



Department
for Business
Innovation & Skills

EVALUATION PLAN 2016
(Annual Update to Annex A in the
Evaluation Strategy)

Accountability and learning at
the heart of BIS

JANUARY 2016

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Foreword

I am delighted to introduce the Department for Business, Innovation and Skills (BIS) Evaluation Plan for 2016.

BIS is committed to ensuring that all of its key policies and programmes are subject to robust monitoring and evaluation. The foundation for this vision was set out in the Department's Evaluation Strategy published in December 2014.

Robust monitoring and evaluation are important in their own right, for transparency and accountability. However, the findings from evaluation must also feed back into the design and implementation of current and future policies, so that we can learn from experience, and allow for policy adjustments.

I am pleased that our monitoring and evaluation coverage is very comprehensive and has improved since last year.

This document is the first of what will be an annual update of BIS Evaluation Plans, which reinforce our commitment to implementing the 2014 Evaluation Strategy.

I am grateful for the contributions from across the Department which made the development of this year's plan possible, with particular thanks to the Central Evaluation Team, who coordinated its production.

A handwritten signature in blue ink that reads "SMBeckett". The signature is written in a cursive, flowing style.

Sam Beckett

Director General, Economics & Markets

Department for Business, Innovation & Skills

Introduction

The Department for Business, Innovation and Skills (BIS) Evaluation Strategy was published in December 2014 and lays the foundations for the fulfilment of BIS's vision for monitoring and evaluation, by improving the coverage and use of evaluations, strengthening governance, increasing analytical capability, and ensuring independent and transparent quality assurance.¹

BIS is committed to investing in a body of evaluative work that covers our programmes and policies throughout their life cycle and uses evaluation as a tool for improving and assessing their effectiveness. The Department aims to provide an open and transparent view of evaluation coverage of BIS policies and support as many robust impact evaluations as possible.

One of the key commitments in the Evaluation Strategy was for BIS to publish a summary of the evaluation coverage for each policy area on an annual basis. This document is the first of what will be an annual update of BIS's evaluation coverage. This process promotes transparency and accountability and will encourage stakeholders and external researchers to engage with the Department and work towards filling the gaps in our evaluation evidence.

In 2014 the Department's evaluation plans were set out in Annex A of the Evaluation Strategy. This annex focused solely on evaluation coverage and gaps for BIS spend. This year's publication also includes coverage for regulation in Annex B. Annex B sets out the statutory reviews and non-statutory reviews with significant impact on business. These regulatory reviews will then inform the decision-making process about whether the regulation should be amended, renewed, replaced or removed.

¹ Department for Business, Innovation and Skills (2014) Evaluation Strategy. Available at: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/387507/bis-14-1295-evaluation-strategy-2015-16-accountability-and-learning-at-the-heart-of-bis.pdf

Open and Transparent Evaluation

The proportionate evaluation of BIS policies is key to understanding the real impact of government funding, and embedding the lessons learnt in future policy making. BIS is committed to evaluate policies every 3 to 5 years and to publish annual monitoring and evaluation plans for core BIS areas to ensure comprehensive evaluation coverage of all key policies.

This report shows the results of a systematic review of the quality of the monitoring and evaluation plans and their potential to show causal impact for each policy, to support improving the quality of BIS monitoring and evaluation for key policies. This encourages BIS policy makers and analysts to continue to follow best practice as set out in the Magenta Book, by considering monitoring and evaluation early on in the policy making cycle. This will pave the way for more innovative ways to design, monitor and evaluate policies and allow for better evaluation.

The breadth of evaluation coverage of BIS spend is very comprehensive. All policies have some form of monitoring and evaluation plan in place, or in development. The Department has recently made marked improvements in the depth and quality of this coverage in the evaluation plans for major spend areas. Gaps from last year's plan have been identified and flagged with the Department's senior level Policy Evaluation Board (PEB). The PEB's terms of reference include ensuring that there are no gaps in BIS evaluations of major policy, spending and regulatory initiatives.

Last year's annex identified the Repayable Launch Investment programme (RLI) as an evaluation gap. Progress is now being made in evaluating this policy. An evaluation scoping and process review study has now been commissioned for this programme, with the report due in early 2016.

Moving forward, the Department aims to maintain comprehensive coverage, and encourage high quality evaluation by ensuring future BIS programmes fully scope out options for evaluation, and establish detailed plans at an early stage.

Types of Evaluation

There is a wide range of evaluation methods. The diagram below offers one possible categorisation of evaluation types which are used in BIS. These are not mutually exclusive and all contribute in their own right to better policy making.

- Process evaluations look at the process of implementation and allow for policy adjustments
- Outcome based evaluations provide evidence on how far the intended aims, objectives and/or savings are being achieved
- Impact evaluations provide key evidence on whether the policy worked and whether the initiative was better than doing nothing

- Economic evaluations aim to establish how far the cost of the intervention were justified by the benefits achieved, ideally incorporating both cost-benefit analysis and cost-effectiveness

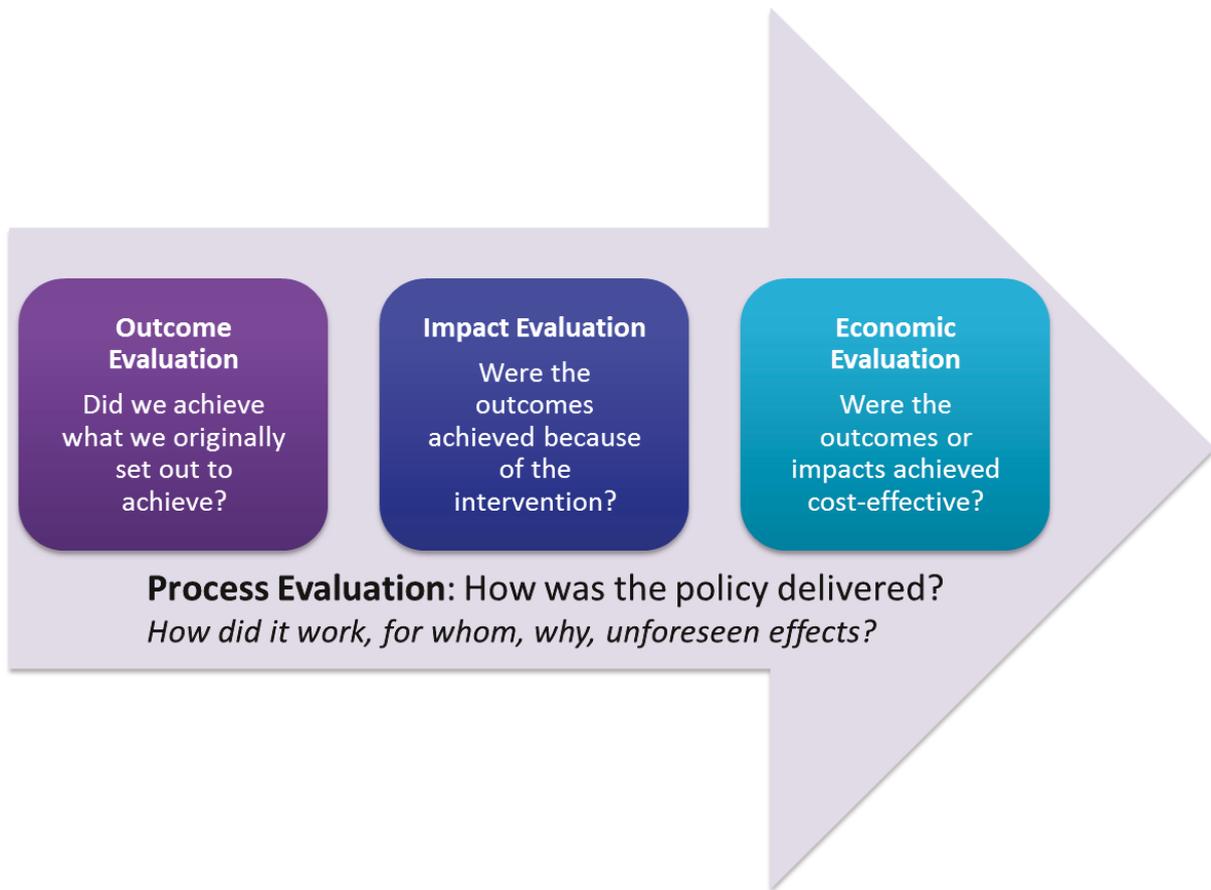


Figure 1: Main evaluation types²

Impact and Economic Evaluation

BIS is particularly interested in implementing impact evaluations wherever possible. Impact evaluations attempt to provide an objective test of what changes have occurred, and the extent to which these can be attributed to the policy. These are normally supported by process evaluations to understand how it worked, for whom, why and whether there are any unintended effects. These impact evaluations will then form a strong base for a thorough economic evaluation.

² Note these are not mutually exclusive. Where possible, BIS will also build upon emerging methodologies such as contribution analysis techniques, theory based evaluations, meta-evaluation techniques, which can take elements of all or some of the evaluation types in the chart.

The Department looks for opportunities to use impact evaluation techniques such as randomised control trials (RCT) or quasi-experimental designs. Where experimental methodologies are not empirically possible, for example, because the sample size is too small or the policy is being implemented universally and it is not possible to have a suitable comparison group, the continued emphasis is on gathering robust actual data on the key outcomes of interest before and after the intervention (i.e. robust monitoring).

It is important to highlight that there are some policy settings where it is not possible to measure a counterfactual as there is no available group to compare which has not received the intervention. For example, the Green Investment Bank does not lend itself to statistical techniques such as propensity score matching or randomised controlled trials to identify impact. This is because, as a financial institution, projects to which the Green Investment Bank lends need to generate a certain level of return to attract co-financers. It would be difficult to match treated and untreated projects due to the selection effects that are likely to be present. In these cases, BIS aims to secure strong data on outcomes before and after policy implementation, and relies on strong monitoring.

The tables in Annex A provide an overview of evaluation coverage for all BIS areas and scores current evaluations in terms of their capability of showing impact as per the scale described in Section A.2.

Annex A: Open and Transparent Evaluation: Annual Publication of Monitoring and Evaluation Coverage for BIS Spend

A.1 BIS Evaluation Update

This section outlines some of the key information contained in the tables in section A.2 and provides an indication of the progress that has been made within the last 12 months in evaluating key BIS policies.

Enterprise

Since last year's Evaluation Plan, significant improvements have been made in the area of business advice programmes. This is most clearly demonstrated by the Growth Vouchers Programme (GVP) – the largest randomised controlled trial (RCT) of business advice ever conducted (programme started Jan 2014-closed March 2015). An early qualitative and formative evaluation was published in 2015, and the first quantitative report will be published in 2016 with other reports to follow.

The adoption of more robust evaluation methodologies is not limited to GVP. For example, the evaluation of Growth Accelerator (became part of the Business Growth Service in December 2014) also includes an RCT and quasi-experimental approaches, and much greater use is being made of matched tax records to track both business performance and use of other programmes. It is expected that the analytical findings will be published before the end of the current Parliament, although lags in tax data will need to be taken into account. There is also uncertainty around the longevity of impacts resulting from programme; if impacts are identified but yet to dissipate there may be interest in continuing to track outcomes in subsequent years.

These innovations represent a genuine step change in the way government measures the impact of its interventions in this policy area; where historically there has been an over-reliance on measuring impact based on businesses perceptions of the support they have received.

Local Growth

In the local growth policy area, a series of robust evaluations are planned or underway, but their success hinges on robust counterfactual evidence to use a *good* matched before and after comparison group - be it comparator firms or sectors-

bearing in mind it is inherently difficult to assess impact where there is no clear counterfactual in some sectors.

In the past 12 months, progress has been made on the Regional Growth Fund - a full evaluation is now commissioned, comprising four phases spread over six years. Phase 1 early findings using econometric analysis is expected to be published in early 2016.

On Growth Deals and City Deals, a monitoring system is in place which provides data on a quarterly basis. As part of the Growth Deals struck between Government and localities, each place has committed to produce a locally-led evaluation plan.

Sector Analysis

The Department has taken a strategic decision to take a staged approach to impact evaluation in sector analysis. Since last year's plan, the Department has commissioned evaluation scoping studies for a number of policies in this area, including the Aerospace Technology Institute (ATI) and Advanced Propulsion Centre (APC). These scoping studies consider the most effective frameworks for evaluating impact and value for money, and will be complemented by internal process evaluations that provide early lessons for programme delivery. The next phase of activity will comprise commissioning of interim evaluations that focus on intermediate outputs and outcomes, followed by final impact evaluations.

The emerging evaluation framework from scoping studies will result in a mixed method approach that includes the implementation of a number of new and innovative approaches such as theory based and realistic evaluation methods. These methods will be used alongside data linking that uses secondary and administrative data in order to provide an understanding of not just 'what' the impact was, but also 'how' and 'why' it came about, and under what circumstances.

Labour Market Policy

The nature of Labour Market policies are regulatory and apply to the whole population of interest, consequently some types of evaluation can be very difficult to implement in the absence of a valid control group. The Department has strong monitoring systems in place, so comparing outcomes before and after policy interventions is the most feasible approach to evaluation.

Higher Education

In the Higher Education policy area, robust monitoring systems continue to be in place to track participation, student support take-up and educational outcomes at the individual level. Through this the Department will continue to monitor the outcomes of recent higher education reforms. This monitoring approach will be extended to include loans for post graduate taught study which will be introduced in 2016/17.

In the past 12 months, the evidence base has been added to through research into student decision making and participation. To evaluate the impact of the 2012 reforms on students a large scale study, the Student Income and Expenditure Survey (which runs every 3-4 years) is now being finalised, providing comparable data with previous surveys undertaken before the reforms were implemented. In addition research has been conducted to explore whether the 2012 reforms to the student finance offer have influenced students' decision making. The development of further research on this issue is being considered. Research has also been conducted to explore the alternative provider sector and patterns of student inclusion and outcomes. In addition, the National Scholarship Programme (NSP) has continued to be evaluated externally and other widening participation activity is being monitored and evaluated by HEFCE.

Going forward, evaluation of the policy changes planned for 2016/17 (switching maintenance grants for loans and the introduction of postgraduate loans) are currently under consideration and the arrival of matched tax and benefits data on graduate destinations will provide further opportunities for robust analysis.

Vocational Education

Vocational Education has a broad coverage of impact, with some studies establishing a clear baseline and counterfactual using a matched study approach. The opportunity to consider introducing trials to test the effectiveness of policy pilots is considered systematically in the policy development phase. In 2015, examples included testing the effectiveness of online learning for basic skills, and looking at how adults best learn English and Maths through the Behavioural Research Centre for Adult Skills and Knowledge.

The Department continues to develop this approach and is exploring the feasibility of introducing trials to test the impact of community learning with people with mild to moderate mental health conditions. Behavioural insight has been an important element in modelling the potential impact of the introduction of policies (for example the introduction of the levy for apprenticeships) and trials are being set up to help young people navigate their way through technical and professional education.

Further to this, recent work on linking Individualised Learner Record (ILR), HM Revenue and Customs (HMRC), and Department for Work and Pensions (DWP) datasets has provided a new method for measuring value added in FE. The matched administrative data underpins a series of studies that use quasi-experimental approaches, for example, the recently published impact of skills and training interventions on the unemployed.

Innovation

Innovation is a complex area to evaluate with long timescales and complex interactions. Despite these challenges, both Innovation Directorate and its partner

bodies have been making good progress enhancing the evidence base over the last year. On University Enterprise Zones, an evaluation plan was published in March 2015 setting out the methodology for evaluating the programme and data collection is being undertaken from 2016.

Robust plans are also in place to drive further improvements over future years, with early evaluation planning currently being conducted for new finance products to support innovation.

Innovate UK

Innovate UK agreed an evaluation framework with BIS and HMT in late 2013. In implementing this framework, Innovate UK are utilising robust control group methodologies to ensure impact estimates only capture additional impacts, wherever possible.

The implementation of Innovate UK's evaluation framework has progressed well over the last 12 months, with evaluation reports on Smart and Knowledge Transfer Partnerships recently published, and reports covering SBRI and the Biomedical Catalyst due to be published in early 2016. Further to this, work is underway across a range of other activities, covering the majority of Innovate UK's spend and includes a large scale multi-year evaluation of the Catapult network, which will produce its first report in 2016. As Innovate UK moves into a new strategy period in 2016, robust evaluation of all new activities will be implemented in line with best-practice guidance.

Given the inherent time lags in producing robust evaluation evidence for innovation support, Innovate UK has also been working on a wider evidence base including robust econometric analysis of impact by linking their customer database to data on employment, growth, and innovative activity.

Shareholder Executive

Since last year's evaluation plan an interim evaluation of the performance of the Green Investment Bank has been undertaken and is due for publication in early 2016. The quality of the Green Investment Bank evaluation in terms of determining causality is limited by its short running period meaning there is a small number of investments.

Research Base

The Department provides public funding for science and research, primarily through its Partner Organisations (POs) who then allocate funding to individual research projects. Evaluation of investment in the research base is complex, as investment is made across a wide portfolio of basic and applied science and the timescales from investment to impact can be long.

While experimental evaluation methodologies cannot be readily applied across the broad portfolio of research funding, where appropriate, the Higher Education Funding Council (HEFCE) and Research Councils undertake their own evaluations looking at specific projects, investments, or areas of activity. For example, HEFCE published an evaluation of the economic and non-monetised benefits of the Higher Education Innovation Fund (HEIF) in October 2015.

Since last year's evaluation plan BIS has been working with its POs to better understand and measure the impact of research. This includes analysis of a wide range of case studies from the Research Excellence Framework (REF) Impact Studies and from POs which provide evidence on the impact of individual work. Additionally, the Research Councils have published their annual impact reports demonstrating the ongoing impact of their funding.

BIS has also been working with its POs to ensure that all business cases for capital investment include clear monitoring and evaluation plans, and will be working with project owners to ensure that this monitoring and evaluation takes place.

A.2 BIS Evaluation Coverage Tables

Tables Explanation Note

Programme Spend Threshold

To populate the overview of evaluation coverage for all BIS areas, programme spend that exceeds £10 million was prioritised. Only in instances where the programme is considered important, such as a novel pilot, is programme spend less than £10 million included.

Publication Date

BIS is committed to evaluating policies every three to five years. Nevertheless the dates for interim and final findings to be published are indicative at this stage.

Scoring Impact

Impact scale follows the guidance on 'Quality in Impact Evaluation'³ which has been approved by the Cross Government Evaluation Group and published as supplementary guidance to the Magenta Book. The scale is based largely on the Scientific Maryland Scale used by academics and researchers to assess the strength of an evaluation approach. The higher the score potentially the more capable the evaluations are to demonstrate that the outcome observed is due to or caused by the intervention.

- Score 5: Random allocation of treatment and control group or a robust counterfactual using a quasi-experimental approach. Needs a treatment and a comparison group and actual before and after data in both groups. For example: a strong difference-in-difference design, regression discontinuity design or matched treatment and control group.
- Score 4: Quasi-experimental approach where the counterfactual has some weaknesses, but it is as good as can be given the policy design or data availability issues. Needs a treatment and a comparison group and actual before and after data in both groups. For example: a difference-in-difference design, regression discontinuity design or matched treatment and control group.
- Score 3: Predicted (modelled) versus actual, predictions are based on actual baseline data.

³ HMT (2012) Quality in policy impact evaluation. Available at: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/190984/Magenta_Book_quality_in_policy_impact_evaluation_QPIE_.pdf

- Score 2: Actual (i.e. not self-assessed or self-reported impact⁴) before and after data. (Higher levels on this scale also require actual data not based on self-reported impact.)
- Score 1: No baseline data (or only self-assessed/self-reported impact).

Evaluability of Policy Design

The impact score is used to assess the strength of an evaluation approach to show impact, which is driven by the evaluability of the policy design. A number of features of BIS policies make it more challenging to evaluate and obtain robust measures of impact:

- Complexity – there are many other factors that could influence outcomes apart from the intervention
- Small sample size – statistical techniques are less able to separate out the effect of the intervention from idiosyncratic features of beneficiaries
- Competitive (or non-random) allocation – interventions are provided for beneficiaries that are assessed to be most likely to benefit. However, these beneficiaries may be different in ways which systematically affect their outcomes, which makes it difficult to determine the impact of the policy by comparing the outcomes against those of non-beneficiaries
- Universal coverage – consequently there is no comparison group at all
- Lack of data – in many cases and for a variety of reasons, there is not enough information to robustly evaluate the impact of interventions.

Methodological Issues

The impact scores for forthcoming evaluations are expected impact scores, which may be impeded by a number of issues that may arise. There may exist empirical reasons where the matched comparison group may not be as strong as first expected or weakness of survey methodology which can inhibit the evaluation from achieving the impact score expected.

Peer Review

Please note all impact scores and Benefit Cost Ratios published before January 2014 have not been peer reviewed by the BIS Expert Peer Review Panel. This Panel was launched in January 2014 to review all evaluations that make claims about the impact or value for money of policy.

Benefit Cost Ratio (BCR)

BIS derives Benefit Cost Ratios by calculating the net economic benefit of the intervention (gross benefits-gross costs) divided by the public cost of the intervention in line with the Green Book.

⁴ Self-reported impact studies base their impact results on information derived by asking the population affected by the policy or beneficiaries to work out what they think the impact has been and what they think would have happened without the intervention.

For full details of the BCR calculations, readers should refer to the main evaluation reports.

Improving Learning and Accountability

To help us better understand whether the initiative did what it intended to do in terms of delivery, BIS analysts tend to commission a process evaluation alongside an impact evaluation. This allows the policy delivery to be refined in future rounds, and is particularly useful when evaluating a pilot, or assessing possible unintended consequences.

Enterprise Directorate Evaluations

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|--|---|---|---|--|---|
| <p>Growth Vouchers (Main) Programme</p> <p>Businesses apply for diagnosis of business advice and are randomly allocated to a personal or online diagnostic. They will then select from one of five themes of strategic advice with vouchers worth up to £2,000 of matched funding randomly allocated.</p> | <p>Growth Vouchers Programme (Main Programme)</p> <p>Expected Impact Evaluation score 5: Randomised Control Trial</p> | <p>Back office IT system provides real-time data on applications received, diagnostics completed, vouchers allocated and contract targets.</p> <p>Monitoring dashboard shared weekly with delivery partners and further assessed in monthly programme monitoring meetings</p> | <p>Benefit data collected via a survey after 6, 12, and 24 months of using advice, to provide an estimate in early 2015 (provided impact happens early).</p> <p>Long-term impact is expected at 24 months after the use of business advice.</p> | <p>Formative evaluation published</p> <p>Early qualitative impact assessment published</p> <p>First interim assessment based on quantitative surveys– with rolling programme of surveys until 2017. Expected publication of first report early 2016.</p> | <p>Surveys of treatment and control groups planned for 2 years after support received, will provide initial assessment of impacts.</p> <p>Impact from RCT using matched tax records to be on-going from Autumn 2015 for 5 years. But it may take at least three years for full impacts to become apparent, not least because of lags in the tax data.</p> |
| <p>Growth Vouchers Programme (Business Schools)</p> <p>Business schools provide business advice to randomly selected businesses with fewer than 20 employees through growth vouchers. The control group will receive only a detailed diagnostic.</p> | <p>Growth Vouchers (Business Schools)</p> <p>Expected Impact Evaluation score 5: Randomised Control Trial</p> | <p>Same as the main programme (please see above) and monitoring is mainly through our back office IT system, and customer feedback.</p> | <p>Too early to be estimated robustly</p> | <p>Delivery of programme commenced between November 2014 and April 2015.</p> | <p>Surveys of treatment and control groups will provide initial assessments of impact. Impact from RCT using matched tax records to be on-going from Autumn 2016. But it may take at least three years for full impacts to become apparent, not least because of lags in the tax data.</p> |

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|---|---|---|--|---|--|
| <p>Business Support Helpline and advice content on GOV.UK</p> <p>Telephone service and website – provides businesses with information, advice and support.</p> | <p>Evaluation of GOV.UK and Business Link Helpline</p> <p>Outcome Evaluation</p> <p>Expected Impact</p> <p>Evaluation score 1: Self-reported impact – No comparison group</p> | <p>Helpline: BIS monitors the number of calls⁴, profile of users and the type of advice/information sought on a monthly basis.</p> <p>GOV.UK: GDS monitor the use and delivery of the website.</p> | <p>Yes. Based on self-reported survey data, it is estimated that at least £8 in GVA is created for every £1 spent on the helpline.</p> | <p>The evaluation aimed to assess the impact of the services and the extent to which BIS policy objectives are delivered through them.</p> | <p>Evaluation published December 2014 (link)</p> |
| <p>GrowthAccelerator (Part of Business Growth Service from Dec 2014)</p> <p>Launched in 2012 to provide a comprehensive business support package to SMEs who have the potential to achieve the highest growth. Growth Accelerator provides expert business coaching, tailored to each business. Became part of the Business Growth Service in Dec 14 before closing to new</p> | <p>Growth Accelerator Evaluation</p> <p>Expected Impact</p> <p>Evaluation score 5 for Growth Impact Pilot. RCT matched with before and after.</p> <p>Actual Impact</p> <p>Evaluation score 2 for Interim Evaluation using self-reported and monitoring survey data.</p> | <p>Receive weekly monitoring reports from detailed Customer Relationship Management system.</p> <p>Independently conducted service monitoring surveys⁵ published here, March 2014.</p> <p>Detailed employment and Gross Value Added (GVA) outcome data from a random sample of firms a year and two years after they have been on the programme.</p> | <p>Based on self-reported survey data, in the Interim Evaluation, the BCR was estimated to be 12:1.</p> | <p>Formative evaluation and interim assessment based on self-reported impacts published here, November 2014.</p> <p>Feasibility of undertaking quasi-experimental impact evaluation is being assessed as it requires a longer period of data on firms than is currently available.</p> <p>Jobs and GVA data (for Years 1 and 2 of the Growth Accelerator programme) became available in June 2015</p> | <p>Impact from RCT (launched in April 2014) using matched tax records to be on-going from Autumn 2015.</p> <p>Due to lags in tax data, and the time it takes for benefits for GA to filter through to the firm, evaluation using RCT data is likely to be on-going over several years.</p> |

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|--|--|--|---|---|--|
| applicants in Dec 15 | | | | | |
| <p>Growth Hubs</p> <p>Growth hubs will join up local, national, public and private sector business support. They may also operate a number of programmes that provide direct support business. A national network of 39 growth hubs will be established by end March 2016</p> | <p>For overall Growth Hub activity an Expected Impact Evaluation score 1: Self-reported impact – No comparison group</p> <p>BIS and the Local Growth What Works Centre are working with local areas to identify areas of activity where more robust approaches can be adopted.</p> | <p>Monitoring data collected via LoGASnet on a 6 monthly basis covering spend and key performance metrics. Local arrangements for monitoring and evaluation are also in place.</p> | <p>Too early to assess. We are still discussing evaluation plans with local areas.</p> | <p>Too early to say – evaluation not up and running yet.</p> | <p>Too early to say – evaluation not up and running yet.</p> |
| <p>Enterprise Pilots in Prisons</p> <p>The pilot supported offenders interested in self-employment. Participants were provided with three to six months in-custody support to help them develop a business plan, followed by mentoring and access to finance (through the Start Up Loans Company) post-release.</p> | <p>Evaluation of the Enterprise Pilots in Prisons</p> <p>Impact Evaluation score 1: Self-reported impact – No comparison group</p> | <p>The delivery partners collated monitoring data on pilot participants and delivered this to BIS each month.</p> | <p>Not included in the research. This early stage evaluation examined whether the programme had been delivered effectively and whether it was on course to deliver the expected outcomes.</p> | <p>Interim findings identified a number of improvements for delivery which were subsequently implemented.</p> | <p>Evaluation complete. Report published on 1st October 2015 (link)</p> |

Local Growth Directorate Evaluations

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|--|---|--|--|---|---|
| <p>Grants for Business Investments – Large Projects</p> <p>Discretionary scheme that provides capital grants to businesses to support sustainable investment. The predecessor of Regional Growth Fund. Closed to new applications and is the remaining tail of spend for legacy Grants for Business Investment cases.</p> | <p>The Causal Effects of an Industrial Policy</p> <p>Impact Evaluation Score 5: Matched with before and after</p> | <p>Detailed beneficiary data, plus matched administrative data on program participants from: ONS, SAMIS database, the IDBR and ARD.</p> | | | <p>Scheme most recently evaluated by Criscuolo et al. Published here, January 2012.</p> |
| <p>Regional Growth Fund</p> <p>Regional business support – a flexible and competitive fund providing grants to support projects with significant potential for economic growth, that create additional, sustainable private sector employment.</p> | <p>Expected Impact Evaluation score 4: Matched with before and after</p> | <p>Back office IT system provides real-time data on applications received, diagnostics completed, vouchers allocated and contract targets.</p> <p>Monitoring dashboard shared weekly with delivery partners and further assessed in monthly programme monitoring meetings.</p> | <p>Basic cost models will be developed towards the latter stages of this 6-year evaluation. By this stage, more of the impacts of the intervention will have materialised, and more robust cost-benefit analysis will be able to be conducted.</p> | <p>Scoping study completed July 2014. The findings were included in the Impact & Economic evaluation Invitation to Tender (ITT). The full evaluation has been commissioned and comprises four phases spread over 6 years. Phase 1 early findings expected early 2016.</p> | <p>Mid-term assessment planned for 2018.</p> <p>Longer-term assessment due to complete mid-2020</p> |

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|--|---|---|--|---|--|
| <p>City Deals</p> <p>Devolved funding and responsibilities to core cities to stimulate economic growth. This is a joint Cabinet Office, DCLG & BIS policy.</p> | <p>Cities Deals: Wave 1 and 2</p> <p>Monitoring in place through online system</p> | <p>Monthly reporting on Deal actions implemented. This is on-going. Quarterly reporting on outputs - Sept 2014 onwards.</p> | | <p>Phase 2 rolling Beneficiary survey underway, completing in 2017.</p> | <p>Monitoring and reporting was retrospectively agreed with cities in June 2014. 'Targets' were initially local areas' aspirations and each Deal is bespoke, so targets are not like for like.</p> |
| <p>Growth Deals</p> <p>Growth Deals provide funds and responsibilities to Local Enterprise Partnerships (LEPs) (partnerships between local authorities and businesses) for projects that benefit the local economy. Includes allocations of capital funding from the Local Growth Fund (LGF).</p> | <p>Local Growth Fund policy started in April 2015.</p> <p>Monitoring in place. Quarterly collection of metrics from LEPs provided through online system</p> <p>Evaluation demonstrator projects have been identified, allowing highest quality experimental techniques to be utilised. These are to</p> | <p>Responsibility for monitoring and evaluation will lie with LEPs, with central oversight and coordination.</p> <p>Continuously working with LEPs to define M&E requirements for LGF (e.g. roads, rail, FE colleges, and housing projects). All 39 LEPs have produced an Evaluation Plan for their Growth Deals.</p> | | <p>Interim report for over-arching programme evaluation to be published in 2019</p> | <p>More detailed evaluation report will be produced in 2022</p> |

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (<i>if available or by when</i>) | Interim findings | Final findings |
|---------------------------------|---|----------------------------------|---|------------------|----------------|
| | <p>start by December 2015.</p> <p>Internal methodological work underway to explore the scope for impact evaluation of large transport schemes (DfT-led)</p> | | | | |

Sectoral Analysis Evaluations

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|--|---|---|--|--|---|
| <p>Aerospace Technology Institute</p> <p>A £2bn portfolio of collaborative and strategic Research and Development (R&D) projects, jointly funded by government and industry, to help the aerospace industry develop technologies for the next generation of aircraft.</p> | <p>Evaluation of the Aerospace Technology Institute</p> <p>Expected Impact Evaluation score 3: Modelled counterfactual predicting outcomes (without ATI) compared with actual outcomes with ATI</p> | <p>The evaluation scoping study that has just reported and will be published in early 2016 includes the design of an appropriate monitoring system for the programme to collect project level outputs and outcomes.</p> | <p>Ex-ante project appraisal BCRs projects with grant requests of £10m and more, since 2014/15</p> | <p>Scoping study with identified KPIs, established baseline and monitoring systems completed.</p> <p>Interim evaluation to be commissioned by early 2016 with results expected in 2017.</p> <p>Second interim evaluation results expected from 2019-20</p> | <p>Final impact evaluation (more comprehensive) is planned for 2022-23</p> |
| <p>Agri-Tech</p> <p>Fund to support applied R&D in the sector, to be matched by industry. The strategy also aims to contribute to the government's environmental, sustainability and international development outcomes.</p> | <p>Agri-Tech Industrial Strategy Evaluation Expected Impact Evaluation score 3: Predicted vs actual (modelling)</p> | <p>Monitoring plans in place (led by Innovate UK - Catalyst, and individual centres once set up.)</p> | <p>Ex-ante programme business case estimated a BCR of £9 per £1 of government funding for this intervention.</p> <p>An ex-post assessment that adjusted applicants data for optimism bias and deadweight arrived at broadly similar estimates.</p> | <p>Evaluation scoping and baseline study completed. This also provides data on the agri-tech sector covering key economic metrics, which is not possible using existing ONS statistics.</p> | <p>Expect Interim evaluation and process evaluation between 2016-2018.</p> <p>Final impact evaluation expected in early 2020s</p> |

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|--|--|---|---|---|---|
| <p>Manufacturing Advisory Service</p> <p>Support for manufacturers in England to shape business strategy, create new products, reduce waste and review supply chains.</p> <p>Became part of the Business Growth Service in Dec 2014 before closing to new applicants in Dec 2015.</p> | <p>Methodology to assess impact of Manufacturing Advisory Service (MAS)</p> <p>Expected Impact score 4: QED with matched comparison group using data linking</p> | <p>Monitoring system in place (as part of Business Growth Service (BGS), delivered by Grant Thornton)</p> <p>Data linking of ONS IDBR to BIS policy database.</p> | <p>The initial internal impact study does not derive BCR yet as not yet able to quantify the scale of these effects with available data</p> | <p>Customer Journey Analysis & Internal Analysis of Monitoring Data – Completed March 2014. Final evaluation timeframe to be part of the BGS evaluation timeframe</p> | <p>Initial impact analysis conducted internally.</p> <p>Final impact evaluation will require longer time series data. Will also consider integration with other programmes.</p> |
| <p>Advanced Manufacturing Supply Chain Initiative</p> <p>A competitive fund designed to improve the competitiveness of UK advanced manufacturing supply chains internationally.</p> | <p>Evaluation of the Advanced Manufacturing Supply Chain Initiative</p> <p>Expected Impact Evaluation score 3: QED with comparison groups matched where possible</p> | <p>Monitoring system in place and quarterly claims forms capture: total project expenditure; claim for grant funding; and number of jobs created and safeguarded.</p> | <p>Ex-ante project level appraisal BCRs for all projects that bid in AMSCI rounds 1-5</p> | <p>Scoping study, process evaluation and early additionality report complete and published in November 2015.</p> | <p>Expect to commission an interim impact evaluation in 2015/16.</p> <p>Final Impact evaluation expected 2018.</p> |
| <p>Advanced Propulsion Centre (APC)</p> <p>A £1bn competitive</p> | <p>Evaluation of the Advanced Propulsion Centre</p> | <p>Economic monitoring plans agreed with the four APC projects launched in April,</p> | <p>Ex-ante project level appraisal BCRs for all projects that bid in APC rounds 1-4</p> | <p>Evaluation scoping report and process evaluation reports complete. Preparing for</p> | <p>Final impact evaluation (more comprehensive) is planned in early 2020s.</p> |

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|---|--|---|---|---|---|
| fund, jointly funded by government and industry to invest in collaborative R&D projects in the field of low carbon vehicles. | Expected Impact Evaluation score 3: QED with matched comparison group where possible | delivery is enshrined in the contract offer letters (reporting every 6 months). | | publication. Interim evaluation to be commissioned by early 2016. | |
| <p>Compensation for the indirect costs of the EU Emission Trading Scheme and Carbon Price Support</p> <p>Provide relief for the Energy intensive industries with the policy costs of the transition to a low carbon economy.</p> | <p>Compensation for the indirect costs of the EU Emission Trading Scheme and Carbon Price Support</p> <p>Expected Impact Evaluation score 3: Predicted vs actual (modelling)</p> | Monitoring system in place- quarterly and annual returns provide updated production and electricity consumption data that we can use to measure the impact of policy. | An early indication of potential BCR is expected winter 2015. Additional data will be collected over future years to attain a clearer result. | Interim findings will be received in winter 2015 along with an evaluation framework. In addition there will be a series of case studies to examine early impacts. | <p>Process evaluation has been delivered, it is too early for robust results on the impact of the scheme This will be made clear when early results are received by the end of December 2015, which will demonstrate the approach for final evaluation.</p> <p>Monitoring of the scheme will continue during the lifetime of the policy (estimated to run until 2019/2020). Final evaluation will take place in 2020.</p> |
| <p>Repayable Launch Investment (RLI)</p> <p>Launch investment to</p> | RLI: Scoping study to evaluate the economic impact of RLI and understand the | BIS conducts formal monitoring meetings with applicants, as well as through engagement | Ex-ante project level appraisals net benefit estimates for new RLI proposals (Note there | Commissioned an evaluation scoping and process review study. Report due | Evaluation scoping study to recommend timing for final impact evaluation |

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (<i>if available or by when</i>) | Interim findings | Final findings |
|---|---|--|---|--|----------------|
| support the design and development of aerospace projects in the UK. | effectiveness of the internal delivery process. Too early to tell the Expected Impact Evaluation Score | with industry contacts and the tracking of news sources; this activity feeds into BIS' twice yearly valuation exercises. | was no RLI in the last Parliament) | February/March 2016. Interim evaluation to be commissioned late 2016. | |

Labour Markets Directorate Evaluations

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|--|---|---|--|--|---|
| <p>National Minimum Wage (NMW) enforcement regime</p> <p>Review of the policy changes to the NMW by the Employment Act 2008.</p> | <p>Review of changes to NMW enforcement regime and compliance strategy</p> <p>Outcome Evaluation</p> <p>Impact score 2: Before and After approach</p> | <p>Analysis of HMRC and Pay and Workers Right helpline management information.</p> <p>Qualitative interviews with compliance officers, employers and workers.</p> | | <p>Evaluated:</p> <p>1. Changes to the NMW regime and overlapping objectives in the compliance strategy - published January 2014.</p> <p>2. Wider issues in the compliance strategy - published June 2014.</p> | <p>Final evaluation report published here, June 2014.</p> |
| <p>Shared Parental Leave</p> <p>New right to pay and leave for eligible working parents. Mothers/adopters can opt to end maternity/adoption leave and pay early and share the balance with his/her partner.</p> | <p>Shared Parental Leave</p> <p>Expected Impact score: 2 (Before and After Study)</p> | <p>Monitoring system in place which will assess HMRC data.</p> <p>In 2018 there will be a survey to collect further information from fathers and mothers who take parental leave.</p> | | <p>Interim evaluation by 2019</p> | |
| <p>Early Dispute Resolution</p> <p>A service to resolve workplace disputes – an alternative to</p> | <p>Early Dispute Resolution Evaluation</p> <p>Outcome Evaluation</p> <p>Expected Impact Score 2: Before and After</p> | <p>Monitoring of Advisory, Conciliation and Arbitration Service (Acas) management information, Acas customer satisfaction</p> | | <p>Scoping work - Working with Acas to identify what management information is needed to evaluate Early Conciliation</p> | |

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (<i>if available or by when</i>) | Interim findings | Final findings |
|---------------------------------|---|----------------------------------|---|-----------------------------|----------------|
| employment tribunals. | approach | surveys and tribunal statistics. | | implemented in summer 2014. | |

Higher Education Directorate Evaluations

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|---------------------------------|---|---|--|------------------|--|
| Overall HE Budget | <p>The Impact of University Degrees on the Lifecycle of Earnings: Some Further Analysis</p> <p>Impact score: 2 Uses econometric analysis of the Labour Force Survey (LFS) to estimate the wage and employment premia.</p> | Monitoring of outcome measures at individual student level. | Individuals who complete at least an undergraduate degree earn an additional 23% for men and 31% for women, relative to individuals with 2+ A levels and no degree. ¹ | | Published here , August 2013. No further evaluation of the legacy funding is planned. |
| | <p>The Returns to Higher Education Qualifications</p> <p>Impact score 2: Uses econometric analysis of the Labour Force Survey (LFS) to estimate the wage and employment premia.</p> | Monitoring of outcome measures at individual student level. | Individuals who complete an undergraduate degree earn an additional 23.5% for men and 29.7% women, relative to individuals with 2 + A levels and no degree. ² The associated rate of return achieved by the Exchequer resulting from the funding of these qualifications stands at 10.8% overall (11.4% for men and 9.6% for women). | | Published here , June 2011. |

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|--|---|---|--|--|--|
| <p>2012 Student Support arrangements</p> <p>This includes: <u>Maintenance grants and other targeted grant support</u>. (Grants to help with living costs to encourage participation by students from low income households and to support students with disabilities and students with child or adult dependants.) <u>Maintenance and Tuition Loans</u> (Loans are to cover basic costs of maintenance whilst studying and tuition costs; the cost of a progressive system ensuring that loans are only repaid by those who can afford to.)</p> | Higher Education in England: Impact of the 2012 reforms | Uses Higher Education Students Early Statistics (HESES) and Higher Education in Further Education Students (HEIFES) survey data and UCAS applicant data to monitor participation. | | | Published here , March 2013. |
| | Higher Education in England 2014; 2015 Impact score 2: Before and after | | | | Published here , April 2014 |
| | UCAS End of Cycle Report (2014) | Uses UCAS applicant data to track the take up and participation outcomes of learners. | | | Published here , December 2014. |
| | Impact score 2: Before and after | | | | |
| | Student income and expenditure survey in 2014/15 | Compare survey results with previous years. Includes a baseline to measure the impact of changes to the student financial package from 2012/13. | | | Baseline study published here , June 2013. |
| | Impact score 2: Before and after | | | | Final report expected January 2016. |
| | Plans for a suite of projects to explore the impact of the 2012 student support arrangement on decision making and participation in HE. First | The SLC monitor the take-up of maintenance and tuition loans, and grants awarded. Data published through a Statistical First Release. | | Statistical First Release loans expenditure information for 2012/13 and 2013/14 published here . | Publication of the "Influence of finance on higher education decision making" applicant and student survey report forthcoming. |

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|---|--|--|--|---|---|
| | project completed. Further projects to be developed. | | | | |
| | Development of approaches to assess the outcomes and impact of switching maintenance grants to loans for new students entering in 2016/17. | Uses UCAS applicant data, Higher Education Students Early Statistics (HESES) and Higher Education in Further Education Students (HEIFES) survey data and HESA Student Record data to monitor participation | | | |
| | Development of approaches to assess the outcomes and impacts of the Postgraduate Taught Loans that will be introduced in 2016/17 | Uses Higher Education Students Early Statistics (HESES) survey data and HESA Student Record data to monitor participation and SLC data to monitor take-up of PGT loans | | | |
| <p>Savings as a result of Reforms (post 2012)</p> <p>Rebalance the public/private contribution to the costs of HE by raising the fee cap to £9k and reducing</p> | Monitoring system in place and savings estimated on an on-going basis. | Monitoring of loan take-up and expenditure through the Statistical First Release from the Student Loans Company. Internal modelling expenditure and repayment | | A balance of contributions table is produced which is currently published in the OBR's fiscal sustainability report. OBR report available here . (pp170.) | Results will be published on an on-going basis. |

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|--|--|---|--|---|---|
| the HEFCE teaching grant. | | forecasts. | | BIS Government Major Projects Portfolio team has monitored the financial situation, published here . ³ | |
| <p>Student Loans (Legacy Funding arrangement)</p> <p>Loans help with living costs whilst studying and tuition costs; the cost of a progressive system ensuring that loans are only repaid by those who can afford to.</p> | <p>No further evaluation of the legacy funding is planned.</p> <p>A monitoring system is in place and will continue. The legacy funding arrangements were previously assessed through a range of statistical releases and research studies by BIS and stakeholders, all which informed the Browne review of HE</p> | <p>On-going monitoring of loan take-up and expenditure through the Statistical First Release from the Student Loans Company.</p> <p>The legacy student support arrangements were previously evaluated through the following studies:</p> <ol style="list-style-type: none"> 1. Evaluation of the individual and exchequer returns under previous funding systems published in 2011 and 2013 (referenced above). 2. Student income and expenditure survey in 2011/12 published here, June 2013. 3. Impact of the 2006/07 HE finance | | | Continued monitoring only as pre-2012 funding system is being phased out as old system students graduate. |

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|---------------------------------|---|---|--|------------------|----------------|
| | | <p>reforms on HE participation published here, October 2010.</p> <p>4. UCAS end of cycle data time series published here.</p> | | | |

Vocational Education Directorate Evaluations

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|---|--|--|---|--|--|
| <p>General Adult Skills Budget (excluding apprenticeships)</p> <p>Funding predominantly channelled through training providers to support learning by those aged 19+, including full level 2 and 3 qualifications, English, Maths, and other learning below level 2</p> | <p>Estimating the labour market returns to qualifications gained in English Further Education</p> <p>Impact score 4: using matched data treatment and comparison group</p> | <p>Individualised Learner Record (ILR) provides regular information on learner numbers.</p> <p>For this econometric analysis, a BIS matched administrative dataset was used, comprising ILR data matched to data on earnings, employment and benefits from DWP and HMRC.</p> | <p>Updated BCRs published here in June 2015</p> | <p>Provided a new method for measuring Value added in FE which shows good returns overall including for lower level training. Demonstrated gains across sectors including care and hair and beauty</p> | <p>Published here December 2014.</p> |
| <p>English and Maths</p> <p>English and Maths provision for adult learners</p> | <p>English and Maths provision for adult learners: benefits</p> <p>Impact Evaluation score</p> | | <p>Updated BCRs published here in June 2015</p> | | <p>Published here, October 2013.</p> |

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|---------------------------------|--|---|--|---|--|
| | 1: Before and after (self-reported) | | | | |
| | 18-21 Work Skills English and Maths pilot Expected Impact Evaluation score 5: RCT | Primarily through the Department for Work and Pensions management information system. | | The evaluation of the pilot's implementation is ongoing | Closed early due to the lower than expected number of referrals, partly due as a result of the welcome reduction in unemployment, but also owing to the implementation issues principally in Job Centre Plus, but also in the FE providers, and to the accelerated rollout of Universal Credit. This means that an impact evaluation will not be possible. |
| | Randomised Control Trial on English and Maths Expected Impact evaluation score 5: RCT has proved problematic, considering next steps. | Pre and post course testing. | | Process evaluation expected early 2016. Longitudinal study has produced interim results on skills gain. About to go to peer review | Final report on skill retention due spring 2016. |
| | Impact of poor English and Maths skills on English Industry | Surveys of representative sample of employers who do | | Few employers see basic skills as an issue for them – although | Expected publication date late 2015. |

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|--|--|---|--|---|--|
| | Impact Evaluation score: 1 (self-reported) | and don't provide training. Econometric analysis. | | evidence of underreporting and coping strategies. Employers that did do basic skills training report positive effects in work situations. | |
| | English and maths: Longitudinal study of skills gain and atrophy over time Expected Impact Evaluation score: 2 | Monitor pre and post course test results with a follow up 1 year later. | | Longitudinal study has produced interim results on skills gain. About to go to peer review | Final report on skill retention due spring 2016. |
| Traineeships Designed to help young people who want to get an apprenticeship or job but don't yet have appropriate skills or experience. | Evaluation of Traineeships Expected Impact score 4: Treatment and comparison group through datasets. | Statistical First Release using ILR data. | | Process evaluation—published March 2015. (Link) | Feasibility study approved but contractors awaiting datasets to assess quality and robustness Full evaluation and impact assessment findings due Dec 2016 |
| Unemployed Learning Training for the unemployed | Training for the unemployed Impact Evaluation score 4: Matched data before and after treatment and comparison group | | | Phase 1 completed March 2014. Publishing incorporated into phase 2. | Phase 1 & 2 published December 2015 (link) |

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|---|---|---|---|------------------|--|
| Learning below Level 2 | Evaluation of the impact of Learning below level 2 in FE Impact score 4: Matched data before and after treatment and comparison group | ILR used for monitoring learners and matched ILR used to derive pre and post position and comparison. | Updated BCRs published here in June 2015 | | Published here , October 2013. |
| Prisoner Learning The Offenders' Learning and Skills Service (OLASS) contract was renewed in 2012 (OLASS4). Other policy changes related to prisoner learning were introduced around the same time. | Evaluation of prisoner learning: initial impacts Expected Impact Evaluation score 4: before and after for both treatment and comparison groups | OLASS participation data reported in the Further Education and Skills Statistical First Releases. | The limited availability of post-release data mean that a benefit-cost ratio will not be estimable within this project. | | Scoping phase complete. Case study fieldwork and impact analysis is underway. A final report due in Spring 2016. |
| Apprenticeships Funding currently channelled through training providers to deliver Apprenticeship frameworks for aged 19+. | Apprenticeship Evaluation: Learners and Employers Impact score 1: Self-Reported | Survey based on ILR sample. | Updated BCRs published here in June 2015 | | Last survey published March 2014. (Published here for Learners, and here for Employers). This year's Apprenticeships Evaluation Surveys with learners and employers are taking place now, |

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|---|--|---|---|--|--|
| | | | | | under the same format as previously. This will report in Spring '16 |
| | Employer investment in apprenticeships and workplace learning Process Evaluation: in-depth case studies | Case studies of 79 employers identified from those employers in the National Employers Skill Survey 2009. | | | Published here , May 2012. |
| Trailblazers Trailblazers are groups of employers working together to design new Apprenticeship standards for occupations in their sectors. | Evaluation of Trailblazers apprenticeships Expected Impact Evaluation score 4: Treatment and comparison group | | | Commissioned and currently undergoing data scoping | |
| | Process evaluation of Apprenticeship Trailblazers | Survey based on ILR sample. | | Process evaluation published November 2015 (link) | Final report expected 2016. |
| Employer Ownership Pilot Competitive fund open to employers in England to provide training and Apprenticeships. | Expected Impact Evaluation score 4: before and after for both treatment and comparison groups | Participation data reported in Further Education and Skills Statistical First Releases. | Round 1: To be available in final evaluation report – 2017. Round 2: Evaluation cancelled due to | Round 1: Initial findings report published in here March 2015. Baseline surveys completed. An internal report on baseline surveys is currently | Round 1: Sampling Point B design approved. Fieldwork began in Autumn 2015. Final report due in 2017. |

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|--|--|---|---|--|---|
| Evaluation of Employer Ownership Pilot Rounds 1 and 2 | | | closure of R2 funding for projects | being finalised. Round 2: Scoping report 2015 | |
| Apprenticeship Grant for Employers (AGE) Grant to support businesses to recruit 16 to 24 year olds apprentices, with an individual value of £1,500. | Apprenticeship grant for employers: evaluation Impact Evaluation score 3 - Predicted versus actual (modelled), predicted based on actual baseline data . | ILR data data held on AGE 16 to 24 Apprentices. Number of telephone surveys with employers, NAS/SFA managers, and strategic partners | Evaluation (published in December 2013) suggested a return of £18 per pound of government funding for L2 apprenticeships supported by AGE, and £24 per pound at L3. | | Published here , December 2013. |
| Community Learning Community learning describes a broad range of learning, usually unaccredited for 19+ adults to pursue an interest, address a need, acquire a new skill, become healthier or learn how to support their children better. | Community Learning Survey Report Process Evaluation Review and update of research into the wider benefits of adult learning Impact score: 2 Before and after Method: Panel data and OLS | Survey of representative sample of Community Learning learners. British Household Panel Survey data. | | | Wave 1 published here , March 2013. Wave 2 published here May 2014. Published here , November 2012. |
| 24+ Advanced | Evaluation of 24+ | Skills Funding Agency's | To be produced at the | The process evaluation | Stage 1 Formative |

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|---|--|--|---|--|---|
| <p>Learning Loans</p> <p>Introducing 24+ Loans for Level 3 and above to replace grant funding.</p> | <p>Advanced Learning Loans</p> <p>Expected Impact Evaluation score 4: regression discontinuity design</p> | <p>ILR and SLC loan data. Use ILR (before and after and matched groups).</p> | <p>end of the evaluation in 2016.</p> | <p>of the first year of 24+ Advanced Learning Loans is complete.</p> | <p>Evaluation due to be published early 2016.</p> <p>Stage 2 Impact Assessment is underway and aims to complete late 2016</p> |
| <p>FE Capital</p> <p>Capital spending projects by further education (FE) colleges.</p> | <p>Evaluation of the capital spend on FE colleges in England between April 2001 and September 2011</p> <p>Impact Evaluation score 4: Matching (before and after data for both treatment and comparison groups)</p> | <p>SFA collect monitoring data on capital funding they distribute.</p> | <p>Every £1 million of capital expenditure was associated with between approximately 62 and 86 additional learners per year (in 2012 prices). £1 million of capital expenditure was associated with a 0.06 percentage point reduction in the percentage of college income coming from the Learning and Skills Council or the Skills Funding Agency.</p> | | <p>Published here, December 2012.</p> |
| <p>Union Learning Fund</p> <p>Supports individuals who face particular barriers towards learning</p> | <p>Union learning adding value - An evaluation of union learn and the union learning fund</p> <p>Impact score 1 (self-reported based on</p> | <p>Output monitoring in place.</p> | | | <p>Published here, May 2011.</p> |

| Policy intervention and summary | Evaluation name/ impact evaluation score expected perception) | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|---|---|---|--|------------------|---|
| Further Education Workforce Programme To support FE colleges meet the staffing challenges facing them. | Further Education Workforce Programme Evaluation Expected Impact Evaluation score 2: Before and After | Output monitoring in place by initiative – including Education and Training Foundation and National College for Teaching and Learning participant data. | Not planned as the data needs would be very long term and difficult to attribute reliably. | | To be completed March 2016. |
| Strategic Investment Fund To target investment at market failures, whether this be through access to finance, skills development and/ or access to technology / infrastructure. It is a legacy Regional Development Assistance project. | Evaluation of Strategic Investment Fund Expected Impact Evaluation score: 1 -No baseline self-reported impact (not verifiable) | Strategic Investment Fund closed in 2009/10 and this evaluation follows up key projects to assess the progress of investments. | Yes using self-reported case studies. BCR estimated at 1.49. | | Forthcoming evaluation, to be published 2016. |
| Apprenticeship Levy | Started to consider evaluation internally. | | | | |
| General restructuring and realignment of FE Sector Estate | Evaluation design: Not yet agreed but expected to explore how successful the policy is | | | | |

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|---|---|--|--|---|--|
| <p>The policy aims to establish a set of Further Education institutions that are financially resilient and able to offer high quality education and training based on the needs of learners and employers within the local area. The detail is set out here</p> | <p>in realising the anticipated costs and benefits, with a particular view to producing early indications of the likely impacts on learners, employers, providers, government and other stakeholders.</p> | | | | |
| <p>Community Learning Mental Health Pilots (CLMH)</p> <p>Using learning approaches to tackle mild to moderate mental health conditions</p> | <p>Evaluation of (CLMH). First year (score 1) self-reported measures. Year 2 (score 5) if proposed RCT proceeds.</p> | <p>ILR marker for pilots. First year evaluation includes assessment of MIR and ILR data.</p> | | <p>Pilot delivery commenced April 2015. Headline interim findings due late 2015 / early 2016</p> | <p>Final report of Year 1 Process Evaluation due Summer 2016. Year 2 expected to commence April 2016.</p> |
| <p>Quality Improvement Reform</p> <p>An umbrella programme name of grant funding directed to the Education Training Foundation. A charity that provides a number of smaller programmes concerned with the</p> | <p>Process evaluations of: FE Intervention Regime FE Workforce Strategy FE Governance and Leadership Self reported measures (score 1)</p> | <p>Combination of:</p> <ul style="list-style-type: none"> - Desk reviews of project/MI information - Surveys - Interviews | | | <p>Process evaluations, published in 2015</p> |

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|---|---|--|--|--|---|
| improvement of Further Education provision. | | | | | |
| <p>National Careers Service</p> <p>The National Careers Service provides anyone aged 13 and over with access to up to date, impartial information and professional guidance on careers, skills and the labour market through an online service and telephone helpline.</p> | <p>An economic evaluation of National Careers Service</p> <p>Expected impact Score: 4</p> | <p>National Careers Service Dataset contains detailed information on customers.</p> <p>Data from the Individualised Learner Record (ILR/SILR), and admin data from HMRC and DWP are also used for evaluation purposes.</p> | | | <p>An Economic Evaluation of the National Careers Service which employs a propensity score matching methodology expected to be published in early 2016.</p> |
| Learner Support | Self reported measures (score 1) | Analysis of learner support recipients using the ILR | | Evaluation published September 2013 here | Learner support funds will be amalgamated in to the Unified Skills Budget |

Innovation Directorate Evaluations

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|---|--|---|--|--|---|
| <p>University Enterprise Zones (UEZs)</p> <p>UEZs are partnerships between actors in a specific territory led by universities, with LEPs and others. It provides incubator space and business support with an aim to increase university-business interaction. There are currently 4 UEZs. Note this is a pilot.</p> | <p>University Enterprise Zones Pilot Evaluation</p> <p>Expected impact evaluation score: 2</p> | <p>Baseline survey was conducted in October 2014 collecting baseline information. Monitoring reports and tenants survey to be annually each year by the UEZs.</p> | <p>This data will be available at the final evaluation stages in 2023 measuring long term impact</p> | <p>An interim process evaluation will take place in 2017</p> | <p>The final impact evaluation will take place in 2023 using information from a survey of all past tenants (using database of tenants).</p> |
| <p>Cambridge Science Park Technology Centre (Trinity College)</p> <p>Developing a business incubator with wrap around business support, increasing productivity in the area to build on the world class science and technology base.</p> | <p>Cambridge Science Park Technology Centre Evaluation.</p> <p>Expected impact evaluation score: 2</p> | <p>Baseline survey currently being conducted. Monitoring reports and tenants survey to be annually conducted by centre. Evaluation will follow same structure as the UEZ evaluation plan.</p> | <p>This data will be available at the final evaluation stages in 2023 measuring long term impact</p> | <p>An interim process evaluation will take place in 2017</p> | <p>The final impact evaluation will take place in 2023 using information from a survey of all past tenants (using database of tenants).</p> |

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|--|---|---|---|------------------|--|
| <p>Innovation Financial Products</p> <p>A new system of innovation funding which provides a continuum of support throughout the innovation lifecycle.</p> | <p>Evaluation plans are currently being discussed internally.</p> <p>Initial stages will involve the collection of baseline information, and market testing of new innovation financial products. Over the longer term, a comprehensive programme of evaluation is expected, including assessment of process, impact, and cost effectiveness.</p> | | | | |
| <p>Public Weather Service (PWS)</p> <p>The PWS is delivered by the Met Office and provides the general public and the public sector with weather forecasts and warnings used to help protect life, property and infrastructure from the effects of severe weather, and supporting economic growth</p> | <p>PWS Performance Measures (PPM) set by the PWS Customer Group (PWSCG). The Met Office is tasked to achieve an agreed number of PPMs each year.</p> | <p>The PWSCG set performance measures for each element of the PWS to ensure that the PWS outputs are being delivered to the expectation of users. These are set annually and incorporated into the Customer-Supplier Agreement.</p> | <p>Economic assessments of the PWS are conducted from time to time. The latest, in 2014, estimated the economic benefits of the PWS as at least £1.5bn per annum for a £115m investment, suggesting a return on investment of 12:1.</p> | <p>N/A</p> | <p>The Met Office delivered all PPMs for year 14/15.</p> |

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|-------------------------------------|--|--|--|---|--|
| through use of weather information. | | | | | |
| Meteorological Office | High Performance Computer Evaluation Outcome and Impact Evaluation – Expected impact score 2 (Before and After study). Benefit realisation strategy in place | Objectively verify prediction capability and customer service improvements (outcomes) using industry-standard statistical techniques. Involve external benefit owners to assist in identification and evaluation of their socio-economic benefits (impacts). | Only from the appraisal stage | The Programme of work and corresponding projects has begun. | Not expected until 2020 |
| | Met Office Space Weather Evaluation Outcome Evaluation Expected Impact Score: 2 (Before and After Approach). | Stakeholder survey: Initial response rate was low reflecting the newness of the service. Met Office will run a second wave in January 2016. | Yes. Study of societal costs and benefits of space weather forecasts is due for completion in May 2016. | The results of the January survey will be challenged by the space weather service stakeholder group and used to steer future service developments | Report of the first stakeholder survey has been produced |
| | Met Office EUMETSAT Evaluation Outcome and Impact Evaluation Expected Impact Score 2 (Before and After | Met Office uses 'adjoint sensitivity' analysis to measure the relative contribution of components of our observing system to | No - Very early work has begun on measuring relative cost effectiveness of different components of the observing system, | | Planning stage |

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (<i>if available or by when</i>) | Interim findings | Final findings |
|---------------------------------|---|----------------------------------|---|------------------|----------------|
| | study) | forecast accuracy. | so some information may be available. | | |

Partner Organisation: Innovate UK Evaluations

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (<i>if available or by when</i>) | Interim findings | Final findings |
|---|---|---|---|---|---|
| <p>Small Business Research Initiative (SBRI)</p> <p>SBRI connects public sector challenges with innovative ideas from industry, via procurement contacts. It supports companies to generate economic growth and enables improvements in achieving government objectives.</p> | <p>SBRI Evaluation</p> <p>Expected Impact Evaluation score 5: Matched with before and after</p> | <p>For competitions run by Innovate UK, monitoring data on applicants and projects is collected via Innovate UK's back office systems. For competitions run by other public sector bodies, Innovate UK relies on those bodies sending through summary data.</p> | <p>Will be published in the Autumn of 2015.</p> | <p>Further work to complete the impact evaluation is currently being scoped and will be commissioned in 2016.</p> | <p>Full process evaluation and partial impact evaluation, capturing the value added to the economy through the participating businesses up to 2017, was completed in 2015 and is due to be published in early 2016.</p> <p>Previous evaluation published here, June 2010.</p> |
| <p>Knowledge Transfer Partnerships</p> <p>Helping businesses improve their competitiveness and productivity through the better use of knowledge, technology and skills that reside within the UK Knowledge Base.</p> | <p>Knowledge Transfer Partnerships Evaluation</p> <p>Expected Impact Evaluation score 4: Comparison with before and after</p> | <p>Monitoring data on applicants, projects and project outcomes is collected by Innovate UK, including (but not limited to) firm size, location, grant amount, and total project cost.</p> | <p>Combined with the 2010 evaluation, the total impact of KTPs is estimated to be between £7.5-8 for every £1 invested.</p> | <p>Capturing the impact as realised through the knowledge base and associates (2 of the 3 beneficiaries). Data will be collected at a single point in time but, where possible, matched to longitudinal data. Expect to have single-point-in-time data collection with a modelled predicted vs. actually.</p> | <p>The evaluation is complete and published here.</p> <p>Previous evaluations (impact score: 1) August 2012. Published here; February 2010. Published here,</p> |

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|--|--|--|---|--|---|
| <p>Smart</p> <p>To help small and medium-sized businesses (SMEs) to research and develop technologically innovative products and processes.</p> | <p>Smart Evaluation</p> <p>Expected Impact Evaluation score 4: Comparison with before and after</p> | <p>Monitoring data on applicants and projects is collected by Innovate UK, including (but not limited to) firm size, location, grant amount, and total project cost.</p> | <p>The retrospective evaluation estimates the impact of Smart to be up to £4-5 in the medium term (up to 2017) for every 21 invested, potentially rising up to £9 in the longer term.</p> | <p>Retrospective Impact Evaluation by end of 2014 with a full matched-with-before-and-after impact evaluation running from 2014-December 2017. At least one control group.</p> | <p>A process and impact evaluation of Smart projects which have run since Innovate UK took over delivery of the programme in 2011 is complete and was published in late 2015 (link).</p> <p>Monitoring arrangements are in place to measure the longer term impact of Smart projects ending in December 2017.</p> |
| <p>Biomedical Catalyst (with Medical Research Council)</p> <p>Grant funding scheme-will provide responsive and effective support for the best life science opportunities arising in the UK.</p> | <p>Biomedical Catalyst</p> <p>Expected Impact Evaluation score 4: Methodology to be confirmed after initial scoping phase of evaluation. Regression discontinuity design is the favoured approach.</p> | | | <p>Further econometric analysis and the results of a datalinking exercise will follow in a later phase of the project during 2016 and 2017.</p> | <p>Evaluation framework and baseline assessment completed in 2015, and due to be published in early 2016.</p> <p>This includes a full process and early impact evaluation incorporating findings from stakeholder interviews, case studies and the applicant survey.</p> |

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|--|--|---|--|--|--|
| <p>Innovation Platforms</p> <p>An innovation platform brings industry, academia and government together to focus on a specific challenge with a long-term commitment to a programme of support. The challenges are identified and a programme of activity is defined.</p> | <p>Innovation Platforms</p> <p>Expected Impact Evaluation score: TBC</p> | <p>Innovation Platforms utilise a number of Innovate UK initiatives in providing a programme of support. These programmes, such as Collaborative R&D, each have their own monitoring systems.</p> | | <p>Commissioned in May 2015 this will develop a framework under which Innovation Platforms impact can be evaluated and to retrospectively apply this on two innovation platforms (Sustainable Agriculture and Food Innovation platform and Low Impact Buildings Innovation Platform). Draft evaluation frameworks have been completed.</p> | <p>Survey work is due to be completed by April 2016 with interim report due in July 2016. Further follow up studies are planned for 2017 and 2018.</p> |
| <p>Innovation Vouchers</p> <p>A grant of up to £5k to enable innovative SMEs to work with experts they have not worked with before to gain knowledge that could help growth.</p> | <p>Innovation Vouchers</p> <p>Expected Impact Evaluation score 5: Randomised Control Trial</p> | <p>Monitoring data on applicants and projects is collected by Innovate UK, including (but not limited to) firm size, location, grant amount, and total project cost.</p> | | <p>Retrospective review of available programme information (Rounds 1-9), awaiting final draft. Randomised Control Trial (Rounds 11-14) in scoping phase</p> | |
| <p>Improving SMEs Commercial Success</p> <p>Matched grants funding –to support the UK</p> | <p>Improving SMEs Commercial Success</p> <p>Expected Impact Evaluation score 4:</p> | | | <p>Scoping phase. Expect to use a matched-before-and-after approach.</p> | |

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|---|--|---|--|--|---|
| construction industry deliver buildings with a much lower environmental impact | Comparison with before and after | | | Previous evaluation: SME Growth Pilot evaluation (2014) Published here . | |
| Collaborative R&D Encourage HEI and businesses to collaborate to promote knowledge transfer and innovation. | Evaluation of Collaborative R&D (2011) Impact Evaluation Score 1 Economic Evaluation | Monitoring data on applicants and projects is collected by Innovate UK, including (but not limited to) firm size, location, grant amount, and total project cost. | GVA to the economy generated by the projects was estimated at £6.71 per £1 of government funding for the intervention. | Economic evaluation of CR&D; its outputs, outcomes, economic benefits, wider impacts and lessons learnt. | Published here , September 2011 |
| Eurostars Programme A joint programme between Eureka Network and the European Commission to provide funding for market oriented research and development by SMEs. | Eurostars Impact Report (2012) Eurostars impact assessment working group. | | | An assessment of the impact and effectiveness of the Eurostars programme. | Published here , June 2012. |
| Feasibility Studies Programme A single-company or collaborative business- | TSB Feasibility Studies Evaluation Findings (2013) Impact Evaluation | Monitoring data on applicants and projects is collected by Innovate UK, including (but not limited to) firm size, | Impact of £3 increased GVA for every £1 invested had been realised, and was expected to increase to | | Published here , February 2013. |

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|--|--|--|--|--|--|
| led R&D grant scheme that allows businesses the opportunity to test an innovative idea on its feasibility to be developed. | Score: 2 | location, grant amount, and total project cost. | up to £9 by beneficiaries. | | |
| Catapult Centres Technology and Innovation centres providing cutting edge facilities to bring world-leading science and research to commercialisation. | Catapult Centres Evaluation Expected Impact Evaluation score 4: Treatment & Comparison Group. | Each Catapult centre provides quarterly reports of a range of metrics to Innovate UK according to an agreed set of key performance indicators. | | Currently scoping evaluation plan, expected completion early 2016 | |
| | Cell Therapy Catapult: Expected impact score will depend on the findings of the evaluation framework | | | Evaluation framework and baseline complete Evaluation fieldwork and first interim report expected at the end of 2016. | |
| | Future Cities, Digital, Offshore Renewable Energy and Transport Systems Catapults: Expected impact score will depend on the | | | | Evaluation framework and baseline studies currently underway under a central Innovate UK commission. Expected to complete by the end |

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|---------------------------------|---|----------------------------------|--|---|----------------|
| | findings of the evaluation framework. | | | of 2015. Evaluation fieldwork and first interim report expected at the end of 2016. | |
| | High Vale Manufacturing Catapult and Satellite Applications Catapult: Expected impact score will depend on the findings of the evaluation framework. | | | Evaluation framework and baseline studies currently underway as two separate independent studies with Innovate UK oversight. Expected to complete by the end of 2015. Evaluation fieldwork and first interim report expected at the end of 2016. | |
| | Precision Medicine, Medicines Technology and Energy Systems: Expected impact score will depend on the findings of the evaluation framework | | | Evaluation framework and baseline studies expected to be undertaken in 2016. | |

Partner Organisation: Shareholder Executive Evaluations

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (if available or by when) | Interim findings | Final findings |
|---|---|---|---|--|---|
| <p>Green Investment Bank (GIB)</p> <p>Invests in green projects on commercial terms and mobilises private sector capital into the UK's green economy.</p> | <p>Evaluation of the Green Investment Bank (GIB)</p> <p>Outcome Evaluation Impact score 2: Before and After approach.</p> | <p>Monitoring system in place.</p> <p>Annual Investor Attitudes Survey conducted in 2013 and 2014, as part of the monitoring of the continued need for the GIB.</p> | <p>GIB cannot easily be evaluated due to the cross over between GIB and DECC policies that impact on investment</p> | <p>Annual survey for 2013 found that market failures persist in the products and sectors in which it is active. GIB's current mix of sectors and products therefore remains valid. Survey was repeated autumn 2014.</p> <p>An interim evaluation of the performance of the GIB has been undertaken. This includes a full review of GIB sectors and products. This will be published in early 2016.</p> | <p>GIB collects comprehensive data on its projects this includes data on the financial performance of the portfolio and green impact. This may enable evaluation of other performance dimensions in the future.</p> |
| <p>Post Office</p> <p>The Post Office operates a network of more than 11,500 branches across the UK and delivers a wide range of services including mail and parcels, financial services and services for Government (e.g.</p> | <p>Evaluation of Post Office Network Transformation</p> <p>Process Evaluation (2)</p> | <p>Monitoring data collected at a Post Office Ltd (POL) level and at a network level to track progress against KPIs.</p> | | <p>ShEx requests data from POL which is received at weekly and monthly intervals to track programme progress and to identify potential emerging issues.</p> | <p>A review of programme outcomes will be conducted when the programme is complete in March 2018.</p> |

| Policy intervention and summary | Evaluation name/ impact evaluation score expected | Description of monitoring system | Benefit Cost Ratio (<i>if available or by when</i>) | Interim findings | Final findings |
|---|---|----------------------------------|---|------------------|----------------|
| access to pensions and benefits, passport applications and driving licence applications) in addition to home phone and broadband. | | | | | |

Annex B: Open and Transparent Evaluation: Annual Publication of Monitoring and Evaluation Coverage for BIS Regulation

B.1 BIS Regulatory Review Update

BIS is strongly committed to using robust evidence to support the development, implementation, monitoring and evaluation of our regulations. BIS and our partner bodies produce impact assessments assessing the costs and benefits of all regulatory changes that impact business prior to consultation, enactment and implementation.

Regulatory Reviews⁵ are a key element of better regulation and will provide an evidence based evaluation of the effectiveness of a measure after it has been implemented and operational (after an appropriate period of time). A Regulatory Review will review: the original policy objectives, the extent to which the measure is achieving its intended effects / meeting its objectives, whether there have been any unintended consequences, how well it is working, and the reasons why. It will also assess whether the objectives could be achieved with a system that imposes less regulation.

These regulatory reviews will then inform the decision-making process about the next steps for a measure, which are:

- a. **Renewal** - measure continues without change;
- b. **Amendment** - measure remains but changes are made to improve it;
- c. **Removal** - measure is removed without replacement; or
- d. **Replacement** - measure is replaced or redesigned substantially.

This Annex sets out the statutory reviews and non-statutory reviews with significant impact on business that will be published within the next 12 months⁶.

⁵ These are also referred to as post implementation reviews

⁶ Reviewing regulation: summary of BIS regulatory review commitments (Available at: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/409550/bis-15-156-summary-BIS-regulatory-review-commitments.pdf) provides information on BIS statutory reviews and non-statutory reviews with significant impact on business as of February 2015

Statutory Reviews

The Small Business, Enterprise and Employment Act 2015 creates a new duty on Government Ministers to include a statutory review provision in new secondary legislation that has a regulatory effect on business, unless it is not appropriate to do so⁷. The statutory guidance⁸ explains what departments need to consider when deciding whether a review provision is appropriate. This is part of this Government's commitment to reduce both the stock of existing regulation and the flow of new regulation.

A review clause imposes a statutory duty to carry out a review of the relevant legislation, the date of publication of the statutory review is within five years from the date the legislation came into force, and subsequent reviews should take place at five year intervals, at least.

Non-Statutory Reviews

Non-statutory reviews are public commitments made to review the legislation usually within 3, 5 or 7 years. The review commitments are not in legislation but in other published documents, for instance as part of the original Impact Assessment (IA). This is normally accompanied by a section in the IA's evidence base providing more detail about the structure and content of the review. In most instances, non-statutory reviews will cover the same material as statutory reviews.

Proportionality

Consistent with the principle of proportionality, reviews are expected to be proportionate to the nature of the original legislation and the level and quality of evidence sought should be balanced against other priorities to ensure value for money for taxpayers.

The primary consideration for proportionality should be based on the legislation's expected impact on business and the wider economy. Secondary considerations include whether the impacts are contentious or uncertain, and the availability of established data sources.

For the majority of the BIS statutory review commitments, the impacts on businesses and the economy are limited, hence light touch reviews will be undertaken. For the non-statutory review commitments, more robust analysis (economic evaluation, impact evaluation and process evaluation) will be undertaken given the estimated impacts within the IAs.

⁷ Since 2011, government departments have regularly been including statutory review clauses on secondary legislation that impact business

⁸ BIS (2015) Small Business, Enterprise and Employment Act: statutory review requirements.

Available at: <https://www.gov.uk/government/publications/small-business-enterprise-and-employment-act-statutory-review-requirements>

Scrutiny of Post Implementation Reviews

The Regulatory Policy Committee (RPC) is an independent non-departmental public body whose purpose is to scrutinise PIRs and to give each PIR a Red, Amber or Green rating. These rankings are based on whether the analysis is fit for purpose, that is, whether it is proportionate and convincingly uses evidence to address the effectiveness of the legislation (i.e. the extent to which the legislation is working as expected; the extent to which its objectives and success indicators are met; and the extent of unintended effects).

B.2 BIS Regulatory Review Tables

International Affairs, Trade Policy and Export Control Reviews

| Measure and Description | Review Commitment (statutory or non-statutory) | Net Present Value and Total Cost (£million) | Review Plan | Review Date |
|--|--|---|--|-------------|
| <p><u>The Export Control (Eritrea and Miscellaneous Amendments) Order 2011</u></p> <p>Implements enforcement of certain restrictive measures against Eritrea.</p> | Statutory | No impact assessment | Article 9 sets out the required review. A review using existing data sources such as the licensing data provided on SPIRE and if necessary consulting the Commission and individual Member States will take place at least 12 months prior to the review date. | 13/06/16 |
| <p><u>The Export Control (Belarus) and (Syria Amendment) Order 2011</u></p> <p>Implementing restrictive measures in relation to Belarus and Syria, which include prohibitions on trade, technical assistance and finance assistance.</p> | Statutory | No impact assessment | Article 9 sets out the required review. A review using existing data sources such as the licensing data provided on SPIRE and if necessary consulting the Commission and individual Member States will take place at least 12 months prior to the review date. | 05/09/16 |
| <p><u>The Export Control (Al-Qaida and Taliban Sanctions) Regulations 2011</u></p> <p>Implementing additional restrictive measures in</p> | Statutory | No impact assessment | Article 9 sets out the required review. A review using existing data sources such as the licensing data provided on SPIRE and if necessary consulting the Commission and individual Member States will take place at least 12 months prior to the review date. | 30/11/16 |

| Measure and Description | Review Commitment (statutory or non-statutory) | Net Present Value and Total Cost (£million) | Review Plan | Review Date |
|--|--|---|-------------|-------------|
| relation to Al-Qaida and Taliban, which include prohibitions on technical advice, assistance or training related to military activities. | | | | |

Consumer and Competition Policy Reviews

| Measure and Description | Review Commitment (statutory or non-statutory) | Net Present Value and Total Cost (£million) | Review Plan | Review Date |
|---|--|---|---|-------------|
| <p><u>Postal Services Act 2011</u></p> <p>Making provision for: an unrestricted sale of shares in Royal Mail; transferring Royal Mail's historic pension deficit to Government; a new regulatory regime for the postal services sector; and a special administration regime.</p> | Statutory | <p>Net Present Value: 3,068</p> <p>Total cost (present value): 10,586</p> | Sections 34, 44, 67 and 88 set out the required reviews. There is on-going monitoring of the postal market by OFCOM (Sections 34 & 44). BIS will review part 3 (Regulation of the Postal Services) & 4 (Special Administration Regime) of the Act and will make use of the OFCOM review, other data sources on the postal market, and the views of stakeholders including postal users, OFCOM and postal providers | 13/06/16 |
| <p><u>The Enterprise Act 2002 (Merger Fees) (Amendment and Revocation) Order 2012</u></p> <p>Increasing existing merger fees and introducing an additional higher fee band for mergers involving acquisitions of enterprises with an annual UK turnover that exceeds £120 million to achieve greater cost recovery.</p> | Non-statutory | <p>Net Present Value: 0</p> <p>Total cost (present value): 23</p> | The review commitment is made in the <u>Merger Fees IA</u> . Team is conducting a light touch review of the 2012 Merger Fees reforms (increases) in terms of the objectives of the policy which were to increase the level of cost recovery, but without reducing the number of economically valuable mergers taking place, or reducing the number of mergers notified to the Competition and Markets Authority (CMA). They are currently establishing what data is held by the CMA and what other publicly available research is most salient for us to use. | 01/07/16 |

European Reform Reviews

| Measure and Description | Review Commitment (statutory or non-statutory) | Net Present Value and Total Cost (£million) | Review Plan | Review Date |
|--|--|---|---|--|
| <p><u>The Supply of Machinery (Safety) (Amendment) Regulations 2011</u></p> <p>Amending Directive introduces additional essential environmental protection requirements for new pesticide application equipment.</p> | Statutory | <p>Net Present Value: 3</p> <p>Total cost (present value): 0</p> | Regulation 7 sets out the required review. This amendment will be reviewed as part of the review of the parent regulation Supply of Machinery (Safety) Regulations 2008 which will be completed by the spring 2016. A review will be conducted, engaging with important stakeholders, relevant trade bodies, Health and Safety Executive (who enforce the regulation) and Machinery Notified Bodies to gather information and data regarding the impact of the regulation in terms of costs and benefits to business. | <p>Review date 01/12/14</p> <p>Publication due 31/3/16</p> |
| <p><u>The Toys (Safety) Regulations 2011</u></p> <p>Ensuring an improved level of safety, enforcement, clarification of scope and concepts; and a 'level playing field' between manufacturers in the EU.</p> | Statutory | <p>Net Present Value: -190</p> <p>Total cost (present value): 221</p> | Regulation 58 sets out the required review. The PIR will be based on a mix of qualitative and quantitative evidence, gathered from enforcement teams (in this case, Trading Standards) and industry participants, manufacturers (British Toy & Hobby Manufactures), importers (Equitoy), and retailers (Toy Retailers Association). | 19/08/16 |
| <p><u>Provision of Services Regulations 2009</u></p> <p>Directive enables the liberalisation of the EU services sector, requiring HMG to address the barriers</p> | Non-statutory | <p>Net Present Value: Significant</p> <p>Total cost (present value): 29</p> | BIS has commissioned an evaluation of the Services Directive and an evaluation of the impact of UK services liberalisation on the UK. The research will consider a number of UK service sub sectors where there is a history of liberalisation and where the sector is of interest to the UK economy, considering the impact of liberalisation on economic indicators such as trade, investment and GDP. | <p>31/07/15</p> <p>Work is on-going for this PIR</p> |

| Measure and Description | Review Commitment (statutory or non-statutory) | Net Present Value and Total Cost (£million) | Review Plan | Review Date |
|---|--|---|-------------|-------------|
| to service provision and improve the functioning of the single market for services. | | | | |

Labour Markets Reviews

| Measure and Description | Review Commitment (statutory or non-statutory) | Net Present Value and Total Cost (£million) | Review Plan | Review Date |
|--|--|--|---|-------------|
| <p><u>The Employment Equality (Repeal of Retirement Age Provisions) Regulations 2011</u></p> <p>Phasing out the Default Retirement Age set at 65. Individuals are still able to retire at 65, but this is no longer mandatory.</p> | Non-statutory | <p>Net Present Value: 2,898</p> <p>Total cost (present value): 130</p> | <p>The review commitment is made in the <u>Phasing Out the Default Retirement IA</u>. The review will use a variety of survey and administrative data to assess whether this has been achieved, looking at trends in the nature and levels of participation in the labour market of this age group, and changing attitudes and practices of employers and employees in relation to this age group. Data sources are likely to include: Survey of Employers Policies Practices and Preferences Relating to Age; Fair Treatment at Work Survey; British Social Attitudes Survey; Labour force Survey; Work-life Balance Surveys of Employers and Employees. The review will also draw on administrative sources such as Employment Tribunal data to look at dismissal disputes, as well as qualitative evidence gathered with business stakeholders and trade unions to understand to how the change has had an impact.</p> | 31/12/16 |

Business Environment Reviews

| Measure and Description | Review Commitment (statutory or non-statutory) | Net Present Value and Total Cost (£million) | Review Plan | Review Date |
|--|--|---|---|---|
| <p>The Accounting Standards (Prescribed Bodies) (United States of America and Japan) Regulations 2012</p> <p>Permits companies who were listed on the stock exchanges in USA and Japan to continue to use the Generally Accepted Accounting Principles (GAAP) for the country they were listed in which they were listed financial years ending on or before 31/12/14.</p> | Non-statutory | <p>Net Present Value: 3.47</p> <p>Total cost (present value): 0</p> | A light touch PIR was conducted in early 2015, involving internal reviewing the assumptions and analysis of the original IA, and surveying and speaking to stakeholders in business, representative bodies and government. (Link) | Light touch PIR published March 2015 Regulations were remade in the summer of 2015. BIS is committed to a PIR by October 2020 |

Better Regulation Executive Reviews

| Measure and Description | Review Commitment (statutory or non-statutory) | Net Present Value and Total Cost (£million) | Review Plan | Review Date |
|---|--|--|---|-------------|
| <p><u>The Primary Authority scheme (including extensions)</u></p> <p>Separated into four regulatory changes</p> <p>1) <u>Regulatory Enforcement and Sanctions Act 2008</u></p> <p>2) <u>Enterprise and Regulatory Reform Act 2013</u></p> <p>3) <u>The Co-ordination of Regulatory Enforcement (Enforcement Action) (Amendment) Order 2013</u></p> <p>4) <u>The Co-ordination of Regulatory Enforcement (Enforcement Action) (Amendment) Order 2014</u></p> | Non-statutory | <p>1) Net present value: 338 Total cost (present value): 219</p> <p>2) Net present value: 283 Total cost (present value): 99</p> <p>3) Net present value: 52 Total cost (present value): 53</p> <p>4) Net present value: 213 Total cost (present value): 150</p> | <p>The review commitments are made in the <u>Impact Assessment of Regulatory Enforcement and Sanctions Bill Parts 1 and 2; Extending the Primary Authority Scheme, Extending the Primary Authority to cover age restricted sale of gambling, the Housing Health and Safety Rating System, age restricted sales of sun bed tanning and Welsh regulations on single use carrier bag charging</u> <u>Extending the Primary Authority scheme to fire safety, improving the consistency and quality of advice to businesses</u>. The review has undertaken 2 new research projects to assess costs and benefits of Primary Authority both to businesses and local authorities.</p> | 28/02/16 |

Advanced Manufacturing Services Reviews

| Measure and Description | Review Commitment (statutory or non-statutory) | Net Present Value and Total Cost (£million) | Review Plan | Review Date |
|--|--|---|---|-------------|
| <p><u>The Scheme for Construction Contracts (England and Wales) Regulations 1998 (Amendment) (England) Regulations 2011</u></p> <p>Minimising costs of adjudication and regulatory burdens to contractors and sub-contractors.</p> | Non-statutory | <p>Net Present Value: 259</p> <p>Total cost (present value): 13</p> | The review will include work with key industry representative bodies from across the supply chain (such as the UKCG and the NSCC) to establish the effectiveness of the amended legislation, including a “satisfaction” survey. This will be supported by an analysis of available data on payment days (e.g. from Experian), adjudications and the number of disputes under construction contracts coming before the Technology and Construction Court (e.g. from the HM Courts and Tribunals Service). If the data is unavailable, we will consider commissioning new research. | 31/10/16 |



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Department for Business, Innovation and Skills
1 Victoria Street
London SW1H 0ET
Tel: 020 7215 5000

Email: enquiries@bis.gsi.gov.uk

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