



Governance after Brexit – Phase 2 Outline Stage

Je-S guidance for applicants

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Call summary

Call type:

Outline

Closing date:

16:00 on 16 January 2020

Funding available:

Proposals should be between £300,000 and £750,000 at 100% Full Economic Cost (fEC). The ESRC will meet 80% of the full economic cost of proposals that are funded under this call.

Special requirements:

The Case for Support attachment for proposals to this call should be anonymous.

Assessment process:

Outline proposals will be shortlisted by an external Commissioning Panel **on the basis of the Anonymous Case for Support only**. Shortlisted applicants will subsequently be invited to submit a full version of their proposal at the next stage.

Key commissioning dates:

- Closing date for outline proposals – 16:00 on 16 January 2020
- Shortlisting Panel meeting – February 2020
- Full proposals invited – early March 2020
- Closing date for full proposals – mid April 2020
- Assessment period – May-June 2020
- Commissioning Panel meeting – July 2020
- Final decisions – August 2020
- Grants to start – 1 November 2020

Contacts:

- Email: governanceafterbrexit@esrc.ukri.org
- Susan Burke (Telephone: 01793 442856)
Jon Carter (Telephone: 01793 413152)

Please read the full call specification for guidance before submitting your proposal.

Introduction

This guidance is created to assist applicants in the completion of their outline proposal. It is specific to this outline 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 application'](#)
- **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 or alternatively email using the address above.

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

- **Scheme-specific guidance**
The Call Specification for this Outline Stage of Governance after Brexit – Phase 2 can be found on the call webpage: <https://esrc.ukri.org/funding/funding-opportunities/governance-after-brexit-phase-2-outline-stage/>

For further information contact:

- Email: governanceafterbrexit@esrc.ukri.org
- Susan Burke (Telephone: 01793 442856)
Jon Carter (Telephone: 01793 413152)

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 applications under this scheme must be completed and submitted through UKRI's Joint Electronic Submissions system (Je-S). To be able to do this the organisation must be fully registered and not self-registered for Je-S, and the applicants must hold Je-S accounts.

UK higher education institutions and some other independent UK research organisations are already **recognised institutions** on Je-S (including any recognised Independent Research Organisation*). A list of these organisations is available 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.

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 e-mail request for Je-S registration will be required from the organisation. **Please allow at least six weeks for the Je-S registration process, prior to the closing date of the call. Additionally, please ensure that all personal Je-S accounts associated with individuals expected to be named on the proposal have been requested at least seven working days before the proposal will be submitted.*

Je-S accounts for applicants

All principal and co-investigators must have a Je-S account which has been verified by a third party before they can be found in searches within the Je-S System and added as an applicant. 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 all accounts are created well in advance of the call closing date** (minimum 7 days)

It is recommended that applicants forward their application to the submitter pool at least 24 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.

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 application

Research applications may **only** be made on Joint Electronic Submission (Je-S) forms.

Please note that **the deadline for Research Organisation submission of proposals is 16:00 on 16 January 2020. You should allow sufficient time for completion of the Research Organisation submission process checks/ authorisation. It will not be**

possible to submit proposals after the set deadline. 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

To create your proposal:

1. Log in to [Je-S](#).
2. On the Documents screen, Select Documents to the left of the screen and then select New Document
3. On the Add new document screen: Select 'Call search' (highlighted at top of screen). When prompted type in the outline call title (*Governance after Brexit - Phase 2 - Outline Stage*) and select from the list created. The remaining selection fields will be automatically populated.
4. Select the 'Create Document' button.

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 (green tick).

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.

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 cannot provide a reference, a suitable reference of your own choice will be acceptable.
- Enter Project Title (maximum limit of 150 characters)
- For Proposal Call, select *Governance after Brexit - Phase 2 - Outline Stage*. Please note that the option will only be available once the call is live.
- Enter the start date and duration of the project. Proposals to this call should have a **start date of 1 November 2020 and a maximum duration of 36 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 intellectual leadership of the

project and manage the research; this individual will be the contact person for ESRC correspondence. All named investigators are responsible for ensuring that successful applications 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 project. This means if this question is answered with "No" then a pop-up message will display, confirming that if the proposal is successful at the subsequent full call stage, it is the RO responsibility to ensure the PI's post will be extended to match the project end date. By submitting the proposal, the RO is taking collective responsibility to comply with this request.

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 *Governance after Brexit - Phase 2 - Outline Stage*.

The ESRC will fund 100% of justified costs, however, the project costs associated with these types of Co-I contributions must not exceed 30% of the overall cost of the grant (at 100% fEC). Please note that only eligible costs can be claimed in accordance with [ESRC's policy on the inclusion of UK business, third sector or government body co-investigators](#). Costs cannot be claimed from government bodies.

On receipt of the proposal, eligibility of business, civil society or government bodies 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 the proposal be short listed.

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

Co-investigator 'time' allocation 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', 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 research project. Applicants must also state clearly in the 'Justification for Resources' attachment of the Je-S form which costs in the proposal relate to the UK co-investigator's business, civil society or government body. Please note

that UK co-investigator's business or civil society salary costs should only be claimed where clear justification is provided as to why this cost cannot be met by the UK co-investigator's business or civil society organisation.

Host/submitting institutions are reminded that for calls that encourage non academic COI's, that 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 call. Applicants are reminded that international costs must not exceed 30% of the full 100% fEC cost of the grant. In addition, the total of these costs and the costs for UK co-investigators in business, civil society or government bodies must not exceed 30% of the full 100% fEC cost of the grant.

It is recommended that potential overseas based co-investigators should contact the ESRC case officer in the first instance if their organisation is not selectable as part of the Je-S person account registration process. If it is determined that the relevant organisation complies with the guidance above then the Je-S Helpdesk (jeshelp@je-s.ukri.org) should be contacted to add them 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).

Applicants must also state clearly in the 'Justification for Resources' section of the Je-S form which costs in the application relate to international research organisations.

Objectives

The objectives of the proposed project should be listed in order of priority, and should be those that the investigators would wish UKRI to use as the basis for evaluation of work upon completion of any project grant awarded. (4000 character limit)

In this section please indicate the call **priority area** which your proposal addresses

PLEASE NOTE that this section will be for office use only. Shortlisting will instead be conducted only on the basis of the [Anonymous Case for Support attachment](#). The Shortlisting Panel will not receive information entered in this section.

Impact summary

Applicants are required to consider carefully how best to build links and contacts at the concept and development stage of the proposal with the potential beneficiaries and users to be involved within the grant, and to work towards co-production of knowledge with research users where appropriate. It is vital that the economic and societal impact of all projects funded by ESRC is maximised. (4000 character limit)

PLEASE NOTE that this section will be for office use only as shortlisting will be conducted only on the basis of the [Anonymous Case for Support attachment](#). The Shortlisting Panel will not receive information entered in this section. Therefore plans for impact, and in particular plans for engagement with UK in a Changing Europe, should be clearly articulated in the Anonymous Case for Support.

Resource summary

The outline call will be subject to the full Economic Cost (fEC) funding model. 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%.

All costs expected to be covered by ESRC funding should be included in this section; however, it is not expected that financial details will be precise at this stage. All prices and salaries should be calculated at current rates. Costs will need to be broken down as described in the [‘Resource Summary’ section of the Je-S help text for outline proposals](#).

PLEASE NOTE that this section will be for office use only as shortlisting will be conducted only on the basis of the [Anonymous Case for Support attachment](#). The Shortlisting Panel will not receive information entered in this section.

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. (4000 character limit)

PLEASE NOTE that this section will be for office use only. Shortlisting will instead be conducted only on the basis of the [Anonymous Case for Support attachment](#). The Shortlisting Panel will not receive information entered in this section.

Project partners

If you have secured a commitment from another funding body or organisation to provide additional resources for this project, please give details of the organisation.

PLEASE NOTE that this section will be for office use only. Shortlisting will instead be conducted only on the basis of the [Anonymous Case for Support attachment](#). The Shortlisting Panel will not receive information entered in this section.

Notes and comments

Please note that this section is purely for use in drafting the proposal. Any notes/comments added will *not* be included in data submitted with this proposal.

Attachments

Attachments should be uploaded in Pdf (rather than Word) format, to reduce document corruption issues. Note font/format restrictions; https://je-s.rcuk.ac.uk/Handbook/pages/OutlineProposals/Attachments_.htm

Anonymous Case for Support and Justification of Resources are the only mandatory Je-S attachment against these outline proposals. CVs and Other are optional attachments, however please note that only the Anonymous Case for Support will be considered by the Shortlisting Panel at this stage.

Anonymous Case for Support (mandatory)

Maximum of three sides of A4

The **Anonymous Case for Support** should cover the main features of the research. Include details of any potential for linkages to other research activities (for example, those supported by other funding bodies in the UK or overseas) or for international collaboration. It should set out the aims and objectives of the study in context. It should briefly sketch the main work on which the research will draw. The research questions to be addressed should be clearly stated. In addition the Case for Support for this call should seek to address the following:

- The project's potential to approach research in an innovative and ambitious manner.
- The built-in flexibility of the research design including plans to suitably adapt the project in response to future Brexit developments.
- How the project will achieve impact through engagement and collaboration with ESRC's [UK in a Changing Europe](#) initiative.

The Case for Support should also identify relevant priority area(s) as outlined in the [Call Specification](#).

Please note that shortlisting at the Outline Stage for this call will be based entirely on the Case for Support document attached to outline proposals. This will be conducted on a double-blind basis where the identity of each party (applicants and panel members) are concealed from the other party. As a result the Case for Support for outline proposals must be **sufficiently anonymised** in order to avoid directly or indirectly revealing the identity of the project team to assessors. Names of individual researchers or specific research organisations should therefore not be included. References to previous work should also be conveyed in terms which do not risk identifying the applicants to assessors. **Where this attachment is deemed insufficiently anonymous proposals may be considered ineligible for processing.**

Please see the [Call Specification](#) for further information.

Justification of Resources (mandatory)

Maximum of one side of A4

This statement should be used to justify the resources required to undertake the research project. Explain why the indicated resources are needed, taking account of the nature and complexity of the research proposed.

Please note that while Justification of Resources is mandatory, this is for use by the ESRC office only and will not be considered by the Shortlisting Panel in their assessment. Shortlisting at the Outline Stage for this call will be based entirely on the Case for Support document attached to outline proposals (see above).

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

As outline proposals will be assessed on the basis of the Anonymous Case for Support attachment, applicant CVs are not required at this stage.

Proposal classifications

The information provided in this section will be used by us to identify appropriate assessors for your proposal.

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 all UKRI councils. Therefore, if your area of expertise crosses the remits of more than one 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.

Submit your proposal

Please ensure that you have completed all attachments that are mandatory requirements against this specific call, although they may not be standard mandatory attachments on Je-S. After all mandatory sections have been completed, the submit button will appear across the top menu bar. The submit button will route your finalised proposal to the authorising facility within your organisation (as explained in the Registration section above). Please note that the proposal must be formally submitted by your organisation before **16:00 on 16 January 2020**.

Commissioning timetable

- Closing date for outline proposals – 16:00 on 16 January 2020
- Shortlisting Panel meeting – February 2020
- Full proposals invited – early March 2020
- Closing date for full proposals – mid April 2020
- Assessment period – May-June 2020
- Commissioning Panel meeting – July 2020
- Final decisions – August 2020
- Grants to start – 1 November 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 application procedures should be addressed to:

- Email: governanceafterbrexit@esrc.ukri.org
- Susan Burke (Telephone: 01793 442856)
- Jon Carter (Telephone: 01793 413152)

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