



Department
for Environment
Food & Rural Affairs

Defra Future Farming &
Countryside
Programme Commercial
Team
London
England SW1P 3JR

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██████████
University of Exeter
Northcote House the Queen's Drive
Exeter
Devon
EX4 4Q

Our ref: project_27425
Date: 13/02/2020

Dear ██████████

Award of contract for the supply of services – Collaboration and Incentives Commission’ – Exploring the effectiveness of collaborative mechanisms, incentives and alternative approaches for delivering environmental outcomes at large spatial scales through ELM.

Following your proposal for the supply of services to the Department for Environment Food, & Rural Affairs (Defra), to conduct an evidence review, primary research and evaluation report, we are pleased to award this contract to you.

This letter (Award Letter) and Annexes set out the terms of the contract between **Defra** as the Customer and **University of Exeter** as the Contractor for the provision of the Services set out the final agreed Contractor's proposal included at Annex 2 of this Award Letter, including without limitation to deliver the objectives set out in section 1.3 of the Contractor's proposal. Unless the context otherwise requires, capitalised expressions used in this Award Letter have the same meanings as in the terms and conditions of contract set out in Annex 1 to this Award Letter (the "**Conditions**"). In the event of any conflict between this Award Letter and the Conditions, this Award Letter shall prevail. Please do not attach any Contractor terms and conditions to this Award Letter as they will not be accepted by the Customer and may delay the conclusion of the Agreement.

For the purposes of the Agreement, the Customer and the Contractor agree as follows:

- 1) The Charges for the Services shall be as set out in section 2 of the Contractor's proposal attached at Annex 2 of this Award Letter and in the milestone payment schedule attached at Schedule 1 to Annex 2 of this Award Letter
- 2) The Specification of the Services to be supplied by the Contractor is as set out in section 1 of the Contractor's proposal attached at Annex 2 of this Award Letter. Notwithstanding any language in the Contractor proposal to suggest the contrary, the specification of the Service as set out in the Annex 2, including without limitation delivery of the proposed objectives and deliverables within the specified timescales, have been agreed by the Parties as definitive and the proposal form shall be interpreted accordingly (for example, where the proposal states that the Contractor "intends" or "aims" to deliver specified objectives or deliverables, this shall be interpreted as stating the Contractor will deliver the objectives or deliverables).
- 3) The Term shall commence on **19th February 2020** and the Expiry Date shall be **20th December 2020** on which the contract will end unless extended or subject to early termination.
- 4) The address for notices of the Parties are:

Customer

Defra
Nobel House, 17 Smith Square
London
England
SW1P 3JR

Contractor

Attention: [REDACTED]

Email: [REDACTED]

Attention: [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

- 5) The following persons are Key Personnel for the purposes of the Agreement:

[REDACTED]

[REDACTED]

[REDACTED]

- 6) The Customer may require the Contractor to ensure that any person employed in the provision of the Services has undertaken a Disclosure and Barring Service check. The Contractor shall ensure that no person who discloses that he/she has a conviction that is relevant to the nature of the Services, relevant to the work of the Customer, or is of a type otherwise advised by the Customer (each such conviction a “**Relevant Conviction**”), or is found by the Contractor to have a Relevant Conviction (whether as a result of a police check, a Disclosure and Barring Service check or otherwise) is employed or engaged in the provision of any part of the Services.

Payment

All invoices should be sent, quoting a valid purchase order number (PO Number), to: Accounts-Payable.def@sscl.gov.uk or Shared Services Connected Limited, PO Box 790, Phoenix House, Celtic Springs Business Park, Newport, Gwent, NP10 8FZ. Within 10 Working Days of receipt of your acceptance of this letter via Bravo, we will send you a unique PO Number. You must be in receipt of a valid PO Number before submitting an invoice.

To avoid delay in payment it is important that the invoice is compliant and that it includes a valid PO Number, PO Number item number (if applicable) and the details (name and telephone number) of your Customer contact (i.e. Contract Manager). Non-compliant invoices will be sent back to you, which may lead to a delay in payment. If you have a query regarding an outstanding payment please contact our Accounts Payable section either by email to Accounts-Payable.def@sscl.gov.uk or by telephone [REDACTED] Between 09:00-17:00 Monday to Friday.

Liaison

For general liaison your contact will continue to be [REDACTED], Direct Line: [REDACTED] or, in their absence, [REDACTED] Direct Line: [REDACTED]

We thank you for your co-operation to date, and look forward to forging a successful working relationship resulting in a smooth and successful supply of the Services. Acceptance of the award of this contract will be made by electronic signature carried out in accordance with the 1999 EU Directive 99/93 (Community framework for electronic signatures) and the UK Electronic Communications Act 2000. Acceptance of the offer comprised in this Agreement must be made within 7 days from the date of this Award Letter and the Agreement is formed on the date on which the Contractor communicates acceptance on the Customer’s electronic contract management system (“Bravo”). No other form of acknowledgement will be accepted. Please remember to quote the reference number above in any future communications relating to this contract.

Yours sincerely,

[REDACTED] | Defra group Commercial
North Gate House 300 | Reading, RG1 1AF

[REDACTED]
[REDACTED]

Annex 1: Conditions of Contract



Department
for Environment
Food & Rural Affairs

Short Form Contract

Conditions of Contract for Services

Contract Reference ecm_57157

Date : 19 February 2020

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1. Interpretation

1.1 In these terms and conditions:

Term	Description
“Agreement”	means the contract between (i) the Customer acting as part of the Crown and (ii) the Contractor constituted by the Contractor’s acceptance of the Award Letter via Bravo;
“Award Letter”	means the letter from the Customer to the Contractor printed above these terms and conditions;
“Bravo”	means the Customer’s electronic contract management system
“Central Government Body”	means a body listed in one of the following sub-categories of the Central Government classification of the Public Sector Classification Guide, as published and amended from time to time by the Office for National Statistics: <ul style="list-style-type: none"> • Government Department; • Non-Departmental Public Body or Assembly Sponsored Public Body (advisory, executive, or tribunal); • Non-Ministerial Department; or • Executive Agency;
“Charges”	means the charges for the Services as specified in the Award Letter;
“Confidential Information”	means all information, whether written or oral (however recorded), provided by the disclosing Party to the receiving Party and which (i) is known by the receiving Party to be confidential; (ii) is marked as or stated to be confidential; or (iii) ought reasonably to be considered by the receiving Party to be confidential;
“Contractor”	means the person named as Contractor in the Award Letter;
“Controller”	has the meaning given in the GDPR;

“Customer”	means the Secretary of State for Environment, Food and Rural Affairs;
“Data Loss Event”	means any event that results, or may result, in unauthorised access to Personal Data held by the Contractor under this Agreement, and/or actual or potential loss and/or destruction of Personal Data in breach of this Agreement, including any Personal Data Breach;
“Data Protection Impact Assessment”	means an assessment by the Controller of the impact of the envisaged processing on the protection of Personal Data;
“Data Protection Legislation”	means (i) the GDPR, the LED and any applicable national implementing Laws as amended from time to time (ii) the DPA 2018 to the extent that it relates to processing of personal data and privacy; and (iii) all applicable Law about the processing of personal data and privacy;
“Data Protection Officer”	has the meaning given in the GDPR;
“Data Subject”	has the meaning given in the GDPR;
“Data Subject Request”	means a request made by, or on behalf of, a Data Subject in accordance with rights granted pursuant to the Data Protection Legislation to access their Personal Data;
“DPA 2018”	means the Data Protection Act 2018;
“Expiry Date”	means the date for expiry of the Agreement as set out in the Award Letter;
“FOIA”	means the Freedom of Information Act 2000;
“GDPR”	means the General Data Protection Regulation (Regulation (EU) 2016/679);
“Information”	has the meaning given under section 84 of the FOIA;

“Intellectual Property Rights”	means patents, utility models, inventions, trademarks, service marks, logos, design rights (whether registrable or otherwise), applications for any of the foregoing, copyright, database rights, domain names, plant variety rights, know-how, trade or business names, moral rights and other similar rights or obligations whether registrable or not in any country (including but not limited to the United Kingdom) and the right to sue for passing off;
“Key Personnel”	means any persons specified as such in the Award Letter or otherwise notified as such by the Customer to the Contractor in writing;
“Law”	means any law, statute, subordinate legislation within the meaning of section 21(1) of the Interpretation Act 1978, bye-law, enforceable right within the meaning of section 2 of the European Communities Act 1972, regulation, order, regulatory policy, mandatory guidance or code of practice, judgment of a relevant court of law, or directives or requirements of any regulatory body with which the relevant Party is bound to comply;
“LED”	means Law Enforcement Directive (Directive (EU) 2016/680);
“Party”	the Contractor or the Customer (as appropriate) and “Parties” shall mean both of them;
“Personal Data”	has the meaning given in the GDPR;
“Personal Data Breach”	has the meaning given in the GDPR;
“Processor”	has the meaning given in the GDPR;
“Protective Measures”	means appropriate technical and organisational measures which may include: pseudonymising and encrypting Personal Data, ensuring confidentiality, integrity, availability and resilience of systems and services, ensuring that availability of and access to Personal Data can be restored in a timely manner after an incident, and regularly assessing and evaluating the effectiveness of the such measures adopted by it;

“Purchase Order Number”	means the Customer’s unique number relating to the order for Services to be supplied by the Contractor to the Customer in accordance with the terms of the Agreement;
“Request for Information”	has the meaning set out in the FOIA or the Environmental Information Regulations 2004 as relevant (where the meaning set out for the term “request” shall apply);
“Services”	means the services set out in section 1 of the Contractor’s proposal attached at Annex 2 to the Award Letter, including without limitation to deliver the objectives specified at section 1.3 of the proposal and including any modified or alternative services as may be agreed from time to time in accordance with the Agreement;
“Specification”	means the specification for the Services set out in section 1 of the Contractor’s proposal attached at Annex 2 to the Award Letter;
“Staff”	means all directors, officers, employees, agents, consultants and contractors of the Contractor and/or of any sub-contractor of the Contractor engaged in the performance of the Contractor’s obligations under the Agreement;
“Staff Vetting Procedures”	means vetting procedures that accord with good industry practice or, where applicable, the Customer’s procedures for the vetting of personnel as provided to the Contractor from time to time;
“Sub-processor”	means any third party appointed to process Personal Data on behalf of the Contractor related to this Agreement;
“Term”	means the period from the start date of the Agreement set out in the Award Letter to the Expiry Date as such period may be extended in accordance with Clause 4.2 or terminated in accordance with the terms and conditions of the Agreement;
“VAT”	means value added tax in accordance with the provisions of the Value Added Tax Act 1994; and
“Working Day”	means a day (other than a Saturday or Sunday) on which banks are open for business in the City of London.

- 1.2 In these terms and conditions, unless the context otherwise requires:
- 1.2.1 references to numbered clauses are references to the relevant clause in these terms and conditions;
 - 1.2.2 any obligation on any Party not to do or omit to do anything shall include an obligation not to allow that thing to be done or omitted to be done;
 - 1.2.3 the headings to the clauses of these terms and conditions are for information only and do not affect the interpretation of the Agreement;
 - 1.2.4 any reference to an enactment includes reference to that enactment as amended or replaced from time to time and to any subordinate legislation or byelaw made under that enactment; and
 - 1.2.5 the word 'including' shall be understood as meaning 'including without limitation'.

2. Basis of Agreement

- 2.1 The Award Letter constitutes an offer by the Customer to purchase the Services subject to and in accordance with the terms and conditions of the Agreement.
- 2.2 The offer comprised in the Award Letter shall be deemed to be accepted by the Contractor on receipt by the Customer of the Contractor's notification of acceptance via Bravo within 7 days of the date of the Award Letter.

3. Supply of Services

- 3.1 In consideration of the Customer's agreement to pay the Charges, the Contractor shall supply the Services to the Customer for the Term subject to and in accordance with the terms and conditions of the Agreement.
- 3.2 In supplying the Services, the Contractor shall:
 - 3.2.1 co-operate with the Customer in all matters relating to the Services and comply with all the Customer's instructions;
 - 3.2.2 perform the Services with all reasonable care, skill and diligence in accordance with good industry practice in the Contractor's industry, profession or trade;

- 3.2.3 use Staff who are suitably skilled and experienced to perform tasks assigned to them, and in sufficient number to ensure that the Contractor's obligations are fulfilled in accordance with the Agreement;
 - 3.2.4 ensure that the Services shall conform with all descriptions and specifications set out in the Specification;
 - 3.2.5 comply with all applicable laws; and
 - 3.2.6 provide all equipment, tools and vehicles and other items as are required to provide the Services.
- 3.3 The Customer may by written notice to the Contractor at any time request a variation to the scope of the Services. In the event that the Contractor agrees to any variation to the scope of the Services, the Charges shall be subject to fair and reasonable adjustment to be agreed in writing between the Customer and the Contractor.

4. Term

- 4.1 The Agreement shall take effect on the date specified in Award Letter and shall expire on the Expiry Date, unless it is otherwise extended in accordance with clause 4.2 or terminated in accordance with the terms and conditions of the Agreement.
- 4.2 The Customer may extend the Agreement for a period of up to 6 months by giving not less than 10 Working Days' notice in writing to the Contractor prior to the Expiry Date. The terms and conditions of the Agreement shall apply throughout any such extended period.

5. Charges, Payment and Recovery of Sums Due

- 5.1 The Charges for the Services shall be as set out in the Award Letter and shall be the full and exclusive remuneration of the Contractor in respect of the supply of the Services. Unless otherwise agreed in writing by the Customer, the Charges shall include every cost and expense of the Contractor directly or indirectly incurred in connection with the performance of the Services.
- 5.2 All amounts stated are exclusive of VAT which shall be charged at the prevailing rate. The Customer shall, following the receipt of a valid VAT invoice, pay to the Contractor a sum equal to the VAT chargeable in respect of the Services.

- 5.3 The Contractor shall invoice the Customer as specified in the Agreement. Each invoice shall include such supporting information required by the Customer to verify the accuracy of the invoice, including the relevant Purchase Order Number and a breakdown of the Services supplied in the invoice period.
- 5.4 In consideration of the supply of the Services by the Contractor, the Customer shall pay the Contractor the invoiced amounts no later than 30 days after verifying that the invoice is valid and undisputed and includes a valid Purchase Order Number. The Customer may, without prejudice to any other rights and remedies under the Agreement, withhold or reduce payments in the event of unsatisfactory performance.
- 5.5 If there is a dispute between the Parties as to the amount invoiced, the Customer shall pay the undisputed amount. The Contractor shall not suspend the supply of the Services unless the Contractor is entitled to terminate the Agreement for a failure to pay undisputed sums in accordance with clause 16.4. Any disputed amounts shall be resolved through the dispute resolution procedure detailed in clause 19.
- 5.6 If a payment of an undisputed amount is not made by the Customer by the due date, then the Customer shall pay the Contractor interest at the interest rate specified in the Late Payment of Commercial Debts (Interest) Act 1998.
- 5.7 Where the Contractor enters into a sub-contract, the Contractor shall include in that sub-contract:
- 5.7.1 provisions having the same effects as clauses 5.3 to 5.6 of this Agreement; and
- 5.7.2 a provision requiring the counterparty to that sub-contract to include in any sub-contract which it awards provisions having the same effect as 5.3 to 5.7 of this Agreement.
- 5.8 In this clause 5.8, “sub-contract” means a contract between two or more Contractors, at any stage of remoteness from the Authority in a subcontracting chain, made wholly or substantially for the purpose of performing (or contributing to the performance of) the whole or any part of this Agreement.
- 5.9 If any sum of money is recoverable from or payable by the Contractor under the Agreement (including any sum which the Contractor is liable to pay to the Customer in respect of any breach of the Agreement), that sum may be deducted unilaterally by the Customer from any sum then due, or which may come due, to the Contractor under the Agreement or under any other agreement or contract with the Customer. The Contractor shall not be entitled to assert any credit, set-off or counterclaim against the Customer in order to justify withholding payment of any such amount in whole or in part.

6. Premises and equipment

- 6.1 If necessary, the Customer shall provide the Contractor with reasonable access at reasonable times to its premises for the purpose of supplying the Services. All equipment, tools and vehicles brought onto the Customer's premises by the Contractor or the Staff shall be at the Contractor's risk.
- 6.2 If the Contractor supplies all or any of the Services at or from the Customer's premises, on completion of the Services or termination or expiry of the Agreement (whichever is the earlier) the Contractor shall vacate the Customer's premises, remove the Contractor's plant, equipment and unused materials and all rubbish arising out of the provision of the Services and leave the Customer's premises in a clean, safe and tidy condition. The Contractor shall be solely responsible for making good any damage to the Customer's premises or any objects contained on the Customer's premises which is caused by the Contractor or any Staff, other than fair wear and tear.
- 6.3 If the Contractor supplies all or any of the Services at or from its premises or the premises of a third party, the Customer may, during normal business hours and on reasonable notice, inspect and examine the manner in which the relevant Services are supplied at or from the relevant premises.
- 6.4 The Customer shall be responsible for maintaining the security of its premises in accordance with its standard security requirements. While on the Customer's premises the Contractor shall, and shall procure that all Staff shall, comply with all the Customer's security requirements.
- 6.5 Where all or any of the Services are supplied from the Contractor's premises, the Contractor shall, at its own cost, comply with all security requirements specified by the Customer in writing.
- 6.6 Without prejudice to clause 3.2.6, any equipment provided by the Customer for the purposes of the Agreement shall remain the property of the Customer and shall be used by the Contractor and the Staff only for the purpose of carrying out the Agreement. Such equipment shall be returned promptly to the Customer on expiry or termination of the Agreement.
- 6.7 The Contractor shall reimburse the Customer for any loss or damage to the equipment (other than deterioration resulting from normal and proper use) caused by the Contractor or any Staff. Equipment supplied by the Customer shall be deemed to be in a good condition when received by the Contractor or relevant Staff unless the Customer is notified otherwise in writing within 5 Working Days.

7. Staff and Key Personnel

7.1 If the Customer reasonably believes that any of the Staff are unsuitable to undertake work in respect of the Agreement, it may, by giving written notice to the Contractor:

7.1.1 refuse admission to the relevant person(s) to the Customer's premises;

7.1.2 direct the Contractor to end the involvement in the provision of the Services of the relevant person(s); and/or

7.1.3 require that the Contractor replace any person removed under this clause with another suitably qualified person and procure that any security pass issued by the Customer to the person removed is surrendered,

and the Contractor shall comply with any such notice.

7.2 The Contractor shall:

7.2.1 ensure that all Staff are vetted in accordance with the Staff Vetting Procedures;

7.2.2 if requested, provide the Customer with a list of the names and addresses (and any other relevant information) of all persons who may require admission to the Customer's premises in connection with the Agreement; and

7.2.3 procure that all Staff comply with any rules, regulations and requirements reasonably specified by the Customer.

7.3 Any Key Personnel shall not be released from supplying the Services without the agreement of the Customer, except by reason of long-term sickness, maternity leave, paternity leave, termination of employment or other extenuating circumstances.

7.4 Any replacements to the Key Personnel shall be subject to the prior written agreement of the Customer (not to be unreasonably withheld). Such replacements shall be of at least equal status or of equivalent experience and skills to the Key Personnel being replaced and be suitable for the responsibilities of that person in relation to the Services.

8. Assignment and sub-contracting

8.1 The Contractor shall not without the written consent of the Customer assign, sub-contract, novate or in any way dispose of the benefit and/ or the burden of the Agreement or any part of the Agreement. The Customer may, in the granting of such consent, provide for

additional terms and conditions relating to such assignment, sub-contract, novation or disposal. The Contractor shall be responsible for the acts and omissions of its sub-contractors as though those acts and omissions were its own.

- 8.2 Where the Customer has consented to the placing of sub-contracts, the Contractor shall, at the request of the Customer, send copies of each sub-contract, to the Customer as soon as is reasonably practicable.
- 8.3 The Customer may assign, novate, or otherwise dispose of its rights and obligations under the Agreement without the consent of the Contractor provided that such assignment, novation or disposal shall not increase the burden of the Contractor's obligations under the Agreement.

9. Intellectual Property Rights

- 9.1 All Intellectual Property Rights in any materials provided by the Customer to the Contractor for the purposes of this Agreement shall remain the property of the Customer but the Customer hereby grants the Contractor a royalty-free, non-exclusive and non-transferable licence to use such materials as required until termination or expiry of the Agreement for the sole purpose of enabling the Contractor to perform its obligations under the Agreement.
- 9.2 All Intellectual Property Rights in any materials created or developed by the Contractor pursuant to the Agreement or arising as a result of the provision of the Services shall vest in the Contractor. If, and to the extent, that any Intellectual Property Rights in such materials vest in the Customer by operation of law, the Customer hereby assigns to the Contractor by way of a present assignment of future rights that shall take place immediately on the coming into existence of any such Intellectual Property Rights all its Intellectual Property Rights in such materials.
- 9.3 The Contractor hereby grants the Customer:
- 9.3.1 a perpetual, royalty-free, irrevocable, non-exclusive licence (with a right to sub-license) to use all Intellectual Property Rights in the materials created or developed pursuant to the Agreement and any Intellectual Property Rights arising as a result of the provision of the Services; and
- 9.3.2 a perpetual, royalty-free, irrevocable and non-exclusive licence (with a right to sub-license) to use:

- a. any Intellectual Property Rights vested in or licensed to the Contractor on the date of the Agreement; and
- b. any Intellectual Property Rights created during the Term but which are neither created or developed pursuant to the Agreement nor arise as a result of the provision of the Services,

including any modifications to or derivative versions of any such Intellectual Property Rights, which the Customer reasonably requires in order to exercise its rights and take the benefit of the Agreement including the Services provided.

- 9.4 The Contractor shall indemnify, and keep indemnified, the Customer in full against all costs, expenses, damages and losses (whether direct or indirect), including any interest, penalties, and reasonable legal and other professional fees awarded against or incurred or paid by the Customer as a result of or in connection with any claim made against the Customer for actual or alleged infringement of a third party's intellectual property arising out of, or in connection with, the supply or use of the Services, to the extent that the claim is attributable to the acts or omission of the Contractor or any Staff.

10. Governance and Records

- 10.1. The Contractor shall:

10.1.1. attend progress meetings with the Customer at the frequency and times specified by the Customer and shall ensure that its representatives are suitably qualified to attend such meetings; and

10.1.2. submit progress reports to the Customer at the times and in the format specified by the Customer.

10.2. The Contractor shall keep and maintain until 6 years after the end of the Agreement, or as long a period as may be agreed between the Parties, full and accurate records of the Agreement including the Services supplied under it and all payments made by the Customer. The Contractor shall on request afford the Customer or the Customer's representatives such access to those records as may be reasonably requested by the Customer in connection with the Agreement.

11. Confidentiality, Transparency and Publicity

- 11.1. Subject to clause 11.2, each Party shall:

- 11.1.1. treat all Confidential Information it receives as confidential, safeguard it accordingly and not disclose it to any other person without the prior written permission of the disclosing Party; and
- 11.1.2. not use or exploit the disclosing Party's Confidential Information in any way except for the purposes anticipated under the Agreement.
- 11.2. Notwithstanding clause 11.1, a Party may disclose Confidential Information which it receives from the other Party:
 - 11.2.1. where disclosure is required by applicable law or by a court of competent jurisdiction;
 - 11.2.2. to its auditors or for the purposes of regulatory requirements;
 - 11.2.3. on a confidential basis, to its professional advisers;
 - 11.2.4. to the Serious Fraud Office where the Party has reasonable grounds to believe that the other Party is involved in activity that may constitute a criminal offence under the Bribery Act 2010;
 - 11.2.5. where the receiving Party is the Contractor, to the Staff on a need to know basis to enable performance of the Contractor's obligations under the Agreement provided that the Contractor shall procure that any Staff to whom it discloses Confidential Information pursuant to this clause 11.2.5 shall observe the Contractor's confidentiality obligations under the Agreement; and
 - 11.2.6. where the receiving Party is the Customer:
 - a) on a confidential basis to the employees, agents, consultants and contractors of the Customer;
 - b) on a confidential basis to any other Central Government Body, any successor body to a Central Government Body or any company to which the Customer transfers or proposes to transfer all or any part of its business;
 - c) to the extent that the Customer (acting reasonably) deems disclosure necessary or appropriate in the course of carrying out its public functions; or
 - d) in accordance with clause 12.

and for the purposes of the foregoing, references to disclosure on a confidential basis shall mean disclosure subject to a confidentiality agreement or arrangement containing terms no less stringent than those placed on the Customer under this clause 11.

- 11.3. The Parties acknowledge that, except for any information which is exempt from disclosure in accordance with the provisions of the FOIA, the content of the Agreement is not Confidential Information and the Contractor hereby gives its consent for the Customer to publish this Agreement in its entirety to the general public (but with any information that is exempt from disclosure in accordance with the FOIA redacted) including any changes to the Agreement agreed from time to time. The Customer may consult with the Contractor to inform its decision regarding any redactions but shall have the final decision in its absolute discretion whether any of the content of the Agreement is exempt from disclosure in accordance with the provisions of the FOIA.
- 11.4. The Contractor shall not, and shall take reasonable steps to ensure that the Staff shall not, make any press announcement or publicise the Agreement or any part of the Agreement in any way, except with the prior written consent of the Customer.

12. Freedom of Information

- 12.1 The Contractor acknowledges that the Customer is subject to the requirements of the FOIA and the Environmental Information Regulations 2004 and shall:
 - 12.1.1 provide all necessary assistance and cooperation as reasonably requested by the Customer to enable the Customer to comply with its obligations under the FOIA and the Environmental Information Regulations 2004;
 - 12.1.2 transfer to the Customer all Requests for Information relating to this Agreement that it receives as soon as practicable and in any event within 2 Working Days of receipt;
 - 12.1.3 provide the Customer with a copy of all Information belonging to the Customer requested in the Request for Information which is in its possession or control in the form that the Customer requires within 5 Working Days (or such other period as the Customer may reasonably specify) of the Customer's request for such Information; and
 - 12.1.4 not respond directly to a Request for Information unless authorised in writing to do so by the Customer.
- 12.2 The Contractor acknowledges that the Customer may be required under the FOIA and the Environmental Information Regulations 2004 to disclose Information concerning the Contractor or the Services (including commercially sensitive information) without

consulting or obtaining consent from the Contractor. In these circumstances the Customer shall, in accordance with any relevant guidance issued under the FOIA, take reasonable steps, where appropriate, to give the Contractor advance notice, or failing that, to draw the disclosure to the Contractor's attention after any such disclosure.

- 12.3 Notwithstanding any other provision in the Agreement, the Customer shall be responsible for determining in its absolute discretion whether any Information relating to the Contractor or the Services is exempt from disclosure in accordance with the FOIA and/or the Environmental Information Regulations 2004.

13. Protection of Personal Data and Security of Data

- 13.1. The Parties acknowledge that for the purposes of the Data Protection Legislation, the Customer is the Controller and the Contractor is the Processor unless otherwise specified in Schedule 1. The only processing that the Contractor is authorised to do is listed in Schedule 1 by the Customer and may not be determined by the Contractor.
- 13.2. The Contractor shall notify the Customer immediately if it considers that any of the Customer's instructions infringe the Data Protection Legislation.
- 13.3. The Contractor shall provide all reasonable assistance to the Customer in the preparation of any Data Protection Impact Assessment prior to commencing any processing. Such assistance may, at the discretion of the Customer, include:
- a. a systematic description of the envisaged processing operations and the purpose of the processing;
 - b. an assessment of the necessity and proportionality of the processing operations in relation to the Services;
 - c. an assessment of the risks to the rights and freedoms of Data Subjects; and
 - d. the measures envisaged to address the risks, including safeguards, security measures and mechanisms to ensure the protection of Personal Data.
- 13.4. The Contractor shall, in relation to any Personal Data processed in connection with its obligations under this Agreement:
- a. process that Personal Data only in accordance with Schedule 1 unless the Contractor is required to do otherwise by Law. If it is so required the Contractor shall promptly notify the Customer before processing the Personal Data unless prohibited by Law;

- b. ensure that it has in place Protective Measures which are appropriate to protect against a Data Loss Event, which the Customer may reasonably reject (but failure to reject shall not amount to approval by the Customer of the adequacy of the Protective Measures), having taken account of the:
 - i. nature of the data to be protected;
 - ii. harm that might result from a Data Loss Event;
 - iii. state of technological development; and
 - iv. cost of implementing any measures;
- c. ensure that :
 - i. the Staff do not process Personal Data except in accordance with this Agreement (and in particular Schedule 1);
 - ii. it takes all reasonable steps to ensure the reliability and integrity of any Staff who have access to the Personal Data and ensure that they:
 - 1. are aware of and comply with the Contractor's duties under this clause;
 - 2. are subject to appropriate confidentiality undertakings with the Contractor or any Sub-processor;
 - 3. are informed of the confidential nature of the Personal Data and do not publish, disclose or divulge any of the Personal Data to any third party unless directed in writing to do so by the Customer or as otherwise permitted by this Agreement; and
 - 4. have undergone adequate training in the use, care, protection and handling of Personal Data; and
- d. not transfer Personal Data outside of the European Union unless the prior written consent of the Customer has been obtained and the following conditions are fulfilled:
 - i. the Customer or the Contractor has provided appropriate safeguards in relation to the transfer (whether in accordance with the GDPR Article 46 or LED Article 37) as determined by the Customer;

- ii. the Data Subject has enforceable rights and effective legal remedies;
 - iii. the Contractor complies with its obligations under the Data Protection Legislation by providing an adequate level of protection to any Personal Data that is transferred (or, if it is not so bound, uses its best endeavours to assist the Customer in meeting its obligations); and
 - iv. the Contractor complies with any reasonable instructions notified to it in advance by the Customer with respect to the processing of the Personal Data;
- e. at the written direction of the Customer, delete or return Personal Data (and any copies of it) to the Customer on termination of the Agreement unless the Contractor is required by Law to retain the Personal Data.
- 13.5. Subject to clause 13.6 the Contractor shall notify the Customer immediately if, in relation to any Personal Data processed in connection with its obligations under this Agreement, it:
- a. receives a Data Subject Request (or purported Data Subject Request);
 - b. receives a request to rectify, block or erase any Personal Data;
 - c. receives any other request, complaint or communication relating to either Party's obligations under the Data Protection Legislation;
 - d. receives any communication from the Information Commissioner or any other regulatory authority;
 - e. receives a request from any third party for disclosure of Personal Data where compliance with such request is required or purported to be required by Law; or
 - f. becomes aware of a Data Loss Event.
- 13.6. The Contractor's obligation to notify under clause 13.5 shall include the provision of further information to the Customer in phases, as details become available.
- 13.7. Taking into account the nature of the processing, the Contractor shall provide the Customer with full assistance in relation to either Party's obligations under Data Protection Legislation in relation to any Personal Data processed in connection with its obligations under this Agreement and any complaint, communication or request made under Clause 13.5 (and insofar as possible within the timescales reasonably required by the Customer) including by promptly providing:

- a. the Customer with full details and copies of the complaint, communication or request;
- b. such assistance as is reasonably requested by the Customer to enable the Customer to comply with a Data Subject Request within the relevant timescales set out in the Data Protection Legislation;
- c. the Customer, at its request, with any Personal Data it holds in relation to a Data Subject;
- d. assistance as requested by the Customer following any Data Loss Event;
- e. assistance as requested by the Customer with respect to any request from the Information Commissioner's Office, or any consultation by the Customer with the Information Commissioner's Office.

13.8. The Contractor shall maintain complete and accurate records and information to demonstrate its compliance with this clause 13. This requirement does not apply where the Contractor employs fewer than 250 staff, unless:

- a. the Customer determines that the processing is not occasional;
- b. the Customer determines the processing includes special categories of data as referred to in Article 9(1) of the GDPR or Personal Data relating to criminal convictions and offences referred to in Article 10 of the GDPR; or
- c. the Customer determines that the processing is likely to result in a risk to the rights and freedoms of Data Subjects.

13.9. The Contractor shall allow for audits of its Personal Data processing activity by the Customer or the Customer's designated auditor.

13.10. Each Party shall designate its own Data Protection Officer if required by the Data Protection Legislation.

13.11. Before allowing any Sub-processor to process any Personal Data related to this Agreement, the Contractor must:

- a. notify the Customer in writing of the intended Sub-processor and processing;
- b. obtain the written consent of the Customer;

- c. enter into a written agreement with the Sub-processor which give effect to the terms set out in this clause 13 such that they apply to the Sub-processor; and
 - d. provide the Customer with such information regarding the Sub-processor as the Customer may reasonably require.
- 13.12. The Contractor shall remain fully liable for all acts or omissions of any of its Sub-processors.
- 13.13. The Customer may, at any time on not less than 30 Working Days' notice, revise this clause by replacing it with any applicable controller to processor standard clauses or similar terms forming part of an applicable certification scheme (which shall apply when incorporated by attachment to this Agreement).
- 13.14. The Parties agree to take account of any non-mandatory guidance issued by the Information Commissioner's Office. The Customer may on not less than 30 Working Days' notice to the Contractor amend this Agreement to ensure that it complies with any guidance issued by the Information Commissioner's Officer.
- 13.15. When handling Customer data (whether or not Personal Data), the Contractor shall ensure the security of the data is maintained in line with the security requirements of the Customer as notified to the Contractor from time to time.
- 13.16. This clause 13 shall apply during the Term and indefinitely after its expiry.

14. Liability

- 14.1 The Contractor shall not be responsible for any injury, loss, damage, cost or expense suffered by the Customer if and to the extent that it is caused by the negligence or wilful misconduct of the Customer or by breach by the Customer of its obligations under the Agreement.
- 14.2 Subject always to clauses 14.3 and 14.4:
- 14.2.1 the aggregate liability of the Contractor in respect of all defaults, claims, losses or damages howsoever caused, whether arising from breach of the Agreement, the supply or failure to supply of the Services, misrepresentation (whether tortious or statutory), tort (including negligence), breach of statutory duty or otherwise shall in no event exceed a sum equal to 125% of the Charges paid or payable to the Contractor; and

14.2.2 except in the case of claims arising under clauses 9.4 and 18.3, in no event shall the Contractor be liable to the Customer for any:

- a) loss of profits;
- b) loss of business;
- c) loss of revenue;
- d) loss of or damage to goodwill;
- e) loss of savings (whether anticipated or otherwise); and/or
- f) any indirect, special or consequential loss or damage.

14.3 Nothing in the Agreement shall be construed to limit or exclude either Party's liability for:

14.3.1 death or personal injury caused by its negligence or that of its Staff;

14.3.2 fraud or fraudulent misrepresentation by it or that of its Staff; or

14.3.3 any other matter which, by law, may not be excluded or limited.

14.4 The Contractor's liability under the indemnity in clause 9.4 and 18.3 shall be unlimited.

15. Force Majeure

15.1 Neither Party shall have any liability under or be deemed to be in breach of the Agreement for any delays or failures in performance of the Agreement which result from circumstances beyond the reasonable control of the Party affected. Each Party shall promptly notify the other Party in writing when such circumstances cause a delay or failure in performance and when they cease to do so. If such circumstances continue for a continuous period of more than two months, either Party may terminate the Agreement by written notice to the other Party.

16. Termination

16.1 The Customer may terminate the Agreement at any time by notice in writing to the Contractor to take effect on any date falling at least 1 month (or, if the Agreement is less

than 3 months in duration, at least 10 Working Days) later than the date of service of the relevant notice.

- 16.2 Without prejudice to any other right or remedy it might have, the Customer may terminate the Agreement by written notice to the Contractor with immediate effect if the Contractor:
- 16.2.1 (without prejudice to clause 16.2.5), is in material breach of any obligation under the Agreement which is not capable of remedy;
 - 16.2.2 repeatedly breaches any of the terms and conditions of the Agreement in such a manner as to reasonably justify the opinion that its conduct is inconsistent with it having the intention or ability to give effect to the terms and conditions of the Agreement;
 - 16.2.3 is in material breach of any obligation which is capable of remedy, and that breach is not remedied within 30 days of the Contractor receiving notice specifying the breach and requiring it to be remedied;
 - 16.2.4 undergoes a change of control within the meaning of section 416 of the Income and Corporation Taxes Act 1988;
 - 16.2.5 breaches any of the provisions of clauses 7.2, 11, 12, 13 or 17;
 - 16.2.6 becomes insolvent, or if an order is made or a resolution is passed for the winding up of the Contractor (other than voluntarily for the purpose of solvent amalgamation or reconstruction), or if an administrator or administrative receiver is appointed in respect of the whole or any part of the Contractor's assets or business, or if the Contractor makes any composition with its creditors or takes or suffers any similar or analogous action (to any of the actions detailed in this clause 16.2.6) in consequence of debt in any jurisdiction;
or
 - 16.2.7 fails to comply with legal obligations in the fields of environmental, social or labour law.
- 16.3 The Contractor shall notify the Customer as soon as practicable of any change of control as referred to in clause 16.2.4 or any potential such change of control.
- 16.4 The Contractor may terminate the Agreement by written notice to the Customer if the Customer has not paid any undisputed amounts within 90 days of them falling due.
- 16.5 Termination or expiry of the Agreement shall be without prejudice to the rights of either Party accrued prior to termination or expiry and shall not affect the continuing rights of the Parties under this clause and clauses 2, 3.2, 6.1, 6.2, 6.6, 6.7, 7, 9, 10.2, 11, 12, 13, 14,

16.6, 17.4, 18.3, 19 and 20.7 or any other provision of the Agreement that either expressly or by implication has effect after termination.

16.6 Upon termination or expiry of the Agreement, the Contractor shall:

16.6.1 give all reasonable assistance to the Customer and any incoming Contractor of the Services; and

16.6.2 return all requested documents, information and data to the Customer as soon as reasonably practicable.

17. Compliance

17.1 The Contractor shall promptly notify the Customer of any health and safety hazards which may arise in connection with the performance of its obligations under the Agreement. The Customer shall promptly notify the Contractor of any health and safety hazards which may exist or arise at the Customer's premises and which may affect the Contractor in the performance of its obligations under the Agreement.

17.2 The Contractor shall:

17.2.1 comply with all the Customer's health and safety measures while on the Customer's premises; and

17.2.2 notify the Customer immediately in the event of any incident occurring in the performance of its obligations under the Agreement on the Customer's premises where that incident causes any personal injury or damage to property which could give rise to personal injury.

17.3 The Contractor shall:

17.3.1 perform its obligations under the Agreement in accordance with all applicable equality Law and the Customer's equality and diversity policy as provided to the Contractor from time to time; and

17.3.2 take all reasonable steps to secure the observance of clause 17.3.1 by all Staff.

17.4 The Contractor shall supply the Services in accordance with the Customer's environmental policy as provided to the Contractor from time to time.

17.5 The Contractor shall comply with, and shall ensure that its Staff shall comply with, the provisions of:

17.5.1 the Official Secrets Acts 1911 to 1989; and

17.5.2 section 182 of the Finance Act 1989.

18. Prevention of Fraud and Corruption

18.1 The Contractor shall not offer, give, or agree to give anything, to any person an inducement or reward for doing, refraining from doing, or for having done or refrained from doing, any act in relation to the obtaining or execution of the Agreement or for showing or refraining from showing favour or disfavour to any person in relation to the Agreement.

18.2 The Contractor shall take all reasonable steps, in accordance with good industry practice, to prevent fraud by the Staff and the Contractor (including its shareholders, members and directors) in connection with the Agreement and shall notify the Customer immediately if it has reason to suspect that any fraud has occurred or is occurring or is likely to occur.

18.3 If the Contractor or the Staff engages in conduct prohibited by clause 18.1 or commits fraud in relation to the Agreement or any other contract with the Crown (including the Customer) the Customer may:

18.3.1 terminate the Agreement and recover from the Contractor the amount of any loss suffered by the Customer resulting from the termination, including the cost reasonably incurred by the Customer of making other arrangements for the supply of the Services and any additional expenditure incurred by the Customer throughout the remainder of the Agreement; or

18.3.2 recover in full from the Contractor any other loss sustained by the Customer in consequence of any breach of this clause.

19. Dispute Resolution

19.1 The Parties shall attempt in good faith to negotiate a settlement to any dispute between them arising out of or in connection with the Agreement and such efforts shall involve the escalation of the dispute to an appropriately senior representative of each Party.

19.2 If the dispute cannot be resolved by the Parties within one month of being escalated as referred to in clause 19.1, the dispute may by agreement between the Parties be referred to a neutral adviser or mediator (the "Mediator") chosen by agreement between the Parties. All negotiations connected with the dispute shall be conducted in confidence and without prejudice to the rights of the Parties in any further proceedings.

19.3 If the Parties fail to appoint a Mediator within one month, or fail to enter into a written agreement resolving the dispute within one month of the Mediator being appointed, either Party may exercise any remedy it has under applicable law.

20. General

20.1 Each of the Parties represents and warrants to the other that it has full capacity and authority, and all necessary consents, licences and permissions to enter into and perform its obligations under the Agreement, and that the Agreement is executed by its duly authorised representative.

20.2 A person who is not a party to the Agreement shall have no right to enforce any of its provisions which, expressly or by implication, confer a benefit on him, without the prior written agreement of the Parties.

20.3 The Agreement cannot be varied except in writing signed by a duly authorised representative of both the Parties.

20.4 The Agreement contains the whole agreement between the Parties and supersedes and replaces any prior written or oral agreements, representations or understandings between them. The Parties confirm that they have not entered into the Agreement on the basis of any representation that is not expressly incorporated into the Agreement. Nothing in this clause shall exclude liability for fraud or fraudulent misrepresentation.

20.5 Any waiver or relaxation either partly, or wholly of any of the terms and conditions of the Agreement shall be valid only if it is communicated to the other Party in writing and expressly stated to be a waiver. A waiver of any right or remedy arising from a breach of contract shall not constitute a waiver of any right or remedy arising from any other breach of the Agreement.

20.6 The Agreement shall not constitute or imply any partnership, joint venture, agency, fiduciary relationship or other relationship between the Parties other than the contractual relationship expressly provided for in the Agreement. Neither Party shall have, nor represent that it has, any authority to make any commitments on the other Party's behalf.

20.7 Except as otherwise expressly provided by the Agreement, all remedies available to either Party for breach of the Agreement (whether under the Agreement, statute or common law) are cumulative and may be exercised concurrently or separately, and the exercise of one remedy shall not be deemed an election of such remedy to the exclusion of other remedies.

20.8 If any provision of the Agreement is prohibited by law or judged by a court to be unlawful, void or unenforceable, the provision shall, to the extent required, be severed from the Agreement and rendered ineffective as far as possible without modifying the remaining provisions of the Agreement, and shall not in any way affect any other circumstances of or the validity or enforcement of the Agreement.

21. Notices

21.1 Any notice to be given under the Agreement shall be in writing and may be served by personal delivery, first class recorded or, subject to clause 21.3, e-mail to the address of the relevant Party set out in the Award Letter, or such other address as that Party may from time to time notify to the other Party in accordance with this clause:

21.2 Notices served as above shall be deemed served on the Working Day of delivery provided delivery is before 5.00pm on a Working Day. Otherwise delivery shall be deemed to occur on the next Working Day. An email shall be deemed delivered when sent unless an error message is received.

21.3 Notices under clauses 15 (Force Majeure) and 16 (Termination) may be served by email only if the original notice is then sent to the recipient by personal delivery or recorded delivery in the manner set out in clause 21.1.

22. Governing Law and Jurisdiction

22.1 The validity, construction and performance of the Agreement, and all contractual and non contractual matters arising out of it, shall be governed by English law and shall be subject to the exclusive jurisdiction of the English courts to which the Parties submit.

SCHEDULE 1 - PROCESSING, PERSONAL DATA AND DATA SUBJECTS

1. This Schedule shall be completed by the Customer, who may take account of the view of the Contractor, however the final decision as to the content of this Schedule shall be with the Customer at its absolute discretion.

2. The contact details of the Customer Data Protection Officer are:

Defra Group Data Protection Officer, Department for Environment, Food and Rural Affairs, SW Quarter, 2nd floor, Seacole Block, 2 Marsham Street, London SW1P
 Email: DefraGroupDataProtectionOfficer@defra.gov.uk

3. The contact details of the Contractor Data Protection Officer are:

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4. The Contractor shall comply with any further written instructions with respect to processing by the Customer.

5. Any such further instructions shall be incorporated into this Schedule.

Data Processing descriptor	Narrative
Identity of the Controller and Processor	The Parties acknowledge that for the purposes of the Data Protection Legislation, the Customer is the Controller and the Contractor is the Processor in accordance with Clause 13.1.
Subject matter of the processing	The processing is needed in order to ensure that the Processor can effectively deliver the Services and to inform research and development of the Environmental Land Management Collaboration and Incentives Commission.
Duration of the processing	From <u>February 19th 2020</u> until December 20th 2020
Nature and purposes of the processing	Data processing is required to fulfil research activities which involve both review of secondary (published) documentation and primary research with participants who are members of the public of civil servants. The nature of the processing may include collection, recording, organisation, structuring, storage, adaptation or alteration, retrieval, consultation, use, disclosure by transmission, dissemination or otherwise making available, alignment or combination, restriction, erasure or destruction of data (whether or not by automated means).

	<p>Typically this will involve processing data for the purposes of identifying, contacting, interviewing, transcribing / notetaking, and analysing research data, subsequently written up into analytical products (e.g. a research report) following the Government Social Research approach. It may also accessing supplementary materials, such as documents relating to projects or initiatives, under the same terms as set out above, including where those documents are not publically available.</p> <p>The purpose is to provide the Service in relation delivery of the Services of the Environmental Land Management Collaboration and Incentives Commission.</p>
Type of Personal Data	Names, addresses, telephone numbers, email addresses, images and associated data and any other personal data as may be outlined in the Specification.
Categories of Data Subject	The Customer and ALB staff members, staff at organisations involved in land management collaboration activities (including volunteers, agents, and temporary workers), farmers and other land managers, land manager advisers (e.g. farm advisers)
<p>Plan for return and destruction of the data once the processing is complete</p> <p>UNLESS requirement under union or member state law to preserve that type of data</p>	The data will be retained for no longer than it is necessary for the purposes for which it is processed and in any event no longer than until the later of (i) 1 December 2027, and (ii) until research and development of the Environmental Land Management Collaboration and Incentives Commission has finished. At that point all personal data will either be destroyed or returned to the Customer.

Annex 2:- Contractor Proposal

E001. Knowledge & Expertise

The CRPR (University of Exeter) and CCRI (University of Gloucestershire) team offers extensive and established expertise in evaluation of collaborative mechanisms and other approaches for delivering joined-up environmental outcomes at scale, and a particularly well developed understanding of farmer behaviours in this context. Fielding a team who are recognised experts in the field, we offer the research rigour, intellectual merit, expertise and sector credibility that means we are ideally placed to deliver this project. As well as these strengths, the team offers:

- **A sound understanding** of the issues pertaining to effective approaches for collaborative approaches in the context of ELMs development, and of existing evidence base.
- The expertise and breadth of understanding to draw on a full range of **economic, social and environmental evidence** to determine effectiveness of approaches.
- **Extensive knowledge and experience of the conceptual, methodological and empirical advances** in understanding collaborative approaches for environmental outcomes at scale.
- **A solid track record** of delivering high quality commissioned research to time and within budget to support policy development (to a diverse range of funders, including the UK government and its agencies, the EU, Research Councils, UK charities and NGOs).
- **Substantive, long-standing experience** in social science issues relating to farmer behaviours and decision making, and environmental land management.

As a partnership, CRPR and CCRI have complementary skills and a shared depth of understanding, ethos and intellectual rigour which will allow them to complete the evidence review, primary research and evaluation report to a high standard. They will collectively draw on their large range of contacts built up over many years to identify literature sources, case studies and interviewees. The team have already worked together, for example on a two-year study for Defra on Farmer attitudes towards and evaluation of outcomes to on-farm environmental management (2010-12) and currently on a project for Natural England identifying social indicators for social outcomes from agri-environment schemes and how these link to environmental outcomes.

Knowledge and experience of developing evidence reviews, policy evaluations and qualitative research methods to identify and analyse what works, where and for whom

The experience of the team, steered by senior academics, will allow them to develop and deliver a robust methodology for achieving the requirements (1-3 in E002). As respected researchers in the field with many peer reviewed publications, the team will draw on extensive research skills to ensure consistency and rigour in their approach. They will also apply disciplinary knowledge from their respective social, economic and environmental backgrounds.

Both partners have extensive experience of developing and completing evidence reviews in different contexts and with degrees of rigour. These have ranged from systematic to narrative literature reviews, all structured to some extent by a sound analytical framework and based on a critical appraisal of relevance and robustness of the evidence. For example, a systematic review of the evidence to identify social indicators to assess the social outcomes from Agri-Environmental Schemes (AES), currently being undertaken for Natural England, applies these principles and has covered much of the literature that will be

assessed in the proposed study (**Mills, Gaskell and Lobley**). Similar scoping exercises have been conducted as preliminary studies in the projects listed below. We will apply expertise gained from these studies to develop and implement the Rapid Evidence Assessment (REA) as described in E003. The team's previous experience of conducting multi-criteria analyses of environmental (including landscape-scale) initiatives (Economics of Co-ordination in Environmental Stewardship for Defra and Natural England) will also be applied in the REA. Sound conceptual understanding of causal linkages as evidenced in CCRI publications (Mills et al., 2011, 2016; Ingram et al.2013)¹ will also allow a more in-depth interpretation of the review findings.

The team's experience of policy evaluation is also wide reaching both in topic and in approach. Previous research has looked at the effectiveness of a range of rural development and agri-environment policies at different governance levels and provided evidence and recommendations for policy decision making at European, national and local levels. A 'What Works' approach has allowed us to provide guidance to policy makers for actionable decision making, using many formats including recommendations (Mills et al., 2008), policy briefs (Agridemo) and tool kits (Pegasus), and condensing outputs into principles for best practice (Wilkinson and Lobley 2017²).

CRPR and CCRI are recognised experts in qualitative social science research methods, and have a long history of applying these to understanding farmer behaviours with respect to the effectiveness of different interventions and support. We believe design and implementation of a research project requires a sound conceptual understanding and analytical framework as a basis for evidence reviews, sampling strategies, interview questions and analytical approaches and synthesis, as proposed in E003. Our team will draw on its extensive experience of interviewing, both face-to-face and telephone interviews, and on its strong analytical techniques, using for example, state of the art tools like NVIVO, to ensure the rigour required for this study is achieved. Drawing together the results from the first two phases through synthesis techniques will also be an important stage of the research on which we can apply our collective research expertise.

Relevant Projects include:

- *Evaluation of key factors that lead to successful agri-environment co-operative schemes (2008)* for Welsh Assembly Government. Led by **Mills**, with **Ingram** and **Lewis**, this project sought to identify the challenges and appropriate policy approaches to securing successful agri-environment co-operation in Wales. The research involved a comprehensive literature review, an in-depth study of three farmer co-operatives in Wales, including face-to-face interviews, social network analysis and participatory workshops. The research highlighted issues of social capital, trust, transaction costs and made 30 recommendations on appropriate mechanisms to be used in collective AES and ways of developing agri-environment co-operative working through farmer engagement and group capacity building.

¹ Mills, J., Gaskell, P., Ingram, J., Dwyer, J., Reed, M. and Short, C. (2016). Engaging farmers in environmental management through a better understanding of behaviour. *Agriculture and Human Values*, 1-17; Ingram, J., Gaskell, P., Mills, J. and Short, C. (2013). Incorporating agri-environment schemes into farm development pathways: a temporal analysis of farmer motivations. *Land use Policy* 31, 267-279; Mills, J, Gibbon, D, Ingram, J., Reed, M., Short, C. and Dwyer, J., (2011) Organising collective action for effective environmental management and social learning in Wales. *Journal of Agricultural Education and Extension*, 17 (1) 69-83

² Wilkinson, T.J. and Lobley, M. (2017). Science, Policy and Practice Note 6: Farmer collaboration and Engagement.

- *Understanding and influencing positive environmental behaviour among farmers and land managers* (2006–2007). **Mills** and **Ingram** investigated the means by which the advice provided by Defra and its agencies can best be implemented to promote long-term positive behavioural change in land managers. Case studies of different mechanisms were compared using data from in depth interviews.
- *Economics of Co-ordination in Environmental Stewardship* (2012; Defra & NE). **Mills** was a lead researcher.
- *Landscape-Scale Farmer Groups: Understanding the motivations for, benefits of, and barriers to stakeholder participation and delivery of objectives to improve the environment* (2018). **Nye** delivered this work for the Game and Wildlife Conservation Trust, using qualitative face-to-face interviews to evaluate the efficacy of NE-funded landscape-scale nature conservation farmer groups.
- *The Environmental Effectiveness of the Higher Level Stewardship scheme: Resurveying the baseline agreement sample to quantify change between 2009 and 2016* for Natural England. Led by **Lobley** with **Wheeler**, this partnership project with the Centre for Ecology and Hydrology evaluated environmental outcomes associated with HLS. Based on a re-survey of the HLS baseline monitoring agreements, the project used face-to-face interviews with agreement holders to investigate the social aspects of scheme delivery and monitoring and their implications for the delivery of environmental outcomes.
- *Defra's Sustainable Intensification Research Platform SIP (Project 2: Opportunities and Risks for the Environment at Landscape Scales)* (2015-18). **Winter** and **Lobley** led this multi-partner project with **Wheeler** and **Wilkinson**. SIP 2 included evidence evaluations and policy recommendations based on face-to-face interviews and discussion groups, including a literature review on farmer collaboration (Wheeler and Winter), reports on design-criteria for collaboration at landscape-scale (Wilkinson) and socio-economic barriers to collaboration between farmers and mechanisms to encourage collaboration (Lobley and Wilkinson), and a series of policy and practice notes, including one on farmer collaboration and engagement (Wilkinson and Lobley, 2017²).

Knowledge and experience of working with land managers, policymakers, and different types of governance arrangements for achieving environmental benefits

Both CRPR and CCRI have long standing credentials in working with different stakeholders involved in agri-environment management and policy making. We have worked with land managers in different capacities, both consulting through interviews and stakeholder workshops and focus groups and co-producing outcomes. This has allowed us to develop relationships both with individual farmers, farmer groups, their representative bodies and grassroots initiatives, for example the Dartmoor and Exmoor Hill Farming Networks (CRPR & CCRI). We will draw on these extensive contacts when selecting case studies and recruiting interviewees.

We will also utilise our excellent working relationships with project officers and facilitators from organisations who coordinate landscape scale approaches such as Natural England, GWCT, FWAG, RSPB for the evidence review and to facilitate access to participants of schemes, as well as to share their own learning about what makes initiatives effective. The project team have

already worked successfully with the following: Marlborough Downs Space for Nature Group; Countryside Stewardship Facilitation Funded groups, the Martin Downs Farm Cluster; Catchment Sensitive Farming partnerships; Dartmoor Farming Futures, Wildlife Trust Living Landscape projects, and RSPB Futurescapes projects.

Familiarity with the diversity of approaches will ensure that design of the evidence review and primary research captures the many models of governance and incentives that exist and reflects the many factors that determine effectiveness and how they change in different contexts. Our (CCRI) international connections such as International Association for the study of the Commons and experience of working in relevant EU funded projects (SOLINSA, Agridemo, Pegasus) allows us to have a broad understanding of alternative mechanisms in operation as well as the many forms of evidence that exist.

The scope and the nature of the projects we have conducted means we have knowledge and experience of working with policy makers in Defra and its agencies and have a good understanding of their requirements and the current policy environment with respect to the development of ELMs. CRPR and CCRI have a national and international reputation for producing robust and authoritative evidence which is used to inform and evaluate the environmental, social and economic aspects of AES policy and practice. Much of this research has been used to inform policy making within government agencies. Findings and evidence from our research on processes, impacts and outcomes has also been used in Parliamentary Select Committee Reports and government publications. Our expertise in policy-relevant research is evidenced by the representation of our researchers on Defra and NE committees, for example, **Gaskell** is a Member of: the Defra Programme Monitoring Committee of Rural Development Programme England, the Defra ELM Stakeholder Group (Strategic and Technical), and the Defra Agri-environment Stakeholders Group. **Lobley** is a member of NE's panel of social scientists advising on new land management schemes and is a member of Defra's Rural Policy academic panel. **Winter** is a board member of Natural England and the UK Joint Nature Conservation Committee, and has previously served on a number of review and advisory panels for Defra.

Relevant Projects include:

- *Monitoring the Brue Valley Living Landscape Landowner Advisory Service (2013)* for the Somerset Wildlife Trust. **Lobley** led this exploration of the impact of advisory services provided by FWAG and SWT on Stewardship agreement holder attitudes towards and understanding of their agreements.
- *Natural England Land Manager Guidance Testing – arable farmland birds (2019)*, **Wheeler** and **Lobley** delivered this project using face-to-face interviews with farmers and farm advisors to gather feedback on Natural England's sample guidance around managing for farmland birds as part of preparation for the future ELM scheme.
- *Defra SIP 2* (see above) included a large face-to-face survey and discussion groups with land managers and others to investigate the potential for sustainable intensification and risks and opportunities for landscape-scale collaboration (led by **Lobley** and **Winter**, interviews by **Wheeler**)

- *Defra's Demonstration Test Catchment Programme*. **Winter** led the knowledge exchange programme for the Hampshire Avon Demonstration Test Catchment (2010-19) with **Wheeler** conducting discussion groups and telephone interviews with land managers about attitudes and behaviours towards diffuse water pollution mitigation (2016).
- *Validation of Fertiliser Manual (RB209) Recommendations for Grasslands* (2012-14). **Lobley** led the social science element of this project, exploring farmer decision-making around nutrient management, sources of advice and information and awareness and use of RB209.

Knowledge of concepts relating to agri-environment schemes, collaboration between land managers, and large-scale environmental outcomes

The research team have a strong intellectual and empirical understanding of both collaborative mechanisms and socio-economic factors influencing behaviours. Previous research evaluating and comparing the effectiveness of different approaches has identified a number of significant factors (governance, incentives and socio-economic characteristics) that influence the effectiveness of collaboration approaches (according to desired environmental outcome). Conceptual understanding has been further developed in the projects listed below which provided additional empirical evidence for in-depth understanding of farmer behaviours, motivations, attitudes and values with respect to collaboration, and response to mechanisms for coordination, support and networks. Mills et al. (2011, 2016¹), Ingram et al. (2013¹), Lobley and Wilkinson (2017²) and Nye (2018³) have shown that a complex interaction of farmer willingness (psycho-social and cultural factors, values, attitudes, perceptions, motivations, social norms) and ability (individual capacities, family farm and wider systemic constraints) determines response to different collaborative mechanisms (top down or bottom up) and incentives. Furthermore their success is enabled or constrained by factors such as transaction costs, length of agreement, measures and indicators, rewards environmental outcomes (intrinsic and extrinsic) as well as the extent of facilitation, social capital, formality and trust.

Relevant Projects include:

- *Sustainable Uplands: North Pennine Multi-stakeholder Partnership*, led by **Gaskell** as part of the project Pegasus Public Ecosystem Goods and Services from Land Management: Unlocking the Synergies, European Union Horizon 2020 research and innovation programme 2015-17.
- *Farmer attitudes and evaluation of outcomes to on-farm environmental management* (2013) for Defra. **Mills**, **Gaskell** and **Ingram** used comprehensive literature reviews and in-depth face-to-face interviews to assess the awareness of and attitudes towards Uplands Entry Level Stewardship (UELS) among farmers and land managers and identified factors affecting uptake of UELS in general and particularly options within the scheme.
- *Motivations for entry and exit into agri-environment schemes* (2009). **Ingram**, as project lead, and **Mills** undertook research for the Welsh Assembly Government which sought to

³ Nye, C. (2018) Report on Landscape-Scale Farmer Groups: Understanding the motivations for, benefits of, and barriers to stakeholder participation and delivery of objectives to improve the environment. Fordingbridge: GWCT (Available on request)

understand farmers' motivations for entering and for exiting Tir Gofal in Wales. In depth narrative interviews were conducted across Wales and revealed the importance of farm development pathways in farmers' behaviours.

- *Improving the success of agri-environment initiatives: the role of farmer learning and landscape context*, RELU (2006-11). This five-year interdisciplinary project led by **Lobley** and **Winter** demonstrated the impact of bespoke training in agri-environmental management on farmer knowledge, understanding and management of their agreement. It also identified how participation in training impacted on improved environmental outcomes.
- *Defra SIP2: Opportunities and Risks for the Environment at Landscape Scales* (2015-18). As above, this work focused on investigating the motivations for, and barriers to, collaboration for environmental objectives at landscape scales through literature reviews, qualitative interviews and discussion groups (led by **Winter** and **Lobley** with **Wheeler** and **Wilkinson**).
- *Landscape-Scale Farmer Groups: Understanding the motivations for, benefits of, and barriers to stakeholder participation and delivery of objectives to improve the environment* (2018). As above, this project delivered by **Nye** evaluated the efficacy of Natural England-funded landscape-scale nature conservation farmer groups.

Credibility and trust amongst farmers and members of agri-environmental networks generally

Researchers at CRPR and CCRI have been working with farmers and members of the agri-environmental network now for some 30 years. Through their research, CCRI and CRPR have proven credibility with all actors in the AES community, from scheme design, administration and delivery; industry and conservation NGOs; through to land managers and agreement holders. The number of successful projects and impact on policy development is testament to our credibility and trust amongst farmers and stakeholders. We place farmer engagement as a core activity and apply principles of low level intrusion and impact by the team and, above all, confidentiality. We also respect all opinions, and acknowledge farmers' competences and specialist knowledge. We can speak the same language with a good knowledge of farming demands and pressures as well as the technical challenges and agri-environment policy environment. Our proficiency in this approach is evidenced by the extremely high percentage of land managers we have interviewed in recent years who have agreed to take part in further research (e.g. 100% of those interviewed for *NE land manager guidance testing* and 90% of those interviewed for *Defra SIP 2*).

E002. Adequate and appropriate staff resources allocated to the project

Project team

[REDACTED]

Roles

██████████ will have overall responsibility for delivering the project and will be the formal contact point between the research team and Defra. He is an experienced member/leader of numerous single and multi-partner projects (see CV). Project Coordinator ██████████ will be responsible for project coordination and day-to-day contact with Defra in the absence of the Project Director. She is an experienced researcher and coordinator with particular expertise in engaging land managers in policy-relevant research, particularly on projects related to agri-environmental management and sustainable intensification (see CV). ██████████ will lead the CCRI team of researchers. She is an experienced researcher and project manager (see CV).

██████████ (CCRI) will lead Requirement 1 (Evidence Review) assisted by ██████████ and ██████████ (CCRI) and ██████████ (CRPR), with additional input from other team members. The team has good knowledge of the evidence having conducted a number of relevant reviews, for example for the project 'Evaluation of key factors that lead to successful agri-environment co-operative schemes' for WAG ██████████). The team also has considerable experience in conducting evidence reviews, for example, a systematic review of evidence is being undertaken to identify key social indicators to assess the social outcomes from agri-environment schemes for Natural England ██████████). Team members are also regularly responsible for document collation, management and analysis associated with such reviews. ██████████ has considerable knowledge of the topic and is familiar with the literature, having authored three reports on farmer collaboration for Defra's Sustainable Intensification Research Platform (SIP) 2: Opportunities and Risks for Environment at Landscape Scales.

██████████ (CRPR) will lead Requirement 2 (Primary Research), assisted by ██████████, ██████████ (CCRI). ██████████ will be responsible for preparing the sampling strategy and process plan for Defra. She has particular expertise in designing and conducting qualitative interviews with land managers. She recently completed research for the Game and Wildlife Conservation Trust (GWCT) on landscape-scale farmer groups, focusing on benefits and barriers to participation. ██████████ will secure internal ethical approval for Exeter and ██████████ for UOG. Data collection and analysis will be led by ██████████ (CRPR). ██████████ (CCRI). All have substantial experience in delivering qualitative research with land managers and stakeholders across a range of projects, including: Landscape-Scale Farmer Groups (Nye); Defra SIP 2 (Wheeler); Attitudes to Upland Entry Level Stewardship ██████████) and Motivations for entry and exit into agri-environment schemes ██████████). ██████████ are among CCRI and CRPR's most experienced interviewers. Interviews will be transcribed professionally.

██████████ (CRPR) will lead delivery of Requirement 3 (Evaluation Report), with input from other key team members. ██████████ specialises in applied, policy-related research and evaluations of schemes and initiatives such as participation in HLS, the impact of agri-environmental advisory services and uptake of RB209. They will be assisted by ██████████. Together they all have experience of producing a variety of policy-relevant research reports, particularly for Defra and Natural England.

██████████ (CRPR) will be responsible for Quality Control and contributing to policy recommendations. All reports will require his approval before submission to Defra. ██████████ is a rural policy specialist, led Defra SIP 2 and is a board member of Natural England. ██████████ (University of Exeter), Commercial and Business Programmes Manager, will be the contact for contract related issues. Administrative support will be provided by the CRPR's Administrator, ██████████, at no cost to Defra.

Client management

On award of the contract, the Director and Coordinator will meet with the Defra Project Officer (via video conference) to agree the research in more detail. The Director will maintain regular contact with Defra, providing initially weekly verbal updates but remaining flexible to allow for more/less communication if required. Formal reporting to Defra will be as specified in the ITT. The Director and/or Coordinator will be available for interim discussions with Defra, as required. Changes to project activities will be agreed with the Defra Project Officer. The process for issue escalation will be that the relevant member of the team liaises directly with the Project Coordinator and appropriate action to mitigate any harm or slippage to the project will be implemented. If this is not possible at this stage the issue will be reported to the Project Director. The likelihood of issue escalation is considerably reduced given the project team's experience of working in this field. Any issue which threatens delivery obligations and cannot be mitigated will be discussed with Defra.

Resource plan

Requirement	Task	Key staff	Days each	Total days per task
Project Management (Lead: ██████████ ██████████)	Project management and coordination (to include progress calls with Defra, coordinating team etc.)	██████████ ██████████	█ █	█
	Team meetings x7 (1 hour, every 3 weeks, plus 0.5 hours preparation per meeting for Project Director & Coordinator & CCRI lead)	██████████ ██████████ ██████████ ██████████████████████ ████████████████████	█ █ █ █ █	█
	Meeting with Defra Steering Group to discuss and agree process plan (including preparation)	██████████ ██████████	█ █	█

	Meeting with Defra Steering Group & ELM leads to present key findings (including preparation)	██████████ ██████████	███ ███	█
1. Evidence Review ██████████ ██████████ ██████	Develop protocol for Rapid Evidence Assessment (and confirm with Defra)	██████████ ██████████████████	█ ███	█
	Search, refine, extract & critically appraise evidence	██████████ ██████████████ ██████████	█ ██████	███
	Synthesise & write-up results	██████████ ██████████████████ ██████████████████	█ ███ ██████	█
2. Primary Research ██████████ ██████████ ██████	Prepare sampling strategy incl. preferred case studies & contingencies.	██████ ██████████████████	█ ███	█
	Secure internal ethics approval (incl. preparing information sheets and consent forms)	██████████ ██████████	███ ███	█
	Prepare interim process plan (incl. interview schedule & shortlist of options to be explored)	██████ ██████████████████ ██████████████	█ ███ ██████	███
	Prepare final process plan	██████ ██████████, ██████████	█ ███ ███	███
	Recruit participants and conduct interviews	██████████ ██████████████████ ██████████████	█ ██████ ███	███
	Transcribe interviews	Sub-contract to professional transcriber		

	Analyse interview data (including coding framework development and investigator triangulation)	██████████ ████████████████████ ██████████████████	█ ██████ ███	█
3. Evaluation Report (Lead: ██████████ ██████████ ██████████)	Prepare Interim Evaluation Report (key findings & immediate policy implications)	Wheeler ████████████████████ ██████████████████ ██████	█ ██████ ████████	██████
	Prepare Final Evaluation Report	██████████ ████████████████████ ████████████████████ ██████	█ ███ ██████ ███	██████
Quality control	Check deliverables before submission to Defra	██████████	█	█
		Total staff days		██████████

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E003. Methodology

3.1 Overall approach

The multifaceted requirements for this research necessitate a combination of knowledge, experience and expertise which will be provided by the Centre for Rural Policy Research (CRPR) at the University of Exeter, and the Countryside and Community Research Institute (CCRI) at the University of Gloucestershire. This combined research team demonstrates a history of conducting evidence reviews and engaging with land managers and other relevant stakeholders in relation to farmer collaboration and landscape-scale coordination efforts to achieve environmental benefits.

The project design will adhere to best practice guidance for evaluation (as set out in the Government's Magenta Book⁴) by using a logic model to clearly identify the evaluation objectives and research questions which will guide the evidence review and primary research. A Rapid Evidence Assessment (REA) will be conducted initially. This will provide a critical appraisal of the evidence, its relevance and rigour, and provide a summary of key determining factors affecting the success of different approaches. This will then inform the subsequent collection of primary data, to be obtained using a carefully designed qualitative methodology. Primary data will be analysed to effectively illustrate farmer and relevant stakeholder attitudes towards, and experiences of, varying collaborative initiatives and incentivisation schemes. This will be carried out by a small team of experienced researchers who are proficient in collecting robust, high-quality evidence using appropriate social science methods, especially with agriculture-related stakeholders. We will engage with 50-70 land managers, 10-15 group facilitators/coordinators, and 10 representatives from strategic/funding bodies involved in delivering collaborative landscape-scale projects, using appropriate qualitative data collection techniques. The evidence collated from the systematic review and new empirical data will inform the final Evaluation Report, which will offer a robust comparative analysis of collaborative approaches that could be used in an Environmental Land Management (ELM) scheme. This will focus on 'what works where, when, for whom and in what context' – environmentally, socially and economically. The research approach will align to the 'What Works' principles by systematically assessing and synthesising the evidence base to provide actionable guidance to decision makers⁵. Throughout the research, we will work closely together as a team and in partnership with Defra to ensure effective integration and co-ordination across all areas of work.

⁴ HM Treasury (2011). The Magenta Book: Guidance for evaluation. London: HM Treasury

⁵ <https://www.gov.uk/guidance/what-works-network>

strategy for critical appraisal will be devised and selected papers and reports will be subjected to a rapid text analysis. As part of this analysis, each piece of evidence will be evaluated to consider both the relevance of the evidence to the REA question and the quality and robustness of the methodology utilised. A template for information extraction will be developed to ensure that the extraction is done in a way that is consistent for each piece of evidence. This critical appraisal will be carried out for all the evidence related to collaborative mechanisms designed to achieve landscape-scale environmental benefits, as well as studies evidencing the use of incentives or alternative approaches for the same end. Scores will be assigned to each piece of evidence (corresponding to an individual initiative/mechanism) according to relevance and robustness of evidence, which will later allow 'higher scored pieces of evidence to be given greater weight at the synthesis stage'⁹. The final narrative synthesis stage will provide a description of the volume and characteristics of the evidence found by the review enabling the adequacy of the overall evidence base to answer the primary question, 'What Works', by providing a list of determining factors, as well as identifying any gaps in the evidence.

As part of the protocol for the REA, we will develop an analytical framework to guide our assessment of different mechanisms designed to incentivise coordinated/collaborative landscape-scale management (e.g. reverse auctions, conservation covenants, agglomeration bonuses, scheme targeting etc.) that are evaluated in the literature. This could take the form of a multi-criteria analysis, in which each mechanism or policy instrument is evaluated against a number of social, environmental and economic outcomes providing a consistent and transparent approach to our evaluation. The development of this framework will be informed by, and build upon, the team's previous experience of conducting multi-criteria analyses of environmental (including landscape-scale) initiatives¹⁰.

We will ensure the protocol and the evidence appraisal template include the opportunity to record any evidence of causal linkages between economic, social and environmental outcomes/additionality, as well as any evidence of synergies or trade-offs between different types of mechanisms/incentives. The protocol will include a conceptual model of these expected interactions, in the form of a systems diagram or schematic, which can be updated as the research progresses and inform the primary data collection phase.

The review team will work closely and iteratively and the use of key words, criteria for screening and relevance and robustness will be clearly recorded throughout in order to ensure transparency in reviewer decisions during the screening and appraisal process.

The results of the Rapid Evidence Assessment (REA) (Requirement 1) will present all quality studies identified in relation to the project requirements, both in the UK and overseas (where relevant), will fulfil the requirements specified in the ITT and clearly summarise the following:

⁹ [REDACTED]

[REDACTED]

[REDACTED]

- The range of different mechanisms and policy instruments designed to achieve landscape-scale environmental benefits, including both those currently in operation and those which have operated previously.
- The ‘effectiveness’/success of farmer groups of differing governance structures, as well as incentivisation schemes and payment mechanisms, related to environmental improvements – socially, economically and environmentally.
- Key determining factors affecting the success of approaches, noting those that are cross-cutting and those that are specific to a particular approach.
- The instruments that are relevant to ELM that can be used to inform decision making and thus would be useful to investigate further.
- Gaps in the evidence base pertaining to collaborative mechanisms and incentives. These will be addressed, wherever possible, through the primary research element of the project.

3.3 Requirement 2: Primary Research

Primary research will be conducted with key stakeholders to explore their attitudes towards and experiences of different collaborative mechanisms/incentives/alternative approaches to better understand the key factors affecting their efficacy. This will be carried out in line with the principles of a process and case study evaluation, as detailed in the Magenta Book¹ and will apply best practice in selection of research methods and analysis. English case studies (to be informed by the evidence review) will be evaluated with each focusing on a discrete collaborative model, policy instrument or project that has been set up to support the delivery of environmental outcomes at large spatial scales. A full Process Plan will be developed for the primary research and agreed with the Defra Steering Group (Milestone 3), which will include an interview protocol, copies of information and consent forms, a full list of interview questions, and a short-list of potential ELM options to be explored with participants.

Case study selection

The requirements of the research incorporate multiple variables to be considered when selecting case studies (including governance structure, group size, level of formality, payment mechanisms, type of environmental objective). A selection of ten to fifteen cases will therefore be purposefully chosen in order to ensure that all variables are sufficiently covered. Their selection will be informed by emerging findings (including gaps in knowledge) from the evidence review and discussions with Defra, as well as the team’s extensive knowledge and experience of conducting research in this and related fields (see especially Nye’s 2018 work on landscape-scale farmer groups for the GWCT¹¹, Mills’ 2012 assessment of coordination approaches for Defra⁷, Ingram’s

¹¹ Nye, C. (2018) Report on Landscape-Scale Farmer Groups: Understanding the motivations for, benefits of, and barriers to stakeholder participation and delivery of objectives to improve the environment. Fordingbridge: GWCT (Available on request)

2008 review of mechanisms for enabling farmer co-operative behaviour¹², and various outputs from SIP 2). We are thus already aware of a number of potential case studies that may be worthy of further investigation.

Cases will be selected to represent a full range across the top-down, bottom-up, and spatial coordination-collaboration spectrums referring to recognised frameworks¹³. Cases will also be selected according to their diverse payment mechanisms, such as reverse auctions or agglomeration bonuses. A range of farm types, geographical areas, landscape types and environmental themes will be covered, as well as groups with varying levels of formality and length of establishment. Examples of possible case studies include: the Marlborough Downs Space for Nature Group; Countryside Stewardship Facilitation Funded groups (e.g. Pewsey Downs Farmer Group); the Martin Downs Farm Cluster; Catchment Sensitive Farming partnerships; United Utilities' Sustainable Catchment Management Programme (SCaMP), Dartmoor Farming Futures, Wildlife Trust Living Landscape projects and RSPB Futurescapes projects.

Interview sampling and recruitment

We will conduct a total of 50-70 in-depth, semi-structured interviews. We will recruit three to five land managers per case study, with whom we will aim to conduct face-to-face interviews. Previous related empirical research has demonstrated that data saturation occurs beyond this number in this particular research context⁸. We will also seek to interview the project coordinator/facilitator (where present) for each case study (10-15 in total), either face-to-face or remotely by telephone depending on availability and fieldwork logistics. Additionally, we will remotely interview approximately ten other representatives from strategic/funding organisations involved in the delivery of landscape-scale environmental management (e.g. Natural England, United Utilities, RSPB, GWCT, Wildlife Trusts etc.). All interviews will be conducted separately.

Whilst statistical representativeness is not required for a qualitative study of this nature, we will seek to ensure that we interview a range of different types of land manager (within the limitations of those participating in the landscape-scale groups). We will therefore use purposeful sampling (guided by the facilitator) to ensure a good range of attitudes and experiences are captured and bias is limited. The careful selection of case studies will also ensure a variety of different groups and individuals will be consulted.

Communication methods will be discussed with Defra prior to commencing the research, but we anticipate contacting group facilitators/coordinators directly via email or telephone to discuss their

¹² Ingram et al. (2008). Evaluation of key factors that lead to successful agri-environmental co-operative schemes Vol II A literature review of behavioural change mechanisms in agriculture. For the Welsh Assembly Government.

¹³ Prager, K. (2015). Agri-environmental collaboratives for landscape management in Europe. *Current Opinion in Environmental Sustainability*, 12, 59-66.

involvement in the project. We will then ask them to act as gatekeepers to allow us to contact land managers involved in the various groups. We may also be able to recruit participants through our existing wide-ranging contacts within the agricultural sector. Land managers will be invited to take part in a face-to-face interview, to be held on the farm, or at another suitable place of their choosing, at a mutually convenient time. Potential interviewees will be fully informed about the objectives of the study, ethical procedures (including their right to withdraw from the research), data protection, and the interview format (general content, duration etc.) before being asked if they will agree to the interview (see also 3.6 below).

Interview design

Landscape-scale initiatives designed to deliver environmental outcomes using a 'joined up'¹⁴ approach require a level of evaluation beyond that of the traditional measure of rates of uptake or area covered¹⁵. Such measures ignore not only the principal objective of initiatives – environmental outcomes, but also the social, economic and behavioural factors associated with such schemes. By developing an understanding of stakeholder attitudes, experiences, decision-making and behaviour associated with such initiatives using well-designed, qualitative methods, a more holistic assessment of all contingent ingredients to initiative efficacy will contribute to a better understanding of what works where, when, for whom and in what context.

Each interview is anticipated to last approximately 45 minutes and will be conducted at the place of the participant's choosing. Interviews will be audio recorded (where consent is given) and subsequently transcribed for further qualitative analysis. Participants will be given the option of receiving a copy of their own interview transcript for them to edit and correct if they wish to. They will be given 1 week to do this. In our experience, very few participants request a copy of their own transcript and even fewer read them through to the end. We will use a professional transcriber. It is University (Exeter) policy that where any third party carries out data processing or other research activities this must be supported by a legally-binding contract, signed by a recognised signatory in the University Legal Services team. The contract must specify the standards and processes for the research activities and any arrangements for data sharing and responsibilities for compliance with current data protection legislation. Once we have a definitive transcript, the original recording will be destroyed.

A team of six experienced researchers will conduct the interviews. Our interviewers are already trained in this type of research but will undergo further specific training to ensure a standardised approach within this project. In line with the principles of a qualitative interview approach, they will

¹⁴ Lawton, J. H., Brotherton, P.N.M., Brown, V.K., Elphick, C., Fitter, A.H., Forshaw, Haddow, J., R.W., Hilborne, S., Leafe, R.N., Mace, G.M. & Southgate, M.P. (2010). Making Space for Nature: A Review of England's Wildlife Sites and Ecological Network. Report for Defra.

¹⁵ Aebischer, N. J., Bailey, C. M., Gibbons, D. W., Morris, A. J., Peach, W. J., & Stoate, C. (2016). 'Twenty years of local farmland bird conservation: the effects of management on avian abundance at two UK demonstration sites. *Bird Study*, 63(1): 10-30.

also be encouraged to gain richer information where appropriate by being flexible and responsive to the answers that participants provide.

As part of the process plan for the primary research (Milestone 3), and in conjunction with the development of the analytical framework for the REA (see 3.2), we will develop a framework for evaluating the case study initiatives against a number of social, economic and environmental criteria and use this to guide/structure the interview schedule (but without restraining the exploration of factors which may not have been included in the pre-determined criteria). We will also consider incorporating a simplified version of the framework into the interview schedule itself in order to specifically explore participants' attitudes towards, and ultimate preferences for, a short-list of approaches for ELM (agreed in advance with the Defra Steering Group). The interview schedule will be designed in consultation with Defra and will align with the research aims and questions outlined in the ITT, covering psychosocial and economic influencers of behaviour. Questions will explore in detail participants' experiences of the specific group initiative(s) they are/have been involved in and their wider perspectives on landscape-scale environmental management. In designing the interview schedule we will draw on our comprehensive knowledge of the subject as listed in E001: Knowledge and Experience, as well as on initial findings from the REA. The interviews will be semi-structured, enabling the interviewer to probe for further information where necessary and to allow for a flexible approach that recognises that each initiative will be at a different stage of establishment.

We will conduct a pilot survey with 2 land managers/facilitators in order to test that the interview schedule yields the sort of data we require, is understandable by participants and is of the correct duration. The pilot interview schedule will be amended as necessary. We will ensure timely submission of all necessary documentation for approval by Defra Survey Control, should this be required. We have considerable experience of this process and are confident that we will be able to work with Defra to meet requirements in a timely manner.

Analysis

Due to the multitude of variables involved, this research requires multi-criteria analysis against a set of variables. Accordingly, a framework method will be applied to the analysis of qualitative data. This will facilitate a consistent and transparent comparative analysis of the broad range of cases to be studied through the development of a matrix according to thematic codes identified by four analysts. The approach will also account for the fact that each initiative will be at a different stage of establishment, as this is likely to affect their current level of effectiveness. Both inductive and deductive themes are anticipated to arise from the data. Cross-checking of themes and codes and the subsequent categorisation of these following analyses of two or three transcripts per analyst, will allow for all significant themes to be documented. Computer software (e.g. Nvivo) will facilitate the analysis. All analysts will work together closely, providing investigator triangulation by comparing and reconciling their interpretations of the data, thereby improving rigour. Analysis will pay particular attention to the relative influence of governance structures (top-down, bottom-up, etc.), incentives and payment approaches (reverse auction, agglomeration bonuses, etc.) and farmer characteristics (age, education etc.) over experiences, attitudes, behaviours and effectiveness regarding landscape-scale/spatial coordination/collaboration initiatives.

3.4 Requirement 3: Evaluation Report

An evaluation report, in the form of a 'best practice' paper, will consolidate findings from Requirements 1 & 2, outlining 'What Works' in practice, including a series of lessons learnt and examples of successful practice. We will evaluate the pros and cons of different collaborative/coordinated approaches to environmental management against a clear range of criteria (to be determined based on the evidence review) and translate findings from both the evidence review and primary research into an easily digestible summary that can be used to inform policy decision-making. The relative credibility/reliability of different pieces of evidence and the level of consensus between them will be considered throughout the report.

We will ensure that the report considers all of the factors specified in the ITT, providing a robust and detailed analysis of the environmental and social implications, potentialities, risks and limitations associated with each approach, as well as their feasibility, timescales, prerequisites, cost-effectiveness and operational practicalities. Implications for the monitoring and evaluation of different approaches will also be an important consideration. Based on these analyses, we will suggest a shortlist of approaches that Defra could consider under ELM to coordinate action and achieve environmental objectives at large spatial scales, and include a summary of their principle risks and benefits.

The report will provide high quality evidence to aid decision making and will recognise how 'What Works' is unlikely to be applicable to all land managers in all circumstances, and will thus reflect on the efficacy of different approaches or combination of approaches according to context. It will also discuss the feasibility and efficacy of using a variety or combination of approaches under ELM, and caution where there may be risk of unintended negative consequences.

3.5 Data management

The research will entail handling personal data relating to participants. We have considerable experience of successfully handling and securely storing such data from previous projects funded by Defra, Natural England, Research Councils, etc. Any personal details shared with us during the project will be encrypted, password protected and stored on the secure network drives of the University of Exeter or University of Gloucestershire. Only the direct research team members will have access to this information. All personal data associated with participants who choose to withdraw from the research (see 3.6) will be destroyed immediately. The interviews will require a limited amount of additional personal data to be collected, primarily around participant characteristics such as age and education. However, interviewees will be anonymised by being assigned ID tags (i.e. Land Manager 1, Land Manager 2 or labels of participants' choosing (see Ethics section below) that will be used in all associated research data (including interview recordings, transcripts and reports) to restrict the use of personal details and assure anonymity. The 'key' to these ID tags with the names and contact details of participants will be stored in a password protected spreadsheet on the secure University of Exeter network drive, which will only be accessed by the lead analyst. Any data collected in the field will be stored on the researcher's encrypted laptop before being transferred to a secure network drive at the earliest opportunity.

Transfer of data between research team members within the Universities of Exeter and Gloucestershire, as well as between the research team and Defra, will be via password protected files with passwords being sent separately to data files. Recipients will be asked to manually confirm receipt. When researchers are off campus they will be required to use their University's VPN in order to upload data to the University's secure network drive.

The project will comply with the requirements of the 2018 General Data Protection Regulation (GDPR) and University of Exeter and University of Gloucestershire policies. All data covered by the GDPR will be password protected and kept on secure network drives. All personal data will be destroyed on completion of the project.

The above will be explained to participants on both the consent and information forms. All participants will be asked to sign two copies of a consent form (one to be retained by the interviewee) which states that participation is voluntary and that they are free to withdraw from the project at any time without giving any reason. They will also be asked for consent for the interview to be audio-recorded for the purpose of creating an accurate record of the conversation. All participants will be given a copy of a Privacy Notice that will set out what data is being collected and how it will be used. Hard copy consent forms will be stored in a locked filing cabinet which only the direct research team has access to, based in an office with restricted access.

██████████ will have overall responsibility for the management of the research data throughout the life of the project.

3.6 Ethical assurance

Before the research commences it will be subject to full ethical review by the ethics committee of the University of Exeter College of Social Science and International Studies. This will ensure that the research is conducted in accordance with the University's policy on Good Practice in the Conduct of Research and the Universities UK Concordat to Support Research Integrity. Prior to the research being conducted the research questions will also be submitted to the University of Gloucestershire's Research Ethics Committee, which will scrutinise the questions for any potential Risk of Harm. All research at both institutions follows the Ethical Assurance Guidance for Social Research in government and the Data Protection Act and General Data Protection Regulation. Researchers at CCRI also follow the British Sociological Association Guidelines on Ethical Practice.

Requests for participants' time will be carefully considered and coordinated to ensure efficiency and minimise the burden on both farmers and other relevant stakeholders. Potential research participants will be fully informed, free to volunteer, free to opt out at any time (prior to publication) without redress, and be fully protected in regard to safety according to the limits of best practice. We will conduct a thorough assessment of possible harm for both participants and researchers

and will produce a protocol to mitigate possible harms. We will also operate a check-in protocol for interviewers with a clear escalation procedure if check-in is not achieved after a specified time. All participants will give informed, written consent.

E004. Ability to Deliver

4.1 Project management and governance

The management of the project will be the responsibility of the Project [REDACTED] (Centre for Rural Policy Research (CRPR)), assisted by [REDACTED] (CRPR). As an experienced member / leader of numerous single and multi-partner projects Lobley will:

- Have overall responsibility for delivering the project to Defra;
- Act as the formal contact point between the project team and Defra;
- Monitor progress, report on milestones and deliver reports.

He will be assisted by [REDACTED], who will be responsible for project co-ordination, as well as day-to-day contact with Defra in the absence of the Project Director. [REDACTED] will ensure that activities are carried out in line with the project plan (see Gantt chart in 4.2) through frequent and effective communication with all team members and by reviewing progress against the plan (and the primary research Process Plan, once it is agreed) on a regular basis. [REDACTED] (CCRI) will coordinate the CCRI research team and ensure tasks are carried out to a high standard and on time.

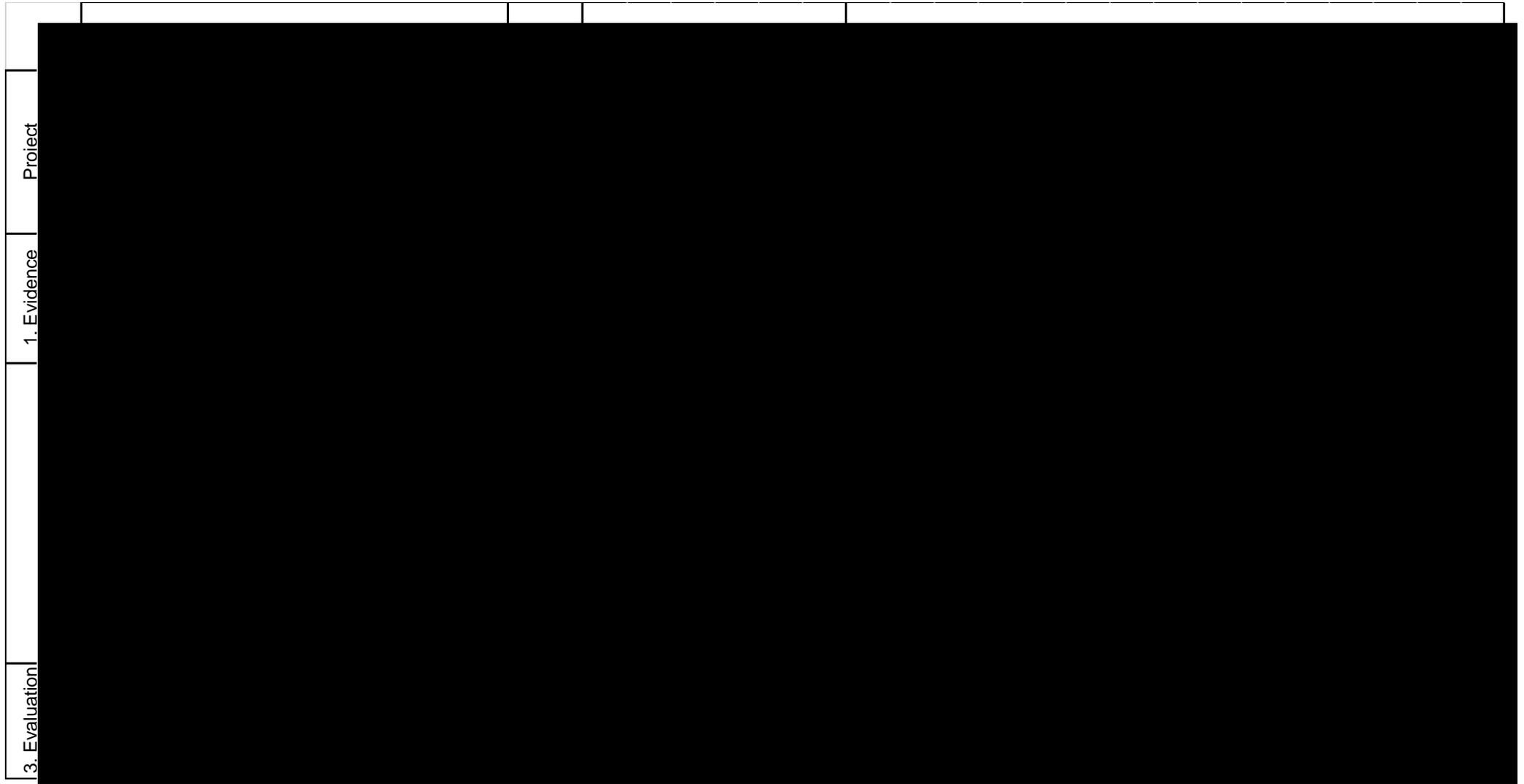
As set out in E002: Staff Resources, we will implement effective client management and any changes to project activities will be agreed with the Defra Project Officer. Project risks and mitigation measures have been identified in the risk matrix below (see 4.5). The process for issue escalation will be that the relevant member of the research team liaises directly with the Project Coordinator and appropriate action to mitigate any harm or slippage to the project will be implemented. If this is not possible at this stage the issue will be reported to the Project Director. The likelihood of issue escalation is considerably reduced given the Project Team's experience and strong working relationships. Any issue which threatens delivery obligations and cannot be mitigated will be discussed with Defra.

Administrative support for the project will be provided by the CRPR's Administrator, Emma Tranter, at no cost to Defra. The lead institution (University of Exeter) has an experienced Research Services team who provide additional support and advice for research contracts. Tom Hurles (University of Exeter), Commercial and Business Programmes Manager, will be the contact for contract related issues for this project.

4.2 Project Plan

See Gantt Chart on the following page.

Project Gantt Chart



†	Milestone		Research preparation		Data processing & analysis
*	Progress call with Defra		Data collection		Reporting
**	Team meeting				

4.3 Delivery and reporting

The research team is experienced in successfully delivering multiple research outputs over the duration of projects (e.g. for Defra SIP). Careful planning and monitoring will facilitate successful and timely submission of key research deliverables (formatted as specified in the ITT) comprising:

- Task 1.3: A final evidence review, in the form of a Rapid Evidence Assessment (REA), to be submitted to Defra and used to inform the concurrent design of the primary research sampling strategy and data collection process. **Delivery date: 10th April 2020.**
- Task 2.1: Sampling strategy identifying the list of case studies and participants, to be partly informed by the evidence review work. **Delivery date: 8th May 2020.**
- A three-stage process plan for the primary research design, comprising:
 - Task 2.3: An interim process plan. Delivery date: **8th October 2020.**
 - Task 0.3: A meeting with the Defra Steering Group and ELM Leads. Delivery date: **15th May 2020**
 - Task 2.4: A final process plan to be signed off by Defra steering group before proceeding with data collection. Delivery date: **26th June 2020.**
- A three-stage evaluation report comprising:
 - Task 3.1: An interim evaluation report. Delivery date: **23rd October 2020.**
 - Task 0.4: A meeting with Defra steering group and ELM leads to present key findings. Delivery date: **6th November 2020.**
 - Task 3.2: A final evaluation report synthesising the outcomes of Requirements 1 and 2, including a list of recommendations and possible opportunities/gaps in knowledge for further research in attempting to achieve the delivery objectives of the ELM. **Delivery date: 20th March 2020.**

With Defra's approval we will seek to disseminate results through academic journals, at an appropriate time in the future. We would welcome the opportunity to do this in partnership with Defra where appropriate.

On award of the contract, the Director and Coordinator will meet with the Defra Project Officer (via video conference) to agree the research in more detail. The Project Director will then hold initially weekly progress calls with the Defra Project Officer in order to provide regular updates and ensure that Defra is consulted on all key decisions in the planning phase of the project. We envisage subsequent progress calls to be held fortnightly, but will remain flexible to allow for more/less communication if required.

4.4 Quality assurance

Track record

The project team brings together leading individuals involved in research and farming engagement. As detailed more fully in E001: Knowledge and Expertise, together the CRPR and CCRI team have considerable experience of engaging with farmers in order to understand farmer behaviour, including around collaboration and agri-environmental management. [REDACTED] has been researching agri-environmental

schemes since the late 1980s and is a member of NE's ELM Social Science Expert Panel (Chaired by Winter). Both collaborating institutions have a strong track record of applied rural policy research and specialise in using cutting edge academic research to inform governments, businesses, NGOs and communities about how land and the environment are managed and used and how policy can be better designed, appraised and evaluated. CRPR have successfully delivered numerous projects involving significant engagement with farmers through qualitative interviews, including monitoring and evaluating the effectiveness of the HLS scheme, the use of RB209, the impact of environmental advice programmes and the Defra Sustainable Intensification Research Platform (SIP) 2: Opportunities and risks for farming and the environment at landscape scales. CCRI have delivered, for example, an evaluation of key factors that lead to successful agri-environment co-operative schemes (WAG 2009) and 'Understanding and influencing positive environmental behaviour among farmers and land managers' (Defra 2006–2007). The CRPR and CCRI have a strong working relationship. They have successfully collaborated on similar projects to this in the past and they are currently collaborating on a project for Natural England developing methods for monitoring and evaluating the social outcomes of agri-environment schemes (Mills and Lobley).

The CRPR at the University of Exeter is home to an inter-disciplinary team of social scientists focusing on the rural environment, economy and society. The Centre has a longstanding reputation as one of the leading groups in the UK and beyond in the study of land, environment and agriculture. The CRPR is in the Sociology, Philosophy and Anthropology department, which in the last Research Excellence Framework was ranked 9th nationally for our world-leading or internationally excellent research. The Politics department, in which the CRPR was located prior to August 2019, was ranked 5th. The Sociology, Philosophy and Anthropology department is 4th for Sociology and 8th for both Anthropology and Philosophy in The Times and The Sunday Times Good University Guide 2019. Quality assurance is at the core of our work.

- The CCRI is a unique partnership between the University of Gloucestershire, the Royal Agricultural University and Hartpury College. It is one of the leading specialist rural research centres in the UK. It has expertise in all aspects of research in policy and planning for the countryside, rural development, agriculture and environment, rural economy and society, with research staff including geographers, economists, spatial planners, policy analysts, sociologists and environmental scientists. All work is ethically assured and formal systems are in place to enable monitoring and control of progress, finance and quality. CCRI has successfully managed large consortium projects for UK and EU public sector sponsors in recent years. Some 85% of the CCRI's research is considered, through peer review, to be of international standing and its annual research income from external contracts is in the region of £1m. As a University research institute, delivering high quality research and consultancy products is at the heart of what CCRI does, being critical to its ability to recruit and retain outstanding staff, work with suitable partners, and achieve its excellent results in the UK Research Excellence Framework. Quality is a component of the overall Project Management System, and is the means by which quality and quality assurance is embedded within the projects CCRI delivers.

Internal monitoring and review processes

All members of the research team will have defined responsibilities within the project (as set out in E002: Staff Resources), of which they are fully aware. All researchers are trained and experienced in the tasks that they will carry out. The Project Coordinator (██████████r) will ensure that activities are carried out in line with the Project Plan. The Project Director

██████████ will have overall responsibility for the work conducted as part of the project. We will convene formal team meetings devoted to the project every three weeks to monitor and review progress, but will also be in more frequent (daily/weekly) communication with each other. Any changes to project activities will be agreed with the Defra Project Officer. Any changes to project personnel will require approval by Defra. CVs of any new personnel will be supplied.

We will document all our research procedures, as appropriate, including our analytical process. As detailed in E003: Methodology, the REA process will be recorded and monitored to ensure transparency and consistency (Ingram). The primary research coding framework will be developed by the lead analyst (Wheeler) in consultation with the wider research team, and investigator triangulation will be used to ensure rigour in analysis of the qualitative data. Research participants will be given the opportunity to review their transcript for accuracy prior to analysis.

All reports will be read and checked by ██████████ as part of our internal quality control procedures. Information and consent forms for participants will be approved by the University of Exeter as part of the ethical review process, as well as by the Defra Steering Group when reviewing the project Process Plan.

We will ensure timely submission of all necessary documentation and research outputs to Defra for authorisation at the required times throughout the project. In the unlikely event that any errors are identified in our work after publication, we will notify Defra immediately and take the agreed corrective action.

4.5 Risk management

Key risks and corresponding mitigation strategies are outlined below. An additional comprehensive risk assessment for the fieldwork aspect of the project will be produced on award of the project.

Nature of Risk	Impact	Likelihood	Mitigation / solution
Delay in contract agreement	A delay in issue of the contract, or its signing, could affect the overall timetable and compromise ability to deliver on schedule	Low-Medium	We have long-standing experience of working with Defra. Prompt issue of the contract & an equally prompt response from the University's legal team should help avoid delays.
Pre-election restrictions	Pre-election restrictions in the event of elections could delay or suspend key activities and compromise ability to deliver on schedule	Medium-High	Reschedule participant engagement aspect of the project and discuss reorganisation of project timeframes/milestone dates with Defra, as appropriate.
Key project team members' availability (e.g. sickness or injury)	Project delivery would be compromised	Low-Medium	In the unlikely event of injury, illness, death, resignation or unavailability of key personnel, the contract will be completed in time by redeploying other personnel with the necessary expertise or, in the unlikely event that

			none is available, by employing a suitable person. Both CRPR and CCRI have capacity within their institutions to do this at short notice
Delays in obtaining approval from the Defra Steering Group for the sampling strategy and process plan	A delay could compromise the ability to recruit and conduct interviews within the project timeframe	Low-Medium	While a delay is unlikely, we will take steps to avoid it through close consultation with Defra throughout the project. We will ensure that all documentation is submitted to Defra by the dates specified in the ITT.
Low participation in primary research	Difficulty recruiting participants for the primary research would compromise the quality and robustness of the analysis.	Low	The project team has a good reputation amongst the farming community and agricultural stakeholders and have successfully managed numerous projects funded by Defra and other funding bodies. We will use appropriate gatekeepers to farmer groups where present and already have a number of suitable contacts within farming networks we can utilise for this purpose. The team has also worked with a number of landscape-scale farmer groups before.

Schedule 1 - Milestone Payment Schedule

Project Milestones, Outputs and Timelines

Milestone	Milestone Outputs	Requirement	Original Date Required by:	New date Required by:
Contract award date			18/11/2019	19/02/2020
1. Evidence Review	1. Final Evidence Review – Written report outlining nature and use of existing mechanisms summarising their key features (how they operate, intended purpose) and any evidence to support or challenge their efficacy in theory and practice. Report to include executive summary and full references.	1	17/01/2020	10/04/2020
2. Sampling strategy for primary research	2. Sampling strategy – Written sampling strategy including a long list of preferred case studies/participants and a short -list of contingencies	1, 2	13/12/2019	08/05/2020
3. Detailed process plan for primary research	3a. Interim process plan – Written document outlining a detailed process plan for the data collection (e.g., an interview protocol) to include specific questions, copies of any supplementary materials and the proposed short-list of 'options' to be explored with participants	2	13/12/2019	08/05/2020
	3b. Meeting with Defra Steering group – In person meeting in London with steering group to explain choice of case studies/participants and the plan to secure their participation in the study and agree data collection strategy (process plan) and content	2	20/12/2019	15/05/2020

	3c. Final process plan – Written document outlining final process plan With evidence that there has been due consideration of ethics and data protection. Final process plan to be 'signed-off' by the Steering group ahead of any data collection	2	30/12/2019	26/06/2020
4. Evaluation report	4a. Interim Evaluation Report – Interim report summarising key learning from the project (synthesising evidence from the desk review and primary research) and any immediate policy implications. Interim report to include executive summary and references and specify the limitation of the evidence/ recommendations it presents	3	24/02/2020	23/10/2020
	4b. Meeting with Defra Steering group and ELM leads – In person meeting or Webinar with Steering group and ELM leads to present key findings from the project followed by a Q&A session	3	28/02/2020	06/11/2020
	4c. Final Evaluation Report – Final report summarising all learning from the project and policy implications for ELM. Report to include executive summary and references and specify the limitation of the evidence/ recommendations it presents	1, 3	30/03/2020	20/12/2020

Payment Milestones:	Acceptance Criteria:
Payment Milestone A	Acceptance by the Authority of Milestone Outputs 1 and 2
Payment Milestone B	Acceptance by the Authority of Milestone Outputs 3 (incorporating 3a,3b and 3c)
Payment Milestone C	Acceptance by the Authority of Milestone Outputs 4 (incorporating 4a, 4b and 4c)

<i>Milestone 4c - Subtotal</i>				

Travel and Expenses

[Redacted]

These are estimated costs only and will comply with Defra reimbursement policy and will be paid upon evidence of receipt.

Annex B GDPR Statement

GDPR Statement

The research will entail handling personal data relating to participants. We have considerable experience of successfully handling and securely storing such data from previous projects funded by Defra, Natural England, Research Councils, etc. Any personal details shared with us during the project will be encrypted, password protected and stored on the secure network drives of the University of Exeter or University of Gloucestershire. Only the direct research team members will have access to this information. All personal data associated with participants who choose to withdraw from the research (see 3.6) will be destroyed immediately. The interviews will require a limited amount of additional personal data to be collected, primarily around participant characteristics such as age and education. However, interviewees will be anonymised by being assigned ID tags (i.e. Land Manager 1, Land Manager 2 or labels of participants' choosing (see Ethics section below) that will be used in all associated research data (including interview recordings, transcripts and reports) to restrict the use of personal details and assure anonymity. The 'key' to these ID tags with the names and contact details of participants will be stored in a password protected spreadsheet on the secure University of Exeter network drive, which will only be accessed by the lead analyst. Any data collected in the field will be stored on the researcher's encrypted laptop before being transferred to a secure network drive at the earliest opportunity. Transfer of data between research team members within the Universities of Exeter and Gloucestershire, as well as between the research team and Defra, will be via password protected files with passwords being sent separately to data files. Recipients will be asked to manually confirm receipt. When researchers are off campus they will be required to use their University's VPN in order to upload data to the University's secure network drive.

The project will comply with the requirements of the 2018 General Data Protection Regulation (GDPR) and University of Exeter and University of Gloucestershire policies. All data covered by the GDPR will be password protected and kept on secure network drives. All personal data will be destroyed on completion of the project.

The above will be explained to participants on both the consent and information forms. All participants will be asked to sign two copies of a consent form (one to be retained by the interviewee) which states that participation is voluntary and that they are free to withdraw from the project at any time without giving any reason. They will also be asked for consent for the interview to be audio-recorded for the purpose of creating an accurate record of the conversation. All participants will be given a copy of a Privacy Notice that will set out what data is being collected and how it will be used. Hard copy consent forms will be stored in a locked filing cabinet which only the direct research team has access to, based in an office with restricted access.

██████████ will have overall responsibility for the management of the research data throughout the life of the project.

