# Summary Check List

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| ***Undertaking an appraisal or evaluation or establishing a monitoring framework involves a number of stages. To ensure that all of these are followed this information sheet outlines in general terms what needs to be undertaken for each stage.***  |

**Why is it important?**

It is important that, if appraisals and evaluations are to be done in a consistent way, (and if monitoring frameworks are to provide the information that will inform an eventual evaluation) that the various technical stages involved in each process are followed. This information sheet sets out in very broad terms the key elements of each stage.

**Need more help?**

For further information contact:-

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**SUMMARY STEPS FOR APPRAISAL**

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| --- | --- | --- |
| **Step** | **Issues** | **Checked** |
| **Develop gross impact estimates** |
| Time period set | * Ensure an appropriate time period is set for the EIA
* Ensure a clear base year has been set
 |  |
| Annual impacts presented | * Ensure all impacts are presented on an annual basis
* Ensure all impacts are discounted
 |  |
| Constant prices | * Ensure impact values are presented in a consistent price basis
 |  |
| GVA method | * Check method for assessing GVA has been clearly stated
 |  |
| Employment method | * Check method for assessing jobs has been clearly stated
 |  |
| **Adjust for additionality** |
| Deadweight | * Ensure deadweight has been adjusted for
* Check the range against appropriate benchmarks
 |  |
| Displacement | * Ensure displacement has been adjusted for
* Check the range against appropriate benchmarks
 |  |
| Leakage | * Ensure leakage has been adjusted for
* Check the range against appropriate benchmarks
 |  |
| Multipliers | * Ensure multiplier has been adjusted for
* Check that the multiplier is based on the appropriate sector
* Check the range against appropriate benchmarks
 |  |
| Optimism Bias | * Ensure optimism bias has been adjusted for
* Check the method used to assess optimism bias
 |  |
| Use of standard template | * Check the standard template has been used for additionality calculations
 |  |
| **Develop cost estimates** |
| Annual SE Costs  | * Ensure all appropriate SE costs have been collected and presented on an annual basis
 |  |
| Annual wider public sector costs | * Ensure all appropriate wider costs have been collected and presented on an annual basis
 |  |
| Constant prices | * Check all costs have been converted to a consistent price basis
 |  |
| Apportion Impacts | * Ensure impacts are apportioned based on discounted costs across partners (where relevant)
 |  |
| Impact ratios for milestone years | * Ensure milestone year impact investment ratios have been calculated
 |  |
| Cost per job for milestone years | * Ensure milestone year cost per job estimates have been calculated
 |  |

**SUMMARY STEPS FOR MONITORING**

|  |  |  |
| --- | --- | --- |
| **Step** | **Issues** | **Checked** |
| Ensure that the objectives set for the intervention are SMART | Ensure that the objectives are capable of being monitored that is, they are **S**pecific, **M**easurable, **A**chieveable, **R**elevant and **T**ime-bound  |  |
| Ensure that the objectives have fed into the stages of the Logic Model | The inputs, activities, outputs and outcomes and the ultimate impacts need to be influenced by the intervention’s objectives  |  |
| Develop suitable indicators | Indicators need to be defined for the stages of the logic model that will enable objectives to be measured |  |
| Define what is to be measured by each indicator | Specify for each indicator what is to be measured, by whom and at what time periods |  |
| Ensure that there is a reporting structure in place | As the data for each indicator is collected this needs to be fed back to management so that it is possible to undertake formative evaluation: changing the various stages of the logic model if it seems as if progress is not being made towards objective attainment.  |  |

**SUMMARY STEPS FOR EVALUATION**

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| --- | --- | --- |
| **Step** | **Issues** | **Checked** |
| Rationale for intervention | * Check rationale has been developed based on equity, efficiency or environmental rationale
* Check efficiency rationale refers to the 4 Green Book market failures (information failures, externalities, public goods, market power)
* Check rationale is evidenced from primary research (including beneficiaries)
* Check to see if there is comment on any changes to the rationale – if there are signs of market adjustment or not
* Check to see if the rationale is still valid
 |  |
| Strategic fit | * Check fit with the policy environment has been considered – including core documents – Government Economic Strategy, SE Business plan and others as relevant – such as sector delivery plans, industry strategies, etc
 |  |
| Inputs | * Check all SE costs have been identified
* Check all wider public sector costs have been identified
* Check all private sector costs have been identified
* Check all appropriate leverage ratios have been developed (SE to public, SE to Private, Public to private)
 |  |
| Activities | * Check all SE activities that have been delivered have been considered
 |  |
| Linkages and dependencies | * Check links with other SE support have been considered
* Check links with other provision have been considered
* Check for duplication or complementarities with other provision
 |  |
| Performance monitoring | * Check review of monitoring systems have been considered
* Check monitoring data provides the required information
 |  |
| Usage, quality and demand | * Check levels of usage
* Check satisfaction levels with support
* Check levels of demand have been in line with expectation (or not – noting any reasons for variance)
* Check if demand assessments have been completed and if they are still relevant
 |  |
| Outputs | * Check that outputs have been captured and correctly labelled
* Consider the extent to which these flow through to outcomes and possibly impact
 |  |
| Outcomes | * Check that outcomes have been captured and correctly labelled
* Consider the extent to which these flow through to impact, and/or have come from outputs
 |  |
| Progress against targets | * Check performance against targets and draw out any reasons for variance (both over or under performance)
 |  |
| Impacts | * Check impact assessment has collected impact variables in line with best practice
* Check additionality calculations have been collected and used in line with best practice
* Ensure all costs and impacts are presented on an annual basis and discounted appropriately over time
 |  |
| Value for Money | * Check that economy (cost of inputs) has been considered
* Check that efficiency (inputs leading to desired output) have been considered
* Check that effectiveness (outputs leading to outcomes and/or impacts) has been considered
* Check all benchmarks are appropriate and fair
* Check that all three variables (economy, efficiency and effectiveness) have been considered and the overall view on value for money articulated
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| Key Learning | * Check key learning has been drawn out both for the project and other similar provision
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