The art (and science) of Evaluation

Why it's important to evaluate in participatory budgeting?

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The art (and science) of Evaluation

1)What is and for what is done
2)How to do it
•What technical requirements has
•What are the main approaches, methods and techniques
3) Case study: PB of “El Figaró”

1. Evaluation: What is it and why do it?

Evaluation:

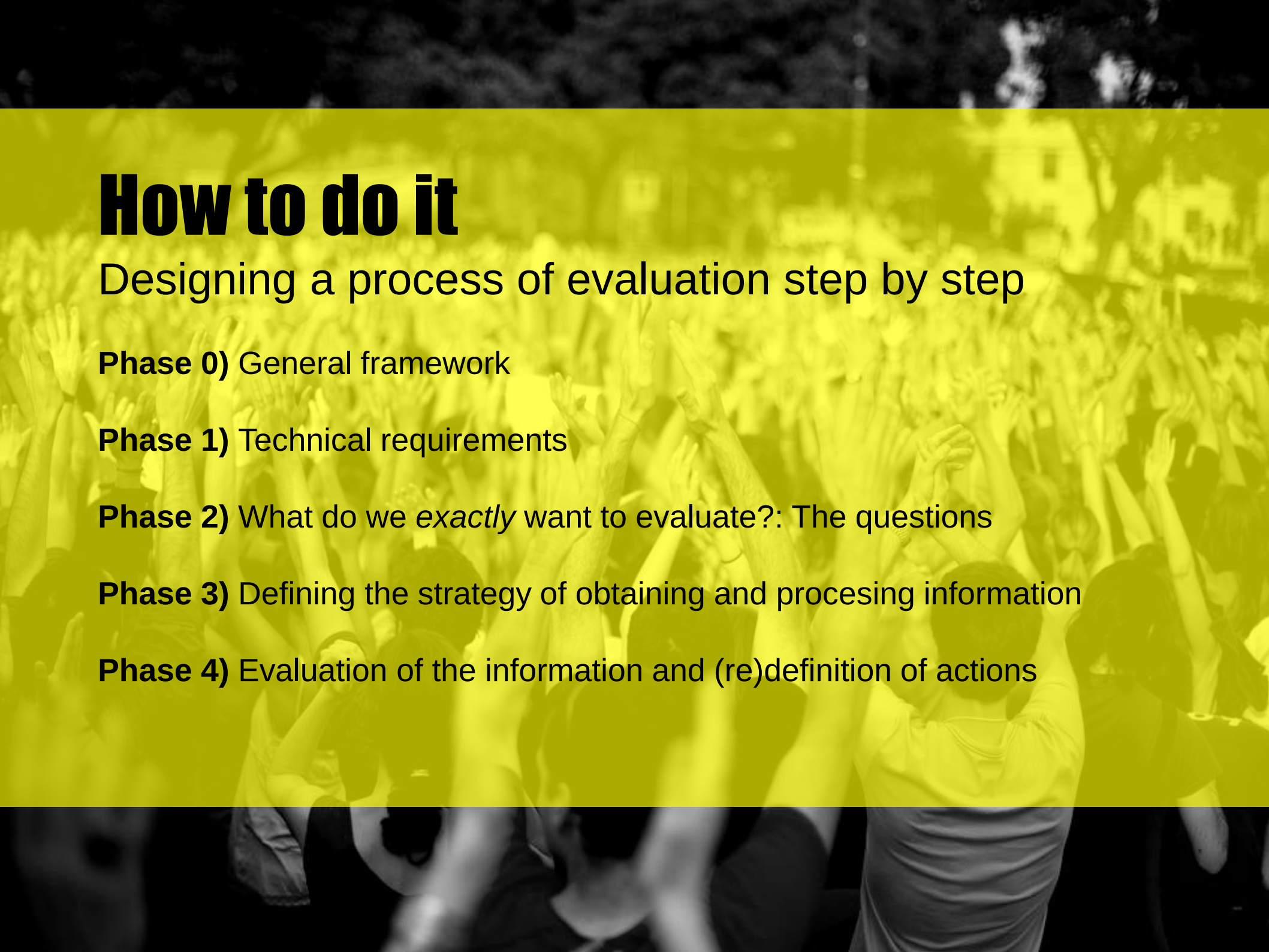
“The assessment of the interventions of public bodies according to their products and their impact (in relation to the needs they aim to satisfy) oriented to provide rigorous, evidence-based information for decision making."

(European Commission, 2007)

Objectives

1. Compliance with a standard
2. Legitimacy
3. Effectiveness
4. Shared responsibility
5. Construction of citizenship

2. How to do it?



How to do it

Designing a process of evaluation step by step

Phase 0) General framework

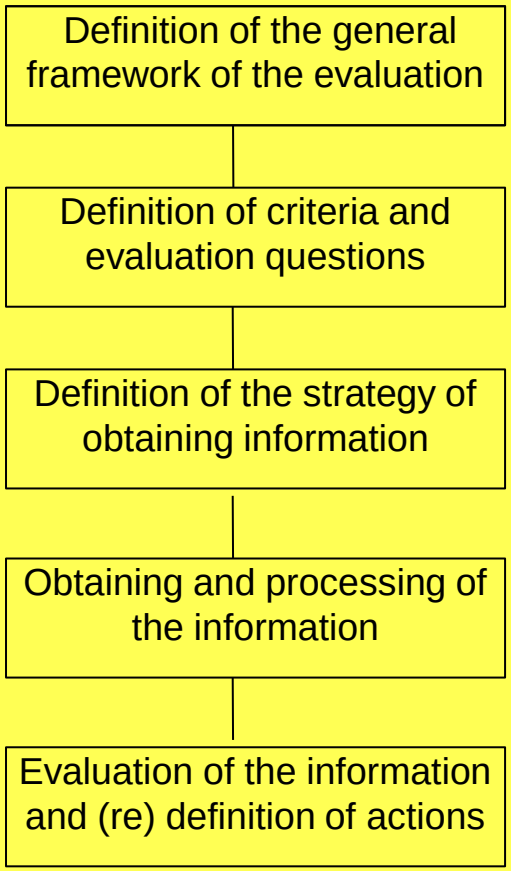
Phase 1) Technical requirements

Phase 2) What do we *exactly* want to evaluate?: The questions

Phase 3) Defining the strategy of obtaining and procesing information

Phase 4) Evaluation of the information and (re)definition of actions

The phases of the evaluation



Phase 0- General framework (Preliminary analysis of the intervention)

1. Describe the theory of change

- What strategic goals (impacts) wants to achieve the program?
- What does the program or is planning to do (activities and results)?
- Why it will achieve the strategic objectives(relationship activities-products-impacts)?

2. Identify in what phase is the program

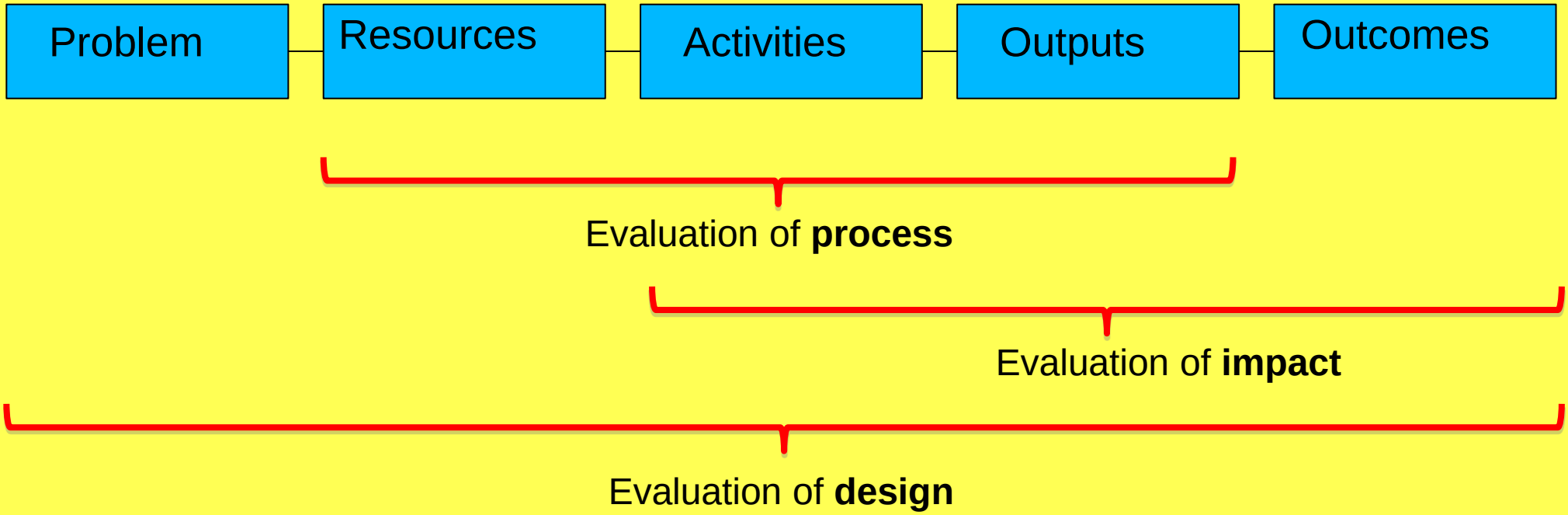
- In planning stages
- In the early stages of implementation
- In a mature phase of operation
- Completed

3. Identify previous studies that have been done

4. Description of the institutional and organizational context

TYPES OF ASSESSMENTS

Theory of change of a public policy:



Institutional and organizational context

Who's who in the surroundings of the intervention?

A. Familiarize yourself with your institutional and organizational context.

B. The evaluator needs to know who are the most important actors (political direction, technical direction, management, service provisioning, maintenance and custody of the databases, beneficiary of participation etc.) what role do they play and what position they have.

C. What resources that are needed (databases, access to staff or reports) depend on each of them.

Phase 1. Technical requirements

1. Why evaluating? Defining the purpose of the assessment.

2. For whom? Identifying the main recipients of the assessment (decision makers, managers and staff, direct beneficiaries)

3. What do we need? Inventory of resources: money, time, expertise, data and support.

4. Who will evaluate? The sponsor of the evaluation

1. Why evaluating?

Defining the purpose of the assessment

- Help in the decision-making process
- Evaluation as a tool for management.
- Accountability to citizens
- Basic knowledge about public policies.
- There is a regulation that obliges.

2. For whom?

Main recipients of the assessment

- Decision makers
- Managers and staff of the program
- Direct beneficiaries

3. What do we need?

Promoting an evaluation involves two things:

1) To convince decisión-makers about the need to take into consideration evidences about functioning and results of the policies.

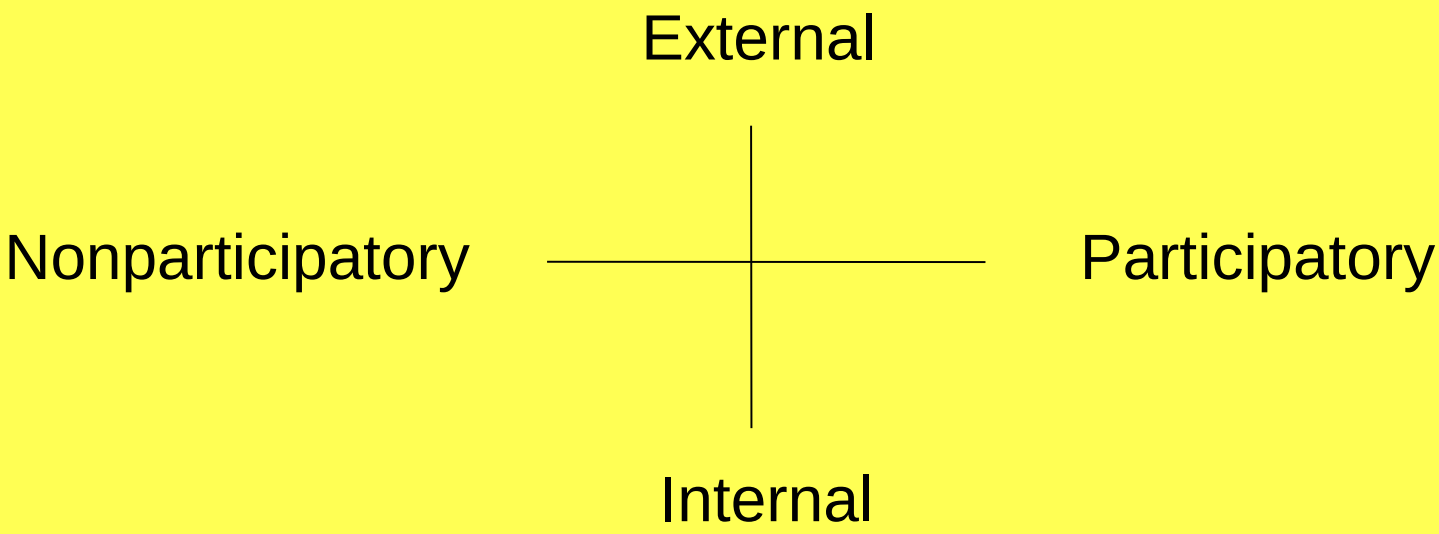
2) Guarantee the technical capacity and resources – information, organisational knowledge, economic resources, time, etc.

3. What do we need?

- Approximate **financing**?
- **Time** available for evaluation?
- Type of **expertise** required?:
- **Support** of the staff of the programme?.
- Information and **databases**?

4. Who will evaluate?

Types of evaluation



Principles for an evaluation of a participatory process:

1. Participatory Evaluation
2. Continuous assessment
3. Evaluation must start at the beginning

Phase 2. What do we *exactly* want to evaluate?

5 Aspects:

- Coordination of the process
- Types of participants
- Theme of participation
- Method of participation
- Incidence of the results

The evaluation questions

- The **essence of the evaluation** is to provide **answers to questions** about the operation and performance of public policies.

- All evaluation includes a set of evaluation questions that are the core on which turns the entire assessment.

- To make the selection and specify the evaluation questions is a **critical moment** in which you need to be especially selective and careful: you just get the answers that we are interested in if before we made the questions that interest us.

The evaluation questions

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Relevant questions: Criteria of Selection

1. Specific purpose: "*make choices on the basis of likely use".*

2. Existing uncertainties.

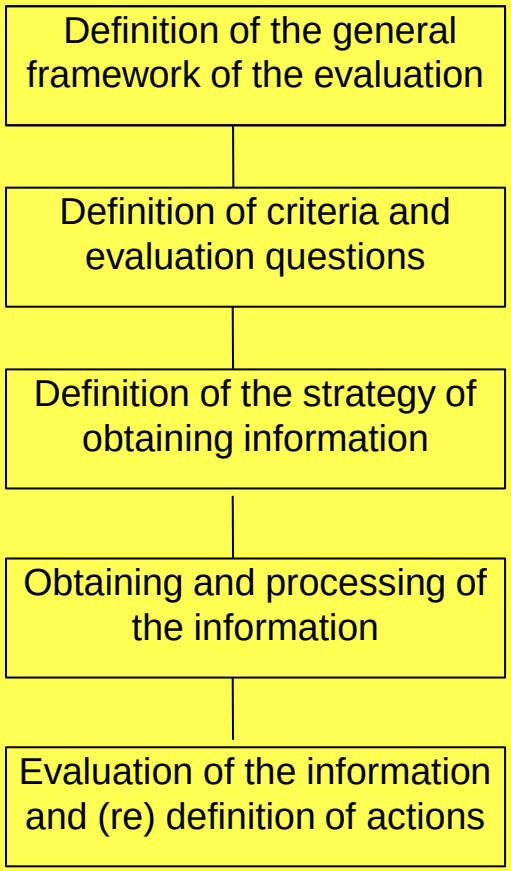
3. Hierarchy of the type of question.

4. Feasible answers.

5. Made with simplicity, precision, brevity and clarity.

6. The questions need to be refined as:
    - Involve ambiguous terms
    - Dimensions not observable

Last phase of the evaluation



- **Discuss the results of the analysis of value-form**
- **Agree on actions to improve the participatory process**

1. Criteria concerning the COORDINATION of the process

Criteria	Question	Evaluation Methodology
Agreement	What is the degree of acceptance of the policy process?	Sociogramma Interviews Discussion groups
	What is the degree of social acceptance of the process?	Sociogramma Interviews Discussion groups
	What is the degree of acceptance of the process it self?	Sociogramma Interviews Discussion groups
Transversality	What is the degree of involvement and technical policy of the different areas of the Administration?	Analysis of the project Interviews Internal discussion groups
	Are there areas of transversality in the coordination of process?	Analysis of the project Internal discussion groups
Political commitment	Is there a political commitment with the results?	In-depth interviews Analysis of documents
Co-leadership	Where is the leadership of the process? Is there a motor group? Is it plural?	Sociogramma internal discussion groups
Integration in existing participatory dynamics	How does the process relate with the stable structures of participation?	discussion groups
	How is it coordinated with other participative initiatives?	discussion groups
Clarity of objectives	Do the participants perceive that the objectives of the process are clear?	Evaluation questionnaires
	Have we accomplished the objectives of the process?	Evaluation questionnaires, Evaluation workshops, Discussion groups
Resources	Has the participatory process been scheduled correctly? Has the schedule been fulfilled?	Internal discussion groups
	Does the process have the necessary economic resources?	Analysis of documents, Interviews
	Is the process equipped with the necessary human resources?	Analysis of documents, Interviews

2. Criteria in relation to the people who participates

Criteria	Question	Evaluation Methodology
Extension	What is the percentage of people participating in relationship with the population of reference?	Records of participation
	What is the percentage of actors organized on the total of reference?	Records of participation
	What is the percentage of participants in relation to the participants selected?	Records of participation
Diversity	Have all interested parties been involved?	Sociogramma
	What is the percentage of participation from particular communities or social groups?	Records of participation
	What is the profile of the participating organizations?	Records of participation
Representation	Does the process facilitate the flow of information between the representatives and represented?	Analysis of documents Interviews
	Is the discourse of the representatives faithful to their organization?	Interviews Direct observation
	Have the representatives been democratically elected?	Questionnaire

3. Criteria in relation to the subjetc of the process

Criteria	Question	Evaluation Methodology
Relevance	Does the community perceive that the topic subject to participation is relevant?	Evaluation questionnaire
	What is the budget affected?	Analysis of documents Interviews
Capacity of intervention	Does the Administration/promoter of the process have the competencies to run the results?	Interviews
Procedence	Where does the demand to submit a topic for participation come from?	Interviews

4. Criteria in relation to the participatory method

Criteria	Question	Evaluation Methodology
Degree of participation	What is the degree of participation in the process?	Evaluation questionnaire Evaluation workshops
Capacity to process a proposal	Does the process foresee the possibility of making proposals?	Analysis of Evaluation Questionnaire documents
Quality of the information	Have the channels of information and dissemination been effective?	Evaluation questionnaire Internal discussion groups Evaluation workshops
	Is the information produced plural?	Evaluation questionnaire Internal discussion groups Evaluation workshops
	Is the information produced clear and useful?	Evaluation questionnaire Internal discussion groups Evaluation workshops
Quality of the deliberation	Have there been used deliberative techniques?	Analysis of documents Direct observation
	Were the participants able to express their ideas?	Analysis of documents Direct observation
	Have they generated new ideas and points of view from this deliberation?	Direct observation Analysis of documents Pre and post questionnaire
	What has been the level of depth in the debate?	Evaluation questionnaire Direct observation
Evaluation	Has there been carried out or has there been provided any assessment of the process?	Analysis of documents Interviews
	The evaluation is, or will be, participatory?	Analysis of documents Interviews

5. Criteria in relation to the consequences

Criteria	Question	Evaluation Methodology
Incidence	Is there a document with the results from the process? What has been the degree of influence from people's participatiion in the final result?	Analysis of documents Internal discussion groups
	Have the results been translated into some action, program or politics?	Internal discussion groups
	How are they the results of the process valued by the participants?	Evaluation questionnaire Evaluation workshops
Public monitoring of the results	Is there a plan to return the results back to the community?	Analysis of documents Interviews
	Has a monitoring body been created? Who composes it and how does it work?	Analysis of documents Interviews
	Have the results of the process been implemented ?	Analysis of documents Interviews
Learning process of the agents	Have the agents carried out any training sessions?	Analysis of documents Interviews Internal discussion groups
	Do the participants perceive that they have learned from the process?	Evaluation questionnaire Evaluation workshops
Social network dinamization	Has the ability of dialogue from the citizens been improved?	Pre and post questionnaire Evaluation workshops
	Has the the cooperation among organizations been improved?	Pre and post sociogramma
	Has the Administration become more permeable?	Evaluation questionnaire Evaluation workshops

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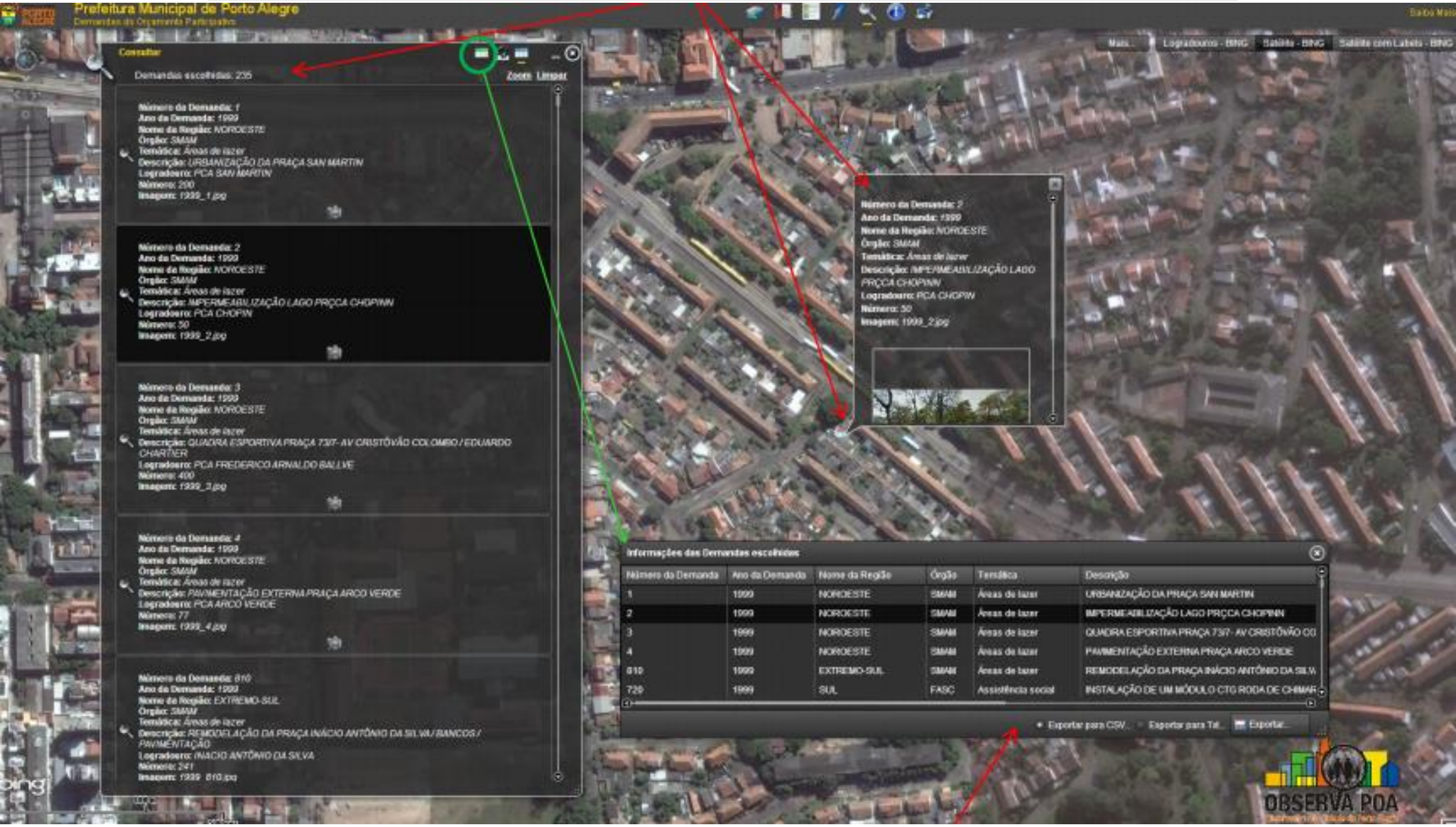
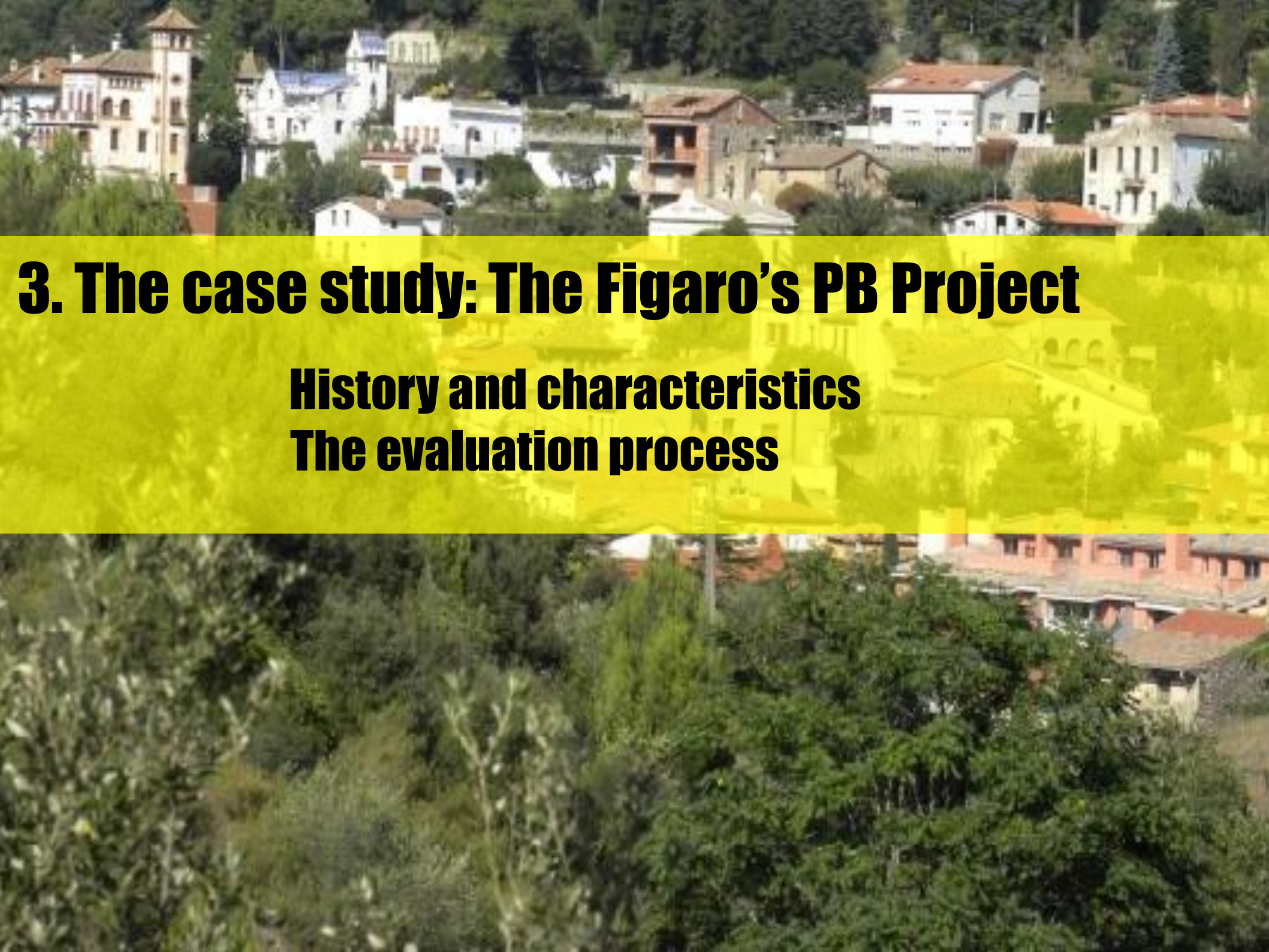


Click the icon to open a window with the information of the chosen demands

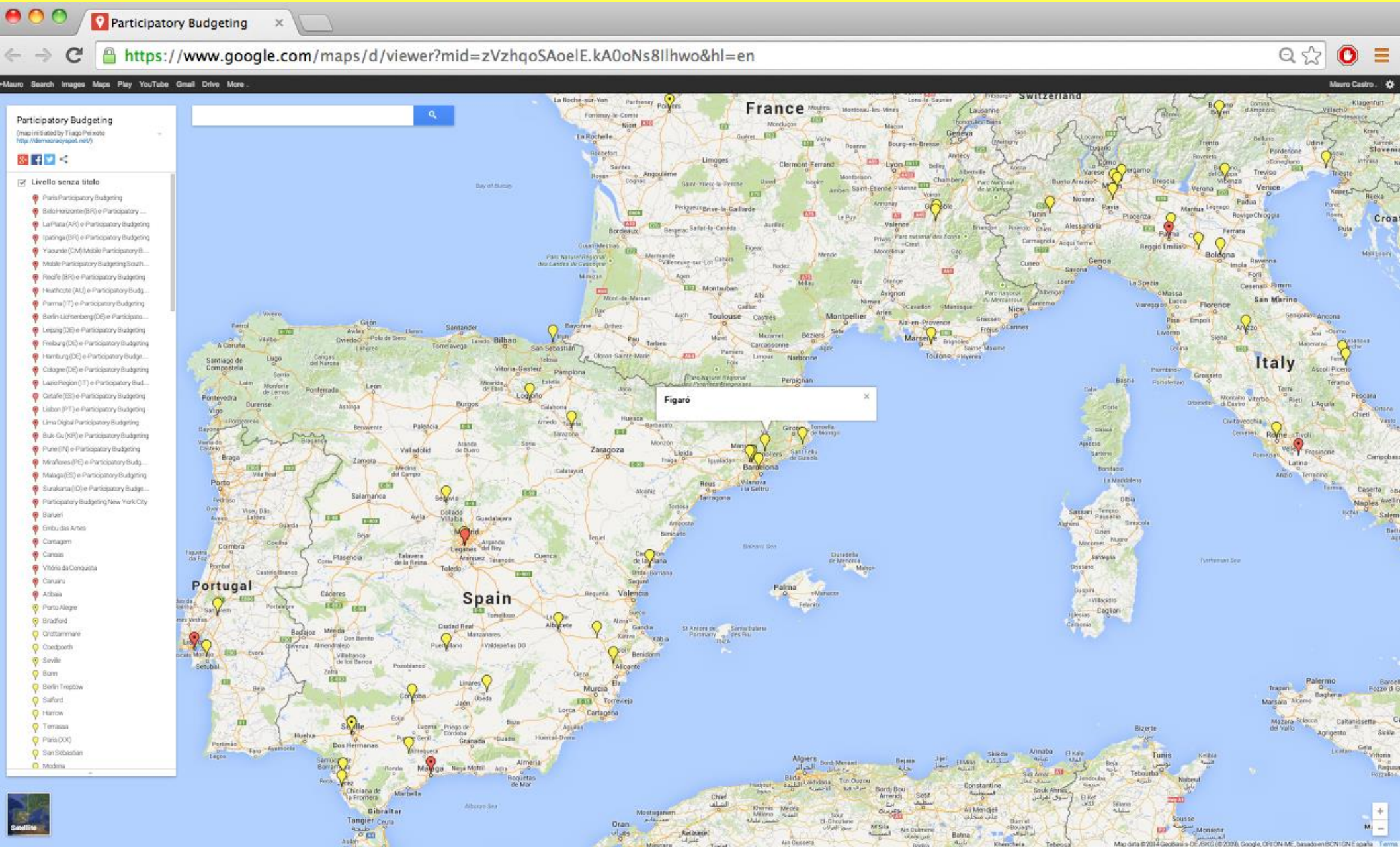


3. The case study: The Figaro's PB Project

History and characteristics
The evaluation process

CONGOST HOTEL

El Figaró on the Map of PB



History | The Figaro's Participatory Budgeting Project

- Diagnosis and design of method (2003-2004)
- First editions (2005-2006)
- Crisis, enhancement and improvement (2008-2010)
- Evaluation and redefinition (2011-2012)

CHARACTERISTICS OF THE PROCESS

- **Decision through voting**: the popular vote is the central element of the process.
- **Strategic Goa**l: consistent with a particular vision of the future of the municipality and linked to instruments of strategic planning
- **Dynamization**: the ballot is the central moment but the whole process is accompanied by activities and mobilization strategies to encourage the participation of the different groups
- **Plural coordination**: the coordination of the whole process is performed by the Permanent Commission of Participation a pluralistic body with representation from the different political parties associations and citizens.
- **Education**: educate on the values of participatory democracy. In this sense emphasizes the use of School Notebook for discussion with the family and the children's vote.

Si fossis l'alcalde
què faries els propers 4 anys?
GRANS INVERSIONS DEL PAM 2012-2015
I PRESSUPOST PARTICIPATIU
El Quadern
de Propostes i
de Grans Inversions

MAIN PHASES OF THE PROCESS

- **Presentation**: presented the process and render accounts of the results of the last edition
- **Proposals**: will gather, formulate or select a list of proposals
- **Filtering and economic assessment**: proposals must meet the basic criteria (legality, technical feasibility, competition and social exclusion not unsustainability not municipal) and will have to adjust to the economic limits established.
- **Vote**: citizens vote several proposals from the list
- **Prioritize**: the CPPC apply priority criteria agreed at the beginning o the process.
- **Evaluation and revision of method**: finally there is an assessment of the functioning of the instrument for the following year.

The 10 chosen proposals that were incorporated into the Municipal budget of the year 2006.

1- Un parc per a tothom que inclogui un espai infantil (24.000 €): 95 punts / 79 vots

2- Estudi de viabilitat del túnel Figaró-Tagamanent (8.000 €): 88 punts / 66 vots

3- Controlem el soroll (4.000 €): 85 punts / 65 vots

4- Reforma de les escales de l'Àngelus (24.000 €): 43 punts / 24 vots

5- Reparar el repetidor de TV incorporant la TDT (15.000 €): 61 punts / 61 vots

6- Neteja de la llera de la Riera de Vallcàrquera (3.000 €): 59 punts / 43 vots

7- Arranjament i manteniment de les piscines municipals (8.000 €): 55 punts / 37 vots

9- Recuperació de les fonts del municipi (5.000 €): 52punts / 34 vots

10- Cuba per l'ADF (6.000 €): 52 punts / 34 vots

8- Facilitar l'accés dels joves a l'habitatge (3.000 €): 53 punts / 35 vots

Objectives of the PB

- **Participation**: incorporate the voice of citizens in public issues
- **Inclusion:** taking into account the diversity of people
- **Decision:** deciding destiny of a portion of municipal resources.
- **Shared responsibility:** sensitizing the public to the fact that resources are limited
- **Learning:** provide information on the among of resources, where they come from and how you can spend
- **Democracy**: move towards a more participative democracy
- **Improvement of policies:** by incorporating the situated knowledge and creativity of local population

2) Some notes about the evaluation process

Objectives

•7 editions and 10 years after- **Integral and participated Evaluation of the method of PB.**

•In the current context of crisis and the difficulty to execute some actions- **Reformulation of the method**

How we did it?
(Methodology)

Phase 1. Comprehensive evaluation documentary analysis (records of participants, participation reports, questionnaires, acts, Municipal budgets ... etc)

Phase 2. Participative evaluation
in-depth interviews and focus groups

Phase 3. Reformulation of the method
group of experts

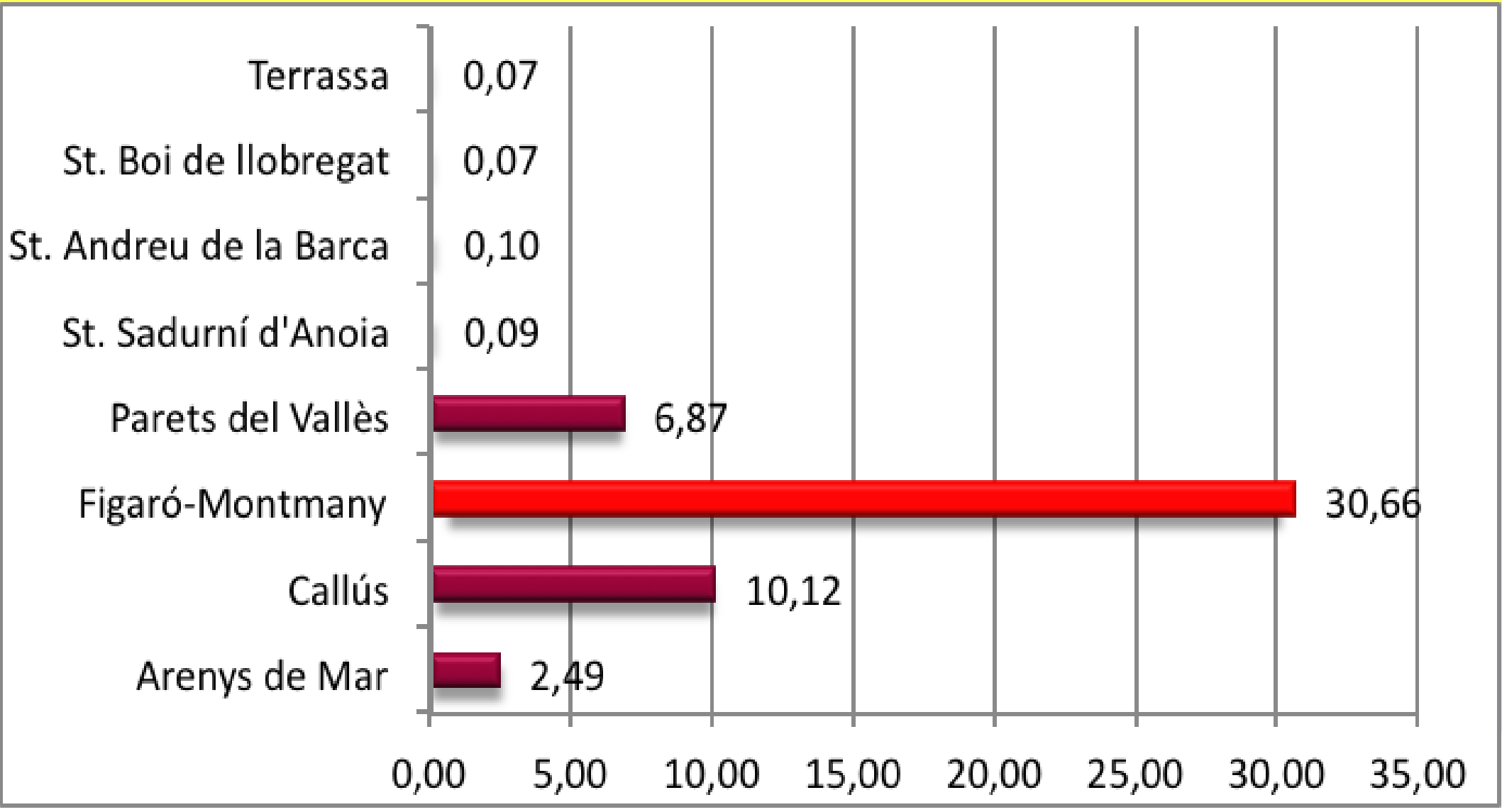
How we did it?

- **Management and Coordination Committee:** formed by the Mayor of Figaró-Montmany, the Councillor of citizen Participation

- **Permanent Commission of citizen Participation**: representatives of the municipal government, of all political parties, of the entities and not organized citizens.

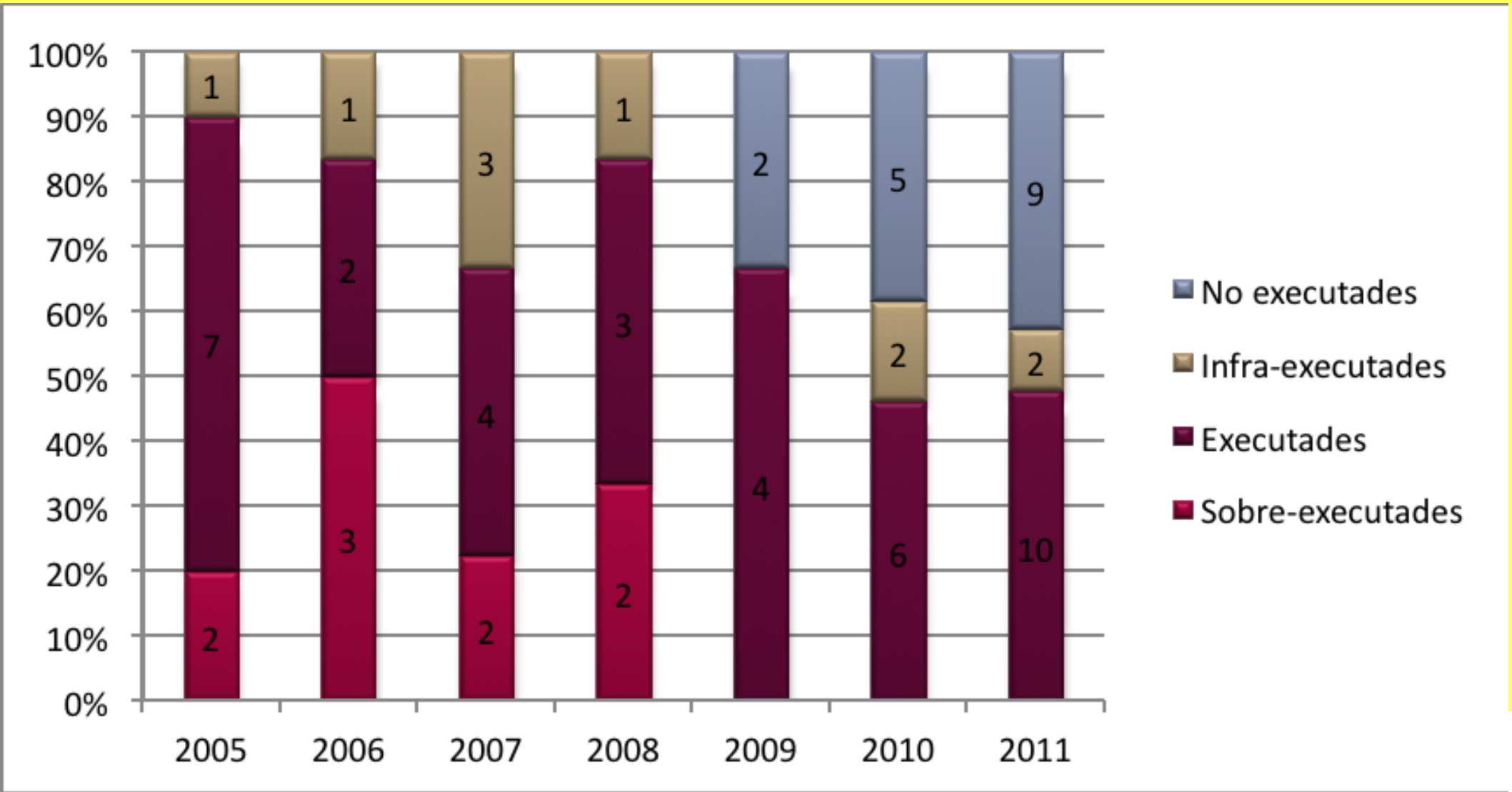
Results and analysis of data

Participation with respect to the total population (%)



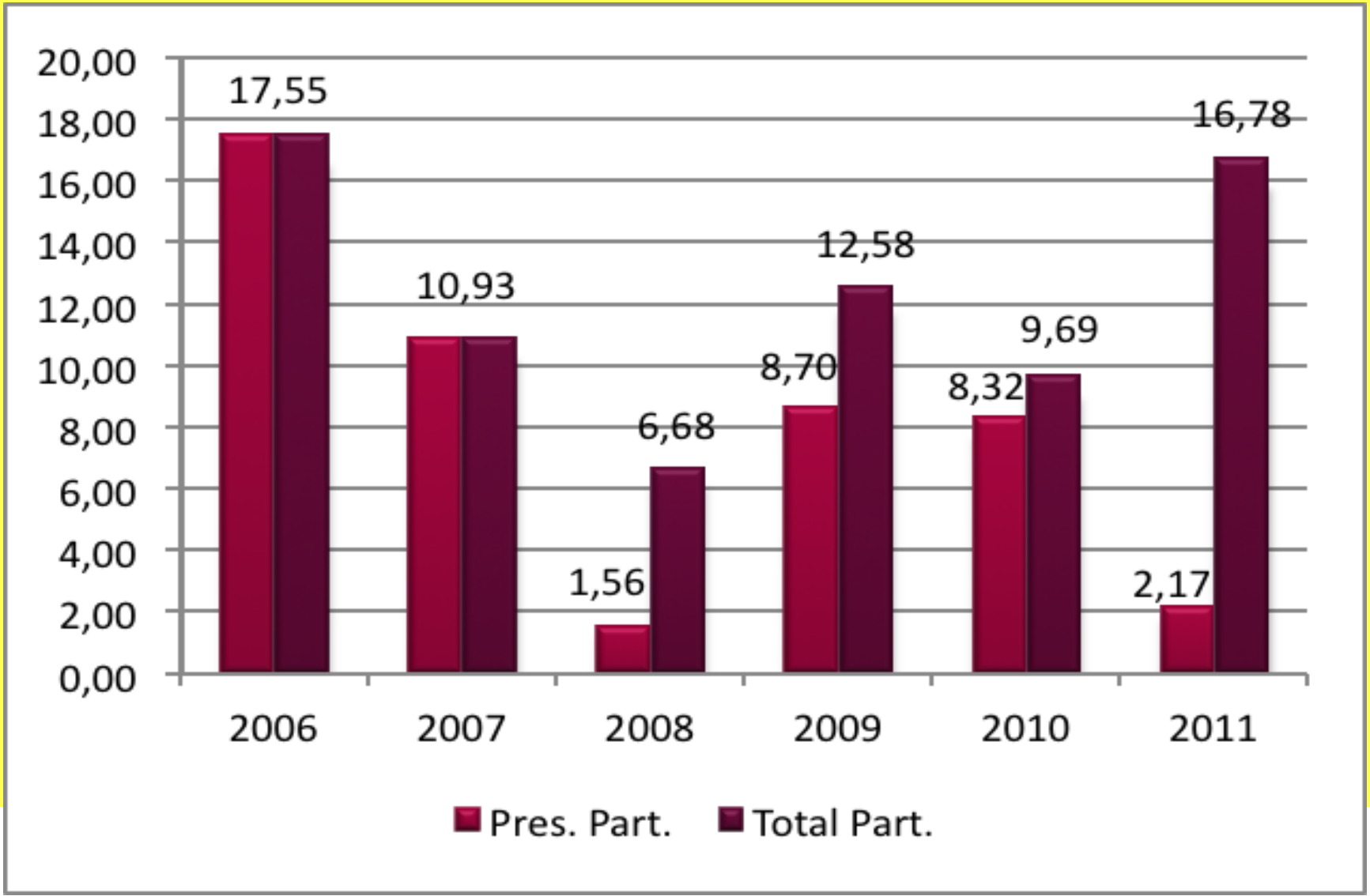
Results and analysis of data

Degree of implementation of the actions



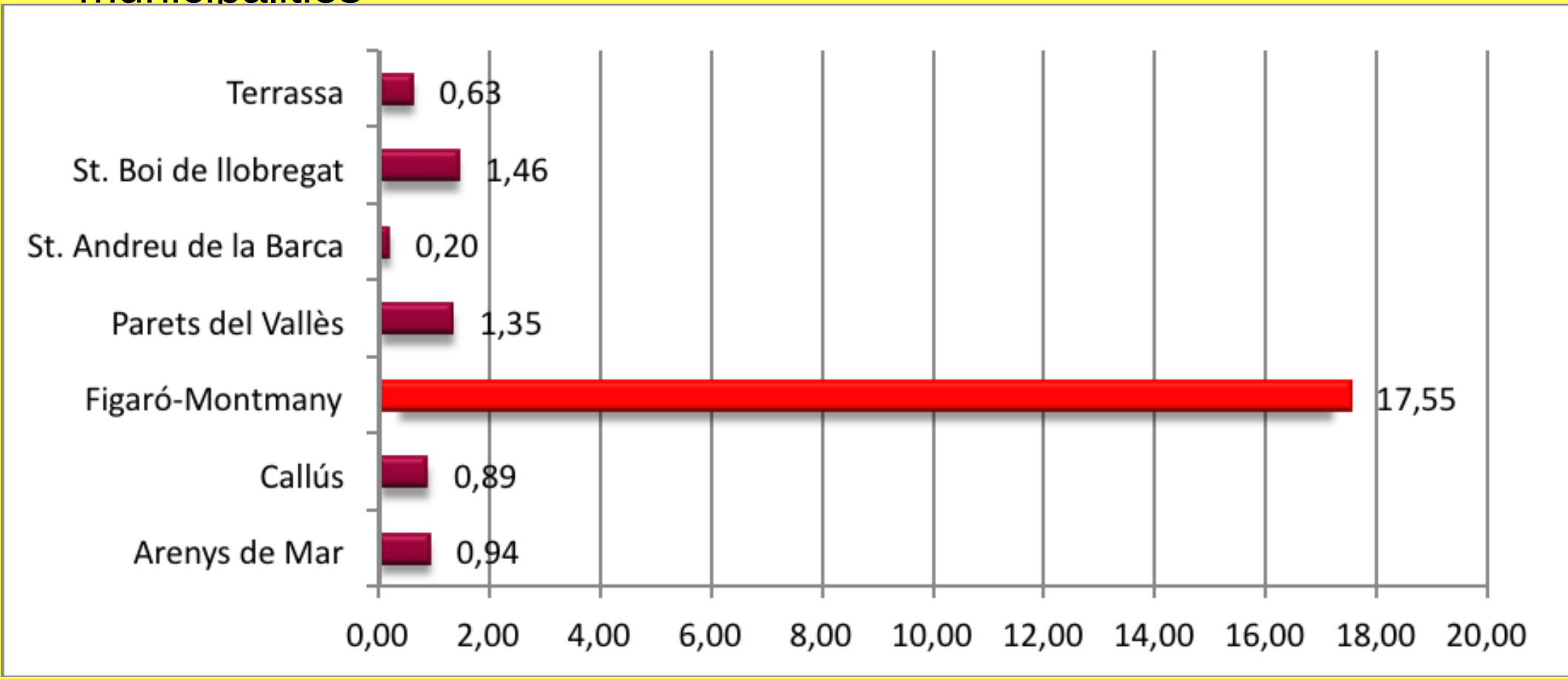
Results and analysis of data

Percentage of the budget determined in a participatory way



Results and analysis of data

Percentage of the budget decided participatively in diferent municipalities



SCRIPT OF INTERVIEWS

Concerning the COORDINATION of the process:

- Could you briefly explain what is the Participatory Budget of Figaró?
- In your opinion, what are the main objectives of PB in Figaró
- How would you define the role played by the different parties in the PB? And civil society?,
- All groups in the municipality participate equally in the process (associations, political groups, social groups, etc.)? Which are more identified with the process and which are more skeptical or critical
- what associations have give support to the mechanism and which have rejected or have shown indifference to the process?
- Have PB generated any kind of conflict in the village? Would you say that it is a mechanism that has generated a consensus or there are people who are against? Whom?
- Internally, How is the municipality organized in relation to the PB? There is any coordination space? How is decided the form of implementation of the chosen proposals? What is the role of the politicians and technicians?

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SCRIPT OF INTERVIEWS

Concerning who participates:

•In relation to the “Permanent Commission of Participation”: how do you value it’s functioning? The composition is plural? The climate between people is good? The work you do is useful? Do you think you should do some more or some less work?

•Do the members of the “Permanent Commission of Participation” representing any party or any association, move the discussions of the Commission to their organizations?

SCRIPT OF INTERVIEWS

Concerning the subject of the process (WHAT)

•After 7 years, do you think it has been a useful tool for the people? Why?

•Do you think that the amount of resources subject to participation is enough?

SCRIPT OF INTERVIEWS

Concerning the the participatory method (HOW)

•(More general) What are for you the main limitations of the PB? And the strengths?
•More specifically, how do you value the following elements:
-The moment of making proposals and the configuration of the application form to vote
-The debate on the proposals
-The “School PB process notebook”
-The personal voting in the polling place and online
-The criteria for choosing the proposals
-The relationship with the different plans of the municipality
-The implementation of the proposals chosen
-The information and dissemination of the process and its results

SCRIPT OF INTERVIEWS

Concerning the CONSEQUENCES :

- Do you think that thanks to the participation in the municipality have improved the relations between citizens?
- Do you think that participation has led to greater involvement of citizens with the village?
- Do you think that thanks to the participation have improved the relations between the entities? Do they cooperate more?
- Do you think that thanks to the participation the municipality has become more permeable to the demands of citizenship?
- Would you say that with the Participatory Budgets citizens have learned things
- Would you say that citizens identify with the process of PB?
- Do the results of the process give response to the problems of the municipality?
- What specific changes have occurred in the municipality as a result of the Participative Budgets?
- In the current context of crisis, do you think that it should reconsider the mechanism of Participatory Budgeting? In what sense? Why should be used for?

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