

Energy and Communities Collaborative Venture

Notes for Guidance for Applicants

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

- **ESRC Research Funding Guide-**
<http://www.esrcsocietytoday.ac.uk/researchfundingguide/>
- **ESRC Frequently Asked Questions**
http://www.esrcsocietytoday.ac.uk/ESRCInfoCentre/Support/research_award_holders/FAQs2/index1.aspx
- **Je-S Help Text**
This is available in every page of your Je-S form. Click on the word 'HELP' in the top right hand corner of each page or scroll through the following pages:
<http://192.171.198.243/JesHandBook/jesHelp.aspx?m=s&ts=109>
- **Je-S Help desk** (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 9am - 5pm (excluding Bank holidays and other holidays). Please leave a Voice Mail message if calling out of hours. When reporting problems by e-mail or telephone, please supply the following information: your name; your 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**
For further information contact: **Ian Devine** – Ian.Devine@esrc.ac.uk or **Ali Noble** – Alison.Noble@esrc.ac.uk .

Important: Where information and guidance issued in this document differs from the general guidance offered in these sources, this document should be adhered to.

Joint Electronic Submissions (Je-S)

All applications under this scheme must be made through the Research Council's Joint Electronic Submissions (Je-S) process. You must have a Je-S account to gain access to the system. If you are unsure about this you should contact your research office for further guidance. Further information can be found on the ESRC website at <http://www.esrcsocietytoday.ac.uk/ESRCInfoCentre/opportunities/ElectronicForms>

Before creating your application

- Research applications 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 4.00 pm on 11 March 2010. It is recommended that you allow sufficient time for completion of the Research Organisation submission process checks/authorisation.**
- Your application will actually be sent to Je-S/ESRC from the submitter pool at your Research Organisation. In other words, **there is a further layer of administration between your submission of the application and the application 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/research office). 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 application has been successfully submitted to the Je-S team (see also 'Section 4. Tracking Proposal').

Je-S Registration

- In order to submit proposals electronically, first check that the organisation through which you intend to submit the proposal has completed the Je-S registration process. All main UK Research Organisations are already registered. If you are in any doubt, you are strongly advised to seek timely confirmation of your Research Organisation's registration status from your Research Organisation's administration.
- Only Je-S account holders may be named as Principal Investigators (PI) or Co-Investigators (CoI). If you are in any doubt as to your registration status, you are strongly advised to seek timely confirmation from your Research Organisation's administration or Je-S Helpdesk. Principal applicants are strongly advised to secure similar confirmation from all individuals that they plan to name as co-applicants. Please note that only the submitting organisation needs to have obtained Je-S registration.

Organisations needing to register for Je-S should contact the Je-S Helpdesk (see below). Users wishing to access the Je-S system for the first time are asked to check with their central administration on the status of the organisation's Je-S registration before pursuing the option of creating an account through the Je-S system. Organisations must comply with ESRC funding eligibility regulations before Je-S registration can proceed. People without a Je-S account should apply for registration through Je-S helpdesk JeSHelp@rcuk.ac.uk. We strongly advise potential applicants to apply to register, if necessary, as early as possible.

Please be assured that the information you provide regarding your date of birth, gender, ethnic origin and any disability will not be divulged to those involved in the assessment of any proposal you might submit to the ESRC. These data are for collection and analysis at an aggregate rather than individual level to allow us to examine our data on proposals and grants by a number of key variables and to review whether we might be disadvantaging certain groups. As a public body we are required to collect and publish such statistical data. For these reasons we would ask you to complete the relevant Je-S 'MyDetails' data fields to help us in meeting these requirements.

There are two types of Je-S accounts that can be held;

Je-S registered account

Je-S Helpdesk has verified the account holder details via the submitting organisation. The account holder can be selected as any person associated against a proposal (ie PI/COI, staff member, project partner etc). The account holder can prepare/submit proposals.

Je-S unregistered account

The account holder can be selected as a staff member, project partner or referee against a proposal. The account holder can prepare proposals (and submit if a fellowship proposal).

1. Creating your proposal

Log in to Je-S at <https://je-s.rcuk.ac.uk/JeS2WebLoginSite/Login.aspx>

First Screen:

Add New Document

Second Screen:

Select 'Call search' (highlighted at top of screen), type in the call title, 'Energy and Communities Collaborative Venture' and select from the list created.

The three selection fields will be automatically populated.

- Create Document

2. Completing your proposal

From the **Document Menu** page the following sections should be completed. Information supplied in any other sections will be disregarded.

The details given are not inclusive 'step by step' guidance and it is recommended that you refer to the Je-S helptext for additional information.

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

2.1 Edit Project Details

- Select organisation and department from drop down lists
- 'Your Reference' should be supplied by your Research Organisation (consult your Research Office). If your administration cannot provide a reference, a suitable reference of your own choice will be acceptable.

- Enter Project Title (maximum limit of 150 characters)
- For Proposal Call, select Energy and Communities Collaborative Venture. Please note that the option will only be available once the call is live.

2.2 Edit Disciplines

Enter the main discipline under which you consider this proposal to fall and select any applicable secondary disciplines from the list provided in the form.

2.3 Edit 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 organisation that will administer the grant. The PI will take intellectual leadership of the project and manage the research; this individual will be the person with whom ESRC correspondence can be undertaken. All named Investigators are responsible for ensuring that successful applications 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.

International COI's

Please note that any academic researcher (PhD or equivalent) from an established overseas Research Organisation of comparable standing to a UK Research Organisation will be eligible to be listed as an overseas Co-Investigator under this scheme.

To register (and therefore be selectable on Je-S) the prospective Co-I should firstly email the JeS Helpdesk (JeSHelp@rcuk.ac.uk) confirming that they are applying to be an overseas Co-I on an ESRC grant proposal being submitted by a UK Research Organisation. They should include the full name and full postal address of their overseas organisation. The JeS Helpdesk will then check to ensure their organisation is on the JeS database and then reply to the overseas Co-I directing them how they can create the required JeS registered account. The account will be registered once third party verification (Helpdesk will accept verification from the submitting organisation) has been received. In order to minimise administrative burdens and costs to both applicants and ESRC staff, formal recognition will only be pursued should a positive funding decision be taken.

All costs associated with overseas Co-Investigators must be specifically justified, and applicants must explain why such costs are required to achieve the aims of the research project. If costs associated with an overseas Co-Investigator are substantial, applicants are encouraged to append an additional annex in order to have sufficient space to fully justify these costs.

2.4 Edit Objectives

List the objectives of your research (4000 character limit).

To list those relevant individuals, groups or organisations (i.e. researchers from outside

research discipline, companies, public sector orgs. etc) that are likely to be interested in or benefit from the proposed research. It should be noted whether the research is likely to lead to patentable or otherwise commercially exploitable results.

2.5 Edit Summary

Provide a plain English summary of the research you propose to carry out in a language that could be publicised to a general, non-academic audience (4000 character limit).

2.6 Edit Academic Beneficiaries

Please summarise how your proposed research will contribute to knowledge, both within the UK and globally (4000 character limit). 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.

List those relevant individuals, groups or organisations (i.e. researchers from outside research discipline, companies, public sector orgs. etc) that are likely to be interested in or benefit from the proposed research. It should be noted whether the research is likely to lead to patentable or otherwise commercially exploitable results.

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

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

2.7 Edit Staff Duties

Summarise the duties of the staff members that will be involved in your project. 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).

2.8 Impact Summary

Please address the following three 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 they have the opportunity to benefit from this research? Please detail how the proposed research project will be managed to engage users and

beneficiaries and increase the likelihood of impacts.

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.

2.9 Edit Ethical Information

This section must be comprehensively addressed (4000 character limit). The ESRC's Research Ethics Framework contains a full explanation of the ESRC's approach, with guidance for applicants, and is available at:

http://www.esrcsocietytoday.ac.uk/research_ethics/

2.10 Edit 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.

2.11 Edit Related Proposals

If your application under this scheme is related to any proposals previously submitted to the ESRC including resubmissions (i.e. it is similar in its aims, objectives and methods to an application previously submitted to the ESRC by any member of the team of Investigators), you must detail the appropriate related proposal and its relationship here. Select 'Edit Related Proposals', then 'Add New Related Proposal Item' before entering the details of any related proposals. Resubmissions must be accompanied by a covering letter (as an 'other' attachment) briefly explaining the reason for resubmission and the changes made to the proposal.

This section should also detail the reference numbers of any support sought from the ESRC in the past five years.

2.12 Edit Staff

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

2.13 Edit Resources

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

T&S- add each item of Travel and Subsistence required for your project. You should indicate the calculations upon which this figure is based in the 'Destination and Purpose' box.

Equipment- enter any items of equipment (including surveys) costing over £3000 in this section. Costs in excess of £50,000 will automatically be captured under the 'Exceptions' heading in the resources summary table and paid at 100% FEC.

Costs in excess of £100,000 will require three equipment supplier quotes to be attached (this is optional for equipment items which cost between £25,000 and £100,000).

Other Directly Incurred Costs- including **specified** consumables, publication costs, consultancy fees, equipment costing less than £3000, recruitment and advertising costs.

Other Directly Allocated Costs- including support staff salaries, a share of the costs of departmental support staff and the costs of access to major research facilities.

For more details please see the appropriate Je-S help text:

<http://192.171.198.243/JesHandBook/jesHelp.aspx?m=s&s=109>

2.14 **Edit Estates and Indirect Costs**

Estate and Indirect Costs are specific to each Research Organisation and do not require justification in your Case for Support.

Research Organisations that have implemented the TRAC costing methodology and have passed the Quality Assurance (QA) process should apply their own estate and indirect costs. Non Research Organisation's 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.

2.15 **Edit Project Partners**

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

2.16 **Edit 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.

2.17 **Edit Data Collection**

Please refer to the full statement of ESRC's datasets policy and datasets deposition requirements in the Research Funding Guide:

<http://www.esrcsocietytoday.ac.uk/ESRCInfoCentre/opportunities/research%5Ffunding/>

2.18(i) **Edit Reviewers (Standard Proposals only)**

Nominate two academic and two non-academic/user reviewers. These people must not be from the same Research Organisation as any of the Investigators on the project (unless the latter are new to their academic career) and should not represent potential conflicts of interest. **Agreement should be sought from nominated reviewers before their details are submitted.** We may contact one of each 'type' of reviewer to assist in the peer review of your proposal.

2.19 Edit Attachments

'Case for Support', 'Justification', 'Impact Plan' and 'C.V.', are the standard mandatory Je-S attachments. 'List of Publications', 'Letter of Support', 'Cover Letter', 'Other' are optional.

2.19.1 Case for Support (Standard Proposals) – Maximum of 6 sides of A4

This is the body of your research proposal. It must not exceed 6 pages for proposals under £1mil and 12 pages for proposals over £1mil 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. 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.

If the research involves data collection or acquisition you must demonstrate that you have carried out a datasets review, and explicitly state why currently available datasets are inadequate for the proposed research.

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.

2.19.2 Justification of Resources – Maximum of 2 sides of A4

A no more than 2 side A4 statement justifying the resources required to undertake the research project. Where you do not provide explanation for an item that requires justification, it will be cut from any grant made. Please refer to appropriate JeS helptext for further details.

2.19.3 Impact Plan – Maximum of 2 sides of A4

The Impact Plan is your opportunity to describe how the potential impacts of this research will be realised. The Plan is specific to users and beneficiaries of the research who are outside of the academic research community, for example the public sector, commercial private sector, third sector or the wider public in general.

In describing plans to maximise impact, applicants should consider what is achievable and expected for research of this nature. If your work is oriented towards academic

beneficiaries only, then you should state that an Impact Plan is "not applicable" and briefly set out the reasoning behind this. Where this is the case, applicants should note that while ESRC recognises the value of this type of research, reviewers may comment on the applicant's assessment during consideration of the application. 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 award), medium term (up to one year afterwards), and the long-term. A statement about ESRC's expectations of the research it funds is at www.esrcsocietytoday.ac.uk/esrcexpectations

Please detail how the proposed research project will be managed to engage users and beneficiaries and increase the likelihood of impacts. When completing the attachment, please consider and address the following if appropriate to research of this nature; methods for communications and engagement, collaboration and exploitation in the most effective and appropriate manner. Also detail your track record in this area and the costs of these activities.

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

2.19.4 C.V. – Maximum of two sides of A4 (each)

A C.V. 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.

2.19.5 List of Publications

The bibliography for references cited in the proposal should be attached.

2.19.6 Cover Letter/letter of support - Maximum of 1 side of A4

If this proposal is a resubmission to the ESRC, the appropriate cover letter[s] must be included.

2.19.8 Other attachments

A maximum of two sides of A4 can be used to give information and justification for each 'project student' applied for, within the research proposal.

2.20 Additional document actions

After all expected sections have been completed, you can select **Validate document** which will indicate (below the Je-S document menu) any missing mandatory or incomplete sections that need to be addressed.

Once the proposal has been successfully validated, select **Submit document** from Document Menu. This action submits the 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 4pm on the **11th of March 2010** .

3. **Commissioning Timetable**

27.11.09 - Call for proposals issued
11.03.10 - Deadline for submitting proposals - 4pm
14.05.10 - Commissioning Panel meeting
01.07.10 - Decisions to applicants

4. **Tracking proposal**

Once you have selected **Submit document** the proposal will be processed through your internal organisation's approver/submitter pool.

To enable you to determine when your proposal has been formally submitted to council via Je-S (and therefore whether a call deadline was met) this can be tracked through the 'View Submission Path' and 'Document History' links in the Document Menu of your proposal, via the Management section on the right hand side of the screen.

5. **Further Enquiries**

Enquiries relating to ESRC research funding rules and application procedures should be addressed to: Ian Devine – Ian.Devine@esrc.ac.uk or Ali Noble – Alison.Noble@esrc.ac.uk .

Enquiries relating to technical aspects of the Je-S form should be addressed to:
JeSHelp@rcuk.ac.uk
01793 444164