

# Compendium of Evaluation and Appraisal Resources



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## Aims of this compendium

The purpose of this document is to pull together as a resource for commissioners and practitioners, a summary of available toolkits and guidance in evaluation and appraisal. The intention is to update this on annual basis including checking web links. If you have any suggestions for tools and guidance that you think are missing please do not hesitate to contact us so that we can incorporate them into the next version.

When using individual tools and guidelines we asked that you reference them in your reports and this compendium.

**TIP!** You can click on the table of contents and it will take you directly to the entry on specific tool or guideline.

## Contents

Toolkits and Guidance.....	6
General.....	6
National Audit Office (2021) Framework to review programmes update.....	6
The Aqua Book: guidance on producing quality analysis for government .....	6
Better Evaluation Collaboration.....	6
Centre for the Evaluation of Complexity Across the Nexus (CECAN) .....	6
CEPS Research Group - Evaluation Toolkit for developing an evaluation strategy .....	7
The Green Book: appraisal and evaluation in central government .....	7
Magenta Book.....	8
OECD Evaluation Criteria.....	8
Evaluation to connect national priorities with the SDGs: A guide for evaluation commissioners and managers.....	8
New South Wales evaluation toolkit.....	9
The probabilistic elicitation of subjective data .....	9
Building an evaluative culture for effective evaluation and results management.....	9
Business, Entrepreneurship and Innovation Support .....	10
BEIS - Business Support Evaluation Framework .....	10
Industry Council Success Measures .....	10
OECD Framework for the Evaluation of SME and Entrepreneurship Policies and Programmes ..	10
Third sector .....	11
Bond Choosing Appropriate Evaluation Methods Tool .....	11
Communications and Campaigns.....	11
Government Communication Service Evaluation Framework 2.....	11
Skills – Financial literacy.....	12
FinCap Evaluation Toolkit.....	12
Health.....	12
Kings College London Evaluation Practice Toolkit .....	12
NHS Evaluation Toolkit: Evaluation Works .....	12
Ontario Centre for Excellence in Child and Youth Health Program evaluation toolkit: Tools for planning, doing and using evaluation .....	12
Mental health services: cost-effective commissioning.....	12
UK Standards for Public Involvement in Research.....	13

## *Compendium of Evaluation and Appraisal Resources*

Scottish Health Council: Evaluating Participation: a guide and toolkit for health and social care practitioners.....	13
Cluster development.....	13
TACTICS Impact evaluation of cluster-based policies .....	13
The Impact Evaluation of Cluster Development Programs Methods and Practices.....	14
Social Network Analysis Methodologies for the Evaluation of Cluster Development Programs .	14
Widening participation .....	14
The Pell Institute Evaluation Toolkit .....	14
Infrastructure.....	14
Cost Estimating Guidance .....	14
Social Value .....	15
Social Value Portal .....	15
Transport.....	16
Cost-Benefit Evaluation Tools on the Impacts of Transport Infrastructure Projects on Urban Form and Development .....	16
The Evaluation of Transportation Investment Projects .....	17
Tavistock Institute (2010) Guidance for Evaluation in the Transport Sector.....	17
Development of Guidance on Better Attribution in Transport Impact Evaluations.....	17
Logic mapping: hints and tips for better transport evaluations. ....	18
Knowledge Transport Hub .....	18
Monitoring and Evaluation Framework for Local Authority Major Schemes (2012).....	18
Evaluation of Externalities in Transport Projects (2003) .....	19
The British Department for Transport Procedures for Dealing with Optimism Bias in Transport Planning Guidance Document June 2004 .....	19
Energy and Climate Change .....	19
Green Book supplementary guidance: valuation of energy use and greenhouse gas emissions for appraisal.....	19
Green Book supplementary guidance: environment.....	20
Resource .....	20
Scottish Enterprise Evaluation Online.....	20
ADCS (2013) An Introduction to Research Governance .....	21
Approaches .....	22
AEA Topical Interest Groups .....	27
CECAN .....	28
Statistical Sources .....	29

## *Compendium of Evaluation and Appraisal Resources*

Green Book Supplementary Guidance.....	30
Additionality.....	30
Agile Digital and IT Projects .....	30
Asset Valuation .....	31
Competition .....	31
Crime.....	32
Discounting .....	32
Energy use and greenhouse gas emissions for appraisal.....	33
Enabling a Natural Capital Approach (ENCA).....	34
Environment.....	35
Health.....	36
Local Government.....	37
Local Partnerships.....	37
Major projects.....	38
Multi-criteria decision making .....	40
Optimism bias .....	40
Regeneration and the Regions.....	40
Project/Programme Outcome Profile .....	41
Risk.....	41
Stated preference techniques.....	42
Transport.....	42
Valuing Infrastructure Spend .....	42
Wellbeing .....	43
• Wellbeing Guidance for Appraisal: Supplementary Green Book Guidance.....	43
• Wellbeing discussion paper: monetisation of life satisfaction effect sizes .....	43

Last Updated	Summer 2021	Next update due	Summer 2022
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## Toolkits and Guidance

### General

Name	<a href="#">National Audit Office (2021) Framework to review programmes update</a>
Description	This update was published in April 2021. The Framework suggests key questions to ask when reviewing major programmes which form a large proportion of government's expenditure. In 2020 alone the centrally monitored portfolio of high-value, high-risk projects (Government Major Projects Portfolio) had a combined whole-life cost of £448 billion. Major projects and programmes can include the construction of roads, railways and power stations, through to transforming how public bodies to fulfil their responsibilities and are critical to how government delivers public services and supports growth and sustainability.
Focus (policy areas)	<a href="#">Energy and environment</a> , <a href="#">Government, efficiency and transparency</a> , <a href="#">Infrastructure</a> , <a href="#">Transport</a>

Name	<a href="#">The Aqua Book: guidance on producing quality analysis for government</a>
Description	Following the ' <a href="#">Review of quality assurance of government analytical models</a> ', a cross-departmental working group on analytical quality assurance was established. The Aqua Book is one of their products and is a good practice guide to those working with analysis and analytical models.
Focus (policy areas)	All

Name	<a href="#">Better Evaluation Collaboration</a>
Description	Better Evaluation is an international collaboration to improve evaluation practice and theory by sharing and generating information about options (methods or processes) and approaches. The collaboration website provides guidance on carrying out different aspects of an evaluation and provide descriptions of evaluation methodologies and approaches.
Focus (policy areas)	All.

Name	<a href="#">Centre for the Evaluation of Complexity Across the Nexus (CECAN)</a>
Description	CECAN has produced a variety of resources for dealing with complexity that are available under a <a href="#">Creative Commons CC BY 4.0 license</a> .  CECAN was funded by government to develop approaches that are better able to deal with complexity. Resources you can draw upon from CECAN include training Policy and Practice Note Series and toolkits. We provide more specific information on these resources below.
Focus (policy areas)	All – though examples of applications of new approaches to evaluations that deal with complexity relate to government departments funding methodological development such as DEFRA and BEIS.

## Compendium of Evaluation and Appraisal Resources

Name	<a href="#">CEPS Research Group - Evaluation Toolkit for developing an evaluation strategy</a>
Description	This interactive toolkit works best when downloaded to your computer and used whilst you are online.
Focus (policy areas)	All

Name	<a href="#">The Green Book: appraisal and evaluation in central government</a>
Description	<p>The Green Book is guidance issued by HM Treasury on how to appraise policies, programmes, and projects. It also provides guidance on the design and use of monitoring and evaluation before, during and after implementation. There is a wide range of <a href="#">supplementary Green Book guidance</a> giving more information on particular issues and on applying the Green Book in specific contexts - for example, valuing environmental effects and assessing competition effects. These are:</p> <ul style="list-style-type: none"> <li>• <a href="#">Agile digital and IT projects (clarification of guidance)</a></li> <li>• <a href="#">Asset valuation</a></li> <li>• <a href="#">Competition</a></li> <li>• <a href="#">Crime</a></li> <li>• <a href="#">Discounting</a></li> <li>• <a href="#">Energy use and greenhouse gas emissions</a></li> <li>• <a href="#">Environment</a></li> <li>• <a href="#">Health</a></li> <li>• <a href="#">Multi-criteria decision analysis</a></li> <li>• <a href="#">Optimism bias</a></li> <li>• <a href="#">Regeneration and the regions</a></li> <li>• <a href="#">Risk</a></li> <li>• <a href="#">Stated preference techniques</a></li> <li>• <a href="#">Supporting public service transformation (local partnerships)</a></li> <li>• <a href="#">Transport</a></li> <li>• <a href="#">Valuing infrastructure spend</a></li> </ul> <p>There are specific guides for developing business cases for:</p> <ul style="list-style-type: none"> <li>• <a href="#">Projects</a></li> <li>• <a href="#">Programmes</a></li> </ul> <p>Additional guidance is available for the <a href="#">approval and assurance of major projects</a>. <a href="#">Templates and checklists</a> are available to assist practitioners and reviewers in the preparation and assessment of business cases. The decision process for progressing regulatory proposals is subject to guidance from the <a href="#">Better Regulation Executive (BRE)</a> of the <a href="#">Department for Business, Energy &amp; Industrial Strategy (BEIS)</a> who are responsible for the Impact Assessment process (including the provision of templates and guidance).</p>
Focus (policy areas)	All

## Compendium of Evaluation and Appraisal Resources

Name	<a href="#">Magenta Book</a>
Description	The Magenta Book provides guidance on what to think about when designing an evaluation. It explains how results can be interpreted and presented, and what should be considered in this process. It outlines how thinking about evaluation before and during policymaking can improve the quality of results produced to evaluate that policy. While originally developed for central government it has been adopted as a useful resource for policymakers in local government, charities and the voluntary sectors. It sets out the benefits of evaluation for policymakers and the steps they need to take. It provides detailed guidance on planning and undertaking an evaluation aimed at analysts and policymakers and explains how to answer evaluation research questions using different types of approaches. There are several supplements to the Magenta Book including <a href="#">Quality in policy impact evaluation (QPIE)</a> and <a href="#">Quality in qualitative evaluation (QQE)</a>
Focus (policy areas)	All

Name	<a href="#">OECD Evaluation Criteria</a>
Description	<p>The OECD DAC Network on Development Evaluation (EvalNet) has defined six evaluation criteria</p> <ul style="list-style-type: none"> <li>• Relevance - is the intervention doing the right things?</li> <li>• Coherence - how well does the intervention fit?</li> <li>• Effectiveness - is the intervention achieving its objectives?</li> <li>• Efficiency - how well are resources being used?</li> <li>• Impact - what difference does the intervention make?</li> <li>• Sustainability - will the benefits last?</li> </ul> <p>These criteria provide a normative framework used to determine the merit or worth of an intervention (policy, strategy, programme, project or activity). They serve as the basis upon which evaluative judgements are made.</p> <p>OECD (2021), Applying Evaluation Criteria Thoughtfully, OECD Publishing, Paris, <a href="https://doi.org/10.1787/543e84ed-en">https://doi.org/10.1787/543e84ed-en</a></p>
Focus (policy areas)	All

Name	<a href="#">Evaluation to connect national priorities with the SDGs: A guide for evaluation commissioners and managers</a>
Description	This guide is described as a 'real life' introduction to evaluating progress on the 2030 Agenda and Sustainable Development Goals (SDGs) by its authors. It is based on emerging country experience from North and South, as well as wider past learning on sustainable development evaluation. Rather than a one-size-fits-all manual, this guide seeks to support evaluation commissioners, managers and professional evaluators to create tailored plans and approaches to SDG evaluation. It argues that a successful evaluation

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Name	<a href="#"><u>Evaluation to connect national priorities with the SDGs: A guide for evaluation commissioners and managers</u></a>
	<p>must both be built around existing national context and underpinned by the principles of the 2030 Agenda. To support customised local or national journeys towards sustainable development, this guide:</p> <ul style="list-style-type: none"> <li>• Lays out the main steps involved in scoping, designing and conducting an SDG evaluation</li> <li>• Discusses the ways in which SDG evaluation processes and results can be used to support national progress on sustainable development</li> <li>• Identifies key SDG evaluation characteristics and approaches, and</li> <li>• Looks at how SDG evaluation can be integrated into national monitoring and evaluation systems.</li> </ul>
Focus (policy areas)	All

Name	<a href="#"><u>New South Wales evaluation toolkit</u></a>
Description	<p>Identified as a good practice example by the Better Evaluation collaboration. It is available on their website. It is a web-based toolkit that helps program managers in New South Wales (Australia) government agencies manage evaluations (including those undertaken by internal or external evaluators, or by a combination of both). The toolkit has been developed by the Better Evaluation team (working in conjunction with ARTD Consultants, Sydney) to provide a simple front-end for program managers that links to the wider range of resources on the Better Evaluation site. It provides seven colour coded key steps and subsequent sub-steps for planning and implementing a program evaluation project.</p>
Focus (policy areas)	All – sets out steps for planning and implementing evaluations.

Name	<a href="#"><u>The probabilistic elicitation of subjective data</u></a>
Description	<p>This report supplements the government’s <a href="#"><u>Aqua Book (Analytical Quality Assurance)</u></a>. It presents an established methodology and highlights best practice for representing the uncertainty surrounding experts’ subjective judgements. It gives decision-makers a means of assessing the levels of risk that they are taking by using expert judgement to inform the decision-making process.</p>
Focus (policy areas)	All

Name	<a href="#"><u>Building an evaluative culture for effective evaluation and results management</u></a>
Description	<p>This brief sets out practical actions that an organization can take to build and support an evaluative culture, where information on performance is deliberately sought in order to learn how to better manage and deliver programmes and services.</p>
Focus (policy areas)	All

## Business, Entrepreneurship and Innovation Support

Name	<a href="#"><u>BEIS - Business Support Evaluation Framework</u></a>
Description	This framework is intended to assist policy makers, analysts, evaluators and delivery bodies to understand what standards are expected and to maximise comparability across evaluations of different business support programmes. Programmes vary in nature. Therefore, it is important to generate evidence which is comparable across multiple ways of addressing the same problem. Evidence generated from these evaluations will help build up a picture of the relative impact and cost-effectiveness of these programmes and their component parts, to inform future policy decisions.
Focus (policy areas)	Business Support

Name	<a href="#"><u>Industry Council Success Measures</u></a>
Description	A key element of the Council's work is to recommend a series of success measures for the Industrial Strategy. The Council has developed a set of metrics that cover the key elements of the Industrial Strategy – the <a href="#"><u>Foundations</u></a> , the <a href="#"><u>Grand Challenges</u></a> , and the <a href="#"><u>Sector Deals</u></a> .
Focus (policy areas)	Business Support

Name	<a href="#"><u>OECD Framework for the Evaluation of SME and Entrepreneurship Policies and Programmes</u></a>
Description	This Framework document provides a forum for the international exchange of knowledge on best practice evaluation of Small and Medium-sized Enterprise (SME) and Entrepreneurship policy. Its target readership is public administrators and policymakers concerned with the formulation, development and implementation of SME policy, together with professionals concerned with evaluation of such policies. It seeks to be concrete, explicit, practical and accessible, drawing upon examples from a wide range of OECD countries.
Focus (policy areas)	Business support and enterprise development

### Third sector

Name	<a href="#">Bond Choosing Appropriate Evaluation Methods Tool</a>
Description	<p>The tool is available as a spreadsheet, with an accompanying guide explaining how to use the tools and providing further information on the evaluation methods it covers. It provides results that help understand which methods will and will not be appropriate to use. The choice of evaluation methods ultimately requires your expert judgement, but this tool can be used to:</p> <ul style="list-style-type: none"> <li>• Develop a greater understanding of evaluation methods and their characteristics</li> <li>• Help inform the choice of evaluation methods for a specific intervention</li> <li>• Help inform the design of an intervention to increase its “evaluability”</li> </ul> <p>Methodological appropriateness is a challenging and contested area – this tool has been developed under a Creative Commons license with the intention that it can be further developed and improved upon by anyone. The tool was developed with funding from the Department for International Development and Comic Relief. Additional Bond resources on this issue include <a href="#">“Impact Evaluation: A Guide for Commissioners and Managers”</a> by Elliot Stern, Bond’s practical <a href="#">“Tips on Evaluation Terms of Reference”</a>, and the <a href="#">Evidence Principles and Checklist</a> for determining quality of evidence.</p>
Focus (policy areas)	Third sector

### Communications and Campaigns

Name	<a href="#">Government Communication Service Evaluation Framework 2</a>
Description	<p>It is important to monitor and evaluate campaign activities effectively to show how they contribute towards successful policy outcomes, providing clear evidence of impact and value for money. Evaluation Framework 2.0 provides a structure for a monitoring and evaluation plan including outputs, out-takes, outcomes and organisational impact. It recommends standard evaluation measures that you can use to:</p> <ul style="list-style-type: none"> <li>• develop SMART (Specific, Measurable, Attainable, Relevant, Time-bound) communication objectives and Key Performance Indicators (KPIs)</li> <li>• use evaluation to improve the effectiveness of all communication and campaign activity</li> <li>• share and promote best practice evaluation techniques across GCS</li> </ul>
Focus (policy areas)	All

## Skills – Financial literacy

Name	<a href="#">FinCap Evaluation Toolkit</a>
Description	This toolkit provides resources to help organisations generate, use and share better evidence about financial capability. It covers: <ul style="list-style-type: none"> <li>• Understand your programme</li> <li>• Measuring a change</li> <li>• Learn and share</li> <li>• <a href="mailto:www.whatworks@fincap.org.uk">www.whatworks@fincap.org.uk</a></li> </ul>
Focus (policy areas)	Financial capability which is linked to inclusion

## Health

Name	<a href="#">Kings College London Evaluation Practice Toolkit</a>
Description	Developed in partnership with Health Education England.
Focus (policy areas)	Health

Name	<a href="#">NHS Evaluation Toolkit: Evaluation Works</a>
Description	Developed by Bristol, Somerset, and South Gloucester NHS Commissioning group.
Focus (policy areas)	Health care

Name	<a href="#">Ontario Centre for Excellence in Child and Youth Health Program evaluation toolkit: Tools for planning, doing and using evaluation</a>
Description	This toolkit contains resources for planning, doing, and using program evaluation in healthcare for young people. It includes worksheets designed to help decide what is important and feasible formulating and implementing an evaluation project.
Focus (policy areas)	Health

Name	<a href="#">Mental health services: cost-effective commissioning</a>
Description	Provides return on investment resources to support local commissioners in designing and implementing mental health and wellbeing support services.
Focus (policy areas)	Health

Name	<a href="#">UK Standards for Public Involvement in Research</a>
Description	The UK Standards for Public Involvement are designed to improve the quality and consistency of public involvement in research. Developed over three years by a <a href="#">UK-wide partnership</a> , the standards are a description of what good public involvement looks like and encourage approaches and behaviours that are the hallmark of good public involvement such as flexibility, sharing and learning and respect for each other. The standards are for everyone doing health or social care research and have been tested by over 40 individuals, groups and organisations during a year-long pilot programme. They provide guidance and reassurance for users working towards achieving their own best practice.
Focus (policy areas)	Health

Name	<a href="#">Scottish Health Council: Evaluating Participation: a guide and toolkit for health and social care practitioners</a>
Description	Evaluating Participation guide and toolkit for health and social care practitioners is a tool for supporting the evaluation of public involvement and participation in health services.
Focus (policy areas)	Health and care but could be transferable to other sectors.

## Cluster development

Name	<a href="#">TACTICS Impact evaluation of cluster-based policies</a>
Description	Transnational Alliance of Clusters Towards Improved Cooperation Support's report provides a practical framework for impact evaluation of cluster-based policies targeting policy makers and other cluster stakeholders. It is supported and explained by case studies and helps to develop the next generation of cluster policies. It gives support for <ul style="list-style-type: none"> <li>• Learning on methodologies and case examples on evaluation of cluster related policies</li> <li>• Involving all levels (companies, cluster organisations and policy makers) affected by the evaluation process</li> <li>• Benchmarking with other regions</li> <li>• Developing evaluation methodologies</li> <li>• Providing good interpretation of and response to evaluation results.</li> </ul>
Focus (policy areas)	Development of industrial clusters

## Compendium of Evaluation and Appraisal Resources

Name	<a href="#">The Impact Evaluation of Cluster Development Programs Methods and Practices</a>
Description	This report was written for the Inter-American Development Bank and includes examples of evaluations of different types of evaluations of cluster development.
Focus (policy areas)	Development of industrial clusters

Name	<a href="#">Social Network Analysis Methodologies for the Evaluation of Cluster Development Programs</a>
Description	This report was written for the Inter-American Development Bank and describes the use of social network analysis as an evaluation methodology in cluster development.
Focus (policy areas)	Development of industrial clusters

### Widening participation

Name	<a href="#">The Pell Institute Evaluation Toolkit</a>
Description	The Pell Institute Evaluation Toolkit is designed for professionals who work with college outreach programs that are interested in conducting small scale, high quality evaluations of their programs. Program evaluation should help determine the effectiveness of program practices and generate recommendations for program improvement, refinement, and success. This is particularly important in the era of accountability where funding is often tied to results. The Evaluation Toolkit covers: <ul style="list-style-type: none"> <li>• Develop a comprehensive plan for your program evaluation</li> <li>• Identify data collection methods needed to answer your research questions</li> <li>• Work with and analyse data to determine the effects of your program practices and services</li> <li>• Use your findings to improve and/or advocate for your program</li> </ul>
Focus (policy areas)	Higher Education and Inclusion

### Infrastructure

Name	<a href="#">Cost Estimating Guidance</a>
Web link	<a href="https://www.gov.uk/government/publications/cost-estimating-guidance">https://www.gov.uk/government/publications/cost-estimating-guidance</a> <a href="#">Cost Estimating Guidance</a>

## Compendium of Evaluation and Appraisal Resources

Name	<b>Cost Estimating Guidance</b>
	<a href="#">Cost Estimating Guidance</a> <a href="#">Cost Estimating Requirements</a>
Description	<p>Published 17 March 2021, this guidance sets out a best practice approach to the development of cost estimates for infrastructure projects and programmes in the UK.</p> <p>Applying the IPA’s priorities of principles, people and performance this document covers:</p> <ul style="list-style-type: none"> <li>• Principles for best practice cost estimating outlining the fundamentals that underpin a good cost estimate to get the basics right and address common pitfalls</li> <li>• Roles and responsibilities in producing, reviewing and owning the cost estimate to make informed decisions</li> <li>• Cost estimating process that should be followed to produce a robust, assured and transparent cost estimates which can be used with confidence to support successful delivery.</li> </ul> <p>This guidance document is part of a suite of documents, including:</p> <ul style="list-style-type: none"> <li>• Cost estimating guidance – setting out a best practice approach to cost estimation for all team members</li> <li>• Cost estimating requirements – a technical guide setting out the detailed requirements for cost estimating teams and professionals to produce and assure cost estimates</li> <li>• Training – to support professional development and promote the adoption of consistent methods</li> </ul> <p>It is targeted at those involved in the sponsorship, leadership and delivery of projects to support better quality project cost estimates and improved decision making.</p>
Focus (policy areas)	Infrastructure

## Social Value

Name	<b><a href="#">Social Value Portal</a></b>
Description	<p>Social Value Portal aims to promote better business and community wellbeing through the integration of social value into day-to-day business. It is an online solution that allows organisations to measure and manage the contribution that their organisation and supply chain makes to society, according to the principles laid out within the <a href="#">Public Services (Social Value) Act 2012</a>. The Portal allows organisations to report both non-financial and financial data, and rewards organisations for doing “more good” in the community. We measure environmental, social and economic activities and help to identify and measure the additional social value delivered through a project in terms that are meaningful to customers.</p>

## Compendium of Evaluation and Appraisal Resources

Name	<a href="#">Social Value Portal</a>
	<p>Social Value Portal launched the <a href="#">National TOMs Framework</a> in 2017, alongside the <a href="#">National Social Value Taskforce</a>. The Framework provides a minimum reporting standard for measuring social value. It provides a way for organisations to procure, measure, manage and maximise their social value, whether they are just starting out on their journey to embed it into their processes, or if they are already well advanced, to integrate the standards into their measurement approach as a minimum</p> <p>The National TOMs Framework has been designed around 5 principal issues, 20 Core Outcomes and 48 Core Measures:</p> <p><b>Themes</b> – The overarching strategic themes that an organisation is looking to pursue</p> <p><b>Outcomes</b> – The objectives or goals that an organisation is looking to achieve that will contribute to the Theme.</p> <p><b>Measures</b> – The measures that can be used to assess whether these Outcomes have been achieved. For the National TOMs Framework, these are action based and represent activities that a supplier could complete to support a particular desired outcome.</p>
Focus (policy areas)	Socially inclusive growth

## Transport

Name	<a href="#">Cost-Benefit Evaluation Tools on the Impacts of Transport Infrastructure Projects on Urban Form and Development</a>
Description	<p>Summarises the literature on evaluating the impacts of key transport infrastructure provisions on urban form and peri-urban development in European Union (EU) member countries. Key impacts and linkages of transportation provision on urban development trends are identified. These include direct impacts of transportation infrastructure provision, socio-economic impacts, transportation network effects and energy and environmental impacts.</p> <p>Among the evaluation methodologies, cost-benefit analysis (CBA) is the most common approach for transport policy impact assessments both in the national project appraisal guidelines and in scientific analysis and research. Considering its extensive usage in the appraisal work, the main focus will be on the evaluation tools used within the CBA approach. The corresponding data requirements for the valuation of indicators will be also discussed in order to assess the impacts of costs and benefits of transport investments, particularly rapid rail investments, on urban form and development.</p>
Focus (policy areas)	Transport

## Compendium of Evaluation and Appraisal Resources

Name	<a href="#"><u>The Evaluation of Transportation Investment Projects</u></a>
Description	eBook by Joseph Berechman which includes chapters on: <ul style="list-style-type: none"> <li>• Objectives, Scope, and Structure</li> <li>• The Policy Framework of Project Evaluation</li> <li>• Welfare Foundations of Project Appraisal</li> <li>• Transportation Benefits from Infrastructure Improvements</li> <li>• Measuring the Costs of Transportation Investment Projects</li> <li>• Methods of Project Cost-Benefit Analysis</li> <li>• Traffic Flow, Congestion, and Infrastructure Investment</li> <li>• Measurement of Benefits from Transportation Improvements: Computational Issues</li> <li>• Risk and Uncertainty in Transportation Project Evaluation</li> <li>• Financing Transportation Investment Projects</li> <li>• Transportation Improvements and Equity</li> <li>• Environmental and Safety Externalities</li> <li>• Transportation Investments and Economic Development</li> <li>• Alternative Methods of Project Selection</li> <li>• Why Are Inferior Transportation Investment Projects Selected?</li> </ul>
Focus (policy areas)	Transport

Name	<a href="#"><u>Tavistock Institute (2010) Guidance for Evaluation in the Transport Sector</u></a>
Description	This guidance was published in 2010. It was developed by the Tavistock Institute, in partnership with AECOM and the Department for Transport for those commissioning and undertaking impact evaluations in the transport sector. It provides a step by step guide for considering the most suitable evaluation approach to take, taking into account the type of intervention being delivered, the wider context within which it is taking place and the evidence requirements. It is not intended to be prescriptive but provide a flexible framework for selecting the best overarching evaluation approach. Although primarily designed for the transport sector, those commissioning and undertaking evaluation in other sectors may also find this guidance useful. Although not covering all aspects of evaluation, it does provide an in-depth comparison of the strengths and weaknesses of different evaluation designs and the circumstances under which each might be chosen, focusing particularly on simple outcome, experimental and theory-based approaches.
Focus (policy areas)	Transport

Name	<a href="#"><u>Development of Guidance on Better Attribution in Transport Impact Evaluations</u></a>
Description	This project emerged from the Department of Transport's need to increase the number and quality of transport evaluations. To do this, a better understanding of how to attribute impacts to transport policies and schemes was required.

## Compendium of Evaluation and Appraisal Resources

Name	<a href="#"><u>Development of Guidance on Better Attribution in Transport Impact Evaluations</u></a>
	Attribution can be addressed in more than one way. Depending on their circumstances, transport schemes may be better evaluated through an experimental approach or a theory-based approach. This project aims to identify what these circumstances are; to help analysts choose the right approach and achieve better attribution in impact evaluations, and consequently improve understanding of the impacts of transport policies, programmes, and schemes. The main output from this work will be a set of guidelines which will take readers through a six-step process to help them identify the most suitable evaluation approach for the intervention they are looking to evaluate.
Focus (policy areas)	Transport

Name	<a href="#"><u>Logic mapping: hints and tips for better transport evaluations.</u></a>
Description	Study commissioned by Department of Transport to help improve use of logic modelling.
Focus (policy areas)	Transport

Name	<a href="#"><u>Knowledge Transport Hub</u></a>
Description	The Transport Knowledge Hub is a free online resource aimed at providing Local Enterprise Partnerships (LEPs), local authorities and other local decision makers with tools and information to make transport investments that drive sustainable and inclusive local economic growth. It offers best practice guidance relating to the selection, development, and delivery of transport investments, as well as case studies and the most up-to-date relevant news
Focus (policy areas)	Transport

Name	<a href="#"><u>Monitoring and Evaluation Framework for Local Authority Major Schemes (2012)</u></a>
Description	The guidance in this document is primarily aimed at Local Authority Major Schemes that have been approved for funding as part of the 'Supported Pool' in 2010 or as part of the 'Development Pool' process in late 2011 and early 2012. 2.2 This framework reflects a move away from a blanket approach to evaluation, in which all Local Authority Major Schemes were expected to undertake a full evaluation of their scheme, to a more proportionate and targeted approach. Three tiers of monitoring and evaluation are being introduced: <ul style="list-style-type: none"> <li>• Standard monitoring: All schemes will be required to monitor and report on a standard set of measures;</li> <li>• Enhanced monitoring: Further measures will be monitored and reported for schemes costing more than £50m or which are anticipated to have a significant impact on particular indicators (e.g. local air quality);</li> </ul>

## Compendium of Evaluation and Appraisal Resources

Name	<a href="#">Monitoring and Evaluation Framework for Local Authority Major Schemes (2012)</a>
	<ul style="list-style-type: none"> <li>Fuller evaluation: A selection of schemes will be required to undertake a fuller evaluation which consists of assessments of the delivery process, outcomes and impacts and value for money. These schemes have been selected based on the scale of investment, the nature of the scheme and the benefits to be gained from the evaluation evidence generated. Best practice evaluation guidance will be issued to support Local Authorities design fuller evaluations. It replaces previous evaluation guidance and will be available to scheme promoters in due course.</li> </ul>
Focus (policy areas)	Transport

Name	<a href="#">Evaluation of Externalities in Transport Projects (2003)</a>
Description	The purpose of this paper is to illustrate the variety of issues and methods used to treat different types of externalities in transportation projects and to ask how these different approaches and values can affect project evaluation and ranking. Of special interest is the question whether the elimination of externalities and different procedures favour one type of transportation investment over the other, and specifically rail projects versus highway projects. To this point the paper mostly poses the questions with a focus on issues where bias can result.
Focus (policy areas)	Transport

Name	<a href="#">The British Department for Transport Procedures for Dealing with Optimism Bias in Transport Planning Guidance Document June 2004</a>
Description	The main aims of this Guidance Document are to: <ul style="list-style-type: none"> <li>provide empirically based optimism bias up-lifts for selected reference classes of transport infrastructure projects; and</li> <li>provide guidance on using the established optimism bias uplifts to produce more realistic forecasts for the individual project's capital expenditures</li> </ul>
Focus (policy areas)	Transport

## Energy and Climate Change

Name	<a href="#">Green Book supplementary guidance: valuation of energy use and greenhouse gas emissions for appraisal</a>
Description	Supplementary guidance to Treasury's Green Book providing government analysts with rules for valuing energy usage and greenhouse gas emissions. BEIS has produced guidance that provides government analysts with a set of rules for valuing energy usage and greenhouse gas emissions.

## Compendium of Evaluation and Appraisal Resources

Name	<a href="#">Green Book supplementary guidance: valuation of energy use and greenhouse gas emissions for appraisal</a>
	<p>The guidance provides practical information about implementation of the carbon valuation methodology for UK policy appraisal. It also outlines the reporting requirements for compliance with carbon budgets and guidance on how to calculate the cost effectiveness of climate change policies (refer to chapter 5 of the 'Valuation of energy use' document above for full details on cost effectiveness).</p> <p>This guidance supplements the HM Treasury: Green Book, which provides general guidance on how to conduct appraisal and evaluation.</p> <ul style="list-style-type: none"> <li>• <a href="#">Valuation of energy use and greenhouse gas emissions for appraisal</a></li> <li>• <a href="#">Background documentation for guidance on valuation of energy use and greenhouse gas emissions</a></li> <li>• <a href="#">Guidance for using the toolkit</a></li> <li>• <a href="#">IAG spreadsheet toolkit for valuing changes in greenhouse gas emissions</a></li> <li>• <a href="#">Data tables 1 to 19: supporting the toolkit and the guidance</a></li> <li>• <a href="#">Template for reporting emissions savings</a></li> </ul>
Focus (policy areas)	Energy

Name	<a href="#">Green Book supplementary guidance: environment</a>
Description	An important recommendation in this guidance is the use of the ecosystem services framework. Using this framework ensures that the full range of environmental impacts from a proposed policy or project is included in policy appraisal.
Focus (policy areas)	Environment

## Resource

Name	<a href="#">Scottish Enterprise Evaluation Online</a>
Description	<p>Evaluations Online is a publicly accessible collection of evaluation and research reports from Scottish Enterprise. The reports cover all aspects of Scottish Enterprise's economic development activities and are available for download at no cost.</p> <ul style="list-style-type: none"> <li>• <a href="#">Accounting for environmental impacts in policy appraisal</a></li> <li>• <a href="#">Accounting for the effects of climate change</a></li> <li>• <a href="#">Introductory guide to the valuation of ecosystem services</a></li> </ul>
Focus (policy areas)	Environment

## *Compendium of Evaluation and Appraisal Resources*

Name	<a href="#">ADCS (2013) An Introduction to Research Governance</a>
Description	This Guide provides an introduction to research governance and outlines what research governance is, why it is important, and summarises the current national and regional processes. It is intended for anyone commissioning or undertaking research within children’s services, briefly discussing the different principles that underpin research governance in adults’ services.
Focus (policy areas)	Children and Adult Services

## Approaches

### **Source:** Better Evaluation Collaboration

Better Evaluation collaboration defines 'Approaches as ... an integrated package of options (methods or processes). For example, 'Randomized Controlled Trials' (RCTs) use a combination of the options random sampling, control group and standardised indicators and measures. Evaluation approaches have often been developed to address specific evaluation questions or challenges. For example, the *Contribution Analysis* approach has been developed to address questions about the feasibility of concluding that an intervention has contributed to an outcome in circumstances where a direct causal relationship is difficult to demonstrate.'

The Better Evaluation Collaboration identified the following approaches and have provided the following short descriptors. For approaches underlined there is a hyperlink to a more detailed description on the Better Evaluation website. We have added to the approaches methods we identified in partnership with SQW in a study commissioned by Research England on identifying novel evaluation methods for assessing knowledge exchange from universities. This study was undertaken after the mapping of approaches by Better Evaluation Collaboration. We have also included approaches highlighted in the revised Magenta Book.

Appreciative Inquiry A strengths-based approach designed to support ongoing learning and adaptation by identifying and investigating outlier examples of good practice and ways of increasing their frequency.

Beneficiary Assessment An approach that focuses on assessing the value of an intervention as perceived by the (intended) beneficiaries, thereby aiming to give voice to their priorities and concerns.

Case study A research design that focuses on understanding a unit (person, site or project) in its context, which can use a combination of qualitative and quantitative data.

Causal Link Monitoring An approach designed to support ongoing learning and adaptation, which identifies the processes required to achieve desired results, and then observes whether those processes take place, and how.

Collaborative Outcomes Reporting An impact evaluation approach based on contribution analysis, with the addition of processes for expert review and community review of evidence and conclusions.

Contribution Analysis An impact evaluation approach that iteratively maps available evidence against a theory of change, then identifies and addresses challenges to causal inference.

Critical System Heuristics An approach used to surface, elaborate, and critically consider the options and implications of boundary judgments, that is, the ways in which people/groups decide what is relevant to what is being evaluated.

Democratic Evaluation Various ways of doing evaluation in ways that support democratic decision making, accountability and/or capacity.

Developmental Evaluation An approach designed to support ongoing learning and adaptation, through iterative, embedded evaluation.

Dynamic Pattern Synthesis (DPS) is a method that assumes cases (like people, businesses, organisations, countries) are entities that have dynamic and relational connections with each other, in addition to shared external pressures. Over time, they therefore need to be considered for their changing similarities and dissimilarities in relation to each other. Like other case-based methods, the main strength of the approach is its ability to treat cases as real and discrete entities, rather than defining them as ideal types based on average or typical case scores. (Magenta Book)

Empowerment Evaluation A participatory approach designed to provide groups with the tools and knowledge so they can monitor and evaluate their own performance.

Generative causation designs. e.g. Realist evaluation, Contribution analysis. Articulates an intervention theory then seeks to test this theory empirically to investigate whether, why or how the policy causes or contributed to observed results and to see if alternative explanations can be ruled out. Includes: causal mechanism designs that focus on identifying and confirming the underlying (decision making) mechanisms, and causal process designs that focus on identifying and testing possible causal processes or chains. (Magenta Book)

Horizontal Evaluation An approach to learning and improvement that combines self-assessment by local participants and external review by peers.

Innovation History A particular type of case study used to jointly develop an agreed narrative of how an innovation was developed, including key contributors and processes, to inform future innovation efforts.

Institutional Histories A particular type of case study used to create a narrative of how institutional arrangements have evolved over time and have created and contributed to more effective ways to achieve project or program goals.

Most Significant Change Approach primarily intended to clarify differences in values among stakeholders by collecting and collectively analysing personal accounts of change.

Narrative methods - Story telling - Tacit, experience-based knowledge and emotional responses emerge more easily in stories than in more structured interviews. Storytelling encourages people to make sense of their own experiences, reflect on the array of contextual factors that influence outcomes, and articulate possible futures. Personal stories provide a human face to evaluation data and so can strengthen communication of key messages about a policy, including the impact on people and communities, their emotions and perspectives in ways that descriptions cannot. (Magenta Book)

Outcome Harvesting An impact evaluation approach suitable for retrospectively identifying emergent impacts by collecting evidence of what has changed and, then, working backwards, determining whether and how an intervention has contributed to these changes.

Outcome Mapping An impact evaluation approach which unpacks an initiative's theory of change, provides a framework to collect data on immediate, basic changes that lead to longer, more transformative change, and allows for the plausible assessment of the initiative's contribution to results via 'boundary partners'.

Participatory Evaluation A range of approaches that engage stakeholders (especially intended beneficiaries) in conducting the evaluation and/or making decisions about the evaluation.

Participatory systems mapping and fuzzy cognitive modelling. Qualitative, participatory mapping approaches to draw out multiple perspectives and generate deeper shared understanding of the system, causal mechanisms and the process of change. Maps can be analysed using network analysis tools to help identify aspects of the system such as: key influences, trade-offs, feedbacks, and vulnerabilities. (Magenta Book)

## *Compendium of Evaluation and Appraisal Resources*

**Participatory, emancipatory, adaptive approaches.** Includes Developmental evaluation, Action research, Peer challenge, Most significant change, Outcome harvesting. Stakeholders take an active role in the design and delivery of the evaluation. Includes: normative designs where the experiences and knowledge of stakeholders provide a source of evaluation evidence (key informants) and agency designs where stakeholders are engaged as active agents for change. A degree of participation is desirable in any evaluation and especially where understanding of the system, and how change will be achieved, is poor or where there are multiple perspectives. (Magenta Book)

**Positive Deviance** A strengths-based approach to learning and improvement that involves intended evaluation users in identifying 'outliers' – those with exceptionally good outcomes - and understanding how they have achieved these.

**Process Tracing.** Not included in Better Evaluation list of approaches. Process tracing is a methodology for testing multiple hypotheses on the causal relationship between different independent variables (inputs/activities) and a dependent variable (output/outcome). It does so via arranging these variables into a chronological sequence, then assessing the extent to which qualitative evidence can be used to prove a hypothesis about a causal relationship between these variables. ([SQW and City REDI 2019](#))

**Process tracing with Bayesian updating:** Process tracing with Bayesian updating is a recent development of process tracing. Process tracing is a case-based approach to causal inference used to test the strength of given qualitative and semi-quantitative observations in relation to specific theories. Central to process tracing is the idea that some pieces of evidence provide higher inferential power than others, and that the probative value of a piece of evidence for a specific causal mechanism is context-dependent and not necessarily related to sample size or the availability of a control group. Process tracing with Bayesian updating extends process tracing by allowing the evaluator to quantify the level of confidence that can be placed in the contribution claim. Quantification is carried out in a workshop setting using a rigorous technique known as Bayesian updating ([SQW and City REDI 2019](#))

**Qualitative Comparative Analysis** Not included in Better Evaluation list of approaches. This is a theory-driven approach that mixes qualitative and quantitative techniques. It is suited to the analysis of casual pathways that are complex and complicated. The aim is to identify routes through which interventions have the impact that they do, rather than the 'average' route'. The approach is particularly well suited to the analysis of distinct combinations of causal variables that, in turn suggest different theoretical pathways to outcomes. ([SQW and City REDI 2019](#))

**Qualitative system mapping approaches.** e.g. Participatory systems mapping. Used to generate, progress and test the theory of change in complex environments through an iterative process of

developing and testing a formal model of the system (including the intervention). Qualitative mapping approaches can be used to generate deeper shared understanding of the system, the policy and how the policy is working to generate change. Qualitative mapping is a powerful tool for understanding and exploring complex systems. In complex settings it is also a good way of beginning the process of building a theory of change and a useful first step in building a quantitative, computational model of the system (see below) to further both qualitative and quantitative understanding of the system, develop and test the theory of change, explore outcomes over the longer term and construct virtual counterfactuals (Magenta Book)

[Qualitative Impact Assessment Protocol \(QUIP\)](#) An impact evaluation approach without a control group that uses narrative causal statements elicited directly from intended project beneficiaries.

[Randomised Controlled Trials \(RCT\)](#) An impact evaluation approach that compares results between a randomly assigned control group and experimental group or groups to produce an estimate of the mean net impact of an intervention.

[Realist Evaluation](#) An approach to impact evaluation which examines what works for whom in what circumstances through what causal mechanisms, including changes in the reasoning and resources of participants.

[Social Return on Investment \(SROI\)](#) A participatory approach to value-for-money evaluation that identifies a broad range of social outcomes, not only the direct outcomes for the intended beneficiaries of an intervention.

[Success Case Method](#) An impact evaluation approach based on identifying and investigating the most successful cases and seeing if their results can justify the cost of the intervention (such as a training course).

[Utilisation-Focused Evaluation](#) Uses the intended uses of the evaluation by its primary intended users to guide decisions about how an evaluation should be conducted.

## AEA Topical Interest Groups

The American Evaluation Association has set up [Topical Interest Groups \(TIGs\)](#) which are open to members of the association. Topical Interest Groups (TIGs) are subgroups of the association comprised of members with common interests. TIGs may be formed around methodologies such as Needs Assessment, around work contexts such as Government Evaluation, around salient concerns such as Feminist Issues, or around professional status such as Independent Consultants. AEA currently supports 60+ TIGs in their pursuit evaluation best practices within their topic area. Groups include:

- Advocacy and Policy Change
- Arts, Culture, and Museums
- Assessment in Higher Education
- Behavioural Health
- Cluster, Multi-site and Multi-level Evaluation
- Collaborative, Participatory & Empowerment Evaluation
- College Access Programs
- Community Development
- Costs, Effectiveness Benefits, and Economics
- Crime and Justice
- Data Visualization and Reporting
- Democracy and Governance
- Design and Analysis of Experiments
- Disabilities and Underrepresented Populations
- Disaster & Emergency Management Evaluation
- Environmental Program Evaluation
- Evaluation Policy
- Graduate Education Diversity Internship
- Government Evaluation
- Health Evaluation
- Integrating Technology into Evaluation
- Internal Evaluation
- Leadership and Organizational Performance
- Lesbian, Gay Bisexual and Transgender Issues
- Mixed Methods Evaluation
- Multi-ethnic Issues in Evaluation
- Needs Assessment
- Non-profits and Foundations
- Organizational Learning & Evaluation Capacity Building
- Program Design
- Program Theory and Theory-Driven Evaluation
- Qualitative Methods
- Quantitative Methods: Theory and Design
- Research on Evaluation
- Research, Technology & Development Evaluation
- Social Impact Measurement
- Social Network Analysis
- Social Work
- STEM Education and Training
- Systems in Evaluation
- Teaching of Evaluation
- Theories of Evaluation
- Translational Research Evaluation

## CECAN

CECAN has produced variety of resources available for download from this page. They are all available under a [Creative Commons CC BY 4.0](#) licence. These include:

- Their manifesto [Policy Evaluation for a Complex World](#)
- The CECAN Syllabus for [Evaluation of Complex Policy and Programmes: A CECAN module for future policy analysts and evaluators](#) developed by Dr Corinna Elsenbroich, Prof. Nigel Gilbert, Dr Dione Hills, Dr Emma Uprichard
- CECAN Toolkits including [Participatory Systems Mapping: A Practical Guide](#) and [Dr Barbara Befani's Bayes Formula Confidence Updater Spreadsheet](#)
- CECAN EPPNs (Policy and Practice Note) Series, with e-versions available to download.
- CECAN Project Reports

Examples of EPPNs include:

- Professor David Byrne (2016) [Qualitative Comparative Analysis: A Pragmatic Method for Evaluating Intervention](#)
- Helen Wilkinson (2016) [Agent Based Modelling for Evaluation](#)
- Dr Emma Uprichard and Dr Alexandra Penn (2016) [Dependency Models](#)
- Dr Barbara Befani Chris Rees, Liz Varga and Dione Hills (2016) [Testing Contribution Claims with Bayesian Updating](#)
- Dr Clare Twigger-Ross, Bill Sheate (2017). [Learning Lessons for Evaluating Complexity Across the Nexus: A meta-evaluation of projects](#)
- Professor Phil Haynes (2017). [Dynamic Pattern Synthesis: a longitudinal method for exploring interventions in complex systems](#)
- Andrew Darnton (2017). [Revaluation: A Participative Approach to Measuring and Making Change](#)
- Dr Karen Scott (2017). [Maximising Impact from Evaluations in Complex Policy Areas](#)
- Dr Jan Kwakkel (2018). [Managing Deep Uncertainty: Exploratory Modelling, Adaptive Plans and Decision Support](#)
- Amy Proctor (2018). [Evaluating Complexity in Context using Qualitative Comparative Analysis: The Environment Agency and Waste Crime –](#)
- Dr Pete Barbrook-Johnson and Alex Penn (2018). [Negotiating Complexity in Evaluation Planning: A Participatory Systems Map of the Energy Trilemma](#)
- Tabassom Sedighi and Liz Varga (2019). [A Bayesian Network for Policy Evaluation -](#)

It is worth checking out the CECAN [website](#) as you can download presentations and posters from conferences and events as well as reports

## Statistical Sources

Some useful sources of data when undertaking appraisal and planning evaluations of programmes and policies.

- [Local Authority Housing Statistics \(LAHS\)](#)
- [Affordable Housing Supply Statistical Release](#)
- [Business demography](#)
- [ONS – Workforce Jobs](#)
- [Regional Labour Market Stats and Claimant Count](#)
- [Housing supply: net additional dwellings](#)
- [Benefit cap quarterly statistics](#)
- [Regional trade in goods statistics disaggregated by smaller geographical areas](#)
- [English Indices of Deprivation](#)
- [GDP, UK regions and countries](#)
- [Regional labour market statistics in the UK](#)
- [Alternative Claimant count Statistics](#)
- [ONS Personal well-being in the UK](#)
- [Sport England, Active Lives Adult Survey](#)
- [Crime outcomes in England and Wales](#)
- [UK business; activity, size and location](#)

## Green Book Supplementary Guidance

The [Green Book](#) sets out the broad framework for the appraisal and evaluation of all policies, programmes and projects. The supplementary and Departmental guidance contains more detailed guidance on specific issues and applying the Green Book in particular contexts.

Policy Area	Webpage	Documents
Additionality	<p>Additionality covers the following topics:</p> <ul style="list-style-type: none"> <li>• Deadweight</li> <li>• Displacement</li> <li>• Leakage</li> <li>• Substitution</li> <li>• Multiplier effects</li> <li>• Net additionality</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">Research to improve the assessment of additionality</a> (BIS 2009)</li> <li>• <a href="#">Guidance for using additionality benchmarks</a> (English Partnerships 2008)</li> </ul>
Agile Digital and IT Projects	<p><a href="#">Agile digital and IT projects: clarification of business case guidance</a>                      (updated 03 December 2020)</p> <p>To help with efficient planning and approval of spending proposals for agile digital and IT projects, the following clarification of business case guidance has been produced in collaboration between HM Treasury and the Government Digital Service. This should release the potential of the agile approach to produce better systems more quickly and cheaply than conventional IT planning and project management while maintaining effective business planning and</p>	

*Compendium of Evaluation and Appraisal Resources*

Policy Area	Webpage	Documents
	<p>spending control processes. This should enable a controlled early release of resources for the Discovery and Alpha phases of agile projects and enable a proportionate process of planning and control that delivers value for money without excessive bureaucracy.</p>	
<p>Asset Valuation</p>	<p><a href="#">Green Book supplementary guidance: asset valuation</a> (19 April 2013)</p> <p>Supplementary guidance to the Green Book on the valuation of public sector assets.</p> <p>This guidance is concerned with the valuation of existing public sector assets and in what circumstances private ownership might best represent value for money and be preferable to continued public sector ownership.</p>	<ul style="list-style-type: none"> <li>• <a href="#">Value for money and the valuation of public sector assets</a> (HMT 2008)</li> </ul>
<p>Competition</p>	<p><a href="#">Green Book supplementary guidance: competition</a> (19 April 2013)</p> <p>This guidance consists of two parts:</p> <p>Completing competition assessments in impact assessments: advice on answering the four questions in the competition assessment.</p> <p>Assessing the effect of competition: information on assessing whether a proposed subsidy is likely to have a significant effect on</p>	<ul style="list-style-type: none"> <li>• <a href="#">Completing competition assessments in impact assessments</a> (Office of Fair Trading, 2007)</li> <li>• <a href="#">Assessing the competition: effects of subsidies</a> (HMT / OFT 2007)</li> </ul>

*Compendium of Evaluation and Appraisal Resources*

Policy Area	Webpage	Documents
	competition and, if so, incorporating this competition consideration into the wider appraisal of the proposal	
Crime	<p><a href="#">Green Book supplementary guidance: crime</a> (Updated 22 Jan 2021)</p> <p>This research study provides estimates for the full range on impacts on society of different types of crime, including costs incurred in anticipation of crime such as defensive expenditure, costs as a consequence of crime such as physical and emotional costs, and costs incurred in the response to crime such as costs to the criminal justice system.</p> <p>The study also contains estimates for offences against the individual and household, but these have been superseded by updated estimates published in ‘The economic and social costs of crime against individuals and households 2003/04’ and should no longer be used.</p>	<ul style="list-style-type: none"> <li>• <a href="#">The economic and social costs of crime</a> (Home Office 2018)</li> <li>• <a href="#">The economic and social costs of crime against individuals and households 2003 to 2004</a> (Home Office 2005)</li> </ul>
Discounting	<p><a href="#">Green Book supplementary guidance: discounting</a> (21 April 2013)</p> <p>The Green Book recommends that costs and benefits occurring in the first 30 years of a programme, project or policy be discounted at an annual rate of 3.5%, and recommends a schedule of declining discount rates thereafter.</p>	<ul style="list-style-type: none"> <li>• <a href="#">Intergenerational wealth transfers and social discounting</a>. (HMT 2008)</li> </ul> <p>The following report was prepared for HMT and provides a summary of the key theoretical and empirical evidence on social discounting. The findings in the report demonstrate the social discount rate of 3.5% falls within an acceptable range.</p>

*Compendium of Evaluation and Appraisal Resources*

Policy Area	Webpage	Documents
	<p>When assessing proposals where the effects involve the very long term (in excess of 50 years) and involve very substantial and, for all practical purposes, irreversible wealth transfers between generations, this additional guidance is to be followed.</p>	<ul style="list-style-type: none"> <li>• <a href="#">Social discount rates for Cost-Benefit Analysis: A Report for HM Treasury</a> (Freeman, Groom, Spackman 2018)</li> </ul>
<p>Energy use and greenhouse gas emissions for appraisal</p>	<p><a href="#">Green Book supplementary guidance: valuation of energy use and greenhouse gas emissions for appraisal</a> (updated 19 March 2020)</p> <p>Supplementary guidance to Treasury’s Green Book providing government analysts with rules for valuing energy usage and greenhouse gas emissions. Valuing energy use and greenhouse gases is vital to ensure government takes full account of climate change and energy impacts when appraising and evaluating public policies and projects. In consultation with analysts across government, BEIS has produced guidance that provides government analysts with a set of rules for valuing energy usage and greenhouse gas emissions. The guidance provides practical information about implementation of the carbon valuation methodology for UK policy appraisal. It also outlines the reporting requirements for compliance with carbon budgets and guidance on how to calculate the cost effectiveness of</p>	<ul style="list-style-type: none"> <li>• <a href="#">Valuation of energy use and greenhouse gas emissions for appraisal</a> (BEIS 2019)</li> <li>• <a href="#">Background documentation for guidance on valuation of energy use and greenhouse gas emissions</a> (BEIS 2019)</li> <li>• <a href="#">Guidance for using the toolkit</a> (BEIS 2019)</li> <li>• <a href="#">IAG spreadsheet toolkit for valuing changes in greenhouse gas emissions</a></li> <li>• <a href="#">Data tables 1 to 19: supporting the toolkit and the guidance</a></li> <li>• <a href="#">Template for reporting emissions savings</a></li> </ul>

*Compendium of Evaluation and Appraisal Resources*

Policy Area	Webpage	Documents
	<p>climate change policies (refer to chapter 5 of the ‘Valuation of energy use’ document above for full details on cost effectiveness).</p>	
<p><b>Enabling a Natural Capital Approach (ENCA)</b></p>	<p><a href="#">Enabling a Natural Capital Approach (ENCA)</a> (22 January 2020)</p> <p>A natural capital approach to policy and decision making considers the value of the natural environment for people and the economy.</p> <p>Enabling a Natural Capital Approach (ENCA) resources are data, guidance and tools to help you understand natural capital and know how to take it into account.</p> <p>You should use ENCA resources if you’re a:</p> <ul style="list-style-type: none"> <li>• government economist or analyst</li> <li>• public sector organisation interested in understanding the scientific and economic evidence around the natural environment</li> <li>• private practitioner, interested in natural capital evidence, tools and resources used in government</li> </ul> <p>ENCA aims to:</p> <ul style="list-style-type: none"> <li>• build capacity among users to assess and value the natural environment by providing comprehensive information and resources</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">ENCA guidance</a> (DEFRA 2020)</li> <li>• <a href="#">ENCA assessment template</a></li> <li>• <a href="#">ENCA services databook</a></li> <li>• <a href="#">ENCA assets databook</a></li> <li>• <a href="#">ENCA featured tools</a> (DEFRA 2020)</li> <li>• <a href="#">ENCA case studies</a></li> <li>• <a href="#">Contact</a></li> </ul>

*Compendium of Evaluation and Appraisal Resources*

Policy Area	Webpage	Documents
	<ul style="list-style-type: none"> <li>• reduce search costs for analysts and decision makers</li> <li>• provide a platform to update tools and guidance as knowledge develops</li> <li>• identify new evidence and areas for development</li> </ul> <p>These aims support and develop the <a href="#">HM Treasury Green Book</a> principles.</p> <p>You should check that you’re using the latest versions of these resources. Defra updates them regularly with new evidence.</p>	
<p><b>Environment</b></p>	<p><a href="#">Green Book supplementary guidance: environment</a> (updated 17 December 2020)</p> <p>Accounting for the Effects of Climate Change is Supplementary Green Book guidance. It supports the appraisal of climate risks and the necessary adaptation of policies, programmes and projects to include climate resilience and consider flexibility in decision making. Taking account of these effects is a requirement of public policies. The guidance is produced by the Department for Environment, Food and Rural Affairs (Defra), in consultation with the Committee on Climate Change (CCC), the National Infrastructure Commission (NIC) and HM Treasury.</p>	<ul style="list-style-type: none"> <li>• <a href="#">Accounting for the effects of climate change</a> (DEFRA 2020)</li> </ul> <p>Additional guidance is available from DEFRA on wildlife, animals, biodiversity and ecosystems:</p> <ul style="list-style-type: none"> <li>• <a href="#">What nature can do for you</a> (DEFRA 2015)</li> <li>• <a href="#">Payments for Ecosystem Services (PES): best practice guide</a> (DEFRA 2013) (with Annex: Case Studies)</li> <li>• <a href="#">Valuing environmental impacts: guidelines for the use of value transfer</a> <ul style="list-style-type: none"> <li>○ <a href="#">Value transfer guidelines: non-technical summary</a></li> <li>○ <a href="#">Value transfer guidelines: full version</a></li> <li>○ <a href="#">Summary of value transfer steps</a></li> </ul> </li> </ul>

*Compendium of Evaluation and Appraisal Resources*

Policy Area	Webpage	Documents
	<p>This page also signposts to wider supplementary guidance on Enabling a Natural Capital Approach (ENCA). A natural capital approach considers the value of the natural environment for people and the economy. Understanding natural capital provides a framework for improved appraisal of a range of environmental effects. Enabling a Natural Capital Approach (ENCA) resources are data, guidance and tools to help you understand natural capital and take it into account.</p>	<ul style="list-style-type: none"> <li>○ <a href="#">Value transfer guidelines - Annex 1: Protocol for primary valuation studies</a></li> <li>○ <a href="#">Value transfer guidelines - Annex 2: Assessing the quality of primary valuation studies</a></li> <li>○ <a href="#">Value transfer guidelines - Annex 3: Glossary of econometric terminology</a></li> <li>○ <a href="#">Value transfer technical report: summary</a></li> <li>○ <a href="#">Value transfer technical report</a></li> </ul> <p>These documents provide practical guidelines for valuing environmental impacts using an approach known as ‘value transfer’.</p> <p>They support Defra’s resources for <a href="#">Enabling a Natural Capital Approach (ENCA)</a>. If you have a query about these guidelines, email the Defra Natural Environment Economics team at <a href="mailto:nee@economics.defra.gov.uk">nee@economics.defra.gov.uk</a>.</p>
Health	<p><a href="#">Green Book supplementary guidance: health</a> (21 April 2013)</p> <p>Guidance on health and policy making - including coverage of the use of selected new and established treatments.</p>	<ul style="list-style-type: none"> <li>● <a href="#">Policy appraisal and health</a> (DOH 2004)</li> <li>● <a href="#">NICE guide to the methods of technology appraisal</a> (NHS 2004)</li> <li>● <a href="#">Valuation of health and safety benefits</a> (HSE 2007)</li> </ul>

*Compendium of Evaluation and Appraisal Resources*

Policy Area	Webpage	Documents
<p>Local Government</p>	<p><a href="#">Department for Communities and Local Government: appraisal guide</a>                      (12 December 2016)</p> <p>The Department for Communities and Local Government (DCLG) appraisal guide sets out the framework, assumptions and metrics used in the economic appraisal of DCLG policies.</p> <p>Although the focus is on DCLG policies, this guidance may be of use to other government departments and organisations who wish to carry out their own economic appraisals or for people who simply want to understand how DCLG appraises particular policies.</p> <p>The DCLG appraisal guide data book includes all of the appraisal and modelling values referred to in the appraisal guidance in 1 workbook. Future changes made to the data book will be detailed in the data book’s audit sheet.</p>	<ul style="list-style-type: none"> <li>• <a href="#">The DCLG appraisal guide</a> (DCLG 2016)</li> <li>• <a href="#">DCLG appraisal data book</a></li> </ul> <p>A document explaining the economic framework, assumptions and metrics used in the economic appraisal of DCLG policies.</p>
<p>Local Partnerships</p>	<p><a href="#">Supporting public service transformation: cost benefit analysis guidance for local partnerships</a> (2 April 2014)</p> <p>This guidance is intended for use by local partnerships in order to assess and evaluate public service transformation proposals and to better understand fiscal, economic and public benefits, and how</p>	<ul style="list-style-type: none"> <li>• <a href="#">Supporting public service transformation: cost benefit analysis guidance for local partnerships</a> (HMT, Public Service Transformation Network, New Economy 2014)</li> </ul>

*Compendium of Evaluation and Appraisal Resources*

Policy Area	Webpage	Documents
	<p>these are apportioned across local and national organisations and communities.</p>	
<p><b>Major projects</b></p>	<p><a href="#">Major Projects approval and assurance guidance</a> (11 November 2016)</p> <p>The 2010 Spending Review set out plans for around £80 billion of savings in public expenditure. The Treasury has strengthened its project approval processes to achieve these and effect a step-change in spending control.</p> <p>Also see the Government’s webpage on <a href="#">Major Project Management</a> which includes further <a href="#">guidance and regulation</a>.</p>	<p>Superseded guidance:</p> <ul style="list-style-type: none"> <li>• <a href="#">Major Project approval and assurance guidance</a> (HMT, Cabinet Office 2011)</li> </ul> <p>Refreshed guidance in light of Spending Review 2015:</p> <ul style="list-style-type: none"> <li>• <a href="#">Treasury approvals process for programmes and projects</a> (HMT 2016)</li> </ul> <p>This guidance is a refreshed edition of the former major projects approval and assurance process guidance and has been updated to incorporate the lessons learned in using the previous edition. The Treasury requires all departments to manage Departmental Expenditure Limits (DEL) and Annually Managed Expenditure (AME) programmes in a way that maximises effectiveness, efficiency and economy in the use of public funds. Each department’s Accounting Officer (AO) is ultimately responsible to Parliament for keeping spending within control totals and in line with the principles of <a href="#">Managing Public Money</a>.</p> <p>Treasury spending control requires all government departments to keep in regular contact with their Treasury spending team, ensuring that any risks to budgetary totals are properly reported. The Treasury scrutinises and approves project and programme spending outside delegated authorities to ensure that all spending proposals reflect</p>

*Compendium of Evaluation and Appraisal Resources*

Policy Area	Webpage	Documents
		<p>the priorities of the government of the day and meet the 4 criteria for the use of public funds, as documented in Managing Public Money – regularity, propriety, value for money and feasibility. Often the value for money criterion is the most difficult to demonstrate. To this end, all spending proposals must be developed and presented in accordance with the <a href="#">Green Book</a> supplementary 5-case model and Business Cases guidance.</p> <p>This guidance explains the Treasury Approvals Point (TAP) process and arrangements for the scrutiny and approval of all spending proposals that are above Delegated Authority Limits (DAL) set by the Treasury. These guidelines will ensure that good practice is applied consistently across government clearly aligning the assurance and approvals processes.</p> <ul style="list-style-type: none"> <li>• <a href="#">Implementing integrated assurance for major projects</a> (2017)</li> </ul> <p>Integrated assurance and approval is the planning, coordination and provision of assurance activities and approval points throughout the ‘policy to delivery’ lifecycle. The guide outlines how to produce integrated assurance and approvals plans and integrated assurance strategies that are fit for purpose. You may also find it useful to refer to the Treasury approvals process for programmes and projects.</p> <ul style="list-style-type: none"> <li>• <a href="#">OGC Gateway Review 0: strategic assessment guidance and templates</a></li> <li>• <a href="#">OGC Gateway Review 1: business justification guidance and templates</a></li> </ul>

*Compendium of Evaluation and Appraisal Resources*

Policy Area	Webpage	Documents
<p>Multi-criteria decision making</p>	<p><a href="#">Green Book supplementary guidance: multi-criteria decision analysis</a> (21 April 2013)</p> <p>This guide explains how multi-criteria decision analysis (or weighting and scoring) can be used to assess a mix of both monetary and non-monetary benefits. The extent to which each option meets the identified criteria is measured, and explicit weights are given to each of the criteria to reflect their relative importance. Using this technique, options can be ranked and a preferred option identified.</p>	<ul style="list-style-type: none"> <li>• <a href="#">Multi-criteria analysis: a manual</a> (DCLG 2009)</li> </ul>
<p>Optimism bias</p>	<p><a href="#">Green Book supplementary guidance: optimism bias</a> (21 April 2013)</p> <p>Project appraisers have the tendency to be over optimistic. Explicit adjustments should therefore be made to the estimates of a project's costs, benefits and duration, which should be based on data from past or similar projects, and adjusted for the unique characteristics of the project in hand. This guidance provides cost and time uplift percentages for generic project categories which should be used in the absence of more robust primary data.</p>	<ul style="list-style-type: none"> <li>• <a href="#">Optimism bias</a> (HMT updated)</li> </ul>
<p>Regeneration and the Regions</p>	<p><a href="#">Green Book supplementary guidance: regeneration and the regions</a> (21 April 2013)</p>	<ul style="list-style-type: none"> <li>• <a href="#">Regeneration, renewal and regional development</a> (ODPM 2004)</li> <li>• <a href="#">Guidance for RDAs in appraisal, delivery and evaluation</a> (BERR 2008)</li> </ul>

*Compendium of Evaluation and Appraisal Resources*

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	<p>This guidance sets out the principles and key stages for project development, appraisal, approval, delivery, monitoring and evaluation. It provides a framework for regional development agencies to develop the most appropriate project systems for their particular circumstances.</p>	
Project/Programme Outcome Profile	<p>This <a href="#">supplementary guidance</a> sets out how to establish a clear ‘golden thread’ from government priorities to the development of strategies and business cases for programmes and projects.</p>	<ul style="list-style-type: none"> <li>• <a href="#">Guide to completing the Project/Programme Outcome Profile</a></li> <li>• <a href="#">Project/Programme Outcome Profile tool</a></li> </ul>
Risk	<p><a href="#">Green Book supplementary guidance: risk</a> (21 April 2013). The Orange Book sets out a framework for the development and implementation of risk management processes in government organisations.</p> <p>Risks must firstly be identified, then assessed through an evaluation of the likelihood of each risk occurring and an evaluation of the impact if the risk does occur, then addressed. There must be a sensible review and reporting framework in place, and a sensible communications framework. Accompanying this guidance is further information on managing risk.</p>	<ul style="list-style-type: none"> <li>• <a href="#">The Orange Book</a> (HMT 2004)</li> <li>• <a href="#">Early management of the risks to successful delivery</a></li> <li>• <a href="#">Managing risks with delivery partners</a> (HMT, OGC 2004)</li> <li>• <a href="#">Risk management assessment framework</a> (HMT 2009)</li> <li>• <a href="#">The principles of managing risks to the public</a> (HMT, CO)</li> <li>• <a href="#">Managing risks to the public: appraisal guidance</a> (HMT 2005)</li> <li>• <a href="#">Setting and communicating your risk appetite</a> (HMT 2006)</li> <li>• <a href="#">Managing your risk appetite: a practitioner's guide</a> (HMT 2006)</li> <li>• <a href="#">Managing your risk examples: good practice examples</a> (HMT 2006)</li> </ul>

*Compendium of Evaluation and Appraisal Resources*

Policy Area	Webpage	Documents
		<p>The following framework for managing risk in government is intended as useful guidance for board members and risk practitioners. The framework comprises: a model for risk management in government, examples, tools, techniques and templates for risk management.</p> <ul style="list-style-type: none"> <li>• <a href="#">Management of risk in government: framework</a></li> </ul>
Stated preference techniques	<p><a href="#">Green Book supplementary guidance: stated preference techniques</a> (21 April 2013)</p> <p>This guidance explains how to undertake and make the best use of economic valuation with stated preference techniques for the valuation of non-monetary costs and benefits.</p>	<ul style="list-style-type: none"> <li>• <a href="#">Economic valuation with stated preference techniques</a> (DTLR 2002)</li> </ul>
Transport	<p><a href="#">Green Book supplementary guidance: transport</a> (21 April 2013)</p> <p>This guidance discusses the underlying causes and institutional context for optimism bias in British transport projects and discusses some possibilities for reducing it.</p>	<ul style="list-style-type: none"> <li>• <a href="#">Procedures for dealing with optimism bias in transport</a> (BDT 2004)</li> </ul>
Valuing Infrastructure Spend	<p><a href="#">Green Book supplementary guidance: valuing infrastructure spend</a> (updated 26 March 2015)</p>	<ul style="list-style-type: none"> <li>• <a href="#">Valuing infrastructure spend</a> (HMT 2015)</li> <li>• <a href="#">Valuing infrastructure spend</a> (HMT 2011)</li> <li>• <a href="#">Early financial cost estimates of infrastructure programmes and projects and the treatment of uncertainty and risk</a></li> </ul>

*Compendium of Evaluation and Appraisal Resources*

Policy Area	Webpage	Documents
	<p>This guidance on the assessment of infrastructure spending provides further advice on applying Green Book appraisal principles to programmes and projects across the economic infrastructure sectors.</p>	
<p><b>Wellbeing</b></p>	<p>This <a href="#">supplementary guidance</a> (26<sup>th</sup> July 2016) outlines how and where wellbeing should be considered in the relevant parts of the Green Book methodology, with an overview of the key findings from the current wellbeing literature. It includes an overview of how wellbeing evidence can inform the strategic stages of policymaking as well as ‘step by step’ guidance for analysts on how wellbeing impacts can be assessed, and in some cases where evidence allows, monetised and included in cost benefit analysis. It also includes guidance on how to include wellbeing in monitoring and evaluation in line with the requirements of the Green Book.</p>	<ul style="list-style-type: none"> <li>• <a href="#">Wellbeing Guidance for Appraisal: Supplementary Green Book Guidance</a></li> <li>• <a href="#">Wellbeing discussion paper: monetisation of life satisfaction effect sizes</a></li> </ul>

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