European Commission

The EU Framework Programme for Research and Innovation

HORIZON 2020

ERC Proof of Concept Grant 2014

Administrative forms (Part A)
Research proposal (Part B)
Letter of Commitment of the Host Institute

Version 1.1
3 February 2014

Disclaimer
This document is aimed at informing potential applicants for Horizon 2020 funding. It serves only as an example. The actual Web forms and templates, provided in the online proposal submission system under the Participant Portal, might differ from this example. Proposals must be prepared and submitted .via the online proposal submission system under the Participant Portal.

Research and Innovation

History of changes

Version 1.1 ***3 February 2014***

- Part A added

Horizon 2020

Excellent Science

Call:

Topic:

Type of action:

Proposal number:

Proposal acronym:

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Table of contents

Section	*Title*	*Action*
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How to fill in the forms

The administrative forms must be filled in for each proposal using the templates available in the submission system. Some data fields in the administrative forms are pre-filled based on the previous steps in the submission wizard.

1 - General information

Topic

Type of action

Call identifier

Acronym*

Proposal title*

The title should be no longer than 200 characters (with spaces) and should be understandable to the non-specialist in your field.

Free keywords

You may enter a number of keywords that you consider necessary to characterise the scope of your proposal. There is a limit of 200 characters.

Duration in months

Insert the estimated duration of the project in full months.

Related ERC Project ID number*

This is the reference number (6-digit ID number) of the related ERC project .This number can be

Abstract

The abstract (summary) should, at a glance, provide the reader with a clear understanding of the objectives of the research proposal and how they will be achieved. The abstract will be used as the short description of your research proposal in the evaluation process and in communications to contact in particular the potential ERC experts reviewing the proposals and/or inform the Commission and/or the programme management committees and/or relevant national funding agencies[1] (provided you give permission to do so where requested below). It must therefore be short and precise and should not contain confidential information. Please use plain typed text, avoiding formulae and other special characters. The abstract must be written in English. There is a limit of 2000 characters (spaces and line breaks included).

Remaining characters 2000

In order to best review your application, do you agree that the above non-confidential proposal title and abstract can be used, without disclosing your identity, when contacting potential reviewers?* ◯ Yes ◯ No

Has this proposal (or a very similar one) been submitted in the past 2 years in response to a call for proposals under the 7th Framework Programme, Horizon 2020 or any other EU programme(s)? ◯ Yes ◯ No

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Proposal ID	*Acronym*

Declarations

1) The Principal Investigator declares to have the explicit consent of all applicants on their participation and on the content of this proposal.*	☐
2) The information contained in this proposal is correct and complete.	☐
3) This proposal complies with ethical principles (including the highest standards of research integrity — as set out, for instance, in the European Code of Conduct for Research Integrity — and including, in particular, avoiding fabrication, falsification, plagiarism or other research misconduct).	☐

4) The Principal Investigator hereby declares that *(please select one of the three options below)*:

- in case of multiple participants in the proposal, the coordinator has carried out the self-check of the financial capacity of the organisation on http://ec.europa.eu/research/participants/portal/desktop/en/organisations/lfv.html. Where the result was "weak" or "insufficient", the Principal Investigator confirms being aware of the measures that may be imposed in accordance with the H2020 Grants Manual (Chapter on Financial capacity check).	☐
- in case of multiple participants in the proposal, the Principal Investigator is exempt from the financial capacity check being a public body including international organisations, higher or secondary education establishment or a legal entity, whose viability is guaranteed by a Member State or associated country, as defined in the H2020 Grants Manual (Chapter on Financial capacity check).	☐
- in case of a sole participant in the proposal, the applicant is exempt from the financial capacity check.	☐
5) The Principal Investigator hereby declares that each applicant has confirmed to have the financial and operational capacity to carry out the proposed action. Where the proposal is to be retained for EU funding, each beneficiary applicant will be required to present a formal declaration in this respect.	☐
The Principal Investigator is only responsible for the correctness of the information relating to his/her own organisation. Each applicant remains responsible for the correctness of the information related to him and declared above. Where the proposal to be retained for EU funding, the coordinator and each beneficiary applicant will be required to present a formal declaration in this respect.	

According to Article 131 of the Financial Regulation of 25 October 2012 on the financial rules applicable to the general budget of the Union (Official Journal L 298 of 26.10.2012, p. 1) and Article 145 of its Rules of Application (Official Journal L 362, 31.12.2012, p.1) applicants found guilty of misrepresentation may be subject to administrative and financial penalties under certain conditions.

Personal data protection

Your reply to the grant application will involve the recording and processing of personal data (such as your name, address and CV), which will be processed pursuant to Regulation (EC) No 45/2001 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data. Unless indicated otherwise, your replies to the questions in this form and any personal data requested are required to assess your grant application in accordance with the specifications of the call for proposals and will be processed solely for that purpose. Details concerning the processing of your personal data are available on the privacy statement. Applicants may lodge a complaint about the processing of their personal data with the European Data Protection Supervisor at any time.

Your personal data may be registered in the Early Warning System (EWS) only or both in the EWS and Central Exclusion Database (CED) by the Accounting Officer of the Commission, should you be in one of the situations mentioned in:

- the Commission Decision 2008/969 of 16.12.2008 on the Early Warning System (for more information see the Privacy Statement), or
- the Commission Regulation 2008/1302 of 17.12.2008 on the Central Exclusion Database (for more information see the Privacy Statement).

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2 - Administrative data of participating organisations

Host Institution

PIC	Legal name

Short name:

Address of the organisation

Street

Town

Postcode

Country

Webpage

Legal Status of your organisation

Research and Innovation legal statuses

Public body ..... no

Non-profit ..... no

International organisation ..... no

International organisation of European interest ... no

Secondary or Higher education establishment ..... no

Research organisation ..... no

Small and Medium-sized Enterprises (SMEs) ..... no

Academic Sector ..... no

Legal person .....no

Nace code

DR

Department(s) carrying out the proposed work

Department 1

Department name

Street *Please enter street name and number.*

☐ Same as organisation address

Town

Postcode

Country

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Principal Investigator

The following information of the Principal Investigator is used to personalise the communications to applicants and the evaluation reports. Please make sure that your personal information is accurate and please inform the ERC in case your e-mail address changes by using the call specific e-mail address:

The name and e-mail of contact persons including the Principal Investigator, Host Institution contact are read-only in the administrative form, only additional details can be edited here. To give access rights and contact details of contact persons, please go back to Step 4 of the submission wizard and save the changes.

Researcher ID *If you have a researcher identifier number (e.g.*

Last Name*

Last Name at Birth

First Name(s)*

Gender* ◯ Male ◯ Female

Title

Country of residence*

Nationality*

Country of Birth*

Date of Birth* (DD/MM/YYYY)

Place of Birth

Contact address

☐ Same as organisation address

Current organisation name

Current Department/Faculty/Institute/ Laboratory name

Street* *Please enter street name and number.*

Postcode/Cedex*

Town*

Phone* *+xxx xxxxxxxxx*

Country*

Phone2 / Mobile *+xxxx xxxxxxxxxxxx*

E-mail

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Contact address of the Host Institution and contact person

The name and e-mail of Host Institution contact persons are read-only in the administrative form, only additional details can be edited here. To give access rights and contact details of Host Institution, please go back to Step 4 of the submission wizard and save the changes. Please note that the submission is blocked without a contact person and e-mail address for the Host Institution.

Organisation Legal Name

First name* Last name*

E-Mail*

Position in org. *Please indicate the position of the Contact Point above in the organisati*

Department *Please indicate the department of the Contact Point above in the organi*

Street *Please enter street name and number.* ☐ Same as organisation address

Town Postcode

Country

Phone *+xxx xxxxxxxxx* Phone2/Mobile *+xxxx xxxxxxxxxxxx*

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3 - Budget

Participant Number in this proposal	Organisation Short Name	Organisation Country	Total estimated eligible costs/€	Requested EU contribution / €
1				
Total				

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4 - Ethics

1. HUMAN EMBRYOS/FOETUSES i		Page
Does your research involve Human Embryonic Stem Cells (hESCs)?	◯ Yes ◉ No	
Does your research involve the use of human embryos?	◯ Yes ◉ No	
Does your research involve the use of human foetal tissues / cells?	◯ Yes ◉ No	
2. HUMANS		**Page**
Does your research involve human participants?	◯ Yes ◉ No	
Does your research involve physical interventions on the study participants?	◯ Yes ◉ No	
Does it involve invasive techniques?	◯ Yes ◉ No	
3. HUMAN CELLS / TISSUES		**Page**
Does your research involve human cells or tissues? If your research involves human embryos/foetuses, please also complete the section "Human Embryos/Foetuses" [Box 1].	◯ Yes ◉ No	
4. PROTECTION OF PERSONAL DATA ii		**Page**
Does your research involve personal data collection and/or processing?	◯ Yes ◉ No	
Does your research involve further processing of previously collected personal data (secondary use)?	◯ Yes ◉ No	
5. ANIMALS iii		**Page**
Does your research involve animals?	◯ Yes ◉ No	

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Proposal ID *Acronym*

6. NON-EU COUNTRIES		Page
Does your research involve non-EU countries?	◯ Yes ◉ No	
Do you plan to use local resources (e.g. animal and/or human tissue samples, genetic material, live animals, human remains, materials of historical value, endangered fauna or flora samples, etc.)?	◯ Yes ◉ No	
Do you plan to import any material - including personal data - from non-EU countries into the EU? If you consider importing data, please also complete the section "Protection of Personal Data" [Box 4].	◯ Yes ◉ No	
Do you plan to export any material - including personal data -from the EU to non-EU countries? If you consider exporting data, please also complete the section "Protection of Personal Data" [Box 4].	◯ Yes ◉ No	
If your research involves low and/or lower middle income countries, are benefits-sharing measures foreseen?	◯ Yes ◉ No	
Could the situation in the country put the individuals taking part in the research at risk?	◯ Yes ◉ No	
7. ENVIRONMENT PROTECTION vi Directive 2001/18/EC - vii Directive 2009/41/EC - viii Regulation EC No 1946/2003 - ix Directive 2008/56/EC x Council Directive 92/43/EEC -xi Council Directive 79/409/EEC - xii Council Regulation EC No 338/97		Page
Does your research involve the use of elements that may cause harm to the environment, to animals or plants?	◯ Yes ◉ No	
Does your research deal with endangered fauna and/or flora and/or protected areas?	◯ Yes ◉ No	
Does your research involve the use of elements that may cause harm to humans, including research staff?	◯ Yes ◉ No	
8. DUAL USE Xiii		Page
Does your research have the potential for military applications?	◯ Yes ◉ No	
9. MISUSE		Page
Does your research have the potential for malevolent/criminal/terrorist abuse?	◯ Yes ◉ No	
10. OTHER ETHICS ISSUES		Page
Are there any other ethics issues that should be taken into consideration? Please specify	◯ Yes ◉ No	

I confirm that I have taken into account all ethics issues described above and if any ethics issues apply, I have attached the required documents. ☐

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Proposal ID *Acronym*

5 - Call specific questions

Eligibility	
I acknowledge that I am aware of the eligibility requirements for applying for this ERC call as specified in the ERC Work Programme 2014, and certify that, to the best of my knowledge my application is in compliance with all these requirements. I understand that my proposal may be declared ineligible at any point during the evaluation or granting process if it is found not to be compliant with these eligibility criteria.*	☐
Data-Related Questions and Data Protection (Consent to any question below is entirely voluntary. A positive or negative answer will not affect the evaluation of your project proposal in any form and will not be communicated to the evaluators of your project.)	
For communication purposes only, the ERC asks for your permission to publish your name, the proposal title, the proposal acronym, the panel, and host institution, should your proposal be retained for funding.	◯ Yes ◯ No
Some national and regional public research funding authorities run schemes to fund ERC applicants that score highly in the ERC's evaluation but which can not be funded by the ERC due to its limited budget. In case your proposal could not be selected for funding by the ERC do you consent to allow the ERC to disclose the results of your evaluation (score and ranking range) together with your name, non-confidential proposal title and abstract, proposal acronym, host institution and your contact details to such authorities? This consent is entirely voluntary and refusal to give it will in no way affect the evaluation of your proposal.	◯ Yes ◯ No
The ERC is sometimes contacted for lists of ERC funded researchers by institutions that are awarding prizes to excellent researchers. Do you consent to allow the ERC to disclose your name, non-confidential proposal title and abstract, proposal acronym, host institution and your contact details to such institutions? This consent is entirely voluntary and refusal to give it will in no way affect the evaluation of your proposal.	◯ Yes ◯ No
The Scientific Council of the ERC has developed a monitoring and evaluation strategy in order to help it fulfil its obligations to establish the ERC's overall strategy and to monitor and quality control the programme's implementation from the scientific perspective. As provided by section 3.10 of the ERC Rules for Submission, a range of projects and studies may be initiated for purposes related to monitoring, study and evaluating implementation of ERC actions. Do you consent to allow the third parties carrying out these projects and studies to process the content of your proposal including your personal data? The privacy statement on grants explains further how your personal data is secured. This consent is entirely voluntary and refusal to give it will in no way affect the outcome of the evaluation of your proposal.	◯ Yes ◯ No

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Proposal ID *Acronym*

Validation result

Section	Description
	The form has not yet been validated, click "Validate Form" to do so!

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ERC Proof of Concept Grant 2014
Part B

Please respect the following formatting constraints: Times New Roman, Arial or similar, at least font size 11, margins (2.0 cm side and 1.5 cm top and bottom), single line spacing.

Section 1: *The idea* (max 1 page)

a. Succinct description of the idea to be taken to proof of concept

b. Demonstration of the relationship between the idea and the related ERC-funded project

Section 2: *Early-stage innovation strategy* (max 2 pages)

a. Description of the innovation potential

b. Economic and/or societal benefits

c. Commercialisation process and/or any other exploitation process

d. Proposed plans for :

- **Competitive analysis**
- **Testing, technical *reports (where applicable)***
- **IPR position and strategy *(where applicable)***
- **Industry/sector contacts *(where applicable)***

Section 3: *The proof of concept plan* (max 2 pages)

a. Plan of the activities

b. Project-management plan

c. Description of the team

Section 4: *The budget* (max 1 page + costing table)

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a. Resources (incl. project costs)

(Note: To facilitate the assessment of resources by the panels, the use of the following budget table is strongly suggested. All eligible costs requested, should be included in the budget. **Please use whole Euro values only**.)

Cost Category			**Total in Euro**
Direct Costs[1]	**Personnel**	PI[2]	
		Senior Staff	
		Postdocs	
		Students	
		Other	
	i. Total Direct costs for Personnel (in Euro)		
	Travel		
	Equipment		
	Other goods and services	Consumables	
		Publications (including Open Access fees), etc.	
		Other (please specify)	
	ii. Total Other Direct Costs (in Euro)		
A – Total Direct Costs (i + ii) (in Euro)			
B – Indirect Costs (overheads) 25% of Direct Costs[3] **(in Euro)**			
C1 – Subcontracting Costs (no overheads) **(in Euro)**			
C2 – Other Direct Costs with no overheads[4] (in Euro)			
Total Estimated Eligible Costs (A + B + C) (in Euro)[5]			
Total Requested EU Contribution (in Euro)[5]			

The project cost estimation should be as accurate as possible. Significant mathematical mistakes may reflect poorly on the credibility of the costing table and the proposal overall.

The evaluation panels assess the estimated costs carefully. The requested contribution should be in proportion to the actual needs to fulfil the objectives of the project.

b. Justification (description of the budget)

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[1] An additional cost category 'Direct costing for Large Research Infrastructures' applicable to H2020 can be added to this table for PIs who are hosted by institutions with Large Research Infrastructures of a value of at least EUR 20 million and **only** after having received a positive ex-ante assessment from the Commission's services (see '*Information for Applicants to the Proof of Concept Grant 2014 Call*' for more details).
[2] When calculating the salary, please take into account the percentage of your dedicated working time to run the ERC funded project.
[3] Please note that the overheads are fixed to a flat rate of exactly 25%.
[4] Such as the costs of resources made available by third parties which are not used on the premises of the beneficiary (see '*Information for Applicants to the Proof of Concept Grant 2014 Call*' for details).
[5] These figures MUST match those presented in the online proposal submission form, section 3 – Budget. In case of discrepancy, the budget from the submission forms section 3 will prevail.

Commitment of the host institution[1, 2]

(to be printed on the official letterhead of the host institution)

Commitment of the host institution

The <<please fill in here the name of the legal entity that is associated to the proposal and may host the principal investigator and the project in case the application is successful>>, which is the applicant legal entity,

confirms its intention to sign a supplementary agreement with
<<please fill in here the name of the principal investigator>>

in which the obligations listed below will be addressed should the proposal entitled
<<acronym>> : <<title of the proposal>>

be retained.

Performance obligations of the applicant legal entity that will become the beneficiary of the grant agreement, should the proposal be retained and the preparation of the grant agreement be successfully concluded:

The *applicant legal entity* commits itself to engage the *principal investigator* for the duration of the grant to:

a) ensure that the work will be performed under the guidance of the *principal investigator*.
b) carry out the work to be performed, as it will be identified in Annex I of the ERC Grant Agreement, taking into consideration the specific role of the *principal investigator*.

For the host institution (applicant legal entity):

Name and Function

..... ; .....

Email and Signature of legal representative

..... ; .....

Stamp of the host institution (applicant legal entity)

IMPORTANT NOTE: All the above mentioned items are mandatory and shall be included in the commitment of the host institution.

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[1] A scanned copy of the signed statement should be uploaded electronically via the Participant Portal Submission Service in PDF format.

[2] This statement (on letterhead paper) shall be signed by the institution's legal representative and stating his/her name, function, email address and stamp of the institution.