

INVITATION TO SUBMIT PROPOSALS

FOR:

**SCOTLAND'S CENTRE OF EXPERTISE ON
CLIMATE CHANGE – POST DOCTORAL
RESEARCH FELLOW: ADAPTATION**

REFERENCE CXC2/2017_18

Our ref: CXC2/2017_18
9 March 2017

Dear Colleague,

Scotland's Centre of Expertise on Climate Change – ClimateXChange: Post-Doctoral Research Fellow Grant

1. You are invited by the University of Edinburgh on behalf of Scotland's Centre of Expertise on Climate Change – [ClimateXChange](#), to submit proposals for grant funding of a Post-Doctoral Research Fellow. The requirements are set out in Schedule 2 of the attached Invitation to Submit Proposals document.
2. Your submission must be in accordance with all schedules in the enclosed document, in particular, please complete and return the:
 - 2.1. Instructions for Applicants (Schedule 1);
 - 2.2. Technical Proposal (Schedule 3), responding to all the questions;
 - 2.3. Pricing Schedule (Schedule 4), providing all the information requested;
 - 2.4. Form of Proposal (Schedule 5); and
 - 2.5. Declaration to Accompany Research Proposals (Schedule 7)
3. A copy of the Conditions of Grant that will apply to a successful award of funding is attached at Schedule 6.
4. The closing date and time for submission of proposals is **noon on 29 March 2017**. Your proposals must be submitted directly in electronic format to ClimateXChange Project Manager Ragne Low (at ragne.low@ed.ac.uk), and copied to Lee Callaghan, (at lee.callaghan@ed.ac.uk).
5. It is the responsibility of applicants to ensure that their proposals are received by the due date and time. Submissions received after the deadline will not be considered.
6. The University of Edinburgh, on behalf of ClimateXChange, is not bound to accept the lowest priced, or any, proposal.

Yours sincerely,



Ragne Low
ClimateXChange Project Manager

Scotland's Centre of Expertise on Climate Change: Invitation to Submit Proposals

CONTENTS

Schedule 1 – Instructions for Applicants

Schedule 2 – Specification of Requirements

Schedule 3 – Technical Proposal

Schedule 4 – Pricing Schedule

Schedule 5 – Form of Proposal

Schedule 6 – Conditions of Grant

Schedule 7 – Declaration to Accompany Research Proposals

INSTRUCTIONS FOR APPLICANTS

1. It is the responsibility of the applicant to obtain for themselves at their own expense any additional information necessary for the preparation of their proposals.
2. All information supplied by the University of Edinburgh, based upon its grant from the Scottish Government, in connection with the Invitation to Submit Proposals shall be treated as confidential by applicants.
3. All information requested should be provided on the schedules enclosed (additional sheets may be used if required, but all information should be provided in the order and format of the schedules).
4. Applicants may submit proposals using their own text creation facilities. However the content and layout must be identical to the University of Edinburgh version of the relevant sections of the proposal, and must be in the same order.
5. Applicants must submit their completed proposals as a single document in electronic format.
6. All information submitted to the University of Edinburgh may need to be disclosed and/or published by the University of Edinburgh. Without prejudice to the foregoing generality, the University of Edinburgh may disclose information in compliance with the Freedom of Information (Scotland) Act 2002, (the decisions of the University of Edinburgh in the interpretation thereof shall be final and conclusive in any dispute, difference or question arising in respect of disclosure under its terms), any other law, or, as a consequence of judicial order, or order by any court or tribunal with the authority to order disclosure.
7. Accordingly, if you consider that any of the information included as part of your proposals is commercially confidential please identify it and explain (in broad terms) what harm might result from disclosure and/or publication. It should be remembered however that, even where you have indicated that information is commercially sensitive, the University of Edinburgh may disclose this information where it sees fit. Receipt by the University of Edinburgh of any material marked “confidential” or equivalent should not be taken to mean that the University of Edinburgh accepts any duty of confidence by virtue of that marking.
8. The University of Edinburgh may publish, on the [ClimateXChange website](#), the names and contact details of organisations who have been awarded grant funding.
9. The University of Edinburgh reserves the right to reject any proposal which, in the opinion of the evaluation panel, does not comply with the Specification of Requirements.
10. Please note that all questions relating to this invitation to submit proposals must be submitted directly to Ragne Low at ragne.low@ed.ac.uk.
11. Applicants will be deemed to have examined all the documents enclosed with this Invitation to Submit Proposals and will be held to have fully informed themselves as to the

nature and extent of the requirements detailed. Applicants must check the accuracy of their submission prior to return, paying particular attention to clerical errors and omissions. The University of Edinburgh may, at its discretion, seek clarification regarding any concerns over the accuracy of submissions.

12. The successful institution will be selected on the basis of the criteria set out in Schedules 3 and 4. Schedule 3 will form the basis of the quality evaluation, where both the capabilities of the institutional applicant and the expertise and track-record of its proposed fellow will be evaluated. Schedule 4 will form the basis of the price evaluation. The total grant available for the fellowship is £95,000 (running from 10 April 2017 to 9 April 2018) and proposals must be priced accordingly, taking into account *all costs associated with supporting the fellowship and the fellow's research activities*. The Price Quality Ratio will be 90:10 in favour of quality.

13. Please insert the following background information:

Background Information	
Name and Address of the Organisation	
Name & Address of Contact for this application	
Position	
Tel No.	
E-mail address	
Date	
VAT Registration Number	

14. Any submission that does not accord with all the requirements herein and in the covering letter may not be considered.

The Following is the indicative timeline –

Closing date for submissions	29 March 2017
Grant award (estimate)	10 April 2017
Expiry of grant	09 April 2018

STATEMENT OF REQUIREMENTS

A Fellowship on Adaptation Policy is being offered under this Invitation to Submit Proposals as part of ClimateXChange – Scotland’s Centre of Expertise on Climate Change. The Fellowship is detailed below. The fellowship grant is available on a one-year basis initially, with the expectation that a further one year’s funding will be made available.

In addition to the Fellowship offered here, two other fellowship grants are being offered under ClimateXChange at this time. Please contact ragne.low@ed.ac.uk for details.

ClimateXChange is funded by the Scottish Government. More information is available at www.climatexchange.org.uk. ClimateXChange has three components: research capacity at Scotland’s Main Research Providers (MRPs); research capacity at Scotland’s Higher Education Institutions (HEIs) and a Directorate and Secretariat that also manages a research commissioning budget. The Post-Doctoral Fellowship offered here forms part of the HEI component.

ClimateXChange’s Policy Director and Secretariat are based at the Edinburgh Centre for Carbon Innovation, part of the School of Geosciences at the University of Edinburgh. The University of Edinburgh receives a grant from the Scottish Government’s Rural and Environment Science and Analytical Services Division (RESAS) to provide the coordination of research under ClimateXChange (through the Secretariat) as well as to conduct and commission research activities. It is through this grant that the Fellowship offered here is funded.

All research deliverables produced under ClimateXChange grants are published on the ClimateXChange website www.climatexchange.org.uk. Outputs generated by the fellow’s research activities under this Invitation to Submit Proposals will become ClimateXChange outputs, quality controlled and formatted via established ClimateXChange processes. The ClimateXChange Secretariat has an overall project management role in ClimateXChange and ClimateXChange fellows work in close collaboration with Secretariat staff.

ClimateXChange’s annual reports provide a good overview of activities in the first phase (2011-2016), and are available here <http://www.climatexchange.org.uk/about-us/annual-reports/>

If you require more background information about the structure and functions of ClimateXChange, please contact ragne.low@ed.ac.uk

Please note that the University of Edinburgh, on behalf of ClimateXChange, may choose not to appoint a Fellowship, depending on the quality of submissions received.

SPECIFICATION FOR A POST-DOCTORAL RESEARCH FELLOWSHIP ON ADAPTATION POLICY

Two Post Doctoral Research Fellowships on climate change adaptation are being offered under ClimateXChange for 2017/18. The following specification is for the fellowship on adaptation policy.

The Post Doctoral Research Fellowships on adaptation are the foundation of ClimateXChange's adaptation research capacity. The core requirement is to service Scottish Government policy teams' evidence needs for adaptation research in support of the development of the second Scottish Climate Change Adaptation Programme, a statutory requirement of the Climate Change (Scotland) Act 2009.

The requirements on adaptation under the 2009 Act form the policy context for the research to be undertaken under this grant. The Act requires, *inter alia*, that the Scottish Government publish a Climate Change Adaptation Programme that responds to the UK Climate Change Risk Assessment, on a five-yearly cycle. The first [Scottish Climate Change Adaptation Programme](#) (SCCAP) was published in 2014 and is structured under three themes: Natural Environment; Buildings and Infrastructure Networks; and, Society. The second [UK Climate Change Risk Assessment](#) (CCRA) was published in January 2017, with an extensive [Evidence Report](#) issued in 2016. Under the terms of the 2009 Act, the next SCCAP must respond to the risks set out in this second Risk Assessment.

The Fellowship will build on the flagship CXC [Adaptation Indicators project](#) – a multi-institution, inter-disciplinary project that co-developed over 100 indicators for adaptation policy planning with stakeholders from policy and practice.

Funding is offered for the Fellowship on a one + one years basis (i.e. the grant sub-award will assume further funding will be made available for 2018/19, but guaranteed funding will only be approved for 2017/18 in the first instance). The following research requirement is based on the assumption that the Fellowship will be of two years' duration. Proposals should specify what activities and deliverables can be achieved within one year, and which will be the product of a second year of the Fellowship.

As noted above, there are two adaptation Fellowships being offered under ClimateXChange for 2017/18. The two fellows will work closely together, collaborating on specific projects and providing support to one another on the research they each undertake individually. Proposals should therefore set out the applicant institution's proposed approach to achieving that collaboration, and describe the proposed fellow's track-record of cross-institutional team working in practice.

Research Requirement – CXC Fellowship on Adaptation Policy

This Fellowship will be instrumental in developing and sustaining a network of policy contacts across policy divisions and the NDPBs with responsibility for climate adaptation, and in co-designing CXC's adaptation research to meet adaptation policy needs. The fellow

will respond to the research and evidence needs identified in the UK Committee on Climate Change's independent assessment of the SCCAP and their wider work in identifying knowledge gaps on adaptation policy effectiveness.

The research will include:

- Interpreting and translating CCRA risks for the adaptation policy community and building an early evidence base for policy users to support them in developing SCCAP2. This will involve supporting policy teams to think through the options for design of policies and proposals that represent the most effective response to the key risks identified for Scotland in the second CCRA.
- Researching questions on policy design and delivery. Research questions are likely to include:
 - How does adaptation policy best operate to deliver good adaptation outcomes on the ground? For example, what are the relative benefits of transformational versus incremental approaches, and in what cases might each have merit?
 - Where might autonomous adaptation be the right response, such that policy frameworks ought to be facilitating this rather than prescribing adaptation solutions?
 - Where can – or should – cross-sectoral, integrated approaches be used and what are the governance, planning and financing models for achieving this?
 - What are the co-benefits of particular options and how can these be evidenced?
 - How can the take up of low- and no-regrets options be accelerated; what are the barriers and how can they be broken down?
- Further exploring the methods that can be used to demonstrate, and where possible quantify, the benefits of adaptation (e.g. avoided loss and damage) in a Scottish context, with users and decision makers. This is likely to include consideration of the effectiveness of adaptation policy options in managing the risks identified for Scotland in the second CCRA and also in terms of multiple benefits.

Skills and expertise required of the proposed fellow:

- Knowledge of the Scottish and UK policy landscapes, including good familiarity with the work of the UK Committee on Climate Change's Adaptation Sub Committee
- Research-policy knowledge brokerage skills and the ability to build networks and relationships with policy users, and with a track-record of co-production of knowledge with users
- Breadth of knowledge of methods to understand and appraise options in adaptation policy and action
- An ability to adapt and apply analytical methods to research questions in a diversity of adaptation policy areas and potentially a diversity of scales of user decision making
- Familiarity with adaptation policy across all three of the themes of the first SCCAP

TECHNICAL PROPOSALS

Proposals will be evaluated against the research requirements set out above and against the costs submitted as part of this proposal.

Submissions should use standard word processing, spreadsheet and PowerPoint software to:

- a) Demonstrate the knowledge, experience, expertise and capability of the *institution* applying for the Fellowship grant; and in particular the research team and/or individual (proposed Principal Investigator or Supervisor) who will be supporting the proposed fellow in relation to the research sought and described above. Evidence should be provided of previous research and knowledge exchange work relevant to the research requirement, with an emphasis on policy-focussed research. A statement demonstrating institutional capacity and CVs of relevant staff should be provided.
- b) Demonstrate the knowledge, experience, expertise and track-record of the *proposed fellow*, showing how the research requirement set out above will be met. Evidence should be provided of previous research and knowledge exchange work relevant to the research requirement, with an emphasis on policy-focussed research. An up to date CV should be provided.
- c) Describe the proposed approach to delivering the research sought, including relevant research methods. This description should also identify any particular challenges and risks to delivery, and your approach to overcoming and mitigating these.
- d) Set out the proposed research deliverables, clearly broken down into those that will be achieved within 12 months and within 24 months.

Excluding CVs, substantive proposals are expected to be no more than 3,000 words.

Award Criteria

The following criteria will be used to assess all proposals received:

- Understanding of the research requirement set out above – 10%
- The institutional knowledge, experience, expertise and capability offered in support of the proposed fellow, in relation to the research requirement – 20%
- The specific knowledge, experience, expertise and track-record of the proposed fellow in relation to the research requirement – 25%
- The research methodologies proposed for delivering the policy-focused research – 20%

- The deliverables and outcomes proposed – 15%
- Price – 10%

A scale of 0 to 4 is used for every question. This range is further explained below –

0 - Unacceptable - Nil or inadequate response. Fails to demonstrate an ability to meet the requirement.

1 - Poor - Response is partially relevant and poor. The response addresses some elements of the requirement but contains insufficient/limited detail or explanation to demonstrate how the requirement will be fulfilled.

2 - Acceptable - Response is partially relevant but acceptable. The response addresses a broad understanding of the requirement but lacks details on how the requirement will be fulfilled.

3 - Good - Response is relevant and good. The response is sufficiently detailed to demonstrate a good understanding and provides details on how the requirements will be fulfilled.

4 - Excellent - Response is completely relevant and excellent overall. The response is comprehensive, unambiguous and demonstrates a thorough understanding of the requirement and provides details of how the requirement will be met in full.

Proposals will be evaluated by two members of the ClimateXChange Secretariat team, one of the ClimateXChange Directors, a nominated representative of the Scottish Government and an independent expert from outwith ClimateXChange. Proposals should state clearly where there may be any conflict of interest due to existing partnerships or other funded relationships with any of the potential evaluators. Should a conflict of interest arise, the evaluation team will be re-formed by drawing in staff from elsewhere in the ClimateXChange network.

PRICE SCHEDULE

1. Costs

The Fellowship should be costed for its lifetime, including assumptions for any salary or other inflation increases. Total costs should be provided for years 1 and 2 separately.

A note of the assumptions used must be provided with the tender.

2. Calculations of costs

The costs should include **all of the following**: salary, National Insurance and pension costs for the individual fellow, overhead costs as appropriate to your institution and the grade of the staff member, expenses estimated for travel, subsistence and any incidentals or equipment required by the funded staff member to undertake the research requirement as described above and any VAT that may be payable. Please note that the total cost for year 1 must be equal to or less than the grant available as described in paragraph 12 of Schedule 1.

FORM OF GRANT PROPOSAL TO THE UNIVERSITY OF EDINBURGH

(* DELETE AS APPROPRIATE)

*I/We the undersigned do hereby agree on the acceptance of the Grant Proposal by the University of Edinburgh, to carry out the research requirement in the Specification of Requirements (Schedule 2) in accordance with the Schedules, at the prices entered in the Pricing Schedule (Schedule 4) and in accordance with the Conditions of Grant (Schedule 6) which appear in this set of documents.

*I/We the undersigned undertake to submit a proposal in accordance with the following documents:

- Schedule 1 - Instructions for Applicants
- Schedule 2 - Specification of Requirements
- Schedule 3 - Technical Proposal
- Schedule 4 - Pricing Schedule
- Schedule 5 - Form of Proposal
- Schedule 6 - Terms and Conditions of Grant
- Schedule 7 - Declaration to Accompany Research Proposals

*I/We agree to abide by this proposal from **12 noon on 29 March 2017**, the date fixed for receiving proposals, until the Award of Grant.

*I/We understand that the University of Edinburgh is not bound to accept the lowest priced or any proposal and shall not be bound to use the Grantee as a sole supplier.

*I/We understand that the research service provision is expected to commence on 10 April 2017 and end on 09 April 2018 unless the award of grant is terminated in accordance with the Conditions of Grant at Schedule 6 of this Invitation to Submit Proposals document.

Signature

Name: **(BLOCK CAPITALS)**

Designation

Duly authorised to submit research proposals for and on behalf of:

Name of Applicant

Nature of Organisation

Address

Telephone No

INCLUDE AREA CODE

Date

It must be clearly shown whether the Applicant is a limited liability company, statutory corporation, partnership, or single individual trading under his own name.



THE UNIVERSITY of EDINBURGH

ClimateXChange
Edinburgh Centre for Carbon Innovation
High School Yards
Edinburgh
EH1 1LZ

[insert details of institution hosting fellow]

[date]

Dear [],

**RE: LETTER OF ACCEPTANCE FOR FELLOWSHIP: *[insert name of project/tasks]* -
QUOTE Ref: []**

The University Court of The University of Edinburgh, a charitable body registered in Scotland under registration number SC005336, incorporated under the Universities (Scotland) Acts, with its registered address at Old College, South Bridge, Edinburgh, EH8 9YL, UK ("Edinburgh") has been awarded a grant from the Scottish Ministers, Environment and Forestry Directorate, Rural and Environment Science and Analytical Services Division in respect of the Centre of Expertise for ClimateXChange ("the Main Grant"), the terms of which are attached as Part 1 of the Appendix to this Agreement.

On behalf of The University of Edinburgh, I am pleased to accept your proposal to establish a research fellowship ("the Fellowship") which will support *[add details of the fellow]* ("the Fellow") to carry out independent and original research as required by the Main Grant and offer you ("the Institution") this sub-award ("the Sub-Award") subject to the terms and conditions which are attached as Part 1 of the Appendix to this letter.

The documents listed below shall be deemed to form and to be read and to be construed as part of this Sub- Award:

- This letter
- The Invitation to Submit Proposals issued by Edinburgh, dated []
- Your Proposal Dated []
- My clarification questions and offer to award []
- Your response to my questions []
- The Scottish Government Grant Terms and Conditions contained in Part 1 of the Appendix to this Letter.

The Sub-Award will commence on [] (“Commencement Date”) and unless extended by Edinburgh, terminate on [].

The value of this Sub-Award for the first year shall be £[] inclusive of VAT. The funding to be provided to you under this Sub-award is detailed in the payment schedule contained in Part 2 of the Appendix to this Agreement.

You agree and undertake that the Fellow shall comply with the obligations contained in the Main Grant as far as these apply to you and the Fellow and that you nor the Fellow shall (whether by act or omission) act in such a manner that would cause Edinburgh to be in breach of its obligations under the Main Grant. You agree to indemnify and keep Edinburgh indemnified from and against any liabilities, losses, costs or expenses incurred by Edinburgh as a result of a breach of this provision and undertaking.

Any intellectual property created in the course of the Fellowship shall be owned by you, provided that Edinburgh and the Scottish Ministers retain the right to use such intellectual property in the course of the Fellowship, for academic research and teaching purposes and as provided in the Main Grant. Nothing in this agreement shall affect the ownership of any background intellectual property (being any intellectual property owned by a party prior to the commencement of the Fellowship or generated by a party outside of the Fellowship) used in the implementation of the Fellowship.

You shall procure that in carrying out the Fellowship, you will comply with all applicable laws, regulations and statutes, including those relating to anti-bribery as detailed in the Bribery Act 2010 and other analogous legislation.

This Sub-award shall be regarded as though it were a complementary agreement to the Main Grant. Nothing contained in this Sub-award shall be so construed or interpreted in any way as to diminish or alter the rights of the provider of the Main Grant as set out in the Main Grant.

Furthermore no action should be taken by your organisation at this time in respect of this contract until the Commencement Date. Edinburgh accept no responsibility or liability for any actions which you may take based on the information detailed in this letter. Any such actions and their financial consequences will be entirely at your own risk.

I should be grateful if you could arrange for both copies of this letter to be signed and dated by an authorised signatory and return on to me for the University of Edinburgh's records. The other should be retained by you for your own records.

Please do not hesitate to contact me directly should you have any questions about the content of this Contract.

Yours sincerely

Lee Callaghan
CXC Administrator

On behalf of **[insert full legal name of organisation]** I hereby accept and agree to the terms and conditions of this Sub-Award as set out in this Letter of Acceptance.

_____ (signed)

_____ (print full name)

Authorised signatory on behalf of **[insert full legal name of organisation]**

Date: _____

I hereby acknowledge the letter and the terms and conditions contained therein and agree to abide by them to the extent they apply to me:

_____ (signed)

_____ (print full name of research fellow)

This is the Appendix referred to in the foregoing Letter for Fellowship between the University Court of the University of Edinburgh & the Provider

PART 1 - MAIN GRANT

[The Conditions of the Main Grant will be provided once these have been received in respect of the Main Grant from the Scottish Ministers, Environment and Forestry Directorate, Rural and Environment Science and Analytical Services Division.]

PART 2 – PAYMENT SCHEDULE

Edinburgh shall pay to you, in consideration of the research by the Fellow carried out under this Sub-award, the sums detailed below. All sums are inclusive of VAT, if applicable.

Payments shall be made subject to the receipt of sufficient funds from the provider of the Main Grant and within 30 days of receipt of quarterly invoices from you.

DECLARATION TO ACCOMPANY RESEARCH PROPOSALS

I confirm that I am aware of the requirements of the Joint Code of Practice (see below) and, in the proposed project, I will use my best efforts to ensure that the procedures used conform to those requirements under the following headings:

- Responsibilities
- Personal Competence
- Project planning
- Quality Control
- Health and safety
- Handling of samples and materials

I understand that the funding body has the right to inspect our procedures and practices against the requirements of the Code of Practice, and that I may be asked to provide documentary evidence of our working practices or provide access and assistance to auditors appointed by the Funding Body.

(There is some flexibility in the application of the Code of Practice to specific research projects. Contractors are encouraged to discuss with the Funding Body any aspects that cause them concern, in order to reach agreement on the interpretation of each requirement.)

Signature

Name: **(BLOCK CAPITALS)**

Designation

ANNEX – Examples of documentary evidence

QUALITY ISSUE	EVIDENCE REQUIRED
<p>1. Responsibilities</p>	<ul style="list-style-type: none"> • Organisation structure showing line management responsibilities (organogram) • Updated and maintained list of personnel involved with the project (including any sub-contractors) • Documented agreement with sub-contractors to adhere to JCoPR & evidence of rationale for appointment. • Documented roles & responsibilities for all project staff (including subcontractors)
<p>2. Personnel competence</p>	<ul style="list-style-type: none"> • Consistent collation of CVs of all personnel associated with the project (including subcontractors) • Maintenance of relevant, up-to-date training records for all project staff (including evidence showing awareness of obligation to comply with the Code's provisions)
<p>3. Project planning</p>	<ul style="list-style-type: none"> • Risk assessment (where appropriate) • Records of regular reviews of project timetables & plans • Up-to-date approved project plan with milestones & deliverables • Statistical validation of experimental plans & procedures for analysis of data • Documented, approved procedures for sampling materials • Ethical approval documentation & project licences (as appropriate)
<p>4. Quality Control</p>	<ul style="list-style-type: none"> • Documented internal 'fit for purpose' review procedures • Records of consistently applied internal audits , findings & corrective actions taken • Approved publication policy with authorisation procedures

QUALITY ISSUE	EVIDENCE REQUIRED
<p>5. Health & safety</p>	<ul style="list-style-type: none"> • Documentation to demonstrate both training & compliance (e.g. Laboratory Health & Safety Plan) • Documentation on specific measures as appropriate (e.g. for pathogenic organisms or radioactive substances)
<p>6. Handling of samples & materials</p>	<ul style="list-style-type: none"> • Consistent application of a standardised system for controlling, labelling & tracking samples • Documented procedures for handling samples & materials • Up-to-date storage logbooks

JOINT CODE OF PRACTICE FOR RESEARCH (JCoPR)

Please see the up-to-date Code of Practice available here:

<https://www.gov.uk/government/publications/joint-code-of-practice-for-research-jcopr>