

European Regional Development Fund Summative Assessment Guidance – Appendices

ESIF-GN-1-034

June 2020

Changes since last version (v3)

- Further clarifications on data monitoring requirements, including removing the separation between 'required' and 'advised' datasets.
- Additional guidance on using self-reporting methods (i.e. surveys and interviews) when determining impact.
- Guidance and definition on the new outcome indicator 'jobs safeguarded'.
- Additional activities provided under categories of activity (Table E.1).
- Typos in Table F.2 have been corrected.
- Further guidance on value for money analysis.
- Additional section 'Introduction' has been added under the heading 'summative assessment report structure'.

Note: These appendices provide supplementary technical advice to and should be read in conjunction with the summative assessment guidance available in a separate document: England European Regional Development Fund Programme 2014 to 2020: Project Summative Assessment Guidance (Reference: ESIF-GN-1-033)

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Appendix A - Preparing the Logic Model

- A.1 The guidance contained in this section updates the previous guidance issued by MHCLG on the preparation of logic models.

The logic model template

- A.2 All projects must use the standard logic model template provided by the managing authority (Ref ESIF-Form-1-011). If grant recipients have already completed a logic model based on the previous guidance, now superseded, from the managing authority MHCLG (ESIF-GN-3-002 ERDF Summative Assessment Logic Model Guidance for Grant Recipients v1) they are not expected to update that logic model.

Purpose of the logic model

- A.3 The logic model sets out the intervention logic for a project, including the range of outputs, outcomes and impacts that a project intends to achieve. The logic model is submitted alongside the full application.
- A.4 The key aim of the logic model is to provide clarity about the manner in which the proposed project activity will achieve the intended outcomes and impacts and hence address the underlying rationale and objectives for the intervention. While this intervention logic will have been developed as part of the project development process, this is a key opportunity to test the appropriateness and realism of these linkages.
- A.5 Once complete, the logic model will outline the specific nature of project activities, the characteristics of direct and indirect beneficiaries and the way in which the project's activities are expected to lead to beneficiary level outcomes and impacts. Ultimately, the logic model needs to provide a basis for decisions about how the project's implementation and progress will be monitored and what type of data will be collected.

Logic model components

- A.6 It is important that grant recipients are familiar with the concepts which are used at the project level to measure the consequences of the investments and how they relate to the programme level performance framework.
- A.7 In addition, that grant recipients carefully consider each of the elements of the logic model and the linkages between them. There should be a clear relationship between the need, activities, delivery approach and impacts within the model. This will help to ensure the design of high quality summative assessments.
- A.8 It is important to ensure that there is enough detail provided under each component to accurately describe the project. The character limit for each component is 32,700 (around 6,400 words).

A.9 The completed full application form should be of assistance when completing each of the logic model sections. For ease of reference, each section title below identifies the relevant area of the application form.

Context (full application sections 2.5, 2.8, 3.0)

A.10 This part of the logic model should identify the nature and importance of the challenges grant recipients are trying to address, the policies that already exist to tackle these challenges and what needs to happen for these challenges to be overcome. The section should:

- Provide concise evidence of issues within the business sector or local economy (examples would be data on lack of access to finance, skills etc.) showing how this issue is worse or more pressing than in other business sectors, regions and how, for example, it might be getting worse over time. Additionally, where specific sectors, locations or other divisions are targeted by the project, these should be clearly identified within this component.
- Summarise the local and national policies that are operating to respond to these issues, for example, if the issue is related to a gap in the provision of suitable business support, are there relevant public sector backed business support programmes already in place?
- Projects are advised to include some quantification of need- such as employment numbers- and link this back to the impacts in the Intended Impacts component.

Market failure assessment (full application sections 2.10, 2.11, 2.12)

A.11 This should explicitly set out the market failures which mean that in the absence of intervention by the public sector, the social, economic or environmental issues (or opportunities) identified in the contextual analysis will not be adequately addressed. Issues such as low demand or poor performance relative to other geographical areas do not necessarily provide evidence of market failure. Common examples of market failure may include:

- externalities (positive and negative),
- imperfect information,
- public goods; or
- coordination failures.

A.12 This should also set out why these issues will not be resolved in the absence of the proposed intervention. In doing so, be clear how the market failure flows through the context and to the project objectives.

Project objectives (full application sections 2.5, 2.8, 3.1, 3.2, 3.4)

A.13 This should set out the overall objectives of the project. As a guide, these will often reflect the outcomes grant recipients are hoping to achieve as a result of the investment. The objectives should also illustrate the links to the market failures and rationale components.

Rationale for proposed approach (full application sections 2.5, 2.83.1, 3.2, 3.7 - 3.13)

A.14 This component should also set out how, in meeting project objectives, the market failure will be addressed. This should explain why grant recipients have chosen to deliver a particular type of activity and the manner in which the project activities will be provided. It should also highlight the efficiency and effectiveness of this approach compared to other ways of achieving the similar objectives.

Project inputs (full application section 5)

A.15 This should provide an overview of the financial resources which the project will use, including the overall level of ERDF grant and levels and sources of match funding. For revenue projects, please also include staffing (eg head count or full time equivalents) and an indication of the equipment/facilities that will be used to deliver the project. As a minimum, it should be clear the manner and proportions in which ERDF and match funding are being used. . Where there is not enough space, new rows can be added to the sheet.

Project activities (full application section 2.5)¹

A.16 This should provide an overview of the project activities broken down in main strands with a short description. Detail the key activities that projects will deliver as a result of the above inputs. For example, construct a building, provide dedicated business support, run promotional events, set up a website etc.

Outputs (full application sections 6.0)

A.17 Outputs are the measurable activities that the project will provide. These will, in the main, reflect the outputs that grant recipients have already set out in their full application and agreed within the grant funding agreement (GFA).

A.18 As a minimum, grant recipients will need to develop their project logic model in a way which links clearly to the programme level reporting framework (that is, the contractual output indicators). However, the analysis should go beyond this to ensure that the logic model provides a full account of the likely range of outputs, outcomes and impacts which could arise as a result of the project.

A.19 Grant recipients may, however, choose additional outputs if appropriate and [Appendix D](#) sets out suitable indicators which should be used across the range of different interventions covered by the Priority Axis. Grant recipients are encouraged to limit their selection to these indicators in order to ensure consistency across projects. However, if they wish to use any other indicators, this should be agreed with their local growth delivery team (GDT).

Project outcomes (full application sections 2.5, 2.8, 3.3, 6.0)

A.20 This part of the logic model framework relates to the benefits which accrue at the level of the beneficiary of the project activities. It should set out the intended

¹ The intervention logic for Activities, Outputs and Outcomes should be clearly set out in the Context, Market Failure, Project Objectives and Rationale components and there should be a clear path to the Intended Impacts.

outcomes of the project – this is the measurable change that the project is intending to achieve among direct or indirect beneficiaries.

A.21 The nature of the beneficiaries will differ widely across the ERDF programme's investment priorities, for example:

- **Direct beneficiaries:** small and medium-sized enterprises which receive business advice and guidance, individuals who have received start-up advice;
- **Indirect beneficiaries:** small and medium-sized enterprises which occupy premises or have access to research facilities built with ERDF grant support or use enhanced transport infrastructure part financed with ERDF;
- **Wider beneficiaries:** businesses which benefit indirectly from the improved operation of product, labour or capital markets as a consequence of ERDF backed investment (eg businesses or residents which, although they may not use a new road link, benefit indirectly from reduced congestion on the road network as a whole and reduced journey times in the local area).
- **Non-Beneficiary:** unsuccessful businesses/individuals which have applied for support as part of a formal application procedure but were unsuccessful. It does not include businesses which made initial enquiries but didn't go on to formally apply for assistance and doesn't apply to projects which did not have a formal application procedure.

A.22 The description of outcomes should reflect the sequential processes by which outcomes arise within beneficiaries. For example, outcomes of a business support programme providing leadership and management coaching services could include:

- Changes to the skills and competencies of company management, leading to improved productivity;
- Changes in company strategy and growth plans and eventually supporting business growth and enhanced productivity;
- Changes in company turnover, employment and associated gross value added (GVA) etc.

A.23 These processes can be complex for many project types, with multiple steps. The sequential processes need to reflect both intermediate and final outcomes. Intermediate outcomes are those which are most closely related to the ERDF funded activity and for which the causal link with the ERDF activity is strongest. Final outcomes are more distant from the ERDF funded activity and might be affected by a much broader set of factors in addition to the ERDF activity (eg turnover, employment and associated GVA in the example above).

A.24 The logic chains need to capture the main relationships or steps in the outcomes, while not over complicating them.

Intended impacts (full application sections 2.5, 2.8, 3.3, 6.0)

- A.25 It should be clear from the Rationale component how exactly the impacts address the issues noted within the Context component. Where possible, Intended Impacts should be quantified.
- A.26 Ideally, these should capture the gross benefit that a project realises within their local economy, measured using appropriate economic, social or environmental indicators (eg GVA, full time equivalent employment, carbon savings, etc). The selection of these indicators needs to reflect the nature of the project and the manner in which they are intended to secure change within local economies.
- A.27 In recognition of the potential deadweight, displacement, substitution and leakage effects that projects can generate, this section should also highlight the expected net additional impact. This is in effect a measure of the overall change a project generates in the local economy.
- A.28 The important distinction between outcomes and impacts is the level at which they are measured. Outcomes occur at the beneficiary level, impacts occur at the level of the economy. In the example above, the impact would be the net additional GVA in the economy arising from enhanced business performance following receipt of business support. For further information on impact methodologies, please see Appendix C.

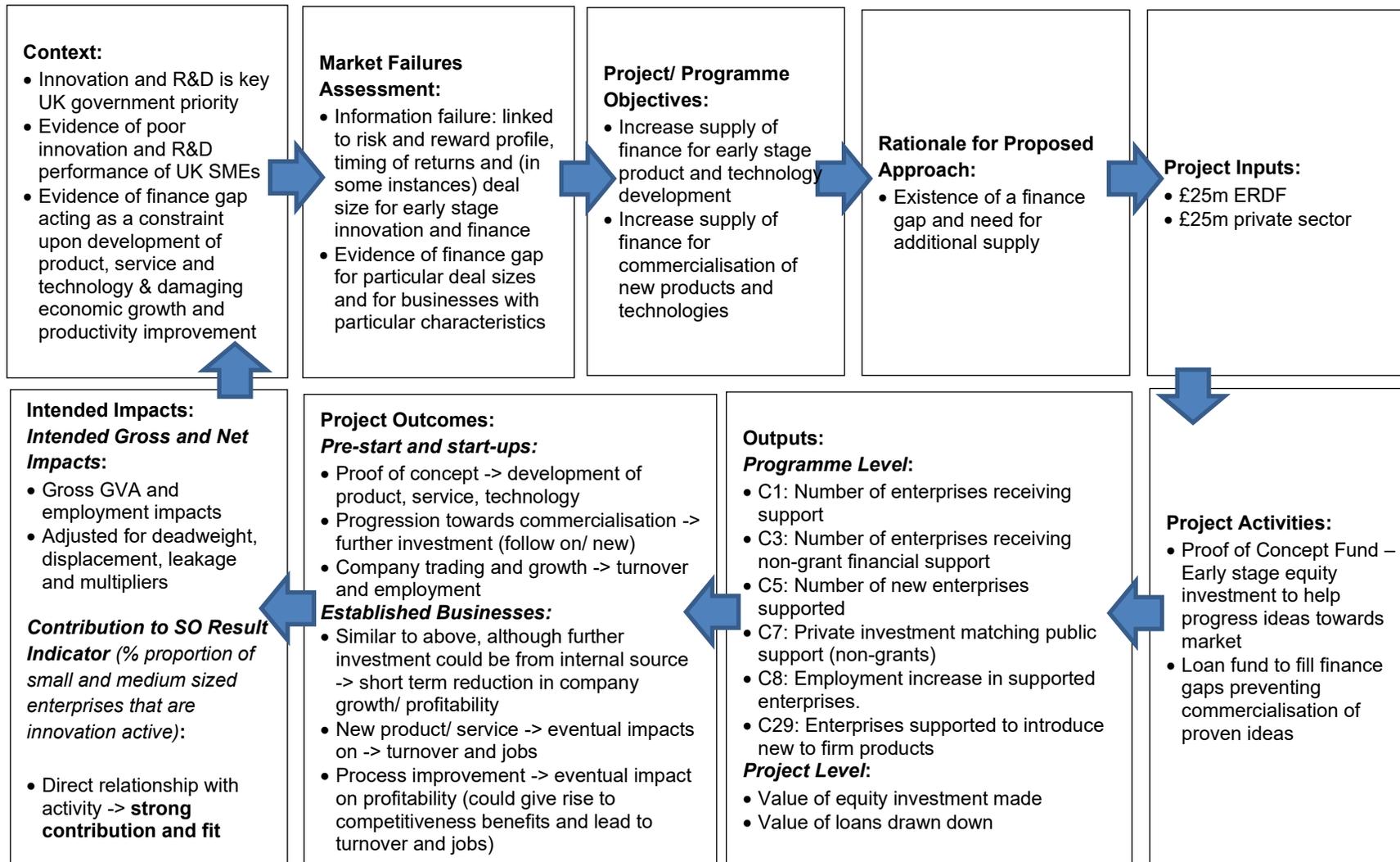
Project contribution to programme result targets

- A.29 The ERDF programme includes result indicators and targets for each of its investment priorities against which its achievements will be judged. The logic model should seek to capture the potential contribution that each project may directly or indirectly make to the achievement of these result indicator targets for the Investment Priority that it is funded under or any other relevant result indicator (this does not need to be quantified).
- A.30 However, due to the nature of the programme result indicators, not all projects will contribute directly to the achievement of these targets.

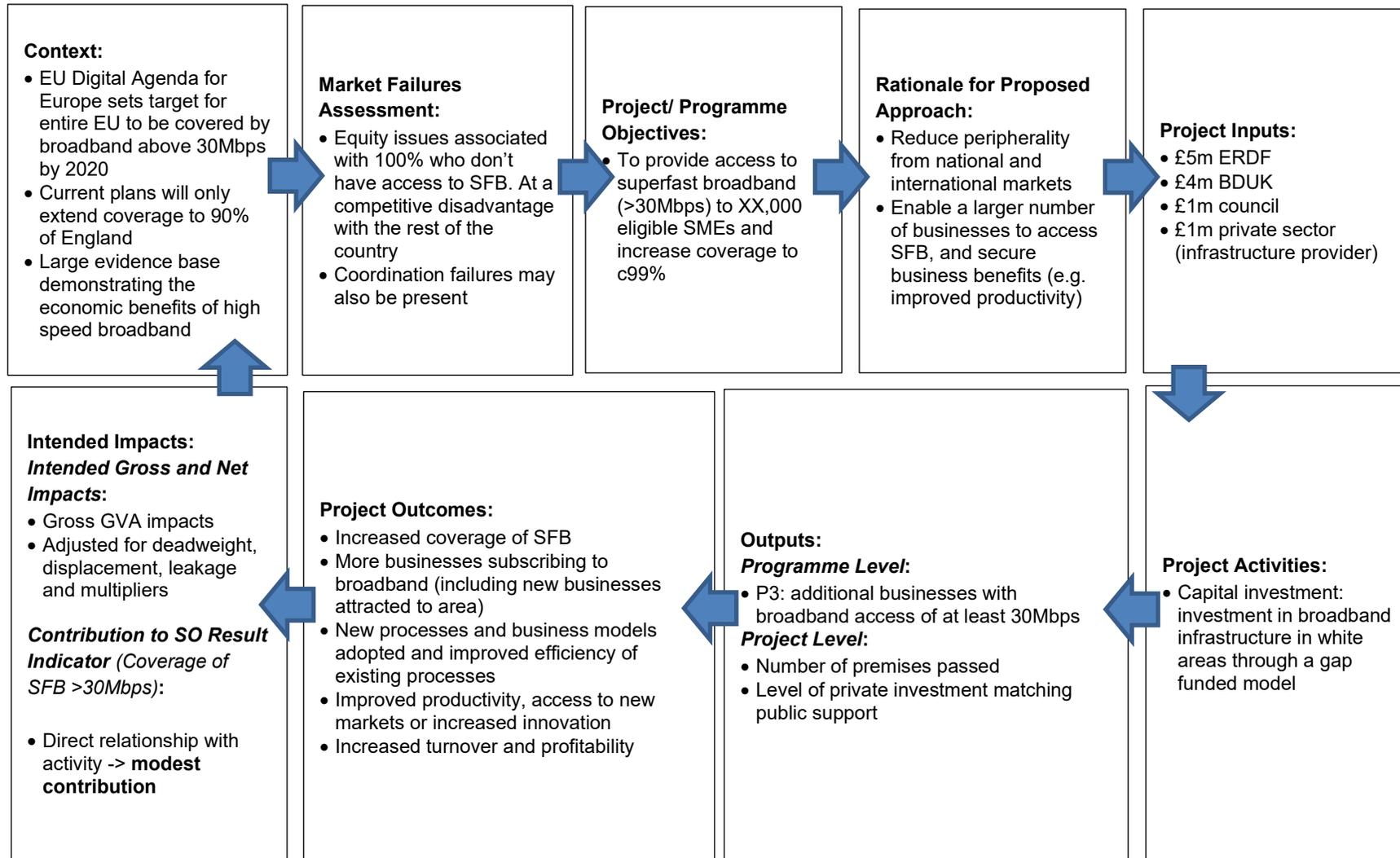
Logic model examples

- A.31 Examples of logic models are provided below for a range of intervention types. It is important that grant recipients tailor their logic model to their own project.

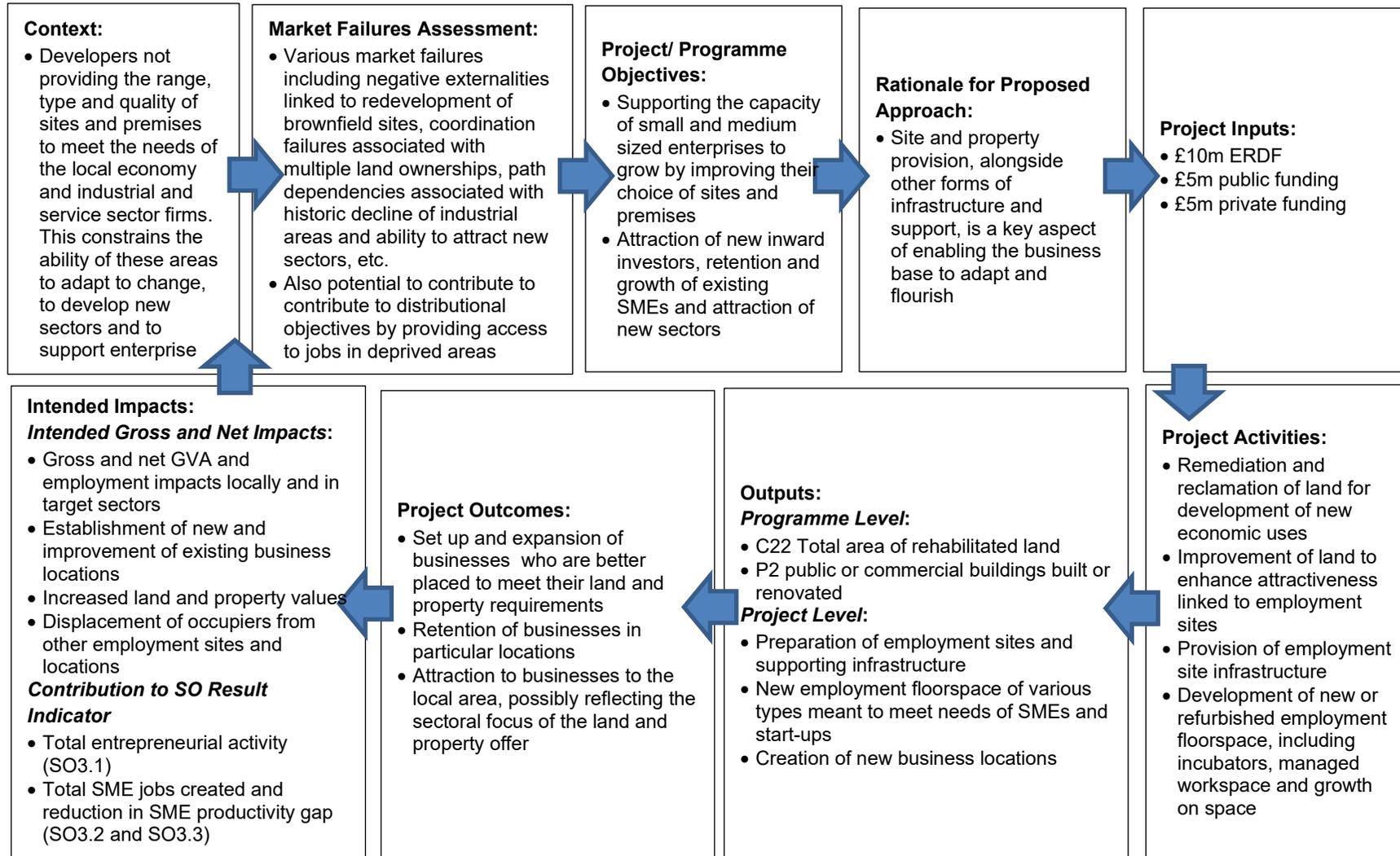
Investment Priority 1b: Early stage innovation finance



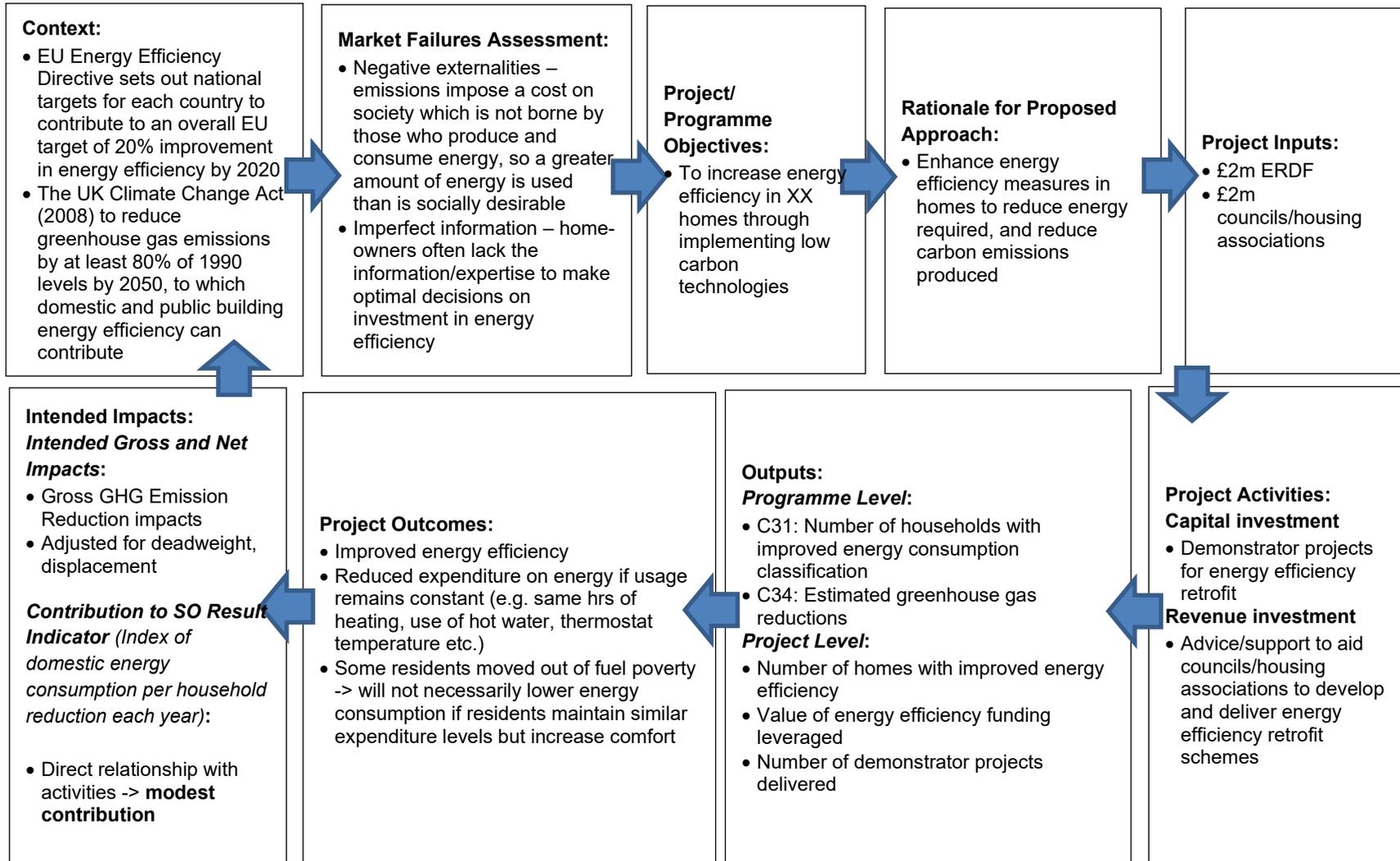
Investment Priority 2a: Extending superfast broadband coverage in a rural area



Land reclamation, site infrastructure and property development



Investment Priority 4c: Supporting domestic energy efficiency



Appendix B - The Summative Assessment Plan Template

- B.1 The template (ref ESIF-Form-1-012) that grant recipients need to complete is available from the managing authority. This standard structure and format is intended to help grant recipients ensure that all elements of the summative assessment plan requirements have been considered.

Project Description

- B.2 Where possible, grant recipients should attempt to build on the material used for grant applications to set out the relevance of what their projects are attempting to achieve for the summative assessment. For example, a project may be providing businesses with finance to help them grow - the recipient should use the project description to be explicit about the extent to which this is intended to achieve outcomes and impacts. These may include supporting businesses to commercialise new products or grow their exports as well as contributing to local economic growth and stimulating the supply of finance locally. Detailing these here will help to justify the approach described in subsequent sections.

Setting the summative assessment objectives

- B.3 The statement of objectives should outline the objectives of the summative assessment, not the objectives of the project.
- B.4 In setting the objectives for the summative assessment, grant recipients will need to think about the purpose of evaluation and consider these principles in the context of the project. This will allow grant recipients to identify the specific research questions for the summative assessment.

The principles of good project evaluation

- B.5 There is a wealth of guidance available on evaluation theory and practice. The What Works Centre for Local Economic Growth (WWCLEG) has spent the last two years assessing the evaluation evidence for a wide range of local economic growth interventions. It has also set out what it considers to be important principles for effective evaluation. These are summarised in Table B.1 below

Table B.1 What Works Centre for Local Economic Growth Evaluation Principles

- **Start early:** good evaluation is embedded in the policy design process, allowing good data to be captured on the success/failure of the

intervention. Evaluations long after the project finishes don't help make better decisions on cost-effectiveness or its continuation².

- **Define success:** in order to determine if a project is a success, the effects it is likely to have should be considered and what level of those effects would be considered a success. Clarity on objectives is therefore a fundamental evaluative concern³.
- **Focus:** evaluations should be focussed on answering the question: what works better? For example, the National Institute for Health and Care Excellence (NICE) does not provide guidance about what makes us healthy, but it evaluates specific treatments for particular conditions⁴.
- **Control groups:** pinning down causality is crucial to any impact evaluation and this is dependent upon the construction of a valid counterfactual. Another approach is offering similar groups different treatments (eg level of finance)⁵.
- **Collect data:** ensuring the data captures the outcomes and impacts linked to the project's objectives, records the identity and characteristics of programme participants, and is gathered through the most appropriate methods.
- **Length:** short-term indication of programme effects will help inform policy development while longer term data becomes available. Though sometimes long term evaluations are preferred, political pressures and the policy development cycle often mandate early evidence⁶.
- **Learn from others:** the importance of copying freely from the approaches adopted in existing studies. Ideally, drawing upon evidence from multiple randomised control trials before intervention would be deployed more widely⁷.
- **Get everyone on board:** evaluations need to bring the relevant stakeholders together as they will all be able to provide a mix of their perceptions and evidence.

Source: Adapted by Regeneris from What Works Centre for Local Economic Growth

Setting summative assessment questions

B.6 The manner in which grant recipients undertake their summative assessment will vary depending upon various factors including:

²What Works Centre for Local Economic Growth (2015). *How to evaluate: Start early*.
<http://www.whatworksgrowth.org/blog/how-to-evaluate-start-early/>

³What Works Centre for Local Economic Growth (2015). *How to evaluate: Define Success*.
<http://www.whatworksgrowth.org/blog/how-to-evaluate-define-success/>

⁴What Works Centre for Local Economic Growth (2015). *How to evaluate: What to evaluate*.
<http://www.whatworksgrowth.org/blog/how-to-evaluate-what-to-evaluate/>

⁵What Works Centre for Local Economic Growth (2015). *How to evaluate: Find a control group*.
<http://www.whatworksgrowth.org/blog/how-to-evaluate-find-a-control-group/>

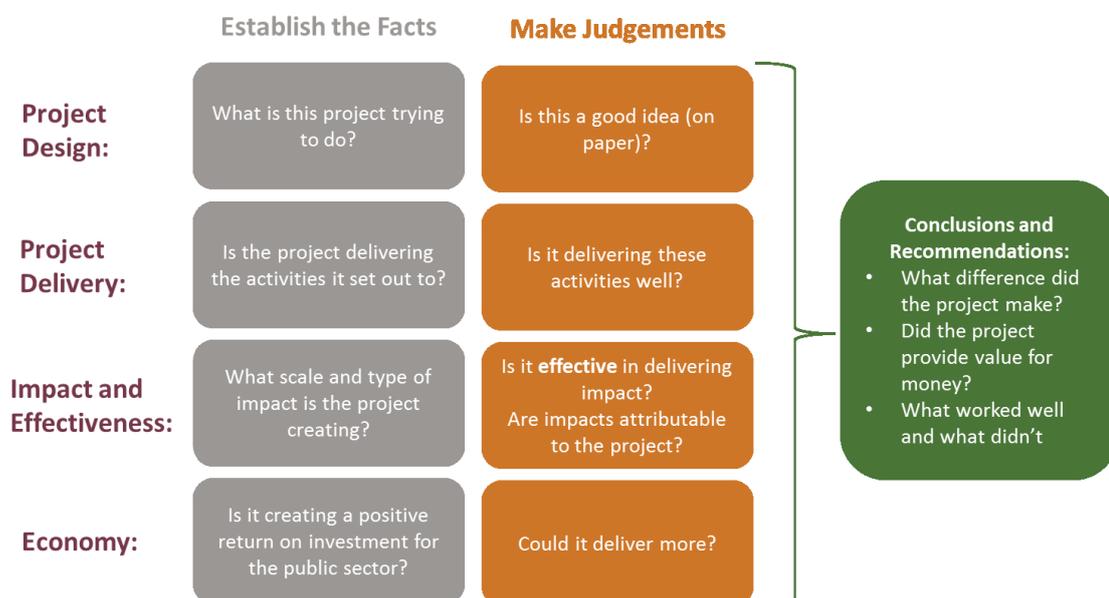
⁶ ibid

⁷ ibid

- The type of intervention and the particular activities the project is delivering;
- The nature and timing of the benefits the project is seeking;
- The scale of the project;
- The resources available for assessment.

B.7 These factors mean that each summative assessment will need to be tailored to these circumstances for each project. While each assessment will be different, there are some common questions which all summative assessments should consider. These relate to the design of the project, the delivery of activities, the effectiveness with which impacts are secured and the efficiency with which these benefits are realised. These high level questions are summarised below.

Table B.2 Key summative assessment questions



Source: Regeneris Consulting

B.8 These generic questions provide a starting point for the development of the objectives for grant recipients' own summative assessments. Grant recipients will need to consider these in the context of their own project and develop a set of more tailored questions which reflect the particular activities of the project and the insight being sought by the various audiences for the summative assessment.

The logic model

- B.9 Grant recipients will have already completed the logic model when preparing their full application. If, however, in developing the summative assessment plan grant recipients identify any necessary changes then the plan can be updated at this stage.

Approach, methods and tasks

- B.10 The approach to the summative assessment should reflect the project description and statement of objectives as this will help to clarify whether the approach is appropriate and commensurate to the project itself, both in terms of value, the type of intervention, the forms of outcome and impact sought, and the delivery approach.
- B.11 As a minimum, grant recipients should refer to the considerations listed in Table 3.1 of the Summative Assessment Guidance and present the proposed approach in a succinct manner. This will help to ensure the plan is broad enough in terms of its coverage of different elements of the approach.
- B.12 For process evaluation, as a minimum, recipients should provide a clear statement of what they want to assess and the methods they will use. Detail on specifics (eg. consultation with delivery partners) would also help to strengthen the plan.
- B.13 For impact evaluation, where projects are expected to deliver a significant impact to a specific local economy or market, recipients should indicate the measures they will use and the baseline against which this will be judged. For example, if a project is expected to increase local employment in a specific sector of the local economy, the plan should indicate how they intend to measure this, eg. through the percentage uplift in employment in that sector locally as recorded by the Business Register and Employment Survey from the Office for National Statistics.
- B.14 Even where counterfactual impact evaluation is deemed inappropriate, grant recipients should justify its exclusion in the plan.
- B.15 Where grant recipients plan to use consultation and surveying of beneficiaries, they should try to include rough estimates of the number or proportion of beneficiaries that they intend to contact, as this provides an indicator of the quality of the evaluation approach.
- B.16 Further details of what should be considered under this task are set out in [Appendix C](#).

Data and monitoring

- B.17 The plan must demonstrate that appropriate monitoring arrangements are in place to support strong and insightful summative assessment, which creates a full and detailed picture around progress and activities of the project.
- B.18 As a minimum, recipients should outline the data they are planning to collect and what type of collection system they have or are planning to have in place. Grant

recipients should also be explicit in how this will support the summative assessment.

B.19 It will also need to include a commitment to collecting the monitoring data, as set out in [Appendix D](#), that is applicable to the project.

Implementing the summative assessment

B.2 This section of the plan needs to set out the practical steps involved in implementing the summative assessment. Appropriate planning of the summative assessment is critical so that it adheres to the project timeline and is adequately resourced. Even where grant recipients intend to appoint an external evaluator, the grant recipient is ultimately responsible for the successful implementation of the summative assessment and quality assurance of the summative assessment according to the Secretary of State's common framework and methodology.⁸

B.20 Grant recipients should set out how they see the assessment taking place so that they can ensure it fits with their timelines and availability of personnel. This section should cover the following:

The assessment route

B.21 A clear statement is needed about who will undertake the assessment. This needs to state clearly whether the assessment will be carried out internally or by external evaluators and explain the rationale for this decision.

B.22 If external support will be procured, this section should set out the process for procurement and ensure compliance with ERDF regulations.

Timescale and outputs

B.23 A delivery plan identifying key milestones and output dates is required.

Management and quality assurance

B.24 A concise management plan for the assessment which could include:

- Nominated project manager;
- Management and oversight arrangements for the summative assessment;
- Budget for the summative assessment;
- Quality assurance approach and procedures.

Dissemination

B.25 A statement will be required setting out how grant recipients propose to disseminate and share the findings from the summative assessment.

⁸ This framework and methodology is outlined in the Summative Assessment Guidance (ESIF-GN-1-033) and Summative Assessment Guidance Appendices (ESIF-GN-1-034).

- B.26 The intended audience should form an important part of the plan and it should be clear from the statement of objectives that the plan is appropriate for the audience.
- B.3 As a minimum, the full report needs to be shared with the managing authority and the summary findings template must be freely available online. The managing authority also encourages grant recipients to publish the full report online where possible and while complying with GDPR regulations, for the purposes of promoting data transparency and public engagement.

Appendix C - Choosing the Impact Assessment Method

- C.1 This section provides an overview of the important factors which need to be considered in specifying the approach to assessing outcomes and impacts as part of the summative assessment.
- C.2 It provides an introduction to some of the key method types, and highlights important sources of further information. It also sets out the important factors which need to be considered in determining the approach for the summative assessment.

Possible impact evaluation methods

- C.3 One of the main ways in which the effort and robustness of the summative assessment will vary is the assessment of project outcomes and impacts. While all projects will need to gather evidence of the outcomes and impacts they achieve, smaller projects will not be expected to implement more demanding and robust methods including counterfactual methods. It is however expected that most projects will carefully consider how to maximise the quality and robustness of the impact assessment component of the summative assessment (see sections 3.10 and 3.11 of the summative assessment guidance ref ESIF-GN-1-033).
- C.4 The purpose of any impact evaluation is to measure the net economic impact of a policy, project or programme compared to the situation in the absence of the intervention. There are a wide range of methods which can be used to achieve this. While a detailed explanation of evaluation methods is beyond the scope of this guidance, a number of methodological approaches are highlighted which can be used to *assess the contribution* of projects in securing both the desired impacts and potentially unintended consequences. The more common methods of impact assessment include theory based approaches and counterfactual impact methods, both of which can be used to complement each other.

Theory-based approaches

- C.5 Theory-based approaches seek to analyse the theory behind the project. They are designed not just to find out whether there has been any positive or negative effect on a particular group, but seek to understand why and how an intervention works, as well as for whom.
- C.6 The logic model is at the heart of this approach (the guidance on the development of these models is set out in [Appendix A](#)), with it being developed during the design of the project or soon after the start of its operation. This sets out in detail the anticipated links between the context, inputs, activities, outputs and all of the potential outcomes and impacts over time. It should try to articulate the assumptions or hypotheses that underpin the logic, with these hypotheses being tested as part of the evaluation process.

- C.7 Theoretical approaches are commonly used where the intervention is complex, perhaps as a result of the mix of needs or support available within a project. There are a number of approaches to theory-based evaluation, which include 'theory of change', 'contribution analysis' and 'realist evaluation'. More information can be found here⁹.
- C.8 Theory-driven evaluation approaches employ logic models to specify the relationship between actions, outcomes and other factors, and are often expressed in diagrammatic form, but can also be expressed in other forms, such as in the form of a narrative. As a minimum, recipients should provide a clear statement of what they want to assess and the methods they will use when employing a process driven evaluation. The elements used to describe the theory of change embodied in the logic model commonly comprise inputs, activities and outputs, combined so as to form a process theory, expected initial and intermediate outcomes, followed by long-term outcomes representing the project's ultimate 'impact'. Inputs represent the types of resource needed to implement the project, activities represent the actions needed to bring about desired outcomes, and outcomes are the anticipated changes that result from inputs, activities and outputs.
- C.9 In theory-driven approaches, inputs, activities and outcomes often relate to behaviour and behavioural change. Initial outcomes are often expressed in terms of changes to knowledge, skills and abilities; intermediate outcomes are the change in behaviour that is expected to lead to impactful, long-term changes in economic or social performance. While counterfactual impact evaluation (CIE) approaches to evaluation create counterfactuals so as to isolate relevant effects, Theory of Change approaches commonly deal with attribution by instead making the assessment of change stakeholder-led. Attribution is achieved by evidencing the desired behavioural change, and tracing it to the various actions initiated by the intervention, rather than through the use of a counterfactual.
- C.10 However, as there is no robust counterfactual, when used in isolation theory-based approaches are unable to isolate impact, because they do not control for what would have happened anyway without intervention. Supporters of theory-driven approaches to evaluation would argue that this is not the purpose of theory-driven evaluation approaches, which instead represent an alternative to CIE that seeks to attribute the effects of an intervention through more qualitative means. However, theory-driven evaluation approaches and CIE can be complementary to each other as theory-driven methods can provide invaluable causal insights to complement the identification of the specific impact of an intervention identified through CIE. This is the way they are viewed in the National ERDF Evaluation Plan.

Counterfactual impact evaluation methods

- C.11 *Counterfactual impact assessment* uses comparison groups or areas to isolate the difference which an intervention makes to the beneficiaries or treatment areas. In its simplest form, a counterfactual compares a group of participants or

⁹ More information is available from:

http://ec.europa.eu/regional_policy/sources/docgener/evaluation/guide/evaluation_sourcebook.pdf

treatment areas who have received support with businesses, individuals or areas with similar characteristics who have not. More rigorous approaches randomly determine if eligible businesses, individuals or areas receive the support. While this approach is valuable in attributing the observed outcomes and impacts to the support provided, additional research will be needed to understand how and why the intervention works.

C.12 In short, high quality CIE needs to:

- accurately measure the change that occurs across relevant indicators of outcome or impact after a project has been implemented; and
- Indicate the measures that will be used and the baseline against which they will be judged; and
- Include the rough estimates of the number or proportion of beneficiaries that will be contacted; and
- construct a counterfactual which can disentangle the influence of other factors on the impact indicators and allow the impact of the project to be isolated. The way in which this counterfactual is constructed is the key element of evaluation design.

C.13 There are numerous ways to achieve each of these aspirations. Evaluators need to make various methodological choices to ensure that the counterfactual assessment is appropriate to the nature of the project being evaluated, the beneficiary groups that it affects and the characteristics of the impacts it supports. Even where counterfactual impact evaluation is deemed inappropriate, grant recipients are expected to justify its exclusion in the plan. The main types of methodology and their respective strengths and weaknesses are considered below.

Approaches to measuring change among beneficiaries

C.14 There are two broad methodological options for measuring the change supported by ERDF projects. First, it is possible to use administrative datasets to observe changes that take place on relevant business, economic, social and environmental indicators. This can be done:

- At the beneficiary level: by identifying beneficiaries on datasets such as the Interdepartmental Business Register (IDBR) or Individual Learner Record (ILR) and tracking change over time;
- At the area level: by using area based datasets to look at aggregate area performance using particular indicators over time.

C.15 Approaches such as these can reduce the potential for measurement or reporting error that is associated with fieldwork based data collection methods. Their feasibility and desirability depends on the availability of datasets which provide adequate and timely coverage of beneficiaries and which report on an appropriate range of metrics. For ERDF there are a handful of datasets which provide appropriate coverage at the beneficiary level (these are explored later). The range of existing datasets is much more extensive at the area level, although many are themselves sample based and can be subject to some error.

- C.16 Ideally, evaluations will employ a range of qualitative and quantitative methods, employing both secondary and primary data, and will seek to triangulate between the findings of these different approaches in order to gather a comprehensive picture. However, when it comes specifically to identifying the *impact* of an intervention, qualitative techniques are *not* a substitute for quantitative techniques. Impact can only be established through use of an accurate counterfactual representing what would have happened had no intervention been undertaken. This places primacy on comparator-based techniques, such as matched-control group analyses carried out using secondary datasets.
- C.17 However, matched-control group analysis of this type may also be usefully complemented by collection of primary data in the form of surveys of beneficiaries and comparable non-beneficiaries. Care needs to be taken to ensure non-beneficiaries are comparable. Because the collection of primary data is tailorable to the specific context of the intervention, allowing for the collection of specific variables related to the intervention which are not available in secondary datasets, it can provide a useful means to uncover important causal nuances to bolster the impact analysis achieved using secondary datasets. However, it should be borne in mind that beneficiary surveys can be expensive to conduct and raise various issues about the quality and representativeness of the information gathered.

Approaches to establishing a counterfactual

- C.18 Establishing the counterfactual is the essential step in isolating and understanding the actual impact that a particular project, programme or policy has created.
- C.19 The most technically robust approaches to the counterfactual draw upon comparator or control groups of individuals or businesses not participating in or not eligible for the programme being evaluated. The main assumption is that the post-policy outcome in the control group can provide an estimate of what would have happened to the treatment groups had the policy or programme not been implemented. As part of a robust CIE it is necessary to demonstrate that this assumption is plausible. Standard regression or ‘difference in differences’ analysis can go some way to achieving this by statistically controlling for differences in characteristics between the policy-on and control groups and accounting for the other factors which can affect changes in impact variables.
- C.20 The National Audit Office (NAO) report¹⁰ identifies that there are broadly four ways in which the control groups can be designed or adjusted to make the best possible comparison. The important point is that the desirability of different approaches depends on numerous factors, in particular the nature of available data and the variables covered. Randomised Controlled Trial (RCT) approaches need to be designed into a project during the design stage. That is participants need to be randomly allocated to the treatment and control groups before an intervention takes place. Quasi-experimental approaches provide a variety of other approaches to constructing comparison groups. This can include, under certain circumstances, using unsuccessful applicants for support as a

¹⁰ https://www.nao.org.uk/wp-content/uploads/2013/12/10331-001-Evaluation-in-government_NEW.pdf

comparison group and hence it is helpful for grant recipients to retain information on this group.

- C.21 The most frequently used alternative to control or comparison group based approaches are self-reported methods, such as surveys and interviews. These have been widely used in a variety of evaluations and are often the most practical means of looking at the counterfactual. Here a sample of beneficiaries is identified using project monitoring and contacted after they have experienced the intervention and asked to recall the role that it played in changes in performance or outcomes. Their responses can be used to make adjustments to gross changes that are recorded in datasets or reported by beneficiaries.
- C.22 Self-reported approaches have inherent weaknesses. In particular, individuals can find it difficult to disentangle the effects of a particular intervention or programme from all of the other factors which affect their behaviour over time. For this reason in particular, they have been widely criticised and are considered to be the least robust means to establish a counterfactual. Given the lack of robustness, this approach should be seen as a last resort where other methods have been ruled impractical.
- C.23 Where self-reported approaches are used, it is important to be aware of the weaknesses, mitigate them if possible, and if not, ensure that any conclusions drawn from the analysis are caveated appropriately. Below are some examples of what can be done to mitigate some common weaknesses:

Common Weakness	Mitigation
Lack of statistically robust and representative survey sample	Maximise the number of survey respondents and the representativeness of the respondents by type. The sample should be representative of the beneficiary population to ensure results and conclusions drawn from the survey results are a true reflection of the beneficiaries supported.
Lack of confidence in findings due to poor clarity around methodology	To enable readers to understand the robustness of the evidence and how much weight to be placed on the conclusions, there needs to be an open and clear methodology. This should include the approach(es) selected, the reasons for the selection of these approaches and the implications in terms of the reliability of findings.

- C.24 The calculation of gross and net economic impacts should be carefully considered. Where control or comparison groups cannot be used, there are a number of sources available for alternative approaches. The Treasury’s Green Book¹¹ provides methodologies for estimating impacts of a wide range of activities with supplementary guidance covering a range of intervention types. The Homes and Communities Agency provides guidance specifically on measuring additionality.¹² Self-reported surveys can be used to inform the selection of additionality estimates but the summative assessment should be

¹¹ Available at: <https://www.gov.uk/government/publications/the-green-book-appraisal-and-evaluation-in-central-government>

¹² Available at: https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/378177/additionality_guide_2014_full.pdf

clear where this is done and how a particular additionality level has been selected.

- C.25 Where survey work is undertaken, it is important that the summative assessments clearly outline the method used and a full analysis of survey representativeness is presented, including analysis of the sample (including margins of error), lines of questioning used, data collection method, and any challenges faced. Where there are any issues with the robustness of the sample and method, the implications for the reliability of the findings for the summative assessments should also be clearly set out.
- C.26 Although gross changes in employment levels amongst beneficiary businesses are relatively easy to collect, changes in GVA or productivity may be more difficult to collect and as such it may be necessary to estimate these changes through proxy measures. The Business Support Evaluation Framework¹³ from BEIS provides an overview of productivity outcome measures. Where it is necessary to estimate proxy measures of GVA and productivity, summative assessments should be clear on the derivation of these measures, their robustness and the implications for the reliability of findings.

Overview

- C.27 The various counterfactual and change measurement approaches can be applied in various combinations as summarised below. Each method has its own set of theoretical benefits and drawbacks and these depend on the particular characteristics of the intervention being considered. However, comparator-based techniques in which there is comparison against a counterfactual, representing what would have happened anyway without the intervention, *should be given priority over non-comparator-based approaches*. While a holistic evaluation will ideally draw on a number of approaches, non-comparator-based techniques used in isolation are likely to result in a poor-quality evaluation. They are unable to attribute any identified effect specifically to the intervention undertaken.
- C.28 The Maryland Scientific Methods Scale (SMS) can be used as an objective means of scoring the robustness of the CIEs, ranging from 1 (least robust) to 5 (most robust) according to the method used and the quality of its implementation. Robustness, as judged by the Maryland SMS, is the extent to which the method deals with the selection biases inherent to policy evaluations and hence the ability to identify causation. More information can be found on the What Works Centre for Local Economic Growth¹⁴.

¹³ Available at:

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/772808/business-support-evaluation-framework.pdf

¹⁴ See <http://www.whatworksgrowth.org/resources/the-scientific-maryland-scale/>

Table C.1 Summary of CIE Approaches

		Construct a Counterfactual		
		Non-comparator Based Approaches	Control Groups / Comparator Areas	Randomised Control Trials
Measure Change at the Area Level	Observe Outcomes in Official Datasets	Observe change in area-based datasets. No means to attribute to intervention in absence of comparator group.	Identify comparator areas with similar characteristics to the programme areas. Observe change in area-based datasets in programme and control areas and use econometric analysis to identify additional effect of the intervention on outcomes, controlling for other factors. Number of comparators likely to be modest	Randomly determine membership of treatment and control group before intervention. Random allocation helps ensure similar treatment and control characteristics.
	Primary Research to Estimate Outcomes	Capture data using population and business surveys. Aggregation of data likely to be a challenge and sample sizes would need to be large. No means to attribute to intervention in absence of comparator group.	Identify comparator areas with characteristics to the programme areas. Capture data on key variables using population and business survey. Sample size would need to be large for aggregation. Number of comparators likely to be modest so analytical power limited.	
Measure Change at the Beneficiary Level	Observe Outcomes in Official Datasets	Match beneficiaries to official datasets and observe change. No means to attribute to intervention in absence of comparator group.	Match beneficiaries to official datasets and observe change. Replicate in control groups and use econometric analysis to look at the additional effect of intervention on outcomes, controlling for other factors.	
	Primary Research to Estimate Outcomes	Use of surveys and carefully designed interviews to determine change and self-attribution to intervention.	Replicate survey analysis in control areas and use of statistical analysis to look at additional effect on intervention on outcomes, controlling for other factors. <i>Source: Regeneris Consulting</i>	

C.29 In order to facilitate CIE methods, it is important that grant recipients gather the following information as a minimum:

- Information on the beneficiaries which can enable them to be identified in administrative datasets such as the IDBR (such as the company registration number in the case of businesses);
- Precise information on the type of support received, its timing and intensity (such as the financial value);
- In certain circumstances, information on unsuccessful applicants for the support offered by projects (this is particularly relevant where demand exceeded the available supply of support and hence a selection process with objective criteria were used to select beneficiaries).

Implications for summative assessment design

C.30 The evidence that summative assessments will provide in relation to the impacts of ERDF funded projects is extremely valuable to delivery bodies, MHCLG and wider stakeholders. It is essential that the summative assessments seek to deliver as robust and detailed an assessment as possible. The National Evaluation is likely to be undertaking counterfactual impact evaluations for some intervention types, although it is not appropriate in all instances. Where CIE is being undertaken as part of the National Evaluation (such as for SME advice, guidance and finance projects), projects are still encouraged to undertake their own CIE as there could well be a mismatch between the timing of project summative assessments and the results of the National Evaluation being available. Where the National Evaluation does not provide an effective basis for CIE (such as for transport, sites and premises, broadband schemes), CIEs undertaken by projects will be particularly important in providing the evidence needed at a national level (see sections 3.9 - 3.11 of the summative assessment guidance ref ESIF-GN-1-033).

C.31 In designing and implementing the summative assessment plan it is essential that all grant recipients consider the potential to undertake CIE as part of the summative assessment.

C.32 As outlined above, CIE is intended to identify the impacts which are both attributable to the ERDF project and which would not have arisen in its absence. UK Government and the European Commission are placing much more emphasis on the use of counterfactual methods to identify the impacts of ESIF programmes and the projects they fund.

C.33 This is one of the most challenging aspects of evaluation and although the available techniques and resources to support it have improved in recent years it may not always be appropriate or practical to use counterfactual methods. In developing the summative assessment plan, grant recipients will need to demonstrate that they have considered the scope for using CIE methods.

C.34 Given the breadth of ERDF projects, it is extremely difficult to generalise about the appropriateness of different methods for particular types of intervention. ERDF projects vary substantially in terms of the characteristics of their

beneficiaries and the type of outcomes they create. This variation is summarised in Table C.2 below. This highlights two very important points.

- C.35 First, the broad range of ERDF project types give rise to a complex array of impact types. These include:
- Less tangible impacts that are difficult to assess quantitatively such as impacts on individuals' confidence and aspirations;
 - Outcomes that can be analysed and assessed in a quantitative manner such as changes in qualifications of individuals or registration of patents;
 - Readily quantifiable changes such as business turnover, employment or earnings of individuals.
- C.36 Second, some intervention types have direct beneficiaries which could include individuals, researchers or newly formed or established SMEs. But for many types of intervention there are no direct beneficiaries and impacts materialising indirectly at a sector or area level. These intervention types may include investments in infrastructure, place marketing or investments in public realm.
- C.37 Given the range of factors which affect the feasibility of CIE, it is not possible to generalise about the potential scope for CIE methods by project type. The upshot of this is that, in designing the summative assessment, grant recipients will need to consider carefully a range of factors and draw conclusions about the feasibility of CIE methods. The project logic model will be an important starting point for this analysis. This will provide a clear and concise description of all of the relevant features of the project's design and the manner in which it supports outcomes at the beneficiary level and the wider impacts.

Table C.2 Summary of Intervention, Beneficiary and Impact Types (Source: Regeneris Consulting)

	Intervention Type	Description and Examples	Outcomes Mostly Related to...					
			Individual Employability	Business Performance	Enterprise / Start-up	Innovation	Area Image	Physical Regen
Beneficiaries are Predominantly SMEs	SME Competitiveness	Mainstream enterprise support to established and growing businesses to improve productivity and promote growth. Beneficiaries are mostly SMEs.		✓✓✓	✓	✓		
	Sector Development	Interventions targeted at specific sectors. Examples include sector or cluster development programmes. Predominantly SME beneficiaries.		✓✓✓	✓	✓		
	SME Innovation	Interventions to improve innovation performance of SMEs. Includes knowledge transfer projects and innovation advisory services. Mainly SMEs working with universities, R&D facilities and large companies. Emphasis on improved business performance but could also include collaboration, new products/services and proof of concept.		✓✓	✓✓	✓✓✓		
	Energy and Resource Efficiency	Investments targeted at SMEs' use of energy and uptake of low carbon technologies. Might also include a small number of low carbon retrofitting projects for homes where SMEs and tenants are identified as beneficiaries. Some SME beneficiaries. Impacts most likely related to productivity but incremental. Beneficiaries largely individuals / domestic.		✓✓✓		✓		
	Access to Finance	Range of financial instruments providing capital or funding for development projects. Examples include Venture Capital and Loan Funds, transitional Loan Funds and SME grant schemes. Extensive range of SME beneficiaries receiving various types of investment. Could include start-ups as well as established SMEs.		✓✓✓	✓✓	✓✓		

	Intervention Type	Description and Examples	Outcomes Mostly Related to...					
			Individual Employability	Business Performance	Enterprise / Start-up	Innovation	Area Image	Physical Regen
Beneficiaries are Predominantly SMEs	Social-enterprise	Actions to support development of social enterprise. Examples include advisory and start up schemes. Beneficiaries will include social enterprises and their supply chains.		✓✓	✓✓✓			
	Strengthening the R&D Base	Capital and revenue investments to strengthen and exploit regional science bases / promote commercialisation of research. Examples include investment in university research facilities and commercialisation support services. Mix of institutional and business beneficiaries. Improved business performance is objective but not always direct SME beneficiaries.		✓	✓	✓✓		✓✓

Main Focus on Individual Beneficiaries (but some SMEs beneficiaries possible)	Business Formation and Entrepreneurship	Business start-up support and activities to promote entrepreneurship. Includes enterprise coaching, social enterprise start up services, youth enterprise services and incubator facilities. Focused on creation of SMEs, so some business assists but also on individual entrepreneurs.	✓✓	✓	✓✓✓			
	Access to Employment	Interventions to improve availability of and access to employment opportunities. Includes business premises in deprived areas, travel schemes linking employment areas to deprived communities. Most likely to be individuals benefiting from interventions.	✓✓		✓		✓	✓
	Community	Investments which appear to be aimed solely at community facilities, networks etc.	✓		✓		✓	✓✓
	Skills Development	Investments aiming to improve skills and qualifications. Could be targeted towards particular groups. Individuals, possibly also SMEs employing individuals.	✓✓✓		✓✓			
Mostly Indirect Beneficiaries	Sites and Premises	Range of capital investments to support the development of employment land and premises. Includes land remediation, business premises and JESSICA. Some SME beneficiaries but generally indirect recipients of ERDF through developer and operator of premises.		✓	✓		✓	✓✓✓
	Infrastructure	Investment in specific infrastructure projects, examples include superfast broadband networks, station facilities and interchanges, flood defences, etc. Most interventions will have no direct beneficiaries but some (e.g. broadband) could have direct SME and individual beneficiaries.		✓	✓		✓	✓✓✓
	Investment Marketing	Direct beneficiaries will be those attracted as a result of investment promotion marketing. Complex pattern of impact and attribution. Could also be supply chain impacts and wider SME beneficiaries associated with landed businesses.		✓			✓✓✓	
	Public Realm	Investments in blue and green infrastructure. No direct beneficiaries. Individual and SMEs likely to benefit indirectly.					✓✓✓	

C.38 There are a number of factors to consider here. These are linked and there are no hard and fast rules. It is not possible to provide clear guidance about when CIE is and is not feasible as there are numerous factors to consider. In reaching a decision about whether CIE is appropriate for the project, the following factors need to be considered:

- **The size of project:** generally speaking, there is a stronger case for the use of CIE methods for larger projects due to the level of resource being used (and linked to this the size of the summative assessment budget), the scale of potential impacts and, subject to the nature of the project, a larger volume of beneficiaries with whom to engage.
- **The nature of the activities that the project delivers:** although the manner in which many local growth focused interventions can be complex, some interventions are better suited to CIE approaches. For example, the provision of business finance to growth focused SMEs should, in general, help them to grow their businesses, improve their productivity and increase the overall GVA of the local economy. In contrast, while road improvements may help to improve productivity of the local businesses and the attractiveness of an area as an investment location, it achieves these benefits in much more diffuse ways.
- **The nature of project beneficiaries:** in general, it is easier and less costly to undertake CIE methods where there are direct project beneficiaries and their details have been recorded accurately so that they be identified in administrative datasets to enable the selection of comparison groups.
- **Timing of impacts:** there can be a considerable lag in the occurrence of economic, social and environmental outcomes and impacts of projects. These lags arise from multiple sources (eg delivery of interventions, changes in beneficiary approaches and performance, improvements in published data, etc) which often compound each other and can be a major constraint upon the ability to gain evidence on economic impacts within a reasonable period of time.
- **Wider economic impacts:** the ERDF programme has the potential to generate a diverse range and potentially complex mix of positive and negative wider impacts affecting factor and product markets. In practice it can be very difficult to capture these effects using CIE methods and, if they are judged to be important, usually require supplementary research methods to gather the necessary evidence.
- **Coverage in the National Evaluation.** It is not practical to undertake comprehensive CIE for some project types in the National Evaluation, including for example transport, broadband and many forms of place based infrastructure investments such as sites and premises, and blue and green infrastructure. This places more emphasis on CIE being undertaken at a project level if possible and practical in light of the other points raised above.

C.39 There is a growing body of guidance and toolkits on the use of CIE methods which can be drawn upon, including the What Works Centre for Local Economic

Growth and Wellbeing. As many projects will not have the evaluation skills and experience in-house to undertake CIEs, they should also look to external evaluators to provide advice on the suitability of CIE methods and the approaches to maximising the potential offered by these techniques.

Choosing the spatial area for the assessment

- C.40 As part of the summative assessment plan, it is necessary to provide a clear statement about the spatial scale at which the impact assessment will be undertaken and the assessment methods to be used.
- C.41 While the majority of ERDF backed projects will operate and draw their beneficiaries within a clearly defined LEP area, some others operate across multiple LEP areas (eg a number of the SME business finance projects) and a small number of projects may operate across England as a whole. Also given the nature of many types of interventions, they will provide benefits to a range of indirect beneficiaries across areas which are not defined by specific administrative boundaries (eg transport infrastructure projects).
- C.42 In selecting the spatial areas within which the outcomes and impacts of projects will be measured, grant recipients should consider the following:
- The spatial area within direct beneficiaries are drawn from;
 - The spatial area in which the majority of indirect beneficiaries are likely to be located;
 - The spatial area in which any wider economic, social and environment benefits are likely to be concentrated.

Appendix D - Guidance on Data Collection and Reporting

Data collection

- D.1 The project logic model will identify the full range of output and outcome indicators which will be monitored. This will provide the basis for a careful consideration of how this insight can be translated into the grant recipient's approach to data collection during the project to ensure that it supports the summative assessment. The summative assessment framework contains a degree of required data collection:
- Meets the requirements of the claims process: when making claims there will be a requirement to record programme specific outputs delivered and verification data against businesses supported. These data requirements should be included in the logic model and summative assessment plan, and are reported using the ERDF Claim Form (ESIF-Form-8-002) and the ERDF Output Upload Form (ESIF-Form-8-015). Spend and output performance will also be recorded in the Summative Assessment Report and Summative Assessment Report Summary (ESIF-Form-1-014).
 - Meets the requirements of the National Evaluation: to support the data collection of both the project summative assessments and the National Evaluation there is a requirement for projects to report certain datasets on the basis of activity being supported by the project. These data requirements should be included in the logic model and summative assessment plan, and are reported using the **ERDF Summative Assessment Data Monitoring Template** (ESIF-Form-1-013).
- D.2 To facilitate the National Evaluation, the programme has been broken down into several types of activities. Different datasets will need to be collected to evaluate each type of activity as will also be the case for the summative assessment. Table D.1 below sets out the types of activity that investments have been broken down into and how these relate to the programme's investment priorities; this should enable grant recipients to easily identify which activities apply to their project. Tables D.2 through to D.10 set out the reporting requirements for each type of activity. In most projects it is expected that only one of the activities will apply, however, under more complex projects it is possible that more than one type of activity may be covered. In these instances data from all applicable tables should be collected.
- D.3 Good evaluation is heavily dependent on the quality of monitoring information that is collected during delivery. Grant recipients should be providing all datasets which are applicable to their project by reference to their logic model. Tables D.2 through to D.10 below outline the datasets which should be collected to support the evaluation of specific activities.
- D.4 The managing authority accepts that in some instances projects may not be able to report against all datasets for reasons of applicability and/or availability. Where this is the case grant recipients should indicate this by stating 'N/A' or 'N/K'.

However, where a dataset is applicable we do expect Grant Recipients to provide it.

Data reporting

D.5 During the delivery of the ERDF project, grant recipients will need to ensure that they collect all of the data identified in the summative assessment plan and report against as follows:

- The contractual spend and outputs included in the GFA: these will be reported as part of quarterly payment claims.
- Businesses supported verification data: again this will be reported, where appropriate, as part of quarterly claims reporting.
- The monitoring data identified in the relevant tables D.2 through to D.10 to be reported alongside quarterly claims using the summative assessment data monitoring template (ESIF-Form-1-013).
 - The summative assessment monitoring datasets should be reported cumulatively on a quarterly basis (alongside claims), unless there are specific and justifiable reasons for delaying submission as agreed with the managing authority. This should also help avoid the burden of bulk reporting at the end of the project. Data relating to outcomes, however, cannot be reported until after support has been provided (this excludes the baseline measure for jobs safeguarded).
 - Given the timing of the final report the managing authority acknowledges that not all outcomes will have been captured by the end of the project. Where grant recipients are seeking to continue to collect outcomes following the submission of the final report for their own evaluation purposes they are encouraged to share this data with the managing authority too. This sharing of data will help ensure that the National Evaluation of the programme can be as effective as possible.
 - While all datasets are required, the managing authority accepts that certain datasets may not be applicable or available for certain projects. If they are applicable to a particular project, then this information should be provided. Applicability can be determined by reference to the project logic model, or, in conversation with the managing authority. Where the datasets are bespoke to the project then they should be reported alongside the interim and final summative assessment report as applicable.

D.6 The Summative Assessment Data Monitoring Template (spreadsheet) containing the Data Monitoring worksheets (tabs) should be returned on a quarterly basis alongside claims. For Grant Recipients there will be one Template that is added to or updated periodically as follows:

D.7 New beneficiaries, outcomes or output indicators should be added to the worksheet on a **regular and cumulative basis** so that each Grant Project has just one Summative Assessment Data Monitoring Template that is kept up to

date and contains all beneficiaries, activities and outcomes delivered by the project. Grant Recipients should update existing beneficiaries in the worksheet so that it reflects the position for that quarter.

- D.8 If the data monitoring template has been updated by the managing authority, we recommend that Grant Recipients move the full dataset over to the most recent version, taking care to ensure that the data entries are correctly aligned with the columns. In these instances, providing any additional data retrospectively is recommended where possible. Alternatively, Grant Recipients may retain their original data monitoring template and start filling out the new template from the next claim onwards. However, since many data entries will need updating over time (see para D.6), this means the project will have to update and resubmit two concurrent data monitoring templates with each claim.
- D.9 Grant recipients must ensure that direct and indirect beneficiaries (such as small and medium-sized enterprises or individuals receiving business start-up support) are aware of the contractual obligations to share various types of information with the National Evaluators and MHCLG.

Privacy notice for the collection of personal data

- D.10 Where personal data is required, projects will need to provide a privacy notice to direct and indirect beneficiaries they engage with. The [European Regional Development Fund privacy notice](#) sets out how the new data protection legislation, which came into force in the UK on 25 May 2018, impacts on the the usage of personal data required to help deliver the ERDF programme. The provision of a privacy notice allows beneficiaries to understand how their personal data will be used and processed
- D.11 The Common Provisions Regulations (CPR)¹⁵ and ERDF regulations require the Ministry of Housing, Communities and Local Government (MHCLG), as the managing authority of the programme, to monitor and evaluate ERDF-funded activities.

The ERDF Operational Programme 2014-2020 states that robust governance and accountability require programme related analysis, monitoring and evaluation to form an integral part of programme delivery.

In order to conduct monitoring and evaluation, individual participant data is required. The legal basis for collecting and processing personal data and sharing it with the managing authority for the purposes of monitoring and evaluation is found in Article 6(1)(c) and 6(1)(e) of the EU GDPR Regulations. As such, participant data, including contact details, should be collected and stored for all participants in order to meet monitoring and evaluation requirements. This includes direct and indirect beneficiaries' data.

- D.12 For the purposes of the Data Protection Act 2018, MHCLG is the data controller in respect to information processed which relates to all participation in the project funded by the European Regional Development Fund. Grant recipients are data processors in respect to information processed which relates to participants in

¹⁵ <https://ec.europa.eu/digital-single-market/en/news/eu-regulation-common-provision-regulation-cpr>

the operations and projects funded by the ERDF (see 'Data protection' clause in grant funding agreement).

D.13 Grant recipients should ensure that for all ERDF projects, the privacy notice used by them and any delivery partners explains to direct and indirect beneficiaries the legal basis relied on to process their data and how their data will be used, including to contact individuals for monitoring and evaluation purposes and, in some cases, to re-contact them after the ERDF operation to invite them to take part in monitoring and evaluation activities. Depending on the nature of activities and the indicators listed under each activity (see tables below), grant recipients should supply the following information for each direct or indirect beneficiaries where these are individuals:

- Name of contact point within a business (in some cases property owner) engaged with or individual engaged with;
- Address
- Postcode
- Phone number
- Email address
- Labour market status prior to receiving support and 6 months after support;
- Duration of support
- Intensity of support

A full data monitoring form listing the variables (ref ESIF-Form-1-013) is to be submitted by the grant recipient on a quarterly basis.

D.14 It is expected that grant recipients will quality assure and validate all data prior to upload, taking care not to delete, hide or add columns or rows in the template, and ensuring that the template does not contain any accidental duplications of data entries. Grant Recipients are expected to supply all applicable datasets in the monitoring form. If data is not available or applicable for a particular field, then it should be denoted with 'N/K' or 'N/A'. Data quality is the responsibility of the Grant Recipient, and where issues in data quality are identified this will be followed up.

Table D.1 Linkage between Project Activity and Programme Investment Priorities

Priority Axis	Investment Priority	R&I infrastructure and support	Advice, Guidance and Finance for Start-ups	Business Advice, Guidance and Finance for Established SMEs	Business Related Infrastructure: Broadband	Business Infrastructure: Land and Property	Transport Infrastructure	Other Infrastructure	Low Carbon Generation	Resource and Energy Efficiency
1	1a	XX								
	1b	XX								
2	2a				XX					
	2b			XX						
3	3a		XX							
	3c			XX		XX				
	3d			XX						
4	4a								XX	
	4b									XX
	4c									XX
	4e									X
	4f	X								
5	5b							XX		

Priority Axis	Investment Priority	R&I infrastructure and support	Advice, Guidance and Finance for Start-ups	Business Advice, Guidance and Finance for Established SMEs	Business Related Infrastructure: Broadband	Business Infrastructure: Land and Property	Transport Infrastructure	Other Infrastructure	Low Carbon Generation	Resource and Energy Efficiency
6	6d					XX		XX		
	6f	X								X
7	7a						XX			
	7c						XX			
8	9d		X	X		X				

xx = Strong correlation

x = Potential correlation under certain projects.

D.15 This table is only a guide and if grant recipients conclude their project is supporting activities under an investment priority not identified here they should collect the required datasets and vice versa. Where either of these situations arise then this should be set out in the logic model and summative assessment plan and the contract manager informed when submitting the material.

Projects Undertaking Multiple Activities

D.16 Financial Instruments and Community Led Local Development (CLLD) projects may span multiple priority axes and/or types of project activity that cover multiple themes. Where this is the case, projects should fill in multiple worksheets (tabs) with beneficiaries or activities recorded on the worksheet (tab) most relevant to each beneficiary or activity.

Technical Assistance Projects

D.17 Technical Assistance projects are not expected to complete the data monitoring template.

Table D.2 R&I Infrastructure and Support

Additional Indicators	Unit
Investment Priority (IP) under which the funding has been provided	Drop down menu text
Information on Direct Beneficiaries - Businesses	
Company details: Company Reference Number (CRN) (Companies House), company name, address, and postcode	Number/Text
Contact details: name, telephone number, mobile number, and email address	Number/Text
Business sector	Drop down menu text
Business start-date	DD/MM/YYYY
Full time equivalent employment at start of support	Number
Financial turnover for the last complete financial year prior to receiving support	£
Annual R&D spend in last complete financial year prior to receiving support	£
Number of product and process innovations in last three financial years prior to receiving support	Number
Category of activity ¹⁶	Drop down menu text
Location of activity (if different to company location)	Postcode
Date when support first accessed and duration of the support from the ERDF project	DD/MM/YYYY
A measure of intensity of support, such as the value of the assistance (not relevant for property related provision) ¹⁷	£ and/ or hours
Beneficiary Outcome Indicators	
Adoption of new technologies	Number

¹⁶ See paragraph E.12

¹⁷ Intensity of support is not the same as contracted output. Projects should accurately report how much support was provided for each beneficiary, regardless of whether the support was above or below the contracted output. Where the support is not in the form of a grant, please provide the “gross grant equivalent” measure.

Table D.2 R&I Infrastructure and Support

Additional Indicators	Unit
New investment in capital equipment and facilities	£
COVID-19: Jobs safeguarded (full time equivalent) ¹⁸	Number
Information on Indirect Beneficiaries	
Same details as above for SMEs occupying incubation and managed workspace	As above
Address prior to occupying ERDF funded property (if relevant)	Text
Name and contact details for researchers	Text
Other Information	
Contact details and business characteristics of SMEs that apply unsuccessfully for support and/or premises	As above

¹⁸ For full definition, see paragraph E.22

Table D.3 Advice, Guidance and Finance for Start-ups

Additional Indicators	Unit
Investment Priority (IP) under which the funding has been provided	Drop down menu text
Information on Direct Beneficiaries – Start-ups and Existing Businesses	
Company details: Company Reference Number (CRN) (Companies House), company name, address, and postcode	Number/Text
Contact details: name, telephone number, mobile number, and email address	Number/Text
Business sector	Drop down menu text
Business start date	DD/MM/YYYY
Full time equivalent employment at the start of support	Number
Financial turnover for the last complete financial year prior to receiving support	£
Category of activity ¹⁹	Drop down menu text
Location of activity (if different to company location)	Postcode
Date when support first accessed and duration of the support from the ERDF project	DD/MM/YYYY
A measure of intensity of support, such as the value of the assistance ²⁰	£ and/ or hours
Information on Direct Beneficiaries – Individuals not yet starting a business	
Individual's details: name, date of birth, telephone number, mobile number, email address, postcode.	Text
Labour market status prior to receiving support	Drop down menu text
Labour market status 6 months after receiving support	Drop down menu text

¹⁹ See paragraph E.12

²⁰ Intensity of support is not the same as contracted output. Projects should accurately report how much support was provided for each beneficiary, regardless of whether the support was above or below the contracted output. Where the support is not in the form of a grant, please provide the “gross grant equivalent” measure.

Table D.3 Advice, Guidance and Finance for Start-ups

Additional Indicators	Unit
Category of activity ²¹	Drop down menu text
Date when support first accessed and duration of the support from the ERDF project	DD/MM/YYYY
A measure of intensity of support, such as the value of the assistance ²²	£ and/ or hours
Beneficiary Outcome Indicators	
New businesses set up following receipt of support	Number
Business survival (12 months after business start-up)	Y/N
Labour market status of individual receiving support 12 months post support	Drop down menu text
COVID-19: Jobs safeguarded (full time equivalent) ²³	Number
Other Information	
Contact details and business characteristics of small businesses and potential entrepreneurs that apply unsuccessfully for support and/or premises	As above

²¹ See paragraph E.12

²² Intensity of support is not the same as contracted output. Projects should accurately report how much support was provided for each beneficiary, regardless of whether the support was above or below the contracted output. Where the support is not in the form of a grant, please provide the “gross grant equivalent” measure.

²³ For full definition, see paragraph E.22

Table D.4 Business Advice, Guidance and Finance for Established SMEs

Additional Indicators	Unit
Investment Priority (IP) under which the funding has been provided	Drop down menu text
Information on Direct Beneficiaries - Businesses	
Company details: Company Reference Number (CRN) (Companies House), company name, address, and postcode	Number/Text
Contact details: name, telephone number, mobile number, and email address	Number/Text
Business sector	Drop down menu text
Business start-date	DD/MM/YYYY
Full time equivalent employment at the start of support	Number
Financial turnover for the last complete financial year prior to receiving support	£
Annual R&D spend in last complete financial year prior to receiving support	£
Number of product and process innovations in last three financial years	Number
Category of activity ²⁴	Drop down menu text
Location of activity (if different to company location)	Postcode
Date when support first accessed and duration of the support from the ERDF project	DD/MM/YYYY
A measure of intensity of support, such as the value of the assistance ²⁵	£ and/ or hours
Beneficiary Outcome Indicators	
Adoption of new technologies	Number

²⁴ See paragraph E.12

²⁵ Intensity of support is not the same as contracted output. Projects should accurately report how much support was provided for each beneficiary, regardless of whether the support was above or below the contracted output. Where the support is not in the form of a grant, please provide the “gross grant equivalent” measure.

Table D.4 Business Advice, Guidance and Finance for Established SMEs

Additional Indicators	Unit
New investment in capital equipment and facilities	£
COVID-19: Jobs safeguarded (full time equivalent) ²⁶	Number
Other Information	
Contact details and business characteristics of SMEs that apply unsuccessfully for support and/or premises	As above

²⁶ For full definition, see paragraph E.22

Table D.5 Business Related Infrastructure: Broadband

Additional Indicators	Unit
Investment Priority (IP) under which the funding has been provided	Drop down menu text
Information on Indirect Beneficiaries - Businesses	
Company details: Company Reference Number (CRN) (Companies House), company name, address and postcode	Number/Text
Contact details: name, telephone number, mobile number and email address	Number/Text
Business sector	Drop down menu text
Business start date	DD/MM/YYYY
Indicative internet speed prior to access to improved internet service	Mbps
Date access to improved internet speed started	DD/MM/YYYY
Businesses new to the area due to broadband (either recently established or moved into area)	Y/N
Postcode of previous business premises (if applicable)	Postcode
Category of activity ²⁷	Drop down menu text
Location of activity (if different to company location)	Postcode
Other Information	
Contact details and business characteristics of SMEs in local area unable to secure access to improved service	As above

²⁷ See paragraph E.12

Table D.6 Business Infrastructure: Land and Property

Additional Indicators	Unit
Investment Priority (IP) under which the funding has been provided	Drop down menu text
Project Output Indicators	
Proposed use of rehabilitated land	Drop down menu text
Postcode of the supported site or commercial property	Postcode
Additional net developable areas available: Number of plots available and total area	Number/ sq. metres
Proposed Employment Site Use	Drop down menu text
Type of commercial floor space (new, refurbished; office, industrial; incubation, managed workspace, grow-on, other)	Drop down menu text
12 months following development: Development rate for employment sites or occupancy rates for commercial property ²⁸	%
Category of activity ²⁹	Drop down menu text
Information on Indirect Beneficiaries - Businesses	
Company details: Company Reference Number (CRN) (Companies House), company name, address, and postcode	Number/Text
Contact details: name, telephone number, mobile number, and email address	Number/Text
Business sector	Drop down menu text
Business start date	DD/MM/YYYY
Date when accessed site or occupied property	DD/MM/YYYY

²⁸ The development rate is defined as the employment land that has been developed as a proportion of the total land that the project was intended to help be developed. The occupancy rate is defined as the floorspace that is occupied by tenants as a proportion of the total floorspace that the project intends to make available for occupiers.

²⁹ See paragraph E.12

Table D.6 Business Infrastructure: Land and Property

Additional Indicators	Unit
Location prior to accessing site or occupied property	Postcode

Table D.7. Transport Infrastructure

Additional Indicators	Unit
Investment Priority (IP) under which the funding has been provided	Drop down menu text
Output Indicators	
Total length of additional lane capacity	Km
New road junctions/junction improvements	Number
New/refurbished stations	Number
Category of activity ³⁰	Drop down menu text
Location of activity	Postcode
Outcome Indicators	
Reduction in all year average vehicle journey time	Hours
Reduction in all year average road traffic accident rates	Number
Number of additional rail services (per year)	Number
Reduction in all year average rail journey times	Hours
Increase in number of users of multi-model points	Number
Increase in number of users of multi-model transport hubs	Number

³⁰ See paragraph E.12

Table D.8 Other Infrastructure

Additional Indicators	Unit
Investment Priority (IP) under which the funding has been provided	Drop down menu text
Project Output Indicators	
Type of use of the rehabilitated land post treatment	Drop down menu text
Project Outcome Indicators	
Change in commercial property prices in impact areas following investment	%
Following investment annual value of business savings through avoided costs	£
Value of other infrastructure cost savings through avoided costs	£
Number users of areas with improved habitats	Number
Category of activity ³¹	Drop down menu text
Information on Indirect Beneficiaries	
Geospatial data for treatment sites showing location	Text
Number and type of properties in the impact area	Drop down menu text/ Number
Company Reference Number (CRN) (Companies House) for businesses in 'at risk' flood area	Text

³¹ See paragraph E.12

Table D.9 Low Carbon Generation

Additional Indicators	Unit
Investment Priority (IP) under which the funding has been provided	Drop down menu text
Project Outcome Indicators	
Type of renewable energy production	Drop down menu text
Typical load factors for the specific installed generating technology	%
Reduction in overall net energy use and costs amongst businesses	%
Information on Direct Beneficiaries - Businesses	
Company details: Company Reference Number (CRN) (Companies House), company name, address, and postcode	Number
Contact details: name, telephone number, mobile number, and email address	Text
Business sector	Drop down menu text
Business start date	DD/MM/YY
Category of activity ³²	Drop down menu text
Date when support first accessed and duration of the support from the ERDF project	DD/MM/YYYY
Location of activity (if different to company location)	Postcode
A measure of intensity of support, such as the value of the assistance ³³	£ and/or hours
Capacity of the installed generating technology	KW

³² See paragraph E.12

³³ Intensity of support is not the same as contracted output. Projects should accurately report how much support was provided for each beneficiary, regardless of whether the support was above or below the contracted output. Where the support is not in the form of a grant, please provide the “gross grant equivalent” measure.

Table D.10 Resource and Energy Efficiency

Additional Indicators	Unit
Investment Priority (IP) under which the funding has been provided	Drop down menu text
Project Outcome Indicators	
Total number of businesses with reduced energy consumption	Number
Overall reduction in businesses costs following investment	%
Total number of social housing properties with reduced energy consumption	Number
Total number of social housing tenants with improved energy comfort	Number
Overall reduction in social housing tenants' energy costs following investment	%
Total number of public sector buildings with reduced energy consumption	Number
Overall reduction in public sector landlords or tenants' energy costs following investment	%
Information on Direct Beneficiaries: Businesses	
Company details: Company Reference Number (CRN) (Companies House), company name, address, and postcode	Number/Text
Contact details: name, telephone number, mobile number and email address	Text
Business sector	Drop down menu text
Business start date	DD/MM/YY
Category of activity ³⁴	Drop down menu text
Date when support first accessed and duration of the support from the ERDF project	DD/MM/YY

³⁴ See paragraph E.12

Table D.10 Resource and Energy Efficiency

Additional Indicators	Unit
A measure of intensity of support, such as the value of the assistance ³⁵	£ and/or hours
Description of property	Drop down menu text / sq. metres
Change in energy costs following investment	%
Information on Direct Beneficiaries: Social Housing	
Supported property details: address and postcode	Text
Contact details: name, telephone number, mobile number, and email address	Text
Category of activity ³⁶	Drop down menu text
Date when support first accessed and duration of the support from the ERDF project	DD/MM/YY
Number of bedrooms of supported property	Number
Details of property treatments	Text
Change in energy costs following investment	%
Information on Direct Beneficiaries: Public Buildings	
Supported property details: address and postcode	Text
Contact details: name, telephone number, mobile number, and email address	Text
Description of property: property use, number of occupiers (incl. tenants if relevant), and size	Text/ Number/ sq. metres

³⁵ Intensity of support is not the same as contracted output. Projects should accurately report how much support was provided for each beneficiary, regardless of whether the support was above or below the contracted output. Where the support is not in the form of a grant, please provide the “gross grant equivalent” measure.

³⁶ See paragraph E.12

Table D.10 Resource and Energy Efficiency

Additional Indicators	Unit
Category of activity ³⁷	Drop down menu text
Date when support first accessed and duration of the support from the ERDF project	DD/MM/YY
Details of property treatments	Text
Change in energy costs following investment	%
Other Information	
Details of SMEs, social landlords or public sector organisations which applied for, but did not receive, support.	Text

³⁷ See paragraph E.12

Appendix E - Data Monitoring Template Guidance

Introduction

- E.1 This appendix to the Summative Assessment Guidance provides additional advice and support for filling in the Summative Assessment Data Monitoring Template (ref ESIF-Form-1-013). For more detailed information on Programme specifics, please see the Programme Guidance Documents (<https://www.gov.uk/government/european-funds>).
- E.2 The Summative Assessment Data Monitoring Template (ref ESIF-Form-1-013) forms part of your contractual obligation and is important in helping to ensure the impacts of your project are captured in your summative assessment and the national evaluation.
- E.3 Grant recipients should complete, update, and return the form each quarter alongside claims. This will allow national evaluators to build up the full range of beneficiary evidence on a quarterly basis and to identify any potential reporting issues with the data so that additional guidance can be provided if necessary. This is also helpful to grant recipients to support their regular monitor of progress, as well as for the project summative assessments.

General Guidance

- E.4 Grant Recipients should only fill out one summative assessment data monitoring template spreadsheet for their project. Most projects will only need to fill out one of the data monitoring worksheets (these are the tabs within the template spreadsheet). Your 'project reference' and 'project name' should be entered into the appropriate cell on the data monitoring worksheet that best fits your project. Where more than one data monitoring worksheet (tab) is required (e.g. where a project provides support to both established SMEs and entrepreneurs), please ensure the project reference and project name is entered for all worksheets used.
- E.5 Some datasets / headings may not be applicable to some types of project. However, if applicable, grant recipients are expected to provide this information.

Completing and Updating Returns

- E.6 The summative assessment data monitoring template spreadsheet (spreadsheet) containing the data monitoring worksheets (tabs) should be returned on a quarterly basis ideally alongside claims. For Grant Recipients, there will be one template that is added to or updated periodically as follows:
- New beneficiaries or outcomes should be added to the sheets on a regular basis so that each Grant Project has just one Summative Assessment Data Monitoring Template that is kept up to date and contains all beneficiaries, activities and outcomes delivered by the Project.

- Where the position of a beneficiary that has already been entered into the sheet changes (e.g. an increase in the number of hours of assistance or a change to contact details), Grant Recipients should update and overwrite the information for that beneficiary so that it reflects the position for that quarter.

Beneficiary Indicators

- E.7 Where the Data Monitoring Sheet asks for direct, indirect beneficiary or non-beneficiary information, there should be one row for each beneficiary. These beneficiary types are defined below:
- **Direct Beneficiary:** primarily relates to beneficiaries of projects which delivered direct advice, guidance and/or finance.
 - **Indirect Beneficiary:** entrepreneurs/businesses that benefit from ERDF support without being direct recipients of the support. Primarily relates to entrepreneurs/business occupiers of sites & premises which are developed through ERDF support including incubators but is also relevant to other support such as flood defences.
 - **Non-Beneficiary:** unsuccessful businesses/individuals which have applied for support as part of a formal application procedure but were unsuccessful. It does not include businesses which made initial enquiries but didn't go on to formally apply for assistance and doesn't apply to projects which did not have a formal application procedure.
 - **Beneficiary Outcome Indicators** are the outcomes amongst the beneficiaries that are a consequence of the project, rather than those that could have happened anyway.

Business Information

- E.8 Where the sheet requests business information, if the grant recipient is able to provide the Company Reference Number (CRN), there is no requirement to report the Business Start Date or Business Sector.
- E.9 Company Reference Numbers (CRNs) can be found on the Companies House website: <https://beta.companieshouse.gov.uk/>
- E.10 Where the Company Reference Number is not available, grant recipients should attempt to ascertain the incorporation date of the business (Business Start Date). If it is not possible to ascertain the precise date, an estimate is fine (eg: 01/01/2017 – if the year is known but not the precise date).
- E.11 Again, for the Business Sector, please choose the sector that is most appropriate to the business. A description of the types of activities covered under each Sector can be found on the ONS Website: https://onsdigital.github.io/dp-classification-tools/standard-industrial-classification/ONS_SIC_hierarchy_view.html

Category of Activity

E.12 The category of activity is the type of support or activity delivered by the project. If this is the same for all the beneficiaries or activities listed in the Data Monitoring Sheet, the activity can be copied into all rows. The activities listed in each Data Monitoring Sheet can be seen in Table E.1 below. Please use the category which best fits the activities or support delivered by your project to each beneficiary. If your project has delivered more than one activity or type of support to a beneficiary or beneficiaries, this can be recorded under the Additional Activity headers. See below for an illustrative example:

Information for Direct Beneficiaries: Businesses		
Category of Activity		
Main Project Activity	Additional Activity 1 (optional)	Additional Activity 2 (optional)
Incubation centres, facilities and hubs	Collaborative research and development programmes	Support for commercialisation of new products and business processes

Using the Appropriate Sheet

E.13 There is one Data Monitoring worksheet (tab) for each intervention theme. For certain types of projects there may be a need to use multiple worksheets (tabs), however, this should be an exception and generally projects should use one worksheet. The following table shows which investment priorities should be covered in each Data Monitoring Sheet. Note that some investment priorities fit under multiple themes so refer to the category of activity (in Table 2.1) to confirm which is the most appropriate theme for your project. For more information on correlation between Investment Priorities and intervention types, see Table D.1 of the Summative Assessment Guidance Appendix D.

Table E.1 Intervention Theme Map

Intervention Theme/ Data Monitoring Sheet	Investment Priority	Category of Activity
Research and Innovation Infrastructure & Support	R&I infrastructure & facilities (IP1a)	<ul style="list-style-type: none"> • Specialist research infrastructure, facilities and centres • Test and demonstrator facilities • Incubation centres, facilities and hubs
	Promoting Business Investment in R&I (IP1b) Business advice and finance to encourage low carbon innovation (IP4f) Business advice and finance to encourage innovation in resource efficiency, resilience, and environmental performance (IP6f)	<ul style="list-style-type: none"> • Applied research programmes, particularly targeted at sectors and emerging technologies • Collaborative research and development programmes • Knowledge transfer programmes • Innovation support programmes including innovation vouchers • Support for commercialisation of new products and business processes • Graduate start-up and spin out support • Pre-start-up and early stage grants • Repayable finance for technology related start-ups and early stage development work • Repayable finance to bring new products and processes to the market • Support and advice for businesses in the adoption of low carbon innovative technologies
Business Advice/Guidance/Finance for Start-ups	Promoting entrepreneurship (IP3a)	<ul style="list-style-type: none"> • Provision of business advice, guidance and mentoring support for entrepreneurship and self-employment • Graduate enterprise support • Start-up grants • Repayable finance for early stage businesses
	Investment in community led local development (IP9d)	<ul style="list-style-type: none"> • Implementation of CLLD strategies and action plans

Intervention Theme/ Data Monitoring Sheet	Investment Priority	Category of Activity
Business Advice, Guidance and Finance for Established SMEs	Supporting the creation and the extension of advanced capacities for products, services and development (IP3c)	<ul style="list-style-type: none"> • General business advice, consultancy support and mentoring for established businesses • Grant finance for business to invest for product, process and service improvements • Sector, cluster and supply chain focused business support • Support and advice to access new international markets • Support to attract foreign direct investment • Leadership and management coaching • Business support to improve resource or energy efficiency • Targeted grant schemes to support productive investment • Repayable finance for established SMEs
	Supporting the capacity of SMEs to grow in regional, national and international markets, and to engage in innovation processes (IP3d)	
	Developing and enhancing demand for ICT products and services (IP2b)	<ul style="list-style-type: none"> • ICT voucher schemes • ICT related business advice, guidance and consultancy support
	Investment in community led local development (IP9d)	<ul style="list-style-type: none"> • Implementation of CLLD strategies and action plans
Business Related Infrastructure: Broadband	Deployment, roll-out, improvement and adoption of broadband infrastructure (IP2a)	<ul style="list-style-type: none"> • Financial support to extend availability of broadband networks
	Supporting the creation and the extension of advanced capacities for products, services and development (IP3c)	<ul style="list-style-type: none"> • Provision of employment sites for development • Provision of business premises including incubator space, managed workspace and grow-on space
	Promoting and restoring biodiversity and ecosystems (IP6d)	<ul style="list-style-type: none"> • Employment site remediation • Employment site infrastructure (non-ICT) • Other green infrastructure for employment sites
Business Related Infrastructure: Land and Property	Deployment, roll-out, improvement and adoption of broadband infrastructure (IP2a)	<ul style="list-style-type: none"> • Financial support to extend availability of broadband networks
	Supporting the creation and the extension of advanced capacities for products, services and development (IP3c)	<ul style="list-style-type: none"> • Provision of employment sites for development • Provision of business premises including incubator space, managed workspace and grow-on space
	Promoting and restoring biodiversity and ecosystems (IP6d)	<ul style="list-style-type: none"> • Employment site remediation • Employment site infrastructure (non-ICT) • Other green infrastructure for employment sites

Intervention Theme/ Data Monitoring Sheet	Investment Priority	Category of Activity
	Investment in community led local development (IP9d)	<ul style="list-style-type: none"> • Implementation of CLLD strategies and action plans
Transport Infrastructure	<p>Supporting a multimodal single European Transport Area (IP7a)</p> <p>Developing and improving low carbon transport systems (IP7c)</p>	<ul style="list-style-type: none"> • Improvements in the Ten-T highways network • Improvements to rail infrastructure and services • Multi-modal transport hubs • Other improvements in multi-modal travel • Low emissions vehicle infrastructure • Other transport related investment
Other Infrastructure	Promoting investment in climate change and disaster management resilience (IP5b)	<ul style="list-style-type: none"> • Coastal resilience measures • Inland flood management measures • Surface run-off and drainage measures
	Promoting and restoring biodiversity and ecosystems (IP6d))	<ul style="list-style-type: none"> • Non-employment site related investment in green and blue infrastructure including sustainable drainage
Low Carbon Generation	Promoting the production and distribution of renewable energy (IP4a)	<ul style="list-style-type: none"> • Advice or other support for micro-installation of renewable energy technologies
Resource/ Energy Efficiency	Promoting energy efficiency and renewable energy use in enterprises (IP4b)	<ul style="list-style-type: none"> • Energy and resource efficiency advice and guidance • SME resource efficiency grants and loans • Housing retrofit and related energy efficiency measures
	Promoting energy efficiency and renewable energy use in public infrastructure (IP4c)	<ul style="list-style-type: none"> • Business and public building retrofit and related energy efficiency measures • Investment in other energy infrastructure such as smart grids
	Business advice and finance to encourage resource efficiency, resilience, and environmental performance (IP6f)	<ul style="list-style-type: none"> • Energy demonstrator projects • Whole place and sustainable energy action plans
	Promoting low carbon strategies (IP4e)	

Data Monitoring Sheet Specific Guidance

E.14 This section provides specific advice and guidance that is relevant to each of the Data Monitoring Sheets. The note does not cover all of the indicators, just those that there could be particular difficulty with.

Research & Innovation Infrastructure and Support

Categories of Activity

E.15 The activities typically delivered under this theme, by investment priority, are as follows:

Investment Priority	Category of Activity
R&I infrastructure & facilities (IP1a)	<ul style="list-style-type: none"> • Specialist research infrastructure, facilities and centres • Test and demonstrator facilities • Incubation centres, facilities and hubs
Promoting Business Investment in R&I (IP1b)	<ul style="list-style-type: none"> • Applied research programmes, particularly targeted at sectors and emerging technologies • Collaborative research and development programmes • Knowledge transfer programmes
Business advice and finance to encourage low carbon innovation (IP4f)	<ul style="list-style-type: none"> • Innovation support programmes including innovation vouchers • Support for commercialisation of new products and business processes
Business advice and finance to encourage innovation in resource efficiency, resilience, and environmental performance (IP6f)	<ul style="list-style-type: none"> • Graduate start-up and spin out support • Pre-start-up and early stage grants • Repayable finance for technology related start-ups and early stage businesses • Repayable finance to bring new products and processes to the market • Support and advice for businesses in the adoption of low carbon innovative technologies

Project Types

E.16 As demonstrated by the range of activities listed under Category of Activity for this Data Monitoring Sheet, this intervention theme covers a range of project types.

E.17 If this is a premises or facilities-based project, then please fill in business data under “Information for Indirect Beneficiaries” for those that are occupiers of the premises or facilities delivered by the project. If this is a project delivering business support or other activities directly to businesses, please fill in the beneficiary data under “Information for Direct Beneficiaries”, as well as the “Information for unsuccessful applicants” if this is appropriate.

Beneficiary Types

E.18 The beneficiary types are defined below:

- **Direct Beneficiary:** primarily relates to beneficiaries of projects which delivered direct advice, guidance and/or finance.

- **Indirect Beneficiary:** primarily relates to entrepreneurs/business occupiers of sites & premises which are developed through ERDF support including incubators.
- **Non-Beneficiary:** unsuccessful businesses/individuals which have applied for support as part of a formal application procedure but were unsuccessful. It does not include businesses which made initial enquiries but didn't go on to formally apply for assistance and doesn't apply to projects which did not have a formal application procedure.

E.19 There should be one row for each beneficiary or non-beneficiary.

Business Information

- Where the sheet requests business information, if the grant recipient is able to provide the Company Reference Number (CRN), there is no requirement to report the Business Start Date or Business Sector.
- Company Reference Numbers (CRNs) can be found on the Companies House website: <https://beta.companieshouse.gov.uk/>
- Where the Company Reference Number is not available, grant recipients should attempt to ascertain the incorporation date of the business (Business Start Date). If it is not possible to ascertain the precise date, an estimate is fine (eg: 01/01/2017 – if the year is known but not the precise date).
- Again, for the Business Sector, please choose the sector that is most appropriate to the business. A description of the types of activities covered under each Sector can be found on the ONS Website: https://onsdigital.github.io/dp-classification-tools/standard-industrial-classification/ONS_SIC_hierarchy_view.html

General Indicators

E.20 The following indicators describe the beneficiary **before** receiving support from the project:

- **Annual R&D expenditure in last complete financial year:** this is expenditure on research and development activity focused on scientific or technological challenges in order to create or significantly modify new products, processes or services. This could include the businesses own estimates of expenditure on staff, external contractors, specialist equipment, and materials and consumables.
- **Number of product and process innovations in last three complete financial years:** This refers to the introduction of a good or service that is new or has significantly improved characteristics or intended uses; or the implementation of a new or significantly improved production or delivery method. These can be new to the firm and/or new to the market.

Intensity of Support

- **Value of Equity Investment:** this excludes co-investment of other investors

Beneficiary Outcome Indicators

E.21 Beneficiary Outcome Indicators are the outcomes that are a consequence of the project, rather than those that could have happened anyway.

- **Adoption of new technologies:** this is for technologies adopted by the SME for use within their business and it can cover general business or infrastructure technologies but it must be related to, and be as a consequence of, the intervention.
- **New investment in capital equipment and facilities:** this can include building purchase, extension, refurbishment, new machinery, and IT equipment but again it must be related to, and as a consequence of, the intervention. This should include any ERDF contribution, if applicable.
- **Jobs safeguarded:** this indicator is structured in two parts. First, a baseline on jobs at risk, to be recorded prior to when support is provided (for example, at diagnostic stage). Second, jobs at risk still in existence at least 6 months post support (for example, impact assessment stage). The difference between the two provides the number of jobs safeguarded.

E.22 The definition of jobs safeguarded is as follows:

	Jobs forecast at risk prior to ERDF support (No.) (Baseline)	At-risk jobs still in existence 6 months post ERDF support (No.)
Unit of Measurement	Number of Jobs, Full Time Equivalent (FTE)	Number of Jobs, Full Time Equivalent (FTE)
Definition	<p>To qualify there must be a permanent and paid job at risk prior to when support was provided, and which the support will help the business to retain. This includes sole traders and business owners.</p> <p>This includes both part-time and full-time jobs, which should be recorded relative to full-time equivalent (FTE). FTE should be based on the standard full-time hours of the employer.</p> <p>At risk is defined as being forecast to be lost within 6 months.</p>	<p>The number of at-risk jobs which remain in existence 6 months after receiving support.</p> <p>As with the previous measure, this includes both part-time and full-time jobs, which should be recorded relative to full-time equivalent (FTE). FTE should be based on the standard full-time hours of the employer.</p>
When to count?	<p>The business supported should forecast the number of at-risk jobs immediately prior to receiving support. For example, at the diagnostic stage.</p> <p>If the business supported forecasts no jobs at risk, please denote this by '0'. In these cases, there is no need to follow up again in six months' time.</p>	<p>The number at-risk jobs still in existence to be determined minimum six months after the initial support was provided. For example, at the impact assessment stage.</p>
Verification evidence	As with other outcome indicators, no verification evidence is required.	As with other outcome indicators, no verification evidence is required.

Advice, Guidance & Finance for Start-ups

Categories of Activity

E.23 The activities typically delivered under this theme, by investment priority, are as follows:

Investment Priority	Category of Activity
Promoting entrepreneurship (IP3a)	<ul style="list-style-type: none">• Provision of business advice, guidance and mentoring support for entrepreneurship and self-employment• Graduate enterprise support• Start-up grants• Repayable finance for early stage businesses
Investment in community led local development (IP9d)	<ul style="list-style-type: none">• Implementation of CLLD strategies and action plans

Beneficiary Types

E.24 The relevant beneficiary types are defined below:

- **Direct Beneficiary:** primarily relates to beneficiaries of projects which delivered direct advice, guidance and/or finance.
- **Non-Beneficiary:** unsuccessful businesses/individuals which have applied for support as part of a formal application procedure but were unsuccessful (eg applying for a loan, with the application then being scored against a range of criteria). It does not include businesses which made initial enquiries but didn't go on to formally apply for assistance and doesn't apply to projects which did not have a formal application procedure.

E.25 The support or activities delivered under this theme can be for existing businesses, start-ups and/or entrepreneurs.

E.26 There should be one row for each beneficiary or non-beneficiary.

Business Information

E.27 Where the sheet requests business information, if the grant recipient is able to provide the Company Reference Number (CRN), there is no requirement to report the Business Start Date or Business Sector.

E.28 Company Reference Numbers (CRNs) can be found on the Companies House website: <https://beta.companieshouse.gov.uk/>

E.29 Where the Company Reference Number is not available, grant recipients should attempt to ascertain the incorporation date of the business (Business Start Date). If it is not possible to ascertain the precise date, an estimate is fine (eg: 01/01/2017 – if the year is known but not the precise date).

E.30 Again, for the Business Sector, please choose the sector that is most appropriate to the business. A description of the types of activities covered under each Sector can be found on the ONS Website.³⁸

Intensity of Support

- **Value of Equity Investment:** this excludes co-investment of other investors

Beneficiary Outcome Indicators

E.31 Beneficiary Outcome Indicators are the outcomes for the individual, entrepreneur or business that are a consequence of the project, rather than those that could have happened anyway.

- **New businesses set up following receipt of support:** this is for entrepreneurs or organisations that were directly supported by the project to set up or spin out a new business.
- **Business survival 12 months after support:** this only refers to businesses that were set up following receipt of support.
- **Labour market status of individual receiving support 12 months post support:** this only refers to individuals that were directly supported by the project as potential entrepreneurs, but may not yet have set up a business.
- **Jobs safeguarded (FTE):** this indicator is structured in two parts. First, a baseline on jobs at risk, to be recorded prior to when support is provided (for example, at diagnostic stage). Second, jobs at risk still in existence at least 6 months post support (for example, impact assessment stage). The difference between the two provides the number of jobs safeguarded. Please see the full definition in paragraph E.22.

Business Advice, Guidance & Finance for Established SMEs

Categories of Activity

E.32 The activities typically delivered under this theme, by investment priority, are as follows:

Investment Priority	Category of Activity
Supporting the creation and the extension of advanced capacities for products, services and development (IP3c)	<ul style="list-style-type: none"> • General business advice, consultancy support and mentoring for established businesses • Grant finance for business to invest for product, process and service improvements • Sector, cluster and supply chain focused business support • Support and advice to access new international markets • Support to attract foreign direct investment

³⁸ https://onsdigital.github.io/dp-classification-tools/standard-industrial-classification/ONS_SIC_hierarchy_view.html

Supporting the capacity of SMEs to grow in regional, national and international markets, and to engage in innovation processes (IP3d)	<ul style="list-style-type: none"> • Leadership and management coaching • Business support to improve resource or energy efficiency • Targeted grant schemes to support productive investment • Repayable finance for established SMEs
Developing and enhancing demand for ICT products and services (IP2b)	<ul style="list-style-type: none"> • ICT voucher schemes • ICT related business advice, guidance and consultancy support
Investment in community led local development (IP9d)	<ul style="list-style-type: none"> • Implementation of CLLD strategies and action plans

Beneficiary Types

E.33 The relevant beneficiary types are defined below:

- **Direct Beneficiary:** primarily relates to beneficiaries of projects which delivered direct advice, guidance and/or finance.
- **Non-Beneficiary:** unsuccessful businesses/individuals which have applied for support as part of a formal application procedure but were unsuccessful. It does not include businesses which made initial enquiries but didn't go on to formally apply for assistance and doesn't apply to projects which did not have a formal application procedure.

E.34 The support or activities delivered under this theme is for existing businesses only.

E.35 There should be one row for each beneficiary or non-beneficiary.

Business Information

E.36 Where the sheet requests business information, if the grant recipient is able to provide the Company Reference Number (CRN), there is no requirement to report the Business Start Date or Business Sector.

E.37 Company Reference Numbers (CRNs) can be found on the Companies House website: <https://beta.companieshouse.gov.uk/>

E.38 Where the Company Reference Number is not available, grant recipients should attempt to ascertain the incorporation date of the business (Business Start Date). If it is not possible to ascertain the precise date, an estimate is fine (eg: 01/01/2017 – if the year is known but not the precise date).

E.39 Again, for the Business Sector, please choose the sector that is most appropriate to the business. A description of the types of activities covered under each Sector can be found on the ONS Website: https://onsdigital.github.io/dp-classification-tools/standard-industrial-classification/ONS_SIC_hierarchy_view.html

General Indicators

E.40 The following indicators describe the beneficiary **before** receiving support from the project:

- **Annual R&D expenditure in last complete financial year:** this is expenditure on research and development activity focused on scientific or technological challenges in order to create or significantly modify new products, processes or services. This could include the businesses own estimates of expenditure on staff, external contractors, specialist equipment, and materials and consumables.
- **Number of product and process innovations in last three complete financial years:** This refers to the introduction of a good or service that is new or has significantly improved characteristics or intended uses; or the implementation of a new or significantly improved production or delivery method. These can be new to the firm and/or new to the market.

Intensity of Support

- **Value of Equity Investment:** this excludes co-investment of other investors

Beneficiary Outcome Indicators

E.41 Beneficiary Outcome Indicators are the outcomes that are a consequence of the project, rather than those that could have happened anyway.

- **Adoption of new technologies:** this is for technologies adopted by the SME for use within their business and it can cover general business or infrastructure technologies but it must be related to, and as a consequence of, the intervention.
- **New investment in capital equipment and facilities:** this can include building purchase, extension, refurb, new machinery, and IT equipment but again it must be related to, and as a consequence of, the intervention. This should include any ERDF contribution, if applicable.
- **Jobs safeguarded (FTE):** this indicator is structured in two parts. First, a baseline on jobs at risk, to be recorded prior to when support is provided (for example, at diagnostic stage). Second, jobs at risk still in existence at least 6 months post support (for example, impact assessment stage). The difference between the two provides the number of jobs safeguarded. Please see the full definition in paragraph E.22.

Business Related Infrastructure: Broadband

Categories of Activity

E.42 The activities typically delivered under this theme, by investment priority, are as follows:

Investment Priority	Category of Activity
Deployment, roll-out, improvement and adoption of broadband infrastructure (IP2a)	<ul style="list-style-type: none"> Financial support to extend availability of broadband networks

Support Types

E.43 Broadband related infrastructure can benefit both business and non-business premises. The sheet relates only to business premises.

Beneficiary Types

E.44 The relevant beneficiary types are defined below:

- **Indirect Beneficiary:** businesses that are in the area covered by the investment and able to secure access to the improved broadband speeds, whether they want to or not.
- **Non-Beneficiary:** businesses that are in the area covered by the investment but are unable to secure access to the improved broadband speeds, whether they want to or not.

E.45 Where the support impacts enterprises, this relates to all types of businesses.

E.46 There should be one row for each beneficiary or non-beneficiary.

Business Information

E.47 Where the sheet requests business information, if the grant recipient is able to provide the Company Reference Number (CRN), there is no requirement to report the Business Start Date or Business Sector.

E.48 Company Reference Numbers (CRNs) can be found on the Companies House website: <https://beta.companieshouse.gov.uk/>

E.49 Where the Company Reference Number is not available, grant recipients should attempt to ascertain the incorporation date of the business (Business Start Date). If it is not possible to ascertain the precise date, an estimate is fine (eg: 01/01/2017 – if the year is known but not the precise date).

E.50 Again, for the Business Sector, please choose the sector that is most appropriate to the business. A description of the types of activities covered under each Sector can be found on the ONS Website: https://onsdigital.github.io/dp-classification-tools/standard-industrial-classification/ONS_SIC_hierarchy_view.html

Business Infrastructure: Land & Property

Categories of Activity

E.51 The activities typically delivered under this theme, by investment priority, are as follows:

Investment Priority	Category of Activity
Supporting the creation and the extension of advanced capacities for products, services and development (IP3c)	<ul style="list-style-type: none"> • Provision of employment sites for development • Provision of business premises including incubator space, managed workspace and grow-on space
Investment in community led local development (IP9d)	<ul style="list-style-type: none"> • Implementation of CLLD strategies and action plans

Support Types

E.52 Where the project delivers only non-employment uses, there is no requirement to fill out the Information for Indirect Beneficiaries section of the sheet or the columns relating to employment uses or commercial floorspace. However, in this case, it may be worth revisiting whether this is the most appropriate theme for your project.

Beneficiary Types

E.53 The beneficiary type is defined below:

- **Indirect Beneficiary:** primarily relates to entrepreneurs/business occupiers of sites & premises which are developed through ERDF support.

E.54 Where the support impacts on enterprises, this relates to all types of businesses.

E.55 There should be one row for each beneficiary or non-beneficiary.

Business Information

E.56 Where the sheet requests business information, if the grant recipient is able to provide the Company Reference Number (CRN), there is no requirement to report the Business Start Date or Business Sector.

E.57 Company Reference Numbers (CRNs) can be found on the Companies House website: <https://beta.companieshouse.gov.uk/>

E.58 Where the Company Reference Number is not available, grant recipients should attempt to ascertain the incorporation date of the business (Business Start Date). If it is not possible to ascertain the precise date, an estimate is fine (eg: 01/01/2017 – if the year is known but not the precise date).

E.59 Again, for the Business Sector, please choose the sector that is most appropriate to the business. A description of the types of activities covered under each Sector can be found on the ONS Website: https://onsdigital.github.io/dp-classification-tools/standard-industrial-classification/ONS_SIC_hierarchy_view.html

Transport Infrastructure

Categories of Activity

E.60 The activities typically delivered under this theme, by investment priority, are as follows:

Investment Priority	Category of Activity
Supporting a multimodal single European Transport Area (IP7a)	<ul style="list-style-type: none">• Improvements in the Ten-T highways network• Improvements to rail infrastructure and services• Multi-modal transport hubs• Other improvements in multi-modal travel
Developing and improving low carbon transport systems (IP7c)	<ul style="list-style-type: none">• Low emissions vehicle infrastructure• Other transport related investment

Support Types

E.61 This sheet is designed for a number of transport infrastructure types so choose the columns most appropriate to your project.

Outcome Indicators

E.62 Outcome Indicators are the outcomes that are a consequence of the project, rather than those that could have happened anyway.

Other Infrastructure

Categories of Activity

E.63 The activities typically delivered under this theme, by investment priority, are as follows:

Investment Priority	Category of Activity
Promoting investment in climate change and disaster management resilience (IP5b)	<ul style="list-style-type: none">• Coastal resilience measures• Inland flood management measures• Surface run-off and drainage measures
Promoting and restoring biodiversity and ecosystems (IP6d)	<ul style="list-style-type: none">• Non-employment site related investment in green and blue infrastructure including sustainable drainage

Support Types

E.64 It is understood that it will be difficult to report on a number of these measures for some projects and some columns may not be appropriate so please make a best estimate where possible.

Beneficiary Types

E.65 The beneficiary type is defined below:

- **Indirect Beneficiary:** primarily relates to properties in treatment areas and business occupiers of the sites & premises.

E.66 Where the support impacts on enterprises, this relates to all types of businesses.

E.67 There should be one row for each beneficiary or non-beneficiary.

Outcome Indicators

E.68 Outcome Indicators are the outcomes that are a consequence of the project, rather than those that could have happened anyway.

Low Carbon Generation

Categories of Activity

E.69 The activities typically delivered under this theme, by investment priority, are as follows:

Investment Priority	Category of Activity
Promoting the production and distribution of renewable energy (IP4a)	<ul style="list-style-type: none"> • Advice or other support for micro-installation of renewable energy technologies

Beneficiary Types

E.70 The beneficiary type is defined below:

- **Direct Beneficiary:** primarily relates to beneficiaries of projects which delivered direct advice, guidance and/or finance.

E.71 Where the support targets enterprises, this relates to all types of businesses.

E.72 There should be one row for each beneficiary or non-beneficiary.

Outcome Indicators

E.73 Outcome Indicators are the outcomes that are a consequence of the project, rather than those that could have happened anyway.

Resource and Energy Efficiency

Categories of Activity

E.74 The activities typically delivered under this theme, by investment priority, are as follows:

Investment Priority	Category of Activity
Promoting energy efficiency and renewable energy use in enterprises (IP4b)	<ul style="list-style-type: none"> • Energy and resource efficiency advice and guidance • SME resource efficiency grants and loans • Housing retrofit and related energy efficiency measures

Promoting energy efficiency and renewable energy use in public infrastructure (IP4c)	<ul style="list-style-type: none"> • Business and public building retrofit and related energy efficiency measures • Investment in other energy infrastructure such as smart grids • Energy demonstrator projects • Whole place and sustainable energy action plans
Business advice and finance to encourage resource efficiency, resilience, and environmental performance (IP6f)	
Promoting low carbon strategies (IP4e)	

Beneficiary Types

E.75 The relevant beneficiary types are defined below:

- **Direct Beneficiary:** primarily relates to beneficiaries of projects which delivered direct advice, guidance and/or finance.
- **Non-Beneficiary:** unsuccessful businesses/organisations which have applied for support as part of a formal application procedure but were unsuccessful. It does not include businesses or organisations which made initial enquiries but didn't go on to formally apply for assistance and doesn't apply to projects which did not have a formal application procedure.

E.76 Where the support impacts on enterprises, this relates to all types of businesses.

E.77 There should be one row for each beneficiary or non-beneficiary.

Business Information

E.78 Where the sheet requests business information, if the grant recipient is able to provide the Company Reference Number (CRN), there is no requirement to report the Business Start Date or Business Sector.

E.79 Company Reference Numbers (CRNs) can be found on the Companies House website: <https://beta.companieshouse.gov.uk/>

E.80 Where the Company Reference Number is not available, grant recipients should attempt to ascertain the incorporation date of the business (Business Start Date). If it is not possible to ascertain the precise date, an estimate is fine (eg: 01/01/2017 – if the year is known but not the precise date).

E.81 Again, for the Business Sector, please choose the sector that is most appropriate to the business. A description of the types of activities covered under each Sector can be found on the ONS Website: https://onsdigital.github.io/dp-classification-tools/standard-industrial-classification/ONS_SIC_hierarchy_view.html

Beneficiary Outcome Indicators

E.82 The Outcome Indicators are the outcomes that are a consequence of the project, rather than those that could have happened anyway. Please choose the indicator(s) most appropriate to your project.

E.83 For Resource and Energy Efficiency projects, the project-wide outcome indicators relate to the change in the indicators listed under “following investment, change in impacted areas:”, as below.

Project Outcome Indicators						
Following investment, change in impacted areas:						
No. of businesses with reduced energy consumption	Businesses energy costs (%)	No. of social housing properties with reduced energy consumption	No. of social housing tenants with improved energy comfort	Social housing tenants energy costs (%)	Number of public sector buildings with reduced energy consumption	Public sector landlords or tenants energy costs (%)

E.84 These outcome indicators **describe the totals for the project activity**, rather than for individual beneficiaries. Information relating to individual beneficiaries should be entered in the columns to the right, as below.

E.85 For Example, for a project focused on supporting business beneficiaries to reduce energy consumption, under "No. of businesses with reduced energy consumption", grant recipients should list the total number of businesses that have seen an improvement in energy consumption as a result of the project’s activities. Grant Recipients should then enter the average change in energy costs for those businesses under “Businesses energy costs (%)”. These are the columns shown below.

No. of businesses with reduced energy consumption	Businesses energy costs (%)
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E.86 Any beneficiary-level information should be entered into the columns to the right. These are the columns shown below:

Information on Direct Beneficiaries - Businesses										
Contact Point within the business				Duration of Support		Description of support		Description of property		Change in energy costs following investment (%)
Company Reference Number (CRN)	Name	Telephone Number	Email Address	Date support started (DD/MM/YY)	Date support ended (DD/MM/YY)	Type	Value (£)	Type	Size (sq. metres)	

Information on Direct Beneficiaries - Social Housing							
Supported property		Supported property owner contact point			No. Bedrooms	Details of property treatment	Change in energy costs following investment (%)
Address	Postcode	Name	Telephone Number	Email Address			

Information on Direct Beneficiaries - Public Buildings									
Supported property		Supported property owner contact point			Description of property			Details of property treatment	Change in energy costs following investment (%)
Address	Postcode	Name	Telephone Number	Email Address	Property Use	No. Occupants/ Tenants	Size (sq. metres)		

Appendix F - Summative Assessment Final Report and Interim Report

- F.1 Grant recipients are required to ensure that the summative assessment report covers each of the areas outlined below. This requirement is fixed and applies to all projects irrespective of the nature or scale of projects. However, it is important to note that the balance of effort between these components will vary and the nature of the methods used will need to be tailored according to the nature and size of the projects, and may also depend on whether the report is a final or interim report.
- F.2 The summative assessment structure below sets out the key sections which need to be included and poses questions which the assessments must explore.

Summative assessment report structure

Introduction

- F.3 This section should provide an overview of the project including timescales, overarching objective(s) and who the main project partner(s) is(are).
- F.4 It should also outline the research design and evaluation methodology of the summative assessment (see Appendix C). The section should elaborate on why a particular methodology was chosen and the research questions used. It should then describe the method(s) used for collecting data and how this data/evidence was analysed against the research questions. The section should also include a critical discussion on how appropriate the evaluation methodology was overall to the particular project and any challenges encountered in the research process.

Section 1: Project context

- F.5 This section needs to consider the economic and policy context in which the project was designed, including the nature of the market failure, the project objectives and the rationale for the delivery approach. This section should be based around the project logic model and include critical analysis about the appropriateness of the project delivery design given project objectives. This section should be based around the project logic model and include critical analysis about the appropriateness of the project's design given its objectives.
- F.6 Drawing on the available evidence, this section should discuss whether there has been a change in this context and whether it has any implications for the practical delivery of the project and the benefits which could be realised for beneficiaries and the local economy as a whole. The key questions that need to be explored here are:
- What was the project seeking to do?

- What was the economic and policy context at the time that the project was designed?
- What were the specific market failures that the project was seeking to address? Was there a strong rationale for the project?
- Was it appropriately designed to achieve its objectives? Was the delivery model appropriate?
- Were the targets set for the project realistic and achievable?
- How did the context change as the project was delivered and did this exert any particular pressures on project delivery?
- Bearing in mind any changes in context or weaknesses in the project design / logic model, can the project reasonably be expected to perform well against its targets?

Section 2: Project progress

F.7 This section should consider the progress with the implementation of the project, drawing in particular on annual and lifetime performance against the expenditure, activity and output targets. Variations from the targets should be carefully explained and supported by the available evidence. Progress against any horizontal principals and any explicit targets which were set should also be considered.

F.8 The key questions here are:

- Has the project delivered what it expected to in terms of spend and outputs?
- What are the factors which explain this performance?
- When the project draws to a close, is it expected to have achieved what it set out to?

F.9 As the summative assessment may be conducted prior to the completion of the project, it would be appropriate in these instances to forecast the expected lifetime outturn for the project and the assumptions which underpin the analysis. If this is the case, it is important that there is a clear distinction between the outcomes and impacts which have actually been realised and those which are predicted to arise in future years. For quantitative forecasting, the estimation method will need to be clearly explained³⁹.

F.10 This section of the report must include a Spend and Output table (Table F.1) using all of the relevant indicators for the project. This table format must not be adjusted in any way as it forms the basis of the Summary Template (ref ESIF-Form-1-014).

³⁹ The Green Book: Central Government Guidance on Appraisal and Evaluation, HM Treasury: https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/685903/The_Green_Book.pdf

Table F.1 Standard Table Format: Spend and Output Performance

Indicator	Targets		Performance at Time of Evaluation		Projected Performance at Project Closure		Overall Assessment
	Original	Adjusted (if relevant)	No.	% of Target	No.	% of Target	
Capital Expenditure (£m)	£5.0	£4.0	£4	100%	£4.0	100%	
Revenue Expenditure (£m)	£1.0	£1.0	£0.8	80%	£0.9	90%	
C1: Number of Enterprises Receiving Support	200	200	180	90%	210	105%	
C2: Number of enterprising receiving non-financial support	200	200	180	90%	210	105%	
C26: Number of enterprises cooperating with research entities	50	50	10	20%	20	40%	
P2: Public or commercial buildings built or renovated	2	2	2	100%	2	100%	
Etc.							

Section 3: Project delivery and management

F.11 This section of the summative assessment will need to provide a more qualitative analysis of the implementation of the project. This should include procurement, selection procedures, delivery performance, governance and management. It needs to consider the elements of project delivery which have gone well and, if necessary, the elements which have gone less well.

F.12 The key questions that the summative assessment will need to explore here include:

- Was the project well managed? Were the right governance and management structures in place and did they operate in the way they were expected to?
- Has the project delivered its intended activities to a high standard?
- Could the delivery of the project have been improved in any way?
- For projects with direct beneficiaries: did the project engage with and select the right beneficiaries? Were the right procedures and criteria in place to ensure the project focused on the right beneficiaries?

- How are project activities perceived by stakeholders and beneficiaries? What are their perceptions of the quality of activities / delivery?
- To what extent have the horizontal principles been integrated into and shaped delivery?

Section 4: Project outcomes and impact

F.13 The analysis here will need to set out the progress that the project has made towards outcomes and impacts set out in the project logic model. It will need to provide an analysis of the gross and net additional economic impacts (see Appendix C). It will be particularly important here to ensure that the analysis provides forecasts of lifetime outturns. This section should also provide conclusions about the contribution that the project has made to any ERDF programme result indicators which are identified as relevant to the project.

F.14 The overarching question that this section will need to explore is whether or not the project has made a difference. In answering this critical question, projects will need to consider:

- What progress has the project made towards achieving the outcome and impacts set out in its logic model?
- To what extent are the changes in relevant impact and outcome indicators attributable to project activities?
- What are the gross and net additional economic, social and environmental benefits of the project (where relevant and applicable to project activities)?
- Can these benefits be quantified and attributed to the project in a statistically robust way?
- To what extent has / will the project contribute to the achievement of ERDF programme result indicators?
- What are the main sources of Strategic Added Value that the project has created?

F.15 The summative assessments should try to use the type standard table format illustrated below for reporting the total aggregate gross and net additional impacts achieved, clearly specifying the time period covered and the impacts areas used. Additional columns and rows can be added for additional impact areas and indicators, as appropriate. A similar format can be used for predicting any expected future impacts if this is appropriate, although the basis for these estimates will need to be clearly stated, including the period over which impacts or outcomes are expected to occur and the reliability of the estimates.

Table F.2 Standard Table Format: Gross and Net Additional Impact for Employment and GVA (time period)

Impact Indicator: Employment	Unit = FTEs	Impact Area 1:		Impact Areas 2:	
		[Enter Impact Area Name]		[Enter Impact Area Name]	
		Measure	Adjustment	Measure	Adjustment
Gross Impact	100	-	120		
Less Deadweight / reference case	40	60%	60	50%	
Less Displacement /substitution	36	10%	42	30%	
Less Leakage	34	5%	39	6%	
Net Additional (plus multipliers)	44	1.3	59	1.5	
Impact Indicator: GVA	Unit = £m	£5.0	-	6.6	
Less Deadweight / reference case	£2.0	60%	£3.3	50%	
Less Displacement /substitution	£1.8	10%	£2.3	30%	
Less Leakage	£1.71	5%	£2.2	6%	
Net Additional (plus multipliers)	£2.2	1.3	£3.3	1.5	

Section 5: Project value for money

F.16 Drawing upon the analysis in the impact assessment section, this section of the summative assessment report will need to provide a clear analysis of the value for money that the project has provided. The summative assessments should also come to a conclusion on whether the project presents good value for money or not. This will need to be benchmarked against other similar interventions if reliable comparable data is available.

- F.17 Various methods can be used to assess benefits and costs of an intervention from the perspective of society or government which has helped to fund the activity. The Green Book provides a fuller explanation of these methods.⁴⁰
- F.18 As a minimum, summative assessments should provide cost per output analysis. Where appropriate this can also be supplemented by benefit cost ratio analysis to provide additional insight. The value for money analysis should be produced based on multiple cost bases (i.e. total public sector costs, ERDF grant, total project costs) to increase its usefulness for different audiences. The weight that can be placed on the findings relative to the robustness of the approach should also be clear in the summative assessment.

Section 6: Conclusions and lessons learnt

- F.19 It is difficult to be prescriptive about the content of the conclusions section of the report as these are naturally driven by the characteristics of particular projects, the priorities of grant recipients and the analysis contained within the rest of the summative assessment report. It is suggested that the conclusions are structured around identifying the strengths and weaknesses of the project. They should also highlight specific lessons for the following audiences:
- The grant recipient / project delivery body
 - Those designing and implementing similar interventions
 - Policy makers
- F.20 The conclusions must be objective and constructive and wholly evidenced by the analysis within the summative assessment report.

Summative assessment report summary

- F.21 In addition to the final (or interim) report itself grant recipients are also required to complete a summary. This will help grant recipients see at a glance the key findings of the summative assessment. In addition, it will help the National Evaluators when they undertake their assessment of the programme as a whole.
- F.22 The template (ref ESIF-Form-1-014) that grant recipients must complete is available from the managing authority. This standard structure and format is intended to help ensure that all elements of the summative assessment final report summary requirements have been covered. The headings replicate the six sections of the summative assessment final report structure.
- F.23 Grant recipients are also requested to provide additional administrative information in the summary (rows 13 - 21), including:

⁴⁰ Available at:
https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/685903/The_Green_Book.pdf

- Evaluation budget (£): this is the total amount (i.e. including match funding) budgeted towards the summative assessment.
- Evaluation actual spend (£): this is the total amount (i.e. including match funding) that was actually spent on the summative assessment.
- URL full report: if the full report has been disseminated online, please provide the link in cell B20. If the full report is due to be disseminated online but has not been uploaded yet, please send the link directly to the managing authority once it is online.