



Good Practice in Housing Management: Guidelines for Local Authorities

Regenerating Estates, Rebuilding Vibrant Communities



Centre for
Housing Research

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2006



Centre for
Housing Research

Table of Contents

SECTION	TITLE	PAGE
	Acknowledgements	iv
	Foreword	vii
	Summary: key issues to consider in achieving good practice	ix
ONE	Setting a Context for Estate Regeneration	1
TWO	Developing and Planning Estate Regeneration Projects	13
	Good Practice Recommendations	
	Identifying Problems in Local Authority Estates	14
	Other Options for Addressing Problems in Local Authority Estates	15
	Estate Regeneration Plans	18
	Presentation of Estate Regeneration Plans	19
	Researching Estate Regeneration Plans	21
	Compiling Information on the Characteristics of the Target Estate	21
	Selecting Interventions to Address Estate Decline	24
	Consulting Tenants Regarding Estate Regeneration Plans	34
	Managing Expectations	40
	Design Briefs for Refurbishment Schemes	41
	Land Use Planning Considerations in Estate Regeneration Plans	42

Project Management Considerations in Estate Regeneration Plans	43
Housing Management and Maintenance Considerations in Estate Regeneration Plans	43

Best Practice Suggestions

Using External Consultants to Assist in Formulating Estate Regeneration Plans	19
Presentation of Estate Regeneration Plans for Tenants and Local Community Groups	20
Drawing on Examples of Good Practice	24
Audit of the Social Infrastructure	24
Consulting Tenants Regarding Estate Regeneration Plans	35
Risk Assessment	44

THREE Implementing Estate Regeneration Projects 47

Good Practice Recommendations

Funding Estate Regeneration Projects	49
Managing Estate Regeneration Funding	58
Selecting an Organisational Framework for Project Implementation	60
Managing Estate Regeneration Projects	64
Estate Regeneration Management Ethos	65
Staffing Considerations in Estate Regeneration Plans	66
Key Responsibilities of Estate Regeneration Staff	66
Training and Support for Estate Regeneration Staff	67
Identifying and Overcoming Obstacles to Project Implementation	69
Tenant Participation in Implementing Estate Regeneration Projects	72
Training and Support for Tenants' Representatives	73

Best Practice Suggestions

Staff Turnover	68
Estate Image	69
Tenant Participation in Implementing Estate Regeneration Projects	73

FOUR	Monitoring and Evaluating Successful Estate Regeneration: Sustaining Regenerated Estates and Vibrant Communities	75
	Good Practice Recommendations	
	Gathering Data for Performance Monitoring and Review	78
	Ongoing Performance Monitoring and Review	79
	Using Interim Success Markers	81
	Evaluating Estate Regeneration Projects: Evaluation Design	82
	Evaluating Estate Regeneration Projects: Evaluation Reports	92
	Verifying and Validating Success	94
	Exit Strategies	95
	Devising Long-Term Strategies	97
	Improving Future Estate Regeneration Practice	98
	Mainstreaming Lessons from Estate Regeneration Projects	99
	Using Sustainable Relationships and Structures to Implement Long-Term Strategies	100
	Adopting Long-Term Thinking and Acting into Everyday Practice	101
	Knock-on Effects of Estate Regeneration	101
	Best Practice Suggestions	
	Innovative Methods for Improving Future Estate Regeneration Practice	99
	Appendix	
	Legislation, Publications, Useful Addresses	103

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Foreword

In January of this year, the Housing Unit changed its name to the Centre for Housing Research to emphasise its increasing research role. The organisation's purpose remains broadly unchanged, however: to improve the management of the social and affordable housing sectors through research, training and policy advice.

These Good Practice Guidelines on Estate Regeneration were prepared by the Centre in response to the growing recognition of the important role that good quality environments play in improving the quality of life of local authority tenants. This is particularly the case for those living in disadvantaged communities. Almost €1 billion has been spent on regeneration and remedial work for local authority estates since 1997, and it is important that best practice is followed to ensure best possible outcomes and value for money. These Guidelines will be of particular interest to local authorities and others in the context of the recent policy statement of the Department of the Environment, Heritage and Local Government, *Building Sustainable Communities*, which commits to the rolling out of a programme of regeneration to all run-down estates nationwide.

This publication is intended to be a practical working tool for local authorities, drawing on real life case studies where possible. As with all of the Centre's Good Practice Guidelines, it is for each local authority to decide on its own approach, having regard to relevant policy and taking into consideration its own situation. The Guidelines offer checklists, ideas, practical solutions and possible approaches.

In drawing up these Guidelines, the Centre undertook an extensive process of consultation with local authority practitioners across the country, through the

medium of the five Regional Housing Practitioners Networks. These Networks were established in 1998 to facilitate the exchange of ideas on good practice amongst local authority housing staff. The Centre also held a successful regeneration conference, *Regenerating Estates, Rebuilding Vibrant Communities*, in Limerick in October 2005 to inform the completion of this work.

I would like to thank all those who contributed to the completion of these Guidelines, particularly its authors: Dr Kasey Treadwell Shine and Dr Michelle Norris. I would also like to thank all those who shared their expertise and experience, particularly the Good Practice Sub-Committee and all those whom the researchers met or interviewed in the course of the project (see acknowledgements for details). John Whyte, Chief Executive of the Fatima Regeneration Board, and officials from the Department of the Environment, Heritage and Local Government provided very useful comments on different drafts of the report.

The Centre has also produced a Policy Discussion Paper on Estate Regeneration to complement these Guidelines.

David Silke
Director
Centre for Housing Research

Summary: key issues to consider in achieving good practice

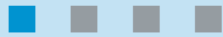
Achieving good practice in estate regeneration involves five key steps. These are: selection, strategic planning, implementation, evaluation and sustaining the achievement of projects in the long term. Implementing these steps involves a number of actions that are summarised below, together with the sections of the guidelines where all of these issues are discussed in more depth.

STEP	ACTION	MORE INFORMATION
One: Selection	Use a variety of information types and sources to identify estates which require regeneration, and the key problems of these areas	See Section 2.2
Two: Strategic planning	Devise a strategic plan for the regeneration of these estates	See Section 2.3
	This plan should be comprehensively researched and the tenants of the target estate should be actively consulted regarding its content	See Sections 2.4 and 2.5
	This plan should identify interventions to address all of the key problems of these areas and specify the time scale and sequencing of the implementation of each of these interventions	See Section 2.4
	The plan should take account of: <ul style="list-style-type: none">• Estate design and development considerations• Land use planning considerations• Management considerations	See Section 2.6
Three: Implementation	Extend strategic thinking into the management and delivery of the project	See Section 3
	Secure the funding necessary to implement the interventions included in the estate regeneration plan	See Section 3.2
	Identify and establish a suitable organisational framework for overseeing the implementation of the project	See Section 3.3
	Establish partnerships with other statutory, community and private sector agencies	See Section 3.3
	Put in place a robust system of project management which is focused on identifying and overcoming the obstacles to the successful regeneration of the estate	See Section 3.4
	Consult and involve tenants in the implementation of the estate regeneration plan	See Section 3.5

STEP	ACTION	MORE INFORMATION
Four: Evaluation	Use a variety of information sources and types to measure the performance of the project implementation on an ongoing basis	See Section 4.2
	Make any necessary changes to the project implementation on the basis of these regular reviews	See Section 4.2
	Use the information in these reviews to formulate a detailed evaluation of the project when implementation has been completed	See Section 4.2
Five: Sustaining achievements	On the basis of the reviews and evaluations of estate regeneration schemes devise an 'exit strategy' which will put in place the supports necessary to sustain the improvements achieved by the project after implementation is complete	See Section 4.3
	Ensure that the information contained in reviews and evaluations of estate regeneration projects is taken into account in decisions regarding the reform of housing management and maintenance practice	See Section 4.4
	These reviews and evaluations should also be considered when formulating estate regeneration plans in the future	See Section 4.5
	Implement management and maintenance programmes and other long-term strategies to sustain successful outcomes	

SECTION ONE

Setting a Context for Estate Regeneration



1.1 Introduction

Over the past two decades a substantial proportion of the local authority housing stock has been refurbished and many estates have been the subject of more ambitious regeneration schemes. However, many (though by no means all) of these projects have achieved only partial success in regenerating target estates. Promoting successful estate regeneration is a complex task, with two dimensions. First, it has a physical dimension, addressing the regeneration of the housing stock and the built environment. Second, it has a social dimension, addressing the regeneration of the social infrastructure through, for example, community development, tenant participation and/or estate management.

Department of the Environment, Heritage and Local Government (DoEHLG) housing policy statements have repeatedly emphasised the need for tenant participation and estate management on local authority estates. Recommendations for good practices on these issues have been addressed in previous guidelines issued by the Centre for Housing Research (formerly the Housing Unit) on *Enabling Tenant Participation in Housing Estate Management* and on *Training and Information for Tenants*.

Other good practice guidelines have dealt with the physical condition of housing stock. These include: *Managing Voids: Co-ordinating the Monitoring, Repair and Allocation of Vacant Dwellings* and *Repair and Maintenance of Dwellings*. These documents are also useful for identifying factors linked to estate decline, such as design and built environment considerations. Therefore, implementing the recommendations and suggestions contained in these guidelines can facilitate successful estate regeneration.

This document builds upon the themes identified in previous guidelines by recommending an overarching framework of good practice to follow when pursuing estate regeneration. This framework includes:

- the development of a strategically managed work plan which sets out aims and objectives that specifically focus on problems of the target estate
- the identification of potential funding schemes
- the development of effective project management and an appropriate management ethos (i.e. clear, strategic thinking about how, why and in what way to achieve estate regeneration)
- recommended methods for regenerating estates and implementing estate regeneration projects; and
- suggestions on how to sustain the achievements of these projects in the long-term.

These guidelines are presented in four sections, as follows:

This Introductory section examines the factors leading to successful estate regeneration and the challenges associated with achieving these. The subject of Section 2 of the guidelines is the regeneration process itself, the planning and development stages, while in Section 3, the focus shifts to implementation. In the final Section, regeneration sustainability is examined and best practice lessons drawn out.

1.2 The Importance of Good Practice in Estate Regeneration

Good practice in managing and delivering estate regeneration projects is vital to their success. Evidence suggests that in the past some of these projects were established in response to (unaddressed) management and maintenance problems that had contributed to the decline of estates. In addition, local authority estate regeneration projects historically have tended to focus primarily upon physical estate regeneration. In part this focus is related to the nature of funding mechanisms, e.g. the Remedial Works Scheme (RWS), under the terms of which most funding is earmarked for interventions such as the refurbishment of dwellings and the redesign of communal areas in estates.

Although the refurbishment of the built environment (and especially the housing stock) of an estate can often play an important role in regenerating problem estates, on their own interventions of this type rarely address all of the problems on these estates. In at least some estates targeted for regeneration, social issues are a far more significant cause of estate decline than physical decay in the built environment.

Increasingly funding mechanisms such as the RWS contain requirements for consultation with tenants and greater attention to social infrastructural problems. However, addressing these issues as a core part of estate regeneration still can be a difficult task. Good practice in estate regeneration projects, however, should address the regeneration of social and economic infrastructure through, for example, community development, education and training initiatives and tenant participation and/or estate management.

These guidelines explore the physical, social and economic regeneration of local authority estates, through a number of different avenues. Social and community structures ranging from families to residents' associations to community organisations all have a role to play in generating and maintaining the social and economic infrastructure of an estate. Estate regeneration projects can be carried out either by the local authorities directly or by means of partnership working with local community and community-based organisations.

Working partnerships in this sense mean pro-active consultation and collaboration with community groups to address social and economic regeneration issues through, for example, existing estate management and/or tenant participation structures, the pursuit of novel sources of funding, the sharing of information and ideally joint-decision making. These guidelines, therefore, build upon themes previously identified by the Centre for Housing Research that emphasise the need to enable tenants to actively participate in and directly affect issues on their estates.

1.3 Achieving Good Practice in Estate Regeneration: Issues for Consideration

Achieving good practice for successful estate regeneration is a challenging task and many issues and policies need to be considered when identified throughout the process. Some of these are specific issues that relate only to estate regeneration; others apply to the wider local authority housing remit and indeed to the entire public service.

In common with all public service management reform programmes, estate regeneration projects should take account of the following issues:

- The Strategic Management Initiative (SMI) identifies as the key aims of public sector reform the issues of maximising the contribution of public bodies, including local authorities, to social and economic development, providing an excellent service to the public and ensuring the efficient use of resources. Furthermore, under the terms of the SMI a range of priority actions to achieve these aims are identified. These priority actions include: delivering quality services to customers and clients; reducing ‘red tape’; delegating authority and accountability; improving financial management and ensuring value for money; enhancing the use of new technology and improving co-ordination between public agencies.
- The SMI also identifies the establishment of systems of performance monitoring as the key to achieving good practice in public sector management. Since May 2000 (DoEHLG circular LG 9/00) local authorities have been instructed to monitor their performance in a range of services. The extent of services to be monitored was expanded in 2004 in *Delivering Value for People – Service Indicators in Local Authorities*. Five of the forty-two national service indicators laid down apply to housing management services.
- Management information systems should have been put in place to collate the information necessary for performance measurement. All related management information systems, e.g. tenancy updates, rents, lettings, finance and maintenance, must be linked together. Ideally, these should also be linked to ‘community’ based management information systems on, for example, tenant participation or community development initiatives. These management information systems should also be capable of generating information on individual estates, which can be used to identify estates that require regeneration projects and to design and evaluate regeneration projects. The overall management information system should relate directly to relevant performance indicators; be easily collected, readily collated, clearly presented, and regularly reviewed; aid problem solving and decision-making; and assist in policy formation.

A range of recent developments that have impacted on the entire local authority housing service also have implications for achieving successful estate regeneration. These include the following:

- The programme for the reform of the management of local authorities, particularly the establishment of Strategic Policy Committees (SPCs), to develop policy on each of the main functional areas within all local authorities. In most cases this process has included the establishment of a Strategic Policy Committee that focuses on the housing area and is supported by a Director of Housing Services. SPCs allow for closer working relationships between local authorities and community-based organisations and tenants, and such avenues should be more fully exploited as a means of accessing additional funding or services necessary for the effective implementation of estate regeneration projects. In particular a local authority SPC focusing on housing issues can provide an effective flow of information between tenants, staff and committee members. Tenant organisations elected as community and voluntary representatives on these SPCs can be a vital link for working partnerships within communities. SPCs can thus help estate regeneration operate efficiently and effectively.
- Initiatives to localise housing management structures and to include tenants in management decisions. The widespread development of these initiatives has brought about the transformation of traditional housing management practices in many local authorities. Tenant participation and estate management projects are some examples of developments of this type, which demand a new range of expertise from social housing staff and make them directly accountable to the customer. Initiatives of this type are also vital for successful estate regeneration.
- The recent expansion of the remit of the National Anti-Poverty Strategy (NAPS) to include local authorities. This has obvious implications for housing management, since local authority tenants are more likely to be living in poverty than any other section of the population. Under the terms of the NAPS, public agencies are required to ‘poverty proof’ their services, i.e. to ensure that they do not create or perpetuate existing inequalities and that they contribute to achieving a fairer distribution of resources and opportunities.
- The provisions of the Housing (Traveller Accommodation) Act, 1998. This legislation requires local authorities to prepare and adopt five-year Traveller accommodation programmes that provide for the supply of adequate accommodation for Traveller families living within their functional areas. These programmes should plan to meet the full range of Traveller accommodation needs, including standard housing, group housing schemes and halting sites, and should make provision for the management of these different accommodation types. To advise on the preparation of each programme, the 1998 Act also requires local authorities to set up Local Traveller Accommodation Consultative Committees consisting of Traveller representatives and local authority elected members and officials. Where appropriate, local authorities should consult with

the members of this committee regarding the regeneration of Traveller-specific accommodation such as halting sites and group housing schemes and of standard housing estates which accommodate a substantial number of Travellers.

- The provisions of the Equal Status Act, 2000. This legislation outlaws discrimination in a range of areas including employment and the provision of goods and services and other opportunities to which the public generally have access, including housing services. Discrimination is described in the Act as ‘the treatment of a person in a less favourable way than another person is, has been or would be treated’. Nine distinct grounds for discrimination are identified: gender, marital status, family status, age, disability, race, sexual orientation, religious belief and membership of the Traveller Community. The Act also determines that social housing providers have a duty to accommodate the needs of a person with a disability by providing special treatment or facilities if, without such special treatment or facilities, it would be impossible or unduly difficult for the person to avail himself or herself of the service. This legislation must be borne in mind when considering the methods and outputs of estate regeneration.
- The provisions under Part V of the Planning and Development Act, 2000-2004. Local authorities can now require that up to 20 per cent of new residential developments are employed to meet social and affordable housing needs. As a result of this measure, in the future, increasing amounts of local authority housing will be situated in multi-tenure estates which could incorporate a mix of the following housing tenures: social housing provided by local authorities and/or by voluntary and co-operative housing providers, private rented housing and owner occupied housing.
- The provisions of the Local Government Act, 2001. This Act empowers local authorities to set up a separate ‘community fund’ to support specific community initiatives such as amenity, recreational, cultural or heritage facilities, environmental or community development, and social inclusion projects. The available evidence suggests that this provision is under-utilised and that there is much greater scope for using the community fund as part of estate regeneration projects.
- The Programme for Prosperity and Fairness (PPF). This national agreement required local authorities to produce Customer Action Plans by March 2001. Customer Action Plans clearly set out each local authority’s objective in relation to improving customer service and how they plan to achieve it. The Customer Action Plan forms part of the local authority’s wider corporate plan and has a strong strategic focus. The Customer Action Plans underline the importance of ensuring that services are provided in a transparent fashion by providing information to clients. As mentioned above, such an approach should also be

adopted in estate regeneration projects. In addition, the PPF programme requires the establishment of specific performance indicators necessary to measure achievement and success in service delivery. These indicators can impact upon the measured success of estate regeneration projects.

Finally, in developing programmes of good practice, local authorities should also take into account the following issues that are particularly relevant to the task of achieving successful estate regeneration:

- Evidence suggests that poor maintenance and management in the past has contributed to problems within estates and exacerbated the present need for regeneration projects. A greater focus on preventative management and maintenance can help to avoid the need for regeneration in the first place.
- The lack of effective co-ordination between different housing services and functions was identified by the 1996 report of the DoEHLG's Housing Management Group as one of the main obstacles to achieving good practice in housing management. Achieving successful estate regeneration requires a holistic approach that addresses a range of problematic areas in the target estate. Some of these areas are likely to be outside the remit of the housing department. Therefore effective systems for co-operation with other sections of the local authority such as community services and the Social Inclusion Unit are particularly important for successful estate regeneration.
- Historically many estate regeneration projects have proceeded on the basis of a poor or unclear understanding of the problems of target estates. Better exploitation of existing management information systems is required. In particular, better co-ordination of the different categories of information on, for instance, details of tenants' incomes collected for rent assessment purposes, rent arrears and concentrations of empty dwellings and level of demand for dwellings, is necessary. Such detail can help to identify those estates that may require a regeneration project, the issues that need to be tackled as part of estate regeneration, and how to measure the success of estate regeneration projects for addressing these issues.
- As has been noted in other good practice guidelines, tenants are often best placed to identify problems, and solutions to these problems, in their estates. Tenants' active involvement in estate regeneration can help to ensure more effective and more successful solutions to estate regeneration over the long term. In addition, involving tenants can help to ensure that the estate regeneration strategy fits with their priorities and promotes a sense of ownership over, and support for, the project among tenants.

- However, especially in communities that suffer from multiple problems, building strong relationships, based on trust and respect, between tenants and local authority staff can be a lengthy process. Sufficient time needs to be invested to allow these relationships to grow and flourish.
- Despite local government reform, local authorities' scope for addressing all of the issues that may need to be included in a regeneration strategy can be limited by the funding and legislative contexts. For example, the Remedial Works Scheme is the primary funding source for estate refurbishment, and the Planning and Development Act, 2000, while primarily encompassing new build aspects, may have implications for the scope of demolition, rebuilding or re-housing tenants in target estates. Furthermore, local authorities can be constrained in their ability to pursue some strategies for estate regeneration. Although they generally have access to greater resources than local community organisations and other organisations working locally, they cannot always deploy those resources to address issues that are outside their core areas of responsibility.

Well-developed working partnerships with community-based groups can complement local authorities' efforts to regenerate estates, by allowing the pursuit of wider community development, social inclusion, estate management and related strategies. Working partnerships in this sense refers not only to the consultation arrangements that are already in place in many local authorities around the country, but also to active co-operation and joint decision-making. Examples of such include facilitating local organisations' access to wider sources of funding, and planning for real exercises that provide tenants with hands-on experience in the designing and planning of their estates.

- Local authorities should also examine the possibility of accessing novel sources of funding for estate regeneration projects by, for instance, using a public-private partnership (PPP) where appropriate, or working in conjunction with local organisations to facilitate their access to EU funding. Potential sources of funding are listed in Section 3.2.
- The implementation of each stage of an estate regeneration project and of the project as a whole should be closely monitored. Comprehensive performance monitoring requires the use of a range of different types of information. This includes both 'hard' or factual data and 'soft' or opinion-based data. Examples of hard data are the number of houses refurbished or the popularity of the estate among applicants for housing. Examples of soft data are surveys of the satisfaction of local tenants with a regeneration scheme, or attendance at any one meeting as weighed against an average attendance rate for the area, which can indicate the strength of community interest in a particular topic.

- Performance measurement should inform the ongoing review and, if appropriate, amendment of regeneration strategies. It should also help to identify avenues of improved practice for future estate regeneration projects, if necessary.
- At the broader level the lessons learned from estate regeneration projects should contribute to the reform of all aspects of local authority housing management and maintenance. Achieving good practice in these areas is vital to the success of estate regeneration projects into the long term and will also help to ensure that other estates do not require regeneration in the future. This process requires a commitment to change by all relevant staff, the provision of appropriate training and development, and adequate resources (financial and human, from both the DoEHLG and the local authority) to support these practices. Such practices should be underpinned by a flexible management ethos that is holistic and responsive to present and future needs of estate regeneration.
- Achieving sustainable estate regeneration often requires long-term intervention in target estates as well as a clear ‘exit strategy’ for winding down the regeneration project upon completion.

1.4 Aims and Objectives of Good Practice in Estate Regeneration

The primary aim of these guidelines is to help local authorities to devise estate regeneration strategies and projects based upon clear aims and objectives; to develop collaborative working partnerships with tenants, local community groups and other local stakeholders to facilitate estate regeneration; to implement strategies effectively; and to proactively achieve and sustain successful estate regeneration over the long term.

These guidelines also intend to help local authorities devise and implement estate regeneration strategies that will achieve the following specific objectives:

- Implement appropriate estate management and maintenance programmes in order to avoid the need for estate regeneration in the first place
- Achieve high standards of customer care and accountability in the management of estate regeneration projects

- Use existing data and management information systems to identify problem estates and the reasons why such problems developed
- Establish what constitutes baseline requirements for 'successful', i.e. vibrant, self-sustaining, well-built estates
- Identify strategic issues, aims and objectives for achieving successful estate regeneration that focus both on physical and social infrastructure
- Devise and develop estate regeneration strategies that specifically target the causes of estate decline and have regard to design and development, planning and housing management issues
- Implement and strategically manage estate regeneration projects
- Develop collaborative working partnerships, using existing tenant participation and estate management structures and/or establishing new links with local communities and residents, to facilitate the pursuit of wider estate regeneration strategies
- Develop a management ethos which will facilitate the successful regeneration of estates
- Use a variety of sources of information in order to measure performance and also to identify real 'success markers'
- Achieve value for money for all expenditure on estate regeneration
- Co-ordinate the implementation and management of estate regeneration strategies with all other aspects of local housing management, to ensure that there is a holistic approach to addressing the problems of the target estate
- Ensure that the strategic management of estate regeneration results in a clearly progressed set of actions, processes and outcomes, such that there is a clear 'entrance' strategy (project design and implementation phases), mid-term strategy (project and performance management phases) and exit strategy (project completion and evaluation phases, and moving into long-term thinking and acting)
- Maximise the effectiveness and success of estate regeneration projects by

utilising local knowledge and skills (including those of local authority staff based in or on estates); provide support and training to all local authority staff to facilitate the adoption of good practices around estate regeneration, and indeed all housing management issues; and encourage and facilitate all local stakeholders to take an active, decision-making role in estate regeneration.

1.5 Achieving Good Practice in Estate Regeneration

These guidelines are not intended to be overly prescriptive. Each local authority must decide on the specifics of any estate regeneration project it may initiate, having regard to the national and local contexts. The aim of these guidelines is to identify common key success factors, however, and to use these to develop recommendations for improvements in current practice.

These recommendations identify a base-line level of service that local authorities should achieve in order to foster successful estates, promote good relationships with tenants and create a high standard of management and service delivery. In addition, the guidelines include a number of 'best practice' suggestions that local authorities might wish to implement in order to achieve excellence in successful estate regeneration.

SECTION TWO

Developing and Planning Estate Regeneration Projects



2.1 Introduction

The Introduction to these guidelines outlined some of the key factors necessary for successful estate regeneration, and the challenges associated with achieving these. In particular it emphasised that, in the past, estate regeneration projects often worked from a poor or unclear understanding of the reasons for the problems of target estates. In addition, many projects focused primarily on physical regeneration, in part because of funding, legislative and other constraints. At the same time, social and economic problems were not always addressed, although they often had a significant role to play in estate decline.

Section Two of the guidelines focuses on the planning and development stages of estate regeneration. The first step in any regeneration project is to identify whether such a project is in fact necessary, i.e. what are the causes of the problems of the estate and whether other, smaller-scale and targeted measures could address these issues (such as refurbishment of individual dwellings, after they have been vacated and are being readied for a new tenant). If an estate regeneration project is deemed necessary, the next step is to identify the basic interventions needed to address the problems of the target estate. These interventions can include built environment refurbishment only, but in most cases should also address the social and economic regeneration of the estate.

Details of the interventions to be carried out as part of an estate regeneration project should be set out in a strategic work plan. This work plan should also identify how each of these interventions will be implemented in practice and how they will be funded, together with a timeframe for their implementation. It is important to ensure that sufficient time and resources are devoted to researching the work plan by compiling all relevant data, and consulting with local authority staff with expertise in this area and with relevant statutory and community groups.

The tenants of the target estate should also be consulted and actively involved regarding the content of the estate regeneration plan. Such consultation should have demonstrable and meaningful effects, e.g. through collaborative planning, direct input in managing projects, joint decision-making powers, etc. In addition, estate design and development and project planning and management considerations should be taken into account when devising estate regeneration plans.

2.2 Identifying Estates that Require Regeneration

Devoting time to identifying the estates that require regeneration will help to ensure that resources are targeted at those communities which are in greatest need, and that costly poor starts and cumulative mistakes are avoided. The information collected for the purpose of identifying target estates for estate regeneration projects can also help to identify the main problems of the estates in question, which is an important consideration in the selection of interventions to address these problems. Information collected at this initial stage of estate regeneration projects can be used again in other estate regeneration plans and funding applications.

GOOD PRACTICE RECOMMENDATION No. 1

Identifying Problems in Local Authority Estates

- The first step in achieving good practice in estate regeneration is to ascertain whether an estate regeneration project is required in the first place.
- The diagram on page 16 summarises the research evidence regarding the factors that can contribute to problems on local authority estates. It reveals that these factors are numerous and complex. National housing policies can have an influence in this regard, as can regional problems such as high unemployment in a specific city or town, together with the characteristics of individual estates.
- Some of these factors can be addressed by regeneration schemes, others cannot. However, all of the factors that have contributed to the development of problems in an estate should still be taken into account when designing a regeneration project.

- A number of sources of information should be employed to identify problem estates and the factors that have contributed to their decline. These include:
 - » Existing management information, e.g. rates of vacancy, number of voids, turnover of tenants, rent arrears, maintenance complaints, anti-social behaviour complaints, and so on, which can be used to identify the estates that require regeneration and to identify the reasons behind the problems of these areas
 - » Statistical information published by the Central Statistics Office which can identify geographical concentrations of social problems such as unemployment
 - » Tenant satisfaction surveys and the results of consultation between tenants and tenant liaison or estate management staff
 - » A house condition survey, conducted by the local authority, to determine specific housing refurbishment requirements
 - » Local knowledge including the views of estate-based local authority staff, other statutory agencies and local community groups.
- When identifying potential targets for estate regeneration local authorities should not concentrate solely on those estates that are currently experiencing difficulties but also identify those that are at high risk of experiencing difficulties in the near future.

GOOD PRACTICE RECOMMENDATION NO. 2

Other Options for Addressing Problems in Local Authority Estates

- The establishment of an estate regeneration project should be the option of last resort for addressing problems on an estate. Improved management and maintenance, tenant participation and/or estate management structures, and other avenues should be explored as ways of addressing problems before undertaking a formal regeneration project.
- Such an approach is particularly appropriate in the case of estates that are not currently experiencing serious problems but are at high risk of experiencing difficulties in the near future.
- Other good practice guidelines produced by the Centre for Housing Research (formerly the Housing Unit) on the topics of Maintenance and Repair of Dwellings, Preventing and Combating Anti-Social Behaviour, Void Management and Enabling Tenant Participation in Housing Management include many recommendations and suggestions for improving housing management and maintenance standards.

Issues which Contribute to Problems on Local Authority Estates

LOCAL FACTORS

- unpopular location
- poor design
- stigmatised reputation
- drugs
- anti-social behaviour
- crime
- low levels of tenant purchase
- low demand among applicants for housing
- established tenants transfer out of the estate
- new tenants are more likely to be dependent on social welfare

REGIONAL FACTORS

- lower demand for tenant purchase in some towns, cities and localities
- some types of dwellings such as flats cannot currently be tenant purchased
- higher unemployment in some towns, cities and localities
- poor standards of housing management and maintenance in the local authority
- poor standard of local social, education, health and criminal justice services in some cities, towns and localities

NATIONAL FACTORS

- better-off families tenant purchase their homes
- better-off families buy a home in a private estate
- lack of funding for local authority housing and maintenance
- low-income tenants cannot afford to tenant purchase
- long waiting lists for social housing mean that only the poorest applicants get a tenancy
- falling demand for unskilled labour

2.3 Formulating Estate Regeneration Plans

When a decision has been made to undertake an estate regeneration project, local authorities should formulate written work plans or more detailed, formal plans such as master plans, depending on the scope, scale and nature of the project.

Formulating plans of this type has a number of advantages:

- Written work plans provide clarity and transparency for all agencies and individuals involved in designing and implementing estates regeneration plans.
- The information included in estate regeneration plans can be used to measure the performance of the project during implementation and on completion.
- Written documentation facilitates continuity and progress on the project if, for example, new staff take over the management of or become involved in the project.

Furthermore, written work plans are generally required for accessing funding for estate regeneration projects. The DoEHLG 1999 guidelines on the Remedial Works Scheme which funds the refurbishment of local authority estates specifies that funding will only be granted on the basis of a written project plan. Drawing up a detailed work plan before applying for funding has a number of other financial advantages:

- It helps to ensure that the interventions planned for the target estates are selected on the basis of the local problems, rather than selected solely on the basis of the available funds.
- It identifies what areas and problems need to be addressed, therefore pinpointing what kind of funding is needed and allowing for creative/alternative sources of funding to be tapped for specific objectives of the work plan.
- It helps to ensure that approval for funding does not lapse because of unexpected delays or difficulties in initiating the project.

Estate Regeneration Plans

Written estate regeneration plans should be devised for all estate regeneration projects.

- These plans should address the following issues:
 - » The characteristics of the target estate, including: the quality and design of dwellings; the characteristics of the tenant population and the wider neighbourhood
 - » The most significant problems in the estate
 - » The basic interventions necessary to tackle these problems
 - » The proposed time scale and sequencing of the implementation of each of these interventions
 - » The aims and objectives which the estate regeneration project as a whole and each of the specific interventions it involves are intended to achieve
 - » The key stakeholders which will be involved in the design and implementation of the project; at a minimum these stakeholders should include the tenants of the estate in question and other relevant statutory and community agencies, in addition to the local authority
 - » Potential sources of funding for the project
 - » Procedures for managing and staffing the implementation of the project
 - » Procedures for the ongoing measurement of the performance of the estate regeneration project and for its final evaluation.

- As part of their written work plan local authorities should identify who will carry out the long-term management and maintenance of the regenerated estate, i.e. whether they will do so or whether they envision transferring these functions to a housing association.

BEST PRACTICE SUGGESTION No. 1

Using External Consultants to Assist in Formulating Estate Regeneration Plans

- Local authorities may wish to consider engaging outside consultants to assist in formulating estate regeneration plans.
- There is a range of housing and local development consultants, community planners and others who can bring a wealth of new experiences and techniques to the table. These consultants can provide local authority staff with training and advice regarding the steps involved in formulating estate regeneration strategies.
- Outside consultants can be particularly useful in estate regeneration projects that are being implemented by a number of partners in addition to the local authority. Involving consultants can avert the perception that local authorities are the ‘leaders’ of a project, facilitate the development of trust between the various partners and increase the possibility that they will be able to work together on an equal footing.

GOOD PRACTICE RECOMMENDATION No. 4

Presentation of Estate Regeneration Plans

- Estate regeneration plans should be written in clear language and should contain the minimum possible amount of technical jargon and the maximum possible amount of explanatory aids such as illustrations of refurbishment plans. This will ensure that the plans are easily understood by all of the stakeholders to the project, including, for example, local authority councillors, local business people, tenants and representatives of community groups and other statutory agencies (gardaí, health boards, transport agencies, school officials, etc.).
- The plans should include checklists of the key information, such as the project aims and objectives and implementation timeframe. The lists can be used to measure the performance of the project in a transparent way.
- The actual format of the work plan should fit the scope, scale and nature of the project. Large-scale projects being implemented in multiple phases, for example, would benefit from a more formal Master Plan to facilitate the granting of planning permission for and timely development of the project.

Presentation of Estate Regeneration Plans for Tenants and Local Community Groups

- Local authorities who want to achieve excellence in this aspect of housing management may wish to consider producing less formal guides or documents detailing estate regeneration plans specifically for tenants and local community groups.
- These guides should summarise the key points of the regeneration plan in a user-friendly fashion and include illustrations of refurbishment plans if appropriate.
- These documents will help to ensure that all tenants and other stakeholders are aware of the key elements of the regeneration plan. They will also provide tenants with visible evidence of the local authority's commitment to involving them in the estate regeneration project.
- If produced to a high standard, these documents can serve as part of the historical legacy of the area.

2.4 Researching Estate Regeneration Plans

The first step in formulating effective estate regeneration plans is to compile all of the information necessary to inform their content. Devoting time to comprehensively researching plans will help to ensure that they achieve the long-term, successful regeneration of target estates. In order to achieve good practice in this aspect of estate regeneration local authorities should consult a wide range of groups and individuals who have expertise in estate regeneration, and the voluntary and community groups who work in the target estate. It may also be useful to consult with local voluntary and co-operative housing associations at this stage, particularly if it is envisioned that the management and maintenance of the regenerated estate will be transferred to such an association at the end of the project.

When researching estate regeneration plans a variety of sources of information and methods of collecting this information should be used. Local authorities should also consider innovative methods for devising estate regeneration plans, such as backcasting. This is a process whereby local authorities and stakeholders come together to generate a ‘best possible’ scenario of the regenerated estate. They then work backwards to determine what actions and practices would be necessary to achieve such a scenario. Backcasting is discussed in more depth in Section 4.4¹.

GOOD PRACTICE RECOMMENDATION No. 5

Researching Estate Regeneration Plans

- Local authorities should draw on all relevant local skills and knowledge when researching estate regeneration plans. Local authority staff, particularly staff based in estates that are targeted for regeneration, should be consulted regarding the content of estate regeneration plans. Elected members who represent the electoral area where the estate is located and relevant local statutory and community organisations should also be consulted.
- The tenants of the target estate should be consulted regarding the content of the estate regeneration plan. Methods for doing so are discussed in Section 2.5.

GOOD PRACTICE RECOMMENDATION No. 6

Compiling Information on the Characteristics of the Target Estate

- When compiling information on the characteristics of target estates for estate regeneration plans, local authorities should take account of the checklist of information on these characteristics, set out on the following page. This checklist is based on the DoEHLG’s 1999 guidelines on applications for funding under the Remedial Works Scheme.

¹ See also I&DEA website for good practice in local authorities in the UK, <http://www.idea-knowledge.gov.uk>, and Weisbord and Janoff (2000) *Future Search: An action guide to finding common ground in organizations and communities*. San Francisco: Berrett-Koehler Publishers.

**Estate Regeneration Plans:
Checklist of Necessary Information on the Characteristics of Target Estates**

Estate Description, Location and Layout, including:

- General location of the estate relative to urban centres, transport, employment, schools, shopping, churches and cultural and recreational amenities ✓
- The area of the estate, when constructed, total number of dwellings ✓
- Total population (planned), total population (actual) ✓
- Type of layout (conventional, open plan, 'radburn')² ✓
- Area and location of open space(s) (active, e.g. play facilities) ✓
- Area and location of open space(s) (passive, e.g. greens) ✓
- Type of development, e.g. low, medium or high rise, terraced, semi-detached ✓
- Dwelling types and numbers, e.g. one-bed, two-bed, etc. ✓
- Boundary conditions ✓
- Car parking provision ✓
- Access and provision for emergency and service vehicles ✓
- Designation of area (i.e. if area is designated or targeted as a special area of disadvantage) ✓

Characteristics of Dwellings, including:

- Accommodation schedule ✓
- Floor area ✓
- Basic amenities (heating, cooking, sanitary) ✓
- Age of dwelling ✓
- Condition survey of buildings and ancillary services ✓
- Photographic survey ✓
- Causes of deterioration ✓
- Life expectancy if no remedial action is taken (including identification of materials or substances that may require special precautions to be taken) ✓

² 'Radburn' layouts are those that keep pedestrian and vehicular access to dwellings separate and result in a 'back-to-front' orientation of dwellings.

Estate Regeneration Plans:
Checklist of Necessary Information on the Characteristics of Target Estates (Continued)

Housing Tenure, including:

- Number and location of dwellings owned by the local authority ✓
- Number and location of local authority dwellings vacant ✓
- Number and location of local authority dwellings where transfer applications have been made ✓
- Number and location of local authority dwellings for which applications to purchase have been made ✓
- Number and location of dwellings privately owned
- Number and location of privately owned dwellings to be purchased by the local authority, if any ✓

Demographic Information, including:

- Total population ✓
- Family sizes and structures ✓
- Special need, e.g. disabled people etc. ✓

Services, Facilities and Amenities, including:

- Roads and public transport ✓
- Drainage, water supply, electricity, gas, telephone, etc. (location, depths, capacities, conditions, etc.) ✓
- Employment ✓
- Education ✓
- Retail and other facilities (shops, post offices, banks/credit unions) ✓
- Recreational amenities, e.g. open spaces ✓
- Churches ✓
- Cultural amenities, e.g. libraries ✓

BEST PRACTICE SUGGESTION No. 3

Drawing on Examples of Good Practice

Where possible the lessons arising from previous estate regeneration projects implemented by the local authority should be taken into account when formulating new estate regeneration plans. It is useful to consult with other local authorities who have implemented innovative estate regeneration projects regarding their experiences and lessons learned.

BEST PRACTICE SUGGESTION No. 4

Audit of the Social Infrastructure

In order to achieve excellence in this aspect of housing management local authorities may wish to consider conducting an audit of the social infrastructure of estates that have been targeted for regeneration. Audits of this type first identify the existing social infrastructure (schools, parks, community facilities, play areas, libraries, post offices, etc.) and on this basis identify gaps in the current provision of social infrastructure. Tenants should be consulted regarding their views on the adequacy of the social infrastructure, using the methods outlined in Section 2.5.

GOOD PRACTICE RECOMMENDATION No. 7

Selecting Interventions to Address Estate Decline

- The nature of the problems of estates targeted for regeneration should be the primary consideration in the selection of interventions to address these problems.
- When selecting estate regeneration interventions local authorities should also take account of the results of consultation with the tenants of the estate in question and of arrangements for the management of the project. These issues are discussed in Sections 2.5 and 2.6 below respectively.
- The checklist on the following page sets out a number of potential interventions that could be included in estate regeneration plans.

2.5 Consulting Tenants Regarding Estate Regeneration Plans

The tenants living in estates targeted for regeneration should be actively consulted regarding the content of estate regeneration plans. This type of consultation (and active collaboration with tenants) has a number of advantages. Tenants have in-depth knowledge of the problems in their communities. Therefore, consulting with them is often an effective way of identifying solutions to these problems.

Tenants should be consulted and become involved in collaborative planning for estate regeneration projects at an early stage. This will help promote a sense of community ownership over the project, ensure support for the project and encourage tenant co-operation at the project implementation stage. Consulting with tenants also helps to ensure value for money by tailoring potential interventions to the needs of target estates. In addition, local authorities are required to consult with tenants in order to access several potential sources of funding for estate regeneration, e.g. the Remedial Works Scheme.

Checklist of Interventions to Regenerate Estates

Category Built Environment	
Problem	Intervention
General environmental problems	<p>Promote high quality built environment</p> <p>Design appropriate functional public spaces</p> <p>Improve the physical image of estate</p>
Poor building methods and quality, building decay	<p>If necessary, demolition and re-build</p> <p>Adhere to architectural and construction standards in refurbishment as laid out in legislation and referred to in the forthcoming revised Social Housing Design Guidelines</p>
Poor dwelling design	<p>If necessary, demolition and re-build</p> <p>Move existing residents if possible to avoid health and safety problems</p>
Low energy efficiency	<p>Use sustainable materials for refurbishment or rebuilding</p> <p>Build energy efficiency into refurbished or rebuilt dwellings</p>
Poor design of open space	<p>Refurbish and redesign public spaces</p> <p>Try to ensure all open space is 'defensible', i.e. is not shielded from public view</p> <p>Design appropriate functional public spaces</p> <p>Have regard to the circulation of pedestrians and cyclists</p>
Unsustainable density	<p>Build new dwellings on problem open spaces or use new dwellings to create defensible spaces</p> <p>Ensure that the local transport and social service infrastructure is adequate to support higher densities</p> <p>When increasing dwelling density provide a range of sizes and types of dwellings to accommodate different household types</p> <p>Address the management issues associated with higher density³</p>
High rate of maintenance complaints	<p>Improve dwelling quality by refurbishment or rebuild</p> <p>Introduce effective cyclical and preventative maintenance programmes</p>

Where Appropriate

Most estates

Estates where initial built quality was poor

Estates where the housing stock has decayed significantly; refurbishment costs more than re-build

Older dwellings, and dwellings which were not built with energy efficient materials or methods

Estates where the initial design of the public space was poor
Estates where the open space has a negative visual impact or is associated with litter problems
Estates where public space is associated with anti-social behaviour problems

Low density estates undergoing significant re-build and/or demolition
Estates where use of public space is problematic
Estates with poor transport and social service infrastructure

Estates suffering from a legacy of poor historical maintenance standards

³ Local authorities may want to refer to Hanlon, E. (2006) *Successful Apartment Living: A role for local authorities in private residential management companies*, a report commissioned by Dublin City Council into these issues.

Checklist of Interventions to Regenerate Estates

Category Economic Problems	
Problem	Intervention
Unemployment	<p>Require building contractors employed in the regeneration project to employ local labour, often set at 10 per cent of the workforce</p> <p>Provide premises and/or funding for small business, social economy and other economic development projects</p> <p>Encourage job initiative projects and apprenticeships</p> <p>Encourage employment in the local authority itself</p>
Educational disadvantage	<p>Encourage back-to-education or re-training projects to set up on the estate or local area</p> <p>Provide premises and/or funding for these projects</p> <p>Provide premises for homework clubs and other educational projects</p> <p>Involve local schools in the regeneration project (e.g. through participation in planning for real exercises, art competitions, environmental awareness campaigns, programmes to promote awareness and ownership of regenerated estates, etc.)</p>

Where Appropriate

Estates where unemployment is high

Estates where high unemployment is underpinned by high number of unskilled and/or educationally disadvantaged tenants

Estates where children are at risk of educational disadvantage

Checklist of Interventions to Regenerate Estates

Category Social Problems	
Problem	Intervention
General social problems	<p>Audit of the social infrastructure</p> <p>Provide a separate community building/premises which can be used by community development projects, tenants associations, etc.</p>
Stigma and negative public image	<p>Use the regeneration project to generate positive media coverage</p> <p>Disseminate information on progress of project to the local media and the local community</p> <p>Utilise written and creative (especially) visual methods to demonstrate ‘fresh’ or new starts, generate sense of momentum</p>
Lack of facilities for different age groups	<p>Play facilities</p> <p>Youth clubs</p> <p>Recreational and sport facilities</p> <p>Premises for elderly, disabled, etc.</p>
Tenant participation in housing estate management	<p>Facilitate the establishment of tenants’ associations or other similar groups to enable tenants to participate in housing management</p> <p>Provide capacity and skills building training for the members of tenants’ groups</p> <p>Establish local area-based office in charge of regeneration</p> <p>Encourage estate management over the long-term to promote successful estates</p>
Low average income among tenant households, high unemployment	<p>Use the opportunity of building in-fill housing or use public-private partnerships to introduce different tenures, such as private or affordable housing, into the estate</p> <p>Build different types of dwellings to accommodate different household types</p>
Estate not well integrated with the wider community	<p>Consult the wider community regarding the design of the regeneration project and keep them informed regarding progress</p> <p>Encourage cross-community and wider links as part of regeneration</p> <p>Proactively manage expectations and conflicts</p>

Where Appropriate

Most estates

Estates with limited or poor community infrastructure

Stigmatised estates with a poor public image

Estates that are negatively perceived by existing and potential tenants

Estates with a high population of young or older people

Estates without existing tenants' associations

Large single tenure estates, where tenant purchase levels are low, as is the average incomes of tenants

Estates that are not well integrated with the wider community

Checklist of Interventions to Regenerate Estates

Category Management Problems	
Problem	Intervention
Poor relationship between tenants and the local authority	<p>Allow time to build good, productive relationships</p> <p>Try to identify and address the factors that are causing this problem</p> <p>Provide more opportunities for informal contact between tenants and local authority</p> <p>Designate estate-based staff to oversee the regeneration projects</p> <p>Consider transferring ownership of the estate to a voluntary or co-operative housing association</p>
High turnover of tenants undermining the stability of the community	<p>Ensure that tenants are correctly assessed for social housing needs from outset</p> <p>Discourage quick transfer out of the estate</p> <p>Identify those willing to accept tenancy in estates of this type, e.g. through listing location preferences on housing application forms or incorporating extra points for these in points schemes</p> <p>Adopt a strategy for the management of voids</p>
Anti-social behaviour	<p>Formulate and implement strategies to prevent and combat anti-social behaviour</p> <p>Build in defensible space and seal off back alleyways when refurbishing estates</p> <p>Ensure that vacant dwellings do not become centres for anti-social behaviour</p>
Differences between different groups of tenants within estates	<p>Consult all tenants regarding the design of the regeneration scheme</p> <p>Try to ensure that tenants' associations are representative of all parts of the estate</p>

Where Appropriate

Estates where tenants have had a poor relationship with the local authority

Estates where the turnover of tenants is high, estates with high numbers of vacant dwellings

Estates where anti-social behaviour is a serious problem

Large estates with identifiably different communities or areas

Consulting Tenants Regarding Estate Regeneration Plans

- Local authorities should ensure that the tenants of estates that have been selected for regeneration are actively consulted and involved regarding the formulation of estate regeneration plans.
- A number of methods can be used to consult tenants at this stage of the regeneration projects. Details of these methods and their advantages and disadvantages are provided in the table on page 36.
- Some consultation methods are most effective for generating certain types of information, for instance suggestions on the redesign of the estate. In addition some consultation methods can be used to ascertain the view of most tenants who live on the target estate, while other methods are suitable only for consulting smaller groups. Local authorities should endeavour to consult as many tenants as possible regarding estate regeneration plans and to generate information on a wide variety of relevant issues. Doing this will require the use of more than one method of tenant consultation.
- Consultation with specific target groups (e.g. youth, elderly, Travellers) should be considered to identify the needs and concerns of these groups.

Consulting Tenants Regarding Estate Regeneration Plans

In order to achieve best practice in tenant consultation regarding estate regeneration plans, local authorities may wish to consider implementing one or more of the following suggestions:

- Establish working groups consisting of relevant local authority staff, representatives of tenants' associations and of statutory and community agencies to co-ordinate and help conduct consultation exercises
- Use a number of different media (local newspapers, community radio, door-to-door leafleting, etc.) to publicise when and where, and what type of, consultation exercises are being held to enable tenants to input into the estate regeneration plan
- Use visual displays and jargon-free communication when consulting tenants. For example, photos or maps of other estate regeneration projects can be used to illustrate potential ideas for the proposed estate regeneration plan. Drawings can be used to demonstrate 'before' and 'after' scenarios for the proposed project, to give residents an idea of what the regenerated estate would look like. Text board displays are also a good way of conveying a lot of information concisely.

Potential Methods for Consulting Tenants Regarding Estate Regeneration Plans

Consultation Method	How to Do It
Public Meetings	Consider holding meetings for specific groups, and/or those who are directly affected by the next phase of the regeneration project
Questionnaire Surveys	Devise a questionnaire and access tenants to fill it out by going door-to-door (best), by telephone or by post
Planning for Real Exercises	A set number of cards with specific improvements as well as some blank cards are given to participants. These cards are placed upon models (or in some cases photomontages, maps or drawings) of the estate to indicate where these improvements should be carried out, and to suggest other improvements

Advantages/Disadvantages

Works best for initial information on estate regeneration, and single issue discussions

Public meetings do not work well if they are open-ended or lack an agenda

Can reach a greater proportion of tenants than public meetings

Allows for the involvement of tenants who may otherwise be unable/unwilling to attend other consultation exercises

Can be a cost-effective way of generating information, if carried out by local authority staff

Does not allow for creative interactions and ideas to emerge from group consultation exercises

Allows everyone an opportunity to actively design their estates

Is very visual, provides a forum for active discussion, creates an opportunity for a community event and promotes a sense of community ownership of the project

Planning for Real is copyrighted and requires a significant amount of pre-planning and preparation to be effective

Planning for Real can also require detailed analysis if suggestions are to actively shape the work plan

Planning for Real is most appropriate for identifying changes to the built environment of estates. It is less effective for identifying the social, economic and community development interventions required

Potential Methods for Consulting Tenants Regarding Estate Regeneration Plans

Consultation Method	How to Do It
Facilitated Workshops	Usually involves an intensive, once-off workshop with small groups to generate recommendations for regenerating estates and help draft a work plan (but these can be followed up by second rounds of consultation)
Visual Methods of Consultation	As a follow-up to facilitated workshops, tenants could walk around their estate with local authority staff to point out the strengths and problem aspects of the estate Tenants would be provided with disposable cameras to take pictures of things that 'work' and don't work in their estates

Advantages/Disadvantages

Very effective method for using the skills and knowledge of tenants

Is an active, intensive and time-delimited opportunity for tenants. This method of consultation makes productive use of everyone's time and can help to mitigate feelings of 'consultation fatigue' among tenants

The tenants who volunteer to participate in workshops of this type tend to be those who are already active in the community and who already have a certain level of skills and capacities. People without these skills and capacities are unlikely to participate. Therefore workshops may not be representative of the community at large

Should be followed up by other consultation methods to ensure that the ideas generated are supported by the wider tenant body

These methods of consultation are most appropriate for identifying changes to the built environment of estates. They are less effective for identifying the social, economic and community development interventions required

However, these methods can be tailored to identify at least some social, economic and community development interventions, e.g. by identifying where shops or community facilities are needed

Managing Expectations

- Consulting with tenants regarding estate regeneration plans has many advantages. However, this process can also cause problems by raising the tenants' expectations regarding the improvements that will be made to their estate, to unrealistic levels, before funding has been secured.
- In order to avert this potential problem local authorities should ensure that tenants are kept informed of the status of funding applications for estate regeneration projects, and of the aspects of the regeneration plan that can be realistically implemented in view of the available funding.
- The experience of the estate regeneration projects that have been implemented in different parts of the country also indicates that if tenants are involved from the beginning, they are more willing to accept that there are potential limitations to and time delays in projects.
- The roles and responsibilities of local authorities, tenants and other stakeholders and the expected outcomes of the regeneration project need to be clearly established at this stage of the project. This will help avoid future misunderstandings or confusion about the scope, scale or nature of the project. Failure to address these issues can, for example, affect future saleability and/or the lettability of housing.

2.6 Strategic Management and Planning Considerations in Estate Regeneration Plans

Once the basic information on the characteristics and problems of target estates has been compiled, tenants and other stakeholders have been consulted and interventions to address the key problems of the area selected, the next step in formulating an estate regeneration plan is to consider how the project will be implemented and managed. In the case of regeneration schemes which involve refurbishment, basic design briefs should also be prepared at this stage, which will obviously have land use planning implications. In addition, reforms to housing management and maintenance practice more generally within the local authority, which are required to help ensure the long-term success of the estate regeneration

project, should also be identified and specified in the regeneration plan. If a masterplan approach is being used, these elements can be incorporated into the masterplan as it is being formulated.

GOOD PRACTICE RECOMMENDATION No. 10

Design Briefs for Refurbishment Schemes

- Estate regeneration plans that make provision for refurbishment works should include design briefs for these works.
- The DoEHLG (1999) guidelines on the Remedial Works Scheme recommend that the following should be considered by authorities for inclusion in design briefs for refurbishment schemes:
 - » Number, type and location of dwellings to be refurbished
 - » Outline of refurbishment works (including environmental improvements) to be carried out
 - » Indication of any further tests, checks or consultations required to complete the brief
 - » Specific standards to be applied, e.g. in relation to materials, components, finishes, etc. in compliance with Building Regulations
 - » Where the refurbishment of the dwelling occupied or intended to be occupied by disabled persons is proposed, reference made to the relevant National Disability Authority guidelines
 - » Extent of pilot project (if appropriate) and the proposed phasing of the total project
 - » Relevant information on the characteristics of the estate
 - » Budget target for project
 - » Target timetable for the implementation of the project
 - » Specific requirements in relation to the project (e.g. need for additional accommodation, whether tenants to remain in occupancy of dwellings during remedial works or to be re-located, etc.)
 - » Relevant aspects of the estate of which the local authority should have knowledge, e.g. maintenance history, material which may require special care in handling

- » Aspects of the proposals to which separate funding arrangements may apply requiring separate handling in design and tender documentation
- » Arrangements for tenant consultation, contractor/tenant liaison, obtaining approvals (statutory/formal/informal) etc.
- When devising design briefs for estate refurbishment projects local authorities should also have regard to the Department of the Environment, Heritage and Local Government guidelines on social housing design and site selection which were published in 1997 and 1999 respectively, but which will soon be superseded by new guidelines. In addition, lessons from previous refurbishment schemes carried out by the local authority and by other local authorities should also be taken on board.

GOOD PRACTICE RECOMMENDATION No. 11

Land Use Planning Considerations in Estate Regeneration Plans

- Where estate regeneration plans make provision for refurbishment works or new build, the implications for land use planning should also be considered. Potential considerations in this regard include the following:
 - » Land ownership in or around the target estate. This has implications for the scope and scale of estate regeneration. For instance, if the local authority owns a large parcel of open land adjacent to the estate, this can allow greater scope for mixed-used and public space development.
 - » Land use and housing tenure around the target estate. If there are ample community and commercial services in the locality there is no need to make provision for these services in estate regeneration plans. If the target estate is located in a locality dominated by social housing, it may be appropriate to try and diversify tenure by providing private and/or affordable housing as part of a regeneration project.
 - » Whether it is necessary to demolish sections of, or the entire, target estate and whether it is necessary to move some or all of the tenants during refurbishment.
- Local authorities should also have regard to the fact that demolition and rebuild will usually require planning permission (unless the regeneration project has special planning regulations, e.g. as part of a strategic development zone). They should therefore take into account in their regeneration plan the time necessary to obtain such permission.

GOOD PRACTICE RECOMMENDATION No. 12

Project Management Considerations in Estate Regeneration Plans

- Estate regeneration plans should specify the planned phasing of the implementation of the plan and whether the implementation of the main project will be preceded by a pilot project.
- The use of pilot projects is advantageous insofar as it enables the local authority to implement the estate regeneration plan in a section of the target estate, and to evaluate whether these interventions have been successful before they are extended to the wider estate. Therefore pilot projects are particularly appropriate in larger estate regeneration projects. In addition, the Department of the Environment, Heritage and Local Government (1999) guidelines on the Remedial Works Scheme specify that the Department can require local authorities to implement and evaluate a pilot project as a condition of securing funding under this scheme.
- Estate regeneration plans should specify how the implementation of the project will be managed. The various options in this regard are discussed in Section Three of these guidelines.

GOOD PRACTICE RECOMMENDATION No. 13

Housing Management and Maintenance Considerations in Estate Regeneration Plans

- The improvements to target estates achieved as a result of regeneration projects will not be sustained unless they are accompanied, particularly within local authorities, by reforms to housing and estate management practice and to the housing maintenance service. Reform of the wider housing management and maintenance service is particularly important where the poor quality of these services has contributed to the problems of estates targeted for regeneration.
- Therefore estate regeneration plans should also include strategies for improving housing management and maintenance more generally within the local authority. Other good practice guidelines produced by the Centre for Housing Research include many recommendations and suggestions regarding strategies of this type.
- In some cases it may be appropriate to consider the possibility of transferring ownership of the estate to a voluntary or co-operative housing provider to facilitate enhanced housing management and maintenance standards. This

option is especially worth considering in cases where the target estate is highly stigmatised or the relationship between tenants and the local authority is poor.

- However, if this option is pursued, local authorities should ensure that the housing association in question has the capacity to take over ownership of the estate. They should also ensure that if the estate is occupied, tenants are fully consulted regarding the decision to transfer and the full implications of transfer is explained to them (including for instance regarding rent levels and access to the tenant purchase scheme). The housing association should be centrally involved in the estate regeneration project from the beginning.

BEST PRACTICE SUGGESTION NO. 6

Risk Assessment

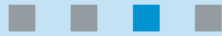
- Local authorities should conduct a full risk assessment before starting the project. This need not be a complicated process. It can simply involve identifying and listing potential risks and putting in place strategies to reduce or eliminate high risks. Managing remaining risks in the course of the project itself is an important element of achieving successful regeneration.
- The list of the characteristics of estate regeneration projects which are associated with high and low risk of project decline set out below identifies some of the factors that should be taken into account in a risk assessment. This list is based on MacDonald (2000).

Estate Regeneration Project Risk Characteristics

Low Risk	High Risk
High standard housing management in the local authority; good estate management; effective management of the estate regeneration project	Poor housing management and estate regeneration project management. Estate regeneration project implemented by a start-up organisation
Superior estate management project design	Poorly conceived and researched project
Low density estate, limited reconstruction provided for in the estate regeneration plan	High density estate; significant reconstruction planned as part of the estate regeneration project
The estate is close to services and good transport links	The estate is isolated from services and has poor transport links
The estate is located in a mixed-tenure area	The locality includes a high concentration of social housing
Stable or growing population base	Declining local population
Strong local economy or strong strategy to regenerate the local economy	The regeneration plan is focused purely on physical improvement
Active community organisations and/or social networks may facilitate lower risk	Lack of community engagement and/or mistrust of public authorities may constitute higher risk

SECTION THREE

Implementing Estate Regeneration Projects



3.1 Introduction

Section Two of these guidelines highlighted the need for strategic thinking in developing and planning estate regeneration projects. It emphasised the importance of research to identify the estates that require regeneration and the key problems of these estates. It recommended that local authorities should formulate a written work plan for estate regeneration projects which details the interventions planned to address the problems of target estates.

Section 3 focuses on the implementation and management of estate regeneration strategies and projects. It highlights the need for well-focused project management and the development of a problem-solving management ethos oriented towards the long-term sustainable outcomes of estate regeneration projects. It identifies a range of funding mechanisms, approaches and methods that can be employed for estate regeneration. It makes recommendations for stronger working relationships with local communities as part of efforts to achieve best possible solutions for estate regeneration.

The first step in implementing estate regeneration projects is to secure the requisite funding. All potential funding options, both mainstream and novel (e.g. EU funding) should be explored in order to enable the implementation of all the interventions proposed in estate regeneration plans.

Once funding has been secured, arrangements must then be made for managing the implementation of the estate regeneration projects. There are two aspects to this task. One aspect is to put in place an organisational framework for overseeing the implementation of the project. Often decisions regarding appropriate frameworks are related to funding imperatives. For instance, a partnership with other statutory and community agencies may be chosen to implement a regeneration project because

partner agencies may have access to sources of funding which are not available to local authorities. However, as well as funding, local authorities should take account of the scale of the regeneration projects and the nature of the interventions planned, when selecting an implementation framework.

The other aspect of project management relates to the day-to-day management of the implementation of the regeneration scheme. Achieving good practice in this aspect of estate regeneration requires continuous monitoring of each stage of project implementation in order to identify any problems and instigate appropriate corrective action.

3.2 Funding Estate Regeneration Projects

Sufficient resources are vital for the success of estate regeneration projects. Therefore the first step in implementing projects of this type is to identify and secure the necessary funding. Interventions must lead funding; funding should not lead or otherwise unduly shape the interventions undertaken in a project. Thus, local authorities should consider all potential funding methods. They can: generate their own funding, directly access what funding is available to them, and/or facilitate other groups' (e.g. community organisations) access to wider funds in order to implement all of the interventions provided for in the estate regeneration plan.

As mentioned in the introduction to these guidelines, in the past the scope of estate regeneration projects has sometimes been limited by the type of funding available to local authorities. Local authorities generally have had easy direct access to funds for the refurbishment of the built environment (e.g. the Remedial Works Scheme). Evidence suggests that such funds can create an overreliance on built environment interventions. Evidence also suggests, however, that local authorities underutilise existing funds that could support wider management, social and economic interventions, such as the Community Fund or the Housing Management Initiative Grants Scheme. There is a growing recognition of the need to address wider social aspects as seen for example in the emphasis on social infrastructure within the regeneration aspects of the *Building Sustainable Communities* framework, and in calls for estate management programmes within the revised RWS (as from the 1999 guidelines).

However, novel sources of funding still may be required to implement the social and economic interventions provided for in estate regeneration plans. These novel sources of funding may include tapping into EU structural funds,⁴ funds targeted for specific

⁴ See www.eustructuralfunds.ie for information on accessing these funds, as well as projects utilising various EU funding sources.

groups (e.g. young people or Travellers), or funds targeted for addressing social exclusion and/or multiple disadvantage (see table below).

Furthermore, accessing these sources of funding may require the establishment of strategic partnerships with other relevant statutory and community agencies. Section 3.3 examines how partnerships of this type can be put in place.

GOOD PRACTICE RECOMMENDATION No. 14

Funding Estate Regeneration Projects

- Local authorities should strive to access, or facilitate access to, sufficient capital and revenue funding to implement all of the interventions included in estate regeneration projects by exploring all potential funding sources. Failure to do so may significantly impact upon the prospects for sustained success of the project.
- A number of schemes are available to fund the refurbishment of local authority estates and the reform of housing management.
- On occasion it may be possible to use mainstream sources of funding for social housing provision in estate regeneration schemes. For instance, the scheme for extensions to local authority dwellings could be used to address overcrowding on estates. The Capital Loan and Subsidy Scheme could be used to fund the construction of in-fill housing by voluntary and co-operative housing providers in unused public space.
- Novel sources of funding may be required to implement the social and economic interventions provided for in estate regeneration plans. Furthermore, on occasions it may be possible to access European Union finance for estate regeneration projects to complement national and local funding. For example, Ballyfermot is targeted by the EU Community Initiative Fund URBAN II to address five priority areas, including community participation and infrastructure development. While not part of a dedicated estate regeneration project in this instance, similar measures could help to address identified key interventions within a proposed estate regeneration project. Ballymun has also attracted EU funds by participating in the IMAGE European project (looking to enhance the image of high-rise housing across a number of cities in the EU).
- Accessing novel sources of funding may require the establishment of strategic partnerships with other relevant statutory and community agencies.
- Details of potential sources of funding for estate regeneration projects are provided on the following pages.

Sources of Funding for Estate Regeneration Projects

Responsible Agency	Details of Funding Scheme	
	Name	Focus
Many different implementing bodies but see National Development Plan/ Community Support Framework Office for information on accessing EU structural funds	European Regional Development Funds and European Social Funds: various programmes under numerous operational programmes (e.g. Economic and Social Infrastructure, Employment and Human Resource) and Community Initiatives (e.g. LEADER, EQUAL, URBAN)	A range of funding programmes intended to e.g. promote urban and rural development, tackle social inclusion/exclusion, increase employment opportunities, etc. particularly in disadvantaged communities/neighbourhoods. Also intended to help generate balanced regional development
Pobal (formerly Area Development Management Ltd)	Local Development and Social Inclusion Programme (LDSIP)	Services for the unemployed, community development projects and community-based youth initiatives
	Ceantair Laga Árd-Riachtanais (CLÁR)	Parts of counties Cavan, Clare, Cork, Donegal, Galway, Kerry, Limerick, Longford, Louth, Mayo, Meath, Monaghan, Roscommon, Sligo, Tipperary, Waterford, Westmeath and all of County Leitrim
	Dormant Accounts Fund	Programmes or projects that are designed to assist the personal, educational and social development of persons who are economically, educationally or socially disadvantaged or persons with a disability
	Revitalising Areas by Planning, Investment and Development (RAPID)	Targets the 45 most disadvantaged large urban centres and provincial towns

Status	Type of funding	Eligible Organisations
Ongoing	Intended to complement public expenditure funds of member states and usually accessed by specific projects and/or organisations through different managing authorities/implementing bodies within the context of the National Development Plan and Community Support Framework	Local authorities, community and voluntary groups, social partners and NGOs
Funding allocated and projects in progress	Dedicated funding goes to local partnerships, community groups and employment pacts which provide eligible services	Community and voluntary groups
Ongoing	Frontloading of investment under the National Development Plan in the target localities	Local authorities and community and voluntary groups
Applications for the first round of funding are now closed	Capital and revenue funding	Community and voluntary groups
Ongoing	Grant aid for the improvement of the physical, community and social infrastructure which may require co-funding and must be spent in the target localities	Government Departments, State Agencies and Local Authorities

Sources of Funding for Estate Regeneration Projects

Responsible Agency	Details of Funding Scheme	
	Name	Focus
Department of Community, Rural and Gaeltacht Affairs, Voluntary and Community Services Section	National Anti-Poverty (Inclusion) Plan, Community Development Programme	Specific, very small-scale funding primarily to cover physical costs, e.g. security measures, room rental, etc. aimed at enhancing community capacity Also incorporates Community Supports for Older People (CSOP). This is primarily for physical security measures on older people's homes
	National Anti-Poverty (Inclusion) Plan Programme of Core Funding for Community and Family Support Groups	Funds smaller scale self-help work amongst specific target groups
	Young People's Facilities and Services Fund (YPFSF)	Uses funding under the National Development Plan 2000-2006 for the development of youth facilities, including sport and recreational facilities, and services in disadvantaged areas where a significant drug problem exists or has the potential to develop

		Eligible Organisations
Status	Type of funding	
Ongoing	The following grants schemes: 1) Scheme of equipment and refurbishment grants; 2) Scheme of education, training and research grants (only covers once-off costs, e.g. room rental, fees for tutors) and 3) Scheme of community supports for older people	Community and voluntary groups
Ongoing	Capital and revenue	Community and voluntary groups
Open to enquiries regarding new projects	Capital assistance for projects submitted to the National Assessment Committee and thence to the Cabinet Committee on Social Inclusion	Voluntary organisations in the 14 Local Drug Task Force areas and four other urban areas; and the Springboard initiative under the Department of Education and Science

Sources of Funding for Estate Regeneration Projects

Responsible Agency	Details of Funding Scheme	
	Name	Focus
Department of Education and Science, Youth Affairs Section	Department of Education and Science Projects for Disadvantaged Youth	Funds special out-of-schools projects for disadvantaged young people. Aimed at facilitating the personal development and social education of at-risk young people
	Local Youth Club Grant Scheme	Two streams of funding: 1) Youth Grants designed to aid the ongoing costs of youth clubs and groups; 2) Special Youth Grants are once-off grants to aid special youth work initiatives, particularly those aimed at disadvantaged young people
	Youth Service Grant Scheme	Continued funding on an annual basis to voluntary youth organisations to ensure the emergence, promotion, growth and development of youth organisations with distinctive philosophies, and programmes aimed at the social education of young people

Status	Type of funding	Eligible Organisations
Ongoing	Once-off grants	Community and voluntary groups. Applications for funding made through local Vocational Education Committees (VECs)
Ongoing	1) Grants for ongoing costs 2) Once-off grants	Community and voluntary groups. Applications for funding made through local VECs
Ongoing	Annual funding	National and major regional voluntary youth organisations

Sources of Funding for Estate Regeneration Projects

Responsible Agency	Details of Funding Scheme		
	Name	Focus	
Department of Environment, Heritage and Local Government	Area Regeneration Programme	Once-off upgrading of flats complexes, including: replacement of windows, installation of central heating, repairs to roofs and precinct improvements	
	Inner City Flats Programme	A mix of demolition, new build and refurbishment of inner city flats	
	Housing Management Initiative Grants Scheme	Assist local authorities and voluntary or other appropriate organisations to undertake new projects in the area of housing management	
	Regeneration Programme	Mix of demolition, new build and refurbishment alongside works to improve the social environment such as the provision of childcare and community facilities. Also includes works to eliminate anti-social behaviour such as closing off back alleys and creating new road layouts	
	Central Heating Programme	Installation of central heating in local authority rented dwellings, that lack such facilities	
	Remedial Works Scheme	Principally refurbishment of dwellings and public space in estates Also provides some funding for estate management, tenant participation	
	Traveller Accommodation Programme		Refurbishment of halting sites and group housing schemes for Travellers
			Management and maintenance of halting sites

Status	Type of funding	Eligible Organisations
The original grant fund is now exhausted so proposals being dealt with on a case-by-case basis	Grant aid for capital costs	Local authorities
Ongoing	Grant aid for capital costs	Dublin City Council
Ongoing	Grant aid for capital and revenue costs	Local authorities, voluntary and co-operative social housing providers and other voluntary bodies working in the housing field
Ongoing	Capital grant aid	Local authorities
Ongoing to 2008	Grant aid for capital costs. Co-funding by local authorities is also required	Local authorities
Ongoing	Grant aid principally for capital costs. Co-funding by local authorities is also required	Local authorities
Ongoing	Capital funding for both halting sites and group housing schemes, revenue funding for halting sites	Local authorities

Sources of Funding for Estate Regeneration Projects

Responsible Agency	Details of Funding Scheme	
	Name	Focus
Department of Justice, Equality and Law Reform	Equal Opportunities Childcare Programme	To improve the quality of childcare; maintain and increase the number of childcare facilities and places; and introduce a co-ordinated approach to the delivery of childcare services
Local authorities	Community Fund	To support community initiatives

GOOD PRACTICE RECOMMENDATION No. 15

Managing Estate Regeneration Funding

- Local authorities should employ the following mechanisms to achieve value for money in all expenditure on estate regeneration:
 - » Costs benefit analyses of all interventions planned as part of the estate regeneration project
 - » Cost benefit analysis of the various options for delivery of the estate regeneration project, for instance: by the local authority directly, by means of a public-private partnership or by means of transfer of the estate to a voluntary or co-operative social landlord
 - » Monitoring of all spending on estate regeneration projects and the introduction of cost control mechanisms if required

		Eligible Organisations
Status	Type of funding	
Ongoing	Three sub-measures giving capital grant assistance/schemes; a staffing grant assistance; and grants towards quality improvement, which incorporate a range of funding for childcare committees, innovative projects, etc.	Community/not-for-profit organisations; Self-employed childcare providers; Private childcare providers
Established under Section 109 of the Local Government Act, 2001	Contributions from any voluntary, business or community group, other local authority or public authority or other person, or the local authority itself can be used for capital or revenue purposes	Local authorities or community and voluntary organisations

- » The introduction of measures to ensure value for money for all mainstream management and maintenance spending by the local authority on the estate and to ensure this expenditure complements the estate regeneration plan. This issue is discussed in more depth in Section Four of these guidelines.
- Funding for estate regeneration projects must be managed in a transparent manner and according to Comptroller and Auditor General standards (or equivalent standards). The tenants of the target estate and, if relevant, statutory and community agencies that are partners in the project should be kept informed of the amount and type of funding available, and of broad trends in expenditure.
- In cases where insufficient resources are available to implement all of the interventions planned as part of estate regeneration projects, local authorities should devise criteria for allocating the available resources, to be properly budgeted and adequately distributed throughout all phases of the project. These criteria should be based on the results of the analysis of the key problems of the target estate that was conducted during the formulation of the estate regeneration plan. As far as possible, the most serious local problems should receive priority in decisions regarding the allocation of available resources.

- Tenants and, if relevant, other statutory and community partner agencies, should be consulted in decisions regarding the prioritisation of expenditure. Evidence from the estate regeneration projects implemented to date indicates that tenants are more likely to understand funding constraints, and to support estate regeneration projects, if they are consulted in decisions regarding allocation of resources.

3.3 Organisational Frameworks for Project Implementation

Once funding has been secured, a suitable framework for overseeing the implementation of the estate regeneration project must be identified and put in place. As was mentioned above, decisions regarding appropriate frameworks are often related to funding imperatives. However, as well as funding, local authorities should also take account of the scale of regeneration projects and the nature of the interventions planned, when selecting an implementation framework.

GOOD PRACTICE RECOMMENDATION No. 16

Selecting an Organisational Framework for Project Implementation

When selecting an organisational framework for the implementation of estate regeneration projects, local authorities should take account of the following considerations:

- The size and scale of the project. Although the establishment of a dedicated estate regeneration agency can be costly and time consuming, this investment may be justified in the case of large or complex projects.
- Funding. Some implementation frameworks, such as public-private partnerships (PPPs) or multi-agency partnerships with other statutory and community organisations, can be a useful aid for accessing novel sources of funding which are not normally available to local authorities.
- Organisational capacity. Some organisational frameworks require significant technical expertise for implementation. The procurement process necessary for establishing a PPP can be complicated and requires technical expertise. Local authority staff should ensure they have the capacity to manage this process before selecting this organisational framework.

- Appropriateness to the aims of the project. Some organisational frameworks are more suitable for implementing certain types of regeneration initiatives. For instance, multi-agency partnerships with other statutory and community organisations can help local authorities to access funding to address social and economic problems, so this organisational framework is appropriate for estates where these problems are significant.
- In the case of PPPs, in particular, local authorities must follow appropriate national and EU procurement rules, legislation (the State Authorities [Public Private Partnership Arrangements] Act 2002 and the National Development Finance Agency Act 2002) and should also refer to relevant documents.⁵ Projects of this type usually involve transferring ownership of a section of the estate to a private developer in return for their participation in the refurbishment or rebuilding of the remaining social rented dwellings. In addition, if and where the use of a PPP leads to significant reduction in the number of social rented dwellings in the target estate, local authorities should also consider the potential for providing replacement dwellings on alternative sites.
 - » In some cases it may be appropriate to employ two or more of these frameworks in tandem to establish, for instance, a public-private partnership that also involves other statutory or community partner agencies.
 - » Regardless of which organisational framework is selected, tenants should be centrally involved in the implementation of estate regeneration projects. This issue is examined in more depth in Section 3.5 below.
 - » Details of organisational frameworks that could be used to implement estate regeneration projects, together with the strengths and weaknesses of each option, are provided on the following page.

3.4 Estate Regeneration Project Management and Staffing

Once an appropriate organisational framework has been selected and established the next step in implementing estate regeneration projects is to put in place project management arrangements. In order to ensure this is done effectively, local authorities should designate at least one senior official with responsibility for this task. High-level input and commitment is a critical factor in the support for and future success of any regeneration project.

⁵ Department of Finance (2006) *Guidelines for the Provision of Infrastructure and Capital Investments through Public Private Partnerships*. Dublin, July; Department of Finance (2001) *Framework for Public Private Partnerships*. Dublin, November.

Organisational Frameworks for Delivering Estate Regeneration Projects

Organisational Framework	Strengths	Weaknesses
Dedicated agency – a new agency is established, tasked with implementation of the estate regeneration project	<p>Useful for large ‘flagship’ regeneration projects</p> <p>Agency may have greater flexibility to recruit or second specialist staff</p> <p>Conveys the impression of a ‘fresh start’ in estates where the relationship between tenants, the wider community and the local authority is poor</p>	<p>Complex and potentially expensive to establish and therefore only appropriate for larger estate regeneration projects</p>
Local authority led – the local authority raises the funds for and manages the implementation of the estate regeneration project	<p>Local authority retains control of all aspects of project</p> <p>Suitable for estates where the principal problems relate to the quality of dwellings and the built environment</p>	<p>Greater risks to local authorities if project is delayed, or is not successful</p> <p>Proper project management is time-consuming and local authorities may lack the capacity to do this</p> <p>Local authorities may have difficulty in directly accessing funding for social and economic interventions and so may need to form working partnerships with other groups to facilitate such funding</p>
Multi-agency partnership – a group of statutory and community agencies raises funds for and manages the implementation of the project	<p>Appropriate for estates where there are significant social and economic problems</p> <p>Can facilitate good working relationships with other agencies which may be useful in other estate regeneration projects and/or other aspects of the local authority’s work</p>	<p>Suitable partner agencies may not exist</p> <p>Partner agencies may have different priorities which makes working together challenging</p> <p>The logistics of co-ordinating the partner agencies are often challenging and time consuming</p>
Public-private partnership – a private developer refurbishes or rebuilds the estate in return for a proportion of the land and/or dwellings	<p>Some transfer of risk from the local authority to the private sector partner</p> <p>May generate greater and more flexible funding than that available from government</p> <p>Has the potential to generate innovative solutions</p>	<p>Local authorities still bear considerable risks and costs, e.g. they may have to prepare sites to attract private sector partners</p> <p>The procurement process for establishing a PPP is complex</p> <p>It may be difficult to balance satisfying the commercial imperatives of the private partner and addressing the needs of tenants</p>

Funding sources	Example
<p>Same as those available to local authority led projects</p>	<p>Ballymun Regeneration Limited</p>
<p>Any of the funding schemes for the refurbishment of local authority estates can be used, e.g. the Remedial Works Scheme</p> <p>It may also be possible to utilise funds for the construction of new social rented dwellings</p> <p>Local authorities' own resources, rental income or the Housing Management Initiative Grants Scheme can be used to fund reforms to housing management</p> <p>Some novel sources of funding such as European Union structural funds may be available</p>	<p>Knocknaheeny, Cork</p>
<p>Same as those available to local authority led projects</p> <p>In addition, partner agencies may be able to draw on funding programmes for community and economic development and social service provision</p>	<p>Moyross, Limerick</p>
<p>Costs have to be negotiated between developers and local authorities</p> <p>It may be possible for the local authority to draw on the funding streams that are available to local authority led projects</p>	<p>Fatima Mansions, Dublin</p>

The recommendations and suggestions below address the responsibilities and working methods of these staff together with procedures for the management of their work. Training and supports required by estate regeneration staff are examined in Section Four.

GOOD PRACTICE RECOMMENDATION No. 17

Managing Estate Regeneration Projects

- In order to achieve good practice in estate regeneration project management, appropriate structures should be in place to manage the day-to-day activities of the project, as well as structures to oversee the overall implementation and progress of the project. The precise nature of these structures differ and are dictated by the different approaches to the project as outlined in the above table. For example, a local-authority led approach will require local authorities to have staff available to manage the project as well as senior-level management involvement to strategically guide and monitor the project.
- In smaller or single dimensional projects (that focus for instance solely on the refurbishment of dwellings), this may simply involve a single local authority official managed by a working group made up of the partners to the project and tenant representative(s).
- In addition, existing estate management, tenant participation or even community development structures can sometimes take on management duties in relation to smaller, or single dimensional, estate regeneration projects. The advantage of using existing structures is that the project can proceed more quickly. However, there is also a risk of overloading these structures if they are not properly developed, resourced and supported.
- In the case of regeneration projects that target a large estate and/or involve a range of interventions, new structures should be put in place for the purpose of consultation, and for overseeing project implementation. Examples of such structures include a regeneration board or a consultative committee comprised of representatives of the local authority, tenants, the local community and the other partners to the projects. Although new management structures may be time-consuming to develop, they are useful because they can be tailored to the specific needs of the project.
- In the case of large or complex estate regeneration projects, local authorities should in addition consider setting up working groups made up of responsible local authority staff, tenants and other stakeholders to manage specific aspects

of the project implementation. These working groups can complement the wider, overall strategic management perspective of a regeneration board or consultative committee by focusing on managing either specific aspects of the regeneration plan (e.g. refurbishing the built environment) or specific areas of the target estate. In relation to the latter they could, for instance, assist in the dissemination of information to tenants living in the area or facilitate ongoing consultation with local residents and other partner groups.

GOOD PRACTICE RECOMMENDATION NO. 18

Estate Regeneration Management Ethos

- Effective management of estate regeneration projects is characterised by the following management ethos:
 - » A commitment to actively and efficiently progressing implementation of the project in a timely fashion
 - » Open and active lines of communication between the local authority, tenants and other partners to the project that will ensure that all decisions and all changes are debated, agreed and acted upon
 - » A well-thought out, but flexible approach that will cope with any unforeseen changes that arise in the course of the project implementation
 - » A commitment to identifying and overcoming obstacles to the implementation of the project and a willingness to revisit and address issues in the future, if they cannot be addressed immediately
 - » An innovative approach that emphasises problem-solving and identifying ‘creative’ solutions to the problems encountered in project implementation
 - » Having cognisance of the wider issues that impact upon estate regeneration, such as the health of the local economy.
- Senior managers have a vital role to play in fostering a positive and proactive estate regeneration management ethos. The following are some suggestions for doing so:
 - » Show staff the value of good performance, and support good practices for this
 - » Promote and practise joined-up thinking and learning, and provide strategic management support

- » Help to focus activities and performance according to regeneration work plans, while encouraging local creativity and responsiveness to emerging issues
- » Facilitate the adoption of national agendas and reforms at local level, as adapted for their own organisation
- » Make sure all staff (including senior managers) are clear about their roles and responsibilities, and have clear lines of communication so that issues arising can be quickly dealt with
- » Be clear about their own expectations of the project, and how good performance and positive progress are to be measured and achieved
- » Recognise and validate success stories and share these with other senior managers

GOOD PRACTICE RECOMMENDATION No. 19

Staffing Considerations in Estate Regeneration Plans

- When formulating estate regeneration plans local authorities should consider the levels of staff support, commitment and resourcing which will be required to implement the plan.
- Finance permitting, local authorities should designate an official or officials to co-ordinate the implementation of the estate regeneration plan, provide a point of contact, maintain open lines of communication, and respond quickly to any matters arising in the course of regeneration. If possible these estate regeneration staff should be based in a project office located on the target estate, which could serve as a 'one-stop shop' for all aspects of the regeneration project implementation and management, and as a point of contact for tenants' queries about the project.

GOOD PRACTICE RECOMMENDATION No. 20

Key Responsibilities of Estate Regeneration Staff

The key responsibility of estate regeneration staff is to manage the implementation of the estate regeneration work plan. This involves the following specific tasks:

- Managing the implementation of the various interventions provided for in the estate regeneration plan

- Identifying and addressing any ‘log jams’ (obstacles, persistent problems, breakdowns in communication, etc.) that arise in the course of the project implementation
- Maintaining open lines of informal communication between local authorities, tenants and other partners to the project
- Providing a point of contact to respond to any problems that arise in the course of the implementation of the project
- Organising and overseeing, through a range of fora, e.g. meetings, workshops, and school visits, the dissemination of information about the progress of the project to tenants and the local community
- Collecting regular periodic (e.g. quarterly) data on the implementation and management of the project for assessing performance indicators and compiling information for feedback to tenants. This is discussed in more depth in Section 4.2
- Overseeing the timely progression of the project and spending according to the project budget.

GOOD PRACTICE RECOMMENDATION No. 21

Training and Support for Estate Regeneration Staff

- Working in estate regeneration can be challenging. Multi-dimensional estate regeneration projects are complex to implement, and liaising with tenants, who are often anxious about the outcome of the project, may be stressful. In addition, staff assigned to estate regeneration projects often work in estate offices, which can lead to feelings of isolation from colleagues at local authority headquarters.
- Therefore local authorities should put in place appropriate support structures for estate regeneration staff. These should include the following:
 - » A clear system of reporting and supervision
 - » Relevant training in, for instance: community consultation techniques; establishing and developing committees; housing management reform; accessing funding; project management and inter-agency working
 - » Opportunities for networking with estate regeneration staff working on other projects in the local area or in other parts of the country; networking can enable the exchange of ideas on good practice and stem any feelings of isolation on the part of estate-based staff.

- Local authorities should be especially attentive to putting in place appropriate support structures for the staff who, in addition to other duties, are overseeing the management and implementation of the estate regeneration project.
- Consistency should be employed across the different functions and positions within housing management services generally; estate regeneration staff should receive appropriate and sufficient salaries and resources in keeping with their duties and the scope, scale and nature of the project.

BEST PRACTICE SUGGESTION No. 7

Staff Turnover

- Staff turnover can create significant problems for the implementation of estate regeneration projects because the achievements of many of these projects are often the result of personal efforts and contacts. Local authorities may wish to consider using the following strategies to avoid potential problems caused by staff turnover:
 - » Clearly documenting all actions, processes and desired outcomes throughout the course of the project
 - » Maintaining contact directories for all those involved in estate regeneration (listing functions, contact details and numbers which are function/position specific, i.e. do not change if staff change)
 - » Having clear protocols for job requirements and management and operational procedures
 - » Ensuring that there is a training-in period when new staff are introduced to the project and the area, and apprised of the standing and future directions of the project
 - » Making sure that several people both within the local authority and in target estates are aware of the functions, roles and responsibilities of various partners to the project (this includes both public authorities and local stakeholders), so that they can assist in training-in new staff or those new to the project.

GOOD PRACTICE RECOMMENDATION No. 22

Identifying and Overcoming Obstacles to Project Implementation

- As mentioned above, identifying and addressing obstacles to the implementation of estate regeneration strategies is a key aspect of project management. The table on the following page lists some of the obstacles of this type commonly encountered and suggests how they can be resolved.

BEST PRACTICE SUGGESTION No. 8

Estate Image

- Research suggests that negative perceptions of target estates in some cases can be a significant stumbling block to the successful implementation of the regeneration plan. In these cases, local authorities may wish to consider engaging the services of a media advisor to help counteract this situation by actively promoting and disseminating positive images of the estate and of the progress made during regeneration. Improving the public image of the target estate may help to increase demand for dwellings from potential social renters and home-buyers.

Overcoming Obstacles to Project Implementation

Obstacles	Solution
<p>Shortage of funding</p>	<p>Pursue both novel and mainstream sources of funding</p> <p>Establish partnerships with other statutory, community and/or private sector agencies to enable access to novel funding sources</p>
<p>Apathy or lack of trust between tenants, the local authority and the other partners to the project</p>	<p>Encourage informal contacts between local authorities, tenants and other project partners</p> <p>Disseminate information on the impact that consultation with tenants and other partners has had on the design and implementation of the project</p> <p>Make decisions jointly with tenants and other partners so that they feel a sense of ownership of the project</p> <p>Put in place training and other supports to enable tenants and other partners to participate as equal partners in the project</p> <p>Encourage active support of and involvement in project management aspects where possible through appropriate structures</p>
<p>Inadequate communication with tenants and other partners</p>	<p>Ensure that both written and more creative visual methods are employed to disseminate information</p> <p>Utilise tenants and community activists to help with dissemination of information in the estate</p> <p>Utilise a variety of fora, including public meetings, to promote open and active lines of communication</p> <p>Identify any gaps in communication and address these (e.g. is there a particular age group not attending meetings?)</p>
<p>Anti-social behaviour</p>	<p>Enforce the legislation and the terms of tenancy agreements in anti-social behaviour</p> <p>Work closely with all actors dealing with anti-social individuals and families to ensure co-ordinated actions and better outcomes</p> <p>Implement the Centre for Housing Research good practice guidelines on <i>Preventing and Combating Anti-Social Behaviour</i></p>

Overcoming Obstacles to Project Implementation

Obstacles	Solution
Image of the estate	<p>Devise a strategy to improve the image of the estate, in tandem with regeneration</p> <p>Actively engage local media to produce positive coverage of estate regeneration</p>
Quality of housing management and maintenance	<p>Implement the housing management reforms suggested in relevant Centre for Housing Research good practice guidelines</p> <p>Ensure that any lessons for housing management and maintenance practice that arise from the regeneration project are fed back to relevant staff and acted upon</p>
Lack of senior-level management involvement	<p>Demonstrate, using hard and soft data, that commitment to change produces positive results</p> <p>Learn from past experiences and incorporate these lessons into new projects</p> <p>Support innovation and creative approaches</p> <p>Appoint senior-level official with decision-making powers to regeneration board and/or working groups</p>
Risk considerations	<p>Mitigate against or eliminate high risks</p> <p>Actively manage remaining risks</p> <p>Seek risk transfer only where appropriate and feasible</p>
Low demand for private and social housing in the estate	<p>Use the opportunity of the regeneration scheme to mix the tenure of the estate – consider providing ‘super affordable’, very low-priced housing to ensure that the local community can afford to buy in the estate, as has been done in Fatima Mansions</p> <p>Incorporate a range of dwelling designs and provide new social, community and commercial facilities</p> <p>Keep residents of the locality where the estate is situated informed about the regeneration. They may be interested in securing accommodation in the estate.</p>

3.5 Involving Tenants in Project Implementation

Section Two of these guidelines mentioned that the tenants living in estates targeted for regeneration should be actively consulted regarding the content of estate regeneration plans and highlighted a number of advantages associated with involving tenants in the project design stage. Many of these advantages are also relevant to involving tenants in the implementation of estate regeneration projects. For instance, tenant involvement in project implementation helps to underpin support for and ensure co-operation with this stage of the project; and can help achieve value for money by identifying problems with implementation at an early stage.

In addition, the ongoing involvement of tenants in regeneration boards, consultative committees and/or specific working groups has the potential to contribute to community development and can be used as a basis on which to develop arrangements for tenant participation in estate management over the long term. These structures can also help to increase levels of support for the project amongst local stakeholders and tenants.

Local authorities should also consider opportunities for directly generating employment and education opportunities for tenants as part of the project, as for example with local labour clauses requiring 10 per cent of the labour workforce on the project to be local, or by supporting apprenticeships. These indirect methods of tenant participation in the project can increase support and feelings of ownership of the project amongst tenants.

GOOD PRACTICE RECOMMENDATION No. 23

Tenant Participation in Implementing Estate Regeneration Projects

- Local authorities should put in place appropriate arrangements to consult and collaborate with tenants regarding the implementation of regeneration projects in their estates.
- These arrangements should include newsletters, public meetings, focus groups, surveys, information displays, etc. that enable the local authority to consult with and pass on relevant information to the majority of tenants of the target estate.
- Local authorities should include tenants' representatives on estate regeneration boards and working groups to enable tenants to participate in the implementation and, where appropriate, management of the project on an ongoing basis. In small estate regeneration projects this can be achieved by

asking a representative tenants' association or community group for nominations. In larger or more complex estate regeneration projects it may be necessary to establish new representative structures or to support the development of existing structures so that tenants living in the different parts of the estate can nominate representatives to the regeneration board, and/or to the various working groups tasked with overseeing the implementation of the different aspects of the regeneration plan.

GOOD PRACTICE RECOMMENDATION No. 24

Training and Support for Tenants' Representatives

- It is likely that tenants' representatives will require some support if they are to participate effectively in the implementation of estate regeneration projects. Local authorities should provide some of the following supports as appropriate:
 - » Informal advice and support from tenant participation (e.g. tenant liaison officers) or estate regeneration staff
 - » Office space and equipment
 - » Grant aid to pay for staff, training, etc.
 - » Training in, for instance, committee working and the roles of the various committee members, community consultation, and understanding technical jargon used by architects and land-use planners.

BEST PRACTICE SUGGESTION No. 9

Tenant Participation in Implementing Estate Regeneration Projects

- In addition to promoting job initiatives, local labour clauses and local apprenticeships, local authorities who want to achieve excellence in this aspect of housing management may wish to consider facilitating further employment opportunities. They could contract existing tenants' associations or community groups to implement some of the interventions provided for in estate regeneration plans, or establish new groups for this purpose. For instance, an appropriately trained group of tenants could be contracted to carry out landscaping work on the target estate or to carry out day-to-day environmental works. This approach to project implementation has the added advantage that

SECTION FOUR

Monitoring and Evaluating Successful Estate Regeneration: Sustaining Regenerated Estates and Vibrant Communities



4.1 Introduction

This section explores the final phase of estate regeneration projects, which involves measuring performance and ensuring sustainability. Issues are examined in relation to monitoring, evaluating and learning from estate regeneration projects. Then strategies for moving into long-term thinking and acting are discussed. Ideas and possible frameworks for performance management and evaluation are suggested. As part of this, a number of both 'hard' and 'soft' data are outlined, together with different data collection strategies, to gauge performance and demonstrate true success markers.

This section stresses the need to develop clear 'exit strategies', based upon an analysis of performance and success, to mark the completion of the project. It also highlights some ways to then devise broader long-term housing management and maintenance strategies to sustain successful outcomes of estate regeneration, with an emphasis on the importance of maintaining and sustaining structures and relationships built up in the course of the estate regeneration.

4.2 Monitoring and Evaluating Estate Regeneration Projects

Monitoring refers to the on-going checking of a project to ensure that it is achieving the aims set out for it, within budget and to time. It does not form an opinion on the success or otherwise of the project (although obstacles to progress should be identified and dealt with) and is often carried on in-house. Evaluation is more judgemental, is often carried out by an independent consultant or official not directly involved in the project's management or implementation, and is concerned with its impact. Typically, evaluations ask: did the project meet its set objectives? what worked well? what are the areas for improvement? what lessons can be learned for future projects?

Both monitoring and evaluation require the collection and analysis of data concerning the project. Appropriate data collection strategies, conducted at all phases of the estate regeneration project, will enable the ongoing review of project implementation, and contribute to any necessary changes to this implementation. In addition, when the project is nearing completion all of the data necessary for completing an evaluation report will be readily available.

The following suggested frameworks illustrate the kinds of questions necessary for monitoring and managing performance and achieving productive, value-added evaluations of the project (i.e. evaluations which contribute to lessons learned and long-term changes in management and practices). Such questions help to clarify how, and how well, progress has been made for achieving the desired end-goals of the project, the successes of the current project and issues for future projects.

Answering these questions through, for example, interim performance reviews as well as an overall evaluation report, helps to demonstrate two key aspects that mark the 'success' of the project. First, they measure the specific, physical achievements of the project – the outputs. Second, they show how well those outputs can contribute to improved outcomes of the project, e.g. in terms of quality of life for residents, or how well the regenerated estate is reintegrated into the wider social and environmental fabrics of the locality.

PERFORMANCE MANAGEMENT FRAMEWORK



Adapted from: Audit Commission (2002) *Performance breakthroughs: Improving performance in public sector organisations*. Portsmouth: Holbrooks Printers

Gathering Data for Performance Monitoring and Review

- Estate regeneration plans should include a detailed strategy for the ongoing collection of the data required for performance monitoring and evaluation throughout the project implementation process.
- The first step in devising a data collection strategy is to determine what would constitute a successful outcome for each of the various interventions proposed in the estate regeneration plan.
- The tenants of the target estate and, if appropriate, the other partners to the estate regeneration project should be involved in identifying these ‘success markers’.
- Types of data that could be used to measure these success markers should then be identified. These data should include fact-based or ‘hard’ information (e.g. number of houses regenerated, budgets spent on regeneration), and opinion-based or ‘soft’ information. The latter type of information includes the results of focus group meetings or surveys to ascertain tenants’ satisfaction with different aspects of the regeneration project, or the attendance at relevant meetings, which can be used to determine the strength of tenants’ interest in different aspects of the project.
- Local authorities should refer to the DoEHLG policy statement *Delivering Value for People* (2004), which offers suggestions for the design and use of performance indicators and explains why such indicators are an important part of monitoring and evaluating performance.
- As far as possible similar types of data should be used to assess all of the estate regeneration projects implemented by the local authority. This will enable the comparison of results from different projects and help to identify good practice, which can in turn improve the design of future estate regeneration plans.

Ongoing Performance Monitoring and Review

- Local authorities should use the data collected for performance monitoring to review the implementation of the estate regeneration project on a regular basis. This will help to build up a profile of progress on the regeneration project and identify any obstacles to the successful regeneration of the estate.
- Appropriate changes to the implementation of the project should be instigated on the basis of the results of these interim performance reviews.

EVALUATION FRAMEWORK



Adapted from: Audit Commission (2002) *Performance breakthroughs: Improving performance in public sector organisations*. Portsmouth: Holbrooks Printers

Using Interim Success Markers

- As part of the ongoing performance monitoring and data review, local authorities can use the profile of progress to generate interim ‘success markers’, illustrating how specific interventions within the estate regeneration plan have been achieved.
- Using the principle of success markers can also help to identify areas that are not as successful, are persistently problematic or are not being progressed in a timely fashion. These areas can then be targeted for improvement during the course of the regeneration project.
- Interim success markers can be disseminated using a variety of written and other creative visual methods, through a number of different media (local newspapers, radio, etc.), to demonstrate to local communities, partner agencies and other stakeholders the progress that is being made on the project.
- Interim success markers can help to add to the positive momentum of the project, create continuing support for the project and show that the local authority is actively managing the progression of the project.
- Interim success markers can also help to inform final project evaluations, giving a step-by-step account of how interventions within the estate regeneration plan were achieved.

Evaluating Estate Regeneration Projects: Evaluation Design

When the implementation phase of the estate regeneration project is completed the data collected for performance monitoring and the results of interim performance reviews should be used as the basis for compiling a more detailed written evaluation report.

- Producing these evaluations at the end of the regeneration project holds three main advantages:
 - » Firstly, they are necessary for receipt of grant aid from several potential sources of funding for estate regeneration, most notably from European Union schemes.
 - » Secondly, if used to inform regeneration plans for other local estates, project evaluations can help to ensure the success of future regeneration projects.
 - » Finally, the results of project evaluations can be used to validate success, implement change and devise long-term strategies to help sustain the physical and social improvements to the target estate. In part these strategies can be built upon long-term sustainable structures and relationships between local authorities, partner agencies, and local communities. At least some of these structures and relationships are initiated during the course of the regeneration project.
- In addition, some funding schemes, such as the Remedial Works Scheme, may require local authorities to carry out and evaluate a pilot phase of an estate refurbishment project before finance for the remainder of the project is sanctioned.
- The following table illustrates ideas for evaluation design, to help answer the questions generated as part of the evaluation process (as highlighted in the previous diagram). Each column is meant as a suggested step-by-step pathway. For example, in order to gauge the success of a built environment intervention, local authorities should consider:
 - » What type of information would be needed to show the existing (pre-project) state of affairs in the target estate (e.g. existing design and quality of dwellings)

- » Potential source(s) of information, including statistics already gathered as part of day-to-day administrative duties
 - » Strategies they may need to employ to gather relevant information
 - » Who would be best placed for gathering this information
 - » How changes in the baseline picture as provided by changes in information can be characterised as an output or an outcome (or an indirect administrative measure, e.g. a performance indicator)
 - » How changes in information from the initial baseline picture can demonstrate productive progress and true success markers, for example number of dwellings refurbished/rebuilt (an output) or improvements in tenant satisfaction with these dwellings (an outcome).
- Local authorities should also consider the strengths and weaknesses of various evaluation pathways. For example, using existing data is a low-cost resource, but they may not be sufficiently locally tailored to give an accurate picture of the achievement of any given objective of the regeneration project. On the other hand, designing surveys (for example) can give a much more accurate picture of these achievements, but can require considerable financial and human resources.
 - As such, it is important to remember that the following table is illustrative rather than prescriptive. Local authorities will want to consider the specific aims and objectives of their project, the relevant questions they want to answer with respect to measuring the success of the project, and the resources they have to complete a value-added evaluation, i.e. an evaluation that leads to productive long-term changes in management and practice. At the same time local authorities should bear in mind that investing in the performance management and evaluation process from the beginning of the project can help to avoid costly mistakes or even the long-term failure of the project. Properly evaluating performance, outputs and outcomes and implementing learning can be a much more cost-effective and productive way of achieving long-term success for the regenerated estate.

Evaluation Framework: Suggested Pathways

Intervention	Type of data	Source of data	Data collection strategies	Who by?
BUILT ENVIRONMENT	Design and quality of dwellings Number of dwellings Density of dwellings	In-house	Day-to-day administration duties Databases	Local authorities
	Design and quality of wider environment	In-house	Day-to-day administration duties Databases	Local authorities
ECONOMIC	Initial levels of unemployment/ economic inactivity	CSO FÁS	Census tables Day-to day administration duties	Local authorities
	Number and type of local businesses/ enterprises Number and type of social economy projects/businesses	In-house Community organisations Local businesses IBEC and other business organisations	Survey of local businesses	Local authorities Business organisations e.g. Chamber of Commerce
	Apprenticeships Training: Number and type of places at start of project Provisions for local labour in project	In-house Local action plans and related (for existing local labour clauses) FÁS	Databases Surveys Document review Social infrastructural audit	Local authorities Community organisations FÁS

Type of measure	What does it measure? (Success marker)	Strengths/Weaknesses of approach
Administrative data Output	Number of dwellings subject to major refurbishment schemes ⁶ Number of dwellings refurbished/rebuilt (completed) Improvements in design quality and standards Number of improvements for sustainable, energy-efficient dwellings	Easy to measure May shed little light on long-term success of regenerated estate
Output	Improvements in 'green' areas Amount of defensible spaces created Number and details of infrastructural improvements	Easy to measure May shed little light on long-term success of regenerated estate
Administrative data Outcome	Changes in employment rates Number and type of onward employment opportunities created Changes in numbers economically active	Relatively easy to measure May be difficult to determine how regeneration project directly contributed to improvements of this type
Output	Number and type of new enterprises created Number and type of community facilities provided specifically for local businesses	Relatively easy to measure May not be able to measure long-term success or positive impacts of these Potential lack of clarity of what constitutes 'social economy' versus 'local enterprise': Is it a business in the locality or for the locality?
Administrative data (FÁS) Output	Number and type of apprenticeships created Number and type of training places fostered Success of local labour clauses for onward employment	Relatively easy to measure Does not necessarily indicate long-term sustained employment opportunities, or quality of such employment

⁶ Measure H 1.4 of the *Delivering Value for People* service indicators.

Evaluation Framework: Suggested Pathways

Intervention	Type of data	Source of data	Data collection strategies	Who by?
SOCIAL	Demographic Profile:	Census	Databases	Local authorities
	Income levels	Department of Social and Family Affairs	Census tables	CSO
	Numbers receiving social welfare benefits	In house	Day-to-day administrative duties (DSFA)	DSFA
	Population and age breakdowns	ESRI, Combat Poverty Agency, related organisations	Local authorities – Housing applications	Other research organisations
	Other measures of poverty/ disadvantage		Document analysis	
	Education:	Department of Education and Science	Databases	Local authorities
	Number of local schools targeted as disadvantaged		Document review	Community organisations
	Numbers attending third level	Community organisation (local stats)	Surveys/ Questionnaires	External consultants
	Levels of absenteeism and early-school leaving	In-house (commissioned)	Focus groups	
	Numbers availing of back to education schemes		Interviews	
	Perception of educational opportunities		‘Creative’ sources ⁷	
	Health:	HSE	Databases	Local authorities
Reported illnesses due to poor living conditions	In-house (commissioned)	Surveys/ Questionnaires	External Consultants	
Numbers attending A&E due to poor living conditions or lack of local medical facilities		Focus groups	Local health officials	
Number of individuals with serious/ chronic mental or physical illnesses (including addiction)		‘Creative’ sources		
Number and type of local medical/ health facilities				
Crime:	Gardaí	Databases	Local authorities	
Crime rate	Community organisations	Surveys/ Questionnaires	External Consultants	
Rates of eviction for anti-social behaviour	In-house (commissioned)	Focus Groups	Gardaí	
Perceptions about and fear of crime		Interviews		
Evidence of anti-social behaviour, e.g. joyriding, litter		‘Creative’ sources		
Population on probation/ awaiting court actions				

⁷ ‘Creative’ sources of data and data collection strategies refer to methods that approach these issues in creative ways, e.g. by gauging level of response to crime or health issues at public meetings; using artistic avenues such as school plays or role-playing games to gauge how perceptions of key concerns change over the course of the project; or using video or similar methods to document change.

Type of measure	What does it measure? (Success marker)	Strengths/Weaknesses of approach
Administrative Data (CSO, DSFA, Local authorities)	Direct/indirect measures of changes in income poverty, level of disadvantage, social exclusion: Changes in tenure profiles Changes in demographic profiles	Offers a more complete picture of tenant make-up and profile, and changes therein Relatively easy to measure May not be sufficiently tailored to target estate
Output	Changes in numbers receiving social welfare benefits	May not be possible to isolate changes due specifically to regeneration project
Outcome	Changes in income levels Changes in numbers of children living in poverty	
Administrative data (DES)	Level of schools' involvement in project Changes in numbers going onto third level Changes in early school-leaving	Relatively easy to measure May not be able to isolate regeneration project-specific effects (unless also conducting e.g. surveys)
Output	Numbers going back into education	
Outcome	Premises for educational projects and homework clubs Changes in perception of long-term educational opportunities	
Administrative data (HSE)	Number/type of medical/health facilities provided Indirect measures of improved quality of life e.g.	May require high degree of expertise to gather and analyse data If done well can be a good indication of positive knock-on effects of regeneration project
Output	<ul style="list-style-type: none"> Reduction of illnesses reported due to poor living conditions Reduction of serious/chronic health problems 	
Outcome	<ul style="list-style-type: none"> Reduction of A&E attendance 	
Administrative Data (DJELR, Gardaí)	Indirect measures of improved quality of life e.g.	May require high degree of expertise to gather and analyse data
Output	<ul style="list-style-type: none"> Increased feelings of safety and security Greater mobility throughout estate and increased general usage of public spaces 	May be difficult to isolate regeneration-specific effects
Outcome	Reduction of incidences and evidence of anti-social behaviour Reduction of crime rates	If done well can be a good indication of positive knock-on effects of regeneration project

Evaluation Framework: Suggested Pathways

Intervention	Type of data	Source of data	Data collection strategies	Who by?
SOCIAL	Quality of life:	In-house (commissioned)	Surveys/ Questionnaires	Local authorities
	Perceptions of quality of life in locality			External Consultants
	Perceptions of children's future prospects	Community organisations	Focus Groups	Other local officials
	Perceptions of image and stigma		Interviews	Community organisations
			'Creative' sources	
	Attachment to estate and community development:	In-house	Databases	Local authorities
	Number and type of community facilities at start of project	In-house (commissioned)	Surveys/ questionnaires	Community organisations
	Number and type of recreational, leisure and other facilities at start of project	Community organisations	Focus groups	External consultants
	Tenure profiles		Interviews	
	Childcare and crèche places		Social infrastructural audit	
Overall social infrastructural audit		'Creative' sources		

Type of measure	What does it measure? (Success marker)	Strengths/Weaknesses of approach
Outcome	<p>Perceptions of improved quality of life</p> <p>Perceptions of improved prospects for children</p> <p>Improved image both within and without target estate</p>	<p>May require high degree of expertise to gather and analyse data</p> <p>May be difficult to isolate regeneration-specific effects</p> <p>If done well can be a good indication of prospects for long-term success of regeneration project</p>
Output Outcome	<p>Number of community facilities provided</p> <p>Number and type of social economy projects created</p> <p>Number and type of other facilities created</p> <p>Perceptions of improved social infrastructure</p> <p>Greater tenure diversity</p> <p>Perceptions of a new or better identity with/sense of belonging to regenerated estate</p>	<p>May require high degree of expertise to gather and analyse data</p> <p>May be difficult to isolate regeneration-specific effects</p> <p>If done well can be a good indication of prospects for long-term success of regeneration project</p>

Evaluation Framework: Suggested Pathways

Intervention	Type of data	Source of data	Data collection strategies	Who by?
MANAGEMENT	Service delivery issues: Cyclical and regular programmes of management and maintenance Number and response rates for complaints Staff training and resourcing levels Levels of senior management involvement at start of project	In-house	Day-to-day administrative duties ⁸ Databases Interviews (with staff)	Local authorities
	Community capacity building: Number and type of tenant participation programmes Estate management programmes Other existing mechanisms for tenant consultation at start of project Perceptions of relationships between local authorities, tenants and other stakeholders	In-house In-house (commissioned) Community organisations	Databases Surveys/questionnaires Focus groups Interviews 'Creative' sources	Local authorities External consultants Community organisations
	Area-based decentralisation: Number and type of area-based premises Number and types of area-based staff Existing local structures able to manage/implement regeneration activities (if any)	In-house	Databases Social infrastructural audit	Local authorities External consultants

⁸ Service Indicators H.2 (Average time to re-let dwellings), H.3 (Number of housing repairs completed) and H.4. (Time taken to deal with applications for local authority housing services) of *Delivering Value for People* may be useful in gauging changes in service delivery issues.

Type of measure	What does it measure? (Success marker)	Strengths/Weaknesses of approach
Output Outcome (for staff)	Improvements in management and maintenance programmes Reduction in complaints Better response rates to complaints and to repairs requests Greater job satisfaction amongst staff	Relatively easy to measure May demonstrate wider systemic changes in service delivery generated as part of the regeneration project
Output Outcome	Details of tenant participation programmes created or strengthened Details of estate management programmes created or strengthened Linkages made to wider social/economic fabrics (e.g. participation in cross-cutting forums outside target estate) Improved relationships between local authorities, tenants and other stakeholders Greater job satisfaction amongst staff Greater sense of ownership of estate amongst tenants and other stakeholders	Some aspects relatively easy to measure Outcome-oriented information may require more resources and/or expertise Difficult to determine long-term success or impact of these
Output	Number of area-based offices/ 'one-stop shops' created Increase in number of area-based staff Generation of other locally based implementation and/or management structures	Easy to measure Demonstrates changes in local approaches to implementation and/or management Such changes may be only project-specific or short-term

Evaluating Estate Regeneration Projects: Evaluation Reports

- Once the evaluation process has reached the stage of data analysis and writing up, local authorities should consider the format and content of an evaluation report, as well as the intended audience(s) for different evaluation documents. The exact details of evaluation documents will vary according to the aims and objectives of the regeneration project, the scope, scale and nature of evaluation required, e.g. for funders, and the resources available to local authorities.
- Evaluation reports, however, should include at minimum the following elements:
 - » A focus on evidence-based results using performance management and evaluation data collected before, during and at the end of the project
 - » A description of the data collected and why these were used, as well an analysis of this information to measure performance and true success markers
 - » Promoting accountability and transparency through a clear, logical, step-by-step demonstration of the performance, progress and successes of the estate regeneration project
 - » An emphasis on building value and implementing recommendations and lessons learned for future practice.
- While the specific formats for evaluation reports may vary, reports should generally have the following sections:
 - » An *executive summary*, for a concise summary of the entire project, including aims and objectives, outputs, outcomes, recommendations for future projects and lessons learned (the last specifically to facilitate shared expertise)
 - » An *introduction*, sketching a picture of the target estate, desired aims and objectives, and any other relevant information about the research and implementation phases of the project. This is a descriptive section to familiarise readers with the estate and the regeneration project.
 - » A *profile* of the target estate and of the regeneration work plan. This is a more analytical section, establishing the baseline picture of the estate prior to the start of the project (including, for example, identified reasons for estate decline). This profile also lays out the aims and objectives of the project and the interventions that flow from these, and all information relating to the establishment of the project's organisational framework and its implementation and management structures. This information can include costings, a

description identifying relevant stakeholders and consultation processes and structures, design briefs, listing of funding sources, etc.

- » A *methods section* describing the evaluation design and process (e.g. data used, data collection strategies, how these data reflect performance indicators, success markers and overall output/outcome measurements). This section should also identify who was responsible for gathering data. Methods for cost benefit analyses should also be included.
 - » A *findings section* describing the analysis of data collected. This should include an analysis of data to show the achievement of specified interventions, performance management and project implementation targets, cost benefits, and any other achievements of the project. The purpose of this section is to demonstrate how the regeneration project, its implementation and management structures, and key actors achieved changes in the baseline picture of the target estate in a timely, efficient and effective manner according to the regeneration work plan. Cost benefit analyses can be included in this, or a separate, section.
 - » A *conclusion* discussing the results (outputs and outcomes) of the project, recommendations for future projects and lessons learned. The purpose of this section is to identify and evaluate the successes of the project, how well performance and project management and implementation structures worked, what obstacles were overcome and what persistent problems remain, and whether the project has achieved its aims and objectives and established good prospects for the long-term, successful and sustainable regeneration of the target estate. It should also contain clear and concise recommendations and lessons learned, both to inform future estate regeneration projects and to suggest improvements for and share expertise regarding wider management and practice changes.
- Evaluation reports should include a detailed cost benefit analysis. This will help to ensure value for money, and give a clear understanding of trends in expenditure on the different interventions implemented as part of estate regeneration plans and the outcomes achieved as a result of this investment.
 - The evaluation report should be made publicly available to local authority staff, elected members, tenants of the relevant estate, the other partners to the project, funding organisations and the DoEHLG.
 - In some cases it may be appropriate to designate an official of the local authority with responsibility for compiling the evaluation report. However, some funders, such as many European Union funding schemes, require that project evaluations are carried out by an independent agency.

- If local authorities take time to invest in the data collection and analysis phases of evaluation, it is worthwhile considering an external consultant in writing up an evaluation report in order to help maximise the benefits of this evaluation process. However, if done in-house, local authorities should avail of guidance from existing sources to facilitate a strong, clear and useful evaluation report (e.g. there are a number of suggested frameworks for writing up evaluation reports on the web; see relevant publications list for details).

GOOD PRACTICE RECOMMENDATION No. 30

Verifying and Validating Success

- When an estate regeneration project has been completed it is important to validate and publicise its achievements by having an official opening of the improved estate and/or inviting a politician or other high-profile public figure to visit. Having high-level, visible support for a regenerated estate can contribute to improving public perceptions of the area and help to generate interest amongst prospective tenants and home-owners.
- This will help to improve the public image of the area, which may help address problems associated with stigma, and increase demand for housing there among prospective tenants and home-owners.
- In some cases separate evaluation documents can be written by local tenants' representatives or other partners involved in the project specifically for tenants and the local community, to illustrate how tenant consultation and collaboration contributed to the successful outcomes of the project. These documents can also explain if and why certain interventions of the project were not achieved, helping to address potential ongoing concerns about the outcomes of the project. Documents of this type can help to give local communities a clear sense of ownership and pride in their now regenerated estates, and generate positive momentum for on-going, sustainable estate management and tenant participation in housing management.
- When looking to verify and validate success, local authorities should bear in mind that meeting quantity targets without also meeting low price or high quality expectations can have negative impacts upon the long-term success of the project.

4.3 Moving into the Long Term: Exit Strategies

Over the past two decades a significant proportion of the local authority housing stock has been the subject of some sort of estate regeneration initiative. In the period 1985 to 2002, a total of 18,000 dwellings, accounting for approximately 18 per cent of the total local authority housing stock in the latter year, were refurbished under the auspices of the Remedial Works Scheme alone. Many of these estate regeneration projects did achieve significant improvements in the quality of the built environment in the estates that they targeted and in the quality of life of residents. However, the available evidence indicates that in some cases these improvements were not sustained over the long term. Indeed some estates have been subject to several regeneration projects over the years.

In order to avoid this prospect, local authorities should devise and implement an 'exit strategy' that clearly marks the end of the implementation phase of the estate regeneration project, initiating a move into long-term thinking and acting. Devising and implementing broader long-term housing management and maintenance strategies that follow on from this exit strategy puts in place the supports necessary to sustain the improvements achieved by estate regeneration projects into the future.

GOOD PRACTICE RECOMMENDATION No. 31

Exit Strategies

- Verifying and validating the successful completion of an estate regeneration project through the results of performance monitoring and evaluation of estate regeneration projects allows local authorities to draw a line under the project, and proceed to consider measures necessary to support and sustain the successful outcomes of the project.
- To facilitate the move into long-term thinking and acting, local authorities should devise a clear exit strategy to mark the completion of the implementation phase of the project.
- When devising exit strategies local authorities should take account of the following issues:
 - » The need to put in place systems for the cyclical management, maintenance and upgrading of the target estate. This is discussed in Section 4.4

- » Whether to maintain over the medium- to long-term projects that were established as part of the estate regeneration project to address social and economic problems in the estate
- » The need to put in place estate management arrangements in the target estate, or to mainstream the arrangements that have been established as part of the estate regeneration project. This issue is examined in more depth in Section 4.5
- » Devising and implementing any other long-term strategies that will support and sustain successful estate regeneration outcomes into the future. These issues are discussed in more depth in Sections 4.4 and 4.5.
- Exit strategies should also provide for a regular review of conditions in the target estate, at least annually for the first five years after the regeneration project has been completed and on a less regular basis afterwards. These reviews should examine the following issues:
 - » The quality of dwellings and the built environment generally in the target estate
 - » The quality, frequency of use and other information on any community facilities (including e.g. community buildings, play and other recreational facilities) provided as part of the regeneration project
 - » Tenancy matters, including: the level of demand for new tenancies in the estate; refusals of offers of tenancies there and requests for transfers from existing tenants; rent arrears and complaints and action regarding anti-social behaviour
 - » The socio-economic characteristics of tenants which can be ascertained from information provided for the purposes of rent assessment
 - » The results of consultation with tenants, community groups and any local authority staff based in the estate or locality.
- When formulating exit strategies, local authorities should also take into account the following considerations:
 - » The scope and extent of community capacity building generated as part of the project to help sustain exit strategies; successful outcomes will need to be supported by a broad range of stakeholders
 - » Funding and resource issues to sustain exit strategies and successful outcomes of the project
 - » Structures or other mechanisms for dealing with conflicts and persistent problems, and for promoting estate management and tenant participation programmes

- » The need to not only evaluate but gain added value and learning from the regeneration project.

4.4 Strategies to Sustain Estate Regeneration

Section 4.3 above emphasised the need for exit strategies upon completion of estate regeneration projects. It highlighted some of the general considerations necessary for a move into long-term thinking and acting. This section looks more closely at ways to devise broader long-term housing management and maintenance strategies to sustain the successful outcomes of estate regeneration. A shift to a long-term perspective has a number of advantages. It helps to establish a management ethos that may prevent problems from arising on local authority estates in the first place and therefore reduce the need for estate regeneration projects in the future.

Long-term strategies will maintain the improvements brought about by estate regeneration projects after their implementation has been completed. Tenant participation in these strategies, in part through structures and relationships established in the course of regeneration projects, can facilitate a sense of ownership and pride in regenerated estates and sustain vibrant communities within these estates.

GOOD PRACTICE RECOMMENDATION No. 32

Devising Long-Term Strategies

- In order to sustain the achievements of estate regeneration projects over the long term, at a minimum local authorities should establish programmes of regular cyclical maintenance, upgrading of regenerated estates and efficient and timely repair services.
- Local authorities should also try to implement wider housing management reforms to maintain open lines of communication with tenants and other stakeholders and thus address any issues arising after the completion of the estate regeneration project, and any other issues arising into the future.

- According to the scope, scale and nature of estate regeneration projects, other long-term strategies may need to be devised to support successful outcomes. This may entail continuing financial or other support for projects established as part of the regeneration project. This could be done by designing revenue-generating opportunities such as buildings which can be let for a commercial rent; implementing cyclical programmes of training and development for new staff; generating ongoing reports or newsletters on how regeneration has continued to positively affect the target estate; continuing to monitor and maintain regenerated play facilities and public spaces.
- Local authorities must ensure that staff have sufficient support, training and resources to implement programmes of cyclical management and maintenance and other long-term strategies.

GOOD PRACTICE RECOMMENDATION NO. 33

Improving Future Estate Regeneration Practice

- Local authorities should ensure that the results of performance monitoring and evaluation of estate regeneration projects are taken into account when formulating estate regeneration plans in the future.
- Local authorities should inform other relevant agencies of the results of the monitoring and evaluation of their estate regeneration projects, identifying success stories, pitfalls and persistent problems encountered in the project, in order to help improve practice in other organisations.
- The following strategies could be employed to do this:
 - » The results of performance monitoring and evaluation of estate regeneration projects should be fed back to the Department of the Environment, Heritage and Local Government and other funding and policy-making agencies
 - » This information could also be circulated to other local authorities by the City and County Managers Association (CCMA) or by means of the Local Authority Housing Practitioners Network or another network of relevant staff
 - » A conference or seminar could be organised to disseminate information on the lessons arising from the estate regeneration project to other local authorities, tenants and community groups.

BEST PRACTICE SUGGESTION No. 10

Innovative Methods to Improve Future Estate Regeneration Practice

- Local authorities who want to achieve excellence in future estate regeneration projects may wish to consider using the method of ‘backcasting’ to achieve this. Broadly speaking this involves bringing together all those with an interest in an estate regeneration project and collectively deciding on how the estate would ideally look after the regeneration process is complete, in both physical and social terms.
- Local authorities, tenants, partner agencies and other stakeholders then work backward from desired ideal solutions to estate regeneration and thus figure out which interventions are necessary at present in order to achieve those solutions.
- The advantage of these methods is that by working back from long-term thinking on ideal future scenarios, potentially innovative strategies for achieving estate regeneration interventions can be employed.

GOOD PRACTICE RECOMMENDATION No. 34

Mainstreaming Lessons from Estate Regeneration Projects

- Local authorities should consider reviewing all of the information regarding estate regeneration projects, in order to identify any lessons arising for housing management and maintenance practice. This review would include, for example, research on the estates that require regeneration, the key problems of these estates and the results of the monitoring and evaluation of estate regeneration projects. It should then inform decisions regarding the reform of relevant housing department policies and procedures.
- Local authorities should endeavour to build up a body of expertise on estate regeneration practices, e.g. through dedicated networks of estate regeneration practitioners or through other documentation, e.g. a web portal/website FAQs on existing local authority websites. Practitioners could also benefit by meeting in various estates targeted for regeneration to get hands-on experience of different regeneration projects, or by meeting to discuss particular aspects of regeneration projects generally (e.g. tenant participation, project implementation frameworks, funding and budgeting, etc.). Such expertise could be supported and facilitated by the Centre for Housing Research or the DoEHLG.

4.5 Implementing Long-Term Strategies to Sustain Regenerated Estates and Vibrant Communities

There are a number of final issues to consider in actually implementing long-term strategies for sustaining the successful outcomes of estate regeneration projects. Local authorities should have regard to the importance of sustaining structures and the relationships built up in the course of the estate regeneration project, in part because these structures may help to oversee and implement long-term strategies. Moreover, local authorities should strive to adopt long-term thinking and acting in their everyday practices, having regard to the potential consequences of present actions and strategies on regenerated estates and, for example, the quality of life for tenants on these estates.

GOOD PRACTICE RECOMMENDATION No. 35

Using Sustainable Relationships and Structures to Implement Long-Term Strategies

- Local authorities should investigate whether the estate management and/or tenant participation structures established in the course of the project should be sustained in the long run, to help implement long-term management and maintenance or other strategies.
- Local authorities should strive to maintain good relationships with tenants built upon trust and respect, to help sustain open lines of communication and reporting of issues as they arise. Efforts have to be made to ease the apprehension many have regarding collaboration and working together.
- Local authorities should adopt a management ethos that responds to these issues in a timely and efficient manner.

GOOD PRACTICE RECOMMENDATION No. 36

Adopting Long-Term Thinking and Acting into Everyday Practice

- Local authorities should promote good governance mechanisms and techniques to facilitate the adoption of long-term thinking into everyday practice, e.g. building in time to organically ‘grow’ community platforms such that these have sufficient capacity to take on aspects of long-term management and maintenance concerns.
- Local authority staff should be continuously supported and encouraged to take innovative, creative solutions in the implementation of long-term strategies to support successful regeneration outcomes.
- Local authorities should strive to show that gains made in the course of the estate regeneration project are continuing to be progressed, for example through timely updates of customer charter and/or tenancy agreements, holding informal meetings or ‘clinics’ within local communities to discuss issues arising, etc.

GOOD PRACTICE RECOMMENDATION No. 37

Knock-on Effects of Estate Regeneration

- Local authorities should have regard to wider issues and knock-on effects surrounding estate regeneration. These include, for example, ‘shadow’ effects on neighbouring estates to regenerated estates, whereby some of the problems of regenerated estates are ‘shifted’ to other estates. Also important is a regard for the need to link regenerated estates back into the wider urban or rural fabric (for example through tenant participation in wider networks at city/county or even national level, through improved infrastructural links, through educational and employment opportunities outside of the targeted estates, etc.). Local authorities should also be aware that ultimately estate regeneration should facilitate improved quality of life and help address social exclusion and/or disadvantage.

Appendix



Legislation, Publications, Useful Addresses

This section summarises the main provisions of the legislation that is relevant to achieving good practice in estate regeneration. It also lists some further reading and contact details of organisations which can provide helpful advice to local authorities on accessing funding for, and improving practice in, the design and implementation of projects of this type.

5.1 Estate Regeneration Legislation, Policy Statements Memoranda and Circulars

Legislation

The Remedial Works Scheme, which is co-funded by the Department of the Environment, Heritage and Local Government, is the funding programme which has been most commonly used for the refurbishment of unpopular housing estates. This scheme is legislated for in the Housing Act, 1988.

- Section 12 of this Act specifies that the RWS will include all dwellings which: ‘(a) are in need of reconstruction by reason of defects in their design and construction or of deterioration due to age, or (b) otherwise require works which ... are reasonably necessary for the purpose of rendering the houses more suitable for human habitation’.

The Local Government Act, 2001 is also relevant to the funding of estate regeneration schemes:

- Section 109 of this Act allows local authorities to set up a ‘community fund’ with contributions from ‘any voluntary, business or community group, other local authority or public authority or other person and may itself make a contribution to such fund’ to support community initiatives. Community initiatives are those that in the opinion of the local authority will benefit the community and promote, enhance or improve ‘... a range of amenity, recreational, cultural or heritage facilities, the protection or enhancement of the environment and programmes to promote social inclusion and community development’.

Local authorities may also wish to refer to relevant legislation directly, via www.irishstatutebook.ie.

Department of the Environment, Heritage and Local Government Memoranda, Guidelines and Circulars

- *Circular HRT 2/85* establishes the Remedial Works Scheme, allocating funds for major structural renovation only on those estates in which dwellings had suffered deterioration to the point where such renovation was necessary. It also provided funds for general environmental improvements on target estates. Originally RWS funding to renovate or refurbish dwellings was restricted to three categories: (a) dwellings with serious design or construction defects; (b) dwellings constructed prior to 1 January, 1960; (c) [dwellings in] run-down urban estates, in particular inner-city flat complexes. However, as most applications for RWS funding fell into the first and last categories for housing post-1960, the funding requirements for pre-1960 housing were considerably loosened in the Housing Act, 1988.
- *Memorandum HRT 12/95* on the Remedial Works Scheme is an updated statement of policy on the Remedial Works Scheme, with significant changes for the management and implementation of the scheme based in large part upon criticisms of the scheme as raised in the 1993 memorandum above, and in the Department’s 1995 review of policy on housing, *Social Housing – the Way Ahead*.

This memo emphasises the need for value for money and notes the potential contributions that non-housing factors can have for the decline of estates. It established monitoring and evaluation as new requirements for successful funding of remedial works projects. This memorandum recommends that local authorities investigate other options for the regeneration of housing estates besides refurbishment, and only pursue remedial works projects when these are economically advantageous to other avenues. It also stresses the importance of consultation with local communities for the success of remedial works projects.

- *Guidelines: Remedial Works Scheme for Local Authority Housing (1999)* again updates the terms of the RWS. While reforms in these guidelines are less wide-ranging and radical than the 1995 memo, nevertheless these guidelines contain three significant changes. First, they state that local authorities can be required to carry out a pilot phase of the project and in such cases they must review and assess the project, and submit findings to the Department. Second, these guidelines stress that in the long-term regenerated estates and housing should be managed and maintained in economically, socially and environmentally sustainable ways. Third, these guidelines establish funding towards establishing or improving estate management structures on estates.
- *Circular LG 9/00* instructs local authorities to establish procedures to monitor their performance in a range of service areas including vacant dwellings, rents and maintenance. These data can assist in identifying reasons for estate decline.
- *Delivering Value for People – Service Indicators for Local Authorities (2004)* sets out forty-two indicators against which local authority performance will be monitored annually. This extends the performance indicators previously applied to housing. There are five housing indicators:
 - » housing vacancies
 - » average time taken to re-let dwellings available for letting
 - » number of repairs completed as a percentage of the number of valid repair requests received
 - » average time taken to inform applicants of local authority's decision on applications for the shared ownership and housing loan schemes and in relation to local authority housing
 - » Traveller accommodation – total number of Traveller families accommodated as a percentage of the targets set in the local Traveller accommodation programme.

- *Circular HP&SS 3/2005* outlines the terms of the Housing Management Initiatives Grant Scheme, which gives grants to ‘... assist local authorities and voluntary or other appropriate organisations to undertake new projects in the area of housing management’.
- *Social Housing Guidelines: Design Guidelines* (1999, forthcoming) and *Circular N6/02* outline relevant issues for consideration in the design of social housing. These considerations should inform any refurbishments, repairs or related works to social housing.
- *Housing Policy Framework: Building Sustainable Communities* (2005) sets out the government’s vision for housing into the near future. Local authorities should have regard to the policy initiatives generated as part of this framework when undertaking regeneration projects.

5.2 Relevant Publications

Combat Poverty Agency Publications

Clarke, J. (1993), *Managing Together: A Guide to Working Effectively Together as a Committee*, Dublin, Combat Poverty Agency.

Clarke, J. (1996), *A Guide to Self Evaluation*, Dublin, Combat Poverty Agency.

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Craig, S. (2000), *Involving Communities in Local Government: a guide to participation*, Dublin, Combat Poverty Agency.

Prendiville, P. (2004), *Developing Facilitation Skills: A Handbook for Group Facilitators, Second Edition*, Dublin, Combat Poverty Agency.

Rudd, J. (1999), *Studying Your Local Area*, Dublin, Combat Poverty Agency.

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Department of the Environment and Local Government (2000), *Service Indicators in Local Authorities*, Dublin, Department of the Environment and Local Government.

Housing Management Group (1996), *First Report*, Dublin, Department of the Environment and Local Government.

Housing Management Group (1998), *Second Report*, Dublin, Department of the Environment and Local Government.

Department of Finance Publications

Department of Finance (2001) *Framework for Public Private Partnerships*. Dublin, November.

Department of Finance (2006) *Guidelines for the Provision of Infrastructure and Capital Investments through Public Private Partnerships*. Dublin, July.

Housing Unit Publications

Brennan, B. (2000), *Good Practice in Housing Management: Guidelines for Local Authorities – Repair and Maintenance of Dwellings*, Dublin, Housing Unit.

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Norris, M. (2003), *Good Practice in Housing Management: Guidelines for Local Authorities – Preventing and Combating Anti-Social Behaviour*, Dublin, Housing Unit.

DTZ Piedad (2004), *Good Practice in Housing Management: Guidelines for Social Housing Providers – Training and Information for Tenants*, Dublin, Housing Unit.

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Audit Commission UK (2002), *Performance Breakthroughs: Improving Performance in Public Sector Organisations*, Portsmouth, Holbrooks Publishers.

Ball, M. and Maginn, P. (2005), 'Urban Change and Conflict: Evaluating the Role of Partnerships in Urban Regeneration in the UK', *Housing Studies*, vol. 20, no. 1, pp. 9-28.

Burns, D. et al. (2004), *What Works in Assessing Community Participation?*, Bristol, The Policy Press.

Canadian International Development Agency (2002), *How to Perform Evaluations (10 part series)*, Quebec, Canada, Canadian International Development Agency.

- Carley, M. and Kirk, K. (1998), *Sustainable by 2020? A Strategic Approach to Urban Regeneration for Britain's Cities*, Bristol, Policy Press.
- Chanan, G. (1999), *Local Community Involvement: A Handbook for Good Practice*, Dublin, European Foundation for the Improvement of Living and Working Conditions.
- Community Workers Co-operative (CWC) (eds), (1996), *Partnership in Action: The Role of Community Development and Partnership in Ireland*, Galway, Community Workers Co-operative.
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- Donhue, J., Dorman, P. and O'Neill, C. (ed) (2006), *Dream/Dare/Do: A Regeneration Learning Manual*, Dublin, Fatima Groups United.
- Dublin Corporation (2001), *Regeneration, Next Generation: Looking Forward to a New Future for Fatima*, Dublin, Dublin Corporation.
- Duff, S. (2000), *Consultation Techniques for Planning and Implementing Environmental Improvements with Local Communities*, Dublin, South Dublin URBAN Initiative, October.
- Fatima Community Regeneration Team (2000), *Eleven Acres, Ten Steps*, Dublin, Fatima Groups United.
- Flannery, P. and O'Callaghan, S. (no date), *A Case Study of Moyross*, Moyross, Limerick.
- Forde, C. (2004), 'Local Government Reform in Ireland 1996-2004: A Critical Analysis', *Administration*, vol. 52, no. 3, pp. 57-72.
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Taylor, M. (1995), *Unleashing the Potential: Bringing Residents to the Centre of Regeneration*, York, Joseph Rowntree Foundation.

Treasury Board of Canada Secretariat (2004) *The Art and Architecture of Writing Evaluation Reports*, Ottawa, Canada, Centre of Excellence for Evaluation, Treasury Board of Canada Secretariat.

Weisbord, M. and Janoff, S. (2000), *Future Search: An Action Guide to Finding Common Ground in Organizations and Communities*, San Francisco, Berrett-Koehler Publishers.

5.3 Useful Addresses

- **Pobal**

(formerly Area Development Management)

Holbrook House,
Holles Street, Dublin 2
Tel: 01-240 0700
Fax: 01-661 0411
Website: www.pobal.ie

- **Ballymun Regeneration Ltd**

Civic Centre, Main Street,
Ballymun, Dublin 9
Tel: 01-222 5660
Fax: 01-842 1443
Website: www.brl.ie

- **Combat Poverty Agency**

Bridgewater Business Centre
Conyngham Road
Islandbridge, Dublin 8
Tel: 01-670 6746
Fax: 01-670 6760
Website: www.cpa.ie

- **Department of Community,
Rural and Gaeltacht Affairs,**

Dún Aímhírgin
43-49 Mespil Road, Dublin 4
Tel: 01-647 3000
Fax: 01-667 0826
Website: <http://www.pobail.ie>

- **Department of Education and Science**

Youth Affairs Section
Floor 2, Block 2
Marlborough Street
Dublin 1
Tel: 01-889 2088
Fax: 01-889 6536
Website: <http://www.education.ie>

- **Department of the Environment, Heritage
and Local Government**

Custom House, Dublin 1
Tel: 01-888 2000
Fax: 01-888 2888
Website: www.environ.ie

- **NDP/CSF Office**

15 Lower Hatch Street,
Dublin 2
Tel: 01-639 6280
Fax: 01-639 6281
<http://www.eustructuralfunds.ie>

Other Publications available from the Centre for Housing Research (formerly the Housing Unit)

GOOD PRACTICE GUIDELINES

Brennan, B. (2000), *Good Practice in Housing Management: Guidelines for Local Authorities – Repair and Maintenance of Dwellings*, Dublin, Housing Unit.

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Murray, K. and Norris, M. (2002), *Profile of Households Accommodated by Dublin City Council: Analysis of Socio-Demographic, Income and Spatial Patterns*, Dublin, Housing Unit.

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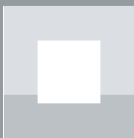
POLICY DISCUSSION SERIES

Treadwell Shine, K. and Norris, M. (2006), *Housing Policy Discussion Series No 1 – Regenerating Local Authority Housing Estates: Review of Policy and Practice*, Dublin, Centre for Housing Research.

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