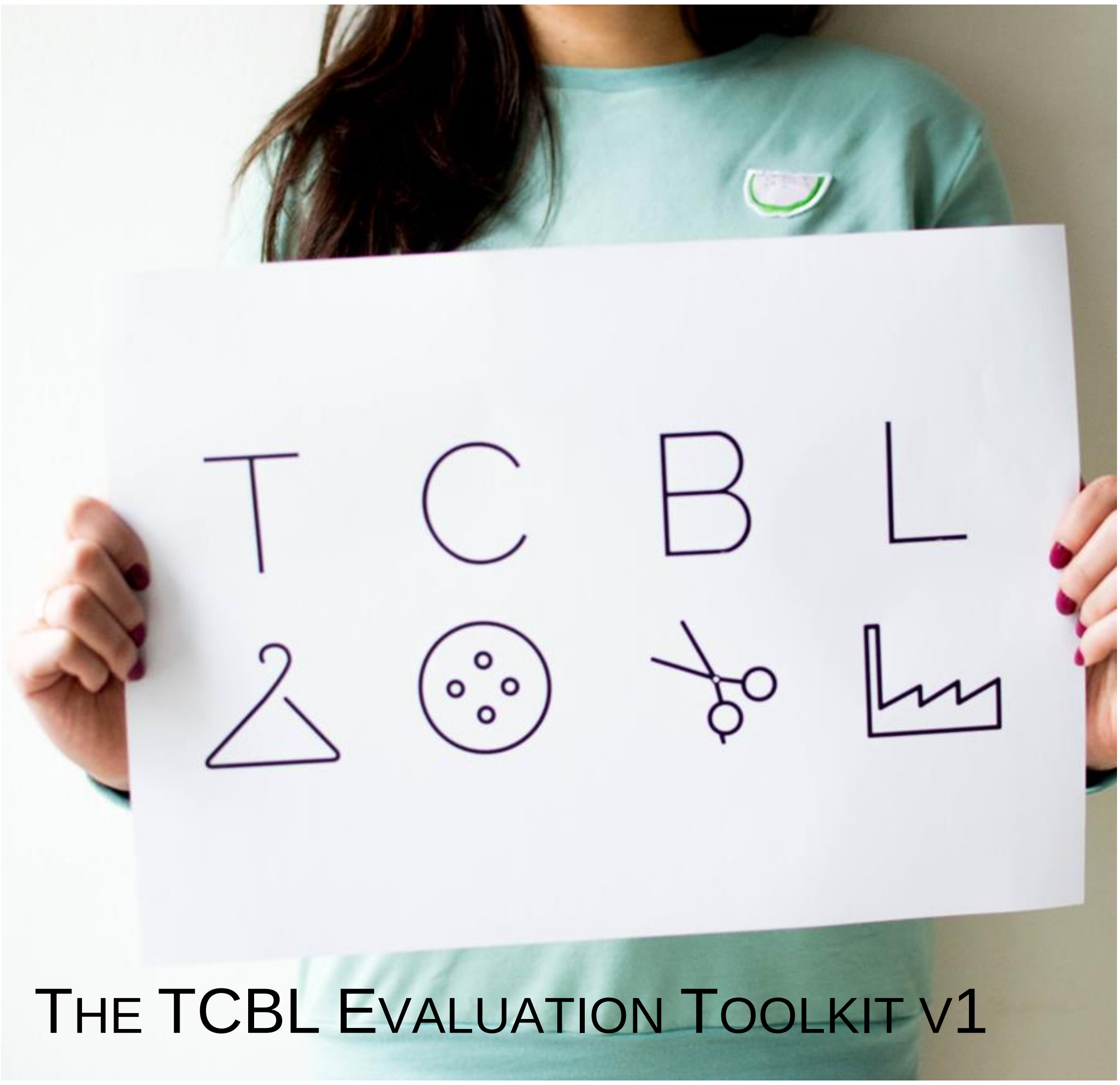

THE TCBL EVALUATION TOOLKIT V1

AUTHORS

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1. INTRODUCTION

1.1 PURPOSES AND OBJECTIVES OF THE TOOLKIT

The Evaluation Toolkit aims to support effective evaluation for TCBL, enabling delivery of all of the evaluation activities and results over the lifecycle of the project. Our approach to developing and using this Toolkit diverts from the traditional approach, which typically entails producing a static document containing procedures, methods, tools and templates. Instead, the Toolkit is designed to produce an evolving, knowledge-based resource. This resource combines the following elements:

- An 'internal' set of procedures that will be used by the evaluation team (TIHR) to carry out the evaluation
- A set of methods, tools and templates, housed in the TCBL on-line platform, to help partners carry out evaluation activities and collect evaluation data that can be tailored to their own specific needs, as well as contributing inputs to the overall TCBL evaluation
- Regular evaluation results updates, available to partners through the 'evidence snapshots' outlined above
- A series of evaluation seminars, timed to coincide with Partners Meetings to supplement these evidence snapshots
- A series of on-line 'evaluation webinars' covering evaluation topics of interest to partners and stakeholders.

1.2 STRUCTURE AND CONTENTS OF THE TOOLKIT

The Toolkit structure and contents, shown in Table 1 below, reflect the five elements outlined above.

Table 1. Structure and Contents of the Toolkit.

Element	Who for	Contents	Location
Internal procedures and instruments	TIHR evaluation team	• Partner Survey • Action Learning Set • Stakeholder Interview • Process Dashboard • Critical Incidents Log • Ecosystem Dashboard and Map • Longitudinal Case Study • Counterfactual Analysis	Section 2
Partners toolkit	TCBL Partners	• On-line resources for partners to do evaluation	Section 3
Evidence Snapshots	TCBL Partners	• Summary of periodic evaluation reporting approach	Section 4
Evaluation Seminars	TCBL Partners	• Description of evaluation seminars	Section 5
Evaluation Webinars	TCBL Partners	• Description of evaluation webinars	Section 6

As noted above, the Toolkit is intended as an ‘evolving resource’ that grows as the project develops. This first ‘baseline’ version contains content and resources that are relevant in the first phase of TCBL. For example, except for some preparatory activities, this first Toolkit includes very few resources to carry out the ‘summative’ evaluation that is scheduled towards the end of the project, and which will be shaped by the way TCBL evolves. As the project develops, content and resources will be added in line with the evaluation and project life cycles.

2. INTERNAL EVALUATION TOOLKIT

2.1 WHAT THIS SECTION CONTAINS

This Section provides procedures, tools and templates for the TIHR evaluation team. Table 2 summarises what is in this Section. The procedures, tools and templates cover the four different ‘modes’ of the evaluation - ex-ante (design), developmental/process (formative); outcomes (summative); learning - as indicated in Column 2 of the Table. Because they are mostly designed as ‘generic’ applications that need to be adapted to specific evaluation settings, some of them cover two or more modes.

Table 2. Contents of Section 2.

Section	Evaluation Mode	Title	Contents
2.2	Process	Internal Partner Survey	Collects data on partner perceptions of implementation of TCBL. Scheduled to coincide with cycle of partner meetings and GA’s.
2.3	Design/ Process/ Learning	Action Learning Set	Generic tool to run interactive workshops with partners and stakeholders.
2.4	Design/ Process/ Summative	Stakeholder Interview	Generic tool to collect data from ‘key informants’.
2.5	Process/ Summative	TCBL Process Dashboard	Regular monitoring of TCBL evolution and progress using data collected on business innovations developed, use of business platform and tools, interdependencies and networks developed, Labs, pilots and factories developed and running, Call responses, business ideas produced and implemented.
2.6	Process/ Summative	Critical Incidents Log	Monitoring tool to record and analyse significant events that happen as the project evolves
2.7	Process/ Summative	Ecosystem Analysis Dashboard and Map	Integrates data from project platforms and tools to map how the ecosystem develops over time. Provides snapshots of the state of the ecosystem at key transition points.
2.8	Process/ Summative	Longitudinal Case Study	Representative sample of ecosystem actors (Labs, pilots) capturing data on how they evolve, their interactions with other actors and the outcomes of their involvement in TCBL.
2.9	Summative	Counterfactual Analysis	Preparatory work for process tracing-contribution analysis, covering: i) review of Theory of Change ii) specification of conceptual framework for the process tracing, together with the initial hypotheses to select and interpret pieces of evidence and the outcomes to be analysed; iii) specification of the attribution problem for the contribution analysis, assumptions underpinning the theory of change, the risks to realisation of the intended outcomes and impacts, how strong or weak are the links in the underlying causal chain, and the strength or weakness of available evidence.

2.2 PARTNERS SURVEY

PURPOSE

To periodically collect data on partners' perceptions of how TCBL is being managed and how it is progressing. The data analysis feeds into TCBL's project management and also into the summative evaluation.

PROCEDURE

The Survey is intended to be delivered as a cross-sectional 'snapshot' survey at point in time throughout the project life cycle. The Survey should be e-mailed to all members of the Consortium, i.e. everyone's views should be collected rather than one institutional survey per partner organisation. This should be done at least 2 weeks before scheduled Partners Meetings/GA's. Note the Survey needs to be e-mailed – not available on MyMinds – to ensure responses remain anonymous. The data should then be entered into a spreadsheet and analysed. Each successive round of surveys should be entered into the same spreadsheet to enable a time series analysis of the data to be carried out.

Partner Survey Questionnaire

Name: ____

Partner
Organisation:____

For each question please think about your experience of how ① Project Management, ② Communication System and ③ Scheduled Objectives have been carried out in TCBL and for each aspect indicated, write down:

in Column A, any problems you have experienced;

in Column B, what changes or improvements you would like to see;

in Column C, your satisfaction with this particular aspect of the project (write in the number which applies, using the following scale):

-2	-1	0	1	2
very dissatisfied	dissatisfied	neither satisfied nor dissatisfied	satisfied	very satisfied

Views on Project Management Issues: Problems, Suggestions for Changes and Satisfaction Rating

Aspect	(A) Problems	(B) Changes You Would Like to See	(C) Satisfaction (-2 To +2)
Governance (decision-making and consultation			
Co-ordination of activities			
Progress control and monitoring			
Quality control			
Financial matters			

Are there any other points or suggestions on project management you would like to make?

Communications and Collaboration: Problems, Suggestions for Changes and Satisfaction Rating

Aspect	(A) Problems	(B) Changes You Would Like to See	(C) Satisfaction (-2 To +2)
Technical Matters (e.g. using project platform And tools)			
Communication and Co-Operation Between Partners			
Communication and Responses From Co-Ordinator			
Communication with The European Commission			
Communication With External Stakeholders			

Are there any other points or suggestions on communications and collaboration you would like to make?

Meeting Objectives and Targets

Aspect	(A) Problems	(B) Changes You Would Like to See	(C) Satisfaction (-2 To +2)
Keeping to overall project workplan			
WP1 Knowledge Spaces			
WP2 Knowledge Exchange			
WP 3 Business Labs			

Aspect	(A) Problems	(B) Changes You Would Like to See	(C) Satisfaction (-2 To +2)
WP4 T&C Business Pilots			
WP 5 Business Process Support			
WP6 Scaling up and Sustainability			
WP7 Business development			
WP8 Communication and dissemination			
WP9 Project Management			

Are there any other points or suggestions on meeting objectives and target you would like to make?

Are there any other comments on TCBL you would like to make?

2.3 Action Learning Set

Purpose

The ALS is a generic procedure and tool for group work in TCBL. Its' main purpose is to support collaborative learning.

Procedure

It is intended to be used in the following evaluation modes and scenarios:

- In 'design' (ex ante) mode – through partner 'sensemaking' workshops in each of the transition phases. This will involve representatives of all partners meeting either face to face or online in order to: discuss, review and amend the evolving TCBL theory of change; review past and discuss upcoming project activities in light of the updated theory of change; review and where necessary amend the indicator system and evidence collection method.
- In 'developmental' (process) mode – to valorise and disseminate learning from the evaluation at key time points in the project lifecycle (i.e. transition points), for example to present and review the 'evidence snapshots' delivered over the lifecycle of TCBL
- In 'summative' mode – for example towards the end of the Project through an interactive partner workshop to reflect on lessons learned and to support future sustainability.

A specific Action Learning Set will need to be tailored to: the evaluation 'mode' in which it is applied; the topic(s) to be addressed; the participating audience (their profile and expectations).

Action Learning Set Guidelines and Template

What's this for?

The ALS is a generic template for group work in TCBL. Its' main purpose is to support collaborative learning. It is intended to be used in the following evaluation modes and scenarios:

- In 'design' (ex ante) mode – through partner 'sensemaking' workshops in each of the transition phases. This will involve representatives of all partners meeting either face to face or online in order to: discuss, review and amend the evolving TCBL theory of change; review past and discuss upcoming project activities in light of the updated theory of change; review and where necessary amend the indicator system and evidence collection method.
- In 'developmental' (process) mode – to valorise and disseminate learning from the evaluation at key time points in the project lifecycle (i.e. transition points), for example to present and review the 'evidence snapshots' delivered over the lifecycle of TCBL
- In 'summative' mode – for example towards the end of the Project through an interactive partner workshop to reflect on lessons learned and to support future sustainability.

A specific Action Learning Set will need to be tailored to: the evaluation 'mode' in which it is applied; the topic(s) to be addressed; the participating audience (their profile and expectations).

The purpose of this document is to provide the context for running Action Learning Sets as part of the overall TCBL evaluation; to offer some simple steps for setting them up and provide more detailed resources and guidelines on working in this way.

What is a TCBL Action Learning Set?

- A group of people working with a facilitator bringing to the surface and exploring issues arising from the TCBL activities
- Sharing real issues, problems or opportunities arising from the TCBL activities
- Questioning and challenging in relation to learning from TCBL
- Making action points in order to support the over-arching TCBL objective of bringing about innovation and change in the T&C sector

Purposes and Objectives of the ALS

The 'classical' action learning set 'cycle' is shown in Figure 1. As Figure 1 shows, the main purposes and objectives of running an ALS are:

- to identify the problems and issues that need to be explored to support the over-arching TCBL objective of bringing about innovation and change in the T&C sector
- to collaboratively analyse these problems and issues in the light of available evidence
- to reflect on and evaluate the evidence
- to decide on the next steps (actions) that should be taken

Figure 1. Cycle of learning promoted in an ALS.

PROCEDURE FOR RUNNING AN ALS

Introduction – facilitator explains:

- the focus and 'boundaries' within which the ALS participants will be working (e.g. if the focus of the ALS is on 'problems', define the 'presenting problems'; if the focus is on reviewing results – as in an 'evidence snapshot', specify the evidence that will be reviewed)
- the questions the workshop will explore
- how the group will work
- the agenda and timeframe for carrying out the tasks of the workshop
- the expected outputs and outcomes of the workshop and how these will be used.

Implementation –the facilitator co-ordinates the running of the workshop, ensuring that the specified questions are covered within the allotted time. The tools usually required to do this are:

- presentational tools – e.g. lap-top, projector, powerpoint
- data collection tools – e.g. flip chart, audio, video recording (ensure that 'informed consent' is obtained from participants for data collcetion purposes), 'post-it' notes.

Summary and Review – the facilitator presents a summary of the results of the collaborative group work, using an appropriate method (e.g. flip chart). The group as a whole are then invited to:

- discuss and review the summary, identifying posible corrections, points of disagreement, additional points that need to be included
- agree on a final summary (including, if appropriate 'dissenting opinions').

Action points and close-down – the facilitator then invites a group discussion on the actions and next steps that are appropriate. This could cover:

- any follow-up group events that need to be scheduled on the topic of the ALS
- new actions/activities that could be developed
- who should be involved
- the timing of these actions/activities.

The facilitator then explains how the results of the workshop will be used (including proposed dissemination – e.g. uploading a report on the workshop to the Project platform) and then closes the workshop.

ALS WORKING MODES

There are a number of working modes and styles that can be adopted to run the ALS. The design of the workshop – and its working mode – should take into account who the participants are and what they would feel comfortable with. Essentially, the guiding principle of the ASL is on collaborative learning, so 'transmissive' modes of working – for example where the participants are 'presented to' and remain largely passive consumers of information – are to be avoided.

Three modes of working that are typically used are:

- Open Forum
- ‘Learning Café’ style
- Role-playing

Open Forum

The Open Forum method focuses on ‘whole group’ work. The ALS would typically be delivered in a ‘Round Table’ format. The questions to be addressed and the tasks to be carried out are worked with sequentially through open discussion between the whole group, guided by the faciitator.

Learning Café

The Learning Café format adopts a combination of ‘small group’ and ‘whole group’ work. Small groups – normally around 3 in number – can be assigned a particular set of questions, or tasks to work on in a ‘break-out’ space. However, these small groups are fluid – i.e. participants in each small group will move on to another small group at regular intervals, so that all participants will have engaged with all the small groups over the duration of the workshop. Each small group needs to be assigned its own faciitator.

The small groups will merge into a ‘whole group’ at key points in the workshop – for example to review and discuss the results of each small group and produce an integrated summary for the group as a whole.

Role-playing

The Role-Playing format adopts some of the principles, procedures and tools of Tavistock ‘Group Relations’ and P3C programmes, so that the classical ALS is modified to introduce an element of ‘role playing’, in which different stakeholder groups take on the ‘point of view’ of other groups in order to explore a problem or reflect on an action that needs to be done. One reason for doing this is to try to ensure a more balanced reflection of different stakeholder ‘voices’, since often the less powerful voices tend to be drowned by the more powerful stakeholders. The role-playing element of the ALS enables these less powerful voices to at least be represented in some form. In this form of ALS, the whole group is sub-divided into usually three small sub-groups, each of which takes on the point of view (PoV) of its assigned group in order to carry out a common task. Figure 2 illustrates how this works.

As Figure 2 on the following page shows, in this case, three small groups have been set up to collaborate on a common task of developing a revised Theory of Change for CBL, based on the first round results of the longitudinal case studies. These take on the Point of View of TCBL partners, pilots and individual entrepreneurs.

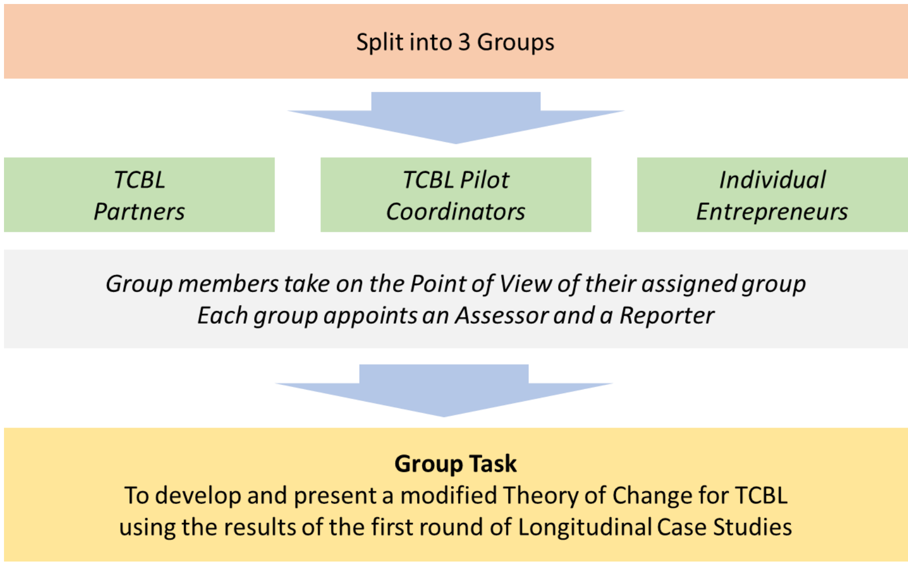

Figure 2. ALS in 'role-playing' mode.

An example of this type of ALS is provided below.

Reporting on Outcomes and Results

A template for reporting on the outcomes and results of the ALS is provided following.

Resources

There are a number of detailed and comprehensive guides available that you can refer to when running your ALS.

http://www.intrac.org/data/files/resources/733/Action-Learning-Sets-An-INTRAC-guide.pdf

http://ifal.org.uk/action-learning/origins-of-action-learning/

http://www.actionlearningassociates.co.uk/

A practice based article on using action learning sets

Action Learning – Improving Organizational Performance through Team Learning

http://www.cfar.com/sites/default/files/resources/BN_AL_Improve_Org_Performance.pdf

ALS Reporting Template

Title of ALS	
Date Implemented	
Facilitated by	
Participants and their organisations	
Mode of delivery	☐ Open Forum ☐ Learning Café ☐ Role Playing ☐ Other (specify)
Purpose and Objectives	
TCBL Areas Covered (e.g. WP number, tasks)	
Topic(s) or subject(s) covered	
Issues covered	
Key questions covered	
Summary Report Provide a brief summary of the main results of the ALS	
Follow-up actions/activities List any actions/activities planned, including what, who and when	
Other relevant observations/ comments not covered above	

Example of running an ALS in 'Role-playing' mode

Purpose of the ALS

To develop a revised Theory of Change for CBL, based on the first round results of the longitudinal case studies.

Structure and Agenda

09.00 – 09.15	Welcome and Introductions
09.15 – 09.30	How the ALS works – procedures and rules
09.30 – 10.00	Presentation of TCBL 'Theory of Change'
10.00 – 10.15	*Questions and Discussion*
10.15 – 11.15	Small group work
11.15 – 11.30	*Break*
11.30 – 12.00	Presentation of results of small group work
12.00 – 12.45	Group Discussion – summary and review of the TCBL 'Theory of Change'
12.45 – 13.00	Next Steps and Future Planning

Resources

- Results from the first round of the longitudinal case studies
- The evaluation team
- The participants themselves
- Flip charts

Procedure for small group work

Divide into three roughly equal groups.

- Group A: Takes on role of TCBL partners
- Group B: Takes on role of TCBL pilot coordinators
- Group C; Takes on role of individual entrepreneurs involved in, or associated with, a pilot

Groups A, B, C elect a representative.

The role and task of the representatives is to act as a mediator in a dialogue with the other groups. The representatives can visit the other groups and ask questions. The other groups can ask the other representatives to visit their group.

Each group is assigned a Task.

- The Task for Group A is: to review the 'presenting problems' TCBL wants to address; the assumptions behind these problems; the expected impact on these problems at the end of the Project and the 'assumptions' underlying this expected impact – ***from the point of view of the partners***.
- The Task for Group B is: to review the 'presenting problems' TCBL wants to address; the assumptions behind these problems; the expected impact on these problems at the end of the Project and the 'assumptions' underlying this expected impact – ***from the point of view of the pilot co-ordinators***.

- The Task for Group C is: to review the ‘presenting problems’ TCBL wants to address; the assumptions behind these problems; the expected impact on these problems at the end of the Project and the ‘assumptions’ underlying this expected impact – ***from the point of view of the entrepreneur***.

Presentation of Small Group Work

Each group Representative presents the results of their group work in turn.

The small group members are invited to add to, correct and explain the presentation.

Group Discussion

The three small group presentations are discussed in open fórum by the whole group. A comparison of the similarities and differences between the three presentations are listed.

The group agrees on a final integrated position on any revisions that are needed to the TCBL Theory of Change.

Action Points and Close Down

The group discusses and agrees on the action points and activities that are now required to take forward the learning from the workshop.

2.4 STAKEHOLDER INTERVIEW

PURPOSE

The Stakeholder Interview is a generic procedure and tool based on a semi-structured interview that enables more in-depth information to be gathered on an evaluation topic than would be possible using a survey approach. The Stakeholder Interview will typically be carried out with a 'key informant' with in-depth knowledge of the topic. The tool is planned to be used in the following evaluation scenarios in TCBL:

- In 'design' (ex-ante) mode, for example to assess partner's evaluation needs
- In 'developmental' (process) mode, for example as a tool used in the longitudinal case studies to gather information on a business owner's expectations of participating in TCBL
- In 'summative' (outcomes) mode, for example as part of the economic evaluation to assess the social rate of return (SROI) for an enterprise in participating in TCBL.

PROCEDURE

The instrument used for data collection is a semi-structured interview schedule. This allows scope for the interviewer to shape the questions according to the expertise and background of the interviewee and to tailor the question content to the interviewee's responses as the interview progresses.

In essence, the aim of the interview is to allow the interviewee to express his or her opinions as they emerge, with the interviewer steering the course of the interview by asking open-ended questions that are nonetheless structured to reflect the common research areas of the case study. To support this process, an example of a Guideline for a stakeholder interview is provided below. This is based on a number of themes, preceded by an initial set of background-setting questions.

Each theme has three kinds of questions:

- main questions – these address the research areas from a general perspective, by 'setting the scene' for the discussion
- supplementary questions – these drill down more deeply into the general questions. The interviewer should pose these questions on the basis of the interviewee's response to the main questions, as appropriate. The interviewee should write down the supplementary questions asked in the space provided in the Guideline below
- clarifying questions – intended to clarify and expand the responses to the additional questions, for example 'So what you are saying is ….. 'Can you give me more detail on…….. 'Can you give me an example of……..

The key informant interview process is as follows:

- The interview should begin with an explanation of the interview objectives and how the interview will be carried out.
- The interviewer goes through the questions shown in the Guideline sequentially. The responses can either be recorded – having obtained the interviewee's permission – or

the responses can be taken down in written (note) form. **Note**: there is no need to fully transcribe the interviews (unless a particular interviewer feels this would be helpful in producing the summary).

Data Analysis

On completion of the interview, the interviewer should summarise the key results of the interview using a content analysis procedure, as set out below.

Analysis of Stakeholder Interview Data using Content Analysis

In a nutshell, content analysis of interview material is aimed at scanning the material to find examples of 'evidence' that will enable us to answer the research questions. This can be done in two ways – manually, or by using software (either using 'Word' and then searching the text for key words or using a specialist content analysis software package like NVivo). The manual approach uses a method based on 'reduction' (Creswell, 1998). In practice, this requires:

- an initial reading of the item being analysed, looking for examples of the key themes and evaluation questions covered and any additional themes suggested by the Key Informant interview
- making a note of the substantive points and issues that crop up as the reading progresses in relation to these themes, and the 'emerging constructs' that can be identified that define these substantive points and issues
- returning to the notes made of the reading, and the list of constructs identified and clustering together those that are similar to make a 'master list' of key constructs.
- re-reading the item and analysing it more systematically to find examples of the 'master list' of constructs, and recording in the content analysis template descriptors of examples of each construct that can be identified in the text.

Example of a Stakeholder Interview Topic Guideline

The example following illustrates the application of a stakeholder interview in 'ex-ante' evaluation mode – in this case to identify the evaluation needs of TCBL partners.

TCBL PARTNER INTERVIEWS TOPIC GUIDELINE

Interviewee Name ______________________

Date ______________________

Interviewer ______________________

INTRODUCTION

As you know, Task 6.3 of the TCBL DOA deals with process and impact evaluation. In broad terms, our task is to investigate the innovation dynamics amongst the different stakeholders of the TCBL ecosystem and their different goals, objectives, and criteria of success and in terms of the following sequence:

1) Ongoing collection and assessment of business model innovations
2) Analysis of the manifest and hidden interdependencies between these innovations and the broader sectorial, socioeconomic and policy related aspects
3) Transformation of this holistic, multi-dimensional framework into a set of strategic and operational guidelines for the various stakeholders involved, adopting a non-technical language that can foster immediate adoption, imitation and diffusion" (pp18-19).

We will produce two types of deliverables: the evaluation approach (in month 9) and then annual evaluation results reports.

We are currently working on the design of the TCBL evaluation and are keen to ensure that this meets the needs of partners and external stakeholders. To this end, we are interviewing one or two representatives from each TCBL partner to ensure we understand:

- Views on key aspects of TCBL as well as partners' roles in the project;
- Views on the evaluation;
- Potential for collaborating on data collection.

The interviews will be carried out during November (and possibly early December) and should take approximately 1 hour. Answers given will be treated as confidential, so we will not attribute quotes or opinions to an individual or partner. Once all the interviews are completed, we will analyse the responses and feed them into the design of the evaluation and related tools.

ABOUT YOU

1. What is your organisation and what do you do there?
2. Why did you get involved in TCBL?

ABOUT TCBL

3. What is innovative about TCBL?
4. What do you see as :
    a. Main short term results of TCBL?
    b. Key longer term impacts of TCBL?
5. How, in your view, will these be achieved?
    a. What project activities, if any, are critical to achieving the envisaged outcomes and impacts?
6. What challenges do you envisage for TCBL?

    a. How might these affect achievement of envisaged outcomes and impacts?

About the TCBL evaluation

7. What do you see as the main purpose of evaluation in TCBL?
8. Who in your view is the main audience for the evaluation?
    a. How do you think this audience might use the evaluation findings?
    b. What kind of data or information would they need to see in the evaluation findings to make these findings credible and acceptable?
9. How might you use evaluation findings for your own work in TCBL?
    a. What kind of data, information or activities would be helpful to you?
    b. When (at what points or intervals) would you need information from the evaluation to be able to use it?
10. Do you envisage any particular issues or problems for evaluation in TCBL? Are there things about the evaluation that worry you?

Your WPs / tasks, data collection and evaluation

11. Please describe in your own words the content of the WPs and / or tasks you lead.
    a. In your role as WP / task lead, how do you (will you) work with others in the WP to shape and deliver the research activities?
12. Would you say that the content of these WPs / tasks has changed since the start of the project? In what ways, and why?
13. What data do you envisage collecting routinely as part of implementing your tasks / WPs?
    a. How frequently will this data be collected (and in what format)?
    b. How / for what purpose will you use / analyse this data?
    c. Would you be willing to share this data (or a sub-set) with us for the purposes of the TCBL evaluation?
    d. Would it be possible to add evaluation relevant items (questions, information categories, data queries, …) into your routine data collection / analysis activities? If yes, what do you need from us and when?
14. Would you be prepared to support the collection of additional data for the purpose of the TCBL evaluation?
    Examples of possible data collection methods may include: distributing surveys; supporting identification of case studies and relevant contacts; supporting data analysis, …
15. What would you need from us to support data collection for the evaluation?
    Prompt, if necessary:
    a. *Research (methods) training?*
    b. *One-to-one support?*
    c. *A toolkit? What should this look like to be helpful?*
    d. *…*

Further information / comments

16. Is there anything else you would like to say about the importance / role of evaluation in TCBL?

2.5 TCBL PROCESS DASHBOARD

PURPOSE

The TCBL Process Dashboard has four purposes: i) to enable monitoring of project progress set against key progress indicators, or baselines ii) to provide a picture of where TCBL is in relation to the 'change journey' specified in the project 'Theory of Change' (and also to review whether the underlying assumptions and hypotheses embedded in the project ToC hold true or need revision) iii) to provide an evolving database and record of evidence that can feed into the implementation of the evaluation 'counterfactual analysis' (outlined below) iv) more broadly, to feed data into the overall summative (outcomes) evaluation of TCBL (including the counterfactual analysis).

PROCEDURE

The Dashboard incorporates three elements:

- Key Progress Monitoring Indicators – this a list of baseline core outputs specified in the project proposal (and contract), defined as 'evidence of success', that together build up a snapshot at a point in time of the extent to which TCBL is meeting its planned operational objectives.
- ToC Distance Travelled indicators – these provide an indication, at a point in time, of the 'distance travelled' by the project in relation to the 'change journey' set out in the TCBL baseline Theory of Change. They focus primarily on a set of expected core outcomes associated with project outputs, but also reflect the 'causal pathways' embedded in the ToC and the extent to which these can be substantiated
- Evidence status indicators - these drill further down into the causal pathways embedded in the TCBL ToC to provide an indication of the quantity, nature and strength of the items of evidence required to deliver the 'counterfactual analysis' element of the project summative evaluation (see Section 2.9 below).

These three dashboard elements and their associated indicators are regularly monitored and updated in line with the TCBL project and evaluation life cycles. An integrated spreadsheet containing the process monitoring data is uploaded to MyMinds. Data entry and updating for the three elements enables a 'snapshot analysis' of TCBL's progress to be carried out, which feeds into the 'evidence snapshots' produced in the evaluation 'learning mode' (see below), and which provides a set of time series assessments that ultimately feed into the overall summative evaluation of the project. The scheduled timing of these snapshots are as follows:

- Key Progress Monitoring Indicators: timed to coincide with and feed into Project Progress Reports (every six months)
- Distance Travelled Indicators: timed to coincide with the key transition phases of TCBL and their associated key milestones: 1 – Set-up (end Month 12); 2 – Internal Pilot cycle (end Month 24); Real Business Engagement and Impact (end Month 39); Scaling up and Out (end Month 47).
- Evidence status indicators: timed to assess the available evidence for the counterfactual evaluation at key points in the evolution of the TCBL project and ecosystem: phase 1 – 'Preparatory phase' (Month 15); phase 2 – 'Descriptive Inference' phase (Months 15 – 45) – this phase has 'sub-timings' that link to the key

milestones in the project; phase 3 – 'Causal Inference' phase (Months 45-48) – integration of evidence and application of probability tests.

The three elements of the Process Dashboard are shown in Table 3 below.

Table 3. Process Dashboard.

KEY PROCESS MONITORING INDICATORS

Dimension	Indicators	Status at: 30/06/16	Status at:
Knowledge Creation and Exchange	No. Information objects uploaded in Knowledge Spaces	458	
	No. Information objects downloaded in Knowledge Spaces	(tracking not yet available in beta release)	
	No. information objects rated high value	(rating not yet available in beta release)	
	No. posts uploaded in Common Space	48	
	No. of replies to posts uploaded in Common Space	69	
Ecosystem building	No. Network Members - total	299	
	No. Associate Labs	18	
	No. Associate Enterprises	78	
	No. Associate Advisors	28	
	No. Work Groups Created	8	
	No. Members of Work Groups	271	
Business Creation	No. business ideas produced	35	
	No. start-ups operational	0	
	No. service SMEs operational	0	
Communication and Exploitation	No. visits to project website	8,836	
	No. thematic local innovation workshops implemented		
	No. local networking seminars implemented	15	

Dimension	Indicators	Status at: 30/06/16	Status at:
	No. Conference attendees	123	
	No. business process support services		

DISTANCE TRAVELLED INDICATORS

Stage	Timeline	Indicators
1 Set up	M 1-12	No. Information objects uploaded in Knowledge Spaces
		No. hypothesis transition models produced
		No. Associate Labs selected
		No. Associate Enterprises selected
		No. Associate Advisors selected
2 Piloting	M12-26	No. Associate Enterprises selected
		No. Associate Advisors selected
		No. start-ups selected
		No. service SMEs selected
3 Engagement and impact	M27- 39	No., type, relevance and effectiveness of new business models developed and applied
		Changes in attitudes and behaviours of businesses, in response to activities of pilots
		No. Learning materials produced and applied
		No. value models produced and applied
4 Scaling up and out	M40 -48	Adoption of energy-saving behaviours by ecosystem stakeholders
		Level and nature of new business services and service concepts developed and applied
		No. of business process support services and life cycle tools produced

EVIDENCE STATUS INDICATORS.

Phase	Indicators
Preparatory	No. hypotheses and assumptions identified
	No. counter-hypotheses and assumptions identified
	No. of parts, entities and activities identified
	No. expected outcomes that need to be explained
Descriptive Inference	No. items of evidence identified

Phase	Indicators
	Strengths and weaknesses of items of evidence
	No. evidence items produced from longitudinal case studies
	No. evidence items produced from Stakeholder Survey
	No. evidence items produced from matched pair analysis
Causal Inference	No. evidence items passing probability tests

2.6 Critical Incidents Log

Purpose

The Critical Incidents Log is one of the tools that contribute to mapping and analysing the evolution of the TCBL ecosystem by capturing and analysing key moments in that evolution. A critical incident is described as “one that makes a contribution—either positively or negatively—to an activity or phenomenon”[1] As well as recording the incident itself, partners will be asked to briefly explain what it entailed and how they think it will impact on the ecosystem and TCBL outcomes and impacts. The content of the critical incident log will be used to feed into / inform the ex ante evaluation, the ongoing development of the TCBL theory of change and the outcome and learning evaluations.

Procedure

The Critical Incidents Log is located in spreadsheet form on MyMinds. A link to the critical incident log will be circulated bi-monthly to partners with a request to add any relevant incidents over the preceding period. Table 4 on the following page shows the form the log takes.

[1] https://en.wikipedia.org/wiki/Critical_Incident_Technique

Table 4. Critical Incidents Log.

Item	Description
Date of the incident Specify the day or period when the happening occurred	
Incident title What is the name	
Short Description 2-3 sentences describing key features of the happening	
Impact on TCBL A brief assessment of the impact the incident has had on TCBL and how it could affect outcomes and impacts of the project	
Comments Here other TCBL partners not recording the incident can comment	

2.7 ECOSYSTEM ANALYSIS DASHBOARD AND MAP

PURPOSE

The main purpose of the ecosystems analysis dashboard and map is to paint an evolving picture of the TCBL ecosystem as it develops, focusing in particular on mapping inter-relationships and networks between stakeholders, organisations and other entities and assessing the value added these interactions make to participating entities and to the ecosystem. It draws on results of activities carried out in tasks 6.1 (technical ecosystems framework) and 6.4 (Value modelling and scaling scenarios) to access and use working documents and deliverables and integrates data from these sources to map how the ecosystem develops over time and provide snapshots of the state of the ecosystem at key transition points.

PROCEDURE

Ecosystem Analysis Dashboard

The Ecosystem Analysis Dashboard provides an evolving representation and analysis of the TCBL ecosystem as it evolves, drawing, inter alia on the data collected from the TCBL

Process Dashboard. The procedure uses 'network analysis' (World Bank; Kellogg Foundation, 2014) [2] to map and assess the evolving ecosystem using three main evaluation criteria – or 'pillars' – that track the process of ecosystem evolution and – in summative evaluation mode – contribute to assessing its' impact. These are:

- Ecosystem connectivity – focusing on the membership (the people and organisations who participate in the ecosystem) and structure (how the connections between members are structured and what flows through these connections) of the ecosystem
- Ecosystem health – focusing on resources (the material things the ecosystem needs to sustain itself), infrastructure (the internal systems and structures that support the ecosystem) and advantage (the ecosystem's capacity for joint value creation for members)
- Ecosystem results – focusing on interim outcomes (progress towards achieving ecosystem goals), and the actual outcomes and impacts, particularly with regard to large-scale change.

Table 5 shows the indicators that will be used to map and assess the TCBL ecosystem with regard to these three pillars and the data sources used.

Table 5. Ecosystem Analysis Dashboard.

PILLAR 1: NETWORK CONNECTIVITY

Elements	Indicators	Means of verification (evaluation data)
Membership	Strength of the network community (No. of network members)	• Analysis of network membership and stakeholder statistics
	Member diversity (distribution of network members between Labs, Enterprises, Advisors, other stakeholders)	• Analysis of network membership and stakeholder statistics
	Impact on network relationships and interactions (Information objects exchanged in Knowledge Spaces; No. of posts and replies in Common Space)	• Analysis of platform data • Stakeholders Survey • Case Studies
Structure	Extent, relevance and effectiveness of interaction channels available (utility, effectiveness and usability of Knowledge Spaces platform and tools; No. of Labs set up)	• Project Monitoring Statistics
	Level of interaction across channels	• Stakeholders Survey • Case Studies

[2] Taylor, M, P Plastrik, J Coffman and A Whatley (2014) *Evaluating Networks for Social Change: A Casebook*, Center for Evaluation Innovation, http://www.evaluationinnovation.org/publications/evaluating-networks-social-change-casebook

PILLAR 2: NETWORK HEALTH

Elements	Indicators	Means of verification (evaluation data)
Resources	Level of resources available (No. service SMEs operational; No. business process support services; No. Learning materials produced and applied; No. value models produced and applied; level of funding available to support Calls for Participation)	• Range of services available for network members
	Utility of network resources (No. of information objectives rated high value; No. of learning materials and guides)	• Analysis of Knowledge Space utilisation statistics • Stakeholders Survey • Case Studies
Infrastructure	Appropriateness and effectiveness of rules and processes (effectiveness and usability of technical framework, platforms and tools; effectiveness of governance framework, IPR and exploitation agreements)	• Platforms and tools operability and utilisation statistics • Stakeholders Survey • Case studies
	Level and effectiveness of communication systems and processes (No. of visits to website; no. of innovation workshops and seminars implemented and attended; No. of leaflets produced and distributed)	• External review of portal and database • Analysis of portal utilisation • Analysis of dissemination activities and take-up (dissemination statistics; social media usage; Conference participation analysis)
Advantage	Level and effectiveness of co-produced practices (No. of interactions between Labs, Enterprises, Advisors; No. of transition paths to new business models produced)	• Knowledge Spaces analytics tools • Stakeholders Survey • Case studies
	Level and effectiveness of knowledge co-production (No. of and participation in game-based competitions; level of experiment-sharing)	• Knowledge Spaces analytics tools and social media analysis

PILLAR 3: NETWORK RESULTS

Elements	Indicators	Means of verification (evaluation data)
Interim outcomes	Extent to which Project objectives and results achieved (actual v expected outputs produced)	• Review of Project progress and process indicators
	Outcomes of Project activities and outputs (No., type, relevance and effectiveness of	• Theory of Change analysis • Stakeholder Survey

	new business models developed and applied; Changes in attitudes and behaviours of businesses, in response to activities of pilots; no of new start-ups operational	• Case studies
Intended impacts	Size and composition of TCBL Ecosystem and Business System (No. Associate Labs; No. Associate Enterprises; No. advisors; No. workers involved; No. SME's in Business Support ecosystem)	• Ecosystem mapping and analysis
	Reduction in environmental footprint of participating enterprises	• Theory of Change Analysis • Counterfactual analysis
	Level and nature of new business embedded services supporting the customer-driven supply chain	• Theory of Change Analysis • Counterfactual analysis

These data will be collected and analysed as 'snapshots' as the ecosystem evolves, in parallel with the TCBL Process Dashboard.

Ecosystem Map

To supplement the Ecosystem Analysis Dashboard, we will produce a visual representation of the evolving network to coincide with these snapshots. This will involve joint collaboration with TCBL partners working in WP6 – and particularly Task 6.1 – Technical Ecosystem Framework – and Task 6.4 – Value Modelling and Scaling Scenarios. The main objectives of these tasks are to define and implement the socio-technical infrastructure necessary for enabling seamless and fruitful interactions within the ecosystem; and to map and shape the value flows allowing all actors to enjoy sufficient incentives to actively contribute to and benefit from the ecosystem. In this context, the main purpose of the ecosystem mapping is to represent and analyse the interactions and inter-relationships between actors within the ecosystem using social network analysis

We are currently using and evaluating two tools to carry out this mapping and analysis. Firstly – Gephi, which is an interactive visualisation and exploration platform that enables the mapping and analysis of networks and complex systems using link analysis (the underlying structures between objects); social network analysis (the connections and interactions between actors) and ecosystem analysis. Gephi works with two basic types of data: actors (or 'nodes') – for example organisations – and relations (or 'edges') – the interactions between the nodes. The intention in our ecosystem mapping is to map the evolving TCBL ecosystem in relation to two main factors: node size and node distribution. The size of a node is determined by its 'centrality', i.e. its connections in the ecosystem. This can be measured in several ways (degree centrality – number of connections; closeness centrality – proximity to the entire ecosystem; between-ness centrality – degree of 'bridging' and 'spanning' between nodes; eigenvector centrality – connection to well-connected nodes. The node distribution is indicated by its geographical location (latitude and longitude). Additional measures that could be used include: assessing the intensity or value of connections (for example by gathering data from ecosystem actors on their rating of the value of connections and interactions); collecting and analyzing data on 'real' interactions (for example mapping and analyzing interactions between actors in work groups on the 'Ning' platform).

The second tool is 'R'. R is an integrated suite of software facilities for data manipulation, calculation and graphical display. It includes an 'igraph' package that supports mapping and analysis of connections between entities. Like Gephi, there are a number of different algorithms that can be used to cluster nodes depending on their similarly to groups, including geodesic distance. A Working Group will be set up, including representatives from partners responsible for the different WP6 tasks, to further develop the ecosystem mapping approach.

2.8 Longitudinal Case Studies

Purpose

The main purpose of the longitudinal case studies it to track and analyse the evolution and interactions over time of the four evaluation 'sub-objects', i.e. the Knowledge Spaces, Business Labs, Business Systems and Business Process Services. The case studies make an important contribution to the 'process' evaluation by addressing the following key evaluation questions:

- What level and type of information and knowledge is uploaded and downloaded in the Knowledge Spaces; by whom and how is it used?
- How useful and relevant is the information and knowledge provided in the Knowledge Spaces for Labs and Businesses?
- How accessible, user-friendly and useful are the platforms and tools available to Labs and What kind of ideas and innovations are being developed in the Business Labs and how do these result in concrete offers to businesses?
- What interdependencies and networks are created between the Business Labs themselves and between business labs and businesses?
- Is the organisational/implementation approach used in the Business Labs fit for purpose?
- What kinds of transition paths are developed by the Business Labs and how useful are they for the range of business situations and scenarios represented by the businesses involved in TCBL?
- What kind of business model innovations are being developed in the participating businesses?
- What kind of interdependencies and networks are being created between the businesses and other actors/networks in the T&C sector?
- How usable and useful are the business platform and tools (*bpSquare)* provided?
- How usable and useful are the generic business process models and in-depth business models provided?

The case studies will also make an important contribution to the TCBL summative evaluation by addressing the following key evaluation questions:

- What contribution has the Knowledge Spaces made to innovation in the TCBL Business Labs and participating businesses?
- What contribution has the Knowledge Spaces made to identifying business opportunities, customer aspirations and sustainable market trends?
- What kind of new ideas and business innovations have been produced by the Labs?
- How have these been transferred to the participating businesses?

- What overall contribution have the Business Labs made to participating businesses and the overall TCBL project and ecosystem objectives?
- To what extent have innovations developed in the participating businesses been applied by real individuals and real businesses in the T&C sector?
- What type of business processes were produced by the Business Process services?
- To what extent and in what ways were these used by the target users?
- What has been the impact of the business process services provided on T&C supply chains?

PROCEDURE

The case study methodology is based on a ‘multiple case study’ approach [3] and involves successive ‘waves’ of case analysis each of which builds on the results of the preceding wave and ‘drills down’ more deeply to explore the patterns and results identified in the preceding wave. Four waves of case studies are planned, each of which has a different focus, reflecting key milestones and transitions in TCBL’s evolution. The data collection and analysis tools used in each wave also reflect these differences in focus, but commonly use a multi-methodological approach, combining key informant interviews, documentation analysis, on-line data analysis, field visits (including event/activity observation). Table 6 summarises these four waves.

Table 6. Summary of Longitudinal Case Studies.

ROUND (WAVE) 1 – MONTH 13

Units of Analysis (N)	Focus	Data collection/analysis methods and tools
• Assoc. Labs - 3 • Assoc. Enterprises (Labs & Factories) - 7 • Assoc. Advisors (Service providers) – 2	• Focus on ‘set-up’ transition period. Profile of organization. • Perceptions of current issues in T&C sector and ‘presenting problems’ that need to be addressed. • Expectations of participating in TCBL. • Initial utilization of TCBL platform, tools and services and perceived outcomes	• Content Analysis of Call 1 Interview Schedules • Key Informant Interview

[3] Robert K. Yin. *Case Study Research. Design and Methods*. Third Edition. Applied social research method series Volume 5. Sage Publications. California, 2002

ROUND (WAVE) 2 – MONTH 23

Units of Analysis (N)	Focus	Data collection/analysis methods and tools
• Assoc. Labs - 3 • Assoc. Enterprises (Labs & Factories) - 7 • Assoc. Advisors (Service providers) – 2 • Start-ups (2) and service SME's (2)	• Focus on what happened over internal pilot cycle to the second transition point. • For Labs, Enterprises and Advisors - utilization of Knowledge Spaces, gamification, experiment capture and sharing tools, business process models; interactions and inter-relationships between TCBL actors and external actors; adaptation of business ideas and innovations into new practices; perceived outcomes of participation in TCBL. • For start-ups and service SMEs: Profile of organization. • Perceptions of current issues in T&C sector and 'presenting problems' that need to be addressed. • Expectations of participating in TCBL. • Initial utilization of TCBL platform, tools and services and perceived outcomes for participants	• Key Informant Interview • Documentation analysis • Analysis of on-line data (utilization of vDiscover, Ning platform) • Site visit and activity observation

ROUND (WAVE) 3 – MONTH 35

Units of Analysis (N)	Focus	Data collection/analysis methods and tools
• Assoc. Labs - 3 • Assoc. Enterprises (Labs & Factories) - 7 • Assoc. Advisors (Service providers) – 2 • Start-ups (2) and service SME's (2)	• Focus on transition 3, to end 'Engagement' cycle. • Utilization of Knowledge Spaces, gamification, experiment capture and sharing tools; business process models; learning materials and guides; interactions and inter-relationships between TCBL actors and external actors; adaptation of business ideas and innovations into new practices; perceived outcomes of participation in TCBL.	• Key Informant Interview • Documentation analysis • Analysis of on-line data (utilization of vDiscover, Ning platform) • Site visit and activity observation

ROUND (WAVE) 4 – MONTH 46

Units of Analysis (N)	Focus	Data collection/analysis methods and tools
• Assoc. Labs - 3 • Assoc. Enterprises (Labs & Factories) - 7	• Focus on transition 4, Scaling up and out. • Validation of business process support services and life cycle	• Key Informant Interview • Documentation analysis

• Assoc. Advisors (Service providers) – 2 • Start-ups (2) and service SME's (2)	tools, ecosystem value model and governance structure, IPR and exploitation agreements. • Outcomes and impacts analysis	• Analysis of on-line data (utilization of vDiscover, Ning platform) • Site visit and activity observation. • Data triangulation. • Case summary template.

As Table 8 shows, the four waves of case studies are timed to capture the process and outcomes of the four TCBL transition phases, and also to feed into the production of the four evaluation results Deliverables (D.6.4, 6.6, 6.8 and 6.10).

The first wave involves a preliminary case analysis aimed at establishing a 'baseline' for subsequent waves. It will focus on profiling the actors involved in the developing TCBL ecosystem; their perceptions of current issues in the T&C sector and the 'presenting problems' that need to be addressed; their expectations of participating in TCBL; their needs; their initial utilization of TCBL platform, tools and services and perceived outcomes.

The case study 'units of analysis' are individual ecosystem actors –'entities'. The first case study wave will cover a representative range of 3 Associate Labs (1 Design, 1 Making, 1 Place); 7 Associate Businesses (Labs and Factories); 2 Associate Advisors. This sample will be retained over the case study lifecycle.

The second wave will add 2 start-ups and 2 service SME's. These will be retained over the case study lifecycle.

In the event of attrition of cases (i.e. an actor dropping out of the ecosystem), we will 'top up' the case sample with an equivalent case.

The data collection tools used for this first wave are: i) Review and content analysis of the interviews conducted in the TCBL Round 1 Call for Participation ii) a supplementary Key Informant Interview, carried out with a knowledgeable representative of the case organisations – typically a Lab or enterprise manager. A Content Analysis Template is provided below. The Template is to be used to summarise data obtained from the interview reports produced in the TCBL Round 1 Call for Participation. This focuses on: i) the profile of the organisation and ii) reasons for joining the TCBL ecosystem and expectations for participation.

The Key informant interview is designed to i) validate and add to the information provided in the Content Analysis Template and ii) collect additional information on early experiences of participating in TCBL. The Key Informant Guide is provided below.

Subsequent versions of the Evaluation Toolkit will provide the additional tools and procedures needed for subsequent case study waves.

Case Study Wave 1: Content Analysis Template

Section 1: Case Profile

Item	Description
Type of Case Associate Lab, Associate Enterprise, Associate Advisor	
Location	
Contact Person and Details	
T&C Field of Operation	
Brief Description What activities are carried out	
Capacity No. people, size, equipment	
Relationships with other actors in the TCBL ecosystem	

Section 2: TCBL starting position and expectations

Item	Description
Reasons for joining TCBL ecosystem and expected contribution to TCBL alternative business paradigm	
What changes in current T&C sector does organisation want to contribute to	
What kinds of experiments/ activities does the organisation want to carry out within TCBL and what kind of problems are these intended to solve?	
What market opportunities does the organisation want to explore?	

Item	Description
In what ways does the organisation want to explore environmental concerns and energy reduction in TCBL?t	
In what ways does the organisation want to explore social responsibility and fair trade practices?	

Case Study Wave 1: Key Informant Interview Guideline

The Guideline has four sections. Except for Section 1, which collects basic information about the case and the interviewee, each Section has three kinds of questions:

- main questions – these address the evaluation questions from a general perspective, by 'setting the scene' for the discussion
- supplementary questions – these drill down more deeply into the general questions. The interviewer should pose these questions on the basis of the interviewee's response to the main questions, as appropriate. The interviewee should write down the supplementary questions asked in the space provided in the Guideline below
- clarifying questions – intended to clarify and expand the responses to the additional questions, for example 'So what you are saying is ….. 'Can you give me more detail on…….. 'Can you give me an example of……..

Sections 1 and 2 cover the same areas and evaluation questions covered in the Content Analysis Template. These Sections are intended to validate and add to the information provided in the Content Analysis Template.

Key Informant Interview Guideline

Name of Case/ Organisation	
Interviewee Name	
Interviewee Contact Detaila	
Role of interviewee in the organisation	
Interviewer name	
Date of interview	
Delivery mode	☐ Phone ☐ Email ☐ Face-to-face

Section 1: Actor/Organisational Profile

1. Can you briefly describe what this organization does (Lab, Enterprise, Advisor) does? (Prompts: Identify if completely new organization or based on existing organization; Position in T&C supply chain; Specific T&C sub-sectors working in; Main focus of operations – e.g. designing, manufacturing, services))
2. Can you describe your organizational capacity? (Prompts: how many people are involved; what equipment do you have access to; how big is the organization?)
3. What relationships do you have with organisations both inside and outside TCBL? (Prompts: who are the key organisations you regularly engage with? What networks are you involved in? what is the nature of these relationships?)

Section 2: Expectations of involvement in TCBL

4. Can you briefly describe your reasons for joining TCBL ecosystem and how you would expect your participation to contribute to developing an alternative business paradigm for the T&C sector?
5. What kinds of problems in the T&C sector are you interested in addressing and what activities/experiments in TBCL do you envisage doing to help solve these problems?
6. What changes in the T&C sector do you expect to contribute to as a result of these activities?
7. What market opportunities do you want to explore?
8. In what ways do you want to explore environmental concerns and energy reduction in TCBL?
9. In what ways do you want to explore social responsibility and fair trade practices?
10. Are there any other things you expect to get out of participating in TCBL?

- Supplementary questions asked:
- Clarifying questions asked:

Section 3: Involvement in TCBL

11. Since you joined TCBL, which tools and services have you used and to what extent (Prompts: Knowledge Spaces; Gamification features and competitions; Ning platform; other platforms and tools)?

12. Since you joined TCBL, what activities have you taken part in (Prompts: webinars; seminars; Conference; other)?
13. What kinds of interactions have you had with whom within the TCBL ecosystem? (Prompts: with other Labs/enterprises/advisors? What kinds of interactions?

- Supplementary questions asked:
- Clarifying questions asked:

SECTION 4: EXPERIENCES AND OUTCOMES

14. So far, what have been the main benefits of participating in TCBL (Prompts: access to new knowledge; getting new ideas for business; applying the new ideas in practice; increased contacts and networks; new market/business opoortunities)?
15. Have you experienced any issues or problems with TCBL so far (Prompts: what kind of problems? How were these resolved)??
16. Are there things about TCBL you think could be improved (Prompts: which things? How could they be improved)?
17. Are there any other things you would like to say about your participation in TCBL so far?

- Supplementary questions asked:
- Clarifying questions asked:

2.9 Counterfactual Analysis

Purpose

The Counterfactual Analysis is an important component of the TCBL 'summative' (outcomes and impacts evaluation). It involves comparing the outcomes of interest of those who have benefitted from TCBL (the 'treatment group') with those of a group similar in all respects to the treatment group (the 'comparison/control group'), but who have not been exposed to TCBL. The comparison group provides information on what would have happened to the participants in the intervention had they not been exposed to it. However, the counterfactual element of the TCBL evaluation is carried out using a combination of process tracing and contribution analysis. As illustrated in Figure 3 the counterfactual analysis is implemented in three phases:

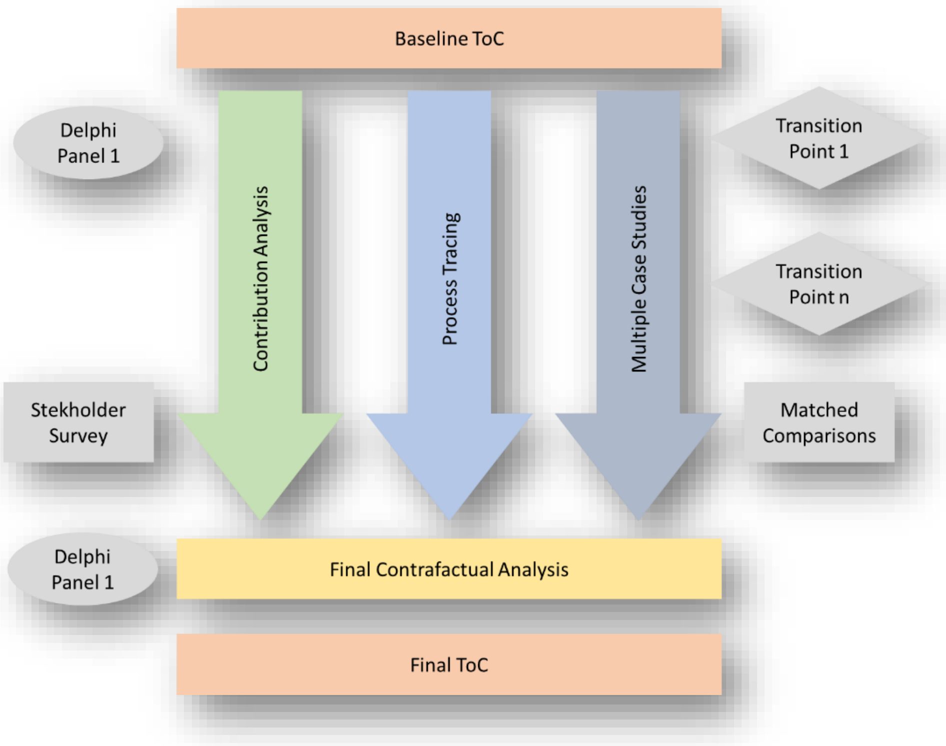

Figure 3 . Counterfactual Analysis Methodology.

- Phase 1 – the 'Preparatory' phase (Month 15) – focuses on putting together the initial 'prior knowledge' needed for descriptive inference, i.e. developing the conceptual framework for the analysis; the attribution problem to be addressed and the counterfactual 'contrast space' – the 'counter-hypotheses' that need to be taken into account.
- Phase 2 – the 'Descriptive Inference' phase (Months 15 – 45) – the 'Descriptive Inference' phase – focuses on gathering the data required to to assemble the 'stories' that link 'entities' to significant events in TCBL and ultimately to its outcomes. This will combine: i) data from the longitudinal case studies, which will provide both individual 'within case' and 'between case' representations of causal chains and, in addition, in

aggregate, a within case representation of the TCBL ecosystem.ii) a stakeholder survey, delivered to a representative sample of actors involved in TCBL – particularly the pilots – focusing on self-reported outcomes associated with participation in TCL iii) a matched comparison analysis of a sample of businesses involved in TCBL compared with a comparison group of businesses with a similar profile who did not participate in TCBL, using a set of comparison indicators, covering, for example, development and implementation of new ideas; level and type of networking and interactions; human resources; production and financial indicators.

- Phase 3 – the 'Causal Inference' phase (Months 45-48) – the 'Causal Inference' phase – focuses on using probability tests to identify the most plausible explanations to explain how and why a TCBL 'result' is caused by a particular sequence of events and actions – and why it is reasonable to assume that the actions of TCBL have contributed to the observed outcomes.

Procedure, Phase 1

The procedure for Phase 1 of the Counterfactual Analysis entails:

- Specifying the conceptual framework for the process tracing, together with the initial hypotheses to select and interpret pieces of evidence and the outcomes to be analysed
- Specifying the attribution problem for the contribution analysis, together with the assumptions underpinning the theory of change, the risks to realisation of the intended outcomes and impacts, how strong or weak are the links in the underlying causal chain, and the strength or weakness of available evidence

Table 9 summarises the different steps required to complete Phase 1.

Table 7. Steps, activities and methods required for Phase 1 of the Counterfactual Analysis.

Step	Activity	Method	Output/Outcome
Conceptual framework	Development of TCBL Theory of Change	Theory of Change	Specification of presenting problem; theory causing problem; expected change to problem (impact) at project end; activities needed to deliver impact; outputs from activities; expected outcomes; evidence to measure outcomes and assumptions behind the theory of change
Review of conceptual framework	Partner workshop	Theory of Change review. Interactive workshop will i) critically review the the assumptions underpinning the theory ii) the risks to realisation of the intended outcomes and impacts iii) how strong or weak are the links in the underlying causal chain (and the strength or weakness of available evidence) iv) possible 'counter-hypotheses' and counter-assumptions	Revised conceptual framework. Identification of risks and potential weaknesses in evidence base. Identification of alternative hypotheses and assumptions

3. PARTNERS TOOLKIT

3.1 PURPOSES OF THE PARTNERS EVALUATION TOOLKIT

The Partners Evaluation Toolkit aims to support TCBL partners in carrying out evaluation activities that are tailored to their individual needs. For example, partners running a TCBL Lab may feel it useful to carry out evaluation activities within an individual Lab in order to assess whether the specific objectives of their Lab are being achieved. Partners responsible for dissemination activities may be interested in carrying out an evaluation of a dissemination activity – for example the TCBL Conference. These 'individual' evaluation activities are seen on the one hand as 'autonomous' activities with a specific purpose. On the other hand, they can also provide useful data that feeds into the overall project evaluation.

3.2 STRUCTURE AND CONTENT OF THE PARTNERS EVALUATION TOOLKIT

The Partners Evaluation Toolkit combines an 'autonomous' (self-directed) learning element with a 'mentoring' element.

The self-directed element consists of a set of evaluation Guidelines, tools and resources to enable TCBL partners to develop their own evaluation activities. These are downloadable from MyMinds and comprise the following:

- A brief Introduction to Evaluation – this is a text document that delivers a 'beginners' guide to evaluation, in the context of the TCBL project

  https://myminds.be/share/page/site/tcbl/document-details?nodeRef=workspace://SpacesStore/7fffb307-e4d6-45a7-a1c6-311b3f957ce0

- A brief Introduction to Evaluation – a powerpoint presentation to accompany the text guide, which summarises all of the relevant key messages

  https://myminds.be/share/page/site/tcbl/document-details?nodeRef=workspace://SpacesStore/a2a045ad-342b-4511-9c4b-044a624cb628

- World Bank: Monitoring and Evaluation tools methods and approaches – a comprehensive guide to doing evaluation with examples of evaluation methods and tools

  https://myminds.be/share/page/site/tcbl/document-details?nodeRef=workspace://SpacesStore/3fe15fc7-6b05-4015-9b0a-cf8dbbe9e0e3

The 'mentoring' element of the Toolkit consists of 'one-to-one' evaluation consultancy provided by the TIHR evaluation team for partners who have specific evaluation needs – for example how to design a questionnaire. The team will provide support for partners' evaluation activities through appropriate communication media (e-mail, skype).

The Toolkit will be updated as the project progresses.

4. EVIDENCE SNAPSHOTS

4.1 PURPOSES OF THE EVIDENCE SNAPSHOTS

The evidence snapshots consist of regular summaries of the evaluation results, collected and collated by the evaluation team over the course of the project's activities. These include: monitoring data, a summary of critical incidents logs and the data collected via the process monitoring dashboard, all of which are a pre-requisite for tracking progress towards outcomes and impacts. While this information focuses on determining what is happening, it also provides the basis for understanding how and why change is happening, which is crucial for the learning dimension of the evaluation.

4.2 DELIVERY OF THE EVIDENCE SNAPSHOTS

This synthesised evidence will be reviewed and reflected on in interactive peer learning workshops (see Section 2.3 above), following the principles of action learning, reflective practice of key stakeholders and joint sense-making that are important in the evaluation of complex programmes. The overall purpose of the workshops will be to combine the 'formal knowledge' embedded in, and emerging from, the evaluation activities with the 'tacit' and experiential knowledge of the partnership. In practical terms, they will provide a space for the evaluation team to communicate progress set as part of the theory of change (e.g. progress towards milestones/targets) and to enable the joint exploration of, and convergence on, what is working and why (or why not), which will feed back into the project ecosystem.

Evidence snapshots are timed to be delivered at key project milestones – i.e. transition points and production of key evaluation results deliverables. They are likely to be delivered during Consortium Meetings.

5. EVALUATION SEMINARS

5.1 PURPOSE OF THE EVALUATION SEMINARS

The main purposes of the Evaluation Seminars are i) to supplement the Partners Evaluation Toolkit with interactive, group learning experiences to encourage ‘learning by doing’ in evaluation and ii) to supplement the evidence snapshots by exploring and reviewing in more detail the results of TCBL as they emerge.

5.2 DELIVERY OF THE EVALUATION SEMINARS

It is envisaged that around two evaluation seminars per year will be delivered over the course of TCBL (eight in total). These are likely to be timed to coincide with Partners Meetings. The seminars will combine a ‘presentational’ element with an ‘Open Forum’ discussion and interactive ‘hands-on’ group work.

6. EVALUATION WEBINARS

6.1 PURPOSE OF THE EVALUATION WEBINARS

The Evaluation Webinars mirror and supplement the purposes of the Evaluation Webinars discussed above in Section 5. They will supplement the Partners Evaluation Toolkit with interactive, group learning experiences to encourage ‘learning by doing’ in evaluation and supplement the evidence snapshots by exploring and reviewing in more detail the results of TCBL as they emerge.

6.2 DELIVERY OF THE EVALUATION WEBINARS

The webinars support more flexible delivery of information, results and learning because they are delivered on-line. The delivery platform uses the ‘Scopia’ videoconferencing system. This allows for synchronous streaming of video and audio as well as static presentations (for example powerpoint) and on-line chat. It is envisaged that around two evaluation seminars per year will be delivered over the course of TCBL (eight in total) on topics of interest for TCBL partners and other stakeholders.

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DOCUMENT INFORMATION

REVISION HISTORY

REVISION	DATE	AUTHOR	ORGANISATION	DESCRIPTION
Version 1	13.5.2016	Kerstin Junge	TIHR	Production of initial structure
Version 2	23.6.2016	Joe Cullen, Kerstin Junge, Giorgia Iacopini	TIRH	Revision of report structure and content
Version 3	21.6.2016	Joe Cullen, Kerstin Junge and Giorgia Iacopini	TIRH	Version for peer review
Version 4	28.6.2016 and 29.6.2016	Joe Cullen, Kerstin Junge and Girogia Iacopini	TIHR	Response to peer review comments
		Jesse Marsh	Prato	Formatting
Version 5	30.6.2016	Joe Cullen, Nick Preston	TIHR	Production of Evaluation Toolkit as separate
Version 6	02.08.2016	Jesse Marsh	Prato	Final formatting

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