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Analysis for Policy



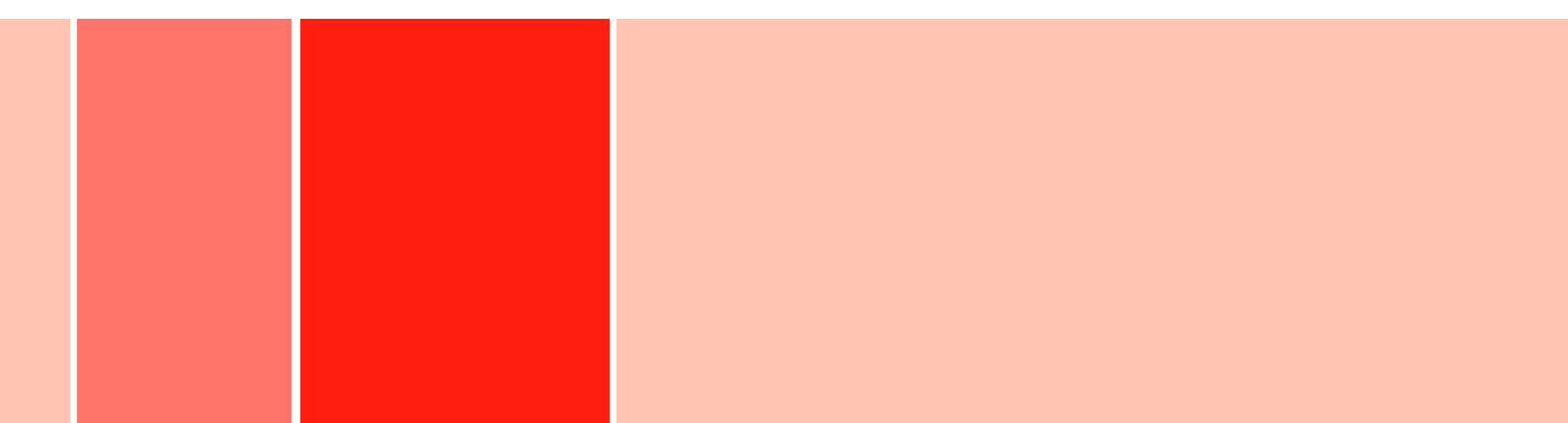
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Process evaluation of Communities First Appendix 1: Theory of Change



Process evaluation of Communities First Appendix 1: Communities First Theory of Change Report

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Glossary of acronyms

Area-based initiative (ABI)

Communities First (CF)

Cost-benefit analysis (CBA)

Not in education, employment or training (NEET)

Outcomes-Based Accountability (OBA)

Results-Based Accountability (RBA)

Tackling Poverty Action Plan (TPAP)

United Kingdom (UK)

Welsh Index of Multiple Deprivation (WIMD)

1 Introduction

Background to Communities First

- 1.1 Communities First (CF) is a flagship community-focused programme supporting the Welsh Government's Tackling Poverty Action Plan (TPAP). The aim is to contribute, alongside other national initiatives, to narrowing the education/skills, economic and health gaps between the most deprived and more affluent areas of Wales, by supporting and encouraging local actions that address the long-term causes and effects of poverty.
- 1.2 Following a reorganisation of the programme in January 2013, 52 Clusters, based on the 10% most deprived communities in Wales as defined by the Welsh Index of Multiple Deprivation (WIMD) 2011, deliver the programme on the ground. These Clusters have the flexibility to develop formal or less formal structures that best suit and reflect local circumstances. While there is still strong support for each local community in a Cluster, the reorganisation meant a move to fewer, larger areas with the implication that some resources are shared between communities. The importance of the CF programme to Wales is reflected in the substantial budget allocated to the initiative by the Welsh Government. Funding for the latest phase of CF is £75 million to March 2015.
- 1.3 The CF Programme has three strategic level objectives designed to effect positive outcomes:
 - Prosperous Communities – economy and employment
 - Learning Communities – education and skills
 - Healthier Communities – health and wellbeing
- 1.4 CF is using Results-Based Accountability™ (RBA) as a performance management tool to help the Clusters focus on how the activities they will deliver will help to achieve the programmes aims, and to monitor progress towards outcomes.

Purpose of this report

- 1.5 This Theory of Change paper presents an evidence review of a meta-analysis of evaluations of a number of other Area-Based Initiatives (ABIs), the challenges and successes they faced, and the implications for Communities First. This paper also presents the Theory of Change for Communities First: the logic and the vision of success for the programme.
- 1.6 The purpose of the Theory of Change is to set out a clear understanding of the nature of the programme, the rationale (i.e. a diagnosis of “the problem” it is trying to address), and the anticipated activities, outputs, outcomes and impacts. It is a graphical depiction of the key influencers, opportunities and challenges of the programme. The Theory of Change also makes explicit the assumptions underlying the rationale for the programme and how the activities carried out by the Welsh Government and the Clusters will lead to the desired outputs, and how these outputs will lead to the desired outcomes and impacts.
- 1.7 The evidence sources used in order to conduct the meta-analysis were independent evaluations of the various ABIs reviewed, CF documents and management information (MI) as well as evaluations of programmes that had used RBA. The evidence sources used to develop the Theory of Change included CF documents and MI, consultations with Welsh Government stakeholders involved in the development of Communities First and other programmes supporting the tackling poverty agenda, as well a Theory of Change workshop held on 28 March 2014 in Cardiff with relevant Welsh Government stakeholders present.

Structure of this report

- 1.8 The structure of this report is as follows:
 - **Chapter 2** outlines the findings from the evidence review about other ABIs and the implications for CF and about the use of RBA as a performance management tool.
 - **Chapter 3** outlines the Theory of Change – a graphical depiction of the influencers and context of Communities First, as well as the

rationale and the logical framework of Communities First, along with a discussion the underlying assumptions behind each stage.

- **Chapter 4** contains a summary of findings.

2 Evidence review

2.1 This chapter summarises the findings from a review of a number of area-based interventions (ABIs) in Wales, the UK and beyond.

Aims and methodology

2.2 The objectives of the review were to:

- assess the extent to which evidence of what works in area-based interventions to tackle poverty has been incorporated into the current phase of CF
- explore the different types of ABIs aimed at tackling poverty, in Wales, the UK and around the world
- understand what other ABIs have been trying to achieve and how, and understand what they did achieve and how, with a particular focus on economic impacts
- assess available evidence regarding the effectiveness of the implementation of a Results-Based Accountability™ (RBA) framework (often called Outcomes-Based Accountability™ (OBA) framework in the UK) in providing clarity of direction in the delivery outcomes, as well as monitoring and evaluating performance
- draw out lessons from this research which are of relevance for the CF programme.

2.3 A list of the ABIs included within the review can be found in the Appendix. The ABIs were identified by the evaluation team by drawing on existing knowledge (primarily for those within the UK) and undertaking a supplementary desk-based research (particularly for the international examples of ABIs). A framework was developed to capture the following information for each ABI:

- *Intervention characteristics*: the nature of the intervention including its location, type, geographical scale and monetary value
- *Evaluation quality*: the quality and coverage of evaluation(s) of the ABI

- *Theory of change*: a review of the logic and assumptions underlying the ABI¹
 - *Evaluation findings*: the key findings from evaluations of the ABIs with a specific focus on what the intervention was found to have achieved
 - *Implications for Communities First*: an assessment of the implications for CF in terms of how to tackle poverty more effectively
 - Use of the *Results-Based Accountability*[™] / *Outcomes-Based Accountability*[™] framework to monitor performance: an assessment of whether RBA or OBA was used and the impact this had on what programmes delivered and achieved
- 2.4 Ultimately, none of the ABIs reviewed had used the RBA or OBA framework, so an analysis of other non ABI programmes which had was undertaken.

Types of area-based initiatives

- 2.5 The table in the Appendix includes a brief outline of the intervention characteristics of each of the ABIs reviewed, illustrating the breadth of activity and differences in focus across area-based programmes.
- 2.6 The ABIs reviewed had different foci for intervention and delivery. For example, many area-based interventions are mainly people-focused, working on softer outcomes such as communication skills and family relationships. Other types of programmes retain the people emphasis but focus more on economic issues such as jobs and skills, and therefore have, perhaps, a more outcome focused approach. Finally, there are also area-based programmes which are, in the main, capital-focused, and concern themselves more with renovating the built and/or natural environment within specific areas.
- 2.7 The scale of resource afforded to the ABIs (be it capital or revenue) varies significantly, influencing the approach adopted in the delivery of activities. There is a tendency for those ABIs that are better funded to gain a critical mass that can enable those managing them to lead on engendering change in the area whilst also leveraging other resources to further their activities. Those with little or no resources for direct

¹ The Theory of Change model is introduced in greater detail later in the chapter.

delivery tend to focus on programme bending² as the core objective of their activity.

2.8 Despite the diversity, it is possible to identify typologies of 'approach'.

These are listed below and in the table on the following page:

- Top down vs. bottom-up/community led
- Narrow focused, targeted agenda vs. broad focus of activities / objectives
- Revenue vs. capital funding
- People vs. place

2.9 The table also summarises the key strengths and weaknesses of each approach. Within each pair, the strengths of one tend to mirror the weakness of the other. For example, the strengths of the bottom-up approach tend to be the weaknesses of the top-down approach.

² The provision of additional resources including funding and staff from other programmes and initiatives to focus on the key priorities of the core programme (in this instance Communities First) (adapted from Welsh Government - <http://gov.wales/topics/people-and-communities/regeneration/communitiesfirst/programme-bending/?lang=en> - accessed 13/3/14).

Table 2.1: Typology of area-based initiatives

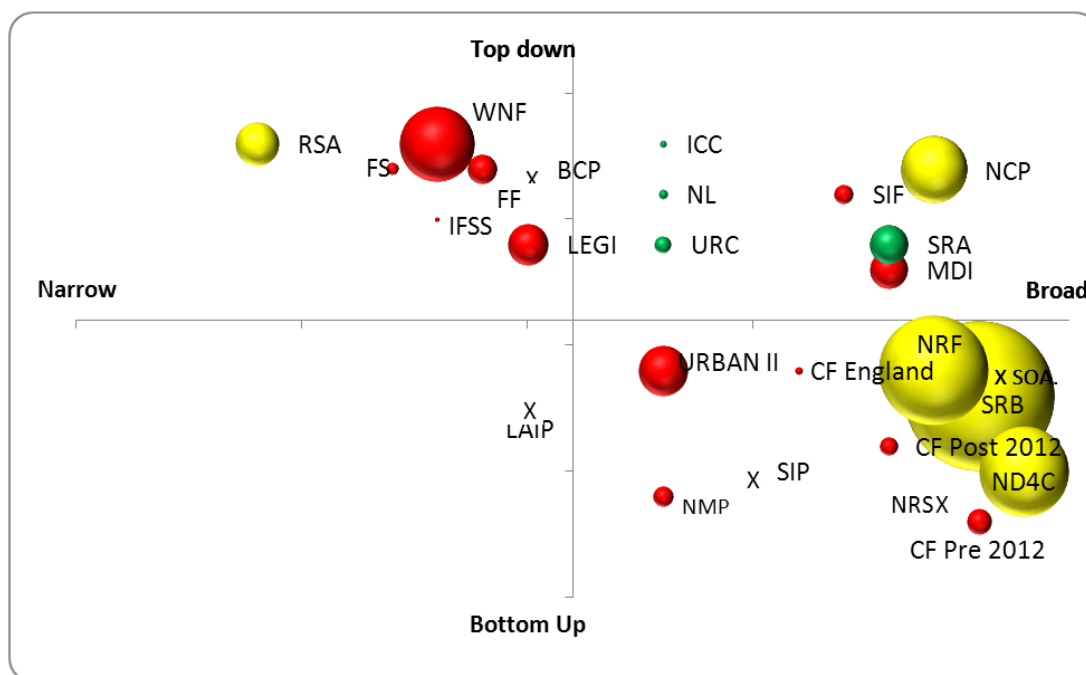
Typology	Brief description	Strengths	Weaknesses	Examples of ABIs with similar characteristics
Bottom-up (or community led)	The community is driving the intervention and deciding on priorities, actions undertaken and so on (albeit with some overarching, strategic direction). The specific objectives of the intervention(s) are set by the community within the target area.	<ul style="list-style-type: none"> Local community is engaged leading to capacity building outcomes. Specific local issues / needs can be addressed. 	<ul style="list-style-type: none"> The activities undertaken may not be considered 'strategic' on a regional or national level. Conflicting priorities between central government and local areas dilute targeted actions. The critical mass necessary to achieve an impact may not be achieved. Quality of delivery limited by the capacity of the community within target areas 	<ul style="list-style-type: none"> Communities First New Deal for Communities Neighbourhood Management Pathfinders
Top-down	The intervention is specified / controlled from the 'top' (Central Government or Local Authorities) and based on achieving a specific strategic objective.	<ul style="list-style-type: none"> Activities are focused on achieving a clear outcome / impact. Economies of scale. The critical mass necessary to achieve an impact is more likely. 	<ul style="list-style-type: none"> Specific local needs may not be addressed. Local stakeholders can feel that the activities are being imposed on them. 	<ul style="list-style-type: none"> Working Neighbourhoods Fund Families First Coalfields
Narrow	The intervention is focused on a small number of activities, issues or areas, usually designed to achieve a very clear and specified outcome and/or impact.	<ul style="list-style-type: none"> Activities are focused on achieving a clear outcome / impact. Economies of scale derived from targeted investment. The critical mass necessary to achieve an impact is more likely. 	<ul style="list-style-type: none"> Supporting activities necessary to achieve outcomes may not be funded (i.e. theory of change). 	<ul style="list-style-type: none"> Working Neighbourhoods Fund Families First Flying start

Typology	Brief description	Strengths	Weaknesses	Examples of ABIs with similar characteristics
Broad	The intervention is not focused on any activities, needs or areas in particular and is designed to be able to address a very wide range of issues and needs identified within any given area.	<ul style="list-style-type: none"> Supporting activities necessary to achieve outcomes can be funded (i.e. theory of change). 	<ul style="list-style-type: none"> It may not be clear how activities are focused on achieving a clear outcome / impact. The critical mass necessary to achieve an impact may not be achieved. 	<ul style="list-style-type: none"> New Deal for Communities SRB NRF Coalfields
Revenue funding	The costs of undertaking <i>activities</i> are funded by the initiative.	<ul style="list-style-type: none"> Funding is available to support activities that facilitate the regeneration of the area. 	<ul style="list-style-type: none"> Sustainability - may not be able to provide that funding over the longer term. 	<ul style="list-style-type: none"> Communities First Social Inclusion Fund
Capital funding	The costs of purchasing or improving fixed assets are funded by the initiative.	<ul style="list-style-type: none"> Key assets within the area can be developed and improved. The benefit of the intervention is visible to the local community. 	<ul style="list-style-type: none"> Sustainability – who maintains the assets? If no revenue funding is available, who manages / promotes the assets? 	<ul style="list-style-type: none"> Strategic Regeneration Areas URCs
People	The intervention is targeted at specific individuals/families within an area	<ul style="list-style-type: none"> Enables a focussing of resources on the specific target groups associated with the initiative 	<ul style="list-style-type: none"> Relies upon clear, tangible definitions of eligibility Can lead to the exclusion of groups that have similar needs 	<ul style="list-style-type: none"> Families First Flying Start
Place	The rationale for (and therefore focus of the) intervention prioritises the needs of an area over specific groups within that area	<ul style="list-style-type: none"> Provides flexibility of approach to respond to an area's needs/opportunities Encourages an inclusive approach to intervention (within the geographical boundaries of the ABI) 	<ul style="list-style-type: none"> May lead to a very broad based approach where focus/targeted investment may be undermined Can lead to those more easily engaged, engaging in the initiative, at the expense of the hardest to reach 	<ul style="list-style-type: none"> SRB NDC Communities First

Source: Ipsos MORI and Wavehill

- 2.10 In the majority of cases, the ABIs reviewed use a mix of the approaches described above; for example none of the interventions are completely top-down or bottom-up.
- 2.11 Figure 2.1 plots those ABIs within the reviews (where data would allow) according to the typologies described above.
- 2.12 The chart provides an overview of the distribution only and is based on the perspective of the study team. The analysis is rough in nature as the size of the sphere is a reflection of the scale of direct investment from that programme (and does not account for leverage of other public sector or private funding), while the colour depicts the nature of intervention (capital (green), revenue (red), mixture (yellow)). In addition, the spheres do not take into account the population eligible for that initiative (the intensity of resources available), hence the tendency for ABIs based in England (with a larger population base) to be depicted by a larger sphere. It was also not possible to obtain the direct expenditure associated with some ABIs; in these instances a cross (X) is plotted on the chart instead of a sphere.
- 2.13 The horizontal axis refers to the breadth of approach that the ABI is seeking to tackle with narrow approaches targeting a specific issue/agenda (for example WNF and worklessness) whilst broad approaches target multiple agendas (the NDC programme).
- 2.14 The vertical axis refers to the origin of the design of the ABI and the specific interventions within that ABI, ranging from top down (at the top), to community-led approaches (at the bottom of the axis)

Figure 2.1: Typology of area-based initiatives³



Source: Ipsos MORI and Wavehill

- 2.15 On the graph above, Communities First is located within a cluster of several English ABIs, albeit with revenue resources only (the other ABIs within that cluster benefitted from a mixture of capital and revenue funds).
- 2.16 The programmes that Communities First is clustered around also operated over a similar geographical scale, although their durations varied from 3 years (NRF) to 10 years (ND4C). However, Communities First is slightly narrower in focus given the emphasis on prosperous, learning and healthier communities (with no specific objectives related to, for example, the environment and crime) and the lack of capital investment to tackle issues associated with infrastructure.

Area-based initiatives: intervention logics

³ RSA – Regional Selective Assistance, FS – Flying Start, WNF – Working Neighbourhoods Fund, FF – Families First, IFSS – Integrated Family Support Service, BCP – Big Cities Policy, LEGI – Local Enterprise Growth Initiative, LAIP – Local Authority Innovation Pilots, ICC – Integrated Children’s Centres, NL – Neighbourhood Law, URC – Urban Regeneration Companies, NMP – Neighbourhood Management Pathfinders, SIP – Social Inclusion Partnerships, CF England – Communities First England, SIF – Social Inclusion Fund, SRA – Strategic Regeneration Areas, MDI – Metropolitan Development Initiative, CF – Communities First (Wales), NRF/NRS – Neighbourhood Renewal Fund/Neighbourhood Renewal Strategy, Single Regeneration Budget (SRB), ND4C – New Deal For Communities, SOA – Single Outcome Agreements, CPP – Community Planning Partnerships

2.17 Theory of Change focuses on the links between activities, outcomes, and context of a policy intervention. The Magenta Book⁴ describes how it involves the specification of an explicit theory of “how” and “why” a policy or intervention might cause an effect which is used to guide the evaluation (intervention logic). It does this by investigating the causal relationships between context-input-output-outcomes-impact in order to understand the combination of factors that has led to the intended or unintended outcomes and impacts.

2.18 There is substantial variance in the rationale (or need) and objectives of the ABIs reviewed, including:

- Tackling poverty through targeting a narrowing of the gap in relation to a series of socio-economic indicators between the recipient area and more affluent areas (Communities First (Wales) and Neighbourhood Renewal Fund (England))
- Improving the support available for parents to help tackle poverty in some of the most disadvantaged areas through targeted provision and entitlement (Flying Start and the Integrated Children’s Centres)
- That coordinated investment in the regeneration of an area can improve the prosperity and quality of life of those living and working there (SRAs)
- Regenerating the coalfield areas, targeting the deep seated structural and social problems through a joined up, multi-agency approach (National Coalfields Regeneration Programme)
- Improving the well-being of the local community (Communities First (England))
- Bringing the local community and local service providers together to enable the development and adoption of a longer term strategy to improving local outcomes and to respond to local needs (NMP)
- The provision of resources to tackle worklessness and low levels of skills and enterprise in the most deprived areas (Working Neighbourhoods Fund)

⁴ HM Treasury, *The Magenta Book: Guidance for evaluation* (2011): 57.

- 2.19 In line with the typologies discussed in the previous section, in some instances, the rationale for the intervention is very specific whilst in others it is far more 'cross-cutting' in its approach.
- 2.20 The objective / ambitions of interventions reviewed vary, and the 'theory of change' approach is a useful tool for explaining this. Generally, there are three approaches:
- The objective / ambition of the intervention is to achieve an output; for examples, to bring local stakeholders together and encourage cooperation.
 - The objective is an outcome (e.g. up-skill local people).
 - For the most ambitious interventions, it is an impact (e.g. reducing deprivation).
- 2.21 Communities First falls into the latter category having high level ambitions to achieve quantifiable impacts within the areas where it is operating. The question that needs to be asked is whether these ambitions are achievable (further development of the theory of change model for the programme can help to answer this question) and whether it is possible to collect indicators (i.e. evidence) on what impact has been achieved (an objective of this evaluation is to design an impact evaluation for CF).
- 2.22 The types of logic applied in ABIs are also wide ranging. ABIs can be divided into six categories:
- ABIs with an emphasis on **improvements in the delivery of existing services**; both in terms of improved integration and greater flexibility to respond to local needs (which in turn is informed by enhanced community-service provider linkages)
 - ABIs with an emphasis on **community empowerment**, strengthening local democracy, community participation and the collective use of amenities
 - ABIs that focus on activities which contribute to improvements in **health and well-being** in target area, with an emphasis on activities which encourage active communities, open access play, play facilities and sport facilities

- ABIs that focus on **employment and enterprise**, targeting unemployment and youth unemployment, funding activities that seek to create jobs, drive entrepreneurship, particularly amongst underrepresented groups, boost aspirations amongst the target population and match the skills of the population with local employer demand
- ABIs that target **education and skills**, improving educational standards and in schools and educational levels in the adult population derived from the logic that enhance learning attainment will lead to greater levels of prosperity
- People-focused ABIs targeting **families and young people** to improve life chances for children, strengthen families and to address specific challenges within the community

2.23 In some instances within the ABIs reviewed, the ‘leap’ between the stages in the theory of change (activities to outputs to outcomes to impacts) are substantial, especially given the timescales involved (e.g. SRAs in Wales). The impact that has been anticipated for a number of the ABIs reviewed is very ambitious and this is evident in the findings of a number of the evaluations which find evidence that outputs and outcomes bear little if any evidence of significant impact (e.g. NMP). The ‘lesson learnt’ in this respect is perhaps that it is important to be realistic (and specific) in terms of assessing what can be achieved, how far along the theory of change model it is possible to progress, and which specific changes will be generated within the lifetime of an ABI.

Area-based initiatives: strategic and implementation issues

Rationale

2.24 The existence of deprived areas lagging behind others in terms of socio-economic factors is caused by a number of complex factors, including relatively poor educational achievement, poor housing and environments, the inadequacy of local job markets, and the effects of benefit systems. All programmes reviewed try to address this inequality.

2.25 Most ABIs have taken a community-led approach basing the rationale on local needs and are underpinned by research and knowledge of local

factors being especially prominent in causing inequality. This is important, as one of the less effective programmes reviewed, the Dutch Big Cities Policy failed to test the core assumption. This core assumption was that liveability issues⁵ and social economic deprivation are related phenomena in the Dutch neighbourhoods targeted and that a policy of ‘social mixing’ of social housing and high-income households would lead to improved quality of life and social capital in previously deprived areas. The evaluation of the policy found liveability and social economic deprivation to be relatively unrelated, and that 92% of those suffering from social economic deprivation lived outside the targeted areas, leading to an ineffective targeting of the project, and thus poor outcomes and impacts.

Central leadership

2.26 Some evaluation reports cite a lack of central leadership and unclear guidelines in the early stages of a programme, leading to early confusion and slow or uneven implementation. It is especially important for community-based ABIs to be clear on what the programme is, how it will be implemented and what it aims to achieve, with many evaluations implicitly describing a tension between the need for clear central leadership and community ownership and autonomy in identifying projects best meeting the communities’ needs. For example, an earlier evaluation of the Communities First project found that some stakeholders thought it to be a grant aided programme, which is contrary to what the Welsh Government was aiming to implement. The fact that the approach to Communities First funds was “non-prescriptive” was interpreted by some as local communities having full control of the use of the funding, while in reality it was envisaged that this would be project based and applied for by local partners. This mismatch between how the central leadership and the communities perceived the programme to be run made early implementation and development of partnerships difficult. The Metropolitan Development Initiative implemented in the

⁵ This refers specifically to *place-based* liveability issues, such as vandalism, anti-social behaviour, crime, safety, traffic, pollution and housing.

three biggest cities in Sweden, suffered from structural weaknesses, such as a weak process for screening participating, grant-receiving schools and organisations, due to the launch process being too rapid. Lessons from this example highlighted the importance of ensuring that the main delivery organisations and the partners have a history of vertical co-operation and power sharing, or have robust governance structures in place (e.g. programme boards) to ensure collaboration happens. Furthermore, as the time and resource commitment early in a programme is often significant the central leadership need to make sure that they are able to secure buy-in from key implementing agencies and staff who may be reluctant to give up their individual service agenda (due to e.g. practical constraints, targets or different 'organisational cultures').

Partnerships

2.27 Most evaluations reviewed have found multiple stable, mutually beneficial and long-term partnerships to be in place, greatly enhancing the delivery of the ABIs. ABIs are often led by consortium partnerships and work on the ground in the communities targeted. For the most part, these partnerships will have been in place before the ABIs, for example Local Authorities working with grassroot organisations to deliver other projects. One of the main challenges for ABIs is to develop a framework within which partnerships are able to develop in order to engage closely with communities, delivering projects on the ground. Thus they are instrumental to the success of the ABIs. Clear direction and adequate buy-in are key when building partnerships in local communities. Partnerships add value and make it possible to reach groups and deliver projects that it would not be possible to do otherwise. Some of the larger projects have been judged by those evaluating them as being successful in leveraging private investment, leading to an increased scope of the programme, such as the UK LEGI programme implemented in 30 Local Authorities across the UK, which managed to leverage £144 million into

project areas (compared to total public funding to the programme of £418 million)⁶.

2.28 ABIs are often working themselves in partnerships with other ABIs or other nation-wide projects to ensure coordination in delivery. It is important for members of the community and stakeholders not to have too high or unrealistic views on what any single ABI can accomplish, but they should instead focus on how different ABIs can complement each other. It will be very important for Communities First that the delivery of Integrated Family Support Services, Families First, Flying Start and Communities First are complementary and achieve synergies, enhancing outcomes and impacts. Some evaluations highlight the importance of learning between areas, whether countries, Local Authorities or communities. An example is Families First, where there are some examples of the development of 'soft' infrastructure; the programme has a learning infrastructure in place to facilitate exchange of learning and good practice through informal networks supplying training for staff about what works. Evaluations often mention a lack of sharing learning and what works, and this is something which needs to be improved in the implementation of ABIs.

Adaptation to local needs

2.29 The focus on community-owned projects is clear among those ABIs reviewed. Many projects strive to be seen as grassroots projects, with local agencies responsible for the delivery and implementation of projects addressing local needs. It is important in these instances that the official training material used or the issues targeted are also locally adapted and relevant. Evaluations cite that implementation issues occur when this has not been the case, as in the case of the Strengthening Families project in Wales, where in the early stages of the programme the instruction videos and material were taken directly from a similar US project and not tailored for the local context, resulting in disengagement with the programme.

⁶ AMION Consulting (2010) 'National Evaluation of the Local Enterprise Growth Initiative Programme', Final Report for the Department for Communities and Local Government

Monitoring

- 2.30 A common issue mentioned by the evaluations is the lack of adequate monitoring data collected by the ABIs. For example, although Integrated Children's Centres gather some qualitative evidence and ask for feedback about their work, there is limited evidence of systematic procedures and efforts to gather comprehensive quantitative data to monitor and evaluate their work. This story is far from unique, with most of the programmes reviewed citing a lack of data or poor monitoring as reasons for not adequately being able to attribute outcomes and impacts to programme activities.
- 2.31 The review also identified that many programmes found that collecting objective data on performance was difficult, especially where staff working on projects did not feel their work lent itself to quantitative reporting of outcomes. This problem becomes even greater when a programme consists of a large number of different projects, such as Communities First. It will potentially be challenging to develop a common monitoring framework that fits the needs of all Clusters, making it possible to aggregate the data, without becoming unwieldy due to the number of indicators.
- 2.32 This review has identified that the range of activities undertaken / outputs and outcome indicators being recorded generally depends of the breadth of the rationale for the project. For the programmes with the broadest rationale, the approach is generally that no specific ABI level outputs have been specified (e.g. SRA in Wales or Coalfields across the UK) and the theory of change is non-existent or has significant gaps. In other instances, a wide array of indicators have been used (e.g. SRB and Social Inclusion Partnerships) reflecting the breadth of activities considered to contribute to tackling poverty and the wider regeneration of these areas.
- 2.33 Both approaches demonstrate the challenges of developing output and outcome indicators for interventions with broad ambitions, a challenge that Communities First faced in its previous guise but is (at least partially) overcome by the tightening of the agenda (in the current

programme) to focus on prosperous, learning and healthier communities and the development a series of priorities and performance measures (within the CF Outcome Indicator Framework) that support the achievement of these. The risk is that no evidence of the outputs of an intervention are collected or, that so many indicators are collected that it becomes very difficult to use the data to assess the progress that is being made or attribute that progress to any of the outcomes identified. For more focused initiatives, it is easier to be specific in terms of what activities are being undertaken and, hence the outputs and outcomes that can be anticipated. Generally, such projects are therefore easier to evaluate and, hence, measuring what they have achieved is more straightforward. One possible solution to this is of course to break-up broader initiatives into more specific 'sub-initiatives' based on specific sub-objectives and again the revisions to the design of Communities First illustrate a movement towards this solution.

Area-based interventions: Outputs, outcomes, impacts and cost-benefit analyses

2.34 This section summarises the outputs, outcomes, impacts and cost-benefit analyses (CBAs) for the ABIs reviewed under three headings. Firstly, it discusses large, broad ABIs that both use revenue funding for place-based activities and capital funding to make infrastructural investments (e.g. New Deal for Communities, URBAN II); this is roughly the high budget programmes in the bottom right quadrant of the typology in Figure 2.1. Secondly, medium-sized community-focused programmes delivering a broad range of programmes aiming to achieve various social outcomes for most or all people in a deprived area (e.g. Communities First, Families First) are discussed; this is roughly those in the top left quadrant of the typology in Figure 2.1. Thirdly, narrow, person-centred programmes, focusing on a single issue, such as child development or youth substance abuse (e.g. Integrated Children's Centres, Integrated Family Support Service); this is roughly those in the top right of the quadrant in Figure 2.1.

Large programmes funding activities and infrastructure

2.35 These broad programmes⁷ often aim to improve various dimensions of a place, focusing on regeneration of communities, as well as social and economic outcomes, making them larger in scope than the smaller community-focused programmes, such as Communities First. Evidence from the evaluations points to relatively greater emphasis, and greater positive change, for place-, rather than people-, related outcomes. ABIs reviewed in this section are:

- New Deal for Communities (ENG) – Approx. £2 billion⁸
- The URBAN II Community Initiative (14 EU states) – €1.6 billion⁹
- Metropolitan Development Initiative (the whole programme, SWE) – €400 million¹⁰
- UK LEGI (UK) – £418 million¹¹
- Big Cities Policy (NED) – unknown¹²
- Strategic Regeneration Areas (WAL) – £10-£33 million per area¹³
- National Coalfields Programme (ENG and WAL) – £1.1 billion¹⁴
- Single Regeneration Budget – 5.7 billion¹⁵
- Neighbourhood Renewal Fund (ENG) – £3 billion¹⁶

2.36 These types of programmes often aim overhaul the infrastructure of deprived areas, focussing on educational, health, economic and

⁷ For example the URBAN II community initiative, implementing 70 programmes across fourteen EU Member States, covering a combined population of 2.2 million, with a combined budget (including matched funding) of €1.6 billion.

⁸ Sheffield Hallam University (2010) 'The New Deal for Communities Experience: A final assessment', Report for the Department for Communities and Local Government

⁹ URBAN II,

http://ec.europa.eu/regional_policy/sources/docgener/evaluation/expost2006/urban_ii_en.htm

¹⁰ Bunar (2010) 'Urban Development, Governance and Education: The Implementation of an Area-based Development Initiative in Sweden', Urban Studies, Number 48: 13

¹¹ AMION Consulting (2010) 'National Evaluation of the Local Enterprise Growth Initiative Programme', Final Report for the Department for Communities and Local Government

¹² van Gent, Musterd and Ostendorf (2009) 'Disentangling neighbourhood problems: Area-based interventions in Western European cities', in: Urban Research and Practice, Vol. 2, Routledge, Taylor & Francis Group

¹³ <http://wales.gov.uk/docs/desh/consultation/121022annexen.pdf>

¹⁴ Communities and Local Government, A Review of Coalfield Regeneration – Government response to recommendations (March 2011)

¹⁵ Communities and Local Government SRB Final Evaluation Report - Urban Research Summary - Number 25, (2007)

¹⁶ Evaluation of the National Strategy for Neighbourhood Renewal - Final report. AMION Consulting (March 2010)

environmental improvements. For example, regeneration outputs may include affordable housing and cycle paths, or environmental equipment projects to recover liquid and toxic waste. Social outputs concern dealing with crime and community safety, and improving cultural, health and childcare facilities. The economic dimension concerns business support, office space and creating job opportunities.

- 2.37 The evaluations show that the projects have successfully generated positive gross outcomes, such as new affordable housing, residents perceiving reductions in crime, and more job opportunities being created leading to a lower unemployment rate in these communities.
- 2.38 While few impact evaluations have been conducted, the evaluations of these major projects are the most likely of all those reviewed to have done this, including a value for money assessment. Many of these programmes have aimed to reducing the gap between the deprived areas in which these projects were implemented and the rest of the country, and this has in some cases been successful. URBAN II, for example, narrowed the gap in the unemployment rate.
- 2.39 In terms of value for money assessments, in the New Deal for Communities programme evaluation, shadow pricing methods were used to determine value for money. The method is based on assessing the compensating change in income that would produce an equivalent change in quality of life as would change in a given outcome. Two cost-benefit calculations were made, with one pointing to benefits amounting to more than five times programme spend, and the other to benefits more than three times programme spend. The 2010 Sheffield Hallam University evaluation concluded that “the programme has provided good value for money”¹⁷, reducing crime and increasing educational attainment for three of the Key Stage education levels. Similarly, the return on investment analysis for the UK LEGI programme found that if total LEGI programme cost (including other public and private costs)

¹⁷ Sheffield Hallam University, 2010: 29-30. However, it should be noted that a study in 2012 by Paul Lawless found that “the evaluation of the Programme points to only modest net change for NDC areas and their residents, much of which reflects improving attitudes towards the area, rather than for the people-related outcomes of health, education and worklessness”. (Lawless (2012) “Can area-based regeneration programmes ever work? Evidence from England's New Deal for Communities Programme”, Policy Studies, 33: 4

were to be included in the benefit:cost ratio, rather than just the start-up costs, the cumulative local Gross Value Added benefit:cost ratio would be 1.5:1¹⁸.

Broad, medium-sized, community-focused programmes

2.40 Broad, community-focused programmes are mainly those that focus on helping and supporting families living in deprived areas within Local Authorities and communities. They are often bottom-up, locally-owned and focus on those services of most importance to the health and socio-economic wellbeing of the people within their catchment areas. ABIs reviewed in this section are:

- Communities First (WAL)
- Communities First (ENG)
- Flying Start (WAL)
- Families First (WAL)
- Metropolitan Development Initiative (the education part of the programme, SWE)¹⁹
- Neighbourhood Management Pathfinders (ENG)
- Working Neighbourhoods Fund (ENG)
- Local Authority Innovation Pilots (ENG)
- Social Investment Fund (NIR)
- Social Inclusion Partnerships(SCO)
- Community Planning Partnerships (SCO)
- Single Outcome Agreements (Fairer Scotland Fund) (SCO)

2.41 Outputs for these types of programmes often relate to the establishment of facilities or partnerships leading to outcomes of increased community engagement and welfare for a targeted population in a deprived area. The outputs these projects focus on are often driven by the partnerships they are able to forge with local organisations. These are often the organisations that become responsible for delivering the projects on the

¹⁸ AMION Consulting (2010) 'National Evaluation of the Local Enterprise Growth Initiative Programme', Final Report for the Department for Communities and Local Government

¹⁹ Bunar (2010) 'Urban Development, Governance and Education: The Implementation of an Area-based Development Initiative in Sweden', Urban Studies, Number 48: 13

ground. The evaluations show that most of these programmes have been able to implement clear guidance and a framework for delivery through which partnerships have been able to achieve community engagement and a platform from which they are able to engage with partners. This “bottom-up”-approach seems to be key to many successful programmes, and where programmes have been less successful, for example the education element of the Metropolitan Development Initiative in Sweden partners have been less embedded in the project and have been less connected with the central leadership and the overall objectives. There is considerable evidence that the majority of ‘bottom-up’ partnerships have successfully developed small and large community-led projects, with the most successful being those which have included a high level of community ownership. This, together with successful promotion of services, has led to a positive picture being described among delivery partners and beneficiaries. For example, the Flying Start programme in Wales has resulted in greater engagement with family services than would have been the case without the programme with 5.7 more visits from the health visiting team than to families in non-Flying Start areas.

- 2.42 However, while beneficiaries are often supportive of interventions in their communities, evaluation evidence in terms of outcomes and impact on beneficiaries is often weak; for example, while support for services offered by Flying Start is high, there were no data available to show any impact on beneficiaries. Furthermore, where there is evidence, it is often self-reported and qualitative; there are very few large-scale quantitative impact evaluations to draw evidence from. Again looking at Flying Start, because a baseline survey was not conducted before the programme was launched it cannot be established whether the Flying Start children started from a lower position than the control group.

Narrow, person-centred programmes

- 2.43 Narrow, person-centred programmes are focused on families or individuals, and may provide only one particular service within the communities in which they operate. ABIs reviewed in this section are:

- Integrated Children’s Centres (WAL)
- Strengthening Families (WAL)
- Strengthening Families (ENG)
- Strengthening Families (USA)
- Integrated Family Support Service (WAL)

2.44 Similar to the medium-sized community focused projects, these narrow projects often focus on outputs relating to the establishment of facilities or partnerships leading to outcomes of increased welfare, but for a more targeted and smaller service than in the community focused programmes. Outputs in these projects often relate to the establishment and promotion of the specific service they provide. For example, an Integrated Children’s Centre has been established in each of the 22 Welsh Local Authorities, and e.g. parenting classes and Welsh teaching are offered. Outcomes are in general positive; children taking part in Integrated Children’s Centres have greater cognitive skills and parents have taken part in training offered, with some finding employment as part of the programme.

2.45 There is evidence on outcomes from the Strengthening Families programme in Iowa, USA, that children are less likely to abuse drugs or alcohol as a result of taking part in the programme, and the evaluation of the UK version of the programme reported improvements in the relationships between parents and their children, as well as improved emotional health and wellbeing of both parents and young people. However, there is little evidence of sustainable impacts in the evaluation evidence reviewed.

Implications for how Communities First can tackle poverty more effectively

2.46 This section focuses on the implications for CF of the lessons learnt from the evaluations of the ABIs analysed.

Large programmes funding activities and infrastructure

2.47 Because these programmes are so large and high-level, most of the problems they have faced, and thus most of the implications for CF,

relate to the importance of local ownership and partnership working, the need for flexibility, and good coordination of budgets and projects.

2.48 The programmes reviewed have been most successful when they responded to local perceptions of need, from beneficiaries, local councillors and Local Authorities, and had the active support of a broad range of local partners, including the private and voluntary sector, and local residents. Evidence from the URBAN and the National Coalfields Programme suggests that CF needs to:

- Provide central support in terms of coordination and helping to embed the programme into an area, taking account of the wider network of programmes and services being delivered in an area.
- Improve provision through close partnership working and regular sharing of learning and best practice.
- Provide central support in terms of monitoring and evaluation, developing strategies and supporting Clusters with planning for delivery.

It is evident from early consultations with Welsh Government stakeholders that they are conscious of needing to provide this kind of support, and the evaluation will examine how effective this has been.

2.49 Evidence from UK LEGI shows that greater flexibility in implementation and in setting targets can enable a bottom-up approach to be adopted and more effective partnerships and relevant projects to be developed. Furthermore, the evaluation of the Strategic Regeneration Areas showed that, apart from flexibility in targeting, funding needs to be flexible (rather than fixed annually) in order to enable more strategic interventions and innovation. The flexibility enables local needs to be addressed and gives partnerships the ability to respond to changing circumstances (for example, changed priorities as a result of the recession). In some programmes, resources have been increased, within the programme areas, through the integration of strategies and resources with other urban development programmes.

2.50 For Communities First this means that the Welsh Government needs to be flexible in implementing the programme, and responsive to proposals

for changing the level of funding or types of activities funded. The Welsh Government recognises this, and is currently working on decreasing the time that it takes to approve proposals for changes in funding levels.

Broad, medium-sized, community-focused programmes

- 2.51 Community-focused programmes often attempt to influence a number of outcomes among a large group of beneficiaries. As in Communities First, these programmes often consist of a large number of different projects making coordination and monitoring complicated, which highlights the need for a central steer to ensure that the overall focus is on tackling poverty. The lessons from these programmes highlight the need for baselining and monitoring and coordination and partnerships.
- 2.52 Baselining is critical for the evaluation of these types of projects. As previously mentioned there were no statistical differences between participants in the Flying Start programme compared to the control group; however, as there was no baseline, it was not possible to ascertain whether the treatment group was “catching up” with the control group, or whether the programme had no impact. Two Scottish projects reviewed, the Social Inclusion Partnerships and the Single Outcome Agreements: Fairer Scotland Fund, both suffered from poor monitoring and data capture, along with too many outcome indicators. This meant that the monitoring of progress and effectiveness of the programme was challenging and impact was nearly impossible to isolate.
- 2.53 CF needs to embed continuous monitoring into every project. It will also be important to aggregate these project level evaluations by developing a common system that provides a basis for learning and reviewing evidence-based changes in policy and implementation. The evaluation will explore how well the Outcomes Framework and the monitoring system Ffynnon are contributing to enabling the Welsh Government to understand progress in implementation and the outcomes the programme is delivering. Furthermore, to ascertain that the programme is contributing to the anticipated longer term outcomes, it would be helpful to track the development of, for example, children, through administrative datasets such as the National Pupil Database. These

datasets could also be used to link administrative data collected before the roll-out of the programme in order to retrospectively create a baseline.

- 2.54 Another area highlighted by the evaluations of these programmes is coordination and partnerships. Central guidance, while not being overly prescriptive, is important. For example, one of the difficulties in the implementation of the Community Planning Partnerships has been the lack of clarity over the role of these partnerships. This has meant that most partners have viewed it as the Local Authority's role to deliver, which has limited partnerships forming and thus reduced the effectiveness and efficiency of the programme. Similarly, the evaluation of the Neighbourhood Management Pathfinders in England found that a lack of central guidance meant that there was a need to consider how the projects identified could be coordinated to maximise the synergy in the attainment of scheme objectives. It was found that in some cases, individual components of the regeneration scheme operated in "splendid isolation", to the detriment of overall goals and objectives.
- 2.55 The Single Regeneration Budget programme shows the importance of having local partnerships in place which have robust information and management systems that allow for effective and timely decisions to be made. The evaluation highlighted the advantages of understanding how the needs of the residents in the regeneration areas could be met by facilitating greater interaction with adjacent areas and similar programmes. Furthermore, the evaluation showed the importance of considering how difficulties experienced by residents in problem areas interface with the policies of mainstream programmes. This is an important learning point for CF. While the programme relies on community-led responses to local issues, the programme also needs to align with other programmes and learn from other Clusters which may have experienced similar issues. It is important that the Welsh Government facilitate finding local solutions to problems while also sharing learning across Clusters.

Narrow, person-centred programmes

- 2.56 Narrow, person-centred programmes have more limited outputs, focused on one or a few services in the community, often focused on a particular group with particular needs. The main lesson from these programmes concerns sharing learning about 'what works'.
- 2.57 In the evaluation of the Welsh Strengthening Families programme, issues around targeted approaches versus universal prevention intervention were raised. The evaluation recommends that any national implementation of the programme be accompanied by a programme of research which examines its long term preventative effects in relation to substance use, the wider outcomes for families, and the merits of different approaches to programme delivery. It is important, however, to not only conduct the research, but to share the learning that results from it, especially when dealing with an innovative project about which there is little research or knowledge.
- 2.58 This is something which would also benefit CF, as there will be many different approaches in the different Clusters. Some of these approaches will be innovative, and while they may be successful in one Cluster there might be specific circumstances enabling those approaches to work in that setting. In case a similar project is implemented in a different Cluster it will be important to monitor the performance of this programme and find out how it is successful or why it is not. Thus, one of the main learning points for CF from these types of programmes is to conduct further research into applicability in a wider context when implementing innovative programmes. Sharing the learning coming out from these innovative projects will be important in developing best practice.

Findings on the use of RBA to monitor performance

- 2.59 Results Based AccountabilityTM (RBA) is based on working backwards from the ends the programme wishes to achieve, and then taking a step by step approach to understanding how to measure if that is happening and why, who needs to be involved in making the changes, and what

practical steps are going to be taken to achieve that change. RBA is used as shorthand for a legally protected framework involving:

- **Population vs. Performance Accountability:** This is the single most important distinction in RBA. Population Accountability concerns the wellbeing of a population in a geographic area (community, city, county, state or nation). Performance Accountability examines how well a service, agency or service system is working.
- **Language Discipline:** RBA presents three definitions that are central to understanding the framework.
 - Results or outcomes – conditions of well-being for children, adults, families or communities, stated in plain English.
 - Indicators – measures which help quantify the achievement of a result.
 - Performance measures – measures of how well public and private programmes and agencies are working..
- **Getting from talk to action:** RBA presents a 7-step process that helps people move from stating good intentions to taking the actions necessary to achieve those intentions.

2.60 RBA thus emphasises an outcomes-focused way of working, often requiring a cultural shift in the organisations which adopt it to reflect this, embedding the structure in its working practices, developing its workforce and projects to fit this way of working, as well as developing appropriate governance structures. A major problem of the first phase of CF was that it proved near impossible to come to any sort of view about the cumulative impact of all the activity that took place. Local partnerships were empowered to work locally, but due to projects and stakeholders having different sets of priorities and different planning and reporting arrangements, Ministers and officials found it challenging to justify expenditure on the programme.

2.61 RBA is now used in the CF programme. It gives Cluster Managers and teams a shared set of outcomes to focus on (while still allowing scope for local discretion) and greater clarity on what should be delivered (all

activities must tie into the Outcomes Framework) and how progress should be reported.

2.62 RBA has been used in a number of projects in Wales and the rest of the UK. However, there is a lack of robust evaluation evidence of the impacts of using this approach, partly due to a lack of impact evaluations of programmes using this approach and partly due to the difficulties in evaluating the incremental effect of using RBA separate from the impact of the interventions themselves.

2.63 However, one programme that could show impact is the Welsh Government's flagship youth policy 'Extending Entitlement' (2000). The City and County of Swansea and Careers Wales West developed a 'Keeping in Touch (KIT) Strategy' in order to track the young people aged 16-18 years in Swansea and whether they were in education, employment or training. Two main objectives were set: to keep in touch with all young people aged 16 to 18 years, and to prevent young people becoming NEET (not in education, employment or training) at 16 years and re-engage those who become NEET during those years. Clear targets and performance measures were set (reducing the percentage of NEET young people) according to the RBA framework. The study found that there had been a reduction in the percentage of 17 year old NEETs from 7.6 per cent in 2007 to 6.4 per cent in 2011. There was also a lower percentage of 17 year olds in the "unknown" category. Similarly, the children's charity, National Children's Home (now Action for Children), stated that they were able to better show impact by using of RBA to plan and monitor projects. For example, they stated that the number of families risking homelessness in the North of England decreased from 23 per cent to 15 per cent after an intervention.

2.64 Evidence from other studies shows that the RBA framework can serve to ensure that outcomes, rather than processes, are always the focus of the programme for all partners involved. The example of the Wales Epilepsy Units Outcomes Focussed Service Improvements for People with Chronic Conditions programme showed that it enabled a "clear line

of sight”²⁰ between Board and Local Service Board priorities and patient outcomes at a departmental level, thus providing a vehicle for engaging stakeholders.

- 2.65 Staff training and workshops are essential for ensuring buy-in from all involved, and adopting a single methodology and a common language around performance and improvement. The Leeds Local Authority has held workshops in all their 25 clusters through their Children and Young People work, as well as using RBA in a weekly progress tracker as a way to visually demonstrate to staff, partners and the public the progress being made against outcomes. An evaluation of the Chronic Conditions Management Demonstrator Programme of the use of RBA in the NHS, Local Authorities and Voluntary Sector, showed that satisfaction with the framework was high, increasing as participants undertook more projects using the framework. Over nine in ten of survey respondents stated that RBA was useful as tool for driving improvements and over half (54 per cent) reported that it was very useful.
- 2.66 Putting outcomes at the heart of planning and target setting is cited by several other programmes as one of the main strengths of the RBA framework. Both Gloucestershire and Telford and Wrekin’s Children and Young People’s Strategic Partnership have used RBA leading to new, outcome-focused thinking and to a decision to integrate and target outcomes for vulnerable children throughout the Children and Young People’s Plan, instead of identifying them separately.
- 2.67 The Telford and Wrekin Council state that each of five school and community ‘clusters’ uses “Turning the Curve” workshops to target priority outcomes and plan appropriate action. “Turning the Curve” is a toolkit for implementing RBA. It describes a process that enables stakeholders to identify the priority outcomes they wish to improve. By analysing and understanding trend data, they can construct a strategy for achieving better outcomes. This is presented in graphic terms, (hence turning the curve) and provides a more fair and realistic measure of success than short term targets for “point to point” improvement that

²⁰ Jordan, Pierri, “Outcomes Focussed Service Improvements for People with Chronic Conditions – a Case Study in Epilepsy”, CCMD Cardiff

can lead to premature claims that a strategy has “failed”. The Newcastle upon Tyne NEETs programme, using the RBA framework, were able to improve their monitoring and show that over three years the targeted outcome ‘curve’ was being turned. The proportion of Newcastle 16-19 year olds who were not in education, employment or training declined from 15 per cent to 9.5 per cent – a sharper fall than for Tyne and Wear as a whole.

- 2.68 In summary, RBA can have a positive impact on planning and monitoring programmes, making it easier to plan projects that are likely to lead to the desired outcomes, and to monitor progress towards those outcomes. It is important that stakeholders are adequately trained in how to use RBA; Communities First has rolled out a programme of training to ensure this is the case, but new staff will need to be trained on a rolling basis.
- 2.69 RBA is also felt to be an appropriate tool to help demonstrate outcomes. Stakeholders from the Chronic Conditions Management Demonstrator Programme of the use of RBA in the NHS, Local Authorities and Voluntary Sector felt that RBA came along at the right time. It was argued that the Welsh Government is exerting pressure on organisations to demonstrate outcomes, with most interviewees feeling that, in order to do so, they required an outcomes-focused methodology. Prior to RBA, it was felt, internal audits and external evaluations were not outcome-driven, and respondents acknowledged that in the present economic climate it was imperative to demonstrate impact and outcomes.

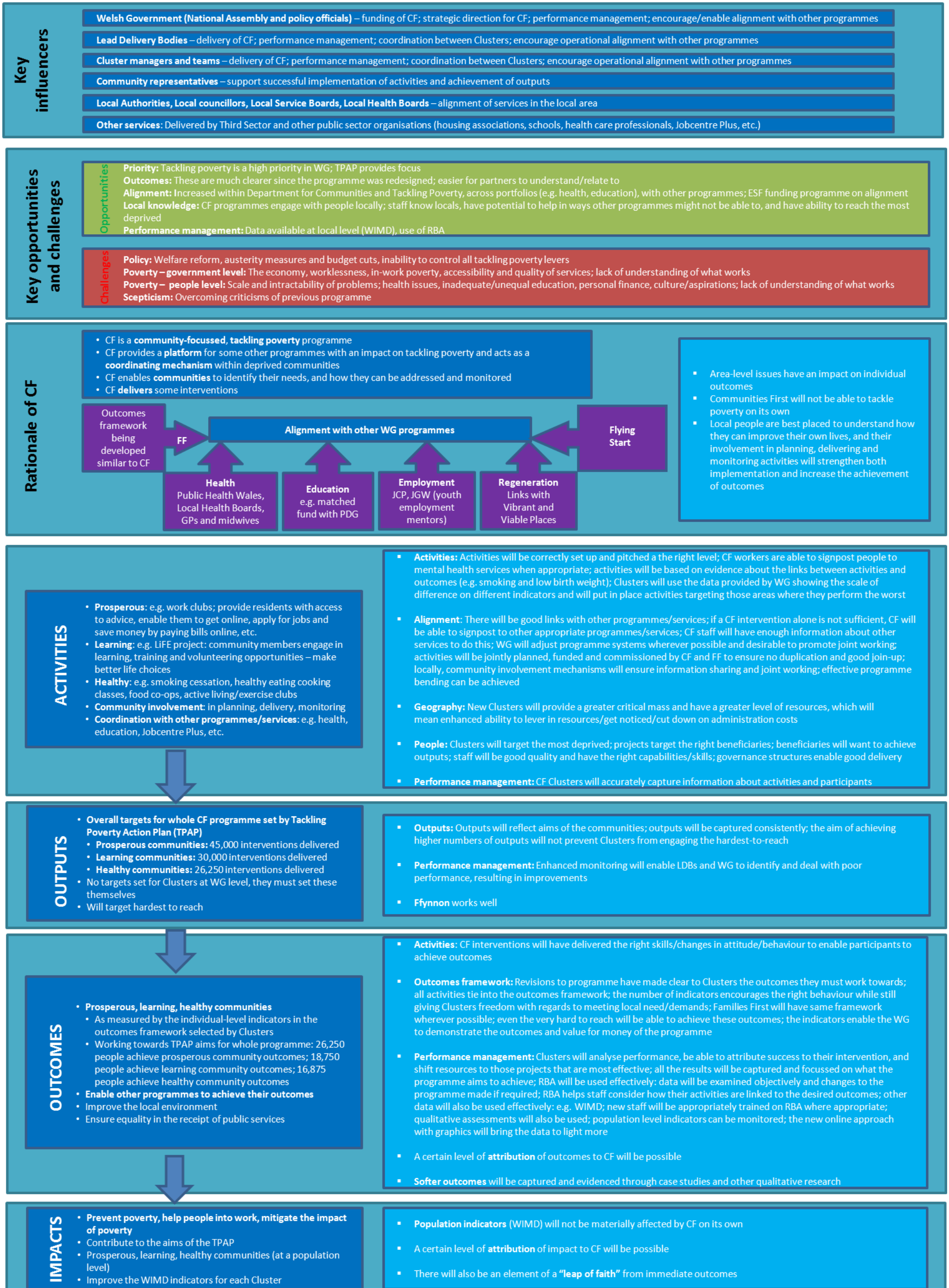
3 Theory of Change

- 3.1 This section presents the Theory of Change for Communities First. The purpose of the Theory of Change is to set out a clear understanding of the nature of the problem, the rationale (i.e. a diagnosis of “the problem” it is trying to address), and the anticipated activities, outputs, outcomes and impacts. It provides a clear analytical framework for the evaluation, defining the data that needs to be collected, and issues that need to be considered in evaluating the programme.

Methodology for developing the Theory of Change

- 3.2 Evidence feeding into the Theory of Change includes a document review of Welsh Government MI about Communities First, including Cluster Delivery Plans and Community Involvement Plans. The Evaluation Team also carried out in-depth interviews with Welsh Government stakeholders involved in developing and managing Communities First and other programmes contributing to the tackling poverty agenda. From the evidence gathered, a draft version of the Theory of Change was developed.
- 3.3 This draft was presented and discussed at a workshop held at the Welsh Government in Cardiff on 28 March 2014, at which Welsh Government stakeholders involved in developing and managing Communities First participated. The Theory of Change was further refined on the basis of feedback given at the workshop.
- 3.4 The Theory of Change is presented in Figure 3.1. The Theory of Change has two main parts. The first outlines the context and rationale for CF. It identifies those individuals and organisations that will have a key influence over Communities First achieving its aims. It then presents key opportunities and challenges for the programme, and explains its rationale and explores the assumptions that underpin the rationale.
- 3.5 The second section of the Theory of Change is outlines the logical framework of the programme, illustrating how the activities lead to the outputs which lead to the outcomes and impacts, and exploring the assumptions at each stage.

Figure 3.1: Communities First Theory of Change



Source: Ipsos MORI and Wavehill

Key influencers

3.6 The key influencers of the programme are those individuals and organisations whose actions will impact on whether or not CF achieves its aims. The key influencers of CF are the main bodies involved in delivering the programme, including:

- The Welsh Government (both the political and civil service components) is involved in funding the programme, providing strategic direction and managing performance. They are also leading on ensuring CF and other relevant programmes align well with one another. Moreover, the Welsh Government funded evaluations of previous phases of Communities First, and the recommendations from these have been an important influence on the design of the latest iteration of the programme.
- Lead Delivery Bodies and Cluster Managers and teams are responsible for the delivery of CF and performance management. They support collaboration between Clusters and facilitate operational alignment with other programmes.
- Community representatives support the successful implementation of activities and the achievement of outputs. The aspiration is that these community representatives represent the programme beneficiaries.
- Local Authorities, Local Councillors, Local Service Boards and Local Health Boards are key in ensuring alignment of services within and across Clusters.
- Other services, including those delivered by the public sector and the Third Sector, such as Jobcentre Plus, housing associations, schools and health professionals, play a key role in referring individuals to CF and supporting CF beneficiaries in other ways, which will ideally be mutually beneficial to CF and the other services.

Key opportunities and challenges

3.7 There are several opportunities for CF relating to the context for the Welsh Government, including:

- Priority: The Welsh Government has put tackling poverty high on its agenda, ensuring that it is a priority throughout central and local

government in Wales. The TPAP provides clarity about what the Welsh Government is trying to achieve with the tackling poverty agenda, providing a source of direction for all those involved in delivery.

- **Outcomes:** Under the new phase of CF, the Welsh Government has made the outcomes and impact the programme is aiming to achieve much clearer.
- **Alignment:** Bringing the three flagship tackling poverty programmes (CF, Families First and Flying Start) under one portfolio has improved alignment. Bringing the civil servants managing the programmes from a Welsh Government perspective into the same Ministry has encouraged closer working, enabled managers to better understand the other programmes, and managers to see how programme designs can be changed to facilitate joint working on the ground. Moreover, there is an ESF-funded programme exploring how to facilitate alignment among programmes.
- **Local knowledge:** The community-led focus of CF will ensure that activities respond to local needs, communities have ownership over activities, and the most deprived are targeted.
- **Performance management:** The availability of data at a more granular level will enable activities to be better targeted to local need. The use of RBA will improve the focus on outcomes and ensure all activities are tied to those outcomes.

3.8 There are several challenges for CF relating to the context for Welsh Government, including:

- **Policy:** The UK Government is pursuing a programme of austerity measures involving cuts to the Welsh Government's budget, restricting the total amount that the Welsh Government can spend. Furthermore, the Welsh Government cannot control all the levers relating to tackling poverty, such as fiscal, monetary and welfare policy, and the welfare system is currently undergoing significant change, particularly with the introduction of the Universal Credit.

- Poverty – government level: Macro-level negative impacts on poverty in Wales include the recession (although arguably recovery has now taken hold in Wales), the rise of in-work poverty, moderately high unemployment, and the inverse care law (more deprived areas have poorer accessibility to poorer quality services). There is also a lack of evidence about what works in terms of tackling poverty, which complicates the picture and highlights the need for evidence-based policy in this area.
- Poverty – individual level: Stakeholders emphasised the role that culture played in perpetuating poverty, highlighting that intergenerational poverty had led to many young people lacking aspirations or not believing they could achieve more than their parents. There is also an issue of attitudes toward travelling to work, with many adults expecting jobs to be available in their communities. The scale and the intractability of poverty, and of the inequalities in health and education outcomes between the poorest and most well-off, are also major challenges.
- Scepticism: It will be important to overcome the criticism levelled at the previous version of CF by demonstrating that the new phase has taken into account recommendations from previous evaluations, particularly regarding the focus on outcomes and improving the governance of the programme.

Rationale for Communities First

3.9 The rationale for Communities First is that as a community-focussed, tackling poverty programme it will not only deliver activities by itself, but also provide a platform for the successful delivery of some other programmes with an impact on tackling poverty, and act as a coordinating mechanism within deprived communities. CF will involve communities in identifying local needs, delivering projects and monitoring achievements. Finally, CF will align with many other programmes and services, leveraging resources and knowledge. This will add value to CF, but it will also improve the delivery of other

programmes. It will be one of the platforms from which CF and other programmes can deliver activities together and achieve outcomes these programmes might not have been able to deliver otherwise.

3.10 There are important assumptions underpinning the rationale for the programme:

- All ABIs assume that area-level issues have an impact on individual outcomes, so that by addressing issues at a community level, individual outcomes will be improved.
- CF will not be able to tackle poverty on its own, partly because it does not have adequate resources over a sufficient period of time for the task, and partly because it will require the expertise of those working in other sectors, such as health, education and employment. There is also an assumption that CF will be able to effectively align itself with other programmes to achieve its aims.
- The community involvement element of CF assumes that local people are the best placed to understand how they can improve their own lives, and their involvement in planning, delivering and monitoring activities will both strengthen implementation and enhance the achievement of outcomes.

Activities

3.11 The activities of the programme are varied and differ from Cluster to Cluster as the different communities identify local needs and local solutions to those needs. In every community, however, they are categorised into those that aim to create Learning Communities, Healthier Communities, and Prosperous Communities.

3.12 Stakeholders identified four critical risks to CF in the delivery and monitoring of activities. First, they felt that there was a relatively high likelihood that CF would struggle to achieve good links with health professionals. This is partly because the health sector is large and often undergoes reorganisations, so it can be difficult to identify the key individuals with whom it is important to build relationships. There is also a need to build the trust of health professionals in CF staff working in communities so both parties can work productively together.

Stakeholders also felt that this would be a critical risk to the programme if it did materialise, because it would affect approximately one-third of interventions and outcomes.

- 3.13 Stakeholders also felt that there was a high probability that some Clusters would not be able to engage the most deprived, and that this would be a major risk to the programme if it occurred. It was felt that some Clusters had conducted very thorough scoping exercises about the target beneficiaries of their activities and how to engage them, while others had not. Particularly for these latter Clusters, there was concern that sufficient effort might not be put into reaching out to the most difficult to reach who would not perhaps engage in activities without an additional level of support and encouragement.
- 3.14 Stakeholders also identified staff not having the right skills and capabilities as a critical risk with a high likelihood of materialising. Some Clusters reportedly have excellent staff with good community engagement skills, while there is concern that in other Clusters staff do not have quite the same level of skills. As CF is highly dependent on the effectiveness of the Cluster Manager and team, this could be a serious risk for the programme.
- 3.15 A risk with regards to the monitoring of activities was also highlighted. CF Clusters capture information about activities, participants and outputs in different ways, which may result in the evidence base not accurately reflecting what has been delivered and to whom.

Outputs

- 3.16 The TPAP sets targets for the number of interventions delivered across the programme under each of the three strands of Prosperous, Learning and Healthier communities. The Clusters are responsible for setting their own targets based on the needs in their area. The outputs will target those hardest to reach and those most in need of support. By participating in interventions which enhance their skills, improve their attitudes or change their behaviours, it is anticipated that the outputs will lead to individuals achieving the outcomes in the Outcome Framework, which fall under the same three themes.

- 3.17 A tension was highlighted between the aim to achieve high numbers of outputs, and the need for the programme to target the hardest to reach. Some concern was expressed about whether Clusters were being incentivised in the right way to balance these potentially contradictory objectives, and whether this might put the achievement of outputs at risk.
- 3.18 Stakeholders identified that the key risk to demonstrating the achievement of outputs was Ffynnon, the performance monitoring system, not working well. Ffynnon is the tool that Clusters use to report on their performance to the Welsh Government. The Welsh Government can use Ffynnon to generate scoreboards with information about how delivery in each Cluster is progressing against its plan. Currently Ffynnon does not enable cross-Cluster comparisons, but there are plans for it to be able to do this in future.

Outcomes

- 3.19 CF outcomes are focused on creating Learning communities, Healthier communities, and Prosperous communities, as measured by the individual-level indicators in the outcomes framework selected by Clusters. The TPAP also identifies the numbers of individuals that it aims to see achieve outcomes in each of the three outcome strands.
- 3.20 The also programme has related and wider outcome aims, including ensuring equality in the receipt of public services and enabling other programmes to achieve their outcomes.
- 3.21 Stakeholders felt there were two critical risks to the achievement of outcomes. First, they felt that it was likely that in some cases, the beneficiaries would not have developed the right skills or made the attitudinal or behavioural changes as a result of the activities to enable them to achieve outcomes. This was tied to the lack of evidence or inherent complexity in some instances about what works to achieve outcomes. For example, while it is scientifically proven that smoking during pregnancy contributes to low birth weight babies, the intervention that will enable an individual to get a job is much more complex and will differ from person to person.

3.22 Second, stakeholders thought there was a high likelihood that some Clusters would carry on delivering according to their annual plan, regardless of the interim performance data pointing to certain activities being more effective than others. Stakeholders thought some Clusters would effectively reallocate resources to those activities that were leading to outcomes, or away from less effective projects, but that this was unlikely to happen across the board.

Impacts

3.23 The overarching impact CF aims to achieve is to reduce poverty by contributing to the three main aims of TPAP: preventing poverty, helping people into work and mitigating the impact of poverty. This will be achieved through CF creating Learning, Healthier, and Prosperous communities at a population level, and improving the WIMD indicators for each Cluster.

3.24 Stakeholders identified CF not being able to reduce poverty on its own as a critical risk to the achievement of the poverty reduction impact. There is a recognition that it will take significant time and resources to make a positive impact on poverty, and that CF is not well-enough funded, or planned to run for a sufficient period of time, to make this impact by itself. This highlights the importance of CF working effectively with other programmes and services.

3.25 The key risk to demonstrating the achievement of impact is that it will not be possible to attribute the impacts to CF. This evaluation will analyse a number of options for an impact evaluation and will explore different methods for attributing impacts to CF.

4 Summary

Evidence review

- 4.1 A review of the different types of ABIs reveals that most interventions can be typified along the following dimensions: narrow to broad (in terms of objectives), top-down to bottom-up, revenue or capital funded, and people or place centred.
- 4.2 Communities First is categorised as a broad, bottom-up, place-based, revenue-funded programme. The programme has high level ambitions to achieve quantifiable impacts within the areas where it is operating. The review highlighted that monitoring of these outcomes in such programmes is often complicated owing to the breadth of potential results that might be achieved. For example, clarity around the aims of the programme, and monitoring and attribution in particular, were issues experienced by the previous iteration of Communities First.
- 4.3 Furthermore, the distinction between intended outcomes and intended impacts need to be made clearer. Outcomes relate to the three goals of Communities First:
- Prosperous communities, such as getting people into work and encouraging investments in local businesses
 - Learning communities, such as increasing educational attainment
 - Healthy communities, such as reducing smoking and alcohol and drug abuse
- 4.4 While some of these outcomes can be considered an end in themselves, these outcomes will ultimately lead to the impact of a decreased level of poverty in the Clusters and, in extension, at a national level.
- 4.5 The evidence review identified a number of important strategic and implementation issues faced by ABIs, including:
- The **rationale** of the programme being clearly defined, with the assumptions underlying the need for the programme being tested and the correct target group(s) identified.
 - **Central leadership** needing to provide a clear steer on what the programme is aiming to achieve, and committing time and resources early in the programme to ensure implementation is smooth.

- **Partnership** coordination being important to avoid duplication and to achieve synergy effects.
- **Adapting to local needs** being a key factor in ensuring bottom-up approaches are successful. It is important that for example official training material used or the issues targeted are also locally adapted and relevant.
- Adequate **monitoring** being especially challenging when the programme is broad and community-led, especially where there isn't a common framework for capturing outcomes.

4.6 The evidence review also considered the use of RBA to monitor performance. There is a lack of robust evaluation evidence of the impacts of using this approach, partly due to a lack of impact evaluations of programmes using this approach and partly due to the difficulties in evaluating the incremental effect of using RBA separate from the impact of the interventions themselves. Nevertheless, several studies suggested that, through using RBA, programmes were better able to plan and monitor projects. The RBA framework can serve to ensure that outcomes, rather than processes, are always the focus of the programme for all partners involved. However, the evidence review highlighted the need to provide adequate training for the staff delivering the programme.

Theory of change

4.7 CF is a community-focussed, tackling poverty programme. The rationale for CF is three-fold:

- that area-level issues have an impact on individual outcomes, so that by addressing issues at a community level, individual outcomes will be improved
- that poverty cannot be tackled by one programme or service alone, but that a platform to enable all programmes and services to work together will be effective
- that local people are the best placed to understand how they can improve their own lives, and their involvement in planning, delivering

and monitoring activities will both strengthen implementation and enhance the achievement of outcomes

- 4.8 The key individuals and organisations involved in ensuring CF achieves its aims include the Welsh Government, Lead Delivery Bodies, Cluster Managers and teams, community representatives, Local Authorities and other programmes and services.
- 4.9 Through the delivery of projects, engaging local communities and aligning with other programmes and services, Communities First aims to deliver the target outputs set out in the TPAP under the headings of Prosperous, Learning and Healthier Communities, while targeting the hardest to reach. The outputs are related to individuals participating in interventions.
- 4.10 By participating in interventions which enhance their skills, improve their attitudes or change their behaviours, it is anticipated that the outputs will lead to individuals achieving the outcomes in the Outcome Framework, which fall under the same three themes. This will then feed into the programme having an impact at on the three themes at population level, thus helping to achieve the TPAP aims of preventing poverty, helping people into work, and mitigating poverty. Improvements on other WIMD indicators at a Cluster level are also expected.
- 4.11 There are several key risks to Communities First. Risks to the delivery and monitoring of activities include poor links with health professionals, Clusters not being able to engage the most deprived, staff not having the right skills and capabilities and Clusters failing to capture accurately activity and beneficiary data. In terms of delivery and monitoring of outputs, there is a risk that Clusters do not manage to strike a balance between targeting the most deprived and achieving more outputs. There is also a risk that Ffynnon does not work well, and it is difficult to assess the programme's performance. Regarding outcomes, stakeholders felt that in some cases, activities might not always develop the right skills/attitudes/behaviours in beneficiaries to enable them to achieve outcomes, partly due to a lack of evidence in some areas about what works. Moreover, there is a risk that some Clusters will not effectively reallocate resources to those activities that are leading to outcomes, or

away from less effective projects. Finally, there is a risk that Communities First may not achieve an impact, or it may not be possible to attribute effects detected to the programme.

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Appendix

Programme	Intervention characteristics			Theory of change			
	Description of intervention	Location	Spatial scale of intervention	Inputs used	Outputs anticipated	Outcomes anticipated	Anticipated impacts
Flying Start	<p>The Flying Start programme aims to improve outcomes for children in some of the most disadvantaged areas across Wales. This is done through providing four key Flying Start entitlements to children under four years old and their families: enhanced health visiting, parenting support, support for early language development (primarily in the form of Language and Play programmes) and free, high quality, part-time childcare for two to three year olds.</p> <p>The programme in the long-term aims to reduce the size of the population with low skills and thereby ultimately tackle income inequality. It is an area-based programme, geographically targeted to some of the most disadvantaged areas of Wales and is universally available to families with children aged nought to four in those areas.</p>	Wales	School catchment areas in the most disadvantaged areas in Wales determined by postcode	<p>The Welsh Government annually invests approximately £2,000 (£2,100 after 09/10) for each of 16,000 (18,000 in 2012) children under the age of 4 in targeted deprived areas in each LA.</p> <ul style="list-style-type: none"> - Management overheads - Staff training and support 	<p>Participation</p> <ul style="list-style-type: none"> - Take-up of childcare offer - Contact with HVs and related professionals - Take-up and completion of LAP and parenting programmes <p>Service</p> <ul style="list-style-type: none"> - Staff numbers - Staff training and qualifications - Systems for sharing information 	<p>Immediate</p> <p>Child development</p> <ul style="list-style-type: none"> - language - cognitive - social/emotional - early identification of need <p>Family / Parental</p> <ul style="list-style-type: none"> - parenting and behaviour skills - health and other social - perceptions of the local area <p>Sustained service improvement</p> <ul style="list-style-type: none"> - service integration - cross referrals <p>Longer term</p> <p>Improvements in education, social and health well-being of children. Improvements in parenting behaviour, qualification levels of sector, reduced cost of remedial care systems in FS areas.</p>	<p>Impacts</p> <p>Improved preparation for learning, better childcare provision and reduced 'poverties' in Wales</p>
Integrated Children's Centres	<p>Integrated Children's Centres provide the following core services:</p> <ul style="list-style-type: none"> • Early Years Education • Childcare • Open Access Play • Community Education and Training <p>They also support a wide range of organisations to deliver health, learning and play activities for children and parents. The centres are based on the concept that providing integrated education, care, family support and health services gives children the best possible start in life. The structure and delivery of activities at the centres are based on the needs of the local community.</p>	Wales	One ICC in each Welsh LA, 22 in total.	<p>Big Lottery Fund provided £10.5m to building 22 ICCs, one in each Welsh LA. Revenue funding to support the ICCs is provided by Local Authorities.</p> <p>Parent volunteers used.</p>	<p>Creating an ICC in each of the 22 Welsh LAs.</p>	<p>Integration of services such as education, childcare, social care, parenting and family support at a single point of contact were hoped to be effective ways of supporting children and their families.</p> <p>Better addressing the needs of children, parents and the local community, and the community's sense of ownership of the centres.</p> <p>Success of the centres in encouraging multi-agency working and their impact on the voluntary sector or community first partnerships.</p>	<p>Sustainable ICCs.</p> <ul style="list-style-type: none"> •Improved Early Years Education - impact on children (such as higher birth weights, improved cognitive skills, etc.) •Childcare - available to parents •Open Access Play •Community Education and Training - parents employment prospects up

Strengthening Families	The Strengthening Families Programme 10-14 (UK) is designed to prevent young people from misusing alcohol and drugs by strengthening protective factors and reducing key risk factors associated with substance misuse (Coombes, et al. 2006). The programme addresses three broad areas: family functioning, including communication between parents and children; strengthening parental skills; and helping young people to develop new skills in relation to resisting peer pressure, stress management, and goal setting.	Wales	Universal prevention intervention designed for delivery to all families with children aged between 10 and 14.	Unknown	The programme includes seven weekly sessions. The first hour comprises separate activities for young people and their parents. In the second hour of each session families work together. A series of four Booster sessions is sometimes offered to families who complete the main seven week course.	The programme addresses three broad areas: family functioning, including communication between parents and children; strengthening parental skills; and helping young people to develop new skills in relation to resisting peer pressure, stress management, and goal setting.	Prevent young people from misusing alcohol and drugs by strengthening protective factors and reducing key risk factors associated with substance misuse
Families First	Families First aims to improve the design and delivery of the services local authority areas provide to families. In particular, it aims to improve families' experiences through offering support that meets the needs of whole families, rather than individuals within families, and by providing a means of co-ordinating the support families receive from different agencies.	Wales	As of summer 2013, a JAFF approach had been fully implemented in 18 of the 22 local authorities in Wales (underway in the rest)	Families First will run for an initial lifespan of five years; the funding will be reviewed annually, and is set at around £43.4m for 2013.	Improved design and delivery of the services local authority areas provide to families.	It aims to improve families' experiences through offering support that meets the needs of whole families, rather than individuals within families, and by providing a means of co-ordinating the support families receive from different agencies.	Reduced child poverty, reduced levels of child obesity and reduced youth unemployment.
Integrated Family Support Service	The IFSS programme is focused on supporting families with complex needs, where a child/children can be at risk as a result of parental substance misuse problems. The Integrated Family Support Team (IFST) is a multiagency team which is intended to both deliver interventions to some of the most vulnerable and high risk families and support the development of a highly skilled workforce.	Wales	Three IFSS Pioneer areas in Wales – Newport, Rhondda Cynon Taff / Merthyr Tydfil (as consortia), and Wrexham.	£4.5 million once rolled out nationally	IFSS expected to offer: - Provide advice and consultancy to practitioners and agencies on engaging complex families with parental substance misuse • Undertake direct work with families through the application of time limited family focused interventions • Jointly with the case managers co-ordinate agencies, practitioners and others to access the services which the family needs (Family Support Functions) • Spot purchase services not otherwise available • Provide training on evidence-based interventions (EBIs) to the wider workforce.	Reduce the proportion of children who enter care Reduce the time children spend in care Reduce substance abuse	Fewer children at risk as a result of parental substance misuse problems. Fewer parental substance misuse problems.

National Coalfields Programme	The Department for Communities and Local Government (CLG) developed three specific initiatives to regenerate coalfield areas, involving a commitment of almost £1.1 billion of public money. The three initiatives are; National Coalfields Programme, (NCP - capital, land remediation focus) Coalfields Regeneration Trust (CRT - funding provision for community based projects) and the Coalfields Enterprise Funds CEF - (to support the growth of businesses and encourage entrepreneurship). As at July 2009, the three initiatives had spent £630 million and had brought 54 former coalfield sites back into working use, and enabled private development of 2,700 houses and 1.1 million square metres of employment space, and provided financial support to around 3,000 community projects. Funding provided through Coalfields regeneration trust with investment in projects that were designed to increase education and skills, improve health and well being as well as increasing capacity and enterprise of the voluntary sector.	England and Wales	Former Coalfield Regions in England and Wales	£300m plus £300m private sector investment by 2009 with approximately. £1.1bn allocated in total	NCP - To bring derelict land back into use (4,000 hectares, two millions sq meters of employment space,42,500 jobs created, 13,100 homes built. CRT - volunteers involved in local action, people into work. CEF - number of SMEs financially assisted (through venture capital) , leverage of private funding	Creation of jobs, creation of employment opportunities, reduction in unemployment levels	A reduction in the socio-economic disparity between coalfields and non-coalfields areas (assessed by typical IMD indicators)
Single Regeneration Budget	SRB formalised partnership working between local authorities, other public agencies, and the private and voluntary sectors, and made it a mandatory requirement to access regeneration funding; SRB focussed on initiatives that encouraged the competitiveness of localities and industry and which attempted to link the mainstream economy and deprived communities; SRB introduced the competitive funding programme. SRB was also seen to introduce a 'new localism', whereby local priorities and local need determined programmes. Further, there was a renewed emphasis on engaging with local communities.	England	Most partnership schemes sought to regenerate a relatively small local area, consisting of a number of wards, and these accounted for almost a half of all the schemes. A further 20 per cent overall concentrated on an entire local authority district. Over two-thirds of all schemes were set to run for five years or more, with a third designed for seven years duration.	Overall, SRB funding accounted for only 22 per cent of total expenditure on SRB schemes. The other 78 per cent came from local authorities, Training and Enterprise Councils (now Learning and Skills Councils), the voluntary and private sectors and European funding streams. For every £1 of SRB funding there was £4 of other funding. Thus approximately £5.7 billion of SRB funding has been associated with a total regeneration spend of £26 billion.	Huge array of outputs - largely programme specific. Example output targets included; business projects: jobs created, business start-ups, businesses surviving. Community works Projects, No of community enterprise start ups - , no of ethnic minority residents provided with vocational training/business skills training	Over 100 outcomes were identified under the themes of education and skills, labour market statistics, crime and safety, community involvement and satisfaction with accommodation and the local area.	Partnership working and success in engaging the community, voluntary sector and the private sector in the process of regeneration at the local level. Producing sustainable outcomes where the problems of deprived areas are measured according to indicators of the economic, physical and social well being of the area relative to the nation as a whole. To enhance the quality of life of local people in areas of need by reducing the gap between deprived and other areas, and between different groups

Communities First (England)	<p>There are close to 600 Panels across country, with upwards of 3,000 Panel members working hard to attract projects and make funding recommendations.</p> <p>These project types cover four of the 'five ways to wellbeing' – Connect, Give, Be Active and Keep Learning. The 'five ways to wellbeing' are a set of simple things people can do in their everyday lives which can help to improve wellbeing. The fifth way to wellbeing, Take Notice, focuses on "being aware of the world around you and what you are feeling", something that is at the heart of Communities First.</p>	England		<p>£12.5 million in Community First funding</p> <p>£45 million in contributions from projects, which includes over 2 million hours of volunteer time and £8 million in cash.</p> <p>Volunteer time.</p>	Panels established to attract projects and funding in order to address community issues.	<p>Five ways to wellbeing: Connect, Give, Be Active and Keep Learning, Take Notice.</p> <p>The programmes are connecting people (62%), encouraging volunteering (56%), encouraging people to be active and healthy (52%), helping people to learn (46%).</p>	Improve communities and the lives of the people living in them.
New Deal for Communities	Over 10 years the Programme is designed to transform 39 deprived neighbourhoods in England, each accommodating about 9,900 people. The 39 NDC partnerships are implementing local regeneration schemes each funded by on average £50m of Programme spend	England	Areas of multiple deprivation (approx.. 9,900 people in each area)	<p>Approximately £2bn (The 39 NDC partnerships are implementing local regeneration schemes each funded by on average £50m of Programme spend.)</p> <p>Between 1999-2000 and 2007-08, the 39 NDC partnerships spent a total of £1.71bn on some 6,900 projects or interventions. A further £730m was levered in from other public, private and voluntary sector sources.</p>	Communities to develop, with partner agencies, a range of interventions, designed to support locally-developed strategies that encompass the three place-related outcomes of crime and community safety, community and housing and the physical environment, and the three people-related outcome areas of health, education and worklessness.	<ul style="list-style-type: none"> • transform these 39 areas over 10 years by achieving holistic change in relation to three place-related outcomes: crime, community, and housing and the physical environment (HPE), and three people-related outcomes: education, health, and worklessness • secure improvements by working with other delivery agencies such as the police, Primary Care Trusts (PCTs), schools, Jobcentre Plus (JCP), and their parent local authority: the Programme is fundamentally rooted in partnership working 	<ul style="list-style-type: none"> • 'close the gaps' between these 39 areas and the rest of the country • achieve a value for money transformation of these neighbourhoods • place the community 'at the heart of' the initiative • sustain a local impact after NDC Programme funding ceased.

Neighbourhood Management Pathfinders	Neighbourhood management is a process which brings the local community and local service providers together, at a neighbourhood level, to tackle local problems and improve local services. In 2001 the Neighbourhood Management Pathfinder Programme was established with the development of 35 Pathfinder partnerships to develop and test neighbourhood management. Two rounds of partnerships have been funded in deprived urban and rural areas across every region of England. The aim of the Programme is: To enable deprived communities and local services to improve local outcomes, by improving and joining up local services, and making them more responsive to local needs. The twenty Round 1 Pathfinders have been operating for six years and are now in their seventh and final year of funding. The Pathfinders have all operated the same model and approach, with a small professional team lead by a Neighbourhood Manager and supported by an Accountable Body. The team are accountable to a multi-sector partnership including local residents and have sought to bring residents and service providers together to influence mainstream services and improve local outcomes. The majority of Pathfinders are located in the 20% most deprived areas in England, with target areas of typically just over 10,000 population.	England	Community/LA	<p>The total actual and forecast expenditure by all 35 Pathfinders from both Rounds is likely to have been c.£100m.</p> <p>The Pathfinders - Inputs & resources overview The 20 Round 1 Pathfinders were given initial approval and development funding in the summer of 2001. They started delivering their programmes in April 2002. They each have £1.5 million over seven years to cover management and administration and project funding. The Pathfinders have the same overall approach with each having:</p> <ul style="list-style-type: none"> • a clearly defined target area, covering (typically) 10,000 – 15,000 people; • a full-time neighbourhood manager, as part of a small team; • a board to steer the initiative, including local residents and service providers; • a handful of thematic working groups to develop ideas and projects; and • an 'accountable body', usually the local authority. 	The benefits of neighbourhood management are very difficult to quantify and measure. Most of the benefits of neighbourhood management are delivered indirectly through influence on service providers. They could be in the form of improved quality or quantity of service, or enhanced take up of a service, or possibly cost savings from greater efficiency and the prevention of future problems/costs. It is not a spending programme delivering projects and outputs but a strategic initiative seeking 'added value' on partnership working.	Although in some cases the sought outcome is an increase in public expenditure in a Pathfinder neighbourhood, many of the changes are as much about how existing public expenditure is delivered:	To improve support to deprived communities from local services in order to improve local outcomes, by improving and joining up local services, and making them more responsive to local needs.
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Working Neighbourhoods Fund	The Working Neighbourhoods Fund (WNF) commenced in April 2008 and provided resources to 65 local authorities to tackle worklessness and low levels of skills and enterprise in their most deprived areas. Eligible authorities for WNF were those that met at least one of three criteria. These were that 20 per cent or more of their Lower Super Output Areas (LSOAs) were in the most deprived national decile on the IMD 2007 or 20 per cent or more of their LSOAs were in the most deprived national decile on the Employment Domain 2007, or any authority that was ranked in the top 50 districts on an equally weighted measure of key benefit claim rate and employment rate. WNF was paid to the local authorities as part of Area Based Grant, a non-ring fenced general grant and local authorities, with their partners were free to use ABG as they saw fit, provided that they could demonstrate performance against the worklessness-related targets they had agreed with Government in their Local Area Agreement. As WNF was neither a programme, nor a stand-alone ring fenced budget, the funding mechanism creates particular challenges both for monitoring how these resources are used and evaluating their impact.	England	LA focus.	WNF was worth some £1.4bn over a three year period (2008–09 to 2010–11).	Some worklessness related however LAA provided flexibility for a broad range of outputs to be targeted that didn't need to specifically relate to worklessness, examples - Reduce the number of workless/low income households, reduce the number of NEETS, reduce by 1.5% the "working population claiming out of work benefits in worst performing neighbourhoods"	Worklessness related outcomes e.g. increased employment, reduced poverty, reduced worklessness in the worst neighbourhoods and reduction in the proportion of children living in poverty. Narrow the gap between the most disadvantaged areas and the County as a whole. Reduction in the number of Incapacity Benefit/ESA claimants	Desire for improvement in employment rates, reduction in NEETS, economically inactive and workless households, some element of linkage to health and well-being associated with unemployment, increasing enterprise, increasing skills
Local Authority Innovation Pilots	The Local Authority Child Poverty Innovation Pilot (LAIP) was established by the Child Poverty Unit (CPU) and operated from 2009-2011. The LAIP is a programme that trials locally appropriate and innovative ways of addressing child poverty, to provide local and national learning.	England	Certain LA Areas in England	Not clear from evaluations reviewed.	No. of parents engaged, receiving advice, gaining training and volunteering, number of jobs created and employers engaged	Increased employment amongst parents, increased employability and wellbeing, family wellbeing increased, child's wellbeing increased, increased capacity to address child poverty, higher proportion of parents wanting to return to work, improvement in soft skills	Alleviating the Impacts of Poverty The provision of resources to parents and families to bring immediate relief to those experiencing poverty Address the range of barriers that families can face in accessing provision that supports improved wellbeing outcomes, and that parents can face in moving towards and returning to the labour market.

Neighbourhood Renewal Fund	Neighbourhood renewal is about reversing the spiral of decline in the most disadvantaged communities. It involves working from the grassroots to deliver economic prosperity and jobs, safer communities, good education, decent housing and better health, as well as fostering a new sense of community among residents.	England	Disadvantaged Communities - targeted at deprived wards	Between 2001 and 2008 almost £3bn of NRF/WNF was allocated to local authority districts which included the most deprived areas in England.	Large array of outputs - cross regeneration ambitions	All the poorest neighbourhoods to have common goals of lower worklessness and crime, and better health, skills, housing and physical environment and to narrow the gap on these measures between the most deprived neighbourhoods and the rest of the country.	Increasing standard of living, wellbeing, increase in economic activity and a reduction of benefit claimants.
Neighbourhood Renewal Strategy	<p>Northern Ireland Neighbourhood Renewal Strategy - The Strategy set out 4 interlinking objectives:</p> <ul style="list-style-type: none"> • Community Renewal – to develop confident communities that are able and committed to improving the quality of life in the most deprived neighbourhoods; • Economic Renewal – to develop economic activity in the most deprived neighbourhoods and connect them to the wider urban economy; • Social Renewal – to improve the lives of people in the most deprived neighbourhoods through better coordinated services and the creation of safer districts; • Physical Renewal – to help create attractive, safe, sustainable environments in the most deprived neighbourhoods. <p>Seven stage process applied: Stage 1: Establish a Neighbourhood Partnership in each Neighbourhood Renewal Area Stage 2: Identify the boundaries of the Neighbourhood Renewal Areas Stage 3: Draw up Neighbourhood Vision Frameworks, outlining a strategy for the area development over the next 7 to 10 years. Stage 4: Draw up 3 year Neighbourhood Action Plan -Alongside the publication of the Neighbourhood Vision Framework, Stage 5: Implementation of the Neighbourhood Action Plan Stage 6: Annual Review the Neighbourhood Action Plans Stage 7: Evaluate the impact of the Neighbourhood Vision Framework</p>	Northern Ireland	Areas of particular deprivation in Northern Ireland	Not known	<ul style="list-style-type: none"> - Employment-related - Education-related - Health-related - Crime-related - Physical Environment - Other (culture, housing, etc.) 	Demographic, economic activity, incomes, housing, education, health, leisure, crime, shopping, other commercial, transport, community	Largely associated with changes in IMD rankings

Social Investment Fund	<p>The Social Investment Fund is focused on supporting communities to:</p> <ul style="list-style-type: none"> • increase employment opportunities by addressing things such as educational underachievement, lack of skills, access to jobs and making it appealing for businesses to start up in areas which have suffered deprivation • tackle issues such as mental and physical health, use of drugs and alcohol, becoming a young mother, young people's involvement in antisocial behaviour and the ability of communities to work together which can all be associated with deprivation • increase services in the community by improving existing facilities, making the environment better and providing additional facilities where needed and possible • address dereliction in order to make areas more appealing for investment and for those living there 	Northern Ireland	8 Investment zones	£90 million total	<p>SIF Themes</p> <ul style="list-style-type: none"> - Addressing Dereliction - Play & Sports Facilities - Childcare - Tackling Social Problems - Youth - Skills & Training - Educational Achievement - Social Enterprise Growth & Support 	<p>It aims "to make life better for people living in targeted areas by reducing poverty, unemployment and physical deterioration".</p> <p>The SIF has four main areas of work, supporting communities to:</p> <ul style="list-style-type: none"> — Increase employment opportunities by addressing things such as educational underachievement, lack of skills, access to jobs and making it appealing for businesses to start up in areas which have suffered deprivation; — Tackle issues such as mental and physical health, use of drugs and alcohol, becoming a young mother, young people's involvement in anti-social behaviour and the ability of communities to work together, which can all be associated with deprivation; — Increase services in the community by improving existing facilities, making the environment better and providing additional facilities where needed and possible; — Address dereliction in order to make areas more appealing for investment and for those living there. 	
Social Inclusion Partnerships	<p>Social inclusion partnerships were established in 1999 to progress the Scottish Executive's commitment to regenerating deprived communities, to social justice and to tackling social exclusion. They have been built on the key principles of empowerment, inclusiveness, integration and understanding through learning. Social inclusion partnerships (SIPs) were established as a key part of the social justice agenda to tackle social exclusion. There are 48 SIPs; 34 are area-based and 14 thematic.</p>	Scotland	Community centred interventions - designed to have impact countrywide.	Not known	29 social justice milestones and 40 core indicators (subsequently reduced to 16 - no evidence could be found on what these are/were)	Lack of focus on outcomes with an emphasis on expenditure - regeneration outcomes were then agreed but lacked consistency and there was desire to move to closing the opportunity gap targets associated with the Scottish Exec's overall priorities	Lack of focus on impact

<p>Community Planning Partnerships</p>	<p>The Local Government in Scotland Act 2003 provided the statutory basis for community planning. It placed a duty on local authorities to initiate and facilitate community planning, and on core partners (NHS Boards, Police, Fire and Rescue services, Enterprise Networks and Regional Transport Partnerships) to participate. In addition, Community Planning Partnerships were to involve other non-statutory partners. The statutory guidance accompanying the legislation identifies two aims for community planning:</p> <ul style="list-style-type: none"> • to ensure people and communities are genuinely engaged in the decisions made on the public services which affect them; and • joint working – a commitment from organisations to work together in providing better public services. <p>These aims are supported by two further principles:</p> <ul style="list-style-type: none"> • to provide the overarching partnership framework, helping to coordinate other initiatives and partnerships and where necessary, acting to rationalise a cluttered landscape; and • offering a mechanism to balance national priorities and those at regional, local, and neighbourhood levels. 	<p>Scotland</p>	<p>CPPs established in all 32 Local Authority Areas in Scotland</p>	<p>Total annual public spend for Scotland is £90 billion. Between 2011/12 and 2014/15, the Scottish Government's spending will fall by 5.5 per cent (£1.5 billion) allowing for inflation. Reductions of this scale are a significant challenge for the Scottish public sector.</p>	<p>Too broad based in approach to summarise</p>	<p>No consistent outcomes except in terms of the strength of the partnership itself</p>	<p>Not known</p>
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<p>Single Outcome Agreements (Fairer Scotland Fund)</p>	<p>The FSF was established in 2008 and brought together seven separate funds which had been targeted at tackling deprivation in Scotland. The principles underpinning the fund are:</p> <ul style="list-style-type: none"> • a clear focus on investment to address the causes of poverty, not only its symptoms; • a strong emphasis placed on making early interventions for vulnerable individuals, families and disadvantaged communities; • promotion of joint working between local partners; • focused action on improving employability as a key means of tackling poverty; and • empowering communities and individuals to influence and inform the decisions made by Community Planning Partnerships. In 2010 - Fairer Scotland Fund (FSF) sat within all local authorities general revenue funding for 2010-11. Local authorities and their community planning partners were given the autonomy to use their combined resources to accelerate progress in tackling individual poverty and high levels of multiple deprivation in our communities. 	<p>Scotland</p>	<p>Local Authorities</p>	<p>Total FSF budget is unclear from the literature review, but Morayshire's spend under Fairer Scotland Fund was £1.1m.</p>	<p>See outcomes</p>	<p>More effective delivery of outcomes for which key partners are accountable - to the discretion of the community planning partnerships</p> <p>---</p> <p>Examples from Dundee:</p> <ol style="list-style-type: none"> 1 better job opportunities and increased employability for people 2 better educated and skilled within a knowledge economy renowned for research, innovation and culture 3 children will be safe, nurtured, healthy, achieving, active, respected, responsible and included 4 people will experience fewer health inequalities 5 people will have improved physical and mental well being 6 people will receive effective care when they need it 7 communities will be safe and feel safe 8 people will experience fewer social inequalities 9 people will live in stable, attractive and popular neighbourhoods 10 people will have high quality and accessible local services and facilities 11 have a sustainable environment 	<ul style="list-style-type: none"> • Delivering demonstrable improvements to people's lives • Delivering unambiguous performance commitments and cost effective service models • Using an evidence based approach, underpinned by disaggregated data, to drive improvement in meeting the differing needs of local populations • Focusing upon reducing outcome gaps within populations and between areas • Focusing upon delivering joint prioritisation of outcomes, interventions and resource use by public services and in so doing strengthening joint working between and the integration of public services • Promoting early intervention and prevention approaches in reducing outcome inequalities • Strengthening scrutiny by local democratically elected politicians of how partnerships operate to achieve better outcomes • Strengthening community engagement and participation in delivering better outcomes
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Urban Regeneration Companies	<p>The Scottish Executive has underlined its position in respect of what it wants to see from URCS as:</p> <ul style="list-style-type: none"> • To provide a single vision and strategic focus for the regeneration of an area • To act as a catalyst for private sector investment by raising investor confidence • To guide investment by the public and private sectors towards an agreed set of objectives and outcomes • To speed up the pace of delivery • To maximise the use of public sector assets, including land • To provide a strategic approach to tackling infrastructure issues such as transport and land assembly 	UK - wide	<p>In all there are were five URCS formally established in Scotland (Raploch, Craigmillar, Clydebank, Inverclyde and Irvine Bay). The sixth, Clyde Gateway was established in 2007.</p>	<p>The total public sector cost of the project for the period 2004-2014 is of the order of £63 million. (There were some earlier sunk costs, including expenditure by Scottish Enterprise Forth Valley, Communities Scotland and the East of Scotland European Partnership, which amount to around £600k). All these figures are exclusive of the value of the land on which the new houses will be built. The value of the land contribution on a residual value basis was stated to be £5.7 million.</p>	<p>Projected outputs agreed with R3 (a consortium) - 25 apprenticeships for young people and adults</p> <ul style="list-style-type: none"> • 100 operative permanent full-time jobs • 100 training placements 	<p>Examples include; Small businesses assisted, single vision and strategic focus for the regeneration of an area, a catalyst for private sector investment by raising investor confidence, strategic approach to tackling infrastructure issues such as transport and land assembly</p>	<p>The regeneration programme has two aspects – physical activities and people-based activities, with a strong community focus running through both. The physical programme concentrates on the built environment, urban design and infrastructure and seeks to create a more attractive, mixed and sustainable neighbourhood. Specifically it focuses on housing development, with public realm and infrastructure improvements with two major complementary public service facilities (health and education campuses) delivered alongside the URCS programme. However, the programme is not just about physical change. The URCS is seeking to improve economic opportunities for the people and businesses in Raploch, which will make it an attractive community. This holistic approach is reflected in the URCS's five strategic objectives embracing:</p> <ul style="list-style-type: none"> • Property • Place • Partnerships • Prospects • People
Regional Selective Assistance	<p>RSA support came in the form of a discretionary grant award to private sector firms or plants for primarily capital investment projects in Assisted Areas that will lead to job creation. Safeguarding 'at risk' jobs was also an important objective of the Scheme.</p>	UK	<p>Assisted area focus (with varying intervention rates reflected the assisted area status)</p>	Not known	<p>Investment induced, business accommodated, jobs accommodated</p>	Jobs created, value chain effects	<p>Productivity spill over effects, industrial diversification, earning and labour market effects</p>

Ex post evaluation of Cohesion Policy Programmes 2000-2006: The URBAN II Community Initiative	The aim of URBAN II was to develop innovative and integrated approaches to regenerating neighbourhoods in crisis and promoting sustainable urban development. The relatively low levels of spend (an average of €10.7m per programme) and the fixed term period for programmes meant that in most cases URBAN II could not - and was not intended to - eradicate the deep rooted problems prevalent in parts of many European cities. However, the expectation was that URBAN II would contribute to positive improvements and would develop a legacy of longer term change, whereby public and private agencies, together with local communities would work together to create sustainable neighbourhoods in their cities.	14 EU member states	70 programmes across fourteen Member States, covering a combined population of 2.2 million	€754 million (€1.6 billion with matched funding)	Funding to develop programmes focused on: - physical regeneration (land and building, transport and the environment) with smaller economic and social measures fitting within this framework - economic, social and physical themes.	Develop innovative and integrated approaches to regenerating neighbourhoods in crisis and promoting sustainable urban development.	Sustainable urban development, less unemployment, growth.
Metropolitan Development Initiative	A large, area-based metropolitan development initiative (MDI) was launched in Sweden in 1999 as part of a new metropolitan policy. The Swedish government and seven municipalities invested about 400 million Euros in 24 of the most deprived urban neighbourhoods in the Stockholm region, Gothenburg and Malmö. The overall aim was to promote integration and combat unemployment, low achievement in schools, poor health, criminality and low democratic participation.	Sweden	The 24 most deprived urban neighbourhoods in the Stockholm region, Gothenburg and Malmö.	€400 million	Project set up to address issues of unemployment and included supporting businesses, promoting ethnic entrepreneurship among local populations, cultural activities. Since education was highlighted by the government as being vital in combating segregation, about 40 per cent of the money was reserved for investment in pre-schools and elementary schools.	Combated unemployment and included supporting businesses, promoting ethnic entrepreneurship among local populations, matching the available workforce with the needs of manufacturing and service companies as well as providing re-education and skill-increasing measures that are better able to prepare local populations for a fluid and fast-changing labour market. Also projects supporting local cultural activities, initiatives for and by young people, crime prevention, health care and local democracy.	Promote integration and combat unemployment, low achievement in schools, poor health, criminality and low democratic participation.
UK LEGI	The LEGI programme was announced in the 2005 Budget and became operational in 2006. It was a joint initiative between DCLG, HM Treasury and the (then) Department for Trade and Industry (now the Department for Business, Innovation and Skills). It aimed to: 'release the economic and productivity potential of the most deprived local areas across the country through enterprise and investment – thereby boosting local incomes and employment opportunities and building sustainable communities'.	UK	LAs and slightly bigger areas (in total 30 LAs benefitted).	£418m	<ul style="list-style-type: none"> • support existing local businesses to grow (these account for about 31 per cent of spend to date) • support new business start-ups (29 per cent of spend) • support residents to, for example, acquire skills and jobs (19 per cent of spend) • improve and promote the areas in order to help develop and attract business activity (10 per cent of spend). 	<ul style="list-style-type: none"> • to increase total entrepreneurial activity among the population and in deprived local areas • to support the sustainable growth and reduce the failure rate of locally-owned business in deprived areas • to attract appropriate inward investment and franchising into deprived areas, making use of local labour resources. 	'release the economic and productivity potential of the most deprived local areas across the country through enterprise and investment – thereby boosting local incomes and employment opportunities and building sustainable communities'

Big Cities Policy and 40 Neighbourhoods Programme	An area-based programme which focused on (low) 'income neighbourhoods'. Fear of ghettoisation translated into a policy of restructuring the housing market by replacing low-income housing with more expensive accommodation to attract high-income households. The programme exclusively targets the 40 'worst' problem areas and seeks to 'reinvigorate' these into so-called 'powerful' neighbourhoods.	Netherlands	Low-income neighbourhoods, the 40 'worst' in the Netherlands.	Unknown	Fear of ghettoisation translated into a policy of restructuring the housing market by replacing low-income housing with more expensive accommodation to attract high-income households. Other interventions relate to employment, education, safety, social integration and housing.	High-income HH moving into low-income areas. interventions are both place- and people-based, but people-based only as far as they are living in the selected neighbourhoods: increase employment, improve access to quality education, improved safety, improved social integration and housing.	The result would be an improved social mix. In later editions of the BCP the social mix strategy was maintained but the legitimatisation for restructuring slowly shifted from attracting high-income households to retaining socially mobile groups within the neighbourhood. Both strategies were pursued to attract a middle class that would function as a role model and bring social capital to the area
Neighbourhood Law	The regional government of Catalonia introduced the Neighbourhood Law (Llei de Barris) in 2004. It was one of the first laws issued when the Social Democratic Catalan party was elected to regional government. The law is based on the European Union's URBAN project and the French Loi Solidarité et Renouveau Urbain (Loi SRV). It meant the creation of a fund for neighbourhood regeneration in Catalonia The fund is intended to encourage and drive local integrated programmes aimed at renovating and promoting urban areas that require particular attention. The issues that it focuses on are poor quality of housing, lack of public (green) space, overrepresentation of immigrants, demographic decline, and social and economic problems such as unemployment and low education.	Spain, Catalunya	old town centres, housing estates planned in the 1960s, and unplanned marginal housing districts (former shantytowns).	Total cost of the project (2005-2011) was €21 018 000.	Local governments have to make a bid according to central guidelines and principles and have to commit to funding half of the expenditures. The selection criteria are urban regression, shortfalls in amenities and services, demographic, social and environmental problems, social and urban deficits, and local development problems. Nevertheless, there is a high degree of flexibility by regional government to decide on the selection of areas.	The programmes are mainly focused on the neighbourhoods and less on their residents and the majority of the funds are spent on physical interventions. The expected outcome is that after 4 years of investing in public spaces, civic centres, amenities, buildings, etc., the prices will have risen sufficiently and the neighbourhood will attract new, more affluent, residents. This also implies the displacement of poor (often immigrant) households.	Municipalities are obliged to take action in eight fields: - Improving public areas and providing green zones - Communal areas in buildings, renovation and facilities - Providing amenities for collective use - Introducing information technologies to the buildings - Encouraging sustainability in urban development - Gender equality - Programmes for social, town planning and economic improvement - Accessibility
Strategic Regeneration Areas	The basis for the Regeneration Area model is the belief that "co-ordinated effort and investment in the regeneration of an area can improve the prosperity of that area as well as the quality of life of the people living and working there - capital investment for the area ranging from £10m-£33m over three year period - annualised spending targets	Wales - regeneration areas established across Wales	Defined by the minister varying from town boundaries (Barry and Aberystwyth) to multiple local authority boundaries (heads of valleys/western valleys)	Capital investment for the area ranging from £10m-£33m over three year period - annualised spending targets	No outputs specified - dashboard indicators initially established but not followed through by delivery team: indicators included - land developed, investment induced, jobs accommodated, premises created/refurbished	Each regeneration area had very broad outcome targets, namely: Increasing prosperity and wellbeing for the whole community; Moving towards low carbon communities; Improving life chances for children and young people.	Little was offered in terms of anticipated impacts, with the emphasis in board papers on qualitative delivery and incurring spend but little/no evidence on the likely anticipated impacts arising from investment