

# Evaluation of the Household Waste Incentives Pilot Scheme

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Final Report to Defra (Waste Strategy Division)

July 2006

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<b>Title</b>	Evaluation of the Household Waste Incentives Pilot Scheme
<b>Customer</b>	Defra (Waste Strategy Division)
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# Executive Summary

The Government recognises that changing householder behaviour is key to driving forward household waste reduction, re-use and recycling performance. In November 2002 the Strategy Unit report '*Waste not, Want not*' recommended that local authorities should be allowed to take forward household incentive and charging schemes. The Strategy Unit saw this as an important tool to effectively engage with householders and encourage them to manage their waste more sustainably.

Subsequent research<sup>1</sup> commissioned by Defra in 2004 revealed that local authorities in England already operate a wide variety of schemes rewarding householders for positive behaviour in the way they deal with their waste. The research also revealed, however, that there has been little systematic evaluation of the costs and benefits of these schemes. The primary recommendation was therefore to support the commitment made in Defra's Five Year Strategy (December 2004) to undertake a pilot scheme to bring together a robust evidence base on the effectiveness of different incentive approaches.

In March 2005 the Environment Minister launched Defra's pilot study of local authority household incentives in England. The aim of this study was to evaluate the effectiveness of a comprehensive range of incentive schemes in encouraging householders to reduce, reuse, recycle and compost their waste.

From the 94 applications received from local authorities, 51 proposals were originally selected, requesting Defra funding support of around £3.5m. The pilots that were selected involved a variety of different types of incentive, ranging from community league tables with environmental enhancements for the winning area, to pledges leading to equipment for schools, although the most popular were lottery-style prize draws. Several of the selected pilots proposed the use of waste weighing technology to further assist in the accurate measurement of the impact of incentives. The proposals were selected to test the value of incentives on a whole range of different target populations, ranging from villages to high-rise estates, and from the highest performers (where the focus is on waste minimisation and on reducing contamination in recycling collections) to the lowest (where the focus is on encouraging more people to recycle). In total 100 districts and boroughs were involved in the pilots, as well as community groups and private sector organisations, and trial areas covered over 5.2 million households in England.

Local authorities assessed the outcomes and success of the pilot incentive schemes by monitoring a number of different data sets, including:

- monthly recycling tonnage figures (e.g. for control and incentivised collection rounds)
- pre and post-project participation rate monitoring (e.g. of a sample of residents on both control and incentivised collection rounds)
- the percentage of households actively engaging in the incentive (e.g. registering pledges to recycle)
- measurement of contamination rate by waste analysis studies and/or monitoring the number of rejected loads at transfer stations and MRFs.
- coverage of the project by the local media
- awareness and attitude surveys (e.g. via doorstepping)
- direct feedback from project partners and stakeholders (e.g. school headteachers)

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<sup>1</sup> Report to Defra from AEA Technology, 'Evaluation of Local Authority Experience of Operating Household Incentive Schemes', 2005 is available on the WIP LASU website: <http://lasupport.defra.gov.uk>

Authorities were encouraged to adopt the use of pilot and control areas in order to assess the specific impact of applying an incentive and also to consider performance against a baseline standard (e.g. from 12 months earlier) to investigate any difference in recycling trends observed.

The Defra funded pilots could only be supported in the financial year 2005-06 and therefore schemes needed to be operational at the start of October 2005 in order for a six-month monitoring period to be available.

In addition to the requirement to submit monthly monitoring data, at the end of the incentive trial in April 2006, all participating authorities were asked to complete a survey to assist in the understanding of what factors could influence the success of an incentive in promoting recycling.

The key findings from the pilot programme show:

- More than 5.2 million households have been covered by trial areas of local authorities involved in the October 2005 – March 2006 Defra Household Incentives Pilot Scheme.
- Total Defra funding support was around £3.1M, equating to an average of around £0.58 per household. It has not however been possible to provide a figure for the amount of additional funding and staff time that individual authorities have contributed to the trials. Analysis of the funding provided by Defra shows the actual costs of offering a financial incentive are relatively low compared to the comparative costs of promotion and monitoring and evaluation. The barriers to implementing incentives should therefore not be wholly financial if a robust waste data collection system is already in place.
- 43 of 53 (81%) trials had a positive, attributable impact in raising awareness through offering an incentive. This was measured by a variety of attitudinal surveys, door stepping questionnaires, pledges recorded, and increased level of media coverage (Advertising Value Equivalent - AVE, Opportunities To See - OTS, Opportunities To Hear - OTH). Creating an awareness of the incentive being offered is clearly vital to achieving a motivation to action in the target audience and generating a tangible improvement in performance.
- The remaining 9 of 53 (17%) trials (one is yet to be fully assessed) have been unsuccessful in recording a significant awareness of the incentive being offered. It is hardly surprising therefore that the corresponding measurement of impacts (contamination, participation, tonnage) has demonstrated no determinable impact attributable to the incentive trial. Of these nine trials, six were primarily focused upon individuals and three were community focused. This might suggest that more localised – perhaps suggesting more localised, community initiatives are easier to promote than broader initiatives offered to a large number of individuals.
- 30 of 53 (57%) trials had a positive, attributable impact increasing the tonnage of recyclables collected. The magnitude of these impacts however varied widely from small trials that yielded a few tonnes of additional recyclables or compostables to those that helped achieve increases of around 15% to recycle tonnages collected across a complete collection authority. Around half of the trials show small (5-10%) but determinable increases in the levels of recycle tonnage collected.
- Difficulties in eliminating the potential impacts of largely uncontrollable, external factors (such as seasonal waste variations, temporary closure of household recycling centres, vehicle breakdowns or strikes by collection crews) have caused a significant

degree of difficulty in being able to accurately determine the specific impacts directly attributable to the offer of an incentive.

Based on the results from this research we conclude that incentives can be a useful tool to authorities that wish to enhance the performance of their waste collection service. However, they have a number of considerations to take into account when choosing an incentive to trial. There is, unfortunately, no 'one size fits all' ideal solution. The authority must first and foremost consider the barriers to recycling that it needs to address, such as: lack of participation; excessive contamination; infrequency of collection service; number or size of collection receptacles.

The best solution may then actually be to introduce a service or infrastructure change, for example, collect more material types rather than an offering an incentive alone. Incentives should be seen as a means of maximising the efficiency of waste management infrastructure and service provision that is already available to householders.

The assessment of trials conducted under this pilot programme suggests that the critical success factors to achieving an impact from an incentive scheme are those associated with the actual management of the scheme (Stakeholder Commitment, Ownership, Finance, Project Management and Communications) rather than 'environmental' or situational factors – such as geographical location of authority, local index of deprivation or existing recycling rates. The data from the pilot programme shows no direct correlation between the degree of impact of the trials and these latter factors.

A simple six-step action plan is proposed for authorities to consider in order to derive maximum benefit from offering an incentive to householders:

- Step 1: Identify the barriers to improved performance
- Step 2: Define measurable targets and objectives
- Step 3: Develop key messages for the incentive
- Step 4: Engage stakeholders and partners
- Step 5: Implement incentive and supporting infrastructure
- Step 6: Review and feedback success

In addition to this Defra commissioned incentives research and pilot programme a number of guidance documents and toolkits are available to local authorities that are looking to optimise their recycling performance. Indeed this is part of the remit of WRAP (Waste and Resources Action Programme) ROTATE (Recycling and Organics Technical Advisory Team) and a selection of the most relevant guidance, in the context of applying and monitoring incentives to complement waste management infrastructure and service provision, is highlighted in this report.

Concise summaries of all the pilot incentive schemes funded are included in Appendix 1 to this report. Not only do they all contain details of specific aspects associated with running a particular incentive but several also identify additional reports (e.g. attitudinal / participation surveys; waste analysis studies) that may be available from the particular authorities concerned to help inform authorities considering similar incentive trials.

# Contents

<b>1</b>	<b>Introduction</b>	<b>1</b>
1.1	BACKGROUND	1
1.2	CATEGORISATION OF INCENTIVES	2
1.2.1	Financial carrot	3
1.2.2	Financial stick	3
1.2.3	Voluntary carrot	3
1.3	CATEGORISATION OF PILOTS FUNDED	4
1.3.1	Incentive Category	4
1.3.2	Indices of Deprivation 2000	4
1.3.3	Households in Target Area	4
1.3.4	Scale of Incentive	4
1.3.5	Recycling Rate	5
1.3.6	Defra Funding / Funding per Household	5
<b>2</b>	<b>Pilot Monitoring and Evaluation Methodology</b>	<b>6</b>
2.1	OBJECTIVES	6
2.2	EXTERNAL FACTORS	6
2.2.1	“Recycle Now”	7
2.2.2	Service Delivery / Infrastructure Changes	7
2.3	INDIVIDUAL SELF ASSESSMENT SURVEY	7
<b>3</b>	<b>Evaluation Results</b>	<b>9</b>
3.1	INDIVIDUAL PILOT EVALUATION REPORTS	9
3.2	PERFORMANCE INDICATORS USED	9
3.3	ASSESSMENT OF IMPACTS	9
3.3.1	Awareness Raising	10
3.3.2	Reduction in Contamination	10
3.3.3	Increase in Participation Rate	10
3.3.4	Increase in Recycling Tonnages	10
3.4	OVERVIEW OF PILOT PERFORMANCE	10
3.5	SURVEY EVALUATION	17
3.5.1	Rate of success of the incentive in promoting the scheme	17
3.5.2	Stakeholder Commitment	20
3.5.3	Ownership	20
3.5.4	Financial / Funding	20
3.5.5	Project Management	20
3.5.6	Communications	21
<b>4</b>	<b>Conclusions</b>	<b>22</b>
4.1	ANALYSIS OF PILOT PERFORMANCE DATA	22
4.1.1	General Overview	22
4.1.2	Impact Assessment	22
4.2	GOOD PRACTICE IDENTIFIED	23
4.2.1	Awareness and Publicity	23
4.2.2	Innovation	24
4.2.3	Stakeholders and Partners	24
4.2.4	Additional Benefits	24
4.2.5	Shared Learnings and Future Monitoring	24
4.3	LESSONS LEARNED FROM LOCAL AUTHORITIES PARTICIPATING IN THE PILOT PROGRAMME	25
4.3.1	Weight Based Collection Round Monitoring	25

4.3.2	Pilot and Control Area Trials	25
4.3.3	Publicity and Uptake	26
4.3.4	Identity Theft Concerns	26
4.3.5	Timescales and Implementation	26
4.4	POTENTIAL BENEFITS TO LOCAL AUTHORITIES OPERATING INCENTIVE SCHEMES	26
<b>5</b>	<b>Recommendations</b>	<b>28</b>
5.1	INCENTIVES IN THE CONTEXT OF LOCAL AUTHORITY AIMS AND OBJECTIVES	28
5.1.1	Waste Collection Authorities	28
5.1.2	Waste Disposal Authorities	28
5.2	WHEN SHOULD AN INCENTIVE BE USED?	29
5.3	LEARNING FROM OTHERS	30
5.4	IMPLEMENTING INCENTIVES – DEVELOPING AN ACTION PLAN	30
5.4.1	Step 1: Identify the barriers to improved performance	30
5.4.2	Step 2: Define measurable targets and objectives	31
5.4.3	Step 3: Develop key messages for the incentive	31
5.4.4	Step 4: Engage stakeholders and partners	31
5.4.5	Step 5: Implement incentive and supporting infrastructure	31
5.4.6	Step 6: Review and feedback success	31
<b>6</b>	<b>Further Information</b>	<b>32</b>
6.1	BEST PRACTICE GUIDANCE FOR LOCAL AUTHORITIES CONSIDERING USING INCENTIVES	32
6.1.1	Monitoring and Evaluation	32
6.1.2	Scheme Optimisation	33
6.1.3	Behavioural Change Local Fund (BCLF)	33
6.2	INDIVIDUAL PILOT SUMMARIES	33

## Appendices

APPENDIX 1	INDIVIDUAL PILOT SUMMARIES
APPENDIX 2	LOCAL AUTHORITY SELF ASSESSMENT SURVEY

# 1 Introduction

Changing householder behaviour is key to driving forward household waste reduction, re-use and recycling performance. The Government believes that household incentives can be an effective way to engage with householders and encourage them to manage their waste more sustainably.<sup>2</sup>

Research commissioned by Defra in 2004 revealed that local authorities in England already operate a wide variety of schemes rewarding householders for positive behaviour<sup>3</sup> in the way they deal with their waste. The research also revealed, however, that there has been little systematic evaluation of the costs and benefits of these schemes.

The research findings supported the commitment in Defra's Five Year Strategy launched in December 2004 to undertake a pilot scheme (backed by up to £5m in 2005/06) to bring together a robust evidence base on the effectiveness of different incentive approaches.

The aim of this pilot scheme was to evaluate the effectiveness of a comprehensive range of household incentives in encouraging householder reduction, re-use, recycling and composting of household waste. The results of the scheme should provide an evidence base for future policy development in this area, and guidance to local authorities on best practice.

This report provides an analysis of the evidence base that the six-month (October 2005 to March 2006) Household Incentives Pilot Scheme has provided.

Section 2 presents an overview of the pilot monitoring techniques used and the evaluation that has been conducted. The results are outlined in Section 3 with conclusions then drawn (Section 4) and recommendations developed (Section 5).

Appendix 1 includes concise summaries of all the pilot incentive schemes funded by Defra and Appendix 2 is a copy of the end of pilot survey completed by participating authorities.

## 1.1 BACKGROUND

In March 2005 the then Environment Minister Elliot Morley launched Defra's pilot study of local authority household incentives in England. The aim of this study was to evaluate the effectiveness of a comprehensive range of incentive schemes in encouraging householders to reduce, reuse, recycle and compost their waste. The deadline for applications closed on Friday 1 July 2005.

Defra received 94 applications for support, many from partnerships of authorities. There was a good spread of bids from all regions and applications covered a range of minimisation, recycling and composting schemes, with rewards going to both individuals and the wider community.

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<sup>2</sup> See Defra Waste Strategy Review Consultation

<sup>3</sup> Report to Defra from AEA Technology, 'Evaluation of Local Authority Experience of Operating Household Incentive Schemes', 2005 is available on the WIP LASU website: <http://lasupport.defra.gov.uk>



The bids were assessed by a six-strong panel of Defra officials and further challenge meetings were then held with other senior officials to ensure that the process had been fair. Defra also took into account recommendations of the Government Offices and consulted the Waste and Resource Action Programme (WRAP) to ensure there would be no duplication with existing projects and funding programmes (e.g. WRAP's Local Communications Fund).

From the 94 applications received, 51 proposals were originally selected, totalling around £3.1m, although due to unforeseen circumstances 3 subsequently dropped out. £5m was the maximum budget available for the pilots - it was not possible to assess in advance exactly how much interest there would be in the pilot, nor how many schemes of different types would need to be funded to deliver robust results. Defra made the decisions to ensure a good spread of activity without duplication of effort for the purpose of the study. The pilots looked at a range of projects in different geographical regions and types of authority, and in many cases the local authorities co-ordinated proposals at a regional level.

The pilots that were selected encompass a variety of different types of incentive, ranging from community league tables with environmental enhancements for the winning area, to pledges leading to equipment for schools, although the most popular were lottery-style prize draws. Several of the selected pilots proposed the use of waste weighing technology to further assist in the accurate measurement of the impact of incentives. The proposals were selected to test the value of incentives on a whole range of different target populations, ranging from villages to high-rise estates, and from the highest performers (where the focus is on waste minimisation and on reducing contamination in recycling collections) to the lowest (where the focus is on encouraging more people to recycle). In total 100 districts and boroughs were involved in the pilots, as well as community groups and private sector organisations, and trial areas covered over 5.2 million households in England.

AEA Technology was commissioned by Defra to work with the Local Authorities to ensure there was a robust framework in place for monitoring and evaluating the schemes, to test the effectiveness of the incentives. Due to annual budgetary constraints the pilots could only be supported in the financial year 2005-06 and therefore schemes needed to be operational at the start of October 2005 in order for a full six-month monitoring period to be achieved. Monitoring data was to be submitted on a monthly basis and typically included recycling tonnage data, and also participation rate and/or contamination rate data, dependent on the type of scheme being evaluated. Authorities were encouraged to adopt the use of pilot and control areas in order to assess the specific impact of applying an incentive and also to consider performance against a baseline standard (e.g. from 12 months earlier) to investigate any difference in recycling trends observed.

This report presents the results of the pilot studies, highlights best practice identified and lessons learned from the six-month trials, and provides recommendations to Local Authorities on how this information might help to inform future waste strategy decisions.

## **1.2 CATEGORISATION OF INCENTIVES**

The 'Evaluation of Local Authority Experience of Operating Household Incentive Schemes' research report (April 2005) identified that there are a range of incentives that local authorities can use. These were found to fit within the boundaries of categorisation first proposed in the Scottish Executive commissioned study 'Incentives for Householders to Change their Waste Practices'<sup>4</sup>. This framework sub-divides the financial and voluntary incentives that can be offered by whether they apply a 'carrot or stick' approach.

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<sup>4</sup> See <http://www.scotland.gov.uk/library5/environment/ihcw.pdf>

**1.2.1 Financial carrot**

Individuals or communities are rewarded with a financial inducement to participate in a scheme. *Financial/Carrots* appeal to people’s sense of monetary value.

There are four generic types of *Financial/Carrot*:

- Prize draws (e.g. for participating in recycling)
- Cash back incentives (e.g. for real nappy use)
- Cash rewards (e.g. 'cash for trash' schemes)
- Cash discounts (e.g. subsidised compost bins)

**1.2.2 Financial stick**

Individuals face a cost or levy for non-participation in a scheme or additional costs for excessive waste generation. *Financial/Sticks* act as “disincentives” that force people to do something they would otherwise not do.

There are two generic types of *Financial/Sticks*:

- Charging schemes (e.g. green waste collections)
- Compulsory participation (e.g. fines for ‘non-recyclers’)

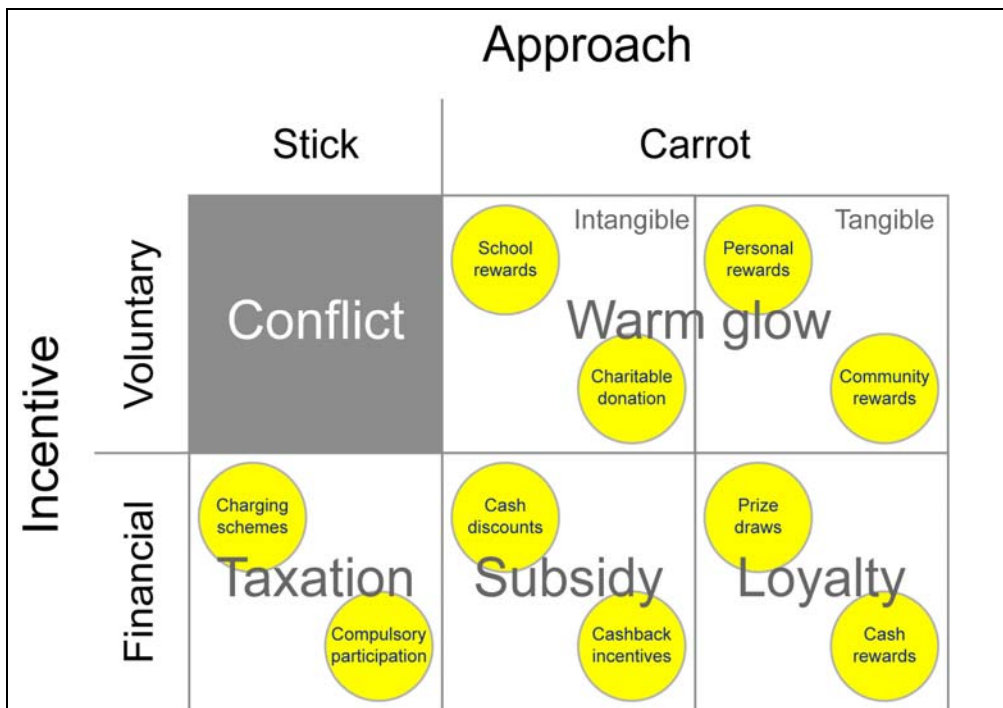
**1.2.3 Voluntary carrot**

*Voluntary/Carrots* appeal primarily to people’s good nature and natural willingness to do something good for the community and environment.

There are four generic types of *Voluntary/Carrots*:

- Community rewards (e.g. tree planting per tonne recyclate collected)
- Charitable donations (e.g. donation to charity per tonne recyclate collected)
- School rewards (e.g. equipment for schools per tonne recyclate collected)
- Personal (non-financial) rewards (e.g. ‘experience’ vouchers for local attractions).

**Figure 1: Generic Incentive Types**



## 1.3 CATEGORISATION OF PILOTS FUNDED

To assist in the process of drawing comparisons between different types of pilot scheme several different performance indicators have been used. A brief clarification is provided in the following section:

### 1.3.1 Incentive Category

The incentive pilots were designated to one of six individual categories according to the following classification system:

1. Charitable donation
2. Community reward
3. Schools reward
4. Personal (non-financial) reward
5. Prize draws
6. Cash rewards

The number of each type of trial funded by Defra was:

- Charitable donation 4
- Community reward 13
- Schools reward 7
- Personal reward 2
- Prize draws 23
- Cash rewards 4

### 1.3.2 Indices of Deprivation 2000

The Indices of Deprivation 2000 are measures of deprivation for every ward and local authority area in England.<sup>5</sup> They combine a number of indicators that cover a range of domains (income, employment, health deprivation and disability, education skills and training, housing and geographical access to services) into a single deprivation score for each area.

For the purposes of this analysis the ranking of the local authority district where the incentive was trialled has been recorded. The range is from 1 (most deprived) to 354 (least deprived). The pilot schemes funded by Defra included authorities ranked between 1 (Middlesbrough) and 320 (South Oxfordshire).

### 1.3.3 Households in Target Area

This is the total number of households that were invited to participate and were then monitored in the trial and includes both pilot and control areas, if they were used. The pilot schemes funded by Defra included areas of just over 1,000 households to cross-county initiatives involving over one million households.

### 1.3.4 Scale of Incentive

A 3-point scale has been used to categorise the scale of the incentive that was run:

1. County wide initiative (typically >150,000 households)
2. District wide initiative (typically 20,000 to 150,000 households)
3. Specific area initiative (typically <20,000 households)

<sup>5</sup> For further information, see <http://www.communities.gov.uk/index.asp?id=1128626>

### **1.3.5 Recycling Rate**

The most recent, audited combined recycling and composting rates (2004-05) for the districts in which the incentive operated have been recorded to compare performance of incentives applied in both higher and lower performing authorities. The range of supported authorities was from 10% to 51%.

### **1.3.6 Defra Funding / Funding per Household**

The degree of funding provided by Defra in support of the pilots is reported and so to is the funding support at a 'per household' level. This enables a form of comparison between different scales of incentive pilot but it should be noted that:

- the total number of households involved in the trial includes both pilot and control areas, if a control area was used in the monitoring;
- the calculation is based solely on Defra approved funding and does NOT include any monetary or in-kind contribution from the individual local authorities concerned.

An indication of what activities the approved funding was used for is highlighted in the individual pilot scheme summaries contained in Appendix 1. Examples include: prize funds, publicity and promotional material, project management costs and participation monitoring.

Support from Defra was provided in a range from £4,000 to over £300,000 and support per household varied between £0.03 up to £34.00.

## 2 Pilot Monitoring and Evaluation Methodology

### 2.1 OBJECTIVES

The outcomes and success of the pilot incentive schemes were to be assessed by local authorities monitoring a number of different data sets, including:

- monthly recycling tonnage figures (e.g. for control and incentivised collection rounds)
- pre and post-project participation rate monitoring (e.g. of a sample of residents on both control and incentivised collection rounds)
- the percentage of households actively engaging in the incentive (e.g. registering pledges to recycle)
- measurement of contamination rate by waste analysis studies and/or monitoring the number of rejected loads at transfer stations and MRFs.
- coverage of the project by the local media
- awareness and attitude surveys (e.g. via doorstepping)
- direct feedback from project partners and stakeholders (e.g. school headteachers)

Authorities were encouraged to adopt the use of pilot and control areas in order to assess the specific impact of applying an incentive and also to consider performance against a baseline standard (e.g. from 12 months earlier) to investigate any difference in recycling trends observed.

The primary method of monitoring for the 53 specific trials that were conducted can be summarised by:

- 17 of 53 (32%) trials employed Pilot and Control monitoring areas;
- 21 of 53 (40%) trials were monitored against baseline data from 2004/05;
- 15 of 53 (28%) trials were assessed by the performance over the trial period only.

### 2.2 EXTERNAL FACTORS

The primary recommendation from the research commissioned by Defra into incentives in 2004 (see footnote 1) was that pilots should be run over a time period commensurate with obtaining meaningful data on the impact on waste minimisation, re-use or recycling in the local authority trial area. Typically, this should include a monitoring period to establish a valid baseline, a period of stakeholder dialogue and publicity to secure appropriate 'buy-in' and an adequate period of performance monitoring bearing in mind seasonal and other external factors, as appropriate. A minimum period of 12 to 18 months was recommended.

However, due to annual budgetary constraints the Defra funded pilots could only be supported in the financial year 2005-06 and therefore schemes needed to be operational at the start of October 2005 in order for a six-month monitoring period to be available.

Examples of external factors (that are mainly uncontrollable) that could influence the measure of impact recorded for a specific incentive trial include the national publicity associated with the "Recycle Now" campaign but also more local operational factors such

as temporary closure of household recycling centres, strikes by collection crews or changes in service delivery of collection rounds.

Some of these issues are highlighted below:

### **2.2.1 “Recycle Now”**

Results published by WRAP show that over 5 million more of us now regularly recycle our rubbish compared to 18 months ago - before the Recycle Now campaign was launched in September 2004. Recent results show that nearly three out of five people in England are now classified as 'committed recyclers' an increase from 45% to 57%. This exceeds the target to increase the number of committed recyclers by 10% - from 45% to 55% - by 31 March 2006.

The results also show that:

- more than 9 out of 10 people regard recycling as 'important'
- over two thirds of people are aware of the national advertising campaign
- the number of people who say they don't recycle has almost halved

These results show the major contribution that the Recycle Now campaign has made to encourage people to recycle more things, more often. Local authorities have played a major role in this success through their support for the campaign and their efforts to improve recycling facilities at local level.

The main difficulty that this has posed is in differentiating the additional impact that any incentive offered by authorities between October 2005 and March 2006 (when the pilots were funded) has had. The adoption of 'pilot' and 'control' areas to measure differential change was the most common method adopted to overcome this difficulty.

### **2.2.2 Service Delivery / Infrastructure Changes**

Clearly any change in the availability of recycling collections will have an impact on tonnages collected and therefore the vast majority of pilots were selected on the basis that there were no significant planned changes in the pilot area. e.g. expansion of kerbside collection rounds. However, for the countywide schemes in particular, there were several instances of service delivery changes over the course of the six-month pilot.

## **2.3 INDIVIDUAL SELF ASSESSMENT SURVEY**

At the end of the incentive trial in April 2006 all participating authorities were asked to complete a survey that considered five main criteria, which could influence the success of an incentive in promoting recycling. For each criterion, we proposed a number of "success factors" against which these criteria could be quantified. These 5 criteria and corresponding "success factors" are summarised below. The survey is included in Appendix 2 and the results are presented in Section 3.5.

#### **Stakeholder commitment;**

- *Support from top management*
- *Support from Councillors*
- *Support from Partners*
- *Policy alignment*

#### **Ownership;**

- *Committed staff time*
- *Staff drive*

- *Partner delivery*

**Financial / funding;**

- *Funding availability*
- *Funding security*
- *Funding realism*

**Project management;**

- *Management structure*
- *Measurable aims*
- *Achievable aims*
- *Alignment of aims*
- *Realism of timescale*
- *Quality of risk assessment*

**Communications;**

- *External awareness*
- *Internal awareness.*

In addition, a general question was asked on how the authority rated the overall success of their incentive at promoting their scheme and how the success was monitored and evaluated.

## 3 Evaluation Results

This section of the report provides an overview of the results from the pilot incentive schemes that were funded and describes the performance indicators that were used to assess performance.

A summary table of key data from all of the pilot incentive schemes funded is included in Section 3.4 and the individual summaries themselves are included in Appendix 1.

A summary table of the degree of impact that was recorded in each trial as a result of applying the range of incentives is presented in Table 2.

Section 3.5 presents our analysis of the quantitative information gathered through the end of pilot survey questionnaire (April 2006).

### 3.1 INDIVIDUAL PILOT EVALUATION REPORTS

Concise summaries of all the pilot incentive schemes funded are included in Appendix 1 to this report. The structure adopted for these is:

- Aim of the Scheme
- Area features / demographics
- Scheme description
- Defra funding
- Monitoring mechanisms used
- Key results
- Conclusions
- Key lessons learned
- Further information

### 3.2 PERFORMANCE INDICATORS USED

To assist in the process of drawing comparisons between different types of pilot scheme several different performance indicators have been used. These have been described in Section 1 and are:

- Incentive Category
- Indices of Deprivation 2000
- Households in Target Area
- Scale of Incentive
- Recycling Rate
- Defra Funding / Funding per Household

### 3.3 ASSESSMENT OF IMPACTS

A simple 3-way scale to assess the impact of the pilots has been adopted for each of the main criteria for success (awareness raising, reducing contamination, increasing participation rates and increasing recycling tonnages):



-	Impact not measured
x	No determinable or attributable impact recorded
✓	Positive, attributable impact recorded

**3.3.1 Awareness Raising**

Measured by attitudinal surveys, doorstepping questionnaires, pledges recorded, etc.

**3.3.2 Reduction in Contamination**

Measured by waste analysis studies and/or number of rejected loads recorded at transfer stations and MRFs.

**3.3.3 Increase in Participation Rate**

Measured by collection round survey data.

**3.3.4 Increase in Recycling Tonnages**

Recorded through monthly collection round data.

**3.4 OVERVIEW OF PILOT PERFORMANCE**

Table 1 provides an overview of key pilot performance indicators for the 53 trials conducted across nine regions in England.

A summary table of the degree of impact that was recorded in each trial as a result of applying the range of incentives is presented in Table 2.

**Key to Table 1**

Incentive Category

1. Charitable donation
2. Community reward
3. Schools reward
4. Personal (non-financial) reward
5. Prize draws
6. Cash rewards

Deprivation Index

The range is from 1 (most deprived) to 354 (least deprived).

Scale of Incentive

A 3-point scale has been used to categorise the scale of the incentive that was run:

1. County wide initiative (typically >150,000 households)
2. District wide initiative (typically 20,000 to 150,000 households)
3. Specific area initiative (typically <20,000 households)

**Table 1: Overview of Incentive Trials and Performance**

PILOT (LEAD) AUTHORITY	Incentive Category	Deprivation Index	Households in Target Area	Scale of Incentive	2004-05 Recycling Rate	Defra Funding	Defra funding per household	Awareness of recycling/incentive	Contamination rate	Participation	Recycling Tonnage
<b>NORTH EAST</b>											
Alnwick DC	2	138	3,600	3	19%	£ 43,335	£ 12.04	✓	-	-	x
City of Sunderland Scheme 1	5	25	2,750	3	10%	£ 24,700	£ 8.98	✓	-	x	x
City of Sunderland Scheme 2	6	25	2,250	3	10%	£ 24,700	£ 10.98	✓	-	✓	x
Durham County Council	3	77	220,000	1	18%	£ 168,000	£ 0.76	✓	-	✓	✓
Newcastle Upon Tyne City Council	5	6	120,000	2	14%	£ 108,500	£ 0.90	✓	-	-	✓
Tees Valley	5	24	277,000	2	16%	£ 66,110	£ 0.24	x	-	-	x
<b>NORTH WEST</b>											
Lancashire Waste Partnership (LWP)	5	110	450,000	1	31%	£ 80,000	£ 0.18	✓	-	✓	x
LWP and partners	3	102	1,000,000	1	20%	£ 318,500	£ 0.32	✓	-	✓	x
Rochdale MBC & Salford	1	22	146,000	2	12%	£ 13,900	£ 0.10	✓	-	✓	✓
Sefton MBC	1	43	44,000	3	15%	£ 36,200	£ 0.82	x	-	x	x
Stockport MBC	1	61	500,000	2	18%	£ 37,000	£ 0.07	✓	-	-	✓
Cheshire Waste Partnership & Vale Royal Borough	6	142	2,500	3	40%	£ 34,000	£ 13.60	✓	-	✓	✓
Crewe & Nantwich	5	162	9,000	3	22%	£ 40,000	£ 4.44	x	-	-	x
<b>YORKSHIRE &amp; HUMBERSIDE</b>											
Calderdale MBC	2	80	10,000	2	17%	£ 18,040	£ 1.80	✓	-	-	✓
City of York Council	5	256	200,000	2	21%	£ 6,394	£ 0.03	✓	-	-	✓
East Riding of Yorkshire Council	5	168	140,000	2	19%	£ 9,400	£ 0.07	✓	-	-	✓
Leeds City Council*	5	78	24,000	3	20%	£ 97,846	£ 4.08	✓	-	-	✓
<b>EAST MIDLANDS</b>											
Leicestershire Waste Partnership	3	274	245,000	1	34%	£ 157,000	£ 0.64	✓	-	✓	✓
Nottinghamshire County Council*	2	187	7,000	3	32%	£ 100,000	£ 14.29	-	-	-	-
<b>WEST MIDLANDS</b>											
East Staffordshire BC	3	124	2,500	3	22%	£ 30,000	£ 12.00	✓	-	✓	✓
Redditch BC	3	174	79,200	2	22%	£ 20,500	£ 0.26	✓	-	-	✓
Shropshire County Council	1	243	120,000	1	29%	£ 36,000	£ 0.30	✓	-	-	✓
Worcestershire County Council	6	225	7,000	3	21%	£ 61,800	£ 8.83	x	-	-	x
<b>EAST</b>											
Breckland Council	2	175	1,148	3	34%	£ 9,200	£ 8.01	✓	✓	✓	✓
Cambridgeshire & Peterborough Waste Partnership 1	5	219	66,000	1	38%	£ 50,000	£ 0.76	x	-	-	x
Cambridgeshire & Peterborough Waste Partnership 2	5	219	140,000	1	38%	£ 69,386	£ 0.50	✓	-	-	x
Essex County Council	5	198	600,000	1	30%	£ 90,000	£ 0.15	✓	-	✓	x
South Norfolk DC	5	291	4,000	2	25%	£ 25,000	£ 6.25	✓	x	-	x
St Edmundsbury BC	5	209	12,600	2	51%	£ 23,000	£ 1.83	✓	✓	x	-
<b>LONDON</b>											
Bromley and Sutton	2	197	6,900	3	25%	£ 21,400	£ 3.10	✓	✓	-	✓
Hammersmith & Fulham and Lambeth	2	82	3,500	3	18%	£ 119,000	£ 34.00	✓	-	-	✓
Haringey	2	27	95,000	2	14%	£ 118,000	£ 1.24	✓	-	✓	✓
Havering	5	176	96,000	2	16%	£ 50,900	£ 0.53	✓	-	-	✓
Islington (& Enfield & Hackney)	2	65	5,600	3	16%	£ 43,500	£ 7.77	✓	-	-	✓
Westminster City Council	5	110	112,000	2	15%	£ 4,000	£ 0.04	x	-	x	x
<b>SOUTH EAST</b>											
Brighton & Hove City Council	3	92	26,900	3	20%	£ 50,000	£ 1.86	✓	-	-	✓
Canterbury City Council	5	219	16,250	3	35%	£ 11,000	£ 0.68	✓	-	-	✓
East & West Sussex 1	6	233	5,200	3	21%	£ 87,500	£ 16.83	✓	-	✓	-
East & West Sussex 2	3	233	11,000	3	21%	£ 40,500	£ 3.68	✓	-	-	✓
East & West Sussex 3	2	233	4,000	3	21%	£ 29,500	£ 7.38	✓	-	x	✓
East & West Sussex 4	4	233	4,000	3	21%	£ 45,500	£ 11.38	✓	-	-	✓
Hampshire CC 1	4	108	10,788	3	17%	£ 142,500	£ 13.21	✓	✓	x	x
Hampshire CC 2	2	108	4,400	3	17%	£ 72,500	£ 16.48	✓	-	-	✓
Slough BC	2	189	45,000	2	16%	£ 65,000	£ 1.44	x	-	x	x
South Oxfordshire DC	5	320	55,000	2	27%	£ 5,000	£ 0.09	✓	-	-	x
<b>SOUTH WEST</b>											
West of England Partnership	5	179	25,186	3	24%	£ 67,450	£ 2.68	✓	-	✓	✓
Dorset County Council	5	243	168,000	1	34%	£ 52,375	£ 0.31	✓	-	-	✓

\* Indicates ongoing trial

**Table 2: Overview of Degree of Impact Recorded by Incentive Trials**

Pilot Authority	Details of Incentive	Degree of Impact Recorded	Comments
NORTH EAST			
Alnwick	£100/month to communities; competitive league	Local diversion rate up from 24.5% to 26% over trial period	Similar trend to 04/05
City of Sunderland 1	£25/house for participation	Set out rate up from 37% to 41% Diversion rate up from 21% to 23%	Control set-out rate up from 32% to 34% Control diversion rate up from 15% to 18%
City of Sunderland 2	£100/fortnightly prize draw	Set out rate up from 40% to 41% Diversion rate up from 21% to 22%	Control set-out rate up from 32% to 34% Control diversion rate up from 15% to 18%
Durham County Council	Prizes for schools per pledge	Tonnage collected up 13% on 04/05 figures by end of trial (up 250 tonnes/month)	180 of 241 1Y schools participated (75%)
Newcastle Upon Tyne City Council	£1,000 prize draw for participation	Tonnage collected up 16% on 04/05 figures by end of trial (341 tonnes in total)	
Tees Valley	£50 holiday vouchers (one for £3,000) for participation	Recyclable tonnage data mirrors 04/05 monthly fluctuations	Impact of incentive indeterminate
NORTH WEST			
Lancashire Waste Partnership	£1,000 prize draw	5-10% increase in tonnage collected over trial period Participation rates up from 55% to 63% over trial period	Similar trend to 04/05
LWP & others	Prizes for schools per pledge	5% increase in tonnage collected over trial period	Tonnages show similar trend to 04/05 697 schools signed up; 433 returned pledges
Rochdale MBC & Salford	Charitable donation per Christmas Tree composted	Trees collected up from 1,536 to 2,412 and from 1,012 to 1,210 in 2 areas	60% and 20% increase on previous year
Sefton MBC	£5 reward for using HWRC	Only 60 of 65,000 rewards claimed	Site opened end 2004.
Stockport MBC	Up to £15/tonne charitable donation	Local bring banks up 300% on 04/05 from 8 to 23 tonnes. Impact on kerbside trials indeterminable	
Cheshire Waste Partnership and Vale Royal Borough	Loyalty scheme with up to £50 voucher for participation	Participation rates up from 35% to 50% Tonnages up 15-20% over the trial period	Control area participation up from 58% to 61% Control area tonnages up 9% over the trial period
Crewe & Nantwich	£1,000/week prize draw	No apparent variation in tonnage collected – remains at 6.5 tonnes	

Pilot Authority	Details of Incentive	Degree of Impact Recorded	Comments
YORKSHIRE & HUMBERSIDE			
Calderdale MBC	£25/tonne community rewards	Total increase of 26% recyclables tonnage over the trial period and a corresponding decrease in residual	Control data unavailable for analysis
City of York Council	Combination of £50 incentives & £1,000 community reward	Largely indeterminate impacts due to effect of recent expansion of kerbside collections	
East Riding of Yorkshire Council	£500/month prize draw	4,270 txt msg sign ups (out of 140,000 households) = 3% Tonnes increased from 225 tonnes/week to 300 tonnes/week over the trial period = +30%	Attributable impact of incentive versus expansion to collection system uncertain
Leeds City Council*	Up to £1,000/household prize draw for recycling	Ongoing 12 month pilot Pilot areas show increasing recycling Control area shows a fall	Trial to complete at end Dec 06
EAST MIDLANDS			
Leicestershire Waste Partnership	Prizes for schools per pledge	Recycling tonnages around 15% higher than 04/05 but follow seasonal trend Specific impact indeterminate	96 of 228 schools participated (42%)
Nottinghamshire County Council*	Up to £5,000 community reward	Monitoring data to date indeterminate	Ongoing pilot to complete in Summer 06
WEST MIDLANDS			
East Staffordshire BC	£12/tonne bring bank, schools reward	3-6 tonnes collected for each of 3 sites	
Redditch BC	£100/tonne schools reward for cardboard recycling at bring banks	Bring bank tonnages maintained at 04/05 levels despite expanded kerbside collection	
Shropshire County Council	£1,000/month charitable donation	Kerbside collection ~500tonnes/month higher than 04/05 Trial impact indeterminate	Advertising Value Equivalent (AVE) achieved equated to around one-third of project funding
Worcestershire County Council	£100 & £500 prize draws for kerbside recycling	Participation rates slightly down post campaign versus before Pilot and control areas performed similarly	
EAST			
Breckland Council	Community rewards for contamination reduction	Contamination rate halved from 16% to 8% No rejected recycling loads over trial period	Pre trial recycling collections were invariably landfilled due to excessive contamination

<b>Pilot Authority</b>	<b>Details of Incentive</b>	<b>Degree of Impact Recorded</b>	<b>Comments</b>
Cambridgeshire & Peterborough Waste Partnership 1	Up to £50 prize draw for HWRC recycling	500 of 165,000 flyers returned (0.3%) Tonnages follow same trend as 04/05	
Cambridgeshire & Peterborough Waste Partnership 2	Up to £150 prize draw for kerbside recycling	51 of 5,760 claimed prizes (0.8%) Tonnages follow same trend as 04/05	
Essex County Council	Up to £200 prize draw	Participation rates pre/mid/post trial were 59%/62%/66% Control area pre/mid was 70%/70% Recycling tonnage performance equivalent small increase (5-10%) in pilot and control areas over trial period	
South Norfolk DC	£500 community reward competition and £50 prize draw for recycling	Small increase in recycling rate from 33% to 34% over the trial period	No comparable control data
St Edmundsbury BC	Prize draw for children in correctly recycling households	No. of perfect bins increased over trial period (between +5% and +38%)	
LONDON			
Bromley and Sutton	Community rewards for reducing residual waste	Increase from 29,000l/fortnight to 32,500l over the trial period (up 12%)	Contamination increased in one pilot area
Hammersmith & Fulham and Lambeth	Communities to receive share of £40k reward	Pilot areas appear to be recycling 2-6kg/household/week more than control areas	Concerns over reliability of bin weighing technology
Haringey	Combination of community reward competition (up to £5k), £100 prize draws and charity donation (£20k)	Recycling rate increased from 19% to 20% over the trial period Participation rose from 55% in July 05 to 64% in Feb 06	Overall recycling rate has increased from 14% in 04/05 to 20% in 05/06
Havering	Up to £300 prize draw for recycling	Small increase in recyclable collection and decrease in general waste Indeterminate incentive impact	No comparable control data
Islington (& Enfield & Hackney)	Up to £2,000 community rewards for bring bank recycling	In 2 of 3 trial areas increases of around 1kg/household/month were recorded	
Westminster City Council	£50 prize draw voucher	Only 23 vouchers from 112,000 possible households recorded Indeterminate impact from incentive	Expansion of kerbside by 30,000 households means tonnages are 25% higher than 04/05 but follow a similar trend in 05/06
SOUTH EAST			
Brighton & Hove City Council	Schools rewards for recycling	Pilot area recycling increased from 67 to 80 tonnes/week (+16%)	Control area recycling increased by only 6% (from 37.5 to 40 tonnes/week)

Pilot Authority	Details of Incentive	Degree of Impact Recorded	Comments
Canterbury City Council	£25 prize draw for students who signed up to recycle	Around 75 student properties/month participated Estimated recycling 32kg/month/property	Only a sample of participants were monitored hence impacts are estimates
East & West Sussex 1	Vouchers for kerbside recycling	Participation rate increases from an average of 58% to 66%	
East & West Sussex 2	School rewards for specific material recycling	Pilot areas recorded tonnage increase of up to 17% over the trial period	Control are tonnage increase of 11%
East & West Sussex 3	Up to £400 community reward competition	1 area recorded 33% increase in volume of recyclables 1 area slight decrease in participation	
East & West Sussex 4	Discount vouchers for recycling	Areas showed participation rate increases from 47%/52% to 61%/57%	
Hampshire CC 1	£20 reward vouchers for correct recycling	Increase from 36% to 70% 'green' recycling over trial period, i.e. no contamination	Tonnage collected followed similar trends in pilot and control areas
Hampshire CC 2	£50k community reward for meeting targets	Increase in recycling from ~50 to 75 tonnes over trial period and associated fall in residual waste	690kg of specific materials collected via 5 community action group events
Slough BC	£2,500 community reward for recycling improvement	Similar trends in recycling tonnage to 04/05 but an increase of 75 tonnes / month apparent at end of trial versus previous year	Specific impact of incentive indeterminate
South Oxfordshire DC	Cash reward of ~£100 for recycling	Around 2,000 of 55,000 households (4%) registered for the incentive Recycling levels are 50-100 tonnes / month higher than 04/05 levels	Recycling performance follows the same trend as 04/05 Specific impact of incentive indeterminate
SOUTH WEST			
West of England Partnership	£50 prize draw reward for recycling pledges	Pilot participation rates increased from an average of 58% to 66% (+13%) Pilot round recycling levels (kg/hh/week) increased by 7% Pilots flats in one area increased recycling from 3.6 to 5.4 kg/hh/wk	Control participation rates increased from 58% to 61% (+5%) Control round recycling levels (kg/hh/week) increased by 6.5% Pilot flats in one area recorded a fall in recycling from 1.0 to 0.6 kg/hh/wk
Dorset County Council	Small value prize draw for glass recycling	Recycling tonnages show increase in 05/06 versus 04/05 3 of 6 districts have expanded kerbside collections	Specific impact of incentive indeterminate

<b>Pilot Authority</b>	<b>Details of Incentive</b>	<b>Degree of Impact Recorded</b>	<b>Comments</b>
Exeter City Council	Prize draw of ~£1,000/month	Small increase in collection of recyclables from 310 to 318 tonnes / fortnight when incentive was offered	
Gloucestershire CC	£1,000 community reward competition to increase recycling per household	Recycling performance of pilot areas followed similar trend to control areas Participation rate fell in 2 areas with a small rise in a third (73% to 75%)	Impact of incentive indeterminate
Restormel BC	£10,000 community reward competition	Increases of between 7% and 108% in local recycling performance Pilot participation remained around 55%	Control are participation rate increased from 45% to 49%
Somerset County Council	Prize draw reward for kerbside recycling	Participation rates increased from 46% (pre) to 52% (post) trial Recycling increased from ~175 to 200 tonnes/month	No pilot/control or 04/05 data for comparison
Teignbridge DC	Prize draw for avoiding food in residual waste	Reported behaviour results exceed small impact recorded in waste tonnage / composition figures	Impact of incentive indeterminate
Wiltshire County Council	£100 prize draw for kerbside recycling participation	Recycling tonnages mirrored 04/05 performance	Impact of incentive indeterminate

## 3.5 SURVEY EVALUATION

In this section we present our analysis of the quantitative information gathered through the end of pilot survey questionnaire (April 2006).

This survey (see Appendix 2) was aimed at understanding what factors local authorities *perceived* as being important in ensuring the success of their scheme, and how they *felt* they performed against each of these factors. This “success factor” survey was sent out to all local authorities that participated in the incentives pilot. The total number of authority responses received was 51 – which encompasses a response from every lead authority operating an incentive trial.

### 3.5.1 Rate of success of the incentive in promoting the scheme

The responding authorities were invited to score each “success factor” 1 to 5 (5 being high), both in terms of their perceived *Importance* and in terms of their own *Performance*. The results are summarised graphically in Figure 2, Figure 3 and Figure 4. The Figures present the arithmetic mean score for each “success factor”, in Figure 2 the number inside each bubble indicates the number of authorities responding to that factor. In Figure 3 and Figure 4 the arithmetic mean scores for Performance score and Importance score are respectively represented in a bar chart format.

It should be noted that there are wide variations in how individual factors have been scored. However, this can only be displayed by the greater scrutiny of individual results and not through these graphical representations that help display overall trends and patterns.

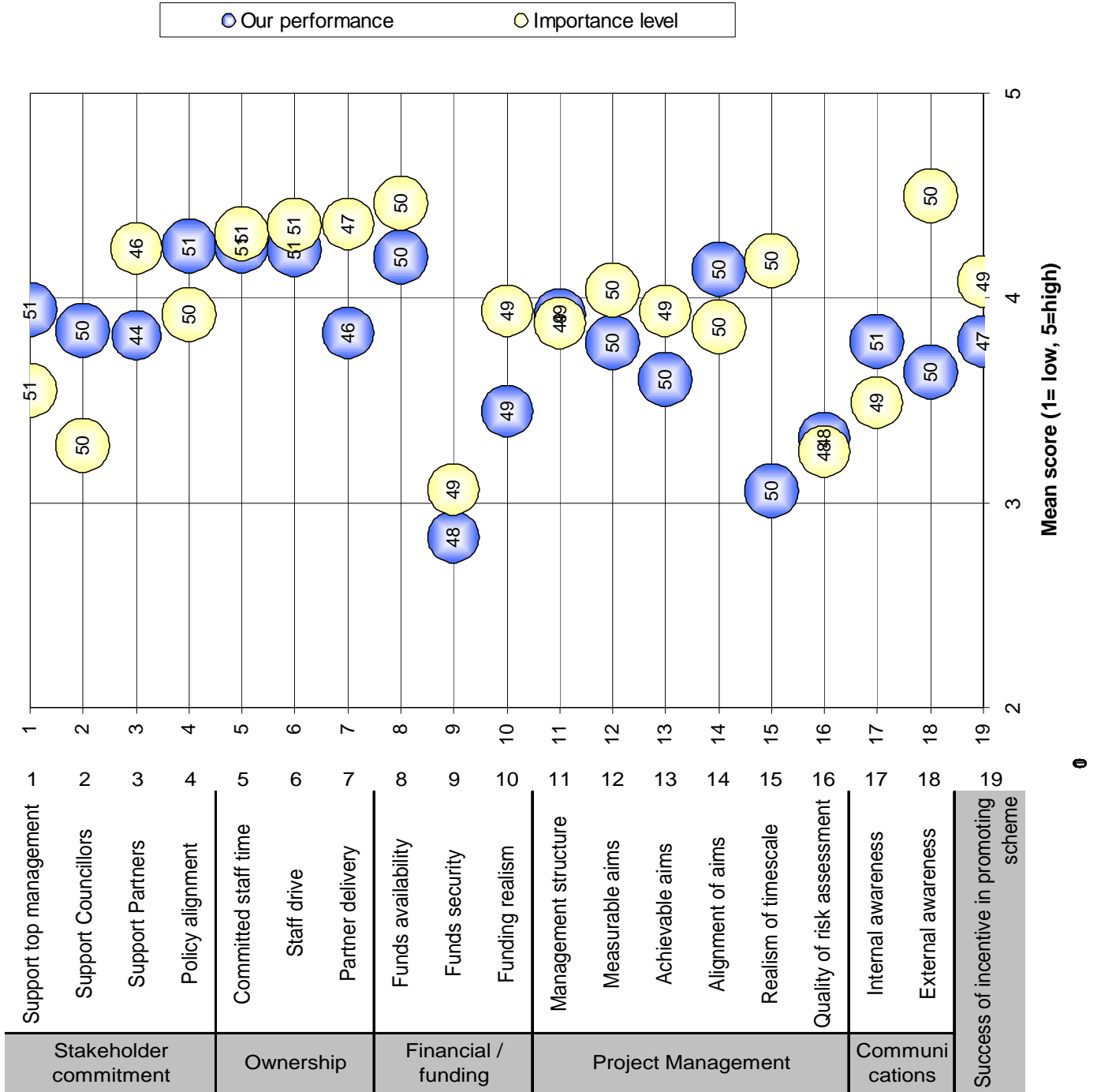
It is notable that for some factor/incentive combinations, there is a significant difference between the *Performance* score and the *Importance* score. For example:

- For categories 1, 2, 4, 11, 14, 16 and 17 – the perceived local authority performance exceeds their interpretation of importance. This is displayed by the higher performance scores (blue) compared to importance scores (yellow) in Figure 2 for these incentive categories. These incentive categories where the authorities have ranked the performance scores higher than the importance scores are predominantly associated with internal stakeholder commitment and communication, and alignment with overall aims of the authority.
- Categories 3, 7, 10, 12, 13, 15 and 18 show significantly lower performance by authorities than their perceived importance of each category. The lower performance (yellow) scores in Figure 2 when compared to the importance (blue) scores within a category are often attributed or apportioned to poorer performance of external, 3<sup>rd</sup> parties, rather than the performance of the internal, responding authority. Categories 3, 7 and 18 all refer to lack of support from 3<sup>rd</sup> parties or external bodies. This highlights the difficulties to the authorities of gaining support from 3<sup>rd</sup> parties that are not managed or obligated to support such schemes. It is more difficult for the responding authorities to control these organisations.
- The other categories where the performance score is lower than the perceived importance of a category are more typical of any project not just the incentive schemes. These include issues such as realism of funding, category 10, setting unrealistic or unachievable aims, (categories 12 and 13) and most significant of all facing unrealistic timescales for the project, category 15.

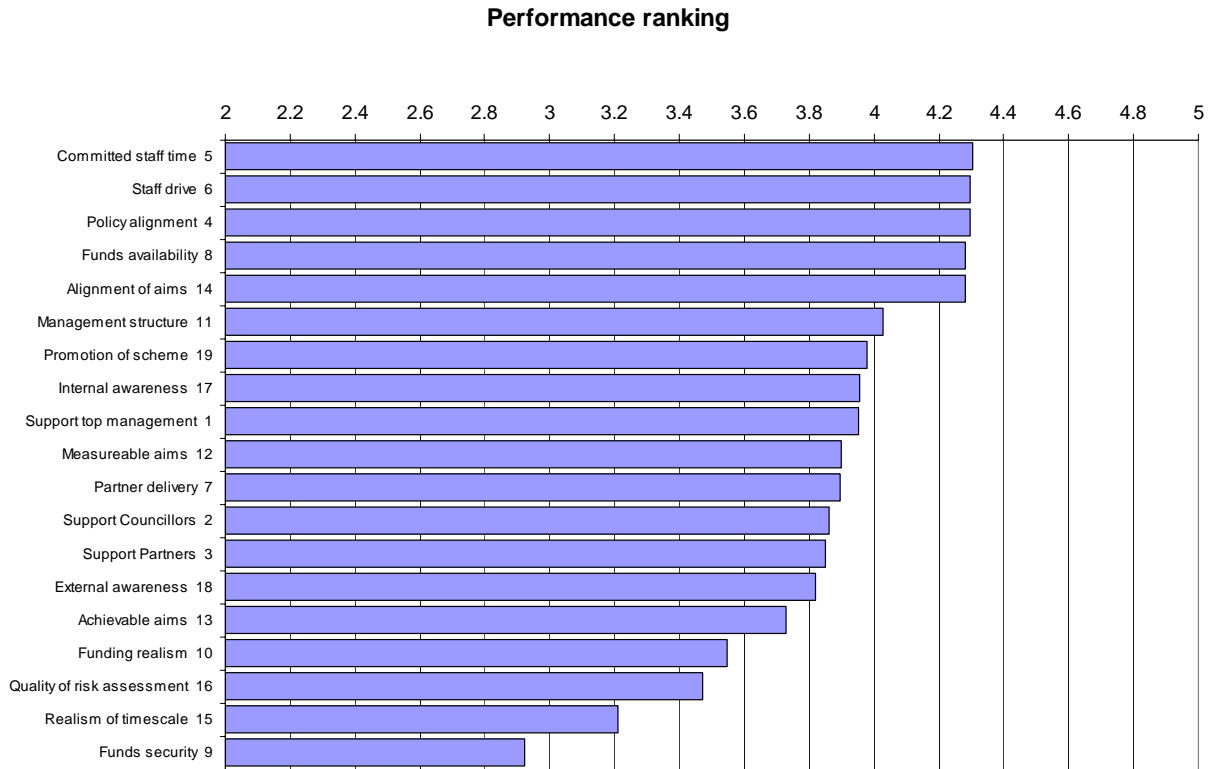
Detailed consideration of the survey and implications of the findings are given in the Sections below.



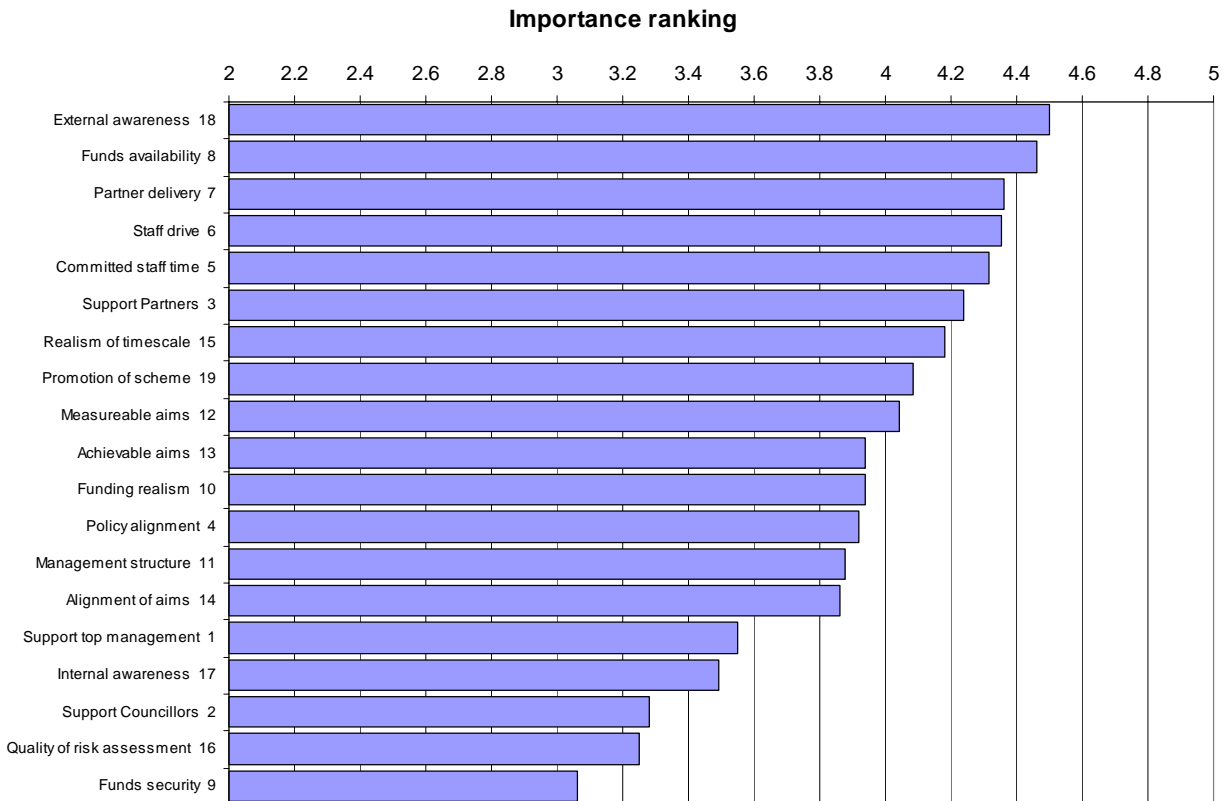
Figure 2: Mean ranking of success factors by incentive category



**Figure 3: Performance ranking of incentive category**



**Figure 4: Importance ranking of incentive category**



### 3.5.2 Stakeholder Commitment

- Support from Partners (category 3) is perceived as being of significant importance to the introduction of the incentive schemes, whilst support from Councillors (category 2) and support from top management (category 1) are perceived as less important. This is interesting as it contradicts the findings of the first survey that suggested that support from Councillors was of prime importance.
- Perhaps more importantly the actual support received from partners is less successful than support from internal senior management.

### 3.5.3 Ownership

Ownership is defined here as the time commitment of staff; drive of staff working on the incentive; and ownership of delivery from partners.

- Committed staff time, staff drive and partner delivery (categories 5, 6 and 7 respectively) are all ranked within the top 5 categories for importance.
- Committed staff time and staff drive are the two top ranked categories in terms of performance and this reflects the perceived importance of these categories. This highlights the importance of effective staffing of such schemes with the identification of suitable staff being a key success factor.
- Again it is significant that partner delivery performance is ranked much lower (11<sup>th</sup>).

### 3.5.4 Financial / Funding

There is a lack of consistency in the importance of financial/funding aspects of the incentive schemes.

- The availability of funding (category 8) is ranked second in the importance ranking, yet the appropriateness/realism of funds (category 10) and fund security (category 9) are ranked much lower in terms of importance (11<sup>th</sup> and 19<sup>th</sup> respectively). It must be questionable to what extent the schemes can provide a sustained impact without long term funding being core to the scheme design.

### 3.5.5 Project Management

- Project management, both in terms of importance and performance, generally fall in the bottom half of the ranking for all incentive categories. In particular Quality of Risk Assessment (category 16) scores at the bottom of the range. This is consistent with the findings from the 2005 Defra research, demonstrating the predominantly *ad hoc* and short-term nature of many current incentive-based schemes. If schemes are to have a long-term impact, then project and risk management are key success factors.
- Realisation of timescales (category 15) is ranked the most important within this Project Management section (ranked 7<sup>th</sup> overall) but its performance score is much lower (ranked 18<sup>th</sup> overall). Through identifying the importance of designing realistic timescales for the delivery of such schemes, the responding authorities could be suggesting that unrealistic timescales is the cause of problems associated with delivery of such schemes. This relationship between unrealistic timescales and the ability to deliver aims/targets is supported by category 13 (achievable aims) that also displays a higher ranking for importance than for performance.

### 3.5.6 Communications

- The ranking of external communications (category 18) as the most important factor in incentives schemes reflects its critical requirement for success. However this is in stark contrast to its actual performance ranking (14<sup>th</sup>). The internal communication of such schemes (category 17) is perceived to be less important, ranked only 16<sup>th</sup> of the categories.
- The results from both of these communications categories is reversed in that the responses from the authorities for performance of internal communication is above that of its perceived importance (3.95 to 3.5 respectively) and the performance of external communication is significantly lower than its perceived importance (3.85 to 4.5 respectively). This suggests that securing local media publicity and support from relevant stakeholders is acknowledged to be vital to achieve success but in practice is difficult to attain.

## 4 Conclusions

This section of the report provides our analysis of the results obtained from the 53 specific trials that have been conducted, monitored and evaluated. It includes:

- a general overview of the results from the trials and an investigation of the possible reasons behind the differing degrees of impact;
- a consideration of good practice identified from the pilot programme trials;
- a review of the lessons learned from authorities participating in the pilot programme;
- a consideration of the potential recycling performance benefit that authorities considering an incentive trial might be able to achieve.

### 4.1 ANALYSIS OF PILOT PERFORMANCE DATA

#### 4.1.1 General Overview

- More than 5.2 million households have been covered by trial areas of local authorities involved in the October 2005 – March 2006 Defra Household Incentives Pilot Scheme.
- Total Defra funding support was around £3.1M, equating to an average of around £0.58 per household. It has not however been possible to provide a figure for the amount of additional funding and staff time that individual authorities have contributed to the trials. Analysis of the funding provided by Defra shows the actual costs of offering a financial incentive are relatively low compared to the comparative costs of promotion and monitoring and evaluation. The barriers to implementing incentives should therefore not be wholly financial if a robust waste data collection system is already in place.
- 31 of 53 (58%) trials were implemented with funding support from Defra of less than £2.00 per household – roughly equivalent to the collection and disposal costs for one household for one week.
- There was a broadly even split between incentives aimed at individuals and those targeting a wider community. 25 of 53 (47%) trials were primarily focused upon rewarding communities, 28 of 53 (53%) trials were primarily focused upon rewarding individuals.

#### 4.1.2 Impact Assessment

- 43 of 53 (81%) trials had a positive, attributable impact in raising awareness through offering an incentive. This was measured by a variety of attitudinal surveys, door stepping questionnaires, pledges recorded, increased level of media coverage (AVE, OTS, OTH), etc. Creating an awareness of the incentive being offered is clearly vital to achieving a motivation to action in the target audience and generating a tangible improvement in performance.
- The remaining 9 of 53 (17%) trials (one is yet to be fully assessed) have been unsuccessful in recording a significant awareness of the incentive being offered. It is hardly surprising therefore that the corresponding measurement of impacts (contamination, participation, tonnage) has demonstrated no determinable impact attributable to the incentive trial. Of these nine trials, six were primarily focused

upon individuals and three were community focused. This might suggest that more localised – perhaps suggesting more localised, community initiatives are easier to promote than broader initiatives offered to a large number of individuals.

- 30 of 53 (57%) trials had a positive, attributable impact increasing the tonnage of recyclables collected. The magnitude of these impacts however varied widely from small trials that yielded a few tonnes of additional recyclables (e.g. East Staffordshire) or compostables (Rochdale & Salford) to those that helped achieve increases of around 15% to recycle tonnages collected across a collection authority (e.g. Durham; Newcastle City).
- 15 of 24 (63%) trials that monitored participation rates recorded a positive attributable impact from the incentive pilot areas. Again the magnitude of impacts varied significantly from smaller 1% rises to some of over 10%. It should be noted an increase in participation rate from 47% to 61% (i.e. 14 percentage points) is actually a 30% improvement in performance (see East & West Sussex).
- 4 of 6 (67%) trials that monitored recycling contamination levels achieved positive impact in the pilot areas. Although contamination reduction was only measured for a small number of trials it can yield highly beneficial impacts if targeted successfully. Significant cost and operational benefits can be achieved by offering incentives that reduce contamination to an extent that loads are not rejected by the local transfer station or MRF (see Breckland Council).
- 6 of 7 (86%) schools reward pilots were successful in achieving a positive, attributable impact increasing the tonnage of recyclables collected. This finding suggests that this type of focused incentive generates a positive, often competitive, environment that propagates active recycling behaviour, and reinforces the supposition of the strength of 'pester power' from school children to parents to do more.
- Only 10 of 23 (43%) prize draw schemes for participating in recycling were able to record a positive, attributable impact increasing the tonnage of recyclables collected. The most likely explanation proposed by authorities running these trials was that existing, active recyclers predominantly claimed the incentives. They therefore yielded negligible improvements in overall recyclables capture. (see Wiltshire; Worcestershire; South Oxfordshire).

## 4.2 GOOD PRACTICE IDENTIFIED

The trials that have been conducted have generated a wealth of examples of good practice that other authorities considering incentives can learn from. Individual aspects for each trial are document in the summaries in the appendix but some of the most common themes are highlighted in this section.

### 4.2.1 Awareness and Publicity

- Publicity (e.g. press launch, radio ads, roadshows, flyers) and 360° communication (e.g. prize winner announcements, doorstepping and surveys) are essential to:
  - advertise the incentive being offered (to raise awareness)
  - motivate people to act through recognition of it being a joint effort
  - recognise and reward people of ongoing success
 (see Essex and Cambridgeshire).

- Several authorities benefited from widespread, free publicity of their incentive due to the offer of high value prizes attracting local media interest and therefore increasing the effectiveness of awareness raising.

#### **4.2.2 Innovation**

- A number of original and innovative ideas have contributed to the incentive pilot programme. Perhaps the most unique has been the use of mobile phone text message reminders to residents to recycle, for those who signed up to the trial in East Riding of Yorkshire. There is no additional waste generated by the incentive itself (e.g. leaflets or flyers) and the authority is continuing with the incentive beyond the Defra funded trial period to support the recently expanded kerbside collection service.

#### **4.2.3 Stakeholders and Partners**

- Collaboration with local stakeholders can maximise campaign reach and be very cost-effective. For example: direct collaboration venture with the private sector waste/recyclables collection contractor; involvement of local community groups, charitable organisations; local media involvement and exposure can achieve high levels of Advertising Value Equivalent (see Shropshire pilot).
- To ensure adequate resources are available to manage the trial several authorities employed a specialist 3<sup>rd</sup> party organisation. This avoided some of the difficulties faced by other authorities with council staff being unavailable (e.g. due to other commitments, staff leaving, sickness, maternity, etc.) meaning that some schemes were not adequately promoted or monitored. Good examples of this working include Durham, Leicestershire and East & West Sussex, however other experiences were less successful, e.g. Tees Valley and Gloucestershire.

#### **4.2.4 Additional Benefits**

- Attitudinal surveys conducted as part of the monitoring process have yielded additional benefits by identifying potential solutions to perceived barriers to recycling. For example, some householders reported that they were already recycling all that they could at the kerbside so found that an incentive that was offered made no difference to their behaviour. However, they were currently unable to put out glass and said if this were to be made possible they would recycle glass receptacles (see South Norfolk).
- Some projects may well have additional benefits beyond simply increasing recycling rates, for example, enhanced community working and social inclusion. These are likely to be difficult to determine in the short term but ad-hoc and anecdotal evidence from officers within the pilot areas suggests this may be occurring (see Bromley & Sutton and Hampshire).

#### **4.2.5 Shared Learnings and Future Monitoring**

- Many authorities expressed a keen interest in the other pilot incentive trials and would welcome the opportunity to learn from others successes and share lessons learned. In addition to the publication of this report, opportunities to discuss and share best practice and explore difficulties experienced, and how they were tackled, should be encouraged.
- Several authorities have expressed interest in sourcing funding for further detailed monitoring of trends in participation and collection round data (post March 2006) to

examine whether there is evidence of the public adopting genuine and sustained behaviour change (with respect to recycling practices) or if it is purely short-termed action in direct response to the incentive and will cease when the incentive is removed. There are also several studies being commissioned by the Defra Waste and Resources Research and Development Programme and the Central Analytical Directorate (CAD) to investigate the issue of monitoring 'Behaviour Change'.

- Participation rate data has proven to be more reliable than set-out rate data for data monitoring and evaluation purposes. It is collected over a longer time period can eliminate some of the variability of 'one-off' set-out rate data that can more easily be affected by inclement weather, family holidays, Christmas, etc.

## **4.3 LESSONS LEARNED FROM LOCAL AUTHORITIES PARTICIPATING IN THE PILOT PROGRAMME**

This section provides a collection of some of the lessons learned from the incentive trials with views gathered from Local Authorities via face-to-face meetings, phone conversations, e-mail discussions and the end of pilot survey questionnaire.

### **4.3.1 Weight Based Collection Round Monitoring**

- Local authority expectations of being able to determine the specific impact of incentives in pilot areas by monitoring individual collection round weight data has in many cases been made more difficult than anticipated. Complicating factors include: collection rounds extending beyond defined pilot areas; non-alignment of residual and recyclable collections; collection vehicle breakdown; vehicles collecting waste from more than one round on ad hoc basis when there is spare capacity.
- Significant difficulties have been experienced with individual bin weighing technology (Hammersmith & Fulham and Lambeth, Leeds, South Norfolk). Problems with the reliability and usability of the bin weighing system (including both hardware and software), were a key concern for the authorities operating this technology. Other authorities considering operating an incentive that utilises bin-weighing technology should ensure that the bin weighing systems have been demonstrated to work effectively at all levels before launching publicity for any incentive scheme that relies upon this type of equipment.
- Larger scale incentive pilots have proven more difficult to analyse and determine specific recycling tonnage impacts compared with more localised trials. This is not unexpected as the potential impact of the incentive is averaged out against a much higher number of houses and so becomes difficult to identify against other possible external factors.

### **4.3.2 Pilot and Control Area Trials**

- The type of publicity used to promote the incentive in the pilot areas can affect the designation of strict 'control' areas e.g. desired action may be inspired in the control area simply through exposure and awareness of the incentivised activity. This can result in there being little difference in the performance of a pilot versus a control area.
- Pilot and control areas should be carefully chosen to match each other as closely as possible with regard to size, waste management service infrastructure and socio-



demographic make-up in order to assess the degree of impact an incentive subsequently has.

- Where pilot and control areas are used it is possible to engender some negative feeling by establishing a 'have' and 'have not' culture where only one part of a community is rewarded for their positive behaviour.

#### **4.3.3 Publicity and Uptake**

- Even unfortunate 'negative publicity' of undesirable occurrences (e.g. persistent offenders contaminating recycling bins and threats of violence against recycling operatives) can actually raise awareness of, for example, the need to reduce contamination in recycling bins.
- Sign-up rate for some schemes were very low suggesting the incentive was not well targeted or promoted. (e.g. Westminster – only 4% awareness recorded; Sefton – only 60 claimants from 65,000 flyers; Cambridge and Peterborough Waste Partnership – 500 entries from 165,000 flyers)

#### **4.3.4 Identity Theft Concerns**

- Schemes in Havering and Exeter had intended to provide labels on which residents would write their name and address to be entered into prize draws. However following discussions with the police and Home Office over possible identity theft concerns, the labels were changed to include sequential numbering. This has made the process of claiming prizes more convoluted and time-consuming (for both the residents and the authority) - this may explain why the claim rate for prizes was relatively low in Havering at approximately 30%.

#### **4.3.5 Timescales and Implementation**

- The delay between councils submitting proposals for funding (by 1 July 2005) and the confirmation of the exact amount of funding support awarded to individual authorities (in advance of the October 2005 start date) led to many not progressing their work. Without the certainty of funding some promotional opportunities were missed and also meant a shortening of the proposed six-month pilot duration in several instances.

## **4.4 POTENTIAL BENEFITS TO LOCAL AUTHORITIES OPERATING INCENTIVE SCHEMES**

The incentive pilot programme has demonstrated trials with varying degrees of success and a variety of levels of impact. Around half the trials show small (5-10%) but determinable increases in quantity of recyclables collected and there is also an example of potential cost savings and operational benefits achieved by offering incentives that reduced contamination to an extent that recycling loads were no longer being rejected by the local transfer station (see Breckland Council).

For Waste Collection Authorities in particular who are looking to estimate the potential impact that an incentive scheme might have the following simple illustration is provided. Important assumptions are that any increase in recycling tonnage collected is deemed to have an equivalent reduction in the level of residual waste and that the six-month pilot impacts are extended and maintained over a 12 month period.

- Cost of 12-month trial: ~ £1.00 per household/year (twice the 6 month pilot average)
- Potential improvement in level of recyclables capture (tonnes): 5-10% (exemplified in this pilot study)
- Improvement in overall recycling rate: 5-10% of existing level. e.g. an authority with a current recycling rate of 20% might achieve a new level of 21-22% a year later.

# 5 Recommendations

This pilot programme was established to investigate the potential benefits of local authorities offering incentives to householders for adopting a more sustainable approach to waste management. The Defra funded authorities have explored this by offering a variety of voluntary or financial incentives to householders – typically for participating in recycling activities.

Based on the results achieved, and the subsequent conclusions that were made (see Section 4), a number of recommendations are proposed for local authorities considering the use of incentives in the promotion of desirable waste management practices.

## 5.1 INCENTIVES IN THE CONTEXT OF LOCAL AUTHORITY AIMS AND OBJECTIVES

### 5.1.1 Waste Collection Authorities

The main aim for a Waste Collection Authority (WCA) is to increase the overall recycling rate for the area at the cheapest possible cost. This is as a direct result of the pressure to meet Government set recycling targets and/or to achieve CPA/Best Value objectives.

The basic options available to a WCA to achieve this include:

1. Introduction / expansion of a kerbside collection scheme to (more) households
2. Collection of more recyclable material streams (e.g. green waste / kitchen waste)
3. Increase recycling participation / set-out rates
4. Reduce contamination levels
5. Maximise capture rates

Options 1 and 2 clearly involve a change in infrastructure provision and the authority should conduct a detailed strategic assessment of the potential benefits of making such a change before implementation. Most of the waste material flow modelling tools that are available are able to forecast the potential costs and benefits of such changes. These scenarios can then be considered in the context of the alternative of maximising efficiency of existing infrastructure (Options 3 to 5) such as attempting to increase participation rates by offering incentives.

The decision of whether to adopt a change in waste collection infrastructure should also take into account the fact that such changes typically involve significant costs and may be difficult to reverse if unsuccessful. Incentives are usually offered over much shorter timescales and can be withdrawn at almost any time.

It is also worth bearing in mind that an incentive can also be offered in parallel with making a change in service provision in order to maximise the potential impact of making such a change through heightened awareness and publicity.

### 5.1.2 Waste Disposal Authorities

The main objective for Waste Disposal Authorities (WDAs) is to reduce their exposure under the Landfill Allowance Trading Scheme (LATS). i.e. to reduce the amount of biodegradable material sent to landfill. For these authorities, the potential costs of not meeting LATS targets (of up to £150/tonne) should provide the business case for

supporting incentives (that encourage recycling and composting of biodegradable materials) or to again consider service provision changes.

This pilot programme has demonstrated the potential for collaboration and closer partnership working between authorities, at both a WDA and WCA level, in order to offer a joined-up approach to incentivising households to recycle more. Examples from this study include: the Leicestershire Waste Partnership, Lancashire Waste Partnership and the West of England Partnership.

## 5.2 WHEN SHOULD AN INCENTIVE BE USED?

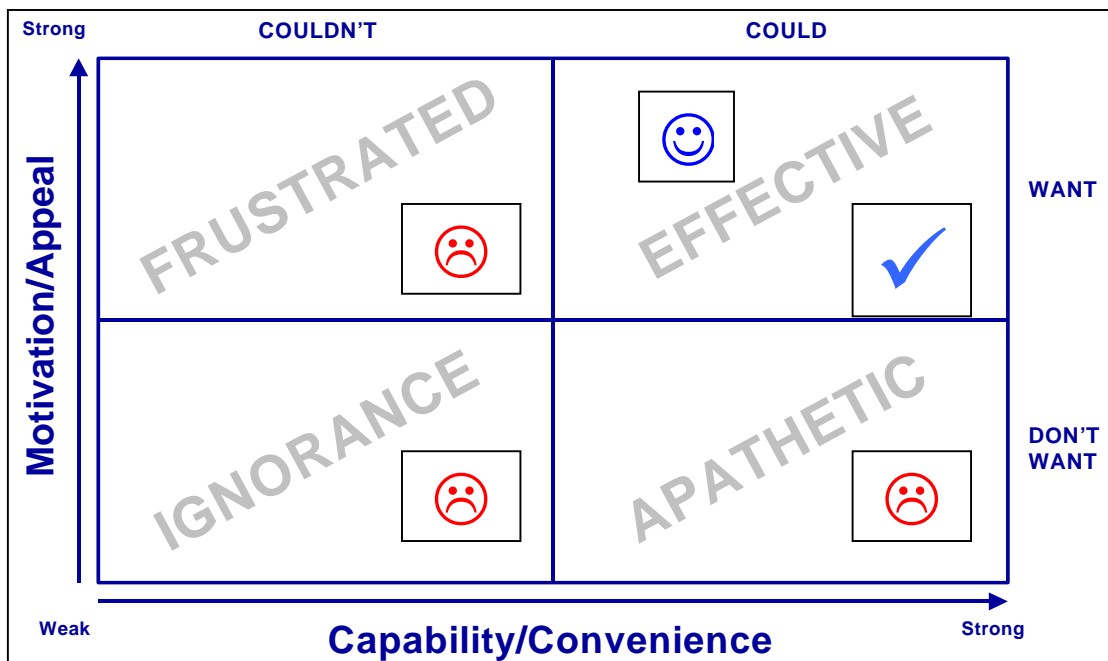
Authorities have a number of considerations to take into account when choosing an incentive to trial. There is, unfortunately, no 'one size fits all' ideal solution. As outlined earlier, the authority must first and foremost consider the barriers to recycling that it needs to address, e.g. lack of participation; excessive contamination; infrequency of collection service; number / size of collection receptacles.

The best solution may actually be to introduce a service / infrastructure change, e.g. collect more material types rather than an offering an incentive alone. Incentives should be seen as a means of maximising the efficiency of waste management infrastructure and service provision that is already available to householders.

Incentives should be targeted to the intended audience and demographics considering what barriers need to be addressed and ensuring that a convenient infrastructure is in place to allow them to adopt the desired behaviour. This is particularly relevant for authorities that have almost total kerbside collection round coverage and who are now looking to enhance recycling performance through either increased participation or capture rate or by reducing contamination.

Schemes aimed at raising awareness but that do not provide the necessary supporting infrastructure will lead to a frustrated target audience unable to carry out the intended action. Alternatively a poorly promoted scheme with an excellent delivery system in place will simply result in lack of understanding and commitment. This is illustrated in Figure 5, which shows the combined effects of motivation and convenience.

**Figure 5: Combined Effect of Motivation and Convenience**



Incentives can support the motivation of people from being 'apathetic' to 'effective' recyclers. A possible improvement in service delivery / infrastructure could support 'frustrated' recyclers becoming 'effective'.

### 5.3 LEARNING FROM OTHERS

This pilot programme has established a significant evidence base from which other authorities considering using incentives can benefit from. Of particular relevance are the elements of good practice (Section 4.2) and lessons learned (Section 4.3) that are summarised in this report.

In addition, all of the individual summaries contained in Appendix 1 highlight more specific aspects associated with running a particular incentive. Authorities are encouraged to examine whether other councils with similar geo-demographics and waste management service infrastructure have successfully implemented an incentive and consider whether it may be appropriate to their own objectives for increasing recycling performance. Equally, once a particular type of incentive has been chosen then authorities may wish to review the experiences of pilot authorities that have offered such an incentive.

The majority of authorities involved in the pilot have indicated a willingness to share their experiences with other interested parties and in some instances more detailed individual reports and analysis may be sourced from the authorities concerned.

The assessment of trials conducted under this pilot programme suggests that the critical success factors to achieving an impact from an incentive scheme are those associated with the actual management of the scheme<sup>6</sup> (see Sections 2.3 and 3.5) rather than 'environmental' or situational factors – such as geographical location, index of deprivation or existing recycling rates. The data from the pilot programme shows no direct correlation between the degree of impact of the trials and these latter factors.

Good practice and lessons learned from the trials conducted has been analysed and presented in this report and a simple action plan for successful implementation is now proposed.

### 5.4 IMPLEMENTING INCENTIVES – DEVELOPING AN ACTION PLAN

For authorities considering the introduction of an incentive scheme the following strategic approach and action plan is recommended:

#### 5.4.1 Step 1: Identify the barriers to improved performance

- What are the key issues to be addressed? e.g. contamination, participation, specific materials capture.
- Consider incentives as a possible tool in achieving a solution and/or whether a service delivery change is required – undertake market research testing if necessary.
- Consult best practice guidance available on optimisation of waste management services (e.g. from WRAP ROTATE – see Section 6) and examples of possible incentives schemes.

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<sup>6</sup> Stakeholder Commitment, Ownership, Finance, Project Management and Communications

- Choose incentives that are appropriate and appealing to the social demography of the area and consult with similar authorities that may have run similar trials.

#### **5.4.2 Step 2: Define measurable targets and objectives**

- This is critical to determining the key performance indicators (KPIs) so that potential behaviour change and performance can be measured and reported.
- Examples KPIs might include:
  - monthly recycling tonnage figures for individual collection round(s)
  - pre and post-trial participation rate monitoring
  - the percentage of households actively engaging in the incentive (e.g. registering pledges to recycle)
  - awareness and attitude surveys (e.g. via doorstepping)

#### **5.4.3 Step 3: Develop key messages for the incentive**

- The incentive should appeal to the values of a defined target audience to move them from a position of awareness of the incentive through to motivation to action.
- Review case studies of successful use of communications to incentivise recycling activity (see [www.recyclenowpartners.org.uk](http://www.recyclenowpartners.org.uk))
- Consider the use of specialist marketing agencies / PR specialists.

#### **5.4.4 Step 4: Engage stakeholders and partners**

- Investigate possible collaboration with partners to assist in extending the campaign reach and provide a credible intermediary that the target audience can associate with.
- This pilot programme has highlighted highly beneficial joint-working between authorities and local media, schools, charitable organisations and community / voluntary sector groups.

#### **5.4.5 Step 5: Implement incentive and supporting infrastructure**

- Plan the launch and implementation of the incentive ensuring that the supporting waste collection infrastructure is in place and operating effectively.
- Be realistic in scheduling activities and setting budgets – unrealistic timescales for implementation was the most commonly reported difficulty for authorities involved in the incentives pilot programme.

#### **5.4.6 Step 6: Review and feedback success**

- A process of at least monthly review is essential to monitor targets, trends and effectiveness.
- The review process should involve provision of feedback to the target audience to ensure continued support, and additional publicity, for the incentive.
- At the end of the incentive trial a critical review should be undertaken to examine what elements worked best and what lessons can be learned for enhancing the impact of any subsequent incentive trials.

## 6 Further Information

In addition to this Defra commissioned incentives research and pilot programme a number of guidance documents and toolkits are available to local authorities that are looking to optimise their recycling performance. Indeed this is part of the remit of WRAP ROTATE (Recycling and Organics Technical Advisory Team) and a selection of the most relevant guidance, in the context of applying and monitoring incentives to complement waste management infrastructure and service provision, is presented in this section.

### 6.1 BEST PRACTICE GUIDANCE FOR LOCAL AUTHORITIES CONSIDERING USING INCENTIVES

#### 6.1.1 Monitoring and Evaluation

The Waste and Resources Action Programme (WRAP) has recently produced a Good Practice Guide that provides comprehensive support to authorities - "Improving the Performance of Waste Diversion Schemes - A Good Practice Guide to Monitoring and Evaluation".

Monitoring and evaluating the impact of schemes and initiatives is essential if authorities want to improve them in the most cost-effective way. This document provides detailed, step-by-step guidance on a range of monitoring techniques, including:

- Surveys
- Participation and usage monitoring
- Capture rate analysis
- Contamination assessments
- Making better use of your tonnage data

Measuring the impact of communications campaigns, including incentives, is a special instance of monitoring and evaluation. How and when this should be done is included in Chapter 8 of 'Improving the Performance of Waste Diversion Schemes: A Good Practice Guide to Monitoring & Evaluation'.

The guide can be downloaded from:

[http://www.wrap.org.uk/local\\_authorities/toolkits\\_good\\_practice/monitoring\\_and\\_evaluation\\_guidance/index.html](http://www.wrap.org.uk/local_authorities/toolkits_good_practice/monitoring_and_evaluation_guidance/index.html)

In addition WRAP has also produced a guide that covers all aspects of planning, running and evaluating a communications campaign, which is essentially what an incentive scheme is:

"Developing Recycling Communications Campaigns" – available to download from:

[http://www.recyclenowpartners.org.uk/using\\_recycle\\_now/planning\\_for\\_local\\_authorities/index.html](http://www.recyclenowpartners.org.uk/using_recycle_now/planning_for_local_authorities/index.html)

### 6.1.2 Scheme Optimisation

Detailed guidance is also available to local authorities considering how to optimise existing kerbside collection system arrangements. This is the remit of WRAP's ROTATE (Recycling and Organics Technical Advisory Team) Programme and publications include:

- "Assessing the Impacts of Increasing the Range of Material Types Collected at the Kerbside"
- "Alternate Week Collections - Guidance for Local Authorities".

These guides are available to download from:

[http://www.wrap.org.uk/local\\_authorities/toolkits\\_good\\_practice/index.html](http://www.wrap.org.uk/local_authorities/toolkits_good_practice/index.html)

For further information and support from WRAP ROTATE please contact [rotate@wrap.org.uk](mailto:rotate@wrap.org.uk) or Tel: 01295 819911.

Further information is also available, for example, "Kerbside collection of recyclables and compostable waste" published by the Chartered Institution of Waste Management (October 2004).

### 6.1.3 Behavioural Change Local Fund (BCLF)

WRAP announced the new Behavioural Change Local Fund (BCLF) earlier this year with a target to increase participation by the public in recycling and composting services in their local area through effective communication during 2006-2008.

In addition to funding Local Authority projects WRAP are also working with the Community Waste Sector and will be making three types of resources available to complement the existing support provided as part of the national Recycle Now campaign:

- Web based communications toolkits will be freely available to all community groups.
- Local Events Kits (£100,000 equivalent funding) will contain a selection of standard 'essential items' for promotion at local events (e.g. display panels, leaflets etc).
- Direct funding for BCLF Community Projects (£400,000) will provide a number of grants for communications to increase participation, ranging from door knocking, community events, print materials, or something more innovative - perhaps involving incentives. The projects will need to complement local communications already being carried out by or on behalf of the local authority in that area.

More details can be found at:

[http://www.wrap.org.uk/local\\_authorities/behavioural\\_change/bclf\\_for.html](http://www.wrap.org.uk/local_authorities/behavioural_change/bclf_for.html)

## 6.2 INDIVIDUAL PILOT SUMMARIES

Concise summaries of all the pilot incentive schemes funded are included in Appendix 1 to this report. Not only do they all contain details of specific aspects associated with running a particular incentive but several also identify additional reports (e.g. attitudinal / participation surveys; waste analysis studies) that may be available from the particular authorities concerned to help inform authorities considering similar incentive trials.



# Appendices

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## CONTENTS

Appendix 1	INDIVIDUAL PILOT SUMMARIES
Appendix 2	LOCAL AUTHORITY SELF ASSESSMENT SURVEY

# Appendix 1

# Individual Pilot

# Summaries

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## CONTENTS

<b>NORTH EAST</b>	Alnwick DC City of Sunderland Durham County Council Newcastle Upon Tyne City Council Tees Valley
<b>NORTH WEST</b>	Lancashire Waste Partnership Rochdale MBC & Salford Sefton MBC Stockport MBC Cheshire Waste Partnership and Vale Royal Borough Crewe & Nantwich Calderdale MBC City of York Council East Riding of Yorkshire Council Leeds City Council
<b>YORKSHIRE &amp; HUMBERSIDE</b>	Leicestershire Waste Partnership Nottinghamshire County Council East Staffordshire BC Redditch BC Shropshire County Council Worcestershire County Council
<b>EAST MIDLANDS</b>	Breckland Council Cambridgeshire & Peterborough Waste Partnership Essex County Council South Norfolk DC St Edmundsbury BC
<b>WEST MIDLANDS</b>	Bromley and Sutton Hammersmith & Fulham and Lambeth Haringey Havering Islington (& Enfield & Hackney) Westminster City Council
<b>EAST</b>	Brighton & Hove City Council Canterbury City Council East & West Sussex Hampshire CC Slough BC South Oxfordshire DC
<b>LONDON</b>	West of England Partnership Dorset County Council Exeter City Council Gloucestershire CC Restormel BC Somerset County Council Teignbridge DC Wiltshire County Council
<b>SOUTH EAST</b>	
<b>SOUTH WEST</b>	

# **Appendix 2**

# **Local Authority Self**

# **Assessment Survey**

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# Local Authority Incentive Schemes

We would be grateful if you could spend a few minutes completing this survey.



Please specify the type of incentive you used during the pilot scheme to encourage improved waste practices by householders, if you piloted both a financial/carrot and a voluntary/carrot then please complete the form for both incentives but colour code the asterisks (\*,\*) so that we can distinguish between each incentive.

**Please mark the box with an \***

1. Financial / Carrot  e.g. cash rewards; discounts; subsidies
2. Voluntary / Carrot  e.g. community rewards; charitable donations

**Please specify:**

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Please now provide your assessment of how well the success factors (listed below) were implemented during the operation of your scheme (Column A). Please also provide your opinion on how important each success factor was to the implementation of your pilot scheme (Column B). Please put an asterisks (\*) in the box you select:

❖ **Stakeholder Commitment:** (commitment of all stakeholders to the success of the incentive scheme)

Success Factors	A					B				
	Score your Performance					How important was this factor to the success of your scheme?				
	Excellent	Good	Satisfactory	Poor	V-Poor	Critical	Very	Fairly	Low	Not at All
1. Support from top management?										
2. Support from Councilors?										
3. Support from Partners? (e.g. Oxfam, Save the Children, collection companies)										
4. Alignment with waste management policy/targets.										

Please provide any further comments below:

❖ **Ownership:** (overall drive, commitment from people operating the incentive scheme)

Success Factors	A					B				
	Score your performance					How important was this factor to the success of your scheme?				
	Excellent	Good	Satisfactory	Poor	V-Poor	Critical	Very	Fairly	Low	Not at All
5. Time commitment of staff (Full-Time, Long Term?)										
6. Drive of staff working on the incentive.										
7. Delivery from Partners.										

Comments: (e.g. who thought of the incentive? Is the incentive original or has it been done before?)

❖ **Financial funding:**

Success Factors	A					B				
	Score your performance					How important was this factor to the success of your scheme?				
	Excellent	Good	Satisfactory	Poor	V-Poor	Critical	Very	Fairly	Low	Not at all
8. Availability?										
9. Security into the future?										
10. Appropriateness/realism?										

**Comments:**

❖ **Project Management:** (Day to day management of the incentive scheme)

**Success Factors**

- 11. Suitability of Specific management structure?
- 12. Suitability of measurable objectives/aims?
- 13. Achievability of objectives/aims?
- 14. Alignment of objectives/aims with waste management policy?
- 15. Suitability and realism of timescale.
- 16. Quality of Risk Assessment in place.

A				
Score your performance				
Excellent	Good	Satisfactory	Poor	V-Poor

B				
How important was this factor to the success of your scheme?				
Critical	Very	Fairly	Low	Not at all

Comments:

❖ **Communication:** (Within Local Authority and to the community)

**Success Factors**

- 17. Internal awareness of scheme.
- 18. External awareness (i.e. publicity, awareness level)

A				
Score your performance				
Excellent	Good	Satisfactory	Poor	V-Poor

B				
How important was this factor to the success of your scheme?				
Critical	Very	Fairly	Low	Not at all

Comments (e.g. type of media used etc):

❖ **Value of the Incentive**

- 19. Rate the success of the incentive in promoting your scheme.

A				
Score your performance				
Excellent	Good	Satisfactory	Poor	V-Poor

B				
How important was this factor to the success of your scheme?				
Critical	Very	Fairly	Low	Not at all

Comments:

- 20. How was the success of the incentive monitored & evaluated? E.g. were there set targets for participation/tonnage recycled etc?