Green Infrastructure
making places for people
a' cruthachadh àitichean do dhaoine

European Union
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EUROPE & SCOTLAND
European Regional Development Fund
Investing in a Smart, Sustainable and Inclusive Future

Monitoring and Evaluation Framework

Green Infrastructure Community Engagement Fund

Guidance for Applicants

February 2017

Disclaimer

Applicants should be aware that as the Green Infrastructure Community Engagement Fund is a new programme, the guidance will be reviewed as the programme evolves and therefore may be subject to change. The European Union and Scottish Ministers reserve the right to amend the National Rules and SNH reserves the right to amend the published guidance during the period of the programme. Decisions to fund Projects will be based on the availability of funding, how well the project matches the Green Infrastructure Community Engagement Fund priorities and its contribution to outcomes as part of the whole Strategic Intervention. These priorities may change during the course of the Strategic Intervention to take into account gaps in meeting priorities in previously funded Projects and not to fund at all. The Scottish Government reserves the right not to award any support at all under this programme.

Version Control

Date	Issue	Status	Author	Authorised by
04/10/16	V1	Draft	PM	
08/02/17	V2	Draft	IR	
22/02/17	V3	Final	IR	

Contents

1. Introduction

This guidance sets out the framework that will be used to monitor and evaluate the success of the Green Infrastructure Community Engagement Fund. The Fund is part of the ERDF Green Infrastructure Strategic Intervention (GISI), and further information on the monitoring and evaluation that is done by SNH for the GISI as a whole can be found here.

The guidance covers monitoring, evaluation and reporting to be done by grantees for their projects. When applying for funding, applicants need to demonstrate how they will monitor the implementation of their project, and evaluate and report on the predicted outputs and results. This guidance outlines the information that needs to be collected, and the format in which it should be provided.

2. Background

Why undertake monitoring and evaluation?

We want to help deliver improved life chances and wellbeing for people through improving the quality, quantity and accessibility of green infrastructure, and how people engage and benefit from it.

The purpose of monitoring and evaluation is to provide evidence of whether or not we have achieved this. It also allows us to track the management of the Projects, the inputs, outputs and results, and the impact that these make cumulatively.

As the Lead Partner delivering the Strategic Intervention, SNH is expected by the EU and Scottish Government to oversee a programme of monitoring and evaluation that:

- evidences delivery of the Green Infrastructure Strategic Intervention in an efficient manner; and
- assesses whether the Green Infrastructure Strategic Intervention has produced the desired results and their impact.

How to plan for monitoring and evaluation

All grantees are required to report against a selection of the measures and indicators noted in this guidance. Those that are most appropriate to what the project will deliver should be chosen; it is not necessary to report against all of them. Beyond this, grantees are of course free to design their own additional measures.

All measures to be used must be included in your project application in the section about Monitoring and Evaluation. The final list of measures will be agreed between SNH and the grantee through the Delivery Contract.

3. Green Infrastructure Community Fund Indicators

This section sets out the framework of indicators that will be used to monitor, evaluate and report on the Green Infrastructure Community Engagement Fund and the projects which contribute to it. There are two elements to this: Process Measures and Outcome Measures.

Further detail on each of these is provided below and in the measure definitions in the attached Annexes.

Process measures

Process measures are used to monitor the progress of projects and compliance with the requirements of the Fund. Measures should be reported at appropriate frequencies as part of the quarterly and final reports. Grantees' performance will be assessed against the following measures, using data collected by SNH from these reports:

- Claims Submitted on time
- Claim Return %
- Claim Rate Return
- Transaction Failure Rates
- Eligible Spend % Against Budget
- Progress Reports Submitted on Time
- Claims Submitted after Completion

Annex 3 provides further detail on what is required for each of these.

SNH will also gather data from the checklist in the Procurement Aide Memoire, which grantees will be required to submit with quarterly claim reports, including as appropriate:

- Evidence of contract advertising;
- Evidence of compliance with contract thresholds; and
- Evidence of compliant tender procedure.

Outcome Measures

These are measures which can be used to monitor the outcomes from your project (Table 1 sets out the measures and their descriptions). Applications should describe which of the measures have been chosen as relevant to the project. SNH will use this information as part of the assessment process to select projects for the Green Infrastructure Community Engagement Fund and later in reporting on the overall impact of the Fund. These measures will also help you to evaluate the impact of your project and help produce a narrative of what it has achieved.

Table 1 – Outcome Measures

Outcome	Economic, environmental and social benefits (impact – what it looks like)	Description
Community engagement and participation		
A greater number and diversity of people use their local greenspace	People value their greenspace and get benefits from it	Number of people engaged through events/activities associated with the project, and / or who are involved through newsletters, leaflets and other publications.

Outcome	Economic, environmental and social benefits (impact – what it looks like)	Description
The community are engaged in what happens to their greenspace.	Engagement with communities in the planning, development and management of their greenspace	% target population involved in community consultation and engagement activities during development of the application. **Collection method to be defined by Grantee**
		% target population who will be involved in decisions about the future management of the area/greenspace. **Collection method to be defined by Grantee**
Increased participation in outdoor activities, leading to improved physical and mental health	Activities that encourage people to be more active and / or support people with mental health issues.	Numbers of people participating in (for example) green exercise, biodiversity, environment, community growing and green skills: – events: organised opportunities such as information days, health walks, etc – activities: providing information through leaflets, websites, social media, etc The data should be collected to enable the protected characteristics relevant to the community to be monitored, including… • young people (under 25 years) • people living in the most deprived 15% SIMD areas • people experiencing exclusion – e.g. black and ethnic minorities …and any other characteristics pertinent to the community in which the Project is being undertaken
People value nature and what it provides them and are aware of the steps they can take to conserve it	Activities that increase awareness and understanding of biodiversity and encourage people to value it	Number of people or % target population engaging with biodiversity loss – awareness, concern and action
Local greenspace provides opportunities for outdoor learning.	Increase the use of greenspace by FE institutions, schools and nurseries as part of outdoor learning	The number of nurseries, schools and further education institutions that use greenspaces for learning **Collection method to be defined by Grantee**
Local greenspace provides opportunities for volunteering	Increase the use of the outdoors for learning, skills and training	Number of people engaged in learning, training and volunteering opportunities.

Outcome	Economic, environmental and social benefits (impact – what it looks like)	Description
Local greenspace provides a safe environment for recreation and relaxation	Reduced anti-social behaviour, crime and dereliction, increased use of greenspace	**Collection method to be defined by Grantee (may be qualitative)**
Local greenspace provides opportunities for promoting local sourcing of food and a healthier diet.	Increase use of space for local food production in urban area, such as allotments, community gardens and orchards	Number of people or % target population engaging in local food production **Collection method to be defined by applicant**

All Outcome Measures should be defined in the application. Where applicants propose to use existing local measures, then a definition for each of those measures must be completed, along with agreement on frequency and format of reporting (Annex 2).

Qualitative methods

The use of qualitative evidence in monitoring, evaluation and reporting provides a rich source of examples that demonstrate how well an intervention is performing. Qualitative evidence can include examples, case studies, surveys, workshop outputs, art pieces, stories, activity reports, first person pieces, video diaries, newsletters, plays, and so on. The options are broad ranging and innovation and creativity is encouraged.

The following principles should be considered when planning qualitative monitoring:

Plan ahead:

- be clear what kind of evidence you want to collect at the planning stage and how it will be used in reporting;
- ensure there is sufficient budget for it and appropriately skilled people to undertake and interpret it;
- prepare an implementation plan and share it with participants, so they know what to expect; and
- have a framework in place to secure approval from people to use images of them or information about them.

Involve people:

- where possible, get the target audience involved in planning the monitoring and reporting and in gathering the evidence; and
- get creative and make it fun – think about what will be compelling in telling others the story of your project.

Reporting

Grantees will be required to report on all of the chosen measures at appropriate frequencies (see below), which will be confirmed as part of the Delivery Contract for the funding, and to prepare a final report on conclusion of the project. Where a grantee will continue monitoring after conclusion of the project, the results should be reported to SNH annually until 2023 and thereafter on request. The EU requires that all project documentation, including that relating to monitoring, evaluation & reporting, is retained until the end of the auditable period for ERDF, which is 2030. Grantees will be required to commit to do this as part of the Delivery Contract.

Milestones for the delivery of projects will be identified and agreed between the grantee and SNH prior to signing the Delivery Contract. The payment of claims will be linked to the completion of these milestones. Grantees will be required to report actual progress against the planned forecast on a quarterly basis. This will be done as part of the Progress Reports to be submitted with each quarterly claim. The following table illustrates reporting frequencies.

Table 2 – Reporting Frequencies

Report Type	Frequency
Progress Report	Quarterly
Final Report	3 months after Project completion
Auditable data	Must be retained until 2030

Quarterly reporting – Progress Reports

Quarterly Progress Reports are required, even if a nil return is made. The template for Progress Reports is set out in Table A2.1 in Annex 2, but in summary includes:

  - Progress update, including progress with delivering the approved activities and outputs;
  - Update on Outcome measures
  - Update on any Qualitative measures
  - Finance update and forecast
  - Contract and procurement management update
  - Risk management – analysis and report on risks and current issues
  - Change requests
- Next plan period – a summary of forthcoming planned activity.
- Previous plan period – a summary of any lessons learned including issues, highlights or successes.

Final Report

Grantees will be required to provide a Final Report against each of their agreed measures at the completion of the Project.

Within 1 month of completion of a project, applicants are required to provide the following to SNH as Lead Partner for the Fund:

- a final Project report;
- a one page 'case study' highlight report;
- a 5 minute video for use online and at presentations showcasing the Project: capturing the Project from start to finish – aims, challenges, existing situation, what was done, the end result, people's perceptions. (Scottish Natural Heritage can provide advice and support in producing this, where required).

Horizontal Themes

In completing progress and final reports, applicants should report against all the ERDF Horizontal Themes relevant to their Project – see Horizontal Themes Guidance.

For both Equal Opportunities & Social Inclusion, applicants should identify which of the protected characteristic groups they expect their Project to have an impact on. They should then report on the number of people in each group who have been engaged through events, activities and volunteering opportunities.

Measures for reporting on the Horizontal themes will also be agreed before Delivery Contracts are signed.

Use of Reported Information and Format

The data and information collected as part of monitoring progress against the measures may be used by the Lead Partner (SNH) and/or Managing Authority (Scottish Government) in reports, case studies and publicity material. It is important that grantees ensure all participants and staff that feature in the reporting are aware of this and have given the appropriate consent for their details to be shared. The Scottish Government has created a consent form which Projects can download and use for this purpose (see page 20 of http://www.gov.scot/Resource/0047/00474927.pdf).

Some of the measures require information in the form of GIS data, photographs and video clips. Grantees are required to submit data in these formats to the specifications set out in Annex 1.

ANNEX 1: Specifications for GIS data, photographs and video

A.1 – GIS data

Applicants should confirm whether they are OSMA members. If not, they will need to be able to demonstrate how they will meet the monitoring requirements for Green Infrastructure data.

All GIS data to be collected should be supplied in ESRI shapefile format. SNH will supply a GIS file template to applicants for the collection of spatial data associated with the reporting and monitoring requirements of the programme. The template file will be configured appropriately for the type of information to be captured and the structure of the template is not to be altered without the consent of SNH.

All GIS data submitted by applicants should be complete with metadata captured to the latest UK GEMINI standard (currently UK GEMINI 2.2 though 2.3 is planned for 2017). Guidance on the UK GEMINI standard can be found on the website of the Association for Geographic Information, who oversee the standard: http://www.agi.org.uk/agi-group/standards-committee/uk-gemini.

Applicants will be required to submit with their application two maps, showing a boundary marking the smallest area where the project's activities will take place. They should also indicate the location of the communities that will benefit from the project, and any other relevant features, based on an up to date Ordnance Survey map displaying the scale and a north point:

- one in PDF format at 1:25,000 recording proposed location
- one as an ESRI shapefile at 1:2,500 using the template provided.

It will be the responsibility of the Green Infrastructure team to check the Scottish Index of Multiple Deprivation datazones, and other relevant data as part of the Selection process.

A.2 – Photograph specification

All photographs commissioned or submitted should be in a digital format (jpg file). Images should be the maximum size that can be achieved by the camera. If we require smaller versions SNH can repurpose the file. Each image should have the following metadata (information):

- image ID;
- title;
- photographer (can be the organisation);
- short description;
- date taken;
- National Grid location: (https://www.ordnancesurvey.co.uk/docs/support/national-grid.pdf);
- Permissions;
- Copyright.

If the images/videos are to be supplied by freelance professionals then the images should have the requested file metadata tagged to the IPTC field of each image file. If not, then a separate accompanying spread sheet with the metadata will be required.

Please note that there's no routine deleting of images, so once an image is uploaded it will be on the SNH Image Library as long as SNH support it.

Applicants must give SNH the right to use the photographs, transparencies or digital images, including video images they provide to us. They must get any permissions, including copyright, they need for them and us to use these images, including the consent of any persons appearing in them where applicable, before they send them to us or before they are to be used.

A.3 – Video specification

All submitted or commissioned video clips should be provided digitally as an uncompressed video. Video clips should be in a format capable of being uploaded to social media, for example through the SNH YouTube channel. There is no file size constraint for videos but ideally they should be filmed at 1080p 25fps. If the videos are uploaded to YouTube at that size they can be played back at lower resolutions.

As a last resort, where the large size of the video files makes it not feasible to email video clips, then hard copies will be required either as DVDs or Pen Drives. DVDs or Pen Drives should then be sent to the GI Admin Officer who will arrange for IS to apply security protocols before being stored in the LOR.

Video clips should show the name and organisation (if relevant) of those talking on screen.

Each video clip should have the following metadata attached and be contained in a separate accompanying spreadsheet:

- video ID;
- title;
- photographer (can be the organisation);
- short description;
- date taken;
- permissions;
- copyright;

ANNEX 2: Reporting Templates

Progress Reports

Table A2.1 - Progress Report Template

Grantee Name	
Report written by	*Name of person/people completing the report (with whom the lead partner can have a discussion regarding contact, if necessary)*
Report date	
Report submitted to	*Name of contact in SNH*
Progress since last report	*A summary of progress against your planned milestones, outputs and outcomes, as identified in your application and Delivery Contract. Please also cover any challenges that have slowed progress or changed what you planned*
Outcome measures	*A summary of progress against agreed delivery measures*
Qualitative evidence	*A summary of any qualitative evidence of progress*
Finance update and forecast	*Narrative summary on progress with Project finance in support of claims and forecasting*
Contract and procurement management update	*Update on any contracts let or procurement exercises undertaken, including whether these are on target*
Risk management	*Analysis and report on risks and current issues*
Change requests	*Any requests for changes to timescales, budgets, activities etc.*
Next period plan	*A general summary of the work coming up (before your next report)*
Lesson learned (both positive and negative)	*This should cover any successes and what Applicants/others should do to repeat those* *It should also cover any challenges, how they were overcome, and what Applicants/others should do to avoid repeating them*
Anything else you wish to highlight to the Lead Partner	

Measure Definition

For each of the measures that a grantee is reporting on, one of these forms needs to be filled out and submitted to the Lead Partner as part of application.

Table A2.2 – Measure Definition Template

Measure Name		*Unique, meaningful name; shorthand; three or four words*
Description		*Describe what you're measuring*
Intent		*Why is it important to measure this?*
Outcome sought		*State the outcome from the project*
Response		*What interpretations can be drawn from the measure, and what will you do in each situation; flag any results/outcomes that are desirable or undesirable*
Data collector		*The one person who will mine a database or other source for the data*
Measure owner		*The one person who has lead responsibility for achieving the result you're measuring*
Reporting Level		*Choose from the drop down list. If more than one, use the notes field*
Companion measures		*Do you have to look at this measure alongside any other measures? If so, list them. Insert new lines as needed*
Scope		*What are you including and excluding?*

Frequency of data collection		*At what frequency will the data be presented? You can report quarterly, but present data on a monthly basis, for example*
Formula		*This is the calculation you plan to use - write in either words or mathematical symbols*
Data items		*List the data items you plan to use (e.g., month, unit, number of apples)*
Presentation method		*Choose a chart type from the drop down*
Frequency of report		*State how often you will report*
Notes		

ANNEX 3 – Process Measure Definitions

Table A3.1 - Process measures definitions

Measure Name	**1: Progress reports on time**
Description	The % of progress reports by grantee, submitted by deadline.
Outcome sought	Progress Reports should be submitted quarterly throughout the project, whether expenditure has occurred or not.
Data collector	Lead Partner (SNH)
Scope	Relates to all approved Project Progress Reports.
Frequency of data collection	Quarterly
Data items	Count of progress reports; date submitted; due date; calculation comparing due date with date submitted
Presentation Format	Bar chart
Frequency of report	Quarterly
notes	

Measure Name	**2: Claim submission after completion**
Description	The % of claims left outstanding more than 6 months after the Project is complete.
Outcome sought	All claims submitted on completion.
Data collector	Lead Partner (SNH)
Scope	Relates to all approved Project claims.
Frequency of data collection	Quarterly
Data items	Total number of claims; Grantee name; Project name; date submitted; end date of Project
Presentation Format	Bar chart
Frequency of report	Quarterly
notes	

Measure Name	3: Claim return %
Description	The % of claims that have to be returned by the Lead Partner.
Outcome sought	No claims returned by Lead Partner.
Data collector	Lead Partner
Scope	All approved Project claims.
Frequency of data collection	Quarterly
Data items	Claims received; Grantee name; Project name; date submitted; date returned; reason for return
Presentation Format	Bar chart
Frequency of report	Quarterly
notes	

Measure Name	4: Claim return rate
Description	The number of times any one claim has to be returned by the LP for correction.
Outcome sought	No claim returns.
Data collector	Lead Partner (SNH)
Scope	All approved Project claims.
Frequency of data collection	Quarterly
Data items	Claim ID; date claim made; date returned; reason for return; Grantee name; Project name
Presentation Format	Bar chart
Frequency of report	Quarterly
notes	

Measure Name	5: Claims submitted on time
Description	The % of eligible claims submitted on time to Lead Partner.
Outcome sought	Applicants submit claims per the agreed budget and per the agreed timeline.
Data collector	Lead Partner (SNH)
Scope	All approved Project claims.
Frequency of data collection	Quarterly
Data items	Date claim submitted; due date; grantee name; project name; claim id; reason for non-submission of claim
Presentation Format	Bar chart
Frequency of report	Quarterly
Notes	Reasons must be given for any claims not submitted on time

Measure Name	6: Transaction audit check failure rate
Description	The number of transactions that fail the LP audit and compliance check.
Outcome sought	100% compliance with no failure rate.
Data collector	Lead Partner (SNH)
Scope	All approved Project claims.
Frequency of data collection	Quarterly
Data items	Claim Id; grantee name; project name; claim date submitted; pass/fail; date of pass/fail; reason for fail
Presentation Format	Bar chart
Frequency of report	Quarterly
Notes	

Measure Name	**7: Expenditure LTD %**
Description	The % of Life-To-Date eligible spend projected (Qtr, Year, Phase).
Outcome sought	Actual defrayed expenditure is in line with budget.
Data collector	Lead Partner (SNH)
Scope	Managing material variances against budget - Progress Reports and Re-Forecasting.
Frequency of data collection	Quarterly
Data items	Grantee name; project name; claim amount; claim date; current budget; forecast budget; quarter end date; year end date (date of report being made in those two cases); phase name
Presentation Format	Bar Chart
Frequency of report	Quarterly
notes	

Published: February 2017

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