

## PHD BY PUBLICATION

### **Delivering sustainable neighbourhood regeneration in England through a period of policy shift organisational change informing future strategies**

Broughton, Kevin

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**Delivering sustainable  
neighbourhood regeneration in  
England through a period of policy  
shift: organisational change  
informing future strategies**

**Kevin Broughton**

**May 2017**

***A thesis submitted in partial fulfilment of the University's  
requirements for the Degree of Doctor of Philosophy***

## Contents

Section		Page
	Abstract	2
1	Introduction	3
2	Autobiographical Context for the research	8
3	Output Chronology: description of each Output in the Portfolio	10
4	Research Methodology, theories and practice that link the Outputs together	13
5	Evaluative Review of the contribution made by the Portfolio of Outputs	18
6	Impact of the Research: contribution to knowledge, policy and practice	45
7	Reflection on the candidate's development as a research practitioner	48
8	A statement on the contribution of other authors to the Outputs	49
9	References	51
	Appendix 1: CV (including relevant research outputs)	56
	Appendix 2: List of Outputs in the Portfolio (for ease of reference)	62

## Abstract

The outcomes of sustainable neighbourhood regeneration (NR) practice, delivered by a range of NR organisations, have offered a lifeline of support in many disadvantaged communities. However, since dramatic ‘policy shift’ following the financial crisis and installation of the Conservative Liberal-Democrat Coalition Government in 2010, sustainable NR practice has faced a radically changing and far more challenging landscape under ‘austerity’, threatening NR organisations’ ability to deliver such practice, in a context where inequalities continue to deepen. This Critical Overview Document (the ‘thesis’) draws together a coherent body of inter-related research, published between 2009 and 2013, to identify and conceptualise organisational factors considered critical to sustainable NR practice in the English context, and how these have changed following dramatic policy shift. First, using existing literature and empirical research findings from a set of case study NR organisations, the thesis identifies and conceptualises these organisational factors, framing them within an *‘NR Factor Menu’*. The empirical research is then drawn upon to characterise the process of dramatic policy shift and its impact on sustainable NR practice, manifest in how case study NR organisations are changing their operational activities. The thesis subsequently conceptualises these changes, representing them in a ‘post-policy shift’ NR Factor Menu. Representing a contribution to knowledge in this arena, this conceptualisation is then used to develop a better understanding of the broader role and nature of sustainable NR practice under ‘austerity’ and beyond, identifying the potential impacts of this for other NR organisations and communities. The conceptual explanation essentially identifies that dramatic policy shift has resulted in a ‘narrowing’ of those organisational factors critical to sustainable NR practice, brought about by a necessary focus on income generation and entrepreneurial activity. This has taken place through the development of new organisational factors – the ‘income generation engine’ and ‘organisational dynamism’. Such processes appear to have weakened community ownership of the NR process and, more broadly, reduced the importance of community advocacy and social mission in sustainable NR practice. This improved understanding informs policy and practice suggestions for other NR organisation strategies and further research.

## 1 Introduction

- 1.1 This Critical Overview Document (the 'thesis') draws together a coherent body of inter-related research, published between 2009 and 2013, on sustainable neighbourhood regeneration (NR) practice. It demonstrates how such practice has navigated a period of dramatic 'policy shift' in the English context, by examining the activities of a set of case study NR organisations over this time. The outcomes of sustainable NR practice have offered a lifeline to many disadvantaged communities, but such practice now faces a radically changing and far more challenging environment.
- 1.2 Subsequent to a brief review of the literature on declining neighbourhoods and NR policy, empirical research from a set of case study NR organisations is used to identify organisational factors considered critical to sustainable NR practice *before* dramatic policy shift, framing these factors conceptually within an '*NR Factor Menu*'. The thesis then draws on the empirical research to characterise the process of dramatic policy shift from the perspective of the case study NR organisations and their practice. Following an analysis of these NR organisations' practice responses to policy shift, the thesis further conceptualises the changes to the NR Factor Menu *following* policy shift. Representing a contribution to knowledge for the topic of NR, this conceptualisation is then used to develop a better understanding of the broader role and nature of sustainable NR practice under 'austerity' and beyond.
- 1.3 The conceptual explanation identifies that policy shift has 'narrowed' those organisational factors critical to sustainable NR practice, resulting from a necessary focus on income generation and entrepreneurial activity. This has been undertaken via the development of new organisational factors – the 'income generation engine' and 'organisational dynamism'. Such processes appear to have weakened community ownership of the NR process and, more broadly, reduced the importance of community advocacy and social mission in sustainable NR practice.
- 1.4 The thesis concludes by utilising this improved understanding to inform the development of policy and practice suggestions for other NR organisation strategies and directions for further research.

Definitions of concepts and terminology for the thesis

- 1.5 'Sustainable neighbourhood regeneration practice' can be interpreted in numerous ways. For the purpose of this thesis – and adapting Roberts and Sykes' (2000) definition of *urban* regeneration – 'sustainable NR practice' is defined as practice which aims to support *disadvantaged neighbourhoods* through the design, management and delivery of a suite of holistic, integrated 'area-based' social, economic, physical and/or environmental initiatives at the local neighbourhood scale.
- 1.6 This thesis interprets the term '*sustainable*' in sustainable NR practice as 'longevity' in the provision of support to disadvantaged neighbourhoods (rather than environmentally sustainable, although this might be one element of the longer-term needs of such neighbourhoods). Such an interpretation is based on evidence suggesting that, despite a range of short-term NR programmes aiming to bring such neighbourhoods back into 'the mainstream', disadvantaged neighbourhoods on the whole *remain* disadvantaged (Matthews, 2012; van Gent *et al*, 2009; Rhodes *et al*, 2005; Anderson, 2002). Therefore *continuing* support (of which neighbourhood regeneration can be one instrument) is considered critical for disadvantaged neighbourhoods, in order to mitigate the persistence of its effects (see for example, Joseph Rowntree Foundation, 2014; Tunstall and Coulter, 2006), making such areas 'better places to live' (CLG, 2010). It is acknowledged, however, that continued support does not always mean the same *type* of support or same *levels* of support over time – changes in the wider working environment can enable or hinder the role and nature of such support, as explored in this thesis.
- 1.7 This definition of 'sustainable NR practice' used in this thesis should not be confused with the concept of 'sustainable communities' – a political agenda largely concerned with the then Labour Government's 'Sustainable Communities Plan' launched in 2003. Underpinned by economic goals, this national strategy imposed Regional Spatial Strategies, Regional Housing Strategies and local Sustainable Communities Plans which aimed to address regional housing shortages in areas of high demand (the south east) whilst reviving demand in areas of housing market decline, such as parts of the Midlands and the North (ODPM, 2003). As such, 'sustainable communities' was primarily characterised by urban development or brownfield

urban regeneration driven by new housing on a large-scale, rather than already-existing disadvantaged neighbourhoods and their regeneration at local level. Nevertheless, through the work of Egan (2004), the 'sustainable communities' agenda was able to offer useful tools which could also help improve understandings of sustainable NR practice, as highlighted by Output 1 and Output 4 in this thesis.

- 1.8 The definition of a 'neighbourhood regeneration organisation', for this thesis, is guided by the definition of 'sustainable NR practice' outlined above (adapted from Roberts and Sykes, 2000). Thus, NR organisations are defined as organisations whose primary aim is to support *disadvantaged neighbourhoods* through the design, management and/or delivery of a suite of holistic, integrated 'area-based' social, economic, physical and/or environmental initiatives at the local neighbourhood scale. Such a definition encompasses a wide variety of organisations, as demonstrated by the case study NR organisations in this thesis, which comprise: a local authority-funded Neighbourhood Management group; a central government-funded NR programme partnership organisation, and its independent 'successor' organisation; a multi-agency partnership; a regeneration agency-funded 'work-based learning programme' for regeneration practitioners; and an independent NR organisation based from the voluntary and community sector (VCS). More broadly, NR organisations can include: 'top-down', 'policy-initiated', state-led organisations; large independent social housing organisations; sub-contracted commercial delivery agents; and/or 'bottom up' VCS organisations, amongst others (see for example, Lupton and Fitzgerald, 2015; Taylor *et al*, 2007; Thake, 2001).

#### Relevance of the thesis

- 1.9 Investigating how sustainable NR practice has navigated a period of dramatic policy shift (via the activities of NR organisations) is *timely* for a number of reasons. First – emerging in 2008, but primarily since 2010 – the political and economic context for sustainable NR practice in England has radically changed. Driven in part by the UK Coalition Government's programme of public spending 'austerity' following the global financial crisis, government policy has dramatically shifted attention and resources away from NR programmes, projects and practice (Lupton and Fitzgerald, 2015). This has placed remaining NR organisations and their practices in a position of

severe vulnerability, leaving those disadvantaged neighbourhoods they serve at risk of becoming even more marginalised (Clayton *et al*, 2016; Jones *et al*, 2016).

- 1.10 Second, wider issues of inequality and disadvantage in neighbourhoods *remain just as prevalent*, if not more, than during the pre-austerity period of New Labour (Beatty and Fothergill 2016; Platts-Fowler and Robinson, 2016; Hamnett, 2014; Beatty and Fothergill, 2013), when NR was high on the political agenda. This is not expected to improve as austerity could persist until 2025<sup>1</sup>, particularly given the uncertainty of 'Brexit'. NR organisations have historically offered a lifeline of support to those experiencing the effects of inequality and disadvantage, aiming to maintain and improve the well-being and conditions of some of the poorest communities (TSRC, 2014; Cox and Schmuecker, 2013; Hewes and Buonfino, 2010; Kendall, 2003). This lifeline is now under severe threat, potentially deepening inequalities further.
- 1.11 Third, the role and nature of '*urban regeneration*' in this austere context has received some recent academic attention, forcing a re-think about the concept in academic circles and opening up critical conceptual debates (Pugalis *et al*, 2014). There has been far less thought, however, on the role and nature of *neighbourhood regeneration* under austerity in disadvantaged areas. Little evidence exists in the literature on how sustainable NR practice is evolving (via strategies, organisational structures and operationally) as a result of austerity. Even less research has explored changes in those *critical organisational factors underpinning sustainable NR practice* in this landscape. As Pugalis suggests: "...there is a need for new empirical insights of actually existing regeneration resignifications in the UK..." (2016, p70), both for the present and for any potential renaissance of NR policy in the future.
- 1.12 Responding to the key concerns and research gap outlined above, and drawing on the presented Portfolio of Outputs, the overall Research Aim and specific Research Questions for the thesis are outlined below.

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<sup>1</sup> Source: <http://www.telegraph.co.uk/business/2017/03/12/budget-2017-tax-burden-course-climb-40-year-high/> accessed 3.5.17



### Aims and Research Questions

1.13 The aim of this thesis is: **Develop a new conceptual explanation of changes in organisational factors critical to sustainable NR practice following dramatic policy shift in England, to better understand the role and nature of such practice in an austere climate and beyond, which can inform policy and practice suggestions and further research.** To achieve the research aim, a number of research questions need to be addressed:

- I. In the context of recent explanations of neighbourhood decline, and policies and initiatives to address neighbourhood disadvantage: what organisational factors critical to delivering sustainable NR practice in the English context before dramatic policy shift can be identified and conceptualised from a set of case study NR organisations?
- II. How has the landscape for the case study NR organisations changed due to policy shift, and what was the impact of this changing landscape, in terms of challenges and opportunities for these NR organisations?
- III. Observing the case study NR organisations' practice responses to dramatic policy shift, how have 'pre-shift' organisational factors been affected and how can such changes be conceptualised?
- IV. How can this new conceptualisation (acknowledging its limitations) develop a better understanding of the role and nature of sustainable NR practice more broadly under austerity and beyond, and inform policy and practice suggestions for other NR organisation strategies and further research?

1.14 These research questions are addressed in the main 'Evaluative Review' of the selected Portfolio of Outputs (**Section 5**). The Portfolio of Outputs underpinning this thesis has been carefully selected to offer a coherent and robust argument to address the research questions and overall research aim. It should be noted that not all of my works on sustainable NR practice have been included in this Portfolio – only those that coherently and consistently support the thread of argument in the thesis. A list of other published or significant research outputs not included in this thesis submission is outlined in Appendix 1, as part of my CV at the time of submission.

1.15 By bringing together a coherent and inter-related Portfolio of research Outputs, and in line with Coventry University's guidance for a PhD by Portfolio, it is asserted that the evidence, arguments and new knowledge in this Critical Overview Document:

- Provide robust evidence of a *detailed understanding and application of accepted methodologies and techniques* for academic research and advanced enquiry.
- Confirm the *systematic acquisition and understanding* of a substantial body of knowledge *at the forefront of academic understanding* in the topic area of NR.
- Deliver proof of *originality of thinking* via the Outputs in the Portfolio, the majority of which have been peer-reviewed and published in academic journals and thereby accepted as being at the forefront of knowledge in the 'discipline'.
- Demonstrate evidence of a *conceptual contribution to knowledge* in this arena and its utilisation, to inform future NR organisation strategies under austerity, and proposals for further research.

1.16 Demonstrating the above, this Critical Overview Document is organised as follows:

- **Section 2:** An autobiographical context for the research
- **Section 3:** Output chronology – a description of each Output in the Portfolio
- **Section 4:** A review of the research methodology, practice and theories that link the Outputs together
- **Section 5:** An Evaluative Review of the contribution of the Portfolio of Outputs
- **Section 6:** An assessment of the impact of the research in terms of its contribution to knowledge, policy and practice
- **Section 7:** Reflections on the candidate's development as a research practitioner
- **Section 8:** A statement on the contribution of other authors to the Outputs
- **Section 9:** References.

## 2 Autobiographical Context for the research

2.1 I have undertaken research on sustainable NR since at least 2001, involving academic research, applied research and practice-based evaluations of NR programmes and projects across England. Research was mostly undertaken in various West Midlands' universities, but also over two years in a private consultancy company, resulting in a mix of academic, policy and practitioner knowledge. Prior to the Outputs in this Portfolio (**see Section 3**), key examples of research reflecting my development as a research practitioner in the field of sustainable NR practice (see CV in Appendix 1) include:

- 2001 – 2003: Supporting research into “Neighbourhoods that Work: a study of the Bournville Estate in Birmingham”, for the Joseph Rowntree Foundation, whilst a Research Assistant in the Centre for Public Policy and Urban Change, at the University of Central England (now Birmingham City University).
- 2002 – 2003: Assisting in evaluations of Single Regeneration Budget (SRB) programmes (“Community survey baseline development project” for Pride in Camp Hill SRB5 programme in Nuneaton and the North Solihull SRB Programme Evaluation), again as a Research Assistant at the University of Central England.
- 2003 – 2005: “Evaluation of the Children’s Fund programme”, for the DfES, whilst a Research Fellow in the National Evaluation of the Children’s Fund team, School of Public Policy, at the University of Birmingham.
- 2005 – 2007: Evaluations of a range of New Deal for Communities projects and Sure Start Children’s Centre initiatives across England, whilst a Research Consultant at M.E.L. Research Limited, Birmingham
- 2008 onwards: Evaluations of various New Deal for Communities and other NR programmes, whilst a Research Fellow at Coventry University, Coventry.

2.2 My research expertise in sustainable NR practice has resulted in a total of 52 applied or academic research outputs involving: journal articles (8); a book chapter; national or international conference presentations (7) including published conference proceedings, and; numerous applied research reports (36) for NR organisations, local authorities and government departments. In terms of impact (**see Section 6**), the research has informed conceptual, policy and practice debates at local, regional and national levels, and assisted in improving the efficiency, effectiveness and accountability of NR programmes and projects in disadvantaged communities.

### **3 Output Chronology: description of each Output in the Portfolio**

3.1 This thesis is comprised of a Portfolio of **seven Outputs** from research on NR organisations and sustainable NR practice, undertaken between 2007 and 2013, whilst employed as a Research Fellow at Coventry University. These Outputs involve:

- An applied research report from 2009, and an accompanying 2010 presentation
- A published applied research report from 2010
- Five peer-reviewed journal articles published between 2010 and 2013.

3.2 To ensure the development of a coherent narrative and argument which best addresses the research questions and the research aim, a 'Logic Pathway' has been developed (see **Figure 1** on page 11) to 'phase' the Outputs appropriately. **In doing so it should be noted that the Logic Pathway sequences the Outputs in non-chronological order.** The Evaluative Review of the Portfolio of Outputs (**Section 5**) is thus structured by the phasing of the Logic Pathway as the most appropriate approach to addressing the research questions and research aim.

3.3 The Logic Pathway orders the Portfolio of Outputs in the following way:

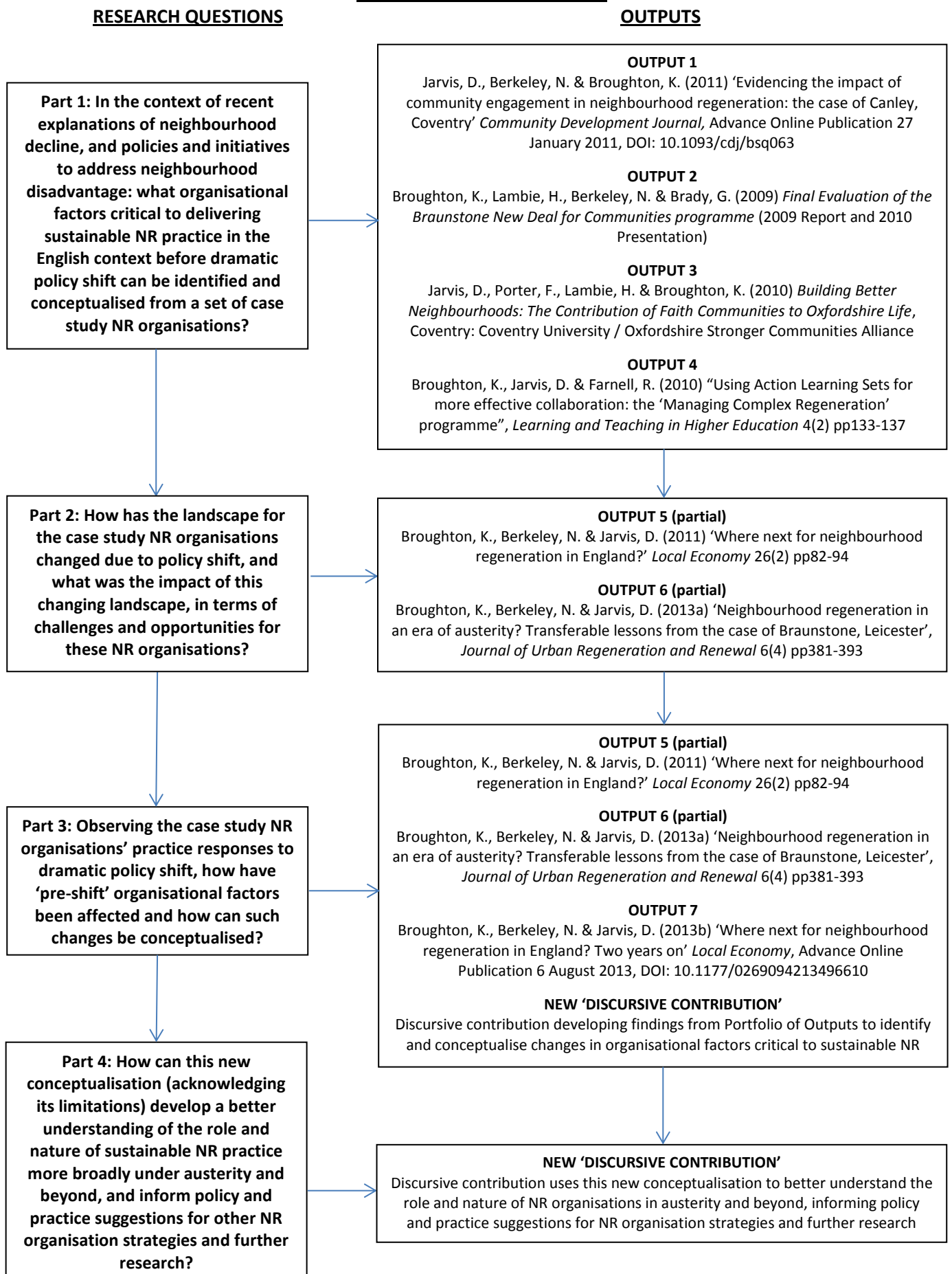
- **Output 1:** Jarvis, D. Berkeley, N. and Broughton, K. (2012) **"Evidencing the impact of community engagement in neighbourhood regeneration: the case of Canley, Coventry"**, *Community Development Journal* DOI: 10.1093/cdj/bsq063 (Advance Online Publication, 27 January 2011). Print version April 2012 in *Community Development Journal* 47 (2) pp232-247. This is a peer-reviewed journal article.
- **Output 2:** Broughton, K., Berkeley, N., Lambie, H. and Brady, G. (2009) ***The Final Programme Evaluation of the Braunstone New Deal for Communities programme***, Leicester: Braunstone Community Association / Coventry University. This is an applied research report and accompanying 2010 presentation.
- **Output 3:** Jarvis, D., Porter, F., Lambie, H. and Broughton, K. (2010) **"Building Better Neighbourhoods: The Contribution of Faith Communities to Oxfordshire Life"**, Oxford: Oxfordshire Stronger Communities Association. This is an applied

research report published in June 2010, essentially Chapter 7 ***“Faiths and the Public Sector”***.

- **Output 4:** Broughton, K., Jarvis, D. and Farnell, R. (2010) **“Using Action Learning Sets for More Effective Collaboration: the ‘Managing Complex Regeneration’ programme”** *Learning and Teaching in Higher Education (LATHE)* 4 (2) pp133-137. This is a peer-reviewed journal article published in September 2010.
- **Output 5:** Broughton, K., Berkeley, N. and Jarvis, D. (2011) **“Where next for neighbourhood regeneration in England?”**, *Local Economy* 26 (2) pp82-94. This is a peer-reviewed journal article published in March 2011.
- **Output 6:** Broughton, K., Berkeley, N. and Jarvis, D. (2013) **“Neighbourhood Regeneration in an Era of Austerity? Transferable Lessons from the case of Braunstone, Leicester”**, *Journal of Urban Regeneration and Renewal* 6 (4) pp381-393. This is a peer-reviewed journal article published in July 2013.
- **Output 7:** Broughton, K., Berkeley, N. and Jarvis, D (2013) **“Where next for neighbourhood regeneration in England? Two Years On”**, *Local Economy* 28 (7-8) pp817-827. This is a peer-reviewed journal article published in August 2013.

**Figure 1** below illustrates diagrammatically how the Logic Pathway sequences the Portfolio of Outputs in order to best address the Research Questions, and the overall Aim. A full justification is then provided in the subsequent Methodology chapter.

**Figure 1: Logic Pathway**



#### **4 Research Methodology, theories and practice that link the Outputs together**

- 4.1 To justify the Logic Pathway, below is an explanation of the theories, concepts research philosophy and methodological approaches that link the Outputs together, along with the originality and logic for the phasing of each Output.

##### Theories and conceptual explanations that link the Outputs

- 4.2 In order to address the Research Questions and overall aim, the research draws on a number of theoretical and conceptual explanations (accepted by various academic disciplines) which link all of the Outputs. For context, theoretical explanations of neighbourhood decline (e.g. deindustrialisation) are acknowledged via the literature used in the Outputs. Also for context, the literature in the Outputs is used to conceptualise recent NR policy, drawing on theories of communitarianism, community development and social capital, as well as the concept of a Western European paradigm of urban renewal. The 'policy shift Cs' typology outlined in Output 5 also provide a conceptual grounding for Outputs 6 and 7. For the *core contribution to knowledge* drawn from the Outputs, the changes in the NR Factor Menu represent a conceptualisation of changes in organisational factors critical to sustainable NR practice during policy shift. Changes in the NR Factor Menu are informed by concepts of governance and marketisation within a neo-liberalist framework, offering an enhanced understanding of the role and nature of sustainable NR practice more broadly under austerity and beyond.

##### Philosophical approach of the various Outputs

- 4.3 The philosophical approach of all the research studies behind the Outputs in the Portfolio is considered appropriate for addressing the Research Questions and aim of this thesis. All Outputs have a common thread – they essentially *seek to understand the environment within which actors aiming to deliver sustainable NR practice in disadvantaged neighbourhoods operate and interact*. For this thesis, it is assumed that social phenomena (of organisations, disadvantaged neighbourhoods and policy contexts) are not 'fixed' in a pre-determined state (as an 'objectivist' ontology would assume) – they are dynamic 'open systems' and social actors are able to have *some* influence on them and in them (Patton and Appelbaum, 2003). *All Outputs are thus guided by the ontological position of 'social constructionism' – i.e. that our knowledge of reality is socially constructed because our understandings of social phenomena are the result of human social interaction (Robson, 2011). Social*

actors involved in sustainable NR practice must make sense of the dynamic contexts and organisations in which they operate, in order to act on them whilst attempting to deliver sustainable NR practice. In order to investigate and understand such sense-making, the epistemological position of the research in all of the Outputs therefore follows an ‘interpretivist’ approach (Bryman, 2008), as the focus of the research is on understanding social action – i.e. social action in delivering sustainable NR practice through NR organisations, in an environment of change.

#### Methodological Approach of the various Outputs

4.4 The *methodological* approaches of the research behind the Outputs are also considered appropriate to address the Research Questions and research aim. These seek to answer questions of ‘why’ and ‘how’ (Blaikie, 2007). Essentially, *‘why’ and ‘how’ are actors aiming to deliver sustainable NR practice navigating change in the policy environment in those ways?* Addressing such questions requires the investigation of various groups of social actors (individuals and organisations) engaging in complex processes within their natural contexts (Meyer, 2001). Such investigations best lend themselves to a predominantly intensive, in-depth qualitative research approach (Stake, 1995) – the most pragmatic route being through empirical case studies (Yin, 2003). The studies for *all* the Outputs undertook such an approach, with variations on this theme – some Outputs were undertaken in conjunction with quantitative research methods, i.e. a ‘mixed methodology’ (Swanborn, 2010). The case studies are characterised by the following:

- A primarily qualitative assessment of a local authority funded NR programme’s engagement of residents in a disadvantaged Coventry neighbourhood (Output 1)
- A mixed methods evaluation of a central government funded NR programme (Output 2) and a primarily qualitative assessment of its successor organisation (Output 6) in a disadvantaged neighbourhood in Leicester
- A mixed methods assessment of a multi-agency partnership focused on improving various disadvantaged neighbourhoods in Oxfordshire (Output 3)
- A qualitative assessment of a work-based learning programme funded by a Regional Centre of Excellence for Regeneration involving practitioners from a wide range of regeneration organisations across the West Midlands (Output 4)
- Qualitative research with key stakeholders in NR organisations in disadvantaged neighbourhoods in the East and West Midlands (Outputs 5 and 7).



### Limitations to the Research

- 4.5 It is acknowledged that the research comprising this thesis has its limitations. First, the number of case studies drawn on is very limited and does not represent all contexts in which sustainable NR practice has recently taken place in England. Thus, the findings and conclusions of this thesis are arguably *particular* to the cases investigated and methodologies deployed – the extent to which these might be *generalised* is therefore limited (Bryman, 2008; Hammersley, 1992). However, this is not to say that such case study-based research does not represent a conceptual contribution to knowledge<sup>2</sup> – designed well, such research is as robust a method as any (Flyvbjerg, 2006). First, common findings are identified from across the set of cases via ‘cross-case generalisation’ and such corroboration improves the reliability of the research (Simons, 2009). Second, the conceptual explanation developed in the thesis should simply be treated with caution as *speculative* and *emergent* – to be tested, confirmed and/or challenged via its applications in other NR contexts, before being proposed more widely<sup>3</sup>.
- 4.6 A further limitation is that no completely ‘standardised’ methodology was used across all case studies, which would further improve the reliability of the research (Gerring, 2011). The research studies in the Outputs underpinning this thesis were dictated by their original drivers, which were not cognisant of development into a thesis at the time of their undertaking. All of the research studies behind the Outputs *did* include a review of relevant literature and semi-structured interviews with key stakeholders. However, other variations in research methods were used in particular Outputs, such as: quantitative analysis of programme performance data; longitudinal surveys of residents; project evaluations; resident focus groups; critical policy analyses, and; suggested transferable lessons and future strategies. However, such methods often resulted in data that assisted in the corroboration of the findings from the qualitative research, which again improves their reliability.
- 4.7 Finally, it should also be noted that the *level* of resource available to NR organisations is not identified as an ‘organisational factor’. Levels of resource *are* (of

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<sup>2</sup> This is arguably acknowledged by the acceptance of the majority of the Outputs in academic peer-reviewed journals – see Section 6.5.

<sup>3</sup> I am currently in the process of developing research which explores other contexts involving a range of other NR organisations, to test this conceptual explanation more extensively.

course) crucial, but the focus of this thesis is on *how sustainable NR practice has changed* given the level of resource available *as part of changes in the wider policy environment*, and the implications of such change.

#### Phasing of the Portfolio of Outputs

4.8 The Portfolio of Outputs is phased in such a way as to address the key Research Questions in order to achieve the research aim: Develop a new conceptual explanation of changes in organisational factors critical to sustainable NR practice following dramatic policy shift in England, to better understand the role and nature of such practice in an austere climate and beyond, which can inform policy and practice suggestions and further research. To introduce the main evaluative section, the *specific methodological strategy* in how the Portfolio of Outputs is used in the thesis, along with the *originality* of each Output, is outlined here:

- Informed by literature in **Outputs 1 to 4**, the research first locates sustainable NR practice within explanations of neighbourhood decline and recent NR policy and programmes developed by government. Outputs 1 to 4 offer analyses of new empirical data from case studies of NR organisations delivering sustainable NR practice in a ‘pre-policy shift’ environment. The primary originality of Outputs 1 to 4 lies in their identification and initial conceptualisation of organisational factors considered critical to sustainable NR practice before dramatic policy shift, illustrated by an ‘NR Factor Menu’.
- The research then draws upon **Output 5’s** original conceptualisation of the “triple whammy” to explain the key drivers of dramatic policy shift for NR. It utilises Output 5’s novel conceptual typology of the “10 Cs” to explain how the NR landscape was changing, offering propositions on the impact of such changes on NR organisations via the broader challenges and opportunities they faced. To complement this, the research also utilises **Output 6’s** analysis of the impact of policy shift on a specific case study NR organisation, assessing its particular challenges and opportunities. The research then draws upon Output 5’s conceptual ‘extension’ of Roberts and Sykes’ (2000) original conceptualisation of the broader ‘phases’ of regeneration, to suggest what an austere ‘post-policy

shift' NR practice landscape might look like for NR organisations throughout the '2010s'.

- Drawing on **Outputs 5, 6 and 7** the research identifies empirical examples of how NR organisations have responded to dramatic policy shift. A new discursive contribution subsequently identifies and conceptualises changes to the 'NR Factor Menu' following policy shift.
- The new 'NR Factor Menu' conceptualisation is then used to develop a better understanding of the role and nature of sustainable NR practice more broadly under 'austerity' and beyond. This better understanding then informs policy and practice suggestions for other NR organisation strategies, and further research.

4.9 The linkages between, and coherence of, all Outputs are now demonstrated in the following Evaluative Review of the contribution made by the Portfolio of Outputs, through addressing the research questions and research aim outlined in Section 1.7 above.

## 5 Evaluative Review of the contribution made by the Portfolio of Outputs

### Introduction

- 5.1 This section provides an Evaluative Review of the contribution to knowledge made by the Portfolio of Outputs, structured by the four Research Questions and subsequent Logic Pathway. First, the Evaluative Review outlines the contextual background for sustainable NR practice. Using evidence from the Outputs, it then identifies and conceptualises (via an 'NR Factor Menu') a set of organisational factors critical to sustainable NR practice *before* policy shift. The Review subsequently characterises the policy shift environment, assessing its impact on the case study NR organisations. It then identifies these organisations' responses to policy shift through their practice, identifying and conceptualising how this modifies the NR Factor Menu following policy shift. This conceptualisation is used to develop a better understanding of the role and nature of sustainable NR practice more broadly under austerity and beyond, offering policy and practice suggestions for other NR organisation strategies and further research. The Evaluative Review concludes by illustrating that it has addressed the research questions and research aim, thereby demonstrating the contribution to knowledge made by the Portfolio of Outputs and its development through this thesis.
- 5.2 The thesis now presents the Evaluative Review by addressing each of the Research Questions in turn (see Figure 1) beginning with Research Question 1 (Part 1).

### **PART 1: Organisational Factors critical to sustainable NR before Policy Shift**

***In the context of recent explanations of neighbourhood decline, and policies and initiatives to address neighbourhood disadvantage: what organisational factors critical to delivering sustainable NR practice in the English context before dramatic policy shift can be identified and conceptualised from a set of case study NR organisations?***

- 5.3 This section provides context through recent explanations of neighbourhood decline and policies and programmes to address it. It then identifies and conceptualises organisational factors critical to sustainable NR practice through the development of an 'NR Factor Menu' for the period prior to policy shift.

- 5.4 **Output 1, “Evidencing the impact of community engagement in neighbourhood regeneration: the case of Canley, Coventry”** (Jarvis, Berkeley and Broughton, 2011 [print version 2012]), is a peer-reviewed journal paper that firstly situates sustainable NR practice within explanations for neighbourhood decline and recent government policy for NR in England. The paper was originally developed from community-based research undertaken from November 2007 to February 2008 in the ‘Canley’ neighbourhood for Coventry City Council, to evaluate the community engagement process in the development of the ‘Canley Regeneration Framework’.
- 5.5 The **Output 1** paper asserts that explanations for neighbourhood decline in the UK and EU are well-rehearsed. These include structural factors such as: the collapse of traditional industries; societal change; perceived increases in social mobility, and; social housing policies that have concentrated the poorest citizens in disadvantaged neighbourhoods (Evans, 1998; Power and Mumford, 1999; Lupton, 2003; Jones and Evans, 2008; Robson, Lympelopoulou and Rae, 2008). Historically, across the EU and UK, neighbourhood decline has been a key policy concern and government programmes have attempted to address the complex ‘wicked problems’ involved – problems which remain despite persistent intervention (van Gent *et al*, 2009; Anderson, 2002). Conceptually, Musterd and Ostendorf (2008, p78) suggest that since the 1990s a Western European ‘urban renewal paradigm’ has emerged, comprising an *integrated* ‘area-based approach’ involving ‘public and market partners and residents’. In the UK (particularly England) since 1997, successive ‘New Labour’ government policy on tackling neighbourhood decline was embedded within this paradigm, seeking to integrate economic, physical and social regeneration goals.
- 5.6 The paper critically reviews NR policy and programmes under successive ‘New Labour’ governments from 1997 to 2010. It suggests New Labour’s approach to neighbourhoods differed from that of the previous Conservative administration. New developments involved (a) the *allocation* of resources to disadvantaged neighbourhoods based on quantitative evidence of multiple deprivation, rather than through an ‘open to all’ bidding process (as under the SRB programme), and (b) emphasis on communities being ‘central’ to the NR process. During New Labour’s first term, a new ‘National Strategy for Neighbourhood Renewal’ (NSNR) aimed to ‘narrow the gap’ in standards of living between England’s most deprived

neighbourhoods and the national average (SEU, 2001). The NSNR also provided further funding for Labour's other recently established area-based programmes ('New Deal for Communities' (NDC) and 'Sure Start'). A Neighbourhood Renewal Fund (NRF) and Neighbourhood Management Pathfinder (NMP) pilots were also established for neighbourhoods in the most deprived local authorities in England.

5.7 New Labour's NR policy was characterised by four dimensions: supply side interventions; devolved responsibility (via Regional Development Agencies) to neighbourhoods; joined-up governance via multi-agency, multi-sector partnerships, and; community involvement. The commitment of communities was considered critical to successful NR – this 'Third Way' assumption was rooted in concepts of communitarianism and social capital (Etzioni, 1997; Putnam, 1995; Kearns, 2003). Programmes aimed to: develop capacity, confidence and skills via 'empowerment' activities; enhance networking and co-ordination, and; enable communities to influence local service delivery. The NSNR also stressed the need for local 'partnership' working between public services, businesses, VCS organisations and residents, to address problems of silo-working and to place communities at the centre of NR processes.

5.8 New Labour's NR programmes, however, fundamentally remained embedded in the traditional 'area-based initiative' (ABI) model of regeneration, which has a history of criticism. Critiques of ABIs include a lack of evidence in addressing 'people' poverty (Oatley, 2000) and exacerbation of the 'neighbourhood effect' whereby the 'better off' move to 'better' areas, only to be replaced by poorer households, resulting in greater concentrations of deprivation over time (Atkinson and Kintrea, 2001; Lupton, 2003; Dekker, 2007). Community engagement also had its criticisms, including: limited community capacity to engage; inadequate specialist knowledge and skills; substantial time demands for residents; friction between residents; lack of trust of local government; difficulties in quantifying its impact; and political pressures to achieve 'quick wins' (Robinson *et al*, 2005). Others suggest community engagement is a tokenistic 'top-down' process, illicitly used to gain political legitimacy for state interventions imposed on communities (Davies, 2009; Chatterton and Bradley, 2000; Taylor, 2003; Coaffee, 2004). Criticism of area-based

approaches has been longstanding, yet ABIs have survived such disparagement and did so again for the vast majority of the 2000s.

- 5.9 **Output 1** identifies that the concept of 'Sustainable Communities' was given a political platform in 2003 with the introduction of the Sustainable Communities Plan by the then Labour Government (ODPM, 2003). Primarily aiming to address regional housing shortages, it also required local authorities to produce Sustainable Community Strategies to implement the vision of 'places where people want to live now and in the future' (ibid, p56). Somewhat late, this was followed by Egan's (2004) conceptualisation of what comprises a 'sustainable community'. This involved an aspirational roadmap of eight themes: governance; transport and connectivity; services; environmental; economy; housing and the built environment, and; social and cultural. Stakeholders involved in 'place-making' were encouraged to utilise Egan's 'model' as an evaluation framework to assess the 'sustainability' of newly developing places or existing places, along with the *skills* needed to deliver them (issues that **Output 4** below explores). Given the above, the Sustainable Communities agenda is not to be confused with sustainable NR practice (see Section 1.2), but some of the thinking and tools arising from the Sustainable Communities agenda may *inform* sustainable NR practice (as shown via Output 1 and Output 4).
- 5.10 An empirical case study of a disadvantaged neighbourhood in Coventry (Canley) was used in Output 1 to apply Egan's model in order to broadly assess its status before embarking on the regeneration process. Applying Egan's model analytically, Output 1 utilised a range of empirical data to confirm that Canley was a neighbourhood beset by longstanding processes of decline and a lack of sustainability across almost all of Egan's eight 'themes'. Indeed, Canley was in the top 20% of deprived neighbourhoods in England prior to the regeneration strategy. Under Egan's 'governance' theme, the analysis identified 'community engagement' between local residents and the local authority as a particular area of mistrust, though this was already well-known locally. Nevertheless, this issue clearly needed significant attention in the design and development process of the 'Canley Regeneration Framework', which **Output 1** assessed via the collection and analysis of qualitative data (and some quantitative data) from residents and professionals involved.

- 5.11 The research then identified a number of ‘organisational factors’ considered crucial to the development of sustainable NR practice. The first and most significant of these was the ‘cruciality’ of community engagement – more specifically that resident representatives felt there was some **community ‘ownership’ of the NR process (Factor 1)** during the development of the regeneration strategy. This factor was considered critical in generating a broad consensus towards the development of the ‘Canley Regeneration Framework’. However, underpinning this achievement was the determination of increasingly trusted ‘neighbourhood management’ officers to maintain and progress engagement relationships. These officers were brought in as part of a neighbourhood management scheme established across all disadvantaged parts of the city, driven by wider government policy. These embedded council officers essentially provided a conduit for advocacy, offering **brokerage (Factor 2)** between residents’ concerns and senior decision-makers in a local authority which had resources to move things forward. This assisted in legitimising and driving forward the Framework at city level, where political power and resources resided. It also gave Canley greater visibility and legitimacy in the city’s institutional and political landscape. This **institutional positioning (Factor 3)** is a further organisational factor critical to sustainable NR practice.
- 5.12 Evidence from **Outputs 2, 3 and 4** has coherence with the findings from Output 1, as these Outputs also provide evidence appropriate to organisational factors considered critical to sustainable NR practice. **Output 2** is an applied research report and accompanying presentation, **“The Final Programme Evaluation of the Braunstone New Deal for Communities programme”** (Broughton, Berkeley, Lambie and Brady, 2009). In 1999, Braunstone was a disadvantaged estate on the southwest periphery of Leicester. That year, the Braunstone Community Association or BCA (now the Braunstone Foundation and B-Inspired) was established as the local NDC partnership organisation responsible for delivering a 10 year, £49.5m NR programme in the area. Research undertaken from October 2008 to December 2009 resulted in a final evaluation and sustainability report and presentation for the BCA.
- 5.13 The programme evaluation in **Output 2** found that Braunstone NDC’s performance outcomes were above average, as one of the more ‘successful’ programmes of the 39 NDCs. By exploring the *processes* by which outcomes were attained, to learn



lessons for future sustainability, **Output 2** also identifies organisational factors critical to sustainable NR practice. As with Canley, it identifies the significance of BCA's robust commitment to **community 'ownership' of the NR process (Factor 1)**. The BCA largely comprised local residents and/or staff with strong connections to the area. It was vehement in its desire to 'own' the process of NR in Braunstone as far as possible, given a history of being let down by public agencies. But initial 'isolationist' strategies based on mistrust of outside agencies resulted in major barriers to delivery in the programme's initial phase. However, it was rapidly realised that **brokerage (Factor 2)** of constructive relationships with much-needed partners and stakeholders was vital to meeting community needs. Whilst challenging for the BCA, over time a more positive balance was struck between the desire for local control and the necessity for wider collaboration and resources to get things done. This was manifest in BCA's collaborative yet assertive negotiations and formal agreements with various agencies representing broader city-level interests.

5.14 Continued brokerage of collaboration, coupled with the financial incentives of NDC funding, resulted in the **institutional positioning (Factor 3)** of BCA as a key player within city-level structures over time. As a result, BCA was able to leverage resources from other stakeholder agencies, and acquire a new legitimacy in the political landscape at city level (similar to that in Canley in **Output 1**). Such legitimacy also assisted the BCA to negotiate more sustainable outcomes for local residents in later collaborations with agencies. (Such findings informed the critical investigation for **Outputs 5 and 7** and provide historical context for **Output 6**.)

5.15 **Output 3** is 'Chapter 7' in an applied research report, "**Faiths and the Public Sector**" in **Building Better Neighbourhoods: The Contribution of Faith Communities to Oxfordshire Life** (Jarvis, Porter, Lambie and Broughton, 2010). The report was the key deliverable of research into the contribution of 'faith communities' in supporting neighbourhoods in Oxfordshire. Chapter 7 offers findings from examples of joint-working between public agencies and leading actors of local faith organisations, aiming to enhance community well-being in neighbourhoods across Oxfordshire. **Output 3** provides evidence of another organisational factor critical to sustainable NR practice – that of **leadership (Factor 4)**. The Chapter examines research findings from examples of joint working between public service agencies and key actors in local faith organisations, which aimed to enhance well-being in neighbourhoods

across Oxfordshire. Agency stakeholders reported accounts of the commitment and enthusiasm of key actors in faith organisations to support public agencies around improving neighbourhoods. A range of distinct drivers were claimed to motivate such commitment, including: the willingness of faith groups to engage with public agencies; faith organisations' ability to 'mobilise' its communities into action; faith groups' access to wider communities, the 'hard to reach' and vulnerable people; and, making agencies more accountable to communities. Many of these drivers are underpinned by 'leadership' – not just leadership in terms of executive leadership, or faith organisations only, but in its broadest sense – ordinary people courageously rising to a challenge out of a sense of social justice, responsibility, duty or faith. This broader interpretation of leadership is thus a critical organisational factor in sustainable NR practice. More implicitly, **Outputs 1 and 2** also highlight the importance of leadership, from practitioners but also community representatives, in terms of their individual commitment to moving the NR process forward.

- 5.16 The **generic skills and knowledge (Factor 5)** of those involved in NR are also critical to sustainable practice. **Output 4** is a peer-reviewed journal article, *“Using Action Learning Sets for More Effective Collaboration: the ‘Managing Complex Regeneration’ programme”* (Broughton, Jarvis and Farnell, 2010). This paper examines outcomes of the 'Managing Complex Regeneration' (MCR) professional development programme for a range of regeneration practitioners. The MCR programme developed generic skills and knowledge by improving reflection on complex regeneration management problems, assisting participants to implement their own practice-based solutions. MCR was delivered by Farnell and Jarvis between 2005 and 2007, and Broughton, Farnell and Jarvis between 2007 and 2009. **Output 4** uses empirical evidence from MCR participants to illustrate the critical nature of generic skills and knowledge to sustainable NR practice, partially informed by Egan's (2004) *Skills for Sustainable Communities*, which recommended the development of generic skills for practitioners (rather than for communities). Findings show how practitioners working across organisational boundaries enhanced a range of generic skills through the MCR programme, such as relationship development, resulting in positive regeneration outcomes for their organisations.
- 5.17 The organisational factors considered critical to sustainable NR practice *before* policy shift have been identified and conceptualised in the analysis above, thus addressing

Research Question 1. First, evidence suggests that sustainable NR practice needed the ‘backing’ of community representatives who felt a sense of **community ‘ownership’ of the NR process (Factor 1)**. Outputs 1 and 2 illustrate different models to achieve this. Second, sustainable NR practice had to involve NR organisations engaging in **brokerage (Factor 2)**, advocating on the neighbourhood’s behalf with senior decision-makers of public agencies at more powerful and better-resourced levels of governance (e.g. city-wide). Outputs 1, 2 and 4 highlight that successful brokerage vehicles included individuals, organisations or institutional structures. Third, sustainable NR practice had to involve NR organisations attaining legitimacy in wider institutional and political frameworks via **institutional positioning (Factor 3)**, if they were to influence and access necessary resources. Fourth, there had to be **leadership (Factor 4)** in its broadest sense, whether local people rising to a challenge (faith leaders in Output 3), or individual practitioners and community reps with strong commitment to NR processes (Outputs 1 and 2). The final factor was the need for **generic skills and knowledge (Factor 5)**, to deal with the diverse complexity of issues that sustainable NR practice entails.

5.18 Prior to policy shift, there was a period of economic growth and a policy and funding environment supportive of NR. Evidence from Outputs 1 to 4 suggests that, during this period, sustainable NR practice required the following organisational factors:

- **Community ‘ownership’ of the NR process**
- **Brokerage**
- **Institutional positioning**
- **Leadership**
- **Generic skills and knowledge.**

5.19 These critical organisational factors are potentially subject to change over time. Given this, such organisational factors will, from now on, be conceptually framed within a dynamic ‘NR Factor Menu’. The NR Factor Menu will thus be utilised to conceptually frame *changes* in organisational factors critical to sustainable NR practice *following* policy shift. The organisational factors making up the NR Factor Menu would soon face a very different and challenging landscape as a result of dramatic policy shift, as explored under Research Question 2 (Part 2).

## **PART 2: POLICY SHIFT AND ITS IMPACTS ON NR ORGANISATIONS**

***How has the landscape for the case study NR organisations changed due to policy shift, and what was the impact of this changing landscape, in terms of challenges and opportunities for these NR organisations?***

5.21 **Output 5**, a peer-reviewed journal article *“Where next for neighbourhood regeneration in England?”* (Broughton, Berkeley and Jarvis, 2011), offers a critical examination of how the NR policy and practice environment was changing in the early stages of the Conservative-Liberal Democrat Coalition Government, as part of a broader aim to speculate conceptually on the future NR policy and practice landscape in England. The paper is based on research undertaken in late 2010 from interviews with a range of senior practitioners from NR delivery organisations, regarding their experiences of how the landscape for NR organisations was changing in a period of dramatic policy shift.

5.22 The paper first identifies the key drivers of dramatic policy shift in NR through a conceptualisation of consecutive events taking place between 2008 and 2010 – entitled the ‘triple whammy’. The triple whammy began with the 2008 credit crunch and subsequent recession putting pressure on public funding. Second, the planned phasing-out of key NR programmes such as NDCs began to be undertaken along with a shift in the emphasis of NR initiatives to economic, rather than social, aims (and with reduced funding) in response to the recession. The final element of the triple whammy was the instalment of the Conservative-Liberal Democrat Coalition involving dramatic policy shift, resulting from a broader programme of austerity to drastically reduce the public spending deficit.

5.23 The **Output 5** paper states that the triple whammy ultimately resulted in a political landscape which had little place for NR as a policy instrument. This changing environment involved: the abolition of Regional Development Agencies (RDAs), Government Offices for the Regions, Working Neighbourhoods Fund and Thames Gateway regeneration programme; a 33% cut in resources to the Department for Communities and Local Government (CLG) over 4 years; major cutbacks across budgets for all local authorities, severely weakening resources for neighbourhood management; and the abolition of local authority performance monitoring

frameworks and datasets such as Local Area Agreements. For some NR organisations, the initial impact of the triple whammy involved property value losses (which hindered Braunstone – see **Outputs 2 and 6**) and the stalling of regeneration frameworks dependent on land sales and strong land values (which threatened Canley – see **Output 1**). NR delivery organisations thus faced what appeared to be a policy environment ‘vacuum’, placing NR (and urban regeneration more broadly) at a crossroads in its future role and direction.

5.24 The changing policy environment resulted in a range of new circumstances for NR delivery organisations at local level. To better understand these, **Output 5** conceptualised a new typology of ten thematic developments – the “10 Cs” – identified as taking place at that time, which characterised dramatic policy shift. The Output 5 paper also identifies the potential challenges and opportunities arising from the 10 Cs. From now on these will be referred to as the “policy shift Cs”, as Output 7 later adds two further ‘Cs’ to the 10 C typology. For ease of reference, the first 10 “policy shift Cs” identified in **Output 5** involved:

- *Commissioning* challenges: Local authority cuts were resulting in ‘centralisation’ and ‘centralised localism’ of commissioning powers, for example from neighbourhood management levels to city-wide executive level, seriously diluting or removing the influential ‘brokerage’ (*Factor 2*) and co-ordination link between NR bodies and local authorities.
- *Co-ordination*: Austerity discourse emphasised ‘frontline’ delivery – back-office ‘co-ordination’ staff were considered superfluous. This marginalised those co-ordinating structures and roles considered essential to address the complexity of NR.
- *Consolidation*: Local authority funding cuts were resulting in consolidation of commissioning contracts, increasing their size and scale to reduce costs; only larger service providers with capacity and financial clout could respond to such contracts, squeezing out small NR organisations. Funding streams were also being consolidated and reduced.
- *Competition*: Cutbacks in funding increased competition for resources between neighbourhoods; the Localism Bill opened up new opportunities for (new) delivery organisations through the ‘right to challenge’ existing service providers;

in some cases, voluntary sector infrastructure bodies were now competing for funding with the very clients they supported.

- *Collaboration*: Opportunities were taken by some smaller NR organisations to merge, in response to larger-scale contracts and commissioning frameworks.
- *Commercial Sector*: NR organisations experienced: increased demand for employment support, as private sector job creation was not replacing public sector job losses; reductions in NR capital investment reduced private sector investment leverage, and; concerns over private sector dominance in decisions by the (then) new Local Enterprise Partnerships (LEPs).
- *Consumer models*: The policy of encouraging VCS organisations to utilise commercial business models was expanded further; in some cases the most vulnerable residents could be shut out by services becoming ‘fee-charging’; some NR organisations were delving into already low reserves to prevent this.
- *Employment creation over employment support*: In the recession, policy prioritised those closest to the labour market, marginalising those with higher support needs by pushing them further down the queue.
- *Data capture and management*: Local authorities had criticised Labour’s performance frameworks for being burdensome, but their abolition in 2010 resulted in a data vacuum whereby evidence of inequality between neighbourhoods and between local authorities became obscured.
- *Communities and inequalities*: the new challenges to local NR organisations appeared at odds with the Coalition Government’s new ‘Big Society’ and Localism agendas, which also disregarded the need for adequate resources to address the lack of a level playing field across different communities.

5.25 Collectively, the developments above highlighted the impact of a new emergent NR landscape on NR delivery organisations and their practice in the early 2010s. The paper then proposed what the broader landscape would ‘look like’ for NR organisations for the whole decade of the ‘2010s’ (see Table 1) by extending Roberts and Sykes (2000) conceptualisation of regeneration policy environments over time.

Table 1: What might neighbourhood regeneration look like in the 2010s? (Adapted and extended from Roberts and Sykes, 2000).

Period / Policy Type	2010s
Major strategy and orientation	Disassembling of former infrastructure/frameworks, for development of new leaner frameworks focused on local agencies/LEPs as decision-making directorates of (severely reduced) resources – with fewer but bigger delivery agents from the private sector and VCS
Key actors and stakeholders	Local government responsibilities expanded; private sector and VCS encouraged to replace public sector roles; central government overseeing strategic dimensions
Spatial level of activity	Localism agenda sees decline of regionalism; rise of a centralised-form of localism; central government control of nationally strategic and other requirements
Economic focus	Priority of private sector job creation/enterprise development; smaller LEPs replace Regional Development Agencies; ‘strategic’ roles undertaken by central government for economies of scale
Social content	‘Big Society’ and localism; emphasis on VCS and private sector for community self-help (with minimal state support); community referenda; community right to challenge/buy
Physical emphasis	Capital investment from public sector significantly reduced; private sector capital and liquidity redevelopment from property slump and constrained lending and credit; challenges from legacy of previous administration’s new public building programmes
Environmental approach	‘Low carbon’ agenda continues, although ‘sustainability’ linked to financial feasibility and cost far more explicitly

5.26 Table 1 suggests that NR organisations would be facing an increasingly challenging policy and practice landscape during the 2010s. The **Output 5** paper concludes by suggesting that, despite new policy agendas such as Big Society and the Localism Act 2011, the new environment for NR is one of major resource constraints, immense organisational change, uncertainty and upheaval. Opportunities for NR organisations appeared to rest within development of capacity to take advantage of larger-scale public service commissioning and contracts, and in developing new collaborations and relationships between NR organisations and commissioners, though such opportunities were expected to be hard earned.

- 5.27 **Output 6** is a peer-reviewed journal article *“Neighbourhood regeneration in an era of austerity? Transferable lessons from the case of Braunstone, Leicester”* (Broughton, Berkeley and Jarvis, 2013). This paper briefly reviews the impact of the changing landscape *specifically on an NDC programme delivery organisation*. The **Output 6** paper illustrates how most NDC programmes’ core funding terminated at precisely the time when austerity began to bite in 2010-11. Prior to this, in the late 2000s, the Labour Government encouraged NDC organisations to undertake succession planning, advocating new succession bodies to continue local NR activity. In practice, however, few NDC programmes embarked on this route. Local authorities were the ‘accountable body’ for the vast majority of NDCs and many capital assets developed under NDC programmes were absorbed into local authorities’ portfolios. Those revenue programmes that were not ‘mainstreamed’ were often wound down. The paper suggests that the impact of such closures was a loss of institutional capacity and collective memory regarding experience of the ‘chalk face’ of NR delivery, severely limiting potential knowledge transfer. In Braunstone’s case, however, the strength of local commitment to the community ‘owning’ the process of NR (see **Output 2**), along with the accountable body being a local housing association, enabled the succession option to remain open for the BCA, albeit in an incredibly challenging environment. Any new successor organisation developed by BCA would have very few options to generate funding to benefit *only* its target neighbourhood, potentially jeopardising its core mission.
- 5.28 By the early 2010s, the impact of the various ‘policy shift Cs’ on the broader landscape for sustainable NR practice was clearly very challenging – NR organisations were no longer in favour from political agendas from the centre, or regarding any major form of income based on previous funding models under Labour governments. The new landscape was now characterised by many difficult challenges and few opportunities. Now that Research Question 2 has been addressed, Part 3 below examines how sustainable NR practice has attempted to navigate this harsh environment, by identifying how the NR Factor Menu has been affected following dramatic policy shift.



### **PART 3: ORGANISATIONAL RESPONSES: A CONCEPTUALISATION OF ORGANISATIONAL CHANGE THROUGH A PERIOD OF POLICY SHIFT**

***Observing the case study NR organisations' practice responses to dramatic policy shift, how have 'pre-shift' organisational factors been affected and how can such changes be conceptualised?***

5.29 This section draws on **Outputs 5, 6 and 7** (descriptions of Outputs 5 and 6 have already been covered in Part 2). **Output 7** is a peer-reviewed journal article "***Where next for neighbourhood regeneration in England? Two Years On***" (Broughton, Berkeley and Jarvis, 2013). Following another two years of policy development and organisational responses since Output 5 in 2011, **Output 7** confirms the vast majority of proposals set out in the "10 Cs" typology developed for Output 5. It does, however, add two more 'Cs' (*capacity to support* and *clarity of role*), following organisational responses to the (then) new policy of 'Neighbourhood Planning'.

5.30 The analysis below identifies and conceptualises changes to each of the five organisational factors in the pre-policy shift 'NR Factor Menu', based on evidence of NR organisations' practice responses to the various 'policy shift Cs'.

#### **Factor 1: Community 'ownership' of the NR process**

5.31 Dramatic policy shift has significantly weakened community 'ownership' of the NR process. In addition to the termination of government funding for most NR programmes in 2010 (identified within Output 5's 'triple whammy'), a number of developments identified in the 'policy shift Cs' have seen organisational responses that have negatively affected community 'ownership' of the NR process.

5.32 Those *Commissioning challenges* identified in **Output 5** can be observed as a threat to neighbourhood-level governance and sustainable NR practice. The paper highlights how local authority funding cuts have resulted in the loss of much neighbourhood management infrastructure, as they increasingly centralise the control of resources back to council executive functions ('centralised localism'). Such developments severely hamper the ability of local communities to maintain a sense of 'ownership' of local NR processes.

- 5.33 Under the 'policy shift C' of *communities and inequalities*, **Output 7** highlights the broader organisational response to the (then) new policy of 'Neighbourhood Planning', underpinned by 'Big Society' and the Localism Act 2011. Output 7 identifies the geographical pattern of the (then) 334 neighbourhoods that were shaping Neighbourhood Plans across England in February 2013. The paper identified that the geographical pattern in no way reflected the pattern of neighbourhood deprivation across England. Output 7 argues that the opportunities from Neighbourhood Planning are more likely to be taken up by wealthier 'shires' than poor urban neighbourhoods (similar arguments apply to 'Community Right to Challenge' and other 'Community Right' initiatives in the Localism Act). Parish Councils are already in place to develop Neighbourhood Plans; this compares to urban neighbourhoods which require the creation of new Neighbourhood Forums. The increased organisational effort to develop a Neighbourhood Plan in a disadvantaged urban area, where community capacity and resources are already challenged, arguably weakens the ability of communities to have a sense of 'ownership' of the Neighbourhood Planning process. Furthermore, Neighbourhood Plans must 'fit' into local authorities' Local Plans; they have the final say over any Neighbourhood Plan – another example of 'centralised localism' (see Output 1). Lawless (2011) is also critical of such initiatives, highlighting the lack of an evidence base for assumptions behind the Coalition's Big Society and Localism agendas.
- 5.34 The later "C" of *capacity to support* identified in **Output 7** suggests that local authorities are unlikely to be as supportive as they would like to be of those groups and organisations developing a Neighbourhood Plan. Levels of funding available to support neighbourhoods in this process are woefully inadequate, in addition to Local Plans having the final say over any visions in Neighbourhood Plans from local people. Inadequate resources for Neighbourhood Planning will hit disadvantaged neighbourhoods hardest, as they have far less antecedent community-based resources, skills and knowledge to fall back on compared to wealthier neighbourhoods (a criticism of Big Society). Combined, all of these matters severely weaken the ability of communities to feel a sense of 'ownership' of the NR process.

## **Factor 2: Brokerage**

- 5.35 Brokerage relationships have been dismantled and what remains has been rebuilt with pin-sharp focus on brokerage around those support service areas with economic aims that have survived the worst of the public funding cuts. **Output 5** and **Output 7** identify how policy shift has eroded *co-ordination* roles and back-office functions as funding cuts force local authorities and other agencies to prioritise frontline delivery. Despite the CLG advocating partnership working and multi-stakeholder solutions (CLG, 2012), the loss of co-ordination functions and structures such as ‘neighbourhood management’ has been a serious blow to those NR organisations attempting to maintain sustainable NR practice in disadvantaged communities (such as Canley). Many brokerage networks and relationships have been dismantled as a result of cutbacks in back-office roles, and NR organisations have had to start from scratch in rebuilding new, different and lean brokerage relationships, with much-reduced resources, capacity and personnel, to exploit opportunities primarily focused on achieving economic goals.
- 5.36 Evidence from **Outputs 5, 6 and 7** also suggests that there has been a re-focusing of brokerage attention and resources by NR organisations on those areas where public or other funding has been ‘reduced least’ – again, primarily those aiming to achieve economic objectives. For example, *employment creation* initiatives such as apprenticeships and enterprise support, but also property development and (until recently) social care. **Output 5** also suggests that NR organisations may need to support employment needs by assisting those closest to the labour market, to evidence ‘quick wins’ for much-needed income. Those furthest from the labour market, with the most complex needs, are likely to be pushed far back in the queue.
- 5.37 **Outputs 5 and 7** also highlight that resources for *data capture* from government for local authorities have also been severely reduced. The loss of a range of comparative neighbourhood level indicators removed a key weapon in the brokerage toolbox for NR organisations needing to prove the impact and worth of NR projects. **Output 6** does, however, identify opportunities where brokerage was critical to development in this new environment; for example, some NR organisations were innovative in negotiating the use of unspent Section 106 monies for community benefit.

### **Factor 3: Institutional Positioning**

- 5.38 Institutional positioning has been dismantled and reconfigured, increasingly driven by the need of NR organisations to obtain much-needed resources to fill the gaps left by public funding cuts. **Output 5** identifies examples of sustainable NR practice which are reframing the institutional positioning of NR organisations. Output 5 highlights how an austere climate has resulted in *commissioning challenges*. These involve local authorities aiming to benefit from economies of scale by increasing the size of contracts, often through the *consolidation* of many smaller contracts. Only larger providers of services have capacity to deliver such arrangements and many smaller NR organisations are marginalised or excluded. In response, more capable NR organisations are attempting to position themselves as ‘big players’ to commissioners, (highlighted by **Output 6** with Braunstone). **Output 5** also highlighted mergers of some NR organisations into larger organisations in response to bigger commissioning contracts, increasing their capacity, economies of scale and financial liquidity. Other responses included consortia arrangements between a range of NR organisations, or some organisations becoming niche sub-contractors of a larger ‘prime contractor’ organisation. Such organisational responses can be viewed as a form of *institutional positioning* by NR organisations in an intensely competitive austere climate, in an attempt to claim a share of much-needed income.
- 5.39 The **Output 7** paper also argued that Neighbourhood Planning was biased towards better-off ‘shire’ counties where, often, a Parish Council organisation already existed and had political legitimacy (*institutional positioning*) in wider local authority structures. In disadvantaged urban contexts, on top of the burden of deprivation, a new Neighbourhood Forum organisation would need to be established from scratch. However, the legal status of Neighbourhood Forums is unclear in comparison to the legitimate status of Parish Councils, weakening the institutional positioning of Neighbourhood Forums to call on resources and propose plans.
- 5.40 Opportunities for institutional positioning in this new environment did, however, exist for NR organisations in some areas. *Collaboration and competition* were evidenced as characteristics of policy shift in **Outputs 5 and 7**. Exemplifying this, **Output 6** suggests that Braunstone’s approach is about being competitive in order to collaborate with an increasing range of other organisations, institutionally

positioning itself in its networks as a leading and/or co-ordinating organisation in various consortia arrangements. For example, Braunstone won the role of managing the distribution of 'Community First' grants, piloting new ways of grant-giving to improve outcomes – such 'stretching' or even saving funding for more effective use in future. Braunstone's has been fortunate in that, as an NDC successor organisation, it had the legacy of a strong track record of successful delivery, which is promoted to exploit opportunities. Such institutional positioning is bolstered through their 'accreditation' or 'certification' status in areas such as employment training and asset management.

#### **Factor 4: Leadership**

- 5.41 Following dramatic policy shift, 'leadership' in and around NR organisations has increasingly been influenced by the promotion of entrepreneurialism in policy for VCS and public service organisations. **Output 6**, for example, suggests that Braunstone's leadership had to become more entrepreneurial if it was to evolve into a succession organisation with a financial future. The Output 6 paper illustrates how dramatic reductions in public sources of funding, coupled with policy advocating *commercial sector*-influenced models of organisation, resulted in the Braunstone leadership needing to become more entrepreneurial as one of few routes to organisational survival. This reflects a wider trend with many NR organisations which are under pressure to adopt commercial models of organisational development in order to diversify their income streams. This involves the creation of new mechanisms and processes to identify new 'market' opportunities to generate income – ideally income 'surpluses', which can then be used to maintain (or shore up) those NR activities with social and welfare initiatives that local communities still need, but have little scope for adequate funding.
- 5.42 Looking at Braunstone in detail, the organisational structure of the former NDC organisation (BCA) required dynamic organisational change, manifest in the creation of the B-Inspired trading arm in particular. Braunstone's successor organisation was fortunate to inherit the ownership of local community buildings and commercial premises purchased during the NDC programme, which other NR organisations are unable to rely on. Under vigilant *asset management*, most of these capital assets are able to provide income generating opportunities for *some* NR activity in Braunstone,

including 'loss-making' activities such as Information and Advice. As noted by Lawless (2010), however, all property is subject to the market, and some properties in Braunstone have had to be disposed of due to being a poor investment with low demand, highlighting the broader risks of commercially-oriented 'income generation' models which have a social mission.

5.43 The broader shift to market-based competition in public service provision has resulted in commercial pressures increasingly being felt by NR organisations, mirroring development in the VCS. Commercial pressures force NR organisations and other social enterprises into an 'outward spread' to other areas – both *geographically* and in terms of *diversity* of activity – for income generation goals. There is, however, an inherent tension in this business model for organisations 'looking outward whilst looking inward'. As Output 6 notes, levels of resource allocated to NR activity for the beneficiary community compete with levels of resource needed to be retained or re-invested to continue organisational development for future income generation – an acceptable balance needs to be constantly kept in check (Amin *et al*, 2002). At worst, this could bring into question the original neighbourhood support mission of NR organisations, and possibly the ethos of sustainable NR practice itself.

5.44 **Output 7** concludes by acknowledging that many disadvantaged communities are, in the absence of other resources, heavily reliant on leaders with creative minds who are able to be innovative with organisational development, legal processes and funding models, to ensure some form of sustainable NR practice for disadvantaged communities.

#### **Factor 5: Generic Skills**

5.45 Given the above responses to policy shift, the need for generic skills capability appears to be greater than ever – but at precisely the time when the capacity to engender it remains at its lowest ebb. **Outputs 5 and 7** highlight how policy shift has brought significant reductions in *co-ordination* roles in local agencies and the dismantling of support infrastructure for generic skills development from 2010, following the closure of Regional Development Agencies which supported such programmes. Concurrently (as noted in *Leadership* above), there has been increased

political focus on the need for a particular sub-set of generic skills and knowledge – that of commercial and entrepreneurial skills within NR organisations (mirroring trends in public service and welfare organisations generally). This is manifest in recent support packages for VCS organisations, such as the Transition Fund noted in **Output 5**, which aimed to inject greater business acumen into the VCS.

- 5.46 A range of organisational responses to dramatic policy shift have been identified and analysed within the frame of the NR Factor Menu. Below, the changes to the NR Factor Menu following dramatic policy shift are assessed and further conceptualised.

**Changes to organisational factors following policy shift: A new NR Factor Menu?**

- 5.47 The analysis above identifies a number of significant modifications to the NR Factor Menu following dramatic policy shift. First, evidence from Outputs 5 and 7 suggest a ***significant weakening of a sense of community ‘ownership’ of the NR process (Factor 1)***. Previous neighbourhood-based policy instruments and funding have been abolished, replaced by ‘self-help’ initiatives with minimal funding that lend themselves to wealthier communities with resources of their own. Second, Outputs 5, 6 and 7 suggest that ***brokerage has narrowed its focus on income generating activities with primarily economic goals (Factor 2)***. Back-office co-ordination and neighbourhood management functions have been victims of austerity; remaining brokerage relationships need to focus on where funding remains – on initiatives with economic goals, such as employment creation and enterprise development. Third, Outputs 5, 6 and 7 illustrate that ***institutional positioning is now driven by competitiveness in collaboration (Factor 3)***. NR organisations implicitly compete to seize the most influential and financially advantageous positions in broader networks or consortia of service provision. Fourth, Outputs 6 and 7 demonstrate how ***leadership has needed to become far more entrepreneurial (Factor 4)***. Opportunities for NR organisations to deliver services and support have become increasingly market-based and competitive, requiring the adoption of commercial cultures of leadership and leaders with business acumen. Finally, Outputs 5 and 7 highlight how ***remaining support for generic skills and knowledge largely focuses on commercial and business skills (Factor 5)***. The continued marketisation of public and welfare services has resulted in any remaining support for skills development being driven by commercially-focused narratives and instruments.

5.48 In addition to the significant changes to the organisational factors in the original NR Factor Menu that have taken place, the systematic analysis above has unearthed two *additional* organisational factors that now appear critical to sustainable NR practice, following dramatic policy shift. Whilst these factors seem implicit within the above analysis, they consistently underpin most of the factors comprising the modified or ‘post shift’ NR Factor Menu. These two additional organisational factors are the **‘income generation engine’** and **‘organisational dynamism’**; both organisational factors are closely interlinked but are examined in turn below. From this point on, the subsequent sections of the Evaluative Review make up the *Discursive Contribution* to the thesis.

*New Organisational Factor: ‘Income Generation Engine’*

5.49 Dramatic policy shift has resulted in even more dramatic reductions in public funding for almost all NR organisations, public agencies and the wider VCS. Austerity, in a neo-liberalist economic context, has become the norm with significant levels of lost income from the public purse. For those NR organisations choosing to ‘maintain their place’ or attempting to ‘scale up’ in response to this new environment (rather than, for example, ‘downsizing’ to a volunteer-centric model or by closing), the replacement of lost income is the overriding concern. NR organisations, amongst others, have had to develop an ‘income generation engine’ within their organisational frameworks in an attempt to replace lost public funding. Reduced resources, increased competition, and no let-up in demand for services suggest that income generation engines are now critical to organisational survival.

5.50 The funding (or ‘fuel’) for this engine is increasingly likely to originate from a diverse range of sources. This may involve maximising opportunities where public funding still exists (such as employment creation and enterprise development) whilst increasingly exploring new forms of funding for NR activities, such as social investment. The income generation engine may be being used as a ‘Robin Hood’ model – squeezing every drop of surplus income from service contracts to subsidise socially-oriented provision which, under austerity, receives little other funding. However, income generation engines are costly to maintain and income surpluses often need to be re-invested in their upkeep before funds can be distributed to other socially-oriented NR activities. Further, competitive pressures and continued



reductions in public service funding increasingly leave NR organisations with little surplus, putting more socially-oriented provision further under threat.

- 5.51 The income generation engine is arguably the underpinning driver of many of the changes to the other organisational factors in the post-shift NR Factor Menu, potentially changing the nature of sustainable NR practice. Much-needed socially-oriented initiatives, including the engagement of the community in the NR process, become marginalised in favour of where income can be maximised for the 'engine', such as initiatives with economic goals or in areas outside the beneficiary local community. This results in a weakening of the community's 'ownership' of the NR process; residents feel their interests, agendas and priorities no longer align with those of the NR organisation. Brokerage, institutional positioning and generic skills are increasingly guided by the market-based needs of the income generation engine, shifting their focus away from broader social goals. The needs of the income generation engine, therefore, lies at the heart of much of the change in the NR Factor Menu following policy shift, and thus changes in sustainable NR practice.

*New Organisational Factor: Organisational Dynamism*

- 5.52 In a neo-liberal economic context under austerity, where short-termism by governments and major political parties appears to be intensifying, NR organisations need to be increasingly 'fleet of foot' internally to respond to change. They need to be 'organisationally dynamic' in their structures, processes and staffing, to react to frequent changes in the external policy and funding environment, including 'markets'. The downside of such developments is a persistently volatile environment lacking stability, which could be reflected in potentially continuous change within NR organisations. Organisational dynamism, as a new organisational factor, also appears to underpin the modified NR Factor Menu; the identified practice responses of NR organisations to policy shift arguably reflect the development of organisational dynamism in such organisations.
- 5.53 **Output 6**, on Braunstone, offers an early insight the development of organisational dynamism within NR organisations. Output 6 explored how BCA's restructuring essentially developed an income generation engine (the B-Inspired trading arm), resulting in necessary 'outward' expansion, in terms of geography and diversity of activity outside the local beneficiary neighbourhood. Output 6 also identifies other

examples of organisational dynamism including continued review of opportunities for cost efficiencies, tax-efficient possibilities, and legal arrangements that maximise funding and value. Similar to the income generation engine, organisational dynamism also appears to underpin those changes to the NR Factor Menu; organisational dynamism, in combination with the income regeneration engine, sets the framework for the organisational activity of NR organisations, steering and shaping the delivery portfolio of ‘sustainable NR practice’.

**The new NR Factor Menu**

5.54 Given the analysis and conceptualisation outlined above, in addressing Research Question 3, the new NR Factor Menu can be illustrated here:

- ***Income Generation Engine***
- ***Organisational Dynamism***
- **Community ‘ownership’ of the NR process – severely weakened**
- **Brokerage – re-shaped for income generation engine**
- **Institutional positioning – re-positioned for income generation engine**
- ***Entrepreneurial Leadership***
- ***Entrepreneurial Generic skills***

5.55 Combining the findings of Parts 1, 2 and 3, Table 2 summarises a comparison of the ‘pre-policy shift’ NR Factor Menu with the post-policy shift NR Factor Menu.

*Table 2: Impact of policy shift on five organisational factors*

<b>NR FACTOR MENU PRE-POLICY SHIFT</b>	<b>NR FACTOR MENU POST-POLICY SHIFT</b>
-	Income generation ‘engine’
-	Organisational dynamism
Sense of community ownership of NR process	Significant weakening of a sense of community ‘ownership’ of the NR process
Development of neighbourhood-led brokerage networks and relationships	Brokerage narrowed its focus on income generation activities with primarily economic goals
Institutional positioning of NR organisations built within wider institutional landscape	Institutional positioning is now driven by competitiveness in collaboration
Leadership in its broadest sense	Leadership has needed to become far more entrepreneurial
Generic skills and knowledge with some support infrastructure in place	Remaining support for generic skills / knowledge largely focuses on commercial and business skills

5.56 Part 3’s analysis of the evolution of the NR Factor Menu following dramatic policy shift has resulted in a conceptual explanation of the changes in organisational factors critical to sustainable NR practice, following policy shift. In Part 4 of this

chapter, this conceptual explanation is now used to develop a better understanding of the role and nature of sustainable NR practice more broadly under austerity and beyond, informing policy and practice suggestions for NR organisation strategies and further research.

#### **PART 4: THE FUTURE ROLE AND NATURE OF SUSTAINABLE NR PRACTICE UNDER AUSTERITY: INFORMING STRATEGIES AND FURTHER RESEARCH**

***How can this new conceptualisation (acknowledging its limitations) develop a better understanding of the role and nature of sustainable NR practice more broadly under austerity and beyond, and inform policy and practice suggestions for other NR organisation strategies and further research?***

5.57 Acknowledging the limitations of the research (see Section 4.5), the findings in this thesis have important implications for the *future role and nature of sustainable NR practice* more broadly under austerity, and beyond. The modified NR Factor Menu points towards the *role* of sustainable NR practice being increasingly driven by economic and commercial goals, rather than community advocacy or social mission – manifest in the commercialisation of NR organisations (Fuller, 2016). The role of sustainable NR practice appears to be being broadened *territorially* and *spatially* whilst potentially narrowed around its *service offer* to disadvantaged communities. The austere environment is essentially obliging NR organisations to direct practice towards opportunities well beyond the remit of their original beneficiary neighbourhoods, to fuel the ‘income generation engines’ they need to survive.

5.58 Processes of continued marketisation of public services and funding mechanisms (e.g. social investment) are also marketising the *nature* of NR organisations (amongst others) and their practice (Maier *et al*, 2016), compelling them to engage in ‘organisational dynamism’ to compete. NR organisations are increasingly focusing attention on accessing opportunities based on funding efficacy – primarily service areas with politically favoured *economic* objectives – a trend that began to emerge as early as Gordon Brown’s premiership (Lupton, 2013). Such focus is reducing the breadth of sustainable NR practice and provision on offer as social, community and environmental initiatives become marginalised. Whilst there may be ‘diversification’ of *sources of funding*, this is not diversifying the breadth of NR provision for

communities, which may result in a service profile increasingly out of step with disadvantaged communities' priorities. This suggests that NR organisations may increasingly become 'detached' from their original beneficiary neighbourhoods as financial imperatives, economic objectives and an increasingly competitive external environment narrow their capacity to serve community needs (Clayton *et al*; 2016).

#### Suggestions for Policy

5.59 The findings of this thesis identify a new context where *policy* instruments for NR organisations are scant. But if policy is to be developed around sustainable NR practice in future, it should address the increasing volatility of the wider environment for NR organisations identified in Part 3's analysis. In **Output 6**, Scott (2010, p367) was cited suggesting that NR stakeholders should "... reflect on how well a time of relative plenty has prepared us for a time of famine". However, successive policy in NR has persistently encouraged the spending of *all* funding, rather than saving for leaner times, to maximise impacts of delivery for funders. NR organisations have had little scope to prepare for 'famine' and similar VCS organisations are not encouraged by the Charity Commission to build up substantial reserves. The 'income generation engine' may also be resulting in the inefficient use of organisational resources in *attempts to gain funding*, distracting from the delivery of support. Policy should aim to enable NR organisations to either 'harvest' elements of awarded income, or be awarded some form of funding for operational overheads to improve the stability and security of their financial position, enabling a focus on outcomes. Finally, policy should focus on mitigating the negative impacts of organisational responses to policy shift which have resulted in the diluting or even uncoupling of NR organisations from their social mission of supporting and representing local communities (Jones *et al* 2016).

#### Suggestions for Practice

5.60 There are also implications of this thesis' findings for NR *practice*. Some NR organisations are unable to respond to the challenges of the new environment following dramatic policy shift. Alternative options may involve down-sizing to a low cost, volunteer-centric community organisation or, at worst, closure. For those NR organisations attempting to survive 'as is', or by expanding entrepreneurial activity, the concept of the 'income generation engine' is likely to form the basis of their

strategies under an austere climate, and more broadly. The income generation engine will thus be a key driver in strategy development for NR organisations and thus future sustainable NR practice. This will be undertaken in combination with organisational dynamism, and supported by entrepreneurial leadership, brokerage relationships and institutional positioning, all driven by the needs of the income generation engine. However, the findings of this thesis suggest that social mission is the victim of these evolutionary developments, and strategies need to mitigate such negative impacts on local disadvantaged neighbourhoods. The model of Braunstone outlined in **Output 6** offers a route through these competing needs that, though certainly not perfect, appears to offer a locally acceptable balance and has some longevity, given an austere climate in the context of neo-liberal market forces.

#### Suggestions for Further Research

- 5.61 The findings in this thesis point to areas for *further research*. Future studies should focus on the broader impacts of the marketisation of NR organisations, VCS bodies and public services on the disadvantaged communities they serve. It is noted that I am currently developing research to more extensively test the conceptual explanation in this thesis, for example by exploring the impacts of marketisation on locally embedded VCS organisations and disadvantaged communities. This thesis' findings suggest that more research is particularly required regarding the impacts of continuing entrepreneurialism in sustainable NR practice on social goals, advocacy and representation of disadvantaged local neighbourhoods.
- 5.62 Further research should also explore the strengths, weaknesses and contexts of the varieties of income generation engines and organisational dynamism that exist within NR organisations. Based on evidence from practice, this could result in critical typologies developed by analyses of: the range of risks of types of engine and dynamism (financial, reputational and political); the linkages between engines, dynamism and profiles of NR activities, and; whether specific types of engines and dynamism enable higher levels of community benefit. Such research may identify models of organisational development and practice that generate sustainability for NR organisations whilst retaining social goals for their local beneficiary communities.

## **PART 5: SUMMARY OF FINDINGS FROM THE EVALUATIVE REVIEW**

- 5.63 This Evaluative Review of the Portfolio of Outputs identified five organisational factors critical to sustainable NR practice before policy shift, framed in a dynamic 'NR Factor Menu'. These were: community ownership of the NR process; brokerage; institutional positioning; leadership and generic skills and knowledge. A review of the character of policy shift (via a 'policy shift Cs' framework) identified how public funding cuts and continued 'marketisation' of services and funding resulted in challenges and opportunities for NR organisations and sustainable NR practice. This provided a basis on which to identify and analyse NR organisations' practice responses to policy shift. This analysis was developed into a conceptual explanation of changes in sustainable NR practice through organisational factor change, which resulted in a modified 'post-policy shift' NR Factor Menu. The conceptual explanation identified that dramatic policy shift has resulted in a 'narrowing' of organisational factors critical to sustainable NR practice, brought about by a necessary focus on income generation and entrepreneurial activity. This has taken place through the development of new organisational factors – the 'income generation engine' and 'organisational dynamism'. These processes appear to have weakened community ownership of NR processes and, more broadly, reduced the importance of community advocacy and social mission in sustainable NR practice.
- 5.64 This new conceptualisation, as a contribution to knowledge, informed the development of a better understanding of the role and nature of sustainable NR practice more broadly under austerity, and beyond. The role and nature of sustainable NR practice is increasingly moving towards a broader volatile environment of market-based service provision, and away from social and community goals for disadvantaged neighbourhoods. Given these findings, the Evaluative Review concludes by proposing policy and practice suggestions which focus on reducing the volatility of their environments, and mitigating the marginalisation of social and community goals. Further research was suggested around those areas, as well as investigation into whether specific types of income generation engine and organisational dynamism can be exploited to sustain activity towards local community needs. The following section reviews the contribution to knowledge of the thesis and the broader impact of the research.

## 6 Impact of the Research: contribution to knowledge, policy and practice

### Contribution to Knowledge

- 6.1 This thesis has presented a new *conceptual explanation of change in organisational factors critical to sustainable NR practice, following dramatic policy shift into an austere climate*. This conceptual explanation identified that dramatic policy shift has resulted in a ‘narrowing’ of organisational factors critical to sustainable NR practice, brought about by a necessary focus on income generation and entrepreneurial activity. This has taken place through the development of new organisational factors – the ‘income generation engine’ and ‘organisational dynamism’. These processes appear to have weakened community ownership of NR processes and, more broadly, have reduced the importance of community advocacy and social mission in sustainable NR practice.
- 6.2 Given the above, the thesis has demonstrated that conceptual explanations of changes in the organisational practices of NR organisations can play a significant role in developing better understandings of sustainable NR practice in an austere climate, and beyond. It has also show that such conceptual explanations can inform policy and practice suggestions for future NR organisation strategies and further research. In doing this, the thesis contributes to extending the existing body of knowledge in theoretical, conceptual, policy and practice arenas of NR.
- 6.3 There have been few studies on understandings of the role and nature of *neighbourhood regeneration* in an *austere* context. Even fewer studies have developed such understandings from conceptual explanations of *changes in sustainable NR practice* via analysis of *organisational factors in NR organisations*, following policy shift to an austere climate. There is sparse knowledge of how NR organisations operate in this new landscape via their strategies, structures and practices. This thesis has made a contribution to addressing this gap in knowledge in this specific area.
- 6.4 In demonstrating this contribution to knowledge, the thesis has provided robust evidence of a detailed understanding and application of accepted methodologies and techniques for academic research and advanced enquiry, whilst acknowledging its limitations. The diverse and substantive literature utilised provides evidence of

the systematic acquisition and understanding of a substantial body of knowledge at the forefront of academic understanding on the topic of NR.

Impact: Peer Acceptance and Citations of the Outputs in the Portfolio

6.5 *Peer acceptance and citation impact:* At least five of the Outputs in the Portfolio have merited publication in good quality peer-reviewed academic journals – evidence that the research in the Portfolio has *validity* as an original and significant contribution to knowledge. Outputs have also been cited in a diverse range of peer-reviewed academic articles, as well as grey literature – arguably evidence of *quality*. The research in the Portfolio of Outputs also remains *relevant* and continues to have ‘impact’ in academic circles – as evidenced by the latest citation being from 2017. Academic disciplines of articles citing the Outputs are diverse, including: urban studies, urban policy, urban regeneration, policy studies, economic development, regional studies, geography, planning, housing, employment studies, community development, poverty, children’s services, criminology and others. The citation scores of the Outputs cited by others are provided below (Table 3).

*Table 3: Citation scores of Outputs cited by others (checked on 4.5.17)*

<b>OUTPUTS IN THE PORTFOLIO WITH CITATIONS</b>	<b>SCOPUS CITATIONS</b>	<b>GOOGLE CITATIONS</b>
<b>Output 1:</b> Jarvis, D. Berkeley, N. and Broughton, K. (2012) “Evidencing the impact of community engagement in neighbourhood regeneration: the case of Canley, Coventry”, <i>Community Development Journal</i> 47 (2) pp232-247.	<b>8</b>	<b>23</b>
<b>Output 5:</b> Broughton, K., Berkeley, N. and Jarvis, D. (2011) “Where next for neighbourhood regeneration in England?”, <i>Local Economy</i> 26 (2) pp82-94.	<b>8</b>	<b>15</b>
<b>Output 6:</b> Broughton, K., Berkeley, N. and Jarvis, D. (2013) “Neighbourhood Regeneration in an Era of Austerity? Transferable Lessons from the case of Braunstone, Leicester”, <i>Journal of Urban Regeneration and Renewal</i> 6 (4) pp381-393.	<b>1</b>	<b>3</b>
<b>Output 7:</b> Broughton, K., Berkeley, N. and Jarvis, D (2013) “Where next for neighbourhood regeneration in England? Two Years On”, <i>Local Economy</i> 28 (7-8) pp817-827.	<b>4</b>	<b>1</b>

Impact: Policy and Practice

6.6 Evidence of how the research informs policy and practice debate is demonstrated by the citation scores in Table 3. For practice specifically, the research continues to have impact in applied settings – the CEO from ‘The Braunstone Foundation / B-Inspired’ (formerly Braunstone Community Association) highlighted the impact of a number of Outputs as recently as 2016, including:



- Output 2 still acts as a reference point and baseline for the Braunstone NR organisation for mapping change and monitoring improvements.
- Output 2 served as a major source of data for informing the first (and subsequent) Braunstone Neighbourhood Action Plan, which has been refreshed five times since by the Braunstone NR organisation.
- The data in Output 2 has been used by the Braunstone NR organisation to provide (a) evidence for a range of funding proposals and (b) evidence to inform the formation of two continuing Strategic Priority Groups in the area around education and health.
- Output 6 also had 'impact' in assisting the organisation to take stock of the Braunstone NR organisation's status a few years after the end of NDC funding, serving to cast an independent light on how the organisation's transition and development was viewed by the outside world, thus being cited in strategic documents on the organisation's development.

## **7 Reflection on the candidate's development as a research practitioner**

- 7.1 The development of the Portfolio of Outputs reflects an evolving journey of progression in my expertise and research in the NR arena. Beginning with support for research in the evaluation of NR programme delivery, my various research roles across a range of institutions have resulted in the collection of a vast amount of applied research knowledge of NR policy *in practice*. Primarily embedded in academic contexts, I have been enabled to develop such knowledge of sustainable NR practice towards policy considerations and broader conceptual or theoretical debates on NR. For myself, the goal of this 'upward' journey of abstraction has always been to inform NR policy and practice back 'downwards' for more effective NR outcomes for disadvantaged communities. This thesis is thus a reflection of that intellectual and applied research journey.
- 7.2 In the early- to mid-2000s, NR policy and funding was at its peak; opportunities for evaluative research were open to many research organisations, such as universities. Since 2001, I have undertaken applied evaluative research on various area-based NR programmes, and their legacies, in disadvantaged neighbourhoods (SRB, Children's Fund, Sure Start, NDC, others), primarily from within a university setting.
- 7.3 The practice-focused nature of many NR programme evaluations developed my range of qualitative and quantitative research skillsets. I have collaborated in research with a diverse range of stakeholders (residents; regeneration practitioners; local, regional and national policymakers; politicians, and; academics). The complexity of NR evaluation has required a diverse range of methodologies, developing my ability and confidence in applying multiple knowledges, identifying optimal research philosophies and strategies, and designing research approaches involving mixed methods. Evaluative research for stakeholders has also developed my ability to communicate and disseminate data and knowledge to a diverse range of audiences.
- 7.4 My career's academic context has developed me to my current role of Research Fellow, utilising the whole gamut of theoretical and conceptual explanations, policy knowledge and practice evidence to make a significant contribution to more effective sustainable NR practice for disadvantaged communities.

## 8 A statement on the contribution of other authors to the Outputs

8.1 I have been involved in NR research since at least 2001, working with large teams, small groups and as a sole researcher. The Portfolio of Outputs for this research demonstrates that, working within small groups with Coventry University colleagues, I have been the Lead Author or have made a significant contribution to the development of each Output:

**Output 1:** This 'Community Development Journal' article was co-authored by Jarvis, Berkeley and Broughton. The primary data collection (Canley resident survey) for this research was sub-contracted to BMG Ltd, with analysis of the raw data into an applied research report and two presentations for the client (City Council and local residents) being undertaken by Jarvis, supported by Berkeley. I played a key role in the development of the thinking behind this article, with Jarvis and Berkeley. The analysis of the report's findings into discussion and conceptualisation was jointly undertaken by Broughton, Jarvis and Berkeley. My long-standing expertise in community engagement in NR also assisted in developing the key findings; the "*cruciality* of community engagement" phrase was my notion.

**Output 2:** I was the Lead Author, Principal Investigator and Project Manager for the applied research behind this Output – the Final Evaluation of the Braunstone New Deal for Communities programme. I led on the competitive research proposal and assessment interview, winning the funding for the contract in October 2008 (£40,000 project value). I led on all elements of the research, from the design of the methodology framework for the evaluation, through interviews, focus groups, quantitative performance monitoring data collation and collection, data analysis, findings development and reporting. Research support for elements of the fieldwork and data analysis (interviews, focus groups and performance data analysis) was provided by Berkeley, Lambie and Brady. Deliverables involved: (a) a 'Final Report' (including an extensive Appendix of supporting data) for the client (BCA), Advantage West Midlands and central government, and (b) an accessible 'Residents Report' (both submitted in December 2009). Separate 'Executive Summaries' were produced and the final deliverable of two presentations (one for residents and one for the city-wide professional community) were delivered by me, with support from Berkeley in December 2009 and March 2010 respectively. Output 2 is made up of the 'Final Report' (including an extensive Appendix of supporting data) and the presentation for the city-wide professional community.

**Output 3:** I was Lead Author for Chapter 7, with structure and content organisation support from Jarvis and Farnell. I brought long-standing expertise of the public policy and public sector organisation fields to this chapter on 'Faiths and the Public Sector' in Oxfordshire, providing a significant contribution to this multiple-authored, published applied research report. The remainder of the report was primarily led by Jarvis and Porter, with support from Farnell, Lambie and myself.

**Output 4:** I was Lead Author on this academic, peer-reviewed journal article for 'Learning and Teaching in Higher Education'. I was involved in some of the data collection for this Output and led in all of the data analysis and writing up of the findings. Content refinement support was provided by Jarvis and Farnell.

**Output 5:** I was Lead Author on this academic, peer-reviewed journal article for 'Local Economy', generating the initial concepts, reviewing policy documentation and critiques, undertaking the semi-structured interviews with stakeholders to provide primary data, development of the 10 "C"s idea and extending Roberts and Sykes (2000) policy analysis framework. Berkeley and Jarvis provided support around contextual underpinnings, paper structuring, content organisation and idea refinement.

**Output 6:** I was again Lead Author on this academic, peer-reviewed journal article for 'Journal of Urban Regeneration and Renewal'. Supported by Berkeley, I had worked on the contextual underpinnings via work on the Braunstone NDC Final Evaluation. I also generated the primary data on the specific organisational development innovations via semi-structured interviews with local strategic actors in Braunstone. Berkeley and Jarvis provided support around paper structuring, content organisation and classification and writing refinement.

**Output 7:** I was Lead Author on this academic, peer-reviewed journal article for 'Local Economy', updating the initial 2011 article's concepts, undertaking the critical policy literature review, and identifying the data that supports the updated and additional content. Berkeley and Jarvis provided support around paper structuring, content organisation and idea refinement.

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## **APPENDIX 1: CURRICULUM VITAE (INCLUDING RELEVANT RESEARCH OUTPUTS)**

<b>Name:</b>	Mr KEVIN BROUGHTON MSc BSocSc
<b>Current post:</b>	Research Fellow Centre for Business in Society (CBiS) Faculty of Business and Law Jaguar Building (JA G22) Coventry University Coventry CV1 5FB
<b>Education and Qualifications (with dates and Institutions details):</b>	MSc in World Space Economy (Economic Geography) Pass awarded 1996 from the University of Birmingham  BSocSc in Geography and Planning (Joint Honours) Grade 2:1 awarded 1995 from the University of Birmingham  3 'A' Levels awarded 1992 from King Edward VI College, Nuneaton  10 GCSE's awarded 1990 from George Eliot Secondary School, Nuneaton
<b>Membership of Professional Bodies / Learned Societies:</b>	Member of Voluntary Sector Studies Network (VSSN)
<b>Career details to-date:</b>	2014 – present: Research Fellow, Centre for Business in Society (CBiS), Faculty of Business and Law, Coventry University  2007 – 2014: Research Fellow, Applied Research Centre in Sustainable Regeneration (SURGE), Faculty of Business, Environment and Society, Coventry University  2005 – 2007: Research Consultant in Health and Social Care, M.E.L. Limited, Aston Science Park, Birmingham  2003 – 2005: Research Fellow, National Evaluation of the Children's Fund team, Institute of Applied Social Studies, University of Birmingham  2001 – 2003: Research Assistant, Centre for Public Policy and Urban Change (CePPUrb), University of Central England (now Birmingham City University)  2001: Temporary Research Assistant, Ecotec Consulting Limited, Birmingham  2000: Independently contracted researcher for Birmingham City Council's City Wide Strategy Group / Health Education Unit (for an Evaluation of School Breakfast Clubs in Birmingham's Education Action Zones)

<p><b>Teaching Experience:</b></p>	<p>2015-present: 358GED Local and Regional Economic Development module ('Urban Regeneration' sessions) (3rd yr u/g, Geography), Coventry University</p> <p>2012–present: M09GED Research Methods for Social Sciences module ('Qualitative Research Methods' sessions / 'Ethics' sessions) (postgraduate research students), Coventry University</p> <p>2013–2015: Module Leader of 338GED Urban Regeneration module (3rd yr u/g, Geography), Coventry University (evolved into 358GED above)</p> <p>2012/13: "Issues in Sustainability" module block (3rd yr u/g, Geography), Coventry University</p> <p>2009–2015: Module Leader of Module E "Working with Communities" for postgraduates (practitioners) as part of the Economic Development Distance Learning Consortium postgraduate programme with Dundee University and Sheffield Hallam University</p> <p>1997–2000: Module Leader of 'Urban and Regional Studies' module (2<sup>nd</sup> yr u/g, Planning), Coventry University</p>
<p><b>Research supervision:</b></p>	<p>Currently supervising three research students as third supervisor:</p> <ul style="list-style-type: none"> <li>- Chris Hastie (F/T): Community Perceptions of West Midlands Fire Service</li> <li>- Leanne de Main (staff, P/T): Working Class Voices</li> <li>- Elizabeth Bos (staff, P/T): Community Food Initiatives</li> </ul> <p>PhD student passed following supervision as third supervisor: Katerina Frankova (2013): "Evaluating the effectiveness of approaches to public consultation in the regeneration of urban public spaces"</p>
<p><b>Publications / outputs from research and scholarly activity:</b></p>	<p><b><u>At Coventry University</u></b></p> <p>Broughton, K. and Lazell, J. (submitted to <i>Policy and Politics</i>) "Losing their place? Impacts of Successive government policy on the locally embedded support of voluntary and community organisations in England?"</p> <p>Kneafsey, M., Owen, L., Bos, E., Broughton, K. and Lennartsson, M. (2016) "Capacity Building for Food Justice in England: the Contribution of Charity-Led Community Food Initiatives", <i>Local Environment</i> 22 (5) pp621-634</p> <p>Berkeley, N., Broughton, K. and Lazell, J. (2017) "Accessibility and Policy: Definitional Framework of Transport Accessibility", Chapter 6, in Tovey, M, Woodcock, A. and Osmond, J. (eds)(2017) <i>Designing Mobility and Transport Services: Developing Traveller Experience Tools</i>, Abingdon: Routledge ISBN: 9781472478467</p> <p>Broughton, K. (2012 – 2015) Evaluation of four Coventry University Enterprises Ltd's EU / ERDF funded business support projects for Coventry University Enterprises Ltd</p> <p>Green, A. Sissons, P., Broughton, K. de Hoyos, M. with Warhurst, C. and Barnes S-A. (2015) <i>How cities can connect people in poverty with jobs</i>, York, JRF.</p> <p>Broughton, K., Berkeley, N. and Jarvis, D. (2013) 'Where next for neighbourhood regeneration? Two years on', <i>Local Economy</i> 28 (7-8) pp817-827</p>

	<p>Broughton, K., Berkeley, N. and Jarvis, D. (2013) 'Neighbourhood regeneration in an era of austerity? Transferrable lessons from the case of Braunstone, Leicester', <i>Journal of Urban Regeneration and Renewal</i>, 6 (4) pp381–393</p> <p>Broughton, K. Cheese, E. and Kneafsey, M. (2013) 'In practice: will Localism and Big Society really support community-based initiatives? The case of Local Food Initiatives', for <i>IBG-RGS Annual International Conference</i>, 3 July 2012, Edinburgh</p> <p>Jarvis, D., Berkeley, N. and Broughton, K. (2012) 'Evidencing the impact of community engagement in neighbourhood regeneration: the case of Canley', <i>Community Development Journal</i>, 47 (2), pp232–247</p> <p>Kneafsey, M., Bos, E. and Broughton, K. (2012) Evaluation of Garden Organic's "Sowing New Seeds" project for Garden Organic</p> <p>Broughton, K., Berkeley, N. and Jarvis, D. (2011) 'Where next for neighbourhood regeneration in England?', <i>Local Economy</i>, 26 (2) pp82–94</p> <p>Broughton, K. Broughton, K., Berkeley, N. and Jarvis, D. (2011) Presentation: 'Where next for neighbourhood regeneration in England', for the Local Government Intelligence Unit (LGIU), London, Economic Development Learning Network Session 4 (Community Economic Development), 24 March 2011.</p> <p>Jarvis, D., Porter, F., Lambie, H., Broughton, K. and Farnell, R. (2010) <i>Building Better Neighbourhoods: the contribution of faith communities to Oxfordshire life</i>, Oxfordshire Stronger Communities Alliance: Oxford. ISBN: 1-84600-034-8.</p> <p>Broughton, K., Jarvis, D. and Farnell, R. (2010) 'Using Action Learning Sets for more effective collaboration: the Managing Complex Regeneration programme', <i>Learning and Teaching in Higher Education (LATHE)</i>, 4 (2), pp133–137</p> <p>Broughton, K. and Berkeley, N. (2010) Evaluation of key performance indicators for Marsh Farm (Luton) New Deal for Communities programme, for Marsh Farm Community Development Trust, Luton</p> <p>Broughton, K., Berkeley, N., Lambie, H. and Brady, G. (2009) <i>The Final Programme Evaluation of the Braunstone New Deal for Communities programme</i>, Leicester: Braunstone Community Association / Coventry University</p> <p>Broughton, K. and Farnell, R. (2009) <i>Improving Housing and Neighbourhood Choices in Mixed Communities</i>, for the Institute of Community Cohesion, Coventry University</p> <p>Regional Studies Association (2008) Proceedings of the RSA International Annual Conference 2008: 'Regions: The Dilemma of Integration and Competition', presentation abstract on Action Learning Sets: 'A Practical Tool For Co-Operation And Development Across Boundaries In The Regeneration Sector'. ISBN 978-1-897721-33-9</p> <p>Broughton, K. (2008) A Day in the Life of a Church Urban Fund funded Project (Impact Analysis), for Church Urban Fund</p> <p>Brady, G. and Broughton, K. (2008) Evaluation of the 'Staying Put Pilot Scheme, for the Coventry Domestic Violence and Abuse Partnership</p> <p>Broughton, K. and Berkeley, N. (2008) Community Engagement in Enterprise and Employability Support in Nuneaton and Bedworth</p>
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	<p>Borough, for Coventry and Warwickshire Chamber of Commerce</p> <p><b><u>At MEL Research Ltd</u></b></p> <p>MEL Research (2007) Dosti Well-being Consultation – Final Report, Birmingham: MEL Research. Data from this report went into a published report (ISBN No. 978-0-9556225-7-1)</p> <p>Broughton, K., Jesson, J. and Barton, A. (2006) “Family Support Services: Lessons from Evaluation”, presentation for Sure Start National Conference 14-15 June 2006, Telford</p> <p>Barton, A., Jesson, J. and Broughton, K. (2006) “Documenting Outcomes and the Importance of Evidence Based Services: Lessons for Children’s Centres”, presentation for Sure Start National Conference 14-15 June 2006, Telford</p> <p>Broughton, K., Barton, and Jesson, J. (2007) Ealing Children’s Centre: training and support on ‘evaluation’</p> <p>Broughton, K. (2007) Review of BME recruitment and retention in Lancashire Constabulary, for Lancashire Constabulary</p> <p>Broughton, K. and Barton, A. (2007) Evaluation of Knowsley Child Obesity Project, for Knowsley Primary Care Trust</p> <p>Broughton, K. (2007) Greets Green New Deal for Communities (West Bromwich) – Evaluation of the ‘Crime and Community Safety’ Theme Programme</p> <p>Broughton, K. (2007) ‘New Heart for Heywood’ New Deal for Communities (Rochdale) – Evaluation of the Community Engagement Project and the Neighbourhood Wardens Project</p> <p>Broughton, K. (2007) Greets Green New Deal for Communities (West Bromwich) – Evaluation of Child Home Safety Project’ and Home Maintenance Project’</p> <p>Broughton, K. (2007) Burngreave New Deal for Communities (Sheffield) – Evaluation of the Burngreave Voices (local history) Project</p> <p>Broughton, K. and Barton, A. (2007) Sure Start New Parks (Leicester) – Support with the development of ‘Ability to Learn’ assessment framework</p> <p>Broughton, K. and Barton, A. (2006) Sure Start New Parks (Leicester) – Evaluation of Sure Start New Parks’ family support services</p> <p>Broughton, K. and Barton, A. (2006) Sure Start Worcester – Evaluation of capital building projects and play services</p> <p>Broughton, K. and Barton, A. (2006) Sure Start Bradley and Whitefield (Nelson / Pendle, Lancashire) – Evaluation of Health Visiting and Outreach Services</p> <p>Broughton, K. and Barton, A. (2006) Sure Start Eight Village (Wolverhampton) – Evaluation of progress towards delivery plans and evaluation of the Family Support Service</p> <p><b><u>At National Evaluation of the Children’s Fund, University of Birmingham</u></b></p> <p>National Evaluation of the Children’s Fund (2006) <i>Preventative Services for Gypsy/Traveller Children</i>, London: DfES. ISBN: 1 84478 774 5</p> <p>National Evaluation of the Children’s Fund (2006) <i>Working to Prevent the Social Exclusion of Children and Young People: Final Lessons</i></p>
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	<p><i>from the NECF</i>, London: DfES. ISBN: 1 84478 716 8</p> <p>National Evaluation of the Children's Fund (2006) <i>The Targeting Preventative Services for Children: Experiences from the Children's Fund</i>, London: DfES. ISBN: 1 84478 770 2</p> <p>Warren, S., Apostolov, A., Broughton, K., Evans, R., MacNab, N. and Smith, P. (2006) "Emergent family support practices in a context of policy churn: An example from the Children's Fund", <i>Child Care in Practice</i> 12(4) pp331-246, DOI: 10.1080/13575270600863234</p> <p>Broughton, K. (2005) "Research into Practice: The National Evaluation of the Children's Fund", <i>Practice</i> 17(2) pp135-139, DOI: 10.1080/09503150500148248</p> <p>Broughton, K. (2005) "Strategies and Practices in Work with Marginalised Children: Regional Children's Fund Consortium for Gypsy/Traveller Children and Families" Presentation / working paper for <i>NECF: Networks, Connectedness and Resilience Conference</i>, 12 May 2005, University of Birmingham</p> <p>National Evaluation of the Children's Fund (2005) <i>The National Evaluation of the Children's Fund: Annual Report 2004</i>, London: DfES.</p> <p>National Evaluation of the Children's Fund (2004) <i>Prevention and Early Intervention in the Social Inclusion of Children and Young People</i>, London: DfES. ISBN: 1 84478 716 8</p> <p>National Evaluation of the Children's Fund (2004) <i>Children, Young People, Parents and Carers' Participation in Children's Fund Case Study Partnerships</i>, London: DfES. ISBN: 1 84478 369 3</p> <p>National Evaluation of the Children's Fund (2004) <i>Collaborating for the Social Inclusion of Children and Young People: Emerging Lessons from the First Round of Case Studies</i>, London: DfES. ISBN: 1 84478 344 8</p> <p>National Evaluation of the Children's Fund (2003) <i>Developing Collaboration in Preventative Services for Children and Young People: First Annual Report 2003</i>, London: DfES. ISBN 1 84478 227 1</p> <p><b><u>At CePPUrb, University of Central England</u></b></p> <p>Groves, R., Middleton, A., Murie, A., and Broughton, K. (2003) <i>Neighbourhoods that work: A study of the Bournville estate, Birmingham</i>, JRF Findings 733. York: JRF / Policy Press</p> <p>Loftman, P, Broughton, K. and Saunders, H. (2003) Pride in Camp Hill (Nuneaton) Single Regeneration Budget (SRB) Programme Baseline Survey and Community Engagement Activity (SRB6) [research support as a Research Assistant]</p> <p>Loftman, P and Broughton, K. (2002) Evaluation of North Solihull SRB Programme</p> <p><b><u>As an Independent Researcher</u></b></p> <p>Passmore, S (2000) <i>An Evaluation of Breakfast Clubs in Birmingham's Education Action Zones</i>, Birmingham: Birmingham City Council. ISBN: 978-1903693055 or 1903693055 (authored under Passmore, S. as the individual commissioner for BCC City Wide Strategy Group, but BCC Library has Broughton as author)</p>
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<p><b>Relevant examples grants or awards for research activity:</b></p>	<p><b><u>Research at Coventry University</u></b></p> <p>2016: Faculty of Business and Law “Pump Priming Award” (£5,500)</p> <p>2014–2015: Joseph Rowntree Foundation: “How cities can connect people in poverty with jobs” (£32,940)</p> <p>2013 – present: ‘METPEX – <b>M</b>easurement <b>T</b>ool to determine the quality of <b>P</b>assenger <b>E</b>xperience’ (research to develop a tool to compare passenger experiences across Europe) – £2.57m consortium involving EU partners</p> <p>2012 – 2015: Evaluation of a number of Coventry University Enterprises Ltd’s EU / ERDF funded business support projects for Coventry University Enterprises Ltd (£5,000 or £7,500 each, depending on evaluation type)</p> <p>2012: Evaluation of Garden Organic’s “Sowing New Seeds” project (£5,000)</p> <p>2010: Building Better Neighbourhoods: The Contribution of Faith Communities to Oxfordshire Life, for Oxfordshire Stronger Communities Alliance (£49,800)</p> <p>2010: Evaluation of key performance indicators for Marsh Farm (Luton) New Deal for Communities programme, for Marsh Farm Community Development Trust (£10,000)</p> <p>2009: Improving Housing and Neighbourhood Choices in Mixed Communities, for the Institute of Community Cohesion (£10,000)</p> <p>2008–2010: Final Evaluation of Braunstone (Leicester) New Deal for Communities programme, for Braunstone Community Association (£39,000)</p>
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## **APPENDIX 2: LIST OF OUTPUTS IN THE PORTFOLIO (FOR EASE OF REFERENCE)**

**Output 1:** Jarvis, D. Berkeley, N. and Broughton, K. (2012) "Evidencing the impact of community engagement in neighbourhood regeneration: the case of Canley, Coventry", *Community Development Journal* DOI: 10.1093/cdj/bsq063 (Advance Online Publication, 27 January 2011). Print version April 2012 in *Community Development Journal* 47 (2) pp232-247.

**Output 2:** Broughton, K., Berkeley, N., Lambie, H. and Brady, G. (2009) *The Final Programme Evaluation of the Braunstone New Deal for Communities programme*, Leicester: Braunstone Community Association / Coventry University.

**Output 3:** Jarvis, D., Porter, F., Lambie, H. and Broughton, K. (2010) *Building Better Neighbourhoods: The Contribution of Faith Communities to Oxfordshire Life*, Oxford: Oxfordshire Stronger Communities Association. Chapter 7 "Faiths and the Public Sector".

**Output 4:** Broughton, K., Jarvis, D. and Farnell, R. (2010) "Using Action Learning Sets for More Effective Collaboration: the 'Managing Complex Regeneration' programme" *Learning and Teaching in Higher Education (LATHE)* 4 (2) pp133-137.

**Output 5:** Broughton, K., Berkeley, N. and Jarvis, D. (2011) "Where next for neighbourhood regeneration in England?", *Local Economy* 26 (2) pp82-94.

**Output 6:** Broughton, K., Berkeley, N. and Jarvis, D. (2013) "Neighbourhood Regeneration in an Era of Austerity? Transferable Lessons from the case of Braunstone, Leicester", *Journal of Urban Regeneration and Renewal* 6 (4) pp381-393.

**Output 7:** Broughton, K., Berkeley, N. and Jarvis, D (2013) "Where next for neighbourhood regeneration in England? Two Years On", *Local Economy* 28 (7-8) pp817-827.

**DOCUMENT ENDS**