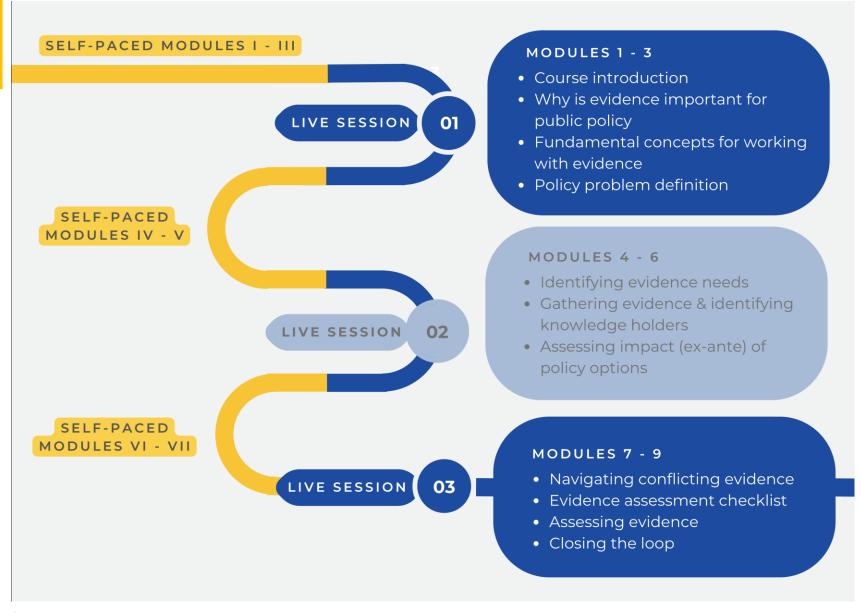


Working with evidence

Day 2: Identifying evidence needs & gathering evidence



Course overview



Module 4

Identifying evidence needs



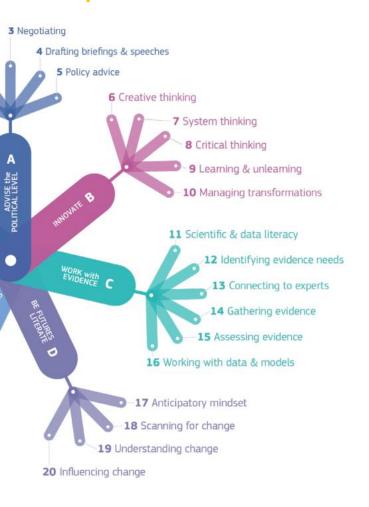
Module 4 Learning Objectives

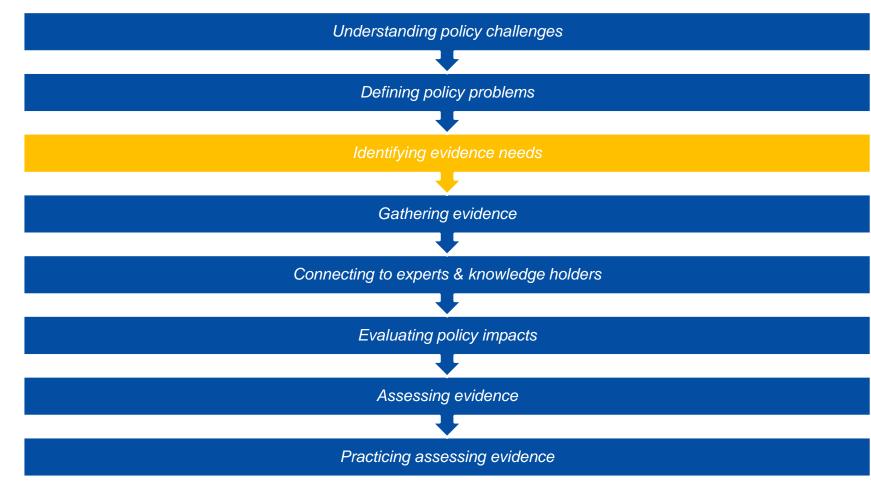
In this module we will learn how to **Think Broad** to improve working with evidence for policymaking. We will:

- Learn about different types of relations and interactions between policies
- Learn how to gather evidence and what types of evidence to look for
- Acquire tools and methods to be able to deal with these challenges in the policy process



A Step-by-Step Learning Sequence for Working with Evidence







Module 4 - Part 1

Identifying evidence needs – Understanding policy interactions



Why do we need to Think Broad?





Why do interactions between policies matter?



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- Can be detrimental to policy implementation and outcomes if not dealt with.
- Can maximise co-benefits between policies
- Can ensure policies delivery on longer term goals and strategic objectives
- And we need evidence to understand what these impacts or co-benefits even are....



What are synergies, tensions & trade-offs?



What is a tension?

An interaction between policy objectives in which the improvement of one can lead to the deterioration of another depending on the context. With a suitable policy mix, tensions can be overcome.



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What is a trade-off?

An interaction between policy objectives in which the improvement of one will necessarily lead to the deterioration of another. A decision or prioritisation must be taken.



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What is a synergy?

An interaction between policy objectives where there is a positive correlation between goals or instruments, so that implementing together produce benefits greater than the individual measures.

Evidence is needed to understand how a tension can be resolved and what kind of solutions exist to resolve it.

Evidence is needed to inform decisions about what to prioritise. This can be at the goal/agenda setting level or other stages.

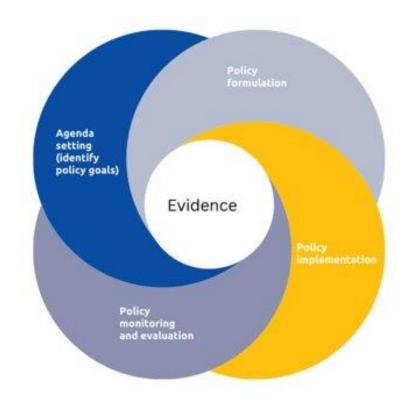
Evidence is needed to inform the design of a policy to maximise cobenefits.



What is the role of evidence?

Interactions can occur at any point in the policy cycle and they lead to different evidence needs

- Policy Goals: evidence to understand the policy's contribution to goal(s)
- Policy Formulation: evidence to understand the problem and its relation to other policies
- Policy Implementation: evidence to understand the effects of the policy on outcomes and goals, including unintended consequences
- Policy Monitoring & Evaluation: evidence to understand the impact of the policy



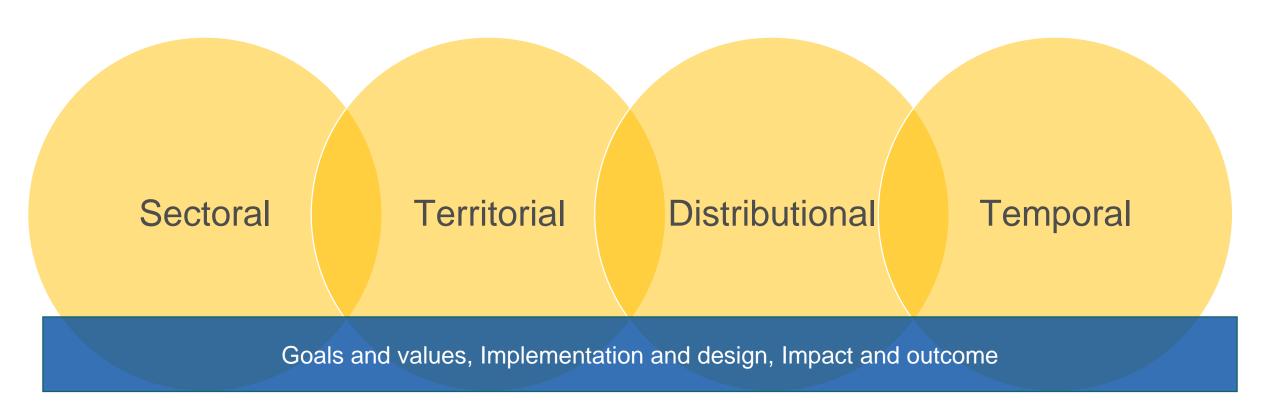


An Example – Investment in Batteries



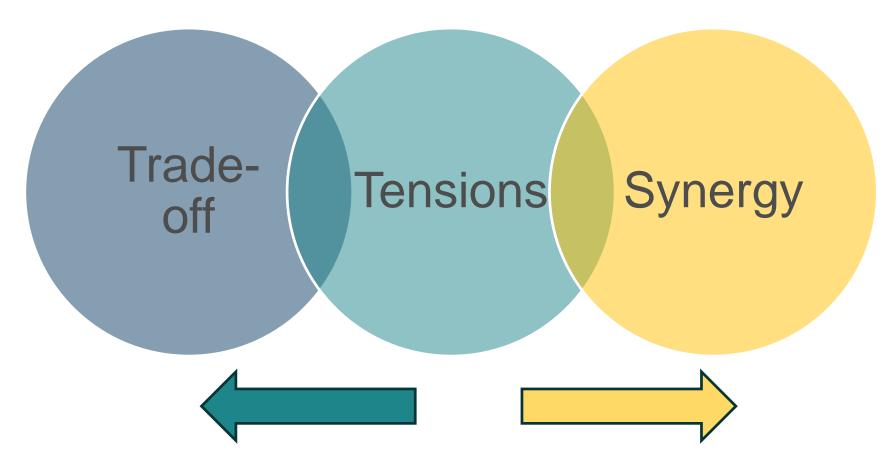
| Policy Cycle | Type of interaction | Role of Evidence | |
|-------------------------|---|--|--|
| Agenda setting | Batteries are needed for both the green and digital transition, but have a big environmental impact, creating a trade-off between green and digital ambitions and environmental goals | Evidence substantiates policy objectives, like the European Green Deal & Digitalisation strategy – how do batteries contribute to reach each of the policy objectives? | |
| Formulation | Batteries are needed for energy storage, but battery production has big environmental and social impacts | What are the social and environmental impacts of batteries? Impact assessments for mines & waste; research on circular battery options; research on energy savings through digitilisation. | |
| Implementation | Policy incorporates circular economy principles to reduce waste and minimise negative impacts | Stakeholder knowledge. How implementable is circular economy practice? What barriers are there? | |
| Monitoring & Evaluation | Has the policy reduced energy use? Has the policy increased battery waste? Has the policy increased Circular Economy practices? | Which indicators monitor data for ex-post evaluation? | |

Where are interactions taking place?





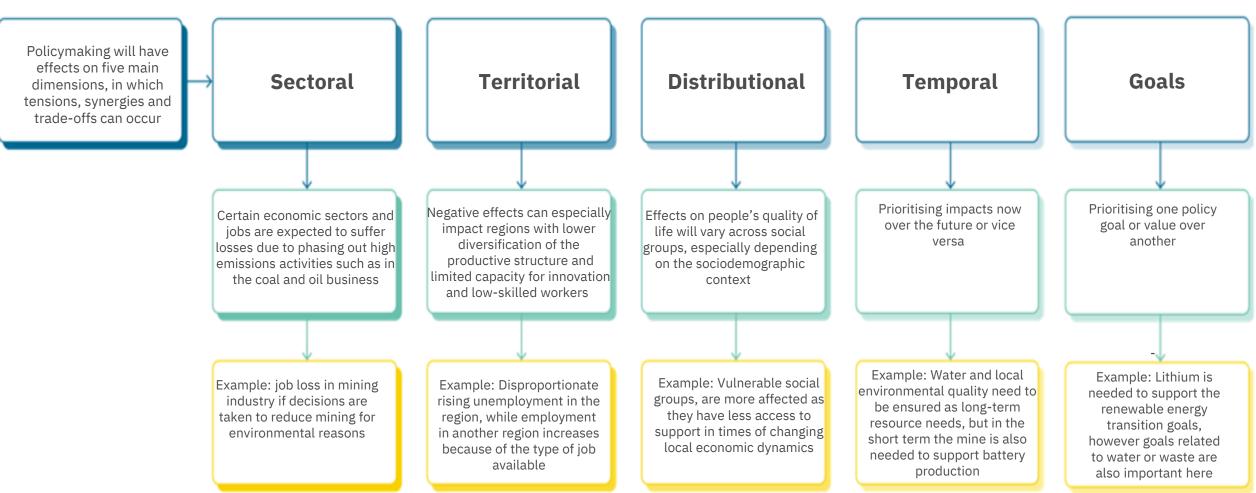
Positive and Negative Impacts





Five dimensions of policy interactions

Policymaking can have effects on five main dimensions, in which tensions, trade-offs and synergies can occur Understanding these dimensions of a policy can help either inform design to avoid, or decisions to prioritise.



Interactions & Policy Options







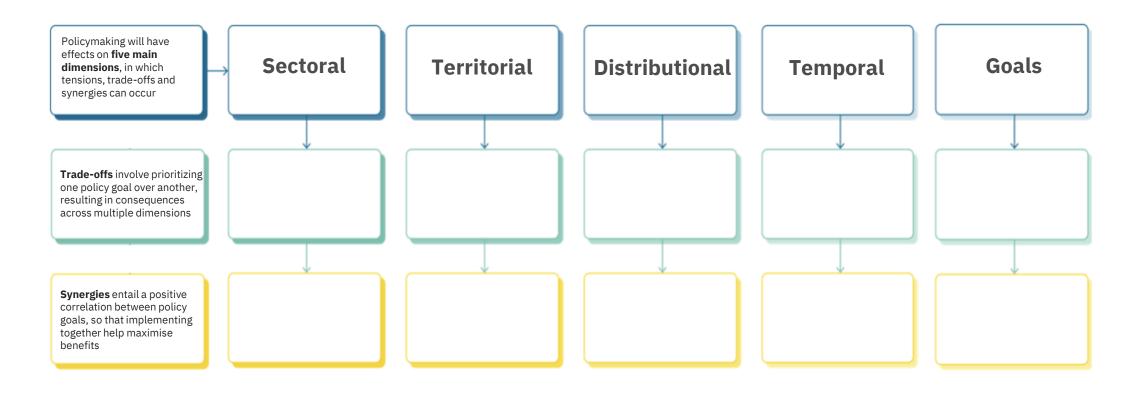
Introducing Policy Options

| | NITROGEN CRISIS | COAL PHASE-OUT | SUSTAINABLE MOBILITY |
|----------|---|--|---|
| OPTION A | Livestock Nitrogen Emission Tax (LNET) | Coal Retirement Bridge Plan (CRBP) | Bike Lane Expansion & E-bike subsidy (BikeL-E) |
| | LNET tax targets farmers based on the estimated nitrogen emissions of their livestock | Early retirement for coal workers (+50), compensation in first years + increased pension | Expand bike lanes in traffic restricted areas to connect key districts + subsidy of E-bikes |
| OPTION B | Genovian Eco-stewardship Incentive (GESI) | Regional Transition Accelerator Program (RTAP) | Community Resilience and Adjustment Plan (CRAP) |
| | Payment schemes to reward farmers for adopting sustainable practices | Combined program of clean energy investment credits and regional transition platforms | Grant temporary exceptional mobility rights to residents of affected areas (i.e., Ponte) |



Exercise 1a: What interactions exist in your policy option?

Exercise 1a: With your policy challenge group, choose one policy option for your case. In your group, please discuss the trade-offs/tensions and synergies in your policy option for 15 minutes.





Exercise 1b: What do you need to find out about your policy option?

Instructions:

- You will be paired with a member from another case. Share what discussions you had about trade-offs, tensions and synergies with your policy option. You may:
 - Find common themes that came up in your discussions
 - Identify some policy research questions that would help you make decisions about the potential interactions?
 - Keep in mind what we learned yesterday about formulating policy research questions.



Group Reflection

Did you find common themes?

What important trade-offs, tensions and synergies did you find?

What is the role of evidence in addressing these? What are the evidence needs?



Break



Module 4 - Part 2

Identifying evidence needs – Causation & policy interactions



What is causality?

- The relationship of cause and effect between one event or action and the result.
- It is the act or process that produces an effect.
- In terms of this course...
 - The impact of a policy on another, on an outcome, on a challenge...



Interactions & Causation - Tools

- There are many different tools available to help us understand the impact of different policy options
- Let's try one out...
 EN-ROADS, an interactive model



Global Sources of Primary Energy, Greenhouse Gas Net Emissions, © En-ROADS



Interactions & Causation - Tools

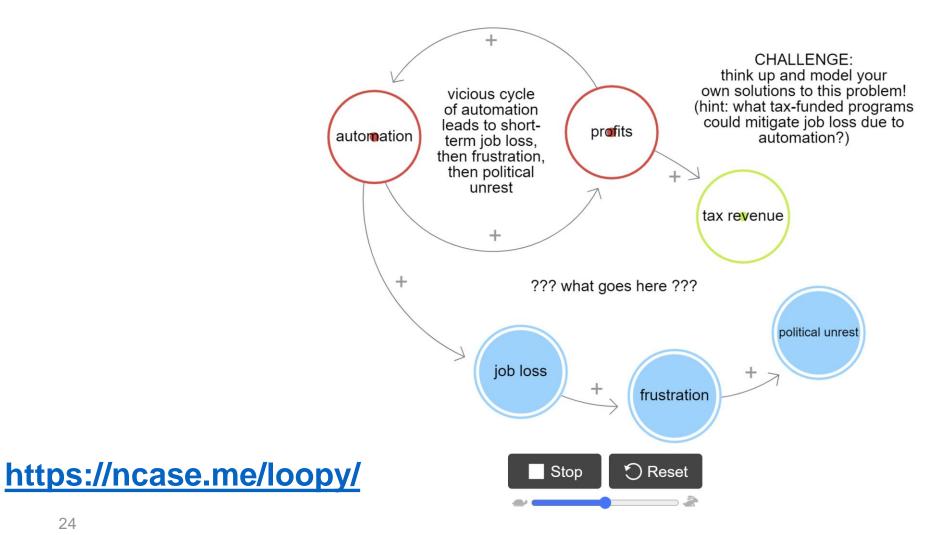
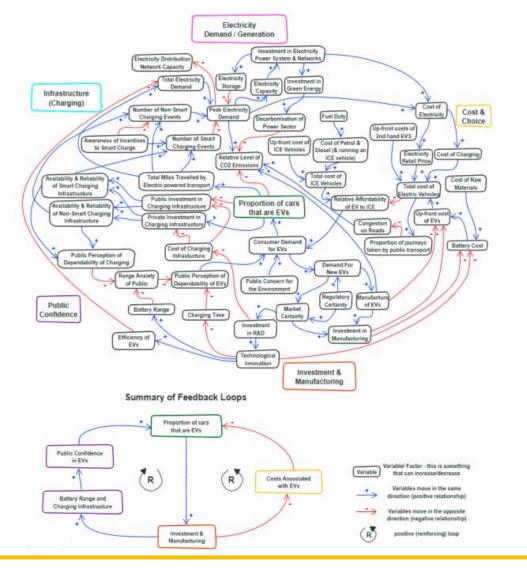


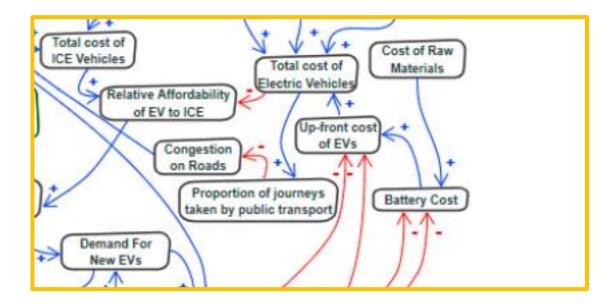


Figure 4: Example of a 'systems map' showing some interactions to consider in the roll out of electric vehicles



Interactions & Causation - An Example

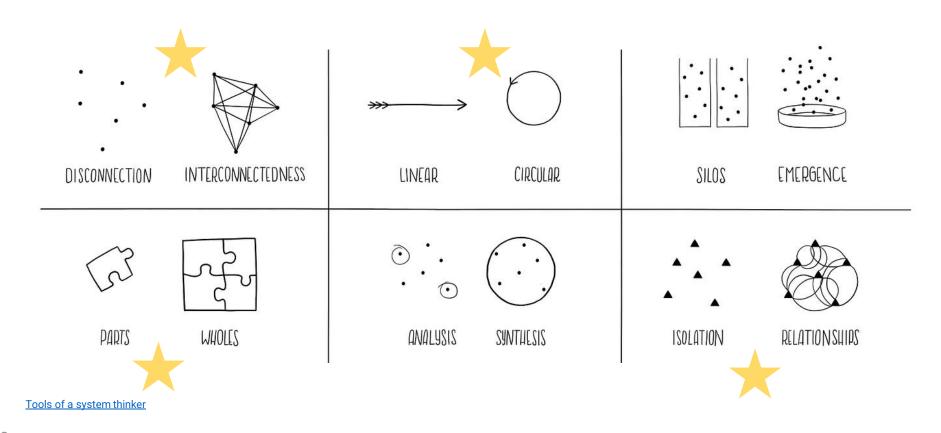
UK – BEIS Net Zero Strategy





Causality & Systems thinking

TOOLS OF A SYSTEM THINKER





Wrap-up Module 4

In this module we learned about:

- Policy interactions
- How understanding interactions can help us to gather the evidence we need for designing policy
- We played with some tools to help us understand interactions (interactive model, causal loop diagram, 5-interactions analytical framework)



Break



Module 5 – Part 1

Gathering evidence & Identifying knowledge holders



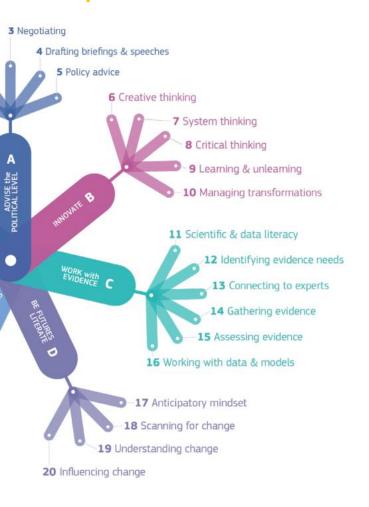
Module 5 Learning Objectives

In this module we will:

- Explore different ways to gather evidence
- Identify different types of knowledge holders
- Develop a knowledge holder engagement plan



A Step-by-Step Learning Sequence for Working with Evidence





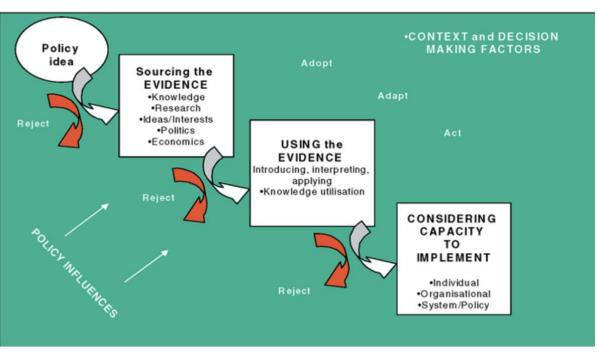


Introduction to gathering evidence

- OECD explains EIPM as a <u>process</u> in which "multiple sources of information, including statistics, data and including the best available research evidence and evaluations, are consulted before making a decision to plan, implement, and (where relevant) alter public policies" (OECD, 2020).
- Challenges to sourcing and procuring evidence are multifaceted, ranging from vast volumes of data and yet existing evidence gaps in certain policy areas, to the imperative of building capacity and skills to foster informed judgement.
- Acknowledging the diversity of distinct pieces of research and sources of knowledge to inform policy is key to understanding and contextualizing the use of evidence in practice.
- Share your thoughts: what type of challenges and obstacles have you experienced or observed when collecting evidence to inform policy decisions?



Gathering the evidence



<u>Pathways to "Evidence-Informed" Policy and Practice: A Framework for Action, Bowen, Shelley & Zwi, Anthony.</u> (2005). PLoS medicine. 2. e166. 10.1371/journal.pmed.0020166

Common options for gathering scientific evidence can be linked to varied research methods...

- Experiments
- Surveys
- Administrative data
- Case studies
- Interviews
- Focus groups

But other types of non-scientific evidence can also inform policy...

- Consultation processes
- Expert knowledge

The ways in which evidence is gathered and used are determined by the context of an intervention.



Discerning primary and secondary sources

PRIMARY SOURCES

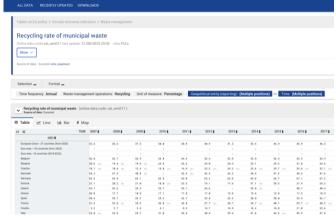
- Original research, not altered or filtered through interpretation or evaluation by others.
- First-hand account of events, empirical research or direct testimony concerning a policy topic under study.
- Raw data, empirical studies, interview transcripts, records of events, original policy (admin, legislative) documents.

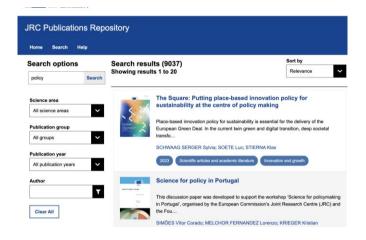
SECONDARY SOURCES

- Synthetised and re-organised information, or analyses based on primary sources.
- Second hand account of events, often including evaluation or interpretation of a policy issue.
- Policy Briefs, reviews of scientific articles, combined data analysis (meta-analysis: statistical analysis of primary research data)

Mapping tools and resources – Part 1







Knowledge platforms

Knowledge4Policy

Statistical Datasets

Eurostat

Repositories, Journals

JRC Repository, Open Access Journals

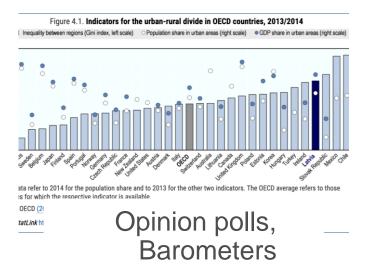


Mapping tools and resources – Part 2



Thematic indicators & Index platforms

OECD Indicators



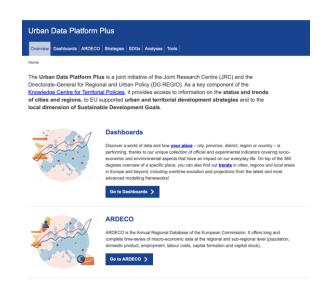
Eurobarometer







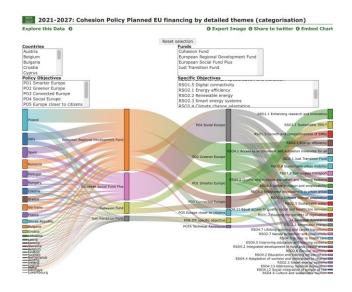
A regional outlook: Examples of applied tools and resources



Urban Data Platform Plus

Knowledge Centre for Territorial Policies

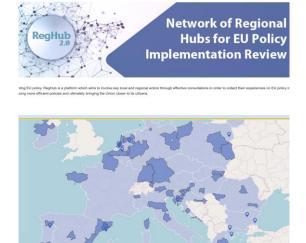
Database on the status and trends of cities and regions



Cohesion Open Data Platform

Thematic database on Funds allocation (e.g., Just Transition)

Monitoring of EU payments and planned investment by region



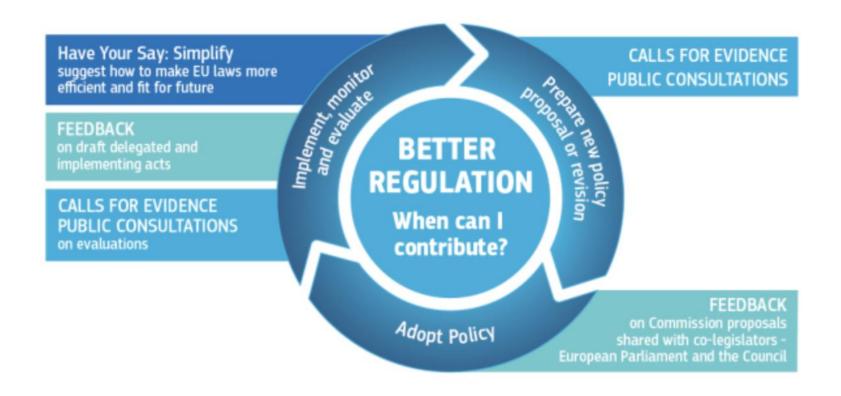
Network of Regional Hubs

Platform to monitor implementation of EU law on the ground

Multilevel network of policy-makers and experts, stakeholder consultations



Contextualizing sourcing evidence for EIPM in the EU: Better Regulation Agenda (BRA)



Better Regulation. Where can I contribute?



In preparation

Bringing research into policy – An Example



Call for evidence

Public consultation

Feedback and consultation period

31 March 2023 - 23 June 2023

FEEDBACK: CLOSED

UPCOMING

Commission adoption

Planned for

First quarter 2024

"In line with the European Commission's Better Regulation policy to develop initiatives informed by the best available knowledge, we invite scientific researchers, as well as academic organisations, learned societies, and scientific associations with expertise in [...] to submit relevant published and pre-print scientific research, analyses and data. Submissions that synthesise the current state of knowledge in relevant fields are particularly welcome"





Bringing research into policy: A shifting context

Growing demand of policy-specific (direct, primary) research and **institutionalization of EIPM** processes to procure evidence and **feed policy-making processes**.

Unpredecented challenges and crisis (climate change, covid19..) highlighting limitations of reactive "policies", leading to greater infrastructures to support systematic collection of evidence to inform decisions.

Common ways to source evidence:

- Calls for Evidence
- Expressions of Interest
- Procurement of studies
- Scientific assessment bodies
- Public consultations

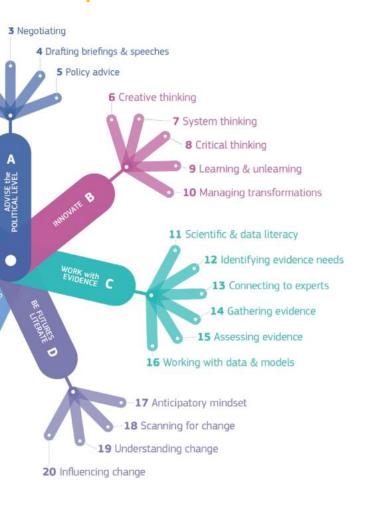


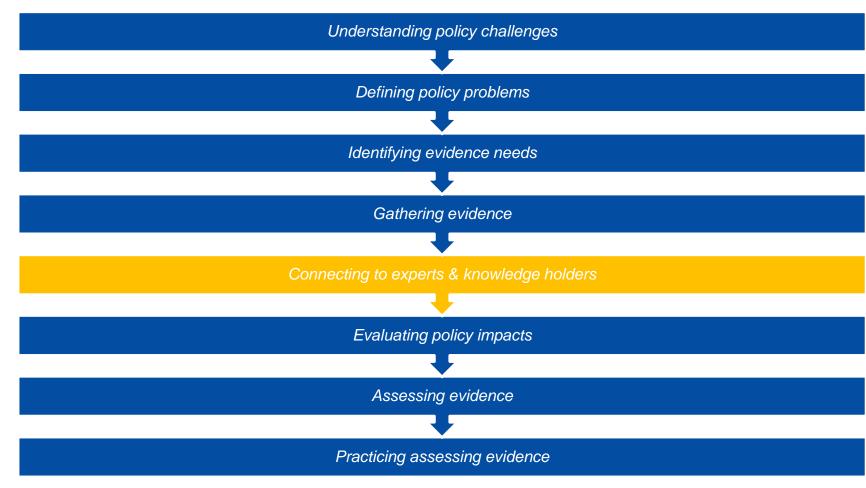
Module 5 – Part 2

Identifying & working with knowledge holders



A Step-by-Step Learning Sequence for Working with Evidence



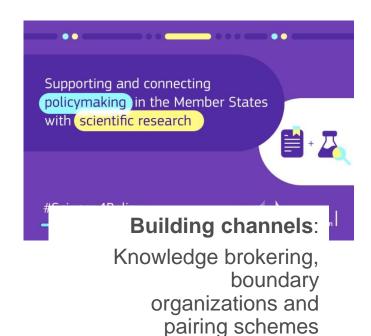




Knowledge(s) ecosystem for EIPM



From isolation to collaboration between researchers and policymakers





From experts to "knowledge holders", and the evidence they bring



Identifying Knowledge holders

Three different kinds of knowledge holders (Brechin & Siddell, 2000):

- Empirical knowledge holders: whose knowledge is based on quantitative or qualitative research.
- Theoretical knowledge holders. sometimes referred to as thought leaders. Their main contribution is the development of theoretical frameworks and new ways of looking at the world.
- Experiential knowledge holders who have developed (tacit) knowledge about the policy challenge over a number of years of practical or lived experience.

Source: Brechin, A. and Siddell, M. (2000) 'Ways of knowing', In Gomm, R. and Davies, C. (eds) 'Using evidence in health care.' Buckingham: Open University Press.







Discussion:

What are different ways of engaging

with knowledge holders?





Exercise 2: Developing a knowledge holder engagement plan

Your policy research question:

Knowledge Holder Engagement Plan

| Knowledge holder | Type of knowledge holder | Ways to gather evidence from this knowledge holder |
|------------------|--------------------------|--|
| | | |
| | | |
| | | |
| | | |
| | | |
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Report back

Which knowledge holders can you identify?

What kind of knowledge holder (empirical, theoretical, experiential) did you identify?

 What is your engagement plan for involving these different knowledge holders?

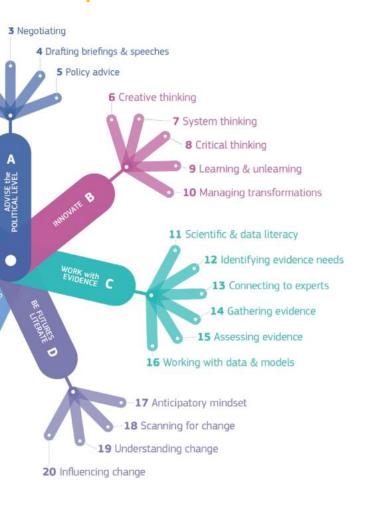


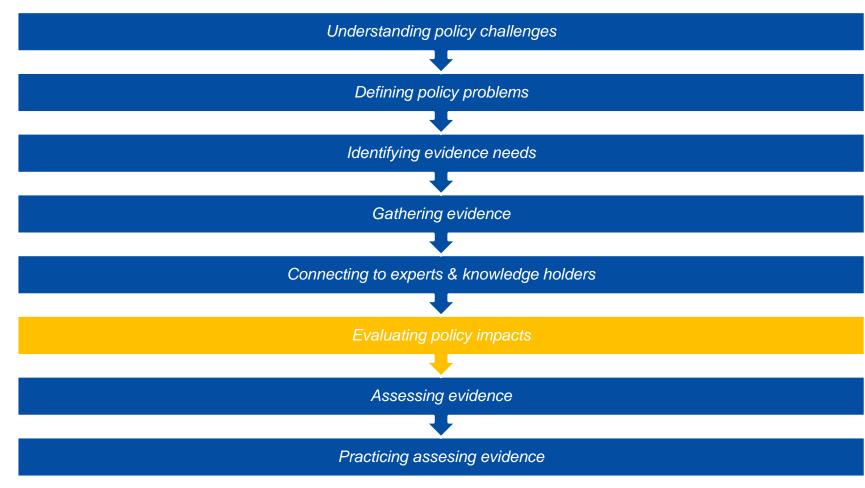
Module 6

Evidence for understanding & assessing the impact of your policy



A Step-by-Step Learning Sequence for Working with Evidence







Module 6 Learning Objectives

In this module we will explore:

- how to assess the impact of your policy options;
- how you can work with evidence to improve that assessment.



Impact Assessments (IA)

Evidence-based methods used to evaluate the outcomes of a policy.

The aim of an IA is to assist policy makers by predicting, evaluating or balancing the effects of specific policy choices.

Several types of impact assessments have emerged, among them:

- Regulatory Impact Assessment (RIA)
- Sustainability Impact Assessment (SIA)
- General Impact Assessment (IA)
- Environmental and Social Impact Assessments (ESIA)
- Economic Impact Assessment (EIA)
- Territorial Impact Assessment (TIA)
- Urban Impact Assessment (UIA)

Ex-Ante Impact Assessment:

prospective analysis of the potential impact of an intervention or a decision; a coherent analysis of the reasoning that lies behind and the foreseeable effects of any proposed measure or policy initiative (European Parliament, 2015).

Ex-Post Impact Evaluation:

evaluation aims to understand how and to what extent a policy intervention corrects the problem it was intended to address (OECD, 2022).



Teaching example (Lithium Mine)

Regional authorities need to conduct an ex-ante IA to assess several dimensions of impacts, with the mandate to authorize or not the installation of a lithium mine in the mountain of Florivenza, 3km away from the city.

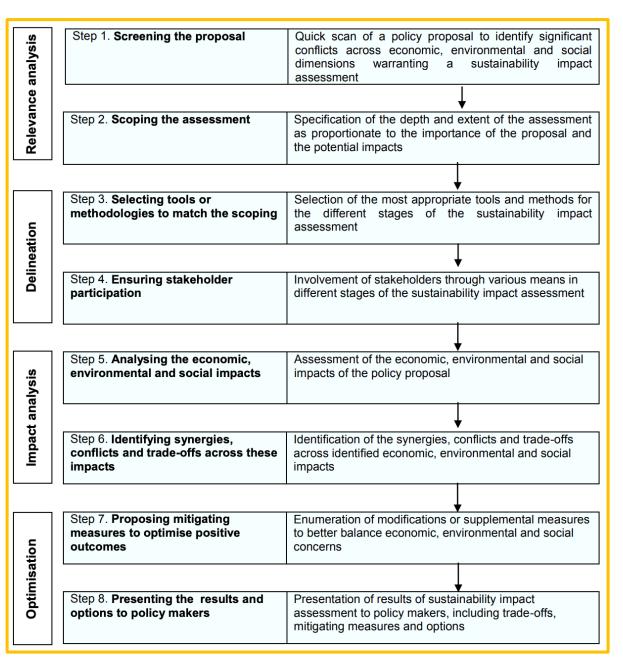
For this example you may need to consider (together or separately)...

- **Environmental Impacts:** Biodiversity, water use and pollution, soil degradation, air quality, CO2 emissions...
- **Economic Impacts**: job creation, economic growth, cost of environmental mitigation, long-term viability, impacts on other sectors..
- **Social Impacts:** public health, resident's displacement, migration, affected communities, gender, labor market..
- Regulatory Impacts: compliance with environmental laws, liabilities, labor law, CSR, land-use regulation, extraction rights...

Ex-Ante Impact Assessment:

Involves a prospective analysis of the potential impacts of an intervention or decision; a coherent analysis of the reasoning that lies behind, and the foreseeable effects of any measure or policy initiative.





IA methodology: sequence of steps

Relevance Analysis

- Screening
- 2. Scoping

Delineation

- 3. Selecting tools
- 4. Ensuring stakeholder participation

Impact Assessment

- 5. Analysis
- 6. Identify synergies, conflicts and trade-offs across impacts

Optimisation

- 7. Propose mitigation measures to optimise outcomes
- 8. Presenting results and options to inform a policy decision

Based on: OECD Guidance on Sustainability Impact Assessment (OECD, 2010)



Exercise 3: Steps for preparing an IA... Relevance Analysis (1,2) and Delineation (3,4)

Considering the IA steps described in the previous sequence, we will go through...

- Screening → formulate the questions (what impacts do I need to assess) to determine the need of an IA
- Scoping → decide the depth and extent: types of evidence needs, public, sectors and stakeholders concerned.
- **Selecting tools** → define most appropriate <u>tools and methods</u> for the impact assessment.
- **4)** Stakeholder participation → decide how to <u>involve stakeholders</u> trough different stages.



Exercise 3: Preparing for an Impact Assessment

| RELEVANCE ANALYSIS | | DELINEATION | |
|---|--|---|--|
| 1. SCREENING: WHAT TYPE OF IA? WHAT IMPACTS TO MEASURE? | 2. SCOPING: WHAT EVIDENCE NEEDS, WHO IS CONCERNED? | 3. SELECTING: SELECTING TOOLS AND METHODS | 4. INVOLVING: ENSURING STAKEHOLDER PARTICIPATION |
| | | | |
| | | | |
| | | | |
| | | | |



Exercise 3: Preparing for an Impact Assessment [Applying the Teaching Example - Lithium Mine]

| RELEVANCE ANALYSIS | | DELINEATION | |
|---|---|---|---|
| 1. SCREENING: WHAT TYPE OF IA? WHAT IMPACTS TO MEASURE? | 2. SCOPING: WHAT EVIDENCE NEEDS, WHO IS CONCERNED? | 3. SELECTING: SELECTING TOOLS AND METHODS | 4. INVOLVING: ENSURING STAKEHOLDER PARTICIPATION |
| What type of IA? Social and Environmental Impact Impact Assessment (SEIA) What impacts do I need to measure? - Biodiversity - Water waste and pollution - Soil degradation - Air quality - Community Health and safety - Vulnerable residents - Affected sectors (agri, local) - Gender implications - Socio-demographic effects | What evidence needs? - Data on local flora and fauna - Exposure to toxic metals - Water quality and use reports - Risks air pollution and dust - Incidence of lithium on health - Residents distribution in area - Land use and agrculturali exploitations - Specific impact according to gender and social status Who is concerned: Residents, environmental associations, CSOs (Save the Mountain), public health officials, local farmers | Environmental studies and scientific experiments - Ecosystems assessments - Air quality modelling - Soil and water sampling (levels of contamination) - GIS mapping (changes in land and potential risks in habitat) Social research, economic - Public health statistics (lithium mining and health outcomes) - Economic forecasting (local sectors, projections for job creation) - Linking admin data (residents) - Social surveys and interviews | Public Consultations: To gather input and feedback from affected parties. Stakeholder Workshops: To facilitate collaborative analysis and problemsolving. Surveys and Questionnaires: To collect data on community perceptions and expectations. Participatory Monitoring: Engaging local communities in the ongoing monitoring of environmental and social impacts. |

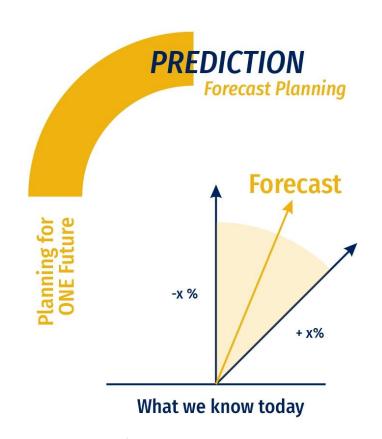


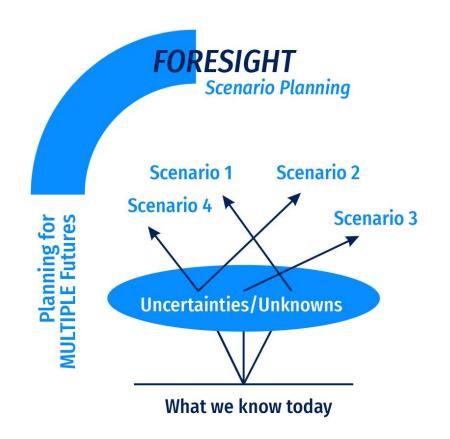
Impact assessments are one way to think ahead

- Some forms of impact assessments can help us look ahead and anticipate the impacts of a policy.
- There are also a number of other tools that can helps us do that.



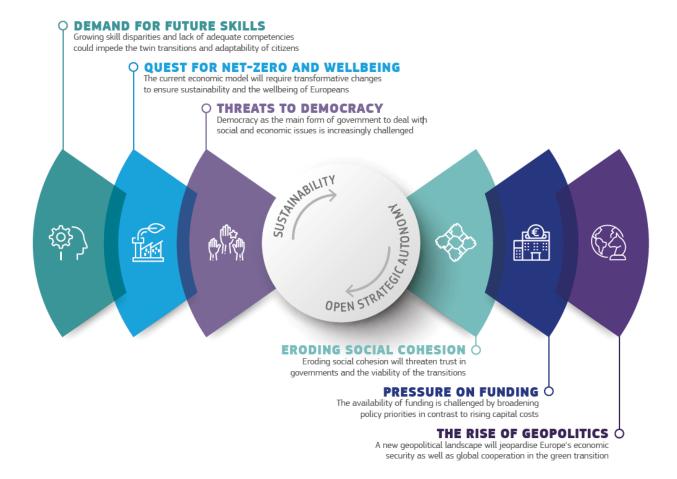
Tools for thinking ahead







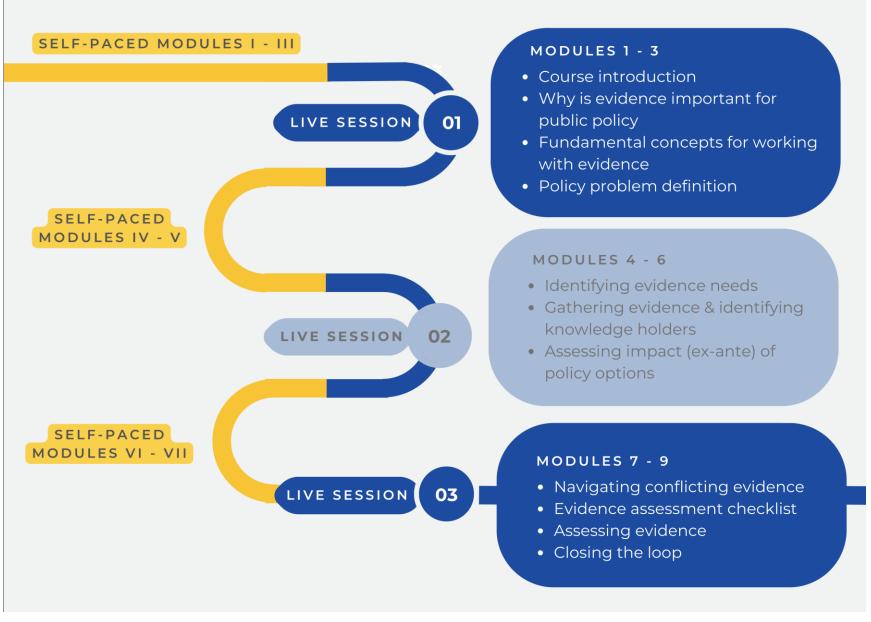
Why do we need to Think Ahead?





Wrap-up Day 2 & Introducing Day 3

- This module explored why we need to think broad about our policy challenges to improve how we work with evidence for policymaking
- We worked on how to gather evidence and different types of evidence
- We learned how to think about assessing the impact of a policy option.
- In the next session we dive deeper into assessing evidence in the context of challenges that we face while doing that



Course overview



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- Science meet regions pairing schemes: https://joint-research-centre.ec.europa.eu/science-meets-regions/pairing-schemes en



Mapping of resources

- Knowledge4policy platform: https://knowledge4policy.ec.europa.eu/home_en
- Eurastat: https://ec.europa.eu/eurostat/
- JRC Repository: https://publications.jrc.ec.europa.eu/repository/
- Open Access Journals: https://doaj.org/
- OECD indicators: https://www.compareyourcountry.org/key-indicators
- Eurobarometer: https://europa.eu/eurobarometer/surveys/detail/3052
- ERRIN: https://errin.eu/
- Have Your Say Portal: https://ec.europa.eu/info/law/better-regulation/
- Call for Evidence, published initiatives: https://ec.europa.eu/info/law/better-regulation/have-your-say/initiatives-en-
- ESPAS: https://www.espas.eu/
- Urban Data Platform Plus: https://ec.europa.eu/newsroom/jrcispra/items/684852/
- Cohesion Open Data Platform: https://cohesiondata.ec.europa.eu/funds/jtf/21-27
- Network of Regional Hubs: https://cor.europa.eu/en/our-work/pages/network-of-regional-hubs.aspx#1
- Knowledge Centre for Territorial Policies: https://knowledge4policy.ec.europa.eu/territorial_en
- EU climate target for 2040 initiative: https://ec.europa.eu/info/law/better-regulation/have-your-say/initiatives/13793-EU-climate-target-for-2040 en



Thank you



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