

## 附件 2 英文申请材料

Applicants should ensure the following documents are submitted

- Case for support (six pages max)
- Justification of resources (two pages per country)
- Pathways to Impact (two pages max)
- CV (two pages max)

Other attachments – mandatory for this call

- Management Plan (two pages max)
- International Funding Agency Resource Form
- NSFC Individual Financial Cost Templates
- ODA Compliance (150 words max)
- Letters of support (if applicable)

### **Case for support (maximum of six sides of A4)**

For each proposal, UK and Chinese investigators should prepare an identical single ‘case for support’ that should be submitted to both ESRC and NSFC. This case for support will allow for the funders to obtain reviews of the same document.

The case of support must not exceed six sides of A4 and must include the following sections:

- The introduction should set the aims and objectives of the study in context. It should briefly sketch the main work that the research will draw from, with references, particularly how they relate to leading research in the UK and China. Any relevant policy or practical background should be included.
- The detailed research questions to be addressed should be clearly stated.
- Give a full and detailed description of the proposed research methods. Particular care should be taken to explain any innovation in the methodology or where you intend to develop new methods.
- Clearly state the framework and methods for analysis, and explain the reasons for their choice.
- Indicate the expected outputs both academic and those aimed at (potential) users (articles, papers, datasets, events, etc.). Where possible, describe the expected impact.
- The bibliography for references cited in the proposal should be attached under the ‘List of publications’ document; this should not include publications not cited in the proposal. A list of the most relevant and recent publications should be included in the applicant CVs.

## **Justification of resources (one document, maximum of two sides of A4 per country)**

**Applicants must submit one document outlining the justifications required from both ESRC and NSFC.** This one document outlines the resources requested from ESRC (maximum of two sides of A4) and the resources requested from NSFC (maximum of two sides of A4).

The justification of resources should explain why the resources requested are appropriate for the research proposed, taking into account the nature and complexity of the research proposal. It should not be simply a list of the resources required, as this is already given in the Je-S form. Where you do not provide sufficient explanation for an item that requires justification, it will be cut from any grant made.

## **Pathways to Impact (maximum of two sides of A4)**

While the Impact Summary section of the Je-S form is for applicants to explain who will benefit from the research and how, the Pathways to Impact attachment should be used to explain what will be undertaken by the applicant to ensure that opportunities for users to benefit from your research, and thus for achieving economic and societal impact, are maximised.

The Pathways to Impact is your opportunity to describe how the potential impacts of your research will be realised. This attachment is specific to users and beneficiaries of the research who are outside of the academic research community including, for instance, the public sector, private sector, civil society or the wider public in general.

User communities for ESRC research may include bodies and individuals from industry, charities, universities, local authorities and other public bodies, government departments and independent policy bodies.

Potential academic beneficiaries of your work and pathways towards achieving academic impact should not be detailed in this attachment but in the 'Academic Beneficiaries' section of the Je-S form and the 'Case for Support' as appropriate.

In describing plans to maximise impact, applicants should consider what is achievable and expected for research of this nature. If you do not feel that your research has potential to achieve impact outside of academia, you should use the Pathways to Impact attachment to explain why this is the case. However, it is expected that applicants will have considered impact in its broadest economic and societal terms before coming to this conclusion.

Applicants should note that while we recognise the value of this type of research, reviewers may comment on the applicant's reasoning during consideration of the proposal.

Impact can take many forms, manifest at different stages in the research process, and be promoted in different ways. It may be helpful to consider impact in respect of the short term (during the currency of the grant), medium term (up to one year afterwards), and the long term. A statement about our expectations of the research we fund is at [www.esrc.ac.uk/impact-expectations](http://www.esrc.ac.uk/impact-expectations).

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

To be effective, all communication, engagement and impact activities must be planned in detail and

properly resourced. **To this end it is recommended that approximately 10 per cent of the overall budget should be dedicated to delivering the project's impact strategy as outlined in the Pathways to Impact attachment.**

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

### **Data Management Plan (maximum of three sides of A4 per applicant)**

It is a requirement of the ESRC Research Data Policy [www.esrc.ac.uk/datapolicy](http://www.esrc.ac.uk/datapolicy) that all applicants planning to generate data as part of their grant must include a Data Management Plan. The Data Management Plan should be used as an opportunity to describe how the data, i.e. primary input into research and first-order results of that research, are going to be managed - starting from planning for research and through the life-cycle of the grant until data is accepted for archiving by the UK Data Service.

The ESRC recognises the importance of research data quality and provenance. Research data generated by ESRC-funded research must be well-managed by the grant holder during the grant period to enable their data to be exploited to the maximum potential for further research. For further guidance see the Je-S Helptext.

### **CV (maximum of two sides of A4 per applicant)**

The application must include CVs from **every** applicant and named research staff member. This should include contact details, qualifications (including class and subject), academic and professional posts held since graduation, a list of the most relevant and recent publications, and a record of research funded by the ESRC, NSFC and other bodies. This should not exceed two A4 sides.

### **List of publications (maximum of one side of A4)**

The bibliography for references cited in the proposal only should be attached. Please note publications not cited in the proposal should not be added here. A list of the most relevant and recent publications by the applicant should be included in the applicant CV.

### **Final/interim reports (maximum of three sides of A4)**

All current grant holders must submit a progress report on their current awards with any new application. Details should include the output records submitted by the applicant to the Researchfish system.

### **Letters of support (maximum of one side of A4)**

Exceptionally letters of support can be submitted as part of a proposal; provided they are essential to the successful conduct of the research (e.g. confirming access to

datasets, or confirming access to or use of the facilities provided by named organisations). **General letters of support that are not essential for the successful conduct of the research or do not confirm any specific contribution to the project should not be included.**

### **Management Plan (maximum of two sides of A4)**

One page should be used for a diagrammatic work plan, for example a PERT or Gantt chart. The plan should cover the project as a whole, detailing significant milestones and showing how different aspects of the project will link together and be managed.

### **International Funding Agency Resource Form**

Details must be provided of all research partners involved in the project (including Co-investigators, project partners and collaborating organisations where appropriate).

Requirements include:

- Role and name of the applicant(s) - there should be one PI/main applicant for each country involved
- The name of the applicant's organisation(s)
- The organisation(s) division or department/unit/laboratory
- Project title
- Total funding amounts applied for from each funding agency
- Completion and insertion of the international funding agencies resources form

The total amounts requested, alongside the financial templates submitted separately to NSFC and ESRC, will be used to assess the balance of resources requested.

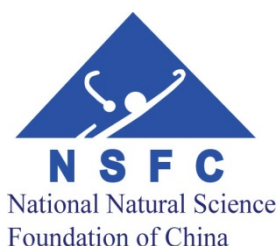
### **NSFC Financial Cost Template (see the template at the end)**

Details must be provided on the financial cost requested from the NSFC. This should be completed by the Chinese PI. Questions should be directed to the NSFC.

The total amount requested, alongside the International Funding Agency Resource Form and the ESRC financial template, will be used to assess the balance of resources requested.

### **Statement of ODA relevance (maximum of one side A4)**

As the ESRC funds for this call come from the Newton Fund any funding must contribute to economic development and poverty alleviation in developing countries. Please describe how the proposed UK funded work is ODA-compliant. Further details on ODA relevance can be found on the RCUK website (<http://www.rcuk.ac.uk/international/newton/>)



**ESRC/NSFC Call for Collaborative Research  
in China**

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**INTERNATIONAL FUNDING AGENCIES RESOURCES FORM**

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Please complete the following information as completely as possible. This form should be submitted as part of your application to the ESRC/NSFC Call for Collaborative Research Urban Transformations in China.

**Names of main applicant(s) and co-investigators from the UK including Chinese researchers**

**There should be one main applicant for each country (expand the table as necessary)**

<b>Role (Main appl./Co-I)</b>	<b>Title</b>	<b>Name</b>	<b>Organisation</b>	<b>Division, department or unit</b>	<b>Funding agency associate with</b>

**Project title:**

Please insert the name and contact details of your UK-based Lead Partner:

Please insert the name and contact details of your Chinese Lead Partner:

Summary of resources required

(FUNDING AGENCIES)

**Funding amount applied from NSFC**

Project title:

PI:

Unit: 10,000 yuan

No.	Item	Sum	Details
	(1)	(2)	(3)
1	I Expenditure	/	/
2	1. Direct costs		
3	(1) Equipment		
4	a. Purchase		
5	b. Trial		
6	c. Modification and rental		
7	(2) Materials and supplies		
8	(3) Test/calculation/analysis		
9	(4) Power consumption		
10	(5) Travel		
11	(6) Conference		

12	(7) International cooperation		
13	(8) Publication/Reference/ Dissemination of info/Intellectual Property		
14	(9) Labour Cost		
15	(10) Consulting		
16	(11) Miscellaneous		
17	2. Indirect costs		
18	Incl.: performance-based incentives		
19	II Other source(s) of support		

## Budget Justification

Budget should be explained in as much detail as possible, including the purpose for each item in the table, the breakdown of calumniations used to arrive at the amount in each line of the budget and estimated transfer of fund for collaborative research, etc. please attach additional pages if necessary.



