

Announcement of Opportunity

Part C: Applying for ESPA 2013 Grants; Full Proposals

Critical Deadlines:

Full proposals to be submitted via Je-S
by **16:00 (4pm) UK Local Time (GMT+1/UCT+1), 3rd April 2013**

Information about your application, including the personal information provided on the forms, will be processed and stored electronically by the ESPA Secretariat, Directorate and representatives of ESPA's Funders (NERC, ESRC and DFID). The Information contained in your application may be passed on to external reviewers in confidence. Reviewers will be asked to destroy information after the review and selection process is complete.

Your application and personal information will be stored by the ESPA programme for management purposes but will not be shared with other organisations outside the ESPA partnership. We will only use details provided in the application for correspondence about the call. In order to take advantage of all ESPA online services, including our partnerships service to link with other researchers and users of research, you will need to register to join the ESPA Global Forum on our website at: <http://www.espa.ac.uk/user/register>.

By submitting your application to the ESPA Programme you have indicated your acceptance of these data protection terms and conditions.



A research programme co-funded by DFID, NERC & ESRC and accredited by LWEC



Summary

The Ecosystem Services for Poverty Alleviation (ESPA) research programme is funded by the UK's Department for International Development (DFID), Natural Environment Research Council (NERC) and Economic and Social Research Council (ESRC). ESPA is an international programme funding cutting-edge interdisciplinary research generating new primary data and knowledge to enhance global understanding of how ecosystems function and provide services that contribute to human well-being, poverty alleviation and sustainable growth that benefits the poor.

ESPA was launched in 2007 and will run until 2017. The ESPA 2013 Grants call is for projects designed to fill identified gaps within the profile of funded research from past calls, as well as to build upon previously funding rounds. For information about funded ESPA projects please see: www.espa.ac.uk/projects).

The ESPA 2013 call has been designed to enhance the academic and development impact of the ESPA programme by filling significant gaps in the ESPA portfolio and, where possible, capturing emerging opportunities. The call provides an opportunity for the world's best researchers to add significant value to the ESPA programme by filling important research, knowledge and evidence gaps that have been identified.

This Announcement of Opportunity (AO) invites applications into one of three research themes from empirical, inter-/multi-disciplinary projects that are addressing a range of ecosystem services and associated benefits, and are linked to a multi-dimensional analysis of poverty and the ways that poor people can move out of poverty. It is a requirement of all ESPA-funded projects to deliver research excellence with impact.

Applications are invited for funding in the range of between £200,000 and £500,000 GBP Full Economic Cost (FEC). This call has been allocated a total available budget of up to £4million GBP, which may be revised subject to the discretion of the Programme Executive board (PEB). Projects will be funded for a maximum duration of between 24 and 30 months, with an expected start date between 1 September and 1 November 2013. Projects will only be eligible to delay their start from this date by up to 3 months. All other standard NERC guidelines will apply.

Projects will be selected through a two-stage process, firstly with submission of an outline bid proposal, after which a subset will be invited to submit full proposals.

**Full Proposals must be submitted via JeS
by 16:00 GMT+1 /UCT+1 on 3rd April 2013**

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Abbreviations

| | |
|------|--|
| AO | Announcement of Opportunity |
| Co-I | Co-Investigator |
| CV | Curriculum Vitae/Resume |
| DFID | Department for International Development |
| EIRG | Evidence and Impact Research Grant (ESPA) |
| ESPA | Ecosystem Services for Poverty Alleviation |
| ESRC | Economic and Social Research Council |
| FAQ | Frequently asked questions |
| FEC | Full Economic Cost |
| GBP | Great British Pound |
| GMT | Greenwich Mean Time |
| Je-S | Joint Electronic Submission |
| LWEC | Living with Environmental Change |
| NERC | Natural Environment Research Council |
| NGO | Non-Governmental Organisation |
| PEB | Programme Executive Board |
| PFG | Programme Framework Grant (ESPA) |
| PI | Principal Investigator |
| PPD | Partnership and Project Development Grant (ESPA) |
| PMG | Programme Management Group |
| RC | Research Council |
| RCUK | Research Councils UK |
| UTC | Coordinated Universal Time |

Change Log

In addition to the Change Log for this document, the ESPA Secretariat has published a Frequently Asked Questions (FAQ) document to support the call available at <http://www.nerc.ac.uk/research/programmes/espa/events/ao-2013.asp> or by emailing espa@nerc.ac.uk.

All potential applicants are strongly encouraged to [register](#) to receive the ESPA Directorate's mailing list and newsletter. Any important information relating to the call during the first stage of the proposal process will be publicised the Directorate's mailing list.

| Date | Section | Page | Detail |
|-----------|--|---------|--|
| 20/2/2013 | 3.5 Case for Support | 13 | Amendment to 3.5.1: "Any joint components should upload their individual Previous Track Record separately onto their respective Je-S form as attachment type 'Other'." |
| 20/2/2013 | 9.1.2 Summary of Requirements for Joint Applications | 26 | Included submission guidelines for individual components: "Previous Track Record (please submit as attachment type 'Other')" |
| 25/2/2013 | 9 Summary of Requirements | 25 & 26 | Included submission guidelines for the Ethics Assessment form "(please submit as 'Additional Document')" |

1 Call for ESPA 2013 Grants

1.1 Objective

- 1.1.1 This Announcement of Opportunity (AO) invites applications into one of three research themes from empirical, inter/multi-disciplinary projects that are addressing a range of ecosystem services and associated benefits, and are linked to a multi-dimensional analysis of poverty and the ways that poor people can move out of poverty. It is a requirement of all ESPA-funded projects to deliver research excellence with impact.
- 1.1.2 Projects funded under the ESPA 2013 will enhance the academic and development impact of the ESPA programme by filling significant gaps in the ESPA portfolio and, where possible, capturing emerging opportunities. The call provides an opportunity for the world's best researchers to add significant value to the ESPA programme by filling important research, knowledge and evidence gaps that have been identified.
- 1.1.3 **For full details of the scope and requirements of this call, please read Part A of this AO.**

1.2 Overview

- 1.2.1 This Call will fund a number of medium-sized projects (funding level of between £200K and £500K FEC) which have been designed specifically to add significant value to the ESPA programme by filling important research, knowledge and evidence gaps in the programme. £4 million will be available to fund projects in this call.

Applications to the ESPA 2013 Call Must

- Clearly demonstrate research excellence that has a pathway to impact that will deliver benefits to poor people living in low income countries
- Have clear hypotheses and/or conceptual frameworks that are linked to ESPA's Knowledge strategy
- Include clear methodologies and rationale for the methods proposed
- Demonstrate that they are multi- or interdisciplinary within the research questions, methods and team structure
- Address a range of ecosystems service and associated benefits, and link these to a multi-dimensional analysis of poverty and the ways that poor people can move out of poverty
- Describe how the research responds to the research theme it is addressing
- Consider natural and social systems and processes, and the links between them
- Demonstrate how their proposal responds to the ESPA Knowledge and Impact Strategies
- Include multiple dimensions of poverty and human well-being and methods to track or model trends resulting from changes to or within ecosystems (see ESPA's Poverty Framework)
- Demonstrate understanding of the ecosystem processes that underpin different services and benefits in order to identify synergies and trade-offs between them (see ESPA's Knowledge Strategy)

- Explain how the research will enhance global knowledge and evidence describing the ways that ecosystem services contribute to poverty reduction in low-income countries
- Make explicit links from research and its expected outcomes to poverty alleviation, economic growth that benefits the poor and enhanced resilience of delivery of ecosystem services of importance to the poor.
- Demonstrate demand for the research and how it will contribute to ESPA's overall academic and development impact; this could include demand from other on-going ESPA projects
- Document any relevant links and potential synergies with other ESPA research investments
- Demonstrate how the research will add significant value to the existing ESPA portfolio of research.

2 Summary of the Application Process

2.1 Overview

- 2.1.1 This call has two stages, the first of which comprised submission of an outline bid which was assessed internally by a panel comprising senior members of the ESPA Directorate, Programme Executive Board and Programme Management Group. A subset of applications was invited to submit full proposals through the Je-S platform, and these will be sent to full external peer review.
- 2.1.2 Only applications which have submitted a successful Outline Proposal and were invited to submit a Full Proposal are eligible to apply. Any applications that have not come through this route will not be considered for funding.

3 Full Proposal Stage

3.1 Overview

- 3.1.1 The ESPA 2013 Grants will provide funding of between £200,000 and £500,000 GBP Full Economic Cost (FEC).
- 3.1.2 This call has been allocated a total available budget of up to £4million GBP, which may be revised subject to the discretion of the Programme Executive board (PEB).
- 3.1.3 Projects will be funded for a maximum duration of between 24 and 30 months, with an expected start date between 1 September and 1 November 2013. **Projects will only be eligible to delay their start from this date by up to 3 months.** In administration of the grants, all other standard NERC guidelines will apply.
- 3.1.4 Only applicants who have been invited to submit a full proposal following the assessment of the outline bids are eligible to apply.
- 3.1.5 Full proposals will need to be submitted through the Joint Electronic Submission system (<https://je-s.rcuk.ac.uk>).
- 3.1.6 In order to be named on a proposal, all applicants must register for an account on Je-S.
- 3.1.7 Applicants may submit their proposals as a single Je-S application, or a joint application; submissions of joint applications should be 'linked' on Je-S by using the unique reference number given to you (contact espa@nerc.ac.uk or the Je-S helpdesk for further advice).
- 3.1.8 ESPA will award funds to the lead institution named on each application, who will then be responsible for disbursing funds to other institutions/organisations named on that application.
- 3.1.9 UK based organisations cannot be named on an application that is led by a non-UK organisation

3.2 Summary of Required Documents

- 3.2.1 The application has several elements, some of these must be completed online (e.g. the pro forma), while others can be completed offline before being uploaded as attachments to the Je-S form.
- 3.2.2 The pro forma is an online form comprising a number of structured boxes for key information. It is common to all applications, and for joint applications this will need to be completed by all of the components.

3.2.3 The elements summarised below should be completed off-line and uploaded as attachments to the Je-S form. They are described in more detail in sections 3.5 – 4.0 and are summarised below:

- The Case for Support is comprised of three parts:
 - i. Previous Track Record of organisations – up to 2 sides A4 for each component application submitted. This section includes brief information and assurances of the organisational and fiduciary competencies, if applicable (see section 3.5.2) *(Submitted by each individual application)*
 - ii. Description of proposed research - up to 8 sides A4. *(Common to all proposals in a joint application – submitted by lead only)*
 - iii. Data Management Plan – 1 page A4 this section includes information about how the project will manage data produced and submit this to the relevant centres and Directorate. *(Common to all proposals in a joint application - submitted by lead only).*
- Justification of Resources requested – up to 2 sides A4 for each component application; this section includes details of how projects will deal with fluctuating currency markets (see section 3.6). *(Submitted by each individual application)*
- Pathways to Impact attachment – up to 2 sides A4 (see section 3.7). *This is (Common to all proposals in a joint application -submitted by lead only).*
- Ethics checklist – this is a standard checklist produced by the ESPA Directorate and can be found here 3.8. *(Common to all proposals in a joint application -submitted by lead only).*
- CVs for all named research staff: PIs, Co-Is, Researcher Co-Is, named Researchers and Visiting Researchers (up to 2 sides A4 for each CV, and should include current and previous positions, key publications and research funding obtained). It is recommended that CVs use a consistent template within each project.
- Letters of support from any named Project Partners – up to 2 sides A4 each (see section 3.10). *(Common to all proposals in a joint application -submitted by lead only).*
- Application forms for any NERC Facility/Ship-time requested (only applicable for organisations normally eligible for Research Council funding).
- A business case for any single items of equipment costing more than the OJEU threshold - up to 2 sides A4. This should be accompanied by three equipment quotations. The current OJEU thresholds can be found at <http://www.ojeu.eu/Thresholds.aspx>.

All applications must be submitted in English and costed in pounds sterling (£)

All Additional documents should be submitted using single-spaced typescript, minimum font size 11 point (Arial font), with margins of at least 2cm.

Page limit restrictions apply and should be adhered to.

Failure to adhere to these guidelines may result in rejection of your application.

3.3 Je-S pro forma

3.3.1 In order to prepare a Je-S proposal submission, the person preparing the proposal has to log onto Je-S and create a new proposal. Note that this person must have previously created an individual Je-S account for themselves. **This should be done**

well in advance of the application deadline, as there may be some delay in the approval of an individual Je-S account.

- 3.3.2 Full step-by-step guidance on how to complete a Je-S application form can be found on the Je-S website.
- 3.3.3 On logging into Je-S, there are two procedures you can follow:
- (A) Click on 'Documents', then create a 'New Document'
- Click on 'Call Search' and enter 'ESPA'.
 - This will bring up the link to the current ESPA call.
- (B) Select the Research Council – NERC.
- Select Document type 'Standard Proposal'
 - Select Scheme - 'Directed - International'.
 - Select call 'ESPA 2013'
- 3.3.4 Please note that applications submitted to the wrong call cannot be considered. Please ensure that you have selected the current ESPA call, entitled 'ESPA 2013'.
- 3.3.5 The following information should be common to all application pro formas in a joint project proposal:
- Title of proposal
 - Objectives
 - Summary
 - Academic Beneficiaries
- 3.3.6 Some information is common to the whole project but if you submit a joint proposal, the following should **only** be included in the lead Research Organisation application pro forma and submitted as attachments to the **lead Research Organisation application only**. These are:
1. Nominated referees
 2. Project Partners
 3. Letters of support from Project Partners
 4. Description of Proposed Research (Part 2 of the Case for Support, up to 8 sides A4).
 5. Data Management Plan (Part 3 of the Case for Support, up to 1 side A4).
 6. Pathways to Impact (up to 2 sides A4).
 7. Ethics checklist (using template provided).
- 3.3.7 The attachments named in 3.3.6 must not be attached to any component application. Where such an attachment is a mandatory requirement of the Je-S system, a dummy attachment must be submitted. This should be annotated with "Refer to Lead Research Organisation Application".
- 3.3.8 For each other component application (if submitting a joint proposal), we require as separate attachments or in the relevant pro forma the following.
- A separate Justification of Resources. This should be attached to the relevant component Research Organisation application (up to 2 sides A4 for each individual component application) and should provide a justification for all funds requested on that component application.
 - CVs for named research staff (including PI's, co-I's and Researcher Co-Investigators) and Visiting Researchers named on that component application (up to 2 sides A4 for each CV). These should be attached to the relevant component Research Organisation application.
 - A separate Previous Track Record for each component application (Part 1 of the Case for Support), and include details of the PI and Co-I organisations named on that component. This should not exceed 2 sides A4 for each component application. This should be classified as "Case for Support" when

submitting via Je-S. Individual components should submit as attachment type 'Other'.

- Business case and equipment quotations for items costing more than the OJEU threshold.

3.3.9 Applicants should include information of Project Partners listed individually within their pro forma, and any in kind and or leveraged support that has been secured for the proposal.

3.4 Project Finances

3.4.1 The financial cost of the proposed project should be identified through the following components:

- Je-S pro forma
- justification of resources document

3.4.2 All applicants should enter the 100% full economic costs of the proposed research into the budget sections of the Je-S form. **All costs should be in pounds sterling (£).**

3.4.3 The budget limits on grant applications under this scheme refer to the total cost of the project – known as the **full economic cost (FEC)**. All of the UK Research Councils research grant applications are awarded on a full economic cost (FEC) basis. This will apply to ESPA.

3.4.4 For Projects which choose to submit a joint application (i.e. more than one component application into Je-S), the Full Economic Cost of all submitted applications comprising the project **combined** must not exceed the maximum budget of £500,000, or indeed be less than the lower limit of £200,000. *Note, for example, that if each organisation claims £200,000 in costs on their application, this would show on our system as the project bidding for £600,000.*

3.4.5 Research grant funds are provided to meet the costs incurred by the specific research project. Funds may not be used to meet costs on any other project or activity. All costs associated with the project must be itemised and fully justified (This should be done in the 'Justification of Resources' document (see section 3.6).

3.4.6 Requested funds will be scrutinised during the assessment process, and if recommended for funding, NERC, on behalf of the ESPA Programme Executive Board (PEB), will request adequate evidence of the costing basis for all direct and indirect costs. Note that budgets may be reduced if considered excessive.

3.4.7 Successful projects, along with proposing excellent natural and social science that fit the objectives and scope of this call, are expected to also provide excellent value for money. This includes fully justified and reasonable financial requests, appropriate time commitments of all research participants, and clear plans which aim to provide the maximum output of science excellence and impact from the monies requested.

3.4.8 ESPA funding is available for eligible UK and non-UK organisations, if they are to receive funding directly.

3.4.9 The UK Research Councils, which includes NERC and ESRC, are able to provide funding for UK organisations that are recognised as eligible to receive UK Research Council funding, including UK Higher Education Institutes (HEI's) and other recognised UK Research Organisations (ROs). For a list of organisations that are eligible to receive Research Council funding see <http://www.rcuk.ac.uk/research/eligibility.htm>

3.4.10 Organisations that are currently ineligible to receive funding directly from UK Research Councils may still be eligible to apply for and receive funding from ESPA, if

they meet the organisation eligibility criteria in section 6. This funding will be covered by DFID's contribution to ESPA.

3.4.11 Further information regarding the financial conditions applicable to these grants can be found in Annex 2.

3.4.12 Further Guidance on fund headings are provided in Annex 2.

3.4.13 UK Organisation Budgets

3.4.13.1 UK organisations will receive **80% of the full economic cost (FEC)** of the project, as per standard Research Council funding rules.

3.4.13.2 UK universities are required to calculate the FEC using the "TRAC" (Transparent Approach to Costing) methodology. Other recognised UK research organisations (ROs) use an equivalent methodology, which has been validated by the Research Councils. For more information, please go to the RCs' Dual Support Reform web pages, which include guidance notes and FAQs (<http://www.rcuk.ac.uk/documents/documents/fecFAQ.pdf>). Other organisations will be required to explain their methodology for calculating any estates and indirect costs, if they are successful.

3.4.13.3 Overseas travel and expenses costs incurred by members of UK institutions will be paid at 80% and must be included as costs related to that UK institution (not included as costs relating to an overseas organisation).

3.4.13.4 All applicants should enter the full economic costs of the proposed research into the budget sections of the Je-S form, as per normal Research Council applications. **All costs should be in pounds sterling (£).**

3.4.14 Non-UK Organisation Budgets

3.4.14.1 Non-UK organisations are expected to be able to comply with full and transparent costing for budget elements.

3.4.14.2 Non-UK organisations will be supported at **100% FEC for the direct costs** of the research.

3.4.14.3 In addition, indirect costs (including estates costs) may be charged on staff salary and other staff-related costs (i.e. statutory contributions analogous to UK National Insurance or Superannuation contributions).

3.4.14.4 Overheads may not be charged on non-staff related direct costs, e.g. equipment, travel and subsistence, consultancies, conferences, etc.

3.4.14.5 The following rates for indirect costs should be applied:

- for applicants from **developing** countries, the rate is **50%** (a list of developing countries for the purpose of this costing regime is available in Annex 1);
- for applicants from **developed** countries, the rate is **20%**.

3.4.14.6 For further guidance on what overhead budgets can be used for please see Annex 2.

3.4.14.7 Non-UK organisation should **not** enter any costs in the 'Estates' section of Je-S. All overheads should be entered as an 'Other Directly Incurred cost' on Je-S.

3.4.14.8 In order to mark costs as payable at 100%, applicants should tick the '**Exceptions**' box under the relevant category in Je-S.

3.4.14.9 **If an application involves costs from both UK and non-UK organisations**, they should be entered as separate items. For example T&S costs for field work should be entered as two separate lines, i.e. that related to UK organisations payable at 80%, and that related to non-UK organisations, which will be payable at 100% by ticking the 'exceptions' box within the Je-S form.

3.4.14.10 All applicants are advised to consult their institutional finance officers when completing the financial parts of the application.

3.5 Case for Support

3.5.1 The Case for Support should include the following **three** components: Previous Track Record, Description of Proposed Research and Data Management Plan. These components should be uploaded as a single attachment on Je-S by the lead applicant. Any joint components should upload their individual Previous Track Record separately onto their respective Je-S form as attachment type 'Other'.

3.5.2 Previous Track Record

3.5.2.1 The Previous Track Record should be a maximum of **2 sides of A4** for **each** component application submitted.

3.5.2.2 This section should include a brief outline of the organisations involved in the consortium, as named on the component applications, and address the following aspects.

- It should include details on the nature of the organisations named (i.e. university, research institute, NGO, etc).
- Importantly, the track record should concentrate on the key named individuals/researchers, their role in the project and details of relevant experience and how they are best suited to conduct the research proposed. You may also wish to include details of any external funding held for key individuals and their organisations, and details of any relevant past collaborative work with other beneficiaries should also be given.
- For non-UK organisations or UK organisations not normally eligible for Research Council funding (see <http://www.rcuk.ac.uk/research/eligibility.htm> for guidance), the track record should also include brief information and assurances of the **organisational and fiduciary competencies** of the organisation.
- Indicate where your previous work has contributed to progressing the field of research, and/or providing impact.
- Outline the specific expertise available for the research at the host organisation and that of any associated organisations and beneficiaries.

3.5.3 The Description of Proposed Research

3.5.3.1 The Description of Proposed Research should be a maximum of **8 sides of A4**.

3.5.3.2 The Description of Proposed Research included in the Case for Support contains the substance of the research application. It is essential that a coherent exposition of the proposed project is presented, addressing the intellectual and academic case and potential for impact on the ESPA research agenda.

3.5.3.3 As well as meeting the core criteria of the call (see Part A, Section 1.5), The Description of Proposed research should address the following points:

- Underlying rationale, scientific, technological, social and developmental issues to be addressed. This should cover the research question and objectives and highlight the overarching policy questions/evidence challenges that will be addressed.
- Specific objectives, hypotheses and research questions of the project, including their potential relevance to UK and international research work in the field, relevance to

the ESPA vision (<http://www.espa.ac.uk/files/espa/ESPA-Vision-Statement.pdf>) and anticipated achievements and outputs, including datasets.

- Methodology and approach; this should include methods and location of primary data collection, and details on the use and manipulation of data.
- Programme and/or plan of research.
- Management of both project and resources, identifying the training and career development opportunities for personnel working on the project and the management structure within the project team.
- Any associated collaborations, partnerships or co-funding (either proposed or secured) that may be used in the project.
- For proposals requiring access to museum collections or samples from elsewhere applicants are asked to provide evidence in their proposal of agreed access.

3.5.3.4 Applicants are advised that they should pay attention to the environmental implications of their research. The ESPA Programme Executive Board will consider funding the cost of low-carbon approaches to collaboration (including, where appropriate, the costs of technology or of less economic, but more environmentally friendly means of transport). Note that ESPA will apply the Research Council policy on carbon offsetting which currently states that projects may not claim the cost of offsetting carbon emissions arising from travel associated with research grants. Institutions may choose to use their own resources to cover such costs if required by their environmental policy. Where the project has control documents, reports and paper outputs, these should be printed on paper made from sustainably managed forests and/or recycled paper.

3.5.4 Data Management Plan

3.5.4.1 The Data Management Plan should not exceed **1 side A4** and should be submitted by the lead applicant only.

3.5.4.2 The Data Management Plan should include a detailed description of the proposed data management structures, plans and responsibilities.

3.5.4.3 Four issues should be addressed in the Outline Data Management Plan:

1. Data management procedures to be followed during the lifetime of the grant. Consider issues like:

- metadata - will you document discovery (what, where, when, why, who) and descriptive (how collected, how processed, how stored, how linked) metadata?
- data storage – have you access to enough storage and backup? Will you need specialist help with database design?
- data quality - will there be an earmarked data manager within the team, what data quality checks will be used, will student data be integrated in the data plan?
- ethical and access issues – are there special data security or licencing issues and how will you address these?

2. Existing datasets to be used by the grant or fellowship (comment on any restrictions on reuse)

3. Datasets likely to be created by the grant which will be made available to a the Funder's Data Centre(s) at the end of the Grant; Projects will need to speak to the

ESPA Directorate once funded as they will help projects with their data management processes.

4. Planned release dates of the data (data should normally be deposited within a datacentre within 2 years of collection), and identification of the possible user types who may want to use the data you produce.

3.5.4.4 **Please note**, the entire Case for Support for successful proposals will be made available to the NERC Environmental Data Centres (see <http://www.nerc.ac.uk/research/sites/data/>) and, where appropriate, used by them to draft, in collaboration with the Principal Investigator, a full Data Management Plan (DMP). This full DMP should be mutually agreed between the Data Centre and the Principal Investigator within three months of the start date of the grant. At the end of an award Investigators are required to offer the appropriate Data Centre a copy of any dataset generated, so that the data can be made available for other researchers to use.

3.5.4.5 Applicants should refer to the ESPA guidance on data management (<http://www.espa.ac.uk/resource-centre/online-resources/data-management>) for information on open access to data.

3.6 Justification of Resources

3.6.1 Justification of Resources should not exceed **2 sides A4**. This document is submitted by **each** component application on Je-S.

3.6.2 The Justification of Resources must be uploaded on Je-S as part of the application.

3.6.3 This should state the full cost of the project and explain why the requested resources are needed, including identifying why the proposal presents value for money. It should include justification for all Directly Incurred Costs, Investigator effort, use of pool staff resources and any access to shared facilities and equipment being sought.

3.6.4 No justification of Directly Allocated Estates and Indirect Costs is required.

3.6.5 It is not sufficient merely to list what is being requested. Where you do not provide sufficient justification for any item, it may be cut from any award made. In short, **you must demonstrate why you are requesting the funds** you are, and how they will be used to deliver the cutting edge research with impact that you are proposing.

3.6.6 Please note that if successful, the amount awarded to a project is limited to the amount requested at the time of application, and the final award amount agreed by the funders. This will not be increased at any time due to changes in the global financial markets. Therefore applicants should set out how they will deal with any changing currency fluctuations that may occur during the duration of their project and the possible impact this may have on the plan of work.

3.6.7 An example of a well-written Justification of Resources can be found on the NERC website at http://www.nerc.ac.uk/funding/application/documents/justification_eq.pdf. Guidance on what should be included is also available in the Je-S helptext at <http://je-s.rcuk.ac.uk/Handbook/index.htm>.

3.6.8 For all items of equipment costing between £10,000 (including VAT) and the OJEU threshold, but excluding that to be used for instrument development, the Research Organisation will need to provide evidence of an evaluation of the use of existing relevant capital assets. The Justification of Resources should be used to:

- Confirm that the piece of equipment is not readily available for use within the host institution, or any other assessable location (for instance by making reference to any asset registers consulted);
- Provide evidence that all other reasonable options have been considered;

- Explain, if the equipment requested will replace existing equipment, what will happen to the existing equipment;
- Set out what contribution the Research Organisation will be making towards the cost of the equipment. **Contributions of the order of 50% from the Research Organisation will be expected.**

3.6.9 For requests for all single items of equipment costing more than the OJEU threshold (excluding that to be used for instrument development) Research Organisations must complete a business case outlining why NERC should invest in this item of equipment. Further guidance on the detail required in the business case and the rules pertaining to application for items of equipment can be found on the RCUK website at: http://www.rcuk.ac.uk/documents/publications/Equipment_Guidance.pdf. The business case will be subject to peer review and separate consideration for funding. The business case should be no more than 2 sides A4 and is additional to the Justification of Resources and the Case for Support. There may be duplication between the Case for Support and the business case but it is important that the business case is a standalone document and contains sufficient information to allow separate peer review assessment. A separate justification must be provided for every capital item of equipment over the OJEU threshold. These should be submitted by the lead Research Organisation in any joint applications. All applicants intending to include a business case for equipment in a research grant application must contact the ESPA Secretariat (espa@nerc.ac.uk) to discuss the request well in advance of any proposal submission.

3.7 Pathways to Impact

3.7.1 The 'pathways to impact' attachment should not exceed **2 sides of A4**.

3.7.2 All applicants are required to include a '**Pathways to Impact**' attachment as part of their research proposal that describes how the proposed work will achieve impact and build capacity. Applicants should refer to section 3 in Part A for further information referring to ESPA's [Impact Strategy](#) and guidance on [Theory of Change](#).

3.7.3 The 'Pathways to Impact' attachment should address the following:

Who are the intended beneficiaries of the research? These should include at least a description of the intended ultimate beneficiaries of poor people in low-income countries as well as the intermediate direct users of research (see ESPA Impact Strategy)?

3.7.4 In addition the Pathways to Impact question should answer the following three questions from ESPA's Impact Strategy:

- **Who will use ESPA's research and new knowledge?** Identifying and, wherever possible, involving these people at an early stage of the design and implementation of the research is essential for impact of the research. During later stages of projects it may be appropriate to also consider other groups who may act to help implement and put research into use.
- **How will ESPA's new knowledge be used?** Determining, early in the process, how the different stakeholders are likely to use the research is important. Working with direct users of research and other beneficiaries ensures that research results can be presented in ways and formats that are tailored to meet their needs.
- **What will projects, the ESPA Directorate and development partners need to do to ensure that ESPA's knowledge is put into use to generate significant and sustainable impact benefiting the poor?** Knowledge is rarely the only constraint and other challenges will need to be addressed to build impact, otherwise it may

be impossible to use the research effectively. This approach highlights the need for the ESPA community to have active engagement with potential users of research from the start of a project, as well as representative groups of ultimate beneficiaries where possible.

- 3.7.5 It should also detail plans for any relevant plans for research into use, capacity strengthening and communication activities and how these link with the partnerships that underpin delivery of the project and its impact (See ESPA's Impact Strategy). It is recommended that **10% of the overall budget** should be dedicated to delivering the activities outlined in the Pathways to Impact attachment. There are no additional funds for this work and it must be included as part of the overall cost for the programme of work.
- 3.7.6 In addition to the Pathways to Impact activities developed by individual projects, it should also be noted that ESPA may 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 Programme Executive Board (PEB) or ESPA Directorate in contributing to the wider ESPA programme of knowledge sharing, uptake and communication activities, and will also be expected to represent the scheme and their project through involvement, where appropriate, in third-party events.
- 3.7.7 All projects will be required to work as part of the wider ESPA community and to participate in the ESPA Global Forum organised by the Directorate. Projects will need to cover their own costs (including staff time) for participation in these activities and should allocate ~3% of their budget to this.
- 3.7.8 **RCUK and DFID have recently adopted new policies on open access publication:**
- It is now required that **all publications be open access**. ESPA expects that all academic journal publications be open access, and where possible this should include books and book chapters.
 - Under the new restrictions, **no publication costs can be included** in the project budget.
 - The ESPA Secretariat will provide further supplemental guidance on how projects will be expected to pay for open access publication if they are outside of the designated UK HEIs covered by the new policies. This guidance will be available once RCUK has fully operationalized how the new policy will be implemented.
- 3.7.9 Applications **must not include article publication costs**. Where these are included they will be disregarded and removed from the grant at time of award.
- 3.8 Ethics checklist
- 3.8.1 The ESPA Programme has a clear ethics policy (<http://www.espa.ac.uk/files/espa/Ethics-Guidelines.pdf>). All projects conducted using ESPA funding are required to adhere to this policy.
- 3.8.2 Projects will need to submit an Ethics Assessment form so that they can declare that they are meeting the ethics policy and the expectations of the ESPA Programme.
- 3.8.3 Applicants will be able to download a template for this checklist from <http://www.nerc.ac.uk/research/programmes/espa/events/ao-2013.asp> or request a copy from the ESPA Secretariat espa@nerc.ac.uk
- 3.8.4 Applicants must to use the template provided and submit to Je-S as an 'Additional Document'.

3.9 CVs

- 3.9.1 CVs are required for all named research staff: PIs, Co-Is, Researcher Co-Is, named Researchers and Visiting Researchers.
- 3.9.2 Up to 2 sides A4 are allowed for each CV, and should include current and previous positions, key publications and research funding obtained.
- 3.9.3 It is recommended that CVs use a consistent template within each project.

3.10 Letters of Support

- 3.10.1 Each Project Partner must provide a detailed signed letter of support of up to 2 sides of A4.
- 3.10.2 The letter of support should confirm the organisation's commitment to the proposed project, identify the value, relevance and possible benefits of the proposed work to the partner, the period of support, the full nature of the collaboration and how the partner will be involved in the project and provide added value.
- 3.10.3 Partner contributions, whether in cash or in kind, should be explained in detail in the case for support, including the equivalent value of any in-kind contributions.
- 3.10.4 The letter should be written when the proposal is being prepared and targeted specifically to the project.

4 Je-S Registration

4.1 Registering an organisation on Je-S

- 4.1.1 If your organisation is already registered on the Je-S system, you do not need to re-register. However, if this is your first application for funding, you should follow the steps in Annex 3 to ensure that your organisation is registered on Je-S.

4.2 Registering as an Individual on Je-S

- 4.2.1 All individuals that will be named on an application (with the exception of Project Partners and subcontractors) must create an individual Je-S account for themselves in order to be added to an application. See online Je-S helptext guidance on how to register on Je-S. It is necessary for an individual's organisation to have been registered before they can register themselves.
- 4.2.2 If you have registered as an individual with Je-S through a previous call, you will not need to do so again.

5 Organisation Eligibility

5.1 Overview

- 5.1.1 To apply for an ESPA 2013 Grant, research Organisations must also be registered as users of the Research Councils' Joint Electronic Submission system (full details of the system are available at: <https://je-s.rcuk.ac.uk/Jes2WebLoginSite/login.aspx>) and have had their costing methodology validated.
- 5.1.2 Most UK higher education institutions and some other independent UK research organisations are already eligible to apply for, and hold, UK Research Council grants.

Details on which UK organisations are currently eligible for Research Council funding can be found on <http://www.rcuk.ac.uk/research/Pages/Eligibilityforrcs.aspx>

- 5.1.3 ESPA will fund non-UK and other UK organisations where these are found to be eligible.
- 5.1.4 Non-UK organisations (and other UK organisations not currently eligible¹ to receive Research Council funding) that are interested in applying will only be eligible to directly receive ESPA funding (i.e. be named as PI) if they satisfy all of the following conditions:
- (1) The organisation must be a legal entity.
 - (2) The organisation must be able to demonstrate an independent in-house capability to undertake and lead research and training in the field or discipline in which it wishes to be funded. This would normally involve employment of at least three permanent or long term staff, each of whom have 4-6 years postdoctoral research experience or equivalent² and recognised research publications at national and at international level; they must also be capable of leading innovative research projects, directing post-doctoral researchers, and providing necessary supervision at this level. Note that it is not essential to have post-doctoral experience, equivalent research experience, such as demonstrated long term professional and specialist experience will also be recognised.
 - (3) The organisation must meet the accountability and audit requirements of the ESPA funders. This requires your organisation to provide, on request, full documentation to give assurance of the:
 - Institutional governance and accountability structures;
 - Audit and accountability procedures;
 - Sources of core funding and other funding.
- 5.1.5 **Organisations that do not meet these requirements may not act as the lead organisation** (i.e. as a PI) and will not directly receive funds from the awarding body. However, they may be named as a Co-I, Project Partner or sub-contractor organisation (and receive funds through the lead organisation) — that is, they can serve as one of the ESPA 2013 Grant institutions, but not be the lead institution on an application.
- 5.1.6 If the proposal is successful and offered ESPA funding, the lead organisation (i.e. the organisation of the PI) on any grant application, will be required to undergo eligibility checks before any funding will be confirmed. This process will not apply to organisations that are already recognised to receive UK Research Council funding (principally UK HEI's and eligible RO's). See <http://www.rcuk.ac.uk/research/Pages/Eligibilityforrcs.aspx>.
- 5.1.7 Any organisation that is not recognised to receive UK Research Council funding, but that has received ESPA funding from previous grants, may still be required to undergo these checks before funding is confirmed.

¹ Research Organisations currently ineligible to receive funding from the UK Research Councils (RC) may be eligible under this call for proposals. Note that funding for these organisations will come from DFID and not the Research Councils. These organisations will not be eligible for any other RC funding, unless specifically stated by an individual Council.

² Equivalent experience which may take a number of forms, such as good track record of long term in depth professional experience in a relevant field of work. Any case for equivalent experience must be fully explained and justified in the track record section part of the application and the submitted CV

6 Research Roles and eligibility

6.1 Overview

6.1.1 Most UK higher education institutions and some other independent UK research applicants must ensure that they accurately define their roles within the grant so that there is no later confusion, and so that their application is correctly submitted into the Je-S system.

6.1.2 With the exception of project partners and ‘staff’ such as researchers and technicians, individuals may be named on a **maximum of two** ESPA 2013 Grants submitted, and may be named as a **Principal Investigator (PI) or Co-Principal Investigator (Co-PI) on only one**. The total time commitment across the applications with which they are involved should not exceed 100%. If individuals are named on more than two submitted proposals then they will be asked to retract their involvement from the additional proposals, which may be to the detriment of both the individual and projects concerned.

6.2 Role Descriptions and eligibility

6.2.1 Principal Investigators (PI)

- Each Je-S application submitted as part of the ESPA 2013 proposal will have a named PI. If you are submitting a joint proposal, then the PI named on the lead application will act as the lead Principal Investigator for the project as a whole.
- The PI on the lead application will direct the research and the management of the project; for example, the lead PI is responsible for overall project reporting requirements.
- Only the PI organisations named on an application will directly receive monies from the awarding body (NERC on behalf of the ESPA partnership). The organisation will then be responsible for disbursing funds to any other organisations named on their application (e.g. to any named Co-Investigator’s, project partners or sub-contractors on that application).
- PIs and their respective organisations will be responsible for ensuring that the terms and conditions for their grant are met.
- Principal Investigators may be from any type of organisation that meets the eligibility criteria in section 5.
- UK Principal Investigators from Research Council eligible organisations are required to meet the standard NERC eligibility criteria stated in the NERC Grants Handbook <http://www.nerc.ac.uk/funding/application/researchgrants/>
- Non-UK Principal Investigators and PIs from organisations not normally eligible for UK Research Council Funding, should meet the following criteria:
 - have at least three years of relevant post-doctoral experience, or an appropriate equivalent level of research experience[□],
 - be employed—at the time of application—by the Research Organisation submitting the proposal, or if not employed (i) have an existing formal arrangement with the organisation that enables him or her to carry out research there and receive all necessary management and infrastructure support from the organisation or (ii) be scheduled to move to the submitting organisation before the proposed start date of the grant in such a way that

* NB: Equivalent experience which may take a number of forms, such as good track record of long term in depth professional experience in a relevant field of work. Any case for equivalent experience must be fully explained and justified in the track record section part of the application and the submitted CV

would ensure that the criterion stated above is met by the time the grant starts;

- have an assurance from the submitting organisation—at the time of application—that should the proposal be successful, the contract of employment, or formal commitment, to provide support if not employed, will extend at least three months beyond the end date of the grant. Confirmation of this assurance from organisations should accompany any grant application

6.2.2 Co-Principal Investigator (Co-PI)

- A Co-PI will be the lead investigator on a component application.
- The budget applied for on each component will be paid directly to the organisation of the PI or Co-PI.
- The eligibility requirements for a Co-PI are the same as those for a PI.
- Co-PIs on component parts of joint applications will work with the PI on the lead application to deliver the research, management and leadership of the project.

6.2.3 Co-Investigator (Co-I)

- A Co-Investigator assists the PI in the research, management and/or leadership of the project.
- They may be expected to take over the leadership of their part of the project if the PI is unable to continue in their role, except where their organisation is ineligible to directly receive funds from the awarding body (i.e. it does not meet the organisation eligibility criteria in section 5).
- Co-Investigators from an organisation that is not the same as the PI's organisation will receive any requested funds through the PI's organisation and not directly from the awarding body (NERC on behalf of ESPA funding partners).
- Co-Investigators may be from any organisation, including those that do not meet the eligibility criteria to directly receive funds from the awarding body (see section 5) because their organisation will not be receiving money directly.
- UK based Co-Investigators from Research Council eligible organisations are required to meet the standard NERC eligibility criteria stated in the NERC Grants Handbook <http://www.nerc.ac.uk/funding/application/researchgrants/>
- Non-UK based Co-Investigators and Co-I's from organisations not normally eligible for UK Research Council Funding should meet the following criteria:
 - have at least three years of relevant post-doctoral experience, or an appropriate equivalent level of research experience*;
 - be employed—at the time of application—by the Research Organisation submitting the proposal, or if not employed (i) have an existing formal arrangement with the organisation that enables him or her to carry out research there and receive all necessary management and infrastructure support from the organisation or (ii) be scheduled to move to the submitting organisation before the proposed start date of the grant in such a way that would ensure that the criterion stated above is met by the time the grant starts;
 - have an assurance from the submitting organisation—at the time of application—that, if the proposal is successful, the contract of employment, or formal commitment, to provide support if not employed, will extend at least three months beyond the end date of the grant. Confirmation of this assurance from organisations should accompany any grant application.

* NB: Equivalent experience which may take a number of forms, such as a good track record long term in depth professional experience in a relevant field of work. Any case for equivalent experience must be fully explained and justified in the track record section part of the application and the submitted CV

6.2.4 Researcher Co-I

- A Researcher Co-I is a specifically named post-doctoral research assistant (PDRA), or other suitably experienced staff member, who has at least two years of relevant post-doctoral experience, or an appropriate equivalent level of research experience, but who is not eligible to be a PI or Co-I.;
- They will have made substantial contribution to the formulation and development of the project and will be closely involved in the project (if funded).
- Researcher Co-I's from an organisation that is not the same as the lead organisation will receive any requested funds through the lead organisation and not directly from the awarding body (NERC on behalf of ESPA funding partners).
- Researcher Co-I's may be from any organisation, including those that do not meet the eligibility criteria to directly receive funds from the awarding body (see section 5).
- A Researcher Co-I will be employed for the duration of their contract by the same Research Organisation as either the PI or one of the Co-Is (but not necessarily at the time of application). This contract may be shorter than the length of the grant award, depending on the requirements of the post, and they do not have to be employed by that Research Organisation at the time of application.
- Researcher Co-Is may not take over from the Principal Investigator, should the PI leave the project.

6.2.5 Researchers

- A researcher is an individual who will work as a research assistant on the project, but who is not eligible to be a PI, Co-I or Researcher Co-I.
- The researcher must be from the same organisation as the PI, or one of the Co-Is.
- The researcher should have a suitable level of experience in order to fulfil the requirements of the project. This may include having a PhD, or having several years' relevant research or policy experience, as appropriate to the role.
- There is no limit to the number of applications a Researcher can be named on, but if successful on more than one grant awarded, an alternative researcher would need to be found if time committed exceeded 100% FTE.
- A Researcher may be a specifically named individual (in which case they would need to register with Je-S) or be included using a post identifier³, where the candidate will be recruited later.

6.2.6 Project partners

- Project Partners may be experts who provide invaluable inputs and advice to the project, and will have an integral role in the proposed research.
- An organisation should only be named as a Project Partner if it is providing **specific unpaid contributions**, either direct or indirect, to the project (e.g. time, equipment, etc).
- Minor costs may be requested to facilitate collaboration, but these should be substantially less than the contribution of the Project Partner organisation to the project. These costs will not come directly from the awarding body (NERC on behalf of ESPA funding partners) but will be distributed by the lead organisation on the proposal.
- Each project partner named must submit a Letter of Support confirming their contribution to the project.
- There is no limit to the number of Project Partners you can have on the application, but Project Partners must be from separate Research Organisations to those submitting the proposal.

³ For example 'Researcher1'

6.2.7 Sub-contractors

- Sub-contractors contribute a specific service to the project, but may not necessarily be involved in the development and design of the project.
- They are not named specifically on the application pro forma on Je-S, but should be identified in the case for support, along with a description of their input to the project.
- The costs for sub-contractors should be included in the application, under 'Directly Incurred Other' and will be distributed by the lead organisation on that application, i.e. (NERC on behalf of ESPA funding partners) does not pay these costs directly to the subcontractor.
- The lead organisation will be responsible for drawing up any agreements regarding funding and work plans with any named subcontractors.

6.2.8 Visiting researchers

- Visiting Researchers may be funded to visit the investigator's institution for up to 12 months, in order to give full time advice and assistance on the research.
- Visiting Researchers must be named on the application and a coherent rationale for their role and contribution to the project included.

7 Including Project Studentships on a proposal

7.1 Overview

- 7.1.1 Project studentships (either Masters or PhD studentships) **cannot** be added to ESPA 2013 grants

8 Submitting your proposal

8.1 Overview

- 8.1.1 Applications must be completed in full before final submission. The Je-S system has a validation procedure which will identify sections that have not been completed. An exception to this is for any 'Other Attachments', so **applicants must ensure for themselves** that any such documents have been included.
- 8.1.2 Changes to the Je-S registration process mean that for certain schemes, such as ESPA, any organisations that are not currently Je-S registered, may self-register their organisation (see Annex 3). For these self-registering organisations there is no need to establish a submitter pool. Therefore these applicants can submit the application directly to the Council (NERC).
- 8.1.3 However, please note that for organisations that are already Je-S registered, your application will be routed through your existing submitter route. Therefore when a researcher submits his or her application, a message will be sent to their host organisation's designated 'submitter', who must then complete the submission process to Council.
- 8.1.4 Thus, there is a further layer of administration between the researcher submitting the application and it being received by the NERC, via Je-S. This layer of administration is at the applicant's host institution, and the NERC cannot accept responsibility for any delays which may occur as a consequence. The process can be shown as:
Applicant → Submitter (within the applicant's institution) → NERC.
- 8.1.5 Note: each component application comprising a joint proposal will need to go through the same submission process. The PI on the lead application should ensure that all joint application components have submitted their part of the joint proposal.

If all applications are not FULLY submitted by the deadline, i.e. all component parts from all PI/coPIs, they will not be accepted.

The deadline for all Je-S research applications to this call is **16:00 (4pm) UK Local Time (GMT+1/UCT+1), 3rd April 2013**

- 8.1.6 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 **full** submission took place prior to the deadline.
- 8.1.7 Electronic acknowledgements will be sent to the lead Principal Investigator and submitting organisation from the Je-S system.
- 8.1.8 Applicants must ensure they know whether their application will be routed through a submitter pool. If you registered on Je-S from 2011 onwards, the ESPA programme included the facility of not needing a submitter pool. We strongly advise that you check with Je-S whether or not you need your host institution to submit your completed application on your behalf. You can check this in Je-S by opening your Je-S application and selecting 'Document Actions' at the top and then 'Show submission Path'.
- 8.1.9 We strongly advise applicants whose applications will be routed through a submitter pool to secure confirmation from their relevant administrator that the application has been submitted successfully to NERC.

9 Summary of Requirements

9.1 Full Proposals

9.1.1 Summary of Requirements for Single Application

| Document Type | Required | As necessary | Number limit |
|---|----------|--------------|---------------------|
| Title of proposal (pro forma) | ✓ | | 150 characters |
| Type of proposal (pro forma) | ✓ | | n/a |
| Objectives (pro forma) | ✓ | | 4000 characters |
| Summary (pro forma) | ✓ | | 4000 characters |
| Academic Beneficiaries (pro forma) | ✓ | | 4000 characters |
| Impact Summary (pro forma) | ✓ | | 4000 characters |
| Nominated referees (pro forma) | | ✓ | Max 4 |
| Project Partners (pro forma) | | ✓ | No limit |
| Facility (pro forma) | | ✓ | n/a |
| Case for Support Part 1: Previous Track Record | ✓ | | Max 2 sides A4 |
| Case for Support Part 2: Description of Proposed Research | ✓ | | Max 8 sides A4 |
| Case for Support Part 3: Data Management Plan | ✓ | | Max 1 sides A4 |
| Justification of Resources | ✓ | | Max 2 sides A4 |
| Pathways to Impact | ✓ | | Max 2 sides A4 |
| Letters of support from Project Partners | | ✓ | Max 2 sides A4 each |
| CVs for named research staff and Visiting Researchers from all component Research Organisations | ✓ | | Max 2 sides A4 each |
| CVs for all Principal and Co-I Investigators from all component Research Organisations | ✓ | | Max 2 sides A4 each |
| Ethics Assessment form (please submit as 'Additional Document') | ✓ | | As template |
| Equipment Quotations | | ✓ | n/a |
| Facility forms (Ship-time/Marine Equipment, Aircraft ASF/FAAM) | | ✓ | n/a |

9.1.2 Summary of Requirements for Joint Applications

| Document Type | Common to all proposals | Submitted by Lead Only | Submitted by Individual components | Number limit |
|---|-------------------------|------------------------|------------------------------------|---------------------------------|
| Title of proposal (pro forma) | ✓ | | ✓ | 150 characters |
| Type of proposal (pro forma) | ✓ | | ✓ | n/a |
| Objectives (pro forma) | ✓ | | ✓ | 4000 characters |
| Summary (pro forma) | ✓ | | ✓ | 4000 characters |
| Academic Beneficiaries (pro forma) | ✓ | | ✓ | 4000 characters |
| Impact Summary (pro forma) | ✓ | | ✓ | 4000 characters |
| Nominated referees (pro forma) | | ✓ | | Max 4 |
| Project Partners (pro forma) | ✓ | ✓ | | No limit |
| Facility (pro forma) | | | ✓ | n/a |
| Case for Support Part 1: Previous Track Record | ✓ | ✓ | | Max 2 sides A4 |
| Case for Support Part 2: Description of Proposed Research | ✓ | ✓ | | Max 8 sides A4 |
| Case for Support Part 3: Data Management Plan | ✓ | ✓ | | Max 1 sides A4 |
| Previous Track Record (please submit as attachment type 'Other') | | | ✓ | Max 2 sides A4 |
| Justification of Resources | | | ✓ | Max 2 sides A4 each application |
| Pathways to Impact | ✓ | ✓ | | Max 2 sides A4 |
| Letters of support from Project Partners | ✓ | ✓ | | Max 2 sides A4 each |
| CVs for named research staff and Visiting Researchers from all component Research Organisations | ✓ | | ✓ | Max 2 sides A4 each |
| CVs for all Principal and Co-I Investigators from all component Research Organisations | | | ✓ | Max 2 sides A4 each |
| Ethics Assessment form (please submit as 'Additional Document') | | ✓ | | Max 2 sides A4 each |
| Equipment Quotations | | | ✓ | n/a |
| Facility forms (Ship-time/Marine Equipment, Aircraft ASF/FAAM) | | | ✓ | n/a |

10 Full Call Timeline

| Date | Stage | Applicant responsibilities | Assessment |
|--|---|---|--|
| 5 th December 2012 | Announcement of the 2012 Grants Call | | |
| 23 rd January 2013 | Deadline for Outline Bids | Outline Bid must be submitted via email to the ESPA Secretariat | Internal Assessment by PEB/Directorate/PMG |
| 5 th February | Successful outline bid applicants invited to submit full proposal | Applicants to prepare full proposals | |
| 3 rd April 2013 | Submission of Full Proposals | Applicants to submit proposals via the Joint electronic Submissions (Je-S) System | Full External peer review |
| 3 rd June | Shortlist Meeting | | PEB will reject at this stage any proposals that are clearly uncompetitive on the basis of the external peer review scores and comments |
| 4 th – 14 th June | PI Response | PIs to respond to reviewer comments and submit responses via Je-S | |
| Prior to Moderating Panel | Directorate Assessment | | The Directorate will provide a ranked list independent of the peer review process which will remark upon the fit to call and potential contribution to the programme for the final set of full proposals. This list will be sent to PEB to consider alongside the recommendation from the moderating panel. |
| 10 th July | Moderating Panel Meeting | | An external Moderating panel will consider the external reviews and propose a final grade for proposals, and produce a ranked list for consideration by the PEB |
| 11 th July | PEB meeting | | The PEB will consider the recommendations from both the Moderating Panel and Directorate in making the final funding decision |
| Mid – End July | Grants Awarded | | |
| 1 st September – 1 st November | Grants Start | | |

NB: Please note that all these dates may be subject to change.