## DPS FRAMEWORK SCHEDULE 4: LETTER OF APPOINTMENT AND CONTRACT TERMS

### Part 1: Letter of Appointment

Dear Sirs

**Letter of Appointment**

This letter of Appointment dated Thursday 10th December 2020, is issued in accordance with the provisions of the DPS Agreement (RM6018) between CCS and the Supplier.

Capitalised terms and expressions used in this letter have the same meanings as in the Contract Terms unless the context otherwise requires.

| | |
|---|---|
| Order Number: | CR20118 |
| From: | The Department for Business, Energy and Industrial Strategy (BEIS), 1 Victoria Street, London, SW1H 0ET ("Customer") |
| To: | Centre for Sustainable Energy, St James Court, St James Parade, Bristol, BS1 3LH ("Supplier") |

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| Effective Date: | Thursday 10th December 2020 |
| Expiry Date: | Friday 30th July 2021 |

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| Services required: | Set out in Section 2, Part B (Specification) of the DPS Agreement and refined by:<br>· the Customer's Project Specification attached at Annex A and the Supplier's Proposal attached at Annex B; and |

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|---|---|
| Key Individuals: | [redacted] |

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| Contract Charges (including any applicable discount(s), but excluding VAT): | £49,850.00 excluding VAT in alignment with AW5.2 price schedule Contract. The payment schedule can be found in Contract Terms Schedule 6 Annex 2<br><br>Payment Milestones: |

| | |
|---|---|
| | [redacted] |
| Insurance Requirements | Public liability insurance to cover all risks in the performance of the Contract, with a minimum limit of £5 million for each individual claim<br>employers' liability insurance with a minimum limit of £5 million indemnity<br>professional indemnity insurance adequate to cover all risks in the performance of the Contract with a minimum limit of indemnity of £2 million for each individual claim.<br>Product liability insurance cover all risks in the provision of Deliverables under the Contract, with a minimum limit of £5 million for each individual claim |
| Liability Requirements | **Suppliers limitation of Liability (Clause 18.2 of the Contract Terms);** |
| Customer billing address for invoicing: | All invoices should be sent to should be sent to finance@services.uksbs.co.uk or Billingham (UKSBS, Queensway House, West Precinct, Billingham, TS23 2NF). |

| | |
|---|---|
| GDPR | As per Contract Terms Schedule 7 (Processing, Personal Data and Data Subjects |

**FORMATION OF CONTRACT**

**BY SIGNING AND RETURNING THIS LETTER OF APPOINTMENT (which may be done by electronic means) the Supplier agrees to enter a Contract with the Customer to provide the Services in accordance with the terms of this letter and the Contract Terms.**

**The Parties hereby acknowledge and agree that they have read this letter and the Contract Terms.**

**The Parties hereby acknowledge and agree that this Contract shall be formed when the Customer acknowledges (which may be done by electronic means) the receipt of the signed copy of this letter from the Supplier within two (2) Working Days from such receipt**

| For and on behalf of the Supplier: | For and on behalf of the Customer: |
| --- | --- |
| [redacted] | |
| Date: 15 December 2020 | Date: 16/12/2020 |

## ANNEX A

# Customer Project Specification

## Background

### Introduction

This contract is for the delivery of 1) an updated best practice guidance document for community engagement and benefits for onshore wind developments in England, and 2) the delivery of qualitative research to underpin the updated guidance.

We currently have 14GW of onshore wind installed in the UK. Onshore wind is an important part of the energy mix. It is one of the lowest cost renewable technologies and as such is expected to play an important role in supporting the government's objective of decarbonising at lowest cost to meet government's net zero target as part of a diverse energy mix.

Achieving our net zero carbon ambitions will require proactive and increased engagement with local communities to ensure that the impacts and benefits of deployed onshore wind are proportionate, measured and reflective of the local environmental and economic context.

The existing best practice guidance was last updated in 2014 and predates the introduction in 2015 of two new rigorous planning tests aimed at giving communities the final say in onshore wind developments in their area. Updated guidance is needed to reflect the changing context around onshore wind and to facilitate accelerated deployment.

The project therefore seeks to deliver against the following aims:

- Produce an updated guidance document for onshore wind community engagement and benefits
- Deliver qualitative evidence to support the development of the updated guidance, and inform future onshore wind policy development

The project consists of two key tasks:

Task 1: Qualitative research with onshore wind developers, community groups and local authorities

The successful bidder will deliver in-depth interviews with onshore wind developers and industry representatives, community groups and local authorities and devolved administrations to increase understanding of what works, what doesn't work, and what can be improved or clarified in relation to community engagement and benefits.

Task 2: Produce an updated best practice guidance document for onshore wind community engagement and benefits

The findings from the qualitative research should then feed into the development of a single updated best practice guidance document.

Policy Context to the Requirement

The Government response to the Onshore Wind Call for Evidence in 2013 committed to support communities by producing guidance on how best to engage with onshore wind developers, and what to consider when thinking about community benefits.*

In 2014, the then Department of Energy and Climate Change (DECC) produced a set of best practice documents, published on gov.uk. This publication, a partnership between industry, community organisations and government, set out clear principles and considerations for ensuring productive engagement between developers and local communities.

Since these documents were published, the context around onshore wind has changed:

- In 2015 the Conservative Party Manifesto commitment to enable local communities to have the final say on new onshore wind developments was enacted in English planning guidance through two rigorous tests, which state that an onshore wind development cannot be granted planning permission unless:
  - "It is an area identified as suitable for wind energy development in the development plan; and
  - Following consultation, it can be demonstrated that the planning impacts identified by the affected local community have been fully addressed and the proposal has their backing."

  Since these new tests came into force, only five applications for new onshore wind sites in England have been approved. As planning is devolved, these tests are not in place in the Wales and Scotland. More information on the planning policies operating in Devolved Administrations is provided below.

- On 27 June 2019, a new, legally binding target to reach net zero greenhouse gas emissions by 2050 came into law in the UK.

- Since 2015, public support for onshore wind has increased by 12 percentage points to 77%, according to the BEIS public attitudes tracker. Notably, opposition to onshore wind has also fallen in this period.

- Onshore wind technology has evolved, leading to changes in typical wind farm site and infrastructure.

- The economics of onshore wind has changed. The cost of onshore wind has fallen dramatically, whilst the government support schemes that were available in 2014 have closed or have changed.

In March 2020 we announced that in line with our ambitions for achieving net zero at the lowest cost and as part of a diverse energy mix, onshore wind would be allowed to compete in the next Contracts for Difference (CfD) Allocation Round (AR4), scheduled for 2021, alongside other so-called 'mature technologies' such as solar. The CfD scheme is the Government's main mechanism for incentivising large-scale renewable energy developments. CfDs provide income stabilisation by guaranteeing new projects a flat rate price for the electricity that they sell onto the market over the course of the contract (15 years), This makes projects that have high up-front costs but long lifetimes and low running costs attractive to investors.

Delivering net zero will require a fundamental change in how we produce and consume energy. Achieving this ambitious goal will require proactive and increased engagement with local communities across the UK to ensure that the local impacts and benefits of energy developments are proportionate, measured and reflective of the local environmental and economic context. As such it is timely to engage with and support local communities by updating existing guidance on onshore wind.

Updated guidance should reflect the range of approaches that developers and communities are taking to engage with each other, and the range of benefits that are now available to communities who host onshore wind developments in all parts of Great Britain. Scotland and Wales have a greater amount of onshore wind developments coming through their planning systems. Scotland and Wales also have different policies in relation to community engagement and benefits. As a result, many of the best practice case studies - those that illustrate innovative and collaborative approaches to onshore wind development - are likely to be located there.

The qualitative research that underpins updated guidance will also be of value to the Department in providing a view on the community developer dynamic, and potentially informing future onshore wind policy as we continue to encourage zero carbon energy throughout the 2020s.

*It is common for renewable energy projects to make financial, or in kind, payments to local communities. These arrangements are variously described as 'community benefits'. Government has no formal role in deciding community benefits, and these are a matter to be decided between the community and the developer.

**Aims and Objectives of the Project**

**The Requirement**

An update to the existing community benefits and engagement guidance for onshore wind developments in England is required in order to improve how communities and developers interact on onshore wind, given the change in context since the last guidance was published.

The supporting qualitative research is needed both to support the production of the updated guidance, ensuring that this is based on a robust evidence base, and to increase our understanding of the community-developer dynamic and inform future onshore wind policymaking.

Aim 1 - Produce an updated guidance document for onshore wind community engagement and benefits

The updated guidance will be a single document published on gov.uk and no more than 30 pages long. It will be accessible to local communities and use case studies and real-life examples to bring to life the principles of engagement and the range of benefits that are available to communities that host onshore wind energy developments.

Aim 2 – Deliver qualitative evidence to support the development of the updated guidance, and inform future onshore wind policy development

The qualitative research aims to contribute to the evidence base for the updated guidance, seeking to understand current best practice with regard to onshore wind community engagement and benefits, as well as what has been less successful. The evidence produced as part of this project will also inform future onshore wind policymaking.

Specific research questions

To address the project's aims, BEIS has developed the following research questions. The research should primarily aim to deliver a robust evidence-base to underpin the updated guidance.

- What constitutes a 'local community' in relation to onshore wind developments and how should this community be identified?

- What examples of best practice are there when it comes to engaging with a local community in the early stages of an onshore wind development? What are the main challenges and how should these be overcome?

- How did engagement ensure that a multitude of views were taking into account and reflected? What were the challenges in reaching hard to find groups and how were these overcome?

- What is important to a local community when an onshore wind farm is proposed in their area? What is the best way of identifying the needs and any concerns of a local community in this respect?

- How have local communities helped to shape onshore wind developments through engagement?

- What should local communities and developers consider when drawing up community benefits packages? Are there any types of community benefit that local communities and developers have found are most appropriate in the context of onshore wind developments? What are the main challenges and how should these be overcome?

- What is best practice for maintaining good relationships between the developer and the community across the lifetime of the site? What are the main challenges and how should these be overcome?

- What case studies are there that demonstrate good community engagement, and successful or innovative approaches to community benefits packages? What lessons can we learn from previous onshore wind projects?

**Suggested Methodology**

| | |
|---|---|
| **Total number of Interviews (qualitative)** | **30** |

Updating Community Engagement and Benefits Guidance for Onshore Wind in England

The successful bidder will be expected to update the existing best practice guidance relating to onshore wind in England. The bidder will be expected to:

- Streamline the current suite of documents into a single best practice guidance document.

- Factor in qualitative research in a robust manner such that guidance reflects the needs of key stakeholders.

- Use case studies and real-life examples to evidence the principles of engagement and the range of benefits that are available to local communities who host wind energy developments.

- Orientate the updated guidance around the needs of the community and reflect that there is no one-size-fits-all approach.

- Simplify the guidance so that it is more accessible for communities.

Qualitative interviews with onshore wind developers, local authorities and community groups

To address the research questions set out above, the successful bidder will be expected to conduct 30 in-depth interviews by phone or videoconference lasting between 60 and 90 minutes, 10 with each of the following groups:

- onshore wind developers and trade associations/trade bodies

- community groups and community representative groups

- local authorities and devolved administrations

The interviews should primarily focus on what works, what doesn't work, and what can be improved or clarified in relation to onshore wind community engagement and benefits. Interviews may include multiple representatives from an organisation, if appropriate, depending on how the organisation wishes to impart the necessary perspectives.

Sampling

Given that we are seeking to identify examples of best practice, we suggest a purposive sampling approach based on sites where community engagement has been successful and onshore wind deployed, although bidders should include sampling plans in their proposed methodology. BEIS will be able to provide some suitable contacts based on recent consultation and engagement with industry, but bids should also propose strategies to identify suitable participants beyond this list to mitigate against possible bias.

Beyond the three participant groups detailed above, additional sampling requirements include:

- Cases where community engagement has proven more challenging, or where onshore wind proposals have failed, as some important principles of engagement may only be evident in these instances.

- Cases in Scotland and Wales – as the majority of onshore wind capacity exists in the devolved administrations, BEIS anticipates that best practice examples will often be in these areas.

- A focus (as far as is reasonable given the small population) on onshore wind developments implemented after 2015 in England, given the changes to planning requirements after this date (detailed above).

Although bidders should set out their own proposed methodology and supporting sampling strategy, BEIS has planned and costed this research on the basis of 30 interviews lasting

between 60 and 90 minutes across the three participant groups, and would expect to see variation in line with the requirements detailed above. We would welcome any additional suggestions as to possible sample stratifications.

Analysis

Bids should set out suitable proposals for analysing and presenting the qualitative data – such as detailing how the main themes will be identified and developed, whether analysis will be undertaken within and/or across cases, and how the analysis will be managed across groups and individual cases.

Bids should also specify how findings from the qualitative research will feed into the development of the updated guidance.

**Deliverables**

Expected Outputs

Bidders should note that BEIS will own the intellectual property rights of any and all intermediate products, including final deliverables, and in particular including presentation slide packs, reports and data.

The following outputs are required within the project, irrespective of whether the proposed methodologies are used or whether alternatives are proposed. Alternative reporting approaches or timing may be proposed so long as they meet the needs set out below and the reasons are fully explained.

The outputs of this project are expected to include, by June 2021:

Final guidance

The updated guidance should constitute a single document suitable for publication on gov.uk of no more than 30 pages long, formatted according to BEIS publication guidance. It should be accessible to local communities and use case studies and real-life examples to bring to life the principles of engagement and the range of benefits that are available to communities that host onshore wind energy developments.

Final research report

This should detail findings from the qualitative analysis and be written to a sufficiently high standard for publication, formatted according to BEIS publication guidance. Our experience shows that this may require 3-4 drafts and this should be taken into account when considering timelines and costs. It should also include suitable technical annexes as appropriate and these should provide sufficient detail such that the methodology is replicable. The research report will also be published on gov.uk.

Final presentation to BEIS

The team should provide a presentation (likely to be delivered virtually) of the research findings and updated guidance for policy and analytical colleagues at BEIS.

Other reporting requirements or deliverables

We would welcome suggestions as to any further outputs and would expect to agree a final set of deliverables at the inception stage.

It is desirable to also have a sample of anonymised interview transcripts for internal BEIS use and quality assurance purposes. However, if it is not possible to include these, bidders are asked to specify how they will record and analyse their qualitative research and to propose alternative outputs which could be used more widely by BEIS.

Both the updated guidance and the accompanying research report will be published to ensure a transparent evidence base is available to support ongoing policy making decisions. To demonstrate relevant experience in producing high quality reporting, bids must:

- specify who in the project team will be responsible for drafting the guidance and research report;

- specify who will be responsible for quality assurance before outputs are provided to BEIS.

Quality Assurance

Bidders must set out their approach to quality assurance (QA) in their response to this ITT with a QA plan.

Sign-off for quality assurance must be done by someone of sufficient seniority within the contractor organisation to be able to take responsibility for the work done. Acceptance of the work by BEIS will take this into consideration. BEIS reserves the right to refuse to sign off outputs which do not meet the required standard specified in this invitation to tender and/or the contractor's QA plan. QA should cover all aspects of the project undertaken by the contractors, including data collection, data analysis and reporting.

To demonstrate an effective process to produce high quality reporting and high quality guidance, the contractor/s must ensure that quality assurance is done by individuals who were not directly involved in that particular research, analysis, or reporting process.

Bidders should note that BEIS may appoint its own peer reviewer(s) to QA publishable outputs. Consideration should be given to how the external peer reviewer(s) will be included in the QA process.

Where complex or innovative methods are proposed, bidders should specify how additional quality assurance will be provided. Where necessary, this should include the use of external experts. A BEIS-appointed peer reviewer will not be expected to provide detailed quality assurance as their role will be focused on higher level peer review.

Outputs will be subject to BEIS internal approvals, and the more substantive the output the longer the approval time required. Published outputs will require three rounds of comments, which should be factored into timelines.

The successful bidder will be responsible for any work supplied by sub-contractors. For primary research, contractors should be willing to facilitate BEIS research staff to attend interviews as part of the quality assurance process if appropriate.

Other useful sources of guidance and advice that will help bids and the resulting work be of the highest quality include:

- The Government Social Research Code, in particular those that relate to GSR Products

- Quality in Qualitative Research: A Framework for assessing research evidence provides a Framework for appraising the quality of qualitative research

- The existing Community Benefits and Engagement Guidance for Onshore Wind.

- Onshore Wind: Call for Evidence provides a backdrop to how the community-developer dynamic was considered in the past.

Working Arrangements

The successful contractor will be expected to identify one named point of contact through whom all enquiries can be filtered. A BEIS project manager will be assigned to the project and will be the central point of contact.

Where a consortium or sub-contractors are in place, BEIS expect that they are included in relevant meetings, workshops and review points to ensure their full engagement in the project. All contractors and sub-contractors are responsible for the delivery of outputs to the appropriate time and quality. It is expected that the lead contractor takes an active role in oversight of all workstreams and bears the overall responsibility for the delivery of the evaluation activities and outputs.

Bids should assume that BEIS take an active role in review and quality assurance of research materials, analysis and outputs, beyond external peer review. It should be expected that research materials and outputs go through at least three iterations (i.e. two rounds of comments from BEIS), dependent on the complexity of the product. Additional amendments may be required for published outputs.

The appointment offer will be confirmed by 9th November. Note that bidders must be available to attend an inception meeting in the week commencing 9th November.

We envisage the need for close interaction between the BEIS Project Manager and contractor throughout the process, to ensure that emerging issues are dealt with promptly and that BEIS fully understand the assumptions and approach taken. Bidders should assume that engagement with BEIS will include weekly project management phone calls, weekly progress update reports, steering group meetings (frequency to be confirmed), and any ad hoc meetings as required to design and deliver the project. Throughout the project, BEIS will review and sign off all final data collection instruments, analytical approaches (including key assumptions) and outputs.

Skills and expertise

BEIS require you to demonstrate that you have the necessary expertise and capabilities to undertake the project. Your tender response should include a summary of the project team's skills and capabilities, both in terms of research skills and onshore wind policy expertise, including an awareness of the existing evidence base on community engagement for onshore wind developments. It may be appropriate to include academic and/or policy specialists in advisory capacities.

Challenges

There may be a number of challenges in conducting this research; some are detailed in the following section. Bidders must consider how these and any other challenges will be addressed through the project's design and delivery.

Timing of outputs

Bidders should consider how they can deliver outputs to the tight timetable. Bidders are welcome to propose innovative methods and outline a delivery plan which splits the required activities in stages to meet the requirement.

Engaging potential participants

Bidders should consider some of the difficulties inherent in engaging community representatives for interview. Bidders should also consider and plan for the possibility that recruitment and fieldwork will prove more challenging as a result of the coronavirus pandemic and outline mitigating strategies accordingly.

Engaging communities disaffected by wind developments

Bidders should consider the risks in engaging communities opposed to onshore wind.

Ethics

All applicants will need to identify and propose arrangements for initial scrutiny and on-going monitoring of ethical issues. The appropriate handling of ethical issues is part of the tender assessment exercise and proposals will be evaluated on this as part of the 'consideration of challenges' criterion.

We expect contractors to adhere to the following Government Social Research (GSR) Principles:

1. Sound application and conduct of social research methods and appropriate dissemination and utilisation of findings

2. Participation based on valid consent

3. Enabling participation

4. Avoidance of personal harm

5. Non-disclosure of identity and personal information

Data security

The successful tenderer must comply with the General Data Protection Regulation 2016 (GDPR) and any information collected, processed and transferred on behalf of the Department, and in particular personal information, must be held and transferred securely. Contractors must provide assurances of compliance with the GDPR and set out in their proposals details of the practices and systems they have in place for handling data securely including transmission between the field and head office and then to the Department. Contractors will have responsibility for ensuring that they and any subcontractor who processes or handles information on behalf of the Department is conducted securely. The sorts of issues which must be addressed satisfactorily and described in contractors' submissions include:

- procedures for storing both physical and system data;
- data back-up procedures;
- procedures for the destruction of physical and system data;
- how data is protected;
- data encryption software used;
- use of laptops and electronic removable media;
- details of person/s responsible for data security;
- policies for unauthorised staff access or misuse of confidential/personal data;
- policies for staff awareness and training of DPA;
- physical security of premises; and
- How research respondents will be made aware of all potential uses of their data.

Price and payments

The maximum budget for this project is £50,000 excluding VAT. Cost will be a criterion against which bids will be assessed.

Contractors should provide a full and detailed breakdown of costs. This should include staff (and day rate) allocated to specific tasks.

Bids should, at a minimum, include costs for the below activities, including design and analysis:

- Qualitative telephone interviews with:

o 10 onshore wind developers and/or trade bodies of 60-90 minutes length

o 10 community groups of 60-90 minutes length

o 10 local authorities and/or devolved administrations of 60-90 minutes length

In submitting full tenders, suppliers confirm in writing that the price offered will be held for a minimum of 60 calendar days from the date of submission. Any payment conditions applicable to the prime contractor must also be replicated with sub-contractors.

The Department aims to pay all correctly submitted invoices as soon as possible, within 30 days from the date of receipt, in line with standard terms and conditions of contract.

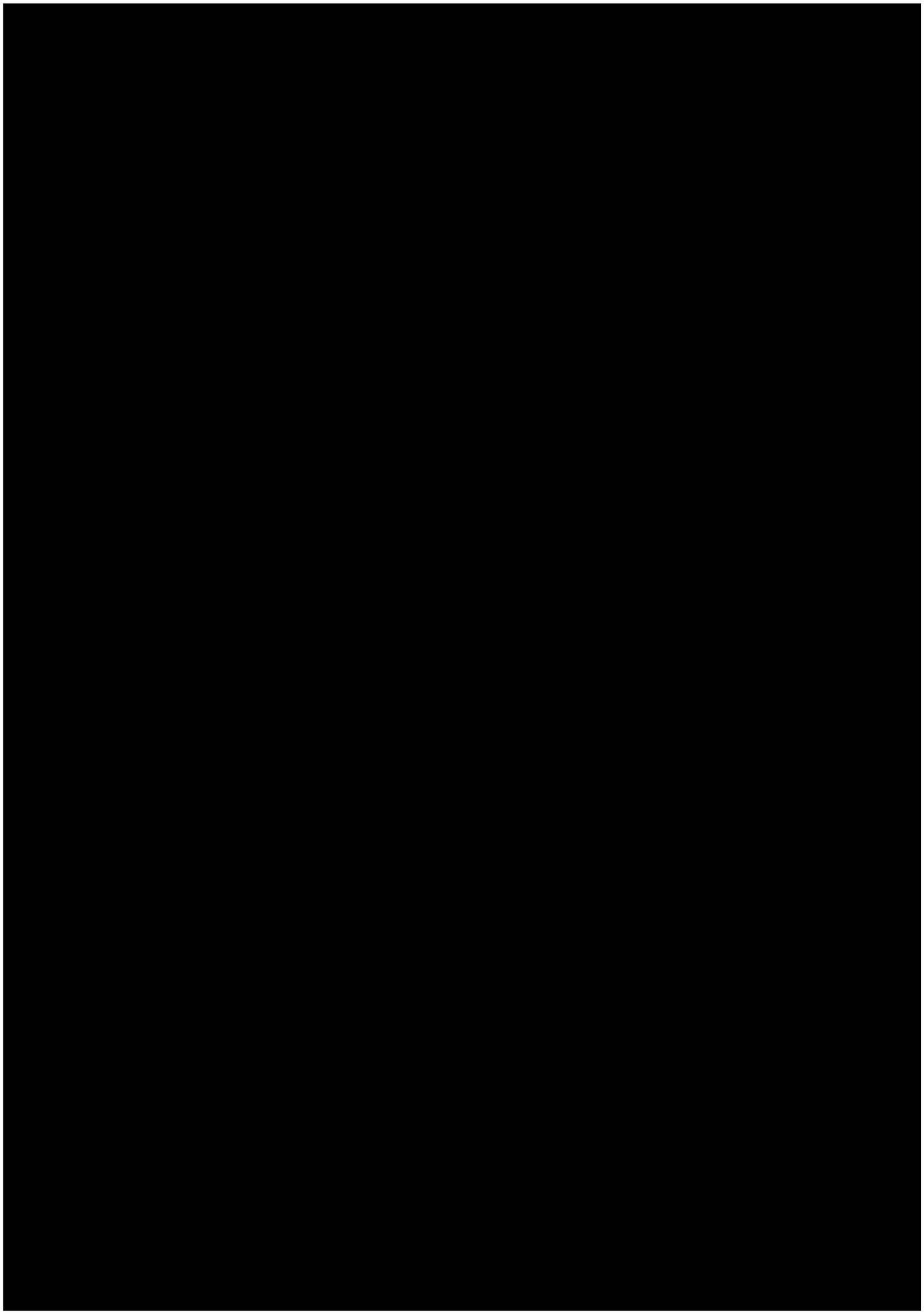
**Timetable**

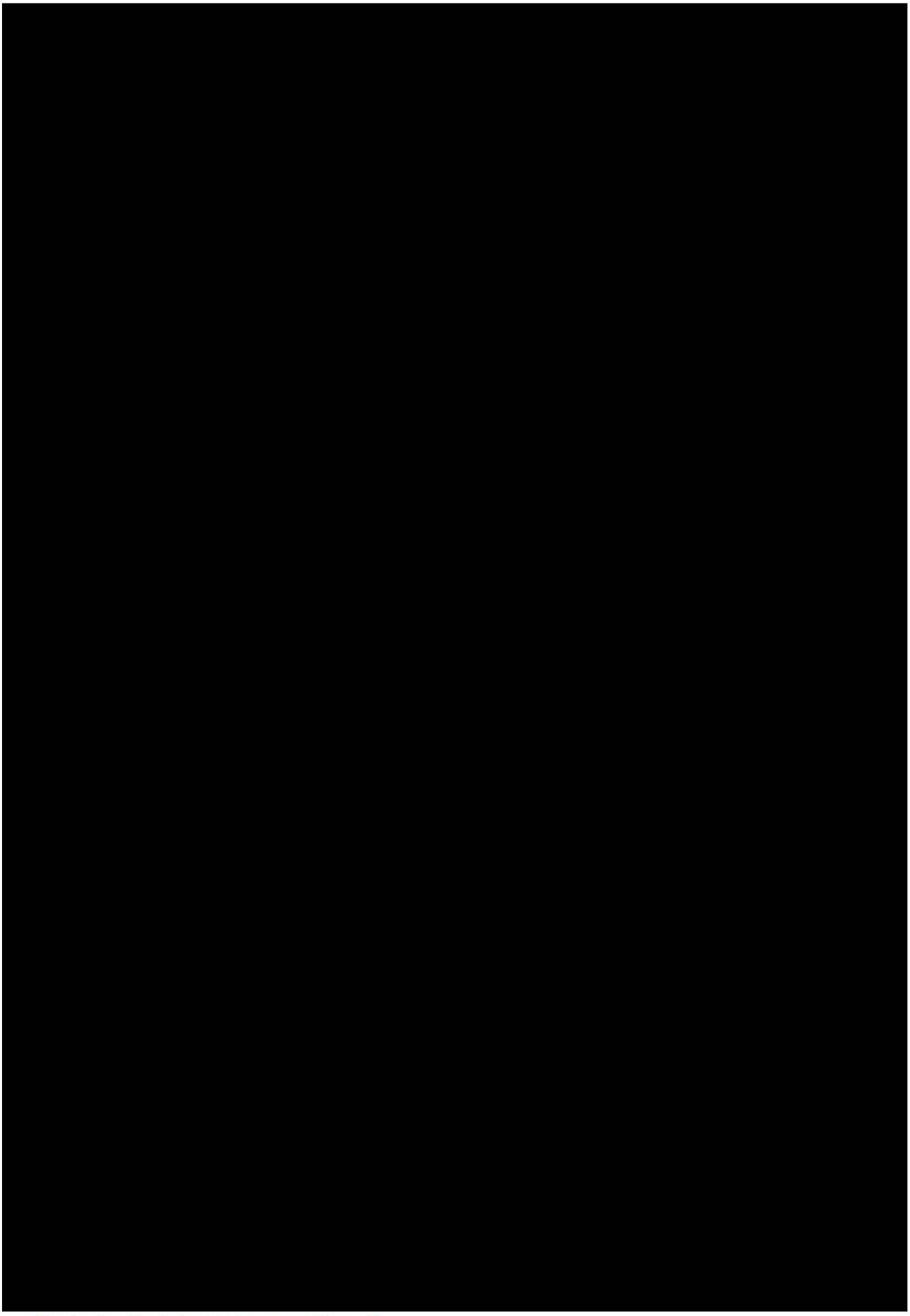
| Activity | Timescale |
|---|---|
| Project inception meeting to agree and finalise approach to the project | w/c 30 November 2020 |
| Material design and recruitment | December 2020 |

| | |
|---|---|
| Fieldwork | December 2020 – March 2021 |
| Analysis and reporting | March/April 2021 |
| Draft guidance and research report | April/May 2021 |
| Final presentation, guidance and research report, including any technical annexes | May/June 2021 |

## ANNEX B

## Supplier Proposal





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### Field research preparation

CSE's research team will draft a set of interview topic guides for semi-structured interviews, designed to elicit interviewee's accounts of community engagement and community benefit, their reflections on what worked more or less well and their insights on why things did or didn't succeed, from their point of view. The questioning would seek to include some exploration of the underlying priorities guiding subjective responses. The interview guide would be adapted to suit the different interviewee groups (developer, trade body, community or community representative group and local authorities and devolved administrations). The semi-structured interview format offers flexibility to let the conversation flow whilst retaining focus and direction to facilitate timely responses to the research questions.

Draft topic guides will be shared with the BEIS steering group for review and tested with at least one developer, local authority officer and community representative not included in the trial prior to the start of actual fieldwork, to check flow and clarity. The team will also review the content of the topic guides at an early stage of the first round of field work. BEIS will be advised of any minor changes and the reasons behind them. If there is a need identified for any significant changes to the topic guides, these will be submitted for approval by BEIS.

The scheduling of interviews will be as far as possible arranged so that the same interviewer conducts interviews with those involved in each onshore wind project, to enable checking of different versions of the same community engagement process from different perspectives. A Participant Information Sheet will be provided in advance to potential interviewees, along with a supporting online consent form.

Should it prove difficult to secure an appropriate mix of interviews for a chosen project, we may choose to proceed with interviews likely to help address research questions or may seek to identify a different set of interviews focused around an alternative project.

### Interviews

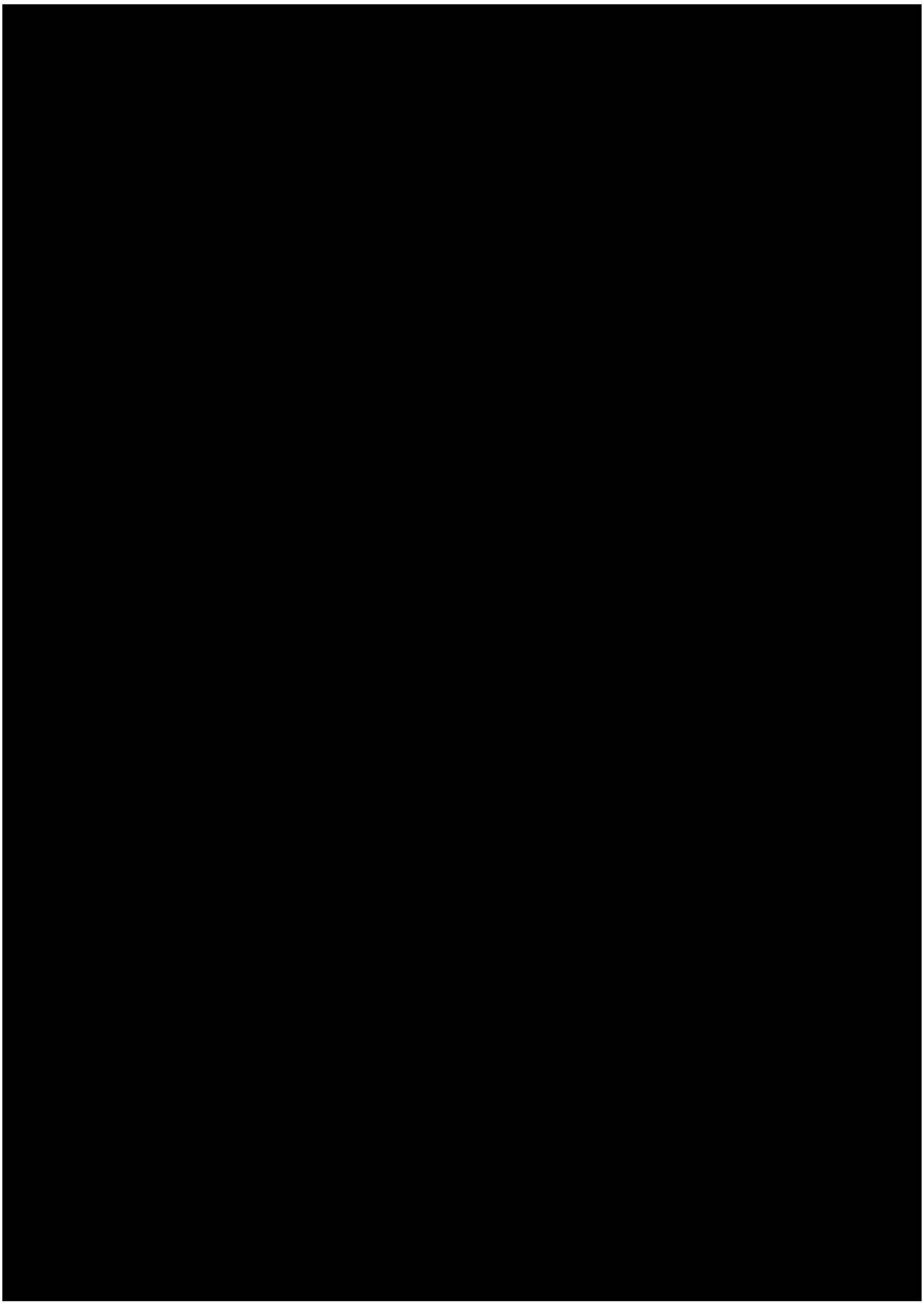
At the start of an interview, interviewees will be assured of their anonymity and their right to withdraw from the research. The remit of the research as given on the Participant Information Sheet will be revisited. Interviewers will audio-record verbal consent before proceeding with interviews. All interviewing will be conducted sensitively, recognising that the journey involved in onshore wind development can sometimes be an emotive one.

Telephone interviews will be conducted by researchers trained and experienced in semi-structured interviewing, using headsets with high quality audio recordings automatically saved to a secure hard drive. For videoconferencing, interviewees preferred platform (Microsoft Teams or Zoom) will be used and audio recordings saved to CSE's secure server. Any external (e.g. cloud-based) copies of these audio recordings will then be deleted.

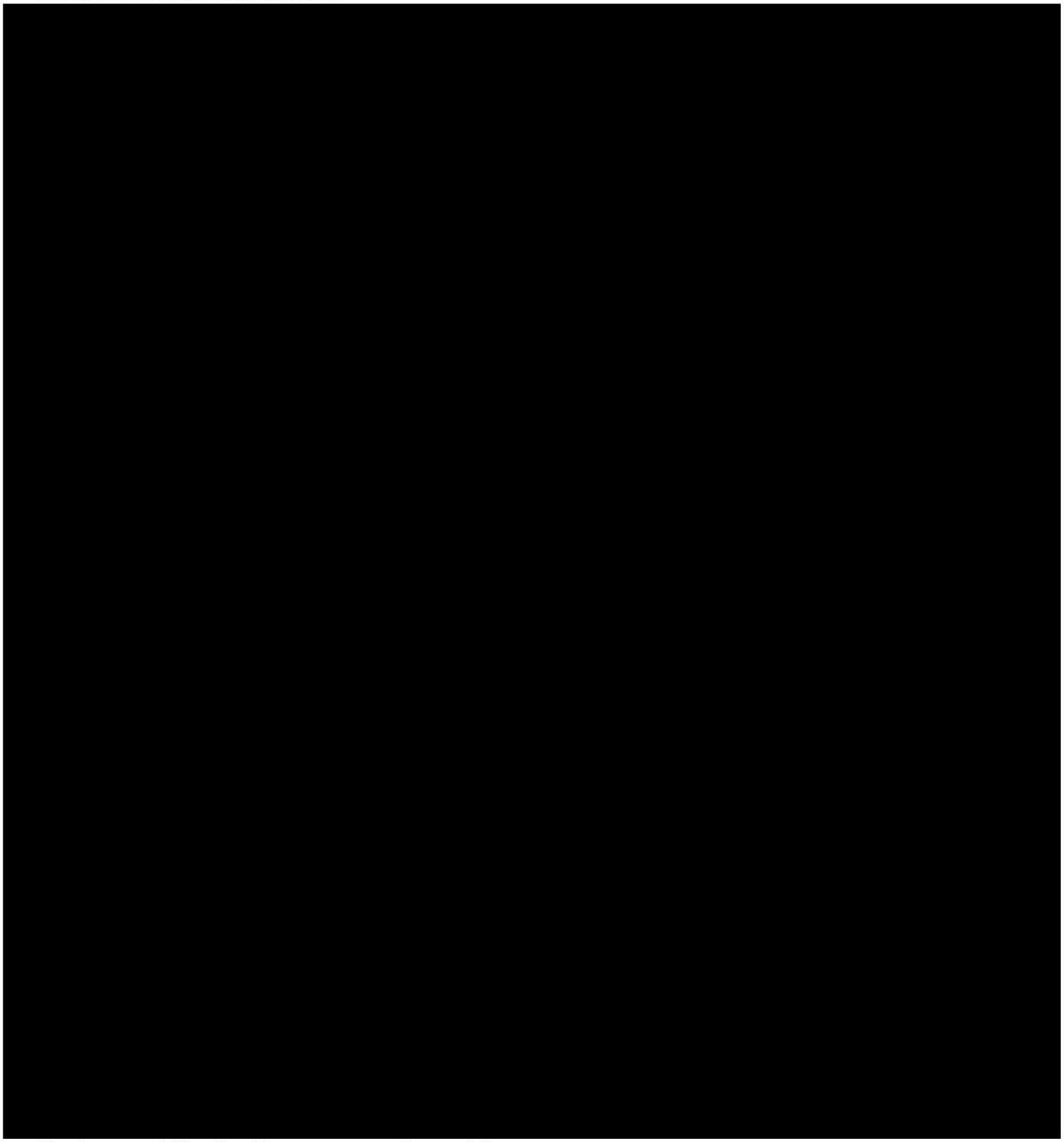
### Data capture and analysis

All audio recordings will be transcribed and uploaded into NVivo, an industry standard software package for analysing qualitative data. Interviews for the same onshore wind development will be linked together using File classification, so that case studies can be easily developed. NVivo File classification and attributes can be used for different interviewee groups and for each project (e.g. if it was successful, location, ownership type, size of development, early community engagement, and community benefit package details). Use of classification and attributes enables a deep exploration of the data set.

Transcripts will be analysed using the "Framework" approach built into NVivo. This entails the use of a matrix to conduct a thematic analysis and involves a number of stages:



**Case studies and materials**

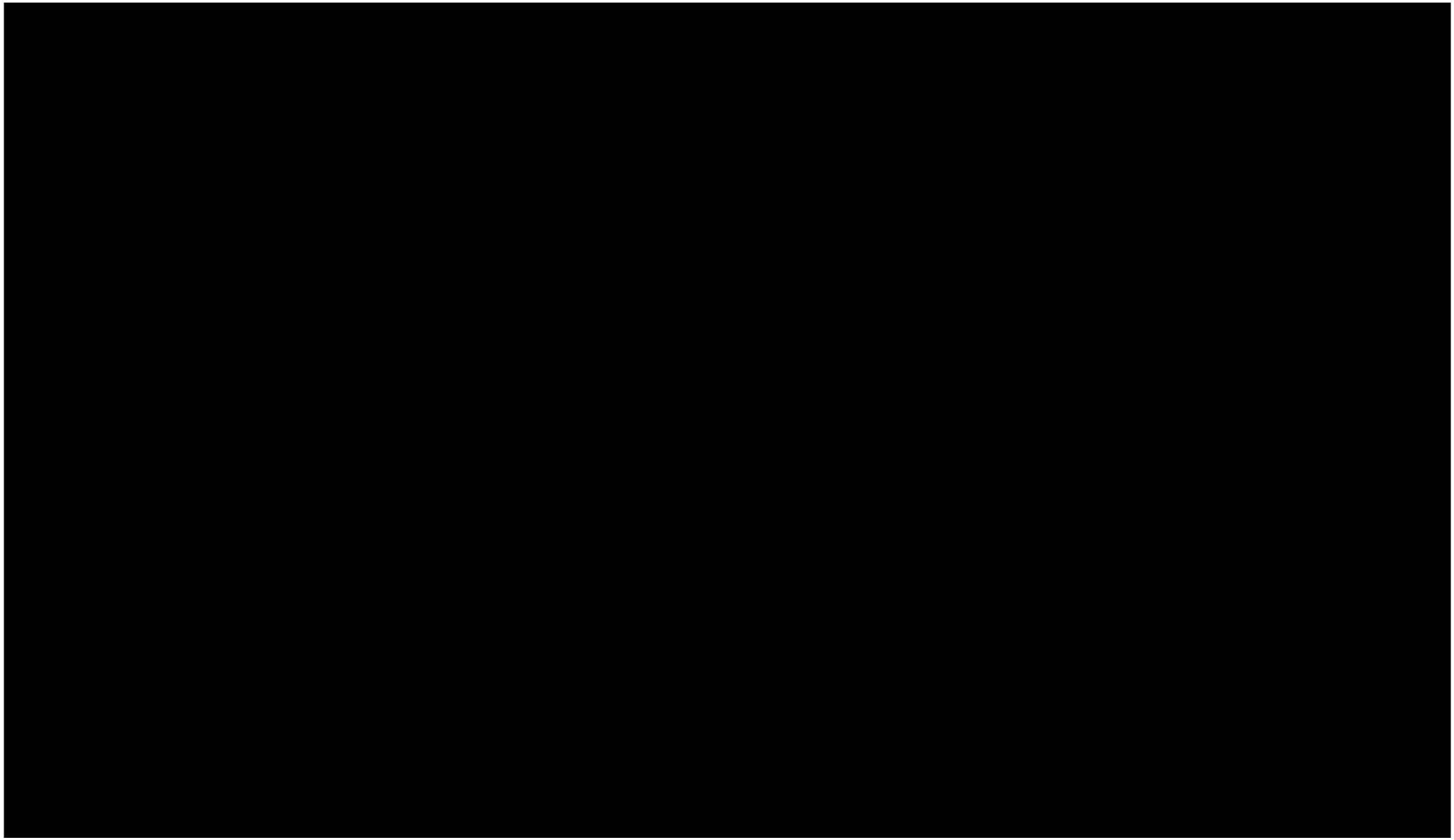


**Review and finalisation process for guidance**

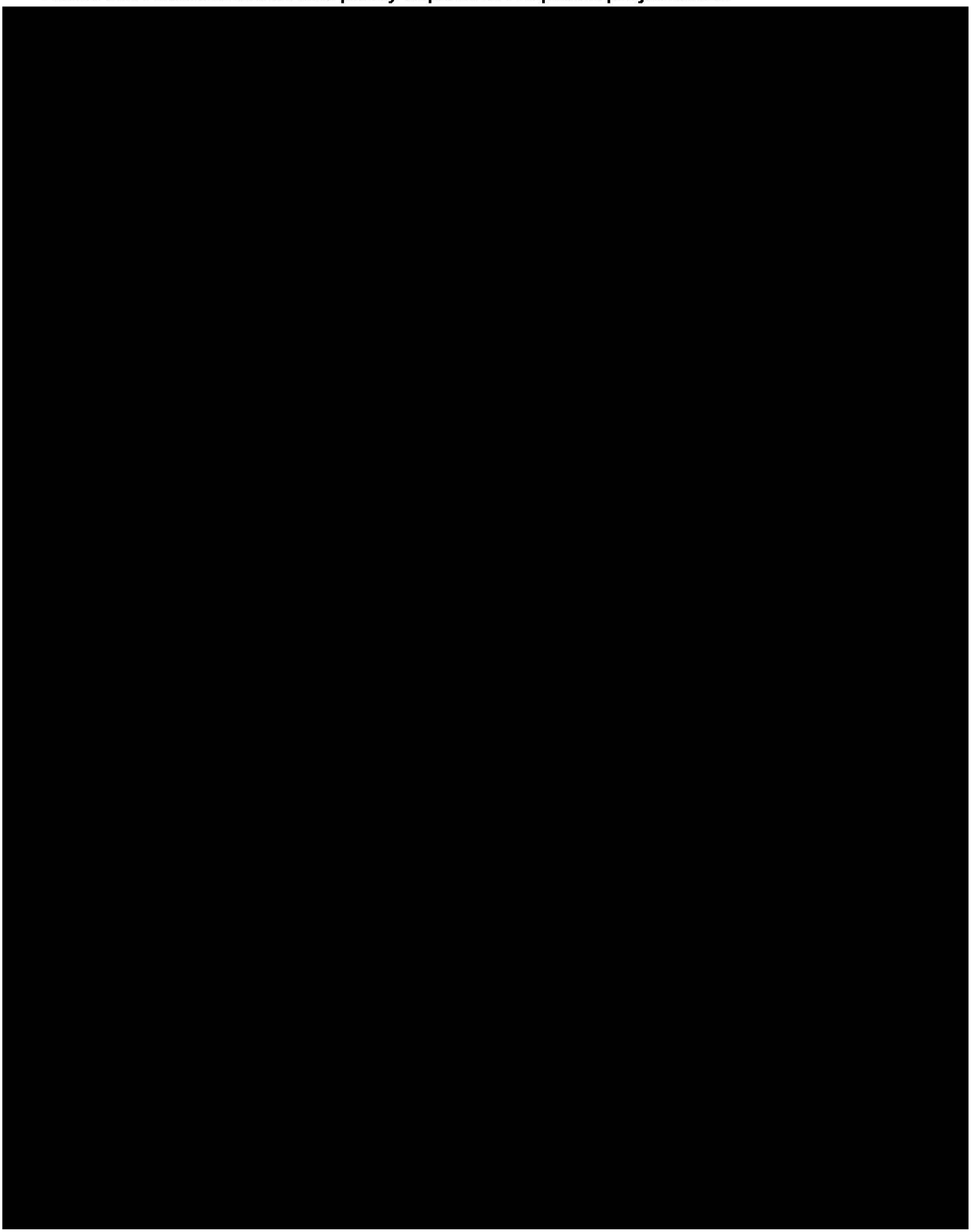
The guidance will be prepared by CSE in line with BEIS required format. ITPE and SFW will review the first draft and final guidance prior to each version being submitted to BEIS for comments. [redacted] Publicity and Communications Manager will copy edit and design the guidance to make it accessible and engaging (in line with the required format).

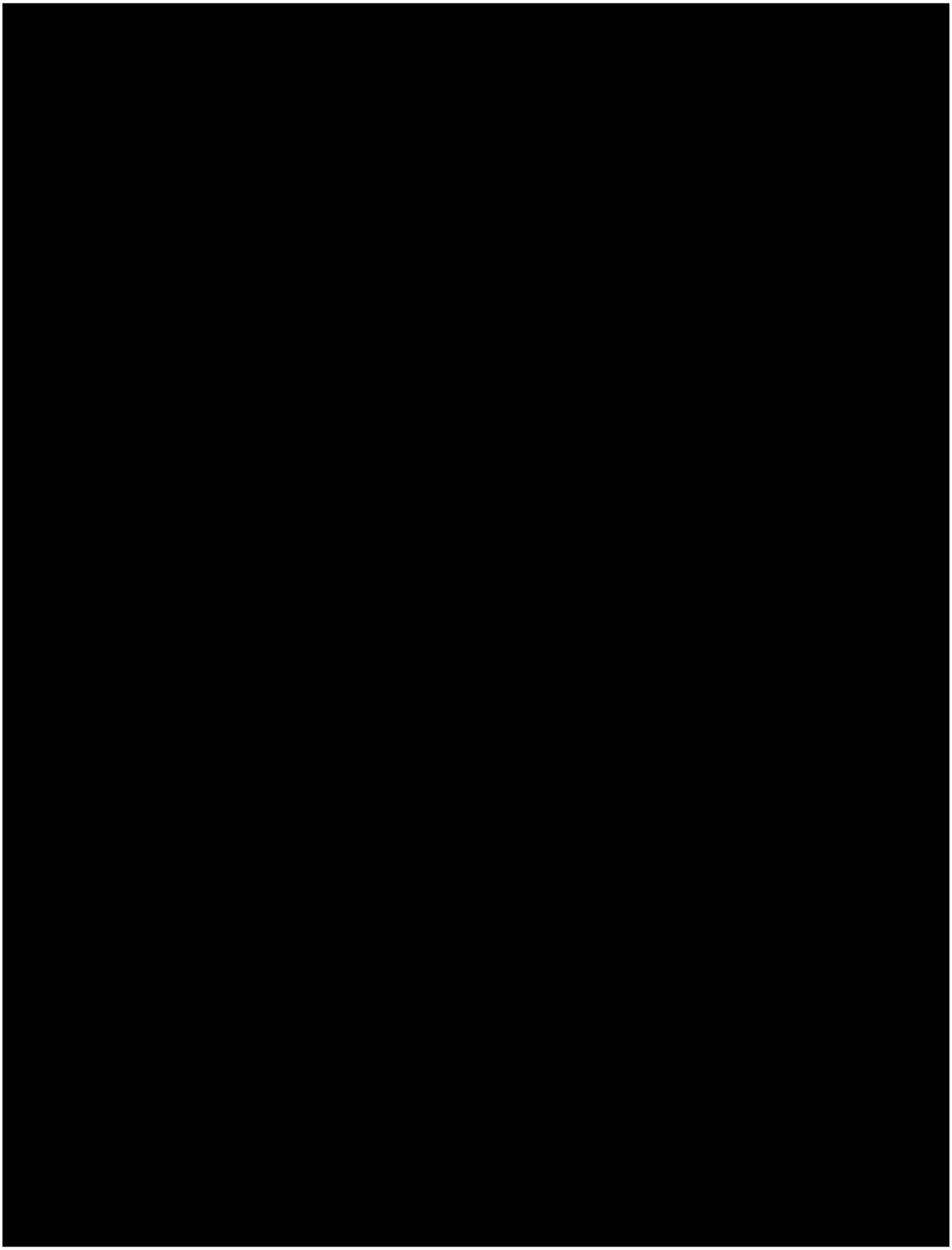
Figure 1 below illustrates the process which will be followed in the synthesis and production of the guidance, illustrating the main stages in the preparation, the key informing documents and the reviewing parties proposed for each draft. Given the likelihood of multiple contributing authors, we have proposed an editorial review (in addition to the content reviews) to be undertaken by a separate member of staff with excellent editorial and proof-reading skills. Adequate time is allowed for the reviewing of multiple drafts by BEIS.

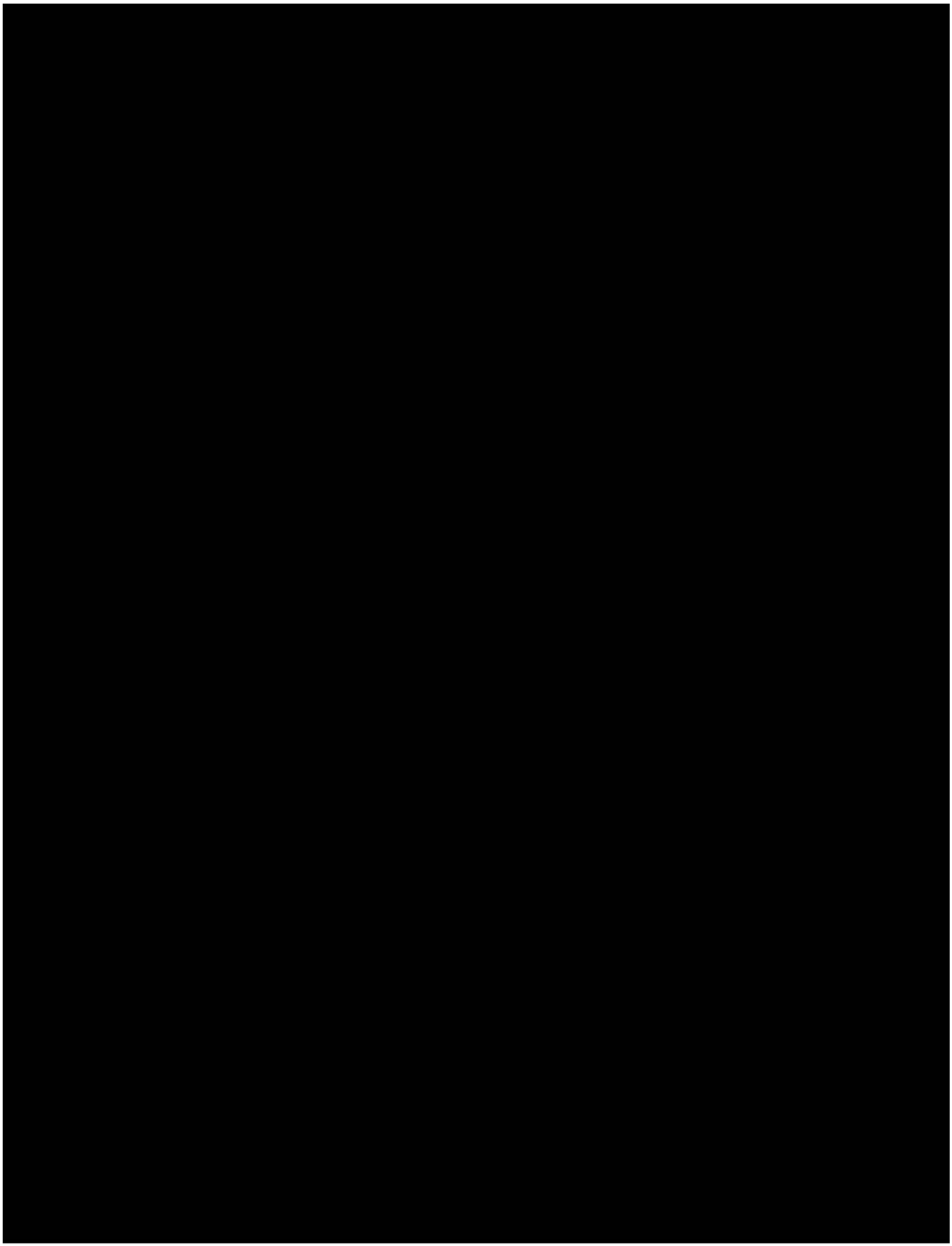
Figure 1. Guidance production process.

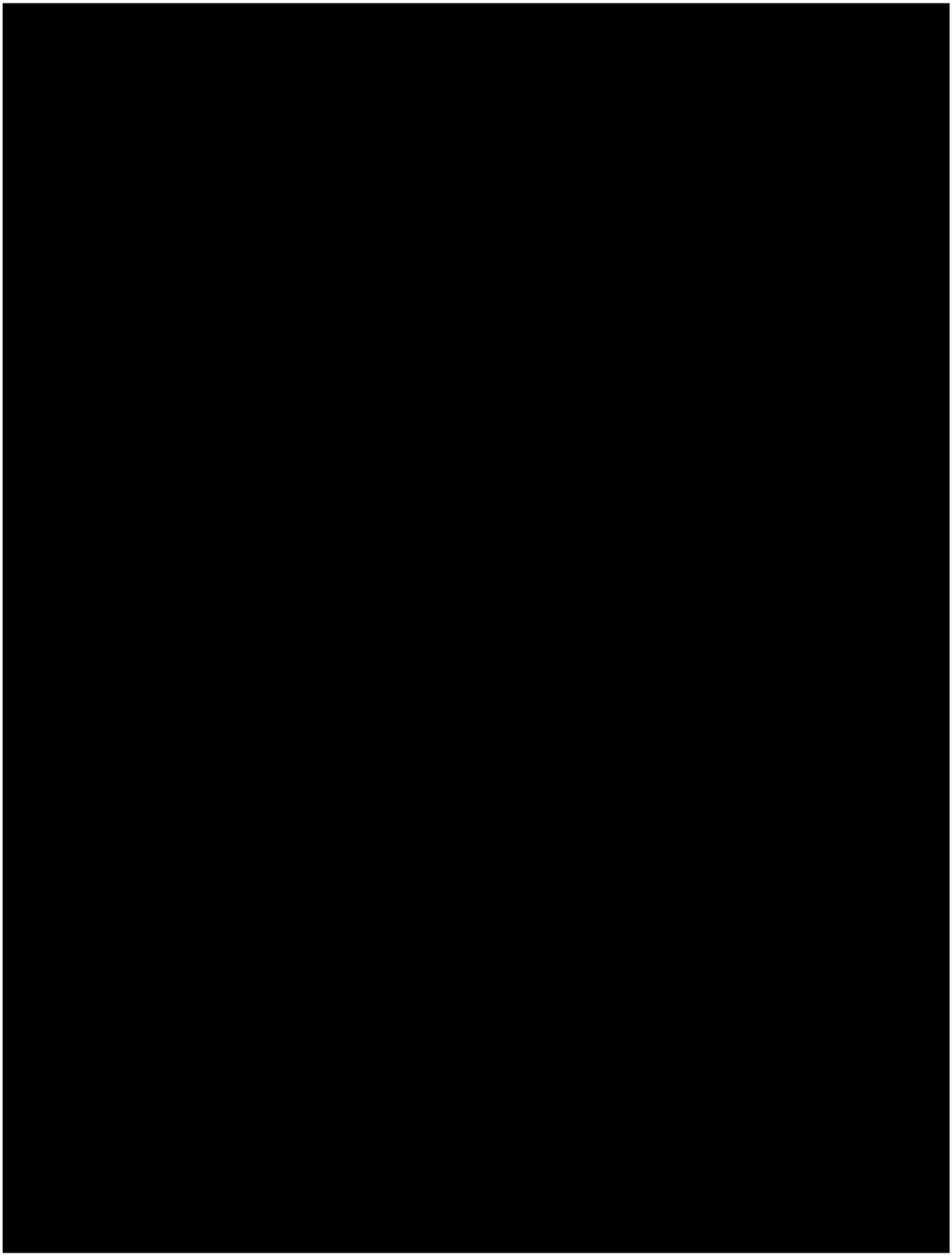


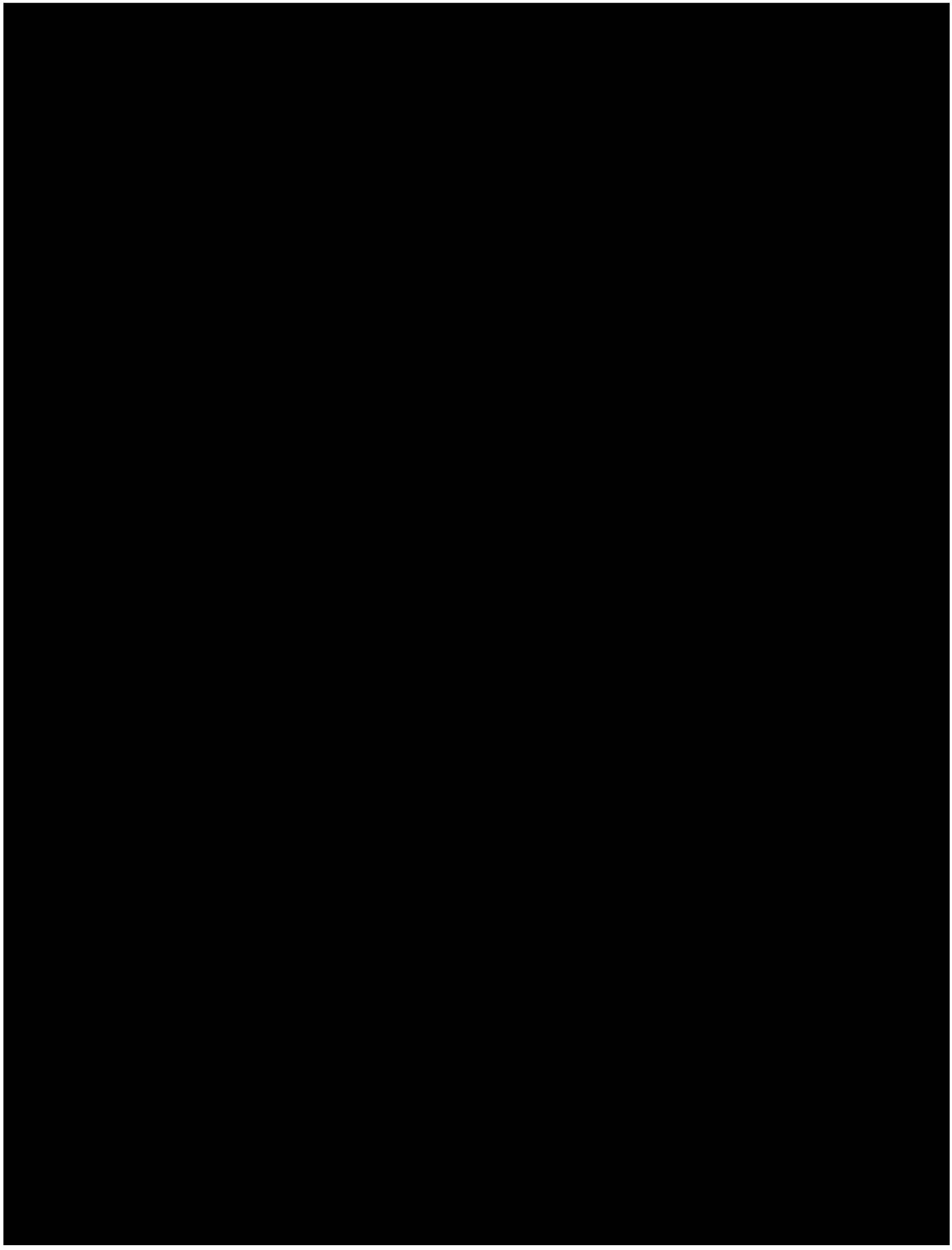
**PROJ 1.2: Research skills and policy expertise: Proposed project team**

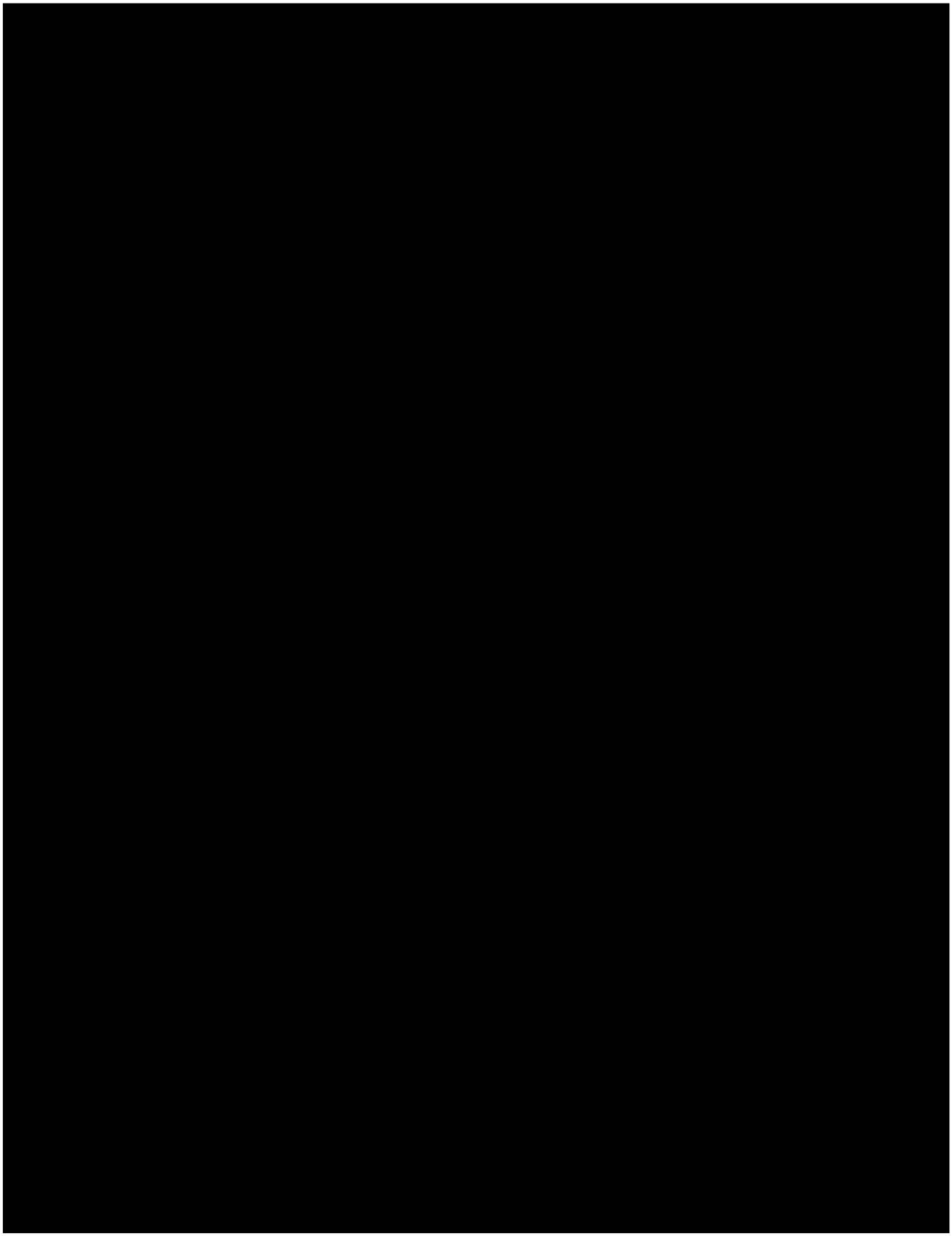












**PROJ 1.3: Project objectives and requirements**

The purpose of this project is to update the guidance for community engagement and community benefit packages for onshore wind developments in England. Qualitative research is required to underpin the guidance and to provide an evidence base, as well as to inform policymaking. The guidance should support decision-making which helps achieve the best outcomes for communities, and this requires benefits to be tailored to local needs. As such, the guidance needs to include a range of best practice options.

This work reflects the fact that since the previous guidance was published in 2014 there has been considerable change in the political, social and economic context for onshore wind in England (explored further below). This includes changes to the policy environment, public attitudes towards onshore wind and the cost of deployment. Considering these contextual changes, the aims of this work are to:

1. Produce an updated guidance document for onshore wind community engagement and benefits, and;
2. Deliver qualitative evidence to support the development of the updated guidance.

The updated guidance needs to bring together and present learning from key stakeholders involved in onshore wind community engagement and benefits, including developers and trade bodies, community groups and the civil society organisations that support them and local authorities and devolved administrations. The evidence base must underpin the guidance in addition to informing future onshore wind policy development.

**Policy and research context**

CSE has a deep understanding of the policy and research context for this work. In 2005 we led a research study Community Benefits from Wind Power (2005) for the Renewables Advisory Board exploring lessons learned from community benefits provision in EU countries with higher rates of onshore wind deployment to the UK. We were subsequently commissioned to produce the Protocol for Public Engagement with Proposed Wind Energy Developments in England (2007) and later produced Delivering community benefits from wind energy developments: A toolkit (2009).

This early work laid the foundations for the production in 2014 of two Best Practice Guidance Documents for England: Community Benefits from Onshore Wind Developments and Community Engagement for Onshore Wind Developments.

Since the production of the 2014 guidance, there has been considerable change in the political, social, and economic context for onshore wind in England. New planning rules came into force in 2015 designed to give local communities the 'final say' in decisions on granting permission for onshore wind, with planning permission only granted where sites had been identified as suitable for wind energy in a local or neighbourhood plan. This also coincided with the end of the financial support mechanisms for onshore wind (Renewables Obligation), and the return of planning permission decisions for larger onshore wind farms (over 50MW) back to local authorities in The Energy Act 2016. This resulted in a significant reduction in numbers of planning application for onshore wind development in England from 2015 onwards. Acknowledging that onshore wind had become a somewhat contentious issue, CSE's popular 2017 publication addressed Common concerns about wind power (an update to the previous 2011 version) and provided a factual grounding for local authorities and communities, to encourage constructive discussion around onshore wind.

Then, in 2019, legally binding targets for reaching zero emissions were adopted, requiring the UK to bring all greenhouse gas emissions down to net zero by 2050. In addition, the economics for onshore wind has changed significantly, with improvements in the technology and a drop in the cost of deployment. In 2020, onshore wind was added to the list of technologies that could compete for Contacts for Difference (CfD), levelling the playing field between technologies with differing cost profiles. It is now one of the cheapest forms of new renewable energy in the UK. Furthermore, public attitudes towards onshore wind have also improved, with support growing and opposition falling. Government surveys (by BEIS and

previously DECC) show that public support for renewable energy is now consistently above 75%, rising to as high as 85% at times. This aligns with wider changes in public attitudes towards climate change and support for national and local action. Therefore, now is the ideal time for updated guidance on community benefits for onshore wind in England.

To be successful, the development of updated guidance on community benefits for onshore wind for 2021 and beyond needs to take into account the historical planning and wider policy context, as well as insight into the present situation, looking forward to greater development of onshore wind in England in the future. Together, with our partners ITPEnergised (ITPE) and SFW Communications (SFW), CSE's insight into the onshore wind sector and track record of working with communities, developers and local authorities means we are well placed to deliver this work. Our collective knowledge and expertise includes:

- ***Community Engagement***

Our team has extensive experience of providing guidance and support to communities around onshore wind and the changing policy landscape. This includes published guidance and practical support for neighbourhood planning groups on how to identify suitable areas for onshore wind development in their neighbourhood plans, and the development and delivery of a community engagement approach called Future Energy Landscapes (FEL). This workshop-based process at parish level is designed to catalyse insightful, detailed, and mature discussion regarding the planning of local low carbon energy infrastructure, including onshore wind. IPTE and SFW also bring extensive knowledge of community engagement as part of the onshore wind planning process.

Together, this understanding of community engagement from different perspectives will be beneficial in highlighting current concerns which are often raised by local communities, and emerging concerns which may increase as a result of industry trends, such as visual amenity concerns, noise impacts; construction traffic and related disturbance; and shadow flicker impacts. The team's collective experience also means they are able to consider the best means of informing and listening to local communities with respect to these and other concerns and identifying suitable methods of addressing concerns while retaining viable development proposals.

- ***Community benefit structures***

CSE has a deep understanding of the issues and community benefits options associated with onshore wind. Our 2005 Community Benefits from Wind Power research report highlighted the importance of community benefits, and led to the development of national good practice guidance as previously mentioned.

Our team has direct experience of many community benefit approaches and good knowledge of others through review of case studies and liaison with industry colleagues. This includes community ownership proposals, standard payment per MW of installed capacity in line with RenewableUK's Community Benefits Protocol, investment in studies or initiatives to address local problems including fuel poverty, initiatives to support skills development and employment opportunities and contributions to electricity bills for householders within a defined area. CSE has run the Thrive Renewables Community Benefit programme since 2015, which gives grants for energy saving measures in community buildings.

Our understanding of community benefits indicates that there will not be a "one size fits all" approach to community benefit and that requires open engagement with the local community and understanding of local priorities. This means that our team can contribute important input to the emerging good practice guide, informed by this experience, review of case studies, and liaison with additional developers to ascertain what approaches have been particularly successful, and where important lessons have been learned.

- ***Local authority and developer perspectives***

CSE, IPTE and SFW also bring current knowledge and understanding of the onshore wind development market from the perspective of developers, investors, and consenting authorities. One of CSE's relevant projects for this piece of work is research undertaken on behalf of BEIS in 2019 (unpublished) to understand how local authorities were responding to

the changed policy environment for onshore wind, and the proportion of local authorities which had or were developing supportive policies to enable onshore wind development to go ahead within their areas. The ITPE team also has experience of supporting the development of onshore wind projects by a local authority itself, i.e. the council becoming developer as a means of generating revenue for the local area. This experience will form a useful case study with applicability to other local authorities or local groups with similar ambitions.

IPTE also brings insight into the particular challenges that developers have faced in proposing or implementing community benefit proposals, such as restrictions on the way in which funding can be spent, challenges in defining the relevant "local community" for a given project, difficulties in establishing a suitable and representative body to administer the benefit funding, and managing skills or resource shortages among local community groups.

**Other relevant data sources**

As well as the resources referenced above, we are aware of many relevant data sources that will help us to enable the successful delivery of this project, including:

- ***Identification of research participants***

In addition to the team's own knowledge and contacts, the Renewable Energy Planning Database provides a breakdown of all UK renewable energy planning applications by technology, developer, local planning authority, and planning outcome. This can be used to prioritise local authorities to interview receiving significant numbers of applications (including where there are high numbers of permissions granted, or high numbers refused). We can also use this to identify developers with high numbers of granted/refused applications. This is a key resource for the sampling strategy.

RenewableUK supports the renewable energy industry and has over 400 member companies (e.g. ITPE). This trade body is likely to engage via interview and provide a useful industry overview, and may also help identify insightful individuals working for developers.

- ***In-depth contextual understanding of existing community benefit structures***

Community benefits from onshore wind developments: Best practice guidance for England (2014) the previous iteration of the Community benefits from onshore wind development guidance. This is a key resource for this project, to reflect on the previous context and compare best practice recommendations at that time with the current environment.

Community benefit register (Scotland) a map of renewable energy projects in Scotland searchable by location, technology, developer and area of spend. This will be useful for understanding the range of community benefit models employed and identifying Scottish projects with an interesting approach that might be applicable for England.

Scottish Government good practice principles for community benefits from onshore renewable energy developments (2019) provides a helpful comparator document with principles potentially equally applicable to England.

Offshore Wind Industry Council OWIC and the offshore industry is also potentially relevant to this research as there are some very significant examples of large community benefit packages delivered through the offshore industry which could be applicable onshore.

Offshore renewable energy developments - good practice principles for community benefits: Scottish Government consultation (2018) Similarly, this document aimed at developers of offshore wind contains principles potentially relevant for larger onshore schemes.

**Addressing challenges**

Through our experience, CSE and our partners are aware of the challenges for this project, and how to address them, including:

- ***Ensuring the successful delivery of this project within the working environment***

CSE and partners are proposing to deliver this work using Covid-safe approaches to project management, collaboration, data collection and reporting. Since March 2020, CSE has moved operations to a remote working arrangement, with the majority of our 80 staff

continuing to work predominantly from home. Similarly, all our engagement, outreach, events, meetings, data collection, advice and other activities have been moved online. As a result, we have refined our approaches to remote engagement and developed a range of systems which are working very effectively.

CSE operations have been maintained throughout 2020 despite the pandemic and we have continued to grow, taking on new staff and launching new work programmes. With staff now familiar with remote working and online collaboration tools, we are confident that our proposed delivery would not be interrupted by continued or future lockdowns.

- ***Timing of outputs***

The development of the methodology for this piece of work takes into account the required timetable for delivering the project's outputs. In PROJ1.4 and PROJ1,5 we have described the detail of our project delivery plan and our project management systems. We have also assigned a senior highly experienced manager to ensure the programme remains on track.

- ***Engaging potential participants***

Good practice guidance on community engagement and community benefit will only be truly effective if it is realistic, achievable, and appropriate for all parties, which requires the collection of evidence from a diverse range of people involved in the onshore wind sector. A diverse range of views includes those who may have negative views on onshore wind, which is included in our sample frame. Through our experience, the team understands the different ways that opposition to onshore wind can manifest, from communities who have been disaffected by wind developments through negative experiences with the planning process and/or developers to those who are part of the well-organised anti-wind lobby which operates across transnational boundaries and unites to challenge onshore wind projects across the world. Interviews will be conducted with communities (as opposed to anti-wind lobby groups) and the team being careful to explore the reasons behind any onshore wind opposition encountered during the research, making the most of opportunities to draw out how negative experiences can provide lessons learned for future community engagement practice.

Our team is experienced in community engagement and the inherent challenges of securing community representatives for interview. We will keep interviews tight to minimise the burden on community representatives' time, highlight the opportunity for good practice projects to feature as case studies, offer interviews at flexible times of the day and highlight the key aims of the research and positive benefits the guidance will bring.

- ***Appropriate handling of ethical issues***

CSE recognises that social research carries ethical considerations and will ensure adherence to the ethical guidelines stipulated by the UK Social Research Association, in particular regarding all interactions with participants being approached or selected for interview. This will include the following approaches.

**Valid consent**: Verbal consent to participate and to audio recording of interviews will be obtained from all participants. We will also obtain written consent by email if BEIS consider this to be required.

**Enabling participation**: To ensure the widest possible participation in the research, interviews will be conducted by phone or by videoconferencing. For videoconferences, interviewees will be asked to determine their preferred platform (Teams or Zoom) and will have the option to turn their camera's on or off.

**Avoidance of personal harm:** Interviewers will be prepared to provide advice or contact details of relevant advice lines to address any issues raised during the interview. At the start of an interview, interviewees will be assured of their anonymity and their right to withdraw from the research. The remit of the research as given on the Participant Information Sheet will be revisited. All interviewing will be conducted sensitively given that the journey involved in onshore wind development can sometimes be an emotive one.

**Non-disclosure of identity and personal information:** An anonymised dataset will be produced by using transcripts with anonymised respondents (e.g. R1). Any quotes included in reporting will be anonymised. For case studies, where the inclusion of location and/or organisation names are often pertinent, we will seek consent from all interviewees for this in advance in the Participant Information Sheet and consent form and ask them to sign off the draft case study. Before delivery of an anonymised sample of transcripts to BEIS, the anonymised dataset will be checked by a member of staff with oversight data protection responsibilities. Contact details of interviewees and a key for anonymisation of interviewees will be stored in password-protected documents.

- ***Data protection and security***

CSE is registered with the ICO (registration no.:Z7115671) and takes a proactive approach to GDPR, with compliance with regulations addressed at the project outset and regularly reviewed. CSE also holds Cyber Essentials certification.

**Procedures for storing physical and system data:** Electronic data is stored securely on the CSE server. Access to files containing personal data is restricted just to those users who are involved in project delivery. An up to date information asset register is maintained.

**Data back-up procedures:** All essential data is held electronically to ensure it is protected via electronic backups. Live data is backed up at least daily using a Datto service through our IT support provider ADT Systems. ADT can access and restore back-up data remotely, for quick recovery.

**Procedures for the destruction of physical and system data:** Physical and system data relating to participants taking part in qualitative research projects is deleted upon project completion. All confidential physical data is placed in confidential waste bins for shredding. All electronic data is either physically destroyed (and a record of destruction certified) or wiped to the current Government standard.

**Data protection and encryption software:** CSE's system is secured with a business class firewall device to prevent unauthorised network access and all wireless networks use secure encryption methods. Remote users access data through a terminal server and the server room is kept locked at all times to prevent physical access.

**Use of laptops and electronic removable media**: As part of the terms and conditions of employment, CSE staff are required to comply with our Acceptable Use Policy and Mobile Devise Agreement.

**Details of person/s responsible for data security:** CSE's Information Security and Data Protection Policy is overseen by the Head of Finance and Human Resources who also holds day-to-day responsibility for maintenance of IT-related security.

**Policies for unauthorised staff access or misuse of confidential/personal data:** If an information security incident arises it is reportable to the Head of Finance and Human Resources or in her absence another member of the Senior Management Team. The incident is recorded in the security incident log including assessing the level of severity (high, medium, low as defined in the incident log) and a management decision is then made about whether it should be reported to the ICO and any additional immediate steps necessary.

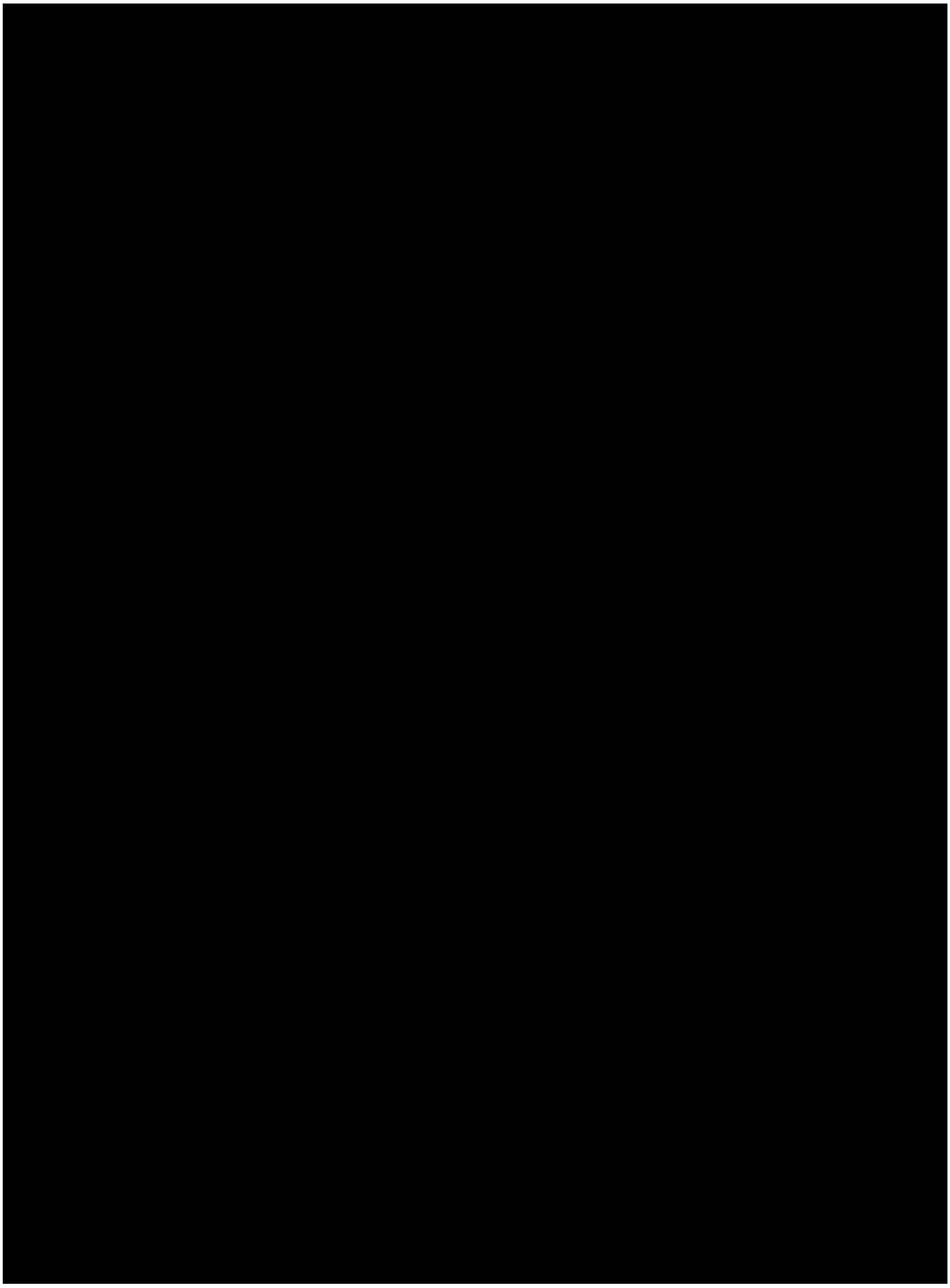
**Policies for staff awareness and training of DPA:** All staff attend internal training on data protection. Managers are required to carry out a Data Protection Impact Assessment for all projects and ensuring compliance for their projects. The lawful basis for processing and data collection and storage risk is established at the project outset.

**Physical security of premises:** CSE's office is only accessible to authorised staff with a key-card. The building has 24-hour security, with reception staffed to monitor visitor access.

**How research respondents will be made aware of all potential uses of their data:** Research respondents can request a copy of their personal information and details of its use by contacting CSE by post, telephone or email – at privacy@cse.org.uk.

**Ensuring subcontractor compliance:** CSE has template sub-contractor contracts with standard clauses to ensure appropriate data protection compliance.

**PROJ 1.4: Project plan and timescales**



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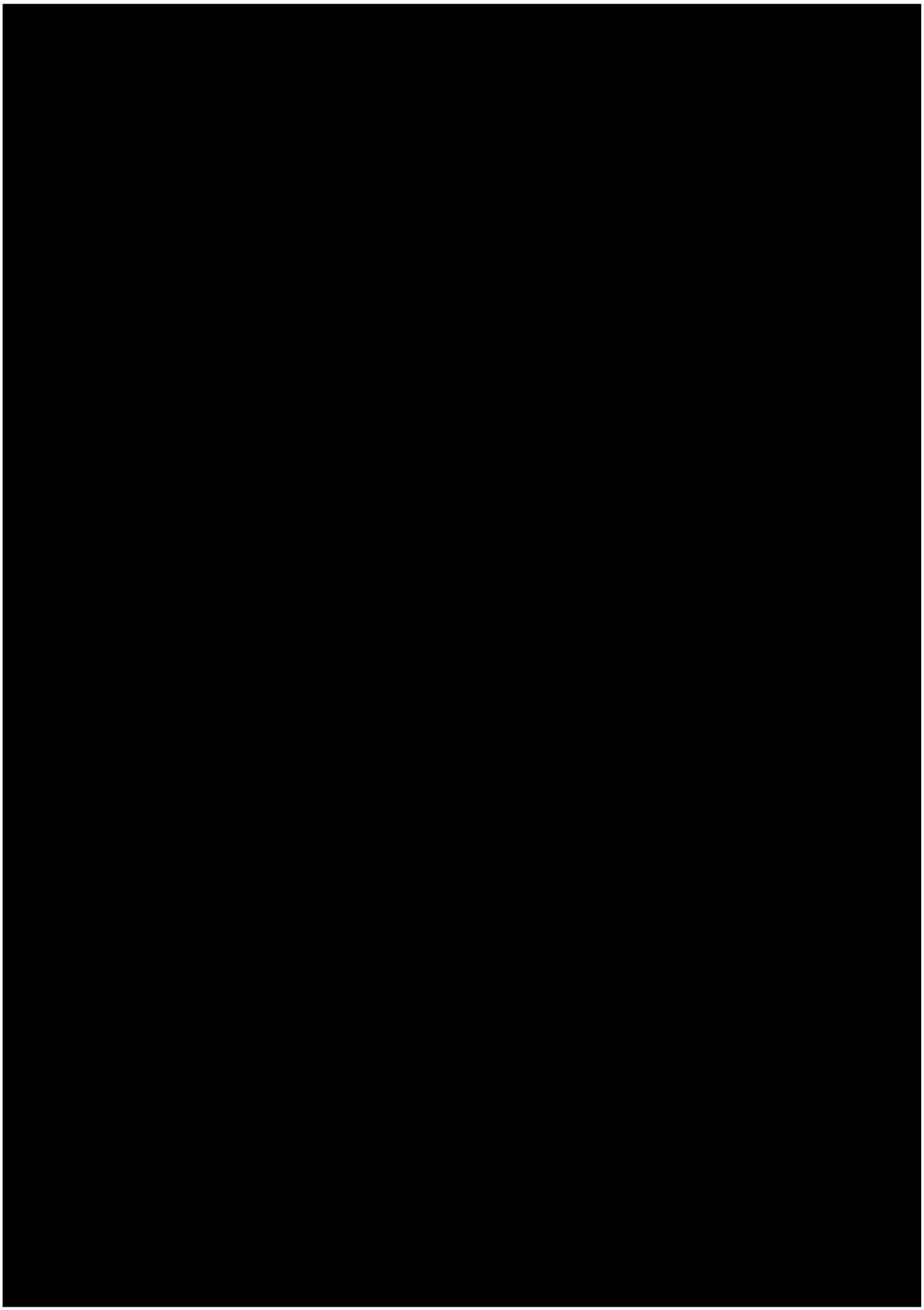


## PROJ 1.5: Quality assurance arrangements

CSE provides high quality services across a range of disciplines within the sustainable energy field. These include qualitative research, producing high quality guidance documents and reports, and community energy project support.

CSE is committed to ensuring quality and consistency in our project outputs, guided by the following quality principles:

- Developing excellent staff capability
- Strong project management systems
- Robust and transparent financial management
- Underpinning projects with cross-disciplinary insights
- Building on client and beneficiary feedback

CSE's quality assurance policy and more detailed related procedures are overseen by the Head of Finance and Human Resources. The policy is reviewed annually and forms part of the staff handbook, which is available to staff on the shared server and forms part of staff inductions. Staff are alerted to any revisions by email and through staff meetings.

**Project management**

[redacted]

Internally, project performance will be reviewed regularly to ensure that staff resources, project outputs and finances are on target according to the project plan. In the unlikely event of significant issues, these would be escalated to CSE senior management and discussed with BEIS. All work undertaken by CSE staff is logged on timesheets against the appropriate project number and associated task. CSE has internal standards for coding all projects and project proposals for storing and archiving. These are strictly followed and form an integral part of our financial and development tracking systems. CSE complies with additional contract-specific quality monitoring and standards where required by the client. For this project we will ensure our work is recorded and easily accessible to enable review of draft guidance documents by BEIS Project Manager and steering group.

**Quality assurance of reports**

The guidance and research report will be prepared in line with BEIS social research report writing guidelines. Given the likelihood of multiple authors contributing, an editorial review will be undertaken by a separate member of the team [redacted] who has excellent editorial and proof-reading skills. Quality Assurance of the report and guidance will be overseen by [redacted] CSE's Chief Executive, with him reviewing the soundness of content, conclusions and recommendations. CSE's Quality Assurance procedures also include proofing of all draft outputs by a member staff experienced in proof reading. This is typically assigned to someone who has not been involved in delivery of the research and analysis, or the drafting of the document but who has an understanding of the policy context and complexities. [redacted] involvement demonstrates senior management commitment, responsibility and ownership of the work being delivered to BEIS.

[redacted]

purposes, retention schedules, staff access and to prompt creation of any relevant documentation such as a Legitimate Interests Assessment or a Data Protection Impact Assessment. Personal and confidential data stored and utilised by our staff in the course of their work is handled appropriately and stored securely on CSE's server. Access to client confidential data is restricted and managed in line with client requirements. CSE hold Cyber Essentials certification, demonstrating the secureness of our IT systems and processes.

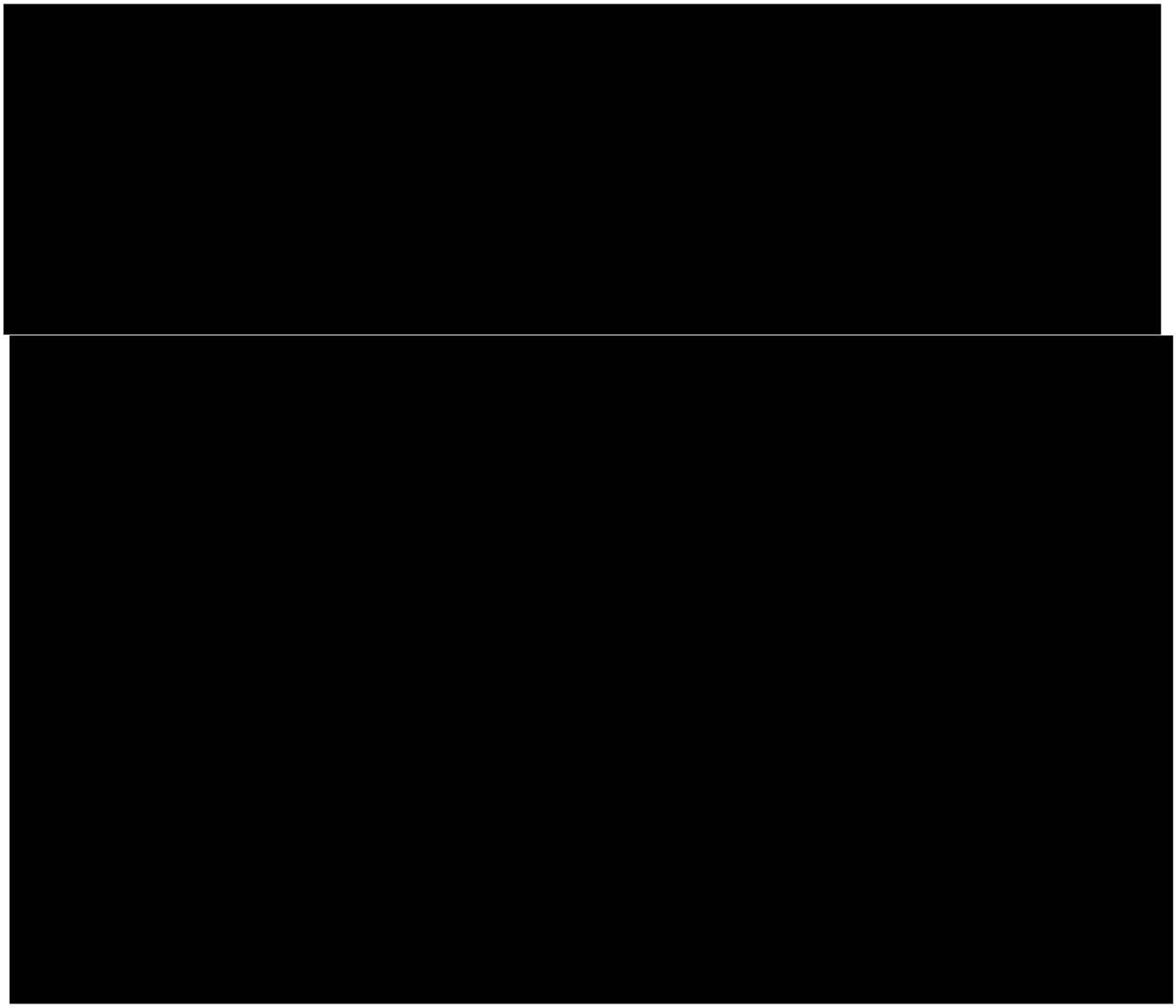
**Staff capability**

The quality of all CSE's work is dependent on employing excellent staff and supporting their professional development. CSE's stringent recruitment process requires a written application, interviews with senior staff, completion of a role-related task as part of the interview process and for some roles, a portfolio of past work is required and references are always sought prior to appointment. Appointments are also subject to a probationary period.

CSE's appraisal system includes assessment of staff's ongoing ability to deliver the core competencies required for their role. Annual appraisals also identify role-specific training and professional development needs. We also have a capability procedure in place to tackle repeated under performance through improvement or dismissal.

In the case of this project all senior CSE staff have relevant qualifications and experience for the role assigned to them (e.g. qualifications in project management, qualitative research design, qualitative data analysis, planning qualifications).

**Qualitative interviews**



# Part 2: Contract Terms

Contract Terms v6.0