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Application for a Research and Development Contract with the Scottish Aquaculture Research Forum (SARF)

An electronic copy of this application form together with any supplementary material must be emailed to SARF by the closing date: info@sarf.org.uk. A hardcopy of the signed declaration page (12/13 in this blank master document) must be sent to the above address.

- Applicants must ensure that they are able to accept the terms and conditions of the standard SARF contract **before** submitting proposals. SARF will only negotiate contracts under exceptional circumstances. A copy of the standard contract can be downloaded from: <http://www.sarf.org.uk/downloads.html>
- Applicants should complete each part of the form as fully as possible, but note that entry boxes marked with an * are mandatory.
- All applications to SARF are for "research" projects, and applicants should carefully consider the opportunities that some of the text boxes in this form provide, in terms of assuring assessors that they can fulfil the objectives that the SARF Board has outlined
- To move from one section of the form to another, use of mouse and cursor are recommended. Text entry fields are clearly indicated by: . Entry boxes will expand to accommodate large amounts of text, graphics, etc. Use of footnotes or end notes for entering references is acceptable.

PROPOSER'S DETAILS			
1. Proposer's full name and title *		Telephone *	
Position held *		Mobile *	
		Email *	
2. Name and address of organisation *			

SUB OR JOINT CONTRACTOR DETAILS (IF APPLICABLE)	
Sub-contractor 1 Name & Address	
Sub-contractor 2 Name & Address	
Joint contractor 1 Name & Address	
Joint contractor 2 Name & Address	

SECTION ONE - SUMMARY

3. Project Title *	Feasibility/modelling of single Marine Licence development consent for Scotland aquaculture			
4. SARF Reference <i>As per Call for Proposals, if applicable</i>	SARF113			
5. Abstract of research *. To include the main objective, relevance to SARF (may refer to a specific call or published principles) and intended use of results.				
<p>The current aquaculture consenting process in Scotland is complex, requiring developers to obtain a seabed lease, a Controlled Activities Regulations (CAR) licence (finfish aquaculture only), Planning Permission, a Marine Licence(s) and the authorisation to operate an Aquaculture Production Business.</p> <p>A recent independent review of the process [1] made recommendations with regard to reducing some of the complexity and duplication identified, in order to speed up and reduce uncertainty in the process without compromising the system's robustness. The study provided recommendations as to how the consenting process may be streamlined, via both 'quick wins' and via longer term alternative consenting options, which could further simplify the process further to the quick win recommendations being implemented.</p> <p>One of the potential future alternative consenting options was the introduction of an 'Aquaculture Act', which would provide a legislative framework for addressing all of the issues identified in the review and bring the process under the jurisdiction of one Competent Authority, for example, Marine Scotland. SARF have commissioned a study to scope the feasibility of developing a single Marine Licence consent process, should an Aquaculture Act be implemented in the future.</p> <p>This proposal outlines how the over-arching aim of the SARF113 Call for Proposals may be met to help inform discussions between regulators, industry and stakeholders regarding alternative consenting options that could be implemented to both enable sustainable expansion of the aquaculture industry in Scotland, whilst maintaining the robust nature of the current consenting process.</p>				
6. Project duration in months *	9			
7. Proposed start date *	January 2018			
8. Total cost to SARF including VAT *				
9. Date this application submitted to SARF *	20 October 2017			
10. Summary of total estimated costs *				
<p><i>This should include the costs of the research work which will be funded by (a) SARF, (b) Bodies other than SARF (if you have identified one or more co-funder for this project), (c) 'in kind' contributions as a value, as appropriate. Note that you should include the cost of VAT if it is appropriate for any contributor: all costs should be Gross.</i></p>				
Funding Body	Year 1 Costs (£)	Year 2 Costs (£)	Year 3 Costs (£)	Total Costs (£)
a) SARF				
b) Other (Identify):				
Sub-total (Cash)				
c) In Kind (Identify)				
Sub-total (In-Kind))				
TOTAL COST				

Note: Question 26 of this application form identifies in detail what the research will cost, and Question 8 above summarises the total cash cost to SARF, including VAT. The Question 10 table above indicates how the overall project cost will be funded. In kind costs should be included in Question 26, and identified as sources of funding here in Question 10.

Note: Applicants are advised to clear the costs at Question 26 with their respective Finance departments and to agree the value of any in kind contributions with those involved with the work before completing this summary.

Note: SARF does not expect or anticipate that your organisation will be able to identify a co-funder for any project application, but if you were able to do so, that would be beneficial in the assessment of your application.

Note: SARF welcomes applications from all types of organisations. If you feel that your organisation has particular attributes because it is a 'small business', please contact the Secretariat for further advice. Please note, however, that small business status has not been relevant to any SARF contracts since its inception in 2004.

SECTION TWO – SCIENCE

SARF funds research in support of its Directors' agreed R&D requirements which may be published from time to time on the SARF website. Specific calls for proposals will be issued together with supporting documentation as appropriate.

11. Purpose. Summarise the research or technical problem which you propose to address and give reasons why SARF support should be given. *

As noted above, the current aquaculture consenting process in Scotland is complex, requiring developers to obtain a seabed lease, a Controlled Activities Regulations (CAR) licence (finfish aquaculture only), Planning Permission, a Marine Licence(s) and the authorisation to operate an Aquaculture Production Business.

Whilst the robustness of this process in ensuring that aquaculture development in Scotland is sustainable (i.e. remains within environmental limits) is appreciated by both regulators and industry, a recent review of the process [1] identified areas which could be improved to simplify (reduce duplication), speed up and reduce uncertainty in the process without compromising the system's robustness. The study provided recommendations as to how the consenting process may be streamlined, via both 'quick wins' and via longer term alternative consenting options, which could further simplify the process subsequent to the quick win recommendations being implemented.

One of the alternative consenting options was the introduction of an 'Aquaculture Act', which would provide a legislative framework for addressing all of the issues identified in the review and bring the process under the jurisdiction of one Competent Authority, for example, Marine Scotland. This option was not recommended for implementation in the short to medium term future, due to the time and effort required to develop and implement new legislation and the potential for achieving similar outcomes more quickly through some of the other alternative options/recommendations. However, the review did recommend that the potential to codify existing legislation into an Aquaculture Act was explored once the consenting process had been optimised via implementation of some of the other recommendations (for example, in five years' time).

Through the SARF113 Call for Proposal, SARF is commissioning a research project to provide evidence to advise regulators, managers, industry and stakeholders in relation to discussions about the future development of an Aquaculture Act. Specifically, SARF is commissioning a study to assess the feasibility of a single Marine Licence development consent for all types of Scottish aquaculture (i.e. finfish, shellfish and seaweed), further to the implementation of a new Aquaculture Act. The study is required to examine and prepare a detailed model of how a future Marine Licence-based development consent could be developed (which fulfils legislative requirements under CAR but does not require planning permission under the Town and Country Planning (Scotland) Act 1997 (as amended) (hereafter referred to as the Town and Country Planning Act) as is currently required) to enable sustainable expansion of the Scottish aquaculture industry.

This proposal has been prepared in response to the SARF113 Call for Proposals.

12. Research context. Please describe how your proposal relates to the current state of knowledge (full reference, see Annex B) and in which ways the results will advance research/technical understanding. *

Aquaculture is an important industry for Scotland, helping to sustain economic growth in the rural and coastal communities of the north and west, and produces Scotland's most valuable food export. In 2015, the value of Scottish finfish production and shellfish production was estimated to be worth approximately £637,089 million and £10.1 million respectively [2]. Furthermore, as the global demand for seafood continues to increase, the expansion of aquaculture is recognised as having the potential to contribute to food security, provide a healthy source of protein and bring socio-economic benefits to Scottish communities through employment opportunities [2, 3]. To realise such benefits, Scotland's aquaculture industry has ambition to grow aquaculture production to 350,000 tonnes for marine finfish and 21,000 tonnes for shellfish by 2030 [3].

As noted above, the current consenting process for Aquaculture in Scotland has been clearly mapped out and described in a recent review [1] which highlighted issues with the process, particularly relating to duplication of information requirements from the developer, responsibilities of Competent Authorities and consultation requirements from statutory and non-statutory consultees.

The review made recommendations for addressing these issues including 'quick win' recommendations that it suggested could be implemented in the short-term, and 'alternative options' which would require more substantial changes to the process and could be implemented in the medium to longer term future. The benefits to streamlining the consenting process included reduced burdens (e.g. via duplication of effort and potentially costs) on the developers, Competent Authorities and consultees, and a reduction of the timeframe for obtaining consent, which would help to support both the industries and Scottish Government's ambitions for aquaculture whilst maintaining the robust nature of the process.

One specific alternative option presented in the review was the recommendation for the introduction of an Aquaculture Act, which would effectively provide a 'clean slate' approach to the consenting and licensing process for all forms of aquaculture in Scotland. Via the Act, this option would provide a legal framework for legislation to be specifically designed for the aquaculture industry (addressing the specific issues and needs of the sector), consolidate all current consents and could result in the licensing and development management role being transferred from Local Authorities (the Competent Authorities under the Town and Country Planning Act (TCPA)) to another body, for example, Marine Scotland.

SARF are commissioning a research study to assess the feasibility of a single Marine Licence development consent for Scotland's aquaculture. The Call for Proposals states that the overarching aim of the study is to *"provide evidence to help advise regulators, managers, industry and stakeholders in relation to discussions about the development of a future Aquaculture Act"*. The following proposal outlines the approach that could be taken to achieve this overall aim, via the specific study objectives described below in Q13. The outputs of this study will be designed to help provide regulators, industry and stakeholders with information regarding the potential options available for developing a single Marine Licence development consent and the feasibility of these options.

13. Objective(s). Please give details of (a) each research objective, (b) to what extent these objective(s) are interdependent; and (c) whether any factors exist to delay achievement of the objective(s). Where there is more than one contractor, please show clearly below the roles of each

a) Research Objective(s) *. *Technical and Scientific aims of the research which must be measurable and time-bound, please number the objectives. If your application is accepted, these objectives will be included in the agreement between you and SARF. Please, therefore, restrict your entry to the salient points and set these out clearly and concisely.*

As noted above, the overarching goal, as stated in the SARF113 Call for Proposals, is to *"provide peer-reviewed evidence to help advise regulators, managers, industry and stakeholders, in relation to discussions about the development of a future Aquaculture Act"*. This has been interpreted to mean that the study should focus on the potential feasibility of creating a single Marine Licence development consent via the creation of an Aquaculture Act enabling transfer of the licensing and development of aquaculture role being transferred from Local Authorities (which currently have this role under the TCPA) to Marine Scotland, further to which a single Marine Licence consent for all aquaculture developments could be developed. However, there are potentially other mechanisms via which a single Marine Licence development consent could be achieved (for example, via incorporating aquaculture consenting into the Marine (Scotland) Act 2010 and removing it from the jurisdiction of the TCPA) and this study will also assess the feasibility of such alternative options.

Further to this, we proposed the following specific research objectives:

- **Objective 1:** Outline any recent or imminent changes to the consenting process for Scottish aquaculture subsequent to the publication of Nimmo et al (2016) [1];
- **Objective 2:** Identify options (models) for creating a single Marine Licensing Development Consent for all Scottish aquaculture;
- **Objective 3:** Discuss the options with key stakeholders (regulators, industry representatives and others) to assess feasibility and further define the detailed requirements for the potential options; and
- **Objective 4:** Deliver a draft and final report to the SARF Project Steering Group.

b) Interdependence of objective(s) *. *To what extent does the success of one scientific objective depend on the successful completion of another? How essential is each research objective in achieving the overall objective.*

The objectives are interdependent and will be required to be completed sequentially, although planning and preparation for undertaking objectives 2 and 3 will be undertaken in parallel with the work for objective 1 (for example, planning of interviews with key stakeholders and workshops dates etc.; see Approach in Q14a).

c) Please give details of any particular factors which might cause delays in the achievement of these objective(s) *.
 What are the chances of this happening; what are the probable consequences; and what steps will you take to prevent this happening?

[REDACTED]

Risk	Likelihood/impact	Mitigation	Residual likelihood
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]

14. a) Approaches and Research Plan *. *Outline the experimental approaches to be used in realising the objectives and set out the work plan for the life of the project stating clearly how you intend to proceed. Please number the Approaches in the same way as the Objectives. Where there is more than one contractor, please show clearly below the roles of each. If your application is accepted, the Approaches and Research Plan will be included in the agreement between you and SARF. Please therefore, restrict your entry to the salient points and set these out clearly and concisely. **

This section describes our proposed approach to delivering the research objectives identified in Question 13, together with a draft programme for completing the work. The following project tasks have been identified to deliver the overall objectives of the study:

- **Task 1:** Project Inception Meeting;
- **Task 2:** Review of updates/incoming changes to the consenting process for Scottish aquaculture;
- **Task 3:** Identify options for creating a single Marine Licensing Development Consent for Scottish aquaculture;
- **Task 4:** Project workshop with key stakeholders; and
- **Task 5:** Production and delivery of draft final report and final report to SARF.

Additional task identified as required for meeting project objectives:

- **Tasks 6** – Attendance at Project Steering Group meetings.

The approach to these project tasks is described in more detail below.

Task 1, Inception meeting

To ensure the project team has a sound grasp of SARF's requirements we will participate in a project inception meeting following award of contract. Through the inception meeting we will seek to confirm:

- The proposed scope, objectives and tasks;
- Requirements and timetable for deliverables;
- Milestones and payment schedule;
- Identification and management of key project risks;
- Approaches to key assumptions;
- Key contact details; and
- Progress reporting requirements and arrangements.

The inception meeting will be attended by [REDACTED] and [REDACTED]. Further to the meeting, a brief Inception Report, capturing the outputs of the discussions, will be circulated to the Project Steering Group (PSG).

Task 2: Review of updates/incoming changes to consenting process for Scottish aquaculture

As noted above, the recent independent review of Scottish aquaculture consenting [1] mapped out the legislative background and consenting process for finfish, shellfish and seaweed aquaculture in Scotland. This information will be used as the starting point for the current study and the purpose of this task will be to ensure that any changes or imminent changes to the consenting process, or key developments which may influence the consenting process (for example in relation to marine spatial planning), are accounted for in the consenting process 'baseline' prior to examining the feasibility of a model for a single development consent in Task 3. This 'update' will be conducted via a brief desk-based review and discussions with the relevant authorities/agencies and other key stakeholders as required. Examples of information to be captured in this process is likely to include, but will not be limited to:

- Any 'quick wins' from the Independent review of Scottish aquaculture [1] which are being, or have been, taken forward;
- The influence of the devolution of The Crown Estate to Central Government in Scotland with respect to the aquaculture consent process;
- The outcome of the Permitted Development Rights review and consultation (in relation to Permitted Development Rights regulated by the Town and Country Planning (General Permitted Development) (Fish Farming) (Scotland) Amendment Order 2012);
- The outputs of Marine Scotland's aquaculture sensitivity mapping project and implications for aquaculture in the marine spatial planning and consenting process;
- Updates to the SEPA Autodepomod model and any implications for aquaculture consenting;

- Outputs from the Horizon 2020 EU Aquaspace study and any implications for aquaculture in the marine spatial planning and consenting process; and
- Current status of the Scottish Marine Planning Partnerships and implications for aquaculture within the marine spatial planning process.

The outputs of this task will comprise an updated 'consenting process' map and the information will feed into Task 3 and 4 (see below).

Task 3: Identify options for creating a single Marine Licence development consent for all Scottish aquaculture

The aim of this task will be to outline draft options (models) for a single Marine Licence development consent for all types of aquaculture in Scotland. This will be done through:

- Using the recent independent review of Scottish aquaculture consenting [1] as a starting point, remapping the base-map of the consenting process with i) information obtained in Task 2 and ii) assuming that the 'quick win' recommendations from the review have or will be implemented;
- Utilising this updated consenting base-map to develop options of how the process could be re-figured into one Marine Licence consenting process, mapping out how this may work, highlighting how all regulatory requirements would still be met, potential issues and possible solutions. This will be achieved via:
 - Establishing the aspects of the consenting process that are covered exclusively by the TCPA which would need to be incorporated into a single Marine Licence consenting system. This will be done by utilising the project team's in-house knowledge (having undertaken the review of the planning permission consent process under the TCPA [2] and the wider consenting process [1]) and through interviews with key relevant¹ Local Planning Authorities (LPAs) to ensure that all aspects exclusively dealt with by the TCPA are captured. These LPA interviews will be undertaken by telephone or videoconference given the wide geographic distribution of offices;
 - Further to the above, undertaking interviews with the relevant Competent Authorities/bodies for the wider consenting processes (i.e. Marine Scotland Licensing and Operations Team (MS LOT) and Fish Health Inspectorate (FHI)), Scottish Environmental Protection Agency (SEPA) and Crown Estate Scotland) to discuss how the above identified aspects could be incorporated into a potential single Marine Licence system, the implications for re-figuring the consenting process and anticipated issues and potential solutions. These interviews will be conducted face-to-face where possible to enable the project team and interviewees to view and annotate material with example options of the re-figured process.

The outputs of this task will be the production of draft options for the re-figuring of the consenting process, anticipated issues and potential solutions.

The project team's initial thoughts on potential options for developing a single Marine Licence consenting process will be discussed with the PSG at the Inception meeting. However, it is anticipated at the proposal stage that there are several options:

- Introduction of an Aquaculture Act which would provide a legal framework for legislation to be specifically designed for the aquaculture industry. The benefits of such an option would be that there would be a single national body regulator, in this instance as indicated in the Call for Proposals, Marine Scotland. The Act would be specifically tailored to aquaculture activities and allow for the 'roll back' of existing regulations which currently results in overlapping consent requirements. In this way the Act could facilitate the streamlining of the consenting process including through provisions for deregulatory measures (e.g. for exemptions) and standard rule permitting/general binding rules. Such a bespoke system is currently used in the Oil and Gas industry (which was not brought under the licensing remit of the Marine (Scotland) Act 2010 – see below), and is overseen by the Oil and Gas Authority.
- Bringing aquaculture consent under the Marine (Scotland) Act, in line with other industry consenting processes managed under this Act (i.e. dredging and disposal, marine construction works). Some streamlining of the licensing process such as exemptions and standard rule permits/general binding rules could be achieved under the Act but probably to a lesser extent than under a bespoke Aquaculture Act.

¹ Relevant Local Planning Authorities are defined as those which receive and determine planning permission applications for fish (finfish and shellfish) farms.

- Under either (i) or (ii) it may be possible to make a single body (Marine Scotland) responsible for determining all aspects of an application (including matters that are currently determined by SEPA or FHI) or for the single body to consult with these organisations and have regard to their advice in determining a licence.

It is important to note, that whilst there may be a number of options to streamline the consenting process for aquaculture, to ensure that the current level of robustness is maintained, all relevant legislative requirements (e.g. in relation to Environmental Impact Assessment, Habitat Regulations Assessment, CAR, Aquatic Animal Health regulations) must still be fulfilled to ensure that the capacity of the marine environment to accommodate economic development activity is not exceeded. It has been interpreted from the Call for Proposals that the study will need to address how CAR would sit within a single Marine Licence consenting process, however, this will be confirmed with SARF and the PSG at the inception meeting. An additional aspect that will need to be considered within this task is that a key strength of the current process under the TCPA is the local context and accountability with regard to the planning permission decision making process. In adopting a single Marine Licensing system under the remit of Marine Scotland, it is assumed that the decision making process would be centralised and local accountability likely lost. This task will explore the implications of this, including with respect to the development of Regional Marine Plans which are designed to take account of local circumstances and smaller ecosystem units, and whether there is potential for this to be accounted for in any re-figured consenting process.

Task 4: Project workshop with key stakeholders

A one or two day Project Workshop will be organised to explore the draft options for a single Marine Licence consent developed in Task 3, suggest mechanisms for addressing identified issues with these options and to work towards identification of a preferred option(s) including an understanding of how such a process could be implemented to maximise benefits to the industry whilst maintaining regulatory robustness. The outputs of the workshop will be included in the draft and final reports produced for SARF and will be designed to provide regulators, industry and stakeholders with evidence relating to the likely required process, issues and solutions (included technical standards and conditions) that would be required to implement a single Marine Licence consent system to inform future discussions (i.e. further to the process being optimised and reviewed in five years' time as recommended in [1]).

Key stakeholders will be sent an introduction to the study and a workshop invitation as far in advance of the event as possible to maximise attendance. Key stakeholders will be identified through liaison with SARF and the PSG and invitees would be expected to include at least:

- The competent authorities / bodies responsible for all aspects of the current consenting process i.e. LPAs, MS LOT MS FHI, SEPA and Crown Estate Scotland;
- Statutory consultees for all aspects of the current consenting process i.e. Marine Scotland Science (MSS) internal departments not already included above (e.g. MSS Environment Programme and Freshwater Fisheries Programme), Scottish Natural Heritage (SNH), District Salmon Fisheries Boards, Historic Environment Scotland and Scottish Water;
- Industry representatives such as the Scottish Salmon Producers Organisation (SSPO) and the Association of Scottish Shellfish Growers (ASSG); and
- Other key stakeholders, such as Seafood Shetland and the Scottish Shellfish Marketing group, as agreed with SARF and the PSG.

Prior to the workshop, a Workshop Agenda (including a concise background document about the study) will be circulated to invited stakeholders, including those who cannot attend so their feedback can also be captured, which clearly highlights the aims of the workshop and the input we would like from the stakeholders on the day. It is suggested that the workshop could be held at the Marine Scotland offices in Edinburgh, where it is understood there are video-conferencing facilities, or alternatively at a venue in Aberdeen. Allowance has been made in the budget for subsistence and refreshments for approximately 25 attendees (including the project team) at the workshop.

The format, content and desired outcomes of the Project Workshop will be discussed with the PSG at the second PSG meeting (see Task 6, Meeting 2), prior to the workshop being held. However, at the proposal stage, it is anticipated that the workshop format will comprise:

- An introduction to the aims of the study and the workshop;
- Outlining the potential options for a single Marine Licence consent system (i.e. the outputs of Task 3);
- Detailed group discussions regarding the potential options, including issues identified with each option and potential solutions, for example, legislative mechanisms required, potential technical standards and/or conditions.

The outputs of Task 4 will be used to inform a SCOPE (Situation; Core competencies; Obstacles; Prospects and Expectations) analysis to explore the preferred option(s) arising from the workshop. The use of this analysis will inform the project conclusions and also enable regulators, industry and stakeholders to compare the analysis of the single Marine Licence consent process with the other alternative consent options presented in the 2016 independent review [1], also assessed using SCOPE analysis.

Task 5: Production and delivery of draft final report and final report to SARF

Further to the completion of Tasks 2-4, a draft final report will be produced, incorporating the outcomes of the Project Workshop summarised in the main text, with further detail provided as appendices as required. The proposed project programme is shown below, however, it is anticipated that the draft final report will be delivered to SARF in August 2018. The budget includes for one iteration of the report to incorporate the PSG comments on the draft final report. A final report will be submitted as per SARF's terms and conditions by 30 September 2018.

Task 6: Attendance at Project Steering Group Meetings

As specified in the Call for Proposals, the time and costs associated with attendance at three PSG meetings, likely to be held in Scotland, have been accounted for in the costing. It is proposed that the timing and purpose of these meetings could be as follows, although the project team are happy to accommodate alternative suggestions from SARF and the PSG to ensure maximum benefit to the project:

- **Meeting 1** – Inception meeting as described in Task 1 above;
- **Meeting 2** – Progress meeting, to be held approximately mid-project, to discuss the outcomes of Task 3 (draft options for creating a single Marine Licence development consent system) and the format, content and attendees for the project workshop anticipated to be held in month 6 (Task 4); and
- **Meeting 3** – Progress meeting to discuss the draft report submitted to SARF in month 8.

These meetings will be attended by the [REDACTED] and [REDACTED] and other members of the team where available and as required.

Project Programme

A project programme, indicating when tasks are likely to be undertaken is shown below:

Task	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep
1: Inception meeting and report (PSG meeting 1)									
2: Updates to consenting process since 2016									
3: Identify options for a single Marine Licence consent									
6: PSG meeting 2									
4: Project Workshop									
5: Submit draft final report									
6: PSG meeting 3									
5: Submit final report									

Relevant Company Experience

[REDACTED]

14. b) Will the research require a survey to be carried out, or a questionnaire to be used? * Enter YES or NO	No
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15. Milestones. Based on your research plan, please give milestones (i.e. points at which progress can be assessed) with targets for monitoring progress of the research towards the scientific objectives. Where work is seasonal, please express milestones in day, month and year form e.g. 01:07:2012. If work is not seasonal, please express milestones in day, month and year form **and** in terms of numbers of months from the proposed start date e.g. month 15. Each milestone title should not be more than 120 characters, a description is optional.

a) Primary milestones. (These must number no more than four in each project year. Achievement of each must be **essential** if the objectives of the project are to be met. If your application is accepted, they will form part of the agreement between you and SARF). *

Milestone	Target date	Title
1	17 January 2018	Inception Meeting and Report (month 1)
2	15 June 2018	Project Workshop (month 6)
3	31 August 2018	Submission Draft Final Report (month 8)
4	30 September 2018	Submission Final Report (month 9)

b) Secondary milestones. (These are unrestricted in number. They should be helpful to the management of the project but not essential to the achievement of the objectives. If your application is accepted, they will not form part of the agreement between you and SARF. Please prefix number of milestones with an S to indicate that it is a **Secondary milestone**).

Milestone	Target date	Title
S1	15 May 2018	PSG Meeting 2 (month 5) – discuss project progress and draft options for single Marine Licence development consent with PSG, prior to Project workshop with key stakeholders
S2	15 September 2018	PSG Meeting 3 (month 9) – discuss draft final report with PSG, prior to submission of final report

16. Quality Assurance.

a) Please state what procedures you operate for Quality Assurance (QA), including registration to BS 5750/SO 9000, NAMAS, GLP, or any other approach to QA. *

[REDACTED]

b) Your application cannot be accepted unless you have read 'The Joint Code of Practice for Research'. Please confirm that you are aware of the Code and that you will use your best efforts to work towards full compliance with it. Further details are available at: <http://www.sarf.org>

I confirm that I have read the Code *	Yes
Enter YES or NO	

c) Where the applicant or project partners are industry based, they should state whether they subscribe to any recognised industry codes of practice *

n/a

17. Statistical Input to Project

SARF wishes to improve the use by research teams of statistical advice in the design and interpretation of experiments. It is appreciated that this is not a straightforward matter to address, but it is important that the appropriate level of statistical expertise has been applied to the research funded by SARF. In particular, SARF needs to be assured that a statistical adviser has been consulted, where necessary, about the proposed research. To this end it would be helpful if you could address the following questions:

(a) Has a statistician been consulted about the formulation of this research project? Enter YES or NO	No
b) If 'NO', please explain why you thought this was unnecessary	
The project will not require complex statistical analysis of data. The project team is competent to undertake any simple statistical analyses that might be required to summarise data in the report.	
c) If 'YES', please say what impact this advice had on your plans and proposal, in particular the experimental design, and what statistical input will be included in the analysis of the results and how this will be reflected in the outputs.	
d) Name of statistical adviser	
e) Signature of statistical adviser	

18. Data Management and Archival

Projects that result in the collation or generation of datasets should specify explicitly how these data are to be managed and archived. Any codes of practice or standards that you will apply to this process should be stated.

[REDACTED]

19. Use of animals

a) Does any of the work outlined in the proposal require a licence from the Home Secretary under the Animal Scientific Procedures Act 1986? Enter YES or NO	No
b) If 'Yes', please give an estimate of the numbers of each species to be used.	
c) SARF requires full implementation of the 3R principles in any research project using animals	
Please confirm by ticking this box that you will seek to implement the 3R principles in full	
<p>Note: SARF aims at all times to Reduce the number of experimental animals that need to be used, to Refine procedures so that pain and discomfort are minimised, or to Replace completely the use of experimental animals. Animals are only used where there is no alternative and the research is considered of high priority, for instance in work relating to the protection of human and animal health and animal welfare. Therefore, SARF fully supports the implementation of the "3Rs" (reduction, replacement and refinement) and seeks to observe these principles in its animal-related projects. All project proposals involving animals must take full account of 3Rs principles.</p>	

20. Capital Equipment

a) Please list the existing capital equipment which you will use for this project.
n/a
b) Give justification for, and estimated cost of any new capital equipment which will have to be purchased for this project for which you expect SARF to contribute. N.B. SARF will not normally contribute to the cost of any new item that will duplicate one already in your possession
n/a

21. Staff effort

- a) Please list the names and grades of staff who will work on the project with details of their specialism including relevant papers published). *

22. Communication of results	
a)	How will the results be communicated? Please list anticipated numbers and if possible expected dates for submission of e.g. publication in refereed journals, trade journals or the press, presentations or demonstrations to the scientific community in trade organisations and internal reports or publications. <u>Please note that SARF considers the appropriate and targeted dissemination of results as a priority and anticipates that all applications will include a dissemination plan. *</u>
N.B. In any publication including press articles, the financial support of SARF MUST be acknowledged.	
The study will include a Project Workshop in which the initial options for a single Marine Licence development consent will be presented to, and discussed with, key stakeholders (regulatory bodies, statutory consultees and advisors and the aquaculture industry representatives) with the aim of assessing the feasibility of an optimal option(s). The output of this workshop will be incorporated into the final report via a SCOPE analysis, which will inform the project report conclusions and recommendations, which will be made publically available on the SARF website. In addition to formal publication of the study on the SARF website, the project team will seek to disseminate the main findings of the study through presentation at relevant conferences and peer-reviewed publication as appropriate and as agreed with SARF.	
b)	What measures will be taken to encourage technology transfer?
n/a	
c)	It is possible that SARF can provide additional support to contractors to assist with some of the costs incurred of publication in 'free to access' high-impact journals, where such assistance is not routinely provided by the Contractor's employing organisation. Such assistance will be limited to a total of £500, and must be applied for no later than 12 months after the Contractor's final report has been accepted by the SARF Board. Please indicate in

the box below ("Yes") if you anticipate the need for this support option. By so indicating, you are confirming that your employing organisation's written policy is not to provide its employees with financial support for publication in such journals. You may be asked to verify this.

No

23. Benefits

a) Please describe and quantify the benefits which may arise from this project, how the results will be used and who will make use of the results of this research (e.g. SARF, Regulators, industry or consumers). *

This project will scope the feasibility of developing a single Marine Licence development consent for all types of aquaculture, further to introduction of an Aquaculture Act (or via another mechanism). This information will help to inform discussions between regulators, industry and other stakeholders in considering the potential mechanisms for further streamlining the aquaculture consenting process in Scotland, further to recommended 'quick wins' being implemented in the immediate future.

b) Do you think further research or development will be needed before these benefits can be realised?

Potentially. An independent review of the aquaculture consenting process in Scotland [1] proposed the introduction of an Aquaculture Act as an alternative consenting system to be considered in the medium to longer-term future, further to taking more short-term recommended actions for streamlining the consent process. The outputs of this study should help to inform regulators and industry about the feasibility of achieving a more streamlined consenting system which maintains its current level of robustness via implementing such legislation. However, whilst the current study aims to capture anticipated changes to the consenting process that are likely to be made in the short-term based on the recommendations of Nimmo et al (2016) [1], these authors also recommended that the potential to codify existing legislation into an Aquaculture Act, should be reconsidered in approximately 5 years, further to optimisation of the consenting process via the short term-quick win changes. As such, it is likely that at that time, the progress of streamlining of the consenting process may need to be reviewed to allow regulators and industry assess whether there are further benefits to achieved through implementation of an Aquaculture Act (or alternative mechanism) for introducing a single Marine Licence consent.

c) Is the proposed research likely to lead to protectable results (e.g. patents, design Rights etc)?

Enter YES or NO

No

d) Is the proposed research likely to lead to other commercially negotiable Results (such as 'know-how')?

Enter YES or NO

No

If YES, please give details including interest already expressed

24. Other details

Is this work currently or about to be submitted in another application elsewhere, and if so, to which organisation, and by what date is a decision expected: please provide all relevant details

No

With reference to questions 10 (b) and (c) relating to other contributors of cash or in kind assistance, please give a brief description of the nature of their contribution.

(A letter agreeing to the collaboration should be attached to this application).

i) Funding contributions other than SARF

n/a

ii) In kind contributions

n/a

25. Referees

Applicants should be aware that their application may be submitted to external referees considered appropriate by SARF for comment. Applicants may suggest below up to three external referees, although any decision as to whether any name suggested is approached will lie with SARF. *

Name & Organisation

Email Address

Telephone Number

Please note that applicants must not nominate collaborators in any current project or Research paper, or experts from their own organisation

SECTION THREE - FINANCIAL

FINANCIAL GUIDELINES FOR PROJECT COST ESTIMATES

Once a price for the project has been agreed with SARF, and an agreement signed, no increase in price can be considered. If appropriate, a schedule of staged payments, against your interim invoices, can form part of the contract agreement. Note also that in all cases there will be a retention of 5% of total project costs until your final project report or other agreed deliverable has been accepted by the SARF Board.

The following Notes are to help you provide all the details necessary for the project costs.

23. (a) Pay costs

You should include the costs of personnel working directly on the project. Your costings must be supported by a detailed breakdown showing for each person separately:

(i) the amount of staff time (e.g. number of days, months or years) by grade / salary bands for each year of the project including staff to be recruited;

N.B. An explanation should be given where the staff effort increases or decreases during the life of the project.

(ii) the proposed annual salary (including London (or other town) Weighting Allowances, employers NI and Superannuation) and salary spine point (i.e. pay band) of each person during each year of the project.

In appropriate cases, SARF is willing to accept pay calculations on the basis of average pay costs. In this event you should indicate the average pay used for the grade(s) in question.

(b) Inflation

(i) If the project is submitted under a competition, a percentage to cover inflation can be built into the price, but please bear in mind that overall cost is a factor in the selection process.

(ii) If the project is not submitted under a competition, costings must be submitted at current prices, and SARF will add an allowance for inflation in line with the Treasury's forecast of GDP deflator.

(c) Consumables

These will be essentially scientific laboratory supplies, (e.g. glassware, chemicals) costing individually up to £2,000 in value which are purchased from third parties. Please list separately all consumables to be used, including, if possible, quantities.

(d) Equipment

Please note that SARF does not normally expect equipment purchase to form part of the total cost of the project to SARF, and that overall cost is a factor in the selection process.

Where capital equipment purchase is vital to your ability to undertake the project, and you include it in this application form, you should ensure you have obtained, and proposing to pass on to SARF, appropriate value for money. Issues you should consider:

- Good practice would suggest that you should obtain at least three quotations for any item of capital equipment. SARF does not require to see these in detail, but you should include a statement in this application form that you have followed this procedure
- For new equipment SARF will only fund that proportion of its working life (normally 5 years) to which it is used solely on the project (i.e. if a project is of 3 years duration SARF will fund 3/5th of the cost at the rate of 1/5 each year. Where equipment has a useful life of more than 5 years and/or is used for other purposes, you should make an appropriate reduction in the annual rental charged to SARF. Where new equipment is required please give details of the make, model, price and the year when each item is to be purchased and its purpose. Likewise, please indicate when equipment is to be leased from the manufacturer and give details of the costs of rental for each year. A piece of equipment may need to be allocated full-time to a project. In such a case, the fact that an organisation owns a similar piece of equipment for use on other projects does not remove the need here for that equipment to be either purchased or hired, although the usual rules on the amount to be paid will apply. It is however for the contractor to justify such a purchase.

You may be asked by the SARF to provide the following: the **original** purchasing invoice or top copy of the rental agreement. This will be returned immediately after a copy has been taken

(e) Travel

Visits to conferences and similar functions in the U.K. or elsewhere and any foreign visits **will not** normally be regarded as an eligible cost. Exceptionally, however, such costs may be funded where you can demonstrate to SARF's satisfaction that the visits are **essential** to the project. Where travel costs are necessary, details of their frequency, purpose, destination, the mileage and rate per mile (for road travel), air/rail fares, and number of persons traveling should be given.

(f) Overheads

Central and departmental costs (direct) that underpin the research activities and costs (indirect) which cannot readily be uniquely assigned to particular research projects. These may include the following:

- financial services (finance, accounting, tendering, marketing);
- personnel services;
- staff facilities (transport, health and safety, training, welfare, laundry);
- departmental services (administration, library, secretarial, printing, minor stores items and laboratory and workshop support);
- staff management, and cover for maternity and long-term sickness benefits.

You should include details of the method of calculation of the overhead rate, (to be expressed as a percentage of direct salary costs (excluding Superannuation and NI) plus consumables) and list **separately** the items covered.

(g) Sub-contracts, consultancy fees, etc.

You should show that this work is essential to the success of the project. Any costs under this heading must be identified separately. Please detail **separately** the component parts of any consultancy or sub-contract, including pay costs, consumables, equipment, travel, overheads and other costs which have been included.

(h) Other costs

You should include here items which do not readily fit under the headings provided e.g. laboratory/analytical services, laboratory animals, servicing of equipment, any non-equipment rental charges, recruitment costs, computer software, stationery items, student registration fees and glasshouse heating. You should also provide a short explanation of the need for all the items you list here.

(i) VAT

Please follow these notes carefully because, in certain circumstances the supply of research services to SARF may be wholly or partially exempt from VAT. SARF is an "eligible body" under SCH 9 VATA 1994, and is a registered charity which, as part of its charitable objectives, funds new research which is not for its own commercial benefit, and which is fully published for wider public benefit. You should ascertain the status of your organisation when undertaking research for SARF, and this is a matter for you to discuss directly with **HM Revenue and Customs**². This issue is normally one for larger research organisations. Other companies and organisations that are VAT registered and normally undertake VAT-able services for their clients will be obliged to charge VAT on their services to SARF.

SARF cannot reclaim VAT, and therefore this application must clearly indicate in Questions 8, 10 and 26 what the **total gross cost (i.e. including VAT) to SARF** will be. The management of VAT issues with your sub-contractors, suppliers, etc is a matter for your organisation, and should have been thoroughly calculated before you complete and sign this application. SARF issues fixed price contract agreements, and no retrospective negotiation about unforeseen additional costs, including VAT, can be entered into.

(j) Ineligible costs

The following are excluded from eligible costs:

- interest charges;
- hire purchase interest and any associated service charges;
- profit earned by a subsidiary or by an associated undertaking on work sub-contracted under the project;

² See for example:
http://customs.hmrc.gov.uk/channelsPortalWebApp/channelsPortalWebApp.portal?_nfpb=true&_pageLabel=pageVAT_ShowContent&propertyType=document&columns=1&id=HMCE_PROD1_032855

N.B. Contingency allowances expressed as an arbitrary percentage overall addition to eligible costs are excluded.

26. Estimated total project (all funding bodies) – detail				
Before completing this section you should read carefully the Notes above which explain what project costs SARF is prepared to consider. These must be project year figures, not financial costs. *				
a) Costs	Year 1 £	Year 2 £	Year 3 £	TOTAL £
Pay costs (see note a)				
Consumables (see note c) (specify)				
Equipment (see note d) (specify)				
Travel expenses (see note e)				
Overheads (see note f) (specify)				
Sub contracts, consultancy (see note g)				
Other costs (see note h) Subsistence for workshop attendees				
TOTAL PROJECT COSTS*				
VAT (see note i)				
b) Are you registered for VAT? Enter YES or NO				Yes
c) If YES what is your VAT Registration Number				

SECTION FOUR - DECLARATION

Data Protection Act 1998. The information collected on this form will be stored electronically and used to process your application for a research contract with SARF. It may be sent to any part of the SARF Organisation, or to individual researchers or organisations outside SARF for the purpose of assessing or reviewing the application. We may also disclose the information to any outside organisation acting as an agent authorised by SARF to process research applications on behalf of SARF. If the proposal is accepted for funding, the information may be sent to any part of SARF, or to individual researchers or organisations outside SARF for the purposes of reviewing the project and the information (excluding any CVs) may be placed on the SARF Website to inform the public about SARF's research. Address details may be held on a database and used by the SARF to communicate information to our research contractors.

Information (including personal data) may also be released on request, including requests made under the Environmental Information Regulations, the Code of Practice on Access to Government Information and the Freedom of Information Act (Scotland) 2002.

Declaration


I confirm that I have read this application and SARF's standard contractual terms and conditions and that:


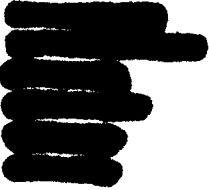



- (a) SARF may show this application to third parties for the purposes of obtaining expert opinion on its scientific and technical merits; and
- (b) If granted the work will be accommodated and administered in our Organisation in accordance with SARF's contractual arrangements. The staff gradings and salaries quoted are correct and in accordance with the normal practice of this Organisation

27. Proposer / Project Leader

Note: This section should correspond to Questions 1 and 2. SARF's contracted agreement will be with the Proposer / Project Leader's organisation, and all financial transactions will be between SARF and the Proposer / Project Leader within the organisation so-identified.

Signature*		Date *	
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Name and Initials*	
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Organisation*	
Full postal address *	 Telephone:  Extension:  Email: 

28. Other Signatories (Optional)

Note: Where the organisation's protocols require additional authorisation to allow the Proposer / Project Leader to sign a contract with SARF, and to administer any funds that might be awarded, please ensure completion of the following sections:

(a) Head of Department

Signature		Date	
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Name and Initials	
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Organisation	
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(b) Administrative Authority

Signature		Date	
------------------	--	-------------	--

Name and Initials	
--------------------------	--

Position	
-----------------	--

Organisation	
---------------------	--

(c) Any other Relevant Signatory

Signature		Date	
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Name and Initials	
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Position	
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Organisation	
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Reason for additional signature	
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You now need to complete a separate ANNEX A for each person who is to be engaged on the research.
Please also complete ANNEX B including relevant bibliography