



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

---

### Deliverable D4.3

## Manual on Innovative Methods to Assess SI and its Impacts

---

**Authors:** Laura Secco, Elena Pisani, Riccardo Da Re, Kamini Vicentini, Todor Rogelja, Catie Burlando; Alice Ludvig, Gerhard Weiss, Ivana Zivojinovic; Elena Górriz-Mifsud, Valentino Marini-Govigli, Inazio Martínez de Arano, Mariana Melnykovich, Diana Tuomasiukka, Micheal Den Herde, Marko Lovric; Elisa Ravazzoli, Cristina Dalla Torre, Thomas Streifeneder; Achilleas Vassilopoulos, Ebnun Akinsete, Phoebe Koundouri; Antonio Lopolito, Maurizio Prospero, Antonio Basalice; Nico Polman, Marijke Dijkshoorn; Maria Nijnik, David Miller, Carla Barlagne, Richard Hewitt; Irina Prokofieva; Tatiana Kuvlankova-Oravska, Martin Špaček, Stanislava Brnkalakova and Veronika Gezik.

**Approved by Work Package Manager of WP4:** Laura Secco, University of Padova

**Date:** 13/11/2019

**Approved by Project Coordinator:** Maria Nijnik, James Hutton Institute

**Date:** 13/11/2019

This document was produced under the terms and conditions of Grant Agreement No. 677622 for the European Commission. It does not necessarily reflect the view of the European Union and in no way anticipates the Commission's future policy in this area.



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



**This page is left intentionally blank**



## Table of contents

List of Acronyms.....	v
Executive Summary.....	6
1. Introduction.....	10
1.1 Objective and Purpose.....	10
1.2 An Overview of Work Package 4 Activities.....	10
PART I – MOVING FROM THE PRELIMINARY TO THE FINAL SET OF METHODS.....	13
2. Changes to Preliminary Methods Based upon Feedback.....	14
2.1 Introduction.....	14
2.2 Feedback.....	21
2.3 Main Changes to the Preliminary Set of Methods.....	24
2.3.1 Feedback received.....	24
2.3.2 Changes to the Variables and Questions.....	27
2.3.3 Changes to Tools.....	28
2.3.4 Changes to Indicators.....	31
2.3.5 Changes to the Sub-dimensions of the Evaluation Framework.....	33
3. The Manual.....	33
4. Conclusions.....	34
5. Acknowledgments.....	35
6. References.....	36
PART II – THE SIMRA MANUAL FOR THE EVALUATION OF SOCIAL INNOVATION AND ITS IMPACTS IN MARGINALISED RURAL AREAS.....	38
<b>1. Introduction</b> .....	39
1.1 The Importance of Evaluating Social Innovation in Marginalised Rural Areas.....	39
1.2 The SIMRA Definition of Social Innovation in Rural Areas.....	40
1.3 What is New in the SIMRA Evaluation Method?.....	41
1.4 Intended Target Users of the Manual.....	41
1.5 The Structure of the SIMRA Evaluation Manual.....	41
<b>2. The SIMRA Evaluation Framework of Social Innovation</b> .....	42
2.1 Trigger and Social Needs.....	44
2.2 Perceived Context.....	48
2.3 Agents.....	50



2.4	Preparatory Actions.....	52
2.5	Reconfiguring and Reconfigured Social Practices .....	53
2.5.1	New networks .....	54
2.5.2	New attitudes.....	56
2.5.3	New governance arrangements.....	56
2.6	Project Activities (Planning and Management).....	57
2.7	Outputs.....	59
2.8	Outcomes and Impacts.....	60
2.9	Learning Processes .....	63
<b>3.</b>	<b>The Fundamentals of the SIMRA Evaluation Approach .....</b>	<b>65</b>
A)	The SIMRA Evaluation Process .....	67
3.1	Subject of the Evaluation .....	67
3.1.1	Topic: The Social Innovation initiative .....	67
3.1.2	Scope: The Social Innovation initiative, with selected project(s) and its/their effects	69
3.1.3	Sectors: Primary production and rural development .....	72
3.1.4	Scale .....	72
3.2	Timing of the Evaluation .....	75
3.2.1	Temporal scale: Sequential and linear.....	75
3.2.2	Possible momentums of evaluation: in-itinere and ex-post.....	75
3.2.3	Timing with respect to the launch of the Social Innovation initiative .....	76
3.3	Use of the Evaluation .....	76
3.3.1	The evaluation users .....	76
3.3.2	The types of use .....	77
3.3.3	The dissemination of the evaluation .....	77
3.4	The Players and Their Roles .....	77
3.4.1	The evaluation manager .....	77
3.4.2	The evaluation team .....	78
3.4.3	The stakeholders .....	78
3.5	The Focus of the Evaluation .....	80
3.6	Steps in the Evaluation Process.....	81
B)	The SIMRA Evaluation Methods .....	81
3.7	Intervention Strategy .....	82
3.7.1	The rationale of a Social Innovation initiative .....	82
3.7.2	The logic of a Social Innovation initiative .....	82



3.7.3	Related policies .....	83
3.8	Evaluation Questions and Judgement Criteria .....	83
3.8.1	Quantitative analysis: Indicators.....	84
3.8.2	Qualitative analysis: Narrative .....	85
3.9	Methodological Design.....	86
3.9.1	The SIMRA methodology for impact evaluation.....	86
3.9.2	How to design an impact evaluation based on robust statistical techniques .....	90
3.9.3	The SIMRA methodology for policy analysis.....	95
3.10	Limitations of the SIMRA Evaluation Framework and Approach .....	95
<b>4.</b>	<b>Preparing and Designing the Evaluation .....</b>	<b>97</b>
4.1	How to Prepare the Evaluation? .....	97
4.2	How to Select the SIMRA Evaluation Questions and Indicators .....	102
4.2.1	Step 1: First selection regarding general evaluation options .....	105
4.2.2	Step 2: Second selection regarding specific evaluation options.....	106
4.2.3	Step 3: Third selection regarding general evaluation questions .....	107
4.2.4	Step 4: Fourth selection related to specific evaluation questions.....	107
4.3	Operationalising the SIMRA Rapid, Detailed and Conventional Evaluations.....	116
4.3.1	Operationalising the SIMRA Rapid Evaluation of Social Innovation .....	119
4.3.2	Operationalising the SIMRA Detailed Evaluation of Social Innovation.....	123
4.3.3	Operationalising the SIMRA Conventional Evaluation of Social Innovation .....	131
4.4	Operationalising the Sampling Design .....	138
4.5	Operationalising the Policy Analysis.....	140
4.5.1	Step 1: Document analysis (desk-top research).....	140
4.5.2	Step 2: Analysis of policy implications at the case-study level (field research)..	141
4.5.3	Step 3: Validation of findings (mixed-approach) .....	141
4.5.4	Step 4: Consultation with policy experts (a possibly additional step) .....	142
4.6	Adapting the Proposed Indicators to the Common Monitoring and Evaluation System of the EU Common Agricultural Policy .....	143
<b>5.</b>	<b>Tools .....</b>	<b>146</b>
5.1	The Data Collection Tools (Tools from 1 to 8).....	146
5.1.1	Tool 1 - Preparing the evaluation.....	147
5.1.2	Tool 2 - Future Search Conference and Focus Group with actors in the Social Innovation initiative .....	148
5.1.3	Tool 3 - Questionnaire for the core group (Innovators and followers) .....	149
5.1.4	Tool 4 - Questionnaire for the Social Innovation network (Transformers) .....	149
5.1.5	Tool 5 - Questionnaire for the Project partners.....	149



5.1.6	Tool 6 - Questionnaire to beneficiaries.....	150
5.1.7	Tool 7 – Interview guideline for innovators and persons involved in the innovation process.....	150
5.1.8	Tool 8 – Interview guideline for policy experts and other external experts.....	151
5.2	The Data Entry and Processing Tools (Tools from 9 to 11) .....	151
5.2.1	Tool 9 – MS Excel file for structured questionnaires data entry and process ....	151
5.2.2	Tool 10 – Semi-structured interview reporting and analysis.....	153
5.2.3	Tool 11 – Policy document content analysis.....	154
<b>6.</b>	<b>How to Use, Interpret and Report Results</b> .....	<b>156</b>
6.1	Quantitative Analysis.....	156
6.2	Qualitative Analysis .....	159
6.3	Integration and Triangulation of Quantitative and Qualitative Analysis .....	160
<b>7.</b>	<b>Conclusions</b> .....	<b>166</b>
<b>8.</b>	<b>References</b> .....	<b>167</b>
	Technical Annex to the Manual (provided as a separate file) .....	176



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



## List of Acronyms

CMEF	Common Monitoring and Evaluation Framework
CrESSI	Creating Economic Space for Social Innovation
EC	European Commission
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
RBM	Results Based Management
REEIS	Relevance, Efficiency, Effectiveness, Impact and Sustainability
SI	Social Innovation
SIMRA	Social Innovation in Marginalised Rural Areas
SITT	Social Innovation Think Thank
SNA	Social Network Analysis
ToC	Theory of Change
WP	Work Package



## Executive Summary

Deliverable 4.3 is the final output of a very complex process which aimed at a progressive and incremental improvement of the set of methods, used in the SIMRA project, for evaluating Social Innovation in marginalized rural areas and its impacts. The process of developing and finalising the set of methods have involved almost all of the project partners and lasted approximately 20 calendar months. The process has enabled a detailed refinement of the set of methods, leading to this final output. This Deliverable is divided into 2 parts:

**PART I – MOVING FROM THE PRELIMINARY TO THE FINAL SET OF METHODS**, provides an explanation of the process of revision based on feedback collected from their empirical applications and the principal changes made to the preliminary set to reach this final version.

**PART II – THE SIMRA MANUAL FOR THE EVALUATION OF SOCIAL INNOVATION IN MARGINALIZED RURAL AREAS**, consists of an empirically tested, practicable and usable version of a comprehensive Manual. It guides evaluators and other interested users through the steps needed for carrying out in practice an evaluation of social innovation initiatives and their impacts in marginalised rural areas.

To facilitate reading, this Executive Summary is also divided into two parts.

### Part I – Moving from the Preliminary to the Final Set of Methods.

As planned in Work Package 4 of SIMRA, a preliminary set of tools for data collection was drafted and reported in Deliverable 4.2 (Secco *et al.*, 2017). Subsequently, this set was tested in two pilot Cases Studies, further refined, and then presented and discussed with the Case Studies Teams in the training course held in Bolzano, Italy, in January 2018. On the basis of a first round of feedback derived from this discussion and further refinements, an advanced version of data collection tools was designed and applied in 11 Type A Case Studies in Work Packages 5 and 6 (in February to October 2018). Tools for data collection included questionnaires (quantitative), semi-structured interviews (qualitative) and mixed instrument (preparatory desk work and Focus Group).

Feedback was collected from the Case Studies after the implementation phase, i.e. after they applied the set of data collection tools in each Case Study, thus testing its validity empirically. Changes have been made in the variables and questions, in tools, in indicators and in the dimensions of the SIMRA Evaluation Framework. Similarly, feedback on the clarity and completeness of the semi-structured interviews and guidelines for policy analysis was obtained. These qualitative tools were then adjusted accordingly (e.g. better specification of the guiding questions, and integrating themes).

An initial set of 155 indicators was developed by combining data and variables collected using the tools. The full set of indicators was tested in the Case Studies where they have been calculated, analysed and interpreted. Feedback was provided on the indicators and their validity. There are 121 indicators in the final set, which is a reduction of 30% compared to the original set of 155 calculated in Work Package 5, plus 20 potential indicators created for the assessment of diverging paths. Of the indicators removed in the finalisation of the set, nine related to Relevance, Efficiency, Effectiveness, Impact, Sustainability (REEIS), 8 related to the Social Innovation definition and Learning Processes, and 17 to the group of Social Innovation Dimensions.

The process of revising the Tools and documentation has incorporated the lessons learnt at each stage. The process provided evidence that the SIMRA Evaluation Framework proposed at the beginning was substantially valid and indicated how it could be improved, such as how the various and recurrent “reconfiguring” phases of long-term initiatives should be represented better (or circumscribed). Amongst the significant refinements was recognition that not all of the initial set of quantitative indicators could be calculated for the three main parts of a Social Innovation initiative (process, project, effects). Experience with the use of indicators relating to Diverging Paths of Social Innovation showed that this is analysed most effectively using qualitative indicators (developed and



applied by Work Packages 2, 3 and 5) rather than quantitative indicators. This is an example of where qualitative information is essential to be able to understand certain aspects of the processes and effects of Social Innovation.

Finally, it was possible to test empirically the feasibility of collecting and reporting both qualitative and quantitative information as being the best approach for obtaining all of the information crucial to the evaluation of Social Innovation in marginalised rural areas, and the evaluation of its impacts using robust statistical techniques.

## Part II – The SIMRA Manual for the Evaluation of Social Innovation in Marginalized Rural Areas

The principal goal of the SIMRA Manual is to guide evaluators, practitioners, policy makers and scientists in the evaluation of social innovations in agriculture, forestry, rural development (and related fields). It guides them through the process of disentangling and analysing a complex concept from its initial phases to its impacts on the economy, society, environment and institutions.

Underpinning the SIMRA evaluation methods there is the SIMRA Evaluation Framework (described in Section 2 and represented in Figure 2.1). It defines the key dimensions to be evaluated, sets out the steps required, and the interconnections and relationships between dimensions, phases and related variables to be evaluated in the practice of evaluation. In particular, the framework identifies nine key dimensions and five parts:

- i) dimensions 1 “Trigger, Individual and collective needs”, and 2 “Perceived context” constitute the part of *Reflection*;
- ii) dimensions 3 “Agents” and 4 “Preparatory actions” represent the part of *Reaction* that is undertaken by the “Agency”;
- iii) dimension 5 “Reconfiguring and reconfigured social practices”, in which social practices include “new networks”, and “new attitudes” and “new governance arrangements” are the components of the part of *Reconfiguring*;
- iv) dimension 6 “Project activities” which includes planning, management and support to the implementation, and dimensions 7 “Outputs” and 8 “Outcomes and impacts”, contribute to the part of *Realization* and its effects on the social innovation beneficiaries;
- v) dimension 9 “Learning processes”, which includes feedback loops, multiplier effects and critical effects in general, which contributes to the part of *Replication*.

The SIMRA Evaluation Framework helps in identifying the phases of development of a social innovation to be evaluated. This is the formulation of an initial idea through to its realization in a project that is implemented, and its short- and long-term effects.

Once the evaluation framework is set up, the SIMRA Evaluation Approach (described in Section 3) clarifies the scope, the timing, the scale, the stakeholders, the strategy, the methodological design of the evaluation and other details that help evaluators to understand the overall rationale and structure of the proposed evaluation method. The scope of the SIMRA evaluation covers all aspects of a Social Innovation initiative, as a whole or in its parts (Social Innovation process and/or Social Innovation project), and its impacts. The method is particularly suitable for evaluating Social Innovation initiatives which are up to 5 years old, but can be adapted to initiatives that operate over longer time periods. Spatially, the Social Innovation is observed at local level, with consideration given to higher levels and, socially, at the micro and meso levels.

Special attention is paid to defining how to evaluate the Social Innovation impacts. The SIMRA Evaluation Approach provides two options for the evaluation of impacts (described in Section 3.9). The core approach is based upon a comparison of “before-after” of the Social Innovation initiative. An alternative approach is based upon robust statistical techniques, which is technically feasible and meaningful in only certain circumstances (i.e. when a “good counterfactual” exists).



In the “before-after” comparison undertaken by SIMRA, the identification and measurement of changes (i.e. effects or impacts of the Social Innovation initiative) are based upon perceptions of stakeholders who participated in the evaluation and/or secondary data. However, these can only show general trends which cannot be directly and clearly correlated to the Social Innovation initiative that is being evaluated. The SIMRA Evaluation Approach is based upon the inclusion of specific and accurately formulated questions and topics of discussion in the data collection tools (Focus Group, questionnaires and semi-structured interviews). These are designed to capture information of perceived changes, and the retrospective evaluation of events whilst minimizing biases. The approach enables the exploration of economic, social, environmental and institutional changes that the stakeholders of the evaluation associate with the Social Innovation initiative.

The SIMRA impact evaluation is based upon robust statistical techniques for which a “good counterfactual” has to be identified. This is a comparison group that has identical characteristics of the treated group, which is the group that experienced the Social Innovation, minus the treatment which is the Social Innovation initiative. The differences identified in the outcome variable between the two identical groups can be imputed to be the Social Innovation initiative.

The best way to obtain an identical comparison group would be using randomization, i.e. units divided randomly between the treated and the comparison group. However, due to the nature of Social Innovation (the Social Innovation initiatives are spontaneous and cannot be forced to happen), a randomization approach is not applicable. Instead, a matching in combination with diff-in-diff is recommended in the SIMRA Evaluation Approach.

The SIMRA Manual is a flexible tool for different target users, providing guidance on how to select subsets of evaluation questions to be analysed through a mixed approach of qualitative and quantitative methods. The evaluator is guided in the design and implementation of the process for the evaluation of a Social Innovation through seven steps (described in Section 4), which correspond to the seven following tasks.

Task 1 – To identify the evaluation needs by meeting the client or advisory group of the evaluation

Task 2 – To identify the evaluation needs by meeting the stakeholders

Task 3 – To design the evaluation framework and identify its assumptions

Task 4 - To identify the evaluation questions

Task 5 – To identify the measure that enables answers to the general and specific evaluation questions

Task 6 – To identify the methodological design, source of data, sampling framework, and type of data collection tools

Task 7 – To identify how the data will be analysed and presented in the final evaluation report.

The SIMRA Evaluation Approach identifies three main focal points for exploring Social Innovation initiatives in marginalised rural areas (described in Section 3.8 and operationalized in Section 4.2). Depending upon the specific evaluation questions as well as the time and resources available, each evaluator may concentrate their attention on a different focal point. These are:

*Focus 1:* if the evaluator needs or wants to check the eligibility of a rural development venture e.g. to be funded as a Social Innovation initiative by means of specific policies if these are in place. The Social Innovation initiative is evaluated with respect to its consistency with the SIMRA definition of Social Innovation. In this Manual, this is called the SIMRA Rapid Evaluation (Evaluation Option 1).

*Focus 2:* if the evaluator needs or wants to understand the details of the drivers of a Social Innovation initiative, internal mechanisms, processes of change in the relationships between actors, and its effects. The Social Innovation initiative is explored using an in-depth analysis of



the dimensions and sub-dimensions of Social Innovation as described in the SIMRA Evaluation Framework. In this Manual, this is called the SIMRA Detailed Evaluation (Evaluation Option 2).

*Focus 3:* if the evaluator needs or wants to carry out a conventional evaluation, i.e. to evaluate whether the initiative achieved what was needed, whether resources were used in an efficient way, and led to the intended results and impacts. The Social Innovation initiative is evaluated with respect to the conventional criteria of evaluation Relevance, Efficiency, Effectiveness, Impact and Sustainability (REEIS). In this Manual this is called the SIMRA Conventional Evaluation (Evaluation Option 3).

The Social Innovation can be evaluated by combining focal points to support the needs of case-specific evaluations. Once the evaluation questions and the focus are chosen (based on instructions provided in Section 4 of the Manual), the evaluator will identify the tools to be used for data collection and analysis. All the data required for completing an evaluation based on one or more of the focal points have to be collected, processed and analysed using a mixed (quantitative and qualitative) set of tools.

The set of data collection tools (described in Section 5.1 of the Manual) comprises:

- a) *Two preparatory and mixed qualitative-quantitative tools:* Tools 1 and 2, which include instructions for conducting preparatory desk work, the identification of secondary data about the context, and guidelines for organising and managing the Focus Group, including the identification of stakeholders and significant impacts.
- b) *Four quantitative tools:* Tools 3, 4, 5 and 6, which are questionnaires for data collection target respectively the Innovator(s) and Follower(s), Transformers, project partners and beneficiaries. These are the main categories of stakeholders involved in the evaluation of Social Innovation in the SIMRA project.
- c) *Two qualitative tools:* Tools 7 and 8 which provide, respectively, guidelines for carrying out semi-structured interviews of Innovator(s) and Follower(s), and for interviewing policy experts.

The overall set of data processing and analysis tools (described in Section 5.2 of the Manual) comprises:

- a) *One MS Excel file (Tool 9),* which enables the entry of the data collected in the field and use them to calculate the values of Indicators, Composite Indicators and Indexes for the quantitative part of analysis;
- b) *Two tools for preparing commentaries:* Tools 10 and 11, which provide guidelines respectively for the qualitative part of the analysis of dimensions and sub-dimensions of Social Innovation, and of the interpretation of the contents of policy documents and interviews.

The SIMRA Manual is completed with guidance on how to use, interpret and report results of the evaluation (described in Section 6).

Once the data processing and analysis are complete the quantitative and qualitative results can both be merged into a single Final Evaluation Report (outlined in Section 6.3), which has the goals of providing a summary of the observations with respect to the specific evaluation objectives and questions, and the formulation of conclusions and recommendations.

The most likely target users are evaluators who support the European Commission with evaluations of future rural development policy and programmes, in which social issues and evidence-based performance are expected to be of considerable importance. The final set of methods developed and used by the SIMRA project for the evaluation of Social Innovation in Marginalised Rural Areas gives an innovative contribution to tackling the challenges of such evaluations.



## 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). Therefore, the first objective of Work Package 4 was to develop and test an innovative, draft set of methods to measure Social Innovation in Marginalised Rural Areas, its impacts and related policy implications. In order to reach this stated research objective, three 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 use, or adapted for the evaluation of social innovation and its impacts in relation to the economic, social, environmental and institutional and governance domains, and to its policy implications. The main goal of Deliverable 4.1 was to provide a standardised tool for exploring what other projects and publications had reported (i.e. how to explore and analyse the literature).

The main output of Task 4.2 was [Deliverable 4.2](#) (Secco *et al.*, 2017). This provided the conceptual and operational underpinning of the evaluation framework, approach and practice. In particular, it reported on the design of the overall methodological approach, methods, and data collection tools. The main goal of Deliverable 4.2 was to deliver the guiding operational instructions to Work Packages 5 and 6 for understanding and testing the preliminary set of methods and tools in the SIMRA Case Studies of Social Innovation.

Finally, the main output of Task 4.3 is Deliverable 4.3, titled “Manual on Innovative Methods to Assess Social Innovation and its Impacts”. As conveyed in the title, the final Manual presented in Deliverable 4.3 is designed to enable evaluators to assess a Social Innovation in marginalised rural areas, evaluate its impacts and implications for policy. The final, integrated set of methods are a timely and novel resource for supporting decision-making, based on the assessment and evaluation of Social Innovation<sup>1</sup>.

### 1.2 An Overview of Work Package 4 Activities

An assessment and evaluation framework<sup>2</sup> for social innovation, its impacts and related policy processes needs to be: i) specific and strictly connected to the definition of Social Innovation; ii) 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 steps and paths towards developing the SIMRA evaluation methods and tools for evaluating Social Innovation and its impacts and policy implications, summarised above are presented in **Figure 1**.

---

<sup>1</sup> Despite these two terms often being used synonymously, they refer to two different concepts. Assessment means “the action of assessing something”, and evaluation means “the making of a judgement about something” (Oxford Dictionary online, 2017). Social Innovation assessment includes all the activities necessary (e.g. identification of methods, data collection, etc.) for completing the evaluation (i.e. for having a final judgement) of a Social Innovation initiative. Use of the term evaluation in D4.2 includes that of the term assessment (unless otherwise specified).

<sup>2</sup> In this Deliverable, “assessment and evaluation framework” refers to the “evaluation framework”.

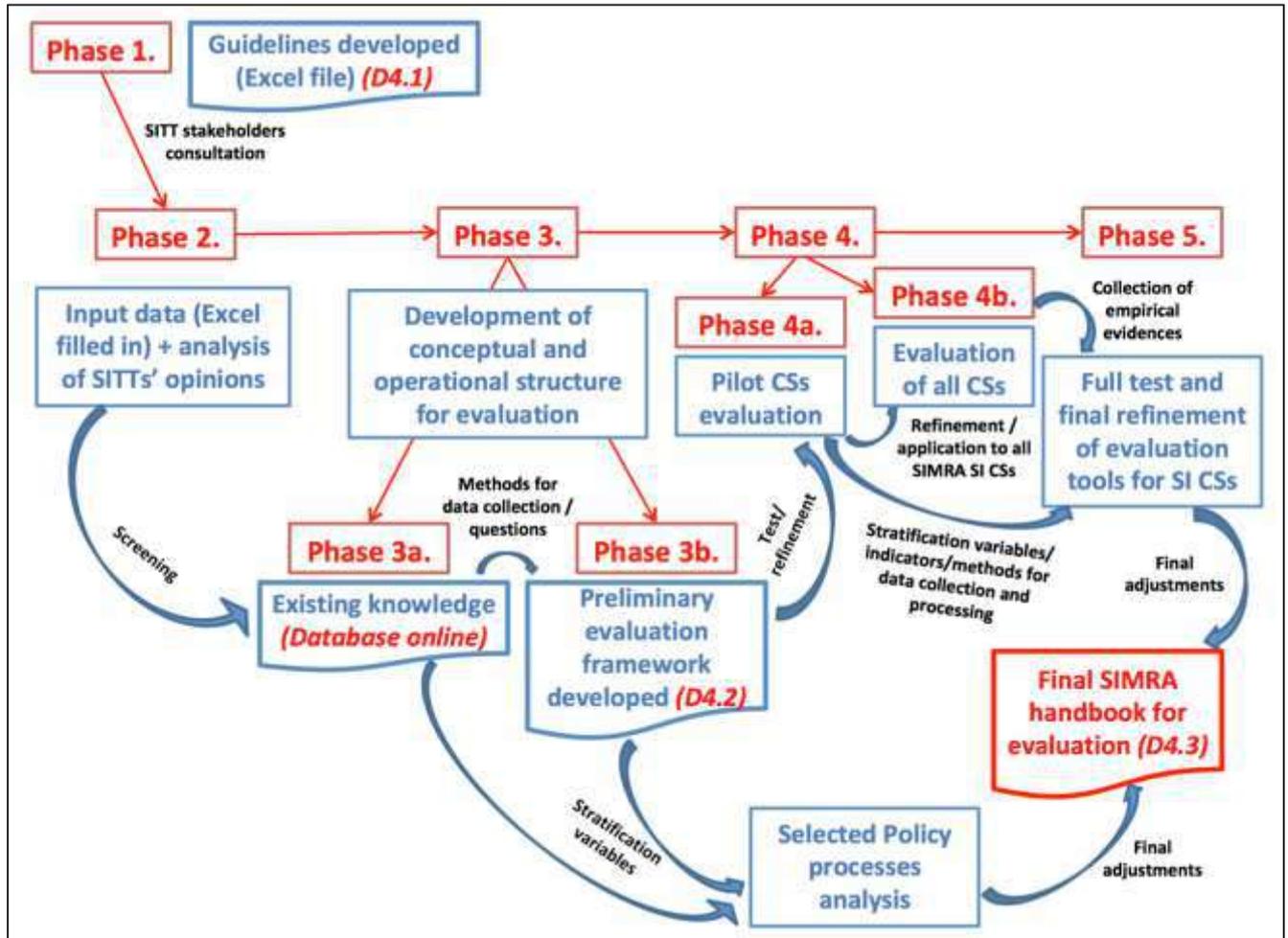


Figure 1. Paths to the development of evaluation methods and tools for use in SIMRA. (Source: SIMRA research team).

Phase 1 consists of the development of the Guidelines for identifying and analysing existing methods to be used in, or adapted to the evaluation of social innovation in marginalised rural areas (Secco *et al.*, 2016). Members of the SIMRA Social Innovation Think Tank (SITT) were consulted on methods for evaluation in a world café session held at the SITT workshop (Bratislava, Slovakia, 28<sup>th</sup> October 2017). The main outputs of Phase 1 are reported in Secco *et al.* (2016) [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 consists of the compilation of a MS Excel file for analysing the methods identified, and a more detailed analysis of the results that emerged from consultations with members of the SITT at the workshop in Bratislava (October 2016) and online (July 2017). The principal outputs of Phase 2 are for internal use of the SIMRA project, comprising: (i) a database of existing methods, analysed in detail (in a MS Excel structure, provided in Secco *et al.*, 2016; Deliverable 4.1)<sup>3</sup>, and (ii) the principal observations and suggestions made by members of the SITT in the consultations. These documents have driven the development of the evaluation framework and the related proposed methods and tools. Phase 3 consists of the development of the conceptual and operational fundamentals of the evaluation framework. It includes two sub-phases:

- (i) compilation of a document containing potentially useful ideas, methods and variables, extracted from the analysis of existing methods and in consultation with members of the SITT (Figure 1, Phase 3.a);

<sup>3</sup> This database is available online at the SIMRA Web Site at [www.simra-h2020.eu/resources](http://www.simra-h2020.eu/resources).



- (ii) development of an evaluation framework and related methods and tools, specifically designed for targeting methods and tools for their use in tackling the dimensions and aspects of Social Innovations in Marginalised Rural Areas (Figure 1, Phase 3.b). The main output of Phase 3 is Deliverable 4.2 which provided: a detailed explanation of the requirements for the assessments and evaluations in order to understand a Social Innovation initiative, its impacts and related policy implications; an overview of the preliminary SIMRA approach and methods proposed to assess and evaluate a Social Innovation initiative; and, the guiding operational instructions to Work Packages 5 and 6 for understanding and testing the preliminary set of methods and tools.

Phases 4 and 5 of the development process are reported in this Deliverable 4.3. They comprise a complex process of progressive refinement and improvement of the preliminary set of methods to their final versions. Phase 4 includes two sub-phases:

- (i) application of the preliminary evaluation framework (as designed in Deliverable 4.2) to two pioneer Case Studies (Phase 4.a), and the collection of feedback;
- (ii) development of a revised version of the preliminary evaluation framework, refined and improved on the basis of feedback collected from the test in the pioneer Case Studies, and from discussions on the proposed approach and methods. These discussions took place during the training session in Bolzano, Italy (January 2018) with the Case Study Teams, and via email, meetings and Skype calls with the leaders of Work Packages 5 and 6 (Phase 4.b), and its application to all of the 11 Type A Case Studies.

The production of an innovative set of methods, finalised in Phase 5, represents completion of all the Tasks assigned to Work Package 4. This phase included a final, extensive revision of the set of methods based on feedback collected from the empirical applications in the 11 Type A SIMRA Case Studies. The revisions included the refinement of the formulation of indicators and related data collection tools (both questionnaires and semi-structured interviews), and re-adjustment and refinement of data entry, data analysis and reporting tools.



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



# **PART I – MOVING FROM THE PRELIMINARY TO THE FINAL SET OF METHODS**



## 2. Changes to Preliminary Methods Based upon Feedback

### 2.1 Introduction

The preliminary set of tools for data collection and indicators for analysis have been tested in the 11 Type A Case Studies of SIMRA. In total, 155 indicators were proposed initially, based on different combinations of variables collected using Tool 1 (desk work), Tool 2 (Focus Group) and Tools 3 to 6 (questionnaires to Social Innovation actors). The proposed indicators were divided into three main sections:

**Section 1): Indicators for the evaluation of the social innovation process, project and the overall initiative in terms of Relevance, Efficiency, Effectiveness, Impact and Sustainability (REEIS).**

Typically, Relevance, Efficiency, Effectiveness, Impact and Sustainability (REEIS) indicators are used by evaluators (e.g. in the European Common Monitoring Evaluation Framework) to check the effectiveness and impacts of programmes and projects supported by public funds. They have been developed by including innovative aspects which are particularly important for social innovation in rural areas such as social capital, networks and governance. Fifty-one indicators were included under this heading, which are summarised in **Figure 2.1**.

In the summary table of the REEIS indicators, the first column contains the guiding evaluation criteria and related question(s) which are reported. The second, third and fourth columns contain the codes for the individual indicators dealing with the evaluation criteria and questions. These criteria and questions relate to the process and project phases of the Social Innovation, and for the overall Social Innovation initiative (see Secco *et al.*, 2017; Deliverable 4.2 for details of the difference between process, project and initiative). The summary table is used to present an explanation of the approach used in the other sections, with other types of indicators (full information is available in Secco *et al.*, 2018b).



<b>Indicators –REEIS</b>			
Relevance, Efficiency, Effectiveness, Impact, Sustainability, for process and project.			
Summary table			
	SI Process	SI Project	SI initiative
<b>Relevance</b> Are the <b>objectives</b> satisfying the <b>needs</b> ?	R1 R2 R3	R4 R5 R6	R7 R8
<b>Efficiency</b> Have the <b>outputs</b> been achieved with few <b>inputs</b> in terms of resources and time?	E1 E2 E3	E4 E5 E6 E7	E8 E9 E10
<b>Effectiveness</b> Are the achieved <b>outputs</b> satisfying the initial <b>objectives</b> ?	F1 F2 F3 F4	F5 F6 F7 F8 F9 F10	F11 F12 F13
<b>Impact</b> 1. Are the <b>outcomes</b> in the same direction of the <b>policies</b> ? 2. Which are the <b>environmental, social, economic and institutional impacts</b> ?		I3 (.1,.2,.3) I4 I5 I6 I7	I8 (.1,.2,.3) I9 (.1,.2,.3,.4) I10 (.1,.2,.3,.4) I11 I12 (.1,.2,.3,.4) I13 I14 I15
<b>Sustainability</b> 1. Is it <b>self-sufficient</b> ? 2. To what extent is it continuing and spreading on time? Will it be <b>long-lasting</b> ?	S1	S2 S3 S4 (.1,.2) S5	S6

Figure 2.1 Summary table for Relevance, Efficiency, Effectiveness, Impact and Sustainability (REEIS) indicators. (Source: Secco et al., 2018b, p.3).

For each of the specific evaluation criteria of the REEIS indicators, an initial list of guiding evaluation questions was provided for each sub-section (e.g. one on the Relevance indicator, see **Figure 2.2** as an example of the others to be found in Secco et al., 2018b), to get an overall understanding of all of the aspects considered in the evaluation.



## R. RELEVANCE

Are the **objectives** satisfying the **needs**?

### Evaluation questions and Judgement criteria

#### 1. RELEVANCE of the SI PROCESS

**Evaluation question:** Is the SI process relevant to the SI network's needs or to the European societal challenges?

Indicator R1: Consistency with European societal challenges

*Judgement criterion: the capacity of the SI idea to address one or more of the European societal challenges attests its consistency with European aims.*

Indicator R2: Shared needs within the SI network

*Judgement criterion: The higher the number of needs shared by both innovators-followers and transformers-mainstreamers on the total number of identified needs, the better the relevance of the SI process.*

Indicator R3: Shared vision regarding collective needs.

*Judgement criterion: the higher the number of SI network's actors who identify the same needs identified by innovators, the better the relevance of the SI process.*

#### 2. RELEVANCE of the SI PROJECT

**Evaluation question:** Is the SI project relevant to the beneficiaries's needs and/or to the European societal challenges?

Indicator R4: Consistency of SI project with European societal challenges.

*Judgement criterion: the capacity of the SI project to address one or more of the European societal challenges attests its consistency with European aims.*

Indicator R5: Beneficiaries' extent (Level) of satisfaction with their needs

*Judgement criterion: the higher the level of satisfaction of beneficiaries with respect to their needs, the better the relevance of the SI project.*

Indicator R6: Capacity of the SI project to address beneficiaries' needs

*Judgement criterion: the higher the number of beneficiaries' needs satisfied, the better the relevance of the SI project.*

#### 3. RELEVANCE of the SI INITIATIVE

**Evaluation question:** To what extent has the whole SI initiative satisfied the territorial needs?

Indicator R7: Extent (level) of satisfaction with territorial needs

*Judgement criterion: the higher the satisfaction of the actors with respect to the territorial needs, the better the relevance of the SI initiative.*

Indicator R8: Shared needs within the SI initiative

*Judgement criterion: the higher the consistency of SI actors' with beneficiaries' needs, the better the relevance of the SI initiative.*

Figure 2.2 Examples of guiding questions and judgement criteria for the evaluation of the Social Innovation Relevance (Source: Secco et al., 2018b, p.4).

An example of the information sheets for two indicators proposed for the evaluation of the relevance of the Social Innovation initiative (External satisfaction of territorial needs; Shared need within the social innovation initiative) is shown in **Figure 2.3**.



<b>Indicator R7. "Extent (level) of satisfaction with territorial needs"</b>						
<b>Description:</b> The indicator measures to what extent the products and/or services provided by the SI initiative satisfy the needs of the territory. The indicator is based on the perception of all categories of actors involved in the SI initiative in a certain territory (excluded beneficiaries), i.e. innovators, followers, transformers, mainstreamers and project partners.						
<b>Judgement criterion:</b> the higher the satisfaction of the actors with respect to the territorial needs, the better the relevance of the SI initiative.						
Tools	1	2	3	4	5	6
Question code			G.c.1.6.	G.c.1.6.	G.c.1.6.	
Type of answers			Perception scale	Perception scale	Perception scale	
Variable codes in Excel			G.c.1.6.	G.c.1.6.	G.c.1.6.	
Variable range in Excel			[1-10]	[1-10]	[1-10]	
Data computation			Average of all observation			
Indicator Range			[1-10]			
<b>Notes:</b> None.						
<b>Indicator R8. "Shared needs within the Social Innovation initiative"</b>						
<b>Description:</b> The indicator measures the consistency of the needs as identified by the SI actors (innovators, followers, transformers and mainstreamers) with those identified by the SI initiative's beneficiaries.						
<b>Judgement criterion:</b> the higher the consistency of SI actors' with beneficiaries' needs, the better the relevance of the SI initiative.						
Tools	1	2	3	4	5	6
Question codes			A.b.2.1.	E.b.1.5.		G.c.1.4
Type of answers			Open (max 3) list of elements			Open (max 3) list of elements
Variable codes in Excel			A.b.2.1-3	E.b.1.5 (.1, .2)		G.c.1.4 (.14, .15)
Variable range in Excel			Text	Text		Text
Data computation			Step 1 - Categorization of qualitative answers			
			Step 2 - No. of beneficiaries needs identified by at least one member of the network/ No. of beneficiaries needs			
Indicator range			[0-100]			
<b>Notes:</b> "categorization of qualitative answers" means that qualitative answers with same meaning but different wording are considered the same.						

Figure 2.3 Examples of information sheets for indicators of Relevance (External satisfaction of territorial needs; Shared need within the social innovation initiative; Source: Secco *et al.*, 2018b, p.8).

An example of information sheets for the evaluation of impacts is shown in Figure 2.4. Equivalent information sheets have been developed for all of the indicators proposed. Full details were provided to partners in the internal report Secco *et al.* (2018b).



<b>Indicator I10. "Positive impacts of the Social Innovation initiative on environmental, economic, social and institutional/governance elements [perception in the Focus Group]"</b>						
<b>Description:</b> The indicator shows the number of elements that have been positively impacted by the SI initiative with respect to the total number of elements that have been impacted (both negatively and positively) as perceived by the participants in the Focus Group. Elements refer to four domains: environmental domain, economic domain, social domain and institutional/governance domain. For each domain, a list of detailed elements has been provided and analysed by the stakeholders who participated in the Focus Group. The lists are available in Session V, Tool 2, Guiding question A1.						
<b>Judgement criterion:</b> the higher the percentage of elements perceived as positively impacted by the SI initiative with respect to the total elements perceived impacted, the better the perceived impact of the SI initiative.						
Tools	1	2	3	4	5	6
Question codes		SESSION V.				
Type of answers		Guiding question A1 (list of elements of four domains) Guiding question A2 (list of elements negatively and positively impacted)				
Variable codes in Excel		Hd11-Hd4-12				
Variable range in Excel		[-2,-1,0,+1,+2]				
Data computation		<b>Step 1 – Identify the number of elements that have been impacted both negatively and positively by the SI initiative</b> <b>Step 2 – Calculate the ratio, in percentage:</b> <b>Number of positive impacts [+2;+1] / Total Number of impacts ( Number of negative impacts [-2;-1] + Number of positive impacts [+2;+1])*100</b>				
Indicator Range		[0-100]				
<p><b>Note1:</b> The indicator can easily be transformed in the opposite one, i.e. an indicator that can provide an idea of the negative impacts determined by the SI initiative (100-I10). Moreover, sub-indicators I10.1, I10.2, I10.3 and I10.4 can be calculated for each single domain and compared. This allows understand whether the SI initiative is perceived as having impacts mainly on the environmental domain, mainly on the economic one, mainly on the social one, or mainly on the institutional/governance one.</p> <p><b>Note2:</b> No difference between value [2] and [1] in this indicator because we want to focus on the first step of the selection; a similar indicator with the weight is in "Dimensions".</p>						

Figure 2.4. Examples of the information sheet of one indicator of impacts (Source: Secco et al., 2018b, p.54).

**Section 2): Indicators for evaluating the Social Innovation initiative in relation to the key elements of the SIMRA definition of social innovation and related learning processes.**

Thirty of the indicators were used in assessing key elements of the SIMRA definition of Social Innovation, and Social Innovation as an Innovation and Learning process. They are listed in Figure 2.5. In this example, there was no need for separate sets of indicators for the process, the project and the initiative, which is analysed in its comprehensiveness.



<b>Indicators – Social Innovation (SI)</b>	
Summary table	
<b>A. Key elements of SIMRA’s Social Innovation definition</b>	<b>Indicators</b>
1. <u>Reconfiguring of social practices</u>	<u>SIR1</u> <u>SIR2</u> <u>SIR3</u> <u>SIR4</u> <u>SIR5</u>
2. <u>Response to societal challenges</u>	<u>SIS1</u> <u>SIS2</u> <u>SIS3</u>
3. <u>Outcomes on social well-being</u>	<u>SIO1</u> <u>SIO2</u>
4. <u>Engagement on civil society</u>	<u>SIE1</u> <u>SIE2</u> <u>SIE3</u> <u>SIE4</u> <u>SIE5</u> <u>SIE6</u> <u>SIE7</u>
<b>B. Innovation and learning process</b>	<b>Indicators</b>
1. <u>Overall innovation</u>	<u>SI11</u> <u>SI12</u>
2. <u>Feedback loops</u>	<u>SIF1</u> <u>SIF2</u>
3. <u>Multiplier effects</u>	<u>SIM1</u> <u>SIM2</u> <u>SIM3</u>
4. <u>Critical innovation effects</u>	<u>SIC1</u> <u>SIC2</u> <u>SIC3</u>

Figure 2.5. Summary table of indicators of Social Innovation (Source: Secco et al., 2018b, p.46).



**Section 3): Indicators for describing the Social Innovation in terms of dimensions identified in the SIMRA evaluation framework (Secco et al., 2017; D4.2).**

These indicators were designed to provide complementary information to the evaluation indicators (Sections 1 and 2). They are used to describe the Social Innovation in terms of its key dimensions and sub-dimensions as identified in the evaluation framework (Secco et al., 2017; Deliverable 4.2). This list included 74 indicators, which are summarised in **Figure 2.6**.

Indicators – SI Dimensions (WP4 evaluation framework)					
<p>In this section there are only descriptive indicators, which do not repeat the information contained in the previous sections' indicators but rather complement it. All the indicators in the previous sections can be used by the evaluator as he/she wishes to complete the indicators of this section. Moreover, this explains the reason for some sub-dimensions not having indicators. Many of them are to be used in conjunction with qualitative information (from Tool 7).</p> <p>Summary table.</p>					
Dimension	Sub-dimension	Indicator			
A. Individual and collective needs	A.a. Trigger	Aa1 Aa2	E.c. New governance arrangements Ec1 Ec2 Ec3 Ec4 Ec5 Ec6		
	A.b. Social needs	Ab1	E.d. Reconfigured Ed1 Ed2 Ed3		
B. Perceived context	B.b. Perceived opportunity and threats (P)OT	Bb1 Bb2 Bb3	F.a. Planning the initiative Fa1		
		C. Agency – Agents	C.a. Idea	Ca1 Ca2	F.b. Human resources management Fb1
			C.b. Leadership	Cb1 Cb2	F.c. Financial resources management Fc1
C.c. Vision	Cc1		F.d. Infrastructural resources management Fd1		
C. Agency – Agents	C.d. Resilience	Cd1	F.e. External interaction management Fe1		
	C.e. Capacities	Ce1 Ce2 Ce3 Ce4	F.f. Administration Ff1		
		D. Agency – Preparatory actions	D.a. Endogenous vs. exogenous drivers of the SI process	Da1 Da2	F.g. Monitoring and Evaluation Fg1
			D.b. Idea formulation and information collection	Db1	F.h. Support Fh1 Fh2
D.d. Engagement of SI actors and stakeholders			Dd1 Dd2 Dd3	G. Outputs Gb1 Gb2 Gb3	
E. Reconfiguring and reconfigured social practices	E.a. New networks	Ea1 Ea2 Ea3 Ea4 Ea5 Ea6 Ea7 Ea8 Ea9 Ea10 Ea11 Ea12 Ea13	H.b. Outcomes Hb1 Hb2 Hb3 Hb4 Hb5 Hb6		
		E.b. New attitudes	Eb1 Eb2	H.c. Impacts Hc1 Hc2 Hc3 Hc4 Hc5	
				H.d. Impact of SI initiative Hd1 Hd2 Hd3 Hd4	
					I. Innovation and learning process

Figure 2.6. Summary table of indicators of Social Innovation dimensions (Source: Secco et al., 2018b, p.67-68).

A fourth, separate section was developed of preliminary, potential **Indicators for supporting the analysis of the Diverging Paths**. These would accompany the work of Work Packages 2 and 3 (Tasks 2.3 and 3.3) on that topic. However, their application in the Case Studies showed weaknesses in their use for the Diverging Paths analysis. Descriptions of key variables to explain the Diverging Paths (Task 3.3) used the assessment of qualitative data based on Tool 12, other quantitative indicators in the three main sections included in the reporting of the 11 Type A Case Studies, summarised in Deliverable 5.3 (Marini Govigli et al., 2019). As a result, qualitative indicators have been used for the analysis of the Diverging Paths of Social Innovation instead of quantitative indicators.

The preliminary set of tools was completed with the instructions and instruments for the collection of qualitative data and analysis. Tools 7 and 8 (guidelines for semi-structured interviews to key stakeholders and key informants, namely policy makers) are intended mainly for policy analysis, while allowing cross-checking of quantitative data and information, resulting in an overall mixed approach to quantitative-qualitative evaluation.



Feedback was sought from Type A Case Study Teams and the leaders of Work Packages 5 and 6 on the questionnaires and indicators. A detailed analysis of feedback led to a reduced set of selected indicators, and to changes in tools and questions. This section provides an overview on the feedback received and the changes made. It focuses on the feedback on quantitative-based tools (indicators) as that on qualitative-tools was generic and minor.

## 2.2 Feedback

A brief explanation of how feedback was collected and an overview of general comments received is provided below.

### a) Gathering Feedback

The set of tools for data collection, the indicators and the entire evaluation framework, have undergone changes over time. These changes are based upon the tests carried out in two Pioneer Case Studies and the subsequent application of the full methodology to all of the case studies. During the testing, every SIMRA partner was able to provide written feedback on the methodology for data collection and analysis.

**Written and structured feedback** has been grouped under the following headings:

- *Questions and questionnaires*, through to Tool 11 completed by the Case Study Teams;
- *Indicators*, informed by the feedback from the leaders of Work Package 5 on data accessibility during the field work, data computability and the reliability of outputs;
- *Comparison between qualitative and quantitative results*, in collaboration with Work Packages 5 and 6.

Data collection in each case study took place from February to September 2018, under Task 5.2. Tool 11 provided the opportunity to each Case Study Team to provide written feedback on each **questionnaire** and its **questions** used for data collection. It was divided into seven sections (one per Tool, from Tools 1 to 7), with a table for recording feedback in each section.

Difficulties relating to Tool 1 were collected for each section. For Tool 2, specific feedback was requested regarding the time required to carry out each section of the Focus Group, difficulties relating to the technique itself, and which activities did not work or worked only partially. Case study teams were able to provide information on the tools, which were used for individual interviews (Tools 3 to 7), specifically on the:

- average time needed to use the questionnaire with the people interviewed;
- questions which were not effective (e.g. difficult to be understood, respondents did not reply);
- questions which were misinterpreted and/or which created doubts in the respondents on how to answer (e.g. understood differently by different respondents, options not exhaustive);
- questions which worked but with which there were minor problems (e.g. unclear wording, difficult translation into the local language);
- general comments on the tool itself and suggestions for improvements (R5.1: Secco *et al.*, 2018a).

**Figure 2.7** shows an example of feedback provided by one case study.



Tool 4 – Questionnaire to Transformers and Mainstreamers

Average time (specify also the range) requested to fill the questionnaire	75min (60 to 120min)
Questions which did not work at all (e.g., difficult to be understood, that respondents did not reply to)  [Please report the questions codes and provide explanations]	D.a.1.1. (not possible to answer for our CS) D.a.1.4. (too personal and too difficult to define –) D.a.1.5. (???) D.a.1.6. (too theoretic – not possible to define for our CS – maybe possible if more general. Difficult to set the boundaries – project is still running but it is not the same anymore)
Questions which created doubts in answering in the respondents (e.g., understood differently by different respondents, not exhaustive options)  [Please report the questions codes, provide explanations and possible suggestions of re-wording/improving]	D.a.1.3. – every actor has a different scale to answer this question... what is a lot of time! G.c.1.8. – supportive policies – tricky question – what are/were the supportive policies? – hard to define and delimit! E.c.1.2. – difficult question! Hard to come up with an answer.  In general it would maybe be clever to include the title of the chapter in the question, so the chance that the question is answered generally and not in the sense of the chapter is reduced e.g. E.b.1.5. – General needs or needs for new attitudes?  E.b.1.5. – abstract question! Not easy to answer, understood and answered differently by different respondents
Questions which worked but contained minor problems (e.g., unclear wording, difficult translation in local language)  [Please report the questions codes, provide explanations and possible suggestions of re-wording/improving]	D.a.1.3. – difficult to define E.a.1.4. sometimes it would be good to be able to check more options. E.g. 006 Jörg Wyder is regional and national D.d.1.3. I often didn't really differentiate between "Unknown but recommended by close contact" and "Completely new contacts" – actually every new contact was recommended by the network and consequently by a close contact in the end.
Other comments	In general questions are too complex, exhaustive and in detail. Sometimes interviewees were quite confused. Additionally, if the interviewee was not "well educated", some questions were quite difficult to answer.

Figure 2.7. Example of feedback on the questionnaire used with transformers and mainstreamers (Tool 4). Source: Feedback tables completed by Case Study Teams (internal documents to SIMRA project).

During data collection and analysis, the leader of Task 4.4 worked closely with Work Package 5 to resolve all of the methodological issues that emerged during the application of the data collection protocols and tools in the case studies, and during the data entry into OPINIO. These interactions ensured consistency between case studies and helped address methodological bottlenecks.

Several meetings were held between Work Packages 4 and 5 (UNIPD, EURAC and EFI) both virtually and face-to-face (in Bolzano and Padova) to ensure close coordination of activities, and alignment of data collection tools (e.g. coded questions in the structured interviews) with OPINIO and the related MS Excel file for data storage and processing. An internal framework for feedback on tools and **indicators** was agreed. SIMRA partners EURAC and EFI would provide comments on empirical difficulties encountered in data computation (e.g. MS Excel formulas not working, in-accessibility of data during the fieldwork, sensitive topics), and on the reliability of the scores of the indicators (e.g. missing values, misleading questions, unexpected final scores).

Figure 2.8 shows which types of feedback were provided by Work Package 5 to Work Package 4, for internal use only.

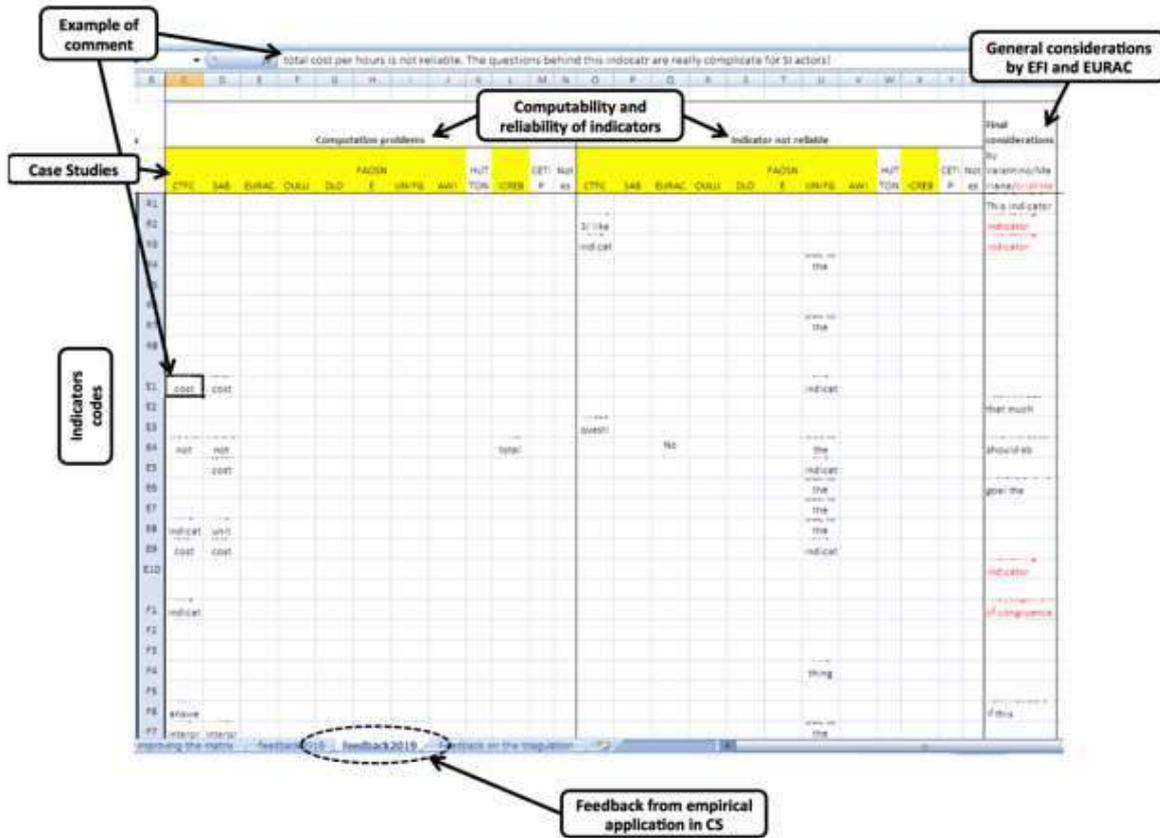


Figure 2.8. Overview of feedback provided by Work Package 5 to Work Package 4 for refinement of the methods. Source: MS Excel feedback sheets completed by EFI and EURAC for UNIPD and BOKU (internal documents to SIMRA project).

A further source of structured, written feedback was based upon the **qualitative-quantitative comparison** of results. Each dimension and sub-dimension of the evaluation framework has been analysed with respect to the scores obtained with the quantitative indicators, and the qualitative information collected with semi-structured interviews. In collaboration with Work Packages 5 and 6, checks were made of the consistency of results and the missing information that would enable comparisons to be made between the quantitative and qualitative tools.

**Oral and informal** feedback was also collected through a world café held during the SIMRA General Assembly in Padova, Italy (June 2018), and a plenary discussion held during the SIMRA General Assembly in Athens, Greece (June 2019). Support was provided to Case Studies by UNIPD via Skype and e-mail in interactions, or indirectly through the leaders of Work Package 5. These interactions were to provide clarification, find solutions to practical constraints or queries about the application of the protocols and interpreting elements of the evaluation approach. A list of Frequently Asked Questions (FAQ) relating to data collection in Case Studies was developed for use by the Case Study Teams as a source of answers and solutions to the most commonly encountered problems (Appendix 2 to Deliverable 5.1). Members of the Social Innovation Think Tank were also consulted in the initial phases of the development of the methods, details of which were provided in Deliverable 4.2 (Secco *et al.*, 2017).

The evaluation framework and the set of tools and indicators have been presented at several scientific conferences from which relevant feedback was collected and shared internally. This type of feedback was focused on the overall validity of the approach and its complexity, rather than on specific questions, indicators or topics.



## b) General Comments from Feedback

A summary of some cross-sectional comments and feedback on questions and tools is provided below. Some comments concern sampling design, others deal with the structure and layout of the questionnaires, the language used in the questions and the length of the interviews.

With respect to sampling design, some partners had difficulties in:

- identifying and categorising actors in the Social Innovation initiative according to their role (innovators, followers, transformers, mainstreamers, project partners and beneficiaries);
- interviewing all members of the network to obtain a consensus, as required by the methodology;
- identifying the project partners with a deep knowledge (project managers) of the Social Innovation initiative that would allow them to carry out Tool 5;
- selecting a representative sample of beneficiaries.

Other general comments on tools, indicators and the evaluation framework were:

- questionnaires took a long time to complete;
- the order of the questions did not always follow a logical sequence and some questions repeated similar concepts;
- the layout and coding of the questions in the questionnaires should be simplified in order to be more easily understood by respondents if they wanted to look at the questionnaires prior to the interview;
- the Likert Scale from 1 to 10 was not easy to use in all the contexts;
- the threshold between Social Innovation process and Social Innovation project was not always clear;
- in a long-term Social Innovation initiative, some Social Innovation network actors were no longer part of the project;
- Some sub-dimensions of the evaluation framework were based on very few indicators.

All of these comments, and the other feedback received, have been taken into consideration during the revision of the evaluation tools and indicators.

## 2.3 Main Changes to the Preliminary Set of Methods

### 2.3.1 Feedback received

According to the types of feedback received either directly from Case Study teams or from teams in Work Packages 5 and 6, changes were made when and where it was clear that the variable, question or indicator did not work or problems had been encountered. Modifications were made where specific doubts were raised regarding the relevance of the materials collected after analysis undertaken by UNIPD.

A summary table was developed to include all of the changes made to questions, indicators and the entire evaluation framework, on the basis the received feedback. This is organised in four levels:

- a. changes to variables/questions;
- b. changes to tools;
- c. changes to indicators;
- d. changes to the sub-dimensions of the evaluation framework, and reflections on quantitative-qualitative comparison of results.



Traffic light colours (green, yellow and red) were used to highlight the final decision made regarding each evaluation component. Green means that nothing changed with respect to the version used by the casestudies. Yellow highlights where small changes were made (e.g. wording, sentence reformulation, addition of options or items) but the question as a whole remained unchanged. Red shows what has been deleted. At the level of indicators, the colour blue has been used to indicate those which were created ex novo.

In the table, there are three columns for each level.

At the variables level:

- the code of the question with the “traffic light colour”;
- the type of problems highlighted in Tool 11 (did not work, uncertainty in use, minor problems);
- notes that summarize the feedback by Case Study teams.

At the indicators level:

- the code of the indicator with the “traffic light colour”;
- the number of Case Study(s) where the indicator calculation was feasible and its score considered to be consistent;
- notes that summarize the feedback by Work Package 5 on the calculation and interpretation of the data collected.

At the evaluation framework level (two columns):

- the code of the sub-dimensions with the “traffic light colour”;
- the number of Case Study(s) where the triangulation between quantitative indicators and qualitative results was possible.

**Figure 2.9** shows an extract of the summary table of changes, presenting the analysis carried out for use in making the final decisions on changes.



**SI Dimensions**

Dimension	Sub-dimension	Triangulation	Indicator	ok	Notes	Variable	ok	Tool 11
A. Individual and collective needs	A.a. Trigger	Triangulation possible (10/10)	Aa1	7	Score could be biased on the moment people get involved / Answers not related to the needs of territory, rather to personal needs	A.a.1.6		
			Aa2	9		A.a.1.4	d	trigger is not "the one" for all clique
	A.b. Social needs		Ab1	9	A.b.1.1 A.b.2.1			
			Ab2	9	Ex Bb3	A.d.1.1		
			R1+R4	9				
<p><b>Deleted:</b></p> <ul style="list-style-type: none"> <li>- Aa1: deleted for the reasons described in the notes → question A.a.1.6 deleted as well, as used only here</li> </ul> <p><b>New:</b></p> <ul style="list-style-type: none"> <li>- Ab2: based on 2<sup>nd</sup> step of question A.d.1.1 (gvn cause SI): ex Bb3 "Role of gvn in determining SI"</li> <li>- R1 merged with R4</li> </ul>								
B. Perceived context	B.b. Perceived opportunity and threats (P)OT	Triangulation partially possible (7/9)	Bb1	7	Not always quantitatively consistent	B.b.1.1 B.b.2.1 B.b.3.1 B.b.4.1	d m	many categories not relevant / time consuming
			Bb2	8		G.c.1.8	m	Add Don't know
			Bb3	9	Tool5 not always collected	A.d.1.1	w d	Cause or consequence?
<p><b>Modified:</b></p> <ul style="list-style-type: none"> <li>- Bb1 is the only indicator on context as perceived by the initial participants. minor modifications: delete note 3. Questions: match wording "factors" and "conditions"; add "reply only to relevant categories"</li> <li>- Bb2 Question G.c.1.8 modified into "To what extent have the items listed below contributed to the success of the SI initiative?" (with this formulation there is no comparison with the other items).</li> </ul> <p><b>Moved:</b></p> <ul style="list-style-type: none"> <li>- Bb3 moved as it is to social needs; here a new Bb3 is based on "reaction to"...</li> </ul> <p>Question A.d.1.1 reformulated → all elements neutral + add 3<sup>rd</sup> column: [3 questions: 1<sup>st</sup> POT (deals with items of gvn context); 2<sup>nd</sup> Trigger-Cause (emerging thanks/in reaction to); 3<sup>rd</sup> Impacts (SI contribution to, in scale [0-2])]</p> <p>NB: SUMMARY INDICATORS: F4 and I14 based on 3<sup>rd</sup> step / new Bb3 based on 1<sup>st</sup> step / new trigger indicator based on 2<sup>nd</sup> step</p> <p><b>Triangulation:</b> There is a need to check the perceived enabling and constraining conditions (see note1 of the indicator Bb1 and Bb2), that is to check in tool 7 whether there are some key words missing in the questions that can refer to opportunities and threats</p>								
C. Agency – Agents	C.a. Idea	Triangulation possible (9/9) a part for "capacities"	Ca1	9		C.b.2.3		
	C.b. Leadership		Ca2	8	Mean on few units	C.a.2.1	d	sensitive
			Cb1	8	Not always relevant – alone could be understood wrong	C.b.2.3		
	C.c. Vision		Cb2	9		G.c.1.8	m	Add Don't know
	C.d. Resilience		Cc1	9	clearness of vision is an indicator for agency??	E.b.1.4		
			Cd1	9		C.d.2.2		

Figure 2.9. Example of changes made to the quantitative indicators and related questions in the tools. Source: UNIPD internal document.



### 2.3.2 Changes to the Variables and Questions

Most of the questions (analysed individually and not as part of the whole questionnaire) were appropriate and effective, according to the comments received from the partners. However, small adjustments were required to some questions, and in few cases the question was removed completely.

The team in Work Package 4 considered all of the feedback received during the data collection and analysis period. In some cases it was not possible to apply the changes suggested. This was because the specific comments related only to one case study whereas in the other contexts the tools worked well, or because it was necessary to retain the question ensure that the whole evaluation system was complete and robust.

One of the objectives of the application of the set of data collection tools in the Social Innovation Case Studies was to understand what worked and what could be simplified. To avoid repetition some questions in the questionnaires were merged where the concepts being addressed were similar, and so to simplify and shorten the final Tools.

Some questions which were tested were deemed to be unsuccessful and therefore were deleted in the final version (see an example in **Figure 2.10**). The reasons for this are:

- some questions touched upon sensitive topics and therefore the interviewers had difficulties in obtaining the data (e.g. the questions on the individual costs incurred during the Social Innovation process);
- sometimes respondents were faced with problems which related to their memories of past events and the answers to non-factual questions were not always reliable (e.g. estimates of the time spent on the various phases of the Social Innovation initiative, or recording of their perceptions, on the Likert Scales, of events that occurred a long time ago);
- some questions overlapped (e.g. the first two questions on the reasons for engagement within the network were merged);
- the effort to gather some information was considerable in terms of time and understanding, the return on which were results which were not easily usable in the analysis (e.g. questions on the perceived and objective level of marginality of the area);
- some information was collected in more than one tool to enable an assessment of the most reliable source. During the selection phase, questions were placed only in one tool (e.g. the number of beneficiaries was placed only in Tool 1 and removed from Tools 2 and 5);
- some information gathered was not used in the analysis phase because the sample was not representative of the target population (e.g. the new relationships created by the project partners during the Social Innovation project).

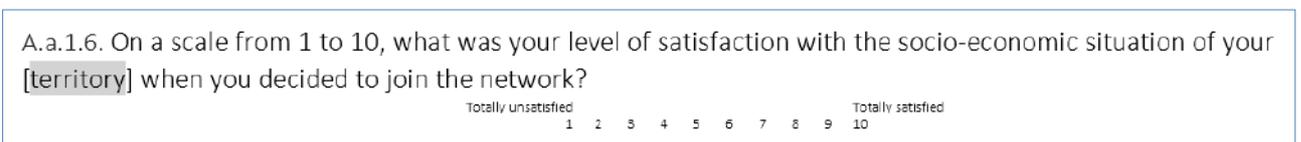


Figure 2.10. Example of a deleted question (and related variable): A.a.1.6.

Several questions have undergone changes but retain their structure and meaning (see example in **Figure 2.11**). The main changes are under the following categories:

- reformulations to the wording to simplify the understanding of the question;



- reformulation of complex concepts which were not clear to respondents (e.g. societal challenges which were unclear to most respondents; statements concerning elements of governance were revised to enable comparisons between different contexts);
- reformulation of the wording of sentences to reflect the use of more precise and specific definitions, with which respondents would be more familiar or comfortable (e.g. the concept of "social inclusion" was replaced by "acceptance, integration and self-realization");
- adjustment of the list of variables in questions with multiple answers to improve their clarity and/or comprehensiveness. In some questions, the option "other" was replaced, informed by the large number of examples collected in the Case Studies and in consultation with experts. For example, in early versions of the Tools the question on the communication channels used by the Social Innovation initiative was not exhaustive, and contained errors in the terminology and in the grouping of categories.

First version of question E.a.1.1 present in Tools 3, 4 and 6	Final version of question E.a.1.1 recoded in A.9 and present in Tools 3 and 4
<p>E.a.1.1. Are you a:</p> <ol style="list-style-type: none"> <li>1. Business entrepreneur (for profit, business)</li> <li>2. Social entrepreneur (not for profit)</li> <li>3. Public sector official (different levels of administration)</li> <li>4. Member of a civil association</li> <li>5. Citizen</li> <li>6. Other [please specify]: _____</li> </ol>	<p>A.9. Within the network, are you predominantly representing a ...:</p> <ol style="list-style-type: none"> <li>1. Business entrepreneurship</li> <li>2. Social entrepreneurship</li> <li>3. Civil society organisation</li> <li>4. Public institution</li> <li>5. Yourself</li> <li>6. Other (Example: commons, religious organisation, etc.)</li> </ol> <p>A.9.1. Please specify: _____</p>

Figure 2.11. Example of a reformulated question.

A few new questions have been created ex novo (see example in Figure 2.12). In some cases additions were made to enable the evaluator to make better use of the information which already existed, and to create greater added value in the analysis phase (e.g. the addition of a "reaction to" column in the table of the existing governance elements, and additions to the columns "deal with" and "contribution to").

In other cases, there were significant additions of new concepts and commitments required by the respondent which were necessary to improve the quality of the indicators. For example, the question about forecasts of future growth was not sufficient on its own for the analysis of the sustainability of the Social Innovation initiative. Therefore, to make the sustainability indicator more effective, two new questions were added regarding the previous growth of the Social Innovation initiative and the growth of the reference market in general.

<p>I.6. Which is the current situation of the sector where you work? Is it growing, more or less stable or decreasing?</p> <p>1. Growing      <u>2.</u> Stable      <u>3.</u> Decreasing</p>
--

Figure 2.12. Example of a question which was added, on the growth of the reference market.

### 2.3.3 Changes to Tools

The questionnaires used by the teams in their Case Studies were longer than anticipated at the beginning of the project. This reflected the need to test a large number of questions and to understand which ones should be retained in the final version of the tools. The removal of several questions led to the simplification of all of the structured questionnaires. Further improvements to their structure were made using the feedback received.

Changes were made to the structured questionnaires (Tool 3 addressed to innovators and followers, Tool 4 to transformers, Tool 5 to project partners and Tool 6 to beneficiaries), as follows:



- questionnaires are shorter in terms of the number of questions and, consequently, of pages (Tool 3, from 13 pages to 11; Tool 4, from 8 to 6; Tool 5, from 8 to 4; Tool 6, from 5 to 3), and in terms of estimated time for their completion, which is the key quality parameter of a questionnaire;
- the order of the questions was changed. Questions are grouped by topic and by structure (for example the Likert Scales), and the questionnaires follow the chronological evolution of the Social Innovation initiative;
- all of the collection of basic information about the respondents was moved to the beginning of the questionnaire;
- all of the questions have been recoded, the codes of which follow the chronological order of the questions, improving the layout for both interviewers and respondents;
- the layout of the questionnaires has been improved to enable the interviewer to follow the development of the interview and the respondent to complete in the tables more easily. For example, in the questions about the social network analysis, respondents are now asked to read and complete the tables without the help of the interviewer.

A range of 1 to 10 was used for Likert scales. This was despite feedback proposing the use of a 5 or 7 point scale. The principal reasons for retaining the 10 point scale are: (i) there was no common agreement on the basis of a change, or an alternative scale range, from the feedback; (ii) a 5 or 7-point Likert-type scale leads to mean scores which are slightly higher than those obtained using a 10-point Likert-type scale (Dawes, 2008 - as cit. by Man *et al.*, 2020); (iii) the 10-point Likert-type scale is reported as being preferred by most respondents to surveys (Preston and Colman, 2000 - as cit. by Man *et al.* 2020).

Tools 1 and 2 have undergone significant changes, based upon the feedback received from the case studies teams and from the partners in Work Package 5.

**Tool 1** was divided into two parts. In part one, the so-called desk phase, the evaluator analyses official documents, reports, and other background information related to the Social Innovation initiative. The structure of the document is the same as in the previous version but the number of questions has been significantly reduced to retain only essential preliminary information which is useful for the evaluation.

The evaluator is asked to provide preparatory information on:

- A. the characteristics of the Social Innovation initiative;
- B. existing studies and similar initiatives through both technical and scientific articles;
- C. the geographical and administrative/jurisdictional boundaries, the scale of the territory or area where the Social Innovation initiative takes place, and the characteristics of the rurality of the area;
- D. secondary data at the local level, to describe the rurality and marginality of the area in relation to the municipalities or villages where the Social Innovation initiative takes place, and where the effects are produced;
- E. the Social Innovation logic of intervention or results-chain;
- F. the stakeholders involved;
- G. relevant policy documents.

The evaluator has the opportunity to select the evaluation questions, which determines the choice of indicators to be used in the analysis. The information collected during the desk phase will be improved progressively, completed, and updated by: i) the interview with the Project Manager (Tool



1, Part 2); ii) the two group interviews of stakeholders (Tool 2); iii) the structured interviews with innovators, followers, transformers, project partners, and beneficiaries (Tools 3 to 6); iv) the semi-structured interviews (Tools 7 and 8) with other relevant stakeholders.

In part two, the evaluator collects the objective quantitative data on the Social Innovation project through a face-to-face interview with the Project Manager of the initiative. The section on project costs and sources of funding has been simplified to enable the evaluator to find information quickly with the aim of making the task easier in Case Studies that are less collaborative.

Changes in **Tool 2** concerned both its structure and the contents of the specific activities to be carried out at each stage. In the previous version, Tool 2 comprised an introductory session and 4 operational sessions for data collection through a group interview. The contents were updated to simplify the identification of impacts during the Focus Group. However, most of the weaknesses highlighted by the case study teams, using Tool 11, were on its overall length, not on the instructions about how it should be completed. This led to the collection of low quality data in the final sessions due to participants being tired.

The 5 sessions are independent in terms of content, so the instrument was divided into two parts. Tool 2 is based on a group interview, but is divided into two phases that can be conducted on two separate occasions. The first part is inspired by the first step of the Future Search Conference technique and involves all of the actors in the Social Innovation initiative who wish to participate. The second step is a Focus Group which involves selected key informants (see **Figure 2.13**). The first step is useful for the collection of a deeper knowledge of the Social Innovation initiative: its history, the actors who made it possible and the context in which it worked. The second step focuses on impacts of the Social Innovation initiative in the surrounding community.

The evaluator can choose when to perform the two parts of the Tool 2. For example, they can perform them one after the other (i.e. one in the morning and one in the afternoon), or on different days of the evaluation period. The recommendation is to do the first part before the face-to-face interviews (after Tool 1 and before the other tools), to enable a better understanding of the whole story of the Social Innovation initiative and to get to know the main actors who will be interviewed.

At the beginning of the use of tool, the evaluator is provided with advice on how to select and invite the participants, the rules of the two participative techniques adopted, and suggestions on the role of the facilitator. Both the future search conference and the Focus Group provide flexibility on how to conduct the group interview. The evaluator is provided with instructions on the preparations for the meeting, the guiding questions to use to lead the discussion, the material to be shown during the meeting, and the tables for reporting the principal results.

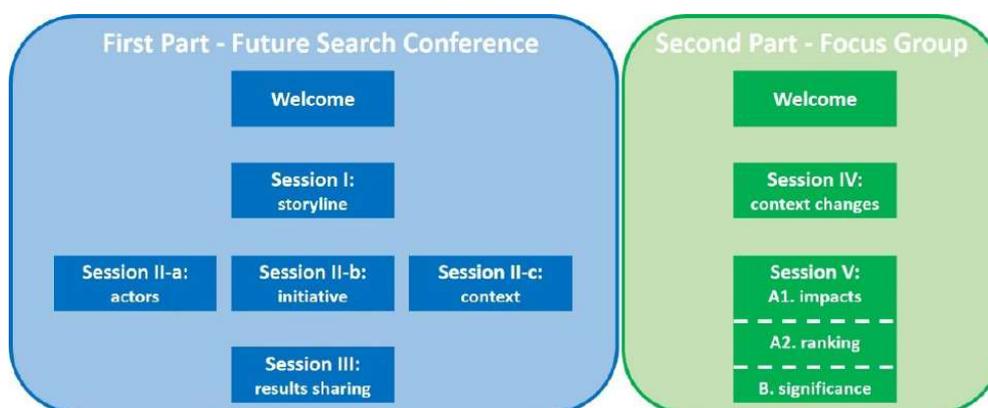


Figure 2.13. Structure of Tool 2 with the new division in two parts.

The contents and information gathered in Tool 2 have also been revised in light of feedback. The principal suggestions focused on the last sessions regarding marginality and impacts. So, changes in



Part I mainly concern the remodelling of activities within the new structure, with more substantial changes in Part II:

- session IV on the marginality factors of the context of the Social Innovation initiative is no longer tied to predefined macro categories;
- session V, the number of effects has been reduced significantly (environmental impacts reduced from 16 to 10, social impacts from 11 to 9, economic impacts from 16 to 13, institutional/governance impacts from 12 to 10). A simplified table of impacts is provided in case the evaluator needs to reduce the time allocated with the Focus Group.

### 2.3.4 Changes to Indicators

Changes made to the indicators have been direct, based on the feedback received from Work Package 5, or indirect, since they are based on questions that have been modified. The majority of indicators are the same as in the previous version. However, some indicators have been:

- Deleted, due to too many missing values, overlaps with other indicators, or problems with their interpretation (see example in Figure 2.14).

Indicator E1. "Cost per Network's actor in the SI process"							
<p><b>Description:</b> The indicator measures resources invested in the SI process per participant. Participants <u>are considered</u> actors involved in the network, i.e. innovators, followers, transformers and mainstreamers – those who are involved in the SI process since the beginning until the end of the reconfiguring phase. Both tangible (e.g., external funds) and intangible (e.g., personal allocated time) are considered.</p> <p><b>Note:</b> in this case, it is useless to formulate a judgement criterion specific for each CS. The indicator provides an absolute number that does not allow the specific CS to understand whether it is efficient or not in absolute terms. The indicator can only be used to support comparative analysis of <u>comparable</u> CSs, to check which of them is more efficient in the SI process (and thus stimulating the search for the reasons to be more or less efficient). The judgement criteria <u>to be used only for comparison of comparable CS</u> is: the higher the costs per actor involved in the network, the lower the efficiency of the SI process. However, indicator E1 can be useful to each CS if compared with indicator <u>E5</u> to understand in which of the two main phases of the SI initiative the CS has been more efficient (the SI process or the SI project).</p>							
Tools	1	2	3	4	5	6	
Question codes			D.a.1.1. D.a.1.4. D.a.1.6.	D.a.1.1. D.a.1.4. D.a.1.6.			
Type of answers							
Variable codes in Excel			D.a.1.1-7-8-9 D.a.1.4-5 D.a.1.6-26	D.a.1.1. D.a.1.4./5. D.a.1.6.			
Variable range in Excel							
Data computation			$\{ \sum [(D.a.1.1 \cdot D.a.1.7 + D.a.1.8 \cdot D.a.1.9) \cdot \text{or}(D.a.1.4; D.a.1.5)] \cdot (D.a.1.6 + D.a.1.26) + (D.a.1.10 + .12 + .14) \cdot (D.a.1.29 + D.a.1.30) \} / n^{\circ} \text{ of network's actors}$				
Indicator Range			[0-inf]				
<p><b>Note1:</b> This computation is feasible only for recent processes (max 5 years?).</p> <p><b>Note2:</b> if the information in both D.a.1.4 and D.a.1.5 is missing ("NA"), put <math>\frac{1}{2}</math>; if the distribution (question D.a.1.6) is missing, put "0.25" per each column.</p>							

Figure 2.14. Example of deleted indicator.



- Modified, in their judgement criterion and description, in the calculation, or in the source of data collection (see example in Figure 2.15).

First version of indicator I6:	Modified indicator I6, recoded to I2:																																																																																																		
<p><b>Indicator I6. "Impact of the SI project in terms of number of final beneficiaries"</b></p> <p><b>Description:</b> The indicator measures how many indirect beneficiaries have benefited from the SI project. The meaning of the indicator can be specified if considered in combination with question H.a.1.1 in Tool 6, which asked the respondents to qualify the indirect beneficiaries (e.g., family, friends, colleagues, other members of the community, etc.).</p> <p><b>Judgement criterion:</b> the higher the number of indirect beneficiaries (i.e. final beneficiaries), the better the impact of the SI project.</p> <table border="1"> <thead> <tr> <th>Tools</th> <th>1</th> <th>2</th> <th>3</th> <th>4</th> <th>5</th> <th>6</th> </tr> </thead> <tbody> <tr> <td>Question codes</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td>H.a.1.2.</td> </tr> <tr> <td>Type of answers</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td>Number</td> </tr> <tr> <td>Variable codes in Excel</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Variable range in Excel</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td>[0-inf]</td> </tr> <tr> <td>Data computation</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td>Mean</td> </tr> <tr> <td>Indicator Range</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td>[0-inf]</td> </tr> </tbody> </table> <p>Notes: None.</p>	Tools	1	2	3	4	5	6	Question codes						H.a.1.2.	Type of answers						Number	Variable codes in Excel							Variable range in Excel						[0-inf]	Data computation						Mean	Indicator Range						[0-inf]	<p><b>Indicator I2. "Estimated number of indirect beneficiaries of the Social Innovation project"</b></p> <p><b>Specific evaluation question:</b> To what extent has the Social Innovation project involved indirect beneficiaries?</p> <p><b>Description:</b> The indicator measures how many indirect beneficiaries have benefited from the Social Innovation project, compared to the total number of direct beneficiaries.</p> <p><b>Judgement criterion:</b> The higher the number of indirect beneficiaries, the better the supposed impact of the Social Innovation project.</p> <table border="1"> <thead> <tr> <th>Tools</th> <th>1</th> <th>2</th> <th>3</th> <th>4</th> <th>5</th> <th>6</th> </tr> </thead> <tbody> <tr> <td>Question codes</td> <td>H.18</td> <td></td> <td></td> <td></td> <td></td> <td>J.3</td> </tr> <tr> <td>Type of answers</td> <td>Number</td> <td></td> <td></td> <td></td> <td></td> <td>Number</td> </tr> <tr> <td>Variable codes in Excel</td> <td>J.3</td> <td></td> <td></td> <td></td> <td></td> <td>J.3</td> </tr> <tr> <td>Variable range in Excel</td> <td>[0-inf]</td> <td></td> <td></td> <td></td> <td></td> <td>[0-inf]</td> </tr> <tr> <td>Data computation</td> <td colspan="6">           Step 1 – Mean(T6) * Total direct beneficiaries (H.18)            Step 2 – Indirect Beneficiaries estimate: Mean (Mean(T6)*Beneficiaries,T1)            Step 3 – Indirect/(Indirect+Direct)         </td> </tr> <tr> <td>Indicator Range</td> <td colspan="6">[0-100]</td> </tr> </tbody> </table> <p>Notes: The meaning of the indicator can be specified if considered in combination with question J.2 in Tool 6 and Tool 1, which asked the respondents to qualify the indirect beneficiaries (e.g., family, friends, colleagues, other members of the community, etc.).</p>	Tools	1	2	3	4	5	6	Question codes	H.18					J.3	Type of answers	Number					Number	Variable codes in Excel	J.3					J.3	Variable range in Excel	[0-inf]					[0-inf]	Data computation	Step 1 – Mean(T6) * Total direct beneficiaries (H.18) Step 2 – Indirect Beneficiaries estimate: Mean (Mean(T6)*Beneficiaries,T1) Step 3 – Indirect/(Indirect+Direct)						Indicator Range	[0-100]					
Tools	1	2	3	4	5	6																																																																																													
Question codes						H.a.1.2.																																																																																													
Type of answers						Number																																																																																													
Variable codes in Excel																																																																																																			
Variable range in Excel						[0-inf]																																																																																													
Data computation						Mean																																																																																													
Indicator Range						[0-inf]																																																																																													
Tools	1	2	3	4	5	6																																																																																													
Question codes	H.18					J.3																																																																																													
Type of answers	Number					Number																																																																																													
Variable codes in Excel	J.3					J.3																																																																																													
Variable range in Excel	[0-inf]					[0-inf]																																																																																													
Data computation	Step 1 – Mean(T6) * Total direct beneficiaries (H.18) Step 2 – Indirect Beneficiaries estimate: Mean (Mean(T6)*Beneficiaries,T1) Step 3 – Indirect/(Indirect+Direct)																																																																																																		
Indicator Range	[0-100]																																																																																																		

Figure 2.15. Example of modified indicator.

- Moved for their relevance to interpretation in another section, or to improve the order of contents within the same section (see example in Figure 2.16).

First version of indicator Dd2, inserted in the Social Innovation Agency dimension, section Dd. on the engagement of Social Innovation actors and stakeholders.	Final version of indicator, recoded in, and inserted into a section on networks in the Reconfiguring of the block "Social Innovation dimensions"																																																																																																		
<p><b>Indicator Dd2. "Level of attendance to the SI process meetings"</b></p> <p><b>Description:</b> The indicator measures the level of attendance of the network (transformers and mainstreamers) to the SI process meetings. The respondents have to self-evaluate the level of attendance to the meetings on a Likert scale from 1 (=I have attended) a few of them), 2 (=I have attended) some of them), 3 (=I have attended) many of them), 4 (=I have attended) almost all of them).</p> <table border="1"> <thead> <tr> <th>Tools</th> <th>1</th> <th>2</th> <th>3</th> <th>4</th> <th>5</th> <th>6</th> </tr> </thead> <tbody> <tr> <td>Question codes</td> <td></td> <td></td> <td></td> <td>D.d.2.1.</td> <td></td> <td></td> </tr> <tr> <td>Type of answers</td> <td></td> <td></td> <td></td> <td>Likert (4 options)</td> <td></td> <td></td> </tr> <tr> <td>Variable codes in Excel</td> <td></td> <td></td> <td></td> <td>D.d.2.1.</td> <td></td> <td></td> </tr> <tr> <td>Variable range in Excel</td> <td></td> <td></td> <td></td> <td>[1-4]</td> <td></td> <td></td> </tr> <tr> <td>Data computation</td> <td></td> <td></td> <td></td> <td>Mean</td> <td></td> <td></td> </tr> <tr> <td>Indicator Range</td> <td></td> <td></td> <td></td> <td>[1-4]</td> <td></td> <td></td> </tr> </tbody> </table> <p>Notes: None.</p>	Tools	1	2	3	4	5	6	Question codes				D.d.2.1.			Type of answers				Likert (4 options)			Variable codes in Excel				D.d.2.1.			Variable range in Excel				[1-4]			Data computation				Mean			Indicator Range				[1-4]			<p><b>Indicator Ea1. "Attendance level at Social Innovation process meetings"</b></p> <p><b>Specific evaluation question:</b> To what extent have the Social Innovation members attended the process meetings?</p> <p><b>Description:</b> The indicator measures the level of attendance of the transformers to the Social Innovation process meetings. The respondents have to self-evaluate the level of attendance to the meetings on a Likert scale from 1 (=I have attended) a few of them), 2 (=I have attended) some of them), 3 (=I have attended) many of them), 4 (=I have attended) almost all of them).</p> <p><b>Judgement criterion:</b> The higher the indicator value, the more the Social Innovation process members have attended the meetings.</p> <table border="1"> <thead> <tr> <th>Tools</th> <th>1</th> <th>2</th> <th>3</th> <th>4</th> <th>5</th> <th>6</th> </tr> </thead> <tbody> <tr> <td>Question codes</td> <td></td> <td></td> <td></td> <td>D.3</td> <td></td> <td></td> </tr> <tr> <td>Type of answers</td> <td></td> <td></td> <td></td> <td>Likert (4 options)</td> <td></td> <td></td> </tr> <tr> <td>Variable codes in Excel</td> <td></td> <td></td> <td></td> <td>D.3</td> <td></td> <td></td> </tr> <tr> <td>Variable range in Excel</td> <td></td> <td></td> <td></td> <td>[1-4]</td> <td></td> <td></td> </tr> <tr> <td>Data computation</td> <td></td> <td></td> <td></td> <td>Mean</td> <td></td> <td></td> </tr> <tr> <td>Indicator Range</td> <td></td> <td></td> <td></td> <td>[1-4]</td> <td></td> <td></td> </tr> </tbody> </table> <p>Notes: None.</p>	Tools	1	2	3	4	5	6	Question codes				D.3			Type of answers				Likert (4 options)			Variable codes in Excel				D.3			Variable range in Excel				[1-4]			Data computation				Mean			Indicator Range				[1-4]		
Tools	1	2	3	4	5	6																																																																																													
Question codes				D.d.2.1.																																																																																															
Type of answers				Likert (4 options)																																																																																															
Variable codes in Excel				D.d.2.1.																																																																																															
Variable range in Excel				[1-4]																																																																																															
Data computation				Mean																																																																																															
Indicator Range				[1-4]																																																																																															
Tools	1	2	3	4	5	6																																																																																													
Question codes				D.3																																																																																															
Type of answers				Likert (4 options)																																																																																															
Variable codes in Excel				D.3																																																																																															
Variable range in Excel				[1-4]																																																																																															
Data computation				Mean																																																																																															
Indicator Range				[1-4]																																																																																															

Figure 2.16. Example of moved indicator.

- Created ex novo, to fill the gaps in interpretation with the existing indicators, and to avoid sub-dimensions with only one indicator (see example in Figure 2.17).



**Indicator Da3. "Social Innovation process actors' bridging capacity with external actors"**

**Specific evaluation question:** To what extent have the actors of the Social Innovation process contributed to create bridges with external actors?

**Description:** The indicator measures the network members' perception of the capacity of each member to create bridges with external actors. The indicator is suitable to verify if members of the network are people with capacities to carry on external relationships.

**Judgement criterion:** The higher the indicator value, the greater the capacity of the Social Innovation process actors to create bridges with external actors.

Tools	1	2	3	4	5	6
Question codes			E.4 (column 3)	E.4 (column 3)		
Type of answers			SNA: list of [1;0]	SNA: list of [1;0]		
Variable codes in Excel			E.4.3	E.4.3		
Variable range in Excel			[1;0]	[1;0]		
Data computation			Step 1 – Individual sum of 1 "received" ( <i>indegree</i> ) Step 2 – $100 * (\text{Mean of scores}) / \text{Number of network actors}$			
Indicator Range			[1-100]			

Note: None.

Figure 2.17. Example of newly created indicator.

The final set of indicators has 121, which is a reduction of 30% compared to the previous number of indicators (155 calculated by Work Package 5, plus 20 potential indicators created for diverging paths). Nine indicators of Relevance, Efficiency, Effectiveness, Impact, Sustainability (REEIS) have been deleted, 8 from the Social Innovation definition and Learning Processes, and 17 from the Social Innovation Dimensions group.

### 2.3.5 Changes to the Sub-dimensions of the Evaluation Framework

Changes in questions, tools and indicators, together with the reflections undertaken in collaboration with Work Packages 5 and 6 on the quantitative-qualitative comparison of results, have led to changes and improvements in the sub-dimensions of the evaluation framework, and the distribution of indicators within them. Efforts were made to avoid having sub-dimensions with only one indicator. Sub-dimensions with little quantitative information have been removed or merged with others. For example, several attempts to evaluate the trigger in a quantitative way failed, so the final sub-dimension "trigger" recorded with only one indicator was merged with that of "social needs".

The opposite process was carried out in the cases where the quantitative indicators worked well, but comparison with the qualitative information collected through the semi-structured interviews was lacking. In these cases, partners in Work Package 6 were asked to add sub-questions in Tools 7 and 8 to fill those gaps.

The process of comparing qualitative and quantitative results has informed the improvement of the evaluation framework as a whole. The outcome is that the evaluator should be able to work through the instrument and obtain information using all of the tools available.

## 3. The Manual

The manual for the evaluation of social innovation in marginalised rural areas is intended as a practical instrument to guide the evaluator in the entire process of carrying out the evaluation of a



social innovation initiative. It is aimed at a variety of possible users who have different levels of knowledge and experience in the subject of the evaluation of social innovations in agriculture, forestry, rural development (and related fields). The targeted end users are professional evaluators operating at an EU level, practitioners interested in the internal evaluation of their projects, policy makers identifying the potential and challenges of supporting social innovation, and scientists. The Manual is also usable by other parties interested in exploring social innovations in rural areas.

Pragmatic suggestions and different proposals of the approaches to evaluation are provided. This is designed to take into account the variety of types of people who undertake the evaluation of a Social Innovation initiative, differences in their scope and focus, and the time and resources, available to the evaluator.

The Conventional Evaluation is done with respect to the conventional criteria of evaluation Relevance, Efficiency, Effectiveness, Impact and Sustainability (REEIS). In addition, different options for evaluations are proposed depending upon the objective. The SIMRA Rapid Evaluation is proposed for use when the Social Innovation initiative must be evaluated with respect to its consistency with the SIMRA definition of Social Innovation. The SIMRA Detailed Evaluation is proposed to obtain a deep understanding of the drivers of a Social Innovation initiative, its internal mechanisms, processes of change in the relationships between actors, and its effects.

The Manual is structured in 7 sections, followed by a technical annex which consists of the practical instruments needed by the evaluator to undertake the evaluation.

Section 1 is an introduction to the operational part of the manual, summarizing details of the rationale and the expected target users of the SIMRA's evaluation approach, and the authors responsible for its production.

Section 2 introduces the evaluator to the dimensions, parts and stages of a Social Innovation initiative as set out in the Evaluation Framework proposed by SIMRA. Their presentation addresses their interconnections and their relationships with the different levels of the context of the Social Innovation initiative.

Sections 3, 4 and 5 provide the fundamental elements of the SIMRA Evaluation Approach. Section 3 explains its process, from the review of the intervention strategy to the methodological design of the evaluation, concentrating on its subject, focus, timing, steps and the actors involved. It also identifies the possible uses the evaluator can make of the evaluation.

Section 4 explains how to plan, prepare and design the evaluation. It presents and describes three approaches to conducting the evaluation of rapid, detailed or conventional (i.e. following the OECD evaluation criteria of relevance, efficiency, effectiveness, impact and sustainability). It also provides operational instructions on the steps required for each approach.

Section 5 describes all the operational tools developed within SIMRA for both data collection (Tools from 1 to 8) and for data entry and processing (Tools from 9 to 11).

Section 6 illustrates how to analyse, interpret and use the data collected, quantitative and qualitative data separately as well as how to integrate and triangulate the two types of information.

The conclusions are provided in Section 7.

## 4. Conclusions

As planned in Work Package 4 of SIMRA, a preliminary set of tools for data collection was drafted and reported in previous Deliverable 4.2 (Secco *et al.*, 2017). Subsequently, this set was tested in two pilot Cases Studies, further refined, presented and discussed with the Case Studies Teams in the training course held in Bolzano, Italy, in January 2018. On the basis of a first round of feedback derived from this discussion and further refinements, an advanced version of data collection tools



was designed and applied in 11 Type A Case Studies in Work Packages 5 and 6. Tools for data collection included questionnaires (quantitative), semi-structured interviews (qualitative) and mixed instrument (preparatory desk work and Focus Group). Feedback was collected from the Case Studies after the implementation phase, i.e. after they applied the set of data collection tools in each Case Study, thus testing its validity empirically. An initial set of 155 indicators was developed by combining data and variables collected by means of the tools. The full set of indicators has been tested in the Case Studies, where they have been calculated, analysed and interpreted. Feedback on the indicators and their validity was provided, and on the clarity and completeness of the semi-structured interviews and guidelines for policy analysis.

During the process of progressive revisions several lessons have been learned which have been integrated into the revisions themselves. For example, the process has provided evidence that the SIMRA evaluation framework proposed at the beginning is substantially valid, even if the various and recurrent “reconfiguring” phases of long-term initiatives should be represented better (or circumscribed). Not all of the quantitative indicators could be calculated for the three main parts of a Social Innovation initiative (process, project, effects). Therefore, qualitative information is essential to cover certain aspects of the Social Innovation process and the Social Innovation effects. It was possible to test empirically that collecting and reporting both qualitative and quantitative information is the best approach for obtaining all of the crucial information when evaluating Social Innovation in marginalised rural areas, and the evaluation of the impacts of Social Innovation, with robust statistical techniques, is feasible.

The whole process, which aimed at a progressive and incremental improvement of the set of methods used in SIMRA for evaluating Social Innovation in marginalized rural areas and its impacts, was very complex, involving almost all of the project partners and lasting approximately 20 calendar months. However, it enabled an accurate refinement of the set of methods that led to the final output reported in this Deliverable D4.3 of an empirically tested, practicable and useful version of a comprehensive Manual for Evaluation of Social Innovation and its Impacts in Marginalised Rural Areas. The outputs is a flexible tool for different target users, with guidance provided in the Manual on how to select subsets of evaluation questions (depending on evaluation needs and the time and resources available) to be analysed through a mixed approach of qualitative and quantitative methods.

The most likely target users are evaluators who are supporting European Commission evaluations of future rural development policy and programmes, in which social issues and evidence-based performance are expected to be of paramount importance. The final set of methods developed and used by the SIMRA project for the evaluation of Social Innovation in Marginalised Rural Areas gives an innovative contribution to tackling the challenges of such evaluations.

## 5. Acknowledgments

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), Simo Sarkki (Oulu University, Finland), Bill Slee (Rural Development Company, UK) for their innovative and extremely useful ideas for clarification of the conceptual aspects of the evaluation framework.

We are indebted to all of the SIMRA Type A Case Studies Teams (see below) who applied the preliminary methodology. Their feedback informed the refinement and significant improvements in the contents for use by other groups interested in the evaluation of social innovation. We also thank the members of the Social Innovation Think Tank (stakeholders) and Scientific Advisory Board who actively and constructively commented on the methodology.

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. We also want to thank our UNIPD colleagues at the Department of Land, Environment, Agriculture and Forestry (TESAF), Dr. Mauro Masiero, Prof. Davide Pettenella and Prof. Paola Gatto, for their suggestions on keeping the right track in step-by-step advancements of the work.

This project has received funding from the European Union's Horizon 2020 research and innovation programme under Grant Agreement No 677622. Case Study Teams: Cristina Dalla Torre, Elisa Ravazzoli, Verena Gramm, Martina Lolini (EURAC); Tatiana Kluvánková, Martin Spacek, Maria Kozova, (IFESAS, CETIP); Ebum Akinsete, Achilleas Vassilopoulos (ICRE8); Carla Barlagne, Richard Hewitt, David Miller, Maria Nijnik (HUTTON); Antonio Baselice, Antonio Lopolito, Maurizio Prospero (UNIFG); Mohammed Bengoumi, Houda Chorti, Arbia Labidi (FAOSNE); Marijke Dijkshoorn-Dekker, Nico Polman (DLO); Sigrid Egartner, Julia Niedermayr, Klaus Wagner (BAB); Peter Herrmann (SAB), Manfred Perlik (UNIBE); Carmen Rodríguez Fernández-Blanco, Irina Prokofieva, (CTFC); and Simo Sarkki (OULU).

## 6. References

Górriz-Mifsud, E., Marini Govigli, V., Ravazzoli, E., Dalla Torre, C., Da Re, R., Secco, L., Pisani, E., Ludvig, A., Weiss, G., Pisani, E., Akinsete, E., Barlagne, C., Baselice, A., Bengoumi, M., Brnkalakova, S., Dijkshoorn-Dekker, M., Egartner, S., Gramm, V., Hayder, M., Herrmann, P., Kozova, M., Lopolito, A., Niedermayr, J., Perlik, M., Pfusterschmid, S., Polman, N., Prokofieva, I., Prospero, M., Rodríguez, C., Sarkki, S., Slee, B., Spacek, M., Udovč, A., Vassilopoulos, A. and Wagner, K. 2018. [Case Study Protocols and Final Synthetic Description for Each Case Study](#). Deliverable 5.1, Social Innovation in Marginalised Rural Areas (SIMRA). Report to the European Commission.

Marini Govigli, V., Melnykovich, M., Górriz-Mifsud, E., Dalla Torre, C., Ravazzoli, E., Da Re, R., Pisani, E., Secco, L., Vicentini, K., Ludvig, A., Weiss, G., Zivojinovic, I., Kluvánková, T., Spacek, M., Akinsete, E., Barlagne, C., Baselice, A., Bengoumi, M., Dijkshoorn-Dekker, M., Egartner, S., Gibson, H., Gramm, V., Herrmann, P., Hewitt, R., Kozova, M., Labidi, A., Lolini, M., Lopolito, A., Miller, D., Niedermayr, J., Nijnik, M., Perlik, M., Polman, N., Prokofieva, I., Prospero, M., Rodríguez Fernández-Blanco, C., Sarkki, S., Vassilopoulos, A., and Wagner, K. 2019. [Report on Social Innovation Assessment in Each Selected Case Study](#). Deliverable 5.3, Social Innovation in Marginalized Rural Areas Project (SIMRA), Demonstrator to the European Commission.

Polman, N., Slee, W., Kluvánková, T., Dijkshoorn, M., Nijnik, M., Gezik, V. and Soma, K. 2017. Classification of Social Innovations for Marginalized Rural Areas, Deliverable 2.1, Social Innovation in Marginalised Rural Areas (SIMRA).

Secco, L., Pisani, E., Burlando, C., Da Re, R., Pettenella, D., Nijnik, M., Miller, D., Slee, B., Gezik, V. and Kluvánková, T. 2016. [Guidelines to Identify and Analyse Existing Methods to Assess Social Innovation and Impacts](#). Deliverable 4.1, Social Innovation in Marginalised Rural Areas (SIMRA). Report to the European Commission.

Secco, L., Pisani, E., Burlando, C., Da Re, R., Gatto, P., Pettenella, D., Vassilopoulos, A., Akinsete, E., Koundouri, P., Lopolito, A., Prospero, M., Tuomasiukka, D., Den Herde, M., Lovric, M., Polman, N., Dijkshoorn, M., Soma, K., Ludvig, A., Weiss, G., Zivojinovic, I., Sarkki, S., Ravazzoli, E., Dalla Torre, C., Streifeneder, T., Slee, B., Nijnik, M., Miller, D., Barlagne C. and Prokofieva I. 2017. [Set of methods to assess SI implications at different levels: instructions for WPs 5 and 6](#). Deliverable D4.2, Social Innovation in Marginalized Rural Areas Project (SIMRA), Demonstrator to the European Commission.

Secco, L., Da Re, R., Pisani, E., Ludvig, A., Weiss, G., Górriz-Mifsud, E. and Marini Govigli, V. 2018a. Compilation of Tools for Data Collection for SIMRA Pioneer and Regular Case Studies. Report 5.1 - Social Innovation in Marginalised Rural Areas (SIMRA).



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



Secco, L., Da Re, R., Pisani, E. and Vicentini, K. 2018b. (Draft of) SIMRA Indicators to evaluate social innovation and its impacts in marginalized rural areas: REEIS, Social Innovation, Diverging paths, SI Dimensions. [SIMRA Internal document, not for wider circulation, developed by WP4 Leader UNIPD, version 02 – 14.11.2018].



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



# **PART II – THE SIMRA MANUAL FOR THE EVALUATION OF SOCIAL INNOVATION AND ITS IMPACTS IN MARGINALISED RURAL AREAS**



## 1. Introduction

The Manual for the Evaluation of Social Innovation is the result of extensive consideration of its theoretical and methodological basis, carried out by the partners and stakeholders of the EU Horizon 2020 SIMRA project. The output is the result of a process of co-creation of an innovative method for evaluating social innovation and its impacts in marginalized rural areas in European and non-European Mediterranean countries. The Manual was developed under the coordination and leadership of the Department of Territorio e Sistemi Agro-Forestali (TESAF) of the University of Padova (Italy), with contributions by BOKU (Austria), European Forest Institute (EFI) (Spain), EURAC (Italy), ICRE8 (Greece), University of Foggia (Italy), DLO (The Netherlands) and James Hutton Institute (UK, SIMRA project coordinators). It integrates suggestions from a panel of 34 international stakeholders (SIMRA Social Innovation Think Tank), OAR (Austria), University of Oulu (Finland), Rural Development Company (UK), SBA (Switzerland), CTCF (Spain) and IFE SAS (Slovakia).

The principal goal is to guide evaluators, practitioners, policy makers and scientists in the evaluation of social innovations in agriculture, forestry, rural development (and related fields). It guides them through the process of disentangling and analysing a complex concept from its initial phases to its impacts on the economy, society, environment and institutions.

The method proposed in this Manual has been tested empirically and validated in 11 case studies in 9 different countries in 2018 and 2019. It was applied by local researchers and stakeholders, incorporating refinements to the concepts and approaches set out in related publications (Polman *et al.*, 2017; Kluvánková *et al.*, 2017; Price *et al.*, 2017; Secco *et al.*, 2017; Secco *et al.*, 2018; Górriz-Misfud *et al.*, 2018; Marini-Govigli *et al.*, 2019). More information is available at: [www.simra-h2020.eu](http://www.simra-h2020.eu).

Further background information is set out as follows:

- the reasons for evaluating social innovation in rural areas (Section 1.1);
- the definition of social innovation as used in SIMRA (Section 1.2);
- the specific innovative elements of the SIMRA evaluation method (Section 1.3);
- for whom the SIMRA evaluation method is designed (Section 1.4);
- the overall structure of the Manual (Section 1.5).

### 1.1 The Importance of Evaluating Social Innovation in Marginalised Rural Areas

In recent years, the European Union has increasingly embraced social innovation as a means for addressing a number of social, economic and environmental challenges which neither classic tools of government policy nor market solutions are able to solve (Mulgan *et al.*, 2007; Moulaert, 2013; Nicholls and Ziegler, 2015; Moulaert *et al.*, 2017). Examples of these challenges are the delocalization of industry and loss of economic activities, population ageing and migration, increasing poverty, growing economic inequality, consequences of global environmental change and financial crises, loss of ecosystem services, and the reduction of services and welfare.

Any communities located in marginalised and remote rural areas are facing such kinds of difficult challenges. At a time of budgetary constraints, social innovation is considered an effective way of responding to specific social needs or broader societal challenges by mobilising people's creativity, promoting an innovative and learning society, and supporting social dynamics that foster technological innovations (BEPA, 2010: 7). In practice, the European Union has undertaken several



initiatives<sup>4</sup> to foster and speed up the process of social innovation as a response to economic and social crises.

Despite the growth in attention being paid to social innovation a unique, commonly accepted definition is still missing (Hernández-Ascanio *et al.*, 2016). Various interpretations of such a broad and multifaceted concept have been used as proxy concepts (e.g. social entrepreneurship, social capital). As a consequence, the concept refers de facto to a wide range of initiatives dealing with diverse societal challenges, and it is probably more widespread in practice<sup>5</sup> than reported in scientific literature (*ibidem*), studied by academics, and perceived by policy makers.

Starting with the definition there are numerous gaps in knowledge that need to be investigated systematically to address properly, and then realise, the potential of social innovation in marginalised rural areas. An evaluation can make a significant contribution to the understanding of social innovation dynamics, disentangling their economic, social, environmental and institutional consequences and therefore designing appropriate interventions.

Evaluation is internationally recognized as a useful tool to assist policy makers and practitioners in supporting, designing and implementing programmes and projects (OECD, 2010). When applied to social innovation evaluation it seeks to provide information on social innovation performance and outcomes through a systematic and objective assessment. It aims at determining the relevance and fulfilment of objectives, efficiently, effectiveness, impact and sustainability of actions implemented by the social innovation initiative (OECD, 1991, 2000)<sup>6</sup>. Its findings can help to reduce uncertainty by proving that some changes are due to specific policies and actions undertaken in connection with social innovation (Khandher *et al.*, 2010). Findings from an evaluation can help with the design and implementation of appropriate decisions on the future development or adjustment of the social innovation initiative being evaluated (e.g. resources allocation), and/or the design of supporting policies for its diffusion, and consolidating its practice.

The SIMRA evaluation method is innovative, providing the first systematic approach co-constructed by scientists and stakeholders (Secco *et al.*, 2019). It proposes an evaluation framework developed *ad hoc* for the evaluation of social innovation in marginalized rural areas based upon, and expanding, the Theory-of-Change and related result-chain. These theoretical bases inform the exploration of the process of change which happens within the social innovation and its effects after project implementation.

## 1.2 The SIMRA Definition of Social Innovation in Rural Areas

The conceptualization and findings of the SIMRA project led to the definition of social innovation 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). It was developed by focusing specifically on agriculture, forestry and rural development in marginalised and remote rural areas. However, this definition can be applied to social innovations in other contexts.

---

<sup>4</sup> Including, for example, the Social Innovation Europe initiative (SIE), Social Business Initiative (DG Growth, 2011), Social Innovation Europe (2011), and Social Investment Package (DG Employment and Social Affairs, 2013) (ENSIS – European Network for Social Innovation and Solidarity, 2018), as well as calls for research and innovation actions within the EU Horizon 2020 programme.

<sup>5</sup> Within the SIMRA project, a catalogue of c.300 examples of social innovation has been developed using this definition within the fields of agriculture, forestry and rural development in marginalized rural areas in EU and extra-EU Mediterranean countries (Price *et al.*, 2017; Bryce *et al.*, 2017). As of June 2019, 56 of these examples are published on the SIMRA web site ([www.simra-h2020.eu](http://www.simra-h2020.eu)). The catalogue is neither fixed nor comprehensive. It provides an initial overview on the wide variety of social innovation cases already existing.

<sup>6</sup> 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).



This definition guided the development of the evaluation framework adopted in this Manual, which is the basis of the method used (see Section 3).

### 1.3 What is New in the SIMRA Evaluation Method?

Innovation in the SIMRA method is in:

- the **scope of application** (i.e. Social Innovation in marginalised rural areas);
- the **science-stakeholder co-construction** process of development, testing and validation;
- the **elaboration of the Theory-of-Change and related result-chain for application to the process** of the development of a Social Innovation initiative, thus expanding the evaluation beyond the implementation and effects of the Social Innovation project;
- the **integration of both qualitative and quantitative** approaches and tools (narrative and indicators), which have been tested as the best approach for collecting all relevant information;
- the **inclusion of contemporary, emerging issues** related to the evaluation of rural development (e.g. **social inclusion, social capital, networks, governance, satisfaction of rural actors**);
- the potential for use as a **complementary tool in the monitoring and evaluation of EU initiatives** (e.g. EIP-Agri, LEADER, Smart Villages);
- the possibility of **adapting the method to the objectives and resources available** in each specific evaluation, depending upon the users and goals of the evaluation, using “dichotomous keys” that help to select subsets of data collection tools, and so focusing on specific aspects to be evaluated case by case;

### 1.4 Intended Target Users of the Manual

The SIMRA Manual is designed for the following users:

- professional evaluators contracted for doing external evaluation of social innovation EU-funded projects;
- staff of organizations interested in the internal evaluation of their projects on social innovation;
- scientists seeking for analytical information to help understand the complexity of the social innovation concept and linked research hypothesis;
- policy makers and private companies which need to identify the potential and challenges of supporting social innovation (e.g. with investments or funding policies);
- other parties interested in exploring social innovations in rural areas.

### 1.5 The Structure of the SIMRA Evaluation Manual

This Manual comprises 7 sections.

Section 1 provides an overview of the evaluation approach adopted within SIMRA, and a summary of details of the contents.

Section 2 provides an introduction to the SIMRA Social Innovation Evaluation Framework. In this section, the individual dimensions, parts and stages of a Social Innovation initiative are presented, and their specific meanings and interconnections.

Section 3 introduces the fundamental elements of the SIMRA Evaluation Approach, in particular, its process. This section concentrates on the focus, timing, use and actors of the evaluation. It also presents the intervention strategy, evaluation questions, judgement criteria and limitations to the approach.



Sections 4 and 5 describe the methods and tools to operationalize the SIMRA evaluation approach. In Section 4, the evaluator is guided through the seven steps that lead from the design to the implementation of the evaluation of a Social Innovation initiative. Section 5 comprises the presentation of all of the tools developed within SIMRA, both for data collection and for data entry and processing.

The approaches to analysing, interpreting and using the information collected is described in Section 6 of this Manual. The evaluator is guided through the analysis of quantitative and qualitative data, and then how to integrate and triangulate the two types of information.

The conclusions are provided in Section 7.

## 2. The SIMRA Evaluation Framework of Social Innovation

Any evaluation requires a clear framework that defines the key dimensions to be evaluated, sets out the steps required, and the interconnections and relationships between dimensions, phases and related variables to be evaluated. The SIMRA evaluation framework is designed to guide effective evaluation practices of social innovation in marginalised rural areas.

The framework identifies key dimensions of any Social Innovation initiative that can be used for designing the evaluation of its drivers, actors, phases, changes and effects, as represented in Figure 2.1. In particular, the framework identifies nine key dimensions<sup>7</sup> and five parts:

- i) dimensions 1 “Trigger, Individual and collective needs”, and 2 “Perceived context” constitute the part of **Reflection**;
- ii) dimensions 3 “Agents” and 4 “Preparatory actions” represent the part of **Reaction** that is undertaken by the “Agency”;
- iii) dimension 5 “Reconfiguring and reconfigured social practices”, where social practices include “new networks”, and “new attitudes” and “new governance arrangements” signify the part of **Reconfiguring**;
- iv) dimension 6 “Project activities” that include planning, management and support to the implementation, together with dimensions 7 “Outputs” and 8 “Outcomes and impacts”, which embody the part of **Realization** and its effects on the social innovation beneficiaries;
- v) dimension 9 “Learning processes”, which includes feedback loops, multiplier effects and critical effects in general, and which refers to the part of **Replication**.

The SIMRA evaluation framework helps in identifying the key dimensions and the phases of development of a social innovation to be evaluated. This is the formulation of an initial idea through to its realization in a project that is implemented, and its short- and long-term effects. The SIMRA methodology is designed to focus the evaluation on one, two or more of the ‘5 SIMRA Res’ (REflection, REaction, REconfiguring, REalization and REplication, see Technical Annex to this manual), a short description of which is in the following paragraphs (from Sections 2.1 to 2.9).

---

<sup>7</sup> The conceptual background for the selection of key dimensions and sub-dimensions and their detailed meanings are described in detail in SIMRA Deliverable 4.2 (Secco *et al.*, 2017) available online at: [www.simra-h2020.eu](http://www.simra-h2020.eu).

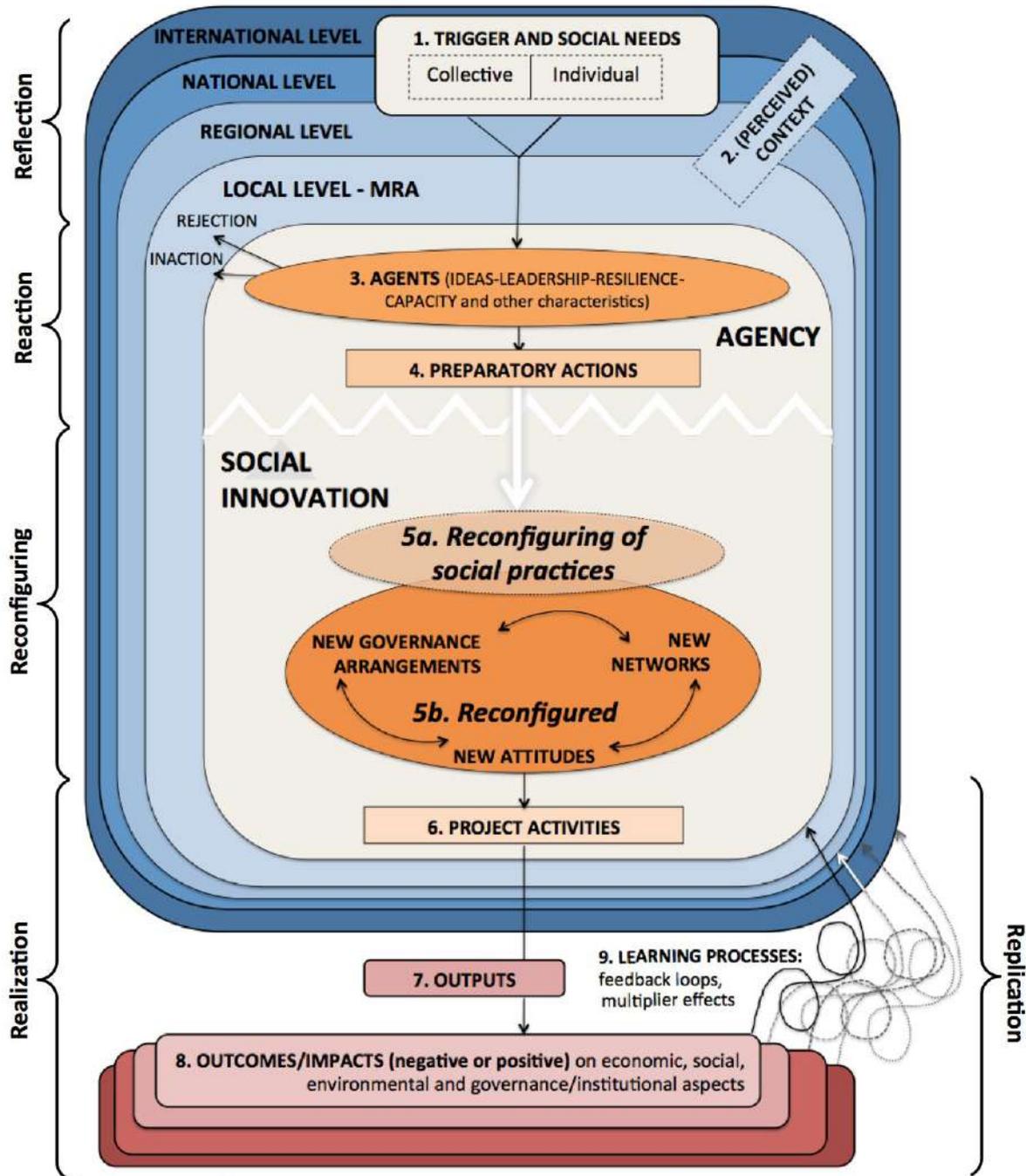


Figure 2.1. SIMRA framework for evaluating Social Innovation in marginalized rural areas and its impacts.

In the SIMRA Evaluation Framework, dimensions, parts and stages are dynamically interconnected with each other, whilst also embedded in local, regional, national and international settings that represent the context in which the action of social innovation is undertaken. A linear, step-wise and temporal process is adopted (Figure 2.1) for the sake of facilitating the practice of evaluation<sup>8</sup>, even if real social innovations often follow non-linear pathways of (recurrent) progressions or regressions.

<sup>8</sup> This should not be considered as a strictly deterministic approach. Rather, it should be considered as an operational-functional approach required for an evaluation based upon the theory of change and on a result model. That is, it is based upon identifying the stages, dimensions and variables of a Social Innovation (and the



## RE1: Reflection

The actors can identify the reflection of a trigger context, and based on their interpretation and understanding they start to act. Reflection can be both negative and positive. If reflection is positive, the actors participate in a social innovation initiative. If reflection is negative, they decide to remain inactive, or even to reject initiatives launched by others<sup>9</sup>.

Key dimensions of this part are: 2.1 “Trigger and social needs” and 2.2 “Perceived context”.

### 2.1 Trigger and Social Needs

#### The trigger

The “spark” that causes the Social Innovation to emerge. An event or situation that is identified as being no longer acceptable (e.g. adverse life conditions), or that brings unexpected opportunities to the area (e.g. introduction of new, positive policy instruments). It can be a single event or the accumulation of events which, after a certain period, generate a reaction (i.e. the Social Innovation initiative). The trigger can happen at any level (international, regional, national or local).

Examples of negative triggers that might affect marginalised rural areas are:

- An environmental disaster due to extreme climatic events (e.g. flooding, landslides, earthquakes, drought, forest fires, storms) or human activities (e.g. nuclear accident).
- Pollution, degradation or loss of natural resources fundamental for the local community (e.g. biodiversity depletion and loss, water, air and soil pollution, pest outbreaks, invasion of alien species, deforestation).
- The closure of a key service within the local community (school, mail office, market, bar, library, etc.).
- Deep recession and economic/financial crises that has consequences for employment and income.
- A shortage of funding or other types of “disturbances”<sup>10</sup>, that can be idiosyncratic (e.g. a farm family crisis, the impact of an outbreak of an animal disease) or structural (e.g. affecting the whole farm sector or all farm businesses in a certain sector, such as the reduction of price support over time).
- Others: consistent migration flows due to unemployment; abandonment of the territory; health pandemics; conflicts and wars; unbalanced demographic trends; periods of major social-political turmoil; situations where there are major socially, economically, or politically structured divergences in welfare or opportunities between different groups; situations where there is a power vacuum, or major failing or delivery gaps in state institutions.

Examples of positive triggers that might affect marginalized rural areas are: *insert here ns disegno sole*

- Participatory movements or mobilisation which attempt to tackle “wicked” problems.
- A new charitable bequest.
- A new subsidy that provides resources which were unexpected.

changes that a Social Innovation may induce) which are relevant and suitable to be analysed, and possible to be “measured”.

<sup>9</sup> The SIMRA Evaluation Framework captures only the positive reflections, i.e. it allows the study of only those who decided to participate in or start a Social Innovation initiative (at least in its initial phases).

<sup>10</sup> The concept of disturbances is taken and adapted from Peerlings *et al.* (2014).



- A new policy instrument that facilitates the establishment of social-oriented businesses or any other changes towards enabling policy.
- Others: effective decentralisation; positive social capital that guarantees trust amongst actors.

The trigger may emerge in connection with:

- A single time-bound event (e.g. a three-day extreme flooding event).
- An accumulation of unmet needs (e.g. a prolonged period of a worsening in the quality of social life because of depopulation).
- Outcome of a long-term process when a situation becomes untenable (e.g. a critical demographic situation reached as consequence of a process of ageing and abandonment of a mountain area).

Triggers are usually considered as “external” to the actors and independent of their perception and recognition. However, in the SIMRA evaluation framework the approach taken is to understand how each specific situation is perceived, framed and interpreted by the actors themselves.

### Social needs

Unmet social needs, societal challenges and governance shifts are framed as the ‘needs’ (or ill-being), i.e. the focal challenge to which actors with their ideas, leadership, capabilities, etc. respond with the Social Innovation, following a trigger. Unmet needs can be individual or collective, and refer to the realms of society, economy, environment and/or institutions.

Unmet social needs may derive from the special features characterising marginalised rural areas (e.g. remoteness, isolation, depopulation and rural exodus)<sup>11</sup>. Or, they may derive from more general trends, such as: the mismatch between growing Gross Domestic Production (GDP) and stagnant well being and declining real welfare; rising life expectancy and therefore the incidence of health-related long-term conditions and diseases; growing diversity of countries and cities; unknown and inexperienced consequences of climate change; stark inequality (leading to rising violence and mental illnesses); behaviour problems of affluence, difficult transitions to adulthood and happiness (Mulgan *et al.*, 2007). Table 2.1 shows an illustrative and non-exhaustive list of social needs, societal challenges and governance shifts that are likely to characterise European and non-European Mediterranean marginalised rural areas, and will help the evaluator to identify the main drivers of the social innovation to be evaluated. The list is structured around the three focal challenges and corresponding approaches<sup>12</sup> that refer to Social Innovation as a response to...

- 1) ...the **social demands of vulnerable groups**: it is based upon specific unmet social needs, which are not typically (or not properly) addressed by the market or existing institutions;
- 2) ...**societal challenges directed towards society as a whole**, and in which the boundary between social, economic and environmental realms is blurred;
- 3) ...**governance shifts**, i.e. systemic change in perspective reached through a process of organisational development, and changes in relations between institutions and stakeholders. Examples of these processes are approaches to networking or engaging citizens in decision making adopted by public authorities, increasing information exchange and disclosure.

<sup>11</sup> Price *et al.*, 2017

<sup>12</sup> BEPA, 2013:43.



Table 2.1. Possible social needs and demands in marginalized rural areas

<b>Approach 1: The perspective of social demand by vulnerable groups</b>	
<b>Vulnerable groups in marginalised rural areas</b>	<b>Examples of social needs and demands</b>
<i>Minorities or local indigenous people groups</i> <sup>13</sup> , e.g. groups with strong and ancient cultural identities, generally not recognised as culturally distinct and excluded from the dominant culture.	<ul style="list-style-type: none"> <li>• Integration</li> <li>• Recognition</li> <li>• Dignity</li> <li>• Respect</li> <li>• “Voice” and “vote” in deciding local development paths</li> </ul>
<i>Women</i> , e.g. low qualified and low skilled, typically engaged in the provision of child care or assisting elderly people, limited by lack of rural occupational opportunities, or excluded from them for cultural reasons.	<ul style="list-style-type: none"> <li>• Resources allocated for child care</li> <li>• Hospital assistance for childbirth and post-natal care</li> <li>• Options for carrier development</li> <li>• Recognition of their key role</li> </ul>
<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.	<ul style="list-style-type: none"> <li>• Health assistance centres for therapy</li> <li>• Options for leisure</li> <li>• Social integration</li> <li>• Work placement</li> <li>• Reduced architectural barriers</li> <li>• Public transport facilities</li> </ul>
<i>Long-term unemployed</i> , e.g. local residents with low level qualifications and migrants, men and women, employed in the past in an industrial sector or district <sup>14</sup> .	<ul style="list-style-type: none"> <li>• Employment opportunities <i>in loco</i></li> <li>• Avoid relocation and outmigration</li> <li>• Care required of family and maintaining personal connections</li> </ul>
<i>Offenders</i> , e.g. local people well known in the community but unable to reintegrate because of their criminal record, facing difficulties to re-build social relations and reputation.	<ul style="list-style-type: none"> <li>• Being re-accepted without prejudice</li> <li>• Being given a second chance</li> <li>• Reconstructing their social networks</li> <li>• Regain respect</li> <li>• Have employment opportunities like the others</li> </ul>
<i>Elders</i> , e.g. lack of access to transport (own car or access to public transport), cannot drive or are unable to drive due to age-related issue; those who face mobility barriers; limitations caused by extreme weather events (snow, heavy rain, heat); receiving declining welfare resources.	<ul style="list-style-type: none"> <li>• Remain engaged in society with their values and capabilities</li> <li>• Access to resources for health care</li> <li>• Access to public assistance</li> <li>• Access to mobility options</li> <li>• Access to meeting and leisure centres (not only those managed by churches or small local NGOs) for active social life</li> <li>• Home care</li> </ul>
<i>Children and young people</i> , e.g. limited access to options for schooling, cultural activities, sports facilities; engaged in family business activities such as farms, or with parents whose work entails significant travel; 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.	<ul style="list-style-type: none"> <li>• Options for choosing sports</li> <li>• High quality school options</li> <li>• Options for vocational training</li> <li>• Access to affordable public transport and leisure centres</li> <li>• Internet connection</li> <li>• Options for building friendships and connections (cinemas, bars, swimming pools, disco dances, theatres, music concerts) (active social life)</li> </ul>

<sup>13</sup> E.g. The Cimabri population in the Veneto region, North-Eastern Italy.

<sup>14</sup> E.g. The eyewear industry in the Belluno province in the North of Italy 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.



<p><i>Poor families</i>, e.g. low income families, often with one job, unstable, subject to moving in/outside of a community (sometimes not as open and flexible as urban communities).</p>	<ul style="list-style-type: none"> <li>• Minimum salary</li> <li>• Dignity</li> <li>• Employment opportunity</li> <li>• Housing</li> </ul>
<p><b>Approach 2: The societal challenge perspective</b></p>	
<p><b>Challenges that require adaptation</b></p>	<p><b>Examples of social needs and demands</b></p>
<p><i>Social challenges</i>, e.g. conflicts/wars, social instability, criminality, in-migration (arrival of newcomers such as migrants, highly-skilled former urban dwellers, retired people), out-migration (rural exodus, selective out-migration of women and young) with declining population numbers, ageing population, and related long-term diseases.</p>	<ul style="list-style-type: none"> <li>• Survival after a conflict/war</li> <li>• Security and resistance in face of criminality</li> <li>• Food security</li> <li>• Dynamic social life and cultural events</li> <li>• Access to fundamental services</li> <li>• Adequate infrastructures</li> <li>• Renaissance of rural territories</li> <li>• New social uses of forests and green areas (e.g. green care) for health and well being of the local community</li> <li>• Integration of newcomers in the local community</li> </ul>
<p><i>Economic challenges</i>, e.g. globalisation and increased market competition that are hard to be tackled by small and medium sized enterprises based in marginalized rural areas, delocalization of industry towards countries with lower labour costs, increasing economic inequality, risks of monoculture.</p>	<ul style="list-style-type: none"> <li>• New and/or stable jobs</li> <li>• Options for creating enterprises based on ecosystem services</li> <li>• Finding new products and services that are sought by society</li> <li>• (Short) value chains of local products and specialties</li> <li>• Community-based and rural tourism activities</li> <li>• Nature-based businesses</li> <li>• Risk management</li> </ul>
<p><i>Environmental challenges</i>, e.g. negative trends in the availability or limited access to key natural resources (e.g. water), climate change and extreme climatic events, resource and landscape loss and depletion.</p>	<ul style="list-style-type: none"> <li>• Survival after an environmental disaster, including the decision to remain and re-build houses and social life</li> <li>• New skills and knowledge for adapting farming or forestry to reduced access to natural resources</li> <li>• Access to land</li> <li>• Nature-based solutions to climate change and biodiversity loss</li> <li>• New climate-sensitive ways of producing and distributing green products and services</li> </ul>
<p><b>Approach 3: Governance shifts and perspectives of systemic change</b></p>	
<p><b>Characteristics</b></p>	<p><b>Examples of social needs and demands</b></p>
<p><i>Poorly organized governance shifts are characterized by</i>, e.g. lack of/ineffective involvement of civil society in decision-making processes, dominated by top-down, managerial systems of control; lack of voice and power of local community; overwhelming bureaucracy; brittle and inflexible public administrations with limited institutional and technical capabilities; obsolete and rigid legal framework; conflicts of interest and corruption in public and private organisations; unbalanced representation of women in positions of responsibility (e.g. mayors, presidents, CEOs); improper or incomplete decentralisation; reduction in resources allocated to peripheral (local) governments due to economic crises and spending reviews; dominance of</p>	<ul style="list-style-type: none"> <li>• Participation</li> <li>• Voice and representativeness in the central institutional organisations</li> <li>• Empowerment</li> <li>• Simplification of authorization procedures for launching new activities or renovations</li> <li>• Support of community-based solutions for land and resource management</li> <li>• Flexibility and capability of public administrations at various levels</li> <li>• Institutional innovation and modernisation</li> <li>• Transparency and accountability</li> <li>• Gender balance</li> </ul>



international lobbies of business.	
Characteristics of adequately organized shifts	Examples of social needs and demands
<i>Adequately organized governance shifts are characterized by e.g. capability of public administrations to adapt to continuously fluctuating circumstances; effective public-private partnerships; civil society engagement in decision-making; effective decentralisation and application of the principle of subsidiarity; co-funding long-term strategies; network-based organisational mechanisms.</i>	<ul style="list-style-type: none"> <li>• Self-organization of local community members</li> <li>• Acceptance and recognition of the role of the local community by higher institutional levels</li> <li>• Stabilisation of institutional innovation and systemic change of public-private relationships</li> <li>• Long-term private-public collaboration</li> <li>• Co-constructed strategic visions for human well being and environmental resources protection</li> </ul>

(Source: Modified from Secco *et al.*, 2017).

## 2.2 Perceived Context

### The Perceived Context

The conditions that influence the actions of actors, i.e. that enable or constrain Social Innovation. This encompasses two aspects: the “static and objective” conditions based on existing resources and/or limits, and the “dynamic and subjective” conditions based on on the perceptions and framing of actors of what is an opportunity or a threat to them and their activities (perceived opportunities and threats, ‘POT’). All the levels across the institutional and spatial scales (i.e. from international to local) directly or indirectly influence the perceived context.

Examples of resources that define the context of marginalized rural areas are:

- established regulatory frameworks (laws, legislation and policy) and overall governance and institutional arrangements, both formal and informal;
- material resources such as funding, raw materials and natural resources, land use and existing infrastructure;
- intangible resources such as social memory, culture and identity, discourses, and historical background.

According to the SIMRA evaluation framework, context resources are differently and subjectively understood and framed by the different actors as opportunities and threats, depending on the perceptions of different actors. In other words, the existence of a specific set of assets (existing resources or obstacles) does not imply that they are visible (identified and recognised), available and/or accessible and at the disposal of actors ready to implement Social Innovation.

The context could be interpreted by actors as providing a set of opportunities that to others are threats. Context must be visible and recognised by an actor for the Social Innovation initiative to start. For this reason, it is case-specific at the local level even if the local level is influenced by national, regional and/or international levels.

**Table 2.2** shows an illustrative, non-exhaustive, list of resources that can be found in European and non-European Mediterranean marginalised rural areas which can help the evaluator identify the main elements of the context which are likely to be perceived as opportunities or threats by the actors of the specific area or territory of the social innovation to be evaluated. The list is structured around the concept of territorial capital<sup>15</sup>, which comprises capitals (natural, built, financial, human, social, cultural and institutional/political) that are considered fundamental for (rural) development<sup>16</sup>.

<sup>15</sup> OECD (2006), The New Rural Paradigm: Policies and Governance, OECD Rural Policy Reviews. [https://read.oecd-ilibrary.org/governance/the-new-rural-paradigm\\_9789264023918-en#page1](https://read.oecd-ilibrary.org/governance/the-new-rural-paradigm_9789264023918-en#page1)

<sup>16</sup> Goodwin (2003).



Table 2.2. Types of resource/capitals and their components.

Resources	Type of Capital and Definition	Key Components
Environmental/natural resources	<i>Natural Capital:</i> The [world's] stocks of natural assets, which include geology, soil, air, water and all living things.	Natural resources such as water, soil, ecosystems, forests, pastures, energy, geology and land.
Human-constructed resources (built)	<i>Infrastructural Capital:</i> The basic physical and organisational structures and facilities (e.g. buildings, roads, power supplies) needed for the operation of a society, enterprise or area.	Infrastructure such as airports, bridges, roads, railways, schools, hospitals, ITC infrastructure, buildings, machines and equipment.
Financial resources	<i>Financial capital:</i> 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.	Funds, investments, charities, short and medium-term loans, deposits, venture capital, equity, debts, leasing, financial instruments (e.g. futures, options, derivatives, investments funds, bonds) and insurance.
Human resources	<i>Human Capital:</i> The knowledge, information, experience, ideas, skills, and health of individuals. Recently, the definition has assumed a more collective-oriented meaning (i.e. 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).	Skills, information, education, knowledge, health, ideas, values, social and personality attributes included creativity, motivation, competences, experiences, habits and culture.
Social resources	<i>Social Capital:</i> Networks together with shared norms, values and understanding that facilitates cooperation within or amongst groups. May have "bonding" or "bridging" functions.	Networks, relations, trust, shared norms, shared values, exchange of information, cooperation, cultural identity, social life, collaboration attitudes, solidarity, social groups, inclusion versus exclusion, collective action and conflicts.
Cultural resources	<i>Cultural Capital:</i> shared attitudes and mores, which shape the way we view the world and what we value. Some aspects are closely related to human and social capitals.	Perhaps indicated by cultural events, and/or the vitality of minority languages, traditions and collective heritage.
Institutional/governance resources	<i>Institutional (Political) Capital:</i> the ability of the community to influence the distribution and use of the resources.	Government and non-governmental organisations and their reciprocal power relations, actors (including civil society representatives), networks, decision making rules, systems of property rights (including access rights), monitoring and sanctioning rules, security, legality, access to information, local empowerment of different social groups (versus top-down policy and globalisation).

Source: Modified from Secco *et al.* (2017).<sup>17</sup>

<sup>17</sup> The original Table developed by Secco *et al.* (2017) was based upon information from the World Forum on Natural Capital (2017); Oxford Dictionary Online (2017); Dictionary.com (2017); Wikipedia (2017); Becker (1964); Healy and Côté (2001). Additional source: OECD (2014).



## RE2: Reaction (Agency)

Having considered the trigger and the needs in relation to the opportunities and threats identified (perceived context) (RE1: Reflection), actors (one person or a small group of people) identify an idea for change and motivation to act to provide an answer to the social needs and solving challenges, by interacting with each other and undertaking preparatory actions required for the development of social innovation.

Key dimensions of this part are: 2.3 “Agents”, and 2.4 “Preparatory actions” (initial activities undertaken for creating the social innovation), which are both embedded in the concept of “Agency”<sup>18</sup>.

### The Agency

The nucleus of actors (with their ideas, values, willingness, and capacity) who start to prepare and act to transform an idea into a change. Initially the agency can be a single actor, but more typically it is a small group of actors who combine their energy, time, thoughts and capabilities and direct them to the design and implementation of actions that enable the development and shaping of the original idea.

In some cases, Social Innovation reaction-agency may originate from a well-defined organisation where organisational aspects (e.g. chains of command delineating responsibility, assigned tasks, clear boundaries that distinguish members from non-members)<sup>19</sup> are already established and well known. In other cases, Social Innovation 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. In these cases, reaction-agency is distributed, rather than easily attributable to individual actors of groups. It is produced through the strategies of a number of actors, each of whom takes actions that help the system progress through different stages of transformation<sup>20</sup>. The emphasis is on collective efforts for collective action, in which networks play a crucial role.

Agency is not necessarily local but can rely on cross-scale and cross-level interactions with different organisations, foundations and research institutes.<sup>21</sup>

## 2.3 Agents

### The Agents

*Agents* are individual and collective human actors whose actions and guided by specific drivers, e.g. their specific ideas, willingness to act, capabilities to change, visions, values, trust, motivation, and power. Actors-agents embark on individual or collective *actions*, which may lead to either individual or societal benefits.

The evaluation of the social innovation initiative requires attention to be paid to the individuals, and more specifically, to what they think, what they value, how they behave, and how interrelations between actors and social systems take place. However, agents-actors that are involved and act

<sup>18</sup> *Agency* refers to the capability of *agents* to make transformative change, including by modifying, eliminating or creating new institutions and eventually new social systems. Agents are empowered to act with and against others using *structures*: they have knowledge of the schemas that inform social life and have access to some human and non-human resources. Actions of Agents have the power to change institutions, but are also constrained by institutional practices (*structures*). All the concepts used in this section are based on the scientific contribution provided by: Sewell Jr. (1992); Janssen and Ostrom (2006); Haxeltine *et al.* (2016); Cajaiba-Santana (2014).

<sup>19</sup> Hodgson (2007).

<sup>20</sup> Haxeltine *et al.* (2016); Westley *et al.* (2013); Garud and Karnoe (2005); Hahn *et al.* (2006).

<sup>21</sup> Cash *et al.* (2006); Westley *et al.* (2013).



within a social innovation initiative vary depending on its phase of development. On a temporal scale, the different phases of social innovation may start from a simple situation where only a few people are directly involved (individuals and/or a small network who/that decide to react by innovating, referred to as “the core group”) (Table 2.3). This evolves progressively to a more complex situation engaging other agents-actors and organisations (e.g. social innovation “network” members), finally reaching direct and indirect “beneficiaries”.

Table 2.3. *The innovator(s), follower(s) and the core group of the Social Innovation.*

<b>Innovator(s)</b>	The key leaders and initial 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. They can be members of the local community (e.g. local leaders), or external to the community (e.g. newcomers or people who spent time training or working somewhere else). They constitute the first nucleus of the social innovation core group.
<b>Follower(s)</b>	The first people who believe in, adopt or support the idea of the innovator(s). They can be co-creators or those who identify a practical approach to take an idea forward. They can be skilled in its promotion or dissemination at an early stage. Together with the innovator(s), they constitute the social innovation core group and start to implement the idea (which is later re-arranged and consolidated with the additional contribution of transformers).
<b>The core group</b>	The initial group of innovators and their first follower(s), i.e. those who were involved at the preliminary stages of originating a social innovation initiative.

Source: SIMRA Project.

Different actors and coalitions of actors play different roles at different moments in the development of the social innovation.

According to the SIMRA evaluation framework, “*the core group*” is the focus of the evaluation from the beginning, with analysis of the role it plays in all the phases as the social innovation develops. Actors who enter the social innovation initiative at later stages are evaluated only in relation to those stages (e.g. beneficiaries at later stages of the process, analysed in relation to the effects that the social innovation has on them, once it is implemented). See Section 3 and Figure 3.3 for more information on which actors are targeted by the evaluation in which phase.

Actors can be active in supporting the social innovation, by connecting, pushing forward, and actively committing time; or be inactive, awaiting preliminary results or hesitating over making a commitment. They may reject the innovation and either oppose it during the various phases (e.g. during the reconfiguring phase), or fail to play a role in future actions. Actors who reject a Social Innovation in the first phase could become active again in other phases. Roles can change in different situations and over time but for the sake of simplicity “inaction” and “rejection” are represented in the framework only in connection with the initial phase of the Social Innovation initiative (Figure 2.1).

A wide range of characteristics of innovator(s) and follower(s) is likely to influence the diverse pathways of the development of the Social Innovation. These can include: gender; age; employment and position; honorary positions in the community; whether they are directly or indirectly 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; cultural and knowledge system; attitude as a leader or as a prospective leader; motivation; ethical and moral principles that inspire action; and experience in actively participating in voluntary initiatives and projects<sup>22</sup>.

Ethical and moral principles are interconnected with values, with broad preferences concerning an appropriate course of action that tends to influence attitudes, beliefs and behaviour. Values can be

<sup>22</sup> Boltanski and Thévenot (1991).



individual values or shared values within a community<sup>23</sup>. Characteristics of human and social capitals linked to innovator(s) and follower(s) are important, including whether they have complementary capabilities or skills or in relation to trust. The empirical test of the SIMRA evaluation method has demonstrated that some of these elements can be captured using indicators (in particular the ideas, leadership, resilience, capacities and endogenous versus exogenous origin of the core group), and others are understood using qualitative analysis.

## 2.4 Preparatory Actions

### The Preparatory Actions

*Preparatory actions* refer to all those objects, activities, discourses and narratives of change that social innovators (actors-agents, as individuals or group(s)) may undertake in the initial phases for preparing and starting the process of reconfiguring. *Actions* seeking societal (collective)<sup>24</sup> benefits typically lead to social innovation.

Examples of preparatory actions undertaken by innovator(s) and their follower(s) (agents-actors seeking collective benefit as well as for individuals) are:

- conducting a context analysis of benchmarking;
- identifying and contacting potential partners(s) and stakeholders to be involved in the development of the social innovation initiative;
- seeking legal and technical information about options for types of businesses or initiatives which could be created, and the contractual agreements required;
- screening potential consultants or collaborators where required (e.g. in case of key skills missing), to be hired for future programming and planning;
- introducing the social innovation idea in meetings organized within the local community and building consensus;
- raising awareness by communicating the idea (narrative building).

Such preparatory actions are taken in advance of the collective action in the reconfiguring phase.

### RE3: Reconfiguring

Preliminary actions led by agents within a certain context lead to a process of reconfiguring, i.e. change of “social practices”<sup>25</sup>, which include a change in the networks, attitudes and governance arrangements of the actors. The process of reconfiguring leads to a reconfigured situation in which new networks, attitudes and governance arrangements appear, in different combinations. The key dimension of this part is: 2.5 “Reconfiguring and reconfigured social practices”. As this dimension is complex it is divided into three sub-dimensions: 2.5.1 “New networks”, 2.5.2 “New attitudes” and 2.5.3 “New governance arrangements”.

<sup>23</sup> Polman (2002).

<sup>24</sup> 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.

<sup>25</sup> 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.”



## 2.5 Reconfiguring and Reconfigured Social Practices

### The Reconfiguring (and then reconfigured) social practices

The process of change that may occur in social practices *i.e.* 'new rules of the social game' as consequences of, or in relation to, the launch of the Social Innovation idea in its first steps after the initial preparatory actions. A change in social practices includes: i) change in the relationships amongst actors (networks); and/or ii) change in their attitudes (connected to beliefs and values); and/or iii) change in governance arrangements.

The reconfigured situation is the one which emerges from the process of change.

As the 'core' of Social Innovation, the evaluation of the reconfiguring of social practices (and of the consequent reconfigured situation) has to be accurate and detailed, and tackle several complex aspects.

The SIMRA evaluation framework distinguishes between the two phases of "reconfiguring" and "reconfigured". This is because during the reconfiguring phase it is possible to identify internal factors, such as the dynamics of relationships established amongst the actors involved which support, hinder or interrupt the emergence, consolidation and realization of the Social Innovation. The interruption of the Social innovation initiative can occur at any stage after conception of the idea. However, this is more visible if it occurs during the action and/or the reconfiguring phase. If the interruption occurs in these initial phases, the action remains as an action (*i.e.* no reconfiguring follows), or reconfiguring remains reconfiguring (*i.e.* no reconfigured situation follows) in which case the Social Innovation does not happen in practice. This possibility is represented in Figure 2.1 by the broken line linking the boxes of the agency and Social Innovation.

The reconfiguring-reconfigured social practices can occur at any levels of spatial and/or socio-economic scales. It might be well defined and circumscribed at the local level, but less evident and more distributed at higher levels. Agents-actors involved can be private, public or mixed, and come from different levels (*e.g.* reconfiguring and reconfigured networks can include local private entrepreneurs and national public administrations). The SIMRA evaluation framework enables the identification of what is reconfiguring, who is involved, how the process is carried out, where and for how long, and through which instruments.

The time taken for the reconfiguring dynamic to reach a reconfigured situation is important. Faster processes may be associated with trusted links between innovator(s) and follower(s) and other actors who are interested in joining, and/or simple and user-friendly governance arrangements (*e.g.* authorization procedures) that speed up processes which can be bureaucratic. Slower processes may be due to a high number of actors participating in the networks, unclear and complex interactions with higher jurisdictional or administrative levels, or hidden/latent conflicts.

The social practices of the reconfiguring can be compared to the social practices of the reconfigured situation. This can include: i) whether the network initially established amongst innovators and followers has increased or decreased; ii) how the structure has changed in term of composition; iii) which instruments have been used (*e.g.* which internal rules, mechanisms and procedures for decision-taking, what communication tools for spreading information, which type of agreements for establishing collaboration, etc.); iv) where it is located (*e.g.* where a new network was established).

The three sub-dimensions (new networks, new attitudes, new governance arrangements)<sup>26</sup> are considered as interactive elements of the same reconfiguring, and influence each other. For

---

<sup>26</sup> For ease of analysis, in the SIMRA 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).



example, a new network may imply new attitudes of actors and require new governance arrangements for managing internal and external relationships.

### 2.5.1 New networks

**Networks**

Networks primarily depend upon who is involved (i.e. who are the “nodes” of the network). Nodes can be individuals, groups or organisations; private, public or a mixture of the two. The type and quality of relationships are determined by who is involved, for example in terms of level of trust, intensity of the links, level of collaboration or conflict, flows of exchanges of information or resources.

New networks imply new forms of interaction amongst actors, and thus new forms of relationships. Relationships (i.e. the way actors interact each other) can be formal/informal, inclusive/exclusive or open-flexible/close-rigid, economic/social, direct/indirect, bidirectional/unidirectional.

New networks may also imply new sets of actors that interact with each other. Actors can be public institutions (communitarian, national and regional authorities, local territorial entities, politicians), private-market (businesses and entrepreneurs, e.g. SME), private-community (social and environmental civil society associations, individual citizens) and others (public enterprises, commons, private-public partnerships, universities and academic actors).

The basic units of a network are at least two connected individuals. Individuals can be aggregated into groups, sharing the same interests and working for a common objective. Groups which are already networks can be aggregated into larger networks. Smaller and larger networks differ in their nodes. Typically, nodes in smaller networks case nodes are individuals, and in larger networks they are organisations in which vision/approach/interests may be “represented”, for example in public meetings, by individuals.

The well-known concept of the stakeholder<sup>27</sup> is used for the purposes of the SIMRA evaluation. This is used in terms of the composition of the network, which involves stakeholders who belong to different sectors (e.g. multiple economic sectors, third sector), and/or to different institutional levels (e.g. a regional public authority that interacts with a local farmer) and at multiple levels (e.g. local-national, local-international, regional-national, etc.).

Both actors and interrelations can change many times during the reconfiguring, and at different stages of that process. For example, new actors may decide to join the Social Innovation initiative after the most important actions for its launch have been carried, and the main strategic initial decisions have been taken. These actors may further transform the Social Innovation and contribute to reaching the final reconfigured situation, forming the basis of subsequent project implementation (Table 2.4). The actors may also contribute to the implementation, thus participating in stages of development of the Social Innovation and eventually becoming project partners. Actors who participate in the Social Innovation (e.g. as one “member” of the core group) may decide to leave it at any point in the process.

*Table 2.4. Definition of the transformers.*

<b>Transformers</b>	New actors who enter into the course of development of the Social Innovation after the initial phases, supporting what innovator(s) and follower(s) initiated. They contribute to the process of change (reconfiguring = transformation), for example by adopting the idea, re-framing it according to their values and spreading it to other people in the network.
---------------------	--

<sup>27</sup> 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 Social Innovation initiative], or whose actions can reasonably be expected to affect the ability of the organisation [in our case, of the Social Innovation initiative] to successfully implement its strategies and achieve its objectives” (GSSB, 2016: 28).



Source: SIMRA project.

The level of openness of networks to allow transformers to join the reconfiguring may vary. For example: i) a network initially established by the core group during the action invites others to become new members, but no pre-defined and formal rules exist for this to happen in practice; ii) a network develops fluidly, and anyone interested in joining can freely participate; iii) a network is created but the rules for accessing it (or withdrawing) are very strict.

Changes in the actors (people joining or leaving the Social Innovation) typically lead to changes in the relationships, and in the dynamics and intrinsic conditions (e.g. power distribution, assumed roles, ways of communication, social hierarchy, social capital<sup>28</sup>). The nature of relationships and how they work depends on the type of relationship (e.g. more or less trustful, more or less robust, more or less collaborative or conflicting, etc.), and on specific characteristics of actors (e.g. gender, age, education, membership to specific institutions<sup>29</sup>).

Over recent decades, European Union agriculture, forestry and rural development programmes, and national initiatives, have led to the active participation of a heterogeneous group of stakeholders. Increasingly, networks are being formed which involve policy makers, scientists and practitioners. For example:

- Local Action Groups (LAGs) within the EU LEADER programme which are networks comprising public and private inter-sectoral actors who are interested in rural development;
- Operational Groups of the European Innovation Partnership for Agricultural productivity and Sustainability (EIP-AGRI)<sup>30</sup> comprising networks amongst partners working in the agricultural sector (e.g. farmers, scientists, agri-business);
- the “network contracts”<sup>31</sup> introduced by National Law No. 5/2009 in Italy comprising networks of enterprises.

Networks also have a prominent role in Social Innovation in rural areas. The SIMRA evaluation method explores different aspects of networks in terms of their: i) composition; ii) structure; and iii) relationships. It is inspired by the consolidated methodology of the Social Network Analysis (open-source software for data processing and analysis, e.g. UCINET available), that elicits information about the density of the network, and its connectivity, amongst other aspects. It is used extensively in the fields of natural resources management, agriculture, forestry and rural development.<sup>32</sup>

---

<sup>28</sup> Pisani *et al.* (2018).

<sup>29</sup> In rural contexts, networks can be closed and exclusive for members. e.g. in Italy, the “Regole” are ancient community-based institutions the members of which can only be from families who have been local residents for centuries.

<sup>30</sup> EIP-AGRI was launched in 2012 to contribute to the EU’s strategy ‘Europe2020’ for smart, sustainable and inclusive growth. More information is available at URL: <https://ec.europa.eu/eip/agriculture/en/about>

<sup>31</sup> This type of contractual agreement can be created amongst enterprises in different economic sectors, and is more flexible and dynamic compared to existing formal collaborations (e.g. consortia, cooperatives). The law provides fiscal facilities and procedural simplification for network contracts involving enterprises in agriculture. The number of network contracts has grown from 25 (in 2010) to c. 2,700 (2016; Registroimprese, 2017) over a few years, demonstrating the interests of businesses. The instrument is becoming popular in agriculture, forestry and rural development (Secco and Pisani, 2016).

<sup>32</sup> E.g. Bodin and Crona (2009); Secco *et al.* (2014); Hauck *et al.* (2016); Pisani *et al.* (2018).



## 2.5.2 New attitudes

### Attitudes

Attitudes are a predisposition or a tendency to respond positively or negatively towards a certain idea, object, person, or situation. They are linked with culture, social norms, opinions, beliefs, ethical and moral values (individual or shared), and discourses. People's attitudes are affected by the socio-economic context and historical development trajectories in which they live, as well as by states of feeling, emotions and are contingent on personal circumstances. Attitude influences the collective and individual choices of action, and responses to challenges, incentives, and rewards.

Attitudes<sup>33</sup> are necessarily case-specific, *momentum*-specific, and encompass both personal and collective values. They are influenced by dominant or emerging discourses<sup>34</sup>, through public opinion or that of leaders or innovators. They can reflect opinions such as: social inclusion is important, climate change is a priority in the political agenda, sustainability is a requirement, governments should address social justice and equity, human rights have to be respected, human relationships are key to happiness, migrants are welcome, women are resources for the society and economy of a country. These values are different from person to person, from place to place, from country to country and from historical period to historical period. Typically, attitudes are kept confidential<sup>35</sup>.

The level of commitment by individuals or groups towards new attitudes can fluctuate. The higher the level of commitment, the greater the possibility that "deep normative core" beliefs<sup>36</sup> change. In certain cases, the shift towards new attitudes is due to monitoring systems and sanctions, including informal ones, which are the social norms that guide the relationships and behaviours within a certain community.

This complexity poses various challenges to the evaluation. For the sake of simplicity and feasibility, the SIMRA method has selected some proxies for the evaluation of attitudes and beliefs of individuals and groups involved in the Social Innovation initiative. At the core of the evaluation there are sentences/questions (expressed as: I believe, I hope, I fear, I doubt) that enable capturing the combination of expectations of the initiative, individual and collective attitudes and obstacles.

## 2.5.3 New governance arrangements

### Governance arrangements

Governance (or institutional) arrangements refer to ways of implementing and operationalising the 'rules of the game' of decision-making (i.e. how decisions are taken and by whom), implementation (i.e. how they are implemented and by whom) and empowerment (i.e. who is in charge of monitoring, controlling and sanctioning, and how control is exercised). New governance arrangements (e.g. changes in procedures, organisation or decision-making processes) refer to what public authorities do (i.e. change, adapt) when involved in reconfiguring practices, both as external or internal nodes of the network.

In the SIMRA evaluation framework, new governance arrangements<sup>37,38</sup> refer to changes in formal institutions (e.g. policies, laws, regulations, guidelines, codes, standards), and changes in, and

<sup>33</sup> North (1990); Ajzen (2001); Agarwal and Malhotra (2005); Gobattoni *et al.* (2015).

<sup>34</sup> E.g. Hajer (1993); Keller (2006).

<sup>35</sup> A challenge for questioning ethical/moral values in interviews for the evaluation is that people may not disclose personal values (e.g. political party), and/or they respond differently to that which they believe, with potential risks of bias.

<sup>36</sup> Beliefs Systems model of Sabatier (1988).

<sup>37</sup> 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-



adaptation of, the roles of public entities and authorities towards solutions of interactions with private stakeholders and internal procedures that support the agency and thus facilitate the emergence or development of a Social Innovation initiative. These changes and adaptations can be procedural and/or organisational and/or decisional.

“Adequate governance” is reported as one of the main components that “create the ‘natural environment’ for social innovation to flourish”<sup>39</sup>. Examples are: new supportive policies, innovative finance, capacity building, recognition of tools such as incubators and hubs. Key elements to be explored are the coordination mechanisms used in and by the Social Innovation initiative, the length of the processes for setting standards, the public procurement of innovation, and technological and organisational innovations.

In the SIMRA framework, special attention is paid to differentiate new governance arrangements evaluated as part of the reconfiguring, and governance and institutional aspects that belongs to other dimensions of the Social Innovation. For example, governance/institutional changes can be identified as components of the “trigger” (e.g. restructured national governance structures that negatively affect local public authorities efficiency), of the “perceived context” (e.g. existing legal framework that may enable or limit Social Innovation), or of the “outcomes/impacts” (e.g. a policy reform as a consequence of lobbying of social movements).

## RE4: Realization

Once social practices are reconfigured into a new situation with changes in networks, attitudes and governance arrangements, the Social Innovation initiative typically starts to be implemented in practice by means of more structured and formally organized project(s). Activities such as planning and management, and how they are implemented, lead to outputs, which eventually lead to outcomes and impacts. These elements represent the realization of the Social Innovation, which includes its effects on beneficiaries.

Key dimensions of this part are: 2.6 “Project activities (Planning and management)”, 2.7 “Outputs” and 2.8 “Outcomes and impacts”.

### 2.6 Project Activities (Planning and Management)

#### Project activities

Project activities refer to all those daily working tasks, procedures and practical solutions that are realized in practice for managing the Social Innovation initiative in its implementation phases, when Social Innovation project(s) are established. Project activities encompass actions (e.g. planning and management), procedures and practices that are required for the Social Innovation project(s) to function and produce outputs, outcomes and impacts. Project activities can become recurrent, when the Social Innovation project(s) is/are consolidated.

Typically, project activities refer to the planning and management of various types of resources, e.g. human resources, financial resources, social resources (both internal and external). They also include the management of documents and administrative procedures, monitoring and evaluation.

---

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 Social Innovation the narrower meaning of governance is expected to apply. The focus is on public-private (network) interactions, e.g. in relation to particular roles of public actors and institutions in defining the ‘rules of the game’ and collaborate with other stakeholders.

<sup>38</sup>Ménard (1995); Polman (2002); Kjær (2004).

<sup>39</sup>BEPA (2013: 42).



Examples of project activities that take place in Social Innovation project(s) are:

- organising ad hoc training sessions on new communication tools, for Social Innovation partners;
- periodically arranging meetings for sharing information about advancements and future projects;
- managing the internal decision-making process;
- paying salaries;
- selecting suppliers and managing procurement;
- keeping in contact with local authorities not directly involved in the Social Innovation initiative (networking and lobbying);
- fundraising (e.g. to design and implement crowdfunding);
- managing human resources;
- managing new investments and planning future ones;
- searching for educational and training needs with respect to the Social Innovation objectives and projects;
- managing, updating and archiving documents;
- replying to requests of clients or inhabitants interested in the Social Innovation project;
- monitoring the Social Innovation project advancements and changing plans if necessary;
- evaluating the effectiveness of the project and other relevant aspects.

Project activities include all the aspects required to manage the Social Innovation project(s) as formulated by the reconfigured social practices. They are located in a different temporal phase compared to the preparatory actions (see Section 2.4 “Preparatory actions”), and are different in essence, quality and relevance. For example, lobbying can play a relevant role in the preparatory action phase and a secondary role in the project activities phase.

Procedures specify how certain activities should be carried out. They can exist in written form, or be agreed orally and adopted by everyone in their working practices. As in businesses, the procedures for managing procurement within a Social Innovation project might be agreed by the core group and visualized using an organisational flow chart which specifies who has to do what and by when. Practices refer to the practical implementation of procedures. It is possible that practices will differ from what has been planned.

Project activities such as planning and management can be carried out by the actors-agents in the core group (innovator(s) and follower(s)) or by others. Others can be: i) those who joined the Social Innovation at later stages, e.g. during the reconfiguring (transformers); and/or ii) external actors/consultants who are appointed/contracted for a special activity (e.g. financial accounting of the Social Innovation project).

More generally, it is typical for certain actors to be involved in the implementation of a Social Innovation project(s). These actors (Table 2.5.) are:

- i) the project coordinator;
- ii) the project manager;
- iii) the project partners.



Table 2.5. Key actors involved in the implementation of Social Innovation project(s).

<b>Project coordinator</b>	<p>The individual, enterprise, organization, institution or network that takes the lead of the Social Innovation project(s).</p> <p><i>E.g. A rural cooperative that decides with its members, such as individual farmers, to promote a new social business model based upon an integrated set of social farm activities for the benefit of people with disabilities of the territory.</i></p>
<b>Project manager</b>	<p>The person who is responsible for the daily management of the Social Innovation project(s). Typically they are the only person within the organization who is coordinating the project(s). They can be external and work under a contract with the Social Innovation project(s).</p> <p><i>An example of the first case is the Director of the cooperative responsible for the Social Innovation project on social farming with disabled people.</i></p> <p><i>An example of the second case is a contracted Project Manager with skills in financial accounting and project management who will take control of the appropriate and legal use of financial resources, respect of deadlines, legal requirements, etc.</i></p>
<b>Project partner</b>	<p>Each individual, organization, enterprise, institution or network that contributes technically to the Social Innovation project(s) and is responsible for the implementation of one or several project actions.</p> <p><i>E.g. the members of the cooperative who first decided to take part in the initiative when it was a pilot and have supported the cooperative in its initial efforts to develop the new social business model. Typically, the first project partners pay the initial and early stage operating costs for implementing the new social business model on their own farms. Other project partners, who join the network later, may be different actors: e.g. a NGO historically working with disabled people that offers ad hoc training activities for the farmers of the cooperative.</i></p>

Source: SIMRA project.

Other relevant aspects considered in the SIMRA evaluation framework are the support provided by project partners and external agencies, as well as the beneficiaries (see Section 2.7).

## 2.7 Outputs

### Outputs

Outputs are the first, immediate results in terms of products, services, and capabilities delivered by and derived from the Social Innovation project(s). They are identifiable and quantifiable (measurable), often tangible, typically visible in the short-term and refer to the creation of opportunities for changes in interactions and behaviour. They are not yet the effects of the Social Innovation project(s) implementation on beneficiaries; rather, they create the conditions for the effects to be produced.

Outputs are typically tangible, i.e. products and services delivered by the Social Innovation project(s) for the benefit of certain target groups (e.g. a vulnerable group of beneficiaries – see previous Section 2.1 “Trigger and social needs”). Examples are: options created for the inclusion of disabled people in a farm’s activity; educational sessions organized on transition to low carbon energy systems; specialized training offered on organic farming; e-marketing tools and communication services designed for supporting the farmers involved in the Social Innovation network.

However, intangible outputs also exist: examples can be information provided; dissemination of ideas for new projects; and the creation of opportunities for networking.

Outputs are the first response provided by the agency to the initial social needs, societal challenges or governance shifts, by means of the implementation of the Social Innovation project(s). They are



important for the relevance of the Social Innovation idea and the project(s). However, they are not the effects of the Social Innovation project(s) on beneficiaries; rather, they are products, services or capabilities that create the conditions for the effects to be produced on beneficiaries. Outputs are designed for the eventual creation of outcomes and impacts, but this is not guaranteed in practice.

For example, a training course on the inclusion of migrants in farming activities offered by a Social Innovation project, with migrants as target audience (the training course is the output of the project) does not necessarily lead to outcomes on migrants and impacts on the whole society. Whether the training course will determine outcomes (i.e. migrants inclusion in farming activities) will depend on how many farmers attend the course and if that leads to them offering migrants feasible options for inclusion. Whether the training course (output) will have impacts (i.e. positive consequences for both the beneficiaries and the community) depends upon how many migrants will be included in farming activities and how they will be affected (direct beneficiaries) and the quality of life of their families and relations (indirect beneficiaries, the whole community).

## 2.8 Outcomes and Impacts

### Outcomes and impacts

Outcomes and impacts are effects of the Social Innovation project(s).

Outcomes derive from the use of the outputs by the direct beneficiaries (target population) of the project. They are behavioural changes, both intended and unintended, positive and negative, that produce new routines, decisions, rules and institutions.

Impacts derive from an accumulation of outcomes having broader effects, i.e. also on indirect beneficiaries of the project. Typically, they are long-term changes, both intended and unintended, positive and negative, that produce new routines, rules and institutions in the whole local community and society (they are changes of state within the system context). Impacts can also be absent.

Outcomes and impacts belong to the same category of effects of the Social Innovation project(s), however they affect different groups. Outcomes are effects on direct beneficiaries, impacts are effects on indirect beneficiaries (Table 2.6).

*Table 2.6. Who are the direct and indirect beneficiaries?*

<p><b>Project direct beneficiaries</b></p>	<p>Direct beneficiaries are those who benefit directly from the outputs and outcomes of the Social Innovation project. These are the people who are targeted specifically by the Social Innovation project, i.e. those for whom the project outputs and outcomes have been designed.</p> <p><i>E.g. people with disabilities (vulnerable group) who will be included in the social farming activities and who will benefit from better social integration and performing jobs done in close contact with nature.</i></p>
<p><b>Project indirect beneficiaries</b></p>	<p>Indirect beneficiaries are those who are linked with a relationship to direct beneficiaries and so will indirectly benefit from the outputs and outcomes of the Social Innovation project, thus experiencing the impacts of Social Innovation. These are the people who are not targeted specifically by the Social Innovation project outputs and outcomes, but who get some benefits from them (in principle, society as a whole).</p> <p><i>E.g. the families or colleagues of people with disabilities who will benefit from a reduced amount of hours devoted daily to the assistance of their family member with disabilities, and/or of better relationships during the working hours.</i></p>

Source: SIMRA project.

Outcomes and impacts may be associated with different lengths of time, with outcomes emerging in the medium-term and impacts in the long term. Length of time is associated with the direct or



indirect connections between the Social Innovation initiative and the groups of beneficiaries it affects: the closer the link, the faster the effect becomes evident. Outcomes and impacts may happen immediately after the Social Innovation project(s) is active, or become evident months or years later. Impacts are often considered to be “results on the ground”<sup>40</sup>. In impact evaluations<sup>41</sup> they are also called “final outcomes” and are associated with long-term goals.

As an example, Figure 2.2 shows where outcomes and impacts are positioned in a result-chain applied to a Social Innovation project launched in a community forest in the United Kingdom<sup>42</sup>. In this initiative, Non-Governmental Organisations, voluntary associations, and citizen’s committees are engaged in forest management, in collaboration and coordination with public forest administrations, to tackle the protection and enhancement of forest ecosystems and their services (for further information see <http://laisygoedwig.org.uk/>).

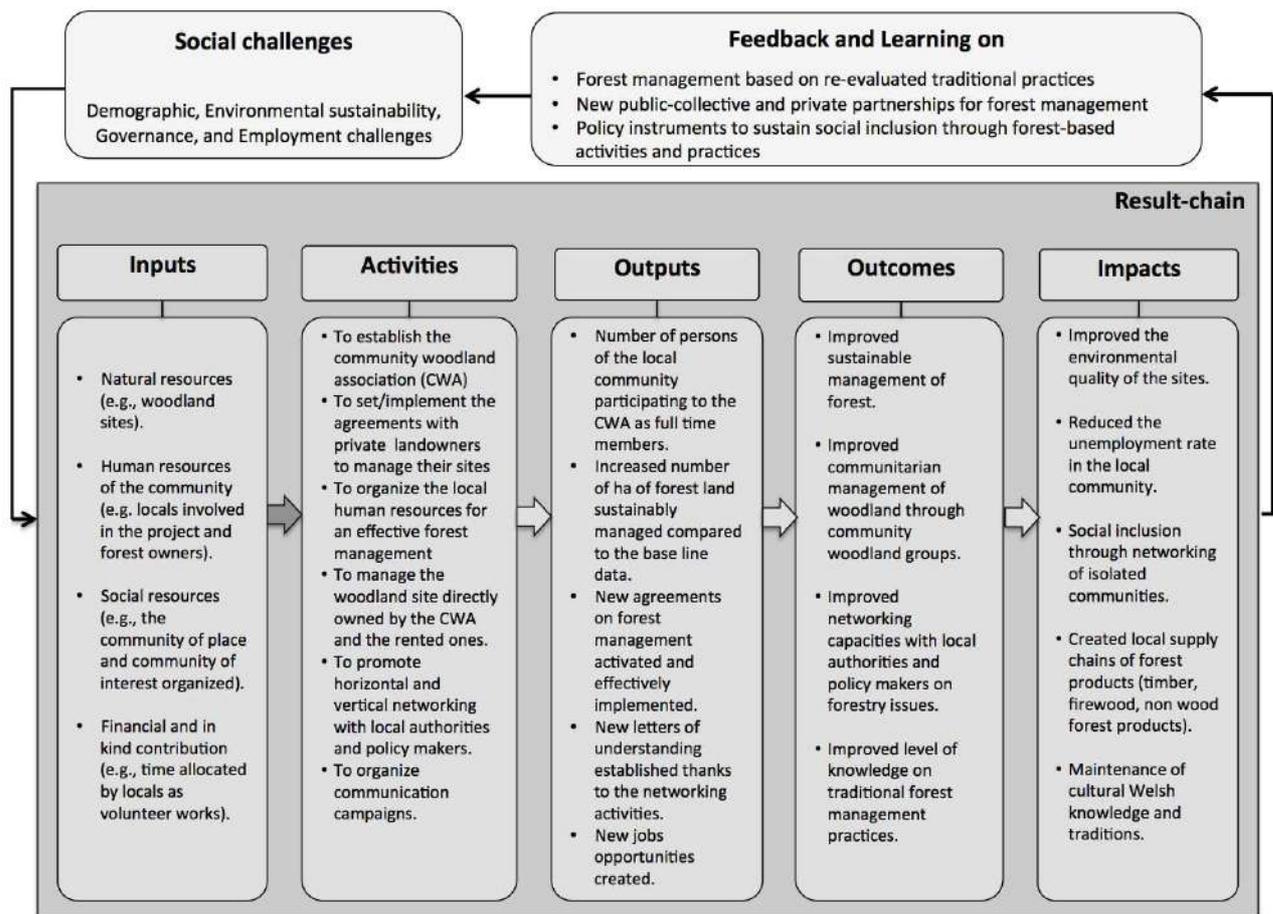


Figure 2.2. Key elements of the Theory-of-Change (ToC), and its related result-chain, applied in the case of *Community Woodland Llais y Goedwin* in Wales (United Kingdom). Source: Modified from Secco *et al.* (2019).

Outcomes and impacts can be physical, environmental, social, economic, and/or political. In marginalised rural areas impacts can be related, for example, to the enhancement of social cohesion and human wellbeing, competitiveness, self-organisation and resilience, higher education and skills. Impacts occur over different timescales, affect different actors and be relevant at different scales (local, regional, national and EU). They can be specific, discrete, and short term or they can be

<sup>40</sup> Emerson *et al.* (2011).

<sup>41</sup> Gertler *et al.* (2016).

<sup>42</sup> Bryce *et al.* (2017); SIMRA database; Secco *et al.* (2019).



broader, 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<sup>43</sup>.

In the SIMRA evaluation framework, depending upon the type, dimension and location of the Social Innovation initiative, outcomes and impacts may be related (primarily) to:

- environmental aspects: *e.g. the Social Innovation initiative is established in a rural area for running a new organic production system, or the transition of a rural community to low carbon energy systems;*
- social aspects: *e.g. the Social Innovation initiative is established in a rural area for the inclusion of newcomers or disabled people into farming practices;*
- economic aspects: *e.g. the Social Innovation initiative is established in a rural area to provide diversification of income based upon the multi-functionality of forests;*
- governance/institutional aspects: *e.g. the Social Innovation initiative is established in a rural area for creating new private-public coordination mechanisms and promoting coalitions to support policy reforms.*

Social Innovation initiatives are expected to have outcomes and impacts across a combination of these aspects. Table 2.7 reports the general meaning of impacts on the four domains explored by the SIMRA evaluation method, i.e. economy, society, environment and governance/institutions. Details are available in Tool 2 – Technical Annex to this Manual.

*Table 2.7. Impacts on economy, society, environment and governance/institutions of a Social Innovation.*

<p><b>Economic outcome/impact</b></p>	<p>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 initiative in the rural area.</p> <p><i>Note: the economic changes can be analysed in relation to different types of economic actors: 1) the Social Innovation initiative itself, represented as the organisation that provides products and services to a target population; 2) individuals and organisations connected to the Social Innovation initiative (e.g. suppliers, beneficiaries); 3) other actors working and living in the territory where the Social Innovation initiative is established who are not directly connected to the Social Innovation but who benefit indirectly (or experience negative consequences) from the economic performance because of products and services produced by the initiative.</i></p>
<p><b>Social outcome/impact</b></p>	<p>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 rural area.</p> <p><i>Note: the social changes are typically analysed in relation to the direct and indirect beneficiaries.</i></p>
<p><b>Environmental outcome/impact</b></p>	<p>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 rural area.</p> <p><i>Note: the environmental changes can be analysed in relation to the availability and quality of various types of natural resources (e.g. water to air, forest, soil, etc.).</i></p>
<p><b>Governance/institutional</b></p>	<p>Any change in the governance/institutional environment, whether adverse or beneficial, wholly or partially resulting from the activities or products or</p>

<sup>43</sup> Emerson *et al.* (2011).



<b>impact</b>	<p>services delivered by the social innovation in the rural area.</p> <p><i>Note: the governance/institutional changes can be analysed in relation to decision making process, private-public interactions, capabilities of public administrations, public reforms and other aspects. However, as governance is a term which is widely used but often not clearly explained, these are the most problematic impacts to be identified from the perspective of the evaluation.</i></p>
---------------	--

Source: SIMRA project.

## RE5: Replication

Once the Social Innovation project(s) have been implemented, the first outcomes (and/or long-term impacts) have appeared, the lessons learned start to be diffuse and the innovation can be replicated or proposed with adjustments in other territories. It is the phase of learning processes in which feedback loops, multiplier effects and critical effects can be observed.

The key dimension of this part is: 2.9. “Learning processes”.

## 2.9 Learning Processes

### Learning processes

Learning processes include feedback loops, multiplier effects and critical effects. They refer to positive, negative or neutral effects, intended or unintended, that may arise outside the area where the Social Innovation is realized. They can cover a larger spatial area and/or higher administrative levels compared to that of the original Social Innovation (e.g. regional or national instead of local), and/or at the expense of other areas or groups of people.

Four non-linear arrows in Figure 2.1 connect the boxes representing the outcomes and impacts with those representing the local, regional, national and international contexts. These illustrate the complex, often long and non-linear processes that characterise policy, institutional and social responses (feedback loops), and related learning processes and changes, to implementation of the Social Innovation, as well as interactions amongst actors over time and in different territories.

Feedback loops within the Social Innovation project can derive from project partners, external donors or local politicians. Reflections on the results of the Social Innovation project can refer to whether the Social Innovation initiative has reduced the level of marginality of the territory, and identified the elements that point to this reduction (i.e. whether the initiative has reached its goals). Positive and negative feedback loops can also be part of engaging in events outside of the territory of the Social Innovation, or by presenting the initiative to regional and national politicians.

Even if feedback loops happen and are relevant in several phases of the development of the Social Innovation, for the sake of simplicity and feasibility of the evaluation in practice, they are represented in Figure 2.1 for only the final phases of the initiative.

The four types of arrows referred to above show the responsiveness and the level of influence expected of learning lessons and feedback mechanisms, assuming that the Social Innovation initiative and its outcomes/impacts occur at a local level although its effects may be visible at other levels<sup>44</sup>. Learning processes (of success stories as well as of failures of Social Innovation) can support processes of scaling up or out of the Social Innovation, even in the absence of policy and financial support.

In particular, the continuous black arrow refers to the learning effects at the local level, where the reaction of the local context may be faster and more significant. The grey, discontinuous arrow, refers to effects that a local Social Innovation might determine at the regional level but are less

<sup>44</sup> The approach is consistent with Holling and Gunderson’s (2002) examination of adaptation within nested systems.



directly relevant or immediately visible. These effects may be less obvious, or become evident over a longer period of time. The light grey discontinuous arrow refers to effects that are less direct and evident in a national context, with slow responsiveness and comprising longer-term processes. The dark grey discontinuous arrow refers to effects that occur at the international/global level about which there is little evidence at the level of the Social Innovation.

Table 2.8 contains the types of effects that are associated with the learning processes according to the SIMRA evaluation framework.

*Table 2.8. Type of multiplier and critical effects of Social Innovation.*

<b>Feedback loops</b>	Feedback loops refer to sharing the Social Innovation results within the local community, e.g. through presentations or specific events. These can lead to a raising of interest, debates about issues and identifying trade-offs, and seeking opportunities and implementation beyond the sector or the beneficiaries reached.
<b>Multiplier effects</b>	<p>Typically considered as positive, they include scaling up, scaling out and replication.</p> <p>Scaling up considers whether the Social Innovation initiative has had an impact at higher levels, including in national policy or laws. It refers to moving an innovation into a broader system, such as when a Social Innovation is aggregated into a body of similar initiatives (e.g. at a national level). Scaling up to higher levels is not always possible as Social Innovation may depend on locally specific social relationships and contexts, which are not present at different spatial and socio-economic levels. Sometimes, scaling up might refer to the case of expansion of the Social Innovation with the progressive inclusion of more actors and beneficiaries.<sup>45</sup></p> <p>Scaling out refers to whether the Social Innovation initiative has been replicated or adopted outside the territory, in locations different to those where the Social Innovation has been realized.</p> <p>Replication refers to the reproduction and imitation of the same Social Innovation model within the same territory as that where the original Social Innovation was realized.</p>
<b>Critical effects</b>	<p>Typically considered as negative, they include deadweight, substitution/trade-off and displacement effects.</p> <p>In this manual, deadweight effects<sup>46</sup> refer to those changes observed in the economic, environmental or social situation of the beneficiaries of the Social Innovation, following the Social Innovation initiative, which would have occurred even without the initiative. This means that the Social Innovation did not achieve the expected goals and therefore there are unlikely to be impacts which are identifiable and attributable.</p> <p>Displacement refers to the effects obtained in one area at the expense of another area.</p> <p>Substitution and trade-off effects may happen when, at the expense of the target groups, the Social Innovation initiative benefits other people who are otherwise not qualified to participate.</p>

Source: SIMRA project.

<sup>45</sup> This case of Social Innovation expansion, in terms of size and e.g. number of actors involved at local level after some time, is not specifically explored in the SIMRA Evaluation Approach as a scaling up process. Instead, it is embedded in the dynamics of the progressive enlargement of the initiative from that of a few innovators, out to network members, and then to final beneficiaries. These dynamics can be expanded upon when the evaluation is carried out in-itinere.

<sup>46</sup> Handbook of CMEF, Guidance Note N, p.3.



### 3. The Fundamentals of the SIMRA Evaluation Approach

The community of evaluators has developed a wide range of categorizations of different evaluation approaches<sup>47</sup>. Three main parts constitute any evaluation approach: the “evaluation process”, the “evaluation methods” and the “evaluation tools”<sup>48</sup>. Each of these parts comprises elements and sub-elements of an evaluation, i.e. the fundamental set of options adopted in designing, applying and finalizing an evaluation.

In this Section, the fundamentals adopted in the SIMRA Evaluation Approach to design, apply and finalise the evaluation of Social Innovation initiatives in marginalised rural areas are presented. They are summarised in Table 3.1 and described in Sections 3.1 to 3.10, and Sections 4 to 6.

Table 3.1. Elements and sub-elements of the Evaluation Approach adopted in SIMRA

Elements of the Evaluation	Sub-elements of the Evaluation	The SIMRA Evaluation Approach
<b>A) EVALUATION PROCESS</b>		
<b>Subject of the Evaluation</b>	Project, programme, strategy	Social Innovation initiative in marginalised rural areas
	Scope of the evaluation	The Social Innovation initiative, as a whole or in its parts (Social Innovation process and/or Social Innovation project), and its impacts
	Scale	Spatial scale: at local level Social scale: micro and meso levels
	Sectors, themes and cross-cutting issues	Agriculture, forestry, rural development and related themes (e.g. renewable energy, tourism, inclusion of immigrants, women empowerment, health care, etc.)
<b>Timing of the Evaluation</b>	Stand-alone intervention (possibly not older than 5 years <sup>49</sup> )	Depending on the momentum of the development of the Social Innovation initiative, the evaluation can be: <i>in itinere</i> or <i>ex-post</i> . Ex-ante evaluation is possible only in relation to the Social Innovation project(s).
<b>Use of the Evaluation</b>	Evaluation users	Policy makers and designers; social innovation managers, partners and operators; scientists; public authorities and private operators interested e.g. in the transfer of lessons learned.
	Types of use	Help decision-making, articulate judgements on Social Innovation and/or to improve knowledge and understanding of it and its effects.
	Dissemination of the evaluation	To be planned and realized according to evaluation users.
<b>The Players and Their Roles</b>	Evaluation manager	Responsible for the evaluation. They can be external or internal to the Social Innovation initiative evaluated.
	Evaluation team	Responsible for data collection, data analysis, formulation of judgements and reporting in relation to evaluation questions. It should include local experts.
	Evaluation stakeholders	Stakeholders involved and interested in the Social Innovation initiative at local and/or regional levels.
<b>Focus of the Evaluation</b>	Eligibility	The Social Innovation initiative is evaluated with respect to its adherence to the SIMRA definition of Social Innovation.

<sup>47</sup> See Morra Imas and Rist (2009) and BetterEvaluation, ([www.betterevaluation.org/en/approaches](http://www.betterevaluation.org/en/approaches))

<sup>48</sup> EU EuropeAid (2006).

<sup>49</sup> Many of the impacts might not be observable after 5 years. However, by asking actors who were involved in the social innovation initiative about the events at the early stages of the Social Innovation there is potential to identify any biases in the responses and thus in the results.



	Details of the initiative	The Social Innovation initiative is explored with an in-depth analysis of dimensions and sub-dimensions of Social Innovation as described in the SIMRA Evaluation Framework.
	Conventional criteria	The Social Innovation initiative is evaluated with respect to the Relevance, Efficiency, Effectiveness, Impact and Sustainability criteria of evaluation.
	Combination	The Social Innovation is evaluated by combining the previous focus on the basis of case-specific evaluation needs.
<b>Steps of the Evaluation</b>	Steps to be undertaken by the evaluator	The evaluation process is divided into seven steps, which correspond to seven tasks to be carried out by the evaluator (Section 4).
<b>B) EVALUATION METHODS</b>		
<b>Intervention Strategy</b>	Intervention rationale	The SIMRA Evaluation Framework is designed and used for disentangling Social Innovation concept for the practice of the evaluation (see Section 2 of this Manual). It enables the identification of the Social Innovation initiative rationale and logic.
	Intervention logic	
<b>Evaluation Questions and Judgement Criteria</b>	Evaluation questions	Four steps of selection are needed for identifying the evaluation questions specific to the Social Innovation to be evaluated and the evaluation needs (see Section 4 of this Manual for details). These steps include the selection of general evaluation options, specific evaluation options, general evaluation questions and specific evaluation questions. This SIMRA Evaluation Approach enables a narrow and focused evaluation. The questions can be answered by using a combination of quantitative (indicators) and qualitative (narratives) analysis.
	Judgement criteria	In the SIMRA Evaluation Approach, on the basis of the evaluation framework and evaluation questions, different sets of indicators are developed as final elements to formulate judgement. They can refer to three aspects: i) the SIMRA definition of Social Innovation in marginalised rural areas, ii) the dimensions of Social Innovation as defined by the SIMRA Evaluation Framework and iii) the relevance, efficiency, effectiveness, impact and sustainability (conventional evaluation criteria) of the Social Innovation.
<b>Methodological Design</b>	Strategy and tool for data collection	A specific strategy for data collection (e.g. sampling of people to be involved) has to be defined for each Social Innovation initiative to be evaluated, achieved by adapting the overall methodology proposed in this Manual.
	Data collection tools	Eight Tools are proposed in the SIMRA Evaluation Approach. They include four quantitative tools (questionnaires: Tools 3, 4, 5 and 6), two qualitative tools (semi-structured interviews: Tools 7 and 8) and two mixed tools (desk work: Tool 1 and Focus Group: Tool 2). They have to be used in combination (see Section 5 of this Manual for details and Technical Annex 1).
	Data entry and data analysis tools	Three data entry tools are proposed in the SIMRA Evaluation Approach. They include a MS Excel file for the entry of data collected with questionnaires and mixed tools (Focus Group and desk work) (quantitative analysis), and two tables that guide the evaluator in interpreting and reporting data collected with semi-structured interviews (qualitative analysis and policy



		document analysis) (see Section 6 of this Manual for details).
	Impact evaluation	Two approaches are proposed, based on the contextual conditions of the Social Innovation: - the core approach: counterfactual “before-after”, it can be used in any case of Social Innovation initiative to be evaluated; - the complementary approach: counterfactual “diff-in-diff”, based on robust statistical techniques, only when applicable and if appropriate.
	Policy analysis	Policy analysis is based on three steps, combining policy document analysis and survey of local actors. This follows the innovation system approach and is based on ex-post survey of actors, institutions and policies that are relevant for the Social Innovation initiative.
<b>C) EVALUATION TOOLS</b>		
Combination of Tools	Data analysis and reporting	Qualitative and quantitative tools are used in combination for data analysis: semi-structured interviews (open questions, storytelling), structured interviews (questionnaires with open and closed questions), Focus Groups, expert panels, context indicators, social network analysis, stakeholders analysis. Reporting of the evaluation results should integrate both quantitative and qualitative information, and provide an overall comprehensive evaluation of the Social Innovation evaluated.

Note: this table and the following explicatory text is based on EU EuropeAid, 2006 (Evaluation methods for the European Union’s External Assistance). The materials have been interpreted and applied to the evaluation of Social Innovation according to the SIMRA Evaluation Approach.

## A) The SIMRA Evaluation Process

The Evaluation Process is characterized by four elements: 3.1) the subject of the evaluation, 3.2) the timing of the evaluation, 3.3) the use of the evaluation, and 3.4) the players of the evaluation and their roles.

### 3.1 Subject of the Evaluation

The subject of the evaluation defines what the evaluation is applied to. It includes four sub-elements: 3.1.1) the topic of the evaluation, 3.1.2) the related sectors, themes and cross-cutting issues, 3.1.3) the scope of the evaluation, 3.1.4) the scale of the evaluation.

#### 3.1.1 Topic: The Social Innovation initiative

Typically, the topic of an evaluation is a project, a programme or a policy/strategy. The topic of the SIMRA Evaluation Approach is *the Social Innovation initiative*, i.e. any Social Innovation venture that occurs in marginalised rural areas<sup>50</sup> (as defined by Polman *et al.*, 2017 - see Section 1 of this Manual).

In the SIMRA Approach, the Social Innovation initiative comprises two parts. The first part is the Social Innovation process, and the second is the Social Innovation project. The two parts refer to

<sup>50</sup> The SIMRA Evaluation Approach has been designed and empirically tested in relation to social innovation initiatives launched in European and non-European Mediterranean countries, and it can be applied in other rural contexts (e.g. non marginalised rural areas, non-Mediterranean countries).



different, sequential parts and dimensions of the SIMRA Evaluation Framework (see Section 2), as illustrated in **Figure 3.1**.

The *Social Innovation process*<sup>51</sup> occurs with the emergence of the Social Innovation idea in a certain perceived context, the preparatory actions undertaken by the core group (innovator(s) and follower(s)), through the reconfiguring and reconfiguration of social practices. It refers to the initial courses in the creation of the social innovation through to the reconfiguration of social practices, paving the way to the Social Innovation project. A process is dynamic in nature, i.e. it is a continuous movement. Therefore, it is challenging, within an evaluation study, to capture the complexity of its movements to be able to understand how they affect the production of results. The SIMRA Evaluation Approach takes “snapshots” of the process at different moments of time (e.g. at the initial stage of the emergence of idea, during the reconfiguring and at the end of it), and enables the creation of the storyline of its entire development. The main actors of the Social Innovation process are innovator(s), follower(s) and transformer(s).

The *Social Innovation project*<sup>52</sup> is made up of those tasks and activities that are implemented for realizing in practice the Social Innovation idea after its development throughout the Social Innovation process. The Social Innovation project is the way for innovators, followers and transformers to provide an answer to the social needs. Typically, the implementation occurs due to internal (e.g. individuals, organizations, networks which participate) and external (e.g. funds) resources. These include planning and management, as well as monitoring and evaluation of project results. In case of a Social Innovation process that leads to multiple Social Innovation projects, it is the responsibility of the evaluator to select which project(s) is/are included in the evaluation (and therefore are evaluated) and which are not (see Section 3.1.2 and the Technical Annex). The main actors of the Social Innovation project(s) are project partners.

---

<sup>51</sup> In the SIMRA Evaluation framework, it includes the parts of Reflection (RE1), Reaction (RE2) and Reconfiguring (RE3), which are described in Section 2.

<sup>52</sup> In the SIMRA Evaluation framework, it includes the initial part of the Realization (RE4), which is described in Section 2.

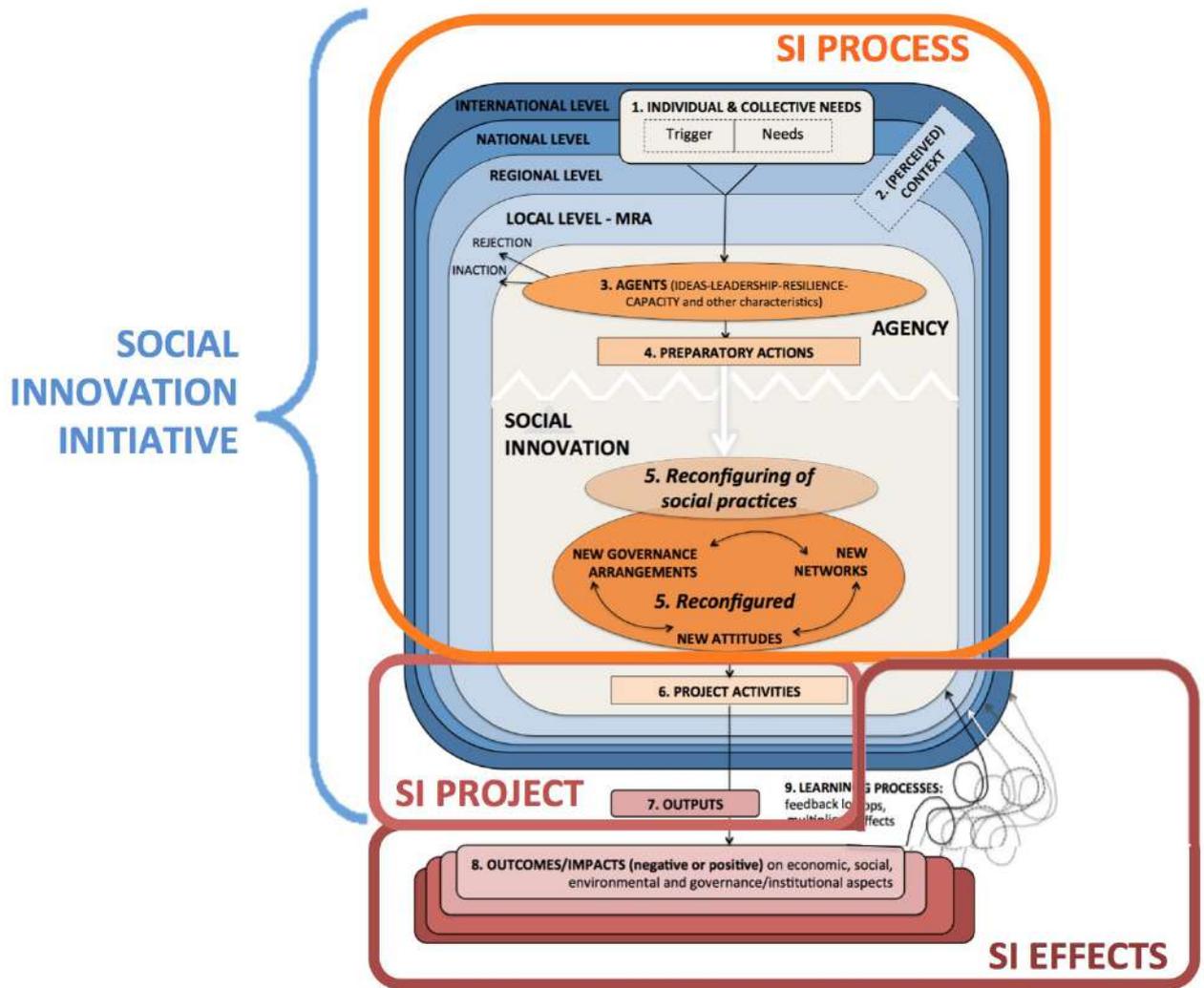


Figure 3.1. The Social Innovation (SI) initiative with its parts of process and project, and its effects. (Source: SIMRA project based upon Secco et al., 2017).

### 3.1.2 Scope: The Social Innovation initiative, with selected project(s) and its/their effects

The Social Innovation initiative, through its process and project/s, leads to Social Innovation effects. Depending on the objectives of the evaluation (see Section 4), the scope of the evaluation in the SIMRA Evaluation Approach can be to evaluate:

- 1) the Social Innovation initiative as a whole, meaning that the two parts (i.e. the Social Innovation process and the Social Innovation project(s)) are evaluated in conjunction with each other;
- 2) one of the two parts of the Social Innovation initiative, i.e. the Social Innovation process or the Social Innovation project(s), is evaluated individually;
- 3) the Social Innovation initiative and its effects together; or
- 4) the effects of the Social Innovation initiative.

The SIMRA Evaluation Framework and Approach is aligned with, and expands, the Theory of Change (ToC) and results chain (see Sections 1 and 2 of this Manual), illustrated in Figure 3.1.



The *sequence of a Social Innovation process, that leads to a Social Innovation project, and subsequently leads to Social Innovation effects* is simplistic but it is adopted here for the needs of evaluation practice. Despite the disadvantages of being a linear approach, the Theory of Change has the positive elements of making clear the components of the process with respect to the project, and their immediate results (outputs) and effects. This helps in the identification of the cause-effect relationships between an intervention (a Social Innovation initiative that realizes Social Innovation project(s) in a marginalised rural area) and its *effects*<sup>53</sup>. These effects could impact the economic, social, environmental and/or institutional/governance domains.

Effects can be determined by one or more Social Innovation projects. The main actors affected by the Social Innovation effects are direct and indirect beneficiaries.

***In the case of a single project*** If the Social Innovation process leads to only one Social Innovation project, the scope of the evaluation includes only that project with its outputs and effects.

### ***In the case of multiple projects***

If the Social Innovation process leads to more than one Social Innovation project, the scope of the evaluation can be specified by the evaluator, who selects the specific project or projects to be evaluated. This enables a better definition of the “boundaries” of the evaluation and understanding of what actors, actions, documents, data, outputs, outcomes, impacts and learning processes are in and what are out of the evaluation process.

Figure 3.2 represents the case of a Social Innovation initiative that includes three different Social Innovation projects (Project A, Project B and Project C<sup>54</sup>). Each project leads to specific outputs, determines specific outcomes/impacts and generates different learning processes. In this example, the evaluator selected Project B for being in the scope of the evaluation (delineated by the orange line), while Projects A and C were excluded.

The SIMRA Evaluation Approach is designed to include only one project in the scope of evaluation, decided by the evaluator. It can be the most recent project, the one the one which is most important in terms of the amount of resources allocated, the largest in terms of number of beneficiaries reached, or the most relevant for the social needs that led to the Social Innovation initiative.

In each of these cases a key criterion for selection is the timing. The project should not have been running for more than 5 years (see also Section 3.2 of this Manual).

However, the evaluator may decide to include more than one project in the scope of evaluation. In this case, projects have to be analysed case by case, not in an aggregated way. Analysis is project specific and the total contribution cannot be measured as a “sum” of the contributions by the various projects.

Moreover, in the case of a Social Innovation with multiple projects, the evaluator should take careful account of the trade-off effects or possible “deadweight loss effects” due to those projects not included in the evaluation. These should be highlighted in a dedicated section of the Final Report of Evaluation (see sub-Section 6.3).

---

<sup>53</sup> In the SIMRA Evaluation Framework, it includes the final part of the Realization (RE4) and the part of Replication (RE5), which is described in Section 2.

<sup>54</sup> The loops of box “9. Learning processes” are not represented for Project C, for the sake of clarity of the figure.

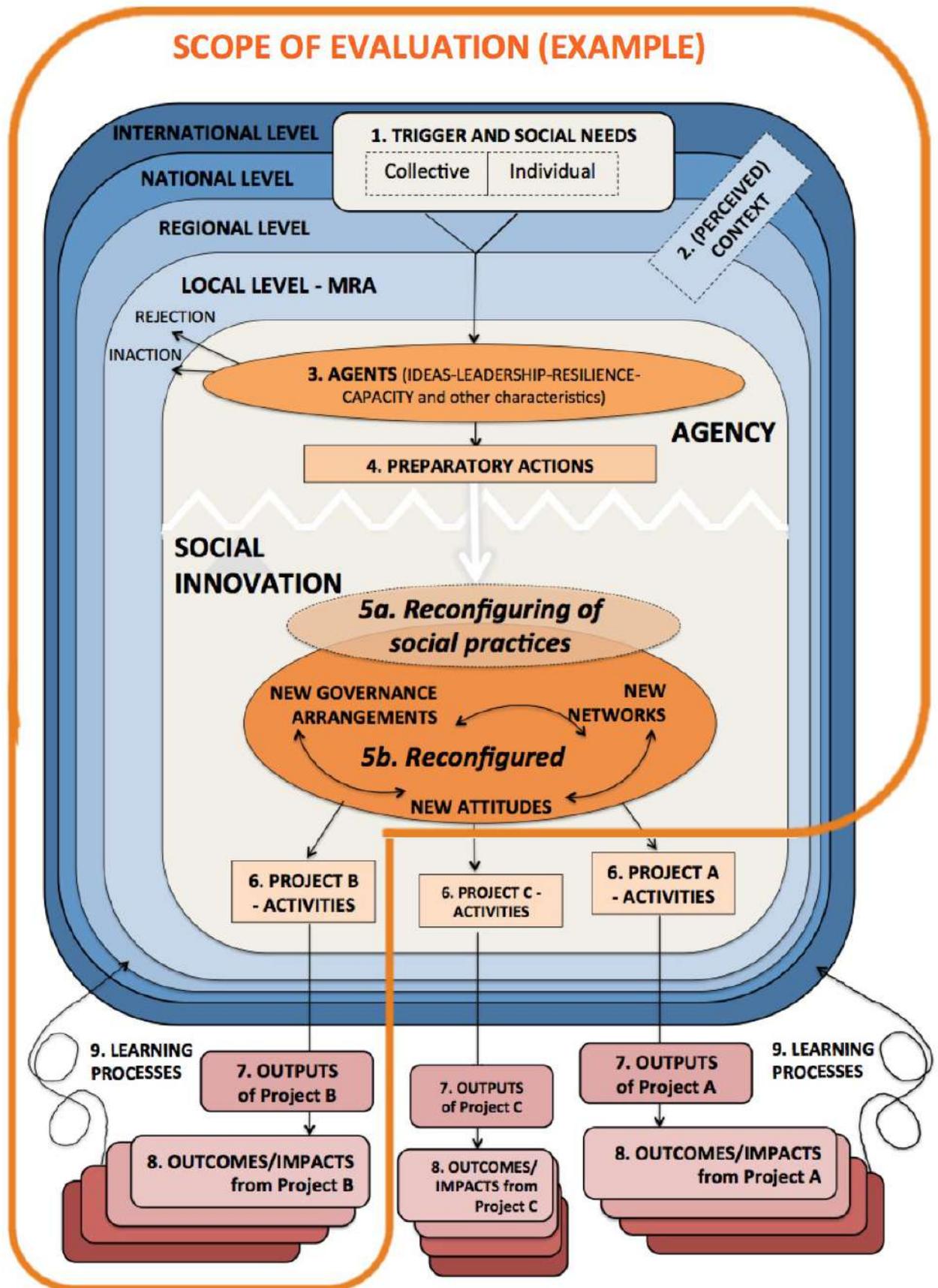


Figure 3.2. An example of the scope of evaluation: a Social Innovation process that determined Project B with its effects. (Source: SIMRA project based upon Secco et al., 2017).



### 3.1.3 Sectors: Primary production and rural development

The SIMRA Evaluation Approach is a result of empirical tests (e.g., Social Innovation initiatives that have been evaluated) conducted in agriculture, including livestock and fishing, forestry, rural development and related themes (e.g., renewable energy, tourism, immigrants' inclusion, women empowerment, health care) in marginalised rural areas. For being applied to other sectors, the Approach and its methods should be adapted.

### 3.1.4 Scale

In the SIMRA Evaluation Approach, three scales<sup>55</sup> are relevant: the spatial, the social and the temporal.

#### *Spatial scale: local level*

The spatial scale is relevant in various ways, enabling:

- a) reference to the geographical location of the Social Innovation initiative, thus checking whether it is (or not) located in a marginalised rural area (e.g. for the eligibility of the case to get funds by public policies in future);
- b) examination of the territory/area where the Social Innovation emerges and is conditioned by (i.e. the context);
- c) analysis of the territory/area where the Social Innovation determines its effects (i.e. impacts).

The levels of analysis can be global, regional at supra-national level, national, regional at sub-national level, provincial or local.<sup>56</sup> In analysing Social Innovation and its impacts in rural areas, the SIMRA Evaluation Approach applies at the *local level*, considering administrative boundaries of territories.

This is based upon several considerations:

- i) Social Innovation often happens at the local level, where individuals, single organisations and local networks matter in the implementation of projects<sup>57</sup>.

---

<sup>55</sup> The spatial scale applies to geographical areas, the main levels of analysis of which are global, regional, landscape and patch. The temporal scale applies to time frequencies, levels of which are 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 dimension analysed refers to administrations (Gibson *et al.*, 2000; Veldkamp *et al.*, 2011). Typically, the levels are inter-governmental (e.g. EU), national, provincial, localities (e.g. municipalities, towns); but others are also used (e.g. based on aggregations of localities – such as the “Unions of Municipalities” in mountainous areas in Italy). Scales can also apply to social sciences, social systems, actors and businesses as well as decision-making processes, that can be analysed by using a social scale, which typically refers to micro, meso and macro levels.

<sup>56</sup> To analyse physical or socio-economic phenomena, such as Social Innovation, we consider administrative boundaries of territories (Gibson *et al.* 2000). SIMRA uses the subdivision of the European Union territory provided by EUROSTAT (Price *et al.*, 2017). 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: NUTS1 corresponds to groups of regions within the Country (formally NUTS0); NUTS2 corresponds to the regional level at sub-national level; NUTS3 corresponds to the provincial level at sub-national level. The LAU levels are the upper LAU level (LAU1, formerly NUTS4), which is defined for most, but not all EU countries; and the lower LAU level (LAU2, formerly NUTS5), which corresponds to the most detailed level of analysis i.e. municipal. Depending upon the size, not all countries have every level of division: the upper LAU level (LAU1) is not defined for all of the countries; 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, and has to be identified by the evaluator her/himself.

<sup>57</sup> Secco *et al.* (2014).



- ii) Social Innovation emerges in a multi-level context. While various dimensions and sub-dimensions<sup>58</sup> of Social Innovation may occur at any spatial level (e.g. the trigger can be international, such as a global financial crises), depending on the case, their effects (e.g. loss of jobs) and reactions (e.g. new social services to support poor families) appear and are relevant at local level<sup>59</sup>.
- iii) The majority of the examples of Social Innovation that are included in the online catalogue in the SIMRA Web Site<sup>60</sup> are cases developed at a local level, with a relatively limited territory and size.

In the practice of SIMRA evaluation, there are three main situations:

- a) *The local level at which the Social Innovation occurs in a certain territory has clear boundaries*: all the actors involved in the Social Innovation initiative, including the beneficiaries, are located in the same municipality. For example, a Social Innovation initiative is launched and implemented by a group of landowners within the same municipality, and beneficiaries also live in the same municipality. In this case, the unit of analysis refers to a single municipality (LAU2).
- b) *The local level at which the Social Innovation occurs in a certain territory has unclear boundaries*: all the actors involved in the Social Innovation initiative, including the beneficiaries, are located in the same municipality. For example, a private-public hybrid network engaged in different nearby areas but not in the same municipality, such as it happens typically with the Local Action Groups of the EU LEADER programme. In this case, the unit of analysis refers to more than one municipality (scaling up to a territorial or landscape level), and at different jurisdictional levels<sup>61</sup>, and probably will be an aggregation of LAU2 units, the dimension/size and borders of which will depend on the Social Innovation initiative and territory where the initiative is implemented. For simplicity, even when the analysis refers to a larger spatial unit with respect to a single LAU2 unit (case a, above) and thus it corresponds to a spatial meso-level of analysis, in the SIMRA Evaluation Approach it is referred to it as “local level”.
- c) *The Social Innovation is structured into different layers, at various jurisdictional and spatial levels*<sup>62</sup>. Generally, this is the case of advanced or mature and well-consolidated Social

---

<sup>58</sup> The Social Innovation concepts have been explicated to guide the evaluation - see the SIMRA evaluation framework in Section 1 of this Manual.

<sup>59</sup> Oosterlynck *et al.* (2013); Baker and Mehmood (2015).

<sup>60</sup> Bryce *et al.* (2017).

<sup>61</sup> As explained, for methodological reasons, the relevant spatial level of analysis is the local one. However, multi-level and trans-boundary (trans-national or trans-regional) interconnections are also considered, especially by identifying links of the Social Innovation initiative in terms of networks among actors who belong to different jurisdictional and spatial levels. This enables some understanding of urban-rural-periurban relationships and linkages existing between organisations and consumers of a Social Innovation initiative located in different spaces.

<sup>62</sup> 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 Social Innovation initiatives mainly focused on social inclusion and employment of disadvantaged people through their active involvement in farming activities. Some of the local Social Innovation initiatives are located in marginalised rural areas, but the national network also includes initiatives in urban areas or in rural areas that are not marginal or marginalised. At a local level, the single initiative is based on networks of many actors (e.g. farms, social cooperatives, host communities, parent's 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). Then these Regional Forums are 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



Innovation initiatives, which started initially from one (or a few separate) local Social Innovation 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. To scale up means to move the innovation to a broader system, e.g. bringing it to a regional or national level. In the latter case, local Social Innovation initiatives are connected both with Social Innovation initiatives located in different areas, thus creating horizontal networks, and with entities built at a higher jurisdictional level by the horizontally networked Social Innovation initiatives, thus creating vertical networks.

Typically, the latter is for the purpose of representing the Social Innovation initiatives in the political debate at a regional and/or national context, and for obtaining greater visibility and recognition e.g. by the public authorities and private donors. When this happens, the whole Social Innovation initiative can be described as a network of networks. However, what matters (and what can be measured) are the impacts determined by the initiative on the social needs and/or societal challenges in each context, i.e. again at local level. Therefore, even in these complex cases, where the Social Innovation 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 evaluator will select which Social Innovation initiatives at a local level to include in the scope of the evaluation. These Social Innovation initiatives 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 various local initiatives.

### ***Spatial scale: The micro and meso levels***

The social scale is relevant in various ways. It enables: a) analysis of the individuals who are involved, in various roles, in the Social Innovation initiative; b) examination of the social groups or networks that interact within the Social Innovation initiative; and c) exploration of the broader system of networks that characterize large-scale social processes.

Along the social scale, socio-economic entities<sup>63</sup> are considered, and levels of analysis can be micro, meso and macro.<sup>64</sup> In analysing Social Innovation and its impacts in rural areas, the SIMRA Evaluation Approach combines the micro and the meso levels. In particular:

- a) *data are collected at the micro level of analysis*, where the statistical units of analysis are individuals or single organisations or small local networks that act in and for the Social Innovation initiative. These individuals are, for example, the Innovator(s) and Follower(s) (interviewed in the practice of the evaluation);

---

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 is available on 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](http://www.maie-project.eu/fileadmin/user_upload/de/dateien/newsletter_FNAS_Italy_eng.pdf)

<sup>63</sup> Blalock (1979); Krugman *et al.* (2013); <http://www.tropentag.de/2007/abstracts/full/240.pdf>.

<sup>64</sup> To analyse socio-economic entities, the micro level can refer to individuals (individual attitudes, face-to-face interactions) or small groups (family, a single organisation or small association); the meso level to larger social groups or networks (e.g. residents in a certain area, cooperative groups, a federation of companies working in the same sector), related to a cooperation system (i.e. a cluster or network of entities, typically collective); and the macro level to institutionalized large-scale social processes (e.g. the whole population of a country), to a cluster of clusters, i.e. a broader network system. These meanings are different from those applied in economics, where the micro level is typically a single company or an individual (e.g. a consumer, a producer); the meso level 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. The meso level is not a generally accepted term in mainstream economics and various proposed definitions are not consistent.



- b) *social and economic (as well as institutional and environmental) impacts are examined at the meso level of analysis, where the statistical units of analysis is the Social Innovation initiative and the territory where the Social Innovation project is implemented, that can involve larger social groups or networks (e.g. residents in a certain area, a federation of companies working in the same sector, collaborative groups), often interconnected (i.e. larger networks of entities).*

At present, the macro level is out of the scope of the SIMRA Evaluation Approach, as a great amount of empirical evidence about Social Innovation initiatives is needed to expand the scale of analysis to a broader system of networks and larger-scale social processes. With the current state-of-the-knowledge, the analysis is appropriate if it remains at the micro and meso levels.

## 3.2 Timing of the Evaluation

### 3.2.1 Temporal scale: Sequential and linear

The SIMRA Evaluation Approach, based on an expanded Theory-of-Change and result chain, is designed for analysing cause-and-effects of Social Innovation with a sequential temporal scale. Any initiative of Social Innovation can be described in its various phases over time, i.e. Reflection (RE1), Reaction (RE2), Reconfiguring (RE3), Realization (RE4) and Replication (RE5). These temporal phases are consistent with the ones of traditional policy cycle<sup>65</sup>, i.e. conception, formulation, realization and final evaluation, typically focusing on impacts. As already discussed in Section 2 of this Manual, in any real situation of Social Innovation several “reverse loops” might occur. However, in the SIMRA Evaluation Framework they are represented as sequential temporal phases of a problem-solving model. Such reverse loops could be due to: i) the process being stopped and it evolving in a different direction with respect to the initial one; ii) new triggers emerging at a certain point of the Social Innovation development that determine a different evolving process; iii) the process is not linear neither consequential; iv) outputs are not always derived from planned activities; v) outcomes have impacts at various spatial levels. The process represented in Figures 2.1, 3.1 and 3.2 could also be designed as a cycle, with outcomes/impacts leading to more action (upscaling and outscaling) (see an example in GIZ, 2013) rather than as a linear process through time. However, its graphical representation would be more complex and less effective for the practice of evaluation. Notwithstanding the inevitable simplifications, such a temporal approach enables the identification, in a simple way, of the different dimensions of Social Innovation that can be evaluated and the relevant criteria of evaluation.

### 3.2.2 Possible momentums of evaluation: in-itinere and ex-post

In the SIMRA Evaluation Approach, timing is considered in terms of *the momentum of evaluation with respect to the phases of the Social Innovation initiative*. In Social Innovation only two options are feasible:

- i) The Social Innovation is to be evaluated in any one of its development phases (Reflection - RE1, Reaction- RE2, Reconfiguring - RE3 and initial steps of Realization - RE4), i.e. the evaluation is carried during or immediately at the end of the initiative, in which case it can be classified as *in-itinere*. This evaluation typically helps to draw lessons from the first periods of actions and activities and to adjust the ongoing processes and practices in relation to unexpected conditions or changes (e.g. in the actors, in context, etc.). Typically, impacts are not visible at this stage.
- ii) The Social Innovation initiative has ceased to exist (i.e. it is completed, ended or stopped), at any stage of its development (e.g. it can stop even during the reconfiguring process), in

---

<sup>65</sup> E.g. Easton (1957); Krott (2005).



which case the evaluation can be classified as *ex-post*. In this case, only if the Social Innovation was implemented through project(s), and thus it reached at least the last phase of Realization (RE4) and possibly Replication (RE5), can impacts be sought as well as the sustainability of the initiative's benefits.

An ex-ante evaluation with respect to the Social Innovation initiative is not feasible, as it is hard to predict where and how innovative ideas will emerge. This is because a “magic” combination of factors (for example attitudes and capacities of innovator(s), or a trigger that stimulate the action) is needed, while single factors (e.g. funds availability) might be useful but not sufficient to support the rise of Social Innovation. An ex-ante evaluation might be possible, although only with respect to the Social Innovation project(s) phase. In this case, the evaluation would remain focused on the Social Innovation process (Reflection – RE1, Reaction – RE2 and Reconfiguring – RE3).

### 3.2.3 Timing with respect to the launch of the Social Innovation initiative

The SIMRA Evaluation Approach is designed for, and optimally applied in, Social Innovation initiatives (each one considered as a stand-alone intervention) that are not older than 5 years. However, in certain conditions (e.g. mature and long-lasting initiatives that are well documented and where the innovator(s) initially involved is/are still alive and with a good memory of events), the evaluation can be applied to older cases. The decision on whether to do so is that of the evaluator.

## 3.3 Use of the Evaluation

The use of the evaluation includes three sub-elements: 3.3.1) the evaluation users, 3.3.2) the types of use, and 3.3.3) the dissemination of the evaluation.

### 3.3.1 The evaluation users

The main target users of the SIMRA Evaluation are expected to be:

- i) *policy makers and policy designers*: they can use the SIMRA evaluation to prepare policy interventions on Social Innovation in rural areas, the choice of strategic orientation towards Social Innovation, and decisions on allocation of financial, human and other resources on Social Innovation initiatives. They need information on Social Innovation that directly feed into the decision-making process (e.g. what context conditions support the Social Innovation best?), arrives on time and answers their questions clearly, concisely (e.g. are based on quantitative indicators and composite indexes) and reliably. Typically, they rely on professional evaluators who perform an external evaluation and provide evidence through reporting.
- ii) *innovators, managers, partners and operators*, i.e. anyone who is involved in the conception, formulation, implementation and monitoring of the Social Innovation initiative. They need information on Social Innovation as early as possible to remedy problems or validate choices taken in the various phases, and change processes and practices if necessary. They are mainly interested in the outputs and outcomes of the Social Innovation, as well as on social needs and interactions between the various actors (e.g. to explore new networking options and business opportunities, and test the validity of their ideas). They can use SIMRA Evaluation methods for internal, self-evaluation purposes.
- iii) *scientists* can use the evaluation for further exploration of the complexity of the social innovation concept, empirically testing hypothesis in case studies and reinforcing or building a more comprehensive theory of social innovation in rural areas);



- iv) *public authorities and private operators* not involved in the Social Innovation initiative that is evaluated but that conduct related or similar initiatives and are interested in the transfer of lessons learned.

### 3.3.2 The types of use

The main forms of use of SIMRA Evaluation of Social Innovation are:

- i) To prepare and assist decisions - for example by formulating recommendations on how to support Social Innovation in rural areas, or by favouring the involvement of decision-makers concerned (and/or at least their collaboration), and by providing information that can be useful in negotiations and problem-solving processes between the various actors involved.
- ii) To assist the formulation of value judgements – for example about the eligibility of an initiative as a Social Innovation initiative, for accountability purposes or more in general about the merits of the initiative in relation to specific aspects (e.g. social cohesion goals). For this reason, special attention in the SIMRA Evaluation method is given to the definition of judgement criteria (see Section 4 and Technical Annex 3).
- iii) To accumulate, refine and transfer knowledge – for example by enable various evaluation users to learn about the Social Innovation initiative, to improve understating of what works and what does not, what are good practices and the lessons learned.

### 3.3.3 The dissemination of the evaluation

Dissemination concerns the final evaluation report and the means and channels of distributing information and evidence about the Social Innovation initiative, such as lessons learned and recommendations. Dissemination activities may target the services of the European Commission, other European Institutions (e.g. the European Evaluation Helpdesk for Rural Development, DG Agri, etc.), external partners, networks of experts, the media, and the wider public. The channels for dissemination are chosen by the evaluator, and differentiated by target users. The general information to be shared should be: i) a description of the evaluated Social Innovation initiative; b) the evaluation set of SIMRA methods selected and applied (e.g. only the specific set of quantitative indicators and related tools of analysis for Relevance, Efficiency, Effectiveness, Impact and Sustainability or others); c) the main messages resulting from the evaluation; and d) the strengths and weaknesses of the messages (e.g. due to possible limitations in the identification of key respondents for data collection about the Social Innovation).

## 3.4 The Players and Their Roles

The players and their roles are in three sub-elements: 3.4.1) the evaluation manager, 3.4.2) the evaluation team, and 3.4.3) the stakeholders of the evaluation.

### 3.4.1 The evaluation manager

The evaluation manager is responsible of the whole process of evaluation. They can be:

- i) *External to the Social Innovation initiative*: a member of a service in charge of the evaluation, contracted or appointed by an organisation that is not directly involved in the Social Innovation initiative to carry out the evaluation for external purposes (e.g. by a regional public authority that has to decide upon the allocation of European funds);
- ii) *Internal to the Social Innovation initiative*: a member/actor of the Social Innovation initiative, who is involved in its activities, assigned to carry out the evaluation for internal purposes (e.g.



they are appointed by another member of the Social Innovation network for self-evaluation about the current performance of the initiative and opportunities for improvement).

### 3.4.2 The evaluation team

The evaluation team is responsible for: i) data collection and analysis; ii) the formulation of value judgements in response to the evaluation questions; iii) writing and finalizing the evaluation report, included conclusions and recommendations. It submits its work for regular checks to the evaluation manager, who is the leader of the evaluation team.

For external evaluations, the members of the evaluation team are independent from the organisations that participated in the design and implementation of the Social Innovation being evaluated, with no conflicts of interest. For internal evaluations, the evaluation team may not be independent (i.e. self-evaluations).

Typically, the evaluation team should include local experts and consultants from different fields of expertise and profiles, who have knowledge of the sector, country and other local-specificities.

The SIMRA Evaluation Approach follows these general guidelines<sup>66</sup> for selecting the evaluation team.

### 3.4.3 The stakeholders

The stakeholders are individuals, groups or organisations which have responsibilities and/or direct or indirect interests in the Social Innovation initiative being evaluated. Involving stakeholders in the evaluation is useful for various reasons: i) to take their opinions into consideration; ii) to benefit from their expertise and knowledge; iii) to encourage them to use the evaluation (especially in case of external evaluations).

The SIMRA Evaluation Approach applies these general concepts<sup>67</sup> and in its practices specifies how and when to involve the stakeholders of the Social Innovation initiative. The different types of stakeholders are engaged in the evaluation using different types of tools for data collection which includes a Focus Group, questionnaires and semi-structured interviews (**Table 3.2**) (see Sections 4, 5 and 6 of this Manual for more details). To identify the people to be interviewed, a stakeholder analysis needs to be performed at the beginning of the evaluation. However, the type of actors can be identified who are expected to become involved in the Social Innovation initiative, through its phases of development, showing how the network of actors expands (Figure 3.3). These actors are also those progressively involved in the evaluation process.

*Table 3.2. Stakeholders involved in the evaluation and tools for data collection, according to different phases of the Social Innovation initiative.*

Phase of the Social Innovation		Main Stakeholders Involved in the Evaluation	Main Tools for Data Collection
Process	<b>1. Reflection</b>	Innovator(s) and follower(s) of the Social Innovation initiative evaluated, policy experts and others relevant at a local level, possibly not directly involved in the Social Innovation initiative but interested in or with special knowledge of relevance (key informants).	Focus Group: Tool 2. Questionnaires: Tool 3. Semi-structured interviews: Tools 7 and 8.
	<b>2. Reaction</b>	Innovator(s), follower(s) and transformer(s)	Focus Group: Tool 2 Questionnaires: Tool 3 and 4 Semi-structured interviews: Tool 7

<sup>66</sup> E.g. EU EuropeAid (2006).

<sup>67</sup> E.g. EU EuropeAid (2006).



	<b>3. Reconfiguring</b>	Innovator(s), follower(s), transformer(s)	Focus Group: Tool 2 Questionnaires: Tool 3 and 4 Semi-structured interviews: Tool 7
<b>Project</b>	<b>4. Realisation</b>	Project manager/s, project partners, beneficiaries	Desk work: Tool 1 Focus Group: Tool 2 Questionnaires: Tools 5 and 6 Semi-structured interviews: Tool 7
<b>Initiative</b>	<b>All the previous + 5. Replication</b>	All the previous + other stakeholders who are not directly involved in the Social Innovation initiative but are considered relevant (included experts)	Focus Group: Tool 2 Questionnaires: Tools 3 and 4 Semi-structured interviews: Tools 7 and 8

Source: SIMRA project.

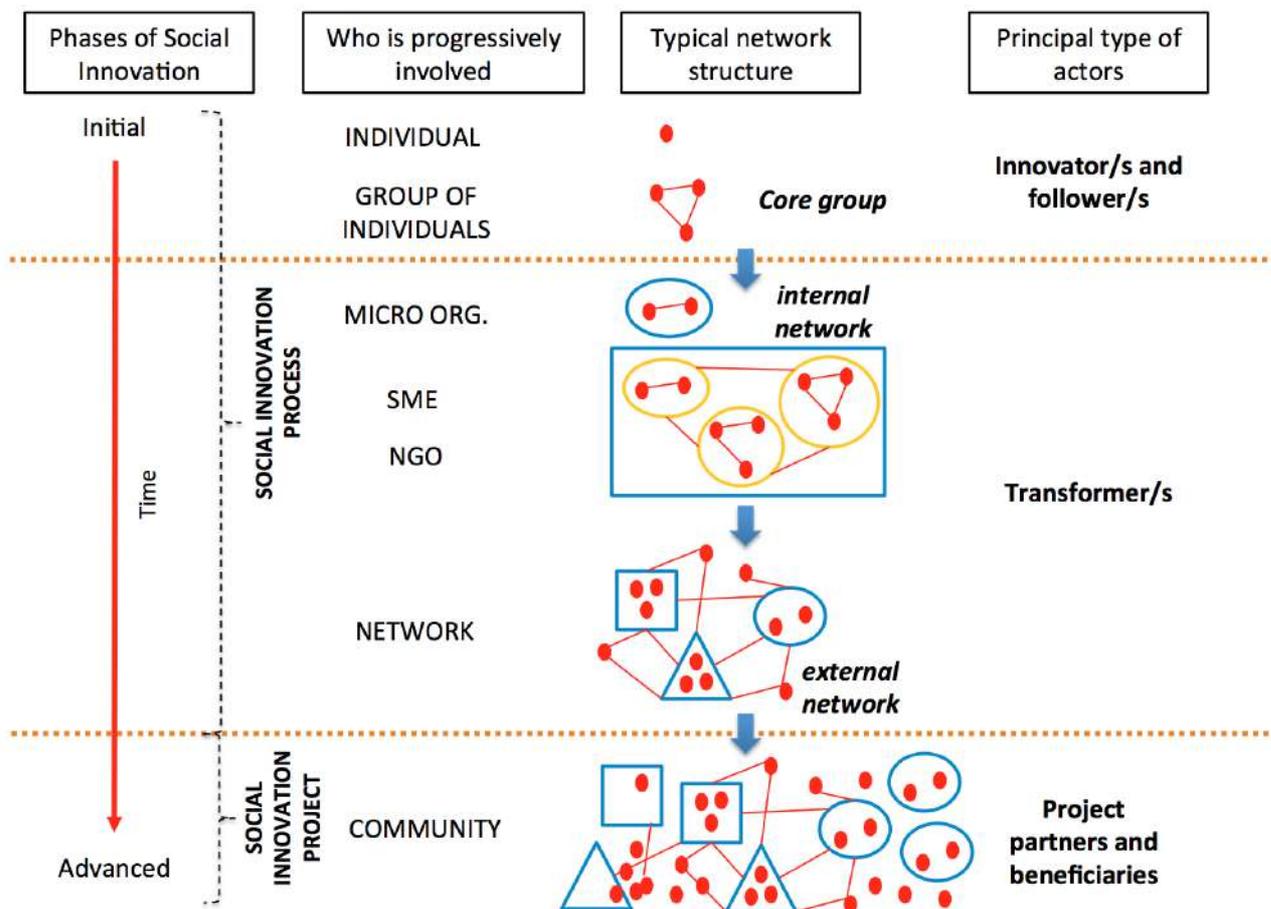


Figure 3.1. Stakeholders progressively involved in the Social Innovation initiative and in its evaluation, according to different phases of development. Source: Modified from Secco et al. (2018).

The main categories of stakeholders involved in the SIMRA evaluation are:

- i) The actors-agents are those initially involved in the Social Innovation initiative i.e. the core group (to which *innovator(s) and follower(s)*, and those who started the initiative belong); this relatively small group of people is able to provide core data for the evaluation, both through their participation in the Focus Group and interviews.
- ii) The actors and organisations that enter into the process of development of the Social Innovation initiative at a later stage, i.e. *transformers and project partners*, are also involved



in the data collection during the evaluation. Depending upon the case there may only be a few representatives in under this heading, or if the number is high then only a sample of them would be interviewed.

- iii) The people who receive benefits from the implementation of the Social Innovation initiative, i.e. *beneficiaries*, are always included in the evaluation (when the final steps and the effects of the Social Innovation initiative are within its scope). A representative sample of beneficiaries, who respond to interviews, has to be selected for the SIMRA evaluation.
- iv) The *policy experts and other key informants*, who may not be directly involved but are indirectly interested in the Social Innovation initiative. Typically, they are engaged in the evaluation through their participation in the Focus Group. In certain cases, some of them are asked to provide details with semi-structured interviews. They are not reported in Figure 3.3 as often they do not have an active role in the Social Innovation initiative.

### 3.5 The Focus of the Evaluation

The SIMRA Evaluation Approach enables three main focal points for exploring Social Innovation initiatives in marginalised rural areas:

*Focus 1:* The Social Innovation initiative is explored with respect to its coherence and consistency with the SIMRA definition of Social Innovation. This focus may be useful for checking the eligibility of a rural development venture to be funded as a Social Innovation initiative by means of specific policies (if they are activated). In this case, the evaluation is concentrated on the core elements of the SIMRA definition of Social Innovation (Section 1), and in this Manual it is called the SIMRA Rapid Evaluation (Evaluation Option 1, as described in Section 3.8).

*Focus 2:* The Social Innovation initiative is explored with respect to those core aspects of Social Innovation that have been found to be relevant for understanding it in detail, in the practice of evaluation. This focus helps the in-depth understanding of the drivers of a Social Innovation initiative, internal mechanisms, processes of change in relationships between actors, and its effects. In this case, the evaluation is concentrated with the dimensions and sub-dimensions of Social Innovation in rural areas as identified in the SIMRA Evaluation Framework (Section 2). In this Manual it is called the SIMRA Detailed Evaluation (Evaluation Option 2, as described in Section 3.8).

*Focus 3:* The Social Innovation initiative is explored with respect to the conventional criteria of evaluation, i.e. Relevance, Efficiency, Effectiveness, Impact and Sustainability (REEIS) (Box 3.1). They allow the evaluation of whether the initiative achieved what was needed, that resources were used in an efficient way, and led to the intended results and impacts. In this case, the evaluation is concentrated on how different dimensions of Social Innovation (and their related variables) interrelate each other. In this Manual it is called the SIMRA Conventional Evaluation (Evaluation Option 3, as described in Section 3.8).

#### **Box 3.1 - The conventional criteria of evaluation: REEIS<sup>68</sup>**

*Relevance* refers to the extent to which the objectives of an intervention are consistent with the requirements of beneficiaries, country needs and policies and global priorities.

*Effectiveness* is a measure of the extent to which a project reaches its objectives.

*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.

<sup>68</sup> Conventional evaluation criteria are those proposed by the OECD Development Assistance Committee (OECD, 1991) and adopted by EC DG Agri. See the OECD DAC Criteria for Evaluating Development Assistance website: [www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm](http://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm)



*Impacts* are the positive and negative changes produced by a project, directly or indirectly, intended or unintended.

*Sustainability* refers to the probability of a continuation in the stream of benefits produced by the project after the period of external support has ended<sup>69</sup>.

The evaluator can create their specific focus of application depending upon case-specific evaluation needs. This can be done by:

- i) the ad hoc application of a combination of the sets of methods, e.g. both the SIMRA Rapid Evaluation and the SIMRA Conventional Evaluation; the SIMRA Detailed Evaluation together with the SIMRA Rapid Evaluation; or, the SIMRA Detailed Evaluation together with the SIMRA Conventional Evaluation (or all of the three together);
- ii) selecting a few aspects to be analysed (e.g. the Social Innovation initiative) which are explored in relation to the aspects of Relevance and Sustainability extracted from the SIMRA Conventional Evaluation, combined with the aspect of Leadership extracted from the SIMRA Detailed Evaluation, and the aspects of the Civil Society Engagement extracted from the SIMRA Rapid Evaluation. There are several possible combinations from which the evaluator can select on a case by case basis. In this Manual this is called the SIMRA Ad Hoc Evaluation (Evaluation Option 4, as described in Section 3.8).

### 3.6 Steps in the Evaluation Process

According to the SIMRA Evaluation Approach, the process of evaluation of Social Innovation is based on seven steps, which correspond to seven tasks to be carried out by the evaluator. These tasks are:

1. Task 1 – To identify the evaluation needs by meeting the client or advisory group of the evaluation
2. Task 2 – To identify the evaluation needs by meeting the stakeholders
3. Task 3 – To design the evaluation framework and identify its assumptions
4. Task 4 - To identify the evaluation questions
5. Task 5 – To identify the measure that enables answers to the general and specific evaluation questions
6. Task 6 – To identify the methodological design, source of data, sampling framework, and type of data collection tools
7. Task 7 – To identify how the data will be analysed and presented in the final evaluation report

More details are provided in Section 4 of this Manual.

## B) The SIMRA Evaluation Methods

The Evaluation Method is described by means of the following elements: 3.7) the intervention strategy, 3.8) the evaluation questions and the judgement criteria, and 3.9) the methodological design, data collection and analysis.

The SIMRA Evaluation Approach is designed and used for disentangling the Social Innovation concept for the evaluation, combining both quantitative and qualitative approaches and tools of

---

<sup>69</sup> Sustainability refers in this context to the classical meaning adopted in project evaluation. However, in Social Innovation 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, initially the Social Innovation initiative can be based on voluntary and free engagement of local actors and later be self-funded, or to generate revenues for self-sustaining without necessarily depend on external resources.



data collection and analysis (see Sections 4, 5 and 6 of this Manual for details). In principle, the evaluation of the Social Innovation can use only the quantitative approach and related measures (indicators) or, only the qualitative approach and related analytical interpretations (narratives). However, the results of empirical tests in 11 Type A Case Studies that are the basis of the definition of the SIMRA Evaluation Approach and Methods have shown that the two approaches (quantitative and qualitative) have to be well coordinated for completing a useful evaluation.

### 3.7 Intervention Strategy

The first step of an evaluation process is a review of the intervention strategy, which comprises: 3.7.1) the rationale of the intervention; 3.7.2) the logic of intervention; and 3.7.3) the related policies. Dimensions and sub-dimensions of Social Innovation, and their interrelations, as represented in Figure 2.1 and described in details in Section 2 (The SIMRA Evaluation Framework), enable the identification of both the rationale of the Social Innovation initiative and its logic.

#### 3.7.1 The rationale of a Social Innovation initiative

The rationale of a Social Innovation initiative is to satisfy needs, solve problems or tackle societal challenges that are considered to be priorities in a marginalised rural area and are not addressed effectively by other means. The rationale is identified using Dimensions “1 Trigger and social needs” (Section 2.1 of this Manual), combined with Dimension “2 Perceived context” (Section 2.2 of this Manual).

In the SIMRA Evaluation Method, the rationale of the Social Innovation initiative is identified mainly using Tools 1 and 2 (Section 5.1 and Technical Annex 2), combined with Tool 7 (Section 5.2).

#### 3.7.2 The logic of a Social Innovation initiative

The Social Innovation logic of the intervention has to be reconstructed by the evaluator. They have to identify those activities, outputs and results of the Social Innovation initiative, including its expected impacts as well as the assumptions that explain how the activities will lead to the effects in the specific context where the Social Innovation is developed.

The logic of the intervention may refer to the Social Innovation process and/or to the Social Innovation project(s), depending upon the momentum of the evaluation with respect to the Social Innovation initiative development. If the Social Innovation initiative is in its initial phases and no project(s) have been implemented, the description of the logic on the intervention is likely to focus on Dimensions “3 Agents”, “4 Preparatory actions” and “5 Reconfiguring and reconfigured social practices”. If the Social Innovation initiative is more advanced and mature, thus including one or more Social Innovation projects, the description of the logic of intervention likely focuses on Dimensions “6 Project activities”, “7 Outputs” and “8 Outcomes and impacts” (respectively described in Sections 2.6, 2.7 and 2.8 of this Manual).

In the SIMRA Evaluation Method, the logic of intervention of the Social Innovation initiative is identified mainly using Tools 1 and 2 (Section 5.1 and Technical Annex 2), combined with Tool 7 (Section 5.2). This can be represented by means of common presentation tools (such as a Logical Boxwork, Diagram of objectives or Diagrams of expected effects<sup>70</sup>), or it can be visualized by developing a diagram, specific for the Social Innovation initiative evaluated, that follows the same structure of the SIMRA Evaluation Framework (Figure 2.1).

---

<sup>70</sup> EU EuropeAid, 2006 (p. 39-40).



### 3.7.3 Related policies

Several policies and programmes developed at levels from international to local can complement, support or impede Social Innovation in marginalised rural areas. Examples of different types of policies at different jurisdictional and administrative levels include international conventions on climate change, EU rural development programmes, national legislation (e.g. network contract in Italy), regional laws to stimulate investments, and local regulations to promote employment opportunities (e.g. for young people, migrants, women)<sup>71</sup>. The identification of policies directly or indirectly related to Social Innovation in rural areas is useful, for example, to recognize complementarity of interventions, or incoherence between policies or the existence of policy gaps.

In the SIMRA Evaluation Approach, policy analysis is applied by adopting a cross-level approach, to understand what implications international or national policies have at a local level. The evaluation will set out main national and international institutions which are active in the same area, sector and/or targeted at the same group of beneficiaries of the Social Innovation initiative, and the main policies implemented by these institutions that might affect (negatively or positively) the Social Innovation initiative.

In the SIMRA Evaluation Approach, policy analysis is based upon a combination of perceptions of local stakeholders and the analysis of policy documents. This may be integrated with an in-depth examination of certain policy aspects (e.g. coordination of actions at different institutional levels, value added when the initiative is conducted at a regional rather than local level) by means of consulting with policy experts. This part of the analysis is conducted using Tools 7, 8 and 9 for data collection and Tools 10 and 11 for reporting (see Sections 5 and 6 of this Manual).

## 3.8 Evaluation Questions and Judgement Criteria

*Evaluation questions* typically leads the focus of evaluation on a limited number of key points, thus allowing more targeted data collection, in-depth analysis, useful and better focused reporting, and optimal use of resources. The choice of the evaluation questions contributes to the optimisation of the usefulness of the evaluation<sup>72</sup>.

In the SIMRA Evaluation Approach, selecting the most appropriate evaluation questions implies different steps (see Section 4.2 of this Manual). The first step is the preferred choice of one of four possible evaluation options. Typically, this choice depends on the evaluation needs, uses and resources.

As described in detail in Section 4.2 of the Manual, the four SIMRA evaluation options are:

*Option 1 – SIMRA Rapid Evaluation:* focused on the evaluation of the core concepts of the SIMRA definition of Social Innovation in marginalised rural areas.

*Option 2 – SIMRA Detailed Evaluation:* focused on the evaluation of the dimensions and sub-dimensions of Social Innovation as defined in the SIMRA Evaluation Framework.

*Option 3 – SIMRA Conventional Evaluation:* focused on the evaluation of Social Innovation on the basis of the conventional criteria of Relevance, Efficiency, Effectiveness, Impacts and Sustainability (REEIS).

*Option 4 – SIMRA Ad hoc Evaluation, i.e. a combination of the previous options:* focused on the evaluation of specific elements of Social Innovation depending on the specific evaluation needs.

**Figure 3.4** illustrates the process of selecting evaluation questions in the SIMRA Evaluation Approach. The specific steps for the selection are described in Section 4.

---

<sup>71</sup> Ludvig *et al.* (2018).

<sup>72</sup> EU EuropeAid (2006) (p. 43-44).



After the choice of the first general option in the SIMRA Evaluation Approach, the evaluator concentrates on the evaluation on specific aspects by selecting one or a few specific evaluation options. For each specific evaluation option, the evaluation can concentrate on a few general evaluation questions, and then on a few specific evaluation questions. With this process of progressively focusing and thus reducing the number of questions to be answered, the process leads to a summary of the needs of real relevance for the specific evaluation.

Selected evaluation questions can be addressed by means of a quantitative analysis based on indicators, a qualitative analysis based on narratives or a combination of both. While the general and specific evaluation options are the same for both types of analysis, the sets of general evaluation questions (and consequently specific evaluation questions) for the quantitative analysis are different with respect to the sets for the qualitative analysis. Details are provided in the following sub-sections and in Section 4.

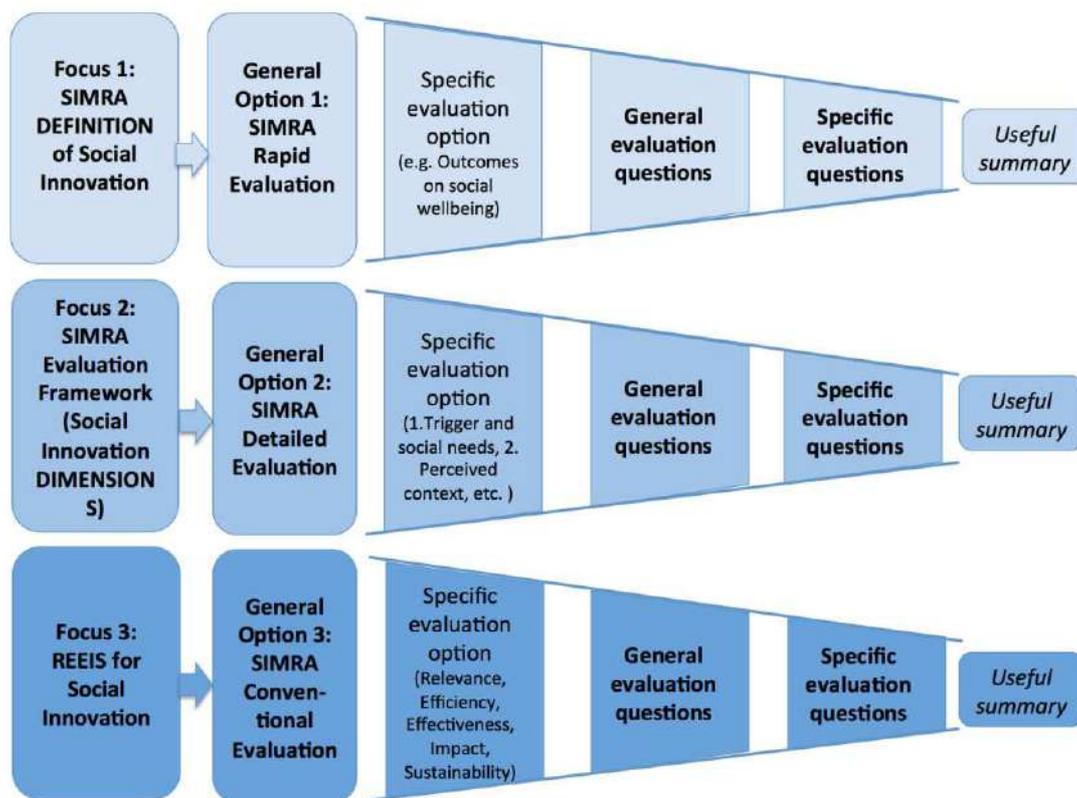


Figure 3.4. Choice of the evaluation questions: focusing. Source: SIMRA project.

### 3.8.1 Quantitative analysis: Indicators

In the SIMRA Evaluation Approach, for the quantitative part of the analysis, the third and fourth steps for selecting the evaluation questions are the identification of the general evaluation questions and, subsequently, the identification of the specific evaluation questions.

The *general evaluation questions* enable the exploration of general aspects of the Social Innovation initiative. These general aspects derive from an aggregation of the simplest concepts (e.g. dimensions of Social Innovation as identified in the SIMRA Evaluation Framework from the underlying sub-dimensions). They can be described and evaluated on the basis of different measures, depending on each evaluation option:



- in the SIMRA Rapid Evaluation, the general evaluation questions are answered by means of measuring *Indexes*;
- in the SIMRA Detailed and Conventional Evaluations, the general evaluation questions are answered by measuring *Composite Indicators*.

Each index or composite indicator is associated with several, aggregated concepts.

The *specific evaluation questions* enable the exploration of specific aspects of the Social Innovation initiative, and are answered by means of specific indicators. Each indicator is associated with a single concept.

*Judgement criteria* specify the aspects of the merits or success of the Social Innovation being evaluated. They are used to answer evaluation questions positively or negatively. Judgement criteria can be associated with target levels for the aspects evaluated, which can then be used as benchmarks or point of comparisons. Judgement criteria and/or targets are typically used in quantitative analysis. In the SIMRA Evaluation Approach a judgement criterion is defined for each single indicator, each composite indicator and each Index.

The method and steps applied for the construction of SIMRA Indexes, SIMRA Composite Indicators and SIMRA Indicators<sup>73</sup> are explained in detail in Section 4, Section 5.2 and Technical Annex 3 of this Manual. Similarly, the judgement criteria are described in detail in Technical Annex 3.

In the SIMRA Evaluation Approach, the construction of SIMRA Indexes and Composite Indicators based on the progressive aggregation of Indicators was made possible by the initial deconstruction along a scale of abstraction of the Social Innovation concept in marginalised rural areas into general, intermediate, specific, basic and single unit concepts. The disaggregation of concepts for evaluation purposes enabled the organisation of the evaluation by linking the general concept of Social Innovation to its intermediate concepts (e.g. dimensions of Social Innovation as described in the SIMRA Evaluation Framework); the intermediate concepts (dimensions of Social Innovation) to specific concepts (Social Innovation sub-dimensions); the specific concepts to basic components (Social Innovation indicators); and finally, the basic components (Social Innovation indicators) to single unit concepts (variables to be measured).

### 3.8.2 Qualitative analysis: Narrative

In the SIMRA Evaluation Approach, for the qualitative part of the analysis, the steps for selecting the evaluation questions are similar to those adopted for first steps of the quantitative analysis. Similarly, the general evaluation options and the specific evaluation options guide the qualitative approach. In the following steps, the general and the specific evaluation questions can be identified and/or refined according to the guiding questions used in the semi-structured interviews (Tools 7 and 8) and/or to the instructions provided for interpreting the contents of the interviews and policy documents analysis (Tools 9 and 10). The specific qualitative evaluation questions should be defined for possibly complementing and/or reinforcing the specific quantitative evaluation questions, and vice versa. Their analysis, based on storytelling and narratives that describe complex aspects of Social Innovation (not always measurable quantitatively) should be integrated reciprocally into the final report. This will enable the production of a more comprehensive and useful evaluation.

---

<sup>73</sup> The method applied for the construction of indicators has been tested and applied also in previous research relating to the evaluation of social capital in local development processes (e.g. Pisani, E., Franceschetti, G., Secco, L. and Christoforou, A. 2018. *Social Capital and Local Development. From Theory to Empirics*. London: Palgrave MacMillan. pp. 517.)



### 3.9 Methodological Design

Each evaluation, i.e. the evaluation of a specific Social Innovation initiative at a specific moment in time, requires a specific methodological design. Designing the evaluation method consists of setting up the specific choices and plans that will allow the evaluator and the evaluation team to properly and carry out the evaluation in a timely manner, on the basis of the selected evaluation questions and available time and resources. Two key aspects to be defined in methodological design are: the strategy for collecting and analysing data (included sampling), and the work plan. Everything is refined and finalized in the preparatory work of the evaluation before the field phase, and fully described in the report on the desk phase<sup>74</sup>.

In the SIMRA Evaluation Approach, the definition of a strategy for data collection and analysis depends directly on the selected evaluation questions. The choice of certain evaluation options and evaluation questions determines which tools are used for data collection, and how the data are analysed.

The set of data collection tools (described in detail in Section 5) comprises:

- d) *Two preparatory and mixed qualitative-quantitative tools*: Tools 1 and 2, which include instructions for conducting preparatory desk work, the identification of secondary data about the context, and guidelines for organising and managing the Focus Group, including the identification of the stakeholders and significant impacts.
- e) *Four quantitative tools*: Tools 3, 4, 5 and 6, which are questionnaires for data collection which target respectively the Innovator(s) and Follower(s), Transformers, project partners and beneficiaries.
- f) *Two qualitative tools*: Tools 7 and 8 which provide, respectively, guidelines for carrying out semi-structured interviews of Innovator(s) and Follower(s), and for interviewing policy experts.

The overall set of data processing and analysis tools (described in detail in Section 6) comprises:

- a) *One MS Excel file* (Tool 9), which enables the entry of the data collected in the field and use them to calculate the values of Indicators, Composite Indicators and Indexes for the quantitative part of analysis;
- b) *Two tools for preparing commentaries*: Tools 10 and 11, which provide guidelines respectively for the qualitative part of the analysis of dimensions and sub-dimensions of Social Innovation, and of the interpretation of the contents of policy documents and interviews. Once the data processing and analysis are complete, it is recommended that the quantitative and qualitative results are merged into a single Final Evaluation Report (described in detail in Section 6.3), the purpose of which is to summarise the observations with respect to the specific evaluation objectives and questions, and for formulating conclusions and recommendations.

Specifications are needed for two key aspects of the SIMRA Evaluation Approach: what methods are suggested for impact evaluation (3.9.1) and what methods are suggested for policy analysis (3.9.2).

#### 3.9.1 The SIMRA methodology for impact evaluation

Special attention is required for the methodology adopted for the evaluation of impact that derives from the Social Innovation initiative.

---

<sup>74</sup> EU EuropeAid, 2006 (p. 66).



The evaluation of impacts aims to answer questions of cause-and-effect<sup>75</sup>, looking for the changes in outcomes attributable to a certain policy, programme, or project (intervention or treatment). In the SIMRA Evaluation Approach the intervention is the Social Innovation initiative.

To estimate the causal effect of a Social Innovation initiative on outcomes, the evaluator has to find a comparison group to estimate what would have happened without the Social Innovation initiative. In practice, the evaluator has to observe what the outcomes would have been for those who participated in the Social Innovation initiative if they had not participated in the initiative. They undertake a “with-without” comparison: a situation with the Social Innovation initiative is compared with a situation without the Social Innovation initiative. Figure 3.5 shows a conceptual diagram of the impact evaluation as applied to a Social Innovation initiative.

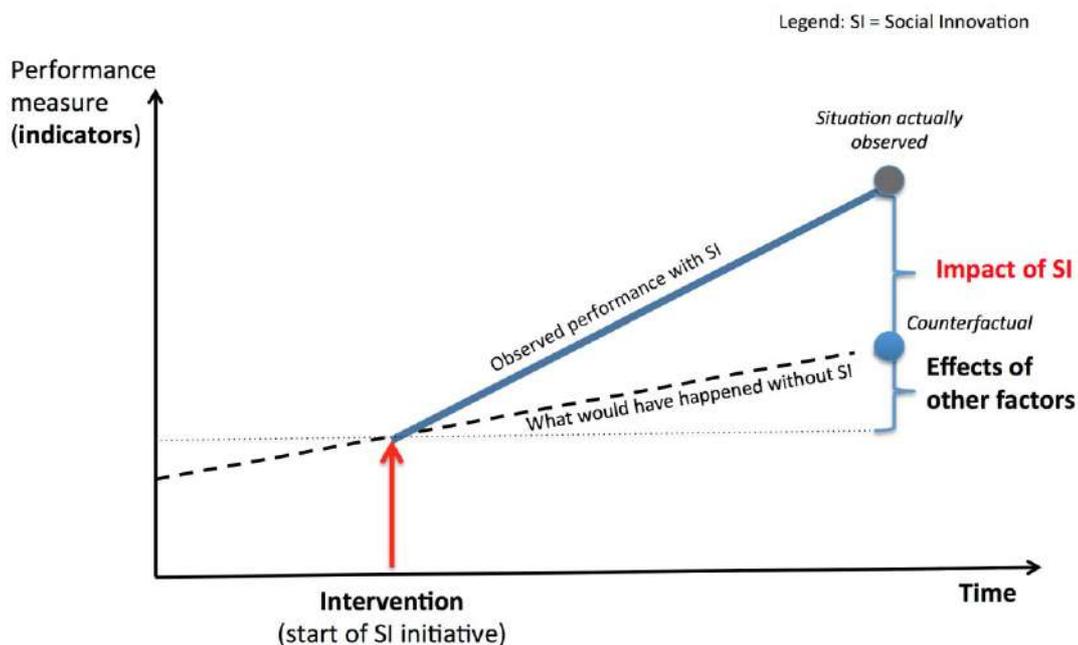


Figure 3.5. Conceptual diagram of the impact evaluation of Social Innovation. Source: Secco et al. (2018).

Of key importance in impact evaluations is to isolate the effects of a well-defined cause (the Social Innovation initiative) from the effects determined by other different causes.

Two methodological approaches are possible: i) an impact evaluation based on “before-after” comparison, that does not allow the use of robust statistical techniques, and in which observable changes in outcomes are not always directly and clearly correlated with the Social Innovation initiative; and ii) an impact evaluation based on a good counterfactual, that enables the use of robust statistical techniques and in which observable changes in outcomes are clearly due to the Social Innovation initiative. The first approach is the core one adopted in the SIMRA Evaluation Approach, and the second is feasible only in certain specific circumstances.

<sup>75</sup> Gertler P.J, Martinez, S., Premand, P., Rawlings, L.B. and Vermeersch, C.M.J. 2016. *Impact Evaluation in Practice*, 2<sup>nd</sup> Edition. The World Bank.



### i) The SIMRA core methodology for impact evaluation: “before-after”

In the SIMRA “before-after” comparison, the identification and measurement of changes (i.e. effects or impacts of the Social Innovation initiative) are based on perceptions of stakeholders who participate in the evaluation and/or secondary data, that only show general trends and cannot be directly and clearly correlated to the Social Innovation initiative that is being evaluated. In this case, observable changes can be due to the Social Innovation initiative and to other, not clearly identifiable, factors (e.g. a generalized improvement in the economic conditions because of global dynamics). The effects of such factors cannot be isolated from those due to the Social Innovation initiative by applying statistically robust techniques.

The SIMRA Evaluation Approach using this core methodology for the evaluation of impact is based upon the inclusion of specific and accurately formulated questions and topics of discussion in the data collection tools (Focus Group, questionnaires and semi-structured interviews). These are specifically designed for accurately capturing information on perceived changes and evaluating retrospectively the events while minimizing biases. The approach enables the exploration of economic, social, environmental and institutional changes that the stakeholders of the evaluation associate with the Social Innovation initiative.

In the SIMRA Evaluation Approach, the identification of impacts is done mainly in the Focus Group (Tool 2, see Section 5 and the Technical Annex for details).

Any activity developed and implemented by an organisation might have impacts that can be more or less relevant. That is they have long term consequences on a large portion of the territory and/or a high number of people, 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 of the different impacts in the main domains of the economy, society, environment and institutions. This would be time consuming and, in certain circumstances, not make sense from a technical perspective. If the impacts are very limited, for example because the Social Innovation initiative is contained, and/or it affects a very small group of people in a small remote area, then it might not be necessary and appropriate to evaluate them in detail.

To select the impacts that are of particular relevance, thus focusing on which impacts to be explored, the SIMRA Evaluation approach adopts the concept of *significant impact*<sup>76</sup>.

As an example, in the case of impacts on the environment the stakeholders of the Social Innovation initiative have to identify only those aspects that they perceive to be significant. These aspects may be selected because they are associated with activities of the Social Innovation that are frequently repeated, or implemented in areas that are extremely fragile from a ecological point of view. A similar approach can be adopted in any of the domains (environmental, economic, social and institutional). To facilitate the identification of the aspects to be considered, four lists (one for each domain) of possible aspects are taken from the literature and tested empirically in SIMRA. Instructions for selecting those aspects of particular significance for the evaluation of the Social Innovation are provided in Tool 2 (see the Technical Annex to this Manual).

---

<sup>76</sup> This was introduced initially by the international standards ISO 14001:2001, recently updated into ISO 14001:2015. It was designed for industrial organisations for implementing and keeping under control environmental management systems. 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. Here, it is adapted to SIMRA Evaluation of Social Innovation. The absence of effects of the Social Innovation initiative in a certain domain is not considered to be negative.



## ii) The SIMRA alternative methodology for impact evaluation: “good counterfactual”<sup>77</sup>

The basic form of an impact evaluation which is based upon robust statistical techniques tests the effectiveness of a given intervention. It answers the question, *Is a given intervention effective compared to the absence of the intervention?* This type of impact evaluation relies on comparing a treatment group that was subject to an intervention (a policy, programme or project) to a comparison group that did not in order to estimate the effectiveness of the intervention<sup>78</sup>.

Empirical evidence collected in 11 Type A Case Studies in SIMRA have shown that an impact evaluation based on robust statistical techniques of a Social Innovation initiative is feasible. This approach to impact evaluation implies that it is possible to select a statistically appropriate control group of beneficiaries (counterfactual), as the basis with which to measure the impacts which are specifically due to the Social Innovation initiative (cause-effect relationship), and to isolate them from effects due to other factors.

However, in the SIMRA Evaluation Approach, the evaluator has to carefully consider whether and in which cases (possibly) to apply it and how to design the specific methodology case by case.

### **Cases in which to apply an impact evaluation based on robust statistical techniques**

The evaluator should understand that the evaluation of impacts determined by a Social Innovation initiative using robust statistical techniques based on a good counterfactual is a time consuming, technically complex and costly procedure. In some circumstances, impact evaluation is neither ethically acceptable, or useful from a political point of view (e.g. costs of evaluation are too high and the information collected are too specific to be valuable to guide policy reforms), or technically feasible from a statistical point of view (e.g. the counterfactual case does not exist).

In general, it is appropriate to perform an impact evaluation based on robust statistical techniques when the intervention to be evaluated has a large scale of application (i.e. a high number of people treated, large areas affected, large amount of financial resources allocated), and thus it is likely to have significant impacts.

Two technical conditions have to be contemporaneously respected:

- the number of treated units is sufficiently high, i.e. the number of the beneficiaries of the Social Innovation initiative in a certain marginalized rural area is equal to, or more than 30;
- there are units of the target population that are not treated or there is the possibility to identify a suitable comparison group of units which is 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 Social Innovation project), then it is impossible to find a proper control group (e.g. there are no valleys that are sufficiently similar to the one treated, or there is a very limited number of people living in the area from which to identify enough who were involved compared to those who were not involved). In such cases, an impact evaluation can be carried out but there are significant risks that the results of the evaluation will not be valid, or that they will be inaccurate from a statistical point of view.

Statistical techniques and methods for carrying out an impact evaluation should not be used when these two conditions are not guaranteed, the available secondary data are not sufficient, and/or it is too costly for direct surveys to collect sufficient primary data. Table 3.3 provides qualitative-based screening criteria that the evaluator can use to understand whether an impact evaluation based on

---

<sup>77</sup> Prof. Anna Giraldo and Prof. Maria Castiglioni (Department of Statistics, University of Padova, Italy) contributed to this paragraph in the definition of the SIMRA Evaluation Approach.

<sup>78</sup> Gertler P.J., Martinez, S., Premand, P., Rawlings, L.B. and Vermeersch, C.M.J. 2016. *Impact Evaluation in Practice*, 2<sup>nd</sup> edition. The World Bank.



robust statistical techniques is likely to be feasible for a given Social Innovation initiative to be evaluated.

*Table 3.3.* Qualitative-based criteria to guide evaluator in pre-screening the feasibility and meaningfulness of an impact evaluation with robust statistical techniques in a Social Innovation initiative.

Key aspect (example)	Likely Feasibility and Meaningfulness of Using Statistical Techniques and Methods for Impact Evaluation	
Limited sample size (e.g. only a few individuals involved in the Social Innovation initiative)	Low	
Control group with identical characteristics can easily be identified (e.g. the Social Innovation is in an area characterized by common features)		High
Control group small	Low	
High level of secondary data for 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
The Social Innovation initiative is expected to have a detectable effect on measurable outcome variables (i.e. an effect that is measurable and not negligible)		High

Source: Modified from Secco *et al.* (2018).

### 3.9.2 How to design an impact evaluation based on robust statistical techniques

This section describes the main evaluation steps and methods that can be used to apply an impact evaluation based on robust statistical techniques for when the evaluator considers it feasible and appropriate. The evaluator should focus the design on how to find a suitable comparison group, as the quality of the comparison group is critical for the accuracy and statistical correctness of the evaluation.

In designing an impact evaluation based on robust statistical techniques the evaluator has three key questions to ask:

- i) When is the evaluation carried out?
- ii) What is the scope of the evaluation (in particular, what is the target population, the intervention or treatment, and the outcome variable)?
- iii) Which are the most appropriate statistical techniques to apply?

In the SIMRA Evaluation Approach, the questions posed are addressed as follows:

- i) in Social Innovation initiatives 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;
- iii) the recommended statistical technique is a combination of the propensity score matching with the difference-in-differences method.

To perform an impact evaluation based on robust statistical techniques a good counterfactual has to be identified (i.e. a comparison group that share the same identical characteristics of the treated group, except for the treatment). Then, the differences identified in the outcome variable between the two identical groups can be imputed to the treatment.



The best way to obtain an identical comparison group would be a randomization, i.e. units divided randomly to the treated or comparison group. However, for the specific nature of Social Innovation (the Social Innovation initiatives are spontaneous and cannot be forced to happen), a randomization is not applicable. Box 3.2 provides technical details on alternative statistical methods that can be adopted in evaluation of Social Innovation according to the SIMRA Evaluation Approach.

**Table 3.4** summarises general guidelines for designing how to apply this type of impact evaluation.

*Table 3.4. General guidelines for designing a statistically robust impact evaluation according to the SIMRA Evaluation Approach.*

Key Question	Recommendations on Possible Methods and Evaluation Approaches	Operational Implications and Notes
<b>When?</b>	In the case of Social Innovation, this type of impact evaluation is possible only after the Social Innovation project took place/started (i.e. the treatment was delivered to the target population). Thus, only non-experimental methods can be used.	Social Innovation 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 Social Innovation will start or not depends significantly on the existence, ideas, leadership, willingness, capabilities of innovators). Thus, only ex-post (retrospective) evaluations (once the Social Innovation has started and project(s) are implemented) are possible. This implies that baseline data (when existing) are typically poor and that counterfactual estimates are more difficult.
<b>What?</b>	<b>1. Target population:</b> 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 evaluator.	The target population is a well-defined set of units upon which the Social Innovation initiative may operate (i.e. units who participate in the activities of the Social Innovation initiative and project(s) directly). 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). The identification of the units to be analysed depends upon the definition of the scope of the evaluation in each specific Social Innovation initiative evaluated (e.g. which project(s) is/are included in the evaluation determines the target population).
	<b>2. Intervention:</b> the set of activities (project(s)) put into operation by the Social Innovation initiative to address an issue of the target population. The treatment is intended to have an effect on the outcome variable. The evaluation 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 to be evaluated should consist of a single treatment (i.e. a single Social Innovation project). However, a Social Innovation initiative can also deliver multiple treatments (e.g. multiple projects developed and delivered to the same target population, for example the same vulnerable group of people). The evaluator has the responsibility to identify what project is to be selected. If the evaluator decides to evaluate more than one project, evaluations should be analysed individually and results should not be aggregated (see Section 3).
	<b>3. Outcome variable:</b> an observable characteristic (a measurable aspect) of the units of the population, on which the intervention may apply and have an effect on (impact).	The evaluator has to select an appropriate outcome variable, i.e. one that is affected by the Social Innovation project (causally changed by it) and is a characteristic of the unit (person/organisation/network) that can be observable and measurable even in the absence of



		the Social Innovation project (intervention or treatment). The SIMRA Evaluation Approach recommends that the outcome variable is selected among those variables directly connected with social well-being.
<b>How?</b>	Matching in combination with diff-in-diff is recommended in the SIMRA Evaluation Approach.	An ex-post way to proceed to build an artificial comparison group when randomization is not applicable (as in the case of Social Innovation evaluations) is that of matching. The basic concept is that for each treated unit the evaluator can select the best comparison unit or units (match or matches) from another data source. Matches are selected on the basis of similarities in observed characteristics of the units (e.g. beneficiaries of the Social Innovation projects). However, as a perfect matching is typically impossible to find, techniques that permits to consider as much characteristics of an individual and to match based on it, should be applied such as e.g. propensity score matching (see Box 3.2).
	It requires:	To reduce the problems of matching, propensity score matching can be combined with the difference-in-differences (diff-in-diff) statistical technique. Diff-in-diff 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 observing the average change over time in the outcome variable for the treatment group compared with to the average change over time for the control group.
	- 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 may be necessary to collect data by direct surveys based on interviews or questionnaires (which may be time consuming and costly).
	- 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.
	- information on the outcome variable available before and after the Social Innovation project, and for both treated and control groups.	If not available, baseline information can be collected retrospectively with an ad hoc survey (e.g. interviews or questionnaires).

Source: Modified from Secco *et al.* (2018).



**Box 3.2 – The propensity score matching and its combination with the diff-in-diff method**

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 as a number (transform a multivariate problem into 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 (e.g. stratification matching, kernel matching, nearest neighbour). 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 in practice “perfect clones” of any treated units do not exist, as well as the availability of longitudinal observations on the outcome variable for the treated and comparison groups. 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 most frequently used in combination with matching techniques is the difference-in-differences (diff-in-diff) method (Gertler *et al.*, 2016). Diff-in-diff 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 with 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, diff-in-diff may still be subject to certain methodological problems and potential biases (such as reverse causality or omitted variable bias). A technique such as propensity score matching can help reduce these problems as it allows the identification of a comparison group that is as 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 the outcome variable is needed after the implementation of the Social Innovation intervention and at the baseline for both groups treated and control.

As in any other type of impact evaluation, designing and implementing an appropriate and case-specific methodology for impact evaluation based on robust statistical techniques as described in the SIMRA Evaluation Approach requires a sequence of steps. These steps are summarised in Table 3.5. The steps and technical statistical choices tested and applied in the case study of the Social Innovation V&Zapp’ is explained in detail in Box 3.3. The V&Zapp’ Social Innovation is located in the Apulia region of Italy. The study of this type of impact evaluation for SIMRA was designed and carried out by the project team at the University of Foggia (Italy).

*Table 3.5. Initial steps in setting up an impact evaluation based on statistical techniques and methods according to the SIMRA Evaluation Approach.*

In Theory	In Practice, for SIMRA
<b>Step 1: Defining questions to be answered by the impact evaluation</b>	Decide the focus and objectives of evaluation. An example of a key question is: “ <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> ”
<b>Step 2: Constructing a theory of change</b>	Identify the target population (expected beneficiaries), the intervention that has determined changes (the specific Social Innovation project) and the outcome variable modified by the intervention.
<b>Step 3: Developing a results chain</b>	Identify the causal path that leads to the expected results to identify what activities have determined which specific effect on the beneficiaries (i.e. those in the target population who received benefit and were affected by the implementation of the Social Innovation project and its results)?



<b>Step 4: Selecting performance indicators</b>	Select the outcome variable influenced by the intervention (the Social Innovation project selected for the evaluation) and how it should be measured.
---	---

Source: Modified from Secco *et al.* (2018) based on Giraldo (2017), pers. comm.

**Box 3.3 – Impact evaluation based on robust statistical techniques applied to the Social Innovation case Va’Zapp’ in Apulia region, Italy**

VàZapp’ is the first rural hub in Apulia, a region in Southern Italy. It is a community for sharing, training and creating relationships in the agricultural sector to create innovation. It addresses young farmers, professionals and researchers who intend to re-launch the agricultural sector through a process of social innovation based on networking and sharing ideas with business creation in an area with a high rate of youth unemployment. One of the activities carried on by V&Zapp’ is the “Contadinner”, itinerant social dinners for young farmers who do not know each other. The main aim is to create networking opportunities and share knowledge to facilitate future collaboration. During these events, organized and held in 2017 and 2018, more than 400 actors had the opportunity to exchange life experiences, projects, knowledge and ideas. During each dinner a questionnaire, distributed to all the participants, enabled the collection of data on motivations, opportunities and threats, perceptions of the markets and of farmer’s land management policies. The questionnaire was designed to understand the creation of a final document, the "Young Farmer's Charter". Its aim was to provide an opportunity for all farmers to participate in a collective action, to express their opinion on the needs and requirements of the agricultural world, and thus to be able to address the regional and national policies of the sector.

This information has been completed using a survey directed at the collection of data about the participants. It included the personal characteristics of the farmers (age, gender, municipality, social media exposure); their farms or companies (production, problems, needs); the vision of the farmers (agriculture of the future, requests to the Government Ministry); the perceptions of farmers of the social dinner (food, people, logistics); relationships of farmers with each other (professional, new and old); whether farmers followed the V&Zapp’ activities after participating in the first event. The data collected have been used within the impact evaluation using robust statistical techniques.

In the V&Zapp’ case study, the key elements that enabled the impact evaluation based upon robust statistical techniques were:

- i) The **target population** is represented by the young farmers operating in the area affected by the social innovation. Treatment and control groups have been selected from a subset of the target population, namely the participants at the Contadinner events (the social dinners). Attendance at the meeting provides a common baseline for all of the units (i.e. all participants had the same opportunity to get in touch with the Social Innovation). This guarantees a higher level of homogeneity in terms of age, origin, and attitude versus social events which means: (i) they had a similar proactive desire for change; (ii) they were exposed to the same inputs.
- ii) The **treatment** is represented by the follow-up activities of V&Zapp’ after the Contadinner. Participants in these events have been exposed to the influence of the Social Innovation initiative. So, the treatment group is represented by the followers, who are those people who engaged in the Social Innovation initiative through participation in first event, and then the other social activities held by the initiative. The control group is formed of non-followers, who are those people who attended only the first event (namely the contadinner). The treatment group actively participated in other events, kept in touch with the Social Innovation initiative staff, and become active members of the Social Innovation initiative. The control group did not follow other Social Innovation activities, or limited their interest to social media.
- iii) The **outcome variables** are represented by the number of active and permanent relationships between the observed participants. Active relationships are collaborations or the exchange of useful



information between participants. Permanent relationships are long-lasting, which continued at least until the time of the survey.

In the V&Zapp' case study, 387 observations were collected. However, missing data reduced the baseline of respondents to 171, of which 59 belong to the treatment group and 112 to the control group. The analysis revealed that the treatment group established 115 active relationships out of 330 (34.8%) compared to 151 out of 606 (24.9%) by non-followers, with a statistically significant difference between the two ( $p < 0.01$ , two-sample test of proportions). Followers reinforced their relations through engagement in the Social Innovation initiative, leading to more durable relationships in comparison to non-followers. This interpretation is supported by data showing that followers established 268 permanent relationships out of 330 (81%) compared to 376 out of 606 (62%) by non-followers. This difference is statistically significant ( $p < 0.01$ , two-sample test of proportions). The different proportions of the relationships formed by followers and non-followers denote a different behaviour of followers compared to non-followers, and the active role the Social Innovation initiative in stimulating the creation of links.

Source: SIMRA team at the University of Foggia, Italy (Antonio Lopolito, Maurizio Prospero, Antonio Baseliace)

### 3.9.3 The SIMRA methodology for policy analysis

The methods of data collection and analysis of the policy implications for Social Innovation proposed in the SIMRA Evaluation Approach follow the Innovation System Approach<sup>79</sup> and focus ex-post on actors, institutions and policies that are relevant for the Social Innovation.

A step-by-step approach is proposed for data collection (based on a qualitative interpretative approach) that focuses on the analysis of policy processes and implications for Social Innovation in rural areas. 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 for 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 explained in detail in Section 4.5.

## 3.10 Limitations of the SIMRA Evaluation Framework and Approach

The SIMRA Evaluation Framework faces two major challenges:

### 1. Borders

It can be difficult to define the "borders" between aspects of social innovations. For example, between: i) phases of social innovation (e.g. Phase 5, Reconfiguring/reconfigured social practices,

---

<sup>79</sup> The proposed for SIMRA follows the innovation systems approach (Lundvall, 1985). Innovation systems have been categorised into national innovation systems, regional innovation systems, local innovation systems, technological innovation systems and sectoral innovation systems. Examples for the application of this approach in innovations in the rural forest sector are provided in Rametsteiner *et al.* (2005), Kubeczko *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. Key references are Weiss *et al.* (2011), Edquist (1997) and Asheim and Gertler (2005).



and Phase 6, Project activities); ii) two neighbouring dimensions (e.g. “New networks” and “New governance arrangements”); and iii) amongst multiple projects that are all implemented by a single Social Innovation initiative. Some of the key dimensions of Social Innovation to be evaluated remain vague and overlap. This is despite efforts to recognise, characterise and “isolate” them for the purpose of their evaluation.

Mistakes in the identification of “borders” amongst concepts or dimensions may lead to mistakes in the application of the method. An example is in the use of the data collection Tools, such as the questionnaires designed for transformers being submitted to innovators, or vice versa. This can arise because the borders between innovators and transformers are not clear (e.g. because a transformer may have contributed informally to the shaping of the initial idea but their role is not recognised). Or, actors in the network are not invited to the Focus Group because, in error, they were considered not to be relevant.

#### **How to tackle with this limitation?**

The evaluator can reduce the risks of mistakes by carefully preparing the evaluation using Tool 1 (Preparatory work), properly understanding the Social Innovation and its context by exploring it with the stakeholders (Tool 2 – Focus Group), and be ready to adjust the plan if required (e.g. additional interviews or complementary data collection). It is important to be transparent about the choices made, so enabling users of the evaluation to put the results in context.

## **2. Incomplete representation of all aspects of real situations**

The evaluation framework may not enable the representation of all aspects of real situations of Social Innovation, where several “reverse loops” occur, i.e. it is linear and deterministic.

#### **How to tackle with this limitation?**

Using the qualitative approach to the analysis, the evaluator should identify, and be conscious of, the entire dynamic and reverse processes, interactions and flows of information, resources, and other ideas that have emerged in the real world. They should focus on the determinant flows, actions and actors that have enabled the Social Innovation initiative to develop in practice and become established. These determinant flows, actions and actors can be analysed by using quantitative indicators and the combined use of quantitative and qualitative information to enable appreciation of non-linear events, which can also be reported in the evaluation.



## 4. Preparing and Designing the Evaluation

### 4.1 How to Prepare the Evaluation?

This Section is intended to guide the evaluator of the Social Innovation initiative in preparing the evaluation. Some of the elements presented have been introduced in Sections 2 and 3, which the evaluator has to read carefully to have an in-depth knowledge of the parts presented in this Section. In this Section, the purpose is to focus on operational matters, to guide the choices of the evaluator in the practical preparation of the evaluation.

The evaluator has to start with some guiding questions related to: (i) who are the actors that have a stake in the evaluation?; (ii) what are their needs in terms of evaluation?; (iii) how much time and financial resources are available for the evaluation?; (iv) Is the theory of change a useful instrument to be used in the specific case to be evaluated?; (v) what are the main evaluation issues and, consequently, general and specific evaluation questions?; (vi) what data are needed to answer the different questions?

The classical questions that an evaluator has to address at the outset of the evaluation are presented in Box 4.1<sup>80</sup>.

#### Box 4.1 - Guiding questions for preparing the evaluation

- Who is the main client for the evaluation?
- Who are other important stakeholders?
- What issues do they identify for the evaluation?
- How will the timing of the evaluation in relation to project, programme, or policy implementation affect the evaluation?
- How much time is available to complete the evaluation?
- What is the nature and extent of available resources?
- Does social science theory have relevance to the evaluation?
- What have evaluations of similar programmes found? What issues did they raise?
- What is the theory of change behind the project, programme, or policy?
- What existing data can be used for this evaluation?

Based on these initial questions, the evaluator makes evident the sequence of guided tasks operationalising the questions presented above, and specified in this Section as presented in Figure 4.1. An additional and specific task is the identification of policy and their implications for Social Innovation, which is explained separately.

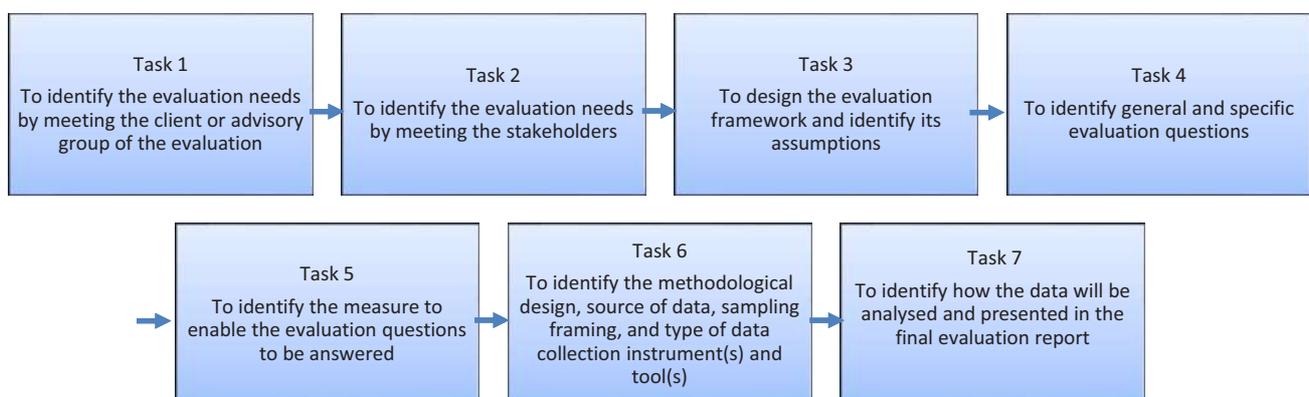


Figure 4.1. Sequence of tasks for the evaluation.

<sup>80</sup> Morras Imas and Rist (2009).



### **Task 1 – To identify the evaluation needs by meeting the client or advisory group of the evaluation**

The main client of the evaluation may be the funder of the initiative, accountable to the public for the results of the Social Innovation initiative.

The evaluation needs of the client greatly influence the evaluation strategy. During the preparation of the evaluation, the evaluator normally meets, at different moments, the client to understand their needs and specifying options for approaching the evaluation or to propose a single recommendation. It is good practice to present and discuss the overall evaluation design with the client or the advisory board, if it exists. This will allow the development of a commonly agreed strategy that, in turn, will contribute to avoiding possible problems in the future, caused by insufficient communications amongst actors. Additionally, these meetings usually increase the level of trust in a relationship amongst actors, which is a central component of a good working relationship for the evaluator.

### **Task 2 – To identify the evaluation needs by meeting the stakeholders**

Once the client has been met, the evaluator has to identify the stakeholders of the Social Innovation initiative. It is important to recognise that the stakeholders are those actors who are directly or indirectly, positively or negatively, affected by the intervention during its lifetime or in subsequent years. The stakeholders in a Social Innovation initiative could include: (i) members of the Social Innovation initiative; (ii) direct and indirect beneficiaries; (iii) funding organisations; (iv) members of different civil society organisations; (v) the wider local community; (vi) policymakers; (vii) organisations in the public sector. All of these actors could have different stakes concerning the evaluation of the Social Innovation initiative. So, it is important to understand their features, interests, how they have been affected by the Social Innovation initiative and their needs in terms of evaluation. This will enable an evaluation design to be proposed that will meet their needs as well as those of the client. Clarifying their needs will enhance the capability of the evaluator to propose useful recommendations. Box 4.2 highlights guiding questions to clarify contributions the stakeholders could provide to the evaluation.

#### **Box 4.2 - Guiding questions to clarify which contributions stakeholders could provide to the evaluation**

- How will stakeholders contribute to the evaluation by providing different inputs or elements of practical knowledge?
- How in practice to involve stakeholders in the evaluation?
- How might stakeholders react based on the evidence of the evaluation?
- How to identify better operational decisions needed by those who are implementers of Social Innovation initiatives?
- How to improve future policies, based on the evidence proposed by the evaluation?

### **Task 3 – To design the evaluation framework and identify its assumptions**

The following step is “understanding of the Social Innovation initiative” starting by reviewing the existing evaluation reports related to similar initiatives, trying to recognise evaluation issues considered, the approaches selected, the instruments and tools used for data collection, and the findings and recommendations proposed.

Once completed, the evaluator will analyse the theoretical and empirical knowledge on the specific project to be evaluated. This analytical step requires the design of the evaluation framework, which is normally based on the theory of change or “the blueprint of the building blocks needed to achieve the long-term goals of a social change initiative”<sup>81</sup>.

<sup>81</sup> Morras Imas, L.G. and Rist, R.C. (2009). The Road to Results: Designing and Conducting Effective Development Evaluation. Washington, DC: The World Bank. (p. 155).



In certain circumstances, the evaluator might find an existing theory of change presented in the form of theory models, logic models, change frameworks, logical frameworks, results chain models, and outcome models included in the Social Innovation project. In any case, the evaluator will review the casual chain and its assumptions.

The evaluator should take account of the contextual elements which could affect the Theory-of-Change, such as: (i) policy context; (ii) local political environment; (iii) macroeconomic and social conditions; (iv) public and social attitudes; (v) actions undertaken by other actors not directly involved in the Social Innovation; (vi) the environment. All of these elements normally influence the Theory-of-Change. The evaluator should express the critical assumptions on how these elements affect the proposed Theory-of-Change.

In Box 4.3 provides the guiding questions that the evaluator should consider for better designing the Theory-of-Change as proposed by Morras Imas and Rist (2009).

#### **Box 4.3 - Guiding questions on the Theory-of-Change and its assumptions**

- Is the Theory-of-Change plausible?
- Is the chain of events likely to lead to the long-term goal?
- Is this theory of change feasible?
- Are the capabilities and resources to implement the strategies possible to produce the outcomes?
- What else is going on in the environment that might help or hinder the intervention?

The classical format proposed in the evaluation literature considers the constituent elements of the Theory-of-Change to be the inputs, activities, outputs, outcomes and impacts of a project. However, due to the specific nature of Social Innovation, as set out in Section 2, the SIMRA evaluation proposes a revised Theory-of-change. In this, the Social Innovation process and project comprise the Social Innovation initiative, including the effects being produced in the social, economic, environmental and institutional domains as well as in governance. Specifically, in the SIMRA evaluation the Theory-of-Change comprises the following elements:

- Trigger and social needs
- Perceived context
- Agents
- Preparatory actions
- Reconfiguring and reconfigured social practices
- Project activities
- Outputs
- Outcomes and impacts
- Learning processes.

This last specific element illustrates that the Social Innovation is a continuous process of social change and learning in which ideas are elaborated, implemented, and transformed based on results achieved. The learning processes do not occur only once the outcomes and impacts are produced, but throughout the initiative. Moreover, in practice the Social Innovation process is likely to be more complex compared to the graphical representation proposed in Figure 4.2 of the Theory of Change in relation to social innovation. The figure illustrates that, typically, there is a need to obtain an understanding of the premises underlying a Social Innovation project before it is formalised. These premises are building blocks of the innovation. To understand them there is a need for relevant information to be gathered regarding how the project has developed and produced the expected social changes.



#### Task 4 - To identify the evaluation questions

Based on meetings with the client and stakeholders, and after the design of the Theory-of-Change, the evaluation questions can be clarified. Consequently, general and specific evaluation questions have to be identified based on the evaluation framework which, in this Manual, is the SIMRA evaluation framework.

As discussed in Section 2, the specific evaluation questions can be of a different type: descriptive, normative, and cause and effect. The descriptive questions are to elicit information to define aspects of a process, conditions, sets of views and organisational relationships. These questions are to enable a description of a process or a project, identification of inputs, activities and outputs, the collection of opinions, and are normally based on constructs of “who, what, where, when, how, how many”.

The normative questions compare the current situation with a specified target, goal or benchmark (i.e. “what is” with “what should be”). These questions are usually proposed in a results-based monitoring system allowing questions to be answered about inputs, activities, and outputs, which are at the centre of a monitoring system based on targets and performance.

The cause-and-effect questions determine what difference the intervention has made. These questions are often referred to as outcome questions, impact questions or attributional questions because the objective is to determine the effects of a project. Therefore, they are “so what” questions. To identify the outcomes and impacts of an intervention, these questions imply a comparison of performance of one or more indicators before and after, and with or without the intervention (Morras Imas and Rist, 2009).

Box 4.4 provides some examples of descriptive, normative and cause-and-effect questions based on the SIMRA general evaluation approach.

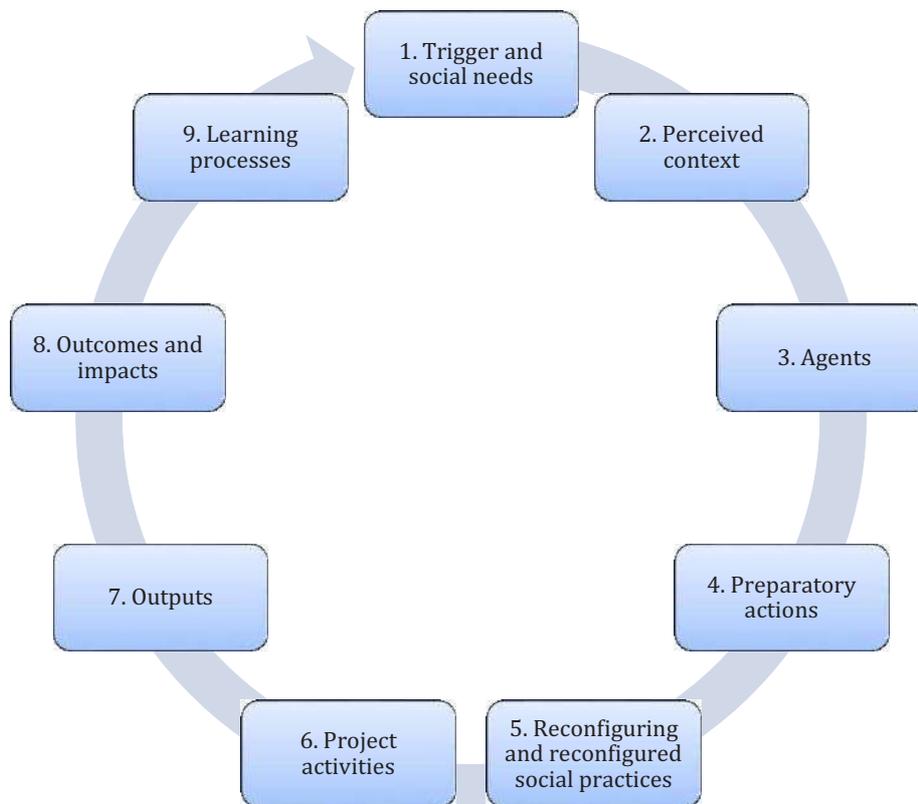


Figure 4.2. Illustration of social innovation in the context of Theory-of-Change as developed by SIMRA.



### Task 5 – To identify the measure that allows answering the general and specific evaluation questions

The evaluator has to identify the most appropriate indicators that will help to answer the evaluation questions.

The SIMRA evaluation approach (see Section 3 of this Manual) uses a combination of quantitative measures, through a predefined set of indicators already tested in different case studies across Europe and the Mediterranean region, and qualitative measures based upon in-depth semi-structured interviews with relevant stakeholders.

The quantitative approach has allowed the specification of a final set of:

- *Fifteen indicators* for the SIMRA Rapid Evaluation of the Social Innovation initiative
- *Sixty-four indicators* for the SIMRA Detailed Evaluation of the Social Innovation initiative
- *Forty-three indicators* for the SIMRA Conventional Evaluation of Social Innovation initiative

From this database of indicators, the evaluator can choose which sub-set of indicators fits the evaluation needs identified in Tasks 1 and 2, by considering the time required for the evaluation and the available resources. The rapid, detailed and conventional evaluations are described in Section 4.2.

The evaluator could also select the qualitative approach, which is presented in Tools 7 and 8 included in the Technical Annex and described in Section 5. Finally, the evaluator could choose a combination of qualitative and quantitative approaches which enable the triangulation of information collected.

#### **Box 4.4** - Examples of descriptive, normative and cause and effect questions based on the SIMRA General Evaluation Framework

##### *Descriptive questions:*

- *To what extent has the trigger affected the local community, according to innovator(s) and follower(s)?*
- *To what extent have governance shifts determined the emergence of the Social Innovation idea?*
- *To what extent do the actors in the Social Innovation perceive the idea as innovative in their territory?*

##### *Normative questions:*

- *To what extent have the specific objectives been achieved by the Social Innovation project?*
- *To what extent has the schedule of the Social Innovation project been met, according to the self-evaluation of the Project Manager?*
- *To what extent have the planned activities been implemented and completed, according to the Project Manager?*

##### *Cause and effect questions:*

- *To what extent has the social inclusion of the local community improved as perceived by the direct beneficiaries of the Social Innovation project?*
- *To what extent has the marginalisation problems improved by the Social Innovation initiative, as perceived by stakeholders?*
- *To what extent has the Social Innovation initiative had negative effects on other actors (substitution effect)?*

### Task 6 – To identify the methodological design, source of data, sampling framing, and type of data collection instrument(s)

After the selection of the indicators, the evaluator has to specify the methodological design. In the evaluation literature, the evaluator can select three broad categories of design: experimental designs, quasi-experimental designs, and nonexperimental designs.



In the SIMRA project where the evaluation framework has been designed and implemented, a non-experimental design has been used, based on case studies purposively selected on specific criteria. The same data collection strategy has been used in all cases.

The evaluator could choose, in an ex-ante exercise, the most appropriate quantitative indicators as independent variables to be used in an experimental design with a random assignment of a population to treatment and control groups. Or, they could select a quasi-experimental design where intervention and comparison groups are formed either ex-ante or ex-post, but without a random assignment to groups. However, based on the experience gathered during the SIMRA project, it is challenging to identify an appropriate control group in relation to social innovation initiatives due to the unique nature of the innovation and innovator(s).

Concerning the source of data, the evaluator could choose a structured data collection approach in which the data are gathered in the same way, which is specifically useful in multi-site and cluster evaluations. Alternatively, the evaluator could choose a semi-structured data collection approach in which data are not collected in the same way every time.

The SIMRA general evaluation approach has opted for a combination of structured and semi-structured data collection based on both quantitative and qualitative data.

Concerning the sampling, the evaluator could choose to collect data from all units of interest from a particular population (census) or a subset of units (sample). When the population is small, and the costs are affordable, the census approach is the preferred option. However, when the population is large, and the costs are high, the sample approach is the preferred choice.

The SIMRA general evaluation approach has opted for a combination of a census (referring to all of the actors involved in the process before the project) and a sample (concerning beneficiaries of the Social Innovation project).

Concerning the qualitative analysis, the option selected was the identification of key informants.

The data collection tools vary considerably, with structured and semi-structured data collection approaches being used. The options available are participatory data collection, analysis of records and secondary analysis, observation, surveys and interviews, focus group, diaries, journals, and self-reported checklists, expert judgement, Delphi technique, and other measurement tools.

The SIMRA general evaluation approach has opted for a combination of survey and interview, focus group, analysis of records and secondary analysis.

#### **Task 7 – To identify how the data will be analysed and presented in the final evaluation report**

The evaluator can opt for a qualitative data analysis. This is a procedure used to analyse data that are in a non-numerical format or quantitative data analysis, which summarises numerical information.

The SIMRA general evaluation approach has chosen to use both qualitative and quantitative data analysis which are presented in the format of indicators for the quantitative analysis and content analysis for the qualitative one.

For the final evaluation report, the evaluator normally has to refer to the specific format proposed in the Terms of Reference of the evaluation.

## **4.2 How to Select the SIMRA Evaluation Questions and Indicators**

For the quantitative analysis, the SIMRA Evaluation Manual proposes pre-defined and already tested sets of:

- General and specific evaluation questions
- General indexes, indexes, composite indicators and indicators
- Judgement criteria specified at the level of each indicator.



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



All of the sets have been developed in relation to a range of evaluation options described in Section 3. These sets, which have been validated in eleven case studies across Europe and the Mediterranean region, enable the evaluator to select the most appropriate general indexes, indexes, composite indicators and indicators based on the specific needs of the evaluation. This selection is performed by following a guided step-by-step path in which the general and specific evaluation questions help the evaluator in clarifying which indicators best match the needs of the evaluation.

The value added of this evaluation approach consists of an set of choices which have already been defined, with the aim of helping the evaluator perform their task.

An example of a guided step-by-step path is provided in Figure 4.3. By selecting one of the different options, the evaluator can identify the questions which guide them along the path towards a final set of indicators, which are specifically designed to provide a quantitative measure to the selected questions.

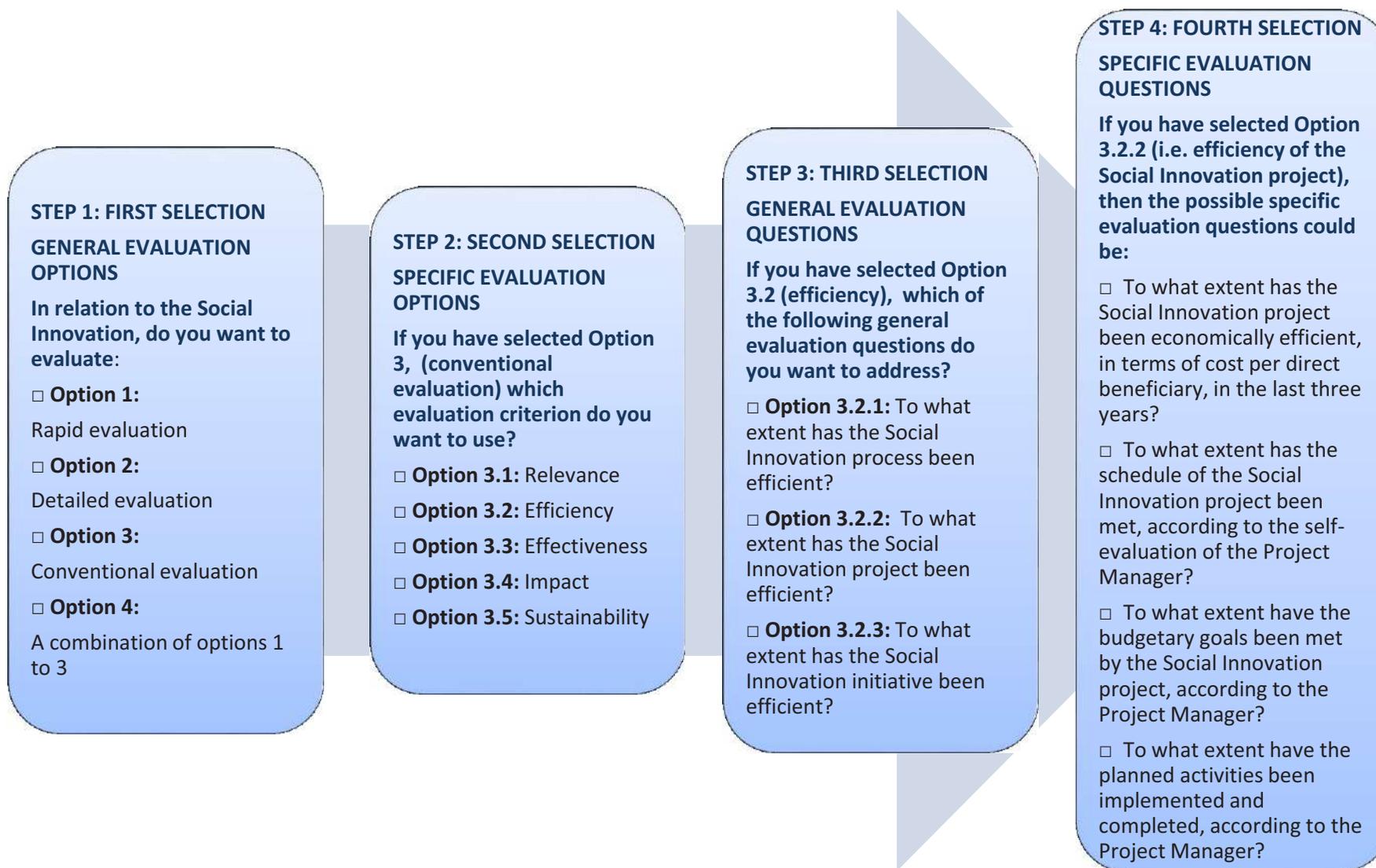


Figure 4.3. An example of a guided step-by-step path based on general and specific evaluation options and general and specific evaluation questions.



### 4.2.1 Step 1: First selection regarding general evaluation options

The first selection is performed in Step 1, in which the evaluator chooses from four general evaluation options:

- Option 1 – The rapid evaluation of Social Innovation based on the SIMRA definition of Social Innovation (hereafter called SIMRA Rapid Evaluation)
- Option 2 – The detailed evaluation of Social Innovation dimensions based on the SIMRA evaluation framework (hereafter called SIMRA Detailed Evaluation)
- Option 3 – The evaluation of the conventional evaluation criteria (i.e. relevance, efficiency, effectiveness, impact and sustainability) applied to specific elements of the SIMRA evaluation framework (hereafter called SIMRA Conventional Evaluation)
- Option 4 – A combination of previous options based on the specific evaluation needs (hereafter called SIMRA Ad hoc Evaluation).

Each of these options could be used by different users, i.e. external or internal evaluators, proponents of Social Innovation initiatives, financing agencies, private foundations, local development agencies, regional and national authorities managing European programmes contributing to Social Innovation initiatives, social scientists and practitioners.

The rapid evaluation, which is based on the SIMRA definition of Social Innovation, can be used by:

1. *External evaluators of social innovation initiatives* who want to understand, both in an ex-ante or in an ex-post exercise if, and to what extent, the Social Innovation initiative considered the key concepts of the SIMRA definition of Social Innovation: (i) the reconfiguration of social practices; (ii) the societal challenges; (iii) the outcomes on social wellbeing; (iv) the engagement of the civil society; (v) the perceived innovativeness;
2. *Proponents of social innovation initiatives* could be interested in using the key elements of the SIMRA definition of Social Innovation to verify, in an ex-ante exercise, if their concept notes or project proposal is handling the key concepts of Social Innovation correctly;
3. *Financing agencies, private foundations, local development agencies, national and regional managing authorities of European programmes contributing to Social Innovation initiatives* could be interested in using the key elements of the SIMRA definition of Social Innovation, together with other elements, for the ex-ante evaluation of proposals to be co-funded. Table 4.1 presents an example of a possible ex ante evaluation in which the criteria used to assess different project proposals of Social Innovation are the reconfiguring of social practices, the response to societal challenges, the outcome on wellbeing, the engagement of civil society, the perceived innovativeness, as well as the effectiveness, the costs and the risks. These criteria are used as examples as they should be defined on a case by case basis.

Table 4.1. Examples of using key concepts of the SIMRA definition of Social Innovation for eligibility purposes.

Proposals to be Evaluated	Effectiveness: High, medium, low	Costs: High, Medium, Low	Risks: High, Medium, Low	Other Eligibility Criteria:	Results of Assessment: Positive, neutral, Negative	Overall Assessment: High, Medium, Low
Proposal 1	High	Medium	Low	Reconfiguring of social practices:	Neutral	Medium-High
				Response to societal challenges:	Positive (+)	
				Outcomes on wellbeing:	Positive (+)	



				Engagement of civil society:	Neutral	
				Perceived innovativeness:	Positive (+)	
Proposal 2						
...						

Source: SIMRA project, based on European Commission (2001, p. 17) EX ANTE EVALUATION: A practical guide for preparing proposals for expenditure programmes [http://ec.europa.eu/smart-regulation/evaluation/docs/ex\\_ante\\_guide\\_2001\\_en.pdf](http://ec.europa.eu/smart-regulation/evaluation/docs/ex_ante_guide_2001_en.pdf)

The detailed evaluation based on the Social Innovation parts of Reflection, Reaction, Reconfiguring, Realisation and Replication can be used for different purposes.

1. *Organisations proposing a Social Innovation initiative* could be inspired by these indicators, and by the indicators of the conventional evaluation, to easily identify output, outcome, and impact indicators of the logical framework or result-chains they propose;
2. *Organisations implementing a Social Innovation initiative* could use the full set of indicators of the detailed evaluation for a self-evaluation of their own initiative based on the different dimensions of the SIMRA evaluation framework. Specifically, the indicators related to the Realisation dimension, which focus on inputs, activities and outputs, could be used for the monitoring of the Social Innovation project;
3. *Internal and external evaluators of a Social Innovation initiative* could select the most appropriate indicators of the Social Innovation dimensions to verify their assumptions and specific evaluation questions together with the indicators of the SIMRA Conventional Evaluation.

The conventional evaluation based on relevance, efficiency, effectiveness, impact and sustainability criteria (i.e., the REEIS evaluation) could be used by:

1. *Internal or external evaluators of a Social Innovation initiative.* Note that the REEIS indicators have been specified for the Social Innovation process, project and initiative;
2. *Organisations implementing a Social Innovation initiative* could use the REEIS indicators for a self-evaluation of their initiative.

#### 4.2.2 Step 2: Second selection regarding specific evaluation options

The second selection is performed in Step 2, in which the evaluator specifies, in relation to the general evaluation option previously selected, the specific evaluation options to be considered and used in the following guided step-by-step path.

- In relation to the SIMRA Rapid Evaluation, the evaluator has to decide if they want to evaluate all five keywords of the SIMRA definition of Social Innovation or only some of them (e.g. the outcomes on social wellbeing). This means that all five elements (keywords) can be measured with indexes, or only some of them.
- For the SIMRA Detailed Evaluation, the evaluator has to define if they want to analyse all five parts included in the SIMRA Evaluation Framework or only some of them (e.g. Reflection and/or Reaction). This means that all five parts are measured with indexes, or only some of them.
- For the SIMRA Conventional Evaluation, the evaluator has to define if they want to value all five evaluation criteria, or only some of them (e.g. Impact). This means that all five criteria are measured with indexes, or only some of them.
- Or, the evaluator could select an *ad hoc* combination of the above options, based upon the evaluation needs agreed with the client or the advisory group of the evaluation.



### 4.2.3 Step 3: Third selection regarding general evaluation questions

The third selection is performed in Step 3, and presented in Figure 4.3. In this, the evaluator implements other choices by selecting the general evaluation questions that best fit their evaluation needs and related to the specific evaluation options chosen in the previous step. Five general evaluation questions have been identified for the rapid evaluation, 16 general evaluation questions for the detailed evaluation and 15 general evaluation questions for the conventional evaluation. The full list of general evaluation questions is presented in Table 4.2.

### 4.2.4 Step 4: Fourth selection related to specific evaluation questions

The fourth selection is performed in Step 4, and presented in Figure 4.3. In this, the evaluator selects the specific evaluation questions related to the general evaluation question(s) identified in the previous Step. In the case of the rapid evaluation of the Social Innovation, the specific evaluation questions have been identified for each of the elements of the SIMRA definition of Social Innovation, as presented in Table 4.3. The same approach has been proposed in Tables 4.4 and 4.5 in relation to the detailed evaluation, which considers the dimensions of Social Innovation, and the conventional evaluation which consider the relevance, efficiency, effectiveness, impact and sustainability of the Social Innovation process, project and initiative. The identification of the specific evaluation questions allows specifying the indicators as evidenced in Tables 4.3, 4.4 and 4.5.

Table 4.2. General evaluation questions for SIMRA Rapid, Detailed and Conventional Evaluations

Op.	Items	N°	General Evaluation Questions
SIMRA Rapid Evaluation	Reconfiguring of social practices	1	To what extent has the reconfiguration of social practices occurred?
	Response to societal challenges	2	To what extent has the Social Innovation been a response to social challenges?
	Outcome on social wellbeing	3	To what extent have the outcomes on social wellbeing been achieved through the Social Innovation initiative?
	Engagement of civil society	4	To what extent has the Social Innovation determined the engagement of civil society?
	Perceived innovativeness	5	To what extent has the Social Innovation been perceived as innovative?
SIMRA Detailed Evaluation	Reflection	1	To what extent has the trigger and social needs affected the local community?
		2	To what extent have perceived opportunities and threats enabled the Social Innovation process?
	Reaction	3	To what extent has the Social Innovation idea been innovative and attractive?
		4	To what extent has the leadership been charismatic and contributed to reach the results?
		5	To what extent have the actors of the Social Innovation process been resilient?
		6	To what extent have the actors of the Social Innovation process been endowed with different capabilities?
		7	To what extent have the endogenous drivers determined the Social Innovation process?
		8	To what extent have preparatory actions, motivations and expertise determined the engagement of the actors in the Social Innovation process?



	Reconfiguring	9	To what extent has the Social Innovation process promoted new networks of collaborative relationships?
		10	To what extent has the Social Innovation process promoted new attitudes in the actors?
		11	To what extent has the Social Innovation process promoted new governance arrangements?
	Realisation	12	To what extent has a structured planning and management been foreseen in the Social innovation project?
		13	To what extent have project partners and other external actors supported the Social Innovation?
		14	To what extent have direct beneficiaries established new relationships with other actors?
Replication	15	To what extent has the Social Innovation initiative determined feedbacks loops and multiplier effects?	
	16	To what extent has the Social Innovation initiative determined critical innovation effects?	
<i>SIMRA Conventional Evaluation</i>	Relevance	1	To what extent has the Social Innovation process been relevant?
		2	To what extent has the Social Innovation project been relevant?
		3	To what extent has the Social Innovation initiative been relevant?
	Efficiency	4	To what extent has the Social Innovation process been efficient?
		5	To what extent has the Social Innovation project been efficient?
		6	To what extent has the Social Innovation initiative been efficient?
	Effectiveness	7	To what extent has the Social Innovation process been effective?
		8	To what extent has the Social Innovation project been effective?
		9	To what extent has the Social Innovation initiative been effective?
	Impact	10	To what extent has the Social Innovation process determined an impact?
		11	To what extent has the Social Innovation project determined an impact?
		12	To what extent has the Social Innovation initiative determined an impact?
	Sustainability	13	To what extent has the Social Innovation process been sustainable?
		14	To what extent has the Social Innovation project been sustainable?
		15	To what extent has the Social Innovation initiative been sustainable?



Table 4.3. Specific evaluation questions for the SIMRA Rapid Evaluation of Social Innovation.

<b>Index</b>	<b>Specific Evaluation Questions</b>
X1 Reconfiguring of social practices	To what extent have social practices improved due to the Social Innovation process, according to the individual perception of actors?
	To what extent have social practices improved due to the Social Innovation process, according to the collective perception of the actors involved?
	To what extent have social practices been reconfigured due to the Social Innovation process, according to the perceptions of actors?
	To what extent has the Social Innovation process been perceived as innovative?
	To what extent has the Social Innovation process improved social practices, governance arrangements and social networks?
X2 Response to Societal challenges	To what extent has the Social Innovation initiative dealt with European societal challenges?
	To what extent has the Social Innovation initiative improved the European societal challenges in the territory, according to the Social Innovation actors?
X3 Outcomes on social wellbeing	To what extent has the Social Innovation initiative affected social cohesion inside and outside the territory according to the beneficiaries?
	To what extent has the Social Innovation initiative improved aspects of governance in the territory?
X4 Engagement of civil society	To what extent has the local community contributed to the results of the Social Innovation initiative?
	To what extent has the motivation to serve a good cause inspired the actors in the Social Innovation network?
	To what extent have the actors been participating in network meetings?
	To what extent has the Social Innovation network engaged civil society?
X5 Perceived innovativeness	To what extent has the Social Innovation initiative been validate as innovative, according to the Social Innovation actors and beneficiaries?
	To what extent has each phase of the Social Innovation initiative been validated as innovative?

Table 4.4. Specific evaluation questions and indicators for the SIMRA Detailed Evaluation of Social Innovation.

<b>Index</b>	<b>Composite Indicator</b>	<b>Specific Evaluation Questions</b>
X6 Reflection	X6.1. Trigger and social needs	To what extent has the trigger affected the local community, according to Innovator(s) and Follower(s)?
		To what extent has the Social Innovation idea tackled individual and collective needs?
		To what extent have governance shifts determined the emergence of the Social Innovation idea?
		To what extent has the Social Innovation initiative been consistent with the European societal challenges?
	X6.2. Perceived Opportunities and Threats (POT)	To what extent have local conditions enabled the Social Innovation's emergence?
		To what extent have supportive policies sustained the results of the Social Innovation initiative?
To what extent has the Social Innovation initiative dealt with issues of governance?		
X7.1. Social		To what extent has the Social Innovation idea attracted the Transformer(s)?



X8 Reconfiguring	Innovation Idea	To what extent do the actors in the Social Innovation process perceive the idea as innovative in their territory?
	X7.2. Leadership	To what extent have leadership features of the leader(s) attracted other actors to join the process?
		To what extent have the Innovator(s) and Follower(s) contributed to the results of the Social Innovation initiative?
	X7.3. Resilience	To what extent have Innovator(s) and Follower(s) been resilient to changing circumstance(s), according to the perception of Transformer(s)?
		To what extent have the actors in the Social Innovation process been resilient to changing circumstances?
	X7.4. Capabilities	To what extent have the capabilities of Innovator(s) and Follower(s) determined the development of the Social Innovation initiative?
		To what extent have the previous experiences of actors contributed to the development of the Social Innovation process?
		To what extent have the technical capabilities of actors helped to develop the Social Innovation idea?
	X7.5. Endogenous vs. exogenous drivers of the Social Innovation process	To what extent have newcomers contributed to the development of the Social Innovation process?
		To what extent have external helpers contributed to the results achieved by the Social Innovation initiative?
		To what extent have the actors in the Social Innovation process contributed to the creation of bridges with external actors?
	X7.6. Preparatory actions, motivations, and expertise	To what extent have preparatory actions been carried out by the Innovator(s) and Follower(s)?
		To what extent have social motivations of actors determined the emergence of the Social Innovation network?
		To what extent has the expertise of members of the network determined their engagement?
	X8.1. New networks	To what extent have the Social Innovation members attended the process meetings?
		To what extent have members of the Social Innovation network been equally distributed amongst the public and private sector?
		To what extent have members of the network contributed to the results of the Social Innovation initiative?
		To what extent were the actors in the core group of the Social Innovation network endowed with a high reputational power?
		To what extent have female members been included in the Social Innovation network?
		To what extent have young people participated in the Social Innovation network?
		To what extent has the Social Innovation process been promoted by actors with university level qualifications?
		To what extent have members of the Social Innovation network been equally distributed amongst different economic sectors?
		To what extent have members of the Social Innovation process been equally distributed across different geographical levels?
		To what extent have new relationships been created within the Social Innovation network?
To what extent were members of the Social Innovation process been equally distributed		



		across different social, institutional and economic categories?
		To what extent has trust been spread amongst the actors within the Social Innovation network?
		To what extent were actors in the network representative of the categories of organisations involved in the Social Innovation network?
	X8.2. New attitudes	To what extent have the Transformer(s) been proactive during the Social Innovation process?
		To what extent have the actors felt empowered during the Social Innovation process?
	X8.3. New governance arrangements	To what extent have the actors in the Social Innovation process been involved in the decision-making processes?
		To what extent have formal and informal norms been shared amongst the members of the Social Innovation network?
		To what extent have actors in the Social Innovation process recognised as internal mechanisms the application of formal sanctions?
		To what extent did the actors in the Social Innovation process trust the public institutions?
× 0	X9.1. Planning	To what extent has structured planning been foreseen in the Social Innovation project?



		To what extent has the management of human resource been foreseen in the Social Innovation project?	
		To what extent has the management of financial resources been foreseen in the Social Innovation project?	
		To what extent has the management of materials and infrastructural resources been foreseen in the Social Innovation project?	
		To what extent has the management of communication and marketing been foreseen in the Social Innovation project?	
		To what extent has the management of the administration been foreseen in the Social Innovation project?	
		To what extent has the management of monitoring and evaluation been foreseen in the Social Innovation project?	
	X9.2. Support by project partners and external agencies	To what extent have project partners contributed to the achievement of the results of the Social Innovation?	
		To what extent have external financing agencies contributed to supporting the Social Innovation project?	
		To what extent has the Project Manager been capable of planning the activities of the Social Innovation project before implementing it?	
		To what extent has the Project Manager been capable of developing the procedures of the Social Innovation project into written tasks and roles?	
		To what extent has the Project Manager been capable of applying the practices of the Social Innovation project and to complete the activities?	
	X9.3. Beneficiaries	To what extent have direct beneficiaries established new relationships due to the Social Innovation initiative?	
		To what extent have direct beneficiaries established new relationships with institutions due to the Social Innovation initiative?	
		To what extent have female beneficiaries been included in the Social Innovation project?	
		To what extent have young people been included in the Social Innovation project?	
	X10 Replication	X10.1. Feedback loops and multiplier Effects	To what extent has the Social Innovation initiative been disseminated in order to increase the likelihood to generate feedback loops?
			To what extent has the Social Innovation initiative been upscaled to higher levels?
			To what extent have people in different contexts come to learn about the Social Innovation initiative and then did something similar themselves?
			To what extent were the actors in the Social Innovation initiative capable of identifying elements that would enable its replication?
		X10.2 Critical Innovation Effects	To what extent would similar effects be produced by other initiatives (dead-weight effect) in the territory?
			To what extent has the Social Innovation initiative had negative effects on other actors (substitution effect)?
To what extent has the Social Innovation initiative had negative effects outside the territory (displacement effect)?			



Table 4.5. Specific evaluation questions and indicators for the SIMRA Conventional Evaluation of Social Innovation.

<b>Index</b>	<b>Composite Indicator</b>	<b>Specific Evaluation Questions</b>	
X11 Relevance	X11.1 Relevance of the Social Innovation Process	To what extent have the individual and collective needs of the actors been shared within the whole Social Innovation network?	
		To what extent has the vision of collective needs been shared by actors of the Social Innovation process?	
	X11.2 Relevance of the Social Innovation Project	To what extent have the outputs of the Social Innovation project met the needs of the beneficiaries, on a quantitative scale?	
		To what extent have the outputs of the Social Innovation project met the needs of the beneficiaries, on a qualitative scale?	
	X11.3 Relevance of the Social Innovation Initiative	To what extent have the products and/or services provided by the Social Innovation initiative satisfied the territorial needs of actors?	
		To what extent were the needs of the actors of the Social Innovation initiative consistent with those identified by the beneficiaries?	
		According to the stakeholders, to what extent has the Social Innovation initiative dealt with the marginalisation problems of the territory?	
	X12 Efficiency	X12.1 Efficiency of the Social Innovation Process	To what extent have the expectations of the actors been met with respect to the efficient use of time in the Social Innovation process?
			To what extent have the resources invested by the actors of the Social Innovation process been efficiently used?
To what extent have collaborations amongst actors of the Social Innovation network been efficient?			
X12.2 Efficiency of the Social Innovation Project		To what extent has the Social Innovation project been economically efficient, in terms of cost per direct beneficiary, in the last three years?	
		To what extent has the schedule of the Social Innovation project been met, according to the self-evaluation of the Project Manager?	
		To what extent have the budgetary goals been met by the Social Innovation project, according to the Project Manager?	
		To what extent have the planned activities been implemented and completed, according to the Project Manager?	
X12.3 Efficiency of the Social Innovation Initiative	To what extent have the resources invested by the actors of the Social Innovation initiative (i.e. Innovator(s), Follower(s), Transformer(s), project partners and beneficiaries) been efficiently used?		
X13 Effective	X13.1 Effectiveness of the Social Innovation	To what extent have the expected changes in terms of new networks, new governance arrangements and new attitudes of the Social Innovation process been realised as observed changes?	



X14 Impact		To what extent has the Social Innovation process created changes in networks, governance arrangements, and attitudes as perceived by the actors?
		To what extent have the collaborative relationships between the actors increased due to the Social Innovation process?
		To what extent have the internal and external governance arrangements of the Social Innovation initiative changed as perceived by the actors due to the Social Innovation process?
	X13.2 Effectiveness of the Social Innovation Project	To what extent have beneficiaries been satisfied with the results of the Social Innovation project?
		To what extent have new outputs (products and services) proposed by the Project Manager been delivered to the beneficiaries?
		To what extent have new direct beneficiaries been reached by the Social Innovation project in the last year?
		To what extent have the specific objectives been achieved by the Social Innovation project?
	X13.3 Effectiveness of the Social Innovation Initiative	To what extent did the actors of the Social Innovation process make a difference in territory with the Social Innovation initiative, according to their perceptions?
		To what extent have all of the actors in the Social Innovation initiative been satisfied with its results?
		To what extent have the collaborative relationships between the actors increased due to the Social Innovation initiative?
	X14.1 Impact of the Social Innovation project	To what extent has the social inclusion in the local community improved as perceived by the direct beneficiaries of the Social Innovation project?
		What is the proportion of indirect beneficiaries of the total number of beneficiaries (direct and indirect), as estimated by the direct beneficiaries of the Social Innovation project?
	X14.2 Impact of the Social Innovation initiative	To what extent have the marginalisation problems improved by the Social Innovation initiative, as perceived by stakeholders?
	To what extent have the impacts of the Social Innovation initiative in the four domains been positive according to the stakeholders?	
	To what extent have the stakeholders perceived a net impact resulting from the balance between positive and negative impacts of the Social Innovation initiative in the four domains?	
	To what extent have the actors perceived the Social Innovation initiative to have had effects inside and outside the territory in the four domains?	
	To what extent have the actors perceived the Social Innovation initiative to have had effects inside the territory in the four domains?	
	To what extent have the actors perceived the Social Innovation initiative to have had effects outside the territory in the four domains?	
	To what extent have the effects of the Social Innovation initiative in the four domains been positive according to the beneficiaries?	



		To what extent have governance aspects improved due to the Social Innovation initiative, according to the actors?
		To what extent have European societal challenges improved due to the Social Innovation initiative, according to actors?
X16 Sustainability	X15.1 Sustainability of the Social Innovation project	To what extent has the Social Innovation project been financed with internal resources?
		To what extent was the Social Innovation project's financially sustainable over time according to Innovator(s), Follower(s) and the Project Manager?
	X15.2 Sustainability of the Social Innovation initiative	To what extent have the collaborative relationships amongst actors of the Social Innovation process been sustainable?
		To what extent is the Social Innovation initiative likely to continue into the future?
		To what extent do the Innovator(s), Follower(s) and project partners recognise the existence of the social, economic, environmental and institutional factors that contribute the Social Innovation initiative being sustainable?

At the end of this selection process, the evaluator identifies the indicators. Each of the specific evaluation questions is linked to an indicator, which can be interpreted through a judgement criterion. For an example, see Table 4.6, which proposes the judgement criteria defined in relation to the four indicators of the Effectiveness of the Social Innovation project (see the Technical Annex for additional information).

Table 4.6. Examples of indicators and judgement criteria

Composite Indicator	Specific Evaluation Questions	Indicator	Judgement Criterion
X13.2 Effectiveness of the Social Innovation Project	To what extent have beneficiaries been satisfied with the results of the Social Innovation project?	F5. Level of satisfaction of beneficiaries with the results of the Social Innovation project	The higher the level of satisfaction of beneficiaries with the results of the project, the greater the effectiveness of the Social Innovation project.
	To what extent have new outputs (products and services) proposed by the Project Manager been delivered to the beneficiaries?	F6. Comparison between proposed and delivered outputs of the Social Innovation project, on a qualitative scale	The higher the amount of outputs (products and services) delivered to the beneficiaries with respect to those proposed by the Project Manager, the greater the likelihood of the Social Innovation project reaching the specific objective(s), and thus its effectiveness.
	To what extent have new direct beneficiaries been reached by the Social Innovation project in the last year?	F7. New direct beneficiaries reached by the Social Innovation Project	The higher the percentage of new direct beneficiaries reached by the Social Innovation project, the greater its likelihood to achieve the specific objective(s), and thus its effectiveness.
	To what extent have the specific objectives been achieved by the Social Innovation project?	F8. Project Manager self-evaluation of the Social Innovation project achieving the specific objectives	The more the specific objectives have been achieved by the Social Innovation project, the greater its effectiveness according to the Project Manager.



## 4.3 Operationalising the SIMRA Rapid, Detailed and Conventional Evaluations

In the SIMRA evaluation framework, the concept of Social Innovation is analysed by using an abstraction scale, which enables the investigations of general, intermediate, specific, basic and single unit concepts<sup>82,83</sup>. The abstraction scale organises the evaluation method linking:

- *General concepts* to Social Innovation
- *Intermediate concepts* to (i) five keywords of the SIMRA definition of Social Innovation, (ii) five parts of Social Innovation identified in the SIMRA Evaluation Framework, (iii) five evaluation criteria
- *Specific concepts* to (i) 16 sub-dimensions and (ii) 13 evaluation sub-criteria for the process, project and initiative (*please note that no specific concepts are applicable to the SIMRA definition*)
- *Basic concepts* to 122 indicators
- *Single unit concepts* to variables based on questions in Tools from 1 to 6.

The Table 4.6 specifies the conceptualisation and operationalisation of Social Innovation in the SIMRA Rapid, Detailed and Conventional Evaluations respectively, and provides a specific example for each type of concept used and the related statistical measure proposed.

The general concept of Social Innovation is measured through three different General Indexes:

- The SIMRA definition of Social Innovation: this is assessed through the SIMRA Rapid Evaluation and synthetically measured through the SIMRA1 General Index;
- The dimensions of Social Innovation as developed in the SIMRA Evaluation Framework: these are assessed through the SIMRA Detailed Evaluation and synthetically measured altogether through the SIMRA2 General Index;
- The relations within and amongst dimensions of the SIMRA Evaluation Framework: these are assessed through the SIMRA Conventional Evaluation based on Relevance, Efficiency, Effectiveness, Impact and Sustainability (REEIS) evaluation criteria and synthetically measured with the SIMRA3 General Index.

The intermediate concepts divide the general ones into an operational level of analysis specifying:

- What are the five key elements to be considered in the SIMRA definition of Social Innovation that are measured through indexes from X1 to X5;
- What are the five specific parts of the Social Innovation as presented in the SIMRA Evaluation Framework that are measured through indexes from X6 to X10;
- What are the five evaluation criteria to be selected that are measured through indexes from X11 to X15.

---

<sup>82</sup> Corbetta, P. (2014). Metodologia e tecniche della ricerca sociale. Bologna: Il Mulino.

<sup>83</sup> Pisani, E., Franceschetti, G., Secco, L. and Christoforou, A. (2017). Social Capital and Local Development: from theory to empirics. Palgrave McMillan Springer Nature.



	Conceptualisation	Operationalisation			
SIMRA Rapid Evaluation	<i>Scale of abstraction</i>	<i>Statistical measure</i>	<i>Evaluation of:</i>	<i>Example: code</i>	<i>Example: title</i>
	General concepts	General index	Social innovation definition	SIMRA1	SIMRA definition of Social Innovation
	Intermediate concepts	Index	Five Keywords	X1	Reconfiguring of social practices
	Specific concepts	Composite indicators	[Not applicable]	[Not applicable]	[Not applicable]
	Basic concepts	Indicators	15 Indicators	SIR1	Individual perceptions of actors of the improvement in social practices due to the Social Innovation process
	Single unit concepts	Variables	Variables based on questions in the Tools from 1 to 6	E.2 F.4 G.8	On a scale from 1 (not at all) to 10 (to a great extent), to what extent your personal network of relations has improved as a result of the [Social Innovation process]?  On a scale from 1 (not at all) to 10 (to a great extent), , to what extent have your personal attitudes improved thanks to the [Social Innovation process]?  On a scale from 1 (not at all) to 10 (to a great extent), to what extent did you feel empowered during the [Social Innovation process]?
SIMRA Detailed Evaluation	General concepts	General index	Social innovation evaluation framework	SIMRA2	Dimensions of the SIMRA Evaluation Framework
	Intermediate concepts	Index	Five Dimensions	X6	Reflection
	Specific concepts	Composite indicators	16 Sub-dimensions	X6.1	Trigger and social needs
	Basic concepts	Indicators	64 Indicators	Aa1	Trigger width
	Single unit concepts	Variables	Variables based on questions in the Tools from 1 to 6	B.1. From B.1.1 to B.1.5	Who among the following was most affected by the trigger?  1. My self, 2. My family, 3. My close friends, 4. My job colleagues, 5. My community



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



SIMRA Conventional evaluation	General concepts	General index	Social innovation evaluation criteria	SIMRA3	Relevance, Efficiency, Effectiveness, Impact, Sustainability (REEIS) evaluation
	Intermediate concepts	Index	Five Evaluation criteria	X11	Relevance
	Specific concepts	Composite indicators	13 Evaluation sub-criteria for process, project, initiative	X11.1	Relevance of the process
	Basic concepts	Indicators	45 Indicators	R1	Needs individually and collectively shared by actors of the Social Innovation process
	Single unit concepts	Variables	Variables based on questions in the Tools from 1 to 6	B.2 B.3	Which were the 3 main personal needs that you wanted to satisfy with your Social Innovation idea?  And the 3 main needs of your territory (colletive needs), which you also wanted to satisfy with your Social Innovation idea?

*Table 4.7. Conceptualisation and operationalisation in the SIMRA Rapid, Detailed and Conventional Evaluations of Social Innovation*



The specific concepts progressively increase the level of operationalisation of general and intermediate concepts by identifying:

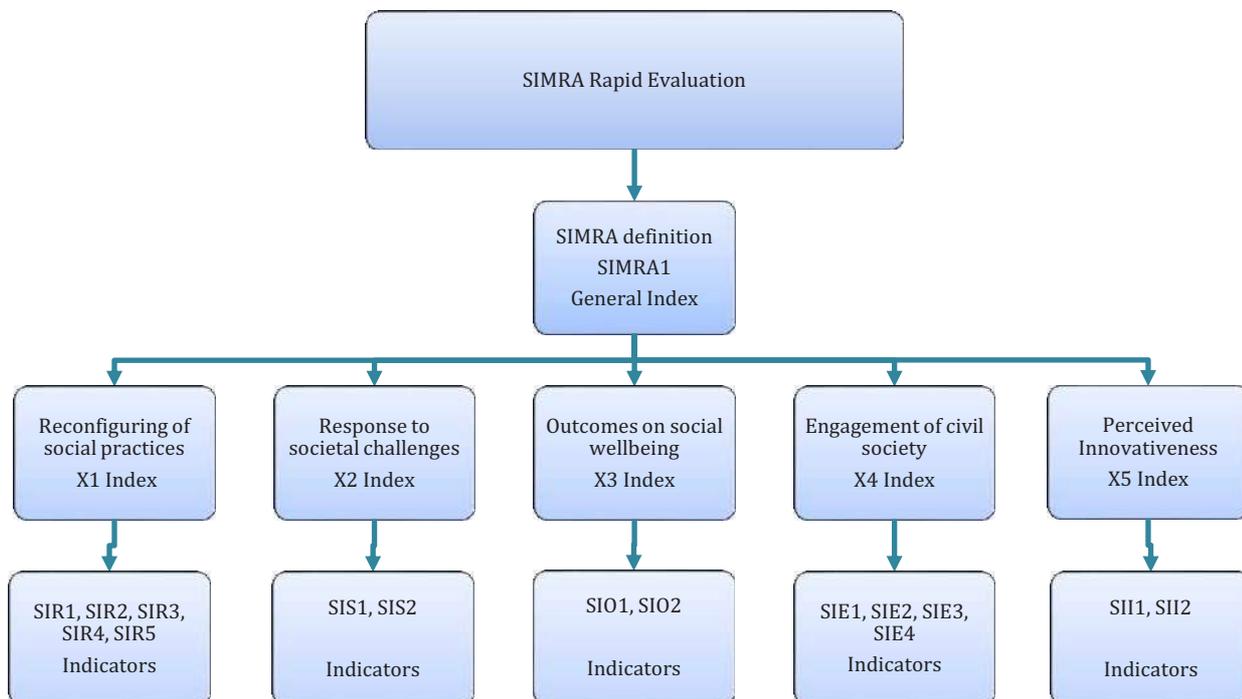
- What are the sub-dimensions of the Social Innovation based on the SIMRA Evaluation Framework that are consequently measured through composite indicators from Aa1 to Hb3;
- What are the sub-criteria for the conventional evaluation of the Social Innovation based on the SIMRA Evaluation Framework that are measured through composite indicators from R1 to S3;
- The specific concepts that are not applicable to the SIMRA definition of Social innovation.

The basic concepts are the basis of the evaluation and correspond to indicators developed in the three different types of evaluation. OECD (2008)<sup>84</sup> defines indicators as: “[...] the basis for evaluation in relation to a given objective which indicates the desired direction of change” (p.51). There are 122 items in the full list of indicators.

Indicators are based on single unit concepts or variables, defined as constructed measure stemming from a process that represents, at a given point in space and time, a shared perception of a real-world state of affairs consistent with a given indicator (*Ibidem*). For the full list of variables see the Technical Annex of the Manual.

### 4.3.1 Operationalising the SIMRA Rapid Evaluation of Social Innovation

The evaluator will focus on the five keywords of the SIMRA definition of Social Innovation, which are: (i) the reconfiguring of social practices; (ii) the response to societal challenges; (iii) the outcomes on social wellbeing; (iv) the engagement of civil society. In addition to these elements, the rapid evaluation foresees the inclusion of the “perceived innovativeness” to highlight what the internal and external actors perceive in terms of innovativeness of the different phases described in Section 2. The operationalisation of the SIMRA Rapid Evaluation is presented in Figure 4.4, showing its hierarchical structure.



<sup>84</sup> OECD (2008). Handbook on Constructing Composite Indicators. Methodology and User Guide. Paris, OECD Publications.



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



*Figure 4.4. SIMRA Rapid Evaluation of Social Innovation: from the general index to indicators.*

In relation to the SIMRA definition of Social Innovation, Table 4.7 presents general evaluation questions and related indexes, specific evaluation questions and related indicators and judgement criteria specified for each indicator.



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



Table 4.8. Key elements for the SIMRA Rapid Evaluation

General evaluation questions	Index	Specific evaluation questions	Indicator		Judgement criterion
To what extent has the reconfiguration of social practices occurred?	<b>X1</b> Reconfiguring of social practices	To what extent have social practices improved due to the Social Innovation process, according to the individual perception of actors?	<b>SIR1</b>	Individual perceptions of actors of the improvement in social practices due to the Social Innovation process	The higher the individual perceptions of actors of the improvement in social practices, the greater the capacity of the Social Innovation process to determine a reconfiguration.
		To what extent have social practices improved due to the Social Innovation process, according to the collective perception of the actors involved?	<b>SIR2</b>	Collective perceptions of actors of the improvement in social practices due to the Social Innovation process	The higher the collective perception of actors of the improvement in social practices, the greater the capability of the Social Innovation process to determine a reconfiguration.
		To what extent have social practices been reconfigured due to the Social Innovation process, according to the perceptions of actors?	<b>SIR3</b>	Perception of actors of the extent of the process of reconfiguration	The higher the number of changes perceived by the actors, the more the Social Innovation process can make a difference compared to the normal social practices used in the local context.
		To what extent has the Social Innovation process been perceived as innovative?	<b>SIR4</b>	Perceived level of innovation in the Social Innovation process	The higher the perceived level of innovation in the Social Innovation process, the greater its capability to determine the reconfiguration of social practices.
		To what extent has the Social Innovation process improved social practices, governance arrangements and social networks?	<b>SIR5</b>	Level of improvement resulted from the Social Innovation process	The higher the level of improvement resulted from the Social Innovation process, the greater the likelihood of the Social Innovation initiative creating a change.
To what extent has the Social Innovation been a response to social challenges?	<b>X2</b> Response to Societal challenges	To what extent has the Social Innovation initiative dealt with European societal challenges?	<b>SIS1</b>	Capability of the Social Innovation idea to deal with multiple European societal challenges	The higher the capacity of the Social Innovation initiative to deal with multiple European societal challenges at the same time, the greater the likelihood that it will spread its effects into different domains.
		To what extent has the Social Innovation initiative improved the European societal challenges in the territory, according to the Social Innovation actors?	<b>SIS2</b>	Perception of actors of the European societal challenges being improved in the territory due to the Social Innovation initiative	The higher the perception of the actors of the extent to which the European societal challenges have been addressed due to the Social Innovation initiative, the greater the likelihood that they will have positive effects in the local context.
To what extent have the outcomes on social wellbeing been achieved through the Social Innovation initiative?	<b>X3</b> Outcomes on social wellbeing	To what extent has the Social Innovation initiative affected social cohesion inside and outside the territory according to the beneficiaries?	<b>SIO1</b>	Perception of beneficiaries of changes in social cohesion inside and outside the territory	The higher the net positive effect on social cohesion inside and outside the territory as perceived by beneficiaries, the greater the likelihood of the Social Innovation initiative creating a positive impact.
		To what extent has the Social Innovation initiative improved aspects of governance in	<b>SIO2</b>	Contribution of the Social Innovation initiative to the	The higher the improvement in aspects of governance in the territory led by the Social



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



		the territory?		improvement in aspects of governance in the territory	Innovation initiative, the greater the likelihood of it creating positive governance and institutional impacts.
To what extent has the Social Innovation determined the engagement of civil society?	<b>X4</b> Engagement of civil society	To what extent has the local community contributed to the results of the Social Innovation initiative?	<b>SIE1</b>	Contribution of the local community to the results of the Social Innovation initiative	The higher the contribution of the local community to the results of the Social Innovation initiative, the greater its capacity to produce effects on multiple actors.
		To what extent has the motivation to serve a good cause inspired the actors in the Social Innovation network?	<b>SIE2</b>	Motivation of actors for engaging in the Social Innovation initiative	The higher the motivation of actors to serve a good cause by engaging in the Social Innovation initiative, the greater the likelihood of the Social Innovation initiative to produce its expected results and to achieve the desired effects in the long term.
		To what extent have the actors been participating in network meetings?	<b>SIE3</b>	Participation of actors in network meetings	The higher the level of participation in network meetings, the greater the likelihood of actors of the network of being aware and engaged in the Social Innovation initiative.
		To what extent has the Social Innovation network engaged civil society?	<b>SIE4</b>	Civil society engagement in the Social Innovation network	The higher the engagement of civil society in the Social Innovation network, the greater the likelihood of the Social Innovation process to produce its expected results.
To what extent has the Social Innovation been perceived as innovative?	<b>X5</b> Perceived innovativeness	To what extent has the Social Innovation initiative been validate as innovative, according to the Social Innovation actors and beneficiaries?	<b>SI11</b>	Internal validation of the innovativeness of the Social Innovation initiative	The higher the internal validation of innovativeness of the Social Innovation initiative, the higher its likelihood to produce innovative results.
		To what extent has each phase of the Social Innovation initiative been validated as innovative?	<b>SI12</b>	External validation of the innovativeness of the Social Innovation initiative as perceived by the actors	The higher the external validation of innovativeness of the Social Innovation initiative, the higher its likelihood to produce innovative results.



### 4.3.2 Operationalising the SIMRA Detailed Evaluation of Social Innovation

The evaluator will focus on the five parts of the SIMRA Evaluation Framework used for the description of Social Innovation, which are:

- Reflection (i.e. a. trigger and social needs, b. perceived opportunities and threats)
- Reaction (i.e. a. Social Innovation idea, b. leadership, c. resilience, d. capabilities, e. endogenous and exogenous drivers, f. preparatory actions, motivation and expertise)
- Reconfiguring (i.e. a. new networks, b. new attitudes, c. new governance arrangements)
- Realisation (i.e. a. planning and management, b. internal and external support, c. beneficiaries)
- Replication (i.e. a. feedback loops and multiplier effects, b. critical innovation effects).

Refer to Section 2 for a detailed description of each part, dimension and their contents. The operationalisation of the SIMRA Detailed Evaluation is presented in Figure 4.5 showing its hierarchical structure.

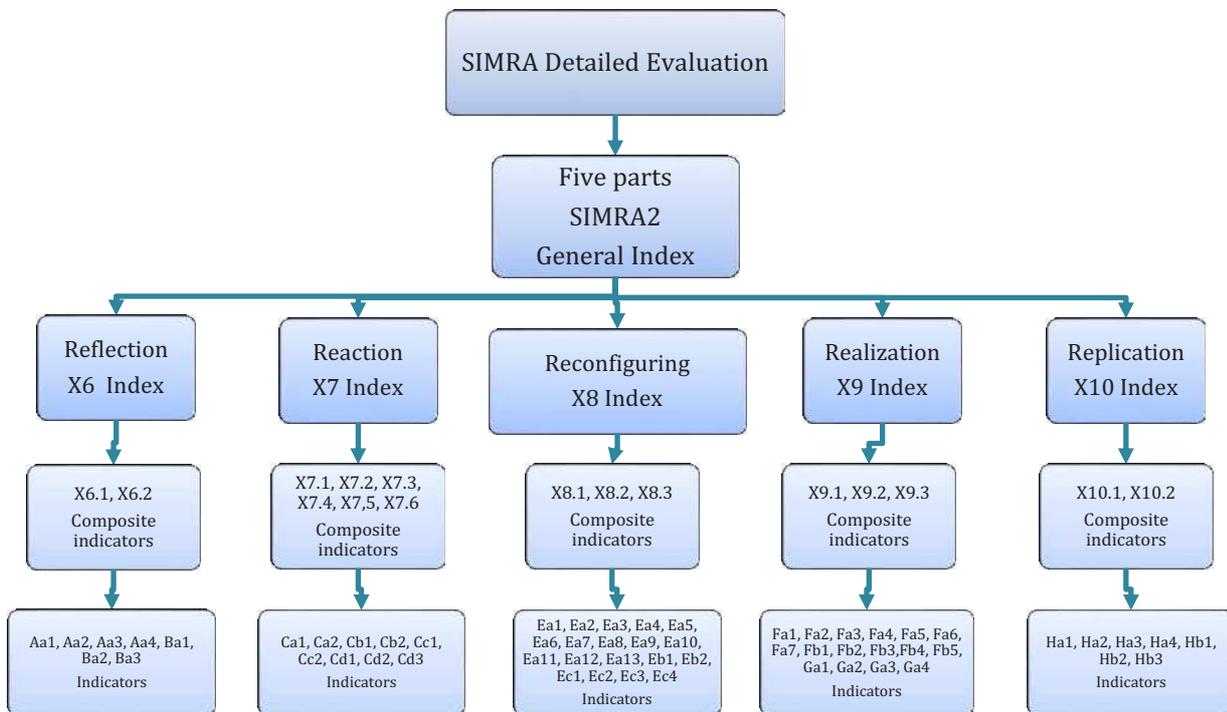


Figure 4.5. SIMRA Detailed Evaluation of Social Innovation: from the general index to indicators.

In relation to the five SIMRA parts of Social Innovation, Table 4.9 presents general evaluation questions and related composite indicators, specific evaluation questions and related indicators and judgement criteria specified for each indicator.



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



Table 4.9. Key elements for the SIMRA Detailed Evaluation of Social Innovation

	<b>General Evaluation Questions</b>	<b>Composite Indicator</b>	<b>Specific Evaluation Questions</b>	<b>Indicator</b>		<b>Judgement Criterion</b>
<b>Reflection (X6)</b>	To what extent has the trigger and social needs affected the local community?	<b>X6.1</b> Trigger and social needs	To what extent has the trigger affected the local community, according to Innovator(s) and Follower(s)?	<b>Aa1</b>	Trigger width	The higher the indicator value, the more the trigger affected the community as a whole and not just a few individuals.
			To what extent has the Social Innovation idea tackled individual and collective needs?	<b>Aa2</b>	Needs tackled by the Social Innovation idea	The higher the indicator value, the higher the number of individual and collective needs identified qualitatively by Innovator(s) and Follower(s).
			To what extent have governance shifts determined the emergence of the Social Innovation idea?	<b>Aa3</b>	Role of governance shifts in determining the emergence of the Social Innovation idea	The higher the indicator value, the greater the role of governance shifts in determining the emergence of the Social Innovation idea.
			To what extent has the Social Innovation initiative been consistent with the European societal challenges?	<b>Aa4</b>	Consistency of the Social Innovation initiative with European societal challenges	The higher the indicator value, the greater the consistency of the Social Innovation idea with European societal challenges.
	To what extent have perceived opportunities and threats enabled the Social Innovation?	<b>X6.2</b> Perceived Opportunities and Threats (POT)	To what extent have local conditions enabled the Social Innovation's emergence?	<b>Ba1</b>	Perceived Opportunities and Threats (POT)	The higher the indicator value, the more the Innovator(s) and Follower(s) identified more opportunities than threats.
			To what extent have supportive policies sustained the results of the Social Innovation initiative?	<b>Ba2</b>	Role of supportive policies for sustaining the results of the Social Innovation initiative	The higher the indicator value, the greater the role of supportive policies in achieving the results of the Social Innovation initiative.
			To what extent has the Social Innovation initiative dealt with issues of governance?	<b>Ba3</b>	Consistency of Social Innovation initiative with issues of governance	The higher the indicator value, the greater the consistency of Social Innovation initiative with issues of governance.
<b>Reactions (X7)</b>	To what extent has the Social Innovation idea been innovative and attractive?	<b>X7.1</b> Social Innovation Idea	To what extent has the Social Innovation idea attracted the Transformer(s)?	<b>Ca1</b>	Attractiveness of the Social Innovation idea	The higher the indicator value, the greater the attractiveness of the Social Innovation idea.
			To what extent do the actors in the Social Innovation process perceive the idea as innovative in their territory?	<b>Ca2</b>	Innovativeness of the Social Innovation idea in the territory	The higher the indicator value, the greater the perceived innovativeness of the Social Innovation idea in the territory.
	To what extent has the leadership been charismatic?	<b>X7.2</b> Leadership	To what extent have leadership features of the leader(s) attracted other actors to join the process?	<b>Cb1</b>	Attractiveness of the leadership	The higher the indicator value, the greater the leadership features of the Innovator(s) and Follower(s) in attracting Transformer(s).



and contributed to reach the results?		To what extent have the Innovator(s) and Follower(s) contributed to the results of the Social Innovation initiative?	<b>Cb2</b>	Innovators and Followers' contribution to the results of the Social Innovation initiative	The higher the indicator value, the higher the perception of the Innovator(s) and Follower(s)' contribution to the results of the Social Innovation initiative.
To what extent have the actors of the Social Innovation been resilient?	<b>X7.3</b> Resilience	To what extent have Innovator(s) and Follower(s) been resilient to changing circumstance(s), according to the perception of Transformer(s)?	<b>Cc1</b>	Perceptions of transformers of the resilience of Innovators and Followers	The higher the indicator value, the greater the Innovator(s) and Follower(s) are perceived as resilient.
		To what extent have the actors in the Social Innovation process been resilient to changing circumstances?	<b>Cc2</b>	Resilience of actors in the Social Innovation process	The higher the indicator value, the greater the perception of the actors in the Social Innovation process as being resilient.
To what extent have the actors of the Social Innovation been endowed with different capabilities?	<b>X7.4</b> Capabilities	To what extent have the capabilities of Innovator(s) and Follower(s) determined the development of the Social Innovation initiative?	<b>Cd1</b>	Innovators and Followers capabilities to develop the Social Innovation initiative	The higher the indicator value, the greater the Innovator(s) and Follower(s) capabilities in determining the development of the Social Innovation initiative.
		To what extent have the previous experiences of actors contributed to the development of the Social Innovation process?	<b>Cd2</b>	Previous experience of actors who contributed to the Social Innovation process	The higher the indicator value, the better the previous experiences of the actors who contributed to the development of the Social Innovation process.
		To what extent have the technical capabilities of actors helped to develop the Social Innovation idea?	<b>Cd3</b>	Technical capabilities of actors to develop the Social Innovation idea	The higher the indicator value, the more the technical capabilities of actors contributed to the development of the Social Innovation idea.
To what extent have the endogenous drivers determined the Social Innovation process?	<b>X7.5</b> Endogenous and exogenous drivers of the Social Innovation process	To what extent have newcomers contributed to the development of the Social Innovation process?	<b>Da1</b>	Role of newcomers in the Social Innovation process	The higher the indicator value, the greater the role of newcomers in the development of the Social Innovation process.
		To what extent have external helpers contributed to the results achieved by the Social Innovation initiative?	<b>Da2</b>	Perception of Social Innovation actors of the contribution of external helpers to the results of the Social Innovation initiative	The higher the indicator value, the greater the perceived contribution of external helpers to the results of the Social Innovation initiative.
		To what extent have the actors in the Social Innovation process contributed to the creation of bridges with external actors?	<b>Da3</b>	Bridging capability of Social Innovation process actors with external actors	The higher the indicator value, the greater the capability of the actors of the Social Innovation process to create bridges with external actors.
To what extent have preparatory actions,	<b>X7.6</b> Preparatory actions,	To what extent have preparatory actions been carried out by the Innovator(s) and Follower(s)?	<b>Db1</b>	Preparatory actions developed by Innovators and Followers	The higher the indicator value, the greater the number of preparatory actions developed by Innovator(s) and Follower(s).



	motivations and expertise determined the engagement of the actors in the Social Innovation process?	motivations, and expertise	To what extent have social motivations of actors determined the emergence of the Social Innovation network?	<b>Db2</b>	Social motivation of the actors of the Social Innovation network	The higher the indicator value, the more the social motivations of the Social Innovation network exceed the personal ones.
			To what extent has the expertise of members of the network determined their engagement?	<b>Db3</b>	Expertise motivating the engagement of Social Innovation actors	The higher the indicator value, the more the expertise motivated the engagement of actors in the Social Innovation.
<b>Reconfiguring (X8)</b>	To what extent has the Social Innovation process promoted new networks of collaborative relationships?	<b>X8.1</b> New networks	To what extent have the Social Innovation members attended the process meetings?	<b>Ea1</b>	Attendance level at meetings in the Social Innovation process	The higher the indicator value, the more the members of the Social Innovation process attended the meetings.
			To what extent have members of the Social Innovation network been equally distributed amongst the public and private sector?	<b>Ea2</b>	Balance between public and private sector of the members of the Social Innovation network	The higher the indicator value, the more the members of the Social Innovation process are equally distributed amongst the public and private sector.
			To what extent have members of the network contributed to the results of the Social Innovation initiative?	<b>Ea3</b>	Contribution of the members of the Social Innovation network to the results of the Social Innovation initiative	The higher the indicator value, the more the members of the Social Innovation network contributed to the results of the Social Innovation initiative.
			To what extent were the actors in the core group of the Social Innovation network endowed with a high reputational power?	<b>Ea4</b>	Reputational power in the core group of the Social Innovation network	The higher the indicator value, the greater the reputational power of the actors in the Social Innovation network.
			To what extent have female members been included in the Social Innovation network?	<b>Ea5</b>	Female inclusion in the Social Innovation network	The higher the indicator value, the greater the proportion of female members in the Social Innovation network.
			To what extent have young people participated in the Social Innovation network?	<b>Ea6</b>	Young people's participation in the Social Innovation network	The higher the indicator value, the more young people have participated in the Social Innovation network.
			To what extent has the Social Innovation process been promoted by actors with university level qualifications?	<b>Ea7</b>	Education level within the Social Innovation network	The higher the indicator value, the greater the proportion of Innovator(s), Follower(s) and Transformer(s) with university level qualifications involved in the Social Innovation process.
			To what extent have members of the Social Innovation network been equally distributed amongst different economic sectors?	<b>Ea8</b>	Balance across economic sectors of the members of the Social Innovation process	The higher the indicator value, the more the members of the Social Innovation process are equally distributed across five different economic sectors.
			To what extent have members of the Social Innovation process been equally distributed across different geographical levels?	<b>Ea9</b>	Balance across different geographic levels of the members of the Social Innovation process	The higher the indicator value, the more the members of the Social Innovation process are equally distributed across four different geographic levels.



		To what extent have new relationships been created within the Social Innovation network?	<b>Ea10</b>	New relationships within the Social Innovation network	The higher the indicator value, the greater the proportion of relationships within the Social Innovation network which were newly created.
		To what extent were members of the Social Innovation process been equally distributed across different social, institutional and economic categories?	<b>Ea11</b>	Balance across different social, institutional and economic categories of the members of the Social Innovation process	The higher the indicator value, the more the members of the Social Innovation process are equally distributed across in different social, institutional and economic categories.
		To what extent has trust been spread amongst the actors within the Social Innovation network?	<b>Ea12</b>	Level of internal trust in the Social Innovation network	The higher the indicator value, the greater the level of trust amongst the actors within the Social Innovation network.
		To what extent were actors in the network representative of the categories of organisations involved in the Social Innovation network?	<b>Ea13</b>	Level of representativeness of the actors involved in the Social Innovation network in relation to the categories of the organisations	The higher the indicator value, the greater the perceived level of representativeness of the actors in the Social Innovation network in relation to the categories of the organisations.
To what extent has the Social Innovation process promoted new attitudes in the actors?	<b>X8.2</b> New attitudes	To what extent have the Transformer(s) been proactive during the Social Innovation process?	<b>Eb1</b>	Level of pro-action of Transformers during the Social Innovation process	The higher the indicator value, the greater the proportion of transformers who were or became proactive during the Social Innovation process.
		To what extent have the actors felt empowered during the Social Innovation process?	<b>Eb2</b>	Perception of the actors of their level of empowerment during the Social Innovation process	The higher the indicator value, the more the actors felt empowered during the Social Innovation process.
To what extent has the Social Innovation process promoted new governance arrangements?	<b>X8.3</b> New governance arrangements	To what extent have the actors in the Social Innovation process been involved in the decision-making processes?	<b>Ec1</b>	Level of involvement in decision-making of the actors in the Social Innovation process	The higher the indicator value, the higher the level of involvement in decision-making during the Social Innovation process.
		To what extent have formal and informal norms been shared amongst the members of the Social Innovation network?	<b>Ec2</b>	Level to which formal and informal norms have been agreed all together	The higher the indicator value, the greater the proportion of actors who attest that the norms have been agreed all together.
		To what extent have actors in the Social Innovation process recognised as internal mechanisms the application of formal sanctions?	<b>Ec3</b>	Level of awareness of the adoption of formal sanctioning mechanisms	The higher the indicator value, the greater the proportion of actors of the Social Innovation process affirming that formal sanctioning mechanisms have been adopted.
		To what extent did the actors in the Social Innovation process trust the public institutions?	<b>Ec4</b>	Level of trust in public institutions of the actors of the Social Innovation process	The higher the indicator value, the greater the level of trust in public institutions.



<b>Realization (X9)</b>	To what extent has a structured planning and management been foreseen in the Social innovation Project?	<b>X9.1</b> Planning and Management	To what extent has structured planning been foreseen in the Social Innovation project?	<b>Fa1</b>	Level of planning in the Social Innovation project	The higher the indicator value, the greater the level of planning in the Social Innovation project.
			To what extent has the management of human resource been foreseen in the Social Innovation project?	<b>Fa2</b>	Level of management of human resources	The higher the indicator value, the greater the level of management of human resources in the Social Innovation project.
			To what extent has the management of financial resources been foreseen in the Social Innovation project?	<b>Fa3</b>	Level of management of financial resources	The higher the indicator value, the greater the level of management of the financial resources of the Social Innovation project.
			To what extent has the management of materials and infrastructural resources been foreseen in the Social Innovation project?	<b>Fa4</b>	Level of management of materials and infrastructural resources	The higher the indicator value, the greater the level of management of materials and infrastructural resources of the Social Innovation project.
			To what extent has the management of communication and marketing been foreseen in the Social Innovation project?	<b>Fa5</b>	Level of management of communication and marketing	The higher the indicator value, the greater the level of management of communication and marketing in the Social Innovation project.
			To what extent has the management of the administration been foreseen in the Social Innovation project?	<b>Fa6</b>	Level of management of the administration	The higher the indicator value, the greater the level of management of the administration in the Social Innovation project.
			To what extent has the management of monitoring and evaluation been foreseen in the Social Innovation project?	<b>Fa7</b>	Level of management of monitoring and evaluation	The higher the indicator value, the greater the level of the management of the monitoring and evaluation of the Social Innovation project.
	To what extent have project partners and other external actors supported the Social Innovation initiative?	<b>X9.2</b> Internal and external support	To what extent have project partners contributed to the achievement of the results of the Social Innovation?	<b>Fb1</b>	Contribution of project partners to the results of the Social Innovation initiative	The higher the indicator value, the higher the contribution of project partners to the achievement of the results of the Social Innovation initiative.
			To what extent have external financing agencies contributed to supporting the Social Innovation project?	<b>Fb2</b>	Contribution of external financiers to the Social Innovation project	The higher the indicator value, the greater the proportion of contributions by external financiers to the Social Innovation project.
			To what extent has the Project Manager been capable of planning the activities of the Social Innovation project before implementing it?	<b>Fb3</b>	Capabilities of the Project Manager of planning the activities of the Social Innovation project	The higher the indicator value, the greater the Project Manager's capability to plan the activities.



			To what extent has the Project Manager been capable of developing the procedures of the Social Innovation project into written tasks and roles?	<b>Fb4</b>	Capabilities of the Project Manager to develop the procedures of the Social Innovation project	The higher the indicator value, the greater the Project Manager's capability to develop the procedures.
			To what extent has the Project Manager been capable of applying the practices of the Social Innovation project and to complete the activities?	<b>Fb5</b>	Capabilities of the Project Manager to apply the practices of the Social Innovation project	The higher the indicator value, the greater the Project Manager's capability to apply the practices.
	To what extent have direct beneficiaries established new relationships with other actors?	<b>X9.3</b> Beneficiaries	To what extent have direct beneficiaries established new relationships due to the Social Innovation initiative?	<b>Ga1</b>	New relationships amongst direct beneficiaries	The higher the indicator value, the greater the mean number of new relationships established amongst beneficiaries, due to the Social Innovation initiative.
			To what extent have direct beneficiaries established new relationships with institutions due to the Social Innovation initiative?	<b>Ga2</b>	New relationships between the direct beneficiaries and institutions	The higher the indicator value, the greater the number of new relationships established between the direct beneficiaries and institutions, due to the Social Innovation initiative.
			To what extent have female beneficiaries been included in the Social Innovation project?	<b>Ga3</b>	Inclusion of females in the beneficiary group	The higher the indicator value, the greater the percentage of women in the beneficiary group.
			To what extent have young people been included in the Social Innovation project?	<b>Ga4</b>	Inclusion of young people in the beneficiary group	The higher the indicator value, the greater the percentage of young people in the beneficiary group.
<b>Replication (X10)</b>	To what extent have the Social Innovation initiative determined feedback loops and multiplier effects?	<b>X10.1</b> Feedback loops and multiplier effects	To what extent has the Social Innovation initiative been disseminated in order to increase the likelihood to generate feedback loops?	<b>Ha1</b>	Likelihood of feedback loops due to dissemination activities	The higher the number of dissemination channels used by the actors of the Social Innovation, the greater the likelihood of the Social Innovation initiative to generate feedback loops.
			To what extent has the Social Innovation initiative been upscaled to higher levels?	<b>Ha2</b>	Likelihood of upscaling of the Social Innovation initiative	The higher the influence of the Social Innovation initiative at different levels, the greater the likelihood it will diffuse at higher levels.
			To what extent have people in different contexts come to learn about the Social Innovation initiative and then did something similar themselves?	<b>Ha3</b>	Likelihood of out-scaling of the Social Innovation initiative	The bigger the number of similar initiatives that have come to learn from the Social Innovation initiative, the greater the likelihood it will diffuse its results to other surroundings.
			To what extent were the actors in the Social Innovation initiative capable of identifying elements that would enable its replication?	<b>Ha4</b>	Capability of actors in the Social Innovation initiative to identify elements enabling its replication	The bigger the number of elements that the actors of the Social Innovation initiative have identified, the greater the likelihood that it can be replicated.



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



	To what extent have critical innovation effects occurred?	<b>X10.2</b> Critical Innovation effects	To what extent would similar effects be produced by other initiatives (deadweight effects) in the territory?	<b>Hb1</b>	Deadweight effects of the Social Innovation initiative in the territory	The greater the uniqueness of the Social Innovation initiative in satisfying the needs of the territory, the lower the likelihood of deadweight effects.
			To what extent has the Social Innovation initiative had negative effects on other actors (substitution effect)?	<b>Hb2</b>	Substitution effects of the Social Innovation initiative on other actors	The lower the extent of negative effects of the Social Innovation initiative on external actors, the lower the likelihood of substitution effects.
			To what extent has the Social Innovation initiative had negative effects outside the territory (displacement effect)?	<b>Hb3</b>	Displacement effects of the Social Innovation initiative outside the territory	The lower the extent of negative effects of the Social Innovation initiative outside the territory, the greater its overall positive effects.



### 4.3.3 Operationalising the SIMRA Conventional Evaluation of Social Innovation

The evaluator will focus on the five conventional evaluation criteria for the evaluation of development initiatives as applied in the case of Social Innovation and specifically to the Social Innovation process, project and initiative, which are:

- Relevance
- Efficiency
- Effectiveness
- Impact
- Sustainability.

Refer to Section 3 for a detailed description of each evaluation criterion. The operationalisation of the SIMRA Conventional Evaluation is presented in Figure 4.6 showing its hierarchical structure.

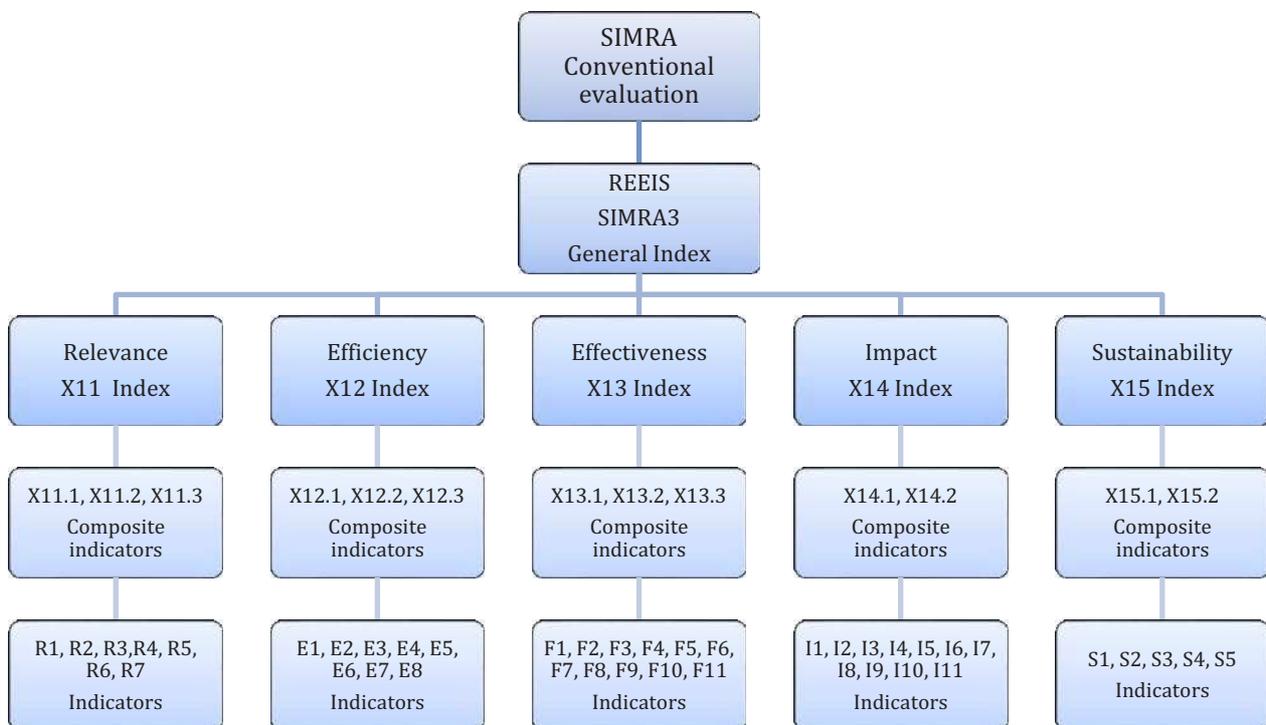


Figure 4.6. SIMRA Conventional Evaluation of Social Innovation: from the general index to indicators.

In relation to the SIMRA Conventional Evaluation, Table 4.10 presents general evaluation questions and related composite indicators, specific evaluation questions and related indicators and judgement criteria specified for each indicator.



Table 4.10. Key elements for the SIMRA Conventional Evaluation of Social Innovation

	<b>General evaluation questions</b>	<b>Composite indicator</b>	<b>Specific evaluation questions</b>	<b>Indicator</b>		<b>Judgement criterion</b>
<b>Relevance X11</b>	To what extent has the Social Innovation process been relevant?	<b>X11.1</b> Relevance of the Social Innovation Process	To what extent have the individual and collective needs of the actors been shared within the whole Social Innovation network?	<b>R1</b>	Needs individually and collectively shared by actors of the Social Innovation process	The higher the number of needs individually and collectively shared by Innovator(s), Follower(s) and Transformer(s) of the total number of needs identified, the greater the relevance of the Social Innovation process.
			To what extent has the vision of collective needs been shared by actors of the Social Innovation process?	<b>R2</b>	Vision of needs collectively shared by actors of the Social Innovation process	The higher the number of actors in the network who identify at least one need which has also been identified by Innovator(s) and Follower(s), the greater the relevance of the Social Innovation process.
	To what extent has the Social Innovation project been relevant?	<b>X11.2</b> Relevance of the Social Innovation Project	To what extent have the outputs of the Social Innovation project met the needs of the beneficiaries, on a quantitative scale?	<b>R3</b>	Level of satisfaction of beneficiaries that the outputs of the Social Innovation project meet their needs, on a quantitative scale	The higher the level of satisfaction of beneficiaries with the outputs meeting their needs, the greater the relevance of the Social Innovation project.
			To what extent have the outputs of the Social Innovation project met the needs of the beneficiaries, on a qualitative scale?	<b>R4</b>	Level of satisfaction of beneficiaries that the outputs of the Social Innovation project meet their needs, on a qualitative scale	The higher the level of satisfaction of beneficiaries with the outputs meeting their needs, the greater the relevance of the Social Innovation project.
	To what extent has the Social Innovation initiative been relevant?	<b>X11.3</b> Relevance of the Social Innovation Initiative	To what extent have the products and/or services provided by the Social Innovation initiative satisfied the territorial needs of actors?	<b>R5</b>	Level of satisfaction of the actors with territorial needs with the Social Innovation initiative	The higher the level satisfaction of the actors with respect to the territorial needs, the greater the relevance of the Social Innovation initiative.
			To what extent were the needs of the actors of the Social Innovation initiative consistent with those identified by the beneficiaries?	<b>R6</b>	Needs shared by the actors and beneficiaries of the Social Innovation initiative, on a qualitative scale	The higher the congruence of the needs identified by the actors of the Social Innovation initiative with those of the beneficiaries, the greater the relevance of the Social Innovation initiative.
			According to the stakeholders, to what extent has the Social Innovation initiative dealt with the marginalisation problems of the territory?	<b>R7</b>	Marginalisation problems dealt with by the Social Innovation initiative	The higher the proportion of marginalisation problems of the territory, dealt with by the Social Innovation, of the total number of problems identified by the Focus Group, the greater the perceived relevance of the Social Innovation initiative.



<b>Efficiency (X12)</b>	To what extent has the Social Innovation process been efficient?	<b>X12.1</b> Efficiency of the Social Innovation Process	To what extent have the expectations of the actors been met with respect to the efficient use of time in the Social Innovation process?	<b>E1</b>	Expectations of the actors of the use of time in the Social Innovation process	The more the expectations of the actors are met, regarding the time taken for the Social Innovation process, the greater the perceived efficiency of the Social Innovation process.	
			To what extent have the resources invested by the actors of the Social Innovation process been efficiently used?	<b>E2</b>	Perceived efficiency of the use of resources invested in the Social Innovation process	The higher the level of intangible outputs of the Social Innovation process and the lower the resources invested (inputs of the process), the greater the perceived efficiency of the Social Innovation process.	
			To what extent have collaborations amongst actors of the Social Innovation network been efficient?	<b>E3</b>	Efficiency of the collaborations in the network of the Social Innovation process	The lower the mean distance between actors in the collaborative network, the greater the efficiency of the Social Innovation process.	
	To what extent has the Social Innovation project been efficient?	<b>X12.2</b> Efficiency of the Social Innovation Project	To what extent has the Social Innovation project been economically efficient, in terms of cost per direct beneficiary, in the last three years?	<b>E4</b>	Change in the unit cost per direct beneficiary of the Social Innovation project	The higher the value of the indicator, the greater the reduction in the unit cost per direct beneficiary in the last three years and thus the higher the economic efficiency of the Social Innovation project.	
			To what extent has the schedule of the Social Innovation project been met, according to the self-evaluation of the Project Manager?	<b>E5</b>	Project Manager self-evaluation of the schedule of the Social Innovation project	The more the schedule Social Innovation project have been met, according to the Project Manager, the greater the efficiency of the Social Innovation project.	
			To what extent have the budgetary goals been met by the Social Innovation project, according to the Project Manager?	<b>E6</b>	Project Manager self-evaluation of the Social Innovation project meeting its budgetary goals	The more the budgetary goals have been met, the greater the efficiency of the Social Innovation project, according to the Project Manager.	
			To what extent have the planned activities been implemented and completed, according to the Project Manager?	<b>E7</b>	Project Manager self-evaluation of the Social Innovation project activities planned and completed	The higher the percentage of the planned activities which have been implemented and completed, the greater the efficiency of the Social Innovation project.	
	To what extent has the Social Innovation initiative been efficient?	<b>X12.3</b> Efficiency of the Social Innovation Initiative	To what extent have the resources invested by the actors of the Social Innovation initiative (i.e. Innovator(s), Follower(s), Transformer(s), project partners and beneficiaries) been efficiently used?	<b>E8</b>	Perceived efficiency of the use of resources invested in the Social Innovation initiative	The higher the level of satisfaction of Innovator(s), Follower(s), Transformer(s), project partners and beneficiaries with the results of the Social Innovation initiative and the lower the resources invested by the actors, the greater the efficiency of the Social Innovation initiative.	
	<b>Effectiveness</b>	To what extent has the Social Innovation process been effective?	<b>X13.1</b> Effectiveness of the Social Innovation Process	To what extent have the expected changes in terms of new networks, new governance arrangements and new attitudes of the Social Innovation process	<b>F1</b>	Comparison between expected and observed changes in the Social Innovation process, on a	The higher the expected changes have been realised as observed change, the greater the effectiveness of the Social Innovation process.



		been realised as observed changes?		qualitative scale	
		To what extent has the Social Innovation process created changes in networks, governance arrangements, and attitudes as perceived by the actors?	<b>F2</b>	Extent of the changes created by the Social Innovation process as perceived by the actors	The higher the level of changes in networks, governance arrangements and attitudes as perceived by the actors, the greater the effectiveness of the Social Innovation process.
		To what extent have the collaborative relationships between the actors increased due to the Social Innovation process?	<b>F3</b>	Change in the collaborative relationships between the actors of the Social Innovation process	The greater the percentage of increased density of collaborative relationships between actors, the more effective the Social Innovation process.
		To what extent have the internal and external governance arrangements of the Social Innovation initiative changed as perceived by the actors due to the Social Innovation process?	<b>F4</b>	Change in internal and external governance arrangements of the Social Innovation initiative as perceived by the actors of the Social Innovation process	The more internal and external governance arrangements of the Social Innovation initiative have changed as perceived by the actors of the Social Innovation process, the greater the likelihood of the effectiveness of the Social Innovation process.
To what extent has the Social Innovation project been effective?	<b>X13.2</b> Effectiveness of the Social Innovation Project	To what extent have beneficiaries been satisfied with the results of the Social Innovation project?	<b>F5</b>	Level of satisfaction of beneficiaries with the results of the Social Innovation project	The higher the level of satisfaction of beneficiaries with the results of the project, the greater the effectiveness of the Social Innovation project.
		To what extent have new outputs (products and services) proposed by the Project Manager been delivered to the beneficiaries?	<b>F6</b>	Comparison between proposed and delivered outputs of the Social Innovation project, on a qualitative scale	The higher the amount of outputs (products and services) delivered to the beneficiaries with respect to those proposed by the Project Manager, the greater the likelihood of the Social Innovation project reaching the specific objective(s), and thus its effectiveness.
		To what extent have new direct beneficiaries been reached by the Social Innovation project in the last year?	<b>F7</b>	New direct beneficiaries reached by the Social Innovation Project	The higher the percentage of new direct beneficiaries reached by the Social Innovation project, the greater its likelihood to achieve the specific objective(s), and thus its effectiveness.
		To what extent have the specific objectives been achieved by the Social Innovation project?	<b>F8</b>	Project Manager self-evaluation of the Social Innovation project achieving the specific objectives	The more the specific objectives have been achieved by the Social Innovation project, the greater its effectiveness according to the Project Manager.



	To what extent has the Social Innovation initiative been effective	<b>X13.3</b> Effectiveness of the Social Innovation Initiative	To what extent did the actors of the Social Innovation process make a difference in territory with the Social Innovation initiative, according to their perceptions?	<b>F9</b>	Perception of actors of the Social Innovation process of being able to make a difference in the territory with the Social Innovation initiative	The higher the perception of actors of the difference they can make in the territory with the Social Innovation initiative, the greater its effectiveness.
			To what extent have all of the actors in the Social Innovation initiative been satisfied with its results?	<b>F10</b>	Level of satisfaction of all the actors of the Social Innovation initiative with its results	The higher the level of satisfaction of all the actors of the Social Innovation initiative with its results, the greater its effectiveness.
			To what extent have the collaborative relationships between the actors increased due to the Social Innovation initiative?	<b>F11</b>	Change in the collaborative relationships between the actors of the Social Innovation initiative	The higher the change in density of the collaborative relationships between actors of the Social Innovation initiative, the greater its effectiveness.
Impact X14	To what extent has the SI project determined impact?	<b>X14.1</b> Impact of the Social Innovation project	To what extent has the social inclusion in the local community improved as perceived by the direct beneficiaries of the Social Innovation project?	<b>I1</b>	Improvement in social inclusion as perceived by the direct beneficiaries of the Social Innovation project due to the initiative	The more the direct beneficiaries feel socially included in the local community, the greater the impact of the Social Innovation project and initiative.
			What is the proportion of indirect beneficiaries of the total number of beneficiaries (direct and indirect), as estimated by the direct beneficiaries of the Social Innovation project?	<b>I2</b>	Proportion of indirect beneficiaries of the total number of beneficiaries (direct and indirect), as estimated by the direct beneficiaries of the Social Innovation project	The higher the proportion of indirect beneficiaries of the total number of beneficiaries, as estimated by the direct beneficiaries of the Social Innovation project, the greater the impact of the project.
	To what extent has the SI initiative determined an impact?	<b>X14.2</b> Impact of the Social Innovation initiative	To what extent have the marginalisation problems improved by the Social Innovation initiative, as perceived by stakeholders?	<b>I3</b>	Proportion of marginalisation problems improved by the Social Innovation initiative, as perceived by stakeholders	The higher the proportion marginalisation problems improved by the Social Innovation initiative in recent years, the greater the perceived impact of the Social Innovation initiative in the territory.
			To what extent have the impacts of the Social Innovation initiative in the four domains been positive according to the stakeholders?	<b>I4</b>	Proportion of the number of impacts of the Social Innovation initiative in the four domains which were positive, according to the stakeholders	The higher the proportion of elements positively impacted by the Social Innovation initiative of the total number of elements impacted, the greater the impact of the Social Innovation initiative, according to the stakeholders.



			To what extent have the stakeholders perceived a net impact resulting from the balance between positive and negative impacts of the Social Innovation initiative in the four domains?	15	Balance of positive to negative significant impacts of the Social Innovation initiative in the four domains, according to perception of stakeholders	The more the positive impacts exceed the negative ones, the greater the perceived positive impact of the Social Innovation initiative, according to the stakeholders.
			To what extent have the actors perceived the Social Innovation initiative to have had effects inside and outside the territory in the four domains?	16	Level of effects of the Social Innovation initiative in the four domains according to the actors	The higher the level of effects of the Social Innovation initiative inside and outside the territory in the four domains, the greater the perceived positive impact of the Social Innovation initiative according to the actors.
			To what extent have the actors perceived the Social Innovation initiative to have had effects inside the territory in the four domains?	17	Level of effects of the Social Innovation initiative inside the territory in the four domains according to the actors	The higher the level of effects of the Social Innovation initiative inside the territory in the four domains, the greater the perceived positive impact of the Social Innovation initiative according to the actors.
			To what extent have the actors perceived the Social Innovation initiative to have had effects outside the territory in the four domains?	18	Level of effects of the Social Innovation initiative outside the territory in the four domains according to the actors	The higher the level of effects of the Social Innovation initiative outside the territory in the four domains, the greater the perceived positive impact of the Social Innovation initiative according to the actors.
			To what extent have the effects of the Social Innovation initiative in the four domains been positive according to the beneficiaries?	19	Proportion of positive effects of the Social Innovation initiative in the four domains according to the perception of beneficiaries, on a qualitative scale	The higher the proportion of effects of the Social Innovation initiative of the total number of effects identify by the beneficiaries, the greater the positive impact of the Social Innovation initiative.
			To what extent have governance aspects improved due to the Social Innovation initiative, according to the actors?	110	Perceptions of actors of the level of improvement in governance aspects due to the Social Innovation initiative	The higher the level of the perceived improvement in governance aspects, the greater the perceived impact of the Social Innovation initiative in governance.
			To what extent have European societal challenges improved due to the Social Innovation initiative, according to actors?	111	Perceptions of actors of the level of improvement in European societal challenges due to the Social Innovation initiative	The higher the value of the perceived improvement in European societal challenges, the greater perceived impact of the Social Innovation initiative in European societal challenges.



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



<b>Sustainability X15</b>	To what extent has the Social Innovation project been sustainable?	<b>X15.1</b> Sustainability of the Social Innovation project	To what extent has the Social Innovation project been financed with internal resources?	<b>S1</b>	Internal financing of the Social Innovation project	The higher the percentage of internal to the total resources of the Social Innovation project, the greater the project's financial sustainability.
			To what extent was the Social Innovation project's financially sustainable over time according to Innovator(s), Follower(s) and the Project Manager?	<b>S2</b>	Social Innovation project's financial sustainability over time	The higher the value of the indicator, the greater the financial viability of the Social Innovation project and consequently its financial sustainability.
	To what extent has the Social Innovation initiative been sustainable?	<b>X15.2</b> Sustainability of the Social Innovation initiative	To what extent have the collaborative relationships amongst actors of the Social Innovation process been sustainable?	<b>S3</b>	Sustainability of collaborations amongst the actors of the Social Innovation process	The more the actors of the Social Innovation process are connected to other collaborative networks at the same time, the greater the likelihood of sustainability of the Social Innovation initiative.
			To what extent is the Social Innovation initiative likely to continue into the future?	<b>S4</b>	Likelihood of the Social Innovation initiative to continue into the future	The higher the indicator value, the greater the likelihood of the Social Innovation initiative to continue into the future.
			To what extent do the Innovator(s), Follower(s) and project partners recognise the existence of the social, economic, environmental and institutional factors that contribute the Social Innovation initiative being sustainable?	<b>S5</b>	Likelihood of the Social Innovation initiative of being sustainable over the long term	The higher the percentage of factors identified by the Social Innovation actors, the greater the likelihood of the Social Innovation initiative being sustainable over the long term.



## 4.4 Operationalising the Sampling Design

Data used to calculate the indicators for the evaluation of Social Innovation are collected using eight tools. Each tool addresses a specific target of people involved in the Social Innovation initiative (see Section 3 of this Manual). The evaluator must carefully choose the sample of actors to be interviewed through flexible, standardised rules, to enable the comparison between initiatives in different contexts.

Sampling design is tailored to the target population. In general, it is assumed that local case studies do not involve an unmanageably large number of actors, so a census is proposed for the majority of target actors. However, *ad hoc* sampling strategies based on each Social Innovation initiative can be developed. Figure 4.7 shows the five types of actors involved in the different phases of the Social Innovation initiative and the sample each tool addresses.

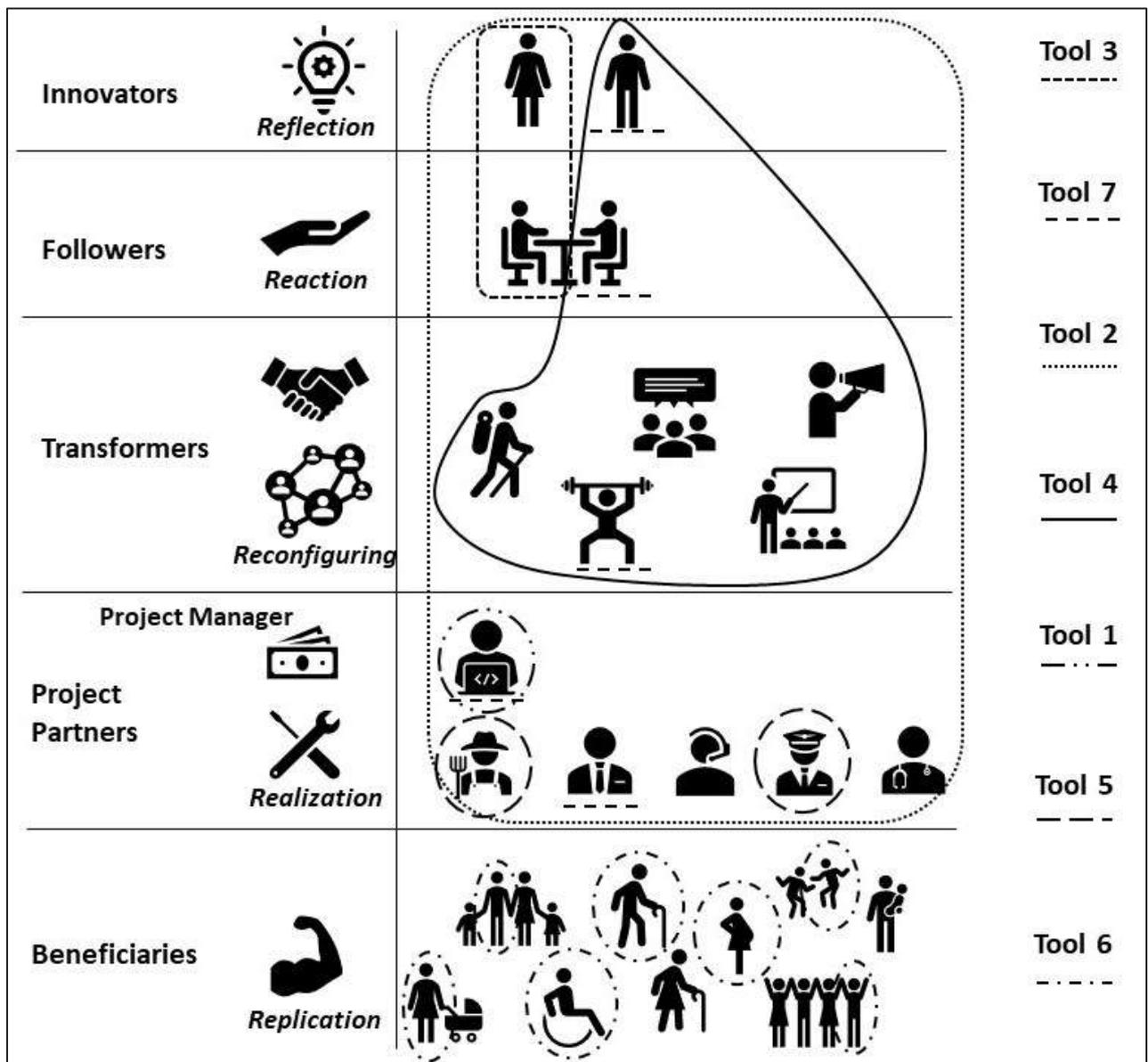


Figure 4.7. Target population and sample of interviewed actors per each tool



The sample designs required for the different tools are:

- Only one interview with the Project Manager or a person who has all the documents and the information of the Social Innovation project and related to the second part of **Tool 1**;
- In **Tool 2**, the first part is open, without any restrictions, to every stakeholder who wishes to join the Focus Group. The second part addresses 6 to 12 key informants with a deep knowledge of the entire Social Innovation initiative, from the initial phases through to when the evaluation takes place. The selection of the key informants must be open and transparent, so it is suggested that the evaluator conducts a proper stakeholder analysis to identify the most relevant actors for each phase of the Social Innovation initiative;
- Two actors (one key Innovator and one key Follower, if any) answer **Tool 3**. They are selected through a convenience sampling, in which subjects are chosen according to their availability, knowledge and wish to describe the Social Innovation process and project;
- A census of all actors who participated in the reconfiguring phase is needed for **Tool 4**, which means all the actors of the Social Innovation network (i.e. Transformer(s), and Innovator(s) and Follower(s) not interviewed in Tool 3);
- **Tool 5** addresses 2 to 3 project partners, selected through a judgement sampling, which means that the evaluator relies on their judgement or on the opinion of a local expert. The aim of the evaluator is to select a few actors who actively participated in the realisation phase of the Social Innovation project;
- The evaluator will interview a representative sample of beneficiaries using **Tool 6**. Since the types and number of beneficiaries can vary considerably across cases, the only rule to be applied here is to choose the sample through a probabilistic sampling (such as simple random sampling, systematic sampling, stratified sampling, multistage sampling) which is most appropriate to the circumstances;
- The actors to be interviewed using **Tool 7** are selected in the same way as those involved in the second part of Tool 2 (Focus Group). They must be key informants of the Social Innovation initiative and actors involved during the key phases, identified during the desk work (Tool 1) or during the first part of the group interview (Tool 2). The evaluator may interview the same actors involved in the Focus Group, or select others to avoid burdening the same people with too many questionnaires;
- **Tool 8** is not shown in Figure 4.7 because it addresses actors external to the Social Innovation initiative. The evaluator should interview public or private organisations that supported the Social Innovation actors, such as authorities, funding organisations, consultants, advisory services, associations, research or training institutes, companies, and NGOs.

Table 4.11 summarises the target population to which each tool is addressed, the sampling design to be carried out by the evaluator and the number of interviews to be conducted.



Table 4.11. Target actors, sampling designs and sample size per tool.

Tool	Target	Sampling Design	Sample Size
Tool 1	Part I. Evaluator	-	-
	Part II. Project Manager	The Project Manager	1
Tool 2	Part I. Open to all interested actors	Free access	Variable
	Part II. Key informants	Stakeholder analysis	6-12
Tool 3	Core group of Innovator and Follower	Convenience sampling	2
Tool 4	Social Innovation network (i.e., Innovator(s), Follower(s) not interviewed in Tool 3 and Transformer(s))	Census	Variable
Tool 5	Project partners	Judgement sampling	2-3
Tool 6	Beneficiaries	Probability sampling (any)	Variable
Tool 7	Key informants	Stakeholder analysis	6-12
Tool 8	External actors	Judgement sampling	

The correct identification of actors is crucial for the sampling strategy. The evaluator can combine the information on the Social Innovation initiative actors obtained through both section G of Tool 1 and session II-a of Tool 2. In particular, in Tool 1 a name grid generator is provided. It can be completed through more rounds during data collection:

- initially the evaluator completes the grid with the preliminary information they can obtain;
- during the Focus Group, they check the completeness and accuracy of the list;
- if necessary, they can ask the Project Manager or other actors if all of the relevant names have been included.

The grid is used to identify the key actors of the Social Innovation initiative in a thorough way. The evaluator has to name the actors that participate in the initiative, assigning them to a specific category (e.g. “external expert”, “Innovator”, etc.). Through this exhaustive and accurate list, it is possible to select the people to be interviewed through both a sampling design and a stakeholder analysis.

The evaluator has to recruit and contact the selected actors to be interviewed for the study (e.g. by phone, word of mouth). Moreover, they must decide how to contact participants, consider aspects that may be sensitive, issues of confidentiality, and ethical requirements. Codes given to actors are to keep the results anonymous. The evaluator has to follow all specific regulations on ethical clearance which apply to the context that they are evaluating.

## 4.5 Operationalising the Policy Analysis

This section describes how to carry out the specific task of identifying and analysing policies supporting (or hindering) Social Innovation in marginalised rural areas both at higher institutional levels and at the local level. As described in Section 3, three main steps are needed:

### 4.5.1 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 Social Innovation in marginalised rural areas. 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). Guidelines are provided in Tool 10 (see the Technical Annex to this Manual).

#### **4.5.2 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, and consumers of Social Innovation products and services. These local stakeholders (including public authorities) may recognise the existence of policies that support Social Innovation 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 Sections 3.4 and 4.3).

Knowledge of policies at the local level refers to knowledge of available possibilities (enabling and/or constraining) and (local) perceptions of effectiveness. These need to be validated with an analysis carried out at regional, national or international levels. In the field research, the main methods applied are semi-structured interviews, based on open-ended questions and the possibility for the interviewer/evaluator to interact with the interviewee in a flexible way (i.e. adapting the sequence of questions to their attitudes and flow of concepts, statements - storytelling). Details are provided in Tools 7 and 8 (Technical Annex of this Manual).

Examples of key questions are: *“Which policies supported you?”* and *“How the legal institutions (the policy settings and regimes) influence the emergence and maintainance (or withdrawn) of the SI case?”* These questions, in evaluative terms, are not cause-effect questions (see Section 4.2). 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 3.9.1). The key aspects targeted by the interviews are: general backgrounds and objectives of the Social Innovation; 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 Social Innovation; coordination, cooperation and conflicts; and internal evaluation of the Social Innovation initiative (e.g. identification of success or hindering factors) and future prospects.

#### **4.5.3 Step 3: Validation of findings (mixed-approach)**

In this final step, the evaluator has to perform a dynamic activity of cross-checking. He/she has to draw information and materials from both the field observations (data collected in the second step based on interviews to local stakeholders and institutional authorities) and the documents. After the initial interviews, desktop research is undertaken, followed by more interviews, until “saturation” is reached. In practice, more interviews with stakeholders have to be undertaken until sufficient 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 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.

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 of 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 capability 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.

Although using a complex and qualitative-interpretative based analysis, the causal relation between a policy and its effects is neither automatic nor always clearly identifiable.

#### **4.5.4 Step 4: Consultation with policy experts (a possibly additional step)**

Additional instruments to be used in the SIMRA evaluation method are interviews to policy experts at higher jurisdictional levels compared 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 international or EU) levels. They are typically identified as national experts or key informants, such as 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 on a case-by-case basis by the evaluator, as this requires understanding of whether inconsistencies or incongruences exist in the specific Social Innovation initiative being evaluated. These instruments can be used mainly in the specific case in which inconsistencies/incongruencies are identified, to complement the analysis carried out at local level.

To interview policy makers and other key informants at higher governance levels may help to understand whether and how Social Innovation possibly had effects on policy and governance (i.e. the cause is the Social Innovation and the effect is the policy or governance reform at higher level). This aspect of the consultation is connected with the “Learning process” dimension of Social Innovation as identified in the SIMRA Evaluation Framework (see Section 2). Some techniques exist (e.g. Delphi method) to minimize the efforts required, and which can 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 remotely (e.g. by phone or Skype).



## 4.6 Adapting the Proposed Indicators to the Common Monitoring and Evaluation System of the EU Common Agricultural Policy

On 1 June 2018, the European Commission published the proposals of legal texts on the new Common Agricultural Policy (CAP) (2021 to 2027), which consist of three Regulations of the European Parliament and the Council, namely:

- **CAP Strategic Plan Regulation** - COM(2018) 392 on the strategic plans to be drawn up by Member States under the Common Agricultural policy (EC, 2018a)
- **CAP Horizontal Regulation** - COM(2018) 393 on the financing, management and monitoring of the Common Agricultural policy (CAP Horizontal Regulation) (EC, 2018b)
- **Amending Regulation** - COM(2018) 394 on the common organisation of the markets in agricultural products, quality schemes, labelling and the protection of geographical indications, outermost regions of the Union (EC, 2018c)

Accompanying the three proposals, the European Commission also published the “Commission staff working document on the impact assessment” (EC, 2018d).

In its proposals, the European Commission has proposed a substantial revision of the Common Agricultural policy, which should be organised in three general objectives<sup>85</sup> and nine specific objectives<sup>86</sup>. The substantial change proposed concern the CAP Strategic Plans to be drawn up by the Member States which should set targets, define interventions and allocate financial resources in line with the identified needs and specific objectives. For the 2021-2027 programming period, the achievements of the general and specific objectives of the CAP should be based on common indicators related to:

- Context measuring general trends in the economy, society and in the environment;
- Outputs of the interventions supported and linking, annually, the expenditure with the performance of policy implementation;
- Results which should measure, if the supported, interventions which contribute to the achievement of the specific objectives, by foreseeing the establishment of quantified milestones and targets;
- Impact related to the general objectives which in a multi-annual assessment will measure the overall policy performance (Article 7 of COM(2018) 392).

The full list of indicators provided in Annex I of the CAP Strategic Plan Regulation (EC, 2018e) contains 28 impact, 38 result, and 35 output indicators. This represents a substantial reduction in the number of indicators compared to the actual “Common Monitoring and Evaluation Framework” (CMEF).

Moreover, the CMEF should be replaced by the novel “Performance Monitoring and Evaluation Framework” (PMEF). This will include both the CAP Strategic Plan and all of the other elements not

---

<sup>85</sup> To foster a smart, resilient and diversified agricultural sector ensuring food security; to bolster environmental care and climate action and to contribute to the environmental- and climate-related objectives of the Union; to strengthen the socio-economic fabric of rural areas.

<sup>86</sup> Support viable farm income and resilience across the European Union to enhance food security; enhance market orientation and increase competitiveness, including greater focus on research, technology and digitalisation; improve the position of farmers in the value chain; contribute to climate change mitigation and adaptation, as well as sustainable energy; foster sustainable development and efficient management of natural resources such as water, soil and air; contribute to the protection of biodiversity, enhance ecosystem services and preserve habitats and landscapes; attract young farmers and facilitate business development in rural areas; promote employment, growth, social inclusion and local development in rural areas, including the bio-economy and sustainable forestry; improve the response of EU agriculture to societal demands on food and health, including safe, nutritious and sustainable food, food waste, as well as animal welfare.



covered by them as specified in Title VII of the CAP Strategic Plan Regulation, in which Article 115 defines the formal introduction of the performance framework.

Section 2 of Article 115 specifies the element of the performance framework which includes: (i) a set of common context, output, result and impact indicators; (ii) targets and annual milestones established in relation to the relevant specific objective using result indicators; (iii) data collection, storage and transmission; (iv) regular reporting on performance, monitoring and evaluation activities; (v) mechanisms for rewarding for good performance and for addressing low performance; (vi) the ex-ante, interim, and ex post evaluations and all other evaluation activities linked to the CAP Strategic Plan (EC, 2018a: 111)

Finally, Article 116 specifies the objectives of the performance framework: (i) assess the impact, effectiveness, efficiency, relevance, coherence and Union added value of the CAP; (ii) set milestones and targets for the specific objectives set out in Article 6; (iii) monitor progress made towards achieving the targets of the CAP Strategic Plans; (iv) assess the impact, effectiveness, efficiency, relevance and coherence of the interventions of the CAP Strategic Plans; (v) support a common learning process related to monitoring and evaluation (*Ibidem*).

The common output and result indicators of the performance framework should be measured each year and included in the regular reporting and mechanisms for rewarding the good performance. The performance reports should be delivered by the Member State to the Commission by 15 February 2023, and each consequent year up to and including 2030. The final annual performance report to be delivered by 15 February 2030 should comprise a summary of the evaluations carried out during the implementation of the CAP Strategic Plan (EC, 2018a: 112).

These elements make clear that the likelihood of including novel indicators measured at the national level is infeasible. The SIMRA indicators are developed in order to evaluate Social Innovation process, project and initiative at a local level. Thus, the indicators proposed for the SIMRA Rapid, Detailed and Conventional evaluations (see Sections 3 and 4.2) have a specific local target. Additionally, they can determine whether an outscale or upscale process has taken place (specifically referred to the replication dimension of the detailed evaluation).

The SIMRA indicators could be used in thematic evaluations to be proposed at a national level. They could also help in understanding if Social Innovation initiatives financed at the local level have contributed to the achievement of the specific objective of the European Union to “Promote employment, growth, social inclusion and local development in rural areas, including bio-economy and sustainable forestry” which is operationalised through:

- **4 impact indicators**
  - I.22 Contributing to jobs in rural areas (evolution of the employment rate in predominantly rural areas);
  - I.23 Contributing to growth in rural areas (evolution of GDP per head in predominantly rural areas);
  - I.24 A fairer CAP (improve the distribution of CAP support);
  - I.25 Promoting rural inclusion (evolution of poverty index in rural areas).
- **5 result indicators**
  - R.31 Growth and jobs in rural areas (new jobs in supported projects);
  - R.32 Developing the rural bioeconomy (number of bio-economy businesses developed with support);
  - R.33 Digitising the rural economy (rural population covered by a supported Smart Villages strategy);
  - R.34 Connecting rural Europe (share of rural population benefitting from improved access to services and infrastructure through CAP support);
  - R.35 Promoting social inclusion (number of people from minority and/or vulnerable groups benefitting from supported social inclusion projects).



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



Specifically, in relation to the impact indicator I.25 (Promoting rural inclusion, as measured by the evolution of poverty index in rural areas) and R.35 (Promoting social inclusion, as measured by the number of people from minority and/or vulnerable groups benefitting from supported social inclusion projects) SIMRA indicators could measure, at the local level, those elements in detail.

The SIMRA Conventional Evaluation of Social Innovation is based on the REEIS indicators, which measure relevance, efficiency, effectiveness, impact and sustainability of the Social Innovation process, project and initiative (refer to the Technical Annex 3 for details).

The SIMRA Detailed Evaluation of Social Innovation is based on the dimensions which observe, amongst others, the perceived context, needs of actors, how the process is structured, what the project produced and which are the impacts determined by the Social Innovation on different domains (i.e. economic, social, environmental and institutional).

The SIMRA Rapid Evaluation of Social Innovation is based on specific keywords highlighting the building blocks of SIMRA Evaluation Framework which could inspire external evaluators of CAP Strategic Plans for focusing on the specific concepts related to the Social Innovation in order to verify if the rural and social inclusion has improved in marginal rural areas.



## 5. Tools

### 5.1 The Data Collection Tools (Tools from 1 to 8)

The SIMRA Evaluation is based on eight operational tools for data collection. These tools are flexible, so that each future user can adapt them to different specific contexts and research questions, or take inspiration from other research or field work.

Tool 1 is the desk work that the evaluator should conduct before the survey in the field, Tool 2 is a group interview (Focus Group), Tools 3, 4, 5 and 6 are structured interviews created for face-to-face interviews (the layout of which can be adaptable to self-compilation or online compilation), and Tools 7 and 8 are guidelines for semi-structured interviews for qualitative data collection through face-to-face interviews.

Interviews are generally time-consuming, but they are an invaluable instrument for collecting the information required for the development of Social Innovation indicators and for in-depth qualitative analysis based on storytelling and narratives. Tools 1, 2 and 7 include specific instructions for the evaluator to prepare and conduct the data collection. In general, some rules apply to all tools. It is recommended that the evaluator starts the interview by introducing themselves, and to explain the reasons for conducting the interview. At the end, they should close the interview by thanking interviewees for their time and availability. All of the requirements of best practice of research ethics when conducting interviews have to be applied.

Each tool has a different target audience. Tool 1 is partially completed by the evaluator themselves and partially with the Project Manager. Tool 2 is open to all actors involved in the Social Innovation initiative. These first two tools include a name grid generator which helps the evaluator to list all of the key stakeholders and to select the sample to be interviewed in the following phases. Tool 3 addresses the innovator(s) and follower(s). Tool 4 addresses all of the actors of the Social Innovation network in the process phase (innovator(s), follower(s) and transformer(s)). Tool 5 addresses the project partners, and Tool 6 the beneficiaries. Tool 7 addresses the key actors at each step of the Social Innovation initiative (innovator(s), follower(s), transformer(s), project partner(s)). Tool 8 addresses policy experts and other external actors (key informants). The rules for selecting the sample of people to be interviewed have been explained in Section 4.3, and are summarised for each tool in the following sections.

Tools cover all phases of the Social Innovation initiative from the initial trigger to the effects in the territory. Table 5.1 provides a summary representation of the 5 RE phases (see Section 2) and the 10 sections in which questionnaires are divided.

*Table 5.1. Tools and Social Innovation initiative phases in SIMRA.*

The 5 RE Phases	Phases of the Social Innovation Initiative	Tool 1 (part 2)	Tool 2	Tool 3	Tool 4	Tool 5	Tool 6	Tool 7	Tool 8
-	A. Basic information of respondents	X	X	X	X	X	X		
RE1: Reflection	B. Trigger and needs		X	X	X	X		X	X
RE2: Reaction	C. Preparatory actions		X	X	X			X	X
	D. The whole Social Innovation process		X	X	X			X	X
RE3: Reconfiguring	E. New networks		X	X	X			X	
	F. New attitudes		X	X	X			X	



	G. Governance arrangements		X	X	X			X	X
RE4: Realization	H. Social Innovation project and outputs	X	X	X		X	X	X	X
	I. The whole Social Innovation initiative	X		X	X	X	X	X	X
Re5: Replication	J. The effects and learning process	X	X	X	X	X	X	X	X

The identification letters of the phases of the Social Innovation initiative (A to J in column two of Table 5.1) are the first letter of each question code. Each question is posed in relation to a specific time period. So, all of the questions in the 8 tools have been coded to facilitate the data entry.

The questionnaires include different types of questions:

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

The evaluator is responsible for the translation of questions into the local language of the interviewees. The wording of each question has been tested in case studies and discussed through expert consultation. So, the evaluator should be meticulous with the translations. A glossary is provided to facilitate this process and reduce risks of misinterpretation of terms due to cultural or linguistic differences.

### 5.1.1 Tool 1 - Preparing the evaluation

Tool 1 is divided into two parts. In the first one, the so-called desk phase, in which the evaluator analyses official documents, reports, and other background information related to the Social Innovation initiative. In the second part, the evaluator collects the objective quantitative data on the Social Innovation project through a face-to-face interview with the Project Manager of the initiative. The Project Manager is normally the person who receives financial contributions from the Contracting Authority and ensures its distribution to the project partners (if present) as specified in the partnership agreements. In general, the Project Manager is the person able to provide the information required in the second part of the tool.

In the preparatory part, the evaluator gathers generic information on the Social Innovation initiative, such as: its characteristics; the existing studies and similar initiatives through both technical and scientific articles; the geographical and administrative/jurisdictional boundaries; the scale of the territory where the Social Innovation initiative takes place and the rurality characteristics of the area; secondary data at the local level to describe the rurality and marginality of the area in relation to the municipalities or villages where the Social Innovation initiative takes place and where the effects are produced.

The evaluator has the opportunity to select the evaluation questions through an adjusted logic of intervention, which determines the choice of indicators to be used in the analysis. The set of evaluation instruments proposed in this Manual is flexible and adaptable to the scope of the evaluation. For example, the evaluator can decide to make a rapid analysis of the Social Innovation according to the SIMRA definition of Social Innovation; or a detailed evaluation of the Reflection, Reaction, Reconfiguring, Realization and Replication of the Social Innovation; or a conventional



evaluation of the Relevance, Efficiency, Effectiveness, Impact and Sustainability of the Social Innovation. Within each group of indicators, they can select questions and indicators based on the chosen option(s).

Information useful for the subsequent steps of the evaluation are collected. For example, the list of stakeholders involved is crucial to the selection of the sample of people to be interviewed using the other tools. The relevant policy documents are then used in Tool 8.

The information collected during the desk phase will be progressively improved, completed, and updated by means of: i) the interview with the Project Manager (Tool 1, Part 2), which includes information on project costs and sources of funding, ii) the two group interviews of stakeholders (Tool 2), the structured interviews with Innovator(s), Follower(s), Transformer(s), project partners and beneficiaries (Tools 3 to 6); and iii) the semi-structured interviews (Tools 7 and 8) with other relevant stakeholders.

### **5.1.2 Tool 2 - Future Search Conference and Focus Group with actors in the Social Innovation initiative**

Tool 2 is based on a group interview, and is divided into two phases that can be conducted at two different times. The first part is inspired by the first step of the Future Search Conference technique and involves all of the actors in the Social Innovation initiative who wish to participate. The second one is a Focus Group which involves a few selected, key informants. The first part is to obtain a deeper knowledge of the Social Innovation initiative: its history, the actors who made it possible and the context where it worked. The second part focuses on the changes in context and the impacts of the Social Innovation initiative in the surrounding community.

A Future Search Conference is a large-group (maximum 100 people) facilitation technique in which participants are asked to explore their shared past, and through dialogue they are able to discover common ground. People create time lines of key events in the Social Innovation initiative, of their own lives, and of the surrounding context. Small groups analyse each time line and share them with the big group. Participants can be present or past actors of the Social Innovation initiative (Innovator(s), Follower(s), Transformer(s) or project partners), beneficiaries, external experts, donors or policy makers. One of the principles of the future search conference is to get the “whole system in the room”.

A Focus Group is an “in-depth” interview with a small group of individuals (between six and twelve) who share common interests or characteristics. Participants are key informants who should have a wider vision of the Social Innovation initiative: they can be representatives of the Social Innovation initiative (e.g. Innovator(s), Project Manager, donor), of the area (e.g. local association), policy-makers (e.g. local authority), or an external actor with a deep knowledge of the Social Innovation initiative.

The evaluator can choose when to perform the two parts of the Tool 2. They may wish to perform them one after the other (i.e. one in the morning and one in the afternoon), or do them on different days of the evaluation period. The recommendation is to do the first part before the face-to-face interviews (after Tool 1 and before the other tools), because it allows a better understanding of the whole story of the Social Innovation initiative and to know the main actors who will be interviewed.

At the beginning of the use of the tool, there is advice for the evaluator on how to select and invite the participants, the rules of the two participative techniques proposed, and suggestions on how to act as a facilitator. Both the Future Search Conference and the Focus Group allow flexibility on how to conduct the group interview. The evaluator will be given instructions on the meeting preparations, the guiding questions to lead the discussion, the material to be shown during the meeting and the tables where to report the main results.



### **5.1.3 Tool 3 - Questionnaire for the core group (Innovators and followers)**

Tool 3 addresses the core group of the Social Innovation initiative, which means the Innovator(s) and Follower(s) (if available). Innovator(s) are the people who invented, discovered, or fully adopted the idea as their own, while the first Follower(s) are those who helped them in the initial phases and promoted the new idea. The evaluator is asked to select one Innovator and one Follower using a convenience sampling.

The eleven-page questionnaire (requiring approximately 20 to 30 minutes for the interview) is composed mainly of close-ended questions covering all 5 “RE” of the initiative (Reflection, Reaction, Reconfiguring, Realization, Replication), from the trigger that stimulates the first ideas for change to the impacts and learning processes. Questions are divided into 10 parts, from A “Basic information on the respondent” to J “The effects and learning process”.

### **5.1.4 Tool 4 - Questionnaire for the Social Innovation network (Transformers)**

Tool 4 addresses the entire Social Innovation network. So, the evaluator should interview all of the actors of the Social Innovation network (Transformer(s), Follower(s) and Innovator(s)), except those who were already interviewed with Tool 3. Transformers are the actors who adopt the idea and share it with other people in the network. During the reconfiguring phase, they could have both an active role and a passive attitude, so merely following the crowd.

The seven-page questionnaire (requiring approximately 15 to 20 minutes for the interview) is mostly structured into close-ended questions, mainly concentrating on the Social Innovation process, i.e. the first 3 “RE” of the initiative (Reflection, Reaction, Reconfiguring). These are followed with a few questions on the results of the entire Social Innovation initiative and on the learning process.

### **5.1.5 Tool 5 - Questionnaire for the Project partners**

Tool 5 addresses the project partners. A project partner could be:

- a partner associated with the project (i.e. the person who contributes to the proposal technically, takes responsibility for the implementation of project action(s) as agreed in the partnership agreement and provides beneficiaries with all of the documents necessary for fulfilling its reporting obligations to the Contracting Authority. They may also contribute financially to the project);
- a project co-financer (i.e. a person or organisation contributing to the project financially with no technical responsibilities and cannot benefit from the financial contribution. They cannot act, in the context of the project, as a sub-contractor for any of the project's beneficiaries);
- a project consultant (i.e. sub-contractors that provide external services to the project beneficiaries, who fully pay for the services provided);
- a project stakeholder (i.e. an individual or institution that may, directly or indirectly, positively or negatively, affect or be affected by a project or programme).

The evaluator should interview 2 or 3 project partners through a judgemental sampling.

The four-page questionnaire (requiring approximately 10 to 15 minutes for the interview) is mainly composed of close-ended questions which focus on the effects of the Social Innovation project, which means on the last 2 “RE” (Realisation and Replication). Initially, few questions are posed regarding the basic information to obtain from the respondent and on their needs. These are followed by questions divided into 3 sections, questions on “The SI Project and its outputs” (H.), on “The whole SI Initiative” (I.) and on “The effects and learning process” (J.).



### 5.1.6 Tool 6 - Questionnaire to beneficiaries

Tool 6 addresses the beneficiaries. Beneficiaries are individuals who benefit directly or indirectly from the implementation of the project. The evaluator should focus only on direct beneficiaries, that is those who directly use the services and/or products delivered by the Social Innovation project. They may comprise: (a) target groups, i.e. those who are positively affected by the project at the level of the project purpose (it may include staff from partner organisations); and (b) final beneficiaries, i.e. those who benefit from the project over the long term (e.g. “children”, from increased expenses on health and education; “consumers”, from improved agricultural production and marketing). The evaluator should interview a representative sample of beneficiaries, being free to choose the type of probabilistic sampling to be applied (e.g. simple random sampling, stratified sampling, two-stage sampling, systematic sampling).

The three-page questionnaire (requiring approximately 10 minutes for the interview) has mainly close-ended questions. It is short and likely to achieve a higher response rate from actors who are less involved in the Social Innovation initiative and so less motivated to dedicate time for the interview. It is based only on the outputs and effects of the Social Innovation project, which means on the last 2 “RE” of the initiative (Realisation and Replication). Initially, there are a few questions regarding basic information about the respondents. These are followed by questions which are divided into 3 sections: H. on “The SI Project and its outputs”, I. on “The whole Social Innovation initiative” and J. on “The effects and learning process”.

### 5.1.7 Tool 7 – Interview guideline for innovators and persons involved in the innovation process

Tool 7 addresses key informants of the Social Innovation initiative identified during the desk work (Tool 1) or during the first part of the group interview (Tool 2). The people interviewed are the Innovator(s) and actors involved in the key phases of the Social Innovation initiative.

Tool 7 is a semi-structured interview, which means a non-standardised and problem-centred interview with open-ended questions that the interviewer administers in a conversational way. The guideline questions proposed provide the basic components for the interview that must be adapted to the expert and context. It follows an inductive logic, so questions have the purpose of generating a story about the Social Innovation case. Then the relevant information is interpreted after the interview. The evaluator may adapt the questions or change their order. However, the structure must be the same for all interviews, to ensure consistency and to simplify the subsequent cross-case and cross-regional analysis.

The interviewer must take care of the preliminary phases of the interview. To make the interviewee comfortable, the interviewer may offer them a glass of water. The interviewer introduces themselves, exchanges business cards or contact details, and explains the purpose of the interview, providing the respondent with the statement of confidentiality. Then they should ask for permission to record the interview, checking if the recorder works and batteries are loaded, and placing it somewhere to the side as people can be irritated if it is placed between the interviewee and the interviewer.

Questions are formulated in a colloquial language and follow the same phases of the Social Innovation as the structured interviews, starting with an open question of “how the Social Innovation case started”. Each question includes a list of sub-questions which could help the evaluator obtain all the relevant information.



### **5.1.8 Tool 8 – Interview guideline for policy experts and other external experts**

Tool 8 addresses any public or private organisations that supported or were otherwise involved in the Social Innovation initiative, such as: authorities, funding organisations, consultants, advisory services, associations, research or training institutes, companies and NGOs.

Tool 8 is a semi-structured interview, which follows the same rules as for Tool 7. It includes four questions on the role played by the interviewee in relation to the Social Innovation initiative, the types of support offered, the actual work done by the organization/programme, and the most important achievements. Each question includes several sub-questions that could help the evaluator obtain all the relevant information. At the end of the interview, the interviewer asks if the respondent wishes to provide any additional information they consider might be of relevance.

## **5.2 The Data Entry and Processing Tools (Tools from 9 to 11)**

The set of tools comprises tools for data entry. Tools 9, 10 and 11 are essential steps for the evaluation of a Social Innovation. They are required to enable the organisation of information in a standardised way and for carrying out data analysis. Tool 9 gathers the data from the structured questionnaires (Tools 1 to 6) an output of which is the values of all the quantitative indicators. Tool 10 is used for reporting the semi-structured interviews (Tools 7 and 8) and for carrying out an initial content analysis. Tool 11 is a policy content analysis document, collected through section H. of Tool 1.

All of the 3 data entry tools have detailed instructions for the evaluator to complete the data entry and the data analysis (see the Technical Annex to this manual).

### **5.2.1 Tool 9 – MS Excel file for structured questionnaires data entry and process**

Data collected during structured interviews based on Tools 1 to 6 is entered into a MS Excel file. Figure 5 shows the basic structure of the databases where the data collected are recorded (processed, analysed and interpreted).

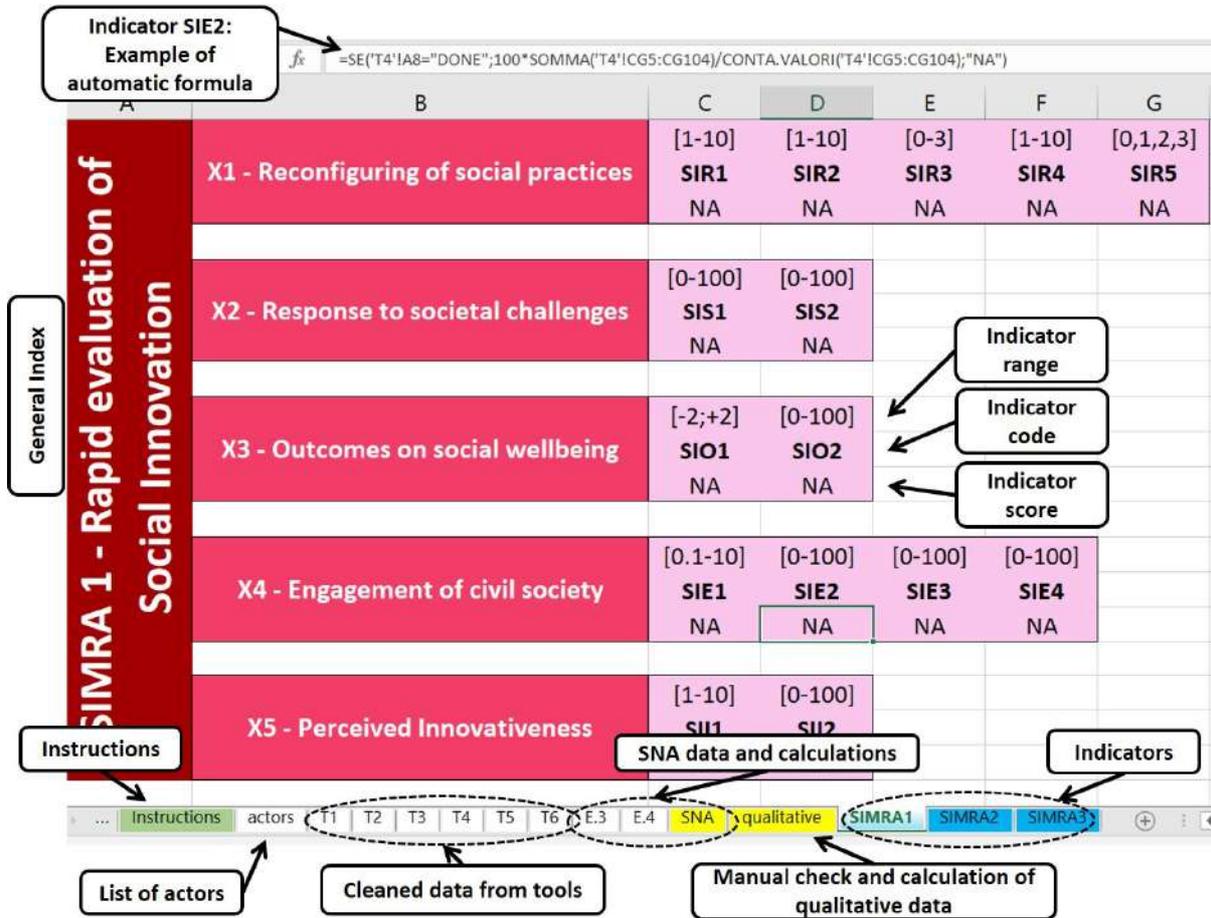


Figure 5. Infrastructure of Tool 9.

The MS Excel file is composed of 15 spreadsheets organised in 4 groups, coded in 4 colours: green, white, yellow and blue). The colour coding is explained below:

1. *Green* - the first spreadsheet "Instructions". These provide the evaluator with: i) step by step guidance on how to check the quality of the data before the data entry and to manage missing data; ii) how to perform accurate data entry; iii) how to analyse the qualitative data and data for Social Network Analysis (SNA) manually, which is useful for calculating some indicators and how to interpret the automatic output in the indicator spreadsheets.
2. *White* - data entry. This comprises 9 spreadsheets:
  - a. In the first spreadsheet (in "actors") the evaluator should insert the sample of actors selected through the sampling design described in Section 4.3 of this Manual, assigning them an identification code;
  - b. In the next 6 spreadsheets (from "T1" to "T6") the evaluator should proceed with the data entry. Each row corresponds to a record and is identified by the respondent's code; each column is a variable identified by the corresponding question code (variables follow the order of appearance of the questions within the questionnaires). At the end of each spreadsheet, there are columns coloured in yellow and light blue which contain automatic formulas which transform or compute the data. These entries must not be changed;
  - c. In the last two spreadsheets, corresponding to questions used for the Social Network Analysis in Tools 3 and 4 (E.3 and E.4) there are 8 square matrices (adjacency/square matrices) which are needed for the data entry. The codes of the first 15 actors of the Social Innovation network (Innovator(s), Follower(s) and Transformer(s)) are automatically included in the rows and in the columns of the



matrixes. If the Social Innovation network has more than 15 actors, the evaluator insert the remaining codes manually. In E.4, the collaboration relationships are calculated for four phases of the Social Innovation: before the idea arises, during the process phase, during the project implementation phase, and after the project ends. Question E.4 is used to produce a “reputational power” for each member of the network, interpreted both as power in decision-making (Dahl, 1957), and the capabilities and influence of actors within network (Haugaard, 2010).

3. *Yellow* - two spreadsheets (yellow) require manual calculations. In these the evaluator should follow the instructions and to select “DONE” once they finish the required operations. Manual calculation is necessary for:
  - a. Indicators based on Scoail Network Analysis indices, which cannot be calculated automatically in MS Excel;
  - b. Indicators based on qualitative data collected through open-ended questions.
4. *Blue* - The final three spreadsheets are where the value of each indicator is returned, within its range, as shown in Figure 5.

The value of each indicator is calculated from responses to one or more questions, as well as from responses across one or more of the six tools. Each question has its own range of responses. For example, they can vary from [1 to 10] for a Likert scale to a [0 to 100] in the case of a rate (see explanation below). Each indicator is calculated from questions, regardless of the range of responses. The methodological process for the calculation of each indicator follows a standardised format which includes the question or questions from where it is derived (i.e. Tools 1, 2, 3, 4, 5, 6), the possible responses with coding for each response, and the range of the responses.

Indicators can be measured as “rate” or “level”. Rate expresses a value derived from the ratio of two related quantities, whereby the numerator is a subset of the denominator, or a mean of percentage values. Level expresses an absolute value derived from the mean scores of data ranked on an ordinal scale. There are a few indicators which are based on more complex calculations, i.e. Gini index or sum of different scores. In most cases, higher values are correlated with greater effects, benefits or impacts of the Social Innovation. When the evaluation question focuses on “negative” elements, scores are inverted.

Some of the indicators proposed for the evaluation of social innovation and its impacts are calculated through indices used in the Social Network Analysis (SNA) (Borgatti *et al.*, 2002 and 2009; Secco *et al.*, 2014; Pisani *et al.*, 2018; Pisani and Laidin, 2016). Indicators based on Social Network Analysis indices do not require specific knowledge and skills of this analysis technique. Nevertheless, if the evaluator wishes to undertake further descriptive analysis of the Social Innovation initiative, they can consider analysing data entered into spreadsheets “E.3” and “E.4” by means of Social Network Analysis and specific software packages such as UCINET (Borgatti *et al.*, 2002) and some packages of R, as igraph (Csardi and Nepusz, 2006) and Rsiena (Ripley *et al.*, 2016). More information about this option is given in Section 6.1

## 5.2.2 Tool 10 – Semi-structured interview reporting and analysis

Data collected in the semi-structured interviews based on Tools 7 and 8 are entered and analysed through Tool 10, which is structured as a report, prepared for each interview. The report is organised according to research criteria, so it does not follow exactly the interview guide, requiring:

- Transcription of semi-structured interviews to be compulsory.
- Careful reading of the entire transcript, understanding its content and then completion of the report (Tool 10).
- Interpretation of the answers from the interview transcripts by the evaluator (possibly with the help of an assistant evaluator, if available, who can help with validating the interpretation).



- Recognising that the answers to certain criteria in the report will be found in different places in the transcript. For example, answers regarding the “societal challenges” may be found at the beginning of the interview when the interviewee talks about the “motivations” and the “policy challenges”, at the end when the interviewee is asked about “project achievements”, and in other places if relevant topics were discussed during the course of the interview.
- One report is required for each interview.

Tool 10 provides the main content of each interview. Within the report, the “content” of the interview will be separated from the interpretation. For each criterion, the evaluator is provided with a table containing:

- a. “Main contents”, where they insert the central topics of the interview in the form of direct citations from the transcripts.
- b. “Supplementary contents” for supplementary statements that relate to the theme.
- c. “Summaries of the statements”, that should give a clear and understandable answer to the criterion.
- d. “Commentary” (fourth column), where the evaluator should give explanatory background information to help the interpretation of the interview results. Here, they can indicate which of the statements seem central and/or well proven with other information, those about which they have uncertainties, or if any contradictory results from other parts of the interview, from other interviews or from other sources are observed.

The evaluator may add new lines for additional “main contents”. The answers and citations from the transcripts support the development of the “narrative” on the findings of the Social Innovation initiative that complement the standardised indicator-based analysis.

### 5.2.3 Tool 11 – Policy document content analysis

In section H of Tool 1 the question was asked: “Which policies and policy instruments (e.g. laws, strategies, programmes, grants, loans etc.) are of relevance for this specific Social Innovation?”. Policy documents may be formal rules, such as a constitution, laws, by-laws, ordinances, etc. that provide a regulatory framework in a sector and contain certain policy instruments such as regulations (prohibitions or orders), funding (e.g. subsidies), and information rules (e.g. advisory services, planning documents, statistics, etc.). If relevant, documents reporting informal rules (e.g. customs/habits/social norms, etc.) are also considered.

Tool 11 is the instrument by which the policy documents listed in Tool 1 are collected and analysed. It is divided into two parts. In the first part, tips/instructions for data collection are provided, and in the second part the evaluator is provided with the procedure to analyse the policy documents.

The list of all policy documents relevant to the Social Innovation initiative must be reported in the first part of Tool 11. The evaluator can use sources from both local and higher levels, and update the file during the course of the evaluation, e.g. through exploratory research, the Focus Group or the semi-structured interviews. They should check the relevant literature and policy documents produced by the Social Innovation initiative itself and upload them.

Tool 11 distinguishes between policies indirectly and directly relevant to the Social Innovation initiative:

- 1) Indirect policy documents have an indirect impact on the “institutional framework conditions” in the region and the Social Innovation initiative may either benefit or be hindered by those policies (e.g. regional or rural start-up or innovation regulations or support programmes, rural/regional development programmes, social policies, education policies, employment policies, regulations for nature parks or national parks, hygienic directives for direct marketing).



- 2) Direct policy documents contain specific regulations in the field of the social innovation (e.g. LEADER/CLLD, EIP, INTERREG, social innovation programmes, start-up support for social entrepreneurs, regulations on social farming and green care, new regulations that define Community Supported Agriculture and make them eligible for funding). In the case of EU policies, the evaluator should consider the relevant national and regional documents, e.g. LEADER regional development strategies, EIP Operational Groups, and INTERREG project plans.

The methodology to process the information collected is based on content analysis of documents and concerns the second part of Tool 11. It is done using extracts of “citations” from the document text, distinguishing content and interpretation. All of the policy documents that had a central and direct role in the Social Innovation initiative have to be analysed through this approach.

The evaluator is asked to carefully separate the “content” (citation) from the interpretation (comments). The aim of this analysis is to identify the role of policies in the Social Innovation initiative (or vice versa), and to analyse how the policies work, are formulated, are implemented by the public administration, and how they are perceived by the target groups.

There are different items to be analysed and evaluated:

- Definition of “innovation” and “social innovation” or “social entrepreneurship”
- Main content and innovative aspects
- Goals or aims related to the social innovation of the Social Innovation initiative
- Regulatory instruments (prohibitions or orders)
- Financial instruments (e.g. subsidies or other support)
- Informational instruments

The analysis must be replicated for each policy document selected.



## 6. How to Use, Interpret and Report Results

### 6.1 Quantitative Analysis

The quantitative part of the analysis of an evaluator using the data collected with the proposed tools is based on the 121 indicators listed in Section 4 and described in detail in the Technical Annex to this manual. The MS Excel file (Tool 9), into which data obtained through the face-to-face or online structured interviews based on questionnaires are entered, automatically produces the scores of all the indicators.

The interpretation of these values is facilitated by the specific evaluation question each indicator is designed to answer, and by the judgment criterion that helps with the interpretation of the score within the range of the indicator itself. The fiches of each indicator include all of the necessary information the evaluator needs for the quantitative analysis: the evaluation question, a short description, the judgement criterion, the variables and the tools from which data are collected, the data computation, and the indicator range.

Evaluation questions can be of three types (see Section 4 for an overview), with three associated purposes:

1. *Descriptive*, when the evaluation seeks to determine what is taking place. It describes the context, processes, context conditions, relationships amongst actors, and perceptions of stakeholders. Examples of descriptive questions for the evaluation of a Social Innovation initiative are: (i) To what extent have Innovator(s) and Follower(s) been resilient to changing circumstance(s), according to the perception of other actors of the Network? (ii) To what extent have the Social Innovation members attended the process meetings? (iii) To what extent have new relationships been created within the Social Innovation network?
2. *Normative*, if an evaluation compares the current situation with a specified target, goal or benchmark. Normative questions assess whether or not targets are accomplished, and can be applied to inputs, activities, and outputs. Examples of normative questions for the evaluation of a Social Innovation initiative are: (i) To what extent have the resources invested by the actors of the Social Innovation process been efficiently used? (ii) To what extent has the Social Innovation initiative dealt with European societal challenges? (iii) To what extent has the Social Innovation initiative been validate as innovative, according to the Social Innovation actors and beneficiaries?
3. *Cause-and-effect*, which attempt to measure what has changed because of the intervention. They are the "so what" questions, often referred to as outcome, impact, or attributional questions. They seek to determine the effects of a project, programme, or policy. Examples of cause and effects questions for the evaluation of a Social Innovation initiative are: (i) To what extent have newcomers contributed to the development of the Social Innovation process? (ii) To what extent have the impacts of the Social Innovation initiative in the four domains been positive according to the stakeholders? (iii) To what extent have governance aspects improved due to the Social Innovation initiative, according to the actors?

The same distinctions apply to the indicators, but depending upon the use to which the evaluator wants them to be put. Very few indicators are proposed which are normative in their construction. Indicators E2, E8, and SIE1 are built through the ratio of two variables (or means of variables) with the same range [from 1 to 10], which means that the indicators are in a range of between 0.1 and 10. The closer the score to 0.1, the lower the value of the indicator, while the closer the score to 10, the higher its value. When the value is equal to 1, it means that numerator and denominator equals: so, only for these 3 indicators, for interpretation of the results, 1 is the threshold.



All the other indicators are descriptive, but they may be used in a normative way, as the higher (or the lower, depending upon the specific indicator) their value within the range of each indicator the better their detailed evaluation. Judgement criteria enable the evaluator to formulate a judgement of the Social Innovation initiative.

The normative use of indicators depends to a large extent on the research question of the evaluator and on the study design.

In a cross-sectional study, the evaluator compares different cases at a given point in time. Comparison should be made between Social Innovation initiatives that are at the same phase of development (e.g. at the phase of project implementation). It is difficult to provide a definitive relationship between cause and effect as such a study does not consider what happens before or after that point in time. Nevertheless, the evaluator can use the indicators describing the Social Innovation phases to evaluate the timely development of the initiative, and analyse the relationships between indicators within and amongst different sub-dimensions. Comparing several cases, the evaluator could use another Social Innovation initiative and indicators computed as a benchmark and, consequently, to assign a normative meaning to the descriptive indicators.

The indicators can be considered normative if a longitudinal study is carried out. In a longitudinal study, the evaluator conducts several observations from the same sample of actors of the Social Innovation initiative over a period of time. In this case, the baseline (time 0) becomes the benchmark with which the evaluator can compare the outcome of the new survey at time 1. This assumes as a criterion of judgment that the increase in an indicator is better and that a decrease is worse with respect to the baseline. The longitudinal approach is suggested if the evaluator is internal to the initiative because it will be easier for them to access the data of the baseline at time 0.

Both cross-sectional and the longitudinal studies are observational, which means that evaluator collects information in the field on the Social Innovation without interfering in the activities of the actors or manipulating the environment.

The final report will include the results from both the quantitative and the qualitative analysis. If the evaluator chose to assess the Social Innovation initiative through the use of the whole set of indicators, the report should be split into the following parts (see also Section 6.3):

- a. An introduction to the initiative and the methodology (sampling design and variables selection) using the information obtained through Tools 1 and 2.
- b. The rapid evaluation of the Social Innovation initiative based on the SIMRA definition, using the indicators within the SIMRA1 General Index.
- c. The detailed evaluation of the dimensions of the Social Innovation (SIMRA2 General Index); within this section, the evaluator may include the chronology of the initiative obtained through Tool 2.
- d. The conventional evaluation through the REEIS assessment (SIMRA3 General Index).

It is recommended to display the value of each indicator in one or more tables within each section of the report, highlighting the range and the number of observations on which the indicator is built. Missing data must be explained and justified. Then, the evaluator can discuss the results through the interpretation given by each judgement criterion.

If time is available, the evaluator could carry out further descriptive analysis, in which some of the data are analysed by means of Social Network Analysis (SNA) and specialized software such as UCINET (Borgatti *et al.*, 2002) and R specific packages. Social Network Analysis enables the study of relationships amongst two or more actors (called 'nodes'). It describes the structure of a network based on a single type of relationship, through the use of indices and figures. Questions E.3 provides information on the collaboration network in four moments in time: i) before the Social innovation idea arose, ii) during the Social Innovation process, iii) during the Social Innovation project



implementation, and iv) after the project ends. The outputs can be enriched by answers to question E.4 which measure the reputational power of the actors, interpreted both as decision making power (Dahl, 1957) and the capabilities and the influence of the actors within the network (Haugaard, 2010).

Indicators may be normalized in a standardized range [from 0 to 1] and aggregated into synthetic composite indicators. Normalization is crucial because the scales of measurement used are different. Each indicator has its own range that is tied to the scale of measurement of the data. Comparison between different indicators with different ranges would be possible only after normalisation, which would transform the values of the indicators to a unique scale [0 to 1]. Then, the values could be comparable and aggregated at different levels of the abstraction scale. However, if the evaluator decides to use indicators singularly (i.e. not aggregating one or more indicators into composite indicators and/or indexes), normalization is not required.

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). There are several possible normalization techniques which can be used.

Adopting a normalisation<sup>87</sup> through the maximum and minimum range expected in the indicator is recommended. If the evaluator is analysing more initiatives, an alternative normalization approach could be to use the higher and lower values observed in the distribution of data collected in all the case studies. This second approach relies on real values and not on mathematically constructed ranges that do not reflect reality.

Normalization is the baseline for aggregation of indicators. Composite indicators enable the quantification of Social Innovation at different levels of aggregation. Indicators are calculated at the lower level of the aggregation phase, which means that they are derived directly from the questions in the tools. At the level of sub-dimensions, the indicators are aggregated into composite indicators. At the level of dimensions these composite indicators are aggregated into indices of Social Innovation (or its intermediate concepts). At the higher level (general concepts) the indices are aggregated into general indexes of Social Innovation and its impacts in Marginalised Rural Areas. This approach allows the operationalisation of a statistical method for evaluating Social Innovation in Marginalised Rural Areas in which the different concepts are measured at diverse levels of aggregation.

During the aggregation phase, it is suggested that the evaluator gives the same weight<sup>88</sup>, using a simple mean, to each of the different components considered, independently of the number of

---

<sup>87</sup> The SIMRA Evaluation Approach tested different approaches to normalisation reported in the scientific literature. The Min-Max normalisation method is recommended in the SIMRA approach. This method allows an identical range [0-1] to be chosen for all of the indicators. The evaluator can choose from the different options for normalisation such as standardisation (or z-scores), distance to a reference country (if this is possible based on the type of evaluation considered), categorical scales, and indicators above or below the mean. This will require identifying the method which best fits the specific features of the dataset of indicators and composite indicators computed for the Social Innovation initiative under evaluation.

<sup>88</sup> The SIMRA Evaluation Approach uses the Equal Weighting (EW) method, i.e. all the variables are given the same weight. A risk associated with this method is of inserting a composite indicator into the computation, with an element of double counting by combining variables with a high degree of correlation. Best practice is to compute the Pearson correlation coefficient in order to choose indicators with a low degree of correlation, or to adjust their weight by considering this correcting factor. In SIMRA, this issue is made clear. However, the composite indicators were not selected or adjusted because the number of case studies observed was limited (11 Type A Case Studies). Nevertheless, the evaluator could choose to follow this option if it would be appropriate for the number of cases observed in their evaluation practice. Another strategy for weighting the indicator is the use of participatory methods that incorporate stakeholders such as experts, citizens and



indicators included. This is the simplest approach to aggregation. Alternatively, the evaluator can choose to allocate the same weight to each single indicator at each level of aggregation. This approach is recommended if the evaluator is not using all of the indicators (by choice or due to problems caused by missing values).

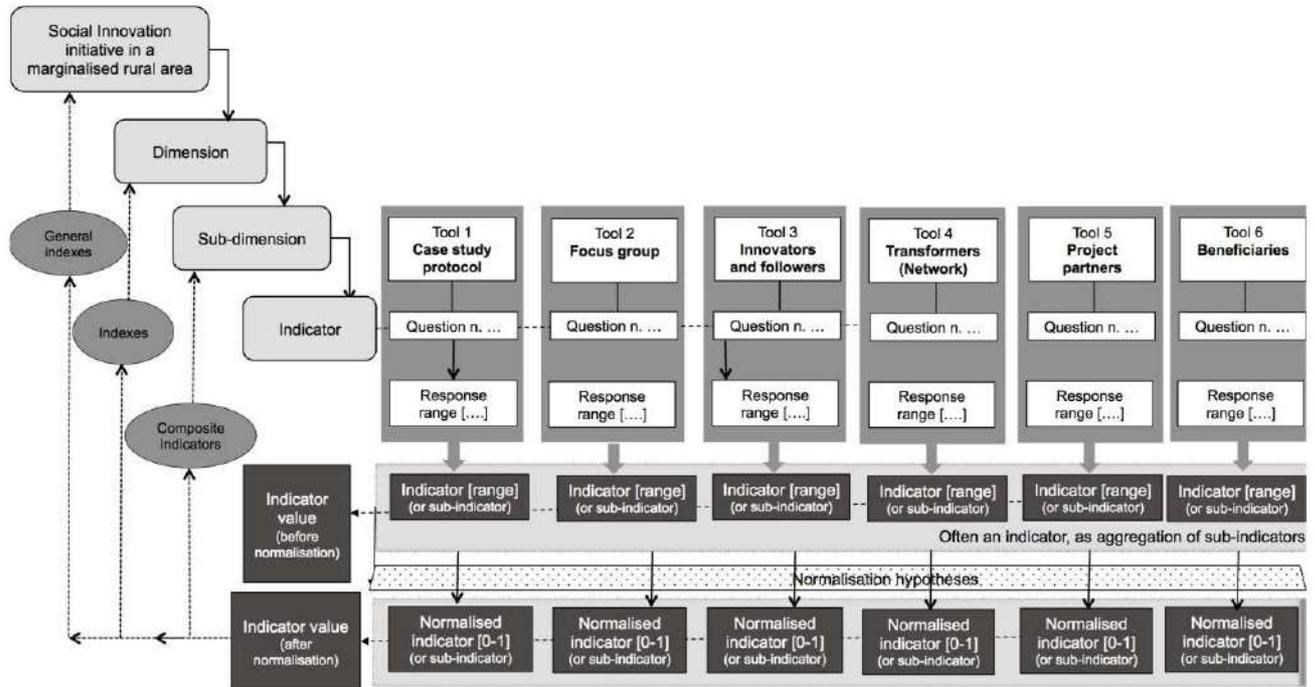


Figure 6.1. Social innovation general indexes, indexes, composite indicators and indicators. Source: SIMRA project, modified from Pisani et al. (2018).

## 6.2 Qualitative Analysis

For the analysis of qualitatively data (collected using Tools 7 and 8), the evaluator should adopt a qualitative deductive approach with the application of content analysis<sup>89</sup>.

The primary source of data for analysis are Tool 10 (Semi-structured interview reporting and analysis) and Tool 11 (summary analysis of relevant policy documents). In analysis of policy documents it is possible to analyse the documents quantitatively (meaning in-depth analysis of, for example, the frequencies of key-words occurring in legal texts, policy statements, programmes and strategies of relevance or which have been influential in the Social Innovation initiative).

The qualitative analysis should follow the sections set out in the interview guides, based on the key elements of Social Innovation as set up by the SIMRA Evaluation Framework. These elements are the characteristics of, and relationships with, the Social Innovation to be evaluated; information; needs; perceived context; agency and actors; reconfiguration; project activities; innovation in the region; outputs; outcomes and impacts; learning processes; and final considerations. This part of the qualitative analysis can be used for complementing, cross-checking, reinforcing and/or questioning the observations on the Social Innovation initiative based on the triangulation of quantitative data

politicians for that task. This strategy works well when applied to a national context with a clear national policy on the topic. This weighting approach was not implemented in the SIMRA project as it is a new topic in the area of rural policy.

<sup>89</sup> Mayring (2000).



and processed data (see Section 6.3). For each section, the evaluator should report their findings and observations in clear language, in the style of a narrative.

The recommended approach is that only the core information should be distilled and highlighted in the written Final Evaluation Report. This avoids losing the key messages, and the text becoming too long. In reporting (see Section 6.3 for details), the evaluator should provide a particular focus on the role and implications of policies for the Social Innovation initiative.

## 6.3 Integration and Triangulation of Quantitative and Qualitative Analysis

The data collected and analysed using the tools presented in this Manual is both qualitative and quantitative in nature. Triangulation of the quantitative with the qualitative data enables the integration and cross-checking of information on the Social Innovation initiative to produce a thorough evaluation.

The evaluator who carries out the triangulation phase of the evaluation should use, principally, Tool 9 for the quantitative and Tool 10 for the qualitative analysis. Information that helps to deepen the understanding of certain phases or dimensions of the Social Innovation initiative being evaluated can be derived from the relevant questions. Table 6.1 links the relevant quantitative indicators (column on the left), to their underlying concepts (central column), and shows which questions in the two qualitative tools (Tools 7 and 8) are likely to be related to the same concepts and provide information of relevance (column on the right).

Table 6.1 complements Tools 9 and 10, providing a guide to orient the evaluator in combining quantitative and qualitative information. However, note that not all of the guiding questions in the qualitative tools require to be posed to the interviewee, and that the respondent may narrate the entire story of the Social Innovation initiative without following the logic of the semi-structured interviews.

Table 6.1 "Evaluation criteria with relative quantitative indicators and qualitative questions" is structured into three main columns:

- Column 1 - list of quantitative indicators, reported by their identification code;
- Column 2 - key concepts and evaluation criteria utilised;
- Column 3 - list of qualitative questions.

Each row, i.e. for each evaluation criteria, contains the corresponding indicator codes on the left, and the probable questions and sub-questions (in square brackets) that relate to the concept under consideration on the right.

The table is in three sections, according to the type of evaluation that the evaluator chooses: a) the SIMRA Rapid Evaluation of the Social Innovation initiative following the SIMRA definition of Social Innovation; b) the SIMRA Detailed Evaluation of the dimensions of Social Innovation; and c) the SIMRA Conventional Evaluation of the Relevance, Efficiency, Effectiveness, Impacts and Sustainability of the Social Innovation initiative. The evaluator is free to decide whether to choose one of the three types of evaluation provided, or to combine one or more (see Sections 3 and 4).



Table 6.1. Evaluation criteria with relevant quantitative indicators and qualitative questions.

QUANTITATIVE	CONCEPTS and Evaluation criteria	QUALITATIVE
<b>Indicator Codes</b>	<b>SIMRA Rapid Evaluation</b>	<b>Questions (and sub-questions) in Tools 7 and 8</b>
SIR1; SIR2; SIR3; SIR4; SIR5	<b>SIR. Reconfiguring of social practices</b>	<b>Tool 7</b> Questions 8 [8.2] and 3; <b>Tool 8</b> Question 1
SIS1; SIS2	<b>SIS. Response to societal challenges</b>	<b>Tool 7</b> Question 1 [1.2]; <b>Tool 8</b> Question 1 [12 and 1.3]
SIO1; SIO2	<b>SIO. Outcomes on social wellbeing</b>	<b>Tool 7</b> Questions 6, 8 [8.3] and 9 [9.1 and 9.2]; <b>Tool 8</b> Question 1 [1.9]
SIE1; SIE2; SIE3; SIE4	<b>SIE. Engagement of the civil society</b>	<b>Tool 7</b> Questions 1 [1.2], 2 [2.1], 3 and 5; <b>Tool 8</b> Question 1 [1.3] and 2 [2.3]
SII1; SII2	<b>SII. Perceived innovativeness</b>	<b>Tool 7</b> Question 8; <b>Tool 8</b> Question 1 [1.8]
<b>Indicator codes</b>	<b>SIMRA Detailed Evaluation</b>	<b>Questions (and sub-questions) in tools 7-8</b>
Aa1; Aa2; Aa3; Aa4	<b>A. Trigger and social needs</b>	<b>Tool 7</b> Question 1 [1.1 and 1.2] and ; <b>Tool 8</b> Question 1 [1.2 and 1.3]
Ba1; Ba2; Ba3	<b>B. Perceived Opportunities and Threats (POT)</b>	<b>Tool 7</b> Question 1, Question 7; <b>Tool 8</b> Question 1 [1.3]and 2 [2.4]
Ca1; Ca2	<b>Ca. Social Innovation Idea</b>	<b>Tool 7</b> Question 2 [2.1] and 8 [8.2]; <b>Tool 8</b> Question 1 [1.8]
Cb1; Cb2	<b>Cb. Leadership</b>	<b>Tool 7</b> Question 2 [2.1], 3 [3.2 and 3.4] and 6
Cc1; Cc2	<b>Cc. Resilience</b>	<b>Tool 7</b> Question 2 [2.1] and 3 [3.2]
Cd1; Cd2; Cd3	<b>Cd. Capabilities</b>	<b>Tool 7</b> Question 2; 3 [3.4] and 4
Da1; Da2; Da3	<b>Da. Endogenous vs. exogenous drivers of the Social Innovation process</b>	<b>Tool 7</b> Question 2 and 3; <b>Tool 8</b> Question 2 and 3
Db1; Db2; Db3	<b>Db. Preparatory actions, motivations, and expertise</b>	<b>Tool 7</b> Question 1, 4 and 6; <b>Tool 8</b> Question 1 and 3
Ea1; Ea2; Ea3; Ea4; Ea5; Ea6; Ea7; Ea8; Ea9; Ea10; Ea11; Ea12; Ea13	<b>Ea. New networks</b>	<b>Tool 7</b> Question 3 and 6 [6.3]; <b>Tool 8</b> Question 1 [1.9]
Eb1; Eb2	<b>Eb. New attitudes</b>	<b>Tool 7</b> Question 6 and 8; <b>Tool 8</b> Question 1 [1.9]
Ec1; Ec2; Ec3; Ec4	<b>Ec. New governance arrangements</b>	<b>Tool 7</b> Question 6 and 7; <b>Tool 8</b> Question 1 [1.9], 2 and 4
Fa1; Fa2; Fa3; Fa4; Fa5; Fa6; Fa7	<b>Fa. Planning and Management</b>	<b>Tool 7</b> Question 1, 5 and 8; <b>Tool 8</b> Question 1, 2 and 3



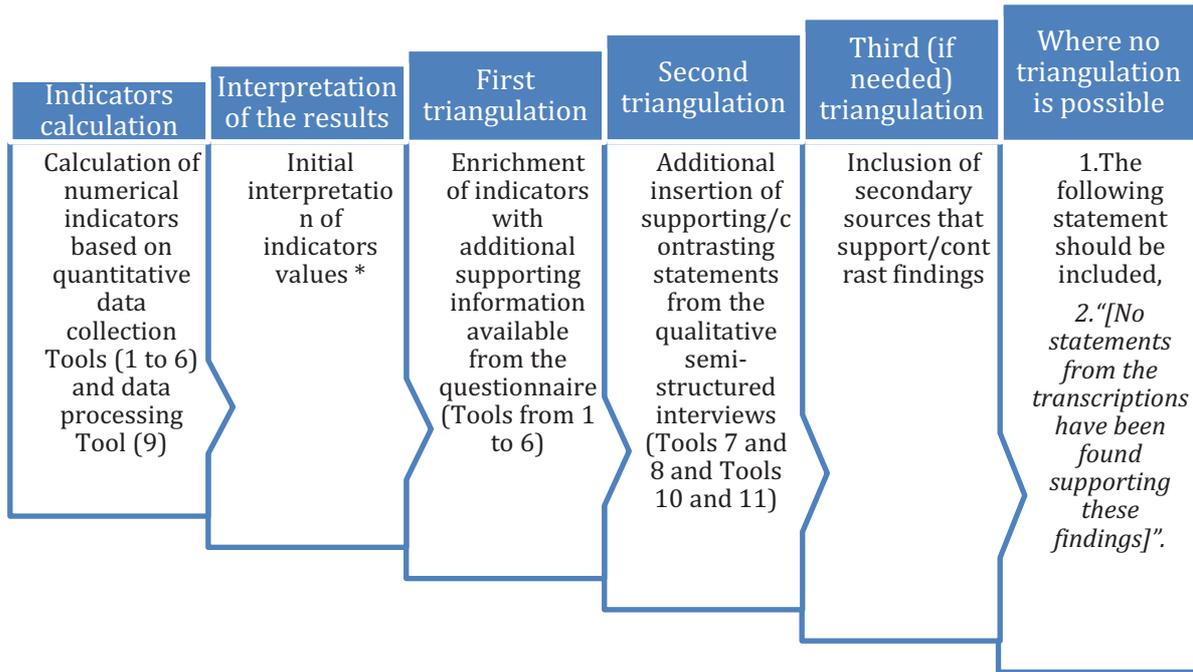
Fb1; Fb2; Fb3; Fb4; Fb5	<b>Fb. Support by project partners and external agencies</b>	<b>Tool 7</b> Question 5 and 8; <b>Tool 8</b> Question 1, 2 and 3
Ga1; Ga2; Ga3; Ga4	<b>G. Beneficiaries</b>	<b>Tool 7</b> Question 6
Ha1; Ha2; Ha3; Ha4	<b>Ha. Feedback loops and multiplier Effects</b>	<b>Tool 7</b> Question 1, 3, 5, 8 and 9; <b>Tool 8</b> Question 1 [1.8 and 1.10] and 4
Hb1; Hb2; Hb3	<b>Hb. Critical Innovation Effects</b>	<b>Tool 7</b> Question 1 [1.3], 9; <b>Tool 8</b> Question 1 [1.8 and 1.10]
<b>Indicator codes</b>	<b>SIMRA Conventional Evaluation</b>	<b>Questions (and sub-questions) in tools 7-8</b>
R1; R2; R3; R4; R5; R6; R7	<b>R. Relevance</b>	<b>Tool 7</b> Question 1, 3 and 4; <b>Tool 8</b> Question 1 [1.3]
E1; E2; E3; E4; E5; E6; E7; E8	<b>E. Efficiency</b>	<b>Tool 7</b> Question 5; <b>Tool 8</b> Question 1 [1.5] and 3
F1; F2; F3; F4; F5; F6; F7; F8; F9; F10; F11	<b>F. Effectiveness</b>	<b>Tool 7</b> Question 1, 3, 6, 8 and 9; <b>Tool 8</b> Question 1 and 3
I1; I2; I3; I4; I5; I6; I7; I8; I9; I10; I11	<b>I. Impacts</b>	<b>Tool 7</b> Question 9; <b>Tool 8</b> Question 1 [1.9] and 4
S1; S2; S3; S4; S5	<b>S. Sustainability</b>	<b>Tool 7</b> Question 5, 6, 8 and 9; <b>Tool 8</b> Question 1, 3 and 4

Source: SIMRA project.

The use of a combined quantitative-qualitative approach was a recommendation of stakeholders (Secco *et al.* 2017; Secco *et al.*, 2019). This approach has been used to perform the evaluation of Social Innovation in 11 Type A Case Studies<sup>90</sup> as reported in Deliverable 5.3 (Marini-Govigli *et al.*, 2019), in which the process of reporting has been summarised.

Figure 6.2 presents possible workflows which comprise the integration and triangulation of quantitative and qualitative analysis. These are based on the empirical experience obtained from the completion of the evaluation and reporting a set of 11 Type A Case Studies, using the mixed methods approach developed in SIMRA (Secco *et al.* 2018a; R5.1).

<sup>90</sup> The SIMRA Case Studies are divided into three categories: A (Analytical), using the full analytical methodology; B (Analytical-informative), carried out using the complete methodology or a simplified version for the assessment of social innovation; C (Informative), using a simplified version of the SIMRA data collection toolkit.



\* if no data are available for calculating a specific indicator, or if an indicator seems inconsistent or not reliable after comparing it with the qualitative data, then this should be documented and explained.

Figure 6.2. The SIMRA workflows of integration and triangulation of quantitative and qualitative analyses. (Source: SIMRA Project, modified from Marini-Govigli et al., 2019).

By adopting this workflow, the evaluator will complete a comprehensive final report, designed for integrating and triangulating both quantitative data and qualitative information about the Social Innovation evaluated. This report will be the final output of the evaluation, based on progressive incremental steps in collecting, interpreting and reporting data and information from the different sources which are relevant to the analysis of the Social Innovation initiative. The final report should be presented in a standardized manner (report), that should include the following sections:

- 1) **Overall description of the Social Innovation:** Report the key characteristics of the initiative evaluated, including its name, location, year of establishment, chronology of events, agents, local context (especially its characteristics as a marginalized rural area<sup>91</sup>) and any other information that the evaluator considers as relevant for providing an introductory understanding and background or overview of the initiative.
- 2) **Methodology, data collection and analysis:** Provide a short, clear presentation of the specific method selected for the evaluation (e.g. the SIMRA Rapid Evaluation, or other options as described in Sections 4 and 5), together with any possible limitations. The specific method has to be fully described (in an Annex), including the initial design, problems encountered, solutions found, methods actually implemented, and possible adaptations of the SIMRA methodology and potential implications (e.g. limitations). The evaluator should also mention the specific Tools that have been applied and provide a profile of interviewees with the indication of the date(s) of interviews. In case of a Social Innovation having multiple projects, the rationale for selecting the project included in the evaluation, as well as the consequent “boundaries” of the evaluation, have to be explained clearly.
- 3) **Evaluation of the Social Innovation:** Present, comment on and interpret the results of the evaluation. The data analysis should be structured according to the selected evaluation

<sup>91</sup> Price et al. 2017



criteria and the key selected evaluation questions. This section is based on the combination of the two main analytical approaches: i) the quantitative and ii) the qualitative.

Quantitative results of indicators and indexes as derived from the application of the SIMRA Detailed Evaluation, as well as the SIMRA Conventional Evaluation, the SIMRA Rapid Evaluation, and/or their combinations or sub-sets, depending on the evaluation needs and objectives (stated in the “Methodology, data collection and analysis” section of the final Report to be prepared. Evaluation of the Social Innovation should be case-by-case according to the objectives defined, as indicated in Sections 4 and 5 of this Manual.

This section of the Final Evaluation Report should include: i) calculated values of indicators (performed through data processing Tool 9); ii) interpretation of the values of the indicators calculated; iii) enrichment of the interpretation and meaning of the values of the indicators using additional, supporting information available from the qualitative information which could complement, integrate, or challenge the results based on quantitative information.

The qualitative information includes both additional observations, evidence, facts or statements taken from qualitative-based questions in the structured questionnaires, and/or narratives and content analysis performed using qualitative Tools 10 and 11. Additional information (e.g. third party sources of information from a literature review, secondary data available for the level of detail required) would be used to for the justification or explanation of the results obtained. Particular attention should be given to the possible “significant impacts” identified as a consequence of the Social Innovation initiative (if mature or developed enough for determining impacts). The questions in the SIMRA methods are posed to all the target populations (Innovator(s), indirect beneficiaries, etc.), the results of which can be used to guide the reporting, e.g. on whether and to what extent the perceptions of impacts are convergent between actors. In case of a Social Innovation initiative that has multiple projects, the trade-off effects of other projects (i.e. those not included in the evaluation) should also be presented.

**4) Focus on Policy analysis (if needed):** A specific section which focuses on policy analysis if required by, or appropriate for, the evaluation needs and objectives, as identified at the beginning of the evaluation. This section can provide an in-depth analysis of the role of policy and institutional frameworks in supporting or hindering the Social Innovation. It would be based mainly on reporting and interpretation of results from semi-structured interviews and related data processing (based on Tools 7 and 8, and Tools 10 and 11). Additional and integrative information can be retrieved from questions and exercises included in Tools 1 and 2, as well as the structured questionnaires (included in Tools 3 to 6). To highlight this information, the evaluator can report by following the following guiding questions:

- 1.1 What is the relationship between the Social Innovation initiative and the local, national or other authorities?
- 1.2 Which policies supported the Social Innovation initiative?
- 1.3 To what extent is the Social Innovation initiative supported by these policies?
- 1.4 What was the nature of the policy support?
  - Financial, e.g. subsidies, tax reduction, reduced loans, funding?
  - Provision of information, sensitizing and awareness raising?
  - Facilitation of networking?
  - Previous support in the region by rural development policies and other initiatives?
- 1.5 Which policies could have fostered the Social Innovation initiative but were neutral in their effects?
- 1.6 Which policies hindered the Social Innovation initiative?



**5) Focus on Impact evaluation based on robust statistical techniques (if applicable/needed):**

A specific section which focuses on impact evaluation if needed by, or appropriate for the needs and objectives of the evaluation, as identified at the beginning of the evaluation. This section can provide additional quantitative information on one or more impacts determined by the implementation of the Social Innovation. Such information would be based on the full application of robust statistical techniques which should be designed, used and reported following the guidelines described in Section 3.9 of this Manual.

**6) Conclusions and recommendations:** A section which includes lessons learned and recommendations<sup>92</sup> for improvement, or adjustment of the Social Innovation performance, structure, impact(s), etc. Conclusions typically include a value judgement, and therefore the evaluation questions and judgement criteria have to be explicitly stated and used for structuring the contents. The conclusion should summarize the main findings of the evaluation.

The following questions can be used to guide the development of the conclusions and recommendations sections:

- i) What factors have affected the development of the Social Innovation initiative?
- ii) What were the constraining and facilitating factors, including context, agents and policy questions?
- iii) What are the effects and impacts of the Social Innovation initiative?

Recommendations should be developed based upon the overall findings and should include concise statements on:

- i) what factors have made the Social Innovation initiative successful (or not)?
- ii) What can be changed that would make it more successful (e.g. having better impacts on the environment, economy, society and governance/institutions)?
- iii) What can be highlighted to individuals or groups engaging in Social Innovation initiative in marginalised rural areas (lessons learned) that might help those projects thrive?

A suggested structure for the SIMRA Final Report on Social Innovation initiative is provided in Box 6.1.

**Box 6.1 – Suggested index of the Final Report on Social Innovation evaluation according to the SIMRA set of methods**

**Summary**

An abstract introducing the Social Innovation initiative and the insights obtained from the evaluation.

**1. Introduction**

An introductory section that provides an overview of: i) the Social Innovation being evaluated (e.g. name, location, year of establishment/creation, chronology of events, agents involved, project selected for the evaluation in the case of a Social Innovation initiative having multiple projects); ii) the local context and what characterizes it as a marginalised rural area; iii) the rationale and evaluation questions for the Social Innovation under evaluation.

<sup>92</sup> E.g. EU EuropeAid (2006) (p. 86).



## **2. Methodology, data collection and analysis**

A methodological section that provides details of the evaluation approach and tools adopted in the specific case, including the selected evaluation questions, interviewee identification codes, and adaptations to the method applied and potential implications.

### **3. Evaluation results**

3.1 Results for evaluation criterion 1 and related evaluation questions

3.2 Results for evaluation criterion 2 and related evaluation questions

3.n Results for evaluation criterion n and related evaluation questions

*etc. (depending on the evaluation criteria selected by the evaluator)*

3.n+1 Overall findings

3.n+2 Observations on the effects of projects not included in the evaluation

For each of the above sections, the values of the indicators have to be provided with their interpretation. Quantitative information should be complemented by qualitative information which supports or challenges the quantitative values of the indicators. An overall summary and interpretation of the results obtained in each section should be included.

Particular attention should be given to describe the effects and/or impacts of the Social Innovation initiative on the environment, society (community), economy and governance/institutions.

### **4. Policy analysis (if needed)**

An in-depth analysis which focuses on the implications of policy for the Social Innovation initiative.

### **5. Focus on impact evaluation with robust statistical techniques (if applicable/needed)**

An in-depth analysis, if technically feasible and useful, which focuses on the identification of specific outcome variable(s) that can measure the impact(s) of a Social Innovation initiative, based on a clear and demonstrable cause-effect relation.

### **6. Conclusions and recommendations**

A final section that highlights: the value(s) judgement(s) about the Social Innovation initiative, in relation to the selected evaluation questions and judgement criteria; ii) lessons learned; and iii) recommendations on what could be changed to make the Social Innovation initiative more successful, creating more positive impacts on the environment, society, economy and governance and more sustainable over the long term.

## **7. Conclusions**

As recommended by stakeholders, the SIMRA Evaluation Approach is a mix of qualitative-quantitative methods. It integrates qualitative methods (such as storytelling and focus group discussions) with the measurement of perceptions of actors (based on declared levels of satisfaction, on a Likert Scale, in face-to-face interviews), quantitative analysis of network structures (e.g. using Social Network Analysis), and impact evaluations. In particular, it enables a combination of in-depth, analysis of the narratives of complex phenomena, phases of development and policy implications of the Social Innovation initiative with outputs of the evaluation that can be represented by synthetic data. The qualitative approach enables the provision of detailed information directed mainly towards Social Innovation practitioners and social scientists, and the quantitative enables the presentation of values and composite indexes mainly towards policy makers and investors.

The Manual is designed to provide: i) a deeper understanding of the methodological implications of evaluating Social Innovations and their impacts in marginalized rural areas; ii) clear guidance for



operationalizing the practice of the evaluation of Social Innovations and their impacts in marginalized rural areas; iii) a flexible set of tools and evaluation criteria that can be adapted to the specific needs of each single evaluation, whether for an internal (self-evaluation of the Social Innovation) or external use (evaluation of future programmes for supporting Social Innovation in marginalized rural areas).

Complex interactions, such as those that characterise Social Innovation, have intended or unintended consequences on various components of socio-ecological systems (economy, society, environment and governance/institutions), that are rarely positive for everyone. Social Innovation requires choices and trade-offs, and the room for manoeuvre of different actors and groups. The set of innovative methods and tools used by SIMRA to evaluate Social Innovation, its impacts and policy implications in rural areas, presented in this Manual, contributes to a better understanding and measurement of parts of these effects. These will support policy makers and potential innovators of the future and provide insight to the “black box” of the social innovation. The SIMRA set of methods is based upon empirical evidence collected in marginalized rural areas but can also be adapted for use in other rural areas, thus enlarging its potential application and impact for future evaluations.

## 8. References

### References for Section 1 of the Manual

BEPA, 2010. *Empowering people, driving change. Social Innovation in the European Union*. Bureau of the European Policy Advisers, Brussels: European Commission.

Dawes, J. 2008. Do data characteristics change according to the number of scale points used? an experiment using 5-point, 7-point and 10-point scales. *Int. J. Mark. Res.*, 50: 61–104.

Górriz-Mifsud, E., Marini Govigli, V., Ravazzoli, E., Dalla Torre, C., Da Re, R., Secco, L., Pisani, E., Ludvig, A., Weiss, G., Pisani, E., Akinsete, E., Barlagne, C., Baselice, A., Bengoumi, M., Brnkalakova, S., Dijkshoorn-Dekker, M., Egartner, S., Gramm, V., Hayder, M., Herrmann, P., Kozova, M., Lopolito, A., Niedermayr, J., Perlik, M., Pfusterschmid, S., Polman, N., Prokofieva, I., Prosperi, M., Rodríguez, C., Sarkki, S., Slee, B., Spacek, M., Udovč, A., Vassilopoulos, A. and Wagner, K. 2018a. [Case Study Protocols and Final Synthetic Description for Each Case Study](#). Deliverable 5.1 - Social Innovation in Marginalised Rural Areas (SIMRA). Report to the European Commission, pp. 154.

Górriz-Mifsud, E., Marini Govigli, V., Ravazzoli, E., Dalla Torre, C., Da Re, R., Secco, L., Pisani, E., Ludvig, A., Weiss, G., Pisani, E., Akinsete, E., Barlagne, C., Baselice, A., Bengoumi, M., Brnkalakova, S., Dijkshoorn-Dekker, M., Egartner, S., Gramm, V., Hayder, M., Herrmann, P., Kozova, M., Lopolito, A., Niedermayr, J., Perlik, M., Pfusterschmid, S., Polman, N., Prokofieva, I., Prosperi, M., Rodríguez, C., Sarkki, S., Slee, B., Spacek, M., Udovč, A., Vassilopoulos, A. and Wagner, K. 2018b. Background information and individual protocols of SIMRA Case Studies. Report 5.2 - Social Innovation in Marginalised Rural Areas (SIMRA), pp. 250.

Hernández-Ascanio, J. Tirado-Valencia, P. and Ariza-Montes, A. 2016. El concepto de innovación social: ámbitos, definiciones y alcances teóricos. *CIRIEC-España, Revista de Economía Pública, Social y Cooperativa*, (88).

Khandher, S.R., Koolwal, G.B. and Samad, H.A. 2010. *Handbook on Impact Evaluation. Quantitative Methods and Practices*. The International Bank for Reconstruction and Development/The World Bank, Washington D.C.

Man, S.S., Ng, J.Y.K., Law, K.Y., and Chan, A.H.S. 2020. Aggregate-level data characteristics of safety climate with different likert-type scales. *Advances in Intelligent Systems and Computing*, 969: 180-189.



Marini Govigli, V., Melnykovich, M., Górriz-Mifsud, E., Dalla Torre, C., Ravazzoli, E., Da Re, R., Pisani, E., Secco, L., Vicentini, K., Ludvig, A., Weiss, G., Zivojinovic, I., Kluvánková, T., Spacek, M., Akinsete, E., Barlagne, C., Baselice, A., Bengoumi, M., Dijkshoorn-Dekker, M., Egartner, S., Gibson, H., Gramm, V., Herrmann, P., Hewitt, R., Kozova, M., Labidi, A., Lolini, M., Lopolito, A., Miller, D., Niedermayr, J., Nijnik, M., Perlik, M., Polman, N., Prokofieva, I., Prosperi, M., Rodríguez Fernández-Blanco, C., Sarkki, S., Vassilopoulos, A., and Wagner, K. 2019. [Report on Social Innovation Assessment in Each Selected Case Study](#). Deliverable 5.3, Social Innovation in Marginalized Rural Areas Project (SIMRA), Demonstrator to the European Commission.

Moulaert, F. (Ed.). 2013. *The international handbook on social innovation: collective action, social learning and transdisciplinary research*. Edward Elgar Publishing.

Moulaert, F., Jessop, B. and Mehmood, A. 2016. Agency, structure, institutions, discourse (ASID) in urban and regional development, *International Journal of Urban Sciences*, 20(2): 167-187, doi: 10.1080/12265934.2016.1182054.

Mulgan, G., Tucker, S., Ali, R. and Sanders, B. 2007. Social innovation: what it is, why it matters and how it can be accelerated. Skoll Centre for Social Entrepreneurship.

Nicholls, A. and Ziegler, R. 2015. An Extended Social Grid Model for the Study of Marginalization Processes and Social Innovation. Deliverable D1.1: Report on Institutions, Social Innovation & System Dynamics from the Perspective of the Marginalised. CrESSI Working Papers No. 2/2015.

OECD 1991. *Principles for Evaluation of Development Assistance*. Paris: Development Assistance Committee of the OECD.

OECD 2000. Review of current terminology in evaluation and results based management. Working Party on Aid Evaluation, OECD DAC. Paris: OECD.

OECD 2010 [1991]. *Glossary of Key Terms in Evaluation and Results Based Management*. Paris: DAC Working Party on Aid Evaluation of the OECD.

Polman, N., Slee, W., Kluvánková, T., Dijkshoorn, M., Nijnik, M., Gezik, V. and Soma, K. 2017. Classification of Social Innovations for Marginalized Rural Areas, Deliverable 2.1, Social Innovation in Marginalised Rural Areas (SIMRA). pp. 32.

Preston, C.C., Colman, A.M. 2000. Optimal number of response categories in rating scales: reliability, validity, discriminating power, and respondent preferences. *Acta Psychol.* 104: 1–15.

Price, M., Miller, D. McKeen, M., Slee, W. and Nijnik, M. 2017. Categorisation of Marginalised Rural Areas (MRAs), Deliverable 3.1, Social Innovation in Marginalised Rural Areas (SIMRA). pp. 57.

Secco, L., Da Re, R., Pisani, E., Ludvig, A., Weiss, G., Górriz-Mifsud, E. and Marini Govigli, V. 2018a. Compilation of Tools for Data Collection for SIMRA Pioneer and Regular Case Studies. Report 5.1 - Social Innovation in Marginalised Rural Areas (SIMRA), pp. 194.

Secco, L., Da Re, R., Pisani, E. and Vicentini, K. 2018b. (Draft of) SIMRA Indicators to evaluate social innovation and its impacts in marginalized rural areas: REEIS, Social Innovation, Diverging paths, SI Dimensions. [SIMRA Internal document, not for wider circulation, developed by WP4 Leader UNIPD, version 02 – 14.11.2018), pp. 220.

Secco, L., Pisani, E., Burlando, C., Da Re, R., Gatto, P., Pettenella, D., Vassilopoulos, A., Akinsete, E., Koundouri, P., Lopolito, A., Prosperi, M., Tuomasiukka, D., Den Herde, M., Lovric, M., Polman, N., Dijkshoorn, M., Soma, K., Ludvig, A., Weiss, G., Zivojinovic, I., Sarkki, S., Ravazzoli, E., Dalla Torre, C., Streifeneder, T., Slee, B., Nijnik, M., Miller, D., Barlagne C. and Prokofieva I. 2017. [Set of methods to assess SI implications at different levels: instructions for WPs 5 and 6](#). Deliverable D4.2, Social Innovation in Marginalized Rural Areas Project (SIMRA), Demonstrator to the European Commission, pp.203.



Secco, L., Pisani, E., Da Re, R., Rogelja, T., Burlando, C., Vicentini, K., Pettenella, D., Masiero, M., Miller, D. and Nijnjk, M. 2019. Towards a method of evaluating social innovation in forest-dependent rural communities: First suggestions from a science-stakeholder collaboration, *Forest Policy and Economics*, 104: 9-22.

## References for Section 2 of the Manual

Agarwal, J. and Malhotra, N.K. 2005. An integrated model of attitude and affect: Theoretical foundation and an empirical investigation. *Journal of Business Research*, 58(4): 483–493.

Ajzen, I. 2001. Nature and operation of attitudes. *Annual review of psychology*, 52(1), pp.27-58

BEPA, 2013. *Guide to social innovation*. Brussels: European Commission.

Becker, H.S. 1964. Personal change in adult life. *Sociometry*, pp.40-53

Bodin, Ö. and Crona, B. 2009. The role of social networks in natural resource governance: what relational patterns make a difference? *Global Environmental Change*. 19(3): 366–374.

Boltanski, L., and Thévenot, L. 1991. *De la justification. Les économies de la grandeur*, Paris, Gallimard, pp. 368.

Bryce, R., Valero, D. and Price, M. 2017. Creation of Interactive Database of Examples of Social Innovation, Deliverable 3.2, Social Innovation in Marginalised Rural Areas (SIMRA). pp.24.

Cajaiba-Santana, G. 2014. Social innovation: Moving the field forward. A conceptual framework. *Technological Forecasting and Social Change*, 82: 42–51.

Emerson, K., Nabatchi, T. and Balogh, S. 2012. An Integrative Framework for Collaborative Governance. *Journal of Public Administration Research and Theory*, 22(1): 1–29.

Garud, R. and Karnøe, P. 2005. Distributed agency and interactive emergence. *Innovating strategy process*: 88– 96.

Gertler P.J, Martinez, S., Premand, P., Rawlings, L.B. and Vermeersch, C.M.J. 2016. *Impact Evaluation in Practice*, 2<sup>nd</sup> edition. The World Bank. [https://siteresources.worldbank.org/EXTHDOFFICE/Resources/5485726-1295455628620/Impact\\_Evaluation\\_in\\_Practice.pdf](https://siteresources.worldbank.org/EXTHDOFFICE/Resources/5485726-1295455628620/Impact_Evaluation_in_Practice.pdf). Accessed 23 July 2017.

Gobattoni, F., Pelorosso, R., Leone, A. and Ripa, M.N. 2015. Sustainable rural development: The role of traditional activities in Central Italy. *Land Use Policy*, 48: 412–427.

Goodwin, N.R. 2003. *Five kinds of capital: Useful concepts for sustainable development*. Global Development and Environment Institute, Working Paper N. 03-07, Medford, MA: Tufts University.

GSSB 2016. The GRI Standards Glossary, 2016. Issued by the Global Sustainability Standards Board. Available on line at URL: [www.globalreporting.org\(s\)tandards](http://www.globalreporting.org(s)tandards). Accessed 10 July 2017.

Haxeltine, A., Avelino, F., Pel, B., Dumitru, A., Kemp, R., Longhurst, N., Chilvers, J. and Wittmayer, J.M. 2016. A framework for Transformative Social Innovation (TRANSIT Working Paper # 5), TRANSIT: EU SSH.2013.3.2-1 Grant agreement no: 613169.

Hajer, M. 1993. Discourse Coalitions and the Institutionalisation of Practice: The Case of Acid Rain in Britain. In: Fischer, F. and Forester, J. (Eds.) *The argumentative Turn in Policy Analysis and Planning*. (pp. 43–76) Durham and London: Duke Univ. Press.

Hahn, T., Olsson, P., Folke, C. and Johansson, K. 2006. Trust-building, knowledge generation and organisational innovations: the role of a bridging organisation for adaptive comanagement of a wetland landscape around Kristianstad, Sweden. *Human ecology*, 34(4): 573–592.



- Hauck, J., Schmidt, J. and Werner, A. 2016. Using social network analysis to identify key stakeholders in agricultural biodiversity governance and related land-use decisions at regional and local level. *Ecology and Society*, 21(2): article n. 49 (Open Access).
- Healy, T., and Côté, S. 2001. *The Well-Being of Nations: The Role of Human and Social Capital. Education and Skills*. Paris, France: OECD Publishing.
- Holling, C. S. and Gunderson, L.H. 2002. Resilience and adaptive cycles. In: L.H. Gunderson and C. S. Holling (Eds). *Panarchy: understanding transformations in human and natural systems*. (pp. 25–62). Washington, D.C., USA: Island Press.
- Hodgson, G.M. 2007. Institutions and individuals: interaction and evolution. *Organisation studies*, 28(1), 95– 116.
- Howaldt, J., Kopp, R. and Schwarz, M. 2015. Social Innovations as Drivers of Social Change – Exploring Tarde's Contribution to Social Innovation Theory Building. In: A. Nicholls, J. Simon, A. Gabriel (Eds). *New frontiers in social innovation research*. London: Palgrave.
- Janssen, M.A. and Ostrom, E. 2006. Empirically based, agent-based models. *Ecology and Society*, 11(2), 37. [www.ecologyandsociety.org/vol11/iss2/art37/](http://www.ecologyandsociety.org/vol11/iss2/art37/). Accessed 23 July 2017.
- Keller 2006. Analysing Discourse. An Approach from the Sociology of Knowledge. *Historical Social Research/Historische Sozialforschung*. Vol. 31, No. 2 (116), pp. 223-242.
- Kjær, A.M. 2004. *Governance: key concepts*. Cambridge, UK: Cambridge University Press.
- Ménard, C. 1995. Markets as institutions versus organisations as markets? Disentangling some fundamental concepts. *Journal of Economic Behavior & Organisation*, 28(2): 161–182.
- Mulgan, G., Tucker, S., Ali, R. and Sanders, B. 2007. *Social innovation: what it is, why it matters and how it can be accelerated*. Skoll Centre for Social Entrepreneurship.
- North, D.C. 1990. *Institutions, institutional change and economic performance*. Cambridge, UK: Cambridge University Press.
- OECD 2006. *The New Rural Paradigm: Policies and Governance*. Paris: OECD Publishing.
- OECD 2014. *Innovation and Modernising the Rural Economy*, OECD Publishing. Available at: <http://dx.doi.org/10.1787/9789264205390-en>
- Pascual, U., Balvanera, P., Díaz, S., Pataki, G., Roth, E., Stenseke, M., Watson, R.T., Dessane, E.B., Islar, M., Kelemen, E., Maris, V., Quaas, M., Subramanian, S.M., Wittmer, H., Adlan, A., Ahn, S-E, Al-Hafedh, Y.S., Amankwah, E., Asah, S.T., Berry, P., Bilgin, A., Breslow, S.J., Bullock, C., Cáceres, D., Daly-Hassen, H., Figueroa, E., Golden, C.D., Gómez-Baggethun, E., González-Jiménez, D., Houdet, J., Keune, H., Kumar, R., Ma, K., May, P.H., Mead, A., O'Farrell, P., Pandit, R., Pengue, W., Pichis-Madruga, R., Popa, F., Preston, S., Pacheco-Balanza, D., Saarikoski, H., Strassburg, B.B., van den Belt, M., Verma, M., Wickson, F. and Yagi, N. 2017. Valuing nature's contributions to people: the IPBES approach. *Current Opinion in Environmental Sustainability*, 26: 7–16.
- Pisani, E., Franceschetti, G., Secco, L. and Christoforou, A. 2018. *Social Capital and Local Development. From Theory to Empirics*. London: Palgrave MacMillan. pp. 517.
- Polman, N. 2002. *Managing Wildlife and Landscape on Dutch Farms*, PhD Thesis, Wageningen, The Netherlands: Wageningen University.
- Price, M., Miller, D. McKeen, M., Slee, W. and Nijnik, M. 2017. Categorisation of Marginalised Rural Areas (MRAs), Deliverable 3.1, Social Innovation in Marginalised Rural Areas (SIMRA). pp. 57.
- Sabatier, P.A. 1988. An advocacy coalition framework of policy change and the role of policy-oriented learning therein. *Policy sciences*, 21(2), 129–168.



Secco, L., Pisani, E., Burlando, C., Da Re, R., Pettenella, D., Nijnik, M., Miller, D., Slee, B., Gezik, V. and Kluvánková, T. 2016. [Guidelines to Identify and Analyse Existing Methods to Assess Social Innovation and Impacts](#). Deliverable 4.1, Social Innovation in Marginalised Rural Areas (SIMRA). Report to the European Commission.

Secco, L., Pisani, E., Da Re, R., Rogelja, T., Burlando, C., Vicentini, K., Pettenella, D., Masiero, M., Miller, D. and Nijnik, M. 2019. Towards a method of evaluating social innovation in forest-dependent rural communities: First suggestions from a science-stakeholder collaboration, *Forest Policy and Economics*, 104: 9-22.

Sewell Jr, W.H. 1992. A theory of structure: Duality, agency, and transformation. *American Journal of Sociology*, 1–29.

Treib, O., Bähr, H. and Falkner, G. 2007. Modes of governance: towards a conceptual clarification. *Journal of European Public Policy*, 14(1):1–20.

Westley, F.R., Tjornbo, O., Schultz, L., Olsson, P., Folke, C., Crona, B. and Bodin, Ö. 2013. A theory of transformative agency in linked social-ecological systems. *Ecology and Society*, 18(3), 27. doi: 10.5751/ES05072-180327

### References for Section 3 of the Manual

Asheim, B. and Gertler, M.S. 2005. The geography of innovation: regional innovation systems. In: *The Oxford Handbook of Innovation*. J. Fagerberg, D. C. Mowery and R. Nelson (Eds.) Oxford and New York: Oxford University Press.

Baker, S. and Mehmood, A. 2015. Social innovation and the governance of sustainable places. *Local Environment*, 20(3):321–334. doi: 10.1080/13549839.2013.842964.

Blalock, H.M. 1979. *Social Statistics*. New York: McGraw-Hill.

Bryce, R., Valero, D. and Price, M. 2017. Creation of Interactive Database of Examples of Social Innovation, Deliverable 3.2, Social Innovation in Marginalised Rural Areas (SIMRA). pp.24.

Buttoud, G., Kouplevatskaya-Buttoud, I., Slee, R. and Weiss, G. 2011. *Barriers to institutional learning and innovations in the forest sector in Europe: Markets, policies and stakeholders*. *Forest Policy and Economics*, 13, 124–131. doi: 10.1016/j.forpol.2010.05.006.

Dehejia R.H. and Wahba S. 2002. Propensity score-matching methods for nonexperimental causal studies. *The Review of Economics and Statistics*, 84 (1): 151-161.

Easton, D. 1957. An approach to the analysis of political systems. *World Politics* 9: 383–400.

Edquist, C. 1997. *Systems of Innovation Approaches - Their Emergence and Characteristics*. *Systems of Innovation. Technologies, Institutions and Organisations*. C. Edquist. London, Pinter.

EU EuropeAid 2006. *Evaluation methods for the European Union's External Assistance. Methodological bases for evaluation*, Volume 1. Luxembourg: Office for Official Publications of the European Communities.

Gertler P.J., Martinez, S., Premand, P., Rawlings, L.B. and Vermeersch, C.M.J. 2016. *Impact Evaluation in Practice*, 2<sup>nd</sup> edition. The World Bank.

Gibson, C., Ostrom, E. and Ahn, T.-K. 2000. The concept of scale and the human dimensions of global change: a survey. *Ecological Economics* 32: 217–239.

GIZ 2013. *Guidelines on designing and using a results-based monitoring system (RBM system)*. Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH: Bonn.



- Gertler P.J, Martinez, S., Premand, P., Rawlings, L.B. and Vermeersch, C.M.J. 2016. *Impact Evaluation in Practice*, 2<sup>nd</sup> edition. The World Bank. [https://siteresources.worldbank.org/EXTHDOFFICE/Resources/5485726-1295455628620/Impact\\_Evaluation\\_in\\_Practice.pdf](https://siteresources.worldbank.org/EXTHDOFFICE/Resources/5485726-1295455628620/Impact_Evaluation_in_Practice.pdf). Accessed 23 July 2017.
- Krugman, P., Wells, R. and Graddy, K. 2013. *Essentials of Economics*. Macmillan Education, Palgrave, UK.
- Kubeczko, K., Rametsteiner, E. and Weiss, G. 2006. The Role of Sectoral and Regional Innovation Systems in Supporting Innovations in Forestry. *Forest Policy and Economics* 8/7: 704-715.
- Krott, M. 2005. *Forest Policy Analysis*. Springer: Dordrecht, The Netherlands.
- Ludvig, A., Weiss, G., Sarkki, S., Nijnik M. and Živojinović, I. 2018. Mapping European and forest related policies supporting social innovation for rural settings. *Forest Policy and Economics*, 97: 146–152.
- Lundvall, B.-Å. 1985. *Product innovation and user-producer interaction, industrial development*. Research Series 31, Aalborg: Aalborg University Press. Available at URL: <https://vbn.aau.dk/ws/files/7556474/user-producer.pdf>.
- Morra Imas, L.G. and Rist, R.C. 2009. *The Road to Results: Designing and Conducting Effective Development Evaluations*. Washington D.C.: The World Bank.
- OECD 1991. *Principles for Evaluation of Development Assistance*. Paris: Development Assistance Committee of the OECD.
- Oosterlynck, S., Kazepov, Y., Novy, A., Cools, P., Barberis, E., Wukovitsch, F., Sarius, T. and Leubolt B. 2013. *The butterfly and the elephant: local social innovation, the welfare state and new poverty dynamics*. ImPROvE Discussion Paper No. 13/03. Antwerp: Herman Deleeck Centre for Social Policy – University of Antwerp.
- Pisani, E., Franceschetti, G., Secco, L. and Christoforou, A. 2018. *Social Capital and Local Development. From Theory to Empirics*. London: Palgrave MacMillan. pp. 517.
- Polman, N., Slee, W., Kluvánková, T., Dijkshoorn, M., Nijnik, M., Gezik, V. and Soma, K. 2017. Classification of Social Innovations for Marginalized Rural Areas, Deliverable 2.1, Social Innovation in Marginalised Rural Areas (SIMRA). pp. 32.
- Price, M., Miller, D. McKeen, M., Slee, W. and Nijnik, M. 2017. Categorisation of Marginalised Rural Areas (MRAs), Deliverable 3.1, Social Innovation in Marginalised Rural Areas (SIMRA). pp. 57.
- Rametsteiner, E., Weiss, G. and Kubeczko, K. 2005. Innovation and entrepreneurship in forestry in central Europe. EFI Research Report 19, European Forest Institute, Joensuu, Finland.
- Rosenbaum, P.R. and Rubin, D.B. 1983. The central role of the propensity score in observational studies for causal effects. *Biometrika*, 70(1), 41–55.
- Secco, L., Da Re, R., Pettenella, D. and Gatto, P. 2014. Why and how to measure forest governance at local level: a set of indicators. *Forest Policy and Economics*, 49: 57–71.
- Secco, L., Pisani, E., Burlando, C., Da Re, R., Gatto, P., Pettenella, D., Vassilopoulos, A., Akinsete, E., Koundouri, P., Lopolito, A., Prosperi, M., Tuomasiukka, D., Den Herde, M., Lovric, M., Polman, N., Dijkshoorn, M., Soma, K., Ludvig, A., Weiss, G., Zivojinovic, I., Sarkki, S., Ravazzoli, E., Dalla Torre, C., Streifeneder, T., Slee, B., Nijnik, M., Miller, D., Barlagne C. and Prokofieva I. 2017. [Set of methods to assess SI implications at different levels: instructions for WPs 5 and 6](#). Deliverable D4.2, Social Innovation in Marginalized Rural Areas Project (SIMRA), Demonstrator to the European Commission, pp.203.



Veldkamp, T., Polman, N., Reinhard, S. and Slingerland, M. 2011. From scaling to governance of the land system: bridging ecological and economic perspectives. *Ecology and Society*, 16(1). [www.ecologyandsociety.org/vol16/iss1/art1/](http://www.ecologyandsociety.org/vol16/iss1/art1/). Accessed 27 July 2017.

Wahba, M.A. and Bridwell, L.G. 1976. Maslow reconsidered: A review of research on the need hierarchy theory. *Organisational Behavior and Human Performance*, 15(2), 212–240. doi: 10.1016/0030-5073(76)90038-6.

Weiss, G., Pettenella, D., Ollonqvist, P. and Slee, W. (Eds.), 2011. *Innovation in Forestry: Territorial and Value Chain Relationships*. CABI. 320 pp.

**References for Section 4 of the Manual**

Corbetta, P. 2014. Metodologia e tecniche della ricerca sociale. Bologna: Il Mulino.

EC 2018a. COM(2018) 392 – Regulation of the European Parliament and of the Council establishing rules on support for strategic plans to be drawn up by Member States under the Common agricultural policy (CAP Strategic Plans) and financed by the European Agricultural Guarantee Fund (EAGF) and by the European Agricultural Fund for Rural Development (EAFRD) and repealing Regulation (EU) No 1305/2013 of the European Parliament and of the Council and Regulation (EU) No 1307/2013 of the European Parliament and of the Council ) (hereinafter: CAP Strategic Plan Regulation). [https://eur-lex.europa.eu/resource.html?uri=cellar:aa85fa9a-65a0-11e8-ab9c-01aa75ed71a1.0003.02/DOC\\_1&format=PDF](https://eur-lex.europa.eu/resource.html?uri=cellar:aa85fa9a-65a0-11e8-ab9c-01aa75ed71a1.0003.02/DOC_1&format=PDF)

EC 2018b. COM(2018) 393 – Regulation of the European Parliament and of the Council on the financing, management and monitoring of the common agricultural policy and repealing Regulation (EU) No 1306/2013 (hereinafter: CAP Horizontal Regulation). [https://eur-lex.europa.eu/resource.html?uri=cellar:6cb59a1e-6580-11e8-ab9c-01aa75ed71a1.0003.03/DOC\\_1&format=PDF](https://eur-lex.europa.eu/resource.html?uri=cellar:6cb59a1e-6580-11e8-ab9c-01aa75ed71a1.0003.03/DOC_1&format=PDF)

EC 2018c. COM(2018) 394 final - Regulation of the European Parliament and of the Council amending Regulations (EU) No 1308/2013 establishing a common organisation of the markets in agricultural products, (EU) No 1151/2012 on quality schemes for agricultural products and foodstuffs, (EU) No 251/2014 on the definition, description, presentation, labelling and the protection of geographical indications of aromatised wine products, (EU) No 228/2013 laying down specific measures for agriculture in the outermost regions of the Union and (EU) No 229/2013 laying down specific measures for agriculture in favour of the smaller Aegean islands. (hereinafter: Amending Regulation). [https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52018PC0394R\(01\)&from=EN](https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52018PC0394R(01)&from=EN)

EC 2018d. Commission Staff Working Document Impact Assessment accompanying the document Proposals for the three proposed regulations on the Common agricultural policy. Part 1/3: [https://eur-lex.europa.eu/resource.html?uri=cellar:c1206abb-65a0-11e8-ab9c-01aa75ed71a1.0001.02/DOC\\_1&format=PDF](https://eur-lex.europa.eu/resource.html?uri=cellar:c1206abb-65a0-11e8-ab9c-01aa75ed71a1.0001.02/DOC_1&format=PDF) ; Part 2/3 [https://eur-lex.europa.eu/resource.html?uri=cellar:c1206abb-65a0-11e8-ab9c-01aa75ed71a1.0001.02/DOC\\_2&format=PDF](https://eur-lex.europa.eu/resource.html?uri=cellar:c1206abb-65a0-11e8-ab9c-01aa75ed71a1.0001.02/DOC_2&format=PDF) ; Part 3/3 [https://eur-lex.europa.eu/resource.html?uri=cellar:c1206abb-65a0-11e8-ab9c-01aa75ed71a1.0001.02/DOC\\_2&format=PDF](https://eur-lex.europa.eu/resource.html?uri=cellar:c1206abb-65a0-11e8-ab9c-01aa75ed71a1.0001.02/DOC_2&format=PDF)

EC 2018e. Annex I “Impact, Result and Output indicators pursuant to Article 7” of the Proposal for a Regulation of the European Parliament and of the Council on the CAP Strategic Plan, [https://eur-lex.europa.eu/resource.html?uri=cellar:aa85fa9a-65a0-11e8-ab9c-01aa75ed71a1.0003.02/DOC\\_2&format=PDF](https://eur-lex.europa.eu/resource.html?uri=cellar:aa85fa9a-65a0-11e8-ab9c-01aa75ed71a1.0003.02/DOC_2&format=PDF)

Morras Imas, L.G. and Rist, R.C. 2009. The Road to Results: Designing and Conducting Effective Development Evaluation. Washington, DC: The World Bank.



OECD 2008. Handbook on Constructing Composite Indicators. Methodology and User Guide. Paris, OECD Publications.

Pisani, E., Franceschetti, G., Secco, L. and Christoforou, A. 2017. Social Capital and Local Development: from theory to empirics. Palgrave MacMillan Springer Nature.

### References for Section 5 of the Manual

Borgatti, S.P., Everett, M.G. and Freeman, L.C. 2002. Ucinet for Windows: Software for Social Network Analysis. Harvard, MA: Analytic Technologies.

Csárdi, G. and Nepusz, T. 2006. *The igraph software package for complex network research*, InterJournal, Complex Systems 1695. <http://igraph.org>

Dahl, R.A. 1957. The concept of power. *Behavioral science*, 2(3), 201-215.

Haugaard, M. 2010. Power: a 'family resemblance' concept. *European journal of cultural studies*, 13(4), 419-438.

Pisani, E., Franceschetti, G., Secco, L. and Christoforou, A. 2018. *Social Capital and Local Development. From Theory to Empirics*. London: Palgrave MacMillan. pp. 517.

Pisani, E. and Laidin, C. 2016. Evaluating project networks in the EU-funded LEADER - Community-led Local Development (CLLD) across Europe: A proposal for Social Network Analysis. Paper presented at the 28th Annual EAEPE Conference, Industrialisation, socio-economic transformation and Institutions. Manchester, United Kingdom: Manchester Metropolitan University, 3-5 November 2016.

Ripley, R.M., Snijders, T.A.B., Boda, Z., Vörös, A. and Preciado, P. 2016. *Manual for SIENA version 4.0* (version February 25). Department of Statistics, Nuffield College, University of Oxford, Oxford.

Secco, L., Da Re, R., Pettenella, D. and Gatto, P. 2014. Why and how to measure forest governance at local level: a set of indicators. *Forest Policy and Economics*, 49: 57-71.

### References for Section 6 of the Manual

Dahl, R.A., 1957. The concept of power. *Behavioral science*, 2(3), 201-215.

Dodge, Y. 2003. The Oxford Dictionary of Statistical Terms. Oxford: OUP.

EU EuropeAid 2006. *Evaluation methods for the European Union's External Assistance. Methodological bases for evaluation*, Volume 1. Luxemburg: Office for Official Publications of the European Communities. (p. 86).

Haugaard, M. 2010. Power: a 'family resemblance' concept. *European journal of cultural studies*, 13(4), 419-438.

Marini Govigli, V., Melnykovich, M., Górriz-Mifsud, E., Dalla Torre, C., Ravazzoli, E., Da Re, R., Pisani, E., Secco, L., Vicentini, K., Ludvig, A., Weiss, G., Zivojinovic, I., Kluvánková, T., Spacek, M., Akinsete, E., Barlagne, C., Baselice, A., Bengoumi, M., Dijkshoorn-Dekker, M., Egartner, S., Gibson, H., Gramm, V., Herrmann, P., Hewitt, R., Kozova, M., Labidi, A., Lolini, M., Lopolito, A., Miller, D., Niedermayr, J., Nijnik, M., Perlik, M., Polman, N., Prokofieva, I., Prospero, M., Rodríguez Fernández-Blanco, C., Sarkki, S., Vassilopoulos, A. and Wagner, K. 2019. [Report on Social Innovation Assessment in Each Selected Case Study](#). Deliverable 5.3, Social Innovation in Marginalized Rural Areas Project (SIMRA), Demonstrator to the European Commission.

Mayring, P., 2000. Qualitative Inhaltsanalyse. Grundlagen und Techniken. 7th completely revised edition, first edition 1983. Deutscher Studien Verlag, Weinheim.



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



Price, M., Miller, D. McKeen, M., Slee, W. and Nijnik, M. 2017. Categorisation of Marginalised Rural Areas (MRAs), Deliverable 3.1, Social Innovation in Marginalised Rural Areas (SIMRA). pp. 57.

Secco, L., Da Re, R., Pisani, E., Ludvig, A., Weiss, G., Górriz-Mifsud, E. and Marini Govigli, V. 2018a. Compilation of Tools for Data Collection for SIMRA Pioneer and Regular Case Studies. Report 5.1 - Social Innovation in Marginalised Rural Areas (SIMRA).

Secco, L., Pisani, E., Da Re, R., Rogelja, T., Burlando, C., Vicentini, K., Pettenella, D., Masiero, M., Miller, D. and Nijnjk, M. 2019. Towards a method of evaluating social innovation in forest-dependent rural communities: First suggestions from a science-stakeholder collaboration, *Forest Policy and Economics*, 104: 9-22.



## Technical Annex to the Manual (provided as a separate file)

The Technical Annex comprises:

**Tools for data collection** (questionnaires and list of questions for semi-structured interviews + reporting)

**Tools for data entry, processing and analysis** (Empty MS Excel file with formulas to calculate indicators provided in each cell)

**Technical details on each indicator** (fiches of indicators - information sheet)



**SIMRA**

**TECHNICAL ANNEX**

**TO THE MANUAL ON INNOVATIVE  
METHODS TO ASSESS SOCIAL  
INNOVATION AND ITS IMPACTS**

**FOR THE EVALUATION OF SOCIAL INNOVATION  
AND ITS IMPACTS**

**IN MARGINALISED RURAL AREAS**



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



**This page is left intentionally blank**



# GENERAL INDEX

GENERAL INTRODUCTION.....	IX
DATA COLLECTION.....	X
<i>Introduction to data collection.....</i>	<i>X</i>
<i>Tools 1 to 6 for Quantitative Data Collection.....</i>	<i>1</i>
<b>TOOL 1 – PREPARING THE EVALUATION .....</b>	<b>1</b>
<i>Introduction.....</i>	<i>1</i>
Activities to be performed in Part 1 .....	2
Activities to be performed in Part 2 .....	2
<b>TOOL 1 – PART 1: THE DESK PHASE .....</b>	<b>3</b>
A. <i>To describe the Social Innovation initiative .....</i>	<i>3</i>
B. <i>To identify existing studies.....</i>	<i>4</i>
C. <i>To identify the geographic, administrative, jurisdictional boundaries and rural characteristics .....</i>	<i>4</i>
D. <i>To screen the secondary data at the local level.....</i>	<i>6</i>
E. <i>To represent the SIMRA Results-Chain for Social Innovation.....</i>	<i>7</i>
F. <i>To specify the scope of the evaluation and thus to select the evaluation questions .....</i>	<i>1</i>
G. <i>To identify the stakeholders and beneficiaries .....</i>	<i>5</i>
H. <i>To identify policy documents .....</i>	<i>10</i>
<b>TOOL 1 – PART 2: INTERVIEW WITH THE PROJECT MANAGER .....</b>	<b>11</b>
I. <i>To collect data on beneficiaries, project costs and source of funding .....</i>	<i>11</i>
J. <i>Quantitative questions to be posed to the Project Manager.....</i>	<i>15</i>
<b>TOOL 2 – FUTURE SEARCH CONFERENCE AND FOCUS GROUP WITH THE ACTORS OF THE SOCIAL INNOVATION INITIATIVE .....</b>	<b>18</b>
<i>First part – Future Search Conference.....</i>	<i>19</i>
<i>Second part – Focus Group .....</i>	<i>35</i>
<b>TOOL 3 - QUESTIONNAIRE FOR THE CORE GROUP (INNOVATORS AND FOLLOWERS).....</b>	<b>54</b>
<b>TOOL 4 - QUESTIONNAIRE TO THE NETWORK: TRANSFORMERS .....</b>	<b>65</b>
<b>TOOL 5 - QUESTIONNAIRE TO PROJECT PARTNERS .....</b>	<b>73</b>
<b>TOOL 6 – QUESTIONNAIRE TO BENEFICIARIES.....</b>	<b>77</b>
<b>TOOLS 7 TO 8 FOR QUALITATIVE DATA COLLECTION .....</b>	<b>80</b>
<b>TOOL 7 – INTERVIEW GUIDELINE FOR INNOVATOR(S) AND PEOPLE INVOLVED IN THE INNOVATION PROCESS .....</b>	<b>80</b>
<b>TOOL 8 – INTERVIEW GUIDELINE FOR POLICY EXPERTS AND OTHER EXTERNAL EXPERTS .....</b>	<b>87</b>
DATA ENTRY .....	91
<i>Introduction to the Data Entry.....</i>	<i>91</i>
<b>TOOL 9 - DATA ENTRY TOOL FOR DATA FROM TOOLS 1 TO TOOL 6 AND INDICATORS .....</b>	<b>92</b>
<b>TOOL 10 - SEMI-STRUCTURED INTERVIEW REPORTING AND ANALYSIS .....</b>	<b>97</b>
<b>TOOL 11 - POLICY DOCUMENT CONTENT ANALYSIS .....</b>	<b>102</b>
<i>Part 1. List of Direct and Indirect Policy Documents Relevant to the Social Innovation Initiative .....</i>	<i>103</i>
<i>Part 2. Analysis of Direct Policy Documents Relevant to or the Social Innovation Initiative .....</i>	<i>103</i>
<b>FICHES OF INDICATORS OF THE SOCIAL INNOVATION.....</b>	<b>107</b>
<i>Introduction to the Fiches .....</i>	<i>107</i>
<i>General structure of the SIMRA evaluation .....</i>	<i>108</i>
<i>Do you want to make a rapid evaluation of Social Innovation?.....</i>	<i>109</i>
<i>Do you want to make a detailed evaluation of Social Innovation? .....</i>	<i>110</i>
<i>Do you want to make a conventional evaluation of Social Innovation?.....</i>	<i>111</i>



<i>SIMRA Rapid Evaluation: from indicators to the SIMRA1 general index</i> .....	112
<i>How to Read an Indicator Fiche</i> .....	115
Index X1 “Reconfiguring of social practices” (SIR1, SIR2, SIR3, SIR4, SIR5) .....	115
Indicator SIR1. “Individual perceptions of actors of the improvement in social practices due to the Social Innovation process” .....	115
Indicator SIR2. “Collective perceptions of actors of the improvement in social practices due to the Social Innovation process” .....	116
Indicator SIR3. “Perception of actors of the extent of the process of reconfiguration” .....	117
Indicator SIR4. “Perceived level of innovation in the Social Innovation process” .....	117
Indicator SIR5. “Level of improvement resulted from the Social Innovation process” .....	118
Index X2 “Response to societal challenges” (SIS1, SIS2).....	119
Indicator SIS1. “Capability of the Social Innovation idea to deal with multiple European societal challenges” .....	119
Indicator SIS2. “Perception of actors of the European societal challenges being improved in the territory due to the Social Innovation initiative” .....	120
Index X3 “Outcomes on social well-being” (SIO1, SIO2).....	121
Indicator SIO1. “Perception of beneficiaries of changes in social cohesion inside and outside the territory” .....	121
Indicator SIO2. “Contribution of the Social Innovation initiative to the improvement in aspects of governance in the territory” .....	121
Index X4 “Engagement of civil society” (SIE1, SIE2, SIE3, SIE4) .....	122
Indicator SIE1. “Contribution of the local community to the results of the Social Innovation initiative” .....	122
Indicator SIE2. “Motivation of actors for engaging in the Social Innovation initiative” .....	123
Indicator SIE3. “Participation of actors in network meetings” .....	123
Indicator SIE4. “Civic society engagement in the Social Innovation network” .....	124
Index X5 “Perceived innovativeness” (SII1, SII2) .....	125
Indicator SII1. “Internal validation of the innovativeness of the Social Innovation initiative” .....	125
Indicator SII2. “External validation of the innovativeness of the Social Innovation initiative as perceived by the actors” .....	125
<i>SIMRA Detailed Evaluation: from indicators to the SIMRA2 general index</i> .....	127
Composite indicator X6.1 “Trigger and social needs” (Aa1, Aa2, Aa3).....	135
Indicator Aa1. “Trigger width” .....	135
Indicator Aa2. “Needs tackled by the Social Innovation idea” .....	136
Indicator Aa3. “Role of governance shifts in determining the emergence of the Social Innovation idea” .....	136
Indicator Aa4. “Consistency of the Social Innovation initiative with European societal challenges” .....	137
Composite indicator X6.2 “Perceived Opportunities and Threats (POT)” (Ba1, Ba2, Ba3).....	138
Indicator Ba1. “Balance between opportunities and threats” .....	138
Indicator Ba2. “Role of supportive policies for sustaining the results of the Social Innovation initiative” .....	139
Indicator Ba3. “Consistency of Social Innovation initiative with issues of governance” .....	140
Composite indicator X7.1 “Social Innovation Idea” (Ca1, Ca2).....	141
Indicator Ca1. “Attractiveness of the Social Innovation idea” .....	141
Indicator Ca2. “Innovativeness of the Social Innovation idea in the territory” .....	142
Composite indicator X7.2 “Leadership” (Cb1, Cb2).....	142
Indicator Cb1. “Attractiveness of the leadership” .....	142
Indicator Cb2. “Innovators and Followers' contribution to the results of the Social Innovation initiative” .....	143
Composite indicator X7.3 “Resilience” (Cc1, Cc2) .....	144
Indicator Cc1. “Perceptions of Transformers of the resilience of Innovators and Followers” .....	144
Indicator Cc2. “Resilience of actors in the Social Innovation process” (*) .....	144
Composite indicator X7.4 “Capabilities” (Cd1, Cd2, Cd3).....	145
Indicator Cd1. “Innovators and Followers capabilities to develop the Social Innovation initiative” (*).....	145
Indicator Cd2. “Previous experience of actors who contributed to the Social Innovation process” .....	146
Indicator Cd3. “Technical capabilities of actors to develop the Social Innovation idea” (*) .....	147
Composite indicator X7.5 “Endogenous versus exogenous drivers of the Social Innovation process” (Da1, Da2, Da3).....	147
Indicator Da1. “Role of newcomers in the Social Innovation process” .....	147
Indicator Da2. “Perception of Social Innovation actors of the contribution of external helpers to the results of the Social Innovation initiative” .....	148
Indicator Da3. “Bridging capability of Social Innovation process actors with external actors” .....	149
Composite indicator X7.6 “Preparatory actions, motivations, and expertise” (Db1; Db2, Db3) .....	150
Indicator Db1. “Preparatory actions developed by Innovators and Followers” .....	150



Indicator Db2. “Social motivation of the actors of the Social Innovation network” .....	150
Indicator Db3. “Expertise motivating the engagement of Social Innovation actors” .....	151
Composite indicator X8.1 “New networks” (Ea1, Ea2, Ea3, Ea4, Ea5, Ea6, Ea7, Ea8, Ea9, Ea10, Ea11, Ea12, Ea13)152	
Indicator Ea1. “Attendance level at meetings in the Social Innovation process” .....	152
Indicator Ea2. Balance between public and private sector of the members of the Social Innovation network” .....	153
Indicator Ea3. “Contribution of the members of the Social Innovation network to the results of the Social Innovation initiative” .....	153
Indicator Ea4. “Reputational power in the core group of the Social Innovation network” (*).....	154
Indicator Ea5. “Female inclusion in the Social Innovation network” .....	155
Indicator Ea6. “Young people’s participation in the Social Innovation network” .....	156
Indicator Ea7. “Education level within the Social Innovation network” .....	156
Indicator Ea8. “Balance across economic sectors of the members of the Social Innovation process” .....	157
Indicator Ea9. “Balance across different geographic levels of the members of the Social Innovation process” .....	158
Indicator Ea10. “New relationships within the Social Innovation network” .....	159
Indicator Ea11. “Balance across different social, institutional and economic categories of the members of the Social Innovation process” .....	159
Indicator Ea12. “Level of internal trust in the Social Innovation network” .....	160
Indicator Ea13. “Level of representativeness of the actors involved in the Social Innovation network in relation to the categories of the organisations” .....	161
Composite indicator X8.2 “New attitudes” (Eb1, Eb2) .....	162
Indicator Eb1. “Level of pro-action of Transformers during the Social Innovation process” .....	162
Indicator Eb2. “Perception of the actors of their level of empowerment during the Social Innovation process” ....	162
Composite indicator X8.3 “New governance arrangements” (Ec1, Ec2, Ec3, Ec4) .....	163
Indicator Ec1. “Level of involvement in decision-making of the actors in the Social Innovation process” .....	163
Indicator Ec2. “Level to which formal and informal norms have been agreed all together” .....	164
Indicator Ec3. “Level of awareness of the adoption of formal sanctioning mechanisms” .....	164
Indicator Ec4. “Level of trust in public institutions of the actors of the Social Innovation process” .....	165
Composite indicator X9.1 “Planning and Management” (Fa1, Fa2, Fa3, Fa4, Fa5, Fa6, Fa7) .....	166
Indicator Fa1. “Level of planning in the Social Innovation project” .....	166
Indicator Fa2. “Level of management of human resources” .....	166
Indicator Fa3. “Level of management of financial resources” .....	167
Indicator Fa4. “Level of management of materials and infrastructural resources” .....	168
Indicator Fa5. “Level of management of communication and marketing” .....	168
Indicator Fa6. “Level of management of the administration” .....	169
Indicator Fa7. “Level of management of monitoring and evaluation” .....	170
Composite indicator X9.2 “Support by project partners and external agencies” (Fb1, Fb2, Fb3, Fb4, Fb5) .....	171
Indicator Fb1. “Contribution of project partners to the results of the Social Innovation initiative” .....	171
Indicator Fb2. “Contribution of external financiers to the Social Innovation project” .....	171
Indicator Fb3. “Capabilities of the Project Manager of planning the activities of the Social Innovation project” ....	172
Indicator Fb4. “Capabilities of the Project Manager to develop the procedures of the Social Innovation project” .	173
Indicator Fb5. “Capabilities of the Project Manager to apply the practices of the Social Innovation project” .....	174
Composite indicator X9.3 “Beneficiaries” (Ga1, Ga2, Ga3, Ga4) .....	174
Indicator Ga1. “New relationships amongst direct beneficiaries” .....	174
Indicator Ga2. “New relationships between the direct beneficiaries and institutions” .....	175
Indicator Ga3. “Inclusion of females in the beneficiary group” .....	176
Indicator Ga4. “Inclusion of young people in the beneficiary group” .....	176
Composite indicator X10.1 “Feedback loops and multiplier effects” (Ha1, Ha2, Ha3, Ha4).....	177
Indicator Ha1. “Likelihood of feedback loops due to dissemination activities” .....	177
Indicator Ha2. “Likelihood of upscaling of the Social Innovation initiative” .....	178
Indicator Ha3. “Likelihood of out-scaling of the Social Innovation initiative” .....	178
Indicator Ha4. “Capability of actors in the Social Innovation initiative to identify elements enabling its replication” .....	179
Composite indicator X10.2 “Critical Innovation Effects” (Hb1, Hb2, Hb3) .....	180
Indicator Hb1. “Deadweight effects of the Social Innovation initiative in the territory” .....	180
Indicator Hb2. “Substitution effects of the Social Innovation initiative on other actors” .....	181
Indicator Hb3. “Displacement effects of the Social Innovation initiative outside the territory” .....	182
<b>Outcomes and Impacts .....</b>	<b>183</b>
<b>SIMRA Conventional Evaluation: from indicators to the SIMRA3 general index .....</b>	<b>184</b>



Composite indicator X11.1 “Relevance of the Social Innovation process” (R1, R2) .....	191
Indicator R1. “Needs individually and collectively shared by actors of the Social Innovation process” .....	191
Indicator R2. “Vision of needs collectively shared by actors of the Social Innovation process” .....	192
Composite indicator X11.2 “Relevance of the Social Innovation project” (R3, R4) .....	193
Indicator R3. “Level of satisfaction of beneficiaries that the outputs of the Social Innovation project meet their needs, on a quantitative scale” .....	193
Indicator R4. “Level of satisfaction of beneficiaries that the outputs of the Social Innovation project meet their needs, on a qualitative scale” .....	193
Composite indicator X11.3 “Relevance of the Social Innovation initiative” (R5, R6, R7) .....	194
Indicator R5. “Level of satisfaction of the actors with territorial needs with the Social Innovation initiative” .....	194
Indicator R6. “Needs shared by the actors and beneficiaries of the Social Innovation initiative, on a qualitative scale” .....	195
Indicator R7. “Marginalisation problems dealt with by the Social Innovation initiative” .....	195
Composite indicator X12.1 “Efficiency of the Social Innovation process” (E1, E2, E3) .....	196
Indicator E1. “Expectations of the actors of the use of time in the Social Innovation process” .....	196
Indicator E2. “Perceived efficiency of the use of resources invested in the Social Innovation process” .....	197
Indicator E3. “Efficiency of the collaborations in the network of the Social Innovation process” (*) .....	198
Composite indicator X12.2 “Efficiency of the Social Innovation project” (E4, E5, E6, E7) .....	199
Indicator E4. “Change in the unit cost per direct beneficiary of the Social Innovation project” .....	199
Indicator E5. “Project Manager self-evaluation of the schedule of the Social Innovation project” .....	200
Indicator E6. “Project Manager self-evaluation of the Social Innovation project meeting its budgetary goals” .....	200
Indicator E7. “Project Manager self-evaluation of the Social Innovation project activities planned and completed” .....	201
Composite indicator X12.3 “Efficiency of the Social Innovation initiative” (E8) .....	202
Indicator E8. “Perceived efficiency of the use of resources invested in the Social Innovation initiative” .....	202
Composite indicator X13.1 “Effectiveness of the Social Innovation process” (F1, F2, F3, F4) .....	204
Indicator F1. “Comparison between expected and observed changes in the Social Innovation process, on a qualitative scale” .....	204
Indicator F2. “Extent of the changes created by the Social Innovation process as perceived by the actors” .....	205
Indicator F3. “Change in the collaborative relationships between the actors of the Social Innovation process” (*) .....	206
Indicator F4. “Change in internal and external governance arrangements of the Social Innovation initiative as perceived by the actors of the Social Innovation process” .....	206
Composite indicator X13.2 “Effectiveness of the Social Innovation project” (F5, F6, F7, F8) .....	207
Indicator F5. “Level of satisfaction of beneficiaries with the results of the Social Innovation project” .....	207
Indicator F6. “Comparison between proposed and delivered outputs of the Social Innovation project, on a qualitative scale” .....	208
Indicator F7. “New direct beneficiaries reached by the Social Innovation project” .....	209
Indicator F8. “Project Manager self-evaluation of the Social Innovation project achieving the specific objectives” .....	209
Composite indicator X13.3 “Effectiveness of the Social Innovation initiative” (F9, F10, F11) .....	210
Indicator F9. “Perception of actors of the Social Innovation process of being able to make a difference in the territory with the Social Innovation initiative” .....	210
Indicator F10. “Level of satisfaction of all the actors of the Social Innovation initiative with its results” .....	211
Indicator F11. “Change in the collaborative relationships between the actors of the Social Innovation initiative” (*) .....	212
Composite indicator X14.1 “Impact of the Social Innovation project” (I1, I2) .....	213
Indicator I1. “Improvement in social inclusion as perceived by the direct beneficiaries of the Social Innovation project due to the initiative” .....	213
Indicator I2. “Proportion of indirect beneficiaries of the total number of beneficiaries (direct and indirect), as estimated by the direct beneficiaries of the Social Innovation project” .....	213
Composite indicator X14.2 “Impact of the Social Innovation initiative” (I3, I4, I5, I6, I7, I8, I9, I10, I11) .....	214
Indicator I3. “Proportion of marginalisation problems improved by the Social Innovation initiative, as perceived by stakeholders” .....	214
Indicator I4. “Proportion of the number of impacts of the Social Innovation initiative in the four domains which were positive, according to the stakeholders” .....	215
Indicator I5. “Balance of positive to negative significant impacts of the Social Innovation initiative in the four domains, according to perception of stakeholders” .....	216
Indicator I6. “Level of effects of the Social Innovation initiative in the four domains according to the actors” .....	217



Indicator I7. “Level of effects of the Social Innovation initiative inside the territory in the four domains according to the actors” .....	218
Indicator I8. “Level of effects of the Social Innovation initiative outside the territory in the four domains according to the actors” .....	219
Indicator I9. “Proportion of positive effects of the Social Innovation initiative in the four domains according to the perception of beneficiaries, on a qualitative scale” .....	220
Indicator I10. “Perceptions of actors of the level of improvement in governance aspects due to the Social Innovation initiative” .....	221
Indicator I11. “Perceptions of actors of the level of improvement in European societal challenges due to the Social Innovation initiative” .....	222
Composite indicator X15.1 “Sustainability of the Social Innovation project” (S1, S2).....	224
Indicator S1. “Internal financing of the Social Innovation project” .....	224
Indicator S2. “Social Innovation project's financial sustainability over time” .....	224
Composite indicator X15.2 “Sustainability of the Social Innovation initiative” (S3, S4, S5) .....	225
Indicator S3. “Sustainability of collaborations amongst the actors of the Social Innovation process” (*) .....	225
Indicator S4. “Likelihood of the Social Innovation initiative to continue into the future” .....	226
Indicator S5. “Likelihood of the Social Innovation initiative of being sustainable over the long term” .....	227



## General Introduction

The SIMRA Technical Annex to evaluate Social Innovation and its impacts is one of the research products of the Social Innovation in Marginalised Rural Areas (SIMRA) project funded by the European Union's Horizon 2020 project (<http://www.simra-h2020.eu>).

The SIMRA Technical Annex is intended to guide the evaluator of a Social Innovation initiative in the evaluation activity.

The first part of the Technical Annex presents the tools for the quantitative and qualitative data collection, which are: (i) Tool 1 – Preparing the evaluation; (ii) Tool 2 – Future Search Conference and Focus Group with actors in the Social Innovation initiative; (iii) Tool 3 – Questionnaire for the core group (Innovators and followers); (iv) Tool 4 – Questionnaire for the Social Innovation network (Transformers); (v) Tool 5 – Questionnaire for Project partners; (vi) Tool 6 – Questionnaire to beneficiaries; (vii) Tool 7 – Interview guideline for innovators and people involved in the innovation process; (viii) Tool 8 – Interview guideline for policy experts and other external experts.

The second part of the Technical Annex presents the tools for data entry of Tool 9 for the quantitative data entry, Tool 10 for the qualitative data entry, and Tool 11 for policy analysis.

The third part of the Technical Annex presents the fiches of the indicators. The evaluator can choose from four evaluation options, which are:

- i. SIMRA rapid evaluation related to the keywords of the SIMRA definition of Social Innovation;
- ii. SIMRA detailed evaluation based on the five parts of the SIMRA evaluation framework (i.e. Reflection, Reaction, Reconfiguring, Realisation, Replication);
- iii. SIMRA conventional evaluation based on the five evaluation criteria applied to both the Social Innovation process, project and initiative (i.e. Relevance, Efficiency, Effectiveness, Impact and Sustainability);
- iv. Ad hoc combination of options i to iii based upon the specific evaluation needs.

In the third part of the Technical Annex, additional information is provided on how the composite indicators and indexes have been constructed.



## Data Collection

### Introduction to data collection

The Technical Annex provides a set of quantitative and qualitative operational tools for data collection.

Instructions and reminders on how to conduct the work are provided at the beginning of each tool. Some rules apply to data collection for all the tools, whilst others are specific for a particular tool. The data collection tools are developed to cover all actors and phases of the Social Innovation initiative in order to gather complete information on the specific case study.

The instruments developed for data collection include six quantitative and two qualitative tools.

Tool 1 is the deskwork for collecting generic and background information regarding the Social Innovation initiative which is mandatory to be undertaken by the evaluator, with the help of the Project Manager where required, before completing the evaluation in the field.

Tool 2 comprises group interviews with the stakeholders of the Social Innovation initiative, based on two different participatory techniques, and involves key informants of the Social Innovation. The aim is to understand the context, history, actors, changes and impacts of the Social Innovation initiative.

Tool 3 is a structured interview of one Innovator and one Follower of the Social Innovation initiative, covering its entire life from emergence to the learning processes.

Tool 4 is a structured interview that targets the members of the Social Innovation network (Transformer(s) and the Innovator(s) and Follower(s) not interviewed in Tool 3). It focuses on the process phase of the Social Innovation initiative.

Tool 5 is a structured interview targeting the project partners, selected through a judgemental sampling, which focuses on the project phase of the Social Innovation initiative and its effects on the surroundings.

Tool 6 is a structured interview addressed to a representative sample of the beneficiaries, concentrating on the outputs and effects of the project phase of the Social Innovation initiative.

Tool 7 is a semi-structured interview of the key actors involved in the different phases of the Social Innovation initiative. The tool provides guiding questions to help a “storytelling” of the Social Innovation initiative.

Tool 8 is a semi-structured interview, similar to Tool 7, with policy experts and other relevant external actors or entities. It aims to understand the role played by the interviewee with respect to the Social Innovation initiative.



## Tools 1 to 6 for Quantitative Data Collection

### Tool 1 – Preparing the Evaluation

#### Introduction

The **preparatory phase** of the evaluation focuses on the analysis of the **logic of intervention or results-chain of the Social Innovation initiative** to define the **evaluation questions**.

The preparatory phase is performed using Tool 1, which is divided into two parts.

- In the first part, the so-called **desk phase**, the evaluator analyses official documents, reports and other background information relating to the Social Innovation initiative.
- In the second part, the evaluator collects the **objective quantitative data** on the Social Innovation project through a face-to-face interview with the **Project Manager** of the initiative.

The information collected during the desk phase (Tool 1, Part 1) will be progressively improved, completed, and updated by means of:

- The **interview** with the Project Manager (Tool 1, Part 2)
- The **focus group with stakeholders** (Tool 2)
- The **structured interviews** with innovators and followers, transformers, project partners, and beneficiaries (Tools 3 to 6)
- The **semi-structured interviews** (Tools 7 and 8) with other relevant stakeholders.

Part of the information collected through this tool is reported using Tools 9 and 11.

In Tool 9, the evaluator is requested to insert the information collected using the coded questions and variables in this tool. These are in sections G, I and J. In Tool 11, the evaluator reports the information collected through section H.

#### **Please remember the following:**

The evaluator is not required to use all the tools provided.

The evaluation questions to be answered determine the tools to be used during the data collection.

#### **Field phase of the evaluation.**

For additional specifications, refer to **Section 4** of the Manual which provides guidance on how to



## Activities to be performed in Part 1

The deskwork for collecting background information comprises the following activities:

- A. Describing the Social Innovation initiative
- B. Identifying existing studies, and analysing similar initiatives through both technical and scientific articles
- C. Recognising the geographical and administrative or jurisdictional boundaries, to identify the scale of the territory or area where the Social Innovation initiative takes place, and to specify the characteristics of the rurality of the area
- D. Screening the secondary data at the local level, to describe the rurality and marginality of the area in relation to the municipalities or villages where the Social Innovation initiative takes place and where the effects are produced
- E. Presenting the SIMRA Social Innovation results-chain
- F. Selecting the evaluation questions, which then determines the choice of indicators to be used in the analysis phase
- G. Identifying the stakeholders
- H. Identifying relevant policy documents.

## Activities to be performed in Part 2

The collection of objective quantitative information on the Social Innovation initiative through the interview to the Project Manager requires the following activities:

- I. Collecting data on the number of beneficiaries, project costs and sources of funding
- J. Posing quantitative questions to the Project Manager.



## Tool 1 – Part 1: The Desk Phase

### A. To describe the Social Innovation initiative

The evaluator has to collect introductory information on the key characteristics of the Social Innovation initiative to be evaluated.

Note that some social innovations are implemented through a set of different projects. If the evaluator identifies the presence of more than one project, they have to choose which one(s) will be evaluated and thus clarify the borders of the evaluation (see Section 2). They have to clarify the evaluation criteria used for selecting a specific project.

#### Example of Social Innovation initiative with multiple projects

*The community of Laggan in Scotland, UK, manages their local forest. They are also developing a small-scale dairy factory, and a teahouse. Each of these three projects will be a different project and entail different general and specific objectives, outputs and activities.*

**Describe** the Social Innovation initiative specifying why it is socially innovative.

**Brief description of the Social Innovation initiative:**

**Innovation highlights.** The social innovation produced by the initiative deals with:

- An innovative idea

---



---



---

- An innovative process of reconfiguration (of network, governance arrangement, attitudes)

---



---



---

- An innovative project with new products and/or services

---



---



---



## B. To identify existing studies

Describe the main findings of other studies conducted previously (e.g. technical reports and/or scientific articles), if available, on the topic of the Social Innovation and on the area (e.g. geographic, economic, social data). Include references<sup>1</sup> as footnotes<sup>2,3</sup>.

If no relevant literature is found, indicate that in this section.

**Findings on the topic and the Social Innovation:**

**Findings on the area where the Social Innovation takes place:**

## C. To identify the geographic, administrative, jurisdictional boundaries and rural characteristics

Answer questions about the context of the Social Innovation. For example, in which territory does the Social Innovation initiative take place? Are there clear geographical and administrative boundaries, or, are boundaries unclear? Has the Social Innovation scaled-up or scaled-out of the territory?

<sup>1</sup> If article: Author's Surname Name. Year. Title. Magazine/Journal, Volume, Issue, pages.

<sup>2</sup> If book: Author's Surname Name. Year. Title. In (Editors), Book title, Editorial, city, pages.

<sup>3</sup> If website: Institution. www.XXXXXX [date accessed].



The identification of the territorial boundaries is central for addressing many of the questions in the questionnaires, and for the collection of secondary data for the indicators about context. The geographic and administrative or jurisdictional boundaries will be analysed also in the Focus Group, but first the evaluator must identify the boundaries and characteristics of its rurality for discussion with the Group.

**Examples of possible alignment with administrative units**

*The Social Innovation could correspond to a specific administrative level, e.g. NUTS level LAU2.*

*Or, the Social Innovation could be supra-municipal and not align with a specific administrative and jurisdictional boundary or unit.*

*Or, the Social Innovation could span different levels, e.g. innovators and project partners act at the municipal level, but the beneficiaries are spread across the relevant regional level. In this case, the evaluator should explain the mismatches, perhaps with reference to change over time (e.g. in recent years, the Social Innovation project scaled-up to a regional level).*

<b>Geographic boundaries</b>
<b>Administrative or jurisdictional scale</b>
<b>Spread: scaling up, scaling out</b>
Insert <b>maps</b> and <b>pictures</b> of the Social Innovation initiative:



Guiding questions to be addressed by the evaluator:

- *Why is the area under study considered rural?*
- *Are there any specific, constraining characteristics (geographic, social, economic, infrastructure)? (Note: quantitative data will be covered in the next section).*

**Rurality** characteristics:

**Constraining** characteristics:

## D. To screen the secondary data at the local level

The evaluator has to collect secondary data at the lowest (i.e. most detailed) accessible administrative or jurisdictional level (e.g. in EU countries, the LAU2 level is recommended, which typically refers to the municipality). The availability of data at the local level should be checked within the previously identified territorial boundaries (**Section C**).

The evaluator chooses the indexes based on the issues emerging during the data collection (e.g. the discussion in the Focus Group, or the replies to the questions on the needs of the territory). Although variable units are often standardised across the European Union, some may differ between countries, e.g. population income is usually reported in “gross value” in Spain but in “net value” in Denmark.

Longitudinal data are needed in relation to the **reference years of the Social Innovation project**, i.e. before the start of the implementation of the Social Innovation project (i.e. **baseline year**), in the final year of its implementation (i.e. **final year of project implementation**, in Table 1), and three or five years after its conclusion (i.e. **3 to 5 years after conclusion of the project**, in Table 1).

Secondary data will not always match the reference years of the Social Innovation project. In such cases, the evaluator must select an appropriate strategy for secondary data collection. The data are recorded in the template shown in Table 1.



Table 1: How to identify the indexes of rurality

	Source	Scale NUTS/ LAU		Baseline Year (before project implementation) [year]	Final Year of Project Implementation [year]	3 to 5 Years After Conclusion of the Project [year]
<b>Indexes on level of rurality</b>						
<i>Example: population density (inhabitants/km<sup>2</sup>)</i>						
_____						
_____						
<b>Indexes on physical geography marginality</b>						
<i>Example: aridity index</i>						
_____						
_____						
<b>Indexes on limited access to infrastructure</b>						
<i>Example: density of roads (km/km<sup>2</sup>)</i>						
_____						
_____						
<b>Indexes on social and economic conditions</b>						
<i>Example: GDP per capita (national currency)</i>						
_____						
_____						

## E. To represent the SIMRA Results-Chain for Social Innovation

The evaluator has to represent the results-chain of the Social Innovation initiative using the template shown in Table 2.

In SIMRA the Social Innovation initiative is composed of a Social Innovation process and a Social Innovation project where different elements interact. These elements are the trigger and needs, agents, preparatory actions, social practices reconfiguration (i.e. new governance arrangements, networks, attitudes), project activities, outputs, outcomes and impacts, and learning processes (see Section 2 of the Manual for further specifications).

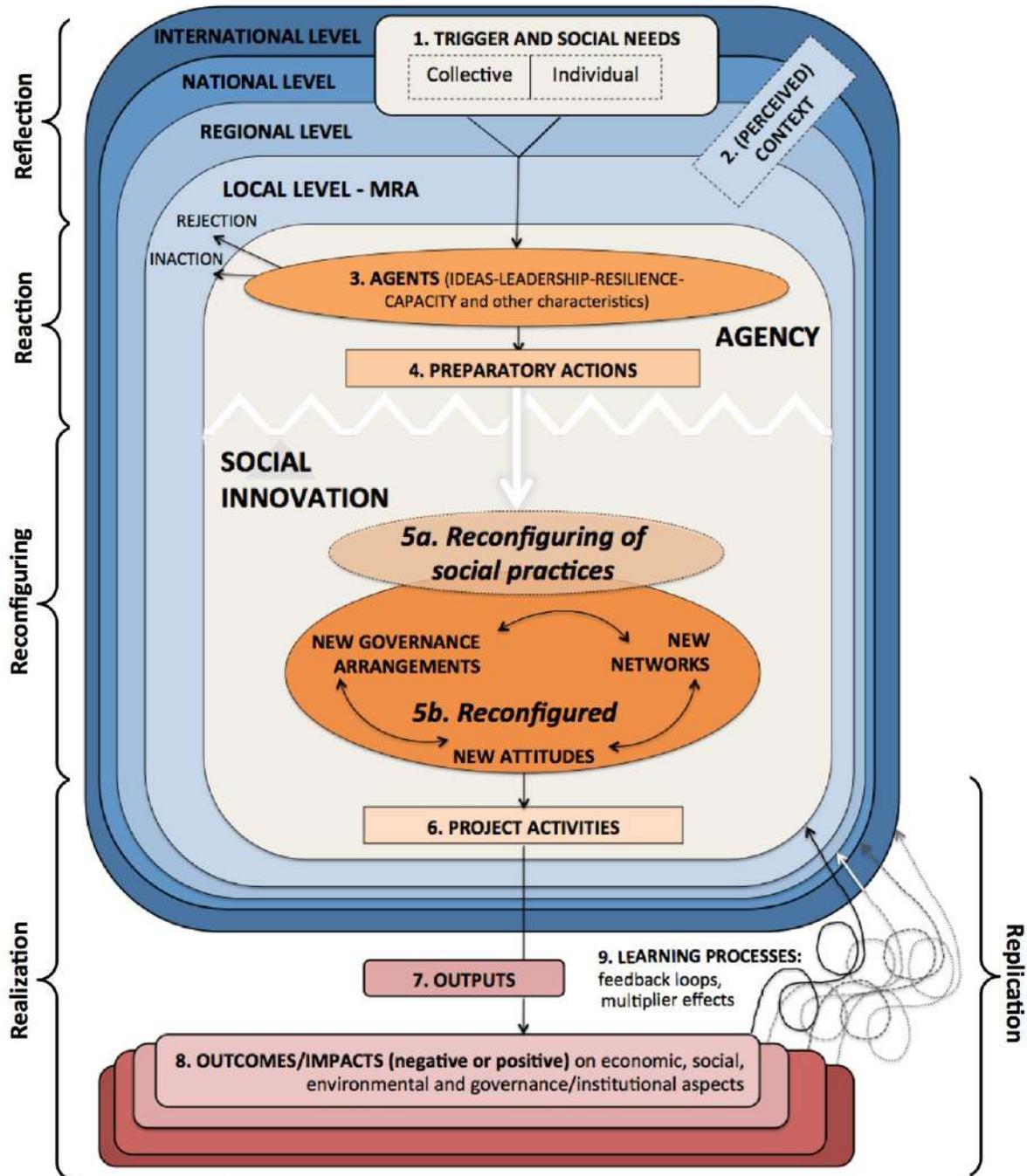


Figure 1. SIMRA evaluation framework proposed for the evaluation of the Social Innovation and its impacts.

If the Social Innovation to be evaluated deals with several projects, the evaluator has to disentangle them and select which one(s) will be analysed through the logic of intervention(s) or results-chain, **specifying the criteria used for the selection.**

At this stage of the evaluation activity, the evaluator may not have all the information needed to recognise all of the elements of the logic of intervention. If this is the case, the evaluator can enter “need to collect information” for those unknown elements.



Table 2. How to identify the Social Innovation results-chain based on the SIMRA evaluation framework

Key phases of the Social Innovation Initiative Definitions (for more specific indications see Chapter 2 of the Manual)	Description	Date Time <sup>4</sup> period
<p><b>The trigger</b> The “spark” that causes the Social Innovation to emerge. An event or situation that is identified as no longer acceptable (e.g. negative life conditions), or that brings unexpected opportunities to the area (positive). It can be a single event or the accumulation of events that, after a certain period, generate a reaction (i.e. the Social Innovation initiative).</p>		
<p><b>The idea of change and inception</b> The idea that emerges from one person or a group of a few people (innovator(s)) to deal with the trigger, i.e. to solve the collective problems/challenges associated with the trigger.</p>		
<p><b>The agency and the preparatory actions</b> The nucleus of actors – with their ideas, values, willingness, and capacity – who start to prepare and act to translate an idea into a change. Initially, the agency can be a single actor, but typically it is a small group of actors who bring their energy, time, thoughts, and capabilities together and carry out actions that enable a further development and shaping of the original idea.</p>		
<p><b>Reconfiguring (and then reconfigured) relations</b> The process of change that may occur in the relationships amongst actors (networks), in their attitudes, and/or in the related governance arrangements as a consequence of, or in relation to, the implementation of the Social Innovation idea. When the process of change develops until reaching a new situation, the last one is that which is reconfigured.</p>		
<p><b>Project activities (planning and management)</b> The activities that are implemented by those involved in the Social Innovation initiative and related process of change (reconfigured situation) in order to deliver a concrete project that implements the initial idea and provides a response to the trigger. The project activities lead to its first results.</p>		
<p><b>Outputs</b> The immediate results of the implementation of the Social Innovation project. They are identifiable, often tangible, and refer to the creation of opportunities for changes in interactions and behaviour. They are typically products and services provided to the direct users of the Social Innovation project (direct beneficiaries), for satisfying their needs.</p>		
<p><b>Outcomes/impacts</b> The effects of the Social Innovation project. They can be intended or unintended, positive or negative. Outcomes are effects on direct beneficiaries (targeted by the Social Innovation project with specific services and products for responding to their social needs), and impacts have effects also on other people, who benefit indirectly from the products and services offered to the target population.</p>		

<sup>4</sup> Was it happening at a specific moment, a short period or a long interval of time?



## F. To specify the scope of the evaluation and thus to select the evaluation questions

In this section the evaluator has to specify the **scope** of the evaluation and this will help them select the most appropriate **evaluation questions** based on the specific indications provided in Section 4 of the Manual.

The selection of the evaluation questions determines the indicators to be used in the analysis phase. Depending upon the scope of the evaluation, the evaluator may apply the whole set of tools, or focus only on the tools needed for the REEIS indicators (Relevance, Efficiency, Effectiveness, Impact and Sustainability). Moreover, the evaluator can choose analyse the whole Social Innovation initiative or only the process or the project.

### Please specify the scope of the evaluation:

Based on the identified scope, do you want to perform:

- Option 1:** the SIMRA Rapid Evaluation according to the SIMRA definition of Social Innovation (Reconfiguring of social practice, Response to societal challenges, Outcome on social wellbeing, Engagement of civil society and Innovation (i.e. Social Innovation indicators)?
- Option 2:** the SIMRA Detailed Evaluation of Social Innovation parts (Reflection, Reaction, Reconfiguring, Realization, Replication (i.e. ‘RE’ indicators)?
- Option 3:** the SIMRA Conventional Evaluation of Relevance, Efficiency, Effectiveness, Impact and Sustainability of Social Innovation (i.e. ‘REEIS’ indicators)?
- Option 4:** a combination of the options 1 to 3:

---



---



---

Based on the option(s) selected, the decision charts guide the evaluator in their selection of the indicators.



*Evaluator choice: Do you want to make a rapid evaluation of the Social Innovation?*

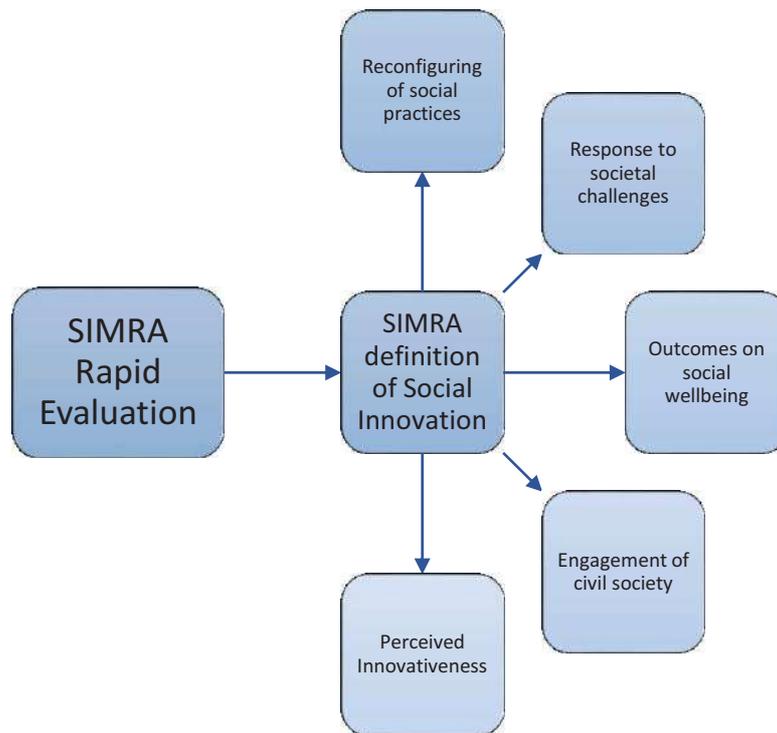


Figure 2. Decision chart to support choice to undertake a rapid evaluation.

*Evaluator choice: If you choose to make a rapid evaluation, then measurements are required for the SIMRA index, composite indicators and indicators represented in Figure 3 (also, see the fiches of the indicators).*

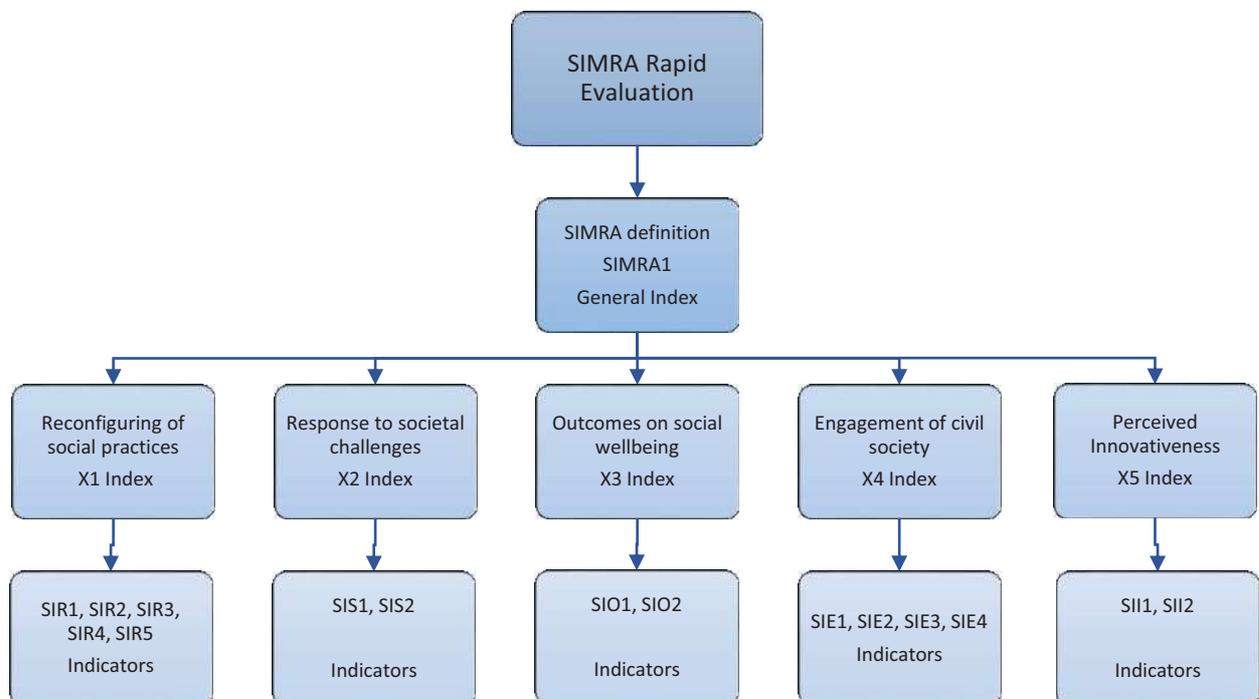


Figure 3. Decision chart of the indicators to be measured in a rapid evaluation.



*Evaluator choice: Do you want to make a detailed evaluation of Social Innovation?*

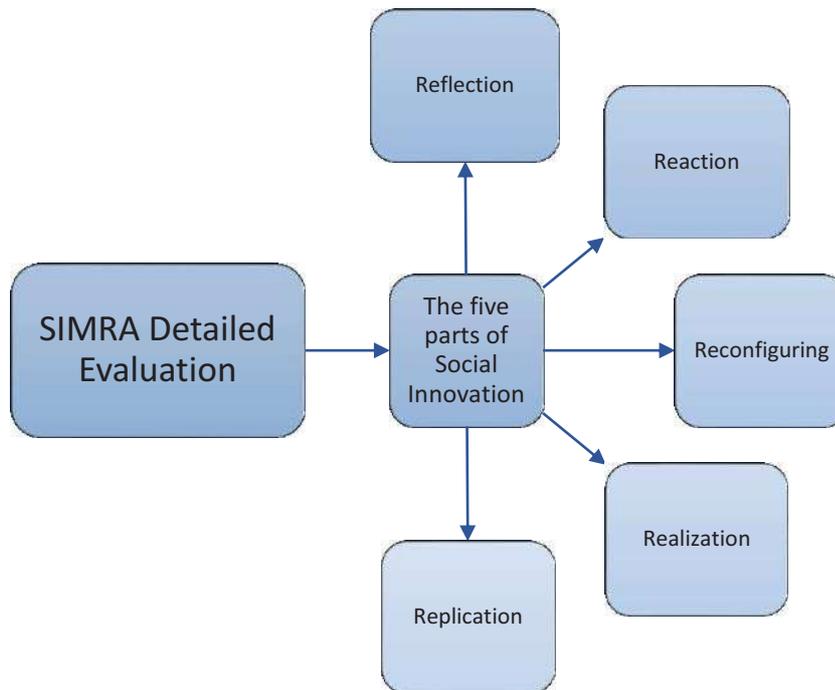


Figure 4. Decision chart to support a choice to undertake a detailed evaluation.

*Evaluator choice: If you choose to do a detailed evaluation, then measurements are required for the SIMRA index, composite indicators and indicators represented in Figure 5 (see the fiches of the indicators).*

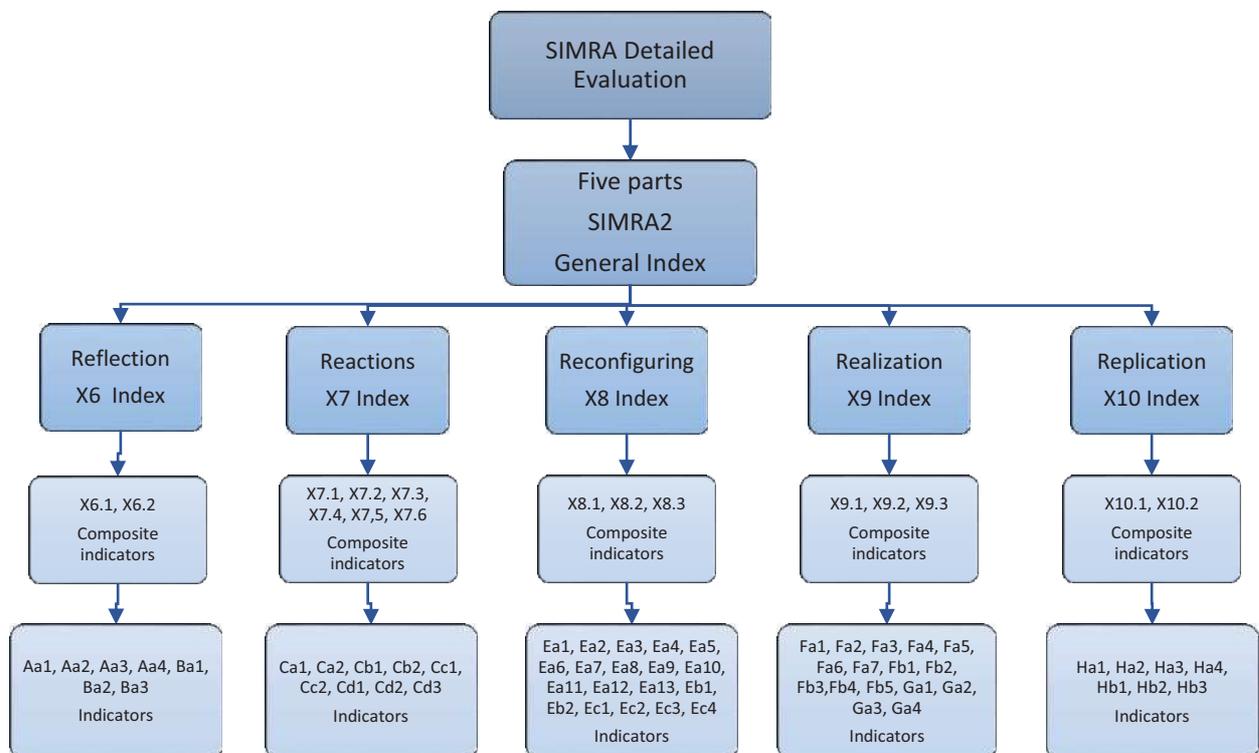


Figure 5. Decision chart of the indicators to be measured in a detailed evaluation.



*Evaluator choice: Do you want to evaluate the Relevance, Efficiency, Effectiveness, Impact and Sustainability (REEIS) of the Social Innovation?*

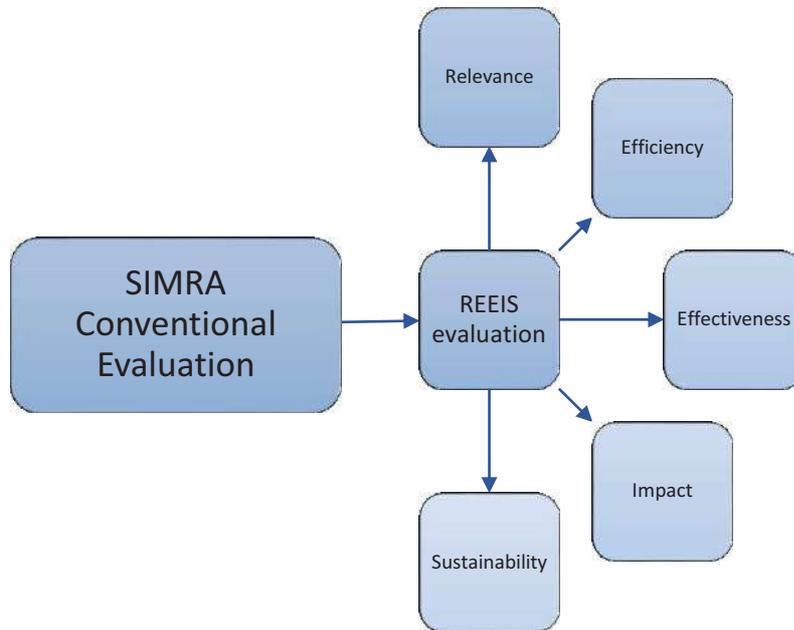


Figure 6. Decision chart to support a choice to undertake a REEIS evaluation.

*Evaluator choice: If you choose to do a REEIS evaluation, then measurements are required for the SIMRA index, composite indicators and indicators represented in Figure 7 (see the fiches of the indicators).*

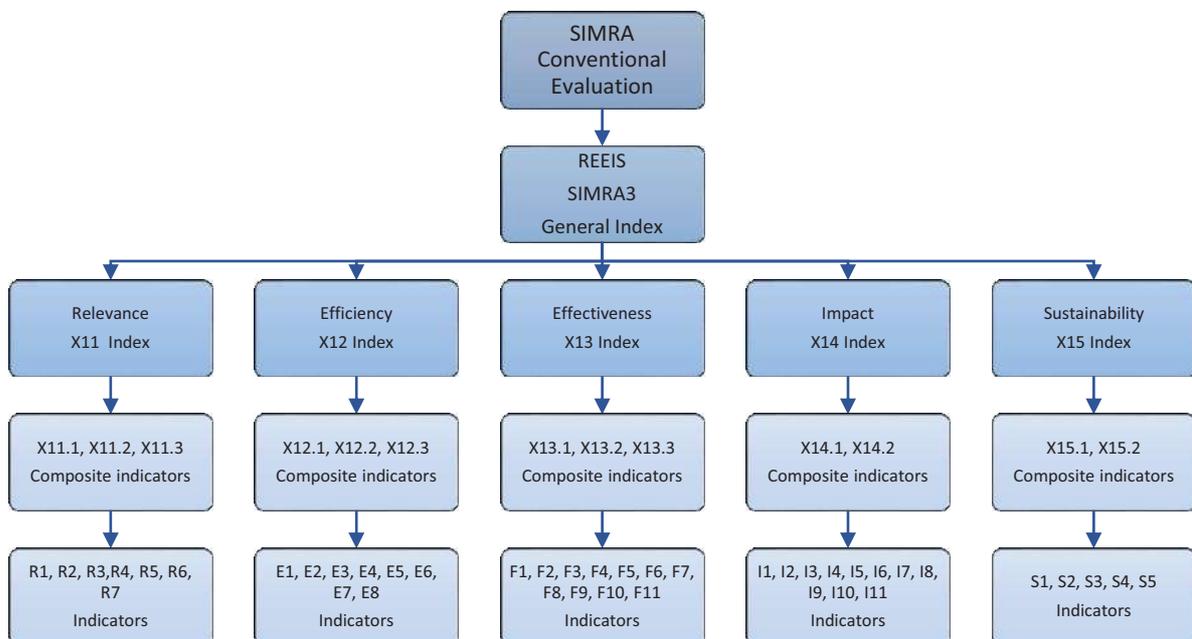


Figure 7. Decision chart of the indicators to be measured in a REEIS evaluation.



## G. To identify the stakeholders and beneficiaries

A preliminary stakeholder analysis is required to identify all of the actors involved, or who have a stake in the Social Innovation initiative.

Some guiding questions are provided below to help the evaluator understand who are the current or past key actors of the Social Innovation initiative.

- *Who were the **innovators**? Who invented, discovered or fell in love with the initial idea?*
- *Who have been the **followers**? Who were the first to think that the initial idea was valuable?*
- *Who was involved first in the development and implementation of the idea? Who made the change possible? Who were those able to **transform** the initial idea into a concrete project?*
- *Who adopted the idea early on and spread it to other people in the group, thus enlarging the network of actors? Who were the **project partners**? Which external actors have been involved in the development?*

It is possible to obtain a complete list of stakeholders through a **name grid generator** completed over several rounds during data collection:

- i) initially the evaluator completes the grid with the preliminary information they are able to obtain in advance;
- ii) during the group interview (Tool 2), they check the completeness and correctness of the list;
- iii) if necessary, they can ask the Project Manager or other actors if all of the relevant names have been included.

Table 3 shows the grid to be used in identifying the key actors of the Social Innovation initiative in a thorough way.

The evaluator has to name the actors who participate in the initiative of social innovation, assigning them to a specific category (e.g. “external expert”, “policy maker”, etc. – see column one: type Social Initiative agent).

**Add rows if needed.** The last column (Sector) is used to indicate which actors should be contacted, or have already been contacted, for the Focus Group.



Table 3: How to identify the actors through a Name Grid Generator

Type of Social Innovation Agent	Code	Name & Surname*	Affiliation If any, specify the institution, cooperative, association, company, etc. If not relevant, write "individual"	Role within affiliation	Justification 1.Internal/external to the Social Innovation initiative 2.High/low knowledge 3.Living inside or outside the territory 4.Other	Gender	Age	Sector 1.Agriculture 2.Livestock 3.Fisheries and aquaculture 4.Forestry 5.Rural development 6.Other
Innovator	001							
Innovator	002							
Follower								
Follower								
Transformer								
Transformer								
Project Manager								
Project partner								
Project partner								
External expert								
Policy maker								

\* No need to report this, as it will not be included in the documentation. The information should be kept confidential in the final reporting. It can or should be used by the evaluator for checking who is in the network to be sure that all relevant people are included.

In response to questions A.10 to A.17, the evaluator should summarise information about the Social Innovation Network actors (innovators, followers, transformers), and report them in the MS Excel file (Tool 9):

A.10. Total number of Social Innovation Network actors: |\_|\_|\_|\_|

A.11. ...of which under 40 years old: |\_|\_|\_|\_|

*(Put 0 if there are no actors, leave empty if the sector is not relevant for the Social Innovation initiative under evaluation)*

A.12. ...of which from the agriculture sector: |\_|\_|\_|\_|

A.13. ...of which from the livestock sector: |\_|\_|\_|\_|

A.14. ...of which from the fisheries sector: |\_|\_|\_|\_|

A.15. ...of which from the forestry sector: |\_|\_|\_|\_|

A.16. ...of which from the rural development sector: |\_|\_|\_|\_|

A.17. ...of which from other sector (only if relevant): |\_|\_|\_|\_|

Finally, the evaluator should identify the main characteristics of direct beneficiaries. Typically, the Project Manager should be asked for this information, i.e. to the person identified by the evaluator as being informed about the management of the Social Innovation initiative, its budget, its main inputs, activities and outputs, etc. The evaluator should recognise that, in some cases, there is no formal Project Manager. In this situation, the evaluator should identify the person with access to the information specified above. **For specific information in relation to direct beneficiaries computation see Tool 1 – Part 2 – Section I.**

### Research population and sampling design

The evaluator selects the sample of actors to interview from the complete list of actors identified (from the name grid generator). For further details on the sampling design, refer to Section 4 of the SIMRA Manual.

For each type of actor, the evaluator selects those who will be interviewed using the structured questionnaires, according to the rules summarised in Table 4.

*Table 4. How to structure the sample for the interviews*

		Semi-structured	Structured Interviews			
			Innovators and Followers	Transformers	Project Partners	Beneficiaries
Sample Size		6-12	All	All	Few	Sample
		Approximately the same actors selected in the focus group	1 innovator and 1 follower (the same as selected in the Focus Group) through Tool 3, the others through Tool 4	A census <sup>5</sup> of all actors involved in the reconfiguring phase	1 key project partner (e.g. the Project Manager) At least 2 other key project partners	Statistically significant sample of beneficiaries

<sup>5</sup> A census is necessary for the Social Network Analysis, which cannot be correctly applied if not all the actors in the network are interviewed. However, being the network focused in the SI process (reconfiguring phase), the number of actors to be interviewed is expected to be quite limited.

The evaluator should use Table 5 to list the sampled actors, specifying their availability and characteristics. The code will be used to merge the entries in this table with the one completed in the previous section (for example, the actor listed as “012” in Table 4 has to be reported with the same code in Table 5). Add rows if needed. Pay attention that in Table 5, for the beneficiaries only, the evaluator has to collect data on “age” and “gender”.

The evaluator can insert the information on the different actors selected for the interviews directly into the first spreadsheet of Tool 9.

*Table 5. Coding the actors and identifying other issues of relevance*

<b>Tye of Social Innovation Agent</b>	<b>Code</b>	<b>Contact Channel</b> (email, phone, meeting, etc.)	<b>Confidentiality Issues*</b>		
Innovator					
Follower					
Transformer					
Transformer					
Project Manager					
Project partner					
Project partner					
				Age	Gender
Beneficiary					
Beneficiary					

\* Confidentiality issues relate to information which should not be published in the final evaluation report.

### **Population aspects that can affect sampling**

The evaluator has to indicate the steps they will perform to recruit and contact people for the study (e.g. by phone, word of mouth, etc.). In addition, they should report any additional difficulties which are foreseen when trying to access the population, including:

- Existing social formalities with local authorities e.g. Do you need specific (in)formal consent from the local Mayor to conduct the interviews? Will your interviews progress smoother with the approval or support of the local priest?
- Cultural aspects (e.g. religion, ethnicity, gender)
- Additional *ad hoc* formalities for specific vulnerable groups involved (e.g. migrants)
- Other possible issues (Information Technology knowledge, accessibility, etc.).

### **Potential ethical risks, health and safety issues and and participant benefits**

The evaluator should record details of how to contact participants, possible sensitive issues, confidentiality, ethical requirements, health and safety issues, etc. Codes allocated to actors can ensure anonymity of the results. The evaluator must follow any specific regulations on ethical clearance that apply in the context that they are evaluating.

This analysis will enable the evaluator to reduce or increase the size of the sample presented previously.

How to contact participants:

Possibly sensitive aspects to be considered:

Confidentiality:

Ethical requirements:

## H. To identify policy documents

List here **policy processes of interest**, if known a priori, policies and policy instruments (e.g. laws, strategies, programmes, grants, loans etc.) of relevance for this specific Social Innovation should be documented in Table 6. The documents listed will be analysed in Tool 10.

Table 6: Example of recording relevant policy documents

Number	Policy Document Title in English [original name]	Administrative or Jurisdictional Level (International, Regional, National, Sub-national, Local)	Brief Description [What's it about? How does it relate to the Social Innovation?]
1	<i>Law on public participation 84/2003</i>	National	It set the requirement for formalising social movements
2	<i>Call for aids on Rural Development measure for supporting young farmers</i>	Regional	<i>Subsidies for full-time farmers younger than 40 years old, to help their establishment...</i>
3			
4			
5			
6			
7			
8			
9			
10			

## Tool 1 – Part 2: Interview with the Project Manager

### I. To collect data on beneficiaries, project costs and source of funding

The evaluator has to verify information relating to project costs and beneficiaries.

The guiding question to help the evaluator understand who are the beneficiaries of the Social Innovation initiative: *Who are the final users of the Social Innovation initiative's outputs? Who are the direct beneficiaries?*

In relation to the direct beneficiaries (i.e. the people benefiting directly of the Social Innovation project activities) the evaluator, with the help of the Project Manager, should estimate the total number of direct beneficiaries of the Social Innovation project, their number in the last three years (if it changed over time), and the number of new direct beneficiaries (i.e. with no previous relationship to the initiative).

**Number of direct beneficiaries** that were new in the **last three years**, based on the available records:

H.18. Total beneficiaries of the Social Innovation project :     |\_|\_|\_|\_|\_|

H.19. ...of which those new to the project are:           |\_|\_|\_|\_|\_|

**Number of direct beneficiaries** in the **last three years** based on the available records:

Year [\_\_\_\_\_] : H.37. |\_|\_|\_|\_|\_|

Year [\_\_\_\_\_] : H.38. |\_|\_|\_|\_|\_|

Year [\_\_\_\_\_] : H.39. |\_|\_|\_|\_|\_|

The evaluator has to determine the values of the **total project costs for a specific year of implementation (Table 7)**. These are the costs sustained during a year of project activities (i.e. personnel cost, travel and subsistence, external assistance, durable goods, consumables, other costs, and overheads).

The **total costs of the Social Innovation Project** for a defined year of implementation are the sum of the costs identified.

Table 7. How to determine the total costs of the Social Innovation project for a specific year

Cost Items	Description	Year [ ]	Year [ ]	Year [ ]
<b>Personnel</b>	The costs of the personnel involved in the Social Innovation project. The value is determined by summing the gross salary of all permanent or temporary staff involved in the Social Innovation project, taking account of the time they spend, directly and indirectly, on the project. (E.g. If the accountant of the cooperative has devoted on average 5% of their working time to the Social Innovation project, then 5% of their gross salary will be reported for the reference period of the project).			
<b>Travel and Subsistence</b>	The costs paid by the coordinating organisation for travel and subsistence, relating to the reference period of the project when the activities have been implemented. Travel costs have to be determined in accordance with the internal rules of the organisation.			
<b>External Assistance</b>	Costs for external assistance refer to sub-contracting costs: i.e. services and work carried out by external companies or people, and the renting of equipment or infrastructure. (e.g. the cooperative hired external consultants for training activities; the sum of total value of the invoices presented by the consultants in the reference period of the project will be considered).			
<b>Durable Goods (infrastructure and equipment)</b>	Total value of the depreciation of infrastructure and equipment used for the Social Innovation project, in relation to the specific year and determined in accordance with national accounting rules.			
<b>Consumables</b>	Consumables relate to the purchase, manufacture, repair or use of items, which are not recorded in the inventory of durable goods (such as materials for dissemination, repair of durable goods which are not capitalised and are purchased for the project or used 100% for the project, etc.).			
<b>Other Costs</b>	Direct costs which do not fall into any other cost categories should be recorded here, e.g. costs for bank charges, auditors, translations, conference fees, insurance. These are costs which originate solely from implementation of the Social Innovation project.			
<b>Overheads</b>	General consumables and supplies (as opposed to direct costs), such as telephone, communication costs, photocopies, office material, water, gas, etc. are covered by the overheads category. The evaluator should make an estimation of the overheads (normally 5 to 7% the total costs previously determined).			
<b>TOTAL SOCIAL INNOVATION PROJECT COSTS</b>	The sum of the items in the table.	Value H.40. [ ]	Value H.41. [ ]	Value H.42. [ ]

After computing the total costs of the Social Innovation project for specific years, the evaluator has to verify, by referring to the Project Manager, the external financial contribution that the project has obtained in the last three years, completing Table 8.

There could be different types of sources of funding: external contribution by one or more external financing agencies; the project coordinator's own contribution; the project partner's contributions; or, other financial contributions. If one or more of these sources are not relevant to the specific case the evaluator should insert the value [0] in the corresponding cell.

Table 8. How to determine the sources of funding of the Social Innovation project for a specific year

Source of Funding	Description	Year [ ]	Year [ ]	Year [ ]	Sum of the Previous 3 Years
<b>Project coordinator's own contribution</b>	Record the amount of the financial contribution provided by the project coordinator. This amount cannot include any funding obtained from other public or private sources specifically earmarked for the project or part of it.				
<b>Project partner's own contributions</b>	Record the financial contribution from each project partners. These amounts cannot include any funding obtained from other public or private sources specifically earmarked for the project or part of it.				
<b>External contribution by financing agency</b>	Record the amount of financial contribution obtained from an external financing agency.				[H.43.]
<b>Other external financial contributions [specify]</b>	Record the financial contribution that cannot be included in the categories above.				[H.44.]
<b>TOTAL CONTRIBUTION TO THE SOCIAL INNOVATION PROJECT</b>	The sum of the items in the table.	Value [ ]	Value [ ]	Value [ ]	Value [ ] [H.45.]

Table 9. Identification of the key actors in budget-related issues (see also Section 2 - 2.6, 2.7 and 2.8 of the Manual)

<b>Project Coordinator</b>	The individual, enterprise, organisation, institution or network that takes the lead of the Social Innovation project.
<b>Project Manager</b>	The person, within the organisation coordinating the Social Innovation project, who is responsible of the day-to-day management of the Social Innovation project itself. <i>Note: The evaluator should recognise that in a complex organization, multiple projects are implemented simultaneously. In such a case, the evaluator should specify that the information sought from the Project Manager refers only to the Social Innovation project under evaluation. The selection of the project or projects to be evaluated is done by the evaluator themselves.</i>
<b>Project Partner</b>	The individual, enterprise, organisation, institution or network that contributes technically to the Social Innovation project and is responsible for the implementation of one or several project actions. <i>Note: The evaluator should identify the “first project partners”, i.e. those contributing to sustain the initial costs in launching and running the Social Innovation project; and those project partners who joined at a later stage, e.g. joining the network when the project was already consolidated. This distinction should be made on the basis of the Social Innovation story line, name grid generator and/or results of the Focus Group.</i>
<b>Project Direct Beneficiaries</b>	The people benefiting directly from the outputs and outcomes of the Social Innovation project. Direct beneficiaries are those who are specifically targeted by the Social Innovation project, i.e. project outputs and outcomes are designed to provide an answer to their specific needs. <i>Note: In the case that the “Social Innovation project direct beneficiaries” are children or other people who are not allowed or able to respond autonomously to a questionnaire, their parents or representatives should be interviewed.</i>
<b>Project Indirect Beneficiaries</b>	The people who have a relationship to the direct beneficiaries and therefore who will benefit indirectly from the outputs and outcomes of the Social Innovation project.

## J. Quantitative questions to be posed to the Project Manager

This section aims to obtain detailed information on the Social Innovation project. The evaluator should interview the Project Manager.

### H. THE SOCIAL INNOVATION PROJECT AND ITS OUTPUTS

H.1-7. The following activities are commonly recognized as key for project planning and management. For each item, tick (providing evidence if necessary) whether you... a) planned activities; b) wrote procedures; c) applied practices.

Project Management	1 Activities Planned: Did you plan and discuss about ...?	2 Procedures Written: Did you formulate the activity into written tasks and roles?	3 Practices Applied: Did you complete the activity?	Not Applicable
<b>H.1. Planning the Social Innovation project</b>				
1. Project objectives	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/>
2. Schedule of activities	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/>
3. Sources of funding	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/>
<b>H.2. Human resources management</b>				
1. Training for staff	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/>
2. Gender balance	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/>
3. Facilities for workers (e.g. transport, nursery)	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/>
<b>H.3. Financial resources management</b>				
1. of financial inflows	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/>
2. of financial outflows	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/>
3. Financial reporting	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/>
<b>H.4. Material and infrastructural resources management</b>				
1. Equipment, machines, computers	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/>
2. Consumables (e.g. paper)	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/>
3. Access to internet	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/>
<b>H.5. Communication and marketing</b>				
1. Communication strategy	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/>
2. Marketing strategy	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/>
3. Dissemination activities (e.g. events)	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/>
<b>H.6. Administration</b>				
1. Archiving system	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/>
2. Accounting system	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/>
3. Administrative system	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/>
<b>H.7. Monitoring and evaluation</b>				
1. Monitoring of activities and outputs	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/>
2. Risk management	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/>
3. Self-evaluation	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/>

H.8. How did the [Social Innovation project] meet its time goals?

- 1. Ahead of schedule → H.8.1. Please try to quantify: \_\_\_\_\_
- 2. On time
- 3. Behind the schedule → H.8.2. Please try to quantify: \_\_\_\_\_
- 4. No schedule was set

H.9. How did the [Social Innovation project] keep to budget?

- 1. Within or under budget → H.9.1. Please try to quantify: \_\_\_\_\_
- 2. On budget
- 3. Over budget → H.9.2. Please try to quantify: \_\_\_\_\_
- 4. No budget goals were set

H.10. How did the [Social Innovation project] meet its specific objectives?

- 1. Exceeded objectives → H.10.1. Please try to quantify: \_\_\_\_\_ (estimated %)
- 2. Achieved objectives
- 3. Missed objectives → H.10.2. Please try to quantify: \_\_\_\_\_ (estimated %)

H.11. What are the new products and/or services delivered from the [Social Innovation project]?

- | Products | Services |
|----------|----------|
| 1. _____ | 1. _____ |
| 2. _____ | 2. _____ |
| 3. _____ | 3. _____ |

H.17. How did you disseminate the Social Innovation results?

- 1. Presentations at events (e.g. fairs, conferences),  Yes  No
- 2. Printed materials (e.g. brochures, flyers)  Yes  No
- 3. News/info in the press (paper, online magazine and blog)  Yes  No
- 4. News/info in websites  Yes  No
- 5. Social media (Facebook, Twitter, Instagram, WhatsApp etc.)  Yes  No
- 6. Newsletter and e-mail  Yes  No
- 7. Broadcasting (radio, television, podcast)  Yes  No
- 8. Meetings with donors  Yes  No
- 9. Meetings with politicians  Yes  No
- 10. Meetings with enterprises  Yes  No
- 11. Communications to other networks  Yes  No

11.1. Please specify: \_\_\_\_\_)

*Be sure that you have collected data for the following two questions on direct beneficiaries (already included in the section on the identification of beneficiaries):*

H.18. How many of them did you work with last year?

|\_|\_|\_|\_|

H.19. How many of them were totally new, reached due to the Social Innovation project?

|\_|\_|\_|\_|

## I. THE WHOLE SOCIAL INNOVATION INITIATIVE

I.8. What is the current percentage of external resources? |\_\_|\_\_|\_\_| %

I.8.1. [If 0%], how long would you estimate that it will be self-sustainable?

1. For the long term (more than 5 years)
2. For the medium term (more than 1.5 years)
3. For a short term (within next year)
4. Difficult to answer because of uncertainty

I.8.2. [If >0%], how much time do you think it will need to become totally self-sustainable?

1. A long period (more than 5 years)
2. A medium period (more than 1.5 years)
3. A short period (next year)
4. Difficult to answer because of uncertainty

## J. THE EFFECTS and LEARNING PROCESS

J.2. Beyond direct beneficiaries, who else has indirectly benefited from the [Social Innovation project]? (e.g. families, friends, colleagues, other members of community, etc.). \_\_\_\_\_

J.3. Estimate of the number of people who indirectly benefitted in the last year? |\_\_|\_\_|\_\_|

J.4. Do you think that the effects of your [Social Innovation initiative] had an influence beyond your locality at a higher administrative level?  Yes  No  I don't know

J.5. Has the [Social Innovation initiative] contributed to the development of any national/international law/standard?  Yes  No  I don't know

J.5.1. [If yes] Please specify: \_\_\_\_\_

J.6. Has anyone come to learn about your [Social Innovation initiative] so that they can do something similar themselves?  Yes  No  I don't know

J.6.1. [If yes] How many? |\_\_|\_\_|

J.6.2. [If yes] Where?  inside your territory  outside your territory

J.6.3. [If yes] Please, provide examples: \_\_\_\_\_

J.7. Is there a national/international group representing your and similar Social Innovation initiatives?  Yes  No  I don't know

J.9. To what extent would the positive effects, brought in the territory through your [Social Innovation initiative], have been obtained also without your intervention?

1. No, only the Social Innovation initiative could satisfy the specific needs of the territory
2. Yes, but it would have taken more time
3. Yes, but other similar initiatives satisfied only partially the needs of the territory
4. I don't know

J.9.1. Please, comment: \_\_\_\_\_

J.10. Has your [Social Innovation initiative] had any negative effects?  Yes  No  I don't know

J.10.1. [If yes] Where?  inside your territory  outside your territory

J.10.2. [If yes] On whom (mainly)?  people  organisations  enterprises  public bodies

J.10.3. [If yes] Please describe: \_\_\_\_\_

## Tool 2 – Future Search Conference and Focus Group with the Actors of the Social Innovation Initiative

Tool 2 is based on a group interview. It is divided into two parts (Figure 8). First Part is inspired by the first step of a Future Search Conference technique and involves all of the actors of the Social Innovation initiative who wish to participate. This is useful for obtaining a deeper knowledge of the Social Innovation initiative, from its history and the actors who made it possible, to the context where it worked. Figure 8, Second Part is a Focus Group which involves a few selected key informants. It focuses upon the impacts of the Social Innovation initiative on the surrounding community. The evaluator can choose when to perform the two parts of Tool 2, whether to run them close together (i.e. one in the morning and one in the afternoon), or whether to run them on different days of the evaluation period.

The recommendation is to do the first part before the face-to-face interviews (after Tool 1 and before the other tools), because it enables an understanding to be gained of the whole story of the Social Innovation initiative and to know the main actors who will be interviewed.



Figure 8. Overview of Tool 2.

Both future search conference and the Focus Group allow some flexibility on how to conduct the group interview. Tool 2 provides instructions on the meeting preparations, the guiding questions to lead the discussion, the material to show during the meeting, and the tables in which to report the main results. It is not compulsory to audio record the meeting, but it is recommended to ensure that important content is not lost. Advice on the selection of participants, the rules of the two participative techniques adopted, and suggestions on how to act as a facilitator are also provided.

### After the group interviews

1. Pictures and audio recorded by assistants (and/or the moderator) during the various activities of the different sessions are used to check the completeness and accuracy of the notes taken. Even if the full transcription of the audio recorded is not required, both the pictures and the file audio should be obtained and made available for the analysis.

The recording material should be used, if needed, to check and possibly integrate the notes taken during the group interviews to ensure that nothing is missing in the final report.

2. The tables named "Table for MS Excel" in this Tool (Tool 2) are to be used to summarize and report results in the MS Excel file.

3. Take advantage of the presence of many actors of the Social Innovation initiative to agree an agenda for individual interviews.

## First part – Future Search Conference

### Introduction to the technique

Future Search Conference is a large-group (maximum 100 people) facilitation technique. People with different backgrounds gather in one room for 3 days sharing stories about their past, present and desired futures, through time lines, mind maps and future scenarios. They work both together, and in small sub-groups making reports to the whole group.

Tool 2 is based on the first step of the “past exploration” participatory technique. Participants are asked to explore their shared past, and discover dialoguing and their common ground. People make time lines of key events in the Social Innovation initiative, of their own lives, and of the surrounding context. Small groups analyse each time line and share them with the big group.

**Session I** will be held with all the participants together, and subsequent sessions held in small groups. If only a few participants attend the event, the evaluator may decide to hold sessions II-a, II-b and II-c with all participants. In the first case (**three parallel Sessions II**), the future search conference will last approximately 60 to 75 minutes and will be followed by a concluding **Session III**. In the second case (all participants attend the three sessions II), it may last longer (approximately 2 hours), and Session III organised appropriately.

### Who participates?

#### *Social Innovation initiative actors*

The first part of Tool 2 focuses on the history of the Social Innovation initiative, the actors who carried it out, and the surrounding context. For this reason, the evaluator should invite as many participants as possible. They can be actors involved in the Social Innovation initiative at present, or who have been involved in the past. These may be Innovator(s), Follower(s), Transformer(s) or project partners, beneficiaries, external experts, donors or policy makers. Note that one of the key principles of the future search conference is to get the “whole system in the room”.

Participants are identified by means of **Tool 1**, by using the list “Name Grid Generator” prepared by the evaluator in advance. In the invitation letter, the evaluator should motivate people to attend. They should emphasise that this event will be useful for them for discovering their shared past, and that the findings will be the result of their own work.

#### *The moderator*

Often the moderator is the evaluator. They ...

1. may choose to contract a specific facilitator if (i) they do not have skills in facilitation; (ii) they have a stake or participate in the Social Innovation initiative; (iii) the Social Innovation initiative is large and complex. This may require additional financial resources.
2. have a “passive” role (compared to the Focus Group) by guiding the process and helping the discussions to continue.
3. create opportunities for everyone to participate and express their opinions.
4. avoid commenting and making judgements. They act as a non-expert and ask for concrete examples when something is not clear; they are neutral during the discussion, listening to the key informants and quickly reacting to unexpected situations.
5. help group members identify areas of agreement and disagreement.
6. summarise key points of the discussion, or ask others to do so.

### ***The assistant(s)***

1. One assistant is required, however two or more are suggested to provide better support for the moderator.

They ...

2. take notes of the contents of the discussion and observe the dynamics of the interactions among participants during the sub-groups sessions (e.g. noting body language and situations of potential conflicts).

3. are silent observers and do not intrude in the discussion. They help the moderator with logistics.

4. take pictures of key moments of the Focus Group and of posters used during the discussion, at the end of the session.

### **Future search conference preparation**

#### ***Remember: Planning and properly organised logistics are crucial for success!***

1. Select a proper location. It should be “neutral” for all of the key informants to encourage the free expression of opinions. The location should be easy to find and reachable. A map and clear instructions for travelling to the venue should be sent to the participants ahead of time.

2. The building should have a space big enough to hold all the participants during the first session, and rooms or spaces suitable for work in sub-groups. Chairs and tables must be movable.

3. Ensure the absence of disruptive background noises as much as possible (e.g. check in advance whether construction work is planned when the future search conference is scheduled and consider re-scheduling the meeting if this is the case).

4. Prepare all of the materials required before the arrival of the key informants. Bring the list of participants, pens, markers, paper, sticky notes, audio or video-recording equipment, extra batteries, tripods, posters, tape, and flipchart. Details are provided in the relevant section of this document, if special material is required for any of the sessions. Prepare printed copies of the consent form to ask the permission of participants to allow the use of voice recording.

5. Ensure availability of spaces and services for a coffee break, then organise it accordingly.

6. Remember that the evaluator should take advantage of this participatory event to ask the Social Innovation Project Manager about data availability for costs and budgetary aspects (Tool 1). Bring the preliminary name grid generator (Tool 1) and check or complete it as appropriate before continuing to the second part of Tool 2.

#### **Recommended references on the future search conference technique.**

Slocum, N. (2003). Participatory Methods Toolkit A practitioner’s manual, King Baudouin Foundation.

Weisbord, M. and Janoff, S. (2010). Future Search - 3rd Edition – An Action Guide to Finding Common Ground in Organizations & Communities.

Weisbord, M. and Janoff, S. (2007). Don't Just Do Something, Stand There!.

Sellnow, R. (2006). Future Search Conference in theory and practice, Conference on public communication and large-scale urban regeneration projects, September 5-6 2006, Warsaw (Poland).

### Welcoming participants to future search conference (estimated time 5 to 10 minutes)

**AIM:** To introduce and explain the “rules of the game” for the future search conference.

**INSTRUCTIONS:**

1. Prepare a desk at the entrance of the room where the future search conference will take place. An assistant warmly welcomes participants and registers them individually.
2. When all participants have arrived, but no later than 10 minutes after the scheduled starting time, the moderator greets the participants, introduces himself and the assistants, shares preliminary information on the SIMRA evaluation methodology which will be implemented (e.g. the SIMRA definition for Social Innovation), and introduces the topic and organization of activities.
3. The moderator alerts the audience to the plan to audio-record the meeting<sup>6</sup>, and asks participants to sign a consent form to allow the use of the material for the evaluation. As written in the consent form, the moderator acknowledges that only the evaluator can use the audio recording and that no specific names will be used in the final report.
4. The moderator sets out the “rules of the game” by explaining that:
  - Everyone is kindly required to express their opinions concisely;
  - The dialogue is informal and friendly;
  - Participants should speak one at a time;
  - Every opinion is important;
  - The assistant(s) and moderator are there to learn from the participants;
  - Nobody is judged.
5. If there are only a few participants, the moderator asks them to briefly introduce themselves and their role within the Social Innovation initiative (maximum 30 seconds/1 minute per person, according to the number of participants). If there are several participants, the moderator omits this step, and says that there will be time for personal introductions during the sub-groups activities.
6. If a participant arrives late, the assistants accompany them to their chair. At the end of the session the moderator clarifies information if required. Long waiting times should be avoided to prevent nervousness of the participants.

### SESSION I. The storyline of the Social Innovation initiative (estimated time 20 to 30 minutes)

**AIM:** To identify the storyline of the Social Innovation initiative at three levels: the actors, the initiative and the surrounding context.

**INSTRUCTIONS:**

1. The moderator attaches a set of three large blank posters horizontally (minimum 100 cm x 50 cm) on the wall or board, before starting the Focus Group. If there are a lot of participants, the set of 3 posters can be duplicated on several walls of the room.
2. Draw a long horizontal line (“*This is the time line of your Social Innovation initiative...*”) and a big dot at the end of it (“*...and today you are here*”) on each poster. The moderator asks participants to help them recreate the story of the Social Innovation initiative from the beginning (“*I need your help...*”).

---

<sup>6</sup> The recording material should be used, if needed, by the evaluator to check the notes taken during the meeting.

3. The moderator helps to unravel the **story line** by asking participants for accurate **dates** and evocative **clues**, by using some or all of the following guiding questions, divided by each storyline poster:

*[Actors] Q1. Who was involved in the different phases? When did you enter the Social Innovation initiative? What have you done for the Social Innovation initiative?*

*[Social Innovation initiative] Q2. We would like to know when things happened. Do you remember the key phases of your Social Innovation initiative? Would you be able to link them to specific dates, or to clues that may help you remember them? When did the Social Innovation process and the Social Innovation project start? When did you obtain the first outputs? Etc.*

*[Context] How was the context surrounding you when the Social Innovation initiative started? What events have been significant? What was the reaction of the community and of the public institutions? What were the constraining factors?*

4. The moderator can pre-draw the key steps of the Social Innovation initiative, according to the SIMRA evaluation framework (special attention must be given to the threshold that divides the reconfiguration process from the Social Innovation project activities), and ask participants to assign them a date or a temporal reference. If the terminology is unclear, the moderator should provide definitions and illustrate the meaning of the various phases and components of a standard Social Innovation initiative through use of examples.

**IMPORTANT NOTE:** the evaluation team are expected to **read the SIMRA evaluation framework** (for more details, see Section 2 of the SIMRA Manual) before starting the data collection in their case study area.

5. If useful, the moderator can print a coloured copy of the **drawings which represent different aspects of the Social Innovation** provided below. The images visualize some of the concepts and/or clues expected to emerge during the development of the story line.

6. The moderator steps aside and invites the participants to freely fill in the 3 storylines, using the markers provided, through the use of sentences, drawings or significant examples.

7. When the work is concluded, the moderator (helped by assistants) detaches the posters and distributes them across the 3 different rooms. Then, they ask participants to divide into three working groups, each of which will work on the different storylines according to their own interests. If there is a particular need (homogeneity, conflicts, etc.), this subdivision can be made a priori by the moderator.

NOTE: no reporting is asked from this session!

WHAT TO SHOW participants	WHAT <u>NOT</u> TO SHOW participants (internal use by the moderator/evaluator and assistants)
<ul style="list-style-type: none"> <li>3 posters with a horizontal line along which to recreate the history of the Social Innovation initiative.</li> <li>The drawings provided below, if useful (all of them have been drawn by L. Secco – SIMRA Team)</li> </ul>	<ul style="list-style-type: none"> <li>The glossary of key terms of SIMRA evaluation of Social Innovation.</li> </ul>

*Drawing 1: The emergence of the social innovation*



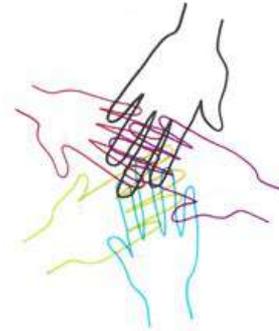
*Drawing 2: The social innovation idea(s)*



*Drawing 3: The social innovation gets funds*



*Drawing 4: Actors start to collaborate*



*Drawing 5: Negative trigger that stimulated the emergence of the Social Innovation initiative*



*Drawing 6: Positive trigger that stimulated the emergence of the Social Innovation initiative*



**Parallel SESSION II-a. Involvement of the Social Innovation actors** (approximately 30 minutes)

**AIM:** To identify the characteristics of the actors at each phase of the Social Innovation initiative storyline.

**INSTRUCTIONS:**

1. The moderator puts the storyline poster of actors in the centre of a circle of chairs (or on a table), and attaches one big white poster to the wall or board (it will be used for internal notes). The assistant starts to audio-record.

2. The moderator asks participants to complete the storyline poster, checking that all relevant actors have been mentioned in each phase. They may use the following guiding questions to underline the different roles of actors:

*[Community] Q1. Who was affected by the trigger, if any? What is the community to which the Social Innovation initiative refers?*

*[Actors] Q2. Who was involved in the different phases?*

*Q2.1 Who were the **Innovator(s)**? Who invented, discovered or fell in love with the initial idea?*

*Q2.2 Who have been the **Follower(s)**? Who were the first people who thought that the initial idea was valuable?*

*Q2.3 Who was involved first in the development and implementation of the idea? Who made possible the change? Who were those able to **transform** the initial idea into a concrete project?*

*Q2.4. Who adopted the idea early on and spread it to other people in the group, thus enlarging the network of actors? Who were the **project partners**? Which **external actors** have been involved in the development of the project?*

*Q2.5. Who are the final users of the Social Innovation initiative's outputs? Who are the **direct beneficiaries**?*

*[Indirect beneficiaries] Q3. Who may benefit from the effects of the Social Innovation initiative? Who are the indirect beneficiaries?*

If the terminology is unclear, the moderator provides definitions (first column of Table 10) and illustrates the meaning of the various phases and components of a standard Social Innovation initiative through reference to examples.

3. The moderator asks participants to provide some basic information on the actors from Q2, in particular about the percentage of females, percentage of young people (under 40 years old), and their sector of work (Agriculture, Livestock, Fisheries and aquaculture; Forestry, Rural development).

4. Participants report the results of their discussion directly into the storyline horizontal poster. The final result should be understandable even by those who did not participate in the group work. **Assistants** take a picture of the poster at the end of the activity, and **transcribe the content into the table below** for all of the information to be shared by the participants.

**IMPORTANT NOTE:** the evaluation team are expected to carefully **read the SIMRA evaluation framework** (for more details, see Section 2 of the SIMRA Manual) before starting with the data collection in their case study area.

<b>WHAT TO SHOW participants</b>	<b>WHAT <u>NOT</u> TO SHOW participants</b>
<ul style="list-style-type: none"><li>• “Actors” horizontal storyline in Session I.</li><li>• A whiteboard could be used to report on the contents of the discussion or to take notes (this is the moderator’s decision).</li></ul>	<p><b>(internal use: moderator/evaluator and assistants)</b></p> <ul style="list-style-type: none"><li>• The glossary of key terms of SIMRA evaluation of Social Innovation.</li><li>• The reporting table</li></ul>

Table 10. Table for reporting key phases of a Social Innovation Initiative.

<p><i>REPORTING: Table and codes for MS Excel</i></p> <p><b>Key Phases of a Social Innovation Initiative</b> (For more details, see Section 2 of the SIMRA Manual)</p>	<p><b>Who</b></p> <p>Which and how many actors were involved? (You can check the pre-filled name grid)</p>	<p><b>Gender</b></p> <p>What is the actor's gender? (focus on % females)</p>	<p><b>Age</b></p> <p>What was the actor's age when involved? (focus on % &lt;40)</p>	<p><b>Sector</b></p> <p>What is the actor's sector? (% of 1.Agriculture, 2.Livestock, 3.Fisheries and aquaculture; 4.Forestry, 5.Rural development)</p>
<p><b>The trigger</b></p> <p>The “<i>spark</i>” that causes the Social Innovation to emerge. An event or situation that is identified with not longer acceptable conditions of life (negative), or that brings unexpected opportunities to the area (positive). It can be a single event or accumulation of events that, after a certain period, generated a reaction (the Social Innovation initiative).</p>	<p>Affected community/ territory: <i>[B.9. To be filled in by the assistant]</i></p>			
<p><b>The idea of change and inception</b></p> <p>The idea that emerges from one person or a group of a few people (Innovator(s)) to deal with the trigger, to solve collective problems/ challenges associated with the trigger.</p>	<p>Innovator(s): <i>[C.16. To be filled in by the assistant]</i></p>	<p>%F: <i>[C.17]</i></p>	<p>%&lt;40: <i>[C.18]</i></p>	<p>%A: %L: %FA: %F: %RD: <i>[C.19]</i></p>
<p><b>The agency and the preparatory actions</b></p> <p>The <i>nucleus of actors</i> – with their ideas, values, willingness, and capacity - <i>who start</i> to prepare and act to translate an idea into a change. Initially, the agency can be even one single actor, but more typically is a small group of actors who bring their energy, time, thoughts, and capabilities together and carry out actions that enable a further development and shaping of the original idea.</p>	<p>Follower(s): <i>[C.20. To be filled in by the assistant]</i></p>	<p>%F: <i>[C.21]</i></p>	<p>%&lt;40: <i>[C.22]</i></p>	<p>%A: %L: %FA: %F: %RD: <i>[C.23]</i></p>

<p><b>Reconfiguring</b> (and then reconfigured) things</p> <p>The <i>process of change</i> that may occur in the relationships amongst actors (networks), in their attitudes, and/or in the related governance arrangements as consequences of, or in relation to, the implementation of the Social Innovation idea. When the process of change develops until reaching a new situation, the last one is that which is reconfigured.</p>	<p>Transformer(s):</p> <p><i>[D.5. To be filled in by the assistant]</i></p>	<p>%F:</p> <p><i>[D.6]</i></p>	<p>%&lt;40:</p> <p><i>[D.7]</i></p>	<p>%A:</p> <p>%L:</p> <p>%FA:</p> <p>%F:</p> <p>%RD:</p> <p><i>[D.8]</i></p>
<p><b>Project activities</b></p> <p>The <i>activities that are implemented</i> by those involved in the Social Innovation initiative and related process of change (reconfigured situation) in order to deliver a concrete Social Innovation project that implements the initial idea and provides a response to the trigger. The project activities lead to its first results.</p>	<p>Project partners:</p> <p><i>[H.20. To be filled in by the assistant]</i></p> <p>External actors:</p> <p><i>[H.24. To be filled in by the assistant]</i></p>	<p>%F:</p> <p><i>[H.21]</i></p>	<p>%&lt;40:</p> <p><i>[H.22]</i></p>	<p>%A:</p> <p>%L:</p> <p>%FA:</p> <p>%F:</p> <p>%RD:</p> <p><i>[H.23]</i></p>
<p><b>Outputs</b></p> <p>The <i>immediate results of the implementation</i> of the Social Innovation project. They are identifiable, often tangible, and refer to the creation of opportunities for changes in interactions and behaviour. They are typically products and services provided to the direct users of the Social Innovation project, that satisfies their needs.</p>	<p>Direct beneficiaries:</p> <p><i>[H.25. To be filled in by the assistant]</i></p>	<p>%F:</p> <p><i>[H.26]</i></p>	<p>%&lt;40:</p> <p><i>[H.27]</i></p>	<p>%A:</p> <p>%L:</p> <p>%FA:</p> <p>%F:</p> <p>%RD:</p> <p><i>[H.28]</i></p>
<p><b>Outcomes/impacts</b></p> <p><i>The effects of the Social Innovation project.</i> They can be intended or unintended, positive or negative.</p>	<p>Indirect beneficiaries<sup>7</sup>:</p> <p><i>[J.14. To be filled in by the assistant]</i></p>			

<sup>7</sup> Both direct and indirect beneficiaries are affected by outcomes/impacts. However, for the sake of simplicity for the story line activity within the focus group, we ask here to identify only the categories of indirect beneficiaries, as the direct ones have been already identified in relation the outputs.

**SESSION II-b. Social Innovation initiative phases and innovative characteristics** (approximately 30 minutes)

**AIM:** To better specify the Social Innovation initiative phases and its innovative characteristics.

**INSTRUCTIONS:**

1. The moderator puts the storyline poster of the Social Innovation initiative in the centre of a circle of chairs (or on a table), and attaches one big white poster on the wall or board (it will be used for internal notes), and the assistant starts to audio-record.
2. The moderator asks participants to complete the storyline poster, checking that at each stage precise dates and clues (if any and when relevant) are assigned.

*[Social Innovation initiative] Q1. We would like to know when things happened. Do you remember the key phases of your Social Innovation initiative? Would you be able to link them to specific dates, or to clues that may help you to remember them? When did the Social Innovation process and the Social Innovation project start? When did you obtain the first outputs? Were there moments of crisis and how did you overcome them?*

If the terminology is unclear, the moderator provides definitions (first column of the table below) and illustrates the meaning of the various phases and components of a standard Social Innovation initiative through use of examples.

3. The moderator asks participants to provide information on why the initiative can be considered innovative, using the following guiding questions:

*[Innovativeness] Q2. What is the social innovation in your ... [case study name]? Why do you think that your initiative is innovative? Was the idea totally new, or did the Innovator(s) take an existing idea and modified or adapted it to the local context? Were there changes in actor networks, in your attitudes or in the attitudes of your community, or were there changes in the governance arrangements, for example, more collaboration with public authorities? Are your outputs innovative?*

4. Participants report the results of their discussion directly in the storyline horizontal poster: the final result should be understandable even by those who did not participate in the group work. **Assistants** take a picture of the poster at the end of the activity, and **transcribe into Table 11** all the information shared by the participants.

**IMPORTANT NOTE:** the evaluation team are expected to **read the SIMRA evaluation framework** (for more details, see Section 2 of the SIMRA Manual) before starting the data collection in their case study area.

WHAT TO SHOW participants	WHAT <u>NOT</u> TO SHOW participants (internal use: moderator/evaluator and assistants)
<ul style="list-style-type: none"> <li>• “Initiative” horizontal storyline filled in Session I.</li> <li>• A white board can be used to report on the contents of the discussion or to take notes (this is the moderator’s decision).</li> </ul>	<ul style="list-style-type: none"> <li>• The glossary of key terms of SIMRA evaluation of Social Innovation.</li> <li>• The reporting table</li> </ul>

Table 11. Table and codes for reporting key phases of a Social Innovation Initiative

<p><i>REPORTING: Table and codes for MS Excel</i></p> <p><b>Key Phases of a Social Innovation Initiative</b> (For more details, see Section 2 of the SIMRA Manual)</p>	<p><b>Short Description</b></p>	<p><b>Date / Time period</b></p> <p>Was it happening at a specific moment, a day, a short period or a long interval of time?</p>	<p><b>Clue</b></p> <p>E.g. a special meeting, anniversary, agreement upon signing, etc.</p>	<p><b>Innovative Characteristics</b></p> <p>Your initiative may be considered innovative because you...</p>
<p><b>The trigger</b></p> <p>The “<i>spark</i>” that causes the Social Innovation to emerge. An event or situation that is identified with conditions of life that are no longer acceptable (negative), or that bring unexpected opportunities to the area (positive). It can be a single event or an accumulation of events that, after a certain period, generated a reaction (the Social Innovation initiative).</p>	<p><i>Examples: an environmental disaster or pollution of natural resources; the closure of a key service within the local community (school, mail office, market, bar, library, etc.); a donation of funds to the community.</i></p> <p><i>[B.10. To be filled in by the assistant]</i></p>	<p><i>[B.11. To be filled in by the assistant, if the participants remember]</i></p>	<p><i>[B.12. To be filled in by the assistant if relevant and helpful to capture the storyline]</i></p>	
<p><b>The idea of change and inception</b></p> <p>The idea that emerges from one person or a group of a few people (Innovator(s)) to deal with the trigger, and collectively to solve problems/ challenges associated with the trigger.</p>	<p><i>Example: if the trigger is the closure of the public library, the idea can be to create a book exchange service within the community members.</i></p> <p><i>[C.24. To be filled in by the assistant]</i></p>	<p><i>[C.25. To be filled in by the assistant, if the participants remember]</i></p>	<p><i>[C.26. To be filled in by the assistant if relevant and helpful to capture the storyline]</i></p>	<p><b>[...] had a new IDEA</b></p> <p><i>[C.27. To be filled in by the assistant]</i></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Totally new</li> <li><input type="checkbox"/> Modified</li> <li><input type="checkbox"/> Adapted</li> </ul>
<p><b>The agency and the preparatory actions</b></p> <p>The <i>nucleus of actors</i> – with their ideas, values, willingness, and capacity - <i>who start</i> to prepare and act to translate an idea into a change. Initially, the agency can be a single actor, but more typically it is a small group of actors who bring</p>	<p><i>Examples: the Innovator(s) who had the idea of creating the book exchange service and starts to make phone calls to collect technical information and data to check its feasibility; a group of friends who start to meet regularly to figure out how to find resources (people, places) and allocated</i></p>	<p><i>[C.29. To be filled in by the assistant, if the participants remember]</i></p>	<p><i>[C.30. To be filled in by the assistant if relevant and helpful to capture the storyline]</i></p>	

<p>their energy, time, thoughts, and capabilities together and carry out actions that enable a further development and shaping of the original idea</p>	<p><i>operational tasks for the creation of the book exchange service.</i></p> <p><i>[C:28. To be filled in by the assistant]</i></p>			
<p><b>Reconfiguring</b> (and then reconfigured) things</p> <p>The <b>process of change</b> that may occur in the relationships among actors (networks), in their attitudes, and/or in the related governance arrangements as consequences or in relation to the implementation of the Social Innovation idea. When the process of change develops until reaching a new situation, the last is the reconfigured one</p>	<p><i>Examples: the process that leads to the creation of new links amongst actors who are potentially interested in creating a book exchange service who did not know each other before the Social Innovation idea started to be developed; the process of defining a new way for public and private actors to interact and collaborate; the process of stimulating a more collaborative attitude amongst those involved because they trust each other.</i></p> <p><i>[D.9. To be filled in by the assistant]</i></p>	<p><i>[D.10. To be filled in by the assistant, if the participants remember]</i></p>	<p><i>[D.11. To be filled in by the assistant if relevant and helpful to capture the storyline]</i></p>	<p><b>[...] reconfigured a new NETWORK</b> <i>[E.9. To be filled in by the assistant]</i></p> <p><b>[...] reconfigured a new ATTITUDE</b> <i>[F.7. To be filled in by the assistant]</i></p> <p><b>[...] reconfigured a new GOVERNANCE ARRANGEMENT</b> <i>[G.14. To be filled in by assistant]</i></p>
<p><b>Project activities</b></p> <p>The <b>activities that are implemented</b> by those involved in the Social Innovation initiative and related process of change (reconfigured situation) in order to implement a concrete Social Innovation project that implements the initial idea and provides an answer to the trigger. The project activities lead to the first results.</p>	<p><i>Example: to develop a new app that enables the exchanging of the books, to know where they are physically, to keep track of the different passages of the books between the book exchangers.</i></p> <p><i>[H.29. To be filled in by the assistant]</i></p>	<p><i>[H.30. To be filled in by the assistant, if the participants remember]</i></p>	<p><i>[H.31. To be filled in by the assistant if relevant and helpful to capture the storyline]</i></p>	
<p><b>Outputs</b></p> <p>The <b>immediate results of the implementation</b> of the Social Innovation project. They are identifiable, often tangible, and refer to the creation of opportunities for changes in interactions and behaviour. They are typically products and services provided to the direct users of the Social Innovation project, that satisfies their needs.</p>	<p><i>Example: the books that are made available for the exchange; the online catalogue of books that all users can access to verify the availability of books and their current status.</i></p> <p><i>[H.32. To be filled in by the assistant]</i></p>	<p><i>[H.33. To be filled in by the assistant, if the participants remember]</i></p>	<p><i>[H.34. To be filled in by the assistant if relevant and helpful to capture the storyline]</i></p>	<p><b>[...] developed new PRODUCTS</b> <i>[H.35. To be filled in by the assistant]</i></p> <p><b>[...] developed new SERVICES</b> <i>[H.36. To be filled in by the assistant]</i></p>

<p><b>Outcomes/impacts</b></p> <p><i>The effects of the Social Innovation project.</i> They can be intended or unintended, positive or negative.</p>	<p><i>Example: improved and richer access to cultural assets for those who join the book exchange community. In the long-term, the community can become larger thus positively impacting on society (more culture and related social networks in a rural area without a library).</i></p> <p>[J.15. To be filled in by the assistant]</p>	<p>[J.16. To be filled in by the assistant]</p>	<p>[J.17. To be filled in by the assistant]</p>	
<p><b>Learning processes and critical effects</b></p> <p>The non-linear processes that characterise policy and institutional <b>responses and changes to the Social Innovation initiative</b>. They typically occur after the Social Innovation is implemented/consolidated in a site. They might include <i>mainstreaming</i> (the Social Innovation becomes a ‘normality’), <i>upscaling</i> (the Social Innovation has had impacts at higher scale, e.g. on national policies or into a broader system) and <i>outscaling</i> (the Social Innovation has been replicated in different locations, adapted and/or aggregated into a body of similar initiatives at higher scales). Moreover, any Social Innovation initiatives can have effects at the expense of another area (displacement) or organisations/people (substitution).</p>	<p><i>Examples: the book exchange service created in the community X is replicated in communities Y and Z; the book exchange services have such positive effects at local level in the interested communities that regional or national politicians decide to support the creation of other book exchange services in other places by developing a new law facilitating the establishment of such services. However, the book exchange services have unexpected negative impacts on the village book shops, selling fewer books.</i></p> <p>[J.18. To be filled in by the assistant]</p>	<p>[J.19. To be filled in by the assistant, if the participants remember]</p>	<p>[J.20. To be filled in by the assistant if relevant and helpful to capture the storyline]</p>	
<p><b>Crisis phases</b></p> <p>The moments when the Social Innovation actors thought things might not have happened as they wanted. The <b>difficulties and challenges</b> they faced during the whole Social Innovation initiative, i.e. bottlenecks and obstacles, which they have been able to overcome.</p>	<p><i>Example: to get authorisation to start the book exchange services took 9 months instead of the 1 planned; the motivation of partners decreased and some of them left the project.</i></p> <p>[J.21. To be filled in by the assistant]</p>	<p>[J.22. To be filled in by the assistant, if the participants remember]</p>	<p>[J.23. To be filled in by the assistant if relevant and helpful to capture the storyline]</p>	

## SESSION II-c. The context of the Social Innovation initiative (approximately 30 minutes)

**AIM:** To understand the context of where the Social Innovation initiative was born and list the characteristics of the area that are considered problematic. A basic assumption is that the Social Innovation initiative happens in a (marginalised) rural area<sup>8</sup>

### INSTRUCTIONS:

1. The moderator puts the storyline poster of the Social Innovation initiative in the centre of a circle of chairs (or on a table), and they hang up a pre-drawn poster to the wall. The poster is pre-prepared containing three columns, titled respectively “Physical geography constraints”, “Infrastructural access limitations”, and “Problematic social and economic conditions”. The assistant starts to audio-record.

2. First, the moderator asks participants to complete the storyline poster checking that at each stage precise dates and clues (if any and when relevant) are assigned.

*[Context] What was the context surrounding you when the Social Innovation initiative started? What events have been significant? What was the reaction of the community and of the public institutions? What were the constraining factors?*

If the terminology is unclear, the moderator provides definitions (first column of the table below) and illustrates the meaning of the various phases and components of a standard Social Innovation initiative through the use of examples.

3. Then the moderator asks participants to focus on three aspects of the context: 1) its administrative boundaries; 2) the elements which have been an opportunity; and 3) those which have been a threat to the idea developing. The moderator can use the following guiding questions:

*[Boundaries] Q1. In which territory does the Social Innovation initiative take place? Are there any administrative or geographic boundaries?*

*[Opportunities] Q2. What elements of the context have been an opportunity for development of the idea?*

*[Threats] Q3. What elements of the context have been a threat to the development of the idea?*

4. Finally, focusing on the threats, the moderator asks participants to provide a generic overview of the context, and to write on the pre-prepared poster the “Physical geography constraints”, “Infrastructural access limitations”, and “Problematic social and economic conditions” of the area in which the Social Innovation initiative takes place. Guiding questions are:

*Q4. At the beginning of the Social Innovation initiative, what were the main aspects/elements which were indications of problems relating to: a) the physical geography of the area/territory (e.g. mountainous, limited connectivity as islands, aridity), b) the access to infrastructure (e.g. limited internet access from home, low density of roads), and c) the social and/or economic conditions (e.g. low GDP per capita, low income population, people at risk of social exclusion, high infant mortality, high proportion of early leavers from education and training, lack of services such as schools, banks, hospitals, libraries, post offices, public transports, etc.)?*

**IMPORTANT NOTE 1:** The moderator should use the examples in brackets to stimulate the discussion only if necessary, to avoid risks of bias, and adapt as much as possible the examples to the local conditions/context.

---

<sup>8</sup> Defined on the basis of the Eurostat population density and changes in population density.

5. Participants should report the results of their discussion directly into the storyline horizontal poster and in the pre-prepared poster. The final result should be understandable even by those who did not participate in the group work. **Assistants should** take a picture of the posters at the end of the activity, and **transcribe into the table below** all of the information shared by the participants.

**IMPORTANT NOTE 2:** the evaluation team are expected to **read the SIMRA evaluation framework** (for more details, see Section 2 of the SIMRA Manual), and **the glossary**, before starting the data collection in their case study area. They should also read the document Price *et al.* (2017), Deliverable D3.1 The categorization of marginalised rural areas, before starting this activity.

WHAT TO SHOW participants	WHAT <u>NOT</u> TO SHOW participants (internal use: moderator/evaluator and assistants)
<ul style="list-style-type: none"> <li>• “Context” horizontal storyline filled in Session I.</li> <li>• The pre-prepared poster.</li> </ul>	<ul style="list-style-type: none"> <li>• The glossary of key terms of SIMRA evaluation of Social Innovation.</li> <li>• The reporting table</li> </ul>

Table 12. Key phases of any Social Innovation initiative

<i>REPORTING: Table and codes for MS Excel</i>	Short description
<p><b>Key phases of any Social Innovation initiative</b> (For more details, see Chapter 2 of the SIMRA Manual)</p>	
<p>The context <b>boundaries</b> ...</p>	<p>In which territory does the Social Innovation initiative take place? (Define the administrative boundaries)  <i>[B.13. To be filled in by the assistant]</i></p>
<p>The context <b>opportunities</b> ...</p>	<p><i>Examples: a law, a new infrastructure, etc.</i> <i>[B.14. To be filled in by the assistant]</i></p>
<p>The context <b>threats</b> ...</p>	<p><i>Example: youth migration out of the area, a new major that limits the idea developing, etc.</i> <i>[B.15. To be filled in by the assistant]</i></p>

Example of pre-prepared poster to show to participants.

Elements/aspects of physical geography constraints	Elements/aspects of infrastructural access limitations	Elements/aspects of problematic social and economic conditions
<i>[To be filled in by the assistant respecting the ranking which emerged during the discussion, if any]</i>	<i>[To be filled in by the assistant respecting the ranking which emerged during the discussion, if any]</i>	<i>[To be filled in by the assistant respecting the ranking which emerged during the discussion, if any]</i>

**Note:** the elements will be used in Session IV.

### SESSION III. Conclusive sharing of results (approximately 15 to 20 minutes)

**AIM:** To share the results from the sub-groups and to provide an opportunity to hybridize them.

**INSTRUCTIONS:**

1. All of the final material produced by the sub-groups is hung on the walls of the room.
2. At least one person per group (and one assistant) remains to preside over the poster of their sub-group, while the remaining participants are invited to walk around discussing the results reported on the other posters. If changes or additions are proposed to what is reported on the posters of the sub-groups, they should be noted using a marker of a different colour than those used previously.
3. The atmosphere remains informal until the end of the meeting, so when the time dedicated to this session comes to an end, the moderator kindly invites the participants to close the session. If someone wants to stay more, to read the posters, or to discuss with other participants, they are free to do so.
4. At the end of the meeting, the moderator and assistants take a photograph of the posters and take them away with them.

## Second part – Focus Group

### Introduction to the technique

A Focus Group is an “in-depth” interview with a small group of individuals (between six and twelve) who share common interests or characteristics. Selected participants share a common level of knowledge of the Social Innovation initiative and the specific case study. A skilled moderator facilitates discussion to obtain group opinions rather than individual responses.

During the discussion, participants are given space to express themselves freely, while being encouraged to stay on topic. Focus Groups allow participants to express their opinions and knowledge, but the final output is based on the opinion of the group as a whole. The format is flexible. The moderator intervenes rarely with a few prepared key questions and takes notes by using tools, such as pens, paper and sticky notes, hanging posters, audio recording and highlighters. The session is recorded, while one or more assistants take notes on the content of the discussion and interaction.

The Focus Group is divided into two sessions (Session IV and Session V), and overall will last for approximately 90 minutes.

### Who participates?

#### *The key informants*

The second part of Tool 2 focuses on impacts, so participants should have a wider vision of the Social Innovation initiative.

They can be representatives of the Social Innovation initiative (e.g. Innovator(s), Project Manager, donor), of the area (e.g. local association), policy-makers (e.g. local authority), or external actor with deep knowledge of the Social Innovation initiative.

The key informants who are invited to participate in the Focus Group are identified by means of **Tool 1**, by using the list “Name Grid Generator” prepared in advance by the evaluator, or after the first part of Tool 2. A convenience sampling approach will be used for this step. From 6 to 12 local stakeholders knowledgeable about the Social Innovation initiative will be invited to participate.

They can be: a) Internal representatives of the Social Innovation initiative, including the main Innovator(s) (compulsory if known beforehand), the Follower(s) (compulsory if existing), and the project partners (recommended if existing); b) Local policy makers; c) External key informants and experts with knowledge on the initiative.

#### *The moderator*

Often the moderator is the evaluator. They ...

1. may choose to contract a specific facilitator if they do not have skills in facilitation and/or the evaluator has a stake or somehow participates in the Social Innovation initiative, and/or the Social Innovation initiative is large and complex. This may require additional financial resources.
2. are neutral during the discussion, by listening to the key informants and thinking quickly, in order to be prepared to tackle unexpected situations!
3. create opportunities for everyone to talk and express their opinions, asking non-leading questions such as *‘Does anyone have different views or opinions?’*

4. avoid commenting and making judgements. They act as a non-expert and ask for concrete examples when something is not clear; they use a tone consistent with learning ('Ah, this is interesting ... Could you provide an example?')

5. control the all of the actors participate and gently interrupt, when required, to address issues caused by the presence of dominant participants, or to encourage the participation of those less active in the discussion.

6. are friendly and smiling, but determined. They should not talk too much but should intervene if controversies arise. They monitor the time, speeding up the discussion (when necessary), to prevent the risk of prolonged and exhausting sessions. **The assistant(s)**

1. One assistant is required, two or more are suggested to better support the moderator<sup>9</sup>.

They ...

2. take notes of the contents of the discussion and observe the dynamics of the interactions among participants during the Focus Group (e.g. noting body language and situations of potential conflicts ).

3. are silent observers and do not intrude in the discussion. They help the moderator with logistics.

4. take pictures of key moments of the Focus Group and of posters used during the discussion, at the end of the session.

### **Focus group preparation**

**Remember: Planning and properly organised logistics are crucial for success!**

1. Please select a proper location for the Focus Group. It should be "neutral" for all of the key informants to encourage the free expression of opinions. The location should be easy to find and reachable. A map and clear instructions for travelling to the venue should be sent to the participants ahead of time.

2. Participants should face each other, with or without the presence of a table in the middle. The moderator directs assistants to arrange the furniture in the room (e.g. chairs, table, boards, etc.).

3. Ensure the absence of disruptive background noises as much as possible (e.g. check in advance whether construction work is planned when the focus group is scheduled and consider re-scheduling the meeting if this is the case).

4. Prepare all of the materials required before the arrival of the key informants. Bring the list of participants, list, pens, markers, paper, sticky notes, audio or video-recording equipment, extra batteries, tripod, posters, tape, and flipchart. Details are provided in the relevant section of this document if special material is required for any of the sessions. Prepare printed copies of the consent form to ask the permission of participants to allow the use of voice recording.

5. Ensure availability of spaces and services for a coffee break, then organise it accordingly.

#### **Recommended references on the Focus Group technique.**

Dürrenberger, G. Focus Groups in Integrated Assessment: A manual for a participatory tool. ULYSSES Working Paper WP-97-2.

Einsiedel, A., Brown L. and Ross, F. (1996). How to Conduct Focus Groups: A Guide for Adult and Continuing Education Managers and Trainers. University of Saskatchewan: University Extension Press.

Gearin, E. and Kahle, C. (2001). Focus Group Methodology Review and Implementation.

Morgan, D.L. (1996). Focus Groups. *Annual Review of Sociology*. Vol. 22:129-152.

---

<sup>9</sup> One assistant is required with a Focus Group comprising fewer than 6 participants.

## Welcoming participants to the Focus Group (estimated time 15 minutes)

**AIM:** To introduce and explain the “rules of the game” for the Focus Group and to share the results of the first part for those who did not participate.

### **INSTRUCTIONS:**

1. Prepare a desk at the entrance of the room where the Focus Group will take place. An assistant warmly welcomes participants and registers them individually.

2. When all participants have arrived, but no later than 10 minutes after the scheduled starting time, the moderator greets the participants, introduces themselves and the assistants, shares preliminary information on SIMRA (e.g. the SIMRA definition for Social Innovation) and introduces the topic and organization of activities. Moreover, they explain that the case study has been selected and will be analysed as an example of social innovation according to the SIMRA definition.

3. The moderator alerts the audience to the plan to audio-record the meeting<sup>10</sup>, and asks participants to sign a consent form to allow the use of the material for the evaluation. As written in the consent form, the moderator specifies that only the evaluator can use the audio recording and that no specific names will be used in the final report.

4. The moderator sets out the “rules of the game” by explaining that:

- Everyone is kindly required to express his/her opinions concisely
- The dialogue is informal and friendly
- Participants should speak one at a time
- Each opinion is important
- The assistant(s) and moderator are there to learn from the participants
- Nobody is judged.

5. The moderator asks participants to introduce themselves (quickly) and their role within the Social Innovation initiative (maximum 30 seconds/1 minute per person, according to the number of participants).

6. If a participant arrives late, the assistants help them to their chair. At the end of the session the moderator clarifies information if required. Long waiting times should be avoided to prevent nervousness of the participants.

7. The moderator explains that the topic of this group workshop is focused on the effects of the Social Innovation initiative in the territory. To help participants understand the topic of discussion and to break the ice, the moderator can ask:

*Q1. What are the activities of your Social Innovation initiative? Q2. Which are your main outputs (products and/or services)?*

*Ok, now we are going to focus on outcomes and impacts, which are not immediate (and often not tangible) results of the implementation of the Social Innovation project. These impacts could be either positive or negative.*

---

<sup>10</sup> The recording material should be used, if needed, by the evaluator to check the notes taken during the meeting.

**SESSION IV. Impacts on the problematic elements of the area** (estimated time 15 to 30 minutes)

**AIM:** To identify and rank the elements of the area that are considered problematic, and how they may have changed due to the Social Innovation initiative. A basic assumption is that the Social Innovation initiative happens in a (marginalised) rural area<sup>11</sup>.

**INSTRUCTIONS:**

1. The moderator hangs up a pre-prepared poster on the wall with the results of Session II-c (it can be the same poster if the content is understandable) and prepare chairs in a semi-circle, in front of the poster. On the poster there are three columns, titled respectively “Physical geography constraints”, “Infrastructural access limitations”, and “Problematic social and economic conditions”, and the results from the future search conference.

2. Participants are invited to read the problematic elements of the area and to discuss if they agree with those identified. Those elements about which there is shared disagreement are deleted. If any element is unclear, the moderator asks for clarification and examples. Participants can add new elements to the table. The opening question is:

*Q1. At the beginning of the Social Innovation initiative, what were the main aspects/elements which were indications of problems relating to: a) the physical geography of the area/territory (e.g. mountainous, limited connectivity as islands, aridity), b) the access to infrastructure (e.g. limited internet access from home, low density of roads), and c) the social and/or economic conditions (e.g. low GDP per capita, low income population, people at risk of social exclusion, high infant mortality, high proportion of early leavers from education and training, lack of services such as schools, banks, hospitals, libraries, post offices, public transports, etc.)?*

**IMPORTANT NOTE 1:** The moderator should use the examples in brackets to stimulate the discussion only if necessary, to avoid risks of bias, and adapt as much as possible the examples to the local conditions/context.

3. The moderator completes the session by asking if
- the work of the Social Innovation initiative has dealt in some way with these problematic elements of the territory. Participants discuss freely, element by element, and the moderator attaches a blue dot next to each element considered to have been improved.
  - some of the problems of the territory/area have improved and how in recent years. Participants discuss freely element by element, and the moderator attaches a green dot next to each element considered to have been improved.

4. Assistants take a picture of the final poster and place their notes directly into the reporting table.

**IMPORTANT NOTE 2:** the evaluation team are expected to **read the SIMRA evaluation framework** (for more details, see Section 2 of the SIMRA Manual), before starting with the data collection in their case study area. They should also read the document Price *et al.* (2017), Deliverable D3.1 the categorization of marginalised rural areas before starting this activity.

WHAT TO SHOW participants	WHAT <u>NOT</u> TO SHOW participants (internal use: moderator/evaluator and assistants)
A pre-prepared poster (with results from Session II-c) divided into 3 columns	The reporting table

<sup>11</sup> Defined on the basis of the Eurostat population density and changes in population density.

**REPORTING: Table and codes for MS Excel**

*Table 13. Marginalisation problems dealt with by the Social Innovation Initiative.*

Categories	Problematic Elements/ Aspects of the Territory	Elements Dealt With by the Social Innovation Initiative		Improvement in Recent Years	
		Deals with?	Notes	Improved?	Notes
Physical geography constraints	[B.16.1]	<input type="checkbox"/> [B.16.2]		<input type="checkbox"/> [B.16.3]	
	[B.17.1]	<input type="checkbox"/> [B.17.2]		<input type="checkbox"/> [B.17.3]	
	[B.18.1]	<input type="checkbox"/> [B.18.2]		<input type="checkbox"/> [B.18.3]	
Infrastructural access limitations	[B.19.1]	<input type="checkbox"/> [B.19.2]		<input type="checkbox"/> [B.19.3]	
	[B.20.1]	<input type="checkbox"/> [B.20.2]		<input type="checkbox"/> [B.20.3]	
	[B.21.1]	<input type="checkbox"/> [B.21.2]		<input type="checkbox"/> [B.21.3]	
Social and economic condition	[B.22.1]	<input type="checkbox"/> [B.22.2]		<input type="checkbox"/> [B.22.3]	
	[B.23.1]	<input type="checkbox"/> [B.23.2]		<input type="checkbox"/> [B.23.3]	
	[B.24.1]	<input type="checkbox"/> [B.24.2]		<input type="checkbox"/> [B.24.3]	

**SESSION V. Screening the impacts of the Social Innovation initiative** (estimated time 30 to 60 minutes)

**AIM:** To screen the impacts of the Social Innovation initiative.

**INSTRUCTIONS:**

1. The moderator and assistants create a new environment, by removing the chairs and asking participants to stand up around the table. The session is divided into two parts. For the second part, participants will sit again in a semi-circle as in session IV.

2. Different materials are prepared for this session:

- A.1) Paper strips reporting the **elements** on which the Social Innovation initiative might have had (or is still having) negative or positive impacts (from the “List of elements for the FIRST QUESTION”); each paper strip includes one element; the strips are divided and differently coloured by domain (environmental, economic, social and institutional/governance). Please pay attention when printing the elements. They should be in a **font format large enough to enable the participants to clearly read them by standing around the table**. The evaluator can add elements to the list if they are considered to be relevant to the context using the “table only for evaluator”. The evaluator can also decide to choose the “extended version” or the “simplified version” of the elements, according to their experience, the context or the knowledge of participants.

- A.2) a pre-drawn poster with 5 columns titled “Strongly negative”, “Slightly negative”, “No impacts”, “Slightly positive”, “Strongly positive” (“Diagram for the FIRST QUESTION”);

- B) a pre-drawn poster (A2 size) reporting the table for the SECOND QUESTION (“Scores table for the SECOND QUESTION”). A table containing explanations for assistants is included, with the scoring criteria for defining ‘significant aspects’.

3. The moderator puts on the table the paper strips divided in bunches by domain (and thus by colour).

4. The FIRST QUESTION deals with impacts. Participants, who stand up around the table, have to find consensus by **dividing the paper strips, domain by domain, into 3 groups**. One group with the items on which the Social Innovation initiative had (or is having) **negative** impacts, one group with the items on which the Social Innovation initiative had (or is having) **positive** impacts, and one group with the items on which the Social Innovation initiative had (or is having) **no impacts**. When the activity ends, the moderator puts together, on the table, all of the elements of all the domains, keeping them divided into the 3 groups of impact (positive, negative and no impact).

5. The moderator completes the FIRST QUESTION activity by showing participants the group of elements with negative impacts and asking them **to select a maximum of 4 elements on which they think the Social Innovation initiative had (or is having) the greatest negative impacts**. The 4 elements can belong to the same domain (e.g. all social) or to different domains (e.g. 2 economic and 2 environmental). All the other elements are considered those on which the Social Innovation initiative had (or is having) only slightly negative impacts. The same is done with the group of **elements (maximum 4) with the greatest (and slightly) positive impacts**. In practice, the result of this activity is the creation of 5 groups of elements as reported in the “Diagram for the FIRST QUESTION” (which can be reported in a pre-drawn poster).

6. The moderator completes the session (and the Focus Group) with the SECOND QUESTION, which is based on the results of the activities carried out for the FIRST QUESTION. The moderator invites the Focus Group participants to sit in front of the wall with the pre-drawn poster for this last part.

7. The moderator asks the Focus Group participants **to discuss the 8 selected greatest elements (4 negative and 4 positive)** through the criteria shown in the table. The pre-drawn score poster with the table for the SECOND QUESTION is on the wall; each paper strip is attached on it.

WHAT TO SHOW to participants?	WHAT <u>NOT</u> TO SHOW to participants? (internal use: by moderator and assistants)
<ul style="list-style-type: none"> <li>• Paper strips reporting the elements on which the Social Innovation initiative had or is having negative or positive impacts (based on the list reported below – LARGE FONTS HAVE TO BE USED to allow the participants to clearly read through of them by standing around the table desk).</li> <li>• The pre-drawn poster with the diagram with the classification of the elements with the greatest negative and positive, slightly negative and positive and without impacts.</li> <li>• The pre-drawn poster with the simplified scoring criteria to identify 'significant impacts'.</li> </ul>	<ul style="list-style-type: none"> <li>• The full table with the list of components and elements on which the Social Innovation initiative has had or is having impacts, divided by domain (environmental, economic, social and institutional/governance).</li> <li>• The summary scoring table for assistants.</li> <li>• The complete scoring criteria table for clarification.</li> </ul>

### FIRST QUESTION – Positive and negative impacts

**Guiding question A1:** *With respect to the initial conditions of the area, what are the environmental, economic, social and institutional/governance issues that the Social Innovation initiative impacted, or still impact? Think about both negative and positive impacts.*

The list of elements for FIRST QUESTION (extended version), grouped by domain is provided in Table 14.

Table 14. List of elements for FIRST QUESTION (extended version), divided by domain

<b>N.</b>	<b>Environmental elements (10 in total)</b>
1	Pollutant emissions to air (e.g. Green House Gases, PM10)
2	Carbon sequestration
3	Water (e.g. consumption, quality)
4	Landscape and ecosystems
5	Raw materials (e.g. wood, feedstock, fish)
6	Energy (e.g. consumption, percentage of renewable sources)
7	Biodiversity (e.g. animal and plant species, habitats, protected areas, genetic resources)
8	Soil (e.g. fertility, erosion, landslide stability)
9	Waste and/or effluents
10	Noise or other types of disturbances (e.g. light pollution)
	Other (to be identified by the evaluator): _____
<b>N.</b>	<b>Economic elements (9 in total)</b>
1	Household income
2	Investments on infrastructure that affects the community
3	Investments on economic and social initiatives in the community
4	Investments in research, experiments and innovation that increase knowledge
5	Value added produced by the production, transformation and commercialization chain ( <i>filère</i> )
6	Access to credit and insurance
7	Wages of employees and workers
8	Employment opportunities and quality
9	Labour conditions in the sector in the territory
	Other (to be identified by the evaluator): _____

<b>N.</b>	<b>Social elements (13 in total)</b>
1	Life satisfaction and happiness
2	Solidarity and mutual trust among the members of the community
3	Civic engagement
4	Safety and security of community members
5	Food security
6	Access to quality education for children and youths
7	Options for life-long learning of adults
8	Housing
9	Welfare and social expenditure
10	Gender balance
11	People at risk of poverty and social exclusion, vulnerable groups (e.g. elderly people, disabled people, migrants/refugees, etc.)
12	Health conditions and well-being of the members of the community
13	Key services (e.g. access to and quality of health care services, post offices, public transports, schools, banks, libraries, etc.)
	Other (to be identified by the evaluator): _____
<b>N.</b>	<b>Institutional elements (10 in total)</b>
1	Relations among public actors, businesses and civil society.
2	Stakeholders empowerment and representativeness in decision-making process.
3	Capability of public administrations to manage collaboration, dialogue and/or conflicts.
4	Capability of the community and public administrations to adapt to crises and disturbances.
5	Coherence of local policies and actions with international and national policies and actions.
6	Legality
7	Transparency and open access to data, knowledge sharing
8	Accountability of both private and public organisations
9	Trust in public institutions
10	Professional capability of public officials and administrations
	Other (to be identified by the evaluator): _____

The list of elements for the FIRST QUESTION (simplified version), divided by domain is provided in Table 15.

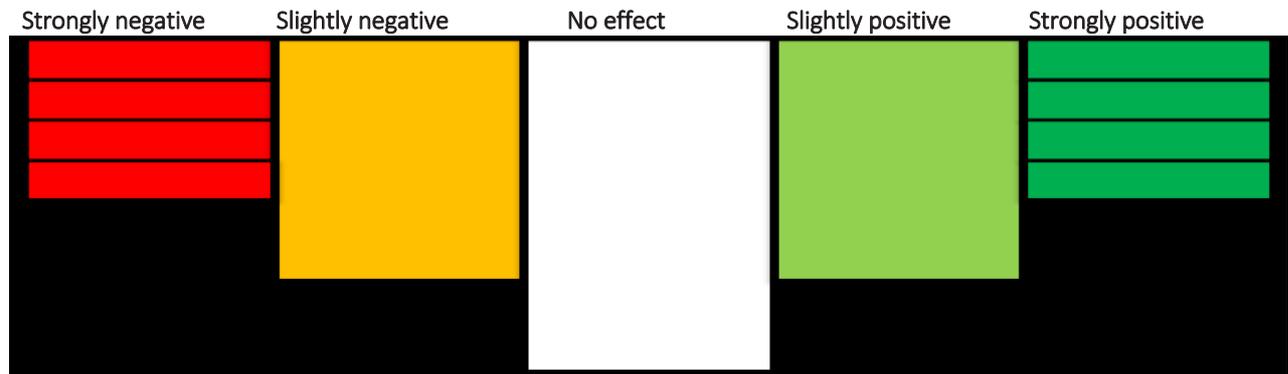
*Table 15. List of elements for the FIRST QUESTION (simplified version), divided by domain.*

<b>Environmental elements (10 in total)</b>	<b>Economic elements (10 in total)</b>	<b>Social elements (10 in total)</b>	<b>Institutional elements (10 in total)</b>
Emissions to air	Income	Life satisfaction	Market-state-community relations
Carbon sequestration	Investments	Solidarity	Stakeholder empowerment
Water	Research and innovation	Mutual trust	Institutional trust
Ecosystems	Economic networks	Safety and security	Adaptation capacity
Landscape	Added value	Education	Capability of public administrations
Soil	Access to credit	Health conditions	Legality
Energy	Wages	Wellbeing of vulnerable groups	Transparency and accountability
Waste	Labour conditions	Key services	Professional capability
Raw materials	Employment opportunities	Civic engagement	Open access to data
Genetic resources	Funders, donors	Social inclusiveness	Coherence

**Guiding question A2:** Among the items that you just identified as having been impacted negatively/positively by the Social Innovation initiative, what are the 4 with the greatest negative and the 4 with the greatest positive impacts?

Please keep in mind that you can select maximum 4 per type (maximum 8 in total). Mark them in the left (negative) and right (positive) column of the diagram.

Diagram for FIRST QUESTION:



REPORTING: Table and codes for MS Excel

[J.24. Insert the number of Strongly negative effects]  _ _	[J.25. Insert the number of Slightly negative effects]  _ _	[J.26. Insert the number of no effects]  _ _	[J.27. Insert the number of Slightly positive effects]  _ _	[J.28. Insert the number of Strongly positive effects]  _ _
--	--	---	--	--

**SECOND QUESTION – Screening of the most important impacts (‘significant impacts’)**

**Guiding question B:** “Think about the activities carried out in your Social Innovation initiative and the impacts on the environment/economy/society-community/institutions that are linked to these activities.

On a scale from 0 (null) to 4 (very high), what was the level of control that the Social Innovation initiative had on the 8 greatest impacts? What was the sensitivity of the local context with respect to the impact? What was the frequency of the activities of the Social Innovation initiative determining impacts? What was the significance of the impact?”

**Note 1:** The reflection has to be done on each of the elements identified by means of the FIRST QUESTION.

**Note 2:** The number of elements can be less than 8.

**Note 3:** The following table (pre-printed in a poster) will be used for group discussion (a similar table with an extensive explanation is available for further clarification/understanding by the moderator at the end of the document). Participants collocate the paper strings on the agreed cells specifying if the elements are related to negative or positive impacts (the moderator can report a “+” on the strips related to positive and a “-” on those related to negative).

The scores to be used in the reporting are provided in Table 16.

Table 16. Scores table to be provided in a poster for the SECOND QUESTION

Criterion <i>[first column can be NOT included in the poster]</i>	Guiding Questions	Scoring				
		0	1	2	3	4
<b>1. Capability of the Social Innovation to keep the impact under direct control</b>	<b>1. To what extent you could change the impacts</b> by directly changing e.g. practices or behaviours of those involved in your Social Innovation initiative?	0 Not at all	1 A few	2 Somehow	3 A lot	4 All
<b>2. Frequency of the activities determining the impacts</b>	<b>2. How often</b> your Social Innovation initiative does these activities?	0 Never	1 Rarely	2 Time by time	3 Frequently	4 Continuously
<b>3. Magnitude (intensity) of the impact</b>	<b>3.1 How large is the portion of territory</b> affected by the impacts of your Social Innovation initiative?	0 Punctual	1 More than one site	2 Quite large	3 Large	4 The whole territory
	<b>3.2 How long do the impacts last?</b>	0 Immediate	1 Temporary	2 For a while	3 For a long time	4 Forever
<b>4. Sensitivity of the local community to the impact</b>	<b>4.1 How much the local community depends on natural resources</b> that are affected by the impacts of the Social Innovation initiative? How much is the <b>cultural heritage</b> at risk due to the Social Innovation initiative?	0 Not at all	1 Not too much	2 Quite a lot	3 A lot	4 Totally
	<b>4.2 How well the local community accepted</b> the Social Innovation initiative and the impacts it determines? There are conflicts related to it?	0 No conflicts (fully accepted)	1 Accepted by most of the community	2 Not yet fully accepted by most	3 Latent conflict	4 Visible conflict (not accepted at all)

At the end of the exercise, the assistants and moderator summarize the group discussion in Table 17.

Table 17. Summary scores table for the SECOND QUESTION - **REPORTING: Table and codes for MS Excel:**

Top 4 Negative/ Positive Impacts	1. Control of the Impact [0-4]	2. Frequency of the Impact [0-4]	3. Magnitude of the Impact ([0-4]+[0-4])/2	4. Local Context Sensitivity ([0-4]+[0-4])/2	Notes (e.g. description of the effect)
Negative Impacts					
[J.29] _____	[J.29.1]	[J.29.2]	[J.29.3]	[J.29.4]	
[J.30] _____	[J.30.1]	[J.30.2]	[J.30.3]	[J.30.4]	
[J.31] _____	[J.31.1]	[J.31.2]	[J.31.3]	[J.31.4]	
[J.32] _____	[J.32.1]	[J.32.2]	[J.32.3]	[J.32.4]	

Positive Impacts					
[J.33]_____	[J.33.1]	[J.33.2]	[J.33.3]	[J.33.4]	
[J.34]_____	[J.34.1]	[J.34.2]	[J.34.3]	[J.34.4]	
[J.35]_____	[J.35.1]	[J.35.2]	[J.35.3]	[J.35.4]	
[J.36]_____	[J.36.1]	[J.36.2]	[J.36.3]	[J.36.4]	

TABLE ONLY FOR MODERATOR -

Table 18 contains the scoring criteria for defining ‘significant aspects’ (with ‘significant impacts’) in the SIMRA case studies. It is used only by the moderator/evaluator for their information.

*Table 18. Score criteria for defining significant aspects in the SIMRA case studies.*

Criterion	Scoring				
	NULL (Score = 0)	LOW (Score = 1)	MODERATE (Score = 2)	HIGH (Score = 3)	VERY HIGH (Score = 4)
<b>1. Capacity to keep the impact under direct control</b>	The Social Innovation initiative has <b>no</b> direct control of the impact.	The Social Innovation initiative has no or <b>limited</b> direct control on the impact.	The Social Innovation initiative has <b>moderate</b> direct control of the impact.	The Social Innovation initiative has <b>good</b> direct control of the impact.	The Social Innovation initiative has <b>total</b> direct control of the impact.
<b>2. Frequency</b> of the activities and related impacts	The activities are <b>not provided</b> by the Social Innovation initiative.	The activities are <b>not frequently</b> provided by the Social Innovation initiative.	The activities are <b>frequently, but not regularly provided</b> by the Social Innovation initiative.	The activities are <b>regularly provided</b> by the Social Innovation initiative, with a high frequency.	The activities are <b>provided continuously</b> , as they are the core business of the Social Innovation.
<b>3. Magnitude (intensity)</b> of the impact	The Social Innovation initiative does <b>not</b> have any impact*.	The Social Innovation initiative has <b>low</b> intensity (e.g. the impacts are punctual, they last for a short time and their effects are reversible over the short term)**	The Social Innovation initiative has <b>moderate</b> intensity (e.g. they affect more than one site, the impacts last for a while and their effects are reversible but only in the medium term)	The Social Innovation initiative has <b>high</b> intensity (e.g. they affect a large portion of the territory, a high number of people, and their effects are reversible only over the long term)	The Social Innovation initiative has an <b>extremely high</b> intensity (e.g. they affect a high portion of the territory and/or the whole community, and their effects are irreversible over the long-term).
<b>4. Sensitivity of the local context</b>	The local context is <b>not</b> susceptible to the Social Innovation initiative (e.g. the local community fully accept it and	The local context is <b>low</b> susceptible to the Social Innovation initiative (e.g. only one	The local context is <b>moderately</b> susceptible to the Social Innovation initiative (e.g. one or more natural resources or key	The local context is <b>highly</b> susceptible to the Social Innovation initiative (e.g. highly protected habitats or	The local context is <b>extremely</b> susceptible to the Social Innovation initiative (e.g.

	natural resources/cultural heritage are not affected).	minor natural resource is affected, and the majority of the community accept it).	resources are affected and the community has not yet fully accepted the Social Innovation).	cultural heritage are affected by the Social Innovation, there is a latent conflict between the Social Innovation and the rest of the community).	it totally depends on the key resource affected by the Social Innovation, cultural heritage is at risk, there is an ongoing and visible conflict in relation to the Social Innovation initiative)
--	--	---	---	---	---

Notes \* and \*\*: they should not apply to the exercise of scoring exercise, as the elements have been identified previously as those having the greatest impacts (positive or negative). However, the criteria are reported for completeness of understanding by the moderator/evaluator.

#### TABLE ONLY FOR THE EVALUATOR -

The following tables (Table 19 to 22) can be used by the moderator to provide the participants with examples and specifications, if required, and by the evaluator to create new elements to be included in the list for the first question.

*Table 19. List of elements for the FIRST QUESTION - Environmental*

Components	Elements on which the Social Innovation initiative has had or is having an impact [to be reported on paper strips]	Examples, specifications (if needed) [to be used by the moderator to help the participants to understand the element]
Climate change	Green House Gas (GHG) emissions	<ul style="list-style-type: none"> <li>Emissions of CO2</li> <li>Emissions of methane</li> <li>Emissions of other GHG</li> </ul>
	Carbon sequestration	<ul style="list-style-type: none"> <li>Afforestation/reforestation projects</li> <li>Sustainable management</li> <li>Adaptation area</li> <li>Green infrastructure</li> </ul>
Air quality	Air quality (pollutants, PM10)	<ul style="list-style-type: none"> <li>Concentration of nitrogen oxides</li> <li>Concentration of mineral particles</li> </ul>
Water	Water quality	<ul style="list-style-type: none"> <li>Water pollution</li> <li>Quality of surface water/water bodies (e.g. lakes, rivers, ponds in terms of solid transportation, pollutants)</li> <li>Quality of groundwater sources (e.g. wells, springs)</li> </ul>
	Water scarcity	<ul style="list-style-type: none"> <li>Water scarcity</li> <li>Aridity</li> <li>Water consumption</li> <li>Water recycled and reused</li> <li>Groundwater recharge</li> </ul>

Land use and ecosystems	Landscape, land use and ecosystems	<ul style="list-style-type: none"> <li>• Aesthetic/scenic value of the landscape</li> <li>• Land use patchwork</li> <li>• Restored areas</li> <li>• Green corridors with a visual impact</li> <li>• Cultural heritage value of the landscape</li> <li>• Maintenance/protection of traditional/cultural landscapes</li> <li>• Distribution, area and productivity of different:</li> <li>• Cultivated crops</li> <li>• Forests</li> <li>• Forest plantations</li> <li>• Pastures</li> <li>• Water bodies</li> <li>• Infrastructures</li> <li>• Unproductive areas</li> <li>• Urban areas</li> <li>• Natural ecosystems</li> <li>• Ecosystem functioning</li> <li>• Growing stocks</li> <li>• Ecosystem degradation</li> <li>• Ecosystem fragmentation</li> </ul>
Raw materials	Raw materials (e.g. wood, feedstock, fish, recycled materials): consumption and production	<ul style="list-style-type: none"> <li>• Renewable: Wood, cellulose, hey, feedstock, starch</li> <li>• Non-renewable: oil, mineral charcoal, gas</li> <li>• Availability</li> <li>• Production</li> <li>• Consumption</li> <li>• Recycled paper, reclaimed materials</li> </ul>
Energy	Energy consumption	<ul style="list-style-type: none"> <li>• Energy efficiency</li> <li>• Energy self-sufficiency</li> <li>• Production of energy sold in the national market</li> <li>• On-site energy generation</li> </ul>
	Renewable sources of energy	<ul style="list-style-type: none"> <li>• Energy from renewable versus energy from non-renewable sources</li> </ul>
Biodiversity <i>(included biodiversity protection ecosystem services)</i>	Animal and plant species	<ul style="list-style-type: none"> <li>• Wildlife species</li> <li>• Native plant species</li> <li>• Invasive/competitive species (e.g. the American grey squirrel in Europe; alien black locust)</li> <li>• Species at risk and threatened (CITES Red List, IUCN Red List)</li> </ul>
	Habitats and protected areas	<ul style="list-style-type: none"> <li>• Natural habitats</li> <li>• Semi-natural habitats</li> <li>• Rare habitats</li> <li>• Habitats degradation</li> <li>• Deadwood in forest and other wooded land</li> <li>• Nature 2000 sites</li> <li>• Protected areas</li> <li>• Ecological connectivity</li> <li>• Pollination</li> </ul>
	Genetic resources	<ul style="list-style-type: none"> <li>• Genetically Modified Organisms (GMO)</li> <li>• Local varieties of fauna/flora</li> </ul>
Soil and hydrological protection services <i>(ecosystem services)</i>	Soil fertility	<ul style="list-style-type: none"> <li>• Chemical properties of soil (e.g. soil fertility)</li> <li>• Structural properties of soil (e.g. soil compaction from machine operations or other)</li> <li>• Soil pollution (chemical fertilizers, pesticides, plastic) and/or degradation</li> </ul>
	Soil erosion and hydrogeological risk	<ul style="list-style-type: none"> <li>• Soil erosion by water</li> <li>• Soil erosion by wind</li> <li>• Landslide areas</li> <li>• Debris flow events</li> <li>• Resilience to flooding</li> </ul>

Waste and effluents	Production of waste	<ul style="list-style-type: none"> <li>Produced total quantity of waste and/or effluents</li> <li>Water discharge</li> <li>Chemicals released (in quantity)</li> <li>Share of waste to be recycled or reused (e.g. compost produced with respect to total waste; quantity and use of by-products)</li> <li>Chemicals released (in type)</li> <li>Disposal systems (e.g. use of differentiated waste collection, waste sorting)</li> <li>Purification of residual water (treatments of effluents)</li> <li>Management of waste and/or effluents</li> </ul>
Noise	Noise	<ul style="list-style-type: none"> <li>Intensity of noise</li> <li>Noise peaks</li> <li>Duration of the noise during the day/week (on average)</li> <li>Sources of noise (punctual, diffused)</li> </ul>

Environmental: **16 elements**

*Table 20. List of elements for the FIRST QUESTION - Economic*

Components	Elements on which the Social Innovation initiative has had or is having an impact [to be reported on paper strips]	Examples, specifications (if needed) [to be used by the moderator to help the participants to understand the element]
Local economy of the territory	Household income	Per capita economic growth: total GDP per capita at local level (at municipal level, at current price)
	Infrastructural investments affecting the community	Public and private investments on infrastructures that might have positive or negative effects at local scale on the local community.
	New investors funding activities in the territory	New investors investing in the local activities, donors, funders, sponsors, etc. that believe in the Social Innovation initiative and want to support it and/or to invest in it.
Local economy of satellite activities	Creation of new economic and social activities	It might include: 1) For profit activities; 2) Not-for profit activities, 3) Civic associations. All of them have an economic value (sometimes indirect) for the community.
	Consolidation of existing activities network	Inclusion of new activities (not previously involved) in an enlarged, already existing network (associated to the Social Innovation initiative). It might include: 1) For profit activities; 2) Not-for profit activities, 3) Civic associations. All of them have an economic value (sometimes indirect) for the community
	Investments on research, experiments and innovation that increase knowledge	Public and private investments on Research & Development (R&D), e.g. investments for the development and testing of new technologies, the adoption of new production practices, etc. that might have positive or negative effects at local scale on the local community.
	Added value generated by the production, transformation and commercialization chain ( <i>filière</i> )	Value added of the value chain ( <i>filière</i> ).
	Access to insurance and credit	Banking, insurance, financial services. E.g. an activity (e.g. a new business) involved or supporting the Social Innovation initiative accesses the credit at more favourable market conditions with respect to competitors that act with a business as usual approach (economic externality)
	Wages of employees and workers	<ul style="list-style-type: none"> <li>Transparency and accountability of wages</li> <li>Equality of wages between genders</li> <li>Appropriateness and compliance with national standards</li> </ul>

Labour	Employment opportunities	<ul style="list-style-type: none"> <li>• Long-term unemployment rate</li> <li>• Part-time employees (full time and involuntary)</li> <li>• Employee hires</li> </ul>
	Labour conditions in the market	<ul style="list-style-type: none"> <li>• Average earnings/salaries</li> <li>• Employment protection</li> <li>• Labour market programmes</li> <li>• Employee turnover</li> <li>• Parental leave</li> <li>• Employees working long hours</li> <li>• Gender equity</li> <li>• Job security</li> <li>• Work ethos</li> </ul>

Economic: **11 elements**

*Table 21. List of elements for the FIRST QUESTION - Social*

Components	Elements on which the Social Innovation initiative has had or is having an impact <i>[to be reported on paper strips]</i>	Examples, specifications <i>[to be used by the moderator to help the participants to understand the element]</i>
Life satisfaction	Life satisfaction and happiness	<ul style="list-style-type: none"> <li>• Work-life balance, in terms of time devoted to leisure and personal care</li> <li>• Self-evaluation of life satisfaction on a scale from 0 to 10 (on average)</li> <li>• Freedom of choice</li> </ul>
Life in the community	Community solidarity	<ul style="list-style-type: none"> <li>• Social support network</li> <li>• Number of people who have friends and relatives to rely on in case of need</li> <li>• Tolerance/intolerance</li> </ul>
	Trust in the other members of the community	Social Capital: Bridging, Bonding, Linking; Structural, Relational, Cognitive
	Civic engagement	<ul style="list-style-type: none"> <li>• Voter turnout</li> <li>• Willingness to join political parties</li> <li>• Engagement in petitions</li> <li>• Volunteers in community-related activities</li> </ul>
	Safety	<ul style="list-style-type: none"> <li>• Feeling safe walking alone at night</li> <li>• Homicide rate</li> </ul>
	Food security	<ul style="list-style-type: none"> <li>• Self-sufficiency (not dependent on import)</li> <li>• Quality and safety of food</li> </ul>
Education and training	Access to quality education for children and youth	<ul style="list-style-type: none"> <li>• Quality education: “it provides all learners with capabilities they require to become economically productive, develop sustainable livelihoods, contribute to peaceful and democratic societies and enhance individual well-being”</li> <li>• Enrolment rate in all levels of education</li> <li>• Early leavers from education and training</li> <li>• Educational attainment: Student’s skills</li> <li>• Transition from school to work</li> <li>• Student-teacher ratio and average class size</li> </ul>
	Options for life-long learning	<p>Adult education and learning options:</p> <ul style="list-style-type: none"> <li>• Formal (structured learning that typically takes place in educational and training institutions)</li> <li>• Informal (learning that goes on all the time resulting from daily life activity related to work/family/community or leisure)</li> <li>• Informal (organized by educational institutions but not accredited)</li> </ul>
Material conditions	Housing	<ul style="list-style-type: none"> <li>• Rooms per person, dwellings with basic facilities</li> <li>• Housing expenditure</li> </ul>

Social protection	Welfare and social expenditure	<ul style="list-style-type: none"> <li>• Pensions</li> <li>• Expenditure for health care assistance</li> <li>• Expenditure for family</li> <li>• Expenditure for assistance for the elderly</li> <li>• Expenditure for active labour market programmes (for unemployed or underemployed)</li> <li>• Incapacity-related benefits</li> <li>• Wealth distribution</li> </ul>
Social exclusion	Gender balance	<ul style="list-style-type: none"> <li>• Women's conditions (income, health, maternity leave, maternity care, education, work, etc.)</li> <li>• Gender balance in employment, public administration, business and politics</li> <li>• Gender balance in the life of the community</li> <li>• LGBT (by age, health)</li> <li>• LGBT participation in the life of the community</li> </ul>
	People at risk of poverty and social exclusion	<ul style="list-style-type: none"> <li>• People at risk of poverty</li> <li>• People at risk of social exclusion</li> <li>• People at risk of poverty after social transfers</li> <li>• At-risk-of-poverty rate before social transfers</li> <li>• Severely, materially deprived people</li> <li>• People living in households with low levels of employment</li> <li>• Rate of in-work-at-risk-of-poverty</li> <li>• Retirement provision</li> <li>• Child poverty</li> <li>• Intergenerational transmission of disadvantage</li> </ul>
	Well-being of various vulnerable groups (e.g. elderly, youth, disabled people, migrants/refugees, etc.)	<ul style="list-style-type: none"> <li>• For disabled people: both physical and mental disability</li> <li>• Other possible vulnerable groups: prisoners, condemned, sentenced to community services, ex-convicts</li> <li>• Health status</li> <li>• Participation in the life of the community</li> <li>• Housing</li> <li>• Income/pension</li> <li>• Family solidarity</li> <li>• Rehabilitation</li> <li>• Education and training programmes</li> <li>• Living conditions</li> <li>• Family composition and society</li> <li>• Intergenerational transmission of disadvantage (e.g. from grand-parents to child)</li> <li>• Employment rate</li> <li>• Income level</li> <li>• Tolerance/intolerance</li> </ul>
Health	Health conditions of the local population	<ul style="list-style-type: none"> <li>• Health status</li> <li>• Mortality</li> <li>• Maternal and infant mortality</li> <li>• Morbidity</li> <li>• Infant health</li> <li>• Elderly health</li> <li>• Self-reported health</li> <li>• Absence from work due to illness</li> <li>• Life expectancy</li> <li>• Alcohol consumption</li> <li>• Tobacco consumption</li> <li>• Non-medical determinants of health: <ul style="list-style-type: none"> <li>- Accessible green spaces</li> <li>- Quality of environment</li> <li>- Quality of life</li> </ul> </li> </ul>

Services	Health care services	<ul style="list-style-type: none"> <li>• Health expenditure and financing</li> <li>• Total health and social employment</li> <li>• Physicians (by age, gender, categories)</li> <li>• Nurses</li> <li>• Midwives</li> <li>• Caring personnel (personal care workers)</li> <li>• Hospitals/hospital beds</li> <li>• Day care centres</li> <li>• Senior care facilities</li> <li>• Pharmacies</li> <li>• Medical or dental offices</li> <li>• Acute care</li> <li>• Mental health care</li> <li>• Cancer care</li> <li>• Waiting times</li> <li>• Health care quality</li> <li>• Patient safety</li> <li>• Patient experience</li> <li>• Pharmaceutical market</li> <li>• Health workforce migration</li> </ul>
	Other services (different from health care) important for the community.	<ul style="list-style-type: none"> <li>• Transport</li> <li>• Education (e.g. schools)</li> <li>• Libraries</li> <li>• Waste removal and management</li> <li>• Parking lots</li> <li>• Parks</li> <li>• Communications (access to mail services/mail offices, radio, TV, etc.)</li> <li>• Energy supplies</li> <li>• Banking and financial services</li> <li>• Grocery stores, supermarkets</li> <li>• Fire stations</li> <li>• Beauty saloons</li> <li>• Fitness centres, access to recreation and outdoor activities, sport facilities</li> <li>• Restaurants</li> <li>• Theatres</li> <li>• Museums</li> <li>• Access to culture and religious/spiritual services: <ul style="list-style-type: none"> <li>- Local knowledge conservation</li> <li>- Religious functions</li> <li>- Benefits related to meaning of place</li> </ul> </li> </ul>

Social: 16 elements

Table 22. List of elements for the FIRST QUESTION – Institutional/governance outside the Social Innovation initiative network

Components	Elements on which the Social Innovation initiative has had or is having an impact <i>[to be reported on paper strips]</i>	Examples, specifications <i>[to be used by the moderator to help the participants understand the element]</i>
Network governance (based on networks of private-public actors)	Relations among public organisations, businesses and civic associations.	<ul style="list-style-type: none"> <li>• Public-civic associations partnerships and agreements</li> <li>• Public-entrepreneurs/business partnerships and agreements</li> <li>• NGOs-entrepreneurs partnerships and agreements</li> <li>• Government (public administration) as a shareholder in the Social Innovation initiative</li> <li>• Formal interactions (e.g. contractual agreements)</li> <li>• Informal interactions (e.g. social norms)</li> <li>• Interdependence</li> <li>• Transaction systems</li> <li>• Privatization</li> <li>• EU-LAG interactions</li> <li>• State-local entrepreneurs interactions</li> <li>• Vertical public-private partnerships</li> <li>• Collaborative learning</li> </ul>
	Empowerment and representativeness of stakeholders in decision-making process.	<ul style="list-style-type: none"> <li>• Duration of the process</li> <li>• Complexity of the process</li> <li>• Type of actors involved in decision-making process (public, private)</li> <li>• Empowerment of citizens and institutions</li> <li>• Representativeness</li> <li>• At local, regional, national, international levels</li> </ul>
	Capacity of public administrations to manage collaboration and dialogue between public actors and the private sector and civil society.	<ul style="list-style-type: none"> <li>• Mechanisms for collaboration and dialogue among actors (networking)</li> <li>• Citizen engagement mechanisms</li> <li>• Stakeholder consultations</li> <li>• Coordination mechanisms</li> <li>• Modernisation of public administrations</li> <li>• Public sector reforms</li> <li>• Capacity-building</li> <li>• Responsiveness</li> <li>• Recognition tools (e.g. incubators, hubs, forums)</li> <li>• Institutional arrangements for cross-boundary collaboration</li> <li>• Place-based local collaboration</li> <li>• Collaboration in setting the rules for the Social Innovation initiative to be implemented and empowered (monitoring and control)</li> <li>• Collaborative learning</li> <li>• Tables of negotiation/dialogue</li> <li>• Consensus-building</li> </ul>
	Sharing of data, knowledge and experience	<ul style="list-style-type: none"> <li>• Information and communication</li> <li>• Participatory techniques for decision support</li> <li>• Use of digital technologies</li> <li>• Collaborative informal platforms and programmes</li> <li>• Benchmarking and impact measurement</li> <li>• Reciprocity</li> </ul>
	Conflict management	<ul style="list-style-type: none"> <li>• Conflict resolution procedures</li> <li>• Latent conflicts</li> <li>• Existing conflicts</li> </ul>
	Adaptation capacity of the territory to crises and disturbances.	<ul style="list-style-type: none"> <li>• Resilience of the community</li> <li>• Resilience of the institutions</li> <li>• Resilience of the businesses</li> <li>• Diversification of the sources of resources</li> </ul>

		<ul style="list-style-type: none"> <li>• Diversification of activities</li> <li>• Management of collective uncertainty</li> <li>• Risk management</li> </ul>
Multi-level governance (vertical networks among actors across various jurisdictional levels)	Decentralization of public administration tasks.	<ul style="list-style-type: none"> <li>• Increase government support for local public actors</li> <li>• Effective application of the principle of subsidiarity</li> </ul>
	Coherence of local policies and actions with international and national policies and actions.	<ul style="list-style-type: none"> <li>• Coherence of local regulations with international conventions</li> <li>• Coherence of local rules with national laws</li> <li>• Complexity of legal frameworks</li> </ul>
Good governance principles	Legality	<ul style="list-style-type: none"> <li>• Anti-corruption measures</li> <li>• Respect of human rights</li> <li>• Respect of property rights</li> <li>• Respect of compulsory law</li> </ul>
	Transparency and accountability of both private and public organisations.	<ul style="list-style-type: none"> <li>• Opening of the public sector</li> <li>• Systematic Corporate Social Responsibility reporting</li> <li>• Monitoring and reporting</li> <li>• Responsibility</li> <li>• Accountability of the use of public resources to citizens</li> </ul>
	Trust in public institutions.	<ul style="list-style-type: none"> <li>• Trust in public administrations</li> <li>• Quality of law</li> <li>• Perception of corruption and conflict of interest</li> </ul>
	Professional capacity of public officials and administrations	<ul style="list-style-type: none"> <li>• Professionalism and skills of public officials/administrations</li> </ul>

Governance/institutional: **12 elements**

## Tool 3 - Questionnaire for the Core Group<sup>12</sup> (Innovators and Followers)

Instructions in italic within square brackets are for the interviewer (e.g. as follows: *[if yes]*). The words highlighted within square brackets (e.g. as follows: *[Social Innovation initiative]*) are the technical terms that are likely to be substituted. When useful, the interviewer can substitute these technical terms (e.g. trigger, Social Innovation initiative, territory, etc.) with the description of the specific Case Study and temporal clues as identified during the focus group.

### ***To be completed by the interviewer***

*Interviewee:* \_\_\_\_\_ *Date:* \_\_\_\_\_

*Presentation of yourself, of the SIMRA project (leaflet). Ethical clearance documents.*

### **A. Basic information on the respondent**

A.1. Gender:                    1. Male                    2. Female                    9. I prefer not to respond

A.2. Highest degree or level of school you have completed:

1. No schooling completed
2. Lower than high school diploma
3. High school diploma
4. Bachelor's or higher university degree (PhD included)
5. Other

A.2.1. Please specify: \_\_\_\_\_

A.3. Employment:            1. Employed for wages    2. Self-employed            3. Out of work    4. Homemaker  
   5. Student                    6. Military                    7. Retired                    8. Unable to work

A.5. How are you related to the local [territory]?

1. I have always lived here
2. I have lived here but I studied or worked away
3. I come from outside, but I have been living here for a while
4. I come from outside and consider myself a newcomer

A.6. Do you currently work, or previously worked, in fields related to the *[Social Innovation initiative]*?

1. Yes    0. No                    A.7. Please explain: \_\_\_\_\_

A.8. At which level do you usually work? (Please select the prevalent option)

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

A.8.1. Please specify: \_\_\_\_\_

A.9. Within the network, are you predominantly representing a ...:

1. Business entrepreneur
2. Social entrepreneur
3. A member of a civil society organisation
4. A public sector official (different levels of administration)
5. Yourself
6. Other (Example: commons, religious organisation, etc.)

A.9.1. Please specify: \_\_\_\_\_

---

<sup>12</sup> The Core Group: one Innovator and one Follower (if available) (if not, two Innovators).

## B. TRIGGER and NEEDS

The [trigger] that has determined your [Social Innovation initiative] was already described and discussed in the Focus Group. Now we would like to ask you some additional questions.

B.1. Who amongst the following was most affected by the [trigger]? (Please tick one or more options, if relevant)

1. Myself
2. My family
3. My close friends
4. My job colleagues
5. My community
6. Others

B.1.7. Please specify: \_\_\_\_\_

B.2. What were the 3 main **personal needs** that you wanted to satisfy with your [Social Innovation idea]?

B.3. And the 3 main **needs of your territory (collective needs)**, which you also wanted to satisfy with your [Social Innovation idea]? (Please list a maximum of three per category)

Personal needs	Needs of the territory
1. _____	1. _____
2. _____	2. _____
3. _____	3. _____

B.4. [first column] The European Commission identified policy priorities in relation to social issues. Do you think that your [Social Innovation idea] dealt with one or more of the **societal challenges** listed below?

B.5. [If "yes" is ticked, second column] Do you think that your [Social Innovation initiative] is likely to have contributed to their improvement in your [territory]?

Use the following scale for Social Innovation CONTRIBUTION:

Not at all	To some extent	To a great extent
<input type="checkbox"/> 0	<input type="checkbox"/> 1	<input type="checkbox"/> 2

Societal Challenges	[Social Innovation idea] dealt with	[Social Innovation initiative] contribution
(1) Health and wellbeing	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(2) Demographic change (e.g. aging of population)	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(3) Income, jobs, education	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(4) Sustainable agriculture and forestry and food security	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(5) Water use and quality	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(6) Secure, clean and efficient energy	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(7) Smart, green and integrated cities and mobility	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(8) Environment and climate change	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(9) Social inclusion and cohesion	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(10) Innovation and modernisation	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(11) Security and freedom	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2

(12) Other (please specify): \_\_\_\_\_  yes  0  1  2

B.6. [First column] Do you think that your [Social Innovation initiative] emerged as a response or reaction to one or more of the governance issues listed below?

B.7. [Second column] Do you think that your [Social Innovation initiative] deals with one or more of them?

B.8. [Third column] Do you think that your [Social Innovation initiative] is likely to have led to their improvement in your [local territory]?

Use the following scale for Social Innovation CONTRIBUTION:

Not at all	To some extent	To a great extent
<input type="checkbox"/> 0	<input type="checkbox"/> 1	<input type="checkbox"/> 2

	[Social Innovation initiative] reacted to	[Social Innovation initiative] deals with	[Social Innovation initiative] contributed to
(1) Options for citizens engagement	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(2) Stakeholders consultation	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(3) Voice of minorities	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(4) Gender balance	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(5) Transparency	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(6) Bureaucracy	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(7) Capacity of public administrations	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(8) Policy initiatives	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(9) Legal framework	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(10) Conflict of interests and corruption	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(11) Quality of public services	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(12) Market and economy	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(13) Other (please specify): _____	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2

### C. PREPARATORY ACTIONS

C.1-2-3-4. What have been, according to your perception, the main enabling and constraining conditions that you faced during the initial steps of the [Social Innovation process]?

(Reply only to relevant categories. Please list from 0 to maximum 3 conditions per category)

Domain	ENABLING CONDITIONS (OPPORTUNITIES)	CONSTRAINING CONDITIONS (THREATS)
<b>C.1. Economic</b>	1 _____	1 _____
	2 _____	2 _____
	3 _____	3 _____
<b>C.2. Social</b>	1 _____	1 _____
	2 _____	2 _____
	3 _____	3 _____
<b>C.3. Environmental</b>	1 _____	1 _____
	2 _____	2 _____
	3 _____	3 _____
<b>C.4 Institutional</b>	1 _____	1 _____
	2 _____	2 _____
	3 _____	3 _____

C.6. On a scale from 1 to 10, to what extent do you consider your [Social Innovation idea] to be innovative in your [territory]?

Not at all To a great extent  
 1 2 3 4 5 6 7 8 9 10

C.7. Please list the 3 main elements that you consider make your [Social Innovation idea] innovative:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

C.8. On a scale from 1 to 10, to what extent did you have an impression that you were able to “make a difference” in your [territory] with the [Social Innovation initiative]?

Not at all To a great extent  
 1 2 3 4 5 6 7 8 9 10

C.10. Was your initial idea written down clearly for communication?  Yes  No

---

C.11. Did you do a preliminary analysis of similar initiatives?  Yes  No

---

C.12. Did you collect data on the local context?  Yes  No

---

C.13. Did you define some initial rules to organise interactions among the Social Innovation actors?  Yes  No

---

C.14. Did you involve any experts in the [Social Innovation process]?  Yes  No

---

C.15. Did you plan how to manage possible conflicts during the interactions among the Social Innovation actors?  Yes  No

#### D. THE WHOLE SOCIAL INNOVATION PROCESS

D.1. During the development of the [Social Innovation process], what were the expected changes in terms of: (*write “none” if there were not expected changes for one or more of these categories*)

1. New networks: \_\_\_\_\_
2. New governance arrangements: \_\_\_\_\_
3. New attitudes: \_\_\_\_\_

D.2. On a scale from 1 to 10, how much [financial, material, time] resources have you invested in the [Social Innovation process]?

Type of resources	None <span style="float: right;">A lot</span>									
1. Financial	1	2	3	4	5	6	7	8	9	10
2. Material	1	2	3	4	5	6	7	8	9	10
3. Time	1	2	3	4	5	6	7	8	9	10

D.4. In your opinion, how long did the [Social Innovation process] take?

1. Longer than expected
2. As long as expected
3. Less than I expected
4. I had no prior expectations about the time required

## E. NEW NETWORKS

E.1. Did you already know the other actors of the [Social Innovation network], or were they new contacts? How many of them were [...]

- |                                  |       |
|----------------------------------|-------|
| 1. [...] Close contacts          | __ __ |
| 2. [...] Already known by name   | __ __ |
| 3. [...] Completely new contacts | __ __ |

E.2. On a scale from 1 to 10, to what extent has **your personal network** of relations improved as a result of the [Social Innovation process]?

None 1 2 3 4 5 6 7 8 9 10 A great deal

E.3. [SNA] Please indicate with which actors you (if you represent yourself, otherwise the institution you are predominantly representing within the network) have collaborated [we refer to collaboration as both formal and informal joint work]... (tick all that apply)

Actors of the Social Innovation Network	1. ... before you begin/join the [Social Innovation initiative]	2. ... during the [Social Innovation process]	3. ... during the [Social Innovation project] implementation to achieve the [outputs]	4. ... now in other projects out of this [Social Innovation initiative]
Actor 001 [insert the name]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Actor 002 [insert the name]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Actor 003 [insert the name]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...				

[Add one row per each Social Innovation network actor (only Innovator(s), Follower(s) and Transformer(s)), and insert their names]

E.4. During the [Social Innovation process], who in your opinion had the greatest... (tick all that apply)

Actors of the Social Innovation Network	1. ... technical capabilities to develop the [Social Innovation idea]?	2. ... capabilities to most influence the internal decision making process?	3. ... capabilities to create bridges with external actors?	4. ... capabilities to face the challenges that could have make the [Social Innovation process] fail?
Actor 001 [insert the name]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Actor 002 [insert the name]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Actor 003 [insert the name]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...				

[Add one row per each Social Innovation network actor (only Innovator(s), Follower(s) and Transformer(s)), and insert their names]

E.5. On a scale from 1 to 10, to what extent do you **trust** the other members of the [Social Innovation network]?

Not at all To a great extent  
 1 2 3 4 5 6 7 8 9 10

E.6. On a scale from 1 to 10, to what extent do you think the new network was more **inclusive** by involving actors who were usually not included in community initiatives?

Not inclusive Totally inclusive  
 1 2 3 4 5 6 7 8 9 10

E.7. On a scale from 1 to 10, to which extent do you think the network was **innovative**, due to the [Social Innovation process], with respect to the situation before it started?

Not new at all Totally new  
 1 2 3 4 5 6 7 8 9 10

E.8. What are the three most important **changes** you have observed within the network? (*list a maximum of three changes*)

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

E.10. On a scale from 1 to 10, to what extent are the actors in the network representative<sup>13</sup> of ...?

	Not at all	To a great extent
1. Public administrations	1 2 3 4 5 6 7 8 9 10	
2. Public enterprises	1 2 3 4 5 6 7 8 9 10	
3. Civil organisations (e.g. associations, not-for-profit)	1 2 3 4 5 6 7 8 9 10	
4. Private enterprises (e.g. for profit)	1 2 3 4 5 6 7 8 9 10	

## F. NEW ATTITUDES

F.4. On a scale from 1 to 10, to what extent have **your personal attitudes** towards somebody or something improved due to the [Social Innovation process]?

Not at all To a great extent  
 1 2 3 4 5 6 7 8 9 10

F.5. On a scale from 1 to 10, to what extent have the **attitudes of Social Innovation actors** improved due to the [Social Innovation process]?

Not at all To a great extent  
 1 2 3 4 5 6 7 8 9 10

---

<sup>13</sup> REPRESENTATIVENESS = the quality of being truly representative of a certain/specific category of actors and NOT as an authorised official delegate.



G.9. Are the decision-making reports or agreements [...]

- 1. [...] easily available?  Yes  No
- 2. [...] regularly shared among all the actors?  Yes  No
- 3. [...] clear and complete?  Yes  No

**NEW EXTERNAL GOVERNANCE ARRANGEMENTS**

G.10. On a scale from 1 to 10, to what extent have the members of the public improved their action, as a result of the [Social Innovation process]?

Not at all To a great extent  
 1 2 3 4 5 6 7 8 9 10

G.11. What are the most important **changes** you have observed in members of the public? (list a maximum of three)

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_

G.12. On a scale from 1 to 10, to what extent do you trust...

Not at all To a great extent

1. The European Union <sup>14</sup>	1	2	3	4	5	6	7	8	9	10
2. National government	1	2	3	4	5	6	7	8	9	10
3. Local politicians	1	2	3	4	5	6	7	8	9	10

G.13. What new institutional measures or external governance arrangements, if any, have been implemented to facilitate the Social Innovation initiative? (provide maximum 3 examples; if none, you do not have to fill in the following table)

What is new?	By What?	How?	Describe
<input type="checkbox"/> Policy or programme <input type="checkbox"/> Law or regulation <input type="checkbox"/> Guideline or code <input type="checkbox"/> Standard <input type="checkbox"/> Coordination mechanism <input type="checkbox"/> Civic engagement mechanism <input type="checkbox"/> Others _____	<input type="checkbox"/> Municipality <input type="checkbox"/> Province <input type="checkbox"/> Region <input type="checkbox"/> Other _____	<input type="checkbox"/> Adopting (one previously existing but not yet applied)  <input type="checkbox"/> Adapting (one previously applied in a different field/place)  <input type="checkbox"/> Creating a totally new one	
<input type="checkbox"/> Policy or programme <input type="checkbox"/> Law or regulation <input type="checkbox"/> Guideline or code <input type="checkbox"/> Standard <input type="checkbox"/> Coordination mechanism <input type="checkbox"/> Civic engagement mechanism <input type="checkbox"/> Others _____	<input type="checkbox"/> Municipality <input type="checkbox"/> Province <input type="checkbox"/> Region <input type="checkbox"/> Other _____	<input type="checkbox"/> Adopting (one previously existing but not yet applied)  <input type="checkbox"/> Adapting (one previously applied in a different field/place)  <input type="checkbox"/> Creating a totally new one	
<input type="checkbox"/> Policy or programme <input type="checkbox"/> Law or regulation <input type="checkbox"/> Guideline or code <input type="checkbox"/> Standard <input type="checkbox"/> Coordination mechanism <input type="checkbox"/> Civic engagement mechanism <input type="checkbox"/> Others _____	<input type="checkbox"/> Municipality <input type="checkbox"/> Province <input type="checkbox"/> Region <input type="checkbox"/> Other _____	<input type="checkbox"/> Adopting (one previously existing but not yet applied)  <input type="checkbox"/> Adapting (one previously applied in a different field/place)  <input type="checkbox"/> Creating a totally new one	

<sup>14</sup> NB: The evaluator may change reference to the European Union, when not an institution of relevance, and refer to another supra-national (if existing) or inter-governmental organisation that fits the context or case.

## H. THE SOCIAL INNOVATION PROJECT AND ITS OUTPUTS

H.16. How do you rate your level of satisfaction with the [Social Innovation initiative] results to date?

Not satisfied Fully satisfied  
 1 2 3 4 5 6 7 8 9 10

H.17. How did you disseminate the Social Innovation results?

- |   |                              |                             |
|---|------------------------------|-----------------------------|
| 1. Presentations at events (e.g. fairs, conferences),         | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 2. Printed materials (e.g. brochures, flyers)                 | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 3. News/info. in the press (paper, online magazine and blog)  | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 4. News/info. in websites                                     | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 5. Social media (Facebook, Twitter, Instagram, WhatsApp etc.) | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 6. Newsletter and e-mail                                      | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 7. Broadcasting (radio, television, podcast)                  | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 8. Meetings with donors                                       | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 9. Meetings with politicians                                  | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 10. Meetings with enterprises                                 | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 11. Communications to other networks                          | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
- 11.1. Please specify: \_\_\_\_\_)

## I. THE WHOLE SOCIAL INNOVATION INITIATIVE

I.1. On a scale from 1 to 10, to what extent is the whole [Social Innovation initiative] innovative?

Not at all To a great extent  
 1 2 3 4 5 6 7 8 9 10

I.2. More specifically, which elements of [Social Innovation initiative] might be considered innovative? (*Tick all that apply*)

- |                   |                            |                                 |
|-------------------|----------------------------|---------------------------------|
| 1. a new idea     | 2. a new network           | 3. a new governance arrangement |
| 4. a new attitude | 5. a new product           | 6. a new service                |
| 7. other          | 7.1. please specify: _____ |                                 |

I.3. On a scale from 1 to 10, to what extent has the [Social Innovation initiative] satisfied the needs of the territory?

Not at all To a great extent  
 1 2 3 4 5 6 7 8 9 10

I.4. To what extent have the items listed below contributed to the results of the [Social Innovation initiative]?

	Not at all									To a great extent
1.Supportive policies	1	2	3	4	5	6	7	8	9	10
2.External helpers (e.g. advisors, animators)	1	2	3	4	5	6	7	8	9	10
3.Wider local community	1	2	3	4	5	6	7	8	9	10
4.Core group (Innovator(s) and Follower(s))	1	2	3	4	5	6	7	8	9	10
5.Members of the network	1	2	3	4	5	6	7	8	9	10
6.Project partners	1	2	3	4	5	6	7	8	9	10

I.5. Given the current situation of the **Social Innovation initiative**, in the last 3 years have you grown, remained more or less stable, or decreased (in terms of resources)?

1. Grown      2. Stable      3. Decreased

I.6. Which is the current situation of the sector where you work? Is it growing, more or less stable or decreasing?

1. Growing      2. Stable      3. Decreasing

I.7. Given the current situation of the **Social Innovation initiative**, what are the expected prospects for the next 3 years? Will you grow, remain more or less stable, or decrease?

1. Grow      2. Stable      3. Decrease

I.8. What is the current percentage of resources which come from external sources? |\_\_|\_\_|\_\_| %

I.8.1. [If 0%], how long would you estimate that it will be self-sustainable?

1. For the long term (more than 5 years)
2. For the medium term (more than 1.5 years)
3. For a short term (within next year)
4. Difficult to answer because of uncertainty

I.8.2. [If >0%], how much time do you think it will need to become totally self-sustainable?

1. A long period (more than 5 years)
2. A medium period (more than 1.5 years)
3. A short period (within next year)
4. Difficult to answer because of uncertainty

I.9. What are the factors that make your **[Social Innovation initiative]** more likely to survive? (*Tick all that applies*)

1. Social Innovation provides products and services within a growing market (economic)
2. There are no significant competitors (economic)
3. Social Innovation is based on the engagement of highly motivated people (social)
4. Local people recognise the social value of the Social Innovation initiative (social)
5. The Social Innovation at least maintains the environmental value of the local territory (environmental)
6. The Social Innovation is based upon sustainable use of natural resources (environmental)
7. Local institutions are supportive of the Social Innovation initiative (institutional)
8. Social Innovation is recognised within the local legal and institutional frameworks and settings (institutional)
9. Other reasons      9.1. Please specify: \_\_\_\_\_

## J. THE EFFECTS and LEARNING PROCESS

J.4. Do you think that the effects of your **[Social Innovation initiative]** had an influence beyond your locality at a higher administrative level?       Yes     No     I don't know

J.5. Has the **[Social Innovation initiative]** contributed to the development of any national/international law/standard?       Yes     No     I don't know

J.5.1. [If yes] Please specify: \_\_\_\_\_

J.6. Has anyone visited to learn about your [Social Innovation initiative] so that they can do something similar themselves?  Yes  No  I don't know

J.6.1. [If yes] How many? |\_\_|\_\_|

J.6.2. [If yes] Where?  inside your territory  outside your territory

J.6.3. [If yes] Please, provide examples: \_\_\_\_\_

J.7. Is there a national/international group representing your and similar Social Innovation initiatives?  Yes  No  I don't know

J.8. What are the elements of the [Social Innovation initiative] which would help with its replication?

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

J.9. To what extent would the positive effects, brought in the territory through your [Social Innovation initiative], would have been obtained also without your intervention?

1. No, only the Social Innovation initiative could satisfy the specific needs of the territory

2. Yes, but it would have taken more time

3. Yes, but other similar initiatives satisfied only partially the needs of the territory

4. I don't know

J.9.1. Please, comment: \_\_\_\_\_

J.10. Has your [Social Innovation initiative] had any negative effects?  Yes  No  I don't know

J.10.1. [If yes] Where?  inside your territory  outside your territory

J.10.2. [If yes] To whom mainly?  people  organisations  enterprises

public bodies

J.10.3. [If yes] Please describe: \_\_\_\_\_

J.11. To what extent, if at all, might your [Social Innovation initiative] have had negative or positive effects on any of the following domains, inside and outside your [territory]? Refer to the following scale:

Negative <input type="checkbox"/> -2	Slightly negative <input type="checkbox"/> -1	No effect <input type="checkbox"/> 0	Slightly positive <input type="checkbox"/> +1	Positive <input type="checkbox"/> +2	I don't know empty
---	--	---	--	---	-----------------------

	Inside your territory	Outside your territory
1. Environment	<input type="checkbox"/> -2 <input type="checkbox"/> -1 <input type="checkbox"/> 0 <input type="checkbox"/> +1 <input type="checkbox"/> +2	<input type="checkbox"/> -2 <input type="checkbox"/> -1 <input type="checkbox"/> 0 <input type="checkbox"/> +1 <input type="checkbox"/> +2
2. Economy	<input type="checkbox"/> -2 <input type="checkbox"/> -1 <input type="checkbox"/> 0 <input type="checkbox"/> +1 <input type="checkbox"/> +2	<input type="checkbox"/> -2 <input type="checkbox"/> -1 <input type="checkbox"/> 0 <input type="checkbox"/> +1 <input type="checkbox"/> +2
3. Social cohesion	<input type="checkbox"/> -2 <input type="checkbox"/> -1 <input type="checkbox"/> 0 <input type="checkbox"/> +1 <input type="checkbox"/> +2	<input type="checkbox"/> -2 <input type="checkbox"/> -1 <input type="checkbox"/> 0 <input type="checkbox"/> +1 <input type="checkbox"/> +2
4. Public administrations	<input type="checkbox"/> -2 <input type="checkbox"/> -1 <input type="checkbox"/> 0 <input type="checkbox"/> +1 <input type="checkbox"/> +2	<input type="checkbox"/> -2 <input type="checkbox"/> -1 <input type="checkbox"/> 0 <input type="checkbox"/> +1 <input type="checkbox"/> +2

J.13. If you were to start the [Social Innovation initiative] again, what would you do differently?

\_\_\_\_\_

## Tool 4 - Questionnaire to the Network<sup>15</sup>: Transformers

Instructions in italics within square brackets are for the interviewer (e.g. as follows: [*if yes*]).

The words highlighted within square brackets (e.g. as follows: [*Social Innovation initiative*]) are the technical terms that are likely to be substituted. When useful, the interviewer can substitute these technical terms (e.g. trigger, Social Innovation initiative, territory, etc.) with the description of the specific Case Study and temporal clues as identified during the Focus Group.

### ***To be completed by the interviewer***

Interviewee: \_\_\_\_\_ Date: \_\_\_\_\_

*Introduction of yourself, of the SIMRA project (leaflet). Ethical clearance documents.*

### **A. Basic information on the respondent**

A.1. Gender:                    1. Male                    2. Female                    9. I prefer not to respond

A.2. Highest degree or level of school you have completed:

1. No schooling completed
2. Lower than high school diploma
3. High school diploma
4. Bachelor's or higher university degree (PhD included)
5. Other

A.2.1. Please specify: \_\_\_\_\_

A.3. Employment:            1. Employed for wages    2. Self-employed            3. Out of work    4. Homemaker  
   5. Student                    6. Military                    7. Retired                    8. Unable to work

A.5. How are you related to the local [territory]?

1. I have always lived here
2. I have lived here but I studied or worked away
3. I come from outside, but I have been living here for a while
4. I come from outside and consider myself a newcomer

A.6. Do you currently work, or have you previously worked, in fields related to the [Social Innovation initiative]? 1. Yes 0. No

A.7. Please explain: \_\_\_\_\_

A.8. At which level do you usually work? (Please select the prevalent option)

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

A.8.1. Please specify: \_\_\_\_\_

A.9. Within the network, are you predominantly representing a ...:

1. Business entrepreneur
2. Social entrepreneur
3. A member of a civil society organisation
4. A public sector official (different levels of administration)
5. Yourself
6. Other (Example: commons, religious organisation, etc.)

A.9.1. Please specify: \_\_\_\_\_

<sup>15</sup> All the network actors (Innovator(s), Follower(s) and Transformer(s)), except those already interviewed with Tool 3.

## B. TRIGGER and NEEDS

B.4. [first column] The European Commission identified some policy priorities in relation to social issues. Do you think that your [Social Innovation idea] dealt with one or more **societal challenges** among those listed below?

B.5. [If “yes” is ticked, second column] Do you think that your [Social Innovation initiative] is likely to have contributed to their improvement in your [territory]? *Use the following scale for Social Innovation CONTRIBUTION:*

Not at all <input type="checkbox"/> 0	To some extent <input type="checkbox"/> 1	To a great extent <input type="checkbox"/> 2
--	--	---

Societal Challenges	[Social Innovation idea] dealt with	[Social Innovation initiative] contribution
(13) Health and wellbeing	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(14) Demographic change (e.g. aging of population)	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(15) Income, jobs, education	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(16) Sustainable agriculture and forestry and food security	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(17) Water use and quality	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(18) Secure, clean and efficient energy	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(19) Smart, green and integrated cities and mobility	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(20) Environment and climate change	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(21) Social inclusion and cohesion	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(22) Innovation and modernisation	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(23) Security and freedom	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(24) Other ( <i>please specify</i> ): _____	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2

B.6. [First column] Do you think that your [Social Innovation initiative] emerged as a response or reaction to one or more of the governance issues listed below?

B.7. [Second column] Do you think that your [Social Innovation initiative] deals with one or more of them?

B.8. [Third column] Do you think that your [Social Innovation initiative] is likely to have led to their improvement in your [local territory]? *Use the following scale for Social Innovation CONTRIBUTION:*

Not at all <input type="checkbox"/> 0	To some extent <input type="checkbox"/> 1	To a great extent <input type="checkbox"/> 2
--	--	---

	[Social Innovation initiative] reacted to	[Social Innovation initiative] deals with	[Social Innovation initiative] contributed to
(1) Options for citizens engagement	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(2) Stakeholder consultations	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(3) Voice of minorities	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(4) Gender balance	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(5) Transparency	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(6) Bureaucracy	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(7) Capacity of public administrations	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(8) Policy initiatives	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(9) Legal framework	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(10) Conflict of interests and corruption	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(11) Quality of public services	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(12) Market and economy	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(13) Other ( <i>please specify</i> ): _____	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2

**C. PREPARATORY ACTIONS**

C.5. What was the motivation for your engagement in the [Social Innovation initiative]? (Tick all that apply)

- 1. I liked the idea and it made sense
- 2. I wanted to serve a good cause
- 3. I liked the leadership and charisma of the Innovator(s) and Follower(s)
- 4. I wanted to share my expertise for the benefit of the project
- 5. I wanted to feel personally fulfilled
- 6. I wanted to receive economic benefits
- 7. It was part of the duties of my job
- 8. For previous relationships I had with people involved
- 9. Other, C.5.9.1. Please specify \_\_\_\_\_

C.6. On a scale from 1 to 10, to what extent do you consider your [Social Innovation idea] to be innovative in your [territory]?

Not at all									To a great extent
1	2	3	4	5	6	7	8	9	10

C.8. On a scale from 1 to 10, to what extent did you have an impression that you were able to “make a difference” in your [territory] with the [Social Innovation initiative]?

Not at all									To a great extent
1	2	3	4	5	6	7	8	9	10

C.9. On a scale from 1 to 10, to what extent do you think that the first Innovator(s) and Follower(s) had the capabilities for overcoming obstacles and the flexibility to adapt to changing circumstances?

Not at all									To a great extent
1	2	3	4	5	6	7	8	9	10

**D. THE WHOLE SOCIAL INNOVATION PROCESS**

D.1. During the development of the [Social Innovation process], what were the expected changes in terms of: (write “none” if there were no expected changes for one or more of these categories)

- 1. New networks: \_\_\_\_\_
- 2. New governance arrangements: \_\_\_\_\_
- 3. New attitudes: \_\_\_\_\_

D.2. In a scale from 1 to 10, how many [financial, material, time] resources have you invested in the [Social Innovation process]?

Type of resources	None									A lot
1. Financial	1	2	3	4	5	6	7	8	9	10
2. Material	1	2	3	4	5	6	7	8	9	10
3. Time	1	2	3	4	5	6	7	8	9	10

D.3. How many meetings of the [Social Innovation process] have you attended?

- 1. A few of them
- 2. Some of them
- 3. Many of them
- 4. Almost all of them

D.4. In your opinion, how long did the [Social Innovation process] take?

1. Longer than expected
2. As long as expected
3. Less than expected
4. I had no prior expectations about the time required

## E. NEW NETWORKS

E.1. Did you already know the other actors of the [Social Innovation network], or were they new contacts? How many of them were [...]

- |                                  |     |
|----------------------------------|-----|
| 1. [...] Close contacts          | _ _ |
| 2. [...] Already known by name   | _ _ |
| 3. [...] Completely new contacts | _ _ |

E.2. On a scale from 1 to 10, to what extent has **your personal network** of relations improved as a result of the [Social Innovation process]?

None											A great deal
1	2	3	4	5	6	7	8	9	10		

E.3. [SNA] Please indicate with which actors you (if you represent yourself, otherwise the institution you are predominantly representing within the network) have collaborated [*collaboration can be either formal or informal joint working*]... (*tick all that apply*)

Actors of the Social Innovation Network	1. ... <b>before</b> you begin/join the [Social Innovation initiative]	2. ... <b>during</b> the [Social Innovation process]	3. ... during the [Social Innovation project] <b>implementation</b> to achieve the [outputs]	4. ... <b>now</b> in other projects <b>out of</b> this [Social Innovation initiative]
Actor 001 [ <i>insert the name</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Actor 002 [ <i>insert the name</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Actor 003 [ <i>insert the name</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...				

[Add one row per each Social Innovation network actor (only Innovator(s), Follower(s) and Transformer(s)), and insert their names]

E.4. During the [Social Innovation process] who, in your opinion, had the greatest... (*tick all that apply*)

Actors of the Social Innovation Network	1. ... technical capabilities to <b>develop</b> the [Social Innovation idea]?	2. ... capabilities to most <b>influence</b> the internal <b>decision making</b> process?	3. ... capabilities to <b>create bridges</b> with external actors?	4. ... capabilities to <b>face the challenges</b> that could have make the [Social Innovation process] fail?
Actor 001 [ <i>insert the name</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Actor 002 [ <i>insert the name</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Actor 003 [ <i>insert the name</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...				

[Add one row per each Social Innovation network actor (only Innovator(s), Follower(s) and Transformer(s)), and insert their names]

E.5. On a scale from 1 to 10, to what extent do you **trust** the other members of the [Social Innovation network]?

Not at all To a great extent  
 1 2 3 4 5 6 7 8 9 10

E.6. On a scale from 1 to 10, to what extent do you think that the new network was more **inclusive** by involving actors who were usually not included in community initiatives?

Not inclusive Totally inclusive  
 1 2 3 4 5 6 7 8 9 10

E.7. On a scale from 1 to 10, to which extent do you think the network was **innovative**, due to the [Social Innovation process], compared to the situation before it started?

Not new at all Totally new  
 1 2 3 4 5 6 7 8 9 10

E.8. What are the three most important **changes** you have observed within the network? (*list a maximum of three changes*)

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

E.10. On a scale from 1 to 10, to what extent are the actors in the network representative<sup>16</sup> of ...?

	Not at all		To a great extent
1. Public administrations	1	2 3 4 5 6 7 8 9	10
2. Public enterprises	1	2 3 4 5 6 7 8 9	10
3. Civil organisations (e.g. associations, not-for-profit)	1	2 3 4 5 6 7 8 9	10
4. Private enterprises (e.g. for profit)	1	2 3 4 5 6 7 8 9	10

## F. NEW ATTITUDES

F.1. Was the vision of the [Social Innovation process] clear when you decided to join it?

1. No, it was not    2. Only in part    3. Yes, for the most part    4. Yes, everything was clear

F.2 When did your attitude towards the [Social Innovation initiative] become pro-active?

1. Since the beginning
2. During the development of the [Social Innovation process]
3. After the first results of the implementation of the [Social Innovation project]
4. It is not yet pro-active

F.3. What **needs** do you think the [Social Innovation process] was mainly attempting to address? (*List a maximum of three*)

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

<sup>16</sup> REPRESENTATIVENESS = the quality of being truly representative of a certain/specific category of actors and NOT as an authorised official delegate.

F.4. On a scale from 1 to 10, to what extent have **your personal attitudes** towards somebody or something improved due to the [Social Innovation process]?

Not at all  
1 2 3 4 5 6 7 8 9 10  
To a great extent

F.5. On a scale from 1 to 10, to what extent have the **attitudes of the Social Innovation actors** improved due to the [Social Innovation process]?

Not at all  
1 2 3 4 5 6 7 8 9 10  
To a great extent

F.6. What are the most important **changes** you have observed in attitudes? (*List a maximum of three*)

1. \_\_\_\_\_ 2. \_\_\_\_\_ 3. \_\_\_\_\_

## G. NEW GOVERNANCE ARRANGEMENTS

### NEW INTERNAL GOVERNANCE ARRANGEMENTS

G.1. What are the most important changes in the internal functioning mechanisms you have adopted in the [Social Innovation process]? (*list a maximum of three*)

1. \_\_\_\_\_  
2. \_\_\_\_\_  
3. \_\_\_\_\_

G.2. On a scale from 1 to 10, to what extent can the mechanisms that the network adopted to run the [Social Innovation process] be considered innovative?

Not at all  
1 2 3 4 5 6 7 8 9 10  
To a great extent

G.3. Which of the following ways of managing the [Social Innovation process] have been used? (*tick all that apply*)

	Decided by a sub-group of actors	Agreed all together
Informal norms	1. <input type="checkbox"/>	2 <input type="checkbox"/>
Written norms/agreements	3. <input type="checkbox"/>	4 <input type="checkbox"/>

G.4. On a scale from 1 to 10, to what extent do you think that the adoption of only informal rules is adequate to orient the [Social Innovation process] development?

Not at all  
1 2 3 4 5 6 7 8 9 10  
To a great extent

G.5. Please explain why: \_\_\_\_\_

G.6. What types of sanctions, if any, were used for those not respecting the internal rules?

1. no sanctions or only moral sanctions
2. formalized and pre-defined sanctions
3. I don't know

G.7. How would you describe your involvement in decision making during the [Social Innovation process]?

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 participated in decision-making

G.8. On a scale from 1 to 10, to what extent did you feel empowered during the [Social Innovation process]?

Not at all To a great extent  
 1 2 3 4 5 6 7 8 9 10

G.9. Are the decision-making reports or agreements [...]

1. [...] easily available?  Yes  No
2. [...] regularly shared among all the actors?  Yes  No
3. [...] clear and complete?  Yes  No

**NEW EXTERNAL GOVERNANCE ARRANGEMENTS**

G.10. On a scale from 1 to 10, to what extent have the public actors improved their action(s), as a result of the [Social Innovation process]?

Not at all To a great extent  
 1 2 3 4 5 6 7 8 9 10

G.11. What are the most important **changes** you have observed in public actors? (*list a maximum of three*)

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

G.12. On a scale from 1 to 10, to what extent do you trust...

	Not at all									To a great extent
1. The European Union <sup>17</sup>	1	2	3	4	5	6	7	8	9	10
2. National government	1	2	3	4	5	6	7	8	9	10
3. Local politicians	1	2	3	4	5	6	7	8	9	10

**H. THE SOCIAL INNOVATION PROJECT AND ITS RESULTS**

H.16. How do you rate your level of satisfaction with the results of the [Social Innovation initiative] to date?

Not satisfied Fully satisfied  
 1 2 3 4 5 6 7 8 9 10

**I. THE WHOLE SOCIAL INNOVATION INITIATIVE**

<sup>17</sup> NB: The evaluator may change the European Union, when not an institution of reference, and refer to another supra-national (if existing) or inter-governmental organisation that fits the context or case.

I.1. On a scale from 1 to 10, to what extent the whole [Social Innovation initiative] is innovative?

Not at all  
1 2 3 4 5 6 7 8 9 10  
To a great extent

I.3. On a scale from 1 to 10, to what extent has the [Social Innovation initiative] satisfied the needs of the territory?

Not at all  
1 2 3 4 5 6 7 8 9 10  
To a great extent

I.4. To what extent have the items listed below contributed to the results of the [Social Innovation initiative]?

	Not at all								To a great extent	
1.Supportive policies	1	2	3	4	5	6	7	8	9	10
2.External helpers (e.g. advisors, animators)	1	2	3	4	5	6	7	8	9	10
3.Wider local community	1	2	3	4	5	6	7	8	9	10
4.Core group (Innovator(s) and Follower(s))	1	2	3	4	5	6	7	8	9	10
5.Members of the network	1	2	3	4	5	6	7	8	9	10
6.Project partners	1	2	3	4	5	6	7	8	9	10

#### J. THE EFFECTS and LEARNING PROCESS

J.8. What are the elements of the [Social Innovation initiative] which would help with its replication?

1. \_\_\_\_\_ 2. \_\_\_\_\_ 3. \_\_\_\_\_

## Tool 5 - Questionnaire to Project Partners<sup>18</sup>

Instructions in italics within square brackets are for the interviewer (e.g. as follows: [*if yes*]).  
The words highlighted within square brackets (e.g. as follows: [**Social Innovation initiative**]) are the technical terms that are likely to be substituted. When useful, the interviewer can substitute these technical terms (e.g. trigger, Social Innovation initiative, territory, etc.) with the description of the specific Case Study and temporal clues as identified during the Focus Group.

### ***To be completed by the interviewer***

*Interviewee:* \_\_\_\_\_ *Date:* \_\_\_\_\_

*Introduction of yourself, of the SIMRA project (leaflet). Ethical clearance documents.*

### **A. Basic information on the respondent**

A.1. Gender:                    1. Male                    2. Female                    9. I prefer not to respond

A.2. Highest degree or level of school you have completed:

1. No schooling completed
2. Lower than high school diploma
3. High school diploma
4. Bachelor's or higher university degree (PhD included)
5. Other

A.2.1. Please specify: \_\_\_\_\_

A.3. Employment:            1. Employed for wages    2. Self-employed            3. Out of work    4. Homemaker  
   5. Student            6. Military                    7. Retired                    8. Unable to work

A.5. How are you related to the local [territory]?

1. I have always lived here
2. I have lived here but I studied or worked away
3. I come from outside, but I have been living here for a while
4. I come from outside and consider myself a newcomer

A.8. At which level do you usually work? (Please select the prevalent option)

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

A.8.1. Please specify: \_\_\_\_\_

A.9. Within the network, are you predominantly representing a ...:

1. Business entrepreneur
2. Social entrepreneur
3. A member of a civil society organisation
4. A public sector official (different levels of administration)
5. Yourself
6. Other (Example: commons, religious organisation, etc.)

A.9.1. Please specify: \_\_\_\_\_

---

<sup>18</sup> The project manager and the key project partners.

## B. TRIGGER and NEEDS

B.4. [first column] The European Commission identified some policy priorities in relation to social issues. Do you think that your [Social Innovation idea] dealt with one or more **societal challenges** among those listed below?

B.5. [If “yes” is ticked, second column] Do you think that your [Social Innovation initiative] is likely to have contributed to their improvement in your [territory]? Use the following scale for Social Innovation CONTRIBUTION:

Not at all	To some extent	To a great extent
<input type="checkbox"/> 0	<input type="checkbox"/> 1	<input type="checkbox"/> 2

Societal Challenges	[Social Innovation idea] dealt with	[Social Innovation initiative] contribution
(1) Health and wellbeing	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(2) Demographic change (e.g. aging of population)	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(3) Income, jobs, education	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(4) Sustainable agriculture and forestry and food security	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(5) Water use and quality	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(6) Secure, clean and efficient energy	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(7) Smart, green and integrated cities and mobility	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(8) Environment and climate change	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(9) Social inclusion and cohesion	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(10) Innovation and modernisation	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(11) Security and freedom	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(12) Other (please specify): _____	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2

B.6. [First column] Do you think that your [Social Innovation initiative] emerged as a response or reaction to one or more of the governance issues listed below?

B.7. [Second column] Do you think that your [Social Innovation initiative] deals with one or more of them?

B.8. [Third column] Do you think that your [Social Innovation initiative] is likely to have led to their improvement in your [local territory]? Use the following scale for Social Innovation CONTRIBUTION:

Not at all	To some extent	To a great extent
<input type="checkbox"/> 0	<input type="checkbox"/> 1	<input type="checkbox"/> 2

	[Social Innovation initiative] reacted to	[Social Innovation initiative] deals with	[Social Innovation initiative] contributed to
(1) Options for citizens engagement	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(2) Stakeholder consultations	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(3) Voice of minorities	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(4) Gender balance	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(5) Transparency	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(6) Bureaucracy	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(7) Capacity of public administrations	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(8) Policy initiatives	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(9) Legal framework	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(10) Conflict of interests and corruption	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(11) Quality of public services	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(12) Market and economy	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
(13) Other (please specify): _____	<input type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2

## H. THE SOCIAL INNOVATION PROJECT AND ITS OUTPUTS

H.15. On a scale from 1 to 10, to what extent are the products and/or services innovative?

Not at all  
1 2 3 4 5 6 7 8 9 10  
To a great extent

H.16. How do you rate your level of satisfaction with the [Social Innovation initiative] results to date?

Not satisfied  
1 2 3 4 5 6 7 8 9 10  
Fully satisfied

## I. THE WHOLE SOCIAL INNOVATION INITIATIVE

I.1. On a scale from 1 to 10, to what extent is the whole [Social Innovation initiative] innovative?

Not at all  
1 2 3 4 5 6 7 8 9 10  
To a great extent

I.3. On a scale from 1 to 10, to what extent the [Social Innovation initiative] satisfied the needs of the territory?

Not at all  
1 2 3 4 5 6 7 8 9 10  
To a great extent

I.4. To what extent have the items listed below contributed to the results of the [Social Innovation initiative]?

	Not at all								To a great extent	
1.Supportive policies	1	2	3	4	5	6	7	8	9	10
2.External helpers (e.g. advisors, animators)	1	2	3	4	5	6	7	8	9	10
3.Wider local community	1	2	3	4	5	6	7	8	9	10
4.Core group (Innovator(s) and Follower(s))	1	2	3	4	5	6	7	8	9	10
5.Members of the network	1	2	3	4	5	6	7	8	9	10
6.Project partners	1	2	3	4	5	6	7	8	9	10

I.5. Given the current situation of the [Social Innovation initiative], in the last 3 years have you grown, remained more or less stable, or decreased (in terms of resources)?

1. Grown      2. Stable      3. Decreased

I.6. What is the current situation of the sector in which you work? Is it growing, more or less stable or decreasing?

1. Growing      2. Stable      3. Decreasing

I.7. Given the current situation of the [Social Innovation initiative], what are the expected prospects for the next 3 years? Will you grow, remain more or less stable, or decrease?

1. Grow      2. Stable      3. Decrease

I.9. What are the factors that make your [Social Innovation initiative] more likely to survive? (Tick all that applies)

1. Social Innovation provides products and services within a growing market (economic)
2. There are no significant competitors (economic)
3. Social Innovation is based on the engagement of highly motivated people (social)
4. Local people recognise the social value of the Social Innovation initiative (social)
5. The Social Innovation at least maintains the environmental value of the local territory (environmental)
6. The Social Innovation is based upon sustainable use of natural resources (environmental)
7. Local institutions are supportive of the Social Innovation initiative (institutional)
8. Social Innovation is recognised within the local legal and institutional frameworks and settings (institutional)
9. Other reasons 9.1. Please specify: \_\_\_\_\_

**J. THE EFFECTS and LEARNING PROCESS**

J.8. What elements of the [Social Innovation initiative] would help with its replication?

1. \_\_\_\_\_ 2. \_\_\_\_\_ 3. \_\_\_\_\_

J.11. To what extent, if at all, might your [Social Innovation initiative] have had negative or positive effects on any of the following domains, inside and outside your [territory]? Refer to the following scale:

Negative <input type="checkbox"/> -2	Slightly negative <input type="checkbox"/> -1	No effect <input type="checkbox"/> 0	Slightly positive <input type="checkbox"/> +1	Positive <input type="checkbox"/> +2	I don't know empty
---	--	---	--	---	-----------------------

	Inside your territory	Outside your territory
1. Environment	<input type="checkbox"/> -2 <input type="checkbox"/> -1 <input type="checkbox"/> 0 <input type="checkbox"/> +1 <input type="checkbox"/> +2	<input type="checkbox"/> -2 <input type="checkbox"/> -1 <input type="checkbox"/> 0 <input type="checkbox"/> +1 <input type="checkbox"/> +2
2. Economy	<input type="checkbox"/> -2 <input type="checkbox"/> -1 <input type="checkbox"/> 0 <input type="checkbox"/> +1 <input type="checkbox"/> +2	<input type="checkbox"/> -2 <input type="checkbox"/> -1 <input type="checkbox"/> 0 <input type="checkbox"/> +1 <input type="checkbox"/> +2
3. Social cohesion	<input type="checkbox"/> -2 <input type="checkbox"/> -1 <input type="checkbox"/> 0 <input type="checkbox"/> +1 <input type="checkbox"/> +2	<input type="checkbox"/> -2 <input type="checkbox"/> -1 <input type="checkbox"/> 0 <input type="checkbox"/> +1 <input type="checkbox"/> +2
4. Public administrations	<input type="checkbox"/> -2 <input type="checkbox"/> -1 <input type="checkbox"/> 0 <input type="checkbox"/> +1 <input type="checkbox"/> +2	<input type="checkbox"/> -2 <input type="checkbox"/> -1 <input type="checkbox"/> 0 <input type="checkbox"/> +1 <input type="checkbox"/> +2

J.13. If you were to start the [Social Innovation initiative] again, what would you do differently?

\_\_\_\_\_

## Tool 6 – Questionnaire to Beneficiaries<sup>19</sup>

Instructions in italics within square brackets are for the interviewer (e.g. as follows: [*if yes*]). The words highlighted within square brackets (e.g. as follows: [Social Innovation initiative]) are the technical terms that are likely to be substituted. When useful, the interviewer can substitute these technical terms (e.g. trigger, Social Innovation initiative, territory, etc.) with the description of the specific Case Study and temporal clues as identified during the Focus Group.

### ***To be completed by the interviewer***

Interviewee: \_\_\_\_\_ Date: \_\_\_\_\_

*Introduction of yourself, of the SIMRA project (leaflet). Ethical clearance documents.*

### **A. Basic information on the respondent**

A.1. Gender:                    1. Male                    2. Female                    9. I prefer not to respond

A.2. Highest degree or level of school you have completed:

1. No schooling completed
2. Lower than high school diploma
3. High school diploma
4. Bachelor's or higher university degree (PhD included)
5. Other

A.2.1. Please specify: \_\_\_\_\_

A.3. Employment:            1. Employed for wages    2. Self-employed            3. Out of work    4. Homemaker

5. Student            6. Military                    7. Retired                    8. Unable to work

A.4. Age:                    1. <20                    2. 21-30                    3. 31-40                    4. 41-50  
5. 51-60                    6. 61-70                    7. >70

A.5. How are you related to the local [territory]?

1. I have always lived here
2. I have lived here but I studied or worked away
3. I come from outside, but I have been living here for a while
4. I come from outside and consider myself a newcomer

---

<sup>19</sup> A representative sample of direct final beneficiaries, i.e. those directly using the final services and/or the products delivered by the Social Innovation project.

**H. THE SOCIAL INNOVATION PROJECT AND ITS OUTPUTS**

H.11. What are the new products and/or services, delivered from the [Social Innovation project], that you mainly benefit from?

Products	Services
1. _____	1. _____
2. _____	2. _____
3. _____	3. _____

H.12. On a scale from 1 to 10, to what extent are you satisfied with the delivered products and/or services?

Not at all	To a great extent
1 2 3 4 5 6 7 8 9 10	

H.13. On a scale from 1 to 10, to what extent do the products and/or services address your needs?

Not at all	To a great extent
1 2 3 4 5 6 7 8 9 10	

H.14. Specifically, which of your needs have been satisfied by the [Social Innovation project] products and/or services?

1. \_\_\_\_\_ 2. \_\_\_\_\_ 3. \_\_\_\_\_

H.15. On a scale from 1 to 10, to what extent are the products and/or services innovative?

Not at all	To a great extent
1 2 3 4 5 6 7 8 9 10	

**I. THE WHOLE SOCIAL INNOVATION INITIATIVE**

I.1. On a scale from 1 to 10, to what extent is the whole [Social Innovation initiative] innovative?

Not at all	To a great extent
1 2 3 4 5 6 7 8 9 10	

I.10. On a scale from 1 to 10, to what extent do you feel accepted, integrated and fulfilled within your community, as a result of the [Social Innovation initiative]?

Not at all	To a great extent
1 2 3 4 5 6 7 8 9 10	

**J. THE EFFECTS and LEARNING PROCESS**

J.1. Due to the [Social Innovation project] did you acquire new relations with...?

1. Institutions:  Yes  No  
 2. Other beneficiaries:  Yes  No      2.1. If yes, how many? |\_\_|\_\_|

J.2. You are considered a direct beneficiary of the [Social Innovation project]. Beyond you, who else has indirectly benefited from the [Social Innovation project]? (e.g. family, friends, colleagues, etc.)

\_\_\_\_\_

J.3. Could you estimate of the number of people who indirectly benefitted in the last year?  
 |\_|\_|\_|

J.9. To what extent would the positive effects, created in the territory through the [Social Innovation initiative] have been obtained without its intervention?

1. No, only the Social Innovation initiative could satisfy the specific needs of the territory
2. Yes, but it would have taken more time
3. Yes, but other similar initiatives only partially satisfied the needs of the territory
4. I don't know

J.9.1. Please, comment: \_\_\_\_\_

J.10. Has the [Social Innovation initiative] had any negative effects?  Yes  No  I don't know

J.10.1. [If yes] Where?  inside your territory  outside your territory

J.10.2. [If yes] To whom mainly?  people  organisations  enterprises  public bodies

J.10.3. [If yes] Please describe: \_\_\_\_\_

J.11. To what extent, if at all, might your [Social Innovation initiative] have had negative or positive effects on any of the following domains, inside and outside your [territory]? Refer to the following scale:

Negative	Slightly negative	No effect	Slightly positive	Positive	I don't know
<input type="checkbox"/> -2	<input type="checkbox"/> -1	<input type="checkbox"/> 0	<input type="checkbox"/> +1	<input type="checkbox"/> +2	empty

	Inside your territory	Outside your territory
1. Environment	<input type="checkbox"/> -2 <input type="checkbox"/> -1 <input type="checkbox"/> 0 <input type="checkbox"/> +1 <input type="checkbox"/> +2	<input type="checkbox"/> -2 <input type="checkbox"/> -1 <input type="checkbox"/> 0 <input type="checkbox"/> +1 <input type="checkbox"/> +2
2. Economy	<input type="checkbox"/> -2 <input type="checkbox"/> -1 <input type="checkbox"/> 0 <input type="checkbox"/> +1 <input type="checkbox"/> +2	<input type="checkbox"/> -2 <input type="checkbox"/> -1 <input type="checkbox"/> 0 <input type="checkbox"/> +1 <input type="checkbox"/> +2
3. Social cohesion	<input type="checkbox"/> -2 <input type="checkbox"/> -1 <input type="checkbox"/> 0 <input type="checkbox"/> +1 <input type="checkbox"/> +2	<input type="checkbox"/> -2 <input type="checkbox"/> -1 <input type="checkbox"/> 0 <input type="checkbox"/> +1 <input type="checkbox"/> +2
4. Public administrations	<input type="checkbox"/> -2 <input type="checkbox"/> -1 <input type="checkbox"/> 0 <input type="checkbox"/> +1 <input type="checkbox"/> +2	<input type="checkbox"/> -2 <input type="checkbox"/> -1 <input type="checkbox"/> 0 <input type="checkbox"/> +1 <input type="checkbox"/> +2

J.12. Could you list some examples of negative and positive effects in the four domains, if any?

Domain	Positive Effects	Negative Effects
<b>1. Environmental</b>	1 _____	1 _____
	2 _____	2 _____
	3 _____	3 _____
<b>2. Economic</b>	1 _____	1 _____
	2 _____	2 _____
	3 _____	3 _____
<b>3. Social</b>	1 _____	1 _____
	2 _____	2 _____
	3 _____	3 _____
<b>4. Institutional</b>	1 _____	1 _____
	2 _____	2 _____
	3 _____	3 _____



## Tools 7 to 8 for Qualitative Data Collection

### Tool 7 – Interview Guideline for Innovator(s) and People Involved in the Innovation Process

#### Introduction to the technique:

The semi-structured interviews are non-standardised, problem-centred, thematic interviews with **open-ended questions**, which are conducted by the interviewer in a **conversation-style mode**. Conversely to the standardised questionnaires with closed questions, which follow a deductive research logic, these semi-structured interviews follow an inductive logic. This means that the questions asked in the **interview have the purpose of triggering the storytelling of the Social Innovation case** and the answers are interpreted later, from the transcript. The questions are formulated as closely as possible to the colloquial language of the interviewees and their daily work and living environments.

In the inductive problem-centred research logic, the interview and all preparatory steps aim at maximising the learning on the case and to answer the research interests, i.e. the innovation processes in the case study, the influencing factors and the role of the institutional background, policies, outputs and outcome of the Social Innovation.

**Preparatory steps** are the selection of the interviewees (usually similar to those in the Focus Groups experts) and the adaptation of the interview guides to each of the interviews. **Before each interview**, a specific, **personalised interview guide is developed** by the evaluator according to the previous knowledge about the Social Innovation initiative (e.g. from other interviews), previous contacts with the interviewee (e.g. in the group interview of Tool 2) and their specific role.

Starting from one of the following blue-print interview guides, certain questions may be deleted, added, or adapted to be specific to the interviewee. Suggestions for such adaptations are found within the interview guides below. However, the overall structure of the interview guides should be kept. Start with an open question of “how the Social Innovation case started” and add a list of specific themes to be asked later in the interview. The questions try to trigger all relevant information needed for the analysis (Tool 10), nevertheless they do not necessarily follow the same structure since the interview guides should allow as much as possible for a natural conversation.

The following generic interview guides are written for an interview with an Innovator (to be adapted to other people involved in developing and implementing the innovation). The guides include purposeful opening questions (numbered) for the main themes and issues to be asked about. The proposed sub-questions (coded) indicate important aspects under each theme and are meant as supplementary questions asked if the relevant content is not provided.

In addition, during the interview, the **interviewers need to act flexibly and add supportive questions** such as: Can you expand on this? Can you give an example? Who else? What else? Why? When? How exactly? What exactly? Did this change over time? or other similar questions. The interview technique can be studied in text books (e.g. “Semi-structured or problem-centred, thematic interviews”).

#### NOTES TO THE INTERVIEWER

- The “Interview guide for Innovator(s) and people involved in the innovation process” is written for the Innovator(s) and should be adapted for other people from within the

Social Innovation case, such as: other collaborating or supporting actors, project partners, etc.].

- Do not start the interview “cold”. Have a little small talk as appropriate, accept water or coffee, let yourself be guided to the office where the interview is to take place. Introduce yourself (name and affiliation). Introduce the aim of the evaluation, only a few sentences about the background, but do not try to explain the concept of social innovation– that would only confuse people and bring up many more questions.
- Highlighted text is to be substituted by the content specified within it.

Interviewee: \_\_\_\_\_ Place, Date: \_\_\_\_\_

Affiliation (institution you represent): \_\_\_\_\_

Position: \_\_\_\_\_

Function within the Social Innovation: \_\_\_\_\_

Introduction of yourself, and of the aim of the evaluation. Ethical clearance documents.

**1. How did [name of the Social Innovation initiative] start?**

*[or: How did you come up with the idea of the Social Innovation initiative?]*

*[for interviewees other than the Innovator(s): When and how did you learn about the project? Why/when/how have you been involved in the project? Or similar.]*

*[for Future Learn Conference participants: During the group interview, we heard how the project started. But how exactly did you come up with the idea of the project?]*

*[remark: This question aims to start talking about the Social Innovation initiative and can already lead to telling the whole story, with all the aspects such as who was involved, etc.]*

**Sub-questions** (these questions could be asked if the interviewee does not provide the information following the main question):

[1.1. On ideas, triggers, impulses or stimuli for the innovation: Where did the idea come from? What caused the decision to start the Social Innovation initiative?]

[1.2. On problem context, individual and collective needs, or motivations: Why, in your view, is your project/such an activity so important? What problem does it try to solve? What were the opportunities to start the project? What do other people think about it?]

[1.3. On the further development of the Social Innovation initiative: How did the Social Innovation initiative develop? How did it change over time? What were the challenges or threats for the Social Innovation initiative? Were there any critical moments, situations or phases during the Social Innovation initiative? What types of barriers did you need to overcome, e.g. legislative barriers, budget constraints, opponents or critics ....?]

**2. What was your specific role in this [name of the Social Innovation initiative]?**

*[or: Can you say more about your specific role in the Social Innovation initiative?]*

**Sub-questions:**

[2.1. To invite them to provide more details: What/how did you contribute? Why did you get involved/why were you approached/why did you decide to collaborate? How did your role change over time?]

**3. Which actors (individuals or organisations) were involved in the Social Innovation initiative, and what were their roles?**

*[or: Who was involved in starting this activity? ... and in the later phases of the project?]*

*[or: You already mentioned xxx as actors who were involved. Who else was involved?]*

*[for group interview participants: During the Future Search Conference, xxx were mentioned as actors involved in starting the Social Innovation activity. What were the most important, and why? Were there any other people or organisations involved?]*

*[remark: This question aims to check that no important actors are forgotten, and to clarify their roles.]*

**Sub-questions:**

[3.1. For checking: Can you name ALL of the people and organisations that were involved in the Social Innovation initiative? For example, were some of the following types of actors involved: other companies? authorities? research or training organisations? advisory services? neighbours? media?]

[3.2. For each actor, ask about their specific role in the innovation process/project: What was their role? Why were they important? What did they do? How did that change over time?]

[3.3. On formal and informal collaborations: Were there any informal relations important, e.g. family, neighbours, friends, local people, contacts through other activities, a newspaper article, a journey ...?]

[3.4. On actor's capabilities: How do you perceive the role of actors (or actor XY) for the development of your Social Innovation initiative? Did these actors (actor XY) have enough skills and resources to contribute to your Social Innovation initiative?]

**4. Which information was important for developing and carrying out the [name of the Social Innovation initiative]?**

*[or: What were the central ideas/Can you explain more about the idea of the Social Innovation initiative? What know-how was important? What were the most important information sources?]*

**Sub-questions:**

[4.1. On the types of information/know-how: What knowledge of social and economic context; technical know-how, how to lead a business, know-how on market, clients, etc. was important?]

[4.2. On the sources of information: Where did you get the information from? Was anyone critical in pointing out the information and explaining it to you? How easy is to access relevant information in the region when it comes to such initiatives?]

**5. How was your [name of the Social Innovation initiative] funded?**

*[or: Which financial sources were important for the Social Innovation initiative?]*

**Sub-questions:**

[5.1. On details about the funding: How is your work in the project financed? Which external funds or non-monetary contributions were used? Which private and public sources were used? Who contributed to funding – which organisation? What is the name of the programme? What type of funding did you try to get but unsuccessfully? Why was this attempt not successful or did you drop the attempt?]

[5.2. On unsuccessful funding attempts: Which type of funding did you try to get but unsuccessfully? Why was this attempt not successful or why did you drop the attempt?]

[5.3. On the general situation of funding: Do you know about how similar projects are funded – are there any differences? How is the economic situation in the region with regard to such activities?]

[5.4. On the efficiency: How would you assess the ratio of funds obtained with respect to project outputs? How much did the project benefit from the funds obtained? Was the whole project efficient in obtaining results with respect to the resources invested?]

[5.5. On possible relevant additional contacts: Who can give more information about this question?]

**6. With whom did you cooperate in the [name of the Social Innovation initiative]?”**

*[or: Who was important for coordinating all the different actors that were involved?]*

**Sub-questions:**

[6.1. On details about networking, collaborations or coordination of actors: How did you find your partners to develop or to implement the Social Innovation initiative? Was there a central key actor who helped in networking, in finding partners, or in solving conflicts? What were the challenges in finding partners/information/financers/clients etc.?)]

[6.2. On conflicts and conflict resolution: Were there any critical situations or coalitions between actors during the Social Innovation initiative? Were there any latent or apparent conflicts during the Social Innovation initiative? How did you overcome those? Who had a positive/not so positive role in the Social Innovation initiative?]

[6.3. On new networks and collaborations: What new collaborations developed in course of the Social Innovation initiative?]

**7. Which policy support was relevant for the [name of the Social Innovation initiative]?”**

*[or: You already mentioned xxx as a policy. Were there any other relevant policies?]*

*[remark: We want to learn about any policy that was relevant as a regulation, funding source etc. and either as supportive or hindering factors. Mentions may have been made to this already either explicitly or indirectly. We ALSO want to learn about other institutional framework factors such as: research and training institutions, consultants, NGOs, official or informal organisations, networks, initiatives, etc.]*

**Sub-questions:**

[7.1. On role of policies: With which authorities did you have contact in course of the Social Innovation initiative? Which policies supported, and which hindered the Social Innovation initiative?]

[7.2. On other institutional frameworks: What other kind(s) of support did you receive for the Social Innovation initiative, e.g. from private organisations or networks, NGOs, etc.?)]

[7.3. On policy gaps: What kind(s) of support would have been helpful for the Social Innovation initiative? What should change in future to give better support for initiatives similar to yours?]

**8. What does the [name of the Social Innovation initiative] actually do?**

*[or: What are the innovative aspects of the Social Innovation initiative?]*

*[or: We already talked briefly about the project activities. How exactly does it work?]*

*[for Future Search Conference participants: During the group interview, the Social Innovation initiative was already described shortly. But what are the innovative aspects of the Social Innovation initiative, in your view? Can you describe in more detail/explain more about how the Social Innovation initiative works?]*

*[remark: We need to understand what the social innovation is about. Therefore, we need to know what the project actually does, and what is special and innovative about it. This includes decision-making aspects or new governance arrangements, etc.]*

**Sub-questions:**

[8.1. On project activities: How does the project work? What are the project activities?]

[8.2. On innovative aspects: What is special about your initiative? How does it differ from other examples? Is it the first of its kind? Do you know about any similar initiatives? What are the successful elements of the project/initiative? What would help with its replication?]

[8.3. On decision making: How are decisions taken in the Social Innovation initiative?]

**9. What are the most important achievements of the [name of the Social Innovation initiative]?**

*[or: You already mentioned xxx as an important output. Is there any other?]*

*[remark: This question relates to any outputs and outcomes of the project as well as future prospects.]*

**Sub-questions:**

[9.1. On outputs: What do you think the benefits of your activity are to the people in this area? How does the local community benefit from the Social Innovation initiative?]

[9.2. On outcomes: What has changed in the region with your activity in the Social Innovation initiative? What has changes with regard to people's minds, attitudes, beliefs, behaviour, cooperation, etc.? Do you think that some of the project's positive/negative effects in the territory would have arisen even if the Social Innovation initiative had not taken place?]

[9.3. On learning: What have you learnt through carrying out this Social Innovation initiative? What could others learn? If you were to start your Social Innovation initiative again, what would you do differently today?]

[9.4. On future prospects: How do you see your Social Innovation initiative develop in future? How would you assess the sustainability of your Social Innovation initiative, not just in economic terms but also in social terms? What are your future plans for your Social Innovation initiative? Has your initiative been replicated in other contexts or at a different scale?]

**10. Would you like to add anything?**

*[or: Did we forget anything which, from your view, seems important for the Social Innovation initiative?]*

[Interview conclusion: A sincere thank you. – Exchange contact details in case of further questions, to send the final report, etc.]

[Note to the interviewer: After the interview, write an ad hoc Memory Note where you summarise the whole interview. It should help you remember and structure the most important insights. The transcription will take time to be completed, which may lead to forgetting some of the crucial points. In this immediate note you should check if all of the questions were asked and if the answers were clear or contradictory. This reflection may help in formulating first hypotheses, or identifying knowledge gaps or further questions for the next interviews. According to the snowball principle, the interview may also indicate certain relevant documents to analyse or additional people who should be interviewed.]



## Tool 8 – Interview Guideline for Policy Experts and Other External Experts

### Introduction to the technique:

Same as semi-structured interviews to Innovator(s) (Tool 7).

[Note to the interviewer: The “Interview guide for policy experts and other external experts” is written for any public or private organisations that supported or were otherwise involved in the social innovation case, such as authorities, funding organisations, consultants, advisory services, associations, research or training institutes, companies, NGOs, etc.].

**Interviewee:** \_\_\_\_\_ **Place, Date:** \_\_\_\_\_

**Affiliation (institution you represent):** \_\_\_\_\_

**Position:** \_\_\_\_\_

**Function within the Social Innovation:** \_\_\_\_\_

Presentation of yourself and of the aims of the evaluation. Ethical clearance documents.

[Note to the interviewer: On how to start the interview, see the note for the semi-structured interviews to Innovator(s) and other key actors involved in the Social Innovation initiative (Tool 7).]

### 1. **What was/is your role in relation to this Social Innovation initiative [name of the case Social Innovation initiative]?”**

*[or: In which way have you been involved in the Social Innovation initiative?]*

*[for Future Search Conference participants: During the group interview, we heard about your role in this Social Innovation initiative. Can you describe that in more detail?]*

*[remark: This question aims to start talking about the Social Innovation initiative and can already lead to telling the whole story – all from the view of the expert interviewed. Go through the whole lifetime of the Social Innovation initiative.]*

#### **Sub-questions:**

[1.1. To invite them to tell more details: When did you first hear about the Social Innovation initiative? How/why were you contacted? What/how did you contribute? Why did you decide to collaborate? How did your role change over time?]

[1.2. On ideas, triggers, impulses or stimuli for the innovation: Do you know more about the background of the Social Innovation initiative, e.g. where the idea came from and what was an influence to starting the Social Innovation initiative?]

[1.3. On problem context, individual and collective needs, or motivations: Why, in your view, is this Social Innovation initiative important?]

[1.4. On the further development of the Social Innovation initiative: What challenges or critical situations were faced during the Social Innovation initiative? Were there any barriers to overcome, e.g. legislative barriers, budget constraints, opponents or critics ....? What were fostering and hindering factors for the Social Innovation initiative?]

[1.5. On the support provided (information/funding/networking/etc.) for the Social Innovation initiative: What kind of support did you provide? Which kind of information/funding/networking?]

[1.6. On other actors: Which actors (individuals or organisations) were involved in the Social Innovation initiative, and what were their roles?]

[1.7. On other policies: Which policies supported the Social Innovation initiative, and how?]

[1.8. On innovative aspects: What is special about your initiative? What differs from other examples? Is it the first of its kind? Are there similar initiatives that you know about? What are the successful elements of the initiative? Which would help with its replication?]

[1.9. On outputs and outcomes: In your view, what are the most important achievements of the Social Innovation initiative? How does the local community benefit from the Social Innovation initiative? What has changed in the region due to the activities of the Social Innovation initiative, and with regard to people's minds, attitudes, beliefs, behaviour, cooperation, etc.?)

[1.10. On learning and future prospects: What can be learnt from this Social Innovation initiative for similar initiatives? Do you know if this kind of initiative has been replicated in other contexts, areas or at a different scale?]

## **2. How does your organisation support this kind of **projects/initiatives** in general?**

*[remark: This question aims to talk in general about the policy, programme or mission under which the interviewed organisation supports this kind of projects/initiatives. We want to learn about the background of those policies or initiatives and how they give support for the relevant Social Innovation activities or initiatives.]*

### **Sub-questions:**

[2.1. To invite them to say more about the programme or mission: When, how and why was this programme created? How did it develop over time?]

[2.2. On ideas, triggers, impulses or stimuli for the programme or mission: Where did the idea or impulse come from to start this programme/activity?]

[2.3. On problem context, individual and collective needs, or motivations: Why, in your view, is your programme/activity so important? What problem does it try to solve? What previous support existed in the region for those types of initiatives?]

[2.4. On the conditions and further development of the programme or mission: What challenges or critical situations were faced during the programme/activity? Were there any barriers to overcome? What were/are the fostering and hindering factors for your programme and for the social innovation activities, such as we talked about regarding the Social Innovation initiative? What are the enabling and constraining conditions? What is the political support for your programme, and for the social innovation initiatives you are supporting? How would you assess the level of know-how and funding for this kind of initiatives in the region?]

[2.5. On other actors: Which actors (individuals or organisations) contributed to the development, formulation and implementation of the programme/activity and how? Which other actors support such social innovation activities?]

[2.6. On innovative aspects: What is special about your programme/activity?]

### **3. What does your programme/organisation actually do?**

*[or: What are the activities and innovative aspects of your programme/activities?]*

*[remark: We need a good understanding of what the policy programme or mission is about, what it does, and how it supports social innovation. This also includes the characteristics of its own social innovation such as new decision-making approaches or new governance arrangements, etc.]*

#### **Sub-questions:**

[3.1. On programme aims and activities: What are the programme aims and activities? How does it support this kind of activities?]

[3.2. On innovative aspects: What is special about your programme?]

[3.3. On decision making and governance arrangements: How are decisions taken and how is your programme or mission implemented?]

[3.4. On types of support provided: What kind of support is provided by your programme? How do you approach the target groups? Can they approach you?]

[3.5. On the types of support provided – information: What kind of information do you provide? How is it offered, and through what channels? How much interest is there for this kind of information service?]

[3.6. On types of support provided – funding: What kind of funding do you provide? How big is the budget, and how big is the need from target groups? What are the procedures and how easy is it for the target groups to receive it?]

[3.7. On types of support provided – networking: What kind of networking do you provide, and how? Who are the key actors? Is there significant interest in those networking services or opportunities? Are there latent conflicts, and what are the conflict resolutions mechanisms or strategies? Which new collaborations developed in course of the Social Innovation initiative?]

### **4. What are the most important achievements of your programme/activities?**

*[remark: This question relates to outputs, outcomes and future prospects of the programme or mission.]*

#### **Sub-questions:**

[4.1. On outputs and outcomes: In your view, what are the most important achievements of your programme/activity? What were the positive and negative effects? How does the local community benefit from the programme? What has changed after the programme started? What has changed also with regard to people's minds, attitudes, beliefs, behaviour, cooperation, etc.?)

[4.2. On learning and future prospects: What can be learnt from this programme/activity for other social innovation fields, other regions/countries or other contexts? Do you know if this

kind of programme/activity exists elsewhere, or if it has been replicated in other contexts or areas or at a different scale?]

**5. Would you like to add anything?**

*[or: Did we forget anything which, from your view, seems important for the Social Innovation initiative we were talking about or in relation to your programme and activities?]*

[Interview conclusion: A sincere thank you. Exchange contact details in case of further questions, to send the final report, etc.]

[Note to the interviewer: After the interview, write an ad hoc Memory Note where you summarise the whole interview ... see the notes at the end of Tool 7.]



## Data Entry

### Introduction to the Data Entry

The Technical Annex provides a set of operational quantitative and qualitative tools for data collection, together with specific tools for data entry and data analysis.

The three mandatory data entry tools that allow for the consequent analysis of the information on the Social Innovation initiative are different from one another.

- Tool 9 is a MS Excel file organised in several spreadsheets in which the evaluator inserts the quantitative data collected by means of Tools 1 to 6, to get the values of all the indicators.
- Tool 10 presents the structure that the evaluator must follow for the reporting of each qualitative interview (Tools 7 and 8) conducted, and providing evidence for the interpretation of the main contents. This is done after writing the transcript of each semi-structured interview, the result of which complements the quantitative analysis through use of the indicators.
- Tool 11 allows for a thorough content analysis of the policy documents relevant to the Social Innovation initiative collected and listed in section H of Tool 1.

For detailed information on each tool, refer to Sections 4.3, 5.1 and 5.2 of the SIMRA Manual.

## Tool 9 - Data Entry Tool for Data from Tools 1 to Tool 6 and Indicators

This tool is used to enter data collected during structured interviews based on Tools 1 to 6. The data entry and computation of values that this tool allows for, is within a separate MS Excel file (as you can see in Figure 9). This provides the computational functionality required to compute the indicators, and the desirability of a system that is transferable to users who do not need to invest in a specialist software package.

Herebelow a brief description of the structure of the Tool 9 with the support of Figures (Figures 10 to 14) to show a small selection of examples of data entry sheets contained in it, and instructions on how it should be used.

For information about access to the compiled toolset contact the team that developed it at the University of Padova, Italy: [laura.secco@unipd.it](mailto:laura.secco@unipd.it), [elena.pisani@unipd.it](mailto:elena.pisani@unipd.it), [riccardo.dare@unipd.it](mailto:riccardo.dare@unipd.it)

### The structure of Tool 9

The MS Excel file comprises 15 spreadsheets organised into 4 groups, as shown in Figure 9. These groups are:

- 1 spreadsheet with the detailed "Instructions" that provide the evaluator with a step by step guide on how to use the tool to obtain the scores of the indicators;
- 9 spreadsheets dedicated to data entry: the list of actors selected in the sample ("actors"), the 6 quantitative Tools (from "T1" to "T6"), and the square matrices for Social Network Analysis ("E.3" and "E.4");
- 2 spreadsheets that require manual calculation by the evaluator to facilitate the calculation of indicators based on Social Network Analysis ("SNA"), and on qualitative answers to open-ended questions in the questionnaires ("qualitative");
- 3 spreadsheets (SIMRA General Indexes "SIMRA1", "SIMRA2" and "SIMRA3") that return the value of each indicator within its range.

*Figure 9. Homepage and overall structure of Tool 9 in its 15 spreadsheets*



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



UNIVERSITÀ  
DEGLI STUDI  
DI PADOVA

## 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

#### D4.3 - Manual on Innovative Methods to Assess SI and its Impacts Tool 9 - Data entry tool for data from Tool 1 to Tool 6 and indicators

**Authors:** Laura Secco, Elena Pisani, Riccardo Da Re, Kamini Vicentini; Elena Górriz-Mifsud, Valentino Govigli, Mariana Melnykovich, Inazio Martinez de Arano; Elisa Ravazzoli, Cristina Dalla Torre, Thomas Streifeneder.

**Acknowledgment:** Todor Rogelja, Alice Ludvig, Gerhard Weiss, Ivana Zivojinovic, Diana Tuomasiukka, Micheal Den Herde, Marko Lovric, Achilleas Vassilopoulos, Eban Akinsete, Phoebe Koundouri, Antonio Lopolito, Maurizio Prosperi, Antonio Baselice, Nico Polman, Marijke Dijkshoorn, Maria Nijnik, David Miller, Carla Barlagne, Richard Hewitt, Irina Prokofiev.

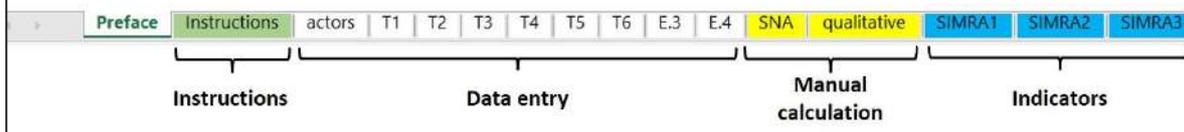
Approved by Work Package Manager of WP4: Laura Secco, University of Padova.

Date: 30/07/2019

Approved by Project Coordinator: Maria Nijnik, James Hutton Institute

Date: 30/07/2019

This document was produced under the terms and conditions of Grant Agreement No. 677622 for the European Commission. It does not necessarily reflect the view of the European Union and in no way anticipates the Commission's future policy in this area.



### Instructions for the evaluator

The instructions provided to the evaluator in the first spreadsheet of the MS Excel file, can be summarised in the following 5 steps.

1. How to use the Tool: a quick overview of the structure of the Tool is given, and the use of colours is explained in detail, in particular -
  - a. the evaluator has to complete ONLY the blue cells!
2. How to make the data entry: general rules are provided for all spreadsheets (i.e. how to manage missing values) and specific rules for each group of spreadsheets -
  - a. when each spreadsheet is completed, the evaluator must press the "DONE" button in cell A8. This will enable the automatic calculation of the indicators in the last 3 spreadsheets (Figure 12).

Questions code, description and range			Section of the questionnaire											
Session	Interview e_ID	Interview e_Name	Date	A. Basic information									B. TRIGGER and NEEDS	
Code	identification code	name	Date	A.1	A.2	A.2.1	A.3	A.5	A.8	A.8.1	A.9	A.9.1	B.4.1	B.4.2
Description			Date	Gender	Education	Education _specify	Employment	Relation with community	Multiple level	Multiple level_specify	Multiple actors	Multiple actors_specify	Societal challenge	Societal challenge Health
Range	[1-N]	[text]	[date]	[1;2;9]	[1;2;3;4;5]	[text]	;2;3;4;5;6;7;	[1;2;3;4]	[1;2;3;4]	[text]	[1;2;3;4;5;6]	[text]	[1;0]	[1;0]
Did you entry all data? NOT YET														
The «DONE» button			Blue cells for data entry											

Figure 10. View of the spreadsheet for data entry from Tool 5. Details of a spreadsheet for data entry.

3. How to check the data quality: tips are provided on the specific issues of -
  - a. the use of the variable range to check the data
  - b. the substitution of missing values, which must be done very carefully
  - c. how to manage the square matrices for Social Network Analysis
  - d. the importance of checking the content of qualitative answers before proceeding with the data entry, as many formulas based on qualitative data automatically produce a score of 1 if the cell is not empty.

Figure 11. View of Question E.3 in Tool 3 and Tool 4, data entry spreadsheet (square matrix for network analysis).

4. How to carry out the manual calculations in the “SNA” and “qualitative” spreadsheets
5. How to enjoy the final indicators, which are automatically calculated when all of the buttons labelled as “DONE” have been activated (Figures 12 to 14).

**F4: Example of automatic formula**

=SE(E('T3'!A8="DONE";'T4'!A8="DONE");MEDIA(MEDIA('T3'!KA5:KA6);MEDIA('T3'!NB5:NB6;'T4'!HW5:HW104))); "NA")

A	B	C	D	E	F	G	H	I	J	K	L	M
<b>SIMRA 3 - Conventional evaluation of Social Innovation</b>	<b>X11 - Relevance</b>	X11.1 - Process		X11.2 - Project		X11.3 - Initiative						
		[0-100]	[0-100]	[1-10]	[0-3]	[1-10]	[0-100]	[0-100]				
		<b>R1</b>	<b>R2</b>	<b>R3</b>	<b>R4</b>	<b>R5</b>	<b>R6</b>	<b>R7</b>				
		50,00	33,33	5,00	1,00	6,50	0,00	62,50				
	<b>X12 - Efficiency</b>	X12.1 - Process			X12.2 - Project			X12.3 - Initiative				
		[0-3]	[0.1-10]	[0-1]	[1-100;100]	[1-4]	[1-4]	[0-100]	[0.1-10]			
		<b>E1</b>	<b>E2</b>	<b>E3</b>	<b>E4</b>	<b>E5</b>	<b>E6</b>	<b>E7</b>	<b>E8</b>			
		2,00	0,78	0,57	27,27	3,00	1,00	57,14	0,88			
	<b>X13 - Effectiveness</b>	X13.1 - Process			X13.2 - Project			X13.3 - Initiative				
		[0-100]	[1-10]	[-1; +1]	[0-3]	[1-10]	[0-100]	[0-100]	[1-3]	[1-10]	[1-10]	[-1; +1]
		<b>F1</b>	<b>F2</b>	<b>F3</b>	<b>F4</b>	<b>F5</b>	<b>F6</b>	<b>F7</b>	<b>F8</b>	<b>F9</b>	<b>F10</b>	<b>F11</b>
		33,33	6,44	0,19	1,40	6,33	100,00	60,00	1,00	7,50	7,36	0,29
	<b>X14 - Impact</b>	X14.1 - Project			X14.4 - Initiative							
		[1-10]	[0-100]	[0-100]	[0-100]	[-1; +1]	[-2;+2]	[-2;+2]	[-2;+2]	[0-100]	[0-100]	[0-100]
		<b>I1</b>	<b>I2</b>	<b>I3</b>	<b>I4</b>	<b>I5</b>	<b>I6</b>	<b>I7</b>	<b>I8</b>	<b>I9</b>	<b>I10</b>	<b>I11</b>
	8,00	97,01	40,00	75,00	0,27	0,65	0,83	0,31	68,75	46,35	38,75	
<b>X15 - Sustainability</b>	X15.1 - Project		X15.2 - Initiative									
	[0-100]	[1-6]	[-1; +1]	[-3; +3]	[0-100]							
	<b>S1</b>	<b>S2</b>	<b>S3</b>	<b>S4</b>	<b>S5</b>							
	75,00	1,50	-0,26	0,50	52,78							

**Indicator range**  
**Indicator code**  
**Indicator score**

**General index**   **Index**   **Composite indicator**   **Indicator**

Figure 12. View of SIMRA3 General Index. Example of spreadsheet with final indicators.

	A	B	C	D	E	F	G	H	I	J
<b>SIMRA 1 - Rapid evaluation of Social Innovation</b>	<b>X1 - Reconfiguring of social practices</b>	[1-10]	[1-10]	[0-3]	[1-10]	[0,1,2,3]				
		<b>SIR1</b>	<b>SIR2</b>	<b>SIR3</b>	<b>SIR4</b>	<b>SIR5</b>				
		NA	NA	NA	NA	NA				
	<b>X2 - Response to societal challenges</b>	[0-100]	[0-100]							
		<b>SIS1</b>	<b>SIS2</b>							
		NA	NA							
	<b>X3 - Outcomes on social wellbeing</b>	[-2;+2]	[0-100]							
		<b>SIO1</b>	<b>SIO2</b>							
		NA	NA							
	<b>X4 - Engagement of civil society</b>	[0.1-10]	[0-100]	[0-100]	[0-100]					
		<b>SIE1</b>	<b>SIE2</b>	<b>SIE3</b>	<b>SIE4</b>					
		NA	NA	NA	NA					
	<b>X5 - Perceived Innovativeness</b>	[1-10]	[0-100]							
		<b>SII1</b>	<b>SII2</b>							
		NA	NA							

actors   T1   T2   T3   T4   T5   T6   E.3   E.4   SNA   qualitative   SIMRA1   SIMRA2

Figure 13. View of SIMRA1 General Index (without computed values).

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	U	
SIMRA 2 - Detailed evaluation of Social Innovation	X6 - Reflection	X6.1 - Trigger and Social Needs						X6.2 - POI														
		[0-100]	[0-6]	[0-100]	[0-100]	[0-12]	[1-10]	[0-100]														
		Aa1	Aa2	Aa3	Aa4	Ba1	Ba2	Ba3														
		NA	NA	NA	NA	NA	NA	NA														
	X7 - Reaction	X7.1 - S idea		X7.2 - Leadership		X7.3 - Resilience		X7.4 - Capabilities			X7.5 - Drivers			X7.6 - Preparatory actions								
		[0-100]	[1-10]	[0-100]	[1-10]	[1-10]	[0-100]	[0-100]	[0-100]	[0-100]	[0-100]	[1-10]	[0-100]	[0-100]	[0-100]	[0-100]	[0-100]	[0-100]	[0-100]	[0-100]	[0-100]	[0-100]
		Ca1	Ca2	Cb1	Cb2	Cc1	Cc2	Cd1	Cd2	Cd3	Da1	Da2	Da3	Db1	Db2	Db3	Ed1					
		NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA					
	X8 - Reconfiguring	X8.1 - New networks														X8.2 - New attitudes		X8.3 - New governance arrangements				
		[1-4]	[0-1]	[1-10]	[0-100]	[0-100]	[0-100]	[0-100]	[0-100]	[0-11]	[0-1]	[0-100]	[0-11]	[1-10]	[1-10]	[1-10]	[0-100]	[1-4]	[0-100]	[0-100]	[1-10]	[1-10]
Ea1		Ea2	Ea3	Ea4	Ea5	Ea6	Ea7	Ea8	Ea9	Ea10	Ea11	Ea12	Ea13	Eb1	Eb2	Ec1	Ec2	Ec3	Ec4	Ec5	Ec6	
	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	
X9 - Realization	X9.1 - Planning and Management							X9.2 - Support					X9.3 - Beneficiaries									
	[0-9]	[0-9]	[0-9]	[0-9]	[0-9]	[0-9]	[0-9]	[1-10]	[0-100]	[0-100]	[0-100]	[0-100]	[0-100]	[0-100]	[0-100]	[0-100]	[0-100]	[0-100]	[0-100]	[0-100]	[0-100]	
	Fa1	Fa2	Fa3	Fa4	Fa5	Fa6	Fa7	Fb1	Fb2	Fb3	Fb4	Fb5	Ga1	Ga2	Ga3	Ga4						
	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA						
X10 - Replication	X10.1 - Feedback and multiplier effects				X10.2 - Critical Innovation Effects																	
	[0-100]	[0-100]	[0-100]	[0-100]	[0-100]	[0-500]	[0-100]															
	Ha1	Ha2	Ha3	Ha4	Hb1	Hb2	Hb3															
	NA	NA	NA	NA	NA	NA	NA															

Figure 14. View of SIMRA2 General Index (without computed values).

## Tool 10 - Semi-structured Interview Reporting and Analysis

Source: adapted from D4.2:130

### Explanations:

This report documents the main content of each interview. It is a first content analysis.

The report is **structured to align with the main research questions** relating to the semi-structured interview. It does not follow the interview guide strictly, because the interviews should be done in a conversational style and use colloquial language, whereas this report is structured to fit the analytical logic of the evaluation framework. Hence, the **answers need to be interpreted from the interview transcripts by the author of the report.**

The **answers for certain criteria** in this report **may be found at various places in the transcript**, e.g. answers on the “societal challenges” will be found at the beginning of the interview when the interviewee spoke about their “motivations” and the “policy challenges”, at the end when they were asked about “project achievements”, and in other places if such topics were touched upon in course of the interview. It is important to carefully read the whole transcript and get an understanding of the content, and then fill out this report.

One of these reports should be produced for each interviewee after the transcription. The report criteria are oriented at those which are used in the quantitative structured interviews. The answers and citations from the transcripts support the development of **the “narrative part” of the Social Innovation initiative findings** that complement the standardized indicator-based analysis.

In the first column (“Main contents”), the evaluator should enter the central themes of the interview in the form of direct citations from the transcripts. The second column (“Supplementary contents”) should be used for supplementary statements that relate to the same theme. The “Summaries of the statements” should give a clear and understandable answer to the criterion in the headlines (third column). In the “Commentary” (fourth column), explanatory background information should be entered which helps in the interpretation of the interview results. There should also be an indication of which of the statements are central and/or verified by other information. Or, enter an explanation of why there are doubts or contradictory results from other parts of the interview, from other interviews or from other sources.

Under each criterion, one or several main statements should be entered, adding new lines for further “main contents”. Always provide the line numbers from the transcripts in the original language so that the original text can be easily found in later stages of the analysis.



<p><b>Interviewee information</b></p> <p>Name:</p> <p>Affiliation &amp; role:</p> <p>Date &amp; place of interview:</p>
---

<p><b>Criteria: Characteristics of the respondent and relationship to the Social Innovation initiative</b></p> <ul style="list-style-type: none"> <li>• Specific background and role of the interviewee in relation to the Social Innovation initiative (=Social Innovation process and Social Innovation project).</li> </ul>			
<p><b>Main contents</b>, direct citation(s) from transcript (with line numbers)</p>	<p><b>Supplementary contents</b>, direct citation(s) from transcript (with line numbers)</p>	<p><b>Summaries of the statements by evaluator</b>, answering in short the criteria from the headlines</p>	<p><b>Commentary from evaluator</b> (for supporting the interpretation, e.g. background knowledge on the roles of the interviewees, information from the group interview, etc.)</p>

<p><b>Criteria: Characteristics of the Social Innovation initiative</b></p> <ul style="list-style-type: none"> <li>• Chronology of the initiative according to the interviewee (including ideas, triggers, impulses at the start, milestones in the further development and possible critical stages etc.)</li> <li>• Sector (agriculture, forestry, rural development, mixture between sectors...), geographic/administrative scope (local, regional, national), and innovative aspects of the case</li> </ul>			
<p><b>Main contents</b>, direct citation(s) (with line numbers)</p>	<p><b>Supplementary contents</b>, direct citation(s) (with line numbers)</p>	<p><b>Summaries of the statements by evaluator</b></p>	<p><b>Commentary from evaluator</b></p>

<p><b>Criteria: Problem context, individual and collective needs, and motivations</b></p> <ul style="list-style-type: none"> <li>• Societal problem and needs that the initiative is related to; specific needs of certain groups or actors; political–institutional needs for the initiative or for the region (perceived context)</li> <li>• Other societal influences</li> <li>• Personal motivations of the respondent</li> </ul>			
<p><b>Main contents</b>, direct citation(s) (with line numbers)</p>	<p><b>Supplementary contents</b>, direct citation(s) (with line numbers)</p>	<p><b>Summaries of the statements by evaluator</b></p>	<p><b>Commentary from evaluator</b></p>

<b>Criteria: <u>Project content and activities</u></b>			
<ul style="list-style-type: none"> <li>• Description of project goals and activities</li> <li>• Innovative aspects</li> </ul>			
<b>Main contents</b> , direct citation(s) (with line numbers)	<b>Supplementary contents</b> , direct citation(s) (with line numbers)	<b>Summaries of the statements by evaluator</b>	<b>Commentary from evaluator</b>

<b>Criteria: <u>Role of information in the Case Study</u></b>			
<ul style="list-style-type: none"> <li>• Sources of the idea(s), sources of knowledge, access to knowledge</li> <li>• Types of relevant knowledge (knowledge of social and economic context; technical know-how, how to lead a business, know-how about market, clients, etc.)</li> </ul>			
<b>Main contents</b> , direct citation(s) (with line numbers)	<b>Supplementary contents</b> , direct citation(s) (with line numbers)	<b>Summaries of the statements by evaluator</b>	<b>Commentary from evaluator</b>

<b>Criteria: <u>Funding/financial sources/other resources of the Social Innovation initiative</u></b>			
<ul style="list-style-type: none"> <li>• What economic and social resources were relevant for the Social Innovation initiative? Where did/do the resources come from? What were and are the financial aims of the project?</li> <li>• Sources of funding (public and private; which funding programme) (to what extent and in which way is the project self-financing?)</li> <li>• Successful and unsuccessful funding attempts, procedures, etc.?</li> <li>• General situation of funding for such initiatives in the region?</li> <li>• Future outlook on finances, current and future financing strategies?</li> </ul>			
<b>Main contents</b> , direct citation(s) (with line numbers)	<b>Supplementary contents</b> , direct citation(s) (with line numbers)	<b>Summaries of the statements by evaluator</b>	<b>Commentary from evaluator</b>

<b>Criteria: <u>Actors involved/agency</u></b>			
<ul style="list-style-type: none"> <li>• Who are the actors involved in starting this activity and in later phases of the Social Innovation initiative?</li> <li>• Roles of actors (specific project roles, information and know-how, funding, networking, etc.)</li> <li>• formal and informal collaborations</li> </ul>			
<b>Main contents</b> , direct citation(s) (with line numbers)	<b>Supplementary contents</b> , direct citation(s) (with line numbers)	<b>Summaries of the statements by evaluator</b>	<b>Commentary from evaluator</b>

**Criteria: Networks, coordination, cooperation and conflicts**

- Ways of interaction of actors and stakeholders?
- How did you find your partners? Is cooperation facilitated by certain organisations or actors, and how?
- Is there any reconfiguration of networks (which new cooperation)?
- Are there specific, new or innovative forms of collaboration?
- Latent or apparent conflicts between actors?
- Conflict solving strategies and solutions?
- Main future needs and challenges for the initiative?

Main contents, direct citation(s) (with line numbers)	Supplementary contents, direct citation(s) (with line numbers)	Summaries of the statements by evaluator	Commentary from evaluator

**Criteria: The role of policies and institutional frameworks**

- Which authorities were/are involved, what was/is their roles, how is the relationship with them?
- What is the perception of participants of the support by policies? Are there any perceived policy gaps? What barriers exist?
- What is the actual policy support in terms of:
  - finances (name of the policy(ies), carrier, aims and target groups, year, and how does it support the Social Innovation initiative)
  - information (name of the policy(ies), carrier, aims and target groups, year, and how does it support the Social Innovation initiative)
  - facilitation of networking (name of the policy(ies), carrier, aims and target groups, year, and how does it support the Social Innovation initiative)
  - legal regulations? (name of the policy(ies), carrier, aims and target groups, year, and how does it support the Social Innovation initiative)
- Which other institutional actors or organisations supported the Social Innovation initiative?
  - Public: other institutional frameworks such as: research and training institutions, etc.
  - Private: private organisations or networks, NGOs, consultants, informal networks, initiatives, media, etc.
- What are main, relevant, future needs for the initiative in terms of institutional support?

Main contents, direct citation(s) (with line numbers)	Supplementary contents, direct citation(s) (with line numbers)	Summaries of the statements by evaluator	Commentary from evaluator

**Criterion: Overall assessment, learning and future prospects of the Case**

- Success factors for the Social Innovation initiative
- Hindering factors for the Social Innovation initiative
- General factors for this kind of Social Innovation in the region (according to interview)
- Learning processes
- Future prospects of the case and for this kind of Social Innovation in the region (according to interview)

<b>Main contents, direct citation(s) (with line numbers)</b>	<b>Supplementary contents, direct citation(s) (with line numbers)</b>	<b>Summaries of the statements by evaluator</b>	<b>Commentary from evaluator</b>

**Criteria: Outputs of the project**

- Direct project outputs: Direct Benefits of project activity for the people in the area and the local community

<b>Main contents, direct citation(s) (with line numbers)</b>	<b>Supplementary contents, direct citation(s) (with line numbers)</b>	<b>Summaries of the statements by evaluator</b>	<b>Commentary from evaluator</b>

**Criteria: Impacts and outcomes of the Social Innovation initiative**

- What has changed in the region with your activity in the Social Innovation project?
- Positive and negative effects of the Social Innovation initiative?
- What has changed with regard to people's attitudes, beliefs, behaviour, cooperation, etc.?
- What new governance arrangements or attitudes to decision taking arose?
- Are there plans to replicate or upscale the initiative?

<b>Main contents, direct citation(s) (with line numbers)</b>	<b>Supplementary contents, direct citation(s) (with line numbers)</b>	<b>Summaries of the statements by evaluator</b>	<b>Commentary from evaluator</b>

**Criteria: Other relevant information, remarks**

- Was there any other relevant information mentioned in the interview?
- Is there anything else of relevance for the Social Innovation initiative implementation or analysis that was mentioned in the interview?
- Remarks by the interviewer

<b>Main contents, direct citation(s) (with line numbers)</b>	<b>Supplementary contents, direct citation(s) (with line numbers)</b>	<b>Summaries of the statements by evaluator</b>	<b>Commentary from evaluator</b>



## Tool 11 - Policy Document Content Analysis

### Explanations:

This report should provide: 1) a listing of all policies that appeared to be relevant for the case study, and 2) a simple content analysis of those selected policy documents that had a central and direct role.

Policy documents are formal rules, such as a constitution, laws, bylaws, ordinances, etc. that provide a regulatory framework in a sector and contain certain policy instruments such as regulations (prohibitions or orders), funding (e.g. subsidies), or informational tools (advisory services, planning documents, statistics, etc.). Some of those policies and political framework conditions have been identified in the descriptions of the Social Innovation initiative. In the semi-structured interviews, interviewed partners should be asked to identify such policies.

The case study team also produces a reference list of secondary literature and policy documents that should be saved and uploaded. The evaluation distinguishes between policies that are indirectly or directly relevant for the case. A list should be produced of all of the direct and indirect policies discovered of relevance in the course of the research on the Social Innovation initiative, e.g. through exploratory research (Tool 1, session H), the group interview (Tool 2) or the semi-structured interviews (Tool 8).

1) Indirect policy documents have an indirect impact on the “institutional framework conditions” in the region. The Social Innovation case may benefit or may be hindered by those policies (regional or rural start-up or innovation regulations or support programmes, rural/regional development programmes, social policies, education policies, employment policies, regulations for nature parks or national parks, hygienic directives for direct marketing, etc.).

2) Direct policy documents contain specific regulations in the field of the social innovation of the Social Innovation initiative (e.g. LEADER/CLLD, EIP, INTERREG, social innovation programmes, start-up support for social entrepreneurs, regulations on social farming and green care, new regulations that define CSAs and make them eligible for funding, etc.). In the case of EU policies, consideration should be given to the national and regional documents, e.g. LEADER regional development strategies, EIP Operational Groups, INTERREG project plans, etc.

For those specifically relevant policies, the policy document analysis report should be completed (Part 2, described below).

## Part 1. List of Direct and Indirect Policy Documents Relevant to the Social Innovation Initiative

Based on Tool 1 – section H, Policy processes of interest, list all of the direct and indirect policies that have been identified as being relevant for the case study.

Title of the document (in original and English translation):  
Date of issue:  
Scope (EU, national, regional, local):  
Source of the document (name of the organisation issuing the document, and www.link):

## Part 2. Analysis of Direct Policy Documents Relevant to or the Social Innovation Initiative

Analyse those direct policies that played a central role for the Social Innovation initiative. The following report tool supports and structures the collection of policy documents, the extraction of relevant sections and comments by the evaluator. Separate the “content” (citation) from the interpretation (evaluator’s comments). This is important for the analysis and scientific publications. The aim of this analysis (together with the interviews) is to identify the role of policies for the case (or vice versa) and to analyse how the policies work. This should be from how such policies are formulated to how they are implemented by the public administration, and how they are perceived by the target groups. Repeat this section for each policy document.

Title of the document (in original and English translation):  
Date of issue:  
Scope (EU, national, regional, local):  
Source of the document (name of the organisation issuing the document, and www.link):

### Main contents:

Provide a brief summary of the provisions of the policy document in relation of the social innovation and what impact it had/has on the case and in the region (one paragraph):

**Item to be evaluated:** Definition of “innovation” and “social innovation” or “social entrepreneurship”, etc.

Provide the specific definitions and more general conceptualisations of Social Innovation in the document, found in general regulations, or when those keywords are mentioned in other contexts (e.g R&D, agriculture, forestry, fishery, small-scale business, social groups, participation of stakeholders, etc.).

<b>Source</b> /page /paragraph	<b>Content</b> , direct “citations” from document (English translation)	<b>Commentary from evaluator</b> (interpretation)

**Item to be evaluated: Main content and innovative aspects**

Include the main provisions and activities regarding the Social Innovation theme and if specific Social Innovation aspects are found in the policy (e.g. support of existing or new networks or cooperation), the creation of new institutions, creation of new governance arrangements (e.g. with civil society actors or other actors not yet considered by policies).

<b>Source</b> /page /paragraph	<b>Content</b> , direct “citations” from document (English translation)	<b>Commentary from evaluator</b> (interpretation)

**Item to be evaluated: Goals or aims** related to the Social Innovation of the Social Innovation initiative.

This may contain general aims, concrete objectives, or the definition of the specific problem/issue to be targeted by the policy. Please be aware that goals are not always clearly given, but search for both specific and vague formulations, including explicit and implicit goals, aims or objectives.

<b>Source</b> /page /paragraph	<b>Content</b> , direct “citations” from document (English translation)	<b>Commentary from evaluator</b> (interpretation)

**Item to be evaluated: Means and instruments targeting Social Innovation. Regulatory instruments** (prohibitions or orders).

This includes duties, prohibitions and regulations related to necessary approval required from authorities.

<b>Source</b> /page /paragraph	<b>Content</b> , direct “citations” from document (English translation)	<b>Commentary from evaluator</b> (interpretation)

<b>Item to be evaluated:</b> Means and instruments targeting Social Innovation: <b>Financial instruments</b> (e.g. subsidies or other support).		
<b>Source</b> /page /paragraph	<b>Content,</b> direct “citations” from document (English translation)	<b>Commentary from evaluator</b> (interpretation)

<b>Item to be evaluated:</b> Means and instruments targeting Social Innovation: <b>Informational instruments</b> These include instruments of information and persuasion, e.g. advisory services, statistical instruments, planning instruments, training programmes, campaigns, etc.		
<b>Source</b> /page /paragraph	<b>Content,</b> direct “citations” from document (English translation)	<b>Commentary from evaluator</b> (interpretation)

<b>Item to be evaluated:</b> Other policy contents or other comments that you deem relevant		
<b>Source</b> /page /paragraph	<b>Content,</b> direct “citations” from document (English translation)	<b>Commentary from evaluator</b> (interpretation)



# Fiches of Indicators of the Social Innovation

## Introduction to the Fiches

This part of the Technical Annex focuses on quantitative methods and, specifically, on indicators.

An indicator is a data element that represents data for a specified time or place, and a specified characteristic.

In SIMRA, the research team has developed a unique set of indicators characterised by a high degree of flexibility regarding their possible use in different contexts and diverse sectors of intervention.

Before implementing the data collection, the evaluator has to select the most appropriate indicators concerning the specific evaluation needs to address.

The Figures will guide the evaluator in their selection of the most appropriate evaluation option; these are:

- Figure 1 understanding of the general structure of the SIMRA evaluation;
- Figure 2 clarifying the organisation of the SIMRA rapid evaluation;
- Figure 3 specifying the organisation of the SIMRA detailed evaluation;
- Figure 4 presenting the organisation of the SIMRA conventional evaluation.

Based on the option selected, the evaluator has to specify the indicators based on the elements clarified in:

- Figure 5 providing evidence for the indicators and indexes of the SIMRA rapid evaluation;
- Figure 6 presenting the indicators, composite indicators and indexes of the SIMRA detailed evaluation;
- Figure 7 specifying the indicators, composite indicators and indexes of the SIMRA conventional evaluation.

The selection of the indicators, composite indicators and indexes will be guided by the use of three tables detailing the general evaluation questions and the specific evaluation questions. These tables are:

- Table 1 containing the key elements for the SIMRA rapid evaluation of Social Innovation;
- Table 2 containing the key elements for the SIMRA detailed evaluation of Social Innovation;
- Table 3 containing the key elements for the SIMRA conventional evaluation of Social Innovation.

The tables highlight the judgement criteria helping in the interpretation of results.

After the selection process, the Technical Annex presents the detailed technical fiches of the SIMRA indicators.

### Warning

The following set of Figures and Tables are numbered from 1 onwards. This reflects the expectation that the fiches may be used separately from the rest of the Technical Annex.

# General structure of the SIMRA evaluation

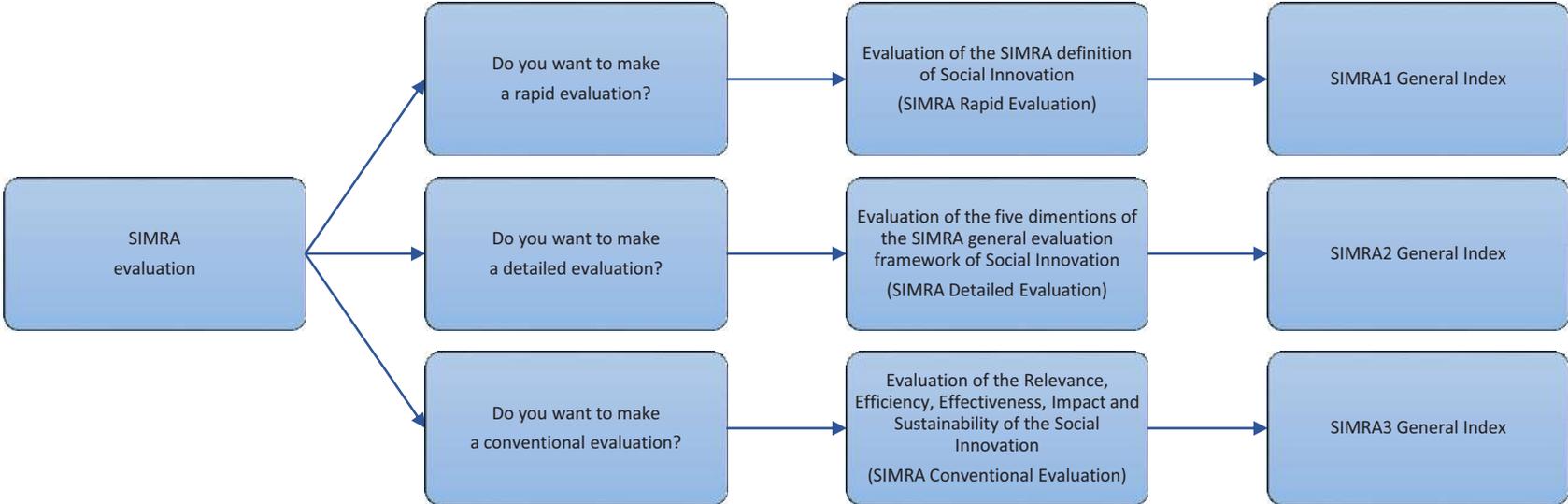


Figure 1. Organization of the SIMRA evaluation

## Do you want to make a rapid evaluation of Social Innovation?

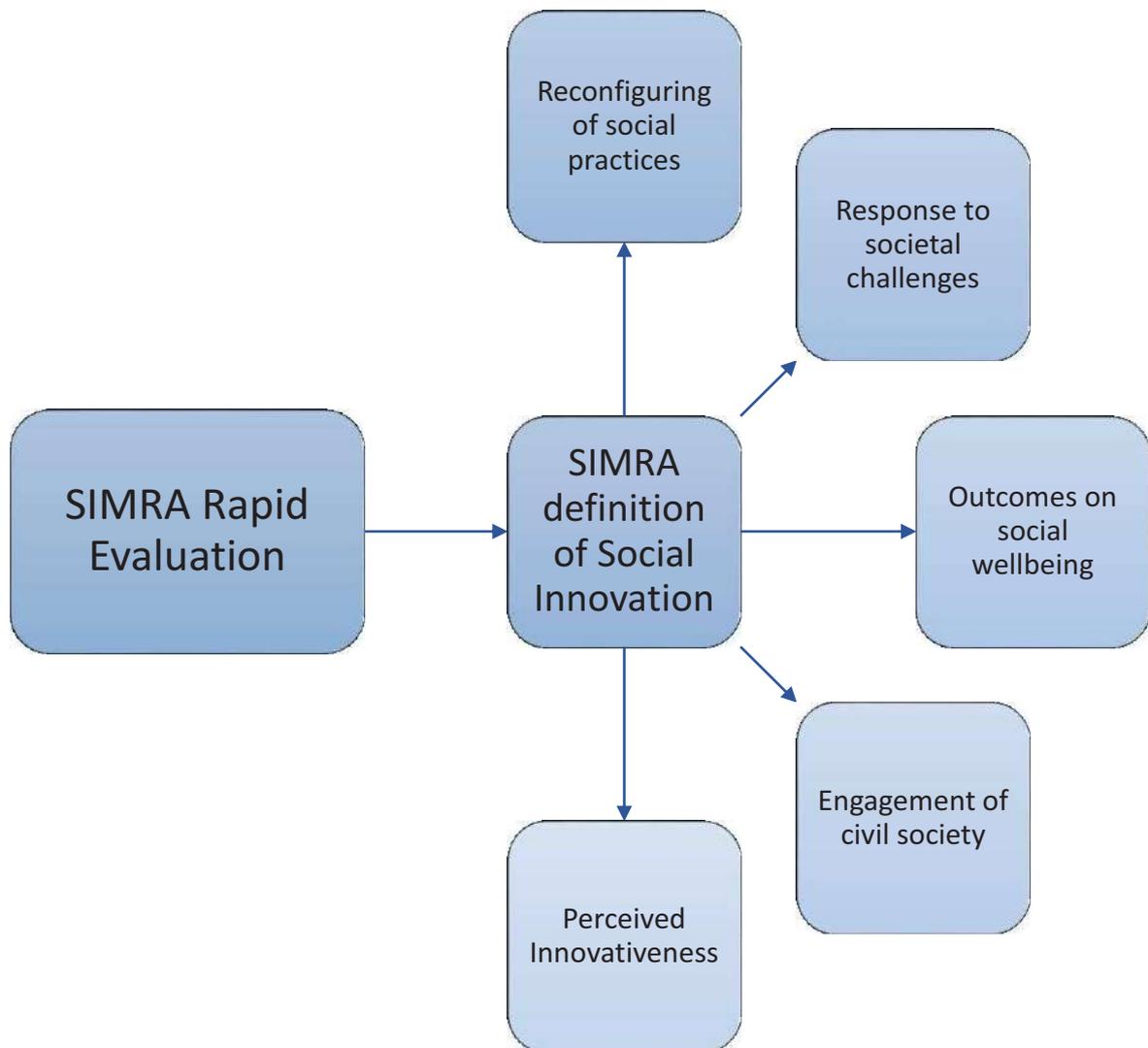


Figure 2. Organization of the SIMRA Rapid Evaluation of Social Innovation

## Do you want to make a detailed evaluation of Social Innovation?

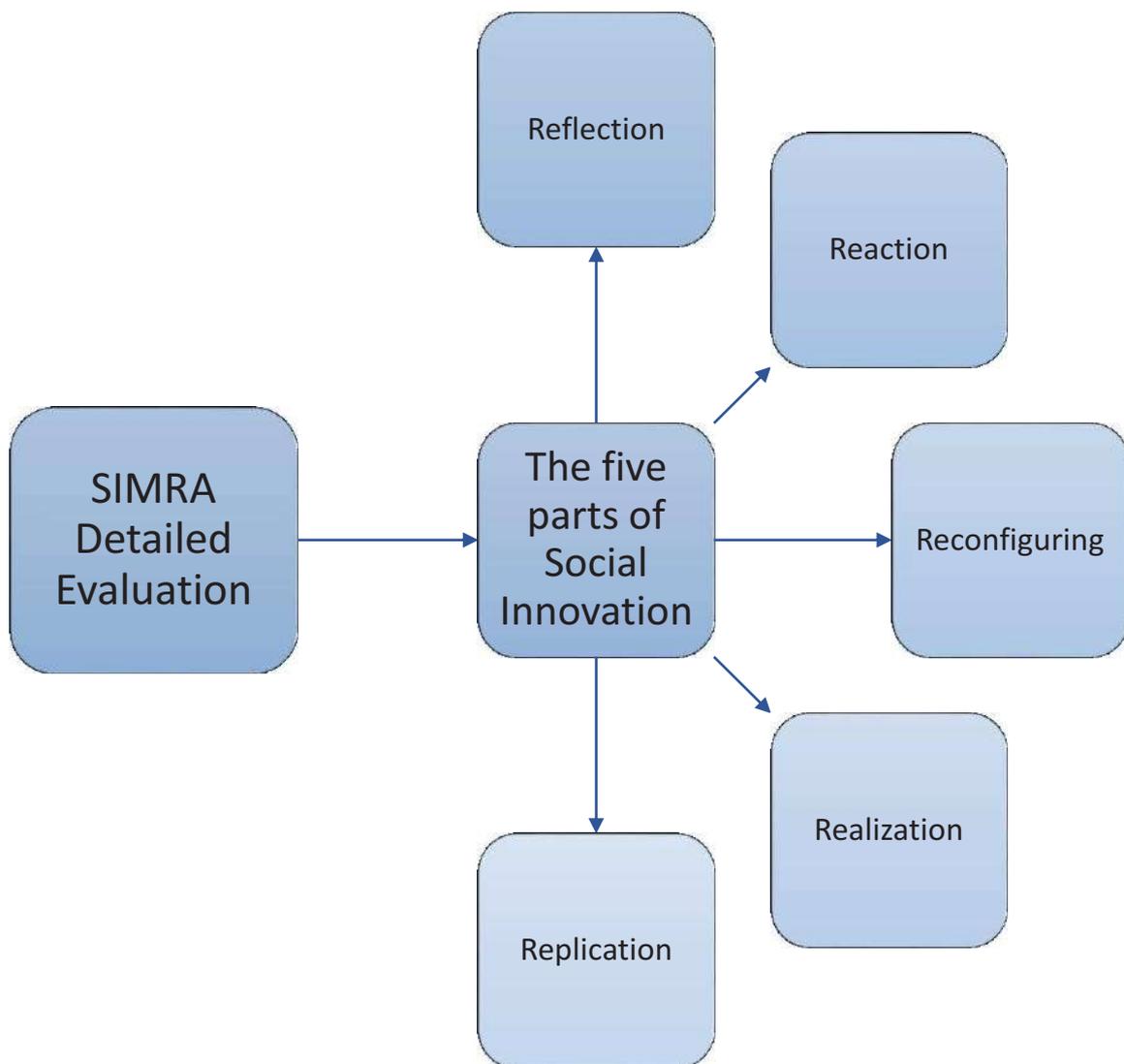


Figure 3. Organization of the SIMRA Detailed Evaluation of the Social Innovation

## Do you want to make a conventional evaluation of Social Innovation?

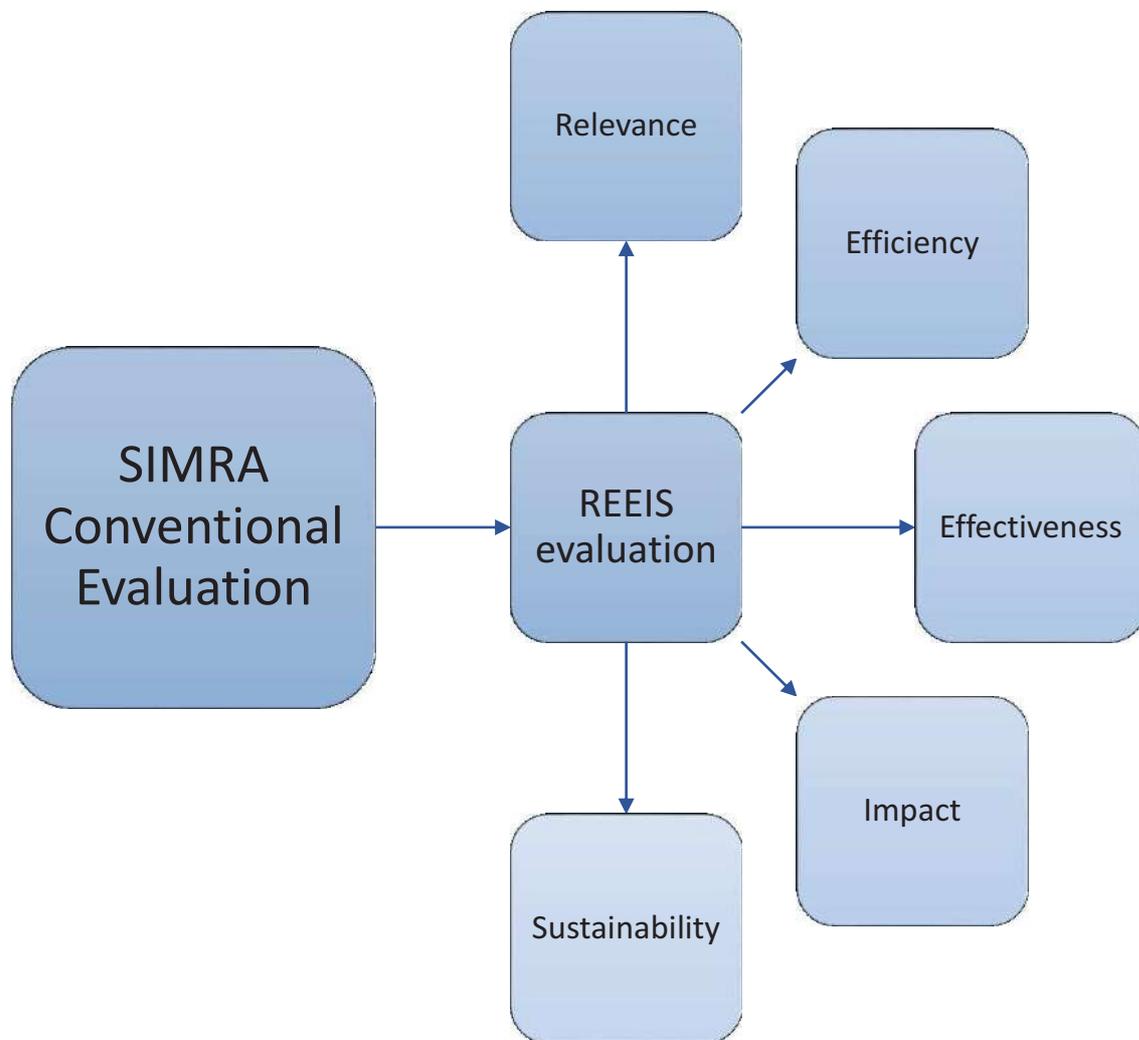


Figure 4. Organization of the SIMRA Conventional Evaluation of Social Innovation

# SIMRA Rapid Evaluation: from indicators to the SIMRA1 general index

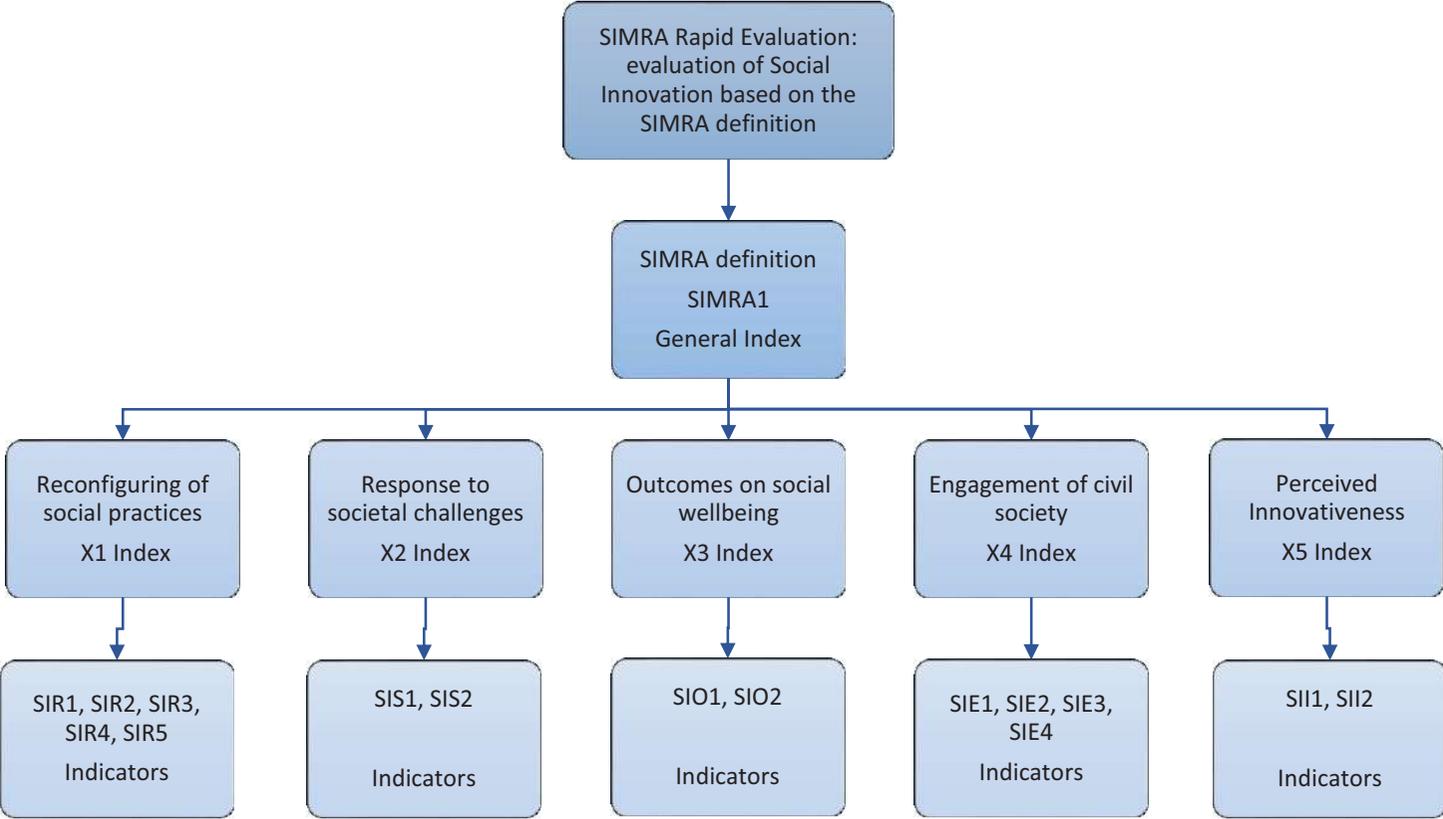


Figure 5. The sequence of the SIMRA Rapid Evaluation

*Table 1. Key elements of the SIMRA Rapid Evaluation*

<i>General evaluation questions</i>	<i>Index</i>	<i>Specific evaluation questions</i>	<i>Indicator</i>		<i>Judgement criterion</i>
To what extent has the reconfiguration of social practices occurred?	<b>X1</b> Reconfiguring of social practices	To what extent have social practices improved due to the Social Innovation process, according to the individual perception of actors?	<b>SIR1</b>	Individual perceptions of actors of the improvement in social practices due to the Social Innovation process	The higher the individual perceptions of actors of the improvement in social practices, the greater the capacity of the Social Innovation process to determine a reconfiguration.
		To what extent have social practices improved due to the Social Innovation process, according to the collective perception of the actors involved?	<b>SIR2</b>	Collective perceptions of actors of the improvement in social practices due to the Social Innovation process	The higher the collective perception of actors of the improvement in social practices, the greater the capability of the Social Innovation process to determine a reconfiguration.
		To what extent have social practices been reconfigured due to the Social Innovation process, according to the perceptions of actors?	<b>SIR3</b>	Perception of actors of the extent of the process of reconfiguration	The higher the number of changes perceived by the actors, the more the Social Innovation process can make a difference compared to the normal social practices used in the local context.
		To what extent has the Social Innovation process been perceived as innovative?	<b>SIR4</b>	Perceived level of innovation in the Social Innovation process	The higher the perceived level of innovation in the Social Innovation process, the greater its capability to determine the reconfiguration of social practices.
		To what extent has the Social Innovation process improved social practices, governance arrangements and social networks?	<b>SIR5</b>	Level of improvement resulted from the Social Innovation process	The higher the level of improvement resulted from the Social Innovation process, the greater the likelihood of the Social Innovation initiative creating a change.
To what extent has the Social Innovation been a response to social challenges?	<b>X2</b> Response to Societal challenges	To what extent has the Social Innovation initiative dealt with European societal challenges?	<b>SIS1</b>	Capability of the Social Innovation idea to deal with multiple European societal challenges	The higher the capacity of the Social Innovation initiative to deal with multiple European societal challenges at the same time, the greater the likelihood that it will spread its effects into different domains.
		To what extent has the Social Innovation initiative improved the European societal challenges in the territory, according to the Social Innovation actors?	<b>SIS2</b>	Perception of actors of the European societal challenges being improved in the territory due to the Social Innovation initiative	The higher the perception of the actors of the extent to which the European societal challenges have been addressed due to the Social Innovation initiative, the greater the likelihood that they will have positive effects in the local context.
To what extent have the outcomes on social wellbeing been achieved through the Social	<b>X3</b> Outcomes on social wellbeing	To what extent has the Social Innovation initiative affected social cohesion inside and outside the territory according to the beneficiaries?	<b>SIO1</b>	Perception of beneficiaries of changes in social cohesion inside and outside the territory	The higher the net positive effect on social cohesion inside and outside the territory as perceived by beneficiaries, the greater the likelihood of the Social Innovation initiative creating a positive impact.

Innovation initiative?		To what extent has the Social Innovation initiative improved aspects of governance in the territory?	<b>SIO2</b>	Contribution of the Social Innovation initiative to the improvement in aspects of governance in the territory	The higher the improvement in aspects of governance in the territory led by the Social Innovation initiative, the greater the likelihood of it creating positive governance and institutional impacts.
To what extent has the Social Innovation determined the engagement of civil society?	<b>X4</b> Engagement of civil society	To what extent has the local community contributed to the results of the Social Innovation initiative?	<b>SIE1</b>	Contribution of the local community to the results of the Social Innovation initiative	The higher the contribution of the local community to the results of the Social Innovation initiative, the greater its capacity to produce effects on multiple actors.
		To what extent has the motivation to serve a good cause inspired the actors in the Social Innovation network?	<b>SIE2</b>	Motivation of actors for engaging in the Social Innovation initiative	The higher the motivation of actors to serve a good cause by engaging in the Social Innovation initiative, the greater the likelihood of the Social Innovation initiative to produce its expected results and to achieve the desired effects in the long term.
		To what extent have the actors been participating in network meetings?	<b>SIE3</b>	Participation of actors in network meetings	The higher the level of participation in network meetings, the greater the likelihood of actors of the network of being aware and engaged in the Social Innovation initiative.
		To what extent has the Social Innovation network engaged civil society?	<b>SIE4</b>	Civil society engagement in the Social Innovation network	The higher the engagement of civil society in the Social Innovation network, the greater the likelihood of the Social Innovation process to produce its expected results.
To what extent has the Social Innovation been perceived as innovative?	<b>X5</b> Perceived innovativeness	To what extent has the Social Innovation initiative been validate as innovative, according to the Social Innovation actors and beneficiaries?	<b>SI11</b>	Internal validation of the innovativeness of the Social Innovation initiative	The higher the internal validation of innovativeness of the Social Innovation initiative, the higher its likelihood to produce innovative results.
		To what extent has each phase of the Social Innovation initiative been validated as innovative?	<b>SI12</b>	External validation of the innovativeness of the Social Innovation initiative as perceived by the actors	The higher the external validation of innovativeness of the Social Innovation initiative, the higher its likelihood to produce innovative results.

## How to Read an Indicator Fiche

 Row A: The list of tools is provided to enable the identification of which tool(s) is(are) being used for what indicator.

 Row B: The codes of the question(s) that is(are) being employed to calculate the specific indicator. These codes are the same question codes reported for the respective tools indicated in Row A. Each question code in the table is linked to the relevant question in the tool. Moving downwards in each column, the users will be guided on the construction of each indicator as they read down the columns; in particular, the questions and type of answers are specified (Row C). These last may be dichotomous, open, perception scale, Likert Scale, etc.

 Rows D and E (in *italics*): Details of the question variables that are reported in the MS Excel file provided with this document. Together, the rows named “variable codes in MS Excel” and “variable range in MS Excel” are to inform the user of the specific variables required in the MS Excel file, and to support the person who calculates the indicators to understand the types of data (range) to be used in the calculation.

 Row F: The procedure for calculating the indicator (sometimes, when for complex calculations, presented in steps) is explained. As the indicator calculation takes into account all of the questions listed in the table, the cell explaining the calculation is relevant to all the columns.

 The range of values of the indicator is shown in Row G.

A	Tools	1	2	3	4	5	6
B	Question codes			E.7, G.2	E.7, G.2		
C	Type of answers			Likert Scale [1 to 10]	Likert Scale [1 to 10]		
D	<i>Variable codes in MS Excel</i>			<i>E.7, G.2</i>	<i>E.7, G.2</i>		
E	<i>Variable range in MS Excel</i>			<i>[1 to 10]</i>	<i>[1 to 10]</i>		
F	Data computation	<b>Step 1: Compute the means of each of Tools 3 and 4</b> <b>Step 2: Mean of the means in Step 1</b>					
G	Indicator Range			[1 to 10]			

Figure 8. Example of an indicator fiche

Note: Indicators identified with (\*) are based on data from the Social Network Analysis

### Index X1 “Reconfiguring of social practices” (SIR1, SIR2, SIR3, SIR4, SIR5)

**Indicator SIR1. “Individual perceptions of actors of the improvement in social practices due to the Social Innovation process”**

**Specific evaluation question:** To what extent have social practices improved due to the Social Innovation process, according to the individual perception of actors?

**Description:** The indicator measures the individual perceptions of actors of the improvement in social practices (i.e. new relationships established [E.2], change in personal attitudes [F.4], personal empowerment [G.8]) due to the Social Innovation. The perceptions of Innovator(s), Follower(s) and Transformer(s) are measured on a Likert Scale from 1 (not at all) to 10 (to a great extent).

**Judgement criterion:** The higher the individual perceptions of actors of the improvement in social practices, the greater the capability of the Social Innovation process to determine a reconfiguration.

Tools	1	2	3	4	5	6	
Question codes			E.2, F.4, G.8	E.2, F.4, G.8			
Type of answers			Likert Scale [1 to 10]	Likert Scale [1 to 10]			
Variable codes in MS Excel			E.2, F.4, G.8	E.2, F.4, G.8			
Variable range in MS Excel			[1 to 10]	[1 to 10]			
Data computation			Compute the mean of all answers from Tools 3 and 4				
Indicator Range			[1 to 10]				

**Notes:** To be interpreted with indicator SIR2.

### Indicator SIR2. “Collective perceptions of actors of the improvement in social practices due to the Social Innovation process”

**Specific evaluation question:** To what extent have social practices improved due to the Social Innovation process, according to the collective perception of the actors involved?

**Description:** The indicator measures the collective perception of actors of the improvement in social practices (i.e. the level of inclusiveness of actors of the network who are normally not included in the community initiatives [E.6]; improvement in actions of actors who are members of the public [G.10]; improvement in the attitudes of the actors of the Social Innovation [F.5]). Innovator(s), Follower(s) and Transformer(s) perceptions are measured on a Likert Scale from 1 (not at all) to 10 (to a great extent).

**Judgement criterion:** The higher the collective perception of actors of the improvement in social practices, the greater the capability of the Social Innovation process to determine a reconfiguration.

Tools	1	2	3	4	5	6	
Question codes			E.6, F.5, G.10	E.6, F.5, G.10			
Type of answers			Likert Scale [1 to 10]	Likert Scale [1 to 10]			
Variable codes in MS Excel			E.6, F.5, G.10	E.6, F.5, G.10			
Variable range in MS Excel			[1 to 10]	[1 to 10]			
Data computation			Compute the mean of all answers from Tools 3 and 4				
Indicator Range			[1 to 10]				

**Notes:** To be interpreted with SIR1.

### Indicator SIR3. “Perception of actors of the extent of the process of reconfiguration”

**Specific evaluation question:** To what extent have social practices been reconfigured due to the Social Innovation process, according to the perceptions of actors?

**Description:** The indicator measures the extent of the reconfiguration process as perceived by the actors in terms of the three most important changes observed: (i) within the network [E.8]; (ii) in attitudes [F.6]; (iii) in internal mechanisms of governance [G.1]; (iv) in member of the public [G.11]. The changes are specifically identified and mentioned by the actors with a maximum limit of 3 for each of the four categories previously described. The perceptions are those of the actors involved in the Social Innovation process, which are the Innovator(s), Follower(s) and Transformer(s).

**Judgement criterion:** The higher the number of changes perceived by the actors, the more the Social Innovation process can make a difference compared to the normal social practices used in the local context.

Tools	1	2	3	4	5	6
<b>Question codes</b>			E.8, F.6, G.1, G.11	E.8, F.6, G.1, G.11		
<b>Type of answers</b>			Text, [3 changes observed in network], [3 changes observed in attitudes], [3 changes observed in internal mechanisms of governance], [3 changes observed in members of the public]			
<b>Variable codes in MS Excel</b>			<i>E.8.1 to E.8.3, F.6.1 to F.6.3, G.1.1 to G.1.3, G.11.1 to G.11.3</i>	<i>E.8.1 to E.8.3, F.6.1 to F.6.3, G.1.1 to G.1.3, G.11.1 to G.11.3</i>		
<b>Variable range in MS Excel</b>			<i>[text]</i>	<i>[text]</i>		
<b>Data computation</b>			<b>Step 1: Every valid answer is counted as 1</b> <b>Step 2: For each question, sum the valid answers [0 to 3] per individual respondent of each of Tools 3 and 4</b> <b>Step 3: Compute the means of each respondent</b> <b>Step 4: Mean of the means in Step 3</b>			
<b>Indicator Range</b>			<b>[0 to 3]</b>			

**Notes:** The indicator is based on qualitative answers, which can be used to describe the quantitative outputs.

### Indicator SIR4. “Perceived level of innovation in the Social Innovation process”

**Specific evaluation question:** To what extent has the Social Innovation process been perceived as innovative?

**Description:** The indicator measures to what extent the Social Innovation network has been innovative in relation to: (i) the network reconfiguring with respect to the situation before it started [E.7]; the internal mechanisms of governance to run the Social Innovation process [G.2]. The level of innovation is measured on a Likert Scale from 1 (“Not new at all” or “Not at all”) to 10 (“Totally new” or “To a great extent”). The perceptions are those of the actors involved in the Social Innovation process: Innovator(s), Follower(s) and Transformer(s).

**Judgement criterion:** The higher the perceived level of innovation in the Social Innovation process, the greater its capability to determine the reconfiguration of social practices.

Tools	1	2	3	4	5	6	
Question codes			E.7, G.2	E.7, G.2			
Type of answers			Likert Scale [1 to 10]	Likert Scale [1 to 10]			
Variable codes in MS Excel			E.7, G.2	E.7, G.2			
Variable range in MS Excel			[1 to 10]	[1 to 10]			
Data computation			Compute the mean of all answers from Tools 3 and 4				
Indicator Range			[1 to 10]				

Notes: None.

### Indicator SIR5. “Level of improvement resulted from the Social Innovation process”

**Specific evaluation question:** To what extent has the Social Innovation process improved social practices, governance arrangements and social networks?

**Description:** The indicator measures the level of improvement resulted from the Social Innovation process in terms of: (i) increased density of the collaborations, by comparing the density of the collaborations amongst actors before the Social Innovation process and “during” it [E.3]; (ii) improvement in internal governance arrangements through “taking the decision all together” in relation to both informal and written norms/agreements [G.3]; (iii) improvement in new institutional measures or external governance arrangements in relation to the entire Social Innovation initiative [G.13]. The measure has been computed by aggregating and/or comparing the Innovator(s), Follower(s) and Transformer(s) responses. Different metrics are used for different questions.

**Judgement criterion:** The higher the level of improvement resulted from the Social Innovation process, the greater the likelihood of the Social Innovation initiative creating a change.

Tools	1	2	3	4	5	6	
Question codes			E.3, G.3, G.13	E.3, G.3			
Type of answers			Social Network Analysis, 4 options “tick all that apply”, [1; 0]	Social Network Analysis, 4 options “tick all that apply”			
Variable codes in MS Excel			E.3.1, E.3.2, G.3.2, G.3.3, G.3.4, G.13.1, G.13.5, G.13.9	E.3.1, E.3.2, G.3.2, G.3.3, G.3.4			
Variable range in MS Excel			List of [1; 0], [1; 0], [1 to 7; empty]	List of [1; 0], [1; 0]			
Data computation			<b>Step 1: Give a score of 1 if Density (E.3.2) - Density (E.3.1) &gt; 0</b> <b>Step 2: Give a score of 1 if at least 75% of respondents to</b>				

		<p>question G.3 ticked answer “Agreed all together” [G.3.2 or G.3.4]</p> <p><b>Step 3: Give a score of 1 if at least 75% of respondents to question G.3 ticked answer “Written norms/agreements” [G.3.3 or G.3.4]</b></p> <p><b>Step 4: Give a score of 1 if G.13 is not empty (at least one valid answer)</b></p> <p><b>Step 5: Sum the scores from Steps 1, 2, 3 and 4</b></p>	
<b>Indicator Range</b>		[0-4]	

**Notes:** The term “valid” answer means that the evaluator should check the quality of the reconfigured governance arrangement provided by respondents and, above all, if the answers of respondents do not match. Qualitative information contained in G.13 (second, third and fourth columns) should be used for a further interpretation of the indicator.

## Index X2 “Response to societal challenges” (SIS1, SIS2)

### Indicator SIS1. “Capability of the Social Innovation idea to deal with multiple European societal challenges”

**Specific evaluation question:** To what extent has the Social Innovation initiative dealt with European societal challenges?

**Description:** The indicator measures the capacity of the Social Innovation idea to tackle, at the same time, multiple European societal challenges as identified in the Europe 2020 strategy (see [https://ec.europa.eu/programmes/horizon2020/en/h2020-section\(s\)societal-challenges](https://ec.europa.eu/programmes/horizon2020/en/h2020-section(s)societal-challenges)). The European societal challenges are: (i) health; (ii) ageing of population; (iii) income, jobs, education; (iv) sustainable agriculture and food security; (v) water use and quality; (vi) secure, clean and efficient energy; (vii) smart, green and integrated transport; (viii) environment and climate change; (ix) inclusive societies; innovative societies; (x) secure societies. The computation is based on the identification by Innovator(s), Follower(s) and project partners of the different challenges addressed by the Social Innovation idea, i.e. (i) Health and wellbeing; (ii) Demographic change (e.g. aging of the population); (iii) Income, jobs, education; (iv) Sustainable agriculture and forestry and food security; (v) Water use and quality; (vi) Secure, clean and efficient energy; (vii) Smart, green and integrated cities and mobility; (viii) Environment and climate change; (ix) Social inclusion and cohesion; (x) Innovation and modernisation; (xi) Security and freedom.

**Judgement criterion:** The higher the capacity of the Social Innovation initiative to deal with multiple European societal challenges at the same time, the greater the likelihood that it will spread its effects into different domains.

Tools	1	2	3	4	5	6
<b>Question codes</b>			B.4	B.4	B.4	
<b>Type of answers</b>			11 options [Yes, No]	11 options [Yes, No]	11 options [Yes, No]	
<b>Variable codes in MS Excel</b>			B.4.1 to B.4.11	B.4.1 to B.4.11	B.4.1 to B.4.11	

<i>Variable range in MS Excel</i>			[1; 0]	[1; 0]	[1; 0]	
<b>Data computation</b>			<b>Step 1: Mean of “yes” for all the respondents of each of Tools 3 and 4</b> <b>Step 2: Mean of “yes” for all the respondents of Tool 5</b> <b>Step 3: Percentage of step 1: 100*(Mean of “yes” in Step 1)/11</b> <b>Step 4: Percentage of step 2: 100*(Mean of “yes” in Step 2)/11</b> <b>Step 5: Compute the mean of percentages from Step 3 and Step 4</b>			
<b>Indicator Range</b>			<b>[0 to 100]</b>			

**Notes:** The list of societal challenges will need to be adapted to the new strategy that will follow that of Europe 2020.

### Indicator SIS2. “Perception of actors of the European societal challenges being improved in the territory due to the Social Innovation initiative”

**Specific evaluation question:** To what extent has the Social Innovation initiative improved the European societal challenges in the territory, according to the Social Innovation actors?

**Description:** Based upon the perceptions of the actors in the Social Innovation, the indicator measures the extent to which the European societal challenges have been improved in the territory due to the Social Innovation initiative. The evaluation is done on an ordinal scale, i.e. 0 (not at all), 1 (to some extent), 2 (to a great extent). The answers of Innovator(s), Follower(s), Transformer(s) and project partners are considered to assess the perceptions of actors involved both in the Social Innovation process and project.

**Judgement criterion:** The higher the perception of the actors of the extent to which the European societal challenges have been addressed due to the Social Innovation initiative, the greater the likelihood that they will have positive effects in the local context.

<b>Tools</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>
<b>Question codes</b>			B.5 (B.4)*	B.5 (B.4)*	B.5 (B.4)*	
<b>Type of answers</b>			11 options with Likert Scale	11 options with Likert Scale	11 options with Likert Scale	
<i>Variable codes in MS Excel</i>			<i>B.5.1 to B.5.11</i>	<i>B.5.1 to B.5.11</i>	<i>B.5.1 to B.5.11</i>	
<i>Variable range in MS Excel</i>			[0 to 2]	[0 to 2]	[0 to 2]	
<b>Data computation</b>			<b>Step 1: Sum of scores [0, 1, 2] per item for Tools 3 and 4, and for Tool 5</b> <b>Step 2: Mean of scores for Tools 3 and 4, and for Tool 5</b>			

			<b>Step 3: Percentage: <math>100 * (\text{Mean}/22)</math> for Tools 3 and 4</b> <b>Step 4: Percentage: <math>100 * (\text{Mean}/22)</math> for Tool 5</b> <b>Step 5: Mean of percentages in Steps 3 and 4</b>
<b>Indicator Range</b>			<b>[0 to 100]</b>

**Notes:** \*If B.4 has not been ticked by the respondent then the evaluator has to consider the contribution of the Social Innovation to the specific societal challenge equals to zero.

## Index X3 “Outcomes on social well-being” (SIO1, SIO2)

### Indicator SIO1. “Perception of beneficiaries of changes in social cohesion inside and outside the territory”

**Specific evaluation question:** To what extent has the Social Innovation initiative affected social cohesion inside and outside the territory according to the beneficiaries?

**Description:** The indicator measures the average effect of the Social Innovation initiative on social cohesion inside and outside the territory, as perceived by beneficiaries. The beneficiaries score the effect on social cohesion on an ordinal scale (i.e. – 2 (negative effect), -1 (slightly negative), 0 (no effect), +1 (slightly positive), + 2 (positive)).

**Judgement criterion:** The higher the net positive effect on social cohesion inside and outside the territory as perceived by beneficiaries, the greater the likelihood of the Social Innovation initiative creating a positive impact.

Tools	1	2	3	4	5	6
<b>Question codes</b>						J.11
<b>Type of answers</b>						Negative and positive effects
<b>Variable codes in MS Excel</b>						J.11.3.1, J.11.3.2
<b>Variable range in MS Excel</b>						[-2, -1, 0, +1, +2]
<b>Data computation</b>						Mean of all scores
<b>Indicator Range</b>						[-2; +2]

**Notes:** None.

### Indicator SIO2. “Contribution of the Social Innovation initiative to the improvement in aspects of governance in the territory”

**Specific evaluation question:** To what extent has the Social Innovation initiative improved aspects of governance in the territory?

**Description:** The indicator measures the extent to which the Social Innovation initiative contributes to the improvement in aspects of governance in the territory where the Social Innovation is implemented. The positive aspects of governance considered are: (i) Options for citizen engagement; (ii) Stakeholders consultation; (iii) Voice of minorities; (iv) Gender balance; (v) Transparency; (vi) Bureaucracy; (vii) Capacity of public administrations; (viii) Policy initiatives; (ix)

Legal framework; (x) Conflict of interests and corruption; (xi) Quality of public services; (xii) Market and economy. The evaluation is done by Innovator(s), Follower(s), Transformer(s) and project partners on a Likert Scale where the possible options are: (i) 0 (not at all); (ii) (to some extent); (iii) (to a great extent).

**Judgement criterion:** The higher the improvement in aspects of governance in the territory led by the Social Innovation initiative, the greater the likelihood of it creating positive governance and institutional impacts.

Tools	1	2	3	4	5	6
Question codes			B.8 (B.7)	B.8 (B.7)	B.8 (B.7)	
Type of answers			12 options with Likert Scale	12 options with Likert Scale	12 options with Likert Scale	
Variable codes in MS Excel			B.8.1 to B.8.12	B.8.1 to B.8.12	B.8.1 to B.8.12	
Variable range in MS Excel			[0 to 2]	[0 to 2]	[0 to 2]	
Data computation			<b>Step 1: Sum of scores [0, 1, 2] per item for Tools 3 and 4, and for Tool 5</b> <b>Step 2: Mean of scores for Tools 3 and 4, and for Tool 5</b> <b>Step 3: Percentage: 100*(Mean/24) for Tools 3 and 4</b> <b>Step 4: Percentage: 100*(Mean/24) for Tool 5</b> <b>Step 5: Mean of percentages from Step 3 and Step 4</b>			
Indicator Range			<b>[0 to 100]</b>			

**Notes:** \*If B.7 has not been ticked by the respondent then the evaluator has to consider the contribution of the Social Innovation to the specific aspect of governance equals to zero.

## Index X4 “Engagement of civil society” (SIE1, SIE2, SIE3, SIE4)

### Indicator SIE1. “Contribution of the local community to the results of the Social Innovation initiative”

**Specific evaluation question:** To what extent has the local community contributed to the results of the Social Innovation initiative?

**Description:** The indicator measures if the local community has contributed to the results of the Social Innovation initiative. The level of success of the Social Innovation initiative is measured on a Likert Scale from 1 (not at all) to 10 (to a great extent). This is done first for the local community and then for other possible categories of actors or factors (i.e. (i) Supportive policies; (ii) External helpers as advisors, brokers, and animators; (iii) Wider local community; (iv) Core group (Innovators and Followers); (v) Members of the network; (vi) Project partners). The perceptions of Innovator(s), Follower(s) and Transformer(s) are measured on a Likert Scale from 1 (Not at all) to 10 (To a great extent).

**Judgement criterion:** The higher the contribution of the local community to the results of the Social Innovation initiative, the greater its capacity to produce effects on multiple actors.

Tools	1	2	3	4	5	6
Question codes			I.4	I.4		
Type of answers			Likert Scale	Likert Scale		
Variable codes in MS Excel			I.4.1 to 1.4.6	I.4.1 to 1.4.6		
Variable range in MS Excel			[1 to 10]	[1 to 10]		
Data computation			<b>Step 1: Mean of I.4.3 (wider local community) for Tools 3 and 4</b> <b>Step 2: Mean of I.4.1, 1.4.2, 1.4.4, 1.4.5, 1.4.6 for Tools 3 and 4</b> <b>Step 3: Ratio: Mean in Step 1/Mean in Step 2</b>			
Indicator Range			[0,1 to 10]			

**Notes:** For interpretation of the results, 1 is the threshold.

### Indicator SIE2. “Motivation of actors for engaging in the Social Innovation initiative”

**Specific evaluation question:** To what extent has the motivation to serve a good cause inspired the actors in the Social Innovation network?

**Description:** The indicator measures the motivation of the network actors for engaging in the Social Innovation initiative. Different motivations are considered: (i) I liked the idea and it made sense; (ii) I wanted to serve a good cause; (iii) I like the leadership and charisma of the Innovator(s) and Follower(s); (iv) I wanted to share my expertise for project; (v) I wanted to feel personally fulfilled; (vi) I wanted to receive economic benefits; (vii) It was part of the duties of my job; (viii) Due to previous relationships I had with people involved; (ix) and others, to be specified.

**Judgement criterion:** The higher the motivation of actors to serve a good cause by engaging in the Social Innovation initiative, the greater the likelihood of the Social Innovation initiative to produce its expected results and to achieve the desired effects in the long term.

Tools	1	2	3	4	5	6
Question codes				C.5		
Type of answers				All that apply		
Variable codes in MS Excel				C.5.2		
Variable range in MS Excel				[1; 0]		
Data computation				Percentage: $100 * (\text{Number of times option 2 was ticked}) / \text{Total number of respondents}$		
Indicator Range				[0 to 100]		

**Notes:** None.

### Indicator SIE3. “Participation of actors in network meetings”

**Specific evaluation question:** To what extent have the actors been participating in network meetings?

**Description:** The indicator measures the level of participation in meetings of the network by Transformers. The evaluation question considers four different levels of participation, recorded on a Likert Scale: 1 (a few of them); 2 (some of them); 3 (many of them); 4 (almost all of them). The indicator is computed by considering the number of respondents who scored 3 or 4, over the total number of answers.

**Judgement criterion:** The higher the level of participation in network meetings, the greater the likelihood of actors of the network of being aware and engaged in the Social Innovation initiative.

Tools	1	2	3	4	5	6
Question codes				D.3		
Type of answers				Likert Scale (4 options)		
Variable codes in MS Excel				D.3		
Variable range in MS Excel				[1 to 4]		
Data computation				Percentage: $100 * (\text{Number of options "3" + "4"} / \text{Total number of respondents})$		
Indicator Range				[0 to 100]		

**Notes:** Missing values are counted in the denominator.

#### Indicator SIE4. "Civic society engagement in the Social Innovation network"

**Specific evaluation question:** To what extent has the Social Innovation network engaged civil society?

**Description:** The indicator shows the presence of citizen in the network with respect to other types of participants. The categories of participants in the Social Innovation network are: (i) Business entrepreneur (for profit, business); (ii) Social entrepreneur (not for profit); (iii) Member of a civil association; (iv) Public sector official (different levels of administration); (v) Citizen; (vi) Other (to be specified case by case).

**Judgement criterion:** The higher the engagement of civil society in the Social Innovation network, the greater the likelihood of the Social Innovation process to produce its expected results.

Tools	1	2	3	4	5	6
Question codes			A.9	A.9		
Type of answers			6 options	6 options		
Variable codes in MS Excel			A.9	A.9		
Variable range in MS Excel			[1, 2, 3, 4, 5, 6]	[1, 2, 3, 4, 5, 6]		
Data computation			Percentage: $100 * (\text{Number of options "3" + "5"} / \text{Total options})$			
Indicator Range			[0 to 100]			

Notes: None.

## Index X5 “Perceived innovativeness” (SII1, SII2)

### Indicator SII1. “Internal validation of the innovativeness of the Social Innovation initiative”

**Specific evaluation question:** To what extent has the Social Innovation initiative been validate as innovative, according to the Social Innovation actors and beneficiaries?

**Description:** The indicator combines the perceptions of all of the actors involved in the Social Innovation initiative (Innovator(s), Follower(s), Transformer(s), project partner(s) and beneficiaries of the level of innovativeness of each phase of the initiative.

**Judgement criterion:** The higher the internal validation of innovativeness of the Social Innovation initiative, the higher its likelihood to produce innovative results.

Tools	1	2	3	4	5	6
Question codes			C.6, E.7, F.5, G.2, I.1	C.6, E.7, F.5, G.2, I.1	H.15 I.1	H.15 I.1
Type of answers			Likert Scale [1 to 10]	Likert Scale [1 to 10]	Likert Scale [1 to 10]	Likert Scale [1 to 10]
Variable codes in MS Excel			C.6, E.7, F.5, G.2, I.1	C.6, E.7, F.5, G.2, I.1	H.15, I.1	H.15, I.1
Variable range in MS Excel			[1 to 10]	[1 to 10]	[1 to 10]	[1 to 10]
Data computation			<p>Step 1: Mean of C.6 (Tools 3 and 4)</p> <p>Step 2: Mean of E.7 (Tools 3 and 4)</p> <p>Step 3: Mean of F.5 (Tools 3 and 4)</p> <p>Step 4: Mean of G.2 (Tools 3 and 4)</p> <p>Step 5: Mean [Mean H.15 (Tool 5); Mean H.15 (Tool 6)]</p> <p>Step 6: Mean [Mean I.1 (Tool 3 and 4); Mean of I.1 (Tool 5); Mean of I.1 (Tool 6)]</p> <p>Step 7: Mean of the means in Steps 1, 2, 3, 4, 5 and 6</p>			
Indicator Range			[1 to 10]			

Notes: None

### Indicator SII2. “External validation of the innovativeness of the Social Innovation initiative as perceived by the actors”

**Specific evaluation question:** To what extent has each phase of the Social Innovation initiative been validated as innovative?

**Description:** The indicator considers the judgements of internal and external experts (Innovator(s) and Follower(s) and participants in the Focus Group) of the level of innovativeness of each phase of the initiative.

**Judgement criterion:** The higher the external validation of innovativeness of the Social Innovation initiative, the higher its likelihood to produce innovative results.

<b>Tools</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>
<b>Question codes</b>		Session II-b	I.2			
<b>Type of answers</b>		6 options [yes; no] + text	6 options [yes; no]			
<b>Variable codes in MS Excel</b>		<i>C.27, E.9, F.7, G.14, H.35, H.36</i>	<i>I.2.1 to I.2.6</i>			
<b>Variable range in MS Excel</b>		<i>[1; 0]</i>				
<b>Data computation</b>		<p style="text-align: center;"><b>Step 1: In Tool 2, sum of “yes” per individual respondent and mean of scores [0 to 6]</b></p> <p style="text-align: center;"><b>Step 2: In Tool 3, sum of not empty answers [0 to 6]</b></p> <p style="text-align: center;"><b>Step 3: Mean of the mean in Step 1 and the value in Step 2</b></p> <p style="text-align: center;"><b>Step 4: Percentage: 100*(Mean in Step 3/6)</b></p>				
<b>Indicator Range</b>		<b>[0 to 100]</b>				

**Notes:** Session II-b of Tool 2 is based on qualitative answers (not dichotomous ones). Check their quality before proceeding with the data entry into the pre-set calculations in the MS Excel file because the formula gives a score of 1 if the cell is not empty. In Tool 1, the respondent can provide qualitative answers in response to the option of “other, please specify”. The evaluator may use it to describe the results.

# SIMRA Detailed Evaluation: from indicators to the SIMRA2 general index

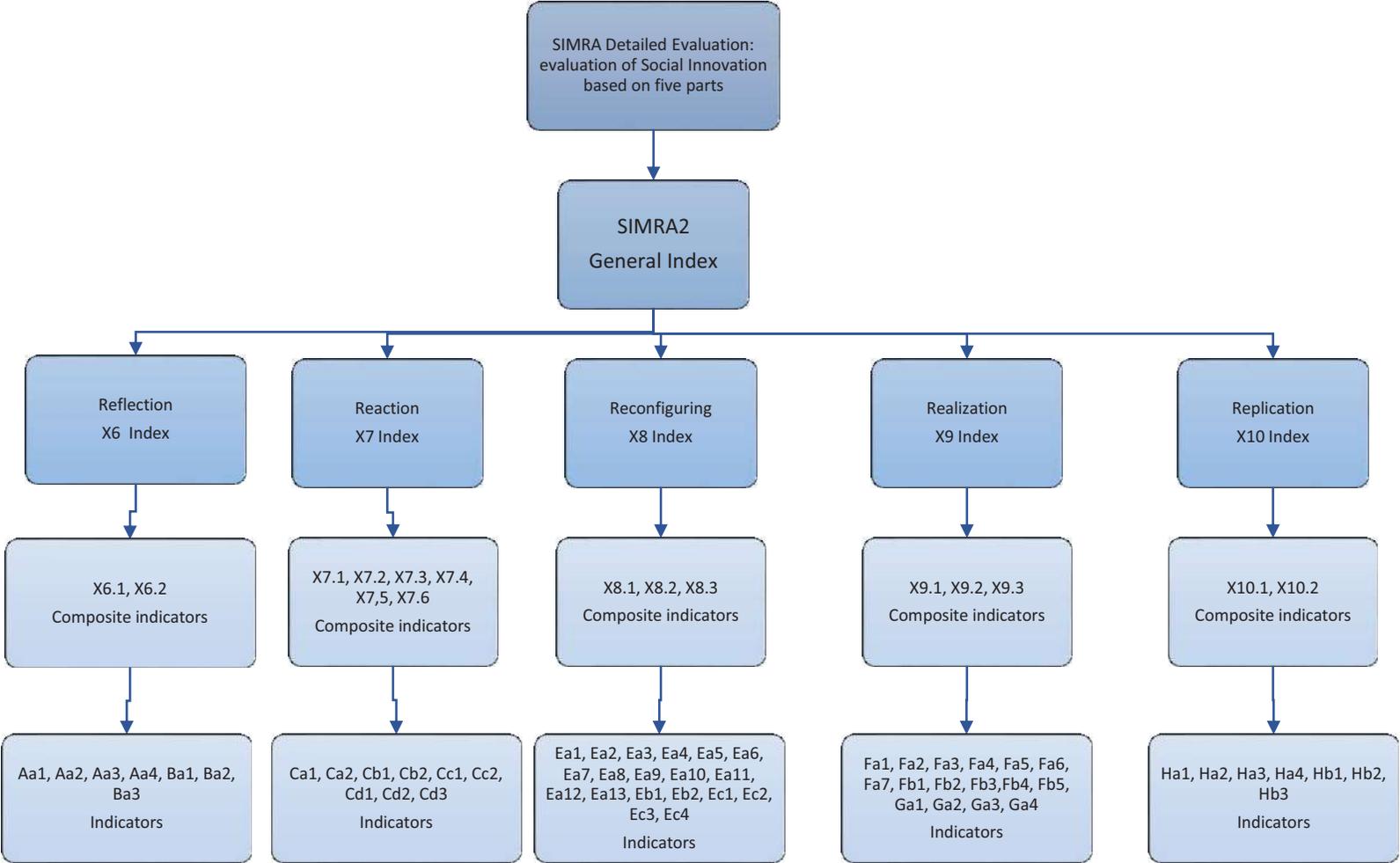


Figure 6. The sequence of the SIMRA Detailed Evaluation

Table 2. Key elements of the SIMRA Detailed Evaluation

	<i>General Evaluation Questions</i>	<i>Composite Indicator</i>	<i>Specific Evaluation Questions</i>	<i>Indicator</i>		<i>Judgement Criterion</i>
Re-flection (X6)	To what extent has the trigger and social needs affected the local community?	<b>X6.1</b> Trigger and social needs	To what extent has the trigger affected the local community, according to Innovator(s) and Follower(s)?	<b>Aa1</b>	Trigger width	The higher the indicator value, the more the trigger affected the community as a whole and not just a few individuals.
			To what extent has the Social Innovation idea tackled individual and collective needs?	<b>Aa2</b>	Needs tackled by the Social Innovation idea	The higher the indicator value, the higher the number of individual and collective needs identified qualitatively by Innovator(s) and Follower(s).
			To what extent have governance shifts determined the emergence of the Social Innovation idea?	<b>Aa3</b>	Role of governance shifts in determining the emergence of the Social Innovation idea	The higher the indicator value, the greater the role of governance shifts in determining the emergence of the Social Innovation idea.
			To what extent has the Social Innovation initiative been consistent with the European societal challenges?	<b>Aa4</b>	Consistency of the Social Innovation initiative with European societal challenges	The higher the indicator value, the greater the consistency of the Social Innovation idea with European societal challenges.
	To what extent have perceived opportunities and threats enabled the Social Innovation?	<b>X6.2</b> Perceived Opportunities and Threats (POT)	To what extent have local conditions enabled the Social Innovation's emergence?	<b>Ba1</b>	Perceived Opportunities and Threats (POT)	The higher the indicator value, the more the Innovator(s) and Follower(s) identified more opportunities than threats.
			To what extent have supportive policies sustained the results of the Social Innovation initiative?	<b>Ba2</b>	Role of supportive policies for sustaining the results of the Social Innovation initiative	The higher the indicator value, the greater the role of supportive policies in achieving the results of the Social Innovation initiative.
To what extent has the Social Innovation initiative dealt with issues of governance?			<b>Ba3</b>	Consistency of Social Innovation initiative with issues of governance	The higher the indicator value, the greater the consistency of Social Innovation initiative with issues of governance.	
Re-actions (X7)	To what extent has the Social Innovation idea been innovative and attractive?	<b>X7.1</b> Social Innovation Idea	To what extent has the Social Innovation idea attracted the Transformer(s)?	<b>Ca1</b>	Attractiveness of the Social Innovation idea	The higher the indicator value, the greater the attractiveness of the Social Innovation idea.
			To what extent do the actors in the Social Innovation process perceive the idea as innovative in their territory?	<b>Ca2</b>	Innovativeness of the Social Innovation idea in the territory	The higher the indicator value, the greater the perceived innovativeness of the Social Innovation idea in the territory.
	To what extent has the leadership been	<b>X7.2</b> Leadership	To what extent have leadership features of the leader(s) attracted other actors to join the process?	<b>Cb1</b>	Attractiveness of the leadership	The higher the indicator value, the greater the leadership features of the Innovator(s) and Follower(s) in attracting Transformer(s).

	charismatic and contributed to reach the results?		To what extent have the Innovator(s) and Follower(s) contributed to the results of the Social Innovation initiative?	<b>Cb2</b>	Innovators and Followers' contribution to the results of the Social Innovation initiative	The higher the indicator value, the higher the perception of the Innovator(s) and Follower(s)' contribution to the results of the Social Innovation initiative.
	To what extent have the actors of the Social Innovation been resilient?	<b>X7.3</b> Resilience	To what extent have Innovator(s) and Follower(s) been resilient to changing circumstance(s), according to the perception of Transformer(s)?	<b>Cc1</b>	Perceptions of transformers of the resilience of Innovators and Followers	The higher the indicator value, the greater the Innovator(s) and Follower(s) are perceived as resilient.
			To what extent have the actors in the Social Innovation process been resilient to changing circumstances?	<b>Cc2</b>	Resilience of actors in the Social Innovation process	The higher the indicator value, the greater the perception of the actors in the Social Innovation process as being resilient.
	To what extent have the actors of the Social Innovation been endowed with different capabilities?	<b>X7.4</b> Capabilities	To what extent have the capabilities of Innovator(s) and Follower(s) determined the development of the Social Innovation initiative?	<b>Cd1</b>	Innovators and Followers capabilities to develop the Social Innovation initiative	The higher the indicator value, the greater the Innovator(s) and Follower(s) capabilities in determining the development of the Social Innovation initiative.
			To what extent have the previous experiences of actors contributed to the development of the Social Innovation process?	<b>Cd2</b>	Previous experience of actors who contributed to the Social Innovation process	The higher the indicator value, the better the previous experiences of the actors who contributed to the development of the Social Innovation process.
			To what extent have the technical capabilities of actors helped to develop the Social Innovation idea?	<b>Cd3</b>	Technical capabilities of actors to develop the Social Innovation idea	The higher the indicator value, the more the technical capabilities of actors contributed to the development of the Social Innovation idea.
	To what extent have the endogenous drivers determined the Social Innovation process?	<b>X7.5</b> Endogenous and exogenous drivers of the Social Innovation process	To what extent have newcomers contributed to the development of the Social Innovation process?	<b>Da1</b>	Role of newcomers in the Social Innovation process	The higher the indicator value, the greater the role of newcomers in the development of the Social Innovation process.
			To what extent have external helpers contributed to the results achieved by the Social Innovation initiative?	<b>Da2</b>	Perception of Social Innovation actors of the contribution of external helpers to the results of the Social Innovation initiative	The higher the indicator value, the greater the perceived contribution of external helpers to the results of the Social Innovation initiative.
			To what extent have the actors in the Social Innovation process contributed to the creation of bridges with external actors?	<b>Da3</b>	Bridging capability of Social Innovation process actors with external actors	The higher the indicator value, the greater the capability of the actors of the Social Innovation process to create bridges with external actors.
	To what extent have preparatory actions,	<b>X7.6</b> Preparatory actions,	To what extent have preparatory actions been carried out by the Innovator(s) and Follower(s)?	<b>Db1</b>	Preparatory actions developed by Innovators and Followers	The higher the indicator value, the greater the number of preparatory actions developed by Innovator(s) and Follower(s).

	motivations and expertise determined the engagement of the actors in the Social Innovation process?	motivations, and expertise	To what extent have social motivations of actors determined the emergence of the Social Innovation network?	<b>Db2</b>	Social motivation of the actors of the Social Innovation network	The higher the indicator value, the more the social motivations of the Social Innovation network exceed the personal ones.
			To what extent has the expertise of members of the network determined their engagement?	<b>Db3</b>	Expertise motivating the engagement of Social Innovation actors	The higher the indicator value, the more the expertise motivated the engagement of actors in the Social Innovation.
Re-configuring (X8)	To what extent has the Social Innovation process promoted new networks of collaborative relationships?	<b>X8.1</b> New networks	To what extent have the Social Innovation members attended the process meetings?	<b>Ea1</b>	Attendance level at meetings in the Social Innovation process	The higher the indicator value, the more the members of the Social Innovation process attended the meetings.
			To what extent have members of the Social Innovation network been equally distributed amongst the public and private sector?	<b>Ea2</b>	Balance between public and private sector of the members of the Social Innovation network	The higher the indicator value, the more the members of the Social Innovation process are equally distributed amongst the public and private sector.
			To what extent have members of the network contributed to the results of the Social Innovation initiative?	<b>Ea3</b>	Contribution of the members of the Social Innovation network to the results of the Social Innovation initiative	The higher the indicator value, the more the members of the Social Innovation network contributed to the results of the Social Innovation initiative.
			To what extent were the actors in the core group of the Social Innovation network endowed with a high reputational power?	<b>Ea4</b>	Reputational power in the core group of the Social Innovation network	The higher the indicator value, the greater the reputational power of the actors in the Social Innovation network.
			To what extent have female members been included in the Social Innovation network?	<b>Ea5</b>	Female inclusion in the Social Innovation network	The higher the indicator value, the greater the proportion of female members in the Social Innovation network.
			To what extent have young people participated in the Social Innovation network?	<b>Ea6</b>	Young people's participation in the Social Innovation network	The higher the indicator value, the more young people have participated in the Social Innovation network.
			To what extent has the Social Innovation process been promoted by actors with university level qualifications?	<b>Ea7</b>	Education level within the Social Innovation network	The higher the indicator value, the greater the proportion of Innovator(s), Follower(s) and Transformer(s) with university level qualifications involved in the Social Innovation process.
			To what extent have members of the Social Innovation network been equally distributed amongst different economic sectors?	<b>Ea8</b>	Balance across economic sectors of the members of the Social Innovation process	The higher the indicator value, the more the members of the Social Innovation process are equally distributed across five different economic sectors.
			To what extent have members of the Social Innovation process been equally distributed across different geographical	<b>Ea9</b>	Balance across different geographic levels of the members of the Social	The higher the indicator value, the more the members of the Social Innovation process are equally distributed across four different

			levels?		Innovation process	geographic levels.
			To what extent have new relationships been created within the Social Innovation network?	<b>Ea10</b>	New relationships within the Social Innovation network	The higher the indicator value, the greater the proportion of relationships within the Social Innovation network which were newly created.
			To what extent were members of the Social Innovation process been equally distributed across different social, institutional and economic categories?	<b>Ea11</b>	Balance across different social, institutional and economic categories of the members of the Social Innovation process	The higher the indicator value, the more the members of the Social Innovation process are equally distributed across in different social, institutional and economic categories.
			To what extent has trust been spread amongst the actors within the Social Innovation network?	<b>Ea12</b>	Level of internal trust in the Social Innovation network	The higher the indicator value, the greater the level of trust amongst the actors within the Social Innovation network.
			To what extent were actors in the network representative of the categories of organisations involved in the Social Innovation network?	<b>Ea13</b>	Level of representativeness of the actors involved in the Social Innovation network in relation to the categories of the organisations	The higher the indicator value, the greater the perceived level of representativeness of the actors in the Social Innovation network in relation to the categories of the organisations.
	To what extent has the Social Innovation process promoted new attitudes in the actors?	<b>X8.2</b> New attitudes	To what extent have the Transformer(s) been proactive during the Social Innovation process?	<b>Eb1</b>	Level of pro-action of Transformers during the Social Innovation process	The higher the indicator value, the greater the proportion of transformers who were or became proactive during the Social Innovation process.
			To what extent have the actors felt empowered during the Social Innovation process?	<b>Eb2</b>	Perception of the actors of their level of empowerment during the Social Innovation process	The higher the indicator value, the more the actors felt empowered during the Social Innovation process.
	To what extent has the Social Innovation process promoted new governance arrangements?	<b>X8.3</b> New governance arrangements	To what extent have the actors in the Social Innovation process been involved in the decision-making processes?	<b>Ec1</b>	Level of involvement in decision-making of the actors in the Social Innovation process	The higher the indicator value, the higher the level of involvement in decision-making during the Social Innovation process.
			To what extent have formal and informal norms been shared amongst the members of the Social Innovation network?	<b>Ec2</b>	Level to which formal and informal norms have been agreed all together	The higher the indicator value, the greater the proportion of actors who attest that the norms have been agreed all together.
			To what extent have actors in the Social Innovation process recognised as internal mechanisms the application of formal sanctions?	<b>Ec3</b>	Level of awareness of the adoption of formal sanctioning mechanisms	The higher the indicator value, the greater the proportion of actors of the Social Innovation process affirming that formal sanctioning mechanisms have been adopted.

			To what extent did the actors in the Social Innovation process trust the public institutions?	<b>Ec4</b>	Level of trust in public institutions of the actors of the Social Innovation process	The higher the indicator value, the greater the level of trust in public institutions.
<b>Re-alization (X9)</b>	To what extent has a structured planning and management been foreseen in the Social innovation Project?	<b>X9.1</b> Planning and Management	To what extent has structured planning been foreseen in the Social Innovation project?	<b>Fa1</b>	Level of planning in the Social Innovation project	The higher the indicator value, the greater the level of planning in the Social Innovation project.
			To what extent has the management of human resource been foreseen in the Social Innovation project?	<b>Fa2</b>	Level of management of human resources	The higher the indicator value, the greater the level of management of human resources in the Social Innovation project.
			To what extent has the management of financial resources been foreseen in the Social Innovation project?	<b>Fa3</b>	Level of management of financial resources	The higher the indicator value, the greater the level of management of the financial resources of the Social Innovation project.
			To what extent has the management of materials and infrastructural resources been foreseen in the Social Innovation project?	<b>Fa4</b>	Level of management of materials and infrastructural resources	The higher the indicator value, the greater the level of management of materials and infrastructural resources of the Social Innovation project.
			To what extent has the management of communication and marketing been foreseen in the Social Innovation project?	<b>Fa5</b>	Level of management of communication and marketing	The higher the indicator value, the greater the level of management of communication and marketing in the Social Innovation project.
			To what extent has the management of the administration been foreseen in the Social Innovation project?	<b>Fa6</b>	Level of management of the administration	The higher the indicator value, the greater the level of management of the administration in the Social Innovation project.
			To what extent has the management of monitoring and evaluation been foreseen in the Social Innovation project?	<b>Fa7</b>	Level of management of monitoring and evaluation	The higher the indicator value, the greater the level of the management of the monitoring and evaluation of the Social Innovation project.
	To what extent have project partners and other external actors supported the Social Innovation	<b>X9.2</b> Internal and external support	To what extent have project partners contributed to the achievement of the results of the Social Innovation?	<b>Fb1</b>	Contribution of project partners to the results of the Social Innovation initiative	The higher the indicator value, the higher the contribution of project partners to the achievement of the results of the Social Innovation initiative.
			To what extent have external financing agencies contributed to supporting the Social Innovation project?	<b>Fb2</b>	Contribution of external financiers to the Social Innovation project	The higher the indicator value, the greater the proportion of contributions by external financiers to the Social Innovation project.

	initiative?		To what extent has the Project Manager been capable of planning the activities of the Social Innovation project before implementing it?	<b>Fb3</b>	Capabilities of the Project Manager of planning the activities of the Social Innovation project	The higher the indicator value, the greater the Project Manager's capability to plan the activities.	
			To what extent has the Project Manager been capable of developing the procedures of the Social Innovation project into written tasks and roles?	<b>Fb4</b>	Capabilities of the Project Manager to develop the procedures of the Social Innovation project	The higher the indicator value, the greater the Project Manager's capability to develop the procedures.	
			To what extent has the Project Manager been capable of applying the practices of the Social Innovation project and to complete the activities?	<b>Fb5</b>	Capabilities of the Project Manager to apply the practices of the Social Innovation project	The higher the indicator value, the greater the Project Manager's capability to apply the practices.	
	To what extent have direct beneficiaries established new relationships with other actors?	<b>X9.3</b> Beneficiaries	To what extent have direct beneficiaries established new relationships due to the Social Innovation initiative?	<b>Ga1</b>	New relationships amongst direct beneficiaries	The higher the indicator value, the greater the mean number of new relationships established amongst beneficiaries, due to the Social Innovation initiative.	
			To what extent have direct beneficiaries established new relationships with institutions due to the Social Innovation initiative?	<b>Ga2</b>	New relationships between the direct beneficiaries and institutions	The higher the indicator value, the greater the number of new relationships established between the direct beneficiaries and institutions, due to the Social Innovation initiative.	
			To what extent have female beneficiaries been included in the Social Innovation project?	<b>Ga3</b>	Inclusion of females in the beneficiary group	The higher the indicator value, the greater the percentage of women in the beneficiary group.	
			To what extent have young people been included in the Social Innovation project?	<b>Ga4</b>	Inclusion of young people in the beneficiary group	The higher the indicator value, the greater the percentage of young people in the beneficiary group.	
	<b>Re-plication (X10)</b>	To what extent have the Social Innovation initiative determined feedback loops and multiplier effects?	<b>X10.1</b> Feedback loops and multiplier effects	To what extent has the Social Innovation initiative been disseminated in order to increase the likelihood to generate feedback loops?	<b>Ha1</b>	Likelihood of feedback loops due to dissemination activities	The higher the number of dissemination channels used by the actors of the Social Innovation, the greater the likelihood of the Social Innovation initiative to generate feedback loops.
				To what extent has the Social Innovation initiative been upscaled to higher levels?	<b>Ha2</b>	Likelihood of upscaling of the Social Innovation initiative	The higher the influence of the Social Innovation initiative at different levels, the greater the likelihood it will diffuse at higher levels.
				To what extent have people in different contexts come to learn about the Social Innovation initiative and then did something similar themselves?	<b>Ha3</b>	Likelihood of out-scaling of the Social Innovation initiative	The bigger the number of similar initiatives that have come to learn from the Social Innovation initiative, the greater the likelihood it will diffuse its results to other surroundings.

			To what extent were the actors in the Social Innovation initiative capable of identifying elements that would enable its replication?	<b>Ha4</b>	Capability of actors in the Social Innovation initiative to identify elements enabling its replication	The bigger the number of elements that the actors of the Social Innovation initiative have identified, the greater the likelihood that it can be replicated.
To what extent have critical innovation effects occurred?	<b>X10.2</b> Critical Innovation effects		To what extent would similar effects be produced by other initiatives (dead-weight effect) in the territory?	<b>Hb1</b>	Deadweight effects of the Social Innovation initiative in the territory	The greater the uniqueness of the Social Innovation initiative in satisfying the needs of the territory, the lower the likelihood of deadweight effects.
			To what extent has the Social Innovation initiative had negative effects on other actors (substitution effect)?	<b>Hb2</b>	Substitution effects of the Social Innovation initiative on other actors	The lower the extent of negative effects of the Social Innovation initiative on external actors, the lower the likelihood of substitution effects.
			To what extent has the Social Innovation initiative had negative effects outside the territory (displacement effect)?	<b>Hb3</b>	Displacement effects of the Social Innovation initiative outside the territory	The lower the extent of negative effects of the Social Innovation initiative outside the territory, the greater its overall positive effects.

## Composite indicator X6.1 “Trigger and social needs” (Aa1, Aa2, Aa3)

### Indicator Aa1. “Trigger width”

**Specific evaluation question:** To what extent has the trigger affected the local community, according to Innovator(s) and Follower(s)?

**Description:** The indicator shows who has been affected most by the trigger, according to Innovator(s) and Follower(s). It is designed as a proxy of the width of the trigger: the greater the distance of Innovator(s) and Follower(s) from those affected by the trigger, the larger the width of the trigger. In other words, if only myself and my family were affected, the trigger was limited in its width; if my close friends and my job colleagues were affected then the width of the trigger was medium; if my community was affected the width of the trigger was large and the Social Innovation initiative was created as a reaction to needs of the whole community, not only of a limited group of people.

**Judgement criterion:** The higher the indicator value, the more the trigger affected the community as a whole and not just a few individuals.

Tools	1	2	3	4	5	6
Question codes			B.1			
Type of answers			5 options – “Tick all that apply”; Option “6. Other” is not considered			
Variable codes in MS Excel			B.1.1 to B.1.5			
Variable range in MS Excel			[1; 0] per option			
Data computation			<p><b>Step 1: Provide a score to each individual respondent [0 to 9], given by the sum of:</b></p> <ul style="list-style-type: none"> <li><b>1 point if the trigger affected “myself” and “my family”</b></li> <li><b>2 points if the trigger affected “my close friends” and “my job colleagues”</b></li> <li><b>3 points if the trigger affected “my community”</b></li> </ul> <p><b>Step 2: Mean of scores computed in Step 1</b></p> <p><b>Step 3: Percentage: <math>100 * (\text{Mean from Step 2} / 9)</math></b></p>			
Indicator Range			[0 to 100]			

**Notes:** Tool 2 (Session II-b) can be used to check the quality of the answers provided to B1 in Tool 3. If the calculation of the indicator is based on only one answer, the evaluator can decide to omit this indicator and to use the information to describe qualitatively the Social Innovation initiative.

### Indicator Aa2. “Needs tackled by the Social Innovation idea”

**Specific evaluation question:** To what extent has the Social Innovation idea tackled individual and collective needs?

**Description:** The indicator provides the number of total needs, both individual (personal) and collective (of the territory,) which the Innovator(s) and Follower(s) wanted to satisfy with their Social Innovation idea.

**Judgement criterion:** The higher the indicator value, the higher the number of individual and collective needs identified qualitatively by Innovator(s) and Follower(s).

Tools	1	2	3	4	5	6
Question codes			B.2, B.3			
Type of answers			3 open answers			
Variable codes in MS Excel			B.2.1 to B.2.3 B.3.1 to B.2.3			
Variable range in MS Excel			Text			
Data computation			Step 1: Give a point to each identified individual need (personal and collective) Step 2: Mean of the scores from Step 1			
Indicator Range			[0 to 6]			

**Notes:** This indicator can be used only to complement, with quantitative information, the list of needs (personal or individual, and collective or of the territory) that are identified qualitatively by Innovator(s) and Follower(s). If the calculation of the indicator is based on only one answer, the evaluator can decide to omit this indicator and to use the information to describe the Social Innovation initiative qualitatively. Check the quality of answers before proceeding with the data entry into the pre-set calculations in the MS Excel file because the formula gives a score of 1 if the cell is not empty. Write “NA” if the qualitative answer does not justify a level of innovation that can assign 1 point.

### Indicator Aa3. “Role of governance shifts in determining the emergence of the Social Innovation idea”

**Specific evaluation question:** To what extent have governance shifts determined the emergence of the Social Innovation idea?

**Description:** The indicator measures the role of shifts in governance in determining the emergence of the Social Innovation idea. Respondents identify which governance elements have proven to be a stimulus to the Social Innovation idea. The basic assumption is that an idea can arise as a reaction or a response to one or more positive governance elements that are present or introduced into the territory, to stimulate more open involvement of citizens and more/better collaboration between public and private actors, and thus facilitating processes of social innovation. Governance elements are: (i) Options for citizen engagement; (ii) Stakeholder consultation; (iii) Voice of minorities; (iv) Gender balance, (v)

Transparency; (vi) Bureaucracy; (vii) Capacity of public administrations; (viii) Policy initiatives; (ix) Legal framework; (x) Conflict of interests and corruption; (xi) Quality of public services; (xii) Market and economy; (xiii) Other.

**Judgement criterion:** The higher the indicator value, the greater the role of governance shifts in determining the emergence of the Social Innovation idea.

Tools	1	2	3	4	5	6
Question codes			B.6	B.6 <b>Errore. L'origine riferimento non è stata trovata.</b>	B.6	
Type of answers			13 options with Likert Scale	13 options with Likert Scale	13 options with Likert Scale	
Variable codes in MS Excel			B.6.1 to B.6.13	B.6.1 to B.6.13	B.6.1 to B.6.13	
Variable range in MS Excel			[1; 0]	[1; 0]	[1; 0]	
Data computation			<b>Step 1: Mean of (Tool 3 + Tool 4)</b> <b>Step 2: Mean of Tool 5</b> <b>Step 3: Percentage: 100*(Mean of means from Step 1 and Step 2/13)</b>			
Indicator Range			[0 to 100]			

Notes: None.

#### Indicator Aa4. “Consistency of the Social Innovation initiative with European societal challenges”

**Specific evaluation question:** To what extent has the Social Innovation initiative been consistent with the European societal challenges?

**Description:** The indicator measures the extent to which the Social Innovation idea of Innovator(s) and Follower(s) matches the European societal challenges as identified in the Europe 2020 strategy (see [https://ec.europa.eu/programmes/horizon2020/en/h2020-section\(s\)ocietal-challenges](https://ec.europa.eu/programmes/horizon2020/en/h2020-section(s)ocietal-challenges)). The European societal challenges are: (i) health; (ii) ageing of population; (iii) income, jobs, education; (iv) sustainable agriculture and food security; (v) water use and quality; (vi) secure, clean and efficient energy; (vii) smart, green and integrated transport; (viii) environment and climate change; (ix) inclusive societies; (x) innovative societies; (xi) secure societies; (xii) other. The evaluator has to use only the answers of Innovator(s) and Follower(s) as they refer to the Social Innovation idea. The scope of the idea to address one or more of the European societal challenges attests its consistency with the aims of the European Union.

**Judgement criterion:** The higher the indicator value, the greater the consistency of the Social Innovation idea with European societal challenges.

Tools	1	2	3	4	5	6
Question codes			B.4			
Type of answers			11 options [Yes, No]			
Variable codes in MS Excel			B.4.1.1 to B.4.1.11			
Variable range in MS Excel			[1; 0]			
Data computation			Step 1: Percentage per individual respondent: 100*(Number of “yes”/11)  Step 2: Mean of percentages from Step 1			
Indicator Range			[0 to 100]			

Notes: None.

## Composite indicator X6.2 “Perceived Opportunities and Threats (POT)” (Ba1, Ba2, Ba3)

### Indicator Ba1. “Balance between opportunities and threats”

**Specific evaluation question:** To what extent have local conditions enabled the Social Innovation's emergence?

**Description:** The indicator measures the balance between the main enabling conditions and the main constraining conditions existing in the context of the Social Innovation initiative during its initial steps, as perceived by Innovator(s) and Follower(s). The basic assumption is that the higher the value of the indicator, the more the Social Innovation initiative has been facilitated by the perceived context, in which Innovator(s) and Follower(s) have identified more opportunities than threats. Respondents have the option to identify maximum three conditions per type (enabling and constraining conditions) in four different domains: economic, social, environment, institutional.

**Judgement criterion:** The higher the indicator value, the more the Innovator(s) and Follower(s) identified more opportunities than threats.

Tools	1	2	3	4	5	6
Question codes			C.1, C.2, C.3, C.4			
Type of answers			3 open answers per domain			
Variable codes in MS Excel			C.1.1 to C.1.6, C.2.1 to C.2.6, C.3.1 to C.3.6, C.4.1 to C.4.6			

<i>Variable range in MS Excel</i>		<i>Text</i>			
<b>Data computation</b>		<p><b>Step 1: Give a point to each enabling and constraining conditions which have been identified by the individual respondent</b></p> <p><b>Step 2: Sum of all points for enabling conditions per individual respondent</b></p> <p><b>Step 3: Sum of all points for constraining conditions per individual respondent</b></p> <p><b>Step 4a: If the Sum in Step 3 is 0, then use the Sum from Step 2 + 1 per individual respondent</b></p> <p><b>Step 4b: If the Sum in Step 3 is bigger then 0, then calculate the ratio: Sum from Step 2/Sum from Step 3 per individual respondent</b></p> <p><b>Step 5: Mean of values from Step 4</b></p>			
<b>Indicator Range</b>		<b>[0 to 13]</b>			

**Notes:** The indicator is particularly useful if used in combination with the qualitative information about enabling and constraining conditions of the context for the Social Innovation initiative (Tool 7), to cross-check consistency and thus validate the quality of data collected. It should be used in combination with the qualitative data included in the answers, which are divided by domain: C.1, Economic conditions; C.2, Social conditions; C.3, Environment conditions; C.4, Institutional conditions. While the indicator measures the balance between all conditions in all the four domains, if needed, the indicator can also be calculated separately for each domain.

### **Indicator Ba2. “Role of supportive policies for sustaining the results of the Social Innovation initiative”**

**Specific evaluation question:** To what extent have supportive policies sustained the results of the Social Innovation initiative?

**Description:** The indicator measures how much of the success of the Social Innovation initiative can be attributed to supportive policies, according to the perceptions of Innovator(s), Follower(s), and Transformer(s). The importance of supportive policies for sustaining the results of the Social Innovation initiative is measured on a Likert Scale from 1 to 10, where 1 is “not at all” (i.e. the results of the Social Innovation initiative cannot be attributed to supportive policies at all) and 10 is “to a great extent” (i.e. the results of the Social Innovation initiative can be attributed to supportive policies to a great extent).

**Judgement criterion:** The higher the indicator value, the greater the role of supportive policies in achieving the results of the Social Innovation initiative.

Tools	1	2	3	4	5	6	
Question codes			I.4	I.4			
Type of answers			Likert Scale	Likert Scale			
Variable codes in MS Excel			I.4.1	I.4.1			
Variable range in MS Excel			[1 to 10]	[1 to 10]			
Data computation			Mean of all answers for “Supportive policies” in Tools 3 and 4				
Indicator Range			[1 to 10]				

**Notes:** The indicator should be used for cross-checking the qualitative information (collected with Tool 8).

### Indicator Ba3. “Consistency of Social Innovation initiative with issues of governance”

**Specific evaluation question:** To what extent has the Social Innovation initiative dealt with issues of governance?

**Description:** The indicator describes the extent to which the Social Innovation initiative deals with issues of governance. Respondents identify which issues of governance deal with the Social Innovation idea. Governance issues are: (i) Options for citizen engagement; (ii) Stakeholder consultation; (iii) Voice of minorities; (iv) Gender balance; (v) Transparency; (vi) Bureaucracy; (vii) Capacity of public administrations; (viii) Policy initiatives; (ix) Legal framework; (x) Conflict of interests and corruption; (xi) Quality of public services; (xii) Market and economy.

**Judgement criterion:** The higher the indicator value, the greater the consistency of Social Innovation initiative with issues of governance.

Tools	1	2	3	4	5	6
Question codes			B.7 Errore. L'origine riferimento non è stata trovata.	B.7	B.7	
Type of answers			12 options with yes; no	12 options with yes; no	12 options with yes; no	
Variable codes in MS Excel			B.7.1 to B.7.12	B.7.1 to B.7.12	B.7.1 to B.7.12	
Variable range in MS Excel			[1; 0]	[1; 0]	[1; 0]	
Data computation			Step 1: Mean of all answers in Tools 3 and 4 Step 2: Mean of Tool 5 Step 3: Percentage: $100 * (\text{Mean of the means in Steps 1 and 2}) / 12$			

Indicator Range				[0 to 100]	
-----------------	--	--	--	------------	--

Notes: None.

## Composite indicator X7.1 “Social Innovation Idea” (Ca1, Ca2)

### Indicator Ca1. “Attractiveness of the Social Innovation idea”

**Specific evaluation question:** To what extent has the Social Innovation idea attracted the Transformer(s)?

**Description:** The indicator measures whether the Social Innovation idea was amongst the motivations that drove the Follower(s) and Transformer(s) (i.e. the Social Innovation network) to get involved in the initiative. Respondents are asked to indicate the motivation for their engagement in the Social Innovation initiative by selecting one or more of the following options: (i) they liked the idea and it made sense; (ii) they wanted to serve a good cause; (iii) they liked the leadership and charisma of the Innovator(s) and Follower(s); (iv) they wanted to share their expertise with the project; (v) they wanted to feel personally fulfilled; (vi) they wanted to receive economic benefits; (vii) it was part of the duties of their job, (viii) due to previous relationships they had with people involved; (ix) other motivations (please specify). The basic assumption is that, if Transformers decided to join the Social Innovation initiative because they “liked the idea and it made sense” and/or “wanted to serve a good cause” the Social Innovation idea of the Innovator(s) was considered interesting and valid. Thus, the initial agents (Innovator(s)) were able to attract others, positively contributing to the development of the Social Innovation initiative.

**Judgement criterion:** The higher the indicator value, the greater the attractiveness of the Social Innovation idea.

Tools	1	2	3	4	5	6
Question codes				C.5		
Type of answers				[Yes, No]		
Variable codes in MS Excel				C.5.1 and C.5.2		
Variable range in MS Excel				[1; 0]		
Data computation				<p>Step 1: Sum the number of respondents that have selected options C.5.1 or C.5.2, or both C.5.1 and C.5.2</p> <p>Step 2: Percentage: <math>100 * (\text{Sum in Step 1} / \text{Total number of answers})</math></p>		
Indicator Range				[0 to 100]		

Notes: None.

## Indicator Ca2. “Innovativeness of the Social Innovation idea in the territory”

**Specific evaluation question:** To what extent do the actors in the Social Innovation process perceive the idea as innovative in their territory?

**Description:** The indicator measures to what extent the actors in the whole Social Innovation network perceive their Social Innovation idea to be innovative in their territory. The perception is expressed on a Likert Scale from 1 (= not at all) to 10 (= to a great extent).

**Judgement criterion:** The higher the indicator value, the greater the perceived innovativeness of the Social Innovation idea in the territory.

Tools	1	2	3	4	5	6	
Question codes			C.6	C.6			
Type of answers			Likert Scale	Likert Scale			
Variable codes in MS Excel			C.6	C.6			
Variable range in MS Excel			[1 to 10]	[1 to 10]			
Data computation			Compute the mean of all answers from Tools 3 and 4				
Indicator Range			[1 to 10]				

**Note:** None.

## Composite indicator X7.2 “Leadership” (Cb1, Cb2)

### Indicator Cb1. “Attractiveness of the leadership”

**Specific evaluation question:** To what extent have leadership features of the leader(s) attracted other actors to join the process?

**Description:** The indicator measures whether the leadership features of the core group (Innovator(s) and Follower(s)), whose components represent the “agency” that activated the Social Innovation process, have motivated and thus engaged others (i.e. Transformer(s)) to join the initiative. Transformers are asked to indicate the motivation for their engagement in the Social Innovation initiative: (i) they liked the idea and it made sense; (ii) they wanted to serve a good cause; (iii) they liked the leadership and charisma of the Innovator(s) and Followers; (iv) they wanted to share their expertise with the project; (v) they wanted to feel personally fulfilled; (vi) they wanted to receive economic benefits; (vii) it was part of the duties of their job; (viii) due to previous relationships they had with people involved; (ix) other motivations (please specify).

**Judgement criterion:** The higher the indicator value, the greater the leadership features of the Innovator(s) and Follower(s) in attracting Transformer(s).

Tools	1	2	3	4	5	6
Question codes				C.5		
Type of answers				More options, tick all that apply: the focus is only on option 3		
Variable codes in MS Excel				C.5.3		
Variable range in MS Excel				[1; 0]		
Data computation				<p>Step 1: Sum the number of respondents that have selected option 3</p> <p>Step 2: Percentage: 100* (Sum from Step 1/Total number of answers)</p>		
Indicator Range				[0 to 100]		

Notes: None.

### Indicator Cb2. “Innovators and Followers' contribution to the results of the Social Innovation initiative”

**Specific evaluation question:** To what extent have the Innovator(s) and Follower(s) contributed to the results of the Social Innovation initiative?

**Description:** The indicator measures to what extent the results of the Social Innovation initiative can be attributed to the action of the core group (i.e. Innovator(s) and Follower(s)), compared to the contribution of other factors. The indicator is based on perception of the core group itself (Innovator(s) and Follower(s)) and members of the network (Transformer(s)).

**Judgement criterion:** The higher the indicator value, the higher the perception of the Innovator(s) and Follower(s)' contribution to the results of the Social Innovation initiative.

Tools	1	2	3	4	5	6
Question codes			I.4	I.4		
Type of answers			Likert Scale	Likert Scale		
Variable codes in MS Excel			I.4.4	I.4.4		
Variable range in MS Excel			[1 to 10]	[1 to 10]		
Data computation			Compute the mean of all answers from Tools 3 and 4			
Indicator Range			[1 to 10]			

Notes: None.

## Composite indicator X7.3 “Resilience” (Cc1, Cc2)

### Indicator Cc1. “Perceptions of Transformers of the resilience of Innovators and Followers”

**Specific evaluation question:** To what extent have Innovator(s) and Follower(s) been resilient to changing circumstance(s), according to the perception of Transformer(s)?

**Description:** The indicator measures the perceptions of Transformer(s) of the capability of the first Innovator(s) and Follower(s) to overcome obstacles and flexibly adapt to changing circumstances. The indicator can be used to verify if the promoters of a Social Innovation, often the leaders, are people with a high level of resilience.

**Judgement criterion:** The higher the indicator value, the greater the Innovator(s) and Follower(s) are perceived as resilient.

Tools	1	2	3	4	5	6
Question codes				C.9		
Type of answers				Likert Scale		
Variable codes in MS Excel				C.9		
Variable range in MS Excel				[0 to 10]		
Data computation				Mean values of individual responses in Tool 4		
Indicator Range				[1 to 10]		

**Notes:** This indicator can be used to evaluate whether the Innovators and Followers are perceived as capable of facing the “crisis phases”.

### Indicator Cc2. “Resilience of actors in the Social Innovation process” (\*)

**Specific evaluation question:** To what extent have the actors in the Social Innovation process been resilient to changing circumstances?

**Description:** The indicator measures the perceptions of the members of the network of the capability of each member to overcome obstacles and flexibly adapt to changing circumstances. The indicator can be used to verify if members of the Social Innovation network are people with a high level of resilience.

**Judgement criterion:** The higher the indicator value, the greater the perception of the actors in the Social Innovation process as being resilient.

Tools	1	2	3	4	5	6
Question codes			E.4 (column 4)	E.4 (column 4)		
Type of answers			Social Network Analysis: list of [1; 0]	Social Network Analysis: list of [1; 0]		

<b>Variable codes in MS Excel</b>			<i>E.4.4</i>	<i>E.4.4</i>		
<b>Variable range in MS Excel</b>			<i>[1; 0]</i>	<i>[1; 0]</i>		
<b>Data computation</b>			<b>Step 1: Sum of “1s” “received” by the actors of the network (indegree) of each of Tools 3 and 4</b> <b>Step 2: Mean of the “1s” “received” by all actors from Tools 3 and 4</b> <b>Step 3: Percentage: 100*(Mean in Step 2/ Total number of actors of the network)</b>			
<b>Indicator Range</b>			<b>[0 to 100]</b>			

**Note:** None.

### Composite indicator X7.4 “Capabilities” (Cd1, Cd2, Cd3)

#### Indicator Cd1. “Innovators and Followers capabilities to develop the Social Innovation initiative” (\*)

**Specific evaluation question:** To what extent have the capabilities of Innovators and Followers determined the development of the Social Innovation initiative?

**Description:** The indicator shows the rankings of the Innovator(s) and Follower(s) with respect to other actors involved in the Social Innovation initiative in terms of four types of capabilities. These are: (i) Technical capabilities to develop the Social Innovation idea; (ii) Capabilities to influence the internal decision-making process; (iii) Capabilities to create bridges with external actors; (iv) Capabilities to face the challenges that could have made the Social Innovation process fail. The basic assumption is that Innovator(s) and Follower(s) located in the top ranking position have contributed significantly with their capabilities to the Social Innovation initiative. The capabilities of the various actors are those recognised by the Innovator(s) themselves, together the Follower(s) and the member(s) of the network (Transformer(s)).

**Judgement criterion:** The higher the indicator value, the greater the Innovator(s) and Follower(s) capabilities in determining the development of the Social Innovation initiative.

<b>Tools</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>
<b>Question codes</b>			E.4	E.4		
<b>Type of answers</b>			Social Network Analysis question	Social Network Analysis question		
<b>Variable codes in MS Excel</b>			<i>E.4.1 to 4</i>	<i>E.4.1 to 4</i>		
<b>Variable range in MS Excel</b>			<i>[1; 0]</i>	<i>[1; 0]</i>		
<b>Data computation</b>			<b>Step 1: Score of individual capabilities: sum of “ticks” received by all the respondents in the 4 variables (four</b>			

			<p>columns) in Tools 3 and 4</p> <p>Step 2: Mean of core group's scores (Innovator(s) and Follower(s)) in Tools 3 and 4</p> <p>Step 3: Mean of Transformer(s) scores in Tools 3 and 4</p> <p>Step 4: Percentage: <math>100 * (\text{Mean from Step 2}) / (\text{Sum}(\text{Mean from Step 2} + \text{Mean from Step 3}))</math></p>		
Indicator Range			[0 to 100]		

Notes: None.

### Indicator Cd2. "Previous experience of actors who contributed to the Social Innovation process"

**Specific evaluation question:** To what extent have the previous experiences of actors contributed to the development of the Social Innovation process?

**Description:** The indicator measures whether the Innovator(s), Follower(s) and Transformer(s) have had previous working experience in fields related to the Social Innovation initiative. It is assumed that, having had previous experiences in similar fields, the actors have higher levels of capacity to contribute to the development of the Social Innovation initiative.

**Judgement criterion:** The higher the indicator value, the better the previous experiences of the actors who contributed to the development of the Social Innovation process.

Tools	1	2	3	4	5	6
Question codes			A.6	A.6		
Type of answers			Yes, No	Yes, No		
Variable codes in MS Excel			A.6	A.6		
Variable range in MS Excel			[1; 0]	[1; 0]		
Data computation			Percentage: $100 * (\text{Number of "yes" in Tools 3 and 4} / \text{Total number of respondents})$			
Indicator Range			[0 to 100]			

**Notes:** This quantitative indicator should be used in conjunction with the qualitative information collected by means of question A.7 (asking respondents to specify the fields of expertise they had in previous work). It can also be used together with qualitative information collected through Tool 7. This indicator could be useful for European Managing Authorities of financing programmes that support Social Innovation through *calls for proposals*. Hence, previous experience in the same field could be an explicit eligibility criterion.

### Indicator Cd3. “Technical capabilities of actors to develop the Social Innovation idea” (\*)

**Specific evaluation question:** To what extent have the technical capabilities of actors helped to develop the Social Innovation idea?

**Description:** The indicator measures the technical capability of each member to develop the Social Innovation idea. The measure is based on the perceptions of members of the network. The indicator is suitable for verifying if members of the network are people with strong capabilities to develop the idea and then to carry on the process of social innovation.

**Judgement criterion:** The higher the indicator value, the more the technical capabilities of actors contributed to the development of the Social Innovation idea.

Tools	1	2	3	4	5	6
Question codes			E.4 (column 1)	E.4 (column 1)		
Type of answers			Social Network Analysis: list of [1; 0]	Social Network Analysis: list of [1; 0]		
Variable codes in MS Excel			E.4.1	E.4.1		
Variable range in MS Excel			[1; 0]	[1; 0]		
Data computation			<p><b>Step 1: Sum of “1s” “received” by the actors of the network (<i>indegree</i>) of each of Tools 3 and 4</b></p> <p><b>Step 2: Mean of the “1s” “received” by all actors from Tools 3 and 4</b></p> <p><b>Step 3: Percentage: <math>100 * (\text{Mean in Step 2} / \text{Total number of actors of the network})</math></b></p>			
Indicator Range			<b>[1 to 100]</b>			

Notes: None.

### Composite indicator X7.5 “Endogenous versus exogenous drivers of the Social Innovation process” (Da1, Da2, Da3)

#### Indicator Da1. “Role of newcomers in the Social Innovation process”

**Specific evaluation question:** To what extent have newcomers contributed to the development of the Social Innovation process?

**Description:** The indicator measures if Innovator(s), Follower(s) and Transformer(s) have a specific relationship with the territory where the Social Innovation has been implemented. The indicator can be used to verify if the Social Innovation process has been totally endogenous or with an exogenous component. It specifies the percentage of actors in the core group (Innovator(s) and Follower(s)) and in the network (Transformer(s)) that are newcomers for the territory. Respondents have 1 option for which

to choose for describing their own relationship to the local territory: (i) I have always lived here (endogenous); (ii) I have lived here, but I studied or worked away (neo-endogenous); (iii) I come from outside, but I have been living here for a while (neo-endogenous); (iv) I come from outside and I consider myself a newcomer (exogenous).

**Judgement criterion:** The higher the indicator value, the greater the role of newcomers in the development of the Social Innovation process.

Tools	1	2	3	4	5	6
Question codes			A.5	A.5		
Type of answers			Yes, No	Yes, No		
Variable codes in MS Excel			A.5	A.5		
Variable range in MS Excel			[1; 0]	[1; 0]		
Data computation			Percentage: $100 * (\text{Number of "yes" in option 4} / \text{Total number of respondents})$			
Indicator Range			[0 to 100]			

**Notes:** The endogenous component of the Social Innovation process can be calculated using the percentage of people answering to option 1. The neo-endogenous component of the Social Innovation process can be calculated using the percentage of people answering options 2 and 3. The indicator can be used in conjunction with indicator Da2, based on the contribution given to the Social Innovation by external actors (i.e. helpers from outside the territory, such as advisors, brokers, animators, and facilitators arriving from other areas), to understand and better evaluate the exogenous contribution to the Social Innovation process.

### Indicator Da2. “Perception of Social Innovation actors of the contribution of external helpers to the results of the Social Innovation initiative”

**Specific evaluation question:** To what extent have external helpers contributed to the results achieved by the Social Innovation initiative?

**Description:** The indicator measures to what extent the results of the Social Innovation initiative can be attributed to external helpers, such as advisors, brokers, animators, politicians, etc. The contribution of external helpers to the results of the Social Innovation initiative is measured on the basis of the perceptions of respondents (Innovator(s), Follower(s), Transformer(s) and project partner(s)), and expressed on a Likert Scale from 1 (not at all) to 10 (to a great extent).

**Judgement criterion:** The higher the indicator value, the greater the perceived contribution of external helpers to the results of the Social Innovation initiative.

Tools	1	2	3	4	5	6
Question codes			I.4	I.4	I.4	
Type of answers			Likert Scale	Likert Scale	Likert Scale	

<b>Variable codes in MS Excel</b>			<i>1.4.2</i>	<i>1.4.2</i>	<i>1.4.2</i>	
<b>Variable range in MS Excel</b>			<i>[1 to 10]</i>	<i>[1 to 10]</i>	<i>[1 to 10]</i>	
<b>Data computation</b>			<b>Step 1: Mean of scores for all respondents in Tool 3 and Tool 4</b> <b>Step 2: Mean of scores for Tool 5</b> <b>Step 3: Mean of the means in Step 1 and Step 2</b>			
<b>Indicator Range</b>			<b>[1 to 10]</b>			

**Notes:** The indicator can be used in conjunction with indicator Da1, on the role of newcomers, to understand and evaluate the exogenous contribution to the Social Innovation process.

### Indicator Da3. “Bridging capability of Social Innovation process actors with external actors”

**Specific evaluation question:** To what extent have the actors in the Social Innovation process contributed to the creation of bridges with external actors?

**Description:** The indicator measures the perception of members of the network of the capability of each member to create bridges with external actors. The indicator is suitable to verify if members of the network are people with capabilities to maintain external relationships.

**Judgement criterion:** The higher the indicator value, the greater the capability of the actors of the Social Innovation process to create bridges with external actors.

<b>Tools</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>
<b>Question codes</b>			E.4 (column 3)	E.4 (column 3)		
<b>Type of answers</b>			Social Network Analysis: list of [1; 0]	Social Network Analysis: list of [1; 0]		
<b>Variable codes in MS Excel</b>			<i>E.4.3</i>	<i>E.4.3</i>		
<b>Variable range in MS Excel</b>			<i>[1; 0]</i>	<i>[1; 0]</i>		
<b>Data computation</b>			<b>Step 1: Sum of “1s” “received” by the actors of the network (<i>indegree</i>) of each of Tools 3 and 4</b> <b>Step 2: Mean of the “1s” “received” by all actors from Tools 3 and 4</b> <b>Step 3: Percentage: 100*(Mean in Step 2/ Total number of actors in the network)</b>			
<b>Indicator Range</b>			<b>[1 to 100]</b>			

**Note:** None.

## Composite indicator X7.6 “Preparatory actions, motivations, and expertise” (Db1; Db2, Db3)

### Indicator Db1. “Preparatory actions developed by Innovators and Followers”

**Specific evaluation question:** To what extent have preparatory actions been carried out by the Innovator(s) and Follower(s)?

**Description:** The indicator shows how many preparatory actions have been carried out by the core group (Innovator(s) and Follower(s)) for the development of the Social Innovation initiative. Six components are considered: (i) Clarity of writing the initial idea for communication; (ii) Preliminary analysis of similar initiatives; (iii) Collection of data about the local context; (iv) Agreements on how to organise interactions amongst the Social Innovation actors; (v) Involvement of experts in the Social Innovation process; (vi) Agreements on how to manage conflicts.

**Judgement criterion:** The higher the indicator value, the greater the number of preparatory actions developed by Innovator(s) and Follower(s).

Tools	1	2	3	4	5	6
Question codes			C.10, C.11, C.12, C.13, C.14, C.15			
Type of answers			Yes; No			
Variable codes in MS Excel			C.10, C.11, C.12, C.13, C.14, C.15			
Variable range in MS Excel			[1; 0]			
Data computation			<p>Step 1: Sum of “yes” for all the individual respondents</p> <p>Step 2: Mean of the sums in Step 1</p> <p>Step 3: Percentage: <math>100 * (\text{Mean in Step 2} / 6)</math></p>			
Indicator Range			[0 to 100]			

**Notes:** If the indicator calculation is based only on one answer, the evaluator can decide to omit this indicator and to use the information to describe qualitatively the Social Innovation initiative. The quantitative value of the indicator (from 0 to 100) should be complemented by the qualitative analysis of the preparatory actions that have been carried out by the core group. The evaluator should identify and comment on which actions, amongst those listed, have been carried out (not only how many of them).

### Indicator Db2. “Social motivation of the actors of the Social Innovation network”

**Specific evaluation question:** To what extent have social motivations of actors determined the emergence of the Social Innovation network?

**Description:** The indicator describes if there is a majority of “social” motivations (options 1-2-3-4) on the range of possible motivations to join the Social Innovation network. Transformers are asked to indicate their motivation for engagement in the Social Innovation initiative: (i) they liked the idea and it made sense; (ii) they wanted to serve a good cause; (iii) they liked the leadership and charisma of the

Innovator(s) and Follower(s); (iv) they wanted to share their expertise for the benefit of the project; (v) they wanted to feel personally fulfilled; (vi) they wanted to receive economic benefits; (vii) it was part of the duties of their job; (viii) due to previous relationships they had with the people involved; (ix) other motivations (please specify). The indicator compares the “social” motivations (options 1-2-3-4) with the “personal” ones (options 5-6-7-8).

**Judgement criterion:** The higher the indicator value, the more the social motivations of the Social Innovation network exceed the personal ones.

Tools	1	2	3	4	5	6
Question codes				C.5		
Type of answers				8 option [yes; no]		
Variable codes in MS Excel				C.5.1 to C.5.8		
Variable range in MS Excel				[1; 0]		
Data computation				<p>Step 1: Count the number of “yes” in options 1-2-3-4 (social) per individual respondent</p> <p>Step 2: Count the number of “yes” in options 5-6-7-8 (personal) per individual respondent</p> <p>Step 3: Percentage per individual respondent:  <math>100 * (\text{Numbers in Step 1}) / (\text{Numbers in Step 1} + \text{Numbers in Step 2})</math></p> <p>Step 4: Mean of percentages from Step 3</p>		
Indicator Range				[0 to 100]		

Note: None.

### Indicator Db3. “Expertise motivating the engagement of Social Innovation actors”

**Specific evaluation question:** To what extent has the expertise of members of the network determined their engagement?

**Description:** The indicator measures if the expertise of network members (Transformer(s)) was a determining factor in their engagement. Transformers are asked to indicate their motivation for engagement in the Social Innovation initiative: (i) they liked the idea and it made sense; (ii) they wanted to serve a good cause; (iii) they liked the leadership and charisma of the Innovator(s) and Follower(s); (iv) they wanted to share their expertise for the benefit of the project; (v) they wanted to feel personally fulfilled; (vi) they wanted to receive economic benefits; (vii) it was part of the duties of their job; (viii) due to previous relationships they had with the people involved; (ix) other motivations (please specify). The indicators focus on “they wanted to share their expertise for the benefit of the project”.

**Judgement criterion:** The higher the indicator value, the more the expertise motivated the engagement of actors in the Social Innovation.

Tools	1	2	3	4	5	6
Question codes				C.5		
Type of answers				[Yes, No]		
Variable codes in MS Excel				C.5.4		
Variable range in MS Excel				[1; 0]		
Data computation				Percentage: $100 * (\text{Number of "yes"} / \text{Total number of answers})$		
Indicator Range				[0 to 100]		

Notes: None.

## Composite indicator X8.1 “New networks” (Ea1, Ea2, Ea3, Ea4, Ea5, Ea6, Ea7, Ea8, Ea9, Ea10, Ea11, Ea12, Ea13)

### Indicator Ea1. “Attendance level at meetings in the Social Innovation process”

**Specific evaluation question:** To what extent have the Social Innovation members attended the process meetings?

**Description:** The indicator measures the level of attendance of the Transformer(s) at the meetings of the Social Innovation process. The respondents have to self-evaluate the level of attendance at the meetings on a Likert Scale: (1) [I have attended] a few of them; (2) [I have attended] some of them; (3) [I have attended] many of them; (4) [I have attended] almost all of them.

**Judgement criterion:** The higher the indicator value, the more the members of the Social Innovation process attended the meetings.

Tools	1	2	3	4	5	6
Question codes				D.3		
Type of answers				Likert Scale (4 options)		
Variable codes in MS Excel				D.3		
Variable range in MS Excel				[1 to 4]		
Data computation				Mean of the answers of respondents		
Indicator Range				[1 to 4]		

Notes: None.

### Indicator Ea2. Balance between public and private sector of the members of the Social Innovation network”

**Specific evaluation question:** To what extent have members of the Social Innovation network been equally distributed amongst the public and private sector?

**Description:** The indicator measures the distribution of network members of the Social Innovation process amongst the private and public sector. The Innovator(s), Follower(s), and Transformer(s) have to specify which of the following options they predominantly represent: (i) Business entrepreneur; (ii) Social entrepreneur; (iii) Civil society organization; (iv) Public institution; (v) Yourself; (vi) Other.

**Judgement criterion:** The higher the indicator value, the more the members of the Social Innovation process are equally distributed amongst the public and private sector.

Tools	1	2	3	4	5	6
Question codes			A.9	A.9		
Type of answers			6 options	6 options		
Variable codes in MS Excel			A.9	A.9		
Variable range in MS Excel			[1, 2, 3, 4, 5, 6]	[1, 2, 3, 4, 5, 6]		
Data computation			<p><b>Step 1: Percentage (x): 100*(Number of “Public institution”/Total number of answers)</b></p> <p><b>Step 2: Calculate the absolute value of the difference between the percentage obtained in Step 1 and the value 50, divide it by 50 and invert it with respect to 1:</b></p> $1 - \frac{ x - 50 }{50}$			
Indicator Range			[0 to 1]			

**Notes:** \*option “other” is not considered in the automatic calculation. The Evaluator may decide to include “other” if this is significant. The evaluator may use Tool 2 (Session II-a) to check the quality of the information.

### Indicator Ea3. “Contribution of the members of the Social Innovation network to the results of the Social Innovation initiative”

**Specific evaluation question:** To what extent have members of the network contributed to the results of the Social Innovation initiative?

**Description:** The indicator shows to what extent the results of the Social Innovation initiative can be attributed to the members of the network. The indicator is expressed on a Likert Scale, from 1 (not at all) to 10 (to a great extent), based on the perception of Innovator(s), Follower(s) and Transformer(s).

**Judgement criterion:** The higher the indicator value, the more the members of the Social Innovation network contributed to the results of the Social Innovation initiative.

Tools	1	2	3	4	5	6	
Question codes			I.4	I.4			
Type of answers			Likert Scale	Likert Scale			
Variable codes in MS Excel			I.4.5	I.4.5			
Variable range in MS Excel			[1 to 10]	[1 to 10]			
Data computation			Mean of all the scores for option "Members of the network"				
Indicator Range			[1 to 10]				

**Notes:** This indicator can be used in conjunction with indicator Ia1, in which all the factors are compared.

#### Indicator Ea4. "Reputational power in the core group of the Social Innovation network" (\*)

**Specific evaluation question:** To what extent were the actors in the core group of the Social Innovation network endowed with a high reputational power?

**Description:** The indicator measures if actors in the core group of the collaboration network are those with the highest reputational power. The indicator is useful for verifying if reputation is a central feature of those who are at the centre of the collaboration network. The measure is the percentage of "x" actors in the core group of the collaboration network, in the top "y" positions of the reputational power ranking.

**Judgement criterion:** The higher the indicator value, the greater the reputational power of the actors in the Social Innovation network.

Tools	1	2	3	4	5	6	
Question codes			E.4 E.3	E.4 E.3			
Type of answers			Social Network Analysis	Social Network Analysis			
Variable codes in MS Excel			E.4.2 E.3.2	E.4.2 E.3.2			
Variable range in MS Excel			[1; 0]	[1; 0]			
Data computation			Step 1: Core-periphery algorithm (E.3.2) to identify the number of actors in the core group ("x") Step 2: Ranking of actors through their reputational				

			<p>power (E.4.2) and selection of the top “x” positions</p> <p>Step 3: Identify the number (“y”) of core group actors which are in the top “x” positions of the ranking in Step 2</p> <p>Step 4: Percentage: <math>100 * ((\text{“y” core group actors in the top “x” positions of the reputational power ranking in Step 3}) / \text{Total number “x” of actors in the core group of the network in Step 1})</math></p>		
Indicator Range			[0 to 100]		

**Notes:** This indicator can only be calculated using a Social Network Analysis software package.

### Indicator Ea5. “Female inclusion in the Social Innovation network”

**Specific evaluation question:** To what extent have female members been included in the Social Innovation network?

**Description:** The indicator measures the participation of females within the Social Innovation network in the reconfiguring process. Innovator(s), Follower(s), and Transformer(s) are considered.

**Judgement criterion:** The higher the indicator value, the greater the proportion of female members in the Social Innovation network.

Tools	1	2	3	4	5	6
Question codes			A.1	A.1		
Type of answers			Male; Female; I prefer not to respond	Male; Female; I prefer not to respond		
Variable codes in MS Excel			A.1	A.1		
Variable range in MS Excel			[1; 2; 9]	[1; 2; 9]		
Data computation			<p>Step 1: Count the number of females</p> <p>Percentage: <math>100 * (\text{Number in Step 1}) / \text{Total number of respondents (without considering the “I prefer not to respond”)}</math></p>			
Indicator Range			[0 to 100]			

**Notes:** None.

### Indicator Ea6. “Young people’s participation in the Social Innovation network”

**Specific evaluation question:** To what extent have young people participated in the Social Innovation network?

**Description:** The indicator measures the proportion of young people participating in the Social Innovation network. Innovator(s), Follower(s) and Transformer(s) are considered. This indicator is useful for verifying whether young people are active in the promotion of a Social Innovation process.

**Judgement criterion:** The higher the indicator value, the more young people have participated in the Social Innovation network.

Tools	1	2	3	4	5	6
Question codes	D.12 – D.13 (Section G)	Session II-a				
Type of answers	Number					
Variable codes in MS Excel	D.12 – D.13					
Variable range in MS Excel	[0 to infinity]					
Data computation	<b>Step 1: Count the number of actors under 40</b> <b>Step 2: Percentage: <math>100 * (\text{Number in Step 1} / \text{Total number of actors})</math></b>					
Indicator Range	[0 to 100]					

**Notes:** The evaluator can use Tool 2 (Session II-a) to check the quality of the information.

### Indicator Ea7. “Education level within the Social Innovation network”

**Specific evaluation question:** To what extent has the Social Innovation process been promoted by actors with university level qualifications?

**Description:** The indicator measures the proportion of Innovator(s), Follower(s) and Transformer(s) (i.e. all actors involved in the Social Innovation process) who have university level qualifications. The indicator is useful for verifying whether people with university level qualifications are active in the Social Innovation process.

**Judgement criterion:** The higher the indicator value, the greater the proportion of Innovator(s), Follower(s) and Transformer(s) with university level qualifications involved in the Social Innovation process.

Tools	1	2	3	4	5	6
Question codes			A.2	A.2		
Type of answers			5 options	5 options		

<b>Variable codes in MS Excel</b>		A.2	A.2			
<b>Variable range in MS Excel</b>		[1, 2, 3, 4, 5]	[1, 2, 3, 4, 5]			
<b>Data computation</b>		Percentage: $100 * (\text{Count the number of option 4 (with university degrees)}) / \text{Total individual respondents}$				
<b>Indicator Range</b>		[0 to 100]				

**Notes:** “University degree” includes bachelors and higher university degrees. In the automatic calculation, option “other” is considered to be lower education degree than option 4. The evaluator may decide to include “other” in the numerator if this is significant.

### Indicator Ea8. “Balance across economic sectors of the members of the Social Innovation process”

**Specific evaluation question:** To what extent have members of the Social Innovation network been equally distributed amongst different economic sectors?

**Description:** The indicator measures the distribution of members of the Social Innovation process across five economic sectors. The Innovator(s), Follower(s) and Trasformer(s) have to specify which of the following options they represent: (i) Agriculture; (ii) Livestock; (iii) Fisheries and aquaculture; (iv) Forestry; (v) Rural development; (vi) Other (to be specified case by case).

**Judgement criterion:** The higher the indicator value, the more the members of the Social Innovation process are equally distributed across five different economic sectors.

<b>Tools</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>
<b>Question codes</b>	D.14 – D.15 – D.16 – D-17 – D-18 – D.19 (Section G)	Session II-a				
<b>Type of answers</b>	5 options					
<b>Variable codes in MS Excel</b>	D.14 to D.19					
<b>Variable range in MS Excel</b>	[1, 2, 3, 4, 5, 6]					
<b>Data computation</b>	<p><b>Step 1:</b> Calculate relative frequencies <math>f_j</math> of each option <math>j</math></p> <p><b>Step 2:</b> Calculate the the square number of the relative frequencies in Step 1: <math>f_i^2</math></p> <p><b>Step 3:</b> Compute the normalized <i>Gini heterogeneity index</i> for categorical data, defined by:</p>					

	$G = \frac{k}{k-1} (1 - \sum_{j=1}^k f_j^2),$ <p>where <math>k</math> is the number of options* (enter 5 if “other” is not considered, otherwise 6)</p>				
Indicator Range	[0 to 1]				

**Notes:** \*option “other” is not considered in the automatic calculation. The evaluator may decide to include “other” if this is significant. The evaluator may use Tool 2 (Session II-a) to check the quality of the information of Tool 1.

### Indicator Ea9. “Balance across different geographic levels of the members of the Social Innovation process”

**Specific evaluation question:** To what extent have members of the Social Innovation process been equally distributed across different geographical levels?

**Description:** The indicator measures the distribution of members of the Social Innovation process across across four different geographic levels. The Innovator(s), Follower(s) and Transformer(s) have to specify which of the following options they represent: (i) Local level; (ii) Regional level; (iii) National level; (iv) International level.

**Judgement criterion:** The higher the indicator value, the more the members of the Social Innovation process are equally distributed across four different geographic levels.

Tools	1	2	3	4	5	6
Question codes			A.8	A.8		
Type of answers			4 options	4 options		
Variable codes in MS Excel			A.8	A.8		
Variable range in MS Excel			[1, 2, 3, 4]	[1, 2, 3, 4]		
Data computation			<p>Step 1: Calculate relative frequencies <math>f_j</math> of each option <math>j</math> based on observations in Tools 3 and 4</p> <p>Step 2: Calculate the the square number of the relative frequencies in Step 1: <math>f_i^2</math></p> <p>Step 3: Compute the normalized <i>Gini heterogeneity index</i> for categorical data, defined by:</p> $G = \frac{k}{k-1} (1 - \sum_{j=1}^k f_j^2),$ <p>where <math>k</math> is the number of options* (enter 4)</p>			
Indicator Range			[0 to 1]			

**Notes:** None.

### Indicator Ea10. “New relationships within the Social Innovation network”

**Specific evaluation question:** To what extent have new relationships been created within the Social Innovation network?

**Description:** The indicator shows whether the relationships established within the Social Innovation network already existed or have been newly created. The respondents (Innovator(s), Follower(s), Transformer(s)) were asked to state how many of the contacts they had within the Social Innovation network were: (i) Close contacts (i.e. already existing before the creation of the Social Innovation network); (ii) Already known by name; (iii) Completely new contacts. The indicator is expressed as a percentage of new contacts (the sum of types ii and iii) of the total number of contacts.

**Judgement criterion:** The higher the indicator value, the greater the proportion of relationships within the Social Innovation network which were newly created.

Tools	1	2	3	4	5	6
Question codes			E.1	E.1		
Type of answers			[0 to infinity]	[0 to infinity]		
Variable codes in MS Excel			E.1.1, E.1.2, E.1.3	E.1.1, E.1.2, E.1.3		
Variable range in MS Excel			[0 to infinity]	[0 to infinity]		
Data computation			<b>Step 1: Percentage: <math>100 * ((E.1.2 + E.1.3) / (E.1.1 + E.1.2 + E.1.3))</math></b> <b>for each individual respondent</b>  <b>Step 2: Mean of percentages computed in Step 1</b>			
Indicator Range			[0 to 100]			

Notes: None.

### Indicator Ea11. “Balance across different social, institutional and economic categories of the members of the Social Innovation process”

**Specific evaluation question:** To what extent were members of the Social Innovation process been equally distributed across different social, institutional and economic categories?

**Description:** The indicator measures the distribution of members of the Social Innovation process across different social, institutional and economic categories. The Innovator(s), Follower(s) and Transformer(s) have to specify which of the following options they represent: (i) Business entrepreneur; (ii) Social entrepreneur; (iii) Civil society organisation; (iv) Public institutions; (v) Yourself; (vi) Other.

**Judgement criterion:** The higher the indicator value, the more the members of the Social Innovation process are equally distributed across in different social, institutional and economic categories

Tools	1	2	3	4	5	6
Question codes			A.9	A.9		
Type of answers			Multiple choice	Multiple choice		
Variable codes in MS Excel			A.9	A.9		
Variable range in MS Excel			[1, 2, 3, 4, 5, 6]	[1, 2, 3, 4, 5, 6]		
Data computation			<p><b>Step 1: Calculate relative frequencies <math>f_j</math> of each option <math>j</math> based on observations in Tools 3 and 4</b></p> <p><b>Step 2: Calculate the the square number of the relative frequencies in Step 1: <math>f_i^2</math></b></p> <p><b>Step 3: Compute the normalized <i>Gini heterogeneity index</i> for categorical data, defined by:</b></p> $G = \frac{k}{k-1} (1 - \sum_{j=1}^k f_j^2),$ <p><b>where <math>k</math> is the number of options* (enter 5 if “other” is not considered, otherwise 6)</b></p>			
Indicator Range			[0 to 1]			

**Notes:** \* option “other” is not considered in the automatic calculation. The Evaluator may decide to include “other” if this is significant.

### Indicator Ea12. “Level of internal trust in the Social Innovation network”

**Specific evaluation question:** To what extent has trust been spread amongst the actors within the Social Innovation network?

**Description:** The indicator shows to what extent the members of the Social Innovation network trust each other. It is based on the perceptions of Innovator(s), Follower(s) and Transformer(s). The indicator is expressed on a Likert Scale, from 1 (not at all) to 10 (to a great extent).

**Judgement criterion:** The higher the indicator value, the greater the level of trust amongst the actors within the Social Innovation network.

Tools	1	2	3	4	5	6
Question codes			E.5	E.5		
Type of answers			Likert Scale	Likert Scale		
Variable codes in MS Excel			E.5	E.5		
Variable range in MS Excel			[1 to 10]	[1 to 10]		

Data computation			Compute the mean of scores for all respondents in Tool 3 and Tool 4		
Indicator Range			[1 to 10]		

Notes: None.

**Indicator Ea13. “Level of representativeness of the actors involved in the Social Innovation network in relation to the categories of the organisations”**

**Specific evaluation question:** To what extent were actors in the network representative of the categories of organisations involved in the Social Innovation network?

**Description:** The indicator shows the level of representativeness of the actors involved in the network in relation to the category of organisations. Respondents have to state their perception of the extent to which the actors in the network are representative of: (i) Public administrations; (ii) Public enterprises; (iii) Civil organizations (e.g. associations, not-for-profit); (iv) Private enterprises (e.g. for profit). The level of representativeness is measured on a Likert Scale from 1 (not at all) to 10 (to a great extent). The evaluation question is posed to Innovator(s), Follower(s) and Transformer(s).

**Judgement criterion:** The higher the indicator value, the greater the perceived level of representativeness of the actors in the Social Innovation network in relation to the categories of the organisations.

Tools	1	2	3	4	5	6
Question codes			E.10	E.10		
Type of answers			Likert Scale	Likert Scale		
Variable codes in MS Excel			E.10.1, E.10.2, E.10.3, E.10.4	E.10.1, E.10.2, E.10.3, E.10.4		
Variable range in MS Excel			[1 to 10]	[1 to 10]		
Data computation			<b>Step 1: Compute the means of each item [E.10.1, E.10.2, E.10.3, E.10.4] for all respondents in Tool 3 and Tool 4</b> <b>Step 2: Mean of the means in Step 1</b>			
Indicator Range			[1 to 10]			

**Notes:** The quantitative indicator can be complemented with the qualitative information extracted from question E.10 about each type of organization represented by the actors in the network. The same information can be used to specify which actors are the most representative amongst those listed.

## Composite indicator X8.2 “New attitudes” (Eb1, Eb2)

### Indicator Eb1. “Level of pro-action of Transformers during the Social Innovation process”

**Specific evaluation question:** To what extent have the network members been proactive during the Social Innovation process?

**Description:** The indicator describes at which moment in the Social Innovation initiative the network members changed their attitudes and became pro-active. Four moments were considered by the respondents: “My attitude towards the Social Innovation initiative became pro-active ...” (i) From the beginning; (ii) During the development of the Social Innovation process; (iii) After the first results of the implementation of the Social Innovation project; (iv) It is not yet pro-active. The basic assumption is that the members of the Social Innovation network have been convinced of the validity of the initiative from the beginning, or have changed their attitudes towards the Social Innovation initiative during its development.

**Judgement criterion:** The higher the indicator value, the greater the proportion of network members who were or became proactive during the Social Innovation process.

Tools	1	2	3	4	5	6
Question codes				F.2		
Type of answers				4 options		
Variable codes in MS Excel				F.2		
Variable range in MS Excel				[1, 2, 3, 4]		
Data computation				Percentage: $100 * ((\text{“answers to option 1”} + \text{“answers to option 2”}) / \text{total answers})$		
Indicator Range				[0 to 100]		

**Notes:** None.

### Indicator Eb2. “Perception of the actors of their level of empowerment during the Social Innovation process”

**Specific evaluation question:** To what extent have the actors felt empowered during the Social Innovation process?

**Description:** The indicator shows the level of empowerment felt by the Innovator(s), Follower(s), and Transformer(s) during the Social Innovation process. The level of empowerment is measured on a Likert Scale from 1 (not at all) to 10 (to a great extent), and it is based on the perceptions of the respondents.

**Judgement criterion:** The higher the indicator value, the more the actors felt empowered during the Social Innovation process.

Tools	1	2	3	4	5	6
Question codes			G.8	G.8		
Type of answers			Likert Scale	Likert Scale		
<i>Variable codes in MS Excel</i>			<i>G.8</i>	<i>G.8</i>		
<i>Variable range in MS Excel</i>			<i>[1 to 10]</i>	<i>[1 to 10]</i>		
Data computation			Compute the mean of scores for all respondents in Tool 3 and Tool 4			
Indicator Range			[1 to 10]			

Notes: None.

### Composite indicator X8.3 “New governance arrangements” (Ec1, Ec2, Ec3, Ec4)

#### Indicator Ec1. “Level of involvement in decision-making of the actors in the Social Innovation process”

**Specific evaluation question:** To what extent have the actors in the Social Innovation process been involved in the decision-making processes?

**Description:** The indicator represents the level of involvement of Innovator(s), Follower(s) and Transformer(s) in decision-making during the Social Innovation process. Four levels of involvement are listed as possible options: (i) I was informed of the decisions taken; (ii) I was consulted before a decision was taken; (iii) I was involved in decision-making; (iv) I actively participated in decision-making.

**Judgement criterion:** The higher the indicator value, the higher the level of involvement in decision-making during the Social Innovation process.

Tools	1	2	3	4	5	6
Question codes			G.7	G.7		
Type of answers			4 options	4 options		
<i>Variable codes in MS Excel</i>			<i>G.7</i>	<i>G.7</i>		
<i>Variable range in MS Excel</i>			<i>[1 to 4]</i>	<i>[1 to 4]</i>		
Data computation			Compute the mean of scores for all respondents in Tool 3 and Tool 4			
Indicator Range			[1 to 4]			

Notes: None.

### Indicator Ec2. “Level to which formal and informal norms have been agreed all together”

**Specific evaluation question:** To what extent have formal and informal norms been shared amongst the members of the Social Innovation network?

**Description:** The indicator measures whether the formal and informal norms have been agreed by the whole network of Innovator(s), Follower(s) and Transformer(s). The options they could select are: (i) Formal norms have been decided by a sub-group of actors; (ii) Formal norms have been agreed all together; (iii) Written norms and agreements have been decided by the sub-group of actors; (iv) Written norms and agreements have been agreed all together.

**Judgement criterion:** The higher the indicator value, the greater the proportion of actors who attest that the norms have been agreed all together.

Tools	1	2	3	4	5	6
Question codes			G.3	G.3		
Type of answers			4 options [yes; no]	4 options [yes; no]		
Variable codes in MS Excel			G.3.2, G.3.4	G.3.2, G.3.4		
Variable range in MS Excel			[1, 0]	[1, 0]		
Data computation			<p><b>Step 1: Calculate the total number of respondents who ticked answer “Agreed all together” to question G.3 [G.3.2 or G.3.4]</b></p> <p><b>Step 2: Percentage: <math>100 * (\text{Number of answer in Step 1} / \text{Total number of respondents})</math></b></p>			
Indicator Range			[0 to 100]			

Notes: None.

### Indicator Ec3. “Level of awareness of the adoption of formal sanctioning mechanisms”

**Specific evaluation question:** To what extent have actors in the Social Innovation process recognised as internal mechanisms the application of formal sanctions?

**Description:** The indicator describes whether the internal mechanisms of the Social Innovation process include the application of sanctions for those who do not respect the formal and informal norms. Three options were proposed: (i) No sanction or only “moral sanctions”; (ii) Formalised and pre-defined sanctions; (iii) I do not know.

**Judgement criterion:** The higher the indicator value, the greater the proportion of actors of the Social Innovation process affirming that formal sanctioning mechanisms have been adopted.

Tools	1	2	3	4	5	6
Question codes			G.6	G.6		
Type of answers			3 options	3 options		
<i>Variable codes in MS Excel</i>			G.6	G.6		
<i>Variable range in MS Excel</i>			[1, 2, 3]	[1, 2, 3]		
Data computation			<b>Step 1: Calculate the total number of answers to “option 2”</b> <b>Step 2: Percentage: 100*(Total number in Step 1/Total number of answers)</b>			
Indicator Range			[0 to 100]			

**Notes:** Option “I don’t know” is considered in the calculation.

#### Indicator Ec4. “Level of trust in public institutions of the actors of the Social Innovation process”

**Specific evaluation question:** To what extent did the actors in the Social Innovation process trust the public institutions?

**Description:** The indicator measures the perceived level of trust in public institutions, as expressed by Innovators, Followers, and Transformers. The level of perceived trust is expressed on a Likert Scale, from 1 (not at all) to 10 (to a great extent). Four types of institutions are considered: (i) the European Union; (ii) the National Government; (iii) the local institutions.

**Judgement criterion:** The higher the indicator value, the greater the level of trust in public institutions.

Tools	1	2	3	4	5	6
Question codes			G.12	G.12		
Type of answers			Likert Scale	Likert Scale		
<i>Variable codes in MS Excel</i>			G.12.1 to G.12.3	G.12.1 to G.12.3		
<i>Variable range in MS Excel</i>			[1 to 10]	[1 to 10]		
Data computation			<b>Compute the means of each item [G.12.1, G.12.2, G.12.3] for all respondents in Tool 3 and Tool 4</b> <b>Step 2: Mean of the means in Step 1</b>			
Indicator Range			[1 to 10]			

**Notes:** If the European Union is not an institution of reference, please refer to another supra-national (if existing) or inter-governmental organisation that fits the context or case. In specific national contexts also the evaluation on the level of institutional trust towards the regional government could be included in the computation of this indicator.

## Composite indicator X9.1 “Planning and Management” (Fa1, Fa2, Fa3, Fa4, Fa5, Fa6, Fa7)

### Indicator Fa1. “Level of planning in the Social Innovation project”

**Specific evaluation question:** To what extent has structured planning been foreseen in the Social Innovation project?

**Description:** The indicator measures whether the project envisaged a structured planning of the Social Innovation. That is, it shows the extent to which the project was planned in relation to: (i) Project objectives; (ii) Schedule of activities; (iii) Sources of funding. In relation to each item indicated the respondent has to say if: (i) Activities have been planned; (ii) Procedures have been written; (iii) Practices have been applied. The information is collected by the evaluator with the contribution of the Project Manager.

**Judgement criterion:** The higher the indicator value, the greater the level of planning in the Social Innovation project.

Tools	1	2	3	4	5	6
Question codes	H.1					
Type of answers	3 dichotomous (activities, procedures, practices) per item					
Variable codes in MS Excel	H.1.1.1-3, H.1.2.1-3, H.1.3.1-3, H.1.4.1-3					
Variable range in MS Excel	[1; 0]					
Data computation	<p>Step 1: Give 1 point for each “yes”</p> <p>Step 2: Sum the number of points to obtain a score from 0 to 9</p>					
Indicator range	[0 to 9]					

**Notes:** The option “Not apply” (H.1.4.1-3) has been transformed into 0 for use in the data computation.

### Indicator Fa2. “Level of management of human resources”

**Specific evaluation question:** To what extent has the management of human resource been foreseen in the Social Innovation project?

**Description:** The indicator measures whether the Social Innovation project envisaged the management of human resources. That is, it shows the extent to which the human resources were managed in relation to: (i) Training for staff; (ii) Gender balance; (iii) Facilities for workers. In relation to each item indicated the respondent has to say if: (i) Activities have been planned; (ii) Procedures have been written; (iii) Practices have been applied. The information is collected by the evaluator with the contribution of the Project Manager.

**Judgement criterion:** The higher the indicator value, the greater the level of management of human resources in the Social Innovation project.

Tools	1	2	3	4	5	6
Question codes	H.2					
Type of answers	3 dichotomous (activities, procedures, practices) per item					
Variable codes in MS Excel	H.2.1.1-3, H.2.2.1-3, H.2.3.1-3, H.2.4.1-3					
Variable range in MS Excel	[1; 0]					
Data computation	Step 1: Give 1 point per “yes” Step 2: Sum the points to obtain a score from 0 to 9					
Indicator range	[0 to 9]					

**Notes:** The option “not apply” (H.2.4.1-3) has been transformed into 0 for use in the data computation.

### Indicator Fa3. “Level of management of financial resources”

**Specific evaluation question:** To what extent has the management of financial resources been foreseen in the Social Innovation project?

**Description:** The indicator measures whether the Social Innovation project envisaged the management of the financial resources. That is, it shows the extent to which the financial resources were managed in relation to: (i) Financial inflows; (ii) Financial outflows; (iii) Financial reporting. In relation to each item indicated the respondent has to say if: (i) Activities have been planned; (ii) Procedures have been written; (iii) Practices have been applied. The information is collected by the evaluator with the contribution of the Project Manager.

**Judgement criterion:** The higher the indicator value, the greater the level of management of the financial resources of the Social Innovation project.

Tools	1	2	3	4	5	6
Question codes	H.3					
Type of answers	3 dichotomous (activities, procedures, practices) per item					
Variable codes in MS Excel	H.3.1.1-3, H.3.2.1-3, H.3.3.1-3, H.3.4.1-3					
Variable range in MS Excel	[1; 0]					
Data computation	Step 1: Give 1 point per each “yes”					

	<b>Step 2: Sum points to obtain a score from 0 to 9</b>					
<b>Indicator range</b>	<b>[0 to 9]</b>					

**Notes:** The option “Not apply” (H.3.4.1-3) has been transformed into 0 for use in the data computation.

#### **Indicator Fa4. “Level of management of materials and infrastructural resources”**

**Specific evaluation question:** To what extent has the management of materials and infrastructural resources been foreseen in the Social Innovation project?

**Description:** The indicator measures whether whether the Social Innovation project envisaged the management of materials and infrastructural resources. That is, it shows the extent to which the materials and infrastructural resources were managed in relation to: (i) Equipment, machines and computers; (ii) Consumables; (iii) Access to the Internet. In relation to each item indicated the respondent has to say if: (i) Activities have been planned; (ii) Procedures have been written; (iii) Practices have been applied. The information is collected by the evaluator with the contribution of the Project Manager.

**Judgement criterion:** The higher the indicator value, the greater the level of management of materials and infrastructural resources of the Social Innovation project.

<b>Tools</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>
<b>Question codes</b>	H.4					
<b>Type of answers</b>	3 dichotomous (activities, procedures, practices) per item					
<b>Variable codes in MS Excel</b>	<i>H.4.1.1-3, H.4.2.1-3, H.4.3.1-3, H.4.4.1-3</i>					
<b>Variable range in MS Excel</b>	<i>[1; 0]</i>					
<b>Data computation</b>	<b>Step 1: Give 1 point per each “yes”</b> <b>Step 2: Sum points to obtain a score from 0 to 9</b>					
<b>Indicator range</b>	<b>[0 to 9]</b>					

**Notes:** The option “Not apply” (H.4.4.1-3) has been transformed into 0 for use in data computation.

#### **Indicator Fa5. “Level of management of communication and marketing”**

**Specific evaluation question:** To what extent has the management of communication and marketing been foreseen in the Social Innovation project?

**Description:** The indicator measures whether the project envisaged the management of communication and marketing in the Social Innovation. That is, it shows the extent to which communication and marketing were managed in relation to: (i) Communication strategy; (ii) Marketing strategy; (iii) Dissemination activities. In relation to each item indicated the respondent has to say if: (i) Activities have

been planned; (ii) Procedures have been written; (iii) Practices have been applied. The information is collected by the evaluator with the contribution of the Project Manager.

**Judgement criterion:** The higher the indicator value, the greater the level of management of communication and marketing in the Social Innovation project.

Tools	1	2	3	4	5	6
Question codes	H.5					
Type of answers	3 dichotomous (activities, procedures, practices) per item					
Variable codes in MS Excel	H.5.1.1-3, H.5.2.1-3, H.5.3.1-3, H.5.4.1-3					
Variable range in MS Excel	[1; 0]					
Data computation	Step 1: Give 1 point per each “yes” Step 2: Sum points to obtain a score from 0 to 9					
Indicator range	[0 to 9]					

**Notes:** The option “Not apply” (H.5.4.1-3) has been transformed into 0 for use in the data computation.

#### Indicator Fa6. “Level of management of the administration”

**Specific evaluation question:** To what extent has the management of the administration been foreseen in the Social Innovation project?

**Description:** The indicator measures whether the Social Innovation project envisaged the management of the administration. That is, it shows the extent to which the administration was managed in relation to: (i) Archiving system; (ii) Accounting system; (iii) Administrative system. In relation to each item indicated the respondent has to say if: (i) Activities have been planned; (ii) Procedures have been written; (iii) Practices have been applied. The information is collected by the evaluator with the contribution of the Project Manager.

**Judgement criterion:** The higher the indicator value, the greater the level of management of the administration in the Social Innovation project.

Tools	1	2	3	4	5	6
Question codes	H.6					
Type of answers	3 dichotomous (activities, procedures, practices) per item					
Variable codes in MS Excel	H.6.1.1-3, H.6.2.1-3, H.6.3.1-3, H.6.4.1-3					
Variable range in MS Excel	[1; 0]					

<b>Data computation</b>	<b>Step 1: Give 1 point for each “yes”</b> <b>Step 2: Sum the number of points to obtain a score from 0 to 9</b>					
<b>Indicator range</b>	<b>[0 to 9]</b>					

**Notes:** The option “Not apply” (H.6.4.1-3) has been transformed into 0 for use in the data computation.

### Indicator Fa7. “Level of management of monitoring and evaluation”

**Specific evaluation question:** To what extent has the management of monitoring and evaluation been foreseen in the Social Innovation project?

**Description:** The indicator measures whether the Social Innovation project envisaged the management of monitoring and evaluation. That is, it shows the extent to which the monitoring and evaluation were managed in relation to: (i) Monitoring of activities and outputs; (ii) Risk management; (iii) Self-evaluation. In relation to each item indicated the respondent has to say if: (i) Activities have been planned; (ii) Procedures have been written; (iii) Practices have been applied. The information is collected by the evaluator with the contribution of the Project Manager.

**Judgement criterion:** The higher the indicator value, the greater the level of the management of the monitoring and evaluation of the Social Innovation project.

<b>Tools</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>
<b>Question codes</b>	H.7					
<b>Type of answers</b>	3 dichotomous (activities, procedures, practices) per item					
<b>Variable codes in MS Excel</b>	H.7.1.1 to H.7.1.3, H.7.2.1 to H.7.2.3, H.7.3.1 to H.7.3.3, H.7.4.1 to H.7.4.3					
<b>Variable range in MS Excel</b>	[1; 0]					
<b>Data computation</b>	<b>Step 1: Give 1 point for each “yes”</b> <b>Step 2: Sum the number of points to obtain a score from 0 to 9</b>					
<b>Indicator range</b>	<b>[0 to 9]</b>					

**Notes:** The option “Not apply” (H.7.4.1-3) has been transformed into 0 for use in the data computation.

## Composite indicator X9.2 “Support by project partners and external agencies” (Fb1, Fb2, Fb3, Fb4, Fb5)

### Indicator Fb1. “Contribution of project partners to the results of the Social Innovation initiative”

**Specific evaluation question:** To what extent have project partners contributed to the achievement of the results of the Social Innovation?

**Description:** The indicator describes the extent to which project partners have contributed to the results of the Social Innovation initiative. The indicator is expressed on a Likert Scale from 1 (not at all) to 10 (to a great extent), based upon the perceptions of the Innovator(s), Follower(s), Transformer(s), and project partners.

**Judgement criterion:** The higher the indicator value, the higher the contribution of project partners to the achievement of the results of the Social Innovation initiative.

Tools	1	2	3	4	5	6
Question codes			I.4	I.4	I.4	
Type of answers			Likert Scale	Likert Scale	Likert Scale	
Variable codes in MS Excel			I.4.6	I.4.6	I.4.6	
Variable range in MS Excel			[1 to 10]	[1 to 10]	[1 to 10]	
Data computation			<p>Step 1: Mean of Tools 3 and 4</p> <p>Step 2: Mean of Tool 5</p> <p>Step 3: Mean of means in Step 1 and Step 2</p>			
Indicator Range			[1 to 10]			

Notes: None.

### Indicator Fb2. “Contribution of external financiers to the Social Innovation project”

**Specific evaluation question:** To what extent have external financing agencies contributed to supporting the Social Innovation project?

**Description:** The indicator measures the percentage of the external financial contribution provided by the financing agency and other external financiers to the Social Innovation project with respect to the total amount of contributions to it. The total contributions of the Social Innovation project are the project coordinator’s own contribution, project partners contributions, external contribution by the financing agency, and contributions from other external financiers. The sum of values in the last three years are computed in relation to all the variables analysed.

**Judgement criterion:** The higher the indicator value, the greater the proportion of contributions by external financiers to the Social Innovation project.

Tools	1	2	3	4	5	6
Question codes	H.43 – H.44 – H.45 (Section I)					
Type of answers	[0 to infinity]					
Variable codes in MS Excel	H.43 – H.44 – H.45					
Variable range in MS Excel	[0 to infinity]					
Data computation	Percentage: $100 * (\text{Contribution by the external financing agency} + \text{Contribution by others external}) / \text{Total contributions to the Social Innovation project}$					
Indicator Range	[0 to 100]					

Notes: None.

### Indicator Fb3. “Capabilities of the Project Manager of planning the activities of the Social Innovation project”

**Specific evaluation question:** To what extent has the Project Manager been capable of planning the activities of the Social Innovation project before implementing it?

**Description:** The indicator measures whether the Project Manager has been capable of planning the activities of the Social Innovation project before implementing them. That is, it considers the capabilities to plan: (i) The Social Innovation project; (ii) Human resources; (iii) Financial resources; (iv) Materials and infrastructural resources; (v) Communication and marketing; (vi) Administration; (vii) Monitoring and evaluation. The Project Manager has to specify, for each item, their self-evaluation of their capability to plan the activities.

**Judgement criterion:** The higher the indicator value, the greater the Project Manager’s capability to plan the activities.

Tools	1	2	3	4	5	6
Question codes	H1, H2, H3, H4, H5, H6, H7 (column 1)					
Type of answers	3 dichotomous activities per item (an example is the planning of the Social Innovation project)					
Variable codes in MS Excel	H.1.1.1-3, H.2.1.1-3, H.3.1.1-3, H.4.1.1-3, H.5.1.1-3, H.6.1.1-3, H.7.1.1-3					
Variable range in MS Excel	[1; 0]					
Data computation	Step 1: Give a score of 1 for each “yes”					

	<b>Step 2: Sum of scores</b>					
	<b>Step 3: Percentage: <math>100 * (\text{Sum computed in Step 2}) / 21</math></b>					
<b>Indicator Range</b>	<b>[0 to 100]</b>					

**Notes:** The indicator can be further understood based upon qualitative information about the external circumstances impacting on the Project Manager.

#### **Indicator Fb4. “Capabilities of the Project Manager to develop the procedures of the Social Innovation project”**

**Specific evaluation question:** To what extent has the Project Manager been capable of developing the procedures of the Social Innovation project into written tasks and roles?

**Description:** The indicator measures whether the Project Manager has been capable of developing the procedures of the Social Innovation project into written tasks and roles. That is, it considers the capabilities to develop: (i) The Social Innovation project; (ii) Human resources; (iii) Financial resources; (iv) Materials and infrastructural resources; (v) Communication and marketing; (vi) Administration; (vii) Monitoring and evaluation. The Project Manager has to specify, for each item, their self-evaluation of their capability to develop the proceduers into written tasks and roles.

**Judgement criterion:** The higher the indicator value, the greater the Project Manager’s capability to develop the procedures.

<b>Tools</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>
<b>Question codes</b>	H1, H2, H3, H4, H5, H6, H7 (column 2)					
<b>Type of answers</b>	3 dichotomous procedures per item (an example is the planning of the Social Innovation project)					
<b>Variable codes in MS Excel</b>	<i>H.1.2.1-3, H.2.2.1-3, H.3.2.1-3, H.4.2.1-3, H.5.2.1-3, H.6.2.1-3, H.7.2.1-3</i>					
<b>Variable range in MS Excel</b>	<i>[1; 0]</i>					
<b>Data computation</b>	<b>Step 1: Give a score of 1 for each “yes”</b> <b>Step 2: Sum of scores</b> <b>Step 3: Percentage: <math>100 * (\text{Sum computed in Step 2}) / 21</math></b>					
<b>Indicator Range</b>	<b>[0 to 100]</b>					

**Notes:** The indicator can be further understood based upon qualitative information about the external circumstances impacting on the Project Manager.

## Indicator Fb5. “Capabilities of the Project Manager to apply the practices of the Social Innovation project”

**Specific evaluation question:** To what extent has the Project Manager been capable of applying the practices of the Social Innovation project and to complete the activities?

**Description:** The indicator measures whether the Project Manager was capable of implementing practices of the Social Innovation project. That is, it considers the capabilities to apply practices through the planning of: (i) The Social Innovation project; (ii) Human resources; (iii) Financial resources; (iv) Materials and infrastructural resources; (v) Communication and marketing; (vi) Administration; (vii) Monitoring and evaluation. The Project Manager has to specify, for each item, their self-evaluation of their capability for applying the practices.

**Judgement criterion:** The higher the indicator value, the greater the Project Manager’s capability to apply the practices.

Tools	1	2	3	4	5	6
Question codes	H1, H2, H3, H4, H5, H6, H7 (column 3)					
Type of answers	3 dichotomous practices per item (an example is the planning of the Social Innovation project)					
Variable codes in MS Excel	H.1.3.1-3, H.2.3.1-3, H.3.3.1-3, H.4.3.1-3, H.5.3.1-3, H.6.3.1-3, H.7.3.1-3					
Variable range in MS Excel	[1; 0]					
Data computation	<p>Step 1: Give a score of 1 for each “yes”</p> <p>Step 2: Sum of scores</p> <p>Step 3: Percentage: <math>100 * (\text{Sum computed in Step 2} / 21)</math></p>					
Indicator Range	[0 to 100]					

**Notes:** The indicator can be further understood based upon qualitative information about the external circumstances impacting on the Project Manager.

## Composite indicator X9.3 “Beneficiaries” (Ga1, Ga2, Ga3, Ga4)

### Indicator Ga1. “New relationships amongst direct beneficiaries”

**Specific evaluation question:** To what extent have direct beneficiaries established new relationships due to the Social Innovation initiative?

**Description:** The indicator describes the mean number of new relationships that the direct beneficiaries of the Social Innovation project have established due to the initiative itself with other beneficiaries.

**Judgement criterion:** The higher the indicator value, the greater the mean number of new relationships established amongst beneficiaries, due to the Social Innovation initiative.

Tools	1	2	3	4	5	6
Question codes	H.18					J.1
Type of answers	Numerical					Filter + Numerical
Variable codes in MS Excel	H.18					J.1.2, J.1.2.1
Variable range in MS Excel	[0 to infinity]					[1; 0] [0 to infinity]
Data computation	<p>Step 1: If J.1.2 is “no” the number of new relationships is 0</p> <p>Step 2: Mean of the numbers of new relations (J.1.2.1) per all the individual respondents</p> <p>Step 3: Percentage: <math>100 * (\text{Mean in Step 2} / \text{Total number of direct beneficiaries (H.18)})</math></p>					
Indicator range	[0 to 100]					

**Notes:** Each answer to J.1.2.1 cannot be bigger than the total number of beneficiaries.

### Indicator Ga2. “New relationships between the direct beneficiaries and institutions”

**Specific evaluation question:** To what extent have direct beneficiaries established new relationships with institutions due to the Social Innovation initiative?

**Description:** The indicator describes the new relationships that the direct beneficiaries of the Social Innovation have established with institutions due to the initiative.

**Judgement criterion:** The higher the indicator value, the greater the number of new relationships established between the direct beneficiaries and institutions, due to the Social Innovation initiative.

Tools	1	2	3	4	5	6
Question codes						J.1
Type of answers						Yes; no
Variable codes in MS Excel						J.1.1
Variable range in MS Excel						[1; 0]
Data computation	<p>Step 1: Count the number of “yes”</p> <p>Percentage: <math>100 * (\text{Number in Step 1} / \text{Total number of answers})</math></p>					
Indicator range	[0 to 100]					

**Notes:** Missing values are considered as “no”.

### Indicator Ga3. “Inclusion of females in the beneficiary group”

**Specific evaluation question:** To what extent have female beneficiaries been included in the Social Innovation project?

**Description:** The indicator measures the inclusion of female beneficiaries, represented by the percentage of women amongst all beneficiaries. This indicator is useful for verifying how balanced the target beneficiary group is in terms of gender.

**Judgement criterion:** The higher the indicator value, the greater the percentage of women in the beneficiary group.

Tools	1	2	3	4	5	6
Question codes						A.1
Type of answers						Male; Female; I prefer not to respond
Variable codes in MS Excel						A.1
Variable range in MS Excel						[1; 0]
Data computation						<p>Step 1: Count the number of Females</p> <p>Step 2: Percentage: <math>100 * (\text{Number in Step 1}) / \text{Total number of answers (without considering the “I prefer not to respond”)}</math></p>
Indicator Range						[0 to 100]

**Notes:** This indicator can be calculated only if the selection of beneficiaries has been made through a representative and probabilistic sampling design.

### Indicator Ga4. “Inclusion of young people in the beneficiary group”

**Specific evaluation question:** To what extent have your people been included in the Social Innovation project?

**Description:** The indicator measures the proportion of young people amongst all beneficiaries. This indicator is useful for verifying how balanced the target beneficiary group is in terms of the inclusion of young people.

**Judgement criterion:** The higher the indicator value, the greater the percentage of young people in the beneficiary group.

Tools	1	2	3	4	5	6
Question codes						A.4
Type of answers						7 options (“young” is the first 3 possible options in A.4)

<b>Variable codes in MS Excel</b>						A.4
<b>Variable range in MS Excel</b>						[1, 2, 3, 4, 5, 6, 7]
<b>Data computation</b>						<b>Step 1: Count the number of young people (under 40 years old)</b> <b>Step 2: Percentage: 100*(Number in Step 1/Total number of answers)</b>
<b>Indicator Range</b>						[0 to 100]

**Notes:** This indicator can be calculated only if the selection of beneficiaries has been made using a representative and probabilistic sampling design.

## Composite indicator X10.1 “Feedback loops and multiplier effects” (Ha1, Ha2, Ha3, Ha4)

### Indicator Ha1. “Likelihood of feedback loops due to dissemination activities”

**Specific evaluation question:** To what extent has the Social Innovation initiative been disseminated in order to increase the likelihood to generate feedback loops?

**Description:** The indicator measures the use of dissemination channels: (i) events; (ii) printed material; (iii) press; (iv) websites; (v) social media; (vi) newsletter; (vii) broadcasting; (viii) meetings with donors; (ix) meetings with politicians; (x) meetings with enterprises; and (xi) communications to other networks.

**Judgement criterion:** The higher the number of dissemination channels used by the actors of the Social Innovation, the greater the likelihood of the Social Innovation initiative to generate feedback loops.

Tools	1	2	3	4	5	6
<b>Question codes</b>	H.17		H.17			
<b>Type of answers</b>	[Yes; No]		[Yes; No]			
<b>Variable codes in MS Excel</b>	H.17.1 to H.17.11		H.17.1 to H.17.11			
<b>Variable range in MS Excel</b>	[1; 0]		[1; 0]			
<b>Data computation</b>	<b>Step 1: Count the number of “yes” per Tool 1</b> <b>Step 2: Count the number of “yes” per each individual respondent of Tool 3</b> <b>Step 3: Mean of numbers in Step 2</b> <b>Step 4: Mean of (the Number in Step 1 and the Mean in Step 3)</b>					

	<b>Step 5: Percentage: 100*(Mean in Step 4/11)</b>			
<b>Indicator Range</b>	<b>[0 to 100]</b>			

**Notes:** None.

### Indicator Ha2. “Likelihood of upscaling of the Social Innovation initiative”

**Specific evaluation question:** To what extent has the Social Innovation initiative been upscaled to higher levels?

**Description:** The indicator measures whether the Social Innovation initiative has had: (i) effects beyond the locality [J.4]; has contributed to the development of national or international laws or standards [J.5]; or if it was aggregated in national and international groups representing similar Social Innovation initiatives [J.7].

**Judgement criterion:** The higher the influence of the Social Innovation initiative at different levels, the greater the likelihood it will diffuse at higher levels.

<b>Tools</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>
<b>Question codes</b>	J.4, J.5, J.7		J.4, J.5, J.7			
<b>Type of answers</b>	[Yes; No; Do not know]		[Yes; No; Do not know]			
<b>Variable codes in MS Excel</b>	J.4, J.5, J.7		J.4, J.5, J.7			
<b>Variable range in MS Excel</b>	[1; 0]		[1; 0]			
<b>Data computation</b>	<p><b>Step 1: Count the number of “yes” (J.4, J.5, J.6) per Tool 1</b></p> <p><b>Step 2: Count the number of “yes” (J.4, J.5, J.6) per each individual respondent of Tool 3</b></p> <p><b>Step 3: Mean of numbers in Step 2</b></p> <p><b>Step 4: Mean of (the Number in Step 1 and the Mean in Step 3)</b></p> <p><b>Step 5: Percentage: 100*(Mean in Step 4/3)</b></p>					
<b>Indicator Range</b>	<b>[0 to 100]</b>					

**Note:** \*“do not know” are considered as answers when the value is 0.

### Indicator Ha3. “Likelihood of out-scaling of the Social Innovation initiative”

**Specific evaluation question:** To what extent have people in different contexts come to learn about the Social Innovation initiative and then did something similar themselves?

**Description:** The indicator measures the potential of the Social Innovation initiative to attract people from different contexts who want to learn about the initiative and then do something similar.

**Judgement criterion:** The bigger the number of similar initiatives that have come to learn from the Social Innovation initiative, the greater the likelihood it will diffuse its results to other surroundings.

Tools	1	2	3	4	5	6
Question codes	J.6		J.6			
Type of answers	[Yes; No; Do not know] [numerical] [1, 2] [text]		[Yes; No; Do not know] [numerical] [1, 2] [text]			
Variable codes in MS Excel	J.6, J.6.1, J.6.2, J.6.3		J.6, J.6.1, J.6.2, J.6.3			
Variable range in MS Excel	[1; 0] [numerical] [1, 2] [text]		[1; 0] [numeric] [1, 2] [text]			
Data computation	<p><b>Step 1: Individual score based on the following criteria:</b></p> <ul style="list-style-type: none"> <li>- 1 point if J.6 is “yes”</li> <li>- 1 point if J.6.1 is &gt;1</li> <li>- 1 point if J.6.2 is “outside”</li> <li>- 1 point if in J.6.3 the respondent is able to provide an example</li> </ul> <p><b>Step 2: Compute the score in Tool 1</b></p> <p><b>Step 3: Compute the score per each individual respondent of Tool 3</b></p> <p><b>Step 4: Mean of scores in Step 3</b></p> <p><b>Step 5: Mean of (Score in Step 2 and Mean in Step 4)</b></p> <p><b>Step 6: Percentage: 100*(Mean in Step 5/4)</b></p>					
Indicator range	[0 to 100]					

**Notes:** J.6.3 is based on qualitative answers: check their quality before proceeding with the data entry into the pre-set calculations in the MS Excel file because the formula gives a score of 1 if the cell is not empty. Write “NA” if the qualitative answer does not justify a valid example that can assign 1 point.

#### Indicator Ha4. “Capability of actors in the Social Innovation initiative to identify elements enabling its replication”

**Specific evaluation question:** To what extent were the actors in the Social Innovation initiative capable of identifying elements that would enable its replication?

**Description:** The indicator measures the capability of the actors in the Social Innovation initiative of identifying the elements that enable its replication.

**Judgement criterion:** The bigger the number of elements that the actors of the Social Innovation initiative have identified, the greater the likelihood that it can be replicated.

Tools	1	2	3	4	5	6
Question codes			J.8	J.8	J.8	
Type of answers			Maximum three elements	Maximum three elements	Maximum three elements	
Variable codes in MS Excel			J.8.1 to J.8.3	J.8.1 to J.8. 3	J.8.1 to J.8.3	
Variable range in MS Excel			[text]	[text]	[text]	
Data computation			<p><b>Step 1: Give a point for each element identified</b></p> <p><b>Step 2: Sum of points per individual respondent for each of Tools 3, 4 and 5</b></p> <p><b>Step 3: Compute the mean all respondents in Tool 3 and Tool 4</b></p> <p><b>Step 4: Compute the mean of Tool 5</b></p> <p><b>Step 5: Mean of means in Steps 3 and 4</b></p> <p><b>Step 6: Percentage: 100*(Mean from Step 5/3)</b></p>			
Indicator range			[0 to 100]			

**Notes:** : J.8 is based on qualitative answers: check their quality before proceeding with the data entry into the pre-set calculations in the MS Excel file because the formula gives a score of 1 if a cell is not empty. Write "NA" if the qualitative answer does not justify a valid element that can assign 1 point. The indicator can be qualitatively described through the answers provided by respondents.

## Composite indicator X10.2 "Critical Innovation Effects" (Hb1, Hb2, Hb3)

### Indicator Hb1. "Deadweight effects of the Social Innovation initiative in the territory"

**Specific evaluation question:** To what extent would similar effects be produced by other initiatives (dead-weight effect) in the territory?

**Description:** The indicator measures the usefulness of the Social Innovation initiative by exploring whether similar effects would have been obtained in the territory without it. Respondents have four options of answer: (i) "No, we are the only ones who were able to satisfy the specific needs of the territory", meaning that the Social Innovation initiative was highly useful and similar positive effects would not have been obtained without it; (ii) "Yes, but it would have taken more time", meaning that the Social Innovation initiative is useful in providing benefits to the territory while other initiatives are being developed; (iii) "Yes, but other similar initiatives satisfied only partially the needs of the territory", meaning that the Social Innovation initiative is useful for complementing other activities; (iv) "I don't know".

**Judgement criterion:** The greater the uniqueness of the Social Innovation initiative in satisfying the needs of the territory, the lower the likelihood of deadweight effects.

Tools	1	2	3	4	5	6
Question codes	J.9		J.9			J.9
Type of answers	Four options: No, Yes but(1), Yes but(2), I don't know		Four options: No, Yes but(1), Yes but(2), I don't know			Four options: No, Yes but(1), Yes but(2), I don't know
Variable codes in MS Excel	J.9		J.9			J.9
Variable range in MS Excel	[1, 2, 3, 4]		[1, 2, 3, 4]			[1, 2, 3, 4]
Data computation	<p><b>Step 1: Percentage in Tool 6: <math>100 \times (\text{number of option 1 "no"} / \text{total respondents})</math></b></p> <p><b>Step 2: Percentage in Tool 1 and 3: <math>100 \times (\text{number of option 1 "no"} / \text{total respondents})</math></b></p> <p><b>Step 3: Mean of percentages in Step 1 and 2</b></p>					
Indicator Range	<b>[0 to 100]</b>					

**Notes:** The Evaluator can use the open question J.9.1 to obtain more qualitative information. The type of answers "Yes but(1)" and "Yes but(2)" are shortened versions of the possible answers 2 and 3.

### Indicator Hb2. "Substitution effects of the Social Innovation initiative on other actors"

**Specific evaluation question:** To what extent has the Social Innovation initiative had negative effects on other actors (substitution effect)?

**Description:** Substitution effects refer to trade-offs. That is, the indicator measures whether or not the Social Innovation initiative had any "substitute" negative effects, i.e. whether its positive effects were at the expense of other people, organisations, enterprises and public bodies, inside or outside the territory.

**Judgement criterion:** The lower the extent of negative effects of the Social Innovation initiative on external actors, the lower the likelihood of substitution effects.

Tools	1	2	3	4	5	6
Question codes	J.10		J.10			J.10
Type of answers	Three options: Yes, No, I don't know		Three options: Yes, No, I don't know			Three options: Yes, No, I don't know
Variable codes in MS Excel	J.10		J.10			J.10

<b>Variable range in MS Excel</b>	[1; 0; Do not know]	[1; 0; Do not know]	[1; 0; Do not know]
<b>Data computation</b>	<b>Step 1: Percentage of “Yes” of total answers (“Yes” + “No”) for Tool 6</b> <b>Step 2: Percentage of “Yes” of total answers (“Yes” + “No”) for Tool 1 and 3</b> <b>Step 3: Mean of percentages from Steps 1 and 2</b> <b>Step 4: 100 – Mean in Step 3</b>		
<b>Indicator Range</b>	<b>[0 to 100]</b>		

**Notes:** The indicator score is reversed (100-...). Option “I do not know” is considered as a “no answer”. Additionally, the evaluator can ask if the Social Innovation has determined trade-offs on the four domains (i.e. social, economic, environmental and institutional).

### Indicator Hb3. “Displacement effects of the Social Innovation initiative outside the territory”

**Specific evaluation question:** To what extent has the Social Innovation initiative had negative effects outside the territory (displacement effect)?

**Description:** The indicator measures whether the Social Innovation initiative has any negative effects outside the territory where it has been implemented. It is based upon the perceptions of Innovator(s), Follower(s), Transformer(s) and beneficiaries.

**Judgement criterion:** The lower the extent of negative effects of the Social Innovation initiative outside the territory, the greater its overall positive effects.

<b>Tools</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>
<b>Question codes</b>	J.10* J.10.1		J.10* J.10.1			J.10* J.10.1
<b>Type of answers</b>	Yes, No, I don’t know Inside-Outside		Yes, No, I don’t know Inside-Outside			Yes, No, I don’t know Inside-Outside
<b>Variable codes in MS Excel</b>	J.10 J.10.1		J.10 J.10.1			J.10 J.10.1
<b>Variable range in MS Excel</b>	[1; 0; Do not know] [1; 2]		[1; 0; Do not know] [1; 2]			[1; 0; Do not know] [1; 2]
<b>Data computation</b>	<b>Step 1: Percentage of “outside” (J.10.1) of total answers in J.10 for Tool 6</b> <b>Step 2: Percentage of “outside” (J.10.1) of total answers in J.10 for Tool 1 and 3</b> <b>Step 3: Mean of the percentage computed in Steps 1 and 2</b> <b>Step 4: 100 – Mean from Step 3</b>					
<b>Indicator Range</b>	<b>[0 to 100]</b>					

**Notes:** \*J.10 is a filter question and is used as denominator. The indicator score is reversed (100-...).

## Outcomes and Impacts

This section, corresponding to the dimension “Outcomes and impacts”, does not include any indicator. This is because all the questions dealing with this dimension and its sub-dimensions have already been used and integrated in the REEIS indicators.

# SIMRA Conventional Evaluation: from indicators to the SIMRA3 general index

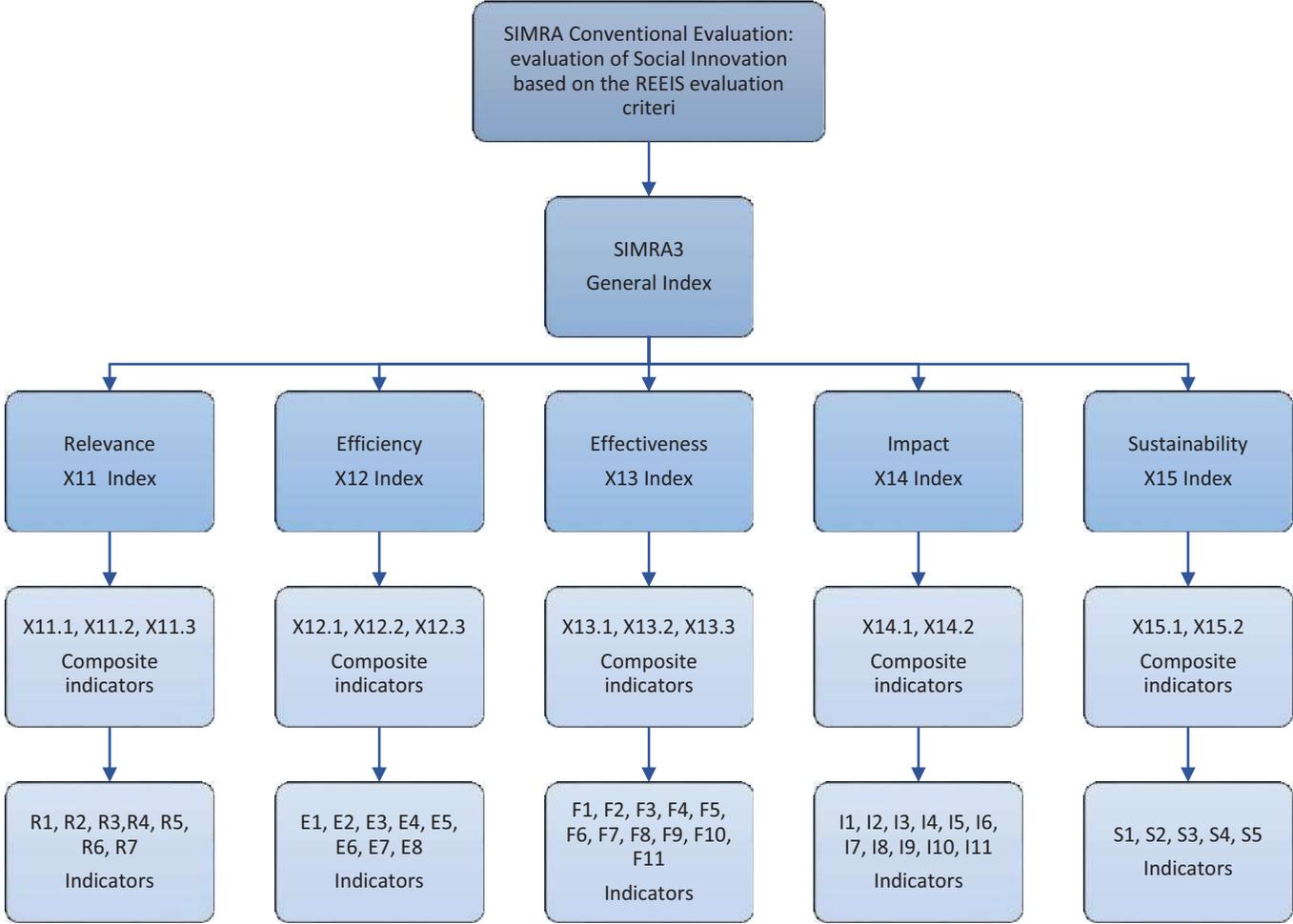


Figure 7. The sequence of the SIMRA Conventional Evaluation

Table 3. Key elements of the SIMRA Conventional Evaluation

	<i>General evaluation questions</i>	<i>Composite indicator</i>	<i>Specific evaluation questions</i>	<i>Indicator</i>		<i>Judgement criterion</i>
<b>Relevance X11</b>	To what extent has the Social Innovation process been relevant?	<b>X11.1</b> Relevance of the Social Innovation Process	To what extent have the individual and collective needs of the actors been shared within the whole Social Innovation network?	<b>R1</b>	Needs individually and collectively shared by actors of the Social Innovation process	The higher the number of needs individually and collectively shared by Innovator(s), Follower(s) and Transformer(s) of the total number of needs identified, the greater the relevance of the Social Innovation process.
			To what extent has the vision of collective needs been shared by actors of the Social Innovation process?	<b>R2</b>	Vision of needs collectively shared by actors of the Social Innovation process	The higher the number of actors in the network who identify at least one need which has also been identified by Innovator(s) and Follower(s), the greater the relevance of the Social Innovation process.
	To what extent has the Social Innovation project been relevant?	<b>X11.2</b> Relevance of the Social Innovation Project	To what extent have the outputs of the Social Innovation project met the needs of the beneficiaries, on a quantitative scale?	<b>R3</b>	Level of satisfaction of beneficiaries that the outputs of the Social Innovation project meet their needs, on a quantitative scale	The higher the level of satisfaction of beneficiaries with the outputs meeting their needs, the greater the relevance of the Social Innovation project.
			To what extent have the outputs of the Social Innovation project met the needs of the beneficiaries, on a qualitative scale?	<b>R4</b>	Level of satisfaction of beneficiaries that the outputs of the Social Innovation project meet their needs, on a qualitative scale	The higher the level of satisfaction of beneficiaries with the outputs meeting their needs, the greater the relevance of the Social Innovation project.
	To what extent has the Social Innovation initiative been relevant?	<b>X11.3</b> Relevance of the Social Innovation Initiative	To what extent have the products and/or services provided by the Social Innovation initiative satisfied the territorial needs of actors?	<b>R5</b>	Level of satisfaction of the actors with territorial needs with the Social Innovation initiative	The higher the level satisfaction of the actors with respect to the territorial needs, the greater the relevance of the Social Innovation initiative.
			To what extent were the needs of the actors of the Social Innovation initiative consistent with those identified by the beneficiaries?	<b>R6</b>	Needs shared by the actors and beneficiaries of the Social Innovation initiative, on a qualitative scale	The higher the congruence of the needs identified by the actors of the Social Innovation initiative with those of the beneficiaries, the greater the relevance of the Social Innovation initiative.
			According to the stakeholders, to what extent has the Social Innovation initiative dealt with the marginalisation problems of the territory?	<b>R7</b>	Marginalisation problems dealt with by the Social Innovation initiative	The higher the proportion of marginalisation problems of the territory, dealt with by the Social Innovation, of the total number of problems identified by the Focus Group, the greater the perceived relevance of the Social Innovation initiative.

Efficiency (X12)	To what extent has the Social Innovation process been efficient?	<b>X12.1</b> Efficiency of the Social Innovation Process	To what extent have the expectations of the actors been met with respect to the efficient use of time in the Social Innovation process?	<b>E1</b>	Expectations of the actors of the use of time in the Social Innovation process	The more the expectations of the actors are met, regarding the time taken for the Social Innovation process, the greater the perceived efficiency of the Social Innovation process.
			To what extent have the resources invested by the actors of the Social Innovation process been efficiently used?	<b>E2</b>	Perceived efficiency of the use of resources invested in the Social Innovation process	The higher the level of intangible outputs of the Social Innovation process and the lower the resources invested (inputs of the process), the greater the perceived efficiency of the Social Innovation process.
			To what extent have collaborations amongst actors of the Social Innovation network been efficient?	<b>E3</b>	Efficiency of the collaborations in the network of the Social Innovation process	The lower the mean distance between actors in the collaborative network, the greater the efficiency of the Social Innovation process.
	To what extent has the Social Innovation project been efficient?	<b>X12.2</b> Efficiency of the Social Innovation Project	To what extent has the Social Innovation project been economically efficient, in terms of cost per direct beneficiary, in the last three years?	<b>E4</b>	Change in the unit cost per direct beneficiary of the Social Innovation project	The higher the value of the indicator, the greater the reduction in the unit cost per direct beneficiary in the last three years and thus the higher the economic efficiency of the Social Innovation project.
			To what extent has the schedule of the Social Innovation project been met, according to the self-evaluation of the Project Manager?	<b>E5</b>	Project Manager self-evaluation of the schedule of the Social Innovation project	The more the schedule Social Innovation project have been met, according to the Project Manager, the greater the efficiency of the Social Innovation project.
			To what extent have the budgetary goals been met by the Social Innovation project, according to the Project Manager?	<b>E6</b>	Project Manager self-evaluation of the Social Innovation project meeting its budgetary goals	The more the budgetary goals have been met, the greater the efficiency of the Social Innovation project, according to the Project Manager.
			To what extent have the planned activities been implemented and completed, according to the Project Manager?	<b>E7</b>	Project Manager self-evaluation of the Social Innovation project activities planned and completed	The higher the percentage of the planned activities which have been implemented and completed, the greater the efficiency of the Social Innovation project.
	To what extent has the Social Innovation initiative been efficient?	<b>X12.3</b> Efficiency of the Social Innovation Initiative	To what extent have the resources invested by the actors of the Social Innovation initiative (i.e. Innovator(s), Follower(s), Transformer(s), project partners and beneficiaries) been efficiently used?	<b>E8</b>	Perceived efficiency of the use of resources invested in the Social Innovation initiative	The higher the level of satisfaction of Innovator(s), Follower(s), Transformer(s), project partners and beneficiaries with the results of the Social Innovation initiative and the lower the resources invested by the actors, the greater the efficiency of the Social Innovation initiative.

Effectiveness X13	To what extent has the Social Innovation process been effective?	<b>X13.1</b> Effectiveness of the Social Innovation Process	To what extent have the expected changes in terms of new networks, new governance arrangements and new attitudes of the Social Innovation process been realised as observed changes?	<b>F1</b>	Comparison between expected and observed changes in the Social Innovation process, on a qualitative scale	The higher the expected changes have been realised as observed change, the greater the effectiveness of the Social Innovation process.
			To what extent has the Social Innovation process created changes in networks, governance arrangements, and attitudes as perceived by the actors?	<b>F2</b>	Extent of the changes created by the Social Innovation process as perceived by the actors	The higher the level of changes in networks, governance arrangements and attitudes as perceived by the actors, the greater the effectiveness of the Social Innovation process.
			To what extent have the collaborative relationships between the actors increased due to the Social Innovation process?	<b>F3</b>	Change in the collaborative relationships between the actors of the Social Innovation process	The greater the percentage of increased density of collaborative relationships between actors, the more effective the Social Innovation process.
			To what extent have the internal and external governance arrangements of the Social Innovation initiative changed as perceived by the actors due to the Social Innovation process?	<b>F4</b>	Change in internal and external governance arrangements of the Social Innovation initiative as perceived by the actors of the Social Innovation process	The more internal and external governance arrangements of the Social Innovation initiative have changed as perceived by the actors of the Social Innovation process, the greater the likelihood of the effectiveness of the Social Innovation process.
	To what extent has the Social Innovation project been effective?	<b>X13.2</b> Effectiveness of the Social Innovation Project	To what extent have beneficiaries been satisfied with the results of the Social Innovation project?	<b>F5</b>	Level of satisfaction of beneficiaries with the results of the Social Innovation project	The higher the level of satisfaction of beneficiaries with the results of the project, the greater the effectiveness of the Social Innovation project.
			To what extent have new outputs (products and services) proposed by the Project Manager been delivered to the beneficiaries?	<b>F6</b>	Comparison between proposed and delivered outputs of the Social Innovation project, on a qualitative scale	The higher the amount of outputs (products and services) delivered to the beneficiaries with respect to those proposed by the Project Manager, the greater the likelihood of the Social Innovation project reaching the specific objective(s), and thus its effectiveness.
			To what extent have new direct beneficiaries been reached by the Social Innovation project in the last year?	<b>F7</b>	New direct beneficiaries reached by the Social Innovation Project	The higher the percentage of new direct beneficiaries reached by the Social Innovation project, the greater its likelihood to achieve the specific objective(s), and thus its effectiveness.
			To what extent have the specific objectives been achieved by the Social Innovation project?	<b>F8</b>	Project Manager self-evaluation of the Social Innovation project achieving the specific	The more the specific objectives have been achieved by the Social Innovation project, the greater its effectiveness according to the Project Manager.

					objectives	
Impact X14	To what extent has the Social Innovation initiative been effective	<b>X13.3</b> Effectiveness of the Social Innovation Initiative	To what extent did the actors of the Social Innovation process make a difference in territory with the Social Innovation initiative, according to their perceptions?	<b>F9</b>	Perception of actors of the Social Innovation process of being able to make a difference in the territory with the Social Innovation initiative	The higher the perception of actors of the difference they can make in the territory with the Social Innovation initiative, the greater its effectiveness.
			To what extent have all of the actors in the Social Innovation initiative been satisfied with its results?	<b>F10</b>	Level of satisfaction of all the actors of the Social Innovation initiative with its results	The higher the level of satisfaction of all the actors of the Social Innovation initiative with its results, the greater its effectiveness.
			To what extent have the collaborative relationships between the actors increased due to the Social Innovation initiative?	<b>F11</b>	Change in the collaborative relationships between the actors of the Social Innovation initiative	The higher the change in density of the collaborative relationships between actors of the Social Innovation initiative, the greater its effectiveness.
	To what extent has the SI project determined impact?	<b>X14.1</b> Impact of the Social Innovation project	To what extent has the social inclusion in the local community improved as perceived by the direct beneficiaries of the Social Innovation project?	<b>I1</b>	Improvement in social inclusion as perceived by the direct beneficiaries of the Social Innovation project due to the initiative	The more the direct beneficiaries feel socially included in the local community, the greater the impact of the Social Innovation project and initiative.
			What is the proportion of indirect beneficiaries of the total number of beneficiaries (direct and indirect), as estimated by the direct beneficiaries of the Social Innovation project?	<b>I2</b>	Proportion of indirect beneficiaries of the total number of beneficiaries (direct and indirect), as estimated by the direct beneficiaries of the Social Innovation project	The higher the proportion of indirect beneficiaries of the total number of beneficiaries, as estimated by the direct beneficiaries of the Social Innovation project, the greater the impact of the project.
	To what extent has the SI initiative determined an impact?	<b>X14.2</b> Impact of the Social Innovation initiative	To what extent have the marginalisation problems improved by the Social Innovation initiative, as perceived by stakeholders?	<b>I3</b>	Proportion of marginalisation problems improved by the Social Innovation initiative, as perceived by stakeholders	The higher the proportion marginalisation problems improved by the Social Innovation initiative in recent years, the greater the perceived impact of the Social Innovation initiative in the territory.

			To what extent have the impacts of the Social Innovation initiative in the four domains been positive according to the stakeholders?	<b>14</b>	Proportion of the number of impacts of the Social Innovation initiative in the four domains which were positive, according to the stakeholders	The higher the proportion of elements positively impacted by the Social Innovation initiative of the total number of elements impacted, the greater the impact of the Social Innovation initiative, according to the stakeholders.
			To what extent have the stakeholders perceived a net impact resulting from the balance between positive and negative impacts of the Social Innovation initiative in the four domains?	<b>15</b>	Balance of positive to negative significant impacts of the Social Innovation initiative in the four domains, according to perception of stakeholders	The more the positive impacts exceed the negative ones, the greater the perceived positive impact of the Social Innovation initiative, according to the stakeholders.
			To what extent have the actors perceived the Social Innovation initiative to have had effects inside and outside the territory in the four domains?	<b>16</b>	Level of effects of the Social Innovation initiative in the four domains according to the actors	The higher the level of effects of the Social Innovation initiative inside and outside the territory in the four domains, the greater the perceived positive impact of the Social Innovation initiative according to the actors.
			To what extent have the actors perceived the Social Innovation initiative to have had effects inside the territory in the four domains?	<b>17</b>	Level of effects of the Social Innovation initiative inside the territory in the four domains according to the actors	The higher the level of effects of the Social Innovation initiative inside the territory in the four domains, the greater the perceived positive impact of the Social Innovation initiative according to the actors.
			To what extent have the actors perceived the Social Innovation initiative to have had effects outside the territory in the four domains?	<b>18</b>	Level of effects of the Social Innovation initiative outside the territory in the four domains according to the actors	The higher the level of effects of the Social Innovation initiative outside the territory in the four domains, the greater the perceived positive impact of the Social Innovation initiative according to the actors.
			To what extent have the effects of the Social Innovation initiative in the four domains been positive according to the beneficiaries?	<b>19</b>	Proportion of positive effects of the Social Innovation initiative in the four domains according to the perception of beneficiaries, on a qualitative scale	The higher the proportion of effects of the Social Innovation initiative of the total number of effects identify by the beneficiaries, the greater the positive impact of the Social Innovation initiative.

			To what extent have governance aspects improved due to the Social Innovation initiative, according to the actors?	<b>I10</b>	Perceptions of actors of the level of improvement in governance aspects due to the Social Innovation initiative	The higher the level of the perceived improvement in governance aspects, the greater the perceived impact of the Social Innovation initiative in governance.
			To what extent have European societal challenges improved due to the Social Innovation initiative, according to actors?	<b>I11</b>	Perceptions of actors of the level of improvement in European societal challenges due to the Social Innovation initiative	The higher the value of the perceived improvement in European societal challenges, the greater perceived impact of the Social Innovation initiative in European societal challenges.
<b>Sustainability X15</b>	To what extent has the Social Innovation project been sustainable?	<b>X15.1</b> Sustainability of the Social Innovation project	To what extent has the Social Innovation project been financed with internal resources?	<b>S1</b>	Internal financing of the Social Innovation project	The higher the percentage of internal to the total resources of the Social Innovation project, the greater the project's financial sustainability.
			To what extent was the Social Innovation project's financially sustainable over time according to Innovator(s), Follower(s) and the Project Manager?	<b>S2</b>	Social Innovation project's financial sustainability over time	The higher the value of the indicator, the greater the financial viability of the Social Innovation project and consequently its financial sustainability.
	To what extent has the Social Innovation initiative been sustainable?	<b>X15.2</b> Sustainability of the Social Innovation initiative	To what extent have the collaborative relationships amongst actors of the Social Innovation process been sustainable?	<b>S3</b>	Sustainability of collaborations amongst the actors of the Social Innovation process	The more the actors of the Social Innovation process are connected to other collaborative networks at the same time, the greater the likelihood of sustainability of the Social Innovation initiative.
			To what extent is the Social Innovation initiative likely to continue into the future?	<b>S4</b>	Likelihood of the Social Innovation initiative to continue into the future	The higher the indicator value, the greater the likelihood of the Social Innovation initiative to continue into the future.
			To what extent do the Innovator(s), Follower(s) and project partners recognise the existence of the social, economic, environmental and institutional factors that contribute the Social Innovation initiative being sustainable?	<b>S5</b>	Likelihood of the Social Innovation initiative of being sustainable over the long term	The higher the percentage of factors identified by the Social Innovation actors, the greater the likelihood of the Social Innovation initiative being sustainable over the long term.

## Composite indicator X11.1 “Relevance of the Social Innovation process” (R1, R2)

### Indicator R1. “Needs individually and collectively shared by actors of the Social Innovation process”

**Specific evaluation question:** To what extent have the individual and collective needs of the actors been shared within the whole Social Innovation network?

**Description:** The indicator measures the congruence of needs identified by Innovator(s) and Follower(s) during the idea formulation with those identified by Transformer(s) during the Social Innovation process. The indicator considers individual and collective needs of Innovator(s) and Follower(s) together with needs that the Transformer(s) think the Social Innovation process was attempting to address.

**Judgement criterion:** The higher the number of needs individually and collectively shared by Innovator(s), Follower(s) and Transformer(s) of the total number of needs identified, the greater the relevance of the Social Innovation process.

Tools	1	2	3	4	5	6
Question codes			B.2, B.3	F.3		
Type of answers			Open (maximum 3) list of elements	Open (maximum 3) list of elements		
Variable codes in MS Excel			B.2.1 to B.2.3, B.3.1 to B.3.3	F.3.1 to F.3.3		
Variable range in MS Excel			Text	Text		
Data computation			<p><b>Step 1: Categorization of qualitative answers provided by Innovator(s) and Follower(s) (Tool 3), and actors of the network (Tool 4)</b></p> <p><b>Step 2: Count of the number of needs expressed in Tool 4 that are similar to those listed in Tool 3</b></p> <p><b>Step 3: Percentage: <math>100 * (\text{Number of shared needs in Step 2} / \text{Total number of needs identified by the network})</math></b></p>			
Indicator Range			[0 to 100]			

**Notes:** “Categorization of qualitative answers” means that qualitative answers with the same meaning but different wording are reformulated in the same way. The answers coded with “N/A” are not considered.

## Indicator R2. “Vision of needs collectively shared by actors of the Social Innovation process”

**Specific evaluation question:** To what extent has the vision of collective needs been shared by actors of the Social Innovation process?

**Description:** Innovator(s), Follower(s) and Transformer(s) share the same vision of collective needs to be satisfied by the Social Innovation process.

**Judgement criterion:** The higher the number of actors in the network who identify at least one need which has also been identified by Innovator(s) and Follower(s), the greater the relevance of the Social Innovation process.

Tools	1	2	3	4	5	6
Question codes			B.3	F.3		
Type of answers			Open (maximum 3) list of elements	Open (maximum 3) list of elements		
Variable codes in MS Excel			B.3.1 to B.3.3	F.3.1 to F.3.3		
Variable range in MS Excel			Text	Text		
Data computation			<p><b>Step 1: Categorization of qualitative answers provided by Innovators and Followers (Tool 3) and Transformers (Tool 4)</b></p> <p><b>Step 2: Count of the number of actors in Tool 4 that share at least one need with those listed in Tool 3</b></p> <p><b>Step 3: Percentage: <math>100 * (\text{Number of actors sharing same vision in Step 2} / \text{Total actors of the network})</math></b></p>			
Indicator range			[0 to 100]			

**Notes:** “Categorization of qualitative answers” means that qualitative answers with the same meaning but different wording are reformulated in the same way. The answers coded with N/A are included in the calculation as follows: if one actor in the network does not identify any collective need (3 N/As), it is considered as “0”.

## Composite indicator X11.2 “Relevance of the Social Innovation project” (R3, R4)

### Indicator R3. “Level of satisfaction of beneficiaries that the outputs of the Social Innovation project meet their needs, on a quantitative scale”

**Specific evaluation question:** To what extent have the outputs of the Social Innovation project met the needs of the beneficiaries, on a quantitative scale?

**Description:** The indicator measures the extent to which the outputs (i.e. products and/or services) of the Social Innovation project meet the needs of the beneficiaries, on a Likert Scale from 1 (not at all) to 10 (to a great extent). The indicator is based upon the perceptions of the beneficiaries.

**Judgement criterion:** The higher the level of satisfaction of beneficiaries with the outputs meeting their needs, the greater the relevance of the Social Innovation project.

Tools	1	2	3	4	5	6
Question codes						H.13
Type of answers						Perception scale
<i>Variable codes in MS Excel</i>						<i>H.13</i>
<i>Variable range in MS Excel</i>						<i>[1 to 10]</i>
Data computation						Mean of individual perceptions from Tool 6
Indicator Range						[1 to 10]

Notes: None.

### Indicator R4. “Level of satisfaction of beneficiaries that the outputs of the Social Innovation project meet their needs, on a qualitative scale”

**Specific evaluation question:** To what extent have the outputs of the Social Innovation project met the needs of the beneficiaries, on a qualitative scale?

**Description:** The indicator measures the extent to which the outputs (i.e. products and/or services) of the Social Innovation project meet the needs of the beneficiaries that they identify. The indicator is based upon the perceptions of the beneficiaries.

**Judgement criterion:** The higher the level of satisfaction of beneficiaries with the outputs meeting their needs, the greater the relevance of the Social Innovation project.

Tools	1	2	3	4	5	6
Question codes						H.14
Type of answers						Open (maximum 3) list of elements

<b>Variable codes in MS Excel</b>						H.14.1-3
<b>Variable range in MS Excel</b>						Text
<b>Data computation</b>						<b>Step 1: Give a point of 1 to each need identified by the respondent</b> <b>Step 2: Give a score from 0 to 3 to each respondent</b> <b>Step 2: Mean of scores in Step 2</b>
<b>Indicator Range</b>						[0 to 3]

**Notes:** If the evaluator recognises that the respondent has difficulties in identifying the needs, they can propose appropriate simplifications (without giving examples in order to avoid guiding the response).

## Composite indicator X11.3 “Relevance of the Social Innovation initiative” (R5, R6, R7)

### Indicator R5. “Level of satisfaction of the actors with territorial needs with the Social Innovation initiative”

**Specific evaluation question:** To what extent have the products and/or services provided by the Social Innovation initiative satisfied the territorial needs of actors?

**Description:** The indicator measures the extent to which the products and/or services provided by the Social Innovation initiative satisfy the needs of the territory. The indicator is based upon the perception of all categories of actors involved in the Social Innovation initiative within a certain territory (excluding the beneficiaries), i.e. Innovator(s), Follower(s), Transformer(s) and project partners.

**Judgement criterion:** The higher the level satisfaction of the actors with respect to the territorial needs, the greater the relevance of the Social Innovation initiative.

Tools	1	2	3	4	5	6
<b>Question codes</b>			I.3	I.3	I.3	
<b>Type of answers</b>			Perception scale	Perception scale	Perception scale	
<b>Variable codes in MS Excel</b>			I.3	I.3	I.3	
<b>Variable range in MS Excel</b>			[1 to 10]	[1 to 10]	[1 to 10]	
<b>Data computation</b>			<b>Step 1: Compute the mean of all answers from Tools 3 and 4</b> <b>Step 2: Compute the mean of Tool 5</b> <b>Step 3: Mean of means in Step 1 and Step 2</b>			
<b>Indicator range</b>			[1 to 10]			

**Notes:** None.

### Indicator R6. “Needs shared by the actors and beneficiaries of the Social Innovation initiative, on a qualitative scale”

**Specific evaluation question:** To what extent were the needs of the actors of the Social Innovation initiative consistent with those identified by the beneficiaries?

**Description:** The indicator measures the congruence of the needs identified by the actors of the Social Innovation initiative (Innovator(s), Follower(s) and Transformer(s)) with those of the beneficiaries.

**Judgement criterion:** The higher the congruence of the needs identified by the actors of the Social Innovation initiative with those of the beneficiaries, the greater the relevance of the Social Innovation initiative.

Tools	1	2	3	4	5	6
Question codes			B.3	F.3		H.14
Type of answers			Open (maximum 3) list of elements	Open (maximum 3) list of elements		Open (maximum 3) list of elements
Variable codes in MS Excel			B.3.1 to B.3.3	F.3.1		H.14.1 to H.14.3
Variable range in MS Excel			Text	Text		Text
Data computation			<p><b>Step 1: Categorization of qualitative answers of Tool 3, 4 and 6</b></p> <p><b>Step 2: Count of the number of needs expressed in Tool 6 that are similar to those listed in Tool 3 and 4</b></p> <p><b>Step 3: Percentage: <math>100 * (\text{Number of needs of the beneficiaries which have been identified by at least one member of the network} / \text{Total number of needs identified by the beneficiaries})</math></b></p>			
Indicator Range			<b>[0 to 100]</b>			

**Notes:** “Categorization of qualitative answers” means that qualitative answers with the same meaning but different wording are reformulated in the same way. The answers coded with “N/A” are not considered.

### Indicator R7. “Marginalisation problems dealt with by the Social Innovation initiative”

**Specific evaluation question:** According to the stakeholders, to what extent has the Social Innovation initiative dealt with the marginalisation problems of the territory?

**Description:** The indicator measures the extent to which the Social Innovation initiative has dealt with the marginalisation problems of the territory, based upon the perceptions of the stakeholders taking part in the Focus Group. The marginalisation problems/elements include: (i) physical geography constraints; (ii) infrastructural access limitations; (iii) socio-economic conditions. During the Future Search Conference, the participants are asked to list at maximum three distinct problems per item. Moreover, during the Focus Group the stakeholders have to assess if the Social Innovation initiative deals with the problems identified.

**Judgement criterion:** The higher the proportion of marginalisation problems of the territory, dealt with by the Social Innovation, of the total number of problems identified by the Focus Group, the greater the perceived relevance of the Social Innovation initiative.

Tools	1	2	3	4	5	6
Question codes		Session IV – B.16 to B.24				
Type of answers		List of problematic elements of the territory dealt with by the Social Innovation initiative in relation to (i) physical geography constraints; (ii) infrastructural access limitations; (iii) socio-economic conditions				
Variable codes in MS Excel		B.16.1, B.16.2, B.17.1, B.17.2, B.18.1, B.18.2, B.19.1, B.19.2, B.20.1, B.20.2, B.21.1, B.21.2, B.22.1, B.22.2, B.23.1, B.23.2, B.24.1, B.24.2				
Variable range in MS Excel		[1; 0]				
Data computation		Percentage: $100 \times (\text{Number of problems dealt with by the Social Innovation initiative} / \text{Number of all the problems identified by the Focus Group})$				
Indicator range		[0 to 100]				

**Notes:** The indicator can be used and interpreted together with indicator I3, where Focus Group participants are asked to assess the improvement of the problematic elements of marginalisation.

## Composite indicator X12.1 “Efficiency of the Social Innovation process” (E1, E2, E3)

### Indicator E1. “Expectations of the actors of the use of time in the Social Innovation process”

**Specific evaluation question:** To what extent have the expectations of the actors been met with respect to the efficient use of time in the Social Innovation process?

**Description:** The indicator measures the expectations of the members of the network on the efficiency in the use of time in the Social Innovation process. Actors are asked if, compared to their expectations, the Social Innovation process took: (i) longer than expected; (ii) as long as expected; (iii) less than expected; (iv) there were no prior expectations about the time required.

**Judgement criterion:** The more the expectations of the actors are met, regarding the time taken for the Social Innovation process, the greater the perceived efficiency of the Social Innovation process.

Tools	1	2	3	4	5	6
Question codes			D.4	D.4		

Type of answers		4 options	4 options		
Variable codes in MS Excel		D.4	D.4		
Variable range in MS Excel		[1, 2, 3, 4]	[1, 2, 3, 4]		
Data computation		<p><b>Step 1: Give a score to each individual respondent, of 3 points if the answer is “Less than expected”; of 2 points if “As long as expected”; of 1 point if “Longer than expected” for Tools 3 and 4</b></p> <p><b>Step 2: Compute the mean of scores of individual responses from Step 1</b></p>			
Indicator Range		[1 to 3]			

**Notes:** Option “no expectation” is not considered in the calculation of the mean.

### Indicator E2. “Perceived efficiency of the use of resources invested in the Social Innovation process”

**Specific evaluation question:** To what extent have the resources invested by the actors of the Social Innovation process been efficiently used?

**Description:** The indicator measures the ratio between intangible outputs of the Social Innovation process and the resources invested by the actors of the network. Resources are: (i) financial; (ii) material; (iii) time [D.2]. All of them are measured on a Likert Scale from 1 (none) to 10 (a lot). Intangible outputs refer to: (i) improvement in networks of relationships of individual actors [E.2]; (ii) perception of empowerment of individual actors [G.8]; (iii) improvement in personal attitudes towards somebody or something [F.4]. The perceptions of actors of the Social Innovation process (Innovator(s), Follower(s) and Transformer(s)) are measured on Likert Scale: from 1 (none) to 10 (a great deal) for E.2; from 1 (none) to 10 (to a great extent) for both G.8 and F.4.

**Judgement criterion:** The higher the level of intangible outputs of the Social Innovation process and the lower the resources invested (inputs of the process), the greater the perceived efficiency of the Social Innovation process.

Tools	1	2	3	4	5	6
Question codes			E.2; G.8; F.4; D.2	E.2; G.8; F.4; D.2		
Type of answers			Likert Scale	Likert Scale		
Variable codes in MS Excel			E.2; G.8; F.4; D.2.1 to D.2.3	E.2; G.8; F.4; D.2.1 to D.2.3		
Variable range in MS Excel			[1 to 10]	[1 to 10]		
Data computation			Ratio: [mean(E.2)+mean(G.8)+mean(F.4)]/			

			<b>[mean(D.2.1)+mean(D.2.2)+mean(D.2.3)]</b>		
			<b>per all individual respondent of Tool 3 and 4</b>		
<b>Indicator Range</b>			<b>[0.1 to 10]; → 1 is the threshold</b>		

**Notes:** The range of the indicator is 0.1 to 10. The closer the value is to 0.1, the lower the efficiency of the Social Innovation process. The closer the value is to 10, the higher the efficiency of the Social Innovation process. When the value is equal to 1, there are two possible interpretations: a) high intangible outputs are achieved with a high amount of resources invested; b) low intangible outputs are achieved with a low amount of invested resources. This is presented in the table below:

		<b>Intangible Outputs</b>	
		<b>High</b>	<b>Low</b>
<b>Resources</b>	<b>High</b>	10/10 (=1)	10/1 (=10)
	<b>Low</b>	1/10 (=0.1)	1/1 (=1)

### **Indicator E3. “Efficiency of the collaborations in the network of the Social Innovation process” (\*)**

**Specific evaluation question:** To what extent have collaborations amongst actors of the Social Innovation network been efficient?

**Description:** The indicator measures the geodesic distance of each actor (node) from all the other actors in the collaborative network. The higher the value of the indicator (i.e. the greater the distance of the node from all other nodes), the more an actor is disconnected from the rest of the network and, therefore, the lower the internal efficiency of the network. The connections amongst actors (nodes) are measured in terms of formal and informal collaborations established during the Social Innovation process. The Breadth Index, which is a cohesion index, has been used to normalise the values between 0 and 1.

**Judgement criterion:** The lower the mean distance between actors in the collaborative network, the greater the efficiency of the Social Innovation process.

<b>Tools</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	
<b>Question codes</b>			E.3	E.3			
<b>Type of answers</b>			Social Network Analysis	Social Network Analysis			
<b>Variable codes in MS Excel</b>			E.3.2	E.3.2			
<b>Variable range in MS Excel</b>			[1; 0]	[1; 0]			
<b>Data computation</b>			<b>Step 1: Breadth Index (B):</b> $B = 1 - \frac{\sum_{i,j} \frac{1}{d_{ij}}}{n(n-1)}$				

			where n=number of actors; $d_{ij}$ = geodesic distance from node i to node j		
			Step 2: Reverse index: 1- (Breadth index)		
Indicator range			[0 to 1]		

**Note:** For any two nodes in a spatial network, their network distance is the length of the shortest path between these two nodes along the network. The network distance has to be computed by using a software package for Social Network Analysis. If two actors are not connected,  $1/d_{ij}$  is defined to be zero. The Breadth Index is an inverse measure of cohesion. It is characterised by a lower bound of 0 when every pair is adjacent to every other (i.e. the entire network is a clique), and by an upper bound of 1 when all nodes of the network are isolated. For this reason, the indicator has been reversed.

## Composite indicator X12.2 “Efficiency of the Social Innovation project” (E4, E5, E6, E7)

### Indicator E4. “Change in the unit cost per direct beneficiary of the Social Innovation project”

**Specific evaluation question:** To what extent has the Social Innovation project been economically efficient, in terms of cost per direct beneficiary, in the last three years?

**Description:** The indicator measures the change in the unit cost per direct beneficiary of the Social Innovation project in the last three years. It should be noted that this is a measure of economic efficiency only.

**Judgement criterion:** The higher the value of the indicator, the greater the reduction in the unit cost per direct beneficiary in the last three years and thus the higher the economic efficiency of the Social Innovation project.

Tools	1	2	3	4	5	6
Question codes	H.37 – H.38 – H.39 – H.40 – H.41 – H.42 (Session I)					
Type of answers	Number					
Variable codes in MS Excel	H.37 – H.38 – H.39 – H.40 – H.41 – H.42					
Variable range in MS Excel	[0 to infinity]					
Data computation	Step 1: $CU_i$ (Cost per Unit per year i) = Sum of Total Costs/Number of Beneficiaries (per year i) Step 2: Ratio: $[(CU_3 - CU_1)/(CU_1 + CU_2 + CU_3)]$ Step 3: $- [Ratio \text{ in Step 2} * 100]$					
Indicator range	[-100 to 100]					

**Notes:**  $CU_1$  is the first year,  $CU_2$  is the second year,  $CU_3$  is the third and most recent year.

### Indicator E5. “Project Manager self-evaluation of the schedule of the Social Innovation project”

**Specific evaluation question:** To what extent has the schedule of the Social Innovation project been met, according to the self-evaluation of the Project Manager?

**Description:** The indicator measures if the Social Innovation project met its set schedule. The Project Manager has to specify if the Social Innovation project met its schedule based on the following four options: (i) ahead of schedule; (ii) on time; (iii) behind the schedule (over time); (iv) or no schedule was set.

**Judgement criterion:** The more the schedule Social Innovation project have been met, according to the Project Manager, the greater the efficiency of the Social Innovation project.

Tools	1	2	3	4	5	6
Question codes	H.8					
Type of answers	[1, 2, 3, 4]					
Variable codes in MS Excel	H.8					
Variable range in MS Excel	[1, 2, 3, 4]					
Data computation	<p><b>Step 1: Use the codes of options for the scores: give a score of 1 if the answer of the Project Manager is “Ahead of schedule”; 2 if “On time”; 3 if “Behind the schedule (over time)”; 4 if “No schedule was set”</b></p> <p><b>Step 2: (5 – the score from Step 1)</b></p>					
Indicator Range	[1 to 4]					

**Notes:** The final value of the indicator can be 1, 2, 3 or 4. A value of 1 means “Ahead of schedule”, value 2 means “On time”, value 3 means “Behind the schedule (over time)”, and value 4 means “No schedule was set”. The lower the value, the more the schedule has been met. For this reason, the indicator has been reversed. The questions H.8.1 [quantification of “ahead of schedule”] and H.8.2 [quantification of “behind the schedule (over time)”] may be used to further describe the indicator. If the Social Innovation project has Gantt charts, the evaluator can compare the ex ante and ex post diagrams to verify if the schedule has been met.

### Indicator E6. “Project Manager self-evaluation of the Social Innovation project meeting its budgetary goals”

**Specific evaluation question:** To what extent have the budgetary goals been met by the Social Innovation project, according to the Project Manager?

**Description:** The indicator measures to what extent the Social Innovation project has met its budgetary goals. The Project Manager has to specify if the Social Innovation project met its budgetary goals based on the following four options: (i) within the budget; (ii) on budget; (iii) over budget; (iv) no budget goals are set.

**Judgement criterion:** The more the budgetary goals have been met, the greater the efficiency of the Social Innovation project, according to the Project Manager.

Tools	1	2	3	4	5	6
Question codes	H.9					
Type of answers	[1, 2, 3, 4]					
Variable codes in MS Excel	H.9					
Variable range in MS Excel	[1, 2, 3, 4]					
Data computation	<p><b>Step 1: Use the codes of options for the scores: give a score of 1 if the answer of the Project Manager is “Within or under budget”; 2 if “On budget”; 3 if “Over budget”; 4 if “No budget goals set”</b></p> <p><b>Step 2: (5 - score from Step 1)</b></p>					
Indicator range	[1 to 4]					

**Notes:** The final value of the indicator can be 1, 2, 3 or 4. Value 1 means “Within or under budget”, value 2 means “On budget”, value 3 means “Over budget” and value 4 means “No budget goals set”. The lower the value, the more the budget goals have been met. For this reason, the indicator has been reversed. Questions H.9.1 [quantification of “within or under budget”] and H.9.2 [quantification of “over budget”] can be used to further describe the indicator. If the Social Innovation project has a budget and a final balance sheet of the project, the evaluator can compare the budget with the final balance sheet of the project to verify if budgetary goals have been met.

### Indicator E7. “Project Manager self-evaluation of the Social Innovation project activities planned and completed”

**Specific evaluation question:** To what extent have the planned activities been implemented and completed, according to the Project Manager?

**Description:** The indicator measures the number of planned activities that have been applied and completed.

**Judgement criterion:** The higher the percentage of the planned activities which have been implemented and completed, the greater the efficiency of the Social Innovation project.

Tools	1	2	3	4	5	6
Question codes	H1 to H7 (columns 1 and 3)					
Type of answers	3 dichotomous (activities, procedures, practices) per 3 item					

<b>Variable codes in MS Excel</b>	<i>H.x.1.n, H.x.3.n</i>					
<b>Variable range in MS Excel</b>	<i>[1, 0]</i>					
<b>Data computation</b>	<p><b>Step 1: Use the first column [H.1-7] as filter and select only those activities which have been planned by the Project Manager</b></p> <p><b>Step 2: Among the selected activities in Step 1, sum the number of applied practices selected in column 3 of the table [H.1-7] by the Project Manager</b></p> <p><b>Step 3: Percentage:</b></p> <p><b>100*(Applied practices in Step 2/Planned activities in Step 1)</b></p>					
<b>Indicator Range</b>	<b>[0 to 100]</b>					

Notes: none.

### Composite indicator X12.3 “Efficiency of the Social Innovation initiative” (E8)

#### Indicator E8. “Perceived efficiency of the use of resources invested in the Social Innovation initiative”

**Specific evaluation question:** To what extent have the resources invested by the actors of the Social Innovation initiative (i.e. Innovator(s), Follower(s), Transformer(s), project partners and beneficiaries) been efficiently used?

**Description:** The indicator measures the ratio between the level of satisfaction of actors with the results of the Social Innovation initiative and the resources invested by the actors of the network. Resources invested are: (i) financial, (ii) material; (iii) allocated time. All of them are measured on a Likert Scale from 1 (none) to 10 (a lot) [D.2.1 to D.2.3]. The level of satisfaction of actors with the results of the Social Innovation initiative is based on the perception of Innovator(s), Follower(s), Transformer(s) and project partners is measured on a Likert Scale from 1 (not satisfied) to 10 (fully satisfied) [H.16]. The level of satisfaction of beneficiaries with the results of the Social Innovation initiative is based on their perception as measured on a Likert Scale from 1 (not at all) to 10 (to a great extent) [H.12].

**Judgement criterion:** The higher the level of satisfaction of Innovator(s), Follower(s), Transformer(s), project partners and beneficiaries with the results of the Social Innovation initiative and the lower the resources invested by the actors, the greater the efficiency of the Social Innovation initiative.

<b>Tools</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>
<b>Question codes</b>			H.16 D.2.1 to D.2.3	H.16 D.2.1 to D.2.3	H.16	H.12

<b>Type of answers</b>			Likert Scale	Likert Scale	Likert Scale	Likert Scale
<b>Variable codes in MS Excel</b>			H.16 D.2.1 to D.2.3	H.16 D.2.1 to D.2.3	H.16	H.12
<b>Variable range in MS Excel</b>			[1 to 10]	[1 to 10]	[1 to 10]	[1 to 10]
<b>Data computation</b>			<p><b>Step 1: Compute the mean of H.16 for Tool 3 and 4</b></p> <p><b>Step 2: Compute the mean of H.16 for Tool 5</b></p> <p><b>Step 3: Compute the mean of H.12 for Tool 6</b></p> <p><b>Step 4: Compute the mean of the means in Steps 1, 2 and 3</b></p> <p><b>Step 5: Compute the means of D.2.1 to D.2.3 for Tool 3 and 4</b></p> <p><b>Step 6: Mean of means in Step 5</b></p> <p><b>Step 7: Ratio: (Mean in Step 4/Mean in Step 6)</b></p>			
<b>Indicator range</b>			<b>[0.1 to 10] → 1 is the threshold</b>			

**Notes:** The question H.12 is: “On a scale from 1 to 10, to what extent are you satisfied with the delivered products and/or services?” The answer is on a Likert Scale from 1 (Not at all) to 10 (To a great extent). The question H.16 is: “How do you rate your level of satisfaction with the Social Innovation initiative results to date?”. The answer is on a Likert scale from 1 (Not satisfied) to 10 (Fully satisfied).

Indicator E8 is in a range of between 0.1 and 10. The closer the value to 0.1, the lower the efficiency of the Social Innovation initiative. The closer the value to 10, the higher the efficiency of the Social Innovation initiative. There are two possible interpretations if the value of the indicator is 1: a) a high level of satisfaction combined with a high amount of resources invested; b) a low level of satisfaction combined with a low amount of resources invested. This is represented in the table below:

		Satisfaction	
		High	Low
Resources	High	10/10 (=1)	10/1 (=10)
	Low	1/10 (=0.1)	1/1 (=1)

## Composite indicator X13.1 “Effectiveness of the Social Innovation process” (F1, F2, F3, F4)

### Indicator F1. “Comparison between expected and observed changes in the Social Innovation process, on a qualitative scale”

**Specific evaluation question:** To what extent have the expected changes in terms of new networks, new governance arrangements and new attitudes of the Social Innovation process been realised as observed changes?

**Description:** The indicator measures the extent the expected changes [D.1] have been realised as observed changes [E.8, F.6, G.1, G.11]. Both expected and observed changes relate to new networks, new governance arrangements and new attitudes. The comparison is based on the analysis of qualitative answers provided by Innovator(s), Follower(s) and Transformer(s).

**Judgement criterion:** The higher the expected changes have been realised as observed change, the greater the effectiveness of the Social Innovation process.

Tools	1	2	3	4	5	6	
<b>Question codes</b>			D.1 (expected changes in network, attitudes and governance), E.8 (observed changes in network), F.6 (observed changes in attitudes), G.1 to G.11 (observed changes in internal and external governance arrangements)*	D.1 (expected changes in network, attitudes and governance), E.8 (observed changes in network), F.6 (observed changes in attitudes), G.1 to G.11 (observed changes in internal and external governance arrangements)*			
<b>Type of answers</b>			List	List			
<b>Variable codes in MS Excel</b>			D.1.1 to D.1.3 E.8.1 to E.8.3 F.6.1 to F.6.3 G.1.1 to G.1.3 & G.11.1 to G.11.3	D.1.1 to D.1.3 E.8.1 to E.8.3 F.6.1 to F.6.3 G.1.1 to G.1.3 & G.11.1 to G.11.3			
<b>Variable range in MS Excel</b>			<i>Text</i>				
<b>Data computation</b>			<b>Step 1: Sum the expected changes [D.1] in terms of new networks, governance arrangements and attitudes for all respondents in Tool 3 and 4</b>  <b>Step 2: Count the number of expected changes matching the</b>				

		<p><b>observed changes per each individual respondent</b></p> <p><b>Step 3: Sum the numbers in Step 2 for all the respondents</b></p> <p><b>Step 4: Percentage: 100*(Sum in Step 3/Total number of expected changes in Step 1) for all the respondents</b></p>		
<b>Indicator Range</b>			<b>[0 to 100]</b>	

**Notes:** \* G.1 refers to internal functioning mechanisms of new governance arrangements, and G.11 refers to new governance arrangements that are of a different type from G.1. The indicator is based on qualitative answers: check their quality before proceeding with the data entry.

### Indicator F2. “Extent of the changes created by the Social Innovation process as perceived by the actors”

**Specific evaluation question:** To what extent has the Social Innovation process created changes in networks, governance arrangements, and attitudes as perceived by the actors?

**Description:** The indicator measures the changes created by the Social Innovation process, as perceived by Innovator(s), Follower(s) and Transformer(s). Perceived changes are identified in terms of: (i) new relationships established [E.2]; (ii) improved inclusiveness [E.6]; (iii) greater empowerment [G.8]; (iv) changes in actions taken by public actors [G.10]; (v) improved personal attitudes [F.4]; (vi) attitudes of actors [F.5].

**Judgement criterion:** The higher the level of changes in networks, governance arrangements and attitudes as perceived by the actors, the greater the effectiveness of the Social Innovation process.

<b>Tools</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>
<b>Question codes</b>			E.2, E.6 (new networks) F.4, F.5 (new attitudes) G.8, G.10 (new governance arrangements)	E.2, E.6 (new networks) F.4, F.5 (new attitudes) G.8, G.10 (new governance arrangements)		
<b>Type of answers</b>			Likert Scale	Likert Scale		
<b>Variable codes in MS Excel</b>			E.2, E.6 F.4, F.5 G.8, G.10	E.2, E.6 F.4, F.5 G.8, G.10		
<b>Variable range in MS Excel</b>			[1 to 10]			
<b>Data computation</b>			<b>Step 1: Compute the mean of each of E.2, E.6, F.4, F.5, G.8, G.10 for each of Tool 3 and Tool 4</b> <b>Step 2: Mean of the means in Step 1</b>			
<b>Indicator Range</b>			[1 to 10]			

**Notes:** None.

### Indicator F3. “Change in the collaborative relationships between the actors of the Social Innovation process” (\*)

**Specific evaluation question:** To what extent have the collaborative relationships between the actors increased due to the Social Innovation process?

**Description:** The indicator measures the change in the density of the collaborative relationships between the actors of the Social Innovation process between to specific moments in time (before and at the end of the Social Innovation Process).

**Judgement criterion:** The greater the percentage of increased density of collaborative relationships between actors, the more effective the Social Innovation process.

Tools	1	2	3	4	5	6
Question codes			E.3	E.3		
Type of answers			Social Network Analysis	Social Network Analysis		
Variable codes in MS Excel			E.3.1, E.3.2	E.3.1, E.3.2		
Variable range in MS Excel			List of [1; 0]	List of [1; 0]		
Data computation			<b>Step 1: Compute the density for each of E.3.1 and E.3.2</b> <b>Step 2: Density [E.3.2]-Density [E.3.1]</b>			
Indicator Range			[-1 to +1]			

Notes: None.

### Indicator F4. “Change in internal and external governance arrangements of the Social Innovation initiative as perceived by the actors of the Social Innovation process”

**Specific evaluation question:** To what extent have the internal and external governance arrangements of the Social Innovation initiative changed as perceived by the actors due to the Social Innovation process?

**Description:** The indicator measures the change in the internal [G.9] and external [G.13] governance arrangements of the Social Innovation initiative as perceived by the actors of the Social Innovation process. In [G.9] the actors are asked if the decision-making reports or agreements were: (i) easy available; (ii) regularly shared among all the actors; (iii) clear and complete. In [G.13] the actors are asked what was new in institutional measures or governance arrangements that have been implemented to facilitate the Social Innovation initiative. The respondent has to select at least one option amongst the following ones: (i) Policy or program; (ii) Law or regulation; (iii) Guideline or code; (iv) Standard; (v) Coordination mechanism; (vi) Civic engagement mechanism; (iv) Others.

**Judgement criterion:** The more internal and external governance arrangements of the Social Innovation initiative have changed as perceived by the actors of the Social Innovation process, the greater the likelihood of the effectiveness of the Social Innovation process.

Tools	1	2	3	4	5	6
Question codes			G.9 G.13	G.9		
Type of answers						
Variable codes in MS Excel			G.9.1 to G.9.3 G.13.1, G.13.5, G.13.9	G.9.1 to G.9.3		
Variable range in MS Excel			[1; 0] [1 to 7; empty]	[1; 0]		
Data computation			<p><b>Step 1:</b> In variables G.13.1-5-9, which is the first column of the table, give a score of 1 to each of the three items if the individual respondent has provided at least 1 answer to the 7 options included in each item</p> <p><b>Step 2:</b> Compute the mean of individual scores from Step 1</p> <p><b>Step 3:</b> In variables G.9.1-2-3, give a score of 1 to each of the three items if the individual respondent has answered yes to that question</p> <p><b>Step 4:</b> Compute the mean of individual scores from Step 3</p> <p><b>Step 5:</b> Mean of the means in Steps 2 and 4</p>			
Indicator Range			[0 to 3]			

**Notes:** The whole table in question G.13 (G.13.2-3-4-6-7-8-10 to 11-12) can be used to describe the score of F4 further.

## Composite indicator X13.2 “Effectiveness of the Social Innovation project” (F5, F6, F7, F8)

### Indicator F5. “Level of satisfaction of beneficiaries with the results of the Social Innovation project”

**Specific evaluation question:** To what extent have beneficiaries been satisfied with the results of the Social Innovation project?

**Description:** The indicator measures the level of satisfaction of beneficiaries with respect to the results of the Social Innovation project.

**Judgement criterion:** The higher the level of satisfaction of beneficiaries with the results of the project, the greater the effectiveness of the Social Innovation project.

Tools	1	2	3	4	5	6
Question codes						H.12
Type of answers						Likert Scale
Variable codes in MS Excel						H.12
Variable range in MS Excel						[1 to 10]
Data computation						Compute the mean of individual responses of Tool 6
Indicator Range						[1 to 10]

Notes: None.

#### Indicator F6. “Comparison between proposed and delivered outputs of the Social Innovation project, on a qualitative scale”

**Specific evaluation question:** To what extent have new outputs (products and services) proposed by the Project Manager been delivered to the beneficiaries?

**Description:** The indicator measures the percentage of new outputs (products and services) delivered by the Social Innovation project to the beneficiaries with respect to those proposed by the Project Manager.

**Judgement criterion:** The higher the amount of outputs (products and services) delivered to the beneficiaries with respect to those proposed by the Project Manager, the greater the likelihood of the Social Innovation project reaching the specific objective(s), and thus its effectiveness.

Tools	1	2	3	4	5	6
Question codes	H.11					H.11
Type of answers	List of new products and services					List of new products and services delivered from which the beneficiaries benefit
Variable codes in MS Excel	H.11.1 to H.11.6					H.11.1 to H.11.6
Variable range in MS Excel	Text					Text
Data computation	<p><b>Step 1: List of products and services proposed by the Project Manager in Tool 1 (maximum 3 products and 3 services)</b></p> <p><b>Step 2: Calculation of the number of outputs identified by each</b></p>					

	<b>beneficiary in Tool 6</b> <b>Step 3: Mean of outputs identified by the beneficiaries</b> <b>Step 4: Percentage: <math>100 * (\text{Mean of Step 3}) / (\text{Number of outputs from Step 1})</math></b>
<b>Indicator Range</b>	<b>[0 to 100]</b>

**Notes:** If the mean of outputs identified by beneficiaries (Step 3) is higher than the ones proposed by the Project Manager (Step 1), the indicator score is 100.

### Indicator F7. “New direct beneficiaries reached by the Social Innovation project”

**Specific evaluation question:** To what extent have new direct beneficiaries been reached by the Social Innovation project in the last year?

**Description:** The indicator measures the proportion of new direct beneficiaries reached by the Social Innovation project in the last year of the total number of direct beneficiaries with whom the project has worked. Implicitly, it is assumed that the higher the number of new direct beneficiaries reached by the Social Innovation project, the greater its likelihood to produce positive results.

**Judgement criterion:** The higher the percentage of new direct beneficiaries reached by the Social Innovation project, the greater its likelihood to achieve the specific objective(s), and thus its effectiveness.

Tools	1	2	3	4	5	6
<b>Question codes</b>	H.18, H.19					
<b>Type of answers</b>	Number					
<b>Variable codes in MS Excel</b>	H.18, H.19					
<b>Variable range in MS Excel</b>	[0 to infinity]					
<b>Data computation</b>	Percentage: $100 * (H.19 / H.18)$					
<b>Indicator Range</b>	<b>[0 to 100]</b>					

**Notes:** None.

### Indicator F8. “Project Manager self-evaluation of the Social Innovation project achieving the specific objectives”

**Specific evaluation question:** To what extent have the specific objectives been achieved by the Social Innovation project?

**Description:** The indicator measures to what extent the Social Innovation project has achieved its specific objective(s). The Project Manager has to specify if the Social Innovation project achieved its specific objectives based on the following three options: (i) Exceeded Objectives; (ii) Achieved Objectives; (iii) Missed Objectives.

**Judgement criterion:** The more the specific objectives have been achieved by the Social Innovation project, the greater its effectiveness according to the Project Manager.

Tools	1	2	3	4	5	6
Question codes	H.10					
Type of answers	Options					
Variable codes in MS Excel	H.10					
Variable range in MS Excel	[1, 2, 3]					
Data computation	<p><b>Step 1: Use the codes of options for the scores: give score 1 if the answer of the Project Manager is “Exceeded objective”; 2 if “Achived objective”; 3 if “Missed objective”</b></p> <p><b>Step 2: (4 – Score in Step 1)</b></p>					
Indicator Range	[1, 2, 3]					

**Notes:** The lower the value in Step 1, the more the objective goals have been met. For this reason, the indicator has been reversed. Questions H.10.1 [quantification of “Exceeded Objectives” - Percentage] and H.10.2 [quantification of “missed of scope” - Percentage] can be used to describe the indicator further.

### Composite indicator X13.3 “Effectiveness of the Social Innovation initiative” (F9, F10, F11)

#### Indicator F9. “Perception of actors of the Social Innovation process of being able to make a difference in the territory with the Social Innovation initiative”

**Specific evaluation question:** To what extent did the actors of the Social Innovation process make a difference in territory with the Social Innovation initiative, according to their perceptions?

**Description:** The indicator measures the perceptions of actors of being able to make a difference in the territory with the Social Innovation initiative. The Innovator(s), Follower(s) and Transformer(s) perceptions are measured on a Likert Scale from 1 (Not at all) to 10 (To a great extent).

**Judgement criterion:** The higher the perception of actors of the difference they can make in the territory with the Social Innovation initiative, the greater its effectiveness.

Tools	1	2	3	4	5	6
Question codes			C.8	C.8		
Type of answers			Likert Scale	Likert Scale		

<b>Variable codes in MS Excel</b>			<i>C.8</i>	<i>C.8</i>		
<b>Variable range in MS Excel</b>			<i>[1 to 10]</i>	<i>[1 to 10]</i>		
<b>Data computation</b>			<b>Compute the mean of all respondents in Tool 3 and 4</b>			
<b>Indicator Range</b>			<b>[1 to 10]</b>			

**Notes:** None.

### **Indicator F10. “Level of satisfaction of all the actors of the Social Innovation initiative with its results”**

**Specific evaluation question:** To what extent have all of the actors in the Social Innovation initiative been satisfied with its results?

**Description:** The indicator measures the mean level of satisfaction of the all actors of the Social Innovation initiative with its results. The perceptions of actors are measured on a Likert Scale from 1 (not at all) to 10 (to a great extent).

**Judgement criterion:** The higher the level of satisfaction of all the actors of the Social Innovation initiative with its results, the greater its effectiveness.

<b>Tools</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>
<b>Question codes</b>			H.16	H.16	H.16	H.12
<b>Type of answers</b>			Likert Scale	Likert Scale	Likert Scale	Likert Scale
<b>Variable codes in MS Excel</b>			<i>H.16</i>	<i>H.16</i>	<i>H.16</i>	<i>H.12</i>
<b>Variable range in MS Excel</b>			<i>[1 to 10]</i>	<i>[1 to 10]</i>	<i>[1 to 10]</i>	<i>[1 to 10]</i>
<b>Data computation</b>			<b>Step 1: Mean of Tool 3 and Tool 4</b> <b>Step 2: Mean of Tool 5</b> <b>Step 3: Mean of Tool 6</b> <b>Step 4: Mean of means from Steps 1, 2 and 3</b>			
<b>Indicator Range</b>			<b>[1 to 10]</b>			

**Notes:** The wording of H.12 and H.16 is slightly different to each other but the meaning is similar. In H.16 the question is: “How do you rate your level of satisfaction with the results of the [Social Innovation initiative] to date?”, and in H.12 (to beneficiaries) the question is: “On a scale from 1 to 10, to what extent are you satisfied with the products and/or services delivered?”.

**Indicator F11. “Change in the collaborative relationships between the actors of the Social Innovation initiative” (\*)**

**Specific evaluation question:** To what extent have the collaborative relationships between the actors increased due to the Social Innovation initiative?

**Description:** The indicator measures the change in the density of the collaborative relationships between the actors of the Social Innovation initiative between to specific moment in time (before and after the Social Innovation initiative). The actors of the networks of both the Social Innovation process and project are combined to produce the entire network of collaborative relationships after the Social Innovation initiative.

**Judgement criterion:** The higher the change in density of the collaborative relationships between actors of the Social Innovation initiative, the greater its effectiveness.

Tools	1	2	3	4	5	6
Question codes			E.3	E.3		
Type of answers			Social Network Analysis	Social Network Analysis		
Variable codes in MS Excel			E.3.1, E.3.2, E.3.3	E.3.1, E.3.2, E.3.3		
Variable range in MS Excel			[1; 0]	[1; 0]		
Data computation			<b>Step 1: Combine the values of [E.3.2] &amp; [E.3.3] from both Tools 3 and 4 [(E.3.2 U E.3.3) and compute the density</b> <b>Step 2: Compute the density of [E.3.1]</b> <b>Step 3: Compute the difference between densities computed in Step 1 and Step 2</b>			
Indicator Range			[-1 to +1]			

Notes: None.

## IMPACTS – Social Innovation process

In the evaluation framework, impacts are expected to be identifiable and measurable only after the Social Innovation project has been implemented. Therefore, impacts indicators have not been developed for the Social Innovation process.

### Composite indicator X14.1 “Impact of the Social Innovation project” (I1, I2)

#### Indicator I1. “Improvement in social inclusion as perceived by the direct beneficiaries of the Social Innovation project due to the initiative”

**Specific evaluation question:** To what extent has the social inclusion in the local community improved as perceived by the direct beneficiaries of the Social Innovation project due to the initiative?

**Description:** The indicator measures the perception of direct beneficiaries of being socially included in the local community due to the initiative. Social inclusion is defined as “the process of individual's self-realisation within a society, acceptance and recognition of one's potential by social institutions, integration (through study, employment, volunteer work or other forms of participation) in the web of social relations in a community” ([https://pjp-eu.coe.int/en/web/youth-partnership\(s\)social-inclusion](https://pjp-eu.coe.int/en/web/youth-partnership(s)social-inclusion)). The perception of direct beneficiaries is measured on a Likert Scale from 1(not at all) to 10 (to a great extent).

**Judgement criterion:** The more the direct beneficiaries feel socially included in the local community, the greater the impact of the Social Innovation project and initiative.

Tools	1	2	3	4	5	6
Question codes						I.10
Type of answers						Likert Scale
Variable codes in MS Excel						I.10
Variable range in MS Excel						[1 to 10]
Data computation						Mean of the individual scores from Tool 6
Indicator Range						[1 to 10]

Notes: None.

#### Indicator I2. “Proportion of indirect beneficiaries of the total number of beneficiaries (direct and indirect), as estimated by the direct beneficiaries of the Social Innovation project”

**Specific evaluation question:** What is the proportion of indirect beneficiaries of the total number of beneficiaries (direct and indirect), as estimated by the direct beneficiaries of the Social Innovation project?

**Description:** The indicator measures how many indirect beneficiaries have benefited from the Social Innovation project, compared to the total number of direct beneficiaries.

**Judgement criterion:** The higher the proportion of indirect beneficiaries of the total number of beneficiaries, as estimated by the direct beneficiaries of the Social Innovation project, the greater the impact of the project.

Tools	1	2	3	4	5	6
Question codes	H.18 J.3					J.3
Type of answers	Number					Number
Variable codes in MS Excel	H.18, J.3					J.3
Variable range in MS Excel	[0 to infinity]					[0 to infinity]
Data computation	<p><b>Step 1: Total direct beneficiaries (H.18) from Tool 1</b></p> <p><b>Step 2: Estimated total number of indirect beneficiaries (J.3 in Tool 1) according to Project Manager perception</b></p> <p><b>Step 3: Compute the mean of beneficiary answers provided J.3 in Tool 6</b></p> <p><b>Step 4: Multiple the result of Step 3 per the Total number of direct beneficiaries in Step 1. This computation allows to estimate the total number of indirect beneficiaries according to beneficiaries perception</b></p> <p><b>Step 5: Mean of estimated number of indirect beneficiaries in Step 2 and Step 4</b></p> <p><b>Step 6: Percentage: <math>100 * ((\text{Estimated number of indirect beneficiaries from Step 5}) / (\text{Sum of the results of Step 1 and 5}))</math></b></p>					
Indicator Range	[0 to 100]					

**Notes:** The meaning of the indicator can be specified if considered in combination with question J2 in Tool 6 and Tool 1, which asked the respondents to quantify the number of indirect beneficiaries (e.g. family, friends, colleagues, other members of the community, etc.).

## Composite indicator X14.2 “Impact of the Social Innovation initiative” (I3, I4, I5, I6, I7, I8, I9, I10, I11)

### Indicator I3. “Proportion of marginalisation problems improved by the Social Innovation initiative, as perceived by stakeholders”

**Specific evaluation question:** To what extent have the marginalisation problems improved by the Social Innovation initiative, as perceived by stakeholders?

**Description:** The indicator measures the extent of improvement in marginalisation problems by the Social Innovation initiative as perceived by the stakeholders taking part in the Focus Group. The marginalisation problems include: (i) physical geography constraints; (ii) infrastructural access limitations; (iii) socio-economic conditions. The reduction in the number of marginalisation problems in the territory is measured by comparing the total number of problematic elements/aspects improved by the Social Innovation initiative with the problematic elements/aspects dealt with by the Social Innovation initiative.

**Judgement criterion:** The higher the proportion marginalisation problems improved by the Social Innovation initiative in recent years, the greater the perceived impact of the Social Innovation initiative in the territory.

Tools	1	2	3	4	5	6
Question codes		Session IV – B.16-24				
Type of answers		List of problematic elements/aspect of marginalisation dealt with by Social Innovation  List of problematic elements/aspects of marginalisation improved in recent years?				
Variable codes in MS Excel		B.16.1-2-3, B.17.1-2-3, B.18.1-2-3, B.19.1-2-3, B.20.1-2-3, B.21.1-2-3, B.22.1-2-3, B.23.1-2-3, B.24.1-2-3				
Variable range in MS Excel		[1; 0]				
Data computation		Step 1: Compute the total number of problems dealt with by the Social Innovation initiative  Step 2: Compute the total number of problems improved in recent years due to the Social Innovation initiative  Step 3: Percentage: $100 * (\text{Result in Step 2} / \text{Result in Step 1})$				
Indicator Range		[0 to 100]				

Notes: None.

#### Indicator I4. “Proportion of the number of impacts of the Social Innovation initiative in the four domains which were positive, according to the stakeholders”

**Specific evaluation question:** To what extent have the impacts of the Social Innovation initiative in the four domains been positive according to the stakeholders?

**Description:** The indicator measures the number of impacts of the Social Innovation initiative in the four domains that were positive according to the stakeholders of the Focus Group. The elements refer to

environmental, economic, social and institutional domains. For each domain, a detailed list of elements has been provided and analysed by the stakeholders who participated in the Focus Group. The lists are available in Session V, Tool 2, Guiding question A1.

**Judgement criterion:** The higher the proportion of elements positively impacted by the Social Innovation initiative of the total number of elements impacted, the greater the impact of the Social Innovation initiative, according to the stakeholders.

Tools	1	2	3	4	5	6
Question codes		Session V - J.24-28				
Type of answers		Guiding question A1 (list of elements of four domains) Guiding question A2 (list of elements which are negatively and positively impacted)				
Variable codes in MS Excel		J.24, J.25, J.27, J.28				
Variable range in MS Excel		[0-42]				
Data computation		<p><b>Step 1: Compute the number of elements that have been positively impacted by the Social Innovation initiative as identified by “Slightly positive” and “Strongly positive”</b></p> <p><b>Step 2: Compute the number of elements that have been negatively impacted by the Social innovation initiative as identified by “Slightly negative” and “Strongly negative”</b></p> <p><b>Step 3: Percentage: <math>100 * ((\text{Number in Step 1} / (\text{Number in Step 1} + \text{Number in Step 2}))</math></b></p>				
Indicator Range		[0 to 100]				

**Notes:** The indicator can be transformed into the opposite one, i.e. an indicator that provides a measure of the negative impacts determined by the Social Innovation initiative (i.e.  $100 - I4$ ). Sub-indicators I4.1, I4.2, I4.3 and I4.4 can be calculated for each domain and compared amongst them.

### Indicator 15. “Balance of positive to negative significant impacts of the Social Innovation initiative in the four domains, according to perception of stakeholders”

**Specific evaluation question:** To what extent have the stakeholders perceived a net impact resulting from the balance between positive and negative impacts of the Social Innovation initiative in the four domains?

**Description:** The indicator measures the balance between the 4 greatest positive impacts and the 4 greatest negative impacts due to the Social Innovation initiative in the environmental, economic, social

and institutional domains. By using a participatory approach, the stakeholders assign a score from 0 to 4 to the 8 greatest impacts (4 negative and 4 positive, if any) they have selected during the Focus Group. Stakeholders attribute the scores based on the following four criteria: (i) Capability of the Social Innovation to keep under direct control the impact; (ii) Frequency of the activities determining the impacts; (iii) Magnitude (intensity) of the impact; (iv) Sensitivity of the local community to the impact.

**Judgement criterion:** The more the positive impacts exceed the negative ones, the greater the perceived positive impact of the Social Innovation initiative, according to the stakeholders.

Tools	1	2	3	4	5	6
Question codes		Session V				
Type of answers		Guiding question B				
Variable codes in MS Excel		J.29.1-4, J.30. 1-4, J.31. 1-4, J.32.1-4, J.33.1-4, J.34.1-4, J.35.1-4, J.36.1-4				
Variable range in MS Excel		[0 to 4]				
Data computation		<p><b>Step 1: Calculation of the score of each impact:</b> [0 to 4]*[0 to 4]*[0 to 4]*[0 to 4]</p> <p><b>Step 2: Sum of scores of positive impacts</b></p> <p><b>Step 3: Sum of scores of negative impacts</b></p> <p><b>Step 4: [(Sum in Step 2) – (Sum in Step 3)]/1024</b></p>				
Indicator Range		[-1; +1]				

Notes: None.

#### Indicator I6. “Level of effects of the Social Innovation initiative in the four domains according to the actors”

**Specific evaluation question:** To what extent have the actors perceived the Social Innovation initiative to have had effects inside and outside the territory in the four domains?

**Description:** The indicator measures the extent of the effects of the Social Innovation initiative inside and outside the territory in the four domains. The indicator is based on a Likert Scale from -2 (negative) to + 2 (positive) in relation to four domains (economy, social cohesion\*, public administrations\* and the environment). The indicator is based on the perception of the Social Innovation actors, i.e. Innovator(s), Follower(s), project partners and beneficiaries.

**Judgement criterion:** The higher the level of effects of the Social Innovation initiative inside and outside the territory in the four domains, the greater the perceived positive impact of the Social Innovation initiative according to the actors.

Tools	1	2	3	4	5	6
Question codes			J.11		J.11	J.11
Type of answers			[-2; +2]		[-2; +2]	[-2; +2]
Variable codes in MS Excel			J.11.1.1-2, J.11.2.1-2; J.11.3.1-2; J.11.4.1-2		J.11.1.1-2, J.11.2.1-2; J.11.3.1-2; J.11.4.1-2	J.11.1.1-2, J.11.2.1-2; J.11.3.1-2; J.11.4.1-2
Variable range in MS Excel			[-2, -1, 0, +1, +2]		[-2, -1, 0, +1, +2]	[-2, -1, 0, +1, +2]
Data computation			<b>Step 1: Mean of the scores for all four domains per each individual</b> <b>Step 2: Mean of the individual means in Step 1 for respondents in Tool 3 (Innovator(s) and Follower(s)) and Tool 5 (project partners)</b> <b>Step 3: Mean of the individual means in Step 1 for respondents in Tool 6 (beneficiaries)</b> <b>Step 4: Mean of the means obtained in Steps 2 and 3</b>			
Indicator Range			[-2; +2]			

**Notes:** For a more accurate interpretation of Social Innovation impacts this indicator should be used together with indicators I4, I5, and their sub-indicators, if calculated. I6 can be splitted, as well, in sub-indicators: I6.1 Environment; I6.2 Economy; I6.3 Social cohesion; I6.4 Public administrations. \*Social cohesion and Public administrations are proposed as specific elements of evaluation related to the two domains of society and institutions.

### Indicator I7. “Level of effects of the Social Innovation initiative inside the territory in the four domains according to the actors”

**Specific evaluation question:** To what extent have the actors perceived the Social Innovation initiative to have had effects inside the territory in the four domains?

**Description:** The indicator measures the extent of the effects of the Social Innovation initiative inside the territory in the four domains. The indicator is based on a Likert Scale from -2 (negative) to + 2 (positive) in relation to: (i) economy; (ii) social cohesion\*; (iii) public administrations\*; (iv) the environment. The indicator is based on the perception of the Social Innovation actors, i.e. Innovator(s), Follower(s), project partners and beneficiaries.

**Judgement criterion:** The higher the level of effects of the Social Innovation initiative inside the territory in the four domains, the greater the perceived positive impact of the Social Innovation initiative according to the actors.

Tools	1	2	3	4	5	6
Question codes			J.11		J.11	J.11
Type of answers			[-2; +2]		[-2; +2]	[-2; +2]
Variable codes in MS Excel			J.11.1.1, J.11.2.1; J.11.3.1; J.11.4.1		J.11.1.1, J.11.2.1; J.11.3.1; J.11.4.1	J.11.1.1, J.11.2.1; J.11.3.1; J.11.4.1
Variable range in MS Excel			[-2, -1, 0, +1, +2]		[-2, -1, 0, +1, +2]	[-2, -1, 0, +1, +2]
Data computation			<b>Step 1: Mean of the scores for all four domains in Tool 3 (Innovators and Followers) and Tool 5 (project partners)</b> <b>Step 2: Mean of the scores for all four domains in Tool 6 (beneficiaries)</b> <b>Step 3: Mean of the scores obtained in Steps 1 and 2</b>			
Indicator Range			[-2; +2]			

**Notes:** For a more accurate interpretation of Social Innovation impacts the indicator should be used together with indicators I4, I5, I6 and their sub-indicators, if calculated. I7 can be splitted, as well, in sub-indicators: I7.1 Internal environment; I7.2 Internal economy; I7.3: Internal social cohesion; I7.4 Internal public administrations. \*Social cohesion and Public administrations are proposed as specific elements of evaluation related to the two domains of society and institutions.

### Indicator I8. “Level of effects of the Social Innovation initiative outside the territory in the four domains according to the actors”

**Specific evaluation question:** To what extent have the actors perceived the Social Innovation initiative to have had effects outside the territory in the four domains?

**Description:** The indicator measures the extent of the effects of the Social Innovation initiative outside the territory in the four domains. The indicator is based on a Likert Scale from -2 (negative) to + 2 (positive) in relation to: (i) economy; (ii) social cohesion\*; (iii) public administrations\*; (iv) the environment. The indicator is based on the perception of the Social Innovation actors, i.e. Innovator(s), Follower(s), project partners and beneficiaries.

**Judgement criterion:** The higher the level of effects of the Social Innovation initiative outside the territory in the four domains, the greater the perceived positive impact of the Social Innovation initiative according to the actors.

Tools	1	2	3	4	5	6
Question codes			J.11		J.11	J.11
Type of answers			[-2; +2]		[-2; +2]	[-2; +2]
Variable codes in MS Excel			J.11.1.2, J.11.2.2; J.11.3.2; J.11.4.2		J.11.1.2, J.11.2.2; J.11.3.2; J.11.4.2	J.11.1.2, J.11.2.2; J.11.3.2; J.11.4.2
Variable range in MS Excel			[-2, -1, 0, +1, +2]		[-2, -1, 0, +1, +2]	[-2, -1, 0, +1, +2]
Data computation			<b>Step 1: Mean of the scores for all four domains in Tool 3 (Innovators and Followers) and Tool 5 (project partners)</b> <b>Step 2: Mean of the scores for all four domains in Tool 6 (beneficiaries)</b> <b>Step 3: Mean of the scores obtained in Steps 1 and 2</b>			
Indicator Range			[-2; +2]			

**Notes:** For a more accurate interpretation of Social Innovation impacts the indicator should be used together with indicators I4, I5, I6, and their sub-indicators, if calculated. I8 can be splitted, as well, in sub-indicators: I8.1 External environment; I8.2 External economy; I8.3 External social cohesion; I8.4 External public administrations. \*Social cohesion and Public administrations are proposed as specific elements of evaluation related to the two domains of society and institutions.

### Indicator I9. “Proportion of positive effects of the Social Innovation initiative in the four domains according to the perception of beneficiaries, on a qualitative scale”

**Specific evaluation question:** To what extent have the effects of the Social Innovation initiative in the four domains been positive according to the beneficiaries?

**Description:** The indicator measures the proportion of effects of the Social Innovation initiative in the four domains which were positive according to the perception of beneficiaries. The elements domains refer to environmental, economic, social and institutional domains.

**Judgement criterion:** The higher the proportion of effects of the Social Innovation initiative of the total number of effects identify by the beneficiaries, the greater the positive impact of the Social Innovation initiative.

Tools	1	2	3	4	5	6
Question codes						J.12
Type of answers						Examples (maximum 3 per domain, positive and negative)
Variable codes in MS Excel						J.12.1.1 to J.12.1.6, J.12.2.1 to J.12.2.6, J.12.3.1 to J.12.3.1, J.12.4.1 to J.12.4.6

<b>Variable range in MS Excel</b>						<i>Text</i>
<b>Data computation</b>						<b>Step 1: Check the qualitative answers*</b> <b>Step 2: Calculate the mean number of positive effects</b> <b>Step 3: Calculate the mean number of negative effects</b> <b>Step 4: Percentage: <math>100 * ((\text{Mean in Step 2} / (\text{Mean in Step 2} + \text{Mean in Step 3}))</math></b>
<b>Indicator Range</b>						<b>[0 to 100]</b>

**Notes:** \*Check the quality of answers before proceeding with the data entry into the pre-set calculations in the MS Excel file because the formula gives a score of 1 if the cell is not empty. Write “NA” if the qualitative answer does not justify a level of innovation that can assign 1 point. The indicator is connected with indicators I6, I7 and I8. This indicator is based on qualitative open questions the content of which may be used to describe the impacts.

### Indicator I10. “Perceptions of actors of the level of improvement in governance aspects due to the Social Innovation initiative”

**Specific evaluation question:** To what extent have governance aspects improved due to the Social Innovation initiative, according to the actors?

**Description:** The indicator measures the level of improvement in different aspects of governance due to the Social Innovation initiative, as perceived by the Innovator(s), Follower(s) and project partners. Respondents score the improvement for 13 aspects of governance: (i) Options for citizen engagement; (ii) Stakeholder consultation; (iii) Voice of minorities; (iv) Gender balance; (v) Transparency; (vi) Bureaucracy; (vii) Capacity of public administrations; (viii) Policy initiatives; (ix) Legal framework; (x) Conflict of interests and corruption; (xi) Quality of public services; (xii) Market and economy; (xiii) other. Respondents have 3 possible options for their answers: [0] = no improvement, [1] = to some extent, [2] = to a great extent. Only those items with which the Social Innovation initiative deals with are used for the computation.

**Judgement criterion:** The higher the level of the perceived improvement in governance aspects, the greater the perceived impact of the Social Innovation initiative in governance.

<b>Tools</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>
<b>Question codes</b>			B.8 (B.7)	B.8 (B.7)	B.8 (B.7)	
<b>Type of answers</b>			13 options with Likert Scale [0; 2]	13 options with Likert Scale [0; 2]	13 options with Likert Scale [0; 2]	
<b>Variable codes in MS Excel</b>			B.8.1 to B.8.13 (B.7.1 to B.8.13 considered as	B.8.1 to B.8.13 (B.7.1 to B.8.13 considered as	B.8.1 to B.8.13 (B.7.1 to B.8.13 considered as	

		<i>filter question)</i>	<i>filter question)</i>	<i>filter question)</i>	
<b>Variable range in MS Excel</b>		[0 to 2]	[0 to 2]	[0 to 2]	
<b>Data computation</b>		<p><b>Step 1: Calculate per each respondent:</b>  <math>((\sum \text{answers [1]})*1+(\sum \text{answers [2]})*2)</math> for question B.8</p> <p><b>Step 2: Compute per each respondent:</b> <math>((\text{Total answers to question B.7})*2)</math></p> <p><b>Step 3: Ratio per each respondent:</b> Result in Step 1/Result in Step 2</p> <p><b>Step 4: Mean of ratios per Tool 5</b></p> <p><b>Step 5: Mean of ratios per Tools 3 and 4</b></p> <p><b>Step 6: Percentage:</b> <math>100*(\text{Mean of the means in Steps 4 and 5})</math></p>			
<b>Indicator Range</b>		[0 to 100]			

**Notes:** Only “answers” are considered and not “items” because B.7 is used as a filter. The option “other” is also considered.

### Indicator I11. “Perceptions of actors of the level of improvement in European societal challenges due to the Social Innovation initiative”

**Specific evaluation question:** To what extent have European societal challenges improved due to the Social Innovation initiative, according to actors?

**Description:** The indicator measures the level of improvement in European societal challenges due to the Social Innovation initiative, as perceived by the Innovator(s), Follower(s) and project partners. The European societal challenges refer to those identified in the Europe 2020 strategy (see [https://ec.europa.eu/programmes/horizon2020/en/h2020-section\(s\)ocietal-challenges](https://ec.europa.eu/programmes/horizon2020/en/h2020-section(s)ocietal-challenges)). Respondents score the improvement in tackling the 11 European societal challenges, and have the possibility to specifying an extra one. The European societal challenges are: (i) health; (ii) ageing of population; (iii) income, jobs, education; (iv) sustainable agriculture and food security; (v) water use and quality; (vi) secure, clean and efficient energy; (vii) smart, green and integrated transport; (viii) environment and climate change; (ix) inclusive societies; (x) innovative societies; (xi) secure societies; (xii) other. Respondents have 3 possible options for their answers: [0] = no improvement, [1] = to some extent, [2] = to a great extent. Only those items with which the Social Innovation initiative deals are used in the computation.

**Judgement criterion:** The higher the value of the perceived improvement in European societal challenges, the greater perceived impact of the Social Innovation initiative in European societal challenges.

Tools	1	2	3	4	5	6	
Question codes			B.5 (B.4)	B.5 (B.4)	B.5 (B.4)		
Type of answers			11+1 options with Likert Scale [0 to 2]	11+1 options with Likert Scale [0 to 2]	11+1 options with Likert Scale [0 to 2]		
Variable codes in MS Excel			<i>B.5.1 to B.5.12 (B.4.1 to B.5.12 considered as filter question)</i>	<i>B.5.1 to B.5.12 (B.4.1 to B.5.12 considered as filter question)</i>	<i>B.5.1 to B.5.12 (B.4.1 to B.5.12 considered as filter question)</i>		
Variable range in MS Excel			[0 to 2]	[0 to 2]	[0 to 2]		
Data computation			<p><b>Step 1: Calculate per each respondent:</b>  <math>((\sum \text{answers [1]}) * 1 + (\sum \text{answers [2]}) * 2)</math> for question B.5</p> <p><b>Step 2: Compute per each respondent</b> <math>((\text{Total answers to question B.4}) * 2)</math></p> <p><b>Step 3: Ratio per each respondent: Result in Step 1/Result in Step 2</b></p> <p><b>Step 4: Mean of ratios per Tool 5</b></p> <p><b>Step 5: Mean of ratios per Tools 3 and 4</b></p> <p><b>Step 6: Percentage: <math>100 * (\text{Mean of the means in Steps 4 and 5})</math></b></p>				
Indicator Range			[0 to 100]				

**Notes:** Only “answers to B.4” are considered instead of “items” because B.4 is used as a filter.

## SUSTAINABILITY – Social Innovation process

In our evaluation framework, sustainability is expected to be identifiable and measurable only after the Social Innovation project has been implemented. Therefore, sustainability indicators have not been developed for the Social Innovation process.

### Composite indicator X15.1 “Sustainability of the Social Innovation project” (S1, S2)

#### Indicator S1. “Internal financing of the Social Innovation project”

**Specific evaluation question:** To what extent has the Social Innovation project been financed with internal resources?

**Description:** The indicator measures the percentage of internal to the total resources of the Social Innovation project.

**Judgement criterion:** The higher the percentage of internal to the total resources of the Social Innovation project, the greater the project's financial sustainability.

Tools	1	2	3	4	5	6
Question codes	1.8		1.8			
Type of answers	Percentage		Percentage			
Variable codes in MS Excel	1.8		1.8			
Variable range in MS Excel	[0 to 100]		[0 to 100]			
Data computation	<p>Step 1: Calculate the mean of values of Tools 3</p> <p>Step 2: Compute the mean of (mean in Step 1 and value in Tool 1)</p> <p>Step 3: Reverse the indicator: 100 - (Mean in Step 2)</p>					
Indicator Range	[0 to 100]					

**Notes:** Evaluator can use Section I of Tool 1 to check the quality of the information in 1.8 according to the data available.

#### Indicator S2. “Social Innovation project's financial sustainability over time”

**Specific evaluation question:** To what extent was the Social Innovation project's financially sustainable over time according to Innovator(s), Follower(s) and the Project Manager.

**Description:** The indicator measures over what time period the Social Innovation project will be financially viable on a scale of 1 to 6, based on answers provided by Innovator(s), Follower(s) and Project Manager. The financial viability is measured through two questions. The first question focuses on how long would the respondent estimate the project will be financially viable: (i) For the long term (more

than 5 years); 2. For the medium term (more than 1.5 years); 3. For a short term (within next year); 4. Difficult to answer because of uncertainty. The second question focus on how much time do the respondent think the project will need to become totally financially viable: (i) A long term (more than 5 years); (ii) A medium period (more than 1.5 years); 3. A short term (within next year); 4. Difficult to answer because of uncertainty.

**Judgement criterion:** The higher the value of the indicator, the greater the financial viability of the Social Innovation project and consequently its financial sustainability.

Tools	1	2	3	4	5	6
<b>Question codes</b>	I.8.1, I.8.2 I.8 (filter question)		I.8.1, I.8.2 I.8 (filter question)			
<b>Type of answers</b>	3 options question		3 options question			
<b>Variable codes in MS Excel</b>	<i>I.8.1, I.8.2</i>		<i>I.8.1, I.8.2</i>			
<b>Variable range in MS Excel</b>	<i>[1, 2, 3, 4]</i>		<i>[1, 2, 3, 4]</i>			
<b>Data computation</b>	<p><b>Step 1: For each Tool (1 and 3) use I.8 as filter question</b></p> <p><b>Step 2: For each answer give a score to each answer as follows:</b></p> <p><b>I.8.1 (option 1 = 6 points; option 2 = 5 points; option 3 = 4 points; option 4 = 4 points)</b></p> <p><b>I.8.2 (option 1 = 1 point; option 2 = 2 points; option 3 = 3 points; option 4 = 1 points)</b></p> <p><b>Step 3: Mean of the scores in Tools 3</b></p> <p><b>Step 4: Mean of (mean in Step 3 and score in Tool 1)</b></p>					
<b>Indicator Range</b>	<b>[1 to 6]</b>					

Notes: None.

## Composite indicator X15.2 “Sustainability of the Social Innovation initiative” (S3, S4, S5)

### Indicator S3. “Sustainability of collaborations amongst the actors of the Social Innovation process” (\*)

**Specific evaluation question:** To what extent have the collaborative relationships amongst actors of the Social Innovation process been sustainable?

**Description:** The indicator compares the density of collaborative relationships amongst actors of the Social Innovation process with actors of projects outside the Social Innovation initiative [E.3.4], with the density of the collaborative relationships of the Social Innovation initiative (before joining the initiative

E.3.1, during the process E.3.2 and during the project E.3.3). The collaborative network of relationships of the initiative refers only to Innovator(s) and Follower(s) (Tool 3) and Transformer(s) (Tool 4)]\*.

**Judgement criterion:** The more the actors of the Social Innovation initiative have maintained the collaborative relations in other projects out of the Social Innovation initiative, the greater the likelihood of sustainability of the Social Innovation initiative.

Tools	1	2	3	4	5	6
Question codes			E.3	E.3		
Type of answers			Social Network Analysis	Social Network Analysis		
Variable codes in MS Excel			E.3.1 to E.3. 4	E.3.1 to E.3.4		
Variable range in MS Excel			List of [1; 0]	List of [1; 0]		
Data computation			<p><b>Step 1: Combine the values of [E.3.1] &amp; [E.3.2] &amp; [E.3.3] from both Tools 3 and 4 [(E.3.1 U E.3.2 U E.3.3) and compute the density</b></p> <p><b>Step 2: Compute the density of [E.3.4]</b></p> <p><b>Step 3: Compute the difference between densities computed in Step 1 and Step 2</b></p>			
Indicator Range			[-1 to +1]			

**Notes:** \*The project partners are not considered in this collaboration network due to the fact that they are neither representative of the actors nor of the population of project partners as required by the the Social Network Analysis for its validity.

#### Indicator S4. “Likelihood of the Social Innovation initiative to continue into the future”

**Specific evaluation question:** To what extent is the Social Innovation initiative likely to continue into the future?

**Description:** The indicator measures the likelihood of the Social Innovation initiative to continue into the future based on perceptions of Innovator(s), Follower(s) and project partners based on three different questions: (i) “Given the current situation of the SI initiative, in the last 3 years have you grown, remained more or less stable, or decreased (in terms of resources)” [I.5.]?; (ii) “Which is the current situation of the sector where you work? Is it growing, more or less stable or decreasing?” [I.6.]; (iii) “Given the current situation of the Social Innovation initiative, what are the expected prospects for the next 3 years? Will you grow, remain more or less stable, or decrease?” [I.7.].

**Judgement criterion:** The higher the indicator value, the greater the likelihood of the Social Innovation initiative to continue into the future.

Tools	1	2	3	4	5	6
-------	---	---	---	---	---	---

<b>Question codes</b>			1.5 1.6 1.7		1.5 1.6 1.7	
<b>Type of answers</b>			[1, 2, 3]		[1, 2, 3]	
<b>Variable codes in MS Excel</b>			1.5, 1.6, 1.7		1.5, 1.6, 1.7	
<b>Variable range in MS Excel</b>			[1, 2, 3]		[1, 2, 3]	
<b>Data computation</b>			<b>Step 1: For each question give a score of -1 for option 3, 0 for option 2, and +1 for option 1 for each of the Tool 3 and Tool 5</b> <b>Step 2: Sum of individual scores for each to Tool 3 and Tool 5</b> <b>Step 3: Mean of scores in Step 2 from Tool 3</b> <b>Step 4: Mean of scores in Step 2 from Tool 5</b> <b>Step 5: Mean of means in Step 3 and 4</b>			
<b>Indicator Range</b>			[-3; +3]			

Notes: None.

### Indicator S5. “Likelihood of the Social Innovation initiative of being sustainable over the long term”

**Specific evaluation question:** To what extent do the Innovator(s), Follower(s) and project partners recognise the existence of the social, economic, environmental and institutional factors which contribute the Social Innovation initiative being sustainable?

**Description:** The indicator measures the percentage of [identified] social, economic, environmental and institutional factors that will contribute the Social Innovation initiative being sustainable over the long term. Innovator(s), Follower(s) and project partners identify which factors best match their case from the following list: (i) Social Innovation provides products and services within a growing market (economic); (ii) There are no significant competitors (economic); (iii) Social Innovation is based on the engagement of highly motivated people (social); (iv) Local people recognise the social value of Social Innovation initiative (social); (v) The Social Innovation at least maintains the environmental value of the local territory (environmental); (vi) The Social Innovation is based upon sustainable use of natural resources (environmental); (vii) Local institutions are supportive of the Social Innovation initiative (institutional); (viii) Social Innovation is recognised within the local legal and institutional frameworks and settings (institutional); (ix) Other reasons (please specify).

**Judgement criterion:** The higher the percentage of factors identified by the Social Innovation actors, the greater the likelihood of the Social Innovation initiative being sustainable over the long term.

<b>Tools</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>
--------------	----------	----------	----------	----------	----------	----------

<b>Question codes</b>			1.9		1.9	
<b>Type of answers</b>			List of factors		List of factors	
<b>Variable codes in MS Excel</b>			<i>1.9.1 to 1.9.9</i>		<i>1.9.1 to 1.9.9</i>	
<b>Variable range in MS Excel</b>			<i>[1; 0]</i>		<i>[1; 0]</i>	
<b>Data computation</b>			<b>Step 1: Sum of each of the selected options per each individual respondent for each of Tool 3 and Tool 5</b> <b>Step 2: Mean of values in Step 1 from Tool 3</b> <b>Step 3: Mean of values in Step 1 from Tool 5</b> <b>Step 4: Mean of means in Step 2 and 3</b> <b>Step 5: Percentage: 100*(Mean in Step 4/9)</b>			
<b>Indicator Range</b>			<b>[0 to 100]</b>			

**Notes:** The evaluator can calculate the sub-indicators S5.1, S5.2, S5.3 and S5.4 based only on the economic, social, environmental or institutional factors, excluding the option “other”.