

**The Changing Funding Environment  
for Outdoor Recreation**

2007 Seminar Proceedings  
of the  
Countryside Recreation Network

Edited by Helen English  
Network Assistant

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## **Countryside Recreation Network Seminar**

### **'THE CHANGING FUNDING ENVIRONMENT FOR OUTDOOR RECREATION'**

#### **WELCOME AND INTRODUCTION**

Glenn Millar  
Economic Development Manager  
British Waterways

Traditionally outdoor recreation organisations and resource managers have received considerable funding support from external sources to supplement their core work programmes. Currently the external funding environment is undergoing significant change. The new European Union funding regimes for the period 2007-2013 are being implemented from January 1<sup>st</sup> 2007, while the National Lottery programmes are changing priorities and introducing new programmes. In particular the Big Lottery Fund is in the process of introducing a number of new programmes which have particular relevance for outdoor recreation, focussing on healthy living, the natural environment and community involvement.

At the same time, the amount of money available from many sources is reducing, with a lower allocation of EU funds to the UK and the pressure on Lottery Funds to support the 2012 London Olympics. The countryside recreation (urban and rural) and resource management sector needs to gear up to maximise opportunities from the new funding environment. It needs to become more attuned to the priorities of funders and more stringent in appraising and evaluating projects.

Through this Seminar we reviewed these trends and looked at the potential implications for countryside recreation, from the perspective of both the funding agencies and the recipients of support. Delegates learnt how some of the key funding sources are changing, and what future opportunities for outdoor recreation there might be, through a series of presentations on specific funding sources – European funding, Heritage Lottery Fund and Big Lottery Fund. They also learnt key lessons in developing and managing successful externally-funded projects through the experience of practitioners. In the final session some of the key techniques for supporting successful funding applications were reviewed, including economic appraisal and evaluation and social marketing techniques.

Despite the changes taking place, there is no doubt that funding from third party sources will continue to provide significant support for outdoor recreation and related activities in the future. It is hoped that this Seminar will generate more and better quality outdoor recreation projects, supported by external funds, in the future.

## **Countryside Recreation Network Seminar**

**'THE CHANGING FUNDING ENVIRONMENT FOR OUTDOOR RECREATION'**

### **SOMETHINGS OLD, SOMETHINGS NEW: THE NEW EUROPEAN FUNDING PROGRAMMES FROM 2007**

Adrian Healy  
Director  
ECOTEC

#### **Introduction**

From January 2007 the European Union enters a new budgetary cycle, which will come to an end in 2013. One effect of this is that a number of new funding programmes will start at this point and remain in place for the following seven years. Equally, a number of the European programmes that have been in place during the past programming period (2000-2006) will come to an end.

#### **The changing policy context**

There has been a fundamental shift in the policy context since the start of the last programming period. In May 2004 The European Union welcomed 10 new Member States, the largest enlargement in its history, with Bulgaria and Romania joining on January 1<sup>st</sup> 2007. In total the size of the Union's population has increased by a fifth since 1999. Yet the Union's budget has not increased to the same degree, leading to pressure on the distribution of available resources.

The new European funding regime from 2007 is a mix of the old and the new. Some actions continue, others continue but are under a new name, whilst others are entirely new. What is clear is that there is a strong focus on how EU programmes are able to stimulate a more dynamic economy and the transition to the much vaunted 'knowledge-economy'. This tends to concentrate on aspects such as promoting entrepreneurship, research and innovation, energy and ICT. There has been a symbolic moving away from phrases such as 'industrial restructuring' and 'neighbourhood renewal', although some of these actions may continue under new headings. Sustainable Development and the environment remain important totems for the European Union, although available funding programmes are, perhaps, of less significance than regulatory agreements.

The new focus is a reflection of how policy aims and ambitions have changed since 1999. The 'Lisbon Agenda' is the new *zeitgeist*, and is the spoken, and unspoken, underpinning of many of the Union's actions, with Member States complicit in this. The Lisbon Agenda was agreed by the Council of Ministers in 2000, with the aim of making the EU "the most competitive and dynamic knowledge-based economy in the world" by 2010. A sustainable development dimension was added to this a year later by the Council, meeting in Gothenburg. Since then the importance of a competitive economy and the role of entrepreneurship, business growth, innovation and R&D in securing higher levels of productivity and employment growth have continuously been stressed.

Despite these efforts at promoting the Lisbon agenda it proved tricky to implement in practice, with the expectation that Member States would lead the charge, based upon the Open Method of

Coordination<sup>1</sup>, largely unrealised. This led to a review of the Lisbon Agenda in 2004 and a restating of its principles with a slimmed down focus on a 'jobs and growth' agenda. At the same time both the Commission and the Member States were exhorted to make more effort to implement the revised Lisbon agenda, with a radical move to be seen to do this the short-term result. As a consequence of this there is now a very strong emphasis on stimulating the 'competitiveness' of the European economy, which has informed the development of many of the major programmes emanating from the European Commission.

## **The Changing Funding Environment**

The principal European funding programmes which have a relevance to the UK from 2007 can largely be grouped into three categories:

Those European programmes which are geographically targeted, most notably the Structural Funds:

- Convergence Programmes
- Regional Competitiveness and Employment Programmes
- Territorial Cooperation Programmes (INTERREG)
- Rural Development Programme (funded through the EAFRD)

Those European Programmes which apply across the European Union, and which organisations in UK might choose to apply for. Principally:

- The 7<sup>th</sup> Research and Technological Development Framework Programmes (7<sup>th</sup> FP)
- The Competitiveness and Innovation Framework Programme (CIFP)
- Sixth Environmental Action Programme and LIFE +
- i2010 (funded through the ICT Policy Support strand of the CIFP)
- Lifelong learning programmes (such as Leonardo da Vinci)
- Culture 2007

Funds which come directly to businesses or organisations in the UK, of which the Common Agricultural Policy is the primary example.

## **Programmes relevant to Outdoor Recreation and Environmental Management**

The principal opportunities for supporting outdoor recreation and environmental management activities are likely to be found through the European Structural Funds, particularly the European Agricultural Fund for Rural Development (EAFRD) and, potentially, the European Regional Development Fund (ERDF). There may also be opportunities for appropriately targeted projects under the European Social Fund (ESF). Finally, the opportunities offered by LIFE+ should not be overlooked. The principal opportunities can be summarised as follows.

### **The Competitiveness and employment programme – innovation, enterprise and sustainable communities**

To be delivered through regional programmes and financed with the ERDF. The Programme follows the key priorities identified by the UK Government in the National Strategic Reference Framework. The most recent version of this focuses on the need to:

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<sup>1</sup> Briefly, this involves all Member States and the European Commission agreeing common objectives and indicators and for all parties to then seek to achieve these through their own actions.



- Promote innovation and knowledge transfer
- Stimulate enterprise and support successful business
- Ensure sustainable development, production and consumption
- Build sustainable communities

Most regional programmes follow the spirit of the NSRF and seek to prioritise themes such as:

- Innovation
- Enterprise and job creation
- Access and effective use of ICT by SMEs
- Improving the environmental performance of businesses and promoting the commercial application of environmental technologies
- Capacity building in disadvantaged communities
- Support for community enterprise
- Encouraging higher value and sustainable tourism

Outdoor recreation and environmental management projects that can demonstrate a contribution to economic or sustainable development objectives might be considered for funding. The amounts of funds available to regional programmes are, on the whole, significantly reduced compared to 2000-06. This is likely to make future funding rounds very competitive.

### **Skills – maintaining the focus on the disadvantaged, and raising skills levels**

The principal funding programme in the area of skills development is the ESF. In England the new ESF programme from 2007 will largely continue the pattern of the 2000-2006 programming period. It will be organised on a national basis, with regional implementation programmes. At a regional level it will be expected to support the objectives of the ERDF Competitiveness Programme. Where outdoor recreation and environmental management projects are tied to delivering skills outcomes then the ESF programmes might provide a suitable opportunity. In many regions levels of ESF expenditure will exceed ERDF programme activity.

### **Rural Development – environmental stewardship and rural enterprise**

Symbolically 2007 sees the introduction of a renamed Fund supporting rural development. The European Agricultural Fund for Rural Development (EAFRD) replaces the European Agricultural Guarantee and Guidance Fund (EAGGF). The intention is that EAFRD funding should be focused primarily on supporting diversification of rural economies at a local level. In practice however it seems that the Fund may largely be targeted at supporting environmental management activities (with a suggestion that this should free the ERDF from such undertaking). The proposed Rural Development Programme (RDP) for England is structured around three themes: enhancing the environment and countryside; making farming and forestry more competitive and sustainable, and enhancing opportunity in rural areas.

The Government's commitments to Environmental Stewardship mean that around two-fifths of the programme will be focused on actions related to achieving these goals (largely covered by the first theme of the Programme). There also appears to be a reduction in the emphasis on measures targeted solely at farmers, with an increased emphasis on measures promoting rural enterprise development more broadly. The new programme will also incorporate the former LEADER Community Initiative. Local Action Groups, similar to those established under LEADER, are encouraged, and are to be led by the Regional Development Agency. It seems likely that there will be strong opportunities for appropriate outdoor recreation and environmental management projects to secure support through this instrument, although eligibility issues will need to be carefully considered.

## **Environment – 6<sup>th</sup> EAP and LIFE +**

The sixth Environment Action Programme (6th EAP), adopted in 2002, is the EU's ten-year (2002-2012) policy programme for the environment. It identifies four key environmental priorities:

- Climate change
- Nature and biodiversity
- Environment and health
- Natural resources and waste

To date, four thematic strategies have been adopted as part of the programme: air pollution; prevention and recycling of waste; protection and conservation of the marine environment; sustainable use of resources. A further three are planned (soil protection, sustainable use of pesticides and urban environment) but remain to be adopted. The Commission will present a mid-term report of the 6th EAP before the end of 2006 leading to a review in 2007. External observers have commented that the environmental objectives of the 6<sup>th</sup> EAP will not be reached and argue that there has been a 'downgrading' of political support for the 6<sup>th</sup> EAP in light of the EU's jobs and growth agenda.

LIFE is the EU Financial Instrument for the Environment. It provides financial support for projects that contribute to the development, updating and implementation of the Union's environmental policy. From 2007-2013 a new instrument (LIFE+) will be in operation. It replaces the LIFE III instrument, but primarily continues the work undertaken by LIFE III. In the future it will have two strands: implementation and governance (to generate improvement in the knowledge base of environment policy development and implementation) and information and communication (to actively promote EU environmental policies by means of information, communication, awareness-raising and dialogue). LIFE+ gathers together several funding arrangements such as the former LIFE+ programme, Forest Focus, the programme for sustainable urban development and the support programme for the NGOs. 50% of the budget has been reserved for spending on the "nature and biodiversity" part of the programme.

LIFE + is a well established programme and there will be substantial experience amongst local authorities and environmental bodies of it's predecessors. This appears to offer many positive opportunities for those interested in activities related to outdoor recreation and environmental management. However, competition is likely to be strong. The UK Government is likely to play a stronger role in the approval of projects in the future, although the Commission will retain some influence.

## **Transnational and cross-border Programmes**

Transnational programmes such as the territorial cooperation programmes for North West Europe, North Sea Region, Atlantic Area and Northern Periphery, as well as the cross-border cooperation programmes covering eligible parts of England's southern and eastern coastline, Wales, Northern Ireland and parts of Scotland, all offer potential opportunities for projects in the area of outdoor recreation and environmental management. Each of these programmes are financed by the ERDF.

The details of these programmes are not yet finalised however it seems likely that there will be a strong focus on the promotion of innovation, supporting environmental management and protecting against flooding, improvements to accessibility and, potentially, support for sustainable urban development. There are some changes to the programmes however, with a lesser

emphasis on 'planning' related activities and stronger focus on economic development activities, particularly in pursuit of the knowledge-economy. The programme budgets will be relatively large, but spread over an extremely large area.

## **Conclusions**

The new European funding environment is set in a sharply different policy context from that of 1999. 'Lisbon' is the new watchword and there is a tendency to speak loudly of productivity, innovation, employment growth and a 'knowledge economy'. This shift is reflected in the changing funding environment, but the shift should not be overstated. Several aspects of European funding remain the same, with some important programmes continuing in a form similar to that of the past programming period.

Opportunities for funding outdoor recreation and environmental management projects are available, but often the project will need to be tuned to achieving broader objectives *through the mechanism* of outdoor recreation or environmental management.

**Countryside Recreation Network Seminar**

'THE CHANGING FUNDING ENVIRONMENT FOR OUTDOOR RECREATION'

**HERITAGE LOTTERY FUND**

Sarah Wicks and Stuart McLeod  
Development Managers  
Heritage Lottery Fund

Please see slides in Appendix D for presentation summary.

For the most up to date HLF funding opportunities, please visit

<http://www.hlf.org.uk>

## **Countryside Recreation Network Seminar**

### **'THE CHANGING FUNDING ENVIRONMENT FOR OUTDOOR RECREATION'**

#### **THE BIG LOTTERY FUND**

Ella Mizon  
Policy Advisor  
Big Lottery Fund

- The Big Lottery Fund (BIG) was created in June 2004 through the merger of the Community Fund and the New Opportunities Fund.
- BIG is responsible for giving out half the money for good causes raised by the National Lottery, with an annual income of over £600 million.
- BIG's remit covers health, education, environment and charitable purposes and we fund a wide range of projects within this. BIG has an overarching mission of bringing real improvements to communities and the lives of people most in need.
- BIG funds projects right across the UK.
- The New Opportunities Fund, one of BIG's legacy bodies, had a strong legacy of supporting environment themed projects and delivered several successful environment programmes:
  - The £130 million *Green Spaces and Sustainable Communities* initiative provided support to rural and urban communities across the UK to enhance their local environments. This included seven different schemes in England, delivered by award partners (organisations that deliver open grant schemes on BIG's behalf). These schemes proved popular and some were heavily over-subscribed. Award partner schemes included BTCV's People's Places, The Countryside Agency's Doorstep Greens, RSWT's SEED programme, Barnardo's Better Play and English Nature's Wildspace.
  - The £149 million UK wide *Transforming Communities* initiative included £49.5 million for *Transforming your Space*. This programme has helped communities across the country improve their local environments.

#### **Key areas**

- BIG is an outcomes funder which means we have a clear vision of the difference we want our funding to make overall. Crucially this means that we ask you to explain in your application just what difference your project is trying to make, by setting out your intended outcomes and demonstrating the need for your project. Outcomes are the changes or difference that your project can make over time – they are a result of what you do, rather than the activities or service you provide. To help applicants understand outcomes funding, we've produced an easy to read publication called 'Explaining the

difference your project makes'. You can download it from our website at [http://www.biglotteryfund.org.uk/explaining\\_the\\_difference](http://www.biglotteryfund.org.uk/explaining_the_difference)

- BIG has implemented a policy of full cost recovery and we have produced a useful guide which can be found on BIG's website at - [http://www.biglotteryfund.org.uk/full\\_cost\\_recovery](http://www.biglotteryfund.org.uk/full_cost_recovery)
- BIG has introduced more flexibility in the length of funding it provides – with grants of up to five years.
- BIG has introduced an outline proposal stage in many of its programmes
- BIG has nine regional offices in England that focus on maintaining regional links, feeding regional context information into the decision-making process and providing outreach and development support.

## **Environment programmes**

### **Changing Spaces**

BIG's new environment led programme in England - with up to £234 million allocated to it. The programme has three outcomes and three priority areas. The three priority areas are – community spaces, local community enterprise and access to the natural environment. These are underpinned by three overarching outcomes which are:

- Improved local environments, open spaces and countryside, accessible to all and relevant to people's needs
- A greater sense of community ownership of the local environment, with better collaboration between communities and the voluntary and statutory sector
- Improved social, economic and environmental sustainability.

The Changing Spaces programme will be delivered through award partners (organisations delivering open grants schemes on BIG's behalf) and by organisations delivering large portfolios of projects. These delivery methods were chosen because of the added value working with partners brings. We expect award partners to start launching their grant schemes from summer 2007. Q&A's on the programme are available on BIG's website.

### **Parks for People**

The Parks for People programme is run jointly with the Heritage Lottery Fund. The programme has a long-term vision that every community should have access to a well designed and maintained public park with opportunities for enjoyment and recreation for all. The programme builds on the success of Heritage Lottery Fund's previous parks programme, providing grants from £250,000 to £5 million. For a park to be considered for funding it must show that:

- the community values the park as part of their heritage;
- the park meets local social, economic and environmental needs;
- and that the park actively involves local people.

Further information on the programme can be found on the Heritage Lottery Fund's website at [www.hlf.org.uk](http://www.hlf.org.uk)

## **Other programmes**

### **Wellbeing**

BIG's Wellbeing programme aims to support communities in need to create healthier lifestyles and improve their wellbeing. The programme has three strands - improving mental wellbeing, making people more physically active, and encouraging children, parents and the wider community to eat more healthily. £165 million has been made available for this programme, of which £45 million has been committed to healthy eating. The programme was launched in April 2006 and is now closed for applications. It will be delivered through organisations delivering portfolios of projects.

### **Community Buildings**

The £50 million Community Buildings programme will give communities the chance to improve their quality of life by funding buildings that are economically, socially and environmentally sustainable. The programme will pay for creating and improving facilities that offer a wide range of services and activities to a broad range of local people. The programme closed to stage one applications at the end of April 2007.

### **Reaching Communities**

Reaching Communities is BIG's lightly prescribed demand led programme in England and it funds projects that aim to meet one or more of the following outcomes:

- people having better chances in life, including being able to get better access to training and development to improve their life skills;
- strong communities, with more active citizens, working together to tackle their problems;
- improved rural and urban environments, which communities are better able to access and enjoy;
- healthier and more active people and communities.

Reaching Communities will give grants of up to five years for more than £10,000 and up to £500,000, including a maximum of £50,000 for capital grants.

### **Awards for All**

The Awards for All programme is an easily accessible small grants programme. The programme awards grants of between £300 and £10,000 for people to take part in art, sport, heritage and community activities, and projects that promote education, the environment and health in the local community. The programme is supported by other Lottery distributors, and is delivered by BIG.

BIG also has a range of other programmes in addition to these in England. Separate programmes also operate in Scotland, Wales and Northern Ireland. Details of all programme can be found on BIG's website at <http://www.biglotteryfund.org.uk>.

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### **BRITISH WATERWAYS - A CASE STUDY ON SECURING FUNDING**

Andrew Stumpf  
Regeneration Manager (South)  
British Waterways

#### **Introduction**

This short paper describes the funding used in the delivery of two projects that both have a canal restoration at their heart. One of these, the £11.5 million Droitwich Canals scheme in the West Midlands, has begun, and will be delivered in one go. The other, the Cotswold Canals, is a much larger project which will be delivered in a number of phases; even the first phase had to be split in two to match the funding available. Phase 1A costing £24 million has received £11.92 million of Heritage Lottery Funding and is underway. Phase 1B will be the subject of a second stage Big Lottery application at the end of May 2007.

There is no space here to describe the projects in detail but further information can be gleaned from:

<http://www.britishwaterways.co.uk/droitwich>  
<http://www.britishwaterways.co.uk/cotswolds>  
<http://www.cotswoldcanalsproject.org>

Nothing you will read below is anything other than common sense.

#### **The Project**

The project must always be the starting point. It is important not only to be very clear what it is you want to achieve but also to consider what will happen after the third party funding runs out. In our schemes the engineering work is a short term means to the longer term end (the community understanding, appreciating and participating in the ongoing life of the waterway, leading to the canals' long term protection). Skills development, interpretation, education and above all community participation, are integral parts of the project, not add ons, as we apply the principle first articulated by Freeman Tilden in 1957:

- Through interpretation, understanding.
- Through understanding, appreciation.
- Through appreciation, protection.

For the project to be sustainable the right balance has to be struck between the commercial (to ensure financial sustainability), conservation (valuing the natural, built and social heritage) and the community (appreciation, participation, protection) elements of the project. This is one reason why the Heritage Lottery Fund insists on a Conservation Management Plan to guide the decision making; particularly important where there is the potential for conflict.



## Partnership

It is very unlikely that a major project will be delivered by a single organisation working alone and these projects are no exception. Partners must be totally committed to the project not just supportive. Each has a role to play using their particular expertise which may be in planning, land acquisition, fund raising etc.

## Funding

Big projects need big funding and this will inevitably mean either the Lottery or one of the public funders such as the Regional Development Agencies or, in the right areas, European funds. In the public sector funding is output driven and this is becoming more common in the private and charitable sectors.

Table 1 shows the major funding sources for the two projects. In each case two thirds of the funding has come from Lottery funds and Regional Development Agencies.

Table 1. Funding sources

Source of Funding	Cotswolds 1A £'000s	Droitwich £'000s
Heritage Lottery Fund	11,924	4,658
Other Lottery	225	148
RDA	6,000	3,009
Local Authority – District cash	750	1,000
Local Authority – section 106	378	500
Local Authority – County	386	1,000
Voluntary sector – cash	375	20
European	346	0
The Waterways Trust – to be raised	469	459

The Heritage Lottery Fund is principally interested in conservation of and public access to the heritage, both physically and intellectually. Allocating funds to one project inevitably means rejection of another. Not surprisingly HLF therefore wish to see a similar level of financial sacrifice from the partners and a broad level of community support (but not necessarily unanimous). The need to demonstrate the heritage significance is a given as is the requirement of a Conservation Management Plan to ensure the asset is managed properly during the works and afterwards.

Each of the projects included individual structures of medium to high heritage significance but they also offered working heritage; the chance to see 18<sup>th</sup> and 19<sup>th</sup> century engineering working just as it did when built. The Cotswolds also offered skills development using the canal as a 16km studio to help fill the gap in traditional building and rural skills. This aspect of the project spawned the Cotswold Heritage Academy <http://www.cotswoldsheritageacademy.org.uk> which is now seen as a regional centre of excellence and a national exemplar.

Regeneration is the key to the hearts of Local Authorities and RDA's and the two schemes offered the outputs shown below. Waterways are now readily acknowledged as catalysts for regeneration, changed land use and changed perceptions – Birmingham City's imaginative use of the canals as a unique selling point and as a means of altering perceptions of the Black Country are probably the best and most dramatic example.

Generally funders are looking for:

- A fit with their objectives
- How this project will deliver those objectives – is there a real need that is being satisfied, is this the best way to do it? What other options have been explored? What happens if you do not get the money?
- What level of stakeholder and community support is behind the project? Has the Partnership been put together for this project alone or is it part of something bigger? Is there any opposition and how serious is it?
- What are the risks to delivery? Is the applicant aware of them and are their mechanisms for managing risk? Who is ultimately carrying the risk and what is their capacity to do so?
- What is the experience and track record of the partnership and its constituent parts? What lessons have been learned from previous schemes?
- How will the thing we are paying for be maintained for the next 40 to 80 years, depending upon the funder? Where will the revenue come from? How will the applicant make sure it is used?

Each of the major funders covers this in far greater detail in their guidance to applicants. These are the outputs which British Waterways as applicant is contracted to the RDA to deliver and may differ from other published sources. Failure to deliver would mean that the applicant could be subject to claw back of the sums allocated.

Table 2 Outputs – Who is the beneficiary?

Output measure	Cotswolds 1A	Droitwich
Catalyst for wider regeneration	Yes	Yes
Private sector investment levered in	£64 million	£59 million
Jobs created (5 years after restoration)	220	196
Number of people assisted to get a job	24	-
Brownfield land restored	21 hectares	23.3 hectares
New workspace created	14,000 sq metres	-
New businesses created	31	14
People developing	124	604

new skills		
Visitor days	215,000	330,000
Visitor spend	£531,000	£2,500,000
Health benefits – up to	£94,000 per annum	£144,000

British Waterways' expertise lies in putting together a sound business case with measured outputs based on sound research and prior experience. Our delivery track record is excellent and we have the capacity to carry a certain amount of risk – not inexhaustible and we would look for the beneficiaries to share that risk proportionately. Where we are less good is in dealing with bodies where a relationship needs to be built up, for example charitable trusts.

Here the Partnership is funding a Waterway Trust (TWT) fundraiser to work on both projects. The Waterways Trust works closely with the relevant local trust so that we can make the most of the local trust's local knowledge, local contacts and network of members while exploiting The Waterways Trust's national standing, Government endorsement and professional fundraisers. It is the Waterways Trust that will deal with charitable trusts, corporate sponsors and major gifts; concentrating on the former as offering the best return on the effort expended. A national appeal has just been launched for the Droitwich Canals

<http://www.thewaterwaystrust.co.uk/projects/droitwich.shtml>. The Cotswolds is, of course, the other campaign <http://www.thewaterwaystrust.co.uk/projects/cotswolds.shtml>

### **Key things to consider in securing funding from these sources**

A development stage is now common among major funders but the total budget may still be set at initial application stage.

Guidance is given in the Treasury Green Book (<http://www.greenbook.treasury.gov.uk>) on optimism bias. This is the “demonstrated systematic tendency for appraisers to be over-optimistic about key project parameters”. That is in capital costs, works duration, operating costs and benefits. The Green Book and the Department of Transport make recommendations regarding the percentage uplift that should be applied given the level of certainty at bid stage.

<http://www.dft.gov.uk/pgr/regional/ltp/major/proceduresfordealingwithopti3687?page=1#1003>

Few funders currently accept a “contingency” or “risk sum” of this order which encourages applicants into being over optimistic. If you then add in inflation, which is predicted to be between 6 and 7% per annum on infrastructure projects until after the Olympics, we are getting onto very dangerous ground indeed if any delays occur. Once you have your funding the budget is effectively fixed unless the scope of the project changes.

### **Issues with project delivery**

We are working in an increasingly competitive environment within which demand strongly outstrips supply; even before the major players were hit by the Olympic droop. Do not be surprised if you have to rescope the project or work in phases as happened on the Cotswolds as HLF did not have the capacity to fund the whole of phase 1.

Hibernating bats, breeding birds, reptiles, newts, badgers etc. set strict timetables for certain works. Genuine public consultation does not always lend itself to the same constraints. Missing an ecological window could delay the project by a full year.

## **Tips and hints**

Plan in advance. Make sure your project is included in emerging strategies and policies so that the strategic fit can be demonstrated when the time comes. This can be a struggle as some plans will be emerging in parallel with your project plan.

Take your partners through the project in easy stages, getting commitment at each stage (and financial support) if people are putting cash on the table they are more likely to value the results. Each to their means but if a supposed partner cannot find any cash that is a message in itself.

Do not be discouraged by an unsuccessful bid as it may form the springboard for another funding source and a foundation for a longer lasting partnership. Think about what you will do if unsuccessful. Can the bid be broken down into smaller pieces and used to deliver the project piecemeal?

Some common themes have emerged over the years:

- It is all about people (not organisations).
- Find the right people, at the right level, relevance and of the right quality. Try to find opinion formers; littlewigs can be as important as bigwigs and often grow into bigwigs.
- Support does not mean commitment but...
- In adversity you find out who your real friends are.
- Are your partners supportive of the application or are they actually pro actively working away making things happen or removing the blockages? Is there a dedicated member of staff with clear responsibility for your project – how high are they in the organisation?
- Identify and use each partner's strengths.
- Just because people are unpaid it does not mean they are unprofessional. Volunteers can often achieve what a (public) organisation cannot. However the same standards need to be applied to the outputs from contractors, employees and volunteers; particularly in terms of health and safety.
- Be persistent – “last man standing”.
- Don't give in – don't go away and never shut up. Keep at it even when everyone else has walked away. If you succeed they will come back.
- Be prepared to compromise.

- Know where you will not or can not compromise
- Know in advance what can give and what cannot – and what your funders will expect and what they are less concerned about.
- Sometimes it is good to be able to put something on the table.
- "We will do this if you can do that" - an offer does not have to be financial.

## **Conclusion**

To ensure you have the best chance of success you need a clear vision of what it is that you want to deliver, and how it fits with the funder's objectives. If you are part of a robust and committed partnership, with community support, and demonstrate a proven track record and experience you are on the first step to success.

If you can also be clear about your predicted outputs and their provenance and show how you will monitor and evaluate the project upon completion, you will give the funder further confidence.

Funders have to make tough choices and if they are to choose your project they need to be sure you will deliver and preferably on time and to budget. They need to know you understand the risks and have the ability to manage, and, if necessary, underwrite the outcomes.

Good luck.

## **Further Reading:**

A short paper was prepared for the British Waterways Advisory Forum in October 2005 to share some of the lessons learned up to that point. This can be downloaded from:

[http://www.britishwaterways.co.uk/images/BWAF\\_cotswolds\\_paper\\_october\\_2005.pdf](http://www.britishwaterways.co.uk/images/BWAF_cotswolds_paper_october_2005.pdf)

## Countryside Recreation Network Seminar

### 'THE CHANGING FUNDING ENVIRONMENT FOR OUTDOOR RECREATION'

#### FUNDING FOR OUTDOOR RECREATION IN THE FORESTRY COMMISSION, ENGLAND

Alison Field  
Development Officer  
Forestry Commission

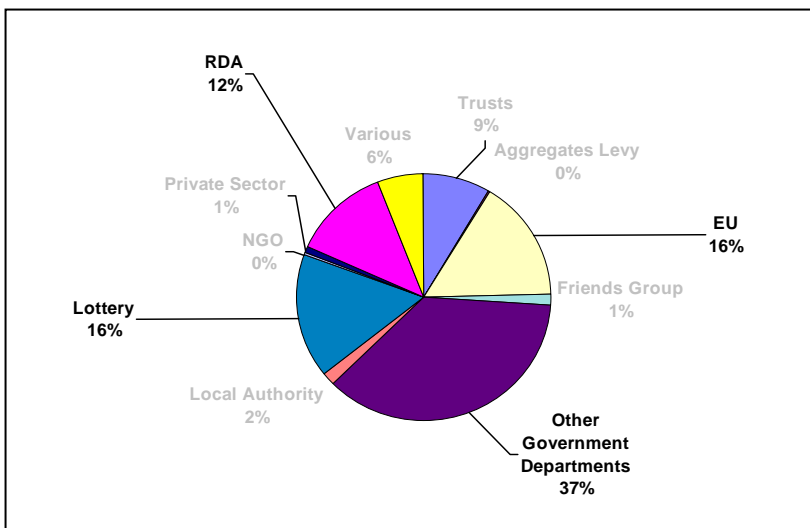
#### The Forestry Commission's Contribution to Countryside Recreation

The Forestry Commission manages 250,000 hectares of public forest estate. We annually receive an estimated 100 million recreational visits, making us perhaps the largest provider of outdoor recreation in the country. Capital infrastructure to support large numbers of visitors is concentrated round approx 20 activity hubs which each receive in excess of 200,000 visits per annum. Recent investments, largely with external funding, have enabled a range of new ventures and refurbishments, including the development of more than 2,500 km of managed cycle trails. Further investment has been secured by working with a commercial partner under the banner of Forest Holidays, to upgrade and develop the 3 self catering cabin sites and 20 touring caravan and camping sites. To enhance the visitor's experience of the countryside and foster greater awareness, enjoyment and understanding of the environment, the Forestry Commission hosts in excess of 1,000 events per annum. More recently the Forestry Commission has "broadened" its offer to the visitor by establishing 7 summer concert venues for pop and classical music.

#### The Funding Context

Managing visitors and their expectations has become a major part of Forestry Commission activity. Only 30% of the total annual spend from the organisation is derived from timber receipts. As much as 20% of the annual budget is generated by revenue from recreation activities and a further 20% of annual income is generated by the external funded support of projects. All these activities add value to the Forestry Commission's core "grant" from Government.

#### The Funding Mix and what it secures



Of the £10 - £15 million of external funding received by the Forestry Commission each year, roughly half is invested in recreation. The graph above summarises the funding mix for the approx £25 million of external funding secured for recreation type activities in the last 3 years. There is heavy reliance on statutory sector support, especially from the Department for Communities and Local Government where projects form part of green infrastructure developments in advance of new housing in the southern Growth areas. Further north, EU structural funds and RDA grants have been used to catalyse the rural tourist economy. This funding has been much welcomed, allowing new capital investment in visitor centres, cycle networks and other surrounding infrastructure.

Lottery funding, largely through Sport England and the Heritage Lottery Fund, has been used for a range of capital and revenue funded projects. Sport England funding was awarded under the Active England Programme which aims to increase levels of participation in sport. Heritage Lottery Funding has largely been won for restoration of natural heritage, but in nearly all cases there has been a strong programme for making heritage more intellectually and physically accessible to the wider community. The Lottery grants have generated a plethora of new partnerships with NGOs, the health sector and social service delivery organisations.

The desire to secure external funds has changed the way the Forestry Commission works, by encouraging a more active interaction with visitors, as well as attracting new audiences into the countryside.

Having established a strong portfolio of externally funded projects, the Forestry Commission is committed to sustaining this level of energy and partnership working if it is to successfully modernise and update access to the public's forest estate.

### **Trends in the external funding arena**

Experience so far suggests the following trends in external funding which are likely to challenge the Forestry Commission and other organisations involved in countryside recreation.

No longer are funders comfortable awarding large single investments without a significant level of justification that withstands public scrutiny. Funders have moved towards ever-smaller grants, which spread risk and reach as many beneficiaries as possible. As funders increasingly aspire to outcome based rather than output focussed performance, emphasis is being placed on revenue rather than capital funding to achieve quick wins and maximum added value. Funding for big capital programmes is limited to highly strategic projects, which deliver on a wide range of agendas.

In line with Government, the statutory funding sector has also adopted regionalisation, welcoming regional, sub regional and community based partnerships. This is a concept that fits well with destination management and landscape scale working. Furthermore for access networks - cycle networks, horse riding etc to become eligible for funding, applicants are encouraged to deliver across multiple agendas, - health, economic regeneration, habitat conservation and social inclusion, at the same time.

Particularly relevant to EU funded programmes and also for Lottery funded projects, is the desire for rigorous monitoring, evaluation and sharing of best practice. Whilst partnership development, networking and sharing best practice inevitably raises an organisation's profile it may divert resource away from the primary purposes of the project leading applicants to question whether their participation in the project has indeed given value for money.

## **What does it mean in practice?**

### **Case Study 1 – Dalby Visitor Destination, North York Moors**

A £4.3 million capital development of the outdoor recreation offer at Dalby Forest in the North York Moors won funding from Yorkshire Forward, who matched an ERDF Objective 2 award of £1.2 million as well as from Ryedale District Council, The North York Moors National Park and others. With the Forestry Commission making a significant investment of its own resource, the project has built a new state of the art visitor centre, 55km of cycle tracks in the forest and a courtyard to house new SME business ventures. Alongside recent investments in the nearby Keldy Cabin site (Forest Holidays), the Dalby project has updated and established the southern part of the North York Moors National Park as a key visitor destination for the region. The site opened in Spring of this year and has been inundated with visitors.

### **Case Study 2 – Bedgebury, Kent**

With greater emphasis on revenue funding, Bedgebury forest became part of Sport England's portfolio of projects in the south east under the Active England programme. The £2 million plus project was funded through the Sport England/community fund partnership and underpinned by internal Forestry Commission resource. Additional commitment from the charitable sector and Interreg, ensured the extensive development of 800 hectares of woodland for healthy outdoor activities to raise participation in physical exercise. Cycling, horse riding, orienteering and children's play trails all feature prominently. Being an outcome rather than output based project, its performance will be measured against the number of new entrants to physical activity from Sport England target groups to include the disabled, ethnic minorities, young women, etc. To reach less represented groups has meant establishing partnerships with more than 30 organisations representing the community, social services and special interest organisations. Community outreach and the development of a formal calendar of events and activities ensures that the partnerships generated to deliver this project establish a step change in the way the Forestry Commission engages with the public to deliver outdoor recreation.

### **Case Study 3 – Route to Health, Cannock Chase, West Midlands**

With the support of a £50,000 Arts Lottery grant a highly successful partnership has been established between the Forestry Commission, the Cannock Chase Primary Care Trust and Cannock Chase District Council. The Forestry Commission have focussed on the provision of a 1 mile easy outdoor trail where community artworks, based on a health theme, mark the route. The District Council and Primary Care Trust have developed outreach networks to reach key members of the community and inspire them to express healthy living messages through art. Over 1,000 people have participated in the project. They have come from mental health institutions, support for cardiac rehabilitation patients, sure start, young offenders organisations and many others. There has been a growth from 5,000 to 50,000 people a year using the trail through a project which links art, health and the environment. The project is resource rich but cash poor and demonstrates how far limited financial contributions from an external funder can catalyse enormous contributions from partner organisations and the wider community, when the core partnership shares a common vision and each holds a breadth of complementary skills and experience.

### **Case Study 4 - PROGRESS in the New Forest**

PROGRESS (Promotion and Guidance for Recreation on Ecologically Sensitive Sites) is an ambitious £2.6m Interreg IIIB project to reconcile the interaction of informal countryside recreation with wildlife conservation at the New Forest and Forêt de Fontainebleau in France. Both forests are part of the Natura 2000 network and each are concerned that due to high visitor numbers their wildlife



habitats have suffered from the effects of increased recreational pressure. PROGRESS seeks to reduce the impact by channelling people to more robust sites, raising visitor awareness of the importance of conservation and encouraging a more responsible use of the forest. The project has enabled the collection of extensive survey data about how people use the forests and has enabled the data to be modelled to determine what changes in infrastructure provision would generate maximum habitat gains. The project has also paid for web-based literature about the forests, codes of conduct leaflets, a range of guided recreation activities and a range of other initiatives with local authorities, schools and other stakeholders

## **Recommendations**

### **Projects**

Based on the collective experience of running a wide range of countryside recreation projects across England three fundamental factors emerge as being central to achieving successful long term project delivery. These are:

1. Build the project on firm economic business models
2. Start developing the project with a vision for the experience it will offer
3. Engage with communities at all stages in development and delivery

### **National/Joint actions**

2007 heralds a new era for external funding with both the lottery and EU launching a whole suite of new programmes, and with the RDA's becoming a distributor of EU rural funding for the first time (axis 1 and 3 of the Rural Development Programme for England).

Countryside recreation competes alongside environment, health, education and economic growth agendas for an ever-diminishing resource. We have learnt in the Forestry Commission that, given the opportunity, countryside recreation can do much to deliver against these competing agendas, providing high profile wins for both funders and their beneficiaries. The partnerships that these projects forge develop their own momentum and have the capacity to transform the role of countryside recreation to improve community health, rural regeneration, green infrastructure provision and general community well-being.

As many other funds are EU dependent, the period 2007 – 2013 is a key opportunity for statutory agencies in the sector to join together and act with wisdom and forethought to optimise the future profile of countryside recreation,. Specific recommendations include:

1. For statutory agencies and "public bodies" to sustain joint national effort to promote the benefits that countryside recreation offers to other Government agendas.
2. For similar partnerships to be transferred to the regional/sub regional and local level, particularly in the urban fringe, where such organisations often have adjacent landholdings and assets. In these situations there is much to be gained by projects that pool resources to develop a joint countryside recreation 'offer', that brings greater focus to 'destinations' (rural and peri-urban) and raises a critical mass of collective effort. The Community Forests could offer a good example here.
3. For the sector to build a joint monitoring and evaluation toolbox that would enable development of a shared evidence base to raise its profile.

## **Countryside Recreation Network Seminar**

'THE CHANGING FUNDING ENVIRONMENT FOR OUTDOOR RECREATION'

### **OVERVIEW OF ECONOMIC APPRAISALS**

Simon Schibli

Director

Sport Industry Research Centre  
Sheffield Hallam University

#### **Introduction**

In a context in which there is excess demand for project funding and a finite supply of such funding, the 'market' adjusts by pushing up the price. In practice the price is often the criteria by which applications are judged and often relates to concepts such as economic appraisal and cost benefit analysis. This combination of factors creates a situation whereby in order to convince funders of the merits of a particular scheme, favourable supporting economic data is required to support applications. Thus an agenda is introduced whereby those bidding for funds need to demonstrate the added value of their projects.

Assessing the economic benefits of investing in countryside recreation amenities and events is a relatively new discipline for managers and is typically sub-contracted to consultants with an 'expertise' in the subject. However, in order to be able to draw up a brief for consultants, to work with them as an equal partner, and to have confidence in the end results, requires a familiarity with the rationale for conducting such studies and the techniques used. The starting point must be a clear idea of why you are committing resources to an economic appraisal and how you plan to use the results. Economic appraisals sometimes suffer from a lack of credibility because of some of the following problems:

- inappropriate methodologies;
- over ambitious assumptions
- exaggerating the positives;
- ignoring the negatives;
- political interference; and,
- using the results for purposes for which they were not designed.

#### **What is 'Best Practice'?**

In the UK, where considerable amounts of public money are used to invest in facilities for sport and leisure, including countryside recreation, guidance has been provided by HM Treasury to government departments on how to appraise policies, programmes and projects on a before and after basis. This guidance is known as the 'Green Book - Appraisal and Evaluation in Central Government' (2003 edition). Use of the Green Book is mandatory for government departments and executive agencies. However, the principles used within the Green Book are widely regarded as best practice within public life and are also adopted by bodies which do not have a statutory

obligation to use them. The central tenet of the Green Book is to enable actions (normally investment decisions), to be justified using recognised best practice techniques.

Each government department is free to adapt the Green Book to its own particular needs so long as consistency is maintained. The Department of Culture, Media and Sport has produced its own guidelines entitled 'The White Book - DCMS guidance on Appraisal and Evaluation of Projects, Programmes and Policies' (December 2004). The key point of note from the White Book is the need to demonstrate the 'additionality' of projects. In this context 'additionality' is taken to mean the extent to which an outcome is genuinely caused by some action.

One feature that is consistent between both the 'Green Book' and the 'White Book' is the so called 'ROAMEF' model whereby all investment decisions should be subjected to consideration of the following:

- **Rationale;**
- **Objectives;**
- **Appraisal in detail;**
- **Monitoring;**
- **Evaluation; and**
- **Feedback.**

By adopting the principles of best practice, it then becomes possible to make an assessment of the cost of investment decisions and the full range of their benefits. This in turn enables funds to be allocated to projects on a rational basis whereby those projects which deliver the best value for money have higher priority in the pecking order for the limited supply of funds.

### **How can economics make the case for investment in countryside recreation?**

There is a logical commonsense sequence of events which illustrates how investing in countryside recreation projects can have positive economic benefits. This sequence is outlined below.

1. Investment in a countryside recreation resource can lead to an increase in economic activity by attracting visitor spending from outside the local area.
2. If this additional economic activity is sustained, then positive economic benefits can accrue.
3. The best measure of an increase in sustained economic activity is an increase in household income i.e. the amount of this economic activity that is retained within the local economy.
4. Increased household income can lead to enhanced employment opportunities if the enhanced local income is spent locally.
5. New jobs can materialise after 'slack' has been taken up such as when those in receipt of the increased economic activity can no longer cope with increased workloads and need to expand their businesses to cope with demand.

Economic benefits in terms of hard cash are not the only benefits of investing in countryside recreation. There is an increasing realisation that active recreation in the outdoors can contribute to:

- the physical and mental health of the nation;
- the increased productivity of the nation's workforce;
- sustainable transport initiatives; and
- increased community cohesion and social capital.

The key challenge is to use credible measurement techniques to capture the value of the full range of benefits attributable to an investment decision. This in turn will ensure that applications for funding are presented in the best possible light compared with 'rival' bids. It therefore follows that to capture the information required to make an application convincing, requires the development of an appropriate brief to provide the necessary evidence.

### **Developing the brief**

In essence, developing a brief requires an outline understanding of economic appraisals so that the required outputs can be operationalised. If the skills for such work do not exist in-house, external consultants should be able to lead and advise on the more technical aspects, the methodological implications and the strengths and weaknesses of the findings. However as a bare minimum the following points should help to clarify thinking:

- Be clear about what it is you want to measure;
- Be clear about why you want the data and how you will use it;
- Seek views (via consultancy tender documentation) concerning the optimum methods to collect the necessary data to meet the aim of the study bearing in mind the resources available;
- Don't allow yourself to be baffled by science - if you don't understand what consultants are doing or saying you can rest assured that other people who are dependent on the results will be in the same position.

Finally, always remember that the output of an economic appraisal is an estimate and that the whole process is as much art as it is science. Consultants don't have to live with the consequences of their estimates but you do! Keep it simple, know what you want and make sure that your consultant delivers.

### **Vetting consultants**

- What is their track record on similar projects? Are you seriously going to spend good money on novices who will need a massive learning curve?
- Who will be the named staff, what are their credentials and who will personally own the project for you?
- What is the required input from the client?
- Is there evidence of a clear fee structure, a time line, and an outline of who will do what, how long will it take and what it will cost?
- Does the consultant have the capacity to meet your deadline?
- What quality assurance does your proposed contractor offer?

- What is their history on cost over runs and unforeseen little extras?
- Why hire company X and not company Y? What makes your preferred supplier so special that you want to engage them rather than any other applicants?

Don't doubt your own commonsense judgement. If the claimed economic appraisal of an investment decision doesn't 'feel' right, then it probably isn't right

## **Countryside Recreation Network Seminar**

### **'THE CHANGING FUNDING ENVIRONMENT FOR OUTDOOR RECREATION'**

#### **STRATEGIC SOCIAL MARKETING**

Ewen MacGregor  
Social Marketing Consultant  
National Social Marketing Centre

#### **What is social marketing?**

Social marketing is a flexible and adaptable approach that offers real potential for enhancing and extending the impact of efforts to improve health and reduce health inequalities.

While it draws from approaches developed by commercial marketers it also draws from the experience of the not-for-profit or non-governmental sector who have for years used social marketing type approaches to support their humanitarian or social aims.

While the links with commercial marketing approaches therefore important, there are significant differences between social marketing and commercial marketing. Most important of these is that its primary focus is not on 'commercial gain' but rather on achieving a particular 'social good'.

Also, while the widely recognised 4 P's of commercial marketing (product, price, place & promotion) can be applied to social marketing they are generally more complex and less clear cut.

For example defining 'the product' in commercial marketing is relatively straight-forward while in social marketing it can be more intangible or broad. A concept such as 'health and well-being' can be understood and approached in a range of different ways. Understanding the key influences on '*health-related behaviour*' tends to be more complex than '*purchasing behaviour*' and requires a broader range of theories and ideas to inform the selection of appropriate intervention and marketing approaches.

#### **Definitions**

While definitions can vary, three key elements commonly appear:

- First that it is a systematic process phased to address short, medium and long-term issues.
- Secondly that it utilises a range of marketing techniques and approaches (a 'marketing mix').
- Finally its primary aim is to achieve a particular 'social good' (rather than commercial benefit) with specific behavioural goals clearly identified and targeted.

In the case of health-related social marketing the 'social good' can be articulated in terms of achieving **specific, achievable and measurable behavioural goals**, relevant to improving health and well-being.

**Social Marketing is:** "the systematic application of marketing concepts and techniques, to achieve specific behavioural goals, relevant to a social or public good"

**Health-related Social Marketing is:** "the systematic application of marketing concepts and techniques, to achieve specific behavioural goals, in relation to improving health and reducing health inequalities".

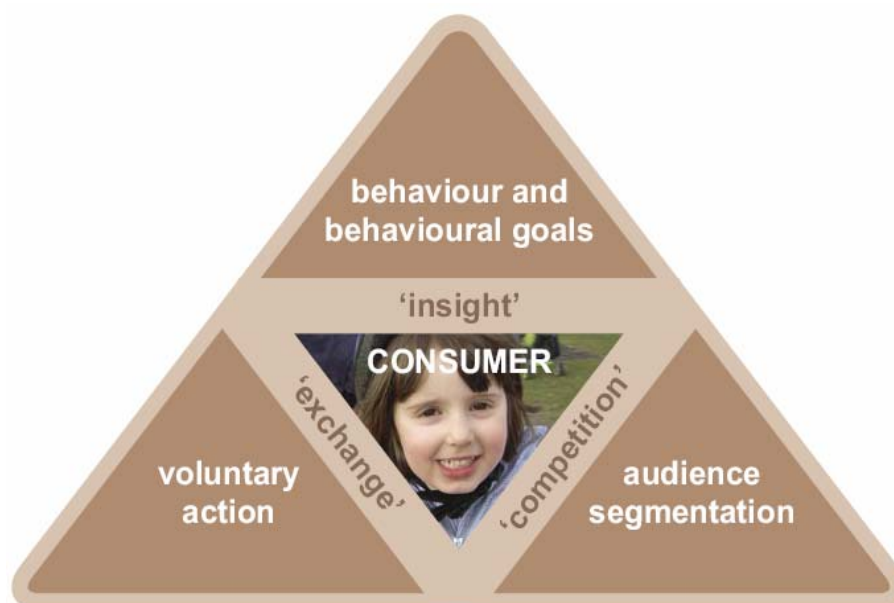
### Key concepts and features

Reviewing the different descriptions of social marketing we have identified 6 key concepts and features. These are:

- 1: Having a strong customer/consumer orientation or focus
- 2: Focus clearly on behaviour and establishing specific behavioural goals
- 3: Using and applying the 'exchange' concept
- 4: Well developed audience 'segmentation'
- 5: Based on encouraging and supporting 'voluntary actions'
- 6: Using and applying the 'competition' concept

We have incorporated these into a social marketing 'customer triangle'.

### *The 'customer triangle'*



## Recognising Social Marketing when you see it

### 'National benchmark Criteria'

#### What to look for:

#### 1: Clear focus on behaviour, with clear behavioural goals

- **Intervention clearly seeks to impact on behaviour** specific, achievable and measurable behavioural goals – **not just looking at 'behaviour change'** but also at **'behaviour reinforcement and maintenance'**
- **Work would be based on a sound understanding of the different influences on behaviour and draw from different behavioural models and theories.**
- **In particular it would move beyond a reliance on building 'cognitive understanding' (ie: providing information and building awareness) to recognise a fuller range of factors affecting individual and group behaviour.**
- **Targeting would not just be on the primary customer / audience(s) but also on key 'influencers'**

#### 2: Research Based Consumer/market research & pre-testing

- **Formative market research used to identify audience characteristics and needs.**
  - Range of different research and data sources used to inform development
  - **'Understanding the customer'** and appropriate market research would be a central feature driving work.
  - **Focus would go beyond standard epidemiological and demographic information, to incorporate an understanding the 'customers' awareness, knowledge, attitudes, beliefs and values.**
  - **Attention would focus on psycho-demographic information, on what the audience(s) value, and 'where they are at', in**

#### 3: Insight driven

- **Focus is clearly on gaining a deep understanding of what moves and motivates the consumer.**
- Approach based on identifying and developing **'actionable insights'** using considered judgement, rather than simply generating more data and intelligence.
- Pre-testing is integrated into development and used to test out with relevant audiences all **insight** and developing methods.



and professionals around them.

- **Behavioural goals would focus not just on 'health outcome goals' but also clear, achievable and measurable behavioural actions required on the way to achieving and sustaining them.**

- **eg: For smoking work a behavioural outcome might be cessation but the behavioural goals on the way to this might include: 'ringing a helpline', or 'booking and attending local services'.**

**terms of the 'desired' behaviour, and a sound understanding of the reasons and context for current behaviour patterns. Using a range of different research techniques and data synthesis methods.**

- **Consideration given to both individual and the wider social / cultural influences on people.**

## Recognising Social Marketing when you see it

### 'National benchmark Criteria

#### 'National benchmark Criteria

What to look for 8 criteria:

#### 4: Theory based and informed

- Actively assess and draw from theory across different disciplines and professions - ie. It does not seek to apply the same theory or set of theories to every context, but focuses on identifying those that offer the greatest potential for understanding the influences on behaviour.
- Theory directly used to inform selection and development of an appropriate intervention options.

#### 5: Audience 'segmentation' and targeting

- **Initiatives would clearly segment the overall audience into a number of key target audiences.**
- **Segmentation would move beyond the traditional focus on demographic or epidemiological factors such as: age, sex, class, culture, education, and disease patterns. Focus on what motivates the audience using psychographic data.**
- **Interventions tailored directly to specific audience segments. Segmentation would primarily focus on behavioural factors.**
- **Future life-style trends addressed.**
- **Would in**

#### 6: Intervention and Marketing mix

- Range of methods used to establish an appropriate mix of marketing methods. Moves beyond simple demographic or epidemiological targeting.
- Avoids reliance on single methods or approaches used in isolation. Interventions directly tailored to particular audience segments.
- Different segmentation options and variables are actively considered when identifying the appropriate target audience. Particular focus on understanding what people think and feel about issues using

**particular look at understanding 'where the audience(s) is at' in relation to adoption and maintenance of the desired behaviour and behavioural goals. e.g.: are they: strongly resisting; resisting; willing but feeling unable; contemplating change; uncertain of the benefits; or unaware; etc.**

- Segmentation would primarily focus on behavioural factors

psycho-graphic data.

- Methods or approaches developed taking full account of any other interventions in order to achieve synergy and enhance overall impact.

- **Initiatives would be based on a clear understanding that target audiences need:**

*"to give something, in order to get something"*

- This would be demonstrated in an understanding of what a person has 'to give' in order to get any offered benefit, i.e.: understanding: 'the real cost to the customer'.

- Such 'costs' would include considering things like the:
  - time and effort involved;
  - social consequences;
  - implications of deferring gratification

- **Initiatives would recognise the issue of 'competing interests and factors' and would specifically look at ways to neutralise or minimise their impact on target audiences.**

- **The work would aim to address both external and internal factors:**

- External factors could include:
  - 'Anti-health forces' those actively reinforcing or promoting negative health behaviours.
  - 'Pro-health forces' those 'competing for the attention' of the same audience, and where issues of 'message

(postponing potential enjoyment and pleasure); as well as

- potential monetary costs.

- Understanding would therefore focus on:

- Enhancing the incentives or benefits of the desired behaviour.

- Removing or minimising any barriers in the way of this.

While at the same time:

- Increasing barriers around the negative behaviour – making it harder or less rewarding / attractive.

- An example of this would be banning smoking in public places legislation introduced in 2007.

**overload' may need to be**

- 'Distractions of daily life' that may be competing for the audiences attention, at any given time.

- Internal factors could include:

- The role of enjoyment, pleasure, desire and risk taking or 'thrill seeking'. Denial, uncertainty, guilt, self-esteem.

## **Lessons learnt**

During the process of developing the review of social marketing and encouraging the adoption of social marketing in England, a number of lessons have been learned. While being fairly common to most, management of change programmes may have wider relevance for social marketer's wishing to influence the adoption of social marketing by governments, government departments, institutions or organisations. Six key lessons were learnt that reflect many social marketing principles:

1. Understand your customers
2. Be clear about what you are trying to do
3. Build a compelling story and promote it
4. Understand what matters
5. Build a network of champions
6. Think strategic and operational

## **1. Understand your customers**

It is vital to be aware that most policy makers ask themselves three questions about any new set of policy or strategy recommendations:

- Will it help me?
- Will it make things worse or better?
- Is the pain worth the gain?

A number of people interviewed as part of the review described the formulation of positive answers to these three questions as the 'golden rule' of influencing policy makers. An additional lesson was the need to invest time in both understanding the needs of policy makers and politicians, and the framing of recommendations as solutions to current policy dilemmas. The review also demonstrated the need to build relationships and trust with senior officials. Investment in building personal relationships and ongoing briefing and discussion (of emerging findings and recommendations) helped to create an environment into which challenging findings and recommendations could be placed, without triggering a defensive reaction that may have led to rejection. Creating an environment of trust and no surprises was a critical to this process.

## **2. Be clear about what you are trying to do**

It proved invaluable to have established clear terms of reference and governance arrangements as the first task of the review. This foundation enabled ready access to senior officials and endorsement of proposed review methodology. Clear aims and objectives, time scales, milestones and clear reporting arrangements helped the project stay on track and resolved a number of issues that arose during the review.

## **3. Build a compelling story and promote it**

In an environment where social marketing was not well understood it was important to set out simply and consistently a story about what social marketing is and the impact it could have. One of the early tasks was to develop a number of social marketing models drawn from the international literature, learning materials and case studies to communicate the nature of social marketing.

A customer triangle model, fig 2, and a total process planning tool were developed along with social marketing benchmark criteria, a management checklist, and a number of other social marketing tools.

This material was used to increase the DH's understanding of social marketing and to communicate the nature of social marketing to all of those people engaged in the review process. These materials have been used consistently and have been snapped up by practitioners hungry for information about social marketing. 5000 copies of a 'pocket guide to social marketing' were distributed as part of this process. Used systematically, these tools will help you promote and measure your program or initiative.

## **4. Understand what matters**

Understanding what matters, is about being clear about three things. First that it is the job of politicians to set the policy direction, it is only they that have the democratic mandate to do this. Second, the job of professionals is to inform policy development

and ensure that it considers what is known about what works, and what is deliverable. It became clear that the most effective way to influence future policy as well as current and future strategy was to ensure that recommendations about social marketing provided solutions to policy challenges.

### **5. Build a network of champions**

One of the key reasons why the review recommendations were accepted was because a number of senior DH staff acted as internal champions for the review and its recommendations. Internal champions including a team of DH civil servants helped steer the review and engage other internal and external stakeholders. The development of a network of external champions was also key. These champions were developed by engaging with local public health teams, other public sector staff, the NGO sector and private sector. Practical examples of the application of social marketing were used to inform the review and illustrate how social marketing can be used at different levels to improve the impact of interventions. These external champions also performed the role of lobbying for more support and an increased emphasis of social marketing. Clearly many funding programs e.g. Big Lottery and schemes are encouraging joint partnership approaches to funding and this trend is likely to continue.

### **6. Think strategic and operational**

It became evident to the review team that a central challenge for social marketing is to be more than just a reactive discipline focused on the marketing mix. There is a need to move to a position that also influences policy and shapes the whole strategic implementation mix. It would have been easy to just make recommendations about how to develop better health campaigns using social marketing, but this would not have influenced the long term policy and strategy for improving health. If social marketers wish to create social institutions that put the customer first, then there is a need for social marketers to further develop their role in policy influencing and development. There is a need to earn a seat at the policy table by demonstrating that social marketing principles and concepts can be used to improve the policy development process and strategy formulation as well as develop effective interventions.

Social marketing needs to be viewed in the same way that marketing is viewed in many successful for profit and not for profit organisations, as the driver of the business and not a second order technical adjunct to the important business of policy and strategy development.

### **Conclusions**

We are fortunate that social marketing reflects the ideological policy stance of most democratic societies. It is a coherent philosophy of practice and a transparent and systematic approach. Therefore social marketing should be pushing against an open policy influencing door. Policy makers and politicians face what they see as intractable social issues many of which relate to behaviour. Social marketing has many of the answers to tackling these issues and a set of concepts and principles that can help define and develop effective policies, strategies and direct interventions.

**References:**

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2. HM Treasury (2002) 'Securing Our Future Health: Taking a Long-Term View' Final Report. D. Wanless. London.
3. 'It's our health' (2006) Independent Review and Recommendations for the first National Social Marketing Strategy for Health in England. National Consumer Council. London

Further details and related papers are available via the NSMC website:  
[www.nsms.org.uk](http://www.nsms.org.uk)

## **Countryside Recreation Network Seminar**

### **'THE CHANGING FUNDING ENVIRONMENT FOR OUTDOOR RECREATION'**

#### **MONITORING AND EVALUATION**

Dr Andy Cope  
Director  
Research and Monitoring Unit  
Sustrans

Evaluation is usually addressed once countryside recreation projects are completed. This presentation argues that successful evaluation is best achieved by laying down suitable baseline data at the appraisal or pre-implementation stage, and with ongoing monitoring throughout the programme. The presentation is illustrated with examples of Sustrans' (and partners) experiences of successful and less successful examples of data collection. Tools available for data collection and mechanisms for putting the data to best use are explored. In particular, the linkages between visitor monitoring and economic evaluation are considered.

Sustrans' experiences of monitoring and evaluation have been gathered over a number of years on a range of projects/funders, each with differing requirements. Sustrans' interest in evaluation is multi-faceted, covering all aspects of retrospective justification and prospective advocacy, including strategy, policy, communication, media work, support and influence. The context of a changing funding environment that we recognise is that of:

- Greater degree of accountability
- Greater emphasis on justification and advocacy
- Greater reliance on evidence of effectiveness prior to award
- Greater reliance by funders on evidence of public support
- Greater media interest in a range of interventions
- Partnerships still favoured, but a wider pool can be beneficial

A case in point with reference to the changes is how Lottery sourced funding stipulations have varied. With the 1995 Millennium Commission grant for the development of the National Cycle Network monitoring and evaluation requirements were cited, but loosely. In 2001, a New Opportunities Fund award had more clearly defined M&E requirements, and a general reporting requirement. With current bids to BIG, monitoring and evaluation is a point for detailed discussion in bid auditing, and robust stipulations are expected to be attached to any award.



First illustrative example: The monitoring of cycle tourism has been ongoing for approximately a decade. Initially, the sophistication of the original tool was not commensurate to the degree of investment, but the initial project proved to be a good basis for the development of a more sophisticated approach. At every stage we had just enough data to support the next funding bid, and when funding increased, the scope of the research increased, rather than the status quo being maintained. In particular, Sustrans' know-how plus academic expertise (allowable by direct allocation of a slice of project funds to research) made a good combination. We are now in the position of having some extremely strong material to present to the funder (RDA) with which to garner support for further associated work programmes.

Second illustrative example: At the foundation of the NCN Sustrans supposed that national statistics could be relied upon to provide evidence of effectiveness. However, it soon became clear that the data did not meet ours/funders needs. We now have a wide-ranging programme of monitoring, using a good survey tool which can perform multiple functions, which ensures continuity in reporting, and which effectively exploits the data generated (but hopefully uses it wisely!). In particular new opportunities have emerged based on the data we have collected, in particular through associated research projects.

In conclusion, we consider that justification of works at hand can also be used as advocacy for future planning. In particular, bids with supporting evidence tend to be better received. Evaluation must be adequately funded, and any output must be apt to the intended audience. In future we expect that more robust evidence may be required, for example, BIG has established a very sizeable research fund; DfT, defra, DH, DCLG are very keen on economic appraisal; and Natural England have a working group on physical activity scheme evaluation.

**APPENDIX A**

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**"The Changing Funding Environment for Outdoor Recreation" Seminar  
Wednesday 23rd May 2007**

**PROGRAMME**

**9.30**      **Registration and refreshments**

**10.00**      **Introduction & Welcome from Chair**  
*Glenn Millar, British Waterways*

**How funding is changing – The funder's perspective**

**10.05**      **New EU programmes**  
*Adrian Healy, ECOTEC*

**10.30**      **The Heritage Lottery Fund**  
*Sarah Wicks and Stuart McLeod, Heritage Lottery Fund*

**10.55**      *Refreshments*

**11.20**      **The Big Lottery Fund**  
*Ella Mizon, Big Lottery Fund*

**11.45**      **Panel Q & A Session**

**Practical experiences of organisations securing external funding**

**12.05**      **British Waterways Project**  
*Andrew Stumpf, British Waterways*

**12.25**      **New Forest Project**  
*Alison Field, Forestry Commission*

**12.45**      **Panel Q&A session**

**13.00**      *Lunch*

**Appraisal & Evaluation**

**13.50**      **Overview of Appraisals**  
*Simon Shibli, Sports Industry Research Centre, Sheffield Hallam University*

**14.15**      **Strategic Social Marketing**  
*Ewan MacGregor*

**14.40**      *Refreshments*

**15.05**      **Monitoring & Evaluation**  
*Dr Andy Cope, Sustrans*

**15.30**      **Panel Q&A session**

**15.55**      **Summary**

**16.00**      **Close**

**APPENDIX B**

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## **BIOGRAPHIES OF SPEAKERS**

**The Changing Funding Environment for Outdoor Recreation  
Southampton Solent University  
Wednesday 23rd May 2007**

### **CHAIR**

**Glenn Millar  
Economic Development Manager  
British Waterways**

Glenn Millar is Economic Development Manager in the British Waterways Economic Research Unit.

Glenn has been with British Waterways since 1978, initially working in transport and then recreation & tourism research. Glenn now heads up a small unit responsible for assessing the economic and social impacts of waterway projects, securing external funding to support these, and developing and managing projects under various EU trans-national programmes.

From 1994 to 1998, Glenn was Vice-Chairman of the Countryside Recreation Network. He is currently a member of the PIANC (Permanent Association of International Navigation Congresses) Working Group concerned with Economic Studies on Inland Waterways and is one of British Waterways' representatives on Voies Navigables d'Europe (VNE), a consortium of European inland waterway authorities with interest in the development of canals and rivers for tourism and heritage.

Glenn holds a B.Sc.Hons. in Geography, an M.Sc. in Town & Country Planning, a Diploma in Management Studies and a Diploma in Marketing.

## **SPEAKERS**

**Adrian Healy**  
**Director**  
**ECOTEC**

Adrian Healy is a Director of ECOTEC Research and Consulting Ltd. He has extensive experience with European Funding programmes, particularly the Structural Funds. He has undertaken work at the national, regional and local level across the UK and, at the European level, for DG's Regio; Research; Enterprise, Budget; INFSO, and Education and Culture amongst others. Adrian is commonly invited to act as Rapporteur to European expert groups and has previously acted as an advisor to the UK's House of Commons Select Committee inquiry into overcoming regional disparities in the UK. He is currently undertaking doctoral research at the University of Cardiff examining the role EU R&D policies play in regional economic development in the UK.

**Sarah Wicks**  
**Development Manager**  
**Heritage Lottery Fund**

Sarah has worked for several years in both the voluntary sector and for grant giving organisations. This has included a number of community arts based organisations, the lottery projects department at the Arts Council, a Groundwork Trust and the London Borough Grants Unit. Sarah joined the Heritage Lottery Fund in June 2006 as the Development Manager for the South East England region.

**Stuart McLeod**  
**Development Manager**  
**Heritage Lottery Fund**

Stuart joined the Heritage Lottery Fund in February 2007 as Development Manager for the London region. Prior to this he has worked in the fields of environmental education, community recycling, and social inclusion with regard to access to the countryside/greenspace, most recently managing the HLF-funded Mosaic Partnership working to engage BME communities with National Parks in England and Wales.



**Ella Mizon  
Policy Advisor  
Big Lottery Fund**

Ella Mizon is a Policy Adviser at the Big Lottery Fund working specifically on BIG's new environment led programmes, Changing Spaces and Parks for People. She also contributes to a range of other areas including sustainable development. Ella previously worked for the Community Fund as a policy assistant and before that for a national children's charity.

**Andrew Stumpf  
Regeneration Manager (South)  
British Waterways**

Andrew Stumpf has over 30 years waterway experience in a variety of roles. Latterly he has held operational roles working for British Waterways in England and Scotland. In England he managed commercial waterways and drove their transition to mixed use combining leisure and, at that time occasional freight traffic. From there he moved to the midlands where third party funding became a vital component in making the waterways accessible to and enjoyable for the local community. Conservation needs and community passion provided a good grounding for his move to Scotland where he was to manage the operational waterways but soon became part of the Millennium Link delivery team. His responsibilities included ensuring the opening of the Forth and Clyde and Union Canals went smoothly and the operational teams were ready for the new "customer experience".

In 2002 Andrew moved back south to head up the restoration of the Cotswold Canals and the development of the Bedford and Milton Keynes Waterway, later adding the Droitwich Canals to his portfolio. Significant third party funding packages are now in place for both the Cotswolds and the Droitwich Canals. The Bedford and Milton Keynes Waterway is now included in Milton Keynes' Local Plan and received Big Lottery development funding.

**Alison Field  
Development Officer  
Forestry Commission**

Since 2005 Alison has been heading up a small team to raise external funding for Forestry Commission projects, largely on the public forest estate but now extending across other parts of the forestry sector. From 2003-5 she helped develop projects for Forest Enterprise England, and from 1993 – 2003 she worked in the New Forest, initially as Operations Manager and subsequently developing a LIFE 2 project (and running), a LIFE 3 project and an Interreg project. She has a broad range of statutory

fundraising experience including EU programmes (LIFE, Interreg,), Lottery programmes (HLF, Sport England, BIG), other Departmental funding (ODPM), and RDA funding (SEEDA, SWERDA).

Alison has a degree in forestry and spent some 15 years working in the private sector as both a manager and consultant/advisor, before joining the Forestry Commission in 1993.

**Simon Schibli**  
**Director**  
**Sport Industry Research Centre,**  
**Sheffield Hallam University**

Simon is a qualified management accountant who specialises in the economic and financial analysis of the leisure industry. He has a particular interest in countryside recreation and has conducted research in this area for national agencies and local authorities. Within countryside recreation Simon's specialisms are: applied economics, notably demand; economic impact analysis; and issues relating to Public Rights of Way.

**Ewen MacGregor**  
**Social Marketing Consultant**  
**National Social Marketing Centre**

Ewen MacGregor now works as a social marketing consultant and has assisted several Government Departments with the development of social marketing strategies including Defra and the Department for Health.

Ewen has a strong background working with Government and non-profit Recreation and Sport programs, having lived and worked in Australia for 18 years. Where he played a key role in developing the Lottery funded Trailswest program and the now internationally famous TravelSmart 'social marketing program'. He was also an outdoor recreation consultant with the Government of Western Australia.

Recently Ewen worked for the Countryside Agency (now Natural England) in the recreation branch, helping develop the new Outdoor Recreation strategy.

He is currently working as a consultant for the Department for Health Social Marketing Unit, directing a project to produce a new segmentation of the population for health improvement social marketing strategies. He also conducts social marketing training programs for a number of government and non-profit clients.

In his spare time Ewen enjoys walking, is a passionate mountain biker and learning to cross country ski.

**Dr Andy Cope  
Director  
Research and Monitoring Unit,  
Sustrans**

Andy Cope is Director of Research and Monitoring operations for Sustrans - the UK's leading sustainable transport organisation. Sustrans is the body responsible for the National Cycle Network, Safe Routes to Schools, Active Travel, and Travel Smart individualised marketing. Sustrans also runs projects on Liveable Neighbourhoods, Low Carbon Travel, Links to Schools, the Bike It school cycling programme, International Liaison (sharing of expertise), and Art in the Travelling Landscape. Andy holds a PhD in the application of visitor monitoring information in management and planning. Having established Sustrans' route user survey programme and cycle count data collation programme to deliver appropriate usage monitoring data for the NCN, Andy has overseen the widening of the portfolio of monitoring and research activity to cover most of Sustrans' projects. Sustrans Research and Monitoring Unit currently consists of a team which includes survey design and implementation specialists, mathematicians and statisticians, database operators, research collation/ landscaping specialists, and carries the capacity for research engagements and collaborations.

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**APPENDIX C**

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**APPENDIX D**