



Research jointly supported by the ESRC and DFID

## **ESRC-DFID Raising Learning Outcomes in Education Systems Research Programme 2016 call**

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## Introduction

This guidance is created to assist applicants in the completion of their full proposals. It is specific to this programme and should be used in conjunction with the following information:

- **ESRC-DFID Raising Learning Outcomes in Education Systems 2016 call specification and other guidance documents for applicants:**  
<http://www.esrc.ac.uk/funding/funding-opportunities/esrc-dfid-raising-learning-outcomes-call-2016>  
**ESRC Research Funding Guide**  
[www.esrc.ac.uk/rfg](http://www.esrc.ac.uk/rfg)
- **ESRC guidance on 'How to write a good research grant application'**  
<http://www.esrc.ac.uk/how-to>
- **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@rcuk.ac.uk](mailto:jeshelp@rcuk.ac.uk) or 01793 444164  
If you experience difficulties using Je-S or have questions regarding its use, helpdesk staff can be contacted Monday to Friday 9.00-17.00 UK time (excluding bank holidays and other holidays). Out of hours: please leave a voice message.

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

For any other information contact:

- Email: [eddev@esrc.ac.uk](mailto:eddev@esrc.ac.uk)
- Daniel Sweet: +44 (0)1793 413047
- Nathalie Kopecky: +44 (0)1793 413125

**Important: Where guidance in the present document differs from that in the sources listed above, you should follow the guidance in this document.**

## Joint Electronic Submissions (Je-S)

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

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

- UK higher education institutions and some other independent UK research organisations are already **recognised institutions** on Je-S. A list of these organisations is available from the Je-S login page. The organisation will have set up the Je-S submission process and will therefore be available within the Je-S searches.

- **Non-UK organisations** which have previously registered for Je-S to submit to international focused Research Council schemes (but would not be eligible to apply for other responsive mode schemes). A list of these organisations is available from the Je-S login page. The organisation will have previously set up the submission process and will therefore be available within the Je-S searches.
- Organisations which do not appear in the list of registered organisations may be **'self-registered'**. This can be done from the link on the Je-S login page.

## Self-registration for organisations

If you are interested in applying to the ESRC-DFID Raising Learning Outcomes in Education Systems 2016 call and your organisation does not hold Je-S registration, please follow these instructions to self-register your organisation before creating a personal Je-S account.

- Firstly navigate to the Je-S homepage by selecting <https://je-s.rcuk.ac.uk/jes2webloginsite/login.aspx>
- Select the link 'self-registration for organisations'.
- Accept the Terms and Conditions that are displayed.
- Complete the 'Organisation' page. Please note there is a restriction on the number of characters available in the 'organisation name' field, and please note that words such as 'university' should be entered in English.
- If a 'Potential Duplicates' page appears, please check to see if your organisation is listed. Your organisation's name may be listed in a slightly different way (eg it may be shortened or a word such as 'university' may be either at the start or end of the name), so please check carefully to avoid creating a duplicate. If your organisation is on the list please select 'Cancel' - this means your organisation is already registered with Je-S and you do not need to continue with this process. If your organisation is not registered and does not appear on the list then please select 'Next Step'.
- Check the details and select 'Create organisation'.

Registration of your organisation is now complete. You will now need to create or updated your personal Je-S account to enable you to prepare a proposal.

1. Please navigate to the Je-S homepage:  
<https://je-s.rcuk.ac.uk/jes2webloginsite/login.aspx>
2. Select the 'Create Account' link.

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

If you have any problems or questions about this process, please contact

- Je-S Helpdesk:  
Email: [jeshelp@rcuk.ac.uk](mailto:jeshelp@rcuk.ac.uk)  
Telephone: +44 (0) 1793 444164

## Je-S accounts for applicants

All principal and co-investigators must have a Je-S account which has been verified by a third party before they can be found in searches within the Je-S System and added as an applicant. To get you started on creating an account please refer to the Je-S helptext at <https://je-s.rcuk.ac.uk/handbook/pages/settingupajesaccount/accessingjes.htm>

Please ensure that applicants select the 'Account Type: Research Proposal' and the option: 'An Applicant on a Standard or Outline Proposal' - see helptext <https://je-s.rcuk.ac.uk/handbook/pages/settingupajesaccount/accounttype.htm>

It is recommended that, where relevant, **applicants forward their proposal to their institution's submitter pool at least 48 hours before the call deadline** to allow sufficient time for the approval and final submission process. The proposal must be submitted through Je-S 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 the ESRC cannot accept responsibility for any delay which may occur at this stage. We strongly advise applicants check that they receive an email confirmation from the Je-S System confirming that the proposal has been submitted to the Research Council.

## 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 (UK time) on 26 July 2016. You should allow sufficient time for completion of the research organisation submission process checks/ authorisation.** You can view all Je-S registered organisations via the Je-S login page, to ascertain whether the proposed submitting organisation is registered.

## Creating your proposal

1. Log in to Je-S at <https://je-s.rcuk.ac.uk/jes2webloginsite/login.aspx>
2. Documents screen: Select 'New Document'
3. On the Add new document screen: Select 'Call search' (highlighted at top of screen)
4. When prompted type in the call title **ESRC-DFID: Raising Learning Outcomes in Education Systems 2016** and select this call from the list created.  
The remaining selection fields will be automatically populated.
5. Select the 'Create Document' button.

Please note that it is the applicant's responsibility to ensure that the proposal is created and submitted against the correct call (and consequently correct programme). **We will only accept proposals for processing that are 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 guidance below covers the different sections of the Je-S proposal. The details below are not an exhaustive step-by-step guidance, and we recommend that you refer to the Je-S helptext for additional information. Guidance on the attachments required as part of your proposal is provided later in this document.

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)
- For 'Proposal Call', select ESRC-DFID: Raising Learning Outcomes in Education Systems 2016. Please note that the option will only be available once the call is live.
- Your proposed start date should not be before 3 July 2017. Your grant should have a proposed duration of between 12 months and 48 months.

## Investigators

Enter the name of the principal investigator (PI) and any co-investigators 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 responsibility for the research project and 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 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 entire duration of the project.

This programme is **not** restricted to UK PIs, and the PI can be from anywhere in the world.

Applicants from **non-UK research organisations** or proposals which include non-UK partnerships should refer to the call-specific document '**Costings guidance for non-UK institutions and partners**' for further guidance (<http://www.esrc.ac.uk/funding/funding-opportunities/esrc-dfid-raising-learning-outcomes-call-2016>).

If applicable, enter the details of any co-investigators (Co-Is). Co-Is may be from any research organisation or institution, from any country. Co-Is and their institutions must be registered on Je-S to be selectable, but their organisations do not need to undergo the full registration process required of PI institutions.

It is recommended that potential non-UK based investigators contact the Je-S Helpdesk ([jeshelp@rcuk.ac.uk](mailto:jeshelp@rcuk.ac.uk)) if their organisation is not selectable as part of the Je-S person account registration process. These organisations will then be added to the Je-S database which will allow relevant selection as part of the required person account registration process (non-UK applicants are obliged to initiate this process, via the login page).

#### **Objectives** (4000 character limit)

The objectives of the proposed project should be briefly listed in order of priority. They should be those the investigators would wish the funders to use in evaluating the research after it is completed. Objectives must be clearly linked to the thematic focus for this call, accountability, as set out in the call specification (<http://www.esrc.ac.uk/funding/funding-opportunities/esrc-dfid-raising-learning-outcomes-call-2016>).

**Proposals which do not address the thematic focus for this call will be rejected.**

#### **Summary** (4000 character limit)

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.

#### **Academic beneficiaries** (4000 character limit)

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.

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

### **Staff duties** (2000 character limit)

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.

### **Impact summary** (4000 character limit)

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 ESRC is maximised.**

Please address the following three questions.

- **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 detail how the legacy of proposed activity will be managed to engage beneficiaries and increase the likelihood of its impact in providing lasting value to participants, stakeholders and the wider social science community.

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

The ESRC and DFID expect that the researchers we fund under the joint scheme will have identified the potential impacts of their research on policy and practice, and will actively consider how these can be maximised and developed. It is important to consider the potential impact of your research from the beginning of your programme. To help you with this, we have developed a step-by-step guide (<http://www.esrc.ac.uk/research/evaluation-and-impact/developing-an-impact-strategy>).

It is recommended that each project, at the earliest opportunity, holds a **seminar with key stakeholders** in the country or countries where the majority of the research is taking



place, to set out the aims of the projects and fully ground it in the local context. This will facilitate the potential co-production of knowledge and will also allow researchers to ‘reality-check’ their plans. Applicants should include brief details of their planned stakeholder workshop in the **Impact summary**. Further details, including an indication of who will be invited, must be provided in the **Pathways to Impact** attachment (see below). If this kind of activity is **not** considered appropriate for your project, you must set out the reasons why in your proposal.

### **Ethical information** (4000 character limit)

This section must be comprehensively addressed.

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 (<http://www.esrc.ac.uk/funding/guidance-for-applicants/research-ethics/>) contains a full explanation of our approach, with guidance for applicants.

### **Other support**

Enter details of any support sought or received from any other source for this or other research in the same field in the past three years. Complete all fields for support either received or pending a decision. Contributions from project partners included within this specific proposal should not be entered here - they should be detailed in the ‘Project partners’ section.

### **Related/previous proposals**

Please state whether your proposal to this call is related to any proposals previously submitted to ESRC. 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 (or ESRC/DFID) research grants.

### **Resubmissions**

The ESRC does **not** allow the resubmission of any previously unsuccessful proposal, unless **explicitly invited** to resubmit. Please see: <http://www.esrc.ac.uk/funding/guidance-for-applicants/resubmissions-policy>, for more information regarding the ESRC resubmission policy, including definitions of what constitutes a resubmission and what constitutes a new proposal.

## 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).

Please note: **Non-UK PIs and Co-Is** must enter their time allocation under 'Directly Allocated Staff' but should enter the salary rate as zero. All costs associated with non-UK investigators will need to be entered under 'Other Directly Incurred Costs' in the Resources section of the form and the 'exceptions' box will need to be ticked for each item. Please see guidance on the Resources section below and the '**Costings guidance for non-UK institutions**' for more detailed instructions (<http://www.esrc.ac.uk/funding/funding-opportunities/esrc-dfid-raising-learning-outcomes-call-2016>).

### Associated studentships

Under this call associated doctoral studentships are eligible for funding. However please note that these studentships can **only** be included within proposals with a proposed duration of three years or more. Please note that the supervisors for all proposed PhD students must be based within an ESRC-accredited Doctoral Training Centre, and the student(s) must also be located in an ESRC-accredited Doctoral Training Centre and be studying on an accredited pathway.

Details of associated doctoral students and their costs must **not** be entered under the 'Project Student' section on the Je-S proposal. All costs associated with such students should be entered under 'Other Directly Incurred Costs' in the Resources section of the form. Please see guidance on '**How to include an associated student**' for more detailed instructions.

## Resources

**The call will be subject to the fEC funding model.**

**This call is for proposals with a fEC cost between £200,000 and £700,000**

Proposals with a fEC cost below £200,000 and above £700,000 will be rejected. This budget refers to the total cost of the project, not the contribution paid by the ESRC and DFID. The funders' contribution for **UK applicants** is 80 per cent of fEC.

For **non-UK institutions** the programme will support in full (100 per cent) all the directly incurred costs of the research, and will varyingly contribute to indirect costs. Applicants from non-UK research organisations or proposals which include non-UK partnerships must refer to the document '**Costings guidance for non-UK institutions and partners**' for full guidance on this (<http://www.esrc.ac.uk/funding/funding-opportunities/esrc-dfid-raising-learning-outcomes-call-2016>). Please note that all costs directly incurred by non-UK organisations should be entered under 'Other Directly Incurred' costs and should be marked as 'Exceptions', using the tick box.

**All resources requested must be fully justified in the 'Justification of Resources' attachment** (see below). All costs must be specifically and clearly justified, and applicants must explain why such costs are required to achieve the aims of the research project. Applicants must also identify clearly on the Je-S proposal and in the 'Justification for Resources' attachment any costs in the proposal which are directly incurred by non-UK organisations.

All costs must be entered at prices at the time of submission and inflation must **not** be included. Successful grants will have an allowance for inflation, calculated using standard indices.

The following sections provide guidance on how to enter different types of resource within the Je-S proposal, and any supporting documentation that may be required.

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

**Equipment (UK host institutions only)** - 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 RCUK equipment purchase threshold value (£115,000), the research organisation will need to provide extra justification for these items in the 'Justification of Resources' attachment, providing evidence of an evaluation of the use of existing relevant capital assets. They will be expected to make a contribution towards the cost of the equipment in the order of 50 per cent of the cost.

All requests for items of equipment costing above the RCUK 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. RCUK will decide the strategic location for these items and will potentially fund them at 100 per cent. 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 RCUK 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 RCUK equipment purchase threshold it is optional to provide quotations and up to three can be uploaded.

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

**Other directly incurred costs** - including project-specific consumables, publication costs (only where a RCUK block grant (<http://www.rcuk.ac.uk/research/openaccess/>) for open access publications is not available), consultancy fees, equipment costing less than £10,000, recruitment and advertising costs. Costs for social survey work proposed to be done using in-house resources should also be included under this section and will be funded at the standard 80 per cent fEC funding rate (unless this cost is incurred directly by non-UK organisations). 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 by using research organisation staff rather than external contractors.

**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**

**Estates costs:** These costs may include building and premises costs, basic services and utilities, and any clerical staff and equipment maintenance or operational costs not already included under other cost headings.

**Indirect costs:** These include non-specific costs charged across all projects based on estimates that are not otherwise included as Directly Allocated costs. They include the costs of the research organisation's administration such as personnel, finance, library and some departmental services.

**For UK research organisations:** Estates and indirect costs are specific to each institution 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 estates and indirect costs. 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 and should be entered under 'Other Directly Incurred costs.' Your Research Office will be able to assist with this section.

Applicants from **non-UK research organisations** or proposals which include non-UK partnerships should refer to the document '**Costings guidance for non-UK institutions and partners**' (<http://www.esrc.ac.uk/funding/funding-opportunities/esrc-dfid-raising-learning-outcomes-call-2016>).

### **Project partners**

If you have secured a commitment from another funding body or partner organisation to provide additional resources for this project, please give details of the organisation. A letter from the partner organisation (dated within the last six months of proposal submission) confirming the level of support (cash or in-kind) specific to this proposal must be included as an attachment.

## 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 ([www.esrc.ac.uk/datapolicy](http://www.esrc.ac.uk/datapolicy)) and in the Research Funding Guide ([www.esrc.ac.uk/rfg](http://www.esrc.ac.uk/rfg)). Explain clearly how you will meet these requirements if relevant to your proposal. Complement but do not duplicate the information provided in the Data Management Plan as explained below.

## Reviewers (academic and user)

You should **not** nominate reviewers under this call as proposals will be reviewed by a pool of expert assessors.

## Classifications

Please identify whether the research will involve significant collaborative contributions from colleagues outside of the UK.

## 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, commercial 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 (see below).

## Attachments

It is important that applicants **only submit the supporting attachments specified in this document**. We reserve the right to reject proposals that do not include the required attachments or include attachments not specified in this guidance.

**All attachments must be submitted in a minimum of font size 11 with standard margins of 2cms on all sides.**

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

- Case for support (six A4 pages max.)
- Justification of resources (two A4 pages max.)

- Pathways to Impact (two A4 pages max.)
- Data Management Plan (for grants planning to generate data) (three A4 pages max.)
- CV (two A4 pages max. for each named researcher)
- Project collaborator template (see template on call page)
- Letters of support (where applicable)

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

**Important note:** If you are unclear about whether you can include a specific attachment please contact [eddev@esrc.ac.uk](mailto:eddev@esrc.ac.uk) for advice, as unrequested attachments can hinder the processing of your proposal. **ESRC reserves the right to return or reject proposals that include attachments not permitted on this call or not meeting the stated formatting requirements.**

**Case for support** (*maximum of six sides of A4 – minimum font size 11 with 2cm margins*)

The case for support is the body of your research proposal and should cover the main features of the research. It is essential that in developing your proposal you refer closely to the specification for this call (<http://www.esrc.ac.uk/funding/funding-opportunities/esrc-dfid-raising-learning-outcomes-call-2016>) and ensure that your proposal responds directly to the requirements set out in this. The case for support must include, but is not limited to, the following:

- An introduction setting the aims and objectives of the study in context. This should briefly sketch the main work on which the research will draw, with references. Any relevant policy or practical background should also be included. A clear link must be made between the aims and objectives and the scope and theme of the call.
- The research questions to be addressed should be clearly stated.
- Clearly state and describe both the framework and specific methods for analysis proposed, and explain the reasons for their choice. Particular care should be taken to explain any innovation in the methodology or methods, or how different methodologies or methods may be combined.
- If the research involves data collection or acquisition you must demonstrate that you have carried out a datasets review, and explicitly state why currently available datasets are inadequate for the proposed research.
- Indicate the expected outputs - both academic and those orientated to (potential) users (eg articles, papers, datasets, events). Where possible, describe the expected impact.  
Include details of any potential for linkages to other research activities (for example, those supported by other funding bodies in the UK or beyond) or for international collaboration.
- Include details of any capacity-building activities, including brief details of any project-linked studentship(s).

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

**Justification of resources** (*maximum of two sides of A4 – minimum font size 11 with 2cm margins*)

A two-side A4 statement justifying why the resources requested are appropriate to undertake the research project, providing a detailed breakdown and explanation of why the indicated resources are needed. 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 an itemised breakdown and justification is not provided, these costs will be removed from any grant made.

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

Costs incurred by non-UK organisations and being claimed at 100 per cent fEC must be clearly identified.

**Pathways to Impact** (*maximum of two sides of A4 – minimum font size 11 with 2cm margins*)

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 applicant to ensure that opportunities for users to benefit from your research, and thus for achieving economic and societal impact, are maximised.

The Pathways to Impact is your opportunity to describe how the potential impacts of your research will be realised. 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 for research may include bodies and individuals from industry, charities, universities, local authorities and other public bodies, government departments and independent policy bodies.

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 in 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. A statement about our expectations of the research we fund is at <http://www.esrc.ac.uk/funding/guidance-for-applicants/impact-innovation-and-interdisciplinarity>.

Please detail how the proposed research project will be managed to genuinely engage users and beneficiaries and increase the likelihood of impacts. This can include interaction and engagement with 'intermediary organisations', eg media, information brokers, NGOs who are more closely linked with and understand the information needs of users and beneficiaries of your research.

When completing the attachment, please consider and address the following:

- Clear mapping of beneficiaries and target audiences
- Analysis of demand for research outputs
- Strategy for engagement with target audiences
- Methods for communication and engagement
- Opportunities for collaboration
- Monitoring and evaluation of impact plan activities.

You should also detail your track record in this area and the costs of these activities, which should be fully justified and reflected in the main costings section of the Je-S proposal.

To be effective, all communication, engagement and impact activities must be planned in detail and properly resourced. **To this end it is recommended that approximately 10 per cent of the overall budget should be dedicated to delivering the project's impact strategy as outlined in the Pathways to Impact attachment.** Please detail how the legacy of proposed activity will be managed to engage beneficiaries and increase the likelihood of its impact in providing lasting value to participants, stakeholders and the wider social science community.

The ESRC and DFID expect that the researchers funded under this programme will have identified the potential impacts of their research on policy and practice, and will actively consider how these can be maximised and developed. It is important to consider the potential impact of your research from the beginning of your grant. To help you with this, the ESRC have developed a step-by-step guide (<http://www.esrc.ac.uk/research/evaluation-and-impact/developing-an-impact-strategy>).

For further detailed guidance please access the relevant ESRC specific attachment Je-S helptext page: <https://je-s.rcuk.ac.uk/Handbook/Index.htm>

**Data Management Plan** (*maximum of three sides of A4 – minimum font size 11 with 2cm margins*)

It is a requirement of the ESRC Research Data Policy ([www.esrc.ac.uk/datapolicy](http://www.esrc.ac.uk/datapolicy)) 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 (<http://ukdataservice.ac.uk>).

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.

**CVs** (*maximum of two sides of A4 for each researcher – minimum font size 11 with 2cm margins*)

Summary CVs for the PI, co-applicants and all named researchers must be attached. It should contain basic information about education, employment history and academic responsibilities, list the most relevant and recent publications, and provide a record of research funded by the DFID/ESRC and other bodies.

### **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 – minimum font size 11 with 2cm margins*)

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

### **Letters of support**

Only letters of support that 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, or confirming a partnership for which funding is requested within the proposal) and that are dated within the last six months can be submitted with a proposal.

If you have secured a commitment from another funding body or partner organisation to provide additional resources for this project, a letter from the partner organisation confirming the level of support (cash or in-kind) being provided to this specific proposal **must** be included as an attachment.

If the research involves collaborating partners (eg business/ government/ third sector organisations), you should describe and explain their role and involvement in the research within your Case for Support. Letters of support from these partners are not a mandatory requirement, and should only be included where they add meaningfully to the information provided elsewhere.

## Other attachments:

### Project Collaborator template

Details of **all** individuals and/or organisations involved in this research project should be included in this template, unless included in the applicants section of your proposal as principal or co-investigators. This includes the names and contact details of all individuals collaborating on this project. The following information must be included in the template:

- The name of the collaborator organisation
- The organisation address
- The name of any individuals from this organisation involved in the research project (where known)
- A brief indication of the role of the collaborator

The '**Project collaborator template**' is available at <http://www.esrc.ac.uk/funding/funding-opportunities/esrc-dfid-raising-learning-outcomes-call-2016/> and must be completed and attached to your proposal as an 'other' attachment.

### Proposals with associated students

Applicants who intend to link an 'associated student' to their proposal must first refer to the guidance in the document '**How to include an associated student**' (<http://www.esrc.ac.uk/funding/funding-opportunities/esrc-dfid-raising-learning-outcomes-call-2016/>) before completing their proposal. The following attachments are required for proposals with associated students:

- **Studentship Case for Support** (maximum of 2 A4 sides for each grant-linked studentship)
- **A letter of support from the DTC director** (maximum one side of A4 for each letter of support)
- Where the identity of the doctoral student(s) is known at the time of submitting an application, **CVs** (maximum 2 A4 sides) should be included.

### Other optional attachments

These may include technical annexes providing further detail on a technical aspect of the proposal, Gantt charts or sample surveys. **These should not exceed six sides A4 in total** (see <http://je-s.rcuk.ac.uk/Handbook/index.htm>).

### Proposal classifications

The information provided in this section will be used by us to identify appropriate peer reviewers. To assist with this, you should populate the Research Area/Qualifiers/Keyword sections to provide a comprehensive description of your area of research.

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

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

## 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.

**Important note: There is a further layer of administration between your submission of the proposal and the proposal being submitted to the ESRC, via Je-S.** The research organisation's submission route usually includes both an approver (ie head of department) and submitter pool (ie central finance office), and the ESRC cannot accept responsibility for any delay which may occur as a consequence. We strongly advise applicants to secure confirmation from their relevant administrator that the proposal has been successfully submitted to the Je-S team (see also 'Tracking your proposal'). If you are unsure of who the nominated approver and submitter at your institution is please contact the Je-S helpdesk at [jeshelp@rcuk.ac.uk](mailto:jeshelp@rcuk.ac.uk). It is recommended that applicants forward their proposal to the submitter pool at **least 48 hours** before the call deadline to allow sufficient time for the approval, final checks of the proposal and the final submission process.

The final submission process is the responsibility of the host institution, and the ESRC cannot accept responsibility for any delays which may occur. It is recommended that applicants submit in good time before the call deadline at this stage. We strongly advise applicants to secure confirmation from their relevant administrator that the proposal has been submitted successfully to the ESRC.

**Please note** that this administrative layer will not apply for applicants at 'Self-Registered' organisations submitted proposals will be sent directly to Council, rather than to a submitter pool.

Please also note that the proposal must be formally submitted by your organisation before **16.00 (UK time) on 26 July 2016**.

## Commissioning timetable

- Deadline for submitting proposals - **16.00 (UK time) on 26 July 2016**

- PI response for proposals progressing to Commissioning Panel - December 2016
- Decisions to applicants - April 2017
- Earliest grant start date - July 2017

## Tracking your proposal

Once you have selected **Submit document** the proposal will be processed through your internal organisation's approver/submitter pool (where applicable). Please note that the proposal **must be formally submitted by your organisation before 16.00 (UK time) on 26 July 2016**. It is the responsibility of the host institution to ensure the proposal arrives with ESRC prior to the call deadline, we cannot accept responsibility for any delay which may occur at this stage. We strongly advise applicants to secure confirmation from their relevant administrator that the proposal has been successfully submitted to the Je-S team. **No proposals submitted after the call deadline will be accepted.**

It is possible to check that your proposal has been formally submitted to the ESRC (via Je-S) by the call deadline. 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 within 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

For enquiries relating to ESRC research funding rules and proposal procedures email:

- Email: [eddev@esrc.ac.uk](mailto:eddev@esrc.ac.uk)

Alternatively contact:

- Daniel Sweet  
Telephone: +44 (0)1793 413047
- Nathalie Kopecky  
Telephone: +44 (0)1793 413125

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

- Je-S helpdesk  
Telephone: 01793 444164  
Email: [jeshelp@rcuk.ac.uk](mailto:jeshelp@rcuk.ac.uk)