

CECAN session, 1400-1530, 23 Nov, EEEN Forum

# CECAN's progress and insights on evaluating complex Nexus policies

Pete Barbrook-Johnson

University of Surrey

[p.barbrook-johnson@surrey.ac.uk](mailto:p.barbrook-johnson@surrey.ac.uk)

@bapeterj

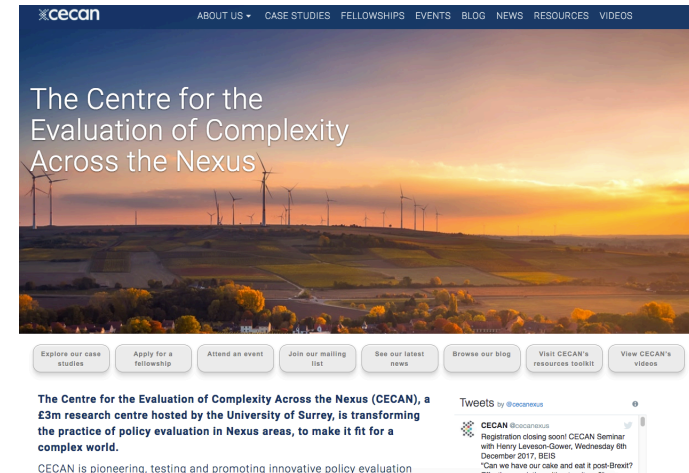


## ❖ Overview

- What is CECAN?
  - What have we been up to?
  - What are complexity and Nexus?!
- What have we found so far?

## ❖ Next

- Meta evaluation lessons
- Evaluation of our capacity building



# What is CECAN?

- ❖ Buzzword bingo – Centre for the Evaluation of Complexity Across the Nexus
- ❖ Research centre
  - ESRC, NERC
  - BEIS, Defra, EA and FSA
  - 9 Universities, 5 practitioner orgs
  - Mix of evaluators, and complexity, social and environmental, scientists
  - Started March 2016
  - pioneering, testing and promoting innovative policy evaluation approaches and methods



# What is CECAN?

## Activities

- Case studies
  - 5-6 large co-produced projects with funders
- Fellowships
  - £210k to bring in other expertise
  - 15 in place so far
  - Still a little bit more available!
- Capacity building
  - Incl. seminars and webinars – many on website
- Briefing notes (EPPN)
- Magenta book annex
- Events

The Rural Development Programme for England (RDPE) is a 5-year programme which runs from 2014-2020. It is the main activity for the programme but it involves other parts of the existing Rural Development Strategy (Rural Development Programme for Great Britain) as well as Local Action Groups and other agencies and is a key part of the government's strategy for rural development.

Enforcement on waste crime is a key area for the UK. They have taken a strategic approach to enforcement and legislation that will cover the next few years because this is a key area for the UK. The UK is in the process of doing a systematic review of enforcement options and other aspects.

Regulating our Futures is a programme to develop future thinking and understanding the contribution of each to our future. It is a key area for the UK. The UK is in the process of doing a systematic review of enforcement options and other aspects.

**cecan**  
... transforming the practice of policy evaluation  
in the focus to make it fit for a complex world

Imagine you're responsible for a policy that affects every household in the UK, but the problems keep changing and you're unsure whether the policy is still working.

Convincing to the design of public policy that can respond effectively to the UK's societal problems is challenging. Policies are difficult to design and it can be near impossible to assess their success.

The Centre for the Evaluation of Complexity Across the Nexus (CECAN), a £3m research centre based by the University of Liverpool, is transforming the practice of policy evaluation in nexus areas, to make it fit for a complex world.

CECAN is pioneering, testing and promoting innovative evaluation approaches and methods in the fields of health, food, energy, water and the environment, through a series of 'real life' case study projects with partners ESRC, NERC, DEFRA, BBS, FSA and EA.

CECAN has also been delivering a programme of evaluation methods workshops, training courses in evaluation tools and specialist seminars delivered by UK and international experts, to encourage knowledge sharing and capacity building amongst those working in UK policy evaluation and complex domains.

To find out more about CECAN visit [www.cecan.ac.uk](http://www.cecan.ac.uk) or follow us on [Facebook](https://www.facebook.com/cecanews), [Twitter](https://twitter.com/cecanews), or email [cecan@liverpool.ac.uk](mailto:cecan@liverpool.ac.uk)



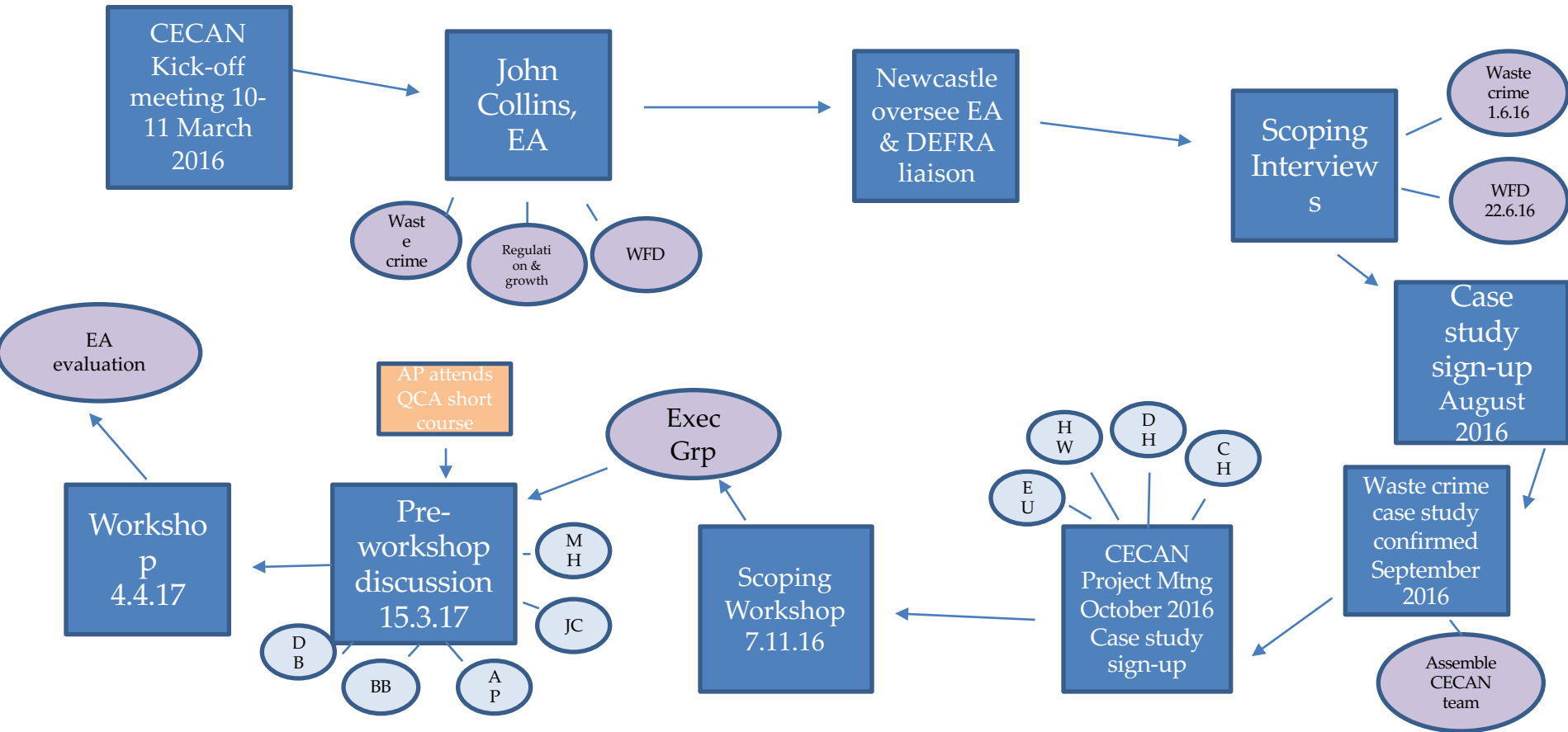


# Case study example: Waste Crime, Environment Agency, UK



- ❖ Increasing complexity in the regulatory environment has led to more opportunistic crime
- ❖ Waste crime includes a raft of activities including illegal waste sites, illegal waste exports, fly tipping and the misdescription of waste
- ❖ Enforcement and sanctions for waste crime viewed as “pressure area”
- ❖ EA want to develop their evaluation in this area, with a focus on the interventions of their new ‘Prevention and Disruption Team’
- ❖ Keen to engage with CECAN on how to evaluate their actions

# Architecture of the case study



# Waste Crime Next steps...

- ❖ The workshop enabled EA to develop a table of potential QCA factors
- ❖ Operational teams beginning data collection to feed into QCA based approach
- ❖ David and Barbara to advise on their outline methodology and provide 'guiding hands' at the analytical stage
- ❖ Autumn intern to do data capture, coding and analysis

# What is complexity?

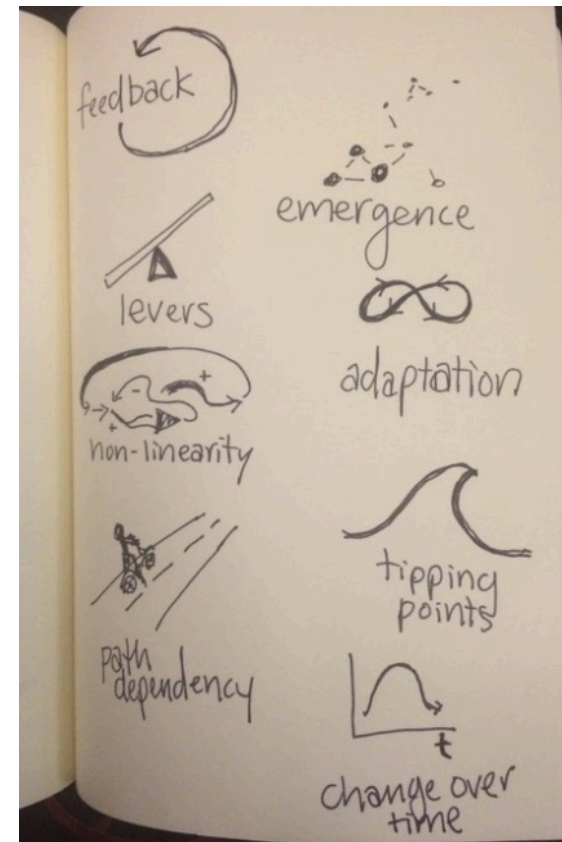
## ✘ Think in systems

- Many and diverse components, which
  - Interact and adapt in nonlinear ways

## ✘ Key characteristics:

- adaptation to changes
- feedback loops
- thresholds for change
- areas of relative high and low stability
- past states influencing possible future states
- being highly dynamic, and
- being an open system, impossible to bound.

## ✘ Result: tipping points, emergent new properties, and **unpredictability**



 Josina Vink  
@josinavink

@Ecocene works to create a typology of systemic relations  
#RSD6

12:55 PM - Oct 20, 2017

# So what do we think this means for evaluation?

## ❖ Complexity-appropriate evaluation

- adapting to emerging findings
- iterative cycles of design, data collection and learning
- engages a wide spectrum of stakeholders at all stages
- full context of the policy being evaluated
- assumes we can only steer complex systems, rather than control them fully

## ❖ We know all of this already – its just hard to implement it?!

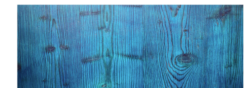
- What might complexity-appropriate commissioning look like?

# Implications for methods?

- ❖ Do NOT need to be fancy!
- ❖ Emphasises appropriateness
- ❖ Adaptable / combinations and hybrids
- ❖ Methods we have been working with...
  - Systems Mapping (including dependency modelling and fuzzy cognitive mapping)
  - Qualitative Comparative Analysis
  - Theory of Change Mapping
  - Hybrid Dynamic Bayesian Decision Networks
  - Bayesian Updating,
  - Agent-based Modelling
  - Methods Guides.

## Qualitative Comparative Analysis: a pragmatic method for evaluating intervention

A CECAN Evaluation and Policy Practice Note for policy analysts and evaluators



Qualitative comparative analysis (QCA) is a method that allows us to explore complex relationships between the cause and effect of an intervention. It allows us to explore the causal relationships between the cause and effect of an intervention. It allows us to explore the causal relationships between the cause and effect of an intervention. It allows us to explore the causal relationships between the cause and effect of an intervention.

What are the main elements of Qualitative Comparative Analysis?  
QCA works by comparing cases. The basic idea of QCA is to use the cases to explore the causal relationships between the cause and effect of an intervention. It allows us to explore the causal relationships between the cause and effect of an intervention. It allows us to explore the causal relationships between the cause and effect of an intervention.

## Agent-Based Modelling for Evaluation

A CECAN Evaluation and Policy Practice Note for policy analysts and evaluators

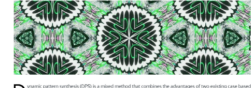


Agent-based modelling is a powerful tool for understanding the behaviour of complex systems. It allows us to explore the causal relationships between the cause and effect of an intervention. It allows us to explore the causal relationships between the cause and effect of an intervention. It allows us to explore the causal relationships between the cause and effect of an intervention.

What is agent-based modelling?  
Agent-based modelling is a powerful tool for understanding the behaviour of complex systems. It allows us to explore the causal relationships between the cause and effect of an intervention. It allows us to explore the causal relationships between the cause and effect of an intervention. It allows us to explore the causal relationships between the cause and effect of an intervention.

## Dynamic pattern synthesis: a longitudinal method for exploring interventions in complex systems

A CECAN Evaluation and Policy Practice Note for policy analysts and evaluators



Dynamic pattern synthesis (DPS) is a method that allows us to explore the causal relationships between the cause and effect of an intervention. It allows us to explore the causal relationships between the cause and effect of an intervention. It allows us to explore the causal relationships between the cause and effect of an intervention.

What are the main elements of Dynamic Pattern Synthesis?  
Dynamic pattern synthesis (DPS) is a method that allows us to explore the causal relationships between the cause and effect of an intervention. It allows us to explore the causal relationships between the cause and effect of an intervention. It allows us to explore the causal relationships between the cause and effect of an intervention.

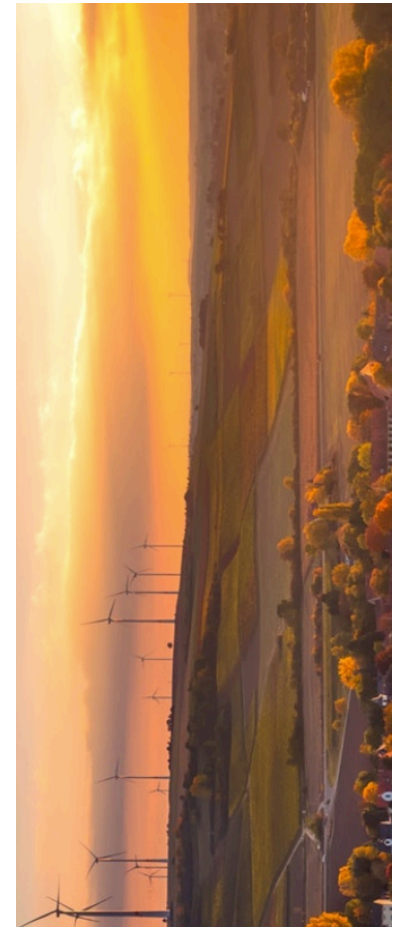
# What is the Nexus?

## ❖ Food, energy, water environment

- Tensions, interdependencies and trade- offs
- Domains are linked
- Efforts to improve sustainability in one domain without consideration of the others is likely to fail or have unintended consequences.

## ❖ Connecting:

- social sciences to natural sciences
- science to decision makers



# What have we found so far?

- ❖ Based on interviews with stakeholders and team
- ❖ Reflections by team
- ❖ Survey of team and stakeholders (focused on capacity building)





## ...in relation to practical policy evaluation 1

- ❖ **All** gov interventions are acting on **complex** systems. This **must be acknowledged** by policy teams, analysts, and evaluators
- ❖ Gov **crave the time and space** to develop capacity for complexity-appropriate evaluation
  - **But struggle to articulate** clearly their complexity-related needs
  - evaluators must give a **strong and creative lead**
- ❖ **Commissioning will need to change** –how? What models do we already have?
- ❖ There is not enough of a focus on **cross-departmental** evaluation to be **Nexus**

## ...in relation to practical policy evaluation 2

- ✘ Acknowledging complexity = difficult to decide the **scope**
  - separating questions about the intervention and its context may be counter-productive.
- ✘ The policy evaluation **landscape is shifting**;
  - Variation / devolution / programme of programmes / partners
- ✘ Practitioners **want to evaluate in a complexity-appropriate way** but are constrained
  - They often do not perceive a **demand** from government
- ✘ Users must accept and use **preliminary findings**, and evaluators must be willing to provide these.

## ...in relation to methodological innovation

- ✘ Complexity-appropriate evaluation **methods are:**
  - co-produced with users, iterative, a combination or hybrid of other methods, adaptable, and
  - deliver uncertain findings, but enormous learning in the process
- ✘ Many methods are already **fit for purpose**; the innovation is getting them in the right place, in the right hands, and using them in the right combination, at the right time.
- ✘ QCA and systems mapping most popular – why?

## ...in relation to modes of working?

- ❖ Evaluation teams, hierarchical structures, and contracts need to **setup to have the capacity to adapt**
- ❖ **Interactional expertise** is vital
  - Develop it quick and update
- ❖ **Agile** is a useful framework?

# Conclusions

- ❖ Complex systems are fundamentally **unpredictable**
- ❖ Complexity is, and must be framed as, a **great opportunity** to improve policy evaluation and increase its impact
- ❖ Complexity does not pose new challenges to evaluation, rather, it **heightens and intensifies** the challenges practitioners already tussle with
- ❖ Use a **co-produced case study** approach, utilising **Agile** methodology, with particular emphasis on gaining and maintaining **interactional expertise**
- ❖ *Thank you - Questions?*

# Additional reflections 1

- ❖ Communication of 'complexity' and 'nexus' still a challenge
- ❖ Managing expectations:
  - Especially, avoiding fulfilling typical contractor activities/work
- ❖ Substitution vs additionality
- ❖ Time needed to identify needs and bring together expertise is long, relative to gov and CECAN timelines
- ❖ Terminology (even basic) is inconsistent between evaluators, social scientists, natural scientists, and complexity scientists

# Additional reflections 2

- ❖ Evaluation of projects of projects is a challenge
  - Do they sum greater than their parts?
- ❖ Integration/nesting of evaluations
  - Lack of coherence OR demand for whole systems thinking?
- ❖ Institutional memory – timing of change is the issue
- ❖ Methods still have to fit organisational norms, cultures and expectations – cannot 'force in' new methods

# Additional reflections 3

- ✘ We have focused on case studies and methods
  - Space for broader focus on:
    - Planning and commissioning
    - Political and ethical issues
- ✘ Tackling the Nexus has been difficult
  - Perceived as extra unwanted complexity
  - Not in policy aims and objectives, so not in evaluation
- ✘ Difficult going from the bottom up bubbling up of ideas
  - to a more co-ordinated work programme



# Learning lessons for evaluating complexity across the nexus: A meta-evaluation of CEP projects

Dr. Clare Twigger-Ross

Sheate, W.R., Twigger-Ross, C., Papadopoulou, L., Sadauskis, R., White, O., Orr, P., Phillips, P., and Eales, R. (2016) Learning lessons for evaluating complexity at the nexus: a meta-evaluation of CEP projects, Final Report to CECAN, November 2016.



# Overview

- ❖ Introduction
- ❖ The meta-evaluation project
  - Purpose
  - Method
- ❖ Results and analysis
- ❖ Answering the meta-evaluation questions
- ❖ Lessons learnt: key questions for new evaluations

# Introduction: definitions

## ✘ Evaluation

- Formative as well as summative
- Includes appraisal
- Process as well as impacts
- Emphasis on learning

## ✘ Complexity

- Length of time to impact
- Many factors influencing
- Non-linearity

## ✘ Nexus

- *“What works in practice’ can be very difficult to ascertain, especially with policies that cut across the energy, environment and food Nexus domains, where urgent matters such as the ‘energy trilemma’, loss of biodiversity, climate change, poverty and challenges to health and well-being are entangled in complex ways.” (CECAN, 2016)*

# Purpose

1. To learn the lessons from past policy evaluations;
2. To understand the factors that support or inhibit (barriers or enablers to) successful evaluations, where success is measured by
  - Whether the evaluation meets its own objectives
  - The impact that evaluation has - using four categories
3. To explore the value of different types of approaches and methods used for evaluating complexity

# Meta-evaluation questions

1. Were the evaluations **fit for purpose**, and was their purpose clear? **What lessons** can we learn about assessing the effectiveness of the policy interventions?
2. Has the **framing of the evaluation been more or less useful for understanding complexity** (e.g. logic model, objectives led)? For example, in theory based approaches how useful has theory of change been in understanding complexity where the impacts are long-term (e.g. for biodiversity)?
3. **What methods have been used for dealing with aspects of complexity** found within environmental policy, e.g. long term nature of impacts, interrelationship of social and physical systems? Which methods appear to have been most effective? Were some methods and techniques more suited to certain types of complexity?
4. **What factors lead to an evaluation being more (or less) influential** of policy changes / outcomes / evaluation use?

# Logic model

Context	Inputs	Outputs	Outcomes	Impacts
The issue addressed and the context in which it is located?	What is invested e.g. money, skills, people, activities?	What has been produced?	Short and medium term results	Long term outcomes
<p>To learn the lessons from past policy evaluations, specifically:</p> <p>To understand the factors that support or inhibit successful evaluations where success is measured:</p> <p>a) Whether the evaluation meets its own objectives;</p> <p>b) The impact that evaluation has - using 4 categories: Instrumental;</p> <p>Conceptual;</p> <p>Strategic;</p> <p>Process.</p> <p>To investigate the value of different types of approaches and methods used for evaluating complexity</p>	<p>Focused literature review;</p> <p>Review of evaluations;</p> <p>CEP brainstorm;</p> <p>Project board meetings;</p> <p>Review of relevant literature;</p> <p>Interviews with CEP project managers.</p>	<p>Characterisation of evaluations;</p> <p>Spreadsheet of analysis;</p> <p>Template to enable the inclusion of future evaluations for comparison that identifies types of impact, complexity and methods used;</p> <p>Report for CECAN;</p> <p>Seminar for CECAN;</p> <p>Note for external folk on key issues.</p> <p>List of methods/tools/strategies used</p> <p>Case examples</p>	<p>Increased understanding of barriers and enablers of successful evaluations, where success is measured in:</p> <p>1) Whether the evaluation meets its own objectives;</p> <p>2) The impact the evaluation has – across the four categories.</p> <p>Increased knowledge of these issues within CECAN;</p> <p>Increased knowledge of these issues and methods by government policy analysts with others outside of CECAN specifically policy analysts.</p>	<p>Improved evaluation in complex areas of the nexus across various categories of policy evaluation</p> <p>Improved understanding among evaluation practitioners through early identification of factors that may cause complexity in an evaluation and strategies to manage the complexity</p>

# Method

- ❖ Case study approach – 23 cases selected all within environmental policy areas
- ❖ Classification of cases across: scale, theme, evaluation type, evidence collection method, type of complexity and type of evaluation use
- ❖ Data from reports and interviews with CEP project managers
- ❖ Spreadsheet to characterise each case

# Case study approach

## 23 cases selected

CEP evaluations 2006-2016

### Policy interventions

#### National

1. Supporting the Uptake of Low Cost Resilience for Properties at Risk of Flooding
2. Evaluation of the Climate Change Strategy for Wales
3. Evaluation of BBSRC's Bioenergy public dialogue project

#### EU

4. Study concerning the preparation of the report on the application and effectiveness of the SEA Directive (Directive 2001/42/EC)
5. Ex-post evaluation of the implementation by Member States of Directive 2007/23/EC on pyrotechnic articles
6. Assessing the impact of the revision of Directive 98/8/EC concerning the placing of biocidal products on the market

### Programme level

#### Policy interventions

7. Evaluation of the Biodiversity Offsetting Pilot Phase
8. Monitoring and Evaluation of Nature Improvement Areas: Phase 2
9. Scottish Government Strategic Environmental Assessment (SEA) Pathfinder Research Project
10. Flood Awareness Wales Community Engagement Review
11. Enhancing ex-post evaluation of flood and coastal erosion risk management plans and schemes
12. Ex-Ante Evaluation and Strategic Environmental Assessment (SEA) of the Wales Rural Development Plan (2007-2013)
13. Ex-Ante Evaluation and Strategic Environmental Assessment of the proposed Scottish Rural Development Programme (SRDP) 2014-2020
14. Land Use Strategy: Delivery Evaluation Project
15. Evaluation of the Land Use Strategy (LUS) Forestry Focused Sub-Regional Pilot Studies

#### Initiatives

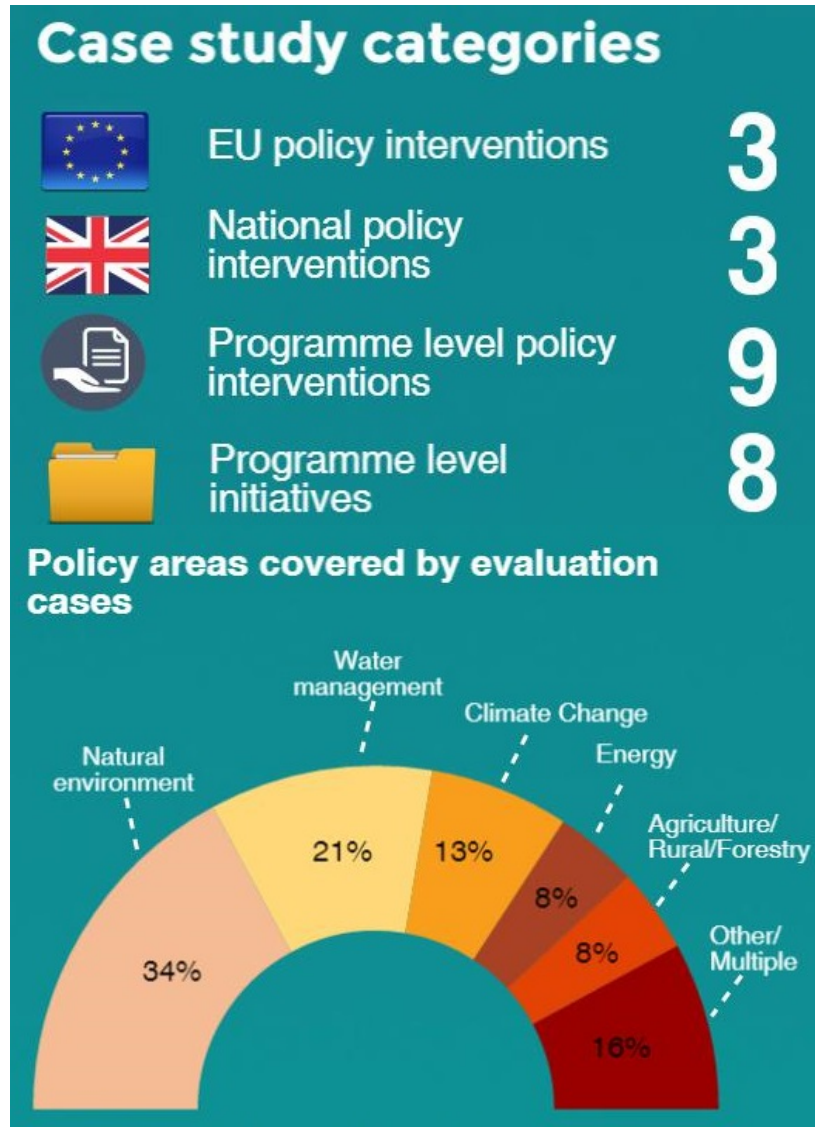
16. Independent Mid-Term review of the Marine Climate Change Impacts Partnership (MCCIP) Work Programme
17. Flood Resilience Community Pathfinder Evaluation
18. Evaluation of the Communities Prepared project
19. New Forest Pathfinder Project - evaluation of stakeholder participation and engagement processes
20. Childrens Investment Fund for the Future (CIFF) Evaluation of the European Climate Foundation (ECF)
21. Ex-post evaluation of Cohesion Policy Programmes 2000-2006 Co-Financed by the European Fund for Regional Development (Objective 1 and 2) Work Package 5b: Environment and Climate Change
22. Catchment Base Approach (CaBA): Monitoring and evaluation (Phase 2) and wider adoption of CaBA for the period 2013-15
23. Evaluation of the catchment-based approach - pilot stage



# Classification of cases: complexity and use

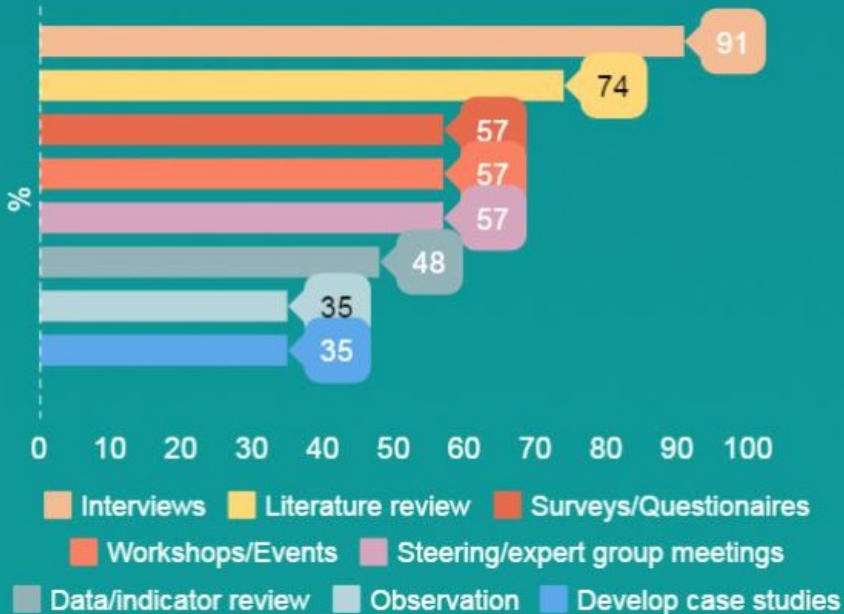
Category	Explanation
Types of complexity	<p>Three areas of complexity were defined:</p> <p><b>issue-related complexity</b> - problem has multiple elements, variability in the physical characteristics of the area, geographic scale of the problem, sensitivity to socio-demographic characteristics of the area, unpredictability in the problem</p> <p><b>policy/response-related complexity:</b> multiple components included in the policy/programme/initiative, multiple agencies/stakeholders involved or targeted by the policy, high degree of flexibility or tailoring/changes in the policy during implementation</p> <p><b>impact-related complexity:</b> multiple types/range of possible/expected outcomes and impacts, unexpected/unintended impacts (positive/negative), interactions between components of a policy, lack of clarity in the causality between actions and impacts (difficulty in attributing causality), long timescales over which impacts might occur, poor availability of information and monitoring data relating to impacts</p>
Evaluation use	<p>Four types of use were examined:</p> <p><b>instrumental</b> – evidence is directly used in policy,</p> <p><b>conceptual</b> – evidence influences how stakeholders think about a policy area/issue,</p> <p><b>strategic</b> – evidence used for accountability and defending/promoting policy,</p> <p><b>process-related</b> – improved working processes in some way</p>

# Results and Analysis



# Results and analysis

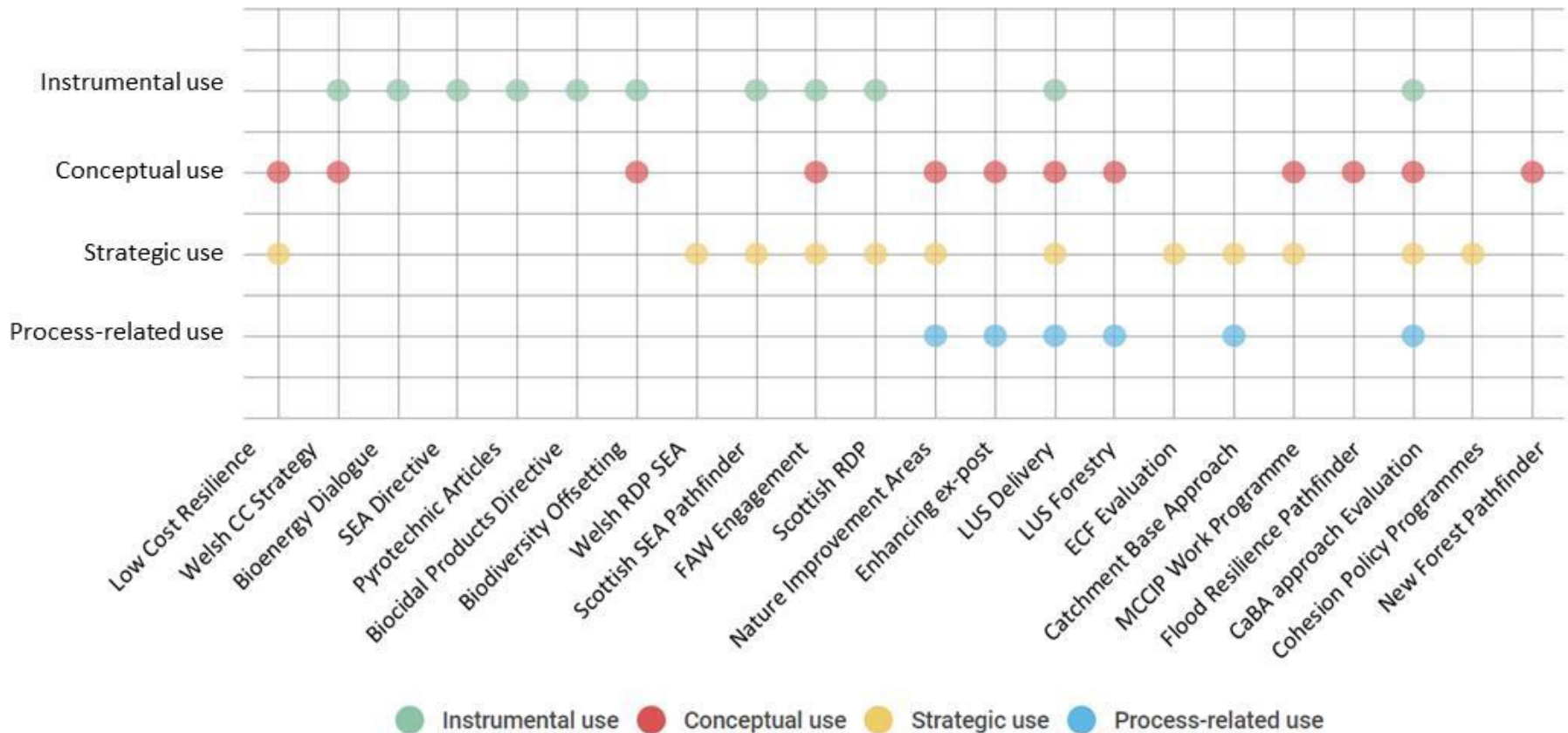
Types of evidence collection methods by evaluation cases (%)



## Projects having different types of complexity (%)

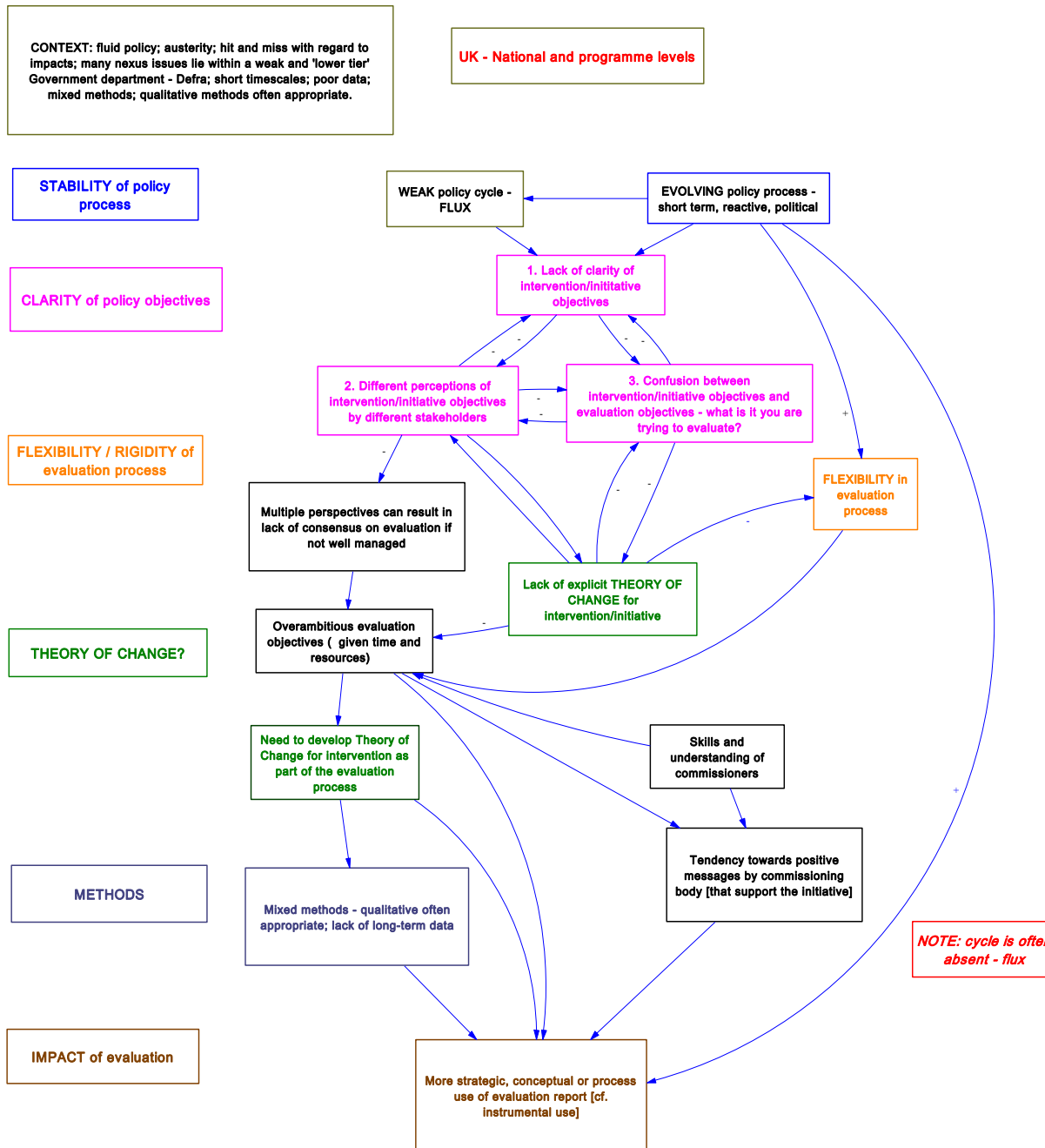
- 57 Multiple actors/stakeholders
- 39 Problem has multiple elements
- 39 High degree of flexibility
- 35 Poor availability of data
- 30 Lack of clarity in causality
- 26 Multiple components included
- 22 Varied physical characteristics
- 17 Timescales of impacts
- 13 Range of possible outcomes
- 9 Socio-demographic sensitivity

# Results and analysis



# Complex mapping

## UK national and programme levels



CONTEXT: stable policy; long timescales for negotiation; top down via Directives/Regulations; Better Regulation sets clear and rigid evaluation objectives e.g. coherence, relevance, effectiveness, efficiency, EU added value etc.

European Union level

# Complex mapping

## EU policy level

STABILITY of policy process

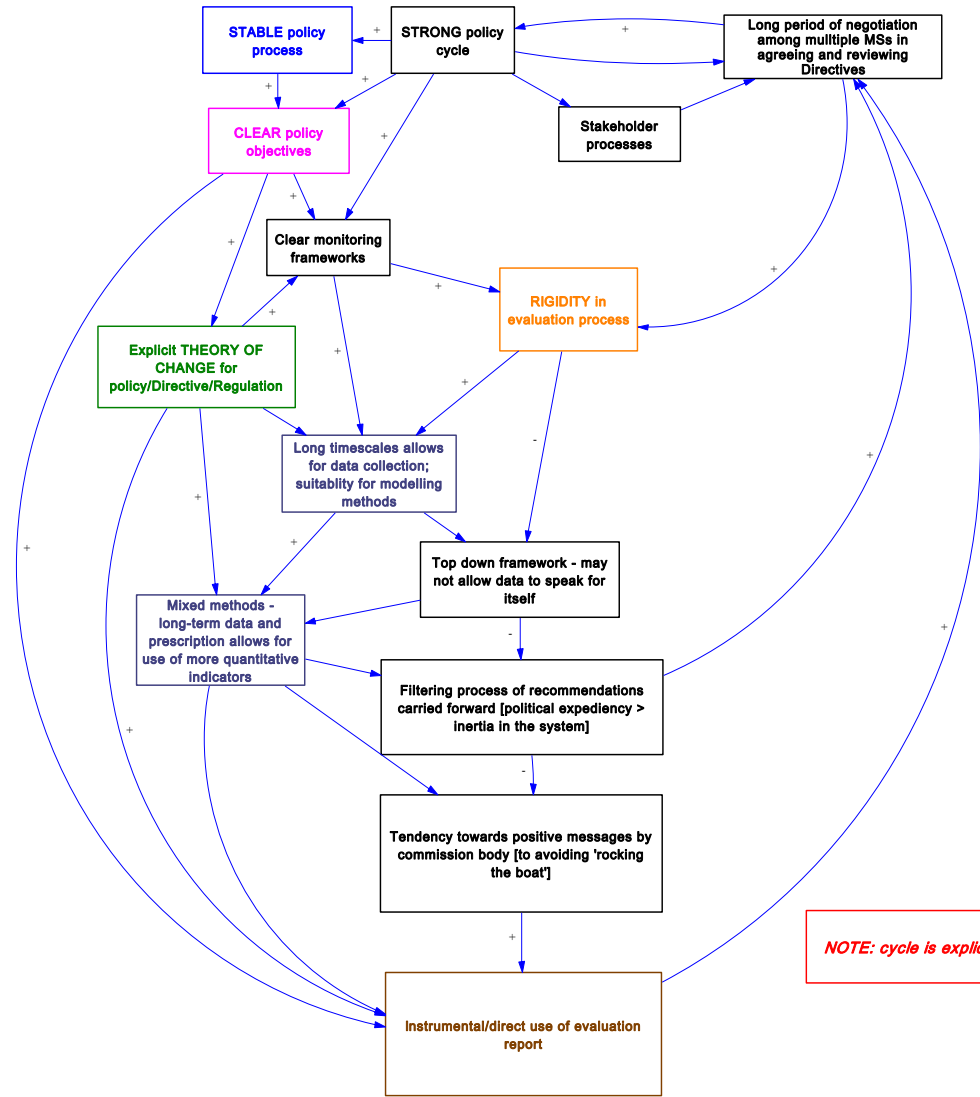
CLARITY of policy objectives

FLEXIBILITY / RIGIDITY of evaluation process

THEORY OF CHANGE?

METHODS

IMPACT of evaluation



NOTE: cycle is explicit



# Evaluation use

## Policy context for evaluations

### UK

Conceptual/  
strategic  
evaluation use

Flexibility required

Evolving policy  
context

### EU

Instrumental  
evaluation use

Rigid evaluation  
framework

Stable policy cycle

## Types of evaluation use by case categories

	Instrumental use	Conceptual use	Strategic use	Process-related use
EU	100%			
National	40%	40%	20%	
Programme interventions	24%	29%	29%	19%
Programme initiatives	8%	33%	42%	17%

# Meta-evaluation questions

1. Were the evaluations fit for purpose, and was their purpose clear? What lessons can we learn about assessing the effectiveness of the policy interventions?
2. Has the framing of the evaluation been more or less useful for understanding complexity ?
3. What methods have been used for dealing with aspects of complexity found within environmental policy? Were some methods and techniques more suited to certain types of complexity?
4. What factors lead to an evaluation being more (or less) influential of policy changes / outcomes / evaluation use?



# Meta-evaluation questions

**RQ2. How has framing of the evaluation been more or less useful for understanding complexity?**

## Key messages:

- Long-term impacts (e.g. biodiversity, flooding) are not capable of being evaluated over typical evaluation timescales (2-3 years)
- Focusing on what can be monitored (e.g. outcomes) within a clear theory of change that helps understand how outcomes relate to long-term impacts

# Meta-evaluation questions

## Evaluation frameworks for addressing aspects of complexity

Evaluation Frameworks	Aspects of complexity
<b>Theory based evaluation: use of logic models</b>	Lack of clarity in the causality between actions and impacts (difficulty in attributing causality)  Degree of flexibility or tailoring / changes in the policy during implementation  Timescales over which impacts might occur  Availability of information and monitoring data relating to impacts
<b>Formative evaluation</b>	Level of unpredictability in the problem (e.g. 'Tipping points')  Degree of flexibility or tailoring / changes in the policy during implementation  Timescales over which impacts might occur  Availability of information and monitoring data relating to impacts
<b>Participative evaluation</b>	Multiple agencies / actors / stakeholders involved or targeted by the policy (may include conflicting interests)
<b>Quasi-experimental (matching or reflexive comparison)</b>	Lack of clarity in the causality between actions and impacts (difficulty in attributing causality)

# Meta-evaluation questions

**RQ3. What methods have been used for dealing with aspects of complexity found within environmental policy, e.g. long term nature of impacts, interrelationship of social and physical systems?**

- Qualitative and mixed methods are well-suited to addressing complexity in nexus-related evaluations.
- Explicit options appraisal in complex policy development (ex-ante assessment can help inform counterfactual analysis (ex post))

Area of complexity	Project example	Aspect of mixed methods of use	Aspect of qualitative methods of use
Problem has multiple elements	Scottish Govt SEA Pathfinder research	Observational nature enabled clear picture of case studies and case study gave depth	In-depth understanding
Multiple agencies/actors/stakeholders involved	Catchment Base Approach (CaBA): Monitoring and evaluation (Phase 2)	Online surveys and comparative analysis allowed comparison of new and mature catchment partnerships. Case studies gave depth	Understanding of different perspectives from focus groups, observation and interviews
High degree of flexibility or tailoring / changes in the policy during implementation	Evaluation of the Biodiversity Offsetting Pilot Phase	Literature review, document analysis, interviews enabled comparison across very different cases	Quantitative indicators not appropriate: small sample size and non-random design of the pilot selection. Qualitative approach adopted
Lack of clarity in attribution of causality	Flood Resilience Community Pathfinder evaluation	Qualitative data to help understand quantitative findings	Providing a deeper understanding of outcomes and their potential link to impacts
Poor availability of information and monitoring data	Enhancing ex-post evaluation of flood and coastal erosion risk management plans and schemes	Use of interviews to fill in gaps where there was no quantitative data	Benefits were able to be fully described and their importance expressed

# Key questions for new evaluations

1. What is the **nature of the policy context** in which your evaluation is being carried out? Would you describe it as evolving, stable, unclear, high profile?
2. How far **are the objectives of the policy/intervention/initiative clear and amenable to evaluation?** Are the expected outcomes and impacts clear?
3. How far **are the objectives of the evaluation clear and achievable** given the nature/timing of the policy/intervention/initiative and the resources of the evaluation?
4. **Are there multiple stakeholders** involved as part of the steering group for the policy intervention/initiative? How far is there consensus across perspectives? Are their clear mechanisms in place to enable management of different perspectives?
5. **Is there a clear and active Project Manager for the evaluation?**
6. **What are the expectations of the client** in relation to the ability of the evaluation to evaluate longer term impacts?
7. **What types of complexity are most relevant to the evaluation?** [refer to the four categories and sub-categories]
8. **To what extent do you think your methods are appropriate for evaluating these complexities?** What strategies can you use to address these specific aspects of complexity?
9. **What types of impact are expected by your evaluation?** How will the client assess if they have been realised?
10. **How can you improve the impact of your evaluation?** Where are the points of influence within the evaluation?

# Summary

## Good evaluations need:

-  **clarity & consensus** on programme objectives
-  good **working relationship** with project manager
-  evaluation framework supported by a **clear logic model**
-  recognition of possible **delay in impacts**
-  **qualitative and mixed methods** to address complexity in nexus-related evaluations
-  to be **nimble and flexible** to respond to ongoing changes in policy purpose, design and implementation

## Learning lessons for evaluating complexity across the nexus\*

### Study

	Years of evaluation expertise	<b>10</b>
	Months of research	<b>5</b>
	Evaluations for diverse clients from local to European	<b>40</b>
	Case studies	<b>23</b>

### Case study categories

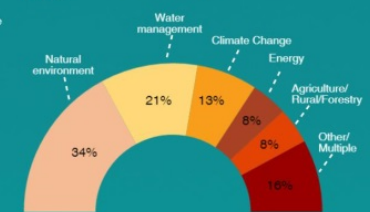
	EU policy interventions	<b>3</b>
	National policy interventions	<b>3</b>
	Programme level policy interventions	<b>9</b>
	Programme level initiatives	<b>8</b>

### Results

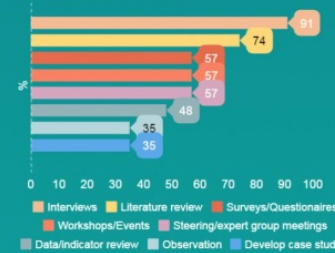
#### Types of evaluation use by case categories



#### Policy areas covered by evaluation cases



#### Types of evidence collection methods by evaluation cases (%)



#### Projects having different types of complexity (%)

- 57** Multiple actors/stakeholders
- 39** Problem has multiple elements
- 39** High degree of flexibility
- 35** Poor availability of data
- 30** Lack of clarity in causality
- 26** Multiple components included
- 22** Varied physical characteristics
- 17** Timescales of impacts
- 13** Range of possible outcomes
- 9** Socio-demographic sensitivity

### Good evaluations need:

-  **clarity & consensus** on programme objectives
-  good **working relationship** with project manager
-  evaluation framework supported by a **clear logic model**
-  recognition of possible **delay in impacts**
-  **qualitative and mixed methods** to address complexity in nexus-related evaluations
-  to be **nimble and flexible** to respond to ongoing changes in policy purpose, design and implementation

### Policy context for evaluations

UK	EU
Conceptual/strategic evaluation use	Instrumental evaluation use
Flexibility required	Rigid evaluation framework
Evolving policy context	Stable policy cycle



\*Sheate, W.R., Twigger-Fles, C., Papadopoulos, L., Sadauskis, R., White, O., Orr, P., Phillips, P., and Eales, R. (2016) Learning lessons for evaluating complexity across the nexus: a meta-evaluation of CEP projects, Final Report to CECAN, November 2016.

# Thank you!

- ✘ For more information go to [www.cecan.ac.uk/resources](http://www.cecan.ac.uk/resources)
- ✘ Summary: CECAN Policy and Practice note
- ✘ Full report:
- ✘ Sheate, W.R., Twigger-Ross, C., Papadopoulou, L., Sadauskis, R., White, O., Orr, P., Phillips, P., and Eales, R. (2016) Learning lessons for evaluating complexity at the nexus: a meta-evaluation of CEP projects, Final Report to CECAN, November 2016.
- ✘ Contact: [c.twigger-ross@cep.co.uk](mailto:c.twigger-ross@cep.co.uk)



# **Evaluation of capacity development: feedback to October team workshop**

**Pete Barbrook-Johnson**

**Based on slides and work by...**

**Dione Hills**

**Tavistock Institute**

**CECAN Fellowship**



# Evaluation of capacity development activities at CECAN

*"Evaluation is everywhere!"*

Evaluation  Reflection  good data  good analysis

Aim:

- ❖ To collate the data we have and supplement this where necessary
- ❖ Use this to give a picture of the reach, outputs and outcomes of CECAN capacity building activities
- ❖ Indicate how this might continue going forward

# Evaluation questions

What does capacity development involve?

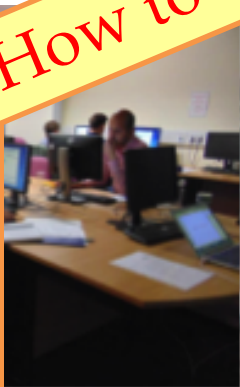
Whose capacity are we developing, where and how?

Is this working?

How to assess impact?

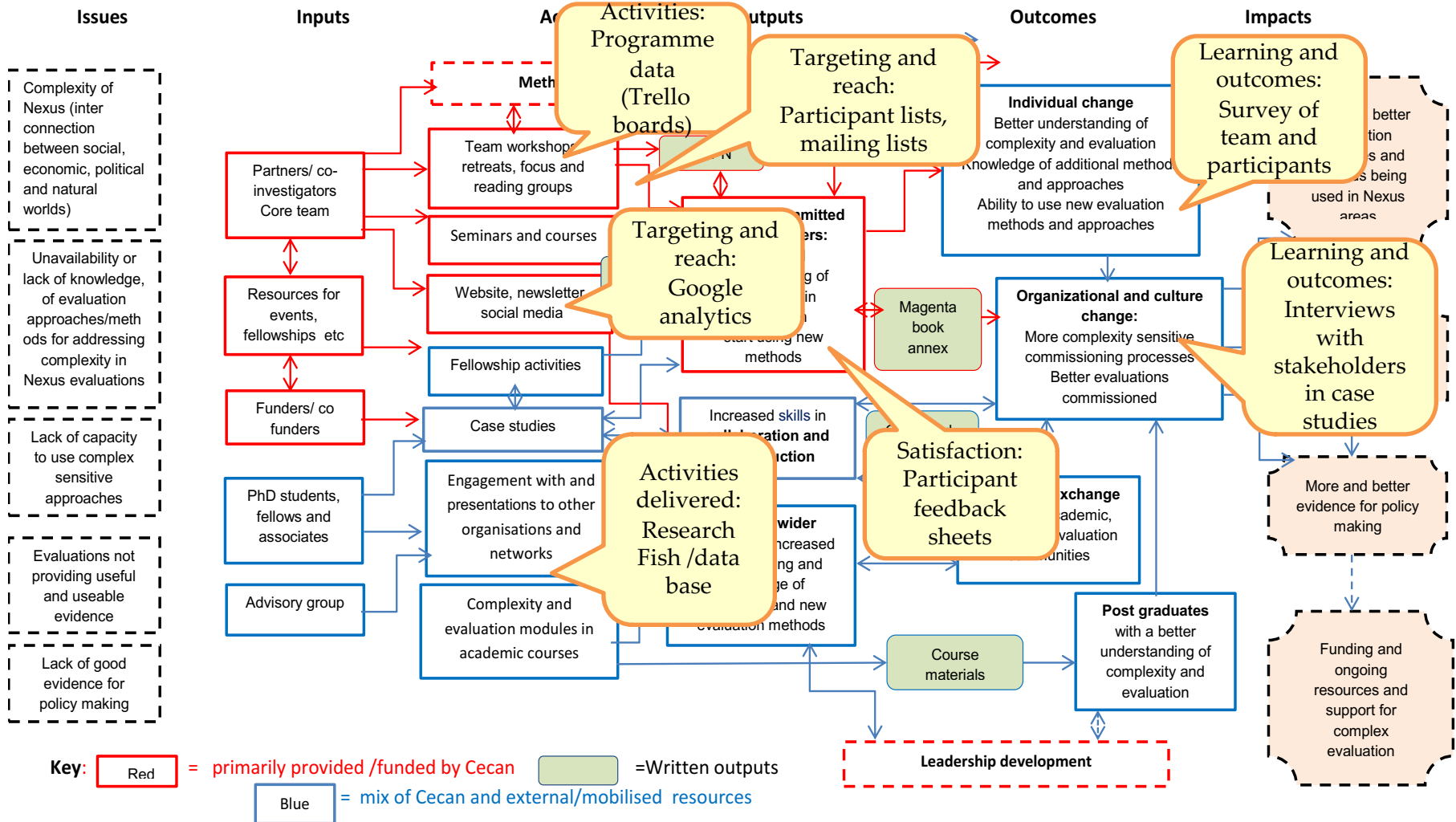


What works for whom, under what circumstances?



# How are we doing? Data sources

CECAN capacity building theory of change map



# Assumptions

## Activities to outputs

That key target groups will be

- ✘ willing and available to engage with Cecan activities and cross disciplinary/cross sectoral exchanges which will.....
- ✘ Lead to an increase in understanding , knowledge and skill in the use of complexity appropriate evaluation approaches

## Outputs to outcomes

That the promotion of understanding and knowledge of

- ✘ Complexity and
- ✘ Complexity appropriate evaluation methods and approaches and
- ✘ Cross disciplinary/cross sectoral working will
- ✘ lead to more complexity appropriate evaluations being commissioned and undertaken

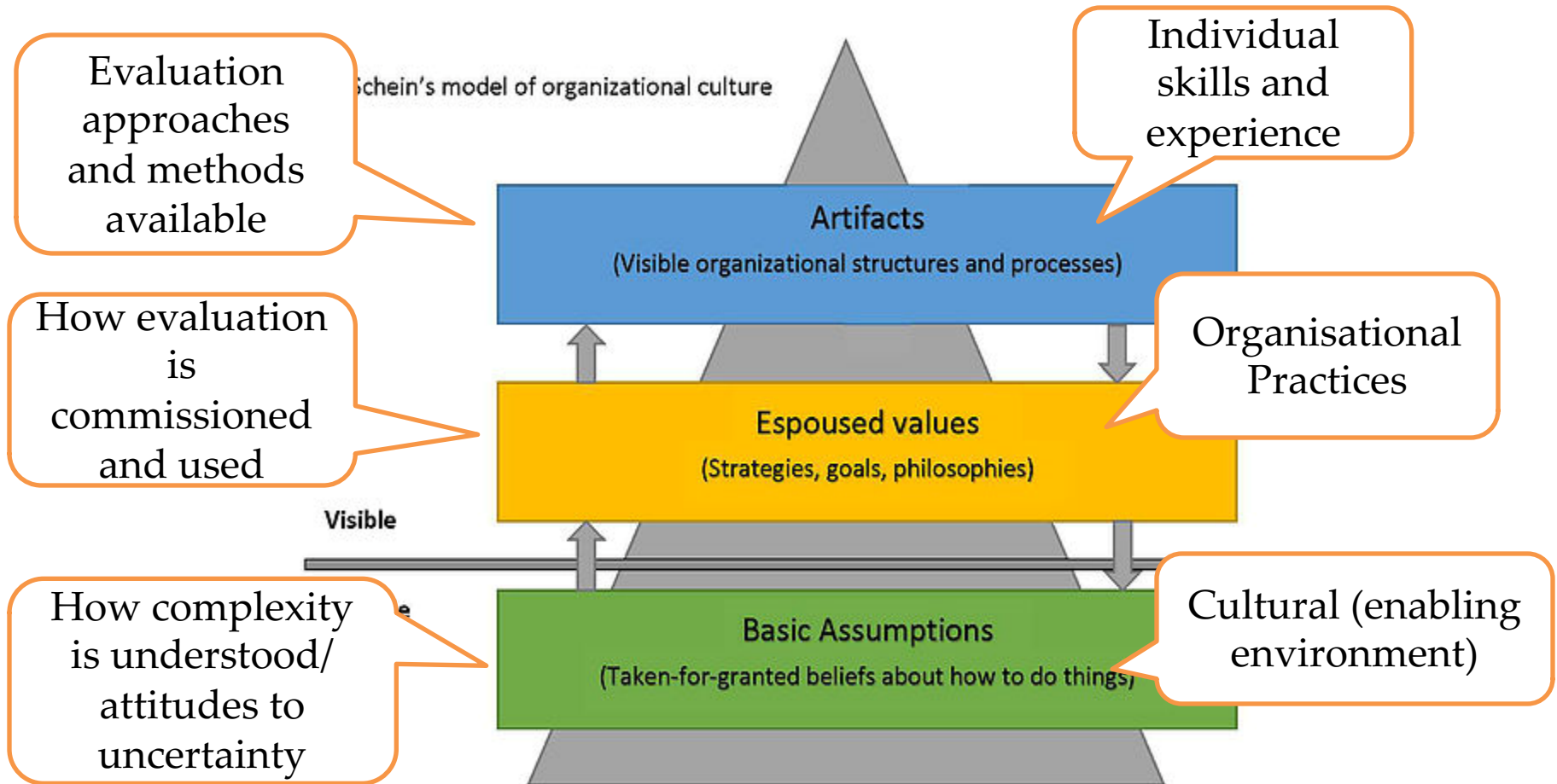
## Outcomes to impacts

- ✘ That this will lead to better evidence available for policy making

# What does capacity development (evaluation capacity building: ECB) involve?

- ❖ **Individual ECB:** skills, knowledge, and ability to use specific evaluation methods and approaches
- ❖ **Organisational ECB:** policies, strategies, resources
- ❖ **Cultural ECB:** (enabling environment): 'taken for granted' attitudes and behaviour surrounding commissioning, undertaking and use of evaluation

# Bringing about change in evaluation culture and practice





# Who are we reaching?

Organisations represented on mailing list	number	%
Academic	323	28.9%
Government departments	282	25.3%
Evaluator/Consultant (non academic)	69	6.2%
Nexus pract/campaign/research	61	5.5%
Industry/commercial	17	1.5%
General think tanks/campaigning	22	2.0%
Professional and trade associations	15	1.3%
Funding agencies	13	1.2%
Health sector	7	0.6%
Media/Press	6	0.5%

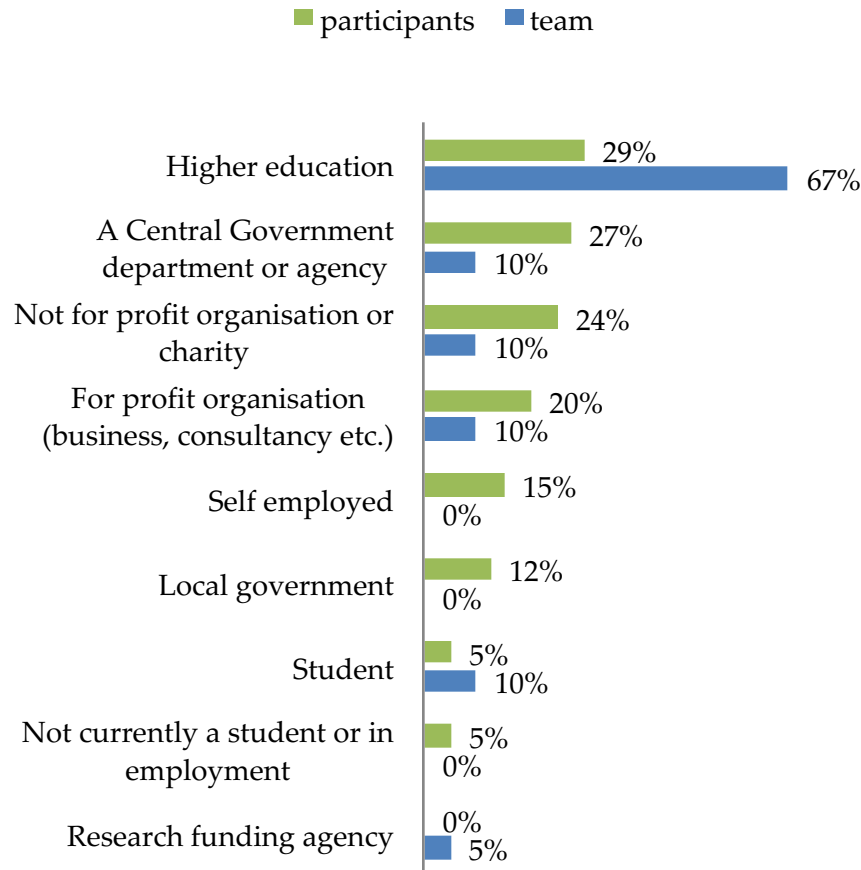


# Whose capacity are we building?

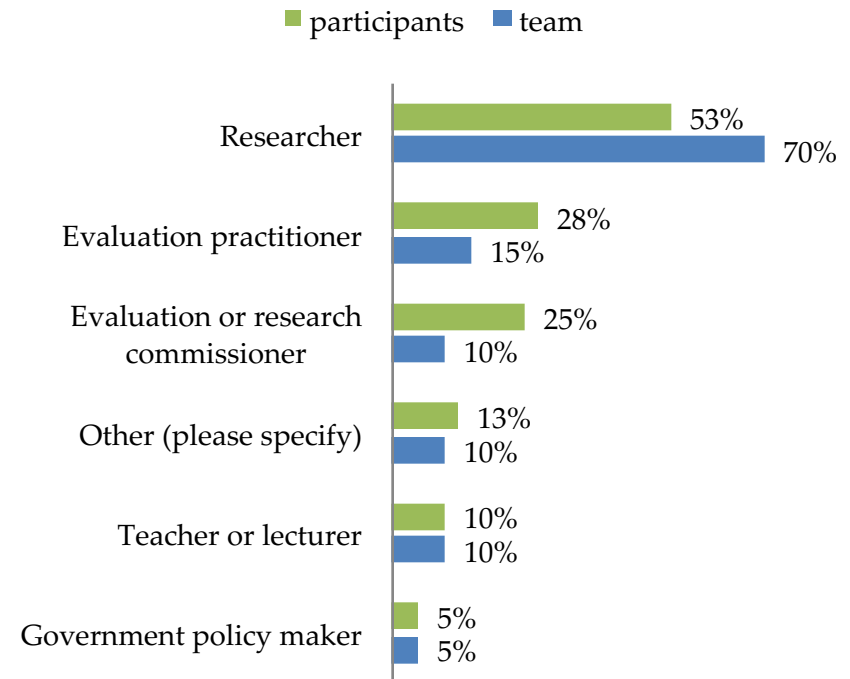
## Survey data re reach and participation

22 team members, 42 wider participants

### Employment and organisation



### Primary role

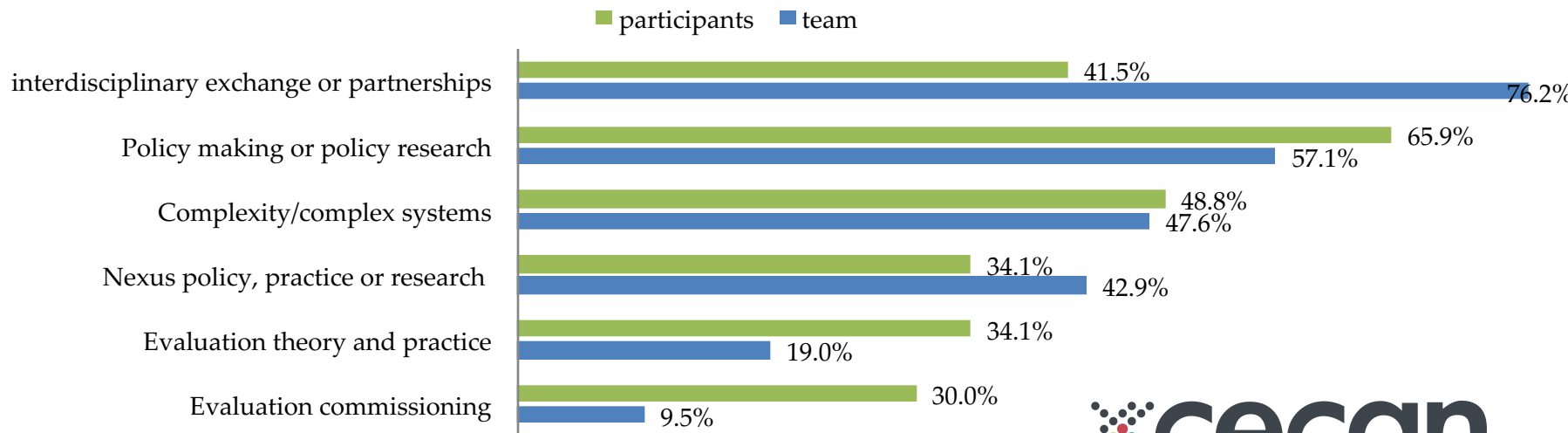


# Reach and participation: summary

- ✘ Good representation of government departments (282) and academics on mailing list (323) and seminar registration lists.
- ✘ Some representation from evaluation practitioners (69) and Nexus/ environmental groups (61)
- ✘ Other interesting groups: general think tanks (22), industry (17), professional and trade associations (15), other funding agencies (e.g. charitable foundations) (13) and the media (6) (potentially important influencers).....
- ✘ Survey respondents reported greater experience in fields of policy making, complexity or Nexus sectors than evaluation practice and commissioning

**% rating of prior experience as 4 or 5**

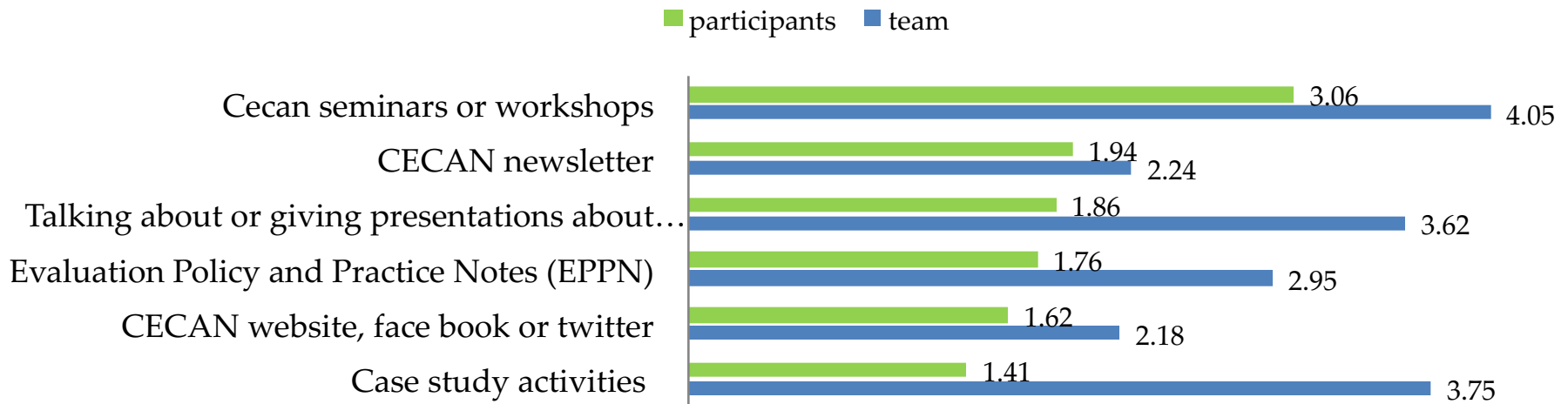
**(0 = no knowledge or experience and 5= considerable knowledge or experience)**



# Activities and outputs

- ❖ Seminars and workshops well attended and rated as making a strong contribution to participants' understanding in many areas
- ❖ Regular viewing of website and newsletter, less of seminar reports or EPPN
- ❖ Case studies and giving talks about CECAN rated as particularly helpful by team in developing understanding

## Rating of contribution of the following to understanding and confidence

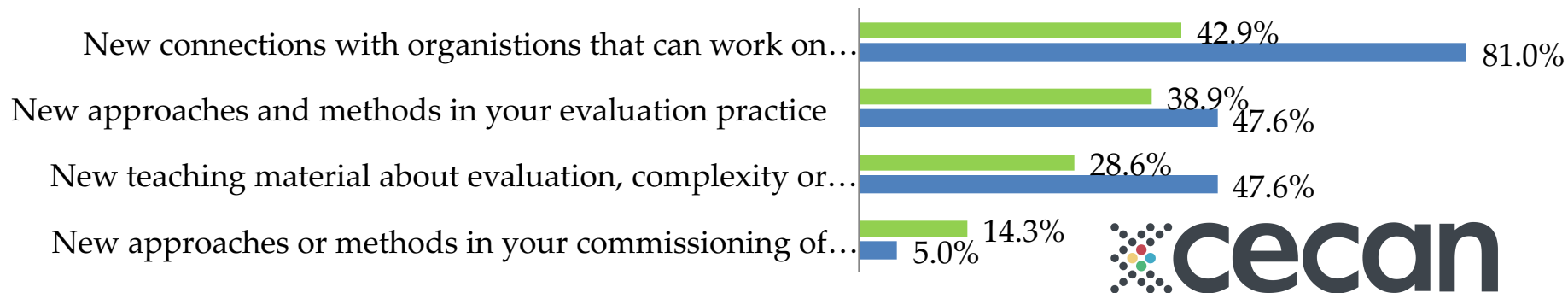


# Changes in understanding and practice

- ✘ High rating (3+) of increased understanding in all areas by many respondents in survey
- ✘ Many report being more confident to talk to colleagues about complexity and evaluation (slightly lower rating by participants than team members)
- ✘ New networks and connections welcomed, particularly by team members
- ✘ Between quarter and half of respondents report introducing new methods and approaches into their evaluation work or teaching activities

## % who have introduced the following into their work since being involved in CECAN activities

■ participants ■ team



# Going forward.....

## feedback from the survey

- ❖ Growing interest in complexity, and realisation of limitations of existing evaluation approaches seen as major opportunity but...
- ❖ Organisational and cultural contexts seen as obstacle to adoption of more complex appropriate approaches (time and money, unwillingness to use new approaches, siloed working practices)
- ❖ Wider participants keen to see more seminars and networking opportunities
- ❖ Team keen to see more engagement with policy makers and other sectors
- ❖ Interest in doing more work on the process and practicalities of evaluation, having greater engagement of evaluation practitioners and wider dissemination of our work

# And going forward on evaluation..

**Data on 'reach and participation':** Google analytics and collection of consistent information on people signing up to activities will increase understanding of reach

**Data on outputs and outcomes:** low response rates on feedback forms or surveys a major handicap: interviews potentially more effective but time consuming (who will do these?)

**Data on impact:** collecting this potentially time consuming and tricky.

## ✘ Individual

- Survey generated useful information about increased understanding and use of new methods and approaches - but need to increase response rates if repeated

## ✘ Organisational

- Interviews with key stakeholders (in case study activities) and review of ITTs and evaluations commissioned may provide information on changes in commissioning practices (process tracing, interviews with 'stakeholders at the boundary')

## ✘ Cultural

- A review content of post grad course , evaluation trainings, conference presentations and journal articles may indicate increased references to complexity and/or complex evaluation methods (hard to demonstrate causality)
- Interviews with stakeholders might indicate increase in willingness to 'work with' difficulties and unpredictability inherent in complexity

**Thanks – questions?**

**Cecan.ac.uk**

**@cecanexus**

**cecan@surrey.ac.uk**

**p.barbrook-johnson@surrey.ac.uk**



