



AHRC-DFID Collaborative Humanitarian
Protection Research Programme –
Thematic Research Grants

Version Control

Any changes made to this guidance will be recorded here. Please ensure you have the latest version of the guidance document.

Version	Date	Changes
1.1	02/07/2019	<ul style="list-style-type: none">• Clarified Completion of Je-S proposal (page 28)• Amendment to Justification of Resources section under Section 4: Attachments (page 35)• Clarified font type to be used within Data Management Plan under Section 4: Attachments (page 41)

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Section 1 – Call Details

I. Introduction

The goal of this research call is to better understand the causes of humanitarian protection risks/violations and to gather evidence about which interventions are most effective in improving humanitarian protection outcomes.

This call is being launched under a new partnership between UK Research and Innovation Arts and Humanities Research Council (AHRC UKRI), other UKRI Research Councils and the Department for International Development (DFID¹), to fund world class research into humanitarian protection of people affected by conflict under the AHRC-DFID Collaborative Humanitarian Protection Research Programme. This call is complementary to a wider programme of activities on ‘Protection in Contexts of Conflict and Displacement’ within the [UKRI GCRF Collective Programme](#) and there will be coordination with the complementary programme UKRI GCRF Collective Programme Network Plus, to ensure a holistic approach across the overall humanitarian protection research area.

This AHRC–DFID call is led by the AHRC but interdisciplinary research excellence is central to these programmes and investigators with relevant expertise from all disciplines are encouraged to apply within the parameters of this call and do not need to fall within the disciplinary remit of the AHRC.

Please note that as this is an AHRC–DFID call, all eligibility, requirements and policy described here are specific to this call only, and may not be included in future AHRC funding calls.

Research approaches must be multi-disciplinary and include collaboration with practitioner organisation(s), and research partners based in Official Development Assistance (ODA) eligible countries as set out by the [Organisation for Economic Co-operation and Development \(OECD\) Development Assistance Committee \(DAC\)](#), and where possible from the context being studied.

¹ DFID funding for this initiative comes from the Building an Evidence Base on Persons Affected By Conflict research programme. More details of which can be found on www.devtracker.DFID.gov.uk

The regions of focus prioritised for this call have been selected based on the high intensities of conflict recorded and live conflict related humanitarian appeals in 2018:

- **Middle East North Africa:** Syria, Yemen, Iraq, Occupied Palestinian Territories (OPTs), Libya
- **Africa:** Sudan, South Sudan, Democratic Republic of Congo (DRC), Central African Republic (CAR), Somalia, Nigeria, Chad and the Sahel region.
- **Asia:** Afghanistan, Myanmar

However, applicants can make the case for studying other contexts, including contexts hosting large numbers of refugees that have fled conflict e.g. Lebanon, Jordan, Turkey, Bangladesh, Kenya, and recent conflict countries e.g. Lebanon, providing a compelling case is made for how study of these contexts will contribute to the goal of this research call.

Research partnerships and capacity building activities may extend to any ODA-eligible country and include the potential for South-South learning, provided that the conflict context focus is as outlined above. Proposals are invited for projects with a full economic cost (fEC) value of between £50,000 and £480,000 (or up to £580,000 if also applying for the additional Capacity Building funds element: see further detail in **Section II: Aims of the call – Scope**).

Projects must be between 18 to 24 months in duration, starting no earlier than 1 April 2020, and finishing no later than 30 June 2022. We expect to award between 16-18 grants, depending on quality of proposals received and funding amounts bid for.

Researchers from developing and developed countries are eligible for this call and **principal investigators can be from anywhere in the world**. A requirement of this call is that at least one ODA eligible country research organisation must be included in the research team, either as Principal Investigator and/or Co-Investigator(s). Lead Research Organisations (i.e. where a PI is based) must be capable of meeting UKRI due diligence requirements. Please see the [UKRI due diligence guidance, including the International Questionnaire](#) for further information.

Proposals must also include collaboration with at least one practitioner organisation.

Whilst collaborations with partners in conflict areas outlined above are encouraged, the ODA eligible country partner does not need to be based in one of the conflict areas listed above.

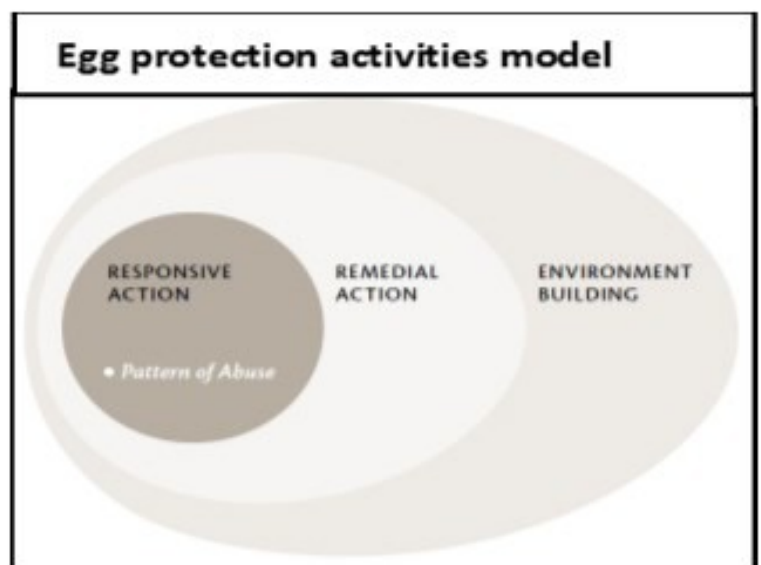
Context

The number of conflicts worldwide has increased since 2010 and the World Bank (WB) predicts that by [2030](#) 46 percent of the worlds' poor will live in Fragile and Conflict Affected States (FCAS). Humanitarian protection interventions aim to affirm protective rights and avoid/reduce/mitigate physical or psychological harm to people in need of assistance in the event of a crisis. The UK is at the forefront of humanitarian action and international diplomacy on these issues, and an investment in research on protection of persons affected by conflict will improve the ability of the UK, and others, to more effectively protect civilians.

A fuller understanding of local conflict contexts, including, but not limited to, historic, cultural, religious, linguistic, social, economic, environmental, political and other local factors, and the intersections between them is important to the development of effective protection strategies. Engagement with affected people and local communities can contribute to adapting protection strategies to ensure that they are effective in preserving their rights and dignity. Development and humanitarian assistance policy is likely to be strengthened if lessons are learnt from the past and if knowledge is brought together internationally, across disciplines and with non-academic partners, institutions and local communities to co-create sustainable and culturally appropriate solutions. As well as building contextual understanding, cross-disciplinary engagement with local knowledge, expertise, creativity, organisations, communities and heritage can play a critical role in, as well as provide vital resources for, research and policy innovation and impact.

What is humanitarian protection?

Humanitarian protection interventions aim to affirm protective rights and avoid/reduce/mitigate physical or psychological harm to people in need of assistance in the event of a crisis. In its broadest terms humanitarian protection is defined as 'all activities aimed at ensuring full respect for the rights of the individual in accordance with the letter and spirit of the relevant bodies of law (i.e. human rights law, international humanitarian law and



refugee law).² As set out in the UK Humanitarian Reform Policy, upholding basic human rights and freedoms in times of crisis is a moral duty. Protection should be at the center of humanitarian action, with minimum standards to ensure the safety and dignity of those most marginalised and vulnerable in times of crisis (such as women, children, the elderly and people with disabilities).

Protection activities are commonly conceived of in terms of the 'egg model', which distinguishes between three types of activities: responsive – to prevent or alleviate the immediate effects of abuse; remedial – to restore people's dignity and living conditions subsequent to abuse; and environment-building – to create or consolidate an environment conducive to full respect of the rights of the individual.³ These activities are not sequential but overlap and are complementary.

More examples of protection approaches include:

- **Restraint:** Promotion of and compliance with international, national and local laws and norms that regulate what is acceptable use of force (e.g. legal norms such as International Humanitarian Law (IHL)⁴ or social norms governing domestic or inter-communal conflict). For more examples see [UN OCHA](#)⁵
- **Treatment:** Specialised care to victims of protection violations e.g. gender based violence services or psychological trauma services.
- **Risk Reduction:** Specific measures to reduce the risk of violence in the provision of essential services e.g. adequate lighting in camps or locks on communal latrines.⁶
- **Recognition:** Forms of identification that afford certain protective rights e.g. formal protection such as refugee status outlined in the 1951 convention, or civil status documentation such as birth and marriage certificates.
- **Targeting:** Interventions tailored to support groups identified as particularly vulnerable to protection risks e.g. children, women, elderly, disabled etc.

The AHRC–DFID Collaborative Humanitarian Protection Research Programme (CHPRP), under which this call for applications sits, seeks to fund contextually-informed research that will

² This definition was formally endorsed by the UN Inter-Agency Standing Committee (IASC) and is a result of a series of ICRC-convened seminars (1996–99) <http://www.globalprotectioncluster.org/en/about-us/who-we-are.html>

³ Caverzasio, S. (ed.) (2001)

⁴ As a body of law, IHL is designed to protect civilians from excessive violence and helps to ensure humanitarian assistance reaches those in need i.e. helps to maintain access to, and for, victims of conflict. When IHL is violated, for example when civilians become targets, or access for humanitarian assistance such as food and medicine is denied, suffering can be widespread and crises prolonged.

⁵ [UN OCHA What is Protection](#)

⁶ See sphere standards for more detail on this.

improve our understanding of the risks people affected by conflict face, and what can be done to avoid/reduce and mitigate against them. Through studying the effectiveness of interventions that seek to improve the protection of persons affected by conflict, and improving our understanding of what factors increase or decrease rights violations, the programme will generate evidence to inform more effective programming and policy.

This programme is also complementary to the UKRI GCRF Collective Programme. Throughout the four year collaboration, AHRC and DFID will look across the complementary programmes of DFID and GCRF funded research to identify and capitalise on linkages, synergies and findings and outcomes of the research for the overall benefit of the Humanitarian Protection research area. This is expected to include collaboration with the Network Plus awards funded under the AHRC-led call on Protection in Contexts of Conflict and Displacement and working with the relevant GCRF Challenge Leaders.

II. Aims of the Call

Scope

This call will fund a portfolio of projects providing outcomes that ensure the drivers of humanitarian protection risk and mitigation are better understood and contribute to the evidence base of what works to improve protection outcomes in conflict contexts.

As detailed above, there are three regions of focus prioritised for this call, which have been selected based on the high intensities of conflict recorded and live conflict related humanitarian appeals in 2018. These are:

- **Middle East North Africa:** Syria, Yemen, Iraq, Occupied Palestinian Territories (OPTs), Libya
- **Africa:** Sudan, South Sudan, Democratic Republic of Congo (DRC), Central African Republic (CAR), Somalia, Nigeria, Chad and the Sahel region.
- **Asia:** Afghanistan, Myanmar

However, applicants can make the case for studying other ODA-eligible contexts, including contexts hosting large numbers of refugees that have fled conflict e.g. Lebanon, Jordan, Turkey, Bangladesh, Kenya, and recent conflict countries e.g. Lebanon, providing a compelling case is made for how study of these contexts will contribute to the goal of this research call.

Successful proposals must meet the following defining characteristics:

- A. Address one of the six research themes
- B. Be appropriately multidisciplinary
- C. Include collaboration with practitioner organisations
- D. Include partnerships with research institutions in OECD DAC ODA eligible countries
- E. Include consideration of gender dynamics, and wider equalities and inclusion issues in relation to the theme being studied

A. Proposals should address one or more of these key themes

Theme 1: Impact of violations of international humanitarian law (IHL)

For example but not limited to: How can we best measure the immediate and longer term impact of protection violations and what does this tell us about the effects on humanitarian suffering, human development outcomes and the prospects for peace? What are the implications of the evolving nature of warfare e.g. cyber and other technological advances?

Theme 2: Impact of protection programming

For example but not limited to: To what extent are protection interventions (e.g. psychosocial support; remedial treatment for sexual and gender based violence, IHL compliance, risk reduction initiatives, legal aid etc.), achieving their intended outcomes/impact and what does good practice look like? What can be learnt across contexts and implementers?

Theme 3: Impact of restraint

For example but not limited to: What socio-political-economic factors are conducive to restraint from violence and how does this differ between, state armed forces, non-state armed groups, displaced persons and host communities, and how can programming support or hinder restraint?

Theme 4: Impact of local protection mechanisms

For example but not limited to: What opportunities and challenges are there for affected communities to protect people, property and services in times of armed conflict, how effective have attempts to do this been and how can international humanitarian funding support or inadvertently hinder these approaches?

Theme 5: Impact of recognition on protection

For example but not limited to: What impact does legal recognition (e.g. refugee status, civil status, and housing land and property rights etc.) have on protection, what barriers to recognition exist and how can they be addressed?

Theme 6: Impact of targeting

For example but not limited to: What personal characteristics affect protection risks in a given context, how are those most in need of protection identified, how effective are these methods, what is the protective effect of targeted/blanket/holistic services and who falls through the cracks? Activities targeted at children, persons with disabilities, elderly people and women will be of particular interest, as well as analysis of the rationale for exclusion of others from targeting and the impact of said exclusion.

- B. Be appropriately multidisciplinary:** Proposals will be expected to engage relevant disciplines to investigate the research themes identified across the arts and humanities and social sciences and beyond and draw out operationally-relevant lessons and explore wide ranging implications.
- C. Include collaboration with practitioner organisations:** Projects should include partnerships between academics and practitioners to ground the research in practical realities and support the Pathway to Impact. For further information see below section **III. Eligibility: Practitioner Organisations.**
- D. Include partnerships with institutions in OECD DAC ODA eligible countries:** Proposals must include partnerships with research institutions in OECD DAC ODA eligible countries; at least one researcher based in an [ODA eligible country](#) research organisation must be included in the research team, either as PI and/or Co-I(s).
- E. Include consideration of gender dynamics, and wider equalities and inclusion issues in relation to the theme being studied:** The research funded under this call will examine the intersections of conflict and humanitarian protection with gender as a cross-cutting theme, and gender aspects should be taken into account in all of the themes explored. In order to produce knowledge and evidence to inform more effective policies and programmes and to support transformational changes in structural inequalities, applicants must make a genuine effort to integrate adequate analysis of gender, along with intersectionality, defined here as:

'the interaction of gender, ethnicity, race and other factors that may affect protection contexts and experiences of vulnerability or resilience', and other characteristics that may influence how people are affected, in their research design, even where this may not be the central focus of the project. We also encourage analysis within applications of different roles and responsibilities, constraints and opportunities or power differentials between, for example, girls/women and boys/men. Where feasible, relevant data must be disaggregated by sex, age and other characteristics that may influence how people are affected. See **Section VI. Scheme Requirements and Post Award Reporting – (D) Gender Equality Statement** for further information regarding Gender Equality requirements for this call.

Cross-cutting considerations

The AHRC–DFID Collaborative Humanitarian Protection Research Programme will support the priorities of the [DFID Leave No One Behind commitment](#). Those left behind often face the most acute consequences of war for the longest. In view of this, proposals should clearly address how the proposed research takes into account the Leave No One Behind commitment and how it can make a contribution to prioritising the interests of vulnerable and disadvantaged people, and those people who are most excluded and at risk of violence and discrimination. There should also be a commitment to contextual understanding which might follow this.

In relation to this, proposals are encouraged to engage with local contexts and communities and to consider the specific social, cultural, conflict and protection contexts in which the research is taking place and/or to which research outcomes would be applied and to discuss how they will ensure that research outcomes are contextually appropriate and will contribute to preserving the rights and dignity of intended beneficiaries. Where appropriate, opportunities should be considered for engaging with the communities the research seeks to benefit, particularly vulnerable, disadvantaged and at risk groups (in line with the DFID Leave No One Behind commitment as detailed above) and to access local networks, possibly in collaboration with practitioner organisations.

Additional Capacity Building Funds – optional element

This call will invite bidders to apply for add on capacity building funding as part of their bid where capacity building is necessary to enable substantive OECD DAC ODA eligible countries institutions' participation in the delivery of the research. Where capacity building funding is

requested, the cap on the £480,000 (fEC) project funding limit will be increased to up to £580,000 (fEC).

Applicants will have to demonstrate that the funding is required to build the capacity of participating OECD DAC ODA eligible country research institutions in order to deliver the research set out in the grant application and is value for money. Capacity building on specific methods to support the research is eligible and full justification for capacity building activities included should be provided within the application. Where possible capacity building activities should take place in the relevant ODA eligible country (ies) but in some circumstances the case may be made for capacity building to take place in other locations, provided that the main focus of the activity is on capacity building in ODA-eligible country contexts. We will aim to fund up to 7-9 projects which include the additional capacity building funding element, subject to quality of proposals.

Please note that capital funding e.g. in terms of infrastructure or facilities development, is not eligible under this heading.

Please also note that funding for project studentships is not eligible under this call, although training activities involving students may be considered.

Further requirements

Uptake and Pathways to Impact focus, including agents of change audiences

Research **uptake** includes all the activities that facilitate and contribute to the use of research evidence by policy-makers, practitioners and other development actors. AHRC UKRI and DFID expect that the researchers they fund will have identified at proposal stage, as far as is possible, the potential impacts of their research on policy and practice, and that researchers will actively consider how these opportunities for impact can be maximised and developed. In the development of their Pathways to Impact statement, applicants should be innovative in the kinds of engagement, communications and research uptake activities they plan to undertake during and beyond the life course of the grant. In particular, projects under this call should engage with key stakeholders in the country or countries where the majority of the research is taking place, especially relevant practitioners, and identify target audiences which may act as effective agents of change and outreach and dissemination activities, thereby maximising the effective uptake and impact of the research.

Sustained uptake of research

In addition to the Pathways to Impact plans detailed in proposals, projects under this call will also be expected to engage with the 'uptake' mechanism put in place by AHRC, until end of November 2023. AHRC and DFID will work closely to co-design effective uptake activities to maximise the successful uptake of the research at portfolio level. Details of the uptake mechanism and attendant activities and requirements will be made available at award stage, as part of the formal grant offer and terms and conditions of the award.

Please note that a condition of successful application to this call is to produce at the end of the award a research findings report that is published open access and written in a way that is accessible to key stakeholders identified in the Pathways to Impact.

III. Eligibility

Principal Investigators and Co-Investigators

Principal Investigators, Co-Investigators, Researchers and Project Partners to this call can be from anywhere in the world. A requirement of the call is that at least one [ODA eligible country](#) research organisation must be included in the research team, either as Principal Investigator and/or Co-Investigator(s).

The principal investigator **must** be based at a recognised research organisation. This means an institution that possesses an existing in-house capacity to host a grant and to carry out research that materially extends and enhances the national or international research base, and is able to demonstrate an independent capability to undertake and lead research programmes. Co-Investigators may be based either at research organisations or other practitioner organisations. Eligibility checks will be applied to all proposals by the AHRC. Reviewers will also be asked to comment on the credibility of the host institution.

All grants will be made to the institution hosting the principal investigator, and this institution will be subject to standard terms and conditions for AHRC grants regarding the disbursement of funds to co-investigators at other institutions, and with additional programme-reporting requirements.

Please note that the AHRC reserves the right to reject proposals that it decides are not based at a credible research organisation.

Practitioner Organisations

Proposals must also include collaboration with practitioner organisations. A practitioner organisation refers to any organisation that provides services to persons affected by conflict. This could include but is not restricted to: local or international civil society organisations, NGOs, UN, private provider e.g. private health clinic, or host government service provider such as school/education authority.

Project members that are not based in a higher education institute (for example, working for a practitioner organisation, an NGO or other third sector organisation) may be included and costed on the proposal in a Co-Investigator/project partner capacity.

Please see **Section 2 – Guidance on Costs incurred by non-UK Institutions** for further guidance on contributions from project partners and direct costs to support partners from third sector organisations.

All grants will be made to the institution hosting the PI, and that institution will be subject to [standard terms and conditions for AHRC Research Grants](#), with regard to the disbursement of funds to co-investigators (Co-Is) at other institutions, and with additional call reporting requirements.

Funding for project studentships (i.e. PhD students) is not eligible under this call.

Important note: All applicants and their organisations must register to use the Research Councils' Joint Electronic Submission (Je-S) system before submitting a proposal. Je-S will be used to receive and process all proposals under this call. All applicants intending to submit a proposal are strongly advised to read this section carefully. **All applicants and co-applicants must register to use the Je-S system.** (See [Je-S Self-Registration Guidance document](#))

IV. Guidance on Costs and Project Timescales

Eligible Costs

- All UK costs entered should be in line with the standard AHRC guidance available in section 3 of the [AHRC Research Funding Guide](#). Please note for this funding programme

all costs claimed by UK investigators should be claimed at 80% of the full economic cost (fEC).

- This call will support in full **100%** all of **the direct costs** of the research incurred by **non-UK institutions**.
- International PIs/Co-Investigators based in high-income countries outside of the UK can claim 100% of their direct costs but no indirect or estate costs.
- International PIs/Co-Investigators based in OECD DAC ODA eligible countries can claim 100% of their direct costs. In addition, a contribution towards indirect and estates costs at overseas organisations in developing countries is permissible, calculated at up to 20% of the total direct costs charged to the grant relating to the activities of the OECD DAC ODA eligible country investigator(s).
- All applicants based at non-UK institutions should refer to [Annex 1 – Guidance on Costs incurred by non-UK Institutions before submitting an applications](#) before submitting a proposal.

As noted above, researchers from OECD DAC ODA eligible countries and high income countries are eligible for this call and principal investigators can be from anywhere in the world. For collaborations involving institutions from both categories, we expect to see an appropriate and fully justified spread and balance of costs and resources between partners, to best support genuinely equitable partnerships, with a focus on supporting partnerships with OECD DAC ODA eligible countries. This is part of the assessment criteria for this call, and as such will be included within considerations of the overall value for money of the project.

Grants will be managed per [UKRI standard terms and conditions](#). Funding is not available for PhD or Masters studentships, or for capital investment e.g. in terms of infrastructure or facilities development. All items costed on the application must be fully detailed and justified in the Justification for Resources document, and will be included within considerations of the overall value for money of the project.

The total full economic cost (fEC) of the research proposal without additional capacity building element claimed from UKRI should be no higher than £480,000.

Due Diligence Process

As part of UKRI funding assurance, non-UK research organisations may be requested to complete an UKRI Overseas Due Diligence Questionnaire. Please be aware that research

organisations may be contacted by UKRI at any point during the review process. This is in order to expedite our assurance process. If UKRI does contact any non-UK research partner organisation named on an application, the Lead organisation will be informed. Non-UK lead organisations will need to undergo UKRI due diligence checks if they have not been checked by UKRI in the last three years. Those organisations checked in the last three years may still have to undergo additional checks if UKRI decides they are needed. The lead research organisation would then be responsible to conducting due diligence checks on other non-UK partner research organisations. However, UKRI reserves the right to request information on these due diligence processes and to conduct further due diligence checks.

For organisations hosting co-investigators due diligence checks are for UKRI’s assurance purposes only and do not replace the due diligence requirements of the lead organisation. However, when obtaining information from non-UK research organisations UKRI will request permission to share the information provided with the lead organisation. The lead organisation can then use this information for their own due diligence processes should they wish.

For proposals led by UK research organisations, the lead research organisation should conduct due diligence checks on non-UK partner organisations funded under the grant, using a risk-based approach. The level of due diligence should be commensurate with the levels of funding and risk involved and should consider potential risk mitigation options for research conducted in fragile research contexts.

AHRC reserves the right to request clarification of organisations capability to address due diligence processes before accepting applications for processing and not to accept applications led by organisations judged not to have a realistic chance of meeting UKRI full due diligence requirements.

Please see the [UKRI due diligence guidance, including the International Questionnaire](#) for further information.

The Due Diligence process can take some time. When setting proposed start dates, applicants in host organisations not recognised to hold UKRI grants should allow a minimum of two months beyond the earliest grant start date for the Due Diligence process to be completed.

Call timetable

Activity	Date
Deadline for submissions	4pm 5 September 2019

Panel meeting date	January 2020
Funding decisions to be issued	February 2020
Earliest start date of awards	1 April 2020
Latest end date of awards	30 June 2022

V. Assessment Process and Criteria

Assessment Process

Applications submitted under this call will follow AHRC assessment processes. Projects will be reviewed on the basis of their quality and individual merits, according to the assessment criteria outlined below, with particular focus on the capacity of the proposed research to understand context, draw out operationally-relevant lessons and explore wide ranging implications and influences. Each application will be ultimately expected to provide outcomes that ensure the drivers of humanitarian protection risk and mitigation are better understood, and contribute to the evidence base of what works to improve protection outcomes.

A cross-disciplinary panel will be co-constituted by AHRC in consultation with other UKRI Research Councils and DFID to make funding recommendations. This will draw on members of AHRC, other Research Council and UKRI ODA Peer Review Colleges, together with other UK and international academic and non-academic expertise as appropriate. The relevant UKRI GCRF Challenge Leader(s) and representatives from DFID will also advise the panel on fit to the call and to wider GCRF and DFID portfolios respectively.

Assessment Criteria

Research excellence

- Is the proposed research novel, innovative and timely?
- Does the research programme offer a well-integrated and appropriately interdisciplinary approach?
- Does the proposed research meet the highest international standards and is it likely to advance the field?
- Would the proposed project contribute to research excellence and innovation in

the field, critically reflect upon, develop and drive forward research agendas and to develop new insights and areas of enquiry?

Fit with the call specification

- Does the proposal demonstrate a strong and central alignment to the research agenda outlined for the call and fully meet all required project characteristics?
- Does the proposal outline a clear approach to achieving development impact which takes into account relevant OECD DAC ODA eligible country contexts?
- Would the proposal offer the potential to add significant value to the evidence base of what works to improve protection outcomes?

Capability and interdisciplinarity of the research team

- Does the proposed team have the appropriate track record, knowledge and expertise, including understanding of local contexts, assets and knowledges?
- Is there an appropriate distribution of staff across relevant disciplines and is the team well integrated?

Capacity building and international partnerships

- To what extent have appropriate development and OECD DAC ODA eligible country partners (including researchers, practitioners and policy makers) played a leading role in the design and implementation of the proposed approach?
- Does this proposal identify an appropriate range of relevant partners between developed and developing country partners, and are these partnerships authentic, ethical, equitable and sustainable beyond the initial award?
- To what extent will the award develop new or enhanced research capacity for addressing development challenges/the SDGs in the relevant partner countries?

Additional assessment criteria for proposals including the optional capacity building element

- Does the proposal include a clear plan for the proposed capacity building activities, including the nature of the activities and who will deliver these, the institutions or

organisations involved in this element, and the country or region in which the activities will take place, including rationale for why the activity is taking place in this country or region?

- Is there strong justification and rationale provided for how the proposed capacity building activities are necessary to enable substantive OECD DAC ODA eligible countries institutions' participation in the delivery of the research and how this will be enabled?

Likelihood and Pathways to Impact

- Does the proposed award identify realistic pathways with the potential to deliver a breadth of significant and measurable development impacts in OECD DAC ODA eligible countries?
- Have the applicants taken into consideration the relevant in-country context, languages and cultures and demonstrated local appetite and capacity to implement solutions?
- Have the applicants given adequate consideration to issues of gender, equalities, diversity and inclusion in their Pathways to Impact?
- Does the proposed project offer a sustainable legacy beyond the end of the award and through uptake of the research e.g. through the partnerships, resources, capacity and capability developed?

Management

- Does the lead research organisation demonstrate the appropriate skills and experience to deliver the proposed vision and effectively manage the proposed project?
- Are the roles and responsibilities of the constituent partners clear and suitable for the task and is there an appropriate balance of leadership, management and resources between the partners, including an appropriate balance between developed and developing country partners?

Organisation, governance, research organisation support and evaluation

- Does the proposal describe an appropriate governance structure and plan for the research and operational management of the proposed project (including financial and risk management, assurance and governance)?

- Does the proposal outline an appropriate framework for monitoring and evaluation, and identify a robust set of deliverables and success indicators?
- Is there evidence of strong support from the research institutions involved, particularly from the lead institutions (including, for example, to support management of the project, including due diligence, safeguarding, risk management and related issues)

Ethics, safeguarding and risk

- Are the proposed partnerships and working relationships ethical and equitable?
- Have the applicants identified the ethical implications arising from the proposed research and provided sufficient detail of how these will be addressed?
- Does the proposal provide an adequate analysis of key risks and assurance on how these risks will be assessed and managed over the lifetime of the award?
- Have the applicants provided a framework which provides satisfactory assurance that gender, equalities, diversity and inclusion and safeguarding issues as well as risks to all participants in the research will be assessed and managed effectively?
- Does the proposal include meaningful yet proportionate consideration as to how the project will contribute to reducing gender inequalities, and is there evidence of a genuine effort to incorporate consideration of gender dynamics and wider inclusion considerations within the design of the research?

Value for money

- Are the requested costs appropriate and justified? Is the scale of impacts reasonable for the amount of funding requested and staff time included?
- Does the proposal overall represent good value for money? I.e. the optimal use of resources to achieve the intended outcome.
- Are there appropriate processes and controls to ensure due diligence and assurance are in place?
- Is there an appropriate and fully justified equitable spread and balance of costs and resources between developed and developing country partners, to best support

genuinely equitable partnerships, with a focus on supporting partnerships with OECD DAC ODA eligible countries?

Panel members will be asked to identify both the strengths and weaknesses against each of the points within each proposal that they have been asked to assess. It is on the balance of these strengths and weaknesses that an overall judgement should be made.

In addition to the above criteria the panel will also take into account the following:

- **Geographic spread** (see scope section above)
- **Thematic spread** (see scope: project characteristics section above)
- **Contribution to wider portfolios** – the panel will also take into account the capacity of the proposed project to contribute to the relevant complementary GCRF Programme portfolios, under the ‘Security, Protracted Conflict, Refugees and Forced Displacement’ challenge area.

VI. Scheme Requirements and Post Award Reporting

A. ODA Compliance

Successful awards under this call will be supported via ODA funding, as such projects must demonstrate how they are ODA compliant and will contribute to the economic development and welfare of developing countries. Applicants are encouraged to pay close attention to the three guiding questions when completing their proposal:

- a) Which country / countries on the DAC list will directly benefit from this proposal and are these countries likely to continue to be ODA eligible for the duration of the research?
- b) How is your proposal directly and primarily relevant to the development challenges of these countries?
- c) How do you expect that the outcome of your proposed activities will promote the economic development and welfare of a country or countries on the DAClist?

As part of the government’s commitment to ODA transparency and in line with DFID ODA reporting requirements, UKRI is responsible for publishing information about UKRI ODA grants

including project titles and summaries via the International Aid Transparency Initiative (IATI) registry and via DFID's national statistics.

The purpose of publishing information via the IATI registry is to make information about ODA easily accessible to governments, stakeholders and other relevant groups in beneficiary countries. All UKRI funded projects from this programme will be published in this way. Therefore, we ask that you write your project title and summary in such a way that they are meaningful and accessible to non-specialist audiences, following publication.

Please ensure that the project title and summary are written in plain English and avoid the use of jargon, acronyms, puns and plays on words. Please also make clear in your project title and summary how your project is ODA-compliant, for example by identifying the development challenge(s) being addressed, the aims of the project and the beneficiary countries.

B. Safeguarding, risks, ethics and research conduct

Funded proposals will be expected to adopt the highest standards of good research conduct, safeguarding and gender, equalities, diversity and inclusion (EDI). Further details may be found under the [UKRI Research Integrity policy](#). In addition, where appropriate proposals should consider how they might contribute to developing and sharing best practices and building capabilities for the future in this area. All full proposals will include an assessment of risks, including safety of all those involved in the research (researchers, partners and participants) and strategies for addressing risks relating to potential changes to research access and/or conflict dynamics, and meet the expectations outlined in the [UKCDR statement on safeguarding](#) and in the International Development (Gender Equality) Act 2014.

UKRI condemns all forms of harm and abuse, including bullying and harassment. We take a zero-tolerance approach to harm and abuse to any individual employed through or associated with our programmes in all contexts; whether in humanitarian or fragile and conflict-affected settings, in other field contexts, or within the international or UK research and development community which we fund. We expect institutions to promote the highest standards in organisational culture, and have in place the systems and procedures required to prevent and tackle all incidents of harm and abuse. Proposals must detail how they will identify and manage safeguarding risks and what policies and procedures will be in place to enable reporting and investigation of allegations when they arise.

C. Reporting Requirements

Award holders will be required to submit outputs, outcomes and impacts that arise from AHRC's funding through the ResearchFish system. Information can be added to ResearchFish at any point once the award has started but award holders will also be required to 'submit' this information to AHRC at one 'Submission Period' each year. Award holders will receive an email with log-in details shortly after their award has started. More details on ResearchFish are available on the UKRI website here: <https://www.ukri.org/funding/information-for-award-holders/research-outcomes/>

In addition to the standard outcomes all award holders will need to submit annual monitoring reports and other updates to AHRC as required, and will be expected to engage with cohort events.

Please note that a condition of successful application to this call is to produce at the end of the award a research findings report that is published by the research team within two months of the end of the grant in open access form and written in a way that is accessible to key stakeholders identified in the Pathways to Impact.

D. Gender Equality Statement

To comply with the International Development (Gender Equality) Act 2014, applications must provide a Gender Equality Statement, outlining how applicants have taken meaningful yet proportionate consideration as to how the project will contribute to reducing gender inequalities. This must be no longer than a one page and is a mandatory attachment.

Applicants are required to address the below criteria, with an understanding that, depending on the nature of their research and innovation, not all questions will be applicable.

- Criteria to address while considering gender impact:
- Have measures been put in place to ensure equal and meaningful opportunities for people of different genders to be involved throughout the project? This includes the development of the project, the participants of the research and innovation, and the beneficiaries of the research and innovation.

- The expected impact of the project (benefits and losses) on people of different genders, both throughout the project and beyond.
- The impact on the relations between people of different genders and people of the same gender. For example, changing roles and responsibilities in households, society, economy, politics, power, etc. – How will any risks and unintended negative consequences on gender equality be avoided or mitigated against, and monitored?
- Are there any relevant outcomes and outputs being measured, with data disaggregated by age and gender (where disclosed)?

The one page 'Gender Equality Statement' must be attached to your proposal as a 'Non UK Components' type attachment. Further guidance for applicants on Gender Equality Statements is available [here](#).

VII. Contact Information

For queries about this call such as eligible activities and costs or remit of the call please contact AHRC at enquiries@ahrc.ukri.org or telephone: 01793 416060 (available Monday to Friday 08:30–16:30)

For queries on using Je-S such as creating and submitting the application form or Je-S account creation, please contact the Je-S Helpdesk on 01793 444164 or jeshelp@rcuk.ac.uk (available Monday to Friday 08:30–17:00)

Section 2 – Guidance on Costs incurred by non-UK Institutions

The budget limits on grant proposals refer to the total cost of the research project – this is known as the full economic cost (fEC).

For UK institutions the fEC cost is not the actual cash contribution paid by the AHRC. The actual cash contribution, known as the ‘AHRC contribution’, is 80 percent of the fEC. However, in recognition of the potential effect of the ‘80 percent rule’ on non-UK organisations, the call will support **in full** (100 percent) all the **direct costs** of the research incurred by non-UK institutions.

International PIs/Co-Investigators based in high-income/developed countries outside of the UK can claim 100% of their direct costs but no indirect or estate costs.

International PIs/Co-Investigators based in OECD DAC ODA eligible countries can claim 100% of their direct costs including other staff-related costs (i.e. statutory contributions analogous to UK National Insurance or Superannuation contributions). In addition, non-UK institutions and partners in OECD DAC ODA eligible countries may charge a contribution towards indirect costs calculated at up to 20% of the total eligible direct costs charged to the grant directly relating to the activities of the OECD DAC ODA eligible country investigator(s). Indirect costs cover the following category of costs, which cannot therefore be charged separately to the grant:

- building and premises costs
- basic services and utilities
- any clerical staff and office equipment, maintenance or operational costs not already included under other staff headings or direct costs headings
- costs of the research organisation’s administration such as personnel, finance, library and some departmental services.

If a proposal is recommended for funding, AHRC may ask for evidence of the costing basis for all direct and indirect costs, and budgets may be reduced if costs are considered excessive.

AHRC standard funding conditions apply but with the following additional provisions for the costs of Principal and/or co-investigator costs and other work undertaken at an overseas organisations OECD DAC ODA eligible countries, as summarised in the following table:

Description	Research Councils Contribution (percent)
Costs incurred for overseas PI/ Co-Investigators and any locally employed staff, e.g., percent of actual salary based on time worked on the grant (entered as Other DI exceptions on Je-S form).	100
Costs incurred by the overseas organisation and associated with the research, e.g., consumables, field work etc. (entered as Other DI exceptions on Je-S form).	100
Costs incurred by overseas investigators or staff for travel and expenses (entered as Other DI exceptions on Je-S form).	100
A contribution towards indirect and estates costs at overseas organisations in developing countries is permissible, calculated at up to 20% of the total direct costs charged to the grant relating to the activities of the LMIC investigator(s) (entered as Other DI exceptions on Je-S form).	100

Applicants should seek contributions from project partners, e.g., business, government and third sector organisations where appropriate. In acknowledgment of the fact some smaller third sector organisations do not have the capacity to co-fund research activities, direct costs to support partners from third sector organisations, e.g. NGOs, are eligible under this call. This includes costs for staff salaries (normally no more than 1 FTE per annum), travel and subsistence, other direct costs and overheads. Costs will be funded at 100 percent fEC and should be entered as exceptions on J-eS form. Total costs associated with third sector bodies' contribution should not normally exceed 30 percent of the overall cost of the grant at 100 percent fEC.

Key variations to the standard AHRC policy for this call are:

- i. There is no limit on the proportion/percentage of grant costs relating to research undertaken by non-UK research organisation investigators, although please note that breakdowns between high income and OECD DAC ODA eligible country researchers should be appropriate with the aims of this ODA fundingscheme.

- ii. In addition to the costs for overseas academic investigators, costs for third sector/NGO partners may also be funded at 100% fEC, these are normally subject to 30% overall limit of the total cost of an award at 100% fEC with staff salaries (not normally expected to exceed 1 FTE per annum), where the 30% limit is exceeded a full justification in terms of the intellectual and practical contribution to the research of the third sector partner should be provided.
- iii. A contribution towards indirect and estates costs can be made for overseas organisations within OECD DAC ODA eligible countries, calculated at up to 20% of the total eligible direct costs charged to the grant directly relating to the activities of the OECD DAC ODA eligible country investigator(s); however, in line with the standard AHRC co-investigator policy, estates/indirect/overhead costs cannot be requested for international co-investigators employed by academic organisations which are not based in a OECD DAC ODA eligible country (i.e. research organisations located in developed countries and their subsidiaries).

Given the ODA focus of this call on OECD DAC ODA eligible countries, costs for overseas investigators in high income countries should be kept to a minimum and fully justified in terms of the unique capabilities which they will bring to the research which are not available within the UK or OECD DAC ODA eligible countries.

The balance of intellectual leadership and costs between high income countries and OECD DAC ODA eligible countries will be considered in the assessment of proposals. Please ensure budget breakdowns between high income and OECD DAC ODA eligible country researchers are appropriate with the aims of this ODA funding scheme.

Completion of Je-S proposal

When completing the Je-S proposal it is essential that applicants make it clear which costs will be incurred by UK institutions and which will be incurred by non-UK institutions.

This will ensure that, if your proposal is successful, the AHRC can identify any non-UK direct costs which should be funded at 100 percent fEC and the appropriate level of indirect costs, in line with the guidance above.

It is important to note that where non-UK costs are specified, these refer to the costs incurred by non-UK institutions, and not overseas travel and expenses incurred by members of UK institutions.

The following procedure has been agreed to allow applicants to identify costs relating to non-UK institutions. **All costs must be entered in pounds sterling (£).**

- For all proposals the full economic costs (fEC) of the proposed research must be entered into the budget sections of the form as instructed in the Je-S Helptext. The Je-S form was originally developed for proposals from UK research organisations and hence automatically calculates the 80 percent AHRC contribution. **To ensure that non-UK costs that should be paid at 100 percent are recorded correctly, you must follow the procedures set out below.**
- It is essential that the Je-S proposal names all institutions, known individuals and/or project roles involved in the bid, to ensure costs requested in the budget can be appropriately linked to these. Including this information only within attachments such as the Delivery Model attachment is insufficient for these purposes⁷.
- All project costs relating to non-UK institutions must be prefixed as 'non-UK' and must be entered into the budget section of the Je-S form as follows:
 - Principal investigators (PIs) and co-investigators (Co-Is) must enter their time allocation under 'Directly Allocated' but must enter the salary rate as zero. Their salary and any other salary-related costs must then be entered under 'Other Directly Incurred Costs'.
 - All other non-UK staff salaries and related costs should be entered under 'Other Directly Incurred Costs'.
 - Any non-UK indirect costs should be entered under 'Other Directly Incurred Costs'.
 - Travel and subsistence costs directly incurred by non-UK institutions should be entered under 'Other Directly Incurred Costs'.

These costs **must be clearly identified on the form as non-UK costs in order to be funded at 100 percent.** In addition they **must be marked as 'Exceptions'** using the tick box: this will allow the Je-S form to correctly calculate the total cost of the project and an accurate figure will be shown.

⁷ Please note this does not mean that all partner institutions will need to be registered on Je-S: this requirement only applies to the institutions of the Principal Investigator (PI) or Co-Investigators (Co-Is).

An itemised breakdown of all resources requested to undertake the research project must be included in the 'Resources' section of the Je-S form.

Applicants must also state clearly in the 'Justification for Resources' attachment which costs in the proposal relate to non-UK institutions and therefore attract the 100 percent direct cost rate. Where sufficient justification is not provided for any item it may be cut from any successful award.

Please note: All cost should be at current prices, with no allowance for inflation.

Section 3 – Je-S Guidance: How to Apply

Proposals should be submitted through the Je-S system at the latest by **4pm on 5 September 2019**, and will need to go through the appropriate institution submission process. You should submit your proposal using the Research Councils' [Joint electronic Submission \(Je-S\) System](#).

To prepare a proposal form in Je-S:

- log-in to your account and choose 'Documents' from the menu;
- then select 'New Document';
- 'AHRC' as the Council,
- 'Standard Proposal' as the Document Type;
- 'Development Grants' as the Scheme;
- 'AHRC DFID Collaborative Humanitarian Protection Research Grants 5 September 2019' as the Call/Type/Mode, and
- 'Create Document'.

Je-S will then create a proposal form, displaying the relevant section headings. Using the 'Help' link at the top of each section will provide guidance relevant to that section of the form.

Note that selecting 'Submit document' on your proposal form in Je-S initially submits the proposal to your host organisation's administration, not to AHRC. *Please remember to allow sufficient time for your organisation's submission process between submitting your proposal to them and the Call closing date.*

All required proposal attachments are listed in **Section 4 – Attachments**. All applicants must read this section before submitting via Je-S.

If you experience difficulties using Je-S or have questions regarding its use, contact:

- Je-S helpdesk

Email: jeshelp@rcuk.ac.uk

Telephone: +44 01793 444164

The helpdesk is open Monday-Thursday 08:30–17:00, Friday 08:30–16:30 (excluding bank holidays and other holidays). If calling out of hours, please leave a voice message.

Section 4 – Attachments

In completing the Je-S application form you must include the following attachments for each proposal, noting the page limits where applicable (for each attachment an Arial font size no smaller than 11-point should be used):

- Case for Support (up to eight sides of A4)
- Additional document – Optional Capacity Building element (up to one side of A4)
- Justification of Resources (max two sides of A4)
- Pathways to Impact (max two sides of A4)
- International PI Head of Dept statement (max two sides of A4)
- International Co-I Head of Dept Statement (max two sides of A4)
- Work plan (max one side of A4)
- CV for the Principal Investigator and each Co-Investigator (max two sides of A4 per CV)
- Publication lists for the Principal Investigator and each Co-Investigator (max two sides of A4)
- Letters of Support from each Project Partner (max one side of A4)
- ODA Compliance Statement (max one side of A4)
- Additional Document – Delivery Model (max up to two sides of A4)
- Gender Equality Statement (max one side of A4)
- Additional Document – Safeguarding, risks, ethics and research conduct (max one side of A4)
- Data Management Plan – (max two sides of A4)

Case for Support (up to eight sides of A4)

The Case for Support should be no more than 8 sides of A4 outlining the vision and rationale for the proposed Research Grant. If you choose to include footnotes or a bibliography (you are not required to do so) these must be included within the page limit. Within this page limit you should aim to make the Case for Support as concise, specific and clear as possible.

You are advised to focus your proposal and to provide sufficient evidence to enable reviewers to reach a considered judgment as to the overall quality and potential significance of your proposal, its innovation, its feasibility and potential overall value for money.

Your Case for Support should be structured using the following headings:

Fit to Call

You should outline your vision for the activity proposed, including the following areas:

- How the project will make a contribution to better understanding the causes of humanitarian protection risks/violations and to better understanding of what interventions are most effective in improving humanitarian protection outcomes.
- How the project will address one or more of the six research themes identified, and make a strong contribution to understanding of the area(s) identified.
- How the project would include consideration of gender dynamics as a vital cross-cutting theme in relation to protection risks and protection outcomes and also include wider inclusion considerations in relation to the theme being studied, with a genuine effort to incorporate consideration of gender dynamics and wider inclusion considerations within the design of the research.

Research questions or problems

You should describe clearly the research questions, issues or problems that you intend to address. What are the issues that you will be exploring in the course of your research?

Research context

You should describe the research context for your project/programme of work. Why is it important that these questions or issues are explored? This should also include justification for the choice of region of focus and how this supports the objectives of the call.

What other research is being or has been conducted in this area? What contribution will your project make to improving, enhancing, or developing creativity, insights, knowledge or

understanding in your chosen area of study? To whom will the outcomes of your research be of particular interest?

Research methods

What research methods will you be using to address the questions or issues that you have set yourself, or solve the problems you have identified, or to explore the matters you intend to investigate? Why have you chosen these methods? Why are they the best way to answer the research questions or problems you have identified? What will be your role? If there are other people involved, what will their roles be and why are they the appropriate people to be involved?

In describing your research methods it is not sufficient to state, for example, that you intend to visit a particular archive, or an exhibition abroad. You must provide adequate details of sources to be consulted, and you should state briefly what kinds of material you will be consulting, why they are relevant to your programme of research, and how you will interrogate them.

Depending on the approach you are using throughout your research, you may also need to explain clearly the creative and/or performative aspects of the work, explain how you will develop a new process, product or tool, or provide details of who you have consulted or will be involved in the process of research.

Under the Research Methods heading you should also outline how any copyright or intellectual property issues relating to the project and the production of any outputs will be addressed.

Project management

Here you should provide an overview of the below points, but coordinate this with information in the Delivery Model attachment, which is an additional attachment for application to this call.

How will the project be managed? What will be the roles of the members of staff involved (including you and any Co-Investigator(s), any research assistants)? What is the timetable for the project? Does it include appropriate milestones and is it realistic? When will the outputs of the project be completed? How will you ensure that they meet the needs of your audience? Can the costs be justified? How will you ensure good value for money?

The project management section should also include the management of the digital and data management aspects of the projects, if applicable, and should be coordinated with the information in the Data Management Plan. It should be clear what the milestones for the

completion of this element are and the work should be incorporated into the timetable for the whole project. The project management of the data management aspects of the project should include an assessment of risk in relation to the complexity and delivery of the project.

If a postdoctoral researcher is to be employed, you should state clearly the nature of the work they will be undertaking and describe clearly the working relationships that are envisaged between all the members of the research team. You should describe fully the arrangements for supervising and managing the research assistant. If the researcher is unknown you should state the skills and qualifications sought. Similarly, if the project involves a visit to or a secondment from a member of staff from another organisation, you must state clearly what work they will pursue and describe the working relationships envisaged with other members of the team.

In terms of supporting the research staff funded on the project, you should clearly outline the development opportunities which the project will make available. These should include opportunities both in relation to research expertise, and wider opportunities, for example, in connection with the activities proposed in the Pathways to Impact statement.

Dissemination

Information under this heading should build on the details given in the Academic Beneficiaries and Impact Summary sections of the Je-S form.

Please provide examples of the kinds of outputs you propose to produce during the award and their proposed focus. Please explain further how the research will benefit other researchers in the field and – where relevant – academic beneficiaries in other disciplines.

How do you propose to maximize the value of the proposed research outputs? You should cross refer here to the separate attachment, 'Pathways to Impact'.

Additional document – Optional Capacity Building element (up to one side of A4)

If applying for the additional capacity building element within the proposal, your application should also include details on the following areas:

- Full details of the proposed capacity building activities, including the nature of the activities and who will deliver these, the institutions or organisations involved in this element, and the country or region in which the activities will take place, including rationale for why the activity is taking place in this country or region.

- How the proposed capacity building activities detailed are necessary to enable substantive OECD DAC ODA eligible countries institutions' participation in the delivery of the research and how they will enable this.

Naming Convention: Surname_Capacity Building

Justification of Resources (up to two sides of A4)

Applicants should:

- Explain why the indicated resources are needed, taking into account the nature and complexity of the activities proposed. Note that it is not sufficient merely to list what is required
- Refer to the breakdown of resources in the summary fund headings Directly Incurred and Directly Allocated
- Estates costs, Indirect costs, Fellowship salary costs, and some other Directly Allocated costs such as general technical services do not need to be justified

Pathways to Impact (up to two sides of A4)

The Pathways to Impact attachment is your opportunity to describe in more detail how the potential impacts of the research beyond academia, as outlined in the Impact Summary, will be realised. Taking into account what is reasonable and appropriate given the nature of the research you propose to conduct, you should describe how the proposed research will be managed to engage any users and beneficiaries that have been identified, or to identify potential users and beneficiaries as the research progresses, and to increase the likelihood of achieving impacts. In presenting your plans, you should tailor and target your impact activities to ensure that they are relevant to the specific user and beneficiary groups likely to be interested in your research and appropriate for supporting the potential research impacts outlined. Innovative and creative approaches are strongly encouraged.

When completing the attachment, you should consider (and address if appropriate) methods for communications and engagement, collaboration and exploitation. You should also detail who will be undertaking any impact activities and include any resource implications in the financial summary and in the separate Justification of Resources attachment.

The attachment should be up to two sides of A4 in Arial font no smaller than size 11-point.

International PI Head of Department Statement (up to two sides of A4)

If your proposal includes an International Principal Investigator, a Head of Department Statement from the lead institution is required.

This statement must include the following information:

- Why the international principal investigator is best placed to lead the research
- How they will deliver the project's objectives
- How their institution will support them during the lifetime of the project
- Assurances that their contract will be in place for the duration of the project

International Co-I Head of Department Statement (up to two sides of A4)

If your proposal includes an international co-investigator, their institution must submit a Head of Department Statement. This must include the following information:

- What the international co-investigator is bringing to the project and why they are best placed to conduct the research
- How they will deliver the project's objectives
- How their institution will support them during the lifetime of the project
- Assurances that their contract will be in place for the duration of the project

Workplan (up to two sides of A4)

A Workplan must be used to outline the timetable for the project and to indicate the work and key activities to be undertaken during the award.

Curriculum Vitae (up to two sides of A4)

Summary curriculum vitae should be attached as separate documents for each Principal Investigator and any Co- Investigators and named Research Assistants. These should be no more than two sides of A4 paper and in an Arial font no smaller than 11-point. CVs should include basic information about education, employment history, and academic responsibilities.

Publication Lists (up to two sides of A4)

Summary lists of publications/research outputs should be attached as separate documents for each Principal Investigator and any Co-Investigators or named postdoctoral researchers. These should cover major publications/outputs in the last five years and should be no more than one side of A4 paper and in an Arial font no smaller than size 11. Normal margin sizes of 2cm must be used. Brief articles, conference papers, etc. need not be included. You should asterisk those of particular relevance to your current research proposal.

Project Partner Letters of Support (up to two sides of A4)

Each Project Partner must provide a Project Partner letter of support, of no more than 2 sides of A4 or equivalent on headed paper by e-mail in exceptional circumstances. The letter must be in Arial font and no smaller than size 11 font with normal attachment margin sizes.

The letter should be written when the proposal is being prepared and should be targeted specifically to the project, it must therefore be dated within six months of submission of the proposal.

The letter of support is intended provide reassurance to the AHRC and to its reviewers that the appropriate authorisation has been given to the proposed contribution or commitment from a Project Partner. To provide assurance that the project partner has authorised the proposed contribution or commitment the letter or email should be signed by the named contact, stating the capacity in which they are providing the sign off. Project Partner letters of support that merely indicate that an organisation is interested in the research are not permitted. The individual named as contact for the Project Partner organisation cannot also be named as staff, for example Co-Investigator on a grant proposal.

A well written project partner letter of support will confirm the Project Partner's commitment to the proposed project by articulating the benefits of the collaboration, its relevance and

potential impact. The Project Partner letter should also identify the value, relevance and possible benefits of the proposed work to the partner, the period of support, the full nature of the collaboration/support and how the partner will provide added value. Where relevant to the project, details should be provided of the projected market size, customers and sales and how the organisation will commercialise the technology beyond the project. Project Partner contributions, whether in cash or in kind, should be explained in detail in the project partner letter of support. Detail of how this support relates to the proposal as a whole should be included in the case for support and in the Pathways to Impact attachment.

Project Partner Letters of Support must be sent directly to the Research Organisation who should submit the letter to AHRC via Je-S at the same time as the rest of the application. The project partner must also be listed on the application form along with their costs, please see Project Partners and Collaborating Organisations under the eligibility section on page 37 of the [AHRC Research Funding Guide](#)

ODA Compliance Statement (up to one side of A4)

Projects must demonstrate how they are ODA compliant and will contribute to the economic development and welfare of developing countries. Further information on ODA compliance under the GCRF is available [here](#). The outline ODA compliance statement should directly answer the following three questions:

- a) Which country / countries on the DAC list will directly benefit from this proposal and are these countries likely to continue to be ODA eligible for the duration of the research?
- b) How is your proposal directly and primarily relevant to the development challenges of these countries?
- c) How do you expect that the outcome of your proposed activities will promote the economic development and welfare of a country or countries on the DAC list?

Additional Document – Delivery Model (up to two sides of A4)

This is an additional document for application to this call.

Applicants should provide details on the institutions involved in the project, what they are bringing to the project and what their specific roles within the project are, including what activities they will be completing.

Non UK Components Attachment – Gender Equality Statement (up to one side of A4)

To comply with the International Development (Gender Equality) Act 2014, applications must provide a Gender Equality Statement, outlining how applicants have taken meaningful yet proportionate consideration as to how the project will contribute to reducing gender inequalities. This must be no longer than a one page and is a mandatory attachment.

See above **Section VI. Scheme Requirements and Post Award Reporting – (D) Gender Equality Statement** for full details of information required within the Gender Equality statement.

The one page ‘Gender Equality Statement’ must be attached to your proposal as a ‘Non UK Components’ type attachment. Further guidance for applicants on Gender Equality Statements is available [here](#).

Additional document – Safeguarding, risks, ethics and research conduct (up to one side of A4)

Proposals to this call must complete this additional document. Funded proposals will be expected to adopt the highest standards of good research conduct, safeguarding and gender, equalities, diversity and inclusion (EDI). Where appropriate, proposals should also consider how they might contribute to developing and sharing best practices and building capabilities for the future in these areas.

- Proposals must include an assessment of risks, including safety of all those involved in the research (researchers, partners and participants) and strategies for addressing risks relating to potential changes to research access and/or conflict dynamics, and meet the expectations outlined in the [UKCDR statement on safeguarding](#) and in the International Development (Gender Equality) Act 2014.
- Proposals must also detail how they will identify and manage safeguarding risks and what policies and procedures will be in place to enable reporting and investigation of allegations when they arise.

Data Management Plan (up to two sides of A4)

The Data Management Plan should outline the project's approach to managing data. It is mandatory to include for all Research Grants applications. Applicants should address the below points:

1. Briefly introduce the types of data the research will create. Why did you decide to use these data types?
2. Give details on the proposed methodologies that will be used to create the data. Advise how the project team selected will be suitable for the data/digital aspects of the work, including details of how the institution's data support teams may need to support the project
3. How will the data be stored in the short term?
 - a). What backup will you have in the in-project period to ensure no data is lost?
4. How the data will be stored in the long term
 - a). Where have you decided to store it, why is this appropriate?
 - b). How long will it be stored for and why?
 - c). Costs of storage – why are these appropriate? Costs related to long term storage will be permitted providing these are fully justified and relate to the project Full justification must be provided in Justification of Resources (JoR)
5. How the data will be shared and the value it will have to others
 - a). How the data will enhance the area and how it could be used in the future?
 - b). Releasing the data – advise when you will be releasing and justify if not releasing in line with AHRC guidelines of a minimum of three years. If the data will have value to different audiences, how these groups will be informed?
 - c). Will the data need to be updated? Include future plans for updating if this is the case.
 - d). Will the data be open or will you charge for it? Justify if charging to access the data
 - e). Financial requirements of sharing – include full justification in the JoR
6. Ethical and Legal considerations
 - a). Any legal and ethical considerations of collecting the data

- b). Legal and ethical considerations around releasing and storing the data – anonymity of any participants, following promises made to participants

You may wish to consult external sources of knowledge in order to provide a more fulsome data management plan. Below are some useful links to assist with creation of the plan and these can provide some guidance and pointers in conjunction with your institution's own knowledge. You do not need to specifically reference these sources in the Data Management Plan unless you feel it is appropriate to do so.

If you are using any of the advice contained in external information you should explain this in your data management plan in order to ensure that reviewers are aware as to why you have written the plan in this way.

Data storage and sharing, including future planning for the data:

- [Digital Preservation Coalition Knowledge Base](#)
- [Digital Curation Centre](#)
- Costs of preserving the data
- [4C \(Collaboration to clarify the costs of Curation\)](#)

The data management plan will be assessed by reviewers from our Academic College. The plan should be written in Arial at size 11 with normal 2cm margins and entitled Data Management Plan. The data management plan can be up to a maximum of two pages long and can include diagrams, but these must be within the 2 page limits.

By submitting the application you are confirming your institution has considered and will meet the following points listed below. Unless the proposal is inherently digital in its methodology and naturally requires the information in these points to be specified and detailed in order to furnish the application you do not need to go into any further detail explaining these points.

By submitting you are confirming that:

- The proposal has been written in line with your institution's data management policy
- You have consulted with the institution's data support (e.g. library services, IT department)
- The institution is able to store the data appropriately during the lifecycle of the grant, the relevant people have been consulted and this has been considered and agreed
- The institution has considered all the risks, and storage will be in line with the institution's data management policy (provide a link to the policy if applicable)

- The institution will ensure the format/quality of the data (how will you make it as easy as possible to access the data?)
- You have consulted the relevant people in your organisation and you are aware of any IP considerations
- You have considered any data protection requirements
- You have considered the legal considerations of collecting and releasing the data and have consulted with appropriate support
- The data collection, creation, storage and dissemination will conform to the institution's ethical policy
- We expect the Data Management Plan will be revisited each year during the award and as long as is required following the award to take into account any potential changes in (for instance) technology/IP/institutional data management policy/copyright to ensure legal compliance

You must confirm these points via a yes/no box on the application form and we do not expect applications to be submitted if they do not comply. If you do not confirm the institution will comply with these points the proposal will be rejected.

END OF DOCUMENT

Version 1.1