

# Edinburgh and South East Scotland City Region Deal Joint Committee

10am, Friday 4 March 2022

## Implementation of Benefits Realisation to ESES City Region Deal

Item number 5.2

### Executive Summary

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In March 2021 the Smart Data Foundry (formally known as Global Open Finance Centre of Excellence (GOFCoE)) successfully applied for Scottish Government regional recovery and renewal funding to undertake a: *“feasibility study for a public/private sector data platform to assess the outcomes and impacts of the Edinburgh and South East of Scotland (ESES) City Region Deal.”*

Completed in early August 2021, one of the key recommendations of this study was the need to examine further, for the purposes of the Scottish and UK Governments Quinquennial review of the City Region Deal in 2023, what now needs to be in place and when to best report outputs and any impacts by 2023 and thereafter (particularly given that projects across the “five” City Region Deal Themes are at different stages of implementation).

The follow-on work undertaken by the Smart Data Foundry, as reflected in the appended report, addresses three questions:

1. Across each City Region Deal theme, and related projects, what outputs and impacts might be captured by 2023?
2. What is currently in place to monitor and manage outputs and impacts and what additional processes, resources and partnerships with others could be put in place now, and going forward, to enhance the monitoring of impacts?
3. Given the above what actions should the City Region Deal PMO now take in relation to monitoring and evaluation (M&E) with timescales, and responsibilities, going forward to 2023?

In relation to the first question, based on follow up consultations with CRD projects, it is apparent that by 2023:

- Only two of the City Region Deal themes (Research, Development and Innovation and Employability and Skills) will be in a position to report information concerning their outputs; and

- Only one theme (Employability and Skills) will have evidence in relation to the (intermediate) impacts of their activities.

This position is likely to change significantly by 2028, when all themes will be in a position to report outputs and evidence of impacts (except - in the latter case - Housing).

In the context of the second question (i.e. what steps might need to be taken now to enhance the monitoring and evaluation of the City Region Deal going forward), three initial steps were recommended and are in the process of being actioned by the City Region Deal Programme Management Office (PMO) namely:

- Appointing a Senior Responsible Officer to oversee benefits realisation;
- Securing a Benefits Realisation Officer within the PMO to co-ordinate CRD project and programme output and impact reporting; and,
- Developing and implementing an outputs, outcomes and impacts reporting framework across all City Region Deal projects (to complement and enhance the current output reporting already undertaken by the PMO).

Given the above, it is also recommended in terms of Question 3 (i.e. what further actions should now be taken) that:

- All the CRD projects review, and amend where appropriate, the proposed reporting framework and confirm the measurement approaches that they will adopt to capture agreed outcomes and impacts (March to June 2022);
- Based on the above, and with co-ordination and support from the Benefits Realisation Officer, all projects should review and (re)confirm the timetable against which defined outcomes and impacts will be reported pre and post 2023 (May to July 2022); and,
- Confirm with Governments their acceptance of the above and consequently agree the extent and nature of the outputs required for the Quinquennial Review (July to August 2023 and to inform the Annual Conversation).

Finally, on-going steps proposed include:

- Further engagement with the Scottish Government Data Intelligence Network team to develop specific “user cases” and requests to Governments in relation, in the first instance, to accessing Longitudinal Education Outcomes (LEO) and Department for Work and Pensions (DWP) data for the future, by the Deal’s Data-Driven Innovation and Integrated Regional Employability and Skills programmes;
- Encouraging the adoption by all projects of the City Partnership Community Benefits portal and consequent capturing and reporting of these benefits;
- Ensuring that all projects are involved in on-going engagement with Scottish Government in relation to the guidance on whole-life carbon costs and incorporation into business cases, procurement and ongoing operational commitments; and
- Nomination and case study development where projects can demonstrate high Strategic Added Value (as per the original Benefits Realisation Plan).

## **John Scott**

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## ESES CRD Benefits Realisation Implementation

### 1. Recommendations

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- 1.1 To approve the appended report's recommendations and their implementation by the City Region Deal PMO notably:
  - 1.1.1 To appoint as Senior Responsible Officer for the Benefits Realisation Programme by the City Region Deal Directors' Group;
  - 1.1.2 To appoint a Benefits Realisation Officer to measure and report benefits to the standard described in the Benefits Realisation Plan; and
  - 1.1.3 To develop a consistent and comparable outputs, outcomes and impacts reporting framework; prior to circulating for wider review by CRD project leads and ultimately both Governments.

### 2. Background

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- 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).
- 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.
- 2.3 The [City Region Deal Document](#) specifies the importance of measuring and reporting on the benefits of the Deal projects, including their contribution towards inclusive growth for the region. It also states that an independent evaluation will take place every five years to capture the progress that has taken place.
- 2.4 Since the Deal signing, the PMO has reported on progress of projects, through progress, financial and annual reports with most reporting currently focused on outputs (e.g. milestones in business case development, planning contents, construction etc.).
- 2.5 A [Benefits Realisation Plan](#) (BRP) was agreed by the Joint Committee in September 2020, and was developed with significant input from project leads. This included: agreed principles; overall inclusive growth objectives; and suggested measures for outputs, outcomes and impacts for each project.

- 2.6 In March 2021 the Smart Data Foundry (formerly known as Global Open Finance Centre of Excellence (GOFCoE) successfully applied for Scottish Government regional recovery and renewal funding to undertake a: “feasibility study for a public/private sector data platform to assess the outcomes and impacts of the Edinburgh and South East of Scotland (ESES) City Region Deal.”
- 2.7 Completed in early August 2021, the report sets out how this objective will be delivered for the purposes of the five-year review in 2023.

### 3. Main report

- 3.1 The appended report covers three topics, namely:
- **Timescales (Section 2):** summarising the outputs and limited impacts that might be captured by 2023 (given that at this point the majority of City Region Deal projects will only be at the first stages of implementation);
  - **Current Position (Section 3):** indicating what additionally has been put in place since June 2021 to capture outputs and impacts (in relation, for example, to Community Benefits, carbon costs and access to Central Government data); and
  - **Recommendations and Next Steps (Section 4):** outlining what is now required to be implemented to ensure future outputs and impacts are captured in an efficient and consistent manner by 2023 and thereafter.
- 3.2 Based on the above work various steps have already been undertaken by PMO namely:
- **Additional PMO Benefits Realisation resources:** In January, the City Region Deal Executive Board approved that a dedicated Benefits Realisation Officer be recruited within the PMO and this is being progressed.
  - **Nomination of a Senior Responsible Officer to oversee the Benefits Realisation Programme:** In February, The City Region Deal Directors’ Group nominated John Scott to take this position and to oversee the ongoing implementation of all benefits Realisation Practices; and,
  - **Adoption of a consistent and comparable outcomes and impacts reporting framework;** which is now being finalised by the PMO prior to circulating for wider review by CRD project leads and ultimately both Governments.
- 3.3 Given the above the report concludes with a recommended action plan as detailed below.

Steps	Timescale	Lead Responsibility
<b>Specific Actions</b>		
1. Enhance Definitions & Guidance	Now to March 2022	PMO
2. Projects review of above	April to June 2022	Project Leads
3. Government review	July 2022	Governments
4. Agreed Quinquennial Outputs	August 2022	Governments

Implement M&E to support delivery of 4 above	August 2022 to August 2023	M&E SRO/Benefits Realisation Officer
<b>Ongoing Actions</b>		
5. Develop Data Intelligence Network user cases	Ongoing	DDI & IRES programmes
6. Use of City Partnership Portal	Ongoing	PMO
7. Whole Life Carbon Costs adoption	Ongoing	PMO
8. Strategic Added Value Case Studies	Ongoing	Benefits Realisation Officer

#### 4. Financial impact

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- 4.1 The recruitment of a Benefits Realisation Officer has been provided for within the PMO costs.

#### 5. Alignment with Sustainable, Inclusive Growth Ambitions

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- 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 current report builds on the actions set out in the original Joint Committee approved the City Region Deal [Benefits Realisation Plan](#) on 4 September 2020) of applying consistent monitoring and evaluation of equalities, community benefits and social innovation across themes. In particular additional steps are recommended in relation to accessing Scottish and UK Government data sources, further use of the Capital City Partnership Communities Benefits portal and collation of Strategic Added Value case studies.
- 5.3 In August 2021, Scottish and UK Government have provided joint guidance for project owners on managing potential carbon emissions associated with Scottish City Region and Regional Growth Deal projects. It accords with HM Treasury Green Book requirements and supports the quantification and minimisation of whole life carbon and the identification of potential barriers to achieving net zero. A workshop with City Region Deal project leads took place in September 2021 to explain the guidance and agree actions required. Project leads have since categorised their projects in terms of carbon control and carbon influence. This will form an important part of regular reporting through the Benefits Realisation Plan.

#### 6. Background reading/external references

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- 6.1 ESES Community Benefit Portal: <https://www.esescommunities.org/>
- 6.2 Data Intelligence Network: <https://www.gov.scot/groups/data-and-intelligence-network/>

## 7. Appendices

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### 7.1 Implementation of Benefits Realisation to ESES City Region Deal – full report



**GLOBAL OPEN FINANCE**  
CENTRE OF EXCELLENCE

**Edinburgh and South East of Scotland (ESES) City  
Regional Deal (CRD) Benefits Realisation  
Implementation**

**Final Report**  
**February 2022**

## Contents

<b>Section One: Introduction.....</b>	<b>3</b>
Background .....	3
Context 3 .....	
Approach .....	4
Rest of the Report .....	5
<b>Section Two: Timescales .....</b>	<b>6</b>
Reporting timescales.....	6
<b>Section Three: Current Position .....</b>	<b>7</b>
Introduction .....	7
Progress to date .....	7
Community Benefits Update .....	9
Carbon Management .....	9
Other CRDs .....	10
Governments Progress.....	10
<b>Section Four: Recommended Next Steps.....</b>	<b>12</b>
Introduction .....	12
Steps already taken.....	12
Next Steps .....	12
Timetable .....	13
<b>Appendices .....</b>	<b>14</b>
<b>Appendix A Borderland Definitions and M&amp;E Guidance .....</b>	<b>14</b>
<b>Appendix B Reporting Frameworks.....</b>	<b>28</b>
<b>Appendix C Potential Roles &amp; Responsibilities of a CRD Benefits Realisation “Officer” .....</b>	<b>30</b>

## Section One: Introduction

### Background

In March 2021 the Global Open Finance Centre of Excellence (GOFCoE) successfully applied for Scottish Government regional recovery and renewal funding to undertake a: *“feasibility study for a public/private sector data platform to assess the outcomes and impacts of the Edinburgh and South East of Scotland (ESES) City Region Deal.”*

Completed in early August 2021 this study identified two issues that warranted further review, namely:

- For the purposes of the Scottish and UK Governments Quinquennial review<sup>1</sup> of the ESES Deal in 2023 what now needs to be in place, and when, to best report outputs and any impacts by 2023 and thereafter (particularly given that projects across the “five” ESES CRD Themes are at different stages of implementation); and,
- Given the wider adoption of new or emerging benefits realisation practices identified by the previous study<sup>2</sup> what (on-going) lessons may be learnt from other CRDs/Growth Deals, and the Scottish and UK Governments, to support the ESES CRD preparation for the Quinquennial review.

In addressing these two issues this first draft report for discussion sets out:

- Across each ESES CRD theme, and related projects the likely outputs and what impacts **in principle** might be captured by 2023;
- What **in practice** is currently in place to monitor and manage outputs and impacts , prompted by this review and our previous study, what additional processes, resources and partnerships with others could be put in place now, and going forward, to enhance the monitoring of impacts; and,
- An ESES CRD PMO action plan in relation to monitoring and evaluation (M&E) with timescales, and responsibilities going forward to 2023.

### Context

Our previous report identified three recommendations, namely that consideration should be given to:

- Adopting a results framework within the current PMO reporting processes in order to ensure that M&E results will be used to help manage the overall progress and direction of the CRD programme;

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<sup>1</sup> *“at which both Governments reserve the right to halt funding in the event that outcomes and targets are not being met”*  
<https://democracy.edinburgh.gov.uk/documents/s25995/5.3%20Benefits%20Realisation%20Plan%20with%20appendices.pdf>

<sup>2</sup> Based on engagement (in our first study) with the Glasgow City Deal, Skills Development Scotland, the Ayrshire Growth Deal (that leads a Scottish CRD wide M&E sub group), GOFCoE, the Scottish Government (Office of the Chief Economic Adviser, Education Analytical Services and the Communities Analysis Division and the cross (Enterprise) Agency Business Support Partnership (BSP) Data and Analytics Workstream team) and UK Government Office (the Secretary of State for Scotland Office and the Ministry of Housing, Communities and Local Government).

- Appointing a Senior Responsible Owner (SRO)<sup>3</sup> to actively manage and oversee M&E practises (with amongst other roles ensuring the benefits of M&E to all theme teams are promoted to ensure a culture of effective M&E practise is adopted throughout all operations); and,
- A CRD M&E budget - as without such transparency it is unclear what levels of resources are available to undertake future M&E approaches (or in simple terms what budget the SRO is responsible for).

As reflected at the recent “annual conversation”<sup>4</sup> (in November 2021) all these recommendations are now being taken forward in terms of:

- Confirming n SRO to oversee benefits realisation;
- Securing PMO resource to co-ordinate CRD project and programme output and impact reporting; and,
- Setting out an implementation plan as per this report (for approval by the ESES CRD Joint Committee early in March 2022) for all CRD themes to meet the requirements of the Quinquennial review and thereafter over the rest of the Deal period.

## Approach

In supporting the implementation of the above, the ultimate objective of our work has been to identify what will need to be in place, and when, for all themes and projects to be able to report their outputs and future impacts and the supporting actions, timetable, resources and responsibilities for pre and post 5-year reporting of ESES CRD benefits.

In meeting the above, our approach has comprised of:

- Follow up consultations with CRD themes (whom we last engaged in June 2021) regarding any updates to their monitoring and evaluation plans, their views on the PMO role<sup>5</sup> in delivering these plans and when they expect to be in a position to report outputs (and eventually) impacts to the PMO pre and post 2023;

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<sup>3</sup> “The senior responsible owner (SRO) is accountable for ensuring a programme or project meets its objectives, delivers the projected outcomes and realises the required benefits,”

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/818147/The\\_Role\\_of\\_the\\_SROc\\_online\\_version\\_V1.0.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/818147/The_Role_of_the_SROc_online_version_V1.0.pdf)

<sup>4</sup> “Annual reports are followed up in a conversation between the Scottish city region and growth deals delivery board (SCRGDD) and the senior representatives of the deal, where progress and concerns are discussed.”

[https://www.audit-scotland.gov.uk/uploads/docs/report/2020/nr\\_200116\\_city\\_deals.pdf](https://www.audit-scotland.gov.uk/uploads/docs/report/2020/nr_200116_city_deals.pdf)

<sup>5</sup> At the outset of this work we had initially proposed to review three options (outlined below) in relation to the responsibilities and roles to implementing the ESES CRD BRP. However as we progressed our engagement consensus from all stakeholders suggested that the only practical approach would be for the PMO to take responsibility for benefits realisation and lead the approach to meeting the requirements of the Quinquennial review.

The short listed options initially identified were: “**internal**” (i.e. combining and consolidating ESES CRD M&E approaches and resources); “**cross CRDs**” (i.e. sharing M&E approaches (and potentially resources) among all Scottish CRDs to allow greater consistency and comparability); and, “**Scottish Government**” (as emerging national data programmes may offer longer term opportunities to both access data for the purposes of testing net impacts and co-developing M&E practices).

- External consultations- with representatives from: the Data & Intelligence Network;<sup>6</sup> through our team’s other engagements with the Tay Cities Regional Deal and the Ayrshire Growth Deal PMOs; and, consultations with the Department for Levelling Up, Communities and Housing (DLUCH) City Region team - to assess the additional resources and processes that might now be needed for effective ESES CRD M&E implementation; and,
- Engagement with the ESES CRD PMO to define the actions, timetabling and responsibilities for pre and post -year reporting of outputs and impacts.

## Rest of the Report

Based on the steps above the rest of this report sets out:

- **Timescales (*Section Two*):** summarising the outputs and limited impacts that might be captured by 2023 (given that at this point the majority of ESES CRD projects will only be at the first stages of implementation);
- **Current Position (*Section Three*):** indicating what additionally has been put in place since our last review to capture outputs and impacts (in relation, for example, to Community Benefits, carbon costs and access to Central Government data); and,
- **Recommendations and Next Steps (*Section Four*):** outlining what we suggest is now required to be implemented to ensure future outputs and impacts are captured in an efficient and consistent manner by 2023 and thereafter.

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<sup>6</sup> “The Data & Intelligence Network (D&IN) was established in May 2020 to provide evidence-based, objective analysis to inform local and national decision-making in response to COVID-19 outbreaks. The D&IN is a community of data experts from the Scottish Public Sector whose membership spans Scottish Government, health boards, Public Health Scotland, health and social care partnerships, local authorities, academia and other public bodies who develop real time data and intelligence solutions to inform strategic government policy”. <https://www.gov.scot/groups/data-and-intelligence-network/>

## Section Two: Timescales

### Reporting timescales

Our previous report highlighted the expected output and impact measures that each theme plans to capture across the whole 15-year ESES CRD timescale. The Quinquennial review represents the opportunity to gauge after the first five years of the Deal how much progress has been achieved in delivering these outputs and impacts.

Based on our follow up consultations with CRD projects we suggest, as illustrated in Figure One below, that by 2023 across the five ESES CRD themes:

- Only two themes – Research, Development and Innovation and Employability and Skills - will be in a position to report information concerning their outputs; and,
- Only one theme – Employability and Skills – will have evidence in relation to the (intermediate) impacts of their activities.

In contrast, as also highlighted in Figure One, this position is likely to change significantly by 2028 when all themes will be in a position to report outputs and evidence of impacts will be available for all themes except housing.

Figure One: Output and Impact Reporting 2023 and 2028



Quinquennial Review 2023 – Benefit Reporting	By 2023		By 2028	
	Outputs	Impacts	Outputs	Impacts
<b>Research, Development and Innovation</b>				
Borders Innovation Park	Yes	No	Yes	Yes
Data Driven Innovation (DDI) – University of Edinburgh	Yes	No	Yes	Yes
Data Driven Innovation (DDI) – Heriot Watt University	No	Yes	Yes	Yes
Fife Industrial Park	Yes	No	Yes	Yes
Queen Margaret University Food & Drink Hub	Some pre-opening Talent and Research	No, facilities will not open until 2025	Yes	Yes
<b>Employability &amp; Skills</b>	Yes	Yes	Yes	Yes
<b>Transport</b>	No. Earliest construction is expected 2023.	No	Yes	Yes, some related to carbon, community benefits, and well-being.
<b>Culture</b>	No. Centre not expected to open until 2026	No	Yes	Yes
<b>Housing - Granton Waterfront Regeneration</b>	No. Phase One only due to commence in 2024	No	Yes	No

## Section Three: Current Position

### Introduction

While expectations concerning the realisation of outputs and impacts by 2023 are relatively limited, it is important to recognise what progress has been undertaken by projects since June 2021 to:

- Put in place processes to capture outputs and impacts going forward;
- Realise community benefits from CRD and wider regional procurements;
- Respond to new Government guidance in relation to whole life carbon costs; and, as part of this work,
- Take forward engagement with other CRDs and wider Government initiatives.

### Progress to date

Table One below provides a high-level overview of the current positions across the CRD themes in relation to benefits measurement and impact reporting and expectations (in this context) for the Quinquennial review.

*Table One: Current Project Progress in relation to Benefits Realisation*

Projects	Current Position	Quinquennial Review (2023)
Borders	<ul style="list-style-type: none"> <li>• Potentially partnering with South of Scotland Enterprise to set up and utilise an economic insights team.</li> <li>• Focusing on inclusive growth opportunities and community benefits (via Capital City Partnership – see in next section) when engaging and attracting businesses to the Borders Innovation Park.</li> <li>• Initial outputs anticipated as a result of first tenant - expecting 71 jobs safeguarded and creation of 56 new jobs.</li> <li>• Will report progress on the above (and any other tenancies) by first quarter of 2022.</li> </ul>	Impacts are not expected by this time.
DDI UoE	<ul style="list-style-type: none"> <li>• Current review of hub reporting processes being undertaken to capture outputs and approaches to tracking future impacts.</li> <li>• Would welcome access to LEO<sup>7</sup> data base for analysis of potential longer terms impacts of DDI Talent activities.</li> <li>• Considering a coordinated approach to measuring social impacts with IRES and recommending consideration of a consistent set and use of measures across the Deal.</li> </ul>	<p>Prepared to report on output measures by this time.</p> <p>Anticipate impacts will be able from 2024.</p> <p>Noted that reportable outcomes emerging from Bayes Centre Accelerator and EIDF.</p>

<sup>7</sup> <https://www.gov.scot/publications/longitudinal-educational-outcomes-leo-universities-2016-17-scotland/>

DDI HW	<ul style="list-style-type: none"> <li>The Robotarium has a working group focused on Community Benefits and engagement with the Capital City Partnership.</li> <li>HW captures student data up to 15 months out from graduation but would like to access LEO data to understand impact on students, whether the programme led to new ventures, careers in robotics/AI, etc.</li> </ul>	<p>Will have output measures in place for the Quinquennial review.</p> <p>Will not have impacts to report until 2028 review.</p>
Fife	<ul style="list-style-type: none"> <li>Starting to report on outputs.</li> <li>Will use annual tenant surveys to capture outputs and impacts across innovation and community wealth building themes.</li> </ul>	Not expecting to report impacts by 2023.
Granton Waterfront Regeneration	<ul style="list-style-type: none"> <li>Business Case recently approved with commencement of Phase One in 2024.</li> <li>Currently considering how to capture outputs and impacts described in the Business Case and how to best integrate Community Benefits considerations/reduced whole life carbon costing within procurement processes.</li> </ul>	No outputs or impacts likely to be available by 2023.
IRES	<ul style="list-style-type: none"> <li>Comprehensive output and outcome monitoring process designed and introduced across key project teams.</li> <li>A process of target setting has also been established for each output metric.</li> <li>In process of resolving challenges related to attribution of impacts.</li> <li>Would welcome access to DWP data as one mechanism to “test” attribution.</li> </ul>	Impact measures anticipated to be in place by mid-2022.
QMU	<ul style="list-style-type: none"> <li>No outputs captured at this stage but monitoring and evaluation is included in QMU implementation plan.</li> <li>Looking at how to measure Community Benefits KPIs, with support from Capital City Partnership.</li> <li>Reporting will be based on TRADE metrics adopted by the Universities of Edinburgh and Heriot-Watt.</li> </ul>	Plan to open by April 2025 so no impacts expected by 2023.
Transport	<ul style="list-style-type: none"> <li>Consideration in objectives and delivery to reduced environmental impacts/improved transport benefits and how best to monitor and measure.</li> </ul>	Earliest construction likely to commence in 2023 hence no outputs or impacts available.
Culture	<ul style="list-style-type: none"> <li>Dunard Centre Business Case yet to be approved but approaches are being considered will be given to tracking audience profiles and wider benefits.<sup>8</sup></li> </ul>	Opening planned for 2026.

<sup>8</sup> e.g. as stated in the current Dunard Centre Business Case: “the Dunard Centre management will work with ESESCRD Partners (including the Capital Centre Partnership) to maximise Community Benefits during the Centre’s construction. In the latter (operational phase) the Centre will deliver a wide range of educational and community programmes – again with a range of City Deal and other partners - to involve those socio-economic groups currently under-represented as participants and (in) audiences”.

## Community Benefits Update

The Capital City Partnership is leading the development and release of a web-based portal to support the delivery of community benefit activities across all public sector and other relevant bodies in the ESES City Region.

The portal was officially launched in November 2021 with the stated objective of using community benefit clauses in procurement contracts to enhance connections between: *“community groups and good causes with suppliers and businesses in the ESES City Region Deal area<sup>9</sup>”*. Support will be provided to bodies considering such clauses, including the “traditional” routes of apprenticeships, schools outreach and local supply chains, as well as the opportunities to: *“extend support to groups focusing on recreation, wellbeing, the environment and social enterprises.<sup>10</sup>”*

Monitoring and evaluation of uses and outcomes will be applied going forward (including self-evaluation forms from anyone making requests to demonstrate impact). It is our understanding (as referenced in Table One) that various ESES CRD projects are in active engagement with the City Capital Partnership team involved. This team also confirmed that - subject to uptake, agreement with projects and clarity of data splits from the ESES CRD PMO - consideration can be given to assessing CRD related benefits for the purposes of the Quinquennial review as well as highlighting specific “case studies”.

## Carbon Management

To meet Scotland’s net zero whole life carbon emissions trajectory by 2045, the Scottish Government has recently (in August 2021) provided guidance to the Scottish City Region and Regional Growth Deals, on how to manage the potential carbon emissions associated with all (circa 220) projects across these Deals.

It is our understanding, from engagement with Scottish Government, that:

- Consideration is given to assessing the emissions of all City Region and Growth Deal projects that have been implemented to date (with ESES CRD PMO successfully piloting this approach in late 2021);
- All Deal projects now seeking approval will require to assess their whole life carbon costs within the economic case section of their Business Case to assess the effect upon the value for money of a preferred project approach and, as importantly, to allow consideration of whether alternative design approaches offer better outcomes;
- Scottish-wide CRD and Growth Deals training (on the above) will be implemented from February 2022 to support individual projects finalising their Business Cases;
- For those projects that are approved, advice, guidance and support will be provided on how to include whole life carbon and circular economy considerations<sup>11</sup> as a weighted criteria within procurement (with the aim of reducing these costs further); and,

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<sup>9</sup> <https://esescityregiondeal.org.uk/new-blog/2021/11/10/wwwesescommunitiesorg>

<sup>10</sup> As above

<sup>11</sup> See for example: <https://gov.wales/sites/default/files/publications/2021-03/beyond-recycling-strategy-document.pdf> and [BAMB - Buildings As Material Banks \(BAMB2020\) - BAMB](#)

- Subsequent monitoring and evaluation (within the implementation of any given CRD BRP) is likely to focus on:
  - Realisation of (reduced) emission targets agreed at procurement;
  - Future commitments to replace energy or other emission sources in line with legislative requirements/ introduction of new technologies; and,
  - Project activities that have - through wider application/adoption - reduced emissions (e.g. from the application of Agri-Tech in the UK and wider food production sector).

## Other CRDs

As part of our, we have engaged with three other Deals that have also developed, or are in the process of developing, their own BRPs – the Borderland Inclusive Growth Deal (that completed their Plan in November 2021) and the Ayrshire Growth Deal and Tay Cities Region Deal (who are seeking to secure approval for their Plans in February and March 2022 respectively).

While drawing on the initial “pathfinder” ESES CRD BRP, all these Deals have adopted some additional elements within their Plans that could be of benefit to the preparation for the Quinquennial review namely:

- Adoption of a common set of definitions across projects in relation to expected outputs, outcomes and impacts as identified in approved Business Case logic models or Theories of Change (as for example Borderland at Appendix A);
- Suggested approaches to calculating or in other ways evidencing outcomes and impacts (as also reflected in Appendix A); and,
- Proposed reporting frameworks that capture annually the progression from agreed and defined project outputs to the subsequent monitoring and evaluation of outcomes and impacts (as exemplated at Appendix B)

## Governments Progress

In addition to our engagements with other deals, we have also met with both Governments.

### *Scottish Government: Data & Intelligence Network*

The Data and Intelligence Network (D&IN) serves the public and private sectors across Scotland, building collaborative partnerships and engagements related to data management and sharing to improve economic, social and environmental wellbeing across the country.

Through discussions with the D&IN team in January 2022 there are opportunities – through developing specific “user case” requirements – for the D&IN team to consider supporting the ESES CRD (and other Scottish CRDs) to provide access to and analytical support for the purposes of benefits analysis. In the short term the three areas that could be explored are:

- **Access to the LEO database;** recognising that any future ESES CRD requirements are unlikely to be “formally” requested until after the Quinquennial review and will benefit from a consolidated request from across all relevant institutions in the ESES and potentially other Deals;

- **Access to DWP data;** to test whether IRES, and similar programmes across other Deals, can evidence any differential net benefits compared to other interventions elsewhere or relative to the outcomes for similar or peer groups to IRES beneficiaries prior to reporting impacts for the Quinquennial review; and,
- **Well-Being;** as a nascent area of interest to the ESES CRD and partner organisations, such as the NHS, the Deal would benefit from advice and guidance from members of the D&IN that are also considering how best to define and capture improvements in well-being. Importantly, the D&IN would explore how this might be used to promote and ensure adoption of “positive well-being actions” across ESES and other Deals.

#### *Department for Levelling Up, Housing and Communities*

The Department for Levelling Up, Housing and Communities (DLUHC) is a ministerial department set up to “*support communities across the UK to thrive, making them great places to live and work.*”<sup>12</sup>

Our initial discussions<sup>13</sup>, in January 2022, suggest that there is the potential for on-going engagement with the DLUHC City Deal team in shaping the implementation of ESES CRD benefits realisation plan in particular:

- Confirming “standard” CRD indicators and measures across outputs, outcomes and impacts;
- Reviewing and providing advice on “proportionate” outcome and impact measurement approaches (including the adoption of “ready reckoners”); and,
- Supporting and building connections – through DLUHC team - with other elements of the UK Government for the purposes of accessing data and relevant M&E guidance.

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<sup>12</sup> <https://www.gov.uk/government/organisations/department-for-levelling-up-housing-and-communities/about>

<sup>13</sup> While the Levelling Up “agenda” is still in early stages of development, with a White Paper anticipated in February 2022, our discussions with this Departments City Deal team suggest that consideration is being given by the Department more widely to standardising relevant “Levelling Up” KPIs and how best to measure outputs and outcomes going forward.

## Section Four: Recommended Next Steps

### Introduction

In this final section we set out our views on the steps that the ESES CRD PMO may wish to consider prior to the Quinquennial review as well as the responsibilities and actions we suggest should now be considered to implementing these steps.

### Steps already taken

In our previous report we recommended that additional staff and resources should be allocated to M&E; an SRO should be nominated to oversee the ongoing implementation of all M&E practises; and, the adoption of a consistent and comparable outcomes and impacts framework<sup>1</sup>.

As indicated in our introduction to this report the ESES CRD PMO has successfully secured approval, in January 2022, for a dedicated Benefits Realisation Officer (with the potential roles detailed at Appendix C). In addition, initial discussions with the ESES CRD Deal Directors suggest that an SRO could (and in our view should) be nominated within this group prior to this officer being in place.

### Next Steps

Assuming both the above roles are in place in the next few months we recommend focus should be given to a range of specific actions prior to agreeing with Governments the scope and outputs of the Quinquennial Review as well as a series of on-going activities to support benefits realisation more widely.

The specific actions we recommend are:

- Develop a ESES CRD definitions and guidance document (drawing on the templates already in place from the Ayr, Borderland and Tay Cities Deals as well as the initial work completed in December 2020 by the PMO<sup>2</sup>);
- Consult with all CRD projects to review and amend where appropriate, this document and to confirm the measurement approaches that will be adopted to capture agreed outcomes and impacts;
- Based on the above, and with co-ordination and support from the Benefits Realisation Officer, all projects should review and (re)confirm the timetable against which outcomes and impacts will be reported (pre and post 2023); and,
- Confirm with Governments their acceptance of the above and consequently agree the extent and nature of the outputs required for the Quinquennial Review.

On-going steps we propose, apart from the actions already identified at Appendix C, include:

- Further engagement should be undertaken with the D&IN team to develop specific “user cases” and requests to Governments in relation, in the first instance, to accessing LEO and DWP data for the future M&E of ESES CRD by the DDI and IRES programmes;

- Encourage the adoption by all projects of the Capital City Partnership Community Benefits portal and consequent capturing and reporting of these benefits;
- Ensure that all projects are involved in on-going engagement with Scottish Government in relation to the guidance on Whole Life Carbon Costs and incorporation into business cases, procurement and ongoing operational commitments; and,
- Nomination and case study development where projects can demonstrate high Strategic Added Value (as per the original ESES CRD Benefits Realisation Plan).

## Timetable

Finally we have outlined in Figure Two below, the suggested timescales and lead responsibilities for the above steps.

Step	Timescale	Lead Responsibility
<b>Specific Actions</b>		
Enhance Definitions & Guidance	Now to March 2022	ESES CRD PMO
Project Review of above	April to June 2022	Project Leads
Government review	July 2022	Governments
Agreed Quinquennial Outputs	August 2022	Governments
Implement above	August 2022 to August 2023	M&E SRO/Benefits Realisation Officer
<b>Ongoing Actions</b>		
Develop DIN user cases	On Going	DDI & IRERS
Use of Carbon City Partnerships Portal	On Going	ESES CRD PMO
Whole Life Carbon Costs adoption	On Going	ESES CRD PMO
SAV Case Studies	On Going	Benefits Realisation Officer

## Appendices

### Appendix A Borderland Definitions and M&E Guidance

**Borderlands Deal Deliverables: Outputs, Outcomes and Impacts Guidance & Definitions V1 – Updated**  
November 2021

*Please Note: The following is not intended to be an exhaustive list. Additional project specific outputs, outcomes and impacts may be agreed where appropriate to demonstrate delivery against the Borderlands Inclusive Growth Deal aspirations*

#### Outputs

- For the purpose of the Borderlands Inclusive Growth Deal, Outputs are defined as: “an immediate measurable effect of a policy and are contractual targets to be delivered in return for the investment”
- Project outputs will be delivered as a direct result of the investment made.
- Outputs will be included in the Grant Funding Agreement and reported on at the end of project delivery. There will be a contractual obligation for the delivery organisation to achieve these outputs.
- Reporting Period: Outputs are to be reported during the Project Period i.e. the contractual period over which projects can make claims for expenditure.
- The following section outlines the suggested evidence required to evidence the achievement of deal specific outputs.
- Additional project specific outputs may be agreed where appropriate to demonstrate delivery against the Borderlands Inclusive Growth Deal aspirations

Ref	Indicator	Unit	Definition	Methodology for calculating	Evidence
OP1	Length of newly built road	Kilometres	<ul style="list-style-type: none"> <li>• Length of road for which works have been completed and now open for public use</li> </ul>	N/A	<ul style="list-style-type: none"> <li>• Monitoring form signed by the applicant, confirming the metrics.</li> <li>• Photographic evidence of road.</li> <li>• From scale plans and visual inspection on completion and tender documents</li> <li>• Reported via highways colleagues based on the agreed business case approved for the scheme.</li> </ul>
OP2	Number of new and/or improved routes	number of routes	Number of new and/or improved routes completed and now open for public use. These can be on or off road, including: <ul style="list-style-type: none"> <li>• Road created (New) (km)</li> </ul>	N/A	<ul style="list-style-type: none"> <li>• Name of routes created</li> <li>• Photographic evidence of route</li> </ul>

Ref	Indicator	Unit	Definition	Methodology for calculating	Evidence
			<ul style="list-style-type: none"> <li>Road enhanced (km)</li> <li>Cycle Routes created (km)</li> <li>Cycle Routes enhanced (km)</li> <li>Pedestrian Routes created (km)</li> <li>Pedestrian Routes enhanced (km)</li> <li>Pedestrian/cycle bridges (New)</li> </ul>		
<b>OP3</b>	Length of new and/or improved routes	Kilometres	<p>Length of route for which works have been completed and now open for public use. These can be on or off road.</p> <p>Including:</p> <ul style="list-style-type: none"> <li>Road created (New) (km)</li> <li>Road enhanced (km)</li> <li>Cycle Routes created (km)</li> <li>Cycle Routes enhanced (km)</li> <li>Pedestrian Routes created (km)</li> <li>Pedestrian Routes enhanced (km)</li> <li>Pedestrian/cycle bridges (New)</li> </ul>	<ul style="list-style-type: none"> <li>Length to be calculated from the start to the end of the new route</li> <li>Improved routes: Length of improved sections of the route for example surface, signage or access to facilities/storage.</li> </ul>	<ul style="list-style-type: none"> <li>Monitoring form signed by the applicant, confirming the metrics.</li> <li>From scale plans and visual inspection on completion and tender documents</li> <li>Photographic evidence of route</li> <li>Reported via highways colleagues based on the agreed business case approved for the scheme.</li> <li>Carriageway with reduced flood risk (km).</li> </ul>
<b>OP4</b>	<p>New floorspace created and/or refurbished including:</p> <ul style="list-style-type: none"> <li>Available supply of commercial space (sq. m)</li> <li>Retail space completed (sq. m)</li> <li>Business space completed (sq. m)</li> </ul>	Meters squared	<ul style="list-style-type: none"> <li>At the impact site, the area and class of commercial floor space completed.</li> <li>Floor areas should be measured in accordance with the RICS Code of measuring practice (6th edition) 2007</li> <li>A building should be classified as completed once</li> </ul>	<ul style="list-style-type: none"> <li>Area to be calculated as Gross Internal Area.</li> </ul>	<ul style="list-style-type: none"> <li>Monitoring form signed by the applicant, confirming the metrics.</li> <li>Independent report setting out floor space achieved.</li> <li>Photographic evidence of new floor space</li> <li>From scale plans and visual inspection on completion and tender documents.</li> </ul>

Ref	Indicator	Unit	Definition	Methodology for calculating	Evidence
	<ul style="list-style-type: none"> <li>General Industrial space completed (sq. m)</li> <li>Storage of Distribution space completed (sq. m)</li> <li>Financial, Professional and Other Services space completed (Office) (sq. m)</li> <li>Day Nursery Space completed</li> <li>Hotels and Hostels space completed (sq. m)</li> <li>Assembly and Leisure space completed (sq. m)</li> <li>Floor space occupied (sq. m)</li> </ul>		it is on the non-domestic rating list.		<ul style="list-style-type: none"> <li>Reported via post practical completion based on RICS reported figures</li> <li>Land with reduced flood risk (Ha)</li> <li>Properties with reduced flood risk</li> </ul>
OP5	<p>Area of site reclaimed, (re)developed or assembled including:</p> <ul style="list-style-type: none"> <li>Vacant and Derelict Land Brought Back into Use/Removed from SVDL Register (Ha)</li> <li>Area of land/property unlocked for development (Ha)</li> <li>Total Area reclaimed, (re)</li> </ul>	Hectares	<ul style="list-style-type: none"> <li>Area of land directly improved by the project that is now suitable for commercial development where previously it was unattractive to commercial developers.</li> <li>Reclaimed: making the land fit for use by removing physical constraints to development or improving the land for hard end use; providing services to open it up for development, e.g.</li> </ul>	<ul style="list-style-type: none"> <li>Area to be calculated as the proportion of land that has been remediated. This may or may not be the full site.</li> </ul>	<ul style="list-style-type: none"> <li>Site plan. Visual inspection of the site before and after completion</li> <li>Before and after photographic evidence</li> </ul>

Ref	Indicator	Unit	Definition	Methodology for calculating
	<p>developed or assembled (Ha) as a result of the project</p> <ul style="list-style-type: none"> <li>Total Area of Opportunity Sites (Ha)</li> </ul>		provision of utilities or service roads	
OP6	Premises connected to digital infrastructure	Residential and business premises	<ul style="list-style-type: none"> <li>Number of premises with access to superfast broadband with speeds greater than 30mbps <b>and</b> that are also gigabit capable.</li> </ul>	N/A
OP7	Match funding	£m	<ul style="list-style-type: none"> <li>The value of direct match funding contributions to enable the project to be delivered.</li> <li>In-kind contributions e.g. staff time are excluded</li> <li>Land value can be included where the asset is transferring to the project sponsor.</li> </ul>	N/A
OP8	New/improved visitor and cultural attractions and/or facilities	Count	<ul style="list-style-type: none"> <li>A new or improved visitor attraction in the Borderlands area</li> <li>Facilities offer a service or amenity used by visitors and complement facilities that are attractions i.e. that persuade people to visit. An example is a Tourist Information Centre, which is a facility offering information on attractions and accommodation to visitors.</li> </ul>	N/A

Ref	Indicator	Unit	Definition	Methodology for calculating	Evidence
OP9	<p>New/Improved Public Realm:</p> <ul style="list-style-type: none"> <li>Public Realm created (Ha)</li> <li>Public Realm enhanced (Ha)</li> </ul>	Hectares	<ul style="list-style-type: none"> <li>Public Realm (New) - New public realm is a space which was previously not for public use which is transformed into, for example, pavement, road, street furniture and park area. This only applies where public realm improvements or creation are a result of Borderlands Inclusive Growth Deal investment and associated match or levered spend. Includes new Green Space created; vegetated land or water within an urban area this includes, parks, gardens, playing fields, children's play areas, woods and other natural areas, grassed areas, cemeteries and allotments.</li> <li>(Public Realm (Enhanced) - Enhanced public realm is an enhanced space which was previously open for public use but which is transformed into, for example, pavement, road, street furniture and park area. The definition only applies where public realm improvements or creation are a result of Borderlands Inclusive Growth Deal investment and associated match or levered spend. Includes local Green Space (Enhanced) Enhanced existing Green Space; vegetated land or water within an urban area this</li> </ul>		<p>Monitoring form signed by the project lead and SRO, confirming the metric.</p> <p>Photographic evidence of the public realm</p>

			includes, parks, gardens, playing fields, children's play areas, woods and other natural areas, grassed areas, cemeteries and allotments		
<b>OP10</b>	Number of full-time equivalent Construction jobs over construction period of project	Gross Fulltime Equivalent	<ul style="list-style-type: none"> <li>Awaiting guidance from UKG.</li> </ul>	<ul style="list-style-type: none"> <li>Awaiting guidance from UKG.</li> </ul>	<ul style="list-style-type: none"> <li>Awaiting guidance from UKG.</li> </ul>

### Outcomes

- For the purpose of the Borderlands Inclusive Growth Deal, Outcomes are defined as: “indicators to measure the success of the project in delivering against the Borderlands strategic aims derived from delivery of the project outputs”
- Outcomes will be monitored and reported in line with the agreed project Benefits Realisation Plan.
- Reporting Period: Outcomes are to be reported during the Impact Period i.e. the timeframe over which the Impacts of investment can be captured. This is **10 years** from the practical completion date of the project to ensure all periods are completed before 2040.
- The following section outlines the suggested evidence required to evidence the achievement of deal specific outputs.

Ref	Indicator	Unit	Definition	Evidence	Methodology for calculating
<b>OC1a</b>	Gross Jobs Created connected to the intervention	Gross Fulltime Equivalent	<ul style="list-style-type: none"> <li>The total number of newly created permanent full-time equivalent (FTE) jobs at the facilities created/improved or on land remediated by Borderlands investment (i.e. must be claimed as an output)</li> <li>Employment sites include occupied newly developed commercial premises, the premises of supported</li> </ul>	<ul style="list-style-type: none"> <li>Baseline FTE provided by project sponsor prior to project commencing.</li> <li>The baseline will then be used to measure the additional employment at the intervention.</li> </ul>	<p>Examples of direct monitoring evidence may include:</p> <ul style="list-style-type: none"> <li>Monitoring form signed by the applicant, confirming the job numbers created.</li> <li>Payroll information on the new jobs provided by the applicant.</li> <li>An anonymised list of the employees created or</li> </ul>

			enterprises, and any FE space		safeguarded and their hours
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Ref Evidence	Indicator	Unit	Definition	Methodology for calculating
			<p>directly improved or constructed by the intervention.</p> <ul style="list-style-type: none"> <li>Created and safeguarded jobs exclude those created solely to deliver the intervention (e.g. construction).</li> <li>A job is deemed as permanent if it lasts at least a year</li> </ul>	<p>of work, signed by the applicant.</p> <ul style="list-style-type: none"> <li>Information about salary level may be provided</li> <li>Evidence as appropriate related to protected characteristics</li> </ul>
<b>OC1b</b>	Gross Jobs Safeguarded connected to the intervention	Gross Fulltime Equivalent	<ul style="list-style-type: none"> <li>The total number of safeguarded permanent fulltime equivalent (FTE) jobs at the facilities created/improved or on land remediated by Borderlands investment (i.e. must be claimed as an output)</li> <li>Employment sites include occupied newly developed commercial premises, the premises of supported enterprises, and any FE space directly improved or constructed by the intervention.</li> <li>Created and safeguarded jobs exclude those created solely to deliver the intervention (e.g. construction).</li> <li>A job is deemed as permanent if it lasts at least a year</li> </ul>	<ul style="list-style-type: none"> <li>Baseline FTE provided by project sponsor prior to project commencing.</li> <li>The baseline will then be used to measure the additional employment at the intervention.</li> <li>Detailed rationale to be provided explaining why the jobs were at risk and how the Borderlands intervention has safeguarded the jobs.</li> </ul> <p>Examples of direct monitoring evidence may include:</p> <ul style="list-style-type: none"> <li>Monitoring form signed by the applicant, confirming the job numbers created.</li> <li>Payroll information on the new jobs provided by the applicant.</li> <li>An anonymised list of the employees created or safeguarded and their hours of work, signed by the applicant.</li> <li>Information about salary level may be provided</li> <li>Letter provided by senior member of staff confirming job was at risk</li> </ul>

<b>OC2</b>	Increase in <u>day</u> visitor numbers	Visitor	<ul style="list-style-type: none"> <li>The number of new visitors using an attraction directly supported by Borderland investment (i.e. claimed as an output)</li> <li>NB this could include facilities along an improved walking/cycle route</li> </ul>	<ul style="list-style-type: none"> <li>Total number of additional day visitors to the attractions directly support by Borderlands investment, for 10 years following Project Period.</li> <li>Figures are to take account of additionality factors such as deadweight, displacement etc.</li> </ul>	<ul style="list-style-type: none"> <li>Reports from project sponsor detailing the number of entrance counts</li> </ul>
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Ref Evidence	Indicator	Unit	Definition	Methodology for calculating	
<b>OC3</b>	Increase in <u>day</u> visitor spend	£m	<ul style="list-style-type: none"> <li>The increase in visitor spend at an attraction directly supported by Borderland investment (i.e. claimed as an output,</li> <li>NB this could include facilities along an improved walking/cycle route</li> </ul>	<ul style="list-style-type: none"> <li>Value of sales at tourist attractions directly support by Borderlands investment including tickets, food &amp; drink, parking, gift shops etc. for 10 years following Project Period.</li> <li>Figures are to take account of additionality factors such as deadweight, displacement etc.</li> </ul>	<ul style="list-style-type: none"> <li>Financial reports from project sponsor</li> </ul>
<b>OC4</b>	Learning opportunities created	No of learners	<ul style="list-style-type: none"> <li>Provide details on the level and number of opportunities created by course/subject directly supported by Borderland investment (i.e. claimed as an output)</li> </ul>	<ul style="list-style-type: none"> <li>The anticipated number of learning opportunities created for 10 years following Project Period.</li> </ul>	<ul style="list-style-type: none"> <li>Signed report from learning provider showing numbers of learners</li> <li>Provide details on the level and number of opportunities created by course/subject directly supported by Borderland investment (i.e. claimed as an output)</li> </ul>
<b>OC5</b>	Businesses supported	No of businesses	Number of businesses trading in excess of 1 year at premises which Borderlands investment has been made.	<p>Business supported can be counted if the Borderlands investment has been used to directly support:</p> <ul style="list-style-type: none"> <li>floorspace</li> <li>remediated land</li> <li>engaging in R&amp;D</li> <li>supporting learners (eg work placement or apprenticeship)</li> <li>receiving direct financial assistance</li> </ul> <p>A business support can only be counted once.</p>	<ul style="list-style-type: none"> <li>Record of business - Name, address including post code, contact details, company registration number (CRNs) if applicable. Each enterprise should have a unique identifier at operational level during the course of the project. Support claimed through hours supported – record, electronic or paper, of support meeting the minimum threshold verified and signed by a senior member of staff in the enterprise</li> </ul>

					<p>assisted, including time period claimed.</p> <ul style="list-style-type: none"> <li>• Support claimed for direct financial support -</li> <li>• documentation demonstrating that value meeting the minimum threshold has been provided to the business, with a unique identifier</li> </ul>
<b>OC6</b>	Leverage	£m	The value of additional funding levered into the project. This could include operating costs of the facility created with Borderlands investment.	N/A	<ul style="list-style-type: none"> <li>• Letters of support from organisations providing the funding</li> </ul>
<b>OC7</b>	Number of new tourism events supported	No of events	Number of new events associated with projects that have received Borderlands Inclusive Growth Deal funding. Events that may not have taken place without investment in the associated asset.	Events count as one irrespective of duration	<ul style="list-style-type: none"> <li>• Photographs</li> <li>• case study from organiser</li> <li>• news clipping</li> <li>• Twitter and Facebook links</li> <li>• Flyers</li> <li>• Reviews</li> <li>• Press release</li> </ul>
<b>OC8</b>	Total Value of Works contracted to SMEs located within Borderlands	£m	Value (£) of contract/s associated with project awarded to all local companies, including SMEs and Social Enterprises, based within Borderlands. See below for definition of SMEs and Social Enterprises.	Contracting does not include the initial grant award to the project including sub-contractors including where the principal contractor is not an SME	<ul style="list-style-type: none"> <li>• Narrative to say awarded % and/or value of contract to company e.g. roads surfacing or glazing works</li> <li>• Company name and contact person that could be contacted.</li> </ul>

### Impacts

- Impacts are used to measure the long-term changes that are a result of the project.
- Impacts are to be assessed as part of the project evaluation process.
- Reporting Period: Impacts are to be reported during the Impact Period i.e. the timeframe over which the Impacts of investment can be captured. For the purposes of the Borderlands Inclusive Growth Deal this is by 2040 with project specific evaluations completed by 10 years after financial completion.
- The effect would be captured through evaluation at mid-term and end of project points undertaken independently by external appointed advisors

Ref	Indicator	Unit	Definition	Methodology for calculating	Evidence
11	Net additional jobs created	Net Fulltime Equivalents	<ul style="list-style-type: none"> <li>This must be expressed in full time equivalents</li> <li>These are indirect additional jobs created.</li> </ul>	<ul style="list-style-type: none"> <li>By estimating the number of additional jobs that can be sustained by the net increase in GVA using agreed GVA/job ration for supported sectors</li> <li>Net jobs must reflect: deadweight; displacement; leakage and multiplier effects to account for supply chain effects and expenditure by staff directly employed by supported organisations.</li> </ul>	<ul style="list-style-type: none"> <li>Methodology used to calculate the number of net additional jobs created. This needs to clearly show how the net figure has been derived i.e. considering deadweight, displacement, leakage and multiplier effects</li> <li>Details of the GVA: Job ratio used</li> </ul>
12	Net additional GVA	£m	<ul style="list-style-type: none"> <li>It can be measured as gross direct new value added, minus the effects of deadweight and displacement, plus multiplier effects. This can be expressed as annual levels in £s.</li> <li>Net value added is the income and profits generated by project</li> </ul>	<ul style="list-style-type: none"> <li>Net GVA must reflect <ul style="list-style-type: none"> <li>o deadweight o displacement</li> <li>o leakage</li> <li>o and multiplier effects to account for supply chain effects and expenditure by staff directly</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Evidence based report as part of evaluation report.</li> </ul>

Ref	Indicator	Unit	Definition	Methodology for calculating	Evidence
			support after taking account of deadweight and displacement.		employed by supported organisations.
			<ul style="list-style-type: none"> <li>All net effects are the subject of evaluation, rather than regular monitoring</li> </ul>		
13	Increase in <u>day</u> visitor numbers	Visitor	<ul style="list-style-type: none"> <li>Number of day visitors attracted to the area as an indirect result of the intervention.</li> </ul>	<ul style="list-style-type: none"> <li>Baseline number of day visitors calculated and evidenced by project sponsor.</li> <li>Deadweight assumptions documented</li> <li>Anticipated % increase as a result of the intervention</li> </ul>	<ul style="list-style-type: none"> <li>Visitor modelling tools such as STEAM</li> </ul>
14	Increase in <u>day</u> visitor spend	£m	<ul style="list-style-type: none"> <li>The associated spend of the indirect day visitors calculated at I3.</li> </ul>	<ul style="list-style-type: none"> <li>Using the number of visitors calculated at I3 apply a standard day visitor spend figure from a visitor modelling tool e.g. STEAM</li> <li>Document the average day spend per visitor</li> </ul>	<ul style="list-style-type: none"> <li>Visitor modelling tools such as STEAM</li> </ul>

15	Increase in <u>overnight</u> visitor numbers	Visitor	<ul style="list-style-type: none"> <li>Number of overnight visitors attracted to the area as an indirect result of the intervention.</li> </ul>	<ul style="list-style-type: none"> <li>Baseline number of overnight visitors calculated and evidenced by project sponsor.</li> <li>Deadweight assumptions documented</li> <li>Anticipated % increase as a result of the intervention</li> </ul>	<ul style="list-style-type: none"> <li>Visitor modelling tools such as STEAM</li> </ul>
16	Increase in <u>overnight</u> visitor spend	£m	<ul style="list-style-type: none"> <li>The associated spend of the indirect overnight visitors calculated at 15.</li> </ul>	<ul style="list-style-type: none"> <li>Using the number of visitors calculated at 13 apply a standard overnight visitor spend figure from a visitor modelling tool e.g. STEAM</li> <li>Document the average overnight spend per visitor</li> </ul>	<ul style="list-style-type: none"> <li>Visitor modelling tools such as STEAM</li> </ul>

Ref	Indicator	Unit	Definition	Methodology for calculating Evidence	
17	Borderlands Population Benefitting	Person	<ul style="list-style-type: none"> <li>The number of residents within the Borderlands Area that have benefitted from the intervention.</li> </ul>		<ul style="list-style-type: none"> <li>The population within the local area relevant to the project.</li> <li>The basis on which the Population Benefitting is calculated – e.g. survey and population maps, census data.</li> </ul>
18	Follow on investment	£m	<ul style="list-style-type: none"> <li>Capture the amount of public, private or third sector investment following financial completion of the project.</li> <li>Does not include in-kind contributions.</li> </ul>	Unable to calculate. To be identified through evaluation process.	<ul style="list-style-type: none"> <li>Evidence based report as part of evaluation report.</li> </ul>
19	Estimated GHG reductions	Tonnes	<ul style="list-style-type: none"> <li>Carbon dioxide equivalent (CO2e) is the measure that should be used to record savings of carbon associated with the delivery of an operation. CO2e covers a wide range of greenhouse gases (GHG) that have an impact on climate change.</li> </ul>	<ul style="list-style-type: none"> <li>Tonnes of carbon saved should be measured using BEIS Conversion Factors for calculating resulting primary energy savings.</li> <li>The estimate is based on the amount of CO2e saved in a given year, i.e. a projection of estimated savings of either one year following project completion or the calendar year after project completion.</li> </ul>	

I9a	<p>Embodied Carbon emissions:</p> <ul style="list-style-type: none"> <li>• What are the embodied carbon emissions resulting from the project? (tonnes CO2e)</li> <li>• How have embodied carbon emissions been minimised?</li> </ul>	Tonnes CO2e	<ul style="list-style-type: none"> <li>• Embodied carbon is the total greenhouse gas emissions (often simplified to “carbon”) generated to produce a built asset, excluding operational emissions. CO2e is shorthand for carbon dioxide equivalents, the standard unit in carbon accounting to quantify both regulated and unregulated energy uses).</li> <li>• A description of the techniques used to arrive at the operational carbon figure.</li> </ul>	•	<ul style="list-style-type: none"> <li>• The level of evidence detail will depend on the phase of the project. At concept stage an estimate based on major project elements (e.g. steel, concrete, floor area, etc) will suffice. As a bill of quantities develops, so will</li> </ul>
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Eef	Indicator	Unit	Definition	Evidence	Evidence
	<p>Methodology for calculating the project? (tonnes CO2e/year)</p> <ul style="list-style-type: none"> <li>• How have operational carbon emissions been minimised?</li> </ul>		<p>both regulated and unregulated energy uses).</p> <ul style="list-style-type: none"> <li>• A description of the techniques used to arrive at the operational carbon figure.</li> </ul>		<ul style="list-style-type: none"> <li>• Evidence could include referring to the carbon management process used (e.g. PAS 2080, RICS Whole Life Carbon Assessment for the Built Environment, BREEAM, etc). Evidence could also include the use of renewable energy technologies or low carbon heating systems.</li> </ul>
I9c	<p>Whole Life Carbon savings:</p> <ul style="list-style-type: none"> <li>• What are the estimated whole life carbon emissions resulting from the project over its design life? (tonnes CO2e)</li> <li>• What whole life carbon savings are estimated compared to a 'business as usual' approach to project design and construction? (tonnes CO2e)</li> <li>• How will the project become operationally net zero carbon by 2045?</li> </ul> <p>How has the project</p>	Tonnes CO2e	<ul style="list-style-type: none"> <li>• Whole life carbon is the sum of a project's embodied carbon and operational carbon over a specified period, e.g. its design life or 60 years</li> <li>• Savings can only be demonstrated against a legitimate carbon baseline, i.e. what carbon emissions would have resulted from the project had active carbon reduction measures not been in place. A net zero asset may be defined as one that achieves a level of energy performance in line with national climate change targets that does not burn fossil fuels and that is 100% powered by renewable energy. Net zero is essentially the achievement of a balance of zero greenhouse gas emissions by taking actions to remove the same quantity of greenhouse gases</li> </ul>	•	<ul style="list-style-type: none"> <li>• Evidence would be a calculation showing the sum of the embodied and operational carbon values.</li> <li>• Justification of the carbon resulting from the business as usual scenario, then a calculation showing the difference between this value and the project's whole life carbon emissions. Evidence could include an outline description of how the project will feasibly decarbonise over time, e.g. by introducing new renewable technologies or following electricity grid decarbonisation (if the asset is powered only by electricity).</li> </ul>

	<p>contributed to a more environmentally sustainable transport network?</p>		<p>atmosphere as all of the activities under consideration generate.</p> <ul style="list-style-type: none"> <li>An important gauge in the environmental sustainability of a transport network is the carbon emissions it generates. Carbon emissions quantification usually requires traffic modelling, although this may not always be necessary, depending on the project.</li> </ul>		<p>Potential barriers to achieving net zero (e.g. financial, technological, skills, etc) should be highlighted here.</p> <ul style="list-style-type: none"> <li>Evidence will be project dependent, from a qualitative description for negligible carbon impact projects, to quantification based on traffic modelling for potentially significant carbon impact projects (e.g. sizable roads projects).</li> </ul>
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### Standard Definitions

#### Timeframes

- Delivery Period: the time from when project expenditure starts to when it ends
- Project Period: the contractual period over which projects can make claims for expenditure
- Impact Period: the timeframe over which the Impacts of investment can be captured

Spend and Outputs should be reported during the Project Period. Outcomes and Impacts should be reported over the Impact Period.

The Business Case for each project will set out its own agreed process to capture and evaluate impact but this will be over a 10-year period and will provide an annualised estimate of impacts by year.

The overall Borderlands Impact Period is 20 years from 2020 and all project and programme evaluations should reflect the achievement

#### Area of Benefit

Business Cases will show impacts at the UK, and Borderlands level, plus possibly also at Scotland/England level where required

Evaluations should report impacts at the Borderlands level and at other levels required by partners which may include local authority plus national level.

In line with the aspirations to impact the whole of the Borderlands the evaluation will consider evidence of the interventions across the whole of the Borderlands.

#### Additionality Factors

- Deadweight refers to allowing for outcomes that would have taken place without the intervention under consideration. Deadweight will be revealed when the total outcome of an option for intervention is compared with business as usual, the (BAU).
- Leakage is the extent to which effects “leak out” of a target area into others e.g. workers commuting into other areas to take up new employment opportunities.
- Displacement is the degree to which an increase in economic activity or social welfare that is promoted by an intervention is offset by reductions elsewhere in the area under consideration or in similar areas close by. This occurs where existing businesses close and reopen in a fresh location or move into the target area from similar areas close by.
- Substitution is where one type of labour or factor of production such as capital equipment is substituted for another but there is no increase in employment or output. (If relevant)
- Multiplier: estimates of the additional benefit generated in the area via both supply and demand linkages

### *Small & Medium Size Enterprises (SMEs)*

In the UK, sections 382 and 465 of the Companies Act 2006 define a SME for the purpose of accounting requirements. According to this a small company is one that has a turnover of not more than £6.5 million, a balance sheet total of not more than £3.26 million and not more than 50 employees. A medium-sized company has a turnover of not more than £25.9 million, a balance sheet total of not more than £12.9 million and not more than 250 employees.

### *Social Enterprises*

Businesses driven by a social/environmental mission and reinvest profits into creating positive social change.

## Appendix B Reporting Frameworks

*Suggested Table One: Baseline Targets*

Measure	Commitment at Deal Signing	Commitment in Approved Business Case	Variance	Comment on variance of Commitment at Deal Signing and approved Business Case (if applicable)	Agreed Final Target
<b>Outputs</b>					
New Jobs					
Construction Jobs					
Jobs Protected					
Etc					
<b>Outcomes</b>					
Increase in <u>day</u> visitor spend					
Learning opportunities created					
Number of new tourism events supported					
Etc					
<b>Impacts</b>					
Net additional jobs created					
Net additional GVA					
Increase in <u>day</u> visitor numbers					
etc.					

*Suggested Table Two: Monitoring Outputs, Outcomes and Impacts*

Measure	Agreed Final Target	21/22	22/23	23/24	24/25	25/26	26/27	27/28	28/29
Outputs									
<b>New Jobs</b>									
<b>Construction Jobs</b>									
<b>Jobs Protected etc</b>									
<b>Outcomes</b>									
Increase in <u>day</u> visitor spend									
Learning opportunities created									
Number of new tourism events supported									
etc									
<b>Impacts</b>									
Net additional jobs created									
Net additional GVA									
Increase in <u>day</u> visitor numbers									
etc.									

## Appendix C Potential Roles & Responsibilities of a CRD Benefits Realisation “Officer”

- a. Working with SRO, agree and manage with theme leads, PMO, Joint Committee, Governments (and other “audiences” identified in the BRP) an evaluation and reporting programme from 2022 to 2033 to assess CRD impact performance against projected benefits.
- b. In the context of the above, the SRO with the Benefits Realisation Officer will lead, manage and maintain the collation of the benefits, outputs and outcomes associated with the Deal and be responsible for agreeing/co-ordinating Government and external consultancy inputs.
- c. Manage and co-ordinate all agreed evaluation programmes under (a) and (b) which will involve a balance between:
  - Co-ordinating and supporting where appropriate the IRES, Capital City Partnership and DDI teams in their on-going and planned approaches; and,
  - Support the evaluations for other themes/projects (particularly where there is relatively minimum M&E expertise).
- d. Set up regular impact reporting process that will include interpretation and implications for the overall CRD Programme (in terms of benefits realisation) and consequent determination with PMO, SRO, Joint Committee and Governments of “change control” approaches.
- e. Collating and communicating key impact results across the CRD themes.
- f. Engagement with other CRDs, national initiatives and both Governments to address common issues such as attribution, access to new or combined data sources and emerging best practice, common reporting protocols, data sharing and cost efficiencies.
- g. Respond to all impact enquiries and lead response to new Government requests/Deal suggestions (e.g. Carbon Costing, Well Being etc) and co-ordinate approaches across all themes.