

UK Research  
and Innovation



## **UKRI-GCRF Collective Programme Climate Resilience Network Development Scoping Call Je-S guidance for applicants**

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## Call summary

The Economic and Social Research Council (ESRC), on behalf of UK Research and Innovation (UKRI) and the Department for International Development (DfID), are pleased to invite applications for Climate Resilience Network Development Scoping grants.

Funding has been allocated from the [Global Challenges Research Fund \(GCRF\)](#) which is a £1.5 billion fund to support cutting-edge research which addresses the problems faced by developing countries. GCRF will address global challenges through disciplinary and interdisciplinary research and will strengthen capability for research and innovation within both the UK and developing countries, providing an agile response to emergencies where there is an urgent research need. GCRF forms part of the UK's Official Development Assistance (ODA) commitment, and funds will be awarded in a manner that fits with [ODA guidelines](#).

This will be the first of three calls within the theme of Climate Resilience which respond to the UN Climate Action Summit and will form part of the wider UKRI GCRF Collective Programme and DfID's [CLimate And REsilience Framework Programme \(CLARE\)](#). Successful teams will be invited to apply for a second stage round of larger Climate Resilience Network Plus awards to co-design solutions. A call for applications for the position of Climate Resilience Knowledge Manager to provide support to the successful scoping projects will be launched shortly.

Exceptionally, for this call, principal investigators based at established overseas research organisations are eligible to apply in addition to those from UK organisations that are eligible for UKRI funding.

Applications are invited up to a maximum value of **£200,000** (100% fEC) and **15 months** duration. Successful applicants will be eligible to apply for Network Plus stage of the process which will be launched in 2021.

Proposals should be submitted via the Joint Electronic Submission system (Je-S) by the **deadline of 16:00 UK time on 25 March 2020**. Projects should commence on **1 October 2020**.

## Introduction to Je-S

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 International Co-Investigator Policy](#)
- [Call-specific guidance](#)
- **Je-S help text** which is available in every page of your Je-S form, simply click on the question mark against any section (or on the word 'Help' in the top right hand corner of each page)

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

If you experience difficulties using Je-S or have questions regarding its use, contact:

- J-eS helpdesk  
Email: [jeshelp@je-s.ukri.org](mailto:jeshelp@je-s.ukri.org)  
Telephone: +44 (0)1793 444164

The helpdesk is open Monday-Thursday 08:30-17:00, Friday 08:30-16:30 (excluding bank holidays and other holidays). If calling out of hours, please leave a voice message.

When reporting problems by email or telephone, please provide:

- Name
- Organisation
- User ID
- Date and time of the issue
- What part of the form or system you were working on
- The nature of the problem.

## 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 (or self-registered for certain calls) 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 (including any recognised Independent Research Organisation\*). A list of these organisations is available via <https://www.ukri.org/funding/how-to-apply/eligibility/>.
- **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.

- Overseas 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 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:  
[je-s.rcuk.ac.uk/jes2webloginsite/login.aspx](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 may 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@je-s.ukri.org](mailto:jeshelp@je-s.ukri.org)  
Telephone: +44 (0)1793444164

You should **allow sufficient time for completion of the research organisation submission process checks/authorisation.**

## 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 started on creating an account please refer to the [Je-S help text](#) and select 'Setting up a Je-S Account'. Please ensure that applicants select the 'Account Type: Research Proposal' and the option 'An Applicant on a Standard or Outline Proposal'.

It is recommended that applicants forward their proposal to the organisation submitter pool in good time 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 carry out 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 (UKRI) understands the importance of protecting personal information and is committed to complying with the General Data Protection Regulation 2016/679 (GDPR). It is committed to fostering a culture of transparency and accountability by demonstrating compliance with the principles set out in the Regulation. Click [here](#) to read UKRI's full GDPR Policy.

## Before creating your proposal

Research proposals may **only** be made on UKRI's Joint Electronic Submission (Je-S) forms.

Please note that **the deadline for research organisation submission of proposals is 16:00 on 25<sup>th</sup> March 2020**. There is a collective responsibility on both applicant and research organisation to ensure submission meets this deadline and therefore internal organisation submission issues are **not** considered an appropriate justification reason to extend a deadline.

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 can include both an approver (i.e. head of department) and submitter pool (i.e. 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: <https://je-s.rcuk.ac.uk/JeS2WebLoginSite/Login.aspx>.

Documents screen: Select 'New Document'

Add new document screen: Select 'Call search' (highlighted at top of screen). When prompted, type in the call title **UKRI-GCRF Climate Resilience** and select from the list created. The remaining three selection fields will be automatically populated as follows:

Select Document Type: Standard Proposal

Select Scheme: ODA

Select Call/Type/Mode: UKRI-GCRF Climate Resilience

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 help text 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 'Project Title' (maximum limit of 150 characters)
- The 'Proposal Call' will already be populated with the relevant call title; **UKRI-GCRF Climate Resilience**
- Your start date should be **1 October 2020** with a proposed duration of **15 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 ESRC.

## Investigators

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

Investigators may be from more than one research organisation, but the PI must be from the organisation that will submit and administer the grant. **Please note that, exceptionally for this call, the PI can be from an established overseas research organisation.** The PI will take intellectual leadership and manage the activities of the grant; this individual will be the contact person for research council 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 duration of the project.

Researchers can be involved in proposals to more than one GCRF call, providing they have the time available to commit to them should all be successful. However, researchers cannot apply for the same research activity from more than one call at once.

## 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 this call.

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). Applicants should note that where a proposal includes UK business, third sector or government body co-investigators the combined costs of all co-investigators must not exceed the 30% maximum limit.

Please note that costs **cannot** be claimed for government bodies.

On receipt of the proposal, the 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 a positive funding decision be made.

It is recommended that potential UK co-investigators from business, civil society or government bodies should self-register their organisation if it is not selectable as part of the Je-S person account registration process.

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' (please tick the 'Is Exception' box to ensure 100% costs claimed), as should all other claimed staff salaries and costs related to 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 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 co-investigators, 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 will be eligible to be listed as an international co-investigator under this scheme.

This call will follow standard ESRC policies in that the ESRC will fund 100% of the justified costs for international co-investigators from established overseas research organisations. ESRC's policy on the [inclusion of international co-investigators](#) will apply, with the exception that for the GCRF Collective Fund Programme calls **there is no cap on costs** associated with international co-investigators' contribution relative to the total project cost; no upper limit will be applied.

We strongly encourage international co-investigators from countries not on the DAC list to make a significant contribution to their own research costs. Please see Costings Guidance for Non-UK Institutions and Partners for more information on non-UK non-DAC list organisation costs. If a co-investigator is from a country flagged as likely to graduate from the DAC list during the course of the project this should be treated as a country NOT on the DAC list.

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 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

Potential overseas-based co-investigators should self-register their organisation if it 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.

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 costs related to the International Co-I.

## **Objectives**

List the objectives of your research in order of priority. *(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)*

This section should clearly capture how the context, aims and objectives, and potential application and benefits of the activities are directly and primarily relevant to the problems of developing countries. *(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 and your intended pathways towards achieving academic impact. *(4000 character limit)*

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

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

## **Staff duties**

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. *(2000 character limit)*

## **Ethical information**

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

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: <https://esrc.ukri.org/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 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, noting the [ESRC policy on resubmissions](#). You must detail the appropriate related proposal and its relationship here. Select 'Related Proposals', then 'Add New Related Proposal Item' before entering the details of any related proposals.

Please enter the reference numbers of any support sought or received from 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 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 (e.g. investigators). 'Directly Incurred staff' are those whose time on the project is actual, auditable and verifiable (e.g. researchers and technicians).

Associated studentships will **not** be funded through this call.

## Resources

Proposals are invited for research grants of **15 months duration**. The ESRC expect to fund a balanced portfolio of scoping proposals of, with a maximum grant value of **£200,000 at 100% fEC**. If successful, ESRC will contribute 80% of the fEC for UK with the host institution supporting the remaining 20%.

For International investigators the programme will support in full (100%) the directly incurred costs and, in the case of developing countries, contribute to indirect costs. Please refer to the document '**Costings guidance for non-UK institutions and partners**' for full guidance on this. 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 upon which this figure is based in the 'Destination and Purpose' box.

**Equipment** – equipment totalling £10,000 or more is **not** permitted for this call. Any items of equipment below £10,000 should be entered under the 'other directly incurred costs' section.

**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). 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, 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. 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 project 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 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 research project. 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.

### **International principal and co-investigators**

All costs associated with international PIs and Co-Is, 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. To enable UKRI to meet transparency and external audit requirements all overseas costs must be entered into this section using the format 'Organisation: Country: Cost Category: Cost Description'.

For example:

University of Nairobi: Kenya: Staff: 1 x PDRA

University of Nairobi: Kenya: Travel and Subsistence: 4 x flights

University of Nairobi: Kenya: Other Directly Incurred Costs: 5 x Workshops including catering and accommodation

Any overhead/indirect costs associated with developing (i.e. on the DAC list) country co-investigators should be entered under 'Other Directly Incurred Costs' and can be **up to 20%** of the total direct costs (e.g. staff costs, T&S, conferences) incurred by that organisation. The overhead/indirect cost must be entered as a separate cost line and should be marked as an 'Exception' using the tick box. Indirect costs must be clearly prefixed with 'Overseas - developing country indirect cost'. Please note that overhead/indirect costs cannot be claimed for PIs or Co-Is from developed (i.e. not on the DAC list) countries or those likely to graduate from the DAC list during the course of the project.

**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 'Costs incurred by non-UK institutions and partners'

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. Note: do not include the Co-I's organisation in this section.

## **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](#) 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.

## **Beneficiary countries**

As a requirement which is integral to both DfID and the UKRI GCRF Collective Programme, your research should address challenges faced by developing countries or territories, please select all those that apply from the list of beneficiary countries. Please only select countries where you expect your research to have real or direct benefit.

## **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**

Applicants are required to consider carefully how best to build links and contacts at this scoping stage with the potential beneficiaries and users to be involved within the grant and to work towards a future Network Plus application incorporating co-production of knowledge with research users and policy makers as appropriate. It is vital that the economic and societal impact of all projects funded by UKRI is maximised. Applicants should expand upon how the proposed work will be managed to engage users and beneficiaries in the case for support attachment.

## **Proposal classifications**

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

## 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
- Justification of resources
- CV
- ODA compliance statement
- Gender Equality Statement
- International co-investigator letter of support

List of Publications, Letters of Support, Proposal Cover Letter, Facility form, Final/Interim Report, Data Management Plan 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 [climateresilience@esrc.ukri.org](mailto:climateresilience@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 6 sides of A4)

This is the body of your research proposal. It must not exceed six sides and must include the following sections:

- The introduction should set the strategy, vision, aims and objectives of the research. It should briefly sketch the main work on which the research and activities will draw, with references. Any relevant, scientific, policy or practical background should be included.
- The detailed research questions to be addressed should be clearly stated including an articulation of how the application addresses the research agenda and the needs of the country(ies) of geographical focus.
- Give a full and detailed description of the proposed research methods. Particular care should be taken to explain any innovation in the methodology or where you intend to develop new methods.
- Explain how your plans to ensure that opportunities for users to benefit from your research, and thus for achieving economic and societal impact, will be maximised. It is important that the detail is realistic and appropriate to the particular developing country or countries for which the research is intended to benefit.
- In describing plans to maximise impact, applicants should consider and describe how the outputs from this scoping proposal will lead to a future Network Plus proposal

and the expected impact that will be realised from that future work. Statement on partnerships and project management explaining:

- a. The nature of the collaboration, including how much it is a new or builds on existing collaboration, the complementarity of the partners and how this proposal builds on previous joint work, where applicable.
  - b. How the partnership represents a true collaboration between the transnational research teams, and the added value of this collaboration.
  - c. A description of how the proposed project will be managed across the international project team, including communication strategies, project leadership and decision-making.
- 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 two sides of A4)**

A two-side A4 statement justifying that the resources requested are appropriate to undertake the project. 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 potential network formation. 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: <https://je-s.rcuk.ac.uk/Handbook/pages/GuidanceonCompletingaStandardG/CaseforSupportandAttachments/ESRCspecificRequirements.htm>.

### **Data Management Plan (maximum of three sides of A4)**

It is a requirement of the [ESRC Research Data Policy](#) that all applicants planning to generate data as part of their grant must include a Data Management Plan. The Data Management Plan should be used as an opportunity to describe how the data, i.e. 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.

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 Help text.

### **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 UKRI, DfID and other bodies. This should not exceed two A4 sides.

## **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)**

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

## **Proposal cover letter/letter of support (maximum of one side of A4)**

Letters of support can be submitted as part of a proposal; provided they are essential to the successful conduct of the research (e.g. 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.

## **International co-investigator letter of support (maximum of three sides of A4)**

In order to qualify as an international co-investigator on a GCRF application our rules state that any academic researcher (i.e. those holding a PhD or equivalent qualification, or higher) from an established international research organisation of comparable standing to a UKRI-recognised UK research organisation will be eligible. In order to help the research councils judge whether an international research organisation is of equivalent standing to a UK research organisation and to establish the international co-investigator(s)' and their research organisations' ability to undertake the project as well as their commitment to the project, we ask international research organisations to submit a mandatory letter of support if their project includes one or more international co-investigators.

**Please use the template at Annex I** to complete the international co-investigator letter of support.

Any letters of support should be attached to your proposal as **'Other'** type attachment.

## **ODA compliance statement (maximum of two sides of A4)**

Funding within this call will be awarded in a manner consistent with [ODA guidelines](#). To comply with ODA requirements, all proposals must make clear how their primary purpose is to promote the economic development and welfare of a developing country or countries on the DAC list. There are no priority countries. Proposals may relate to any country or countries on the DAC list except those which are flagged as likely to graduate from the list during the course of the proposed project. If a country is flagged as likely to graduate it should not be the primary focus of a proposal, although it can be included as an additional case study or comparison. In such proposals the primary purpose of the research should be to promote the development and welfare of a developing country not due to graduate from the list.

Applicants must clearly articulate their impact plans, demonstrating how they meet ODA requirements throughout their 'Case for support' submission. Each proposal must also

include a mandatory attachment which explicitly demonstrates how it meets key ODA requirements. **The ‘ODA compliance statement’ must answer the following four questions in order:**

1. Which country/ countries on the OECD DAC list of ODA recipients (DAC list) will directly benefit from this proposal and are these countries likely to continue to be eligible to receive ODA for the duration of the research?
2. How is your proposal directly and primarily relevant to the development challenges of these countries? Please provide evidence of the development need and articulate how the proposed activity is appropriate to address this need.
3. How do you expect that the outcome of your proposed activities will promote the economic development and welfare of a country or countries on the DAC list?
4. What approach(es) you will use to deliver development impact within the lifetime of the project and in the longer -term. Please consider the potential outcomes, the key beneficiary and stakeholder groups and how they will be engaged to enable development impact to be achieved.

UKRI reserves the right to reject applications that do not respond to all four questions. The two page ‘ODA Compliance Statement’ must be attached to your proposal as a **‘Non-UK Components’** type attachment.

Further general advice for applicants on how to meet [ODA requirements](#) is provided by the ESRC and in the Frequently Asked Questions document. Any queries about the ODA eligibility of projects should be raised with the ESRC office as indicated in the call specification document before submitting a proposal.

Please note: Policy on ODA funding is under review and may affect this call. If applicants are planning to include Chinese partners, please contact the ESRC office for further guidance **before submitting your proposal.**

### **Gender Equality Statement (maximum of one side of A4)**

To comply with the International Development (Gender Equality) Act 2014, applications must provide a Gender Equality Statement, outlining how applicants have taken meaningful yet proportionate consideration as to how the project will contribute to reducing gender inequalities. This must be no longer than a one page and is a mandatory attachment.

Applicants are required to address the below criteria, with an understanding that, depending on the nature of their research and innovation, not all questions will be applicable.

Criteria to address while considering gender impact:

- Have measures been put in place to ensure equal and meaningful opportunities for people of different genders to be involved throughout the project? This includes the development of the project, the participants of the research and innovation, and the beneficiaries of the research and innovation.

- The expected impact of the project (benefits and losses) on people of different genders, both throughout the project and beyond.
- The impact on the relations between people of different genders and people of the same gender. For example, changing roles and responsibilities in households, society, economy, politics, power, etc.
- How will any risks and unintended negative consequences on gender equality be avoided or mitigated against, and monitored?
- Are there any relevant outcomes and outputs being measured, with data disaggregated by age and gender (where disclosed)?

The one page 'Gender Equality Statement' must be attached to your proposal as a '**Non-UK Components**' type attachment. Further guidance for applicants on Gender Equality Statements is available here (<https://www.ukri.org/research/global-challenges-research-fund/gender-equality-and-international-development-research-and-innovation/?previewid=AAD79E4C-C9AC-4C05-95755433C3D197BC> )

### 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).

Please note that the proposal must be formally submitted by your organisation before **16:00 UK time on 25 March 2020**

### Commissioning timetable

- |                                       |                                |
|---------------------------------------|--------------------------------|
| • Call for proposals issued           | 29 January 2020                |
| • Deadline for submitting proposals   | 16:00 UK Time on 25 March 2020 |
| • Commissioning Panel meeting         | June 2020                      |
| • Decisions to applicants             | July 2020                      |
| • Start date for successful proposals | 1 October 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) – e.g. owner, approval pool, submitter pool or submitted to Council.

### Further enquiries

Enquiries relating to ESRC research funding rules and proposal procedures should be addressed by email to:

[climateresilience@esrc.ukri.org](mailto:climateresilience@esrc.ukri.org)

or

Bev Leahy

+44 (0) 1793 413151

[Beverley.leahy@esrc.ukri.org](mailto:Beverley.leahy@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](mailto:jeshelp@je-s.ukri.org)  
Telephone: +44 (0)1793 444164

## **Annex 1: Template for International Co-I letter of support (maximum of 3 sides of A4)**

### **International Co-Investigator (Co-I) research organisation eligibility**

#### **1. Briefly outline the main objectives of your organisation's research strategy**

#### **2. Please outline the research capacity of your organisation**

For example, you may wish to comment on the following aspects:

- Number of researchers employed by the organisation;
- Research projects in the last five years led or co-led by staff while employed at your organisation (e.g. size and complexity of the projects, their management and coordination and the number of postdoctoral researchers and/or research students supervised);
- Publication record of researchers at your organisation;
- Ways in which your organisation has sought to maximise the wider impact and value of its research.

#### **3. Please provide details of your organisation's ethical assurance procedures**

For reference, please see the [ESRC's Framework for Research Ethics](#).

### **International Co-I eligibility**

#### **1. Please provide details of the international Co-I's commitment to the proposed project**

You should address the following aspects:

- The added value which the International Co-I brings to the project;
- How the International Co-I's institution will support them during the lifetime of the project.

#### **2. If you have requested any costs for the salary of the international Co-I, please confirm that these are not available from your organisation**

The response to each question must be clearly labelled with the relevant section and question numbers, i.e. please preserve the template format. No word limits are set for

responses to individual questions, but the International Co-I letter of support as a whole must not exceed three sides of A4. In addition, please note the Letter of Support must be submitted on institutional **headed paper** and **signed** and **dated** by the Head of Department (or equivalent).

Distinct Letters of Support must be submitted by the Head of Department (or equivalent) of each international Co-Investigator on the proposal.

ESRC reserves the right to reject applications which do not address all the questions in the template if International Co-Investigator(s) are present in the application.