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INCLUSION

Deliverable D5.2

Process Evaluation Plan

Version: 1.2

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Abstract	This document describes the rationale, approach and concrete methods of the INCLUSION process evaluation, starting with an executive summary as Chapter 1. Chapter 2 presents a general overview of the INCLUSION project as such while chapter 3 introduces key aspects of INCLUSION's process evaluation task 5.2. The ensuing chapter 4 elaborates this further by defining in greater detail the purposes of a process evaluation in general. Concrete data gathering methods are described in chapter 5 while chapter 6 spells out the responsibilities of relevant consortium partners for specific tasks. A set of concrete evaluation questions (a so called "questions bank") is being presented in chapter 7, followed by a chapter 8 on the data analysis procedures. The final chapter 9 is dedicated to important ethical aspects and data protection issues of the process evaluation.
Keywords	Process evaluation; INCLUSION; quality criteria; questions bank; data gathering; interviews; focus groups; surveys; data analysis

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0.1	Sept. 10 2018	Kristin Tovaas	Outline
1.1	Sept. 28 2018	Ralf Brand	First share-worthy draft
1.2	Dec. 6 2018	Ralf Brand	Version with comments from reviewers (Memex and BUSUP) incorporated

Contents

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1 Executive Summary

The INCLUSION Process Evaluation Plan spells out the rationale, approach and concrete methods of the INCLUSION process evaluation (PE). Its target audience is the entire INCLUSION consortium, especially the managers and (if different) local evaluation staff of the Pilot Labs plus their support partners. A secondary target audience is the wider public, because the credibility of the PE results rests on a clear and transparent PE strategy.

Chapter 2 presents a general overview of the INCLUSION project as such while the following chapters elaborate on the rationale of a PE in general with references to the INCLUSION Description of Action (chapter 3) and the PE literature (chapter 4). A prominent representative of the latter describes the ultimate aim of a process evaluation as "to get insight in the stories behind the figures and to learn from them" (Dziekan et al., 2013, p. 80). In other words, for the INCLUSION Pilot Labs, the PE is meant as an opportunity to think carefully about *who does what and why and what has which kind of effect and why* in order to improve the overall outcome.

The concrete methods for the gathering of various types of data are explained in chapter 5. They include online surveys, semi-structured interviews, interactive drawing exercises and focus group meetings. This chapter also spells out the specific times during the project at which these methods are to be applied. The document also contains sets of questions that will guide the PE processes at each of the three corresponding project and evaluation phases: Preparation, Implementation and Operation.

Chapter 8 explains the data analysis procedure that will feed into the final formation of conclusions and the way in which these will be cast into a final report. The final chapter 9 is dedicated to important ethical aspects and data protection issues of the process evaluation.

2 Introduction to the INCLUSION project

This chapter is a 1:1 copy from the corresponding document D5.1, the *INCLUSION Impact Evaluation Plan*. Both documents should be comprehensible as stand-alone documents and should therefore contain a brief introduction about the INCLUSION project as such. For efficiency reasons, the two responsible authors (University of Aberdeen for D5.1 and Rupprecht Consult for D5.2) agreed to replicate this introductory chapter in both documents.

In a continuously changing transport environment, where individuals' mobility requirements become more complex and the role of new forms of transport solutions is growing, public transport (PT) fills an important role in providing for people's needs and in adding value to society. Recent studies from the UK Department of Transport[1] show how PT plays a vital role in most transport areas, particularly in the most deprived urban neighbourhoods or remote rural areas. Where local bus services are reduced, passengers are often unable to make alternative transport arrangements. For 1 in 5 bus journeys, a practical alternative does not exist. For people living in the area, this may mean not taking a job, not taking advantage of educational opportunities, not taking care of health needs or not seeing friends and family.

The main objective of the INCLUSION project is to understand, assess and evaluate the accessibility and inclusiveness of transport solutions in European prioritised areas[1], to identify gaps and unmet needs, propose and experiment with a range of innovative and transferable solutions (including ICT-enabled elements), to ensure accessible, inclusive and equitable conditions for all and especially vulnerable user categories. The project will address this objective through a series of Work Packages (WP) as illustrated in Figure 1. WP1 involves investigating the current conditions across a representative set of European prioritised areas, understanding the relevant needs of various vulnerable user and social groups, while WP2 is assessing how novel transport solutions involving social innovation and ICT tools can help raise the level of accessibility, inclusiveness and equity of mobility in the reference areas and for the concerned users. WP3 is developing a large set of case studies involving different forms of geographical areas and transport contexts, demographic categories, population groups and mobility solutions. The case studies will provide concrete experiences from various European sites and pilot initiatives involving both public and private transport providers and a variety of regulatory and business frameworks, as well as supporting technologies, organisational and operational conditions.

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[1] Within the INCLUSION project, 'Prioritised areas' are those that have individual or composite characteristics (spatial, demographic, and socio-economic) that may contribute to limiting mobility and/or accessibility options.

Complementary to this research, within WP4, a number of innovative solutions will be developed and implemented through real-life measures/interventions in a selected group of so called "Pilot Labs", directly involved in the project through the participating organisations. The target pilot labs, in Belgium, Germany, Hungary, Italy, Spain, and the UK, provide direct access to a variety of different transport environments, socio-economic contexts, cultural and geographical conditions. WP5 will undertake a quantitative assessment of the impacts and a qualitative process evaluation of the innovative transport solutions implemented in the INCLUSION pilot sites. WP6 will frame the lessons learnt and derive transferable solutions as regards technological, social and organisational innovation and their combination into effective, efficient and affordable mobility solutions with viable socio-business models (i.e. models not only economically, but also socially, acceptable and sustainable).

The research and achievements obtained through case studies investigation and innovation experiments will be significantly enhanced and validated via external collaborations established through a Stakeholders' Forum, set up at the onset of project activities and comprising transport operators, local authorities, users' associations, and advocacy groups, from different EU member states.
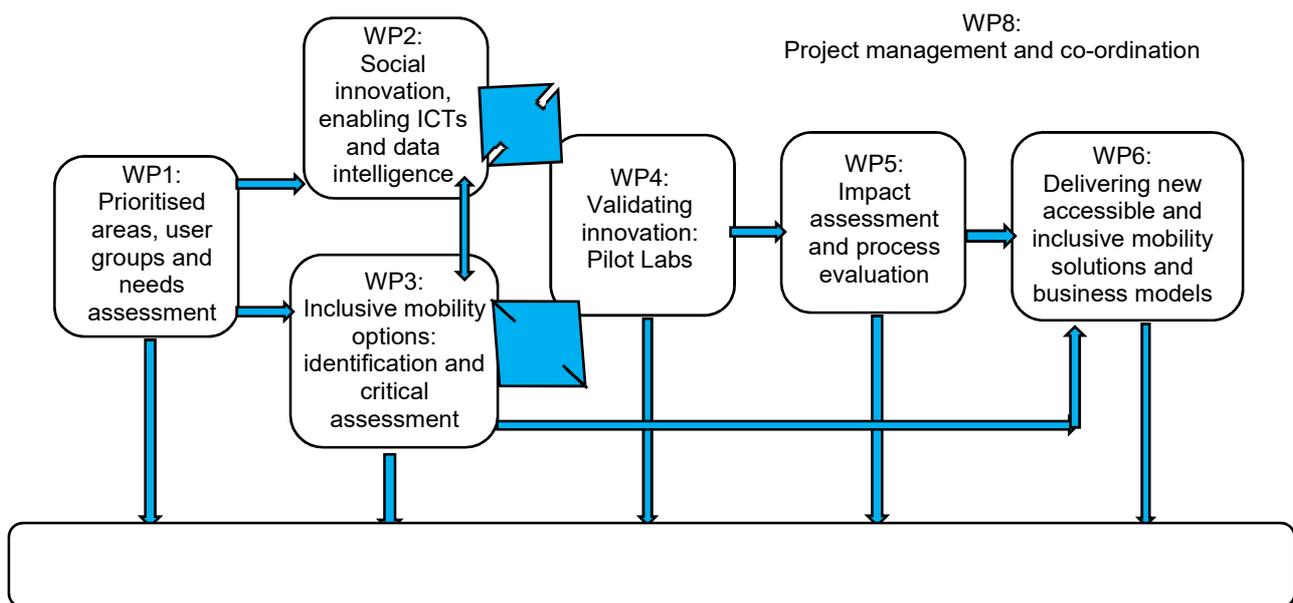

Figure 1: WP interrelations

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3 Process Evaluation of INCLUSION's Pilot Labs

According to INCLUSION's Description of Action (DoA), Work Package 5 consists of two elements, the Impact Evaluation and the Process Evaluation of the Pilot Labs; the latter is covered as a separate Task 5.2. The combined and integrated interpretation of both evaluation elements will provide the necessary understanding of the effectiveness of the INCLUSION Pilot Lab measures. The document at hand is the Process Evaluation Plan and articulates the purpose and approach of the Process Evaluation. It is due in project month 13, i.e. October 2019 and will be submitted as Deliverable 5.2. The impact evaluation for the Pilot Labs is described in the separate document D5.1.

In order to provide the complete context within INCLUSION, we provide – in the following box – the verbatim description of Task 5.2:

> T5.2: Process evaluation and execution (M10-M30)
>
> (Task Leader: RUPPRECHT, Partners: MEM, VRS, BUSIT, TAXISTOP, HITRANS, BUSUP, BKK)
>
> The first step within Task 5.2 will be the definition of a detailed methodology (based on the experience acquired from various CIVITAS projects) to develop an in-depth understanding of the entire PL process (from planning to implementation; including specific operational tasks and the role of communication, information and participation). The purpose is to capture and analyse "the stories behind the figures" in order to understand the mechanisms, barriers, drivers, actors and context conditions that explain the factual results as determined in Task 5.4. The process evaluation will also deliver crucial inputs for the transferability assessment (Task 5.5.) and for recommendations for practitioners and policy makers (Task 5.5). The process evaluation strategy will encompass the following methodical elements:
>
> i) Collection of data/information on PLs to facilitate systematic comparison and sharing with the INCLUSION Evaluation Group (IEG) and the PLs. More specifically, each PL will use a template in which typical information/data are reported – concerning scope, extent and goals of the measure(s) to test, data sources, PL context relevant facts and figures, representatives and stakeholders involved and the relationships between them, steps of the implementation process (including drivers and barriers and, at the end of the project, lessons learnt). The PLs are in charge of collecting and processing tests measurements and data, and supplying them to the IEG;
>
> ii) At least two semi-structured interviews with at least two representatives of each PL; once towards the beginning of the implementation phase and once towards the end. The interview schedule will address a range of common questions across all PLs and several PL-specific questions that emerged during the template-based data collection (see above) Participants & Role in the task:
>
> RUPPRECHT will co-ordinate the creation of the Process Evaluation Plan and its execution. Selected other partners will contribute to all task activities, in particular those who act as support partner for specific Pilot Labs and who possess specific language skills.
>
> Outcomes:
>
> Task 5.2 will result in two deliverables: D5.2, the Process Evaluation Plan (Month 13) describing the methodology to collect relevant data to evaluate the process, including specific data collection templates) and D5.3, the overall Process Evaluation Results (Month 30), which will, already during their development, fed into Task 5.5.

4 The purpose of Process Evaluation

Due to its inevitable conciseness, the DoA cannot elaborate on the purpose of a Process Evaluation (PE). Nevertheless, it is very important for the INCLUSION Pilot Lab representatives to understand the basic PE principles and objectives in order to foster their commitment and active participation.

Van Rooijen et al. (2013), for example, explain that the main goal of the process evaluation is:

"to develop new findings about factors of success, and strategies to overcome possible barriers during the implementation phase by analyses of all relevant information. Together with the results of the impact evaluation the documentation of the process evaluation will be the basis for the information and recommendations for other European cities" (p. 79)

Similarly, Dziekan et al. (2013) elaborate that the process evaluation focuses

"on the means and procedures by which a measure is implemented. It begins during project development and continues throughout the life of the project. Its intent is to assess all project activities, negative and positive factors which are influencing the measure implementation process and thus provide information to monitor and improve the project. (p. 17)

To the Pilot Labs in particular, it is important to highlight that a PE is not merely a monitoring activity, let alone a judgemental audit that mischievously "sniffs around", eagerly searching for any evidence of things gone wrong. It is a much more constructive activity with the "ultimate aim … to get insight in the 'stories behind the figures' and to learn from them" (Dziekan et al., 2013, 80) so that oneself can constructively reflect upon things that could be improved and, obviously,

Figure 2: Source: Dziekan et al. (2013)

that other cities do not have to reinvent the wheel and can reduce the trial-and-error components in their own implementation measures.
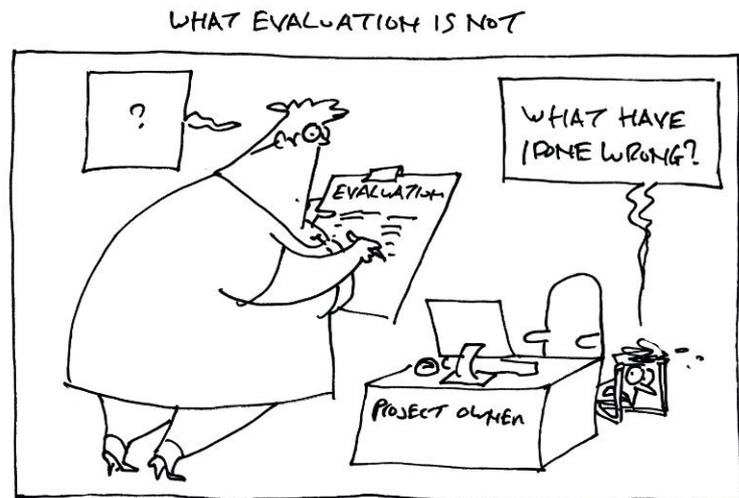
This is important, because the complex reality of project implementers "on the ground" is typically far from ideal like in a controlled laboratory setting. On the contrary, most measures face a multitude of challenges like cultural issues, lack of political support, technical hiccups, public opposition, mis-communication and many more. For any Pilot Lab and even more so for anyone trying to implement a similar measure in another area, it will be very interesting to know how a certain outcome was produced, which informal patterns were at play "behind the

scenes", which unanticipated consequences emerged but also which positive factors were utilised and how problems have been overcome and so forth. In essence, then, the PE is about identifying and understanding drivers and barriers.

Dziekan, K. et al. (2013, p. 82) specify the following types of barriers and drivers:

- *Political / strategic*
- *Institutional*
- *Cultural*
- *Involvement, communication*
- *Planning*
- *Organisational*
- *Financial*
- *Technological*

In other words, whereas an Impact Evaluation focuses on the input and the output of a complex system – typically conducted as a before-after-comparison – the Process Evaluation opens the black box of the system and looks inside to understand the cogs, chains and gears that are at work. This can help to detect the reasons for "delays, changes, failures but also success of the measure … [and] to avoid making the same mistakes again" (Dziekan et al., 2013, 80). If conducted early enough, a PE has even a

Figure 3: Source: Dziekan et al. (2013)

preventative effect by providing insights about how a measure can be improved over the course of the remaining time.

Further purposes of the PE should be mentioned, in particular, a certain awareness-raising effect at early stages of the project through critical questions about issues that might arise, that the literature suggests or that the respondents could – based on a frank ex-ante reflection – envisage themselves.

5 Data gathering

The task 5.2 description in the DoA includes only a few references to appropriate evaluation methods. Such scarce indications obviously require further definition. The specification of the PE methods is guided by some overarching principles, including the practicability and proportionality of all data gathering efforts. In terms of data acquisition, it is important to

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utilise data / material that is collected anyway (regardless of the purpose and regardless of the collecting project partner) to the extent possible. This includes minutes of monthly tele-conferences, notes of WP workshops, review surveys etc. and requires coordination between all task-leaders that request information from Pilot Labs at some point.

It will, however, also be necessary to gather additional primary data through various means such as:

5.1 Online survey

As a technique to gather quick and standardised views of key Pilot Lab representatives (and to add breadth to the depth of the intensive conversational techniques mentioned below) online surveys will be considered as part of the process evaluation methods. Such surveys make the data entry / information submission procedure very convenient and allow to capture the opinions of a broader set of individuals compared to in-depth interviews. The likely structure of the reporting survey will be as follows:

- *General information such as the name of the Pilot Lab, the current project phase, target groups and partners involved in the measure implementation and information about the person who completed the form with contact information. Some of this information has to be provided in the first PE phase only and can be copied to the following phases. Afterwards, only specific changes have to be reported.*
- *Information about Pilot Lab objectives. This information will have to be reported most thoroughly in the first phase – afterwards, only changes to the Pilot Lab objectives have to be reported, if applicable. Wherever possible, statements about Pilot Lab objectives that have already been provided within WP4 activities will be provided for validation.*
- *The content section should contain "the documentation of the process barriers and drivers as well as of the activities undertaken to deal with the identified problems" (Dziekan et al., 2013, p. 85). It is envisaged that this section will also include one question about the most (second most, third most …) important barriers and drivers.*
- *Risks. A brief separate section will ask about previously identified risks (and how they were managed) and about currently perceived risks, the corresponding risk management strategies and the planned mitigating countermeasures.*
- *Any other comments.*

The PE task leader will set up such an online questionnaire with the software Qualtrics. Each Pilot Lab will be required to submit core data at least once per phase (preparation; implementation; operation). Where the nature of the question/answer is suitable to the expression of *degrees* of dis/agreement, Likert scales will be used.

5.2 Semi-structured interviews

Semi-structured interviews will be another part of the data gathering toolkit. Such live conversations with knowledgeable representatives of the Pilot Labs (mainly project partners) make it possible to gain deeper insights into the context conditions, success factors of a

project, its (historical) background, supporters, opponents and also to learn about difficulties encountered and how (or to what degree) they were overcome.

One interview will be held with each Pilot Lab during each of the three phases. Whenever possible, such conversations will take place in face-to-face settings, ideally in conjunction with consortium meetings. Where this is not possible interviews will be conducted over the telephone or VoIP (e.g. Skype). Interviews are expected to last between 30 and 90 minutes; on average about 45 minutes.

A tentative interview schedule ("questions bank") is included in this document as chapter 7. Full audio recordings of such interviews (and concomitant verbatim transcriptions) will only be done in rare cases – and only with the interviewee's explicit written consent (see chapter 9). Typically, the interviewer will take written notes during the conversation on a digital device. In cases of remote conversations, the persons conducting the interviews will offer their interviewees to share their screen during the conversation so that the informant can see live the notes the interviewee is taking and thus to ensure the correct representation of the respondents' views. In any case, these notes will be shared with the interviewee shortly after the interview so that the informants can check the congruence of the notes with what they intended to convey ("member check").

All interviewees will always be offered a signed Informed Consent Agreement, which articulates the PE team's promise to protect everyone's anonymity – if so desired (see chapter 9).

5.3 Interactive drawing exercises

Interactive drawing exercises can complement the interviews, because they can stimulate the articulation of tacit knowledge and experiences that would otherwise evade the attempt to express them verbally. Various techniques will be employed, depending on the situation. Examples are:

- *Venn Diagram of key stakeholders: Respondents will be encouraged to "think out loud" while they draw a map of all actors (Venn diagram) and their relationships as they subjectively perceived it, using different colours for different power grades. A hypothetical result of such an exercise is shown on the right.*

- *Retrospective Gantt Chart: Respondents will be invited to articulate their thoughts while they draw a retrospective Gantt chart of the initiative's evolution over time. A hypothetical example of such an exercise is shown on the right.*
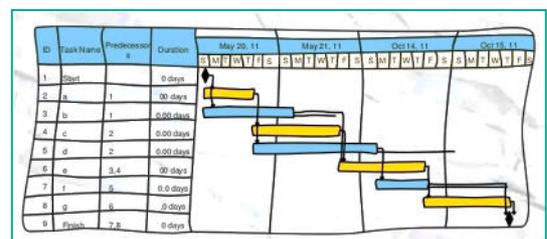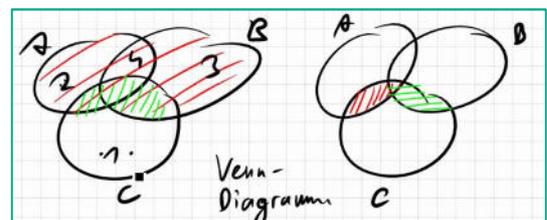
5.4 Focus groups

Focus groups can play a valuable role in a PE process and will be held depending on needs and possibilities. It is foreseen to conduct focus groups at least within the context of each general consortium meeting with a selected group of participants, that is consortium partners. Such focus groups would not be Pilot Lab specific; instead they would include members from multiple or even all Pilot Labs and revolve around certain shared topics like funding challenges, questions around the involvement of hard-to-reach groups, political context conditions etc.

The added value of focus groups is based on the live and synchronous social interaction among ca. 8-12 people in the same room, who might contradict or confirm each other, who question each other's premises, demand clarification, interrogate motivations etc. ("live triangulation").

Focus group meetings will be held under the Chatham House Rule, which stipulates:

"When a meeting, or part thereof, is held under the Chatham House Rule, participants are free to use the information received, but neither the identity nor the affiliation of the speaker(s), nor that of any other participant, may be revealed."

This rule has often shown to facilitate the expression of frank and uninhibited statements from the participants. In addition, focus group participants will also be offered a signed Informed Consent Agreement, which articulates the PE team's promise to protect everyone's anonymity (if so desired). It is not foreseen to audio-record such conversations but to take detailed written notes; these will – again – be circulated among all participants shortly after the event with a request to check whether important views are correctly reflected in the meeting minutes.

5.5 Timing

The literature on project management in general and on process evaluation in particular typically differentiates between three project phases, to which the INCLUSION PE process correspond. Van Rooijen et al., for example, distinguish:

- *"Planning, preparation and design phase. Options for possible measures are discussed … engagement activities for stakeholders are organised … to achieve a high level of acceptance. At the end of this phase all planning details are fixed …*

- *Implementation (construction) phase. The measure will be implemented in real life … accompanied by information activities for the public … At the end of this phase the measure starts operation.*

- *Operation phase. The measure is opened to the public … specific information and communication campaigns to bridge possible information gaps of (potential) users" (2013, p. 27).*

The process evaluation will follow each Pilot Lab across these three phases and will therefore gather related data in each of them, i.e. three times over the course of the project. The three phases roughly fall within the following periods:

- *Preparation*　　　*project months 8 – 15*　　　*May '18 – Dec. '18*
- *Implementation*　　*project months16 – 23*　　　*Jan. '19 – Aug. '19*
- *Operation*　　　*project months 23[2] – 36*　　　*Sept. '19 – Oct. '20*

The above considerations can thus be summarised in the following overview table:

	Method	Source	Timing
Written	Review of existing material	Monthly WP4 TelCo notes	Continuous
		Pilot Lab set-up report	
		Other – to be coordinated with other project partners	
	Online questionnaire		One per Pilot Lab, one per phase
Verbal	F2F or telephone interviews	Primary	One per Pilot Lab, one per phase
	Focus groups		Attached to consortium meetings
Visual	Venn Diagram		Optional with interview
	Retrospective Gantt Chart		Optional with interview

5.6 Data Recording and Storage

Any related primary data (interview notes, survey results, scans of hand-drawn material) will be encrypted in order to protect the informants' identity. In all further analysis steps, interim and final PE documents, pseudonyms will be used. The key between pseudonyms and real names will be password protected and only accessible to people involved in the actual PE process. Care will be taken not to disclose the respondents' identity through reference to their location, position etc. All related data will be stored at computers with an at least weekly routine back-up system until 5 years after the end of the INCLUSION project.

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[2] *This does not preculde an earlier start of the operation phase.*

6 Responsibilities

The following overview specifies the responsibilities for various aspects of the process evaluation activities:

Rupprecht Consult (T5.2 leader)	● *Overall PE coordination* ● *Interviews (face-to-face and telephone)* ● *Focus groups* ● *Data analysis* ● *Provide interim feedback* ● *PE Report*
Pilot Lab coordinator	● *Provide data / information* ● *Engage in conversations*
Support partner *	● *Collect and submit information* ● *Engage in conversations*
All technical support partners, esp. WP4 leader Memex	● *Provide material that is being collected from other consortium partners anyway, for example minutes from routine WP4 coordination tele-conferences.*

* The crucial role of local support partners deserves specific mention because they are expected to serve in a role as reporting "tutors". This means, that they are expected to discuss PE-related issues with Pilot Lab representatives *before* the latter respond to surveys or give a PE interview. The INCLUSION support partners are:

- *Rupprecht Consult, Germany*   *for Verkehrsverbund Rhein-Sieg, Germany*
- *MemEx, Italy*   *for BUSITALIA Sita Nord, Florence, Italy*
- *(no support partner)*   *for Taxistop, Brussels, Belgium*
- *University of Aberdeen, UK*   *for HITRANS, Inverness, United Kingdom*
- *Mosaic Factor, Spain*   *for BUSUP TECHNOLOGIES, S.L., Spain*
- *(no support partner)*   *for BKK Budapesti Közlekedési Központ, Hungary*

7 Questions bank

The question bank presented below, is structured along the basic chronology of all INCLUSION Pilot Lab processes. This list of questions is a direct result of all of the above considerations, in particular, the various purposes, quality criteria and time sequences of a process evaluation. The list is by far not exhaustive, and in many ways overambitious, but still gives an indication about the type of questions that are likely to be asked. The actual selection

of questions will be tailored to the nature of each Pilot Lab, the results of the online survey, role of interviewee and further case-specificities. Any questions starting with "what", "which" etc. will be accompanied by corresponding explorations of the underlying reasons ("why").

Early Stage (benchmarking)

Context

- What are external context conditions at the meso- and macro-level (regional government; national laws and regulations; public sensitivities; …)
- What are the locally specific context conditions and trends that explain your Pilot Lab's goals and planned strategies and how important are these? (historical, geographical, financial, technological, political, cultural, institutional, organisational)

Approach

- What actions are being planned in your Pilot Lab? (technical activities but also communication, information, participation)
- How much does your approach rely on "compatible" / disciplined behaviour of users?
- Are there any competing alternative products, services, technologies available?
- Which precedents / sources of inspiration did you use?

Beneficiaries

- Which are the intended beneficiaries of your initiative?

Technology / materiality

- Which novel technical / technological solutions or improvements are you planning to deploy?
- What are the expected roles and benefits of ICT in the sense of an enabling technology?
- Which artefacts, objects, materials play a role in the development of your initiative?
- How important is (big) data for your approach?

Organisation

- What kind of organisational innovations are you planning?
- Which operational arrangements do you intend to set-up?
- Are responsibilities clearly articulated, assigned and accepted?

Regulations / permissions …

- Do you expect any activities to require certain certificates, permissions, approvals, …?
- Are there any regulations which limit the scope or ambition of the activity, or perhaps dictate how or to whom it can be delivered?
- Are there any foreseeable liability issues to take care of?
- What about contractual issues, e.g. with suppliers, with support partners, with citizens, …?

Finances

- What are the initiative's main sources of income? (differentiate btw. private and public)
- What is the budget used for?
- Is the initiative built around a specific business model?

Stakeholders

- Optionally: Ask interviewee to develop a Venn Diagram of key actors
- Who do you expect to be your key stakeholders and what are their known or assumed vested interests?
- How would you assess the level of existing awareness / knowledge / acceptance among policy makers, stakeholders, the wider public?

Communication

- What are your key approaches to internal communication? Why these?
- What are your key approaches to external communication? Why these?

Barriers

- What problems can you envisage / anticipate?

Interim Stage

Many of the above questions retain their relevance during the interim stage but will be modified to reflect the time context, e.g. by changing a statement like "how do you expect …?" to "in hindsight, how was …?"

Approach

- Were new services developed and offered?
- Are any modifications to your approach foreseen?
- How much does the success / failure of your approach depend on "compatible" / disciplined behaviour of users?
- Are there any competing alternative products, services, technologies?

Beneficiaries

- Is there evidence about the degree to which the originally targeted beneficiaries are indeed benefitting from the interventions?
- Is there evidence of any group(s) benefitting from the interventions that were not originally anticipated as target beneficiaries?

Technology / materiality

- Which novel technical / technological solutions have you deployed?
- What are the roles and benefits of ICT in the sense of an enabling technology?
- Which artefacts, objects, materials play a role for the success / failure of your initiative?

- How important is (big) data in hindsight?

Organisation

- What kind of organisational innovations have you implemented?
- Are responsibilities clearly articulated, assigned and accepted?
- Are there sufficient written agreements?

Regulations / permissions …

- Did any activity require certain certificates, permissions, approvals, …?
- Did you encounter and liability issues?
- What about contractual issues, e.g. with suppliers, with support partners, with citizens, …?

Finances

- What are the initiative's main sources of income? (differentiate btw. private and public)
- What was the budget used for?
- Could the same effects have been achieved with fewer efforts, fewer resources, less time?
- Had you had more financial resources what would you have done differently?

Long-term prospects

- How do you see your initiative to be maintained in the long term (5, 10, 20 years) in terms of personnel, finances, permissions etc.?
- Are any modifications to your work programme foreseen?
- How resilient do you consider the initiatives to external changes (e.g. rise of fuel prices)

Sustainability

- Describe the balance between economic, social, environmental (+ aesthetic) impacts of the initiative
- Is this initiative in line with specific sustainability goals (e.g. Paris agreement, Millennium goals, …)

Knowledge, expertise, know-how

- What factual knowledge, know-how was vital for the initiative?
- Is this type of information formal or tacit?
- Who held / holds such important information?
- What data/information would have been useful to have (before, during, after)?

Reception

- Was / is there awareness of the problems the initiative is trying to address?
- How was the original idea received among authorities, citizens etc.?

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- How is the initiative received by those actively involved (workers, drivers, maintenance personnel, office workers, software handlers, … re: comfort, health, safety, working hours, …)
- What do stakeholders, passengers, non-users say? (evidence based, i.e. surveys etc.)
- What aesthetic impacts (visual, acoustic, olfactory) are you aware of?

Stakeholders

- Which stakeholder did what in what time sequence and why? Possibly develop retrospective Gantt chart and/or Venn Diagram with respondent.
- Who has been involved in the planning / implementation process so far? (stakeholders and wider public)
- What other stakeholders should have been involved and why? Which ones should not have been involved?
- Is it important to differentiate stakeholder roles by phase? (problem analysis, planning, implementation, …)
- How has the cooperation worked so far…
    - o intra-institutional (e.g. across department, …) and
    - o inter-institutional (utilities, housing associations, …)

Communication

- What information has been provided to which stakeholders and the general public at which stage?
- What is the role of the media (local newspaper, radio, online journalism, social media, …)

Impact

- Are there any ongoing or periodic evaluation activities taking place? If so, could we get access to the results?
- What impacts have materialised in your Pilot Lab so far?
- Are there any other external factors or initiatives active alongside the INCLUSION measure which affect or influence the INCLUSION measure effectiveness/impact?

Supporting factors

- What (in a very wide sense) fostered the process? (expected and unexpected). How and to what degree?
- How would you rate public support or opposition to your Pilot Lab?
- Who were / are promoters and supporters of your initiative?
- What support was crucial? What support would have been good?

Barriers

- What were / are the main obstacles? Were they anticipated or not?
- Did you anticipate certain problems, which turned out much less serious?

- Were specific individuals and/or groups particularly hostile to the initiative?
- What non-human barriers (legal, regulatory, technical difficulties, …) did you encounter?

Final Evaluation (some questions from the Interim Stage to be repeated)

- What are the impacts on the pre-identified problems? Were the original objectives achieved?
- Are there any other external factors or initiatives active alongside the INCLUSION measure which affect or influence the INCLUSION measure effectiveness/impact?
- (How) do the actual results deviate from the expected results?
- How can the deviation(s) from the expected results (if any) be explained?
- Who are the impactees? Are some of them possibly "voiceless"? Have they all been consulted at some point along the process – when and how?
- What are the economic, social, environmental, aesthetic impacts?
- Have some of your external context conditions changed? (national laws; …)
- Have some of your locally specific context conditions changed? (e.g. change of political majority; landslide; public perceptions; major event; …)
- What did take more / less time than expected?
- Are there any positive impacts on problems that were not previously identified?
- Are there any unintended side-effects, positive / negative (also second-order effects)?
- Do you expect the achievements to be sustained for the next 5, 10, 20 years?
- Are the results compatible with / contradictory to other local policy goals?
- Have you detected or do you expect to have triggered any knock-on effects? (e.g. spin-off projects)
- What do stakeholders, passengers, non-users say? (evidence-based, i.e. surveys etc.)
- How do you interpret the acceptability signals from stakeholders, the political sphere and the general public?
- What aesthetic impacts are you aware of, acoustic, olfactory, visual?
- Contractual issues, e.g. with suppliers, with support / complementary partners, with citizens
- Are there any spatial issues, e.g.
  o *with regards to topography (valley, hill, …)*
  o *proximity to high-demand centres*
  o *real estate prices*
  o *start of bus line, end of line, along the line*
- Anything to report with regards to time
  o *Seasons, months, weeks, day of the week, time of the day, minutes, seconds*
  o *Subjective perception of time (e.g. waiting times / idle times)*
  o *Night times, rush hours etc.*
  o *Timetabling /scheduling*

- Financial implications
  - *Investment costs (infrastructure, hardware, software, …)*
  - *Labour costs (incl. re-training)*
  - *Capital costs*

In addition to these phase-specific questions, some of the following questions will be addressed and discussed at various points of the PE process:

Critical Reflection

- Would you say that all key elements of cause-effect chains are well understood; or only assumed; or unknown?
- What should have been done differently and why?
- What should not have been done at all?
- What other stakeholders should have been involved and why? Which ones should not have been involved?
- What decisions should have been pre-made?
- What expected obstacles were serious problems? Which ones did not turn out problematic?
- What unexpected obstacles emerged?
- What data/information would have been useful to have (before, during, after)?
- Could the same project-level effects have been achieved with fewer efforts, fewer resources, less time? (efficiency)
- Could the same (or better) macro-level effects have been achieved with completely different measures?
- What are relevant political context conditions (all hierarchical levels)?

Recommendations

- Policy recommendations (local, national, EU) (re: mobility, energy, …)
- What should someone else with similar aims pay attention to and why?
- What external factors (e.g. national laws) impacted in what way on our Pilot Lab?
- What recommendations would you give to which actors? (industry, SMEs, start-ups, regulators, policy makers, media, local activists, …)

8 Analysis and Conclusions

We assume that the majority of raw "data" for the PE will be qualitative. This material in itself does not "speak by itself" but requires an analysis step with the purpose

- *to detect patterns in the data,*
- *to sort similar types of information according to certain parameters,*
- *to identify similarities across Pilot Labs,*
- *to find correlations and causalities within Pilot Labs,*
- *to check for plausibility*

Such analyses and their results are most effective and credible when they are undertaken in a structured and transparent way so that the resulting conclusions are "solidly 'grounded' in the data collected" (DG BUDGET, 2004, p. 89). It is therefore necessary, to operate with an explicit analysis strategy, which is guided by the following key principles:

- *"Coding and abstraction. The identification of categories of concepts that are used to label data (coding), the grouping of linked categories of data and the conceptualisation of the latter at a higher level of abstraction to produce conclusions.*
- *Data matrices. The identification of key themes or dimensions and the sorting of data in respect to them, hence making patterns across data easier to draw out.*
- *Frequency counts. The identification of key themes and assertions and counting the number of times that they occur in the data.*
- *Time-series qualitative data analysis. The chronological ordering of data to provide an account of activities and events in such a way as to identify causal relationships." (DG BUDGET, 2004, p. 89)*

The Qualitative Data Analysis Software NVivo will be used for this purpose. It will facilitate a systematic testing for pre-existing and emerging ("grounded") hypotheses. This procedure revolves around the identification of suitable codes (like "tags") for specific units of information; sometimes as short as half a sentence. A code is meant to capture the essence of such a unit of information.

For example: An interviewee might report about the importance of state-funding during the early phases of a project when the conceptual cornerstones are being defined. The sentences that contain this information would then be coded with "subsidy" and "planning". Another interviewee from another case might report about the importance of subsidies for proper evaluation; this would trigger the application of codes like "subsidy" and "evaluation". At some point, the analysis could thus systematically retrieve all units of information that deal with subsidies.

Some codes will be pre-defined, corresponding to pre-existing assumptions and specific research interests such as the search for approaches that are likely or unlikely to be transferable to other context conditions. Examples include:

- *Sharing approaches have the biggest potential to alleviate the risk of transport poverty for people below the age of 40.*

- *Trust is a key ingredient of successful initiatives that aim at tackling the risk of transport poverty for older people and for women of any age.*

All INCLUSION partners – in particular the Pilot Lab partners themselves – are encouraged to formulate such hypotheses and to suggest related "codes". This will help to narrow the "search corridor" for patterns during the analysis phase. Project partners can do this at any time before, during and after they engage in the actual research process. Unlike much of positivistic research, which stipulates that hypotheses have always to be formulated before data is being gathered, the approach adopted by INCLUSION explicitly allows to "learn as we walk". In other words, some sensible hypotheses will surely emerge only when the data starts to "speak for itself", i.e. as soon as a general understanding – initially tacit – grows among the researchers who are executing the data gathering and the analysis. This means that we do admit assumptions and speculations about potential mechanisms and patterns into the analysis process even if they were spawned and nurtured "late" in the research process. Whether empirical data validates such assumptions will be shared with the project partners during each consortium meeting.

At the end of the coding process, the final set of codes represents the distillate or essence of the large amount of relatively unstructured data that was gathered during the actual research phase. These codes can then be investigated for any relationships, simultaneous or exclusive occurrence, frequencies etc. The results can be visualised in word trees, word clouds, mind maps, concept maps, sociograms, etc.

Multiple iterations of this direct engagement with the data should enable the research team to ultimately develop a draft typology of underlying principles and generalisable lessons. Multiple versions of these conclusions will be shared and discussed within the entire INCLUSION consortium until eventually, the essential lessons learned can be formulated as a unified position of the INCLUSION team.

This core output of the entire process evaluation will be articulated in a format suitable for the intended target audience in terms of writing style, layout, format etc. The content focus will correspond to the overarching goal of the PE in general, that is, the facilitation of upscaling and transfer.

9 Ethical conduct

9.1 Ethical principles

No INCLUSION related activity must ever violate basic ethics principles; these are articulated in the INCLUSION Data Management Plan (part of Deliverable 9.1). Of particular, and very concrete, relevance for the conduct of the process evaluation is a set of promises that will be given to everyone who engages in an interview, focus group meeting or interactive drawing exercise. These promises are articulated in the following Informed Consent Sheet and the corresponding Consent Form.

inclusion

This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No. 770115

INFORMED CONSENT SHEET

As someone who is actively involved in an INCLUSION Pilot Lab you are invited to share some of your experience. Take your time to read the following information and please ask if anything is unclear.

Who will conduct the research? The organisation in charge of the process evaluation is Rupprecht Consult. The responsible persons are Ralf Brand and Kristin Tovaas. You can reach the team on +49 221 60605512 or at r.brand@rupprecht-consult.eu.

What is the aim of the research? The INCLUSION project has built-in elements to evaluate A) the impact and B) the processes of each Pilot Lab. The latter will help to understand the reasons for the former. In other words, the process evaluation should allow the INCLUSION team to understand the "stories behind the figures." This, in turn, will help to assess the transferability of certain measures to other cities and regions.

Why have I been chosen? You have been chosen because of your active role in a Pilot Lab. It is foreseen to collect the views of around 12 persons in total across the 6 Pilot Labs.

What, concretely, does my participation entail? You will be asked to …

- engage in an interview (face-to-face, over the phone or via tele-conference);
- participate in a focus group meeting with some other people to discuss certain issues;
- answer some questions in a survey, most likely online;
- put down some of your thoughts visually, e.g. by drawing a network of actors, by sketching the timeline of your initiative etc.

What happens to the information collected? The Information you provide will be typed as notes and will be analysed for patterns across all Pilot Labs. The information will be securely stored for a maximum of 5 years after the end of INCLUSION. Upon your written request by you we will destroy any records we have of the conversation(s) with you.

How is confidentiality ensured? The raw information gathered through surveys, interviews and focus groups will not be released to the public! Only anonymised versions (i.e. without references to real names) will be accessible to selected individuals of the INCLUSION team. If you have concerns about this please do get in touch with Ralf or Kristin (contact details above). Reports, scientific papers, posters, lectures etc. for the public will not include any real names, only pseudonyms (unless interviewees wish to be named). Care will also be taken not to disclose identities by references to professional roles or organisations. The key between real names and pseudonyms will be encrypted and will only be accessible to the INCLUSION team.

How often and how long will I be asked to contribute? Participant will be asked for a maximum of three interviews and/or one focus group meeting. An average interview might last between 30 and 60 minutes, a focus group session probably around one hour. It should be possible to fill in a survey in 10-20 minutes.

How is the research funded? The entire INCLUSION project is paid for by the European Commission through the research framework programme "Horizon 2020".

What if I require further information, or have any concerns? Please contact Ralf Brand in the first instance (details above). If you have concerns that you would prefer not to discuss with members of the process evaluation team, please contact the INCLUSION project coordinator:

Michele Masnata   Softeco Sismat S.r.l.   Head Office   www.softeco.it

Via De Marini 1 - WTC Tower 16149 Genoa - Italy   michele.masnata@softeco.it   ph. +39 010 6026 312

Process Evaluation Consent Form

If you agree, after having read the above Information Sheet, to participate in the INCLUSION process evaluation, please complete this form by placing your initials in the boxes provided. <u>Please note</u> that some points are optional. At the end please sign the form at the bottom.

Please Initial

1) I confirm that I have had time to read the information sheet provided, and have had the opportunity to ask questions and have these answered to my satisfaction.

2) I agree that any anonymised information collected may be passed to other members of the INCLUSION team and only to them.

3) Please choose one of the following three options by initialling one of them in the right box

3a) I agree to the use of *anonymous* quotations from these interviews or focus groups in reports and publications.

3b) <u>Or</u>: I agree to the use of my *real* name in any future reports or publications *(optional)*.

3c) <u>Or</u>: I would like to be informed at my below email address if the Process Evaluation team is planning to use my real name in any report or publication. If I do not object within 10 days of such an email I imply my consent to the use of my real name. *(optional).*

5) OPTIONAL: I agree that interviews and focus groups might be audio-recorded and transcribed as long as these recordings are stored securely on an encrypted computer.

My email Address: _____ *(optional)*

and/or my telephone Number: _____ *(optional)*

I agree to take part in the INCLUSION process evaluation under the above specified conditions

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Name of participant   Date   Signature

Name of Researcher   Date   Signature

10 Bibliography

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INCLUSION consortium

For further information

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