ESRC Centres Transition Review
Je-S guidance for applicants

This version: 22 October 2018

Introduction ................................................................................................................................. 2
Joint Electronic Submissions (Je-S).................................................................................................. 2
Je-S accounts for applicants ........................................................................................................ 3
Before creating your proposal ..................................................................................................... 3
Creating your proposal ................................................................................................................ 4
Completing your proposal ......................................................................................................... 4
Project details ............................................................................................................................. 5
Investigators ............................................................................................................................... 5
  UK co-investigators in business, civil society or government bodies ...................................... 6
  International co-investigators ................................................................................................. 7
Objectives ..................................................................................................................................... 8
Summary ....................................................................................................................................... 8
Academic beneficiaries ............................................................................................................... 8
Staff duties ..................................................................................................................................... 9
Impact summary ......................................................................................................................... 9
Ethical information .................................................................................................................... 9
Resource summary .................................................................................................................... 10
Other support ............................................................................................................................ 10
Related/previous proposals ....................................................................................................... 10
Staff .............................................................................................................................................. 10
Resources .................................................................................................................................... 11
  T&S .......................................................................................................................................... 12
  Equipment ............................................................................................................................... 12
  Social surveys ......................................................................................................................... 13
  Other directly incurred costs ................................................................................................. 13
  Other directly allocated costs ............................................................................................... 14
  Estates and indirect costs ..................................................................................................... 14
Project partners ......................................................................................................................... 14
Timetable (Optional) .................................................................................................................. 14
Data collection ........................................................................................................................... 15
Reviewers (academic and user) ................................................................................................. 15
Classifications ............................................................................................................................ 15
User involvement ....................................................................................................................... 15
Updating Researchfish .............................................................................................................. 15
Attachments ............................................................................................................................... 16
  Centre Directors’ Transition Review Report (Case for Support) (maximum of 13 sides of A4) (required) ... 16
  Justification of resources (maximum of two sides of A4) (required) ........................................ 18
  Pathways to Impact (maximum of two sides of A4) (required) ............................................. 18
  Institutional Letter of support (maximum of one side of A4) (required) .............................. 19
Transition Review Costings Attachment (one PDF file of the two page template) (required) 20
CV (maximum of two sides of A4 per person) (required - PI / Co-I only) .............................. 21
Data Management Plan (maximum of three sides of A4) (optional - if relevant) .................. 21
Project Partner letter of support (maximum of one side of A4 per partner) (optional – if relevant) .............................................................................................................................................................................. 21
Research User Letters of support to evidence impact (maximum of one side of A4 per partner) (optional – if relevant) .......................................................................................................................... 21
Proposal cover letter (maximum of one side of A4) (optional – if relevant) ................................ 21
Final/interim reports ............................................................................................................................ 21
Proposal classifications .......................................................................................................................... 22
Submit your proposal ........................................................................................................................... 22
Further enquiries .................................................................................................................................. 22

Introduction
This is a guidance document created to assist applicants to this call in the completion of their proposal. It is specific to this call and should be used in conjunction with the following information:

- **ESRC Research Funding Guide**
  [https://esrc.ukri.org/funding/guidance-for-applicants/research-funding-guide/](https://esrc.ukri.org/funding/guidance-for-applicants/research-funding-guide/)

- **ESRC guidance on ‘How to write a good research grant proposal’**
  [https://esrc.ukri.org/funding/guidance-for-applicants/how-to-write-a-good-research-grant-proposal/](https://esrc.ukri.org/funding/guidance-for-applicants/how-to-write-a-good-research-grant-proposal/)

- **Je-S help text** is available in every page of your Je-S form, simply click on the question mark against any section (or on the word ‘Help’ in the top right hand corner of each page)

- **Je-S helpdesk** (for all Je-S system enquiries)
  jeshelp@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.

Scheme-specific guidance was included with your letter of Invitation to apply

For further information email your investment manager or centrespolicy@esrc.ukri.org

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

**Joint Electronic Submissions (Je-S)**
All proposals under this call must be completed and submitted through the Research Councils’ Joint Electronic Submissions (Je-S). 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. If you are unsure about this you should contact your Research Organisation’s Research Office for further guidance.

There is one possible category of organisation from which proposals can be submitted:

- UK higher education institutions and all 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**

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

Please ensure that applicants select the ‘Account Type: Research Proposal’ and the option ‘An Applicant on a Standard or Outline Proposal’ - see help text https://je-s.rcuk.ac.uk/Handbook/pages/SettingupaJeSaccount/SettingupaJeSaccount.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 Joint Electronic Submission (Je-S) forms.

Please note that the deadline for research organisation submission of proposals is outlined in your letter of invitation to apply. 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](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 (Centres Transition Review - invitation only) 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.

**Non-standard completion of costs information**

We require full details of the project’s proposed activities, including staff time, to be detailed in full on the Je-S form and the justification of resources attachment, regardless of funding source.

However, only the costs relating to the **ESRC contribution** requested should be entered into the ‘Resources’ section of the Je-S form.

Details of the costs that will be met by the **RO contribution** to the project should be detailed separately in the Centres Transition Review costings attachment provided and included as a pdf attachment. Specific guidance is provided for each section below.

You may return to edit saved documents at any time.

Please note you may return to edit saved documents at any time.
Where page lengths are specified, please do not exceed the limit. All attachments must be produced in a minimum of font size 11.

**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 Centres Transition Review - invitation only. Please note that the option will only be available once the call is live. The date that this will be live will be included in your letter of invitation to apply.
- Your start date should not typically be on or before the end date of the ESRC centre grant coming to an end. Details of these dates will be provided in your letter of invitation.
- Your grant should be a proposed duration of no more than 60 months, and no less than 36 months.

**Investigators**

Enter the name of the principal investigator (PI) and any co-investigators (Co-I), if applicable.

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

ESRC will fund PIs and Co-Is within the terms of transition funding (typically directly incurred (DI) staff only at 80% fEC). ‘Directly Incurred staff’ are those whose time on the project is actual, auditable and verifiable (eg researchers and technicians). These costs should be entered as requested on Je-S.

If there are DI (PI/ Co-I) costs to be funded by the RO contribution please enter 0 (zero) for salary, superannuation/ NI and total cost on Je-S. You should include these costs within the RO contribution detailed in the Transition Review costings attachment.

You may split DI costs for an individual between ESRC contribution and RO contribution, such a split should be clearly indicated in the way the ESRC contribution is requested on Je-S and RO contribution is demonstrated in the Transition Review costings attachment.

‘Directly Allocated staff’ (DA), including PIs and Co-Is will typically be funded through the RO contribution to transition funding. ‘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). The name, number of hours worked over the duration of the grant, salary rate, contracted
working week expressed as % of full time work should be completed as requested. As costs will typically be met by the RO contribution, in this instance you should enter 0 (zero) in the box for ‘Total number of hours to be charged to the grant over the duration of the grant’. You should include these costs within the RO contribution detailed in the Transition Review costings template attachment.

Please note that it is mandatory for both DI and DA PIs to 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 contact the ESRC if you propose to change PI ahead of application for Transition funding or apply for Transition funding with a new PI. Standard processes around change of grant holder may apply (see ESRC Research Funding Guide, p37: http://www.esrc.ac.uk/funding/guidance-for-applicants/researchfunding-guide/).

If application proposes a new PI (centre director) at the start of the award, the new PI may be named as PI on the Je-S application and attend the interview for Transition Review to discuss the proposed work programme. Whether a new PI is intending to take over the centre at the start or during the award, the application should also outline succession planning in the Centre Director’s Transition Review Report. It is up to the centre whom it wishes to attend the interview to address questions around the centre’s track record. Both former and new PI may attend the interview. It will be important that any such application demonstrates clear continuity in the work programme of the centre regardless of change of PI, so that the application is demonstrably not for a new centre.

If Co-Is are to be included to be paid by the RO contribution who are not yet in post please enter the new posts to Je-S with no costs associated and include the posts and associated costs on the Transition review spreadsheets for RO contribution. Once recruited, please inform your ESRC Investment Manager who will then add the names to the grant.

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 the Centres Transition Review - invitation only call.

ESRC will fund 100% of justified costs within the specific terms of transition funding (typically DI costs only). The project costs associated with these types of Co-I contributions must not exceed 30% of the costs requested from the ESRC grant (at 100% fEC). (It is important to note that the combined costs for International Co-investigators, and UK Business, Third Sector and Government Body Co-investigators must not exceed 30% of the total fEC of the ESRC contribution to the project.)

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% costs claimed), as should all other claimed staff salaries and related costs associated with the UK Co-I’s business or civil society body. The ESRC costs requested from the ESRC grant should also be detailed separately in the Centres Transition Review costings attachment as an Exception with a prefix ‘UK Co-I’s business or civil society costs’.

UK co-investigators from business, civil society or government bodies to be funded through the RO contribution should be included in the Transition Review costings attachment and detailed in the ‘RO fund breakdown of costs’ but not entered into Je-S.

All costs to be claimed from the ESRC and to be incurred by the Research Organisation 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 COIs, a suitable support structure should be in place to assist such individuals in registering for Je-S accounts and contributing to the research case.

Please see specific guidance on requesting these costs to ensure you have met ESRC requirements: https://esrc.ukri.org/funding/guidance-for-applicants/inclusion-of-uk-business-third-sector-or-government-body-co-investigators-on-proposals/

International co-investigators
Please note that any academic researcher (PhD or equivalent) from an established international research organisation of comparable standing to an ESRC-eligible UK research organisation will be eligible to be listed as an international co-investigator under this scheme. ESRC will fund 100% of justified international costs within the specific terms of transition funding (typically DI costs only). Please note that international costs must not exceed 30% of the costs requested from the ESRC grant (at 100% fEC). (It is important to note that the combined costs for International Co-investigators, and UK Business, Third Sector and Government Body Co-investigators must not exceed 30% of the total fEC of the ESRC contribution to the project.)

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). Please ensure you initiate such discussions as soon as possible before the call closing date.

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

Co-investigator ‘time’ allocation must be entered under the standard Co-I section, but the salary rate must be entered as zero.

The ESRC costs requested from the ESRC grant should also be detailed separately in the Transition Review costings attachment as an Exception with a prefix ‘Overseas’.

International Co-Investigators to be funded through the RO contribution should be included in the Transition Review costings attachment and detailed in the ‘RO fund breakdown of costs’ but not entered into Je-S.

All costs to be claimed from the ESRC and to be incurred by the Research Organisation 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. Where applicants request salaries for international co-investigators, a supporting letter must be submitted as an additional attachment (under ‘Other attachments’ in Je-S) to explain the reason(s) for inclusion of these costs. It is normally expected that such a letter should be written by the international co-investigator’s home institution.

Please see specific guidance on inclusion of international co-investigators [https://esrc.ukri.org/funding/guidance-for-applicants/inclusion-of-international-co-investigators-on-proposals/](https://esrc.ukri.org/funding/guidance-for-applicants/inclusion-of-international-co-investigators-on-proposals/)

**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 and that it is suitable for communication with a non-specialist audience *(4000 character limit)*

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

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

Please note that this section may be published to demonstrate the impact of Research Council-funded research. Please ensure confidential information is not included in this section and that it is suitable for communication with a non-specialist audience.

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 those to be funded by the ESRC grant and RO contribution (or if a proportion of the individual’s costs please detail the proportion from the ESRC/RO). Ensure that it is clear why it is necessary for this person to perform this role at the resource level you have requested from the ESRC and contributed from the RO. (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 two 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.

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 and that it is suitable for communication with a non-specialist audience.

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/funding/guidance-for-applicants/research-ethics/) contains a full explanation of our approach, with guidance for applicants.

**Resource summary**

The Resource summary on Je-S is populated automatically. This summary should only include the costs requested from the ESRC grant.

Please check that this summary has identical figures to those included in the blue ESRC contribution to the ‘Summary of Resources’ sheet in the Transition Review costings attachment. (Please note that months allocated to staff should include time allocations for all staff on the project not just the ESRC contribution).

**Other support**

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

**Related/previous proposals**

Please state whether your application under this call is related to any proposals previously submitted to us. Please note the policy on ‘invite only’ resubmissions at: https://esrc.ukri.org/funding/guidance-for-applicants/resubmissions-policy/. 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.

ESRC will fund staff within the terms of transition funding (typically Directly Incurred (DI) staff only at 80% fEC). ‘Directly Incurred staff’ are those whose time on the project is actual, auditable and verifiable (eg researchers and technicians). These costs should be entered as requested on Je-S if to be funded by the ESRC.

**If there are DI staff costs to be funded by the RO contribution** please enter 0 (zero) under salary, superannuation/ NI and total cost on Je-S. You should include these costs within the RO contribution detailed in the Transition Review costings template attachment. You may split DI costs for an individual between ESRC contribution and RO contribution, such a split should be clearly indicated in the way the ESRC contribution is
requested on Je-S and RO contribution is demonstrated in the Transition Review costings attachment.

‘Directly Allocated staff’ (DA), including PIs and Co-Is will typically be funded through the RO contribution to transition funding. ‘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). The name, number of hours worked over the duration of the grant, salary rate, contracted working week expressed as % of full time work should be completed as requested. As costs will typically be met by the RO contribution, in this instance you should enter 0 (zero) in the box for ‘Total number of hours to be charged to the grant over the duration of the grant’. You should include these costs within the RO contribution detailed in the Transition Review costings template attachment.

Please note that ESRC associated (project) studentships cannot be funded through ESRC contribution to Transition Funding. The RO contribution to the project may include RO funded studentships. Transition funding would not prevent students funded by an ESRC Doctoral Training Partnership (DTP) or Centre for Doctoral Training (CDT) from linking with an area relevant to the activity of the centre. However, the studentship should not be treated as a displacement for the normal research support required on the grant. Studentships funded by the RO can be included in the minimum RO contribution. If offered as part of the RO contribution these RO funded studentships may be included in the Transition finance template and ‘RO fund breakdown of costs’ but not entered into Je-S.

Resources
All resources requested from the ESRC and those provided by the RO contribution must be fully justified in the ‘Justification of Resources’ attachment and detailed in the ‘Transition Review costings’ attachment – see template instructions for specific guidance.

The Resources figures entered into the Je-S system should relate to the costs requested from the ESRC grant only.

The Transition funding will provide no less than 36 months and no more than 60 months funding. If successful, ESRC will typically meet 80% of the Directly Incurred costs on Transition funding proposals. The maximum ESRC request made on Je-S at 100% fEC must not exceed the 100% fEC ceiling detailed in the centre’s letter of invitation. This ceiling amount will be equivalent to 25% of the full economic costs of the existing ESRC centre grant coming to an end.

In addition, the host Research Organisation is required to demonstrate their strategic commitment to the centre through a minimum contribution that equates to, or exceeds, the full economic costs (ie 100% fEC) of the ESRC request. To establish a sustainable funding model for the centre the RO contribution will be required to fund the Directly Allocated and Indirect costs of the proposal at a minimum alongside the remaining DI costs not funded from the ESRC request. These costs should be detailed through the Transition Review costings attachment, which evidences that the full economic costs of the proposal are co-funded.
The ESRC is looking for, at least, a level of research activity in Transition Review proposals that would be supported by the co-funded minimum (ie 45% of the full economic costs of the ESRC centre grant coming to an end).

Over and above that minimum RO contribution, applications are welcome to provide evidence of additional financial support from the RO through the costings attachment. Additional support from other (non-higher education) funding sources or partners should be outlined in brief in this section and evidenced through the section on project partners.

**T&S**

Add each item of Travel and Subsistence required to be funded as Directly Incurred costs by the ESRC only. You should indicate the calculations upon which this figure is based in the ‘Destination and Purpose’ box.

Equivalent detail for T&S costs funded through the RO contribution should be included in the Transition Review costings attachment but not entered into Je-S.

**Equipment**

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

Equivalent detail for any equipment costs to be funded through the RO contribution should be included in the Transition review costings attachment but not entered into Je-S.

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

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

For all items of equipment requested from the ESRC above the RCUK equipment purchase threshold (£115,000) three equipment quotations must be provided. Where you believe that there are less than three potential suppliers for an item you should explain this in the ‘Justification of Resources’ attachment and upload two blank documents as equipment quotes. For items of equipment which cost less than the RCUK equipment purchase threshold it is optional to provide quotations and up to three can be uploaded.
Social surveys
Social survey costs requested from the ESRC which are being sub-contracted should be included under this section and are eligible for fEC exception funding at 100% (for the amount sought from the council). (See ‘other directly incurred costs’ section if surveys are to be done using in-house resources.) These costs, if requested from the ESRC grant, should also be detailed separately in the Transition Review costings attachment as an Exception with a prefix ‘Social Surveys - subcontracted’.

Sub-contracted social survey costs to be funded through the RO contribution should be included in the Transition Review costings attachment but not entered into Je-S.

Other directly incurred costs
Includes justified; project specific consumables, consultancy fees, equipment costing less than £10,000, recruitment and advertising costs. ‘Other directly incurred’ costs to be requested from the ESRC should be included in this section of Je-S (and included in the ‘other directly incurred’ costs funded at 80% fEC - unless directed otherwise -in the ESRC section of the Transition Review costings attachment).

If the RO contribution will cover any ‘other directly incurred’ costs these should be detailed in the Transition Review costings attachment but not entered into Je-S.

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

All project costs relating to UK business or civil society co-investigators to be requested from ESRC 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. These costs requested from the ESRC grant should also be detailed separately in the Transition Review costings attachment as an Exception with a prefix ‘UK Co-I’s business or civil society costs’.

All costs associated with international co-investigators to be requested from ESRC, 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.’ These costs requested from the ESRC grant should also be detailed separately in the Transition Review costings attachment as an Exception with a prefix ‘Overseas’.

All costs to be claimed from the ESRC and to be incurred by the Research Organisation 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.

**Other directly allocated costs**
Includes support staff salaries, a share of the costs of departmental support staff and the costs of access to major research facilities.

Typically ESRC will not fund any Directly Allocated costs through transition funding and these costs should not be entered on Je-S. Unless exceptionally agreed with the ESRC this section should be entered with a nil request.

Typically the RO contribution will fund ‘other directly allocated costs’ and these costs should be detailed in the Transition Review costings attachment but not entered into Je-S.

**Estates and indirect costs**
ESRC will not typically fund Estates and indirect costs through the ESRC contribution to Transition Funding and **these costs should not be entered on Je-S**. Unless exceptionally agreed with the ESRC this section should be entered with a nil request.

Typically the RO contribution will fund estate and indirect costs and should be detailed in the Transition Review costings attachment but not entered into Je-S.

Estate and indirect costs are specific to each research organisation, and do not require justification in your case for support. However, ESRC will expect standard guidance will apply to these costings. Research organisations that have implemented the TRAC costing methodology and have passed the Quality Assurance process should apply their own estate and indirect costs. Non-research organisations that are not required to implement TRAC must have a robust costing methodology in place that has been validated in order to apply their own estates and indirect cost rates. The standard default rates should be used where research organisations have not yet developed their own rates.

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

**Project partners**
If you have secured a commitment from another individual, (non-higher education) organisation or funding body to provide additional resources for this project, (ie over and above the minimum Research Organisation contribution) the details of that support should be entered here. A ‘Project Partner letter of support’ from each partner organisation must be included as an attachment via this section (not in the attachments section) confirming the level of support specific to this proposal. Project partner letters of support should be dated and no more than 6 months old.

**Timetable (Optional)**
Provide a clear timetable for the project and the intended progress of the research through the different stages. If the format of this section is not appropriate for your planned activity
please include an equivalent timetable, or expand on this timetable 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 ([https://esrc.ukri.org/funding/guidance-for-grant-holders/research-data-policy/](https://esrc.ukri.org/funding/guidance-for-grant-holders/research-data-policy/)) and in the Research Funding Guide ([https://esrc.ukri.org/funding/guidance-for-applicants/research-funding-guide/](https://esrc.ukri.org/funding/guidance-for-applicants/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.

**Reviewers (academic and user)**
There is no need to nominate reviewers for this call as we will approach Assessors to provide independent peer review, as outlined in your letter of invitation to apply for transition funding.

**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, 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.

**Updating Researchfish**
The PI (Centre Director) will also be required to ensure that Researchfish entries reflect the activities of the centre (across all grants since the inception of the centre/ Researchfish). The deadline for completing the update of Researchfish will be the same as for your application on Je-S.

Please refer to the call specification for further details.

Please note that while it is possible to edit /add outcomes on Researchfish at any time, ESRC can only use data that has been confirmed and submitted by the PI (Centre Director). Due to the annual Researchfish submission period currently being closed, ESRC will re-open your accounts to allow submission until 01/11/2019 for the purposes of the Transition review.

**Please ensure that you confirm and submit for the purposes of the Transition Review by the deadline for application in the letter of invitation to apply.**

This information will also be used for other purposes, including being published on the Gateway to Research website, so please ensure it is written for a non-specialist and public
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: https://je-s.rcuk.ac.uk/Handbook/pages/SystemRequirementsFormatsandSa/SystemRequirementsFormatsandSa.htm

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

- Centre Director’s Transition Review Report (Case for Support)
- Justification of resources
- Pathways to Impact
- Institutional Letter of Support
- Centres Transition Review Costings Attachment
  - Summary of Resources;
  - ‘RO fund breakdown of costs’
- CV (PI/ Co-Is only)

The following are optional attachments, if relevant:

- Data Management Plan (for grants planning to generate data)
- Project Partner letter of support
- Research User Letter of support to evidence impact - one page – optional

Important note: If you are unclear about whether you can include a specific attachment please contact your investment manager or centrepolicy@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.

Centre Directors’ Transition Review Report (Case for Support) (maximum of 13 sides of A4) (required)

The Centre Director’s Transition Review Report provides the main body of the application, outlining both the track record of the centre and the proposed work programme (case for support). The Centre Director’s Transition Review Report should cover the full period of the centre’s operation, not just the most recent funding period, as well as plans for future activities being proposed. However, when giving examples of impact, Centre Directors may wish to focus in more detail on recent examples to which they wish to draw assessors’ attention and the activity being proposed.

The report must not exceed 13 sides and should include the following information:

Cover Page (one page)
- ESRC Grant reference number:
• Name of centre:
• Centre Director (PI):
• Host research organisation:
• Existing Grant end date:
• Amount of ESRC Funding applying for*:
• Length of Transition Funding applying for (months):

* Please refer to the ESRC contribution detailed in your invitation to apply for Transition Review

Part 1: Summary (two pages)
• Achievements to date
• Plans for the future

Part 2: Introduction – in brief (one page)
• General background to the centre (i.e. how the research group came together and the origin of the research programme)
• Overall size and distribution of the centre
• When the centre began and subsequent changes
• Special features of the centre (e.g. topic spread, capacity building activities)
• Overview of centre aims
• How the centre has contributed to the ESRC’s strategic priorities to date

Part 3: Key outputs and impacts to date (two pages)
• Highlight the major impacts achieved by the centre that you wish to bring to the Assessors’ attention, including conceptual, instrumental, capacity building and networking impacts. This should include:
  o Three or four examples of outstanding science from the grant (i.e scientific impacts)
  o Three or four examples of high-impact activities that have been successful in building capacity and bringing the grant’s work to non-academic groups (i.e societal and economic impacts).

(Please ensure outputs and activities to which you refer are outlined in full on Researchfish – do not duplicate here. Main publications and other outputs (e.g. software, datasets etc) from the centre should also be listed separately on Researchfish. Please do not duplicate here)

The examples you include in this section should include evidence that supports the impact claim, either directing the Assessor’s attention to information to be found on Researchfish in a record (e.g. a recognition) or providing a narrative that links a number of activities recorded on Researchfish that have resulted in an important impact (including conceptual, instrumental and capacity building/networking impacts).

This section should outline the track record of the centre only. Next steps that will be taken, with the additional funding proposed, to ensure uptake and application of the research findings should be outlined in the Pathways to Impact attachment to accompany this report.
Part 4: The Director’s role and centre management (one page)

- Discuss how the management of the centre has led to research that has been of higher quality and impact than individual standalone projects would have been likely to achieve?
- Briefly describe and comment on any particular challenges, problems and unexpected events that were encountered and their impact on the centre - and their likely implications for the additional period of funding proposed.

Part 5: Outline Planned Programme of Work (six pages)

This section is equivalent to an outline phase application for ESRC funding. Relevant research context, theory and methods need not be outlined in detail. Rather the emphasis should be on the activities to be undertaken during Transition Funding, work packages proposed and plans to achieve impact outcomes intended. The programme of work proposed must be coherent with the aims and work of the centre to date.

- Aims and objectives of the proposed programme of work (and how they relate to the centre’s aims and ESRC’s aims in providing this funding)
- Planned programme of work to support academic and economic and societal impact (required)
- Planned programme of work to support new research and capacity building (if applicable)
- Alignment with ESRC and UKRI strategic priorities

Justification of resources (maximum of two sides of A4) (required)

A two-side A4 statement justifying that the resources requested from the ESRC and to be incurred by the Research Organisation are appropriate to undertake the research project. The justification of resources should explain why the resources requested to be claimed from the ESRC and to be incurred by the Research Organisation 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 and Transition Review costings attachment. Where you do not provide explanation for an item that requires justification, it may be raised for discussion in the Transition Review interview and may be cut as a condition of any grant made.

Please refer to [https://je-s.rcuk.ac.uk/Handbook/pages/GuidanceonCompletingaStandardG/CaseforSupportandAttachments/ESRCSpecificRequirements.htm](https://je-s.rcuk.ac.uk/Handbook/pages/GuidanceonCompletingaStandardG/CaseforSupportandAttachments/ESRCSpecificRequirements.htm) for further guidance.

Pathways to Impact (maximum of two sides of A4) (required)

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 a centre able to build on five years of ESRC Centres Competition funding. 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 https://esrc.ukri.org/funding/guidance-for-applicants/impact-innovation-and-interdisciplinarity/.

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

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

**Institutional Letter of support (maximum of one side of A4) (required)**

The Institutional Letter of Support should be attached as a ‘letter of support’ on Je-S. This Institutional letter of support from the host RO should briefly (one page) outline:

- How the centre is embedded into the strategy of the host RO (and any other ROs involved in the centre).
- How in the longer term the work of the centre will be sustained by the relevant research organisation (financially and in other ways)

The RO will also be required to demonstrate their strategic commitment to the centre through a minimum contribution that equates to, or exceeds, the full economic costs (ie 100% fEC) of the ESRC request.

The Institutional Letter of Support must include a statement of the commitment of the RO to the finances as detailed in the Transition Review costings attachment submitted in support of the application. This is a requirement of Transition Funding and ESRC will consider this Institutional Letter of Support (or a revised version if required following Transition Review) equivalent to a financial commitment, if ESRC Transition Funding is
offered. ESRC may require the RO to sign a specific Memorandum of Understanding
document to this effect on offer.

If there is more than one RO supporting the centre, with a partner RO contributing to the
total RO contribution, the Institutional letter of support should include details of the
contributions of each institution to the total RO contribution outlining in brief, through a
summary table, the costs to which each will contribute. The lead RO will sign on behalf of all
ROs engaged and be responsible for ensuring commitments of partners ROs are met.

Annual progress review meetings will need to satisfy the ESRC that this RO commitment is
being provided as proposed. Evidence that the RO is not supporting the project through the
RO commitment as agreed, without clear justification, may result in suspension of further
applications for ESRC funding from the RO.

**Transition Review Costings Attachment (one PDF file of the two page template)
(required)**

The Transition Review Costings attachment includes 2 excel sheets that should be
completed and uploaded as an ‘other attachment’ on Je-S. A template will be provided by
the ESRC on invitation to apply. This attachment includes:

1. Instructions on completion (in addition to those detailed in this guidance) are
   included in the template provided.
2. ESRC/ RO Contributions: Summary of Resources: This sheet should be used to
detail the full economic costs of the project proposed, evidencing the RO
contribution, to support the claim for the ESRC contribution.
   • ESRC contribution costs in the ‘Summary of Resources’ sheet must match the
     ‘Summary of Resources’ section in Je-S exactly. The total ESRC contribution
     requested (at 100% fEC) must not exceed that offered in the letter of invitation
to apply for Transition funding.
   • The total RO contribution costs must equal or exceed the full economic costs
     (ie 100% fEC) of the ESRC request and will be a required minimum for the
     application to be eligible for Transition Funding.
3. RO contribution breakdown of costs: Sheet 2 should include the breakdown of the
costs to be incurred from the RO contribution only. These costs should not be included in
the figures entered into the standard Je-S costings but should reflect the costs
outlined in the ‘Summary of Resources’ (Sheet 1). Please ensure that descriptions are
clearly justifying the distinction between costs claimed from ESRC and those claimed
from ESRC both in descriptions in the costings attachment and in the ‘justification of
resources’ attachment. If costs are unclear you may be asked to clarify to check
whether there is double claiming. Please also ensure that investigator/staff costs to be
funded from the RO contribution are included in this attachment only, and that
investigator/staff time is recorded accurately here and in Je-S.

*Please ensure that you read the instructions included with the template.*

*Please save each sheet, combined as one pdf document, to be uploaded as an attachment to the
application.*
CV (maximum of two sides of A4 per person) (required - PI / Co-I only)
A CV for each applicant and named research staff member must be included. This should include contact details, qualifications (including class and subject), academic and professional posts held since graduation, a list of the most relevant and recent publications, and a record of research funded by the ESRC and other bodies. This should not exceed two A4 sides.

Data Management Plan (maximum of three sides of A4) (optional - if relevant)
It is a requirement of the ESRC Research Data Policy [https://esrc.ukri.org/funding/guidance-for-grant-holders/research-data-policy/](https://esrc.ukri.org/funding/guidance-for-grant-holders/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, 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 Helpertext.

Project Partner letter of support (maximum of one side of A4 per partner) (optional – if relevant)
If you have secured a commitment from another individual, (non-higher education) organisation or funding body to provide additional resources for this project, (ie over and above the minimum Research Organisation contribution) the details of that support should be entered in the ‘project partner’ section of the online Je-S form. Please note that the ‘Project Partner letter of support’ from each partner organisation confirming the level of support specific to this proposal must be included as an attachment in the project partner section not in the attachments section on Je-S. Project partner letters of support should be dated and no more than 6 months old.

Research User Letters of support to evidence impact (maximum of one side of A4 per partner) (optional – if relevant)
If you have wish to evidence the impact of the centre through a letter of support from a research user with whom the centre works closely you may attach a ‘Research User Letter of Support’. This can be uploaded as an ‘other attachment’ and detail the ways in which you have engaged with the research user and any evidence that the work of the centre has had an impact on their decision-making or practice.

Proposal cover letter (maximum of one side of A4) (optional – if relevant)
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.

Final/interim reports
Final/interim reports are not required for this application. There is no need to include this attachment for Transition Review. Centre Directors should note:
• The Transition Review Application, if successful, replaces the need for a full final report for the full centre grant coming to an end at this juncture. If unsuccessful, the centre may be asked to submit a full final report under the existing terms of the grant coming to an end.
• If successful, a Final report will be required at the end of Transition funding to cover the full period of the centre’s funding since inception.
• If successful in Centres Competition, and full funding supersedes Transition funding, a short standard final report will be required.

Proposal classifications
The information provided in this section will be used by us to monitor our funding. 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% of the proposed programme of research is within ESRC remit. Please refer to the list of research areas that fall within ESRC remit (https://esrc.ukri.org/funding/guidance-for-applicants/is-my-research-suitable-for-esrc-funding/discipline-classifications/) for further information. This information is used to determine eligibility for ESRC funding.

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 the deadline detailed in your letter of invitation to apply. This letter also outlines the timetable for Transition Review

Further enquiries
Please contact your Investment Manager copying in the Transition review coordinator on centrespolicy@esrc.ukri.org, if you have any questions about this process or ESRC research funding rules.

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