Mapping promising social services and policy measures to support the independent living of older people

Literature review: Definitions, models and dimensions of good practices

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1 Introduction and conceptual background

The growing ageing population presents social, economic and political challenges to countries across Europe. While people are living longer, they are not necessarily living these additional years in good health and will most likely require some form of assistance (Colombo et al., 2011). The organisation and financing of long-term care (LTC) and support for older people are therefore among the most pressing of these challenges. People with complex long-term care needs interact with and require support from the formal networks provided by health care and social care professionals while drawing on informal networks for additional support (Ilinca et.al, 2018).

Despite there is no distinct international convention specifically addressing the rights of older people, existing human rights standards do provide provisions for the fulfilment of the universal rights of all individuals, including older persons. Among the specific Treaties, the UN Convention on the Rights of Persons with Disabilities (UN CRPD) comes closest offering a legal framework for the protection of the rights of older people with care and support needs. Essentially, older people with care or support needs have some form of impairment or disabling condition that make them covered under the UN CRPD. The target group includes, therefore, two heterogeneous groups: individuals acquiring an impairment with old age and persons with disabilities growing old (who may acquire additional support needs on top of their disability). In line with a human rights approach to ageing, there is a need to provide older people with choices regarding the type of care, or support services they wish to use (Schulmann et al., 2018).

Following the impact of deinstitutionalisation efforts in the disability or childcare sector, there has been already some progress in long-term care to move towards various models of non-residential and integrated support services, embedded in the community. Older people with complex needs require multidisciplinary collaboration of health and care professionals to optimise the care coordination processes (Stoop et al., 2019). Integrated care programmes are increasingly set up to provide care to older people living at home; however, knowledge on how to ensure and improve the quality of integrated care services is limited (Stoop et al., 2019). In general, unlike in other sectors, there is not enough information and evidence when it comes to successful solutions that facilitate the independent living of older people through access to a range of integrated, community-based care services. Additionally, there is limited understanding on what constitutes a good or promising practice (criteria, dimensions, impact etc.) in this area and how to ensure potential transferability to other countries and policy contexts.

Considering the increasing interest of governments, both within the European Union and beyond (e.g. in Eastern Partnership countries), towards sustainable, community-based policy solutions and measures, the European Centre is carrying out a project to contribute to narrowing this gap and explore existing non-residential service provision available to older people in six European countries. The aims of the project "Mapping promising social services and policy measures to support the independent living of older people" are threefold:

- To develop, building on a literature review and a conceptual framework, a methodologically sound and tested tool for the assessment and evaluation of what is a promising practice in this area.

- To map existing non-residential community-based social services that support the independent living of older people in six European countries (AT, SE, ES, SI, PL, CH).

- To present a compendium of good practices (case studies) of community-based care and support services for older people (considering vulnerability dimensions, such as gender, migrant background, etc.).

This one-year research project focuses on models of non-residential type of community-based services delivery, available for older people with care or support needs, living in their home (e.g. in-home nursing, mobile teams, legal counselling) as well as on integrated care services in the community (e.g. one-stop shops). The project considers various types of service delivery (public or private delivery, initiated at central or local levels, with different partners and across different sectors), as well as sub-groups who may face vulnerability when it comes to accessing community-based services (e.g. gender, migrant background, mental health, isolated population, older persons with disability, age 85 plus group).

1.1 Scope

The scope of this literature review is to investigate the existing models and tools to define, evaluate and transfer a good practice. The literature review considers the following aspects separately and provides an analysis in regard to:

- Terms and definitions of successful transfer of policies and practices, with a clear distinction between emerging practice, promising practice, good practice and best practice.

- Existing models, tools and steps of a good practices transfer.

- Approaches and methods of evaluation of good practices with focus on impact evaluation.

- Dimensions of good practices, such as adaptability (policy demand, capacity to implement, needed resources, social environment, etc.), transferability (normative fit, existence of key processes and actors in the new context, institutional capacity to implement, etc.), and innovativeness (innovation in identifying the need, innovation in provision, including use of technologies, new integrative measures, etc.).

Policy transfer has been in the focus of research and policy practitioners for a long time. However, there are several co-existing terms, often used interchangeably to define it, without a clear distinction made between the context-specific approaches. The literature review will contribute to the development of the conceptual framework on how to define elements of a good practice of non-residential type of community-based services in the context of inter-country transferability. More broadly, the literature review will provide an overview and comparison of existing models and methods to collect, evaluate and disseminate good practices in the social policy field, which can be helpful for other researchers or civil society organisations attempting to carry out similar exercises by reflecting on the complexity of good practice evaluation.

The conceptual framework of our project will build on the adaptation of existing methodological tools to

a) assess service provision that supports older people with care and support needs living in their home and

b) transfer and adapt policy solutions.

1.2 Methodology applied in the literature review

In order to provide an overview of existing literature on good practices, a rapid review of the academic and grey literature was carried out. The rapid review is defined as "the assessment of what is already known about a policy or practice issue, by using systematic review methods to search and critically appraise existing research" (Booth, 2009). The review method was dictated by time constraints and the multitude of sources on various aspects related to defining and transferring a good practice. The research questions were formulated to provide information on:

- Terms and definitions used for successful policy transfer.

- Models of collecting good practices.

- Steps of transferring good practices.

- Evaluation of a good practice.

- Dimensions of a good practice.

5

The review focused on literature examining good practices in the field of social inclusion and development, with specific attention to existing tools and models. An initial review was carried out to define main concepts. The key words for the initial search were formulated to define five dimensions of the rapid review: action, success, transfer, model and evaluation. The initial search generated additional definitions which were further explored. The initial and emerged key words for each dimension are presented in Table 1 below.

Table 1. Key words used for the rapid review

Dimensions of the review	Initial search key words	Emerged key words
Define action	Practice Initiative Intervention Model	Approach Case study Measure Lesson Policy
Define success	Best Good Promising	Effective Emerging Evidence-based Innovative Proven
Define transfer	Transfer Adoption	Adaptation Replication
	Search syntagma	
Define model	Model of transfer of best practice Model of transfer of good practice Model of transfer of promising practice Model of transfer of good policy intervention Model of transfer of good policy initiative	
Define evaluation	Evaluation of good practices Good practice evaluation criteria Evaluation process of good practices	

The review considered academic and grey literature published in English, with a focus on recent publications from the last ten years. The Google search engine was used to find the relevant publications, along with searching on various academic and policy transfer platforms (e.g. ISSA, GPIPP, IPP). Publications of international organizations and major development donors were revised. Academic articles (including systemic literature reviews) were consulted to define methods of research and the theoretical

frame of this literature review paper, as well as articles and publications that contributed to define various basic concepts and therefore were relevant to be considered in the review. The inclusion and exclusion criteria are presented in Table 2 below.

Table 2. Rapid review, inclusion and exclusion criteria

Inclusion criteria	Exclusion criteria
Year of publication 2010-2020.	Year of publication, before 2010.
Articles and literature in English.	
Sources compliant with key words.	Sources beyond initial and emerging key words.
Type of publication: academic articles, review articles, conceptual frameworks, reports.	Unpublished or partially published articles, website articles, conference presentations and abstracts.
Practical tools for policy transfer (checklists, models, guidelines, procedures).	Tools designed for transfer of a practice related to a specific topic, transfer of technical solutions.
Tools and models published by international or regional organizations.	Tools and models of private companies.

1.3   Structure of the review

The literature review offers a comprehensive, but non-exhaustive overview on academic and grey literature in the area of good practice assessment in the context of good practice transfer. The literature review is structured as follows: Section 2 of this review will clarify the concepts and terminology relevant for the discussion on good practices in public policy. Section 3 will provide an overview on existing international models and methodologies to collect and assess good practices. Section 4 will explore the criteria used to evaluate good practices which could feed into the conceptual framework developed for the purposes of this study. Building on the previous sections, Section 5 will summarise the dimensions of a good practice, such as transferability, adaptability, innovativeness, etc. The literature review will be concluded with some discussion and remarks in Section 6.

2   Good practice, terms and definitions

This section presents different definitions of "good practice" as well as other terms used to define the transfer of a successful action. "Good practice" is a generic term that could imply different things in a specific context. The literature on good practices concludes that it is an "elastic phrase that might be attached to any idea, activity or technology" (Caruso, 2011).

There are many definitions of a *good practice* when it comes to policy support and social development. The common terms used to appraise success are "best", "good", "promising", "emerging", which can be attached to a range of terms defining the action – "practice", "initiative", "model", "intervention". The terms differ in meaning depending on the context but are all used to convey replication of a successful action (Figure 1).

Figure 1. Concepts and terminology

Best	Approach	Adapt
Effective	Case study	Implement
Emerging	Experience	Improve
Evidence-based	Initiative	Replicate
Good	Intervention	Scale up
Innovative	Measure	Transfer
Promising	Model	Translation
Proven	Lesson	
Successful	Policy	
	Practice	
	Process	
	Programme	
	Project	
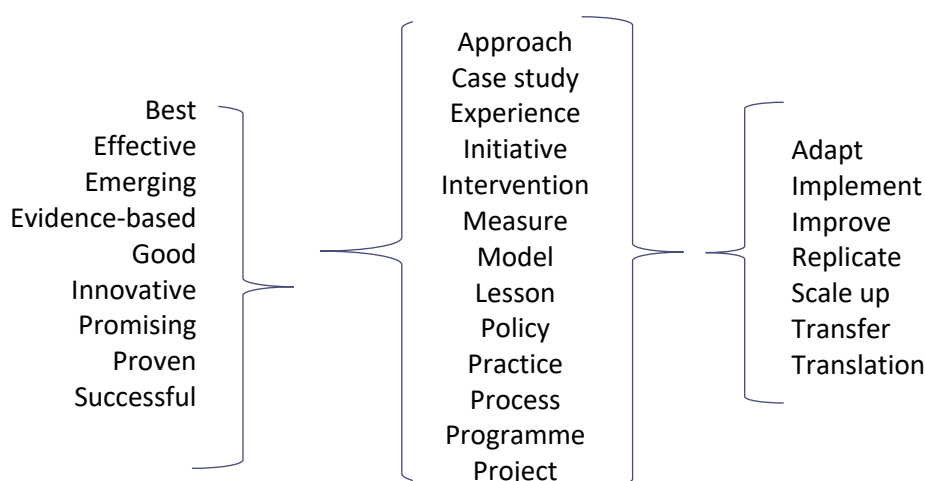
The differences in the assessment method and assessment time define the use of terms. The difficulty to assess the impact brought new terminology in the evaluation process (see Figure 2 for different definitions of successful actions based on impact assessment). A new practice/idea with minimal positive evidence is called an *emerging practice* (FAO, 2016), a practice with unproven impact but positive testimonies is called a *promising practice* (Kilburn, et. all, 2014)*. A practice that has been evaluated and has proven impact-based on rigorous evidence is a *good practice* (Caruso, 2011). A good practice with innovative aspects which increase its efficiency and effectiveness, and was also tested and validated repeatedly, is called a *best practice* (Garfield, 2017). The literature also points out that the overall approach is to move from the terms "best" and "good" practice to *"proven practice"* (Skyrme, 2002).

In some contexts, good practice is defined in a more rigid way, with a focus on the impact of the action which is evaluated based on rigorous evidence. In some other cases, good practice has an experimental connotation and is more open in methods of application. The literature suggests to maintain precaution with using the term *best practice* as it implies that the presented action/solution is the best for all contexts and is a permanent condition (McDonald, 2019). In most cases, this is something very hard to prove. The term *good practice* does not necessarily imply that the action/solution has been tried successfully.

Figure 2. Terms used to define a successful action
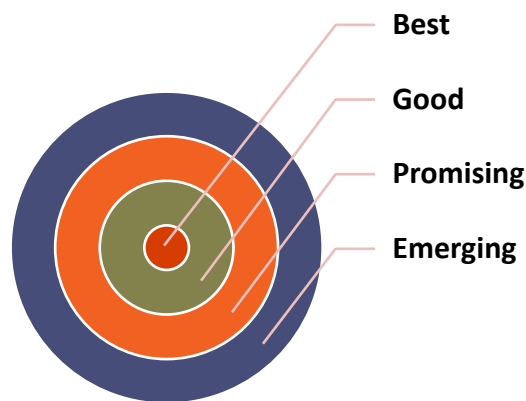
The literature review revealed that definitions of good practice can refer to the *result* or to the *process*. In the "result approach" a good practice is an evidenced-based practice, with an impact variable which was empirically estimated and is positive. The impact was tested in various geographical settings with diverse groups of population (Farkas, 2006)**.** Other definitions present the good practice as an "improvement of the process", meaning that a practice is a process or methodology that is ethical, fair and succeeds in achieving its objectives (Urban Refugee Learning Programm, 2019).

> **Box 1. UN and EU good practice definitions:**
>
> In 2008, the **United Nations** introduced the definition of *best practice* as "successful initiatives which have a demonstrable and tangible impact on improving people's quality of life; are the result of effective partnerships between the public, private and civic society; and are socially, culturally, economically and environmentally sustainable" (UN, 2008).
>
> In the context of social policy transfer, the **European Union** defines *good practice* as a "practice that is transferable, effective to contribute to enhance social acceptance and overcome social barriers, is innovative, is relevant and feasible, and has a model character" (EU, 2019).

The many approaches to define a successful solution are a result of the need, in the social development context and beyond, to transfer successful solutions, to encourage application of knowledge and experience and to have better policy results. A prerequisite of sharing good practices is the existence of well-defined work processes, learning possibilities, organizational culture and excellence recognition. This section will be used for the second Working Paper to draft the definition of a "good practice" in the context of policy transfer of community-based services for older people. One or more definitions could be considered using the "result" or the "process" approach, or a combination of both.

3 Existing international models to define and transfer a good practice

This section presents a few models of social policy transfer. In this context, a "model" is a set of guidance that defines the criteria to identify and assess a good practice as well as describes the transfer process. These models will be evaluated in the second Working Paper that will define the conceptual framework as well as a suitable tool to collect and assess practices in the area of non-residential support services for older people.

3.1 Food and Agriculture Organization of the United Nations

Following up on the extensive work to develop a methodology for the collection of good policy practices, the Food and Agriculture Organization of the United Nations (FAO) published in 2016 a template to document and assess practices and discover potential gaps. This is based on a thorough analysis of the FAO's and its partner organisations' experiences in collecting good practices. The template includes FAO's definitions to distinguish promising from good practices, with the crucial difference being whether a practice is tested and already repeated successfully, with high degree of success in different contexts.

The FAO uses the following set of criteria to determine whether a practice is a good practice:[i]

1 **Effective and successful** (proven strategic relevance and positive impact on individuals/communities).

2 **Environmentally, economically and socially sustainable** (meets current needs and able to address future needs).

3 **Gender sensitive** (how the practice improved the livelihoods of men and women).

4 **Technically feasible** (must be easy to learn and implement).

5 **Inherently participatory** (supporting a joint sense of ownership).

6 **Replicable and adaptable** (potential for replication and adaptability in varying situations).

FAO defines **promising practice** as:

FAO defines **good practice** as:

A **promising practice** has demonstrated a **high degree of success** in its single setting, and the **possibility of replication** in the same setting guaranteed. It has generated some quantitative data showing positive outcomes over a period of time. A promising practice has the potential to become a good practice, but it doesn't yet have enough research or replication to support wider adoption or up scaling. As such, promising practice incorporates a process of continuous learning and improvement.

A **good practice** is not only a practice that is good, but a practice that has been proven to work well and produce good results, and is therefore recommended as a model. It is a successful experience, which has been **tested and validated**, in the broad sense, which **has been repeated** and deserves to be shared so that a greater number of people can adopt it.

High degree of success + Replicability

The FAO also considers the different stages of a practice describing the path from innovation to become a policy, and the level of evidence needed for the assessment of the specific stages, as well as the factors necessary for their replicability and potential applicability in other contexts. The main difference in this regard between promising and good practices is that in the case of promising practices there is a high risk for replicability, while for good practices the risk is limited as a result of already demonstrated replicability.

Figure 3. Successive stages of a practice

Innovation, experience	Promising practice	Good practice	Policy, principle, norm
Minimal objective evidence	Proven in a specific context	Proven in multiple contexts	Institution alization
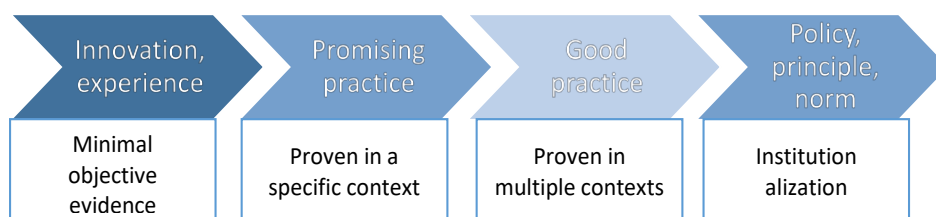
Source: FAO, adapted from Hancock (2003).

The FAO template provides detailed guidance on how to document good practices, in order to obtain comparable information, including information on the actors and stakeholders involved, the methodological approach, the validation process, results and impact, success factors, sustainability and replicability, among others.

Figure 4. FAO template to collect good practices, source: FAO

3.2 World Health Organisation

The World Health Organization (WHO) published, in 2017, a guide to *Identifying and Documenting Best Practices in Family Planning Programmes.* The objective of the guide is to maximize the knowledge impact, share experimental knowledge and contribute to the culture of information and knowledge documentation. The guidelines are intended to be used by policy-makers, development projects and WHO

staff, to improve policy and strategies, use evidence and implement more effective and sustainable solutions. This model is based on two previous WHO guidelines on sharing good practices (WHO, 2008), (WHO, 2015).

The WHO defines *best practice* as a "technique or methodology that through experience and research has proven reliably to lead to the desired result" (WHO, 2017) . The guidelines specify that the term "best practice" is not a golden standard but mostly refers to the situation when a practice shows good performance in one or several components, presents the negative along with the positive outcomes and can contribute to avoiding the same mistakes in the future.

The main criteria of a WHO best practice model are based on the OECD/DAC evaluation criteria, plus a few additional ones, see Table 3.

Table 3. WHO best practice criteria

Criteria	Description
Effectiveness	This is a fundamental criterion implicit in the definition. The practice must work and achieve results that are measurable.
Efficiency	The proposed practice must produce results with a reasonable level of resources and time.
Relevance	The proposed practice must address the priority problems.
Ethical soundness	The practice must respect the current rules of ethics for dealing with human populations.
Sustainability	The proposed practice, as carried out, must be implementable over a long period with the use of existing resources.
Possibility of duplication	The proposed practice, as carried out, must be replicable elsewhere in the country or region.
Involvement of partnerships	The proposed practice must involve satisfactory collaboration between several stakeholders.
Community involvement	The proposed practice must involve the participation of the affected communities.
Political commitment	The proposed practice must have support from the relevant national or local authorities.

Source: WHO, 2017.

The WHO model also presents a template for collecting best practices and a template for their narrative presentation. The outline to document best practices consists of the following elements: title, introduction, implementation, results (outputs and

outcomes), lessons learnt, conclusions and further readings. The model also defines the attributes of the best practice (Table 4). An attribute is a pre-condition for successful policy transfer. Criteria are important to evaluate a practice, but attributes are needed for transfer of these practices.

Table 4. Attributes of best practice

Attribute	Description
Credibility	Documented, sound evidence/results that have been advocated by respected persons or institutions.
Observability	Potential users can see the results in practice, e.g. pilot/experimental or demonstration sites.
Relevance	Addresses a persistent/sharply felt problem or policy priority.
Relative advantage	New practice offers a benefit/gain over existing practices so that potential users are convinced that the costs of implementation are warranted by the benefits.
Easy to install and understand	Process of scaling up the practice is simple rather than complex and complicated
Compatibility	The practice fits well with the practices of the national programme and with the potential users' established values, norms and facilities.
Testability	The practice can be tried out incrementally on a small pilot scale before large-scale adoption.

Source: WHO, 2017.

The model also defines the prerequisites of successful scaling-up, such as building strategic partnerships and ensuring adequate funding, identifying committed groups of individuals for the implementation, defining monitoring tools and evaluating the process at all stages of the implementation. During the transfer of best practices there are a few elements which request special focus, such as equity element, participatory approach and system thinking.

3.3 European Union

The European Union does not have a standard methodology for the collection of good practices. However, collecting information on practices and projects (with special regard to EU-funded projects), and sharing promising policy and programme solutions with Member States, are core elements of the EU's limited mandate in the area of social and health policies (Article 153 TFEU). The European Commission is also encouraging the transfer of good practices among Member States. For instance, the Peer Reviews in social protection and social inclusion are a key instrument of the

Social 'Open Method of Coordination' (OMC). The European Commission considers Peer Reviews, as part of the OMC, a useful tool to assess whether the practice discussed is:

- effective;

- contributes to EU objectives;

- could be effectively transferred to other countries.

Given the prominence and volume of publications by the EU showcasing good practices, including the area of employment and social policy, a brief reference is also made in this review to the approach or methodology used in some recent EU programmes, or by EU agencies.

The **European Institute for Gender Equality (EIGE)** has developed its own approach to Good Practices, including a set of criteria for the identification of practices with potential, and is applying the same methodology for the documentation and dissemination of good practices in various selected areas. EIGE uses a set of criteria to assess practices; these are divided into three groups:

1. Basic criteria (Relevance, Efficiency, Effectiveness, Impact, Sustainability)

2. Common criteria (designed and developed specifically for an area of concern)

3. Specific criteria (focus on one specific dimension that characterises a good practice)

EIGE follows some clear steps to collect good practices:

Figure 5. Methodology to select good practices by EIGE

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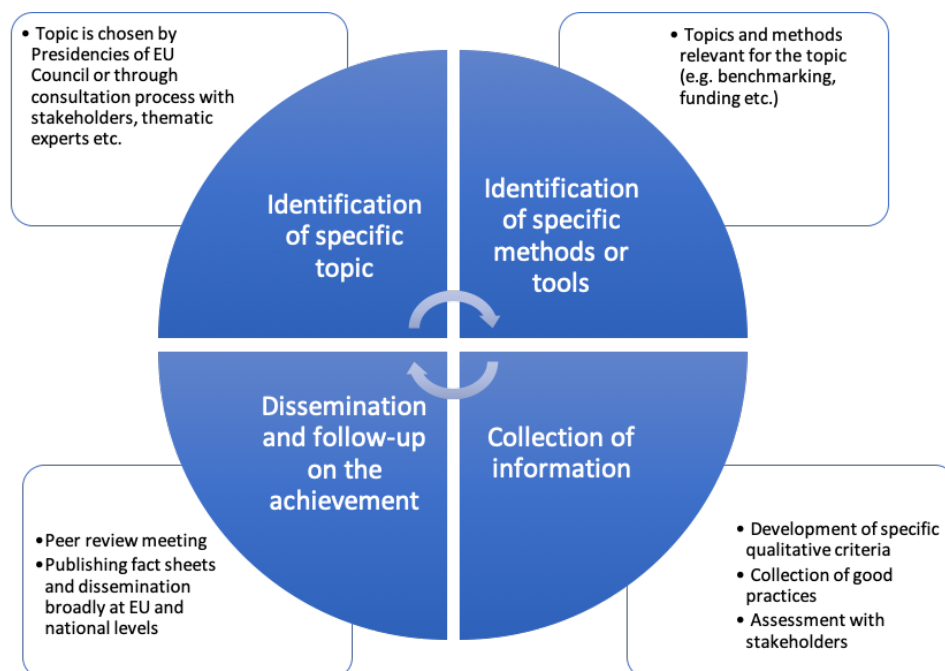
In 2016, the **Directorate-General Health** of the European Commission proposed criteria, grouped as exclusion, core and qualifier criteria, to select best practices in relation to innovative approaches to chronic diseases. *Exclusion criteria* must be fulfilled before other criteria are checked and they include:

- Relevance

- Intervention characteristics

- Evidence and theory-based

- Ethical aspects

Core criteria entail the assessment of the effectiveness and efficiency of the practice as well as how the practice has addressed equity issues. Both exclusion and core criteria are used to assess whether the intervention was successful. *Qualifier criteria* are used to determine whether the intervention is worth to be considered for transferring to other context, by using the following aspects:

- Transferability

- Sustainability

- Participation

- Inter-sectoral collaboration

The **EU-Compass for Action on Mental Health and Wellbeing** is a web-based mechanism used to collect, exchange and analyse information on policy and stakeholder activities in the area of mental health. Their data collection tool is developed in cooperation with academics, NGOs and other experts active in the field of mental health. The evaluation tool was based on a common set of criteria, approved by EU Member States. The criteria included:

- Information
- Theory-based
- Participation
- Effectiveness and efficacy
- Inter-sectorial collaboration
- Equity

- Relevance
- Intervention characteristics
- Ethical aspects
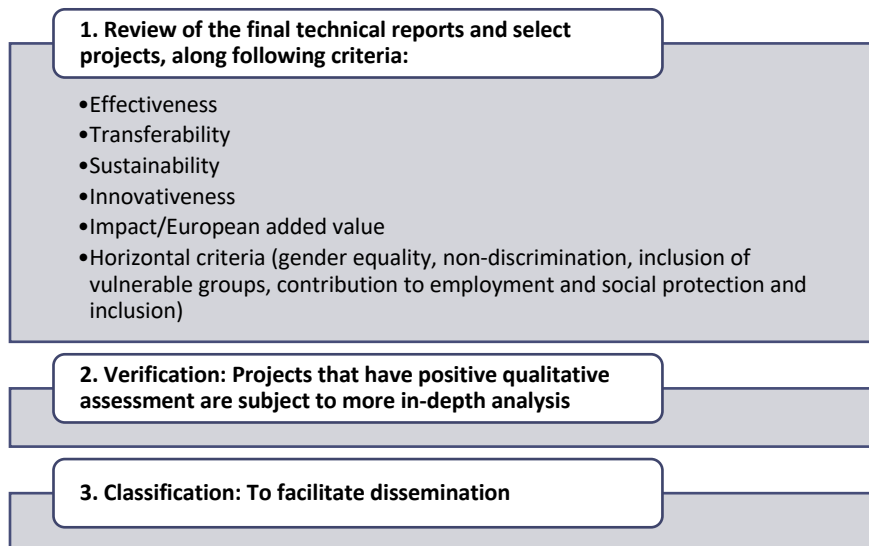- Sustainability
- Transferability

Figure 6. Methods used by EU Compass for Action on Mental Health and Wellbeing

Practices were only eligible to be reviewed during the evaluation phase, if they had been evaluated in some way before. While steps are taken to ensure a fair, ethical, comprehensive, and transparent data collection, evaluation, and documentation process, there are some limitations, including the lack of adequate data in some cases to be effectively evaluated. In such cases, the good practice evaluators decided to exclude the practices due to incomplete information.

Monitoring good practices is part of the performance monitoring of the **European Union's Programme for Employment and Social Innovation (EASI) 2014-2020**. The European Commission published four bi-annual reports on projects that are considered to be good practices with a view of facilitating their dissemination. They define 'practice' in a broad sense, "encompassing a process or methodology that represents an effective way of achieving a specific objective, one that has been proven to work well and produce expected results, and it is therefore recommended as a model". The selection is carried out following a three-step approach:

Figure 7. Selection of good practices in EU's EASI Programme

1. Review of the final technical reports and select projects, along following criteria:

- Effectiveness
- Transferability
- Sustainability
- Innovativeness
- Impact/European added value
- Horizontal criteria (gender equality, non-discrimination, inclusion of vulnerable groups, contribution to employment and social protection and inclusion)

2. Verification: Projects that have positive qualitative assessment are subject to more in-depth analysis

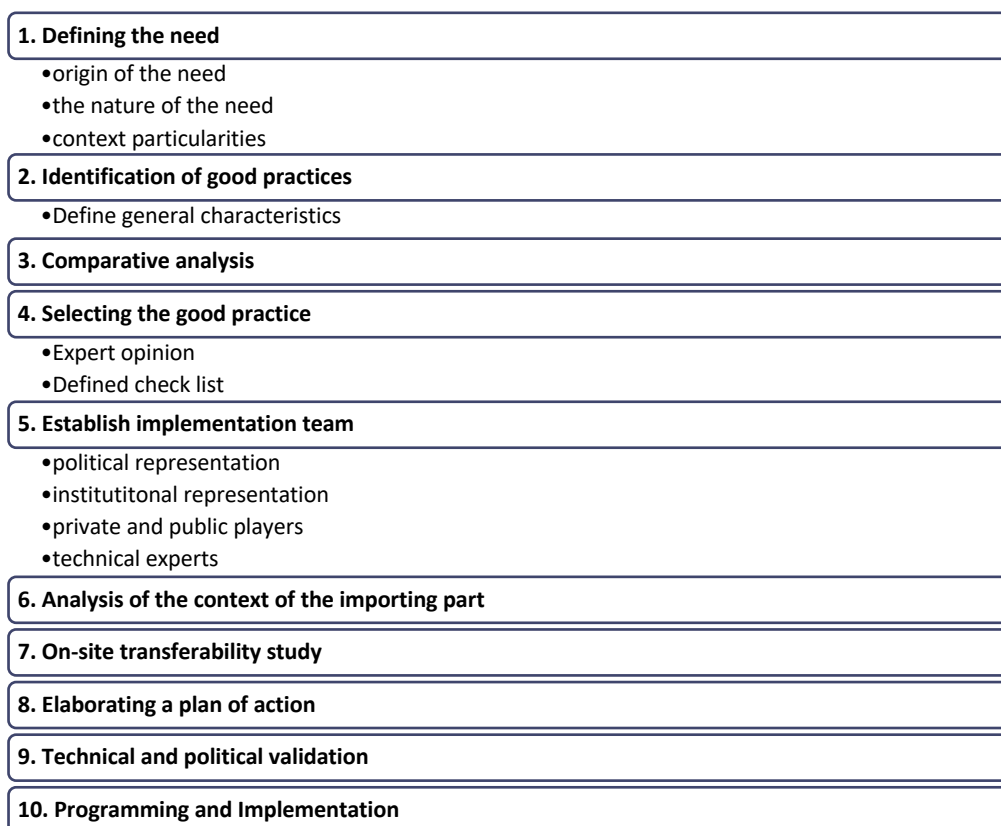**3. Classification: To facilitate dissemination**

3.4   Assembly of Euro Regions

The Assembly of Euro Regions[ii] (AER) elaborated a methodological framework on practical recommendations to transfer good practices at regional level, the RURaCT. The methodology defined a 10-stages process to identify, transfer and implement

good practices. The framework was developed based on the experience of various European Regions in bilateral or multilateral transfer of new ideas and practices.

Figure 8. RURaCT transfer of good practices model

1. **Defining the need**
   - origin of the need
   - the nature of the need
   - context particularities

2. **Identification of good practices**
   - Define general characteristics

3. **Comparative analysis**

4. **Selecting the good practice**
   - Expert opinion
   - Defined check list

5. **Establish implementation team**
   - political representation
   - institutitonal representation
   - private and public players
   - technical experts

6. **Analysis of the context of the importing part**

7. **On-site transferability study**

8. **Elaborating a plan of action**

9. **Technical and political validation**
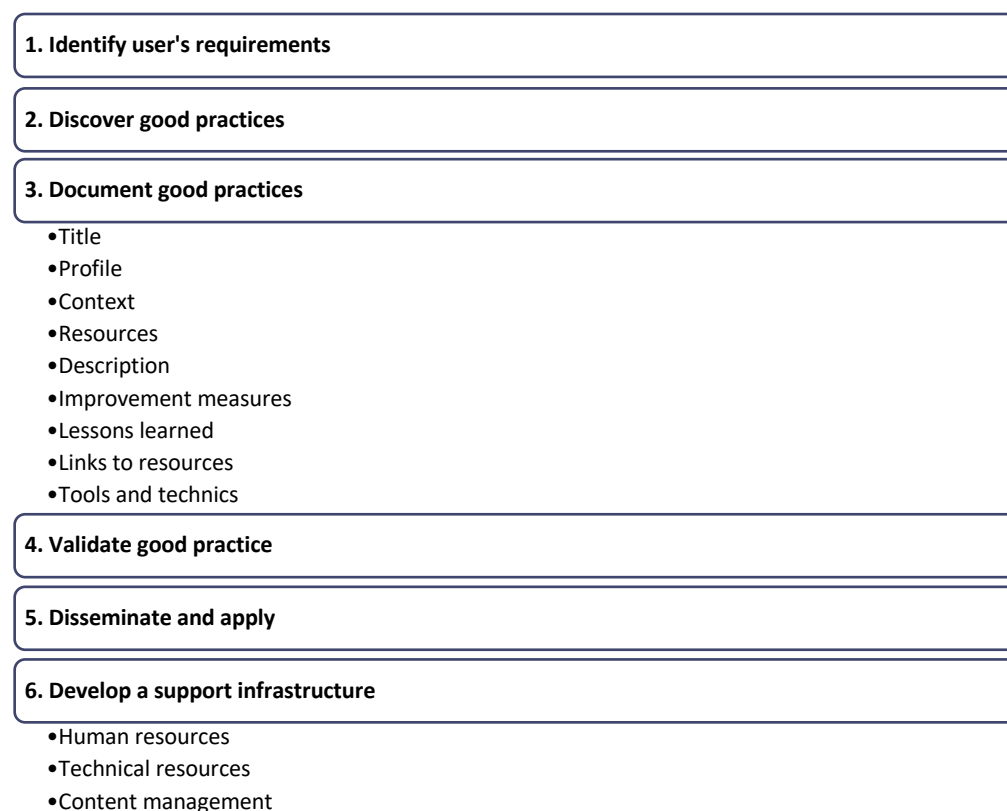
10. **Programming and Implementation**

3.5 Swiss Development Cooperation

The Swiss Development Cooperation (SDC) developed a Knowledge Management Toolkit (SDC, 2009) with guidance on identifying and sharing good practices. The SDC guideline defines a good practice as "a process or a methodology that represents the most effective way of achieving a specific objective". The guideline considers a practice ready to be transferred if it has been proven to work well and produce good results and could be recommended as a model. The concept was introduced into the SCD operational process in order to create a platform for knowledge sharing and "re-use" of knowledge.

The SDC model adapted the "6-steps approach to identify and share good practice" of David Skyrme (Skyrme, 2002):

Figure 9. SDC Good Practice Model

> **1. Identify user's requirements**

> **2. Discover good practices**

> **3. Document good practices**

- Title
- Profile
- Context
- Resources
- Description
- Improvement measures
- Lessons learned
- Links to resources
- Tools and technics

> **4. Validate good practice**

> **5. Disseminate and apply**

> **6. Develop a support infrastructure**

- Human resources
- Technical resources
- Content management

3.6 Summary

This section presented different co-existing models of defining and transferring good practices, developed by international or inter-governmental organisations. The common element of these models is that they all aim to gather, evaluate and share knowledge about policy solutions, projects and programmes in different contexts.

Table 5 below presents a summary of good practice criteria, prerequisites and steps for each model. There are some common elements in all models and many overlapping components. The criteria are similar from model to model and are designed to assess the degree of reaching the goal of the practice to be transferred. The prerequisites have many similar elements (e.g. context-sensitive methodology, political commitment, participation and dissemination, resources). Some of the models present cross-cutting (horizontal) prerequisites related to equity, gender and non-discrimination considerations prior to policy transfer. The steps of policy transfer are the same, some models present the steps in more detail.

Based on elements of those models, the second Working Paper will compile a suitable and methodologically grounded tool to collect and evaluate promising practices in the area of non-residential support services for older people.

Table 5. Summary of good practice models – criteria, steps and prerequisites

Good practice model	Criteria	Prerequisites	Steps/stages
FAO	Effective and successful Environmentally, economically and socially sustainable	Gender-sensitive Technically feasible Replicable and adaptable	Collect evidence Prove success in specific context Prove success in multiple contexts Institutionalization
WHO	Effectiveness Efficiency Relevance Ethical soundness Sustainability	Possibility for duplication Partners' participation Community participation Political commitment	Document Collect observations on good results Collect information on relevance Define the relative advantage Understand the practice Understand the transfer Context analysis Pilot
EU	Basic criteria: • Relevance • Effectiveness • Efficiency • Impact/ EU added value	Participation Inter-sectorial collaboration Availability of information Theory-based Horizontal criteria: • Ethical aspects,	Need identification (specific topic of joint interest) Identification of transfer methods and tools Collection of information (define good practice, collect information, assess with stakeholder) Dissemination and follow-up on the achievements

	• Transferability • Sustainability • Innovativeness Topic-specific criteria	• Equity, • Inclusion • Non-discrimination	
Assembly of Euro Regions	Analysis of match between goals, means and results	Technical conditions (know-how, skills, human means, equipment) Management (partnerships, organizations, communication, participation) Regulatory and legal framework Funding Other factors contributing to success (political support, preliminary experimental procedure)	Define the need Define general characteristics of good practices Comparative analysis Selection of good practices Technical and political validation Implementation of practice
SDC	Demonstrated link between planned goals and achieved result	The support infrastructure (human resources, technical resources, content management)	Identify the need Discover good practices Document good practices Validate good practices Disseminate and apply

4 Evaluation of good practices

4.1 Monitoring and evaluation process

In this part, a brief overview will be provided on the steps of the evaluation process, largely building on grey literature from international organisations, like UNDP and the European Commission. Increasingly, monitoring and evaluation (M&E) are considered as integral part of the policy process, after perceived for a long time solely as add-on expectation from the funders of interventions. It is important to distinguish monitoring from evaluation. However, the boundaries between the two are more and more blurred as evaluation and monitoring can take place simultaneously, at different stages of the policy process, or the implementation of the intervention.[iii]

Monitoring is defined by the European Commission as "a systematic process of collecting data to track inputs, outputs, outcomes and impacts throughout implementation, and to inform management and stakeholders" (European Commission, 2017). UNDP defines monitoring as "the ongoing process by which stakeholders obtain regular feedback on the progress being made towards achieving their goals and objectives" (UNDP, 2009).

The most common definition of **evaluation** is provided by OECD DAC, defining it as "the systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors. Evaluation also refers to the process of determining the worth or significance of an activity, policy or program. An assessment, as systematic and objective as possible, of a planned, on-going, or completed development intervention." (OECD 2002)

The European Commission defines evaluation as "taking the information from monitoring (and other sources) at key moments in time, and systematically assessing relevance, efficiency, effectiveness, impact and sustainability. This can occur before, during or after an intervention" (European Commission, 2017). The main difference between monitoring and evaluation is that while monitoring provides a flow of data for real-time decisions, evaluation is a comprehensive stocktaking of where things stand. According to UNDP, evaluation is "a rigorous and independent assessment of either completed or ongoing activities to determine the extent to which they are

achieving stated objectives and contributing to decision making. Evaluations, like monitoring, can apply to many things, including an activity, project, programme, strategy, policy, topic, theme, sector or organization" (UNDP, 2009). To sum it up, monitoring is a source of information that can support evaluation, which is external and independent.

Figure 10. Monitoring – evaluation-performance audit

	Monitoring	Evaluation	Performance audit
What	Tracking performance, and progress against the plan (expectation)	Assessing the relevance, efficiency, effectiveness, impact and sustainability of policies and programmes	Examining the efficiency and effectiveness of government undertakings, programmes or organisations
Why	For **operational** reasons – to learn lessons and take corrective action in real-time, if required	For **strategic** reasons – to ensure the policy addresses the identified problems and objectives, and learn lessons	For **accountability** reasons – to ensure public funds are being used appropriately and identify improvements, if necessary
When	Regular intervals during implementation	Usually at specific points (before, during and after implementation).	Usually at specific points (during and after implementation).
Who	Managers and staff involved in implementation	Internal units or external consultants <u>not</u> involved in design or implementation*	Usually, qualified auditors from the SAI, <u>independent</u> of design and implementation

* The exception is ex ante evaluation, where the evaluators are expected to influence the design and future implementation through their independent findings.
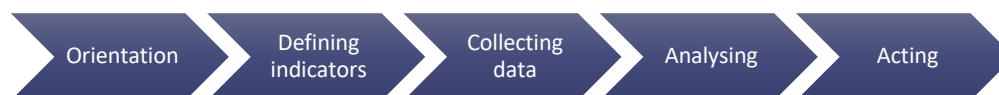
Source: European Commission (2017).

Most literature identifies four key steps for evaluation:

- Planning

- Implementation

- Completion

- Reporting

Planning could involve several different tasks such as completing a needs assessment, developing a logic model, planning the evaluation, developing a protocol, budgeting, developing contracts and establishing communications, pilot-testing, obtaining ethical approval or consulting with and involving stakeholders.

Figure 11. Steps of evaluation

Orientation → Defining indicators → Collecting data → Analysing → Acting

Source: European Commission (2017).

4.2 Basic criteria and dimensions

The Organisation for Economic Co-Operation and Development (OECD) Development Assistance Committee (DAC) first published the five evaluation criteria in the 1991 OECD DAC *Principles for Evaluation of Development Assistance* (OECD, 1992):

- Relevance
- Effectiveness
- Efficiency
- Impact
- Sustainability

The OECD DAC criteria have been the most widely adopted criteria used for evaluating international development and aid by bilateral and multilateral donor agencies, as well as international non-governmental organizations (INGOs) (Chianca, 2008). Even beyond, they have been used as the most common reference framework for evaluating public policies and programmes around the world. Over the last 15 years, a lot of experience accumulated about the impact, implications and limitations of applying the DAC criteria in evaluation. Several academic articles suggested necessary revisions, based on identified gaps, assessment of compliance and room for improvement (Chianca, 2008; Forss & Bandstein, 2008).

In 2019, building on 25 years of experience, the OECD revised the definitions and principles of the existing five criteria and added a new one: *Coherence* (OECD, 2019). OECD argued that the need of including this new criterion is to raise awareness that the lack of coherence can lead to duplication of efforts and undermine overall progress. Interventions should be evaluated in the broader context and not only from an intervention-, or institution-centric perspective. They also specified the context and intended purpose of the criteria, as well as further explained the dimensions of each criterion and how they apply to different evaluations.

Since the most relevant and important evaluation criteria and dimensions are the DAC criteria, we take them as a baseline for our literature review in this section. While we tried to search for more information on each criterion, as well as for some critical approaches on the definitions, not much literature was found beyond that already addressed during the revision of the original set of criteria in 2019. The only exemption is the 'impact' criterion, where significant literature exists on impact assessment and social impact measurement. Therefore, we will provide a brief overview on the DAC Criteria and more details only on social impact assessment below.

The general purpose of the *evaluation criteria* is to "enable the determination of the merit, worth or significance of an intervention" (OECD, 2019). An "*intervention*" is a term used broadly by OECD referring to the subject of the evaluation, which encompasses all kinds of projects, programmes, policies, strategies, instruments,

funding mechanisms, etc. OECD considers that criteria play a normative role as they describe the desired attributes of interventions and support accountability and monitoring results (OECD, 2019). Policy interventions can be regulatory (e.g. self-regulation, quasi-regulation, government legislation, etc.), or non-regulatory (e.g. information disclosure).

Figure 12. Desired attributes of interventions by OECD
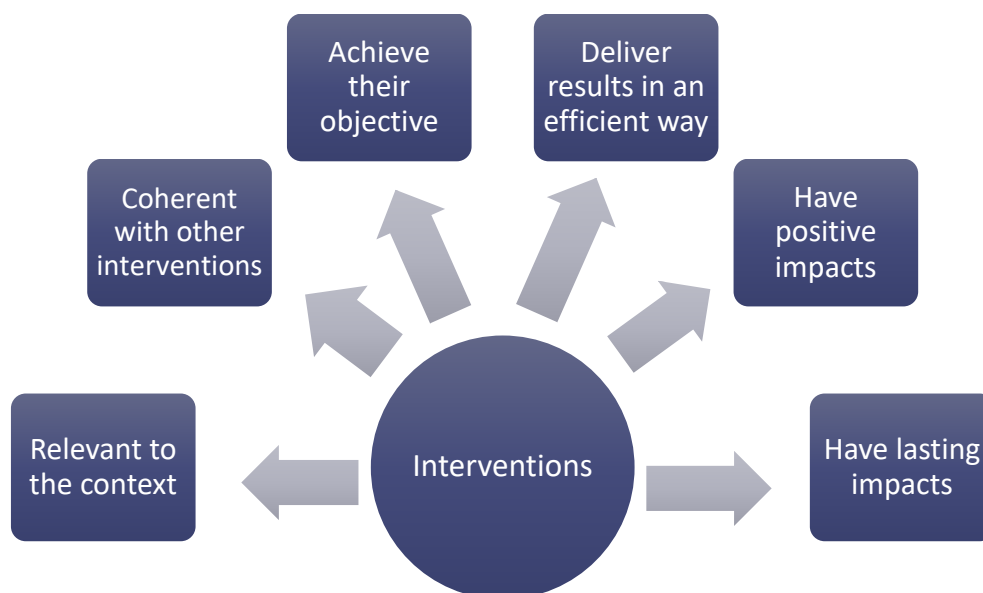
Source: own compilation.

There are two main principles that guide the use of the criteria (OECD, 2019):

1. The criteria should be applied thoughtfully to support high-quality, useful evaluation. They should be contextualised – understood in the context of each individual evaluation, meaning the intervention and the stakeholders involved.

2. Use of the criteria depends on the purpose of the evaluation. They should be applied according to the context of the evaluation. Data availability, timing and methodological considerations may also influence how a particular criterion is covered.

In the following table, each of the six evaluation criteria will be summarized, based on OECD (OECD, 2019):

Table 6. OECD DAC Evaluation Criteria: definitions, interpretation and evaluation questions

OECD DAC Evaluation Criteria	Definitions	Interpretation	Evaluation questions
Relevance	"The extent to which the intervention objectives and design respond to beneficiaries', global, country, and partner/institution needs, policies and priorities, and continue to do so if circumstances change."	It relates to the degree to which the intervention is sensitive to the economic, environmental, equity, social, political economy, and capacity conditions.	➜ Is the intervention doing the right things?
Coherence	"The compatibility of the intervention with other interventions in a country, sector or institution."	The new criteria on coherence include both internal and external coherence: 1) synergies and inter-linkages between interventions carried out by the same government or institution (including legally binding international norms), 2) consistency of the intervention of other actors in the same context. The aim of the criterion on coherence is to assess whether the intervention brings added value without duplicating existing efforts.	➜ How well does the intervention fit?
Effectiveness	"The extent to which the intervention achieved, or is expected to achieve, its objectives,	In line with the *Paris Declaration on Aid Effectiveness*, the five key principles along which effectiveness is measured in the context of policy initiatives and	➜ Is the intervention achieving its objectives?

	and its results, including any differential results across groups."	programmes are: Ownership, Harmonization, Alignment, Results, Mutual accountability.	
Efficiency	"The extent to which the intervention delivers, or it is likely to deliver, results in an economic and timely way."	It relates to cost-effectiveness, whether an intervention achieved the desired results by using a minimum of resources compared to other initiatives. Operational efficiency relates to how well the intervention was managed.	➔ How well are resources being used?
Impact	"The extent to which the intervention has generated or is expected to generate significant positive or negative, intended or unintended, higher-level effects."	It includes positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.	➔ What difference does the intervention make?
Sustainability	"The extent to which the net benefits of the intervention continue, or are likely to continue."	It involves the analysis of resilience, potential trade-offs and risks, as well as medium and long-term benefits of the interventions.	➔ Will the benefits last?

4.3 Impact

Impact refers to the potentially transformative effects of an intervention and the social, environmental and economic effects that are longer-term or broader than the effects already captured under the effectiveness criterion, including secondary and indirect consequences. Impact is probably the most complicated criterion when it comes to assessing social services that facilitate the independent living of older people with care and support needs.

The concept of 'social impact' strictly relates to the social value produced by an organisation, or practice (Bassi, 2013). The most common definition includes reference to four key elements (Clifford, 2014):

- The value created as a consequence of someone's activity (Emerson et al., 2000).

- The value experienced by beneficiaries and all others affected (Kolodinsky et al., 2006).

- An impact that includes both positive and negative effects (Wainwright, 2002).

- An impact that is judged against a benchmark of what the situation would have been without the proposed activity (counterfactual analysis).

Social impact measurement is still a relatively new field and there is no commonly agreed definition, nor a shared understanding of its overall aim (European Commission & OECD, 2015). The European Commission set up a group of experts in 2014 to focus on social impact measurement. In their report, the group refers to social impact as "the reflection of social outcomes as measurement, both long-term and short-term, adjusted for the effects that would have happened anyway, for negative consequences and for effects declining over time" (GECES, 2014). The difficulty of social impact measurement entails several challenges as it cannot be carried out by using traditional indicators (European Commission & OECD, 2015; Austin et al., 2006). Nevertheless, measuring the impact of social policy initiatives, social enterprises, and specific interventions is extremely relevant in times when social welfare systems are struggling to meet the increased needs in a way that is in line with human rights. In a survey carried out in the UK, social impact was consistently ranked as a key criterion of judging policy success (Institute for Government, 2010). Public service providers innovating in the social field are increasingly expected to demonstrate the positive impact of their practices, in order to secure public funding (e.g. from the EU) for their interventions.

The European Commission and the OECD developed a synopsis on how different metrics (cost-benefit analysis, rating and social accounting and auditing) can meet the information needs of stakeholders for impact evaluation. While each of the three methods used in each situation were appropriate for measuring the social impact of

the specific situation, they do not necessarily represent the best choice in other situations (European Commission & OECD, 2015).

The impact evaluation method is defining the nature of the practice and the dissemination method. Impact evaluation methods used for emerging (new) practices are simple and rely on the opinion of experts and case-studies (rapid assessment), which is not considered evidence-based as no information is provided regarding a counterfactual evidence. When claiming that a practice is "good" or "the best" solution for a concrete problem, the results should be continuously tested, using scientific tools (e.g. meta-syntheses and meta-analysis, randomised controlled trials or other counterfactual approaches) and the data collection tools be adjusted to the method (World Bank, 2016) and the evaluation question. A practice is promising or good only if an external evaluation took place with rigorous scientific approaches.

Table 7. Impact assessment methods by impact level

Practice	Impact level	Method	Tools
Emerging	Level 4	Reports with limited data or evidence, expert opinion.	Qualitative
Promising	Level 3	Case studies with positive result done by internal or external evaluator.	Qualitative
Good Practice	Level 2	Case studies with evidence of effectiveness done by external evaluator using scientific methods, comparative analysis.	Qualitative or quantitative or both
Best practice	Level 1	Randomized control trials and quasi-experimental studies, and other counterfactual approaches, supported by a systemic review.	Mixed methods

Source: adapted from HomelessHub, best practice platform (2019).

5   Dimensions of good practices transfer

Policy transfer has been in the focus of researchers and practitioners for a long time. There are many ways to define policy transfer and various transfer models exist, all varying depending on the context. "Policy transfer" is a common term, but terms like "policy mobility" (Prince, 2011), "translation" and "adaptation" are also often used as well as "policy translation" (Mukhtarov, 2014). The meaning of these terms could be considered the same; however, as in the case of the "good practice" terms, there could be nuances.

Transferability is the "action" component of good practice research; our paper defines transferability as "the action of spreading knowledge about policies, administrative arrangements, institutions etc. in one time and or place" (Davies, 1999).

Various analyses discuss the factors facilitating or hampering policy transfer. A multi-level interdisciplinary approach to policy transfer was introduced by Evans and Davies (Davies, 1999) defining three broad sets of variables: 1) cognitive obstacles in the pre-decision phase, 2) environmental obstacles in the implementation phase, and 3) public opinion obstacles.

Another commonly used framework is the seven-question framework for policy transfer introduced by Dolowitz and Marsh (Dolowitx, 2000). Before implementing a policy transfer, a clear answer is needed to the questions: Why to engage in such transfer, Who is involved, What is transferred, Where from, What is the degree of transfer, What are the constraints and facilities, and How is it related to policy success or failure?

A comprehensive framework of dimensions and factors of (un)successful policy transfer was presented by Minkman et al. (Ellen Minkman, 2018). The framework was drafted based on a systemic literature review. Four clusters of factors have been identified to influence policy (non)adoption: transferability, process design, adoptability and environmental factors. Figure 13 below presents the components of each of the four clusters.

Figure 13. Detailed conceptual framework of policy transfer
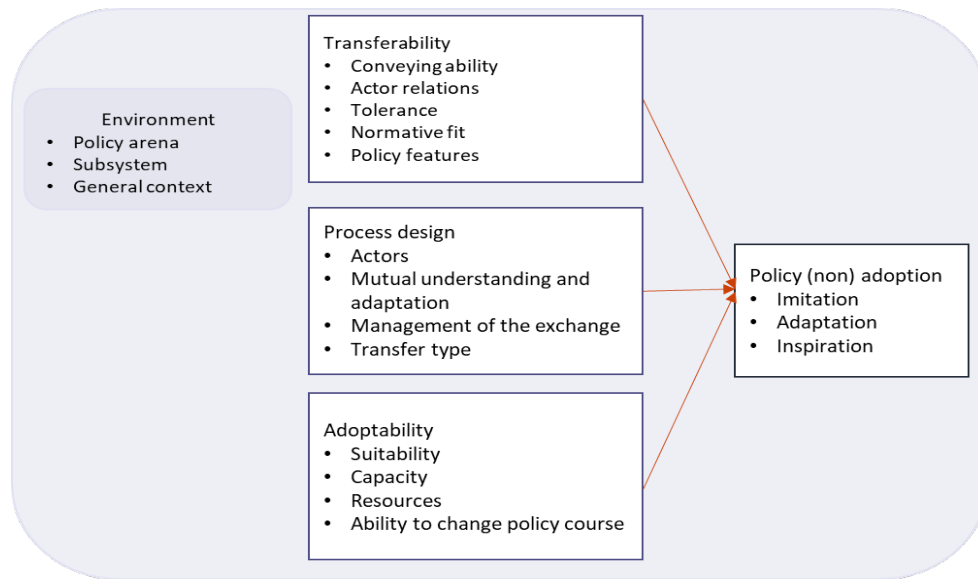
Source: Minkman et al., (2018).

The transferability is determined by: the ability of the receiving side to transfer the practice (the entity that is transferring the practice should be legitimate and capacitated) with a good connection between the sources and the receiving side (e.g. transfer among EU countries could be easier than policy transfer between countries or contexts that are less familiar) (Minkman et al., 2018). A successful transfer also requires receptivity of decision-makers (Keating & Cairney, 2012). The transferred policy should also fit into the existing norms, laws and political objectives of the receiving part (Minkman et al., 2018).

The **adoptability** is determined by: allocation of needed resources (time and finances) and institutional and human capacities to implement the change; and if needed to influence the policy discourse (Marsden, 2012).

Process design is the set-up of interaction between actors in implementing the policy transfer (Müller & Slominski, 2016). The policy design that leads to successful transfer will consider: the engagement of all key actors, coalition building, mutual understanding of the process, good management, and would clearly define the exchange mechanisms (Minkman et al., 2018).

Some studies define **additional criteria** for (un)successful policy transfer, such as previous positive experience in learning processes (Stone D., 2012), ex-ante impact assessment and piloting stage (Sanderson, 2002), innovativeness as a component, or the consideration of environmental implications (Iwan, 2014).

6 Conclusions

This literature review provides a comprehensive, but non-exhaustive overview of academic and grey literature regarding existing models and tools to define, evaluate and transfer good practices in the context of social policies. Based on the available and most relevant literature, we can conclude the following:

- There is an abundance of literature that reflects on one or more elements of the successful transfer of a good practice. At the same time, fewer existing literature reflects on general, theoretical frames that could be adjusted to any context, and most of it refers to successful transfer in a given situation.

- There is a multitude of terms and definitions of the transfer of a good practice process, they can have the same meaning in one context and have a different meaning in another context. Therefore, for the future steps of this exercise, it is important to have clear definitions of each of the terms – "good", "practice" and "transfer". The definition will be adapted to the context of provision of non-residential community-based services for older people from the various models presented above and will be put forward in the conceptual framework paper.

- There are multiple "models" of collecting and transferring successful actions in the development context. All international agencies developed and published internal tools for the assessment and transfer of successful experiences. The "model" usually consists of the definition of terms, description of the process, and definition of selection criteria. While some aspects might differ, most models are similar in the selection criteria and process description they use.

- In terms of evaluating the success, almost all models use, or adapt in one form or another, the OECD/DAC evaluation criteria.

- It is considered generally challenging to measure the medium and long-term impact of social services and interventions.

Before transferring a practice, it is important to understand the prerequisites of a successful transfer and the challenges and opportunities of the initial and the new context. It is also important to develop suitable methods and techniques to evaluate the transfer. Theoretical frameworks of policy transfer define the following criteria for successful transfer: good relationships between the actors, existence of the normative fit and public tolerance and ability to convey the change.

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Notes

i The FAO also includes a seventh criterion, "Reducing disaster/crisis risks, if applicable". However, this is not relevant in the context of this study.

ii The Assembly of European Regions is an independent network of European regions and serves as a forum of interregional cooperation.

iii It is beyond the scope of this literature review, but the UN has extensive information and methodology published on human rights monitoring, including the application of structure, process and outcome indicators to monitor the enjoyment of human rights.