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

Je-S Guidance for Applicants

Version: June 2019

*Please read the full call specification and this document before submitting your proposal

1. 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:

- Scheme-specific guidance – Canada-UK Artificial Intelligence call specification
- Canadian Addendum and UK Addendum (including call-specific Ethics Addendum)
- Canada-UK Artificial Intelligence call-specific attachments
    - Tri-Agency National Financial Form (mandatory)
    - Project Participant Form (mandatory)
- ESRC guidance on 'How to write a good research grant proposal'
- ESRC Research Funding Guide
- Canadian Tri-Agency Financial Administration Guide
- **Je-S Helptext** 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).

  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.

- **Je-S helpdesk** (for all Je-S system enquiries)
  jeshelp@je-s.ukri.org or +44 (0)1793 444 164

  If you experience difficulties using Je-S or have questions regarding its use, Helpdesk staff can be contacted Monday to Thursday 08.30 – 17.00, Friday 08.30 – 16.30 UK time (excluding bank holidays and other holidays). Out of hours: please leave a voicemail message.

  When reporting problems by email or telephone, please give your name, organisation and Je-S user ID, the date and time, what part of the form or system you were working on, and the nature of the problem.

Please note that applicants to this call must submit a single proposal to UKRI. The proposal should be submitted via UK Research and Innovation (UKRI's) Joint Electronic Submissions (Je-S) system. Canadian costs associated with the proposal should be submitted separately in the Canadian Tri-Agency National Financial Form, which is a mandatory attachment for this call. If you wish to submit an application in French, please contact the Tri-Agencies in the first instance (see Canadian Addendum).

Commissioning Timetable (Please note: dates are subject to change)

• Webinar for potential applicants	17 July 2019
• Compulsory Intention to Submit	19 August 2019 (23.00 UK time)
• Deadline for submitting proposals	12 September 2019 (16.00 UK time)
• Commissioning Panel meeting	w/c 2 December 2019
• Decisions to applicants	w/c 6 January 2020
• Grants start	1 February 2020

Applicants should note the **compulsory** Intention to Submit for this call. See the UK Addendum and Canadian Addendum for further information on this requirement.

- For further information, UK applicants should contact:

  Manija Kamal or Yasmin Jennings
  Email: aiukcanada@esrc.ukri.org
  Telephone: +44 (0)1793 413 084 or +44 (0)1793 414 697

- For further information, Canadian applicants should contact:

  Lauren Mathieson
  Email: Lauren.Mathieson@SSHRC-CRSH.GC.CA
  Telephone: +1 613-947-9656

2. Joint Electronic Submissions (Je-S)

***Please note that applications to this joint call must be submitted by the UK Principal Investigator (PI) on behalf of the international team**.

All proposals under this call must be completed and submitted through UKRI's Joint Electronic Submissions (Je-S). To be able to do this, the UK applicants' host organisations must be registered for Je-S, and the applicants must hold Je-S accounts.

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.

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.* ***Applicants from these organisations should 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.*

3. Je-S Accounts for Applicants

*** For this call, the UK PI is asked to submit on behalf of the international team. Please note that all Canadian investigators involved in applications for this call must self-register for Je-S in order to create an account.**

All PIs and Co-Is must have a Je-S account. For UK investigators, this must be verified by a third party (ie their host institution) before they can be found in searches within the Je-S system and added as an applicant to a proposal. To get 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.

It is strongly recommended to create the Je-S account as soon as possible and well before the call closing date. You must allow at least five business days for processing the registration of PIs and Co-Is, as the registration requests are handled manually by Je-S staff and only processed during their normal working hours (Monday to Thursday 08.30 – 17.00, Friday 08.30 – 16.30 UK time).

It is recommended that applicants forward their proposal to the organisation Submitter Pool in good time (ie at least a week 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 UKRI 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 UKRI. **The final submission process is the responsibility of the UK PI's 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 UKRI.

Use of your personal information – UKRI captures and processes 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.

All personal data provided to UKRI in connection with this bilateral call will be processed in accordance with current UK data protection legislation and the EU GDPR 2016/679, where appropriate. Data will be shared with the Canadian Tri-Agencies, our partner funders in Canada.

Further details can be found in the UK Research and Innovation Privacy Notice.

4. Before Creating Your Proposal

The Economic and Social Research Council (ESRC) is hosting the Canada-UK Artificial Intelligence Initiative on behalf of UKRI. Research proposals may be made **only** on UKRI's Joint Electronic Submission (Je-S) forms.

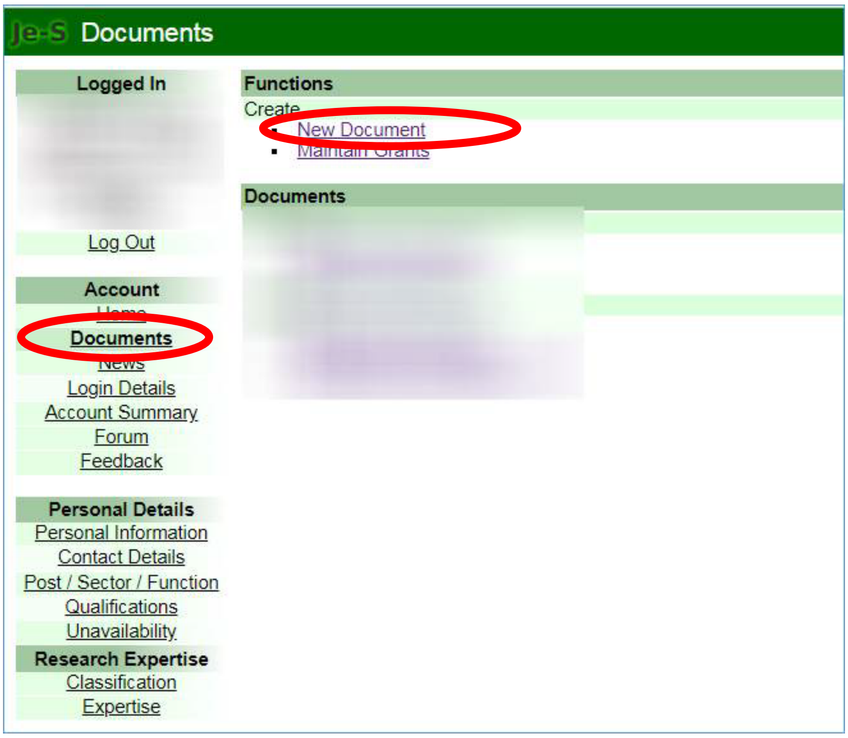
Please note that **the deadline for submission of proposals to this call is 16.00 UK time on 12 September 2019.** You should **allow sufficient time for completion of the research organisation submission process checks/authorisation.** You can view all Je-S registered organisations via this page to ascertain whether the proposed submitting organisation is registered.

Your proposal will actually be sent to Je-S 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 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 UKRI 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 12. Tracking Your Proposal).

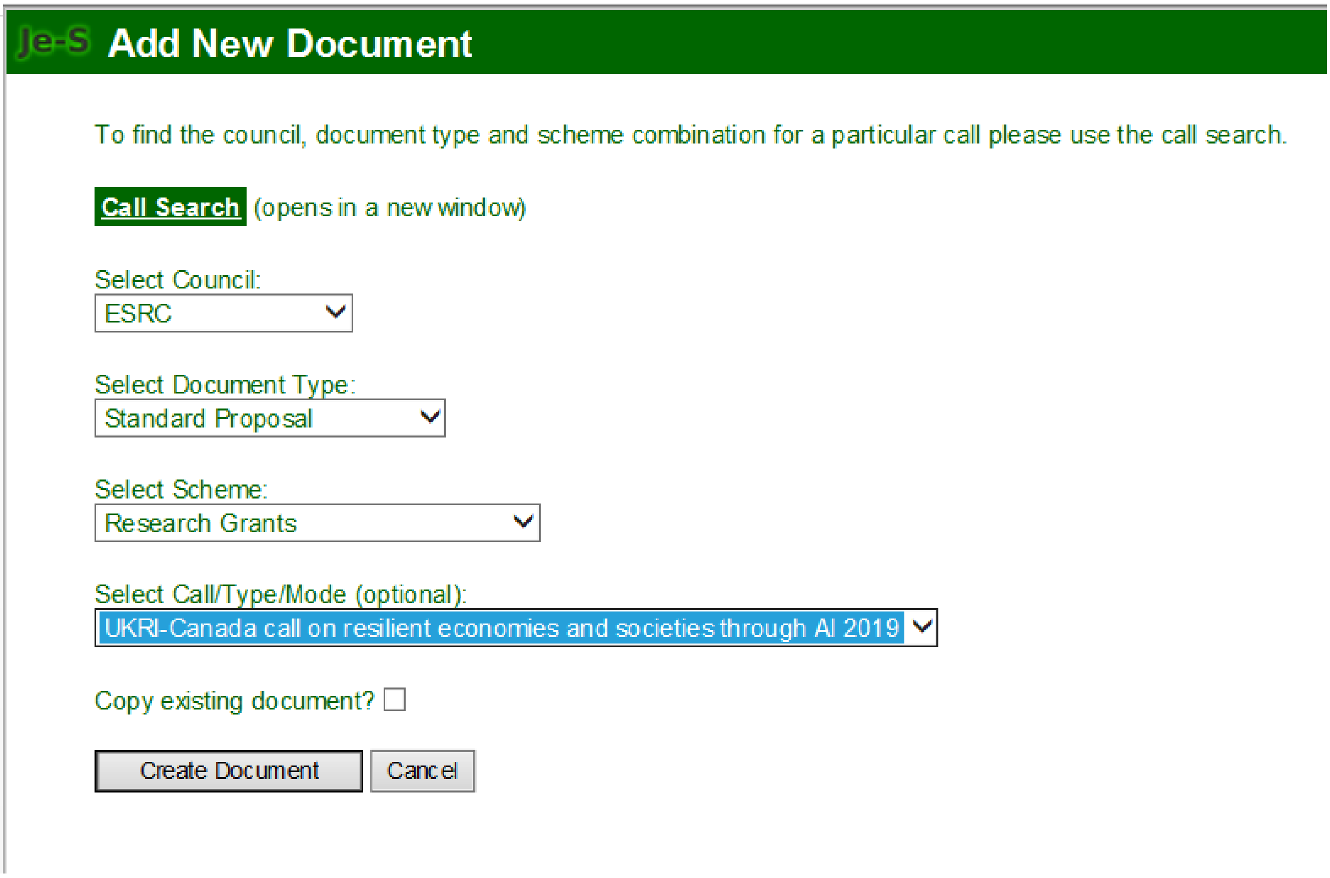
5. Creating Your Canada-UK Artificial Intelligence Initiative Proposal

Log in to Je-S.

Select 'Documents' on the left hand side of the screen once logged in. From the Documents screen, select 'New Document'.



Select 'Call Search' (highlighted at top of screen). When prompted, type in the call title **'UKRI-Canada call on resilient economies and societies through AI 2019'** and select from the list created. The remaining three selection fields will be automatically populated.



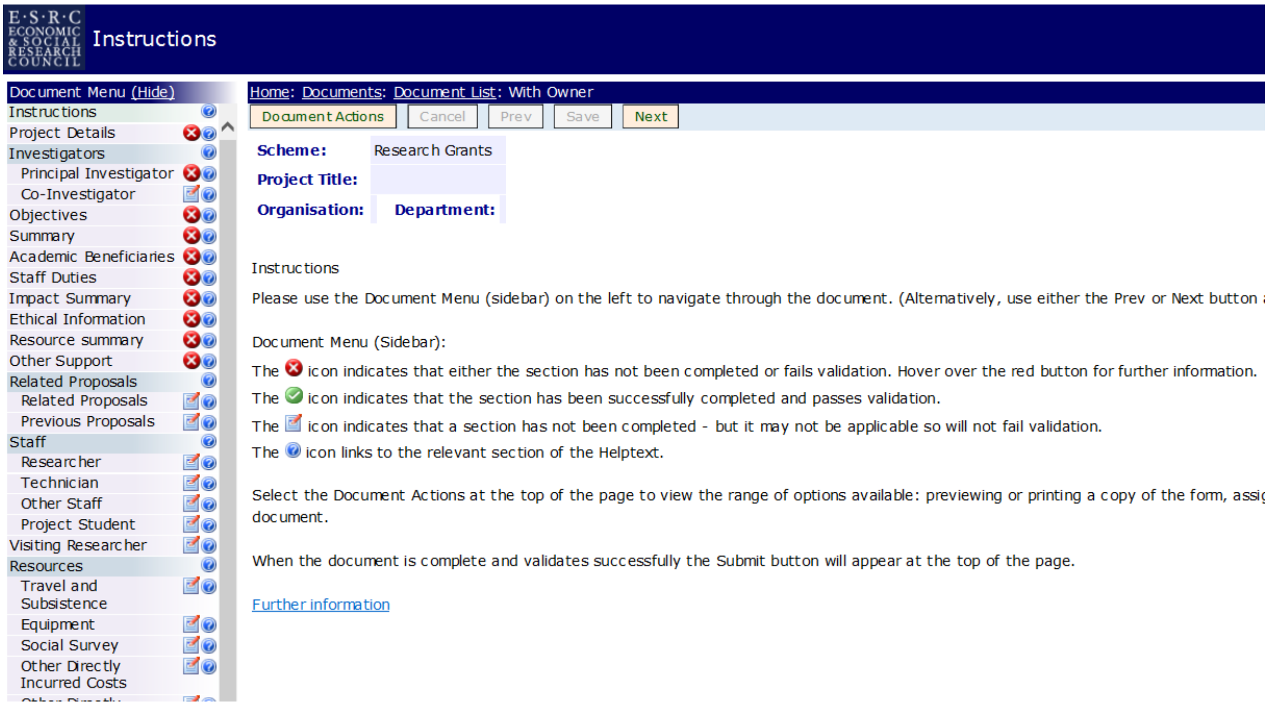
Select the 'Create Document' button.

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.

6. Completing Your Proposal

The initial Je-S Instructions page will give you general guidance on the navigation layout, with descriptions of the icons.

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). For generic guidance and explanations of each heading, click the blue question mark; this will bring up the relevant pages of the Helptext.



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

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

The following headings are listed in the order that they appear in Je-S and will guide you through the individual sections you need to fill in when completing your proposal.

6.1 Project Details

- Select organisation and department from drop down lists – this should show the organisation and department for UK PI.
- '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 150 characters).
- The 'Proposal Call' will already be populated with the relevant call title: 'UKRI-Canada call on resilient economies and societies through AI 2019'.
- Your start date should be 1 February 2020. For further information on the fixed start date, please see the UK Addendum and the Canadian Addendum. Your grant application should be for a proposed duration of 36 months.
- Submission route – 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 approvers and submitters, in which case please make sure they will be available to process the document on the day you intend to submit it to UKRI.

6.2 Principal and Co-Investigators in Research Institutions

*__Applicants must nominate one PI from the UK and one from Canada to facilitate the administration of funds to successful project teams.__

Enter the names of the UK Principal Investigator (PI) and all Co-Investigators (Co-Is) from **both** the UK and Canada. Canadian PIs should be entered as Co-Is on the Je-S application.

Investigators may be from more than one research organisation. The PI must be based at a UK research organisation eligible for UKRI funding (by the time the grant starts). The grant will be administered to the PI's organisation and this individual will be the contact person for correspondence relating to UK funds.

Each grant will require a PI based in Canada and PI based in the UK who will jointly develop one application and equally share leadership and project management for each project. All named investigators are responsible for ensuring that successful proposals are undertaken and completed in the manner specified.

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.

You must enter '0' in all the cost fields for Canadian investigators. The financial information for the Canadian components of the proposal will be captured on the Canadian National Financial Form and submitted as an attachment; therefore you do not need to enter financial information for Canadian investigators here.

Canadian PIs must be named as PI on the Canadian National Financial Form. This individual will be the contact person for all correspondence related to Canadian funds.

6.3 Co-Investigators in Business, Civil Society or Government Bodies

Please note that UK researchers from business, civil society or government bodies are **not eligible** to be listed as Co-Is for this call. Non-academic researchers from the UK may be included as Project Partners. See the UK Addendum for further information.

Canadian participants from business, civil society or government bodies are not eligible as Co-Is but may be involved as Collaborators. See the Canadian Addendum for further information.

6.4 International Co-Investigators

The focus of this call is to foster collaboration between UK and Canadian researchers to advance research in the area of artificial intelligence. **Therefore, the inclusion of international Co-Investigators beyond these countries is not permitted under this call. Please see the Canadian Addendum and the UK Addendum for further information.**

6.5 Objectives

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

6.6 Summary

Provide a plain English summary of the research you propose to carry out in language that could be publicised to a general, non-academic audience. Indicate the extent to which your proposed research and team are interdisciplinary and cut across the following research domains:

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

Please note that this section will be made available on the Gateway to Research database and is available to the general public; therefore applicants should ensure confidential information is not included in this section *(4,000 character limit).*

6.7 Academic Beneficiaries

Please summarise how your proposed research will contribute to knowledge, within the UK, Canada and globally. This should include how the research will benefit other researchers in the main fields of focus in the project and identify the extent to which there are academic benefits to other disciplines, including what will be done to ensure such benefits.

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

Please note that this section may be published to demonstrate the impact of the 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.

6.8 Staff Duties

***This section should detail UK applicants and staff only. The Canadian Tri-Agencies have different eligibility for funded posts – please refer to the Canadian Addendum for further information.**

Provide a brief description of the duties and period of involvement of each post for which salary is being requested. Summarise the responsibilities of all named UK applicants. Ensure that it is clear why it is necessary for each person to perform their role at the resource level requested *(2,000 character limit).*

6.9 Impact Summary

Applicants are required to consider carefully how best to build links and contacts at the concept and development stage of the proposal with the potential beneficiaries and users to be involved within the grant and to work towards co-production of knowledge with research users where appropriate. It is vital that the economic and societal impact of all projects funded by UKRI and the Canadian Tri-Agencies is maximised.

Please explain how your proposed research will contribute to the formation of a platform for multi-stakeholder interaction because this call aims to lead to practical implementation and policy recommendations. Address the following questions *(4,000 character limit)*:

> **Who will benefit from this research?** List any beneficiaries from the research, for example those who are likely to be interested in or to benefit from the proposed research – both directly or indirectly. Beneficiaries must consist of a wider group than that of the investigators' immediate professional circle carrying out similar research.
> **How will they benefit from this research?** Describe the relevance of the research to these beneficiaries, identifying the potential for impacts arising from the proposed work.
> **What will be done to ensure that they have the opportunity to benefit from this activity?** Describe how you will communicate and engage with these stakeholder groups / different audiences to ensure that they have the opportunity to benefit from the research.

Please note that this section may be published to demonstrate the potential impact of UKRI-funded research. Ensure confidential information is not included in this section.

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

6.10 Ethical Information

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

Applicants must ensure that 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 that all risks are minimised.

Researchers must adhere to the ESRC's Framework for Research Ethics. Researchers undertaking health and biomedical research should also consult the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (2018 and amended), the Tri-Agency Framework: Responsible Conduct of Research (2016), and MRC's Guidance for Applicants in section 4 on proposals involving animal use and section 5 on ethics and approvals.

For further guidance on research involving the use of humans/human tissue, use of animals and use of stem cells please review the Ethics Addendum.

6.11 Resource Summary

This section is automatically populated when you enter figures on the Je-S form; you do not need to add any information to this section. Note that **this section should only include the financial details for the UK**.

Financial details for Canada need to be fully captured in the Canadian National Financial Form. All resources requested for both the UK and Canada must be fully justified in the 'Justification of Resources' attachment.

6.12 Other Support

Enter details of any support sought or received (within UK) 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 – State whether your application under this call is related to any proposals previously submitted to UKRI. 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 UKRI in the past five years via the 'Previous Proposals' section.

6.13 Staff

***Only UK staff should be included on the Je-S form. Canadian team members should not be included in this section. Canadian team members should be listed in the Project Participant Form.**

If your project requires UK 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. 'Directly Incurred staff' are those whose time on the project is actual, auditable and verifiable (eg researchers and technicians).

Please note that associated studentships are not permitted to this call under UKRI funding rules. However, studentships are permitted by the Canadian Tri-Agencies funding rules. For further information regarding studentships and staff costs that are permitted by this call, please refer to the UK Addendum and the Canadian Addendum.

6.14 Resources

Please note that **resources associated with the UK components of the proposal should be requested within the Je-S form. Resources associated with Canadian components should be included in the Canadian National Financial Form** and should adhere to the Canadian Tri-Agency Financial Administration Guide. Please also note that there are different rules regarding eligible costs between UKRI and the Canadian agencies, and your Canadian partners should direct any queries to the Canadian agencies.

All (Canadian and UK) resources requested must be fully justified in the respective currency in the mandatory 'Justification of Resources' attachment.

The UKRI-Canada call on resilient economies and societies through AI will provide 36 months funding.

The maximum amount for the Canadian component of the proposed research is $173,333 per year for three years, for a total of $520,000 per project. These funds will support 100% of the direct costs of successful research proposals.

UK grants will be awarded up to £625,000 at 100% of the full economic cost (fEC). If successful, UKRI will provide 80% of the fEC and the host institution is expected to provide the remaining 20%.

The following information is a guide to the completion of UK costs:

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 – Please note that UKRI will not fund items of equipment costing more than £10,000 (including VAT) for this call. Requests from UK applicants for equipment under £10,000 (such as consumables) should be listed under the 'Other Directly Incurred Costs' section of the Je-S application.

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 UKRI). (See 'Other directly incurred costs' section if surveys are to be done using in-house resources.)

Other directly incurred costs – These include 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. 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.

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

6.15 Estates and Indirect Costs

The following information is a guide to the completion of UK 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 Transparent Approach to Costing (TRAC) 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.

6.16 Project Partners

***Information for UK Project Partners only should be entered on the Je-S form.**

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.

6.17 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.

6.18 Data Collection

Applicants must adhere to UKRI 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.

6.19 Classification

This section will ask you to indicate whether the research will involve significant collaborative contributions from colleagues outside of the UK. Given the nature of this call, the answer should be 'yes'.

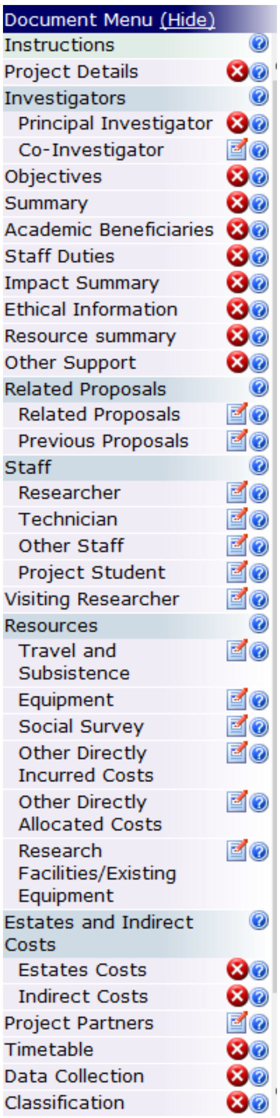
6.20 User Involvement

User engagement is strongly encouraged under this call. 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 Pathways to Impact attachment.

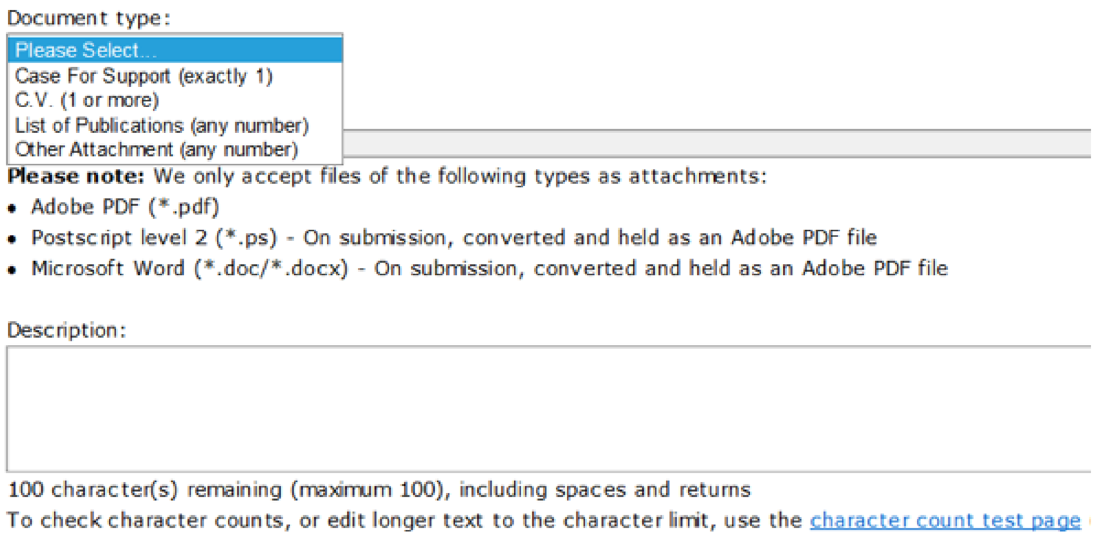
7. Attachments

This section is used to upload the mandatory and optional attachments to the Je-S form. These attachments should be completed before you attempt to upload them and should only be submitted in the indicated formats.

Click 'Attachments' on the 'Document Menu', then 'Add New Attachment'.



To upload an attachment, select the correct type from the drop down menu. Then click ‘Browse’ and locate the correct document on your computer and click ‘Open’. Enter a description of the document in the textbox and click ‘Upload’.


Document type:

Please Select...
Case For Support (exactly 1)
C.V. (1 or more)
List of Publications (any number)
Other Attachment (any number)

Please note: We only accept files of the following types as attachments:

- Adobe PDF (*.pdf)
- Postscript level 2 (*.ps) - On submission, converted and held as an Adobe PDF file
- Microsoft Word (*.doc/*.docx) - On submission, converted and held as an Adobe PDF file

Description:

100 character(s) remaining (maximum 100), including spaces and returns
To check character counts, or edit longer text to the character limit, use the character count test page

Repeat these steps for all of the mandatory attachments and for any optional ones you wish to upload. Validation of your application will also indicate which mandatory sections are missing. However, applicants should note that there are some attachments that are mandatory for this call but will not be picked up by Je-S validation. Please ensure you refer to the list below for mandatory attachments.

Note: We will not be able to accept any applications that do not include all the required information.

Note: Once you have uploaded a document, you cannot alter it; you must delete the item and upload the attachment again if you need to make changes.

It is important that applicants **submit only 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 refer to Je-S guidance for further information on page limits and supported fonts. The following are mandatory Je-S attachments for this call:

- Case for Support (maximum six sides of A4)
- CV (including publication list) for all named applicants from the UK and Canada (all PIs and Co-Is, two sides of A4 each)
- Justification of Resources (maximum four sides of A4)
- Pathways to Impact (maximum two sides of A4)
- Data Management Plan (for grants planning to generate data) (maximum three sides of A4)
- List of Publications / Bibliography [if applicable] (two sides of A4)

- Former submissions and resubmission form, if applicable (two sides of A4 – attachment type ‘Other’)
- Letter of Support, if applicable
- MRC Industry Collaboration Agreement (MICA), if applicable (attachment type ‘Other’)
- Canadian Tri-Agency National Financial Form (attachment type ‘Other’)
- Project Participant Form (attachment type ‘Other’)

Final/interim reports are UKRI-specific attachments and should be included where necessary.

Note: Applicants must adhere to the page limits for attachments. If the stated maximums are exceeded or if the necessary attachments are not included, the proposal will be disqualified and rejected at the office checks stage.

Important note: If you are unclear about whether you can include a specific attachment please contact aiukcanada@esrc.ukri.org for advice, as unrequested attachments can hinder the processing of your application.

***In addition to the mandatory Je-S attachments, each Canadian PI must also submit a Terms and Conditions for Applying form to the Canadian Tri-Agencies – see 7.11 below. Please do not attach this form to your Je-S application.**

7.1 Case for Support (maximum six sides of A4)

This is the body of your research proposal. The Case for Support must not exceed six sides of A4. It is to be expected that some information will duplicate information provided in earlier sections in the Je-S form, such as Objectives, Summary and Academic Beneficiaries.

Before writing the project proposal, consult the selection criteria in the call specification.

Please describe the project proposal in detail, including the following sections:

- In the introduction, set the aims and objectives of the study in context. Briefly sketch the main work on which the research will draw, with references. Include any relevant policy or practical background.
- Demonstrate the relevance to the aims and objectives of the call, including the extent to which your proposed research and team are interdisciplinary and cut across the following research domains:

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

- Clearly state the detailed research questions to be addressed and make a case for the originality of the proposed project.

- Clearly state the theoretical approach or framework and methods for analysis, and explain the reasons for their choice.
- Give a full and detailed description of the proposed research methods. Take particular care to explain any innovation in the methodology or where you intend to develop new methods.
- Describe the plans for capacity building, in particular, training and mentoring plans for students (Canada only), emerging scholars and/or other highly qualified personnel and trainees.
- Indicate the expected outputs, both academic and those orientated to (potential) users (articles, papers, datasets, events, etc.). Where possible, describe the expected impact.
- Attach the bibliography for references cited in the proposal under the 'List of Publications' document. Do not include publications not cited in the proposal. Include a list of the most relevant and recent publications in the applicant CV attachment.

7.2 Justification of Resources (maximum four sides of A4 – two sides per country)

This is a four-side A4 statement justifying that the resources requested are appropriate to undertake the research project. **Costs must be justified separately for the UK and Canada**, in respective currencies, with two sides of A4 each.

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 and the Canadian Tri-Agency National Financial Form. **Where you do not provide explanation for an item that requires justification, it will be cut from any grant made**.

Please refer to Je-S for further guidance.

7.3 Pathways to Impact (maximum two sides of A4)

While the Impact Summary section of the Je-S form is for applicants to explain who will benefit from the research and how, the Pathways to Impact attachment should be used to explain what will be undertaken by the applicants to ensure that there are opportunities for users to benefit from your research, and thus for achieving economic and societal impact. The Pathways to Impact is your opportunity to describe how the potential impacts of your research will be realised (for both UK and Canadian components). This attachment is specific to users and beneficiaries of the research who are outside of the academic research community including, for instance, the public sector, private sector, civil society or the wider public in general.

User communities may include bodies and individuals from industry, non-profit organisations, universities, local authorities and other public bodies, government departments and independent policy bodies, as well as patients and citizens.

Potential academic beneficiaries of your work and pathways towards achieving academic impact should not be detailed in this attachment but in the 'Academic Beneficiaries' section of the Je-S form and the 'Case for Support' as appropriate.

In describing plans to maximise impact, applicants should consider what is achievable and expected for research of this nature. If you do not feel that your research has potential to achieve impact outside of academia, you should use the Pathways to Impact attachment to explain why this is the case. However, it is expected that applicants will have considered impact in its broadest economic and societal terms before coming to this conclusion. Applicants should note that, while we recognise the value of this type of research, reviewers may comment on the applicant's reasoning during consideration of the proposal.
Impact can take many forms, manifest at different stages in the research process and be promoted in different ways. It may be helpful to consider impact in respect of the short term (during the currency of the grant), medium term (up to one year afterwards) and the long term. Read more about our expectations of the research we fund (UKRI).

Please detail how the proposed research project will be managed to engage users and beneficiaries and increase the likelihood of impacts. To be effective, all communication, engagement and impact activities must be planned in detail and properly resourced.

For further detailed guidance please access the relevant ESRC-specific attachment Je-S Helptext page.

7.4 Data Management Plan (maximum three sides of A4)

All applicants who are planning to generate data as part of their research grant should co-develop one Data Management Plan as part of the proposal.

Governments and research funders across the globe are becoming increasingly aware of the value of digital research data and strongly support the creation of a robust and efficient environment for data stewardship internationally. The Canadian and UK funding agencies believe that research data collected with the use of public funds should, to the fullest extent possible, be managed following the FAIR principles (Findable, Accessible, Interoperable, Reusable).

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 are accepted for archiving by the UK Data Service.

UKRI recognises the importance of research data quality and provenance. Research data generated by UKRI-funded research must be well managed by the grant holders 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.

Applicants who are likely to produce data of any kind as a result of their grant are recommended to read the UK Data Service management guides at and if necessary to contact the Service prior to making their proposal and preparing data management and sharing plans. From here, applicants can obtain details of deposit requirements so that adequate provision for preparation of data for deposit can be made in the proposal. The UK Data Service will be pleased to offer advice to applicants at this stage.

Note: The Data Management Plan should align with the Tri-Agency Statement of Principles on Digital Data Management and not conflict with any terms and conditions, policies or other requirements of CIHR, NSERC and SSHRC. Please see the Canadian Addendum for further details.

7.5 CV (maximum two sides of A4 per person)

A brief CV (maximum two sides of A4 per person, including publications) of every PI and Co-I named on the application (both UK and Canada) must be attached as a separate document. CVs for researchers, Collaborators and Cooperation Partners are not allowed. CVs must include professional details for every PI and Co-I and a list of publications (maximum 10 publications mentioned per PI and Co-I).

Applicants should structure their publication lists as follows:
a) Articles which at the time of proposal submission have been published or officially accepted by publication outlets with scientific quality assurance; book publications;
b) Other publications – for example, articles in publication outlets without scientific quality assurance, or discussion paper series available on the Internet.

7.6 List of Publications (maximum two sides of A4)

The bibliography for references cited in the Case for Support only should be attached. Please note that 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 attachment.

7.7 Final/Interim Reports (maximum three sides of A4)

All current UKRI 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. As part of this, all current and past award holders must ensure that the output records for current and past awards on Researchfish are up to date, as this information might be taken into account.

This attachment is required for administrative purposes and will not be shared with the reviewers and panel members.

7.8 Canadian Tri-Agency National Financial Form (no page limit, attachment type 'Other')

Please note that all costs requested in relation to the Canadian components of the proposal must be detailed in the Canadian National Financial Form. This must be uploaded as a separate attachment.

7.9 Project Participant Form (no page limit, attachment type 'Other')

Please list all PIs and Co-Is for both the UK and Canada. Other participants must be listed as follows:

- ***Researchers/Collaborators:*** all other participants must be listed as Researchers (if UK) or Collaborators (if Canada). They are not named as PIs or Co-Is in the proposal.
- ***Project Partners*** (if applicable): these are partner organisations from any sector or researchers/non-academic partners from any other countries. Individuals from partner organisations in the public, private and not-for-profit sectors may also be involved as Collaborators (for Canada). If a scientific board is set up for the project, members can be listed here. Note that funding cannot be requested for 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 on the Project Participant Form. A letter of support from each partner organisation confirming the level of support specific to this proposal must be included as an additional attachment (see below).

7.10 Letter of Support (maximum one side of A4 per letter)

Exceptionally, letters of support can be submitted as part of a proposal, provided they are essential to the successful conduct of the research (eg confirming access to datasets, or confirming access to or use of the facilities provided by named organisations). 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.

7.11 Terms and Conditions for Applying (no page limit, attachment type 'Other')

See the Canadian Addendum for details. The Terms and Conditions for Applying should be signed by the Canadian PI and their research grants office and submitted to the Canadian Tri-Agencies via email by the application deadline (lauren.mathieson@sshrc-crsh.gc.ca). It must include a list of participants, but note that this attachment will be for internal use only and, therefore, Canadian participants must also be included in the Project Participant Form (see 7.9).

7.12 MRC Industry Collaboration Agreement (MICA) (if applicable, attachment type 'Other')

For medical research proposals which involve researchers, Collaborators or Project Partners from industry – from any country, **including Canada** – applicants must attach a MICA form and Heads of Terms form. See MRC guidance for further information. This should be completed by the UK PI.

Other Attachments

7.13 Technical Appendix (optional, maximum one side of A4, attachment type 'Other')

Technical information specific to the project may also be submitted as a separate attachment. Technical information includes glossaries of technical terms, charts, diagrams and tables which help to clarify key points within the proposal, statistical formulae and supporting material on methodological techniques (eg sampling methods, survey design). Such attachments must not exceed one A4 side in total. Copies of articles, working papers or general letters of support should not be included.

7.14 Attachments Specific to Health and Biomedical Research

If your proposal involves health and/or biomedical research, you will be required to produce the following attachments (where applicable). For further guidance on the requirements for ethics for health and biomedical research, please see the Ethics Addendum.

These attachments should be uploaded through the Je-S application as 'Letter of Support' attachments:

- UK National Health Service (NHS) costs – See section 3.5 of the standard MRC Guidance for Applicants.
- MRC Use of Animals Overseas form(s) – See section 4.4.6 of the standard MRC Guidance for Applicants and the use of animals overseas section of the National Centre for the Replacement, Refinement & Reduction of Animals in Research (NC3Rs).
- MRC human participation/human tissue letter (maximum two sides of A4) – This should be signed by both the UK PI and Canadian PI when human tissue research is proposed and/or when the Canadian partner or another third party (ANY organisation other than the host UK RO) is responsible for recruitment of people as research participants and/or providing human tissue.
- MRC use of animals letter (two sides of A4 max) – This should be signed by both the UK PI and the Canadian PI.
- MRC use of stem cells letter (two sides of A4 max) – See the Ethics Addendum for guidance.

8. Notes and Comments

Applicants may add notes and comments during the completion of the proposal by selecting the 'Edit Notes and Comments' link. Any notes or comments added to a proposal will not be transferred to the ESRC when the proposal is submitted.

9. Proposal Classifications

The information provided in this section will be used mainly for data collection and reporting purposes. This information may also be used to determine alignment with agency mandates and objectives of the call for interdisciplinarity. Applicants should enter information against each section. It will also assist in identifying appropriate reviewers for your proposal. It would therefore assist us greatly if you could populate the Research Area/Qualifier/Keyword sections to provide a comprehensive description of the research area of the proposal.

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.

Your proposal must fall within the remit of the four councils participating in this call (AHRC, EPSRC, ESRC, MRC) and the Tri-Agencies (CIHR, NSERC, SSHRC). Your proposal must cover at least two of the domain areas listed in the call specification.

10. Submitting Your Proposal

***It is strongly recommended that applicants submit their proposal at least one working week prior to the deadline.**

Once you have finished all sections of the application form and are ready to submit, you must check that all sections have been completed properly. Select the 'Document Actions' button and then select 'Check Document Validity'.

Those sections of the Je-S form that have not been completed or that are incorrect (eg over the character limit) will be indicated with a red cross. Until the issues are addressed, you will not be able to submit the form.

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 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 UK time on 12 September 2019.**

11. Commissioning Timetable

• Webinar for potential applicants	17 July 2019
• Compulsory Intention to Submit	19 August 2019 (23.00 UK time)
• Deadline for submitting proposals	12 September 2019 (16.00 UK time)
• Commissioning Panel meeting	w/c 2 December 2019
• Decisions to applicants	w/c/ 6 January 2020
• Grants start	1 February 2020

***Please note: dates are subject to change**

12. Tracking Your Proposal

There are additional document maintenance actions that can be undertaken via the 'Document Actions' button. For example, '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.

13. Further Enquiries

Enquiries relating to UKRI research funding rules and proposal procedures should be addressed to:

Manija Kamal or Yasmin Jennings
Email: aiukcanada@esrc.ukri.org
Telephone: +44 (0)1793 413 084 or +44 (0)1793 414 697

Enquiries relating to Tri-Agency research funding rules should be addressed to:

Lauren Mathieson
Email: Lauren.Mathieson@sshrc-crsh.gc.ca
Telephone: 613-947-9656

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

Je-S helpdesk
Email: jeshelp@je-s.ukri.org
Telephone: +44 (0)1793 444 164