

**ESRC-DFID Joint Scheme for Research on International Development
(Poverty Alleviation)**

**Phase 2
Specification of first call for applications**

Deadline for applications: 16:00 UK time on 24th September 2009

1. Strategic aim of the scheme and summary of funding opportunity

- 1.1 The Department for International Development (DFID) and the Economic and Social Research Council (ESRC) have agreed to continue their strategic partnership to provide a joint funding scheme for international development research. The purpose of the scheme is to provide a more robust conceptual and empirical basis for development and to enhance the quality and impact of social science research which contributes to the achievement of the Millennium Development Goals (MDGs¹). The scheme will fund world class scientific research on issues relating to economic, social and political development in less developed countries with the potential for impact on policy and practice for poverty reduction. Applications to the scheme may be for basic or more applied research topics. It is important that all research funded demonstrates effective demand from, and practical relevance to decision makers and practitioners in the field.
- 1.2 This second phase of the joint scheme has a total budget of £23 million and will consist of three annual calls for proposals. **We anticipate spending £7m on this first call of the second phase, but will consider allocating additional funds if there are sufficient proposals of exceptional quality to warrant extending the budget.**
- 1.3 **Applications are invited for projects with a FEC value of between £100,000 and £500,000** (Full Economic Cost – see sections 3.2 to 3.4 below for explanation of FEC). Applications over £500,000 will not be accepted under this call.

2. Scope of Scheme

World Class Research

- 2.1 The second phase of funding for the joint scheme retains the overall ‘poverty alleviation’ theme from the first phase, and applications under this broad heading are welcome. However, ESRC and DFID have identified three thematic areas for this call where work will be of particular interest. These areas are:
- Security, Conflict and Development;
 - Economic Crisis, Poverty and Growth: the Implications for Development Theory and Practice;

¹ More information on the MDGs can be found at www.dfid.gov.uk/Global-Issues/Millennium-Development-Goals

- Cities and Development

Detailed information on each of the thematic highlights identified for this call can be found at section 2.9 below.

- 2.2 Proposals addressing the interaction between these questions/areas will be welcomed, as will applications which challenge existing policy or practice assumptions.
- 2.3 Applicants should check that their intended project does not duplicate one of those already funded in previous calls. A full list of the successful awards is available on the ESRC website. Please see:
<http://www.esrc.ac.uk/ESRCInfoCentre/opportunities/international/esrcdfid/46awards.aspx>
- 2.4 The scheme provides an opportunity for the international academic community to construct the **most appropriate** and **innovative** research to provide a more robust evidence-base for decision-making. The imperative is to combine the best social science research with a clear exposition of its eventual relevance to, and potential impact on, both international and national efforts to alleviate poverty.²
- 2.5 Applications are sought from across the social sciences. Recognising that poverty is a multi-dimensional problem, multi- or inter-disciplinary research projects are encouraged, although this is not a pre-requisite for funding. The aim is to bring the best social science, and where relevant other scientific disciplines, to bear on the issue of poverty alleviation.
- 2.6 Where proposals draw from the wider sciences, the social sciences should represent more than 50% of the research focus and effort. Interpretation of this limit is not prescribed, but a test of ‘reasonableness’ will be exercised through peer review. The overall contribution of the social sciences, in terms of the deployment of social science theory, concepts and methodologies, will provide the basis for the ‘reasonableness’ test. The aim is to avoid artificial boundaries that inhibit research within and across disciplines. If applicants have any concerns or doubts they should consult the scheme secretariat in the Project Office (see below).
- 2.7 Generic research challenges that may be addressed include but are not limited to:
 - understanding and creating the socio-economic conditions that are necessary to facilitate the alleviation of poverty;
 - new theoretical and conceptual thinking about the nature of development
 - new theoretical and conceptual thinking about the conditions under which development and poverty alleviation can be delivered;
 - methodological challenges posed by international comparative work in different social, economic and cultural settings;
 - paucity of datasets, especially micro-level or longitudinal data.

² Projects may have the potential to shed light on the context and conditions for research uptake across different settings.

- 2.8 The scheme will NOT fund contract research or consultancy work where the results and physical outputs are to some extent already pre-defined and known.

Thematic Highlights

- 2.9 The following section is a guide to applicants on the context of the three thematic highlights and provides examples, but not an exclusive list, of the sorts of work that the Scheme would be looking to fund under this call.

2.9.1 Security, Conflict and Development

There is now consensus that violent conflict and insecurity constitute a fundamental challenge to development. Poverty is highly concentrated in conflict-affected and fragile states: 60% of children dying before their fifth birthday, and a third of the people without sustainable access to clean water, live in these environments. In 2005, of the 34 countries furthest from reaching the MDGs, 22 were in the midst of, or recently emerging from, conflict.

Equally, it is now understood that development is almost always, if not inherently, a conflictual process: the challenge is to manage development in such a way as to avoid it ‘tipping’ into *violent* conflict. At the same time, for many governments the development agenda is increasingly located within a wider security framework, concerned with counter-terrorism, and management of migration and illicit trade.

Behind this apparent consensus remain a number of important questions about the nature of conflict and security, and their relationship to development. These relate to:

- The *definition and analysis* of conflict and its causation. Challenges here range from the lack of consistent definition of conflict (and thus data), through to the wide range of frameworks that aim to understand the causation and dynamics of conflict. The lack of consistent definition and explanatory frameworks relating to conflict affect *how the relationships between development, security and conflict are understood*, and the nature of development ‘solutions’ proposed. What are the assumptions underlying the development-conflict-security interface? How do they affect the design of development *policy and practice*?
- The principle of development actors working in support of conflict reduction goals is now well understood. Less well documented is what works (and what doesn’t), at regional, national and local levels. What are the *factors that make for effective developmental interventions* in conflict affected environments?
- What are the social institutions, cultural norms and perceptions which assist in peaceful settlement of conflicts of interests, and/or provide for potential alternative security frameworks? How can these best be supported? Conversely, what are the social institutions, cultural norms and perceptions which tend to drive people towards violence as a means of addressing such conflicts?
- As the development community builds up its interest and expertise in working across the development-conflict-security interface, it will be increasingly important to understand the *framework for accountability* of such

measures. What criteria can be used to measure success of such interventions? What is the mandate and legitimacy of international aid organisations to engage in conflict reduction and management? And to whom are they accountable?

- How can we better understand the interfaces and inter-relationships between the development and security communities, including the military and private contractors?

2.9.2 **Economic Crisis, Poverty and Growth: the implications for development theory and practice.**

The world is in the midst of a global slowdown in economic activity, prompted by the financial crisis of 2008. This financial crisis came on the back of food and fuel price shocks and in the context of climate change which is likely to increase vulnerability more broadly. The impacts on the real economies of both developed and developing countries are now being felt as the tightening of credit, pressures on public spending, volatile exchange rates and lower demand for exports cause manufacturing job losses, falling remittances and commodity prices changes. The exact dimensions of the crisis are not yet known and its development impact will be highly country-specific, depending on such factors as: a country's exposure to the contracting financial sector; its dependence on external sources of private finance and official capital flows (e.g. Official Development Assistance, ODA); the nature and extent of its connection to the world economy; and the state of its economy entering the crisis. Nonetheless, overall financial flows to developing countries are expected to fall significantly, probably by more than 25%, and it is clear that the current crisis threatens progress made towards the MDGs and the development plans of most poor countries. With lower growth than expected in 2008 and worse prospects for 2009 and 2010 we might see some 90 million more people than expected living in extreme poverty each year after 2010 as a result of the crisis.

The crisis requires the research community to revisit existing hypotheses and explanations and to identify interventions and policy options to maintain progress towards development and meeting the MDGs. The crisis raises a number of important intellectual and policy challenges. These include:

- What can we know and how can we accurately map the impact of the crisis:
 - internationally – such as on aid flows and international institutions;
 - nationally – on public spending choices and direct support programmes for the poor;
 - and locally – in terms of poverty impacts amongst diverse groups of people?
- How sensitive to the *level* of uncertainty are the policy and investment decisions of development actors? How do development actors treat risk and uncertainty in their decision making processes?
- How far does existing theory help us deal with global events on such a scale and do established models of development need re-working?
- How can the current crisis be interpreted with regard to economic, social and political resilience? How can resilience be built in the context of multiple sources of change?

- The multiple dimensions of the crisis suggest that volatility is increasing. What, in this context, are the appropriate policy responses?
- To what extent has globalisation connected the very poor with each other and to the wider world? What are the challenges and opportunities this presents?
- Has the crisis in the global economy connected or disconnected the very poor and their own governments?
- What do we need by way of international institutional architecture for the crisis and the future?

2.9.3 Cities and development

In 2007 a milestone was passed: half the world's population was living in urban areas. A third of urban dwellers live in slums. By 2030, 5 billion people will live in cities out of a total population of 8 billion. While the absolute number of urban dwellers, and of slum dwellers, is highest in Asia, the rate of urbanisation is now fastest in Africa. Historically, cities and towns have been the engines of growth, modernisation and of state-building. This remains the case in the developing world: urbanised countries tend to have higher incomes and economic growth, and there is a close correlation between urbanisation and national incomes.

However, this brings both challenges and opportunities. All too often the potential of urbanisation for poverty reduction, job creation, and social and political transformation isn't recognised, and cities can face a range of challenges to which innovative research and new thinking is urgently required. There is a broad, challenging and multi-disciplinary agenda around urbanisation which merits further attention. This includes the following intellectual and policy challenges:

- What is the political economy that underlies the governance and the politics of planning for and managing urbanisation and urban growth? How do common elite notions of slum dwellers as 'undeserving poor' affect this? What is the impact of perceptions by ruling regimes that urban dwellers represent a potential political threat, and that urban governments might be politically troublesome if allocated significant resources?
- What scale is likely to be the most effective for decision making in urban contexts?
- How can we better understand what sort of cities and towns support positive social and political change – and for whom and how? How can this be supported by planning and planning regulation processes.
- How can we better understand the role of towns and cities as an integral part of state-building and inclusive politics? What do we know about cities and towns as drivers of political as well as social change – and how this impacts on progress towards stable states and the relationship between urbanisation and change in fragile states?
- What is the evidence for the contribution of the urban poor/slum dwellers to urban and national economies?
- How can the potential of towns and cities as drivers of economic growth be realised and the constraints faced such as pressure on infrastructure and

social services, rising inequality, social exclusion, skills, planning regulations, slums, and at worst violence and crime etc, be overcome?

- How can a safe and predictable climate for business in both the formal and informal sectors be provided in urban environments?
- How can we better understand the social processes and political economy of violence often structured around different ethnic and/or religious divisions within towns and cities, particularly in countries which are emerging from violent conflict? Are there any links between rural-urban migration and urbanisation and violent extremism?
- What is the relationship between urbanisation, urban poverty, exclusion and the youth bulge? How can the potential of urban youth be harnessed for positive development? How can we address the challenges of urban youth and gang violence?
- What are the factors that undermine the security of the poor and the security of women and how can these be addressed? It is often in towns and cities where people form new associations, get involved in politics and where women's rights to take up economic and political opportunities are realised – how can this be better supported?
- How can we better understand the environmental challenges including mitigation and adaptation to climate change, water availability, pollution from industrialisation and human waste faced in towns and cities?
- How to overcome the longstanding view in many contexts that 'rural' and 'urban' are two distinct types of place that are in competition for resources, in favour of a more integrated approach that supports the linkages and interdependencies along the rural-urban continuum?
- How does the growth of cities help or hinder poverty alleviation for those remaining in the rural areas (eg. potentially positively via remittances or potentially negatively by undue capture of such public expenditure as may be available)?

Research Capacity

2.10 Both the ESRC and DFID recognise three key aspects of capacity development: (i) building the research capacity of individuals; (ii) building organisational capacity (e.g. management, financial, communications); and (iii) institutional capacity building (e.g. the incentive structures, the political and regulatory context and the resource base in which research is undertaken and used by policy makers). Capacity to undertake research depends on a combination of human capacity, the availability of research resources (including data) and on infrastructural capacity. Both DFID and ESRC fund capacity building through other mechanisms.

2.11 DFID and ESRC are not seeking through this scheme to fund capacity-building *per se*. However, capacity may be built *through* the research process. Both sponsors recognise the importance of capacity building and, in cases where the intellectual agenda would be furthered through capacity-related activities, the sponsors will accept some issues of research capacity to be addressed explicitly within research proposals, subject to specific conditions highlighted in the following sections.

- 2.12 Any inclusion of capacity-related issues should be addressed in the context of the intellectual agenda of the research proposal. **Capacity building elements** (including people such as students or fellows, or research resources such as datasets and new methodologies) **should be sub-ordinate to the main intellectual focus of the research project.** The objective is to ensure that there is sufficient flexibility in the scheme rules to allow the full range of issues to be addressed that underpin the intellectual challenge of the project.
- 2.13 This scheme does **not** provide support for standalone doctoral students. Doctoral students may only be included in research applications from established and qualified research teams, and they must be registered for their degree at a UK University recognised by ESRC for PhD training. For details please see <http://www.esrcsocietytoday.ac.uk/ESRCInfoCentre/opportunities/postgraduate/eligibleoutlets/>. Any support for standalone doctoral research should be sought from alternative sources. The research conducted by a doctoral student must represent a discrete piece of work which is clearly of a standard to be submitted as a doctoral thesis, but the synergy and added value with the main research project also needs to be demonstrated. Applicants who are considering including a doctoral studentship in their proposed research project must refer to the document **'How to include a doctoral student on a project'** on the Scheme call web page.
- 2.14 Doctoral students from any country may be included in project applications as long as they are registered for their degree at a UK University recognised by ESRC for PhD training. Overseas institutions may contribute to the supervision of a PhD student included on a proposal, provided they can demonstrate an appropriate research environment and infrastructure for doctoral work and robust supervisory provision. The student may spend a reasonable period (but not normally more than half) of their studentship at the overseas institution. It is the responsibility of the UK Research Organisation to ensure that the student is receiving appropriate standards of supervision and training during any time spent overseas, and that the PhD thesis is submitted on time.

International Dimension and Partnership/Collaboration relationships

- 2.15 By definition this scheme is concerned with international cooperation to address issues of global importance. Underpinning the scheme and all projects funded through it, must be a strong research ethic based on mutual respect and understanding for different cultural, ethnic, social and economic beliefs and practices. Solutions to poverty must be rooted in, and acceptable to, the institutions, communities and societies where they will operate.
- 2.16 The geographical focus for research projects should be determined by their relevance to the main aim of this scheme, namely research that supports the alleviation of poverty amongst the poorest countries and peoples of the world. For the purposes of the scheme there is no prescribed list of what constitutes the 'poorest countries and peoples'. Rather, the intent is to provide researchers with the flexibility to undertake any form of empirical, comparative or theoretical work that will yield insights into what works or does not work in terms of poverty alleviation and development. This may involve research on the poorest sections of society in middle income countries where there are high levels of

income inequality. It is essential that the choice of research questions and the geographical focus are intellectually coherent and methodologically sound, especially where cross-cultural comparative work is proposed.

- 2.17 Formal partnerships and collaborators in the research process are not a prerequisite for support under the scheme. Sole applicants are acceptable and may be based in any country (subject to eligibility requirements explained in section 4 below). The intellectual challenge should be the determining factor when configuring appropriate partnerships and collaborations. For those that wish to, the scheme enables academics from developing and developed countries to work together in any configuration of their choosing. The commissioning panel will assess the proportionality and balance of the roles and responsibilities of the partners and collaborators.
- 2.18 The sponsors also expect non-academic stakeholders, including potential end users and intermediary organisations with a mandate to communicate research, to be included and involved in research projects. There is recognition that the exploitation of new knowledge does not just occur at the end of a research project, but rather is embedded throughout the research process itself. However, the sponsors recognise that the role of non-academics will be different from that of fellow academic colleagues, and therefore, the involvement should be appropriate to the nature of the project. The commissioning panel will take account of an appropriate context for the involvement of non-academic stakeholders in the research process.

Impact Plan

- 2.19 The ESRC and DFID expect that the researchers they fund under the joint scheme will have identified the potential impacts of their research on policy and practice, and will actively consider how these can be maximised and developed. Impact is usually best achieved when research questions are directed to a clear target audience. This emphasis on research impact will be reflected within the assessment process. Opportunities for making an impact may arise, and should be taken, at any stage during or after the life-course of the research.
- 2.20 To this end all applicants are required to include an **Impact Plan** which addresses the following three questions:
- Who will benefit from this research?
 - How will they benefit from this research?
 - What will be done to ensure that they have the opportunity to benefit from this research?
- 2.21 Researchers are strongly encouraged to be innovative in the kinds of engagement, communications and research uptake activities they define within their Impact Plan.
- 2.22 It is recommended that a minimum of 10% of the overall budget should be dedicated to delivering the activities outlined in the Impact Plan.

- 2.23 In addition to the Impact Plan developed by individual projects, it should also be noted that the two funding agencies may unilaterally or jointly wish to sponsor additional outreach activities involving one or more projects in order to increase the impact of their research outcomes. All grant holders will be expected to cooperate with the sponsors in such activities, and will also be expected to represent the scheme and their project through involvement, where appropriate, in third-party events. All grant holders will be expected to update information about their outputs on the ESRC Society Today online database, and previous ESRC grant holders are encouraged to maintain their output record from previous grants. All grant holders will be asked to provide information on their projects to DFID's Research Portal www.research4development.info (R4D) and to comply with both ESRC and DFID's commitment to open access.³

Assessment Criteria

- 2.24 Peer reviewers and the assessment panel will consider whether applications are of world-class standard (being intellectually innovative, well-focused and methodologically-sound) and that the research has the potential to have a real impact on poverty reduction and will contribute to achievement of the MDGs. They will be asked to comment on the following criteria in assessing proposals. Applicants are therefore advised to consider all these criteria in preparing their applications:

i) Research agenda

- the significance of the question the research is designed to answer.
- world class research design that shows specificity, clarity and coherence between research questions, research methods and anticipated intellectual outcomes;
- clear and rigorous articulation of appropriate research methods and data analysis regime;
- gender analysis and use of disaggregated data where relevant across a range of variables including gender, ethnicity, age and spatial geography.
- clarity as to how, and by whom, the research findings will be used. (e.g. in terms of conceptual understanding, theoretical or methodological development, application of research-based knowledge to policy or practice and/or development of inter-disciplinary approaches etc).

ii) Project Management

- are the project management plans and configuration of roles and responsibilities reasonable, appropriate and credible for the given project?
- do the credentials of the investigators and host institutions appear appropriate to deliver the project?
- are the resources requested reasonable to deliver the project?

iii) Capacity building

- does the project include appropriate training and development opportunities for research staff in lead and partner organisations both in the UK and overseas and/or development of skills and capacity in local communities?;

³ Please see Section Six of the ESRC's Research Funding Guide for details of the ESRC's policy on the Communication and Exploitation of Research Results. The Research Funding Guide can be accessed at: http://www.esrcsocietytoday.ac.uk/ESRCInfoCentre/opportunities/research_funding/

- **where an application includes a project linked doctoral student** does the application:
 - ◆ demonstrate sufficient evidence of an appropriate research environment and infrastructure for doctoral work?;
 - ◆ are the arrangements for the supervision of students adequate and appropriate (including the suitability of the proposed doctoral supervisor(s)?;
 - ◆ is the research conducted by a doctoral student a discrete piece of work which is clearly of a standard to be submitted as a doctoral thesis, but that will also produce synergy and added value to the main research project?

iv) Impact Plan, Stakeholder Engagement, and Outputs

- does the project have real potential for impact on poverty reduction?
- has the applicant defined a credible, feasible and appropriate impact plan?
- is there effective demand for the research from policy makers and other stakeholders beyond the academic community?
- is the analysis of who the stakeholders/potential end users of research outputs are and the processes and means for engaging with them appropriate, at all stages of the research process?
- does the impact plan present a set of clear, well-funded activities for genuine collaboration with a variety of stakeholders throughout the life of the project?
- are their clear plans to make findings available to target audiences and to maximise research uptake?

v) Value for money

- are the finances sought justifiable and reasonable?
- are the time commitments of all research participants appropriate?
- an overall assessment of the likely value for money for the sum sought

vi) Research Partnerships

- What is the nature of any proposed partnership or collaboration?
- Are the benefits derived from partnerships reciprocal and proportionately distributed?
- Are the roles and responsibilities of partners and collaborators proportionate and balanced?

3. What can applicants apply for?

3.1 **Applications are invited for projects with a FEC value of between £100,000 and £500,000** (see sections 3.2 to 3.4 below for explanation of FEC). Proposals received under this call will be peer reviewed in a two stage process. The initial assessment will be by expert members of a Peer Review Pool, from which the 50 highest graded applications will be identified for assessment and decision by a Commissioning Assessment Panel. Funding decisions will be communicated to applicants by the end of February 2010.

3.2 The budget limits on grant applications under this scheme refer to the total cost of the project – known as **full economic costs (FEC)**. For UK applicants FEC costs are not the actual cash contribution paid by the ESRC. The actual cash

contribution the 'ESRC contribution', and under standard cases will normally be 80% of FEC. Funding arrangements for non-UK institutions are set out in section 3.3 below. If applicants or their host organisations have any doubts about the costing basis of their applications they should contact the Scheme Secretariat.

- 3.3 **For non-UK institutions**, in response to concerns about the effect of the '80% rule' on developing country partners, the scheme will support in full (100%) of all the direct costs of the research. In addition, indirect costs may be charged on staff salary and other staff related costs (ie. statutory contributions analogous to UK National Insurance or Superannuation contributions). Indirect costs may **not** be charged on non-staff related direct costs, e.g. equipment, travel and subsistence, consultancies, conferences etc. The following rates for indirect costs should be applied: for applicants from developing countries, the overhead rate is 50%; for applicants from developed countries, the overhead rate is 20%. A list of developing countries for the purpose of this costing regime is available on the call website. ESRC will ask for adequate evidence of the costing basis for all direct and indirect costs if an applicant is recommended for a grant and budgets may be reduced if considered excessive. Further information is provided in the document '**Costings Guidance for Overseas Institutions and Non-UK Partners**'. Applications from an overseas institution or which include any non-UK partners must refer to this document before completing the JES application form.
- 3.4 Further details on FEC are available on the ESRC website and will also be accessible in the guidance notes for completing application forms. In addition, all applicants are also advised to consult their institutional finance officers. It should be noted that in the first call there were concerns about the lack of justification included for many cost items. Applicants and their institutions should follow the latest advice and be very clear on the extent and purpose of each budget line.
- 3.5 The duration of grants should range from a minimum one year up to a maximum three years, though applicants should note the specific rules for duration of projects involving doctoral students.

4. Eligibility to apply to the scheme

Principal Investigators and Co-Investigators

- 4.1 The scheme is open to researchers based in recognised higher education institutions, research organisations or organisations with a credible research capacity (see sections 4.7 to 4.12 below for details about recognised organisations and the need to obtain recognition before grants will be given). Researchers may be based in either UK or non-UK organisations with demonstrable research capacity.
- 4.2 All grants will be made to the institution hosting the principal investigator, and that institution will be subject to standard terms and conditions for ESRC awards, including with regard to the disbursement of funds to co-investigators at other institutions, and with additional scheme reporting requirements.

- 4.3 **IMPORTANT NOTE:** In addition to a formal recognition process explained in paragraph 4.7 to 4.12 below, all applicants and their host organisation must be registered to use the Research Councils Joint Electronic Submission (Je-S) system, which is the system to be used to receive and process all applications under this call. Section 5 on HOW TO APPLY contains separate information and guidance on this registration process, and all applicants who think they might wish to make an application are strongly advised to read Section 5 carefully. **ALL APPLICANTS AND CO-APPLICANTS MUST BE REGISTERED TO USE THE JE-S SYSTEM.**

Other Collaborators and Consultants

- 4.4 In addition to principal and co- investigators, it is possible to name other specific collaborators and consultants in the application, for instance public, private or NGO sector experts who could provide invaluable stakeholder inputs and advice to the project. These need to be properly and fully costed.

Studentships and Visiting Fellowships

- 4.5 Doctoral students may be included on applications provided the research project will be of three-year duration. Whilst this scheme will allow doctoral students from any country (see also paragraphs 2.13 and 2.14 above), support for students will be governed by the standard ESRC rules as explained in the *Guide for Postgraduate Award-holders*. Unnamed students may be included in the application, provided the specific topic and locations of students are specified, and there is a rational and specific contribution of the student to the research agenda. ESRC should be informed of subsequent filling of doctoral student posts using the standard quota nomination form to enable checks to be undertaken to ensure compliance with basic eligibility criteria. It should be borne in mind that institutional and supervisory support for students will likely continue beyond the funding period, for instance to allow for the writing-up period, thesis submission date and final completion date. Applicants who are considering including a doctoral studentship in their proposed research project must refer to the document **'How to include a doctoral student on a project'** on the Scheme call web page.
- 4.6 Visiting Fellowships, both professorial and lecturer/researcher level may be included in a research project. In this case the proposed Fellow working on the grant should be known and named on the application. A coherent rationale for their role and contribution to the project must be included in the application.

Recognised Research institutions

- 4.7 **Je-S registration** is the process that all principal investigators and co-investigators should complete in order to submit an application to the scheme. This process has been simplified for this scheme to focus primarily on confirming that an applicant is from an authentic entity with a capacity to undertake research. **For further information on how to apply for Je-S registration, see section 5, 'How to Apply'.**

- 4.8 However, certain minimum eligibility checks will be applied to all applications on receipt at ESRC in order to minimise the burden on peer reviewers. Peer reviewers will also be asked to comment on the credibility of the host institution. Any person who intends to apply but is unsure whether their institution will be eligible for recognition should consult with the Scheme Secretariat before proceeding in order to minimise the risk of wasted effort.
- 4.9 **Research Council recognition** of institutions eligible to hold grants is a longer and more involved process that will be undertaken once a proposal has been recommended for funding. This must be completed before an award can be issued to the award-holder's institution. The following sections 4.10 to 4.12 outline this process.
- 4.10 All grants will be awarded to the institution of the principal investigator (PI), and this institution will be responsible for the proper disbursement and accountability of all monies received. In order to be eligible to hold ESRC grants, all institutions must be recognised as meeting specific criteria relating to mandate, research infrastructure, governance and accountability. Most UK higher education institutions and some other independent UK research organisations are already **recognised institutions**, and hence eligible to apply for, and hold, Research Council grants.
- 4.11 Most overseas institutions and some UK organisations will not be recognised to hold UK Research Council grants. Any researcher from such an institution applying under this scheme, either as a principal applicant or co-applicant, should note that their institution will have to obtain recognition from the ESRC before any grant can be confirmed. In order to minimise administrative burdens and costs to both applicants and ESRC staff, formal recognition will only be pursued should the Selection Panel make a positive funding decision.
- 4.12 Further details of the recognition process are available from the secretariat but in broad terms it covers:
- Research infrastructure, intellectual capacity and critical mass of researchers to undertake high-quality social science research;
 - institutional governance and accountability structures;
 - audit and accountability procedures;
 - sources of core funding and other funding.

5. How To Apply and Decision-making Process

Generic Background on Deadlines and Submitting Applications

- 5.1 All applications must be submitted in English costed in pounds sterling (£) and made on the official ESRC application form using the Research Councils Joint Electronic Submission (Je-S) system.
Application forms will be available on the Je-S system (accessed via <http://www.esrcsocietytoday.ac.uk/ESRCInfoCentre/opportunities/ElectronicForms/index.aspx?> and a link provided from the DFID website). The application has two elements: an on-line form comprising a number of

structured boxes for key information, a free text section called ‘Case for Support’, to be completed offline and uploaded as an attachment to the online form along with a series of mandatory attachments. The application form will include generic guidance on the completion of the structured boxes and sections of the form. Full guidance on how to complete a JES application form for this Scheme is available in the document ‘**Guidance for Application Process**’ available on the Scheme call web page. Generic guidance is also available from the Je-S Help screens.

- 5.2 The Case for Support contains the substance of the research application and it is essential that a coherent exposition of the proposed project is presented addressing the intellectual and academic case, potential for impact on the poverty reduction agenda, any collaboration or partnership configuration, an appropriate management plan and justification for all costs. You must indicate both in your case for support and in the ‘Summary’ section of the form if your proposal relates to one of the three research highlight notices for this call – ‘Economic Crisis, Poverty and Growth’; ‘Security, Conflict and Development’; or ‘Cities and Development’.
- 5.3 In order to use the Je-S system **all applicants and their host organisation** need to be registered on the system. Registration of both the applicant’s organisation and their own details must be completed before the application can be formally submitted to the ESRC. **Hence, all applicants are advised to check whether their organisation has been registered to use the UK Research Councils’ Je-S system, and if not they should make immediate enquiries to the Je-S Helpdesk indicating their intention to apply for the ESRC-DFID scheme. The Je-S Helpdesk may be contacted by e-mail: Je-SHelp@rcuk.ac.uk or telephone +44 (0)1793 44 4164 and is staffed Monday to Friday 9am – 5pm UK time (excluding Public and other holidays).** Applicants will need to provide full address details of their organisation together with contact details (name, telephone number and e-mail address) of a senior person within their organisation who will be responsible for authorising the formal submission of the application, such as a Vice Chancellor, Director of Resources, Finance Director, or Head of Department.
- 5.4 The deadline for all research applications to this call is **16:00 hours, local British time on Thursday, 24th September 2009.**
- 5.5 Applications can only be accepted by electronic submission in the manner indicated on the form and accompanying guidance notes, and it must be clear and unambiguous that the submission took place prior to the deadline. Electronic acknowledgements will be sent to the principal investigator and submitting organisation. Please note that an application will be submitted through the dispatcher facility at the host institution. In other words, there is a further layer of administration between the academic submitting the application and it being received by the ESRC, via Je-S. This layer of administration is at the applicants host institution and the ESRC cannot accept responsibility for any delays which may occur as a consequence. We strongly advise applicants to secure confirmation from their relevant administrator that the application has been submitted successfully to the ESRC.

- 5.6 All elements of the application form must be properly completed. Specific care should also be taken with the Full Economic Costing (FEC) regime which will be the basis for any grant given to successful applications. Guidance on FEC is available on the ESRC website. For non-UK institutions and UK institutions not affected by FEC, it is expected that they will be able to comply with full and transparent costing for budget elements (see section 3). Please note, all costings should be in pounds sterling (£).
- 5.7 Proposals received under this call will be peer reviewed in a two stage process: the initial assessment will be by expert members of a Peer Review Pool, from which the 50 highest graded applications will be identified for assessment and decision by a Commissioning Assessment Panel. Funding decisions will be communicated to applicants by the end of February 2010., with start dates for awards from 1 April 2010 onwards. Please allow more time if your institution will require completion of formal eligibility prior to issuing the grant (see section 4.8-4.12 above).
- 5.8 The Case for Support is the substance of your proposal and is mandatory. It should not exceed 6 A4 sides, plus up to a further 6 A4 sides for various annexes and supporting documents such as bibliographic materials, glossaries of technical terms, charts, diagrams and tables. In addition, an Impact Plan of up to 2 sides of A4 must be included. CVs for each applicant and any named research staff (maximum of 2 A4 sides) should also be included. See the generic Je-S advice for ESRC Case for Support for further details, but please ensure that any guidance given in this call specification is also addressed.
- 5.9 Applicants are advised that they should pay attention to the environmental implications of their research. They should take reasonable steps to minimise or offset the carbon footprint of all travel supported by the Scheme. Where the project has control, documents, reports and paper outputs should be printed on paper made from sustainably managed forests and/or recycled paper.

6. Contact Details for Scheme Secretariat

- 6.1 The ESRC is responsible for implementation and administration of the joint ESRC-DFID scheme. Jointly funded by the two sponsoring agencies, a scheme secretariat has been established to develop and manage the scheme policies and procedures.
- 6.2 The scheme secretariat is based at ESRC, in Polaris House, Swindon, UK. All queries or comments about this Joint Scheme should be addressed in the first instance to the ESRC/DFID email address, DFID@esrc.ac.uk. Any enquiries may also be addressed to:

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