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Additional information:

This report accompanies the report to Council on 27 October 2020 - Edinburgh and South East Scotland City Region Deal - Annual Report, Benefits Realisation Plan, and Food and Drink Innovation Hub

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Edinburgh and South East Scotland City Region Deal Joint Committee

10am, Friday 4 September 2020

City Region Deal Benefits Realisation Plan

Item number

Executive Summary

The [City Region Deal Document](#) states that each project approved by the Joint Committee will: *“be subject to review and evaluation.”* The Benefits Realisation Plan sets out the overarching approach to reviewing and evaluating benefits by addressing two central issues:

- How the City Region Deal is performing against delivery plans as set out in approved programme and project business cases and the overall Deal Document objectives; and,
- What economic, social and other impacts may be generated as a result within the Region, Scotland and elsewhere in the UK?

In short, the Plan sets out how the Deal can demonstrate that benefits are being realised.

In addressing these questions, the Plan initially sets out the key outputs for the Deal in terms of the investment levels planned for each Deal theme together with the projected levels of new jobs that will be delivered as a result.

Against these outputs the rest of the Plan sets out how the City Region Deal Programme Management Office will measure, monitor and evaluate the associated impacts that are likely to be generated by detailing:

- **Target Audiences** in terms of who will be the main users of the monitoring and evaluation findings and how and when they will be engaged;
- **Programme Outcomes** summarising the Regional challenges the Deal aims to address in terms of Inclusive Growth and other identified objectives;



- **A Programme Theory of Change** to define the relationships envisaged, and to be monitored for each theme, between inputs, activities, outputs, and the key impacts identified in the Deal document;
- **Measurement approaches** in terms of Key Performance Indicators (KPIs) and data collection implied by the above, and the consequent monitoring and evaluation approaches that will be adopted; and,
- **Change control reporting protocols** to ensure there are the necessary governance arrangements to implement this Plan and derive strategic benefits from the monitoring, evaluation and management of theme activities.

Finally, it is important to note that the actions set out in the Plan are not only critical to evidencing programme outcomes and impacts but as importantly demonstrating to both Governments the benefits of their support at each “annual conversation”, specific Data-Driven Innovation assessment and the quinquennial review (at which both Governments reserve the right to halt funding in the event that outcomes and targets are not being met).

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City Region Benefits Realisation Plan

1. Recommendations

- 1.1 To approve the Plan and implementation of associated activities by each Programme theme.
- 1.2 To note that the monitoring and evaluation outputs will be regularly reported to and appropriately acted upon by the Joint Committee.

2. Background

- 2.1 Over 15 years, the £1.3 billion City Region Deal funding will support a range of activities across five Programme themes (covering: Research, Development & Innovation; Skills; Culture; Transport; and Housing). Among other outputs, the Deal is projected to create around 23,000 new jobs across Scotland.
- 2.2 A key objective of the Joint Committee – as set out in the Deal Document – is: *“to monitor the impact of the City Region Deal Programme”* that will result from the delivery of outputs. This Plan sets out how this objective will be delivered.

3. Main report

- 3.1 Across a range of audiences and specified reporting protocols, from the general public to key components of the Deal’s Governance structure, the Plan indicates that the focus on **outcomes** should be on how the Deal is performing against delivery plans and overall inclusive growth objectives. Assuming such outcomes are manifest, the Plan sets out how to determine what economic, social and other beneficial **impacts** may be generated within the City Region, Scotland and in the case of DDI elsewhere in the UK.

Key Principles

- 3.2 To monitor impacts all of the Deal, partners have agreed to a set of reporting principles. These include:
 - adherence to the overarching principles of Government best practice in project and programme delivery;
 - selecting monitoring and evaluation approaches that best measure progress in meeting the inclusive growth objectives and impacts associated with the Deal; and,

- Continually updating the Plan and using any other new measures approved by the Joint Committee that will help assess and support the better management of Deal activities and impacts.

Inclusive Growth Objectives

3.3 Understanding how to apply these principles is, by definition, influenced and informed by the ambitions and overall objectives which the Deal is aimed to deliver. Achieving increased sustainable economic growth and reducing inequalities, in ways that are consistent with the National Planning Framework and the UN Sustainable Development Goals, are central to the Deal's ambitions. Similarly, in developing the Deal, various inclusive growth challenges specific to the City Region were identified. These included slow and uneven Regional growth, skills gaps and inequalities as well as transport, housing and other connectivity issues.

3.4 In responding to these challenges, five overarching inclusive growth objectives were identified which each of the Programme themes are individually and, as importantly, collectively tasked to meet. They are:

- accelerating inclusive growth;
- removing the barriers to growth;
- delivering community benefits through procurement;
- targeting employability and skills interventions; and
- delivering social benefit through innovation.

Theory of Change

3.5 Government best practice suggests using a Theory of Change as a framework against which to assess, for any given set of objectives like the above, what impacts may be important to subsequently monitor and evaluate. Consequently, the Plan sets out how Programme partners developed an overarching Theory of Change to map out the potential relationships between Deal programme inputs, activities, outputs, outcomes and impacts.

3.6 The key impacts include:

- sustained employment;
- Scottish Index of Multiple Deprivation ranking uplifts;
- returns on investment;
- increases in recruitment from under-represented groups; and
- sustainable transport improvements.

Measurement Approaches

3.7 Given this Theory of Change framework, the Plan provides a series of pro-formas which identify:

- specific theme approaches to monitoring and evaluation in relation to identified outputs, potential impacts and positive equality actions; and
- a general approach to monitoring and evaluating Community Benefits and Social Innovation realisation given the cross-cutting nature of both objectives and extensive variation in the benefits that could emerge.

3.8 Envisaged as key summary document, as well as an “informal contract” that Programme partners will consistently adopt in their approaches to monitoring and evaluation, each pro-forma details:

- **Baseline information in regard to theme beneficiaries** e.g. reference unemployment rates, return on investment anticipated from a research project, gender, ethnicity, disability of employees, existing transport use patterns etc.;
- **Key impact indicators**; which best represent the likely benefits of theme activities and could be used, and compared to the above baselines, to monitor progress and consequently be utilised in any future impact evaluation;
- **Data Source(s)**; either existing or new data points that would directly or indirectly best capture the above indicators;
- **Monitoring Cycle**; when it is best practical to report progress given the different short, medium and long-term time horizons relating to different themes and activities not only between construction and operation but also different annual reporting timescales and outcome/impact effects; and,
- **Impact Approach**; in terms of the type of method(s) that could be adopted to evaluate the net impacts generated by theme activities and outcomes.

Change Control

3.9 Finally, critical to utilising the information derived under the proposed pro-formas is regularly assessing whether benefit flows have been delivered against an agreed baseline position as well as projections about future benefit levels. Consequently, adopting existing Deal governance and reporting protocols, the Plan identifies how the governance arrangements to implement changes in activities **where monitoring and evaluation evidence supports** such changes.

4. Financial impact

4.1 There is no financial impact relating to this report, however, subject to the approval of this Plan Governments will require an operational plan for the implementation of benefits reporting processes outlining the resources and responsibilities required.

5. Alignment with Sustainable, Inclusive Growth Ambitions

5.1 Inclusion is a key driver for the City Region. Deal Business cases for projects demonstrate how they will reduce inequalities and tackle the inclusion challenges specific to the City Region.

5.2 The Plan sets out how the potential benefits of applying consistent monitoring and evaluation of equalities, community benefits and social innovation across themes including:

- **Positive Actions** by monitoring and improving City Region Deal Programme outcomes for women, people with disabilities, those facing age barriers and individuals from ethnic minority communities (EMCs);
- **Use of procurement data for Regional economic impact and innovation**, creating a baseline of Regional spend to understand the impact of public spending on inclusive growth, testing the robustness of the current multiplier values and also mapping key sectors in each authority and leveraging for social innovation, engagement and opportunity generation;

- **Fair work practices and the UK real Living Wage**, ensuring all City Region Deal projects incorporate consideration of fair work and workers are paid the Living Wage; and,
- **Showing the benefits of partnership working and innovation opportunities**, including alignment with other City Region Deal programmes or existing partner capacity, and opportunities for DDI and Social Innovation.

6. Background reading/external references

[The Magenta Book](#) (HM Treasury, Last Updated 1 April 2020)

[Guide for Effective Benefits Management in Major Projects](#) (Infrastructure and Projects Authority and Cabinet Office, October 2017)

[A Playbook for Designing Social Impact Measurement](#) (Gwendolyn Reynolds, Lisa C. Cox, Nicholas Fritz, Daniel Hadley, & Jonathan R. Zadra Dec. 21, 2018)

7. Appendices

7.1 Appendix 1: City Region Deal Benefits Realisation Plan



The Edinburgh and South East Scotland City Region Deal Benefits Realisation Plan



Support better planning and decision making



Support learning and Exchange



Provide accountability to funders and citizens



Gather information for reporting

Confidential

Final Draft for Review

Version 1.0

August 2020

“Well-run organisations and effective programs are those that can demonstrate the achievement of results. Results are derived from good management. Good management is based on good decision making. Good decision making depends on good information. Good information requires good data and careful analysis of the data. These are all critical elements of evaluation”.

<https://trust.guidestar.org/the-importance-of-evaluation>

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1. Executive Summary

Introduction

It is unfortunately important to note that, as a result of current circumstances, the timings, outputs and impacts outlined in the rest of this Benefits Realisation Plan may be subject to revision once the full knock on effects of the current pandemic can be adequately accounted for.

Context

The Edinburgh and South East Scotland City Region Deal¹ is a £1.3 billion programme covering six local authorities, the city Region's universities and colleges and business and third sectors. On aggregate over fifteen years, the £1.3 billion funding will support a range of Deal activities across five Programme themes (covering Housing, Innovation, Skills, Culture and Transport). Amongst other outputs, the Deal is projected to create around 23,000 new jobs across Scotland.

Key Objectives

Two aspects are central to this Plan – what outcomes and beneficial impacts are being delivered? Across a range of audiences and specified reporting protocols – from the general public to key components of the Deal Governance structure – the focus on **outcomes** will be upon how the Deal is performing against delivery plans and overall inclusive growth objectives. Assuming such outcomes are manifest, it will be essential to determine what economic, social and other beneficial **impacts** may be generated as a result within the City Region, Scotland and elsewhere in the UK.

Key Principles

In addressing these issues and shaping this Plan, all of the Deal Partners have agreed to a set of reporting principles. These include: adherence to the overarching principles of Government best practice in project and programme delivery; selecting monitoring and evaluation approaches that best measure progress in meeting the inclusive growth objectives and impacts associated with the Deal; and, going forward, continually updating this Plan and using any other new measures that will help assess and support the better management of Deal activities and impacts.

Inclusive Growth Objectives

Understanding how to apply these principles is, by definition, influenced and informed by the ambitions and overall objectives which the Deal is aimed to deliver. Achieving increased sustainable economic growth and reducing inequalities - in ways that are consistent with the National Planning Framework and National Performance Framework and the UN Sustainable Development Goals - are central to the Deal's ambitions. In developing the Deal, various inclusive growth challenges specific to the city Region were identified. These included slow and uneven Regional growth, skills gaps and inequalities as well as transport, housing and other connectivity issues.

In responding to these constraints, five overarching inclusive growth objectives were identified which each of the Programme themes are individually and, as importantly, collectively tasked to meet. They are: accelerating inclusive growth; removing the barriers to growth; delivering community benefits

¹ <https://static1.squarespace.com/static/55c87967e4b05aa55020f656/t/5c263201898583ec74c01146/1546007049724/ESESCR+Deal+Document+6+August+2018+signed.pdf>

through procurement; targeting employability and skills interventions; and, delivering social benefit through innovation.

Theory of Change

Government best practice² suggests using a Theory of Change as a framework against which to consider what impacts may be important to subsequently test, monitor and evaluate. Consequently, the Programme partners developed an overarching Theory of Change to map out the potential relationships between Deal programme inputs, activities, outputs, outcomes and impacts.

The key impacts identified include: sustained employment; SIMD ranking uplifts; returns on investment; increases in recruitment from under-represented groups; and, sustainable transport improvements.

Measurement Approaches

Given this Theory of Change framework, theme leads and the CRD PMO developed a series of Pro Formas which identify: **specific theme approaches** to monitoring and evaluation in relation to identified outputs, potential impacts and positive equality actions; and, a **general approach** to monitoring and evaluating **Community Benefits and Social Innovation** realisation given the cross cutting nature of both objectives and extensive variation in the benefits that could emerge.

Envisaged as key summary document - as well as an “informal contract” that Programme partners will consistently adopt in their approaches to monitoring and evaluation - each Pro Forma details:

- **Baseline information in regard to theme beneficiaries** e.g. reference unemployment rates, return on investment anticipated from a research project, gender, ethnicity, disability of employees, existing transport use patterns etc.;
- **Key impact indicators;** which best represent the likely benefits of theme activities and could be used - and compared to the above baselines - to monitor progress and consequently be utilised in any future impact evaluation;
- **Data Source(s);** either existing or new data points that would directly or indirectly best capture the above indicators;
- **Monitoring Cycle;** when it is best practical to report progress given the different short, medium and long term time horizons relating to different themes and activities not only between construction and operation but also different annual reporting timescales and outcome/impact effects; and,
- **Impact Approach;** in terms of the type of method(s) that could be adopted to evaluate the net impacts generated by theme activities and outcomes.

² See, for example, the Magenta Book: Table 2.A: Definitions of the terms used in logic models, <https://www.gov.uk/government/publications/the-magenta-book>

Change Control

Finally, critical to utilising the information derived under the proposed Pro Formas is regularly assessing whether benefit flows have been delivered against an agreed baseline position as well as projections about future benefit levels. Consequently, adopting existing Deal governance and reporting protocols, the PMO has embedded governance arrangements to implement changes in activities **where monitoring and evaluation evidence supports** such changes.

2. Introduction

2.1. About this Document

This Plan sets out the overarching approach to managing benefits realisation by addressing two central issues:

- How the ESESCRD is performing against delivery plans as set out in approved programme and project business cases and overall Deal objectives as set out in the Deal Document; and,
- What economic, social and other impacts may be generated as a result within the Region, Scotland and elsewhere in the UK.

2.2. The Deal

The Deal document was agreed by CRD partners³ and the Scottish and UK Governments in August 2018. As a mechanism for accelerating economic and inclusive growth across the City Region the Deal, as detailed in Table One below, committed Governments and CRD Partners jointly to invest £1.3 billion over the next fifteen years across five themes:

- **Research, Development and Innovation:** comprising the Region wide Data Driven Innovation (DDI) Programme, a Food & Drink innovation campus and two industrial estate improvement programmes in Fife and the Scottish Borders;
- **The Integrated Regional Employability and Skills “IRES” Programme:** to generate new jobs and deliver better career pathways in key sectors across the CRD area;
- **Transport:** including road improvements at Sheriffhall (A720) roundabout and in West Edinburgh;
- **Culture:** by building a new concert hall in central Edinburgh; and,
- **Housing:** to accelerate the delivery of affordable housing, and housing across all tenures, through the “enabling development” of seven major strategic housing sites.

Table One: Total Anticipated ESESCRD Contributions

Theme	Government (£m)	Partners (£m)	Total (£m)
Research, development and innovation	350	441	791
The IRES Programme	25	N/A	25
Transport	140	16	156
Culture	25	20	45
Housing	65	248	313

³ The City Region Deal Partners, as defined within the Deal document, comprise: The City of Edinburgh Council; East Lothian Council; Fife Council; Midlothian Council; Scottish Borders Council; West Lothian Council; the City Region’s Universities and Colleges; and, representatives from the City Region’s business and third sectors.

Total	600	730	1,330
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This total of £1.3 billion investment is projected to create and support around 23,000 new full time equivalent “FTE”⁴ jobs across Scotland. The breakdown of these FTE impacts, which include Type II Scottish level employment multiplier effects,⁵ are detailed at Table Two below.

Table Two: Total Anticipated ESESCRD Employment Impacts

Theme	Construction Jobs (FTEs) ⁶	Direct Jobs Generated	Total
Housing	1,720	Not Applicable	1,720
Innovation⁷			
Borders Innovation Park	360	383	743
Data Driven Innovation (DDI)	2,210	419	2,629
Fife Industrial Park	270	1,095	1,365
Queen Margret University Food & Drink Hub	170	932	1,102
Skills	N/A	5,300	5,300
Culture	250	45	295
Transport	860	Not Known	860
Total Direct Jobs	5,840	8,174	14,014
Multiplier Effects	5,840⁸	3,514⁹	9,354
Total Direct, Indirect and Induced Jobs	11,680	11,688	23,368

⁴ A: “full-time equivalent unit”, sometimes abbreviated as FTE, is a unit to measure employed persons in a way that makes them comparable although they may work a different number of hours per week. The unit is obtained by comparing an employee’s average number of hours worked to the average number of hours of a full-time worker. A full-time person is therefore counted as one FTE, while a part-time worker gets a score in proportion to the hours he or she works. For example, a part-time worker employed for 20 hours a week where full-time work consists of 40 hours, is counted as 0.5.” <https://gss.civilservice.gov.uk/wp-content/uploads/2019/04/employment-variables-hours-and-fte-april-18.pdf>

⁵ The use of these multipliers (and consequent measurement of the “indirect and induced effects” of the Deal across Scotland) was agreed with Scottish Government representatives in July 2020.

⁶ Based on Scottish Enterprise Economic Impact Guidance re the ratio of costs to labour content of £181,000 per annual FTE.

⁷ As reflected by job estimates in each innovation partners Outline Business Case (“OBC”).

⁸ Based on a multiplier value of 2.0: “Taking the supply chain impacts into account and based upon an assessment of the inputs, purchases and demand generated by the construction industry as a whole, the Scottish Government’s Input Output multipliers estimate that for every £1 million GVA generated in construction activity, a further £1 million is generated elsewhere in the Scottish economy. This represents a multiplier impact of 2.0, taking into account “leakages” from and “imports” to the Scottish economy from elsewhere in the UK”. <https://www.homesforscotland.com/Portals/HomesForScotland/Documents/2015/NLP%20Report/THE%20ECONOMIC%20AND%20SOCIAL%20BENEFITS%20OF%20HOME%20BUILDING%20Jan%202016.pdf?ver=2016-01-12-101252-283>

⁹ This level of employment was based on using the latest available (2016) average Type II general employment multiplier value of 1.43. See M2 files in the machine readable format on the Scottish Government Open Data Platform (<http://statistics.gov.scot/data/input-output>).

2.3 Rest of this Plan

The rest of this Plan sets out:

- **Target Audiences and Reporting (Section Three)** in terms of who will be the main users of the monitoring and evaluation findings and how and when they will be engaged;
- **Programme Outcomes (Section Four)** summarising the Regional challenges the Deal aims to address in terms of Inclusive Growth and other identified objectives;
- **Programme Theory of Change (Section Five)** in meeting the above objectives across the five City Region Deal themes to define the potential relationships envisaged and to be tested¹⁰ between inputs, activities, outputs, and the key impacts identified in the Deal document;
- **Measurement approaches (Section Six)** in terms of KPI¹¹ selection and data collection implied by the above, and the consequent monitoring and evaluation approaches that will be adopted to assess outputs and impacts;
- **Change control reporting protocols (Section Seven)** to ensure there are the necessary governance arrangements to implement this Plan and derive strategic benefits from the monitoring, evaluation and management of theme activities¹²;
- **Appendix A: National Outcomes and Strategic Development Goals;** indicating how each theme will contribute to these outcomes and goals.
- **Appendix B: Theme Theories of Change** outlining for each theme the assumed relationships, to be subsequently monitored and evaluated, between inputs, activities, outputs and impacts;
- **Appendix C: Protected Characteristics** describing in more detail the four characteristics under the Equality Act of age, disabilities, and minority ethnic communities (MEC) and women outlined in each of the theme's benefit realisation frameworks; and,
- **Appendix D: Talent, Research, Adoption and Entrepreneurial Definitions:** detailing how, within the Innovation theme, relevant KPIs are defined across these four domains.

¹⁰ As detailed in the Magenta Book a theory of change: *"involves the specification of an explicit theory of "how" and "why" a policy might cause an effect which is used to guide the evaluation. It does this by investigating the causal relationships between context-input-output-outcomes-impact in order to understand the combination of factors that (might lead) to intended or unintended outcomes and impacts"*. <https://www.gov.uk/government/publications/the-magenta-book>

¹¹ As also indicated in the Magenta Book one of: *"the key questions and considerations that need to be taken into account to design an effective monitoring system and subsequently to facilitate a good quality evaluation (is to) identify key indicators that can be clearly defined and used to monitor progress against the goals/objectives."* <https://www.gov.uk/government/publications/the-magenta-book>

¹² i.e. to allow Partners to build cultures that: *"emphasize the importance of data and information, make informed resource allocation decisions, drive performance through goal-setting frameworks and feedback loops, and ultimately use the information they produce as a strategic asset"*. https://ssir.org/articles/entry/a_playbook_for_designing_social_impact_measurement

3. Target Audiences and Reporting

3.1. Who will be engaged and why

Audiences who will wish to use or have an interest in the outputs of the monitoring and evaluation approaches proposed within this Plan include:

- **The general public** in terms of understanding the impacts of the Deal, how best they and their communities might directly engage with and benefit from relevant programmes and projects as well as what progress has been made to securing CRD objectives;
- **CRD Fund Holders across both Governments as well as the Scottish City Region and Growth Deals Delivery Board**¹³ to provide a basis from which to determine, against agreed baseline information, the extent to which the anticipated impacts of the Deal are or are likely to be delivered and – in agreement with the ESESCRD Joint Committee - what changes to future Deal activities might enhance these impacts or mitigate unforeseen external factors;
- **ESESCRD Joint Committee**, given their role in monitoring the impact of the City Region Deal Programme and ensuring that all aspects of the Programme are aligned towards driving innovation and achieving inclusive growth ambitions;¹⁴
- **Regional Enterprise Council (REC)** which as recognised in CRD PMO documentation:¹⁵ *“will use its voice and its networks to provide the voice of the business and third sectors across the Region to guide the implementation of the City Region Deal, and make recommendations to the Joint Committee”*;
- **ESESCRD Executive Board and Directors’ Group**, which oversees the activity of the CRD PMO and engages with all of the above in performance monitoring;
- **The City Region Deal PMO**, that coordinates progress across all themes on a day to day basis - to support decision making by all stakeholders – and produces an Annual Report providing an overview of key progress that has been made towards delivery of the Deal; and,

¹³ Whose remit includes: *“monitoring and supporting the successful implementation of Regional Deals including Scottish City Region Deals and Growth Deals from the point of signing Heads of Terms by assessing delivery against agreed implementation plans”*
<https://www.gov.scot/publications/scottish-city-region-deal-delivery-board-terms-of-reference/>

¹⁴ In line with this Committees role to: *“monitor the impact of the Programme and build and support Inclusive Growth focusing on the needs of the local area and strengthening the partnership between public, private and third sectors.”*
[https://democracy.edinburgh.gov.uk/documents/s9924/Full Meeting Papers Edinburgh and South East of Scotland City Region Deal Joint Committee 02.11.pdf](https://democracy.edinburgh.gov.uk/documents/s9924/Full%20Meeting%20Papers%20Edinburgh%20and%20South%20East%20of%20Scotland%20City%20Region%20Deal%20Joint%20Committee%2002.11.pdf)

¹⁵ https://democracy.edinburgh.gov.uk/Data/Corporate%20Policy%20and%20Strategy%20Committee/20190514/Agenda/item_75_-_edinburgh_and_south_east_scotland_city_region_deal_updatepdf.pdf

- **Advisory Boards/Groups established as appropriate for some delivery programmes - for example the Skills Gateway Advisory Boards - Thematic Advisory Boards and other City Region Deal Governance Groups** who, in reporting to the CRD PMO, will be responsible for ensuring the implementation, ongoing operation, monitoring and management of specific themes, projects and programmes.

3.2. Reporting Principles

In reporting outputs and impacts to the audiences above Regional Partners are committed to:

- Adhering to the overarching principles of Government best practice in project and programme delivery;
- Selecting appropriate monitoring and evaluation approaches to best measure progress in meeting the inclusive growth objectives and impacts associated with the Deal; and,
- Regularly updating this Plan and associated reporting protocols; and,
- Adopting other new measures that will help assess and support the better management of Deal activities and impacts¹⁶.

Consequently, based on relevant government guidance,¹⁷ CRD Partners have - over the fifteen year lifetime of the CRD Programme and eight years in the case of the IRES programme - agreed that:

- Delivery objectives and associated performance indicators will consistently be aligned to the partnership's stated output and impact objectives, as set out in the Deal Document;
- Monitoring and evaluation will be used to confirm that: the benefits associated with these outputs can be realised; risks of non-delivery can, where appropriate, be managed; and, unjustified work can be terminated;
- Governance, management frameworks and monitoring and evaluation approaches are proportionate and appropriate to the work and levels of prevailing risk associated with each theme and related project/programme delivery;
- Accountabilities and responsibilities are defined, mutually consistent and traceable across all levels of management as summarised in the previous section and set out in the Deal Document;
- Monitoring and evaluation approaches, resources and good practice will be shared amongst theme leads in order to minimise the costs associated with monitoring and evaluation, while also aiming to maximise future benefits particularly across theme interdependencies. This will include:

¹⁶ For example separately to this Plan CRD Partners wish, in tracking impacts, to include the environmental effects of theme activities, and are currently considering approaches to the monitoring and evaluation of such effects.

¹⁷ https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/746400/Project_Delivery_Standard_1.2.pdf

- Adopting common data sets, definitions and reporting cycles to allow comparisons to be drawn between projects and programmes at both a theme and, where appropriate, Programme level; and,
- Using existing data sources and streamlining any new data collection as much as possible.
- The suitability of selected indicators will be subject to ongoing review in the light of alternative data sources / approaches to measurement becoming available; and,
- Outcomes and enabling outputs will be effectively consulted and scrutinised on an ongoing basis, by relevant stakeholders, representative bodies and agencies within the Region.¹⁸

3.3. Reporting

Aside from the ongoing weekly, monthly and other progress reporting already undertaken by the CRD PMO¹⁹ the monitoring and evaluation of the outputs, outcomes and intermediate impacts²⁰ of the Deal will form part of the regularly reporting cycles within the formal management and oversight of ESESCRD performance, namely:

- **Quarterly Reporting** - each Thematic Advisory Board will produce a quarterly Risk and Performance Monitoring Report against the milestones set out in relevant business cases.²¹ A quarterly performance meeting will then take place between the CRD PMO and Governments covering project progress by exception, financial monitoring, and performance including monitoring and evaluation. An overall Programme Risk Register and Performance Monitoring Report with any recommendations will then be considered by the Executive Board, Joint Committee and the Regional Enterprise Council;

¹⁸ As reflected more fully in the Deal Document: “measures will be taken to ensure scrutiny, and effective consultation with the business community, third sector and general public. The Regional Enterprise Council and Joint Committee will develop these measures in partnership with Government. Options may include: an annual conference/seminar(s) tackling a key priority in the city Region; an annual online consultation with key stakeholders in the city Region and/or the general public; regular “roadshow” consultations on key upcoming projects across the city Region (linking in with the planning process)”.

¹⁹ Including: **weekly** conference calls between both Governments and the CRD Project Management Office (“PMO”) to review delivery and risk registers for each theme and agree what actions might be required to mitigate any identified issues; **monthly** analysis of expenditure profiles for projects and programmes against planned draw downs and consequent management of target milestones; **monthly Executive Board meetings** which Government representatives attend on a six-monthly basis; and, **regular Thematic Board meetings** for Data-Driven Innovation, Integrated Regional Employability and Skills, Transport and Housing.

²⁰ i.e. “Benefits that will occur between implementation of early changes and the realisation of the end/wider benefits.” https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/671452/Guide_for_Effective_Benefits_Management_in_Major_Projects.pdf

²¹ Recognising that any slippages in either the timing of projects or reductions in leading indicators (e.g. the number of participants signing up for an IRES programme) will have knock on effects in relation to outputs and potentially impacts.

- **Annual Reporting** - based on the above, and in order to assess how much impact the City Region Deal is having on agreed inclusive economic growth outcomes, the CRD PMO will include aggregate output, impact data, and relevant case study material – together with updates and amendments to this Plan - in an annual report on all City Region Deal activities;
- **The “Annual Conversation”** - which will be informed by the Annual Report above and will provide the opportunity for CRD stakeholders to discuss progress with Governments and in particular: *“to reflect and work through any concerns that local partners and governments have about the implementation of the Deal and the ambitions for the Deal going forward”*;²² and, finally,
- **Quinquennial Review** - every five years an independent evaluation of the City Region Deal will be undertaken to capture progress and identify priorities for the next phase of delivery. Governments will work with the Joint Committee to set the terms of the evaluation and consider the resultant recommendations with both Governments reserving the right to halt funding in the event that outcomes and targets are not being met.

²²<https://democracy.edinburgh.gov.uk/documents/s9821/Item%208.1%20-20Edinburgh%20and%20South%20East%20Scotland%20City%20Region%20Deal%20Annual%20Report%20Annual%20Conversation%20and.pdf>

4. Programme Outcomes

4.1. Deal Context

The vision of the Scottish Government's Economic Strategy is to deliver: *"increasing sustainable economic growth."*²³ Two questions were, therefore, central to developing the Deal: what are the City Region's key inclusive growth challenges, and consequently what objectives, supporting approaches, and management and governance structures might help address these challenges?

4.2. Inclusive Growth Challenges

In broad terms five interlinked challenges were identified:

- **Slow and uneven growth** across the Region leading to a range of imbalances, not least: 21% of children living in poverty;²⁴ lack of mid-market and affordable housing; and, too many people being unable to move out of low wage/low skill jobs;
- **Regional disparities in job densities;** ranging from 0.55 in East Lothian to 1.02 in the City of Edinburgh;²⁵
- **Skills inequality and polarisation;** with clusters of disadvantage across the City Region, related variations in skills levels, health outcomes and earnings, and a growing shortage of higher level skills, most notably in the technology sphere;
- **Gender and age inequalities;** on average, men across the City Region earn 14% more than women, and female participation and employment rates tend to be lower; and,
- **Housing, transport and connectivity issues;** with interlinked effects whereby lack of connectivity impacts upon the availability of land for housing²⁶ and commercial expansion, and consequently inclusive growth.

The Deal Partners identified a range of objectives to address these challenges that could:

- Inform and be adopted by individual programme and project themes as a basis against which to monitor and demonstrate outcomes;
- Support and enhance linkages and collaboration across themes (to deliver additional benefits); and,

²³ <https://www.gov.scot/publications/scotlands-economic-strategy>

²⁴ <http://www.endchildpoverty.org.uk/>

²⁵ Which as stated in the Deal Document has led to: *"strong cross-Region commuting patterns ... contributing to areas of congestion and significant levels of pollution in some locations"*.

²⁶ With a need - identified in the Deal Document - for 140,000 new homes in the city Region by 2037.

- Set the context for overall CRD governance and management decision making and reporting, and monitoring and evaluation approaches.

Finally it is also important to note that Partners recognise that the CRD:

- Through establishing these common objectives and new partnership arrangements – offers the long term potential: *“to enhance existing and **develop new** Regional collaboration for strategic coordination across transport, housing and economic development;”*²⁷and,
- Aligns with and will be supportive of the delivery of the Scottish Governments National Performance Framework and UN Sustainable Development Goals (as detailed in Appendix A)

4.3. Inclusive Growth Objectives

The consequent inclusive growth objectives identified across the ESESCRD themes, to address the challenges above, are:

- **Accelerating Inclusive Growth** to unlock new talent pools for business, promoting fair work, and equipping disadvantaged citizens with the skills they need to succeed;
- **Removing housing and transport barriers to growth** through interventions to increase housing and enhance transport connectivity across the Region;
- **Delivering community benefits through procurement** by integrating partner approaches to supplier engagement and procurement in order to increase the value achieved from Deal investments;
- **Targeting employability and skills interventions** by widening access and addressing skills shortages to boost the flow of individuals from disadvantaged groups into good career opportunities; and,
- **Delivering social benefit through innovation** through challenged-based social benefit projects and programmes across the City Region.

These objectives, as illustrated in Table Three, are consequently integral to anticipated individual theme project and programme delivery.

Table Three: Stated Inclusive Growth Objectives per Theme

Theme	Stated Deal Objectives
Housing	Collaboratively Regional partners and Government will work together on an expanded affordable housing programme developing risk-sharing guarantees on a site-by-site basis to support local authority borrowing and share the financing risk of infrastructure delivery required across strategic sites.

²⁷

<https://static1.squarespace.com/static/55c87967e4b05aa55020f656/t/5c263201898583ec74c01146/1546007049724/ESESCR+Deal+Docu+ment+6+August+2018+signed.pdf>

	The Regional housing programme aims to : accelerate the delivery of affordable housing and housing across all tenures, including accessible homes ; enable the development of seven major strategic housing sites; and, drive efficiencies across the public sector estate.
Innovation	<p>The Edinburgh and South East Scotland Science and Innovation Audit (SIA) detailed how the ability to collect, store and analyse data from an array of diverse sources will become increasingly important in driving economic growth, social change and public services. By harnessing this challenge, the aim of the Data-Driven Innovation (DDI) Programme is to establish the city Region as the Data Capital of Europe.</p> <p>The ambition is to have more innovation-active businesses in Fife and Scottish Borders, i.e. businesses that are engaged in all forms of innovation. In the medium term, the ambition is to increase business investment in formal innovation such as research and development. This will deliver improved productivity and higher value jobs for the local authority areas and the city Region.</p> <p>The aim is to create long term investment programme in Fife and Scottish Borders that can be replicated elsewhere in the city Region through other economic development and investment projects.</p>
Skills	The Integrated Regional Employability and Skills (IRES) Programme and its underpinning private, public, and third sector partnership is a key way in which partners intend to embed Inclusive Growth practices in the city Regional labour market and evolving policy and practice to: <ul style="list-style-type: none"> • increase the visibility and unlock access to good opportunities for all the city Region’s citizens; • open up new talent pools to business and stimulate increased recruitment from under-represented groups into the good jobs and careers being generated in the Region; • evolve, streamline, and integrate employability and skills services to ensure citizens are equipped with the skills they need to succeed throughout their working life; • put in place complementary support to help people mitigate any barriers they may have in achieving their potential and ensuring that this support is part of an integrated person-centred approach; • develop the collective knowledge, organisational cultures, networks, policies and practices that are essential to accelerating progress to an inclusive, innovative and future-proofed Regional economy; and • maximise the impact of employability and skills investments by public, private, and third sector partners and fully harness the potential of City Region Deal to stimulate a step change in performance.
Culture	The Dunard Centre will house a 1,000-seat auditorium and studio facilities to enable rehearsal, recital and recording space, as well as enabling community outreach and education, conferences and multi-art-form use .
Transport	<p>An Edinburgh and South-East Scotland City Region Transport Appraisal Board (TAB), comprising the six local authorities representing the city Region deal, SESTRAN and Transport Scotland will be formed to help shape transport policy, strategy and priorities across the city Region.</p> <p>The TAB will also provide a channel for involvement in the development and delivery of the improvements to Sheriffhall Roundabout...to ensure that benefits are maximised, particularly around community benefits and opportunities for skills development.</p> <p>The TAB will work closely with the city Regional Housing Board and with Government to influence and formalise any future Regional partnership working which may emanate from the moves to a Regional Economic Partnerships as well as Regional land use planning.</p>

4.4 Post Deal Considerations

Since August 2018 – and based on discussions with the Equalities and Human Rights Commission, Governments and other stakeholders - the CRD Partners have also committed to:

- Monitoring and improving ESESCRD Programme outcomes for women, people with disabilities, those facing age barriers and individuals from ethnic minority communities; and,
- Recording and, where possible, enhancing the additional benefits of Partnership working that would not necessarily have occurred in the absence of the Deal (including, for example, Partners adopting these principles for wider regional working and engagement).

4.5 Housing Programme

The Housing theme is a key component of the Deal comprising around a quarter or £313 million of anticipated capital funding which in turn is estimated, pre-Covid, to support the delivery of 1,500 low cost market rent homes as part of a wider programme of building around 41,000 new homes on seven strategic sites across the Region over the next twenty years.

Each of the seven sites and associated developments are significantly different, with differing timelines, separate business case development processes and bespoke benefit realisation frameworks. Consequently, to avoid any duplication of effort in regard to the CRD benefit realisation, Housing Programme leads will develop, with appropriate funders, a common set of standards to output and benefit measurement and evaluation tailored to the individual circumstances and nature of each site and community.

Although not funded through the Deal, the regional affordable Housing Programme is a core element of the collaborative approach between Deal partners and Scottish Government to accelerate the delivery of affordable homes in SE Scotland. In this context the Housing Programme leads have agreed to three working principles with regard to CRD benefit realisation, namely that:

- Where CRD funding and approval is required any Housing project will comply with the guidance set out in this Benefits Realisation Plan (or subsequent iterations);
- When the above does not hold Housing Partners will agree with other relevant funding bodies the extent and nature of any benefit realisation approaches and highlight to the CRD PMO which measures are absent, different from or provide alternatives indicators to those currently suggested; and,
- In taking forward any of the Housing projects consideration will be given on a formal rolling basis to the potential linkages and added value that might be delivered in partnership with other CRD activities and themes, for example, in relation to Community Benefits and relevant IRES and Innovation projects.

As outlined below of particular relevance, in regard to the latter principle, are:

- **Maximising the potential contribution of public sector land and property** – Housing theme leads wish to work with both Governments to explore how best to use their collective assets – from health and social care integration; unlocking land for new homes and commercial space; or creating new opportunities to save on running costs or generate income;
- **More Jobs, training and apprenticeships as well as opportunities for regional construction related SMEs** - working closely with the Housing, Construction and Infrastructure (HCI) Skills Gateway to support a programme of targeted skills interventions directed at widening access, addressing skills shortages and gaps in the construction and house building sectors, and increasing the flow of individuals (particularly women) from disadvantaged groups into career opportunities in construction;
- **Community Benefits** - procurement representatives from local authorities will consider the outcomes of the current University of Edinburgh led soft market testing (pilot) to examine –

with a range of First Tier suppliers – opportunities to adopt new approaches to maximising Community Benefits, positive action and collation of output and impact data; and,

- **EESCR Home Demonstrator Project** - the scale and pipeline of housing development across the Region presents an opportunity for innovation in sustainable construction of new homes. Theme leads will collaborate across industry, academia and other sectors to identify opportunities for low carbon housing, circular construction innovation and modern methods of construction.

5. Theory of Change

5.1. Outputs and Impacts

As indicated in the introduction to this Plan a distinction is drawn between:

- **Outputs:** i.e. whether the themes are meeting their delivery plans and Deal objectives; and,
- **Impacts:** what economic, social and other benefits may have been generated as a result?

This distinction is also explicitly made in the Deal Document:

- Outputs are described in quantitative terms over the lifetime of the Programme such as: 21,000²⁸ new jobs; leverage of £700 million investment; and, support in delivering 140,000 new homes by 2037; and,
- Impacts are outlined primarily in terms of meeting inclusive growth objectives through the delivery of these outputs e.g. *“Agreed approach to CRD procurement with community benefit clauses in construction contracts used to target inclusive employment practices and other opportunities – delivering short, medium, and long term benefits”* Paragraph 1.25.²⁹

These distinctions are important and have informed the development of the Partners approach to monitoring and evaluation given the:

- Commitment, under the first overarching principle in section three, that activities and outputs will consistently be aligned to Government’s **stated outputs** as set out in the Deal Document and therefore the need to aggregate monitoring measures consistently across these outputs;
- Requirement both to meet and measure **inclusive growth objectives** across themes and consequent need to focus on approaches to capture the **associated impacts** of “accelerating inclusive growth; “removing the barriers to growth”, “delivering community benefits through procurement”, “targeted employability and skills interventions”; and, “delivering social benefit through innovation”; and,

²⁸ As reflected in Table Two after more detailed consideration this total is now anticipated to be higher at around a level of 23,000.

²⁹ Other examples include: *“Consistent approach to applying the principles laid out in SG’s Business Pledge (paragraph 1.25) Programme of integrated and targeted employability and skills interventions aiming to widen access, address skills shortages and gaps, boost the flow of individuals from disadvantages groups into good career opportunities. Short, medium, and long term impacts (1.26) Recognising the potential presented by DDI investment, exploration of opportunities to drive out challenge-based social benefit across the CR (1.27).”*

- Adoption, post Deal, of the importance of measuring and monitoring the outcomes of affirmative **positive action**³⁰ and identifying and building upon the **strategic added value**³¹ of Partnership working.

As a starting point to addressing the above the Partners developed a CRD Programme Theory of Change.

5.2 Programme Theory of Change

A “Theory of Change” provides an initial basis against which to map out the potential relationships between programme inputs, activities, outputs, outcomes and impacts.³² Consequently a Theory of Change provides a framework against which to consider what it may be important to subsequently test, monitor and evaluate.³³

As detailed at Appendix B consideration by Partners has been given to developing specific and detailed theories of change for each of the City Region Deal’s themes. As illustrated, in Figure One overleaf, the PMO has consolidated these into an overarching “Programme Logic Model” to identify a consistent set of metrics against which to report aggregate impacts.

In developing this model, the PMO has focused on the linkages between:

- The **inputs and activities** identified within the City Region Deal;
- Main **beneficiary groups** in terms of sectors and residents within the City Region³⁴ that will be impacted by these activities;
- Short term **direct outputs** that will result within these sectors and resident groups on completion and opening of associated theme facilities e.g. housing, innovation hubs and transport improvements and each cycle of the skills programme delivery;

³⁰ Positive action in this context reflects steps that CRD projects/programmes can take to encourage people from **groups** sharing a protected characteristic who have different needs, past track record of disadvantage and/or a record of low participation. For the CRD these groups cover age, women, disabilities and ethnic minority groups.

³¹ “Strategic Added Value (SAV) was a concept developed for the Regional Development Agencies (RDAs) to provide leading qualitative indicators of how they have leveraged funding and influenced ‘stakeholders’ behaviour, decisions and outcomes in ways that might not have otherwise occurred” <https://www.nr-foundation.org.uk/downloads/Added-value-of-the-NRF-Programme-Manager2.pdf>

³² See the Magenta Book: Table 2.A: Definitions of the terms used in logic models, <https://www.gov.uk/government/publications/the-magenta-book>

³³ It is important to stress that development of such theories are part of a process from which to inform what might be the relationships between interventions and their gross impacts. They do not “explain” what will happen rather they reflect what is hoped will happen (and can thus be used to test if outcomes and impacts are evidenced in the way anticipated). “An effective pathway of change reflects only the outcomes, or preconditions, that are at once necessary and, when taken together as a set (are assumed to be) sufficient to reach the long-term goal” http://www.theoryofchange.org/pdf/TOC_fac_guide.pdf

³⁴ Recognising, however (as detailed in the Data Driven Innovation (DDI) Business Cases) that the impacts of DDI Talent, Research, Adoption, data and Entrepreneurship activities will not (and should not) be confined to the Region. For example it is unrealistic to assume that only students drawn from the Region - and who on graduation remain in the Region - should be regarded as the sole beneficiaries of a given DDI course given that other graduates (on the same course) - from the rest of Scotland, UK and abroad - may also take up employment in the UK and generate long-term productivity improvements.

- A range of **intermediate** medium-term impact indicators of relevance to each theme that will seek to capture, against agreed baselines, direct benefits across City Region Deal beneficiary groups; and,
- A **minimum number** of long term impacts that focus, at a City Region level, upon the sustainable benefits of the Deal in terms of:
 - Economic growth, including sustainable employment growth and increases in investment and associated returns;
 - How the above is aligned to and supports the delivery of the five CRD inclusive growth objectives and related “positive actions” in regard to the four identified protected characteristics groups; and,
 - The **associated developments** that might be linked to the City Region Deal, over and above those initially identified under the capital and revenue expenditure across the Deal including, for example, further uplifts in housing supply, additional developments across the innovation theme, and better labour market outcomes.

Figure One: CRD Programme Logic Model

Theme	Input	Activities	Main Beneficiary Groups	Short Term Outputs	Medium Term Impacts	Longer Term Impacts
Housing	£313 million	House building	Construction Construction supply chain (above including IRES and positive actions ³⁵) CRD residents	Community Benefits Construction and Supply Chain jobs Improvements in workforce diversity Housing Take Up	Resident occupancy & job levels created or maintained (as per Table One)	Sustained residential employment ³⁶ . SIMD ranking uplifts Associated development uplifts/environmental improvements
Innovation	£791 million	Development of Borders Innovation, DDI Hubs, Fife Industry, and QMU Food & Drink Campus	Construction and supply chain A range of around 15 other sectors ³⁷	Community Benefits Construction and supply chain jobs Site Occupancy	Job levels created (as per Table One) Student wage uplifts Research & Adoption uplifts	Sustained employment/wage rate uplifts. Returns on investment (including social innovation and associated impacts ³⁹)

³⁵ Particularly in the context of the IRES housing construction and innovation targeted skills gateway (led by Edinburgh Napier University).

³⁶ It is assumed that without this accommodation the supply of labour will be limited/reduced (i.e. without available/affordable accommodation the premise is that levels of employment will be lower/growth may be at risk given high (market) demand levels pre Covid).

³⁷ Each of these sectors is detailed at: <http://esescityregiondeal.org.uk/innovation> and include advanced manufacturing, creative industries, health and social care, robotics, the public sector and tourism.

³⁹ Which are by definition “innovative” and hard at this point to define precisely.

			Students (all above including IRES links and positive actions) CRD residents	TRADE ³⁸ take up	Investment secured (as per Table Two) Start-ups	Associated developments/ Inward Investment
Skills	£25 million	5 Pillars Programme	Theme related construction employment and skills linkages Other key sectors ⁴⁰ CRD Residents (Positive action across all the above)	Community benefit links across all themes Construction and supply chain Jobs Programme take-up	Uplift in employment Reduced time and costs of job matching for identified target groups Skills uplifts Improved workforce representation across under-represented groups	Sustained employment/wage rate uplifts. Sustained increases in recruitment from under-represented groups Improved labour market outcomes ⁴¹
Culture	£45 million	Development of IMPACT centre	Construction and supply chain Cultural sector (all including IRES links and positive actions)	Community benefits Construction and supply chain jobs Attendees Community Outreach	Attendee levels and split by origin. Outreach take-up/effects / coverage	Sustained employment/revenue Enhanced outreach/new community based projects/programmes
Transport	£156 million	Roads improvement	Construction and supply chain Users (all including IRES links and positive actions)	Community Benefits Construction and supply chain jobs Completion	Transport benefit improvements (e.g. safety, journey times, modal split, air quality)	Sustained transport improvements Associated developments /environmental improvements

5.3 Strategic Added Value

Finally, while the above assumes a degree of linkage across and between themes, there is no explicit recognition of the additionality of City Region Deal partnership working relationships and outcomes.

³⁸ i.e. The Edinburgh and South East Scotland Science and Innovation Audit (SIA) identified the need to enhance and develop capabilities in five key areas - Talent, Research, Adoption, Data and Entrepreneurship or "TRADE" <https://www.gov.uk/government/publications/science-and-innovation-audits-first-wave-reports>

⁴⁰ i.e. through labour market analysis and evaluation (Skills Development Scotland); integrated knowledge systems (Capital City Partnership); integrated employer engagement (City of Edinburgh Council); data driven innovation targeted skills gateway (University of Edinburgh); housing construction and innovation targeted skills gateway (Edinburgh Napier University); intensive family support service (Fife Council); and workforce mobility (Scottish Borders Council).

⁴¹ In terms of the IRES Programme and its underpinning private, public, and third sector partnerships will aim to embed Inclusive Growth practices in the city Regional labour market and evolving policy and practice.

To address this the CRD PMO anticipates - as outlined in Table Four - annually providing both Governments with qualitative examples of such benefits across five dimensions.

Table Four: Potential Strategic Added Value Elements of the ESESCRD

Definition	Examples
<p>Strategic leadership & catalyst: Articulating and communicating Regional development needs, opportunities and solutions to partners and stakeholders in the Region and elsewhere.</p>	<p>Creating confidence in the prospects for economic growth and in the capacity of partners and stakeholders to realise the potential for growth and improved CRD performance.</p>
<p>Strategic influence: Carrying out or stimulating activity that defines the distinctive roles of partners, gets them to commit to shared strategic objectives and to behave and allocate their funds accordingly.</p>	<p>Generating cross-Regional partnerships of mutual benefit to the growth prospects of each participating area.</p> <p>Achieving alignment and inter-locking of the priorities and investment plans of CRD and other partners.</p>
<p>Leverage: Providing financial and other incentives to mobilise partner and stakeholder resources – equipment, people as well as funding.</p>	<p>Levered funding and other resources from partners and stakeholders in support of CRD objectives.</p>
<p>Synergy: Using organisational capacity, knowledge and expertise to improve information exchange and knowledge transfer and coordination and/or integration of the design and delivery of interventions between partners.</p>	<p>Reduced duplication of service provision from Regional partners – e.g. in business development support.</p> <p>Scaling up of projects and programmes to beneficial levels that achieve scale economies and provide for critical mass in securing benefits.</p>
<p>Engagement: Setting up the mechanisms and incentives for more effective and deliberative engagement of stakeholders in the design and delivery of Regional and sub-Regional priorities and programmes.</p>	<p>Introducing quality and innovation in CRD interventions through the transfer of good practice, the development and use of benchmarks and the adoption of new processes.</p>

6 Measurement Approaches

6.1 Overall Approach

The Theory of Change provides the starting point to determine “what should be measured, monitored and when.” Accordingly theme leads and the CRD PMO developed a series of pro formas – as detailed at the end of this section - which identify:

- Specific theme approaches to monitoring and evaluation in relation to identified outputs, potential impacts and positive actions outlined in Figure One previously;
- How to test “net additionality” i.e. whether impacts identified are likely to be a result of CRD activities compared to what might have happened without these activities; and,
- A general approach to monitoring and evaluating Community Benefits and Social Innovation realisation given the cross cutting nature of both objectives and extensive variation in the benefits that could emerge.

6.2 Specific Theme Pro Formas

Theme leads developed their own monitoring and reporting pro formas, that describe how outputs and related impacts and positive actions will be captured, by considering:

- **Baseline information in regard to theme beneficiaries** e.g. reference unemployment rates, return on investment anticipated from a research project, gender, ethnicity, disability of employees, existing transport use patterns etc.;
- **Key impact indicators;** which best represent the likely benefits of theme activities and could be used in comparison to the above baselines in order to monitor progress and consequently be utilised in any future impact evaluation;
- **Data Source(s);** either existing or new data points that would directly or indirectly best capture the above indicators;
- **Monitoring Cycle;** when it is best practical to report progress given the different short, medium and long term time horizons relating to different themes and activities - not only between construction and operation but also different annual reporting timescales and outcome/impact effects⁴²; and,

⁴² For example: “there is a rich variety of case study and historical narrative material which suggests that time lags between the development of basic scientific research and its findings and implementation in commercialisable products may be very long. In the case of medical research, for example, it has been frequently shown that time lags may be **between 15 and 25 years long**”. The Economic Significance of the UK Science Base: A REPORT FOR THE CAMPAIGN FOR SCIENCE AND ENGINEERING, Jonathan Haskel, Alan Hughes and Elif Bascavusoglu-Moreau, March 2014.

- **Impact Approach;** in terms of the type of methods that could be adopted to evaluate the net impacts generated by theme activities and outcomes.

In regard to the latter evaluation of theme impacts the PMO considers that experimental approaches⁴³ may be challenging or unethical for many reasons, particularly given the inclusive growth objectives of the programme.

Consequently, alternative approaches are proposed again as detailed in the specific theme pro formas, for example:

- **Housing;** resident surveys could be adopted to track occupancy, employment status and stated alternative resident outcomes in the absence of housing availability, as well as tracking SIMD outcomes pre and post housing completion;
- **Innovation;** in relation to talent, all the CRD Universities are exploring the use of long-term educational outcome “LEO” data sets to track the employment outcomes of graduates compared to an agreed peer group - the latter accessing similar courses without DDI components. In the case of paid for Continual Professional Development “CPD” courses online, follow up employer representative sample surveys could be used to assess the employee and employer related benefits of participation;
- **Skills;** with access to HMRC data, a “difference in difference” analysis could be conducted to analyse any improvements in employment access and wage rates for those supported compared to peers on alternative skills programmes. In the absence of such data, comparisons – at an aggregate level - could be made to other Regional programmes in terms of take up rates, employment outcomes and proportions of disadvantaged groups involved;
- **Culture;** monitoring will involve tracking, through ticket sales and ad hoc audience surveys, the profile of on and off site attendees and comparing the on-site analysis to performer profiles and venue use elsewhere and off-site the relative number, size and content of community and school based projects and programmes; and,
- **Transport;** follow up transport surveys will be undertaken with sampling and timing to be co-ordinated with Transport Scotland, SEStran and local roads authorities in relation to the travel time, safety and other improvements anticipated under the current proposals.

6.3 Community Benefits and Social Innovation Theme Pro Forma

Excluding IRES each of the other themes is tasked to implement operational procurement inclusive growth measures in the delivery of major projects.⁴⁴ In addition IRES will play a significant

⁴³ e.g. Using control groups and, thereby, randomly assigning who receives City Region Deal support and who does not, in order to develop comparison groups and draw judgements concerning additionality.

⁴⁴ which could include: review of evidence base, facilitation of partnerships with key players like further education institutions, assistance with reaching and effectively working with target group individuals, as well as identifying practical routes to alignment with initiatives like HCI and DDI skills gateways.

intermediary role in supporting positive actions by, for example, matching employer needs for female or disabled employees to available candidates.

Themes may also have additional strategic roles. For example DDI and HE partners can help leverage funding or expertise to improve evidence bases, leverage the value of procurement data and relationships and facilitate partnerships to support innovation. Similarly the Housing theme may be in a position to lead strategically on important inclusive growth issues like place-making strategies and integration of specific innovations like modern methods of construction.

As reflected by the pro forma at the end of this section the potential benefits of applying consistent monitoring and evaluation of community benefits and social innovation across themes could include:

- **Use of procurement data for Regional economic impact⁴⁵ and innovation**, creating a baseline of Regional spend to understand the impact of public spending on inclusive growth, testing the robustness of the current multiplier values in Table Two and also mapping key sectors in each authority and leveraging for social innovation, engagement and opportunity generation;
- **Fair work practices and the UK real Living Wage**, ensuring all ESESCRD projects incorporate consideration of fair work and workers are paid the Living Wage; and,
- **Showing the benefits of partnership working and innovation opportunities**, including alignment with other ESESCRD programmes or existing partner capacity, and opportunities for DDI and Social Innovation.

⁴⁵ It is also important to note that consideration can also be given in this context to the direct environmental impacts of any given building and, during construction and subsequent operation, the indirect Regional environmental impacts across relevant supply chains.

ESESCRD Housing Programme Pro Forma

As indicated in Section Four to avoid any duplication of effort in regard to CRD benefit realisation: (a) where CRD funding and approval is required any Housing project will at minimum comply with the guidance set out below; and, (b) when no CRD funding is drawn down Housing Partners will agree with other relevant funding bodies the extent and nature of any benefit realisation approaches and highlight to the CRD PMO if required which measures are absent, different from or provide alternatives indicators to those currently suggested below.

THEORY OF CHANGE SMART OBJECTIVE AND TRACKING MEASURE DEFINITIONS

Smart Output One	Employing 1,720 full time equivalent employees (FTEs) over the construction periods of this Programme
Tracking Timetable	Annually
Wider Detail	<p>At minimum construction jobs created from new homes built through the Regional Affordable Housing Programme, Strategic Sites and Edinburgh Living Project will be estimated on the basis of agreed employment to construction ratios⁴⁶. In addition – as outlined in more detail under the Protected Characteristics section below – theme leads will be encouraged to explore the potential to capture direct information from first tier contractors about the levels of full and part time employment supported across individual sites and relevant supply chains.</p> <p>In line with ONS guidance⁴⁷ : full-time is defined as employees working on relevant sites more than 30 paid hours per week. Part-time is defined as employees working less than or equal to 30 paid hours per week. Self-employed or contractor staff on each site will also be recorded and classified (in line with ONS guidance) under the same definitions. Aggregate annual totals of FTEs will be provided based on the summation of recorded quarterly part and full time staff levels.⁴⁸</p>

Smart Output Two	Expenditure of £313 million over the period of the CRD Programme
Tracking Timetable	Annually
Wider Detail	<p>Expenditure levels will be provided through the agreed reporting process for the Housing Thematic Advisory Board – i.e. as part of their monthly financial and quarterly Risk and Performance Monitoring reporting. Total expenditure will be reported to Governments on an annual basis with quarterly updates on a rolling basis to track actual v projected levels to inform progress and monitor any requirements for change in project timescales, outputs specifically the effect on the construction employment levels above and impacts as per below. Expenditure is defined as the profile of Governments annual CRD capital draw downs, CRD Partner capital and third party capital contributions and revenue spend from all sources identified within the Programme Business Cases and other sources - as yet unidentified - that contribute to the operational outputs and impacts of this programme.</p>

⁴⁶ Currently Scottish Government has suggested the use of previous Homes for Scotland analysis detailed at : <https://www.homesforScotland.com/Portals/HomesForScotland/Documents/2015/NLP%20Report/THE%20ECONOMIC%20AND%20SOCIAL%20BENEFITS%20OF%20HOME%20BUILDING%20Jan%202016.pdf?ver=2016-01-12-101252-283>

⁴⁷ <https://www.ons.gov.uk/employmentandlabourmarket/peopleinwork/earningsandworkinghours/bulletins/annualsurveyofhoursandearnings/2019#glossary>

⁴⁸ Using the approach adopted under UK Government guidance that a: “full-time equivalent unit”, sometimes abbreviated as FTE, is a unit to measure employed persons in a way that makes them comparable although they may work a different number of hours per week. The unit is obtained by comparing an employee’s average number of hours worked to the average number of hours of a full-time worker. A full-time person is therefore counted as one FTE, while a part-time worker gets a score in proportion to the hours he or she works. For example, a part-time worker employed for 20 hours a week where full-time work consists of 40 hours, is counted as 0.5.” <https://gss.civilservice.gov.uk/wp-content/uploads/2019/04/Employment-variables-Hours-and-FTE-April-18.pdf>

Smart Short, Medium and Long Term Impact One	Total number of affordable and market homes (approved and completed)
Tracking Timetable	Annually based on housing completions across Regional Affordable Housing Programme, Strategic Sites and Edinburgh Living.
Wider Detail	The number of affordable and market homes, both approved and completed, will be recorded annually utilising Annual LA Housing Land Audits, Strategic Housing Investment Plans (SHIPs), National AHSP, and LA housing statistics returns.

Smart Short, Medium and Long Term Impact One	Tenure mix (affordable, market, midmarket and build to rent) for
Tracking Timetable	Annually based on site/programme progress monitored through datasets below and project leads.
Wider Detail	The tenure breakdown (affordable, market, midmarket and build to rent) across the Regional Affordable Housing Programme, Strategic Sites and Edinburgh Living will be provided annually, utilising the National AHSP programme, SHIPs, LA Housing Land Audits and for BTR/MMR - project lead/Council held data and LA housing statistics returns.

Protected Characteristics	Construction employment over the period of this Programme
Tracking Timetable	Annually
Wider Detail	<p style="text-align: center;">(a) Construction</p> <p>Against the characteristics identified at Appendix C the Housing Programme will explore the potential to capture baseline information from first tier contractors⁴⁹ concerning the number of construction jobs split by age, origin, gender, disability, ethnicity, modern apprentices, and number of local people employed. Reporting will be provided to the PMO quarterly with the employment output data above and aggregated on an annual basis. The stated objective of monitoring this data is to identify approaches in partnership with contractors, the IRES Programme and other partners to achieving a 10% to 20% higher proportion - of those from SIMD 20 areas⁵⁰, women, disabled people and MECs and combinations thereof - than industry averages.⁵¹</p>

⁴⁹ Subject to the outcome of discussions between theme leads and various first tier construction companies.

⁵⁰ See attached for the 20% most deprived areas in Scotland : https://simd.scot/#/simd2020_20pc/BTTTTT9/-4.0000/55.9000/

⁵¹ Based on Skills Development Scotland data (e.g. <https://www.skillsdevelopmentscotland.co.uk/media/44711/modern-apprenticeship-statistics-quarter-4-2017-18.pdf>) and in partnership – through the IRES and DDI Programme – with the Construction Industry Training Board.

ESESCRD Innovation Programme Pro Forma

The QMU Business Case has yet to be finalised. “Talent,” “research”, “adoption” and “entrepreneurship” projections are still subject to change. Consequently no outputs under these categories are currently identified for QMU. It is also important to note, however, that QMU has committed to adopt the monitoring and evaluation principles and approaches suggested below.

THEORY OF CHANGE: SMART OBJECTIVE AND TRACKING MEASURES DEFINITIONS

Smart Output One	Employing 3,010 full time equivalent employees over the construction periods of this Programme
Tracking Timetable	Annually from 2020/21
Wider Detail	<p>Except where facilities are already built or under construction⁵² employment levels will be provided from each innovation project lead (via their first tier contractors) on a quarterly basis to the CRD PMO.</p> <p>In line with ONS guidance⁵³ : full-time posts will be defined as employees working on relevant sites more than 30 paid hours per week. Part-time posts will be recorded where employees are working less than or equal to 30 paid hours per week. Self-employed or contractor staff on each site will also be recorded and classified (in line with ONS guidance) under the same definitions.</p> <p>Aggregate annual totals of FTEs will be provided based on the summation of recorded quarterly part and full time staff levels.⁵⁴</p>

Smart Output Two	Expenditure of £791 million over the period of this Programme
Tracking Timetable	Annually
Wider Detail	<p>All new expenditure will be provided through the agreed reporting process for each project lead – i.e. as part of their monthly financial and quarterly Risk and Performance Monitoring reporting.</p> <p>Total expenditure will be reported to Governments on an annual basis with quarterly updates on a rolling basis to track actual v projected levels to inform progress and monitor any requirements for changes in project timescales, outputs specifically the effect on the construction employment levels above and TRA(D)E and Innovation Parks outputs and impacts below.</p> <p>Expenditure is defined as the profile of Governments annual CRD capital draw downs, CRD Partner capital and third party capital contributions and revenue spend from all sources identified within the Programme Business Cases and other sources - as yet unidentified - that contribute to the operational outputs and impacts of this programme.</p>

Smart Output Three	TRA(D)E Outputs per annum as detailed below once all Universities projects are operational
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⁵² e.g. The Bayes Centre (fully operational) and the Edinburgh Futures Institute (under initial fit out). Construction employment estimates will be provided on the basis of Scottish Enterprise Economic Impact Guidance that the ratio of total construction costs to labour content is £181,000 per annual FTE and then, in order to allow equivalency to new and maintained FTE jobs, total construction employment will be divided by 10 (years).

⁵³ <https://www.ons.gov.uk/employmentandlabourmarket/peopleinwork/earningsandworkinghours/bulletins/annualsurveyofhoursandearnings/2019#glossary>

⁵⁴ Using the approach adopted under UK Government guidance that a: “full-time equivalent unit”, sometimes abbreviated as FTE, is a unit to measure employed persons in a way that makes them comparable although they may work a different number of hours per week. The unit is obtained by comparing an employee’s average number of hours worked to the average number of hours of a full-time worker. A full-time person is therefore counted as one FTE, while a part-time worker gets a score in proportion to the hours he or she works. For example, a part-time worker employed for 20 hours a week where full-time work consists of 40 hours, is counted as 0.5.” <https://gss.civilservice.gov.uk/wp-content/uploads/2019/04/Employment-variables-Hours-and-FTE-April-18.pdf>

Tracking Timetable	Annually post opening or realisation ⁵⁵
Wider Detail	<p>Once operational all the University innovation projects aim to deliver a range of Talent, Research, Adoption and Entrepreneurship outputs (as detailed in each Project Business Case). Definitions of these outputs are provided at Appendix C. These outputs will be reported annually at the end of each academic year to Governments in terms of:</p> <p>Talent: the number of student completions (by programme, course, MOOC⁵⁶ or certified CPD) which over the 15 years of the Programme excluding QMU are projected to involve 62,000 students obtaining formal certification⁵⁷ with an additional 30,400 CPDs;</p> <ul style="list-style-type: none"> • Research: income awarded to the Universities for the purpose of relevant research⁵⁸ and financially managed in each University's research ledger which excluding QMU is currently projected over fifteen years to involve a net uplift of £360 million of research funding; • Adoption: income from appropriate engagement⁵⁹ with individuals/organisations/ industry partners accounted for in each University's finance system. Collectively both Heriot Watt University and the University of Edinburgh anticipate securing an additional £250 million of such funding over the lifetime of the Programme; and, • Entrepreneurship: includes the number of companies⁶⁰ supported, related funding levels secured as well as students who start up or join DDI related micro/smes. In the former case the anticipated levels are around 440 companies with a minimum (total) level of funding secured of £50 million. In the latter cases around 1000 graduates are projected to be involved. <p>Finally exceptional updates may be required on an ad hoc basis as per Section 7 where variances in actual v projected levels may involve changes positive as well as negative in any given project timescales, these outputs and consequent impacts as per below.</p>

Smart Output Three	Innovation Park Uptake of 1,478 FTEs
Medium/Long Term Impact One	
Tracking Timetable	Employment annually post opening/Financial Year Returns every three years
Wider Detail	

⁵⁵ For example the Usher Institute will only open in the academic year 2022/3 and resultant talent outputs in 2026/7 as a typical undergraduate DDI course takes four years to complete.

⁵⁶ But as detailed in Appendix D only for Massive Open Online Course ("MOOCs"): "where a Statement of Participation has been purchased".

⁵⁷ Certification is defined as gaining a minimum of ten (10) University of Edinburgh credits as set out at: <http://www.ed.ac.uk/global/study-abroad/courses-credits/credits-grading-transcripts> or fifteen (15) Heriot-Watt University credits as set out at: <https://www.hw.ac.uk/services/docs/briefing-scaf.pdf>.

⁵⁸ Which from the perspective of the DDI Programme is defined (at Appendix D) as: "research which encompasses elements of data driven innovation, whether in practice or application, and where the related academic unit has confirmed there is significant and meaningful DDI content."

⁵⁹ As indicated in Appendix D Adoption involves: "harnessing data as a core asset, catalysing the market for new, better and/or less expensive products and services and enabling the wider use of data to drive insights, benefits and inclusive growth. From an institutional point of view this will mean engagements with public, private and/or third sector partners which encompasses elements of data driven innovation whether in practice or application". It is also anticipated that some proportion of "in-kind support" might also be provided in certain projects/programmes. This support is defined by the DDI PMO as: "non-cash contributions to a project, typically goods and services (including labour), which help a project to deliver its outcomes. With the provider's consent, the fair value of the contribution should be assessed as if it were a cash transaction and appropriately recorded as matched/leveraged funding. The calculation of the fair value should stand up to reasonable scrutiny/audit."

⁶⁰ As detailed in Appendix D two types of company definition are applicable i.e.: "**company** - an idea/venture/project will be defined as a company when it reaches the stage at which it becomes registered with Companies House and is subsequently expected to file an annual return; and, **company acceleration:** an existing (post formation) company supported in activities designed to move them beyond their current funding stage/position".

Once operational both the Borders Innovation Park (383 FTEs) and the Fife Industrial Park (1095 FTEs) anticipate attracting new and existing companies on site with a steady state employment rate of around 1,500 FTEs.

In capturing employment levels (on the same basis as construction employment effects) project leads will initially also engage with each new resident company to assess the future needs that the Programme can address e.g. access to labour markets via IRES, DDI R&D capabilities and other forms of development support and, on this basis, ask each company to assess - if these needs are fulfilled - the projected annual financial returns anticipated in relation to their investment. This information will subsequently be aggregated and anonymised for future reporting purposes.

- While leads will regularly engage with occupiers to support progress in meeting the above needs and others as they emerge it is also proposed that leads will follow up with each organisation on a three year basis to assess initial projections against actual performance and how this compares to other group if relevant operations, peers and ONS and other accepted sources of industry performance.

Smart Impact Two	TRA(D)E Impacts (see below)
(Medium/Long Term)	
Tracking Timetable	Every three years post agreed completion date ⁶¹
Wider Detail	<p>Post each activity completion the Universities will track on a rolling three year basis direct and indirect measures of medium impacts in terms of:</p> <ul style="list-style-type: none"> • Talent (Graduates): subject to access to LEO data⁶² there is the potential to track UK based graduate outcomes against their peers to assess any net additional productivity uplifts that might be attributable to DDI via wage differentials. Alternatively – and subject to GDPR advice – the Universities will consider undertaking a three year follow up e-survey⁶³ (and requests for 6 and 9 year updates) of progress of a representative sample of UK based DDI graduates and benchmark their progress against average sector wage data both weighted where possible by Regional differences; • Talent (CPDS and MOOCs): the latter approach will be adopted with employers in relation to CPDs and individuals where relevant with MOOCs by course and relevant sector; • Research: in the absence of any current accepted guidance from Governments on how best to measure the on-going impacts of research it is proposed that the Universities agree with funders - for any research grant of £1 million or more - the likely timescales, scale of innovation⁶⁴ and financial and other returns potentially associated with such grants and agree how best and when to track these returns as part of the three year reporting and progress of such research to Governments <p>Grants below £1million will be reported and estimates of returns and impacts assessed on the basis of relevant Funding Council or Funder and other extant data agreed with Governments.</p> <ul style="list-style-type: none"> • Adoption: each (adoption) partner will be asked to provide anonymised information concerning the projected annual financial returns anticipated with associated time lags in relation to their investment both at the relevant University and as a proportion of their total company investment if relevant. <p>The Universities will then follow up with each organisation on a three year basis to assess initial projections against actual performance as well as views on the relative importance of Universities engagement.</p>

⁶¹ Completion encompasses all forms of TRA (D) E i.e. graduation or course completion and certification, research and adoption funding spent and where a company has secured seed or other investment (as defined at Appendix D).

⁶² Which we understand may be introduced in Scotland shortly : <https://www.gov.uk/government/statistics/graduate-outcomes-for-all-subjects-by-university>

⁶³ Which prior to any launch will require a data protection impact assessment : <https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/accountability-and-governance/data-protection-impact-assessments/>

⁶⁴ For example in line with recent ESRC Guidance that states: “ESRC is keen to support research which is ambitious (but clearly specified) and has the potential for high scientific impact and/or high user impact. We also recognise that such research may carry a higher than normal risk of failing to deliver the full range of expected research outputs”. <https://esrc.ukri.org/files/funding/guidance-for-applicants/research-funding-guide/>

<ul style="list-style-type: none"> • Entrepreneurship: Companies each company on securing seed or other forms of funding as defined at Appendix C will be contacted by the Universities every three years to provide anonymised data in relation to any further funding secured and current employment levels. <p>This analysis will be supplemented by a web search of each company’s performance to identify the status of any non-responses due to closure or other factors and to establish where possible relevant sector performance against which to benchmark performance.</p> <ul style="list-style-type: none"> • Entrepreneurship: Students the same approach will be adopted as that of graduates above recognising, however, the limited number that might be involved and consequent issues of sampling significance and bias.
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Smart Impact Three (Long Term)	2,829 FTE jobs maintained across Innovation Theme by year 15 of the CRD Programme
Tracking Timetable	Annually post opening
Wider Detail	<p>It is anticipated that, post opening of each Hub or other facility under this Theme, an increasing level of employees will be supported up to a final “steady state” level of around 2,800.</p> <p>Each Innovation project lead will provide updates of their projects direct full time and part time employee levels as part of their quarterly Risk and Performance Monitoring reporting.</p> <p>Aggregate annual totals of FTEs will be provided based on the summation of recorded quarterly part and full time staff levels.</p>

Protected Characteristics	All Construction, Innovation Park and Universities Employment
Tracking Timetable	Annually from 2021/22
Wider Detail	<p style="text-align: center;">(a) All Construction Activity</p> <p>Against the characteristics identified at Appendix C each lead will capture baseline information from first tier contractors⁶⁵ concerning the number of construction jobs split by origin, gender, age, disability, ethnicity, modern apprentices, and number of local people employed.</p> <p>Reporting will be provided to the PMO quarterly with the construction employment output data above and aggregated on an annual basis. The stated objective of monitoring this data is to identify approaches - in partnership with contractors, the IRES Programme and others - to achieving at least a 10% to 20% higher proportion - of those from SIMD 20% areas, women, disabled people, specific age groups and MECs or combinations thereof - than industry averages.⁶⁶</p> <p style="text-align: center;">(b) Employees Parks</p> <p>Subject to GDPR approval information on an anonymised basis will be requested from companies on people employed at both Parks for a sustained period of time i.e. at least 26 weeks. Provided annually the intent is to break down staff profiles by linkage to the IRES programme, SIMD area, age, gender, disability, ethnicity and combinations thereof.</p> <p>This will provide the basis to explore options for positive action and how the wider CRD Programme might support such action.</p>

⁶⁵ Subject to the outcome of discussions between theme leads and various first tier construction companies.

⁶⁶ Based on Skills Development Scotland data (e.g. <https://www.skillsdevelopmentscotland.co.uk/media/44711/modern-apprenticeship-statistics-quarter-4-2017-18.pdf>) and in partnership – through the IRES and DDI Programme – with the Construction Industry Training Board.

(c) Employees, and Students : Universities

All the Universities have existing staff and student equalities and human rights policies⁶⁷, recording mechanisms⁶⁸ and positive action initiatives.⁶⁹

All Universities will therefore report annually upon the breakdown of protected characteristics across their respective programmes and integrate existing (as well as pursue a range of new) initiatives aimed at positive action (against which they will provide annual breakdowns and case studies).

⁶⁷ In the case of QMU: <https://www.qmu.ac.uk/media/5810/equality-policy.pdf>

⁶⁸ See for example for the University of Edinburgh: <https://www.ed.ac.uk/equality-diversity/monitoring-statistics/edmarc>

⁶⁹ e.g. Heriot-Watt University: <https://www.hw.ac.uk/services/equality-diversity/equality-initiatives.htm>

Integrated Regional Employability and Skills (“IRES”) Programme Pro Forma

THEORY OF CHANGE: SMART OBJECTIVE AND TRACKING MEASURES DEFINITIONS

Smart Output One	5,300 new jobs over the eight years of this Programme
Tracking Timetable	Annually
Wider Detail	<p>It is anticipated that over the 8 year life of the IRES programme a range of training and other forms of individual and family support will be provided to ensure that by the end of the CRD programme 5,300 unemployed people will have moved into employment and others engaged through the IRES Programme will improve their skills safeguarding their existing jobs and/or enhancing their future opportunities.</p> <p>Following European Social Fund and Scottish Government guidance an “unemployed” individual will be defined across three categories: unemployed, long term unemployed and inactive.⁷⁰</p> <p>Protected or safeguarded jobs - which result in job retention or in work progression⁷¹ are more complex to define and will require project lead judgement⁷². It is proposed in terms of potential guidelines such jobs should cover existing, permanent, paid part time and full time jobs which are at risk without IRES intervention, as well as those who might be supported to undertake new forms of formal education / acquire new skills sets.</p> <p>In line with ONS guidance⁷³ : full-time posts will generally be defined as individuals working for more than 30 paid hours per week. Part-time posts will also typically be recorded as a person who is working less than or equal to 30 paid hours per week. A different employment threshold of 16 hours per week or more will be applied to IRES clients with a disability or long-term health condition “LTC” who move into paid employment⁷⁴.</p> <p>Each IRES project lead will provide updates of their projects including the numbers of people supported, their location, protected characteristics and the full time and part time job levels created or maintained as part of their quarterly Risk and Performance Monitoring reporting.</p> <p>Aggregate annual totals FTE data will be provided based on the summation of recorded quarterly part and full time job secured and maintained only where an unemployed person has retained employment for a minimum of 6 months and a person who has received safeguarded support either retains their employment status for at least one year or a certificated outcome from their studies.</p>

Smart Output Two	Expenditure of £25 million over the 8 year period of the IRES Programme
Tracking Timetable	Annually
Wider Detail	<p>All new expenditure will be provided through the agreed reporting process for each project lead – i.e. as part of their monthly financial and quarterly Risk and Performance Monitoring reporting.</p> <p>Total expenditure will be reported to Governments on an annual basis with quarterly updates on a rolling basis to track actual v projected levels to inform progress and monitor any requirements for</p>

⁷⁰ Where the **unemployed** will be defined as participants who are claiming Jobseeker’s Allowance, (either as their sole benefit or as part of their Universal Credit claim) or ESA (Work Related) benefits. **Long-Term Unemployed** refers to participants over 25 who have been claiming Jobseeker’s Allowance, Universal Credit or ESA (Work Related) benefits for longer than 12 months. In the case of participants under 25, the Long-Term Unemployed status applies after 6 months of claiming Jobseeker’s Allowance, Universal Credit or ESA (Work Related) benefits. **Inactive, Not in Education or Training** applies to participants who are not claiming out of work benefits. (Summarised from: ESF 2014-2020 Participant Records File Checking Information).

⁷¹ Including for example: evidence of better pay, hours or other factors (which can include a job closer to work, more sociable hours etc.).

⁷² For example under the due diligence guidance for the Regional Growth Fund (that focused on safeguarding employment): reviewers were asked to test: *“the credibility of the safeguarding argument presented by management – comment and provide an opinion on the jobs deemed to be safeguarded are at imminent risk of being lost if the Project **does not** proceed.”* https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/403419/bis-15-119-Regional-growth-fund-due-diligence-guidance.pdf

⁷³ <https://www.ons.gov.uk/employmentandlabourmarket/peopleinwork/earningsandworkinghours/bulletins/annualsurveyofhoursandearnings/2019#glossary>

⁷⁴ In line with the Scottish Union of Supported Employment: https://www.base-uk.org/sites/default/files/knowledge/Supported%20Employment%20Outcomes/finalreport_on_supported_employment_outcomes.pdf

changes in project timescales, **outputs** in terms of people supported and related employment effects above and **impacts** below.

Smart Impact One (Medium/Long Term) and Protected Characteristics	By the end of the IRES Programme 10% -20% uplifts outcomes for defined disadvantaged groups across the CRD Region
Tracking Timetable	Annually
Wider Detail	<p>A key focus of the IRES programme will be to provide support and “positive actions” for people within various disadvantaged groups⁷⁵ namely: people with a disability, the working poor;⁷⁶ care experienced and disadvantaged young people;⁷⁷ people from minority ethnic communities; women returning to work; and, women advancing within work many of whom already engage with employability services across the city Region.</p> <p>The aspiration of the IRES Programme – for each of these specific groups – is to ensure positive interventions and thus uplifts, over the next eight years, in the current Regional baseline proportions so that:</p> <ul style="list-style-type: none"> • With “enhanced reach” IRES activities the proportion of these groups engaged by the Programme will be between 10% to 20% higher compared to other current related support programmes in the Region⁷⁸; • Similarly, compared to existing programmes, IRES projects will ensure that between 10% to 20% greater proportion of these groups will secure sustained employment than currently; and, • For those in these groups supported to find work or improve their skills there will be a 10% to 20% uplift in their (new) wage levels over a one to three year period compared to their non-supported (past) peers. <p>Subject to agreement of appropriate Regional or National baselines for each of the above IRES project leads will indicate, within their existing cohorts of disadvantaged participants, the extent to which they are on target to achieve these proportions. The enhanced reach proportions will be reported quarterly and employment and wage rate proportions annually.</p> <p>Finally – and subject to appropriate funding being available – the Programme will conduct:</p> <ul style="list-style-type: none"> • Representative sample surveys – in Years 4 and 8 of up to 10% of project participants who secured or safeguarded a job to assess the long term sustainability of IRES impacts⁷⁹; and, • Depending on the results of the above, and the levels of new IRES participants in the final years of the programme, this survey could be repeated in year 12 (of the overall CRD Programme).

⁷⁵ Many of whom may already engage to various degrees of success with employability services across the city Region.

⁷⁶ With poverty defined as those as living below 60% of contemporaneous median net income within the CRD area. Recent UK analysis (in 2019) suggests that there has been an increasing fraction of those in poverty living in a household with at least one adult in paid work, rising from 37% to 58% of those in relative poverty since 1994. <https://www.ifs.org.uk/uploads/WP201912.pdf>

⁷⁷ Which as catalogued in significant detail by Scottish Government without support are likely face significantly worse future outcomes than their peer age group: http://www.parliament.scot/General%20Documents/CEYP_outcomes_06.16.pdf

⁷⁸ These and other targets might be baselined against Skills Development Modern Apprenticeship data.

⁷⁹ Recognising that: “It is suggested that annually the number of years in the job is measured e.g. finding out how many clients retain work after one, two and three years. If someone left work for another (more satisfactory job) this would count as sustained”. https://www.base-uk.org/sites/default/files/knowledge/Supported%20Employment%20Outcomes/finalreport_on_supported_employment_outcomes.pdf

ESESCRD Culture Programme Pro Forma

Following the Dunard Centre project being paused and now restarting with the redesign of the building, it will be necessary to revisit all suggested outputs and outcomes.

THEORY OF CHANGE SMART OBJECTIVE AND TRACKING MEASURES DEFINITIONS

Smart Output One	Employing 250 full time equivalent employees over the construction period of the Dunard Centre
Tracking Timetable	Annually
Wider Detail	<p>Employment levels will be provided by the Dunard Centre via all first tier contractors on a quarterly basis to the CRD PMO.</p> <p>In line with ONS guidance⁸⁰ : full-time is defined as employees working on site more than 30 paid hours per week. Part-time is defined as employees working less than or equal to 30 paid hours per week. Self-employed or contractor staff will also be recorded and classified in line with ONS guidance under the same definitions.</p> <p>Aggregate annual totals of FTEs will be provided based on the summation of recorded quarterly part and full time staff levels.⁸¹</p>

Smart Output Two	Expenditure of £45 million over the period of the CRD Programme
Tracking Timetable	Annually
Wider Detail	<p>Expenditure levels will be provided through the agreed reporting process for the Centre – i.e. as part of their monthly financial and quarterly Risk and Performance Monitoring reporting.</p> <p>Total expenditure will be reported to Governments on an annual basis with quarterly updates on a rolling basis to track actual v projected levels to inform progress and monitor any requirements for change in project timescales, outputs specifically the effect on construction employment levels above and impacts as per below.</p> <p>Expenditure is defined as the profile of Governments annual CRD capital draw downs, CRD Partner capital and third party capital contributions and revenue spend from all sources identified within the Programme Business Case and other sources - as yet unidentified - that contribute to the operational outputs and impacts of the Centre.</p>

Smart Impact One (Medium Term)	Attendee Levels of around 350,000 per annum post Dunard Centre Opening
Tracking Timetable	Annually post opening
Wider Detail	<p>Attendee and associated gross revenue levels will be provided as part of Centre monthly financial and quarterly Risk and Performance Monitoring reporting.</p> <p>Where possible to capture ticket sales will be broken down by postcode area to assess the potential proportion of non CRD/Scottish resident attendees.</p> <p>To assess potential additionality this data will be supplemented by information on performers in terms of: (a) whether local, Scottish, other UK or international (b) if first sole performance in the CRD area or tour across Scotland and (c) whether return performance(s) post first Centre appearance.</p>

⁸⁰ <https://www.ons.gov.uk/employmentandlabourmarket/peopleinwork/earningsandworkinghours/bulletins/annualsurveyofhoursandearnings/2019#glossary>

⁸¹ Using the approach adopted under UK Government guidance that a: “full-time equivalent unit”, sometimes abbreviated as FTE, is a unit to measure employed persons in a way that makes them comparable although they may work a different number of hours per week. The unit is obtained by comparing an employee’s average number of hours worked to the average number of hours of a full-time worker. A full-time person is therefore counted as one FTE, while a part-time worker gets a score in proportion to the hours he or she works. For example, a part-time worker employed for 20 hours a week where full-time work consists of 40 hours, is counted as 0.5.” <https://gss.civilservice.gov.uk/wp-content/uploads/2019/04/Employment-variables-Hours-and-FTE-April-18.pdf>

Smart Impact Two (Medium Term)	Outreach Programmes post Dunard Centre Opening
Tracking Timetable	Annually post opening
Wider Detail	<p>The number of people supported through outreach events will also be provided by the Dunard Centre as part of their monthly financial and quarterly Risk and Performance Monitoring reporting. Information where possible to capture will be broken down by group or special interest characteristics e.g. school groups, OAPs, Associations etc. and postcode area where relevant e.g. school groups from CRD and other Scottish SIMD 20% areas⁸². Take-up will also be monitored by repeat and new users and type of activities.</p> <p>While such outreach programmes have yet to be fully defined and implemented the intent will be to set long term objectives and related impacts for different projects and monitor changes in participant benefits. These could include educational attainment for schools and colleges, well-being for older groups and/or support in developing community groups achieve their objectives.</p>

Smart Impact Three (Long Term)	110 FTE jobs maintained at Dunard Centre 10 years post opening
Tracking Timetable	Annually post opening
Wider Detail	<p>It is anticipated that, post opening, a steady state level of employees will be supported through Centre sales to undertake on and off site activities. Both full time and part time employee levels will be provided by the Dunard Centre as part of their quarterly Risk and Performance Monitoring reporting. Aggregate annual totals of FTEs will be provided based on the summation of recorded quarterly part and full time staff levels.</p>

Protected Characteristics	Construction and Centre employment/attendees over the period of the Programme
Tracking Timetable	Annually
Wider Detail	<p style="text-align: center;">(a) Construction</p> <p>The Dunard Centre intends to capture baseline information from first tier contractors concerning the number of construction jobs split by origin, age, gender, disability, ethnicity, modern apprentices, and number of local people employed.</p> <p>Reporting will be provided to the PMO quarterly with the construction employment output data above and aggregated on an annual basis. The stated objective of monitoring this data is to identify approaches - in partnership with contractors, the IRES Programme and others - to achieving a 10% to 20% higher proportion - of those from SIMD 20% areas, women, disabled people and MECs or combinations thereof - than industry averages.⁸³</p> <p style="text-align: center;">(b) Employees</p> <p>Subject to GDPR approval information on an anonymised basis will be provided on people employed in the Dunard Centre for a sustained period of time (i.e. at least 26 weeks). Provided annually the intent is to break down staff profiles by linkage to the IRES programme, SIMD area, gender, disability, ethnicity and combinations thereof.</p> <p style="text-align: center;">(c) On Site Attendees</p> <p>As per the outreach section above an assessment will be made annually – where possible - from ticket sales, and self-completion of on and offline marketing surveys, of the potential breakdown of attendees by various protected characteristics.</p>

⁸² See attached for the 20% most deprived areas in Scotland : https://simd.scot/#/simd2020_20pc/BTTTT/9/-4.0000/55.9000/

⁸³ Based on Skills Development Scotland data (e.g. <https://www.skillsdevelopmentscotland.co.uk/media/44711/modern-apprenticeship-statistics-quarter-4-2017-18.pdf>) and in partnership – through the IRES and DDI Programme – with the Construction Industry Training Board.

In addition Centre Management will, as reflected in the current Centre Business Case⁸⁴, pursue a range of initiatives aimed at positive action (against which they will provide annual breakdowns and case studies).

⁸⁴ *“Through the delivery of a wide ranging educational and community programme the Centre will develop opportunities - with a range of City Deal and other partners - to involve those socio-economic groups currently under-represented as participants and (in) audiences. A key aspect of this programme will be to engage people through lifelong learning, from the very youngest to the elderly, addressing the needs of all through different stages of life”.*

ESESCRD Transport Programme Pro Forma

THEORY OF CHANGE: SMART OBJECTIVE AND TRACKING MEASURES DEFINITIONS

Smart Output One	Employing 860 full time equivalent employees over the construction period of the Programme
Tracking Timetable	Annually
Wider Detail	<p>Employment levels will be provided by the Transport theme lead via all first tier contractors on a quarterly basis to the CRD PMO.</p> <p>In line with ONS guidance⁸⁵ : full-time is defined as employees working on each project site more than 30 paid hours per week. Part-time is defined as employees working less than or equal to 30 paid hours per week. Self-employed or contractor staff will also be recorded and classified in line with ONS guidance under the same definitions.</p> <p>Aggregate annual totals of FTEs will be provided based on the summation of recorded quarterly part and full time staff levels.⁸⁶</p>

Smart Output Two	Expenditure of £156 million over the period of the CRD Programme
Tracking Timetable	Annually
Wider Detail	<p>Expenditure levels will be provided through the agreed reporting process for this theme – i.e. as part of monthly financial and quarterly Risk and Performance Monitoring reporting.</p> <p>Total expenditure will be reported to Governments on an annual basis with quarterly updates on a rolling basis to track actual v projected levels to inform progress and monitor any requirements for change in project timescales, outputs specifically the effect on construction employment levels above and impacts as per below.</p> <p>Expenditure is defined as the profile of Governments annual CRD capital draw downs, CRD Partner capital and third party capital contributions and revenue spend from all sources identified within the Programme Business Case and other sources - as yet unidentified - that contribute to the operational outputs and impacts of the Centre.</p>

Smart Impact One (Medium Term)	On-going measurement of Transport benefit improvements
Tracking Timetable	Annually post operation
Wider Detail	<p>The intent of the various transport projects under consideration is primarily focused on connectivity and environmental improvements⁸⁷. Once particular schemes are operational consideration will be given to how best to utilise the current monitoring and evaluation undertaken by Transport Scotland, SEStran, and City Deal partners in capturing:</p> <ul style="list-style-type: none"> • Connectivity in terms of (1) changes in the modal split of journeys; (2) changes in journeys to work/education and training from defined disadvantaged communities; (3) impact e.g.: passenger numbers, shorter journey times etc. of network improvements⁸⁸; and,

⁸⁵ <https://www.ons.gov.uk/employmentandlabourmarket/peopleinwork/earningsandworkinghours/bulletins/annualsurveyofhoursandearnings/2019#glossary>

⁸⁶ Using the approach adopted under UK Government guidance that a: “full-time equivalent unit”, sometimes abbreviated as FTE, is a unit to measure employed persons in a way that makes them comparable although they may work a different number of hours per week. The unit is obtained by comparing an employee's average number of hours worked to the average number of hours of a full-time worker. A full-time person is therefore counted as one FTE, while a part-time worker gets a score in proportion to the hours he or she works. For example, a part-time worker employed for 20 hours a week where full-time work consists of 40 hours, is counted as 0.5.” <https://gss.civilservice.gov.uk/wp-content/uploads/2019/04/Employment-variables-Hours-and-FTE-April-18.pdf>

⁸⁷ While the proposed transport projects adjacent to the Easter Bush Campus also have the added benefits of unlocking DDI related developments and consequent impacts on the Campus these have impacts already been “captured” in the Full Business Case for Easter Bush.

⁸⁸ Some of which can be captured (assuming appropriate baseline data is available) in broad terms by standard KPIs including: **reduced congestion** - traffic count of average speed on road; **reduced journey times** – again through traffic counts of the % of journeys that are ‘on time’, comparing journey times with historical data for individual sections of road and or changes in the standard deviation of AM and PM peak hour journey times; and **widening of labour markets** – through travel-to-work flows (see <http://www.ons.gov.uk/ons/rel/Regional-trends/area-basedanalysis/commuting-patternsfrom-the-annual-populationsurvey--local-authorities-2010-and-2011/index.html>).

- **Environment** :(1) Levels of reductions of emissions and carbon resulting from modal shift; (2) Reduction in total numbers of intra-Regional journeys; (3) Air quality improvement levels along all main road transport routes; (4) Reductions of commuting levels into the City of Edinburgh.

It is proposed that subject to existing survey data additional survey information will be focussed on particular indicators varying on a year to year basis e.g. for example coordinating one year with the IRES Programme on the impact of transport improvements on relevant disadvantaged groups and the next working with the Easter Bush Campus in monitoring the uptake in use of cycle lanes.

Smart Impact Two (Long Term)	Connectivity and Environmental Impact stock takes
Tracking Timetable	Every five years
Wider Detail	The Transport lead will co-ordinate all the annual findings from the above to provide a trend analysis of changes in connectivity and environmental indicators. At this point recommendations will be made to the CRD PMO of additional measures to improve benefits and or mitigate unplanned negative impacts.

Protected Characteristics	Construction employment
Tracking Timetable	Annually during Construction
Wider Detail	<p>Against the characteristics identified at Appendix C the Transport lead will capture baseline information from first tier contractors concerning the number of construction jobs split by origin, age, gender, disability, ethnicity, modern apprentices, and number of local people employed.</p> <p>Reporting will be provided to the PMO quarterly with the construction employment output data above and aggregated on an annual basis. The stated objective of monitoring this data is to identify approaches - in partnership with contractors, the IRES Programme and others - to achieving a 10% to 20% higher proportion - of those from SIMD 20% areas, women, disabled people and MECs or combinations thereof - than industry averages.⁸⁹</p>

⁸⁹ Based on Skills Development Scotland data (e.g. <https://www.skillsdevelopmentscotland.co.uk/media/44711/modern-apprenticeship-statistics-quarter-4-2017-18.pdf>) and in partnership – through the IRES and DDI Programme – with the Construction Industry Training Board.

ESESCRD Community Benefits and Social Innovation Pro Forma

Inclusive Growth through Procurement and Social Innovation	Community Benefits and other procurement inclusive growth activity over the period of the Programme
Tracking Timetable	Annually
Wider Detail	<p style="text-align: center;">(c) Community Benefits Construction and other major spending⁹⁰</p> <p>Theme projects will include community benefits activity and other inclusive growth commitments through procurement in construction as well as non-construction capital and revenue spend.</p> <p>Community benefits activities will comprise contractual commitments achieved through tendering but also agreed voluntary partnership activity between project leads, suppliers, and relevant third parties where appropriate. Each project may entail different community benefits approaches depending on existing processes and the subject matter of the project.</p> <p>Led by the CRD PMO, IRES and DDI, and with significant market engagement, partners will also agree common measures and KPIs that aggregate reporting of certain key community benefits activities and inclusive growth measures across the themes. If appropriate, longer-term, decoupled impact initiatives, such as a social innovation fund, may also emerge through partner and market engagement. Theme lead and supplier market engagement will be crucial as this will determine what data can be provided and aggregated.</p> <p>Community benefits activities as part of the Deal’s wider Inclusive Growth commitments may comprise:</p> <ul style="list-style-type: none"> • Community wealth building with example measures such as project £ spend with Region-based social enterprises, employee-owned enterprise or other third sector organisations; funding raised for social impact initiative or for social innovation (e.g. COVID 19 response/relief, inclusive economic recovery project funding, funding for social enterprise or community investment); £ of project spend, including with subcontractors, with Region-based enterprises, £ spend with Region SMEs or start-ups; number of bespoke or multi-partner⁹¹ impact initiatives/activities. • Follow up Partnership actions could include determining Region organisation spend for local business, social enterprises, SMEs or start-ups, etc.; collaborating to measurably increase or strategically direct this spend; and, expanding on Region community benefits practice to complement employability and apprenticeship practice. • Employability, skills and training measures including the : number of FTE and other opportunities aligned with theme SMART objectives; number of sustained opportunities with tracked positive destinations; £ of external funding leveraged to support training; hours of training or CPD; number of internships; number of pupils engaged/informed about sector <ul style="list-style-type: none"> • Supporting IRES targets for employment and training and leverage additional funding to support ambitious skills interventions, for instance incorporating data or climate action skills into apprenticeships

⁹⁰ On the topic of public procurement, Scotland’s Economic Action Plan states: “While ‘community wealth building’ goes much wider than procurement, we will continue to play our part on local economic wellbeing by:

- Promoting the use of community benefit requirements in public contracts to deliver wider benefits for local communities and the wider society, including local supply chains, new jobs, apprenticeships, work placements and training; and,

- Supporting a range of public bodies to maximise the contribution their procurement spend makes in their area through the intelligent use of procurement data. This will include extending our work with the Ayrshire City Deal to the Glasgow and Tay City Deals, with the intension of sharing learning and advice with others across Scotland.

And, to support these endeavours, we will expand and target the Supplier Development Programme role and take forward opportunities to promote local economic development under construction frameworks.”

<https://economicactionplan.mygov.scot/enterprise/public-procurement/>

⁹¹ Potential partners include the Regional Enterprise Council, Edinburgh Local (SRS, UoE), Social Enterprise UK, Social Investment Scotland, Big Issue Invest, and Community Wealth Scotland.

Data Driven Innovation and Social Innovation example measures could include the: number of activities/opportunities aligned with IRES HCI and DDI Gateway targets and other initiatives; hours of workshops/engagement with supplier innovation, communities, sustainability or business improvement leads on ; £ of research funding leveraged through engagement with supplier or Deal partners; number of Regional supplier sector research or social impact engagements; R&D horizon scanning surveys conducted; in kind support, curated data sets or supplier/Deal partner staff time leveraged.

Work with DDI, IRES and other themes and project leads will engage supplier market and relevant parties where appropriate such as the Deal's Regional Enterprise Council to identify the right partners to facilitate novel opportunities-- either by supporting baseline evidence, partner identification and practical guidance, or through delivery support.

At different procurement stages – collaborative pre-market engagement, tendering, and contract and relationship management - there will be opportunities to identify appropriate links to other programmes, but also to leverage to reach targets to leverage projects and relationships to identify and action funding for other sources for IRES and DDI.

- Partners will report against **community benefits activities, equalities, and fair work practice commitments** including payment of the UK real Living Wage across the Edinburgh Region project supply chain. Wherever possible, project procurement outputs will align to support IRES and DDI targets in addition to relevant theme SMART targets, e.g., contribute to IRES programme goal of 5,300 moving into employment, facilitate recording of customer journeys, or enable employer engagement and progress towards target of 1000 DDI placements.

7 Change Control

7.1 Change and Change Control

Change is an event or set of circumstances that leads to: *“something that is expected which does not happen or something that is not expected which does happen”*.⁹² In response change control is a business decision that: *“needs to occur in the business/operational environment in order to successfully implement the key project outputs/enablers/deliverables”*⁹³.

The APMG⁹⁴ Managing Benefits guide identifies five main sources and/or outcomes of change that can negatively affect benefit delivery, all of which are potentially pertinent to the CRD:

- **Forecasting failure:** for example benefits are not identified or are overestimated;
- **Delivery failure:** i.e. failure to deliver the initiative with the planned functionality or on time, so impacting on the scale and timing of benefits realisation;
- **Business and behavioural change failure:** i.e. the business and behavioural changes on which benefits realisation is dependent do not occur or are poorly scheduled causing delays in benefits realisation;
- **Benefits Management failure:** in relation to capturing and leveraging emergent benefits and mitigating dis-benefits; and,
- **Value for money failure:** the benefits are realised but at excessive cost.

Critical to understanding the implications of any or all of the above is a regular understanding of the benefit flows that have been delivered against the baseline as well as projections about future benefit levels. Fundamentally this means that if change control is to be effective benefits must be measurable and link outputs to strategic goals. If such benefit measures are in place: *“change control ensures only beneficial or necessary changes to the baseline are implemented”*⁹⁵.

7.2 CRD Change Control

Currently - to assess progress against the milestones set out in relevant business cases - each Thematic Advisory Board produces a quarterly Risk and Performance Monitoring Report. Where risks are identified change recommendations will be made. Based on these thematic reports an overall Programme Risk Register and Performance Monitoring Report is considered by the Executive Board and Joint Committee every quarter. These reports are also presented to Governments and the REC quarterly.

⁹² https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/866117/6.6266_HMT_Orange_Book_Update_v6_WEB.PDF

⁹³ https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/746400/Project_Delivery_Standard_1.2.pdf

⁹⁴ <https://apmg-international.com>

⁹⁵ https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/746400/Project_Delivery_Standard_1.2.pdf

On decision-making and change, the Deal Document suggests that the Joint Committee has a monitoring and assurance role with respect to City Region Deal funding to ensure that it is spent in line with the City Region Deal objectives: *“It is recognised that the Joint Committee’s powers and duties relate to activities set out in the City Region Deal. Each constituent partner’s decision-making in relation to its own financial commitments are not subject to Joint Committee approval. The Joint Committee does however have a monitoring and assurance role with respect to City Region Deal funding to ensure that it is spent in line with the City Region Deal objectives”*⁹⁶.

Major change decisions in **existing** projects are escalated from project level to thematic board level, or, when required, to the Executive Board for discussion. Recommendations are then presented to the Joint Committee (if required) for decision.

Examples of major changes may relate to cost, scope and time, for instance:

- Project/parts of project costs rise significantly since business case approval, and partners are unable to meet the funding gap;
- There is project underspend, leaving an opportunity to enhance the scope or consider new projects for which there is no agreed approach via normal risk / opportunity management processes; and,
- External factors trigger changes in the timescales against which a project or theme is likely to be delivered.

In the exceptional case where an existing capital project is no longer considered viable or value for money since business case approval the Joint Committee **and** Governments will agree, against the five overall inclusive growth CRD objectives, the:

- Government and other funding “underspend” that might be available and over what time periods;
- **New projects or programmes** that could be considered within this budget and timescale that might either enhance or complement existing themes; and,
- Appropriate selection and decision processes to adopt in assessing which of the above is likely to offer the greatest value for money “VfM”⁹⁷.

Notwithstanding the above since the Deal signing the Joint Committee and Governments have been provided with sufficient information to make decisions on the approval of business cases and financial management. Now that most projects are moving into the delivery stage theme performance is being reported to Joint Committee on a quarterly basis.

⁹⁶ <https://static1.squarespace.com/static/55c87967e4b05aa55020f656/t/5c263201898583ec74c01146/1546007049724/ES/ESCR+Deal+Document+6+August+2018+signed.pdf>

⁹⁷ Recognising that VFM is not single number. It is a balanced judgment that takes account of: Government’s strategic objectives; the value to society; the best use of limited public resources; the delivery risks involved; and significant unquantifiable or unmonetisable objectives or factors

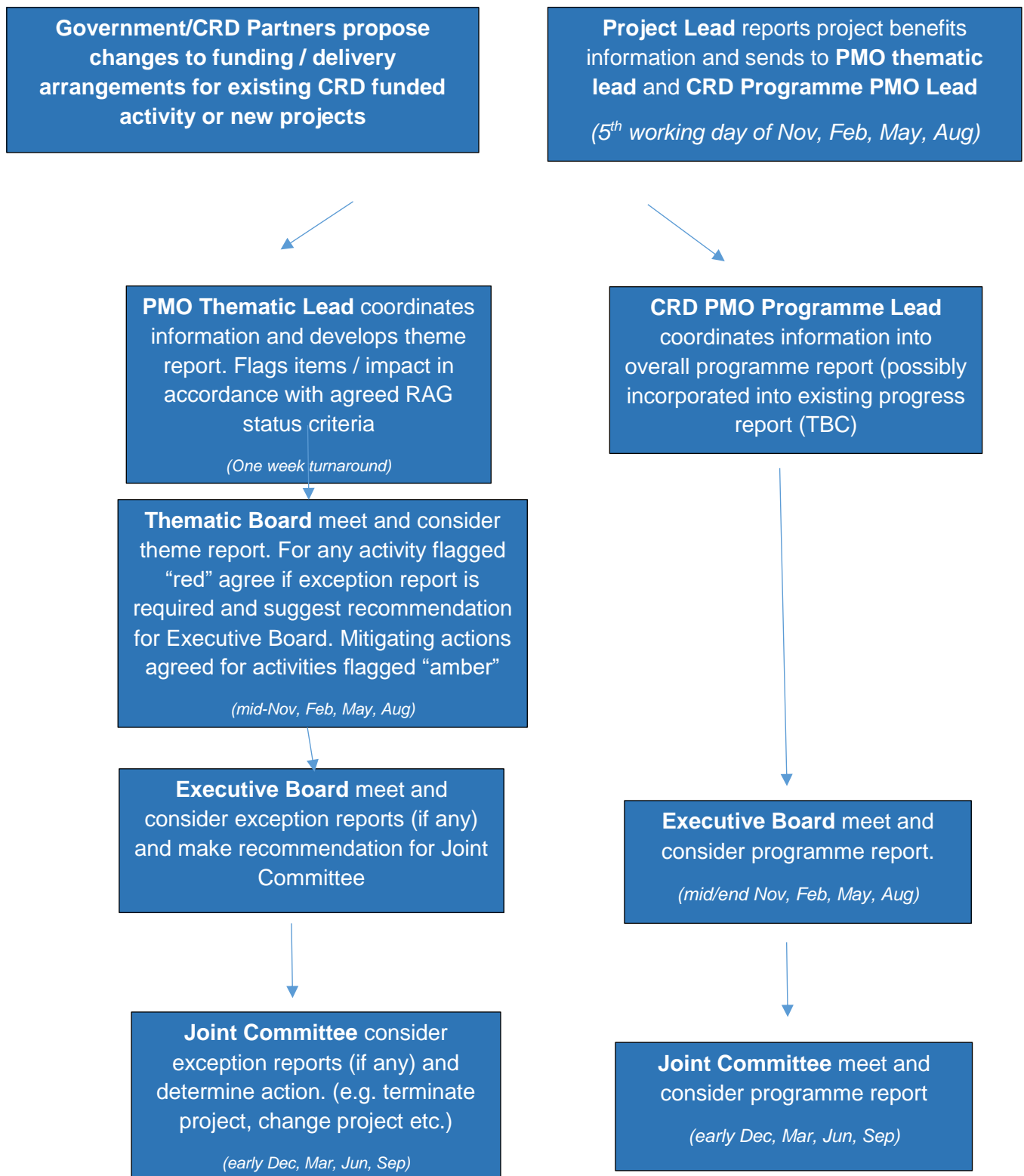
It is proposed, as detailed in Table Five that the tolerances within the change section of such reports should identify at each project level three “tolerance” criteria.

Status	Criteria
<p>Green: actual or predicted timescales and benefit realisation is likely to be delivered with little or no deviation from original Business Case projections, or previously agreed changes to these, and in line with agreed drawdowns.</p>	<p>Resourcing - adequately resourced; Time – key milestones will be delivered on schedule; Budget - forecast spend is within allocated budget; Risks - no amber / red risks identified on project risk log; and, Benefits - target benefit delivery on track.</p>
<p>Amber: actual (or predicted) slippage of completion date at programme level with implications for KPI performance and / or drawdown from Scottish Government that cannot be resolved by SRO / CD Thematic Boards.</p>	<p>Resourcing - resource gaps may impact key milestones; Time – key milestones may be delayed; Budget - forecast spend may exceed / fall below allocated budget; Risks - amber risks identified on project risk log; and, Benefits - target benefits may not be achieved.</p>
<p>Red: programme is not deliverable within the timescales agreed and needs to be significantly restructured.</p>	<p>Resourcing - resource gaps that will impact key milestones; Time – key milestones likely to be delayed; Budget - forecast spend likely to exceed / fall below allocated budget; Risks red risks identified on project risk log; and, Benefits - target benefit unlikely to be achieved.</p>

Programme delivery may also be impacted by decisions taken by CRD funding partners. Any such changes proposed will be considered by Project Leads and associated Thematic Boards, with potential impacts given relevant RAG status and reported in accordance with agreed process. In line with wider Change Control discussions, weekly conference calls between both Governments and the CRD PMO will be used to highlight such scenarios and collectively agree the actions required.

Finally Figure Two overleaf suggests the process for change control, performance monitoring and exception reporting on projects.

Figure Two – Process for change control, performance monitoring and exception reporting



Appendix A: National Outcomes and Strategic Development Goals

All the theme leads and wider CRD partners recognise both the importance of the 11 national outcomes detailed in the Scottish Governments National Performance Framework “NPF”¹ and that the: “NPF is the main mechanism through which we are localising and implementing the (17) Sustainable Development Goals (SDGs) in Scotland.”² The table below, therefore, indicates how each of the CRD themes and activities will contribute to various national outcomes and SDGs.

CRD alignment to National Performance Framework and UN Sustainable Development Goals

Five main themes in the City Region Deal, and total capital investment	Research, Development and Innovation: £751 million	Integrated Regional Employability and Skills: £25 million	Transport: £156 million	Culture: £45 million	Housing: £313 million
Scotland's National Performance Framework	<p>Economy: We have a globally competitive, entrepreneurial, inclusive and sustainable economy.</p> <p>International: We are open, connected and make a positive contribution internationally.</p> <p>Education: We are well educated, skilled and able to contribute to society.</p> <p>Health: We are healthy and active.</p> <p>Human Rights: We respect, protect and fulfil human rights and live free from discrimination.</p>	<p>Fair Work and Business: We have thriving and innovative businesses, with quality jobs and fair work for everyone.</p> <p>Education: We are well educated, skilled and able to contribute to society.</p> <p>Poverty: We tackle poverty by sharing opportunities, wealth and power more equally.</p> <p>Human Rights: We respect, protect and fulfil human rights and live free from discrimination.</p>	<p>Health: We are healthy and active.</p> <p>Environment: We value, enjoy, protect and enhance our environment.</p>	<p>Culture: We are creative and our vibrant and diverse cultures are expressed and enjoyed widely.</p> <p>Human Rights: We respect, protect and fulfil human rights and live free from discrimination.</p>	<p>Communities: We live in communities that are inclusive, empowered, resilient and safe.</p> <p>Health: We are healthy and active.</p> <p>Poverty: We tackle poverty by sharing opportunities, wealth and power more equally.</p> <p>Environment: We value, enjoy, protect and enhance our environment.</p> <p>Human Rights: We respect, protect and fulfil human rights and live free from discrimination.</p>

¹ As detailed at: <https://nationalperformance.gov.scot/national-outcomes>

² <https://www.gov.scot/publications/scotland-sustainable-development-goals-national-review-drive-action/>

UN Sustainable Development Goals³	Goal 2: End hunger, achieve food security and improved nutrition and promote sustainable agriculture.	Goal 1. End poverty in all its forms everywhere.	Goal 3: Ensure healthy lives and promote wellbeing for all at all ages.	Goal 4: Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all.	Goal 1. End poverty in all its forms everywhere.
UN Sustainable Development Goals	Goal 3: Ensure healthy lives and promote well – being for all at all ages.	Goal 4: Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all.	Goal 9: Build resilient infrastructure, promote inclusive and sustainable industrialisation and foster innovation.	Goal 9: Build resilient infrastructure, promote inclusive and sustainable industrialisation and foster innovation.	Goal 3: Ensure healthy lives and promote well – being for all at all ages.
	Goal 8: Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all.	Goal 5: Achieve gender equality and empower all women and girls.			Goal 9: Build resilient infrastructure, promote inclusive and sustainable industrialisation and foster innovation.
	Goal 9: Build resilient infrastructure, promote inclusive and sustainable industrialisation and foster innovation.	Goal 8: Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all.			

³ <https://sustainabledevelopment.un.org/content/documents/21252030%20Agenda%20for%20Sustainable%20Development%20web.pdf>

First draft CRD Programme ToC for Government

Revisit and refresh over time → **Monitor and report investments made and levels of activity delivered** → **Gather and report evidence, assess impact, consider value for money and apply lessons learned to maximise future impacts**

Strategic Context

Inputs

Outputs

Outcomes / Impacts

Theme

Investments

Activities

Beneficiaries

Short-term

Medium-term

Long-term

• Housing	• £313 million	• House building	• Construction • Other sectors • CRD residents	• Construction Jobs • Housing Take Up	• Employment/resident occupancy & turnover	• Sustained employment • (Associated development uplifts)
• Innovation	• £791 million	• Development of Borders Innovation, DDI Hubs, Fife Industry, and QMU Food & Drink	• Construction • Other sectors • Students • CRD residents • Third sector	• Construction jobs • TRADE take up. • Site Occupancy • Third sector projects/ programmes	• Productivity uplifts • Research/Adoption • Investment • Start-ups • Student destinations • Social Impacts	• Sustained employment/wage rate uplifts • Returns on investment. • (Associated developments/Inward Investment)
• Skills	• £25 million	• 5 Pillars Programme	• Construction • Other sectors • CRD Residents • School Pupils	• Construction Jobs • Programme take-up	• Uplift in employment • Productivity uplifts • Improved time and take up of vacancies • Diverse workforce changes • Improved exam results	• Sustained employment/wage rate uplifts
• Culture	• £45 million	• Development of Dunard Centre	• Construction. • Cultural sector • CRD Residents and visitors • Other sectors	• Construction jobs	• Usage and attendee levels • Outreach take-up/effects • High quality employment in culture sector	• Sustained employment/ • Revenue • Audience development
• Transport	• £156 million	• Road improvements	• Construction. • Other sectors • Users	• Completion	• Transport benefit improvements (e.g. safety, journey times, modal split, air	• Sustained transport improvements • (Associated developments)

DDI Monitoring and Evaluation Framework

Revisit and refresh over time

Monitor and report investments made and levels of activity delivered

Gather and report evidence, assess impact, consider value for money and apply lessons learned to maximise future impacts

Strategic Context

Situation

- Market Demand
- Needs
- Assets
- Symptoms
- Problems
- Stakeholder engagement

Alignment

- Vision
- Objectives
- Resources
- Local dynamics
- Collaborators
- Intended outcomes

Inputs

Investments

Capital investment to deliver increased floor space, new facilities and scope for co-location

Programme investment in new DDI focused activities (10yrs)

Commitments from partners to increase access to data

- New data partnerships with public sector

Complimentary City Deal investments

- Skills
- Infrastructure

Outputs

Activities

DDI level:
Concentrate DDI activity in the five hubs
Increase the space available to co-locate and collaborate with partners

Talent: Increase training capacity and design and deliver new (academic and professional) courses

Research: Undertake more DDI focused research and extend its quality and scope

Adoption: Undertake programme of engagement with businesses, public and local schools (via Outreach Programme) to raise awareness

Data: WCDI to gather, store and prepare usable datasets accessible to self and partners

Entrepreneurship: Scale up support for start-ups through provision of stipends, incubation space and mentoring

Beneficiaries

Students/ learners (academic and professional)

Research partners (public, private and third sector)
Academic community

Businesses, Public (consumers/ service users)
School children and teachers

Data partners (public, private and third sector)

Businesses and entrepreneurs

Outcomes /Impacts

Short-term

Talent: More learners take up courses and develop DDI skills

Research: More research investment is leveraged unlocking new data insights, ideas and IP Interaction takes place between researchers and partners on a more open basis

Adoption: Greater joint working with businesses on DDI based products and services and greater awareness in schools and the public about impact of data

Data: Better access to a wider range of data sets increases research and enterprise activity

Entrepreneurship: Increase in number of spin out companies

Medium-term

DDI level: DDI activity increases growth and expenditure in City Region

Talent: Learners apply DDI skills in the workplace or establish own enterprise

Research: Research activity improves teaching and attracts and retains talent
Learners and partners apply research to develop new products, services and approaches

Adoption: Business, school children and public make different choices, take up of talent and research increases, new markets develop

Data: Growth rate of DDI activity in City region increases and its reputation grows

Entrepreneurship: Number of start-ups entering scale up rises and mentoring improves survival rates
More investment in enterprise is leveraged (e.g. venture funds)

Long-term

City Region established as a world-leading and globally competitive DDI tech cluster

Talent pool grows, skills shortages are addressed (employment)

Existing workforce equipped with more tech resilient skills (employment and wages)

Productivity improves (wages, GVA, tax revenue)

Wider benefits to consumers and service users from application of DDI (e.g. better health outcomes, cheaper products and services)

New jobs are created (employment)

GVA rises (tax and productivity benefits)

Availability of talent, research and data attracts more inward investment

Exchequer benefits from application of data to transform public services

Edinburgh Innovation Park / Food & Drink Innovation Hub – East Lothian Council & QMU

Revisit and refresh over time

Monitor and report investments made and levels of activity delivered

Gather and report evidence, assess impact, consider value for money and apply lessons learned to maximise future impacts

Strategic Context

Inputs.

Outputs

Outcomes / Impacts

Situation

Investments

Activities

Beneficiaries

Short-term

Long-term

- SG Economic Strategy.
- Innovation.
- Market potential and internationalisation.
- Inclusive Growth.
- Scottish Government Programme for Government 2030.
- SDS (20170 (SIP).
- UK Industrial Strategy.
- Edinburgh and South east Scotland City Region Deal.
- ELC economic strategy/ Council plan.
- QMU Strategic Plan.

- Capital Investment for the Innovation Hub.
- The Innovation Hub will encompass 7,200 sqm GIA of which circa 750 sqm will be let to the SCFDI as additional space and the remainder allocated to SME and support functions.

- Build Innovation Hub. Access to:
1. Commercial rental space for Food & Drink businesses.
 2. Generic service support from QMU/Business Gateway.
 3. Equipment/ infrastructure/expertise to develop/market new products.
- Catalyse knowledge transfer by leading on coordination of food and drink innovation activities and skills development on a national/international scale/hosting events for local/regional/national SME to share knowledge.
 - Increase resilience of Scottish SME.
 - Develop food science pathway.
 - Collaboration with other organizations working in F&D/R&D by identifying synergy complimentary services with other organizations.

- Food and Drink businesses.
- SMEs.
- Students/academics.
- Entrepreneurs.
- Retailers (supply chain).
- City region.

- Generate new processes/products.
- Increase commercialisation of research/ innovation.
- Increase growth in businesses in the region.
- Contribute to inclusive growth in the region.
- Contribute to food and Drink Pathway.

- Food and Drink businesses/SME supported to aid development of new products by the provision of specialist facilities within the Innovation Hub, space, staff/ university/business gateway to assist with the development.
- Contribute to public health agenda by harnessing the potential of translational medicine in Scotland in supporting the diversification of the F&D industry towards preventative, therapeutic and rehabilitative applications of Scotland's expertise in genomics of disease, bio markers and bio informatics.
- Contribute to strategic context outlined in Column one.
- Catalyst for development of 52-acre innovation park.
- "Cost effective 'health through stealth' product reformulation; Nutritional and dietetic interventions for preventative, therapeutic, and rehabilitative translational medicine administered through food with particular impact potential for long-term health conditions (e.g. Coeliac disease) and an ageing worldwide population.
- Job creation construction/employment opportunities in the construction/operation of the innovation hub and wider EIP park.

Revisit and refresh over time

Monitor and report investments made and levels of activity delivered

Gather and report evidence, assess impact, consider value for money and apply lessons learned to maximise future impacts

Strategic Context

Inputs.

Outputs

Outcomes /Impacts

Situation

Investments

Activities

Beneficiaries

Short-term

Medium-term

Long-term

- Market Failure – development deficit.
- Obsolescence.

- Funding for:
- Site acquisition
- Site servicing
- Construction of new commercial business premises

- Site assembly.
- Site servicing.
- New construction of class 4,5,6 premises.
- Site disposals to third parties.
- Formation of joint Ventures (public and/or private sector).
- Marketing of buildings and sites.

- Private Companies
- SME Occupants
- New owners of serviced sites
- Construction companies
- Existing occupiers

- Private Sector Investment in:
- Fit-out
- New build
- R&D innovation
- Staff training
- New premises

- Cost savings in business processes.
- New products services created by businesses that sustain increase demand.

- Cost savings in business processes.
- New products services created by businesses that sustain increase demand.

West Edinburgh

Revisit and refresh over time

Strategic Context

Inputs.

Situation

LDP Context:

The Council's Proposed Local Development Plan (LDP) includes significant proposals in the area. Edinburgh Airport, the Royal Highland Centre, International Business Gateway (IBG) and RBS Headquarters are identified as special economic areas which provide or have the potential to provide a significant number of jobs. The LDP supports business-led mixed-use development in the IBG with potential capacity for 238,000 sq. m of commercial office floorspace, 1,400 hotel rooms and 2,500 new housing units. The LDP also identifies significant residential, and mixed-use development proposals in the wider west Edinburgh area.

Investments

City Region Deal Capital investment to deliver transportation improvements as identified in the West Edinburgh Transport Appraisal (2016). - £20m

Planning Agreement Contributions, through Section 75 Developer Contributions towards Transport improvements as confirmed in WETA 2016 and subsequently in the City of Edinburgh Council Local Development Plan Action Plan and Supplementary Guidance.

Other partner contributions (not yet confirmed). – CEC contribution £17m

Monitor and report investments made and levels of activity delivered

Outputs

Activities

Development and implementation of sustainable and integrated package of transport intervention measures which mitigate the impacts of the new major developments (i.e. Edinburgh International Business Gateway), and wider growth.

Community benefits through construction.

Supply chain engagement through supplier development activities.

Beneficiaries

West Edinburgh is recognised as a key national economic asset and a significant business investment location with potential to be nationally and internationally competitive.

Investment in the required Transport infrastructure will improve accessibility between jobs and people and unlock the economic investment potential and vision set for West Edinburgh.

Private business and employees are set to benefit through significant opportunities to create and sustain jobs in the area.

West Edinburgh is also the location for significant amounts of additional housing.

The proposed infrastructure will also help support anticipated Airport growth?

Gather and report evidence, assess impact, consider value for money and apply lessons learned to maximise future impacts

Outcomes /Impacts

Short-term

To improve general accessibility to and through the area.

Improvements to Public Transport specific infrastructure will reduce PT (Bus and Tram) journey times and increase PT reliability in order to promote and maximise travel on more sustainable forms.

Improvements to the Active Travel network through investment in Walking and Cycling focused infrastructure will encourage more people to walk and cycle in West Edinburgh, with particular focus on journeys to work.

West Edinburgh has a minimum mode share target of 50% for all sustainable modes of transport, minimising impacts on the environment (local air quality and noise) and local communities (physically severance and volume and speed of traffic). Introduction of new suitable travel links increases accessibility in West Edinburgh and establishes new links to other catchment areas of employment to help supply the growth in labour market (both locally regionally).

Medium-term

The implementation of the require integrated transport infrastructure will accelerate economic growth and support West Edinburgh Framework Targets, specifically: ADD (objectives) outcomes from WEDF.

Improved transport network resilience to support (and potentially growth of) major events such as RHS

Reduction in the need to travel and carbon footprints (Placemaking; i.e. integration of new areas of work with new areas housing).

The IBG site will increase the number of well-paid jobs.

Local suppliers compete for high-value contracts.

Private sector investment in innovative practices, e.g. R&D and in Fair Work initiatives.

Local supply chain builds up knowledge and experience.

Long-term

Area has reputation for quality offer and private sector has confidence to invest in speculative development.

Attract international investment.

Influx of skilled workers and maintenance of local talent pool as the area builds a higher profile nationally.

Improvement in productivity (and GVA). Support anticipated Airport growth. (controversial from an environmental point of view yet positive for the economy).

Central Borders Innovation Park

Revisit and refresh over time

Monitor and report investments made and levels of activity delivered

Gather and report evidence, assess impact, consider value for money and apply lessons learned to maximise future impacts

Strategic Context

Situation

- Market failure.
- Obsolescence. Lack of supply.
- Suppressed demand
- Low wages. Low skills base.
- Low productivity.

Inputs.

Investments

- Funding streams, including City Region Deal.
Capital investment to deliver new office and industrial space.
- Complementary City Region Deal investments:
- Skills.
 - DDI.
- Other complementary investments:
- Borders Railway Blueprint.
 - Scottish Enterprise.

Outputs

Activities

- Development of office and industrial space close to railway station.
- Marketing of office and industrial units.
- Engagement with the private sector to encourage innovation/inclusive growth activities.
- Community benefits through construction (MA's, etc).
- Supply chain engagement through supplier development activities.
- Support to start-up and established businesses through Scottish Enterprise and Business Gateway.

Beneficiaries

- Employees, nearby local businesses
- Private businesses, employees, people excluded from certain labour markets.
- Young people, unemployed.
- Local businesses.
- Entrepreneurs, local businesses.

Outcomes /Impacts

Short-term

- More use of public transport.
- Take-up of office and industrial space by the private sector.
- Private sector investment in innovative practices, e.g. R&D and in Fair Work initiatives.
- Development of skillsets.
- Local supply chain builds up knowledge and experience.
- Increase in start-up businesses.

Medium-term

- Reduction in carbon footprints.
- Increase in area's R&D activity and in employees benefiting from Fair Work.
- Young people compete for well-paid jobs.
- Local suppliers compete for high-value contracts.
- Increase in business survival rates.

Long-term

- Area aspires to be carbon neutral.
- Area has reputation for quality offer and private sector has confidence to invest in speculative development.
- Improvement in productivity (and GVA). Narrowing of employment disparities by gender, etc.
- Increase in wage levels and reduction in regional disparities.
- Influx of skilled workers and maintenance of local talent pool as the area builds a higher profile nationally.

Housing – Strategic sites and Edinburgh Living

Revisit and refresh over time

Monitor and report investments made and levels of activity delivered

Gather and report evidence, assess impact, consider value for money and apply lessons learned to maximise future impacts

Strategic Context

Inputs.

Outputs

Outcomes /Impacts

Situation

Investments

Activities

Beneficiaries

Short-term

Medium-term

Long-term

Shortage of homes across all tenures, particularly affordable. Edinburgh and the south east of Scotland is forecast over the next 15 years to be the fastest growing city region of Scotland, the 5th fastest growing in the UK, in terms of population and housing.

- National Scottish Government Affordable Housing Supply Programme

SG has committed to spend over £3.3 billion to deliver at least 50,000 affordable homes, by March 2021.

National Planning Framework 3: Successful, sustainable place; A low carbon place; A natural, resilient place; A connected place

- Regional SESPlan (2016) (recently rejected by Scot. Minister): Thriving, Successful, Sustainable. The 7 City Region Deal strategic sites are identified as key areas of change capable of delivering transformational impact on housing supply.

City Region Deal – Housing Programme – aims to deliver two key strategic aims:

Change in the supply of new homes across the South East of Scotland. Change in innovation and inclusive growth in the housing & construction sectors

- Local Strategic Housing Investment Plans (SHIPs)

Each LA produces an annual SHIP to outline affordable housing programme and how it is going to spend the proportion of grant (from the £3.3bn) to deliver affordable homes.

Local Housing Strategies (LHS): Local authorities are required by law to prepare a local housing strategy supported by an assessment of housing need and demand.

Local Development Plans (LDP): The LDP allocates sites, for development including housing.

Housing Land Audits

- City Region Deal Capital investment to deliver 1,500 MMR & low-cost MR homes through Edinburgh Living. £16.1m has been committed from Scot. Gov. CEC is expected to contribute £248m on-lending to the Edinburgh Living LLPs (CEC & SFT)
- Scottish Government has committed to work jointly with partners to deliver the 7 strategic sites. Collectively these sites can deliver 40,000 homes over lifetime of the Deal.

Edinburgh Living is in delivery mode and delivering new homes for rent on various sites across Edinburgh.

Each of the strategic sites are at different stages of business case development and delivery.

Business cases will identify the exact number of private and affordable homes for delivery as well as recommend interventions needed to unlock delivery e.g. infrastructure, land and funding options.

Community benefits through construction.

People – Delivery across tenures types, including mid-market rent, market rent, and low-cost home ownership models is required to meet demographic change and provide homes that people can afford regardless of their economic situation.

Increasing the supply and accelerating the delivery of new affordable homes is a key intervention required to reduce homelessness and the current overreliance on temporary accommodation

Place – high quality sustainable communities will be delivered supporting the regions reputation as one of the best places to live in the UK.

Economy - Increasing the supply of housing is crucial to the future economic success of the city region. Increased supply of MMR and low-cost MR can provide affordable homes for key workers in the city.

Deliver business and employment space and SME construction opportunities.

There will be significant construction activity and associated jobs to deliver the 7 strategic sites and Edinburgh Living pipeline.

Edinburgh Living continues towards delivering 1,500 new MMR and MR homes.

Business case development for each of the 7 strategic sites identifying interventions required, enabling works and infrastructure requirements.

Each site articulates commitment required from Scottish Government to deliver.

Early delivery of new homes on several sites.

An increase in supply of homes compared to previous years delivery contributing towards housing need and demand.

Placemaking - integration of new areas of housing with transport and skills interventions.

More employment – housing sites will increase the number of construction jobs

Local supply chain benefits

Regional suppliers compete for high-value contracts.

Delivering new high-quality sustainable communities.

Transforming housing supply by delivering over 40,000 homes and meeting a significant amount of the 145,000 new homes required in the region over the next 20 years (2019-2039).

Edinburgh Living – delivered 1,500 new homes and embarking on second pipeline of delivery.

Accelerated delivery across sites and housing programmes through use of Modern Methods of Construction.

Accelerated private sector delivery towards pre-recession levels on strategic sites.

Providing more housing options for people across housing tenures.

Dunard Centre

Revisit and refresh over time

Monitor and report investments made and levels of activity delivered

Gather and report evidence, assess impact, consider value for money and apply lessons learned to maximise future impacts

Strategic Context		Outputs		Outcomes /Impacts		
Situation	Inputs.	Activities	Beneficiaries	Short-term	Medium-term	Long-term
<ul style="list-style-type: none"> Recognised gap in Edinburgh's cultural infrastructure No new purpose-built music and performance centre in over 100 years 25 year search to find suitable location for a mid-sized hall Increased international competition to retain Edinburgh's position as a leading International Festival Pressing need for a mid-sized hall with world- class acoustics to attract internationally renowned companies and provide a home for Edinburgh's only national performing company – the SCO. 	<ul style="list-style-type: none"> City Region Deal Dunard Fund Private donations Fundraising campaign Leasing of land from Royal Bank of Scotland 	<p>Short term:</p> <ul style="list-style-type: none"> Design development of building Planning approval Procurement of contractor Demolition & construction <p>Long term:</p> <ul style="list-style-type: none"> Extension of Edinburgh's cultural infrastructure Attract and enable new and compelling performances which will enhance Edinburgh's status on the world stage. Develop new audiences and promote participation Create educational opportunities Expand on the City's conference provision Provide facilities for recording, broadcasting and streaming of performances Provide Café/bar facilities to complement the venue and help create an all-day, year-round bustling destination. Promote opportunities for corporate sponsorship of the arts and engagement with business 	<ul style="list-style-type: none"> Economy – employment and economic activity through design and construction sectors and support functions. The broadest public, audiences and performers, from throughout the community across Edinburgh and South East Scotland. National and international performers and performing companies. Education – both young and old Festivals and conference organisers Community outreach organisations and their participants. Public transport and its users due to venue's optimum location for multi-modal transport access. School children. 	<ul style="list-style-type: none"> Increase employment in construction sector including apprenticeships Contributing to regeneration of the area, stimulating knock-on investment. A statement of world class aspiration for Edinburgh 	<ul style="list-style-type: none"> Direct employment benefits at Dunard Centre - Increased expenditure in city centre Creating year-round quality employment and careers in the cultural sector A year-round, all-day venue which creates a vibrant new presence in the city centre Enable and promote new and compelling performances which will enhance Edinburgh's status on the world stage. A principal venue for the EIF and a home for the SCO A showcase of corporate support of the arts which can be used to promote wider corporate engagement with/sponsorship of arts and community involvement. Development and promotion of partnerships between performing and community groups. 	<ul style="list-style-type: none"> Helping to protect and build on the £300 million plus that Edinburgh festivals generate for the economy against national and international competition. Delivering a 1000-seat auditorium, a 200-seat rehearsal and performance studio and recording space rivalling the best in Europe for acoustics and audience experience. Completing the recognized gap in Edinburgh's cultural infrastructure with a 1000-seat auditorium, a 200-seat rehearsal and performance studio and recording space rivalling the best in Europe for acoustics and audience experience. Bringing a cultural focus to a vibrant part of central Edinburgh that is undergoing major transformation. Developing a beautifully designed building that sympathetically opens up the area realising the original vision of the New Town for a public building in this location. Creating a principal, all-day venue for the EIF and a year-round home for the SCO Providing arts companies from across Scotland and further afield with improved performance space and bringing new international companies to Edinburgh Adding to the City's conference market. Collaborating with the Royal Bank of Scotland to support the development of music and the arts. Bringing digital technology and space together to create multi-purpose recording and educational facilities that will be transformational for young artists. Providing access to the finest musical accommodation for school and youth groups to perform, train and receive coaching from professionals. Creating opportunities with partners to involve socio-economic groups under-represented as participants and audiences and attracting performers and audiences of all ages, backgrounds and interests. Creating a vibrant all-day creative space where everyone feels welcome.

Easter Bush Road

Revisit and refresh over time

Monitor and report investments made and levels of activity delivered

Gather and report evidence, assess impact, consider value for money and apply lessons learned to maximise future impacts

Strategic Context

Inputs.

Outputs

Outcomes /Impacts

Situation

Investments

Activities

Beneficiaries

Short-term

Medium-term

Long-term

- Need for transport interventions to:
- Unlock strategic development sites.
- Provide for better accessibility across the region.
- Ensure a better balance of transport mode use across the region.
- Provide for ? of access to labour markets.
- Provide for efficient transport links between businesses and others.
- Encourage/maximise opportunities for supportive intervention on workforce mobility.
- Focus on linking those parts of the region that are most disadvantaged and which are poorly linked to the remainder of the region.

Overall – reducing barriers to inclusive (economic and housing) growth.

- Capital investment for construction.
- Process and time for construction.
- Costs of design, development and land acquisition.
- Consequential and associated works to wider transport network.
- Partners:
Transport Scotland
Regional transport authority
Public transport operators
Local council transport authorities
Transport lobby and representative groups (e.g. Spokes)
Design and build contractors

- Procurement of contractors.
- Design development of proposals.
- Consultation on draft proposals.
- Contract management to completion.
- Road schemes.
- Public transport improvements (service)
- Walking/cycling improvements.

- Transport users:
Private car.
Commercial vehicles.
Public transport.
Cyclists.
Pedestrians.
- Types of users:
Commuters.
Commercial traffic.
Journey to school/college/training.
Travel for leisure.
- New and relocated businesses to “unlocked” allocated development land.
- Expansion of centres of excellence in specific sectors (e.g. Easter Bush)
- Opening up of new and constrained housing sites to benefit those seeking entry to the housing market.

- Improved road and other transport safety.
- Shorter journey times.
- Better modal split (especially reduction of private car use).
- Increased numbers of new housing to provide for need demand of indigenous population and inward migration.
- More attractive site opportunities for inward investors.
- Providing the infrastructure and services to support greater workforce mobility.
- Inter-business improved linkages.

Steady improvement and consolidation.

Appendix C: Protected Characteristics

Introduction

The full legal definitions and related policy implications associated with all protected characteristics are set out in the Equality Act 2010.¹ In simple terms, however, under the Act it is against the law to discriminate against someone because of a protected characteristic.

In order to support positive action (i.e. not just compliance) the CRD partners have committed - following advice from the Equalities and Human Rights Commission (“EHRC”) - to monitor and evaluate four of these characteristics i.e. disability, minority and ethnic communities, age and sex. Without such data it is not possible to determine whether positive action can be supported (or what might interventions might be best to adopt) given: *“positive action is (only) lawful if there is evidence that it is needed. For example, the level of participation by people from that group is lower than could reasonably be expected”*. Below are summary definitions of the three characteristics drawn from the EHRC³

Disability

A person has a disability if she or he has a physical or mental impairment which has a substantial and long-term adverse effect on that person's ability to carry out normal day-to-day activities.

The Act puts a duty on the employer to make reasonable adjustments for staff to help them overcome disadvantage resulting from an impairment (for example, by providing assistive technologies to help visually impaired staff use computers effectively).

The Act also includes protections from discrimination arising from disability. For example it is discriminatory to treat a disabled person unfavourably because of something connected with their disability (for example, a tendency to make spelling mistakes arising from dyslexia). This type of discrimination is unlawful where the employer or other person acting for the employer knows, or could reasonably be expected to know, that the person has a disability⁴.

Additionally “indirect discrimination” covers disabled people. This means that a job applicant or employee could claim that a particular rule or requirement in place disadvantages people with the same disability. Finally the Act also includes a provision which makes it unlawful, except in certain circumstances, for employers to ask about a candidate’s health before offering them work.

¹ <http://www.legislation.gov.uk/ukpga/2010/15/section/6>

² <https://www.equalityhumanrights.com/en/advice-and-guidance/commonly-used-terms-equal-rights#objective>

³ <https://www.equalityhumanrights.com/en/equality-act/protected-characteristics>

⁴ With the proviso that this type of discrimination is only justifiable if an employer can show that it is a “proportionate means of achieving a legitimate aim”.

Minority and Ethnic Community (“MEC”) Groups

In the Equality Act race refers to a group of people defined by their race, colour, and nationality (including citizenship) ethnic or national origins.

To address whether any individuals within defined MEC groups are discriminated against - because of one or more aspects of their race - four main types of race discrimination are identified by the EHRC:

- **Direct discrimination:** this happens when someone treats you worse than another person in a similar situation because of your race;
- **Indirect discrimination :** this happens when an organisation has a particular policy or way of working that puts people of a racial group at a disadvantage;
- **Harassment:** occurs when someone makes you feel humiliated, offended or degraded; and,
- **Victimisation:** when you are treated badly because you have made a complaint of race related discrimination under the Equality Act. This can also occur if you are supporting someone who has made a complaint of race related discrimination.

Age

May be defined as a person belonging to a particular age (for example 32 year olds) or range of ages (for example 18 to 30 year olds). The Act 2010 indicates that you must not be discriminated against because: you are (or are not) a certain age or in a certain age group; someone thinks you are (or are not) a specific age or age group; and/or you are connected to someone of a specific age or age group.

There are four main types of age discrimination:

- **Direct discrimination:** when someone treats you worse than another person in a similar situation because of your age;
- **Indirect discrimination:** when an organisation has a particular policy or way of working that applies to everyone but which puts people of your age group at a disadvantage;
- **Harassment:** occurs when someone makes you feel humiliated, offended or degraded; and,
- **Victimisation:** is when you are treated badly because you have made a complaint of age discrimination under the Equality Act. It can also occur if you are supporting someone who has made a complaint of age discrimination.

Women

The Act states that no one must be discriminated against because:

- They are (or are not) a particular sex⁵;
- Someone thinks you are the opposite sex (this is known as discrimination by perception); and,
- You are connected to someone of a particular sex (this is known as discrimination by association).

The definitions of discrimination are the same as those for MEC groups. In the context of the CRD the focus on women (and on the other two groups) is (at least initially) to address equalities of opportunity across Deal projects and programmes.

Positive Action

As recognised in a recent report⁶ by the EHRC the limited use of positive action (to date) has meant that the various groups continue to be under-represented with the disparities particularly large for women in “gender-segregated” sectors.

Coordinated action is needed to support and encourage greater use of positive action effectively to address such enduring disparities. In particular the CRD Partners have agreed that they and the employers supported by all themes should monitor recruitment, retention and progression by **ethnicity, disability and gender**, and use positive action to address any disparities, as: *“employers are often unaware of or lack understanding as to why positive action is necessary in the first place. Knowing more about their workforce will help employers understand where groups may be at a disadvantage or under-represented, and **establish a strong evidence base** for taking action”*⁷.

⁵ In the Equality Act, sex can mean either male or female, or a group of people like men or boys, or women or girls.

⁶<https://www.equalityhumanrights.com/en/publication-download/exploring-positive-action-tool-address-under-representation-apprenticeships>.

⁷ Source as in previous footnote.

Appendix D: Talent, Research, Adoption and Entrepreneurship Definitions

Introduction

Outlined below are definitions for the above that have been developed by the University of Edinburgh DDI Programme office. They are, however, equally appropriate for some or all of the outputs envisaged under the Heriot-Watt University National Robotarium and - while different in content - the Queen Margret University Food & Drink Hub.

It is also important to note, in line with good monitoring and evaluation practice, that these definitions will be subject to an annual review by the Programme Office Reporting Lead to ensure they reflect the most current understanding and practice and, should a material change be required, revised definitions will be resubmitted to appropriate CRD Boards for further ratification.

Talent

DDI related definition

Practice which addresses the current skills deficits, equipping more people with the skills needed to unlock the benefits of data for existing and new businesses. From an institutional point of view this will mean courses and programmes with learning outcomes which encompass elements of data driven innovation whether in practice or application (e.g. Bayesian Data Analysis [practice]; Research Methods in Social Psychology [application]).

Within the reporting of annual talent outputs to the CRD PMO only certified outcomes will be captured namely : any type of University of Edinburgh DDI related course or programme for which a student receives SCQF / ECTS credits or, in the case of a Massive Open Online Course (“MOOC”), where a Statement of Participation has been purchased. This includes, but is not limited to, activities such as:

- Programmes;
- Courses;
- MOOCs (where a Statement of Participation has been purchased); and,
- Continuing Professional Development (“CPD”) (where credits are awarded).¹

The following definitions related to talent have (largely) been taken from the University’s Degree Regulations and Programmes of Study (“DRPS”) site² :

¹ Recognising also that these outputs will be captured under the Adoption theme.

² <http://www.drps.ed.ac.uk>

- **Course:** A course is a unit of teaching and learning formally offered within the University, which carries credit expressed in credit points and which may contribute to a University award (certificate, diploma or degree);
- **Core Course:** Courses that must be taken and passed in order to progress to the next stage of study within a specific degree programme;
- **Compulsory Course:** Courses that must be taken in order to progress to the next stage of study within a specific degree programme (progression may not be dependent on passing a compulsory course (e.g. credits on aggregate may be awarded));
- **Elective/Optional/Pathway Course:** A course which is taken by a student in addition to those required for their programme of study. This is a course that may be taken by students whose programme is unconnected to the learning outcomes of the course (e.g. a student graduating with an MA in French may take the course “Informatics 1 – Data and Analysis”);
- **CPD:** Courses; short courses; evening talks; conferences and seminars in specialist topics for industrial, commercial and public sector professionals, which by design or complementarily, are taken to augment an individual’s professional understanding;
- **Degree type:** Degree programmes are based on a number of standard models. The 'Degree Type' defines in brief the model followed by individual degree programmes (e.g. 'Single Honours'. Degree Types are outlined in the General Undergraduate Degree Regulations);
- **Programme of study:** The sum of all the elements leading to a defined graduating curriculum. The undergraduate Certificate and Diploma of Higher Education are not defined graduating curricula and therefore are not programmes of study;
- **Named certificate and diploma:** Named certificates and diplomas are those with a specific title other than the Undergraduate Certificate of Higher Education or Undergraduate Diploma of Higher Education. Examples include the Postgraduate Certificate in Counselling Studies, the Diploma in Pain Management and the Diploma in High Performance Computing.

Students must normally pass an amount of credits per programme of study to be awarded. The following are generally accepted as the standard amount of credits required: **undergraduate:** non-honours degree – 360 credits; honours degree – 480 credits; **postgraduate:** degree - 180 credits; diploma – 120 credits; and, certificate – 60 credits.

Finally various types of talent will be included in the CRD delivery figures for DDI certified students (inclusive of CPDs within each) where the relevant hub, in conjunction with its academics, has established there is relevant and meaningful content.

Research

DDI related definition

Protecting, enhancing and expanding existing data science research to attract quality talent to the Region, and continue to drive innovation and better connect talent & industry to leading research.

From an institutional point of view this will mean research which encompasses elements of data driven innovation, whether in practice or application, and where the related academic unit has confirmed there is significant and meaningful DDI content:

- **Research, income:** Income awarded to the University for the purpose of research and financially managed in the University's research ledger, including income derived from Industry & Commerce partners not counted in Adoption figures (see Income under adoption). Where the University is identified as the research lead, 100% of the application amount shall be accounted for, where secondary, only the percentage as stated on the application will be accounted for; and,
- **Research, Funder:** Recognised providers of research funding. These bodies are categorised by the DDI PMO for reporting as: UK Research Councils; UK Government Departments; Industry & Commerce; Overseas (EU); Overseas (outwith EU); UK Charities; and, HEI partners.

Adoption

DDI related definition

Harnessing data as a core asset, catalysing the market for new, better and/or less expensive products and services and enabling the wider use of data to drive insights, benefits and inclusive growth. From an institutional point of view this will mean engagements with public, private and/or third sector partners which encompasses elements of data driven innovation whether in practice or application.

Interaction: where contact with an individual/organisation/ industry partner (known as a lead) is recorded whether it initiates a project or not; individuals undertaking learning (any type) who have been identified as from a business; and, industry funded MSc/PhD studentships:

- **Project:** a formal agreement to work with a lead to deliver a tangible output; and,
- **Income:** financial engagement (cash or in-kind) with a lead, normally as a result of a project. Information of this type must be accounted for in the University's finance system. Where the University is identified as the project lead, 100% of the amount shall be accounted for, where not lead, only the percentage indicated in the agreement will be accounted for.

Entrepreneurship

DDI related definition

Creating the institutions, networks and supporting environment to improve all modes of cross-sector partnership and collaboration (between private, public and third sectors and universities) to enable new and better DDI-based business models. From an institutional point of view this refers to uplifts in new companies and likely levels of investment attracted to University supported DDI related fast growth companies as well as the benefits of postgraduate students attracted to DDI related micro companies (MCs) and small to midsize enterprises (SME).

- **Company:** An idea/venture/project will be defined as a company when it reaches the stage at which it becomes registered with Companies House and is subsequently expected to file an annual return; and,

- **Company acceleration:** An existing (post formation) company supported in activities designed to move them beyond their current funding stage/position.

The above company types can include start-ups, spin-ins, spin-outs etc. The funding level of a company refers to the level at which they have secured an amount as outlined below:

- **Seed Funding [typically £100k+]** - typically, the first round of funding raised by an Entrepreneur. Funding is normally used to further test product-market fit, hire key personnel and to develop the product/service;
- **Series A Funding [typically £250k+]** - having utilised the seed funding to prove the concept, the Entrepreneur uses this funding to develop the product/service into a proposition that can be scaled up;
- **Series B Funding [typically £1M+]** - typically used to build the company into a Regional/global enterprise through team expansions and establishing Regional/global offices;
- **Series C Funding [typically £10M+]** - funding used to further market share through strategic acquisitions and other means, generally, the level of “unicorn” investments (i.e. Skyscanner, Fan Duel, Uber and the like). This could also be the acquisition costs if a company is bought over; and,
- **Postgraduate engagement in micro companies (MCs) & small to mid-size enterprises (SMEs):** Via details on ‘destinations’ as reported by individual postgraduates, as collected for the University’s HESA return.