1. Innovation and learning processes: an overview

In Figure 8, the four types of arrows connecting social outcomes at each of the four levels show the non-linear processes that characterise policy and institutional responses and changes to social innovation, as well as interactions among actors over time. However, it should be noted that feedback might be relevant in several stages of the social innovation and not only at the end of the process⁷⁴. The four types of arrows show *responsiveness* and the level of expected influence: the continuous black arrow refers to social outcomes at the local level, where the reaction of the local context may be faster. The grey discontinuous arrow refers to social outcomes with less directly relevant effects at the regional level, unclearer and occurring over a longer period of time. The light grey discontinuous arrow refers to less direct and evident social outcome effects on the national context, with slow responsiveness and longer-term processes. Finally, the dark grey discontinuous arrow refers to even less evident social outcome effects at the international/global level. The arrow from activities via outputs to outcomes/impacts suggests also that the social innovation that occurs at the local level in a MRA could be scaled up or have effects at larger spatial scales. This feedback loop is consistent with Holling and Gunderson's (2002) examination of adaptation within nested systems.

An important aspect of social innovation is the learning process, which can occur through participatory or deliberation processes (Dryzek and Pickering, 2017); self-organising activities (McGinnis and Ostrom, 2014) and social learning (by failures) (Garmendia and Stagl, 2010; Biggs *et al.*, 2010). These processes can support processes of scaling up or out of the social innovation. Following Moore and Westley (2011), "we use the term "scaling out" to refer to the replication of the same innovation in several different locations. In a different vein, we use "scaling up" to refer to moving an innovation into a broader system. While SI cases may not be initially supported by any policy (endogenous process), their success may lead to their replication (scaling out) or to the implementation of neo-endogenous approaches such as focused funding, policies or legislation, to scale up the initiative. Scaling up is not always possible, as SI may depend on locally specific social relationships and contexts which are not present in different spatial and socio-economic levels.

Outcomes may have multiplier effects which feed back to the reduction of needs at all three levels: local, territorial and macro, albeit with different expected levels of responsiveness (See also McAdam, 2003 on 'scale shifts'). Multiplier effects are often difficult to be quantified. In addition, SI may take different pathways, and impacts on the alleviation of 'need' may not be directly traceable in an evaluation process to the SI – due to the complexity of the social system. Evaluative challenges include confounding effects, path dependency processes and unpredictability, non intended effects. These processes are best represented heuristically by the three non-linear arrows. Despite this complexity, efforts should be carried out to reflectively assess effects of outcomes at different spatial and temporal scales, in terms of distribution of benefits and trade-offs, responding to questions such as, for whom and for what are actions geared? Whose framing (of problem and response) is privileged and whose becomes marginalised? These questions seek to highlight the risk of justifying the hollowing out (or the restructuring) of the state in relation to welfare interventions (Swyngedouw, 2005), and to maintain instead a clear focus on a normative stance towards social innovation.

5.2.8.2. Learning processes: details for SIMRA evaluation

In the evaluation framework, the dimension *Innovation and learning processes* is identified through the sub-dimensions of feedback loops and multiplier and critical effects. Feedback loops occur both within the local level, and in bridging to higher levels. In the first case, sharing results within the local community through presentations or specific events can lead to raising interest, debating issues and identifying trade-offs, as well as seeking opportunities and implementation beyond the sector or the beneficiaries already reached.

Feedback on the SI project can also derive from partners, external donors or local politicians. Reflection on the results of the SI project can refer to whether the social innovation initiative has reduced the level of

⁷⁴ We represent learning processes in the framework in Figure 10 only in connection to final phases of social innovation.



marginality of the territory, and identified the elements that point to this reduction. Positive and negative feedback loops can also be received by participating in events outside of the territory of the case study, or by presenting the initiative to regional and national politicians.

The sub-dimension multiplier and critical innovation effects refers to the assessment of the mainstreaming, upscaling and outscaling processes, as well as of critical effects. Mainstreaming refers to the consideration of whether the SI initiative remains innovative, and whether it is in the process of becoming a 'normality'. Upscaling considers whether the SI initiative has had an impact at higher scales, including in national policy or laws. Outscaling, the evaluation identifies whether the SI initiative has been replicated, adapted or aggregated into a body of similar initiatives at the national level.

Finally, critical effects can be a component of any SI initiative. Adopting specific evaluation terminology, the evaluation seeks to identify deadweight, displacement and substitution. It does this by asking whether the effects of the SI would have arisen regardless (deadweight), and whether the effects were at the expense of another area (displacement) or another person, organisation or enterprise (substitution).

5.3. Final Remarks on the Evaluation Framework

The framework offers significant opportunities to address the challenges of evaluation of SI:

- It responds to the requirement of identifying the elements for analysing and assessing social innovation in practice, from its causes (e.g. trigger), its core dimensions (e.g. agency, their networks, activities, etc.) and its effects (e.g. outputs, outcomes or impacts).
- The framework was developed for "setting the scene" of the development of methods and tools, enabling reflection on the steps taken, and understanding the flows of SI initiatives. It will be valuable for use with current and completed SIs. It can inform action based research.
- It places attention on *the process of reconfiguration* (in governance arrangements, networks and attitudes) and on the broader social, political-economic, environmental and cultural contexts which provide a *perceived context* (as framed by enabling and constraining conditions) for the *action of agency*.
- It provides a comprehensive framework, which is theoretically grounded in social theory on the relationships between structure and agency in shifting practices and values, and in theory of change.
- It includes *attitudes/beliefs* as part of reconfiguring.
- It enables inclusion of *reflexivity* on what the outcomes are, for whom, and how they can be used in *learning processes* at various levels, thus leading to innovation occurring elsewhere.
- It considers the *role of the public sector/state* in enabling social innovation (potential).
- The draws on the model of Cajaiba-Santana's due to its emphasis on situating processes of social innovation within a structure-agency framework, but deepens the understanding of: i) the organisation (or self-organisation) at the level of agency (where collective action is identified as the result of different combinations of individual/public-private collective action for individual/collective benefit); ii) the process of reconfiguration (which includes both a reconfiguring and a reconfigured phase); iii) the impact of reconfiguration on attitudes/beliefs.

The framework also faces some challenges which will be a focus of improvement:

- It does not enable the representation of all aspects of real situations of social innovation, where several "reverse loops" might occur. i.e. it is linear and deterministic.
- It is not specific to social innovation in marginalised rural areas. It is more general and generalizable to SI in various contexts, which may be a positive characteristic. For the purpose of D4.2, and a specification in terms of our target (i.e. MRAs), it will be developed with the identification of the parameters that characterise what a MRA at local level (see Price et al., 2017; D3.1), where there may be significant societal and biophysical challenges to be tackled, and fewer resources and opportunities compared to urban areas).



PART III – SETTING THE METHODS: HOW TO ASSESS AND EVALUATE SI IN MRAs



6. The Fundamentals of SIMRA Methods to Assess and Evaluate SI in MRAs

6.1. Evaluation: A Brief Introduction

An evaluation is “a systematic and objective assessment of an ongoing or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, efficiency, effectiveness, impact and sustainability” of the implemented actions (OECD, 2000⁷⁵; Morra-Imas and Rist, 2009; Kandkher *et al.*, 2010; Gertler *et al.*, 2016). In short, evaluation is a periodic analytical assessment⁷⁶, which seeks to answer ‘why’ and ‘how’ questions about specific performance and outcomes. Typically, “[impact] 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).

Typically, the evaluation of any policy, programme and project is based upon principles, standards, types of evaluation, criteria, evaluation questions and indicators. These concepts, already introduced in Secco *et al.*, (2016; D4.1), are briefly recalled hereafter.

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 and cooperation (OECD, 1991; 2011; 2013a; 2013b).

Evaluation quality standards – proposed by the OECD in 2006 – are the key pillars needed for a quality evaluation and refer to rationale, purpose, and objectives of an evaluation, evaluation scope, context, evaluation methodology, information sources, independence, evaluation ethics, quality assurance, relevance of the evaluation results and completeness (OECD, 2006)⁷⁷. 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 SIMRA SITT.

Types of evaluation refer to the methods used (qualitative, quantitative and mixed), the manager of the evaluation (internal, external), the final use (formative or summative), the use of participatory techniques (participatory, not participatory) in relation to the project, and the programme or policy cycle if the evaluation is ex-ante, ongoing or interim, final, ex-post (European Commission, 2004).

Evaluation criteria need to be established to evaluate whether an intervention achieved what was needed and led to the intended results, impacts. For the purposes of the definitions, the criteria are those 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)⁷⁸.

⁷⁵ The DAC Principles for the Evaluation of Development Assistance (OECD, 1991) and Glossary of Key Terms in Evaluation and Results Based Management (RBM) (OECD, 2000; 2010).

⁷⁶ In contrast to continuous monitoring, evaluations are carried out at discrete points in time and often seek an outside perspective from technical experts. In many cases evaluation draws on monitoring activities, although the reverse does not happen, i.e. monitoring does not draw on evaluation. “Monitoring is a continuous process that tracks what is happening within a program and uses the data collected to inform program implementation and day-to-day management and decisions. Using mostly administrative data, monitoring tracks program performance against expected results, makes comparisons across programs, and analyzes trends over time. Usually, monitoring tracks inputs, activities, and outputs, though occasionally it can include outcomes, such as progress toward national development goals.” (Gertler *et al.* 2016: 7).

⁷⁷ OECD (2006) *Evaluation Quality Standards for Test Phase Application*. Development Assistance Committee. <http://www.oecd.org/dataoecd/30/62/36596604.pdf>.

⁷⁸ See the OECD DAC Criteria for Evaluating Development Assistance website: www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm



1. *Relevance* refers to the extent to which the objectives of an intervention are consistent with beneficiaries' requirements, country needs and policies and global priorities.
2. *Effectiveness* is a measure of the extent to which a project reaches its objectives.
3. *Efficiency* is a measure of outputs – qualitative and quantitative – in relation to inputs, meaning that the project uses the less costly resources in order to achieve the outputs. This requires a comparison with alternatives to determine whether the most efficient process has been adopted.
4. *Impacts* are the positive and negative changes produced by a project, directly or indirectly, intended or unintended.
5. *Sustainability* refers to the probability of a continuation in the stream of benefits produced by the project after the period of external support has ended⁷⁹.

From a practical perspective, to address the above mentioned criteria, the evaluation of an intervention (e.g. a SI initiative and its effects) has to start from the identification of the so-called intervention logic. This is defined as “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 [...] available to address the problem or achieve the objective” (European Commission 2015: 10). Linking problems with possible solutions is the main feature of the theory of change (see Section 4). The theory of change is typically based on the analysis of a results chain detailing the causal sequence beginning with inputs, moving through activities and outputs, and culminating in outcomes, impacts and feedback (Morra-Imas and Rist, 2009: 167). While this chain implies linear relations which are quite simplistic, multi-causation or results model can draw greater attention to the non-linearity of cause and effect (GIZ, 2013)⁸⁰.

Adopting this approach, the intervention logic (which can also be represented by means of the theory of change) is analysed by means of **evaluation questions** relating to the design, implementation and results of a SI initiative. In general, evaluations can address three types of questions:

- *Descriptive questions.* The evaluation seeks to determine what is taking place and describes processes, conditions, organisational relationships, and stakeholder views. Examples of descriptive questions for the evaluation of an SI initiative in MRAs are: (i) What are the goals of the SI initiative from the perspective of the different stakeholders of the rural context?; (ii) Where the SI initiative has been implemented?; (iii) How many marginalised people of the target area participated to the initiative?
- *Normative questions.* The evaluation compares what is taking place to what should be taking place; these questions compare the current situation with a specified target, goal or benchmark. It assesses activities and whether or not targets are accomplished. Normative questions can apply to inputs, activities, and outputs. Examples of normative questions for the evaluation of a SI initiative in MRAs are: (i) Did we meet the objective of including marginalised people in the decision-making process?; (ii) Did we reach the goal of including new farmers in social farming initiatives?; (iii) Was the process for including new beneficiaries fair and equitable?
- *Cause-and-effect questions.* They allow the determination of what difference the intervention makes. Often referred to as outcome, impact, or attributional questions, they attempt to measure what has changed because of the intervention. Cause-and-effect questions seek to determine the effects of a project, programme, or policy. They are the “so what” questions. Cause-and-effect questions ask whether the desired results have been achieved as a result of the programme (Morra Imas and Rist, 2009: 227). The evaluation examines outcomes and tries to assess what difference the intervention

⁷⁹ Sustainability refers in this context to the classical meaning adopted in project evaluation. However, in SI initiatives in marginalised rural areas, “external support” in terms of funds provided by external donors or investors is not an obvious component of the initiative. In some cases, the SI initiative can be initially based on voluntary and free engagement of local actors and later be self-funded, or able to generate revenues for self-sustaining – without necessarily depend on external resources.

⁸⁰ 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. More details on this issue are available in Secco *et al.* (2016; D4.1).



makes in outcomes” (Gertler *et al.*, 2016: 7). Examples of cause and effects questions for the evaluation of a SI initiative in MRAs are: (i) Did the SI initiative determine an improved wellbeing of the community?; (ii) Did the government increase the financing of new SI initiatives?; (iii) What other impacts (positive or negative) did the SI initiative determine on the wider community?

On the basis of these general premises, the overall evaluation approach is presented below, including its basic constituents: framework, methods and tools.

6.2. The Evaluation Approach

6.2.1. Elements of the evaluation approach

The community of evaluators has developed a wide range of categorizations of different evaluation approaches.⁸¹ To be pragmatic, by evaluation approach in this deliverable we mean the set of options⁸² that we have chosen to design, test, refine and finalise an innovative methodology for assessing and evaluating social innovation in marginalized rural areas. Any evaluation approach is typically constituted by three main parts: the “evaluation process”, the “evaluation methods” and the “evaluation tools” (EU EuropeAid, 2006). Each of these parts comprises elements and sub-elements, which are briefly presented in Table 10 to provide an overview of the selected set of options in SIMRA. The Table synthesizes the main steps and activities (some already implemented, others foreseen) that are necessary for finalising the SIMRA evaluation methods at the end of the project. The final manual for the evaluators (D4.3) will be structured on the basis of this Table contents.

Table 10. Elements and sub-elements of the evaluation approach adopted in SIMRA

Elements of the evaluation	Sub-elements of the evaluation	Elements of the evaluation as proposed in SIMRA
EVALUATION PROCESS		
Subject of the evaluation	Project, programme, strategy	SI initiative in MRA
	Sectors, themes and cross-cutting issues	Sectors: agriculture, forestry, rural development
	Scope of the evaluation	SI initiative (SI process and SI project) and its impacts
	Scale	A SI initiative in SIMRA is assessed at local level
Timing of the evaluation	Case of stand-alone intervention	Ex-post
	Case of a series of interventions	Depending on the momentum of SI development (initial phases, or completed successive cycles).
Use of the evaluation	Evaluation users	Policy makers and public administration on different administrative levels, entrepreneurs (including social entrepreneurs and relevant interest groups) (policy target groups and practice target groups)

⁸¹ Morra Imas and Rist (2009) propose a comprehensive list of different typologies of evaluation approaches such as: prospective evaluation, evaluability assessment, goal-based evaluation, goal-free evaluation, multisite evaluations, cluster evaluation, social assessment, environmental and social assessment, participatory evaluation, outcome mapping, rapid assessment, evaluation synthesis, meta evaluations, utilization-focused evaluation, empowerment evaluation, realist evaluation, inclusive evaluation, beneficiary assessment and horizontal evaluation. BetterEvaluation, which is an international initiative to improve evaluation practice and theory, suggests different types of evaluation approach: e.g. apprentice inquiry, beneficiary assessment, case study, collaborative outcomes reporting, critical system heuristics, democratic evaluation, innovation history, most significant changes, outcome harvesting, outcome mapping, participatory evaluation, participatory rural appraisal, positive deviance, randomised controlled trials, realist evaluation, social return of investment, utilization-focused evaluation. For detailed information on the specific features of the different evaluation approaches previously mentioned, see the webpage: www.betterevaluation.org/en/approaches

⁸² The selected set of options of the SIMRA evaluation approach are grounded on both theoretical analysis (SIMRA Deliverables 2.1, 2.2 and 3.1) and literature review (Task 4.2) and SITT stakeholders consultations (WP2) (see Part I).



	Types of use	Help decision making, articulate judgements on SI and/or better know and understand SI and its effects
	Dissemination of the evaluation	Online reports and material in the website, scientific conferences, etc. as planned by SIMRA project
The players and their roles	Evaluation manager	Responsible for the evaluation: SIMRA WP4 and WP6 Leaders
	Evaluation team	Responsible for data collection, data analysis, formulation of judgements and reporting in relation to evaluation questions: SIMRA WP5 and CS Teams
	Evaluation stakeholders	SITT members, SAB members, stakeholders involved in local SI CSs, other SIMRA partners, EU and non-EU Mediterranean countries representatives within SIMRA project
(PRELIMINARY) EVALUATION METHODS		
Setting the scene	Theoretical framework: rational, logic and theoretical connections	Identification and analysis from a theoretical point of view of the rational, logic and cross-sectoral theoretical connections of SI in MRAs: WP2, WP3
	Evaluation framework	Deconstructing SI concepts (identification of dimensions, sub-dimensions, components): WP4
	Policies analysis	Identification of policies relevant to SI in MRAs implemented at different institutional levels: WP6
	Complementarity with existing evaluation frameworks/methods	Identification of and possible integration with existing evaluation approaches/frameworks/methods/tools: WP4
	Who?	Agency and other actors at the core of the SI initiative: innovators, followers, transformers, implementers
	Domains of impact	SI initiative could have impacts on four different domains: economy, society, environment and governance/institution
Evaluation questions	Origins of initial set of questions	Preliminary list of questions based on SITT stakeholders consultation (with WP2), identification and analysis of existing methods that can be used in assessing SI and its impacts on four domains, creation of ad hoc questions
	Selection of questions	Test of preliminary list of questions in 2 to 3 pioneer CSs: the initial proposed questions have to be selected on the basis of the results of pioneer case studies in WPs 5 and 6, as well as WP4.
	Questions and evaluation criteria	Refinement and formulation of the final set of questions to be applied in all the selected CSs: WP5 and CS Teams Further refinement of questions and consequent aggregation of questions to answer different evaluation criteria (e.g. relevance, efficiency, effectiveness, impact, sustainability), depending on the results of the assessment in each of the selected CSs. Both qualitative and quantitative questions are used.
Judgement references	From questions to indicators	On the basis of evaluation framework and questions, in connection with hypothesis of diverging paths (WP2), different indicators have to be developed as final elements to formulate judgement within SIMRA.



	Indicators	Mainly focused on descriptive indicators on SI dimensions, sub-dimensions, components and their aggregations.
	Narrative	Mainly focused on in-depth interviews with key informants and policy experts
Methodological design	Initial steps	Strategy for data collecting and analysis: data collection in selected CSs in MRAs at local level Selection of investigation areas: depending on the status of the SI initiative (in a large and complex SI initiative, only one SI project will be analysed) Specifically designed tools: guiding questions for semi-structured interviews and questionnaires for structured interviews.
	Design table per indicator	For each indicator a design table has to be formulated and completed based on the following elements: questions, scope of indicator, evaluation criteria which it refers to, analysis strategy, type of SI, information sources and tools.
	Data collection	Evaluation teams (SIMRA CSs Teams) collect primary and secondary data in selected CSs in MRAs (WP5).
	Analysis	Analysis of change: two approaches are proposed, based on the contextual conditions of each CS. One approach is based on descriptive and normative questions as well as on cause-effect questions (counterfactual before-after). Another approach is based on cause-effect questions with the application of impact assessment (counterfactual dif-in-dif, only when applicable).
EVALUATION TOOLS		
Combination of tools	Toolbox	Qualitative and quantitative tools used in combination: semi-structured interviews (open questions, storytelling), structured interviews (questionnaires with open and closed questions), focus groups, survey, expert panel, case study analysis, context indicators, POT analysis, social network analysis, stakeholders analysis.

Source: EU EuropeAid, 2006 – Evaluation methods for the European Union's External Assistance.

In the following sub-section, the focus is on the elements and/or sub-elements that require clarification in relation to the activities of assessment planned for the next steps, i.e. the application of the preliminary set of methods in the pioneer CSs, before it is applied to the other selected CSs of SI in MRAs (in WP5) and policy processes (in WP6).

At this stage some key elements of evaluation are presented in outline with details to be developed after the collection and interpretation of feedback from the practical application of the methods and tools in the field.

6.2.2. Subject of the evaluation: the SI initiative in MRA and its impacts

In our approach, any SI initiative is considered to comprise two parts, to be evaluated in conjunction with each other. The first part is the SI process, and the second is the SI project. The SI process occurs with the emergence of the SI idea through the reconfiguration of social practices. The SI process is based on the



following dimensions: perceived context, agency (actors and preparatory action), from reconfiguring to reconfigured social practices (i.e. new governance arrangements, new networks, new attitudes).

Once these dimensions have occurred the SI project emerges based on inputs, activities and outputs. These two parts determine outcomes and impacts (identified as 'SI effects' in Figure 20) on the economic, social, environmental and institutional domains.

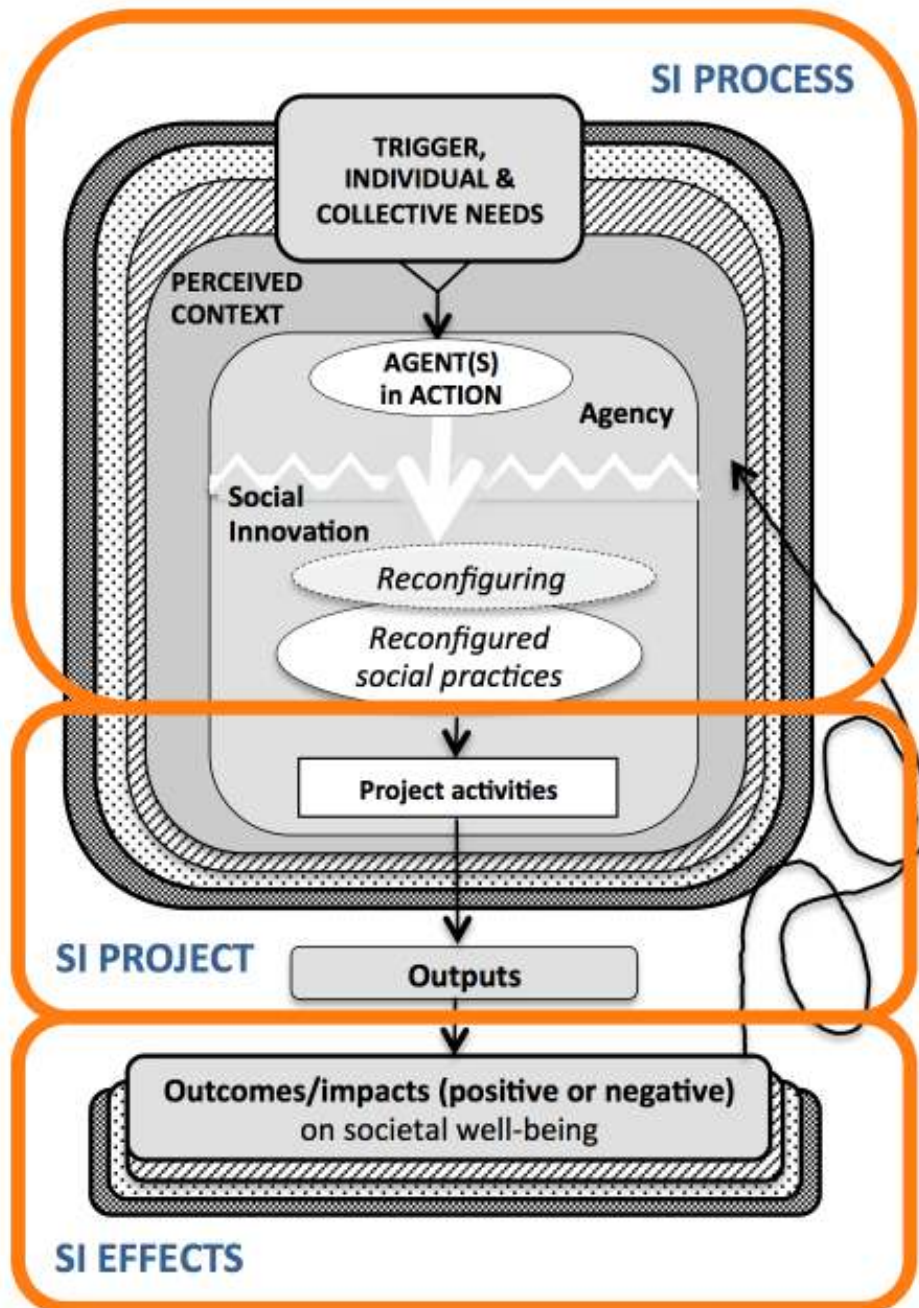


Figure 20. SI in MRA initiative composed by an SI process, SI project and SI effects. Source: SIMRA research team.

SI initiative processes are of different types: i) initial processes in the initial creation of the social innovation through to the reconfiguration of social practices, paving the way to the SI project; ii) project processes happening in the implementation of the SI project. In the Figure 1 the term "Process of SI in MRA" refers to the first of these two types.



Processes are a continuous movement and it is challenging, within an evaluation study, to capture their complex dynamics to understand how they affect the production of results. The same can be said in relation to social practices (networks, attitudes and governance arrangements). To reduce this complexity to a manageable evaluation, the approach is to create “pictures” of two types of processes at different moments of time, allowing the entry of evidence of their effects in the SI initiative.

The term ‘project’ used in the evaluation framework does not refer exclusively to operations implemented due to external funds. A SI project can be and normally is implemented due to the use of the internal resources of the individual, organization, institution, network that have identified it. In both the cases (internal and external funding) the evaluation plays a central role in specifying what has functioned in the SI process, which are the outputs produced by the SI project, and what are the impacts determined by the SI initiative. This evaluation framework can be applied in both the cases.

The sequence of a SI process, that leads to a SI project, and subsequently leads to SI effects, is simplistic and it is adopted here only for the needs of evaluation practice. This sequence, as mentioned in Section 4 and Section 6.1, is aligned with the theory of change (ToC). According to Kusek and Rist (2004), the theory of change refers to the assumption that specific interventions will lead to desired results⁸³. The ToC is normally based on a model organised in different components: inputs, activities, outputs, outcomes and impacts. The ToC is widely used at international level for the evaluation of projects, programmes and policies, e.g. by the Common Monitoring and Evaluation Framework (CMEF) of the Common Agricultural Policy. Moreover, after the Better Regulation Agenda⁸⁴, which strongly relies on Impact Assessments (IA), all the European policies have to be designed and evaluated by using the ToC, which (despite the disadvantages of being a linear approach) has the positive elements of making clear the components of the process within the project, and its results and effects. This helps in the identification of the cause-effect relationships between an intervention (a SI in a MRA) and its effects (impacts).

The ToC normally assumes that the behavioural change of beneficiaries occurs once the production of outputs has been completed, thus determining the variation in the outcome variables and so the impacts. We anticipate that in any SI initiative the behavioural change can happen at different moments of time, and in relation to different actors involved in the SI initiative. Different types of actors can be associated to the two main parts of the SI initiative.

Actors of SI process (i.e. innovator(s), follower(s) and transformer(s)) play different roles throughout the SI initiative, and can modify their behaviour during the SI process and due to the development of new attitudes, new networks and new governance arrangements, and before the production of outputs. The repeated interactions amongst actors can reinforce their behavioural change in the longterm.

Actors of the SI project are multiple (i.e. implementers or project partners and direct and indirect beneficiaries) and in their case different hypotheses on behavioural change can be formulated: a beneficiary can change the behaviour during the implementation of the project due to the interactions with the project implementers; at the end of the project due to the results achieved; after the conclusion of the project due to novel interactions. It is possible that the beneficiary will never change their behaviour or that they will return to previous habits and behaviours. In the case of implementers, different conditions can determine their behavioural change, depending upon whether they took part, as transformers, in the SI process or if they are totally new to the SI project.

⁸³ In the proposed framework and set of methods the assumption is that the effects of SI depend not only on the types of action but also on the specific context, enabling factors and conditions (i.e. the same actions do not necessarily lead to the same results).

⁸⁴ The Better Regulation Agenda is: “about designing and evaluating EU policies and laws transparently, with evidence, and backed up by the views of citizens and stakeholders. It covers all policy areas and aims for targeted regulation that goes no further than required, in order to achieve objectives and bring benefits at minimum cost”
https://ec.europa.eu/info/law/law-making-process/better-regulation-why-and-how_en
https://ec.europa.eu/info/better-regulation-guidelines-and-toolbox_en



These multiple issues qualify the differences in the use of ToC within SI initiatives when compared to a standard evaluation of projects. These hypotheses will be verified after the application of the method to SI case studies in the field.

6.2.3. Subject of the evaluation: SI initiative at local level

Three scales⁸⁵ are of relevance for the evaluation of SI and its impacts in SIMRA are relevant: the spatial, the social and the temporal. However, while considerations of the spatial and social scales are reported hereafter, the temporal scale is discussed in Section 6.2.3 because it is related to the timing of evaluation.

Spatial scale

The spatial or geographic scale of analysis refers to the extent at which a certain phenomenon is analyzed within a certain territory, which is the overall size of a study area. Levels of analysis can be global, national, regional or local.⁸⁶ In analysing the phenomena with respect to SI and its impacts in MRAs, spatial scale is important in several ways.

- i) The identification of the geographical location of the SI initiative. This is to understand whether it is (or not) located in a marginalized rural area (and thus whether it is eligible as a SIMRA case study). For this purpose, a set of maps was developed at the regional level, generally NUTS 3 spatial resolution (Price *et al.*, 2017; D3.1). However, SI often happens at lower spatial levels, and in particular, at the local level, where individuals, single organisations and local networks matter in projects implementation (Secco *et al.* 2014). The majority of the examples of SI that are included in the online catalogue in the SIMRA Web Site (Bryce *et al.*, 2017; D3.2) are cases developed at local level, on relatively limited territory and size.
- ii) SI emerges in a multi-level context. The various dimensions, sub-dimensions and components⁸⁷ of SI may refer to different spatial levels, depending on the case, their effects are typically local. We hypothesize that the dimension “trigger and individual and collective needs” may occur at any spatial level (e.g. international, national, regional or local). However, it becomes salient for social innovation when its

⁸⁵ Scale refers to the spatial, temporal and institutional/jurisdictional dimensions used to measure a phenomenon, while levels are the elements of analysis located at different positions in a scale. Dimensions refer to the unstructured aspects of reality or phenomena to which scales are applied, such as space, time and power (Gibson *et al.*, 2000; Veldkamp *et al.* 2011). Following this definition, the spatial scale applies to geographical areas, and the main levels are globe, regions, landscapes and patches. The temporal scale applies to time frequencies; levels are for example daily, weekly, seasonal, annual, etc. but they can also refer to the speed of a process (fast/slow) or durations (long/short). In the jurisdictional scale, the analysed dimension refers to administrations. Typically, its levels are inter-governmental (e.g., the EU), national, provincial, localities (e.g. municipalities, towns); but others are also used (based for example on aggregations of localities – such as the “Unions of Municipalities” in mountainous areas in Italy). Scales apply also to social sciences, social systems, actors and businesses as well as decision-making processes, that can be analysed by using a social scale, that typically refers to micro, meso and macro levels. Other types of scale exist (e.g. institutional, management, networks, knowledge, etc.), with related levels. The institutional scale for example refer to rules, and the level are constitutions, national laws and regulations, and operating rules. The management scale refers to plans, and levels can be strategies, projects, tasks. The network scale refers to links, and levels can be trans-society, society, kin, family. The knowledge scale can vary from general to specific and from universal to contextual (Cash *et al.* 2006). But those we consider relevant for the evaluation of SI and its impacts are: the spatial, the social and the temporal scales.

⁸⁶ To analyse physical or socio-economic phenomena, in general we consider administrative boundaries of territories (Cash *et al.* 2006; Gibson *et al.* 2000). As mentioned in Price *et al.* (2017; D3.1), SIMRA uses the subdivision of the European Union territory provided by EUROSTAT. The EU territory is divided into five levels: three levels of Nomenclature of territorial units for statistics (NUTS) and two levels of local administrative units (LAUs). The three NUTS level are the following: NUTS1 corresponds to groups of regions within the Country (formally NUTS0); NUTS2 corresponds to the regional level at sub-national level while NUTS3 corresponds to the provincial level at sub-national level. The LAU level includes the upper LAU level (LAU1, formerly NUTS4), which is defined for most, but not all of the countries; and the lower LAU level (LAU2, formerly NUTS5), which corresponds to most detailed level of analysis i.e. the municipal one. Depending on the size, not all countries have every level of division: indeed, the upper LAU level (LAU1) is not defined for all of the countries, while the lower level (LAU2) is present in the 28 EU Member States. In non-EU Mediterranean countries (e.g. North African countries) the administrative subdivision is different.

⁸⁷ The SI concepts have been explicated to guide the evaluation - see the evaluation framework in Part II.



effects and reactions appear at local level (Oosterlynck *et al.* 2013; Baker and Mehmood, 2015). Thus, while the sub-dimension “trigger” can be international (e.g. the global financial crises), its effects (e.g. loss of jobs) and related societal “needs” (e.g. support to income of poor families) are typically locally specific and thus have to be analysed at local level. Similar considerations and dynamics are valid for many other dimensions of SI (e.g. perceived context, reconfigured social practices, impacts, etc.).

The local level at which the SI occurs in a certain territory can both have clear boundaries (e.g. a group of landowners within the same municipality) or unclear boundaries (e.g. a private-public hybrid network engaged in different nearby areas but not in the same municipality). In the first case, the analysis can refer to a single municipality (LAU2); in the second, it can refer to more than one municipality (scaling up to a territorial or landscape level), and at different jurisdictional levels⁸⁸. Only in the first case, when all the actors involved in the SI initiative, including the beneficiaries, are located in the same municipality our statistical unit of analysis will correspond to a LAU2 unit. In the second case, the unit of analysis will likely be an aggregation of LAU2 units, the dimension/size and borders of which will depend on the SI initiative and territory where the initiative is implemented. For simplicity, even when the analysis refers to a larger spatial unit with respect to a LAU2 unit and thus it corresponds to a spatial meso-level of analysis, in our evaluation approach it is referred to it as “local level”. This approach is mainly used for the examination of the context (context indicators and narrative analysis) and SI impacts (impacts indicators and narrative analysis) (see Part IV for more details).

A final consideration is needed of those SI initiatives that are structured into different layers, at various jurisdictional levels. This is the case, generally, of advanced or mature and well-consolidated SI initiatives, which started initially from one (or a few separated) local SI process(es) and/or project(s) and were able to scale out and/or to scale up.

To scale out means they were able to replicate the same innovation in different locations, while to scale up means to move the innovation to a broader system, e.g. bringing it to a regional or national level (see Part II, section XV on learning processes)⁸⁹. In this case, local SI initiatives are connected both with SI initiatives located in different areas, thus creating horizontal networks, and with entities built at a higher jurisdictional level by the horizontally networked SI initiatives. The latter is for the purpose of representing the SI initiatives

⁸⁸ For methodological reasons, the relevant spatial level of analysis is the local one. However, multi-level and trans-boundary interconnections are also considered, especially by identifying links and networks among actors who belong to different jurisdictional and spatial levels. The term trans-boundary refers for example to trans-national or trans-regional interconnections i.e. the links of SI occurring in a certain territory with other administrative/institutional levels and territories: it allows to grasp urban-rural-periurban relationships and linkages existing between organisations involved in SI initiatives located in different spaces and should be taken into consideration in evaluating SI impacts. Similarly, interconnections between sectors at different levels should also be taken into consideration. “Cross-level” interactions refer to interactions among levels within a scale, whereas “cross-scale” means interactions across different scales, for example, between spatial domains and jurisdictions. “Multilevel” is used to indicate the presence of more than one level, and “multiscale” the presence of more than one scale, but without implying that there are important cross-level or cross-scale interactions (Cash 2006).

⁸⁹ One good example of these dynamics is the case of the National Forum of Social Farming (FNAS in the Italian acronym of *Forum Nazionale dell'Agricoltura Sociale*), in Italy. The Forum is a national network of local SI initiatives mainly focused on social and employment inclusion of disadvantaged people through their active involvement in farming activities. Some of the local SI initiatives are located in marginalised rural areas, but of course the national network also includes initiatives in urban areas or in rural areas that are not marginal or marginalised (according to the criteria defined in Deliverable 3.1). At local level, the single initiative is based on networks of many actors (e.g., farms, social cooperatives, host communities, parents' associations, experts, public authorities of the social-health sector and others). These local initiatives are networked at a higher level into regional forums of social farming (7 out of 21 Italian regions have a regional forum formally established). These Regional Forums are then networked at a higher level, into the National Forum. However, the National Forum also includes other provincial, regional or national associations (e.g., the Association “Organic-social farms of Veneto”, the National Association of Organic Agriculture, and many others). The main goal of the National Forum is to represent the experience of social farming at national level. More information are available in the web site, URL: <http://www.forumagricolturasociale.it/> and in the document available at: http://www.maie-project.eu/fileadmin/user_upload/de/dateien/newsletter_FNAS_Italy_eng.pdf



in the political debate at a regional and/or national context, and for obtaining greater visibility and recognition by the public authorities and private donors.

SI initiatives are linked in vertical networks, involving different administrative/jurisdictional levels, from the local to the regional, and from the regional and to national. In these cases, the whole SI initiative can be considered a network of networks. However, from the perspective of the evaluations in SIMRA, what matters (and what can be measured) are the impacts determined by the SI initiative on the social needs and/or societal challenges in each context, i.e. again at local level. Therefore, in these complex cases, where the SI initiative as a whole is made up of different entities or networks at different levels, the main statistical unit of analysis remains the local one.

The role of the entities involved at higher hierarchical level (e.g. a national association/federation or forum) and their interactions with the local SI initiatives will be explored in two directions.

- i) the survey at local level investigates whether and how these national or regional entities/organisations have influenced the emergence of the SI in that case, e.g. due to its communication activities for sharing information, training options or representativeness of the SI interests in national debates. In this sense, the national or regional entity will be understood as one of the conditions of the context (i.e. it is explored in the dimension "Perceived context" of SIMRA evaluation framework).
- ii) The survey at local level investigates whether and how the local SI initiative has provided feedback and passed knowledge, best practices or skills to higher levels thus eventually determining changes, e.g. by increasing the power and capacity of the national entity to influence policy reforms or to attract funds. In this sense, the national and regional entity will be understood as one of the effects of SI in terms of further innovation and learning processes (i.e. it is explored in the dimension "Learning processes" and sub-dimensions "Feedback loops" and "Multiplier and critical effects" of SIMRA evaluation framework).

We assume that behavioural changes occurring in each SI initiative at local level can contribute to behavioural changes at higher levels, but such contributions will be analysed and considered case by case, not in an aggregated way. Analysis is case-specific and the total contribution cannot be measured as a "sum" of the contributions by the local initiatives.

Social scale

The *social scale* considers socio-economic entities (Blalock, 1979; Krugman *et al.* 2013), as individuals or collective entities that act in the society or in a certain economic sector (e.g. agriculture). In sociological sciences, the phenomena that occur at the social scale can occur at three levels⁹⁰: micro level refers to individuals (individual attitudes, face-to-face interactions) or small groups (family); meso level refers to larger social groups or networks (e.g. residents in a certain area, cooperative groups, a federation of companies working in the same sector), and macro level refers to institutionalized large-scale social processes (e.g. the whole population of a country).

In economics, the micro-level is typically a single company or an individual (e.g. a consumer, a producer); the meso level⁹¹ can be an association or federation of companies working in the same sector; and the macro level refers to the whole economic sector in a country.

In SIMRA, the micro-level of analysis at a social scale corresponds to a single organisation, a single person, a single NGO or association acting for SI; the meso level relates to a cooperation system (i.e. a cluster or network of entities, typically collective); and the macro-level refers to a cluster of clusters, i.e. a broader network system. The evaluation is grounded on data collection mainly based on interviews with local actors involved in the SI initiative, and in particular innovator(s) and follower(s) (i.e. agency), as well as transformer(s) and beneficiaries (see Part IV and Annex D.1).

⁹⁰ <http://www.tropentag.de/2007/abstracts/full/240.pdf>

⁹¹ The meso level is not a generally accepted term in mainstream economics and various proposed definitions are not consistent. One of the most famous definitions comes from Schumpeter's interpretation, as "a structure component of a 'deeper' invisible macro structure" (Dopfer, 2012: 133).



Summary

The focus of data collection is at the micro level of analysis, where the statistical units of analysis are individuals or single organisations, or local networks that act in SI initiatives. *The focus of the examination of the SI impacts is at the meso-level of analysis*, where the statistical units of analysis are the individual SI initiative (i.e. the case-study) and the territory where the SI project is implemented (that can involve more than one municipality).

In terms of data to be collected, primary data are collected at the local and/or territorial level, while secondary socio-economic, institutional and environmental data are often available at regional, national, European and other macro-regional spatial levels. Specific databases have to be identified and explored for collecting secondary data to be used for specific indicators as part of the evaluation process, if available and when necessary. More details are provided in Part IV.

6.2.4. Timing of the evaluation: ex-post/phases

The proposed evaluation framework analyses cause-and-effects of SI with a sequential temporal scale. Thus, we observe drivers of action, changes that have arisen, and short- and long-term consequences. In relation to the “time” factor, we hypothesise that:

- i) Trigger and/or needs may occur at any temporal level: over long, short, or intermittent periods (Gibson *et al.*, 2000); as mentioned in section 5.2.1, a trigger can be a prompt event (e.g. an earthquake that requires immediate interventions), or derive from a long process of change (e.g. a progressive decline of population that allows for strategic plans to be developed). Moreover, new triggers and needs can happen at any moment. This can be from the outset or during the whole SI process, thus affecting the SI dynamics (see Kluvánková *et al.*, 2017; D2.2). Triggers and needs are presented only as initial elements of SI in Figure 10. Whether and how a different temporal scale of triggering is relevant in SI and its impacts have to be explored by means of SIMRA case studies evaluation, to be carried out in Work Package 5;
- ii) Once triggered (i.e. inception), any initiative of SI can be described in its various phases over time, i.e. conception, formulation, realization and final evaluation. These temporal phases are very similar to the ones of traditional policy cycle (e.g. Easton, 1957; Krott, 2005), allowing the evaluation of SI as a process, as a project and as a local policy initiative⁹². The duration of SI with respect to the *momentum* of evaluation is another key aspect. Typically, if the SI to be evaluated is in its conception phase, the evaluation can be classified as *ex-ante*. It allows the identification and description of the enabling factors of SI process or who participates in the SI process and the expected impacts (not actual impacts). If SI is in its realization phase, when the SI project starts and is implemented, the evaluation can be classified as *in-itinere*, focusing on project processes and outputs. Finally, if the SI process and/or project have ceased to exist (i.e. it is completed, ended or stopped), the evaluation can be classified as *ex-post*. In this case, and especially (but not only) if the SI is a long-lasting initiative started several years previously, SI impacts can also be sought. Each situation requires a different approach to its evaluation.

⁹² In the same way, even if they are graphically represented and conceived in our evaluation framework as sequential phases of a problem-solving model (and their interlinks as input-activities-outputs-outcomes), we are aware that in any real situation of social innovation several “reverse loops” might occur: the process is stopped and it evolved in a different direction with respect to the initial one; there might be some new triggers emerging that determine a different evolving process; the process is not linear neither consequential; outputs are not always derived from planned activities; outcomes might have impacts at various spatial levels, etc. The process represented in Figure 10 and Figure 21 could more usefully be designed as a cycle, with outcomes/impacts spurring more action (upscaling and outscaling), but its graphical representation would have been more complex and difficult. While it would be more correct from a theoretical/conceptual point of view, it would also be less effective for the purposes of the scope of application of this framework within an evaluation (see an example in GIZ, 2013). Notwithstanding the inevitable simplifications, such a consequential approach allows us to highlight in a simple way the different elements of SI that will need to be evaluated. For a discussion on the non-linear nature of SI dynamics see Kluvánková *et al.* (2017; D2.2).



- iii) The evaluation is divided into two main phases. In phase 1, the initiative of social innovation may be evaluated mainly in terms of configuration process; in phase 2, the initiative of social innovation may be evaluated mainly in terms of its consequences. Thus, phase 1 will focus on the evaluation of social innovation *per se*, and phase 2 will focus on the evaluation of its outputs and impacts, starting from the reconfigured social practices (i.e. a situation from which SI projects can emerge and be implemented). The reconfigured social practices represent – in our view – the passage from the SI process to the SI project. We are aware that in practice this step could be much more complex, but as pointed out in Part II, the proposed evaluation framework requires a simplification of complex interactions and interconnections (see also Figure 20) needed to facilitate the evaluators in their tasks. The two phases of evaluation, run sequentially, are presented in Figure 21. Data collection instruments and indicators used for the evaluation will be different phase by phase.

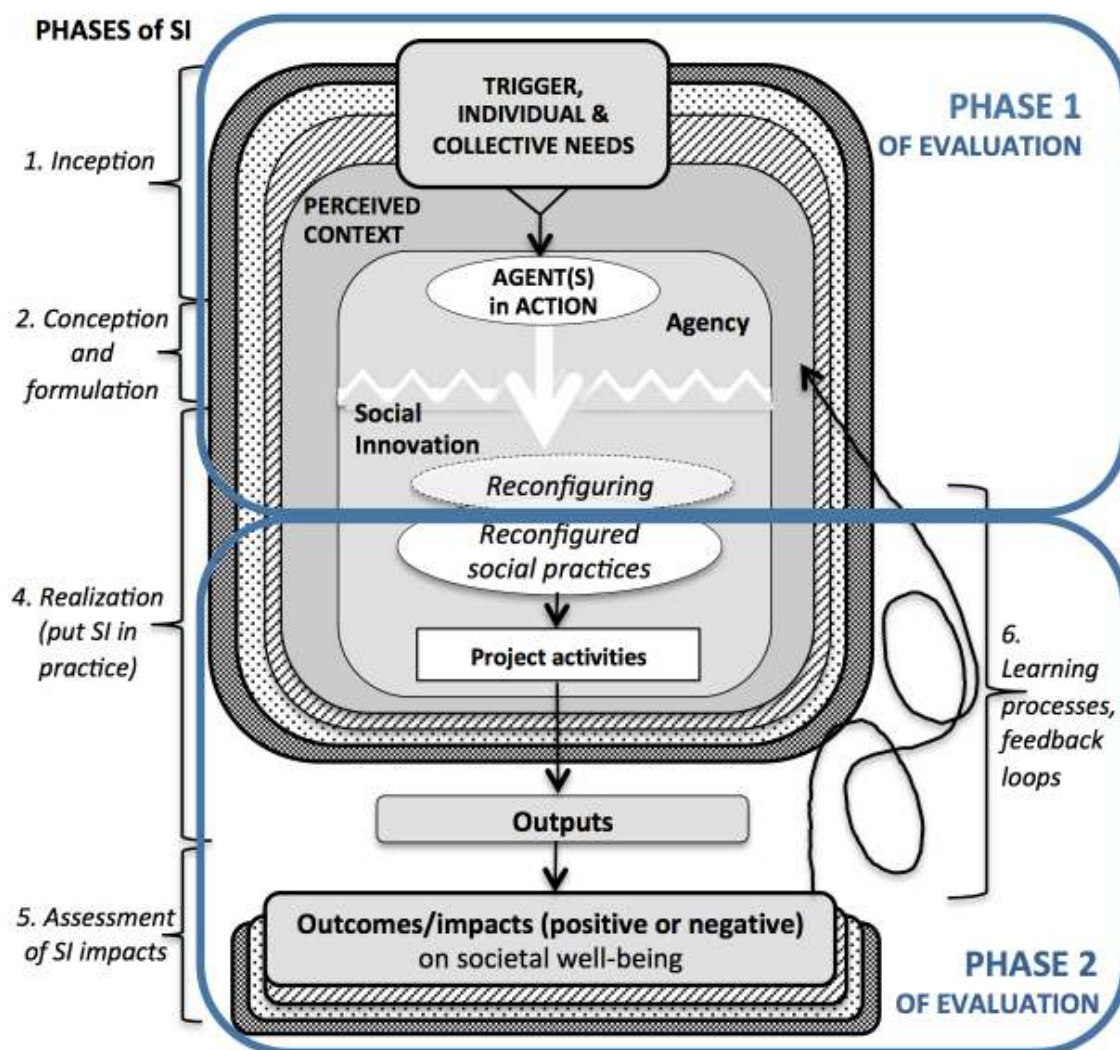


Figure 21. The temporal phases of social innovation and of evaluation. The reconfigured social practices represent – in our view – the passage from the SI process to the SI project. Source: SIMRA research team.

6.2.5. Setting the scene: complementarity with existing evaluation frameworks/methods

Social innovation in marginalised rural areas can be co-financed by using already existing EU policies and programmes conceptualised and carried out to reduce the level or marginality of European rural contexts. The second pillar – Rural Development Programme (RDP) – of the Common Agricultural Policy (CAP) plays a central



role in relation to this aim. The SIMRA evaluation framework should be integrated in such existing evaluation frameworks. Figure 22 presents a proposal for connecting the SIMRA evaluation framework to the EU Common Monitoring Evaluation Framework (CMEF) of the CAP, via the components of the theory of change (ToC). The figure shows the dimensions of SI in its upper part, the corresponding phases of the project cycle at the center (i.e. programming, identification, formulation, financing, implementation and evaluation), and how these previous elements connects to the ToC of the CMEF and to its indicators in the lower part of the figure.

In relation to this last post, we recall that the evaluation of RDP is defined within the EU Regulation No 1303/2013 by using a set of context, input, output, target, result and impact indicators. These indicators are referred to the monitoring and evaluation of RDP projects, and they do not take into account the processes, which are of central importance in SI initiatives. More specifically, context indicators of CMEF can be used for the context analysis of SI initiatives, the input and output indicators of the CMEF can be used for the analysis of the same elements in the SI projects, and the result and impact indicators of the CMEF can be used for the analysis of the same elements of SI initiatives.

In this regard, we can observe two different working hypotheses which try to respond to the following question: "When do the phases of identification and formulation of the SI project start?".

1. The identification and formulation phases of the SI project can overlap with the SI process (Figure 22, Case A). In this case, social problems determining both the process and the project are exactly the same.
2. The identification and formulation phases of the SI project start once the reconfiguration of social practices has been concluded (Figure 22, Case B). In this second case, social problems determining SI process changes during the time, thus social problems determining the SI project could be novel ones, or a sub-set of the previous ones.

In terms of evaluation, the practical consequences of these two different working hypotheses are:

1. In Figure 22, Case A, the evaluation criterium of relevance will consider the same problems both for the analysis of the SI process and project; the evaluation criterium of impact will be based on the same outcome variables – which is strictly linked to the perceived social problems – both for the analysis of SI process and project (see additional element of specifications in relation to the outcome variable for impact analysis in the part of impact evaluation).
2. In Figure 22, Case B, the evaluation criterium of relevance will consider different social problems in the analysis of the SI process and project; the evaluation criterium of impact will be based on different outcome variables for the impact analysis of SI process and project.

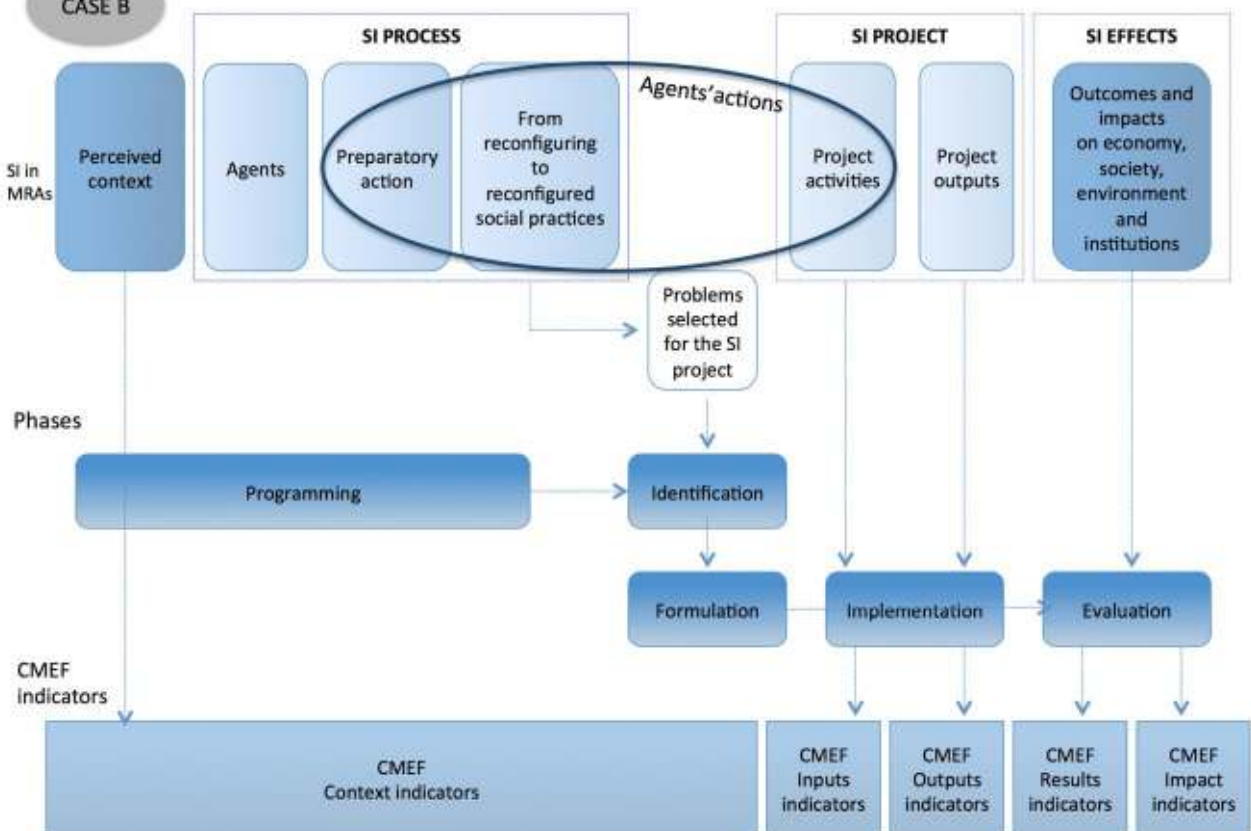
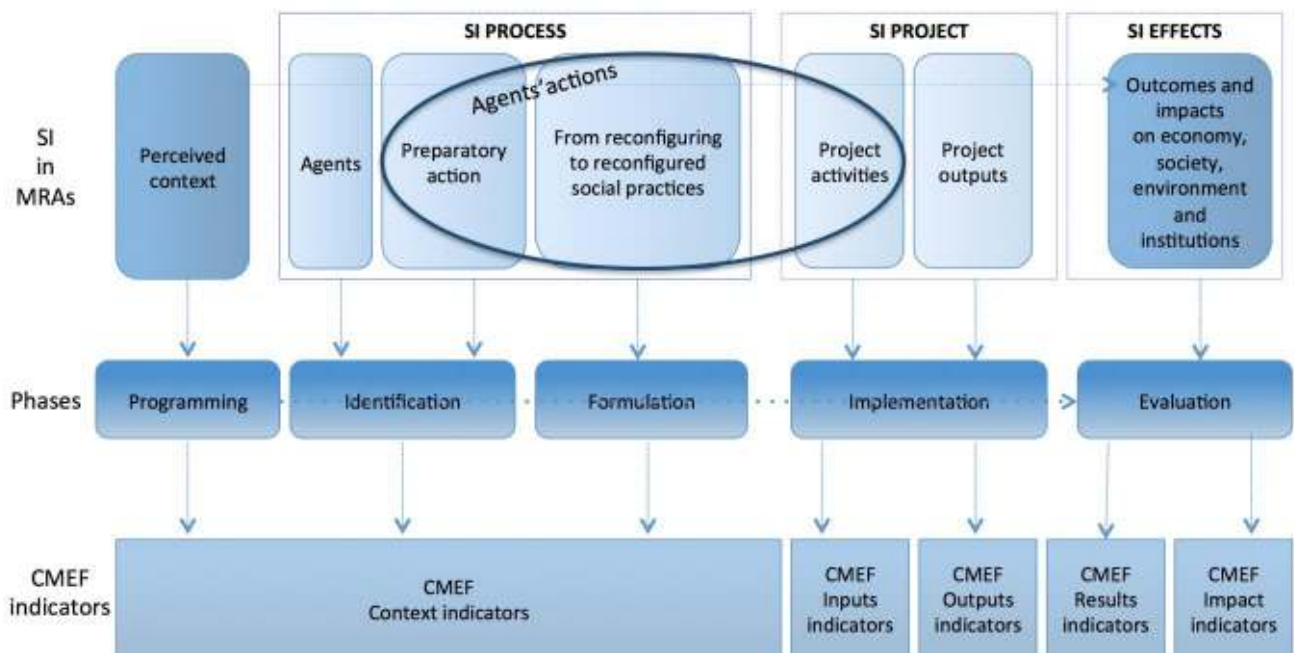


Figure 22. Linking the conceptual framework of SI to the evaluation framework/theory of change typically adopted by the European Commission Common Monitoring Evaluation Framework. – Case A above and Case B below. Source: SIMRA research team.



These are only possible indications on how to adapt the SIMRA evaluation framework to an already existing evaluation framework such as the CMEF, thus making the best use of already existing indicators by integrating them with our evaluation questions and indicators, which are specific to social innovation.

6.2.6. Setting the scene: policy analysis

As specified in section 6.2.2, in evaluation of SI in MRAs scale has a fundamental role. Observations show that SI generally arises at the local level rather than at higher jurisdictional and spatial levels. At a local level it is possible to analyse several aspects of SI in detail, including why and how it has emerged in a certain context, identifying the innovator(s) and the follower(s), how the SI process works in practice and, above all, the outcomes for direct beneficiaries and the impacts for both direct and indirect beneficiaries.

Although the SI may manifest itself or be identified in a local place, SIs are often characterised by significant cross-level and cross-scale⁹³ interplay among actors at different levels (through boundary or bridging organisations). Scale becomes relevant especially when the SI initiative under study is the result of scaling up or it is policy-supported/policy-induced. While SI cases may not be initially supported by any policy (endogenous process), their success may lead to their replication (scaling out) or to the implementation of neo-endogenous approaches such as focused funding by external donors or financiers, or adaptation, changes or development of new policies or legislation, to scale up the initiative. In the field of interest of SIMRA, several policies and programmes developed at various levels (from international to local) can support (or impede) SI. Examples of different types of policies at different jurisdictional and administrative levels include international conventions on climate change, EU rural development programmes, national legislation on network contract (e.g. in Italy), regional laws to stimulate investments and local regulations to promote employment opportunities for youth. Consequently, in policy analysis, it is necessary and typical to adopt a cross-level approach, i.e. to understand what effects have international policies at regional or local levels.

From a methodological point of view, while SI and impacts of SI can be evaluated at the case study level (typically, local), policy implications for SI need to be analysed with a cross-level approach. The two approaches require two sets of methods and tools that are complementary. At a local level the focus is on the SI process and impacts, and the evaluation is based on interviews and focus groups that will include local stakeholders and actors (e.g. innovators, clique, local policy makers). Implications of international or national policies for SI at local level can be identified by means of questions to local stakeholders and innovators, such as *“What policies have most affected (negatively or positively) your SI initiative?”* However, the effect perceived by local stakeholders might be different from what is planned, perceived and known about policy implications at local level by policy makers who work at higher jurisdictional levels. Thus, there is a need to integrate the analysis of policy effects as perceived and emerging at local level (to be done in SIMRA CSs evaluation), with the analysis of policy and policy processes based on documents analysis (e.g. texts of EU regulations, other policy documents) and/or policy experts' consultation, where policy experts are typically at national or regional levels. Figure 23 represents how the evaluation of SIMRA local case studies are integrated with the analysis of policy processes on SI in the evaluation approach.

⁹³ Following Cash *et al.* (2006), “cross-level” interactions refer to interactions among levels within a scale, whereas “cross-scale” means interactions across different scales, for example, between jurisdictions. “Multilevel” is used to indicate the presence of more than one level, and “multiscale” the presence of more than one scale, but without implying that there are important cross-level or cross-scale interactions.

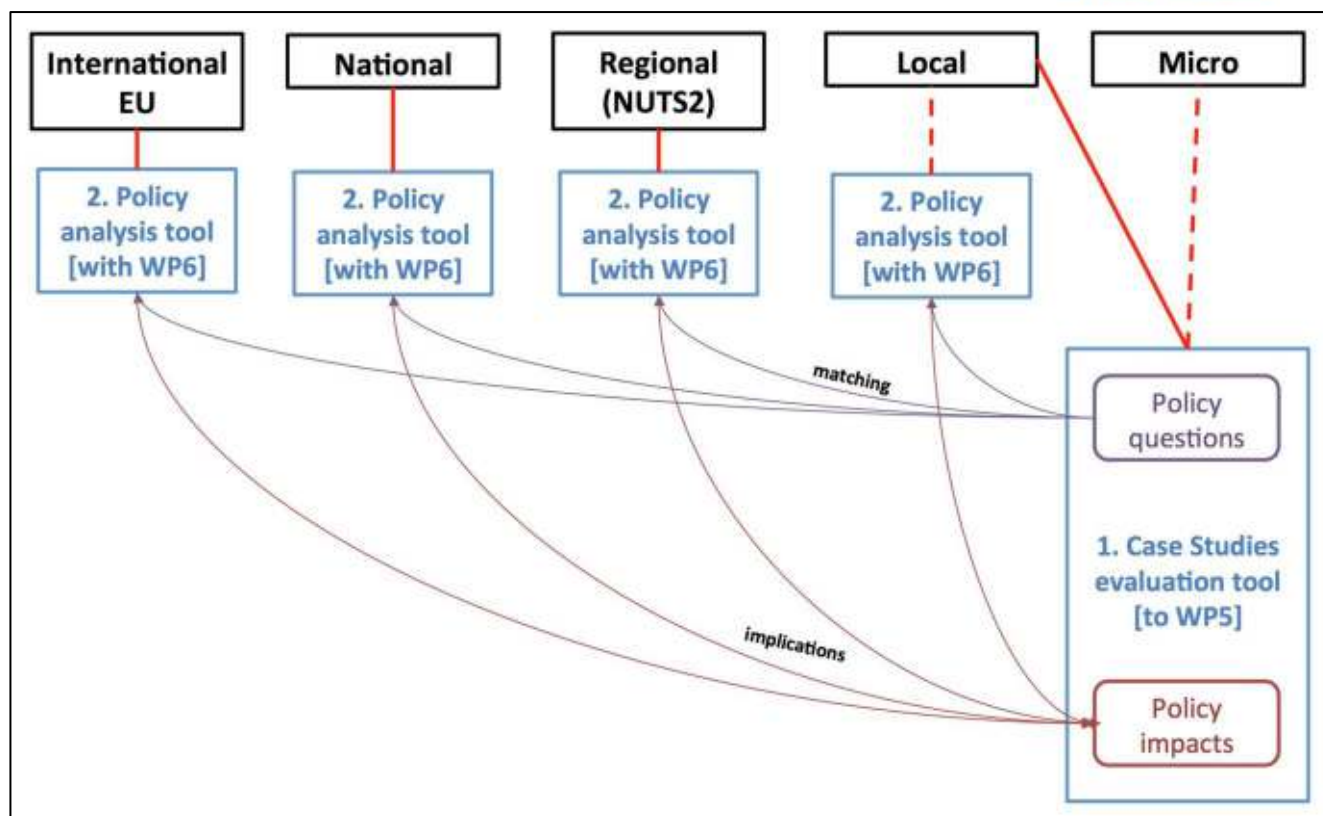


Figure 23. Matching national and local scale (where SI generally arises) through two different evaluation instruments. Source: SIMRA research team.

Further information on how the cross-level policy analysis is integrated in the local case study evaluation is provided in Part IV.

6.2.7. Setting the scene: Who?

Agency is the “starting point” as well as one of the core dimensions, on which the proposed evaluation framework and methods focuses. Agency refers to ‘who’ has initiated the SI in a certain territory, and then to next development steps. An agency’s actors are the first who are involved in data collection, starting with a focus group and moving to interviews (the first to be interviewed being innovator(s) and follower(s)). However, other actors involved in the sequential phases of the SI initiative development should also be included in the survey. Table 11 summaries the actors targeted in the survey, in the different phases of SI. Depending on the phase, and thus on the focus of the evaluation, the sampling design and related sampling method are different. More details on this are provided in Part IV.

Table 11. Target population, related network structure and sampling design according to different phases of SI as planned for SIMRA case studies evaluation.

Phases of SI	Main focus of the evaluation	Actors to be analysed (target population)	Sampling design (and sampling method)
Initial phases (t_0)	Agency during the ideation of SI, its values, ideas, etc. (“the SI egg”)	Leader(s) Follower(s) (cliques of individuals)	Census (identified through stakeholders analysis)
Intermediate phases (t_1)	The action of reconfiguring (the SI process)	Leader(s) Follower(s) Implementer(s) (network)	Census within the network (Social Network Analysis methods)



Advanced phases (t_2)	The effects of SI (outcomes and impacts on two groups: direct beneficiaries i.e. the SI network, indirect beneficiaries, i.e. the whole territorial community)	Leader(s) Follower(s) Implementer(s) Direct beneficiaries Indirect beneficiaries (community)	Sampling (method to be defined case-by-case, depending on availability of data)
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Source: SIMRA research team.

Several key methodological issues have to be addressed during the evaluation of SIMRA case studies. For example, the sampling design, the identification of the boundaries of the statistical unit to be evaluated (i.e. who is in and who is out of the analysis, key characteristics of actors/agents to be analysed, and other issues). The entity (individual, clique or organisation) that innovates can be analysed by both semi-structured in-depth interviews and structured interviews (based on questionnaire). If the use of Social Network Analysis is anticipated (e.g. to understand the changes in the local networks and relationships among involved actors⁹⁴), a census of all the actors involved is necessary. To identify the people to be interviewed, a stakeholders' analysis at the level of "Agency" needs to be performed at the beginning of the evaluation. The different aspects need to be evaluated along all three of the main phases of SI development, from t_0 to t_2 , but the focus and the methods are different. For example, in the evaluation of advanced phases of SI (at t_2), the innovators' ideas are at the core of the evaluation; and vice versa, in the evaluation of initial phases of SI (at t_0), the outcomes and impacts are still embryonic (or do not exist yet). More information on this is provided in Part IV.

6.2.8. Setting the scene: domains of impact

It is assumed that a SI initiative may determine impacts in four different domains: economy, society, environment and governance/institutions. However, for the purposes of the evaluation, more detailed components of each domain have to be identified. The initiative can have both positive and negative impacts, on one or more of these domains; moreover, the impacts can be different on different components of the same domain. For example, with respect to the environment, a SI initiative may have positive impacts on biodiversity conservation but negative on water quality; with respect to the economy, a SI initiative may have internal positive impacts (e.g. high value added of its services/products) but external negative impacts on other actors not directly involved in its SI project (e.g. competition with business-as-usual companies providing same products or services). Similar considerations are valid also for the social and institutional domains. A SI initiative can have different impacts on different groups or entities, thus implying trade-offs. To deal with these trade-offs, the identification of the impacts that derive from a SI initiative should be as accurate as possible. For this purpose, lists of possible aspects are integrated in the questions to help respondents to qualitatively evaluate related impacts. The lists are neither exhaustive nor fixed, and other aspects can be considered. Therefore, it is useful to carry out a preliminary screen of the various aspects, in each domain in which the SI can have impacts. More information is provided in section 6.2.10.1, Part IV and Annex 1 (questions H.e.2.1-2-3-4).

6.2.9. Evaluation questions

The SIMRA evaluation approach seeks to answer evaluation questions based on a set of evaluation criteria. Examples of evaluation questions related to the most commonly used evaluation criteria are provided in Table 12. Questions are suggested separately for "SI process", "SI project" and the whole "SI initiative". These are preliminary suggestions and questions, in line with what is classically proposed for the evaluation of projects. They are provided as general examples of what the evaluators can use. However, other additional criteria (and related questions) are expected by the end of the SIMRA project, to be reported in Deliverable 4.3. This will be based on the application of the preliminary evaluation method to the selected SIMRA case studies, as social innovation issues may arise during the field work in the case studies.

⁹⁴ Borgatti *et al.* (1998) operationalise connections among actors, by identifying their position as either internal or external to the actor under study. Relations within and among actors of a SI initiative can be defined according to the following three categories: (i) relationships *external* to an individual actor, (ii) relationships *internal* to a collective actor, and (iii) relationships *external* to a collective actor.



Table 12. Examples of evaluation questions related to evaluation criteria of the SI process, SI project and SI initiative.

SI Evaluation questions	Relevance	Efficiency	Effectiveness	Impact and sustainability
SI process	Is the SI process consistent with the contextual conditions? Is the reconfiguring of social practices consistent with the aims of local policies?	How much time has the SI process required?	To what extent were/are the objectives of the SI process achieved/likely to be achieved? What were the major factors influencing the achievement or non-achievement of the objectives of the SI process?	What has happened as a result of the SI process?
SI project	Is the SI project consistent with the contextual conditions? Is the SI project consistent with the aims of local policies? Are the activities and outputs of the SI project consistent with the intended impacts and effects?	Were activities cost-efficient? Were objectives of the SI project achieved on time? Was the SI project implemented in the most efficient way compared to alternatives?	To what extent were/are the objectives of the SI project achieved/likely to be achieved? What were the major factors influencing the achievement or non-achievement of the objectives of the SI project?	Which are the positive and negative changes produced by the SI project directly or indirectly, intended or unintended on beneficiaries? To what extent did the benefits of a SI project continue and spread in the local community?
SI initiative	To what extent are the objectives of the SI initiative still valid?	Does the SI initiative display in an efficient way?	To what extent were/are the objectives of the SI initiative achieved/likely to be achieved? What were the major factors influencing the achievement or non-achievement of the objectives of the SI initiative?	What real difference has the SI initiative made to the beneficiaries? What were the major factors which influenced the achievement or non-achievement of sustainability of the SI initiative?



6.2.10. Judgement references: indicators

The method being applied for the construction of indicators has been tested and applied in similar research relating to the evaluation of social capital in local development processes (see Pisani *et al.* (in print)).

In SIMRA, social innovation initiatives in MRAs, analysed at the local level, are deconstructed for evaluation purposes by using an abstraction scale which allows to investigate general, intermediate, specific, basic and then single unit concepts (Corbetta, 2014). The scale of abstraction is applied to the evaluation of social innovation in MRAs, allowing the categorisation of social innovation, its dimensions, sub-dimensions, components and indicators. The disaggregation of concepts for evaluation purposes allows the organisation of the evaluation by linking the general concept of social innovation in MRA to its intermediate concepts (dimensions of SI); the intermediate concepts (dimensions of SI) to specific concepts (SI sub-dimensions); the specific concepts to basic components (SI indicators); and finally, the basic components (SI indicators) to single unit concepts (variables to be measured). The variables are then linked to questions in the survey and tailored to five different categories of respondents: the key informants of the SI initiative, the clique, the network members, the project partners and the beneficiaries of SI project. All these elements are detailed in Table 13.



Table 13. Structure of the evaluation practice for social innovation in MRAs.

CONCEPTUALISATION		EVALUATION PRACTICE				
<i>Scale of abstraction</i>	<i>Elements of evaluation</i>					<i>Statistical tools</i>
General concept	Social Innovation in MRA					Composite indices
Intermediate concepts	Dimensions					Indices
Specific concepts	Sub-dimensions					Composite indicators
Components	Indicators					Indicators
	<i>Survey at local level (each single SI initiative)</i>					
Single unit concepts (single questions in the survey questionnaire)	<i>Questionnaire 1 Key informants</i>	<i>Questionnaire 2 Clique</i>	<i>Questionnaire 3 Network</i>	<i>Questionnaire 4 Project partners</i>	<i>Questionnaire 5 Beneficiaries</i>	Variables to be measured
Unit concept 1	X ₁					Variables of unit concept 1
Unit concept 2		X ₂₋₂		X ₂₋₄		Variables of unit concept 2
Unit concept 3			X ₃			Variables of unit concept 3
Unit concept 4	X ₄₋₁		X ₄₋₃	X ₄₋₄		...
Unit concept 5		X ₅₋₂	X ₅₋₃			...
Unit concept 6				X ₆₋₄	X ₆₋₅	...
Unit concept ...	X _{...}	X _{...}	X _{...}			...

Source: Pisani *et al.* (in print) – mod.

Data on the variables will be collected by means of interviews with the five categories of actors. The data collection tools are questionnaires (one for each category). The variables included in the proposed evaluation method are of different types, depending on how they are constructed. Variables within the X_n type are based on a question posed either to one actor or another (i.e. one question can be posed only to one category of actor, such as key informants). Variables within the X_{n-n} type are based on the same question posed to more than one category of actor (e.g. X₂₋₂ and X₂₋₄ are based on the same question posed to both clique and project partners on the same single unit concept). This approach allows to operationalise a statistical method for evaluating SI in MRAs where the different concepts are measured at diverse levels of aggregation. Different types of statistical tools will be developed and used, depending on elements to be evaluated. In particular:

- Composite indices* will be used if referred to the general concept (SI in MRAs)
- Indices* will be used if linked to dimensions of SI in MRAs (intermediate concepts)
- Composite indicators* will be used if connected to sub-dimensions (specific concepts)
- Indicators* - with the same wording for both the evaluation and statistical methods - will be used for components.

The value of each indicator will be calculated from responses to one or more questions, as well as from responses across one or more of the five questionnaires. Each question has its own range of responses. For



example, they can vary from [0-1] in case of a [No-Yes] answer, to a [1-10] for a Likert scale or to [0-100] in the case of a rate. Each indicator is calculated from questions, regardless of the range of responses. The methodological process for the calculation of each indicator will follow a standardised format, which will include the question or questions from where it is derived (i.e. questionnaire 1, 2, 3, 4, 5), the possible responses with coding for each response, as well as the range of the responses (see Figure 24).

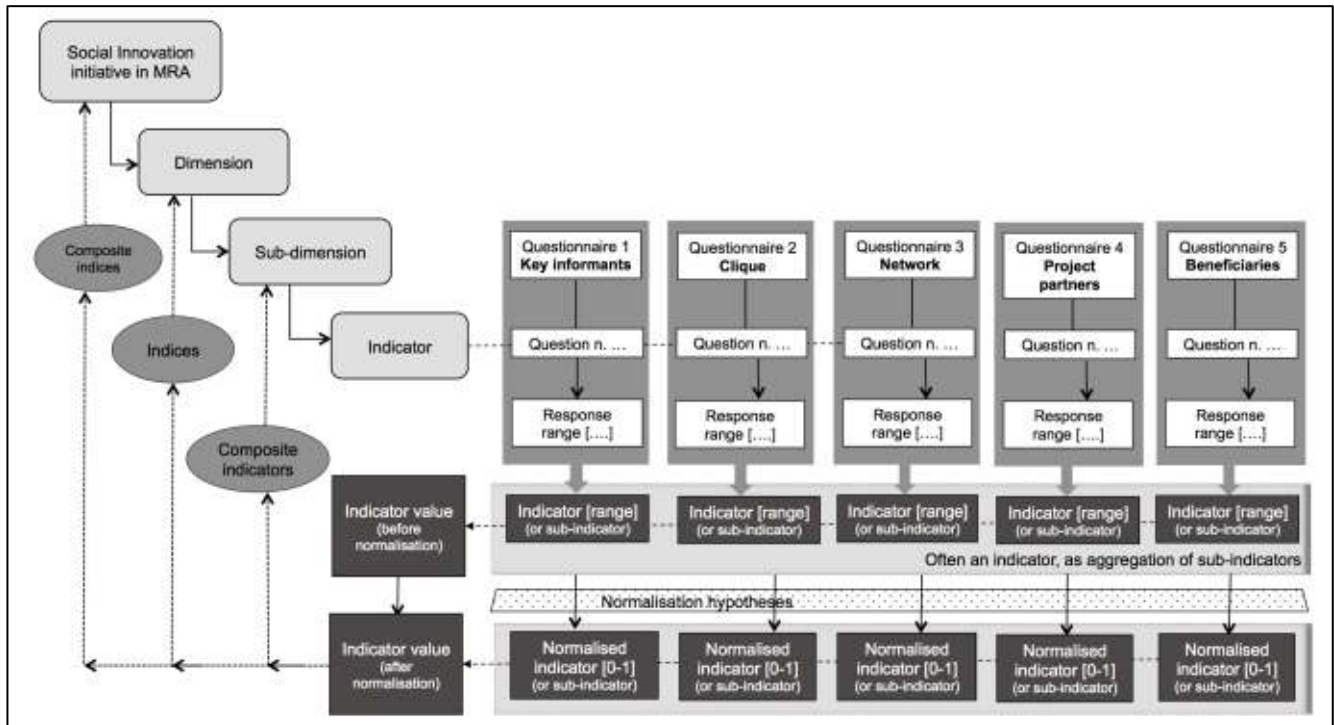


Figure 24. Social innovation composite indices, indices, composite indicators and indicators. Source: Pisani et al. (in print) – mod.

Some of the indicators proposed for the evaluation of social innovation and its impacts will be calculated through indices used in the Social Network Analysis (SNA), an approach that has been increasingly used in a wider set of fields of application because it highlights the central role that networks play in social relations (Borgatti *et al.*, 2002 and 2009; Bodin *et al.*, 2006; Ingold, 2008; Borgatti *et al.*, 2009; Secco *et al.*, 2014; Pisani *et al.*, in print), and in the evaluation of local development projects and programmes (e.g. Pisani & Laidin, 2016). As Scott (2013) explains, SNA shows how actors (points or nodes) are connected through relationships (lines or ties) visually, through graphs.

Different types of relationships can be identified through direction and thickness of the lines. SNA uses also matrices of data that are “oriented”, “non-oriented”, binary (1 = presence of linkage; 0 = absence of linkage) or expressed through numerical values that identify the “strengths” of relationships. In addition, SNA uses indices that may be grouped as three main typologies: (i) indices which describe the whole network structure, (ii) indices referred to the role of actors inside the network, and (iii) measures of the subgroups (Chiesi, 1999). In the SIMRA project, SNA will be adopted to analyse (i) exchange of information; (ii) friendship; (iii) informal collaboration; (iv) formal collaboration; and (v) trust among members of the network. Each relationship will be binary (presence or absence), and non-oriented. Data will be analysed with UCINET, a software package for analysing social network data developed by Steve Borgatti, Martin Everett and Lin Freeman (2002) and with GEPHI open source software developed by Bastian and Heymann (2009). The main SNA indices that will be used will be: density (the proportion between the number of ties and all possible ties among nodes), isolated nodes (the number of nodes which have no contacts with any node), measures of centrality (when the position of the actor is measured in relation to other actors in the network), and core/periphery analysis (the core is the sub-group with the maximum density). These indices will be applied to measure relationships among actors depending on the social innovation network considered.



As explained above, each indicator will have its own range that will be tied to the scale of measurement of the data. The normalisation of the indicator's values will be required because the scales of measurement used are different (Figure ZZZ). Comparison between different indicators with different ranges would be possible only after normalisation, which would transform indicators' values to a unique scale [0-1]. The values could then be comparable and aggregated at different levels of the abstraction scale. Possible normalization techniques to be used areⁱ: (i) normalisation through the maximum and minimum range expected in the indicator; (ii) normalisation through the higher and lower values observed in the distribution of data collected in all the case studies; (iii) normalisation by using quartiles, where maximum scores are given to values above the third quartile, a 0.5 score to values between the first and third quartile, and a null score to values that are below the first quartile; (iv) normalisation by clusters, where by looking at the distribution of values obtained, case studies are divided in three clusters and normalisation assigns maximum scores to the highest cluster, a 0.5 score for the cluster in the middle, and a null score to the lowest cluster.⁹⁵

Indicators will be calculated at the lower level of the aggregation process, which means that they directly derive from the questions (also called single unit concepts) in the survey. At this level, they refer to the components of social innovation. At the level of sub-dimensions, the indicators are aggregated into composite indicators (or specific concepts), at the level of dimensions the composite indicators are aggregated into indices of social innovation (or intermediate concepts). At the higher level (general concepts) the indices are aggregated into composite indices of SI and its impacts in MRAs. During the aggregation phase, the same weight, by way of a simple mean, will be given to each of the different components considered, independently of the number of indicators included. This is the simplest approach to aggregation. Evaluators and researchers could adopt a multi-criteria analysis based on expert consultation and use it to differentiate the weights given to the identified sub-dimensions. However, further research would be needed to ascertain the impacts of different weighting techniques on results.

6.2.11. Methodological design: analysis of impacts

Impact evaluation "figures among a broad range of complementary methods that support evidence-based policy" being "a particular type of evaluation that seeks to answer cause-and-effect questions" (Gertler *et al.*, 2016: 7). Unlike other types of evaluation, which can answer descriptive or normative types of questions (see Section 5.1), impact evaluations are structured around a "basic question: *What is the impact (or causal effect) of a programme on an aspect of interest?*" (ibidem: 8). Other possible, similar questions are: "*How much better off are the beneficiaries because of the programme/policy?*"; "*How would outcomes change if changed program design?*". What is important in impact evaluation is only the effect on outcomes that the policy, programme/ or event causes directly. Therefore, impact evaluation is used to isolate the effects of a well-defined cause (e.g. a policy, a programme, a project or an event) with respect to the effects determined by other different causes. "An impact evaluation looks for the changes in outcome that are directly attributable to the programme" (ibidem: 8) (or policy, event, etc.). "The focus on causality and attribution is the hallmark of impact evaluations and determines the methodologies that can be used. To be able to estimate the causal effect or impact of a programme on outcomes, any method chosen must estimate the so-called counterfactual, that is, what the outcome would have been for programme participants if they had not participated in the programme. In practice, impact evaluation requires that the evaluator find a comparison group to estimate what would have happened to the program participants without the program" (Gertler *et al.*, 2016: 8). Figure 25 shows a conceptual diagram of the impact evaluation as applied to a SI initiative. In practice, as mentioned, the idea is to compare a situation actually observed (i.e. the SI initiative case study to be evaluated) with a counterfactual situation (i.e. the same case study area in case there would not have been the SI initiative).

⁹⁵ In statistics, normalisation can have multiple meanings. In simple terms, normalisation of ratings identifies the adjustment of values measured on different scales to a notionally common scale. In more complex cases, normalisation can refer to sophisticated adjustments where the intention is to bring the entire probability distributions of adjusted values into alignment (Dodge, 2003).

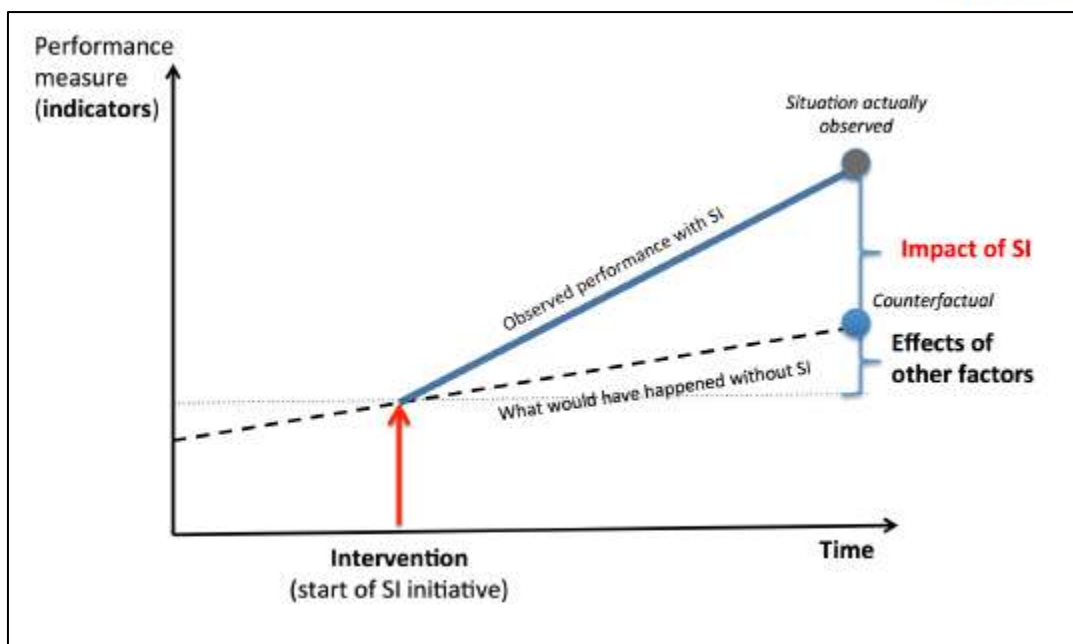


Figure 25. Conceptual diagram of the impact evaluation of SI. Source: SIMRA Research team.

In summary, impact evaluation is an assessment of the causal effect of a project, a programme or a policy on beneficiaries (with respect to non beneficiaries). It uses a counterfactual to estimate what the state of the beneficiaries would have been in the absence of the programme (the control or comparison group), compared to the observed status of beneficiaries (treatment group), and to determine intermediate or final outcomes attributable to the intervention (Giraldo, 2017 – pers. comm.).

The basic cause-effect question can be applied to many contexts and fields of analysis. As mentioned, impact evaluations are typically used “to inform policy makers on a range of decisions, from curtailing inefficient programmes to scaling up interventions that work, to adjusting programme benefits, to selecting among various programme alternatives” (ibidem: 8). Therefore, they can be used also to evaluate the impacts of a certain event i.e. in technical terms a “treatment” or an “intervention”⁹⁶ (such as a social innovation initiative established in a marginalised rural area) on the economy, society, environment and governance at various spatial and administrative levels.

In SIMRA, it is proposed to use two different approaches to impacts evaluation, depending on the case study to be evaluated. In the following, both of which are summarised below.

6.2.12. SIMRA approach 1 to impact evaluation

The approach is based on the use of counterfactuals, typically “before-after”. The measurement of changes are based on perceptions of interviewed people and/or secondary data that only show general trends and cannot be directly and clearly correlated to the analyzed SI initiative. In this case, observable changes can be due to the SI initiative and to other, not clearly identifiable, factors (e.g. a generalized improvement in the economic conditions because of global dynamics, a new policy that was introduced in the area not targeted to SI, etc.) the effects of which cannot be isolated from those due to the SI initiative.

Approach 1 to impact evaluation will be adopted in all SIMRA case studies.

In the proposed data collection tools (semi-structured interviews for the focus on policy analysis and structured interviews for the focus on the quantitative data of SI evaluation), specific questions are included to identify the perceived changes (i.e. the outcomes and impacts, such as the context in relation to one or more

⁹⁶ Intervention/treatment/program/policy: A well defined intervention targeted to a well-defined population, whose members can in principle be (self-)assigned to/(self-) denied the intervention, with the purpose of inducing a change in a Well defined state and/or behaviour of the units exposed to the intervention (source: Giraldo, 2017).



of the four domains, after the SI initiative has been implemented). An accurate formulation of questions to capture and evaluate retrospectively the events is needed in order to correctly collect data, minimize biases and reduce the risk of collecting useless information. Statistical techniques such as the use of diaries, checklists, aided recall measures and bounding measures (Van Der Vaart *et al.* 1995, Belli *et al.* 2013, Van der Zouwen *et al.* 1993), can be applied to achieving this goal.

The issue of the identification of impacts (i.e. what impacts are determined by the SI initiative on the environment? What impacts on social aspects? etc.) has to be discussed in focus group in each case study (see Part IV for more details).

Any activity developed and implemented by an organisation might have impacts that can be more or less relevant, i.e. they have longterm consequences on a large portion of the territory and/or a high number of persons, or they do not significantly affect the economy, the society, the environment and the institutions because they have only temporary effects at a small scale. It would not be possible to identify and analyse all the different impacts on all the four domains in relation to a SI initiative in a MRA. To do this would be time consuming and, in certain circumstances, it would not make sense from a technical point of view. If the impacts are very limited, for example because the SI initiative is very punctual, and/or it does affect a very small group of persons in a small remote area, then it might not be necessary and correct to evaluate them in details and/or by using statistical techniques (see Approach 2 in Section 6.2.10.2). To select those impacts that are relevant enough for being evaluated in detail in SIMRA it is proposed the adoption of the concept of *significant impact*⁹⁷. In the case of impacts on environment, the guiding idea is that the SI initiative itself (and in particular the “Agency”) has to identify all its potential environmental aspects (i.e. all those aspects which the SI is likely to impact⁹⁸). However, after a first screening based on broad categories, only those classified as significant environmental aspects and impacts will be taken into account and analysed more in detail in the evaluation. A similar approach can be adopted in any domain: in relation to environmental aspects, and in relation to the economic, social and institutional. In order to facilitate the identification of the aspects, four lists (one for each domain) of possible aspects taken from the literature have been drafted. To facilitate the selection of the significant aspects and related impacts, a set of guiding criteria is proposed, which includes: 1) level of control and influence; 2) sensibility of the context; 3) frequency; 4) intensity; 5) risk. Details on both (i.e. lists of aspects and criteria for identifying significant aspects/impacts) are provided in Part IV.

Whether the lists are complete, comprehensive, clear and functional to the evaluation, the use of the significant impact concept and the criteria for its application, as well as details on how to process, analyse and interpret the data and interviews results on the outcomes/impacts will be refined after the data collection tools are tested in the selected SIMRA case studies. This will enable the selection of a quick, easy and effective way to deal with this complex and key issue. The full methodology will be finalized and reported in Deliverable 4.3.

6.2.13. SIMRA approach 2 to impact evaluation (in the statistical meaning of the term)⁹⁹

Evaluators have to be aware that the evaluation of impacts determined by an intervention/treatment (a policy, a programme, or any event such as a social innovation initiative), in the statistical meaning of the term, is a

⁹⁷ This was introduced initially by the international standards ISO 14001:2001, recently updated into the ISO 14001:2015 version, designed for industrial organisations for implementing and keeping under control environmental management systems. However, it can be adapted to SIMRA needs. In short, this approach is based on an active role of the organisation that wants to identify and keep under control its environmental impacts and that it is evaluated (by an external, independent entity, i.e. an accredited certification body) respect to its compliance with the compulsory current environmental laws and with this voluntary commitment. The guiding idea is that the organisation has to identify, firstly, all its “environmental aspects”, but then only those that are classified as “significant environmental aspects” - i.e. those having “one or more significant environmental impact/s” - will be taken into consideration and analysed in detail during the evaluation. In order to select ‘significant environmental aspects’, organisations typically adopt a set of criteria, including: 1) level of control and influence; 2) sensibility of the context; 3) frequency; 4) intensity; 5) risk.

⁹⁸ Lists of possible impacts are provided in Part IV of the current Deliverable 4.3.

⁹⁹ This paragraph was written with the help of Anna Giraldo and Maria Castiglioni.



time consuming, technically complex and costly procedure. Consequently, whether and when such an impact evaluation is needed and appropriate has to be carefully considered by evaluators on a case-by-case basis. In SIMRA, this screening and decision is part of the tasks of the CS Teams, with the support of Work Packages 4 and 5. In the following, general guidelines are provided to support them in understanding and dealing with this important step of the evaluation. Further details are provided in Part IV.

In which cases to apply an impact evaluation in the statistical meaning of the term

According to Gertler *et al.* 2016 (p. 8), impact evaluations are “most effective when applied selectively to answer important policy questions, and they can be particularly effective when applied to innovative pilot programmes that are testing a new, unproven, but promising approach”. In general, this means that it is appropriate to perform an impact evaluation when programmes to be evaluated have a large scale of application (i.e. having high number of people treated, large areas affected, high amount of financial resources allocated), and thus it is likely to have significant impacts. In general, impact evaluation can be useful and appropriate when the project/intervention to be evaluated is: innovative, replicable/scalable, strategically relevant, influential and when evaluation will fill knowledge gaps (Gertler *et al.* 2016). It can also be used within a programme to test alternatives and improve programmes. However, in some circumstances, impact evaluation is neither ethically correct/useful, from a political point of view (e.g. costs of evaluation are too high and collected information are too specific for being valuable to guide policy reforms), nor technically feasible from a statistical point of view (e.g. the counterfactual case does not exist). Therefore, in defining whether or not to use impact evaluation in SIMRA case studies, it is necessary to evaluate the technical feasibility case-by-case. Details on this issue are provided in Part IV. The application of the method in SIMRA needs to be tested and therefore will be finalized in Deliverable 4.3.

How to design an impact evaluation in the statistical meaning of the term

This section describes the main evaluation steps and methods that can be used to apply an impact evaluation in the case impact evaluation is considered feasible according to Error! Reference source not found.. The methods are focused on how to find suitable comparison groups. “The basic form of impact evaluation will test the effectiveness of a given programme. I will answer the question, *Is a given programme effective compared to the absence of the programme?* [...] This type of impact evaluation relies on comparing a treatment group that received a project, programme, or policy to a comparison group that did not in order to estimate the effectiveness of the programme” (Gertler *et al.* 2016: 8). The quality of the comparison group makes the difference in the accuracy and statistical correctedness of the evaluation. In designing an impact evaluation, in the statistical meaning of the term, evaluators have to ask three key questions: i) *When the evaluation is carried out?* ii) *What is the scope (in particular, what are the target population, the treatment and the outcome variable)?* iii) *Which are the most appropriate statistical techniques to apply?*

In the approach proposed, the questions posed are addressed as follows: i) in SIMRA case studies the evaluation is always retrospective (i.e. ex-post); ii) the target population, the treatment and the outcome variable/s have to be identified case-by-case; and iii) the recommended statistical technique is a combination of the propensity score matching with the difference-in-differences method. The following boxes LL, PP and FF provide details on each of these questions and motivations for answers. Practical instructions on how to deal with these issues in the case studies are provided in Part IV of this deliverable.



Box 21 – When the evaluation is carried out?

In answering the “when?” question in SIMRA, evaluators have to consider the special nature of SI, that is a spontaneous event, that can be stimulated (or obstructed) but cannot be forced to happen (e.g. by means of a public intervention or compulsory rules). As a consequence, only retrospective evaluations¹⁰⁰ (Gertler *et al.* 2016) are possible, i.e. evaluations that are carried out only once the SI initiative started, and that cannot be planned or designed in advance with respect to the SI intervention. This implies that baseline data (when existing) are typically poor, and that counterfactual estimates are more difficult.

Box 22 – What is the scope of the evaluation?

Three key features of any SI initiative that have to be evaluated and answer to the key question of “what?” are the following: 1) the target-population; 2) the intervention, and 3) the outcome variable.

The *target population* is a well defined set of units upon which the intervention may operate, at a given time; units can be, e.g. individuals, households, organisations, networks, villages, or other entities at higher levels of aggregation (e.g. municipality, provinces, regions, countries, etc.), the “borders” and characteristics of which should be clearly identified by the evaluators.

The *intervention (or treatment)* is the set of activities put in operation by the SI initiative to address an issue of the target population. The treatment is intended to have an effect on the outcome variable. The analyst aims to assess the effect of the treatment on that variable with respect to no intervention. In order to reduce complexity and make the evaluation feasible, an intervention should consist of a single treatment (i.e. of a single SI project)¹⁰¹.

Finally, the *outcome variable* is an observable characteristic (α a measurable aspect) of the units of the population, on which the intervention may apply/not apply, and in principle may have an effect on (α impact). The variable must be a characteristic of the person/unit that can be observable even in the absence of the treatment. In SIMRA, we propose that outcome variables are selected among those variables directly connected with societal well-being.

Box 23 – Which are the most appropriate statistical techniques to apply?

The last key question to be answered is “how?”, in relation to the most recommended techniques and methods for carrying out impact evaluations. The proposal is to perform an impact evaluation is to find a comparison group that share the same characteristics of the treated group. The comparison group should be identical to the treated group except for the treatment. The differences found in the outcome variables between the two identical groups could be then imputed to the treatment. The best way to obtain an identical comparison group is a randomization, i.e. units divided randomly to the treated or comparison group. As said before SI initiatives are spontaneous, in some sense not planned by the policy makers, and therefore a randomization is an unrealistic solution to enrol people in the treatment/comparison group.

An ex-post way to proceed is to build a fake comparison group, i.e. a comparison group that has the almost the same characteristic of the treated group and it is not affected at all by the treatment. A technique to obtain such a comparison group is the matching (Gertler *et al.*, 2016). Called X the characteristics of the

¹⁰⁰ Vice versa, prospective evaluations are developed at the same time that the program to be evaluated is designed. This allows for assuring good baseline data, evaluating intended results and defining in advance the treatment and the comparison groups. This is NOT applicable in the case of SI in MRAs.

¹⁰¹ This means that, in case of multiple treatments (e.g., multiple projects developed and delivered by a single SI initiative to the same target population), the treatment taken into consideration for evaluation will be the most important. See Part IV of Deliverable 4.2 for details. It is important to mention that this applies also to the first approach adopted for impact evaluation in SIMRA (i.e. the one that is not based on statistical techniques).



treated unit, a donor should have the same values of X ; in other words the donor should be a clone of the treated unit. Since a perfect matching is impossible to find, a techniques that permits to consider as much characteristics of an individual and to match based on it, is the propensity score matching.

A propensity score (defined as the probability to enrol in a treatment conditional to X , Rosenbaum and Rubin, 1983) is an index that summarizes the characteristics of an individual in number (transform a multivariate problem in a univariate one). Therefore, the matching is done on the value of the propensity score. There are several methods for choosing the closest match (or matches) based on the propensity score (stratification matching, kernel matching, nearest neighbour, etc.). The choice of the best one is conducted on the basis of sensitivity analysis (Dehejia and Wahba, 2002). In general, statistical errors and inaccurate measurements due to selection bias or extraneous factors are always possible, as “perfect clones” of any treated units do not exist in practice. However, the biases connected with potential selection errors (depending for example on how the treatment group is chosen) and inaccurate measurements can be minimized, or at least reduced, by combining different methods.

One of the methods more frequently used in combination with matching techniques is the so-called difference-in-differences (DD, DID or diff-in-diff) method (Gertler *et al.*, 2016). DD is a statistical technique typically used in quantitative research in social sciences that uses observational data to study the differential effect of a treatment on two comparable groups, a “treatment group” versus a “control group” (i.e. the counterfactual). It estimates the effect of a treatment (independent variable) on an outcome (dependent variable) by comparing the average change over time in the outcome variable for the treatment group, compared to the average change over time for the control group. Although it is intended to mitigate the effects of extraneous factors or control group selection bias, DD may still be subject to certain methodological problems and potential biases (such as reverse causality or omitted variable bias). Matching techniques, and in particular propensity score matching, can help to reduce these problems, as they allow to identify a comparison group that is as much similar as possible to the treatment group, in terms of the observable variables. The possible drawback of the matching diff-in-diff is related to the availability of data, since information on outcome variable is needed not only after the implementation of the SI intervention but also at the baseline for both groups treated and control.

6.2.14. In summary: SIMRA approach to impact evaluation

On the basis of previous considerations, and because of the nature of impact evaluation, an impact evaluation will be applied in SI case studies by adopting two different approaches, depending on the case. An impact evaluation based on statistical techniques will be applied only in those specific SI case studies where such a type of impact evaluation is technically feasible (if any). The identification of the cases to be evaluated by means of statistical techniques of impact evaluation will be performed case by case in the initial steps of the evaluation process, in collaboration with Work Package 5 and each Case Study Team. Those case studies that have the minimum basic characteristics for being evaluated using the proposed statistical techniques will be used as exploratory-explicatory case studies to demonstrate SI impacts in MRAs, for checking how an impact evaluation of this type should be implemented in practice. They will be used for cross-checking whether the analysis based on stakeholders' perceptions on changes (based on primary data and qualitative methods) is consistent/aligned with the findings based on the statistical techniques of impact evaluation (based on secondary data and quantitative methods). To focus the evaluation on key impacts (to reduce costs and capture the real meaning and consequences of SI), the method is based on the identification of significant aspects and impacts on the economic, social, environmental and institutional domains. The reasons for considering an impact as significant have to be explained, by means of storytelling (if secondary data are not available at the level of detail required), and/or on the basis of fact-based evidences (if secondary data exist and are accessible for free at the needed level). The questions in the SIMRA method will be submitted to all the target populations (from innovator(s) to indirect beneficiaries), and/or used to guide the discussion in the focus groups, so that triangulations will enable checks on whether the perceptions on impacts are convergent between actors.



6.2.15. Methodological design: policy analysis

In this section¹⁰², we explain how policies supporting (or hindering) SI can be identified both at higher institutional levels, at the local level and how the analysis can be carried out. The methods of data collection and analysis of the policy implications for SI follow the Innovation System¹⁰³ Approach (Rametsteiner *et al.* 2005; Weiss *et al.* 2011), and focus ex-post on actors, institutions and policies that are relevant for the SI.

A step-by-step approach is proposed for data collection (based on qualitative interpretative approach) that focuses on the analysis of policy processes and implications for SI in MRAs. The approach is based on three main steps: (i) identification and analysis of policy documents; (ii) analysis of policy implications at the local level, i.e. in SIMRA case studies of social innovation; and (iii) validation of findings by cross-checking document analysis with surveys of local actors. An additional fourth step might be necessary: matching the results from the evaluation carried out at the local level with those from an analysis carried out at higher jurisdictional levels (in case policy gaps emerge from the previous steps). The three (plus one) steps are briefly explained below. Practical instructions for evaluators (currently, for SIMRA Case Studies Teams) and a scheme to graphically represent it within the overall integration between qualitative and quantitative methods are provided in Part IV.

Step 1: Document analysis (desk-top research)

The first step is the identification of relevant policy documents. This step is intended to identify and examine policy assumptions, discourses, problem frames, regulatory approaches and policy instruments that support or hamper effects of SI in MRA. Relevant policies are chosen from agriculture, forestry, rural development, welfare, labour markets, technological innovation, social innovation, regional development, etc. The focus is on policy processes that are relevant at international, national and regional levels but are expected to have effects at a local level. The identification of policy documents has to be carried out by both online searching (literature analysis, institutional web sites) and interviews of local stakeholders. Documents relating to local interpretations of international, national or regional policies (e.g. brochures) should also be taken into consideration. The methodology is based on content analysis of documents. This can be done by means of classical approaches (e.g. direct identification and extraction of "citation" from the document text) and/or by means of the application of softwares specifically for text analysis (e.g. NVIVO, MAXQDATA or others). Other information is provided in Part IV.

Step 2: Analysis of policy implications at the case-study level (field research)

This step focuses on an analysis of policy implications based on interviews of local actors. They include innovator(s), follower(s), land owner(s), opponent/s, beneficiarie/s, people from political administration in the region/area, project partners such as businesses, consumers of SI products and services. These local stakeholders (including public authorities) may recognise the existence of policies that support SI directly or indirectly; in some cases, they may not be able to recognise the role of policies specifically targeted for social innovation, or frame strategically a social innovation against imposed policies to promote a local level response. The initial sub-step of this part of the analysis is the identification of actors (see Part IV).

Knowledge of policies at the local level refers to knowledge of available possibilities (enabling and/or constraining) and the (local) perceptions of effectiveness, which need to be validated with an analysis carried out at the regional, national or international levels. In the field research, the main methods applied are semi-structured interviews, based on open-ended questions and possibility for the interviewer/evaluator to interact

¹⁰² The methods for analysing policy implications on SI are developed jointly by Work Packages 4 and 6.

¹⁰³ The approach analysis proposed for the case studies follows the innovation systems approach (Edquist, 1997; Asheim and Gertler, 2005). Innovation systems have been categorised into national innovation systems, regional innovation systems, local innovation systems, technological innovation systems and sectoral innovation systems (Lundvall, 1985). Examples for the application of this approach in innovations in the rural forest sector are provided in Rametsteiner *et al.* (2005), Kubezko *et al.* (2006) and Buttoud *et al.* (2011). While there is no consensus on the exact definition of an innovation system, and the concept is still emerging, there is an agreement on the necessity to include dynamic influences of actors and institutions on innovation



with the interviewee in a flexible way (i.e. adapting the sequence of questions to his/her attitudes and flow of concepts, statements - storytelling). Details of the proposed structure of the semi-structured interview guides for SIMRA policy analysis are provided in Part IV.

Key questions are, for example: *“Which policies supported you?”* and *“How the legal institutions (the policy settings and regimes) influence the emergence and maintenance (or withdrawn) of the SI case?”* These questions, in evaluative terms, are not cause-effect questions (see Section 5.1). Rather, they are typically descriptive questions that refer to the evaluation of the perceived effectiveness of the policies, and not to an evaluation of policies impacts in the statistical meaning of the term (see Section 6.2.10.2). The key aspects that the interviews target are: general backgrounds and objectives of the SI; sources of ideas, spill over and upscale; the role of policies (e.g. targets, subjective perception of support by policies, types of support in terms for example of finances, information, etc.); financial situation and maintenance of the SI; coordination, cooperation and conflicts; internal evaluation of the SI initiative (e.g. identification of success or hindering factors) and future prospects. An important part of the analysis is the qualitative identification and interpretation of impacts, or more correctly, we should consider effects in order to clearly differentiate them from those impacts of SI that will be measured by means of statistical techniques).

Step 3: Validation of findings (mixed-approach)

In this final step, the method is based on a dynamic activity of cross-checking to be performed by analyst(s). The policy analysts (evaluator(s)) have to move back and forward between the field observations (data collected in the second step based on interviews and/or questionnaires to local stakeholders and institutional authorities) and the documents. After the initial interviews, desktop research is undertaken, followed by more interviews, until “saturation”. In practice, more interviews with stakeholders have to be undertaken until enough information about the case is obtained. This is called a “mixed approach” (between the desk-based text and the field). This final step is necessary for cross-checking consistency between what is stated in the policies (e.g. policy document formulated at higher institutional levels, such as EU regulations and regional laws) and what happens in practice (e.g. how policies effects the local scale, in terms of perceptions expressed by stakeholders and/or in terms of impacts to be measured by means of statistical techniques). The desk-top step of analysis helps to identify incongruences and/or inconsistencies between the policy as designed, communicated and perceived by high level policy makers, and the policy effects in practice at local level. For example, when a question such as *“Why does this predefined (and so nicely formulated) regulation not produce effects in the field?”* emerges during the interviews with a policy maker, it helps to identify cases of non-effectively activated/delivered policy or regulation, or inconsistencies between conflicting norms. Inconsistencies amongst policies and incongruences between policies and practices are important issues to understand. Policy-practice incongruencies may have different causes. For example, the innovator(s) were not informed of the possibilities for policy support. This lack of information can be due to a lack of communication of the policy from higher institutional levels; or, it can be due to a low capacity of the local innovator(s) to interact with higher levels (e.g. they do not have direct contact with higher levels or do not know how to use the institutional channels for getting information). Another issue to consider is the way in which actors avoid, circumvent or divert regulations. Other constraints can be irrelevancy of the policy to the specific case. By means of such a complex and qualitative-interpretative based analysis, the causal relation between a policy and its effects is neither automatic nor always clearly identifiable.

Step 4: Policy experts' consultation

Additional instruments to be used in the SIMRA evaluation method are interviews to policy experts at higher jurisdictional levels with respect to the local one. These policy experts can be, for example, representatives of public authorities working in the agriculture, forestry and rural development fields as well as on innovation at regional or national (or even international, EU) levels. They are typically identified as national experts or key informants; they can be, for example, regional rural development planner(s). Whether and how to carry out a set of interviews at these higher levels is a matter to be carefully considered case-by-case, as this would require an understanding of whether inconsistencies or incongruences exist in the specific SI case. These



instruments can be used mainly in the specific case that inconsistencies/incongruencies are identified, to complement the analysis carried out at local level.

This approach has some advantages (e.g. reduction of costs and simplification of analysis) and disadvantages. In particular, (i) it does not allow a complete understanding of the positive factors and supporting governance/institutional mechanisms that eventually lead to congruences and consistencies (the opinions and interpretations of the policy makers at higher institutional levels would be missing), and (ii) it would not facilitate access to some information about the effects of SI on policy reforms. While interviewing local actors and analysing policy document will enable evaluators to understand implications of policy on social innovation (i.e. the cause is the policy and the effect is the social innovation), they would also need to interview policy makers and other key informants at higher governance levels to understand whether and how SI possibly had effects on policy and governance (i.e. the cause is the SI and the effect is the policy or governance reform at higher level). This part is connected with the “Learning process” dimension of SI as identified in our evaluation framework (see Part II). However, some techniques exist (e.g. Delphi method) to minimize the efforts of possibly complement the analysis carried out at local level with this, as face-to-face interviews are not strictly necessary and key informants can be contacted on remote (e.g, by phone or Skype). Other information is provided in Part IV of this deliverable.



This project has received funding from the European Union's Horizon 2020 research and innovation programme under Grant Agreement No 677622



PART IV – INSTRUCTIONS FOR ASSESSMENT AND EVALUATION FOR WP5 AND WP6



7. Instructions for the Pilot Test of the Assessment and Evaluation

Methods in Pioneer SIMRA Case Studies

7.1. Steps of Evaluation Method

Instructions are provided for both the quantitative analysis of SI in MRAs and its effects for the case studies at the local level and the qualitative analysis for related policy processes and implications. These instructions describe the five steps on which the assessment activities are based, and directions for Work Packages 5 and 6 to conduct the pilot test on 2 to 3 selected pioneer SIMRA case studies¹⁰⁴. The main aim of the pilot test is to check the preliminary proposed set of methods and tools, i.e. to verify whether the overall proposed evaluation approach, process, methods and tools are feasible, effective, complete, clear and connected in a logical sequence. Instructions also provide guidance on the provision of feedback to Work Package 4 for developing improvements in the evaluation framework.

The evaluation method presented in this Section includes five steps (see Figure 26). These steps are designed to integrate two paths: the qualitative-based, focused on policy analysis and its implications on SI in MRAs, and the quantitative-based, focused on the evaluation of SI initiatives and its impacts at local level. The five steps are outlined below:

- 1) Step 1: Consultation of experts and key informants: pioneer Case Study Teams (CS Teams) initially contact a small group of key (local) informants to provide overall and introductory information on the actors, events, characteristics and dynamics of the SI initiative in the local case study area.
- 2) Step 2: Survey design for the analysis of policy processes and local SI case studies: the identified experts and key informants are interviewed individually through narrative semi-structured interviews; stakeholders and project partners of the SI initiative and a sample of beneficiaries are interviewed through a structured questionnaire (see the preliminary list of questions for the assessment and evaluation of SI in Annex 1). Both the qualitative list of questions and the quantitative questionnaires aim to address the nine dimensions of the SI evaluation framework described in Section 6. As this is a pilot test, only a few actors for each category have to be interviewed.
- 3) Step 3: Interview data are collected and input to Excel databases, and a test on the processing and analysis feasibility carried out. Feedback on the appropriateness of each part of the data collection tools (list of qualitative and quantitative questions) are provided by pioneer CS Teams. Examples of narrative, qualitative and quantitative (mainly descriptive) indicators are drafted on the basis of data collected from the test.
- 4) Step 4 (optional): an additional survey of policy experts could be carried out within the analysis of policy processes, to verify the results from the local case study, if a need became apparent from the interviews (e.g. in case policy gaps are identified). Further, an impact evaluation based on statistical techniques could be set up through the selection of a control group for the evaluation of one or more pioneer case studies, if technically feasible.
- 5) Step 5: The common final reporting is drafted which includes the results from both test analyses.

¹⁰⁴ As previously mentioned (see Part III), these instructions represent a starting point, which the final set of SIMRA evaluation methods will be grounded on. The final integrated set of methods to assess and evaluate SI in MRAs has to be developed in Deliverable 4.3 by Month 40. The structure, contents, methods as well as the overall approach and process of evaluation - also in its practical steps - presented in the current set of instructions will be used as a basis to refine - according to both the results of its application in the pioneer case studies (pilot tests) and in all the other SIMRA selected case studies of social innovation - the methods.

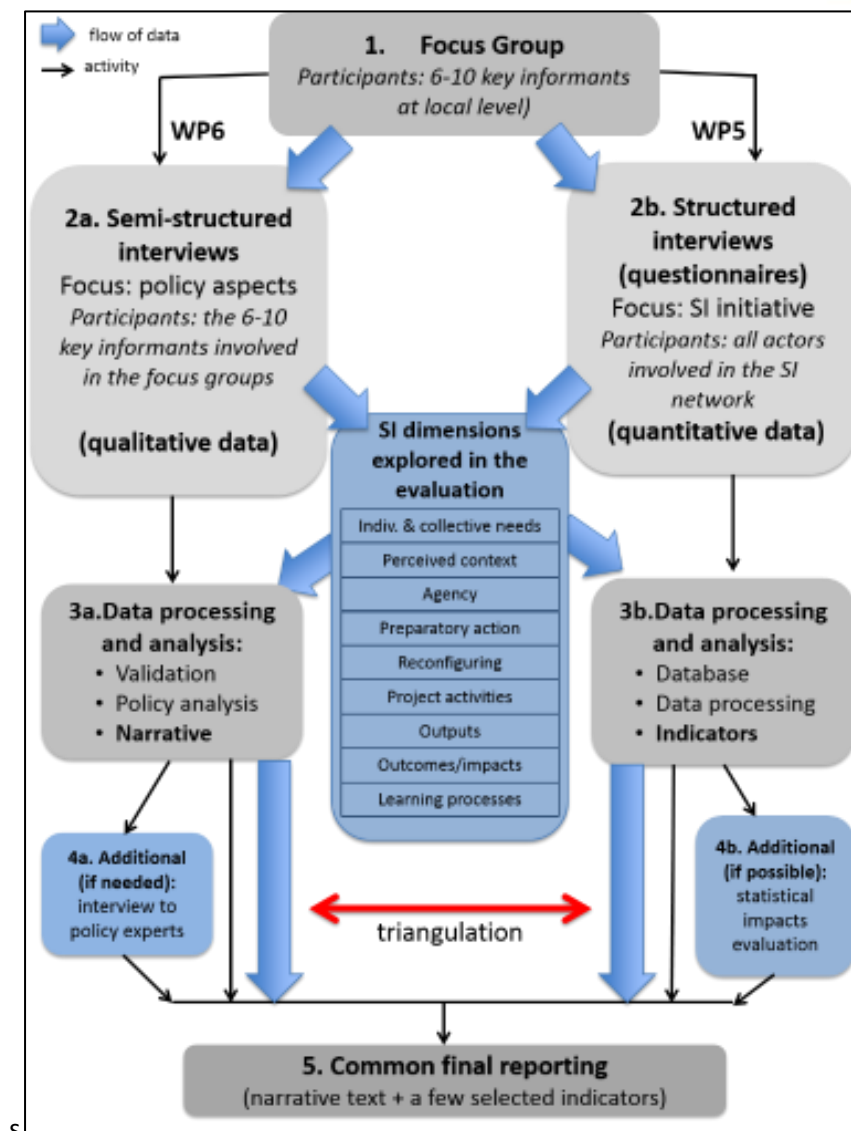


Figure 26. Steps in the assessment and evaluation process in SIMRA.

The pioneer CSs for the pilot test of the methodology should have characteristics similar to those of the SIMRA case studies on which the evaluation method, once refined after testing, will be applied in 2018. As mentioned, rather than focusing on results and data analysis, the pilot test aims to collect information on:

- Challenging unclear or potentially repetitive questions included in the proposed set of questions
- Missing information from the proposed set of questions
- Jargon
- Difficulties in data collection (e.g. management of face-to-face interviews and/or focus groups)
- Estimated interviews length

The manual instructs CS Teams on the target population for each set of questions (Table 18), and provides a summary of the dimensions, sub-dimensions and components, presented in Section 5, as well as the codes of the questions (Table 19), fully listed in Annex 1. Feedback in a written form will be provided to other activities in Work Package 4, and for activities in Work Packages 5 and 6 during the pilot test period (October to December 2017). Detail guidelines to pioneer CS Teams for the process of feedbacks provisioning are included in Deliverables 5.1 and 5.2.



7.2. Step 1: Consultation of Experts and Key Informants

During the initial phase of the study, the pioneer CS Team will first conduct a preliminary research on the context and the issues of concern to the SI initiative from internet sources and local newspapers. First, in this phase, relevant policy documents will be preliminarily identified. Second, experts and key local informants will be identified for a preliminary consultation, to capture the characteristics of the case study area, identify actors, and set up an overall context and timeline for the SI. Experts may be internal to the SI initiative, as current leaders or key partners of the SI initiative, and/or external, including researchers or experts with in-depth knowledge of the context of the case study area. Experts and key local informants will be consulted through a focus group.

Depending on the characteristics of the case study, the CS Team will identify and contact six to twelve experts and key informants. Key actors and experts may be identified through the snowball sampling principle, mentioned by name and organisation, or through a first mapping of stakeholders involved or knowledgeable about the SI initiative. The selection of experts follows the principle of “saturation of knowledge” in which experts will be invited to the focus group until a stage is reached where all of the information required to understand the social innovation can be collected.

The case study experts and key experts may be:

- 1) representatives of the case study area or organisations that currently play a central role in the SI initiative (e.g. innovators, project manager, beneficiaries and/or donors);
- 2) policy makers directly or indirectly connected to the SI initiative (e.g. local municipal authorities, agriculture and forestry sectors, land management authorities or Local Action Groups);
- 3) external actors with in-depth knowledge of the SI initiative process and effects (e.g. education, training or research organisations, information or advisory services, consultants or funding institutions).

The panel of experts and key informants selected are first invited to a focus group discussion, and informed of a follow up individual and semi-structured interview (second step).

Focus groups

During the first step, the CS Team will organise a focus group, an “in-depth” interview to a group of individuals who share common interests or characteristics. Generally, participants selected will have a common level of knowledge of the case study SI initiative. The moderator will facilitate discussion on specific issues to obtain group opinions rather than individual responses. During the discussion, participants will be given space to express themselves without inhibition, while being encouraged to stay on topic.

The moderator will only intervene rarely with a few pre-prepared key questions and takes notes by using graphical support, such as pens, paper and sticky notes, hanging posters, tape and highlighters. The session will be recorded, with one or more assistants taking notes on the content of the discussion and interaction. A focus group session will generally last between 30 minutes and one and a half hours.

The first aim of the focus group is the identification of the history of the SI initiative. Through the focus group, the moderator seeks to reconstruct the pathways and sequence of events that led from the initial SI idea to the final outputs, and develops a “calendar of events” or storyline. This is done by providing cues to aid recollection of the different phases of the SI process. Examples of questions are:

- Can you remember key phases of the SI initiative? Can you link them to specific dates or events which would help respondents remember them?
- Did the SI initiative occur during a specific event, over a day, a short or a long period of time?
- Who was involved in each phase of the SI initiative?

The second aim of the focus group is identification and selection of partners and actors who took part in the SI initiative process at different points in time. When possible, these actors are interviewed during the second step, through individual face-to-face or online interviews (see Steps 2a and 2b). Actors are identified using a snowball sampling principle: respondents name the subjects that took place in the process of SI during



different phases of its development using a “name generator grid” technique. The focus group participants could be re-contacted for a second meeting by the CS Team if the list of names was insufficient. Examples of questions are:

- Who were the creators/first innovators? Who invented, discovered or was attracted by the initial idea?
- Who were the first followers? Who were the first who thought that the initial idea was valuable?
- Who was involved in the development of the SI idea during the first phases of reconfiguring? Who was contacted to implement the idea and support its transformation? Who were the transformers?
- Who were the people who adopted the idea early on and shared it with other people in the group? Who were the mainstreamers and project partners? Which external actors were involved in the development? Who were the key people?
- Is it possible to identify the final users or beneficiaries of the initiative? Who are the direct beneficiaries?

The evaluation framework identifies the role of actors during the different phases of the SI process and project (see Box 24).

Box 24 - Actors in SIMRA

A. FROM AGENCY TO RECONFIGURING-RECONFIGURED [CLIQUE AND NETWORK]

- 1. Social innovators:** The person who invents, discovers, or fully adopts the idea as their own.
- 2. Followers or change agents:** A person skilled at promoting new ideas.
- 3. First idea adopters or transformers:** A person who adopts the idea early on and shares it with other people in the network.
- 4. Implementers or mainstreamers:** A person who follows the crowd, and adopts a new idea only when other people do.

B. FROM ACTIVITIES TO OUTPUTS [PROJECT PARTNERS]

- 5. Project coordinator:** A person who receives a financial contribution from the Contracting Authority and ensures its distribution to the project associated partners (if present) as specified in the partnership agreements. The coordinating beneficiary must be directly involved in the technical implementation of the project and dissemination of project results.
- 6. Project associated partners:** Associated partners must contribute technically to the proposal, take responsibility for the implementation of one or several project actions, as agreed in the partnership agreement, and provide the beneficiary with all the necessary documents required for the fulfilment of its reporting obligations to the Contracting Authority. An associated beneficiary may also contribute financially to the project.
- 7. Project co-financer:** A person or organisation which contributes to the project with financial resources, has no technical responsibilities, and cannot benefit from the financial contribution. Furthermore, it cannot act, in the context of the project, as a sub-contractor to any of the project's beneficiaries.
- 8. Project consultants:** Sub-contractors provide external services to the project beneficiaries who fully pay for the services provided.
- 9. Project stakeholders:** Individuals or institutions that may, directly or indirectly, positively or negatively, affect or be affected by a project or programme.

C. FROM OUTPUTS TO IMPACTS [ACTORS AT THE COMMUNITY LEVEL]

- 10. Beneficiaries:** Individuals who benefit directly or indirectly from the implementation of the project. They may comprise:
 - (a) Target group(s):** Group/entity positively affected by the project at the level of the Project Purpose. It may include staff from partner organisations.
 - (b) Final beneficiaries:** Those who benefit from the project over the long term, at the level of society or sector at large, e.g. “children”, from increased spending on health and education, “consumers”, from improved agricultural production and marketing.
- 11. External actors:** Individuals who are not affected by the SI initiatives and projects, but who could be part of an Impact Assessment as the counterfactual group. This element has to be evaluated on a case by case basis.

Source: SIMRA research team.



Depending on the case study, the focus group can be used for identifying relevant policies and policy documents. The moderator of the focus group may ask about identifying secondary data and available indices for describing the marginalisation of the area, or ask questions about the context, outcomes and effects of the SI initiative (see next paragraph). The SIMRA Experts and Key Informants' Questionnaire, i.e. the operational tool for data collection, is part of Deliverable 5.1.

Studying “significant” impacts

The consultation of experts and key informants includes a preliminary impact evaluation, with a statistically robust impact evaluation carried out in Step 4b only if the evaluator finds a feasible and significant control group of beneficiaries. It is based on the results obtained in the focus group.

The preliminary impact evaluation includes three questions (codes refer to Annex 1):

- With respect to the initial contextual conditions, what are the environmental, economic, social and institutional components that the SI initiative impacted, directly or indirectly? (H.c.1.1-2-3-4.)
- Based on your responses to the previous question, state the main environmental, economic, social and institutional effects that a SI initiative has generated, both positive and negative. (H.c.2.1-2-3-4.)
- Select the three main negative and positive social effects based on the selection made in the previous question. What are the root causes of each effect, the stakeholders affected, and the management measures adopted (if any)? What was the level of control and influence, the responsiveness of the local context, the frequency, intensity and the risk (if negative) or opportunity (if positive)? (H.c.3.1-2-3-4.)

For the first question, the moderator shows the list of the main environmental, economic, social and institutional components for discussion by the group of experts, and subsequent selection of those which have been impacted directly or indirectly by the SI initiative.

For the second question, we propose an adaptation of the “sorting” part of the Q-methodology (Watts, 2005). All focus group participants are asked to sort a set of items on a scale. The items comprise all the effects in the components selected through the previous question. The scale interval is from -2 (negative impact) to +2 (positive impact).

Negative	Slightly negative	No effect	Slightly positive	Positive
□ -2	□ -1	□ 0	□ +1	□ +2

The moderator helps the group divide the effects in five piles, trying to respect the proportions shown in Figure 27. All neutral effects are placed in the central column of the diagram, with only three items placed in the external columns of the positive and negative effects.

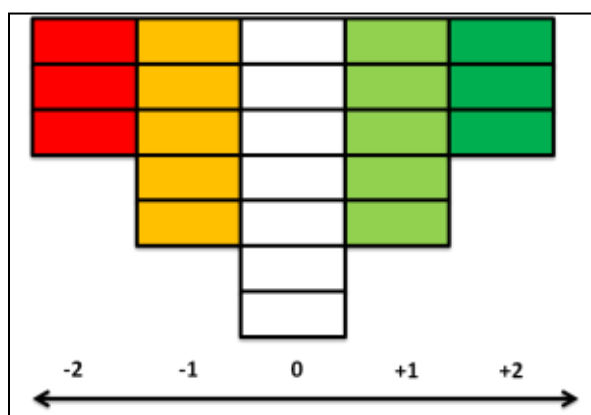


Figure 27. Sorting scale inspired by the Q-methodology (Watts, 2005).



In the third question, only the three most negative and three most positive items, selected in the previous step, are considered. The moderator asks participants to analyse the six effects through three open-ended sub-questions and five quantitative scores.

In the three open-ended sub-questions, the moderator about the root cause of each effect, the affected stakeholders, and the management measures adopted (if any).

Finally, experts provide a score of 0 to 4 for five basic criteria¹⁰⁵ that may be used to define “significance”. Table 14 summarises the general, guiding criteria for defining ‘significant aspects’ and related ‘significant impacts’. Table 15 explains how to assign a score to specific aspects/impacts based on a qualitative/narrative approach. Only aspects/impacts for which the total assigned score is equal or higher than 10¹⁰⁶ are considered ‘significant’¹⁰⁷.

Table 14. Guiding criteria for defining a ‘significant aspects’ (with ‘significant impacts’) in the evaluation of SIMRA case studies.

Basic criterion	Definition of ‘significant’	Explanation	Example of application in SIMRA	Main interested domains in terms of impact
1. Level of control and influence	Aspects that the SI initiative has a direct control and influence on.	The SI initiative can do something, autonomously and directly, for changing the aspect (e.g. changing activities, practices, products or services) to reduce the negative impacts or emphasise the positive ones.	Forest fire brigades in Spain: voluntary forest fire fighters have direct control on the interventions they perform against fires.	Social Environmental
2. Sensitivity of the context	Aspects of the SI initiative that touch a key resource for the territory and the community and/or deal with cultural and identity issues.	The organisation’s activities, products or services concern resources that are vital for the local community and/or connected to core identity values of the community (cultural heritage, religion, ethnicity).	Trekking in Norway are involved in the valorisation of natural areas (ecosystem services connected to recreation).	Social Environmental Economic

¹⁰⁵ The criteria proposed in these tables have been adopted and adapted from the ISO 14001 standards for environmental aspects to the economic, social and governance/institutional aspects. This approach was proposed and used by the Global Reporting Initiative (GRI) (GSSB, 2016) for social and economic aspects (aside the environmental ones).

¹⁰⁶ This threshold is defined as the average score (10.0) that can be calculated considering 5 items (first column) and 5 scores (from 0 to 4). The impacts/aspects with an average or higher score are ‘significant’, those with a score lower than the average are ‘not significant’.

¹⁰⁷ The significant impacts identified in each domain will be used to create specific impact indicators in relation to each single case study (see Part III - Judgement references). Examples of such indicators can be: ratio between negative and positive impacts in relation to a specific issue and/or domain; sum of total assigned scores ratio between positive and negative impacts, by domain. Moreover, the significant impacts will be used for further analysis in Step 4 in those cases when statistical techniques for impact evaluation are applicable.



3. Frequency	Aspects that are ordinarily or frequently repeated by the SI initiative.	The organisation carries out the activity (products or service) on a regular basis, as it is the core business of the social innovation.	Social farming in Italy: members of a social farm take care of disabled people 12 months a year.	Social Economic
4. Intensity	Aspects of the SI initiative that have or can have irreversible consequences, both over the short or long-term.	The organisation's activities, products or services have or can have consequences (positive or negative, real or potential, intended or unintended) that affect a high number of people and/or a large area.	Women cooperatives in Lebanon: women involved represent a high percentage of the local community.	Social Economic Environmental Governance/institutional
5. Risk	Aspects connected to risks of accidents (e.g. security of people, human health) due to the SI initiative.	The organisation's activities or products or services imply a certain level of risk of accidents.	LiberaTerra association in Italy: provides lands confiscated from the mafia to social farming.	Social Economic Environmental Governance/institutional

Source: Source: SIMRA research team.

Table 15. Scoring criteria for defining 'significant aspects' (with 'significant impacts') in the evaluation of SIMRA case studies.

Basic criterion	Scoring				
	Score = 0	Score = 1	Score = 2	Score = 3	Score = 4
1. Level of control and influence	The SI initiative has no direct control and influence on the aspect/impact.	The SI initiative has no or limited direct control and influence on the aspect/impact.	The SI initiative has moderate direct control and influence on the aspect/impact.	The SI initiative has good direct control and influence on the aspect/impact.	The SI initiative has direct and total control and influence on the aspect/impact.
2. Sensitivity of the local context	The local context is not sensitive.	The local context has a few elements of sensitive (e.g. only one minor natural resource is affected).	The local context has moderate elements of sensitive (e.g. one or more natural resources or key resources are affected and the community has not yet fully accepted the SI).	The local context has high elements of sensitive (e.g. highly protected habitats or cultural heritage are affected by the SI, there is a latent conflict between the SI	The local context is extremely vulnerable (e.g. it totally depends on the key resource affected by the SI, cultural heritage is at risk, there is a



				and the rest of the community).	conflict in relation to the SI initiative)
3. Frequency	The activity, products or services are not provided by the SI initiative.	The activity, products and services are not frequently provided by the SI initiative.	The activity, products and services are frequently, but not regularly provided by the SI initiative.	The activity, products and services are regularly provided by the SI initiative, with a high frequency.	The activity, products and services are provided continuously, as they are the core business of the SI.
4. Intensity	The SI initiative does not have any effects.	The SI initiative has limited effects (e.g. punctual, reversible over the short or medium term)	The SI initiative has moderate effects (e.g. in more than one site, reversible only in the medium term)	The SI initiative has strong effects (e.g. on a large portion of the territory, on a high number of persons, reversible only over the long term)	The SI initiative determines irreversible effects over the long-term which affect a high portion of the territory and/or of the community.
5. Risk	There are no risks associated with the SI initiative.	There are limited risks associated with the SI initiative.	There are moderate risks associated with the SI initiative.	There are high risks associated with the SI initiative.	There are extremely high risks associated with the SI initiative

Source: SIMRA research team.

Through this approach, the SIMRA method is based on the qualitative identification of 'significant aspects' because the identification is based on the perceptions of actors of each of the four domains (i.e. economic, social, environmental and governance/institutional), and related 'significant impacts'. The impact evaluation based on statistical techniques, only used when technically feasible, should focus on the impacts identified during this initial qualitative-based screening.

The qualitative identification of 'significant aspects' has a clear limitation in terms of subjectivity: the definition of what is 'significant' is based on a subjective group interpretation of the situation and existing information, data or knowledge by those involved, and affected in some way by the SI initiative. However, it provides an easy and quick tool for immediately understanding the core effects of the social innovation on various components of the society, the economy and the whole territory. In addition, after the initial screening (the "self-identification" of what is significant), and a more accurate qualitative analysis carried out by key actors in the focus groups, only the impacts identified as 'significant' on the basis of the scoring exercise are explored in detail using statistical techniques and impact evaluation. This is intended to help evaluators save a significant amount of resources (i.e. time, money).

In the pilot test, the approach proposed is based on the perceptions of key experts of the relevance and importance of an impact. To minimise the risk that important impacts may be disregarded or underestimated (and thus that possible trade-offs by groups not involved in the SI are ignored), alternative ways to ask these questions to a wider sample of actors and collect individual answers should be explored on a case by case basis. This way, it is possible to use the Q methodology to categorise actors with similar perceptions of the impacts of the SI initiative, and discuss the results at the end of the evaluation.



7.3. Step 2a: Survey Design for Analysis of Policy Processes (Work Package 6)

Instructions¹⁰⁸ on analysis of policy processes and implications for SI specifically focus on identifying the factors that foster and/or hamper the emergence of SI in local case studies through a narrative approach. To do this, an integrated step-by-step approach is adopted. The approach comprises three analyses, one conducted during step 2, and two carried out during step 3:

- 1) Step 2a. Specific semi-structured interviews with experts and key informants identified in step 1. The CS Team interviews local authorities (policy makers) at different scales (local, regional, national and international if it applies) and key stakeholders of the CS.
- 2) Step 3a (first part). Identification of relevant policy and document analysis documents. The CS Team identifies legal texts (policy documents), policy statements, programmes and strategies that are potentially valid or were influential in the SI initiative.
- 3) Step 3a (second part). Validation of findings with CS results documents. The CS Teams iterate between field observations and documents. After initial interviews, desk-top research is undertaken, and then more interviews conducted if necessary, until "saturation".

Instructions for the semi-structured interview guide

The following questions provide the basic components for the interview guides, to be adapted according to the expert and context. However, the structure will be the same for every interview, to ensure consistency and to simplify the subsequent cross-case and cross-regional analysis. The sample interview guide for semi-structured, open interviews is presented for the analysis of policy implications for SI and follows the Innovation System Approach (Rametsteiner *et al.*, 2005; Weiss *et al.*, 2011).

Interview guide¹⁰⁹

[Note to the interviewer. Before the interview date: schedule the interview and explain the general purpose. Preparations at the beginning of the interview: Check if the recorder works, batteries are loaded; put the recorder somewhere to the side as people can be irritated if it is placed in between the interviewee and interviewer. To make your interviewee comfortable, offer them a glass of water, and set the chairs crosswise rather than "confrontational" at the opposite sides of a table. Introduce yourself and exchange business cards or contact details. Explain the purpose of the interview and provide the statement of confidentiality¹¹⁰. Explain that the interview focuses on SI. Ask for permission to record the interview, thank them for giving you time and start with your first question.]

Characteristics of the respondent:

- What institution do you represent?
- At which scale does it operate?
- What is the kind of support you provide in the region?
- In which way is your work related to social innovations?

¹⁰⁸ The instructions on policy processes and implications for SI have been developed in collaboration with BOKU, as part of Task 4.3.

¹⁰⁹ When the interviewees for both qualitative and quantitative enquiry are chosen, it must be clear to the CS Team that the first set of qualitative questions is dedicated to leading personnel in the municipalities and stakeholders with "support functions"; they can be policy officials, from consultancy agencies (regional or rural development, or LAG leaders), or social welfare institutions. The second set of questions is dedicated to the innovators themselves, and people active in the case (at the farm or in the start-up or in the forest activity etc.).

¹¹⁰ Ethics: "All responses will be kept confidential if needed. Interview responses will only be used for scientific purposes. Details will only be shared with research team members and we will ensure that any information we include in our report does not identify you as the respondent. When we quote in our report we will not mention the name of the person. However, normally, the case and the region are named. Interviewees do not have to talk about anything they do not want to."



Key questions on policies:

Relation with the CS:

- Do you know the SI initiative CS?
- What is your relationship with the local SI cases?
- Do you think your policies affected the CS?
- Which policies did support the project?
- What exactly was the policy support? Was it financial (e.g. subsidies, tax reduction, reduced loans), provision of information, facilitation of networking, previous support in the region by rural development policies and other initiatives?

Information:

- How would you describe access to information in this region relating to social innovation?

Perceived context innovation in the region:

- How would you describe the economic situation in this region when it comes to SI?
- Based upon your experience, what factors foster and what hinder introducing SI in this region?
- In your opinion, how high is the level of interest towards the introduction of SI in this region?
- How would you describe the know-how on developing SI in this region?
- Based upon your experience, is there anything that could be improved in this respect?
- What are, if any, the main external enabling and constraining conditions (in terms of events, trends, societal framework conditions, institutions, structures and/or discourses), that a SI initiative has to face for moving from an idea to action?
- Before the SI initiative, which were the five objective elements which indicate you were living in a marginalised rural area?
- Have things changed after the SI initiative?
- Which other positive or negative effects did the innovation have in the region (more/other social innovations in the region, economic benefits in the region, ecological impacts)?

Final (open) question:

- Is there anything you would like to add on the topic of introducing SI that we did not discuss so far?

Additional key questions to Innovators:

[Note to the interviewer: These questions are to leading figures or founders of the innovative cases].

1. Individual and collective needs and triggers, “stimulus” for innovation

- How did you come up with the idea of the project?
- Why did you decide to start your activity in this area? (How did the need to do what you do come about?)

2. Perceived context

- What do you think are the main problems in the region that your initiative addresses?

3. Agents

- Which people and institutions were involved for starting your activity?

4. Preparatory Actions

- Please describe the start-up phases?
- What resources were you able to draw upon at the beginning?
- Were there any other resources you would have found helpful?

5.1. Reconfiguring New networks

- Which cooperations with other organisations were useful for your activity?
- Can you expand on the kind of cooperation?

5.2. Reconfiguring New attitudes

- What do you think is different about what you do locally, compared to what others do and provide?



5.3 Reconfiguring New governance arrangements

- How are the decisions taken within your project?

6. Project activities

- Can you tell us what your project is about?

7. Outputs

- What do you think the benefits of your activity are to the people in this area?

8. Outcomes/impacts

- What has changed in the region with your activity?

9. Learning processes

- If you were to start your project again, what would you do differently today?
- Why?

[Notes for the conclusion of the interview. Thank the interviewee for their time and ask for contact details in case of further questions, and to send them the final report. Provide the link to the SIMRA webpage, in case they did not have it already. After the interview: Write an Ad hoc Memory protocol to help with recollection and structure the most important insights. The transcription will take time to be complete which may lead to forgetting the crucial points on which to focus. Transcription of the interviews is necessary for the analysis].

A final set of questions are asked to SIMRA pioneer CS Teams to guide their feedback on what worked well and what should be improved in the methodology (see Table 16).

Table 16. Questions for feedback on the pilot test of the semi-structured interview.

Feedback questions	Response from CS Team
Average time requested to fill the questionnaire	
Questions which did not work	
Questions with unclear terminology or wording	
Questions which could be better formulated	
Difficulties with the data collection techniques (face-to-face, semi-structured interview, online questionnaire, focus group)	
Other comments	

Identification of relevant policy documents

This step aims to identify and examine policy assumptions, discourses, problem frames, regulatory approaches, policy instruments and related documents¹¹¹ that might support or hamper effects of SI in the case study. Relevant policies have to be chosen from agriculture, forestry, rural development, welfare, labour markets, technological innovation, social innovation, regional development and others.

The focus is on policy and policy documents that are relevant at international, national and regional levels and expected to have effects at local level. For example, if the case study has been funded by the EU LEADER Programme, the CS Team needs to know LEADER provisions specific for the analysed context. CS Teams can read the relevant documents and might decide to start with a preliminary open-ended interview with LEADER experts before going to the field. It will be necessary to distinguish between direct policies, including LEADER, EIP, INTERREG, SI-programmes, and start-up support for social entrepreneurs, and indirectly impacting policies, including general regional development programmes, general social support system policies, education policies, and employment policies. The latter ones impact on the “societal preconditions” in a

¹¹¹ Normatively, public policies regulate the use and protection of resources and steer and govern societal wellbeing. They are represented by policy documents, formal rules, such as the constitution, laws, bylaws, ordinances. Such public regulations are predefined mechanisms which actors may assert to activate rights and legitimise actions.



region, and SI may benefit from these as well. Additional policies, not above listed, can be identified by each CS Team in the specific case study.

The identification of policy documents by pioneer CS Teams has to be carried out by online searching (literature analysis, institutional web sites) and interviews with local stakeholders in the local case study survey. Documents related to local interpretations of international, national or regional policies (e.g. brochures) should also be taken into consideration. Provisions are often formulated in general terms and need to be individualised and substantiated for the specific cases.

Once relevant policies and documents are identified, all documents are saved and uploaded by the CS Team within a register, and a reference list of secondary literature and policy documents is prepared.

Step 2b: Survey Design for SI case Study analysis (Work Package 5)

This section provides information and instructions on: (1) target population of the survey; (2) sampling design; (3) interview guidelines; (4) questionnaires; (5) specific questions.

Target population: actors of the social innovation

The target population of the survey refers to all actors involved in the SI initiative and project, as well as its direct and indirect beneficiaries. The characteristics of the actors are described in Box 20. A complete sampling frame of each category of actors is provided by experts and key informants during the focus groups (Step 1). These actors appear in the SI process at different moments but may only respond to the interviewer's questions on the SI components with which they are familiar. Table 17 summarises the role of each category of actors during the SI process.

Table 17. List of all possible actors involved in the SI initiative relative to the SI components and expected knowledge.

People to be interviewed	Relation to SI components	Expected knowledge on SI components
Innovators	Agency (Actors and Preparatory Actions)	Individual and social Needs Perceived context Agency (Actors and Preparatory Actions) Reconfiguring(ed)
Followers	Agency (Actors and Preparatory Actions)	Individual and social Needs Perceived context Agency (Actors and Preparatory Actions) Reconfiguring(ed)
First idea adopters/transformers	Reconfiguring(ed)	Agency (Actors and Action) Reconfiguring(ed)
Implementers or mainstreamers: - Project coordinator - Project partners - Project co-financer - Project consultants or contractors - Project stakeholders - Concrete implementers - Values takers	Project activities	Project activities Outputs
Direct beneficiaries	Outputs	Outputs Outcomes and impacts Learning process
Indirect beneficiaries	Outcomes and impacts	Outcomes and impacts
Experts and key informants	-	The whole process and project

Source: SIMRA research team.



Sampling design

Sampling design is aligned to the target population. In general, we assume that local case studies do not involve an unmanageable number of actors. So, in the instructions we propose a census for the majority of target actors. However, ad hoc sampling strategies based on the case study can also be created. There are several typologies of sampling designs: probability sampling (as Simple Random sampling, Systematic sampling, Stratified sampling, Multistage sampling), and nonprobability sampling (such as Convenience sampling, Judgement sampling, Quota sampling, Snowball sampling). It is difficult to identify *a priori* the proper sampling design: each CS Team will choose the one most appropriate to their circumstances¹¹².

Figure 28 shows how the survey strategy is developed in relation to: (1) target population, (2) network structure, (3) sampling design and (4) temporal scale.

- The targets of the questionnaire in the “*Agency phase*” are individuals or group of individuals. They are the innovators and the initial followers. In Social Network Analysis, these agents are called *clique*. The survey is submitted to all the actors identified in relation to the initial stages of the SI. The T_0 moment refers to the emergence of SI.
- In the “*Reconfiguring phase*”, the targets of the questionnaire are the internal and external networks. The internal network refers to the relationships amongst actors belonging to the same organisation. Its composition is expected to be actors within a micro-organisation, small and medium enterprises (SMEs), non-governmental organisations (NGOs), and institutions. The external network refers to an enlarged network composed of different individual and collective nodes. The reconfiguring process includes all the passages that lead to the establishment of internal and external networks, and thus, to a reconfigured network supporting new social practices. The target includes the initial agents, those who first proposed the innovative idea (innovator) and those who adopted it as their own (followers), and the transformers. The survey is submitted to a census of all actors who participate in the “Reconfiguring(ed)” phase and their relationships. In the evaluation framework, this refers to the time T_1 , and it corresponds to the time when new social practices emerge (see also the SIMRA’s definition of SI).
- The “*Reconfigured phase through activities*” refers to the activities that are carried out during project planning and implementation. The implementers identify and formulate a project proposal and in the case of a positive ex-ante evaluation by the Contracting Authority, activities are implemented. All project partners are included in the survey.
- In the “*Community phase*”, the targets of the questionnaire are the final direct and indirect beneficiaries. A sampling rather than a census approach is used to address the potentially high number of beneficiaries. This represents time T_2 , and it corresponds to the time when the outputs of the SI project are produced and the outcomes achieved. The impacts of the SI project on the economic, social, environmental and institutional domains are measured through an ex-post evaluation. The CS Team will choose how to proceed based upon the case study characteristics¹¹³.

¹¹² This will be done with the assistance of Leaders of Work Packages 4 and 5.

¹¹³ See previous note 7.

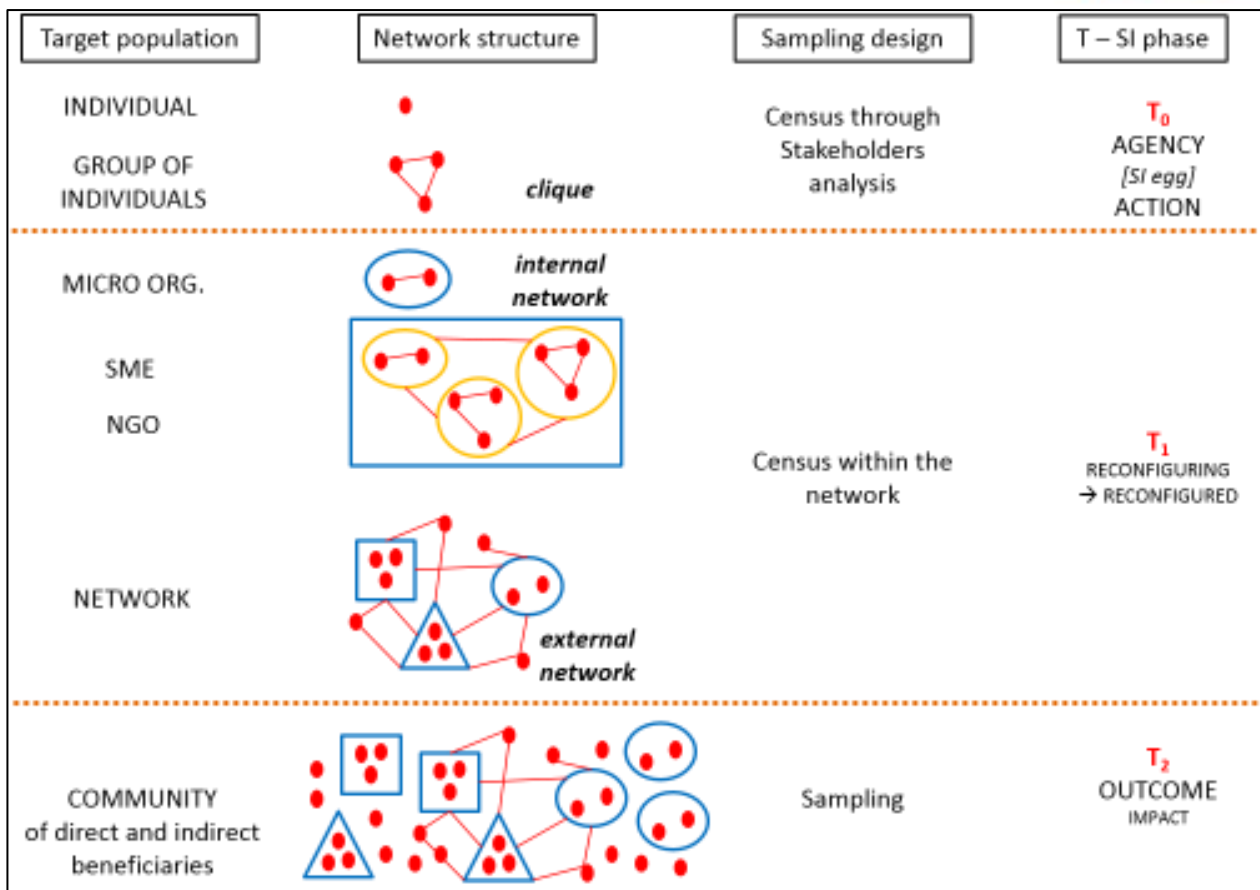


Figure 28. Target population, network structure, sampling design, T-SI phase. Source: SIMRA research team.

Interview technique

The questionnaires are designed for face-to-face interviews, but the layout can be adapted for online surveys. Interviews are generally time-consuming, but they are an invaluable instrument for collecting the information required for the elaboration of SI indicators and indices. In these instructions, the pilot survey questions will help the pioneer CS Teams understand if the interview technique is feasible, and highlighting aspects that may be missing from the proposed questionnaire in the SIMRA evaluation framework. To conduct the structured interview, all the notes suggested for the semi-structured interview remain valid (i.e. the interviewer has to start the interview by introducing themselves, explain the reasons for the interview to be conducted, etc. and to close the interview by thanking interviewees for their time and availability). All the typical techniques for properly and ethically conducting interviews have to be applied.



Questionnaires

The test is applied to three broad categories of interviewees (clique, internal and external network and community beneficiaries) through different sampling designs and using different questionnaires. An additional questionnaire has been prepared for project partners to ask questions about project activities. Table 18 provides a schematic representation of questionnaires addressed to each target population.

Table 18. Questionnaires by target population.

	Questionnaire to experts and key informants	Questionnaire to Clique (innovators and followers)	Questionnaire to Network (transformers)	Questionnaire to Project partners	Questionnaire to Beneficiaries
Identification of actors (focus group)	X				
Calendar of events (focus group)	X				
Identification of marginalisation (focus group)	X				
A. Needs		X			
B. Context	X	X	X		
C-D. Agency		X	X		
E. Reconfiguring(ed)ed		X	X		
F. Activities				X	
G. Outputs				X	X
H. Outcomes	X	X	X		X
H. Impacts	X	X	X		X
I. Learning process	X	X	X		X

Source: SIMRA research team.

The five SIMRA questionnaires to be used in the pilot test will be included in Deliverable 5.1. Each CS Team is responsible for the translation into their local language. A glossary is provided to facilitate the process and reduce risks of misinterpretation of terms due to local cultural or linguistic differences.

Preliminary questions to evaluate SI in MRAs

The complete list of questions to be tested in the pilot application of pioneer CSs is provided in Annex 1, divided by dimensions, sub-dimensions, components and codes of questions. Questions are posed in relation to a specific time period, so the test survey is not based on a longitudinal assessment. The questionnaires include different types of questions:

- Dichotomous (Yes/No, presence/absence, relation/no relation)
- Responses using scales [1-10] or [1-4]
- Closed with one choice
- Closed with multiple response “all that applies”
- Dates
- Integers [0-∞]
- Open-ended

The preliminary set of questions for the pioneer case studies was created by taking into account i) the SITT consultation (see Part I, Section 3 of Deliverable 4.2), and ii) existing methods, in particular those developed in projects funded by the European Commission.



Table 19 lists the dimensions and sub-dimensions of the SIMRA evaluation framework (see Part II, Section 5 of Deliverable 4.2). The list of components and coded questions provide an overview of the level of detail addressed in the questionnaires.

Table 19. Dimension, sub-dimension, component and questions with codes at the basis of SIMRA questionnaires. Source: SIMRA research team.

Dimension	Sub-dimension	Component	Questions
A. Individual and collective needs	A.a. Trigger	A.a.1. Type of trigger	A.a.1.1. <i>Idea trigger</i> A.a.1.2. <i>Positive-negative trigger</i> A.a.1.3. <i>Scale of the trigger</i> A.a.1.4. <i>Affected level</i> A.a.1.5. <i>Affected scale</i> A.a.1.6. <i>Dissatisfaction</i> A.a.1.7. <i>Satisfaction motivation</i> A.a.1.8. <i>Reaction</i>
	A.b. Social needs	A.b.1. Individual needs	A.b.1.1. <i>Individual needs</i> A.b.1.2. <i>Scores of individual needs</i>
		A.b.2. Collective needs	A.b.2.1. <i>Collective needs</i> A.b.2.2. <i>Scores of collective needs</i>
	A.c. Societal challenges	A.c.1. Type of societal challenges ¹¹⁴	A.c.1.1. <i>Wider challenges</i> A.c.1.2. <i>Societal challenges</i>
	A.d. Governance shifts	A.d.1. Type of governance shifts	A.d.1.1. <i>Critical elements of governance</i> A.d.1.2. <i>Scale of governance</i> A.d.1.3. <i>Governance dissatisfaction</i> A.d.1.4. <i>Governance satisfaction motivation</i>
B. Perceived context	B.a. Context of MRA	B.a.1. Level of rurality	B.a.1.1. <i>Population density</i> B.a.1.2. <i>Evaluator selection</i> ¹¹⁵
		B.a.2. Physical geography marginality	B.a.2.1. <i>Mountain area</i> B.a.2.2. <i>Aridity</i> B.a.2.3. <i>Islands</i> B.a.2.4. <i>Evaluator selection</i>
		B.a.3. Limited access to infrastructure	B.a.3.1. <i>Access to internet</i> B.a.3.2. <i>Local road transport</i> B.a.3.3. <i>Evaluator selection</i>

¹¹⁴ 1. Health, demographic change and wellbeing; 2. Food security, sustainable agriculture and forestry, marine and maritime and inland water research, and the Bioeconomy; 3. Secure, clean and efficient energy; 4. Smart, green and integrated transport; 5. Climate action, environment, resource efficiency and raw materials; 6. Europe in a changing world - inclusive, innovative and reflective societies; 7. Secure societies - protecting freedom and security of Europe and its citizens.

¹¹⁵ Examples of sources for secondary data are: OECD Regional Well-Being Database, Eurostat (<https://www.oecdregionalwellbeing.org/>); Regional Agricultural Statistics, Eurostat (on different issues: estimate of soil erosion, at http://appsso.eurostat.ec.europa.eu/nui/show.do?dataset=aei_pr_soiler&lang=en; structure of agricultural holdings at http://appsso.eurostat.ec.europa.eu/nui/show.do?dataset=ef_r_nuts&lang=en; Regional Demographic Statistics, Eurostat (on different issues: indicators on structure of population, at http://appsso.eurostat.ec.europa.eu/nui/show.do?dataset=demo_r_pjanind3&lang=en; life births, at http://appsso.eurostat.ec.europa.eu/nui/show.do?dataset=demo_r_births&lang=en#; Regional Economic Accounts, ESA 2010 (on different issues: on Gross Domestic Product - GDP at current market price, at http://appsso.eurostat.ec.europa.eu/nui/show.do?dataset=nama_10r_3gdp&lang=en; employment, at http://appsso.eurostat.ec.europa.eu/nui/show.do?dataset=nama_10r_3empers&lang=en; and many others, such as the Regional Science and Technology Statistics and the Regional Tourism Statistics, both in the Eurostat system.



Dimension	Sub-dimension	Component	Questions
		B.a.4. Population marginalisation	<i>B.a.4.1. Income</i> <i>B.a.4.2. Evaluator selection</i>
		B.a.5. Others selected by evaluator	<i>B.a.5.1. Evaluator selection</i>
		B.a.6. Initial perceived marginality	<i>B.a.6.1. Perceived marginality</i> <i>B.a.6.2. Elements of MRA</i>
	B.b. Perceived opportunity and threats (P)OT	B.b.1. Economic (ECO)	<i>B.b.1.1. ECO-POT</i> <i>B.b.1.2. ECO-POT score</i>
		B.b.2. Social (SOC)	<i>B.b.2.1. SOC-POT</i> <i>B.b.2.2. SOC-POT score</i>
		B.b.3 Environmental (ENV)	<i>B.b.3.1. ENV-POT</i> <i>B.b.3.2. ENV-POT score</i>
		B.b.4 Institutional (INS)	<i>B.b.4.1. INS_POT</i> <i>B.b.4.2. INS_POT score</i>
		B.b.5. Changing opportunities and threats	<i>B.b.5.1. Motivation on past (P)OT</i> <i>B.b.5.2. (P)OT during the SI initiative</i> <i>B.b.5.3. (P)OT after the SI initiative</i>
C. Agency - Agents	C.a. Innovative ideas	C.a.1. Typology of innovation	<i>C.a.1.1. Content of SI idea</i> <i>C.a.1.2. Innovation</i>
		C.a.2. Novelty	<i>C.a.2.1. Novelty of SI idea</i> <i>C.a.2.2. Valuable idea</i> <i>C.a.2.3. Source of SI idea</i>
	C.b. Clique	C.b.1. SI innovator(s)	<i>C.b.1.1. Characteristics of the SI innovator(s)</i>
		C.b.2. Followers	<i>C.b.2.1. Characteristics of followers</i> <i>C.b.2.2. Initial reaction of followers</i> <i>C.b.2.3. Inspiration</i> <i>C.b.2.4. Support of followers</i>
	C.c. Vision and trust	C.c.1. Vision	<i>C.c.1.1. Vision</i> <i>C.c.1.2. Envisioned role/s</i> <i>C.c.1.3. Envisioned effect/s</i>
		C.c.2. Social relationships and interpersonal trust	<i>C.c.2.1. Relation</i> <i>C.c.2.2. Trust in innovator</i> <i>C.c.2.3. Trust in the clique</i>
	C.d. Willingness to act	C.d.1. Location and personal experience	<i>C.d.1.1. Relation with community</i> <i>C.d.1.2. Experience</i> <i>C.d.1.3. Competences and skills</i> <i>C.d.1.4. Distinctiveness</i>
		C.d.2. Sense of challenge	<i>C.d.2.1. Challenge</i> <i>C.d.2.2. Resilience</i>
	C.e. Reflexivity	C.e.1. Reflexivity on emergence, development and evolution of the SI idea	<i>C.e.1.1. Critical reflection</i> <i>C.e.1.2. SI Idea change</i> <i>C.e.1.3. Content of change</i> <i>C.e.1.4. Evolution of SI idea</i>
	C.f. Capacity for change	C.f.1. Competences	<i>C.f.1.1. Skills</i> <i>C.f.1.2. Shared competences</i> <i>C.f.1.3. Past experiences</i>
		C.f.2. Leadership and entrepreneurship	<i>C.f.2.1. Formal influence</i> <i>C.f.2.2. Formal authority</i> <i>C.f.2.3. Informal influence</i> <i>C.f.2.4. Informal authority</i>



Dimension	Sub-dimension	Component	Questions	
D. Agency – Preparatory actions	D.a. Availability of resources	D.a.1. Importance of resources	D.a.1.1. Internal resources D.a.1.2. External resources D.a.1.3. Skills	
	D.b. Idea formulation and communication	D.b.1. Social vision and expectations	D.b.1.1. Social vision D.b.1.2. Expectations	
		D.b.2. Idea communication	D.b.2.1. Communication D.b.2.2. Idea protection	
	D.c. Information collection and readiness	D.c.1. Information collection	D.c.1.1. Preliminary analysis D.c.1.2. Data D.c.1.3. Markets	
		D.c.2. Readiness	D.c.2.1. Control of idea D.c.2.2. Social business model	
	D.d. Identification of partners and stakeholders	D.d.1. Identification of stakeholders	D.d.1.1. Identification D.d.1.2. Addressing gaps D.d.1.3. New contacts	
		D.d.2. Engagement of stakeholders	D.d.2.1. Means of contact D.d.2.2. Meeting D.d.2.3. Declined participation D.d.2.4. Expectation rise	
		D.d.3. Management of stakeholders	D.d.3.1. Management of interactions D.d.3.2. Rules D.d.3.3. Facilitator D.d.3.4. Conflicts management D.d.3.5. Conflict resolution	
	E. Reconfiguring and reconfigured social practices	E.a. New networks	E.a.1. Composition of the network	E.a.1.1. Multiple actors E.a.1.2. Units and groups E.a.1.3. Multiple sectors E.a.1.4. Multiple-level. E.a.1.5. Openness of the network E.a.1.6. Attributes of nodes
			E.a.2. Structure of the network	E.a.2.1. New networks E.a.2.2. Innovative elements E.a.2.3. Inclusiveness E.a.2.4. Representativeness E.a.2.5. Capacities
E.a.3. Relationships			E.a.3.1. Network typology E.a.3.2. information exchange E.a.3.3. friendship E.a.3.4. informal collaboration E.a.3.5. formal collaboration E.a.3.6. trust E.a.3.7. Before and after ¹¹⁶	
E.b. New attitudes		E.b.1. Level of sharing	E.b.1.1. Reasons E.b.1.2. Intrinsic motivation E.b.1.3. Extrinsic motivation E.b.1.4. Objectives E.b.1.5. Needs E.b.1.6. Attitude	
		E.b.2. Informal institution ¹¹⁷	E.b.2.1. Expectations E.b.2.2. Individual attitudes	

¹¹⁶ By filling the name grid generator for this question, the evaluator selects the partners of the network who are: innovators, followers and transformers. The last are the stakeholders that accepted to join the SI initiative. The stakeholders that left the SI initiative – during the reconfiguring process – are not included in the name grid generator.



Dimension	Sub-dimension	Component	Questions
			<i>E.b.2.3. Collective attitudes</i> <i>E.b.2.4. Changes</i> <i>E.b.2.5. List of changes</i> <i>E.b.2.6. Proactive individual attitudes</i> <i>E.b.2.7. Enthusiasm</i> <i>E.b.2.8. Objective obstacles</i>
		E.b.3. Level of commitment	<i>E.b.3.1. Voluntary¹¹⁸</i> <i>E.b.3.2. time spent</i> <i>E.b.3.3. monetary contribution</i> <i>E.b.3.4. in-kind</i> <i>E.b.3.5. engagement of civil society</i>
	E.c. New governance arrangements	E.c.1. Internal	<i>E.c.1.1. Innovative internal governance</i> <i>E.c.1.2. Internal new ways of organizing</i> <i>E.c.1.3. Coordination mechanism</i> <i>E.c.1.4. Formalization of rules</i> <i>E.c.1.5. Type of rules</i> <i>E.c.1.6. Sanctions</i> <i>E.c.1.7. Examples of sanction</i> <i>E.c.1.8. Decision-making process</i> <i>E.c.1.9. Involvement in decision-making</i> <i>E.c.1.10. Empowerment</i> <i>E.c.1.11. Transparency</i>
		E.c.2. External	<i>E.c.2.1. Change</i> <i>E.c.2.2. New arrangement</i> <i>E.c.2.3. External new ways of organizing</i> <i>E.c.2.4. Help desk</i>
F. Project activities	F.a. Planning the initiative	F.a.1. Activities	<i>F.a.1.1. New mission and objectives</i> <i>F.a.1.2. List of activities</i> <i>F.a.1.3. Definition of tasks</i> <i>F.a.1.4. Schedule of activities</i> <i>F.a.1.5. Milestones</i> <i>F.a.1.6. Business plan</i>
		F.a.2. Procedures	<i>F.a.2.1. New mission and objectives</i> <i>F.a.2.2. List of activities</i> <i>F.a.2.3. Definition of tasks</i> <i>F.a.2.4. Schedule of activities</i> <i>F.a.2.5. Milestones</i> <i>F.a.2.6. Business plan</i>
		F.a.3. Practices	<i>F.a.3.1. New mission and objectives</i> <i>F.a.3.2. List of activities</i> <i>F.a.3.3. Definition of tasks</i> <i>F.a.3.4. Schedule of activities</i> <i>F.a.3.5. Milestones</i> <i>F.a.3.6. Business plan</i>

¹¹⁷ Belief = propositional attitude (mental state) refers to i) On a proposition/content (example: vision in 5 years), I believe that..., or ii) I believe, I hope, I fear, I doubt, ... Our interpretation of belief as a sum is: Belief = expectation on the project + individual attitude + collective attitude + objective facts (see Part II, Section 5 for details).

¹¹⁸ The meaning of the word "voluntary" is in line with that of the SIMRA project.



Dimension	Sub-dimension	Component	Questions
	F.b. Human resources management	F.b.1. Activities	<i>F.b.1.1. Law compliance</i> <i>F.b.1.2. Training for staff</i> <i>F.b.1.3. Gender balance</i> <i>F.b.1.4. Merit-based system</i>
		F.b.2. Procedures	<i>F.b.2.1. Law compliance</i> <i>F.b.2.2. Training for staff</i> <i>F.b.2.3. Gender balance</i> <i>F.b.2.4. Merit-based system</i>
		F.b.3. Practices	<i>F.b.3.1. Law compliance</i> <i>F.b.3.2. Training for staff</i> <i>F.b.3.3. Gender balance</i> <i>F.b.3.4. Merit-based system</i>
	F.c. Financial resources management	F.c.1. Activities	<i>F.c.1.1. Inputs</i> <i>F.c.1.2. Budget</i> <i>F.c.1.3. Source of funding</i> <i>F.c.1.4. National public sources of funding</i> <i>F.c.1.5. EU sources of funding</i> <i>F.c.1.6. Participatory or social budgeting</i>
		F.c.2. Procedures	<i>F.c.2.1. Inputs</i> <i>F.c.2.2. Budget</i> <i>F.c.2.3. Source of funding</i> <i>F.c.2.4. National public sources of funding</i> <i>F.c.2.5. EU sources of funding</i> <i>F.c.2.6. Participatory or social budgeting</i>
		F.c.3. Practices	<i>F.c.3.1. Inputs</i> <i>F.c.3.2. Budget</i> <i>F.c.3.3. Source of funding</i> <i>F.c.3.4. National public sources of funding</i> <i>F.c.3.5. EU sources of funding</i> <i>F.c.3.6. Participatory or social budgeting</i>
	F.d. Infrastructural resources management	F.d.1. Activities	<i>F.d.1.1. Transport facilitations</i> <i>F.d.1.2. Sustainability</i> <i>F.d.1.3. Facilities access</i> <i>F.d.1.4. Wifi</i> <i>F.d.1.5. Spaces for breaks</i>
		F.d.2. Procedures	<i>F.d.2.1. Transport facilitations</i> <i>F.d.2.2. Sustainability</i> <i>F.d.2.3. Facilities access</i> <i>F.d.2.4. Wifi</i> <i>F.d.2.5. Spaces for breaks</i>
		F.d.3. Practices	<i>F.d.3.1. Transport facilitations</i> <i>F.d.3.2. Sustainability</i> <i>F.d.3.3. Facilities access</i> <i>F.d.3.4. Wifi</i> <i>F.d.3.5. Spaces for breaks</i>
	F.e. External interaction management	F.e.1. Activities	<i>F.e.1.1. Communication</i> <i>F.e.1.2. Social media</i> <i>F.e.1.3. Marketing</i>
		F.e.2. Procedures	<i>F.e.2.1. Communication</i> <i>F.e.2.2. Social media</i> <i>F.e.2.3. Marketing</i>
		F.e.3. Practices	<i>F.e.3.1. Communication</i> <i>F.e.3.2. Social media</i>



Dimension	Sub-dimension	Component	Questions
	F.f. Administration	F.f.1. Activities	<i>F.e.3.3. Marketing</i> <i>F.f.1.1. Archiving system</i> <i>F.f.1.2. Accounting</i> <i>F.f.1.3. Administrative staff</i>
		F.f.2. Procedures	<i>F.f.2.1. Archiving system</i> <i>F.f.2.2. Accounting</i> <i>F.f.2.3. Administrative staff</i>
		F.f.3. Practices	<i>F.f.3.1. Archiving system</i> <i>F.f.3.2. Accounting</i> <i>F.f.3.3. Administrative staff</i>
	F.g. Monitoring and Evaluation	F.g.1. Activities	<i>F.g.1.1. Monitoring</i> <i>F.g.1.2. Transparency</i> <i>F.g.1.3. Reporting</i> <i>F.g.1.4. Analysis</i>
		F.g.2. Procedures	<i>F.g.2.1. Monitoring</i> <i>F.g.2.2. Transparency</i> <i>F.g.2.3. Reporting</i> <i>F.g.2.4. Analysis</i>
		F.g.3. Practices	<i>F.g.3.1. Monitoring</i> <i>F.g.3.2. Transparency</i> <i>F.g.3.3. Reporting</i> <i>F.g.3.4. Analysis</i>
G. Outputs	G.a. Products and Services	G.a.1. Tangible	<i>G.a.1.1. Considered new</i> <i>G.a.1.2. New list</i>
		G.a.2. Intangible	<i>G.a.2.1. Information</i> <i>G.a.2.2. Collaboration</i> <i>G.a.2.3. Vertical collaboration</i> <i>G.a.2.4. New projects</i>
	G.b. Beneficiaries	G.b.1. Direct beneficiaries	<i>G.b.1.1. Existing beneficiaries</i> <i>G.b.1.2. New beneficiaries</i> <i>G.b.1.3. Characteristics</i> <i>G.b.1.4. Marginalised</i> <i>G.b.1.5. Minority</i>
	G.c. Satisfying needs	G.c.1. Satisfied needs	<i>G.c.1.1. Satisfaction</i> <i>G.c.1.2. Individual needs</i> <i>G.c.1.3. Community needs</i> <i>G.c.1.4. List individual</i> <i>G.c.1.5. List collective</i> <i>G.c.1.6. Success of SI</i> <i>G.c.1.7. Satisfied needs</i>
H. Outcomes and Impacts	H.a. Indirect Beneficiaries	H.a.1. Indirect Beneficiaries	<i>H.a.1.1. Indirect beneficiaries</i> <i>H.a.1.2. Community needs</i> <i>H.a.1.3. Characteristics</i>
	H.b. Outcomes	H.b.1. Societal challenges	<i>H.b.1.1. Changes</i> <i>H.b.1.2. SI contribution</i>
		H.b.2. Governance shifts	<i>H.b.2.1. Shifts</i>
	H.c. Impacts	H.c.1. Environmental	<i>H.c.1.1. Effects on components</i> <i>H.c.1.2. Effects</i> <i>H.c.1.3. In-depth analysis</i>
		H.c.2. Economic	<i>H.c.2.1. Effects on components</i> <i>H.c.2.2. Effects</i> <i>H.c.2.3. In-depth analysis</i>
		H.c.3. Social	<i>H.c.3.1. Effects on components</i> <i>H.c.3.2. Effects</i> <i>H.c.3.3. In-depth analysis</i>
		H.c.4. Institutional	<i>H.c.4.1. Effects on components</i> <i>H.c.4.2. Effects</i> <i>H.c.4.3. In-depth analysis</i>



Dimension	Sub-dimension	Component	Questions
I. Innovation and learning process	I.a. Feedback loops	I.a.1. Local	<i>I.a.1.1. Local community</i> <i>I.a.1.2. Events</i> <i>I.a.1.3. Project partners' feedback</i> <i>I.a.1.4. External donors</i> <i>I.a.1.5. Local politicians</i> <i>I.a.1.6. Perceived marginality (ex post)</i> <i>I.a.1.7. Elements of MRA (ex post)</i>
		I.a.2. Bridging at the higher level	<i>I.a.2.1. External events</i> <i>I.a.2.2. Regional politicians</i> <i>I.a.2.3. National politicians</i>
	I.b. Multiplier and critical innovation effects	I.b.1. Mainstreaming	<i>I.b.1.1. Mainstreaming</i> <i>I.b.1.2. Years</i>
		I.b.2. Upscaling	<i>I.b.2.1. Effects at higher scales</i> <i>I.b.2.2. National laws</i>
		I.b.3. Outscaling	<i>I.b.3.1. Replication</i> <i>I.b.3.2. N° of examples</i> <i>I.b.3.3. Adaptations</i> <i>I.b.3.4. N° of adaptations</i> <i>I.b.3.5. Aggregation</i>
		I.b.4. Critical effects	<i>I.b.4.1. Deadweight</i> <i>I.b.4.2. Displacement</i> <i>I.b.4.3. Substitution</i>

To proceed with pilot tests better and faster, pioneer CS Teams will have to become familiar with the terms used in the questions and concepts which form the basis of the evaluation framework. Annex 2 provides a list¹¹⁹ of the most relevant terms, in the same order in which they appear in the description of the framework (Figure 8 and Section 5, Part II), and in the list of questions (see Table 17 above and Annex 1).

Also in the case of structured interviews based on questionnaires, a final set of feedback questions are asked to SIMRA pioneer CS Teams on what worked well and what should be improved in the methodology (see Table 20). Details are provided in Deliverable 5.1.

Table 20. Questions for feedback on the pilot test of the structured interview (questionnaire).

Feedback questions	Response from CS Team
Average time required to complete the questionnaire	
Questions which did not work	
Questions with unclear terminology or wording	
Questions which could be better formulated	
Difficulties with the data collection techniques (face-to-face, semi-structured interview, online questionnaire, focus group)	
Other comments	

Source: SIMRA research team.

¹¹⁹ An expanded glossary, with the terms in alphabetical order, is developed as part of Deliverables 5.1 and 5.2, with additional specific terms to assist CS Teams in translating questions into local languages.



7.4. Step 3: Data Processing and Analysis

Information collected in Step 2 is analysed separately and follow the same structure of the dimensions of SI as identified in the SIMRA evaluation framework. The qualitative-based policy analysis the semi-structured interviews results are complemented by document analysis and validation of findings. The quantitative-base SI case study analysis the data are aggregated and normalised into synthetic indicators. The two approaches for data processing and analysis will be pilot tested by pioneer CS Teams, and feedback on feasibility provided.

Policy analysis (qualitative-based)

Document analysis

The methodology to process the information/data collected is based on content analysis of documents. This can be done by classical approaches (e.g. direct identification and extraction of “citations” from the document text) and/or by using software designed for text analysis (e.g. NVIVO, MAXQDATA). Indicators of qualitative-based content analysis of policy documents relevant to SI in MRAs are provided in Table 21, which includes both “content” and interpretation.

Table 21. Indicators for use in the content analysis of policy documents relevant to SI.

Items to be evaluated	Source/ Document	Content, direct “Citations” from document	Commentary from CS Team (interpretation)
Mention Innovation			
Mention Social innovation			
Scope: Local, regional, national, EU, global			
Thematic/sectoral: R&D, Agriculture, forestry, fishery, small-scale business, social groups, participation of stakeholders			
Means and instruments targeting SI: General			
Specific means and instruments targeting SI: Financial			
Specific means and instruments targeting SI: Information			
Specific means and instruments targeting SI: Creation of new institutions			
Specific means and instruments targeting SI: support of existing networks/ cooperation project			
Executive authorities			
Definition/conceptualisation of SI in the document			
Definition/conceptualisation of a specific problem/issue to be targeted by the policy			
Other comments			

Source: SIMRA research team.



Semi-structured interview analysis

Table 22 presents the main criteria for analysing the interview records. The “content” of interview will be separated from the interpretation, for use in subsequent analysis and scientific publications. Testing and feedback on the Table content will be undertaken by pioneer CS Teams.

Table 22. Main criteria for analysing interviews.

Name of interviewee, time and place of interview:				
Criteria	Main Content, direct citation(s) from transcript	Secondary Content, direct citation(s) from transcript	Summary by CS Team	Commentary from CS Team (for interpretation)
Characteristics of the respondent and relationship to the SI initiative				
Characteristics of the case study area				
Needs				
Background of the CS (perceived context)				
Agency Actors: Who are the actors involved?; Preparatory Actions: Where do resources come from?; Which policies are supported (e.g. information, monetary, facilitation of networks, training)?				
Reconfiguration of new networks (new cooperation)				
Difference in attitudes				
New governance arrangements (forms of decision taking)				
Project content and activities				
Outputs of project				
Impacts				
Learning processes				
Other relevant information				

Source: SIMRA research team.



Policy analysis report

The policy analysis report has to be filled out after the semi-structured interviews and the document analysis. The analysis follows the sections from the interview guides (Characteristics, Relationship to the CS, Information, Innovation in the Region, Final considerations) presented in Step 2a.

A specific focus on the role of policies responds to the following questions:

1. What is the relationship between the CS and the local/national/other authorities?
2. Which policies support the CS initiative?
3. To what extent is the SI initiative supported by the policies?
4. What exactly was the policy support?
 - financial, e.g. subsidies, tax reduction, reduced loans,...
 - provision of information,
 - facilitation of networking,
 - previous support in the region by rural development policies and other initiatives?

The interpretation and analysis of impacts uses the data recorded in Table 23, which is for guiding the validation of findings and the final reporting of observations and interpretation. This allows qualitative descriptions and estimates of the effects/impacts of the policies. These results should be cross-checked with results from a statistical-based evaluation, if undertaken.

Table 23. Interpretation of impacts of policies (carried out by the CS Team).

Criteria	Description	Examples	Comments by CS Team
Identification of the most influential policies for SI			
Analysis of goals			
Patterns/specificities in the region/case (compared to other regions)			
Weights of the policy: relevance, impacts, output practice (important (+), not important (-), very important (++) , not at all important (--))			
Result: What works well in SI practice?			
Identification of gaps (between policy and practice)			
Recommendations: What to improve?			
Other important influences/impacts in the case			

Source: SIMRA research team.

The final phase of policy analysis is the validation of findings. To do this, the evaluator will use both the field observations and the documents. After the initial interviews, desk-top research is undertaken, then more interviews conducted, iterating between the two until “saturation”. In practice, the CS Team will carry out interviews with stakeholders until sufficient information about the case is obtained. This is termed a “mixed approach”.



The desk-top analysis step helps to identify incongruences and/or inconsistencies between the policy as designed, communicated and perceived by high level policy makers, and the policy effects in practice at local level. For example, when a question such as “Why does this predefined (and so nicely formulated) regulation not produce effects in the field?” emerges during the interviews with a policy maker, it helps to identify cases of non-effectively activated/delivered policy or regulation, or inconsistencies between conflicting norms. If such inconsistencies or incongruences (i.e. policy gaps) are identified, an additional investigation to policy experts is required (see Section 7.5).

SI case study analysis (quantitative-based)

Data collected during face-to-face or online structured interviews based on questionnaires is entered into Excel files. These are the basic infrastructure of the databases where collected data are recorded (and later processed, analysed and interpreted). The pioneer CS Team may add a descriptive analysis for each question. The pioneer CS Team should suggest possible indicators to be created on the basis of collected data and case study specificity¹²⁰. Some of the data¹²¹ are to be analysed by means of Social Network Analysis (SNA) and specialized software such as UCINET (Borgatti *et al.*, 2001) and R specific packages. However, the data to be collected in the pioneer CS will not be complete (only a few actors for category have to be interviewed for checking the feasibility of the method), and therefore cannot be used for finalizing the quantitative analysis. Rather, the CS Teams have to provide feedback and suggestions on possible indicators that can be created according to their observations from the pilot test application of the method, critical issues that can emerge during the data processing and analysis phases, any limitations they see in the practical adoption of the proposed methodology.

7.5. Step 4: Additional Instruments for Analysis

Step 4a: Interviews to policy experts

In case of policy gaps and remaining questions for non-effective policies for SI are encountered in the case study, a final set of questions for key policy experts on the region and the specific problem setting will be applied. These questions will be identified according to problem-specific and problem-centred characteristics, depending on the type of SI in the region as well as the specific policy gap in question. The policy experts can be, for example, representatives of public authorities working in the agriculture, forestry and rural development fields as well as on innovation at regional, national or higher level (e.g. EU). The additional interviews complement the understanding of learning processes and the analysis carried out at a local level, especially for exploring the reasons of policies discrepancies and inconsistencies. Procedural details and examples of possible questions are outlined in Deliverable 5.1, to guide the pioneer CS Team in formulating appropriate case-specific questions.

¹²⁰ In the final set of methods, a quantitative description of each component of the SI initiative is expected to be developed through the use of composite indicators, based on the aggregation and normalisation of one or more questions. The indicators composition has been described in Part III.

¹²¹ For example, those collected by means of questions questions E.a.3.2.- E.a.3.3.- E.a.3.4.- E.a.3.5.- E.a.3.6.- E.a.3.7. listed in Annex 1. Social Network Analysis can help study relationships among two or more actors (called ‘nodes’). It describes the structure of a network based on a single relationship type, through the use of indices and figures. Data entry in the Excel files needs adjacency (square) matrices, one per each relationship. In the evaluation framework, we analyse the information exchange among actors, their friendship relationship, the informal and collaboration network, and the level of trust. Moreover, the collaboration network is analysed across four temporal moments: before the SI idea arise, during the SI initiative, when the project achieves the first outputs, and after the project ends. Some of the node’s attributes (Questions C.f.2.4. and E.a.2.5.) are used as proxy indicators to measure the reputational power of the actors, interpreted both as decision making power (Dahl, 1957) and capacities and the influence of actors within network (Haugaard, 2010).



Step 4b: Impact evaluation based on statistical techniques and methods

If possible, an impact evaluation based on statistical techniques and methods should be set up. This approach to impact evaluation implies the possibility of selecting a statistically appropriate control group of beneficiaries (counterfactual), as the basis on which to measure the impacts specifically due to the SI initiative (cause-effect relation), and to isolate them from effects due to other factors. This requires that two technical conditions are contemporaneously respected in the case study:

- the number of treated units is sufficiently high, i.e. the number of the beneficiaries of the SI initiative in a certain marginalized rural area is equal to, or more than 30;
- the policy is not an universal one, i.e. there are units of the target population that are not treated or there is the possibility to identify a suitable comparison group of units not treated. For example, when a specific mountain valley (e.g. with geographical and/or cultural characteristics that make it unique) is subject to a universal treatment, meaning that all the population is treated (e.g. is involved in a SI project), then it is impossible to find a proper control group (e.g. there are not valleys that are sufficiently similar to the one treated, or there is a very limited number of people living in the area among which to identify enough involved with respect to not involved). In such cases, impact evaluation can be carried out but there are significant risks that the evaluation results will not be valid, or inaccurate, from a statistical point of view.

When these two conditions are not guaranteed in a case study, when available secondary data are not enough and/or when it is too costly for direct surveys to collect sufficient primary data, statistical techniques and methods for carrying out an impact evaluation should not be used. Table 24 provides qualitative-based screening criteria that the pioneer CS Teams can use to understand whether an impact evaluation is likely to be feasible in the case study area. Work Packages 4 and 5 Leaders will support the CS Teams in the screening and in the decisions about whether and how to proceed.

Table 24. Qualitative-based criteria to guide pioneer CS Teams in pre-screening the feasibility of an impact evaluation with statistical techniques and methods in the case study.

Key aspect (example)	Likely feasibility of using statistical techniques and methods for impact evaluation	
Limited sample size (e.g. only a few individuals involved in the social innovation)	low	
Control group with identical characteristics can easily be identified (e.g. the SI is in an area characterized by common features)		high
High level of secondary data on several different characteristics of individuals or groups in the same country where the case study is located (e.g. very detailed and updated census on the country's population available)		high
Control group small	low	
The SI is expected to have a detectable effect on measurable outcome variables (i.e. an effect that is measurable and not negligible)		high
Any special condition (e.g. multiple local cases networked in a national association)	To be checked case by case	

Source: SIMRA research team.



The statistical-based impact evaluation approach considers SI initiatives and projects as causes, the effects of which are measured in the evaluation. Designing such an impact evaluation in a case study area might be complex. Table 25 summarises general guidelines for designing how to apply an impact evaluation of a SI in MRA by adopting statistically robust techniques and methods. Work Packages 4 and 5 Leaders will support the pioneer CS Teams in this step.

Table 25. General guidelines for designing a statistically robust impact evaluation in SIMRA case studies.

Key question	Recommendations on possible methods and evaluation approaches	Explanation/notes
When?	In the case of SI, impact evaluation is possible only after the SI event took place/started (i.e. the treatment was delivered to the target population). Thus, only non-experimental methods can be used.	SI is a spontaneous event that cannot be pre-defined or planned in advance or imposed by a public authority (there might be supporting or enabling conditions, but whether the SI will start or not depends on the existence, ideas, willingness, etc. of innovators). Thus, only ex-post evaluations (once the SI has started) are possible.
What?	1. Target population	The target population has to be clearly defined since the outset, as part of the evaluation design. It consists of the units that are treated (i.e. participate at the activities of SI initiative directly) and are to be analysed. Units can be entities operating at different levels: micro (e.g. a single organisation, an individual), meso (e.g. networks) or macro (e.g. a whole sector in a country).
	2. Intervention	The SI can be seen as a single treatment. But a SI initiative can also be seen as delivering multiple treatments if it started various SI projects (e.g. targeting different vulnerable groups). In this latter case, the “most important” (or the first) project has to be selected for impacts evaluation.
	3. Outcome variables	Variables affected by the intervention/treatment, i.e. causally changed by it. These are measurable characteristics of the treated units.
How?	The impact evaluation design is case-specific.	The case-specificity applies to both “what” to evaluate and “how” to evaluate it.
	Matching in combination with diff-in-diff is one of the most recommended methods. It requires:	The basic idea is that for each treated unit the evaluator can select the best comparison unit or units (match) from another data source. Matches are selected on the basis of similarities in observed characteristics. To avoid the problems of matching (its controls for the selection on the observable variables but not from the selection on non-observable), and availability of longitudinal observations on the outcome variables for treated and comparisons, a combination with the difference in the difference method is recommend.
	- a case-specific evaluation design	The data to be identified and used vary case by case. In some EU countries there are large sets of secondary population data available. However, in others it might be necessary to collect data by long and costly direct surveys based on interviews or questionnaires.



	- a counterfactual case that is equal (in terms of characteristics of population) to the social innovation case to be evaluated.	The population to be considered for the choice of the comparison group should be as large as possible to enable good matches with the treated units.
	- that outcome variables are available both before and after the treatment	There is a need to have a baseline for the selected outcome variable(s).
	Instrumental variables is another possible method. It requires an instrumental variable that is related to the participation in the treatment but does not affect the outcome variables	The instrumental variable could be of a natural or legal nature (i.e. some eligible units are excluded from the treatment due to a natural "situation" or change in the laws during or just before the implementation of the SI initiative). It is a challenge to predict the possible use of this method since it is case-specific, due to the instrumental variable being connected to the specific situation or case of SI.

Source: SIMRA research team.

Table 26 reports the main steps that are necessary to set up such a kind of impact evaluation. The steps and their practical implementation are case-specific. Therefore, they have to be identified for the case study. Work Packages 4 and 5 Leaders will support the pioneer CS Teams in this step.

Table 26. Initial steps in setting up an impact evaluation based on statistical techniques and methods.

In theory	In practice, for SIMRA
Step 1: Defining questions to be answered by the impact evaluation	Decide the focus and objectives of evaluation. The key question can be: <i>"What is the causal effect of the social innovation initiative on an outcome on well-being (of the target group, and/or of the society as a whole at local level)?"</i>
Step 2: Constructing a theory of change	Identify the target population, the intervention that has determined changes and the outcome variables modified by the intervention.
Step 3: Developing a results chain	Identify the causal path that leads to the expected results: what activities have determined which specific effect on the beneficiaries?
Step 4: Selecting performance indicators	Select the outcome variables touched by the intervention and how to measure them.

Source: Source: SIMRA research team based on Giraldo, 2017, pers. comm.

7.6. Step 5: Common Final Reporting

The common final reporting includes the results from both of the analyses. The pioneer CS Team tests the use of the nine SI dimensions to summarise the results from the case study, using both qualitative and quantitative methods and tools. The narrative approach helps to describe the SI process in each step, while the quantitative indicators summarise (from 0 to 1) the case study characteristics, the performance of its actors and its impacts. Table 27 outlines a possible structure for the integrated analysis and results reporting.



Table 27. Tentative structure and types of contents for the final report.

SI dimension	Qualitative description	Quantitative description
1. Trigger and individual and collective needs 1.1 Trigger 1.2 Needs	Narrative	Indicators
2. Perceived context	Narrative	Indicators
3. Agency 3.1 Agents 3.2 Preparatory actions	Narrative	Indicators
4. Reconfiguring 4.1 New networks 4.2 New attitudes 4.3 New governance arrangements	Narrative	Indicators
5. Project activities	Narrative	Indicators
6. Outputs	Narrative	Indicators
7. Outcomes/impacts	Narrative	Indicators



8. Conclusions

The set of methods and tools developed and presented has the following key characteristics:

- 1) It is a preliminary set of methods and tools for the evaluation of SIMRA case studies of social innovation and related policy implications in marginalized rural areas, i.e. it is not the definitive and exhaustive approach to assess SI and its impacts in MRAs.
- 2) It is designed for initial use and testing in 2 or 3 pilot case studies of social innovation in marginalized rural areas, i.e. it is not the definitive set of methods and tools to be applied throughout all the case studies. The tests results will be used to improve and refine the set of methods and tools, and in particular the starting point (i.e. the list of questions for data collection), the sampling strategy, and the identification of impacts to create a consolidated version to be explained in training of the Case Study Teams, and used in the evaluation of case studies (Work Package 5) and in policy processes analysis (Work Package 6).
- 3) It explains how the set of methods and tools was co-created by taking into consideration both the suggestions provided by the SITT stakeholders and the existing literature on SI evaluation and other fields of evaluation. This includes reports published by other EU-funded research projects on SI., i.e. it integrates the requests expressed by practitioners, evaluators, experts on agriculture, forestry and rural development with the scientific knowledge on, and technical solutions for, evaluations.
- 4) It focuses on the operational instructions for data collection in case studies of social innovation (Work Package 5) and related policy implications (Work Package 6).. The instructions and methods for data processing and analysis will be developed after the pioneer tests using a sub-set of completed and refined during the implementation phase of the evaluation in the SIMRA case studies. This will be jointly and developed on the basis of the CSs evaluation results in collaboration with Work Package 5 (databases creation, data input, etc.), and included in the final version of methods and tools (i.e. in Deliverable 4.3).

This deliverable is designed for testing a set of methods for the evaluation of SI. This will enable their improvement on the basis of the results of the pioneer test phase in 2 to 3 pioneer case studies. Typically, in creating and setting a new instrument of evaluation, a large set of options in terms of aspects to be considered, specific questions, explanation of key words and tables are prepared and tested. After the test, aspects and/or questions that are redundant, useless and repetitive will be deleted or merged; those unclear, incomplete and improperly formulated will be refined; those too long and/or complex will be simplified. At the end of the process, the final set of methods and tools will be shorter and simpler, as well as more effective and efficient for the purpose of evaluation.

The approach proposed is mixed qualitative-quantitative-based, which integrates qualitative-pure methods (such as storytelling and focus group discussions) with the measurement of actors' perceptions (based on declared level of satisfaction, along a Likert scale, in face-to-face interviews), analysis of network structures in quantitative and qualitative ways (by means of Social Network Analysis), and impact evaluations. In particular, it allows combining in-depth analysis of complex phenomena (e.g. how the SI works directed towards SI practitioners and social scientists) with outputs of the evaluation that can be represented by synthetic data (e.g. numbers, indexes, and graphs, directed at policy makers), as intimated by SITT stakeholders.

The approach to evaluation of SI initiatives in marginalised rural areas will be step-wise. It includes an initial qualitative-based screening of those impacts considered more relevant ('significant') by the local actors, possibly complemented by a statistically robust analysis of cause-effect links between the social innovation and its impacts on one or more domains (economy, society, environment and governance/institutions). This second step will be realized only if technically feasible (e.g. secondary data available, counterfactual identifiable). The feasibility is case-specific. Therefore, the decision whether implementing an impact evaluation (or not) by means of specific statistical techniques will be taken case-by-case together with Case Study Teams and those working in Work Package 5.



The preliminary set of methods aims to enable the identification and measurement of the effects that SI might have on selected groups within society, i.e. the direct and indirect beneficiaries of the SI. Whilst the first group (direct beneficiaries) are those directly involved in, and affected by, the initiative, the second group (indirect beneficiaries) ideally include a representative sample of society as a whole (at least at a local level). SI is about particular groups, often but not necessarily disadvantaged, seizing opportunities and addressing downsides and trade-offs. SI may be nurtured by policy which makes the targeting and engagement of disadvantaged groups more likely, but they often have the least capacity for SI, so other forms of SI governance and collaborations and networks helping advantaged groups may be more common. Moreover, policy is often there to support vested interests. Complex interactions, such as those that characterise SI, have intended or unintended consequences on various components of socio-ecological systems (economy, society, environment and governance/institutions), that are rarely positive for everyone. SI is about choices and trade-offs and the room for manoeuvre of different actors and groups. We are confident that the final innovative set of methods and tools to evaluate SI, its impacts and policy implications in marginalized rural areas will contribute to better understanding and measurement of part of these effects and shed light on the social innovation “black box”, ultimately supporting policy makers and potential innovators in the future.



9. Acknowledgments

We are indebted to the SITT members, i.e. all the stakeholders who actively and constructively participated in our online consultations and, above all, in the face-to-face consultation exercise in Bratislava, October 2016. They have been patient and open in sharing their experiences, ideas and information thus allowing us to orient the direction of development the SIMRA evaluation methods.

We are grateful to all those SIMRA partners who provided comments and suggestions for the improvement of this deliverable. In particular, we would like to thank: Robert Lukesch (ÖAR, Austria), Manfred Perlik (UNIBE, Switzerland), Elena Górriz, Valentino Govigli and Inazio Martínez de Arano (EFIMED, Spain), Tatiana Kuvlankova-Oravska, Martin Špaček, Stanislava Brnkalakova and Veronika Gezik (IFE SAS, Slovacchia), Klaus Wagner and Sigrid Egartner (AWI, Austria).

Finally, we are particularly grateful to our statistician colleagues at the Department of Statistical Sciences at the University of Padova, Dr. Anna Giraldo and Prof. Maria Castiglioni, for their valuable comments and suggestions on the impact evaluation method, and checking the design, contents and consistency of the overall evaluation approach and specific tools (variables and indicators). We also want to thank our UNIPD colleague at the Department of Land, Environment, Agriculture and Forestry (TESAF), Dr. Mauro Masiero, for his suggestions in drafting the table of economic aspects on which a social innovation can have outcomes or impacts.

This project has received funding from the European Union's Horizon 2020 research and innovation programme under Grant Agreement No 677622.



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Annex 1: Preliminary List of Questions for the Assessment and Evaluation of Social Innovation Initiatives in Pilot Case Studies in Marginalised Rural Areas

These questions will be asked to one or more categories of respondents as indicated in PART IV.

A. INDIVIDUAL AND COLLECTIVE NEEDS

A.a. Trigger

A.a.1.1. Idea and Trigger

What triggered your idea?

- Was it a single time-bound event? Please describe which one: _____
- Was it an accumulation of events? Please describe which one: _____

A.a.1.2. Positive-Negative triggers

Did you perceive the event as a positive or a negative trigger? 1. Positive 2. Negative

Please, motivate your response: _____

A.a.1.3. Scale of the trigger

What was the geographical/spatial scale at which the trigger happened? *(Tick one or more, if pertinent)*

1. Local
2. Regional
3. National
4. International

A.a.1.4. Affected level

Who was affected by the trigger? *(more options)*

1. Myself
2. My family
3. My close friends
4. My community
5. Others *(specify)*: _____

A.a.1.5. Affected scale

How much were you personally affected by the trigger before you decided to act?

Scale from 1 (totally unaffected) to 10 (totally affected)

Totally
unaffected

Totally
affected

1 2 3 4 5 6 7 8 9 10

A.a.1.6. Dissatisfaction

How would you quantify your level of satisfaction with the situation when the trigger happened?

Scale from 1 (totally unsatisfied) to 10 (totally satisfied)

Totally

Totally



unsatisfied

satisfied

1 2 3 4 5 6 7 8 9 10

A.a.1.7. Satisfaction motivation.

Please motivate: _____

A.a.1.8. Reaction

How long did it take for you to react and respond with an idea of social innovation (SI idea)?

Please specify the period (days, weeks, months, years): |__|__|__|(days, weeks, months, years)

A.b. Social needs

A.b.1.1.- A.b.2.1. Individual and collective needs

Which were the personal and collective needs that you wanted to satisfy with your SI idea? *(Please list a maximum of 3 for each)*

Individual needs	Collective needs
1. _____	1. _____
2. _____	2. _____
3. _____	3. _____

A.b.1.2. – A.b.2.2. Scores of individual and collective needs

Which of the following category of needs did your SI idea try to satisfy? *(Tick one or more if the needs are interdependent, and give a score: - the sum of all completed scores must equal 100)*

Category of needs	Individual needs (sum to 100)	Collective needs (sum to 100)
Biological and Physiological needs (e.g., air, food, drink, shelter, warmth, sleep, parental care)	_ _ _	_ _ _
Safety needs (e.g., education, health and sanitation, security, law and order, stability)	_ _ _	_ _ _
Social needs (e.g., friendship, intimacy, trust and acceptance, receiving and giving affection and love, being part of a group, family, friends, work)	_ _ _	_ _ _
Esteem and cognitive needs (e.g., curiosity, exploration, confidence and self-esteem, knowledge, understanding and learning, mindfulness, mastery, achievement, meaningfulness and predictability, social responsibility, independence, status, prestige, reputational power)	_ _ _	_ _ _
Self/group-actualization needs (e.g., realizing personal potential, self-fulfilment, seeking personal/collective growth and peak experiences, creativity, appreciation and search for beauty, balance)	_ _ _	_ _ _
<i>Score sum</i>	<i>100</i>	<i>100</i>

A.c. Societal challenges

A.c.1. Type of societal challenges

A.c.1.1. Wider challenges

Do you think that your idea responds to challenges at a level wider than the local one? 1. Yes 2. No

A.c.1.2. Societal challenges

Do you think that your idea addresses any of the societal challenges listed below?



	Societal challenges	Yes
1	Health	☐
2	Demographic change	☐
3	Wellbeing	☐
4	Food security	☐
5	Sustainable agriculture and forestry	☐
6	Water	☐
7	Bioeconomy	☐
8	Secure, clean and efficient energy	☐
9	Smart, green and integrated transport	☐
10	Climate action	☐
11	Environment	☐
12	Resource efficiency and raw materials	☐
13	Inclusive societies	☐
14	Innovative societies	☐
15	Freedom	☐
16	Security	☐
17	Others (<i>specify</i>): _____	☐

A.d. Governance shifts

A.d.1.1. Critical elements of governance

To what extent was your idea aimed at solving critical elements of governance?

	Not at all	To a minor extent	To some extent	To a large extent
1. Support the involvement of civil society and citizens in decision-making processes	☐	☐	☐	☐
2. Support the voice of marginalised citizens	☐	☐	☐	☐
3. Ensure gender balance	☐	☐	☐	☐
4. Address an overwhelming bureaucracy	☐	☐	☐	☐
5. Address obsolete and rigid legal frameworks	☐	☐	☐	☐
6. Address brittle and inflexible public administrations	☐	☐	☐	☐
7. Address accountability and transparency of public and private organisations	☐	☐	☐	☐
8. Address conflict of interests and corruption in public and private organisations	☐	☐	☐	☐
9. . Others (<i>specify</i>): _____	☐	☐	☐	☐

A.d.1.2. Scale of governance

What was the geographical/spatial scale at which you wished to solve the critical elements of governance?
(Tick one or more, if pertinent)

1. Local
2. Regional



3. National
4. International

A.d.1.3. Governance dissatisfaction

How would you quantify your satisfaction with the governance situation when you started the SI idea?

Scale from 1 (totally unsatisfied) to 10 (totally satisfied)

Totally
unsatisfied

Totally
satisfied

1 2 3 4 5 6 7 8 9 10

A.d.1.3. Governance satisfaction motivation

Please motivate: _____

B. PERCEIVED CONTEXT

B.a. CONTEXT of MRA

[These indexes are based on data that the evaluator collects at the lowest available geographical level (e.g. in EU countries, the LAU2 level is recommended). These specific indexes of marginalisation in rural areas have been selected by WP 3]

B.a.1. Level of rurality

B.a.1.1. Population density

[Average or % under 150]

B.a.1.2. Evaluator selection

[This index is left open for the evaluator to identify together with key local experts]

B.a.2. Physical geography marginality

B.a.2.1. Mountain areas

[At least 50% of mountain areas through parameters selected by WP3]

B.a.2.2. Aridity

(Hyper arid, Arid, Semi-arid, Dry Sub-humid, Humid through parameters selected by WP3)

B.a.2.3. Island

(see WP3)

B.a.2.4. Evaluator selection

[This index is left open for the evaluator to identify together with key local experts]

B.a.3 Limited access to infrastructure

B.a.3.1. Access to the internet from home

B.a.3.2. Local road transport

B.a.3.3. Evaluator selection

[This index is left open for the evaluator to identify together with key local experts]

B.a.4. Population marginalisation



B.a.4.1. Income per-capita

B.a.4.2. Evaluator selection

[This index is left open for the evaluator to identify together with key local experts]

B.a.5. Others selected by the evaluator

B.a.5.1. Evaluator selection

[This index is left open for the evaluator to identify together with key local experts]

B.a.6. Initial perceived marginality

B.a.6.1. Perceived marginality

Do you agree that your territory was marginalised when the SI idea was started?

1. Yes
2. No

B.a.6.2. Elements of MRA

Before the SI initiative, which were the five main elements indicating that your territory could be considered marginalised?

1. _____
2. _____
3. _____
4. _____
5. _____

B.b. Perceived opportunity and threats (P)OT

B.b.1.1/B.b.2.1./B.b.3.1/B.b.4.1. (Table below)

Which were, if any, the main opportunities and threats (in terms of events, trends, societal framework conditions, institutions, structures and/or discourses) that you faced during the initial steps of the social innovation, moving from the SI idea to the preliminary activities (action)?

(max 3 condition per category; leave empty whenever it applies)

	OPPORTUNITIES (ENABLING CONDITIONS)	THREATS (CONSTRAINING CONDITIONS)
B.b.1. Economic	1 _____	1 _____
	2 _____	2 _____
	3 _____	3 _____
B.b.2. Social	1 _____	1 _____
	2 _____	2 _____
	3 _____	3 _____
B.b.3. Environmental	1 _____	1 _____
	2 _____	2 _____
	3 _____	3 _____
B.b.4 Institutional	1 _____	1 _____
	2 _____	2 _____
	3 _____	3 _____

B.b.1.2/B.b.2.2./B.b.3.2/B.b.4.2. (Table below)

In a scale from -2 (constraining) to +2 (enabling), how would you evaluate the level of influence of the following conditions on the development of your SI idea?

(Feel free to add items in the empty spaces; if you can't think of any, leave them empty)



	Constraining aspects		Neutral	Enabling aspects	
	-2	-1	0	+1	+2
B.b.1. Economic conditions					
Economic growth					
Economic crises					
Market demand					
Market supply					
Amount of available resources (absolute advantage)					
Cost of required resources (comparative advantage)					
Market infrastructure					
Access to ICT technologies					
Productivity					
Access to data					
Labour supply					
Market prices					
Fiscal system					
Financing					
B.b.2. Social conditions					
Demographic trends					
Health care system					
Cooperation among social actors					
Civic engagement					
Services to disadvantaged groups (elderly, children, global health threats)					
Education					
Skills					
B.b.3. Environmental conditions					
Protected areas					
Biodiversity					
Natural resources					
Land use					
Sustainable use of resources					
Natural hazards					
Water for human activities and consumption					
Pollution					
Climate change					
B.b.4. Institutional conditions					
Public services to sustain employment					
Lifelong learning policies					
Specific sectoral laws					
Policies sustaining the green economy					
Short-terminism in decision making					
Subsidies and quotes					
Bureaucracy					



Public-private partnerships

New governance arrangements

Property rights

B.b.5. Changing opportunities and threats

B.b.5.1. Motivation on past (P)OT

Please motivate your responses to the opportunities and threats that you think enabled or constrained your SI idea: _____

B.b.5.2. (P)OT during the SI initiative

Do you think that the opportunities and threats have changed during the SI initiative?

B.b.5.3. (P)OT after the SI initiative

Thanks to the social innovation initiative, do you think that the opportunities and threats have changed?

C. AGENCY-AGENTS

C.a. Innovative ideas

C.a.1. Typology of innovation

C.a.1.1. Content of the SI idea

What is the innovative idea? Please describe it.

C.a.1.2. Type of innovation

How do you classify your idea as “innovative”? (*Tick all that apply*)

1. a new product;
2. a new service;
3. a new process;
4. a new procedure;
5. a new practice;
6. a new organisation;
7. a new network
8. Other (*specify*): _____

C.a.2. Novelty

C.a.2.1. Novelty of the SI idea

Why would you qualify the new idea as “novel” when compared to business-as-usual?

C.a.2.2. Valuable idea

Why did you think that the SI idea was valuable?

C.a.2.3. Source of the SI idea

Is your idea:

1. Something totally new (invention)
2. Modified and adapted to the context (modification)
3. Simply replicated or adapted to the context (adaptation)?

C.b. Clique

C.b.1: SI Innovator/s

C.b.1.1. Characteristics of the SI innovator/s



Who are the innovators/creators of the idea?

(Please provide name and descriptive features of the innovator: age, gender, location in MRA, educational level and employment)

C.b.2. Followers

C.b.2.1. Characteristics of followers

Who are the followers of the innovator?

(Please provide name and descriptive features of the innovator: age, gender, location in MRA, educational level and employment)

C.b.2.2. Initial reaction of followers

What was your immediate reaction when you first heard about the idea?

C.b.2.3. Inspiration

Why did you follow the innovator? *(Tick all that apply)*

1. The social innovation idea *per se*
2. Leadership and charismatic features the innovator
3. Previous relationship with the innovator
4. Others, please specify _____

C.b.2.4. Support of followers

How did you support the idea/innovator/s?

C.c. Vision and trust

C.c.1. Vision

C.c.1.1. Vision

What was your vision when you decided to engage with the SI initiative?

C.c.1.2. Envisioned role/s

When you decided to engage with the SI initiative, did you have an idea of your possible role/s?

C.c.1.3. Envisioned effect/s

When you decided to engage with the SI initiative, did you have an idea of the possible effect/s?

C.c.2. Social relationships and interpersonal trust

C.c.2.1. Relation

Did you engage with the SI initiative because your relationship with the innovator was of *(Tick all that apply)*:

1. Friendship
2. Collaborative working relationship
3. Expertise of the topic
4. Completely unknown
5. Others, please qualify _____

C.c.2.2. Trust in the innovator

Did you engage with the SI initiative because you trusted the innovator *(question to the follower)*?

C.c.2.3. Trust in the clique

When you first engaged with the SI initiative, did you trust the agents involved in the clique?



1. Very few
2. Some
3. Most
4. All of them

C.d Willingness to act

C.d.1 Location and personal experience

C.d.1.1. Relation with community

How are you related to the local community? (*Tick all that apply*)

1. Born and raised in the community
2. First-hand encounter with the community's issue/s
3. Born, studied away from the area and then came back
4. Official worker in the community
5. Resident of the community

C.d.1.2. Experience

Do you work or have working experience in the same field as the one of the SI?

C.d.1.3. Competences and skills

Which competences or skills did you bring to the network?

C.d.1.4. Distinctiveness

Are you the only one with these competences or skills?

C.d.2. Sense of challenge

C.d.2.1. Challenge

How and to what extent did the people involved in the SI initiative had a sense that they could challenge the social context?

Please explain: _____

C.d.2.2. Resilience

Did you think the clique had the capacities for overcoming obstacles and the flexibility to adapt to changing circumstances?

Scale from 1 (totally disagree) to 10 (totally agree)

Totally
disagree

Totally
agree

1 2 3 4 5 6 7 8 9 10

C.e. Reflexivity

C.e.1 Reflexivity on emergence, development and evolution of the SI idea

C.e.1.1. Critical reflection

How was your idea based on a critical reflection of the situation in your territory?

C.e.1.2. SI idea modification/change

Did the innovator and/or followers (clique) modify or change the initial idea? When?

C.e.1.3. Content of modification/change



How and why was the idea modified or changed?

C.e.1.4. Evolution of the SI idea

When you were implementing the project, did you recognise limits of the initial idea in relation to unforeseen pitfalls or drawbacks?

C.f. Capacity for change

C.f.1. Competences

C.f.1.1. Skills

When you were developing the idea, did you feel you had the required skills to implement it?

1. I had no skills at all
2. I had few skills
3. I had many of the required skills
4. I had all the required skills

C.f.1.2. Shared competences

Which were the three main competences you shared with the clique to develop the SI initiative?

1. _____
2. _____
3. _____

C.f.1.3. Past experience

Before engaging with the initiative, did you already undertake a similar experience elsewhere?

1. Yes
2. No
3. If yes, please describe it: _____

C.f.2. Leadership and Entrepreneurship

C.f.2.1. Formal influence

At present, who in the network has the role of:

1. Top-management position, with discretion over budget and organisational/strategic direction
2. Middle-management, with control over execution/implementation
3. Members that follow the organisation/implementation of directives

- Please provide the names in the table:

C.f.2.2. Formal authority

At present, who holds a formal role of authority outside of the initiative?

- Please provide the names in the table:

C.f.2.3. Informal influence

In the community, who influences decision-making within the network, informally?

- Please provide the names in the table:

C.f.2.4. Informal authority

Who has informal authority within the initiative in terms of:

1. Knowledge



2. Learning
3. Capacity for outreach/development/growth of the initiative
4. Capacity for socialization
5. Linking/Networking

- Please provide the names in the table:

Actors of the network	Management		Formal role outside	Influence decisions	Informal authority				
	Middle	Top			Knowledge	Learning	Development	Socialization	Networking
A	☐	☐	☐	☐	☐	☐	☐	☐	☐
B	☐	☐	☐	☐	☐	☐	☐	☐	☐
C	☐	☐	☐	☐	☐	☐	☐	☐	☐

D. AGENCY - PREPARATORY ACTIONS

D.a. Availability of resources

D.a.1. Importance of resources

D.a.1.1. Internal resources

Did you use your own resources for starting the SI process? Please list them

D.a.1.2. External resources

Did you need additional external resources for starting the SI process? Please list them

D.a.1.3. Skills

Did you have the skills required for starting the SI process? Please list them

D.b. Idea formulation and communication (message refining, value sharing, writing)

D.b.1. Social vision and expectations

D.b.1.1 Social vision

Was your idea based on a social vision? If yes, please describe it _____

D.b.1.2. Expectations

During the idea formulation, what were your concrete expectations in terms of:

1. New networks: _____
2. New attitudes: _____
3. New governance arrangements: _____

D.b.2. Idea communication

D.b.2.1. Communication

Was the idea written down clearly, for communicating it to the initial stakeholders?

D.b.2.2. Idea protection

Did you protect the ownership of your idea before engaging with the stakeholders?

D.c. Information collection and readiness

D.c.1. Information collection

D.c.1.1. Preliminary analysis

Did you do a preliminary analysis of similar initiatives?

D.c.1.2. Data

Did you collect data on the local or neighbouring contexts?



D.c.1.3. Markets

Did you study possible markets and/or competitors?

D.c.2. Readiness

D.c.2.1. Control of idea

Would have you been ready to give up some level of control over your idea to seek the support of external partners?

D.c.2.2. Social business model

Did you have an integrated social and business model that you followed?

D.d. Identification of partners and stakeholders (contacts, meetings, expectation rise management)

D.d.1. Identification of stakeholders

D.d.1.1. Identification

How did you identify the stakeholders who could have taken part in the SI process?

D.d.1.2. Addressing gaps

Did you identify the stakeholders based on specific gaps you perceived needed to be fulfilled?

D.d.1.3. New contacts

Did you know the stakeholders or were they new contacts?

1. Close contacts
2. Already known by name
3. Unknown but recommended by close contacts
4. Completely new contacts

D.d.2. Engagement of stakeholders

D.d.2.1. Means of contact

How many stakeholders did you contact:

1. Personally
2. By phone
3. By mail
4. By other instruments (*specify*): _____
5. I have been contacted by: _____

D.d.2.1. Means (*to network*)

How were you contacted?

1. Personally
2. By phone
3. By mail
4. By other instruments (*specify*): _____
5. "I contacted the initiators"

D.d.2.2. Meetings

How many meetings did you organise with them?

D.d.2.3. Declined participation

How many stakeholders declined to participate to the meeting/s?



D.d.2.4. Expectation rise

Which expectations did you raise with the stakeholders?

D.d.2.4. Expectations (*to network*)

What were your expectations when you were contacted?

1. I had no expectations at all
2. I had few expectations
3. I had some expectations
4. I had many expectations

D.d.3. Management of the stakeholders

D.d.3.1. Management of interactions

Did you envisage how you would organise interactions among stakeholders?

D.d.3.2. Rules

Did you define some initial rules?

D.d.3.3. Facilitator

Did you involve any professional experts/facilitators?

D.d.3.4. Conflict management

Did you plan how to manage possible conflicts during the interactions among stakeholders?

D.d.3.5. Conflict resolution

Did you think about how you would resolve conflicts?

E. RECONFIGURING AND RECONFIGURED SOCIAL PRACTICES

E.a. New networks

E.a.1. Composition of the networks

E.a.1.1. Multiple actors

Are you an:

1. Entrepreneur (private sector)
2. Entrepreneur (non for profit)
3. Public sector (different levels of administration)
4. Member of an association
5. Citizen

E.a.1.2. Units and groups

Do you represent:

1. Yourself as an individual actor
2. A group of individual actors
3. An organization
4. An institution

E.a.1.3. Multiple sectors

Which is your sector?



1. Agriculture
2. Livestock
3. Forestry
4. Rural development
5. Other sector/s (specify): _____

E.a.1.4. Multiple levels

At which level do you usually work?

1. Local
2. Regional
3. National
4. International

E.a.1.5. Openness of the network

The network is:

1. Already existing (already existing and closed)
2. Predefined during the conception (not already existing and closed)
3. Defined during the reconfiguring (not already existing and open till the reconfigured)
4. Open to participatory process (open also after the reconfigured)

E.a.1.6. Attributes of nodes

[These items are not going to be considered in the questionnaires and are included only for potential matching in impact evaluation]

	<i>Individual</i>	<i>Organisation/Enterprise</i>	<i>Institutions</i>
Age	<i>How old are you?</i>	<i>When was your org/ent created?</i>	<i>Is your institution new to the territory?</i>
Gender	<i>Are you a male or female? Or prefer not to respond</i>	<i>Is your org/ent for- or not-for-profit?</i>	<i>Which is the scale of your inst/ent? (local, regional, national)</i>
Employment	<i>What is your job?</i>	<i>Are you a small-medium-large org/ent? (N° of employees)</i>	<i>N° of employees</i>
Education	<i>What is your educational level?</i>	<i>Educational level of employees</i>	

E.a.2. Structure of the network

E.a.2.1. New network

According to your experience, in a scale from 1 to 10, to which extent do you believe that the new network is innovative?

Scale from 1 (not innovative) to 10 (totally innovative)

Not
innovative

Totally
innovative



1 2 3 4 5 6 7 8 9 10

E.a.2.2. Innovative elements

Which are the elements that make the new network innovative? List a maximum of three elements

1. _____
2. _____
3. _____

E.a.2.3. Inclusiveness

During the reconfiguring phase, on a scale from 1 to 10, to which extent do you think that the new network is inclusive, involving people that are usually not included in community initiatives?

Scale from 1 (not inclusive) to 10 (totally inclusive)

Not inclusive									Totally inclusive
1	2	3	4	5	6	7	8	9	10

E.a.2.4. Representativeness

In a scale from 1 to 10, to which extent are the actors in the network representative of ...

Institutions?

Scale from 1 (not representative) to 10 (totally representative)

Not representative									Totally representative
1	2	3	4	5	6	7	8	9	10

Organizations (e.g., civic, voluntary associations, not-for-profit)?

Scale from 1 (not representative) to 10 (totally representative)

Not representative									Totally representative
1	2	3	4	5	6	7	8	9	10

Enterprises (i.e., for-profit, third sector)?

Scale from 1 (not representative) to 10 (totally representative)

Not representative									Totally representative
1	2	3	4	5	6	7	8	9	10

E.a.2.5. Capacities

Please, indicate which actors had the highest...

1. Ability to mobilize resources
2. Power in decision making
3. Inclination in project implementation
4. Aptitude to convening and consulting with other actors
5. Capacity to create bridges with external actors
6. Dedication to promoting the SI initiative

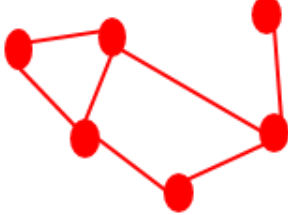
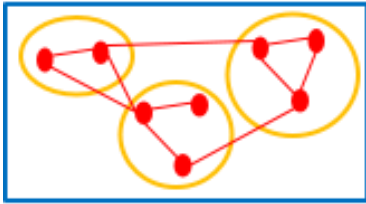
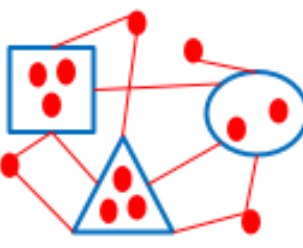


Actors of the network	Mobilising resources	Decision making	Implementing	Convening/ Consulting	Bridging	Promoting
A	☐	☐	☐	☐	☐	☐
B	☐	☐	☐	☐	☐	☐
C	☐	☐	☐	☐	☐	☐

E.a.3. Relationships

E.a.3.1. Network typology

Did the SI process of reconfiguring create a network based on:

 a) external relations among individual actors	 b) internal relations (within an organisation/enterprise/institution) among individual actors
 c) external relations among collective actors (organisation/enterprise/institution)	 d) a mix model of external-internal relations among individual-collective actors

E.a.3.x.

Please, indicate with which actors:

- E.a.3.2. You had a continuous information exchange
- E.a.3.3. You had a friendship relationship
- E.a.3.4. You had an informal collaboration
- E.a.3.5. You had a formal collaboration
- E.a.3.6. You fully trusted

Actors of the network	Information exchange	Friendship	Informal collaboration	Formal collaboration	Full trust
A	☐	☐	☐	☐	☐
B	☐	☐	☐	☐	☐
C	☐	☐	☐	☐	☐

E.a.3.7. Before and after

With whom:

1. Did you collaborate before the SI idea?
2. Did you collaborate during the SI process?
3. Did you collaborate for achieving the SI project output?
4. Do you still collaborate in other projects and initiatives?



Actors of the network	Before the SI idea	During the SI process	For achieving the SI outputs	After the SI initiative
A	☐	☐	☐	☐
B	☐	☐	☐	☐
C	☐	☐	☐	☐

E.b. NEW ATTITUDES

E.b.1. Level of sharing

E.b.1.1. Reasons

Why did you join the SI process?

E.b.1.2. Intrinsic motivation

I participated:

1. To be personally fulfilled
2. To participate in interesting activities
3. To have tasks of responsibility

E.b.1.3. Extrinsic motivation

I participated:

1. To receive recognition from my peers
2. To show others that I serve a good cause
3. For others to perceive me as a responsible person
4. To be positively esteemed by my environment

E.b.1.4. Objectives

Were the vision and the objectives of the SI process clear?

1. No, it was not
2. In part
3. For the most part
4. Yes, everything was clear

E.b.1.5. Needs

Which trigger or social need do you think the SI process was attempting to face?

E.b.1.6. Attitude

In a scale from 1 to 10, do you think the SI process has created a new social attitude?

Scale from 1 (Not at all) to 10 (To a great extent)

Not at
all

To a great
extent

1 2 3 4 5 6 7 8 9 10

E.b.2. Informal Institutions

E.b.2.1. Expectations



In a scale from 1 to 10, what was your level of expectation on the SI reconfiguring process?

Scale from 1 (Very few) to 10 (Very high)

Very low

Very high

1 2 3 4 5 6 7 8 9 10

E.b.2.2. Individual attitudes

In a scale from 1 to 10, where 1 refers to “totally pessimistic” and 10 to “totally optimistic”, would you think of yourself as more as a negative or a positive person?

Scale from 1 (Totally pessimistic) to 10 (Totally optimistic)

Totally
Pessimistic

Totally
Optimistic

1 2 3 4 5 6 7 8 9 10

E.b.2.3. Collective attitudes

During the reconfiguring process, did you believe that the SI initiative would have led to the expected effects?

Scale from 1 (Not at all) to 10 (To a great extent)

Not at all

To a great
extent

1 2 3 4 5 6 7 8 9 10

E.b.2.4. Changes

When did you start believing that there would be concrete change?

1. I always believed in it
2. During the conception and the reconfiguring process
3. After the first results of the SI project activities
4. I still don't see concrete changes

E.b.2.5. List of changes

Please list the three major ones: _____

E.b.2.6. Proactive individual attitudes

When did your attitude towards the SI process become pro-active?

1. Since the beginning
2. During the ideation and the reconfiguring process
3. After the first results of the SI project activities
4. Not yet

E.b.2.7. Enthusiasm

Over the period of change, has your level of enthusiasm in the initiative:

1. Worsened
2. Remained the same



3. Improved

E.b.2.8. Objective obstacles

During the SI process of reconfiguring, were there issues that influenced positively or negatively your expectations/beliefs? Please, list the three main ones, if any.

Positively

1. _____
2. _____
3. _____

Negatively

1. _____
2. _____
3. _____

E.b.2.8. Objective obstacles (to experts)

During the SI process of reconfiguring, were there issues that negatively or positively influenced expectations/beliefs of stakeholders? Please, list the three main ones, if any.

Positively

1. _____
2. _____
3. _____

Negatively

1. _____
2. _____
3. _____

E.b.3. Level of commitment

E.b.3.1. Voluntary

Did you participate in the SI process:

1. Thanks to an economic incentive
2. Because you knew you could receive an economic benefit
3. Without expecting any economic reward

E.b.3.2. Time spent

How much time did you spend during the SI process?

| ____ | (specify the unit (e.g., days, weekly, monthly, yearly): _____)

E.b.3.3. Monetary contribution

Did you provide a monetary contribution? How much?

E.b.3.4. In-kind

Did you contribute in-kind? Please specify the typology.

E.b.3.5. Engagement of civil society

Was there a voluntary engagement of civil society?

E.c. New governance arrangements

E.c.1. Internal

E.c.1.1. Innovative internal governance

To what extent were changes in internal governance processes socially innovative? *Please indicate your score in a scale from "not at all" to "a great extent".*

1. Not at all
2. To a small extent
3. To some extent
4. To a great extent



5. I don't know

E.c.1.2. Internal new ways of organising

During the SI process, did you see new ways of organising?

E.c.1.3. Coordination mechanism

Which new coordination mechanisms did you see? (*all that apply*)

1. Mutual informal coordination
2. Direct supervision whereby one or a few people take responsibility
3. Standardization of work processes through formal rules
4. Other. Please specify _____

E.c.1.4. Formalisation of rules

To what extent were rules formalised?

1. Not at all
2. To a small extent
3. To some extent
4. To a great extent
5. I don't know

E.c.1.5. Types of rules

Which were, if any, the main formal and informal internal rules for coordination?

Formal rules	Informal rules
1. _____	1. _____
2. _____	2. _____
3. _____	3. _____

E.c.1.6. Sanctions

Was there a formalized system of sanctions for those not respecting the internal rules?

1. No
2. Not formalized: sanctions were arranged case by case
3. Yes, there was a gradual system of sanctions, increasing with the level of recidivism
4. Yes, there was a fixed system of sanctions

E.c.1.7. Examples of sanctions

Please, provide some examples of sanctions: _____

E.c.1.8. Decision-making process

To experts. What was the level of project partners' engagement during the SI process? (<i>Please tick one option</i>)	To network. What was your level of engagement during the SI process?
Information Consultation Involvement Collaboration Empowerment Total control	



E.c.1.9. Involvement in decision-making

To what extent did you feel that you were being involved in the SI process through specific internal governance arrangements?

1. I was informed of the decisions taken
2. I was consulted before a decision was taken
3. I was involved in decision making
4. I actively collaborated in decision-making

E.c.1.10. Empowerment

To what extent did you feel that the internal governance arrangements of the SI process empowered you?

1. Not at all
2. To a small extent
3. To some extent
4. To a great extent
5. I don't know

E.c.1.11. Transparency

Are the decision-making reports or agreements easily available to the project partners of the SI process?

E.c.2. External

E.c.2.1. Change

To what extent did formal institutions change to help the SI process?

1. Not at all
2. To a small extent
3. To some extent
4. To a great extent
5. I don't know

E.c.2.2. New arrangements

Which new policies, laws, regulations, guidelines, codes, and standards arrangements have been adopted/changed/adapted to facilitate the emergence of the SI? *(If none, you don't have to fill in the table)*

Who?	How?	What new?	Describe
☐ Municipality ☐ Province ☐ Region ☐ _____ Other	☐ Adopt ☐ Change ☐ Adapt	☐ Policy ☐ law ☐ regulation ☐ guideline ☐ code ☐ standard ☐ Others	
☐ Municipality ☐ Province ☐ Region ☐ Other	☐ Adopt ☐ Change ☐ Adapt	☐ Policy ☐ law ☐ regulation ☐ guideline ☐ code ☐ standard ☐ Others	
☐ Municipality ☐ Province ☐ Region	☐ Adopt ☐ Change ☐ Adapt	☐ Policy ☐ law ☐ regulation	



☐ Other		☐ guideline ☐ code ☐ standard ☐ Others	
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E.c.2.3. External new ways of organising

How did external actors help you achieve new ways of organising?

E.c.2.4. Help desk

Did the local government have a help desk dedicated to innovation and research?

F. PROJECT ACTIVITIES

F.x.n.n.

The following activities are commonly recognized as key for project planning. For each item, we ask you to please tick (providing evidences if necessary) whether you...

- a) planned and discussed it
- b) formulated it into written tasks and roles
- c) applied it in practice.

Project plan	1 Activities: did you plan and discuss about ...?	2 Procedures: did you formulate the activity into written tasks and roles?	3 Practices: did you apply it in practice?
F.a. Planning the initiative			
1. New mission and objectives	☐ Yes	☐ Yes	☐ Yes
2. List of activities	☐ Yes	☐ Yes	☐ Yes
3. Definition of tasks within each activity	☐ Yes	☐ Yes	☐ Yes
4. Schedule of activities	☐ Yes	☐ Yes	☐ Yes
5. Milestones	☐ Yes	☐ Yes	☐ Yes
6. Business plan	☐ Yes	☐ Yes	☐ Yes
F.b. Human resources management			
1. Compliance with national employment law	☐ Yes	☐ Yes	☐ Yes
2. Training for staff	☐ Yes	☐ Yes	☐ Yes
3. Gender balance	☐ Yes	☐ Yes	☐ Yes
4. Merit-based system	☐ Yes	☐ Yes	☐ Yes
F.c. Financial resources management			
1. Inputs to carry out activities	☐ Yes	☐ Yes	☐ Yes
2. Budget allocated to each activity	☐ Yes	☐ Yes	☐ Yes
3. Source of funding (internal, external) for each budget item	☐ Yes	☐ Yes	☐ Yes
4. National public sources of funding	☐ Yes	☐ Yes	☐ Yes
5. EU sources of funding	☐ Yes	☐ Yes	☐ Yes
6. Participatory or social budgeting	☐ Yes	☐ Yes	☐ Yes
F.d. Infrastructural resources management			



1. Transport facilitation for employees	☐ Yes	☐ Yes	☐ Yes
2. Promotion of sustainable practices	☐ Yes	☐ Yes	☐ Yes
3. Access to recreational facilities	☐ Yes	☐ Yes	☐ Yes
4. Access to Wi-Fi	☐ Yes	☐ Yes	☐ Yes
5. Access to open spaces for breaks	☐ Yes	☐ Yes	☐ Yes

F.e. External interactions management

1. Communication strategy	☐ Yes	☐ Yes	☐ Yes
2. Communication and social media managers	☐ Yes	☐ Yes	☐ Yes
3. Marketing strategy	☐ Yes	☐ Yes	☐ Yes

F.f. Administration

1. Archiving system	☐ Yes	☐ Yes	☐ Yes
2. Accounting staff	☐ Yes	☐ Yes	☐ Yes
3. Administrative staff	☐ Yes	☐ Yes	☐ Yes

F.g. Monitoring and evaluation

1. Monitoring of activities and outputs	☐ Yes	☐ Yes	☐ Yes
2. Transparency of monitoring process	☐ Yes	☐ Yes	☐ Yes
3. Annual report	☐ Yes	☐ Yes	☐ Yes
4. Analysis of external limiting factors	☐ Yes	☐ Yes	☐ Yes

G. OUTPUTS

G.a. Products and Services

G.a.1. Tangible

G.a.1.1. Considered new

How many new products and/or service did your organisation delivered in the first 18 months? |__|__|

G.a.1.2. New list

Please, list the main ones:

1. _____
2. _____
3. _____
4. _____
5. _____

G.a.2. Intangible

G.a.2.1

Thanks to the SI project, did you have access to new contacts or persons useful for...

	Not at all	To a small extent	To some extent	To a great extent
...1. Information sharing?	☐	☐	☐	☐
...2. Horizontal work/collaboration?	☐	☐	☐	☐
...3. Vertical collaboration?	☐	☐	☐	☐
...4. New projects?	☐	☐	☐	☐

G.b. Direct beneficiaries

G.b.1.1. Existing beneficiaries



On average, how many beneficiaries does your organisation work with regularly? |__|__|__|

G.b.1.2. New beneficiaries

How many new beneficiaries did you reach due to the new products and/or services delivered? |__|__|__|

G.b.1.3. Characteristics

What are the socio-economic characteristics of the direct beneficiaries?

G.b.1.4. Marginalised

How many beneficiaries are located within the marginalised rural area? |__|__|__|

G.b.1.5. Minorities

How many beneficiaries are considered part of groups who are weakly involved in, or excluded by, the community? |__|__|__|

Feel free to add comments on these aspects.

G.c. Satisfied needs

G.c.1.

To what extent ...

	Not at all	To a small extent	To some extent	To a great extent
...1. Do you like the new delivered products and/or services?	☐	☐	☐	☐
...2. Have the new products/services addressed your individual needs?	☐	☐	☐	☐
...3. Have the new products/services addressed your community needs?	☐	☐	☐	☐

G.c.1.

Specifically, which individual or community needs have been satisfied?

4. Individual needs: 1 _____ 2 _____ 3 _____
5. Collective needs: 1 _____ 2 _____ 3 _____

G.c.1.6. Success of the SI

With respect to the social needs you wanted to address, do you think the SI project fulfilled them?

1. Not at all
2. To a small extent
3. To some extent
4. To a great extent

G.c.1.7. Satisfied needs

Please, list the social needs you addressed: _____

H. OUTCOMES AND IMPACTS

H.a. Indirect beneficiaries

H.a.1. Does the SI initiative...

Disagree strongly Disagree Neither agree nor disagree Agree Agree Strongly I don't know



	-2	-1	0	1	2	9
.1. ...lead to benefits for other indirect beneficiaries as well?	☐	☐	☐	☐	☐	☐
.2. ... help to address social problems of the community?	☐	☐	☐	☐	☐	☐

H.a.1.3. Characteristics

What are the socio-economic characteristics of the indirect beneficiaries?

Feel free to add comments on these aspects.

H.b. Outcomes

H.b.1. Societal challenges

Looking at a wider level, do you think that...

H.b.1.1. contextual conditions have changed compared to when you initially had the idea?

Use the following scale for CHANGE:

Worse	Slightly worse	Equal	Slightly improved	Improved
☐ -2	☐ -1	☐ 0	☐ +1	☐ +2

H.b.1.2. the SI initiative contributed to address any societal challenges?

Use the following scale for SI CONTRIBUTION:

Not at all	To a small extent	To some extent	To a great extent
☐ 1	☐ 2	☐ 3	☐ 4

Societal challenges	Change					SI contribution			
(1) Health	☐ -2	☐ -1	☐ 0	☐ +1	☐ +2	☐ 1	☐ 2	☐ 3	☐ 4
(2) Demographic change	☐ -2	☐ -1	☐ 0	☐ +1	☐ +2	☐ 1	☐ 2	☐ 3	☐ 4
(3) Income	☐ -2	☐ -1	☐ 0	☐ +1	☐ +2	☐ 1	☐ 2	☐ 3	☐ 4
(4) Jobs	☐ -2	☐ -1	☐ 0	☐ +1	☐ +2	☐ 1	☐ 2	☐ 3	☐ 4
(5) Housing	☐ -2	☐ -1	☐ 0	☐ +1	☐ +2	☐ 1	☐ 2	☐ 3	☐ 4
(6) Life satisfaction	☐ -2	☐ -1	☐ 0	☐ +1	☐ +2	☐ 1	☐ 2	☐ 3	☐ 4
(7) Education	☐ -2	☐ -1	☐ 0	☐ +1	☐ +2	☐ 1	☐ 2	☐ 3	☐ 4
(8) Food security	☐ -2	☐ -1	☐ 0	☐ +1	☐ +2	☐ 1	☐ 2	☐ 3	☐ 4
(9) Sustainable agriculture and forestry	☐ -2	☐ -1	☐ 0	☐ +1	☐ +2	☐ 1	☐ 2	☐ 3	☐ 4
(10)Water	☐ -2	☐ -1	☐ 0	☐ +1	☐ +2	☐ 1	☐ 2	☐ 3	☐ 4
(11)Energy	☐ -2	☐ -1	☐ 0	☐ +1	☐ +2	☐ 1	☐ 2	☐ 3	☐ 4
(12)Transport	☐ -2	☐ -1	☐ 0	☐ +1	☐ +2	☐ 1	☐ 2	☐ 3	☐ 4
(13)Climate action	☐ -2	☐ -1	☐ 0	☐ +1	☐ +2	☐ 1	☐ 2	☐ 3	☐ 4
(14)Environment	☐ -2	☐ -1	☐ 0	☐ +1	☐ +2	☐ 1	☐ 2	☐ 3	☐ 4
(15)Resource efficiency	☐ -2	☐ -1	☐ 0	☐ +1	☐ +2	☐ 1	☐ 2	☐ 3	☐ 4
(16)Raw materials	☐ -2	☐ -1	☐ 0	☐ +1	☐ +2	☐ 1	☐ 2	☐ 3	☐ 4



(17)Inclusive societies	☐ -2	☐ -1	☐ 0	☐ +1	☐ +2	☐ 1	☐ 2	☐ 3	☐ 4
(18)Civic engagements	☐ -2	☐ -1	☐ 0	☐ +1	☐ +2	☐ 1	☐ 2	☐ 3	☐ 4
(19)Innovative societies	☐ -2	☐ -1	☐ 0	☐ +1	☐ +2	☐ 1	☐ 2	☐ 3	☐ 4
(20)Secure societies	☐ -2	☐ -1	☐ 0	☐ +1	☐ +2	☐ 1	☐ 2	☐ 3	☐ 4
(21)Migration	☐ -2	☐ -1	☐ 0	☐ +1	☐ +2	☐ 1	☐ 2	☐ 3	☐ 4
(22)Freedom	☐ -2	☐ -1	☐ 0	☐ +1	☐ +2	☐ 1	☐ 2	☐ 3	☐ 4
(23)Security	☐ -2	☐ -1	☐ 0	☐ +1	☐ +2	☐ 1	☐ 2	☐ 3	☐ 4

H.b.2. Governance shifts

H.b.2.1. Shifts

To what extent do you think that the SI initiative addressed critical elements of local and regional governance?
Please indicate your score on a scale from “not at all” to “a great extent”.

	Not at all	To a minor extent	To some extent	To a large extent
1. Support the involvement of civil society and citizens in decision-making processes	☐	☐	☐	☐
2. Support the voice of marginalised citizens	☐	☐	☐	☐
3. Ensure gender balance	☐	☐	☐	☐
4. Address an overwhelming bureaucracy	☐	☐	☐	☐
5. Address obsolete and rigid legal frameworks	☐	☐	☐	☐
6. Address brittle and inflexible public administrations	☐	☐	☐	☐
7. Address accountability and transparency of public and private organisations	☐	☐	☐	☐
8. Address conflict of interests and corruption in public and private organisations	☐	☐	☐	☐
9. Others (specify): _____	☐	☐	☐	☐

H.c. Impacts

H.c.1. Environmental

H.c.1.1. Effects on environmental components

With respect to the initial contextual conditions, what are the environmental components that the SI initiative impacted, directly or indirectly?

Environmental component	Effects caused by the SI initiative
Air and climatic change	☐ Yes
Water	☐ Yes
Land use and ecosystems	☐ Yes
Raw materials	☐ Yes
Energy	☐ Yes
Biodiversity	☐ Yes
Soil	☐ Yes
Effluents and waste	☐ Yes
Noise	☐ Yes
Landscape	☐ Yes

H.c.1.2. Direct and indirect environmental effects



Based on your responses to the previous question, in the following table we listed the main environmental effects that a SI initiative could generate. Please specify whether the SI initiative...

- generated a positive or negative effect, referring to the following scale:

Negative	Slightly negative	No effect	Slightly positive	Positive	I don't know
☐ -2	☐ -1	☐ 0	☐ +1	☐ +2	empty

- generated the effect directly or indirectly

(Consider only the effects within the components selected in the previous question. If the respondent does not know the answer on one or more effect, leave the corresponding raw "empty")

Components	Effects to be considered	Negative-Positive	Direct-Indirect
Air and climatic change	Direct GHG emissions	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Indirect GHG emissions (CO ₂ , ...)	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Other non-GHG emissions	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Emissions of other types of pollutants	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Carbon stock, wood products, pastures, meadows	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Climatic conditions	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Extreme climatic events	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
Water	Quality of surface	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Quality of groundwater	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Quantity consumption	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Groundwater recharge	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Water recycled and reused	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Water cycle regulation	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Water resources differentiation	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
Land use and ecosystems	Quantity: area of crops, forests, pastures, etc.	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Ecosystem functioning	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Quality: semi-natural forests vs. plantations, etc.	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Quality: primary forests, stable meadows, etc.	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Growing stocks	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Fish resources	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Land use degradation	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Invasive species	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
Raw materials	Production of wood and/or renewable materials	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Consumption of wood and renewable materials	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Consumption of oil and non-renewable materials	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Consumption of other raw material	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Recycled materials	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Reclaimed materials	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Food for animals	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
Energy	On-site energy generation	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Energy consumption	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.



	Production of energy	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Energy efficiency	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Energy self-sufficiency	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Use of renewable sources	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Non-renewable sources used	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
Biodiversity	Fauna	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Flora	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Habitats	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	IUCN Red List species and species at risk and threatened	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Genetic resources	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Use of Genetically Modified Organisms	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Invasive species	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Protected and of high biodiversity value areas	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Deadwood in forest and other wooded land	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Ecological connectivity	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Respect of traditional/cultural heritage species	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
Soil	Chemical soil properties	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Soil compaction from machine operations or other	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Soil erosion	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Pollution (chemical fertilizers, pesticides, other)	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
Effluents and waste	Water discharge	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Produced quantity of waste	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Production of compost	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Share of waste to be recycled or reused	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Disposal systems	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Quantity and use of by-products	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
Noise	Frequency	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Intensity	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Sources (punctual, diffused)	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
Landscape	Aesthetic value	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Restored areas	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Land use diversification	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Ecological corridors having a visual impact	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Respect of traditional/cultural heritage landscapes	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.

H.c.1.3. In-depth analysis

Select the three main negative and positive environmental effects based on the selection made in the previous question. We ask you to please specify:

- the root cause of each effect
- affected stakeholders
- management measures adopted (if any)



- Level of control and influence [0-4]
- Sensibility of the local context [0-4]
- Frequency [0-4]
- Intensity [0-4]
- Risk (if negative) or Opportunity (if positive) [0-4]

Significant effects	What is the root cause of it?	Which specific stakeholders does this affect?	Is there an effective management measure?	Control and influence	Sensibility	Frequency	Intensity	Risk
Negative Effects _____								

Positive Effects _____								

H.c.2. Economic

H.c.2.1. Effects on economic components

With respect to the initial contextual conditions, which are the economic components that the SI initiative impacted, directly or indirectly?

Economic component	Effects caused by the SI initiative
The SI initiative in itself	☐ Yes
Other organizations connected to the SI	☐ Yes
Other economic actors in the territory	☐ Yes

H.c.2.2. Economic effects

Based on your responses to the previous question, in the following table we listed the main economic effects that a SI initiative could generate. Please specify whether the SI initiative...

- generated a positive or negative effect, referring to the following scale:

Negative	Slightly negative	No effect	Slightly positive	Positive	I don't know
☐ -2	☐ -1	☐ 0	☐ +1	☐ +2	empty

- generated the effect directly or indirectly

(Consider only the effects within the components selected in the previous question. If the respondent does not know the answer on one or more effect, leave the corresponding row "empty")

Components	Effects to be considered	Negative-Positive	Direct-Indirect
The SI initiative in itself	Revenues	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Production costs	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Ordinary transaction costs	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Switching costs	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.



	Assets	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Import/export rate	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Employees wages and benefits	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Labour productivity	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Voluntary work	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Internal total investments	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Share of internal investments in R&D to SI	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Value added	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Contribution of the SI to the total GDP	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Market share (at national, regional, local levels)	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Assistance received from government	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Support from sponsor, donor, bank	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Financial implications of risks and opportunities	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Financial solidity for liabilities	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Social externalities	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Environmental externalities	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
Other organisations connected with the SI (satellite activities)	Economic value distributed by the SI	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Payments to providers of capital	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Payments to the public sector (at any level)	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Investments in R&D within the network	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Value added	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Access to credit	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Productivity of the satellite activities	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Wages of employees in satellite activities	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Creation and/or inclusion of new business	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Social externalities	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
The rest of the economic actors in the territory	Investments in infrastructures for community	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Services and facilities supported by the SI	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Productivity of the satellite activities/organisations	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Wages of employees in satellite activities	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Other businesses/organisations in the territory	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Social externalities	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Environmental externalities	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.

H.c.2.3. In-depth analysis

Select the three main negative and positive economic effects based on the selection made in the previous question. We ask you to please specify:

- the root cause of each effect
- affected stakeholders
- management measures adopted (if any)



- Level of control and influence [0-4]
- Sensibility of the local context [0-4]
- Frequency [0-4]
- Intensity [0-4]
- Risk (if negative) or Opportunity (if positive) [0-4]

Significant effects	What is the root cause of it?	Which specific stakeholders does this affect?	Is there an effective management measure?	Control and influence	Sensibility	Frequency	Intensity	Risk
Negative Effects _____								

Positive Effects _____								

H.c.3. Social

H.c.3.1. Effects on social components

With respect to the initial contextual conditions, what are the social components that the SI initiative impacted, directly or indirectly?

Social component	Any effect caused by the SI initiative?
Labour	☐ Yes
Education	☐ Yes
Civic engagement	☐ Yes
Housing	☐ Yes
Life satisfaction	☐ Yes
Work life balance	☐ Yes
Community	☐ Yes
Social protection and wellbeing	☐ Yes
Health and well being	☐ Yes
Safety	☐ Yes
Poverty and social exclusion	☐ Yes
Migrants / Refugees	☐ Yes
Disability	☐ Yes
Youth	☐ Yes
Ecosystem services and human-connection	☐ Yes

H.c.3.2. Direct and indirect social effects

Based on your responses to the previous question, in the following table we listed the main social effects that a SI initiative could generate. Please specify whether the SI initiative...

- generated a positive or negative effect, referring to the following scale:

Negative	Slightly negative	No effect	Slightly positive	Positive	I don't know
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☐ -2	☐ -1	☐ 0	☐ +1	☐ +2	empty
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- generated the effect directly or indirectly

(Consider only the effects within the components selected in the previous question. If the respondent does not know the answer on one or more effect, leave the corresponding row "empty")

Components	Effects to be considered	Negative-Positive	Direct-Indirect
Labour	Employment rate	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Long-term unemployment rate	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Average earnings	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Job security	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Employment protection	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Employee hires (by age group, gender and region)	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Employee turnover	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Part-time employees (full time and involuntary)	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Parental leave (by gender)	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Labour market programmes	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Job quality	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Employment in different sectors	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
Education	Years in education	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Educational attainment, labour market outcomes	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Students' skills	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Transition from school to work	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Share of enrolment by gender	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Student-teacher ratio and average class size	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Adult education and learning	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Comparing innovation in education with sectors	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
Civic engagement	Voter turnout	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Engagement for developing regulations	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Willingness to join political parties	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
Housing	Rooms per person, dwellings with basic facilities	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Housing expenditure	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
Life satisfaction	Life satisfaction	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Freedom of choice	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Happiness, satisfaction and control	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
Work life balance	Employees working long hours	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Time devoted to leisure and personal care	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Quality of work	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Work ethos	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
Community	Social support network	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Solidarity	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Intolerance	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.



	Living and race	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Social capital (bridging, bonding, linking)	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Social capital (structural, relational, cognitive)	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
Social protection and wellbeing	Social expenditure	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Pensions	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Income distribution and poverty	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Wealth distribution	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Gender (education, entrepreneurship, work)	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Family	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Child wellbeing	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
Health	Health expenditure and financing	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Health status	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Life expectancy	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Mortality	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Maternal and infant mortality	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Morbidity	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Self-reported health	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Perceived health status by socio-economic status	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Infant health	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Absence from work due to illness	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Non-medical determinants of health	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Alcohol consumption	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Tobacco consumption	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Health care resources	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Total health and social employment	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Physicians (by age, gender, categories)	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Midwives	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Nurses	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Caring personnel (personal care workers)	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Hospitals / hospital beds	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Health workforce migration	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Health care utilisation	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Waiting times	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Health care quality	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Primary care	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Acute care	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Mental health care	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Patient safety	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Patient experience	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Cancer care	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Pharmaceutical market	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
Safety	Feeling safe walking alone at night	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Homicide rate	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
Poverty and	People at risk of poverty	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.



social exclusion	People at risk of social exclusion	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	People at risk of poverty after social transfers	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	At-risk-of-poverty rate before social transfers	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Severely materially deprived people	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	People living in households with low work	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	In-work-at-risk-of-poverty rate	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Retirement provision	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Child poverty	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
Migrants / Refugees	Employment rate (by gender, age and region)	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Educational attainment	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Rooms per person, dwellings with basic facilities	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
Disability	Disability and invalidity coverage	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Labour force participation rate	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Unemployment rate (by age and gender)	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Rehabilitation	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Income	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Vocational students trained	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Adult continuing education	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
Youth	Living conditions - young people	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Being young in Europe today - family and society	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Being young in Europe today - living conditions	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Intergenerational transmission of disadvantage	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Family situation of today's adults as children	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Young people - housing conditions	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Young people - social inclusion	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	migration and socioeconomic situation	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Employment in agriculture/forestry/third sector	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Start-up in agriculture/ forestry/third sector	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
Ecosystem services and human-connection	Provisioning: food	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Regulating and maintenance	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Cultural	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.

H.c.3.3. In-depth analysis

Select the three main negative and positive social effects based on the selection made in the previous question. We ask you to please specify:

- the root cause of each effect
- affected stakeholders
- management measures adopted (if any)



- Level of control and influence [0-4]
- Sensibility of the local context [0-4]
- Frequency [0-4]
- Intensity [0-4]
- Risk (if negative) or Opportunity (if positive) [0-4]

Significant effects	What is the root cause of it?	Which specific stakeholders does this affect?	Is there an effective management measure?	Control and influence	Sensibility	Frequency	Intensity	Risk
Negative Effects								
Positive Effects								

H.c.4. Institutional

H.c.4.1. Effects on institutional components

With respect to the initial contextual conditions, what are the institutional components that the SI initiative impacted, directly or indirectly?

Institutional component	Effect caused by the SI initiative
Internal governance of the SI initiative	☐ Yes
Local and cross-boundary governance (horizontal)	☐ Yes
Multi-level governance (vertical)	☐ Yes
Governance mechanisms	☐ Yes
Governance tools	☐ Yes
Good governance	☐ Yes

H.c.4.2. Direct and indirect institutional effects

Based on your responses to the previous question, in the following table we listed the main institutional effects that a SI initiative could generate. Please specify whether the SI initiative...

(Consider only the effects within the components selected in the previous question. If the respondent does not know the answer on one or more effect, leave the corresponding row "empty")

Components	Effects to be considered	Negative-Positive	Direct-Indirect
Internal governance (of the SI initiative)	Leadership	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Incentives	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Composition of the decision-making board	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Government (public actor) as SI shareholder	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Formal and informal agreements	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.



	Internal decision making: rules setting	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Internal decision making: rules implementation	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Internal decision making: rules enforcement	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Internal collaborative learning processes	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Corporate social responsibility (CSR)	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Resilience (e.g., diversification of fund sources)	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Internal interdependence	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Uncertainty	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Collaborative dynamics and actions	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
Local and cross-boundary governance (based on horizontal networks within the same administrative level)	Policy networks	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Local public-private partnerships	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Other types of public-private networks	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Decision making on standards and rules setting	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Decision making on implementation of rules	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Decision making on enforcement of rules	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Quality of public services	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Resilience of the community	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Collaborative learning processes	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Place-based local collaboration	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Conflict resolution processes at the local level	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Institutional arrangements for cross-boundary collaboration	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Interdependence	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Collective uncertainty	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
Multi-level governance (based on vertical networks crossing administrative levels)	Decentralization of policies and processes	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Higher government support to local public actors	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Vertical public-private partnerships	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Multi-level interactions and collaborative learning	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Interdependence	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Cross-level coherence and consistency	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Cross-level conflict resolution mechanisms	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
Governance mechanisms (it applies to the internal, local and multi-level governance)	Decentralisation	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Privatization	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Collaborative governance	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Dialogue	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Consensus-building	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Networking	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Coordination	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Empowerment of citizens and	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.



	institutions		
	Citizen engagement mechanisms	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Systematic CSR reporting	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Transaction systems	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Capacity-building	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Modernisation of public administrations	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Public sector reforms	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Opening of the public sector	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Collaborative learning processes	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Place-based regional collaboration	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Conflict resolution processes	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Responsiveness	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
Governance tools (it applies to the internal, local and multi-level governance)	Digital technologies	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Participatory techniques for decision support	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Collaborative informal platforms and programs	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	CSR principles and tools	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Recognition tools (e.g., incubators, hubs, forums)	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Benchmarking and impact measurement	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Data, knowledge, and experience sharing	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
Good governance (it applies to the internal, local and multi-level governance)	Experimentation of new governance arrangement	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Legality (e.g., anti-corruption measures)	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Respect of human rights	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Sustainability (impacts)	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Efficiency (e.g., resources allocation)	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Effectiveness (e.g., objectives vs. outputs)	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Participation	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Transparency/openness	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Reciprocity	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Accountability (e.g., monitoring)	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.
	Capacity (e.g., competences, professionalism)	☐ -2 ☐ -1 ☐ 0 ☐ +1 ☐ +2	☐ Dir. ☐ Ind.

H.c.4.3. In-depth analysis

Select the three main negative and positive institutional effects, based on the selection made in the previous question. We ask you to please specify:

- the root cause of each effect
- affected stakeholders
- management measures adopted (if any)
- Level of control and influence [0-4]
- Sensibility of the local context [0-4]
- Frequency [0-4]
- Intensity [0-4]
- Risk (if negative) or Opportunity (if positive) [0-4]



Significant effects	What is the root cause of it?	Which specific stakeholders does this affect?	Is there an effective management measure?	Control and influence	Sensibility	Frequency	Intensity	Risk
Negative Effects								
Positive Effects								

I. INNOVATION & LEARNING PROCESS

I.a. Feedback loops

I.a.1. Local

I.a.1.1. Local community

Did you present your results to the local community?

☐ Yes ☐ No

I.a.1.2. Events

Did you organise specific events to share the results of your SI initiative?

☐ Yes ☐ No

I.a.1.3. Project partners' feedback

Did you collect feedback from your project partners?

☐ Yes ☐ No

I.a.1.4. External donors

Did you show your results to external donors?

☐ Yes ☐ No

I.a.1.5. Local politicians

Did you show your results to local politicians?

☐ Yes ☐ No

I.a.1.6. Perceived marginality (ex post)

Do you agree that the social innovation initiative has reduced the level of marginality of your territory (ex post)?

☐ Yes ☐ No

I.a.1.7. Elements of MRA (ex post)

Thanks to the social innovation, which are the five main elements indicating that the marginalisation of your territory have been reduced?

1. _____
2. _____
3. _____
4. _____
5. _____

I.a.2. Bridging at the higher level

I.a.2.1. External events

Did you participate at external events (fairs), outside of your territory?

☐ Yes ☐ No

I.a.2.2. Regional politicians

Did you show your results to regional politicians?

☐ Yes ☐ No



I.a.2.3. National politicians

Did you show your results to national politicians?

☐ Yes ☐ No

I.b. Multiplier and critical effects

I.b.1. Mainstreaming

I.b.1.1. Mainstreaming

Do you think that your SI initiative remains innovative to this day?

☐ Yes ☐ No

I.b.1.2. Years

How many years do you think will pass before the effects of your SI innovation become a normality? |__|__|

I.b.2. Upscaling

I.b.2.1. Effects at higher scales

Do you think that the effects of your SI initiatives reached higher levels than the local? ☐ Yes ☐ No

I.b.2.2. National laws

Has your SI initiative allowed the creation of any national/international law/standard? ☐ Yes ☐ No

I.b.3. Outscaling

I.b.3.1. Replications

Has someone replicated your SI initiative in other contexts?

☐ Yes ☐ No

I.b.3.2. Number of examples

If yes, how many? |__|__| please, provide some examples: _____

I.b.3.3. Adaptations

Has someone used your idea, adapting it to their context?

☐ Yes ☐ No

I.b.3.4. Number of adaptations

If yes, how many? |__|__| please, provide some examples: _____

I.b.3.5. Aggregation

Is there a national/international aggregation of similar initiatives?

☐ Yes ☐ No

I.b.4. Critical effects

I.b.4.1. Deadweight

Can you identify effects in the local context which would have arisen even if the SI initiative had not taken place?

I.b.4.2. Displacement

Can you identify effects which have been obtained in the local area at the expense of another area?

I.b.4.3. Substitution.

Can you identify effects which have been obtained in the local area at the expense of other persons/organisations/enterprises?



Annex 2 – List of Key Terms to Facilitate the Pilot Test

A list of key terms is provided which are used in the preliminary set of methods in pilot tests of pioneer SI case studies in the SIMRA evaluation framework. The terms are in the logical order of concepts as listed in the framework, and in the list of questions. A few key terms are included which are not in the evaluation framework but may be useful for the CS Teams to familiarize with the methods and instruments (e.g. assessment, evaluation). The SI dimensions are highlighted in capital letters.

Key terms, SI Dimensions and Sub-Dimensions	Definition adopted or developed for SIMRA for evaluation purposes
Assessment	"The action of assessing something" (Oxford Dictionary, 2017)
Evaluation	"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" (EC DG Agri, 2015: 66). "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" (Morra Imas and Rist, 2009: 9).
INDIVIDUAL AND COLLECTIVE NEEDS	In SIMRA, the dimension INDIVIDUAL AND COLLECTIVE NEEDS refers to the needs/challenges to which a social innovation should respond and address as part of its effects. It includes four sub-dimensions: Trigger; Social needs; Societal challenges; Governance shifts.
Trigger	Trigger refers to a punctual event or a situation "that causes something to start" (Cambridge Dictionary, 2017). A trigger may emerge in connection to a single time-bound event (e.g. a three-days extreme flooding event); an accumulation of unmet needs, (e.g. a prolonged period with worsening social life because of depopulation); or from a long-term process, whereby a situation becomes untenable (e.g. a critical demographic situation reached as consequence of a process of ageing and abandonment of a mountain area). In SIMRA, we consider trigger to be an event that determines or accentuates needs – to the point of deserving a response and a change in practice. We identify Type of trigger as a component.
Social needs	Social needs refers to demands of vulnerable groups in society. These include minorities or local indigenous groups, women, people with intellectual and/or physical disabilities, long-term unemployed, elders, children and youth, offenders, low income families (BEPA, 2011). In SIMRA, the components are: individual needs and collective needs.
Societal challenges	A challenge refers to something that needs great mental or physical effort to be done successfully and therefore tests a person's ability (Cambridge Dictionary, 2017) Societal challenges refer to social, economic, institutional and environmental challenges that require adoption of strategies of adaptation. These could include natural disturbances such as negative trends in the availability or access to natural resources due to climate change and resource and landscape loss and depletion, or social change, such as ageing, in- and out-migration, declining population, conflict, war and social unrest, or criminality (BEPA, 2011). In SIMRA, the components comprise: Type of societal challenges.
Governance shifts	Governance shifts refer to a limited or absent capacity of the governance system to adapt to changing circumstances. Inadequacies include ineffectiveness in the involvement of civil society and citizens in decision-making processes, lack of a voice of marginalised citizens, unbalanced representation of women in decision-making positions, overwhelming bureaucracy, obsolete and rigid legal frameworks, brittle and inflexible public administrations. In SIMRA, the components comprise: Type of governance shifts.



PERCEIVED CONTEXT	This dimension refers to the conditions that enable or constrain social innovation, such as the regulatory frameworks (laws, legislation and policy); overall governance and institutional arrangements, both formal and informal; material resources such as availability of funding, raw materials, natural resources and existing infrastructures. It also includes intangible resources such as social memory, culture and identity, discourses, and historical background. These resources are identified as the five capitals (social, natural, human, financial, cultural) (Goodwin, 2003) or as “resource systems”, “resource units”, and include elements of the “governance systems” and “actors” (McGinnis and Ostrom, 2014). In SIMRA, PERCEIVED CONTEXT refers to the tangible and intangible resources that are available, supportive, accessible to, recognised and ultimately used by actors or agents (and that can enable or hinder) the process of reconfiguring relations and social practices and putting in place mechanisms for SI. It includes two sub-dimensions: i) a static one, based on existing context and resources (Context); ii) a dynamic and subjective one, based on the perceptions and framing of actors on what is considered as an opportunity or a threat (Perceived opportunities and threats). Context includes the factors of marginality identified by SIMRA (Price <i>et al.</i>, 2017; D3.1): Level of rurality, Physical geography marginality, Limited access to infrastructure, Population marginalisation, and other relevant factors selected by the evaluator. Perceived opportunities and threats refer to the subjective understanding and perception of the external economic, social, environmental and institutional context by ACTORS who initiate an ACTION.
Marginalised Rural Area (MRA)	The core characteristics for defining marginalised rural areas within SIMRA and principal sources of data are defined in Price <i>et al.</i> (2017; D3.1). These are: 1) rural area (EC / population density), assumed to contain identifiable communities; 2) marginal in terms of their physical geography (i.e. spatial marginality): 2.a) mountainous, 2.b) limited connectivity as islands, 2.c) low agricultural potential due to aridity; 3) marginal in terms of limited access to infrastructure, using indicators of access to the internet from home, and accessibility by local road transport; 4) marginalised populations: inhabitants with (very) low incomes (as measured by GDP). The approach taken recognises that the definitions of rural and marginalised are contentious when expressed geographically, and that the overall objective is to enable consideration of factors influencing, stimulating or inhibiting social innovation in MRAs
AGENCY	Generally, agency refers to “the actor's capacity to reinterpret and mobilize an array of resources in terms of cultural schemas other than those that initially constituted the array” (Sewell 1992: 19). In SIMRA, AGENCY refers to how actors or groups of actors seek to change practices to respond to specific needs, and power to actually sustain their collective action toward specific goals (Sewell Jr, 1992; Janssen and Ostrom, 2006; Westley <i>et al.</i>, 2013; Cajaiba-Santana, 2014). Agency includes visions and trust, willingness to act, reflexivity and capacity for change which influence how actors or groups of actors seek to change practices to respond to specific needs. It also includes their level of motivation and power to act and sustain their action toward specific goals. In the evaluation framework, agency is described with dimensions AGENCY-AGENTS (actors and drivers of preliminary actions) and AGENCY-PRELIMINARY ACTION.
AGENTS-ACTORS	“SI-agents can include individual and collective human actors but also ideas, objects, activities, discourses and narratives of change” (Haxeltine <i>et al.</i>, 2016: 23). In SIMRA, AGENCY-ACTORS can refer to an individual, but more commonly to a group of individuals in a organisation or network. The dimension aims to capture the identity, aspirations, awareness, and capabilities of actors and includes the sub-dimensions innovative idea, clique of actors (inventor(s) and followers), visions and trust, willingness to act, reflexivity and capacity for change.



Innovative idea/s	In SIMRA, innovative ideas refer to a new product, service, process, procedure, practice, or organisation. The components for evaluation include Typology of innovation and Novelty.
Clique	In SIMRA, clique draws from Social Network Analysis and refers to the initial group of innovators/inventors and their initial follower(s) who were involved at the preliminary stages of initiating a social innovation initiative. Together with innovative idea, visions and trust, willingness to act, reflexivity and capacity for change, the clique represents a sub-dimension of AGENCY-ACTORS.
Innovators	Innovators are the key leaders and first drivers of innovation. Innovators are identifiable individuals who had the idea, invented it, discovered it or were attracted to it. They can be members of an organisation/association or act “autonomously” to start the innovation; members of the local community, or external to the community (e.g. newcomers or people who spent time training or working somewhere else).
Followers	Followers are the first to adopt or support the idea of the innovator, they can be co-creators or identify a good idea and identify a practical approach to carry it forward. They can be skilled at its promotion or dissemination at an early stage. Together with the innovator, they constitute the first clique and start to implement the idea, which is later consolidated by implementers.
Transformers	Transformers are people who adopt an idea at an early stage and spread it to other people in the network.
Implementers or mainstreamers	Implementers or mainstreamers are people who follow the crowd, and adopt a new idea after other people do.
Vision and trust	Vision and trust refer to the components of shared visions and social relationships and interpersonal trust.
Willingness to act	In SIMRA, willingness to act refers to the characteristics of the individual that support engagement in the reconfiguring (change) process, such as location and personal experience (e.g. relation to the community, experience, competences) and sense of challenge (challenge and resilience).
Reflexivity	“‘Reflexivity’ implies that actors have the capacity to monitor routinely their actions by reflecting upon them and acting according to their intentions. Reflexivity stands for the continuous monitoring of the social context and the activities taking place within this context” (Cajaiba-Santana, 2014: 47). In SIMRA, reflexivity refers to the development and evolution of the idea and its implementation, in terms of possible modifications, reasons and approaches, supported by critical reflection.
Capacity for change	In SIMRA, capacity for change refers to the capacities and capabilities of the individual in changing social practices. Key components are related to competences, leadership and entrepreneurship. Competences refer to skills. Leadership refers to capacity of individuals to lead collective action and be respected as a leader based on previous experiences, i.e. accountability (Westley <i>et al.</i> , 2013); it can refer to entrepreneurship (Bund <i>et al.</i> , 2015), administrative and political leadership (Bekkers <i>et al.</i> , 2013), or community leadership (Ostrom, 2005).
AGENCY - PREPARATORY ACTION	AGENCY - PREPARATORY ACTION refers to the preparatory activities that social inventors and innovators (individuals or collectively) carry out preparations for the RECONFIGURING process. They can include benchmarking, identifying partnerships needed and contacting possible partners, seeking legal and technical information for business and contractual agreements, communicating the idea to the local community for improving awareness and building consensus, and screening potential consultants to be hired for future programming and planning. These actions prepare the ground for collective action in the reconfiguring phase. The sub-dimensions of AGENCY-ACTION are: Availability of resources; Idea formulation and communication; Information collection and readiness; Identification of partners and stakeholders.



Social innovation	Social innovation refers to the RECONFIGURING of social practices, in response to societal challenges, which seeks to enhance outcomes on societal well-being and necessarily includes the engagement of civil society actors (Polman <i>et al.</i> , 2017).
SOCIAL PRACTICES	Social practices “refer to everyday practices and the way they are typically and habitually performed in (much of) a society” (Holz, 2014: 1). They are ‘types’ of behaving and understanding that are similar for different individuals at different points of time and locations (Reckwitz, 2002: 250). In SIMRA, social practices refer to the sub-dimensions networks, governance arrangements and attitudes that are reconfigured by agency during the social innovation process.
RECONFIGURING OF SOCIAL PRACTICES	The reconfiguring of social practices refers to the process initiated by the inventor/innovator and followers and implemented by the implementers and mainstreamers. It represents the core of the social innovation process and is thus subject to a detailed evaluation of: i) who is involved; ii) how long the process takes; iii) where; iv) through which instruments. The evaluation framework includes an analysis of the reconfiguring of networks, attitudes and governance arrangements.
RECONFIGURED SOCIAL PRACTICES	In SIMRA, RECONFIGURED SOCIAL PRACTICES are distinguished from the reconfiguring phase to underlie that the SI process led to new networks, new governance arrangements or new attitudes. The evaluation framework analyses: i) how the reconfigured practice is functioning, ii) the instruments and/or procedures (e.g. which internal rules and mechanisms, what communication tools, what procedures for taking the decisions); iii) where it is located (e.g. where a new network was established).
Networks (new)	New networks can include new “rules” in terms of forms of interaction amongst actors: public and different types of private actors and organisations such as the civil society and the market. These forms of interaction include different forms of relationship (e.g. formal/informal, inclusive/exclusive, economic/ social). Changes in networks can be explored by looking at the: i) composition of the network; ii) structure of the network; iii) relationships; iv) dynamism of boundaries/participation; v) coordination. In SIMRA, the components of new networks are analysed according to: Composition of the network, Structure of the network, Relationships.
Attitudes (new)	Attitudes are “social rules” in their broad meaning of informal institutions (North, 1990), beliefs, values and discourses. For ease of analysis, in the evaluation framework formal institutions are included within “governance arrangements”, and informal institutions as “customs, beliefs, (social) norms, values, historical experiences, ...” are included under “attitudes” to highlight their role in social innovation (Sabatier, 1988; Pasqual <i>et al.</i> , 2017). Attitudes are a predisposition or a tendency to respond positively or negatively towards a certain idea, object, person, or situation. Attitude influences an individual's choice of action, and responses to challenges, incentives, and rewards (together called stimuli). In SIMRA, four major components of new attitude are identified in the evaluation framework: Level of sharing; Informal institution and level of commitment.
Governance arrangements (new)	In the evaluation framework, new governance arrangements are procedural and/or decisional changes and adaptations, which appear in relation to new roles of public entities/authorities as supporters of social innovations (e.g. change in an administrative procedure or in a phase of decision-making processes to support the action of the agency at local level). They refer to what public authorities do (change/adapt) when involved in reconfiguring practices, both as external or internal nodes of the network. In the SIMRA evaluation framework, the components of new governance arrangements include: Internal and External governance.
Initiative of Social Innovation	In SIMRA, a social innovation initiative starts at the phase AGENCY-ACTORS and ends with the RECONFIGURED SOCIAL PRACTICES.
SI project	Following reconfiguration, the SI Project begins with ACTIVITIES.



ACTIVITIES	ACTIVITIES refer to all those daily working tasks, procedures and practical solutions that are implemented in practice for managing the social innovation initiative (i.e. the reconfigured social practices). Activities focus on SI management and planning issues, i.e. what is done, by whom, how and by means of which instruments. In SIMRA, each sub-dimension identifies the components of Activities, Procedures and Practices. This division allows the capturing of the difference between what was thought about and discussed (Activities), what was formulated into specific roles and tasks (Procedures), and what was implemented and carried out (Activities). The sub-dimensions of ACTIVITIES are: Planning the initiative, Human resources management, Financial resources management, Infrastructural resources management, Management of external interactions, Document management and administration, Monitoring and evaluation.
Procedures	Procedures are specifications of how activities should be carried out daily, and/or relational activities. Procedures can be in written form, or agreed orally and adopted in daily tasks. They imply different tasks for people, with different roles and responsibilities that are engaged in the management of the SI (i.e. organisational flow charts in businesses).
Practices	Practices refer to the practical implementation of procedures (informally or formally). Sometimes, practices diverge from procedures, as occurs when what is done in practice is different from what should be done according to the procedures.
Planning the initiative	The evaluation framework analyses the planning of the initiative, in terms of how it is planned and formulated in procedures, and managed in practice (e.g. mission and objectives, list of activities, definition of tasks, schedule of activities, milestones and business plan).
Human resources management	The evaluation framework analyses how human resources are planned and formulated in procedures, and managed in practice (e.g. based on compliance with the law, training for staff, gender balance, merit-based system).
Financial resources management	The evaluation framework analyses how financial resources are planned and formulated in procedures, and managed in practice (e.g. inputs to carry out activities, budgets allocated to each activity, internal and external sources of funding, national and EU sources of funding, and participatory or social budgeting).
Infrastructural resources management	The evaluation framework analyses how infrastructural resources are planned and formulated in procedure, and managed in practice (e.g. transportation facilitation for employees, promotion of sustainable practices, access to recreational facilities and wifi, access to open spaces).
Management of external interactions	The evaluation framework analyses how external interactions are planned and formulated in procedures, and managed in practice (e.g. communication, social media and marketing strategy).
Administration	The evaluation framework analyses how administration is planned and formulated in procedures, and managed in practice (e.g. archiving system, accounting, administrative staff)
Monitoring and evaluation	The evaluation framework analyses how monitoring and evaluation activities are planned and formulated in procedures, and managed in practice (e.g. monitoring of activities and outputs, transparency of monitoring processes, reporting, analysis).
OUTPUTS	Output refers to an “action which is financed and accomplished (or concretised) with the money allocated to an intervention. A project promoter undertakes to produce an output in immediate exchange for the support granted” (EC, 2015: 76). In SIMRA, outputs are the immediate results of using inputs through the process of social innovation. They are identifiable, often tangible, and refer to the creation of opportunities for changes in interactions and behaviour. They are results of the SI and are within the control of the SI implementation agency. The sub-dimensions of Outputs



	are: Products and Services, Direct beneficiaries and Satisfying needs.
Products and services	Products and services are the first outcome of the social innovation and can be tangible or intangible. For example, outputs may refer to the inclusion of disabled persons in a farming activity, educational sessions on the transition to low carbon energy systems or organic farming and e-marketing tools.
Beneficiaries	Someone who derives direct advantage from the social innovation. They can be people or communities who derive new benefits currently or in the future, or be in the marginalised rural areas and/or part of a minority.
Satisfied needs	Outputs should be able to satisfy the needs initially identified, i.e. the reasons for why agency initiated a SI reconfiguring process. In this sense, outputs are related to the relevance and the appropriateness of the process of social innovation to individual and collective needs.
OUTCOMES AND IMPACTS	The evaluation framework focuses on the impacts of social innovation from an economic, social and environmental perspective, as well as of governance/institutional aspects in a marginalised rural area.
Indirect beneficiaries	Outcomes/impacts belong to the same category of effects of the SI, but affect different groups: while outcomes are effects on direct beneficiaries, impacts are effects on indirect beneficiaries.
Outcomes	Outcomes are behavioural changes determined by the SI initiative, intended and unintended, positive or negative (Binnendijk, 2000), that produce new routines, decisions, rules and institutions. Outcomes of SI can have a much broader effect than in the original site of emergence, shifting social arrangements and institutional relations and values at the meso and macro levels as well (e.g. policy reform, regional or national reconfiguration of social services). In this case, when they affect also 'indirect beneficiaries' of the SI initiative, they shift into the category of impacts.
Impacts	"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 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). In SI initiatives, impacts should be positive, but might also be negative. They can include the creation of goods and improved access conditions, enhancement of cohesion and well-being, competitiveness, self-organisation and resilience, and higher education and skills (Polman <i>et al.</i> , 2017; D2.1). In SIMRA, impacts can be social, economic, environmental and institutional.
LEARNING PROCESSES	In the evaluation framework, learning processes are identified through feedback loops and multiplier and critical effects. Feedback loops occur both within the local level, as well as in bridging with higher levels.
Feedback loops	In SIMRA, feedback loops refer to sharing results within the local community through presentations or specific events can lead to raising interest, debating issues and identifying trade-offs, as well as seeking opportunities and implementation beyond the sector or the beneficiaries reached.
Multiplier effects	Positive multiplier effects refer to mainstreaming, upscaling and outscaling. Mainstreaming refers to the establishment of a social innovation as routine practice.



	Upscaling considers whether the SI initiative has had an impact at higher scales, including in national policy or laws. Outscaling refers to whether the SI initiative has been replicated, adapted or aggregated into a body of similar initiatives at the national level (see also Westley <i>et al.</i> , 2013). In the CMEF, multiplier effects are “Secondary effect resulting from increased income and consumption generated by the public intervention. Multiplier effects are cumulative and take into account the fact that part of the income generated is spent again and generates other income, and so on in several successive cycles. In each cycle, the multiplier effect diminishes due to purchases outside the territory. The effect decreases much faster when the territory is small and when its economy is open.” (EC ENRD online).
Critical effects	Critical effects refer to deadweight, displacement and substitution. Displacement refers to the “Effect obtained in an eligible area at the expense of another area. Displacement effects may be intended (e.g. displacement of a public administration from the capital to a 'lagging' region) or unintended (e.g. 10% of the jobs created by a regional development programme resulted in the disappearance of jobs in other eligible regions). When they are not intended, displacement effects must be subtracted from gross effects to obtain net effects” (EC, 2015: 65-66). Substitution refers to the “Effect obtained in favour of direct beneficiaries but at the expense of a person or organisation that does not qualify for the intervention. ... An evaluation determines, with regard to the objectives of the intervention, whether the substitution effect can be considered beneficial or not. When it is not beneficial, the substitution effect must be subtracted from gross effects” (EC, 2015: 80). The deadweight loss effect refers to “those changes observed in economic, environmental or social situation of programme beneficiaries which would even have occurred without the intervention”, displacement effects, at the expense of other areas, and substitution effects, at the expense of other people not qualified to participate (EC, 2014a: 52-53).

Source: SIMRA research team and references cited.