ESRC Research Grants (open call)
Je-S guidance for applicants

Version: June 2021

Introduction

This is a guidance document created to assist applicants to this call in the completion of their proposal. It is specific to this call and should be used in conjunction with the following information:

- **ESRC Research Funding Guide**
  https://esrc.ukri.org/funding/guidance-for-applicants/research-funding-guide/

- **ESRC guidance on 'How to write a good research grant proposal'**
  https://esrc.ukri.org/funding/guidance-for-applicants/how-to-write-a-good-research-grant-proposal/

- **Je-S help text** is available in every page of your Je-S form, simply click on the question mark against any section (or on the word 'Help' in the top right hand corner of each page)

- **Je-S helpdesk** (for all Je-S system enquiries)
  JeSHelp@je-s.ukri.org or 01793 444164
  If you experience difficulties using Je-S or have questions regarding its use, helpdesk staff can be contacted between Monday to Thursday 8.30am - 5.00pm,` Fridays 8.30am - 4.30 pm (excluding bank holidays and other holidays). Out of hours: please leave a voice message. When reporting problems by email or telephone, please give your name, organisation and user id, the date and time, what part of the form or system you were working on, and the nature of the problem.

- **Call-specific guidance**
  https://esrc.ukri.org/funding/funding-opportunities/research-grants/

- **For further information contact:**
  Email: esrcenquiries@esrc.ukri.org

Important: Where information and guidance issued in this document differs from the general guidance offered in these sources; you should adhere to the guidance in this document.

Joint Electronic Submissions (Je-S)

All proposals under this call must be completed and submitted through UKRI's Joint Electronic Submissions (Je-S) system. To be able to do this the organisation must be registered (or self-registered for certain calls) for Je-S, and the applicants must hold Je-S accounts.

Proposals can be submitted by UK higher education institutions and some other independent UK research organisations are already **recognised institutions** on Je-S (including any recognised Independent Research Organisation*). A list of these organisations is available via https://www.ukri.org/funding/how-to-apply/eligibility/.

***IRO eligibility policy now includes **Public Sector Research Establishments** (PSREs). Such organisations that have been awarded eligibility status are treated as normal Research Organisations from an eligibility point of view. They can apply as the lead RO and will be funded under fEC rules (i.e. 80%) whether relevant applicant is PI or Co-I status*
*Also p*lease note that applicants based **in UK NHS Trusts, Hospitals, Boards or GP Practices** *that are considering applying as the lead applicant to this call should contact the Je-S*

Helpdesk (jeshelp@je-s.ukri.org or 01793 444164) to ensure that their organisation is correctly registered on the Je-S system.

Je-S accounts for applicants

All principal and co-investigators must have a Je-S account which has been verified by a third party before they can be found in searches within the Je-S System and added as an applicant. To get you started on creating an account please refer to the Je-S helptext (https://je-s.rcuk.ac.uk/Handbook/pages/SettingupaJeSaccount/SettingupaJeSaccount.htm). Please ensure that applicants select the 'Account Type: Research Proposal' and the option 'An Applicant on a Standard or Outline Proposal'.

Use of your personal information – UK Research and Innovation capture and process personal information in line with current data protection legislation; General Data Protection Regulation (GDPR) and any amendments by the UK Data Protection Bill and/or relevant acts of parliament.

COVID-19 Guidance for Applicants

Accounting for the unknown impacts of COVID-19

UKRI acknowledges that it is a challenge for applicants to determine the future impacts of COVID-19 while the pandemic continues to evolve. Applications should be based on the information available at the point of submission and, if applicable, the known application specific impacts of COVID-19 should be accounted for. Where known impacts have occurred, these should be highlighted in the application, including the assumptions/information at the point of submission. There is no need to include contingency plans for the potential impacts of COVID-19. Requests for travel both domestically and internationally can be included in accordance to the relevant scheme guidelines, noting the above advice.

(Reviewers will receive instructions to assume that changes that arise from the COVID-19 pandemic, post-submission, will be resolved and complications related to COVID-19 should not affect their scores.
Where an application is successful, any changes in circumstances that affect the proposal will be managed as a post-award issue.)

Before creating your proposal

Research proposals may **only** be made on Research Councils' Joint Electronic Submission (Je-S) forms. You can view all Je-S registered organisations via page https://www.ukri.org/funding/how-to-apply/eligibility/, to ascertain whether the proposed submitting organisation is registered.

Please note that apart from specific International Bilateral calls (see https://esrc.ukri.org/funding/guidance-for-applicants/bilateral-agreements/ there is no deadline for institutional submission of proposals to the research grants (open call), they are accepted at any time.

Your proposal will actually be sent to Je-S/ESRC from the submitter pool at your research organisation. There is a **further layer of administration between your submission of**

the proposal and the proposal being submitted to the ESRC, via Je-S. The research organisation's submission route usually includes both an approver (ie head of department) and submitter pool (ie central finance office), and the ESRC cannot accept responsibility for any delay which may occur as a consequence. We strongly advise applicants to secure confirmation from their relevant administrator that the proposal has been successfully submitted to the Je-S team (see also 'Tracking your proposal').

Creating your proposal

Log in to Je-S at https://je-s.rcuk.ac.uk/JeS2WebLoginSite/Login.aspx

Documents screen: Select 'New Document'

Add new document screen: Select 'Call search' (highlighted at top of screen). When prompted, type in the call title 'Research Grants (Open Call)' and select from the list created. The remaining three selection fields will be automatically populated.

Select the 'Create Document' button.

It is the **applicant's responsibility to ensure that the proposal is created and submitted against the correct call** (and consequently correct scheme). We will **not accept** proposals for processing that are not submitted using the above call route.

Completing your proposal

The initial Je-S document instructions page will give you general guidance on the navigation layout, specifically icon descriptions.

The left hand column 'Document Menu' lists all the sections associated with this call and clearly identifies which ones are mandatory (red cross, turning to green tick when completed).

The details below are not exhaustive step-by-step guidance, and we recommended that you refer to the Je-S helptext for additional information.

Please note you may return to edit saved documents at any time.

Where page lengths are specified, please do not exceed the limit. All attachments must be produced in a minimum of font size 11.

Project details
- Select organisation and department from drop down lists
- 'Your Reference' should be supplied by your research organisation (consult your Research Office). If your administration office does not have a system for referencing grant proposals, a suitable reference of your own choice will be acceptable. Use "Your reference" to help distinguish easily between proposals in users' Current Documents lists. The reference is intended to be a unique identifier for the proposal, and is unrelated to the reference that the organisation would be asked to provide if a grant were awarded.
- Enter 'Project Title' (maximum limit of 150 characters)

- For 'Proposal Call', select *'Research Grants (Open Call)',* or the international (bilateral) equivalent.
- Your start date should be at least eight months after your submission date to allow time for a decision to be made on your proposal. We aim to announce the majority of decisions within 26 weeks of receiving the proposal. Your grant should be a proposed duration of no more than 60 months.

Investigators
Enter the name of the principal investigator (PI) and any co-investigators (Co-I) if applicable.

Investigators may be from more than one research organisation, but the PI must be from the organisation that will administer the grant. The PI will take intellectual leadership of the project and manage the research; this individual will be the contact person for ESRC correspondence. All named investigators are responsible for ensuring that successful proposals are undertaken and completed in the manner specified.

For further detailed guidance on these roles and how to enter details on the Je-S from please access the Je-S helptext.

Post will outlast project
Select Yes or No. Please note, there is an expectation that the PI's post will be in place for the duration of a funded project. This means if this question is answered with 'No' then a pop-up message will display, confirming that if the proposal is successful it is the RO responsibility to ensure the PI's post will be extended to match the project end date. By submitting the proposal, the RO is taking collective responsibility to comply with this request.

Third party data protection - Applicants must ensure that they have obtained the permission of any other person named on the proposal form (for example any Co-Investigators or Project Partners) for the provision of their personal information to UKRI and the processing of their data by UKRI for the purpose of assessing the application and management of any funding awarded

UK co-investigators in business, civil society or government bodies
Please note that any researcher from an established business, civil society or government body based in the UK will be eligible to be listed as a **co-investigator** under the Research Grants (open call).

The ESRC will fund 100 per cent of justified costs, however, the project costs associated with these types of Co-I contributions must not exceed 30 per cent of the overall cost of the grant (at 100 per cent fEC). Please note that costs cannot be claimed for government bodies.

Proposals which include co-investigators from the UK business sector or from third sector organisations that engage in economic activity[1] must ensure that the involvement of these

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[1] 1 "'Economic activity' means putting goods or services on a market. It is not necessary to make a profit to be engaged in economic activity: if others in the market offer the same good or service, it is an economic activity." Department for Business Innovation & Skills, State Aid: The Basics Guide, July 2014 -

organisations complies with State Aid legislation. Proposals which include co-investigators from third sector organisations that are deemed **not** to engage in economic activity must provide evidence of this status in the Justification of Resources section of the proposal form.

On receipt of the proposal, eligibility of business, civil society or government body will not normally need to be checked if it is reasonably clear that they are appropriate to conduct the work. Where there is doubt, checks will be carried out should a positive funding decision be taken.

It is recommended that potential UK co-investigators from business, civil society or government bodies should contact the Je-S Helpdesk (jeshelp@je-s.ukri.org) if their organisation is not selectable as part of the Je-S person account registration process. These organisations will then be added to the Je-S database, which will allow relevant selection as part of the required person account registration process (that co-applicants are obliged to initiate, via the login page).

All project costs relating to UK business or civil society co-investigators must be prefixed as 'UK Co-I's business or civil society costs' and must be entered into the costs section on Je-S as follows:

Co-investigator 'time' allocation and salary costs must be entered under the standard 'Co-Investigator' section. (Please tick the 'Exception' box to ensure 100 per cent costs claimed). Other staff related costs whether, fieldwork, equipment or travel and subsistence should be entered in the 'Other DI' Section as exceptions and marked as Co-I costs.

All costs must be specifically justified, and applicants must explain why such costs are required to achieve the aims of the research project. Applicants must also state clearly in the 'Justification for Resources' attachment of the Je-S form which costs in the proposal relate to the UK co-investigator's business, civil society or government body. Please note that UK co-investigator's business or civil society salary costs should only be claimed where clear justification is provided as to why this cost cannot be met by the UK co-investigator's business or civil society organisation.

Host/submitting institutions are reminded that for calls that encourage non-academic Co-Is, a suitable support structure should be in place to assist such individuals in registering for Je-S accounts and contributing to the research case.

For additional detailed guidance on ESRC's UK business, third sector or government body Co-Investigators policy, including costing guidance, please see: https://esrc.ukri.org/funding/guidance-for-applicants/inclusion-of-uk-business-third-sector-or-government-body-co-investigators-on-proposals/

The ESRC 'Business, Third Sector and Government Body' Co-I policy does not apply to eligible PSRE organisations (see page 2 for eligibility ruling). Such organisations can apply under the standard fEC rules.

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https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/443686/BIS-15-417-state-aidthe-basics-guide.pdf

International co-investigators
Please note that any academic researcher (PhD or equivalent) from an established international research organisation of comparable standing to an ESRC-eligible UK research organisation will be eligible to be listed as an international co-investigator under this call. Please note that international costs must not exceed 30 per cent of the full 100 per cent fEC cost of the grant.

It is recommended that potential overseas-based co-investigators should contact the Je-S Helpdesk (JeSHelp@je-s.ukri.org) if their organisation is not selectable as part of the Je-S person account registration process. These organisations will then be added to the Je-S database which will allow relevant selection as part of the required person account registration process (that co-applicants are obliged to initiate , via the login page).

International co-investigator salary costs should be entered under the 'Co-Investigator' section and should be marked as an 'Exception' using the tick box. Other staff related costs whether, fieldwork, equipment or travel and subsistence should be entered in the 'Other DI' Section as exceptions and marked as Co-I costs.

All costs must be specifically justified, and applicants must explain why such costs are required to achieve the aims of the research project. Applicants must also state clearly in the 'Justification for Resources' attachment of the Je-S form which costs in the proposal relate to international research organisations. Please note that international co-investigator salary costs should only be claimed where clear justification is provided as to why this cost cannot be met by the international research organisation.

For additional detailed guidance on ESRC's International Co-Investigators policy, including costing guidance, please see: https://esrc.ukri.org/funding/guidance-for-applicants/inclusion-of-international-co-investigators-on-proposals/.

Objectives
List the objectives of your research in order of priority. *(4,000 character limit)*

Summary
Provide a plain English summary of the research you propose to carry out in a language that could be publicised to a general, non-academic audience. Please note that this section will be made available on the Gateway to Research database, therefore applicants should ensure confidential information is not included in this section. *(4,000 character limit)*

This section should include the following:
- The context of the research.
- Its aims and objectives.
- Its potential applications and benefits.

Academic beneficiaries
Please summarise how your proposed research will contribute to knowledge, both within the UK and globally. This should include how the research will benefit other researchers in the field and identify whether there are any academic beneficiaries in other disciplines and, if so, how they will benefit and what will be done to ensure that they benefit.

Please list any academic beneficiaries from the research and give details of how they will benefit and how the results of the proposed research will be disseminated. Also describe the relevance of the research to beneficiaries. *(4,000 character limit)*

Please note that this section may be published to demonstrate the impact of Research Council-funded research. Please ensure confidential information is not included in this section.

For further detailed guidance please access the helptext page linked to this Je-S section.

Staff duties
Summarise the duties of the staff members that will be involved in your project, including the applicants. Ensure that it is clear why it is necessary for this person to perform this role at the resource level you have requested. *(2,000 character limit)*

Ethical information
This section must be comprehensively addressed. *(4,000 character limit)*

Applicants must ensure the proposed research will be carried out to a high ethical standard and must clearly state how any potential ethical and health and safety issues have been considered and will be addressed ensuring that all necessary ethical approval is in place before the project commences and all risks are minimised.

The ESRC's Framework for Research Ethics (https://esrc.ukri.org/funding/guidance-for-applicants/research-ethics/ contains a full explanation of our approach, with guidance for applicants.

Other support
Enter details of any support sought or received from any other source for this or other research in the same field in the past three years. Complete all fields for support either received or pending a decision. The full economic costs (i.e. 100 per cent costs) of such support should be identified.

Contributions from project partners should not be entered here - they should be detailed in the project partners section.

Related/previous proposals
Please state whether your application under this call is related to any proposals previously submitted to us. The ESRC does not allow the resubmission of any previously unsuccessful proposal (including proposals previously submitted to another Research Council), unless explicitly invited to resubmit. Please see ESRC's resubmissions policy at https://esrc.ukri.org/funding/guidance-for-applicants/resubmissions-policy/ for further information on what constitutes a resubmission. Resubmissions must be accompanied by a covering letter (as an 'other' attachment) briefly explaining the reason for resubmission and the changes made to the proposal. You must detail the appropriate related proposal and its relationship here. Select 'Related Proposals', then 'Add New Related Proposal Item' before entering the details of any related proposals.

Please enter the reference numbers of any support sought or received from us in the past five years via the 'Previous proposals' section. Please note that this only relates to previous ESRC research grants.

Your proposal will not be considered if any reporting requirement on an ESRC grant held by any of the applicants is overdue. Some ESRC grants require formal progress reports. Where such a grant is held by one of the applicants an up-to-date report should be included with this proposal. Where any applicant holds a current ESRC grant but a formal report is not required, a progress report of a maximum of 1,000 words should be provided.

Staff
If your project requires staff other than the team of investigators, their details should be entered here. 'Directly Allocated staff' are those who will be working directly on the project, but whose involvement on the grant can only be based on an estimate of the time the work will take (eg investigators). 'Directly Incurred staff' are those whose time on the project is actual, auditable and verifiable (eg researchers and technicians). It is also possible to capture Researcher salary costs under the exceptions (100% contribution) cost type, if they are international based.

ESRC allows the inclusion of non-UK based investigators and business, third sector or government body co-investigators on all of its grant funding schemes, and will fund 100 per cent of justified costs. Details of the Co-Investigator salary costs should be entered via the 'Co-Investigator' and marked as 'Exception' to identify that these should be paid at 100 per cent.

All other international Co-Investigator associated costs whether, fieldwork, equipment or travel and subsistence should be entered in the 'Other DI' Section as exceptions and marked as Co-I costs.

ESRC also allows the inclusion of visiting researchers on the Research Grants (open call). Support may be requested for visits by researchers of acknowledged standing, from within the UK or abroad, to the investigator's organisation. Funding is limited to 12 months per individual. Each visiting researcher should be entered on the proposal once only. If they are making several visits their time and cost should be averaged over the dates between their first and last visit. Details of individual visits should be described in the Case for Support. Visiting researchers who continue to be paid a salary by their parent organisation should show their effort attributed to the project but with a zero salary cost request. Travel and subsistence costs should be included under the Travel and Subsistence section.

The Research Grants (open call) does not allow for the inclusion of associated studentships.

Resources
This call is subject to the full Economic Cost (fEC) funding model. The call is for applications ranging from £350,000 to £1 million (100 per cent fEC) for a period of up to five years. If successful, ESRC will meet 80 per cent of the full economic costs on proposals submitted and the host institution is expected to support the remaining 20 per cent.

An explanation of the cost headings can be found in the Je-S helptext under the Costings heading within Standard Proposals:
https://je-s.rcuk.ac.uk/Handbook/pages/GuidanceonCompletingaStandardG/Costings.htm.

All resources requested must be fully justified in the 'Justification' attachment.

The following paragraphs provide guidance on how to enter different types of resource within the Je-S proposal, and any supporting documentation that may be required. For more detailed guidance see the relevant Je-S helptext.

Travel and Subsistence (T&S) – add each item of travel and subsistence required for your project. This includes travel for both research activities and for those contributing to knowledge exchange and the delivery of impact activities. You should indicate the calculations upon which this figure is based in the 'Destination and Purpose' box.

Please note that prior to travel overseas the grant holder must check with the Finance Office at the hosting Research Organisation to ensure that travel is permissible, and not against the advice of the Foreign and Commonwealth Office (www.fco.gov.uk).

Equipment – enter any items of equipment costing £10,000 or more (including VAT) in this section. The actual level of funding sought from the ESRC should also be entered in this section.

For items of equipment costing between £10,000 and UKRI equipment purchase threshold value (£115,000 excluding VAT), the research organisation will need to provide extra justification for these items in the 'Justification of Resources' attachment, providing evidence of an evaluation of the use of existing relevant capital assets. They will be expected to make a contribution towards the cost of the equipment in the order of 50% of the cost.

All requests for items of equipment costing above the UKRI equipment purchase threshold (£115,000) should be accompanied by a two-page business case (to be included as an attachment within the equipment screen and not the attachments section) outlining the strategic need for the equipment. UKRI will decide the strategic location for these items and will potentially fund them at 100%. The ESRC will have flexibility in relation to the funding of equipment to negotiate with potential grant recipients to achieve best value from the limited funds at its disposal.

For all items of equipment requested above the UKRI equipment purchase threshold (£115,000) three equipment quotations must be provided. Where you believe that there are less than three potential suppliers for an item you should explain this in the 'Justification of Resources' attachment and upload two blank documents as equipment quotes. For items of equipment which cost less than the UKRI equipment purchase threshold it is optional to provide quotations and up to three can be uploaded.

Social surveys - Social survey costs which are being sub-contracted should be included under this section and are eligible for fEC exception funding at 100 per cent (for the amount sought from the Council). (See 'other directly incurred costs' section if surveys are to be done using in-house resources.)

Other directly incurred costs - including justified project specific consumables, consultancy fees, equipment costing less than £10,000, recruitment and advertising costs.

Costs for social survey work proposed to be done using in-house resources should also be included under this section and will be funded at the standard 80 per cent fEC funding rate. Proposals including such costs will need to fully justify why the work should not be subject to external competition, and provide benchmarking or other data to support a case that best value for money is being achieved through using research organisation staff rather than external contractors.

All costs relating to UK business and/or civil society co-investigators and/or international co-investigators must be specifically justified, and applicants must explain why such costs are required to achieve the aims of the research project. Applicants must also state clearly in the 'Justification for Resources' attachment of the Je-S form which costs in the application relate to UK business, civil society or international research organisations. Please note UK business, civil society and international co-investigator salary costs should only be claimed where clear justification is provided as to why this cost cannot be met by the UK business, civil society or international research organisation.

To enable UKRI to meet transparency and external audit requirements all overseas costs must be identified in the free text box using the format '**Organisation**(eg Overseas RO): **Country** (Oversea Country) **Cost Category** (eg staff/T&S/other DI costs) **Cost Description** (eg PDRA/flights/workshops etc)

Other directly allocated costs - including support staff salaries, a share of the costs of departmental support staff and the costs of access to major research facilities.

Estates and indirect costs
Estate and indirect costs are specific to each research organisation, and do not require justification in your case for support.

Research organisations that have implemented the TRAC costing methodology and have passed the Quality Assurance process should apply their own estate and indirect costs. Eligible non-HEIs that are not required to implement TRAC must have a robust costing methodology in place that has been validated in order to apply their own estates and indirect cost rates. The standard default rates should be used where research organisations have not yet developed their own rates.

Your Research Office will be able to assist with this section.

Where an individual will be working away from the Research Organisation on long-term secondment for a period in excess of six months during the project, estates costs should not be charged for the period of secondment. No reduction should be made for shorter term absence.

Project partners
If you have secured a commitment from another organisation or funding body to provide additional resources for this project, the details of that support should be entered here. A Project Partner letter of support from each partner organisation confirming the level of support specific to this proposal must be uploaded via the Project Partner details screen (not in the attachments section). Project partner letters of support can be accepted by email, and must be signed and dated within six months of the proposal submission date.

An organisation should only be named as a project partner if it is providing specific contributions (either direct or indirect) to the research project. Co-funding itself is neither necessary nor sufficient for a grant to be made and contributions in kind, access or other assistance can be as important as financial contributions.

Timetable
Provide a clear timetable for the project and the intended progress of the research through the different stages. This helps reviewers to assess the proposed approach, and facilitates monitoring. The stages are defined broadly and are not intended to impose any model of research. In some cases (e.g. theoretical work) not all stages will be applicable. 'Preparation and design work' refers to research instruments, work guidelines, samples etc., not to the overall design of the project, which should be completed before you complete the proposal. The timetable should demonstrate that the research has been properly planned and the time needed to complete it, including dissemination activities, has been carefully estimated.

Your planned timetable can be expanded upon if necessary within your case for support.

Data collection
Applicants must adhere to ESRC policy. Please refer to the full statement on data management planning and datasets deposition requirements for data intensive investments in the ESRC Research Data Policy (https://esrc.ukri.org/funding/guidance-for-grant-holders/research-data-policy/) and in the Research Funding Guide (https://esrc.ukri.org/funding/guidance-for-applicants/research-funding-guide/). Explain clearly how you will meet these requirements if relevant to your proposal. Complement but do not duplicate the information provided in the Data Management Plan as explained below..

If the research involves data creation or collection, we strongly recommend that you consult the UK Data Service (UKDS) early on.

Applicants are eligible to claim costs for cataloguing and preparing data for archiving. If these costs are claimed from the ESRC, they will have to be included in the overall costs of the project. The applicants are required to fill in the relevant section in the Je-S form and where appropriate to provide more information in the Justification of Resources. Where necessary, please seek clarification of these costs by contacting UKDS.

Reviewers (academic and user)
Nominate two academic and two non-academic/user reviewers. These people must not be from the same research organisation as any of the investigators on the project, and should not represent potential conflicts of interest. **Agreement should be sought from nominated reviewers before their details are submitted.** We may contact one of each 'type' of reviewer to assist in the peer review of your proposal.

Proposals will not be disadvantaged by the absence of nominated reviewers.

Classifications
Please identify whether the research will involve significant collaborative contributions from colleagues outside of the UK. If 'yes' please expand within the 'Case for Support' attachment.

User involvement

'Users' are individuals, groups or organisations who have an interest in or may benefit from the research. Users may be from the public sector, commercial private sector, civil society or the wider public in general. Engaging users in your research from its conception and development and throughout the research lifecycle is likely to increase the impacts achieved. Applicants should expand upon how the proposed work will be managed to engage users and beneficiaries in the Case for Support attachment.

If 'Users' have been/will be engaged with your research project, please specify the nature of their engagement by selecting from the drop-down list:
- Design
- Execution
- Dissemination
- Training

There is also an option to record a 'not applicable' selection. It is a mandatory requirement that at least one option is selected.

Attachments

It is important that applicants **only submit the supporting attachments specified in this document**. We reserve the right to reject applications that do not include the required attachments or include attachments not specified in this guidance. It is recommended that attachments are uploaded in PDF (rather than Word) format, to ensure unsupported font type issues do not cause problems with maximum length requirements, please see Je-S guidance; https://je-s.rcuk.ac.uk/Handbook/pages/SystemRequirementsFormatsandSa/SystemRequirementsFormatsandSa.htm All attachments must be submitted in a minimum of font size 11 with standard margins of 2cm on all sides.

The following are mandatory Je-S attachments for this call:
- Case for support (six A4 pages maximum)
- Justification of resources (two A4 pages maximum)
- Data Management Plan (for grants planning to generate data) (three A4 pages maximum)
- CV(s) (two A4 pages maximum for each named researcher)

List of Publications, Letter of Support, Proposal Cover Letter, Facility form, Final/Interim Report and Other are optional attachments and should be included where necessary. **Important note:** If you are unclear about whether you can include a specific attachment please contact esrcenquiries@esrc.ukri.org for advice, as unrequested attachments can hinder the processing of your application. ESRC reserves the right to return or reject applications that include attachments not permitted on this call.

Case for support (*maximum of six sides of A4)*
This is the body of your research proposal. It must not exceed *six sides of A4* and must include, but is not limited to, the following sections:
- An introduction setting the aims and objectives of the study in context. This should briefly sketch the main work on which the research will draw, with

references. Any relevant policy or practical background should also be included. A clear link must be made between the aims and objectives and the scope and theme of the call.

- The detailed research questions to be addressed should be clearly stated.
- Clearly state and describe both the framework and specific methods for analysis proposed, and explain the reasons for their choice. Particular care should be taken to explain any innovation in the methodology or methods, or how different methodologies or methods may be combined.
- If the research involves data collection or acquisition you must demonstrate that you have carried out a datasets review, and explicitly state why currently available datasets are inadequate for the proposed research.
- The data, materials or information to be collected should be clearly stated, and the methods for achieving this explained. Where sampling is involved, the sampling frame, population and sample sizes, the sample design and arrangements for any pilot should be specified, and the reasons given for the procedures adopted. Where access to people or archives is needed, indicate clearly the records, population or samples to be consulted, and any permissions already obtained.
- ESRC is committed to funding excellent research which is also adventurous, speculative and innovative, and with the potential for scientific and/or user impact. Where there are risks associated with such research please outline any measures which will be taken to mitigate them.
- It is vital that the economic and social impact of all projects funded by ESRC is maximised. Consider potential beneficiaries and users involved in the development of the proposal and the delivery of the grant where appropriate. This should cover who will benefit from the proposed research, and the relevance of the research to these beneficiaries.
- Explain what steps you will take, to provide opportunities for users to benefit from your research, and to ensure that your research has maximum economic and societal impact.
- Indicate the expected outputs - both academic and those orientated to (potential) users (eg articles, papers, datasets, events). Where possible, describe the expected impact.
- Include details of any potential for linkages to other research activities (for example, those supported by other funding bodies in the UK or beyond) or for international collaboration.
- Include details of any capacity-building activities.

Proposals containing a Case for Support exceeding 6 sides of A4 or not adhering to the specified format will not be considered.

The bibliography for references cited in the proposal, including the Case for Support, must be attached under the 'list of publications' document. A list of the most relevant and recent publications of applicants should be included in the applicant CVs.

The case for support should be a self-contained description of the proposed work with relevant background and references and should not depend on additional information such as the inclusion of external links. Peer reviewers are advised to base their assessment on the

information contained within the application and are under no obligation to access such links (so they should not be used to provide critical information).

Justification of resources *(maximum of two sides of A4)*
A two-side A4 statement justifying that the resources requested are appropriate to undertake the research project.

The justification of resources should explain **why** the resources requested are appropriate for the research proposed, taking into account the nature and complexity of the research proposal. It should not be simply a list of the resources required, as this is already given in the Je-S form. Where you do not provide explanation for an item that requires justification, it will be cut from any grant awarded.

Proposals which include co-investigators from third sector organisations that are deemed **not** to engage in economic activity must provide evidence of this status within the Justification of Resources statement.

Please refer to the joint Research Council Je-S helptext: https://je-s.rcuk.ac.uk/Handbook/Index.htm for further guidance.

Data Management Plan *(maximum of three sides of A4 per applicant)*
It is a requirement of the ESRC Research Data Policy https://esrc.ukri.org/funding/guidance-for-grant-holders/research-data-policy/ that all applicants planning to generate data as part of their grant must include a Data Management Plan. This attachment must not exceed 3 sides of A4. The Data Management Plan should be used as an opportunity to describe how the data, ie primary input into research and first-order results of that research, are going to be managed – starting from planning for research and through the life-cycle of the grant until data is accepted for archiving by the UK Data Service. Detailed advice on how to fill in the Data Management Plan can be found on the UKDS site at https://www.ukdataservice.ac.uk/manage-data/plan/dmp-esrc.

The ESRC recognises the importance of research data quality and provenance. Research data generated by ESRC-funded research must be well-managed by the grant holder during the grant period to enable their data to be exploited to the maximum potential for further research. For further guidance see the Je-S Helptext.

Most data generated as a result of economic and social research can be successfully archived and shared. However, some research data are more sensitive than others. It is a responsibility of the grant holders to consider all issues related to confidentiality, ethics, security and copyright before initiating the research. Any challenges to data sharing (eg copyright or data confidentiality) should be critically considered in a plan, with possible solutions discussed to optimise data sharing.

It is expected that Data Management Plan will include the consideration of the following points in the context of information presented in the Case for Support and Justification for Resources:
- **Assessment of existing data**
    - If you are creating new data sources as part of this project please explain why existing data sources cannot be re-used. If you envisage purchasing or re-using existing data sources please explain whether issues such as copyright

and IPR have been addressed to ensure that the data can be shared i.e. explain how you plan to deal with permissions to share data you have created which is derived from data which you do not own.

- **Information on new data**
  - Provide information on the data that will be produced or accessed by the research project, eg
  - data volume
  - data type
  - data quality, formats, standards documentation and metadata
  - methodologies for data collection and/or processing
  - source and trustworthiness of third party data.
  - Using standardised and interchangeable data formats ensures the long-term usability of data. Clear and detailed data descriptions and annotation, together with user-friendly accompanying documentation on methods and contextual information, makes data easy to understand and interpret and therefore shareable and with long-lasting usability.

- **Quality assurance of data**
  - Quality control of data is an integral part of a research process. Please briefly describe the procedures for quality assurance that will be carried out on the data collected at the time of data collection, data entry, digitisation and data checking. It must be ensured that the data recorded reflect the actual facts, responses, observations or events. For example this might include: documenting the calibration of instruments, the collection of duplicate samples, data entry methods, data entry validation techniques, methods of transcription.

- **Back-up and security of data**
  - Please describe the data back-up procedures that you will adopt to ensure the data and metadata are securely stored during the lifetime of the project. You may need to discuss your research organisation's policy on back-ups. If your data is sensitive (e.g. detailed personal data) in any way you should discuss appropriate security measures which you will be taking. Methods of version control (ie making sure that if the information in one file is altered, the related information in other files is also adopted, as well as keeping a track on a number of versions and their locations), should also be stated.

- **Expected difficulties in data sharing**
  - If you expect any obstacles to sharing your newly generated data please explain their causes and possible measures you are going to apply to overcome those. If you consider that there will be ethical issues which may cause difficulties in data sharing please explain your strategies for dealing with these issues in the relevant section in Je-S form, e.g. where possible discussing archiving with interviewees, anonymising data. Please refer to the requirements of ESRC Framework for Research Ethics - https://esrc.ukri.org/funding/guidance-for-applicants/research-ethics/

- **Copyright/Intellectual Property Rights**
  - Please state who will own the copyright and IPR of any new data that you will generate. For further information please refer to a relevant part of the ESRC Research Data Policy - https://esrc.ukri.org/funding/guidance-for-grant-holders/research-data-policy/

- **Responsibilities**
  - Please indicate who within your research team will be responsible for data management, metadata production, dealing with quality issues and the final delivery of data for sharing or archiving. Please provide this information within the Staff Duties section in the Je-S form and where appropriate in the Justification of Resources. If several people will be responsible state their roles and responsibilities in the relevant section of the JeS form. For collaborative projects you should explain the coordination of data management responsibilities across partners in your Data Management Plan.
- **Preparation of data for sharing and archiving**
  - Please outline your plans for preparing and documenting data for sharing and archiving with the Social Data Service (unless otherwise agreed). Please identify any additional plans for data sharing, if any.
- **Other issues**
  Please indicate if there are there any other issues relating to data management or sharing.

CV *(maximum of two sides of A4 per applicant)*

A CV for each applicant, named research staff member and consultant must be included. This should include contact details, qualifications (including class and subject), academic and professional posts held since graduation, a list of the most relevant and recent publications, and a record of research funded by the ESRC and other bodies. This should not exceed two A4 sides.

List of publications

The bibliography for references cited in the proposal only should be attached. Please note publications not cited in the proposal should not be added here. A list of the most relevant and recent publications by the applicant should be included in the applicant CV. There is no formal page limit for this attachment, although as a general rule up to 3 sides of A4 would suffice.

Final/interim reports *(maximum of three sides of A4)*

Principal and Co-Investigators on current awards must submit a progress report on their current awards with any new proposal. The progress report should match their impact and output records on Researchfish.

The progress reports must not exceed three A4 sides per project. As part of this, all current and past award holders must ensure that the output records for current and past awards on Researchfish are up-to-date, as this information might be taken into account.

Proposal cover letter/letter of support *(maximum of one side of A4 per document)*

If this proposal is an invited resubmission to the ESRC, the appropriate cover letter(s) must be included. A covering letter summarising the major revisions must accompany the proposal. Resubmissions without covering letters will not be accepted for processing.

Proposal cover letter attachment type can be used to upload a declaration of interest https://webarchive.nationalarchives.gov.uk/20200929010642/https://www.ukri.org/files/legacy/documents/declarationofinterests-applicants-pdf/, any private, personal or commercial interests relating to an application for funding to the ESRC must be declared

Exceptionally letters of support can be submitted as part of a proposal; provided they are essential to the successful conduct of the research (eg confirming access to datasets, or confirming access to or use of the facilities provided by named organisations). Letters of support can be accepted by email, and must be signed and dated within six months of the proposal submission date. General letters of support that are not essential for the successful conduct of the research or do not confirm any specific contribution to the project should not be included.

Other attachments

Technical Appendix

Technical and some limited non-technical information specifica to the project may also be submitted as a separate attachment under 'other' attachment. Technical information includes: glossaries of technical terms, charts, diagrams and tables which help to clarify key points within the proposal, statistical formulae, and supporting material on methodological techniques (eg sampling methods, survey design). Non-technical information that may be included in other attachments includes bibliographic details, summary approaches to any ethical issues and letters of support that are essential to the successful conduct of the research (eg access to datasets, or organisations). Such attachments must not exceed six A4 sides in total. Copies of articles, working papers or general letters of support should not be included.

Proposal classifications

The information provided in this section will be used by us to identify appropriate peer reviewers. It would therefore assist us greatly if you could populate the Research Area/Qualifiers/Keyword sections to provide a comprehensive description of your area of expertise.

The Proposal classification area is a harmonised (and expanded) structure agreed with other UKRI research councils. Therefore, if your area of expertise crosses the remits of more than one UKRI research council you will now only need to provide the information once.

It is an essential requirement that your **primary research area** is in the social sciences. We strongly encourage inter/multidisciplinary working both within and beyond the social sciences, as long as at least 50 per cent of the proposed programme of research is within ESRC remit. Please refer to the list of research areas that fall within ESRC remit (https://esrc.ukri.org/funding/guidance-for-applicants/is-my-research-suitable-for-esrc-funding/discipline-classifications/) for further information. Please note this information is used to determine eligibility for ESRC funding and to assist in the selection of appropriate reviewers.

There are three parts to the harmonised classification:

1. **Research Areas**
   These should be used to indicate the subject area(s) or disciplines relevant to the proposal. Research Areas are structured on three levels. For some subject areas all three levels have been defined, for others only two levels. The top level – Research

Area – should be used to navigate to the relevant subject areas.
Select the subject area(s) at the second level and/or third level where this is available. Please try to select terms at the lowest level to describe the subject area. Select up to five second-level Research Areas. Within the second-level Research Areas make as many selections at the third level as required.
Once you have selected the relevant Research Area(s), please ensure that you set one as primary.

2. **Qualifiers**
Qualifiers are terms that further describe the area of research. They are grouped by type, for example Approach (methodological approach), Geographic Area, or Theoretical Methods.
Select as many Qualifiers as are relevant to enable the Research Councils to gain a more detailed understanding of the area of research/study.

3. **Free-text Keywords**
Free-text Keywords may be used to describe the subject area of the proposal in more detail.

For more guidance on how to enter Research Areas, Qualifiers and Free-text Keywords on the Je-S form please refer to the appropriate Je-S help text.

Submit your proposal

After all mandatory sections have been completed, the submit button will appear across the top menu bar. Please ensure that you have **completed all attachments** that are not standard mandatory attachments for Je-S but are a **mandatory requirement to be completed for this specific call.** The submit button will route your finalised proposal to the authorising facility within your organisation (as explained in the 'Before creating your proposal' section above).

Tracking your proposal

There are additional document maintenance actions that can be undertaken via the Document actions button. For example, the 'Show submission path' will indicate to you where in the organisation submission chain the proposal currently is located (and who holds current responsibility) - eg owner, approval pool, submitter pool or submitted to Council.

Further enquiries

Enquiries relating to ESRC research funding rules and proposal procedures should be addressed to:
- Email: esrcenquiries@esrc.ukri.org

Enquiries relating to technical aspects of the Je-S form should be addressed to:
- Je-S helpdesk
Email: jeshelp@je-s.ukri.org
Telephone: 01793 444164