

US NSF/SBE – UKRI Lead Agency Opportunity Je-S guidance for applicants

Version: June 2021

| | |
|--|----------|
| Call summary..... | 3 |
| Introduction..... | 5 |
| Joint Electronic Submissions (Je-S)..... | 6 |
| Self-registration for organisations..... | 6 |
| Je-S accounts for applicants..... | 7 |
| Before creating your proposal..... | 7 |
| COVID-19 Guidance for Applicants..... | 8 |
| Creating your proposal..... | 9 |
| Completing your proposal | 9 |
| Project details | 10 |
| Investigators | 10 |
| UK co-investigators in business, civil society or government bodies | 11 |
| International co-investigators | 12 |
| Objectives | 13 |
| Summary..... | 13 |
| Academic beneficiaries..... | 13 |
| Staff duties..... | 14 |
| Ethical information | 14 |
| Other support..... | 14 |
| Related/previous proposals..... | 14 |
| Staff..... | 14 |
| Resources..... | 15 |
| Estates and indirect costs..... | 16 |
| Project partners..... | 17 |
| Timetable | 17 |
| Data collection..... | 17 |
| Reviewers (academic and user)..... | 17 |
| Classifications | 17 |
| User involvement | 17 |
| Attachments | 18 |
| Case for support (maximum of six sides of A4) | 19 |
| Justification of resources (maximum of two sides of A4)..... | 19 |
| Data Management Plan (maximum of three sides of A4)..... | 20 |
| CV (maximum of two sides of A4 per person)..... | 20 |
| Letter of Support from Heads of Department (both US and UK) (maximum of one side of A4 for UK, maximum of one side of A4 for US) | 20 |
| NSF budget form | 21 |
| List of publications | 21 |

| | |
|---|----|
| Final/interim reports (maximum of three sides of A4)..... | 21 |
| Proposal cover letter/letter of support (maximum of one side of A4) | 21 |
| Proposal classifications | 21 |
| Submit your proposal | 22 |
| Tracking your proposal | 22 |
| Further enquiries | 22 |

Call summary

Call type:

Invitation only. An expression of interest (EOI) must always be submitted and approved by all agencies involved before full proposal submission. We expect that full proposals will be submitted within 12 months of EOI approval. If greater time is needed for proposal preparation, an additional EOI may be required. Please see website for more details regarding the EOI submission process.

Closing date:

For proposals where a UKRI Research Council is the lead agency, there are no specific deadlines as proposals are submitted to the appropriate council's responsive mode. These have no fixed closing dates.

For proposals submitted to the NSF/SBE as the lead agency, please be mindful of programmatic submission deadlines. Please check the NSF/SBE divisions' websites – [Division of Behavioral & Cognitive Sciences](#) / [Division of Social & Economic Sciences](#) for applicable dates for the program(s) most relevant to your project.

Please note, however, that proposals are reviewed via the lead agency's processes. As such, proposals with NSF/SBE as the lead agency will only need to be submitted via Je-S if recommended for funding, not as part of the review process.

If NSF/SBE is the lead agency, and the EOI has been approved by all agencies involved, a full proposal should be submitted for review via NSF's FastLane system, Grants.gov or Research.gov to the appropriate standing program within SBE.

Funding available:

- For AHRC-led proposals the UK costs must be between £50k and £1m.
- For BBSRC-led proposals the UK costs may not exceed £1m (there is no minimum).
- For ESRC-led proposals the UK costs must be between £350k and £1m.
- For NSF-led proposals where AHRC is the UK funder, a maximum of £350k can be requested for UK costs.
- For NSF-led proposals where ESRC/BBSRC is the UK funder, a maximum of £1m can be requested for UK costs.
- For NSF-led proposals, please consult with the relevant program(s) for budgetary norms.
- There is no minimum amount for UK contributions where NSF is the lead agency.

Full proposal budgets should not vary from those specified in the approved EOI by more than 10% and any such changes should be fully justified.

Contacts:

Enquiries relating to the UKRI-led submissions should be addressed to:

- sbeleadagency@ukri.org

Enquiries relating to the NSF/SBE-led submissions should be addressed to:

- sbe-ukri@nsf.gov

Please read the full call specification and all guidance documents relating to the US NSF/SBE – UKRI Lead Agency Opportunity before submitting your proposal.

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](#)
- ESRC guidance on '[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 9 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.

- [NSF-UKRI Memorandum of Understanding](#)
- [US NSF/SBE – UKRI Lead Agency Opportunity Management Plan](#)
- [Expression of Interest \(EOI\) template](#)
- [Guidelines for submitting to the US NSF/SBE – UKRI Lead Agency Opportunity](#)
- [ESRC responsive mode call specification](#)
- [NSF budget form](#)

Please ensure that you have read and understood all these documents prior to commencing your application. For further information contact:

- sbeleadagency@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 UKRI-led proposals under this call must be submitted through the UKRI's Joint Electronic Submissions (Je-S) for assessment. All successful NSF/SBE-led proposals must also be submitted through Je-S for auditing. To be able to do this the organisation must be registered for Je-S, and the applicants must hold Je-S accounts.

There are three possible categories of organisations from which proposals can be submitted:

- 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 please 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. If the organisation is not correctly Je-S registered, an email request for Je-S registration will be required from the organisation. **Please allow at least six weeks for the Je-S registration process, prior to the closing date of the call.** Additionally, please ensure that all personal Je-S accounts associated with individuals expected to be named on the proposal have been requested at least seven working days before the proposal will be submitted.*

- **Overseas organisations** which have previously registered for Je-S to submit to international focused schemes (but would not be eligible to apply for other research responsive mode schemes). A list of these organisations is available from the Je-S login page. The organisation will have previously set up the submission process and will therefore be available within the Je-S searches.
- Organisations which do not appear in the list of registered organisations may be '**self-registered**'. This can be done from the link on the Je-S login page, if it is an eligible function under this call (which may typically attract non-UK organisations). Please note the organisation only needs to be self-registered once, so it may become apparent in the self-registration process that the organisation is already listed on our database

Self-registration for organisations

If you are interested in applying under the **International (invite only)** call (see guidance below) and your organisation does not hold Je-S registration, please follow these instructions to self-register your organisation before creating a personal Je-S account.

- Firstly navigate to the [Je-S homepage](#)
- Select the link 'self registration for organisations'.
- Accept the Terms and Conditions that are displayed.
- Complete the 'Organisation' page. Please note there is a restriction on the number of characters available in the 'organisation name' field, and please note that words such as university should be entered in English.

- If a 'Potential Duplicates' page appears, please check to see if your organisation is listed. Your organisation's name may be listed in a slightly different way (eg it may be shortened or a word such as 'university' may be either at the start or end of the name), so please check carefully to avoid creating a duplicate. If your organisation is on the list please select cancel, this means your organisation is already with Je-S and do not need to continue with this process. If your organisation is not registered and does not appear on the list then please select 'Next Step'.
- Check the details and select 'Create organisation'.

Registration of your organisation is now complete. You will now need to create a personal Je-S account to enable you to prepare a proposal. Please navigate to the [Je-S homepage](#) and select the 'Create Account' link.

However, if you have used Je-S previously you will already have an account and you will not need to create a new one - but you will need to amend the organisation details of your existing account.

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](#).

Please ensure that applicants select the 'Account Type: Research Proposal' and the option 'An Applicant on a Standard or Outline Proposal' - see [helptext](#).

Please note that US applicants must be eligible for funding from the National Science Foundation.

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.

Before creating your proposal

Research proposals may **only** be made on research councils' Joint Electronic Submission (JeS) forms.

For proposals where a UKRI Research Council is the lead agency, there are no specific deadlines as proposals are submitted to the appropriate council's responsive mode. These have **no fixed closing dates**. However, full proposals should be submitted within 12 months of EOI approval. Please see call summary for more details on deadlines for proposals with SBE as the lead agency.

You can view all Je-S registered organisations via the Je-S login page, to ascertain whether the proposed submitting organisation is registered.

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').

Organisation internal submission structure

It is recommended that applicants forward their proposal to the organisation submitter pool in good time before the call deadline to allow a sufficient period for the approval and final submission process. The proposal must be submitted through the Je-S System to ESRC by the institution's nominated contacts. Once the applicant completes and submits the proposal, notification is then sent to their organisation's 'submitter' to action. The 'submitter' is the person in that organisation authorised to approve the proposal and do the final stage of submission.

The applicant will receive an email confirming that the proposal has been submitted to the Submitter Pool - this means the proposal is still with the organisation but is **not** yet submitted to the research council. The final submission process is the responsibility of the host institution, and we cannot accept responsibility for any delay which may occur at this stage. We strongly advise applicants to check that they receive an email confirmation from the Je-S System confirming that the proposal has been submitted to the research council.

Use of your person 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.)

Creating your proposal

Log in to [Je-S](#).

Documents screen: Select 'New Document'

If your proposal is UK-led:

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.

If your proposal is US-led:

Add new document screen: Select 'Call search' (highlighted at top of screen). When prompted, type in the call title 'International (Invite Only)' 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 an 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.

Submitting successful US-led proposals

When submitting successful US-led proposals, which have already been assessed and recommended for funding by NSF/SBE, your proposal is not assessed again by ESRC. Therefore, the procedure is different to submitting UK-led proposals, which are assessed via the ESRC's responsive mode.

For successful US-led proposals, when filling in the Je-S form, please utilise the information from the full proposal submitted via NSF electronic application system as much as you can instead of producing new material for the required sections – it is better to be short and concise.

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 proposals submitted under the US NSF/SBE – UKRI Lead Agency Opportunity, **the project title must begin with the prefix ‘SBE-UKRI:’**.
- For **UK-led** proposals, for ‘Proposal Call’, select Research Grants (open call). For **US-led** proposals, for ‘Proposal Call’, select International (Invite Only).
- The ESRC-funded part of your grant should be a proposed duration of no more than five years. The NSF SBE-funded part of your grant should comply with normal NSF rules for unsolicited project proposals as outlined in the [NSF Proposal and Award Policies and Procedures Guide \(PAPPG\)](#).
- Submission route – It is recommended that once this initial section is completed, check the submission path (via Document Actions tab) to see if the proposal has to be signed off by submitters and approvers, in which case please make sure they will be available to process the document on the day you intend to submit it to Council.

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 UK-led (ESRC-funded) part of 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.

All US applicants for whom funds are being requested from NSF/SBE must be listed as international co-investigators. This is the same whether the proposal is UK-led or US-led. Please see “International co-investigators” section.

Please note that it is mandatory that you answer positively to the question ‘Post will outlast project?’ To clarify, there is an expectation that the PI’s post will be in place for the duration of the project.

The ESRC ‘Business, Third Sector and Government Body’ Co-I policy does not apply to eligible PSRE organisations (see page 6 for eligibility ruling). Such organisations can apply under the standard fEC rules.

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 US NSF/SBE – UKRI Lead Agency Opportunity.

The ESRC will fund 100% of justified costs, however, the project costs associated with these types of Co-I contributions must not exceed 30% of the overall cost of the ESRC-funded part of the grant (at 100% fEC). Please note that costs cannot be claimed from government bodies. Proposals which include co-investigators from the UK business sector or from third sector organisations that engage in economic activity¹ must ensure that the involvement of these 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 must be entered under the standard Co-I section, but the salary rate must be entered as zero. The co-investigator salary costs must then be entered under 'Other Directly Incurred Costs' (please tick the 'Is Exception' box to ensure 100% costs claimed), as should all other claimed staff salaries and related costs associated with the UK Co-I's business or civil society body.

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

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

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.

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

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 scheme.

Please note that for proposals submitted under the US NSF/SBE – UKRI Lead Agency Opportunity, US applicants whose costs are being sought from the NSF should be entered as international co-investigators. It is essential that any such individuals are eligible for funding from the NSF as their costs **will not** be covered by the ESRC.

For international co-investigators from the US for whom funds are being sought from the NSF under the US NSF/SBE – UKRI Lead Agency Opportunity:

All costs for US international co-investigators must be entered into the specific NSF budget form and uploaded to the Je-S proposal as an additional attachment. All costs must be in accordance with the NSF's normal funding rules for unsolicited proposals, as outlined in the [NSF Proposal and Award Policies and Procedures Guide \(PAPPG\)](#).

In the Je-S form, US co-investigator 'time' allocation must be entered under the standard Co-I section, but the salary rate must be entered as zero.

For international co-investigators from countries other than the US for whom funds are being sought from the ESRC under the international co-investigator policy:

Please note that international costs (excluding costs requested from NSF) must not exceed 30% of the full 100% fEC cost of the ESRC-funded part of the grant. In addition, if the grant includes costs for UK co-investigators in business, civil society or government bodies, the total of international costs (excluding costs requested from NSF) and the costs for UK co-investigators in business, civil society or government bodies must not exceed 30% of the full 100% fEC cost of the ESRC-funded part 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). Please ensure you initiate such discussions as soon as possible before the call closing date.

All costs associated with the international co-investigator - whether fieldwork, equipment or travel and subsistence - should be entered as 'Other Directly Incurred' and should be marked as an 'Exception' using the tick box. All costs should also be prefixed with 'Overseas:'.

Co-investigator 'time' allocation must be entered under the standard Co-I section, but the salary rate must be entered as zero.

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.

Objectives

List the objectives of your research in order of priority. *(4000 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 *(4000 character limit)*

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. *(4000 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. *(2000 character limit)*

Ethical information

This section must be comprehensively addressed. *(4000 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](#) 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. 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. Please note the [policy on 'invite only' resubmissions](#). 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.

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).

In addition to ESRC-funded staff, all NSF/SBE-funded US staff, whether 'Directly Allocated' or 'Directly Incurred', should be entered here with costs/salaries entered with a value of zero.

The US NSF/SBE – UKRI Lead Agency Opportunity does not allow for the inclusion of associated studentships on the UK side of the proposal.

Resources

All resources requested, including those requested from NSF, must be fully justified in the 'Justification' attachment.

Only resources being requested from the ESRC should be entered under this section. For UK-led proposals, resources being requested from NSF should be entered on the separate NSF budget form and added to the Je-S proposal as an attachment.

The US NSF/SBE – UKRI Lead Agency Opportunity, via ESRC's responsive mode, will provide up to 60 months funding, with an overall limit of £1 million (100% fEC) per grant for the UK costs. If successful, ESRC will meet 80% of these full economic costs on proposals submitted and the host institution is expected to support the remaining 20%. ESRC will only fund the costs associated with the UK side of the proposal and the NSF will only fund the costs associated with the US side of the proposal.

Full proposal budgets should not vary from those specified in the approved EOJ by more than 10% and any such changes should be fully justified.

T&S - add each item of Travel and Subsistence required for your project. You should indicate the calculations upon which this figure is based in the 'Destination and Purpose' box.

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% (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% 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 project costs relating to UK business or civil society co-investigators must be prefixed as 'UK Co-I's business or civil society costs'. The co-investigator salary costs must be entered under the exceptional cost type within the COI section.

All costs associated with international co-investigators, whether fieldwork, equipment or travel and subsistence should be entered as 'Other Directly Incurred Costs' and should be marked as an 'Exception' using the tick box. All costs should also be prefixed with 'Overseas.'

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** (Overseas 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.

Non-research organisations 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.

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 letter of support from each partner organisation confirming the level of support specific to this proposal must be included as an attachment via this section.

Timetable

Provide a clear timetable for the project and the intended progress of the research through the different stages. 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](#) and in the [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.

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

If 'Users' have been/will be engaged with your research project, please specify the nature of their engagement. 'Users' are individuals, groups or organisations who have an interest in or may benefit from the research. Users may be from the public sector, private sector, civil society or the wider public in general. Engaging users in your research from its conception and development through to the dissemination stage 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.

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](#).

The following are mandatory Je-S attachments for **UK-led** proposals submitted to this call:

- Case for support
- Justification of resources
- Data Management Plan (for grants planning to generate data)
- CV
- Letters of Support from Heads of Department (both US and UK)
- NSF budget form

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 SBEleadagency@ukri.org for advice, as unrequested attachments can hinder the processing of your application. ESRC reserves the right to return or reject proposals that include attachments not permitted on this call.

Attachments when submitting successful US-led proposals

When submitting successful US-led proposals, which have already been assessed and recommended for funding by NSF/SBE, your proposal is not assessed again by ESRC. Therefore, the procedure is different to submitting UK-led proposals, which are assessed via the ESRC's responsive mode.

For successful US-led proposals, when filling in the Je-S form, please utilise the information from the full proposal submitted via NSF electronic application system as much as you can instead of producing new material for the required sections – it is better to be short and concise.

The following are mandatory Je-S attachments for **US-led** proposals:

- Case for support
- Justification of resources
- Data Management Plan (for grants planning to generate data)
- CV

Letters of Support from Heads of Departments are not necessary for US-led proposals. The NSF budget form is not a mandatory attachment for US-led proposals which have already been submitted to NSF/SBE.

For US-led proposals the case for support may be longer than the six pages stipulated for UK-led proposals. Material may be copied in full from the application submitted to NSF.

Attachments when submitting UK-led proposals

Case for support (maximum of six sides of A4)

This is the body of your research proposal. It must not exceed six sides and must include the following sections:

- The introduction should set the aims and objectives of the study in context. It should briefly sketch the main work on which the research will draw, with references. Any relevant policy or practical background should be included.
- The detailed research questions to be addressed should be clearly stated.
- Give a full and detailed description of the proposed research methods. Particular care should be taken to explain any innovation in the methodology or where you intend to develop new methods.
- Clearly state the framework and methods for analysis, and explain the reasons for their choice.
- Indicate the expected outputs both academic and those orientated to (potential) users (articles, papers, datasets, events, etc). Where possible, describe the expected impact.
- 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.
- The bibliography for references cited in the proposal should be attached under the 'list of publications' document; this should not include publications not cited in the proposal. A list of the most relevant and recent publications 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 made.

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.

The Justification of Resources section of the proposal should provide justification for the full project budget (that is, both the UK and US funding items). The costs of the US and UK organisations must be clearly differentiated in the proposal; proposals that request duplicate funding may be subject to office rejection.

Please refer to [Je-S for further guidance](#).

Data Management Plan (maximum of three sides of A4)

It is a requirement of the [ESRC Research Data Policy](#) that all applicants planning to generate data as part of their grant must include a Data Management Plan. 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.

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.

CV (maximum of two sides of A4 per person)

A CV for each applicant and named research staff member 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.

Letter of Support from Heads of Department (both US and UK) (maximum of one side of A4 for UK, maximum of one side of A4 for US)

Proposals must include letters of support from the Heads of Department for both the UK and US lead applicants.

The respective Heads of Department must provide a statement confirming the institution's support for the proposal. The statement should clearly state the intended institutional support and the institution must guarantee as a minimum that appropriate support facilities (including office space and appropriate computing facilities) will be made available to the applicant during the period of the grant. The statement must also confirm the institution's

support for the proportion of the applicant's time and salary not to be supported by the ESRC or NSF, and the activities that will be undertaken.

All statements must be signed and on headed paper.

NSF budget form

All proposals requesting funding from NSF must include an NSF budget form under 'Other attachments'.

Full proposal budgets should not vary from those specified in the approved EOI by more than 10% and any such changes should be fully justified.

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.

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

All current grant holders must submit a progress report on their current awards with any new application. Details should include the output records submitted by the applicant to the Researchfish system.

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.

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, additional 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). 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.

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 councils. Therefore, if your area of expertise crosses the remits of more than one UKRI 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% of the proposed programme of research is within ESRC remit. Please refer to the list of [research areas that fall within ESRC remit](#) for further information. Please note this information is used to determine eligibility for ESRC funding and to assist in the selection of appropriate reviewers.

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 Registration section above).

UK-led proposals will be subject to peer review and Grants Assessment Panel (GAP) assessment. The ESRC will aim to return a decision on your proposal within 26 weeks of submission, however this is a guideline only.

US-led proposals, which have already been assessed and recommended for funding by NSF/SBE, are not assessed again by ESRC. Please notify sbeleadagency@ukri.org when your proposal has been submitted to Je-S and include the grant reference number in any correspondence.

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: sbeleadagency@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