

# Summative Assessment Guidance

## ESIF-GN-1-033

### Important

This guidance should be read in conjunction with the summative assessment appendices available in a separate document: Summative Assessment Guidance – Appendices (Reference: ESIF-GN-1-034).

This document can be found within the programme documents / ERDF evaluation section of the ERDF GOV.UK page: <https://www.gov.uk/guidance/england-2014-to-2020-european-structural-and-investment-funds>

#### **Changes since last version (v3)**

- Text relating to the summative assessment plan and logic models has been added to further clarify existing instructions.
- Clarifications on when the summative assessment report is due.
- Further clarifications have been provided on data monitoring requirements.
- Guidance on combined summative assessments.

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# Executive Summary

The ERDF grant funding agreement places a requirement on all grant recipients to undertake a summative assessment. This guidance provides the essential information that you need to plan and undertake it. While there are aspects which you must implement in strict accordance with this guidance, every ERDF project is different and the evaluation methods need to be tailored to the type of project activity and the outcomes and impacts it is seeking to achieve.

## Use of the summative assessments

Summative assessments are intended to provide insights into project performance to enhance project implementation, reliable evidence of their efficiency, effectiveness and value for money, as well as insights into what and why interventions work (or not), and lessons for the future. It will also provide project level evidence which, combined with national evidence of progress and impact, will result in stronger evidence of the overall impact and effectiveness of the ERDF operational programme across England. The evidence will also be particularly helpful for you in making the case for particular delivery approaches in the future or making the case for future funding.

## Scope of the summative assessments

While the approach to collecting information and the type of analysis within each summative assessment may vary, all assessments need to cover the following themes: relevance and consistency, progress, delivery and management, impacts, assessing value for money.

## Summative assessment stages (see process map at Annex 1)

- Stage 1 - summative assessment planning: what must be done in order to plan for the successful implementation of the summative assessment. This includes the preparation of the logic model and the summative assessment plan using the templates provided by the managing authority.
- Stage 2 - data collection and reporting: how you need to record and report upon data to ensure that ERDF programme's monitoring requirements are met.
- Stage 3 - reporting and communication: the completion of the summative assessment and its summary, submission of the report to the managing authority and the communication of its messages.

## Availability of further advice and guidance

All information is included in this guidance and appendices (see web link on cover page). If however you have any questions, please contact your local growth delivery teams.

# 1. Overview for Grant Recipients

- 1.1 This guide provides the information needed to plan and carry out the summative assessment for your project. While there are aspects of your summative assessment which you must implement in accordance with this guidance it is for you to adopt an approach that is tailored to your specific project.
- 1.2 The summative assessment should in the main be undertaken by evaluators who are independent of the project and who have appropriate evaluation expertise. However, the managing authority recognises that the evaluation budget available for smaller projects may not permit this. In these circumstances the summative assessment should be lighter touch. However, it should still be undertaken by someone with the necessary skills.
- 1.3 The material in this section of the guidance sets out the key elements of the requirement. The following sections then provide detail on the summative assessment processes. The appendices<sup>1</sup> provide the templates and more technical detail on methods that could be employed when carrying out the summative assessment.

## Benefits

- 1.4 Summative assessments are intended to provide you with reliable evidence of the efficiency, effectiveness and value for money of your project, as well as insights into what and why interventions work (or not). This analysis can assist during the implementation of the project and provide lessons for future interventions. It can also be used to support your case for future funding.
- 1.5 Your project level evidence, when combined with national evidence of progress and impact, will result in stronger evidence of the overall impact and effectiveness of the ERDF operational programme across England.

## Contractual requirement

- 1.6 Your ERDF grant funding agreement<sup>2</sup> (GFA) places a requirement on all grant recipients to undertake a summative assessment. This guide provides the common framework and methodology referred to in clause 14.2(b) of the GFA<sup>3</sup>.

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<sup>1</sup> These appendices (ref ESIF-GN-1-034) can be found within the programme documents / ERDF evaluation section of the ERDF GOV.UK page: <https://www.gov.uk/guidance/england-2014-to-2020-european-structural-and-investment-funds>

<sup>2</sup> <https://www.gov.uk/government/publications/european-structural-and-investment-funds-funding-agreements>; p36 capital grant funding agreement and p30 in revenue grant funding agreement.

<sup>3</sup> In the case of financial instruments, clause 22.4 of the GFA for earlier contracted projects, and clause 22.5 for more recently contracted projects. In the case of community-led local development (CLLD), summative assessment requirements have been adapted: see section 3.23 below.

- 1.7 The GFA sets out that the amount of summative assessment spend that can be reimbursed with ERDF is up to 1% of your project eligible expenditure, up to a maximum of £100,000<sup>4</sup>.
- 1.8 Therefore, the total amount that can be spent on your summative assessment is dependent on the grant intervention rate agreed for your project. You may choose to spend less than this amount however the summative assessment should still be carried out in line with the common framework and methodology set out within this guidance.
- 1.9 Clause 14.2(c) of the GFA refers to the need for summative assessments to be provided **at least three months prior to the final grant claim**. At a minimum, a draft version of the report should be provided at this stage. This will allow time for the managing authority to quality assure the report and for you, or the contracted evaluator, to update the report if needed.
- 1.10 There may be circumstances in which you agree with your local growth delivery team (GDT) to submit your final summative assessment after the final claim, in particular, for projects where those outcomes and impacts occur over a longer time period (e.g. employment sites, property schemes, business finance financial instruments). You need to be aware however that any spend occurring after the financial completion date of your project will be at your own cost and the final claim will need to be accompanied by an interim summative assessment report (including the summary findings template)<sup>5</sup>.
- 1.11 If overall eligible expenditure is reduced via a project change request, the amount spent on your summative assessment should, where practical, be proportionally reduced in accordance with the new project's eligible cost. If you have already signed a contract with an evaluator to carry out the summative assessment at the higher cost, where practical, you should attempt to vary the contract to reduce this cost.

## The common framework and methodology

- 1.12 The summative assessment requirement is broken down into three stages. These are:
- Stage 1 - Summative assessment planning: what must be done in order to plan for the successful implementation of the summative assessment. This includes the preparation of the summative assessment plan template. This should be provided within the first three to six months<sup>6</sup> of the grant funding agreement (GFA) being signed. Grant recipients will have already submitted the logic model alongside the full application. However, in developing the

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<sup>4</sup> This does not apply to community-led local development (CLLD).

<sup>5</sup> This does not apply in the case financial instruments and community-led local development (CLLD), please see specific requirements in sections 3.23 and 3.24

<sup>6</sup> Or up to twelve months in the case of financial instruments GFAs already signed at the time of the publication of this guidance.

summative assessment plan, and/or following initial discussions with your independent evaluator, grant recipients may identify required changes to the logic model. If so, the logic model can be updated at this stage and resubmitted to the managing authority alongside the summative assessment plan.

- Stage 2 - Data collection and reporting: how you need to record and, in some instances, report on data to ensure the ERDF programme's monitoring requirements are met. The data required for your summative assessment should be reported in the appropriate template as part of the claims process.
- Stage 3 - Reporting and communication: the completion of the summative assessment report<sup>7</sup> and a summary findings template. As previously explained the final report, or at minimum a draft version, should be submitted three months prior to making your final claim<sup>8</sup> and should be accompanied by the summary findings report template. You are encouraged to promote the findings of your report with local partners. The managing authority will do similar with external bodies; therefore, you will need to inform us of any information that is either commercially sensitive or you consider being personal data within the final report.

1.13 The approach to collecting information and the type of analysis within each summative assessment may vary depending on the scale and nature of each project. However, all assessments should consider the following themes:

- The continued relevance and consistency of the project;
- The progress of the project against contractual targets;
- The experience of delivering and managing the project;
- The economic impact attributable to the project; and
- The cost-effectiveness of the project and hence its value for money.

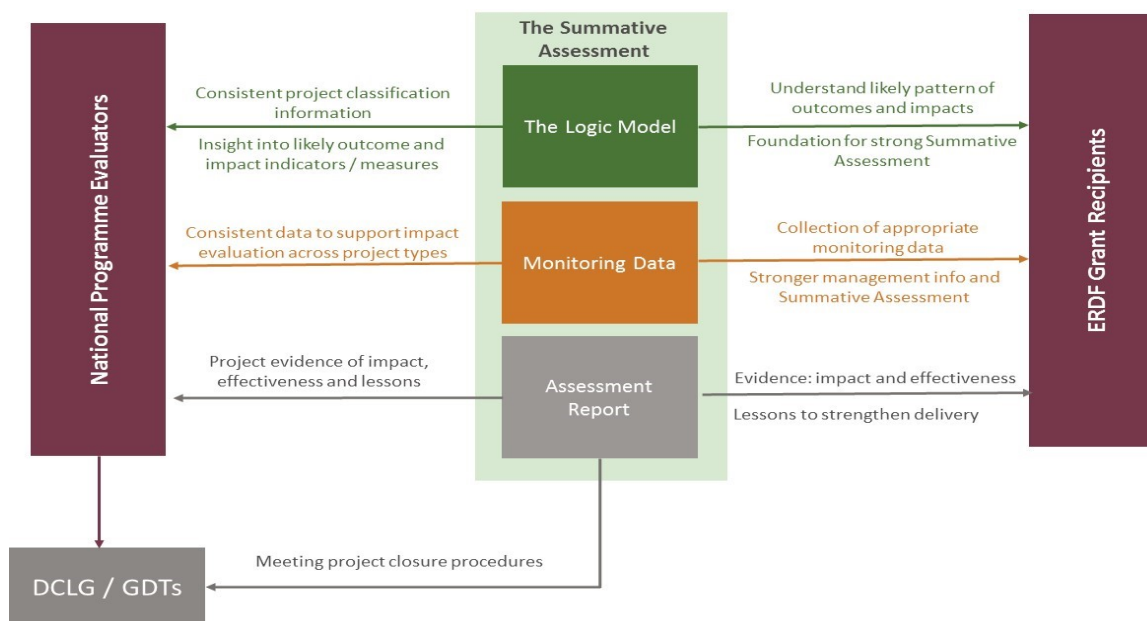
1.14 You are encouraged to be both ambitious and realistic in your approach to assessing the impact of your project in your summative assessment. Certain types of projects are expected to adopt counterfactual impact evaluation methods (detailed within Appendix C of the Guidance Appendices - ESIF-GN-1-034, paragraph C.39).

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<sup>7</sup> Or an interim report as described in paragraph 1.9.

<sup>8</sup> In the case of financial instruments, see section 3.23

Figure 1.1 The structure and role of the summative assessments



Source: Regeneris Consulting

## Support

- 1.15 As previously stated, you will need to plan and adopt an approach to the summative assessment that is tailored to your specific project. This guidance is intended to support that process, but it is for you to decide on the most appropriate approach based on the scale of your project, what is possible in terms of evaluation design and when impacts might be realised. In most cases, summative assessments should be undertaken by evaluators who are independent of the project and who have appropriate evaluation expertise. In a minority of smaller projects, suitably skilled researchers could undertake the assessment.
- 1.16 The managing authority will provide clarity on issues where possible, in particular where this is a clarification of the summative assessment requirement. These queries should be raised with your contract manager in the local growth delivery team in the first instance.

## 2. The Scope and Principles of the Summative Assessment

- 2.1 This guide highlights the important factors that need to be considered when designing and implementing the summative assessment. Where possible it highlights key considerations for different types of project. But given the wide range of ERDF project types, the guide cannot provide a standard methodology for undertaking all assessments. The guide has been prepared to help apply the summative assessment requirement to your own ERDF project. The details of which elements of the summative assessment need to be completed where project delivery has already commenced are set out above.
- 2.2 In addition to this document, there is a lot of existing information and guidance that you can draw on for your summative assessment. Throughout this guide, we provide links to additional resources. As set out above, where possible the managing authority will respond to any queries you may have.

### Scope

- 2.3 Primarily, the summative assessment is about understanding the experience of implementing the ERDF project, the difference the project has made, whether it has provided value for money, and the lessons which can be learnt from the experience.
- 2.4 While the approach to collecting information and the type of analysis within each summative assessment may vary depending on the scale and nature of each ERDF project, all assessments need to cover the following themes:
- **Relevance and consistency:** the summative assessments must explore the continued relevance and consistency of the project, in light of any changes in policy or economic circumstances during its delivery period.
  - **Progress:** the summative assessments will set out the progress of the project against contractual targets, any reasons for under or over performance, and the expected lifetime results.
  - **Delivery and management:** the summative assessment must explore the experience of implementing and managing the project and any lessons which have emerged from this.
  - **Impacts:** the summative assessment, where possible, must show the economic impact attributable to the project, including both the intended and actual outcomes and impact.
  - **Assessing value for money:** the summative assessments must analyse the cost-effectiveness of the project in light of its intended and unintended outcomes and impacts, and hence its value for money.



- 2.5 Summative assessments will help stakeholders to understand better the difference the projects have made in practice to their local economies, communities and beneficiary groups. They will also improve the effectiveness of measures to enhance local economic growth in the future and provide valuable information for the evaluation of the national ERDF programme.

## Important principles

- 2.6 It is important that the summative assessments are delivered in a way which enables them to be used in the National Evaluation, while still meeting your needs and those of your delivery partners. To help achieve this, there are a small number of principles which should be followed:
- **Evaluation effort:** while assessments need to be comprehensive, they should reflect the size of the project and the complexity of its activities. For example, larger and more complex projects are expected to adopt counterfactual impact evaluation methods in their summative assessment (see Appendix C of the Guidance Appendices - ESIF-GN-1-034).
  - **Independent evaluation:** where practical summative assessments should be undertaken by evaluators who are independent of the project and who have appropriate evaluation expertise.
  - **Consistency:** there are many ways to approach evaluations. Hence, the guidance provides a framework for designing the assessment and reporting the results. This is intended to ensure consistency in some important aspects of the evaluation, while retaining some flexibility for grant recipients to reflect the nature of their own projects.
  - **Standards of evaluation:** those using the evidence will need to rely on the information in making future decisions. It is therefore important to ensure a minimum standard of quality across projects. You are expected to draw on appropriate evaluation guidance (including this document) in planning and carrying out your assessment.
  - **Consistent measures and definitions:** programme-level outputs are already set out in the ERDF indicator framework. However, there are a range of other indicators which you may need to use to measure project progress and success. The guidance suggests a range of additional indicators which could be used to measure the progress of the different types of projects funded through the ERDF programme (see Appendix D of the Guidance Appendices - ESIF-GN-1-034).

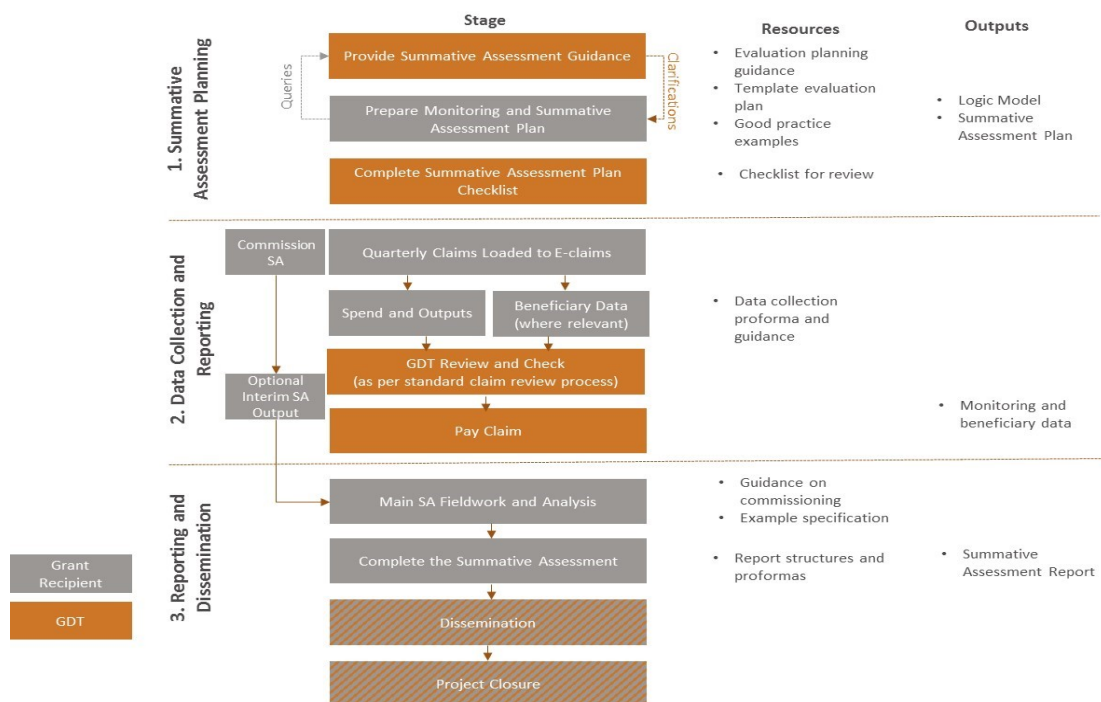
# 3. Undertaking the Summative Assessment

3.1 Figure 3.1 provides an overview of the summative assessment process and the important steps that need to be taken in order to meet this requirement.

3.2 To recap, the process has three stages which are explored in more detail below:

- Stage 1. Summative assessment planning: what must be done now in order to plan for the successful implementation of the summative assessment.
- Stage 2. Data collection and reporting: how you need to record and (in some instances) report on data to ensure the ERDF programme’s monitoring requirements are met.
- Stage 3. Reporting and communication: completion of summative assessment, submission of the report to MHCLG and communication of its messages.

Figure 3.1 The summative assessment process<sup>9</sup>



Source: Regeneris Consulting

<sup>9</sup> Stage 3 will vary in the case of financial instruments: see section 3.23.

## Stage 1: Planning the summative assessment

- 3.3 This plan outlines what the summative assessment will include, the data that will be collected, the methods that will be used and format, the timing of the assessment output and how it will be presented.
- 3.4 The summative assessment plan (see Appendix B of the Guidance Appendices - ESIF-GN-1-034), reported using the template (ref ESIF-Form-1-012), will follow on from the project logic model submitted with the full application. If needed, the logic model can be updated and resubmitted at this stage alongside the summative assessment plan. The logic model provides a summary of the rationale for the project, the activities being delivered and, importantly, the manner in which these activities support various outcomes and impacts. The logic model is an important foundation for the summative assessment as it provides a clear way to think about the essential components of the project, as well as understanding how each component of the logic model links to the next.
- 3.5 The logic model (see Appendix A of the Guidance Appendices - ESIF-GN-1-034), reported using the template (ref ESIF-Form-1-011 ERDF Summative Assessment Logic Model) plays a wider role for the National Evaluation. The insights into the various elements of the logic model will be used by the National Evaluation to understand the types of outcomes and impact which are being created by all types of projects.
- 3.6 You are required, subject to the footnote exemptions in section 1, to produce and submit to your contract manager a summative assessment plan within three to six months of signing your grant funding agreement.
- 3.7 Each plan will follow the same template structure (see Appendix B of the Guidance Appendices ESIF-GN-1-034). Grant recipients are encouraged to build on the material used for grant applications to set out the relevance of what the projects are attempting to achieve. This structure follows the good practice evaluation requirements which are set out in the Magenta Book<sup>10</sup> and has been designed to ensure, as far as possible:
- Each element of the summative assessment is carefully considered;
  - Methods are selected that are appropriate and commensurate given the nature of the project;
  - Data and information requirements are met;
  - Timescales and milestones are clear and reasonable; and
  - The quality, transparency and relevance of the summative assessment.
- 3.8 For projects undertaking the same activity, or where the same grant recipient oversees several projects, there may be scope to carry out a combined summative assessment. Such an approach will require approval from the Managing Authority (MA). When setting out the rationale for the approach to the

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<sup>10</sup> The Magenta Book Evaluation Guidance, HM Treasury, 2020  
[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/879438/HMT\\_Magenta\\_Book.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/879438/HMT_Magenta_Book.pdf)  
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ESIF-GN-1-033 Version 4  
Date published July 2020

MA you should clearly demonstrate in the summative assessment plan the additional benefits that accrue from combining the summative assessments. If projects wish to combine their summative assessments at a later stage of the project delivery, then it will be necessary to update the logic model and summative assessment plan and request approval from the MA on this change.

- 3.9 Table 3.1 (see page 14 below) provides an overview of the requirement within each aspect of the plan. It highlights important things to consider and points to relevant guidance (both within this document and in external sources).
- 3.10 As noted, the ERDF programme is funding a wide range of interventions and the most appropriate methods for the summative assessment will vary. An illustration of some of the considerations is provided as follows:

**Projects investing in infrastructure.** The ERDF programme is supporting a wide range of capital investments, many of which don't have direct beneficiaries. You and your evaluators should consider how best to engage the indirect beneficiaries of these investments (and the impact on local competitiveness if possible and appropriate), of which there may be multiple types.

**Financial instruments.** The programme is supporting a range of financial instruments, including business finance, sites and premises. These interventions are distinct due to their mechanism for recycling finance and their intended stimulus to the supply side (e.g. in terms of provision of finance and property to small and medium-sized enterprises) and hence the evaluators need to carefully assess these.

**Project packages.** Community-led local development is an example of a package approach, with multiple projects in a package. An overall summative assessment is required for all of the projects in each package.

**Strategic area approaches.** Area-based approaches are encouraged in a number of priority axes, including sustainable urban development and low carbon strategies. Besides considering the usual delivery, management and impact issues, the summative assessments also need to consider the added value of area-based approaches and the geographical scale of impacts.

**Technical assistance projects.** While a summative assessment is required for technical assistance projects, the scope of these assessments may differ from most other types of projects. There is likely to be more emphasis on the delivery and management of activities and the manner in which these enhance the delivery of aspects of the ERDF programme. There is likely to be less emphasis on impact evaluation, unless it is specifically relevant to the type of activities.

- 3.11 You are encouraged to be both ambitious and realistic in your approach to assessing the impact of your project in your summative assessment. Certain types of projects are expected to adopt counterfactual impact evaluation methods. These being:

- Larger projects with an overall value in excess of £10 million;

- Projects with direct beneficiaries, particularly existing small and medium-sized enterprises where there is a sufficient sample size and funding available in the project's budget; or
- Projects within investment themes where the National Evaluation is unlikely to be undertaking a comprehensive counterfactual impact evaluation (such as transport, broadband, low carbon and selected place-making infrastructure investments).

3.12 The managing authority will seek peer review from the national programme evaluator on a sample of projects' logic models and the summative assessment plans.

Table 3.1 Requirements and guidance for the summative assessment plan (see **GOV.UK link on cover page for appendices**)

Element of the plan	Requirement	Important considerations	Things to help and/ or deliverables
1.Statement of objectives, scope and research questions	The summative assessment plan must provide a clear statement of objectives for the summative assessment. These objectives should clearly state what the focus of the assessment will be and what insight and evidence it will seek to provide. These objectives must be tailored to the specific characteristics of the project.	<ul style="list-style-type: none"> <li>Who are the internal and external audiences for the summative assessment?</li> <li>What insight is being sought by these audiences? What questions will they be asking?</li> <li>Do the summative assessment objectives cover all of the relevant areas of the evaluation as specified in this guidance?</li> </ul>	<p>Appendix B: Setting the Objectives for the Summative Assessment</p> <p><a href="#">The Magenta Book</a> – Section 5: Step 3<sup>11</sup></p> <p><a href="#">The What Works Centre – How to evaluate: Define success</a></p>
2. The project logic model	You need to complete the logic model template using the specified spreadsheet format provided. All sections of the logic model must be completed and the required project classification information must be provided.	<ul style="list-style-type: none"> <li>Are each of the sections of the logic model complete?</li> <li>Is there a clear read across and logic linking the various elements of the logic model?</li> <li>Does the logic model identify a clear and specific sequence of output, outcome and impact indicators for direct and indirect beneficiaries?</li> </ul>	<p>Appendix A: Preparing the Logic Model</p> <p><a href="#">The Magenta Book</a> – Section 5: Step 1<sup>12</sup></p>

<sup>11</sup> The Magenta Book Evaluation Guidance, HM Treasury, 2011, p.43

<sup>12</sup> The Magenta Book Evaluation Guidance, HM Treasury, 2011, p.40

3. Approach, methods and tasks	<p>You need to provide a description of the evaluation methods that the summative assessment will use. This needs to encompass the methods that will be used to evaluate the delivery of the project, as well as the methods that will be used to determine the outcomes, impacts and value for money.</p> <p>The statement also needs to set out how you will ensure that best practice and appropriate quality will be met.</p>	<ul style="list-style-type: none"> <li>• What are the relevant measures of outcome and impact for the project?</li> <li>• Over what time period will these outcomes and impacts materialise?</li> <li>• Does the project have direct and / or indirect beneficiaries?</li> <li>• What sample size are you likely to achieve?</li> <li>• What data sources and methods are appropriate to measure change in these indicators?</li> <li>• What counterfactual impact methods might be appropriate to attribute this change to the project?</li> <li>• What are the limitations of the design and caveats that will need to be applied to the findings?</li> </ul>	<p>Counterfactual impact evaluation guide - Appendix C</p> <p><a href="#">The Magenta Book</a> – Section 5: Step 4<sup>13</sup></p> <p><a href="#">Evalsed Sourcebook</a> – Chapter 8<sup>14</sup></p>
4. Data and monitoring	<p>As a minimum, the summative assessment plan must outline the ERDF outputs that the project is contracted to deliver and the associated beneficiary data required by the National Evaluation.</p> <p>In addition, the summative assessment plan should also demonstrate whether you might need to collect any additional data (over and above that</p>	<ul style="list-style-type: none"> <li>• What procedures need to be put in place to ensure you meet the minimum and desirable data collection standards?</li> <li>• Are there any potential constraints on data collection</li> </ul>	<p>Appendices D and E and Data Templates (ref ESIF-Form-1-013)</p>

<sup>13</sup> The Magenta Book Evaluation Guidance, HM Treasury, 2011, p.44

<sup>14</sup> The European Commission, Evalsed Sourcebook: Method and Techniques, pp.47-120

	required by the National Evaluation) to support the successful implementation of the summative assessment plan	and how can they be avoided?	
5. Implementation plan	<p>The plan will need to outline the practical steps you propose to take in order to implement the summative assessment.</p> <p>This needs to cover:</p> <ul style="list-style-type: none"> <li>• The assessment route: who will undertake the assessment and have appropriate people been involved in this decision?</li> <li>• Timescale and outputs: a clear indication of the timescales for the various stages of the summative assessment is required. This needs to include procurement (if necessary) and clearly state when the outputs will be available.</li> <li>• Managing the assessment and ensuring quality: this section needs to outline who will manage the assessment and who will sit on the steering group. You will also need to set out briefly the proposed approach to ensuring the quality of the assessment.</li> </ul>	<ul style="list-style-type: none"> <li>• How will the data be stored and are there any data protection issues?</li> <li>• What are the key milestones that will enable you to meet the contractual obligations?</li> <li>• Do you have the expertise in-house to undertake the summative assessment?</li> </ul>	
6. Using and disseminating the findings	As a minimum, you should make the full summative assessment report available to the GDT. You will also be expected to make the Summary Findings Template freely available.	<ul style="list-style-type: none"> <li>• Which elements of the summative assessment will you wish to publish?</li> <li>• Are any elements of the report likely to be commercially sensitive and therefore not available for publication?</li> </ul>	See Appendix F and Summary Findings Template (ESIF-Form-1-014)



## Stage 2: Collecting the necessary information

- 3.13 As the project is delivered there will be a requirement to collect certain types of data and information (see Appendices D and E of the Guidance Appendices - ESIF-GN-1-034). This requirement may extend beyond the spend and output information that is reported to local growth delivery teams as part of the project claims for some project types (specified in the GFA). It includes:
- The data and information that is collected on any additional output indicators that have been specified in developing the logic models; and
  - The information about direct, and in some cases indirect, beneficiaries of projects.
- 3.14 These requirements are important for two reasons. First, this monitoring data and information has a central role to play in supporting the successful implementation of the summative assessment. Second, there is a requirement to provide some of this data in a standard format to meet the needs of the National Evaluation.
- 3.15 Monitoring is the observation of programme implementation and performance through a continuous and systematic process of generating quantitative and in many cases qualitative information. It helps to detect and quantify any deviation from initial plans and financial and output targets. While monitoring can identify what has been delivered, the summative assessment is necessary to identify and attribute the change the project achieves and the associated efficiency and value for money.
- 3.16 As outlined earlier, the monitoring data and information that you collect while delivering the ERDF project is essential in ensuring the success of the National Evaluation and supporting a high quality and insightful summative assessment. Recipients should have a good idea of the data that they are planning to collect and the collection system that is or will be in place during this period.
- 3.17 During the delivery of the ERDF project, you will need to ensure that you collect the data identified in the summative assessment plan. This includes:
- The contractual spend and outputs included in the GFA: these need to be reported in the format specified by the managing authority.
  - The beneficiary data where this applies to the project (see Appendix D of the Guidance Appendices - ESIF-GN-1-034), which is to be provided alongside your claims on a quarterly basis (unless otherwise agreed with your contract manager). The Summative Assessment Data Monitoring template, ESIF-Form-1-013, must be used when submitting this data.
  - Data on any additional output or outcome indicators where this applies to the project: as with the other parts of the monitoring data, it is essential that this data is recorded in a consistent fashion.
- 3.18 As noted above, monitoring data should be provided at the same time as quarterly project claim submissions, in line with what has been agreed with your contract

manager. The Department at its discretion reserves the right to allow for the submission of monitoring data outside of normal claim timings.

- 3.19 You 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. Where personal data is required, you will need to provide a privacy notice (see Appendix D) to direct and indirect beneficiaries you engage with.

## Stage 3: Reporting the findings

- 3.20 As the project activities draw to a close, you must produce the summative assessment report using a standard format.
- 3.21 The key components of the summative assessment are set out in Appendix F. You must cover these components in your summative assessments, irrespective of the nature or scale of their projects. However, the balance of effort between these components will vary and the nature of the methods used will be tailored according to the nature and size of the projects. While this report must be provided to the managing authority in an electronic format of your choice, the summative assessment report summary must be produced using the standard template (ref ESIF-Form-1-014).
- 3.22 As set out above, you should submit the final summative assessment report, or at least a draft report, three months before the submission of your final claim. This will allow time for the managing authority to quality assure the report and for you, or the contracted evaluator, to update the report where needed.
- 3.23 There are however certain circumstances in which the submission can occur after the final claim, in particular where outcomes and impacts are expected to arise over a longer time period (e.g. site and property schemes). Grant recipients may negotiate with their GDT the submission of the final summative assessment up to 12 months after the final claim. However, in these cases, the final claim must be accompanied by an interim summative assessment report (including the summary findings template) and all spend occurring after the financial completion date will be at your own cost.
- 3.24 Projects which are being continued/extended for a year or longer should submit an 'interim' summative assessment report (if extension via PCR) or a 'Phase 1' summative assessment report (if extension via new GFA) at the time the final summative assessment report was originally expected.
- 3.25 It may be necessary for lifetime outcomes and impacts of a project to be forecast as they will continue to accrue after the completion of the summative assessment. 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 forecast, the estimation method will need to be clearly explained in the summative assessment report<sup>15</sup>.

3.26 In the case of financial instruments, you should submit an interim summative assessment report:

- with your mid-term report or ‘evaluation early assessment’<sup>16</sup> or,
- at any other point to be agreed with the managing authority (e.g. with your annual report two years after the start of your project).

You should also submit a full summative assessment report:

- at the agreed project completion date<sup>17</sup> or,
- at any other point to be agreed with the managing authority.

3.27 The GFA for community-led local development (CLLD) projects requires that an evaluation is undertaken of the implementation of the local CLLD strategy, covering the entirety of the strategy i.e. investment from both the European Regional Development Fund and the European Social Fund and the local governance and management arrangements.

You should provide:

- An evaluation plan that addresses the requirements of the summative assessment plan and a logic model as set out in the logic model template;
- Monitoring data in line with this guidance;
- An evaluation report that as a minimum provides the information required in an ERDF summative assessment report (and its summary form) with the final grant claim.

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<sup>15</sup> The Green Book: Appraisal and Evaluation in Central Government, HM Treasury: [https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/220541/green\\_book\\_complete.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/220541/green_book_complete.pdf)

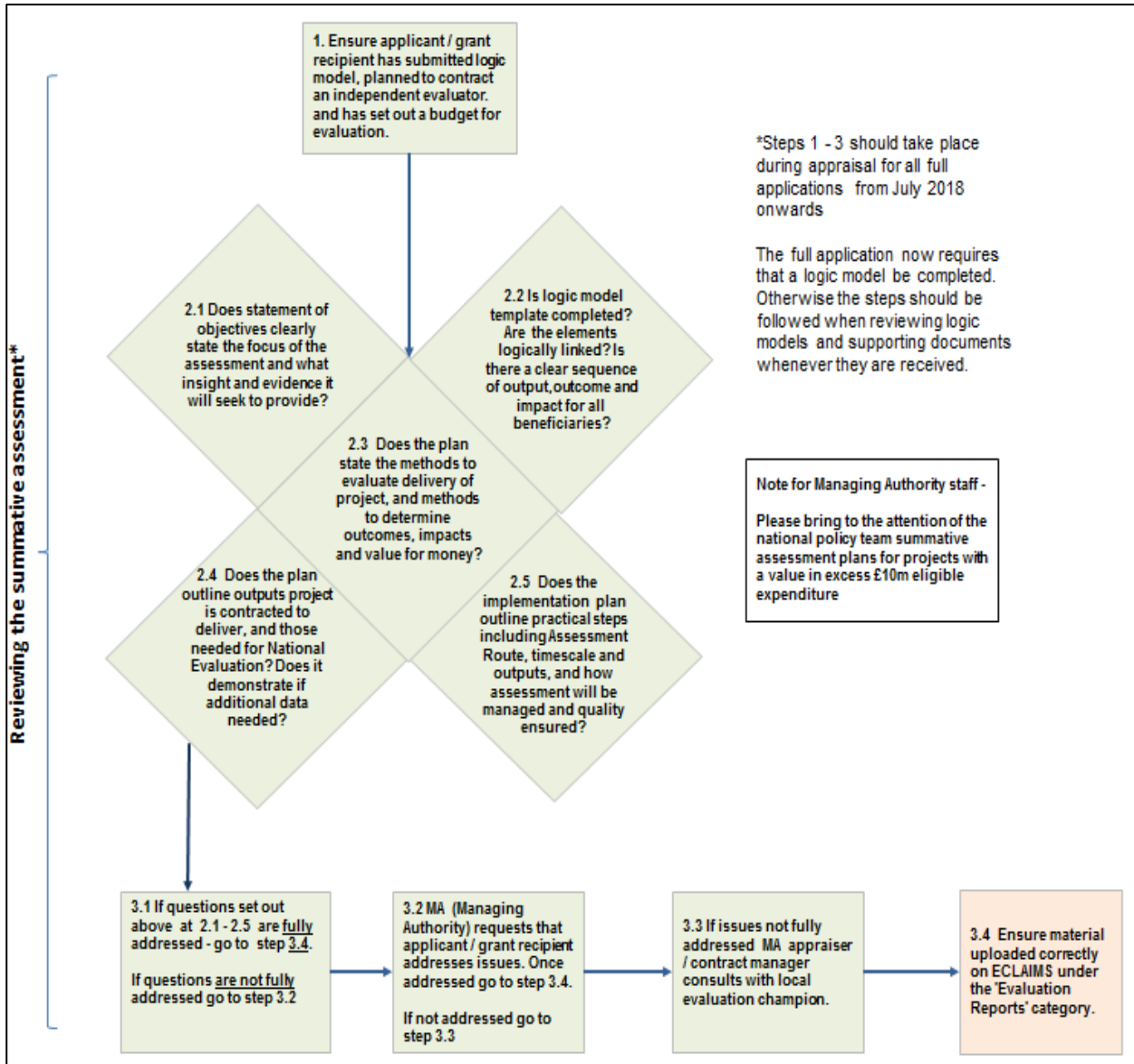
<sup>16</sup> For financial instruments managed by the British Business Bank.

<sup>17</sup> This may take the form of a further interim report, where a final report is not due until a later date.

# Annex 1 – Process Maps

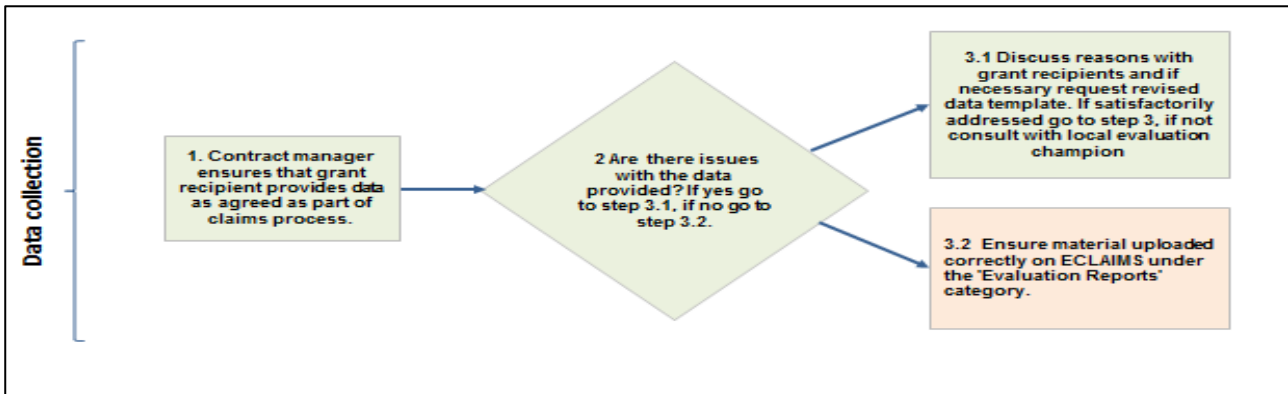
The following process maps set out the steps followed by the ERDF managing authority when reviewing your proposed approach, data collection process and the final report.

## Reviewing your summative assessment proposal



# Annex 1 – Process Maps (continued)

## Data collection (during the claim process)



## Reporting

