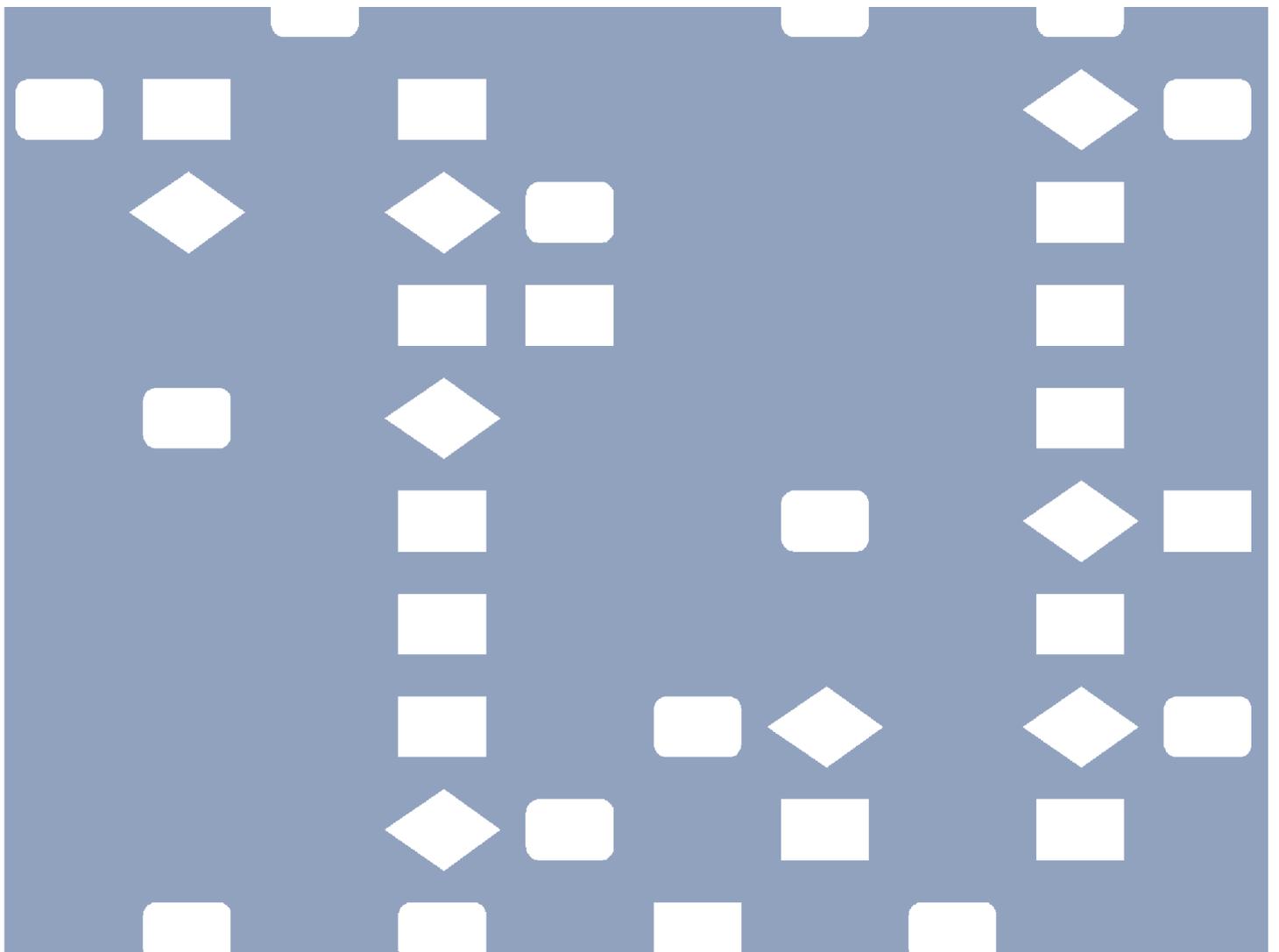


# EVALUATION OF THE ENVIRONMENT COUNCIL'S NATIONAL WASTE DIALOGUE

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Final Report  
Diane Warburton  
Shared Practice



# Chief Executive's Message

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Dear reader

It is my pleasure to present the Final Report of The Environment Council's (TEC) National Waste Dialogue (NWD).

Consisting of a series of stakeholder dialogue processes that ran between 1999 and 2002, the NWD was an experimental approach to addressing a complex sustainability issue. Proactive in nature, it was the first time that TEC initiated and led a dialogue process, without the security of a problem holder.

In taking on this challenging project, TEC made several key assumptions:

- That stakeholder dialogue was an appropriate model for addressing the issues of sustainable waste management; and
- That TEC (as an independent, facilitating organisation) could provide appropriate neutral leadership for these processes.

These are tested in the evaluation, which also addresses

- Tackling waste management issues through dialogue
- Whether the process was effective
- Stakeholder commitment to proactive processes
- The role an independent convenor can play
- Whether the dialogue produced anything.

Most importantly conclusions and lessons for the future are also identified.

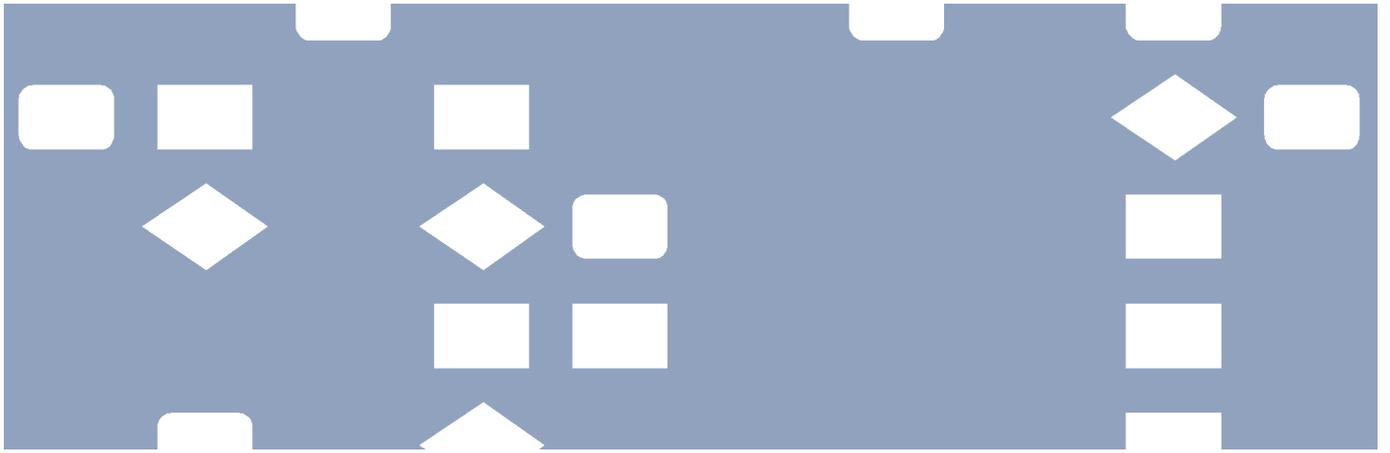
We welcome this opportunity to reflect upon and learn from this experience. TEC is committed to using the findings contained in this report as a means of improving participative decision making processes, which is a key objective in our recently published strategic plan.

Please send any comments regarding the NWD or this evaluation process specifically to [eloisef@envcouncil.org.uk](mailto:eloisef@envcouncil.org.uk).

Yours sincerely



Mike King



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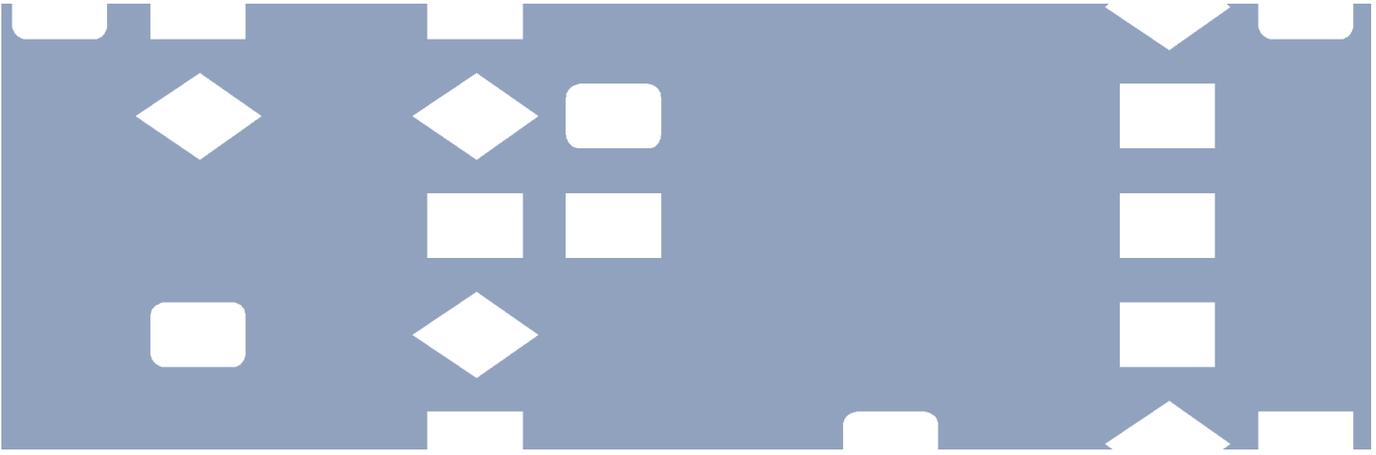
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## About the Author

Diane Warburton (BA Hons, FRSA) was commissioned by The Environment Council to lead the evaluation team and produce the Summary Final Report and Final Report, to ensure the independence of the evaluation process for the National Waste Dialogue. Diane is a co-founder and senior partner of Shared Practice, and Honorary Fellow and visiting lecturer at the University of Brighton. She specialises in evaluating participatory processes within her main area of work which is around participation and community engagement in sustainable development programmes.

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Shared Practice was established in 2002 to undertake experimental research and creative development to address the complex modern issues which do not have easy or conventional solutions. It therefore works in a variety of ways which include rigorous research, individual creativity and building collective understanding through interactive projects, usually working in partnership with clients and colleagues. For more information on Shared Practice, see [www.sharedpractice.org.uk](http://www.sharedpractice.org.uk).



# 1. INTRODUCTION

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Between 1999 and 2002, The Environment Council (TEC) ran a series of stakeholder dialogue processes on sustainable waste management under the umbrella title of the National Waste Dialogue (NWD). The NWD was an experimental approach to stakeholder dialogue in that it was the first time TEC had led the process.

The definition of stakeholder dialogue that TEC used for the NWD was as follows:

Stakeholder dialogue brings together interested parties (stakeholders) to collectively identify key issues to address. Participants agree actions and recommendations that can be supported by all.

Stakeholders were defined as all those with an interest in the issue. The broad issue of sustainable waste management has a very wide spectrum of stakeholders from all sectors. However, as the NWD focused on national strategic policy issues, it was decided during the design phase to limit the range of stakeholders and specifically not to include the public in this particular process (see section 4.5 for more details on the stakeholder involvement).

The NWD operated in two phases, each with its own objectives, as follows:

## **Phase 1: Building Effective Solutions for Sustainable Waste Management (1999-2001)**

- To identify the key issues affecting progress towards sustainable waste management.
- To identify ways to address barriers to progress.

## **Phase 2: Enabling Sustainable Waste Management (2001-2002)**

- To tackle the complex and contentious issues surrounding the planning and decision-making process for new waste facilities.
- To make recommendations on how these issues can be addressed.
- To build relationships and understanding among stakeholders engaged in and affected by waste related decision-making.

In 2003, TEC commissioned an evaluation of the NWD in order to distil learning about the participatory processes used, particularly in relation to tackling sustainable waste management in the UK, and to contribute to TEC's aim of being a learning organisation. The evaluation began by identifying two underlying assumptions which underpinned the design of the NWD, which were:

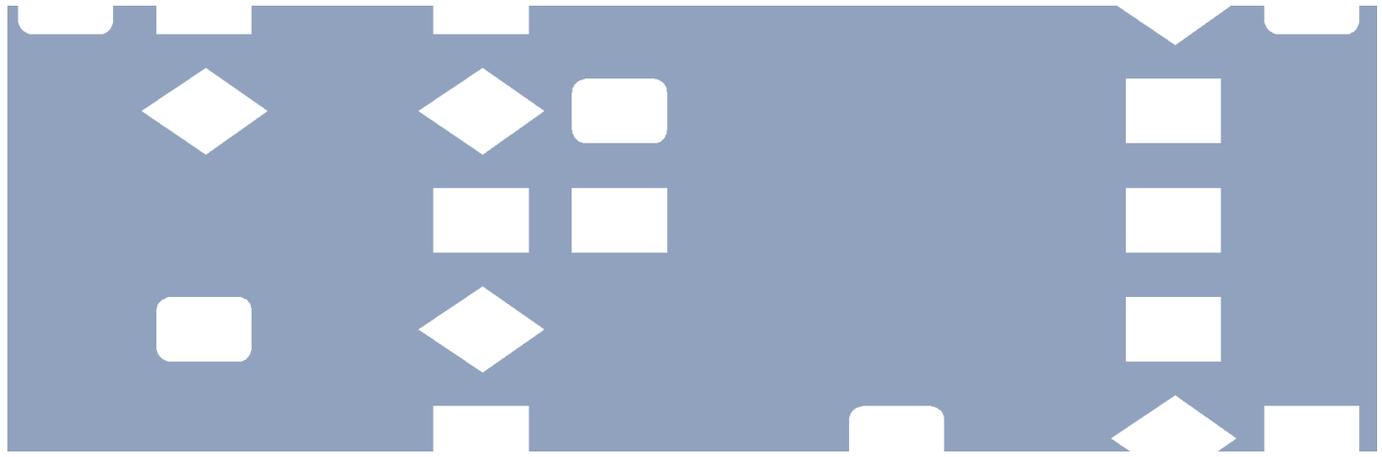
- That stakeholder dialogue was an appropriate model for addressing the issues of sustainable waste management.
- That TEC (as an independent, facilitating organisation) could provide appropriate neutral leadership for these processes.

The evaluation has been carried out by a study team led by Diane Warburton, Shared Practice, with research support from Sam Gardner (PhD student at University College London working on evaluating participatory processes) and Geeta Kulshrestha (PhD student at the London School of Economics working on waste management). The researchers were supported by a TEC team comprising Anthony Perret, Richard Wilson, Eloise Frawley and Faye Scott.

An Advisory Group was set up to support the work of the research team by helping identify the initial key issues and themes, reviewing findings, and to help safeguard the independence, integrity and quality of the evaluation process. The Advisory Group was chaired by Professor Judith Petts and comprised Ray Georgeson, WRAP; Richard Harris, independent facilitator; Barbara Herridge, Waste Watch; Simon Hewitt, Defra; Peter Jones, Biffa; and Bob Lisney, Hampshire County Council.

The evaluation has involved considerable consultation with the participants in the dialogue, the organisers and the facilitators, through interviews, a detailed questionnaire, an interactive workshop to consider preliminary findings and an electronic review process to invite comments on the final summary report, conclusions and recommendations. We would like to take this opportunity to thank all those who have contributed to the evaluation process, especially the members of the Advisory Group, for all their extremely valuable inputs.

This report summarises the NWD processes and then evaluates them against a series of key issues arising from these the aforementioned assumptions: the wider context for the NWD, the specific waste management issues debated, the quality and effectiveness of the dialogue process itself, the stakeholders involved, and the role of TEC in the NWD. It then analyses the outputs and outcomes of the NWD. Overall conclusions, a summary of lessons for the future and some initial next steps conclude the report.



## 2. THE EVALUATION STUDY

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### 2.1 Introduction

The evaluation of the NWD was launched in April 2003, when TEC commissioned Diane Warburton to lead the evaluation team. This section of the final report outlines the aims and objectives of the evaluation, the theoretical issues surrounding the study, the use of theory in the project, and the methodology used.

### 2.2 Aims and objectives of the evaluation

The evaluation aimed to assess whether the dialogue processes used in the NWD were effective in meeting the objectives of the programme overall (see section 3.1 for details). More specifically, the evaluation aimed to test the two overarching assumptions which underpinned the NWD:

- That stakeholder dialogue was an appropriate model for addressing the issues of sustainable waste management.
- That TEC (as an independent, facilitating organisation) could provide appropriate neutral leadership for these processes.

The evaluation also aimed to come to conclusions about the effectiveness of the specific stakeholder dialogue model developed by TEC and which was used to tackle issues of sustainable waste management in the NWD.

The objectives of the evaluation were agreed between the study team, TEC and the Advisory Group to be the following:

- **Contribute to the development of sustainable waste management**, by evaluating the role of the stakeholder engagement processes.
- **Contribute to the body of knowledge about dialogue processes** by producing a complete description of the dialogue processes used in this case, and the achievements and problems of those processes, by conducting a rigorous and objective evaluation and by disseminating the evidence gathered in appropriate forms and forums.
- **Contribute to the development of the evaluation of participatory processes.**
- **Involve stakeholders**, both in order to access their knowledge and understanding of how the processes worked and what they achieved, and to enable them to share in the benefits of the evaluation processes in terms of learning and development.

- **Contribute to the development of TEC as a learning organisation**, both in terms of internal practice (including through building research capacity in TEC, especially around evaluation), and of external reputation.
- **Communicate the results and lessons effectively**, recognising that the context at the time of publication may affect the timing, audiences and specific policy targets for the communication strategy.

## 2.3 Overall approach to the evaluation

Given the objectives outlined above, an evaluation process was designed with five main elements:

- **A mix of qualitative and quantitative approaches** to cover different types of data on the technical waste and process issues. Quantitative data (collecting numbers) is about measurement and judgement, whereas qualitative data provides for description and interpretation (Oakley 1991). The approach required a mix of highly structured and more open data collection processes (see below).
- **A theoretical perspective**, drawing on some key emerging models for evaluating participatory processes (see section 2.4 for details) to clarify the initial theoretical assumptions and then test these through various research processes (including interviews and interactive events).
- **A learning approach**, identifying lessons rather than simply judging success and failure. The data collection was structured to provide feedback on processes of engagement ('what works') and context as well as on content (waste management) outcomes.
- **A practical approach**, which allowed for the evaluation to be undertaken in a limited time scale, and with limited resources, while ensuring that all the relevant data was collected.
- **A participatory approach** on a number of levels:
  - initial discussions with some key stakeholders (those most involved) to surface assumptions about the dialogue programmes overall;
  - a high status advisory group (to guide the evaluation);
  - questionnaires to establish some basic feedback from a wide range of participants (to ensure breadth of data, and some quantitative findings);
  - interviews, to gain more details on specific topics (to gain some depth of data through qualitative methods);
  - an interactive event to enable stakeholders to work with evaluators to test emerging findings;
  - effective team working within the evaluation team;
  - a consultative drafting process for final reports, so that stakeholders could input to drafts.

Based on the two overall assumptions underpinning the design of the NWD, six specific themes were identified around which the evaluation was to focus:

- What the wider context was for the NWD, and whether that was fully taken into account in the design and outputs of the Dialogue.

- Whether the waste management issues identified and addressed by the NWD were appropriate at the time, and what the issues may be now.
- The quality and effectiveness of the dialogue process itself.
- Whether the right stakeholders were involved; whether the participants were appropriate to the objectives of the process (representative etc).
- The role of TEC in convening the dialogue.
- The outputs and outcomes of the NWD.

## 2.4 Theoretical issues

A number of theoretical issues were considered in the light of the agreed parameters set out above, relating generally to the nature of participatory evaluation, and to the evaluation of participation, and to some emerging theoretical models in this field.

### 2.4.1 Participatory evaluation and evaluation of participation

There are important differences between participatory evaluation and evaluation of participation. A participatory programme can be evaluated using non-participatory methods, and a non-participatory programme can be evaluated using participatory methods. For the evaluation of the NWD, both participatory and non-participatory methods have been used (theoretical and desk research as well as questionnaires, workshops and interviews). Each approach has its own benefits and limitations within the context of sustainable development, as outlined below.

#### **The benefits of evaluating participation in sustainable development may include:**

- Improving the practice of participatory working by capturing, analysing and sharing experience of good practice, and what works in different circumstances.
- Building support for participatory ways of working, by providing evidence of effectiveness and achievement, and learning processes to support individuals working with participatory methods, often in isolation.
- Contributing to the development of the theory and analysis of participatory working, including creating new theoretical models, methodologies and criteria for success which cover process outcomes (e.g. trust, ownership, understanding) as well as product outcomes (e.g. improved waste management, better air quality or greater biodiversity).
- Helping develop the sophisticated social science methodologies which are needed for sustainable development. The social science perspective explicitly recognises the particularity of context (including constantly shifting policy and political contexts and resource constraints), the complex dynamics of the social world (including human motivations as well as social institutions) and the heterogeneity of settings for sustainable development decision making. Social science methodologies have helped transform the way sustainable development is understood by introducing issues which were barely recognised ten years ago (GEC 2000), including:
  - uncertainty and complexity;
  - recognition of a diversity of ‘publics’ with diverse values, knowledge, cultural identities;

- creating different ways of framing environmental risks and potential strategies to resolve problems;
- recognition that different sectors have different abilities to tackle problems;
- recognition that trust is a vital element in public perceptions of science and institutions, and that the development of inclusionary processes can help revitalise trust in science and policy.
- Helping develop new measures of processes to improve governance, an essential element of sustainable development. Conventional measures of performance, value for money etc in public services tend to be restricted to terms of economy, efficiency and effectiveness, but governance issues can introduce three additional e's: excellence, equity and empowerment (Jackson 1991).
- Going beyond 'consumerist' measures of quality to identifying 'social' measures e.g. of environmental goods, which are not just to do with consumption but also to do with altruism (or at least enlightened self interest).
- Valuing other forms of knowledge beyond the quantitative, technical and scientific.

#### **The limitations of evaluating participation may include:**

- Evaluating participation can be costly in terms of time and money in the short term (although it should save resources in the long term by increasing effectiveness). Participatory programmes are often run by organisations with limited resources, such as NGOs and community bodies (and some local authorities), many of which struggle to fund initial programmes let alone research.
- New methods of working may be required (e.g. workshops with stakeholders, consultations on draft research findings), which may be unfamiliar to social researchers. New methods always take more time, and will need to be developed and honed before they are fully effective.
- There are particular problems in evaluating any 'human service' programmes, as these never exist in isolation and it is therefore extremely difficult to assess the specific contribution of a particular programme to any given outcome (direct cause and effect), especially in view of the constantly changing policy and political contexts. Alcock et al suggest that the best that can be hoped for is to articulate what else is going on which may affect (or have affected) outcomes by using various methods of data collection and ensuring a range of perspectives is trawled (Alcock et al 2000).
- Timescales are critical. Many of the full impacts of participatory programmes are not apparent until many years after the initial activity, and new mechanisms may need to be developed to assess results over a long period (ten years or more).

#### **In examining participatory evaluation, the benefits may include:**

- Providing an initial step to engaging stakeholders if the programme being evaluated was not participatory, or an additional step and continuing engagement if the programme was participatory.
- Better understanding of findings by funders, beneficiaries and other stakeholders as a result of them sharing discussions on the implications of the complexities of political and policy contexts, as well as broader lessons distilled for wider audiences.
- Greater ownership of findings by stakeholders through involvement in the evaluation.
- Greater understanding among all stakeholders of individual and shared choices, values and assumptions, through jointly testing criteria for success.

- Access for evaluators to a wider range of knowledges.
- Opportunities for ‘reality testing’ of findings if stakeholders can feed back on findings at early stages (or at least before conclusions are finalised).
- Opportunities for capacity building, reflection and joint learning for researchers and other stakeholders as a result of joint working and sharing experience.
- Greater understanding that social scientists (like all scientists) are not value-free, by requiring that values, choices and assumptions are made explicit to stakeholders.

### **The limits to participatory evaluations may include:**

- As with the evaluation of participation, there may be additional costs (time and money) at various stages (see above).
- Also in common with the evaluation of participation, but possibly even more so, participatory evaluation is likely to require the use of new methods, unfamiliar to social researchers (see above).
- The legitimacy of the research will depend to some extent on ensuring the representativeness of stakeholders, and appropriate mechanisms for accountability, which can be complex to identify and manage.
- Researchers are likely to have to manage conflicting pressures from different stakeholders, including potentially different value frameworks which will affect definitions of the success of the work.
- Results may be compromised if evaluators are not seen to be sufficiently objective, and appropriately distant from all parties: funders, commissioners and participants. Researchers are likely to have to develop relationships of trust with those whose work is being evaluated (to ensure there is access to all relevant data and to avoid secrecy and misinformation), while maintaining sufficient distance to be trusted by those commissioning the research (if they are different).
- The status of findings may be compromised if audiences for findings feel the results have been unduly influenced by those with a vested interest in the project or programme’s ‘success’.

## **2.4.2 Emerging tensions and models**

Lessons from practice of evaluating participation in sustainable development are now beginning to emerge, which have revealed some complex tensions as well as some models. The central tension is around choices between participatory and non-participatory approaches to evaluating participation.

Research for the local government Improvement and Development Agency (IDeA) in the UK, on poverty and social inclusion programmes, suggests that the approach to evaluation should reflect the objectives/values/criteria of the programme being assessed, e.g. participatory methods of evaluation for participatory programmes (Alcock et al 2000). However, this seems to limit the potential for developing participatory evaluations of non-participatory programmes, and this can be a positive introduction to participatory working for those who have not worked in that way before. It also limits the potential for some evaluations of participatory programmes to include only limited participation in order to meet instrumental objectives, where consultation rather than a fully participatory evaluation is appropriate (Johnson undated). In addition, two evaluations of participatory programmes (evaluations which were not fully participatory according to Rebien’s (1996) criteria) have produced some of the little ‘hard’ evidence on the effectiveness of participatory working that exist.

The first of these, by the World Bank, is a simple cost benefit analysis which compared the costs and benefits, over time, of participatory and non-participatory programmes funded by the Bank. Their findings showed that, overall, participation by beneficiaries was 'the single most important factor in determining overall quality of implementation', and made a significant contribution to project effectiveness, including resulting in lower operational costs e.g. maintenance (World Bank 1994).

The second is an analysis, by the UK Department of Health (HEMS 1998), into the health benefits of participation, using traditional social science methodologies. Direct cause and effect are difficult to prove in research on health, but this research showed that those who feel empowered to make their own decisions, are engaged in community activities and live in places with strong neighbourhood social capital, are less likely to report poor health and less likely to have unhealthy lifestyles (e.g. related to diet and smoking) than those who do not.

The willingness of audiences sceptical of the value of participation to accept the findings of these two research projects clearly suggests another issue which needs to be taken into account in evaluating participation, which is to do with the status and reputation of the body commissioning the research, and the appearance of 'objectivity' of those undertaking the research and analysis. The relevance of these additional dimensions needs to be taken into account in identifying appropriate methods for any specific evaluation study: the balance between credibility among users and beneficiaries (as a result of greater control over process, outputs and outcomes) and credibility among funders and other target audiences.

The choices between using a participatory or non-participatory approach to evaluate participatory or non-participatory programmes will depend on the objectives of the evaluation. The objectives (what the evaluation is expected to achieve) are, in turn, likely to be based on the four elements usually quoted in rationales for participation: ethics (e.g. about rights), effectiveness, strengthening governance and democracy (issues of legitimacy and accountability), and opportunities for learning and change. Evaluation objectives, like those for participation programmes, may be instrumental or transformative (O'Riordan et al 1999):

- **Instrumental evaluation** is a means to an end. Instrumental approaches focus on practicality (e.g. achieving goals more effectively) and the legitimacy of decisions. Outcomes such as strengthened civil society and democracy could also be seen as instrumental. Relevant processes would focus on public reason, persuasion by the best arguments, production of consensus, and implementable and legitimate decisions. Evaluation criteria would be around the extent to which outcomes are do-able, and their legitimacy.
- **Transformative evaluation** is an end in itself, as well as a means to a better product. Transformative approaches would focus on a learning, responding, capacity building or citizenship process, and aim for empowerment, creative agency and self esteem. Relevant processes would be about a sense of recognition and agency, and of being part of a shared society through shared stories. Evaluation criteria would include the extent to which a process generated opportunities for learning, a sense of empowerment and agency, social intelligence and self-fulfilment, as well as a sense of belonging to a shared society.

Sarah White expands these categories to four (White 1996): nominal (evaluation for 'display' e.g. PR purposes); instrumental (as above); representative (opportunities for groups to have a voice and express their own interests); and transformative (as above). Objectives such as strengthening civil society, enhancing democracy and enlargement of citizenship (or facilitation of other (e.g. state) agenda) could fit into either the instrumental or transformative models, depending on the motivations of whoever is promoting (and defining the objectives of) the participatory process and/or its evaluation.

Hunt and Szerszynski (1999) suggest that there can be tensions between instrumental and transformative objectives for evaluations, including between problem-solving and relationship building approaches, cultural empowerment and structural change, digestibility and authenticity (i.e. between preserving the authenticity of participants' own words and creating outputs which can be digested by institutions in the form of reports and recommendations, requiring 'translation'), ambivalence and consistency (recognising shifting policy and political contexts while also coming to some general conclusions which can be meaningful to decision makers).

Even when a participatory approach to evaluation is considered appropriate, further tensions arise:

- Firstly, it has been suggested that all evaluations are participatory, because they need to at least take into account the views of users, beneficiaries, stakeholders etc (Rebien 1996), but the degree to which they are participatory varies.

Arnstein's ladder of levels of participation (see below) can be used to analyse the levels of participation in participatory evaluation, as well as in participatory exercises themselves, as Arnstein's analysis addresses the key issues of power and control (Arnstein 1969). The ladder consists of eight levels:

LEVEL 1	MANIPULATION	THESE LEVELS ASSUME A PASSIVE COMMUNITY, GIVEN INFORMATION WHICH MAY BE PARTIAL OR INACCURATE
LEVEL 2	EDUCATION	
LEVEL 3	INFORMATION	PEOPLE ARE TOLD WHAT IS GOING TO HAPPEN, IS HAPPENING OR HAS HAPPENED
LEVEL 4	CONSULTATION	PEOPLE ARE GIVEN A VOICE, BUT NO POWER TO ENSURE THEIR VIEWS ARE HEEDED
LEVEL 5	INVOLVEMENT	PEOPLE'S VIEWS HAVE SOME INFLUENCE, BUT TRADITIONAL POWER HOLDERS STILL MAKE THE DECISIONS
LEVEL 6	PARTNERSHIP	PEOPLE CAN BEGIN TO NEGOTIATE WITH TRADITIONAL POWER HOLDERS, INCLUDING AGREEING ROLES, RESPONSIBILITIES AND LEVELS OF CONTROL
LEVEL 7	DELEGATED POWER	SOME POWER IS DELEGATED
LEVEL 8	CITIZEN CONTROL	FULL DELEGATION OF ALL DECISION-MAKING AND ACTION

In evaluating participation, the key questions are around value and judgements (Alcock et al 2000), with the issues of power and control often arising in addressing whose assessment of the work is valued and why and how that value is measured: what Robert Chambers summarised in the question 'whose reality counts?' (Chambers 1997).

- Secondly, there are various different approaches to participatory evaluation. Some of the key models are:
  - **FOURTH GENERATION EVALUATION.** First generation evaluation is seen to be about measurement by a 'technical' evaluator; second generation about describing patterns of strengths and weaknesses by an evaluator operating as a 'describer' (and covering technical aspects); the third generation about judgement, with the evaluator operating as a 'judge' (as well as a describer and technical). Fourth generation evaluation is 'responsive constructivist evaluation', which is essentially 'participatory evaluation' in which the evaluation's parameters and boundaries are set through an interactive negotiated process with stakeholders (Guba and Lincoln 1989).
  - **THE 'THEORY OF CHANGE' APPROACH** (which has been used in community development) is essentially a participatory planning process in which the goal is to generate a theory of change which is plausible, doable and testable and which makes explicit the pathways of change the project is expected to follow. Here, theorising happens in advance and is then tested as the process unfolds, through 'theory surfacing' before data is collected rather than through imposing theory on a body of data (Connell and Kubish 1996).
  - **REALISTIC EVALUATION** (Pawson and Tilley 1997) is designed to deal with real problems in social policy and programmes, based on the scientific realist philosophy (i.e. goals of objectivity and detachment without taking over-simplistic positivist approaches), in order to inform realistic developments in policy-making that benefit programme participants and the public. The basic realist formula for evaluation is: context + mechanism = outcome.
  - **THE INTERACT MODEL** (InterAct 2001) is designed to be participatory, but can be adapted for an evaluation that is only consultative. InterAct is an alliance of experienced practitioners, researchers, writers and policy makers in the field of public participation and stakeholder engagement, working to develop new thinking to contribute to the development of the field. The Interact evaluation model is a simple checklist summarising the likely inputs, processes, outputs and outcomes relevant to participatory, deliberative and co-operative ways of working, together with some examples of criteria for assessing success. The framework was trialled in an EU LIFE funded project on participatory river basin management, and was launched (with the Institute for Public Policy Research) in June 2001 in order to start a debate on the issues, leading to an updated framework in the future.

Tim O'Riordan suggests that "The best evaluation is instructive, collective, continuous and appropriately correcting" (O'Riordan 1999). The ideal situation has been said to be to establish a balance between instrumental and transformative objectives, clear ethics and principles, using participatory and non-participatory methods, and qualitative and non-qualitative indicators that are appropriate (according to various audiences) and verifiable (i.e. numerical but also explanations of why and how), as well as getting agreement on timescales.

Even where the ideal is not possible, some kind of balance needs to be struck to ensure that achievable objectives, ethical principles, appropriate methods and learning from results can at least be aimed for in a new 'virtuous circle' of learning from experience in ways which also help to develop better methods of assessment. These evaluation activities also need to be undertaken in an appropriate way, and "need to support the process whilst at the same time understanding and evaluating it - evaluation should ideally be linked to building capacities" (LASALA 2001).

## 2.5 Use of theory in the NWD evaluation

The evaluation of the NWD used some of the theoretical frameworks outlined above to find ways of surfacing the underlying assumptions inherent in the development of the NWD, designing the detailed objectives for the evaluation and in defining the issues that were to be addressed. The report of the findings is structured around the key themes identified for specific investigation, and there has been some analysis of findings against theoretical frameworks for stakeholder dialogue (see section 4.4.1), and for participatory working (see section 4.4.7).

The NWD evaluation was designed to have both instrumental objectives (e.g. extent to which stakeholder dialogue processes contributed to sustainable waste management) and transformative objectives (e.g. learning, empowerment, sense of agency and belonging). The tensions identified by Hunt and Szerszynski became apparent in the findings of the evaluation e.g. between problem-solving and relationship building, and between cultural empowerment and structural change, as the main priorities for the NWD.

The tensions between digestibility and authenticity have been tackled in the evaluation by using a variety of methods of researching and presenting data, some of which have aimed to preserve the participants' own words where possible (e.g. the quotes in this full final report), and some of which are designed for digestibility by other audiences (e.g. the summary report covering the main findings, conclusions and next steps).

In terms of Arnstein's ladder (see section 2.4), the evaluation was designed to operate mainly at level 5 (involvement), with participants having influence but the overall control over the process and outcomes remaining in the hands of the evaluation team. However, the relationships within the evaluation team and with the Advisory Group operated at level 6 (partnership). Although the final responsibility for delivery of the evaluation remained with the evaluation team leader, all important planning decisions were taken collectively within the team and the Advisory Group.

In terms of the models outlined above, the team aimed for a participatory evaluation using a 'fourth generation' model (responsive constructivist), working with the evaluation team and the Advisory Group (and the final workshop to a lesser extent) to set the evaluation's parameters and boundaries. We have also aimed to include some elements of the 'theory of change' and 'realistic evaluation' models in working to 'surface the assumptions' underpinning the NWD and testing those, as well as stressing the context within which the NWD operated. Although the theory of change model is designed to operate in the context of a formative evaluation (i.e. as the process being evaluated is operating) rather than a summative evaluation (i.e. done after the process is completed), and the NWD evaluation took place some time after the NWD itself had stopped, the surfacing of assumptions worked well as a mechanism to initially structure and prioritise the themes for the evaluation. The InterAct model was used as a checklist at various stages of the evaluation, including this report.

The whole evaluation process has been designed to maximise learning, including explicit identification of the lessons from experience at each stage of the research. However, we recognise that identification of lessons is very different from learning (i.e. understanding and incorporating those lessons into practice). Learning from practice is a widely-shared principle, but it remains poorly understood and operated in practice. It will be instructive to assess the extent to which the lessons from this evaluation are understood, accepted and used by the target audiences, although such assessment is beyond the scope of this current study.

## 2.6 Methodology used

The methodology used for the evaluation was designed to reflect:

- The theoretical background of evaluating participatory processes (see sections 2.4 and 2.5).
- The agreed objectives and overall approach to the evaluation (see sections 2.2 and 2.3).
- The two key assumptions which underpinned the NWD, identified in early discussions between the study team and TEC, which were:
  - That stakeholder dialogue was an appropriate model for addressing the issues of sustainable waste management, and
  - That TEC (as an independent, facilitating organisation) could provide appropriate neutral leadership for these processes.

The definition of stakeholder dialogue that TEC used for the NWD was used as the starting point for considering the processes in detail. That definition was:

**STAKEHOLDER DIALOGUE BRINGS TOGETHER INTERESTED PARTIES (STAKEHOLDERS) TO COLLECTIVELY IDENTIFY KEY ISSUES TO ADDRESS. PARTICIPANTS AGREE ACTIONS AND RECOMMENDATIONS THAT CAN BE SUPPORTED BY ALL.**

This evaluation was undertaken some time after the last meeting of the NWD. Ideally, evaluations should be designed to run from the very early stages of designing the project or programme to be assessed, run throughout operations, and continue after the programme has finished. 'Formative' evaluations of this sort can then feed learning back into the process as it develops. 'Summative' evaluations (which are undertaken at the end of a process, such as this evaluation of the NWD), will always have problems in that the actual events can only be assessed secondhand (e.g. from reports or from interviewing those involved), and rely on longer term memories.

In designing this evaluation, it was recognised that there could be a problem in going back to people such a long time after the last meeting of the NWD. Although most of the people we talked to remembered the process remarkably well, it is likely that some evaluation participants self-selected on the basis of the quality of their memory of the NWD, which may have influenced the balance of the final findings to some degree.

The phases of the work on the evaluation were as follows:

- A **literature review** on the evaluation of participatory processes. Section 2.4 of this report summarises the issues arising from this research, and Annex 1 lists the references used.
- Production of a one-page **summary** publicity sheet on the evaluation (see Annex 2), which was used as background to communications throughout the project.
- Establishment of a **research team** led by Diane Warburton, Shared Practice, with two PhD students. Diane Warburton specialises in evaluating participatory processes, and that was also the subject of Sam Gardner's PhD at University College London. Geeta Kulshrestha's PhD at the London School of Economics is in waste management. The researchers were supported by a TEC team comprising Anthony Perret, Richard Wilson, Eloise Frawley and Faye Scott. The team met regularly throughout the course of the research for the study.

- Establishment of an **Advisory Group**, chaired by Professor Judith Petts and comprising Ray Georgeson, WRAP; Richard Harris, independent facilitator; Barbara Herridge, Waste Watch; Simon Hewitt, Defra; Peter Jones, Biffa; and Bob Lisney, Hampshire County Council. The aim of this Group was to support the work of the research team by helping identify the initial key issues and themes, and reviewing findings, and to help safeguard the independence, integrity and quality of the evaluation process.
- 17 detailed **interviews** were completed with people involved in the NWD - from central government, local government, the waste industry, NGOs, consultants, plus those who ran the process and the funder. The questions used with interviewees are given in Annex 3.
- A detailed **questionnaire** was circulated to 107 people (all the current contacts from the National Waste Dialogue database), with a response rate of about 21%, which is quite satisfactory for research purposes. The questionnaire used is given in Annex 4.
- An **interactive workshop** was held in central London on 30 October 2003. The workshop had three objectives:
  - To give participants an opportunity to hear and comment on the key findings from the NWD evaluation to date;
  - To consider how learning from the evaluation can be used in future processes run by TEC or others;
  - To explore which waste issues would benefit from new dialogue processes.

The event was facilitated by Pippa Hyam, Dialogue by Design, an independent facilitator who had not been involved in the NWD. The workshop was attended by 20 participants and provided useful feedback. A full report of the workshop (agreed with participants), and a list of those who attended, is given in Annex 5.

- Two draft final reports were then produced. The main findings, conclusions and next steps were included in a draft summary report which was circulated electronically to all those involved in the process to gain further feedback and allow for final refinement. The draft full report was also made available on the TEC website. Both reports were refined in the light of feedback on the electronic consultation.
- The final versions of the reports (full and summary) were to be published in Spring 2004. The primary audiences for these final reports were seen to be:
  - the stakeholders involved in the NWD;
  - policy-makers and influencers interested in dialogue processes (especially on waste management);
  - policy-makers and influencers interested in sustainable waste management;
  - networks of practitioners in participatory working (including facilitators), and
  - TEC themselves.



# 3. THE NATIONAL WASTE DIALOGUE PROCESS

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## 3.1 Introduction

The NWD was initiated by TEC in September 1999, as part of their “proactive commitment to sustainability in waste management”. The initiative was funded by the RMC Environment Fund (established under the Landfill Tax Regulations and administered by TEC).

The rationale for the NWD, as described in the formal report of the first phase, was as follows: “As the growing volume of waste impacts on the environment, public health and economic growth, now is the time to answer [two] questions.”. Those two questions were:

- What are the key issues affecting progress towards sustainable waste management?
- What can we do to address barriers to progress?

The rationale further stated that “until 1999 there was no uniting initiatives to bring all parties together to talk, discuss and resolve these issues”.

Full details of the NWD are outlined below (section 3.2). In summary, the process was as follows:

- **PHASE 1. BUILDING EFFECTIVE SOLUTIONS FOR SUSTAINABLE WASTE MANAGEMENT (1999-2001)**

The aim of this phase was to examine the key issues affecting progress towards sustainable waste management, and what could be done to address the barriers.

Three national stakeholder workshops were held and three working groups focused on cultural change, markets development, and infrastructure and planning. At the final stakeholder workshop in this phase (February 2001), it was agreed that a second phase should be initiated, to focus particularly on infrastructure and planning issues. The work on cultural change continued during the second phase of the NWD (from 2001 to 2002), led by the working group, with the research report they commissioned being published in 2003.

- **PHASE 2. ENABLING THE PLANNING AND DECISION-MAKING SYSTEM TO DELIVER SUSTAINABLE WASTE MANAGEMENT (2001-2002)**

The aim of this phase was to address the following problem: “As society looks for more sustainable ways of dealing with its waste, planning for new waste facilities is proving to be a key sticking point. Problems at the planning and decision-making stage are often barriers to meeting targets set out in the UK’s national, regional and local waste strategies”. Three objectives were identified for this phase:

- To tackle the complex and contentious issues surrounding the planning and decision-making process for new waste facilities;

- To make recommendations on how these issues can be addressed;
- To build relationships and understanding among stakeholders engaged in and affected by waste related decision-making.

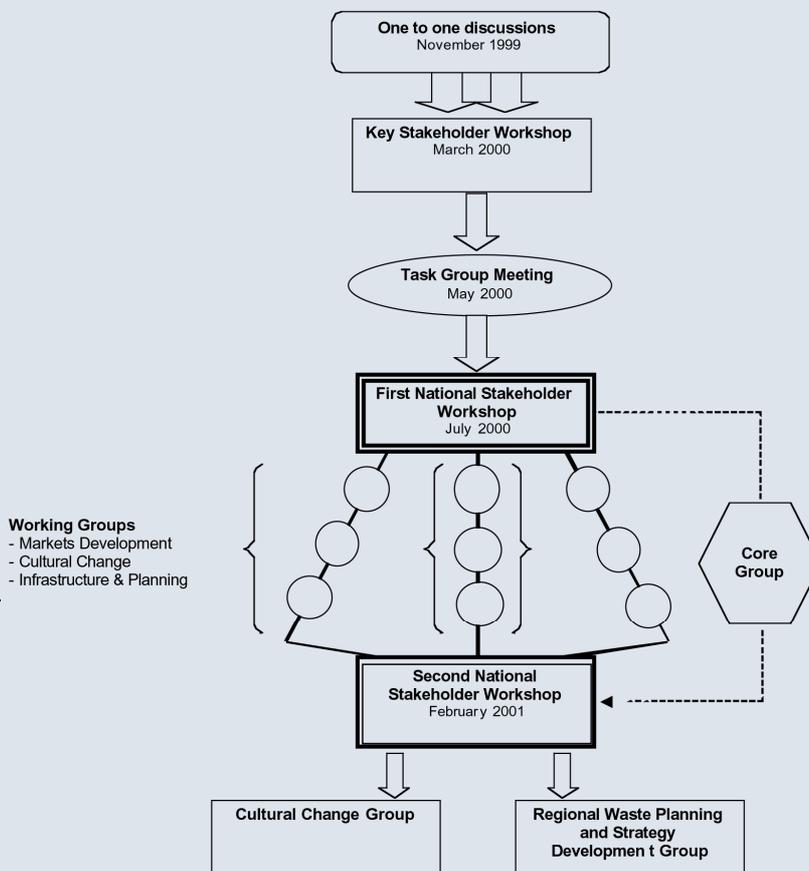
Three main stakeholder group workshops were held and three working groups focused on waste strategies, public engagement and data and information.

More details of the NWD processes are given below, together with a description of the context within which the NWD was operating. A full list of participants for both phases is given in Annex 6.

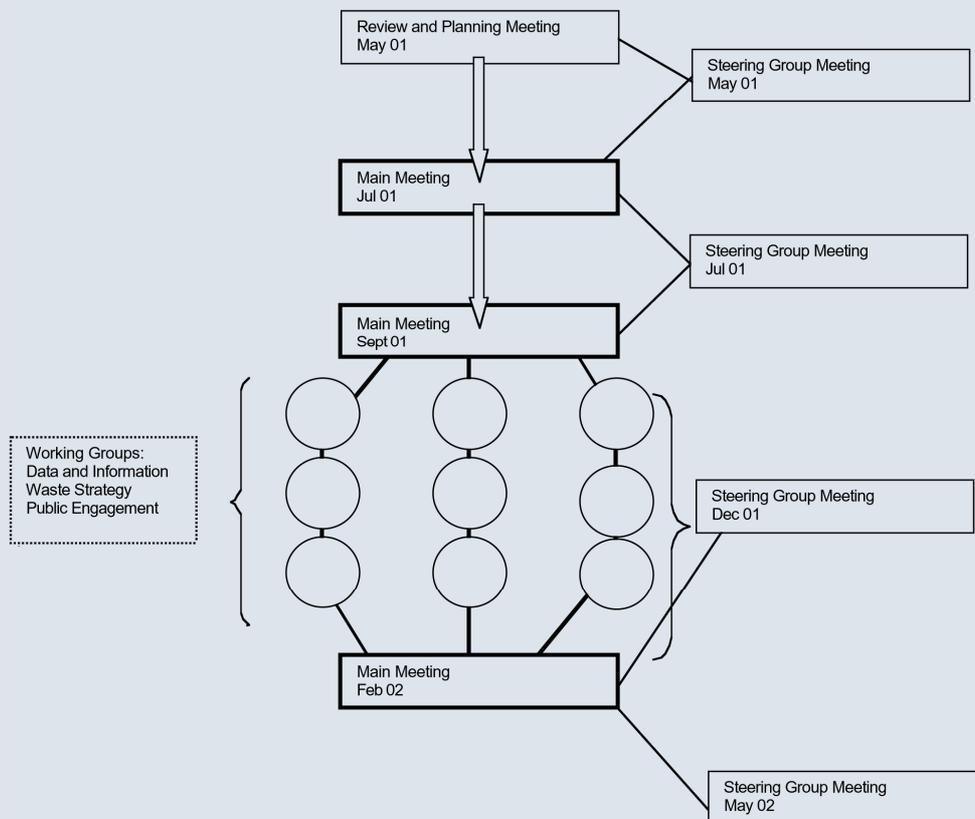
## 3.2 The processes of the NWD

The NWD was a complex process involving a range of methods including major stakeholder workshops, steering group meetings, one-to-one discussions, working group meetings, commissioning research from external contractors and planning and review sessions. The main events and outputs are outlined below, following process maps for each phase. Follow-up work to the NWD is described in section 4.7.2.

### Phase 1. *Building Effective Solutions for Sustainable Waste Management (1999-2001)*



**Phase 2: Enabling the Planning and Decision-making System to Deliver Sustainable Waste Management (2001-2002)**



## 3.2.1 Phase 1. *Building Effective Solutions for Sustainable Waste Management (1999-2001)*

Phase 1 was designed to examine the key issues affecting progress towards sustainable waste management, and what could be done about barriers to progress. The products from this first stage were:

- Initial **one to one discussions** with people in the waste industry and waste-producing sectors (November 1999). These preliminary meetings identified a number of potential issues to be addressed, and stakeholders to include in the dialogue process.
- Three **national stakeholder events** were held, attracting stakeholders representing waste producers, waste managers, local and central government, regulators and NGOs:
  - The first national stakeholder meeting (March 2000) had 14 participants (plus facilitators and the TEC team), and the discussion focused on identifying the key issues for waste management, possible topics for dialogue, identifying stakeholders to invite to participate in the dialogue, key points to consider in taking the next steps, and the identification of a Task Group to work more detail onto the proposed dialogue. The key topics identified were:
    - markets development;
    - financing the delivery of sustainable waste management in all sectors, and
    - the need for accurate, impartial and accessible data and information (that is transparent and comparable).

At the meeting, five people volunteered to join a **Task Group**, which met in May 2000.

The meeting agreed it was essential that senior government representatives be involved in the dialogue process, and that there be sufficient focus throughout the process (e.g. possibly not covering all waste streams) in order to get real outputs. The dangers of duplication were also noted at this event, with the London Waste Action Dialogue and work by other environmental bodies mentioned.

- The second main stakeholder meeting (July 2000) attracted 49 participants. The discussion focused on gaining commitment to the dialogue process, refining the topics on which to focus, developing a strategy to tackle these topics, and launching the process. The participants produced a long list of topics in terms of both overall importance, and that would benefit from dialogue. The six criteria provided to participants to make this assessment were:
  - the need for collaborative work;
  - the need for cross-sector working / input;
  - no-one else is doing it;
  - the urgency / importance of the issue;
  - the need for cross-sector implementation, and
  - the ability to get real nuts and bolts outcomes.

This debate resulted in identifying the following three issues as being of top priority in terms of overall importance and as benefiting from dialogue:

- markets development;
- cultural change (among producers, marketers, designers and of public perception, awareness and involvement);
- infrastructure and planning (local issues and public participation, and joined up government).

The discussion then focused, within three groups each tackling one of these issues, on what the working groups should do, who needed to be involved and any basic briefing that would be useful.

Volunteers for each working group were called for, and 10 people volunteered for the markets development group, 9 for the cultural change group and 4 for the planning and infrastructure group.

8 people volunteered to join the **Core Group**, which was intended to help steer the dialogue process and give input on process design. It met four times between the second and third national stakeholder workshops.

- The third meeting of the main stakeholder group (February 2001) attracted 67 participants. The discussion focused around reports from the three working groups (see below), to decide the way forward, particularly whether to focus a future dialogue on a contentious issue and if so, what that should be, to consider funding sources for further dialogue and to agree immediate next steps.
- The **Markets Development working group** had met 4 times. They had decided to commission a literature review to highlight the areas needing further attention. The literature review had been commissioned from SWAP (Save Waste and Prosper), and completed, and the final study had been passed to WRAP (the Government's Waste Resources and Action Programme) during WRAP's early development phase.

The group also made recommendations for additional policy and practice changes to support market development:

- Further study of the literature review and active dissemination.
- An ongoing commitment to public awareness:
  - use of the recycling symbol is currently confusing - it should be defined and protected
  - need to promote understanding of secondary raw materials:
    - recyclate can be a direct replacement for virgin raw materials
    - goods made from recyclate are as good as those made from virgin materials.
- The government should help trade associations to develop standards for secondary raw materials.
- While landfill costs remain low other mechanisms should deliver support directly to the collection and recycling sectors.
- 'Near to market' support should help cover risks associated with developing new markets.

- Closer partnerships are needed between:
  - local/regional authorities and commercial recyclers to achieve economies of scale and interlocking strategies for investment
  - the recycling, product specification and design industries to reduce the environmental impact of products
- Support measures funded by the public must be evaluated by a proper cost benefit analysis that includes the product displacement impact.
- The concept of BPEO should be used to prioritise support mechanisms for collection, new end-uses and markets.
- The **Cultural Change working group** had met once by the time of the final main stakeholder workshop in Phase 1. The group had set out to:
  - Identify the types of cultural change needed and develop a project to help meet that need
  - Review existing cultural change work in the waste field and other sectors.

The working group presented two proposals to the main stakeholder group:

- A Waste Information and Best Practice 'Toolkit' to help people run more effective waste awareness and education campaigns, to be based on an assessment of previous awareness-raising campaigns and evaluation of key criteria for success. The kit was to be aimed at central and local government, NGOs, local community groups and communications professionals.

The Toolkit was expected to go ahead in two phases:

- Phase A: assess demand, conduct research, assess requirements for the Toolkit format
- Phase B: design, produce and deliver the Toolkit.
- A Design Award competition to award commercial innovation in the use of secondary resources and resource use efficiency that touches people in their everyday lives. The award was seen as potentially leading to some kite mark criteria for products short-listed for selection.

The Cultural Change group then met a further four times after the final main stakeholder meeting of this phase, including at a Toolkit Advisory Group meeting. The working group took forward the work on the Toolkit by commissioning research to assess the effectiveness of public education, awareness raising and action campaigns. Funds for the research were obtained from the RMC Environment Fund and AEA Technology was commissioned to undertake the research.

The research was carried out between July 2001 and February 2002, with a research report published in June 2003. The research concluded that further work was needed to prepare the supporting infrastructure and raise awareness before a Toolkit on cultural change was produced.

- The **Infrastructure and Planning working group** had met three times, focusing on:
  - How to involve stakeholders in the development of waste management plans;

- Clearer guidance on completion of planning applications and the implementation of the planning process;
- Identifying problems caused by the split of responsibilities between local and regional authorities.

The group's recommendations were based on the requirements needed to make the planning system deliver sustainable waste management, which were seen to be:

- Better external coordination:
  - Horizontal: waste disposal, collection and planning authorities, the Environment Agency, waste management companies.
  - Vertical: international (EU), national (DETR, DTI, MAFF, Welsh Assembly and the Environment Agency), regional (Regional Technical Advisory Boards, regional planning guidance, London Mayor), and local (waste disposal, collection and planning authorities, waste management companies).
- Better internal coordination and better coordination of policy sectors.
- Better stakeholder involvement at an early stage:
  - a code of practice for planning applications
  - better informed stakeholders.
- Sense of social responsibility for waste is needed.
- Integrated approach and better data.
- Local authorities should lead development of strategic frameworks, contacts and criteria.

Following the presentations by the working groups, this third main stakeholder group meeting considered how work should be taken forward. The **Core Group** had identified a list of issues and the meeting- working in sectoral groups e.g. local and central government, NGOs, etc- prioritised the issues they considered the most important, would attract people to a dialogue, could be productive and had an appropriate level of contention.

The two issues which emerged as the highest priority overall were:

- Planning and decision-making for major waste facilities, and
- Financial incentives and penalties.

It was agreed to focus future work on 'the planning and decision-making process for new waste facilities' through a new group initially called the Regional Waste Planning and Strategy Development Group, to be made up of stakeholders from across the planning sector (10 participants from this meeting volunteered to be involved). It was expected that this new phase would focus on three areas:

- Grabbing the attention of local political decision-makers and putting waste higher up the local political agenda;
- Enabling the planning system to deliver;
- Involving and educating the community in waste decision-making: getting voters' perceptions in line with what needs to be done.

Local and central government were seen as the target audience for this group in the second phase.

- **Reports.** TEC produced full reports on each workshop, including full lists of participants. TEC also published a summary report on the first phase overall in 2001, by which time funding had been obtained from the RMC Environment Fund for the second phase of work. That report stressed one learning point: that “as senior government officials were not involved in the dialogue process, participants had concerns about who would take the recommendations forward”. It was decided that the next phase would not go ahead without an appropriate official being involved in the dialogue.

### 3.2.2 Phase 2. *Enabling the Planning and Decision-making System to Deliver Sustainable Waste Management (2001-2002)*

The aims of this second phase were as outlined above (section 3.1). The products from this stage were:

- Three **main stakeholder workshops** (July 2001, September 2001 and February 2002), following an initial review and planning meeting in May 2001. These events attracted 69 stakeholders overall representing waste producers, waste managers, local and central government, regulators and NGOs. Photo reports only were produced from each meeting, with a short overall report after the final meeting.

Three working groups were established following the second main stakeholder workshop in September 2001, covering waste strategies, public engagement, and data and information (more details below). These all reported back to the third and final main stakeholder workshop in February 2002.

- A **Steering Group** met four times throughout Phase 2, following the initial review and planning meeting. The group held a final meeting in May 2002, after the final main stakeholder workshop in February 2002.
- The **Cultural Change working group** continued to meet during this period, as outlined under Phase 1 (see 3.2.1).
- The **Waste Strategy** working group was set up to produce a set of recommendations on how local, regional and national waste strategies could be improved so they could deliver sustainable waste management. The group met once (October 2001) and then this issue was taken forward in the main group workshop in February 2002. The discussion focused around how the content and scope of existing strategies could be strengthened and clarified, how implementation could be improved, and identified gaps in current waste policy.

The Waste Strategy group made recommendations under three headings:

- **Leadership**, with a focus on managing uncertainty. The two key elements here were seen to be:
  - Energy from waste: the Government should provide certainty on the role of energy from waste in the waste strategy to facilitate investment.

- An independent authority: to provide impartial information to stakeholders through an independent policy mechanism, including on public health issues and benchmarking between different waste technologies. This was seen as a larger role than that currently taken by the Environment Agency and the Environment Audit Committee, both of which were seen as possible bodies for this role.
- **Funding and finance:**
  - Identify and ring-fence local authority waste spend, with a review mechanism to ensure local authorities are spending the allocated funding on waste activity or reporting through the Best Value mechanism.
  - Additional funding streams covering a baseline stream, additional funding for local authorities who adopt best practice and additional funding for local authorities exceeding statutory targets.
  - Fiscal mechanisms to penalise or incentivise local authority recycling.
  - Regional coordination to ensure that money for waste is used efficiently by local authorities.
  - Household charging, with local authorities given the power to charge households for waste collection and disposal, and give rebates for waste sorted at source.
  - Increase landfill tax by at least £10 per tonne from 2003/4. Revenue generated should be distributed to local authorities and relevant community and voluntary organisations for waste minimisation and recycling.
  - Disposal tax to cover an array of waste disposal options, including landfill and incineration, to replace the landfill tax in the long term. This would allow greater control over how waste is processed, keep waste moving up the waste hierarchy, motivate people to change their practices and create the right market conditions to ensure that incineration does not crowd out recycling.
- **Delivering infrastructure**, covering waste local plans and planning policy:
  - Better balance, with all waste local plans and regional waste guidance accurately reflecting the levels of arisings from all waste streams to ensure all types of waste are being planned for.
  - Site specific, with waste local plans specifying which sites will be developed and the proposed timescales for development, to ensure buy-in from stakeholders. Waste local plans should only be criteria-based as a last resort. Planning Policy Guidance Note 10 (PPG 10) should be amended to reflect this.
  - Communication and demonstration, by the end of 2003, of the means by which they will comply with the Landfill Directive (e.g. recycling and incineration or enhanced recycling).
  - Temporary recycling facilities including in green belt areas to allow temporary recycling activities to take place on active mineral working sites and landfill sites for the lifetime of those sites.
  - Clarifying how Best Practicable Environmental Option (BPEO) guidance should be applied to land use planning decisions, with Government providing clear guidance (e.g. how is BPEO applied in considering one site against another in terms of their respective impacts on local air quality and visual impact).
  - Demonstrations of comprehensive community involvement and Best Available Technology should be material considerations in waste planning decisions.

- A **Public Engagement working group** was set up to produce a set of recommendations on how to engage a cross-section of society on waste infrastructure planning discussions, and met three times (October 2001, November 2001 and January 2002). The group examined the context for public engagement in waste planning and policy making, and concluded that it was needed in both immediate site specific issues and in long term strategic planning. The group's final recommendations were as follows:
  - **Developing an engagement strategy**, recommending action on four areas:
    - Start engaging immediately as considerable short term information will be required within the next five years because well-managed and ongoing engagement with local people over waste issues has not been happening and decisions have already been made. Also, local authorities and developers should start engaging with stakeholders very early in decision making processes.
    - Manage expectations. All parties must be clear about what kind of engagement is being proposed and which outcomes are still open to influence. Openness and honesty are prerequisites to developing trust.
    - Improve communication through a proactive communication plan from decision-makers and planning applicants, informing all possible interested parties about the process, the options available for participation and the outcomes that are still open to influence.
    - Improve understanding. The success of public engagement processes will rely in part on the public knowing more about waste issues. In particular, there should be better understanding of the link between rubbish generated by households and the need for facilities to manage this waste.
  - **Towards best practice**, requiring short and long term action:
    - Training in public engagement through awareness-raising courses in the waste management industry and waste-planning sector. Bodies such as the Institute of Waste Management (IWM), Environmental Services Association (ESA), Local Government Association (LGA), the Improvement and Development Agency for local government (IDeA) are likely to be key to this, alongside WRAP activities (the Government's Waste Resources Action Programme).
    - Database of successful engagement, built by the Office of the Deputy Prime Minister (ODPM) to include details of the project, the type of engagement used and the outcome. The database should focus on waste management but would have links to other relevant experience.
    - Best Practice Guidance for all types of public engagement based on a review of academic work on public participation, a review of existing case studies and a pilot study (see below). The Environment Council should bring together a group of stakeholders to carry out the work, ensuring that ODPM is included. The Guidance should be incorporated into national waste and waste planning policy and should feed into the Best Value regime.
    - Pilot study on public engagement in a local authority waste local plan or municipal waste strategy, to include a full range of engagement tools as identified in the academic and case study review (see above). The focus of the pilot would be on the engagement process, ensuring that every stage was written up and evaluated, including peer reviews from a wide range of stakeholders.

- **Policy reform** in two areas:
  - Consent procedures should run concurrently, ensuring that Integrated Pollution Prevention and Control (IPPC) and planning applications are considered at the same time. This would allow representatives from both processes to respond to local people at the same time and in a coordinated way. This approach has already been used successfully in Hampshire.
  - Reform of the planning system. Public consultation needs to be a material consideration for planning applications but this requires:
    - standard definitions of public engagement and consultation
    - guidance, for different levels of government, on how to engage and consult

These issues raised the key question for the group: Under the current definition of major projects, how are strategic waste facilities going to achieve consent?

- The **Data and Information working group** was set up to look at what mechanisms could be put in place to ensure that data and information used in waste planning decisions is of a high standard, accessible and acceptable to all stakeholders. The group met three times (October 2001, November 2001 and January 2002).

The group identified four criteria for producing better data (independence, quality, accessibility and presentation), and generated a framework of good practice guidance for those commissioning, producing or disseminating data and information on waste. This framework covered all stages of the project cycle (project planning, tendering, project activity and tasks, and reporting and communication) and provided good practice pointers on the issues to address and ways of addressing them to meet the four key criteria outlined above. Further recommendations were the need for:

- Clarity. The starting point for production of data should be identifying explicitly the need, aims and objectives of the project and the target audience for, and uses of, project outcomes.
- Support for research with support from local authorities, central government, statutory agencies, the waste industry and NGOs on data gathering projects such as WasteNet, IWM Dataflow project and Capital Waste Facts.
- Gazetteer of information to map existing data and provide relevant information about the origins of the data. This project should be progressed with support from the Landfill Tax Credit Scheme in consultation with potential users.
- The **final main stakeholder workshop**, in February 2002, heard all the recommendations from the working groups and identified three goals for the future, which summarised the recommendations from the individual working groups.
  - Legitimacy in waste planning and policy making can be achieved through public engagement in decision-making. All tiers of government and the waste industry must start involving stakeholders in waste planning decisions on both site-specific and strategic decisions.
  - The government must work in partnership with the waste industry, professional institutions, NGOs and community groups to raise waste up the political agenda.
  - Stakeholders producing data and information for use in waste planning must address the issues of independence, presentation, accessibility and quality.

All the recommendations from the three working groups and the main group were published in the report of the second phase in June 2002.

### 3.3 The wider context

The NWD took place at a time of feverish activity on waste management (1999-2002). There were numerous UK Government and other policy and legislative initiatives, notably the Government *Waste Strategy for England and Wales* in 2000. In 2001, the Waste Summit was organised by the Secretary of State for the Environment, the Cabinet Office report on *Resource Productivity. Making More with Less* was published, and WRAP (the Government's Waste and Resources Action Programme) began operations. The Cabinet Office *Waste Not, Want Not* report was published in 2002, reviewing the problem of waste in the UK, and the Government response to that report emerged in 2003.

The landfill tax credit scheme, the aggregates levy fund, funding for local authority recycling and beacon councils for waste were all introduced during the time of the NWD. Regional Technical Advisory Boards for waste management were set up to feed into regional waste strategies and practice. In the private sector, there was enormous change as local authorities and companies let major waste contracts, competition grew and the sector changed as a result of new companies entering the market, corporate buy-outs etc.

A further major contextual theme relevant to the NWD was the growing tide of European environmental legislation on the treatment and (especially producer) responsibility for specific waste streams (e.g. Waste Electrical and Electronic Equipment and End of Life Vehicles) and on reducing the wastes that can go into landfill. The emerging concepts of zero waste were being considered alongside predictions from the OECD and EU of a 43% increase in domestic waste by 2010 because of population increase, the growth in single households and current lifestyles, prompting a focus on specific areas where waste could be reduced (e.g. food).

The NWD was only one of many initiatives at the time to engage stakeholders in discussions about waste management policy and practice. The feedback from participants on the relevance of this contextual background, and the implications for the effectiveness of the NWD process, are outlined in section 4.2 below.

More generally, the field of waste management continued to be characterised by divisions in statutory responsibility for waste management (between local authorities and other agencies, and at different spatial levels from local through regional to national and international), involving a wide range of interests from all sectors and at all levels (e.g. industry, the public, community groups, politicians, waste contractors, local and central government, national environmental organisations etc). The need for implementation of increasing policy and legislative initiatives continued to grow (see box below).

Since the NWD finished its formal meetings in February 2002, the complexity of the overall context remained, and there were numerous further developments, including a significant broadening of the debate to consider wider patterns of consumption and production, and the use of natural resources (e.g. the impact of the Cabinet Office report on Resource Productivity in 2001 and the Defra/DTI framework for sustainable consumption and production in 2003).

## MAJOR ENVIRONMENTAL LEGISLATION AND POLICY IN THE UK RELEVANT TO WASTE MANAGEMENT (AT DECEMBER 2003)

The following summary is not comprehensive. It is offered as an illustration of the scale of policy and legislative developments, with specific relevance to waste management, in the period before, during and following the NWD.

<b>1989</b>	Sustaining Our Common Future, initial policy aims and measures for the UK directed towards achieving sustainable development	<b>2001</b>	The Government's Waste and Resources Action Programme (WRAP) started operations, with an initial budget of £40 million over three years, to pump-prime new markets in order to support the expansion of recycling
<b>1990</b>	Environment Protection Act	<b>2001</b>	Resource Productivity. Making More with Less. Cabinet Office Performance and Innovation Unit (November)
<b>1990</b>	This Common Inheritance, White Paper on Environment	<b>2001</b>	Waste Summit organised by Secretary of State Margaret Beckett towards delivery of Waste Strategy (November)
<b>1993</b>	EC Council Regulation 259/93/EEC on the supervision and control of shipments of waste within, into and out of the European Community; established a system of supervision and control of all movements of waste	<b>2002</b>	Waste Not Want Not. A strategy for tackling the waste problem in England. The Cabinet Office Strategy Unit's review of UK waste policy
<b>1994</b>	The UK Strategy for sustainable development	<b>2002</b>	The Incineration Directive effective on new plants
<b>1995</b>	Making Waste Work waste management strategy for England and Wales (DOE and Welsh Office)	<b>2002</b>	Environment 2010. Our Future, Our Choice: The Sixth Environmental Action Programme of the EC. Decision No 1 (600/2002/EEC)
<b>1996</b>	The Waste Framework Directive introduced through waste management licensing regulations	<b>2002</b>	Landfill (England and Wales) Regulations incorporating the EU Landfill Directive (except Articles 5.1 and 5.2)
<b>1996</b>	Landfill tax introduced	<b>2002</b>	Regulation (EC) No. 2150/2002 of the European Parliament and of the Council of 25 November 2002 on waste statistics (Official Journal L 332 of 9.12.2002)
<b>1997</b>	Packaging Waste regulations	<b>2003</b>	Government Response to Waste Not, Want Not (Defra, May 2003)
<b>1998</b>	Less Waste, More Value. Government waste strategy consultation paper to enforce waste hierarchy, promoting waste minimisation and expanding green taxation (DETR)	<b>2003</b>	The Municipal Waste Recycling Act (sponsored by Joan Ruddock MP)
<b>1998</b>	Sustainable Business. Government consultation paper on sustainable development and business in the UK (DETR)	<b>2003</b>	The Environment Council launches the National Waste and Resources Forum
<b>1998</b>	Sustainable Construction (DETR)	<b>2003</b>	Towards a Thematic Strategy on the Prevention and Recycling of Waste (European Commission, May 2003, 301)
<b>1998</b>	Competitiveness of recycling industries communication from the EC	<b>2003</b>	Rethinking Rubbish in London, the Mayor's Municipal Waste Management Strategy (23 September)
<b>1998</b>	Waste Minimisation Act	<b>2003</b>	Changing Patterns. UK Government Framework for sustainable consumption and production, produced by Defra and DTI (2003)
<b>1999</b>	A Way with Waste: draft waste strategy for England and Wales (DETR). Superseded Less Waste, More Value and leaned heavily towards incineration as the central plank of waste recovery policy over the next 20 years	<b>2003</b>	Ban on whole tyres going to landfill (1993/31/EC)
<b>1999</b>	New and Renewable Energy Prospects for the 21st Century, Department of Trade and Industry	<b>2003</b>	The Waste and Emissions Trading Act. Requires that limits be set on the amount of biodegradable municipal waste that local authorities may send to landfill. Enables each country in the UK to set up a landfill allowance scheme for local authorities and aims to implement Articles 5.1 and 5.2 of the EU Landfill Directive which contain the targets to reduce the amount of biodegradable waste landfilled
<b>1999</b>	Review of the National Air Quality Strategy: Proposals to amend the Strategy		
<b>1999</b>	Chemicals in the Environment: A Strategy for the UK		
<b>1999</b>	A Better Quality of Life, the UK Government's updated Sustainable Development Strategy		
<b>1999</b>	Planning Policy Guidance Note 10 (PPG 10) on planning for waste revised and published (September)		
<b>1999</b>	EU Council Directive 99/31/EC on the landfill of waste agreed		
<b>2000</b>	Waste Strategy for England and Wales (National Waste Strategy), Defra		
<b>2001</b>	Implementation of the EU Landfill Directive		
<b>2001</b>	National Waste Awareness Initiative launched		

## EXPECTED POLICY AND LEGISLATIVE DEVELOPMENTS RELEVANT TO WASTE:

<b>2004</b>	Review of Landfill Tax
<b>2004</b>	Sustainable Consumption and Production Strategy to be published (Defra)
<b>2004</b>	Implementation of the EU End of Life Vehicle (ELV) Directive
<b>2004</b>	Implementation of the EU WEEE Directive
<b>2004</b>	EU Thematic Strategy on the Prevention and Recycling of Waste
<b>2004</b>	EU Thematic Strategy on Natural Resources
<b>2004</b>	EU Thematic Strategy on IPP
<b>2005</b>	Producer responsibility for Waste Electrical and Electronic Equipment (WEEE) (August 2005; EC WEEE Directive 2002/96/EC)
<b>2006</b>	Recycle 85% of all End of Life Vehicles (January 2006; EC ELV Directive 2000/96/EC)
<b>2006</b>	Ban on shredded tyres going to landfill (July 2006; 1993/31/EC)
<b>2006</b>	Recovery targets of 80%, 75% or 70% of WEEE, depending on category (EC WEEE Directive 2002/96/EC)
<b>2006</b>	Collection target of 4kg of WEEE on average per head of population (EC WEEE Directive 2002/96/EC)
<b>2007</b>	Ability to return vehicles free of charge into the system (January 2007; EC ELV Directive 2000/96/EC)
<b>2008</b>	Revised collection and recovery targets for WEEE (EC WEEE Directive 2002/96/EC)2008
<b>2008</b>	60% minimum recovery of all materials (94/62/EC)
<b>2008</b>	Recycling rates of 55-80% for all materials (94/62/EC)
<b>2010</b>	Reduce biodegradable municipal waste landfilled to 75% of 1995 levels (1991/31/EC)
<b>2015</b>	Reduce biodegradable municipal waste landfilled to 50% of 1995 levels (1991/31/EC)
<b>2020</b>	Reduce biodegradable municipal waste landfilled to 35% of 1995 levels (1991/31/EC)

PRODUCED WITH SPECIAL THANKS TO GEETA KULSHRESTHA,  
WITH ADDITIONS BY RICHARD WILSON AND BOB LISNEY.

The contextual changes outlined above point to a significant shift in the way waste management is considered i.e. within a larger context of resource use alongside increasing environmental protection legislation. Waste will still be produced, but the ways in which the problem is understood may change, affecting the nature of the processing facilities required. The changing planning framework, with a growing focus on regional waste strategies based on the national policy agenda, with statutory status in land use planning terms, will also be key to the development of future infrastructure. At local level, community strategies now require formal statements of community involvement, a clear indication of the growing importance of public participation across planning activities at local (and regional) levels. The role of Local Strategic Partnerships in agreeing community strategies will, similarly, focus attention on local partnership working.

The context for work on waste management issues affects the way in which this evaluation may be understood and it has therefore been designed to tackle the process issues and the waste management issues independently to some extent (although there is significant overlap throughout). The findings should therefore be relevant even within a greatly changed context for waste management, not least because the wider context is likely to retain some of the characteristics of speed and scale of change that existed during the NWD.

The evaluation process did ask respondents to suggest those issues they felt would be a priority for future stakeholder dialogues on sustainable waste management, and these are summarised in section 4.2 below.



# 4. FINDINGS OF THE EVALUATION RESEARCH

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## 4.1 Introduction

The evaluation team, in consultation with the Advisory Group, identified six key questions to be addressed in the evaluation. These were:

- What the wider context was for the NWD, and whether that was fully taken into account in the design and outputs of the Dialogue.
- Whether the waste management issues identified and addressed by the NWD were appropriate at the time, and what the issues may be now.
- The quality and effectiveness of the dialogue process itself.
- Whether the right stakeholders were involved; and whether the participants were appropriate to the objectives of the process, representative etc.
- The role of TEC in convening the dialogue.
- The outputs and outcomes of the NWD.

The findings of the research are outlined below, under these six themes.

## 4.2 Wider context

Strategic waste management issues were being discussed in numerous forums and consultations at the time of the NWD, especially within national and local government, and many new policies and initiatives were being launched and discussed (as outlined in section 3.3).

Throughout the NWD process (1999 to 2002), many of the participants were involved in other consultations, forums, workshops and debates on waste management and resource use issues. 78% of respondents to the evaluation questionnaire were personally involved in other participatory workshops on waste management at the same time as the NWD. Interviewees for this evaluation suggested that there was “a great swirl of meeting activity, dialogue, consultation”, and that “there were forums left, right and centre and the [NWD] working groups were made up of the same people who met each other constantly in these other forums”. As one interviewee put it, this led to a sense of “dialogue overload” as stakeholders followed each other round from meeting to meeting.

There was a general sense among NWD participants that linkages between the NWD and these other initiatives were important: 82% of evaluation questionnaire respondents thought so. However, only 2% of respondents felt there actually were extensive links (32% felt the NWD linked a bit, and a further 32% felt it did not link very much). In spite

of the implicit ambition in Phase 1 of the NWD to be the “uniting initiative to bring all parties together to talk, discuss and resolve these issues” (TEC 2001), not one questionnaire respondent felt that the NWD was central to the wider context. 50% of respondents felt the NWD was simply marginal or one of many debates on the topic, although one commented that it was naïve to expect anything else.

One interviewee commented that there were 30-100 people who were involved in many of these initiatives, so they know each other well. Another suggested that the informal links to other processes ensured they were taken into account in the NWD, even though there were few explicit links. Others were more concerned about the lack of clarity about where the NWD fitted in to other processes at the time, and that the lack of links diluted the impact of the NWD overall.

Two specific issues were raised by respondents about the timing of the NWD in relation to other activities going on at the time:

- For some, the timing was wrong because strategic policy statements were already being issued by government (e.g. the Government Waste Strategy in 2000 and the Waste Summit in 2001), and the NWD was not able to feed into those at the right times. It was suggested that the NWD should perhaps have focused more on action in partnership rather than continue to debate broad policy issues.
- Some thought that the NWD process was too slow, too drawn out and took too much time when so much else was going on - it lacked any real dynamism or sense of urgency. As a result, it could not respond rapidly or effectively to the changing policy context.

## 4.3 Dealing with waste management issues

The waste management issues addressed in the NWD are described in detail in sections 3.2.1 and 3.2.2 above. In summary, Phase 1 examined the development of markets for secondary raw materials (e.g. recycle), cultural changes among all those involved in waste (e.g. the public, producers, designers), and infrastructure planning. Phase 2 continued to work on culture change and also examined waste strategies (including leadership, funding and finance, and delivery infrastructure), public engagement, and the need for accurate, impartial and accessible data and information.

Most people felt that the focus on **national** strategic waste management issues was appropriate (91%); only two respondents felt this was inappropriate. Every respondent felt that the focus on **strategic policy** was appropriate.

Respondents felt that the advantages of this focus were that the NWD could take a broad view, unclouded by specific geographical or political agendas, and could try to ‘clear the ground’ so that local debates were more fruitful. Other comments included that policy, direction and strategic priorities needed to be clarified, understood and decided before implementation could begin, that a holistic approach was needed to tackle the complex issues involved, and that by tackling these overarching issues the dialogue attracted the attention of eminent and influential people who were able to attend without conflicts of interest.

The disadvantages identified included that it is always difficult to translate strategy into practice, and that the range of issues was too broad and complex to make much headway. More specifically, it was suggested that the NWD actually was not strategic at all because it did not relate sufficiently to other developments at the time. As a result, the NWD was seen to have had too narrow a focus on the wrong subject (household waste) as the debate had moved on during the lifetime of the NWD.

Some respondents were concerned that the complex and controversial issues which were causing the real problems in waste management were not tackled. Feedback from the evaluation workshop clarified that the priority issues to be addressed in detail were decided by consensus among the participants, which resulted in the selection of less contentious issues. Contentious issues had been identified but were not prioritised, in spite of encouragement from the facilitator to do so. This decision was felt to have been made partly because participants wanted to focus on achievable outputs, and/or partly because they felt the specific contentious issues were not appropriate to a national dialogue (e.g. planning for waste facilities was identified as an issue, but was felt to be a local issue and was therefore excluded).

However, some evaluation respondents saw the failure to address the really controversial issues as a weakness in the NWD overall, so future stakeholder dialogue may need to find mechanisms to overcome this problem. Unless such mechanisms are found, it was suggested that there is a risk that stakeholder dialogue will begin to be seen as a smokescreen, constraining debate, and creating a policy vacuum rather than tackling the core problems.

As one interviewee said, complexity can drive people to focus on what they know manifestly, and existing knowledge is not necessarily where the solutions lie. Stakeholder dialogue may have a real contribution to make in enabling participants to go beyond what they already know, but it was suggested that the model used in the NWD did not allow that to happen. There was enormous knowledge and experience in the room at various events but, for some, the model of dialogue used (in which process was seen to dominate content) squandered these resources.

In terms of the future priority issues for stakeholder dialogue on waste issues, the response fell into the following seven categories:

- The broader agenda of **resource productivity**, especially management of natural resources and seeing waste as a resource/opportunity, alongside issues of changing patterns of consumption and production. The electronic consultation on the draft summary report identified similar issues of **waste reduction, reducing consumption and integrated resource management** as priority issues for the future.
- The impending implementation (starting in 2004) of **European Directives** relevant to waste management (e.g. on WEEE, ELVs, landfill, biodegradable wastes, hazardous chemicals, agricultural wastes, renewable fuel sources etc) would require attention.
- **Planning and infrastructure** issues would continue to be critical, covering strategic issues (at local, regional and national levels) as well as specific sites for waste facilities. Dialogues may be needed at local and regional levels and to cover issues such as health impacts of different options for processing/disposal (health is a material consideration in planning terms).

One approach suggested was to convene a focused top level cross-sectoral group to work out key principles in an open way, and then for these principles to be cascaded to all sectors for local dialogues which could take into account the local planning issues and circumstances. The top level group would involve senior people in a time-limited exercise, taking a clear leadership role in relation to their organisations and areas of responsibility. It would need to include Government (ODPM, Defra, DTI, Treasury), local government organisations (e.g. LGA) and others.

- The **economics** and financing of waste management needed further attention, including incentives, taxes, charges, etc, and also recognising that finance drives technological development.
- There could be greater benefits if stakeholders worked together to develop **visions** of where waste management needs to get to (in, say, 20 to 50 years), rather than focusing on current problems. Any such process would need to recognise the context

of an uncertain world (e.g. inconsistent planning processes, uncertainty about technology or financing) and the need to develop a shared view and responsibility for action across and within sectors (e.g. NGOs, government, industry), regions and technologies, and to develop pro-active initiatives (rather than responding to proposals which are already formed).

- Further work was needed with the **waste industry**, and other industry players, where there is growing interest in how to work with stakeholders both in terms of governance issues (e.g. stakeholder boards and reporting) and the development of specific sites and services.
- **Monitoring policy and practice development** could be a focus for future processes, to identify weaknesses, gaps and opportunities. Such an approach was seen to require good quality information and research to be fed into the process.

Whichever issues are identified, respondents stressed that any further stakeholder dialogues would need to identify a clear purpose and proposed outcomes from the start, and to involve those who would be making the final decisions or implementing change (often Government).

The electronic review process on the draft summary report specifically asked respondents about the appropriate level and leadership for future dialogue processes. There was a slight majority for further **national** dialogue, but also support for regional dialogues (with less support for local). There was also a majority in favour of central government (and its agencies) leading any future dialogues, local authorities if local, and academics and NGOs were also suggested as potentially taking a lead (the role of The Environment Council was dealt with separately, see section 4.6 below).

## 4.4 The quality and effectiveness of the dialogue process

A great deal of the feedback from the evaluation focused on the dialogue process itself. The findings are presented in this section as follows:

- 4.4.1 The model of facilitation
- 4.4.2 Design and delivery of the NWD
- 4.4.3 Subject knowledge
- 4.4.4 Lack of shared purpose
- 4.4.5 Lack of a 'problem holder'
- 4.4.6 Understanding stakeholder dialogue
- 4.4.7 Meeting principles of good practice for participatory working.

### 4.4.1 The model of facilitation

TEC has developed a model of stakeholder dialogue over the past decade, both through practice (of designing and running stakeholder dialogue processes for public, private and voluntary sector sponsors) and through the development of a highly successful facilitation training course. TEC's training manual for stakeholder dialogue outlines 12 principles for stakeholder dialogue. These principles are given below, each followed by a summary of the implications of the relevant findings from the NWD evaluation. More detail on all the issues raised here follows in the remainder of this section.

- **PRINCIPLE: STAKEHOLDER DIALOGUE IS AN INCLUSIVE PROCESS, INVOLVING ALL INTEREST GROUPS THAT HAVE A CONCERN ABOUT THE OUTCOME.** This includes the decision-makers, those directly affected by the decision and those who could support or obstruct its implementation. Dialogue will often include those who are usually excluded.

**NWD FINDINGS:** In the NWD, the dialogue was not fully inclusive, as the public were not invited to participate (see section 4.5 on stakeholders for details). Feedback to this evaluation suggests that this limitation to the dialogue was supported by all those involved. However, certain stakeholder groups seen to be key to the issue were absent (e.g. politicians, government, national green groups and industry).

- **PRINCIPLE: DIALOGUE MEETINGS ARE DESIGNED AND FACILITATED BY INDEPENDENT PROFESSIONAL FACILITATORS WHO HAVE NO VESTED INTEREST IN THE FINAL OUTCOME.** The facilitator will not take a position on the substantive issues. Their role is to ensure that the process is even handed and that meetings are as productive as possible – for example, avoiding domination by particular individuals or interest groups. The facilitator will also control the destructive behaviour that often undermines the value of typical ‘town hall’ meetings on difficult issues.

**NWD FINDINGS:** The facilitators were seen by respondents as independent and without a vested interest (see section 4.6 for more detail). However, the principle of not taking a position on the substantive issue (in this case, waste) has become widely interpreted in TEC’s model of facilitation as not needing any detailed knowledge of the subject under discussion. In the NWD, this caused significant problems (see section 4.4.3 for details).

- **PRINCIPLE: RESPONSIBILITY FOR THE AGENDA AND THE PROCESS IS SHARED AMONG ALL STAKEHOLDERS.** Many processes fail from the outset because the agenda does not meet the needs of participants. In a dialogue process, the facilitator will help the participants to develop an agenda and work programme that addresses the issues of real concern.

**NWD FINDINGS:** In the NWD, the agenda and process were agreed between the participants. However, there was still a lack of shared purpose among the participants, with a wide divergence of expectations and assumptions about the process (see 4.4.4 for details).

- **PRINCIPLE: DIALOGUE DELIVERS PRACTICAL SOLUTIONS TO REAL PROBLEMS** – and solutions that often stick, since the process maximises stakeholder buy-in. It is particularly appropriate for high-conflict or complex issues.

**NWD FINDINGS:** The identification and agreement of the priority issues for discussion in the NWD was undertaken by the participants and feedback to this evaluation concludes that the key issues were identified. However, there was also feedback that the most contentious issues were avoided, and this was seen as a missed opportunity by a number of respondents (see 4.3 for more details).

- **PRINCIPLE: PEOPLE ATTEND AS EQUALS.** Stakeholder dialogue aims to create a level playing field for participation.

**NWD FINDINGS:** The NWD process was designed and delivered to ensure that all participants were treated as equals. However, such an approach requires everyone to have a relatively equal understanding of what is being discussed. In the NWD, several respondents suggested that the result of this approach in this instance was that those who knew least set the level of debate. Together with the lack of subject knowledge among the facilitators, this resulted in the issues being identified for discussion, and then worked on, being over-simplified (one respondent called it ‘dumbing down’). Some of the more experienced stakeholders grew frustrated at this approach and dropped out.

- **PRINCIPLE: DIALOGUE IS A TWO-WAY PROCESS.** Traditional, pre-prepared presentations will be kept to an absolute minimum in the interest of allowing more time for two-way communication.

**NWD FINDINGS:** In accordance with this principle, the NWD process did not use presentations, to allow maximum time for discussion among participants. However, it was suggested (especially at the evaluation workshop) that some briefing materials or sessions may have helped the process (see section 4.4.2).

- **PRINCIPLE: THE PROCESS ALLOWS FOR INTERESTS, VALUES, FEELINGS, NEEDS AND FEARS.** Unlike some consultation processes, stakeholder dialogue values everything that is said without pre-judging what is 'real' or 'important' or 'rational'.

**NWD FINDINGS:** Respondents felt generally that all contributions were valued and noted. However, not all participants had equal knowledge which, as mentioned in the earlier point, led to a level of frustration among the more experienced and knowledgeable practitioners, and affected the quality of the final outcomes (see section 4.4.2 for details).

- **PRINCIPLE: THE PROCESS SEEKS TO ENCOURAGE NEW UNDERSTANDING AND IMPROVED RELATIONSHIPS.** These 'invisible products' are often crucial in enabling participants to move forward together or to implement the outcome of the process.

**NWD FINDINGS:** The new understandings and relationships developed and/or strengthened as a result of the NWD were seen by respondents as the most valuable outcome from the process (see section 4.7.5 for details).

- **PRINCIPLE: STAKEHOLDER DIALOGUE PROCESSES ARE RECORDED VISIBLY AND TRANSPARENTLY, WITH STAKEHOLDERS HAVING CONTROL OVER THE CONTENT AND ACCURACY OF THE RECORDING.** Facilitators normally record meetings on large sheets of paper, and produce a record in the form of photographs or an exact transcription of what has been publicly recorded.

**NWD FINDINGS:** This was the process used for Phase 2 of the NWD; Phase 1 produced more detailed reports. Some respondents suggested that photo-reports and simple transcription of flip charts are not adequate to support work done outside actual stakeholder meetings (e.g. back in participants' own organisations).

- **PRINCIPLE: DIALOGUE PROCESSES SEEK TO IDENTIFY AND BUILD ON COMMON GROUND.** Traditional processes, by contrast, tend to focus on (and therefore magnify) disagreement, to the extent that participants frequently do not realise that there are significant areas on which they may already agree.

**NWD FINDINGS:** Again, this was the approach used, but in the NWD problems arose in the avoidance of contentious issues, which a number of evaluation respondents saw as crucial to addressing the central problems of waste management (see section 4.3). However, by focusing on areas where there was common ground, and agreement could be reached, progress could be made on the topics identified (see section 4.7).

- **PRINCIPLE: THE PROCESS WILL SEEK TO MOVE THE FOCUS FROM THE PAST TO THE FUTURE.** This helps to avoid unproductive blaming and creates a shared responsibility for the way forward. (However, there will often be a need for an initial period in which past grievances, real or imagined, can be aired.)

**NWD FINDINGS:** In accordance with this principle, the NWD did not focus on the past. However, the focus did tend to be on the present, rather than the future, and some respondents would have preferred more focus on creating a vision and working towards it, rather than the actual focus of discussing existing problems.

- **PRINCIPLE: DIALOGUE PROCESSES ARE ITERATIVE IN THEIR APPROACH.** The same issues may need to be addressed more than once to allow for the development of shared solutions. Traditional methods, on the other hand, tend to rely on ‘snapshot’ consultations or set-piece events that do not encourage participants to move away from the initial negotiating positions.

**NWD FINDINGS:** The NWD did develop over a long period, with a series of meetings intended to meet this principle.

Overall, the NWD was essentially designed and delivered according to the stated TEC principles of stakeholder dialogue. However, as can be seen from the summary above, and the detailed findings which follow in the remainder of this section, these principles themselves created a number of problems.

## 4.4.2 Design and delivery of the NWD

The details of the process used for the NWD are given in section 3.2. The majority of questionnaire respondents felt that the design and delivery of the events enabled them to contribute fully (55%), and a majority felt they could influence agendas and that that was important. 64% felt that openness, transparency and accountability were all important, with transparency most important (to 46%), then openness (37%) and accountability (28%).

The feedback from interviewees was very similar, with the good points of the whole process being seen as its openness and transparency, and good organisation and facilitation, especially the process being non-confrontational, responding to participants’ priorities, opinions being listened to and recorded, and controlling ‘grandstanding’. One summed up this aspect as those responsible for the process having “performed well on the day ... all the techniques work and people enjoy the form”. People liked working in small groups, the focus on finding common ground rather than disagreement, and being involved in a continuing process rather than a one-off event.

Several participants saw the NWD more as a series of events than a coherent process which built into a substantial initiative, although this view was less prevalent among those who had participated in working groups, where there was considerably more focus and continuity. Particular problems identified included the lack of briefing papers before events, lack of consolidation work by the organisers between meetings (photo-reports were seen as inadequate for anything more than memory-jogging immediately after the event), lack of communication generally between meetings, and no final ‘closure’ meeting or information about what happened to the recommendations after the last main workshop (if anything).

There was seen to be a lack of communication generally between the working groups (which had a tendency to work quite independently and separately) and the main stakeholder workshop meetings, and between the different working groups. As a result, there was little cross-issue working and little overall bringing together of the key issues to develop a coherent overall message. The results identified by respondents included the difficulty of using the outcomes (during and after the process) back in stakeholders’ own organisations, which in turn made it difficult to justify continuing involvement (for the stakeholders themselves as well as to their managers, boards etc).

There was seen to be a disjunction between the apparently open process and the planning and decision-making within steering group meetings and in bilateral sessions between TEC and Defra. Some saw these separate planning sessions as a loss of transparency and as undermining the process because there was no longer equality of treatment of all stakeholders (as these other discussions privileged certain stakeholders), which translated into a loss of the sense of ownership of the process which had developed over the initial meetings.

The evaluation workshop identified the role of a steering group as a key area for more work in thinking about the future design of stakeholder processes, and produced an initial checklist of roles for a steering group (and see Annex 5, item 4c for details):

- Leadership and direction: to take responsibility for leading and progressing the dialogue (including identifying stakeholders, setting aims and terms of reference and agreeing the appropriate model of engagement), setting priorities, supporting the project management and clarifying this role and activities with the participants at each stage of the process.
- Acting as ambassadors: raising the profile of the process and making links to other relevant initiatives.
- Clarifying responsibility for outputs from the process, and ensuring delivery.
- Ensuring good communications across all layers of the dialogue process.
- Ensuring stakeholder commitment to the agreements and outputs of the process (including possibly through a formal 'sign up' process).
- Clarifying other roles and responsibilities (e.g. the role of the facilitator, 'problem holder', funder, project manager and stakeholders).

These problems can be summarised as a lack of clarity about the nature of the process and who ultimately owned it: all the stakeholders or one or two organisations taking a leadership role. The lack of clarity created a focus on detail rather than overall direction; it lost the "macro-overview" as one interviewee put it, and avoided broader and more contentious issues. More generally, it was a problem between the organic nature of stakeholder dialogue implied in the TEC model and the desire among some respondents to develop quite a tightly controlled agenda (not least to ensure the production of practical outputs).

Other problems identified were that the process was too slow and took too long. There was little sense of pace or urgency because the gaps between meetings were too great. Lack of consistent attendance meant that each meeting started with a recap which made sessions boring and repetitive for those most closely involved. Progress in meetings was slow and the time demands overall on participants was too great.

There was broad agreement that tackling waste management requires bringing all parties together to agree actions and recommendations (78% of questionnaire respondents agreed). However, while better communications were valued, there was a strong feeling that actually what was needed was knowledge and understanding of different interests' positions rather than expecting a joint decision. Indeed, more respondents (46%) felt that other approaches to these communications could have been more effective, compared to the 32% who felt there were not better approaches.

'Better' approaches suggested by respondents largely centred around the need for more focus: on genuine areas of conflicting views that needed to be resolved (e.g. changing the infrastructure, or local government contracting of waste services), rather than simply finding the broad areas of agreement. Other suggestions for different approaches included more focus on influencing government, on disseminating best practice, on dialogue within sectors leading into pan-sector dialogue, on more action from each NWD event, and on bilateral discussions with different parties each time to ensure the involvement of all key interests.

## 4.4.3 Subject knowledge

As identified in the TEC principles of stakeholder dialogue above (4.4.1), it is something of an article of faith that facilitators do not need to have any detailed knowledge of the subject covered by the event they are facilitating. Indeed, some consider that no subject knowledge is desirable, to ensure the facilitation is completely neutral and only the points made in the room are valid, and those are validated by the participants themselves. This is the 'content-free' model of facilitation.

In the NWD evaluation, several respondents drew attention to the problems of this approach. It was suggested that there had been insufficient prioritisation of issues during the design phase of the process because of lack of content expertise. A model in which an event is approached with a blank sheet of paper to see what emerges as the key issues was not seen as appropriate to busy people, who may expect some level of planning and focus for dialogue to be agreed in advance.

The type of subject knowledge required from facilitators and organisers of dialogue processes was not detailed technical knowledge (e.g. the details of incineration technology), but rather a good understanding of the policy context, current policy debates and priorities, major problems and new developments in the subject area generally.

The lack of subject knowledge also affected the way meetings were run. Facilitators were not able to make qualitative judgements between input which was central and that which was peripheral (or even what was accurate or not). Everything was recorded as though it was of equal value even though that was not necessarily the case: "regardless of relevance or utility" as one respondent said. In the end, as another interviewee put it, there was "a pile of plums rather than jam" - a lot of individual points but no coherent product.

## 4.4.4 Lack of shared purpose

The formal objectives of the two phases of the NWD have already been outlined, and were made clear to all participants, but the research findings show that there was still a lack of clarity among participants about what the dialogue was really trying to achieve, and what the dialogue approach meant:

- For some, it was all about policy change, with the key target for recommendations being government.
- For others, it was all about change among the participants themselves, in pursuing policy (i.e. action by stakeholders themselves). As one interviewee put it "a mutual exercise. Everyone has to change to make things work".

These two quite different understandings of the nature of the model of stakeholder dialogue used in the NWD led to great frustration for some. In theory, stakeholder dialogue can deliver both these outcomes; it was the lack of clarity in the NWD process that caused problems.

This problem was compounded by a less overt (but pervasive) assumption among stakeholders and organisers that the NWD would be a high level, influential process which aimed to tackle some difficult problems for waste management. The learning, networking, trust and relationship building elements were seen as important but as subsidiary to the main focus of tackling major problems for waste.

The dialogue model used (described by one respondent as 'liberal') was seen to favour inclusivity and equality of participation among a group of stakeholders with widely varying levels of knowledge and experience, but creating outputs which did not meet the implicit assumptions of many of the stakeholders. As one interviewee said "people were invited,

got on the train but had no idea of destination". While for some the journey was as important as arriving, for many of the senior and influential stakeholders, this simply made the process vague and frustrating. It was suggested that the problems became more apparent after the end of Phase 1, when the organisers were seen to be prolonging the process unnecessarily ("flogging a dead horse").

In addition, the responses to the questionnaire showed that stakeholders had a wide range of motivations and expectations (respondents could choose more than one):

- The highest motivations (60%) were:
  - to be in dialogue with others to crack joint problems
  - it was important that their organisation was represented
- Next highest (55%) were:
  - to share their experience and knowledge
  - to learn more about other people's views
- Next highest (50%) were:
  - to network/meet people in the field
  - to influence/change policy
- Next (32%) was to improve practice in the field
- Next (28%) was because it was part of their job
- Then came (23%)
  - to influence other participants
  - to learn more about the issues/good practice
- Finally, 10% were motivated by wanting to learn more about stakeholder dialogue. This data provides some information about motivations, although there is always a difference between hope (which is often encouraged by dialogue processes) and expectations (which are often tempered by experience).

In interviews, some respondents suggested that some participants simply wanted to influence government and tried to take over meetings (although this was well-controlled by facilitators), while others wanted to do the follow-on work which was agreed to be necessary, causing problems over commissioning that work while maintaining people's role as stakeholders in a continuing dialogue process and creating major disruption in some strands of the dialogue.

## 4.4.5 Lack of a 'problem holder'

The TEC model of stakeholder dialogue conventionally works with a 'problem holder' i.e. the person or organisation which identifies the problem, commissions the dialogue and commits to some action on the outputs. In the NWD there was no external problem holder, but the process design was not changed to reflect the major difference in approach: the same model and rules were applied in a situation which was quite different from the norm.

The lack of an external problem holder to provide leadership and direction, and content guidance, was seen by several respondents to have contributed significantly to the difficulties the NWD experienced. However, on reflection it can be seen that the problem was not lack of a problem holder per se, but rather lack of a problem holder in a process designed around having one. There are likely to be other ways in which the leadership and direction roles could be delivered effectively in a different model of stakeholder dialogue, including through an enhanced role for steering groups (as identified by the evaluation workshop).

## 4.4.6 Understanding stakeholder dialogue

It was noted by some respondents that there was a lack of understanding among participants about the nature and limits of stakeholder dialogue, and particularly about the roles stakeholders were expected to take in this type of process. Although the majority of questionnaire respondents (64%) had been involved in dialogue processes (often or a few times) before, and only 3 respondents had never been involved in dialogue processes before, there was still felt to be a lack of in-depth knowledge of the processes involved. This was seen to have affected the NWD in various ways, but the key issue was lack of clarity about roles for participants.

The specific difficulties for politicians as stakeholders in a dialogue process are noted below (see section 4.5), but there were also problems for civil servants. Some were described as not being clear about what they could or could not commit to and therefore had a lack of certainty about their role in the process (e.g. simply listening or actively participating in the dialogue). Other civil servants were seen as being very clear about their role, which enabled them to work in a creative way within the process, coming to joint agreements with other stakeholders and helping each other towards the most effective actions. When this happened, one respondent described it as “like connecting the phone” in improving communications.

There were also difficulties for other stakeholders. Some environmental bodies saw their role as lobbying and debating but were not expecting to change their own attitudes or priorities beyond learning about others’ views. Others saw the whole process as an exercise in coming to a new set of mutual understandings which could lead to action. Others again saw the limits of stakeholder dialogue, suggesting that it could potentially gain some important points of agreement but also recognising that some real barriers would never be overcome by dialogue and would need legislation.

Another interviewee took these issues further, questioning the value of consensus in these dialogues because of the likelihood that the results would satisfy few participants, especially if their own ideas were not included. More importantly, the interviewee pointed out that the lowest common denominator factor in a consensus building process can often result in agreements which are at least one step back from the ideal. It was suggested that there was potentially room for further clarity even about the nature and value of consensus.

It was felt that lack of understanding of the nature of the stakeholder dialogue process limits the extent to which the model of stakeholder dialogue could be developed simply through practice (such as the NWD), and thus the extent to which it could be used to develop and challenge the participants’ roles and relationships within and beyond the specific purpose of a particular process. The evaluation workshop proposed some initial practical ways forward for future stakeholder dialogue processes (see section 4.5.3).

## 4.4.7 Meeting principles of good practice for participatory working

The extent to which the NWD conformed to broader principles of good practice for participatory working, beyond TEC’s own principles for stakeholder dialogue, are considered in this section. There is now a wide range of principles of good practice in participatory working (e.g. Petts 2001; Wilcox 1994; Bishop 1994; Warburton 1997; DETR 1998; Wates 2000). Judith Petts (2001) suggests building on Weblar’s fairness and competency criteria, and combining these with principles of publicity and accountability, to produce ten evaluation questions for any participatory process. These questions are (directly quoted from Petts 2001) are designed to assess whether a participatory process:

- 1 Ensures that the participants are representative of the full range of people potentially affected and that barriers which may bias representation are minimised.
- 2 Allows participants to contribute to the agenda and agree and influence the procedures and moderation method.
- 3 Enables participants to engage in dialogue, and promote mutual understanding of values and concerns.
- 4 Ensures that dissent and differences are engaged and understood.
- 5 Ensures that 'experts' are challenged and that participants have access to the information and knowledge to enable them to do this critically.
- 6 Reduces misunderstandings and ensures that the authenticity of claims is discussed and examined.
- 7 Makes a difference to participants, e.g. allows for development of ideas, learning and new ways of looking at a problem.
- 8 Enables consensus about recommendations and/or preferred decisions to be achieved.
- 9 Makes a difference to decisions and provides outcomes which are of public benefit.
- 10 Ensures that the process is transparent and open to those not directly involved but potentially affected.

These questions are based on a model of participatory working which operates primarily at local level, and involves the general public as participants. They nevertheless offer a useful framework against which to test the NWD performance.

The first three of Petts' criteria have partly been covered in the consideration of the TEC model of stakeholder dialogue (see section 4.4.1). Certainly the preparations for the NWD included a stakeholder analysis, which enabled TEC to identify the key groups and sectors to be invited to participate. As the NWD progressed, the emerging list of stakeholders was checked with other stakeholders to ensure the process involved a representative mix. Where gaps were identified, efforts were made to fill them (with varying degrees of success- see section 4.5). On the issues of influencing the agenda, the procedures and enabling participants to engage in dialogue, the NWD did meet these criteria.

On Petts' fourth issue, engagement of dissent and difference, there are two relevant strands in the NWD experience. At one level, the participants identified contentious issues (those likely to involve dissent), and decided to focus instead on the areas where there was most likely to be common ground and on which progress could be made (in accordance with Petts' second principle of setting the agenda). The advantages and drawbacks of this approach are discussed in section 4.4.1. In principle, TEC's model of stakeholder dialogue is designed to manage dissent, to ensure productive discussions. At another level, there was clearly some 'difference' in the main stakeholder events in terms of the levels of knowledge and experience among participants, some of whom were new to waste policy issues and to stakeholder dialogue, and this was managed less well (and see next paragraph).

On the fifth point, the TEC model of stakeholder dialogue, and the NWD process in practice, does not involve presentations from 'experts', and all participants (regardless of expertise) are (theoretically at least) treated equally (see 4.4.1). On this level, therefore, this fifth principle is fully met. Again, the advantages and problems associated with this approach are described above (4.4.1 and 4.4.2). However, it is useful to consider again the variations in the level of knowledge among participants, and the extent to which the process would have benefited from the provision of additional briefing material, or sessions, which could have strengthened the process by ensuring at least a basic common level of understanding of the issues and the dialogue process itself. This was the view from the evaluation workshop, which concluded

that the provision of such briefing materials would have improved the NWD process overall. This would also answer Petts' sixth point about the need to reduce misunderstandings and 'claims checking' by potentially giving all participants more confidence in questioning assumptions made in discussion.

Petts' seventh criterion, making a difference to participants, was certainly met for many respondents (see section 4.7.5). Creating new (and strengthening existing) relationships and networks was seen by a good number of respondents as being the major outcome from the process, and the development of ideas, learning and new ways of looking at problems were all mentioned by respondents as outcomes they had experienced.

In addition, there was a good degree of consensus on recommendations from the NWD (Petts' eighth criterion), which were all explicitly agreed by the participants, and were aimed at public benefit. However, on Petts' ninth point and as can be seen below (4.7.4), the actual impacts on public policy and practice were much less apparent, although there was some impact on the priorities and actions of individual stakeholders as a result of the process, which was also of public benefit.

Finally, the NWD process was largely open and transparent, and reports were produced for those who were not directly involved but potentially affected (or simply interested). However, there were some problems around the transparency of the process (as outlined in section 4.4.1) in terms of communications between core, planning and working groups and the main stakeholder events.

Overall, the NWD did succeed in meeting many of the principles of good practice for participatory working identified above, although the practice was more complex than these principles suggest on the surface, as outlined throughout this report. The key lessons for future practice, in relation to stakeholder dialogue specifically, are outlined in the Conclusions (section 5).

## 4.5 Stakeholder involvement

The full list of stakeholders involved in each phase of the NWD is given in Annex 6. Overall, the feedback suggests that there was a fairly good mix of participants, and overall there was reasonable representation of stakeholders from the field of waste management (including recycling), including the NGO sector, academics, and professional bodies. Government (central and local) and industry (e.g. manufacturers) were present to a lesser degree.

55% of respondents thought the right stakeholders were involved, although 37% did not agree. The stakeholders who were valued as being appropriate and present were government and other key decision makers and opinion formers, the waste industry and local government. It was seen as very positive that a senior official from Defra was involved throughout Phase 2. However, numerous respondents suggested that broader representation from Government was needed (especially from the Treasury). There was strong agreement with the decision of the NWD not to involve the public (82%).

It was seen to be very important that the stakeholders were representative of the parties with an interest in national strategic waste management (96%). 60% of respondents felt that the participants in the NWD were representative, 32% felt they were not. Significant stakeholder groups were seen to be unrepresented (see below). In particular, 50% felt that those responsible for changing policy were not involved, although all those who replied to this question felt it was important that such sectors should have been involved.

The main problems with the stakeholders involved were summarised by one interviewee as "the right people were not in the room, and there was not enough routine attendance from other players either". In more detail, the problems were seen to be around lack of seniority, inconsistency of attendance, lack of clarity about the role of stakeholders, their relevance to the issues, type of stakeholder, attracting the 'usual suspects', and missing stakeholders. All these issues are covered in more detail below.

## 4.5.1 Lack of seniority

Respondents felt that there needed to be more senior-level attendees at all events, especially decision-makers and influencers. Even where some senior people attended initially, they were often replaced by more junior people from their organisation as the process continued. The seniority of those participants was seen as important for several reasons: partly to do with participants' status in their own organisations (i.e. "could not commit their organisation" to agreements reached in NWD meetings: what one workshop participant referred to as "lack of agency"), partly because of the extent to which attendance by the 'right' people attracts other senior people, and partly because of the extent to which participants could influence wider decision-making and delivery. It was suggested that not all participants needed to be senior people. One interviewee said it was "normal to have one or two 'hot' stakeholders" who are closely connected to decision-making"; what another interviewee termed "figureheads to influence".

There was also a lack of clarity over the roles of some senior and influential stakeholders who were involved i.e. the extent to which they were there to listen to the debate and take agreements away or to actively participate in the debate; and what they would commit to do with whatever they took away from the meeting.

## 4.5.2 Inconsistency of attendance

There was inconsistency in attendance, with different people attending different events, which limited opportunities for consensus and progress. It also contributed to repetition of discussions to bring new people up to speed, slowing down the pace of individual meetings and the process overall, taking up time in meetings and frustrating those most closely involved.

## 4.5.3 Role of stakeholders

There was some confusion about whether people were attending as 'delegates' from their organisation (with a clear mandate about what they could or could not agree or commit to), or simply as 'representatives' of an organisation or sector, participating as an individual but drawing on their personal knowledge and to some extent 'embodying' the values and concerns of their organisation or sector, or simply as knowledgeable individuals. This is a well-defined issue in voluntary sector literature, but the evaluation workshop suggested that this remains an area where more clarity is needed in stakeholder dialogue. The evaluation workshop made some suggestions for future development:

- Development of a pre-participation pack providing guidance on expected roles in dialogue events and afterwards, and on the value of preparatory briefings in participants' own organisation before and after attendance.
- Explicit discussion in stakeholder dialogue events about mandates so all participants are clear about what needs to go back to participating organisations.

## 4.5.4 Relevance of stakeholders

There was a sense that there was a mismatch between the nature of the dialogue process used, the desired outcomes and the most relevant and 'important' stakeholders. The process model used in the NWD was designed to enable all participants to contribute on an equal footing and to ensure that certain interests did not dominate. However, it was suggested by some interviewees that by trying to be all things to all people, the dialogue failed to engage the most senior and influential people, causing them to drop out of the process. It was felt by one interviewee that "senior people were wasted and the agenda was skewed by the least knowledgeable junior people who couldn't do anything" about

the issues. Although it is generally recognised that tackling waste issues requires taking on complexity, uncertainty and linkages across subjects, this was not possible in a situation which tended to drift to the lowest common denominator in the discussion, and some felt that the key issues were not tackled. One interviewee said that “it needed a different cast list, although even with the people who were there it could have been achieved with a different design”.

## 4.5.5 Type of stakeholder

It was suggested that the ‘type of person’ is as important as the organisation or sector they represent, or their status: participants need to be “open-minded, relaxed”, willing to “leave the briefcase at the door and exercise their grey cells”, “park the day job” and be there as an “educated, reasoning person willing to support consensus”. In the NWD, as another interviewee put it, quite a few of the senior stakeholders were technical, scientific, regulatory, commercial people, often acknowledged as experts within their fields, who found the facilitation too ‘soft’, and the process too amorphous and lacking direction, compared to their normal working practices. These participants were characterised as knowing what they wanted to say but were not able to do so because other participants did not understand the basics, and the process was designed to enable that learning rather than the rapid progress sought by the better-informed participants. Similarly, the type of stakeholder involved, primarily organised official and other interest groups, affected the nature of the process in that many of them tended to approach the dialogue with quite specific agendas and limits to what they were willing to discuss.

## 4.5.6 ‘Usual suspects’

There was a feeling that the NWD was essentially ‘preaching to the converted’ and that many of those who attended already knew each other well. As one interviewee put it, participants were “the same old suspects - all the right suspects” but that perhaps more imagination was needed in identifying different stakeholders, both in order to bring in new interests and views, and to find new angles on the issues for those audiences participants wanted to influence. For example, there were very few planners involved in the NWD (either from local authorities or from national planning bodies), even though this is a key constituency in waste management.

## 4.5.7 Missing stakeholders

Particular stakeholder groups which were felt to be missing were:

- **Politicians**, from local and national government. Some problems with involving politicians were recognised, such as short term thinking (e.g. NIMTO - Not In My Term of Office), being “tricky in the mix” because of their different roles in decision-making (e.g. lack of clarity about the level of their mandate to come to joint agreements), and potential unwillingness to express uncertainty in front of officers/civil servants (and vice versa).

On balance it was felt it would have been valuable to have senior politicians attending for several reasons: to create a “richer mix”, to bring political groupings into the debate more overtly, because of their role in decision-making and the importance of them hearing debates on difficult issues, and because of the importance of increasing the political status of waste as an issue. One suggestion was to engage politicians in a separate stream of dialogue from the main process, with regular ‘touching base’ between the streams.

It was noted at the evaluation workshop that politicians do not always have a clear understanding of participatory processes such as stakeholder dialogue and that they may feel more comfortable if the limits to the process are clarified (e.g. stakeholder dialogue is usually only one part of the decision-making process). It was also suggested

that local authority councillor briefing/training could be useful, possibly in association with IDeA and LGA.

- **Government.** Although Defra was represented in the NWD, as one respondent put it, “Defra is not Government”. The Treasury was identified as one key target audience that was not represented, even though the economics of waste management was seen as a key element. The recommendations of the NWD were presented to the Treasury at the end of the process (see section 4.7.2), but Treasury representatives were not involved as participants.
- **National green groups** which operate at local level were not fully represented. Although Friends of the Earth and Greenpeace attended one or two meetings, they were not involved throughout. These were seen as “key voices” which were absent, not least because nationally agreed ways forward could run into trouble locally if such interests had not been involved (although it was recognised that local FOE and Greenpeace groups did very often operate quite independently from their national organisations). There was also a feeling that other local and regional groups, especially voluntary and community groups, could have been more involved.
- **Industry.** There was some representation from the waste industry in the NWD, but very little from industry generally (e.g. manufacturers).

## 4.6 The role of The Environment Council (TEC) in convening the NWD

The NWD was an experimental approach to stakeholder dialogue in that it was the first time that TEC had taken the lead in the process, rather than working with an external ‘problem holder’. TEC’s role as an independent facilitating organisation was well understood and respected by evaluation respondents. It clearly had a reputation for well-organised and well-run dialogue processes, especially in terms of quality of facilitation, experience, independence, openness and transparency, and being well-connected to the right people.

It was important to respondents that the process was facilitated by an independent/neutral facilitator (who was ‘agenda free’). The majority of questionnaire respondents saw TEC as an independent facilitating organisation (64%), 41% saw TEC as an environmental NGO and 37% saw TEC as experts in stakeholder dialogue (respondents could choose more than one answer). More respondents did not change their views of TEC as a result of the NWD than did.

Only one respondent was not aware that the NWD was led by TEC, but it did not make very much difference to respondents generally whether TEC was leading it. Where it did make a difference, it was because of the good facilitators, experience of running facilitated events, independence, standards, being well-connected (knowing the right people and having a good database), openness and transparency and the need for someone to do it. Several interviewees said it was a “real advantage that it was run by an independent facilitating organisation”.

The disadvantages of TEC leading the process were identified as criticism of the role of the facilitators (specifically lack of knowledge of the subject area), the ‘clumsy’ facilitation model and lack of management experience and support behind the NWD process (including several changes to key personnel during the process).

There was also some comment by interviewees about the advantages of others leading stakeholder dialogue processes (e.g. Government) because that organisation may then have a stronger commitment to the whole process and to the use of agreements and outputs. If Government, for example, was confronted with outputs from a process they had not commissioned or been involved in setting up, they may be less likely to value or

use the outputs. This did not mean that Government should necessarily lead all such stakeholder dialogue processes, but that it did need to be a key partner in setting them up if it was a key target audience for influence.

Questions were also raised about the role of TEC in championing the outputs of a stakeholder dialogue process and the extent to which that role could compromise TEC's neutrality and independence, and thus the implications in terms of the boundaries of TEC's role.

Interviewees commented on the lack of clarity about the relationship between TEC and the facilitators. The facilitators stressed their independence from TEC in the NWD events, but stakeholders tended to see TEC and the facilitators as coming from the same place. However, it was suggested that TEC saw the facilitators as having a relatively limited role in running the events and had not invited their deeper involvement in designing the overall process.

For those involved in managing the process, there was a strong sense that the NWD was very different from the normal stakeholder dialogues that TEC ran, but that there had been a lack of recognition in the organisation (at the time) of the implications of the differences. This was 'new territory' for TEC but it was felt that it was not given the support needed for such a radical experiment.

There were some suggestions that the NWD had been prompted by the availability of funding, rather than a wider corporate vision from TEC or a particular commitment to waste issues. This was seen as a particular problem at the time, when so much else was happening, and some interviewees felt it was not the best use of stakeholders' time. This lack of corporate direction over the NWD led to a lack of clarity about how the NWD related to other dialogue work being run by TEC at the time and since (e.g. nuclear waste, tyres, etc), and the different roles taken by TEC in these various initiatives.

Interviewees pointed out that stakeholder dialogue is a growing field in all sectors (public, private and voluntary), and that there are big challenges as well as major opportunities. In such a context, it was suggested that TEC needed to be clearer about its role in terms of stakeholder dialogue, and focus on delivering that. Some individuals (and their organisations) had become very frustrated by the NWD process, and TEC may need to consider its next developments carefully to avoid further reputation damage. However, several respondents felt that TEC was well-placed to lead these sorts of processes. Apart from TEC (and the Green Alliance), one interviewee suggested that "no-one else is sufficiently strategic". Another suggested that "TEC could be ideally placed to sponsor and champion dialogue in all the sectors they work in", as long as there is a clear mandate, aim and vision.

Several interviewees commented on TEC's name, and there was a fairly even split between those who saw 'environment' in the name as a disadvantage (suggesting to some that TEC was a campaigning body), and those who felt it was no problem and that 'environment' was simply the range of issues that TEC worked on.

## 4.7 The outputs and outcomes of the NWD

### 4.7.1 Introduction

Participatory processes are usually assessed in terms of their outputs (products such as meetings or documents) and outcomes (the results of the processes over time, such as policy change, personal learning, networking and relationship-building). The main processes of the NWD have already been described in detail above (see section 3.2). This section summarises the outputs and outcomes of the NWD as follows:

- summary of the main outputs of the NWD process;
- the extent to which the process met its own stated objectives;
- impacts on policy and practice;
- developing social capital (e.g. networking, building trust and relationships and capacity building);
- overall and wider impacts.

## 4.7.2 Outputs of the NWD

The outputs of the NWD were essentially the following:

- Six national stakeholder meetings (covering both phases), attracting 150 major stakeholders (81 in Phase 1 and 69 in Phase 2), leading to agreement on numerous recommendations for action.
- Six working groups undertaking detailed work on cultural change, markets development, infrastructure and planning, waste strategies, public engagement, and data and information. There were specific products from the working groups including:
  - A literature review commissioned by the Markets Development working group (and produced by SWAP), which was passed on to WRAP, and provided useful initial data. The review was published on the TEC website ([www.the-environment-council.org.uk](http://www.the-environment-council.org.uk)).
  - A brief initial literature review on public engagement in waste produced by the Public Engagement working group which was published as part of the final summary report of Phase 2 (TEC 2002).
  - Good practice guidance produced by the Data and Information working group which was also published as part of the final summary report of Phase 2 (TEC 2002).
  - Research commissioned by the Cultural Change working group on the effectiveness of public education, awareness raising and action campaigns (the research was undertaken by AEA Technology), which was published in June 2003, and is available on the TEC website ([www.the-environment-council.org.uk](http://www.the-environment-council.org.uk)). Parts of the work of the Cultural Change working group are being taken forward by Tec's new National Resource and Waste Forum.
  - Best practice guidance on public engagement in waste issues (suggested by a working group) has been produced by TEC (as a separate project).
- The recommendations from the NWD were presented to Government, alongside the involvement of Defra, DTI and the Cabinet Office during Phase 2 of the NWD:
  - Links were made to the Cabinet Office during the dialogue to input to their study of waste management (published as *Waste Not Want Not*). TEC were then invited to facilitate a large Waste Minimisation workshop for the Cabinet Office during this time.
  - Presentations of the final agreed recommendations were made to HM Treasury by TEC and WWF UK (representing the wider stakeholders in the NWD).
- A summary report was published at the end of each phase.

A number of specific recommendations for further action were made by the various working groups (see section 3.2), including some specifically aimed at TEC (e.g. best practice guidance on public engagement on waste). To date, to the knowledge of the evaluation team, none of the other specific recommendations has been acted upon directly. However, various related initiatives have developed independently e.g. the Best Value Waste Network and associated good practice guidance managed by IDeA, aimed at developing partnerships between local authorities and the private and voluntary sectors to help achieve best value waste management targets and comprehensive integrated waste management services: see [www.bestvaluewastenetwork.org](http://www.bestvaluewastenetwork.org).

If further action on the NWD recommendations was to be taken forward at this stage, it would clearly be essential to reassess their appropriateness given the many other developments in policy and practice that have taken place since the final main stakeholder meeting of the NWD in February 2002.

### 4.7.3 Meeting the agreed objectives

The two phases of the NWD had specific objectives, as already outlined (see section 3.1 above). The objectives were, in summary:

Phase 1: Building Effective Solutions for Sustainable Waste Management (1999-2001)

- To identify the key issues affecting progress towards sustainable waste management;
- To identify ways to address barriers to progress.

Phase 2: Enabling Sustainable Waste Management (2001-2002)

- To tackle the complex and contentious issues surrounding the planning and decision-making process for new waste facilities;
- To make recommendations on how these issues can be addressed;
- To build relationships and understanding among stakeholders engaged in and affected by waste related decision-making.

82% of questionnaire respondents felt these had been the right objectives at the time (i.e. the key issues for sustainable waste management).

A majority of questionnaire respondents felt that Phase 1 of the process had largely met its objectives (around 60%). There were more mixed responses on Phase 2, with 46% feeling that the first objective of Phase 2 had been met only 'slightly', and 41% feeling that the second objective had been 'largely' met. Only one person felt that Phase 2 had completely met its first and second objectives, and no-one felt it had met the third, while 14% felt it had not met any of its objectives at all.

Further analysis of the objectives against the feedback from questionnaire and interview responses suggests, however, that this simplistic summary does not give the full picture. In particular, the stated objectives do not fully reflect the implicit assumptions and expectations of the organisers or the stakeholders.

In addition (as outlined in section 4.4.4), many of the stakeholders and the organisers were working on the basis that the NWD was a high level, influential process, at the centre of the extensive debates on waste management which were going on at the time.

These complex overt and implicit objectives, expectations and assumptions makes it more difficult to come to a simple conclusion as to whether the NWD met its objectives. However, based on the evidence from the questionnaire, interviews and the workshop, we can conclude that the NWD did in fact meet all its objectives as formally stated. It identified issues affecting progress towards sustainable waste management, and identified ways to address barriers to progress (Phase 1). It also tackled the issues around planning and decision-making processes for new waste facilities, made recommendations on how these issues could be addressed, and built relationships and understanding among stakeholders.

The extent to which the NWD met people's less overt expectations was more mixed. Overall, the majority of questionnaire respondents said their expectations were met mostly or a bit, with about half as many saying that their expectations were not met at all, and about a quarter as many that their expectations had been met fully. The findings were:

- The area where expectations were met most fully were in networking and meeting people (60% response rate to the NWD either fully or mostly meeting this expectation), and to learn about other people's views (50%). There was also good feedback on the way the process helped the respondent in simply representing their organisation (46%) and, to some extent, to be in dialogue with others in the waste field to crack joint problems, and to share their own experience (41%).
- The areas where people's expectations were least fully met were in influencing or changing policy (32% felt the NWD had not achieved this at all), and improving practice in the field (23%).

As can be seen from this analysis, there are considerable differences between the stated objectives of the NWD and people's expectations. Much of the frustration of some participants can thus be seen as a result of unfulfilled expectations rather than a failure of the NWD to meet its stated objectives.

Information from the interviewees points to some of the background to this frustration. Several suggested that solutions were certainly identified, but that nothing was actually done as a result. They felt there was consensus in the stakeholder workshops but no real subsequent actions or, if there were, these were not communicated to the stakeholders. This illustrates again the lack of clarity in the minds of stakeholders about who was responsible for taking actions as a result of the joint agreements. As outlined above (see section 4.4.4), there was a real conflict in understanding between those stakeholders who saw the target audiences for the outputs of the NWD as policy-makers, external to the process (especially Government), and those who saw the target audiences for outputs as the stakeholders themselves (who would take their own actions on the basis of shared agreements and priorities).

Any assessment of the success or failure of the NWD in meeting its objectives therefore needs to take these complex issues into account. While it may be unfair to assess a process according to unspoken expectations and assumptions, that is undoubtedly what the participants have done in this case. It may be a key lesson for future dialogue processes both to ensure that more time is spent initially clarifying and agreeing the overall purpose and objectives to prevent the development of expectations which will remain unmet, and also to clarify who is expected to take the agreed actions.

## 4.7.4 Impacts on policy and practice

Impacts on policy and practice were not among the stated objectives for the NWD. However, as outlined above, there was some misunderstanding on this issue. Indeed, the majority of respondents felt it was important that the NWD had an impact on policy (60%). Only 10% felt it had actually had 'a great deal' of impact, 23% felt it had 'a bit' of impact, 41% felt it had 'not much' impact and 19% felt it had no impact at all. Overall, there was a sense that the NWD had made little impact on policy.

The four classic stages of the policy process are usually described as agenda setting, policy development and drafting, implementation, and monitoring and evaluation. Questionnaire respondents felt that dialogue processes could have most impact at the agenda setting stage (82%), then in policy drafting and development (73%), with some impact on implementation (32%) and monitoring and evaluation (23%). One interviewee made the point that a dialogue works best at the “level of exploration of ideas, not detail”, which supports its use at the agenda and policy development stages.

Some interviewees felt that “a collective voice does have more impact”, but it was still felt to be just one of many voices, and the majority of questionnaire respondents felt that policy recommendations from dialogue processes had no more influence over government and other policy makers than other approaches to policy influence (60% said not).

The recommendations from the NWD were put to Government formally at the end of the process, and the Defra representative took detailed points away during the process, so it was argued by some respondents that the NWD had had a direct influence on Government thinking and policy-making. However, there was no evidence of the impacts of these activities. None of the respondents could point to any specific examples of policy changes, either in their own organisation or elsewhere, as a result of the NWD.

It was suggested that the NWD may have reinforced an existing policy direction. It was also suggested that the NWD may have contributed to the establishment of both WRAP (the government’s Waste Resources Action Programme) and the National Waste Awareness Initiative, although no direct cause and effect was proposed. In addition, respondents argued that policy changes had been made which reflected the recommendations from the NWD, but again no direct cause and effect can be shown (e.g. the extent to which it was the NWD that made the difference). It was suggested that dialogue processes should include a specific stage during which the outputs are used with policy-makers, and the outcomes demonstrated (including back to the stakeholders involved).

In terms of impacts on practice, although 69% of respondents felt it was important that the NWD should affect action on the ground, rather more felt that there had been little or no impact (50%) than that there had been ‘quite a lot’ or ‘a bit’ (37%).

There were strong concerns that the NWD did not focus sufficiently on action by the stakeholders themselves (60%). 73% of questionnaire respondents said the NWD did not affect their own organisation’s activities in relation to waste management or policy, and 78% could offer no examples of where the NWD had changed practice elsewhere. However, one respondent did say that the NWD had inspired him to set up a recycling conference for North London, which led to the setting up of the North London Recycling Forum.

Several interviewees made points which suggested that impacts on policy and practice were less about overt and measurable change in the short term, and more about the slower continuing processes of policy development. For these people, the NWD had succeeded in influencing their thinking. One said he had “gained understanding of other stakeholders’ views which had helped ensure [his] own work went in the right direction”. He had “developed our long term plan based on a better understanding of what stakeholders want”. Another suggested that there was already “a surprising congruence of opinion in the waste world” and, although people had come to their conclusions separately, dialogue has “created the context in which people could see their views converging”. When views do completely converge, it can be very powerful: one example quoted was when the then Minister (Stephen Timms) heard everyone at a Parliamentary Sustainable Waste Group meeting (not part of the NWD) saying that landfill tax needed to be increased, and it was increased.

The role of dialogue in bringing about a greater convergence of views through greater understanding of the views of others and the development of thinking within individuals,

and their organisations, can be seen as an important contribution to policy development. It is likely that the NWD has played a part in increasing the convergence of views among stakeholders about sustainable waste management, although this outcome has not been subject to detailed assessment.

Several interviewees also drew attention to the role of the NWD in influencing the policy development process, by encouraging policy makers to consult more often and to involve a wider range of stakeholders, and to actually use dialogue processes (examples quoted included the workshops run by the Cabinet Office as part of the Waste Not Want Not study, and initiatives by Defra and the Environment Agency).

All the feedback from the evaluation suggests that tackling waste issues requires different interests to be brought together, and for all stakeholders to be involved. If the NWD had encouraged Government and other policy-makers to undertake more stakeholder dialogue, that too would be an important contribution to policy development and an important achievement of the NWD.

Overall, the main ways in which the NWD had influenced policy and practice were felt by questionnaire respondents to be:

- Strengthening networks (55%)
- Developing trust and understanding between stakeholders, gaining agreement among stakeholders on joint priorities and consensus building (50% each)
- Raising awareness of the issues (41%).

The main drawbacks to the NWD in these terms were felt to be:

- Separation from decision-making process (78%)
- Too time consuming (60%).

Suggestions for how the NWD could have had more influence over policy and action included:

- Decision-makers taking the ideas from the NWD and using them to develop policy and programmes;
- Participants taking greater responsibility for taking action themselves as a result;
- Greater emphasis in the design of the process on outputs and use of outputs including representations to government and others;
- Earlier commitment from government to act on outcomes;
- Greater media publicity.

## 4.7.5 Developing social capital

The development of social capital, and capacity building for individuals, is increasingly recognised by Government (especially Cabinet Office, ONS and the Department of Health) as essential to sustainable development. The UK Government has formally adopted the OECD definition of social capital as: “networks together with shared norms, values and understandings that facilitate co-operation within or among groups”. Much of the current thinking on social capital is based on work by Robert Putnam, who defined social capital as “features of social organisation, such as networks, norms and trust, that facilitate action and co-operation for mutual benefit” (Putnam 1993). Although initially focused on analyses of geographically defined local communities, social capital is increasingly being used in relation to other arenas (e.g. communities of interest).

Given the importance attributed to effective joint working on problems of waste management, it is useful to assess the impacts that the NWD has had on the levels of social capital among the participants in the NWD, and the extent to which the NWD built the capacity of participants to engage effectively on sustainable waste management issues in future. The results from the questionnaire respondents were very positive:

- 78% said they benefited personally, with the main area of benefit being new contacts and networks (55%).
- 78% said they had learned from the process: about what others were thinking (50%), about which other bodies were in the field and about stakeholder dialogue processes (37% each), and about strategic waste management policy, practice and issues (32%). As one interviewee said “it was fascinating to hear other views and to debate strategically. A rare opportunity [which] helped individual thinking [and] forces you to think outside the box ... uplifting in a way”.
- 37% of respondents felt that the NWD had been an excellent learning experience, and a further 32% felt it had been good. Respondents said they did learn about things they only knew a little about before, and their perspectives were broadened. As one said “dialogue does start to unlock 20-30 years of experience from people who really know what they are doing, in ways that are useful to others. That sort of expertise is rarely valued in other processes. There were a few ‘Eureka’ moments.”.
- 78% of questionnaire respondents felt that building trust, relationships and understanding was important for strategic waste management, and 50% of respondents felt that the NWD had built new or better trust, relationships and understanding among those involved.

Interviewees agreed, identifying that there had been “genuinely some new relationships” created, and that it “renewed relationships and trust with some organisations [and] worked very well for networking”. Another respondent pointed out the value of these achievements: “decisions in contentious issues like waste management are always difficult, and the transparency of the decision-making process is very important, but this does not necessarily mean agreement among all parties - establishing common understanding, rather than consensus, is the crucial step”.

These findings show that the NWD did contribute significantly to the levels of social capital (through building and strengthening networks, relationships and trust), and to the capacity of individuals (through learning), both of which will make a contribution to future collective work on waste management issues. Although less tangible than immediate changes to policy and practice, these achievements are likely to have powerful beneficial long term effects.

## 4.7.6 Overall and wider impacts

The feedback from the questionnaire respondents identifies some other impacts on participants, and feedback on costs and benefits, from their involvement in the NWD.

- Overall, more questionnaire respondents found the NWD ‘interesting’ (55%) than useful (32%), enjoyable (28%) or influential (10%). Other comments were less positive (e.g. “not useful” and “largely time I could have spent more productively”).
- 82% of respondents were aware of the time they invested in the NWD, which ranged from an average of 4-5 days up to 10-11 days, and about half the respondents had to account for the costs of their involvement in the NWD.
- 37% felt that the costs and benefits of their involvement in the NWD were roughly equivalent, 19% felt that the benefits were greater than the costs, while 37% felt that the benefits were less than the costs (18.5%) or that there were no real benefits (18.5%).

- 37% felt that gaining accreditation for continuing professional development (CPD) would have helped justify the time spent on the NWD, and others mentioned payment of costs for participants without resources, and accreditation as part of Corporate Social Responsibility or environmental reporting as potential incentives.

The main differences made by the NWD were felt to be much more open discussion between stakeholder groups and better understanding of stakeholder points of view. However, 19% of respondents said specifically they could see no differences as a result of the NWD.

Questionnaire respondents felt that the most effective aspects of the NWD were the bringing together of disparate stakeholders, and explaining waste and waste management to stakeholders new to the problem. The least effective aspects were the pace (too slow and lacking in momentum), failure to pinpoint the key issues, lack of leadership, translation of ideas to action, the need to include all comments regardless of relevance or utility, and the lack of impact on policy and practice.

The main factors which contributed to the success of the NWD were:

- The design of the specific events (69%)
- The delivery of the dialogue processes eg facilitation, organisation (46%)
- The role taken by The Environment Council (41%), and
- The design of the overall approach (41%).

The main factors which contributed to the failings of the NWD were:

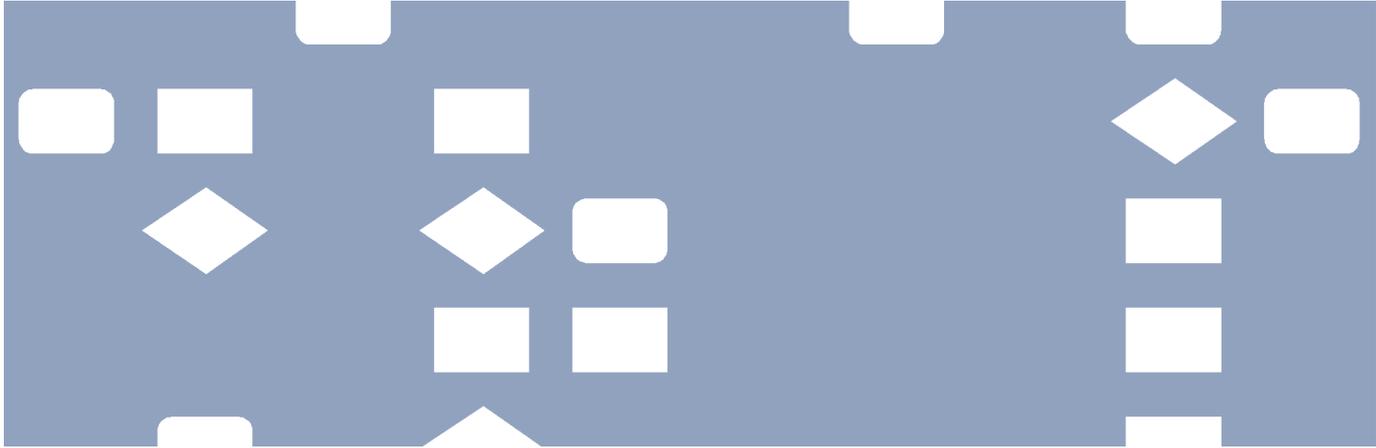
- The lack of links to decision-making processes (78%)
- Who was there, or not there (41%)
- The timing of these processes, given other event on waste policy (37%).

Overall, the benefits and impacts identified have tended to be much more around the development of social capital and capacity building rather than around policy and practice change, and there seems a strong correlation between these impacts and the model of stakeholder dialogue used.

The lack of appreciation by some of the respondents in this evaluation of some of these benefits (as shown by some quite negative feedback) may be due to three particular factors: the gap between individuals' experience of the process and the production and use (to their knowledge) of the products/outputs, leading to dissociation between the two; lack of clarity about who should take those outputs forward into real action; and simply the different values ascribed to different outcomes (i.e. some respondents putting a higher value on policy and practice impacts than social capital outcomes).

It has not been possible within this evaluation to assess the extent to which the benefits of these specific but more intangible impacts (e.g. social capital) may change policy and practice over time, and these could be significant (e.g. networks to share practice and develop thinking).

In the meantime, the majority of questionnaire respondents (64%), and most interviewees, said they would get involved in stakeholder dialogue processes on waste again. Many respondents did have reservations, and exactly the same proportion said that lessons from the NWD needed to be learned and the design of the process changed before they would get involved in such a process again (64%).



## 5. CONCLUSIONS

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The National Waste Dialogue (NWD) was an experimental approach to stakeholder dialogue in that it was the first time The Environment Council (TEC) had taken the lead in this way. This evaluation was commissioned to examine the NWD in some detail, but focused on testing the two assumptions on which the design of the NWD was based:

- That stakeholder dialogue was an appropriate model for addressing the issues of sustainable waste management.
- That TEC (as an independent, facilitating organisation) could provide appropriate neutral leadership for these processes.

From the evidence presented in this report (drawing on questionnaire responses, interviews and a workshop to test initial findings), we can conclude the following in response to these two issues.

### 5.1 Stakeholder dialogue as an appropriate model for addressing sustainable waste management

Sustainable waste management requires bringing all parties together to agree actions and recommendations, and we can therefore conclude that stakeholder dialogue is a vital element in addressing the issues of sustainable waste management.

There remain divisions in statutory responsibilities for waste management, a wide range of interests, and the need for implementation of increasing legislative and policy developments, within a context of expected growth in waste production. Within this context, all the evidence to this evaluation suggests that legislation will be needed in some areas but also that long term solutions will only be found through greater understanding of the issues among the key stakeholders, leading to a convergence of views on what needs to be done.

This evaluation shows that the NWD did contribute to greater understanding, and convergence of views, among participants, as well as to the trust, networks and relationships (social capital) which strengthen common understanding and willingness to take jointly agreed actions.

The NWD had very specific objectives and was operating at a national strategic level, and therefore targeted specific stakeholders relevant to these objectives (e.g. excluding the public). While it was seen as entirely appropriate by the stakeholders involved that the public should not be included in the NWD process, there were concerns that the stakeholders that were involved were not sufficiently senior, were not involved consistently enough, and had varying views on what they should contribute to the NWD and what they should do as a

result of the NWD. The type and role of stakeholders involved clearly impacted on the nature of the process, and therefore the process and the results of this evaluation need to be seen in that light, and not taken to be indicative of the results of all stakeholder dialogue processes.

There was a strong consensus that any future stakeholder dialogue on sustainable waste management needs to build on the lessons from the NWD, and the design of processes may need to change significantly. There were problems with the model of dialogue process used, especially in terms of design and lack of clarity over purpose, but there were also important outputs (useful meetings, new research and a consensus on clear recommendations on a range of issues), and valuable outcomes, especially around developing levels of social capital (as above) and capacity building (learning about the views and priorities of others, as well as the technical issues around sustainable waste management).

Poor stakeholder dialogue can lead to frustration among participants, reinforce stereotypes among stakeholders and take up valuable time from already over-stretched public, private and voluntary bodies. However, high quality dialogue, carefully designed and well-delivered to achieve its specific purpose in a specific context, can be very valuable. The response from 64% of questionnaire respondents that they would be willing to get involved in stakeholder dialogue processes in waste again, as long as the lessons from the NWD are learned and the design changed, indicates the value that these individuals place on the process.

The evaluation has shown that participants in the NWD valued impacts on policy and practice more highly than impacts on relationships, networks and learning. Any future stakeholder dialogue on waste issues will need to consider the potential for impacting on policy and practice in order to attract similar stakeholders, that the benefits and limitations of stakeholder dialogue generally need to be made clearer, and that the model of stakeholder dialogue may need to change if the impacts on policy and practice that are desired by these stakeholders are achieved, alongside the benefits for social capital and capacity building.

## 5.2 The role of TEC in leading these processes

The evidence to this evaluation clearly supports the idea that TEC could provide appropriate leadership for these processes. Its role as an independent facilitating organisation is understood and respected among the stakeholders who participated in the evaluation, and it is seen as being one of the few organisations which could undertake such a strategic role.

There are some questions around the issue of 'neutrality'. There was a lot of input from evaluation participants about the problems of the 'content-free' approach to stakeholder dialogue, and the facilitation model that 'neutrality' seems to imply. This feedback suggests that lack of subject knowledge is a drawback rather than a strength if TEC is to take a leadership role. If TEC works simply as a technical facilitating organisation for an external client (the 'problem holder') there are fewer difficulties but, on the other hand, this could limit TEC's potential for developing a new role in this field.

If TEC wishes to take more of a leadership role, as it did in the NWD, the stakeholder dialogue model currently used will need to be revised to bring in mechanisms which would meet the need for detailed subject knowledge, accountability of the process (e.g. through more effective and explicit steering group arrangements), follow up of outputs (such as recommendations made), and monitoring and evaluation of outcomes.

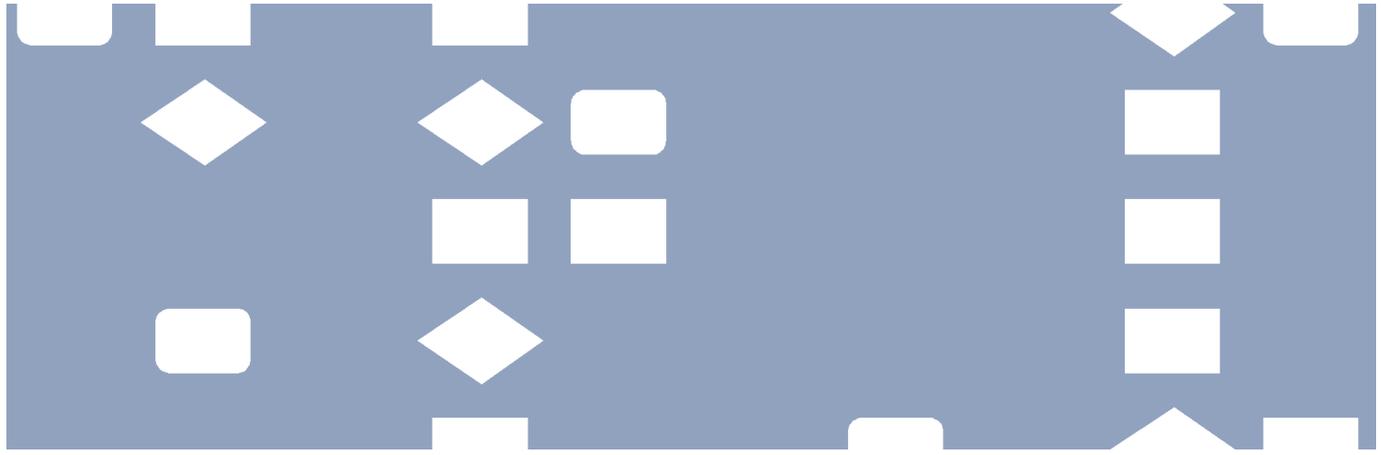
If neutrality and independence are taken to mean a professional stance rather than a 'content free' model of facilitation implying lack of knowledge about the subject, that would meet the expressed views of those who contributed to this evaluation. It is TEC's independence from specific interest groups, alongside its commitment to stakeholder dialogue processes and outcomes, which could be particular strengths.

## 5.3 Lessons for the future

The high quality of responses from NWD participants and others to the research for this evaluation has generated valuable lessons for the design of future stakeholder dialogue processes on sustainable waste management and other issues, as contained throughout this report. Overall, these can be summarised as the need for:

- Clarity of purpose (and desired outcomes) for any stakeholder dialogue process.
- Clarity of roles and responsibilities for the inputs, outputs and outcomes before, during and after stakeholder dialogue processes (including clear lines of communication and accountability). An enhanced role for multi-stakeholder steering groups, and the development of briefing materials on stakeholder dialogue, could be particularly valuable here.
- Demonstration of the value of stakeholder dialogue processes in different subject areas, by identifying and promoting the impacts of such processes (over and above how they are done).
- The use of different models of stakeholder engagement for different purposes, working out what is right for the desired purpose, outcomes and context rather than imposing one particular model. There are now numerous other well-tested models of engagement available on which to draw.
- Sufficient understanding of the current priority issues on any subject identified for stakeholder dialogue in order to provide adequate leadership and direction, including understanding of the wider context to ensure appropriate links to other relevant initiatives and policy opportunities.
- Recognition of the scale of the task, and the need for appropriate resources and management support to deliver.
- New approaches to ensuring expert and research input to stakeholder dialogue in ways that do not undermine the integrity of the process, and fit within the control and management systems which have been agreed.

Stakeholder dialogue cannot solve all problems but, if well-designed and well-managed, it does have some very important strengths that can help contemporary society overcome some currently intractable problems. In the overall history of policy development, stakeholder dialogue is relatively new but there is now sufficient experience and knowledge to enter a new phase of development and refinement which could move stakeholder dialogue into a much more central position in the development of sustainable policies and practices.



## 6. NEXT STEPS

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Evaluations are designed to identify lessons rather than issue prescriptive recommendations; detailed recommendations need to be developed through discussions, which include further information about future organisational and policy priorities. We therefore propose only that:

- This report is circulated to all participants in the NWD, as the final product of the NWD process.
- That TEC accept this report and act on the lessons identified (both the broad lessons in section 5 and the detailed points throughout the report) to improve the design and delivery of the stakeholder dialogue processes it manages, and reports on those changes to its own stakeholders (including those involved in this evaluation).
- That other stakeholders accept the report as a contribution to knowledge and understanding in the field of stakeholder dialogue.
- That a further, brief, review of the impacts of the NWD is undertaken in a year's time, including a review of actions taken as a result of this evaluation (as recommended by the evaluation workshop).

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# Appendix 2 - Summary information sheet

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## The Environment Council National Waste Dialogue – evaluation and learning

Between 1999 and 2002 The Environment Council (TEC) ran a series of Stakeholder Dialogues on sustainable waste management, known together as the TEC National Waste Dialogue. The Environment Council has now commissioned a project to evaluate these dialogues in order to distil the learning about participatory processes and about the barriers to the implementation of sustainable waste management.

There were three main stages to the Dialogue, each with different original objectives. These were:

*Building Effective Solutions for Sustainable Waste Management* (1999-2001),

- To identify the key issues affecting progress towards sustainable waste management
- To identify ways to address barriers to progress.

*Enabling Sustainable Waste Management* (2001-2002),

- To tackle the complex and contentious issues surrounding the planning and decision-making process for new waste facilities
- To make recommendations on how these issues can be addressed
- To build relationships and understanding among stakeholders engaged in and affected by waste related decision-making.

*Successful Waste Awareness Campaigns* (Cultural Change toolkit) (2001-2003),

- To produce a toolkit that will enable people to run successful waste awareness campaigns that lead to the reduction of waste and promotion of recycling
- To evaluate previous campaigns and assess them against identified key success criteria
- To enable more effective waste-awareness campaigns to be run in the future
- To accelerate the change in culture as to how people deal with their waste.

The evaluation will aim to examine the two key principles which lay behind the Dialogue: that stakeholder dialogue was an appropriate model for addressing the issues of sustainable waste management; and that The Environment Council, as an independent facilitating organisation, could provide appropriate neutral leadership for these processes.

A team has been established to undertake the research for the evaluation, led by Diane Warburton of Shared Practice, an independent researcher with considerable experience of evaluating participatory programmes and of qualitative research. The team includes two researchers: Sam Gardner, who is undertaking a PhD at UCL on evaluating participatory processes, and Geeta Kulshrestha, who is undertaking a PhD at LSE on waste management, and will work closely with staff from The Environment Council (Eloise Frawley and Faye Scott).

The project is being supported by an independent Advisory Group, chaired by Professor Judith Petts from the University of Birmingham and including Peter Jones of Biffa, Barbara Herridge of Waste Watch, Bob Lisney of Hampshire County Council, Ray Georgeson of WRAP, Simon Hewitt from Defra and Richard Harris, an independent facilitator.

The project will involve stakeholders in various ways, including conventional questionnaires and interviews, a workshop to review the initial findings and a wider Internet-based review of the draft report. The project is scheduled to run until December 2003, with the report being launched early in 2004.

For more information about the project please contact Diane Warburton, telephone 01273 774557, email [diane@sharedpractice.org.uk](mailto:diane@sharedpractice.org.uk) or Eloise Frawley, telephone 020 7632 0110, email [eloisef@envcouncil.org.uk](mailto:eloisef@envcouncil.org.uk)

# Appendix 3 - Questions for interviews

## Preamble

- This interview is part of a process to evaluate the stakeholder dialogue processes on waste management run by The Environment Council between 1999 and 2002. The purpose of the evaluation is to identify the lessons about both this form of participatory working, and about its application to sustainable waste management.
- The interview will take about an hour.
- We will take detailed notes to record the interview, all of which will be kept confidential to the research team.

## About you

### Your involvement in these processes

- Can we check - according to our records you were involved in the waste dialogues as *[fill in - participant, working group member, etc]* at *[xx number of events, date and location]*. Is that right? Were you involved in any other ways?
- What do you remember about the dialogues you were involved in - anything specific?

### Your own role and position

- What is your current job / role / interest in waste management?
- Is this the same job / role as when you were first involved in the waste dialogues? Did your involvement in the waste dialogues make any difference to your job / interests? If so, what?

### Why you got involved

- Why did you get involved in these waste dialogue processes?
- Were there specific things you wanted to achieve through the dialogues (personally or for your organisation)? Did the dialogues help you do that? If so, how? If not, why not?
- Had you been involved in these sorts of dialogue processes before? If so, what / how?
- Were you involved in any other similar processes at the same time (eg run by Environment Agency or DETR)? Which ones? What were they trying to do? How did those processes relate to the TEC processes?

### Personal benefits

- Did you gain anything personally from your involvement in the waste dialogue processes (eg personal profile, learning, networking, understanding others)?
- What would have helped you get more from these dialogues?

## Waste management

### Nature of waste management problems

- The dialogues had a focus on national strategic waste management. What were the advantages and disadvantages of this focus?
- Is there anything special about the field of waste management which means that only certain methods will work? If so, what specifically is different about this field? Did the design of the dialogues take these special qualities into account?
- Is there a particular need, in tackling waste management, for bringing all parties together to discuss and agree actions and recommendations? If so, what makes this necessary?

### Context

- What was the field of strategic waste management like at the time the dialogue started (eg responsibilities being split, more agencies involved)? Did the TEC dialogues take these issues into account?
- What else was going on at the time, in terms of waste management debates? How did the TEC dialogues link to these other debates / processes? Did that work / cause any problems?
- What sort of position did the TEC dialogues have in the wider context of what else was happening at the time (eg central, influential, marginal, one of many)?

### Meeting the stated original objectives and barriers

- The original objectives of the process were *[give copy of summary sheet to remind them]*. To what extent did the dialogues you were involved in meet these objectives (ie wholly, in part, a bit, not at all)? *[Going through each objective separately, or at least by each stage by grouping the objectives for the different stages.]*
- Did these objectives seem to you to be the key issues at the time? If not, what were?
  - The dialogues identified a series of barriers in each stage. In Stage 1, the barriers were:
    - cultural change among producers, marketers, designers and the public
    - infrastructure, planning and public participation - joined up government
    - markets development.

In Stage 2, the barriers were:

- inadequate public and stakeholder engagement
- lack of coherent waste strategy and a low political priority for waste issues
- lack of trusted and usable data and information.

To what extent did the dialogues you were involved in tackle those barriers (ie wholly, in part, a bit, not at all)?

### Who was involved

- Were the right people at the event you attended to achieve what was wanted (eg right status, skills, organisations, social mix)? If so, who was there who was particularly important? If not, who was missing?
- The public were not involved as stakeholders in this process. Was that appropriate?
- Were the stakeholders present representative of the parties who had an interest in national strategic waste management?
- Did the event reach stakeholders from traditionally excluded / under-represented sectors or constituencies (eg disadvantaged communities)? Did this matter?
- Did those who are responsible for changing policy need to be part of the dialogue processes? Were they?
- Were there particular problems in involving elected politicians (local or national) in these processes? If so, what were the problems? Can you see such problems arising in future?

### Impacts and results

- How much impact would you say these dialogues had on national and local policy on waste management? Any specific examples?
- How much influence would you say these dialogues had on the national and local practice of waste management? Any specific examples (eg new partnerships)?
- How much did this national dialogue affect action on the ground? Any examples of how this worked? Is this an important issue?

- Are there any other impacts on strategic waste policy and practice, positive or negative, that you can identify as arising from these dialogue processes?

### What is needed now for waste management

- What are the priority issues now for strategic waste management (eg regionalisation, lack of investment or leadership, concepts of resource productivity, energy from waste, producer responsibility)? Which of these would be the highest priority / most appropriate to use dialogue processes to work on in future?
- What is needed now in terms of systems and infrastructure, and how could dialogue processes contribute to creating / improving those (eg issues could be stakeholder involvement, decision-making, implementation, monitoring)?

### Strengths and weaknesses of the waste dialogues

- What would you say are the main strengths of stakeholder dialogue in tackling waste management issues (eg co-ordination, networks and communications, collective lobbying, consensus, understanding)?
- What would you say are the main weaknesses of stakeholder dialogue in tackling waste management issues?
- Do you think these types of dialogue processes are particularly appropriate for waste management, or are there other processes which would be more appropriate (eg long term structures such as commissions or RTABs)?

## Dialogue processes

### Costs and benefits

- **Costs** To get an idea of costs, do you know how much time did you put into the dialogues? *[need to have note of how many meetings attended, and where]* Did you have any other costs for your involvement (eg travel)? Did you keep records of your costs overall?
- **Benefits** Were the benefits you got from your involvement more than / equal to / less than the costs (ie was it worth it)?

### Quality of the actual dialogue events

- Were you fully engaged in the debates / dialogues during the events? If so, what helped? If not, what were the problems?
- Did you feel you could influence the agendas and procedures of the events you attended? Did that matter in terms of what you got out of it, and whether the process worked?
- Were the events you attended open, transparent and accountable *[take each of these issues in turn?]* How important are these?
- What were the most effective aspects of the dialogue, and why? How could these be further improved?
- What were the least effective aspects of the dialogue, and why? How could these be remedied?

### Role of TEC as independent convenor

- Did it make any difference to you at the time, as a participant, that the dialogues were run by an independent facilitating organisation? If so, in what way?
- What were the advantages and disadvantages of The Environment Council leading the process in these particular dialogues? What lessons should TEC learn for the future?
- What do you see as the main advantages and disadvantages to stakeholder processes being convened by an independent facilitating organisation?

### Learning

- Did you learn personally from your involvement in the dialogue? What sorts of things? And are there any lessons could you offer to others as a result?
- How effective was the dialogue as a learning experience (ie excellent / good / OK / not very good / useless) (eg about strategic waste management issues, others' values and concerns)?
- What would have improved the dialogue as a learning experience?

### Building trust, relationships and understanding

- Did the dialogue build trust, relationships and understanding among those involved (eg did they reduce misunderstanding and openly examine assumptions)?
- Is building trust, relationships and understanding important for strategic waste management?
- How could these impacts be tested (eg any tangible results such as new projects or partnerships)? Can you suggest any examples where this has happened?

### Influencing policy and practice

- Did the dialogue change national and/or local policy and practice? If so, can you give specific examples?
- Is policy and practice change important (does it matter)? If so, how could the dialogue have had greater impact?
- There are often said to be four stages in the policy process (agenda setting, policy drafting, implementation, monitoring). At which stage of the policy process do you think dialogue can have most impact?
- Should the dialogue have had more detailed policy aims to be effective? Should the processes have been more flexible to allow a more specific response to the changing policy context? Or was the nature of the policy focus appropriate?
- Do policy recommendations from a dialogue process have more influence over Government and other policy makers than other approaches to policy change (eg collective voice stronger)?

### Overall impacts

- What do you think were the main differences made as a result of these dialogues?
- Were there any other specific achievements of this dialogue process that you know of (eg new networks, new relationships, better understanding, more coherence in the sector)?

### Finally

- Overall, what were the main factors, in your view, affecting the success or failure of these dialogue processes (eg design, timing, who was there)?
- What are the main lessons, from your involvement in these dialogues, that you think should be taken into account in designing any future dialogue processes on waste management?

Is there anything else you would like to say about your involvement in these dialogues?

# EVALUATION OF WASTE DIALOGUE PROCESSES QUESTIONNAIRE FOR ALL PARTICIPANTS

## Completing the Questionnaire

The questionnaire should take no more than 15-20 minutes to complete. There are four sections of questions, which address your involvement in the National Waste Dialogue (NWD), waste management, dialogue processes and impacts and outcomes.

Most questions are quick and simple tick boxes, although some are more open-ended. **Unless otherwise stated, please select one option by ticking on the appropriate box.** For open-ended questions, please feel free to comment as much or as little as you like. Simply type in your response as you would in a word document.

**Step 1** Complete the next steps section at the bottom of this page.

**Step 2** Answer as many questions as are relevant to you. Please just skip those that are not appropriate to your experience.

**Step 3** Return to The Environment Council

## Returning the Questionnaire

### Electronically

- 1 Follow the instructions outlined above to complete the questionnaire;
- 2 Save this document; and
- 3 Forward the completed response file back to Faye Scott , Projects Assistant, The Environment Council at fayes@envcouncil.org.uk

### By mail

- 1 Print off the questionnaire;
- 2 Follow the instructions outlined above to complete the questionnaire; and
- 3 Post completed response to Faye Scott, Projects Assistant, The Environment Council, 212 High Holborn, London, WC1V 7BF

### Return Date

Please return your completed questionnaire as soon as possible, but by Friday September 26th.

### Queries

If you have any queries or difficulties in completing or returning the questionnaire, please contact: Faye Scott, Projects Assistant, on 020 7632 0109 or at fayes@envcouncil.org.uk

### Or

Eloise Frawley, Project Coordinator on 020 7632 0110 or at eloisef@envcouncil.org.uk

## Next Steps

- I would be interested to receive a brief summary of the questionnaire analysis
- I would be interested in attending a half-day workshop to discuss lessons from the evaluation and plans for the future (to be held on 30 October 2003)
- I would be prepared to participate in an internet-based review of the draft evaluation report

Please provide your contact details (Details will remain confidential. Anonymity is assured):

Name \_\_\_\_\_

Position title \_\_\_\_\_

Organisation \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Telephone number \_\_\_\_\_

Email address \_\_\_\_\_

## SECTION 1: ABOUT YOU

### Your current role and position:

#### How would you describe your position now?

- Local government officer
  - Local government elected official
  - National government civil servant
  - Government agency employee
  - Local / regional NGO / voluntary organisation employee
  - Waste industry employee
  - Consultant
  - Other (please specify):
- 

#### Is waste management now the:

- Main focus of your job
  - A new part of your job
  - One of the main issues you deal with
  - A peripheral interest
  - A small part of your job
  - Other (please specify):
- 

### Your involvement in the National Waste Dialogue:

A summary of the National Waste Dialogue is outlined in the cover letter accompanying this questionnaire for your information.

#### How would you describe your involvement in the NWD?

- Deeply involved throughout the process and attended a lot of meetings
  - Quite involved, and attended one or two meetings
  - Not very involved, and attended one or two meetings
  - Cannot remember exactly
  - Other (please specify):
- 

### Why you got involved:

#### Why did you get involved in the NWD? (Please tick all that apply)

- To be in dialogue with others in the waste field to crack joint problems
  - It was important that my organisation / interests were represented
  - To network / meet people in the field
  - It was part of my job
  - To influence / change policy
  - To influence other participants
  - To improve practice in the field
  - To share my experience / knowledge
  - To learn more about the issues / good practice etc.
  - To learn more about other people's views
  - To learn more about stakeholder dialogue processes
  - Other (please specify)
- 

**To what extent did the process meet your expectations?** (Please indicate by selecting one option for each of the objectives that you identified above.)

To be in dialogue with others in the waste field to crack joint problems

- Fully
  - Mostly
  - A bit
  - Not at all
  - Other (please specify)
- 

It was important that my organisation / interests were represented

- Fully
  - Mostly
  - A bit
  - Not at all
  - Other (please specify)
- 

It was part of my job

- Fully
  - Mostly
  - A bit
  - Not at all
  - Other (please specify)
- 

To network / meet people in my field

- Fully
  - Mostly
  - A bit
  - Not at all
  - Other (please specify)
- 

To influence / change policy

- Fully
  - Mostly
  - A bit
  - Not at all
  - Other (please specify)
- 

To influence other participants

- Fully
  - Mostly
  - A bit
  - Not at all
  - Other (please specify)
-

To improve practice in the field

- Fully  
 Mostly  
 A bit  
 Not at all  
 Other (please specify)
- 

To share my experience / knowledge

- Fully  
 Mostly  
 A bit  
 Not at all  
 Other (please specify)
- 

To learn more about the issues / good practice etc.

- Fully  
 Mostly  
 A bit  
 Not at all  
 Other (please specify)
- 

To learn more about other people's views

- Fully  
 Mostly  
 A bit  
 Not at all  
 Other (please specify)
- 

To learn more about stakeholder dialogue

- Fully  
 Mostly  
 A bit  
 Not at all  
 Other (please specify)
- 

Other (please specify):

- Fully  
 Mostly  
 A bit  
 Not at all  
 Other (please specify)
- 

**Have you been involved in these sorts of stakeholder dialogue processes before?**

- Often  
 A few times  
 Once  
 Never  
 Other (please specify):
- 

## SECTION 2: WASTE MANAGEMENT

**Nature of waste management problems:**

**The National Waste Dialogue (NWD) had a focus on national strategic waste management. Was this an appropriate focus?**

- Yes  
 No

**What do you think were the advantages and disadvantages of this national focus?**

---

**A key theme of the NWD was strategic policy. Was this an appropriate focus?**

- Yes  
 No

**What do you think were the advantages and disadvantages of this strategic focus?**

---

**Is there a need in tackling waste management, to bring all parties together to discuss and agree actions and recommendations?**

- Yes  
 No

**If so, what makes this necessary?**

---



---

**Are there other processes that could work better to solve the problems facing strategic waste management?**

- Yes
- No

**If so, can you recommend other approaches that could have been more effective?**

---

---

**Context**

**What else was going on at the time, in terms of waste management?**

*(Please tick all that apply)*

- A large number of similar initiatives
- A few other similar initiatives
- Changes in government policy
- Changes in NGOs policy and practice (green or waste)
- Changes in local government policy and practice
- Not much else going on
- Other (please specify)

---

---

**Were you personally involved in other participatory workshops on waste management during the same period as the NWD?**

- Yes
- No

**If so, who were these other workshops run by and how did they compare to the NWD? *(Please tick all that apply)***

Organisation

- Less effective than the NWD
- About the same as the NWD
- More effective than the NWD

A government department (please state which one):

- Less effective than the NWD
- About the same as the NWD
- More effective than the NWD

Environment Agency

- Less effective than the NWD
- About the same as the NWD
- More effective than the NWD

Other government agency (please state which one):

- Less effective than the NWD
- About the same as the NWD
- More effective than the NWD

Other industry (e.g. manufacturers, retailers)

- Less effective than the NWD
- About the same as the NWD
- More effective than the NWD

Industry trade body

- Less effective than the NWD
- About the same as the NWD
- More effective than the NWD

A local authority

- Less effective than the NWD
- About the same as the NWD
- More effective than the NWD

A national body for local government

- Less effective than the NWD
- About the same as the NWD
- More effective than the NWD

A regional body (e.g. assembly, Regional Development Agency)

- Less effective than the NWD
- About the same as the NWD
- More effective than the NWD

A national NGO / voluntary organisation

- Less effective than the NWD
- About the same as the NWD
- More effective than the NWD

A local / regional NGO / voluntary organisation

- Less effective than the NWD
- About the same as the NWD
- More effective than the NWD

Other (please specify):

- Less effective than the NWD
- About the same as the NWD
- More effective than the NWD

---

**In your experience, did the NWD link to these other debates / processes?**

- Extensively
- Quite a lot
- A bit
- Not very much
- Not at all

**Did it matter whether there were strong links to the other debates / processes?**

- Yes  
 No

**Comment:**


---



---

**What sort of position did the two phases of the NWD have in the wider context of what else was happening at the time? (Please indicate for each phase below)**

## Phase 1

- Central  
 Influential  
 Marginal / one of many  
 Sidelined / not important  
 Did not register at all on other debates

## Phase 2

- Central  
 Influential  
 Marginal / one of many  
 Sidelined / not important  
 Did not register at all on other debates

## Whole Process

- Central  
 Influential  
 Marginal / one of many  
 Sidelined / not important  
 Did not register at all on other debates

**Meeting the stated original objectives on waste management:**

**There were different objectives for the first two phases of the NWD, as outlined below. (Please indicate against each objective the extent to which you feel that they were met)**

**Phase 1** To identify the key issues affecting progress towards sustainable waste management

- Met completely  
 Met largely  
 Met slightly  
 Not met at all

**Phase 1** To identify ways to address barriers to progress

- Met completely  
 Met largely  
 Met slightly  
 Not met at all

**Phase 2** To tackle the complex and contentious issues surrounding the planning and decision making process for new waste facilities

- Met completely  
 Met largely  
 Met slightly  
 Not met at all

**Phase 2:** To make recommendations on how these issues can be addressed

- Met completely  
 Met largely  
 Met slightly  
 Not met at all

**Phase 2** To build relationships and understanding among stakeholders engaged in and affected by waste related decision-making

- Met completely  
 Met largely  
 Met slightly  
 Not met at all

**Did these objectives seem to you to be the key issues for sustainable waste management at the time?**

- Yes  
 No

**If these were not the right objectives, what was wrong with them?**


---



---

**Who was involved in the NWD:**

**Were the right people (e.g. right status, skills, organisational mix) at the event(s) you attended to achieve what was wanted?**

- Yes  
 No

**If so, who was there that was particularly important?**


---



---

**If not, who was missing?**


---



---

**The public were not involved as stakeholders in the NWD. Was that appropriate?**

- Yes  
 No

**Comment:**


---



---

**Were the stakeholders who attended representative of the parties who had an interest in national strategic waste management?**

- Yes
- No

**Did it matter whether the stakeholders were representative?**

- Yes
- No

**Comment:**

---

---

**Did the event(s) reach stakeholders from traditionally excluded / under-represented sectors or constituencies?**

- Yes
- No

**Did it matter whether traditionally excluded stakeholders were involved?**

- Yes
- No

**Comment:**

---

---

**Were those who were responsible for changing policy involved?**

- Yes
- No

**Did it matter whether policy-makers were involved?**

- Yes
- No

**Comment:**

---

---

**Was there adequate representation of elected politicians (local or national) in the NWD?**

- Yes
- No

**Comment:**

---

---

## What is needed now for waste management:

**From your current perspective, what do you think are the current strategic waste management priority issues for which stakeholder dialogue is appropriate and what needs to be done? (Please tick all that apply)**

Regionalisation

- Policy development by government and others
  - Decision making by government
  - Investing resources
  - Implementation by all parties
  - Monitoring and evaluation
  - Other (please specify):
- 

Concepts of resource productivity

- Policy development by government and others
  - Decision making by government
  - Investing resources
  - Implementation by all parties
  - Monitoring and evaluation
  - Other (please specify):
- 

Energy from waste

- Policy development by government and others
  - Decision making by government
  - Investing resources
  - Implementation by all parties
  - Monitoring and evaluation
  - Other (please specify):
- 

Producer responsibility

- Policy development by government and others
  - Decision making by government
  - Investing resources
  - Implementation by all parties
  - Monitoring and evaluation
  - Other (please specify):
- 

Other (please specify):

---

- Policy development by government and others
  - Decision making by government
  - Investing resources
  - Implementation by all parties
  - Monitoring and evaluation
  - Other (please specify):
-

## SECTION 3: DIALOGUE PROCESSES

### Costs and benefits:

The evaluation is seeking to assess the costs and benefits of the National Waste Dialogue to the various parties involved. Do you know how much time / days you put into the NWD?

- Yes  
 No

**Comment:**

---



---

**If so, please give a rough estimate:**

---

**Did you have to account for the costs of your involvement in the NWD (e.g. to an employer or colleagues)?**

- Yes  
 No

**Comment:**

---



---

**Is there anything that would have helped you justify your involvement in the NWD? (Please tick all that apply)**

- Payment of costs for organisations / individuals without resources  
 Accreditation for Continuing Professional Development (CPD)  
 Accreditation as part of Corporate Social Responsibility / environmental reporting  
 Other (please specify):

---

**Overall, did you feel that:**

- The benefits of you being involved in the NWD were greater than the costs  
 The benefits were roughly equal to the costs  
 The benefits were less than the costs  
 There were no real benefits  
 Other (please specify):

---

### Quality of the actual dialogue:

**Did the design / delivery of the events enable you to contribute fully?**

- Yes  
 No

**If so, what helped?**

---



---

**If not, what were the problems?**

---



---

**Did you feel that you could influence the agendas and procedures of the events you attended?**

- Yes  
 No

**Did being able to influence the agendas and procedures of the events that you attended matter in terms of what you got out of it, and whether the processes worked?**

- Yes  
 No

**Comment:**

---



---

**Did you feel that the meetings you attended were open?**

- Yes  
 No

**Comment:**

---



---

**Did you feel that the meetings you attended were transparent?**

- Yes  
 No

**Comment:**

---



---

**Did you feel that the meetings you attended were accountable?**

- Yes
- No

**Comment:**

---

---

**How important are openness, transparency and accountability to processes of this sort?** (Please select one option for each factor)

Openness

- Very important
- Fairly important
- Not very important
- Not at all important

Transparency

- Very important
- Fairly important
- Not very important
- Not at all important

Accountability

- Very important
- Fairly important
- Not very important
- Not at all important

All three of the above

- Very important
- Fairly important
- Not very important
- Not at all important

**Overall, did you feel that, for you, the NWD had been**

(Please tick all that apply)

- Enjoyable
- Useful
- Influential
- Interesting
- Other (please specify):

---

**Given your experience of the NWD, would you be prepared to be involved in stakeholder dialogue processes on waste again?**

- Yes
- No

**Comment:**

---

---

**Would the design of the process need to change to encourage you to be involved again?**

- Yes
- No

**If so, what changes would you recommend?**

---

---

**What were the most effective aspects of the NWD, and why?**

---

---

**Do you have any ideas about how the aspects of the NWD that you have identified as most effective could be further improved?**

---

---

**What were the least effective aspects of the NWD, and why?**

---

---

**Any ideas on how these could be remedied / improved?**

---

---

### The Environment Council leading the process:

**Did it make any difference to you, at the time, as a participant, that the NWD was led (and sponsored) by an independent facilitating organisation?**

- Yes
- No

**If so, in what ways?**

---

---

**Did you know that The Environment Council (TEC) was leading the NWD?**

- Yes
- No

**Comment:**

---

---

Did it make any difference to you that the NWD was led by TEC?

- Yes  
 No

If so, in what ways?

---



---

What were the main advantages of TEC taking a proactive role in leading the NWD?

---



---

What were the main disadvantages of TEC taking a proactive role in leading the NWD?

---



---

Given this experience, what lessons could TEC learn for the future?

---



---

How do you see TEC? (Please tick all that apply)

- As an independent facilitating organisation  
 As an environmental NGO  
 As experts in stakeholder dialogue  
 Other (please specify):

---

Did your view of TEC change as a result of the NWD?

- Yes  
 No

If so, in what ways did your view of TEC change?

---



---

Is there anything else you would like to tell us about TEC's role in leading the NWD?

---



---

## SECTION 4: IMPACTS AND OUTCOMES

Influencing waste policy and practice:

The National Waste Dialogue (NWD) identified policy change as a key theme. How much impact did the NWD actually have on waste management policy?

- A great deal  
 Quite a lot  
 A bit  
 Not much  
 None at all

Does it matter whether the NWD had an impact on policy?

- Yes  
 No

Comment:

---



---

Can you briefly describe any specific examples of policy change as a result of the NWD (in your own organisation, within government or elsewhere)

---



---

There are often said to be four stages in the policy process - agenda setting, policy drafting, implementation and monitoring. At which stage(s) of the policy process do you think dialogue processes can have the most impact? (Please tick all that apply)

- Agenda setting  
 Policy drafting / development  
 Implementation  
 Monitoring and evaluation  
 None of these  
 Other (please specify):

---



---

Do policy recommendations from a dialogue process have more influence over Government and other policy makers than other approaches to policy influence?

- Yes  
 No

If so, why?

---



---

**How much impact did the NWD have on national and local action on waste management?**

- A great deal
- Quite a lot
- A bit
- Not much
- None at all

**Can you briefly describe any specific examples of action on the ground which resulted from the NWD?**

---

---

**Does it matter whether the NWD affected action on the ground?**

- Yes
- No

**Comment:**

---

---

**Did the NWD focus sufficiently on action by the stakeholders involved?**

- Yes
- No

**Comment:**

---

---

**Did the NWD affect your own organisation's activities in relation to waste?**

- Yes
- No

**Comment:**

---

---

**Can you give any examples of changes to your own organisation's activities in relation to waste that resulted from the NWD?**

- Yes
- No

**Comment:**

---

---

**Do you know of any examples where the NWD changed practice elsewhere?**

- Yes
- No

**Comment:**

---

---

**Are there any other impacts on strategic waste policy and practice, positive or negative, that you can identify as resulting from the NWD?** (Please describe)

- Yes
- No

**Comment:**

---

---

**Can you suggest any additional ways in which the NWD could have had greater impact on policy and action?**

---

---

### Strengths and weaknesses of the National Waste Dialogue:

**What would you say were the main strengths of the NWD in tackling waste management issues?** (Please tick all that apply)

- Gaining agreement among stakeholders on joint priorities
- Raising awareness of the issues
- Improving coordination
- Strengthening networks
- Collective lobbying
- Consensus building
- Developing trust and understanding between stakeholders
- No strengths
- Other (please specify):

---

---

**What would you say were the main weaknesses of the NWD in tackling waste management issues?** (Please tick all that apply)

- Acting as a diversion / smokescreen
- Time consuming
- No weaknesses
- Separation from decision making process
- Other (please specify):

---

---

**Are there other (already established) processes which are more appropriate than the NWD was in developing policy and practice (e.g. long term structures such as commissions or Regional Technical Advisory Boards)?**

- Yes  
 No

**Comment:**

---



---

### Personal benefits:

**Did you gain personally from your involvement in the NWD?**

- Yes  
 No

**If so, what were the personal benefits** *(Please tick all that apply)*

- New contacts / networks  
 Personal confidence  
 Increased personal profile  
 Increased status  
 New skills  
 Other (please specify):

---



---

**What would have helped you get more from the NWD?**

---



---

### Learning from the National Waste Dialogue:

**Did you learn personally from your involvement in the NWD?**

- Yes  
 No

**What sorts of things did you learn?** *(Please tick all that apply)*

- New priorities for your own organisation / sector  
 Strategic waste management policy, practice, issues  
 What others were thinking (including values and concerns)  
 What others were doing  
 Which other bodies were in the field  
 Skills in working with others  
 About stakeholder dialogue processes  
 Other (please specify):

---



---

**Can you offer any specific lessons to others in the field of waste management as a result of your involvement in the NWD?**

---



---

**How effective were these dialogue processes as a learning experience?**

- Excellent  
 Good  
 OK  
 Not very good  
 No good at all  
 Other (please specify):

---



---

**What could have improved the NWD as a learning experience?**

---



---

### Building trust, relationships and understanding:

**Did the NWD build new or better trust, relationships and understanding among those involved (e.g. reduce misunderstanding and openly examine assumptions)?**

- Yes  
 No

**If so, what was there specifically about the NWD which built trust, relationships and understanding?**

---



---

**Can you briefly describe any examples of how better trust, relationships an understanding, built as a result of the NWD, have changed anything (e.g. new partnerships or networks)?**

---



---

**Is building trust, relationships and understanding important for strategic waste management?**

- Yes  
 No

**Comment:**

---



---

### Overall impacts:

What do you think were the main differences made as a result of the NWD?

---

---

Were there any other specific achievements of the NWD that you know of (e.g. new networks, new relationships, better understanding, more coherence in the sector)?

---

---

### Finally:

Overall, what were the main factors in your view, which made the NWD a success or failure? (Please tick all that apply)

Design of the overall approach

- Contributed to success
- Contributed to failure

Design of the different specific events

- Contributed to success
- Contributed to failure

Delivery of the dialogue processes (e.g. facilitation, organisation etc.)

- Contributed to success
- Contributed to failure

Links to decision-making processes

- Contributed to success
- Contributed to failure

Lack of links to decision-making processes

- Contributed to success
- Contributed to failure

Role taken by The Environment Council

- Contributed to success
- Contributed to failure

Timing of these processes, given other events on waste policy

- Contributed to success
- Contributed to failure

Who was there (or not there)

- Contributed to success
- Contributed to failure

Other (please specify):

---

---

What are the main lessons, from your involvement in these dialogues, that you think should be taken into account in designing any future dialogue processes on waste management?

---

---

Is there anything else you would like to say about the NWD?

---

---

**MANY THANKS FOR TAKING THE TIME TO COMPLETE THIS QUESTIONNAIRE. YOUR RESPONSES WILL CONTRIBUTE TO THE FINAL REPORT TO BE PRODUCED AT THE END OF THE EVALUATION.**

# Appendix 5 - Report of Evaluation Workshop

Half day workshop held on 30 October 2003 at Chartered Institute of Environmental Health, London

## 1. Workshop Aims

- To have an opportunity to hear and comment on the key findings from the National Waste Dialogue evaluation
- To consider how learning from the evaluation can be used in future processes run by The Environment Council or others
- To explore which waste issues would benefit from new dialogue processes.

A full list of participants is given in Appendix 5a.

## 2. Introductory presentations

Mike King, Chief Executive of The Environment Council (TEC), introduced the workshop. He explained that this event was formally the final meeting of the National Waste Dialogue (NWD), and that it provided an opportunity to discuss the initial findings from the evaluation of the NWD commissioned by TEC. He also mentioned some of the current projects TEC is running that are taking the messages from the NWD (e.g. the National Resources and Waste Forum, and the waste tyres dialogue). Barbara Herridge, Executive Director of WasteWatch and a member of the NWD evaluation Advisory Group, summarised the NWD's events and outputs.

## 3. Evaluation findings to date

Diane Warburton, of Shared Practice and leader of the NWD evaluation team, presented some initial findings from the interview and questionnaire elements of the evaluation research. She summarised the purpose of the evaluation, how it was being carried out, and the initial findings on whether the right people were involved, the wider waste policy context surrounding the NWD, whether the right waste issues were identified, the quality and effectiveness of the dialogue process itself, and the impacts and outcomes of the NWD.

The questions and answer session that followed generated the following points:

### Policy impacts:

- Will there be a review of impact in a year's time? This is not planned but it would be good
- These changes at a strategic level take a long time to materialise

### Involvement of Defra:

- Defra would get involved again as long as the lessons learned are implemented in future

### Dealing with contention:

- The issues addressed in detail by the NWD were decided by consensus among the participants, resulting in the selection of less contentious issues

### Personal outcomes / benefits:

- Participants made individual contacts through the process which may have impacts
- This could be especially significant in the implementation of the conclusions
- Building and strengthening networks are more than personal benefits; networks are important to a well-functioning system of involvement.

## Steering Group

- A Steering Group existed in both phases of the NWD
- Defra took more of a lead in the Steering Group in phase 2
- The focus was on managing the different sub-groups and preventing overlap etc.
- More 'overview' and focus was needed to enable everyone to 'see the wood for the trees'
- The relationships between the various steering and sub-groups may need further review as part of the evaluation

### Individual change:

- There were doubts that many peoples' opinions have really changed despite the process

### Role of Politicians / Representation:

- There is uncertainty over whether politicians should have been involved or not; it had been decided not to invite them to phase 2 of the NWD
- There is a need to explore this more for the future
- There was a lack of local / regional group involvement

### Expectations:

- Many people weren't familiar with stakeholder dialogue, so there was a wide range of expectations for the process
- Personal learning?
- National problem solving / policy-making?
- Future dialogue processes need greater clarity to be able to manage expectations more effectively

### Stakeholders:

- Were the right stakeholders there? Sense that senior people sent lower status people so their organisation was represented but did not have to take up the time of senior staff. Need for do-ers and planners to be involved.

### Ownership of Problem:

- No 'one' party had ownership of the problem
- This caused a lack of clarity over the focus / audience of the work
- The mandate for creating change wasn't necessarily present
- There was a lack of 'agency': people who attended were not necessarily those who could make change happen
- Stakeholders sometimes lacked a mandate from their constituency, and failed (may not have been time) to agree actions / mandates from the NWD meetings to take back to their organisations

### Timescale of process:

- It was long and open-ended
- Could have considered using other processes that are more rapid and condensed.

## 4. Key lessons

From the previous session, the following issues were identified as the key areas for more in depth discussion:

- Representation (including the role of politicians in dialogue processes)
- Steering groups for dialogue processes (roles, what works etc)
- How to deal with contentious issues
- Alternative methods / techniques

Each of these is covered in more detail below.

#### 4a Role of Politicians

- Local and national politicians do need to be engaged and involved: the question is how? Attendance at workshops may not be the answer - possibly need a parallel but linked process
- Politicians do not currently have a full understanding of participation: they may feel more comfortable if they understood that stakeholder dialogue is only one part of the decision-making process
- Local authority councillor briefing / training could be part of the answer (now becoming more accepted for new councillors and on new topic areas); IDeA / LGA may be able to help provide such training. Alternatively, the Waste Implementation Programme (WIP) agreed as part of Government's response to the Cabinet Office 'Waste Not, Want Not' report, will include some material through the New Technology work stream designed to engage local authority leaders, councillors and local people. Defra is leading on this.
- Different 'levels' of politicians have different roles
- It is hard to get politicians involved as they are very busy
- Tackling issues that highlight conflict and disagreement over implementation could engage politicians.

#### 4b Representation

- Clarity over the mandate of people engaged in dialogue processes is needed
- The way people participate is affected by who the problem-holder (or target for views) is perceived to be
- Stakeholders may represent their organisations and need to feed back to them, but 'non-attribution' of comments allows people to participate as individuals and contribute their own views as well: consensus is reached by the individuals present
- A pre-participation 'pack' could improve clarity around representation by being clear that feedback to constituencies will be expected and by providing guidance on expected roles in the dialogue events and afterwards, and on preparatory briefings within the participant's own organisation so they come with a relatively clear mandate
- Could ask people explicitly to discuss their mandates so that everyone is clear about what needs to go back to participating organisations
- Different approaches will be needed depending on whether the focus is conflict resolution between entrenched views, and stakeholder dialogue
- Is it possible to mix 'individuals' and 'representatives' in a single event / process?

#### 4c Steering Groups

The participants suggested that steering groups for dialogue processes should:

- Provide leadership (to lead and progress the dialogue): and define what this means in practice at each stage
- Takes overall responsibility ('the buck stops here')
- Ensure the role of the steering group is clear to all stakeholders
- Ensure inclusion of all stakeholders by identifying them and working to secure their involvement
- Be ambassadors for the process and ensure links to others, including raising the profile of the exercise
- Provide project management and direction
- Set the Terms of Reference, agree the model of engagement and revise when necessary
- Set the priorities and make decisions
- Identify responsibility for outputs (directly / indirectly) and make sure that implementation happens
- Ensure the project achieves its aims (including meeting the terms of any funding)

- Be responsible for communication / co-ordination (including between any sub-groups, and with participants)
- Ensure the real commitment of the stakeholders to the outputs of the process
- Establish a formal sign-up process; this could be made more robust (in the 'pack'?)
- Ensure clarity about the role of the Steering Group in relation to the process manager / convenor
- Ensure clarity about the role of the facilitator within the Steering Group (should perhaps be a member of the Steering Group rather than facilitating the Steering Group)
- Ensure clarity of the relationship between the funder and the Steering Group, and with the wider group of stakeholders.

#### 4d Contentious Issues

- One way of tackling contentious issues is to place them in a wider context so that the contentious aspects are seen as part of a bigger picture
- Need to use a whole range of methods to tackle contentious issues, including broader communications strategies
- Politicians need to be able to recognise the benefits of using dialogue as part of a continuing process, not just try to bring it in to solve 'end of pipe' problems when a crisis erupts. However, also need to recognise that a whole new set of people may become involved if a crisis does erupt.
- May need to push contentious issues 'up the pipe' so they are dealt with earlier on: start with the really difficult issues to get everyone involved and highlight the significance of the issues e.g. include site-related stakeholders at the start and discuss sites for incineration as well as the principles of waste management
- Need to recognise that contention often stems from uncertainty, so need to manage this uncertainty up front
- The consensus process used for the NWD had resulted in the selection of less contentious issues. Contentious issues had been identified but not prioritised, despite encouragement from the facilitator to do so. This was felt to be possibly because participants wanted to focus on achievable outputs, and/or because they felt the specific contentious issues were not appropriate to a national dialogue (eg planning for facilities was identified as an issue for discussion, but was felt to be a local issue and was therefore excluded)
- Dialogue events need a narrower and more strategic focus so can invite (and get involvement from) the most appropriate stakeholders
- Contentious issues need a 'face' and people take sides. In the NWD, there was no single body which owned the problem, so there was no 'face'. However, no single body is responsible for sustainable waste management overall: it is a 'wicked issue' where no single organisation is responsible or can solve the problem alone.
- The pressure on the process increases as contention increases, so maybe it is right that the easier issues were addressed. Contentious issues require a very tightly managed process.

#### 4e Other Processes / Techniques

- Processes such as people's / citizens' juries may be appropriate where rational debate is needed. In this method, usually non-professional people ('ordinary' citizens) hear evidence, question experts and come to conclusions. Have been used on health and environmental issues.
- Scenarios can be useful in identifying issues (using utopian / positive or nightmare / negative scenarios, or in between)
- Simple use of strong chairing / facilitation to focus discussions

- Examine good practice, especially learning from contentious issues elsewhere. Good practice in waste policy often tends to focus on the technology and needs to also look at citizen and stakeholder involvement. Examples might include SELCHP (an interesting process in a combined heat and power plant), and building wind farms (where residents have been to areas of potential new developments to say what it is like having one built nearby).
- Online involvement can be useful in some circumstances, including where people feel uncomfortable because there is a lot of conflict. Also offers flexibility in that people can participate at times that suit them.
- Theatre has been used e.g. on homelessness policy issues, as a way of giving homeless people a voice by allowing them to translate their experience into public statements.
- Need to think carefully about how to integrate these new methods of involving stakeholders into established traditional policy, decision-making and implementation processes.

## 5 Next steps

- This full report of the workshop is being circulated to all participants, and those invited but not able to attend.
- A draft of the full report of the evaluation of the NWD will be produced, taking into account points raised at the workshop alongside responses to the interviews and questionnaires. The draft report to be circulated to all workshop participants / invitees, and to all others who have said they wanted to comment on it.
- A final report of the evaluation to be produced for publication early in 2004.
- The Environment Council will consider a further review of the impacts of the NWD in 12 or 24 months time, to assess the longer term impacts.

## Appendix 5a. PARTICIPANTS IN THE WORKSHOP, 30 October 2003

All those on the cumulative mailing list from the National Waste Dialogue were invited to the workshop. The actual participants (see below) were relatively representative of all those who had been involved in the process, both in terms of the range of organisations (Defra, local authorities, NGOs, private sector, community groups, consultants), and in terms of levels of involvement (with people from the Steering Group, sub-group members, people who had been at the start and others who had joined later, people who had attended many meetings and those who had attended only a few). There were also one or two participants who were representing organisations which had been involved even though they had not been involved personally.

Rob Angell	NWD Facilitator
Roland Arnison	SWAP
Angela Bethell	Hampshire County Council
Terry Betts	RTPI
Armin Bobsien	Construction Research and Innovation Panel
Tony Cook	Hampshire County Council
Jacqueline Dale	Composting Association
Barbara Herridge	WasteWatch
Sarah Kemp	Essex County Council
Mike King	TEC Chief Executive
Tim Pinder	RMC Group plc
Cherry Read	Defra
Ernie Sharp	CIWM
Clare Taylor	Clare Taylor Consulting
Sophie Unwin	Freelancer, reporting to Women's Environmental Network

### Facilitated by:

Pippa Hyam, Dialogue by Design  
Rhuari Bennett, TEC facilitator

### NWD Evaluation project team:

Eloise Frawley	TEC Project Co-ordinator
Anthony Perret	TEC
Faye Scott	TEC Project Administrator
Diane Warburton	Shared Practice, Project Director
Richard Wilson	TEC

# Appendix 6 - Stakeholders

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## Phase 1

AEA Technology  
Aluminium Packaging Recycling Organisation (ALUPRO)  
Aylesford Newspring Ltd  
Berrymans  
Bio-Regional  
Bristol City Council  
British Cement Association  
British Retail Consortium  
Building Research Establishment (BRE)  
CIRIA  
Clare Taylor Consulting  
Cleanaway  
Colin Burford Associates  
Composting Association  
Cory Environmental  
Countryside Agency  
Crane Environmental  
CRISP  
Department of the Environment, Transport and the Regions (DETR)  
Department of Trade and Industry (DTI)  
Dixons Stores Group  
Energy from Waste Association (EWA)  
Enventure Ltd  
Environment Agency  
Environmental Services Association  
Evolve Composting  
Federation of Small Businesses (FSB)  
Forest Recycling Project (FRP)  
Forum for the Future  
Friends of the Earth  
Green Alliance  
Hampshire County Council  
HM Customs and Excise  
HM Treasury  
Improvement and Development Agency (IDeA)  
Institute of Wastes Management (IWM)  
Kingston University  
Local Authority Recycling Advisory Committee (LARAC)  
Local Government Association (LGA)  
London Borough of Bexley  
London Borough of Camden  
London Borough of Ealing  
London Borough of Hounslow  
London Waste Ltd  
National Farmers Union  
Onyx Ltd  
Open University  
REBAT  
Recoup  
Recylatex  
The Recycling Consortium  
Recycling Industries Alliance  
Remade Kernow  
Richmond EcoAction  
RMC Environment Fund  
RMC Group plc  
Royal Borough of Kensington and Chelsea  
Salvation Army Trading Company Ltd  
Save Waste and Proper (SWAP)

The Shaftesbury Society  
Shanks  
S.I.T.A. (GB) Ltd  
South Gloucestershire Council  
South West England Environmental Trust (SWEET)  
Stockport Borough Council  
Surrey County Council  
Sustainable Development Commission  
Tonbridge and Malling Borough Council  
Transport 2000  
University College London (UCL)  
University College Northampton (UCN)  
University of Birmingham  
University of East Anglia  
University of Plymouth  
University of West of England (UWE)  
Urban Mines Ltd  
Valpak Ltd  
Waste Tyre Solutions (WTS)  
Waste Watch  
West London Waste Authority  
Western Riverside Waste Authority

## Phase 2

Aluminium Packaging Recycling Organisation Ltd (ALUPRO)  
BCV  
Biffa Waste Services Ltd  
British Cement Association  
Building Research Establishment (BRE)  
Cambridgeshire County Council  
Centre for Environmental Strategy, University of Surrey  
Cheshire County Council  
City of London  
Communications consultant  
Community Recycling Network  
Composting Association  
Construction Industry Research and Information Association (CIRIA)  
Cory Environmental  
Council for the Protection of Rural England (CPRE)  
Crane Environmental  
CSERGE  
Cylch-Wales CRN  
Department of the Environment, Farming and Rural Areas (Defra)  
Dorset County Council  
Department of Trade and Industry (DTI)  
Department of the Environment, Transport, Local Government and the Regions (DTLR)  
English Nature  
Environment Agency  
Environmental Services Association  
Enviros Aspinwall Ltd  
Essex County Council  
Furniture Recycling Network  
Government Office for the South East  
Greater London Authority  
Green Alliance  
Hampshire County Council  
Hampshire Waste Services Ltd  
Neil Head  
Institute of Wastes Management (IWM)

Isle of Man Government Laboratory  
David Jameson  
Leeds Metropolitan University  
London Assembly  
Local Authority Recycling Advisory Committee (LARAC)  
London Borough of Bexley  
London Waste Ltd  
Fiona MacIntosh  
National Assembly for Wales  
National Farmers Union  
National Waste Awareness Initiative  
Onyx Ltd  
Oxford Brookes University - School of Planning  
Performance and Innovation Unit, Cabinet Office  
Planning Officers Society  
Recoup  
Recycling Industries Alliance  
RMC UK Ltd  
Royal Institute of Town Planners  
SERPLAN - Essex County Council  
Shanks Group plc  
S.I.T.A. UK Holding Ltd  
Theodore Goddard  
TJB Planning Consultancy  
Truro Council  
University of Cambridge  
University of East Anglia  
Warwickshire County Council  
Waste and Resources Action Programme (WRAP)  
Waste Watch Services Ltd  
Wastenet  
WWF U

