

# ESPA Directorate

## Evidence and Impact Research Grants

### Objectives

The ESPA Directorate's Evidence and Impact Research Grants (EIRGs) are being launched to generate high-quality evidence on how ecosystem services contribute to poverty reduction around the world. The EIRGs will enhance the impact of the ESPA programme through influencing key policy processes during 2012. For more information about the ESPA programme please visit [www.espa.ac.uk](http://www.espa.ac.uk).

**The ESPA Directorate will fund up to six EIRG projects, of up to £50,000 each, for periods of up to 12 months.**

Individual projects will be expected to work together, as well as with the Directorate, to provide a coherent global view of the circumstances when ecosystem services matter to poor people, and how the sustainable and equitable management of ecosystems can provide services that benefit the poor and alleviate global poverty. In addition to facilitating the EIRG projects, the ESPA Directorate will support a range of capacity building and policy outreach activities to support the process and further enhance its development impact.

### Key policy and outreach events in 2012

All projects funded under the EIRG round will be expected to contribute research evidence into one of more of the following events:

1. **Planet Under Pressure** Conference. March 2012
2. **Rio 2012**, UN Conference on Environment & Development. May/June 2012
3. **Intergovernmental Panel on Climate Change** 5<sup>th</sup> Assessment Report
4. **Convention on Biological Diversity** (11<sup>th</sup> COP, India) October 2012

In addition to these specific events, the ESPA Directorate has identified a number of ongoing international processes that EIRG projects should be relevant to. These include:

1. Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (IPBES)
2. Wealth Accounting and Valuation of Ecosystem Services (WAVES, World Bank)
3. Poverty Environment Initiative (UNDP/UNEP)
4. Global Environment Fund (GEF)
5. International Climate Fund (ICF)

Successful projects will be required to demonstrate how they will generate new research evidence (which may include new analysis of existing data or evidence) that will contribute to, and influence, key policy processes in 2012.

### Capacity building

The EIRG round is supported by ESPA's Global Forum. As such, it is appropriate for applicants to *highlight the potential for capacity building* during implementation of their projects. It is a requirement that all projects must involve at least one national from a developing country in a significant role ([low or middle income countries](#) as defined by the World Bank).

The ESPA Directorate will provide additional capacity building opportunities to support projects to build impact. Projects will be expected to participate in and contribute to these activities which will be funded directly by the Directorate (and need not be included in the budget for individual EIRG projects).

## **Research framework, questions and evidence challenges**

Projects are required to use and apply the [ESPA Research Framework](#) and the [ESPA Impact Strategy](#) in the design and implementation of their research. Applications will be assessed against their ability to generate new research and/or knowledge of relevance to ESPA as well as the potential impact of this.

The expected size of projects (i.e. **up to** one year duration and funding of **up to** £50k) means that projects would not normally be expected to undertake extensive primary research. Instead, most projects are likely to involve some sort of desk study, synthesis analysis or horizon scanning of emerging opportunities and challenges.

Projects would normally be expected to be related to one or more of the ESPA themes (Water, Forests, Coasts, Health, Biodiversity, and Political Economy) as well as the associated evidence challenges and overarching questions as documented in Section 4 of the 2010 ESPA Announcement of Opportunity (Annex 1).

Applications for the 2011 EIRG round are required to respond to at least one of the following questions:

Question	Description
1.	<p><b>How do ecosystem services contribute to sustainable poverty alleviation?</b></p> <p>Projects would use case studies of practical examples in one or more of the ESPA regions. Case studies will be expected to apply the ESPA Research Framework, but the examples used in the study need not be linked to an existing ESPA project.</p>
2.	<p><b>How has research evidence contributed to real-world innovation in policy or practice linking ecosystem services and poverty alleviation?</b></p> <p>Projects will work back from real-world examples demonstrating how ecosystem services contribute to poverty alleviation to understand the role of research evidence (if any) supporting innovation in policy and practice. Applying suitable theory of change methodologies the research will document the pathway to impact in a way that can contribute to ESPA projects as well as the 2012 policy processes that the EIRG aims to support.</p>
3.	<p><b>How can ecosystem services be used to help poor communities to adapt to climate change and variability?</b></p> <p>What are the links to the green economy (e.g. natural capital accounting, payments for ecosystems services) and what types of global environmental governance is required to deliver this? This theme is of significant interest to a number of UN initiatives (e.g. UNFCCC, UN-GEF) and should aim to feed into the IPCC 5<sup>th</sup> Assessment Report.</p>
4.	<p><b>What is the potential to use ecosystem services to generate pro-poor green growth?</b></p> <p>Projects will contribute towards generating evidence of direct relevance to one of the main themes for Rio 2012. Using the ESPA Research Framework as a lens, they will generate robust and objective evidence. An alternative approach would be counter-factual and consider how traditional economic growth leads to the degradation of ecosystems, loss of ecosystem services and eventually leads to enhanced poverty in vulnerable groups.</p>
5.	<p><b>What are the potential synergies and trade-offs between provisioning and other ecosystem services for poverty alleviation?</b></p> <p>Studies will consider how the global focus on promoting food security interacts with ESPA's wider agenda linking ecosystem services and poverty alleviation. Sub-themes that could be addressed could include how the full range of ecosystem services contribute to pro-poor food security (a synergy) or conversely how conventional approaches to achieve food security may lead to significant degradation of non-provisioning ecosystem services (e.g. biodiversity, a trade-off). Studies could</p>

	also consider trade-offs in time, for example asking whether the success in reducing poverty through the first “green revolution” is accumulating losses or degradation of other ecosystem services that will risk elevated levels of poverty for future generations.
6.	<p><b>What are the emerging research questions and evidence challenges for the ESPA programme and policy processes?</b></p> <p>Projects would be expected to use one or more approach(es) including desk reviews, horizon scanning and case studies to identify emerging research questions and evidence challenges relevant to ESPA and its current research agenda. Lessons learnt from existing research which has produced new questions would also be suitable.</p>

Applicants should note that proposals will be funded on merit and that there are no pre-existing quotas for these projects allocated to these themes.

The ESPA Directorate will fund additional activities to support the wider objectives of the EIRG call. This will include workshops (mainly virtual), additional communication activities (including at Rio 2012) and research synthesis.

All funded projects will be **required to collaborate with other funded EIRG projects as well as the Knowledge and Impact teams of the ESPA Directorate**. Each project will be assigned a contact in the ESPA Directorate. The contact will have experience of the topic being studied and will have an oversight for implementation of the project. All projects will be able to call upon **assistance from the Directorate’s Data, Evidence and Partnership Coordinator** when arranging online (virtual) events or working with other ESPA projects and stakeholders.

### **Poverty focus**

ESPA’s goal is to ensure that, in developing countries, ecosystems are being sustainably managed in a way that contributes to poverty alleviation and inclusive/sustainable growth. ESPA funded research must provide evidence and tools to enable decision-makers and end users to manage ecosystems sustainably and in a way that contributes to poverty alleviation. Applicants will be required to describe how their proposed research has the potential to reduce extreme poverty either globally or in one or more of the ESPA regions.

### **Knowledge engagement and stakeholder interaction**

All EIRG projects will have clear plans for engagement with relevant stakeholders, drawing on the advice in the ESPA Impact Strategy and the Research Councils’ [Impact Toolkit](#). This should include identification of specific beneficiaries and plans for specific written outputs (for e.g., journal articles, policy briefings, etc.) and networking activities (for e.g., workshops, conferences, side events at conferences, etc.).

### **Geographic focus**

Projects may be focused on individual countries, regions or may be global in coverage. Research must be linked to the ESPA regions (Sub-Saharan Africa, South Asia, China and Amazonia). If a project is working mainly in one or more middle income country(ies), applicants must show how the research can be applied in other low income countries.

**All funded projects** will be required to produce evidence that can **contribute to the pool of global knowledge** and hence should have aspects that are relevant in more than one location or region.

For more information on ESPA’s geographic focus, see Annex 2.

### **Expected outputs**

Applicants will be required to provide information about the outputs that they will deliver through the project. Any original research (including academic reviews) should aim to be published as peer

reviewed articles, preferably in open access format. In addition to any research publications, projects will be required to produce at least one case study and policy brief based upon their work to be used in one or more of the 2012 policy events (see above).

### ***Links to other ESPA projects***

Applications that build upon the research excellence and impact generated by other ESPA projects will be welcomed. This can include either active projects (ESPA Programme Framework Grants) or closed projects (ESPA Situation Analyses, Strengthening Research Capacity, Project and Partnership Development). Applications with links to other ESPA projects should document the links (e.g. involving staff from those projects) as well as how the new funding will help to lever significant enhanced impact from those projects.

Applications that do not include links to funded ESPA projects will also be considered. These applicants should describe how their proposed research will complement the existing programme (e.g. extending the pool of research evidence available from ESPA, or exploring new areas of research and emerging evidence challenges).

For more information on funded ESPA projects, applicants are referred to the ESPA website, [www.espa.ac.uk/projects](http://www.espa.ac.uk/projects).

## Who can apply?

The ESPA EIRG process is open to any individual researcher or team that can demonstrate their ability to generate world-class research linking ecosystem services and poverty alleviation. Successful applicants will have demonstrated their ability to generate research relevant to ESPA as well as having articulated how that research will have the potential to generate impact for poor people in one or more of the ESPA regions.

The EIRG will be implemented by one or more people who can demonstrate their ability to deliver research relevant to the programme. The composition of applications will be assessed to check that the following requirements have been fulfilled:

Requirement	Notes	Method of Assessment
The proposal must involve a significant input of time from an established researcher who can provide leadership for the project.	<p>The grants are expected to provide world-class new knowledge and will require adequate leadership.</p> <p>Proposals which involve time post-doctoral (or lower) level researchers without adequate guidance are unlikely to be funded.</p> <p>Proposals which do not involve original research (or research synthesis) will not be funded.</p>	<p>CVs and track record of applicant(s)</p> <p>Amount of time assigned to the researcher(s) taking a leadership role in implementation.</p>
The proposal <b>must</b> include <b>one or more developing country nationals</b> in a significant capacity (as a researcher or user of research).	<p>As part of ESPA's impact agenda, it is a requirement to involve developing country nationals in ESPA's research activities.</p> <p>Developing country nationals working in a developed country <i>for up to five years</i> will meet this requirement.</p> <p>People working in developing countries but holding the nationality of a developed country (e.g. UK) do not meet this requirement (including those working for UN agencies and international NGOs).</p>	The time allocated to developing country nationals must represent at least 33% of the total work effort for the project.

## **Reporting**

Regular reporting by projects will include a simple interim report at 6 months and a final report at the completion of the project using formats provided by the ESPA Directorate. Details and, where possible, copies of all publications produced by projects (including documents such as policy briefs) will need to be provided as part of the regular reporting.

Projects will be required to deposit any new data with one of the UK data libraries and will be assisted in this by the ESPA Directorate.

## **Timetable and key events**

The (provisional) timetable for this call for proposals is as detailed below, along with dates of key events relevant to the call. Projects will be expected to contribute to highlighted events (but not necessarily in person).

Event	Date
Launch of the call	29 August 2011
Closing date for applications	7 October 2011
Completion of shortlisting stage (by ESPA Directorate)	11 November 2011
Review of shortlisted proposals (by Selection Panel)	November 2011
Panel Meeting	w/c 5 December
Projects notified of award	12 December 2011
Proposed start date for projects	January 2012
Meeting of EIRG projects (location to be advised or virtual)	End January 2012
Planet Under Pressure meeting (London)	26–29 March 2012
Rio 2012 Preparatory Committee 3	28–30 May 2012
EIRG review meeting (virtual)	June/July 2012
EIRG projects report to 2 <sup>nd</sup> annual ESPA Conference	October 2012
Projects close and final reports	December 2012

## ***Budget and financial arrangements***

The EIRG projects will be administered as small, focused research grants. As such it is expected that the majority of expenditure will be on staff time, associated overheads and limited travel costs. Equipment (including laptops) should not be required and will not be funded.

Applicants should complete their budget using the supplied budget spreadsheet and should note that this includes built-in calculations to assist the selection panel in the assessment of value for money.

**PLEASE NOTE THAT APPLICATIONS WILL BE REJECTED BEFORE REVIEW IF THEY HAVE NOT USED THE FORMS PROVIDED ON THE UNIVERSITY OF EDINBURGH ONLINE PROCUREMENT SYSTEM. THIS INCLUDES THE TEMPLATE FOR CVS.**

***The maximum value of any one award and research contract will not exceed £50,000***

### **All applicants should note that:**

1. As this call for proposals relates to a grant to conduct research, the budget must not include a component for profit. Staff costs quoted in the budget should be calculated on the basis of salary plus employment costs (pension and social insurance). Daily rates should be calculated on the basis of a working year of 220 days.
2. Applicants may use their own methods to calculate overhead rates, but these should be realistic and should demonstrate appropriate value for money. UK academic applicants should note that overhead calculations that exceed what would be expected to be returned under the [current \(2011\) RCUK / TRAC data for Full Economic Costing](#) rate (i.e. 80% of the institutional FEC rate) are likely to be assessed as failing to demonstrate appropriate value for money.
3. The contract award and all payments will be made in Pounds Sterling and no allowance can be made for exchange rate fluctuations or losses incurred during implementation of projects.

UK and EU applicants should note that:

4. This call is being administered using a public procurement system and resulting contracts will be administered by the ESPA Directorate and subject to standard EU procurement rules (open procedure). UK academic applicants should note that this means that awarded contracts will be funded at the level of 100% of actual expenditure.
5. This call for proposals relates to **small research grants** which will generate new knowledge to be placed in the public domain consistent with the definition of research under the Frascati Manual. As such, any staff time included in applications for funding would normally be expected to be zero rated for VAT. Any applicant organisation that considers it necessary to charge VAT on staff time should note that any VAT that is chargeable should be included in the budget spreadsheet and that the maximum value for awards and resulting contracts will be inclusive of VAT.

## **Application process**

**The closing date for applications is 7<sup>th</sup> October 2011 at 17:00 BST (16:00 GMT/UTC).** Applications will be managed by the University of Edinburgh's online procurement system<sup>1</sup>.

Applicants should note that because this call for proposals is being administered as an online procurement process, it will be impossible, under any circumstances, to provide an extension to this deadline. Applicants are strongly encouraged to register on the procurement system well in advance of the closing date and to aim to submit their final proposal no less than 24 hours before the final deadline.

Applications must be submitted in English using the forms provided on the University of Edinburgh Online Procurement System (<https://in-tendhost.co.uk/edinburghuni/>). Applicants should also refer to the guide to applicants at the same location. All text must be formatted in 11 point Arial font, with minimum margins of 1.5 cm.

Applicants are required to provide:

1. **Completed application form** (respecting the indicated word and page limits, using the application template)
2. **CV and Track Record** documents for all staff to be funded by the project (Maximum of three pages, using the CV template).
3. **Financial spreadsheet.** (Using the financial template)

Letters of support are not required for this call and will not be considered during the selection process. Proposals will be evaluated using only the submitted documents. Applicants should note that any cross-references to additional documentation or evidence are unlikely to influence the evaluation.

Applications must be submitted using the University of Edinburgh online public procurement system (<https://in-tendhost.co.uk/edinburghuni/>). All details in relation to this call are provided on this system. The selection process will be administered under EU procurement (open procedure).

All applications that have been submitted by the closing date will be eligible for evaluation.

### **Stage 1. Eligibility check**

Proposals will be checked for eligibility on the following criteria:

1. All required documentation submitted and completed correctly. This will include checking that the correct online templates have been used and word and page counts adhered to.
2. At least one developing country staff national included in the proposal and at least 33 % of the work effort (person days) allocated to developing country nationals
3. Total budget for the project (including any VAT if appropriate) does not exceed £50,000

Failure to meet the eligibility criteria will lead to the proposal being rejected at this stage.

---

<sup>1</sup> Please note that this system is separate from Je-S, the system used by NERC to administer the main ESPA research grants. All applicants will need to register on the Edinburgh University procurement system, *even if they have applied for ESPA funding previously.*



## Stage 2. Relevance to call

Proposals will be reviewed by the ESPA Directorate to assess their relevance to the call. At this stage, only two criteria will be considered. Proposals will be assigned a grade for each criteria and any proposal failing to meet the threshold levels will be rejected.

Criterion	Assessment method	Threshold	Weighting
Relevance of the application to the call	Main application	60 %	50 %
Potential development impact	Main application	60 %	50 %

All applications passing the relevant thresholds will be assigned an overall grade which will **inform** the identification of proposals for shortlisting for the next stage of the selection.

## Stage 3. Final selection

Shortlisted proposals will be reviewed in full by a selection panel composing representatives of ESPA's research and user community. Proposals will be reviewed and graded according to the following criteria. Please see the grading score sheet in Annex 3.

Criterion	Assessment method	Threshold	Weighting
Scientific excellence of the application	Main application	70 %	40 %
Relevance to the call, including potential development impact	Main application	60 %	30 %
Academic quality of proposed staff, including provision of leadership.	Staff CV & Track record	None	15 %
Value for Money	Financial spreadsheet Main application	None	15 %

Individual grades from reviewers will be considered by the selection panel before they then provide a grade based on consensus (i.e. the numeric average will not be used). Any proposal failing to meet the relevant thresholds for this stage of selection will be deemed ineligible for funding.

The selection panel will identify proposals eligible for funding from a ranked list derived from the consensus scores. In addition, the panel will consider the overall balance of funded proposals and how they fit with and complement existing ESPA investments (funded and closed projects). The final decision will be made using the consensus scores and the comments and views of panel members.

## Legal information

### All applicants should note that:

1. The call for proposals, award process and resulting contracts will be administered by Research Into Results Ltd (RIR) acting on behalf of the ESPA Directorate and ESPA's funders. Research Into Results<sup>2</sup> is a wholly-owned subsidiary company of the University of Edinburgh.
2. The call for proposals, award process and resulting contracts will be administered under Scottish law.
3. The contract awarded to a successful applicant will be based on the sub-contract template attached hereto at Annex 4, which may be amended subject to negotiation between RIR and the successful applicant. All intellectual property generated under such a contract will be owned by RIR for the purposes of the Directorate.
4. Projects will be required to deposit copies of all data, reports and publications generated through the project with the ESPA Directorate who will then share these with the ESPA funders (NERC, ESRC and DFID) and where appropriate store electronic copies in the funders' own repositories. Where projects are unable to do this for reasons of copyright, they will be expected to provide appropriate metadata describing the relevant research product, including links to the copyright owner and their repository.
5. Projects will be required to provide progress (at 6 months) and final (on completion) reports to the ESPA Directorate.
6. The ESPA Directorate will reserve the right to undertake a financial audit of one or more projects awarded under this scheme.

<sup>2</sup> Research Into Results is a company registered in Scotland.  
Number SC382100. VAT Registration Number 592 9507 00.  
Registered Office Old College, South Bridge, Edinburgh EH8 9YL.

Please note that the EIRGs are commissioned from the budget of the ESPA Directorate to address impact and evidence needs, and therefore Directorate members will be involved in the selection process. The call is being managed solely by the Directorate, in contrast to the larger ESPA grants which are managed by the ESPA Secretariat, based at NERC.

### ***Frequently Asked Questions***

Please refer to the Frequently Asked Questions (FAQ) document for the call on the University of Edinburgh Online Procurement System.

If the FAQ sheet cannot answer your question, please email your question through the University of Edinburgh Online Procurement System to the ESPA Directorate.

## List of Abbreviations

<b>Abbreviation</b>	<b>Definition</b>
BST	British Summer Time
CV	Curriculum Vitae
DFID	Department for International Development
EIRG	Evidence and Impact Research Grants
ESPA	Ecosystem Services for Poverty Alleviation Programme
ESRC	Economic and Social Research Council
EU	European Union
FAQ	Frequently Asked Questions
FEC	Full Economic Costing
GEF	Global Environment Fund
GMT	Greenwich Mean Time
ICF	International Climate Fund
IP	Intellectual Property
IPBES	Intergovernmental Science-Policy Platform for Biodiversity and Ecosystem Services
IPCC	Intergovernmental Panel on Climate Change
MDG	Millennium Development Goals
NERC	Natural Environment Research Council
NGO	Non-Governmental Organization
RCUK	Research Councils United Kingdom
RIR	Research Into Results
TRAC	Transparent Approach to Costing
UK	United Kingdom
UN	United Nations
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UTC	Co-ordinated Universal Time
VAT	Value Added Tax
WAVES	Wealth Accounting and Valuation of Ecosystem Services

## ***Annex 1: Extracts from the 2010 ESPA Announcement of Opportunity: Section 4***

The following information has been extracted and adapted from Section 4 of Part A of [ESPA's 2010 call for Consortium Projects](#).

### ***Excellence with development impact***

All research programmes funded by this ESPA call **must** deliver both development impact and excellent science.

#### 1. Delivery of development impact should entail:

- addressing an important development policy question, with special emphasis on poor people in least developed countries;
- producing an evidence base that is based on a thorough understanding of political, economic and ecological drivers of change, which decision-makers can use to change policy and/or formulate new and appropriate policy responses;
- improving existing and/or developing new and innovative tools, approaches, mechanisms and technologies for effective management of ecosystem services in the context of poverty alleviation, with special regard to addressing the political economy and ecosystem services perspectives;
- conducting research at scales that will lead to wider impacts on, and thus advances in, policy, decision-making and behaviour (e.g. national, regional, international); and delivering research that can change people's lives, understanding or behaviour: producing evidence that can generate influence and effect among academic and other users.

#### 2. Delivery of excellent research should entail:

- a significant contribution to the advancement of theory and understanding of the issues (i.e. new and enlightening research questions, new kinds of evidence, new insights);
- theoretical and conceptual rigour in relation to research design, methodology and process;
- employing effective interdisciplinary approaches that provide opportunities for real integration across scientific disciplines, which may include new ways of interdisciplinary cooperation and system based approaches.

Research funded by ESPA must also involve equitable and ethical partnerships for co- production of knowledge between researchers in north and south, which also provide opportunities for southern capacity building.

### ***The ESPA Research Framework***

ESPA aims to take forward the findings of The Millennium Ecosystem Assessment (2005)<sup>3</sup> which concluded that 60% of ecosystem services studied are severely degraded or being used unsustainably. ESPA recognises that there are indications that, despite the obvious benefits that exploitation of the world's natural resources has delivered to society, these processes have resulted in large scale degradation of other key ecosystem services. There is growing concern that this degradation is now impacting on some of the world's poorest and most vulnerable groups. There is also a growing recognition that ecosystem service decline may already be affecting progress towards poverty alleviation, and also resulting in lost opportunities for wealth creation based on delivering new forms of value from ecosystem services.

---

<sup>3</sup> <http://www.maweb.org/en/index.aspx>

Projects should now refer to the [ESPA Knowledge Strategy and Research Framework](#) available on the [ESPA Website](#).

## ***Policy and decision making needs, evidence challenges and overarching questions***

ESPA research must contribute to building a robust evidence base that will support improved policy and decision making to deal with the key challenges in managing ecosystem services in the context of poverty alleviation and sustainable growth.

ESPA has identified some of the critical evidence needs faced by policy and decision- makers, which currently prevent achievement of ESPA's goal. These critical evidence challenges are detailed below, and research funded under this call must demonstrate how it will serve to address these evidence challenges and overarching questions and, if relevant, other policy and decision-making needs.

- What values do ecosystem services hold and for whom?
- What drivers are degrading and/or preventing realisation of the values provided by ecosystem services, and how can we better manage prevailing trends?
- What are the most critical dynamics and processes that influence the provision of ecosystem services in the context of poverty alleviation?
- How can we safeguard ecosystem service values of particular importance to the poor?
- How can we manage ecosystem services sustainably, and realise more out of their values, for poverty alleviation and growth/the economy?

## ***Themes***

In order to contextualise these generic overarching questions, the research generated by ESPA must address the above overarching questions/evidence challenges but be conducted in context of the **ESPA thematic areas**

- Water: Impacts of climate variability and other changes on ecosystem services that underpin the water cycle and water security
- Forests: Forests, land use change and ecosystem services
- Coasts: Strengthening the management of coastal ecosystems to support sustained ecosystem service delivery for reduced poverty and vulnerability in coastal zones
- Health: Ecosystem services, disease ecology and human well-being
- Biodiversity: Biodiversity and ecosystem services - ensuring a sustainable flow of goods and services to enhance human well-being
- Political Economy: The political economy needed for sustainable management ecosystem services for poverty alleviation and sustainable growth

For an expanded explanation of these research themes, refer to the [ESPA Programme Memorandum](#).

## ***Annex 2: ESPA's geographic regions***

The following information has been extracted and adapted from Section 4 of Part A of [ESPA's 2010 call for Consortium Projects](#).

ESPA's Research must be conducted in the following geographic regions:

- South Asia
- Sub-Saharan Africa
- Amazonia
- China

Projects that support cross-regional/country–country research, engagements and partnerships across these regions are strongly encouraged by the ESPA Programme.

Projects that have clear potential for replication across, or beneficial impacts upon, a wider geographic range in the developing world are also welcomed.

Only if the research is to be conducted in 'least developed' or 'low income' countries<sup>4</sup>, and only with appropriate justification, will countries within other regions be considered.

Where research is to be conducted largely in a middle income country or countries, there must be a clear justification for doing research in the area, with evidence that the project will contribute to at least one, but preferably more than one, of the following agendas (i.e. the project must demonstrate that it will assist in):

- advancing knowledge, evidence and impact in other 'least developed' or 'low income' countries, either within the same region or other regions
- delivering global public goods benefits by, for example, advancing our understanding of local–global impacts and/or strengthening understanding of evidence for global dimensions of ecosystem services and poverty alleviation
- making serious and unique research advancements on a critical issue as a result of specific circumstances of the middle income country that could not be made elsewhere

---

<sup>4</sup> See the World Bank's list of country group categories. <http://data.worldbank.org/about/country-classifications/country-and-lending-groups>

## ***Annex 3: Grading Score Sheet***

### *Scientific excellence of the application*

- Scientific excellence would be assessed from the research proposal based on its originality, significance and rigour.

### *Relevance to the call, including potential development impact*

- The assessment would include the potential for the research to have bearing on situations other than where the study is based.
- Whether the project has identified the groups of poor people who are going to be affected by this research and the potential impact that it will make on their lives.
- Whether the project has used the research and impact frameworks and it has demonstrated the potential to deliver new insights and relevant information to the programme.

### *Academic quality of proposed staff, including provision of leadership*

- Academic quality is based on the personal details and track records of the team, and is examining the potential for them to deliver high quality research outcomes in a timely manner.

### *Value for Money*

- Value for money is based on the budget and explanation of it, and examines whether, taking into account risks in the research and the potential rewards in terms of new evidence, the project offers Value for money.

**Annex 4: Template Sub-Contract**



**SUB-CONTRACT**

**Between**

**RESEARCH INTO RESULTS LIMITED**

**And**

**[ ]**

ERI Legal Division  
Edinburgh Research & Innovation Ltd  
1-7 Roxburgh Street  
Edinburgh  
EH8 9TA

Ref: ERI091



## SUB-CONTRACT

between

**RESEARCH INTO RESULTS LIMITED**, a company registered in Scotland under registration number SC382100 and having its registered office at University of Edinburgh, Old College, South Bridge Edinburgh, EH8 9YL ("RIR")

and

[ ] ("Subcontractor").

### Background

- (A) RIR and other collaborative parties submitted a collaborative proposal for funding ("the Proposal") to the UK Department for International Development ("DFID"), the Natural Environment Research Council ("NERC") and the Economic and Social Research Council ("ESRC") (inserted hereto as Part 1 to the Schedule) to support the project entitled Ecosystems Services for Poverty Alleviation (ESPA) Directorate (the "Project").
- (B) RCUK Limited, acting on behalf of NERC, has accepted the Proposal and RIR has received an offer of grant (reference number PR100026) on the conditions listed at Part 2 of the Schedule (the "Main Contract"). DFID and ESRC will co-fund the Project with NERC (hereinafter referred to collectively as the "Funders").
- (C) RIR wishes to subcontract some of the research of the Project (the "Research", as defined below) to the Subcontractor and the Subcontractor is willing to carry out the Research on behalf of RIR.
- (D) RIR and the Subcontractor have agreed that the subcontracted Research should proceed on the terms and conditions set out in this Agreement.

### Terms and Conditions

It is hereby agreed as follows:

#### 1. Definitions and Interpretation

1.1 The following terms shall have the following meanings:

- 1.1.1 "AGREEMENT" means this agreement including the Schedule;
- 1.1.2 "COMMENCEMENT DATE" means [ ] notwithstanding the date or dates of execution of this Agreement;
- 1.1.3 "CONFIDENTIAL INFORMATION" means any Information and / or Intellectual Property which is, or may be reasonably regarded as, or which ought to be regarded as, confidential or which is expressly marked as a Party's proprietary or confidential information supplied by one Party (the "Provider") to the other Party (the "Recipient") in relation to this Agreement or the Project including (without limitation to the foregoing) the Subcontractor Background Intellectual Property and the RIR Background Intellectual Property;
- 1.1.4 "RIR BACKGROUND" means the Information and Intellectual Property which at the date hereof is in, or during the Research Period and, other than as a result of the Research, comes into, the ownership or control of RIR and which RIR is free to disclose without the consent of, or need to account to, any third party;

## ESPA: Evidence and Impact Research Grants (2011)

- 1.1.5 "SUBCONTRACTOR BACKGROUND" means the Information and Intellectual Property which at the date hereof is in, or during the Research Period and, other than as a result of the Research, comes into, the ownership or control of the Subcontractor and which the Subcontractor is free to disclose without the consent of, or need to account to, any third party;
- 1.1.6 "INFORMATION" means all and any information including, without limitation, computer code, computer programs, correspondence, data, designs, discoveries, documents, drawings, formulae, unpatented inventions, know-how, materials, papers, photographs, processes, reports, samples, specifications, software, any technical or commercial information of any kind, and including oral information if subsequently confirmed in writing within forty five (45) days after the disclosure thereof;
- 1.1.7 "INTELLECTUAL PROPERTY" means all and any patents, trade marks (both registered and unregistered), design rights (both registered and unregistered), semiconductor topography rights, copyright, database right and any and all other forms of intellectual or industrial property right and / or protection, whether arising automatically at law or otherwise, in each and every part of the world and any and all applications for the same;
- 1.1.8 "RESEARCH PRODUCT" means all and any Information and Intellectual Property arising directly out of the Research;
- 1.1.9 "SCHEDULE" means the Schedule in four (4) parts annexed to this Agreement;
- 1.1.10 "RIR CONTACT" means [ ] or such other person as RIR may intimate to the Subcontractor from time to time;
- 1.1.11 "RESEARCH PERIOD" means the period between the Commencement Date and [ the date of expiry or termination of the Main Contract];
- 1.1.12 "RESEARCH" means the activity specified in Part 3 of the Schedule; and
- 1.1.13 "RESEARCH PAYMENT" means [ ] pounds (£[ ]).

### 1.2 In this Agreement (except where the context otherwise requires):

- 1.2.1 references to recitals, clauses, sub-clauses and schedule are to recitals, clauses, sub-clauses and the schedule to this Agreement;
- 1.2.2 headings to clauses and the schedule are for convenience only and do not affect the interpretation of this Agreement;
- 1.2.3 references to "Party" are to a party to this Agreement and "Parties" shall be construed accordingly;
- 1.2.4 use of the singular shall include the plural and vice versa;
- 1.2.5 any phrase introduced by any of the terms "including", "include", "in particular" or any similar expression shall be construed as illustrative and shall not limit the sense of the words preceding such terms.

## 2. Commencement and Term

The Research shall start on the Commencement Date and shall continue until the expiry of the Research Period or, if earlier, the date of termination of this Agreement under Clause 11.

## 3. Research

- 3.1 The Subcontractor shall undertake the Research on behalf of RIR. The Research may be amended from time to time but only by the mutual written agreement of RIR and the Subcontractor.
- 3.2 The Subcontractor shall:
- 3.2.1 commence the Research promptly after the Commencement Date;
  - 3.2.2 undertake the Research in a timely and professional manner, with all due skill, care and diligence, in accordance with good work practice and all applicable legal requirements;
  - 3.2.3 use all reasonable endeavours to perform the Research substantially in accordance with the terms and conditions of this Agreement but, due to the speculative nature of the Research, gives no guarantee that specific objectives can be attained; and
  - 3.2.4 provide facilities for the purposes of the Research including (i) adequate research facilities and (ii) adequate accounting and administrative services to ensure the proper financial and administrative control of the Research.
- 3.3 The Subcontractor shall provide to the RIR Contact reports and other information relative to the Research at such times and in such form as may be required by the RIR Contact to enable RIR to comply with the reporting obligations and timetable set out in the Main Contract.
- 3.4 The Subcontractor shall be entitled, in so far as may be necessary, to provide the Research directly to the Funders and to interact as necessary with the Funders. However, the Subcontractor shall keep the RIR Contact fully informed of all direct communications and interactions with the Funders, a copy of all communications being provided promptly to the RIR Contact.
- 3.5 The Subcontractor shall make all reasonable enquiries to ensure, to the best of its belief, that the Subcontractor does not require access to any third party owned Intellectual Property to enable the Subcontractor to undertake the Research.

#### **4. Main Contract**

- 4.1 The Subcontractor shall observe, perform and comply with all the provisions of the Main Contract in so far as they relate to the Research.
- 4.2 The Subcontractor undertakes not to do or omit to do anything which would result in RIR being in breach of its obligations under the Main Contract.
- 4.3 In the event of any conflict between the terms of this Agreement and the Main Contract, the terms of the Main Contract shall prevail.

#### **5. Payment Provisions**

- 5.1 Subject to Clause 5.2, RIR shall pay to the Subcontractor the Research Payment, payable as provided for in Part 4 of the Schedule. This Agreement is cash limited and under no circumstances shall RIR pay the Subcontractor more than [ ] pounds (£[ ]) in total.

- 5.2 Payment of the whole or any part of the amount specified in Clause 5.1 by RIR to the Subcontractor is subject to:
- 5.2.1 the Subcontractor performing its obligations under this Agreement to the reasonable satisfaction of RIR;
  - 5.2.2 the Subcontractor providing reports and other information to RIR within such time-scales as may be specified by RIR or as specified in the Main Contract;
  - 5.2.3 the Subcontractor having incurred the actual expenditure on the Research;
  - 5.2.4 any repayment required by the Funders under the Main Contract; and
  - 5.2.5 RIR having first received the corresponding part of the Research Payment from the Funders under the Main Contract. The Subcontractor acknowledges that under the Main Contract payment will be made on completion of the Research and submission of a report to the Main Contractor.
- 5.3 Any and all payments to be made by RIR in terms of this Agreement are:
- 5.3.1 exempt from value added tax;
  - 5.3.2 inclusive of all other taxes and other statutory or regulatory deductions; and
  - 5.3.3 to be treated by the Subcontractor as advance payments until such time as the Main Contractor has confirmed that the Research has been performed satisfactorily.
- 5.4 If the Funders demand repayment of any part of the Research Payment pursuant to the Main Contract due to any act or omission by the Subcontractor, the Subcontractor shall upon written request from RIR make repayment of the relevant part of the Research Payment to RIR forthwith.
- 5.5 The Subcontractor shall retain all invoices, receipts, records, vouchers and other documentation for a period of six years after the termination or expiry of the Main Contract. All such documentation shall be made available on request to RIR and the Funders.
- 5.6 The Subcontractor is responsible for accounting to all relevant authorities for all taxes (including income and all other taxes), and other liabilities, charges and dues for which the Subcontractor is due. If RIR is liable, or liable to account for, any tax in respect of any payment made to the Subcontractor pursuant to this Agreement, the Subcontractor will reimburse RIR, on demand, such amount as is necessary to put RIR in the same net of tax position as it would have been in if it had not been liable or liable to account for the tax.
- 6. Confidentiality**
- 6.1 The Recipient shall, unless otherwise agreed with the Provider in writing,:
- 6.1.1 at all times keep the Confidential Information secret and confidential, and shall not disclose or divulge any part of it to any third party;
  - 6.1.2 use the Confidential Information solely for the purposes of the Research; and
  - 6.1.3 apply the same degree of care to the storage and handling of Confidential Information as it does to its own confidential information.
- 6.2 Clause 6.1 shall not apply to Confidential Information if such Confidential Information:

## ESPA: Evidence and Impact Research Grants (2011)

- 6.2.1 is already known to the Recipient before the Commencement Date;
- 6.2.2 is already in the public domain or if it subsequently comes into the public domain other than by breach of this Agreement;
- 6.2.3 the Recipient can demonstrate that it independently developed knowledge of such;
- 6.2.4 it is received from a party other than RIR or the Funders as appropriate, who has the right to disclose it;
- 6.2.5 permission to disclose such or make use of it is granted in writing by the Provider to the Recipient; or,
- 6.2.6 it is required to be disclosed by law or by a competent court or regulatory body.

6.3 If the Subcontractor uses the services of sub-contractors, consultants, agents or students to undertake part of the Research, advise on the Research or manage the Research, the Subcontractor shall promptly and diligently ensure that such sub-contractors, consultants, agents or students sign a written undertaking agreeing to observe and maintain confidentiality in terms of this Clause 6.

### **7. Publications**

The Subcontractor shall not make any publications or presentations arising from the Research without the prior written consent of RIR.

### **8. Intellectual Property Ownership**

- 8.1 Any and all the Subcontractor Background, whether used in connection with the Research or not, shall remain the property of the Subcontractor.
- 8.2 Any and all RIR Background, whether used in connection with the Research or not, shall remain the property of RIR.
- 8.3 Any and all Research Product shall be the property of RIR.
- 8.4 The Subcontractor assigns to RIR, in respect of copyright by way of present assignment of future copyright, all Intellectual Property in the Research Product unconditionally and immediately on the creation of the Research Product.
- 8.5 The Subcontractor shall, at the request and expense of RIR, execute sign and do all such instruments, applications, documents, acts and things as may reasonably be required by RIR (i) to enable RIR (or the nominee of RIR) to enjoy the full benefit of Clause 8.3; and (ii) to enable the Intellectual Property included in the Research Product to vest wholly and exclusively in RIR (or the nominee of RIR).

### **9. Grant of Rights**

- 9.1 RIR hereby grants to the Subcontractor a non-exclusive, non-transferable, royalty-free worldwide licence to use any relevant RIR Background for the Research only and that only for the Research Period.
- 9.2 All licences granted under this Clause 9 shall terminate automatically on expiry of the Research Period or, if earlier, the date of termination of this Agreement under Clause 11.

### **10. Indemnity**

## ESPA: Evidence and Impact Research Grants (2011)

- 10.1 The Subcontractor shall indemnify and keep indemnified on demand RIR against and from any negligence, fraud, breach, non-observance or non-performance by it, its sub-contractors, employees, servants or agents of any provision of this Agreement or the Main Contract.
- 10.2 The Subcontractor shall indemnify and keep indemnified on demand RIR from and against all proceedings, actions, claims, demands, costs, charges, expenses and other liabilities arising from or incurred by reason of any infringement or alleged infringement of any third party's intellectual property rights used by the Subcontractor, its sub-contractors, employees, servants or agents for the purpose of the Research.
- 10.3 The indemnity set out in Clauses 10.1 and 10.2 shall be limited to four times the sum paid to the Subcontractor under Clause 5.
- 10.4 A Party utilising Research Product is fully responsible and liable for any subsequent loss, costs, claims or demands arising from that use.

## 11. Termination

- 11.1 Either Party may terminate this Agreement at any time immediately by written notice to the other Party if the other Party ("the Defaulting Party"):
  - 11.1.1 is in material breach of this Agreement which breach is irremediable or, if remediable, is not remedied by the Defaulting Party within thirty (30) days of being requested to do by the other Party; or
  - 11.1.2 ceases to do business, becomes unable to pay its debts as they fall due, becomes or is deemed insolvent, becomes bankrupt, has a receiver, manager, administrator, administrative receiver or similar officer appointed in respect of the whole or any part of its assets or business, makes any composition or arrangement with its creditors, takes or suffers any similar action in consequence of debt or an order or resolution is made for its dissolution or liquidation (other than for the purpose of solvent amalgamation or reconstruction) or any equivalent or similar action or proceedings is taken or suffered in any jurisdiction.
- 11.2 RIR shall be entitled to terminate this Agreement at any time immediately by written notice to the Subcontractor if the Main Contract is terminated.
- 11.3 In the event of termination under this Clause 11, the Subcontractor shall repay to RIR any unexpended balance from the sums paid to it under Clause 5 (if any) after it has deducted all outstanding and unavoidable commitments which it has incurred in undertaking the Research up to the date of such termination.
- 11.4 Clauses 3.4, 4.1, 4.2, 5.4, 5.5, 5.6, 6, 7, 8, 11 and 12 shall survive the expiry of the Research Period or the earlier termination of this Agreement.

## 12. Miscellaneous

- 12.1 Nothing in this Agreement and no action taken by the Parties pursuant to this Agreement shall constitute or be deemed to constitute a partnership between the Parties or shall constitute either Party as an agent, employee or representative of the other.
- 12.2 No variation or amendment of this Agreement shall bind either Party unless made in writing and signed by authorised representatives of the Parties.
- 12.3 Failure by either Party to enforce at any time or for any period any term of this Agreement does not constitute and shall not be construed as a waiver of such term and shall not affect the right later to enforce such term and any other term herein contained.

- 12.4 The Subcontractor may not assign all or any part of the benefits or burdens of this Agreement without the prior written consent of RIR. The Subcontractor may not sub-contract the Research.
- 12.5 If any provision of this Agreement is held to be void or unenforceable by any legislation or judicial or administrative authority, such provision shall be deemed to be severable and shall not affect the validity of the remaining portion of this Agreement which shall remain in force and effect as if this Agreement had been granted with no such provision and it is hereby declared the intention of the Parties that they would have executed the remaining portion of this Agreement without including therein any such provision.
- 12.6 This Agreement and the Main Contract constitute the entire agreement and understanding between the Parties in respect to the subject matter hereof.
- 12.7 In the event of any dispute arising out of or in connection with the execution or interpretation of this Agreement the Parties agree as follows
- 12.7.1 in the first instance representatives of the Parties shall meet to endeavour to settle such dispute amicably by negotiation in good faith;
- 12.7.2 if the Parties are unable to settle such dispute by negotiation then the Parties will attempt to settle such dispute by non-binding mediation;
- 12.7.3 if the Parties are unable to settle such dispute by mediation then such dispute shall be referred to an Arbiter to be appointed by the agreement between the Parties, or, failing such agreement within twenty one (21) days of any request for such appointment, by the President for the time being of the Law Society of Scotland, to whom either Party may apply. The Arbiter's decision, including the allocation of the costs of arbitration, shall be final and binding.

### 13. Governing Law and Jurisdiction

This Agreement and all questions of construction, validity and performance under this Agreement shall be governed by laws of Scotland and shall be subject to the exclusive jurisdiction of the Scottish courts.

IN WITNESS WHEREOF the parties have executed this Agreement in duplicate on the day and year underwritten by their duly authorised officers.

#### Executed for and on behalf of Research into Results Limited

By \_\_\_\_\_ (Authorised Signatory)

At Edinburgh on \_\_\_\_\_ 2011

\_\_\_\_\_  
(Authorised Signatory)

Before the following witness:

\_\_\_\_\_ (signature of witness)

\_\_\_\_\_ (full name)

\_\_\_\_\_ (address)

\_\_\_\_\_

ESPA: Evidence and Impact Research Grants (2011)

**Signed by [     ]**

At \_\_\_\_\_ on \_\_\_\_\_ 2011

\_\_\_\_\_  
(Signature)

Before the following witness:

\_\_\_\_\_ (signature of witness)

\_\_\_\_\_ (full name)

\_\_\_\_\_ (address)

\_\_\_\_\_



**This is the Schedule referred to in the foregoing Subcontract between the Research into  
Results Limited and [       ]**

**Part 1**

**The Proposal**

ESPA: Evidence and Impact Research Grants (2011)

**This is the Schedule referred to in the foregoing Subcontract between the Research into Results Limited and [       ]**

**Part 2**

**The Main Contract**

**This is the Schedule referred to in the foregoing Subcontract between the Research into  
Results Limited and [       ]**

**Part 3**

**The Research**

**This is the Schedule referred to in the foregoing Subcontract between the Research into Results Limited and [            ]**

**Part 4**

**Payment Schedule**

The Research Payment shall be paid in arrears as follows:-

[            ] pounds (£[            ]) inclusive of VAT payable within thirty days of receipt by RIR of payment from the Funders under the Main Contract

The Subcontractor shall send an invoice to the RIR Contact.