Productivity Institute full proposal stage (invitation only)

Je-S guidance for applicants

Introduction ........................................................................................................................................ 3
Joint Electronic Submissions (Je-S) ............................................................................................. 3
Je-S accounts for applicants ........................................................................................................ 4
Before creating your proposal ..................................................................................................... 4
Creating your proposal ................................................................................................................ 5
Completing your proposal ........................................................................................................... 5
  Project details .......................................................................................................................... 5
  Investigators ........................................................................................................................... 6
  UK co-investigators in business, civil society or government bodies ...................................... 6
  International co-investigators ................................................................................................. 7
  Objectives ............................................................................................................................... 8
  Summary ................................................................................................................................. 8
  Academic beneficiaries .......................................................................................................... 8
  Staff duties ............................................................................................................................. 8
  Ethical information ................................................................................................................. 9
  Other support ......................................................................................................................... 9
  Related/previous proposals .................................................................................................... 9
  Staff ..................................................................................................................................... 9
  Resources ............................................................................................................................. 10
  Estates and indirect costs ....................................................................................................... 12
  Project partners .................................................................................................................... 12
  Timetable .............................................................................................................................. 12
  Data acquisition, collection and management ...................................................................... 12
Classifications ............................................................................................................................ 13
User involvement ....................................................................................................................... 13
Attachments .............................................................................................................................. 13
  Case for support (maximum of 12 sides of A4) .................................................................... 13
  Justification of resources (maximum of four sides of A4) ..................................................... 14
  Data Acquisition and Management Plan (maximum of three sides of A4) ......................... 15
  CV (maximum of two sides of A4 per person) ..................................................................... 15
  Host Research Organisation Letter of Support (max two sides A4 sides) ............................. 15
  Associated Studentships (maximum of two A4 sides) .......................................................... 16
  List of publications ............................................................................................................... 16
  Final/interim reports (maximum of three sides of A4) .......................................................... 17
  Other letter of support (maximum of one side of A4) ......................................................... 17
Proposal classifications .............................................................................................................. 17
Submit your proposal .................................................................................................................. 17
Commissioning timetable .......................................................................................................... 18
Tracking your proposal ............................................................................................................. 18
Further enquiries ..................................................................................................................... 18
**Call type:**  
Invited only

**Closing date:**  
16:00 on 18 March 2020

**Funding available:**  
£32.4 million at 100% fEC

**How to apply:**  
Proposals are by invitation only via Je-S attracting the standard 80% fEC funding model. Proposals that have not been invited will be rejected.

**Assessment process:**  
Full proposals will be peer reviewed by international experts covering a range of disciplinary areas. Proposals will then be assessed by the Productivity Institute Programme Advisory Group who will interview teams. Once the interviews have taken place, the Productivity Institute Programme Advisory Group will make a final funding recommendation to the ESRC.

**Key commissioning dates:**  
- Deadline for proposals – 16.00 on 18 March 2020  
- Panel meeting & Interviews – May/June 2020  
- Funding decision – June 2020  
- Grant start date – 1 September 2020

**Contacts:**  
- Claire Feary  
  Email: productivity@esrc.ukri.org

Please read the full call specification for guidance before submitting your proposal.
Introduction
This is a guidance document created to assist applicants to this call in the completion of their proposal. It is specific to this call and should be used in conjunction with the following information:

- **ESRC Research Funding Guide**
- **ESRC guidance on ‘How to write a good research grant proposal’**
- **Je-S help text** is available in every page of your Je-S form, simply click on the question mark against any section (or on the word ‘Help’ in the top right hand corner of each page)
- **Je-S helpdesk** (for all Je-S system enquiries)
  jeshelp@je-s.ukri.org or 01793 444164

If you experience difficulties using Je-S or have questions regarding its use, helpdesk staff can be contacted Monday to Thursday 8.30am to 5pm and Fridays 8.30am to 4.30pm (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 user id, the date and time, what part of the form or system you were working on, and the nature of the problem.

- **Scheme-specific guidance**
  https://esrc.ukri.org/funding/funding-opportunities/esrc-productivity-institute/

For further information contact:
- Claire Feary
  Email: productivity@esrc.ukri.org

**Important:** Where information and guidance issued in this document differs from the general guidance offered in these sources; you should adhere to the guidance in this document.

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

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

- **UK higher education institutions and some other independent UK research organisations are already recognised institutions on Je-S (including any recognised Independent Research Organisation*).** A list of these organisations is available via https://www.ukri.org/funding/how-to-apply/eligibility/.

*Please note that applicants based in UK NHS Trusts, Hospitals, Boards or GP Practices that are considering applying as the lead applicant to this call should contact the Je-S Helpdesk (jeshelp@je-s.ukri.org or 01793 444164) to ensure that their organisation is correctly registered on the Je-S system. If the organisation is not correctly Je-S registered, an email request for Je-S registration will be required from the organisation. **Please allow at least six weeks for the Je-S registration process,**
prior to the closing date of the call. Additionally, please ensure that all personal Je-S accounts associated with individuals expected to be named on the proposal have been requested at least seven working days before the proposal will be submitted.

- **Overseas organisations** which have previously registered for Je-S to submit to international focused schemes (but would not be eligible to apply for other research responsive mode schemes). A list of these organisations is available from the Je-S login page. The organisation will have previously set up the submission process and will therefore be available within the Je-S searches.

**Je-S accounts for applicants**

All principal and co-investigators must have a Je-S account which has been verified by a third party before they can be found in searches within the Je-S System and added as an applicant. To get you started on creating an account please refer to the Je-S [helptext](#).

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

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 ESRC by the institution’s nominated contacts. Once the applicant completes and submits the proposal, notification is then sent to their organisation’s ‘submitter’ to action. The ‘submitter’ is the person in that organisation authorised to approve the proposal and do the final stage of submission.

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

Use of your personal information – UK Research and Innovation capture and process personal information in line with current data protection legislation; General Data Protection Regulation (GDPR) and any amendments by the UK Data Protection Bill and/or relevant acts of parliament.

**Before creating your proposal**

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

Please note that the **deadline for research organisation submission of proposals is 16:00 on 18 March 2020**. You should allow sufficient time for completion of the research organisation submission process checks/authorisation. There is a collective responsibility on both applicant and research organisation to ensure submission meets this deadline and therefore internal organisation submission issues is not considered an appropriate justification reason to extend the deadline. You can view all Je-S registered organisations via page
https://www.ukri.org/funding/how-to-apply/eligibility/, to ascertain whether the proposed submitting organisation is registered.

Your proposal will actually be sent to Je-S/ESRC from the submitter pool at your research organisation. There is a further layer of administration between your submission of the proposal and the proposal being submitted to the ESRC, via Je-S. The research organisation’s submission route usually includes both an approver (ie head of department) and submitter pool (ie central finance office), and the ESRC cannot accept responsibility for any delay which may occur as a consequence. We strongly advise applicants to secure confirmation from their relevant administrator that the proposal has been successfully submitted to the Je-S team (see also ‘Tracking your proposal’).

Creating your proposal
Log in to Je-S.

Documents screen: Select ‘New Document’

Add new document screen: Select ‘Call search’ (highlighted at top of screen). When prompted, type in the call title ‘Productivity Institute Full Proposal (Invite only) – 2020’ and select from the list created. The remaining three selection fields will be automatically populated.

Select the ‘Create Document’ button.

It is the applicant’s responsibility to ensure that the proposal is created and submitted against the correct call (and consequently correct scheme). We will not accept proposals for processing that are not submitted using the above call route.

Completing your proposal

The initial Je-S document instructions page will give you general guidance on the navigation layout, specifically icon descriptions.

The left-hand column ‘Document Menu’ lists all the sections associated with this call and clearly identifies which ones are mandatory (red cross, turning to green tick when completed).

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

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

Project details

- Select organisation and department from drop down lists
- ‘Your Reference’ should be supplied by your research organisation (consult your Research Office). If your administration office does not have a system for referencing grant proposals, a suitable reference of your own choice will be acceptable. Use ‘Your reference’ to help distinguish easily between proposals in users’ Current Documents lists. The reference is intended to be a unique
identifier for the proposal and is unrelated to the reference that the organisation would be asked to provide if a grant were awarded.

- Enter ‘Proposal Title’ (maximum limit of 150 characters).
- The ‘Proposal Call’ will already be populated with the relevant call title ‘Productivity Institute Full Proposal (Invite only) – 2020’.
- Your start date should not be before 1 September 2020. Your grant should be a proposed duration of no more than 60 months.
- Submission route – It is recommended that once this initial section is completed, check the submission path (via Document Actions tab) to see if the proposal has to be signed off by submitters and approvers, in which case please make sure they will be available to process the document on the day you intend to submit it to Council.

**Investigators**
Enter the name of the principal investigator (PI) and any co-investigators (Co-Is) if applicable.

Investigators may be from more than one research organisation, but the PI must be from the organisation that will administer the grant. The PI will take intellectual leadership of the Productivity Institute and manage the research; this individual will be the contact person for ESRC correspondence. All named investigators are responsible for ensuring that successful proposals are undertaken and completed in the manner specified.

**Post will outlast project**
Select Yes or No. Please note, there is an expectation that the PI’s post will be in place for the duration of a funded grant. This means if this question is answered with “No” then a pop-up message will display, confirming that if the proposal is successful it is the RO responsibility to ensure the PI’s post will be extended to match the grant end date. By submitting the proposal, the RO is taking collective responsibility to comply with this request.

**UK co-investigators in business, civil society or government bodies**
Please note that any researcher from an established business, civil society or government body based in the UK will be eligible to be listed as a co-investigator under ‘Productivity Institute Full Proposal (Invite only) – 2020’.

The ESRC will fund 100% of justified costs, however, the costs associated with these types of Co-I contributions must not exceed 30% of the overall cost of the grant (at 100% fEC). Please note that costs cannot be claimed from government bodies.

On receipt of the proposal, eligibility of business, civil society or government body will not normally need to be checked if it is reasonably clear that they are appropriate to conduct the work. Where there is doubt, checks will be carried out should a positive funding decision be taken.

It is recommended that potential UK co-investigators from business, civil society or government bodies should contact the Je-S Helpdesk (jeshelp@je-s.ukri.org) if their organisation is not selectable as part of the Je-S person account registration process. These organisations will then be added to the Je-S database, which will allow relevant
selection as part of the required person account registration process (that co-applicants are obliged to initiate, via the login page).

All costs relating to UK business or civil society co-investigators must be prefixed as ‘UK Co-I’s business or civil society costs’ and must be entered into the costs section on Je-S as follows:

Co-investigator ‘time’ allocation must be entered under the standard Co-I section, but the salary rate must be entered as zero. The co-investigator salary costs must then be entered under ‘Other Directly Incurred Costs’ (please tick the ‘Is Exception’ box to ensure 100% costs claimed), as should all other claimed staff salaries and related costs associated with the UK Co-I’s business or civil society body.

All costs must be specifically justified, and applicants must explain why such costs are required to achieve the aims of the Institute. Applicants must also state clearly in the ‘Justification for Resources’ attachment of the Je-S form which costs in the proposal relate to the UK co-investigator’s business, civil society or government body. Please note that UK co-investigator’s business or civil society salary costs should only be claimed where clear justification is provided as to why this cost cannot be met by the UK co-investigator’s business or civil society organisation.

Host/submitting institutions are reminded that for calls that encourage non-academic Co-I’s, a suitable support structure should be in place to assist such individuals in registering for Je-S accounts and contributing to the research case.

**International co-investigators**

Please note that any academic researcher (PhD or equivalent) from an established international research organisation of comparable standing to an ESRC-eligible UK research organisation will be eligible to be listed as an international co-investigator under this scheme. Please note that international costs must not exceed 30% of the full 100% fEC cost of the grant.

Important: The total of International co-investigator costs and the costs for UK co-investigators in business, civil society or government bodies combined must not exceed 30% of the full 100% fEC proposal costs.

It is recommended that potential overseas-based co-investigators should contact the Je-S Helpdesk (jeshelp@je-s.ukri.org) if their organisation is not selectable as part of the Je-S person account registration process. These organisations will then be added to the Je-S database which will allow relevant selection as part of the required person account registration process (that co-applicants are obliged to initiate, via the login page). Please ensure you initiate such discussions as soon as possible before the call closing date.

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

Co-investigator ‘time’ allocation must be entered under the standard Co-I section, but the salary rate must be entered as zero.
All costs must be specifically justified, and applicants must explain why such costs are required to achieve the aims of the Institute. Applicants must also state clearly in the ‘Justification for Resources’ attachment of the Je-S form which costs in the proposal relate to international research organisations. Please note that international co-investigator salary costs should only be claimed where clear justification is provided as to why this cost cannot be met by the international research organisation.

**Objectives**
List the objectives of your research taking into account the call objectives, set out in the preface and the Institute scope and objectives sections. *(4000 character limit)*

**Summary**
Provide a plain English summary of the research you propose to carry out in a language that could be publicised to a general, non-academic audience. Please note that this section will be made available on the Gateway to Research database, therefore applicants should ensure confidential information is not included in this section *(4000 character limit)*

**Academic beneficiaries**
Please summarise how your proposed research will contribute to knowledge, both within the UK and globally. This should include how the research will benefit other researchers in the field and identify whether there are any academic beneficiaries in other disciplines and, if so, how they will benefit and what will be done to ensure that they benefit.

Please list any academic beneficiaries from the research and give details of how they will benefit and how the results of the proposed research will be disseminated. Also describe the relevance of the research to beneficiaries. *(4000 character limit)*

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

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

**Staff duties**
Summarise the duties of the staff members that will be involved in your proposal, including the applicants. Please ensure that you indicate how much time each member of the leadership team is to contribute to the Institute, and to which activities. Ensure that it is clear why it is necessary for this person to perform this role at the resource level you have requested. *(2000 character limit)*

**Impact summary**
Please note that from 1 March 2020, applicants will no longer be required to complete an Impact Summary within the proposal application. Activities for generating impact should be described in the Case for Support attachment.
Should you have any problems submitting your proposal because the Impact Summary section is required by JeS, please enter ‘n/a’ in the section in order for the application to validate in JeS.

**Ethical information**
This section must be comprehensively addressed. *(4000 character limit)*

Applicants must ensure the proposed work 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 work commences and all risks are minimised.

The [ESRC’s Framework for Research Ethics](https://www.esrc.ac.uk) contains a full explanation of our approach, with guidance for applicants.

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

**Related/previous proposals**
Please state whether your application under this call is related to any proposals previously submitted to us. Please note the [policy on ‘invite only’ resubmissions](https://www.esrc.ac.uk). You must detail the appropriate related proposal and its relationship here. Select ‘Related Proposals’, then ‘Add New Related Proposal Item’ before entering the details of any related proposals.

Please enter the reference numbers of any support sought or received from us in the past five years via the ‘Previous proposals’ section. Please note that this only relates to previous ESRC research grants.

**Staff**
If your proposal 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 proposal, 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 proposal is actual, auditable and verifiable (eg researchers and technicians).

Associated (project) studentship details can also be entered. The student’s primary supervisor must be the Principal or one of the Co-Investigators on the grant and must be approved to act as primary supervisors for PhD students must be based within an accredited Doctoral Training Partnership (DTP); and the student(s) must be located in the same DTP and be studying on an accredited pathway. Please note, associated studentships linked to the [ESRC Centres for Doctoral Training](https://www.esrc.ac.uk) must start on or before 1 October 2021.

Associated studentships are designed to add value to the proposed research outlined in the proposal, whilst providing a clear opportunity for a distinct and independent course of enquiry for the student. The studentship should not be treated as a displacement for
the normal research support required on the grant. Please note that it is a mandatory requirement that a separate case for each associated studentship be submitted with the proposal as attachment type 'Project Student Request'.

Please refer to the Je-S Helptext for guidance on how to include costs for project-linked studentships.

**Resources**
All resources requested must be fully justified in the ‘Justification of Resources’ attachment. The ‘Productivity Institute Full Proposal (Invite only) – 2020’ will provide up to 60 months funding with an overall limit of £32.4 million (100% fEC). If successful, ESRC will meet 80% of the full economic costs on proposals submitted and the host institution is expected to support the remaining 20%.

**Changes to policy regarding ROs with differential fEC rates**
Some grants made by the ESRC include both research organisations (ROs) that receive the standard fEC rate and a very small number of ROs that receive a differential fEC rate. There is now a revised costing process for such grants. In the past all ROs on a grant would receive the fEC rate of the lead RO. Now, the fEC rates will be paid to lead and Co-Investigator ROs in accordance with their agreed fEC rate. The host institution will be required to provide a clear breakdown of costs related to all ROs at the grant contracting stage.

The budget can be set to a profile requested by applicants within the lifetime of the grant.

**T&S** - add items of Travel and Subsistence required for your proposal. Pools of funding for T&S can be included, based on estimates of the costs. You should indicate the calculations upon which this figure is based in the ‘Destination and Purpose’ box.

**Equipment** - enter any items of equipment costing £10,000 or more (including VAT) in this section. The actual level of funding sought from the ESRC should also be entered in this section.

For items of equipment costing between £10,000 and UKRI equipment purchase threshold value (£115,000 excluding VAT), the research organisation will need to provide extra justification for these items in the ‘Justification of Resources’ attachment, providing evidence of an evaluation of the use of existing relevant capital assets. They will be expected to make a contribution towards the cost of the equipment in the order of 50% of the cost.

All requests for items of equipment costing above the UKRI equipment purchase threshold (£115,000) should be accompanied by a two-page business case (to be included as an attachment within the equipment screen and not the attachments section) outlining the strategic need for the equipment. UKRI will decide the strategic location for these items and will potentially fund them at 100%. The ESRC will have flexibility in relation to the funding of equipment to negotiate with potential grant recipients to achieve best value from the limited funds at its disposal.

For all items of equipment requested above the UKRI equipment purchase threshold (£115,000) three equipment quotations must be provided. Where you believe that there
are less than three potential suppliers for an item you should explain this in the ‘Justification of Resources’ attachment and upload two blank documents as equipment quotes. For items of equipment which cost less than the UKRI equipment purchase threshold it is optional to provide quotations and up to three can be uploaded.

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

**Other directly incurred costs** - including justified; project specific consumables, consultancy fees eg. for brand identity development, equipment costing less than £10,000, recruitment, advertising costs, staff and institute development costs including participation in ESRC evaluation activities.

Costs for social survey work proposed to be done using in-house resources should also be included under this section and will be funded at the standard 80% fEC funding rate. Proposals including such costs will need to fully justify why the work should not be subject to external competition, and provide benchmarking or other data to support a case that best value for money is being achieved through using research organisation staff rather than external contractors.

All costs relating to UK business or civil society co-investigators must be prefixed as ‘UK Co-I’s business or civil society costs’. The co-investigator salary costs must be entered under ‘Other Directly Incurred Costs’ as should all other claimed staff salaries and related costs associated with the UK co-investigator’s business or civil society body, and should be marked as an ‘Exception’ using the tick box.

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

All costs relating to UK business and/or civil society co-investigators and/or international co-investigators must be specifically justified, and applicants must explain why such costs are required to achieve the aims of the Institute. Applicants must also state clearly in the ‘Justification for Resources’ attachment of the Je-S form which costs in the application relate to UK business, civil society or international research organisations. Please note UK business, civil society and international co-investigator salary costs should only be claimed where clear justification is provided as to why this cost cannot be met by the UK business, civil society or international research organisation.

**Important:** Please note that costs for UK non-academic co-investigators (business, civil society or government) and International co-investigators combined must not exceed 30% of the total proposal costs. **There is no limit on other items costed in Exceptions**, e.g. social survey costs.

**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.
Business innovation and fellowship programmes

All costs relating to the Business Innovation and Fellowship Programmes must be prefixed as either ‘BI Programme costs’ or ‘Fellowship Programme costs’. All costs associated with these programmes should not be shown in Exceptions and should be distributed between the other headings as needed. These programmes will be funded at the RC contribution and applicants should consider very carefully the cost and delivery of the programmes, e.g., any payments made to third parties at 100% of direct costs will need to be borne by the RO (who may wish to ask third party ROs to bear costs). Costs requested must be included in the Justification of Resources attachment. There is no requirement for grant holders to attract or accept co-funding from business.

Capital funding

Applications for capital funding, to develop assets with long term value, may be included in bids to this call and should be allocated within the overall budget envelope. Applicants should specify the amount, timing and purpose of the proposed capital expenditure in the Justification of Resources attachment.

Estates and indirect costs

Estate and indirect costs are specific to each research organisation, and do not require justification in your case for support.

Research organisations that have implemented the TRAC costing methodology and have passed the Quality Assurance process should apply their own estate and indirect costs. Non-research organisations that are not required to implement TRAC must have a robust costing methodology in place that has been validated in order to apply their own estates and indirect cost rates. The standard default rates should be used where research organisations have not yet developed their own rates.

Your Research Office will be able to assist with this section.

Project partners

If you have secured a commitment from another organisation or funding body to provide additional resources for this project, the details of that support should be entered here. A letter of support from each partner organisation confirming the level of support specific to this proposal must be included as an attachment via this section.

Timetable

Please provide an indicative timetable for the work and the intended progress of the Institute through the different stages. Your planned timetable will need to be expanded upon within your Case for Support.

Data acquisition, collection and management

Applicants must adhere to ESRC policy. Please refer to the full statement on data management planning and datasets deposition requirements for data intensive investments in the ESRC Research Data Policy and in the Research Funding Guide. Explain clearly how you will meet these requirements if relevant to your proposal. Complement but do not duplicate the information provided in the Data Management Plan as explained below.
Classifications
Please identify whether the research will involve significant collaborative contributions from colleagues outside of the UK. If 'yes' please expand within the ‘Case for Support’ attachment.

User involvement
If ‘Users’ have been/will be engaged with your Institute, please specify the nature of their engagement. ‘Users’ are individuals, groups or organisations who have an interest in or may benefit from the work of the Institute. 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.

Attachments
It is important that applicants only submit the supporting attachments specified in this document. We reserve the right to reject applications that do not include the required attachments or include attachments not specified in this guidance. It is recommended that attachments are uploaded in PDF (rather than Word) format, to ensure unsupported font type issues do not cause problems with maximum length requirements, please see Je-S guidance.

The following are mandatory Je-S attachments for this call:
- Case for support (not exceeding 12 sides of A4).
- Justification of resources (not exceeding four sides of A4).
- Data Management Plan (not exceeding three sides of A4).
- CV for all researchers (one document only to be submitted to include all named researchers’ CVs). A maximum two page CV should be provided for the PI, Co-Is and any named research staff member on the proposal.
- Host Research Organisation Letter of Support (one document, not exceeding two sides of A4).

Mandatory attachments if requesting a Project Student:
- Project Student Request (not exceeding two sides of A4) and Letter of Support (not exceeding one side A4)

List of Publications, other Letter of Support, Proposal Cover Letter, 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 productivity@esrc.ukri.org for advice, as unrequested attachments can hinder the processing of your application. ESRC reserves the right to return or reject proposals that include attachments not permitted on this call.

Case for support (maximum of 12 sides of A4)
This is the body of your proposal. It must not exceed 12 sides and must include the following sections:
- The introduction should set out the aims and objectives of the Productivity Institute in the context of the call specification and its requirements. It should demonstrate the Institute’s conceptual underpinnings and provide an overview of
the main work the Institute will carry out including detailed research questions to be addressed, where these have been determined. Processes for scoping and agreeing new research questions and additional activities once the Institute is underway should be clearly stated. Relevant policy or practical background should be included here. Give a full and detailed description of the proposed research and associated methods, in particular those needed for the production of the research agenda and the business innovation and fellowship programmes. Particular care should be taken to explain any innovation in the methodology or where you intend to develop new methods. Clearly state the frameworks and methods for analysis, and explain the reasons for their choice.

- Applicants should include an indicative work plan for addressing the Institute’s objectives (research, innovation and management activities) and include information how changes to the plan will be agreed and introduced, to enable the Institute to respond to emerging opportunities and needs.

- A detailed description of the Institute’s approach for engaging a broad range of stakeholders and plan for generating impact for policy makers and practitioners. This should clearly demonstrate which target audiences have been prioritised and why. Target audiences should include private sector organisations as well as policy makers across government including devolved administrations, city and regional partnerships. Applicants must show how their research plans and impact strategy are coherent and draw on an appropriate range of expertise to allow them to successfully transform understanding and generate impact. Please indicate the expected outputs both academic and those orientated to (potential) users.

- Description of the proposed governance structure for the Institute including plans for recruiting its leadership team and managing and developing its wider workforce. Plans to develop the required advisory function appointment should be described. The governance structure should be appropriate for the programme of research and other activities undertaken by the Institute.

- The bibliography for references cited in the proposal should be attached under the ‘List of Publications’ document; this should not include publications not cited in the proposal. A list of the most relevant and recent publications should be included in the applicant CVs.

**Justification of resources (maximum of four sides of A4)**

A statement justifying that the resources requested are appropriate to deliver the Productivity Institute. Any request for capital investment should be clearly described here. The Justification of Resources should explain why the resources requested are appropriate for the Institute, taking into account the nature and complexity of the proposal. It should not be simply a list of the resources required, as this is already given in the Je-S form. Where you do not provide explanation for an item that requires justification, it will be cut from any grant made.

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

**Pathways to Impact**

Please note that from 1 March 2020, applicants will no longer be required to provide a Pathways to Impact plan. Activities for generating impact should be described in the Case for Support.
Should you have any problems submitting your proposal because a Pathways to Impact attachment is required by JeS, please upload a blank document in order for the application to validate in JeS.

Data Acquisition and Management Plan (maximum of three sides of A4)

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.

Applicants should provide information on what data is going to accessed, what data is going to be collected, and how that data is going to be accessed by other parties. In the case of secondary or administrative data, the intended source should be clearly identified, as should its availability. For a programme of research of this scale, the data management plan will be a living document that will develop and evolve with the changing activities of the Institute. An appropriate degree of flexibility is therefore important. The initial data management plan should explain how data collection, access and dissemination fit within the Institute’s research strategy and impact plans. The plan should indicate the risks to the Institute’s work of key datasets not being acquired or created within the intended timescale, and suggest mitigations for critical areas of work.

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 Heliptext.

CV (maximum of two sides of A4 per person)

A CV for each applicant and named research staff member must be included. This should include contact details, qualifications (including class and subject), academic and professional posts held since graduation, a list of the most relevant and recent publications, and a record of research funded by the ESRC and other bodies. This should not exceed two A4 sides per person.

Please note that only one document must be submitted to include all named researchers’ CVs. It is recommended that all CVs are collated into one document in good time before the call closes.

Host Research Organisation Letter of Support (max two sides A4 sides)

The host research organisation (RO) letter of support should demonstrate the institutional support that will be provided to sustain the Institute during and beyond the lifetime of the grant.

The host RO should provide evidence of how the independence and multi-disciplinary nature of the Institute will be safeguarded, and how sustainability will be practically supported.

The host RO letter of support must be printed on headed paper and signed by a senior authority within the host institution.
Associated Studentships (maximum of two A4 sides)
All proposals including one or more associated studentships must include:

1. A Case for Support (attachment type; Project Student Request) for each studentship requested, and
2. A Letter of Support from the relevant DTP Director (attachment type; Letter of Support (*maximum of one side of A4*))

The Studentship Case for Support must include:

- The Doctoral Training Partnership (DTP) accredited pathway in which the student will be based.
- The principal or co-investigators who will supervise the studentship.
- The length of the studentship in years - include start and end dates.
- A summary statement of the PhD topic to be undertaken and a justification for the length of the programme of study.
- A clear statement of how this is independent from, but will add value to, the principal research objectives set out in the proposal

Associated studentships, formerly known as grant-linked studentships, are permissible under this call. These should be independent PhD research projects affiliated with the Institute and an accredited doctoral training pathway that has been approved by ESRC or another UKRI Research Council as per the ESRC Postgraduate Funding Guide.

Associated studentships must be embedded in an ESRC Doctoral Training Partnership (DTP) studying on an accredited pathway, and can start from 1 October 2021 onwards. The student’s primary supervisor must be either the principal investigator or a co-investigator on the grant and must be based at the DTP and approved to act as primary supervisors, and these must be identified in the studentship attachment. The total cost of the studentships must be included in the total costs for the grant, and within the maximum funding available. A separate case for each associated studentship for which ESRC funds are being requested must be submitted with the proposal. Please note that the RO can also fully fund studentships as part of their institutional support. Where an RO is fully funding studentships, we would expect students to follow the same requirements as ESRC-funded students unless there is a clear justification as to why this would not be appropriate in this instance. Where institutions are planning to co-fund the associated studentships with ESRC, this must be confirmed in the proposal and the relevant documentation should be included for all students. For example, if funding equivalent to three full students is being requested, but the RO intends to co-fund an equivalent amount, six project student requests should be included in the proposal.

Please see ESRC-specific project student Je-S help text for additional guidance.

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. There is no formal page limit for this attachment, although as a general rule up to 3 sides of A4 would suffice.
Final/interim reports (maximum of three sides of A4)
Principal and Co-Investigators on current awards must submit a progress report on their current awards with any new proposal which should match their impact and output records on Research Fish

Other letter of support (maximum of one side of A4)
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.

Proposal classifications
The information provided in this section will be used by us to identify appropriate peer reviewers. It would therefore assist us greatly if you could populate the Research Area/Qualifiers/Keyword sections to provide a comprehensive description of your area of expertise.

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

It is an essential requirement that your primary research area is in the social sciences. We strongly encourage inter/multidisciplinary working both within and beyond the social sciences, as long as at least 50% of the proposed programme of research is within ESRC remit. Please refer to the list of research areas that fall within ESRC remit for further information. Please note this information is used to determine eligibility for ESRC funding and to assist in the selection of appropriate reviewers.

Submit your proposal
After all mandatory sections have been completed, the submit button will appear across the top menu bar. Please ensure that you have completed all attachments that are not standard mandatory attachments for Je-S but are a mandatory requirement to be completed for this specific call. The submit button will route your finalised proposal to the authorising facility within your organisation (as explained in the Registration section above).

Should you have any problems submitting your proposal because the Impact Summary section is required by JeS, please enter ‘n/a’ in the section in order for the application to validate in JeS.

Should you have any problems submitting your proposal because a ‘Pathways to Impact’ attachment is required by JeS, please upload a blank document in order for the application to validate in JeS.

Please note that the proposal must be formally submitted by your organisation before 16:00 on 18 March 2020.
Commissioning timetable

- Deadline for submitting proposals: 16:00 on 18 March 2020
- Peer review process: March-April 2020
- Assessment process: Early-Mid May 2020
- Commissioning Panel meeting & Interviews: Late May/Early June 2020
- Decisions to applicants: June 2020
- Expected start date: 1 September 2020

Tracking your proposal
There are additional document maintenance actions that can be undertaken via the Document actions button. For example, the ‘Show submission path’ will indicate to you where in the organisation submission chain the proposal currently is located (and who holds current responsibility) - eg owner, approval pool, submitter pool or submitted to Council.

Further enquiries
Enquiries relating to ESRC research funding rules and proposal procedures should be addressed to:
- Claire Feary
  Email: productivity@esrc.ukri.org

Enquiries relating to technical aspects of the Je-S form should be addressed to:
- Je-S helpdesk
  Email: jeshelp@je-s.ukri.org
  Telephone: 01793 444164