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*Housing and urban policy - Applying a sociological imagination.*

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**Housing and Urban Policy -  
Applying a Sociological Imagination**

***Robert Antony Furbey***

Accompanying commentary on  
published works submitted in partial fulfilment of the requirements  
of Sheffield Hallam University for the degree of Doctor of  
Philosophy on the basis of published work.

October 2001

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## Acknowledgements and Dedications

This is a submission for an individual award. Yet, the accompanying portfolio of published work reflects not only the loneliness of authorship but also the deeply social experience of this writing and research.

My most obvious debts are to my co-authors as we have shared our knowledge and skills in various joint projects. Their generous advice and friendship has been a vital source of enlightenment and encouragement.

I have also been sustained by the continuing support (and tolerance) of many other friends and colleagues, both at Sheffield Hallam University – in the Housing Subject Group, the wider School of Environment and Development, and the Centre for Regional Economic and Social Research – and also beyond in other academic centres, in diverse ‘urban’ organisations, and in the community.

My warm thanks to everyone.

My deepest debts are closest to home – especially to Linda, my wife and partner, and to my late parents, Peter and Wendy. This work is dedicated to them and to other members of my family – Claire and Paul, my daughter and my son, and to Julia, Mazin and Lily.

Tentatively, and recognising the modesty of the offering and the relative lack of sacrifice involved, these writings are also dedicated to people in some of Britain’s poorest places. For them, the impact of housing and wider urban policies is a lived experience, not simply a subject of intellectual or ‘professional’ concern. I hope that these writings reflect some of the lessons learned from them and give some voice to their understanding.

*Robert Furbey*

October 2001

# 1) The Published Portfolio

*The portfolio of published work submitted here contains the following nine items:*

- Item 1 R. Furbey and B. Goodchild, 'Method and methodology in housing user research', *Housing Studies*, vol.1, no.3, 1986, pp.166-81.
- Item 2 I. Cole and R. Furbey, *The Eclipse of Council Housing*, London: Routledge, 1994.
- Item 3 R. Furbey, B. Wishart, M. Hood and H. Ward, *First-Stage Training for Tenant Participation*, Sheffield: Centre for Regional Economic and Social Research, Sheffield, 1993, 150pp. – final report on a project funded by the Joseph Rowntree Foundation.
- Item 4 R. Furbey, J. Grayson and B. Wishart, 'Training for tenants: "citizens" and the enterprise culture', *Housing Studies*, vol.11, no.2, 1996, pp.251-269.
- Item 5 R. Farnell, S. Lund, R. Furbey, P. Lawless, B. Wishart and P. Else, *Hope in the City? The Local Impact of the Church Urban Fund*, Sheffield: Centre for Regional Economic and Social Research, Sheffield Hallam University, 1994, 170pp. – final report on a research project commissioned by the Church Urban Fund and the Department of the Environment.
- Item 6 R. Farnell, S. Lund, R. Furbey, P. Lawless, B. Wishart and P. Else, *Broad-Based Organising: an Evaluation for the Church Urban Fund*, Sheffield: Centre for Regional Economic and Social Research, 1994, 56pp. – report for the Church Urban Fund and the Department of the Environment.
- Item 7 R. Furbey, P. Else, R. Farnell, P. Lawless, S. Lund and B. Wishart, 'Breaking with tradition?: the Church of England and Community Organising', *Community Development Journal*, vol.32, no.2, 1997, pp.141-50.
- Item 8 R. Furbey, 'Urban "regeneration": reflections on a metaphor', *Critical Social Policy*, Issue 61, vol.19, no.4, 1999, pp.419-45.
- Item 9 R. Furbey, B. Read and I. Cole, 'Housing professionalism in the United Kingdom: the final curtain or a new age?', *Housing, Theory and Society*, vol.18, no.1-2, pp.36-49.

***(Appendix 1 presents a table summarising for each portfolio item the publication type, the co-authors and the Candidate's contribution)***

## 2) Abstract

*The Candidate's registration form (PF1) approved by the Research Committee of Sheffield Hallam University in September 2000 included the following summary abstract of the portfolio of published work:*

Housing and wider urban policy constitute a complex, inter-connected and multi-dimensional field, marked in the last two decades by deep and pervasive change. Research here raises issues of economics and finance; law and welfare rights; architecture, design and construction; planning and management; and politics and governance. However, the candidate's particular perspective on urban processes and policy is sociological. Over a prolonged period he has drawn on sociological perspectives, concepts and methods of analysis to develop distinctive and critical analyses of housing and urban policy questions.

In more recent years this general orientation has been expressed in a collection of refereed papers, a book and two major research reports that form an essentially coherent and evolving programme of study. This has involved an appraisal of the implications of the eclipse of traditional urban policies associated with post-1945 'welfarism' (especially council housing) and their supersession by new approaches that, at least formally, emphasise resident or 'community' participation in housing policy and urban 'regeneration'.

Informed by various social scientific concepts and debates, therefore, this work has produced the following specific contributions to knowledge:

- a) a distinctive interpretation of the origins of British council housing and the consequences of this legacy for the subsequent rise and fall of social housing;
- b) a distinctive appraisal and interpretation of the merits and deficiencies of council housing;
- c) a balanced critique of social surveys in tenant involvement in housing policy, based on a critical examination of the concept of 'housing satisfaction';
- d) a critical assessment of the merits of tenant training for participation, informed by an exploration of competing conceptions of 'citizenship';
- e) critical assessments of the quest for 'community' involvement in urban policy (through two major research projects on tenant training and the local impact of the Church Urban Fund);
- f) a sociological critique of current definitions of urban 'regeneration'; and
- g) an assessment of the fortunes of the housing 'professional project' in a context of accelerating change.

### 3) Explanation of Amendments

This application incorporates two departures from the detail presented in the Candidate's original registration form (PF1).

The first of these changes concerns the portfolio title, initially recorded as *The Application of Sociological Analysis to Housing and Urban Policy*. In the course of developing the critical appraisal below, however, the virtues and legitimacy of a more precise and less passive title have become evident. Hence, the revised title signals the consistent development through the portfolio of a 'sociological *imagination*', underlining the attempt to develop a specific *critical* contribution to the understanding of housing and urban policy. The meaning of this term and examples of a 'sociological imagination' within the published items is elaborated on pp.11-13 below.

Secondly, the number of items in the portfolio has been reduced to nine to underwrite the coherence of the presented work and to underline the Candidate's personal contribution to knowledge. The excluded items, therefore, include publications in the candidate's early career and also later work in which he was not a principal or an equal partner in the actual process of writing (despite his full involvement in the research from which the publications emerged). Within the overall total, one new item (Item 9) has been added. This was published after the Candidate's registration and is included because it is an emanation from earlier work, especially Item 2.

# 4) Critical Appraisal

## I) Introduction

This application for a doctorate on the basis of published work rests on the portfolio of nine items listed in Section 1 above. All but the first of these items have been published during the seven years immediately prior to the Candidate's registration for the award in September 2000 or, in the case of Item 9, during the period between registration and submission.<sup>1</sup>

In accordance with Sheffield Hallam University's procedures and guidance notes for candidates, this critical appraisal is organised in the following sequence. First, the overall aims of the portfolio work are explained. Here, there is a necessary initial exploration of the idea of 'coherence' and its definition in this application. There follows an analysis of the component items of the portfolio where the items are distinguished in terms of their type, authorship and purpose.

Third, building on the earlier preliminary discussion, the 'coherence' of the portfolio is appraised and a summary statement is made of the extent to which the work issues in a final 'synthesis'. It is shown that the forms of coherence claimed do not permit a neat and fully encompassing synthesis. Indeed, such a final destination could only be reached through contrived means. After all, the research on which the publications are based occurred within a social, political, economic, cultural and intellectual climate marked by unusually deep and pervasive change. Within this context, and over the full study period, the Candidate's own understanding and focus of interest has, inevitably and necessarily, changed and developed. Nevertheless, it will be argued that the programme of work has involved a threefold 'hierarchy of coherence'. First, the portfolio's component items all express the application of a 'sociological imagination' to British housing and urban policy. Secondly, this 'high-level' guiding perspective has been applied to some particular and related dimensions of change within the broad substantive policy field. Finally, this 'intermediate' coherence has been informed by, and has also informed, the specific and connected questions that have directed each single item of work.

The concluding section appraises the portfolio's status as a 'contribution to knowledge' and identifies some key strengths and limitations in the submitted items

and in the overall portfolio. In addition to the Candidate's own self-reflection, some reference will be made here to the comments of reviewers and the influence of the work on policy and practice. A particular consideration in assessing an individual claim to making a contribution to knowledge is the issue of co-authorship. This is especially the case here where all but one of the published items is the product of collaboration with others. Hence, this final part of the critical appraisal is prefaced by an explanation of the approach adopted by the Candidate in establishing the clearest possible demarcation between his own contribution and those of his colleagues.

## **II) Aims and the Meanings of 'Coherence'**

To state the aims of the programme of work reflected in the published portfolio is also to signal its particular claims to 'coherence'. First here, therefore, the coherence that binds this portfolio is distinguished from other possible, and legitimate, meanings of this term. The aims of the work, which are then articulated, can be read as essentially consistent with this definition. A fuller exploration of the detailed ways in which the various portfolio items cohere is developed later in this critical appraisal.

Coherence may be suggested most obviously by work within a clearly bounded substantive field. Such activity is perhaps more typical of the natural and medical sciences where work is often characterised by precision of empirical focus and the compilation of published work that is the outcome of detailed and cumulative experimentation, even if the inquiry sometimes is informed by a theoretical and methodological eclecticism. This form is less definitive of the social sciences, especially sociology and the study of social policy, although examples of long-term exploration of a relatively precise field can readily be found – for example, two examples in housing studies are Forrest and Murie's long-term assessment of the impact of council house sales (see, for example, Murie, 1975; Forrest and Murie, 1988), or Crook and his colleagues' focus on developments in the private rented sector (see, for example, Crook *et al*, 1991 and 1995; Crook and Kemp, 1996). Even here, however, these authors still interpret and assess specific developments in their immediate field in the light of complex contextual changes where experimental control is rarely possible and never absolute.

An alternative 'coherence' may stem from the consistent application of a particular epistemological, theoretical or methodological approach within an empirical field that need not be tightly bounded. A recent example here is the application of discourse

analysis in a critical exploration of 'social exclusion' (Fairclough, 2000) and urban and housing policy (Hastings, 1998, 1999 and 2000). Again, however, social science is marked by its epistemological, theoretical and methodological pluralism and even such specialist developments invariably engage with, and utilise, complementary, perhaps encompassing, perspectives and approaches.

If programmes of social science writing and research often do not involve a fine-grain empirical focus or theoretical and methodological 'purity', on what other grounds can a claim to 'coherence' be made? At the most general level, the coherence of this portfolio derives from a broader attempt to apply a consistent and critical 'sociological imagination' (Mills, 1970), informed by the Candidate's values, ethics, personal biography and organisational role, to major transformations in the field of 'housing and urban policy'. It will be seen that the work also involves the 'middle-level' consideration of a series of particular related developments within this substantive area, and that these have been illuminated through framing and addressing still more specific research questions in each individual portfolio item. Nevertheless, all the inquiry has been motivated and given direction by the overriding purpose of offering a *sociological* imagination in a multi-disciplinary domain.

However, the portfolio of work is not advanced as the systematic issue of an initial and unchanging grand design. The application of the sociology of knowledge in this area confirms that such policy-related exploration cannot be immune to wider structural and biographical influences (see, for example, Kemeny, 1988 and 1992). Hence, the Candidate's work has occurred in circumstances not wholly of his own choosing, as the priorities of the government and other funding bodies have constituted a strong influence on the parameters of research and on opportunities for the necessary writing release and other resources. The sequencing of work has also been determined by another extraneous source – the Candidate's wider teaching and administrative responsibilities and the uneven opportunities for research and writing over time.

Issues of 'coherence' will be developed further below. The preceding brief discussion has served to provide an explanatory context for the following statement of the published portfolio's aims. These are strongly congruent with the Abstract presented in Section 2 above and form a hierarchy, from the relatively abstract to the more specific.

The published portfolio, therefore, reflects the following aims:

- I. to apply a distinctive and critical *sociological imagination* to key developments within the broad field of British housing and urban policy;
- II. within this broad field, to interpret and assess the significance of the eclipse of traditional housing and urban policies associated with the municipally centred, bureaucratically and professionally driven post-1945 'welfare settlement' and their superseding by a different organisational settlement involving: increasing resort to multi-agency 'partnerships' (including the voluntary and faith sectors); the relative displacement of bureau-professionalism by a managerialist mode of co-ordination; and an emphasis on 'consumer' choice and 'citizen' participation in increasingly cross-sector initiatives in urban 'regeneration';
- III. and, informed by various social scientific concepts and debates and a recognition of these wider parameters of change, to offer the following specific and related contributions to knowledge within the broad subject field:
  - a) a distinctive interpretation of the origins of British council housing and the consequences of this legacy for the subsequent rise and fall of social housing;
  - b) a distinctive appraisal and interpretation of the merits and deficiencies of council housing;
  - c) a balanced critique of social surveys in tenant involvement in housing policy, based on a critical examination of the concept of 'housing satisfaction';
  - d) a critical assessment of the merits of tenant training for participation, informed by an exploration of competing conceptions of 'citizenship';
  - e) critical assessments of the quest for 'community' and 'faith-based' involvement in urban policy (through two major research projects on tenant training and the local impact of the Church Urban Fund);
  - f) a sociological critique of current definitions of urban 'regeneration';  
and
  - g) an assessment of the fortunes of the housing 'professional project' in a context of accelerating social, political, cultural and organisational change.

### III) The Portfolio Components

This part of the critical appraisal presents the components of the published portfolio and provides an analysis that distinguishes between the items. However, the most strongly reflective and evaluative discussion is found in the two following sections on the 'coherence' of the work and its 'contribution to knowledge'. Here the discussion will be briefer and confined to underlining the type of publication represented by each item, its authorship, and its distinguishing purpose (for example, whether it was essentially theoretical, methodological or empirical in emphasis).

The type of publication constituted by each item and the authorship of each work is indicated in Appendix 1. In terms of 'type' the items are distributed as follows:

Type of Publication	Number of Items
Book	1
Refereed articles	5
Major research reports	2
Substantial research report	1
<b>TOTAL</b>	<b>9</b>

The book was published by a leading social science publisher, Routledge, and was part of a major series entitled *The State of Welfare* in which specialists in various social policy sectors explored and critically reviewed the profound and pervasive restructuring of the British welfare state in the years after 1979. The refereed articles have all been published in prominent academic journals, including two in *Housing Studies*, which enjoys a particularly high international reputation. Of the three research reports, two (Items 3 and 5) can fairly be described as 'major'. First, both were funded by grants of over £50,000 (in 1993/94) from the Joseph Rowntree Foundation (Item 3) and the Department of the Environment and the Church of England (Item 4). Secondly, as explained in the appraisal of the portfolio's 'contribution to knowledge' below, both reports have been widely read and influential in subsequent policy development. The remaining report (Item 6) may be described as 'substantial'. It constituted the first empirical study of the emergence and operation of 'community organising' in Britain and, with Item 5, was influential in directing the subsequent community development strategy of the Church of England.

Appendix 1 identifies the co-authors with whom the Candidate has collaborated and also his contribution to each published item. These contributions are categorised in the following table:

<b>Candidate's Contribution</b>	<b>Number of Publications</b>
Sole author	1
Principal author	4
Partner author	1
Team author / editor	3

Here, 'sole author' signifies that the Candidate was responsible for the original conception of the work and for all its detailed design and expression. 'Principal author' is used to refer to work where the Candidate has taken a leading, sometimes sole, part in conceiving the work and the predominant role in its design and completion, with ongoing advice and specific contributions from his colleagues. The status of 'partner author' involved an equal share with one other colleague in conceiving the work and the tasks of designing, writing and editing. Finally, 'team author / editor' is used in cases where the Candidate made a substantial personal contribution to the conception, design and writing processes and then, in close consultation with colleagues, edited both his own and their substantial contributions to form the final work. The detailed expression and organisation of each publication was, in every case, shaped significantly by the Candidate's activity. The issue of co-authorship is considered further below when reviewing the portfolio's 'contribution to knowledge'.

A third means by which the published items can be classified is according to their purpose and, within this, the Candidate's particular role within the writing and research process. The table on page 10 below summarises the essential purpose of each publication and details the specific tasks undertaken by the Candidate to secure their completion. Across the overall portfolio there is an emphasis on research design, literature review, conceptual analysis, policy evaluation writing and editing. However, more 'empirical' concerns have been pursued, especially through the methodological reflection for Item 1 and the fieldwork and data analysis for Items 3, 4 and 6.

Fuller accounts of the *content* of each portfolio item are presented in Appendix 2, where, in each case, the 'Details of Authorship' are prefaced in the Candidate's Statement by an account of the context and content of the publication.

<b>Item Number</b>	<b>Purpose of Publication</b>	<b>Candidate's Roles</b>
1	<ul style="list-style-type: none"> <li>• Contribution to methodological debate</li> <li>• Contribution to emerging debate on user participation in council housing</li> </ul>	<ul style="list-style-type: none"> <li>• Literature review</li> <li>• Conceptual &amp; theoretical analysis</li> <li>• Questionnaire design</li> <li>• Articulation of main argument</li> <li>• Writing</li> </ul>
2	<ul style="list-style-type: none"> <li>• Interpretation and assessment of council housing in the welfare state</li> </ul>	<ul style="list-style-type: none"> <li>• Joint design of book</li> <li>• Literature review</li> <li>• Historical analysis</li> <li>• Conceptual analysis</li> <li>• Writing</li> </ul>
3	<ul style="list-style-type: none"> <li>• Contribution to debate and policy on tenant participation in social housing</li> </ul>	<ul style="list-style-type: none"> <li>• Research design</li> <li>• Conceptual framework / policy review</li> <li>• Data analysis</li> <li>• Writing and editing</li> </ul>
4	<ul style="list-style-type: none"> <li>• Critical evaluation of the significance of government support for tenant training</li> </ul>	<ul style="list-style-type: none"> <li>• Conceptual and policy analysis</li> <li>• Articulation of main argument</li> <li>• Writing</li> </ul>
5	<ul style="list-style-type: none"> <li>• Policy evaluation of faith-based urban policy</li> </ul>	<ul style="list-style-type: none"> <li>• Research design</li> <li>• Conceptual and policy analysis</li> <li>• Empirical fieldwork</li> <li>• Data analysis</li> <li>• Writing and editing</li> </ul>
6	<ul style="list-style-type: none"> <li>• Policy evaluation of faith-based urban policy</li> </ul>	<ul style="list-style-type: none"> <li>• Research design</li> <li>• Conceptual and policy analysis</li> <li>• Empirical fieldwork</li> <li>• Data analysis</li> <li>• Writing and editing</li> </ul>
7	<ul style="list-style-type: none"> <li>• Conceptual analysis of community development / action innovation</li> </ul>	<ul style="list-style-type: none"> <li>• Conceptual &amp; theoretical analysis</li> <li>• Articulation of argument</li> <li>• Writing</li> </ul>
8	<ul style="list-style-type: none"> <li>• Conceptual critique of dominant definitions of urban 'regeneration'</li> </ul>	<ul style="list-style-type: none"> <li>• Literature review</li> <li>• Conceptual &amp; theoretical analysis</li> <li>• Articulation of argument</li> <li>• Writing</li> </ul>
9	<ul style="list-style-type: none"> <li>• Empirically supported conceptual analysis of changes in housing 'professionalism'</li> </ul>	<ul style="list-style-type: none"> <li>• Literature review</li> <li>• Conceptual &amp; theoretical analysis</li> <li>• Articulation of main argument</li> <li>• Writing</li> </ul>

## IV) Coherence and Synthesis

The meaning of 'coherence' was explored earlier in introducing and explaining the aims of the programme of work embodied by the portfolio. The overall coherence claimed for this application was seen to be based not on a closely defined empirical focus or on the application of a single particular theoretical or methodological approach, but on a consistent attempt to apply a critical sociological imagination to key dimensions of change in the broad field of British urban and housing policy and, within this, to a sequence of more specific questions and issues. The task here is to demonstrate this coherence at each of these three levels and to assess the extent to which a 'synthesis' can be made.

First, what is meant here by a 'sociological imagination'? And how is this reflected in the work? A continuing inspiration to the Candidate's contribution as a sociologist within an inter-disciplinary academic school has been Peter Berger's 'invitation to sociology' and especially the dictum that, 'the first wisdom of sociology is this – things are not what they seem' (Berger, 1966, p.34). Thus, sociology holds a particular excitement:

'It is not the excitement of coming upon the totally unfamiliar, but rather the excitement of finding the familiar becoming transformed in its meaning. The fascination of sociology lies in the fact that its perspective makes us see in a new light the very world in which we have lived all our lives' (Berger, 1966, pp.32-33).

The Catholic essayist and poet G. K. Chesterton expresses the same essential sentiment in his injunction to stare at the familiar 'until it becomes unfamiliar again', whilst C. Wright Mills said of the sociological imagination that

'By its use men [*sic*]<sup>2</sup> whose mentalities have swept only a series of limited orbits often come to feel suddenly awakened in a house with which they had only supposed themselves to be familiar' (Mills, 1970, p.14).

The portfolio embodies, therefore, a continuing attempt to apply this 'imagination', with its capacity of 'seeing through facades' and its inherent 'debunking motif' (Berger, 1966, p.43 and 51).

It is not possible or appropriate to develop here a detailed elaboration of 'the sociological imagination'. The quotations above should show, however, that it need not be associated with a particular theoretical stance. Mills, with whom the idea of a 'sociological imagination' is most immediately associated, argued instead that we are seeking here a broad 'quality of mind' (Mills, 1970, p.11). A researcher with such a mind recognises his, or her, own values, certainly in the problems chosen for study

and in the language and key concepts used to formulate these problems.

'Passionate commitment' (Mills, 1970, p.90) is not to be eschewed and the Candidate's own values have been an important integrating source in research and writing. But this essential humanity must be expressed also in a commitment to the pursuit of a disciplined social understanding which, through harnessing careful elaboration of theory and empirical observation to explore both the structural context of human action and the subjective understanding of the actors themselves, seeks to move beyond prejudice and behind appearances to an 'understanding for its own sake' (Berger, 1966, p28) which may be used to inform policy and extend human self-knowledge and freedom.<sup>3</sup>

Reviewing the portfolio, there are recurring examples of this first, 'high-level' coherence and its quality of questioning familiar assumptions and a 'world-taken-for-granted'. Thus, Item 1 questions both the positivist theory and methodology of then existing research on 'housing satisfaction' and also the critics' assumption that the social survey must be rejected *tout court* as inappropriate as a device for recording an authentic user voice. Similarly, one reviewer described Item 2 as a 'brave book which is not afraid to say some deeply unfashionable things'<sup>4</sup>. Here, in a context in which British housing was being defined increasingly as a flawed and illegitimate tenure, the Candidate and his partner author mounted a balanced defence and a critique of prevailing assumptions and public policy. Item 2 also sought to distinguish itself from preceding books on housing policy by introducing an authentic tenants' voice (see chapter 6, written by the Candidate). This was used as a means to qualify the familiar dominant official and academic voice in these earlier texts. This privileging of hitherto subordinate housing 'knowledge' was developed further in Items 3 and 4. In Item 3, tenants' views on their training needs for tenant participation and the appropriate structures for its delivery were used to frame questions to representatives of actual and potential training organisations, allowing 'unfamiliar' views to reshape understanding. The more conceptual analysis of Item 4 offered a critical analysis of the intense activity in the 1990s in the field of 'capacity-building' for tenants' and residents' associations. Drawing on the experience of the research underlying Item 3, it sought to draw back from the prevailing activism and to question the dominant definition of 'training for tenants' within the Conservatives' quest for an 'enterprise culture' and to contrast this definition with possible alternatives.

Items 5, 6 and 7 all derive from work commissioned by the Church of England to explore the impact of its substantial Church Urban Fund.<sup>5</sup> A particular contribution by the Candidate within the six-member research team was to relate the Fund's activities to a longstanding Anglican 'social tradition', thereby helping to place in relief the parameters, emphases and omissions of its activities. Again, the focus was on encouraging the questioning of a particular 'assumptive world'. This initial analysis was then used as a basis for the assessment in Items 6 and 7 of the Church's experiment in stepping outside its tradition by embracing the more radical and power-conscious American approach of 'community organising'. Item 6 involved a critical assessment of the assumptions of community organising and empirical evidence of its applicability in a British context, an analysis developed more formally in Item 7 which offered a critical comparison of the Anglican social tradition and community organising. This whole programme of work also sought to give prime voice to the users and local workers of Church Urban Fund projects and to grassroots participants in community organising, again as a means of securing an 'unfamiliar' understanding and injecting normally excluded perspectives into policy debate.

The final two items have been written in the years of the first New Labour administration when 'regeneration' has been consolidated as a central keyword in housing and urban policy discourse and as an ostensibly radical and inclusive enterprise in which the interests of poor 'communities' are formally engaged. Item 8 offers a critical reflection on the idea of 'regeneration', contrasting the revolutionary meaning of the term in some religious<sup>6</sup> and philosophical traditions with the principles and practice of dominant definitions of 'third way' urban regeneration, and questioning its capacity to engage with the most excluded or to recognise the activities of 'the excluders'. Within this wider context, Item 9 uses the sociology of the professions as a basis from which to explore the prospects for 'housing professionalism', arguing that the future may not bring, as some have claimed, the end of the housing professional project but its radical re-orientation and prominence within a new, looser and community-engaged 'urban network professionalism'. Again, therefore, the aim of this article was consistent with the deeper purpose of using sociological analysis to question current understandings.

Before leaving this explanation of this high-level coherence of the portfolio, it is appropriate to identify the epistemological and methodological continuity in the programme of work. It was emphasised above that the coherence of the component items does not rest on a specific and clearly bounded technical virtuosity.

Nevertheless, the pursuit of a 'sociological imagination' to challenge powerful assumptive worlds has prompted the Candidate to conclude that 'knowledge' in this field must be derived from the fullest possible engagement with frequently unheard or muted urban 'voices'. This epistemology has informed a logic of inquiry and related methods which have prioritised the meanings, experience and aspirations of subordinate subjects in the housing and urban policy arena. Thus, both the substantive investigations and the subsequent reflective analyses in the portfolio draw on empirical data secured through the techniques of 'structured ethnography', notably semi-structured interviews, group meetings and a degree of observation. Even where social surveys are considered, as in Item 1, it is to affirm their potential as devices to elicit users' own meanings rather than as devices of producer power and control.

Within this broad critical stance, the second 'cohering' property of the portfolio (coinciding with its second aim as defined above) is found in the application of a sociological imagination to developments over the study period in the particular substantive field of British housing and urban policy. The preceding paragraphs have already indicated that this has indeed been the Candidate's area of interest. Here, however, it is possible to underline the way in which the programme of work has reflected, and sought to illuminate, several of the major dimensions of change that have transformed this policy field. Three particular and related movements come into focus: the erosion of producer authority in favour of the authority of the consumer; the erosion of municipal dominance in favour of greater institutional diversity in local governance (with a specific exploration of a significant faith-based initiative); and the erosion of discrete sectoral and departmental domains in favour of 'holistic' multi-agency and multi-professional networks.

Item 1, deriving from empirical research for Sheffield City Council (see Appendix 3), was written during the first Thatcher administration at a time of obvious challenge to council housing but in a period (despite the experiments with corporate management) of persisting municipal departmentalism and a bureau-professional mode of co-ordination (Clarke and Newman, 1997, pp. 4ff.) in which attention to 'consumers' or 'users' remained rudimentary. This article can be viewed, retrospectively as an attempt to inform attempts to defend municipal housing against a gathering assault that was (notwithstanding the already extant 'right to buy' provisions of the 1980 Housing Act) altogether more profound, concerted and sustained than the authors anticipated.

Writing for Item 2 commenced in the late 1980s and in fuller recognition of the extent of the challenge to council housing. This too was work focusing on a then still clearly demarcated and municipally delivered public service. However, as noted earlier, the authors' defence of this housing tenure incorporated a strong awareness of the legacy of producer domination as source of the de-legitimation of council housing and the importance of user testimony and experience in challenging the image of an irretrievably flawed enterprise. Again, therefore, we encounter an item in the portfolio that engages with a key development in British housing and urban policy – the rising challenge to local authorities as the dominant providers of key services.

Following the 'right to buy' and other initiatives to accelerate the secular growth of owner-occupation in Britain, the late 1980s and 1990s brought government sponsorship of changes *within* the social rented sector designed to diversify landlordship and, in parallel with other sectors, to change the role of councils from service provision to that of 'enabling'. Several of the policy innovations here implied a stronger role for the 'consumer' and a revived focus on tenant or resident 'participation' in housing decisions.<sup>7</sup> This in turn gave salience to the issue of training services to equip tenants and residents for their new and demanding roles. Item 3 constituted a practical contribution to the policy debate of this period. This research report used the testimony of tenants and training practitioners to identify good and problematic practice and to identify a framework for future provision. However, it was clear to the Candidate that the meaning of words such as 'participation', 'enabling', 'consumer' and 'citizen' were being strongly contested by government, local authorities and the diverse range of other agencies in the tenant training field, notably tenants' own organisations. This perception was given some elaboration by the Candidate in Item 3 (see Chapter 2) but was developed more fully in Item 4 where the Conservative government's particular definition of tenant 'participation' and 'training' was linked with its wider aim of inculcating an 'enterprise culture'. Hence, these elements of the portfolio can again be associated with a particular element of the restructuring of housing and urban policy. It can now be viewed as a relatively early contribution to the search for effective means of community 'capacity-building'.

In the years of the Major and Blair administrations the institutional diversity encouraged by the discourse of 'enabling' was extended, first by the emphasis on the extension of the 'contract culture' associated with 1980s privatisation to encompass the voluntary sector in service delivery and, secondly, through the encouragement of

multi-agency 'partnerships', notably in bids to the Single Regeneration Budget Challenge Fund. Items 5, 6 and 7 explore a particular and significant development within these overall currents of change – the emergence of the Church Urban Fund (CUF) as an initiative designed to achieve positive change in poor urban neighbourhoods, working in partnership with other bodies, including local authorities. A specific dilemma recognised by CUF was the potential compromise of a role in 'filling gaps' left by the retreat of state welfare services and the loss of the 'prophetic' voice, expressed though the *Faith in the City* report (ACUPA, 1985) which prompted its establishment. This issue of the incorporation and taming of voluntary sector organisations through involvement with state strategy and funding has become more central to subsequent social and urban policy debates (Todd, 2001<sup>8</sup>). So too has the appropriate role of 'faith-based' organisations in urban regeneration, an issue on which the Candidate's current research centres.<sup>9</sup>

Items 8 and 9 engage with two related issues which, although they certainly predated 1997, came fully to the fore with the election of a New Labour Government. These were, first, the drive to combat 'social exclusion' through 'inclusive' urban regeneration initiatives with 'community' participation as a formal funding requirement and, secondly, the emphasis on achieving 'holistic' regeneration through 'joined-up' policies that contrast with the sector-based departmentalism of the past. Policy was informed by the Social Exclusion Unit, which was established within the Cabinet Office in the early weeks of the first Blair administration (see Social Exclusion Unit, 1998). Item 8 offers a critical perspective on both the ideas and practice of 'inclusiveness' (see especially pp.428-430 and pp.434ff.) and also 'holism', which it relates to sociological organicism (see pp.423-425 and p.428). Item 9 focuses on the consequences for sector-based professionalism of cross-sector 'holistic' policy and practice. This publication involves recognition of the need to update the analysis of housing professionalism developed in Item 2 (chapter 5, pp. 128ff.) by underlining the increasing dissolution of housing as a distinct sphere and reviewing the prospects for erstwhile 'housing professionals' in a new setting of multi-agency partnerships and inter-sector networks.

The preceding discussion in this part of the critical appraisal has sought to underline the coherence of the published portfolio in, first, bringing a sociological imagination to British urban and housing policy and, secondly, identifying the particular sequence of stages in policy development addressed by the Candidate. In the aims presented earlier, these 'high-level' and 'medium-level' forms of coherence

are joined by a third, lower-level, coherence. Thus, the Candidate's sociological orientation and awareness of the changing policy context has informed both him and his co-authors in framing a series of specific questions to guide *particular*, internally coherent inquiries. These specific studies have, in turn, informed subsequent more reflective writing. For example, the detailed inquiry into tenants' experience of training for participation reported in Item 3 permitted the clearer articulation of the critique of government policy developed in Item 4. Similarly, the detailed exploration of 'community organising' in Item 6 enabled a clearer identification of the particular tensions between this approach and the longstanding 'Anglican social tradition' elaborated in Item 7. Thus, 'lower-level' work has informed medium- and higher-level understanding and has contributed to the overall coherence of the programme. The foci of these specific studies are indicated in Aim III on p.6 above. The portfolio items in which they are pursued should be apparent from the above discussion.

In summary, therefore, it is suggested that this portfolio does exhibit 'coherence' but not the neat and obvious coherence of a clearly bounded and static empirical field or the single-minded exploration of the potential of a particular theory or detailed methodology. Certainly there is not the coherence of a manifestly finished work. For this reason, therefore, while it should be clear that, while there are clear links between the portfolio components so that reference to a 'programme' of work is legitimate, any claim here to 'synthesis' in the purest sense of this term<sup>10</sup> would be misconceived. The items form not a completely 'connected whole', but a series of related studies which adopt an essential approach, offering a contribution to the understanding of particular changes in a defined, but broad, policy field. It is to an assessment of the quality of this contribution that we now turn.

## **V) The Contribution to Knowledge**

This element of the critical appraisal is organised in three parts. First, the Candidate's contribution to knowledge can only be appraised if it can be disentangled from those of his co-authors. Hence, an initial task is to explain the means used to achieve this differentiation. Secondly, the quality and value of the work as judged by external reviewers, referees and clients are surveyed. Finally, a self-appraisal of the portfolio and some of its component items is developed.

In submitting a portfolio consisting almost exclusively of co-authored work, the Candidate has sought to achieve the clearest possible delineation between the roles of himself and his research colleagues. The first stage in the procedure was to send an initial letter in October 2000 to the co-authors (see Appendix 2) explaining form of the doctoral submission and the need to achieve an accurate account of the roles played by each writer. Recipients of this letter were advised that a second communication would follow in 2001 setting out the Candidate's statement of authorship roles for each published item and inviting their signature to confirm its fairness and accuracy. Thus, a second communication was sent to co-authors, some in January 2001 and the rest in July 2001 (see again Appendix 2). This explained the detailed procedures being adopted by the Candidate and included for each relevant portfolio item a *Candidate's Statement*. This document sought to specify:

- i. the context in which the publication was produced;
- ii. the content of the publication;
- iii. an account of the Candidate's contribution to the work; and
- iv. an account of the contribution(s) of the co-authors.

Co-authors were asked to sign an enclosed *Co-Author's Confirmation* to register acceptance of the Candidate's specification of both his role and their own. Co-authors were encouraged to record any misgivings and to enter into negotiation for amendments of the statements. Appendix 3 presents each of these statements and the signed responses from co-authors.<sup>11</sup> No co-author requested amendments and all were pleased to endorse the Candidate's application. This provides important support for the claim made here for a personal and independent contribution to knowledge, albeit once that has benefited from these various research and writing collaborations.

A second endorsement is found in the response of referees, reviewers and 'clients'<sup>12</sup> to the Candidate's work. In the case of the five refereed articles (items 1,4,7,8 and 9) in the portfolio, each has been subject to the normal procedures of peer review and each has had to fulfil the normal criteria of intellectual rigour and of making an original contribution within the chosen field.

Inevitably, given its status as a book issued by a major publisher, the most reviewed portfolio work has been Item 2 (Duncan, 1994; Ginsburg, 1994; Malpass, 1994; Riseborough, 1994; Ward, 1994; and Forrest, 1995). Some of the

observations made by these commentators inform the Candidate's self-criticism below. Here, however, it is important to register the very positive overall tone of the reviews. In relation to the book as a whole, for example, Malpass judged it to be 'scholarly and 'a very welcome contribution' (Malpass, 1994); Ginsburg's summary assessment was that 'the text constituted 'an original, readable and balanced contribution which should be widely appreciated by students and researchers' (Ginsburg, 1994, p.p.90); and Duncan similarly concluded that the book provided

'an interesting and accessible account of both the development of council house policy and council housing in use, all the more useful in one source and I shall certainly be recommending the book to students' (Duncan, 1994, p.831).

Forrest offered particularly warm affirmation of the book's distinctive contribution to housing studies:

'For most students of housing, the available texts are pretty hard going – dry and dense, requiring a fair degree of dedication. This text is a welcome exception in a number of ways. It is extremely well written and well structured. It has an explicit theoretical framework in contrast to most of the contemporary books on housing which are increasingly descriptive and narrowly focused on a policy agenda. And it is politically engaged and carries a distinctive message, whilst providing a well-balanced assessment of the relevant literature' (Forrest, 1995, p.623).

Implicit in this quotation is an indication of the success of the Candidate and his co-author in attempting to bring a 'sociological imagination' to their task.

These reviews also identified some specific virtues of *The Eclipse of Council Housing*, including ones present in sections of the book written by the Candidate. Thus, in relation to Chapter 1 Riseborough referred to the 'welcome blend of empirical research and theory' and the 'well constructed and cogently argued' discussion of the state and the relationship between public housing and welfare (Riseborough, 1994). Similarly, Duncan comments that 'Part 1 on policy development from its origin up to 1979 is excellent in using historical material in a new way. This is not just a chronological account, what sets it apart is the distinction between necessary and contingent relations' (Duncan, 1994, p.829).<sup>13</sup> Commenting on Part 2 of the book on 'Council Housing in Use', Ginsburg refers to 'a particularly useful chapter on council housing design and construction'; 'another particularly interesting chapter...on "tenant experiences and responses", examining both tenants' protests and quiescence within a critical framework'; and 'a useful chapter on council

housing management' (Ginsburg, 1994, pp.88-89). Forrest finds that this part of the book 'skilfully blends an account of the origins of public-sector housing with a particular focus on issues of housing management and the experience of tenants' (Forrest, 1995, p.624).

The remaining three items are all research reports. These have made a contribution to knowledge by informing refereed articles written after the completion of the research projects. Hence, Item 4 stemmed from the inquiry reported in Item 3, while Item 7 utilised insights gained from the fieldwork and literature reviews undertaken in completing Items 5 and 6. However, in addition to their contribution to academic knowledge, the three research reports have all contributed in their own right to policy analysis, development and practice. In the case of *First-Stage Training for Tenant Participation*, insights from the research were crystallised by the Tenant Participation Advisory Service (TPAS) in a widely used and accessible practice guide.<sup>14</sup> Secondly, the Director of the National Institute of Adult and Continuing Education welcomed the research and accepted an article that linked tenant training with wider debates on adult education and citizenship in his organisation's journal.<sup>15</sup> Finally, the recommendations in this report for the establishment of local 'tenant training forums' were taken up for further exploration in subsequent research at the University of Glasgow, funded by the Joseph Rowntree Foundation and conducted in consultation with TPAS (Parkey *et al.*, 1997).

In the case of *Hope in the City?*, the Church Urban Fund subsequently established a sub-committee charged with the task of finding means of implementing some of the researchers' key recommendations for policy and practice and significant changes were introduced in the succeeding years. Over 700 copies of the final report were sold and the quality of the work was warmly endorsed by the Fund. The widely read *Christian Action Journal* commissioned a special issue devoted exclusively to the report<sup>16</sup> and the Candidate was invited to contribute to a BBC programme on 'Faith in the City', drawing upon the research findings.<sup>17</sup>

The aims of the first two parts of this discussion of the Candidate's 'contribution to knowledge' have been to establish the independence of his work and to confirm its overall quality as judged by others. The remaining important task is to offer some personal critical reflections on the portfolio and the lessons learned from the programme of work that it represents. The following discussion is necessarily selective. Hence, the approach here is, first, to delineate the field in which the

Candidate claims a contribution to knowledge and, secondly, to reflect on some specific lessons that have emerged from the programme of research and writing and the limitations in the earlier items which have become apparent in the light of both subsequent history and the Candidate's own developing understanding.

Regarding the field in which the Candidate's contribution has been made, the discussion of the portfolio's 'coherence' above has explained the overall aim of applying a sociological imagination to British housing and urban policy. The claim here, therefore, is not to specialist *sociological* innovation but to the *application* of an essentially sociological approach to a field in which the sociologist can make a distinctive and important critical contribution alongside exponents of other disciplines. Thus, the Candidate's publications have not been in discipline-based sociology journals and his empirical work has focused on policy-based subjects. The arena for publication, therefore, has been largely in housing and urban policy based journals and, in the case of the co-authored book and Item 8, in the field of critical social policy. Also, as explained above, the methodology deriving from the aim of using a sociological imagination in this field has enabled the Candidate to contribute to the articulation of subordinate urban voices in policy debates.

Turning to an appraisal of the specific lessons learned from programme of work, the research for Sheffield City Council on 'housing satisfaction', which later informed the methodologically reflective article entered as Item 1 in the portfolio, began during the early years of the first Thatcher government. Of course, it was already clear, not least in South Yorkshire, that the new administration signalled a major change in the political and economic landscape, with powerful implications for the future of housing and urban policy. However, Item 1 now seems in retrospect to misjudge the depth and permanence of these developments and their origins in processes far beyond the idiosyncrasies of the British electoral system that permitted the New Right accession to office. Thus, the assumption that, in due course and with a change in government, local authorities would be able to add new and improved dwellings to their stock, proved misconceived as policies to transfer council houses to other tenures or other landlords proliferated. A sharpened perception here would have been gained through engagement with the then emerging work of the 'restructuring school' and its identification of the regional and local consequences of *globally* operating processes of uneven development and economic restructuring (see, for example, Massey, 1984). Not only would this have compelled recognition that the policy upheavals of the 1980s emanated from deeper and more enduring

international structures and processes than the British phenomenon of 'Thatcherism'. It would also have encouraged awareness that the changes in Britain were to be construed not simply as the imposition by a formally elected political machine of a series of explicit ideological and economic objectives. Rather, 'Thatcherism' itself was a specific, and particularly arresting, harbinger of much more profound social and cultural change and a transformation of 'politics' that extended well beyond the formal arena, being rooted in a wider crisis of authority. Item 1 does have an enduring value in that it offers a rationale and guidelines for the use of the social survey in an age of greater 'consumer sovereignty'. However, despite its passing reference to the then relatively novel practice of 'community architecture', it failed to recognise sufficiently the producer-domination of council housing and does not anticipate the subsequent literature on community participation, resident involvement and the diverse strategies for community 'capacity-building'. It also focuses on housing as a discrete sector and pays only limited regard to the 'interconnectedness' of residents' experiences, despite the pre-existence of a substantial literature and practice in the field of community development.

The Candidate's contribution to Item 2 begins to address some of these issues but this work still exhibits some narrowness of theoretical vision. Positively, the book offers not only an extended analysis of the historic power of the immediate (and less immediate) 'producers' of council housing, but also an assessment, generally neglected in earlier books on housing policy, of *tenants'* experiences of their housing 'in use' drawing on both quantitative and qualitative data (see Chapter 6). Elsewhere, however, it now seems that the Candidate still did not pay sufficient regard to the range and depth of change. Specifically, despite the positive assessments by some reviewers of the attempt in *The Eclipse of Council Housing*, uncommon in other housing texts, to use sociological and welfare theory to interpret the history, performance and prospects of the British municipal housing sector (see the discussion on pp.17-18 above), this aspect of the work also attracted criticism. Thus, Duncan identified Chapter 1 as 'the least successful part of the book' (Duncan, 1994, p.829), while Ginsburg, within a broadly positive assessment, suggests that 'these theoretical ideas are not always worked through as consistently and clearly as they might have been' (Ginsburg, 1994, p.89).

These reviewers had their particular reservations regarding the theoretical analysis offered in the book, especially Duncan who identifies shortcomings in the conceptualisation of the state and the limited range of theories of the state

considered. However, for the Candidate, any lack of clarity or restriction of vision in the theorisation of council housing now seems to stem in part from the very device that Duncan chooses to praise – the use of a Marxist-informed realism that uses the distinction between ‘underlying generative mechanisms’ and ‘contingent relations’ (Dickens *et al.*, 1985). As the text makes clear (Item 2, p.23), this distinction was used as ‘a convenient heuristic device’ and ‘[did] not signal a rigid prior commitment to Marxist theory’. However, in practice, the ensuing analysis did emphasise the causal significance of economics and class. Issues of political power, in the form of local councillor intervention and the limited authority of housing professionals (Chapter 5), and of race, gender and consumption are introduced subsequently into a framework that has an unduly ‘economistic’ bias.<sup>18</sup>

Even in relation to issues of economics and class, the analysis would have been sharpened by a fuller engagement with then emerging ‘regulation theory’ and the distinction between Fordism and post-Fordism (see the review by Savage and Warde, 1993, pp.55ff.), especially as applied to local government by Hoggett (Hoggett 1987) and subsequent writers (see Burrows and Loader, 1994). However, despite their contribution to the economic aspects of urban change, such approaches of a general Marxist orientation ‘need to be supplemented by a much fuller analysis of the *social, cultural and political processes* which shape, and are themselves shaped by, cities’ (Savage and Warde, 1993, p.62 – emphasis added).<sup>19</sup> In the case of *The Eclipse of Council Housing*, therefore, despite the Candidate’s attention to tenants’ experiences, the failures of local authorities to recognise the needs of women and ethnic minorities, and the weakness of housing ‘professionalism’, the crisis of municipal housing still needed to be explored by stronger reference to these three crucial dimensions of change - socially, the emergence of a more diverse, assertive and less deferential public (Gyford, 1991, pp.32ff.); culturally, the increasingly precarious legitimation of traditional and modernist meta-narratives, provoking an erosion in the authority of the producer, the increasing sovereignty of the consumer and the cultural centrality of consumerism (Abercrombie, 1994); and, politically, the related internal and external revolution in local government and the increased complexity and diversity in the processes of local governance in Britain (Leach and Percy-Smith, 2001, chapter 1).

These limitations of vision in Items 1 and 2 have gradually (if still incompletely) been addressed in subsequent portfolio works as the direction and magnitude of change became clearer and the Candidate’s understanding of the issues developed.

The work for Item 3 (*First-Stage Training for Tenant Participation*) and related course development activity<sup>20</sup> provided a context in which to develop a much fuller and first-hand awareness of tenant experience and of the pressures for, and obstacles confronting, a stronger and more formal incorporation of tenants' organisations in decision-making. As noted above, this work also prompted the theoretical reflection on the 'authority of the consumer' and the definition of 'citizenship' later articulated in Item 4. However, in one particular respect, the policy recommendations that derived from this research do not fully absorb the lessons of the fieldwork or recognise the limitations of a focus on a discrete 'housing' sector. Certainly, the potential value of links between tenants' organisations and other community organisations and of the benefits for tenants of harnessing adult community education services were recognised in the eventual research findings. However, the clear transcript evidence that many of tenants' most pressing concerns were not centred on narrow 'housing' issues at all should have prompted the Candidate to a stronger emphasis on the interconnectedness of the tenant experience. Instead of the recommendation for the development of '*tenant* training forums', therefore, the more 'holistic' or 'joined-up' and 'community' initiatives of the later 1990s could have been anticipated more fully.

The research on the Church of England's response to urban poverty and its own *Faith in the City* report (Items 5, 6 and 7) exhibits a similar tension between recognition of current policy dilemmas and some slowness in identifying the wider direction of change. Hence, the Candidate's analysis of the longstanding Anglican 'social tradition' in *Hope in the City?* (chapter 5) did serve to underline the Church's awareness of continuing in the same approach and colluding with the government in compensating inadequately for the retreat of the welfare state, so failing to offer more novel and 'prophetic' initiatives. At this stage, however, the Candidate did not identify with sufficient clarity in both the Conservative government's interest in the Church Urban Fund<sup>21</sup> and in the interest of some CUF trustees in American 'community organising', indicators of a wider process of growing voluntary and community sector centrality to the 'partnerships' that are now so prominent in 'the new urban governance'. It is only in his current work, in a period when a New Labour government leads cross-party support for 'faith-based' community initiatives, that the Candidate is developing a more 'contextualised' analysis of the involvement of faith organisations in urban policy.

Item 8 was written in the New Labour years and incorporates a particular advance on the Candidate's earlier work. In developing a 'sociological imagination' in *The*

*Eclipse of Council Housing*, reference was made to a powerful 'institutional truth' which has served to distort perceptions of British public housing. This idea, however, was not fully explored, being used simply to suggest to the reader that there is an 'assumptive world' surrounding housing tenure in Britain that requires a critical response. Since the early 1990s both the Candidate's own reading and the advent of a New Labour government have underlined the power of language in articulating and justifying public policy. Item 8, therefore, explores critically the language of more recent urban 'regeneration' and related ideas such as 'social exclusion' and 'holism'. What it does not do is to use, or make links with, more formal discourse analysis, although this is a field that the Candidate has subsequently developed in his Masters-level teaching<sup>22</sup> where the work of Fairclough (2000), Gurney (1999), Hastings (1998, 1999, 2000) and Jacobs and Manzi (1996) has proved instructive.

Item 8 also draws on the experience of the major research projects on tenant participation and the Church Urban Fund to question the 'inclusiveness' of recent urban regeneration policy. In particular, beyond the 'fractured communities' that New Labour has attempted to incorporate in its 'partnerships', the lesson of the exploration of 'community organising' is that there is a failure to connect with 'fractious communities' who already possess a cohesion, but one that impels them to 'exclude the excluders' in pursuit of their own power of identity (Castells, 1997).

Finally, in Item 9 the Candidate has returned to the issue of housing 'professionalism', first explored in *The Eclipse of Council Housing*, (Item 2, pp.128ff.). For some years he has sensed that this earlier analysis involved a strong element of retrospection and was becoming further dated in the sense that it did not engage with the accelerated cultural challenge to *all* professional authority; with the major subsequent changes in urban governance and the rise of cross-sector and inter-organisational networks; or the internal changes relating to attempts to replace traditional 'bureau-professionalism' with a new 'organisational settlement' often referred to as 'the new public management' (Clarke and Newman, 1997, chapter 1). The new article, also prompted by the Candidate's role in securing funds from the Higher Education Funding Council for England to foster national developments on 'inter-professionality' in the built environment curriculum<sup>23</sup>, reflects an awareness of the limitations in Item 2 identified above, and highlights the prominent role of 'housing' staff in a new 'network professionalism'. In the process, it does attempt some limited cross-national reference. This, however, serves perhaps to highlight

the general lack of international comparison in the overall portfolio, a matter that the Candidate is hoping to address in future work.

## VI) Conclusion

This review has identified the aims of the portfolio, analysed the type and purpose of the included work, related these aims to the Candidate's specific claims to 'coherence' in the published work, and assessed the status of the component items, singly and collectively as a 'contribution to knowledge'. Discussion of this latter issue has involved not only positive claims for the work but also some more critical reflections on its shortcomings and the ways in which the Candidate has attempted, and is attempting, to absorb the lessons of experience.

## NOTES

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<sup>1</sup> The Candidate's other published work is listed in Appendix 4. These other items have been omitted from the present portfolio for one or more of the following reasons: they were written in the more distant past and do not form a coherent whole with the portfolio work; they involved a less prominent authorship role for the Candidate than was the case with the portfolio items; or, in some cases they are in the form of articles which were not subject to full refereeing procedures.

<sup>2</sup> Written in 1959.

<sup>3</sup> This bald statement clearly begs many questions. In this word-limited appraisal it is clearly not possible to offer a fully elaborated epistemology and methodology. The portfolio itself must serve to indicate the Candidate's developing awareness and understanding of these issues (see, for example, Item 1: Item 2, chapters 1 and 2; Item 4 and Item 8). Certainly the statement should not be understood as signifying an unreflective acceptance of the separation of values and facts or of a positivist or straightforwardly Weberian epistemology. However, despite the valuable capacity of phenomenology, postmodern theory and discourse analysis to undermine 'institutional truths' (Galbraith, 1989), it *does* signal the Candidate's rejection of absolute relativism. It also marks a rejection of structuralist epistemologies that deny the existence of the subject, for without a subject there is no individual Candidate to whom a qualification can be awarded!

<sup>4</sup> Peter Malpass, 'Councils of despair', *Roof*, January/ February, 1994.

<sup>5</sup> And also by the Department of the Environment.

<sup>6</sup> An important stimulus in writing this article was the Candidate's own biography and his awareness (stemming from personal commitment) of the meanings of 'regeneration' within Christian faith, some of which have deeply radical social, as well as personal, implications.

<sup>7</sup> For example, government support for estate management boards, tenant management co-operatives, and stock transfers.

<sup>8</sup> The Candidate was a member of the supervisory team for this doctoral research.

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- <sup>9</sup> The Candidate is a member of a research team which is undertaking a project entitled *Engaging Faith Communities in Urban Regeneration*. The work is funded by the Joseph Rowntree Foundation.
- <sup>10</sup> 'Synthesis – building up of separate elements, especially of conceptions or propositions or facts, into a connected whole, especially a theory or a system' (The Concise Oxford Dictionary).
- <sup>11</sup> Co-author confirmations were secured from all the Candidate's writing partners except Sue Lund (items 5, 6 and 7) who was not approached owing to her ill health.
- <sup>12</sup> 'Client' here refers both to bodies that have financed research and ones that have commissioned it. In some projects these roles have been conflated, but in others finance has been obtained from a further party to permit a study for a commissioning organisation.
- <sup>13</sup> In Part 1 of *The Eclipse of Council Housing*, the Candidate was responsible for Chapter 2 and the theoretical framework to which Duncan alludes. His co-author was responsible for Chapter 3.
- <sup>14</sup> Tenant Participation Advisory Service (England), *Learning is What You Live*, TPAS: Salford, 1994.
- <sup>15</sup> R. Furbey, B. Wishart, M. Hood and H. Ward, 'The great untapped resource: adult education, citizenship and tenant participation', *Adults Learning*, vol.5, no.8, 1994, p.204-206.
- <sup>16</sup> Christian Action Journal, Summer 1995.
- <sup>17</sup> BBC Radio 4, *Faith in the City: the Church* - broadcast on 29<sup>th</sup> November 1995.
- <sup>18</sup> The Candidate recognised the controversy surrounding the realist distinction between 'underlying generative mechanisms' and observable 'contingent relations'. As Saunders has commented, there are 'no obvious guidelines (other than the researcher's own value conditioned interests) for determining what is necessary and what is contingent' (Saunders, 1986, p.p.357) - hence the use of the distinction in Item 2 as a *device* for organising a complex discussion rather than as a guiding *theory*. However, once issues of capitalist accumulation and class relations are introduced as the point of departure for analysis (as they are in Chapter 2 of the book), this distinction itself becomes hard to maintain.
- <sup>19</sup> Note that, from an essentially historical materialist position, Harvey engages with the relativism of postmodernism, and its rejection of meta-narratives, without embracing it (Harvey, 1989 – see especially the concluding reference to a 'counter attack' on p.359). See also Kumar's summary of Harvey's position (Kumar, 1995, pp.191-192).
- <sup>20</sup> During the period 1991-93 the Candidate contributed to the establishment at Sheffield Hallam University and Northern College of Residential Adult Education of the first course in England leading to the National Certificate in Tenant Participation.
- <sup>21</sup> The Department of the Environment partnered CUF in commissioning and financing the research.
- <sup>22</sup> In 2000/2001 the Candidate completed distance-learning materials to support a class-based course on 'Social Inclusion' for students studying for the MSc in Urban Regeneration at Sheffield Hallam University.
- <sup>23</sup> *Inter-Professional Collaboration: Simulating Partnership Working in the Built Environment*, a three-year project financed by the Fund for the Development of Teaching and Learning (£247,000), Higher Education Funding Council for England, 2000.

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# Appendix 1

*Summary of publication portfolio, indicating publication type,  
co-authors and the Candidate's contribution*

**Appendix 1:** Summary of the publication portfolio indicating publication type, co-authors and the Candidate's contribution

Item Number	Title	Publication Type	Co-Authors	Candidate's Contribution
1	'Method and methodology in housing user research', <i>Housing Studies</i> , vol. 1, no.3, 1986, pp. 166-181.	Refereed Article	Barry Goodchild)	Principal Author
2	<i>The Eclipse of Council Housing</i> , Routledge, 1994.	Book	Ian Cole	Partner Author
3	<i>First-Stage Training for Tenant Participation</i> , 1993, 150pp.	Research Report – funded by the Joseph Rowntree Foundation	Benita Wishart, Marianne Hood and Helen Ward	Team Author / Report Editor
4	'Training for tenants: "citizens" and the enterprise culture', <i>Housing Studies</i> , vol.11, no.2, 1996, pp.251-269.	Refereed Article	Benita Wishart and John Grayson	Principal Author
5	<i>Hope in the City?: the Local Impact of the Church Urban Fund</i> 1994, 170pp.	Research Report – funded by the DoE, the Church Urban Fund, the Paul S. Cadbury Trust and the Wates Foundation	Richard Farnell, Sue Lund, Paul Lawless, Benita Wishart and Peter Else.	Team Author / Report Editor
6	<i>Broad-Based Organising: an Evaluation for the Church Urban Fund</i> , 1994, 56pp.	Research Report – funded by the DoE and the Church Urban Fund	Richard Farnell, Sue Lund, Paul Lawless Benita Wishart and Peter Else	Team Author / Report Editor
7	'Breaking with tradition? The Church of England and Community Organising', <i>Community Development Journal</i> , vol.32, no.2, 1997, pp.141-150	Refereed Article	Peter Else, Richard Farnell, Paul Lawless, Sue Lund and Benita Wishart	Principal Author
8	'Urban "regeneration": reflections on a metaphor', <i>Critical Social Policy</i> , Issue 61, vol. 19, no.4, 1999, pp.419-445.	Refereed Article	None	Sole Author
9	'Housing professionalism in the United Kingdom: the final curtain or a new age?', <i>Housing, Theory and Society</i> , vol.18, no.1-2, 2001, pp.36-49.	Refereed Article	Barbara Reid and Ian Cole	Principal Author

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31<sup>st</sup> October 2000

Dear

### **PhD by Presentation of Published Work – Request to Co-Authors**

In common with many other universities, Sheffield Hallam University offers a route to a doctorate through the submission on published work. Earlier this year, after advice from various colleagues and University staff, I submitted an application listing 17 selected items published at various stages of my academic career from the earliest years to the end of 1999, together with a brief statement of my grounds for application. I learned recently that my application, having been assessed by two independent rapporteurs, has been accepted and that I can progress to the next stage. This involves the writing of a statement that demonstrates the quality and independent status of the submitted items together with an explanation of their coherence as a body of work.

I am writing this initial letter to inform you of this project and to make a preliminary request for your help a little further on in the process. The University's regulations permit the submission of work involving joint authorship *provided* there is a clear statement of the scope of the author's contribution and that of the other authors in the final output. In determining the validity of the final submission, the internal and external examiners obviously will assess the extent to which the candidate has made a substantial *personal* contribution to each submitted item and to the overall portfolio.

As a past co-author, I shall be writing to you later during this academic year to identify work that we have completed together and providing for each item an assessment of the extent of our personal contributions and that of any other authors. I shall make every effort to be precise and accurate in this but, obviously, the eventual account will be the product of a mutual discussion. On reaching agreement, I should then write up our shared account of the division of labour and incorporate this in a letter for you to sign, confirming your acceptance of its accuracy. Your letter would then be appended to my final submission for scrutiny by the external examiners. Of course, quite apart from the formal requirements of the regulations, I regard complete honesty in this matter as a very strong moral imperative.

I realise that you may well have questions or concerns regarding this process. If so, please do get in touch. However, if you feel happy in principle to receive the next letter and its accompanying statement, it would be very helpful if you could confirm this in the near future.

Many thanks.

Yours sincerely,

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26th January 2001

Dear

### PhD by Presentation of Published Work

I am writing to ask for your help as I compile an application for a PhD by publication at Sheffield Hallam University. I am required to submit a body of coherent work and an interlocking commentary for eventual formal examination by the external examiners. I must be able to demonstrate, in cases of joint-authorship, that my own *personal* contribution is of the required quality and volume.

I have now produced:

**A Candidate's Statement** in which I have sought to specify:

1. the context in which the publication was produced;
2. the content of the publication (in the case of journal articles, this is usually the published abstract);
3. an account of my own contribution to the work; and
4. an account of the contribution(s) of my co-authors.

**A Co-Author's Confirmation** proforma on which you can confirm the accuracy of the Candidate's Statement and record any other comments.

As I have undertaken this task I have been very aware of the difficulty in achieving a completely precise account of each author's contribution to an item of work, not least when the the publication in question was completed some time in the past. Also, so much is achieved through informal discussion and processes that are difficult to disentangle. Ideas that I may attribute to myself may often have been developed through discussion with partners, or stimulated by something that a colleague has said or done. So, if you feel that my account of our joint work is misleading, please do reply by returning the Co-Author's Confirmation form unsigned and with suggestions as to how I should change the Candidate's Statement.

If, however, you are content with my account of our research and writing partnership, please complete the form, add any further comments you regard as appropriate, and return it to me.

I am sending this communication to you electronically to ease your task. I'm afraid however, that you will need to post back a hard copy as your signature will be required by the University.

If you would like to discuss the issue with me, please ring or contact me by email.

# Appendix 3

***Details of co-authorship:  
Candidate's statements and co-authors' confirmations***

*(The Candidate's Statements are presented for each of the 9 portfolio items, followed, on unnumbered pages, by the co-authors' confirmations)*

# Details of Co-Authorship

Item Number: 1

Item Title: 'Method and methodology in housing user research', *Housing Studies*, vol. 1, no.3, 1986, pp.166-81.

Co-Author(s): Barry Goodchild

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## Candidate's Statement

### 1) Context of Publication

This article derived from work undertaken with Barry Goodchild for Sheffield City Council in 1980-2. The authors were invited by the Council's Department of Housing and Department of Architecture & Design to undertake research to explore the evaluation by users of public sector housing schemes completed recently in the city to different design and amenity specifications. The findings of this study were published in a final report for the City Council and published as *Housing Standards and Design*, Sheffield: Pavic Publications, 1984.

The authors brought knowledge and skills to this research that were both complementary and overlapping. Each contributed an understanding of social science theory, epistemology and method and their potential application to housing, design and planning issues. The Candidate applied prior knowledge of debates in environmental psychology and social survey design to the development of the main research instrument and a critical perspective on the validity of the social survey in the context of housing user research in terms of both method and methodology. In the actual conduct of the research, Barry Goodchild provided particular expertise in the evolution of housing design standards and their underlying principles. A further refereed article was published with a more empirical and policy-based focus for which Goodchild was the principal author and the Candidate the partner author.<sup>1</sup>

### 2) Content of Publication

The abstract of this article summarises its content as follows: 'In a context of growing housing shortage and decay pressure is mounting for a renewed programme of low-cost housing for rent. Such a programme would raise again the question of appropriate design standards and the issue of user participation in new housing provision. The argument in this article is that the social survey method, despite its past use in positivist and architecturally functionalist (and therefore deficient) housing satisfaction studies and in the Department of the Environment's *Housing Appraisal Kit*, does not necessarily entail positivism or a narrow functionalism and should be reconsidered as an option within the participatory design approach of 'community architecture' or as complementary to this approach'.

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<sup>1</sup> Barry Goodchild and Robert Furbey, 'Standards of housing design', *Land Development Studies*, vol.3, no.3, 1986.

### **3) Contribution of the Candidate**

The Candidate was responsible for the design of the article, the final editing, and the writing of the first two-thirds of the text in which the use of the social survey method in housing user research is critically assessed. The argument is informed by the Candidate's particular role in the design of the research questionnaire and the ensuing survey management.

### **4) Contribution of the Co-Author**

The Co-Author contributed the later sections on the limitations of architectural functionalism and the merits of perspectives that emphasise the importance of symbolism in users' evaluation of their housing. The argument here is informed by the Co-Author's knowledge of architectural theory and previous housing user research. He also commented on the remaining text and contributed to its refinement.

# Details of Co-Authorship

Item Number: 2

Item Title: *The Eclipse of Council Housing*, 1994, London: Routledge

Co-Author: Ian Cole

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## Candidate's Statement

### 1) Context of Publication

This book is the result of an equal partnership between the Candidate and the Co-Author. It was produced in response to an invitation from the publishers to contribute a text to a series on 'The State of Welfare', designed to assess the degree and direction of change in different policy sectors in the context of the major restructuring of the welfare state in the 1980s and early 1990s.

### 2) Content of Publication

The cover description of the book, written by the authors, summarises its contents as follows: '*The Eclipse of Council Housing* explores the birth, growth and decline of public housing in Britain, weighing up its merits and weaknesses. It traces the development of a state housing policy and looks closely at council housing as a lived experience rather than merely as an economic artefact. It examines the quality of the housing offered by local authorities to their tenants and the responsiveness, efficiency and democracy of housing management, with special emphasis on tenant experiences. The authors review New Right arguments for the final eclipse of state housing alongside current initiatives to reform it, and conclude with a strong challenge to the view that council housing should be consigned to the scrapheap'.

Hence, although the book was designed as a valuable resource for students in housing, planning, sociology, geography and related fields, it is not presented as a 'text book' but as an empirically grounded argument that contributes to wider housing and urban policy debates.

### 3) Contribution of the Candidate

The Candidate wrote Chapters 1, 2, 4, 5 and 6. The authors collaborated in writing Chapter 1 and the Conclusion. The Candidate wrote pp.10-12 and 14-22 in Chapter 1 and pp.238-240 in the conclusion. However, the partners commented on each other's work throughout.

#### **4) Contribution of the Co-Author**

The Co-Author wrote the Introduction and Chapters 3, 7 and 8, as well as pp.233-237 of the Conclusion. He also identified a means of re-ordering and editing the initial chapters in the light of the experience of early stages of writing.

# Details of Co-Authorship

**Item Number:** 3

**Item Title:** *First-Stage Training for Tenant Participation*, final report on a project funded by the Joseph Rowntree Foundation, 1993, Sheffield: Centre for Regional Economic and Social Research, Sheffield Hallam University.

**Co-Authors:** Marianne Hood, Benita Wishart & Helen Ward

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## Candidate's Statement

### 1) Context of Publication

This publication is the final report on a project funded by a grant of £50,000 from the Joseph Rowntree Foundation. The research involved a partnership between the Tenant Participation Advisory Service (TPAS) for England and the Centre for Regional Economic and Social Research at Sheffield Hallam University. The study occurred in a context of growing pressure from below for more effective tenant participation in housing decisions and also increasing government sponsorship for specific forms of tenant involvement. In its work with tenants' organisations, TPAS was finding that a recurring obstacle to the complex enterprise of participation was the lack of effective training resources and services for tenant organisations.

### 2) Content of Publication

Central to the research was fieldwork both with members of tenants' organisations and with actual and potential providers of tenant training services. Group meetings were held with over 20 tenants' groups in six case study localities, followed by semi-structured interviews with over 30 representatives of training organisations. This work was informed by the experiential knowledge of TPAS colleagues within the research group and also wider contextual work on definitions of participation, citizenship and related concepts and their varying application in different localities. The research findings were used to develop specific policy recommendations, in particular the formation of multi-agency local tenant training forums marked by strong tenant representation. On completion of the study, the Joseph Rowntree Foundation supported further independent research exploring the potential of tenant training forums.

### 3) Contribution of the Candidate

The Research Director and initial instigator of the research proposal was Marianne Hood, then Director of TPAS (England). The Candidate took a leading role in translating the initial ideas into a successful research proposal. Thereafter, he played a full role in research design, the development of the methodology and method and the process of data analysis. He also edited the final report and took responsibility for its detailed writing, making particular contributions to the section on

'research context' and the later development of the model for tenant training forums. The candidate did not undertake any of the project fieldwork, but he did collaborate with colleagues in facilitating interim dissemination events.

#### **4) Contributions of the Co-Authors**

Marianne Hood and Helen Ward of TPAS brought crucial experiential knowledge to the project that informed the identification of case-study localities, the formulation of research questions and the practical organisation and conduct of the fieldwork. Marianne Hood also drew on her prominent position in the tenant participation network to ensure that the project was supported by an effective advisory group and informed by valuable interim dissemination events. Benita Wishart was appointed as the project researcher. She and Helen Ward convened, facilitated and transcribed the group meetings with tenants and made full contributions to research group discussions on the analysis and significance of the data and appropriate conclusions and policy recommendations. Benita Wishart, who had prior relevant experience with the Priority Estates Project, also undertook and transcribed the interviews with potential and actual tenant trainers. All co-authors commented on drafts of the final report, so strengthening this document.

## Details of Co-Authorship

Item Number: 4

Item Title: 'Training for tenants: "citizens" and the enterprise culture',  
*Housing Studies*, vol.11, no.2, 1996, pp.251-269.

Co-Authors: Benita Wishart and John Grayson

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## Candidate's Statement

### 1) Context of Publication

This article was written as the final, and reflective, output of a project funded by the Joseph Rowntree Foundation and completed in 1993. The full report of this project is presented as Item 3 of this portfolio. Benita Wishart was a member of the project research team and John Grayson was a member of the project advisory group. During the project period, the Candidate and John Grayson also collaborated, as representatives respectively of Sheffield Hallam University and Northern College of Residential Adult Education, in the development of the Certificate in Tenant Participation. This qualification was accredited by the Chartered Institute of Housing and initiated and financially supported by the Department of the Environment. Its development and subsequent operation occurred in close consultation with tenants' organisations and the Tenant Participation Advisory Service.

### 2) Content of Publication

The published abstract of the article summarises its content as follows: 'The recent growth of tenant participation in British council housing has been accompanied by widespread acceptance of the importance of tenant training for genuine and effective user involvement in housing decision-making. This article focuses on the sponsorship of tenant participation and training by the Conservative central government. Official promotion of tenant training is linked to the distinctive models of "citizenship" informing government strategy and its cultural project of creating an "enterprise culture". Government-financed training for tenant management organisations, focusing on "competencies", is found to be formally consistent with these political principles. But it is concluded that, in practice, this training can have unforeseen outcomes and foster alternative views of "citizenship"'.

### 3) Contribution of the Candidate

The Candidate undertook a leading role in writing the article, establishing its structure, and developing and referencing its theoretical argument.

#### **4) Contributions of the Co-Authors**

The Candidate was enabled to perform his own leading role in writing the article through the preceding collaborative work in research and course development with the co-authors. Most immediately, in her role as Project Researcher, Benita Wishart was responsible for obtaining and recording some of the empirical material on which this predominantly theoretical article is based. Beyond this, in research team and advisory group meetings, both she and John Grayson offered many insights on how contemporary developments in tenant participation, particularly as then sponsored by the government, could be interpreted. The collaboration in course design with John Grayson, with his strong pre-existing links with tenants' organisations and understanding of the policy context, also provided valuable yardsticks against which to test the validity of the article's arguments. Both co-authors commented on drafts of the article, helping to strengthen the final version.

## Details of Co-Authorship

Item Number: 5

**Item Title:** *Hope in the City? The Local Impact of the Church Urban Fund*, final report on a research study for the Church of England and the Department of the Environment, 1994, Sheffield: Centre for Regional Economic and Social Report, Sheffield Hallam University.

**Co-Authors:** Peter Else, Richard Farnell, Paul Lawless, Sue Lund & Benita Wishart

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## Candidate's Statement

### 1) Context of Publication

This publication is the final report on a research conducted for the Department of the Environment and the Church of England. The research group was drawn from three universities and the work was financed by the Department of the Environment, the Church of England, the Wates Foundation, and the Paul Cadbury Trust with a grant of £50,000. The study was undertaken in 1993-94.

### 2) Content of Publication

The report first situates the Church Urban Fund (CUF) in relation to both state urban policy and the 'social tradition' of the Church of England. Its immediate origins in *Faith in the City*, the influential Church of England inquiry into Britain's 'urban priority areas' in 1985, are also explored, together with its organisation, financial basis and management structure. The core of the study is an evaluation of the local impact of a sample of 24 projects funded by CUF in three case-study dioceses. In the light of the empirical findings, key issues and recommendations are identified for local project managers, dioceses, the CUF trustees and staff, the Church of England, and the government. During the project the research team, at the request of CUF, agreed to include a supplementary study of the Fund's support for experiments in 'broad-based organising', deriving from 'community organising' in the United States. This extra work was facilitated by an additional grant of £5,000 and was reported in a separate publication (see Item 6) issued shortly before this main report. However, chapter 7 of *Hope in the City?* also incorporates the main findings of this subsidiary study.

### 3) Contribution of the Candidate

The Candidate played a prominent role in developing and drafting the initial research proposal and, thereafter, in developing the research design, methodology and method. Although he played a role of some significance in the fieldwork exploring 'broad-based organising', his involvement in the empirical study of local CUF projects was minor. However, he undertook major responsibility for data analysis and

#### **4) Contributions of the Co-Authors**

The Candidate drew on the complementary expertise and experience of other members of the research group. The original idea for the research came from Paul Lawless, whose knowledge of British urban policy provided an essential yardstick by which to both situate and evaluate the Church Urban Fund. Richard Farnell contributed knowledge and experience relating to church-based urban initiatives (including *Faith in the City* and CUF itself), local planning policy and voluntary sector activity in urban contexts. Peter Else brought to the project both economic and local financial expertise and experiential knowledge from involvement in local cross-denominational initiatives. Each of these three members of the research team contributed advanced drafts of particular sections of the final project report. They also undertook some of the fieldwork, notably interviews with CUF staff and diocesan representatives. Sue Lund and Benita Wishart were appointed as researchers to the research team, bringing to the project significant prior knowledge of community issues and resident involvement. They undertook the bulk of the fieldwork, a task involving significant discretion and skill. They also collected and analysed secondary documents, produced transcripts of interviews and meetings, and provided written records of observational data. Both these researchers contributed significantly to the chapters in which the research findings are reported. They also used their direct involvement with local projects and CUF staff to make a strong contribution to research group meetings, notably in data analysis and presentation and the formulation of project conclusions and recommendations.

## Details of Co-Authorship

Item Number: 6

Item Title: *Broad-Based Organising: an Evaluation for the Church Urban Fund*, 1994, Sheffield: Centre for Regional Economic and Social Research, Sheffield Hallam University.

Co-Authors: Peter Else, Richard Farnell, Paul Lawless, Sue Lund & Benita Wishart

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## Candidate's Statement

### 1) Context of Publication

This research report derives from a supplementary inquiry within the wider study of the Church Urban Fund (see Item 5). The Church Urban Fund (CUF) requested an extension of the original inquiry to encompass its support for experiments in Bristol and on Merseyside which were seeking to apply 'community organising' principles, well established in the United States, to the problems of deprived neighbourhoods in British cities. While mainstream CUF activity could be seen as relatively uncontroversial and within the longstanding Anglican 'social tradition', these essays in what, in Britain, had become known as 'broad-based organising' were recognised as novel and exciting but also as carrying risk and the potential for conflict. An evaluation of these early developments was seen as potentially instructive for the Church and the wider community sector. The research was funded by a supplementary grant of £5,000 by CUF. This Item in the portfolio stands as a separate publication. However, Chapter 7 of the final report on the full project, *Hope in the City?* (Item 5), incorporates a summary of this research, amended in the light of the experience of the final months of the full project.

### 2) Content of Publication

The report distinguishes support for 'broad-based organising' (BBO) from the rest of CUF's activities, tracing its origins in the work of Saul Alinsky in the United States and its subsequent widespread development in North America and elsewhere. The principles of this approach are elaborated and their differences from the Anglican social tradition and British liberalism underlined. The organisational and funding models of BBO are also explained before the researchers specify their key questions, methodology and method. The fieldwork in Bristol and on Merseyside is then reported and the research data analysed before the report ends with conclusions and recommendations

### **3) Contribution of the Candidate**

The Candidate played a prominent part in establishing the distinctiveness of BBO within CUF's activity and within the wider range of community initiatives in the United Kingdom. He also played a full role in developing the key research questions and in elaborating the inquiry's methodology and method. He conducted and transcribed six interviews in Bristol and engaged in observation at a weekend conference organised by Communities Organising for a Greater Bristol and a similar national event arranged by the Citizens Organising Foundation, BBO's national umbrella organisation. In compiling the final report, the Candidate acted as editor and played a full role in its detailed final expression, also making a particular contribution to writing the section on 'research context'.

### **4) Contributions of the Co-Authors**

The diverse contributions of members of the research team to the overall evaluation of the Church Urban Fund are described in the Candidate's Statement for Item 5. Benita Wishart and Sue Lund conducted most of the fieldwork in Bristol and on Merseyside and also engaged in observation at events in Bristol, Liverpool and Birmingham. They provided data and copy for the 'research evidence' chapter in the final report. Richard Farnell collaborated with the Candidate in elaborating BBO's key principles and its distinctiveness, as expressed in the early sections of the report. He also engaged in observation and reporting at the national BBO event. Richard Farnell and Peter Else also engaged in some interviews of local and national representatives of BBO, the latter contributing an assessment of BBO's medium-term ability to secure financial independence. The report's conclusions and recommendations were the product of collective discussion by all members of the research team.

## Details of Co-Authorship

Item Number: 7

Item Title: 'Breaking with tradition?: the Church of England and Community Organising', *Community Development Journal*, vol. 32, no. 2, 1997, pp.141-50.

Co-Authors: Peter Else, Richard Farnell, Paul Lawless, Sue Lund & Benita Wishart

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## Candidate's Statement

### 1) Context of Publication

This article was informed by a research project completed in 1994 exploring the local impact of the Church of England's Church Urban Fund and, within this overall major initiative, the Church's support of more controversial definitions of urban mission as embodied in the principle of 'community organising'. The full project report and the specific sub-report on 'broad-based organising' are presented as Items 5 and 6 of this portfolio. The Candidate was a member of a research group drawn from three universities. The project was funded by the Department of the Environment, the Church of England, the Wates Foundation, and the Paul Cadbury Trust.

### 2) Content of Publication

The Candidate draws on the experience of the research project and selects from its empirical findings to develop a reflective and theoretical assessment of the Church of England's engagement with community organising. The published abstract of the article summarises its content as follows: 'This article explores the recent association between the Church of England, through its Church Urban Fund, and Community Organising, an approach to community mobilisation deriving from the work of Saul Alinsky in the United States. Community Organising and the Anglican social tradition are compared and contrasted. Empirical research of the early Community Organising experiments in Bristol and on Merseyside is then used to assess the implications of Anglican involvement for the successful application of this American approach in an English context'.

### 3) Contribution of the Candidate

The Candidate undertook full responsibility for writing the article, establishing its structure, framing and referencing its argument and selecting illustrative empirical data. The article is also informed by the Candidate's personal contribution to the research fieldwork. The Candidate also played a prominent role in developing the research strategy and framing the research questions.

#### **4) Contributions of the Co-Authors**

The Candidate drew on the collective stimulus and expertise of the research group. The article also benefited from the specialist and individual knowledge and experience of its members. Benita Wishart and Sue Lund, in addition to their knowledge of community politics and resident empowerment, undertook the majority of the fieldwork that informs the article. Paul Lawless provided particular knowledge of the development of British urban policy against which the distinctiveness of the Church Urban Fund and community organising could be assessed. Richard Farnell contributed knowledge of local community action and the tradition of Anglican involvement in deprived neighbourhoods. Peter Else also provided commentary on local church engagement in social action as well as his specific contribution as an economist in monitoring and assessing the financing of the Church Urban Fund and its initiatives in community organising.

## Details of Co-Authorship

Item Number: 8

Item Title: 'Urban "regeneration": reflections on a metaphor', *Critical Social Policy*, Issue 61, vol.19, no.4, 1999, pp.419-445.

Co-Authors: None

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## Candidate's Statement

The Candidate is the sole author of this publication.

### 1) Context of Publication

This article was written during the middle years of the first Blair administration. It was published as part of a special issue of *Critical Social Policy* devoted to the social and urban policy of New Labour. Urban policy during these years showed continuity with that of preceding the Major government in pursuing holistic 'regeneration' through the use of competitive funding regimes and cross-sector partnerships. However, as elaborated through the work of the Social Exclusion Unit, New Labour placed a greater formal emphasis on the regeneration of 'communities' and the fostering of community involvement in partnership working.

### 2) Content of Publication

The published abstract of the article summarises its content as follows: 'Recent British urban policy has pursued "regeneration". This article offers a critical reflection on this pervasive metaphor. "Regeneration" is a signifier of profound change in many religious traditions and political ideologies, both radical and conservative. In practice, however, the more conservative meanings, deriving from individualistic spiritualities and "psychologisms", sociological organicism and statist interventionism, remain dominant. Hence, for all its "holistic" and "inclusive" novelty, contemporary urban regeneration preserves some familiar limitations of perspective. In particular, in its quest for "social inclusion", often the "excluders" are not in view and the "excluded" are not in focus'.

# Details of Co-Authorship

**Item Number:** 9

**Item Title:** 'Housing professionalism in the United Kingdom: the final curtain or a new age?', *Housing, Theory and Society*, forthcoming, 2001.

**Co-Authors:** Barbara Reid and Ian Cole

---

## Candidate's Statement

### 1) Context of Publication

This article was prompted by the accelerating change in the social housing sector during the years of the first Blair administration. A broad approach to urban regeneration that emphasised 'partnership', 'community' involvement and neighbourhood-based 'joined-up' services was reflected powerfully in the social housing sector and in the nature of 'housing' work. The article focuses on the particular consequences of these changes for the claims by social housing staff to professional status. Hence, the article is intended to apply a sociological analysis of the professions, developed earlier by the candidate in *The Eclipse of Council Housing* (Chapter 5) in relation to the decades before 1990, to the changed circumstances of subsequent years.

### 2) Content of Publication

The published abstract of the article summarises its content as follows: 'The unusually large, predominantly municipal, housing sector in the United Kingdom has provided the context for a large occupational grouping of 'housing managers' that has claimed professional status. However, within the post-1945 British welfare state this professional project enjoyed limited success and social housing remained a fragile professional domain. This article explores the consequences for housing professionalism of the recent displacement of the bureau-professional 'organisational settlement' by that characterising an emerging 'managerial state'. Managerialism constitutes a clear challenge to established forms of 'professionalism', especially a weak profession such as housing management. However, professionalism is temporally and culturally plastic. Hence, the demands of managerialism, within the specific context of New Labour's quest for 'community' cohesion, may be providing opportunities for a new urban network professionalism founded on both generic and specific skills and also a knowledge base combining abstraction with local concreteness. The prominence in these networks of erstwhile 'housing' practitioners may become the basis for a new, very different, professional project. This argument is developed through both conceptual exploration and reference to empirical research, including recent work by the authors'.

### **3) Contribution of the Candidate**

The Candidate developed the central argument of the article and its overall structure. He was responsible for writing most of the text, with the exception of the empirical documentation presented in the section titled 'The Transformation of Housing Work'. The Candidate edited the entire manuscript.

### **4) Contributions of the Co-Authors**

The co-authors offered important comment and advice on the initial article structure and subsequent drafts. Both co-authors contributed findings from their own recent empirical work. Hence, within the section on 'The Transformation of Housing Work', research directed by Barbara Reid is used in the sub-section on 'Evidence from Employers' and research directed by Ian Cole is used in the sub-section on 'Evidence from the Neighbourhood'. The Candidate collaborated with Barbara Reid in 'testing' the article at the following conference: International Sociological Association, Interim Conference of RC52, *State, Political Power and Professional Structures: New Patterns and Challenges*, Instituto Superior de Ciencias do Trabalho e da Empresa, (ISCTE), Lisbon, Portugal, 13-15 September 2000.

## Co-author's Confirmation

Title of Publication: 'Method and methodology in housing user research',  
*Housing Studies*, vol.1, no.3, 1986, pp.166-81.

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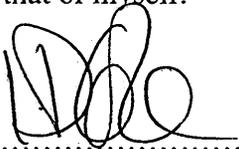
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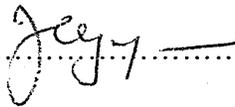
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The candidate also took on the major task of co-ordinating the work of all the members of the team in this project.

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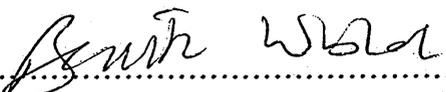
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Title of publication: 'Breaking with tradition?: the Church of England and Community Organising', *Community Development Journal*, vol. 32, no. 2, 1997, pp.141-50.

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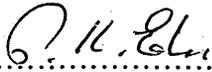
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Title of Publication: 'Housing professionalism in the United Kingdom: the final curtain or a new age?', *Housing, Theory and Society*, vol. 18, no.1-2, 2001, pp.36-49.

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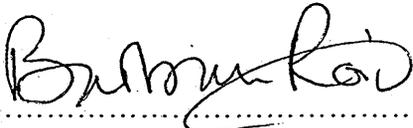
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## Co-author's confirmation

Title of publication: 'Housing professionalism in the United Kingdom: the final curtain or a new age?', *Housing, Theory and Society*, forthcoming, 2001.

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### Any Further Comments:

Rob played an important part in the overall conception and execution of this paper. He brought theoretical rigour to the analytical framework and this helped us as contributors to interpret our empirical work and set it in an appropriate context.

# Appendix 4

*Published items authored or co-authored by the Candidate  
but not included in the submitted portfolio*

In addition to the items included within the submitted portfolio, the Candidate has authored or co-authored the following further published work:

**Book:**

*Housing and Urban Spatial Structure*, Aldershot: Gower, 1975 - (with Harry W. Richardson and Joan Vipond).

**Contributions to books:**

'Training for tenants', in C. Cooper and M. Hawtin (eds.), *Involving Tenants*, London: Arena, 1997 - (with Benita Wishart).

**Refereed articles:**

'Community-based initiative and state urban policy: the Church Urban Fund', *Regional Studies*, vol.32, no.2, 1998, pp.161-174 - (with Paul Lawless, Peter Else, Richard Farnell, Sue Lund and Benita Wishart).

'Empowering communities: the experience of the Church Urban Fund', *Local Economy*, vol.10, no.3, 1995 (with Sue Lund, Richard Farnell, Paul Lawless, Benita Wishart and Peter Else).

'Standards of housing design', *Land Development Studies*, vol.3, 1986 (with Barry Goodchild).

'National and local in social class relations: some evidence from three Scottish cities', *Social and Economic Administration*, vol. 8, no.3, 1974.

'Dynamic tests of Hoyt's spatial model', *Town Planning Review*, 1974, vol.45, no.4, pp.401-414 (with Harry W. Richardson and Joan Vipond).

'Land prices in Edinburgh, 1952-67: a study of Edinburgh City Corporation land purchases', *Scottish Journal of Political Economy*, 1974, vol.21, no.1, pp.67-75 (with Harry W. Richardson and Joan Vipond).

'Determinants of urban house prices', *Urban Studies*, 1974, (with Harry W. Richardson and Joan Vipond).

'An examination of some influential views on the relationship between sociology and history', *Sociological Analysis*, vol.1, no. 3, 1972, pp.59-63.

**Other articles:**

'Faith in urban "regeneration"?', *Modern Believing*, forthcoming, 2001.

'The great untapped resource: adult education, citizenship and tenant participation', *Adults Learning*, vol.5, no.8, 1994, pp.204-206 (with Benita Wishart, Marianne Hood and Helen Ward).

'Theory or practice in housing education: a necessary choice?', in D.Garnett and P.Williams (eds.), *Symposium on Housing Education*, Occasional Paper, School for Advanced Urban Studies, University of Bristol, 1987 (with Ian Cole).

'Attitudes to the environment', *Housing*, 1986 (with Barry Goodchild)

'Right turns in housing policy - roads to freedom?', *Third Way*, 1985, vol. 8, no.11, pp.10-12.

'The Church of England: steward or lord?', *Third Way*, 1981, vol. 4, no.20, 1985, pp.5-8.

'Gentrification and the Church Commissioners', *Roof*, January 1981, vol.6, no.1 (with David Skinner).

'The Church's many mansions', *Roof*, December 1980, vol.5, no.6, pp.175-177 (with David Skinner).

#### **Research reports:**

*Housing: Winners and Losers* - a report of the Bishop of Sheffield's Working Party on Housing and Homelessness for the Diocese of Sheffield, 1992, 113pp (report co-editor and main contributor).

*Housing Standards and Design* - for Sheffield City Council, 1986 with Barry Goodchild).

*Institutional Landlordism: the Case of the Church Commissioners* - for the Nuffield Foundation, 1981 (with David Skinner).

#### **Other publications:**

*Learning is What You Live* (with Marianne Hood, Benita Wishart and Helen Ward) - in association with the Tenants Participation Advisory Service (England), 1994.

'First-stage training for tenant participation', *Housing Findings*, No.96, September 1993, Joseph Rowntree Foundation (with Bentia Wishart, Marianne Hood and Helen Ward).