

## UKRI Innovation and Research Caucus Je-S guidance for applicants

This version: July 28 2022

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**Call type:**

Standard research grant

**Closing date:**

16:00 on 6 September 2022

**Funding available:**

£6 million (UKRI contribution)

**How to apply:**

Proposals are invited via Je-S.

This is a two-stage process. UKRI will contribute £100k (80% fEC) for **one** successful applicant to undertake a 3-month co-design and scoping phase with UKRI to co-develop a responsive programme of activity and an agile governance structure for the programme delivery stage. Subject to submitting a satisfactory report which includes a flexible programme of work with an appropriate and agile governance at the end of the scoping period, UKRI will contribute at least an additional £5.9 million for programme delivery over a further up to 35 months.

**Assessment process:**

This call will incorporate a shortlisting panel meeting stage and interview stage.

Final recommendations for progression to the co-design stage will be made by the Panel on the basis of the written proposal, reviewer comments, and interview.

**Key commissioning dates:**

- Deadline for proposals - 6 September 2022
- Call webinar – 28 July 2022, 13:00 – 14:00 (This will be recorded and available later)
- Shortlisting Panel meeting - w/c 31 October 2022
- Interviews – w/c 28 November 2022
- Funding decision - 12 December 2022
- Commencement date of 3-month scoping period – 9 Jan 2023
- Scoping report due – 31 March 2023
- Latest grant start date – 1 May 2023
- Latest grant end date – 31 March 2026

**Contacts:**

- Luke Shipman or Emma Bushell  
Email: InnovationCaucusUKRI@esrc.ukri.org
- JeS Helpdesk  
Email: JeSHelp@je-s.ukri.org

**Please read the full call specification for guidance 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](mailto:jeshelp@je-s.ukri.org) Telephone: 01793 444164

If you experience difficulties using Je-S or have questions regarding its use, helpdesk staff are currently working remotely via email. If phone assistance is required a call back can be provided. Telephone hours are operating normally; Monday to Thursday 8.30am - 5.00pm, Fridays 8.30am - 4.30 pm (excluding bank holidays and other holidays).

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.

- **Scheme-specific guidance**  
[Lead a network of innovation and research funding policy experts – UKRI](#)

For further information contact:

- Luke Shipman or Emma Bushell  
Email: [InnovationCaucusUKRI@esrc.ukri.org](mailto:InnovationCaucusUKRI@esrc.ukri.org)
- JeS Helpdesk  
Email: [JeSHelp@je-s.ukri.org](mailto:JeSHelp@je-s.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 from the following organisations:

- 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, 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](mailto: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.*

## **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. Je-S accounts should be created as soon as possible once the call opens to allow sufficient time for the account(s) to be verified. 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](#).

## **Before creating your proposal**

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

Please note that **the deadline for research organisation submission of proposals is 16:00 on 6 September 2022.** You should allow sufficient time for completion of the research organisation submission process checks/authorisation. **There is a collective responsibility on both applicant and research organisation to ensure submission meets this deadline and therefore internal organisation submission issues is not considered an appropriate justification for an extended deadline.**

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 (this does not include HEI's).

## **Organisation internal submission structure**

Your proposal will be sent to Je-S/ESRC from the submitter pool at your research organisation. (If the call is open to a self-registered organisation then the proposal is submitted direct to Je-S helpdesk). 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 (i.e. head of department) and submitter pool (i.e. central finance office), and the ESRC cannot accept responsibility for any delay which may occur.

It is recommended that applicants forward their proposal to the organisation submitter pool in good time (i.e. at least a week before the call deadline) to allow a sufficient period for the approval and final submission process. This does not apply for self-registered organisations. 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.

We 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').

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.)

## **Creating your proposal**

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

From the Home Screen select Documents.

Select New Document then Select 'Call search' (highlighted at top of screen). When prompted, type in the call title (*UKRI Innovation Caucus 2022*) 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.

## 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)
- The 'Proposal Call' will already be populated with the relevant call title; *UKRI Innovation Caucus 2022*.
- Your start date must be **9 January 2023**. Your grant should be a proposed duration of no more than **39** months.
- 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-Is) 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.

Please note that where the Caucus Director role is shared between two individuals, one must be entered as PI, with the other Director entered as a Co-I. Please use the **Staff Duties** section and **Case for Support** document to clarify the roles

Please note the expectation that Director(s) would dedicate significant time to the co-design of the programme during the scoping phase.

### **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 UKRI Innovation and Research Caucus 2022.

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 grant (at 100% fEC). Please note that costs cannot be claimed from government bodies.

The lead research organisations of proposals which include co-investigators from the UK business sector or from third sector organisations that engage in economic activity<sup>1</sup> must ensure that the involvement of these organisations complies with any legislation applicable in the United Kingdom on or after 1 January 2021 that regulates the granting by a public sector body of any advantage which threatens to or actually distorts competition in the United Kingdom and/or any other country or countries ("UK Subsidy Control Framework"). Under UKRI grants terms and conditions RGC 2.3.1 it is the responsibility of the Research Organisation to ensure their use of the grant complies with such legislation and any breach of the UK Subsidy Control framework (or EU State Aid law if applicable) may require UKRI to recover some or all Grant funding, together with interest. For further information please refer to the BEIS guidance for Subsidy Control.

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.

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<sup>1</sup>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 goods 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](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/443686/BIS-15-417-state-aid-the-basics-guide.pdf). Engagement in economic activity relates to an organisation's activity rather than its legal form, therefore commercial companies, non-profit organisations, charities, public bodies and research organisations can all act as enterprises, depending on the activities they are involved in.



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 or civil society should create Je-S accounts as soon as possible once the call opens to allow sufficient time for the account(s) to be verified.

The costs that can be claimed for business, third sector and government body Co-Is is dependent upon the organisational sector and whether or not the organisation is engaged in economic activity, as set out in the UK business, third sector or government body co-investigator guidance. The lead research organisation must ensure that any costs they request are compliant with UK Subsidy Control Regulations and evidence this in the Justification of Resources.

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.

The ESRC 'Business, Third Sector and Government Body' Co-I policy does not apply to eligible PSRE organisations (see page 4 for eligibility ruling). Such organisations can apply under the standard fEC rules.

### **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 international costs must not exceed 30% of the full 100% fEC cost of the grant. However, the total of these costs 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 grant.

It is recommended that potential overseas-based co-investigators should create personal Je-S accounts as soon as possible once the call opens to allow sufficient time for the account(s) to be verified

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.

## **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). It is also possible to capture Researcher salary costs under the exceptions (100% contribution) cost type, if they are international based.

Please note associated studentships are not permitted under this call

### **Resources**

UKRI will contribute £100k (80% fEC) for **one** successful applicant to undertake a 3-month co-design and scoping phase with UKRI to co-develop a responsive programme of activity and an agile governance structure for the programme delivery stage. Subject to submitting a satisfactory report which includes a flexible programme of work with an appropriate and agile governance at the end of the scoping period, UKRI will contribute at least an additional £5.9 million for programme delivery over a further up to 35 months.

**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.

**Conferences** - Predicted costs for conference attendance [will be funded] where the conference is named, justified and costed in the proposal. The justification should show how the conference will either directly benefit the research or facilitate future impacts of research. Justification must also be provided as to the number of project members attending a conference. ESRC encourages early career researcher conference attendance where it can be demonstrated to be a key development opportunity.

**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 to confirm why this existing equipment is not sufficient. Host ROs are expected to make a contribution towards the cost of the equipment in the order of 50% of the cost, therefore equipment should be costed at 50% of the full cost only.

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 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. **It is important that all organisations that are contributing either directly or indirectly to the intended research, are identified.** If not, their contributions to the project cannot be reflected in our assessment process or in the summary of the project published externally, if it is funded. 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 as an email version, but all letters of support **must** be signed by the relevant member of the Project Partner organisation and **must** be dated within six months of the proposal submission date.

### **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.

## Classifications (International in Nature)

Please identify whether the research will involve significant collaborative contributions from colleagues outside of the UK. This could include the research area of focus, collaborations, data sets or any other notable international aspect of the research. You should answer yes if:

- Any significant part of the research is international, for example, if one or more work packages have an international component.  
**And/or**
- Either a Co-Investigator, Project Partner or any other organisation involved in the project is based overseas.

### If Yes, please complete free text box (maximum 1000 character limit)

Please detail the nature of the international aspect of the research and identify all countries involved.

- Where the research area of focus is international, explain the nature of this focus and all the countries involved.
- Where an international organisation is involved, please identify this organisation and the country(/ies) in which it is based.

## 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. Attachments should be uploaded as PDF (rather than word) to ensure automated conversion does not cause problems with maximum length. Attachments should be in font size 11 with 2cm margins (recommended font type; Arial or Garamond).

The following are mandatory Je-S attachments for this call:

- Case for support
- Justification of resources
- CV

- A letter of support will be required from a named senior contact at the host research organisation outlining that the devolved budget will be appropriately administered

List of Publications, Letter of Support, Proposal Cover Letter, Facility form, Final/Interim Report, Project Student Request and Other are optional attachments\* and should be included where necessary.

\*Please note guidance against these specific attachment types below, as to when submission is considered mandatory/appropriate.

**Important note:** If you are unclear about whether you can include a specific attachment please contact [InnovationCaucusUKRI@esrc.ukri.org](mailto:InnovationCaucusUKRI@esrc.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.

### **Case for support (maximum of 12 sides of A4)**

This is the body of your research proposal. It must not exceed 12 sides and must include the following sections:

- Where you are proposing co-Directors, please detail who they are and how they will work together
- Please ensure you detail plans for co-design stage, as well as the full programme delivery stage.
- A full description of the project aims, methods and initial work packages (including proposed timings), as well as details of how the project will address the aims as listed in the call details. Please note, we expect work packages to alter during the co-design stage, and you will be able to alter these in your final submission.
- Detail how you will convene, lead, and manage a network (or networks) of academic experts in innovation and research funding policy and practice.
- Outline how you will act as a champion for the social, behavioural and economic sciences and their role in understanding and harnessing innovation and research, enabling greater engagement between innovation and research funding policy scholars and key UKRI stakeholders
- Consider how you will act as a key contact point who can speak with authority on economic and social sciences perspectives on innovation and research funding policy and practice to the funders, key stakeholders and user communities. This should include an indication of how you would expect to provide critical input into the development of new research and innovation policies and approaches at UKRI, as well as supporting the improvement of existing mechanisms of support
- Explain how you will work closely with funders and key UKRI stakeholders throughout the funded period, acting as a trusted expert and supporting UKRI to hone research questions and fully understand the innovation and research funding and policy eco-systems
- Detail what steps you will take to provide opportunities for UKRI users to benefit from your research. This should include reference to providing research insights, undertaking systematic assessments of relevant evidence and building an evidence base (see call specification for more detail). For all these elements, please ensure you outline how you will share findings in a format that can be understood, interpreted, and acted upon, not only by UKRI, but also by the wider business, research and

policy-making communities. Creative approaches to communication and engagement are encouraged

- Indicate your intended approach to managing a devolved fund to support those within and beyond the network to provide expert insight and research as required.
- 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, including identifying research and capability gaps, and increasing capacity for engaging with research funding policy and innovation through network building and the professional development of researchers (including, but not limited to, early career researchers) and professional support staff involved in the Caucus.

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.

Please ensure full costs associated with stakeholder engagement, project administration and travel and subsistence are included.

Please ensure you clarify which staff and resources will be committed during the co-design stage (note, UKRI will provide a maximum of £100k (80% fEC) to this stage).

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.

**Estates, Indirect and Infrastructure Technician costs do not need to be justified within the Justification of Resources.**

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, 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.

### **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 which should match their impact and output records on Research Fish.

### **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.

A **Letter of Support** will be required from organisations involved in the project, including research, engagement, impact and knowledge exchange activities.

A **Letter of Support** will be required from a senior contact at the host research organisation outlining that the devolved budget will be appropriately administered.

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.

### **Proposal classifications**

The information provided in this section will be used by us to identify appropriate panel assessors. 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. 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).

Please note that the proposal must be formally submitted by your organisation before **16:00 on 6 September 2022**.

## Commissioning timetable

- Deadline for proposals - 6 September 2022
- Shortlisting Panel meeting - w/c 31 October 2022
- Interviews – w/c 28 November 2022
- Funding decision - 12 December 2022
- Commencement date of 3-month scoping period – 9 Jan 2023
- Scoping report due – 31 March 2023
- Latest grant start date – 1 May 2023

## 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:

Enquiries relating to technical aspects of the Je-S form should be addressed to:

- Luke Shipman or Emma Bushell  
Email: [InnovationCaucusUKRI@esrc.ukri.org](mailto:InnovationCaucusUKRI@esrc.ukri.org)
- Je-S helpdesk  
Email: [jeshelp@je-s.ukri.org](mailto:jeshelp@je-s.ukri.org)  
Phone: +44 (0) 1793 44 4164

Staffed Monday to Thursday 8.30am to 5pm and Fridays 8.30am to 4.30pm  
(excluding bank holidays and other holidays)  
Out of hours: leave a Voice Mail message

If you experience difficulties using Je-S or have questions regarding its use, helpdesk staff are currently working remotely via email. If phone assistance is required a call back can be provided. Opening hours are Monday to Thursday 8.30am to 5pm and Fridays 8.30am to 4.30pm (excluding bank holidays and other holidays).