



**ESRC-NRF Newton call for collaborative research
Higher Education in South Africa
Je-S guidance for applicants**

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Introduction

As this is a joint proposal between ESRC and NRF, applicants should ensure that identical proposals are submitted by the UK researchers to UK Research Councils' grant submission system Je-S (further details on this below) and by the South African researchers through the NRF online submission system (<https://nrfs submission.nrf.ac.za>).

Proposals can only be submitted by institutions recognised for funding specified in the call document. See the call specification for further details. Please note that the funders will not accept proposals after **16.00 UK time** and **17.00 SA time on 3 May 2016**.

It is recommended that the UK PI forward their proposal to the submitter pool at least 24 hours before the call deadline to allow sufficient time for the approval and final submission process.

For South African applicants to this call, note that the internal institutional closing may be earlier to allow for the designated authority within your institution to check and endorse the submission.

Before completing the proposal your consortia will need to decide upon the following:

- **UK submitter:** UK institution who is registered on Je-S and is eligible under the call's eligibility rules.
- **UK Principal Investigator:** This person must be based at the submitting UK organisation as the PI for the UK part of the project. The PI must be eligible under the ESRC's eligibility rules and will lead on engagement with ESRC.
- **South African Principal Investigator:** This person is the PI for the South African part of the project. The PI must be eligible under NRF's eligibility rules and will lead on engagement with NRF.

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**
www.esrc.ac.uk/RFG
- **ESRC guidance on 'How to write a good research grant proposal'**
www.esrc.ac.uk/How-to
- **Je-S help text** is available in every page of your Je-S form, simply click on the question mark against any section (or on the word 'Help' in the top right hand corner of each page)
- **Je-S helpdesk** (for all Je-S system enquiries)
jeshelp@rcuk.ac.uk or 01793 444164

If you experience difficulties using Je-S or have questions regarding its use, helpdesk staff can be contacted Monday to Friday 9.00-17.00 UK time (excluding bank holidays and other holidays). Out of hours: please leave a voice message.

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

- **Call specification document**
<http://www.esrc.ac.uk/funding/funding-opportunities/>

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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 the Research Councils' Joint Electronic Submissions (Je-S). To be able to do this the organisation must be registered for Je-S, and the applicants must hold Je-S accounts.

UK higher education institutions and some other independent UK research organisations are already recognised institutions on Je-S. 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.

Je-S accounts for applicants (UK PI and all other UK costed named researchers only)

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

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

It is recommended that 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 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.

Before creating your proposal

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

Please note that the deadline for research organisation submission of proposals is **16.00 UK time and 17.00 SA time on 3 May 2016**. You should allow sufficient time for completion of the research organisation submission process checks/authorisation. You can view all Je-S registered organisations via the Je-S login page, to ascertain whether the proposed submitting organisation is registered.

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 at <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 'ESRC-NRF Higher Education Call 2016' 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 'Project Title' (maximum limit of 150 characters)
- For 'Proposal Call', select ESRC-NRF Higher Education Call 2016.
- Your start date should be 1 October 2016. Your grant should be a proposed duration of no more than 30 months.

Eligibility

ESRC eligible applicants

UK applicants must meet the ESRC eligibility and disciplinary criteria outlined in the ESRC Research Funding Guide (www.esrc.ac.uk/rfg).

The Newton Fund requires that the funding be awarded in a manner that fits with Official Development Assistance (ODA) guidelines. All proposals under this call must therefore be compliant with these guidelines, see <http://www.rcuk.ac.uk/international/newton/>

UK investigators

Je-S only allows one main applicant (known as a PI) and they must be based at the submitting organisation. The PI will take intellectual leadership of the project and manage the activities; 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.

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.

Please enter the names and associated working hours of the UK PI and all UK costed co-investigators.

South African investigators

It is required that South African principal investigators (PIs) should submit the proposals with the exact same project titles as the ones submitted through Je-S on the NRF Submission System (<https://nrfs submission.nrf.ac.za/nrfmkii/>). This will enable the NRF to keep the required full record of the participants and facilitate grants management once awards are made.

There is a requirement that all information relating to South Africa researchers is to be included in the NRF submission and also listed on the International Agency Resource Form which forms an attachment to this proposal.

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 per cent of justified costs, however, the project costs associated with these types of Co-I contributions must not exceed 30 per cent of the overall cost of the grant at 100 per cent Full Economic Cost (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@rcuk.ac.uk) if their organisation is not selectable as part of the Je-S person account registration process. These organisations will then be added to the Je-S database, which will allow relevant selection as part of the required person account registration process (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' (please tick the 'Is Exception' box to ensure 100 per cent 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 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 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 (for researchers not from South Africa or funded by NRF)

This policy is designed to encourage researchers from wider Africa to be included in proposals. However, it does exclude researchers from South Africa or those funded by NRF through their international co-investigator policy.

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. UK applicants are reminded that international costs must not exceed 30 per cent of the full 100 per cent FEC cost of the grant. Full guidance on the ESRC co-investigator policy can be found on the ESRC website (<http://www.esrc.ac.uk/funding/guidance-for-applicants/inclusion-of-international-co-investigators-on-proposals/>).

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

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 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.

Objectives

List the objectives of your research in order of priority and should be those that the investigators would wish the funders to use as the basis for review. *(4000 character limit)*

These objectives may be displayed on NRF or Research Council websites, in Research Council publicity, by the UK Department for Business Innovation and Skills in relation to the Newton Fund, and should therefore be concise and free from abbreviations and not contain any controversial details.

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 state which topic(s) your proposal addresses. *(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/NRF-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 project, including the applicants. Detail how the proposed project will be managed across the countries, with particular demonstration of the added benefits to each party due to the collaboration. This could be shown through the use of work packages. Make clear why it is necessary for individuals to perform their role at the resource levels you have requested. 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

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

Please address the following questions (*4000 character limit*):

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

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

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

As is the standard practice with NRF application requirements, ethical considerations and clearances for South African grant proposals are the responsibility of the research institute and/or institution of the South African applicant. Where such ethical considerations and clearances are required, grant applicants will be expected to submit to the NRF signed statements and/or copies of clearance certificates before any grant funds are released.

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

If applicable please include details of any potential for linkages to other research activities (for example, those supported by other funding bodies) or for international collaboration. You will need to expand on this section in your case for support.

Staff (UK only)

If your project requires staff other than the team of investigators, their details should be entered here. 'Directly Allocated staff' are those who will be working directly on the project, but whose involvement on the grant can only be based on an estimate of the time the work will take (eg investigators). 'Directly Incurred staff' are those whose time on the project is actual, auditable and verifiable (eg researchers and technicians).

Please note that ESRC grant-associated studentships **are not** permitted.

Resources (UK only)

This section is not to be used to cost in time and salary for PI's and co-investigators from South Africa.

Please read carefully the ESRC's Research Funding Guide <http://www.esrc.ac.uk/RFG>

All resources requested must be fully justified in the 'Justification of Resources' attachment.

Proposals are £415,000 - £630,000 at 100 per cent feC for UK proposals for up to 30 months. If successful, ESRC will meet 80 per cent of the full economic costs on proposals submitted and the host institution will be expected to honour the remaining 20 per cent.

Travel and subsistence

Add each justified 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. Please refer to these costs in your Justification of Resources attachment.

Equipment

As this activity is funded through the Newton Fund, no equipment over £10,000 can be requested. For equipment under £10,000 please include costs under 'Other Directly Incurred' costs.

Social surveys

Social survey costs which are being sub-contracted should be included under the 'Other Directly Incurred costs' section and are eligible for fEC exception funding at 100 per cent (for the amount sought from the Council). Social survey costs should not be included under the 'Equipment' heading for this call, as equipment costs over £10,000 cannot be requested through the Newton Fund (see above paragraph on Equipment). (Please 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 and equipment costing less than £10,000, recruitment and advertising costs.

Costs for social survey work proposed to be done using in-house resources should also be included under this section and will be funded at the standard 80 per cent fEC funding rate. 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 associated with international co-investigators (not South African 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. All costs should also be prefixed with 'Overseas.'

All costs relating to UK business or civil society co-investigators 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.

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

UK 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.

Resources requested from NRF

Resources requested from NRF should be submitted by the South African PI through the NRF submission portal. The total amount of funding requested from NRF should be included within the International Funding Agencies Resourcing form. Please ensure to submit Justification of Resources for both ESRC and NRF requested costs – two pages A4 for each.

Please see NRF website for detailed information on NRF funding rules (<http://www.nrf.ac.za/media-room/news/advanced-notice-2017-call-esrc-nrf-higher-education-africa>).

South African applicants are reminded that only regular NRF grant budget items will be considered. However, because of the nature of this call, no student bursaries for full or part-time studies will be funded, but support for short-term exchange will be eligible.

For South African applicants please note that generally, the NRF does not provide financial support for:

- Basic office equipment including computers and consumables unless the computer is required for the research itself or the applicant/team member is based at a museum.
- Basic office stationery, photocopying costs, printing costs unless these items form part of the research tools or the applicant/team member is based at a museum.
- Journal publication costs, journal subscription costs, book costs unless the applicant / team member is based at a museum.
- Telephone, fax and internet costs unless the applicant / team member is based at a museum.
- Indirect costs for staff secondment or staff time.

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

Provide a clear timetable for the project and the intended progress of the research through the different stages. Your planned timetable can be expanded upon if necessary within your case for support.

Data collection

Applicants must adhere to ESRC policy. Please refer to the full statement on data management planning and datasets deposition requirements for data intensive investments in the ESRC Research Data Policy (www.esrc.ac.uk/datapolicy) and in the Research Funding Guide (www.esrc.ac.uk/RFG). Explain clearly how you will meet these requirements if relevant to your proposal. Complement but do not duplicate the information provided in the Data Management Plan as explained below.

Reviewers (academic and user)

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

Classifications

Please identify whether the research will involve significant collaborative contributions from colleagues outside of the UK. If 'yes' please expand within the 'Case for Support' attachment.

User involvement

If 'Users' have been/will be engaged with your research project, please specify the nature of their engagement. 'Users' are individuals, groups or organisations who have an interest in or may benefit from the research. Users may be from the public sector, commercial private sector, civil society or the wider public in general. Engaging users in your research from its conception and development through to the dissemination stage is likely to increase the

impacts achieved. Applicants should expand upon how the proposed work will be managed to engage users and beneficiaries in the pathways to impact attachment.

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 types do not cause problems with maximum length requirements, please see Je-S guidance (<https://je-s.rcuk.ac.uk/Handbook/pages/SystemRequirementsFormatsandSa/SystemRequirementsFormatsandSa.htm>)

The following are mandatory Je-S attachments:

- Case for support (six pages max.)
- Justification of resources (two pages per country – two pages for the resources requested from ESRC and two pages for the resources requested from NRF)
- Pathways to Impact (two pages max)
- CV (two pages max for each named researcher)

Other attachments - **mandatory for this call**

- List of publications- cited in proposal (one page max)
- Letters of support (only if applicable)
- Management Plan (two pages max)
- International funding agencies resources form
- Statement of ODA relevance (one page max)
- Data Management Plan (three pages max and only if applicable)
- Final/Interim Report (only if applicable)

The Management Plan and Statement of ODA relevance are to be uploaded under the Other attachment type. Proposal Cover Letter, Facility form 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 newtonsouthafrica@esrc.ac.uk for advice, as unrequested attachments can hinder the processing of your application. The funding agencies reserve the right to return or reject applications that include attachments not permitted on this call.

Case for support (maximum of six sides of A4)

For each proposal, UK and South African investigators should prepare a single 'case for support' that should be submitted to both ESRC and NRF. This case for support will allow for the funders to obtain reviews of the same document.

The case of support must not exceed six sides of A4 and must include the following sections:

- The introduction should set the aims and objectives of the study in context. It should briefly sketch the main work on which the research will draw, with references, particularly how they relate to leading research in the UK and South Africa. Any relevant policy or practical background should be included.

- The detailed research questions to be addressed should be clearly stated.
- 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.
- Clearly state the framework and methods for analysis, and explain the reasons for their choice.
- Indicate the expected outputs both academic and those orientated to (potential) users (articles, papers, datasets, events, etc). Where possible, describe the expected impact.
- 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 per country)

A two-side A4 statement (**two pages for the resources requested from ESRC and two pages for the resources requested from NRF**) justifying that the resources requested are appropriate to undertake the research 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 research 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 sufficient explanation for an item that requires justification, it will be cut from any grant made.

Pathways to Impact (maximum of two sides of A4)

While the Impact Summary section of the Je-S form is for applicants to explain who will benefit from the research and how, the Pathways to Impact attachment should be used to explain what will be undertaken by the applicant to ensure that opportunities for users to benefit from your research, and thus for achieving economic and societal impact, are maximised.

The Pathways to Impact is your opportunity to describe how the potential impacts of your research will be realised. This attachment is specific to users and beneficiaries of the research who are outside of the academic research community including, for instance, the public sector, private sector, civil society or the wider public in general.

User communities for ESRC research may include bodies and individuals from industry, charities, universities, local authorities and other public bodies, government departments and independent policy bodies.

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

In describing plans to maximise impact, applicants should consider what is achievable and expected for research of this nature. If you do not feel that your research has potential to achieve impact outside of academia, you should use the Pathways to Impact attachment to explain why this is the case. However, it is expected that applicants will have considered impact in its broadest economic and societal terms before coming to this conclusion.

Applicants should note that while we recognise the value of this type of research, reviewers may comment on the applicant's reasoning during consideration of the proposal.

Impact can take many forms, manifest at different stages in the research process, and be promoted in different ways. It may be helpful to consider impact in respect of the short term (during the currency of the grant), medium term (up to one year afterwards), and the long term. A statement about our expectations of the research we fund is at www.esrc.ac.uk/impact-expectations.

Please detail how the proposed research project will be managed to engage users and beneficiaries and increase the likelihood of impacts.

To be effective, all communication, engagement and impact activities must be planned in detail and properly resourced. To this end it is recommended that approximately 10 per cent of the overall budget should be dedicated to delivering the project's impact strategy as outlined in the Pathways to Impact attachment.

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

Data Management Plan (maximum of three sides of A4 per applicant)

It is a requirement of the ESRC Research Data Policy www.esrc.ac.uk/datapolicy that all applicants planning to generate data as part of their grant must include a Data Management Plan. The Data Management Plan should be used as an opportunity to describe how the data, ie primary input into research and first-order results of that research, are going to be managed - starting from planning for research and through the life-cycle of the grant until data is accepted for archiving by the UK Data Service.

The ESRC recognises the importance of research data quality and provenance. Research data generated by ESRC-funded research must be well-managed by the grant holder during the grant period to enable their data to be exploited to the maximum potential for further research. For further guidance see the Je-S Helptext.

CV (maximum of two sides of A4 per applicant)

A CV for both the ESRC and NRF funded each applicants and named research staff members 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/NRF and other bodies. This should not exceed two A4 sides.

List of publications (maximum of one side of A4)

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)

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

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

If this proposal is an invited resubmission to the ESRC, the appropriate cover letter(s) must be included. A covering letter summarising the major revisions must accompany the proposal.

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.**

Management Plan (maximum of two sides of A4)

One page should be used for a diagrammatic work plan, for example a PERT or Gantt chart. The plan should cover the project as a whole, detailing significant milestones and showing how different aspects of the project will link together and be managed.

International Funding Agency Resource Form

Details must be provided of all research partners involved in the project (including Co-investigators, project partners and collaborating organisations where appropriate).

Requirements include:

- Role and name of the applicant(s) - there should be one PI/main applicant for each country involved
- The name of the applicant's organisation(s)
- The organisation(s) division or department/unit/laboratory
- Project title
- Total funding amounts applied for from each funding agency
- Completion and insertion of the international funding agencies resources form

The total amounts requested, alongside the financial templates submitted separately to NRF and ESRC, will be used to assess the balance of resources requested.

Statement of ODA relevance (maximum of one side A4)

As the ESRC funds for this call come from the Newton Fund any funding must contribute to economic development and poverty alleviation in developing countries. Please describe how the proposed UK funded work is ODA compliant. Further details on ODA relevance can be found on the RCUK website (<http://www.rcuk.ac.uk/international/newton/>)

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 Research Councils. Therefore, if your area of expertise crosses the remits of more than one Research Council you will now only need to provide the information once.

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

Submit your proposal

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

Please note that the proposal must be formally submitted by your organisation before **16.00 UK time and 17.00 SA time on 3 May 2016**.

Submitting duplicate proposals to the NRF

South African applicants, both PIs and Co-Is (and collaborators) must submit a proposal with identical content to the UK collaborators via the NRF Online Submission system: <https://nrfs submission.nrf.ac.za>. It is required that submissions must be endorsed by the designated authority of the applicant's institution. Therefore internal submission date may be slightly earlier than 3 May 2016 in the case of South African applicants.

Commissioning timetable

- Announce call for proposals – 2 March 2016
- **Closing date for proposals – 3 May 2016**
- ESRC and NRF Joint Panel – August 2016
- Decisions announced – September 2016
- Grants commence – 1 October 2016

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 research funding rules and proposal procedures should be addressed to:

ESRC

- Tim Pank
Email: newtonsouthafrica@esrc.ac.uk
Phone: +44 (0)1793 413152
- Kim Fuggle
Email: newtonsouthafrica@esrc.ac.uk
Phone: +44 (0)1793 413039

NRF

- Andrew M Kaniki:
Telephone: +27 (0)12 481 4260
Email: andrew@nrf.ac.za
- Tracy Klarenbeek
Telephone: +27 (0)12 481 4177
Email: tracy@nrf.ac.za

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

- Je-S helpdesk
Email: jeshelp@rcuk.ac.uk
Telephone: +44 (0)1793 444164

Enquiries relating to the NRF submission system should be emailed to bettie@nrf.ac.za or pinky@nrf.ac.za