



Mainstreaming Business Support Targeted at Disadvantaged Communities

A Report for the Small Business Service

Final Report

June 2007

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Acknowledgements

The research team would like to thank the SBS for committing to the research project. In particular, we would like to thank David Purdy for his encouragement and guidance as the project developed. Our thanks also go to the advisers on the project, including Sue Lawton and Richard Parkes. We would also like to thank the key informants in the five case studies and in the four regional bodies who helped us develop our thinking on mainstreaming.

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April 2007

Executive Summary

Aims and Objectives

- This Report aims to lay the foundations for criteria which can be used to assess the feasibility of mainstreaming targeted business support initiatives. This will require first, a ground clearing exercise on the concept of mainstreaming, and second, an assessment of these characteristics when applied to five case studies which have experienced some form of mainstreaming. This literature and empirical based approach should help in establishing criteria for gauging the appropriateness and viability of targeted initiatives for mainstreaming. The report then draws on interviews with representatives from four sub-national mainstream bodies in order to understand how initiatives for disadvantaged groups and areas are developed.

Literature Review

- It is important that a literature review is undertaken since the term mainstreaming is widely used but often with an inadequate understanding of its meaning. 'Mainstreaming' is a ubiquitous concept which has been applied across a range of issues in public and private policy circles. Definitions and meanings of mainstreaming are wide-ranging, creating a lack of general understanding and clarity.

Definitions of Mainstreaming

- Generally, the term 'mainstreaming' refers to an activity which converts or applies practice from one domain to another, with the engagement of key institutional partners in this process. These may be 'top down' or 'bottom up' agencies, or both.
- With regard to the mainstreaming of *business support*, the concept of 'strategic' mainstreaming (ODPM, 2004) is perhaps most appropriate, which combines high-level commitment with a locally driven agenda.
- Within this context, mainstreaming is concerned with achieving greater efficiency and creating widespread benefits from localised and / or targeted initiatives. Policies are aimed at improving service quality, reliability and building a process of continuous quality improvement through ongoing review.

What Makes a Targeted Initiative Mainstreamable?

- The literature review suggests that in identifying the mainstreaming suitability of a project, *a priori*, various factors should be considered, including:
 - How has the pilot or initial project been used to identify gaps in provision?

- Where and how can existing mainstream business support be adapted or modified?
 - Are different types of support provision coordinated?
 - Did the project identify measurable outcomes? How were these outcomes derived? How embedded are they within the specific project objectives?
 - What are the tangible outcomes? To what extent has the project met its objectives (e.g. cost per output/ unit)
 - What is the place of public consultation in policy assessment?
 - How adequate are currently available information and analytical capabilities?
- The literature review found that the key factors in *successful* mainstreaming include:
 - The importance of local 'push' factors, such as a strong groundswell of support and perceived need for action
 - Working in partnerships
 - Clarity of objectives and partners responsibilities
 - Monitoring and Evaluation
 - Flexibility in the development of the initiative
 - Allowing room for experimentation
 - Strategic fit with the objectives of the new host
 - Fit with broader mainstream policy objectives
 - 'Appropriate' practice rather than transferring practice from elsewhere
 - On the other hand, the literature found *barriers* to mainstreaming or ineffective mainstreaming, to include:
 - Use of 'one size fits all' approaches which are overly rigid
 - Lack of intra- and inter-organisational infrastructure
 - Resistance to change, emanating for example from internal politics/culture
 - Imposed or top-down policies with inadequate 'local' consultation and engagement

Case Study Approach

- The literature review informed an *aide memoire* that guided discussion in a series of interviews in five case studies of targeted initiatives. These case studies were selected on the grounds that they demonstrated mainstreaming in some way. These case studies are used to inform and illustrate the criteria for successful mainstreaming developed in the report.

Criteria for Successful Mainstreaming

- The analysis of five case studies provided an opportunity to further develop the key factors found to be central to successful

mainstreaming in the literature. Four major thematic areas were identified from the interviews as important for successful mainstreaming:

- i. Project characteristics
- ii. Organisational characteristics
- iii. People characteristics
- iv. Strategic fit and policy linkage

- In relation to **project characteristics**, it is important that the objectives of the targeted initiative are explicitly stated and the methods used to achieve them carefully described.
- Monitoring and evaluation is necessary to provide evidence to support mainstreaming. Independent evaluation provides a stronger evidence base in this regard.
- In relation to **organisational characteristics** the evidence suggested that high profile organisations with a strong reputation in the region were the most successful. Reputation helps to attract the additional resources necessary for mainstreaming, as well as helping to attract potential partners. Another key organisational asset is learning capability.
- The **role of people** was embedded in the other criteria, but is singled out, because of its major significance. People criteria spanned both those working in the delivery agencies as well as their clients.
- It was crucial that the targeted project had strongly motivated and committed staff. Projects with staff who had a feeling of ownership and 'project champions' (including managers, frontline staff and clients) are much more likely to be promoted for mainstreaming. These staff could then help in the transfer of the project to other geographical areas as well as disseminate the 'good practice' to other agencies.
- Finally, the ability to be mainstreamed is greatly enhanced if the targeted project has a close **strategic fit** with mainstream policy, since this raises its potential for adoption elsewhere.
- Optimism was expressed at the establishment of Regional Development Agencies as mechanisms for mainstreaming targeted initiatives, since these were regarded as more likely to be accessible than central government or other agency configurations.

Views and Role of Mainstream Bodies

- There is also a need to understand the mainstreaming process from the perspective of mainstream organisations seeking to learn from practice elsewhere and develop and implement initiatives. This allows a more holistic understanding of mainstreaming to be developed.

- Views from senior managers in four sub-national mainstream bodies were sought on the process of developing and implementing initiatives for disadvantaged groups and areas. There was a recognition that support for disadvantaged groups needed to be tightly focused if it is to meet the specific needs of these groups.
- The research conducted amongst mainstreaming organisations showed their prime interest was in funding initiatives that had been shown to be *effective*. However, the reality of the environment in which national and sub-national delivery exists would suggest that *efficiency* will be increasingly important whether explicitly achieved or not.
- A number of targeted initiatives have been relatively short term in nature, operating within the confines of the target community. These initiatives have often been quite heavily funded to pilot approaches with a view to stimulating wider activity. But such approaches, even if successful, have tended to reach small sections of the communities of interest. The key issue for regional and national policy makers has to be extending initiatives to benefit more of these communities, even if they are dispersed in pockets throughout a region. The real value is what people can learn for groups traditionally hard to support on enterprise issues.
- The research conducted amongst mainstreaming organisations showed their prime interest was in funding initiatives that had been shown to be effective. However, the reality of the environment in which national and sub-national delivery exists would suggest that efficiency will be increasingly important. Indeed, the DTI is leading the cross Government Business Support Simplification Programme to increase the ease of use, effectiveness and efficiency of Government support to business. This will rely on working in partnership with RDAs and local Government to simplify schemes regionally. To some extent it is likely that the proliferation of Government schemes for people with particular needs/backgrounds will be discouraged in favour of a more relevant, better all round delivery framework.
- Ultimately, a decision will be needed on the form of mainstreaming that is most effective given the specific circumstances. Different forms of mainstreaming will also have different financial implications and there are unlikely to be straight forward approaches to assessing efficiency. However, there are reasons to believe that more mainstreamed delivery of previous targeted initiatives may deliver certain efficiencies, even if not their primary intention, including achieving economies of scale.

Conclusions

- Our research shows that the criteria for successful mainstreaming depends on how mainstreaming is defined and the receptiveness of mainstream organisations. In the five case studies, the most common type was '*scaling up*', or horizontal mainstreaming. This involves expanding the existing targeted initiative demographically or geographically (BizFizz, Women in Business, Surviving into the Mainstream (SIM), and Mazorca). Mainstreaming through '*organisational learning*' where lessons learnt through the targeted initiative were adopted by other parts of the organisation in different contexts, took place in both Women in Business and SIM. Adding a targeted initiative to a mainstream service such as Business Link or the local authority, known as '*braiding*', was less common but an approach adopted by both BizFizz and Sunderland Housing Group.
- A number of criteria regarded as essential for successful mainstreaming are highlighted in the Report. Across all the criteria identified, an emphasis is placed on the commitment and expertise of staff and the need for strong partnerships, for both effective delivery and the recruitment of clients.
- Even when successful targeted initiatives are identified, replication of a successful initiative into a different field may not, however, be straightforward. Where mainstreaming involves new staff and/or organisations, other than those responsible for developing and implementing the original targeted initiative, there may be challenges related to the expertise and commitment of these staff and/or organisations. It is important to continue to harness the original champions of the initiative to help combat this challenge.
- Whilst this Report has examined the criteria for the successful mainstreaming of a targeted initiative, there is a need to develop appropriate methodologies for measuring the efficiencies of an initiative. This will help provide a more informed discussion, for example, regarding the efficiencies of a general versus a specialised service, or a regional wide versus geographically confined initiative.
- The research was unable to unearth any satisfactory methodologies used for comparing the relative merits of efficiency and effectiveness driven approaches for the development and delivery of initiatives. One issue here was the variety definitions used and an absence of generally acceptable definitions. It is suggested that this lacunae is addressed in future appraisals of targeted public policy interventions.
- The Report also suggested that estimates of efficiency, such as cost per head of delivery, may change as an initiative gains or loses impact over time. Hence, what may prove efficient in the short term, such as a reduction in unemployment or the promotion of self-employment for the disadvantaged, may diminish in time as the effects of the initiative

wear off. On the other hand, a more effective and targeted initiative may reap longer-term benefits for those receiving support.

- The above discussion suggests that there is a need for a careful assessment when transferring or importing an initiative from one domain into another. It also implies that efficiency and effectiveness criteria may not be contradictory but instead may be complementary.
- In short, mainstreaming a targeted initiative introduces risk in terms of both 'concept testing' elsewhere and the actual 'process of transferring' the targeted initiative. The criteria discussed and developed in this Report should help in reducing this risk and raise the ability of targeted initiatives to be mainstreamed.

Chapter 1: Aims, Objectives and Methods

1.1 Aims and Objectives

'Mainstreaming' is currently a popular concept and has been applied in a range of discourses and policy areas for around 30 years. In terms of public policy, mainstreaming has had currency in relation to educational access and disability (Lobach, 2002), gender inequality (Razavi and Miller, 1995), employment (EQUAL, 2004; Dublin Inner City Partnership, 1999; Gore, 2004) agriculture (Garforth et al, 2003), environmental issues (Bregha et al, 1990), education (Cumming and McDougall, 2000), immigration (Kelaher, 2000) and business support (Lyon and Evans, 2004). Having said this, there may be reason to believe that numerous successful initiatives have not been 'mainstreamed' because of an absence of a rigorous framework for assessing the suitability for mainstreaming. It is also clear that the lessons from many time limited targeted initiatives have not led to anything beyond their remit.

This Report presents the finding of research which seeks to:

- i) Assess the feasibility of establishing criteria and models for mainstreaming targeted business support, with particular reference to support for women, ethnic minorities and deprived areas.
- ii) Develop criteria for deciding if an initiative is worthwhile transferring to the mainstream; and if so, the operational requirements for it to be mainstreamed successfully.

1.2 Methodology

This Report draws on a literature review plus two rounds of interviews: with those in targeted initiatives (i.e. the five case studies) and with four senior managers in sub-national 'mainstream' bodies. The literature review was undertaken using desk-based resources and secondary texts. Initially internet searches were used to identify possible sources of information, including monographs and academic journal articles. A matrix of the articles and sources used was then created (see Appendix 1), and used as a basis for the literature review.

Collecting primary data can be a delicate process and in order to successfully glean relevant and useful information, a great deal of thought must be given to the methods used. When trying to uncover social, historical and institutional processes, qualitative methods such as the semi-structured interview offer opportunities for openness and flexibility, as opposed to more standardised surveys which may generate correlations, but do not always demonstrate causality and neither do they explain how or why a particular correlation occurs. Semi-structured, qualitative interviews offer the respondent the opportunity to put forward nuanced points and reflect upon their responses; the interviewer still retains control by using a 'topic guide', but is able to be reflexive and adapt the process as the interview develops, depending on the responses given. It is thus believed that in-depth qualitative interviews provide more comprehensive understanding of so called elite actors and networks, especially as they can

avoid 'top-down' setting of research priorities, which can obscure questions/knowledge not produced within the academic sphere. Thus, semi-structured interviews were deemed the most appropriate tool for this research, where 'elite' actors were being targeted, i.e.

“the informants occupied a senior or middle management position with functional responsibility in an area which enjoy high status in accordance with corporate values; has considerable industry experience and frequently also long tenure with the company; [and] possesses a broad network of personal relationships”
(Welch et al, 2002 p614)

The topic guide for the five case studies was designed by the research team in order to reflect the different priorities and areas of inquiry for the project, and then made available for feedback from SBS and other confidants (See Appendix 3 for final topic guide).

SBS colleagues suggested that business support programmes that had received funding from the Phoenix Development Fund (PDF) would be worth particular consideration. PDF was an SBS initiative which ran from 2000 to 2006 aimed at innovative projects working in disadvantaged areas and with under-represented groups. From this selection five projects that had demonstrated mainstreaming at some level were chosen for case studies. The aim was to interview the lead person in the respective projects in order to get as detailed a picture as possible (see Appendix 2 for details of respondents).

Summary: The Phoenix Development Fund

The Phoenix Development fund was set up in 2000 to support innovative projects working in disadvantaged areas and with under-represented groups. During its lifetime it supported an impressive range of initiatives that:

- explored innovative ways of promoting business start-ups in disadvantaged areas
- helped existing businesses in those areas to diversify, to provide better services and become more profitable
- provided specialist support to encourage isolated people and groups in those areas to consider setting up and running their own businesses. (SBS, 2006)

Its key aim was to “provide finance in a manner that encouraged experimentation, evaluated new ideas, identified and spread best practice. The Fund chose to support a limited number of high quality projects, to help inform this policy development process. The projects used a wide variety of approaches to target different types of disadvantaged areas (inner cities, outer estates, rural areas) or groups under represented in enterprise such as women, ethnic minorities, and people with disabilities and ex offenders” (Ramsden, 2006; p6).

In addition, interviews with four senior managers in mainstream sub-national organisations were undertaken by telephone. These followed a schedule designed to collect information on the decision making processes and criteria of these organisations in relation to their methods for addressing the needs of disadvantaged groups and areas (See Appendix 4 for Interview Schedule). These interviews helped provide a more holistic understanding of the linkages between targeted initiatives and the linkages with the mainstream bodies. These managers were not chosen due to any direct link with the case study schemes.

1.3 Mainstreaming Definition

There are many definitions of mainstreaming. However, for the purposes of this Report mainstreaming is defined as:

an activity which converts, or applies, practice from one domain to another with the engagement of appropriate institutions and partners in this process.

This may involve the scaling up of a project or transfer of a project to another area. A more detailed discussion of mainstreaming is presented in Chapter 2. The role of enterprise in alleviating social exclusion is a relatively new field for policy within the UK and as such many of the projects and initiatives are at a relatively early stage and on a small scale. Therefore the concept of mainstreaming is particularly pertinent to this policy area.

Chapter 2: Mainstreaming Literature Review: concepts, definitions and developments.

2.1 Introduction

This chapter seeks to unpack the notion of mainstreaming and explore the different domains in which it has been applied. A literature search of the term mainstreaming and mainstream in March 2005 uncovered 158 papers (of which 104 were gender based).¹ This literature review seeks to assimilate the key papers of relevance to the current project, whilst also illustrating the range and depth of material available. The stages of this review have been to first negotiate the initial difficulties of defining mainstreaming; second, to outline the broad conceptual methodologies in relation to mainstreaming; third to discuss the criteria to be used in identifying policies / initiatives with potential for mainstreaming; then finally reviewing the key principles in implementation.

2.2 Objectives of the Review

To summarise, the main objectives of this review are as follows:

- Develop an understanding of mainstreaming as a concept
- Investigate the potential advantages of mainstreaming existing activities
- Understand clearly the barriers and principles to successful mainstreaming
- Suggest criteria for identifying suitable projects for mainstreaming
- Discuss the various criteria used in evaluating mainstreaming

The review will then form the basis for the collection of empirical information in five case studies.

2.3 Definitions of Mainstreaming: antecedents and developments

Despite its ubiquity in the literature, there appears to be a lack of general understanding, or at least a lack of clarity, over what actually constitutes mainstreaming. This is outlined as a key barrier to the implementation of mainstreaming by the Audit Commission (2002), and as such requires some discussion. The origins of mainstreaming lie in education and the integration of students with disabilities into mainstream education: citations of which go as far back as the 1970s (Lobach, 2002).² A recent Council of Europe report attributed the first use of the term outside of education to the United Nations Third World Conference on Women in Nairobi, 1985, which discussed the notion of 'gender mainstreaming' (Scottish Office, 2003). This has come to be defined as:

¹ In Google Scholar, for example, a simple search using the term 'mainstreaming' uncovered 17,000 citations and 5,580 for 'mainstreaming policy'.

² Appendix 1 provides a summary of 39 papers considered by the authors and their relevance to this mainstreaming project.

“...ensuring that gender perspectives and attention to the goal of gender equality are central to all activities - policy development, research, advocacy/ dialogue, legislation, resource allocation, and planning, implementation and monitoring of programmes and projects” ([OSAGI](#), nd – accessed 1/3/05)

This offers a step towards what ‘mainstreaming’, in the generic sense, entails: a way of attempting to infuse a marginalised notion into the collective conscience. Mainstreaming, obviously as a verb, involves some *action* and the transfer of activities or the underlying principles of an activity to a broader domain or discourse. Gertler emphasises the idea of shared learning in the mainstreaming process, viewing it as a form of ‘learning-driven convergence’ (developed from Gertler, 2001).

In time, mainstreaming has received wider applicability. The Scottish Office’s (2003, p1) definition stated the need for “...rethinking mainstream provision to accommodate ... [various] dimensions of discrimination and disadvantage, including class, ethnicity and disability”. More recently, mainstreaming has moved beyond the realms of focussing on overcoming discrimination or marginalisation to incorporate a range of initiatives, policies and innovations aimed at improving the overall efficiency and scope of services, both in the public and private sector.

Scottish Enterprise (2003) perhaps encapsulate the broad specifics of mainstreaming in suggesting two key forms: when existing services provided by targeted projects continue to be provided directly by mainstream, statutory agencies; when mainstream agencies adapt their existing service provision to more adequately respond to and meet the identified needs of the targeted initiative’s clients.

This may be put succinctly as:

“...to spread approaches and learning from localised, short-term pilots, frequently on the periphery of mainstream services, to mainstream programmes; and to achieve sustainable funding for these pilots” (Douglas et al., 2004: 4)

It is this latter definition which appears to be of greatest relevance to the current project. However, there is still a lack of definition as to what the mainstream constitutes for a policy: be it source of funding, the geographical scope, the delivery agency, the target audience and so on.

2.4 Why Mainstream Local and Targeted Initiatives?

Mainstreaming is, in essence, a process concerned with achieving greater efficiency and creating widespread benefits from localised/targeted initiatives. In particular, the mainstreaming of policies can comprise broadening delivery to a wider audience, improving service quality and reliability and building a process of continuous quality improvement through ongoing review and

evaluations. These positive results can be achieved through a number of ways:

- *innovation*: local innovative actions and approaches are incorporated into the budgets and plans of the relevant agency
- *learning*: policy learning extracted from local initiatives contributes to policy making in the wider economy
- *targeting*: the experience of local partnerships act as advocates to refocus and retarget mainstream programmes more effectively in disadvantaged areas
- *planning*: local partnerships assist in developing participatory planning methods which allow joint planning on local needs and responses between agencies and local actors, particularly those for whom the decision making has relevance (PLANET, 2000)

Various exponents of mainstreaming have highlighted the benefits of its capacity to allow a “more provisional, experimental approach” (Martin and Davis, 1999: 5), by using pathfinders and pilots as “safe spaces” (Mulgan and Albury, 2003: 17) for testing policy and thus reducing risk. This method of creating incubation space for policy innovation has been also linked with promoting a new culture of central/local relations, greater community involvement in government decision making, which promotes an overall contribution to democratic renewal (Martin and Davis, 1999).

2.5 Mainstreaming Methods

Mainstreaming is often used to describe a “bottom up” (ODPM, 2004) approach to policy development and delivery. However, conventionally organisations have relied on two forms of ‘top-down’ methods; either via direct control through law, central direction and administrative command; or dissemination of the evaluations of pilots, case studies and best practice (Mulgan and Albury, 2003). While these methods are known to have success in certain circumstances, such as where there is strong, clear evidence of *need* for change, there has been criticism aimed at the inflexibility and authoritarian nature of such programmes. As such, there has been a call for more locally driven approaches, which may be seen in the ODPM’s (2004) more refined ‘strategic’ mainstreaming. This still entails a strong commitment from central policy makers, but makes local partners the key drivers in the process, i.e. “refocusing of mainstream programmes (and mainstream funding) on to targets which are agreed and shared by local partners, reflecting the pattern of local needs” (ODPM, 2004: 2). This may be broken down into 3 key components:

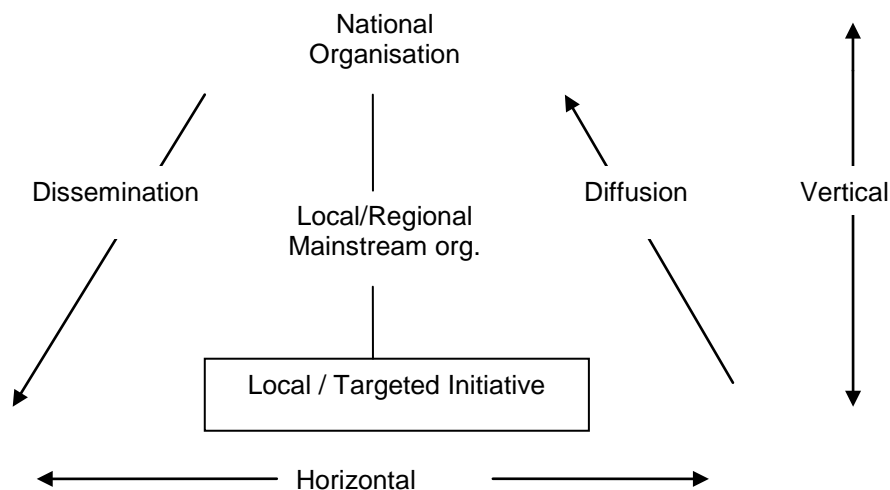
- *‘reshaping’* mainstream programmes where organisational structures prevent initiatives receiving extra support
- *developing* policies which focus on the needs of targeted people
- *joining-up* programmes to avoid gaps learning from innovative practice and adapting mainstream delivery mechanisms accordingly (ODPM, 2004 Neighbourhood Renewal Unit, internet source 1/3/05)

i.e. a braided approach incorporating adaptation or absorption of something; scaling up an activity; infusion within the organisational culture and activities.

A major element of mainstreaming is the notion of *dissemination*. This is often used interchangeably with *diffusion*, but there is an important distinction. Diffusion connotes a bottom-up activity, whereby policy change begins at the local level and is driven by those at local level. This method of mainstreaming policy and practice is being increasingly advocated in the government language of developing partnerships (e.g. Nyberg, 1998).

Throughout these methods, the notions of *horizontal* and *vertical* mainstreaming are ever present (see Figure 1). In this figure vertical mainstreaming involves mainstreaming between different levels of governance or organisations – e.g. from local governance up to national (and vice-versa). Horizontal mainstreaming operates across agents and organisations at the same level, for instance the diffusion of good practice from one local agency or authority to another.

Figure 1 Routes to Mainstreaming



Source: Authors' original

If mainstreaming is unpacked further, a number of potential models may be identified (Figure 2). These cover a range of methods, from 'weak', cultural changes, through to wholesale infrastructural transformation.

Perhaps the simplest concept is that of **scaling-up**, which involves expanding the existing targeted initiative either demographically or geographically. This has the advantage of the project having to change little in the way it operates or who its target groups are, with generally few effects on mainstream bodies.

At the opposite end of the scale is **organisational change**, which is almost entirely focussed on the mainstream organisation. This would occur where a targeted initiative ends or changes focus, with the mainstream body undergoing a complete overhaul of its culture and practices in order to cater for a particular group. Thus, the target group is catered for on a wider scale, although some specificity of support may be lost. A weaker version of this is the notion of **organisational learning**, whereby good practice is passed on from the target initiative and infused into the mainstream organisation.

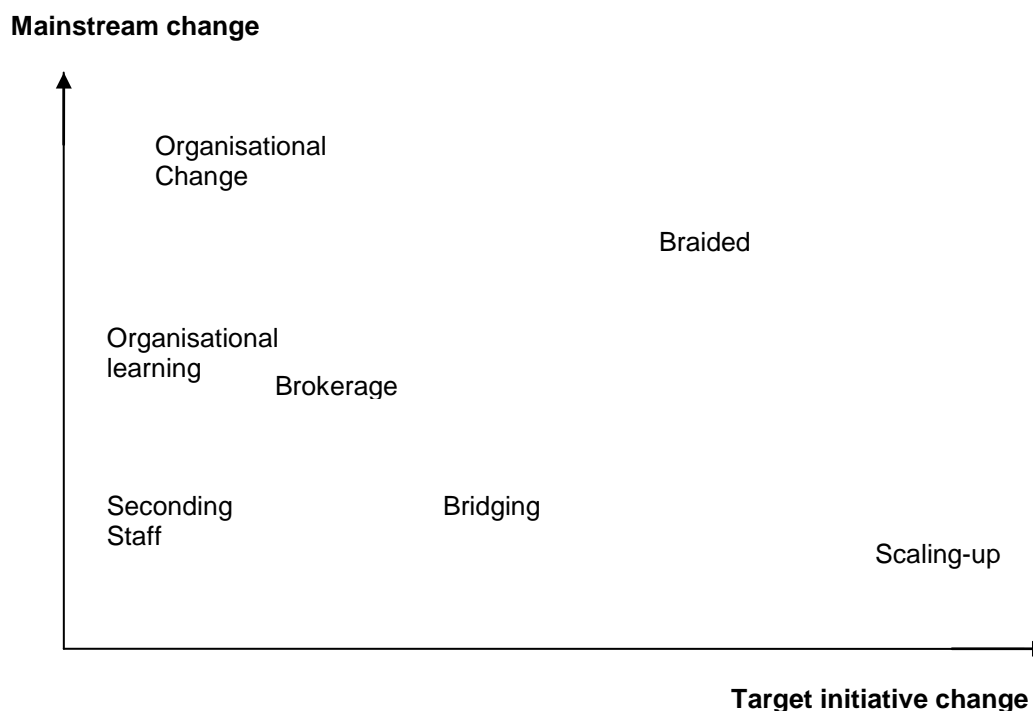
A compromise approach may be using the **braided** method of mainstreaming, which involves adding a targeted initiative to mainstream service. This approach guarantees funding for the targeted initiative, as well as an increase in scale and access to greater resources whilst also ensuring that the targeted group still receive a relevant service. This approach potentially offers the greatest rewards, although this may be dependent on the flexibility and willingness to cooperate of both organisations.

A number of other models are used, which require fewer resources and cause less disruption to either the mainstream or targeted organisation, but which also have much weaker potential for change. **Bridging** involves developing links between targeted groups and a mainstream provider, with the targeted organisation acting as an intermediary; **Brokerage** works in the same manner, but with the mainstream organisation passing individuals on to the target organisation. Perhaps the method with least infrastructural upheaval is that of **seconding staff**, whereby the mainstream body recruits an individual with expertise in a particular target area to help develop its delivery to under-represented groups.

Some forms of mainstreaming may incorporate more than one of those listed above. For example, the notion of **franchising** is currently a popular concept within business support initiatives. This involves developing a set model, which may then be rolled out through other organisations, often localised mainstream bodies, 'buying in' to the franchise. This method of mainstream thus involves elements of *scaling-up* as well as *braiding*.

Each of these methods requires some degree of change, with varying pressures on mainstream and targeted organisations. Figure 2, below shows this. It also demonstrates the potential of the braided approach to mainstreaming in that it involves changes in both the targeted initiative and the mainstream, potentially resulting in a more sustainable outcome since, *a priori*, it may be closest to satisfying efficiency and effectiveness criteria.

Figure 2



Source: Authors' original

The extent to which targeted initiatives are able to be mainstreamed will of course depend on the type of mainstreaming they seek to achieve. In practice, for example, horizontal 'scaling-up' is more likely to be achievable than mainstream for organisational change because of the relative ease of transferring the initiative to similar locations or groups than affecting thinking in the mainstream which is subject to a variety of pressures.

2.6 Identifying the Suitability of Projects for Mainstreaming

A cornerstone for the successful mainstreaming of an initiative is first to develop and identify the criteria for which a project or policy might be deemed appropriate for mainstreaming. Mulgan and Albury (2003) do note that in mainstreaming a policy or project, selection has to be "ruthlessly focussed" to ensure that only those with most merit are replicated. In other words, only a small proportion of pilots deserve to be mainstreamed, but this is an area which has received only minor attention in mainstreaming literature.

Bregha et al. (1990) and more recently Lyon and Evans (2004) suggest a series of questions which should be raised when considering mainstreaming a project; these may be summarised as:

- How has the pilot project been used to identify gaps in provision?
- Where and how can existing mainstream business support be adapted or modified?

- Are the different types of support provision co-ordinated?
- What are the tangible outcomes of the initiative?
- What is the place of public consultation in policy assessment?
- How adequate are the currently available information and analytical capabilities?

In addition, we would also emphasise the importance of measuring the outcomes of the project, including: did the project identify measurable outcomes? How were these outcomes derived? How embedded are they within the specific project objectives? How efficiently has the project met its outcomes (e.g. cost per output/ unit)?

Other suggested frameworks have included Scottish Enterprise's (2003) 'Policy Mainstreaming Matrix', which identified policy gaps in mainstream agency provision related to the employability needs of disadvantaged groups. CCRU and ADAS (2001) developed a comprehensive scoring system to measure potential applicants suitability for mainstreaming. This scoring system was developed by DEFRA to rate the suitability of applicant farmers on a Countryside Stewardship Scheme. In this instance, given that applications normally exceed the available budget it was deemed more appropriate to judge applications according to a scoring system that considered, among other things, the quality of environmental and recreational benefits offered. Applications judged to be successful on these criteria received mainstream funding elsewhere. PROWESS (SBS, 2004) also developed a flagship award for excellence in women's enterprise development as a means of influencing mainstream and specialist providers of support, based around 4 themes, to assess the performance of programmes and evaluate good practice - as follows:

- Inclusion
- Client focus
- Equality
- Quality

Clearly, therefore, there has been some thinking for identifying how successful projects will help inform the development of the criteria for identifying initiatives that may be considered suitable for mainstreaming.

2.7 Key Barriers to Mainstreaming

Following the development of a framework for identifying relevant initiatives and the actual identification of suitable projects for mainstreaming, it is not then a straight forward process to actualise mainstreaming. A range of issues have been identified as being barriers to success of mainstreaming. Indeed it has been argued that "...it is perhaps neither in processes for developing and testing ideas where the public sector is weakest but in finding effective ways of replicating, mainstreaming and scaling up successful pilots and prototypes" (Mulgan and Albury, 2003: 23). In particular, ODPM (2004) note that there is a problem with bending mainstream programmes to incorporate more

marginal issues. The main issue appears not to be in the content of the policies, but in the approach, structure and delivery of mainstreaming a targeted initiative (Scottish Enterprise, 2003). Below are some of the key issues involved.

2.7.1 One Size Fits All

Using mechanised 'one-size-fits-all' approaches towards the mainstreaming of a targeted initiative, insensitive to the needs of alternative audiences, brings a host of problems including a failure to achieve levels of performance achieved by the initial project (Bregha et al, 1990; Mulgan and Albury, 2003). It has been argued that this may be avoided by mainstreaming the *processes* involved in projects as opposed to simply adopting the final innovation.

2.7.2 Lack of Infrastructure to mainstream

A number of sources have identified a lack, or inappropriateness, of formal mechanisms and infrastructure within public sector institutions and networks as a weakness in mainstreaming targeted initiatives (PLANET, 2000). In particular, analyses have identified the rigidity of the existing organisational structure and an insufficient ability/resources to adapt to, sometimes resource intensive, mainstreaming projects (Garforth et al, 2003). A lack of inter-organisational communication/collaboration has also been identified as a weakness when attempting to transfer initiatives (Dublin Inner City Partnership, 1999).

2.7.3 Internal Politics/Culture

One of the challenges to the successful mainstreaming of a targeted initiative may be the informal cultures within organisations, which may be resistant to change (Gore, 2004), or a negative perception of projects by people - especially if they are perceived to involve cultural changes for organisations (Dabinett, 2001). Allied to this are the incompatibilities of applying an initiative that may sit comfortably in, for example, one local-political system but may simply not be suited to mainstream organisations, particularly governmental bodies (Lyon and Evans, 2004).

2.7.4 Top-Down Approaches

Centrally-led approaches to mainstreaming may be appropriate where there is compelling evidence that the innovation is highly likely to increase performance, irrespective of context and locality, (Mulgan and Albury, 2003). However, it is unlikely that this will be the case. Evidence suggests that commitment to mainstreaming is weak from 'pull' factors (central agency) and as such, there is some criticism of the more top-down approaches towards mainstreaming (Kendall, 2000). One of the key problems with these approaches include resistance from those in organisations who feel that new policies are being arbitrarily imposed upon them from above, and also that this method often leads to inflexible, rigid policy changes (e.g. Garforth et al., 2003 on the Link Sustainable Production Programme). On the other hand, it has

been argued that local delivery agencies require strong support from national bodies, be it in terms of resources, training or more simply tacit encouragement. PLANET (2000) for example, claim that all too often local agencies are left with sole responsibility for mainstreaming promising initiatives and that there must therefore be "...an explicit commitment to mainstreaming from government and government ministers" (ibid, 2000: 13).

2.8 Key Principles for Successful Mainstreaming

The literature suggests a range of principles for the successful mainstreaming of targeted projects. Although these are broad they may be summarised under seven key headings:

- Local 'Push' factors
- Partnership and Network Mobilisation
- Clarity of Objectives and Responsibilities
- Monitoring and Evaluation
- Flexibility and Experimentation
- Strategic Fit
- 'Appropriate' Practice

2.8.1 Local 'Push' Factors

A strong groundswell of support for a particular project is imperative for the successful mainstreaming of an initiative in that it shows a demand for the initiative to take place (PLANET, 2000). Proximity (either geographical, organisational or in terms of agendas) brings a greater understanding of the target audience, as well as fewer cultural/infrastructural barriers to knowledge exchange. As noted previously, initiatives led by 'pull' factors bring weak commitment, especially when delivery partners work at a local level to diffuse relevant information amongst the associated networks (Martin and Davis, 1999). In line with this, it is important that diffusion takes place through peer networks within organisations. Mulgan and Albury (2003) highlight the fact that professionals are much more likely to be positively influenced by those of equal status than by their seniors. In particular, the importance of middle managers to connect top to bottom is highlighted as central to fostering strong horizontal and vertical communications (Gertler, 2001).

2.8.2 Partnership and Network Mobilisation

Developing a partnership and or mobilising a network, is probably the single most important principle to emerge in the reviewed literature, mentioned in virtually every instance, for the successful mainstreaming of an initiative. This is exemplified by the Social Enterprise Partnership's statement that "network building is the first mainstreaming priority" (cited in EQUAL, 2004 p.14). Elsewhere an evaluation of *Choose Life*, which seeks to implement a national plan to prevent suicide in Scotland, emphasised the role of local stakeholder consultation and engagement for success despite its top down approach (Scottish Executive, 2006). Hence, cooperation and collaboration must take place on all phases of the mainstreaming process, with particular emphasis

placed, once more, on local networks, inter-organisational collaboration and strong intra-organisational communities (Martin and Davis, 1999). This rhetoric is not something unique to mainstreaming literature, and builds on the work of Porter et al. (1998) regarding the advantages of clusters and networks in economics. The use of alliances (e.g. partnerships and joint ventures) are seen as much 'deeper' methods for achieving convergence than other, more 'top-down' methods (Gertler, 2001). In addition it is noted that "entrepreneurs tend to be confused by the number of different agents and are not always able to distinguish between the different agencies and their representatives" (Lyon and Evans, 2004: 53) which also shows the strength of a collaborative, multi-agent approach.

2.8.3 Clarity of Objectives and Responsibilities

In carrying out the process of mainstreaming initiatives, it is important that there is transparency in information exchange, as well as clarity of the mechanisms involved and overall objectives (PLANET, 2000). For instance it is suggested that organisations should identify a lead department with overall responsibility with named officials responsible for the process (PLANET, 2000; Equal Opportunities Commission, 2005). This enables greater all round understanding of the mainstreaming process, both within and outside the lead body, and also promotes a more open environment where information exchange should be visible and should be tracked. Another facet to this may be in developing simple templates to allow partnerships to flag projects or processes that have mainstreaming potential (PLANET, 2000). The use of matrices and scoring systems in this context may be a useful way of achieving this aim.

2.8.4 Monitoring and Evaluation

Regular review (Lodge and James, 2003), continual discussions between the relevant organisations (EQUAL, 2004) and ongoing "process development support" (Lyon and Evans, 2004: 39) are seen as a necessary condition for the success of mainstreaming initiatives. This is an important factor in managing risk, particular in implementing relatively untested schemes across a broad spectrum of organisations – both to ensure that lessons are being learnt, and that the changes are having a positive effect.

2.8.5 Flexibility and Experimentation

Whilst the evaluation of policy is recognised as essential, it is also viewed as imperative to maintain a flexible, experimental approach if successful transfer and real innovations (i.e new services/processes) are to take place. Kelaher (2000), Scottish Enterprise (2003), CCRU (2001) and Gertler (2001) all call for the promotion of greater flexibility in policy implementation, particularly within mainstream organisations. (Garforth et al, 2003) also highlights the fact that it is not just the structure within organisations which need to be supple, but also the methods of implementation. Mulgan and Albury (2003) return to the theme of the importance of local institutions in suggesting that national level

services need to be more flexible in order to accommodate more significant roles for local institutions.

Akin to this is the role experimentation can play in successful mainstreaming. The literature suggest that well informed risk taking and experimentation should be encouraged (Mulgan and Albury, 2003) to promote innovation, and this should not be confined to the initial pilot, with aspects such as budget lines (PLANET, 2000), intra- and inter-organisational power structures and linkages (EQUAL, 2004), as well as the tailoring of mainstreaming activities to suit particular contexts/situations. Recognition of such a need for innovation, particularly within public sector bodies, is tempered with the knowledge that greater freedom requires stronger quality control methods. The more radical the policy innovation, the greater the need for effective trialling and implementation (Mulgan and Albury, 2003), and also a high level commitment towards developing innovative policy (Equal Opportunities Commission, 2005)

2.8.6 *Strategic Fit*

A key principle to integrating an initiative is identifying the *strategic fit* with mainstream activities (e.g. JobCentre+, Business Link etc.), that is identifying at least some overlap between the mainstream and pilot projects' objectives. Scottish Enterprise's 'New Futures Fund' pilot identifies two particular levels of strategic fit with its own project, which may be applied to other proposed mainstreaming activities. This includes those agencies with clear targeting of a marginal group, but which do not focus on the specific sector of the pilot (e.g. in the case of New Futures, a focus on substance mis-users, but not employment); and those which focus on the specific sector but not on excluded groups (e.g. employment, but not substance mis-users) (Scottish Enterprise, 2003).

The above approach goes hand in hand with working on, and identifying cross-cutting themes across organisations, i.e. developing the organisational similarities (Martin and Davis, 1999). The ODPM Local Government Research Unit (ODPM, nd) identifies a number of areas in which such operational convergence could be fostered:

- *Direction*: the definition of problems, the analysis of underlying mechanisms of cause and effect, the aims and objectives of policy, and the interpretation and communication of policy meanings by different actors
- *Consultation*: the process by which stakeholders become involved in the policy process, including consultation between central and local government, and user and citizen engagement
- *Structure*: the intra- and inter-organisational structures together with the political, administrative, and professional arrangements which provide the opportunities for, or set limits to, the scope for joint working

- *Systems*: the financial, budgetary, management, information, monitoring, and performance systems through which governance is administered
- *Organisation*: the processes which determine the use of human resources in and between organisations, the allocation of work, and the distribution of organisational power
- *Culture*: the values, language, and meanings which underpin attitudes and behaviour within and between organisations
- *Capacity*: the skills (strategic, operational, analytical and interpersonal), and the resources (financial, human physical and technological) which support action
- *Evaluation*: the process of assessing processes, outputs and outcomes in order to learn about 'what works', to inform future policy and influence organisational response.

It is suggested by Lyon and Evans (2004) that importance be placed on integrating any programme within existing systems in order to have a coherent approach. Thus there is perhaps greater emphasis on the targeted programme to develop/adapt to fit in with the mainstream, so that 'bending' is not as disruptive.

2.8.7 'Appropriate' Practice

A popular notion in organisational literature is that of 'best practice' and benchmarking. For instance the European Commission has a whole host of guidelines and objectives promoting best practices (e.g. "Best Procedure for Small Business", 2001; Benchmarking the Information Economy, 2005). Partnership Local Action (PLANET, 2003) adopt a similar approach, stating that "...existing mainstream services can provide a benchmark against which alternative approaches can be evaluated" (PLANET, 2003: 14).

Notions of adopting best practices are not universally accepted, however. Gertler (2001) and Mossberger and Wolman (2003) question this approach, believing that use of 'best practice' structures are akin to 'one-size-fits-all' approaches, thus inhibiting the diversity which provides "...a robustness required to reduce failure" (Mulgan and Albury, 2003: 27). Thus policies should not necessarily be chosen because they have had the most success with one particular organisation, but because they have a strong potential to contribute to the overall coherence of other programmes (Martin and Davis, 1999), therefore raising the notion of '*appropriate practice*' rather than 'best practice'.

2.9 Evaluating Mainstreaming

This was by far the most thinly covered aspect within the available literature, and as such conclusions can only be very tentative. It may be implied that

following the above eight principles will increase the chances of achieving the successful mainstreaming of a targeted project. Beyond this however, it is important to discuss exactly what might constitute a successful outcome – i.e. what are the tangible outcomes and how do they meet with the objectives of the project? This inevitably returns to the initial debate of defining mainstreaming and what the aims of the project are, but in viewing the two key aspects of this project:

- How good practice from targeted business support can best be mainstreamed
- How can mainstream business support providers learn from successes in small scale initiatives adapt elements to their delivery or organisation more broadly?

EQUAL (2004) suggest that the first indicator of success is in simply being able to identify a definite, tangible change or growth. Factors which may also be noted are:

- Evidence of the use of an innovative approach or model
- New ways of working with partners/beneficiaries
- The development of new practical tools, e.g. monitoring methodologies or data collection techniques

In identifying these successes, they argue that the focus should be on evidence of lessons learnt in the process and also changing cultural and individual attitudes within the relevant organisations. However, as James and Lodge (2003) state, it is often hard to disentangle these issues from other ongoing processes, and as such it is likely that more quantifiable results will be sought.

So to summarise, in evaluating the mainstreaming of a business support initiative, key success factors may include:

- Are mainstream support organisations providing new services or targeting 'hard to reach' groups or people in disadvantaged locations?
- Has funding from the targeted initiative been successfully pooled and distributed?
- Have new mechanisms of project evaluation and implementation been recognised and introduced?
- Have a diverse range of local, regional and national individuals and organisations been included in the process?

2.10 Conclusions

Mainstreaming as a concept is open to a great deal of interpretation, largely depending on the type of organisation involved and the form of integration desired. However, the ODPM's notion of 'strategic' mainstreaming, which incorporates a mix of high level commitment and locally driven policy would appear to offer the most appropriate form for this study. There are a number of 'brakes' and 'drivers' within the mainstreaming process, but the key factor

highlighted across the literature is that of communication, both within and across the relevant organisations. This is evident in the mention of partnership, continuous evaluation, flexibility and clarity as important success factors. In essence, there are three key issues: those intrinsic to the initiative; those in the transition of the initiative; and those related to the host body. Evaluating a mainstreaming project is not a simple process, but by focussing on tangible outcomes it is possible to gain some measure of success.

Chapter 3: What Makes a Targeted Initiative Mainstreamable?

3.1 Introduction

3.1.1 Overview of Chapter 3

This Chapter seeks to develop the basic criteria for the successful mainstreaming of targeted initiatives. The criteria emerge from the review of the literature combined with interviews with key personnel in five organisations that run targeted initiatives that have, or are, undergoing the process of mainstreaming in some way. The aide memoirs and further details of the five case studies are presented in Appendix 2.

The results of the cases are presented thematically and are classified in sub-headings, following the framework emerging from the literature review. These sub-headings are not meant to be a 'blueprint' for the future mainstreaming of targeted projects but rather to inform a set of criteria that need to be considered when assessing the scope for mainstreaming particular projects and/or planning for mainstreaming when developing targeted initiatives. These criteria may be divided into four broad groups:

- i) Project criteria;
- ii) Characteristics of the organisation delivering it;
- iii) Context in which it is delivered, particularly the policy context;
- iv) People involved.

At the outset, an outline of the five initiatives selected as case studies is provided. This summarises their aims, activities and approaches to mainstreaming. Discussions of how each organisation has approached mainstreaming are included throughout the rest of the Chapter.

3.1.2 Overview of the Case Studies

Five initiatives were selected drawn from a shortlist of approximately 25 suggested by project advisers and the SBS. The main criteria for selection being, that the initiative was rated 'successful' in some way by previous evaluations and demonstrated progress towards mainstreaming. The five initiatives and their organisations investigated were:

1. 'BizFizz' (New Economics Foundation and Civic Trust)
2. 'Women in Business' (Bolton Business Ventures)
3. 'Hidden Art' (Mazorca Projects)
4. 'Surviving into the Mainstream' (Business Enterprise Centre Hammersmith and Fulham)
5. 'Realising Enterprise Potential Sunderland' (Sunderland Housing Group)

All five initiatives received initial PDF funding until March 2004, though only three, Hidden Art, Realising Enterprise Potential Sunderland (REPS), and

BizFizz received additional funding from PDF until 2006. Survival into the Mainstream and Women in Business continue to operate using alternative funding sources.

BizFizz was developed by the New Economics Foundation and the Civic Trust with funding from the PDF and other sources. It focuses on helping start-ups, and existing micro and small businesses in disadvantaged areas through developing a 'Local Panel' comprised of members with diverse backgrounds from teaching, local authorities, businesses, faith groups, Business Link to the Inland Revenue. A local 'Coach' advises beneficiaries by drawing on knowledge and information from panel members and encouraging networking. The Local Panel and Coach are supported by a National Team of business advisers experienced in developing community capacity.

BizFizz has demonstrated successful horizontal mainstreaming through extending operations to other geographical areas. BizFizz currently operates in 10 communities in 8 areas of England including: Northumberland; Leicester; Norfolk (x2); North Derbyshire; County Durham (x2); East London; Liverpool and Cheshire, and they have plans to extend operations to a further 13 communities. Stronger vertical mainstream objectives include plans for a Local Authority and a Business Link to adopt the initiative. Finally, BizFizz are also in the process of piloting a coaching school in further efforts towards mainstreaming

'Women in Business' is run by Bolton Business Ventures (BBV) an enterprise agency set up in 1984. After identifying barriers faced by women accessing business support BBV developed dedicated positive action programmes and services. This began as a loan fund for women starting a business but then developed in response to demand. The original PDF proposal was for a women only enterprise centre in Bolton but this changed to the provision of business support for all women in the North Manchester area. A women friendly advisory service was established providing personal mentoring to offer clients advice on domestic and personal issues as well as business advice. All the advisers/personal mentors are female and there are male loans and fund managers. The initiative, which operates in three areas: Bolton and Bury; Oldham and Rochdale; and Wigan, has supported over 330 women led businesses and around 100 have received loans.

Key lessons about providing business support to women through the use of personal mentoring have been rolled out through the enterprise agency as a whole. In this way localised mainstreaming has occurred as the rest of the organisation benefits from the initiative. According to the Project Co-ordinator BBV has substantially increased its capacity to deal with women across the board as a result of the Women in Business initiative, and many of the lessons apply equally to male clients. By attracting alternative funding the initiative has now been mainstreamed horizontally throughout the rest of North West England. Progressing mainstreaming further however is perceived as being hindered by lack of commitment from mainstream bodies whose policy and funding priorities may not match those of BBV

Hidden Art, which targets designers in the disadvantaged area of East London, is run by Mazorca Projects, a not-for-profit organisation that supports and promotes designer-makers. Mazorca has received grants from Creative London and the PDF. Support is tailored to designer makers and based on detailed research of the sector. Hidden Art is 40% funded by European funds including ERDF and ESF. Provision through Hidden Art includes workshops, networking events (including manufacturers), promotional activities, along with a website and on-line help. The scale of the initiative expanded during PDF funding from just targeting existing businesses to include start-ups as well. So far Hidden Art has assisted 419 existing businesses and 216 start-ups.

Hidden Art has demonstrated both horizontal and vertical approaches to mainstreaming. With additional funding from PDF, Mazorca aim to roll out the Hidden Art model to other disadvantaged communities across England through the development of a franchise, with the first pilot in Cornwall. The initiative will operate alongside a European network and platform to promote British Design. Vertical mainstreaming has been accomplished by disseminating research findings and good practice to other delivery bodies in East London. Close links have been made with London Chamber of Commerce; Made in London; Trade Partners UK and Business Link.

Surviving into the Mainstream (SIM) is led by Business and Enterprise Centre for Hammersmith and Fulham, Borough of Hammersmith, along with five consultancy partners. PDF funding was supplemented by European Regional Development Funds. The aim of SIM is to increase the survival rates and growth potential of small businesses owned by Black and Asian Minority Ethnic (BAME) groups and women. The programme is based around personal coaching augmented by training courses some of which are tailored made to address specific needs. Developments during the course of the initiative include a screening process for applicants to ensure businesses are developed enough to benefit. Underdeveloped businesses are sign posted to alternative programmes. Another highly successful addition is the residential weekends where networking and intensive training workshops take place.

SIM has so far been mainstreamed horizontally into three new areas: Acton; Brent and Fulham. A Coach Training Tool-Kit has been developed for sale to other organisations. Elements of vertical mainstreaming have also taken place in a limited way through the dissemination of good practices brought back from their involvement in the Black Enterprise Entrepreneurs Conference in Nashville in the US in 2002, which was attended by local authority representatives. The Enterprise Centre has continued with the initiative despite not receiving further funds from PDF by raising funding from the London Development Agency and Business Link for London.

Realising Enterprise Potential Sunderland (REPS) is led by Sunderland Housing Group, with its partners: Social Enterprise Sunderland; Mental Health Care; Sunderland Community Enterprise Network; and Social Firms North East. Sunderland Housing Group (SHG) is one of six housing associations to receive PDF funding to work with business support providers to maximise

enterprise potential in disadvantaged areas. REPS has four main service areas:

1. Disability specialist support network
2. Micro business support
3. Capacity building towards public sector tendering
4. Identifying opportunities for social enterprise

REPS provides start-up advice; advice on grants and loans; and training in finance, marketing and management; as well as on-going training for existing firms. Specialised services are provided to attract disabled clients.

SHG's approach to mainstreaming illustrates some of the complexities involved in the reality of attempting to mainstream good practice, and as such defy simple categorisation. One could argue that the whole approach of using Housing Associations is an effort towards mainstreaming business support in itself. By using its partners' resources SHG has been able to place business advisers in direct contact with hard to reach groups, by allocating them space in its housing offices. Furthermore, REPS has had an impact on the procurement policy within SHG itself, which has adapted procurement practices and contracts to make them accessible to social firms. SHG intends to develop these adaptations in procurement into a model which other organisations, particularly public sector bodies, could adopt.

3.2 Project Criteria for Successful Mainstreaming

Having provided summaries of the case studies, how does their experience meet the conceptual framework discussed in Chapter 2? This Chapter now aims to synthesise the results from the case studies with the criteria set out in Chapter 2.

3.2.1 Clear Aims and Specifications of Targeted Initiatives

The nature of targeted projects is, by definition, focused on a particular support need and usually on a specific target group or location. *Clear, transparent and measurable objectives are necessary conditions* for considering if a project is to be eligible for mainstreaming. This condition was found in all of the case studies. Without clarity of aims and specifications, it is not possible to assess the success of the targeted initiative, or to identify the scope for rolling out the experience to a wider audience.

These are merely baseline criteria, however, and may not be sufficient conditions for successful mainstreaming. In some cases, the targeted project may be innovative in the sense of bringing a new type of business support service to the market, or in the way in which it is actually reaching its target audience, particularly where this comprises a group that have hitherto proved difficult to reach. For instance BizFizz aims to cultivate entrepreneurship in communities perceived as lacking an 'enterprise culture' in disadvantaged areas. Alternatively, the initiative may be filling an identified supply side gap. Bolton's Women in Business targeted women and SIM in London BAME groups. REPS in Sunderland focused on social enterprise in disadvantaged

communities, with an additional stream on disability. Hidden Art was the most specified initiative and gave support to the design sector in East London.

Example 1: Filling a supply side gap

Bolton Business Ventures decided to target Women with support as a result of an identified lack of provision for potential female entrepreneurs in the North West. This therefore helped to close a supply-side gap in business support provision. The respondent noted that:

“There was nothing in the market place. You know, women were, to an extent, second-class as far as self-employment went and it’s become almost a champion cause.”

The objectives of targeted initiatives typically include some reference to making results and experiences available to a wider audience. However, as the case studies demonstrate, initiatives vary with respect to the specificity of such objectives; the inclusion of explicit long term goals that extend beyond the project’s funding period; and the extent to which such objectives are built into the project design. Indeed, one of the main objectives of some targeted projects is to develop an *approach* that can be used by a wider audience. Mazorca, for example explicitly set out with the aim of developing a replicable model for business support, with a clear view as to rolling out the programme to a wider audience through franchise arrangements. In some cases, this is more straightforward when there is a recognition that similar policy constituents exist outside the targeted initiative, but it is equally important to recognise conditions in which a project might not succeed. For example, where there is already similar provision (Mazorca identified areas of the UK as ‘out-of-bounds’ for this reason), or where the local geography and economy are too far removed from the conditions pertaining in the locality of the initial pilot (BizFizz mused about the applicability of the project in rural or less-deprived communities). REPS in Sunderland received additional PDF funding to develop their specialist network for disabled entrepreneurs but envisage that more than two years of piloting and perfecting this model is needed before it is transferable elsewhere, by which time further funding will be required.

In cases such as this, the mainstreaming route may be through the development or adaptation of a particular product or form of policy delivery. However, the main point here is that those targeted initiatives that are expected to be mainstreamed, in the form of continued support or replication elsewhere, need to state this objective in the original aims of the targeted initiative, with clear specification of how this particular aim is to be achieved.

3.2.2 Initiative Builds on Existing Products/ Services and/or Experience

Although many targeted initiatives are innovative, and indeed in some cases funding is contingent on this (e.g. Phoenix Development Fund, PDF), our

research suggests that sustainability is enhanced when initiatives are *built upon relevant existing product and service foundations*, or at least relevant experience on the part of the delivery organisation. This tends to favour organisations and staff with previous experience of dealing with the target group, or similar audiences and/or with the type of approach used in delivery. For example, although Bolton Business Ventures (BBV) had not previously specialised in delivering business support to women before securing the PDF project, it has been able to build on a long history of successfully delivering business support in the North West to both identify the need for, and develop its women-specific programme. The advantages of building on existing products or services include economies of scale and scope in both programme design and delivery, as well as being able to build on a good base of practical experience.

Example 2: Financial track record

An aspect of the BBV experience that has contributed to its ability to mainstream the Loan Fund part of the targeted women's initiative is its previous experience and track record in managing loan funds. The demonstration of effective financial management of loan funds, which BBV has considerable previous experience of, proved to be a significant factor in attracting co-operation from a commercial bank in a 'mainstream' loan fund.

Successful targeted initiatives can also help to build an organisation's capacity by extending its experience. In the case of BBV, for example, this appears to involve redefining what constitutes its mainstream market. The successful experience gained in delivering targeted support to women means that in future, women are likely to be a more integral part of the organisation's market than they were previously.

The research also found evidence of changes in the project scope and delivery as originally conceived. In other words, *flexibility*, both in terms of allowing room for experimentation and in the development of the targeted initiative, was central to success. This was not a surprise given that some of the initiatives were regarded as pilot projects. For example, there was some evidence of greater 'selectivity' in participants taking place as the projects developed, which improved the product or service and raised the chances of the initiative to succeed and thus help prepare a case for mainstreaming.

Example 3: Surviving Into the Mainstream

The SIM programme introduced a rigorous selection interview process after some of the first cohort failed to finish the course, as it proved unsuitable for their early stage of business development. The process was designed to enable the selection of candidates with greater likelihood of success, and commitment was encouraged through a graded payment scheme. Success rates improved as businesses and owners were selected on to the programme.

In this way SIM has become more focused as the initiative progressed. This demonstrates the ability to learn from experience and apply that learning to improve the initiative. Hidden Art discovered a hitherto unrecognised demand for start up advice by designers in East London during the course of research on existing design firms. In response, the initiative, which originally targeted existing designers-makers, was expanded to provide support for start-up businesses as well.

3.2.3 Clear and Accessible Documentation

To be 'mainstreamable', targeted initiatives need to be clearly documented, not just in terms of their aims and objectives, but also in terms of their methods of implementation, including monitoring and evaluation. Most of the case studies had clearly documented aims and objectives, which were easily accessible through a website.

Example 4: Documentation

'Surviving into the Mainstream' (SIM) and Mazorca Projects were strong examples of creating logical, clear documentation. Product development has given SIM a focused goal and a "toolkit" for training business support coaches to market to other agencies:

"The idea was to train coaches...[to develop] a standard model, a standard package with guidelines... It's actually a training toolkit."

Two agencies outside London have already expressed interest in this model. Mazorca have also developed a model for franchising, including a 'step-by-step' dossier for franchisers to follow.

Two immediate benefits accrue from this: internally, all staff can easily access the objectives of and experience with the initiative and secondly, external parties interested in the initiative can access information and details about the product or service and their ambitions. Clear and accessible documentation is essential if a project is to replicate by others in a different context. In some cases, 'tool kits' have been developed, which provides details on product

content, training approach to delivery etc, helping to promote the product or service to a wider audience and hence raise opportunities for mainstreaming.

Perhaps the overriding point here, in line with many of the other criteria, is that while a project may have good intrinsic properties and be delivered effectively, this must be clearly demonstrable and replicable in order to be suitable for mainstreaming. In other words, transparency and openness are vital. 'Toolkits' that spell out the particular project details and processes are often shared freely or at a price, however, if they are given away this reduces the opportunity for income generation and potentially, financial sustainability of the originator.

3.2.4 *Financial Planning for Mainstreaming*

In relation to finance, three key issues emerged that affected the potential for mainstreaming:

- tight financial management of a project, since this will affect the likelihood of additional resources subsequently being attracted;
- the effects of a contract funding regime (i.e. long-term planning needed for when contract funding ends);
- and the view that the initiative was more than simply a means of earning a living for the organisation and personnel involved.

A demonstrable record of good financial management and successful fund raising for projects should enable an initiative to attract other partners, thereby providing a basis for the transfer of the project and attraction of subsequent funding tranches. Evidence of *successful delivery and positive auditable outcomes* is a necessary requirement for mainstreaming, firstly to demonstrate that the approach justifies a wider audience and application; and secondly, because further funding may be dependent on it.

All of the cases interviewed had rigorous and transparent financial and auditing systems in place, which were taken as axiomatic conditions for mainstreaming. Given the nature of most targeted initiatives it was difficult for them to be 'self-funding', in the sense of clients of the initiative covering the full cost of the initiative. Hence, there would come a point when alternative sources of funding would be required if the project was to continue, be transferred elsewhere or mainstreamed in some other way.

In relation to the funding regime, mainstreaming requires a constant search by key staff for new sources of funding beyond the existing programme. This suggests that successful mainstreaming has to incorporate some sort of *long-term financial planning for the targeted initiative* when the original income stream finishes. Hence, the research found cases where the end of the PDF was not equated with the end of the project or initiative. Here the strength of the lead organisations, the role of the partnership and wider network were crucial for mobilising future income streams. This is exemplified by the use of a franchise model by two of the projects, which had managed to reduce the reliance of the host body on future funding.

Example 5: Seeking further funding

Based on the success of the SIM programme so far, which now has a waiting list, and the commitment from coaches, further funding streams are sought continuously. Income is also generated from clients who pay a proportion of fees, and pay for one-off intensive tailored programmes and residential weekends.

“...with the successful elements that came out and the feedback we got from clients – we were then able to go and attract additional funding. The programme has moved on in terms of how we’ve attracted funding. We’re now able to open it up to businesses throughout the whole of the borough and Fulham and further afield.”

Furthermore, the programme has achieved a measure of sustainability and mainstreaming through longer term funding from LDA and Business Link for London.

One of the five cases cited the end of PDF to be of great impact on the specific initiative itself, but that the toolkit being developed would be of use elsewhere across the country, and so again the end of funding has not meant that mainstreaming prospects have been damaged. In fact, in some cases it may be argued that a reduction or loss of funding can actually provide an impetus for finding new ways of taking a project forward, through mainstreaming. At the same time, ad hoc approaches such as this may be based on the needs of delivery organisations to find funding to maintain themselves, rather than being based on a demonstrated need from potential clients businesses and their owners. In order to avoid this type of *ad hoc* approach it is suggested that successful mainstreaming requires the commitment of resources in the targeted initiative over and above funding for administration, delivery, dissemination and monitoring and evaluation.

3.2.5 Monitoring and Evaluation - Beyond Bureaucratic Obligations

All publicly funded business support initiatives are required to monitor and evaluate their activities and outcomes. In fact, many projects have both internal and external evaluations. However, the research suggests that *formative (i.e. after the event formal assessments of expenditure and impacts) monitoring and evaluations are necessary but not sufficient* to lay the foundations for mainstreaming. Formalised monitoring could be the systematic logging of contact with clients through customised on-line software, such as was the case in the SIM programme.

Example 6: Continual evaluation

In the SIM programme, formalised on-line monitoring enabled accurate and continuous evaluations, which contributed to success in securing additional funding from first the PDF for residential weekends, and then from the LDA for the whole programme until 2008. Comprehensive evaluations were an advantage during the LDA application process:

“The monitoring was very helpful during the LDA application process. The coaches are required to feedback by what’s called a personal business portfolio that has been designed on the web site. They’re allocated their own personal ID. New objective streams are set after each meeting, and everything is kept on file...the businesses can add their comments. That was a way we could monitor and evaluate how things are going with the coaches.”

It is those initiatives that have benefited from monitoring and evaluation as the project has developed, as part of a commitment to continuous improvement, that are more likely to be ready for mainstreaming. All the respondents in our research regarded monitoring and evaluation as an integral part of delivering the project. Monitoring and evaluation was used conventionally as a means of measuring performance against targets. However, it was also regarded as a means to stimulate changes in project design and delivery and learning. This *proactive and integrated approach* to monitoring and evaluation is both a reflection of the enthusiasm of those running the initiative to learn and the ‘constant improvement’ approach embedded in the targeted initiative. These conditions are important in the mainstreaming process.

Example 7: Learning from evaluation

An example of the approaches taken towards monitoring and evaluation can be seen in the following statement from the Mazorca respondent:

“We evaluate everything to the last detail and always take any learning into subsequent sort of pilot projects ... Literally we evaluated every step. We have quarterly review meetings and we always evaluate how it works, whether other support is needed. We look at what we wanted to set up, what we wanted at the beginning, did we achieve it, how did we achieve it.”

3.3 Organisational Characteristics

Each targeted initiative has what could be described as a ‘lead organisation’ which is responsible for the design and delivery of the initiative. Our research found four key themes which are considered essential ingredients if the targeted initiative is to be eligible for mainstreaming.

3.3.1 Organisational Background: Strong Reputation and Networks

In developing a targeted initiative for mainstreaming, the *reputation* of the lead organisation(s) and *networking capabilities* appeared important preconditions for success. It is important that the lead organisation on the initiative is able to demonstrate an established track record in enterprise support and working with the targeted group. Having a strong reputation in the region enables the host organisation to create an appropriate partnership for the targeted initiative, as well as using network contact to help scale-up or transfer the product or service.

Example 8: Building networks through strong reputation

Being embedded within the North West over a period of time meant that BBV had built up a strong reputation and an array of contacts to help mobilise resources and develop the client base, thereby providing a good foundation for rolling out their dedicated women's project across a wider geographical area. In support of this the respondent stated that:

“Now I think it's fair to say that if we're not the best or the biggest women's help organisation in the North West, we're not far away and we've kept it going while others have fallen by the wayside. And also it's down to the fact that we've been able to raise the money by way of having a designated women's fund and women's organisation.”

Second, relatedly, if the organisation has a strong presence in the local and regional area and or sector in which it operates, this presence attracts the attention of key stakeholders at both strategic and operational levels. This is reinforced if senior staff in the delivery organisations has strong links with key regional stakeholders, such as the RDA, through serving on committees and actively participating in regional events. The research found that within this context, informal networks were also important for the success of the targeted initiative and subsequent application – BizFizz even base their entire model around this notion.

3.3.2 Entrepreneurial and Learning Organisations

An important and necessary condition that affects the potential for targeted initiatives to be mainstreamed is the willingness by those involved in the organisation to share and promote their experiences, learn from them and to seek opportunities for exploiting them both during the life of the targeted initiative and further once the initial targeted initiative has ended. In other words, they need to be entrepreneurial in their approach.

Example 9: Entrepreneurial learning

The SIM programme adapted as new goals were set in response to the findings of the on-line monitoring systems. Innovations include a residential weekend and a toolkit for training coaches:

“...we have been quite bold, thinking outside the box ... some of the things we've wanted to do we've gone on and done regardless of whether we had funding or not.”

Most targeted initiatives have geographical or sector boundaries but the ability to mainstream the initiative outside these boundaries may be influenced by the mission of the organisation and personnel running the project. Much depends on the willingness and ability of people involved in the project to proactively seek out and exploit opportunities for further development. For example, one of the targeted initiatives was pursuing a franchising approach involving the transfer of the product and service into a national programme. Others involved the steady expansion geographically across the region, building upon the networks of business support providers.

The emphasis on having a learning environment was exemplified by the key staff running the targeted initiatives, forms such as continually trying new ideas and having coaching and mentoring schemes for those involved in delivery.

Example 10: Supportive learning environment

BizFizz seemed particularly keen on learning at all levels in the organisation, with monthly group meetings being held with local partners to support and mentor its coaches, as well as quarterly review meetings between the coach and the BizFizz national coordinators and also intermittent seminars/workshops held for groups of coaches to get together. The research found evidence of former beneficiaries now helping deliver the programme. The emphasis on learning also shows the extent to which ongoing monitoring and evaluation are actually part of a programme (see 3.2.5) and indeed may be seen in itself as a form of 'informal evaluation'.

3.3.3 Development of Relevant Working Partnerships

A key ingredient to mainstreaming is the need to be externally focused, as well as have good internal organisational structures. Few successful initiatives operate from 'stand-alone' organisations. Detailed partnership agreements are often central to the success of a targeted initiative allowing scale and expertise in product design and delivery. As previously inferred, these partnerships may emerge from already established networks in the region deriving from previous project involvement.

Our research found partnership had a multitude of meanings. These include agreements about who is actually going to deliver the programme, and ‘client recruitment streams’, that is where the targeted clients are expected to come from. In some cases, the delivery agencies are also an important source of clients. The partners would normally be complementary and have clear terms of reference.

Example 11: Partnership to fill skills gaps

In the case of Sunderland Housing Group, it did not possess a history itself of business support, and so used partners with previous expertise in the area to assist enterprise support initiatives. This also demonstrates the importance of building upon existing partnerships, particularly where organisations lack appropriate in-house experience, or whose previous experience is largely confined to specific targeted groups.

Whilst Sunderland Housing Group relies heavily on the expertise of partnership organisations, all of the other projects in the study are run as partnerships, of some kind. In the case of BizFizz, the two partnership organisations split responsibility for the different BizFizz pilots, whilst sharing learning and knowledge. For the projects we researched, partners included public agencies, agencies with social and commercial objectives (social enterprises, banks) and membership organisations. As another example, SIM Partners are external consultants working for the Business Enterprise Centre (BEC) on a range of programmes who also deliver the SIM programme. They have a long standing relationship of working with the BEC. Clients on the course are encouraged to become coaches themselves on completion.

Although it is not necessary to have a high street bank as an integral part of the partnership agreement for success, this may be advantageous. However, the role of a bank depends on the nature of the project. For example, for a project which includes the administering of a loan fund it would be beneficial to have the involvement of a bank. One route to securing mainstream bank funding was through the successful running of a community development fund. Once a loan fund was successfully administered other funding bodies appear to be more prepared to become involved. The research found that by demonstrating effective management of the Women’s Loan Fund, Bolton Business Ventures (BBV) was able to attract mainstream bank finance into the Fund, thus increasing its sustainability (see Example 2: Financial Track Record).

Success also depends on the *ability of the partnership to work together*. If the partnership breaks down, or is dysfunctional, then the targeted initiative is likely to fail and mainstreaming becomes problematic. It is preferable that members of the partnership have been involved in all stages of the initiative, have distinctive ‘auditable’ roles to play and have adequate methods/routes available for communication.

Example 12: Complementary partnership

Partnership issues are highlighted well in the case of the BizFizz partnership arrangement between the Civic Trust and New Economics Foundation:

“We work with a very specific part of the Civic Trust, which is the regeneration unit and the guy who heads that up is based in the East Midlands and it’s been very useful having someone closer to some of the projects that can go out rather than I suppose being London based ... And they add a different dynamic because most of their stuff is around physical work / regeneration. They have different contacts, so again rather than duplication I think we’ve got some complementarity”

It is, however, essential that the lead organisations provide the necessary project leadership, appropriate monitoring of all phases and quality controls over the partnership and staff employed by partners.

3.4 People Criteria

Of all the characteristics identified for the successful mainstreaming of a targeted initiative, it may be argued that *the ‘people’ dimension is the most significant, in terms of the drive, commitment and competencies of those involved*. This is a multi-faceted phenomenon and is inherent in many of the other characteristics discussed. However, specific aspects emerged from the research which are worth highlighting.

3.4.1 Strongly Motivated and Committed Staff

Targeted initiatives are more likely to be eligible for mainstreaming if they are run by personnel who demonstrate enthusiasm, commitment, professionalism and experience. This shone through in all of the case studies. Many projects are run competently but it is those where the staff is strongly motivated and have a high level of commitment to the initiative that are most likely to stand out from the crowd of initiatives. The downside of this criterion is that it may make scaling-up or transferring the initiative problematic because of the difficulty of finding similarly committed staff elsewhere and beyond the original owners of the idea. It may also suggest that involving past beneficiaries in the running of a scheme may be a strategy to harness this commitment and enthusiasm.

Example 13: Committed staff

The importance of committed staff was highlighted in the Women in Business case study

“You know, we’ve got ladies here that will work until 8 o’clock, 8.30, 9 o’clock just to get something sorted out for a client to enable them to get going.../.... It’s been driven by people who have either been through it themselves or are looking at it from the perspective of a person who is going through it themselves as opposed to taking the detached view that you tend to do if you do it for a job”

SIM and Women in Business both made use of personal coaches for mentoring, who were the main source of support for clients. However, this type of business support though highly effective is also very resource intensive. Neither SIM nor Women in Business received PDF funding in the later round, and have continued operating using alternative funding. It may be the case that such resource intensive programmes can only be justified where a local need is identified and their capacity for mainstreaming is limited.

In contrast Hidden Art in East London and REPS in Sunderland, both of whom received further PDF funding, developed or are developing models capable of straight-forward dissemination. Hidden Art have honed their networking and promotional events, on-line help and website into tools that could be used by other organisations. REPS are continuing to develop their social enterprise procurement model. It is products like these which are most easily scaleable whereas the model of personal coaching may perhaps be more suited to one-off identified local needs to be financed locally. Financing these kinds of intensive models requires policy commitment from mainstream bodies. In the case of SIM this has been secured through financial support from the London Development Agency and Business Link for London for whom BAME groups are a priority. In Bolton the Women in Business initiative has yet to secure funding from mainstream bodies.

3.4.2 Feeling of Ownership from ‘top’ to ‘bottom’

Successful targeted initiatives tend to be run by personnel who have a *feeling of ownership* of the initiative and have been involved in its design and operational aspects. In other words, there is a strong link between a feeling of ownership and motivation for the initiative to succeed. Without this, staff engaged in the initiative may regard this as yet another project or job to be completed with little or no vision beyond the immediate targets.

Example 14: Organisational Commitment

Women in Business

Support from the top of the organisation has ensured the survival of the WIB initiative. Bolton Business Ventures are confident of securing further funding for WIB because of the success of the scheme so far and the fact that they have developed a specialist role in the North West for providing business support to women. They have won a Flagship award from PROWESS for WIB. The Operations Manager is described as being a 'champion for women's enterprise'. Along with the support given by the Chief Executive the Operations Manager has contributed to the high profile of this initiative.

The successful initiatives were also shown to have commitment from those at the 'top' of the organisation down to those on the front line delivering the product or service. In other words, the mission of the initiative was in harmony with the mission of the organisation and involved a commitment to promote the initiative by those at the top of the organisation.

3.4.3 Existence of Project Champions

There was very strong *evidence of 'champions'* emerging from the targeted initiatives. These derived from both the delivery side and the client base. On the delivery side, champions for the mainstreaming of the targeted initiative occupied various roles inside and outside the lead organisation. For example, SIM talked about the role of a particular councillor, involved in the council regeneration division, as 'critical friend' and helping to garner mainstream support.

All the lead organisations who were interviewed employed staff that were dedicated to the successful continuation and mainstreaming of *their* 'initiative'. These include people at the 'corporate' level, such as finance directors and operational levels, such as coaches and mentors of clients. The operations director at Bolton Business Ventures was described as a 'champion' for women's business support, for example, and this contributed to confidence lower down that organisational scale that funds would be secured for the project to be ongoing. People who were not directly employed by the lead organisation were also critical for the mainstreaming process. Temporary 'experts', such as website designers or procurement specialists, were regarded as important for spreading the word regarding the excellent work being done. Part-time delivery staff who also worked on other initiatives were also regarded as important conduits of information and expertise helping shape and refine the initiative. They were also then able to transfer the knowledge and practices to other similar initiatives on which they worked. This exposure to external influences through staff should not be underestimated as a precondition for mainstreaming.

Finally, a necessary condition for the successful mainstreaming of a targeted initiative is that it demonstrates commitment from the *client base*. Our research unveiled two dimensions in relation to client commitment. Obviously,

if an initiative is to be eligible for mainstreaming it has to have worked successfully and this is shown through the take-up of the scheme. Our research found that some of the initiatives had waiting lists of prospective clients such as the relevance and quality of the scheme. This demand was not only generated by the formal marketing of the initiative but was affected by the word-of-mouth of existing and former beneficiaries. The research also found evidence of former beneficiaries becoming coaches or mentors for the initiative, such as their commitment. BizFizz and SIM both cited examples of this practice. Hence, the need to have ‘champions’ of the initiative and showcase these to prospective new constituents and funding bodies is critical.

Evidence 15: Word of mouth marketing

The BizFizz model relies on word of mouth marketing for its success – a necessary part of its rationale is to create informal networks, which word of mouth marketing help to demonstrate. As the respondent stated,

“We promote by word of mouth. So once you’ve had a successful client, the client refers clients and the panel refers clients and the network refers clients. We don’t do the glossy bit.”

This way of marketing also is much stronger in terms of the likely response rates.

In short, although no initiative can work without some commitment from the people involved, our evidence suggests that this level of commitment has to be exceptional to raise the prospects for mainstreaming.

3.5 Policy Context and Linkage

The earlier sections have discussed the ingredients for establishing the preconditions for mainstreaming. However, the existence of these preconditions does not guarantee successful mainstreaming. A final component is the *strategic fit* of the initiative within a policy context outside the immediate confines of that initiative. In order to be mainstreamed, the initiative needs to meet the needs of a policy audience outside the initial target group or area. Alternatively, the initiative may influence mainstream policy through demonstrating that it is an appropriate way of meeting a market need or filling a policy gap.

In this respect the discussion so far has been concerned with a ‘bottom up’ approach to mainstreaming. That is the research has identified criteria that make an initiative more attractive to a mainstream body and more capable of being mainstreamed. In assessing mainstreaming from the ‘top-down’ the views of sub-national mainstream bodies confirmed that they have applied similar criteria. All the representatives from the sub-national organisations we interviewed considered that there was a need for documentary evidence that an initiative had achieved clearly focused aims with effective financial planning. It would also need to be clear that the lead organisation had built upon its own recognised experience or that of other local organisations, and

had created a responsive learning environment, thus ensuring the initiative developed to its full potential.

Finally, project champions and committed staff, as well as promoting the initiative, would facilitate communication with the mainstream body. In effect the same criteria based on **aims, organisation, people** should be a focus for both the lead organisation of a targeted initiative and a mainstream body interested in taking it further.

Our research found that mainstreaming may occur through an ability to match the targeted initiative with a mainstream agenda. The most common form of mainstreaming appears to be the steady expansion outside the immediate geographical area to the broader region, as carried out by BizFizz, SIM, Bolton Business Ventures and Mazorca. Two of the projects focussed on the use of the currently popular 'coaching' method of business support or through the efforts of those involved in the targeted initiative to generate interest outside the location or sector.

Mainstreaming however, requires funding and the ability to exert influence at a regional or national level is crucial. This requires engaging with mainstream policy agendas and funding streams. Again this emphasises the need for a long-term development plan at the early stages of the project together with a dissemination and lobbying strategy. However, the short-term and uncertain nature of funding has caused a number of problems in terms of mainstreaming for those that were interviewed.

Evidence 16: Funding issues

The Sunderland Housing Group initiative found that the short-term nature of their funding meant that the potential benefits of the project may not be fully realised:

"The fact that, you know, we had two years to deliver this project and some of the sort of outcome, not the outputs – the outputs we'll achieve no problem at all in terms of business starts and things – but the outcomes of the project in terms of really making a change and making a difference in terms of the way in which public sector services procure work and procure services and procure goods in the local economy to ensure that social enterprise benefits from that procurement, two years just isn't long enough to really fully achieve that."

Our research found that, even where some form of successful mainstreaming had taken place, planning for mainstreaming by the organisations appeared to be incremental. One of the key issues found in the research was the difficulties expressed by respondents in knowing how to exert influence and link with those in the 'mainstream'. This is evidenced in the challenges described by the Mazorca respondent:

"The strategic aim is to spread it across the country, but I think we need SBS and government support to help it. So the government

needs to buy into the idea of social franchise ... the RDAs need to buy into it, it needs a host organisation and then it needs to have someone run it. So it's quite a complex thing to actually set up. Basically it needs a push from somewhere to get going."

The greater emphasis in the delivery of business support moving towards RDAs was welcomed by case study respondents in helping overcome some of the perceptions of a lack of voice amongst funding providers and a belief that policy agendas would be much closer to 'home' rather than operate at national levels. However, if successful projects are to expand their geographic boundaries there needs to be a more seamless funding delivery from the different RDAs. It was suggested that the different time scales each RDA works to make it difficult for expanding projects to plan efficiently.

The link between targeted initiatives and their strategic policy fit are therefore significant. What is less clear is the how mainstream bodies become aware of targeted initiatives, select those that match their policy priorities from the variety of projects in existence and adapt these to their local circumstances and needs. This is discussed below.

3.6 Mainstreaming: Views from sub-national Bodies

There is no national, formalised system for disseminating good practice in business support and, although there are some sub-national examples, it is unlikely that the results of the many pilot initiatives that have occurred have been read widely. For example, the PDF, has been high profile and the results of the pilot were disseminated nationally. To what extent such initiatives have subsequently been picked up and developed by organisations seeking to develop initiatives aimed at disadvantaged groups is less clear.

In order to understand the process of mainstreaming in practice, representatives of four sub-national mainstream organisations were interviewed. This component of the research aimed to ascertain information on the initiatives targeted at disadvantaged groups and areas; the origin of these initiatives; the significance of 'efficiency' and 'effectiveness' in the objectives of the initiative, and the budgetary criteria used. Our research found that initiatives targeted at disadvantaged groups and areas within a regional context had a number of origins: local, regional and national.

RDAs are in the beginning stages of 'mainstreaming' targeted initiatives having recently taken over the Business Link IDB package, therefore no figures were available on cost per head between a 'targeted' and 'mainstream' initiatives. Moreover, it was implied that concepts such as *efficiency* and *effectiveness* were not necessarily easily operationalised as some suggest. Perhaps it is helpful here to consider the concept of 'best value'³, used by local authorities when buying in goods/works and services. According to the

The Local Government Act 1999 replaced the Compulsory Competitive Tendering. Local authorities have a duty to deliver services that provide best value, and are effective, economic and efficient.

concept of 'best value' goods/services must be both effective - that is, 'fitness for purpose' - and efficient – that is, show 'value for money'.

The respondents reported that their organisations are developing strategies to deliver services in the geographical areas where they are needed. Some respondents recognised that where ethnic minority, or other disadvantaged groups, were the majority population the 'mainstream offer' should include relevant training (e.g. English language/female business counsellors). It was recognised by others that due to demographic changes the existing pockets of disadvantaged groups is set to grow in many English regions and therefore, open up opportunities for a more mainstreamed and potentially more efficient service provision.

The research also found that there was an expansion in working with intermediary bodies within regions. This was partly a result of the RDAs taking over responsibility for Business Link services and hence the need to formulate regional business support. However, our respondents were quite critical of the slow development of the mainstreaming of targeted initiatives. It was considered that there is an inadequate response from the public sector about explaining what mainstreaming means and how to mainstream from local/targeted initiatives and spread best practice into new areas.

A number of targeted initiatives have been relatively short term in nature, operating within the confines of the target community, such as the Phoenix Development Fund. These initiatives have often been quite heavily funded to pilot approaches with a view to stimulating wider activity. But such approaches, even if successful, have tended to reach small sections of the communities of interest. The key issue for regional and national policy makers has to be extending initiatives to benefit more of these communities, even if they are dispersed in pockets throughout a region. The real value is what people can learn for groups traditionally hard to support on enterprise issues.

The research conducted amongst mainstreaming organisations showed their prime interest was in funding initiatives that had been shown to be effective. However, the reality of the environment in which national and sub-national delivery exists would suggest that efficiency will be increasingly important. Indeed, the DTI is leading the cross Government Business Support Simplification Programme to increase the ease of use, effectiveness and efficiency of Government support to business. This will rely on working in partnership with RDAs and local Government to simplify schemes regionally. To some extent it is likely that the proliferation of Government schemes for people with particular needs/backgrounds will be discouraged in favour of a more relevant, better all round delivery framework.

Ultimately, a decision will be needed on the form of mainstreaming that is most effective given the specific circumstances. It is also worth reflecting again on the different forms of mainstreaming highlighted in Figure 2. In financial terms, each has different implications and there are unlikely to be straight forward approaches to assessing efficiency. However, there are reasons to

believe that more mainstreamed delivery of previous targeted initiatives may deliver certain efficiencies, even if not their primary intention, including achieving economies of scale. In some respects a mainstreaming approach like 'scaling up' may seem most straight forward but could also be extremely costly. An approach such as 'braided delivery' may again have significant cost implications, but linking to a mainstreamed service may allow certain economies to be made. 'Organisational change' may be the most fundamental approach to mainstreaming, implying considerable upheaval when first taken on. However, there could also be the potential for the organisation to fully absorb improved delivery to a target group within its existing cost structure here.

3.7 Conclusions: What Makes a Targeted Initiative Mainstreamable?

This Chapter has considered the characteristics that make a targeted initiative able to be 'mainstreamed'. It has drawn upon the empirical evidence collected from the five case studies and four key informant interviews in sub-national bodies. From these characteristics, it is possible to develop criteria for the effective mainstreaming of targeted initiatives. The key four areas considered to be of importance include project characteristics, organisational characteristics, people and strategic fit.

The results of the analysis reveal that some criteria are essential for effective mainstreaming to occur; others are desirable. **Essential criteria** include:

- (i) the demonstrated and documented success of the targeted initiative in achieving its stated objectives.
- (ii) compatibility in the characteristics and external conditions in the initial targeted group and/or area with those of the mainstream;
- (iii) demonstrated entrepreneurial characteristics in the organisation delivering the targeted initiative, reflected in a proactive approach to dissemination and in seeking opportunities for mainstreaming their experience;
- (iv) the existence of well networked organisations, who are in the best position to mobilise the resources required to mainstream.
- (v) a neat strategic fit of the initiative within a policy context outside the immediate confines of that initiative;

Mainstreaming needs to be planned for and built into the development and implementation of the targeted initiative. This includes documentation as well as statements of objectives and funding needs to be made available for a mainstreaming phase.

It is not necessary to think simply in terms of mainstreaming initiatives 'lock stock and barrel'. Successful experience can be transferred in adapted form e.g. interactive and networking approaches developed as part of a targeted women's initiative may be mainstreamed for men as well, but not necessarily to whole projects. In this sense there can be forms of strong and weak mainstreaming as identified in the literature review. Organisational change within a mainstream body, in response to the experiences of a targeted

initiative, is an example of strong vertical mainstreaming. When a lead organisation disseminates good practices learned through running a targeted initiative throughout the rest of the organisation, as was the case in Bolton Business Ventures, this is a weaker form of horizontal mainstreaming.

In the case studies, the most common types of mainstreaming were horizontal; that is mainstreaming across similar organisations in new locations, though there were one or two examples of vertical mainstreaming to public sector bodies. There were a number of examples of scaling up, which involves expanding the existing targeted initiative demographically or geographically (BizFizz, Women in Business, SIM, and Mazorca). Mainstreaming through organisational learning took place in both Women in Business and SIM, where lessons learnt through the targeted initiative were adopted by other parts of the organisation in different contexts. Adding a targeted initiative to a mainstream service such as Business Link or the local authority ('braiding'), was a mainstreaming approach adopted by both BizFizz and Sunderland Housing Group.

Since mainstreaming represents a form of policy transfer i.e. from a specific target group or area to a wider audience, the potential for mainstreaming is affected by the degree of compatibility in the external conditions between the respective target groups and/or areas. However, the research found that the delivery mechanisms may require some adaptation and refinement.

An emphasis is also placed on the commitment and expertise of staff and the need for strong partnerships, which is often important for both effective delivery and the recruitment of clients for the initiative. Where the mainstreaming phase involves staff and/or organisations other than those responsible for developing and implementing the targeted initiative, an issue raised in one of the case studies concerns the problem of achieving a similar level of dedication and commitment to that on which the success of the targeted initiative was based.

The analysis has focused mainly on targeted initiatives and the necessary criteria they must meet to be capable of mainstreaming. However, there is another equally important side to mainstreaming business support and that is the role of mainstream organisations. It should be noted that unless mainstream organisations recognise a need for a policy focus on disadvantaged groups and disadvantaged areas, then no matter how successful a targeted initiative may be, it will not be mainstreamed.

In order to understand the mainstreaming process from this alternative perspective, senior managers in four mainstream organisations were interviewed. There was recognition by these respondents that successful business support for disadvantaged groups was more resource intensive, but ultimately more effective at reaching disadvantaged groups, than mainstream business support programmes. There was a perception though, that much good practice fails to be integrated into the mainstream because of efficiency pressures and a target driven approach. Effective business support for disadvantaged groups, it was argued, has to be integrated into the

mainstream business support offer to have a sustainable impact on local communities. This is a view shared elsewhere in relation to women's enterprise (Bennett and Chadwick, 2006)

Clearly, there was a view that the potential to mainstream targeted initiatives is not being fully realised. Mainstreaming needs to be given a higher priority by both those running targeted initiatives and by mainstream support organisations. The mainstreaming process also requires a more systematic procedure. This requires a more systematic way in which the results of targeted initiatives are disseminated as well as a more receptive mainstream.

The research also identified a need to develop appropriate methodologies to help assess the cost effectiveness of targeted initiatives given that their impacts may be longer term and broad. This is particularly relevant given the emphasis on mainstreaming targeted initiatives and a drive to simplify business support across all parts of the country.

The aim of this research was to assess the feasibility of establishing criteria to determine the potential for mainstreaming targeted business support for women, ethnic minorities and other disadvantaged groups, and disadvantaged areas. An initial task was to introduce and define the concept of "mainstreaming" into the policy field of business support. Until now "mainstreaming" has been more commonly used in education, health, and social care among other areas. As such this Report has presented a starting point for defining and understanding the application of "mainstreaming" in this policy field.

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<http://www.un.org/womenwatch/osagi/gendermainstreaming.htm>

Planet (2000) "Mainstreaming for Sustainable Development" Partnership for Local Action Network

Razavi, S and Miller, C (1995) 'Gender Mainstreaming: A study of efforts by the UNDP, the World Bank and the ILO to Institutionalize Gender Issues' *United Nations Research Institute for Social Development*, Geneva.

Scottish Enterprise (2003) "New Futures Fund – Mainstreaming" Scottish Enterprise

Scottish Executive (2006) "Evaluation of the First Phase of *Choose Life*: the national strategy and action plan to prevent suicide in Scotland", Scottish Executive Social Research, Edinburgh, September.

Small Business Service (2004) "Leading Lights – experiences of the Phoenix Development Fund" SBS, Sheffield.

Appendix 1: Summary of Literature Review

Reference	Scope of paper	Mainstreaming Relevance	Other Issues
Atherton, A & Lyon, F (2001) "Segmenting support for small and medium enterprises" Foundation for SME Development, University of Durham: Durham	Identifies strategies, alternative approaches, frameworks and implications of Disseminating Best Practice	Concludes that segmentation of mainstream support mechanisms are 'feasible and necessary'. This is almost a reverse mainstreaming approach for mainstream orgs. Aimed at increasing flexibility and market orientations	Case Study and Theory – Creating flexible mainstream organisations thorough segmentations
Bethany Development Team (2002) "Support for Enterprising Communities Pilot Project: Report Ex Coalfield Rural Areas" Report for Department of Education and Skills	Examination and investigation where and how existing mainstream business support mechanisms can be adapted or modified to better support the needs of developing social enterprises enabling them to be more sustainable	Identifies lack of skills in applying micro business techniques, problems with the structure of support networks and offers recommendations for future mainstreaming initiatives	Case Study
"Bolton Business Ventures – Women in Business" PDF Evaluation Case Study Report DF/01/058	Evaluation of enterprise service targeted at women.	May be of use in developing criteria for best practice	Case Study
Bregha, F et al (1990) "The Integration of Environmental Considerations into Government Policy" Rawson Academy of Aquatic Science for Canadian Environmental Assessment Research Council, 9/1990	Report on mainstreaming 'environment' into government policy	Discusses a number of relevant issues, including the level at which mainstreaming should occur, the role of public consultation, which processes to use and monitoring/accountability	Mainly theoretical
CCRU & ADAS (2001) "Action Plan: Economic Evaluation of the Arable Stewardship Pilot Scheme", DEFRA	A three-year evaluation of the Countryside Stewardship Scheme (CSS) for MAFF, part of a wider environmental evaluation of the scheme by MAFF. CSS is a grant scheme to encourage farmers and other land managers to adopt particular conservation measures with a view to making conservation part of normal farming and land management practice.	A comprehensive and systematic procedure (the scoring system) to assess suitability for mainstream funding was developed for the CSS. The scoring system is a measure of quality of environmental improvements however a measure of value for money would also be useful in marginal cases and to explain why high scoring applications were not offered agreements. Scheme partners should act as advisers to applicants to ensure that information presented in the application is adequate and appropriate.	Case Study
Community Action Network (No Date) A "Social Enterprise Support Pilot Project Final Report for the Interdepartmental Working Group on Social Enterprise" Community Action Network & Amazon Initiatives	Project looked at business support needs of new urban-based social enterprises that are led by women, primarily from ethnic minority communities	Discusses the ways in which mainstream support services should adapt to support targeted initiatives	Case Study
CEEDR (no date) "Evaluation of the Support for Enterprising Communities Pilot Project – Final Evaluation Report" Middlesex University: London	Assessment of the quantity, quality, and accessibility of enterprise support available to social enterprises	Importance of integrating any programme with existing systems in order to have a coherent approach	Case Study

		Entrepreneurs tend to be confused by the number of different agents and are not always able to distinguish between the different agencies and their representatives – this shows the strength of a collaborative, multi-agent approach	
Dams, P & Chandler, S. M. (2004) "Responsive Regulation in Child Welfare: Systematic Challenges to Mainstreaming the Family Group Conference" Journal of Sociology and Social Welfare, March 2004, 31,1 pp 93-116	Study of the use of Family Group Conferences (FGCs) in child welfare policy.	Advocates use of FGCs on large scale – discusses the issues/problems of mainstreaming this policy.	Case Study and Theory
DETR (2000) "National Strategy for Neighbourhood Renewal: Joining it up locally" – Supplied by David Purdy	Aimed to reach an agreed plan for building on existing area-based initiatives and local government reform so that in the long term broad-based local strategies to prevent and tackle social exclusion become the norm, and good practice is disseminated and acted on.	Discusses partnership and shared policies, as well as Local Strategic Partnerships – a possible conduit and think-tank for mainstreaming initiatives	
Douglas et al (2004) "Evaluation of LSPs: Mainstreaming action learning set report" ODPM (2004)	Evaluates the work of an action learning set comprised of 9 LPSs and the Health Development Agency	Concludes that the LSP has a number of roles in mainstreaming, particularly as a facilitator for local networks and policy informer	Case Study
Dublin Inner City Partnership (1999) "Strategies to Influence National Policy: Focussing statutory provision on the long-term unemployed in inner city Dublin" in Area Development Management, 8/1999	Case study on employment initiatives in Dublin and use of local partnerships	Discusses various mainstreaming issues, advocating strong independence for targeted initiatives so that they can take risks/experiment, greater transparency in decision-making, and a strong monitoring process	Successful case study
"East End Microcredit Consortium" PDF Evaluation Case Study Report DF/02/280	Evaluation of a microcredit project	Discusses development of a model for wider application – i.e. mainstreaming	Case Study
EQUAL (2004), "Mainstreaming and Creating Impact – a guide for Development Partnerships" Equal Support Unit: Birmingham, UK	EQUAL programme guide to good practice in mainstreaming	Gives a guide to different forms of mainstreaming as well as criteria for adoption of policy. Focus on equal opportunities	Theory / Advice manual
Equal Opportunities Commission (2005) "Mainstreaming" http://www.eoc.org.uk/cseng/policyandcampaigns/mainstreaming.asp - accessed 7/3/05	Definitions of mainstreaming in regard to equal opportunities and also some principles of putting it into practice	Useful as a guide to the variety of definitions of mainstreaming. Discussion on clarity in mainstreaming important	Definitional
Garforth et al (2003) "Improving the targeting of knowledge and technology transfer in the livestock sector by understanding farmer attitudes and behaviour" Link Sustainable Livestock Production Programme Project LK0647	Study to explore whether an understanding of farmer attitudes can help improve the targeting of knowledge and technology transfer strategies	Need for knowledge transfer to be more tailored to specific technology and audience Need to use more localised services, which have more influence, than current use of distant, national sources Need for improvement in	Case Study and Theory

		mainstream communication strategies	
Gertler, M S (2001) "Best practice? Geography, learning and the institutional limits to strong convergence"	Discusses the barriers to sharing/disseminating best practice and the mechanisms which shape this	Useful discussion on policy transfer and it's limits – particularly in suggesting that best practice approaches are not always most appropriate. Talks about the importance of organisational proximity rather than locational proximity.	Theoretical
Gore, T (2004) "The open method of coordination and policy mainstreaming: the European employment strategy and regional conversion programmes in the UK", European Planning Studies, 12,1 pp123-141	Exploration of the issues surrounding integration of aims and concerns from one policy domain to another, focussing on the European Employment Strategy.	Investigates notions of horizontal and vertical integration.	
Kelaher, M (2000) "Migration and mainstreaming: matching health services to immigrants' needs in Australia" Health Policy 54 pp1-11	Analysis of special services provided for non-English speaking people in Australia	Discusses issues of mainstreaming the services – mainly in a cultural context	Case Study
Kendall, J (2000) "The mainstreaming of the third sector into public policy in England in the late 1990s: Whys and wherefores" Centre for Civil Society Working Paper, London School of Economics	Overview of UK third sector policy, which has been mainstreamed into public policy agenda in the 1990's de	A large scale version of targeted to mainstream approaches. Discusses the drivers which have brought this about – and gives a wider political background to theories of partnership, mainstreaming etc.	Theoretical
Limburg Province Regional Technology Plan (1999) "RTP/RIS+ application Limburg (NL)" Gedeputeerde Staten van Limburg: Maastricht	The application outlines the ways in which many RTP projects have become embedded in other European programmes.	The application describes the operational monitoring and evaluation systems crucial to the successful mainstreaming of pilot projects. The mainstreaming strategy was based on a matrix which used 'type of activity' and 'priority theme', designed to facilitate the identification of suitable projects.	Case Study
Lobach, A "Mainstreaming in the Classroom" http://tiger.towson.edu/users/alobac1/researchpaper.htm - accessed 6/3/05	Overview of mainstreaming of disabled / special needs children in education	Offers a brief history of educational mainstreaming	Mainly theory Cites first usage of term 'mainstreaming'
Lodge, M & James, O (2003) "The Limitations of 'Policy Transfer' and 'Lesson Drawing' for Public Policy Research" Political Studies Review, Vol 1, pp179-193	Discusses policy transfer/lesson drawing in relation to 3 questions: Can they be defined as distinctive forms of policy-making separate from other, more conventional forms? Why do they occur rather than other forms of policy making? What are their effects on policy making and how do they differ from other processes?	Concludes that both 'policy transfer' and 'lesson drawing' are broadly similar to conventional policy making, and are very hard to disentangle from other processes	Theory
Lyon, F & Evans, M (2004) "Evaluation of the Support for Enterprising Communities Pilot Project: Final Report"	Study Examining the needs of BME and women-led, urban-based, fledgling social	Discussions of implications/lessons for wider policy and future	Case Study

Middlesex University : London	enterprises in relation to support services offered a DfES initiative, 'Enterprising Communities	enterprise support	
Lyon, F & Evans, M (2004) "Evaluation of the Support for Enterprising Communities Pilot Project – Social Enterprises with a wider market focus" Middlesex University: London	Explores the possibility of mainstreaming social enterprise support	Identifies a number of issues and possibilities for mainstreaming. Doesn't give examples of mainstreaming actually taking place	Case Study
Lyon, F et al (2004) "Evaluation of the support for enterprising pilot communities: focus on BME fledgling social enterprises in inner-city or urban areas" CEEDR, Middlesex University	This study examines the needs of black minority ethnic (BME) and women-led, urban-based, fledgling social enterprises in relation to support services offered under a DfES pilot initiative	Discusses the merits of targeted business support, and stresses the importance of informal mechanisms and processes as the key lessons to be drawn	Case Studies
Martin, S & Davis, H (1999) "Approaches to the monitoring and evaluation of the national best value pilot programme" University of Warwick: Coventry	Provides details of the methodology by which the programme of 38 English Best Value pilots were evaluated	The report makes suggestions for evaluating pilot schemes prior to mainstreaming, including: Regular review, Ensuring cost effectiveness, Partnership, Consultation, Working on cross-cutting themes, Acting at a neighbourhood level, Selection of policies based on contribution to overall coherence of other programmes rather than because they are the 'best'. Methods of policy dissemination need to differ depending on the intended audience	
Millar, B (2004) "Into the Mainstream" HDT update, June/July 2004	Discussion of mainstreaming local public health initiatives	Discusses various obstacles to mainstreaming and need for 'compromise' approaches	Talks directly about mainstreaming of targeted initiatives
Ministero del Lavoro e Delle Politiche Sociali (2003) "Action 3... In Italy: Mainstreaming process and strategy" Proposal to EQUAL, 10/03	Proposal for re-launch of 'Action 3' project in Italy – part of EU wide 'EQUAL' programme	Looks at mainstreaming national employment initiatives and strategies. Analyses previous initiatives and offers recommendations for future mainstreaming policy	Theory - Top-down approach
Mossberger, K & Wolman, H (2003) "Policy Transfer as a Form of Prospective Policy Evaluation: Challenges and Recommendations" Public Administration Review, 63, 4 pp. 428-440	Sets forth a rational model of policy transfer and examines, case studies of cross-national policy transfer spanning different policy domains.	List of cross-cutting themes useful in providing a structure for implementing mainstreaming	Theory
Mulgan, G and Albury, D (2003) "Innovation in the Public Sector" Cabinet Office Strategy Unit: London	A detailed discussion of improving innovative practice in the public sector	Discusses in detail different forms of mainstreaming, as well as the limitations and advantages of public sector approaches to innovation. In particular discusses the role of organisational cultures in successful innovation and policy transfer	Theory - Key Text
Picciotto, R (2002) "The Logic of Mainstreaming: A Development	Investigates mainstreaming in an evaluation context.	Mainstreaming is defined and its	

Evaluation Perspective" Evaluation 8,3 pp332-339		prominence in policy-making is explained. A theory of mainstreaming is suggested.	
Planet (2000) "Mainstreaming for Sustainable Development" Partnership for Local Action Network	Overview of Planet, and the targeted schemes which they have run.	Seeks to identify issues surrounding the mainstreaming of successful processes/projects, specifically 'what is mainstreaming, why do we need to do it and how do we make it happen?'	Mainly theoretical
Nyberg, C (1998) "Mainstreaming Achievements in Swedish Cultural Policy"	Analyses Swedish gender mainstreaming projects	Offers the '3 R's approach' (Representation, Resources, Realia) as an effective mainstreaming approach	Theoretical
ODPM, 2001 "Our towns and cities: the future" – supplied by David Purdy	A vision for the future of Britain's towns and cities, across all aspects of regeneration, renewal and growth	Advocates people centred, bottom-up change, emphasising partnership.	
Scottish Enterprise (2003) "New Futures Fund – Mainstreaming" Scottish Enterprise	New Futures was due to end in 2005, so recommendations for mainstreaming options were developed to ensure continuation of services to client groups.	Evaluations found that it was factors related to approach, structure and delivery, rather than content which prevent mainstream agencies from fully engaging with New Futures' principles. Also developed was a 'Policy Mainstreaming Matrix' which identified policy gaps in mainstream agency provision related to the employability needs of disadvantaged groups.	
Seibel, H D (2001) "Rural finance: Mainstreaming informal financial institutions" Journal of Developmental Entrepreneurship. 6,1 pp83-96	Discusses the mainstreaming of rural informal finance institutions into formal microfinance institutions	Highlights issues such as insufficient capacity in formal institutions, and the possibility creating a meso-tier of institutions as an alternative. Also describes 'evolutionary' mainstreaming – a natural process of diffusion	Notion of evolutionary mainstreaming interesting
Yaron, G & White, J (2002) "Mainstreaming Cross-Cutting Themes in Programme and Sector Aid: The Case of Environmental Issues" in Natural Resource Perspectives, ODI, 77, 3/2002	Analysis of incorporating cross-cutting themes in 'Sector-Wide Approaches' (SWAs)	Looks at generalised mainstreaming issues in relation to environmental issues in developing nations. Identifies 6 key policy conclusions for mainstreaming approaches.	Theoretical
"Analysis and recommendations for mainstreaming in LSLHAZ"	Discussion of mainstreaming of Health Action Zones	Agrees a set, generalised definition for mainstreaming, and suggests various recommendations for adoption of core behavioural processes across the board	Case Study
"The Cologne Report on Environmental Integration: Mainstreaming environmental policy" Commission Working Paper Addressed to the European Council	Discusses integrating environmental concerns into mainstream policy	Concludes on cultural problems and a resistance to change from within.	Theoretical

Appendix 2: Methods and Case Studies

Case Study Approach

This report and the presentation of the factors that enable targeted initiatives to be more likely to be mainstreamed, is based on a literature and empirical base. The literature base provided the underpinnings of the original data collection. The fieldwork for the study comprised five case studies, selected to and the presentation of the characteristics that make a targeted initiative. The results of the case studies were then analysed thematically, following loosely the structure of the aide memoire. All the members of the research team read through the transcripts individually and the themes were developed in a SBRC workshop. These four case studies are presented to show the experiences of successful mainstreaming types. We are emphasising their common experiences rather than diversity.

CONTACT INFORMATION:	
Case number:1	Interviewer: WE
	Date: /10/05
Name of organisation: BizFizz	
Address: New Economics Foundation, 3 Jonathan Street, London, SE11 5NH.	
Telephone: 020 7820 6300	Position: National Project Coordinator

PROJECT DETAILS

Project Description

The projects are set within deprived communities. A 'community' is defined quite loosely and not necessarily defined by administrative or political boundaries. The emphasis is on people within a geographical area demonstrating a commonality and the beginnings of some form of enterprise network, be it latent or active. The model avoids the most deprived areas, as it is believed that these do not have sufficient community 'ingredients' towards developing a successful enterprise community – e.g. skills, informal networks and social capital.

BizFizz put out to tender for funding applications. Some of this funding comes from Phoenix, but the bidders must also attract match funding.

The importance of networks to the model is greatly stressed; as a result applicants had to demonstrate support from within the community (It is important that the scheme is invited in, rather than "parachuted" in).

The bid-writers are required to have established a local management group as part of the application process. This will include an 'accountable body', such as Business Link, who will handle the funds and pay the coach's wages. This group, along with BizFizz will select a 'coach' from within the community. The model is built around "having an excellent coach" and it is vital that he/she works and lives in the community.

A panel of support for the project is built-up- of around 20-30 people, who have connections to the local community and can each provide contacts and knowledge and links to break down barriers to advice / getting support from the coach.

The model works around the coach offering professional advice and counselling, but also by building informal networks both of support providers from within the existing enterprise community or within the fledging enterprise community – "In a lot of cases it's access to tools that were never on the market and borrowing a van or being able to park and find a lock up for your tools in somebody else's car park. There's a sense of bartering going on the community." The idea is of empowerment:

“We don’t do grant in, we don’t do training. We ... support our client to do what they want to do in their business idea without there being any restrictions on what it is, but it has to be legal and it also has to not create dependency in that client” and fluid support networks.

Part of the reason BizFizz don’t directly employ the coaches is to “give ownership and accountability of the coach to the local area” and also to allow an easier relationship between themselves and the coach.

Timeline of events

The model was initially piloted in 4 areas: Jarrow and Horden & Easington in Northeast, Thetford in Norfolk and Tuxford in Nottinghamshire.

In the second funding round (the first stage of the mainstreaming process) the notion was to extend to the model to inner city areas. The current contract, which runs to 3/07, encompasses a total of 10 areas:

Partnerships

Civic Trust and New Economics Foundation are the two official partners of the programme:

“Our official, contractual partnership is with, first the, Civic Trust and ultimately the Phoenix Development Fund and then an accountable body; a legal contract with a certain agency that is acting in a role, but we could place the power in the local management group and our relationship with that. So in terms of partnership, if we stick to the legal term, they’re the only ones.”

However, partnerships run through the entire programme – from the very top level (NEF & Civic Trust)...

“They add a different dynamic because mostly their stuff is around economic regeneration. So they have different contacts, so again rather than duplication I think we’ve got some complementarity and we are exploring further work we can do together, so it’s been very good”

...right through to the Local Management Group, made up from key community stakeholders. Of particular emphasis is the importance of networks at the local level; particularly informal partnerships (see *networks*).

The respondent felt that having two lead organisations in partnership was:

“Fantastic actually and I’d say that’s one of the strengths. We work very closely. The two co-ordinators are very close in terms of sharing” ...

“We work with a very specific part of the Civic Trust, which is the regeneration unit and the guy who heads that up is based in the East Midlands and it’s been very useful having someone closer to some of the projects that can go out rather than I suppose being London based ...”

In highlighting these benefits, there is also recognition of the problems that can arise however:

“But you’re right, those things can clash. Where we do have, I suppose – but we know it going in – is this... Where we have the employment based with an agency and we ask them to give over the line management to the Local Management Group and the money goes through the organisation, there’s a lot of power base there and we know if there’s going to be conflict it happens there – with the employer organisation. Not because they’re bad. And we screen and we talk and we explain “You will have a

problem at one stage” – normally because these are small organisations that are stretched.”

Delivery Mechanisms

The model is reliant on personalised, local delivery by a business coach; someone embedded within the local community. This is then augmented by a formal local management group and more informal volunteers within the community who offer their expertise or resources. Delivery of the project revolves around building entrepreneurial networks within the community in order to create a self-sustaining supportive entrepreneurial environment.

Project Funding

PDF pays for all central costs + 25% of the costs for the projects, including the coaches salaries (Roughly £800,000). Each project has to provide match-funding, with £38,000 worth of support per project available through BizFizz.

Project Evaluation and Findings

The respondent gave an impression of being focussed towards long-term goals, whilst retaining a reflexive approach – the aim was to build a model for cultivating entrepreneurship in communities perceived (by themselves) as lacking an ‘enterprise culture’.

The initiative set out with no formal targets, which could cause problems in terms of mainstreaming:

“One of the things we have found is that we’re not target driven and I think why mainstreaming will be a challenge. [However], we also found that having no targets has meant the outcomes for this project have been far in excess of what the expectations were, but also very comparable with things that are coming through – depending on what you’re focusing on”

There is a rationale behind this however:

“We have found that generic targets related to the number of business start-ups, jobs created and ethnicity/gender of a client are superficial, end up skewing how business support is provided in an area, and cloud what should be the real objectives of supporting enterprise in communities in the first place” (BizFizz Newsletter, Autumn 2004)

“There are some excellent enterprise agencies out there who don’t work that way, but ... if you’re target driven and I can see you for four hours only tops, or half an hour, and then I’m not really interested ... People know that. It doesn’t mean that there’s a bad business adviser. It means the system should change.”

The respondent was happy to admit the problems of such an approach, and the way in which Phoenix were amenable to it:

“I think it’s been fantastic funding. They’ve been extremely [flexible] – I mean in terms of sticking to their objective of really wanting to test new stuff – so I can only admire that. We didn’t have a model. We had an idea obviously to pitch. We didn’t know where we were going to work because we did it by open competition, so we couldn’t possibly set targets which ended up being the best thing for us because that’s been a great learning for the next round. Now how many funders are that open to be swayed by “Well, it was a great idea that’s going to be developed and piloted”? And would that happen again?”

MAINSTREAMING

Mainstreaming Process

BizFizz is a model in development, the impression being that the initiative will continue to develop and change as it grows. The New Economics Foundation has a long history of research in social and economic regeneration, while the Civic Trust has been centred around more physical and environmental change.

The programme has expanded through each funding period, from 7 initially, then 13, to a proposed 23:

“So what we did is this time around we have said we will go for 10 more programmes; most of the existing ones are looking to extend. So not only will we have new areas that we haven’t worked in before; we have our [current] project that wants three [coaches for business] put in for funding for that for the next year and are looking to expand.”

The key actors within BizFizz have travelled the country to nurture interest in the programme, giving seminars, workshops etc. to local interest groups. However, they are also keen only to expand where it the programme will have a strong positive impact:

“Will everyone in the country be doing the BizFizz model and is that desirable? Well, I can say for the communities that we think BizFizz works best in – and we state, you know, the size and not the most disadvantaged, but I’ve never tried it in a non-disadvantaged area, so I would not say anything about that. I think it is a fantastic way of working that I think anyone would benefit from, but is everyone likely to be able to take this model with all its challenges? ... So we challenged ourselves and said, yes, for some agencies this will make sense and for those that it does and where we prove the benefit to the communities we’ve been working with, they’ll take on the model and relay the BizFizz. “Other organisations will take part in the model” – that seemed to make sense. My challenge to that is that the model has an internal logic. If you just take off the component of panel and stick it on the end of your project, make sure there’s a reason for having a panel there.”

They are also in the process of piloting a coaching school to mainstream the practice being employed by the programme.

CONTACT INFORMATION: FILL IN BEFORE INTERVIEW	
Case number: 2	Interviewer: David Smallbone
	Date:
Name of organisation: Bolton Business Ventures	
Address:	Respondent:
Telephone:	Position:
Email:	

PROJECT DETAILS

Women in Business project's original aims were to increase the number of women in business by providing business advice, network opportunities and finance. The project's basic premise is to advance monies to women wanting to enter self-employment, or those already self-employed but with a need for financial assistance. There around 100 loanees currently. Around half of the clients are start-ups, while most of the others are businesses still within their first two years of trading. In conjunction with this is an advisory scheme assisting with business development in areas such as marketing, bookkeeping, networking groups etc. There is also a business mentoring scheme and regular workshops.

The initiative is targeted at women, but other than that there are no demographic restrictions. Geographically, however, BBV are constrained to the immediate surrounding region. The Women in Business project has seen BBV expand its boundaries to include the whole of the Northwest. The mentoring scheme is delivered for free, as part of the national mentoring scheme, by members of BBV, and as such can spread beyond Women in Business' usual geographic constraints.

The Women in Business initiative was developed as a response to an identified supply side gap, whereby a lack of provision for women entrepreneurs was evident.

The phoenix funding for the project came to an end in early 2006

A number of BBV staff work on the scheme, including 2 dedicated staff running the loans fund. The 'back-up' staff are self-employed contract workers who change depending on the level support available at that particular point in time. Over time the number of staff has evolved, from a small scale advice service, with just 3 advisers, up to 7 advisers now. In addition there are 6 financial advisers who work on all of the BBV projects.

A PDF Evaluation described the programme thus:

"The programme has been very successful and over 330 women led businesses have been supported. BBV have recently won a Flagship award from PROWESS ... At 30 employees,

it's large enough to pack a punch, but not so large that it's lost in its own bureaucracy and corridors. The impression is of a professional, mainstream type programme, delivered in a fresh and responsive manner." (taken from publication DF/01/058 – PDF Evaluation Case Study Report)

Partnerships

Barclays bank have become partners through providing a loan fund to BBV, a condition of which is to periodically provide them with reports and project updates. Leading on from this, a number of opportunities have arisen for BBV and Barclays to work together on other projects. Barclays are not involved in appraisal or management of the scheme.

BBV has no other formal partners. However, they do have an informal network of referral points, including Business Link, local enterprise agencies and charity groups. This network is also seen as an important method of achieving word-of-mouth marketing for the scheme, as are former beneficiaries of the service. The only major funding for the project has been from Phoenix, which is now coming to an end.

The three lead individuals appear to be the respondent, who manages the loan fund aspect of Women in Business, the Women in Business project manager, who works as a self-employed consultant, and the Operations Director of BBV, described by the respondent as being a "champion" for women's enterprise. She is chair on a number of women's help and support groups in the Northwest, which has strengthened the project's influence and reputation. The Chief Executive of BBV is also very supportive towards the initiative.

A number of variables are measured in evaluating the project, with corresponding targets to be met. These include, numbers assisted, start-ups assisted, amount loaned etc. The respondent did not have too much detail on this, although he was involved in monitoring the financial side of the project. The key aim here is to monitor finances so as to move towards self-sustainability if possible. They are becoming much more thorough in terms of the financial information now collected, particularly in order to reduce the problems of late payment / bad debt.

A key lesson that the respondent has personally learned is that there is only so much that the scheme can do to help businesses / entrepreneurs achieve. After a point the client has to support themselves.

MAINSTREAMING

BBV have substantially increased their capacity to deal with women at wider level, which is likely to be maintained whether or not there is a dedicated women only programme:

"It's an that the group is now moving into and increasing its involvement in because (a) we have the expertise and (b) we have the funding and (c) we have management commitment to move into that area."

The women's only programme has also included sector focussed work in the creative industries, which has increased BBV's capacity in this sector for men and women. The respondent felt that much of the experience acquired through the targeted initiative is relevant across the board and thus will be 'mainstreamed' within the approach of the whole organisation. In addition, as previously mentioned, the loan fund has resulted in a geographic area being covered.

The sense is that the scheme will continue, despite the end of the current funding round. It is hoped that the loan fund can become mostly self-financing, while the respondent is confident that the funding will be found to continue the business advice side:

"Our Chief Exec and the Operations Director are very, very good at sourcing funding. There have been a couple of incidences in the recent past when the adviser team have started

looking over their shoulders because certain deadlines were being reached and they knew the that funding was going to finish, but somehow (and I don't know how they do it, I really don't), but they somehow always seem to be able to manage to draw on yet another pot. Now it might be slightly less than it was last time and it might mean that there's a slight reduction in hours, but they always seem to be able to find something... The scheme and the level of support we can give is a major help in getting funding. I don't doubt that.

However, the scope for mainstreaming is affected by the policy and funding priorities of the local RDA.

The factors influencing mainstreaming also depend on what is meant by mainstreaming – for instance in talking about financial mainstreaming the respondent felt that it may be harder achieve more investment from banks, partly because of the targeted nature of the programme; banks would not want to look as though they were excluding certain groups from there services. The respondent also felt that effective mainstreaming depends on a similar level of commitment in mainstream agencies and staff to that of staff and institutions implementing the scheme.

CONTACT INFORMATION:	
Case number:3	Interviewer: WE
	Date: /10/05
Name of organisation: Mazorca Projects	
Address: Mazorca Projects, Kingsland Road, Shoreditch, London	
Telephone:	Position: CEO

PROJECT DETAILS

Project Description

Hidden Art is a project run by Mazorca Projects Ltd, a business support agency based in Shoreditch, East London.

The project runs a specially tailored programme to promote and support the work of designer makers, based on research of the design sector. Activities are practically based and focussed on increasing sales, with a particular emphasis on marketing. Mazorca are in the process of developing this model into a franchise, which is being piloted by Hidden Art Cornwall.

The project promotes small/micro businesses which make or design a product. The product can be anything from furniture to jewellery, glass ware or ceramics. The business must have a link to the local economy to receive support, either through local suppliers or potential links with manufacturers.

Membership of the project is open to anyone across the UK. However, funding is mainly London-specific, particularly that from the EU ERDF, as well as funding from the LDA and as such, businesses within ERDF eligible areas of London receive greater benefits. .

Partnerships

There is a board of 8 people which sits quarterly. It is made up of the two directors of Mazorca, a legal representative, a representative from UBS Investment bank, 3 designer-makers representing different groups within the creative sector. Government authorities such as LAs and RDAs do not sit on the board, owing to conflict of interests, but are closely consulted. Partner organisations have representatives on each project, usually through the steering groups, but also through more informal network ties.

	Partners (insert name)	Lead Responsibilities
Local NGO	Mazorca	Lead Organisation
Regional NGO		
National NGO		
Chamber of Commerce		
Enterprise Agency		
Business Link		
Local Authority	Different London Boroughs	Consultation on relevant projects
RDA	LDA	Consultation
Private sector	USB Investment Bank	Member of steering group
Further/Higher education institute	University College Falmouth	Host organisation for Hidden Art Cornwall
Other (please specify)	Designer-makers	3 representatives on steering group from entrepreneurs
Other (please specify)		

Delivery Mechanisms

The support programme offered by Mazorca was described as “comprehensive ... based on detailed research about the design sectors (sic) needs and requirement” in the PDF evaluation. Support is delivered in a number of ways – e.g. through formal training, such as a design course offered through London Met University, in house one-to-one specialised start-up advice and access to financial advisers and funding sources. The Cornwall ‘franchise’ is based in University College Falmouth, and so also is able to offer university-based courses and facilities. Particular emphasis is placed on marketing, and members are offered opportunities to attend networking events in the UK and abroad, help with website design and showcasing work.

Project Funding

- EU ERDF/ESF (approx 40%)
- PDF (approx. 40%).
- Funding also from LDA (not clear on actual amounts):
- Additional small-scale funding for Innovation

ERDF ends in 2006, while other funding streams for various projects are coming to an end in 2007, leaving Mazorca with work to do in order to sustain its current level of operation.

PDF is now coming to an end, which has raised questions about the future of the Cornwall Franchise scheme – it will need to seek its own, local, funding streams to continue.

Project Evaluation and Findings

The project is built around continuous monitoring and evaluation, something emphasised throughout the meeting with the respondent:

“We evaluate everything down to the last detail and always take any learning into subsequent sort of pilot projects ... We do get a lot of informal feedback as well

basically and we're accountable to the public, of course, because we're not for profit and we get sort of public funding"

"Literally we evaluated each step. We have quarterly review meetings and we always evaluate how it works. We look at the model that was set. For instance, they have a central help desk and we look at and assess whether it works, whether other support is needed. We look at what we wanted to set up, what we wanted at the beginning, did we achieve it, how did we achieve it. So it's at different levels."

"Of course, as a franchise you have targets, yeah, so that's why the evaluating. You know, in Cornwall there's a lot of evaluation and they do a business plan which runs until February and then the business plan evaluates the past year and then sort of lessons learnt implemented in the year."

A number of quantitative measures are also used, including number of businesses assisted, the number of businesses advised, number of jobs created, income created, as well as looking at networks created, supply chains and environmental assessments made. They also look at press coverage, the value of press coverage, and web site hits.

MAINSTREAMING

Extent and Form of Mainstreaming

A franchise operation has started up in Cornwall. This demonstrates aspects of *scaling-up* in terms of increasing the area covered by Hidden Art, and also braiding – the franchise is housed within University College Falmouth. This is a more horizontal than vertical approach to mainstreaming, although it is centrally co-ordinated, leading to questions as to whether the method is through *diffusion* or *dissemination*. Mazorca is not a mainstream organisation, and is locally targeted. However the notion of franchise is more akin to dissemination than diffusion it – the model is centrally prescribed:

"It's like a commercial franchise, so it's got an operating manual and it's got a branding guideline and a contract was signed ... we also had a recruitment process and Hidden Art Cornwall in Cornwall was selected"

"The idea of social franchise is that you save money because you have a tried and tested, successful model that lets them start quite quickly so it costs the organisation less"

A PDF evaluation, covering Mazorca as a whole, said the following:

"The project noted specifically that it has changed the scale of its operations over the period of the project's Phoenix grant because "the fact that the package of support has been offered consistently over a two-year period has meant that designers in East London have become more aware of the support available and have learnt to use it effectively"

Mainstreaming Process

The franchise model is part of a strategic plan to role out Hidden Art around the country. While this is a long-term aim, reflexivity is still necessary – for instance, changes to funding and developments with the franchises themselves may determine the extent of future scaling-up. The initial franchise was funded for two years through Phoenix. The process is not yet complete – the franchise is not fully self-sufficient in non-monetary terms, although it is reaching a stage where a high level of independence from Mazorca is possible.

The main issue appears to be that of funding – it seems that the mainstreaming process perhaps took longer than anticipated and now that Phoenix is coming to an end there is an issue as to the sustainability of the franchise.

The greatest challenge has perhaps been in the sheer scale of what has to be achieved to create a successful franchise:

“I think it’s the enormity and the scale of I ... It’s completely new. It doesn’t exist anywhere, so that’s a challenge. And you have to persist and you have to... You can’t just think “Okay, well Phoenix funding finished 3 years. That’s it; we’ll just drop it” So it’s a commitment and it’s a challenge and it doesn’t just happen overnight. I think people’s mindset needs to be changed. I think a franchise has still got a negative connotation and I think the positive sides are still not understood as yet.”

Critical Factors in Mainstreaming

The importance of long-term planning was highlighted, as well fitting with mainstream policy and the use of clear and simple systems:

“It takes time to develop a franchise, particularly if no one else has done it before. I think it has the potential to be very successful and save a lot of money, but it needs the support of the government first of all otherwise it’s not going to work. So it needs to have a programme across the board at all different levels where it’s almost like it becomes part of – how do you call it? – a strategic plan. You can’t rush it which is what came out of other sort of pilots that that the other organisations have been doing. You can’t rush it. Your systems have to be all in place and it’s got to be very simple. So we’ve still to simplify those, but it’s got huge potential”

Sacrifices made in Mainstreaming

“Nothing’s been sacrificed at all ... You have to do a lot of development work initially, so we have branding guidelines. You need to trademark the local. People have to know exactly how it works because you won’t replicate exactly what is successful here. Yeah, the Phoenix stuff will be different, like, okay, people in Cornwall, they will know how to get to their Cornwall members and what their needs are – they may be different – but the key things have to be the same. For instance, accessibility. Anyone can be a member. It could be different types of designer-makers whether their focus is on the making or on the designing. Everyone needs to be able to access it. It will differ where the needs are different. So if you say, for instance, there is – which we don’t know as yet – but if there’s a gap in a particular skills in Cornwall, for instance like IT skills, then the focus should be more on IT skills. The model is exactly the same and I think that’s a tricky thing because it’s that’s the franchise model and I know there’s some organisations that have started franchises but they’ve been very loosely and I think those ones don’t work. The initial stage is really, really important for a commercial franchise – that they pilot and then once it’s piloted then you learn the lessons and then you roll it out.”

Prospects for greater scope

An earlier PDF evaluation found that Mazorca now had “scaled up ambitions” as a result of the Phoenix funding for Hidden Art. However, the future is quite uncertain in terms of the Cornwall franchise:

“The two year funding from Phoenix wasn’t enough time to take it through, so of course now they’re outside of the Phoenix funding area and they have to replicate a model which means that they have to secure local funding exactly the same way we do it and generate income themselves as well and that’s not easy, particularly if you have to provide a small team of people. So it remains to be seen whether it can be continued in the way we envisaged it, but we’re definitely sort of looking at any lessons learnt from it to see how to develop it.”

In wider terms, there is also uncertainty, particularly over the project's 'strategic fit' with mainstream organisations:

"The strategic aim is to spread it across the country, but I think we need SBS and government support to help it. So the government needs to buy into the idea of social franchise ... the RDAs need to buy into it, it needs a host organisation and then it needs to have someone run it. So it's quite a complex thing to actually set up and I don't think that... Basically it needs a push from somewhere to get going."

Prospects for Project Being Taken on by Mainstream Body

The franchises are housed by a locally based organisation. There seems to be no real barrier to this being a mainstream body:

"We work very closely with Business Link and ... their franchise specialist has been very much involved in developing the franchise. The way we work for them for instance is that... and I think it's next week or the week after I'm giving a talk at one of their franchising seminars which is other sectors and I will literally talk about my experiences,, so we have talked about that. I would say it's not until the end of the year we will be looking at, okay, whether one can talk about a full-blown Hidden Art franchise and whether the pilot is successful or whether it has to be taken on in a different way. I think it's too early to really say how it works, but we're not excluding anything; but it should fit our model. Business Link might not be the right organisation. Well, they might be the right organisation, but Business Link Hertfordshire, for instance, is it more a need for them 'models' ...role models which can then be helpful for other sectors. So that's how we work with them and that's quite effective."

CONTACT INFORMATION:	
Case number:4	Interviewer: RA
	Date: 10/02/06
Name of organisation: Surviving into the Mainstream (SIM)	
Address: The Business Enterprise Centre TEK House, 11-13 Uxbridge Rd, London, W12 8TB	
Telephone: 020 8746 0355	Position: Enterprise Services Manager

PROJECT DETAILS

Project Description

The Surviving into the Mainstream programme (SIM) was developed by five key partners: Business and Enterprise Centre for Hammersmith and Fulham, Marcus Bishop Associates, ConnectWorks; HZ Management and Training Consultancy and Savannah Enterprise Development. The project is run by the lead partner the Business and Enterprise Centre (BEC), which is a local enterprise support unit run by London Borough of Hammersmith. Funding for the programme began in 2001 with Phoenix Development Fund (PDF) funds worth £111,569. This was supplemented by European Regional Development Funds. The programme has now achieved a measure of mainstreaming through continued funding from the London Development Agency (LDA) until 2008, and Business Link for London.

The aim of the Surviving into the Mainstream programme (SIM) is to increase the survival rates and growth potential of small businesses owned by Black and Asian Minority Ethnic (BAME) groups and women. The specific objectives of the SIM programme are to:

- Develop a local entrepreneurial culture.
- Encourage growth and productivity of small and medium-sized businesses.
- Improve the long-term survival, growth and participation by BAME and women-owned businesses in the local, national and international markets.
- Promote the business management capacity and personal development of owner-managers within these target groups.
- Promote skills and workforce development.

The needs of BAME businesses were identified through a survey of local businesses by Hammersmith and Fulham Regeneration Partnership in 2000. In response to the survey the design of the SIM programme was based on the specific needs of BAME businesses taking into account their as yet unrealised potential for growth. The programme is based around

personal coaching augmented by a suite of training courses some of which are tailored made to respond to particular needs. External consultants are used to coach entrepreneurs who also attend residential weekends for intensive training and coaching sessions. The programme has designed a coaching model for supporting early-stage businesses, which has been developed as a tool-kit for sale to other agencies. The programme also has an international dimension through attendance the attendance of BEC and local authority representatives, and business owners at the Annual Black Enterprise Entrepreneurs Conference in 2002 in Nashville.

Project Evaluation and Monitoring

A London development Agency evaluation March 2003 focused on the businesses supported through the SIM programme. According to the study SIM has been successful in recruiting target businesses and has a retention rate of 63 *per cent*. SIM improved the business skills for 88 *per cent* of the businesses taking part. In particular the programme had a significant impact on developing marketing skills and improving business optimism. These outcomes can be linked to the emphasis on personal development of the business owner and improvements in confidence and self-esteem, a key theme in coaching and on the residential weekends.

Each participant was allocated a Personal Business Portfolio (PBP) where business objectives were decided with the guidance of the coach. The PBP was accessed on-line and reviewed bi-monthly by the business owner and coach. Progressive business performance was discussed and key events, activities and milestones were registered. The PBP was designed to introduce participants to the discipline of recording activities during the business lifecycle and served as a planning tool to help steer businesses through the programme, and effectively acted as a combined business planning tool and on-line monitoring system.

Delivery of the training centred around a combination of classroom based and residential weekends. This was flexible and was modified in response to feedback from participants and coaches and in the light of findings from the on-line monitoring system. As gaps in learning were identified modules for both groups and individuals were designed. Classroom based training included: costing and pricing; book keeping; business planning; business monitoring; debt management; business legislation; and business growth and survival. Residential weekends focused more on personal development in areas such as confidence building, presentation skills; communication and networking. The concept of lifelong learning was gradually introduced through the training package.

MAINSTREAMING

BEC has identified the need to explore opportunities to expand the programme geographically and sectorally whilst also recognising the potential limitations in its delivery scale. If SIM is to be used more widely there needs to be greater clarity of SIM aims and objectives compared with other business support initiatives given that it constitutes a less formal model than other mainstream business support models. One possible extension of the programme to be identified is the use of business 'Angels' to support the coaches in delivering elements of support for the businesses, such as marketing. In terms of delivery mechanisms the 'just-in-time' and 'bite-sized' approach to training module design has proved flexible and responsive to participants needs, which has the potential to be rolled out in many differing contexts within BEC itself and its partners, and throughout the wider community of business support.

Through the strategic use of monitoring and evaluation techniques and commitment to product development SIM has so far been extended to three new areas: Acton, Brent and Fulham. In particular the on-line PBP is proving to be a useful model in the teaching of business planning and also in continuous monitoring of individual business owners and of coaches. Ways of enhancing buy-in by participants is being explored through the use of ICT as a business tool by encouraging and maximising e-commerce opportunities.

The Coach Training Toolkit is being marketed and negotiations are currently taking place with two agencies outside London. However, dissemination of the product has been hampered by the lack of a comprehensive strategy for mainstreaming and dissemination of the SIM model and products. This is partly due to financial considerations and also a focus on the development of local businesses and the local economy, at the expense of a wider vision for dissemination. To make a greater commitment to mainstreaming BEC would need to be clear about the benefits to them of undertaking activities designed to mainstream their products.

For instance formalised on-line monitoring enabled accurate and continuous evaluations, which contributed to success in securing additional funding from first the PDF for residential weekends, and then from the LDA for the whole programme until 2008. Comprehensive evaluations were acknowledged to be an advantage during the LDA application process.

Attendance at the Black Enterprise Entrepreneurs Conference brought back good practice principles that are being explored in Hammersmith and Fulham by a range of different agencies. The main themes are:

- Supplier diversity programmes
- Business academy
- Franchising
- Strategic alliances

Promotion of the SIM model at the conference has also led to wider interest in the model as either a concept or as a deliverable service from agencies such as the Tennessee Valley Authority.

Appendix 3: Topic Guide Case Studies

MAINSTREAMING TARGETED INITIATIVES

INTERVIEW SCHEDULE

F I N A L

2005

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Kingston-upon-Thames
Surrey KT2 7LB
Tel: 020 8547 7247
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Email: r.blackburn@kingston.ac.uk
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CONTACT INFORMATION: FILL IN BEFORE INTERVIEW	
Case number:	Interviewer:
	Date:
Name of organisation:	
Name of contact and position	
Address:	Respondent:
Telephone:	Position:
Email:	

Data Protection: any of the information given above may be supplied to the funders of this programme.

INTRODUCTION: *The purpose of these questions is to inform the design of a process which can be used to assess the suitability of particular business support projects to be integrated into mainstream supply. We are very grateful for your co-operation in this study. If you have no objections I would like to record this conversation to provide an accurate record and also to speed up the interview process. Thank You.*

SECTION ONE: PROJECT DETAILS

The questions in this section are about the basic facts of the project: where it's located, who it is aimed at and what it provides, as well as questions about sources of funding.

1.1 Could we begin with you talking me through a timeline of the project: key events in its progress?

Start date:

End date: (if appropriate)

Probe: Origin of the project; original aims; funding sources; major critical events; key personnel.

1.2 Which population groups does the project target? *(has this changed since the project began)*

1.3 Is the project focused on a particular geographical area? *(has this changed since the project began)*

1.4 Which partnerships are involved in project delivery?
Prompt from the list and insert names of organisations and details of their lead responsibilities:

	Partners (insert name)	Lead Responsibilities
Local NGO		
Regional NGO		
National NGO		
Chamber of Commerce		
Enterprise Agency		
Business Link		
Local Authority		
RDA		
Private sector		
Further/Higher education institute		
Other (please specify)		
Other (please specify)		

1.5 Are there specific individuals in these organisations who take a lead in the project ?
 (If so who are they and what do they do?) GET CONTACT DETAILS AND FOLLOW-UP

1.6 How does the project deliver its services?

1.7 What aspects of business support do you provide help and advice on?

1.8 How has the project been funded so far? Has the funding significantly changed ...

- a) In amount over time?
- b) In source?

1.9 How has the project been evaluated?

1.10 Which kinds of outcomes have been measured? How do you record these outcomes?

Prompt from the list if necessary

	Insert relevant numbers if known.
Existing businesses assisted	
Existing social enterprises assisted	
New businesses started	
New social enterprises started	
Existing business still trading after one year	
Existing jobs safeguarded	
New jobs created	
Individuals entering education	
Individuals left welfare benefits	
Participants successfully completing training courses	
Groups Started (e.g. networks)	
New tools created (please specify)	
Publications (please specify)	
Drop out rates	
Other (please specify)	

1.11 When this project was evaluated what were the key message to come out of this?

Probe: internal/external evaluations or both? If external who carried out the evaluation. Is there a copy of the findings available for me to take away?

Probe: ask fro reference to evaluation document

SECTION TWO – MAINSTREAMING

As you know, we are particularly interested in the ‘scaling-up’ or mainstreaming of the project. This is where aspects of the project are extended or transferred to another location or other public sector policies or services, including any knowledge/skills as well as processes or forms of delivery.

2.1 Which aspects of the project have been transferred/extended elsewhere?

Probe: locations, population groups.

2.3 Were other organisation/s involved in this? Who?

2.3 Can you talk me through how these parts of the project came to be transferred to?

Probe: Was this planned originally or was it ad hoc or opportunistic?

How was the decision to mainstream made/who made the decision?

Was a plan needed?

What prior preparation/changes needed to be in carried out?

2.4 Could you describe the processes you went through in the scaling-up or transfer of the project elsewhere?

Probe: how long did the process take?

How was it financed?

What evidence did you have to provide?

Were any compromises made?

2.5 What might have been done differently with hindsight?

2.6 Which factors would you say were critical to the success of mainstreaming these aspects of the project? *Probe if necessary: e.g. personnel, funding, partnership, publicity...*

2.7 What were the main challenges involved during this process?

2.8 Are there any other areas of the project which you feel could be extended in scope – or even adopted by the mainstream?

SECTION THREE – THE FUTURE

Could I now look forward and see whether and how the services currently provided by the project could continue to be delivered locally and possibly on a wider scale nationally.

3.1 What lessons have you learnt from the process of mainstreaming to date? Has anything been sacrificed to enable a wider coverage?

3.2 Now that some part of the project has been mainstreamed do you think that it be applicable to a wider market than the one you are currently reaching?
(Prompt from list if necessary.)

3.3 Could the services currently provided by the project be carried out by another organisation?
(If so which organisation/s and please explain why.)

That concludes my questions. Is there anything else that you would like to add about any aspect of the project we have not covered sufficiently?

Note to interviewer: Request documentary evidence where available.

Thank you very much for giving up your time to answer my questions.

Appendix 4: Interview Schedule sub-national bodies

Introduction

This research was commissioned by the Small Business Service in the Department of Trade & Industry and is being carried out by the Small Business Research Centre, Kingston University. The interview will focus on the development of your portfolio of programmes to tackle social exclusion, through business support, to groups perceived to be out of reach of existing mainstream provision.

We are particularly interested in the ‘scaling-up’ or mainstreaming of economic development projects targeted at disadvantaged groups (BAME, disabled, refugees, ex-offenders, and women) and disadvantage areas. By ‘mainstreaming’ we mean where aspects of an initiative are extended or transferred to another location or other public sector policies or services, including any knowledge/skills as well as processes or forms of delivery.

- Q1. Can you outline the initiatives that the (RDA/LA) currently has targeted at disadvantaged groups and areas?
Prompt: types of initiatives targeted at which groups.
- Q2. Can you please describe the (RDA/LA)’s criteria for this portfolio of policy initiatives aimed at disadvantaged groups and areas?
Prompt: Explain the rationale behind these policies: Reduce social exclusion, local economic development, other. Which has priority?
- Q3. How does the (RDA/LA) generate its ideas for initiatives?
Prompt: the experience of local targeted initiatives (such as PDF?).
- Q4. Have any local initiatives of this kind been scaled up? If so what was the criteria used to judge the potential initiative (in which order of priority?) What do you need to know about an initiative in order to make this kind of judgement?
- Q5. How does the (RDA/LA) prioritise between efficiency objectives and the effectiveness of the initiative?
Prompt: what is the impact of budgetary considerations/constraints on deciding what to provide?
- Q6. Has the budget for any of these types of initiatives expanded/contracted and if so what has been the impact on specific initiatives?
Prompt: Have they expanded/contracted?