

# An Evaluation Framework for NewHeartlands

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## ECOTEC

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# 1.0 An Evaluation Framework for NewHeartlands

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## 1.1 Introduction

This paper outlines the main elements that will define the evaluation framework for NewHeartlands. It has been produced following consultation with NewHeartlands on the key aims of the framework, its overall structure the outputs and the methodology.

The evaluation framework for ongoing assessment builds on the key areas for evaluation identified in the second scheme update and the issues identified in the Interim Evaluation undertaken by ECOTEC.

This paper is structured as follows:

- ▶ Aims of the Evaluation Framework – outlines the rationale and the overall aims of the NewHeartlands evaluation
- ▶ Levels of the evaluation framework – sets out the structure and the six levels of the framework, as well as a brief methodology for ECOTEC approach to each.
- ▶ Cross Cutting themes – describing those key themes which cut across each level of the evaluation
- ▶ Building the evaluation framework – describes the steps which will be put in place to deliver the evaluation at each of the six levels
- ▶ Audiences for the evaluation- sets out the different stakeholders and proposed methods of communication as the basis on which to build a dissemination plan for the NewHeartlands evaluation.
- ▶ Next steps – outlines the process for implementing the evaluation framework

## 2.0 Aims of the NewHeartlands Evaluation Framework

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The Evaluation Framework for NewHeartlands will be a practical tool that sets out a mechanism through which the activities and impacts of the Pathfinder can be measured and assessed.

The framework will put in place an on-going set of activities which, once implemented, will support an understanding of the *difference* NewHeartlands is making at a range of interrelated levels. In short, the Evaluation Framework will be used to harness an understanding of:

- the impact the activities of NewHeartlands are having on its target area and on the drivers for change both locally for the city-region and regionally
- the success NewHeartlands is having against its own Strategic Objectives and those of the national HMR Programme
- the quality of the delivery, operation and management of NewHeartlands.

NewHeartlands is committed to developing their Evaluation Framework not simply because it is part of the funding agreement with the DCLG but because the framework will play a crucial part in informing the future activity and direction of the Pathfinder. One of the key outcomes of the evaluation will therefore be the ongoing capacity building of the current data and intelligence functions that will drive forward the continuous improvement of NewHeartlands.

Evaluations are only effective when they inform direction and strategy rather than simply offering commentary on what is positive and negative about a particular programme or initiative. This evaluation therefore needs to produce results and findings that directly impact on the ongoing focus of initiatives, activities and funding associated with NewHeartlands.

ECOTEC will aim to ensure that the results and findings of this ongoing evaluation are continuously fed back to NewHeartlands via regular reporting mechanisms in order to enable the Pathfinder to promptly adjust projects, activities and spend accordingly. This will include highlighting practical recommendations and the development of a dissemination plan which stakeholders can sign up to and which will ensure that results are disseminated in an appropriate and timely way to the relevant audience.

## 3.0 Levels of the Evaluation Framework

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The main structure of the Evaluation Framework for NewHeartlands will be underpinned by six well defined evaluation levels which together make-up the constituent parts of the framework.

These six evaluation levels are critical as they act as the main building blocks of the framework and will therefore dictate the main focus of the evaluation, once it moves to its implementation stages.

The diagram overleaf depicts these six evaluation levels and briefly explains what each level aims to understand and focus on:

## Levels of Evaluation for NewHeartlands:

### **National Level**

The extent to which NewHeartlands is helping to deliver the national objectives of the Pathfinder Programme established by ODFM

### **City-Region & North West Region Level**

The extent to which NewHeartlands is influencing and responding to City-Region Development Plan and regional planning, housing and economic strategies

### **Pathfinder Level**

The extent to which NewHeartlands is meeting the objectives set out in the scheme update and influencing the cross cutting themes and the drivers of change

### **Project / Intervention Level**

The extent to which projects supported through NewHeartlands are making an impact and contributing to the HMR programme

The extent to which projects supported through NewHeartlands are impacting on the drivers of change

### **Process / Governance Level**

The effectiveness of NewHeartlands Implementation and management arrangements

### **Strategic Added Value Level**

The influence NewHeartlands is having on the actions and behaviour of partners, their strategies and their funding streams

The strategic impact NewHeartlands is having over and above the funding it is spending in the area

The Pathfinder level and Project / Intervention level are highlighted because they represent the key focus for the evaluation. It is recognised that there is a close relationship between the City-Region / Region level and the strategic added value level. Given the importance of the City-Region agenda and the importance of a supportive regional policy framework our view is that it is important to include this as a distinct level of the evaluation.

### **3.1 Methodology for each level**

#### **National evaluation level**

At the National level an annual report will be produced based on the Core Performance Indicators provided by NewHeartlands and other data submitted to the Audit Commission. This report will examine the extent to which NewHeartlands is helping to deliver the national objectives of the pathfinder programme. It will also link the CPIs with the NewHeartlands drivers of change and the cross cutting themes.

#### **City-Regional and North West Region level**

At the City-Region and North West region level an evaluation will be undertaken of indicators within the context of the regional and sub-regional markets and policy environment. An annual markets report produced by ECOTEC will help provide the foundation for Housing Market Assessments within the NewHeartlands areas of the city region. This will also draw on information from the pathfinder and project / intervention levels to assess their impact and relevance in the context of the wider housing market.

#### **Pathfinder level**

The Pathfinder level will provide an evaluation of whether NewHeartlands is meeting its own strategic objectives. A stakeholder panel will be recruited to provide a qualitative assessment of progress in addition to the quantitative assessment which will be based on CPIs and local indicators. Annual focus groups will also be established covering North Liverpool, South Liverpool, Wirral and Sefton these will be made up of local residents recruited in consultation with NewHeartlands. The focus groups will be used to test perceptions in terms of local interventions as well as the wider drivers of change.

#### **Project / intervention level**

The NewHeartlands projects are ultimately the main vehicle through which impact will be transferred from the strategic programme level down to beneficiaries at the individual and community level. An integral part of the evaluation will be to assess delivery at the project level. These project assessments will be used to produce recommendations which can

influence and shape future programmes and the appraisal of individual projects within the programme will support this. An appraisal of individual projects will support an understanding and assessment of implementation arrangements and the role and contribution of partners in delivery. ECOTEC will agree a sample of ten projects with NewHeartlands ensuring that the projects appraised sufficiently reflect a geographical spread across the three local authorities, a thematic spread across the programme and a range of large medium and smaller projects. An appraisal of both process and impact would be carried out.

### **Process / Governance level**

This will focus on NewHeartlands implementation and management arrangements, whether it is operating to a high standard and has robust systems and procedures for management and co-ordination. The methodology will include the mapping out of community engagement structures and connections with public and private sector partners, in conjunction with NewHeartlands. Board members will be interviewed and feedback from the stakeholder panel and focus groups will be used to inform an annual report on Governance.

### **Strategic added value level**

It will also be essential to evaluate the strategic added value of NewHeartlands and the impact on wider strategic objectives. The ability to engage a range of stakeholders is critical to the success of NewHeartlands. Impact and influence will be assessed at the local authority level against those strategic non-pathfinder regeneration objectives of Liverpool, Sefton and Wirral which can be identified and measured. An evaluation against spatial planning policies will also be carried out as part of this level of the evaluation. This element will also look at wider impacts where they are relevant; alignment with the Northern Way growth strategy for example.

## 4.0 Cross Cutting Themes

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Each of the levels noted above are fairly well defined in nature but there will also be a number of cross cutting themes which span across each of these six main levels of the framework. These cross cutting themes can be defined through a number of key evaluation questions which the framework will ultimately aim to answer, These cross cutting questions are found in the box below:

- **Market restructuring.** It is important here not only to look at the HMR capital programmes but also at the impact of non HMR programmes, and to try where possible to differentiate between the impacts of different programmes. It is recognised that this is both difficult and complex but it will be important to look at both the complementarity of programmes and those impacts which are measurable via quantitative or qualitative research.
- **Tenure impacts.** This will cover the impact of market restructuring on housing needs and wider regeneration objectives. As well as looking at such information as recorded demand data, and development and planning pipelines, the methodology allows for qualitative work with property professionals, investors, planners and registered social landlords. Also more perception work with local residents and incomers is planned to provide consumer points of view.
- **Local space.** The methodology pays close attention to appraisal of a range of projects, both in type and geographically spread. This is both in the proposals for interim evaluation and the longer term work. This will use neighbourhood typology work to monitor local transformation. This has been developed by staff at Ecotec and allows for the monitoring of intervention impacts over time.
- **Adjacency and displacement.** A displacement and adjacency framework has been developed with NewHeartlands. Initially the focus will be used on monitoring impacts within intervention areas and the streets immediately adjacent to those areas. As the programme develops the impact will be assessed across the pathfinder area as a whole and the wider adjacent areas. It is recognised as important in the methodology to carry out perception testing with stakeholders in neighbouring authorities, and to assess impact on regional and sub regional planning and housing policies.
- **People.** It will be essential to capture the perceptions of a range of stakeholders. There will be a number of focus groups and a stakeholder panel to track opinion over time. If existing consultation mechanisms exist then the focus groups will use and if needed build on these. Consultation with residents will build on the existing residents survey which provides a solid baseline to examine distance travelled over time. A specific survey of residents affected by clearance will be update this each year. Through these exercises it is intended that data is assembled and used about the social costs and

## 5.0 Building the Evaluation Framework for NewHeartlands

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In developing an Evaluation Framework for NewHeartlands there are a number of key building blocks that need to be put in place under each of the six evaluation levels. The diagram accompanying this short paper shows the overall structure to the evaluation framework which is made up of a number of different strands.

**Evaluation Level-** these are the principle building blocks of the framework which underpin the overall aims and structure of the evaluation.

**Objectives of Level-** these objectives are the aims or targets that NewHeartlands should be working towards at each evaluation level and which progress of the pathfinder can be measured against.

**Indicators and measurements of success-** these will be used to understand and measure how NewHeartlands is progressing against each objective. These indicators will be either quantitative or qualitative but will clearly demonstrate and provide evidence to show whether NewHeartlands is achieving each of the objectives relating to the drivers of change. A body of work has already been undertaken on behalf of NewHeartlands to determine consistent and relevant indicators. These will form the basis for data collection for stakeholders to sign up to. However this will need to be an iterative process revised for example if new data sets become available.

**Sources of evidence and methods-** this will provide the evidence for each indicator. The aim is to ensure that most indicators that feed the evaluation are supported by evidence that is readily available through secondary research or data collection already undertaken by NewHeartlands or its partners. Where an indicator cannot be backed up by existing information then primary research methods will be developed to collect it. The sources of evidence and methodology will cut across different levels of the evaluation framework. For example a key player interview may well cover issues found within a number of evaluation levels.

Market intelligence will provide a key foundation for the evaluation and this will be reviewed to assess the extent to which the market has changed at a range of spatial levels. A markets report produced as part of the annual evaluation will be used to

demonstrate whether interventions are still appropriate in the light of housing market change.

A large part of the impact NewHeartlands will have on the ground will be generated by the projects the Pathfinder will fund meaning a unified approach to project level evaluations is critical to help assess the aggregated impact of the Pathfinder. One of the key issues for the framework to consider is therefore the development of a process through which all projects funded through NewHeartlands can be evaluated using the same format and themes for each assessment. Setting out a framework to collect consistent information from each NewHeartlands funded project on impact, change and process will therefore be critical.

Evaluation is expected to make a significant contribution as a management tool which will help NewHeartlands to fully understand the progression of the programme. It will be critical that the overall evaluation is fed from the evaluation of individual projects. ECOTEC will consult with the project delivery teams to identify ways that outputs from the evaluation can be used to support their project management. This consultation will also seek to ensure that the reporting process, where possible, dovetails with existing data collection and reporting to avoid any preventable burden in terms of additional monitoring and data collection.

## 6.0 Audiences for the evaluation

In terms of context it is also important to recognise the different stakeholders involved in the programme and their requirements from the evaluation. The table below outlines the level of evaluation that particular groups of stakeholders are likely to have an interest in. It will be important to recognise that these requirements will change over time. The table of audiences outlines the proposed mode of communication and dissemination for year one of the evaluation. This would be reviewed on an annual basis to ensure it remained appropriate.

Organisation	Area of interest	Level of evaluation	Mode of communication
NewHeartlands Board	All areas	All levels	Board reports Housing Markets Report
DCLG	National Programme objectives, Core Performance indicators	Strategic (national)	Scheme Updates
Audit Commission	Process and specific audit related areas	Process and Governance	Audit visits/critical friend relationship
Other HMR Pathfinders	Good practice – strategies that work	All	DCLG Evaluation Dissemination
Housing Corporation	Influence on Affordable Housing Programme	Strategic	NH External Briefing papers and events
English Partnerships	Various	City Region and NW Region	
North West Regional Assembly	Impact on Regional Spatial Strategy		
North West Regional Development Agency	Impact on Regional Economic Strategy		
Liverpool City Regional Authorities	Liverpool City Regional Development Plan Liverpool City Region Housing Strategy HMAs & requirements of PPS3		Dissemination to Liverpool City Region Housing & Planning Officers Group  Housing markets report
Liverpool CC Members and officers	Various	Various	NH Internal Briefing papers and events
Sefton MBC Members and officers			Briefings and dissemination to Local Strategic Partnerships and their

Organisation	Area of interest	Level of evaluation	Mode of communication
Wirral MBC Members and officers			appropriate housing and regeneration sub-groups
Pathfinder Residents	Impact on ADF/neighbourhood level indicators	Project/intervention	Specific information and articles for inclusion in residents newsletters
Merseyside residents Local and national media and housing and regeneration media	Various – impact on beneficiaries	Various	Media releases targeted at local / national media or trade press.

Ecotec will develop, in conjunction with NewHeartlands, a more detailed dissemination plan to which stakeholders can sign up. The annual evaluation report would also be accompanied by a series of summary reports with the findings tailored for different audiences, business, policy makers or residents for example.

## 7.0 Next Steps

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The diagram at appendix one provides an at a glance overview of the evaluation framework and its constituent parts. It provides details on the evaluation levels, the objectives of each level, indicators/ measurements of success and finally sources of evidence and methods for their collection.

NewHeartlands views on the detail of this diagram have been sought and this final evaluation framework has been developed following this consultation. It will be critical to assess whether Housing Market Renewal projects are addressing the drivers for change and contributing to NewHeartlands objectives . As the framework is implemented ECOTEC will seek to agree with NewHeartlands a set of 'big' questions for each evaluation level will help inform the development of each topic guide.

ECOTEC will also work with the LAMP, SAMP and WAMP teams on an ongoing basis regarding the data collection and reporting needed to support the ongoing evaluation.

The interim evaluation is currently being finalised. Aspects of this have already helped to inform the final evaluation framework but there may be further elements that will need to be incorporated as the findings from the interim evaluation are disseminated to other stakeholders. The development of the ongoing evaluation will continue to be an iterative process. ECOTEC will meet the annual outputs highlighted in the accompanying schedule however it is recognised that lessons will be learnt which inform future methodology and reporting for the evaluation as well as lessons regarding the implementation of the programme.

The output schedule at appendix two outlines the inputs to the evaluation and the outputs that it is proposed to produce for stakeholders over the course of each year. Outputs are to be confirmed and appropriate timescales for outputs agreed. This schedule also sets out the overall costs for the evaluation, and the component elements. This includes the cost of expert advice and input from SURF (Sustainable Urban and Regional Futures) and the cost of the annual clearance survey.

# Appendix One

## National Level

The extent to which NewHeartlands is helping to deliver the national objectives of the Pathfinder Programme established by ODPM

- To tackle low demand
- To restructure housing markets

Contribution to the impact of the national pathfinder programme

Influencing learning with other partners

Interpretation of ODPM core indicators

Desk top review of PPWG documents  
Interviews - ODPM & AC

## City-Region & North West Region Level

The extent to which NewHeartlands influencing and responding to City-Region Development Plan and regional planning, housing and economic strategies

- To contribute to a dynamic city region
- To contribute to Urban Renaissance in the North West

Changes in NH that support city-region and regional needs and aspirations

Changes in housing supply to support changing needs and aspirations

Relative reduction in worklessness

Population change

Increasing skills base

Annual stakeholder panel

- Sales volume & values collected via LAMP  
- Type & size of new build

- Benefit levels for JSA, IB & IS via LAMP

- Mid-term population estimates  
- Vacancy levels

- number & proportion of Level 3 qualifications (via LSC)

## Pathfinder Level

The extent to which NewHeartlands is meeting the objectives set out in the scheme update and influencing the cross cutting themes and the drivers of change

- To deliver objectives related to influencing the drivers of change

Labour Market disadvantage

New economy

Decentralisation & demography

Urban density

Changing financial framework

Changing aspirations

Chronic neighbourhood decline

- number & proportion of Level 3 qualifications (via LSC)  
- Benefit levels for JSA, IB & IS via LAMP

- Assessment of trends shown in indicators NH2, NH4 & NH5  
- number of affordable homes meeting DHS

- assessment of progress towards targets NH1, NH4, NH5  
-Annual stakeholder panel  
-Resident focus groups  
-Clearance resident survey

-Assessment of progress towards NH4 & NH5  
- Resident focus groups

- Annual stakeholder panel

- Assessment of progress towards NH4 & NH5  
-Residents focus groups  
- Stakeholder panel

- Assessment of progress towards ODPM core indicators & NH targets

**Project / Intervention Level**

The extent to which projects supported by NewHeartlands are making an impact and whether each project is contributing to positive change within the area

- projects are making an impact in the area
- Contributing to the NewHeartlands programme
- Impacting on the drivers of change

Sample of projects assessed each year – selected by theme & by geography	
Time	Project milestones met
Spend targets	Assessment of funds spent and leverage
Achievement of outputs	Outputs planned & achieved
Difference project is making	- Review of project documents - local authority focus groups - stakeholder panel
Extent to which residents benefitting from interventions	- Analysis of clearance survey

**Process / Governance Level**

The effectiveness of NewHeartlands implementation operation and management

- Governance – establish clear & effective leadership
- Programme Management & implementation- to develop effective project monitoring & appraisal systems
- Partnership working

Effective communications strategy in place	- Annual mapping of community engagement structures - stakeholder panel
Effective governance arrangements in place	- Key player interviews with NewHeartlands staff & board - stakeholder panel
Effective Performance management in place	- desk review of reports to board - board member interviews
Effective & inclusive partnership working with public & private sector partners & community representatives	- Annual mapping of connections with public & private sector partners - Stakeholder panel - Focus groups

**Strategic Added Value Level**

The difference NewHeartlands is making to the actions and behaviour of partners and to wider regeneration objectives

- NH key strategic influencer & leader
- To engage with partner organisations
- To encourage leverage of funds into the HMR area
- To improve synergy and complementarity with other appropriate strategies

Level of partner understanding of NewHeartlands objectives	- Focus groups - Stakeholder panel
Number of external partnerships where NewHeartlands represented	- Annual mapping of partnerships where NewHeartlands involved - Stakeholder panel
Extent to which strategic priorities and match funding bent towards NewHeartlands area and objectives	stakeholder panel - review non – housing -spend levels within HMR area -Review of local planning and spatial policies

## Appendix Two

### NewHeartlands Evaluation

Task	Senior*	Senior days	Senior sub total	Inter**	Inter days	Inter sub total	Junior	Junior days***	Junior sub total	Task total	Output	Output date
	Day Rate £950			Day Rate £675			Day rate £400					
<b>National Level</b>		<b>3</b>	<b>£2,850</b>		<b>2</b>	<b>£1,350</b>		<b>3</b>	<b>£1,200</b>	<b>£5,400</b>	<b>Annual Report</b>	
Collation of CPIs							TC	2	800			
Desk top review of PPWG documents				POB	1	675	MH	1	400			
Interviews DCLG & AC				POB	1	675						
Interpretative report	BN	3	2850									
<b>City-Region &amp; North West Region Level</b>		<b>1</b>	<b>£950</b>		<b>4</b>	<b>£2,025</b>		<b>3</b>	<b>£1,200</b>	<b>£4,175</b>	<b>Annual Report</b>	
Analysis of stakeholder panel & focus group responses				CT	1		MH	1.5	600	£600		
Annual regional influencing assessment				CT	0.5	£338						
Examination of indicators in city-region context				VP	1	£675	MH	1.5	600			
Annual markets report	PL	1	£950	CT	1.5	£1,013						
<b>Pathfinder Level</b>		<b>6</b>	<b>£5,700</b>		<b>19</b>	<b>£12,825</b>		<b>24</b>	<b>£9,600</b>	<b>£28,125</b>	<b>Annual Report</b>	
Annual stakeholder panel	BN	3	£2,850	CT	6	£4,050	JC	9	3600			
Annual focus groups for North Liverpool, South Liverpool, Sefton & Wirral	BN	1	£950	CT	10	£6,750	JC	12	4800			
Interpretation of DCLG core indicators & social & demographic trends	PL	1	£950	CT	1	£675	TC	3	1200			
Annual report on objectives and drivers	BN	1	£950	CT	2	£1,350						
<b>Project / Intervention Level</b>		<b>1</b>	<b>£950</b>		<b>7</b>	<b>£4,725</b>		<b>20</b>	<b>£8,000</b>	<b>£13,675</b>	<b>Annual Report</b>	
10 Project appraisals carried out				POB	3	£2,025	JC	20	8000			
Annual report on project appraisals	BN	1	£950	POB	2	£1,350						
Analysis of residents clearance survey				CT	2	£1,350						
<b>Process / Governance Level</b>		<b>2</b>	<b>£1,900</b>		<b>5</b>	<b>£3,375</b>		<b>3.5</b>	<b>£1,400</b>	<b>£6,675</b>	<b>Annual Report</b>	
Annual mapping community engagement structures & connections with public & private sector partners				POB	1	£675	MH	1.5	600			
Analysis of stakeholder panel & focus group responses				POB	1	£675	MH	1	400			
Board member interviews				POB	1	£675	MH	1	400			
Annual report on Governance	BN	2	£1,900	POB	2	£1,350						
<b>Strategic Added Value Level</b>		<b>2</b>	<b>£1,900</b>		<b>15</b>	<b>£10,125</b>		<b>9</b>	<b>£3,600</b>	<b>£15,625</b>	<b>Annual report &amp; support for series of LAMP reports</b>	
Analysis of stakeholder panel & focus group responses and mapping of partnerships				CT	1	£675	JC	1	400			
Analysis of stakeholder panel & focus group responses				CT	1	£675	JC	1	400			
Review of non-housing spend within HMR area				CT	1	£675	MH	1	400			
LAMP policy development & support	BN	2	£1,900	CT	12	£8,100	JC	6	2400			
<b>Annual summary reporting</b>		<b>4</b>	<b>£3,800</b>		<b>20</b>	<b>£13,500</b>				<b>£17,300</b>	<b>Interim report</b>	<b>Annual report</b>
Interim (6 monthly report)	BN	2	£1,900	CT	9	£6,075						
Annual Evaluation Report	BN	2	£1,900	CT	11	£7,425						
		<b>19</b>	<b>£18,050</b>		<b>72</b>	<b>£47,925</b>		<b>62.5</b>	<b>£25,000</b>	<b>£90,975</b>		

\* Senior - BN = Brendan Nevin, PL= Philip Leather  
 \*\*Intermediate - CT = Clare Tostevin, VP = Vicky Poplewell, POB = Patrick O'Brien  
 \*\*\* - Junior Team = Paul Limb, Joe Clarke, Tony Childs, Michelle Hopley

Expert advice from Professor Alan Harding	4000
Annual clearance Survey of Residents	28000
Expenses (5%)	4549
<b>Total annual cost (exc VAT)</b>	<b>£127,524</b>