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Local delivery project – literature review

Literature review prepared by the Association for the Conservation of Energy (ACE), CAG Consultants, the Centre for Sustainable Energy (CSE) and Dr Joanne Wade for Citizens Advice

Contents

1   Introduction

The Citizens Advice service provides free, confidential and impartial advice to help people resolve their problems. As the UK's largest advice provider, the service is equipped to deal with any issue, from anyone, spanning debt and employment to housing and immigration plus everything in between. We value diversity, promote equality and challenge discrimination. Citizens Advice represents the interests of consumers across essential, regulated markets; we use compelling evidence, expert analysis and strong argument to put consumer interests at the heart of policy making and market behaviour.

At Citizens Advice, we believe there is a powerful economic, social and environmental case for an ambitious nationwide home energy efficiency programme, which prioritises low-income households and which is both broader and deeper than current programmes. There is widespread consensus that the local delivery of home energy efficiency programmes and the use of area-based approaches should play an important role in making sure this national ambition is achieved, and that this is done as cost-effectively as possible.

We therefore commissioned the Association for the Conservation of Energy (ACE), the Centre for Sustainable Energy (CSE), CAG Consultants and Dr Joanne Wade to carry out a programme of participative research to investigate models for delivering energy and fuel poverty services at the local level.

The research involves a literature review of existing local initiatives, including those in other policy areas such as urban regeneration, interviews with stakeholders, a survey of local authority officers and other decision makers, and the running of five workshops around Great Britain. The research will propose governance structures for the local-level delivery of energy and fuel poverty[1] services, and will consider the implications of potential reform of the main energy efficiency programme in Great Britain, namely the Energy Company Obligation (ECO).

Notwithstanding the perceived benefits of locally led delivery, these approaches do have limitations. These need to be identified and acknowledged, as do the merits and limitations of current programmes, especially the ECO. Only in this way can proposals for locally led delivery attain credibility, engage constructively with challenges from stakeholders and achieve a successful process of integration with, or transition from, existing schemes.

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[1] Fuel poverty is caused by a combination of low income, poor home energy efficiency standards and high fuel prices. In Scotland, Wales and Northern Ireland households are defined as being in fuel poverty if they need to spend 10 per cent or more of their income on energy to achieve adequate warmth and meet their other energy needs. In England, households are defined as being in fuel poverty if their fuel costs are above average and were they to spend that amount they would be left with a residual income below the official poverty line.

1.1   Aims and structure of this review

The first stage of the project involved conducting a comprehensive literature review to address the following project objectives:

- To assess **lessons learnt** from existing locally delivered and area-based schemes (including in other policy areas)
- To identify **guidelines** for developing a range of local delivery models

In addition, two specific issues relating to project objectives are considered as part of this review:

- To look for evidence that local delivery might or might not increase **consumer take-up**
- To examine the **criteria** used to allocate resources, or assist in the competitive allocation of resources, to local areas

1.2   Schemes and sources considered in this review

The review focused on independent literature and evaluations, rather than reports from scheme implementers, and drew on three sources:

1. Those reviewing specific energy-related locally led schemes
2. Those addressing wider issues around local delivery approaches for energy efficiency
3. Those reviewing specific area-based schemes in analogous policy areas, specifically regeneration and health, where area-based approaches have been trialled and developed over many years

The sources and schemes considered in this review are set out in Appendix I, along with an overview of each and an indication of their provenance and reliability. The Appendix provides a comprehensive summary of evaluations of local and area-based delivery of energy efficiency programmes, plus a selection of evaluations of related policy initiatives. We consider this to be the first time that a summary of this nature has been pulled together.

After all the sources were reviewed, we identified a series of key themes that, based on the literature, represent important considerations for a locally led scheme. The findings were grouped under the following headings, which serve to structure the literature review and summary:

- Governance, structure and timescale
- Objectives and targets
- Eligibility, targeting and use of criteria
- Community engagement, and promoting and sustaining take-up
- Partners, networks, management and delivery
- Monitoring and evaluation

This report introduces local and area-based approaches, discusses lessons learnt from existing local schemes and identifies emerging guidelines for potential local delivery models.

1.3   Introduction to local and area-based approaches

There is a widespread consensus that local-level delivery of home energy retrofit in some form will need to play a critical role in delivering a more ambitious and effective energy efficiency programme, and doing this as cost-effectively as possible. A local delivery framework, as understood here, is one in which:

- the people from an area are involved in delivering energy efficiency measures in that area
- a national framework enables (or requires) this to happen.

The scale of the area is open to debate, as are the organisations involved in delivery and their roles.

A related, but not identical, model is the area-based approach. In 2009, the Energy Saving Trust (EST) defined an area-based approach to energy efficiency as one that 'delivers energy efficiency measures in a spatial area – which could be a street, a neighbourhood, a local authority or a group of local authority areas'.[2] Area-based approaches are an alternative to individual targeting of households, and are used across a wide range of policy areas including regeneration, crime and health. Area-based approaches may be especially effective in particular policy areas where there is a strong localised or place-specific aspect to the problem and its solutions. Housing is one example of this, since it is often the case that similar types of housing form clusters or concentrations.

Local delivery and area-based approaches may have multiple benefits. For example, a 2010 report on sustainable community infrastructure by the UK Green Building Council has noted how 'conceiving and delivering infrastructure at a neighbourhood scale as an integrated package represents a very significant opportunity to deliver environmental, social and economic objectives'.[3] The Commission for Architecture and the Built Environment has argued that neighbourhood approaches to tackling climate change can create jobs and improve the quality of place.[4]

Similarly, the Sustainable Development Commission's 2010 report, entitled 'The Future is Local', built on growing recognition of an area-based approach, advocating an 'integrated, area-based approach to retrofitting buildings and upgrading community infrastructure'. It also argued that enabling communities to renew their own neighbourhoods, in partnership with local government and enterprise, can deliver benefits over and above reducing fuel bills and carbon emissions.[5] If the right approach is taken to reducing the carbon emissions of our building stock, the report argues, the impact of a renewed 'place' can have a significant impact on how sustainably people live their lives.[6] There is also an argument that local and area-based approaches to energy efficiency open up the potential for integration and synergies with other areas of policy that are also delivered locally, such as regeneration, public health, and income maximisation advice.

Area-based approaches can be designed to identify geographic clusters where there is a greater likelihood of fuel-poor households. They potentially offer opportunities for targeting fuel poverty reduction programmes more accurately towards those in severe or extreme fuel poverty; those most in need seldom self-refer into government support programmes, in comparison to households that are better off.[7] They are therefore, both more in need, and also harder to reach through traditional self-

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[2] (EST 2011)
[3] (UKGBC and Zero Carbon Hub 2010)
[4] (Bradley and Smith 2012)
[5] (Sustainable Development Commission 2010)
[6] (Bradley and Smith 2012)
[7] (Walker et al. 2012)

referral mechanisms. This approach may be particularly appropriate for finding small pockets of severe and extreme fuel poverty.

An argument commonly levelled against area-based approaches to deprivation is that: 'Most *poor people* do not live in the poorest areas. Most people who live in *poor areas* are not themselves poor.'[8] However, with recent improvements in data and methodologies, it is now possible to identify areas at a higher resolution and pinpoint areas of concentrated deprivation, meaning that this observation may be less valid than in the past. It should be noted, though, that high-resolution, tightly focused local approaches may miss out on some of the other benefits of area-based schemes, such as economies of scale.

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[8] (Spicker 2002) p18

2   Governance, structure and timescale

Governance of locally delivered schemes is a fundamental theme highlighted in the literature, coupled with scheme structures and scheme duration. It is vital to consider these issues, including the role of national governments and the relations between different scales, in order to create coherent and efficient structures for the models we propose. This section looks first at governance and structure, finding that a key issue is how to ensure coherence and dialogue between different partners (and between different schemes). A second issue is whether to adopt a statutory or voluntary approach, or an intermediate position. Turning briefly to timescales, the section finds that longer-term projects are often more successful, since schemes require time to become established.

2.1   Governance and structure

Established non-energy local and area-based approaches suggest useful lessons regarding governance. For example, in the field of regeneration, a report by Adamson and Bromiley argues that it is vital that local schemes promoting community empowerment are harmonised with other national, regional and local strategies with similar aims.[9] Without this, multiple different approaches to problems may emerge and the system may become increasingly varied and complicated.[10] This was also found in the case of the Kirklees Warm Zone, part of the Warm Zones programme of area-based fuel poverty schemes launched in 2001. A review of energy efficiency schemes for Consumer Focus in 2012 found that contractors for the national Warm Front scheme would door-knock in the same areas, offering free insulation but not the other support available from the Warm Zone programme.[11]

A 2008 evaluation of a local regeneration programme called Communities First found that a capillary model of local influence and decision making is useful. This is a flexible model of governance that provides multiple routes and points of participation. The first stage is highly local (sub-ward) and based on locality or themes. This then links to higher-level (such as ward-level) partnerships and, from there, to county and sub-regional forums such as local strategic partnerships or local service boards (in Wales). This kind of structure can effectively feed community opinions from the local level to higher strategic partnerships.[12] This allows dialogue between the different levels of the structure to promote better understanding of strategic issues and constraints on change at community level. Central government guidance is important, allowing local schemes to identify good practice and set benchmarks.[13]

Another key governance issue concerns statutory versus voluntary approaches. The *Going Local* report for Consumer Focus, which in 2012 reviewed local authorities' work on fuel poverty, recommends that the UK Government should place a new fuel poverty duty upon local authorities, following an assessment of burdens and the resources required. This would consist of a requirement to monitor progress towards a locally set target – and national datasets would be collected and provided to enable this monitoring – with action required if progress was not sufficient. A lack of statutory responsibility was a key barrier to action identified by this study. The recommendations in the report also offer an alternative, which is for governments to incentivise local authorities to take fuel poverty action, whilst

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[9] (Adamson and Bromiley 2008)
[10] (Humphries et al. 2012)
[11] (Donaldson 2012)
[12] (Adamson and Bromiley 2008)
[13] (Humphries et al. 2012)

avoiding turning this into a competitive process. However, the former course of action (a duty) was thought to be more likely to be successful.[14]

The approach taken by the Home Energy Efficiency Programmes for Scotland (HEEPS) area-based schemes represents a third alternative. This is based around a concordat between the national government and local authorities. The funding arrangements are such that all 32 local authorities in Scotland received ring-fenced funding from the allocated pot, with a further pot of money available through a competitive bidding process. However, not all local authorities bid for the additional competitive pot.[15]

2.2   Timescale

Many studies suggest that longer-term schemes are desirable; the 'perpetual pilot project', which some funding agencies seem to prefer, can be limiting.[16] In a wide-ranging review of energy efficiency programmes in 2012, Donaldson found that some of the projects reviewed had enough time to generate positive 'word-of-mouth' among residents, to promote the project. However, projects that ran over a short timeframe (maybe due to funding constraints) were unable to maximise this effective form of promotion.[17] In the Department of Energy and Climate Change (DECC) Local Authority Competition (a competition for local fuel poverty and energy efficiency schemes in 2012/13), some authorities chose not to bid for money from more than one of the funding streams on offer because they did not have the capacity to deliver. Short-term funding for action reinforces this issue – if additional capacity is to develop, longer-term secure funding streams are needed.[18] Further (and more operational) issues around timing are discussed below in relation to the theme of 'partners, networks, management and delivery'.

2.3   Conclusions and guidelines

The review recommends the following guidelines:

- Make sure the scheme is integrated with other relevant schemes to ensure a coherent and consistent approach – including schemes at local, regional and national scales.
- Promote dialogue between the different levels of governance (such as local, city-scale, county-scale and regional) and make sure local flexibility is built into scheme design, so that schemes can be tailored to specific contexts.
- Make sure central governments provide guidance and promote lesson-sharing.
- Consider mechanisms for making sure local authorities take action. These may include a resourced statutory duty, incentive schemes or provision of ring-fenced funding.
- Make sure timescales are adequate – long-term schemes are likely to be more successful.

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[14] (Wade, Jones, and Robinson 2012)
[15] Formal evaluation of HEEPS, currently in its second year, has not yet been conducted, although this project has gathered many emerging views through interviews with stakeholders and workshops, which feature in the full project report.
[16] (Sustainable Development Commission 2002)
[17] (Donaldson 2012)
[18] (SE2 2013)

3   Objectives and targets

This section considers issues around setting objectives and targets within local and area-based approaches to energy efficiency. It first reviews overarching issues such as the use of multiple objectives; people versus place-based objectives, aligning objectives across partners, and setting realistic targets. It then considers a series of possible objectives or outcomes of schemes, specifically: employment; cost efficiency; health; cohesion and perceptions of the neighbourhood. It finds there are benefits to maximising multiple objectives and that area-based schemes can offer benefits, such as community cohesion, that other schemes are not able to.

3.1   Defining objectives and targets

A fundamental issue for any area-based scheme is the definition of objectives. Area-based schemes for regeneration often include both place-related and people-related objectives.[19] In the context of energy, this relates to the idea of defining objectives in terms of housing stock improvements or in terms of household fuel poverty, health and so on. Past schemes have found that people-based outcomes are more likely to make changes to people's lives, but these people may then leave the area and the benefits to the area will be lost.[20] This needs to be considered in monitoring and evaluation (M&E).

Another issue is the choice of multiple or single objectives and, in some cases, primary and secondary objectives. Many sources suggest that it is beneficial to work within a strategic approach that makes links across a whole range of local priorities, such as health or economic development.[21] For example, Warm Zones have contributed towards community safety, fire safety and anti-poverty objectives by offering community and fire safety devices and income maximisation advice alongside fuel poverty assistance.

A challenge for area-based schemes may be differing objectives among partners. A study of the DECC Local Authorities Competition found that local authorities tended to have a similar world view to the UK Government, in that they were looking to maximise cost-effectiveness of delivery. Community organisations on the other hand tended to be more focused on reaching those hardest to reach, or starting a broader conversation about energy.[22] Local bodies, given funding, will use it to meet their own objectives. This is not a negative point per se, since these objectives will reflect locally determined priorities, but it should be borne in mind when considering the extent to which local action will deliver national aims.[23] Issues around objectives were very commonly raised in the sources reviewed, with many calling for clarity and coherence in project goals.

Regarding targets, the Sustainable Development Commission has argued that the key challenge in empowering communities to improve their neighbourhoods is sustaining a programme of modest reductions over an extended time period to achieve substantial change. It has also stated that it is vital that a partnership and community has ownership of targets and (some of) the means by which they can be achieved.[24] The Communities First experience (as mentioned in section 2.1) suggests that it is important to be realistic about how quickly change will be achieved and about what is actually

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[19] (Batty et al. 2010)
[20] (Lawless 2007)
[21] (e.g. Wade, Jones, and Robinson 2012)
[22] (SE2 2013)
[23] *Ibid.*
[24] (Sustainable Development Commission 2002)

achievable with available resources, and not raise false expectations.[25] Having some quick-win targets can help to sustain community engagement, as well as keeping professionals interested in the programme.[26]

3.2   Employment

Potential advantages of area-based approaches include local employment.[27] The difference between area-based approaches and other approaches is the potential for concentrating training and employment in a particular area, and supporting the development of local supply chains. For example, a 2012 Demos review of community energy initiatives reports that, in the £30 million refurbishment of the Daneville estate in Liverpool, 300 jobs were created in the area with local firms of contractors and suppliers. In Kirklees Warm Zone, 126 jobs were created directly by the scheme, and the area saw the creation of a new local depot and training depot by a leading energy conservation installation firm. Helping communities to empower themselves, albeit in this case by providing employment to a small number of people, is an important element in building resilience and a more sustainable local economy. The effects of these employment opportunities – for those involved, but also on the wider perceptions of the success of the scheme – should not be underestimated. Where possible, schemes should be aligned with relevant funding streams and initiatives tackling local unemployment to ensure that the installation process generates opportunities for local jobs and skills development.[28]

The same report suggests that in Community Energy Saving Programme (CESP) schemes in Walsall and Stafford, an apprenticeship scheme could have been developed, in partnership with contractors, with the apprentices subsequently being taken on by the housing association following the completion of the works. However, lack of foresight about how this scheme could have been delivered and the lack of time to develop the necessary local partnerships meant the opportunity was lost.[29] Training is important, as there may be a lack of the necessary skills in the area.

A 2012 evaluation by the Greater London Authority (GLA) of the London-wide home energy efficiency retrofit programme, RE:NEW, suggests that delivery of this scheme has enabled local employment and training opportunities. For example, one delivery agent was able to employ an individual who had been in long-term unemployment, continuing his employment and training after completion of this phase of delivery. In other areas, such as East London, staff have been retained who would have otherwise been made redundant if it had not been for the RE:NEW scheme. Lessons from RE:NEW suggest that in future schemes, delivery agents need to consider levels of staff turnover, both in their recruitment planning and staff training, and whether internal or through a contracted delivery partner, to ensure consistent staff levels throughout project delivery. They should also consider a focused programme of training for home energy advisors to ensure accuracy of in-home assessments and opportunities for installations. However, this may have costs implications for delivery of the programme.[30] Some area-based energy efficiency schemes have been successful in securing funding by emphasising economic and job creation benefits; for example, Arbed in Wales, and the Redcar and Clevedon Warm Zone.

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[25] (AMION Consulting Limited and Old Bell 3 Limited 2011)
[26] (France and Crow 2001)
[27] (Liddell and Lagdon 2013)
[28] (Bradley and Smith 2012)
[29] *Ibid.*
[30] (GLA 2012)

3.3   Cost efficiency

It is often argued that implementing policy at area-level offers efficiency gains through economies of scale by using fewer resources to potentially capture a greater number of fuel-poor households.[31] Previous studies[32] have found that area-based schemes brought significant benefits in terms of take-up and cost-effective delivery of professionally installed insulation.

DECC's final evaluation of the Carbon Emissions Reduction Target (CERT) and Community Energy Saving Programme (CESP) supplier obligation schemes was conducted in 2014 by Ipsos Mori and partners. It notes that the cost-effectiveness of schemes was helped by the geographical concentration, which delivered operational efficiencies in both surveying and installation, with good levels of take-up reducing the cost per lead. Similar benefits were perceived by a significant number of local authorities, installers and energy suppliers interviewed during this evaluation. They also felt that an area-based approach offered benefits in terms of efficiency of delivery (including minimising waiting periods for customers, particularly in rural areas).[33] Many stakeholders interviewed for DECC's CESP evaluation believed that this approach was cost effective, led to economies of scale and efficiency of delivery, and also had the potential to deliver a range of wider benefits for the area.[34]

Installing energy efficiency measures into multiple properties in an area can significantly reduce costs, and the costs to suppliers of identifying households as eligible for support disappear if all households in a pre-specified area are eligible. Highly prescriptive targets that are challenging to achieve (such as the Super Priority Group target under CERT) can lead to significantly higher costs.[35] The previously mentioned Demos report also found that the Cardiff Partnering Scheme – a retrofit of 100 homes and five blocks of flats – reduced costs by 20 per cent through targeting a whole area rather than upgrading homes individually.[36]

In a 2005 external evaluation by the EST and partners, Warm Zones were also judged to be 'reasonably cost effective, with the most efficient judged to be very cost effective'.[37] The pilot Warm Zones removed 7 per cent of fuel-poor households from fuel poverty; varying from 2 per cent in Hull to 23 per cent in Stockton. The pilots also removed 10 per cent of people from severe fuel poverty; this varied from 3 per cent in Hull to 37 per cent in Stockton. However, the report also suggests there is little evidence that the efficiency gains for clustered work were ever actually obtained by Warm Zones.

3.4   Health benefits

The health benefits of energy efficiency are increasingly being recognised, and recent schemes such as Warm Homes Healthy People[38] have aimed to engage the health sector in fuel poverty work. DECC has started quantifying health benefits at a national level with its Health Impacts of Domestic Energy Efficiency Measures (HIDEEM) model. However, it has proved more difficult to measure and quantify health outcomes within area-based energy efficiency schemes. Some local initiatives, such as the Gentoo housing association initiative in Sunderland, have started to do this[39]. Closer working between health

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[31] (Tunstall and Lupton 2003)
[32] (e.g. Cambium Advocacy 2009; CAG Consultants 2010a; CAG Consultants 2010b; Sustainable Development Commission 2010)
[33] (Ipsos MORI et al. 2014)
[34] (CAG Consultants, Ipsos MORI, and BRE 2011)
[35] (Platt, Rosenow, and Flanagan 2012)
[36] (Bradley and Smith 2012)
[37] (EST, CSE, and NEA 2005)
[38] See www.gov.uk/government/publications/warm-homes-healthy-people-fund-for-local-authorities for further details of scheme
[39] See www.theguardian.com/environment/2014/dec/09/boiler-on-prescription-scheme-transforms-lives-saves-nhs-money for further details.

and energy efficiency providers and the potential extension of HIDEEM to local schemes could help capture the benefits of local energy efficiency schemes.

3.5   Cohesion and social capital

The Demos review of the Walsall CESP scheme suggests that community-wide energy efficiency schemes often get people talking about their area and experience of the scheme, and these discussions may strengthen community bonds, develop social capital and prompt further community discussion. The Walsall CESP scheme led to increased interaction between residents, improving the social capital of the estate – the relationships within a community, between families, friends, neighbours and colleagues – through the strengthening of previously existing networks within the community, and the formation of new networks between individuals who previously did not have relationships.[40]

The Stafford CESP results, reported in the same review, also suggest that the installation of the measures may have increased social capital: over half of respondents (55 per cent) said that the measures had been a topic of conversation with neighbours. More agreed (26 per cent) than disagreed (16.2 per cent) that their neighbourhood was friendlier since the installation of the measures. There was also increased participation in a local community group. Community-wide energy efficiency schemes can provide added impetus for existing community groups or individuals, and enhance confidence about taking further action to improve the local area.[41]

However, as noted above, there was a low take-up of the CESP scheme from owner-occupiers in Stafford. This, coupled with the ability of tenants to choose from a diverse colour palette, led to concerns that the streetscape is now defined by tenure type, whether the household had cavity or solid walls and Lower Super Output Area (LSOA) boundaries. Another issue for the Walsall scheme was the (clearly unintended) animosity from residents in nearby streets who did not receive energy saving measures.[42] Such problems are recorded by a small but notable number of sources.

In Northern Ireland's Green Street scheme (described in a 2014 report by the University of Ulster), five families moved into new neighbouring eco-homes. Findings include a sense of cohesion fostered by the shared experience of living in these homes, and people getting to know neighbours through the process, within a 'pocket neighbourhood'. Involving residents in the project was a positive and empowering experience.[43] Research by the same authors on Ulster University's own area-based approach to fuel poverty also found that potential advantages include community engagement.[44]

Another relevant scheme is the Low Carbon Communities Challenge (LCCC), run by DECC from 2010 to 2012. This programme aimed to provide financial and advisory support to 22 test bed communities, trialling community-scale approaches to the delivery of low-carbon technologies and engagement activities. In DECC's 2012 evaluation report on the scheme, some LCCC projects contend that their most positive outcomes were social, with a range of new activities such as residents' associations, community cinemas and orchards emerging. For LCCC projects, while financial savings were an important initial 'hook' to engage their local communities (extrinsic motivations), once people became involved, they were motivated more by a sense of community and social interaction (intrinsic motivations).[45]

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[40] (Bradley and Smith 2012)
[41] *Ibid.*
[42] (Bradley and Smith 2012)
[43] (Liddell and Lagdon 2014)
[44] (Liddell and Lagdon 2013)
[45] (DECC 2012)

3.6 Positive perceptions of the neighbourhood

Bradley and Smith's 2012 report for Demos on community approaches to energy efficiency found that residents believed that CESP works had a positive effect on the perception of their neighbourhoods. Nearly all residents thought that the works had improved the area, and that the area felt a better place to live in and was more welcoming as a result. There was a general feeling that it gave people an incentive to look after their gardens and take more care of their surroundings. The Walsall CESP scheme received a significant level of media attention at the outset, which clearly helped in developing a sense of community action in the work, giving residents in a previously run-down area something to take great pride in. Local authorities and housing associations could look to CESP and similar schemes as a potential opportunity for generating community pride and a shared community experience of regeneration, which improves community networks.[46]

However, the report argues that future schemes would benefit from the input of urban design guidance at the project outset, in order to maximise the potential aesthetic benefits in improving the quality of place. This will in turn amplify the wider social and environmental benefits of an area-based retrofitting scheme. A key lesson is not to lose sight of the bigger picture and the potential to combine the installation of energy efficiency measures with wider neighbourhood regeneration initiatives in the local area, such as input from local businesses to sponsor the improvement of playgrounds.[47]

Similarly, for LCCCs, community-scale installations also acted as symbols of modernisation and 'things getting better' in the area.[48] DECC's CESP evaluation also found significant regeneration and aesthetic improvements to the area as a result of the works, and a perceived increase in community pride (though mainly by delivery partners rather than householders).[49]

3.7 Conclusions and guidelines

The review recommends the following guidelines:

- Consider both place-based and people-based objectives, and look for synergies between energy objectives and other social goals (such as health and regeneration) that can be built into the scheme.
- Consider including quick-win targets to boost interest and engagement.
- Align schemes with relevant funding streams and initiatives to promote local training and employment.
- Consider setting broad eligibility criteria for the installation of free energy efficiency measures and build in a degree of flexibility to optimise cost efficiency.
- Look for opportunities to embed community cohesion, positive neighbourhood perception and other related benefits into the scheme.
- Aim to not only maximise the multiple benefits, where appropriate, of efficiency schemes, but also to measure these outcomes (also see section 7 on M&E).

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[46] (Bradley and Smith 2012)
[47] *Ibid.*
[48] (DECC 2012)
[49] (CAG Consultants, Ipsos MORI, and BRE 2011)

4   Eligibility, targeting and use of criteria

One of the perceived central benefits of local delivery is that local agencies, through local knowledge, are well placed to define their target communities and geographies. Our proposals will need to consider how they can support these abilities while ensuring consistency and quality across localities. This section first considers targeting fuel poverty and the challenges of doing this, including using proxies such as the Index of Multiple Deprivation (IMD) or the number of people claiming benefits. It then considers other criteria that have been used in past schemes, including the efficiency of existing buildings. It addresses some key questions: should schemes target leading areas, or areas in most need? Should they help all households in the area, or just certain eligible people? Should schemes be based on rigid area boundaries, or be more fluid and community-based? What size should the area be? Should there be offers for neighbouring areas, or extensions to the area? Finally, it considers data and methods for targeting areas and households, finding that data quality and availability is a key challenge for most schemes.

4.1   Targeting fuel poverty

Among schemes with the objective of reducing fuel poverty, a key question is how to define a target audience, and what proxies or indicators to use. There are two issues here: choosing areas to target, and then choosing which households to target (this could be all households). The latter issue is discussed in section 4.5.

A common approach to selecting areas is to use an indicator of fuel poverty or deprivation. The Hills report on fuel poverty reported that the area-based approach had been effective under CESP, but suggested that the IMD, used to select LSOAs for eligibility, was not very effective in identifying areas of concentrated fuel poverty.[50] It found that fuel-poor households are found across the whole deprivation scale, with a third of the fuel poverty gap found in the least deprived 40 per cent of areas, making the IMD 'a very approximate tool for targeting purposes'. In addition, in the evaluation of CESP, the IMD was perceived to be out of date by some stakeholders, and as a result they argued that some poorer areas had missed out.[51, 52] Another issue is that the IMD emphasises social housing areas, reflecting its focus on income poverty, yet energy efficiency standards are generally higher in this sector. It can also exclude deprived pockets, or those at the margins of areas. Similar issues arise with the Scottish IMD.

Similarly, in Northern Ireland, the area-based Maximising Access to Services, Grants and Benefits in Rural Areas (MARA) programme is focusing on the 88 most deprived rural areas of Northern Ireland, although it is commonly acknowledged that fuel poverty and deprivation are not particularly well correlated;[53] as a result, MARA has experienced disappointing rates of referral to fuel poverty programmes.[54] A sophisticated algorithm, developed by Ulster University and used in targeting fuel poverty in Northern Ireland, is discussed in section 4.8.

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[50] (Hills 2012)
[51] (CAG Consultants, Ipsos MORI, and BRE 2011)
[52] The Carbon Saving Communities Obligation (CSCO) part of the Energy Company Obligation (ECO) has since picked up some of the CESP mantle, but delivery to date, particularly in meeting its rural sub-obligation, has been slow, and it is too early to draw conclusions from it.
[53] (Liddell et al. 2011)
[54] (Deloitte 2011) in (Liddell and Lagdon 2013)

The Institute for Public Policy Research (IPPR) has developed a Low-Income, Low-Efficiency Area (LILEA) indicator based on a combination of property and income-based proxies.[55] It advocates prioritising the delivery of energy efficiency improvements to households in these areas.[56] IPPR claims that 'in some postcode areas almost 50 per cent of households are in fuel poverty', indicating that a LILEA approach could help to reach many more households than current policies, which only direct a quarter of current annual expenditure to the fuel-poor.[57] However, it should be noted that DECC now argues that its small-area fuel poverty statistics are not reliable at the LSOA level, which is why they are not currently used to target fuel poverty initiatives. Nevertheless, there is substantial evidence that by incorporating property-based proxies, the targeting efficiency of fuel poverty policies could be significantly improved.[58]

To achieve the proposed Fuel Poverty Strategy 2030 target for England, assistance will need to reach all low-income/low-efficiency households. If area-based schemes are to contribute effectively towards meeting the target, Consumer Futures argues that better proxy measures for fuel poverty than the IMD will be needed. Some progress has been made; for example, the EST in Scotland has developed Home Analytics to help the Scottish Government and local authorities identify areas to target, and this provides data at address level. However, further research on small-area indicators is needed. This will need to include factors such as climatic conditions, prevalence of hard-to-treat houses and access to the gas grid, alongside levels of income deprivation.[59] Essentially, a specific small-area fuel poverty indicator or an indicator that combines poor energy efficiency and low income is required. With the development of the National Energy Efficiency Database (NEED) and availability of new off-gas mapping data, which can be overlaid with small-area income data (or a census proxy), there are now new opportunities for developing such an indicator.

Even once eligibility criteria have been defined, problems may emerge. The external evaluation of the pilot Warm Zones states that many fuel-poor households did not get any assistance because they weren't claiming benefits to which they were entitled – this made it hard to identify them as eligible for energy efficiency programmes.[60] However, this can be an even greater problem for non-area-based approaches, such as ECO Affordable Warmth. Area-based approaches could allow for benefit checks or employ alternative eligibility processes. Warm Zones also found that many fuel-poor households did not match up to the eligibility criteria of energy efficiency schemes, requiring Warm Zones to put in considerable effort in finding additional funds to help such households.[6057]

4.2   Other criteria for selecting areas

For the RE:NEW schemes in London, the GLA provided guidance on what to consider in selecting target areas,[61] including:

- potential of the area to benefit from loft and cavity wall insulation – such as that identified through analysis of borough energy efficiency databases, Home Energy Efficiency Database (HEED) reports, previous scheme activity, housing association retrofit or maintenance work
- proportion of privately owned dwellings, where required works would be easier and quicker to agree and book in

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[55] (Platt, Rosenow, and Flanagan 2012)
[56] Originally proposed in (Boardman 2012).
[57] (Boardman 2010) in (Platt, Rosenow, and Flanagan 2012)
[58] (Boardman 2010), (Hills 2012), (Platt, Rosenow, and Flanagan 2012)
[59] (CAG Consultants 2010a)
[60] (EST, CSE, and NEA 2005)
[61] (GLA 2012)

- proportion of houses as opposed to flats, enabling greater potential energy efficiency savings and reducing complexities in agreeing works
- consideration of where projects have or have not been carried out previously – either meaning that the potential of the area for works is reduced, or that there is a good level of community engagement and therefore completing remaining works would be easier
- fuel poverty considerations, especially where these align with energy efficiency objectives.

Each borough developed their own criteria to select an initial target area and, if required, an expansion area. The most common criteria for determining the location of the RE:NEW zones are:

- high levels of fuel poverty
- high levels of domestic energy use
- areas that have not previously benefitted from, or had limited exposure to, domestic energy efficiency campaigns, but have high potential for the installation of domestic retrofit measures
- high proportion of properties with low Standard Assessment Procedure ratings
- predominantly private tenure property (based on the assumption that this would lead to an increase in heating and insulation referrals)
- council priority private sector improvement area.

A problem was that the selection of areas was often based on fuel poverty prevalence (where there are issues about data reliability) or council priorities, rather than by energy efficiency criteria alone. This was a result of conflict between the key objectives of RE:NEW (energy efficiency) and those of the council (fuel poverty). This may have meant that the areas selected included a high proportion of solid-wall properties, one of the main factors in fuel poverty. These properties could not be treated through the rollout phase of RE:NEW due to limits on the funding available for further measures. Coherence in objectives, and matching of objectives and target area selection, are important lessons for future work.

Recommendations based on RE:NEW include:

- to employ a more collaborative process of ward selection between boroughs and delivery agents, based upon data as well as knowledge and experience of the areas
- to use additional criteria to inform ward selection (that is, identification of established community groups, registered social landlords (RSLs) and community centres).

However, it should be noted that wards will not necessarily be the most appropriate unit for schemes.

4.3   Leading areas or areas of highest need?

Selection of a leading-edge region allows a demonstration to others of what can potentially be achieved. Inactive regions will not possess the necessary institutional conditions and experiences to take full advantage of a case study. On the other hand, actions may be most desirable in laggard regions, and 'leapfrogging' by learning from the experiences and mistakes of leading regions should be possible. It is also notable that there is a risk that competitive approaches based on 'leading' regions can create a culture of competition rather than positive cooperation between regions.[62] Few sources discuss this issue, but it is a very important question for any future area-based scheme, so will be a key concern for this research.

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[62] (Sustainable Development Commission 2002)

4.4   Area-based or community-based?

A review of the market for CESP-style partnerships by ACE and CSE in 2008 developed a high-level typology for describing different community partnership projects,[63] which may constitute a useful way of thinking about how existing programmes, particularly the ECO, could be seen as interacting with new ones, and with locally led delivery. These are:

- area-based with supplier involvement
- community-based, led by suppliers
- community-based without supplier involvement.

The review found that the distinction between area-based (strictly geographically based, such as a cluster of streets) and community-based (based on common interests and goals) was important – with the latter offering a potentially broader range of activities to engage with households, and perhaps more likely to bring added value in terms of other community benefits. This was the only source that discussed this distinction; however, many other sources discuss the issue of rigid versus flexible boundaries (see section 4.7) and the role of community participation.

4.5   All households or only eligible households?

As noted at the start of section 4, an important issue is whether all households or just an eligible group are targeted. In some area-based schemes, such as 'Warm Zones', all households in a defined area are systematically tackled at the same time. The schemes do not wait for households to self-refer, but proactively visit every household in a known high-risk area.[64] For example, the Kirklees Borough Council Warm Zone simply encompassed all houses in the borough (with the exception of some remoter rural properties).[65]

However, some other schemes do not give equal eligibility or equal targeting to all residents. The CESP market review found that 19 (42 per cent) of the 45 community-based schemes reviewed targeted all households within their chosen geographical area. 24 per cent of schemes targeted private housing (focusing mainly on owner-occupiers), while 22 per cent went beyond housing to target SMEs and/or schools. About half of the schemes focused specifically on fuel-poor and vulnerable households within their chosen sectors, with various proxies used.[66]

An example of a mix of offers for different eligible groups is provided by Cosy Devon, a partnership between the ten local authorities across Devon, Devon County Council, Energy Action Devon and E.ON. This scheme was reviewed as part of a Consumer Focus report in 2012. Insulation was free for people over 70 or on income-related benefits (that is, those in the CERT Priority Group). It was free or heavily discounted for those the project defined as vulnerable to fuel poverty (with a household income below £18,000 and, in some local authority areas, those over 60). The remaining 'able to pay' customers could also receive discounted measures, although the level varied between local authorities.[67] Many other schemes adopt a similar mixed-eligibility approach.

Since schemes can involve targeting at two levels (area and household), we can classify the following types of scheme design:

- Universal eligibility within a target area (such as ECO CSCO)

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[63] (ACE and CSE 2008)
[64] (Sefton 2004) in (EST, CSE, and NEA 2005)
[65] (Liddell and Lagdon 2013)
[66] (ACE and CSE 2008)
[67] (Donaldson 2012)

- Restricted eligibility within a target area (such as IPPR's proposed LILEA approach)
- Restricted eligibility with no area-based limits (such as ECO Affordable Warmth)

A fourth category, 'Universal eligibility with no area-based limits', would imply everyone could benefit, so would perhaps include market-based schemes such as the Green Deal (to the extent that this is universally available).

IPPR proposes that areas are first prioritised according to need, and then door-to-door assessment is used to establish eligibility within those areas.

4.6   Size of area

A difficulty with area-based approaches has been what size areas to target. In England, areas for energy schemes are usually as large as 5,000 households. However, (Liddell and Lagdon 2013) note that in Northern Ireland this would generate much too large a cluster of houses, inevitably capturing a wide range of levels of fuel poverty. The CESP market review found that the most common geographical scale at which 45 individual community schemes (that is, those which were not part of a national network of related schemes) were found to be operating was at the district or community/village levels.[68] The housing retrofit programmes included in a pilot scheme called 'Low-Carbon Frameworks' were all multi-authority, carried out across two city regions and one multi-borough area of London. The review of this pilot for DECC in 2011 suggests that single authorities may not provide a sufficiently large market (or have the resources) to deliver housing retrofit programmes efficiently and effectively.[69]

A challenge is that smaller schemes may not reach the scale at which the best economic offers can be achieved.

Another challenge is data; for example, the Northern Ireland House Condition Survey (from which fuel poverty prevalence is officially estimated) relies on sample sizes, which are too small to assist in targeting at a small-area level.[70] This is also a problem with the other national house condition surveys. The EST in Scotland's Home Analytics software is one example of a more accurate approach, as noted in Section 4.1, and is used by the Scottish Government and local authorities for planning their area-based schemes. Data is a major issue for area-based schemes, and is discussed further in section 4.8.

4.7   Drawing boundaries and extending eligibility

Any area-based scheme needs to define its boundaries. DECC's CESP report states that key to achieving an intensive area-based approach was the use of LSOA and Data Zone boundaries to determine where CESP activity took place.[71] However, there were a number of issues with this:

- LSOA and Data Zone boundaries did not naturally align with community boundaries – in some cases, for example, they had cut through housing estates, rendering one half eligible, the other half not.
- The rigid definition of CESP boundaries – delivery partners would have preferred greater flexibility in the definition of CESP areas, to avoid anomalies whereby boundaries could split streets and even semi-detached buildings, and to enable schemes to be designed around locally relevant community boundaries such as housing estates.
- Qualifying for the density area uplift could be a 'postcode lottery' – if social landlords' homes were spread across several LSOAs, for example, they might not receive the density bonus,

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[68] (ACE and CSE 2008)
[69] (CAG Consultants, Impetus Consulting, and Wade 2011)
[70] (Liddell and Lagdon 2013)
[71] (CAG Consultants, Ipsos MORI, and BRE 2011)

whereas a social landlord with a concentration of stock in the right LSOA would benefit financially from the density uplift.

Suggestions include allowing up to 10 per cent of properties in the scheme to come from neighbouring eligible areas, or allowing local authorities/RSLs to self-certify eligible areas through demonstrating that a certain percentage of households are housing benefit claimants.

The lack of flexibility to allow extension of CESP schemes to adjacent areas led to missed opportunities and prevented delivery of scheme benefits on a wider scale. In the Stafford CESP scheme, it was challenging to work out which properties within the borough (and social housing stock) were included within the CESP area. This uncertainty often required organisations to interpret national guidelines and make assumptions, either informed or arbitrary, which were then cross-referenced with existing spending plans of the council or housing provider in order to decide which properties were eligible for spending on refurbishment and repairs. This was also true of other CESP schemes.[72]

In contrast, CESP's successor under the ECO, CSCO, extended the 10 per cent most deprived LSOA threshold to 15 per cent (now extended to 25 per cent), and is allowing up to 20 per cent of the households helped under the obligation to come from adjacent LSOAs. The experience of ECO and CESP suggests long set-up times may be required, especially if supplier obligations are the chosen delivery method.

Also in contrast, under the RE:NEW scheme, some boroughs extended delivery outside of the chosen areas. The rationale for this has differed across the delivery agents. For example, Brent, Harrow and Hillingdon had initially selected single wards, which proved difficult to generate the appropriate number of visits in the short timeframe given. The designated delivery areas were subsequently extended by the managing agent, Groundwork, in each of these boroughs. West London allowed a maximum of 10 per cent of the visit target per borough for 'out of area' visits. This was particularly useful in being able to offer home visits to out-of-area residents attending in-area events. Also, community contacts were able to refer residents who would particularly benefit from the service. Groundwork was cautious not to exceed this allocation, which would then lower the in-area penetration rate.[73]

Where boroughs chose to expand beyond the target ward, these expansion areas were principally selected using the following criteria:

- Adjacent ward
- Similar ward profile
- High levels of fuel poverty
- High levels of energy consumption
- Similar characteristics to target ward

Recommendations included the following points:

- Identify expansion areas in advance of programme commencement or at an early stage in response to data provided by the delivery agents.
- Require early reports on barriers to delivery in a ward with data to back up these conclusions.

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[72] (Bradley and Smith 2012)
[73] (GLA 2012)

Instead of extending areas, another approach is to target a small area at a time, for example, to move from ward to ward, as in the case of Sheffield City Council Free Insulation scheme (reported on by Donaldson, for Consumer Focus).[74]

Non-energy schemes also offer lessons regarding drawing boundaries. One such scheme is Communities that Care, an early intervention programme aimed at reducing social problems among young people. For this scheme, an interim evaluation for the Joseph Rowntree Foundation (JRF) in 2001 found that it was a struggle to get involvement from other local organisations such as Health Action Zones or Educational Action Zones, perhaps due to the scheme boundaries not matching up with the boundaries of these projects.[75] Scheme designers need to carefully consider where the boundary of a given 'area' is drawn with regard to engaging mainstream delivery agencies.[76] Including urban and rural areas with different profiles of inhabitants can be problematic.[77] Furthermore, divisions between communities can cause competition for resources and envy if one community is allocated something that another is not. Area-based schemes may work best in united communities and where there is no conflict between adjoining communities.[78] Selecting an area that is recognised as a distinct community, with its own sense of identity and clear boundaries, may increase the success of mobilisation.[79]

4.8   Data and methods for targeting

Inclusion and exclusion errors

The following quote is from (Liddell and Lagdon 2013):

> *Beckerman (1979) outlines two traditional principles of expenditure efficiency: exclusion and inclusion errors. Both of these combine to impair the effectiveness of fuel poverty policy: (1) exclusion errors, where fuel-poor households are wrongly not assisted (resulting in poor coverage) and/or (2) inclusion errors, where non-fuel-poor households are wrongly awarded support (leakage) (Sefton, 2002). A third limitation of most current policy is 'self-selection'. To avail of assistance, households must refer themselves to schemes. This means that not everyone who is eligible will know about it, or will choose to apply for support (Armstrong et al., 2006; NAO, 2009). Given their diversity in terms of their individual characteristics, needs, energy preferences and behaviours, households may not realize that they are fuel poor and cannot be relied upon to refer themselves (Waddams Price et al., 2007; Dubois, 2012). They miss out on crucial support to which they are entitled.*

In contrast, an area-based approach circumvents the need to identify individual households as vulnerable, which has always risked stigmatizing people and may have prevented those in most need coming forward for assistance.

It is notable that these inclusion and exclusion errors work at both the area and individual scale. First, it is important to identify the appropriate areas – to include those areas judged to be in need – and exclude the others. The next issue is how to ensure individual households judged to be in need within the area are targeted, and others are not targeted (if such a selection process is used). It is also important to note that, in terms of addressing fuel poverty, exclusion errors are the most significant problem, because they represent people in need of assistance who are failed by the scheme. Inclusion errors, meanwhile, will make the scheme less cost effective in achieving its goals, and may also,

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[74] (Donaldson 2012)
[75] (France and Crow 2001)
[76] (Batty et al. 2010)
[77] (Humphries et al. 2012)
[78] (Adamson 2010)
[79] (France and Crow 2001)

indirectly, deprive other potential recipients of support that they need. Another issue with the statement that 'non-fuel-poor households are wrongly awarded support' is that some questions remain regarding the adequacy of the current definition of fuel poverty in England. Many households not defined as low-income, high-cost (LIHC) fuel-poor may in fact be living in cold homes or struggling with energy bills, and might benefit from assistance, including low-cost energy efficiency measures.[80]

Area-based schemes must often balance coverage and eligibility. This was one reason for the development of the Scottish Government's Energy Assistance Scheme (EAS), which runs alongside Affordable Warmth (AW) and area-based schemes in order to 'mop up' households missed or provide a route to installation for those most in need.

Area-based approaches inevitably result in fuel-poor households located in low-risk areas not receiving assistance in the medium term. They may also result in relatively affluent households receiving support.[81] DECC's final CERT and CESP evaluation commented that area-based approaches involved a trade-off between the cost-effectiveness of tackling a whole street, and the inclusion of many households who may not be fuel-poor (and who may have been able to make a financial contribution to the costs of the measures).[82] However, there are administrative costs involved with means testing, and universal schemes are cheaper to administer.

Phasing in an area-based approach until it reaches a point where it has parity with the current implementation programme is one option. A two-track system of targeting, with individual- and area-based approaches operating in parallel could maximise cost-effectiveness whilst protecting those most vulnerable to fuel poverty and its effects, wherever they are located in the region.[83] Scotland has such a system, although there are currently some issues around its fit with ECO, which currently has different Affordable Warmth criteria to those in the Scottish scheme.

Of course, if an area-based scheme was designed to roll out to all areas (as opposed to just certain areas, as in these case studies), then the issue is not who to target, but who to target first. To address the problem of people in need missing out because their area is not (yet) targeted, referral systems could play a part, including health referral processes such as the new NICE guidance around cold homes and health. Providing alternative support for areas that are not targeted, or not targeted during a certain period, is an important issue for any area-based scheme.

If area-based approaches are designed to roll out to all areas (perhaps with the exclusion of new build), the problem becomes more of 'when' rather than 'who'. The latter is addressed by putting in place a parallel non-area scheme, involving extensive referral systems, as with the EAS in Scotland.

Access to data

Good data is vital to area-based approaches, as virtually all sources make clear. One problem for many schemes is that there is not currently a comprehensive national database of individual property characteristics, and the best available resource, the EPC register, is too expensive for local authorities to purchase.[84] For example, the Low-Carbon Frameworks pilots had data collection and use issues, because of a lack of unified data on the housing stock.[85] However, proxy data sets can be used relatively

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[80] (Guertler et al. 2012)
[81] (Platt, Rosenow, and Flanagan 2012)
[82] (Ipsos MORI et al. 2014)
[83] (Liddell and Lagdon 2013)
[84] The EST in Scotland's Home Analytics software offers progress on this – notably, the EST owns the EPC database in Scotland and uses this for its tool.
[85] (CAG Consultants, Impetus Consulting, and Wade 2011)

effectively and aggregated to neighbourhood level. These could be cross-referenced with income data to identify target areas for a local-area scheme, at a geographic scale of street-level or above.[86]

Another problem is that data protection issues can inhibit the exchange of household level information between different organisations (for example, information about take-up of energy efficiency measures at household level), which can make it difficult for some community-based schemes to target their work effectively, monitor referral outcomes and provide follow-up support to consumers.[87] Locally held datasets can be useful in helping to identify target households for a scheme, but there are issue with different council departments sharing data – for example, environmental health officers can access benefits data for enforcement action, but not to help identify households that could benefit from non-mandatory action.[88]

Local stock data

There are various approaches to compiling local stock data. In the past, local authorities were required to carry out private sector house condition surveys. However, there were large variations in the quality of these. There have been efforts to introduce high-quality national standards for social housing stock data. In 2000, the Department of the Environment, Transport and the Regions published guidance on collecting, managing and using housing stock information. A new annex to this guidance was published in 2002, entitled 'Decent homes: Capturing the standard at local level'. More recently, the development of the HEED, the NEED framework and the growing number of homes with EPC ratings offers new opportunities for the development of targeting tools. A key issue is access (including affordability of access) to housing stock data. National government may have a key role to play in facilitating access to base-level data on local housing, which local agencies can then build upon with local knowledge.

A common theme of many scheme reviews was the need for better access to benefits data. For example, in the Cosy Devon scheme, targeting the CERT Super Priority Group (those on certain qualifying benefits, including households in receipt of child tax credits with an income under £16,190) was made more difficult by not being able to access certain benefit information, such as pension credit, due to data protection regulations.[89, 90]

Spatial disaggregation is also important, especially for technologies such as Combined Heat and Power.[91] In small area-schemes, a lack of spatial aggregation can mean that discrepancies are not smoothed out (as they would be over larger areas), so it is very important that local authorities develop and maintain high-quality descriptions of their building stocks. A piece of academic research conducted in 2012 on the South Heaton area (in the Newcastle Warm Zone) used data to demonstrate the variations in renewable energy, combined heat and power, and efficiency installations on a zone-by-zone basis, enabling the council to glimpse the unique character of each zone and target appropriate intervention measures.[92]

One advanced approach to data and targeting is demonstrated by Newark and Sherwood Warmstreets – a partnership between Newark and Sherwood District Council, Apex Carbon Solutions Ltd and British Gas.[93] The district council had originally built a database of properties and insulation in the housing

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[86] (Platt, Rosenow, and Flanagan 2012)
[87] (CAG Consultants 2010a)
[88] (SE2 2013)
[89] (Donaldson 2012)
[90] A Citizens Advice report investigating data for targeting fuel poverty and examining related legal issues is due to be published later this year.
[91] (Keirstead and Calderon 2012)
[92] *Ibid.*
[93] (Donaldson 2012)

stock. This database was then combined with their housing and council tax benefits information to identify properties where residents were likely to be eligible for free loft and/or cavity wall insulation. Then, to increase its understanding of the resident, the district council matched its property database with MOSAIC, a segmentation database that allocates individuals and households into one of 15 groups and 66 detailed types. It uses demographic and lifestyle data to predict their likes and dislikes, communication preferences, attitudes and behaviours. A number of MOSAIC factors were felt to influence the likelihood of a surveyor's visit being successful, including a preference for face-to-face channels of communication, 'green' attitudes and likely tenure.

As a result of this analysis, six subgroups were identified and targeted:

- People on benefits or over the age of 70 living in their own homes or rented accommodation, who have no interest in green issues
- People on benefits or over the age of 70 living in their own homes or rented accommodation, who are interested in green issues
- Home owners that are not on benefits and are not interested in green issues
- Home owners that are not on benefits and are interested in green issues
- People in private rented accommodation and not on benefits, who are interested in green issues
- People in private rented accommodation and not on benefits, who are not interested in green issues

Letters were then tailored to each audience. Surveyors were also given this information to help them understand the resident's priorities and situation when making their visits.[94]

Another exemplar is the Ulster University Area-based Approach (UUABA) scheme, in which data was a key concern. In this collaboration with 19 local councils, an advanced area-based targeting mechanism drew on Geographical Information System (GIS) mapping tools, complex combinations of demographic data and local district/city/borough council knowledge. As a result, whilst the Northern Ireland regional fuel poverty rate at the time was 42 per cent, the targeting tool identified areas in Northern Ireland that averaged 78 per cent fuel poverty prevalence. It should be noted that the fuel poverty rate in England is much lower than this, so it is unlikely that concentrations at this level will exist in England.

The use of the LIHC indicator may also militate against high area concentrations. However, Scotland's figures are closer to Northern Ireland, possibly due to similarities of the climate and off-gas grid properties, suggesting that it may be possible to identify areas with similarly high fuel poverty concentrations. The targeting system was also compared with self-referral into the Warm Homes scheme via targeted leafleting. The area-based tool was found to be considerably more accurate, especially in reducing the number of people identified for help who were not fuel-poor. The Ulster University researchers argue that this targeting system is currently the most accurate area-based tool available in the UK.[95]

4.9 Conclusions and guidelines

This section has highlighted the many challenges of targeting the fuel-poor, including using proxies such as the IMD or the number of people claiming benefits. It has reviewed other criteria that have been used in past schemes, including the efficiency of existing buildings, and addressed some key questions around which areas are targeted, which households are targeted, and how boundaries are drawn. It has

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[94] (Donaldson 2012)
[95] (Liddell and Lagdon 2013)

also shown that finding high-quality, available data is a key challenge for most schemes. The review recommends the following guidelines:

- Make sure there is good-quality local stock data. In Scotland, the EST provides local authorities with detailed fuel poverty and stock data, including EPCs, free of charge; in England and Wales, local authorities have to pay for EPC data.
- Develop criteria relevant to energy efficiency and fuel poverty: the IMD is ill-suited to this task.
- Be flexible in defining area boundaries.
- Consider introducing separate criteria for urban and rural areas to encourage rural action.
- Consider whether the scheme should address all areas within a locality in turn, or adopt a twin-track approach of establishing both area-based delivery and non-area referral schemes.
- Consider how to address resentment from households living in homes just outside eligible areas.
- Schemes may be more effective and influential among policy makers and consumers if they target wider issues of poverty at the same time as targeting fuel poverty.

5 Community engagement, and promoting and sustaining take-up

This section considers how locally led schemes address the challenge of engaging with their target communities, promoting take-up and maintaining it over time. It looks at engagement strategies, community events, overcoming stigma, providing advice and assessments, information, reaching all tenure and property types, and the performance of past schemes in terms of take-up. The review recommends that flexibility in implementation and variety in the communication methods used is key to engagement and promoting take-up. This activity – a perceived central advantage to local delivery – requires a wide range of partners and capabilities for engaging successfully with the target community and/or area. There is also an issue of co-ordinating messages from different sources. Our proposals will need to consider how they support the varied required capabilities.

5.1 Engagement strategies

Engagement is a major issue for virtually all schemes reviewed. The GLA's 'RE:NEW Good Practice Manual' provided guidance on the effective use of a multi-staged engagement process including direct mail, presentations to community organisations, door-to-door engagement, local press, a launch event, information on the council website, leafleting at local transport hubs or other venues, posters at bus stops in the area and semi-permanent community hubs. Door-knocking was the most effective marketing method, followed by direct mail. The percentage contributions of different acquisition methods across all 32 London boroughs to the overall tally of referrals are outlined below:[96]

- Door-knocking: 73.9 per cent
- Initial letter drop: 16.5 per cent
- Community engagement: 1.7 per cent
- Customer recommendation: 1.4 per cent
- Booked through other means (principally outbound calling): 2.2 per cent

Some of the delivery agents found promotion of the scheme difficult due to the constraints of working within a target area. For example, East London considered carrying out promotions to schools within local areas but it would have been difficult to design a campaign limited to the target area. Others such as Lewisham used schools to promote RE:NEW but had to manage expectations beyond those living in the target areas. This could be seen as an argument for larger areas – to be balanced against the arguments for more effective targeting using small areas, as described above. In balancing these, it should be considered that the rationale for high-resolution targeting is diminished if all areas will eventually be covered.

Recommendations include the following:

- Consider a regional-scale marketing campaign as a way to warm up residents.
- Pre-scheme-launch events to promote the project and brands alongside local community groups and organisations could improve awareness of the programme.
- Consider offers available for those outside of the target areas.
- Targeted 'last-chance letters' are a good opportunity to generate additional home visits as a delivery agent comes to the end of the door-knocking phase for a ward.

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[96] (GLA 2012)

- Employ assessors who are able to speak several different languages and produce literature in a range of languages.
- Ensure an out-of-hours service is in operation to maximise the effectiveness of door-knocking; operating an out-of-hours service for both door-knocking and for the phone service will improve home visit rates.
- Identify established community groups and community centres able to promote and support RE:NEW – the identification of these groups could be used as part of the criteria for area selection or as an activity conducted prior to finalising area selection.
- Partnerships with stakeholders, particularly registered providers, and resident and community groups should be formed pre-rollout to maximise effectiveness.

There are particular issues around the controversial subject of door-knocking, which some local authorities wish to avoid altogether. To address its poor image, one solution is to ensure it is carried out by independent organisations that do not receive a commercial benefit from it – often not-for-profit organisations. These are more likely to be trusted by consumers. Schemes can also consider alternatives that can be used, such as the use of trigger points like a home move or renovation. More generally, an issue for any scheme (area-based or not) is how to ensure quality assurance systems are effective, so that consumers have trust in the agents they encounter.

Similarly, methods used by the CESP delivery partners to engage householders in social housing have included letters, open events, press releases and articles, newsletters, websites, leaflets and pilot houses. CESP stakeholders said that engaging private households had been a particular challenge.[97] The Walsall CESP project was launched with high-profile engagement strategies, such as MP and ministerial visits, press photos and the head of British Gas visiting homes. The evaluation of this scheme found that high-profile engagement captures residents' attention and spreads awareness of the scheme, but there is also a need to reinforce this with door-to-door marketing and advice provision by a known and trusted agent. Opportunities to develop links with local schools and colleges in order to educate and raise awareness of environmental issues can be considered a crucial aspect of area-based schemes.[98]

In 2009, ten London boroughs won funding to develop 'low-carbon zones' and pioneer energy efficiency and carbon reduction measures. Internal reports on the Muswell Hill and Richmond Low-Carbon Zones projects suggest that the use of volunteers to promote the scheme proved to be an effective way of encouraging community ownership of the project, while also keeping communication costs down. Thermal imaging was reportedly very effective in engaging households. Richmond also found that more households per street joined up where there was a Street Champion present and talking to their neighbours.[99] A project called Gloucestershire Warm and Well recruited directly through outreach events, such as attending flu jab clinics.[100]

The Warm Zones evaluation states that personal contact, used in the case of most Zone contact, is both more memorable and important in helping to create the awareness that work can be done and the motivation to 'have it done'. The community involvement in Warm Zones broke down 'barriers of fear' and increased householders' trust that the scheme was designed to benefit them and was not just for some form of commercial gain. Engagement with hard-to-reach consumers, such as those speaking a foreign language or the single and elderly, was improved due to local knowledge in the Warm Zones. Area-based schemes can identify 'local movers and shakers' and mobilise them to help promote the

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[97] (CAG Consultants, Ipsos MORI, and BRE 2011)
[98] (Bradley and Smith 2012)
[99] (Haringey Council 2011), (London Borough of Richmond upon Thames 2014)
[100] (Donaldson 2012)

scheme. However, the participatory nature of the scheme made everything take longer.[101] In the area of regeneration, some projects within New Deal Communities (a programme of neighbourhood schemes aimed at improving deprived areas, launched in 1998) found that local interest in the project could tail off over time, according to the evaluation produced for the Department for Communities and Local Government (DCLG).[102] This means that engagement should be seen as an ongoing challenge, not a one-off task. It is also valuable to note that, in Scotland, almost all aspects of energy efficiency retrofit (information, advice, eligibility, booking work and so on) are channelled through Home Energy Scotland. This approach may help to deliver a consistent and accurate message.

5.2   Impact of community events

Engagement can include a mixture of formal consultations and informal events, such as open meetings, and the use of community buildings. CSE suggests scheme workers should explain the event's aim and partners to residents, to avoid misinterpretation such as an assumption they are going to be sold to.[103]

In a 2013 academic study of energy and communities, a middle-income village with an active community environmental group was matched with a nearby control site with no equivalent community activity. The group worked with participants in a number of ways, including through householder events. Initial results suggest that holding one community event may have reduced residents' power consumption in the short term, probably through changes to lighting and appliance use: 'Mean power use in the treatment group during the 4 weeks after the event was an estimated 27W lower than it would have been without attending the event'. This kind of community engagement could be built into the Green Deal or similar programmes if suppliers were required to partner with a local community group, or could become part of the broader policy toolkit of government departments, local authorities and other relevant agencies. Such interventions would be relatively inexpensive.[104]

5.3   Overcoming stigma and promoting positive norms

Universal versus means-tested provision is a key challenge for programmes in many policy areas. Means-tested approaches intend support to be targeted to those who are most in need, and ensure the available resources produce the greatest possible improvement. Theoretically, by maximising additionality – not helping those who would have made changes without any help – this promotes cost efficiency. However, universal approaches are much easier to administer, with no eligibility criteria, search costs, data collection and checks. They are also often described as reducing the stigma associated with receiving support. However, providing universal measures is very costly. A key tension is that what is good for consumer engagement may not be best for cost efficiency. This is a difficult balance, though, as consumer engagement is also potentially costly.

Area-based schemes vary in the extent of universality: some provide measures to all households in areas, regardless of individual circumstances, others apply a means test after assessment, while others provide cheaper measures free to all households but apply a means test to more expensive measures. Individual households have sometimes been reluctant to take up measures under existing targets, specifically under CERT's Super Priority Group, because they have felt stigmatised – IPPR suggests that this concern is likely to be assuaged with a universal area-based approach because all households in an area would receive support. The Warm Zones evaluation also referred to the value of promoting a 'something for everyone' message, even if levels of client contribution varied. Research has shown that

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[101] (EST, CSE, and NEA 2005)
[102] (Batty et al. 2010)
[103] (CSE 2013)
[104] (Bardsley et al. 2013)

households are more likely to install measures like solid wall insulation if a neighbour has installed it first, so the approach might make measures seem normal and desirable, rather than something unusual or stigmatising, and so increase levels of take-up.[105] This effect, of visibility and word-of-mouth, was reinforced by several other studies.

5.4   Advice and assessments

Schemes can provide not only measures but also advice. In the Walsall CESP scheme, some of the more elderly residents said they found booklets about their new measures confusing and had to rely on family members to make any adjustments to heating controls or timers. Some tenants also highlighted that, because they were at work at the scheduled delivery time for advice, they were only given booklets and not shown how to work the system. This highlights the importance of comprehensive and universal advice, not only to ensure the householder gets the most out of the measures installed, but also to underline the benefits the scheme has brought. If householders are confident that they have been given the opportunity to ask questions and learn how to optimise the use of the measures installed, confidence in the programme is greatly increased. Home energy advice packages – where residents are shown how to use their new installations to maximise the energy saving – are an important tool for this.[106] Repeated and ongoing advice is important, particularly for heating controls and new technologies such as heat pumps.

The Warm Zones evaluation found it is best to use a combination of hard and soft delivery measures. Indeed, benefits advice was much more cost effective than installation of hard measures, at an estimated £250 per household removed from fuel poverty (due to average size of extra benefits claimed). However, far fewer fuel-poor households received additional benefits (perhaps 5 per cent of those in fuel poverty) than had energy efficiency works carried out (over 80 per cent of those in fuel poverty).[107] The Kirklees Warm Zone facilitated four agencies (two Council departments, pension services and Citizens Advice) to work together to provide benefits advice[108].

Many schemes offered some kind of assessment. The Warm Zones evaluation states that, in Sandwell, installers did assessments for free on the grounds that they would get work leads in return. This was not ideal, as assessors were thinking about gaining referrals for jobs rather than getting accurate assessment data. The conclusion here is that a zone model is most successful when allocation of resources is done according to assessment results,[109] and also when carried out by independent assessors not compromised by commercial incentives.

5.5   Information sharing

One component of a future area-based approach could be an information-sharing process or tool. Energy Action Scotland supports a tool called 'A Local Information System for Scotland' (ALISS), to make information about local sources of support more accessible. ALISS is an index of local sources of support, providing lists of links to resources, and a tool to facilitate ownership, collaborative maintenance and sharing of information within communities. Lessons can be drawn from this for future area-based approaches. ALISS claims several advantages over more traditional models:[110]

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[105] (Platt, Rosenow, and Flanagan 2012)
[106] (Bradley and Smith 2012)
[107] (EST, CSE, and NEA 2005)
[108] (Donaldson 2012)
[109] (EST, CSE, and NEA 2005)
[110] (Health and Social Care ALLIANCE Scotland 2014)

- All data is richer, up to date and locally relevant because it is gathered and maintained by communities. There is less duplication and greater efficiency in the maintenance of data.
- Data is open and shareable, making it available to support research and planning activities as well as the general public. Open data reduces costs such as licensing and avoids contract 'lock-in', thereby allowing the resource to develop into new areas, such as schools or volunteering.
- Open data facilitates improvements through peer reviewing and allows for easy re-use and shared learning. Through a high level of flexibility and responsiveness, ALISS incorporates these changes, leading to more rapid development with output that is closely aligned to user requirements.
- Greater quantity of varied data that can be viewed in one central location reduces the burden on one organisation while supporting partnership/collaborative working and organisational diversity.
- By making data available through multiple channels, such as online, literature, advice centres and so on, ALISS facilitates greater access and participation according to individual needs and habits.
- Using a person-centric approach creates a high level of sustained engagement and participation, particularly for more excluded groups.

5.6   Reaching all tenure and property types

Many sources suggest that engagement needs to be inclusive. A 2011 review of Communities First (a regeneration programme in Wales) found that, in some instances, these area-based projects became 'cliquey' and did not succeed in involving the whole community.[111] In the energy field, a key form of inclusion concerns tenure and property types. Bradley and Smith's research identified the limited success of the 'street-by-street' approach, which CESP aimed to deliver. The visual impact of some houses (mainly owner-occupiers) not receiving the external wall insulation was widely considered a disappointment, especially in Stafford.

A wider level of take-up was achieved in Walsall through a better-planned financial offer to the private residents. However, initial confusion over quotes meant some owner-occupier residents were very negative about the whole scheme and decided not to have any of the work carried out. This shows the importance of engaging with owner-occupiers, who would not be receiving the measures free of charge through the housing association. The owner-occupier offer and the responsibility for this group must be established and communicated at the beginning of the project. This will aid the take-up of the scheme across tenure but is also a key element in enhancing community cohesion and achieving a harmonised streetscape.[112].

Interestingly, the RE:NEW projects achieved greatest take-up among owner-occupiers. This could be due to the likelihood that the majority of local authorities and other social housing providers had already installed the further measures funded through schemes such as CERT, as well as the complications for obtaining approval and building the installation of measures into planned work programmes. For the private rented sector, landlord permission is required for installation of the further measures, which complicates and delays the process.[113] In areas with high numbers of private rented homes, particular efforts are required to engage with private landlords, for example, through landlord forums, using registers of landlords, and provision of advice and information to landlords.

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[111] (AMION Consulting Limited and Old Bell 3 Limited 2011)
[112] (Bradley and Smith 2012)
[113] (GLA 2012)

Research conducted for Consumer Focus Scotland in 2010 found that flats present difficulties for area-based schemes. The installation of measures often requires securing the agreement of numerous flat owners who may be eligible for different packages of support and, therefore, negotiation between different energy suppliers. A number of urban-based projects have sought to address this problem, but all report that it is complex and labour intensive. Work at a national level to improve the coordination of different support packages and suppliers could help to address this issue. Involving landlords can also be tricky.[114]

5.7 Impacts on take-up

A report by Changeworks for WWF Scotland found that take-up in area-based schemes in Scotland was below 10 per cent.[115] This compares with 13.5 per cent in the English pilot Warm Zones – although this varied considerably between the different zones – but higher rates exist where free measures are provided (for example, Kirklees achieved 38 per cent).[116] The Warm Zones evaluation states that 85 per cent of those who had works carried out on their homes said that this would not have happened without the Warm Zones' intervention. The pilot Warm Zones removed 7 per cent (on average) of households from fuel poverty, although Stockton achieved 23 per cent. Even the average represented many more fuel-poor and near fuel-poor households than were normally reached by Warm Front or EEC.

The academic research on impacts of a community energy event shows 'evidence of a relative reduction of power consumption, at the 10 per cent significance level, which appears to be sustained over three months'[117] following the event.[118] Mean power use in the treatment group during the four weeks after the event was an estimated 27W lower than it would have been without attending the event. This suggests 'take-up' of behavioural measures was increased by the intervention.

In Liddell and Lagdon's study of Ulster University's area-based targeting approach, the following take-up outcomes were observed in a survey of participating households:[119]

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[114] (CAG Consultants 2010a)

[115] (Changeworks 2010)
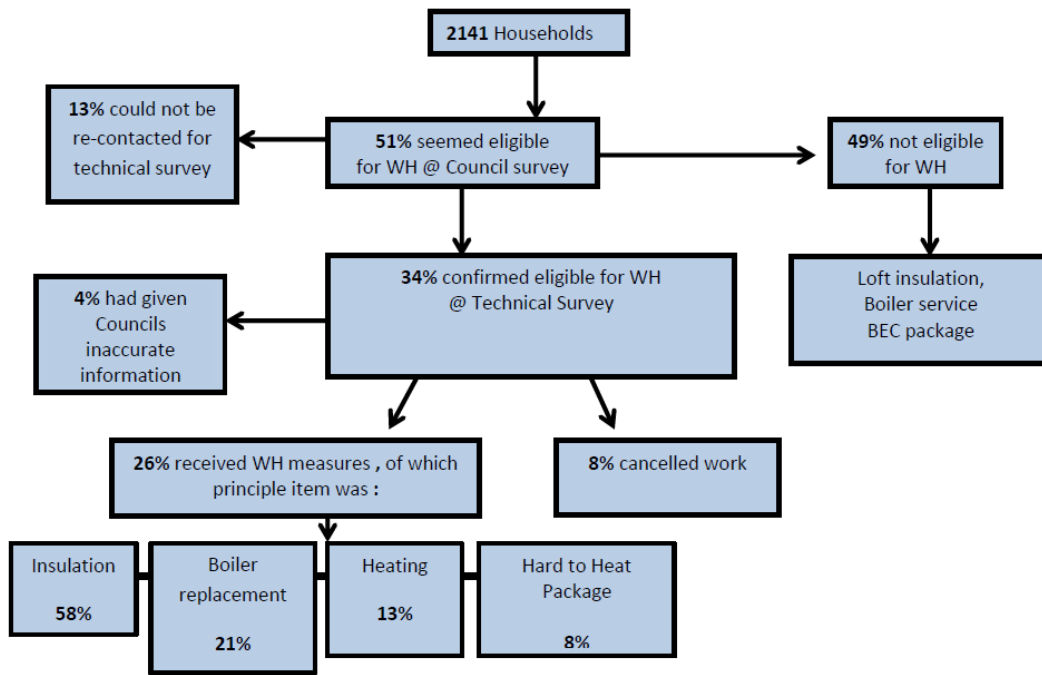
[116] (Owen 2011)

[117] NB This is more commonly referred to as the 90 per cent significance level.

[118] (Bardsley et al. 2013) (p10)

[119] (Liddell and Lagdon 2013); please note that all percentages are as a proportion of the original 2,141 households, apart from the breakdown of measures in the last row of boxes, which relates to the 26 per cent of 2,141 households receiving measures.

Notably, 26 per cent of the households received measures, and only 8 per cent dropped out despite being eligible.

DECC's review found that high visibility of CESP measures, particularly external wall insulation, helped strengthen the success of area-based marketing for CESP schemes. Delivery of CESP measures to social housing often stimulated interest amongst private households in the area, as a result of the aesthetic improvements as well as word-of-mouth about the physical benefits of the measures. Private householders on the fringe of previous big social schemes were a good target audience, because they already understood and accepted the product (such as external wall insulation) but had not previously been able to benefit from it. Area-based marketing resulted in two key peer-to-peer marketing routes: word-of-mouth and a tangible demonstration of the benefits. Word-of-mouth marketing is often a natural consequence of any intensive area-based action and can help to increase take-up rates. Basing a scheme in an area enables local marketing campaigns to be conducted, which can also increase take-up.[120]

The CESP market review found that referral networks were a common feature of the 45 schemes assessed, suggesting that increased take-up is a key aim of all schemes. But the majority of schemes were quite small-scale in terms of their planned reach, with most schemes targeting in the range of 101-500 households per year.[121]

The DECC Community Energy Outreach Programme (CEEOP) was a pilot initiative between December 2012 and March 2013, designed to build a better understanding of the effectiveness of community engagement as an approach to increasing household awareness of, demand for, and installation of energy efficiency measures. It was evaluated for DECC in 2014. Across all but one of the CEEOP pilots, the test areas out-performed comparator areas. This shows that the engagement activities facilitated by community support organisations in the pilot areas raised community interest and participation above what would have happened without them. There is evidence from one of the pilots that an area-based approach using local people to engage with the community can achieve much higher take-up: local

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[120] (Ipsos MORI et al. 2014)
[121] (ACE and CSE 2008)

volunteers were trained to undertake doorstep energy assessments with the aim of referral to full Green Deal assessment. They achieved a 21 per cent conversion to full assessments, versus 5 per cent conversion from the contractor who was also undertaking the same work.[122]

An initiative called the Armagh/Dungannon Health Action Zone highlighted the potential of community-led engagement, with a success rate of 93 per cent of households in the area taking up measures, according to the Warm Zones evaluation.[123]

However, LCCC schemes show little evidence of widespread change in attitudes, behaviours or the take-up of low-carbon measures. There were some locally specific increases in take-up during the duration of the project, but it is not clear if these were caused by the project. When respondents were asked directly whether specific activities or changes made to their home resulted from the LCCC, almost four in ten (39 per cent) of those aware of the LCCC said that some of the broad range of activities they had been engaged in on energy efficiency or the environment over the last 18 months had been a result of seeing or hearing about the LCCC project in their community. This equates to 18 per cent of all respondents.

LCCC projects appear to have been more successful in influencing some of the antecedents to change, such as awareness and community conversations. LCCC activities also supported the normalisation of renewables such as solar panels, as well as the notion of low-carbon lifestyles more broadly, and several projects appear to have been successful in influencing partners. For example, in Chale Green, the project influenced Southern Housing Group to commit to rolling out renewable technologies across its housing stock. Across all LCCC areas, the number of people who had heard of any action on climate change or energy saving in the past year increased from 35 per cent at the baseline to 42 per cent in the post-intervention survey. Visible measures sparked interest and instilled confidence, with some households reporting that they explored solar panels after seeing neighbours, or 'people like them', install it. Households also cited the importance of 'trusted local advisors' or 'go-to' local residents who had already had the measures installed.[124]

An issue for many schemes is that some eligible people refuse help. It has been suggested that many households feel that there is some 'catch' and that the government cannot genuinely be trying to help them by giving them something for nothing. It is recommended by several sources that local community groups be used to counter this suspicion. Several LCCC projects also faced resistance in their community – something they believe might have been avoided had they consulted from the outset. The perceived 'fairness' of the distribution of benefits across the community emerged as a key issue.[125]

5.8   Conclusions and guidelines

The review recommends the following guidelines:

Securing engagement:

- Carry out intensive promotional work tailored to the local context.
- Use door-knocking, and involve local champions.
- Include a direct mailing to all targeted households, which is endorsed by the local authority.
- Have a 'trusted' organisation representing the scheme, and carry out resident engagement through trusted local actors such as local authorities and community groups.

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[122] (Databuild Research & Solutions Ltd 2014)
[123] (EST, CSE, and NEA 2005)
[124] (DECC 2012)
[125] *Ibid.*

- Utilise local networks to promote the services offered and gain access to householders – this is particularly important in rural and more deprived urban areas.
- Make sure private landlords are engaged in schemes.

Securing take-up:

- Have a clear and specific scheme offer.
- Consider offering other support, such as income maximisation advice, alongside measures.
- Offer free energy efficiency measures for low-income households.
- Take a whole house approach, for example, reward proactive property owners.
- Make sure there is flexibility and freedom to put together a package of measures and solutions tailored to the stock in question.
- Address administrative barriers such as multiple ownership.
- Plan for additional and unanticipated works and variations.

Sustaining take-up:

- Take-up will be greater where the customer journey: has fewer 'steps' (separate interactions); involves fewer separate partners (such as scheme promoters, managers and installers); and when the scheme includes partners with direct experience of working together and delivering similar schemes.
- Provide ongoing support to residents throughout the scheme, for example, assessments, form filling, explanation of works being carried out, minimising disruption.
- Liaise with social and private landlords on behalf of residents.
- Provide related advice by, and cross referrals between, relevant frontline staff and community groups regarding (a) energy behaviours including use and maintenance of technologies (b) maximising income through switching energy tariffs, benefits, jobs advice and training (c) advice on health and safety.
- Offer participatory behaviour change programmes, such as training or action learning groups, in order to build understanding of energy technologies and behaviours.

6 Partners, networks, management and delivery

This section considers the practical implementation of schemes, including the involvement of partners. It first considers local authorities, local and community organisations, national governments and cross-sectoral partnerships. It then addresses underlying issues of management and time, supporting local projects, assessing community capacity, roles and personnel, procurement and the legacy of the project. The issues reviewed in this section mostly relate to capacity, capability and connections (even including charisma) of the actors involved in delivering schemes locally. As we develop our proposals, a key consideration is the importance of building lasting capacity, particularly in areas that have not been active in the delivery of energy and fuel poverty services.

6.1 Local authorities

Local authorities play a central role in the majority of the schemes reviewed. LCCC projects represented two main types of community-scale delivery: projects led by community groups and projects led by existing agencies (such as local authorities or third sector organisations). Local authority and third sector-led projects tended to be better resourced and had easier access to guidance on specific issues such as planning, although they sometimes found community engagement to be resource intensive and challenging.[126]

Councils are well placed to identify target areas by drawing on their local knowledge and seeking opportunities to integrate energy efficiency schemes with other regeneration and development initiatives, maximising economies of scale and making best use of available resources.[127] The Sustainable Development Commission has suggested the following benefits of local authority involvement:

- Their focus on delivering wider social, economic and environmental benefits
- Their ability to deliver area-based programmes, which can help to reduce capital costs and encourage higher levels of take-up
- Their lower expectations of financial return, which can translate into lower interest rates for consumers and higher take-up rates
- A clear social agenda when developing an investment portfolio, which means that properties with high Green Deal savings potential can be balanced with more hard-to-treat or fuel-poor properties
- If an aim is to involve SMEs in supply chains, local authorities can broker relationship building between local SMEs and the large supply chain organisations that tend to dominate[128]
- Ensuring quality control of installers
- Their ability to coordinate different programmes, including non-energy efficiency ones

The conditions for successful local authority engagement are: enduring commitment from leading members of the council and from senior officers; in-house energy specialists driving the work forward; partnerships with private, public and NGO sectors; and ability to attract top-up funding. Appreciation for how councils operate, and their protocols and timetables, is important – especially when

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[126] (DECC 2012)
[127] (Platt, Rosenow, and Flanagan 2012)
[128] (CAG Consultants, Impetus Consulting, and Wade 2011)

requirements change. Communication is key when it comes to keeping councils enthusiastic about participation.[129]

The key determining factors for local authority success stories appear to be as follows:[130]

- Highly motivated and enthusiastic energy specialists, often working in the authority for a number of years
- Obtaining high-level and enduring cross-party commitment from the elected members in the council
- Obtaining high-level and enduring commitment from the chief executive or other senior members of the executive
- Entering into partnerships with other organisations in the public, private, voluntary and NGO sectors
- Marrying up the 'energy management and efficiency' agenda with the wider sustainable development agenda, so increasing issue-ownership and motivation across the authority and its partners
- Ability to access additional financial sources from central governments, Europe and the private sector
- Reputational and status gains arising from work becoming known locally, regionally, nationally and internationally
- Ownership of substantial infrastructure for delivering low-carbon energy systems such as district combined heat and power systems
- Strong cross-local authority partnerships

However, there are key barriers that prevent many authorities from implementing energy efficiency measures, or even meeting their existing responsibilities such as the enforcement of HHSRS:

- Difficulties in convincing key decision makers to make energy efficiency a priority, due to the multiple priorities and pressures faced by authorities, the fragmentation of the energy remit between different departments and the lack of clear 'ownership' of the energy portfolio at director or cabinet level
- Lack of knowledgeable technical and project management staff
- No history of working with neighbouring authorities, which may be essential for complex, large-scale programmes requiring specialist, highly skilled staff, and for realising cost economies
- Fuel poverty and energy efficiency are not statutory responsibilities
- Major cuts to local authority budgets over recent years
- Split responsibilities, with respect to two-tier responsibilities
- Lack of access to finance for energy efficiency measures in the local authority's own buildings and estates
- Lack of detailed stock data on energy performance
- Inability to monitor progress on implementing measures

The RE:NEW scheme found that different London boroughs played different roles. There are a number of reasons that can be attributed to differing levels of borough involvement. These include political

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[129] (Liddell and Lagdon 2013)
[130] (Sustainable Development Commission 2002)

affiliation, borough priorities and support of senior levels, financial situation, staff roles and responsibilities and history of engagement in similar projects in the past.[131]

Local authorities are key to the success of HEEPS in Scotland, where the funding arrangements are such that all 32 local authorities in Scotland received funding from the allocated pot; though not all bid for the additional competitive pot.[132]

The success of area-based approaches under CERT depended a great deal on the local authority. Most stakeholders felt that local authority buy-in was essential, but a small number of stakeholders highlighted that local authority motives would sometimes conflict with those of the programmes. A community delivery stakeholder, for example, commented that the areas that local authorities wanted to target were sometimes chosen on the grounds of politics rather than carbon savings, while a local authority stakeholder commented that local authorities tended to be more concerned about fuel poverty than carbon savings.[133]

There are some other challenges particular to the local authority role, in addition to the list of barriers above. Based on the experience of Communities First, councillors can feel threatened by community-based initiatives, which present an alternative voice of the community to their own representational role, and may even oppose actions taken by local partnerships.[134] The DECC Local Authorities Competition report found that, in some cases, residents preferred home visitors to be independent from the council; there was a distrust of 'officialdom'.[135]

6.2   Third sector organisations and community groups

As noted in section 6.1, in the LCCC programme, projects led by local authorities and third sector organisations tended to be better resourced and had easier access to guidance on specific issues such as planning, although they sometimes found community engagement to be resource intensive and challenging. The LCCC evaluation found that community groups felt that they had a 'licence to speak' to their community and could bring about behaviour change by embedding local ownership of both the low-carbon assets and the project as a whole. They did, however, feel more exposed to risk – particularly in relation to legal and planning issues.[136]

Several sources argue that local community groups, NGOs and individual organisations are likely to have an increasingly important role to play in undertaking low-carbon initiatives, particularly through partnership with the public and private sectors. Certain local groups and NGOs have a proven record at engaging the community, bring fresh approaches and may benefit in some circumstances from not being overly associated with the established institutions of government. In Northern Ireland's Green Street scheme residents' relations with the organising charity, Habitat for Humanity, were very positive.[137] There are also good examples of community group involvement in Scotland as a result of Scottish Government Climate Challenge Funding, including South Seeds in Glasgow, the Local Energy Action Plan (LEAP) in Renfrewshire and the Local Energy Assessment Fund (LEAF) in South Ayrshire.

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[131] (GLA 2012)
[132] Formal evaluation of HEEPS, currently in its second year, has not yet been conducted, although this project has gathered many emerging views through interviews with stakeholders and workshops, which feature in the full project report.
[133] (Ipsos MORI et al. 2014)
[134] (Adamson and Bromiley 2008)
[135] (SE2 2013)
[136] (DECC 2012)
[137] (Liddell and Lagdon 2014)

6.3   National governments

As noted above, the UK and devolved governments can play an important role in creating statutory duties and incentives, as well as offering guidance and promoting information-sharing. However, the organisations funded by the LCCC were resourceful, independent and did not require (or want) significant hand-holding. DECC's 'hands-off' approach was welcomed by some projects, who felt it aligned with a 'bottom up' ethos and signalled a degree of trust. Others, however, equated it to a lack of support, particularly in relation to the challenges around State Aid. DECC's interest was valued by the projects and they would like them to stay involved. Even though 'local' plays a critical part in terms of knowledge, trust and confidence, the role of partners such as local and central government provides a badge of legitimacy, a range of financial and non-financial resources, and the means to brand local initiatives in the context of a collective effort. More could be done to ensure that learning feeds into policy teams, for example, along the lines of the customer closeness visits and thematic policy workshops.[138] The UK and devolved governments can also play a potential role in providing data on, for example, EPCs and gas connections.

Creating statutory duties is not always straightforward politically. In Scotland, there are public duties that local authorities need to fulfil from the Climate Change (Scotland) Act 2009, but there is also a concordat between the Scottish Government and local government that makes it difficult for the central government to direct local authorities to undertake particular activities, or to spend their finances in a particular way.

6.4   Partnerships

Almost all the schemes reviewed involved cross-sectoral partnerships. The measured implementation of the Walsall CESP scheme and the effective partnerships that were developed between the housing association and contractors led to a scheme that was delivered to expectations, and allowed for engagement with the local school and local employment opportunities. However, in Stafford, problems with delivery – particularly the dividing of responsibility between multiple stakeholders – led to delays and a rush to finish the work, resulting in a number of missed opportunities. These included patchy coverage across the estate, a failure to pursue the employment potential of the work and a lack of engagement with local schools. Investing time in exploring ownership over discrete areas of the project delivery, actions and relationships is a key area of project management and mutually reinforcing partnerships.[139]

Many LCCC projects benefitted from working in partnership, which often meant that specialist skills or infrastructure services could be accessed in-kind or at a lower cost. The scheme enabled greater levels of partnership working, in turn increasing the projects' access to skills, resources and ideas. At community level, the LCCC stimulated participation and improved relationships, such as those with elected officials.[140] In RE:NEW, the most effective relationships were those where the council worked closely with the delivery agents.[141]

DECC's evaluation of CESP considered the role of local authorities and RSLs:[142]

- Local authorities and RSLs were generally the key partnership organisations for energy companies: they have easily-accessible housing stock (their role as housing providers was a key

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[138] (DECC 2012)

[139] (Bradley and Smith 2012)

[140] (DECC 2012)

[141] (GLA 2012)

[142] (CAG Consultants, Ipsos MORI, and BRE 2011)

driver), can provide or access match-funding, and offer credibility and expertise in engaging with their tenants.

- Involvement of wider groups is essential to create added value – such as benefit entitlement checks, health advice, fire safety checks and community action on the environment.
- Some local authorities and RSLs felt that partnerships between them and energy companies were not always on an equal footing. Where an energy company was both scheme funder and scheme contractor, particular tensions could arise.

There are four main delivery routes under the ECO.[143] The main route to date has involved bilateral agreements and direct relationships with local authorities. The level of funding available for solid wall insulation under ECO has required companies to partner with local authorities and RSLs in order to be able to deliver sufficient work to meet their obligations. Such arrangements are likely to continue under the post-2015 requirement to deliver a minimum of 100,000 solid wall jobs by 2017.[144]

The DECC CEEOP review uncovered the following points:[145]

- Being established in the local area amongst existing networks, possessing key contacts and having experience of energy efficiency (and a positive associated reputation) were felt to be crucial to the design, delivery and take-up within the pilots.
- Working with partners such as local authorities, scheme managers and installers affected pilots positively by providing endorsement and acting as conduits to community engagement. However, in some instances, partners had negative effects, such as slowing planning stages.
- Working with community groups positively affected pilots by tapping into existing community networks and using a 'trusted' voice. This helped improve access and take-up. In addition, working with community groups provided a network of enthusiastic volunteers, which was felt to increase the chances of self-sustaining pilots after funding end.

Local 'learning loops', or networks within which knowledge and lessons are shared, may emerge around successful authorities, which spin out to motivate other local authorities, the private sector and community groups. These bring in new organisations and resources, and enhance the reputation and status of the partners. Local learning loops engage parts of the community not readily reached by the local authority acting alone. Parts of the North East, South West, East Midlands, and South and Central Wales present good examples of local learning loops, which are gradually extending out to the regional scale. Momentum is maintained through attracting talent, resources, small innovative firms, new partners, publicity and so on. Hence it is no accident that leading-edge low-carbon authorities, SMEs, universities, NGOs, community groups and exemplars of best practice tend to be clustered in particular locales.

Local exemplars, such as buildings, developments and community projects, provide an important and visible demonstration of the benefits of energy efficiency which would be difficult to achieve at the national scale. It is also interesting to note that the LCCC scheme led to new organisational structures, typically forms of mutual such as community energy companies, community interest companies or social enterprise.[146]

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[143] These are: bilateral agreements with installers; direct relationships with local authorities; and with RSLs; in-house activity and brokerage.
[144] (CSE 2014)
[145] (Databuild Research & Solutions Ltd 2014)
[146] (DECC 2012)

Partnerships are also key to area-based approaches outside the energy field. Communities First partnerships use the 'thirds principle' – that one third of members should be from the community, a third from the private/voluntary sector and a third from the statutory/public sector.[147] It has been suggested that events and meetings should be held in different locations across the area to try and stop anyone from feeling excluded, and give access to all partners (France et al). However, drawing on the experience of health and wellbeing boards, Humphries et al note that it is possible for too many people to become involved in the process, and schemes to become 'talking shops' – places for unproductive talk rather than action.[148]

The CESP market review found that the leading organisations in schemes without energy supplier or other, more centralised support were most commonly voluntary, followed by organisations from the community sector, and then the public sector (usually local authority). Together these accounted for 88 per cent of the 45 community-based schemes. Schemes were most commonly governed by charities (38 per cent), followed by local authorities (16 per cent), not for profits (11 per cent) and informal partnerships (11 per cent) overseeing schemes. Multiple funding sources were used by 69 per cent of schemes, with the most common combination being energy supplier with local authority funding. There were 14 schemes with just one source of funding, which tended to be either central or local government. A handful of schemes relied solely on in-kind contributions from volunteers. The diversity of the 45 schemes serves to highlight the complexity of creating a single set of proposals for locally led delivery on a national basis.[149]

6.5   Management and time

Pre-launch preparation is vital – this is evidenced in the poor performance of the Hull Warm Zone pilot, where there was late start up and minimal pre-planning.[150] In the field of regeneration, there is a case for adopting a 'year-zero' approach when setting up schemes to allow for the numerous 'setting up' tasks required,[151] such as procurement processes, establishing partnerships and engaging key stakeholders. CSE recommends that scheme designers recognise time constraints, particularly with regard to accessing relevant data, and consider alternative strategies to work around this in cases when data is not available.[152]

The challenging timescales of the LCCC were a frequently cited barrier, with knock-on implications for the ability to undertake engagement and shared learning. LCCC project teams dedicated considerable time to project management and coordination – more than they had anticipated – and those that were able to draw on existing resources were more likely to 'hit the ground running'. The minimal administrative bureaucracy associated with the LCCC was welcomed, particularly in light of the amount of time needed to dedicate to other aspects of project management and delivery.[153]

The pilot Warm Zones depended on highly skilled managers and leadership. Warm Zone managers were expected to control a range of different programmes that were previously separately managed, as well as lever in funds from different programmes, take advantage of cross-policy opportunities, and identify gaps in provision. This led Warm Zones to conclude that managers would often have to work at

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[147] (AMION Consulting Limited and Old Bell 3 Limited 2011)
[148] (Humphries et al. 2012)
[149] (ACE and CSE 2008)
[150] (EST, CSE, and NEA 2005)
[151] (Batty et al. 2010)
[152] (CSE 2013)
[153] (DECC 2012)

a sub-regional level or oversee several Zones, given the limited availability of managers with the necessary skill sets.

6.6   Support needed for local projects

LCCC projects reported a series of external barriers, typically with the planning system, legal agreements and procurement. All projects needed access to professional support services – particularly legal support in relation to (a) social enterprise, (b) ownership and transfer of capital measures, such as renewable technologies, and (c) generated income, such as feed-in tariffs. Project participants felt that a 'light touch' toolkit would be a valuable resource for future funds. The report identified a series of areas needing further support, particularly access to financial and legal support, business planning and dissemination or mentoring. The support offered by the scheme fell short of the requirements of LCCC projects, which tended to require more practical, bespoke and advanced levels of support.[154]

A Consumer Futures Scotland review in 2010 of area-based energy efficiency schemes also found that community-based organisations needed further advice and support to enable them to carry out their responsibilities effectively. At the time, the review found that a large number of projects were being delivered by community-based organisations with little or no prior experience of delivering energy efficiency schemes. However, increasingly, it may be the case that community groups with considerable relevant experience now exist. Locally based groups have key strengths and advantages in engaging communities, but further support and guidance may be necessary, for example to establish relationships with installers and to ensure effective integration with other support.[155]

6.7   Assessing community capacity and needs

The experience of Communities that Care schemes suggests that projects need to recognise and account for communities coming from different starting points.[156] This model uses three developmental phases:

1. Community readiness – whether a community is willing and able to participate in a Communities that Care programme
2. Community mobilisation and assessment – enables communities to assess the risks that they face and the resources at their disposal, so they can make a plan of action
3. Programme implementation – the introduction of new initiatives or amendment of existing initiatives[157]

Understanding the area is also a crucial part of the preliminary process outlined by CSE in relation to its PlanLoCal suite of resources for groups working on low-carbon living. Not only does this help identify what projects may be possible in the area, but it is a way of understanding the demographics. This includes age profiles of residents, levels of household income (including benefits) and the level of 'churn', that is, how long people tend to stay in the area.[158]

6.8   Roles and personnel

Based on CESP experiences, it seems that, during the delivery phase, it is important that a trusted local agent is used as a point of liaison and can manage the relationship between the client (householder), main contractor and sub-contractor. This agent is more likely to be alert to, and have a sense of responsibility for, issues that seemed relatively minor and which, if not addressed, could end up

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[154] *Ibid.*
[155] (CAG Consultants 2010a)
[156] (France and Crow 2001)
[157] (Bannister and Dillane 2005)
[158] (CSE 2013)

undermining many of the benefits the scheme may bring. With respect to CESP social housing projects, it was essential that tenant liaison officers were in place to manage the many day-to-day issues that emerged. In Walsall, the tenant liaison officer was able to resolve problems quickly, whereas in Stafford, the lack of a tenant liaison officer meant that issues were not dealt with effectively, with many persisting beyond the completion of the project. This clearly confused a number of residents, as it was not clear to whom enquiries or complaints should be directed.[159]

For RE:NEW, each delivery agent employed a core team, qualified to the level of City and Guilds Energy Awareness or beyond. In the main, these teams were then supported by a project manager, project assistant and call centre staff for appointment bookings. The amount of staff required to deliver the project and the basis on which they were contracted varied, depending on the delivery agent, existing skills and set up. It also varied over time, as demand rose or fell, and as the requirements of the project timeframe demanded additional recruitment. For example, Groundwork has been operating green doctor programmes around the UK for many years, to provide home visits and advice on energy and other environment issues to residents. As a consequence, Groundwork did not require subcontractors to help support this activity and found that there was little turnover in staff during the course of the project. Climate Energy had intended to manage and deliver all stages of the project with the support of a network of self-employed home visitors who have previously been engaged to deliver similar area-based small measure schemes. In practice, Climate Energy had to resource the operation through a number of recruitment streams – direct recruitment, agency recruitment, UK Government funded training centres and TFL Supplier Skills.

During the course of the RE:NEW programme, some delivery agents had to increase the number of staff to deliver door-knocking activities in order to boost take-up rates. Groundwork managed this issue by using additional green doctors from other completed projects in London and channelling staff from one borough to another whenever it needed to either generate or carry out visits. Climate Energy also had to increase staff numbers during the course of the project, and managed this process by reallocating staff and through additional recruitment. In addition, council staff supported delivery agents during the project with activities such as community events, and in some instances marketing and leaflet dropping.

The majority of RE:NEW schemes found it difficult to recruit and retain quality home visitors, particularly those that were experienced in door-knocking to sell energy efficiency schemes. This was attributed to the repetitiveness of tasks and the level of commitment required, both in terms of training and delivery. It was felt that many were not looking for a part-time domestic energy assessor role due to work, study or family commitments. It is therefore crucial that delivery agents take this into consideration in both their recruitment planning and staff training, whether internal or through a contracted delivery partner, to ensure consistent staff levels throughout project delivery. Also, more time to prepare staff and a higher level of staff training would be beneficial. Indeed, rapid recruitment and deployment of staff often did not include the high standards of training required by this programme, meaning that delivery outputs were compromised from the start, especially with regard to the onward referral of the larger measures such as insulation or heating improvements.[160]

6.9 Procurement

In the RE:NEW projects, the boroughs selected different means to award contracts to the delivery agents. In the North, West, South West and South East sub-regions, the boroughs awarded contracts following a competitive tendering exercise using the RE:NEW procurement framework. The RE:NEW

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[159] (Bradley and Smith 2012)
[160] (GLA 2012)

project in East London was procured differently; the East London boroughs used a single tender action as a call-off from an existing East London Renewal Partnership framework. This framework was established for the provision of support services for the delivery of the DCLG-funded Private Sector Decent Homes programme. This allowed the subregion to gain a head start on the other subregions by running this project with a delivery team in place who had been working together since 2004, and using existing subcontractors for the RE:NEW visits.

North London and West London procured their delivery agents by grouping boroughs together in lots, primarily based on geography. The rationale for this was to spread the risk of delivery timescales to different organisations, thus minimising the risk of not being able to claim grant payments due to under-delivery.[161]

Working with short, local supply chains can help to speed up delivery, improving the householder's experience of the process and getting help for those in greatest need in a more appropriate timeframe.[162] However, local supply chains may not be sufficiently developed to deal with large-scale retrofit programmes.[163] One example from the DECC Local Authorities Competition reveals that the local authority had to use a national procurement framework to secure a delivery contractor, due to the short timeframe, who then subcontracted to a local delivery contractor. This caused some problems and the local authority would have preferred to be able to contract directly with the local contractor. Success requires getting the procurement process right, and this is sometimes difficult.[164]

6.10 Legacy

Another issue concerns the legacy that a scheme leaves behind after its completion. The New Deal for Communities regeneration project offers insights into creating long-term continuing benefits. A key component in the justification for funding was the ability of the project to develop a meaningful legacy that would continue when the project ended. This was done in a number of ways:[165]

- Creation of successor bodies, including partnerships with not-for-profit status, based on community leadership and having revenue-raising functions
- Community empowerment and capacity building
- Influencing mainstream agencies in order to ensure interventions survived and secured continued financial support

CSE note that a workable exit strategy should be developed early, particularly for shorter projects (for example, 12 months) to ensure the project's achievements are sustained and developed after completion. This is particularly important if continued funding is required, for example, to pay for volunteer training, phone, internet costs and so on.[166] The LCCC scheme supported several projects to develop new mechanisms, such as revolving funds, to convert one-off LCCC grant funding into a sustainable income stream.

6.11 Conclusions and guidelines

The review recommends the following guidelines:

Partnership working

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[161] *Ibid.*
[162] (Wade, Jones, and Robinson 2012)
[163] (CAG Consultants, Impetus Consulting, and Wade 2011)
[164] (SE2 2013)
[165] (Batty et al. 2010)
[166] (CSE 2013)

- Use local partnership or multi-agency approaches to coordinate delivery.
- Identify clear roles and responsibilities for each partner.
- Identify key people and convince them of why a locally led approach is worthwhile at an early stage.
- Build on existing relationships to facilitate the development of proposals.

Local authorities and RSLs

- Giving a central role to local authorities can generate additional funding and further benefits, such as in-kind contributions, and endorsement and promotion of the scheme. Local authority expertise can also more effectively target the areas likely to benefit.
- Engage with multiple landlords if the social housing in the area is owned by several housing authorities.
- Draw on expertise within the local authority and RSL partners, such as project management skills, energy efficiency expertise, construction knowledge and experience, and tenant liaison skills.
- RSLs can potentially provide support to private sector households, particularly those living in homes close to RSL properties.

Community organisations

- Partner with organisations that already have a presence in the community – local knowledge helps ensure schemes and messages are relevant to property types and householders.
- Link with services offered by local organisations to strengthen the support offered to households and enable effective dissemination of information.
- Use incentives to involve wider community groups – this can help secure interest from parts of the community that would otherwise be hard to engage.
- In working with community groups, ensure that activities 'fit' with the community group's aims and objectives. Ensure appropriate time and resources are allowed to ensure the community groups are comfortable to fully endorse the activity, and consider the training needs of volunteers.
- Community groups should be involved from the outset, being consulted throughout planning, development and set-up stages. This will help to check that the measures being planned will be suitable for the households; to promote the scheme in local networks from an early stage and increase participation; to help make realistic targets and to tailor promotional material to the residents of certain areas; and to provide local and trusted assessors.
- Build in flexibility, to encompass the many varied skills and contributions that local – and particularly community-led – organisations can make to local delivery.

7   Monitoring and evaluation

This section considers issues around conducting ongoing monitoring and scheme evaluation. It first considers the different evaluation criteria that may be used by schemes, before exploring some underlying issues around M&E, including the capacity and resources required. The ESRC-funded Monitoring and Evaluation for Sustainable Communities project provides a range of concrete suggestions. The literature reviewed for this project suggests that M&E are important elements to consider early on in scheme design. Area-based approaches offer particular challenges and opportunities, but it is especially notable that many area-based schemes claim to deliver additional benefits such as community cohesion and capacity building, as noted above. Our proposals should consider how these benefits can be measured.

Evaluation is an important issue for any policy programme, but area-based energy efficiency schemes face some particular challenges. If there are objectives based on the multiple benefits of energy efficiency, then metrics will need to be developed to measure each of these (for example, employment, health, community cohesion and comfort). Data may need to be collected from multiple partners, areas and scales, depending on the structure of the scheme, so it is important that clear data gathering processes are established and shared between partners from an early stage.

Evaluation criteria should be based on project objectives. As noted earlier, these objectives can be diverse and multiple. Potential evaluation criteria could relate to, among other outcomes:

- fuel poverty
- energy performance of homes
- cost efficiency
- health outcomes
- employment and training
- local economy and supply chains
- community cohesion and social capital
- perception of neighbourhoods.

Some of these can be quantified in their own right; some require proxies or indicators; and some are difficult to quantify, such as community cohesion, but may be better assessed through qualitative, participatory evaluation.

Before and after evaluation of project management and householder experience is critical for driving further improvements in the delivery and cost-effectiveness of an area-based scheme.[167] However, at present, the absence of consistent approaches to data collection and monitoring makes it difficult to draw conclusions about the effectiveness of different approaches. A consistent approach is needed for defining the costs of area-based schemes. In some schemes, it is difficult to isolate the costs of the energy efficiency work from the other activities carried out by the delivery organisation.[168] Also, when assessing changes in area-based indicators, it is important to take account of the fact that change may be linked to people moving in and out of an area.[169]

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[167] (Bradley and Smith 2012)
[168] (CAG Consultants 2010a)
[169] (AMION Consulting Limited and Old Bell 3 Limited 2011)

CSE note that good reporting systems enable monitoring of customers and recording of achievements.[170] The ESRC-funded Monitoring and Evaluation for Sustainable Communities project similarly found that M&E are important in low-carbon community groups (LCCGs), as reported on by some of the project's researchers in a 2013 paper.[171] However, they are often challenging to these busy voluntary and community groups. One way forward is 'peer M&E': that is, where groups learn from each other by monitoring and evaluating each other's projects. Groups trained in M&E could then potentially go on to train other local groups through skill-sharing workshops – a process that does already happen within LCCG networks. Other suggestions were to establish longer-term partnerships between academics and practitioners, such as the Transition Research Network. But such processes require funding, as well as support from individuals and groups well-versed in M&E. Some specific needs for further development of M&E resource were identified as being assistance with:[172]

- assessing whether the LCCG intervention has directly or indirectly caused any observed pro-environmental behaviour changes
- assessing the impact of the LCCG's influence on similar organisations, for example, through mentoring other LCCGs, and developing and sharing resources
- measuring social impacts, such as metrics on social wellbeing, jobs and so on.

Additionally, it was clear that LCCGs would find the following resources useful, to enable them to select the most appropriate tools and learn from other groups about designing M&E into their activities:

- Overview of the most suitable and accessible M&E resources, which provide accurate data
- M&E tools, activities and sets of questions, to integrate into existing activities and planning
- Case studies of effective M&E approaches
- Core indicators agreed across LCCG networks, which groups are then encouraged to utilise when undertaking M&E
- National scale co-ordination of M&E tools for the community energy sector
- Aggregation of impacts, both regionally and nationally[173]

7.1   Conclusions and guidelines

The review recommends the following guidelines:

- Plan M&E from the beginning of the scheme, drawing on community and partner inputs.
- Ensure consistency in monitoring across areas.
- Provide resources and other support to enable partners to participate in evaluation.

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[170] (CSE 2013)
[171] (Hobson, Hamilton, and Mayne 2013)
[172] (Hobson, Hamilton, and Mayne 2013)
[173] (Hobson, Hamilton, and Mayne 2013)

8 Conclusion

This literature review has drawn upon a wide range of sources and reviews of past and existing schemes to draw out lessons for the development of future local and area-based approaches to energy efficiency. The literature review also informs and guides the rest of this study, including data collection through surveys, interviews and workshops. The issues raised in this review formed the basis for topic guides and question plans, which enabled the project team to gather rich, experience-based data to complement the information presented here. The lessons drawn from the review feed into the development of models for the local delivery of energy efficiency and fuel poverty schemes. Many issues not explored in depth by the reviewed literature are covered more fully in the presentation of the project's fieldwork findings.

A fundamental theme that emerged is the issue of governance, the structure of the scheme and its duration. A key issue is how to ensure coherence and dialogue between different partners and between different schemes. A second issue is whether to adopt a statutory or voluntary approach, or an intermediate position. Thirdly, longer-term projects are often more successful, since schemes require time to become established.

The review then considered issues around setting objectives and targets within area-based approaches to energy efficiency. It reviewed overarching issues such as the use of multiple objectives; people versus place-based objectives, aligning objectives across partners, and setting realistic targets. It then considered a series of possible objectives or outcomes of schemes; specifically looking at employment, cost efficiency, health, cohesion and perceptions of the neighbourhood. It found that schemes can benefit from maximising multiple benefits, and that area-based schemes can offer some particular forms of benefit, such as community cohesion, that other schemes do not.

The review then examined issues around the definition of target communities and geographies, including targeting fuel poverty, and the challenges of doing this, such as using proxy data. It also considered other criteria that have been used in past schemes, including the efficiency of existing buildings. It then addressed some key questions: should schemes target leading areas, or areas in most need? Should they help all households in the area, or just certain eligible people? Should schemes be based on rigid area boundaries, or be more fluid and community-based? What size should the area be? Should there be offers for neighbouring areas, or extensions to the area? Then, it considered data and methods for targeting areas and households, finding that data quality and availability is a key challenge for most schemes.

Next, the review investigated how area-based schemes address the challenge of engaging with their target communities, promoting take-up and maintaining it over time. It looked at engagement strategies, community events, overcoming stigma, providing advice and assessments, information, reaching all tenure and property types, and the performance of past schemes in terms of take-up. The review recommends that flexibility in implementation and variety in the communication methods used is key to engagement and promoting take-up. What became clear is that this activity – a perceived central advantage to locally led delivery – requires a wide range of partners and capabilities for engaging successfully with the target community and area. There is also an issue of co-ordinating messages from different sources. Our proposals will need to consider how they support the varied required capabilities.

The review also considered some issues around the practical implementation of schemes, including the partners involved: authorities, local and community organisations, national governments and cross-sectoral partnerships. It then addressed underlying issues of management and time, supporting local

projects, assessing community capacity, roles and personnel, procurement and the legacy of the project. The issues reviewed in this section mostly related to capacity, capability and connections (including charisma) of the actors involved in delivering schemes locally. As we develop our proposals, a key consideration is how capacity can be supported, but also built and sustained, in localities that have to date not been particularly active in the delivery of energy and fuel poverty services.

Finally, the review considered issues around conducting ongoing monitoring and scheme evaluation. It outlined the different evaluation criteria that may be used by schemes, before exploring some underlying issues around M&E, including the capacity and resources required. The ESRC-funded Monitoring and Evaluation for Sustainable Communities project provided a range of concrete suggestions. The literature suggests that M&E are important elements to consider early in scheme design. Area-based approaches offer particular challenges and opportunities, but it is especially notable that many area-based schemes claim to deliver additional benefits such as community cohesion and capacity building. Our proposals should consider how these benefits can be measured.

This review aims to inform and guide the rest of the research project, from data collection through to surveys, interviews and workshops. The issues raised in this review form the basis for topic guides and question plans that enable us to gather richer, experience-based data to complement the information already presented here. The lessons drawn from this review will also be used to feed into the development of models for future area-based energy efficiency schemes.

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Platt, Reg, Jan Rosenow, and Brooke Flanagan. 2012. *Energy Efficiency: Who Pays and Who Benefits?*. London: Institute for Public Policy Research. http://www.ippr.org/assets/media/images/media/files/publication/2012/12/energy-efficiency-whopays-whobenefits_Dec2012_10051.pdf.

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Appendix I: Sources and schemes considered in this review

Scheme	Source reference(s)	Overview of scheme and source(s)
Scheme reviews: energy focused		
Local Energy Assessment Fund	Databuild Research & Solutions Ltd. 2014. *Learnings from the DECC Community Energy Efficiency Outreach Programme*. London: Department of Energy & Climate Change. https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/274867/ceeop_eval_in_decc_formatingFINAL.pdf.	The Local Energy Assessment Fund (LEAF) (December 2011 - March 2012) was a Department of Energy and Climate Change (DECC) funding competition involving 236 community groups in England and Wales. The purpose of LEAF was to help prepare communities in England and Wales to take action on energy efficiency and renewable energy, and to take advantage of the opportunities offered by policies such as the Green Deal and Renewable Heat Incentive (RHI). LEAF offered initial seed funding to build the capacity of community-led energy projects in England and Wales; and to encourage public engagement and information-sharing, among other goals. This report was written by Databuild for DECC. Databuild carried out a process evaluation from January 2013 to October 2013. This draws mainly on input from project stakeholders and an analysis of application and monitoring forms submitted by all funding recipients.
Low-Carbon Framework pilots	CAG Consultants, Impetus Consulting, and Joanne Wade. 2011. *Evaluation of the Local Carbon Framework Pilots*. London: Department of Energy and Climate Change; Local Government Association. http://www.cagconsultants.co.uk/resources/Local_Carbon_Framework_Pilots/Evaluation%20of%20the%20Local%20Carbon%20Framework%20Pilots.pdf.	The Low-Carbon Framework pilots programme was intended to look at how councils could embed climate change action into their core business, and involved 30 councils in 9 pilot areas. The housing retrofit programmes included in this pilot were all multi-authority, carried out across 2 city regions and 1 multi-borough area of London. The report to DECC is based largely on qualitative information collected through interviews with key project personnel.

Scheme	Source reference(s)	Overview of scheme and source(s)
CERT and CESP	Ipsos MORI, CAG Consultants, UCL, and EST. 2014. *Evaluation of the Carbon Emissions Reduction Target and Community Energy Saving Programme*. London: Department of Energy & Climate Change. https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/350722/CERT_CESP_Evaluation_FINAL_Report.pdf. CAG Consultants, Ipsos MORI, and BRE. 2011. *Evaluation of the Community Energy Saving Programme*. London: Department of Energy & Climate Change. https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/48210/3342-evaluation-of-the-community-energy-saving-programm.pdf. Bradley, William, and Peter Smith. 2012. *The Warm-Up*. London: Demos. http://www.demos.co.uk/files/The_Warm-Up_-_web.pdf?1332860609.	From April 2008 to December 2012, the Carbon Emissions Reduction Target (CERT) was the main legislative driver for improving the energy efficiency of existing households in Great Britain. It placed an obligation on the 6 major gas and electricity suppliers to meet a carbon emissions reduction target. A Priority Group and Super Priority Group included customers on certain qualifying benefits, for example, households in receipt of child tax credits and under an income threshold. The Community Energy Saving Programme (CESP), 2009-2012, was a whole-house approach to energy efficiency, delivered via a street-by-street, community-wide approach. Measures were delivered through the establishment of community-based partnerships between local authorities, housing associations, community groups and energy companies. The CESP report to DECC sets out the key findings of a process research stream and a householder experience research stream. It draws on interviews with a very wide range of stakeholders and also a literature review. The comprehensive CERT and CESP report to DECC builds on this, and involves 3 streams of research: the process stream, led by CAG Consultants, the householder experience research stream, undertaken by Ipsos MORI, and the cost analysis stream, led by Ipsos MORI. Bradley and Smith's review for Demos draws on evaluations of CESP schemes in Walsall and Stafford, as well as wider reviews of the CESP policy. This uses input from professional stakeholders but also a householder survey and focus group.
DECC Community Energy Outreach Programme	Databuild Research & Solutions Ltd. 2014. *Learnings from the DECC Community Energy Efficiency Outreach Programme*. London: Department of Energy & Climate Change. https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/274867/ceeop_eval_in_decc_formatingFINAL.pdf.	The DECC Community Energy Outreach Programme (CEEOP) was a pilot initiative between December 2012 and March 2013, designed to build a better understanding of the effectiveness of community engagement as an approach to increasing household awareness of, demand for, and installation of energy efficiency measures. The programme was delivered through Groundwork Trusts and other members of the Community Energy Practitioners Forum (CEPF), comprising 6 local pilot energy efficiency projects and an online pilot to encourage take-up through social media. Each area had a comparator area where the offers were available but not

Scheme	Source reference(s)	Overview of scheme and source(s)
		promoted.
		DECC commissioned Databuild Research and Solutions Ltd to deliver a process evaluation of the pilots, undertaken through qualitative research and monitoring of pilot activity, during and after delivery activities. The research was undertaken through three stages of qualitative research with pilot project leads, community groups and householders engaged through the pilots. Monitoring involved gathering customer tracking information and details of costs at each stage of the evaluation. The report notes that, whilst the findings provide useful insights as to the success of different approaches, it is not possible to make robust conclusions due to the small size of the pilots.
DECC Local Authority Competition	SE2. 2013. *Learning from the DECC Local Authority Competition 2012/13: A Case Study Approach*. London: Department of Energy & Climate Change. https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/275108/DECC_-_Learning_from_the_Local_Authority_Competition_2012-13_-_a_case_study_approach_-_FINAL_REPORT_100913.pdf.	The DECC Local Authority Competition 2012/13 offered funding for local authority-led projects on collective switching, fuel poverty alleviation and Green Deal pioneer activity. Collective switching projects led by community organisations were also funded under the Competition. The Competition provided over £46 million to support 130 schemes covering over 260 local areas in England and, for collective switching schemes, Scotland.
		This report presents the findings of a small, qualitative study of schemes funded under DECC's Local Authority Funding Competition 2012/13. DECC commissioned this work to help them get a better sense of what works in engaging DECC's customers in some of their priority policy areas; it is not intended to provide robust findings that offer clear conclusions for policy.
DECC Low Carbon Communities	Mayne, R. 2013. *A shared learning resource from the EVALOC project: Carbon reduction in disadvantaged communities*. Oxford: Environmental Change Institute University of Oxford. Mayne, R., & Hamilton, J. 2014. *A working paper for the EVALOC project: Addressing pockets of fuel poverty in Oxfordshire*. Oxford: Environmental	The Low Carbon Communities Challenge (LCCC) (2010-2012) was a £10 million programme to provide financial and advisory support to 22 test bed communities. Its aim was to fund, and learn from, community-scale approaches to the delivery of low-carbon technologies and engagement activities. It was funded and supported by DECC, the Department of Enterprise, Trade and Investment (DETI) in Northern Ireland, the Welsh Government and Sciencewise-ERC.
		Here, we draw upon two academic working papers written for the Evaluating Low-Carbon Communities (EVALOC) project, which was funded by two UK research councils to evaluate the LCCC programme.
		We also draw on the DECC evaluation of the scheme. This is a synthesis report bringing together a large number of separate pieces of evaluation, by various agencies, and so can be seen as

Scheme	Source reference(s)	Overview of scheme and source(s)
	Change Institute University of Oxford. DECC. 2012a. *Low Carbon Communities Challenge - Evaluation Report*. London: Department of Energy & Climate Change. https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/48458/5788-low-carbon-communities-challenge-evaluation-report.pdf.	comprehensive.
ECO	CSE. 2014. *The ECO: An Evaluation of Year 1*. London: Energy UK. http://www.cse.org.uk/downloads/file/eco_evaluation_final_april_2014.pdf.	The Energy Companies Obligation (ECO) is an energy efficiency programme that was introduced into Great Britain at the beginning of 2013. ECO places legal obligations on the larger energy suppliers to deliver energy efficiency measures to domestic energy users. ECO is intended to work alongside the Green Deal to provide additional support in the domestic sector, with a particular focus on vulnerable consumer groups and hard-to-treat homes. This report presents the findings of an independent evaluation of the ECO undertaken by the Centre for Sustainable Energy (CSE) and commissioned by Energy UK. The approach to evaluating the performance of the ECO is twofold, encompassing surveys with 3 key stakeholder groups of the supply chain; and analysis of energy supplier data on the costs and nature of current delivery.
Green Street	Liddell, C., & Lagdon, S. 2014. *Low-Carbon Transition in Northern Ireland: The Green Street Project - Evaluation of a Pocket Neighbourhood Scheme*. Belfast: University of Ulster. http://eprints.ulster.ac.uk/29907/1/GreenStreetFinalReportAugust_2014Final.pdf.	The Green Street pocket neighbourhood of low-carbon homes was originally promoted by Habitat for Humanity Northern Ireland. In 2011, 5 families moved into new homes equipped with: • an innovative building design that aimed to allow households to function without central heating • SMART electricity meters • a sophisticated in-house display unit that provided immediate feedback on electricity being consumed at the present time, as well as a range of comparative data on

Scheme	Source reference(s)	Overview of scheme and source(s)
		consumption the previous day, week, month etc.
		Researchers from the University of Ulster's School of Psychology were appointed by the company building the homes (Tyrone Timberframes Limited) to carry out the evaluation, which aimed to monitor the families before they moved in and for at least a year afterwards. Their experiences in managing the energy system, as well as objective evidence on their energy consumption, form the basis of the evaluation.
Low-Carbon Zones	Haringey Council. 2011. *Muswell Hill Low-Carbon Zone Mid-Project Evaluation - May 2011*. London: Haringey Council. http://www.haringey.gov.uk/lcz_mid_project_report.pdf. London Borough of Richmond upon Thames. 2014. *Ham and Petersham Low-Carbon Zone*. London: London Borough of Richmond upon Thames. http://www.richmond.gov.uk/ham___petersham_evaluation_report_final_oct_2013.pdf.	In 2009, 10 London boroughs won funding to develop 'low-carbon zones'. Each borough was awarded at least £200,000 to pioneer energy efficiency and carbon reduction measures. The low-carbon neighbourhoods cover 13,000 homes, around 1,000 shops and businesses, 20 schools, a hospital, places of worship and community centres, and each had a target to deliver emissions savings of 20.12 per cent by 2012. This review draws on 2 reports by Low-Carbon Zones: Muswell Hill; and Ham and Petersham. These were produced by project officials themselves, and are not independent evaluations.
RE:NEW	GLA. 2012. *RE:NEW Rollout Evaluation Report - 2011/12*. London: Greater London Authority. http://www.london.gov.uk/sites/default/files/RENEW%20report%20full%20FINAL.pdf.	RE:NEW is a collaborative programme of home energy retrofit for London's homes, delivered through a partnership between the GLA, London boroughs, London councils and the Energy Saving Trust (EST). RE:NEW brings together London's existing home energy retrofit programmes into a cohesive model to upscale efforts on domestic CO_2 and water reduction in a cost-effective manner. It also provides a delivery framework for future carbon reduction activity to operate through, in turn acting as a mechanism to attract further retrofit financing into London. RE:NEW was launched in April 2009 with technical trials held in 3 boroughs. This evaluation report covers the initial RE:NEW rollout, which was from July 2011 to April 2012. This was the final stage of RE:NEW Phase I (which also included technical trials and

Scheme	Source reference(s)	Overview of scheme and source(s)
		demonstration projects). A second pan-London phase of RE:NEW (RE:NEW Phase II) is running from September 2012 to March 2014. The report draws on qualitative and quantitative evidence. Due to the commercial nature of the relationship between the boroughs and delivery agents, and their continuation on the RE:NEW framework, there is some bias in the qualitative evaluation that the delivery agents have provided for this report. Also, while detailed guidance was provided to the delivery agents, the quality, structure and detail of their reports has varied greatly.
University of Southampton Energy and Communities experiment	Bardsley, N., M. Büchs, P. A. James, A. Papafragkou, T. Rushby, C. Saunders, G. Smith, R. Wallbridge, and N. Woodman. 2013. *Initial Effects of a Community-Based Initiative for Energy Saving: An Experimental Analysis*. Reading: University of Reading. http://eprints.soton.ac.uk/358212/1/effect%20final%20WP.pdf.	This academic research project is funded by 2 UK research councils. It involves an ongoing matched case and control field experiment on energy saving. Household energy use in 175 households is measured using monitoring equipment, recording electrical power consumption and temperature. Participants in treatment and control groups received improvements to the thermal insulation of their homes. A behavioural intervention in the treatment group began with a 2-hour workshop on energy saving led by a community-based environmental group. This working paper reports on the impact of the community workshop, using actual energy consumption data, which represents a rigorous method (despite a small sample size).
University of Ulster area-based approach	Walker, Ryan, Paul McKenzie, Christine Liddell, and Chris Morris. 2012. 'Area-Based Targeting of Fuel Poverty in Northern Ireland: An Evidenced-Based Approach.' *Applied Geography* 34 (May): 639–49. doi:10.1016/j.apgeog.2012.04.002. Liddell, Christine, and Susan Lagdon. 2013. *Tackling Fuel Poverty in Northern Ireland: An Area-Based Approach to Finding Households Most in Need*. Belfast: Office of the First Minister and Deputy First Minister. http://www.ofmdfmni.gov.uk/tackling-fuel-	The Northern Ireland Government granted funding for a fuel poverty targeting pilot to be launched by the University of Ulster in early 2012. In collaboration with 19 local councils, an area-based approach to targeting was tested. This involved producing GIS mapped data from a wide variety of sources through the application of a weighted multi-dimensional algorithm. The algorithm calculated both fuel poverty risk in small areas of 125 households, as well as Warm Homes eligibility in these small areas. The Liddell and Lagdon report comprises the final report on the project's progress by the University of Ulster, and is based on extensive analysis of quantitative data, including a household survey. The Walker et al. paper is a peer-reviewed academic article on the same subject.

Scheme	Source reference(s)	Overview of scheme and source(s)
	poverty-in-ni-liddell-lagdon.pdf.	
Warm Zones	EST, CSE, and NEA. 2005. *Warm Zones External Evaluation*. London: Defra and DTI. http://www.cse.org.uk/downloads/file/warm_zones_evaluation_full_final.pdf. Keirstead, James, and Carlos Calderon. 2012. 'Capturing Spatial Effects, Technology Interactions, and Uncertainty in Urban Energy and Carbon Models: Retrofitting Newcastle as a Case-Study.' *Energy Policy* 46 (July): 253–67. doi:10.1016/j.enpol.2012.03.058.	Warm Zones is a scheme that started in 2001 and aimed to reduce fuel poverty by working at a local level and on an area basis. It began with a pilot study in 5 places – Stockton, Newham, Sandwell, Northumberland and Hull – lasting for 3 years. It aimed to implement practical measures to reduce fuel poverty and set targets of reducing fuel poverty by 50 per cent and severe fuel poverty by 50 per cent. This was done through hard (energy efficiency improvements) and soft (benefits advice etc.) measures. The Keirstead and Calderon paper is a peer-reviewed academic article that draws on research by the authors in Newcastle. The Department for Environment Food and Rural Affairs (Defra) and the Department of Trade and Industry (DTI) commissioned an independent external evaluation of the Warm Zone pilots. The evaluation was conducted by CSE and National Energy Action (NEA), under the management of the EST. This is the third and final report of the evaluation. The report assesses the effectiveness of the Warm Zones over the full 3-year pilot period. It also comments on Zone activities following the end of the pilot period in December 2004 and assesses the prospects for Zone expansion.
Various, UK	Donaldson, R. 2012. *What's in It for Me? Using the Benefits of Energy Efficiency to Overcome the Barriers*. London: Consumer Focus. http://www.consumerfocus.org.uk/files/2012/06/	This report for Consumer Focus draws on a large number of detailed case studies to explore ways of promoting take-up of energy efficiency measures. These include the following area-based schemes: Cosy Devon, Sheffield City Council Free Insulation Scheme, Kirklees Warm Zone, Warmer Worcestershire, Newark and Sherwood Warmstreets and Gloucestershire Warm and

Scheme	Source reference(s)	Overview of scheme and source(s)
	Whats-in-it-for-me-IA.pdf.	Well. Information is largely provided by scheme managers.
Various, Scotland	CAG Consultants. 2010a. *Energising Communities: Learning from Area-Based Energy Efficiency Projects in Scotland*. Glasgow: Consumer Focus Scotland. http://www.consumerfocus.org.uk/scotland/files/2010/10/Area-Based-Energy-Report.pdf.	Consumer Focus Scotland noted that there were a number of area-based projects running in Scotland. However, many of these projects were in the early stages of delivery, and no overview of their work was available. Consumer Focus Scotland therefore carried out this research in 2010 to ensure that, as area-based projects are further developed in Scotland, their design reflects experience, learning and good practice from existing work, and that existing challenges are addressed.
		The report draws on a wide range of area-based energy efficiency schemes in Scotland. Face-to-face interviews were conducted with those involved in delivery of 9 projects, and telephone interviews with a further 7 projects. Interviews were conducted in January and February 2010. Consumer Focus Scotland organised an invited stakeholder seminar in March 2010 where participants discussed different aspects of the case study findings and helped to inform the final report.
Wider literature: energy focused		
	SDC. 2002. *Low-Carbon Spaces: Area-Based Carbon Emission Reduction - a Scoping Study*. London: Sustainable Development Commission. http://www.sd-commission.org.uk/data/files/publications/020601-Low%20carbon%20spaces-area-based%20carbon%20emission.pdf.	The Sustainable Development Commission wished to examine the prospects for an area-based approach to reducing carbon emissions. The Commission appointed a team led by the Tyndall Centre for Climate Change Research in January 2002 to review existing experiences on carbon reduction at regional and local scale and to draw out lessons and recommendations for a workshop and subsequent project(s). A large number of relevant individuals and organisations were informed of the project(s) via email lists. Information was collected by submissions of project pro-formas (accessible via the web) and other data. Approximately 70 telephone interviews were conducted across the UK.
	ACE and CSE. 2008. *Review of the Market for CESP Community Partnerships*. London: Energy Efficiency Partnership for Homes. http://www.ukace.org/wp-content/uploads/2012/11/ACE-Research-2008-12-Review-of-the-market-for-CESP-community-partnerships.pdf.	In order to support the development of the CESP, the Energy Efficiency Partnership for Homes commissioned CSE and the Association for the Conservation of Energy (ACE) to review the market for CESP community partnerships in Great Britain. This report – intended to inform DECC's development of and consultation on CESP – presents the consultants' findings.
		The review examines existing programmes and policies relevant to CESP and community energy

Scheme	Source reference(s)	Overview of scheme and source(s)
		schemes/community engagement in general. The schemes were mapped against income deprivation maps in recognition of the fact that CESP schemes are to be set up in the most deprived areas. Schemes were then categorised according to the nature of suppliers' and communities' participation or leadership, and for each main category, 2 to 3 schemes were examined in greater depth in order to identify lessons learnt.
	EST. 2011. *Area Based Approach - Best Practice Guide*. London: Energy Saving Trust. Retrieved from http://www.energysavingtrust.org.uk/content/download/2775/64282/version/1/file/ABA+Best+Practice+Guide.pdf	*Not yet reviewed*
	Owen, Gill. 2011. *It's Not Just about the Money: Taking the Hassle out of Energy Saving*. London: Sustainability First. http://www.sustainabilityfirst.co.uk/docs/2011/taking%20the%20hassle%20out%20of%20energy%20saving%20March%202011.pdf.	This is a review piece produced by the think-tank Sustainability First, drawing on existing literature.
	DECC. 2012b. *Improving Energy Efficiency in Buildings: Resources Guide for Local Authorities*. London: Department of Energy & Climate Change. https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/65578/6746-improving-energy-efficiency-in-buildings-resource.pdf	'Improving Energy Efficiency in Buildings: Resources for Local Authorities' was developed by DECC and the Department for Communities and Local Government (DCLG). It is intended to act as a resource for local authority personnel who are involved in climate change mitigation in the built environment to support the planning and delivery of projects. This document draws on existing resources and is not intended to replicate good practice information that is already in existence. Official documents and procedures are referenced to support engagement of local authorities in development and delivery of policies through industry and supply chain arrangements. It is designed to bring together and categorise tools, models, knowledge, case studies and datasets that can be used and adapted at local levels to meet local authority needs.
	Wade, J, E Jones, and J Robinson. 2012. *Going	Consumer Focus wanted to get a better understanding of local authority fuel poverty activity

Scheme	Source reference(s)	Overview of scheme and source(s)
	Local: A Report for Consumer Focus on Local Authorities' Work to Tackle Fuel Poverty. Consumer Focus.	with a view to identifying good practice and suggesting improvements. They commissioned Joanne Wade and Impetus Consulting to carry out a survey of local authority fuel poverty work, highlight exemplars of good practice, and identify the scope for greater local action and the barriers that prevent this. The report is based on opinions of, and data supplied by, local authority officers involved in or interested in fuel poverty alleviation.
	Platt, Reg, Jan Rosenow, and Brooke Flanagan. 2012. *Energy Efficiency: Who Pays and Who Benefits?* London: Institute for Public Policy Research. http://www.ippr.org/assets/media/images/media/files/publication/2012/12/energy-efficiency-whopays-whobenefits_Dec2012_10051.pdf.	This paper seeks to establish whether ECO will achieve its desired outcomes and result in a fair distribution of costs and benefits. It offers an examination of the potential cost of the policy and the effectiveness of its targeting. It also puts forward a number of policy recommendations. The findings in this report are based on analysis of policy literature, policy impact assessments produced by government, responses to government consultations from a range of stakeholders and statements by energy suppliers. This was supplemented by interviews with 17 expert stakeholders representing a range of views on the issue.
	Government website: Community Energy. https://www.gov.uk/community-energy Accessed 13th November 2014.	This online guide is aimed at communities who may be interested in energy activities or projects, and includes details of support available, relevant events and schemes, and guidance on a range of issues community energy projects may encounter.
	Hobson, Kersty, Jo Hamilton, and Ruth Mayne. 2014. 'Monitoring and Evaluation for Sustainable Communities'. Research project. *Monitoring and Evaluation for Sustainable Communities*. http://www.geog.ox.ac.uk/research/technologies/projects/monitoringandevaluation/	The project, 'Monitoring and Evaluation for Sustainable Communities', was funded by Oxford University. The project was initiated collaboratively by researchers and practitioners through the Transition Research Network and Low-Carbon Communities Network. The project ran from 1 January to 31 October 2013. This is a working paper called 'Project Summary Report', written by the academic project team.
	CSE, & CDX. 2007. *Mobilising individual behavioural change through community initiatives: Lessons for Climate Change*. London: Department for Environment, Food and Rural Affairs. http://www.cse.org.uk/pdf/pub1073.pdf	This report was prepared by CSE and the Community Development Exchange (CDX). It is the final report of a project entitled 'Individual Mobilisation through Community', which has been undertaken on behalf of Defra, DCLG, HM Treasury, DTI and the Department for Transport (DfT). In the Energy Review, the UK Government committed itself to carrying out a 'study looking at the role of 'community level' approaches to mobilising individuals and the role of local authorities in particular in making them work effectively'. This project contributes to meeting that commitment.

Scheme	Source reference(s)	Overview of scheme and source(s)
		This brief study, completed between December 2006 and mid February 2007, investigated what kinds of local and community initiatives are most effective at influencing changes in behaviour and at what levels, and whether any lessons learned from these are transferable to the issue of climate change. It also looked for evidence to support or contradict the hypothesis that communities are well placed to mobilise individuals to change their behaviour. The study involved a brief literature review, interviews with 21 community-based initiatives, and a workshop of 23 expert stakeholders from both sustainable energy and community development sectors.
	Government website: Local authorities and the Green Deal - Detailed guidance. https://www.gov.uk/local-authorities-and-the-green-deal Accessed 13th November 2014.	The Green Deal is a financing mechanism that lets people pay for energy efficiency improvements through savings on their energy bills. The Green Deal launched in January 2013 and applies to both the domestic and non-domestic sectors. This webpage provides guidance for local authorities in delivering the Green Deal and the ECO in their communities.
	Website: Local Energy Scotland. http://www.localenergyscotland.org/ Accessed 13th November 2014.	Local Energy Scotland is a consortium made up of the EST, Changeworks, The Energy Agency, SCARF and The Wise Group. Local Energy Scotland administers and manages the Community and Renewable Energy Scheme (CARES) with support for delivery from Ricardo-AEA. Local Energy Scotland helps communities and rural businesses via a wide range of support, including: • free advice and support to help communities and rural businesses develop renewable energy schemes • advice on funding streams • support to access CARES (development and pre-planning loans) • support to access the Renewable Energy Investment Fund (post-planning loans).
	Website: PlanLoCal. www.planlocal.org.uk. (CSE) Accessed 13th November 2014.	The CSE PlanLoCal is a tool and resource bank for community activists, individuals and development workers who want to develop low-carbon living. By providing strategic tools, the aim is to empower people and groups to create successful projects in renewable energy, energy efficiency and neighbourhood planning that benefit their local area. The suite of resources covers a wide range of topics including planning, legislation, financial considerations, technical

Scheme	Source reference(s)	Overview of scheme and source(s)
		detail and case studies. The PlanLoCal resource is currently being evaluated to ascertain the extent to which community groups and individuals have found it useful in achieving their aims.
Scheme reviews: analogous policy areas		
ALISS	Website: http://www.aliss.org. CSE. Accessed 13th November 2014.	This programme - A Local Information System for Scotland (ALISS) – is funded by the Scottish Government and delivered by the Health and Social Care ALLIANCE Scotland. The programme works closely with existing ALLIANCE programmes, membership and networks as well as public services and communities in Scotland to make information about local sources of support easier to find.
Health and Wellbeing Boards	Humphries, Richard, Amy Galea, Lara Sonola, and Claire Mundle. 2012. *Health and Wellbeing Boards. System Leaders or Talking Shops?* The Kings Fund.	The UK Government demonstrated its intention to strengthen the role of local government in local health services in the White Paper, '*Equity and Excellence: Liberating the NHS*'. As part of this, health and wellbeing boards were established in 2012. These are intended to provide forums for discussion and to allow key leaders from the health and care system to improve the health and wellbeing of their local population. This report is by the Kings Fund, an English health charity helping to shape health and social care policy and practice. It discusses the findings from telephone interviews with 50 local authority areas about the implementation of the boards in their areas.

Scheme	Source reference(s)	Overview of scheme and source(s)
Communities that Care	Crow, Iain, Alan France, Sue Hacking, & Mary Hart. 2004. *Does Communities that Care work? An evaluation of a community-based risk prevention programme in three neighbourhoods*. Joseph Rowntree Foundation. France, Alan, and Iain Crow. 2001. *CTC – the Story so Far. An Interim Evaluation of Communities That Care*. Joseph Rowntree Foundation. http://www.jrf.org.uk/sites/files/jrf/1859352901.pdf. Bannister, Jon, and Jennifer Dillane. 2005. *Communities That Care: An Evaluation of the Scottish Pilot Programme*. 79. Scottish Executive Social Research. http://www.scotland.gov.uk/Resource/Doc/54357/0012332.pdf.	Communities that Care is an early intervention programme originally developed in the USA for children living in families and communities deemed to be at risk for social problems. It was funded by the Joseph Rowntree Foundation (JRF) in the mid-1990s and was based on a 'social development model' that suggests the development of children is heavily influenced by the interactions they have with adults around them. The scheme targets particular geographic areas and makes uses of local community members and professionals to try and eliminate 'risk factors' in that region that may be likely to lead to social problems in young people. Guided by a co-ordinator and various training exercises, the programmes are led by the community, and local residents and representatives are at the heart of the decision making process. The France and Crow report is an evaluation, after 5 years, of 3 demonstration projects that were run in the UK: Southside, Westside and Eastside. The Bannister and Dillane report draws on a pilot programme in Scotland at three sites, with research carried out between February 2000 and December 2003.
Clinical Commissioning Groups	Naylor, Chris, Natasha Curry, Holly Holder, Shilpa Ross, Louise Marshall, & Ellie Tait. 2013. *Clinical commissioning groups Supporting improvement in general practice?*. The Kings Fund. http://www.kingsfund.org.uk/sites/files/kf/field/field_publication_file/clinical-commissioning-groups-report-ings-fund-nuffield-jul13.pdf	Clinical Commissioning Groups (CCGs) were established in 2013 and broadly replace the function of Primary Care Trusts. CCGs have two important, but distinct, roles: they are responsible for commissioning secondary and community care services for their local populations; and they have a legal duty to support quality improvement in general practice. The aim of this Kings Fund report is to investigate the relationships being built inside CCGs, particularly looking at GP involvement, and also CCG's role in improving general practice and the structures and processes through which these relationships occur.
Various, regeneration	Adamson, Dave. 2010. *The Impact of Devolution: Area-Based Regeneration Policies in the UK*. York:	This study for JRF examines how area-based regeneration policies have developed in the four devolved nations of the UK. This report considers the 'lived experience of poverty', which it

Scheme	Source reference(s)	Overview of scheme and source(s)
	Joseph Rowntree Foundation. http://www.jrf.org.uk/sites/files/jrf/impact-of-devolution-area-regeneration.pdf.	defines as the 'total effects derived from living as a poor person in a poor neighbourhood', and looks at how area-based schemes make changes in the social experience of living in a neighbourhood. It concludes that local schemes are very important, but can only really be successful alongside national schemes.
New Deal for Communities	Batty, Elaine, Christina Beatty, Mike Foden, Paul Lawless, Sarah Pearson, and Ian Wilson. 2010. *The New Deal for Communities Experience: A Final Assessment*. Final report - volume 7. London: Department for Communities and Local Government. Lawless, Paul. 2007. *The New Deal for Communities Programme in England: Is Area Based Urban Regeneration Possible?* Sheffield: Centre for Regional Economic and Social Research, Sheffield Hallam University. http://www.gla.ac.uk/media/media_45376_en.pdf .	The New Deal Communities (NDC) scheme began due to the recognition that 39 neighbourhoods within England were heavily deprived and that action was required to bring them up to the national standard. Beginning in 1998, the scheme ran for 10 years, with each area including around 9,900 people and an average £50m spend. Improvement was based on 3 place-related outcomes (including the physical environment) and 3 people-related outcomes (including health), with a broad aim of putting community at the heart of the initiative. The scheme is notably hard to assess as the 39 schemes are designed to achieve different outcomes and are operating in contrasting contexts. The Batty et al report to DCLG is a synthesis of evidence presented in a series of final reports from the national evaluation of the NDC programme, carried out between 2001-2010 by a consortium led by the Centre for Regional Economic and Social Research (CRESR) at Sheffield Hallam University. The Lawless paper is a personal working paper, written by the director of the 2006-09 Phase 2 NDC national evaluation, who is also one of the authors of the Batty et al report. *NB The Lawless paper requires permission to quote.*
Communities First	AMION Consulting Limited and Old Bell 3 Limited. 2011. *The Evaluation of Communities First*. Merthyr Tydfil: Welsh Government Social Research. http://wales.gov.uk/docs/caecd/research/110913-evaluation-communities-first-en.pdf. Adamson, Dave, and Richard Bromiley. 2008. *Community Empowerment in Practice Lessons from*	Communities First is a Welsh scheme, introduced in 2001, to target poverty through a community-based programme. This programme provided funding to small areas, known as Community First Clusters. The scheme's overarching aim is to narrow the gaps in wealth, health, education and skills between the most affluent and most deprived areas. The concept is based on the idea of small groups of communities working together and sharing resources to tackle local issues. The scheme was set up in response to a perceived failure of grant-aided regeneration projects in securing sustainable improvements in deprived areas. The programme had an early focus on simply building community capacity and developing an

Scheme	Source reference(s)	Overview of scheme and source(s)
	Communities First. Joseph Rowntree Foundation. http://www.jrf.org.uk/sites/files/jrf/2157-community-wales-empowerment.pdf. Hincks, Stephen and Brian Robson. 2010. *Regenerating Communities First Neighbourhoods in Wales*. Joseph Rowntree Foundation. http://www.gavowales.org.uk/file/communities_regeneration_Wales_full.pdf	action plan for the community. It did this by developing the skills, abilities and confidence of both individual residents and community-based groups and organisations to take effective action and leading roles in the development of communities. The Department for Social Justice and Local Government (now Local Government and Communities) of the Welsh Assembly Government (now Welsh Government) commissioned two concurrent evaluations of the Communities First Programme during 2010. These were published together as the AMION Consulting and Old Bell 3 report. The report uses: - a literature review - a review of area conditions - a review of the performance management data and local evaluation material - econometric modelling - a web-based survey - fieldwork in 25 case study areas - qualitative interviews. The Adamson and Bromiley report is an independent review for JRF. The primary methods included a programme of 9 case studies of Communities First partnerships and a series of over 50 interviews with stakeholders in the Communities First Programme, including 20 with community members. These were supported by community-led review events in each case study area, which provided an opportunity for community members of Communities First partnerships to review their experience of participation in the programme. The Hincks and Robson report, also for JRF, compares the extent to which first generation Communities First neighbourhoods have improved, relative to other similarly deprived neighbourhoods in Wales, using key change indicators. In terms of similar areas, these were defined using a dynamic typology of deprived neighbourhoods based on LSOAs, developed specifically for Wales.