



# Inventory and evaluation of effectiveness of existing approaches

Determine context and success factors of voluntary alliances

**D2.1 – Final**



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## Authors

Cristina Osoro Cangas, WRAP

Kate Bygrave, WRAP

With contributions by:

David Rogers, WRAP

Barbara Leach, WRAP

Hilke Bos-Brouwers, Wageningen University & Research

With thanks to:

Lucy Smith, Ecologic Institute; Shelley Timms-Knowles, WRAP

Patrik Eisenhauer, CSCP; Toine Timmermans, Wageningen University & Research,

Balazs Cseh, HFA; Raquel Diaz, CREDA

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## List of abbreviations

<b>CA</b>	Consortium Agreement
<b>DoA</b>	Description of Action
<b>DoH</b>	Department of Health
<b>FA</b>	Framework for Action
<b>GA</b>	Grant Agreement
<b>NGO</b>	Non-Governmental Organisation
<b>WP</b>	Work Package

## Glossary

<b>Actor</b>	A participant in an action or process (in this case an alliance)
<b>Alliance</b>	A number of actors across different sectors who come together to formally sign up to achieve a shared ambition or target. This could be industry or Government led. Throughout the report Alliance, initiative and agreement are used interchangeably.
<b>Cost Benefit Analysis</b>	A systematic process for calculating and comparing benefits and costs of a project, decision or government policy
<b>Framework for Action</b>	A collaboratively agreed, self-determined 'pact' to take action on food waste and packaging materials generated at relevant stages of the food system.
<b>Governmental department/ organisations</b>	A sector of a national or state government that deals with a particular area of interest
<b>Key player</b>	Stakeholders who have a high influence on a Framework for Action and a high interest in the project's success or failure.
<b>Lead Organisation</b>	The principal organisation responsible for the administration and management of the Framework for Action.
<b>Signatory</b>	A participant / organisation who has formally signed up to achieve a shared ambition or target.
<b>Value chain</b>	The product journey from raw materials right through to consumption or removal.
<b>Voluntary agreement' or 'voluntary collective action'</b>	The activity of the alliance is sometimes also known as a 'voluntary agreement' or 'voluntary collective action'

# 1 Executive Summary

## 1.1 Objectives of work

REFRESH is an EU H2020 funded research project taking action against food waste. 26 partners from 12 European countries and China are working towards the project's aim to contribute towards Sustainable Development Goal 12.3 of halving per capita food waste at the retail and consumer level and reducing food losses along production and supply chains, reducing waste management costs, and maximizing the value from un-avoidable food waste and packaging materials.

This piece of analysis sits within REFRESH Work Package 2: Business Engagement – Frameworks for Action of the REFRESH project. Frameworks for Action (FAs) are collaboratively agreed, self-determined 'pacts' between a number of actors to take action on food waste and packaging materials generated at relevant stages of the food value or supply chain.

One of the key objectives of this Work Package is to design and validate a range of framework models through pilots in four European Countries: the Netherlands, Germany, Spain and Hungary. The outputs and evidence generated through these pilots will provide stimuli for other EU and third countries, including China, to take action in food waste prevention.

In order to inform the development of the REFRESH FAs it was first important to understand the current state of art in terms of existing alliances, voluntary agreements, frameworks and similar arrangements. These are referred to as "alliances" in this report to represent the broad and varied nature of such arrangements.

Initially, an inventory of existing alliances was developed based upon criteria which ensured those captured were relevant to the aims of REFRESH.

From this initial inventory, a smaller number of highly relevant alliances were selected for detailed analysis through further research and structured interviews.

The research led to the identification of a number of factors present in the most successful of these alliances. This knowledge will inform the development of FAs in the REFRESH pilot countries, and will contribute to the development of a blueprint for wider adoption of such framework approaches to tackle food waste along value chains in many additional countries.

## 1.2 Key Findings

The analysis of effectiveness of existing approaches is structured around the following factors:

- 1) Initiating and setting up the alliance
- 2) Governance and funding



- 3) Recruiting signatories
- 4) Establishing actions
- 5) Monitoring and evaluation

The analysis of 18 alliances led to the following key findings on successful and effectiveness:

### Initiating & Setting up

- Lead organisation: the initiator and lead organisation should have a positive reputation and be seen by the (potential) signatories as a trustworthy party, have access to the right actors/people to engage with and be able to commit them to the development of the alliance. The lead organisation has an important role in brokering agreement on the objectives and targets to be included in the alliance 'pact', specifically when (potential) signatories are heterogeneous in terms of sector and size).
- Governmental involvement contributes to the success of an alliance, through financial support but more importantly through commitment to the aim of the alliance. Therefore, engaging government in early phases of the setting up process provides a positive contribution to the success of the alliance.
- Full signatory engagement in the setting up stages seems to be a determinant of success to ensure ownership and setting of realistic ambitions, and the role of the lead organisation in brokering the agreement is critical.

### Governance and funding

- Available and dedicated funding improves the effectiveness of the alliance: the source of which varied significantly across the alliances, although most received some type of government funding.

### Recruiting signatories

- Choose the correct level of supply chain involvement represented in the alliance: whole supply chains should be involved in alliances that are trying to tackle whole supply chain problems.
- It is better to have fewer actively engaged signatories than many unengaged signatories.
- Ensuring key players sign up first aids the recruitment of signatories.
- The most common reasons for signatories joining alliances were (1) to influence policy development, (2) as a source of technical information and advice, (3) because the objectives of the alliance were in line with those of the organisation, and (4) to improve competitiveness.
- A strong business case to convince signatories is essential: the lead organisation needs to be able to outline the advantages for the signatories to join.
- Signatory concerns that will need to be overcome include: Financial implications; human resource implications; lack of policy, economic or other

drivers to encourage engagement; reputational risk issues; and threats to competitiveness

### Establishing actions

- The role of the lead organisation is important in managing conflicts and providing information in a way that can be easily understood by signatories.
- Giving signatories freedom to choose their own actions from a predefined selection seems to have encouraged action

### Monitoring and evaluation

- A monitoring framework is essential to check whether the alliance is on track to achieving its objective

Other factors to take into consideration are:

- Contextual factors need to be taken account when initiating an alliance as they can be helpful (e.g. conducive policy environment) or unhelpful (e.g. harsh economic conditions).
- A real threat of regulation if a voluntary approach did not work was a key driver behind some alliances.

As highlighted previously, this report will inform the continued development of FAs in the REFRESH pilot countries. Government involvement (whether at local or national level) was noted as valuable, and to date, all of the PWPs within the pilot countries have input from government.

Ensuring a good mix of actors along the value chain is also considered as a success factor. This has already begun in the 4 pilot countries but as the FAs evolve, this understanding should help shape the strategies for attracting additional signatories

## 2 Introduction

### 2.1 REFRESH

REFRESH is an EU H2020 research project taking action against food waste. 26 partners from 12 European countries and China are working towards the project's goal to contribute towards Sustainable Development Goal 12.3 of halving per capita food waste at the retail and consumer level and reducing food losses along production and supply chains, reducing waste management costs, and maximizing the value from un-avoidable food waste and packaging materials.

This piece of analysis sits within Work Package 2: Business Engagement – Frameworks for Action. One of the key objectives of this Work Package is to design and validate a range of framework models through pilots in four European Countries; the Netherlands, Germany, Spain and Hungary. The outputs and evidence generated through these pilots will provide the stimulus for other EU and third countries, including China, to take action so of particular interest to businesses and policymakers across the EU; those in the driving seat for establishing collaborative approaches to the prevention of food waste.

REFRESH runs for 4 years (until June 2019) and over this period the framework models will be continuously monitored and adapted where necessary to ensure the best chance of success. An overarching aim of the project is to develop the blueprint for a pan-European Framework for Action; as such the results of each pilot will be compared and contrasted to demonstrate the specific strengths of each approach and its associated context. The end result will be a blueprint which:

- demonstrates what impact a Framework for Action can have;
- shows how best to make a pan-European Framework for Action work; and
- shows that such a Framework for Action would be viable / useful at an EU level.

The research and analysis covered in this report is therefore integral to the long-term plans of the project.

Primarily an 'Inventory of Existing Alliances' was developed, the template of which was carefully designed to determine (among other factors) the context and success factors of established alliances. Drawing on the experience of similar alliances, allows us a greater understanding of the prime conditions to both establish and manage a Framework for Action. This valuable information can be fed back into the 4 pilots to maximise their potential.

Evaluating the effectiveness, impacts and drawbacks of the ways the existing alliances have been designed and implemented then feeds into the creation of our own Framework for Action design.

Throughout the report we refer to the different Framework models included in the research as 'Alliances' - a number of actors across different sectors who come together to formally sign up to achieve a shared ambition or target. This could be industry or Government led. Similar terms we came across were initiatives and

agreements; however for the purpose of this report, and in keeping with the DOA, we will refer to them as alliances.

## 2.2 Aims of the work

More specifically, Task 2.1 is focused on the development of an “Inventory of Existing Alliances<sup>1</sup>” and using that information to delve deeper into the mechanics of similar alliances<sup>2</sup>. What factors contributed to their success and how was success measured? What barriers did they face and how did they overcome them?

Not only does this piece of work feed firmly into the future development of the Frameworks for Action, it provides information for other Work Packages within the project. The Inventory of Existing Alliances feeds into Work Package 3<sup>3</sup>. The inventory itself will feature on the “Centre of Excellence” being developed in Task 2.4<sup>4</sup>, providing information to others on establishing a successful and impactful Framework for Action.

In order to be robust, a Framework for Action needs to be underpinned by evidence, and this analysis will be a valuable part of building a strong case for success when establishing a new one.

The agreed process for this work is summarised below;

- Design and populate an inventory of existing alliances
- Filter the inventory to focus on those alliances that fit all of the key criteria
- Undertake expert interviews with the leaders of these selected alliances
- Assess what are the success factors and what are the barriers that the selected alliances had to overcome with the aim of learning from their experience.

The primary aim of this work is feed into the development of the Frameworks for Action, but it will also serve as a practical resource to aid any organisation wishing to set up a similar Framework for Action outside REFRESH.

The report does not add to the extensive literature that seeks to determine whether or not voluntary approaches are a good alternative to public policy<sup>5</sup>. It is not adding to the also extensive literature<sup>6</sup> that seeks to ascertain what makes private

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<sup>1</sup> T2.1.1: Develop a categorised inventory of existing alliances delivered within the EU and third countries that provide learning towards potential FA models.

<sup>2</sup> T2.1.2: By undertaking expert interviews with leaders of existing alliances, and using input from the EAB, develop an evidence base.

<sup>3</sup> Policy Framework for food waste prevention, recycling and reuse; providing supporting evidence to determine the policy framework in which they’ve been established

<sup>4</sup> Replicate Project Outcomes through Centre of Excellence

<sup>5</sup> OECD. (2003), *Voluntary Approaches for Environmental Policy: Effectiveness, Efficiency and Usage in Policy Mixes*, OECD Publishing, Paris.

OECD. (2000), *Voluntary Approaches for Environmental Policy: An Assessment*, OECD Publishing, Paris.

<sup>6</sup> This is a good literature review but it mainly focuses in the UK: Webb, B., Chilvers, J. and Keeble, J., 2006. *Improving Business Environmental Performance: Corporate Incentives and Drivers in Decision*

organisations go beyond the minimum regulatory requirements or motivate them to join voluntary agreements.

This piece of work provides practical information on the contributing success factors and barriers overcome by the alliances interviewed. Each fulfilled very specific criteria (as detailed in section *2.3 Inventory of existing alliances*) based exclusively upon the responses of the lead organisations during an in depth interview. We are presenting the findings from the interviews avoiding generalisation but highlighting any factor that should be considered by other lead organisations wishing to set up an alliance.

## 2.3 Inventory of existing alliances

The first task was to agree the criteria and structure of the inventory template to ensure it would capture core information required to evaluate the alliances. A first draft was created and reviewed within WRAP and then circulated to the 4 PWPs<sup>7</sup>, and wider REFRESH partners to actively contribute to populating the inventory. It was agreed the inventory should not be limited to the food and drink industry, as valuable lessons could be transferred from other sectors, however the priorities were outlined as below;

- (1) Food waste related - any scale
- (2) Food related - medium/large scale
- (3) large-scale alliances from other sectors

Additional criteria were agreed as follows;

- Only include alliances that are either current OR have been established since the year 2000
- It should be a voluntary agreement involving a variety of different actors across the value chain
- Please specify who led the alliance (e.g. industry, NGO or Government-led)
- The inventory is not limited to EU member states and China, but the initial focus should be here. However if wider examples are known then these should be included
- Out of scope are resolution/commitment/pledges that just require an organisation to signal support, but does not commit them to take action

The inventory was populated by the contributing partners and the final document had a total of 62 alliances, found at Annex *IV: Inventory of Existing Alliances*

## 2.4 How the alliances were selected

The inventory was then subject to further analysis; initially to identify agreements which appeared similar to what we are looking to achieve in REFRESH with the

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*Making.* A report to the Department for Environment, Food and Rural Affairs by Arthur D Little Ltd. Defra, London.

<sup>7</sup> Netherlands, Germany, Spain, Hungary

Frameworks for Action – i.e. examples of whole chain projects, and projects which have a wide ranging participant range and remit. Since the number of alliances was comprehensive, we prioritised those alliances that met the criteria more closely and those in the food and drink sectors. However, the final list includes alliances from other sectors as their set up seemed very relevant to REFRESH in the other criteria so we thought we could extract valuable learnings. Table 1 summarises the sectors covered by the alliances in this study:

**Table 1: Sectors**

Sector	Number of alliances
Food	3
Drink: Soft Drinks	1
Food and Drink	10
Food and Drink and Non-Food: other consumer products and hospitality including packaging	4
Non-Food: Textiles	1

Following this review, the internal WRAP team shared their suggestions of the alliances which appeared most relevant for further investigation. These were pulled into a draft shortlist which was again circulated for wider consent. This feedback was incorporated back into the draft shortlist – leaving a final list of alliances for analysis.

## 2.5 Alliances included in the analysis

Table 2 summarises the alliances included in this study.

**Table 2: Alliances included in this study**

Name of the initiative	When did it start?	When is due to finish?	Geographical scope
1. La Alimentación no tiene desperdicio. Aprovéchala. AECOC	2012	Ongoing	Spain
2. Pacte National de Lutte contre le gaspillage alimentaire	2013	Ongoing	France
3. British Soft Drinks Association	2013	Ongoing	UK
4. Public Health Responsibility Deal	2011	Ongoing	UK
5. The Supply Chain Initiative	2013	Ongoing	EU
6. TI Food and Nutrition PPS	4 <sup>th</sup> phase 2011	Ongoing	Mostly Netherlands, but also EU and USA
7. Bcn comparteix el menjar	2012	Ongoing	Barcelona, Spain
8. Manifest prou malbaratar aliments	2014	Ongoing	Catalonia, Spain
9. Food Waste Reduction Alliance (US)	2011	2017	USA
10. The Sustainable Food Alliance	3 <sup>rd</sup> phase 2013	Ongoing	Netherlands
11. Dairy Roadmap	2008	Ongoing	UK
12. Bündnis für nachhaltige Textilien	2014	Ongoing	Germany
13. Courtauld Commitment 1–3	3 <sup>rd</sup> phase 2011	2015	UK
14. Food Supply Chain Roadmap 2020	2015	2020	Belgium
15. Format Norway	2009	Ongoing	Norway
16. Forum Nachhaltiger Kakao	2012	Ongoing	Germany
17. Hospitality and Food Service Agreement	2012	2015	UK
18. TSC, The Sustainability Consortium Europe	2009	Ongoing	Global

### 2.5.1 Representation of supply chain

One of the main criteria in selecting alliances for this study was that they had successfully managed to involve a range of organisations from across the supply chain. All alliances interviewed had successfully managed to do this. The range of organisations involved depended on the problem the alliance was trying to solve.

*Table 3: Range of organisations involved in the alliances* shows the different types of organisations involved in each of the alliances interviewed.

All the alliances interviewed but one had directly involved the individual organisations (i.e. individual retailers, manufacturers etc.) as members. Only the Food Supply Chain Roadmap 2020 (Belgium) had Associations and Federations representing every stage of the supply chain from agriculture to retailers. This meant that the Trade Associations and Federations were in charge of filtering the information down to its members and encouraging them to take action.

Consumers were frequently represented by charities, non-for profit organisations or Government departments that looked after their interests, rather than having individual consumers as part of the agreement.

Government was always involved in the alliance to some degree and we will explore the role of government separately in section 4.1.4 **Government**. Trade Associations were frequently involved in the alliances as well and perhaps not surprisingly, larger organisations were more frequently part of the alliances compared to small and medium organisations. The latter were sometimes represented the by Trade Associations. The difficulty of engaging with smaller organisations will be addressed in section 4.3.1 Recruitment strategies



**Table 3: Range of organisations involved in the alliances**

Alliance	Sector	Government	Retailers	Manufacturers	Large business	Producers	Trade Associations	Not for profit	Small & medium businesses	Charity	Consumers	Universities	Hospitality	Other*
BCN comparteix el menjar	Food & Hospitality	✓	✓	✓	✓	✓		✓	✓	✓		✓	✓	✓
British Soft Drinks Association	Soft Drinks	✓	✓			✓	✓	✓			✓			
Bündnis für nachhaltige Textilien	Textile	✓	✓	✓	✓	✓	✓		✓	✓	✓			✓
Courtauld Commitment 1-3	Food & Drink	✓	✓	✓	✓	✓	✓		✓					
Dairy Roadmap	Food & Drink	✓	✓	✓			✓							
Food Supply Chain Roadmap 2020	Food	✓	✓	✓	✓	✓		✓	✓	✓	✓			
Food Waste Reduction Alliance (US)	Food & Drink	✓	✓	✓	✓	✓	✓	✓	✓	✓				
Format Norway	Food & Drink	✓	✓	✓	✓	✓	✓				✓		✓	
Forum Nachhaltiger Kakao	Food	✓	✓	✓			✓					✓		
HaFS	Hospitality	✓					✓	✓					✓	✓
La Alimentación no tiene desperdicio. Aprovéchala. AECOC	Food & Drink	✓			✓			✓	✓	✓				✓
Manifest prou malbaratar aliments	Food	✓	✓	✓	✓	✓	✓	✓	✓			✓		
Pacte National de Lutte contre le gaspillage alimentaire	Food & Drink	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓		✓	
Public Health Responsibility Deal	Food & Drink	✓	✓					✓						✓
The Supply Chain Initiative	Consumer products	✓	✓	✓	✓	✓	✓	✓	✓		✓			
The Sustainable Food Alliance, Netherlands	Food & Drink	✓	✓	✓	✓	✓	✓		✓					
TI Food and Nutrition PPS	Food & Drink	✓	✓	✓	✓	✓		✓		✓		✓		✓
TSC, The Sustainability Consortium Europe	Consumer products	✓		✓	✓	✓	✓	✓	✓			✓		

\*HaFSA: Waste management companies; *BCN comparteix ele menjar* and *La alimentacion no tiene despercio*; Transport and distribution companies; *TI Food and Nutrition PPS*: Technology Suppliers; Bündnis für nachhaltige Textilien: Trade Unions and Standard organisations; Public Health Responsibility Deal: Hospital Trust and NHS

## 3 Research Method

### 3.1 Interviews

After shortlisting the alliances (see *2.4 How the alliances were selected*), we interviewed a representative of the lead organisation by phone using a semi-structured approach. Table 4 displays the number of lead organisations by type.

**Table 4: Lead organisations by type**

Lead organisation's type	Number of lead organisations of each type
Charity/NGO/Non-for-profit	6
Trade association or group of trade associations	6
Governmental	5
Separate organisation owned by trade associations and government	1

The purpose of the interview was to:

- obtain a profile of the types of businesses in the alliances and assess the gap between the alliance and the sector as whole;
- identify conditions in which working along business value chains is possible;
- assess how existing alliances create drivers and norms which cascade to everyday changes in working practice;
- develop a better understanding of how behaviour has been changed within businesses, both at the individual and organisational level;
- evaluate the effectiveness, impacts and drawbacks of the different ways in which alliances have been designed and operationalized.

The full interview guide is attached to this report in section *Annex II: Interview Guide Lead Organisations*.

The interviews were carried out between January and April 2016. The responses were transferred by the interviewer into an online survey package to aid analysis and reporting.

To gather additional insights, we decided to also interview a number of signatories to the alliances. The interview guide for signatories is attached in section *Annex III: Interview Guide Signatories*. The purpose of the interview was primarily to corroborate the response from the lead organisation covering, for example, the main reasons for joining the alliance, why they continued to be part of it, whether they experienced any problems with the reporting requirements,

and from their point of view what were the main factors that contributed to the success or not of the alliance and whether they felt it had been a success.

The majority of interviews were conducted in English and the interview guide was sent in advance to allow the respondent to prepare. Some interviews were conducted in Spanish and translated into English. We were unable to interview signatories to all the alliances due to resource constraints.

## **3.2 Data analysis**

Qualitative data analysis is by its nature a subjective process, but an effort has been made to follow a rigorous approach that is transparent and that allows us to trace back the findings to the actual data from the interview responses.

A combination of a deductive and inductive approach was used, starting with identifying overarching themes and a series of sub-themes. We listened back to all the interviews (which were recorded), filled in any gaps in survey responses, and identified emerging patterns for each theme. These were classified and coded using an iterative process until a final list of codes was devised.

The narrative was then created, structuring the responses around those themes that would allow us to answer the research questions. Findings were supported by anonymised paraphrased responses from the interviews.

## 4 Findings

In this chapter we set out the findings of the research, structuring the discussion around the lessons from five areas of activity:

1. Initiating and setting up the alliance
2. Governance and funding
3. Building the alliance: recruiting signatories
4. Establishing actions
5. **Error! Reference source not found.**

We then draw some general conclusions about the success factors and barriers to success.

### 4.1 Initiating and setting up the alliance

This area of activity involves 2 steps in the development of the alliance. By 'initiating' we mean the process by which the alliance came to exist in the first place. By 'setting up' we mean the subsequent stage of activity involving identifying the problem and defining the scope, targets and ambitions of the alliance. In this section we define and describe the development process, identifying two main approaches. We also describe the role of government in the early stages of the alliance as literature had suggested this is an important determinant of success. Finally we highlight the success factors and barriers in the setting up process, and set out the lessons learned.

#### 4.1.1 Initiative drivers

The initiation of an alliance may be internally and/or externally driven. In many cases the initiation of the alliance was driven by government or an agent of the government responding to a larger, societal problem.

The role of the lead organisations in bringing the whole sector together was considered an essential driver. The fact that for many alliances the lead organisation was trustworthy and committed to success was important. Where a signatory had previously worked with the lead organisation was also an important factor, as it ensures a level of trust from the outset.

However, in some cases, it was the sector's realisation that the long-term sustainability of the business may be at risk that started the process leading to the creation of the alliance.

One alliance was started by the chains realising that they could not establish a sustainable food chain without one another. In another example, the alliance began through the acceptance that collaboration was the key to staying competitive in the long-term.

This highlights the need for signatories to understand and recognise the problem at hand and their role in solving it. It signifies that in order to resolve supply chain problems, the whole supply chain needs to be involved.

One alliance said that leading role played by Trade Associations was the main factor that contributed to the successful establishment of the agreement. The expertise they had in food waste was critical to helping the government understand the issues, which in turn had accelerated their support of the agreement.

Contextual factors may also play a role in the initiation of alliances. The recent economic crisis<sup>8</sup> felt in many EU countries contributed to the establishment of several agreements. For the selected alliances in the study, this was particularly apparent in France and Spain. Some alliances mentioned other contextual factors such as the increasing consumer awareness of the problem the alliance was trying to address due to media coverage for example.

In one instance the alliance attributed its quick success to the economic crisis in Spain, which had led to the public becoming more sensitised to the issue of food waste both in terms of cutting the costs of their food bills and from an ethical perspective.

A perceived 'threat' of future normative regulation as a 'final straw' for governments to coerce signatories to take action can also drive the creation of an alliance, as was found in some cases. Through setting up a voluntary mechanism to divert negative consequences and achieve the societal ambitions set out by government, an alliance can choose to demonstrate to government an alternative, lower cost approach to dealing with a problem.

#### 4.1.2 Setting up approaches

Representatives of the alliances' lead organisations were asked about the setting up process and the roles played by different signatories. Two main approaches could be identified to setting objectives and defining targets:

1. Participatory approach in which signatories jointly decided objectives and targets
2. Lead organisation driven approach in which objectives and targets were defined by that organisation and presented to potential signatories.

We discuss each in turn.

##### The participatory approach

In this approach, signatories met and jointly decided what the objectives, scope and targets of the alliance should be. The lead organisation typically identified who to invite and facilitated the process, but the process was very much a negotiation.

One alliance explained it had retrospectively changed its approach so that signatories were responsible for measuring their progress, rather than for

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<sup>8</sup> The European debt crisis (often also referred to as the Eurozone crisis or the European sovereign debt crisis) is a multi-year debt crisis that has been taking place in the European Union since the end of 2009.

achieving goals. They had worked together to re-write the objectives in a realistic joint commitment that everyone was able to contribute to.

A separate alliance acknowledged the presence of key players from the food and drink sector on the steering group as recognition from industry that food waste was a problem.

In another case the alliance had sought representation from the entire food chain, recognising that they could not make commitments in the food chain if not all sectors were involved.

One alliance in particular felt that a declaration of commitment was not enough, and went beyond it to commit to specific actions. Actions were grouped under themes, and reviewed by civil society organisations and NGOs as Government wanted to get their support on the objectives.

The participatory approach seems to be favoured by governments leading the process as they are not keen to be imposing their views on signatories. However, this approach is not restricted to government as lead organisation; the key characteristic is the negotiation process.

There are drawbacks to the participatory approach. One representative of a lead organisation commented that it was difficult to decide when to involve which signatories to ensure everybody was able to contribute, whilst at the same time making sure that the alliance was successfully set up. If signatories are heterogeneous it can be difficult to define common objectives and targets in a participative way. Similarly, different sectors across the supply chain might be at different stages of addressing the problem the alliance is trying to solve, and therefore might be unable to agree on the desired level of ambition. For example, in one case, the alliance involved retailers, manufacturers and the hospitality sector, but the latter sector is very different to the former two and had not made so much progress on understanding and quantifying the issue being addressed. This was reflected in the fact that it was a voluntary agreement with no penalty for not achieving targets.

When signatories were asked about the most challenging aspect of working with the supply chain, the process of defining objectives was identified by some respondents. They mentioned the time required identifying and involving the right people across all sectors, and also the time required reaching agreement on the scope, objectives and targets across sectors.

One alliance overcame this by continued communication with the different actors to learn about the priorities in each sector. This led to everyone being involved in the process, and meant the key objectives were discussed and chosen by the actors themselves.

Another took a similar approach and set up a number of working groups to ensure that everyone involved in the alliance had a voice, and noted that these groups were always well attended.

In another case, there were differences between larger and smaller organisations that made reaching an agreement difficult. Smaller signatories thought that the

problem should be addressed only by the larger signatories so it was perceived as more difficult to encourage the smaller signatories to engage. One of the alliances interviewed had suggested that smaller businesses just don't have the resources (both time and money) to fully participate, and perhaps reducing the number of actions they are committed to would make it more accessible to them.

### Lead organisation driven approach

In this approach, the lead organisations had typically carried out a lot of the work in advance, for example identifying a problem, conducting background research, and defining the scope, objectives and in some cases even the targets. We have identified three ways in which the lead organisation went about setting up the alliance. We have characterised them as 'take it or leave it', 'prepare, present, negotiate' and 'test and roll out'.

#### **1. Take it or leave it**

In this approach, the lead organisation develops a series of commitments, good practices or targets based on their research and experience. Potential signatories and other stakeholders are approached and asked to sign up. This approach is particularly appropriate if the lead organisation is already known and trusted by the potential signatories so the process of building up trust in the early stages is not necessary.

One of the lead alliances felt that setting the targets themselves was easier than getting the organisations across the supply chain to define them, even though more extensive research had been required for the latter targets.

It is also appropriate when the alliance is not committing signatories to do anything other than sign up to a series of principles. In one case the lead alliance had developed a manifesto which was then publically presented, and any business concerned about food waste was invited to sign it. It was noted that there had been joint consensus and no major issues on agreeing the targets and objectives.

#### **2. Prepare, present, negotiate**

In this approach the lead organisation defines a series of options and presents them to potential signatories for discussion. This combines the participatory approach with the lead organisation driven approach. The distinction is that the lead organisation has already carried out much of the initial work (i.e. scoping, defining the overall objectives of the alliance and the commitments) and only the final targets are subject to negotiation. This approach has been used where the lead organisation is trusted as an evidence-based delivery organisation but there is uncertainty over what signatories can realistically deliver.

One of the alliances who had taken this approach described the evidence gathering as a lengthy process, but that information had supported their engagement with the potential signatories. They did go on to mention however that agreeing the targets had been a challenge.

#### **3. Test and roll out**

In this model the alliance sets up pilot projects that address the problem they have identified, testing the solution they think might be appropriate. Armed with evidence of success, they then identify other possible signatories with whom to engage. This approach has been used where the alliance is based on specific actions, for example, partnerships between the hospitality sector and charities to redistribute cooked food to shelters. One in particular had run a successful pilot with a hotel and a social centre providing support to families in poverty.

### Comparison of effectiveness

Whether a participatory process is used, or the 'prepare, present, negotiate' variant of the lead organisation driven approach, the involvement of signatories in the setting up and objective-setting process does seem to be a success factor due to the sense of ownership that it creates.

One alliance felt it worked particularly well because they involved as many partners as possible in the process from the start. Another felt the inclusion of stakeholders in the early discussions had contributed to them having a strong sense of ownership of the agreement.

In one case it was the first time that representatives from all of the sectors had sat together in the same room, and it was noted that everyone was proud to be contributing to a shared and clear vision.

#### 4.1.3 The role of actors in the setting up process

##### The lead organisation

The lead organisation was found to be a very important driver of the setting up process, even where a participatory approach was used. They played a particularly important role engaging with the right people and encouraging them to be part of the process.

The facilitating role of the lead organisation is very important to manage conflicts of interest by the different stakeholders. The lead organisation needs to ensure that everybody is able to share their views, that all the views are considered, but that progress is being made. In order to do this it is important to keep reminding stakeholders of the objective of the alliance to ensure negotiations move forward.

The process by which the lead organisation is selected is not explored in this study though in most cases it seems to be self-selected. That is, the lead organisation is concerned about an issue and they set up a framework to address it by involving all the relevant parties, seeking governmental support and funding when required etc.

One lead organisation had discussions with government and stakeholders before the launch of the agreement to gather interest. They had developed a number of different options of targets which were presented to potential signatories in a series of events across the country for their feedback.

In some cases the lead organisation is in fact governmental as seen in *Table 4: Lead organisations by type*.



A positive reputation of the lead organisation was found to be important in the setting up process for some alliances with one referencing the fact that they'd already worked with the lead alliance leading to a level of trust from the beginning.

### Government

Government, be it national, regional or local, was involved in all but two of the alliances covered by the research although even these two kept government informed of progress and one successfully secured government funding. Our research indicates that one of the main success factors is having government backing, including but not limited to financial support. One in particular said that government involvement was one of the main factors that contributed to the successful establishment of the alliance. In fact a lack of political backing and involvement was mentioned by several lead organisations as a factor hindering the success of the alliance.

The degree of government involvement varied widely. In most of the selected alliances, government organisations played a very active role in the setting up process, taking part in steering groups and providing information and general support. As seen before, in some cases, the lead organisation was in fact governmental. In the case of one of the alliances, the first phase was actually developed to contribute to the identification of regulatory and fiscal changes that could help the manufacturing, retail and hospitality sectors reduce food waste.

Governmental involvement was always regarded as beneficial by the alliances and in some cases essential. In some cases, alliances were in fact established in response to a government initiative. In these cases, governments had typically identified a problem and were asking the sector to act on it. In a couple of cases, government leadership continued throughout the life of the alliance, but more commonly that role was handed over to another organisation once set up was complete.

One alliance which was started by the government is now run solely by the lead organisation and industry bodies, although the government does acknowledge certain issues. In another example the government started the process and acted as coordinators however now think the alliance should be handed over to the businesses to lead.

Signatories were particularly keen that representatives of government be active members of the alliance. One signatory was worried that, despite leading the setting up of the alliance, government support might decrease depending on the outcome of upcoming general elections. This showcases the risk of having government as the lead organisation as the alliance is then to some extent dependant on changing political and economic priorities; it might suggest that it would be more appropriate to have government as an active stakeholder in the initiative rather than the lead organisation. One signatory mentioned that the lack of policy makers in the alliance was one of the main factors hindering success.

### *Role of signatories*

The strong will and commitment of the people involved from the signatory organisations, along with a common understanding and shared vision, have been frequently mentioned as the main contributor to the success of the alliances. Similarly one alliance referenced the engagement of member companies from the beginning as a very important success factor.

Having industry input into the design, and meetings chaired by independent experts and setting the directions was incredibly important to the success of one alliance.

Trust between signatories and between signatories and the lead organisation is a critical success factor. Being able to learn from others is one of the most significant added value factors, but there does need to be trust for that to happen. The signatories in one alliance found that working together across sectors gave them a better understanding of the problems faced from a different perspective. Another highlighted the willingness of the different sectors in engaging with each other and investing their time to solve a shared problem.

### **Lessons from the initiation and setting up processes**

1. Contextual factors can be important external drivers to initiate alliances. These factors include the economic context and anticipated new, normative regulation in the (near) future. If the context is not conducive then an alliance may not successfully form. The momentum created by contextual factors can be used to drive change.
2. Choose an appropriate approach for settling objectives and targets for the alliance: participatory or lead organisation driven. Each may be appropriate in different situations, with government-led alliances tending to favour the former and organisations that are already trusted tending to favour the latter.
  - a. It may be difficult to reach agreement using a participatory approaches if the signatories are heterogeneous and at different stages of progress in tackling the issue
  - b. If taking a lead organisation driven approach, decide how objectives and targets will be decided, using one of the three approaches identified in this research, namely 'take it or leave it', 'prepare, present, negotiate', or 'test and roll out'
3. The most successful alliances seem to involve signatories early in the process and allow them to influence objectives and targets. It is important to ensure that all relevant stakeholders are involved and that they all have a chance to contribute. Attention should be given to ensuring no sector is overrepresented or their concerns to have a higher weight on the scoping and objective setting process.
4. Regardless of the approach taken, the lead organisation plays a critical role in engaging potential signatories, so should be carefully selected. The process by which

the lead organisation is selected is not explored in this report in detail, but from the interviews we see that an actor with a trustworthy reputation and proven track record as perceived by the signatories seems to be particularly successful.

5. Government involvement in the setting up process can be critical. In some cases government holds the evidence for action, it often has the power to bring organisations together, it can provide impartial support and guidance, and it has the power to introduce new policy when evidence suggests it might be beneficial. It can also provide real motivation by imposing new, normative regulation if no voluntary action is taken, or if the voluntary approach is not successful. If government is not involved, the lead organisation should seek to secure its involvement early in the initiation process.

## 4.2 Governance and funding

### 4.2.1 Governance structure

#### Steering group/working group structure

Most of the alliances are governed by a combination of a steering group that provide guidance and strategic direction, and working groups that focus on specific projects or aspects of the alliance. We define a steering group as “a committee that provides guidance, direction and control to a project” and a working group as “a group of experts working together on a specific subject area or a specific goal”.

The steering group tends to have been formed by relatively senior representatives of the sectors or companies covered by the alliance who have the authority to make decisions. Steering groups frequently involve government officials, advisors and sector leaders. The working groups tend to be formed around specific subject areas or activities. Usually the people involved are not decision makers but technical specialists.

The steering group/working group governance structure allows the alliances to engage with key decision makers that have the power to influence change in their companies through the steering group while engaging with technical experts on working groups who are best placed to define the most effective way of implementing the change. It was recognised in the interviews that participants in a steering group tend to be very high level, with the authority to implement changes within the companies. Equally so, the working groups have the technical knowledge and expertise to define how the proposed changes should be implemented.

The structure also allows for a strong sense of joint ownership. Decisions can only be made if there is consensus so companies feel they own those decisions and commitments, which makes it more likely that signatories will take action. Additionally, the regular meetings of the steering groups and working groups act

as a prompt for signatories to take action, driving forward change and enabling signatories to show they have made progress. In essence, the structure brings the signatories together so they can both learn from each other and pressure each other to deliver and take action.

The steering groups and working groups also provide an opportunity for signatories to hold the lead organisation to account. This was seen as positive by both the lead organisations and the signatories as it provides reassurance that the alliance is on the right track.

The structure also promotes good representation across sectors, which ensures all views can be considered and everybody has a voice. As one alliance mentioned it means that no one organisation is dominant in the group.

There are disadvantages to the steering group/working group governance structure, though. Some people felt it was a time-consuming and intensive process due to the need to reach consensus. One mentioned the need to have a strong team to support the process, while another recognised that decision making takes time, therefore using that time effectively was key.

Additionally, sharing information across working groups can be a challenge because they are very much focused on their subject. In this case it is important for the lead organisation to ensure that relevant information is shared.

### Alternative governance structures

Only a couple of alliances had a different governance structure; in one case the alliance was only managed solely by the lead organisation while in the other it was managed by the lead organisation which sought advice from a Board which acted similarly to a steering group. The main advantage of these alternative governance arrangements was felt to be that decisions could be made quickly and bureaucracy was minimised. However, the challenge was that all the work fell on just a few people and sometimes they could not cope with all the tasks and actions.

#### 4.2.2 Funding

By 'funding' we mean a financial contribution towards the governance of the alliance, towards any research that is required, and/or to cover the cost of specific projects and actions required from signatories.

Funding strategies varied significantly across the alliances from no funding at all, through to entirely government funded, entirely signatory funded, some combination of government and signatory funding, and other sources of funding.

##### 1. No funding

Some alliances had no dedicated funding and the cost of specific projects was assumed by the signatories wishing to take part in that particular project while the cost of managing the secretariat was assumed by the lead organisation, which was either a government body or a trade association. Alternatively one alliance did have dedicated funding from the government and from signatories

who financed their own projects, but they were still seeking funding for some of the actions that fell in the middle, such as research.

## 2. Entirely government funded

Government funding for alliances is very common and some alliances were entirely funded by government, in terms of projects, research and the secretariat cost.

## 3. Entirely signatory funded

In some cases the alliances were entirely funded by the signatories for example a membership fee, and in one case the alliance charged members a fee to use the training model developed from the Framework.

A lack of funding is a limitation to what the alliances can achieve. Many lead organisations have therefore asked signatories to help fund projects where core funding is not enough to cover costs, or where a lack of funding is preventing the alliance from achieving its potential. In one alliance the funding is divided such that Government actions are funded by the Government and the signatories fund their own actions. But sourcing funding for other supporting activities, such as research, has proved difficult. Another lead organisation, which has received no dedicated funding to date, has recognised that they will need to seek funding in order to carry out some of the work that has been identified.

## 4. Government and signatory funded

Some alliances said that government had funded them initially, for example for background research, but then the funding had stopped. One alliance had received funding for a couple of projects when they were setting up the agreement, but this had not been continued, so they had to approach signatories to contribute to the bigger projects.

Even where an alliance is partly government funded, it is common for signatories to contribute in the form of membership fees. In one example alliances have a combination of match funding from the public sector, and contributions from private companies that support the initiative, with some funding in exchange of help and support with different projects.

In some cases the contributions were made by the trade associations representing each sector, rather than or in addition to the private companies. One alliance had begun with funding from both the government and the 4 trade associations that had initiated it, and then the food industry also began to make a contribution. Presently Government and trade/companies fund 50% each.

## 5. Other sources of funding

Some alliances were able to apply for grants while others received funding from foundations and donations from private companies. In some cases the lead organisation was constituted as a charity so the alliance could benefit from

charitable giving. Others received sponsorship money from the private sector, but this was less common.

#### 6. Funding shortages as a barrier to success

A lack of enough funding was a common barrier to the success of the alliances. In one occasion the lead organisation was taking advice on how to achieve financial sustainability, so as not to rely on public funding and funding applications alone. Another said they did not have enough money for the scale of challenges and momentum required to change consumer behaviour.

#### Lessons on governance and funding

1. The most common governance structure consists of a steering group with focused working groups. If it is important to involve both decision makers and technical experts from the signatories, and to give a sense of joint ownership to signatories, this structure may be the most appropriate.
2. If using the steering committee/working group governance structure, adequate time needs to be allowed for reaching consensus or agreeing non-consensus based mechanisms for decision making
3. If making quick decisions is critical, a structure in which one organisation leads may be more appropriate. However, this requires adequate resources to be made available within the lead organisation.
4. Devising ways of sharing information across working groups and/or between signatories is important to success.
5. No one funding structure is dominant among, although most alliances receive some form of government funding. Though the source of funding is less relevant than the availability of funding.
6. The shortage of funding can be a barrier to success of the alliance and a limit to what it can achieve.

### 4.3 Building the alliance: recruiting signatories

#### 4.3.1 Recruitment strategies

One theme that emerged from the research was that having large numbers of signatories is less important than having signatories that are prepared to engage and act.

One lead organisation said that from their point of view it was better to have a few companies that do a lot rather than a lot of companies that do a little.

Most frequently lead organisations focused on recruiting key players across the relevant sectors initially. Key players are defined differently by those interviewed. Key players could be those with the highest market share in the sector, those that could make the biggest difference to the alliance because they face the greatest challenges in the area the alliance is interested in or could be the most influential organisations that, by being part of the alliance, might motivate other potential signatories to join in. After recruiting the key players, the recruitment strategy might vary depending on the alliance's needs.

Three dominant strategies emerged from the research:

1. Recruit the key players and wait for other to come
2. Recruit key players and follow up opportunistically
3. Recruit key players and continue with an active recruitment campaign

#### 1. Recruit key players and wait for others to come

It was a very common strategy for lead organisations to recruit key players, and sometimes this was all that was required, with word of mouth resulting in new signatories approaching the lead organisation. One alliance used the FTSE 100 to target the top 5 companies in each sector, and then utilised existing networks to expand their membership. Another found that as they became more trusted as an evidence-based organisation they gained more signatories.

#### 2. Recruit key players and follow up opportunistically

Other alliances recruited the key players and then continued to advertise the alliance in different forums and the media but without an active recruitment strategy (i.e. they did not have a specific target or objective to increase the membership base or coverage of the alliance). In one example the alliance focused their activity on the most relevant federations across each stage of the supply chain, who then went on to recruit their members.

#### 3. Recruit key players and follow up with a continued campaign

Some alliances continued recruiting actively throughout the agreement. This was sometimes to ensure financial stability with more organisations paying the membership fee and sometimes because they wanted to have as much of the sector involved as signatories to ensure good practices were disseminated. In this case there is an active strategy to increase the membership base. For one alliance, they are now looking for more of their signatories to be sustainable financially, focusing on those that can realise the highest impact. Another had an active strategy to have 25% of the sector by volume as member.

Regardless of which the three approaches described above was adopted, good use of the media and word of mouth to recruit signatories worked well for some

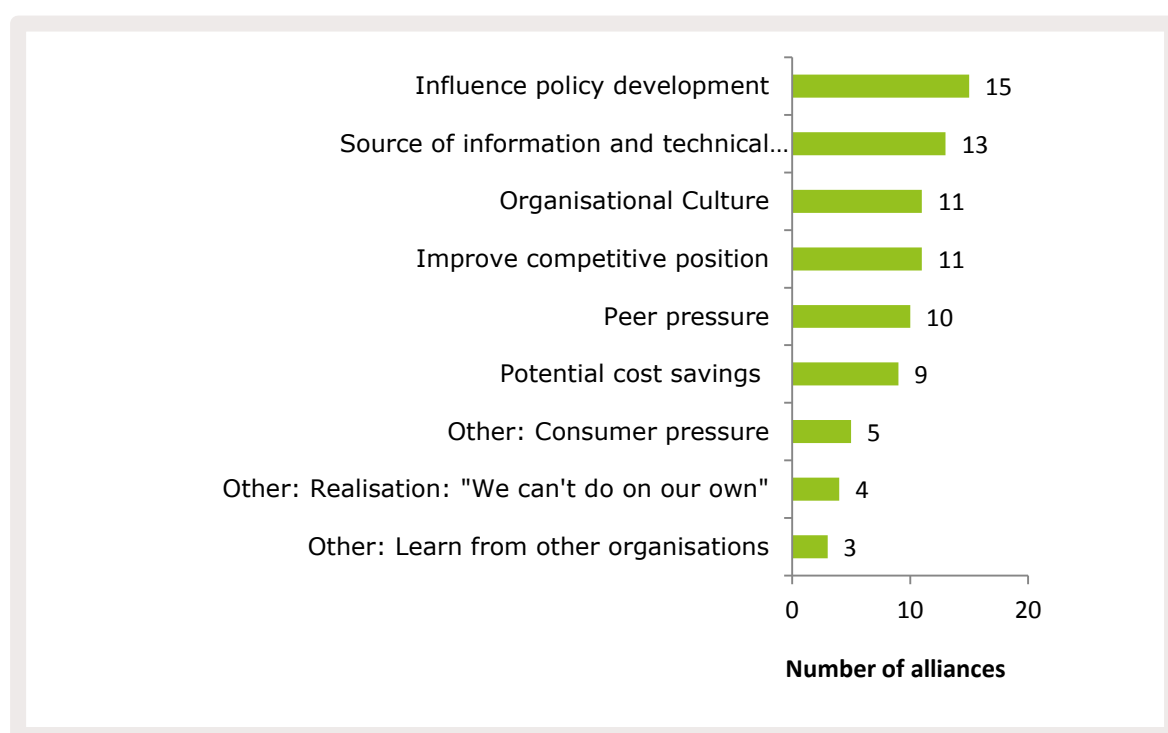
alliances. One alliance, with a focus on hospitality, found word of mouth in the sector very important as many of the chefs know each other.

#### 4.3.2 Understanding the reasons for joining an alliance

Understanding the reasons why signatories joined the alliances included in this research may help devise more effective strategies for recruiting signatories to future alliances.

We asked lead organisations why they thought signatories had joined their alliance; the responses are summarised in Figure 1 below.

**Figure 1: Reasons why signatories joined the alliances**



We take the top reasons in turn to clarify and indicate why lead organisations mark them as the main “selling points” for the alliances.

The most common reason was the opportunity to influence policy development, both positively to put forward new or preferred options, but also to prevent possible new, normative regulation in the (near) future. Typically, having government involved in the alliance aids recruitment, but there have been instances of the opposite occurring. One lead organisation commented that government involvement had actually put some potential signatories off from signing up as they did not want to be involved in anything that had any link to governmental departments.

Another commonly stated reason amongst lead organisations was that signatories joined to access information and technical advice from government,



the lead organisation or from other signatories. This is even more prevalent as food waste creeps up agendas and awareness increases, meaning many alliances use this to their advantage to learn from each other.

The fact that the alliance was a useful source of information was an important success factor. Resources such as case studies and guidance plus regular workshops bringing people together and reporting were mentioned. A signatory admitted that this approach spurred them on as they didn't want to be seen as the company lagging behind.

A further reason we have labelled as 'organisational culture' by which we mean they have joined the alliance because its goals are aligned with the signatory's vision on the issue at hand. This includes sector-wide recognition of the problem and also individual staff members who are seeking support from the alliance to encourage their company to take action.

Lead organisations also reported that an increasing awareness of the issue being tackled by the alliance amongst signatories' customers was placing pressure on them to take part, to improve their competitive position and reputation. One lead organisation felt that the recognition and reputation gained from being part of the alliance was a key incentive to join.

Lead organisations also felt that peer pressure was an important factor; the fact that their competitors were already part of the alliance acted as encouragement.

The potential to realise cost savings tended not to be mentioned spontaneously as a reason why signatories might join by lead organisations, but when prompted some claimed it was a major selling point. One in particular mentioned that the federations communicate the benefits of being part of the agreement to members as purely cost saving.

Signatories themselves highlighted that they wanted to do something about the problem the alliance was trying to address as a key driver. All of the signatories interviewed mentioned this as a reason for joining. One signatory in particular had signed up through the belief that every part of the sector has a shared responsibility to alleviate the problem of food waste.

However, it was also important for signatories that there was a clear business case for action. They recognised the potential to reduce costs by reducing waste; one in particular recognised that through addressing the problem the alliance was trying to solve was not only essential for the sustainability of resources, but also was of importance to them financially.

Having a strong, evidence-based business case that clearly shows the financial benefits to signatories of implementing the changes that the alliance is promoting is critical. One lead organisation revealed that having a strong evidence base make the recruitment of signatories much easier.

Sometimes it will be necessary to carry out research in order to set targets and develop convincing business cases, and ensuring this is robust is an effective way to secure signatories. For one alliance, ensuring they had strong political backing, a good business case and achievable targets were key elements to planning the recruitment process. Another highlighted that the evidence to

determine whether the targets were realistic was not available in time for the initial recruitment, but once this evidence had been received the recruitment process was easier.

Being focused on the most effective actions can also help attract signatories, rather than trying to do everything. This helps signatories sell the benefits into their own organisations. Being clear about the level of input required from signatories is also helpful, so that can be built into business cases as well.

### **4.3.3 Barriers to recruitment**

There are also barriers to be overcome in recruiting signatories.

In some cases, signatories were concerned about the financial implications of being part of the alliance, especially if the lead organisation is asking signatories to contribute financially. This needs to be overcome by emphasising in the business case that even when the financial contribution is taken into account, the likely savings and benefits will outweigh the costs. One lead organisation said that recruitment had not initially been a challenge when they were mostly funded by government, but now they were asking signatories to make a substantial contribution, recruitment was becoming harder.

One of the alliances in Spain indicated that the lack of fiscal incentives is preventing the recruitment strategy from being even more successful as it would provide an additional benefit for being part of the agreement and would aid recruitment. This problem has been identified in other countries as well and in the case of France fiscal regulations have been adjusted to overcome this problem.

Concerns about the level of resource required to take part in the agreement need to be addressed. For example one lead organisation which required signatories to report monitoring data on an annual basis said that the reporting requirements had discouraged some potential signatories from signing up. The weight of requirements placed on signatories must be balanced against what is essential to meet the alliances' goals. In one interview the lead organisation reflected that while they wanted to set demanding goals they needed to ensure that they were realistic, recognising that to have everyone in the agreement they needed to compromise.

Concerns about competitiveness must also be addressed. Concerns are twofold. Firstly, potential signatories may not feel comfortable with sitting and sharing information with their competitors. This is particularly the case in highly competitive sectors. Our research suggests that trust was quickly built up by signatories working together and signing up to common principles. One referenced objective setting and that initially there was distrust among them as competitors, but went on to advise that in the working groups people got to know each other and the trust issues improved. This opinion was also shared by other alliances, one commenting that even though the signatories need sustainability, they are still in a competitive market and can have commercial arguments.

Secondly, potential signatories may be concerned about the alliance being accused of anti-competitive practices or distorting the market, with one alliance suggesting that discussions around sustainability can be perceived as a threat to company profitability..

Additionally, in some topic areas there is a knowledge barrier to be tackled about the nature of the issue and how to tackle it. For example, one of the alliances was set up in 2009 when the level of awareness of food waste as an issue in that sector was low so struggled to recruit. Some alliances mentioned that knowledge barriers were particularly relevant for smaller organisations, which tended to see the problem as something stemming from larger organisations and therefore not something they needed to be concerned about.

Lack of knowledge and understanding of the problem by consumer can also be a challenge. In some instances the alliances were seeking to make changes that affected consumers, and one particular challenge was a lack of consumer desire for that change especially where there were cost implications for products. In some cases the alliance was trying to change consumer behaviour, and this in itself is challenging and could be perceived as reputation damaging. These concerns can affect recruitment and needs to be taken into account when devising the business case. One referenced the potential for dairy and meat companies to reduce methane emissions, but that consumers were still not willing to pay extra for more environmentally friendly products.

Perceptions of an unbalanced membership should also be tackled. Some alliances have encountered problems in keeping a balanced membership when working with different sectors. In one alliance they had found it difficult keeping that balance due to some sectors being under more pressures than others.

A lack of engagement or commitment from companies or sectors in the supply chain has been a problem in some cases, as expected in these kinds of voluntary alliances. This is something for the lead organisations to be aware of and try to anticipate and mitigate to prevent it from becoming a threat to the success of the alliance.

A recurring theme seems to be problems around recruiting smaller signatories. To overcome this, the alliances have sometimes resorted to having smaller signatories' interests represented by their trade bodies.

One initiative encouraged smaller signatories that had already signed up to talk to other small signatories about the benefits of being a member. They had also created a new version of their documentation specifically to target smaller signatories. If smaller signatories are difficult to engage with, having a two-tiered approach in which second tier requirements are less strict may be a possibility.

It was mentioned that in certain countries, the larger partners sign up, and the smaller parties are automatically registered too, although not signatories.

Signatories also tended to react well when the alliance was entirely voluntary and there were no sanctions imposed.

## Lessons on recruitment

1. Recruiting key players first is an effective strategy, and is sometimes all that is required. It can be accompanied by a recruitment strategy involving media and word of mouth if required.
2. Having government involvement is generally regarded positively, as it provides an opportunity for influence
3. Many signatories join because of the likely positive effect on their reputation, driven by corporate social responsibility
4. There are key barriers and concerns that need to be overcome to recruit signatories, centring on reassuring them about:
  - a. Effect on competitiveness – lead organisations should create a network of trust in which signatories feel comfortable sharing sensitive information significance. Also, lead organisation need to be mindful of the possible distortion of markets by affecting competition if whole sectors agree to behave in a certain way.
  - b. Level of financial and human resourcing required
  - c. The business case
  - d. Whether targets will be practical and realistic
  - e. Balance of membership and critical mass
5. Having robust research underpinning the business case is critical

## 4.4 Establishing actions

For alliances to be effective, objectives need to be actioned by the signatories and other partners.

As the alliance progressed, most lead organisations indicated that their role had been very important in managing conflicts between different participants. A successful strategy seems to have been relying on the lead organisation to organise meetings and simplify issues for signatories, enabling them to focus on the important discussions.

One lead organisation referred to their role as facilitating an exchange of information. Another mentioned that one of their key responsibilities as lead was to ensure the work they did was relevant to all in the supply chain, by involving the steering committee.

The voluntary nature of the alliances helped ensure objectives were translated into action. The signatories joined of their own accord and were free to leave at

any time. Surprisingly we found no evidence to suggest that this approach led to a high turnover of signatories or that free-riding was a significant problem.

The fact that in some alliances the signatories had worked together previously was helpful at creating action quickly as they had an established relationship to build upon, with one lead alliance remarking that the signatories were quite used to sitting around the table with each other, working together with them for other projects.

Most of the alliances had a series of actions or pledges that signatories could pick from in order to contribute to the overall objective of the alliance. This sense of freedom felt by the signatories seems to have encouraged them to stay with the alliance and act to achieve its shared objectives.

However, one alliance is in the process of developing roadmaps for each signatory, using them to define compulsory actions both for the individual signatory and the alliance as a whole. This process is in very early stages; it will be interesting to monitor its effects. The plan is that this reporting will distinguish between single and collaborative measures, in all groups – leading to the individual roadmap of each member.

The types of activities carried out by signatories were wide ranging and very specific to the aims and objectives of the alliance. One example shared by signatories interviewed is working closely with the alliance on some consumer campaigns. Within this they looked closely at their own targets to help drive progress, and attended a number of workshops, bringing likeminded individuals together to share knowledge. Another signatory had developed a successful website to support the measurement of hospitality food waste, and had promoted this to the other signatories within the agreement.

### **Lessons on establishing actions**

1. The role of the lead organisation is important in managing conflicts and providing information in a way that can be easily understood by signatories
2. Giving signatories freedom to choose their own actions from a predefined selection seems to have encouraged action

## 4.5 Monitoring and evaluation

Having an effective **monitoring** framework in place is essential for tracking progress as it is able to show changes in key performance indicators. Monitoring systems tend to rely on reporting by the signatories.

An effective **evaluation** framework offers wider opportunities to understand the ways in which the alliance is contributing to change. A process evaluation can identify early issues with implementation, for example. An economic evaluation can identify costs and benefits and therefore value for money. One particularly important type of evaluation is a counterfactual-based impact evaluation as this can identify not only the impact achieved but also the extent to which the actions of the alliance rather than other external factors have influenced the outcome. For example, a reduction in amounts of food waste could be the result of actions promoted by the alliance or may be because the economy is slowing down and less food waste is produced. The counterfactual relates to what would have happened without the alliance. Impact evaluations involving counterfactuals can be difficult to design, so advice should be taken from an evaluation expert.

A very simple process of setting up a monitoring and evaluation system would involve:

1. Turn the alliance's commitment into specific targets
2. Define the counterfactual (what would have happened anyway in the absence of the alliance)
3. Define key performance indicators that will allow you to monitor progress
4. Measure those indicators regularly
5. Compare the progress of your indicators with the counterfactual to attribute impact to the alliance.

With this process in mind, this section summarises how the alliances have dealt with monitoring and evaluation. We first look at whether or not they have a commitment or targets, then whether they have a monitoring system and finally whether they have an evaluation plan.

The terms 'commitment' and 'targets' were sometimes used interchangeably. To avoid confusion, we used the following definitions for the purpose of this study, sharing shared these with the interviewees to help them choose the correct option:

*An example of commitment "We agree to work towards reducing the amount of food waste we generate."*

*An example of a target "We agree to reduce the amount of waste we generate by 20% by 2020."*

Some alliances also made use of 'pledges', equivalent to a series of specific commitments. The key distinction between commitments/pledges and targets is that targets are specific and measurable, with a quantified objective and a definite date by which it is to be achieved. The commitments and targets for

each alliance are summarised in section 7 *Annex I: Individual summary sheet for each initiative interviewed.*

#### **4.5.1 Monitoring**

In total, 14 out of the 18 lead organisations interviewed had a monitoring system in place. These 14 had selected a number of indicators and information was gathered on an annual basis to monitor progress. Providing this information annually was necessary to be part of the alliance.

The monitoring data is mainly provided by signatories, with one alliance combining this with aggregated national data to complement the data where there were gaps. One alliance that encouraged redistribution of food from hospitality to charities weighted the amount of food redistributed as it happened, but often the data was based on estimates from signatories.

One representative of a lead organisation mentioned that while they do collect some data there is no evaluation system. Their reporting is conducted in the style of an 'annual report' or case study showcasing what progress the signatories have made.

Of the four lead organisations that did not have a monitoring system in place, several were in the early stages of developing one. All the alliances interviewed recognised the benefit of having a monitoring system; the fact they did not have one tended to be due to the complexity of setting it up rather than reluctance to have one. Indeed, some had very ambitious plans about a future system.

One initiative is considering using a monitoring system to identify non-compliance. They have established working groups to create the measures that the members will need to meet, distinguishing between single and collaborative measures. It is in the early stages so they would be monitoring its effect.

The representative from one lead organisation noted that the development of a harmonized reporting and monitoring mechanism was in itself the main objective of the initiative. Another had focussed on quantifying food waste at a national level, rather than establishing a monitoring system and although the lack of a monitoring system to measure progress was a cause for concern for the alliance, there was a plan to create a system in the second phase of the agreement.

Monitoring has frequently been a big challenge to lead organisations both in terms of defining what to report and how to report it but also in terms of the quality of the data received from signatories. One alliance has overcome this problem by working one to one with the companies, showing them how and what to report. Similarly another lead organisation had written guidance for the signatories, and account managers were available to support them. An online report portal had been developed to try and make the reporting and collating of data easier.



### 4.5.2 Evaluation

None of the alliances had a comprehensive evaluation plan, and few had attempted to determine the counterfactual to enable the extent to which the change observed is due to the activities of the alliance.

WRAP has made attempts to ascertain this for a couple of alliances.<sup>9</sup> The approach consists on interviewing signatories and asking a series of questions about the alliance's role in the signatory's achievements. Depending on the answers a series of factors are applied to the quantitative impact data (e.g. a factor of 1 is applied where the signatory says they could not have achieved the impact without the alliance and a factor of zero applied where the signatory says they would have made the change anyway).

We took a similar approach when interviewing signatories for this study. The interviews provide a good insight into how the alliance adds value to what the signatories are already doing. This approach could be used more widely by the Framework for Action to estimate a counterfactual when other more robust evaluation methods (such as matched control groups) are not feasible.

The stages of this process are to ascertain:

- 1) whether or not the signatories have taken any action to contribute to the overall objective of the initiative and quantify this against the key performance indicators;
- 2) the extent to which the advice/support received from the initiative helped them with any of the actions;
- 3) the extent to which they would have been able to take the actions without the advice/support received from the initiative; and
- 4) the extent to which the end results were any better or worse as a result of the advice/support received from the initiative.

All of the signatories interviewed had taken action or were planning to take specific actions to contribute to the overall objective of the alliance (stage 1). They all said that the support received from the initiative helped them carry out the actions (stage 2) with one signatory referencing that the alliance would prompt them when they were required to do something

Two signatories said that they would have been able to carry out the activities without the support of the lead organisation (stage 3), but that as a result of their involvement the result is better than it would otherwise have been (stage 4), as the effect is multiplied through being part of the initiative.

Three signatories said that they would not have been able to carry out these actions at all without the support of the initiative (stage 3). One explained that the agreement had acted as a catalyst, bringing all of the relevant actors together. Another had made use of the materials created by the initiative to promote their work, making it far easier to communicate the message.

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<sup>9</sup> WRAP Evaluation Methodology Statement 2011-15 (unpublished)



In summary, some of the actions would have not been possible at all without the intervention of the alliances, and in that sense one hundred per cent of the impact achieved by those actions could be attributed to the alliance. For other alliances signatories were already doing the advocated actions, or would have been able to do them without support from the initiative, but as a result of the alliance the end result was a little or significantly better. Additionally, the support and advice received from through the alliance was considered very valuable by signatories. This suggests that the being part of an alliances can add significant value.

#### **4.5.3 Have the alliances been a success so far?**

We asked the lead organisations and signatories if, from their point of view, the alliances had been a success to date.

All the lead organisations said that the alliances had been a success and they were generally ambitious to do more and better. One in particular said that despite some challenges in the process and with hitting targets, they have seen real momentum behind the alliance, benefitting consumers, retailers and businesses. Another felt their alliance had been a success to date and was looking forward to welcoming more companies over the next few years, and enabling more signatories to measure their own progress.

Two lead organisations admitted that they had been successful in some aspects but not in others. One went on to explain that its success was down to the collaborative approach and combined expertise of the signatories. The other felt that in their case, it was still very difficult to understand how sustainability will be profitable for their business, which was still a challenge to overcome.

We also asked the lead organisation whether they thought other stakeholders were satisfied with progress. Some of them had carried out surveys among signatories and had received very positive feedback. Other had more anecdotal evidence based on assumptions such as, 'if signatories are not leaving and funders are still backing us, then they must be satisfied with the progress so far'. They all said they thought stakeholders were satisfied with the progress so far; only one said they didn't know whether or not stakeholders were satisfied.

When talking to the signatories, one was not entirely satisfied with the progress so far, commenting that it was a real challenge to get buy in from companies and it was becoming more of a challenge.

Another said that due to the lack of measurement it was impossible for them to say whether or not they were satisfied with the progress so far.

## **Lessons on monitoring and evaluation**

1. Defining objectives, key performance indicators and targets, and devising a monitoring framework for them, is an important aspect of driving change and in some cases is the sole purpose of the alliance
2. Developing an evaluation framework is useful for:
  - a. Evaluating early progress (a process evaluation)
  - b. Assessing value for money (an economic evaluation)
  - c. Assessing impact, and particularly the impact attributable to the alliance (an impact evaluation)
3. for framework can be challenging so the advice of a professional evaluator may need to be sought
4. Evidence from the interviews indicates that being part of an alliance has contributed to impacts and is valued by signatories

## 5 Conclusions

As referred to in our introduction, the purpose of this piece work was to inform the development of the REFRESH pilot FAs, drawing on the first-hand experiences of existing initiatives to understand both the benefits and challenges, and see potential solutions to overcome them.

Additionally a key objective for REFRESH is to establish an FA in China to promote effective communication and interaction among the different stakeholders. This document will serve as a source of information to any municipality in any country interested in setting up a FA. The key findings from this activity are highlighted below.

### 5.1 Initiation & setting up the alliance

- Contextual factors need to be taken account when initiating an alliance as they can be helpful (e.g. conducive policy environment) or unhelpful (e.g. harsh economic conditions)
- A real threat of regulation if a voluntary approach did not was a key driver behind some alliances
- A participatory approach to setting up the alliance has many advantages, including getting full engagement from signatories, but there are also disadvantages including a typically lengthier process, and difficulties in reaching consensus, especially where signatories are very heterogeneous or at different stages of progress against the alliance's objective
- A lead organisation driven approach has the advantage of getting much of the thinking done in advance, but can result in less engagement by signatories as a result. This is partly influenced by the style by which signatories are presented with options – 'take it or leave it', 'prepare, present, negotiate', or 'test and roll out'.
- Agreeing objectives and targets is a particularly challenging phase of development and can be particularly difficult when signatories are heterogeneous in terms of sector or size. The role of the lead organisation in brokering agreement is critical.
- Full signatory engagement in the setting up stages seems to be a determinant of success.
- The nature of the lead organisation is important. It should be trusted, have access to the right people to engage with, and have a positive reputation.
- Generally, alliances with government support seem to be better received by signatories so government should be engaged early in the setting up process.

## 5.2 Governance and funding

- A governance structure of steering groups and working groups seems to work effectively for many alliances, allowing both high level decision makers and technical experts to play appropriate roles. Its main disadvantage is it can be a time-consuming process.
- Funding structures varied significantly across the alliances, although most received some government funding.

## 5.3 Recruiting signatories

- It is better to have fewer actively engaged signatories than many unengaged signatories
- The dominant recruitment strategy was to ensure key players joined first. Sometimes this was the only strategy required; sometimes ongoing recruitment campaigns were required.
- Word of mouth and media engagement proved useful recruitment tools
- The most common reasons for signatories joining alliances were:
  - To influence policy development
  - As a source of technical information and advice
  - Because the objectives of the alliance were in line with those of the organisation
  - To improve competitiveness
- A strong business case is essential. Sometimes research will be required to develop the business case, and if so it is important that it is robust.
- Signatory concerns that will need to be overcome include:
  - Financial implications
  - Human resource implications
  - Lack of policy, economic or other drivers to encourage engagement
  - Reputational risk issues, e.g. requirements for customers to change behaviours
  - Threats to competitiveness
- Another barrier is a lack of knowledge of the issue and how to tackle it amongst signatories
- The business case for taking part needs to be clear and compelling.

## 5.4 Establishing actions

- The role of the lead organisation in managing conflict is important

- The lead organisation also has a key role in preparing and disseminating easy-to-understand information
- Giving freedom to signatories to choose their own actions in support of the broader objective was a successful strategy

## 5.5 Monitoring and evaluation

- A monitoring framework is essential to check whether the alliance is on track to achieving its objective
- Monitoring data can be challenging to collect, especially ensuring it is timely, consistent and high quality
- An impact evaluation framework can help answer the question about the extent to which the alliance rather than external factors influenced the outcome
- All the alliances interviewed supported the need for a monitoring and evaluation framework

## 5.6 What does this mean for REFRESH and WP2 in particular?

The purpose of this report was to be able to answer the five points below to inform the successful establishment of the FoA in the four partner countries. This report is intended as a practical guide to learn how similar alliances have gone about establishing the FoA and to learn from their experience. Below we indicate how the following points have been addressed in the report and where the information can be found.

### **1. Obtain a profile of the types of businesses in the alliances and assess the gap between the alliance and the sector as whole.**

We have addressed this point in sections *2.5 Alliances included in the analysis* where we have summarised the type of organisations that are part of the alliances and where we have indicated that all the alliances interviewed represent successfully different organisations across the supply chain.

Where an alliance already exists in one of the countries where the FoA will be designed, this will need to be taken into account not to duplicate work and to build on existing networks.

### **2. Evaluate the effectiveness, impacts and drawbacks of the different ways in which alliances have been designed and operationalized.**

The aim of this report was not to evaluate effectiveness and impacts of the selected alliances but to investigate how the alliances monitor progress and evaluate success to learn from their challenges and successes. This is explored in section *Error! Reference source not found. Error! Reference source not found.* This section includes a self-assessment of whether not the alliances had been a success so far.

The different ways in which the alliances have been designed and operationalized have been explored in details in the following sections *4.1 Initiating and setting up the alliance*, *4.2 Governance and funding* and *4.3 Building the alliance: recruiting signatories*. Across all sections we have sought to describe the different approaches, the challenges faced by the alliances and examples of what worked particularly well.

**3. Assess how existing alliances create drivers and norms which cascade to everyday changes in working practice;**

This is addressed in particular in section *4.4 Establishing actions*.

**4. Identify conditions in which working along business value chains is possible; and**

Point 4 has not been addressed specifically in any section, but throughout the report there is information about how the lead organisations managed to overcome the challenge of working with organisation across the value chain. What has become apparent is that the role of the lead organisations is essential in managing this process successfully. Some mentioned that for them working with the value chain was not difficult or a challenge, but it was simply their job to ensure progress was being made and stage of the value chain was represented and heard.

The importance of finding the right people motivated and with the ability to drive change in the signatory organisation was also frequently mentioned by the lead organisations. The importance of the role of the different actors is covered in section *4.1.3 The role of actors in the setting up process*.

Section *4.3.2 Understanding the reasons for joining an alliance* provides information about the key drivers that made signatories join the alliance. It might be helpful to read this section also in the context of what made organisations be part of the alliance despite conflict of interest, competitive issues and limited resources.

**5. Develop a better understanding of how behaviour has been changed within businesses, both at the individual and organisational level;**

This point has not been addressed in any section in particular but it is covered throughout the report. It is particularly important that:

- there is a clear business case that encourages organisations to join the alliance base on research and evidence (see section *4.3.2 Understanding the reasons for joining an alliance*)
- identify key influencers in the sectors and within the signatory organisations. Those people need to not only be part of the alliance but also part of the steering group that will be driving the alliance strategically but also driving change within their organisation. See section *4.2.1 Governance structure*.

Having the right people around the table is essential, both from the alliance and the signatory organisation. See *4.1.3 The role of actors in the setting up process*.



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## 7 Annex I: Individual summary sheet for each initiative interviewed

### 7.1 BCN Comparteix El Menjar

**Main characteristics:** BCN is a project of the NGO Nutrition Without Borders (NWB) that works to redistribute food from restaurants, hotels and other establishments that would otherwise go to waste to the poor and hungry of Barcelona.

**Actors:** The organisation itself is an NGO serving Barcelona's poor. It has support from the Government of Catalonia, the Public Health Agency and the Barcelona City Council.

**Objective:** The goal of the project is to protect the universal right to food for Barcelona's citizens that are living in poverty and to make use of food that otherwise would go to waste.

**Description of Commitments:** The NGO does not have commitments per say but instead operates on the commitment of ensuring the collection, transport, and distribution of cooked food that is safe and nutritious to the poor. In this regard, NWB created a protocol for the reuse of surplus cooked food, guaranteeing the safety and security of the food and efficiently organizing its collection and distribution from a network of restaurants, hotels, and other establishments. More broadly, the NGO Nutrition Without Borders also provides technical advisory service for the proper execution of food recovery and waste reduction projects.

**Duration:** 2012 ongoing

**Geographic Coverage:** City of Barcelona

**Achievements:** The Protocol has improved the procedures of cooked-food donation in the city. The project has also involved a wide variety of businesses in the food industry to participate.

**Website:** [http://www.nutricionsinfronteras.org/bcncomparteixelmenjar/?page\\_id=51&lang=en](http://www.nutricionsinfronteras.org/bcncomparteixelmenjar/?page_id=51&lang=en)

## 7.2 The British Soft Drinks Association

**Main characteristics:** The British Soft Drinks Association is the national trade association representing the collective interests of producers and manufacturers of soft drinks including carbonated drinks, still and dilutable drinks, fruit juices and bottled waters.

**Actors:** Membership includes the majority of Britain's soft drinks manufacturers as well as franchisors, importers and suppliers to the UK soft drinks industry.

**Objective:** The Roadmap is a voluntary initiative to promote best practice in the sector. The roadmap aims to set out opportunities for companies to reduce their environmental impact, use resources more efficiently and is a means to share best practice throughout the soft drinks supply chain. Across 5 priority areas - Water efficiency, packaging and litter, Raw Materials, Carbon Reduction, Reducing Waste. Contribute to meeting public health goals.

**Description of Commitments:** BSDA has a list of objectives that companies can voluntarily aim to meet. It focuses on water efficiency, packaging, carbon reduction, and reducing waste.

**Duration:** 2013 ongoing

**Geographic Coverage:** United Kingdom

### **Achievements:**

In water efficiency, soft drinks manufacturers used on average 1.99 litres of water per litre of product down from 2.07 in 2010. Roadmap signatories' participation in WRAP's Federation House Commitment have contributed to 1.35 million m3 reduction in annual water use between 2012 and 2013. It also developed a Webinar called Rippleffect that includes best practice examples for the industry.

In carbon reduction, 60% of hauliers used by Roadmap signatories signed up to the LCRS scheme which has a commitment to reduce carbon emissions from freight transport by 8% by 2015 against a 2010 baseline. There is also continuing innovation in refrigeration design. The energy efficiency of the best equipment has risen and a typical vending machine cooler is now 45% more efficient than in 2007.

In the focus area of reducing waste: Roadmap signatories divert 94% of their waste from Landfill. And a Joint initiative with the British Beer and Pub Association and WRAP was set up to reduce product loss to sewers and waste that goes to land injection.

**Website:** <http://www.britishsoftdrinks.com>

## 7.3 Bündnis für nachhaltige Textilien

**Main characteristics:** A multi-stakeholder initiative

**Actors:** The multi-stakeholder initiative, comprising textile and clothing industry, retailers, trade unions and civil society. It is a government driven initiative and is government funded until 2018, the minister himself initiated it.

**Objective:** The aim is to bring about continuous improvement of social, ecological and economic sustainability along the entire textile chain.

**Description of Commitments:** The initiative has developed a joint definition of Partnership standards and outlined the implementation requirements and deadlines that allow for sequential improvement. The initiative also aims to develop a framework to improve the conditions in producer countries with recommendations for policy action and coherence in Germany and the EU. The initiative is a strong proponent for improved transparency in the industry, and contributes towards more transparent labelling for consumers to distinguish between clothing. Finally, it has set up a partnership platform to review and support progress on implementation, share experiences and generate mutual learning.

**Duration:** 2014 ongoing

**Geographic Coverage:** Germany, Europe and Textile producing countries.

**Achievements:** There is not a systematic evaluation scheme yet. However, One year on from its inception, the Partnership for Sustainable Textiles has some 160 members, which based on revenue account for almost 50 per cent of the German textile market. The Partnership is leading the way as the first forum in which a significant number of enterprises from the textile industry are working together on sustainability issues with non-governmental organisations, trade unions, standards bodies and governmental actors.

**Website:** <http://www.textilbuendnis.com/index.php/en/>



## 7.4 Courtauld Commitment 1-3

**Main characteristics:** The Courtauld Commitment is a voluntary agreement to improve resource efficiency and reduce food and packaging waste within the UK grocery sector.

**Actors:** The Courtauld Commitment is funded by the Westminster, Scottish, Welsh and Northern Ireland governments and delivered by WRAP which is responsible for the agreement and works in partnership with leading retailers, brand owners, manufacturers and suppliers who sign up and support the delivery of the targets.

**Objective:** The Courtauld Commitment is to deliver sustainable growth, save money and reduce the environmental impact of the grocery sector by focusing on waste reduction.

**Description of Commitments:** Each phase of the Courtauld Commitment has set out specific commitments and targets. The most recent phase (3), aimed to reduce household food and drink waste by 5% by 2015; to reduce traditional grocery ingredient, product and packaging waste in the grocery supply chain by 3%. It also aims to improve packaging design through the supply chain to maximise recyclability, reduce food waste, and prevent further carbon emissions.

**Duration:** The Courtauld Commitments were first implemented in 2005 and proceeded in three phases: Courtauld 1 (2005-2009), 2 (2010-2012), and 3 (2013-2015). The next phase is an even more ambitious framework for action, Courtauld 2025, which has recently been launched.

**Geographic Coverage:** United Kingdom

### **Achievements:**

CC1-3 has brought about both qualitative and quantities achievements. In the first Phase, CC1 prevented 1.2 Mt of packaging and food waste, saved 3.3 Mt CO<sub>2</sub> emissions and saved an estimated £1.8bn. In the second phase, CC2 brought about 10% less packaging, 3.7% less household food and drink wasted, and 7.4% less waste in the overall supply chain. CC3 final achievement report is not yet available.

**Website:** <http://www.wrap.org.uk/content/what-is-courtauld>



## 7.5 Dairy Roadmap

**Main characteristics:** The Dairy Roadmap is a voluntary initiative to promote best practice in the dairy sector.

**Actors:** The Dairy Roadmap taskforce features more than 25 organisations from across Britain's dairy industry including farming representatives, retailers, dairy manufacturers, Government, and industry partners.

**Objective:** The Dairy Roadmap aims to bring together stakeholders across the dairy supply chain to define and meet time-bound targets to improve the environmental sustainability of the industry. Some of these targets are directly and indirectly related to food waste and others are more general sustainability targets (i.e. reduction in water use).

**Duration:** The Roadmap was started in 2008 and is current planning is scheduled until 2020.

**Geographic Coverage:** United Kingdom

### **Description of Commitments:**

Since 2008 the Dairy Roadmap has set time-bound targets and reported on progress to keep the industry moving forward towards improved environmental sustainability.

- 90% of dairy farmers are actively nutrient management planning
- 65% of dairy managed farmland into environmental stewardship schemes
- 70% uptake of water use efficiency measures
- 10-15% of dairy farmers investigating and/or implementing at least one form of renewable energy
- 50% of dairy farmers implementing new developments and/or technologies to reduce emissions from agriculture
- Declining trend in serious pollution incidents on-farm
- Dairy farmers encouraged to calculate carbon footprints and implement carbon reduction plans

A number of mechanisms are in place to monitor compliance by the industry in meeting the targets set out in the Roadmap and to ensure that this performance is subject to public scrutiny. The Roadmap document and targets will also be kept under review.

**Achievements:** The Dairy Roadmap brought together actors from across the supply chain, from farmers to retailers, and set time-bound environmental sustainability targets. Since 2008 it has made the following achievements:

- Dairy processors have demonstrated at 16% improvement in overall energy

efficiency, exceeding the original target of 15%;

- 77% of dairy holdings are now implementing nutrient management plans. In addition to this, 69% of these farmers are updating their management plan every year;
- Dairy processors achieved a 15% reduction in relative water consumption;
- 78% of dairy farmers are currently taking action to reduce the GHG emissions on their farm;
- There has also been a rise to 74% of liquid cartons in the dairy category which now carry the Forest Stewardship Council label to show they were made with responsibly-sourced wood fibre;
- 78% of farmers have implemented water efficiency methods, going beyond the target of 70%;
- Dairy processors are now sending only 4% of factory waste to landfill down from 32% in 2008, thanks to improved segregation of mixed waste, employee engagement activities as well as a greater use of energy from waste incineration and AD technology.

**Website:**

[http://issuu.com/dairy-roadmap/docs/dairy\\_roadmap\\_2013\\_587d4c4bda2661?e=8632493/3730461](http://issuu.com/dairy-roadmap/docs/dairy_roadmap_2013_587d4c4bda2661?e=8632493/3730461)

## 7.6 FOOD SUPPLY CHAIN ROADMAP 2020

**Main characteristics:** The Food Supply Chain Roadmap 2020 is an interdepartmental working group that is coordinating activities to reduce food waste in Belgium.

**Actors:** The initiative came from the Flemish Government but membership and involvement in the alliance is open to SMEs, NGOs, Government, large businesses,

**Objective:** By 2020 - to reduce food losses in Flanders by 15%. By 2025 - to reduce food losses in Flanders by 30%

There are nine action programs implemented with a total of 57 actions

1. Supporting companies in reducing food losses
2. Collaboration in the food supply chain
3. Awareness-raising, inspiration and commitment at company level
4. Training employees to promote food loss reduction
5. Awareness-raising, inspiration and commitment at consumer level
6. Building new business models for collaboration between regular and social economy
7. Promoting and facilitating donation of food surpluses
8. Investing in research
9. Monitoring for knowledge

**Description of Commitments:** Food losses are currently being mapped and monitored in order to develop commitments and to identify areas where the most opportunities can be gained for prevention and high value valorisation. Food losses in government catering are being measured and analysed to set up a reduction strategy.

**Duration:** 2015

**Geographic Coverage:**

**Achievements:** New initiative, so it is not possible to talk about achievements yet. However, actions have started as planned so there is a good process in that sense.

**Website:**

<http://www.lv.vlaanderen.be/sites/default/files/attachments/factsheet%20food%20losses.pdf>

## 7.7 Food Waste Reduction Alliance (FWRA)

**Main characteristics:** FWRA a cross-sectoral alliance between three major industries set out to reduce the amount of waste being sent to landfills and increase the amount of food donated to hungry families.

**Actors:** FWRA is an initiative of the Grocery Manufacturers Association (representing food and beverage companies), the Food Marketing Institute (representing food retailers), and the National Restaurant Association (representing the foodservice industry). Works with a non-profit think tank BSR as a research partner. It includes 30 manufacturing, retailing and food service companies along with partners from the anti-hunger community and waste management sector. The Alliance is co-chaired by ConAgra Foods, one of the world's largest food processors, Wegman's Supermarkets, a leading U.S. grocery store chain, and Wendy's QSCC the exclusive supply chain manager for all Wendy's restaurants in North America.

**Objective:** Seeking to reduce food waste throughout the supply chain. FWRA's goals are threefold:

1. To avoid and reduce food wastes wherever possible within members' operations and supply chains.
2. To increase the donation of safe and healthy foods that would have gone to waste and to send food to food banks to help address hunger issues.
3. To divert unavoidable food waste away from landfills toward higher value uses, such as animal feed, composting, and conversion from waste to energy.

**Description of Commitments:**

1. Conduct original research and provide quantitative analysis so that we can better understand and identify the sources and root causes of food waste in the U.S. so they can be addressed.
2. Engage with expert partners to identify emerging technologies and new solutions that will allow companies to divert more waste from landfill and donate more food to anti-hunger organizations.
3. Survey existing government, company and other policies to understand what regulations help or hinder progress. Identify and advocate for public policies that could incentivize more food donation from the private sector and expand options for landfill alternatives such as composting and anaerobic digestion.
4. Engage with government, supplier and non-governmental stakeholders to better inform our efforts and advise of FWRA progress. Collect, aggregate and disseminate model practices to advance individual company efforts.

**Duration:** 2011-2017

**Geographic Coverage:** United States of America

**Achievements:** Membership includes more than 30 major manufacturing, retailing and foodservice companies. Through more robust and more accurate data, the FWRA has produced a series of studies that are better able to benchmark and track the progress of FWRA sectors against their goal of reducing food waste. Overall, the Alliance has increased the number of Americans receiving food assistance and decreased the burden on landfills in USA.

**Website:** <http://www.foodwastealliance.org/>





**Matvett.no**  
FOREBYGGING AV MATSVINN

## 7.8 ForMat Norway

**Main characteristics:** ForMat is a voluntary and collaborative project by the private sector to reduce food waste along the entire value chain in Norway focusing on foods that are marketed for and used in private households.

**Actors:** The ForMat project is run by the company Matvett AS, and is led by a steering committee with representatives from the Food and Drink and Food and Agriculture sections of the Confederation of Norwegian Enterprise (NHO), the Norwegian Grocery Sector's Environmental Forum (DMF), the Grocery Producers of Norway (DLF) and the Norwegian Packaging Association, while the Ministry of Agriculture and Food and the Ministry of the Environment participate as observers.

**Objective:**

The aim of the ForMat project is to help to reduce food waste in Norway by 25% by the end of 2015. The objective comes from the private sector's own commitment to reduce the amount of food thrown away - as such it is their initiative.

**Description of Commitments:**

**Duration:** 2009-2015

**Geographic Coverage:** Norway

**Achievements:** ForMat has united citizens, food businesses and the authorities to prevent food waste in Norway. ForMat has contributed to several changes in the way that food is labelled specifically changes in wording on packaging from "Used by" to "Best before" and price reduction techniques were implemented for a variety of products with expiration dates. Changes in packaging from larger to smaller units with closure were introduced. Marketing strategies were influenced and there is now reduced use of the "Get 3 for 2" type of campaign. Pressures to produce baked goods at the end of the day were also reduced.

**Website:** <http://matsvinn.no/wp-content/uploads/2015/04/Food-waste-in-Norway-2014.pdf>

## 7.9 Forum Nachhaltiger Kakao

**Main characteristics:** GISCO is a public-private forum for stakeholders along the entire cocoa value chain: from procurement and processing of the raw material – the cocoa bean – to retail.

**Actors:** The forum is a joint initiative of the federal government (Federal Ministry of Food and Agriculture (BMEL), Federal Ministry for Economic Cooperation and Development (BMZ), the Association of the German Confectionery Industry (BDSI) and its member companies, The Federal Association of the German Retail Grocery Trade (BVLH) and its member companies), cocoa producing industry, certifying organizations as well as representatives of civil society.

**Objective:** To encourage cocoa producers to adopt sustainable production methods. GISCO's prime objective is to contribute to the improvement of the livelihoods of the people involved in cocoa production. It also promotes sustainable cocoa production addressing economic and ecological aspects. The goal is that by 2020, 50% of cocoa in Germany is used from sustainable sources.

**Description of Commitments:** To reach a consensus on methods, means and paths to sustainability in cocoa growing through an inclusive and participatory process all along the value chain. Eventually this will gradually encourage cocoa producers to adopt sustainable production practices.

- Formulate quality criteria for effective approaches and establish a consensus on methods, means and ways to achieve sustainability
- disseminate knowledge on sustainable production methods through best-practice
- support the drafting of sustainability standard by the European Committee for Standardization (CEN)
- Seek to network and cooperate with existing alliances to promote sustainable cocoa production
- provide businesses, including small and medium enterprises with guidance on how to integrate sustainability issues into cocoa procurement
- raise public awareness of its activities and report continuously on the progress of efforts to achieve sustainability in the production regions

**Duration:** 2012 ongoing

**Geographic Coverage:** Germany and international cocoa suppliers.

**Achievements:** One major finding is that training participants have increased their knowledge about good agricultural, social and environmental practices and have become certifiable.

GISCO has some 80 members representing industry, trade, policy-making and civil society, and is open to other interested parties.

**Website:**

<http://www.kakaoforum.de/>



## 7.10 Hospitality and Food Service Agreement (HaFSA)

**Main characteristics:** The Hospitality and Food Service Agreement (HaFSA) was a voluntary agreement to support the Hospitality and Food Service (HaFS) sector in reducing waste and recycling more.

**Actors:** The HaFSA was flexible to allow any size of organisation to sign up. Signatories ranged from multi-national companies, small businesses, wholesalers and distributors to the sector and trade bodies

**Objective:** The HaFSA aimed to deliver sustainable growth, save money and reduce the environmental impact of the Hospitality and Food Service sector.

**Description of Commitments:** The HaFSA had a prevention target and a waste management target. The prevention target aimed to reduce food and associated packaging waste by 5% by the end of 2015, set against a 2012 baseline and measured by CO<sub>2</sub> emissions. The waste management target aimed to increase the overall rate of food and packaging waste being recycled (either sent to anaerobic digestion or composted) to at least 70% by the end of 2015.

**Duration:** 2012-2015

**Geographic Coverage:** United Kingdom

**Achievements:** The first year results showed signatories had made over £10 million worth of savings by reducing food waste alone.

The progress made against the waste prevention target showed a reduction in CO<sub>2</sub>e associated with food and packaging waste of 2.5%, against the overall target of a 5% reduction by the end of 2015.

This focus on prevention also had the additional benefit of increasing the amount of surplus food being sent for redistribution by 23%.

Progress by signatories against the waste management target also saw an increase. Here the rate of recycling for both food and packaging waste had increased by 7 percentage points against the 2012 baseline, with the overall recycling rate reaching 54%.

**Website:** [http:// www.wrap.org.uk/hafsaprogress](http://www.wrap.org.uk/hafsaprogress)



## 7.11 La Alimentación no tiene desperdicio. Aprovechala. AECOC

**Main characteristics:** AECOC is a trade association working with businesses to eradicate food waste.

**Actors:** The AECOC is multi-stakeholder and includes a trade association that works and represents business. The Spanish government is a supporting actor.

**Objective:** AECOC has two main objectives.

1. Reducing waste along the entire food chain with a working system to measure achievements and promote good practices to manufactures and retailers to minimise food wastage
2. And optimizing the use of "surplus" which, inevitably, will continue to produce in the various links in the value chain. First for redistribution, then animal feed, etc. down the value chain.

**Description of Commitments:** AECOC developed a list of good practices and it sets out to monitor and reduce but without specific targets.

**Duration:** 2012 ongoing

**Geographic Coverage:** Spain

**Achievements:** AECOC has involved a large number of businesses. It has convened the top 100 companies and got them to sign an agreement with minister of industry.

An interesting success factor was actually the economic crisis in Spain which had the effect of being more sensible about the problem both in terms of efficiency and in relation to ethical issues surrounding the waste of food.

**Website:**

[http://www.aecoc.es/admin/web/gc\\_search.php?tipo=3&entidad=13&plantilla=11&Id=22119&target=Documento:Sobre](http://www.aecoc.es/admin/web/gc_search.php?tipo=3&entidad=13&plantilla=11&Id=22119&target=Documento:Sobre)



## 7.12 Pacte National de Lutte contre le gaspillage alimentaire (National Fight Against Food Waste Pact)

**Main characteristics:** The Pacte is a multi-stakeholder initiative led by the French government to reduce food waste. There have been two phases in this Alliance. The first phase is now completed and the second phase has just started.

**Actors:** The Pact mobilizes all players along the food supply chain. Agricultural producers, wholesale markets, manufacturers, distributors, restaurateurs, associations and local authorities have committed to take action.

**Objective:** To reduce food waste by half by 2025. It works on the recovery of unsold goods, adaptation of portion sizes, awareness-raising for stakeholders, trainings in high schools and schools.

The objectives of the first phase were to reach an agreement on the main barriers for food waste reduction and identify solutions, collate the knowledge into a report and finally, the introduction of new policy to achieve the food waste reduction. The second phase will focus more on the monitoring and evaluation of progress as the new policy has already been introduced to allow the change to happen.

**Description of Commitments:** It introduces special measures for different aspects in the food chain. For example, measures for agricultural producers, measures for bulk consumers or food distributors and for caterers. These all contribute to the overarching objective of contributing to a reduction by 50% in food waste by 2025.

**Duration:** 2013 ongoing.

**Geographic Coverage:** France

**Achievements:** There are currently thirty two partners and membership is concrete. Since many partners were involved in the drafting of the measures and agreements, there has been a perfect record of attendance and all original members remain as well as the recruitment of new partners. The new policy and fiscal changes identified in phase 1 have already been introduced.

**Website:** <http://www.anti-gaspillage.carrefour.fr/>



## 7.13 Plataforma Aprofitem Els Aliments

**Main characteristics:** Manifest prou malbaratar aliments is a civil society group or public alliance raising awareness about food waste.

**Actors:** As a civil society organization it is comprised of Spanish citizens and also often cooperates with other organizations that are working on food waste. For example it collaborated with the Feeding the 5000 for an event held in Barcelona.

**Objective:** To increase awareness among Spanish citizens about food waste and to encourage political bodies and the private sector to be part of the solution.

PAA is a social platform that organises activities as Feeding the 5000, disco-soups, networking seminars etc. basically in Catalonia. There is a Manifesto that can be signed by individuals, enterprises and institutions.

**Description of Commitments:** The organization is a mobilizing platform that uses a participatory process to establish agreements. After this point, organisations and individuals are free to sign up and the agreements remain voluntary meaning there is no negotiation process.

**Duration:** 2013 ongoing

**Geographic Coverage:** Spain and Catalonia

**Achievements:** The manifest brought together individuals and organisations with a common view and commitment to reducing food waste. The establishment of a common objective allowed for a strong agreement process and effective sharing of networks by different members. The successful organization of many events such as the Feeding the 5000 in Barcelona and widespread awareness-raising among the public.

**Website:** <https://aprofitemelsaliments.wordpress.com/>

## 7.14 Public Health Responsibility Deal

**Main characteristics:** The Public Health Responsibility Deal is a public/private partnership encouraging businesses to take voluntary action to improve the health factor of their products so as to meet public health goals and tackle challenges related to modern lifestyle such as obesity and poor diet.

**Actors:** It is a voluntary partnership between the government, commercial organizations (All the major retailers, many big name manufacturers, such as Heinz and Premier Foods, Subway), public bodies, academics and NGOs.

**Objective:** Improving labelling and reducing unhealthy ingredients (such as salt and trans-fat) from food, to reduce non-commutable disease burdens on general population. Its objective is to promote public health goals.

**Description of Commitments:** Through a set of non-binding pledges, these actors – and in particular industry – are expected to take steps in the following five areas: 1) healthier food and diet, 2) reduce alcohol consumption, 3) promote fitness, 4) health at work and 5) behaviour change and diet. . For food the commitment is to provide calorie information, reducing average salt intakes to 6g/day per adult down from 9.5g/day, and removing saturated trans-fats from products. Pledges and annual progress towards targets in each product category available publicly on the DoH website.

**Duration:** 2011 ongoing

**Geographic Coverage:** United Kingdom

**Achievements:** Pledges and annual progress towards targets in each product category available publicly on the DoH website. The Public Health Responsibility Deal reduced average daily salt intakes by 15% since 2001 (earlier version of the alliance). This is primarily due to the efforts by industry to reformulate a wide range of products to lower the salt content.

**Website:** <https://responsibilitydeal.dh.gov.uk>

## 7.15 The Supply Chain Initiative (SCI)

**Main characteristics:** The SCI is an industry led initiative that sets out to establish standards of good behaviour and practice among companies operating in the food industry. It is a not-for-profit initiative and provides an example of corporate social responsibility led by the private sector in place of regulation imposed by government.

**Actors:** The SCI was established by 8 EU level associations from the food and drinks industry (FoodDrinkEurope), the branded goods manufacturers (AIM), the retail sector (the European Retail Round Table (EERT)), EuroCommerce, EuroCoop, and Independent Retail Europe), SMEs (UEAPME) and agricultural traders (CELCAA). Membership in SCI is extended to small, medium and large enterprises operating in the food supply chain and spans a variety of sectors including processors, manufacturers, and distributors, among others.

**Objective:** SCI aims to promote a culture of good and fair business practices and relationships between companies in the food supply chain as a basis for commercial exchange. In the case that disputes arise, the SCI aims to ensure that companies address them in a transparent and fair way through its own dispute resolution settlement process, which effectively ensures that the complainant is not subject to retaliation. SCI therefore aims to change corporate culture and business practices for robust and fair commerce through self-regulation rather than government regulation.

**Description of Commitments:** SCI developed 'principles of good practice' in trading relationships and a corresponding Framework for implementation guidance. Companies that become members of SCI are required to respect the principles of good practice in trading relations and to meet a number of the requirements aimed at integrating the principles into company day-to-day operations. Additionally, SCI has a dispute resolution settlement process available to members to resolve conflicts between companies.

**Duration:** Launched in 2013 and currently ongoing.

**Geographic Coverage:** EU

**Achievements:** Higher level of awareness of unfair trading practices and getting a significant number of companies to sign up. As of April 2016, there are 385 companies from across the EU and including subsidiaries of international groups there are 1230 operating companies. Broad membership has contributed to a better understanding at EU level between stakeholders and a created a more level platform. In certain countries, the SCI has becomes part of the National Legislation.

**Website:** <http://www.supplychaininitiative.eu>





## 7.16 Sustainable Food Alliance

**Main characteristics:** The SFA is private-public collaboration that aims to increase the overall sustainability of the Dutch food industry addressing all relevant sectors and supply chains in order to reduce food waste.

**Actors:** The Alliance is a partnership between the Dutch Ministry of Economic Affairs and five sector organisations: (LTO Nederland, Federatie Nederlandse Levensmiddelen Industrie (FNLI), Central Bureau Levensmiddelenhandel (CBL), Veneca Cereiniging Nederlandse Catering organisaties, and Horeca Nederland. It aims to address all businesses involved in the food sector regardless of size or specific role. It includes both large and SMEs and comprises enterprises operating as producers, manufacturers, retailers, trade, associations, consumers, charities.

**Objective:** The overall objective is to raise sustainability in across the entire agrifood chain so that all food on the Dutch market is produced, distributed and processed on a significantly higher sustainability level by 2020. The Alliance aims to help achieve the national government policy on sustainable food which includes the reduction of food waste by 20% by 2015. The SFA is a broad Alliance, and was started because different sectors involved in the food industry realised they could not establish sustainability in the food chain without cooperating with one another.

**Duration:** The Alliance was officially launched in 2013 and is ongoing. However, the Sustainable Food Alliance grew out of its predecessor, the Sustainable Food Platform (Platform Verduurzaming Voedsel) which ran from 2008 to 2012.

**Geographic Coverage:** the Netherlands

### **Description of Commitments:**

Raising the level of the food chain sustainability in a broad sense, with extra attention to:

- 1) preservation of the meat chain,
- 2) reduction of food waste and residual flows, optimization
- 3) improving the transparency and communication on the preservation of the food and distribution process.

The targeted level of sustainability was formulated in 2014. The Alliance is administered through a board and working group on food waste and resources valorisation.

**Achievements:** In the Netherlands, food waste became a priority on the national agenda and 2014 was named the Year Against Food Waste. The Alliance brought about two consumer actions per retailer and initiated a self-monitoring system.

**Website:** <http://www.verduurzamingvoedsel.nl/home/>



### 7.17TI Food and Nutrition PPS

**Main characteristics:** TI Food and Nutrition PPS is a public private partnership of science, industry and government conducting strategic research in food and nutrition.

**Actors:** Eighty percent of participants are large businesses (food and ingredient manufacturers) with small and medium organisations mostly represented by trade associations. There are also some technology suppliers, research institutes, universities involved. Government has a partial funding role that has been significantly reduced in the current phase.

**Objective:** To improve the sustainability of the food chain, scientific output, industrial impact. Target areas are: Methane reduction, Resource Efficiency, Sustainable Packaging. TI Food and Nutrition PPS carries out precompetitive research at the highest level and aims to expand its position as the foremost research partnership in Europe by making scientific breakthroughs that support innovation in the food industry and meet consumer demands for healthy, safe and affordable foods. The research investigates issues such as how to make optimal use of raw materials, water, energy and other resources and to develop closed-loop supply-chain models.

**Description of Commitments:** To provide industry with essential, cutting-edge research in order to provide partners leads for the development of sustainable solutions to create safe and attractive food products that contribute to optimal human nutrition.

**Duration:** The first phase started in 1997; they are now in the fourth phase which started in 2011.

**Geographic Coverage:** Most partners are from the Netherlands and there is a focus on Europe, but there are also some US organisations.

**Achievements:** Since being formed in 1997, it has established a high impact track record with publications, patents and prestigious prizes. It's one of the largest public private partnerships employing some 250 people, including 100 scientific staff members, 45 postdoc scientists and 55 PhD fellows. Every year approximately 125 scientific articles are published in peer-reviewed journals and over 50 PhD students work on their thesis. The main achievements are very specific to each area of work:

- Resource Efficiency - work has focused on creating supply chain collaborative models and there is evidence of success
- Methane Reduction - they have evidence that it is possible to achieve a 50-60% methane reduction. They have shared the information to the sector to act on it.
- Sustainable packaging – Evidence shows that if you want to increase recyclability you need to get designers and marketers working together. Evidence also shows that the focus should be on what can be done together, rather than what organizations can do individually.

**Website:** [www.tifn.nl](http://www.tifn.nl)



## 7.18 The Sustainability Consortium (TSC)

**Main characteristics:** The Sustainability Consortium is a global organization dedicated to improving the sustainability of consumer products.

**Actors:** Members include manufacturers, retailers, suppliers, service providers, NGOs, civil society organizations, governmental agencies and academics. The Sustainability Consortium is jointly administered by Arizona State University and University of Arkansas with additional operations at Wageningen University in The Netherlands and Tianjin, China.

**Objective:** To design and implement credible, transparent and scalable science-based measurement and reporting systems accessible for all producers, retailers, and users of consumer products. Works in all sectors: electronics; food, beverage and agriculture; home and personal care; paper; packaging; retail; toys.

**Description of Commitments:** The main goal of TSC is to develop standardisation in sustainability assessments. TSC therefore develops tools and toolkits to enable sustainable innovation across the value chain. Sector and Consortium Working Groups are chartered groups of TSC members and invited participants, led by a TSC director and staff, who work together to create sustainability-related knowledge about particular product categories, continuously adding to the scope of products covered by our Sustainability Measurement and Reporting System (SMRS).

**Duration:** 2009 and ongoing

**Geographic Coverage:** Global

**Achievements:** The sustainability standards in many products as well as the establishment of the abovementioned working platforms are the main achievements of the alliance. Membership includes the world's largest and most important companies representing some \$1.5 trillion in revenue. The Consortium creates scale as it represents 100+ of the world's largest organizations, working together to create pre-competitive cross-sector solutions. With around 500 people involved as more than one person per organisation involved in the initiative and 2000 companies using the system via user fee.

**Website:** <https://www.sustainabilityconsortium.org/tag/europe/>

## 8 Annex II: Interview Guide Lead Organisations

*Thanks for agreeing to take part in the interview. As you know, I am contacting you on behalf of a project called REFRESH, which is funded by the European Commission. The project is looking at new and innovative ways to reduce food waste across the EU by building "alliances" and piloting a "voluntary agreement" style approach. Our role in this project is to research what "agreements" of this nature already exist, and more importantly, what factors constitute success, what are the main barriers etc. in order to learn from existing examples.*

*The results will feed in a process that is currently underway to build alliances to address food waste reduction in Germany, the Netherlands, Hungary and Spain. As we consider you an expert with regard to XXX*

*First of all I need to inform you that we are planning to record the interview to be able to refer to it when we do the analysis and report writing. We will not be asking for confidential information and I don't foresee any of the questions to be of a sensitive nature but if there is something you wouldn't like to record, let us know.*

*If they agree, interviewer to turn on recorder. Otherwise continue interview without recording*

*Some information on how the information you are about to share will be handled. We will be mostly reporting our findings in aggregate form e.g. the main challenges for the interviewed initiatives were x, y and z. But there might be occasions where we might want to name specific agreements e.g. some agreements, (x, y and z) rely on self-reported information from participants for monitoring, where a, b and c use aggregated external data. But we won't be naming you personally in the report or share your attributed responses externally (outside the project). The final report will be publically available on REFRESH website. Record any issues.....*

*The interview is structured in 7 sections:*

*Some of them are very short with one or two questions and some a bit longer. As mentioned at the time of setting up the interview, it should take up to an hour. The sections are:*

- 1. General information*
- 2. Profile of participants and their role*
- 3. Reasons why participants join the initiative*
- 4. Membership recruitment*
- 5. Monitoring progress*
- 6. Achievements and progress*
- 7. Operational questions*

### **Section 1:** General information

*So first of all, some general questions to ensure the information we have is correct.*

- 1.** Are you able to confirm the period covered by the agreement? (years)
  - a) When did it start? .....
  - b) Until when will it be running or when did it finish? .....
- 2.** Could you briefly summarise what is/are the overall objectives of the initiative?

## Section 2: Profile of participants and their role

*We would like to have a better understanding of the profile of the companies that are part of this initiative and we have a series of questions to get the information we need.*

3. Which types of organisations are involved in the initiative? Select as many as apply
- a) Not for profit
  - b) Government
  - c) Large business
  - d) Small and medium businesses
  - e) Producers
  - f) Manufacturers
  - g) Retailers
  - h) Consumer
  - i) Charity
  - j) Other (specify) .....
4. In particular, what is the government's role in the agreement if involved at all?
5. Which sector(s) does the alliance focus on?
- a) Food and Drink
  - b) Non-food: specify.....
6. So going back to the objectives of the agreement. Could you tell us a bit more about the objective setting process? How it, and what was the role of different stakeholders: you as lead organisation, government, trade bodies etc.?
7. In your view, what were the main factors that contributed to the successful establishment of the initiative and the main barriers (be it the social-economic context or the role of any key player in the industry or government for example)? *(Here we are asking about the process of setting up the agreement, not the progress towards objectives or targets)*

<b>Factors that contributed to the successful establishment of the agreements</b>	<b>Main barriers</b>

8. From our experience of working with different organisation across the supply chain, sometimes priorities can be very different and it can be challenging to bring everybody together and agree common objectives. In your experience, has this been a problem at all in any stage of the agreement?
- a) Yes → go to question 9
  - b) No → go to question 12

*Hidden option for interviewer to tick if suitable i.e. they don't work with different organisations in the supply chain* Not applicable → go question 13

If 8a),

9. At what stage would you say it has been more of a challenge? We would like to talk to some of the participant organisations separately and this is one of the things we would

like to discuss with them, so please, respond from your experience as lead organisation only. We have a grading system here so for each phase we have an option when **working with different organisations in the supply chain** was not a challenge, a bit of a challenge or a big challenge and we will ask you for some details.

	For interviewer to tick one per row as appropriate					If tick in column 2 or 3	If Yes or No in column 6	If tick in 1	Tick only one in this column
	Only prompt these three options			Select if appropriate but don't prompt					
	1	2	3	4	5	6	7	8	
	Not a challenge	A bit of a challenge	A big challenge	Not relevant	Not sure	Was the challenge overcome	Details of how it was overcome or why couldn't be overcome	Can you think of which conditions made it possible for organisations in the supply chain to work together	Question 9
Setting up the agreement: e.g. overall objective and scope setting						Yes/ No/ Not sure			
Recruitment of participants						Yes/ No/ Not sure			
Process of setting up the targets						Yes/ No/ Not sure			
Monitoring						Yes/ No/ Not sure			
Reporting and external communications						Yes/ No/ Not sure			
Are there any other issues related to working with the supply chain that you can think about? .....						Yes/ No/ Not sure			
Other issue.....						Yes/ No/ Not sure			
Other issue.....						Yes/ No/ Not sure			
Other issue.....						Yes/ No/ Not sure			

if any tick in columns 2 and 3 in question 9

10. If you had to select one, what would you say was the biggest single challenge of working with different organisation across the supply chain of those mentioned before? (tick in the table above, only one can be selected)

If 8 a)

11. Can you think of any other examples where the supply chain work together successfully other than those mentioned above?

If 8 b)

12. Can you think of which conditions made it possible for organisations in the supply chain to work together

### Section 3: Reasons why organisations join the agreement

13. In your experience, what are the main reasons why organisations join the agreement?

Record as open ended and tick options below as mentioned

- a) information and technical assistance
- b) peer pressure
- c) ongoing development of policy
- d) prevent possible alternative policies
- e) cost savings
- f) competitive position
- g) organisational culture
- h) other, specify.....
- i) other, specify.....
- j) other, specify.....
- k) other, specify.....

and then prompt with the options below that have not been covered

I have some other reasons that you have not mentioned but other people have. Do you think any of these were relevant for organisations joining your agreement?

- a. Source of information and technical assistance
  - b. peer pressure;
  - c. a desire to understand the ongoing development of policy which might be applied in future;
  - d. a desire to prevent possible alternative policies;
  - e. potential cost savings (including those from resource efficiency improvements);
  - f. Improved competitive position
  - g. Organisational Culture – i.e. it is in line with organisational culture and ethos
- Any other reason you might have thought about? Specify.....

### Section 4: Participant recruitment



**14.** How was the recruitment of participants done?

- a) There was an active strategy at the beginning. E.g. focus on top 10 key players.  
Explain: .....
- b) There is a continued active strategy. Details? .....
- c) Recruitment was not necessary. E.g. work with trade body and all members automatically sign in. Explain: .....
- d) There was no formal strategy. Explain: .....

**15.** Has recruitment been a problem at all?

- a) Yes
- b) No
- c) Not sure

Details:.....

**16.** What are the aspects of recruitment that worked better and how could problems have been avoided?

Aspects that worked better and why?	Problems and how they could have been avoided?

**Section 5:** Monitoring progress

*Now we would like to understand a bit better what system you have in place to ensure that the initiative reaches its objectives and how progress is measured. We have some of this information from your website, but we would like to ask you a series of questions to ensure the information we have is correct.*

**17.** First of all, did the initiative involve signing up to a joint commitment / target(s)?

*In case they ask for the difference, example of joint commitment: We agree to work towards reducing the amount we generate. Example of target: We agree to reduce the amount of waste we generate by 20% by 2020. The targets are more specific*

- a) Yes, a joint commitment
- b) Yes, targets
- c) No
- d) Other....

18.

If yes to targets (10 b)),	If yes to a joint commitment (10a)
What are your targets?.....	What is your joint commitment? .....
<p>Please, tick which of the following applies or ask if unclear:</p> <ul style="list-style-type: none"> <li>a) Targets are defined for a sector, even where the constituent firms are not all directly involved in the agreement</li> <li>b) Targets are defined at the collective level for all those party to the agreement</li> <li>c) Targets are defined at the firm-specific level for all participants in the agreement</li> <li>d) Targets are the subject of some broad Guidance (minimum levels, for example), but they are actually proposed by specific participants</li> <li>e) Other, please give details .....</li> </ul>	

19. We would like to understand how progress is measured. Do you have a monitoring and/or evaluation system in place?

- a) Yes
- b) No
- c) Not sure → move to question 21

<p>If Yes, 12a) The following have to be recorded, if they don't mention all of the points when they give more details, prompt.</p>	If No, 12b)
<p>12 a) Are you able to give more details of how it works? .....</p>	<p>12 a If you don't have a monitoring system or evaluation plan in place, how is progress measured?</p>
<p>12 b) What is the data collection method?  <ul style="list-style-type: none"> <li>a) Participant self-reporting</li> <li>b) Aggregate external data</li> <li>c) No plan yet – to be agreed</li> <li>d) Other, specify.....</li> </ul> </p>	
<p>12 c) Who is responsible for data collection, analysis and reporting?  <ul style="list-style-type: none"> <li>a) Leading organisation</li> <li>b) Third party</li> <li>c) Other, specify .....</li> </ul> </p>	
<p>12 d) Have there been any concerns around</p>	

confidentiality and sharing sensitive information? Do you any system in place to ensure information is managed appropriately and kept safely stored?	
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- 20.** Are there any sanctions for non-compliance or incentives for compliance?
- a) Yes
  - b) No

Details: .....

- 21.** We would like to understand how the objectives / targets of the agreement are supported and disseminated to encourage wider action

*So for example, if the objective is to reduce food waste in the sector, in order to achieve this, the lead organisation could provide some technical support to the participant to help identify how they could do it, a case study could then be written and shared with other organisations, there could be some publicity in the trade press etc.*

- a) With this in mind, does the agreement have a list of specific activities or projects that the participants should undertake?
  - i. Yes
  - ii. No

If yes, 16 a) i

- b) Are these activities voluntary or a requirement to be part of the agreement? Select more than one if appropriate
  - i. Voluntary
  - ii. Compulsory
  - iii. Other .....

If yes, 16 a) i

- c) Could you give some examples of the type of activities or projects undertaken by participants in order to achieve the overall objective of the agreement?

## **Section 6: Achievements and progress**

- 22.** What is the progress so far? What would you say are the key achievements of the alliance?

- 23.** In your opinion, do you feel satisfied with the progress so far?

- a) Yes
- b) No

Details.....

- 24.** In your view, do you think other stakeholders such as participants or government are satisfied with the progress so far?

- 25.** In your view, what do you think are the main factors that have contributed to the success of the agreement and how they have contributed?

Factors	How they have contributed to the success of the agreement

- 26.** In your view, what are the main factors that have hindered the success of the agreement and how they have had an effect?

Main factors	How they have hindered the success of the agreement

## **Section 7: Operational questions**

*Now we would like to learn about how the agreement was set up and how is managed. So we have a series of more operational questions.*

- 27.** How is the voluntary agreement administered and how are decision made? For example...

- a) A steering group – is a committee that provides guidance, direction and control to a project
- b) A working group – experts working together to achieve specified goals. The groups focus on discussion or activity around a specific subject area.
- c) Managed and directed by leading organization
- d) Other, specify.....

- 28.** What are the main benefits and challenges of this governance structure in your view?

Benefits	Challenges

- 29.** What is the formal structure of the agreement? Does the agreement create a formal/legal organisation? Or is it a contract?

- a) Contract
- b) Separate legal entity created
- c) Other, explain.....

- 30.** How is the voluntary agreement funded?

Select from list below but also record details

- a) Government funding
- b) Participant contribution

- c) Charity funding
- d) Other .....
- e) Other .....
- f) Other .....

More details on funding: .....

These are all the questions we had. Thanks for taking the time to answer all of this.

I only have a final request. Ideally, we would like to talk directly with a couple of participants of the agreement and we were hoping you would be able to help us identify who might be a good one to talk to and provide contact details. We understand you will need permission to pass on details onto us, but would you be able to help us arrange this?

We would like to get their views on what are the main challenges and advantages of being part of the agreement from their point of view, what are the main reasons why they joined, whether they have changed their behaviour as a result etc.

We would be happy to send you an email with a paragraph explaining this if it helps. Also the interviews will be much shorter. 20 min or half an hour at most.

We want to reassure you that your answers won't be shared with them and we will not be sharing theirs with you, so you don't need to worry about this.

Do you have any questions; is there anything you would like to ask me?

Thanks and good bye

Log in reference number of recorded: ....

## 9 Annex III: Interview Guide Signatories

Introduction:

*Thanks for agreeing to take part in the interview. As you know, I am contacting you on behalf of a project called REFRESH, which is funded by the European Commission. The project is looking at new and innovative ways to reduce food waste across the EU by building "alliances" and piloting a "voluntary agreement" style approach. Our role in this project is to research what "agreements" of this nature already exist, and more importantly, what factors constitute success, what are the main barriers etc. in order to learn from existing examples.*

*The results will feed in a process that is currently underway to build alliances to address food waste reduction in Germany, the Netherlands, Hungary and Spain. We talked to ....PREPOPULATE.... regarding ....PREPOPULATE ....last week and he has suggested with speak to you to get the view of the participants.*

*First of all I need to inform you that we are planning to record the interview to be able to refer to it when we do the analysis and report writing. We will not be asking for confidential information and I don't foresee any of the questions to be of a sensitive nature but if there is something you wouldn't like to record, let us know.*

If they agree, interviewer to turn on recorder. Otherwise continue interview without recording

*Some information on how the information you are about to share will be handled.*

*The information will be stored safely in our system for 5 years after the end of the project as required for all EU projects for auditing purposes. Only those colleagues directly involved in this part of the project will have access to the information and we won't be sharing the information you provide us with ....PREPOPULATE.... so you can speak openly.*

*we won't be naming your organisation or you personally in the report or share all of your attributed responses externally (outside the project team). The final report will be publically available on REFRESH website.*

*Record any issues.....*

*The interview is structured in 4 sections:*

*As mentioned at the time of setting up the interview, it should take up to half an hour. The sections are:*

1. **Section 1:** Information about participant
2. **Section 2:** Reasons why organisations join the agreement and why continue to be part
3. **Section 3:** monitoring progress
4. **Section 4:** Taking action
5. **Section 6:** Achievements and progress so far

## Section 1: Information about participant

*So first of all, some general questions*

- 15.** We would like to have a better understanding of the profile of the companies taking part in the initiative, so from the following types of organisations where do you fit?

Select as many as apply

- k) Not for profit
- l) Government
- m) Large business
- n) Small and medium businesses
- o) Producers
- p) Manufacturers
- q) Retailers
- r) Consumer
- s) Charity
- t) Trade association
- u) Other (specify) .....

- 16.** Which sector(s) does the alliance focus on?

- c) Food and Drink
- d) Non-food
- e) Food
- f) Food and drink and non-food

Specify.....

- 17.** The agreement started in....*PREPOPULATE*.... (Question 1 of the Leaders questionnaire) but when did you join the agreement? .....

- 18.** Do you have an active role in the administration and decision making processed of the initiative, for example by being part of a **steering group** (is a committee that provides guidance, direction and control to a project) or a **working group** (experts working together to achieve specified goals. The groups focus on discussion or activity around a specific subject area.)

- e) No
- f) Yes, part of the steering
- g) Yes, part of a working
- h) Yes, other, specify.....
- i) Does not apply – for interviewer to prepopulate

➤ Record any details of their role and experience: .....

- 19.** Are you satisfied with how the initiative is administer in terms of structure (i.e. working groups, steering groups etc.), frequency of meetings and/or updates, support from the lead organisation etc.?

- a. Yes
- b. No

Record details .....

- 20.** *Hidden option for interviewer to pre-populate. Does the initiative involve working with different actors in the supply chain? Check Q8 of Leaders' questionnaire*
- a. Yes – if answer Yes or No to Q8 → then go to 7
  - b. No → if answer "does not apply" to Q8 of leaders questionnaire – then go to 8

If Yes, 5a)

- 21.** From our experience of working with different organisation across the supply chain, sometimes priorities can be very different and it can be challenging to bring everybody together and agree common objectives. In your experience, has this been a problem at all in any stage of the agreement?
- i. Yes
  - ii. No

If Yes	If no
a. What would you say was the biggest single challenge of working with different organisation across the supply chain and explain why?	b. Why do you think it has not been a problem?

## **Section 2:** Reasons why organisations join the agreement

- 22.** What are the main reasons why your organisation initially joined the initiative? We will be asking you later about what you think are the main benefits of being part of it now, so here think about what were the main drivers to join at the beginning.

Record as open ended and tick options below as mentioned

- l) information and technical assistance
- m) peer pressure
- n) ongoing development of policy
- o) prevent possible alternative policies
- p) cost savings
- q) competitive position
- r) organisational culture
- s) other, specify.....

and then prompt with the options below that have not been covered

I have some other reasons that you have not mentioned and I am going to read up to you in case they are also relevant.

- h. Source of information and technical assistance
  - i. peer pressure;
  - j. a desire to understand the ongoing development of policy which might be applied in future;
  - k. a desire to prevent possible alternative policies;
  - l. potential cost savings (including those from resource efficiency improvements);
  - m. Improved competitive position
  - n. Organisational Culture – i.e. it is in line with organisational culture and ethos
- Any other reason you might have thought about? Specify.....



6. Currently, what are the main benefits of being part of the initiative if different from above?

Record as open ended and tick options below as mentioned

- a) information and technical assistance
- b) peer pressure
- c) ongoing development of policy
- d) prevent possible alternative policies
- e) cost savings
- f) competitive position
- g) organisational culture
- h) Same as above
- i) other, specify.....

7. Following on the previous question, what are the main challenges of being involved?

### Section 3: monitoring progress

*Now we would like to understand a bit better what system you have in place internally to ensure that you are contributing to the overall objective of the initiative and how progress is measured. We have information on the how this process works in general but we would like to know about your experience in particular.*

8. Look response to Q18 of leader organisation

*We understand from our previous interview with ...NAME OF INITIATIVE..... that Yes/No/No yet monitoring system in place to measure progress. Is that right?*

- d) Yes, there is a system
- e) No, there isn't

Confirm they agree and if not adjust according to their answer

If Yes 10a)	If No If 10b)
Have you experienced any problems reporting the required information?	Do you have any concerns about the implications of not monitoring progress? For example, how to justify your involvement in the initiative?
Yes/No	Yes/No
Record any details .....	Record any details .....

### Section 4: Taking action

9. We would like to understand how the objectives/targets of the agreement are supported and disseminated to encourage wider action

*So for example, if the objective is to reduce food waste in the sector, in order to achieve this, the lead organisation could provide you with some technical support to help you identify how you could do it, a case study could then be written and shared with other organisations, there could be some publicity in the trade press etc.*

We're interested to know whether you have taken or plan to take any action since you joined the initiative in order to contribute to the overall objectives/targets of the initiative.

- a. Taken action
- b. Have specific plans in place to take action
- c. Not taken or planning action → go to Q10

If taken action or plan to take action

- i. Are the actions you have taken or are planning to take part on organised within the initiative or have you planned them yourself?
  - Organised within the agreement
  - Organised by participant
  - OtherDetails.....
- ii. Could you give some examples of the type of activities or projects that you have taken or will be taking part on?
- iii. Did the advice/support you received from ...INITIATIVE NAME..... help you with any of the actions we have been discussing?
  - Yes - how?
  - No - why not?
- iv. Would you have been able to take the actions we have been discussing without the advice/support you received from ...INITIATIVE NAME.....?
  - Yes - how?
  - No - why not?
- v. Were the end results we have been discussing any better or worse as a result of the advice/support you received from ...INITIATIVE NAME.....?
  - A lot worse - why?
  - Worse - why?
  - Made no difference
  - A little better - why?
  - A lot better - why?

## Section 6: Achievements and progress

10. What would you say are the key achievements of the initiative in general?
11. In your opinion, do you feel satisfied with the progress of the initiative so far?
- c) Yes
  - d) No
- Details.....
12. In your opinion, do you feel satisfied with your progress so far?
- e) Yes
  - f) No

Details.....

13. What would you say are your key achievements since joining initiative?

14. In your view, what do you think are the main factors that have contributed to the success of the initiative and how they have contributed?

Factors	How they have contributed to the success of the agreement

15. In your view, what are the main factors that have hindered the success of the initiative and how they have had an effect?

Main factors	How they have hindered the success of the agreement

These are all the questions we had. Thanks for taking the time to answer all of this.

Thanks and good bye

Log in reference number of recorded: ....

## 10 Annex IV: Inventory of Existing Alliances

Name of Alliance	Geographic coverage
Courtauld Commitment 3	UK
Hospitality and Food Service Agreement (HaFS)	UK
Dairy roadmap	UK
Soft drinks roadmap	UK
Courtauld Commitment 2	UK
CC1	UK
Halving Waste to Landfill	UK
Public Health Responsibility Deal	UK
Better Retailing Climate	UK
SCAP 2020 Commitment	UK
ESAP	UK
Agricultural Industry GHG Action Plan	UK
Flooring Resource Efficiency Action Plan	UK
Plasterboard Sustainability Action Plan	UK
Ashdown Agreement	UK
Campaign for the Farmed Environment	UK
Direct mail agreement	UK
Utility Industry Agreement	UK
SlowFood:Teller statt Tonne	Germany
Zu gut für die Tonne	Germany
Foodsharing e.V.	
Bündnis für nachhaltige Textilien	Germany
Initiative Tierwohl	Germany

Forum Nachhaltiger Kakao	Germany
Save Food	Worldwide
Action2020	Worldwide
Követ (Ambassador)	Hungary
Önszabályozó Reklám Testület (Advertising Self Regulatory Board)	Hungary
Self-Regulating Coalition of Fundraising Organizations	Hungary
Fairtrade International	global
La Alimentación no tiene desperdicio. Aprovéchala. AECOC	Spain
Waste prevention plan PRECAT20	Catalonia
Som Gent de Profit	Catalonia
Más alimento menos desperdicio 6. "More food, less waste" Strategy	Spain
Manifest prou malbaratar aliments	Spain/Catalonia
Bcn comparteix el menjar	Barcelona
Covenant of Mayors Committed to Urban Sustainable energy	Europe
Estrategia residus zero Catalana / Zero waste Europe	Catalonia/Europe
FOOD SUPPLY CHAIN ROADMAP 2020	Belgium
Marine Conservation Society - Fish Fight	UK
Pacte National de Lutte contre le gaspillage alimentaire	France
Damn Food Waste	
Plataforma Aprofitem Els Aliments - Catalonia	Catalonia
Format Norway	Norway
Food Waste Reduction Alliance	US
Sustainable Food Alliance	NL
TSC, The Sustainability Consortium Europe	Global
Schoon & zunig (Clean and Frugal)	

TI Food & Nutrition PPS	The Netherlands, partners in Europe & US
Lean & Green	The Netherlands, Germany, Flanders Belgium, Wallonia Belgium, Italy
Netherlands Institute for Sustainable Packaging (Kennisinstituut Duurzaam Verpakken)	Netherlands
Sustainable Dairy Farming (Uitvoeringsagenda Duurzame Veehouderij)	Netherlands
IDH, The Sustainable Trade Initiative (Initiatief Duurzame Handel)	Netherlands (buyers), global (sourcing)
Norway Nordic Council	Norway
Alliance Sustainable Food	Netherlands
Food Waste Reduction Alliance	USA
Voluntary engagement agreement for the fight against food waste	France
Food Waste Reduction Alliance	USA
Fruit and Vegetable Prescription Program	USA, 33 states and DC
Farm to Family	California, USA
The Supply Chain Initiative	European Union