



## **Canada-UK Artificial Intelligence Initiative: building competitive and resilient economies and societies through responsible AI**

### **UK Addendum**

Version: June 2019

This call is led by ESRC on behalf of UKRI. Funded by UKRI's [Fund for International Collaboration](#), this initiative is offered in partnership with the Canadian federal research funding agencies. This addendum contains supplementary information for UK applicants. Please see the [call specification](#) and [Je-S Guidance](#) for information about this call for proposals and detailed instructions on how to apply.

### **Eligibility**

The narrative should address the project's relevance to the objectives of this call and should fall within the remit of the four participating councils: AHRC, ESRC, EPSRC and MRC. The subject remit of the councils can be found here:

- [AHRC](#)
- [EPSRC](#)
- [ESRC](#)
- [MRC](#)

As an interdisciplinary call, applicants must clearly demonstrate that their proposals are genuinely interdisciplinary and cutting across at least two of the following domains:

1. social sciences and humanities;
2. health and biomedical sciences; and
3. natural sciences and engineering (including computational and/or mathematical sciences).

The composition of the international team must reflect interdisciplinarity, and at a minimum, include a PI in the UK and a PI in Canada from different research domains. The funding agencies will conduct a relevance review of the applications received to determine whether the overall proposed international collaborative research reflects this interdisciplinarity. Applications that are not deemed to be relevant to the call will be withdrawn from the competition.

Principal Investigators (PIs) must be based at a UK institution eligible for UKRI funding. Please note that due to the cross-council nature of this initiative, ESRC’s standard policy for non-academic Co-Is does not apply and UKRI will not fund Co-Is or Researchers from business, civil society, or government through this call. Non-academic researchers may be involved as Project Partners.

The focus of this call is to foster collaboration between researchers in the UK and Canada to advance research in the area of artificial intelligence. Therefore, UKRI will not fund Co-Investigators or Researchers outside of the UK through this initiative. International researchers (outside of the UK and Canada) may be involved as Project Partners.

The following chart outlines the categories of participants that can be involved in the grant. Note there are important differences in the UK and Canadian eligibility criteria.

UK	Canada
<p><b>Principal Investigator (PI):</b> an individual who takes responsibility for the intellectual leadership of the research project and for the overall management of the research. For this call, there must be one PI based in the UK and one based in Canada, from different research domains as outlined above. The PI based in the UK submits the application on behalf of the team.</p>	<p><b>Principal Investigator:</b> The PI based in Canada must be affiliated with a fully eligible Canadian post-secondary institution at the time of application. See lists of <a href="#">SSHRC Eligible Institutions</a>, <a href="#">NSERC Eligible Institutions</a>, and <a href="#">CIHR Eligible Institutions</a>.</p>
<p><b>Co-investigator (Co-I):</b> assists the PIs in the management and leadership of the research project. There may be a number of Co-Is supporting the PIs.</p>	<p><b>Co-investigator:</b> For the Canadian agencies, co-investigators must be affiliated with a fully eligible Canadian post-secondary institution (see lists directly above).</p>
<p><b>Researcher:</b> someone who makes intellectual contribution to the formulation and development of the project but is not eligible to be either PI or Co-I in their own right.</p>	<p>A <b>Researcher</b> is equivalent to a <b>Collaborator</b> for the Canadian agencies. Collaborators do not need to be affiliated with a Canadian postsecondary institution (i.e. international faculty members and researchers from public, private and not-for-profit organizations are eligible as collaborators). Note that collaborators do not have access to grant funds.</p>
<p><b>Project partners:</b> An organisation or individual should only be named as a project partner if it is providing specific contributions (either direct or indirect) to the research project.</p>	<p>A <b>partner</b> is a Canadian or international organization from any sector. Individuals from partner organizations in the public, private and not-for-profit sectors may also be involved as collaborators.</p>

For proposals involving health or biomedical research, please also refer to section 1.1 of MRC's standard [Guidance for Applicants](#) for additional information around the types of organisations that can be funded.

## 1. Funding information

The UK funding bodies (AHRC, EPSRC, ESRC and MRC) are making a total of £5 million available for the Canada-UK Artificial Intelligence Initiative.

UK applicants may bid for up to £625,000 at 100% full economic cost (fEC) (of which UKRI will fund up to £500,000 at (80% fEC)). The host institution is expected to provide the remaining 20%.

The funding will not cover UK PhD studentships or requests for capital items.

## 2. Budget guidance

The UK team must prepare a budget detailing costs and the requested amount, including staff costs, outsourcing, travel and subsistence, equipment and consumables, dissemination, evaluation, and other itemised costs. This combined budget should indicate the overall cost for the UK team. All costs should be costed on the basis of the full economic costs (fEC) of the research and all costs that contribute to the full economic costs of the proposal should be included. Proposals should be costed using TRAC (Transparent Approach to Costing) methodology and should only include the costs required to support the research related to the proposal (that is, costs which fall outside the scope of the grant should not be included).

UKRI have produced a [FAQ document](#) for more information regarding costings.

For proposals involving health and/or biomedical research, further guidance on costs is available in [Section 3](#) and [Section 6](#) of MRC's Guidance for Applicants.

If the proposal is successful, UKRI will contribute 80% of the total costs applied for by the UK team.

## 3. Submission information

Applicants to this call must submit a **compulsory** Intention to Submit (ItS) by 23:00 British Summer Time on 19 August 2019. The ItS must be completed online using the [electronic form](#).

Note that the PIs cannot change between ItS and full application but additional participants can be added/removed at full application.

Failure to submit a valid ItS will invalidate the full proposal submission. Please refer to the call specification for further information.

Full applications will be accepted via UKRI's [Joint Electronic Submissions \(Je-S\) system](#), which is available. Je-S is the electronic submission system used by UKRI to provide a common electronic system that supports research administration. More detailed

information can be found on the [Je-S webpage](#) and in the Je-S Guidance for this call. In particular applicants should note the registration requirements for making a Je-S submission.

Full applications must be submitted by 16:00 UK TIME on 12 September 2019.

Applications for this call must be submitted by the UK Principal Investigator on behalf of the research team. The UK PI must be from a research organisation eligible for UKRI funding.

#### **4. Research ethics**

Proposals must demonstrate that any potential ethical and health and safety issues have been considered and state how any risks will be minimised, ensuring that all necessary ethical approval is in place before the project commences.

All applicants must comply with the [ESRC's Framework for Research Ethics](#).

For health or biomedical research proposals, please also see the [Ethics Addendum](#).

#### **5. Data sharing**

If the proposal involves the sharing of data across institutions or countries, applicants are expected to consider what data will be shared and how this will be managed to ensure the research project runs successfully and within the planned schedule.

#### **6. Intellectual property (IP) and collaboration agreements**

Where research is funded by or undertaken in collaboration with others, the research organisation is responsible for putting appropriate formal agreements in place covering the contributions and rights of the various organisations and individuals involved. Such agreements must be in place before the research begins.

The collaborating research organisations are expected to agree the ownership of intellectual property generated during the project and rights to exploitation, as well as any costs regarding management of IP, before the research begins. The collaboration agreement must include details of this.

For further information please refer to ESRC's [Guidance for Applicants](#).

#### **7. Fixed start date and post-award information:**

The successful projects will be funded by UKRI's International Fund for Collaboration (FIC). FIC funding requires a fixed start date. Therefore, the UK component of the grant must start between 1 February and 14 February 2020. The start of the grant may **NOT** be delayed beyond 14 February 2020 or precede 1 February. Please note that due to the fixed start date, the normal three month start period rules outlined in UKRI Terms and Conditions RGC4 do not apply to this initiative.

Please note that funding decisions are expected to be announced in the week commencing 6 January 2020. Please ensure that you have informed the relevant Support Services/Research Offices in your organisation that if your application is successful the start confirmation will

need to be received by ESRC before **6 March 2020**. Please ensure that your Research Office is prepared to accept the offer letter by 24 February 2020 at the latest.

## **8. Reporting requirements**

Principal Investigators will be required to record the outputs, outcomes and impacts generated by the grant using the Researchfish system. This information must be submitted annually for every year that the grant is active and for at least five years after the end of the grant. The information provided should be on behalf of both the UK and Canadian components of the [project](#).

## **9. Terms and conditions of awards**

[Terms and Conditions](#) available.

Projects will be administered by the ESRC and will therefore be subject to the standard terms and conditions of ESRC [research grants](#).

There will be additional terms and conditions for projects funded under this call including relating to the start date, ethics, extensions and specific rules pertaining to FIC funds from government.