

**REPORT TO: PLANNING AND TRANSPORTATION COMMITTEE
4 DECEMBER 2000**

REPORT ON: SOCIAL INCLUSION PARTNERSHIPS (SIPs) EVALUATION

REPORT BY: DIRECTOR OF PLANNING AND TRANSPORTATION

REPORT NO: 699-2000

1 PURPOSE OF REPORT

- 1.1 To report on the Scottish Executive "Guidance Notes on SIP Evaluation" and the implications for the Dundee Social Inclusion Partnership (SIP) 1 Mid-term Evaluation and the Dundee SIP 2 Final Evaluation.
- 1.2 To report on the proposed objectives of the Project Plans for the SIP 1 Mid-term Evaluation and the SIP 2 Final Evaluation.
- 1.3 To seek Committee approval to commission the Geddes Centre for Planning Research, University of Dundee to undertake the SIP 1 Mid-term and SIP 2 Final Evaluations.

2 RECOMMENDATIONS

- 2.1 It is recommended that the Committee approve the approaches for the SIP 1 Mid-term and SIP 2 Final Evaluations as outlined in the Project Plans.
- 2.2 It is recommended that the Committee approve the commissioning of the Geddes Centre for Planning Research to undertake the SIP 1 Mid-term and SIP 2 Final Evaluations for the Scottish Executive.

3 FINANCIAL IMPLICATIONS

- 3.1 To support individual evaluations the Scottish Executive will be providing additional funding allocations of £15,000 for each SIP required to undergo a Mid-term or Final Evaluation.

4 LOCAL AGENDA 21 IMPLICATIONS

- 4.1 The Dundee SIPs 1 and 2 are based on the themes of the Dundee Partnership Regeneration Strategy, which are Stability, Sustainability, Empowerment and Prosperity. In particular the theme of Empowerment runs strongly through the whole Strategy.

Through the SIPs, Empowerment is achieved by, for example, locally managed services, and training and skills development for local people. Progress has also been made to involve local communities in decisions that have influenced the SIP strategies. This has been achieved through local consultation and Neighbourhood Forums. Also, many of the funded major projects of the SIPs are directly managed by local management committees or similar organisations which involve residents as members.

- 4.2 The Dundee SIPs 1 and 2 address issues such as poverty, crime, health, education and community involvement, and include a range of Partnership funded Community Projects in deprived areas of Dundee.
- 4.3 The evaluation work will examine changes in the SIP 1 and SIP 2 areas and subsequently link this to the nature and extent of any impact of the SIP programmes. This process will highlight elements of best practice which are likely to enhance the performance of the SIPs and which are sustainable for the remaining funding period of the programme.

5 EQUAL OPPORTUNITIES IMPLICATIONS

- 5.1 The Dundee SIPs 1 and 2 are tackling the problems that disadvantaged groups face across Scotland. The SIP Programme forms the core of the Scottish Executive policy on regeneration in Scotland, and along with the "Social Justice a Scotland where EVERYONE matters" report, it is one of the key initiatives of the Ministerial Taskforce on Poverty led by the Minister for Social Justice, Jackie Baillie. The SIP Programme aims to tackle the problems of poverty, deprivation and social exclusion.

6 BACKGROUND

- 6.1 The Dundee SIP 1, which started in 1996 and was formerly a 'Priority Partnership Area' (PPA), is due to run until November 2006. Dundee SIP 2, which also started in 1996, was formerly a 'Regeneration Programme' (RP). The SIP 2 has recently been extended to run beyond the original end date of November 2001, and will now run until the end of March 2002. This date coincides with the implementation of the Scottish Executive's plans for the future of the ex-RP SIPs. The Executive also plan to use the findings from the individual evaluations of the former RP's to inform a National Evaluation of these SIPs, and this will take place between February and July 2001.
- 6.2 The Scottish Executive published the "Social Inclusion Partnership Monitoring Framework" in December 1999. This provided specific guidance on SIP monitoring activities and set out a framework for evaluation and reporting. At that time the Scottish Executive confirmed that they would produce further Guidance on SIP evaluation in 2000, which has now been released. The Guidance covers the commissioning, evaluation requirements, methodology and reporting for SIPs due to undergo either Mid-term or Final evaluations, and provides a timetable within which each stage of the evaluation is required to take place.
- 6.3 Prior to the release of the above guidance, the Geddes Centre for Planning Research had already produced a work plan for the SIP 2 Final Evaluation. Details of this were outlined in Planning and Transportation Committee Report No 121-2000, of February this year.
- 6.4 The Dundee Thematic SIPs 3 and 4 were only recently implemented in 1999 and are not yet due for Mid-term or Final evaluation.

7 SCOTTISH EXECUTIVE GUIDANCE NOTE ON SIP EVALUATION

- 7.1 The Scottish Executive Guidance covers the general principles of evaluation, including links with monitoring. It also outlines the key questions that require to be addressed and describes the associated research methods.
- 7.2 The Scottish Executive timetable for the commissioning and completion of the Evaluations and the submission of the Evaluation Reports is given below.

End of October 2000	Issues of Scottish Executive Guidance to SIPs
December 2000	SIP's commission Mid-term and Final Evaluations
December 2000 to April 2001	Evaluations take place
March 2001	Draft Evaluation Reports are submitted to Scottish Executive
April 2001	Final Evaluation Reports are submitted to Scottish Executive

The above timetable has implications for the evaluations of the Dundee SIPs 1 and 2.

7.3 Social Survey - 2001

The 1995 Social Survey (T L Dempster), which was prepared on behalf of the Dundee Partnership, is due to be repeated in 2001. The Survey will again focus on four specific communities which are the Dundee SIP 1 areas.

The purpose of the Survey is outlined in the Project Plan attached as Appendix 3. However, one of the primary objectives was for it to feed into the evaluation process of SIP 1 at its mid-term point.

7.4 SIP 1 Mid-term Evaluation

Prior to the release of the guidance from the Scottish Executive it was planned to use the results from the forthcoming Social Survey as the core quantitative and qualitative data for the SIP 1 Mid-term Evaluation. Under the existing timetable the Social Survey is not due to be complete until February 2002.

It is not possible to bring the Social Survey forward to meet the Scottish Executive timetable because its scope is broader than the Scottish Executive Evaluation. It additionally seeks to provide qualitative research on issues arising out of Dundee Partnership and Dundee City Council strategies. The required processes of the Survey include the establishment of a working group, specification, consultation, commissioning, data gathering and reporting. These processes differ to an extent from those required in the Scottish Executive Evaluation, such that they will necessarily take longer.

When the Social Survey is finished, after the Scottish Executive deadline, it is planned to build this into the Evaluation Report of the SIP 1 Mid-term. The information in, this amended Report will be forwarded to the Scottish Executive and

should prove useful to them during the remaining term of the SIP 1 Programme to inform any future plans they may have for the future of the SIPs.

The Scottish Executive have provided additional funding of £15,000 for each SIP to support the individual evaluations. It is planned to use part of this funding to finance the Scottish Executive evaluation exercise, and to allocate a proportion towards the cost of the Social Survey.

7.5 SIP 2 Final Evaluation

The Scottish Executive timetable requires the Final Evaluation Report by April 2001. Although this is a far tighter schedule, it will be possible to re-schedule the necessary work items to meet the new deadlines. As with SIP 1, the Scottish Executive's funding of £15,000 will be used to finance the evaluation.

8 COMMISSIONING

- 8.1 The Geddes Centre for Planning Research currently have responsibility for evaluation activities of the Dundee SIPs, which include Annual Reporting, Mid-term and Final Evaluations, and Issue Papers etc. They are best placed to undertake the SIP 1 Mid-term and SIP 2 Final Evaluations required by the Scottish Executive and it is considered both practical and logical for them to proceed with this. They also fulfil the stipulation in the Scottish Executive Guidance which states that evaluations should be conducted independently of the SIP by external contractors.

9 PROJECT PLANS

- 9.1 In the light of the Scottish Executive Guidance, Project Plans have been prepared which set out the work objectives against the required timescales for both the SIP 1 Mid-term Evaluation and the SIP 2 Final Evaluation. These are attached as Appendices 1 and 2 respectively.

10 CONSULTATIONS

- 10.1 The Chief Executive, Director of Finance, Director of Support Services, Director of Corporate Planning, Director of Social Work, Director of Planning and Transportation and the Director of Neighbourhood Resources and Development, have been consulted and are in agreement with the contents of this report.

11 BACKGROUND PAPERS

- 11.1 Scottish Executive Guidance Note on Evaluation for Social Inclusion Partnerships
- 11.2 Dundee Partnership Annual Report 1999/2000 Social Inclusion Partnerships 1 and 2
- 11.3 Service Level Agreement between Dundee Partnership and the University of Dundee, School of Town and Regional Planning
- 11.4 Planning and Transportation Committee Report 121/2000

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Policy and Regeneration Manager

9 November 2000

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APPENDIX 1

SIP 1 MID-TERM EVALUATION – PROJECT PLAN

The SIP 1 Evaluation at the mid-term point in the programme is scheduled for completion in April 2001. It is partly a culmination of monitoring and evaluation work completed for Dundee Partnership over the previous four years of the programme and the specific evaluation work required to meet the Scottish Executive's own guidance on SIP Mid-term evaluations.

The Partnership's ongoing monitoring and evaluation activity, which includes:

- 1 indicator based quantitative analysis;
 - 2 qualitative research; and
 - 3 SIP project appraisal work;
- will form the bulk of the evaluation.

However, the evaluation design will be geared to a broader framework of objectives, which consequently report on achievements, progress and improvements that can be made to the future delivery of the programme.

The purpose of the evaluation is to examine in the broadest sense:

- a the extent to which the programme objectives have been met and with what degree of effectiveness;
- b mechanisms for programme delivery (including aspects of community involvement/empowerment);
- c the impact of the programme in terms of quantitative and qualitative changes and the socio-economic development of the SIP 1 neighbourhoods;
- d progress and performance of the overall/additional impact of the programme; and
- e the performance and best practice elements of the programme to date.

The Evaluation Report will meet Scottish Executive requirements and be completed within their timetable. Additionally, it is intended to undertake a re-run of the 1995 social survey, although this will not be complete prior to the Executive's deadline for submission of reports. It is, however, integral to the Partnership's own requirements and will therefore be built into the evaluation at a later date.

It is proposed that the work will be undertaken by the Geddes Centre for Planning Research, who fulfil the Scottish Executive's requirement that evaluations should be conducted independently of the SIP. The formal process of planning for the evaluation will include the formation of a steering group to oversee:

- the design and implementation of the evaluation; and

- appropriate consultation with other key stakeholders on these aspects.

The steering group consists of community and voluntary sector representatives, Partnership agencies and members of the SIP Monitoring and Evaluation Group.

TIMESCALE/Framework FOR IMPLEMENTATION

Project Plan **September – December 2000**

- Preparation of Project Plan **3 November 2000**
- Preparation of Committee Report **6 November 2000**
- Preparation of Draft Evaluation Framework **17 November 2000**
- Approval of Committee Report in December **4 December 2000**
- Endorsement of Project Plan by Dundee Partnership **6 December 2000**
- Endorsement of Evaluation Framework by Dundee Partnership **6 December 2000**

Organisation Arrangements **December – March 2001**

- Establishment of Partnership Working Group **8 December 2000**
- Design and preparation of draft 'Partnering' Specification **13 December 2000**
- Consult with Community Co-ordinating Group on Specification **15 December 2000**
- Endorsement of 'Partnering' specification by Dundee Partnership **10 January 2001**
- Oversee the delivery of work required in the evaluation framework **Jan – March 2001**

Evaluation Fieldwork **December – March 2001**

- Gathering of monitoring data for quantitative analysis **31 January 2001**
- Evaluation of SIP Project Activity (annual reports appraisal) **31 January 2001**
- SIP Project primary research (case studies) **28 February 2001**
- Qualitative research fieldwork **14 February 2001**
- Analysis of research material **24 March 2001**

Draft Scottish Executive Evaluation Report **April - May 2001**

- Preparation of draft Evaluation Report to Dundee Partnership **7 April 2001**
- Working Group to meet and deliberate on draft Evaluation Report **7 April 2001**
- Consult with Community Co-ordinating Group on Draft Evaluation Report **14 April 2001**
- Complete Evaluation Report **30 April 2001**
- Approval of Evaluation Report by Dundee Partnership **9 May 2001**

Final Scottish Executive Evaluation Report	11 May 2001
Social Survey	Sept-November 2001
• Design and preparation for Social Survey	31 January 2001
• Completion of field work for Social Survey	31 October 2001
• Analysis of survey findings	30 November 2001
• Preparation of Social Survey final report	28 February 2002
Dundee Partnership Evaluation Report	April 2002
• Draft of Partnership's Evaluation Report incorporating Social Survey	31 March 2002
• Completed Dundee Partnership Evaluation Report	30 April 2002
Final Dundee Partnership Evaluation Report	30 April 2002

PROJECTED RESOURCES AND COST

Geddes Centre for Planning Research	Staff Resources dedicated to Evaluation Work*	Quantitative Analysis Work	£5,000
		Qualitative Research	£5,000
		Project Analysis Work	£5,000
Additional SE Evaluation funding	2001 Social Survey** Production of Evaluation Reports** Production of Evaluation Reports**	Part-Funding	£10,000
		Materials	£1,000
		Technical Assistance	£1,500
		Printing Costs	£1,500
Estimated Cost			£29,000

*The current arrangements for the monitoring and evaluation of the SIPs (geographic) includes the implementation of a comprehensive monitoring and evaluation framework for the Partnership's SIPs (geographic) and work relating to Scottish Office Programme Level monitoring. Both SIP and Partnership funding has been allocated for this purpose and is outlined in the Service Level Agreement.

**Estimated Allocation of costs

APPENDIX 2

SIP 2 END-TERM EVALUATION – PROJECT PLAN

Work required to meet the Scottish Executive's own guidance on the SIP 2 End-term evaluation is scheduled for completion on April 2001. The Geddes Centre for Planning Research will have responsibility for undertaking the evaluation, in terms of the management of process, co-ordination of work/research and production and dissemination of the evaluation report. *The Geddes Centre fulfils the Scottish Executive's requirement that evaluations should be conducted independently of the SIP.*

The evaluation is an in-depth review of the processes involved in community regeneration and the degree to which the aims and objectives of the SIP strategy have been achieved. The purpose of the evaluation is to examine in the broadest sense:

- 1 the extent the programme aims have been met and with what degrees of effectiveness;
- 2 the mechanisms for programme delivery (including effective partnership arrangements);
- 3 the impact of the programme in terms of quantitative and qualitative changes;
- 4 progress and performance of the overall/additional impact of the programme; and
- 5 value for money and lessons and good practice.

Additionally it is intended to build the evaluation into the learning processes of community regeneration in Dundee and that the SIP 2 programme is evaluated to assess its contribution against the evolving policy for social inclusion in Dundee.

The formal process of planning for the evaluation will include the formation of a working group to oversee:

- the implementation of the evaluation; and
- appropriate consultation with other key stakeholders.

It will include Partnership agencies, SIP 2 community representatives and members of the SIP Monitoring and Evaluation Group.

TIMESCALE/Framework FOR IMPLEMENTATION

Project Plan and Specification	September – December 2000
• Preparation of Project Plan	3 November 2000
• Preparation of Committee Report	6 November 2000
• Preparation of draft Evaluation Framework	17 November 2000
• Approval of Committee Report in December	4 December 2000
• Endorsement of Project Plan by Dundee Partnership	6 December 2000
• Endorsement of Evaluation Framework by Dundee Partnership	6 December 2000

Organisation Arrangements December-March 2001

- Establishment of steering group **1 December 2000**
- Design and preparation of draft 'Partnering' Specification **13 December 2000**
- Endorsement of 'Partnering' specification by Dundee Partnership **10 January 2001**
- Oversee the delivery of work required in the evaluation framework **January-March 2001**

Evaluation Fieldwork December – March 2001

- Gathering of monitoring data for Quantitative analysis **31 January 2001**
- Evaluation of SIP Project Activity (annual reports appraisal) **31 January 2001**
- SIP Project primary research (case studies) **28 February 2001**
- Qualitative Research field work **14 February 2001**
- Analysis of gathered research material **24 March 2001**

Draft Scottish Executive Evaluation Report March 2001

- Preparation of draft Evaluation Report to Dundee Partnership **7 April 2001**
- Steering Group to meet and deliberate on draft Evaluation Report **7 April 2001**
- Complete Evaluation Report **30 April 2001**
- Approval of Evaluation Report by Dundee Partnership **9 May 2001**

Final Scottish Executive Evaluation Report April 2001

Projected RESOURCES and COST

Additional Scottish Executive Evaluation funding	Staff Resources dedicated to Evaluation Work*	Quantitative Analysis Work	£2,500
		Qualitative Research	£2,500
		Project Analysis Work	£2,500
	Production of Evaluation Reports*	Materials	£1,000
		Technical Assistance	£1,500
		Printing Costs	£1,500
Estimated Cost			£11,500

*Estimated allocation of costs

The current arrangements for the monitoring and evaluation of the SIPs (geographic) includes work relating to Scottish Office Programme Level Monitoring. Both SIP and Dundee Partnership funding has been allocated for this purpose and is outlined in the Service Level Agreement.

APPENDIX 3

SOCIAL SURVEY 2001 – PROJECT PLAN

It is proposed that the 1995 Socio-economic Survey (T L Dempster), prepared on behalf of the Dundee Partnership, be repeated in 2001. The 2001 survey will again focus on each of the Social Inclusion Partnership targeted communities and will be designed to cover a broad range of issues (see overleaf).

It is, in part, to coincide with the SIP 1 mid-term evaluation, although the survey will be geared to the following broader main objectives:

- 1 monitor the baseline established in 1995;
- 2 provide a detailed profile of and address (up to date) need in the SIP 1 communities;
- 3 provide qualitative research on issues arising out of Scottish Executive, Partnership and Council strategies. *The survey design will need to reflect the linkages with these strategies;* and
- 4 feed into the evaluation process of the SIP 1 at this mid-term point.

The formal process of planning for the survey will include the formation of a working group to oversee the design of survey, its delivery, appropriate consultation with stakeholders and other aspects relating to policy and funding. The Social Survey work group consists of Partnership agencies and relevant Council departments.

TIMESCALE/Framework FOR IMPLEMENTATION

Project Plan and Consultation **September – November 2000**

- Establishment of Working Group
- Preparation of Project Plan
- Endorsement of Project Plan by Dundee Partnership
- Preparation of Committee Report and its approval in January 2001

Full Specification for Survey **November – January 2001**

- Design and preparation of Full Specification for Survey
- Consult with Partnership/Community Co-ordinating Group
- Preparation of Brief for Consultants

Tenders Offered **February 2001**

Confirmation of Tender **April 2001**

Consultation with Successful Consultant **June/July 2001**

Fieldwork **September/October 2001**

Draft Results Report

December 2001

Final Results Report

February 2002

PROJECTED COST

T L Dempster	Project Fees	£14,300
	Expenses	£1,900
	TOTAL	£16,200
Inflation	Estimated Cost	£20,000*

* A bid has been submitted on behalf of the Dundee Partnership for part funding through the SIP 1 Budget.

2001 SOCIAL SURVEY CONTENT (As T L Dempster 1995)

- 1 Perception of Community
- 2 Housing Profile
- 3 Attitudes toward current property
- 4 Information
- 5 Housing Migration
- 6 Local Environment
- 7 Safety and Security
- 8 Local Services
- 9 Education and Employment
- 10 Health