



**European Research Council**

Established by the European Commission

# **ERC Frontier Research Grants Information for applicants to the Advanced Grant 2014 Call**

**June 2014 (see updates on pg. 2)**

**(formerly “Guide for Applicants”)**

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It can also be downloaded from the Research and Innovation Participant Portal on  
<http://ec.europa.eu/research/participants/portal/>



**EUROPEAN COMMISSION**

Horizon 2020 Specific Programme  
Part 1  
Excellent Science

## **Purpose of this document**<sup>1</sup>

This document provides practical information to potential applicants in preparing and submitting an application for an ERC Advanced Grant.

The document is divided into two parts:

- 1: Applying for an ERC Grant
- 2: Annexes

The present document is based on the legal documents setting the rules and conditions for the ERC frontier research grants, in particular the [ERC Work Programme 2014](#)<sup>2</sup>, *the ERC Rules for the submission of proposals* and the related evaluation, selection and award procedures relevant to the Specific Programme of H2020 – the Framework programme for Research and Innovation (2014-2020) (hereinafter [ERC Rules for Submission](#)), and the [ERC Model Grant Agreement](#). This document does not supersede the afore-mentioned documents, which are legally binding. Should there be any discrepancies between the aforementioned legal documents and this document, the former will prevail. The European Commission, the ERC Executive Agency or any person or body acting on their behalf cannot be held responsible for the use made of this document.

This *Information for Applicants document* may be further modified based on the experiences gained from preceding calls for proposals, on changes applied to the frontier research grants and the submission processes.

**Note:** As with other parts of the EU's Horizon 2020 Framework Programme, National Contact Points (ERC NCPs) have been set up across Europe<sup>3</sup> by the national governments to provide information and personalised support to ERC applicants in their native language. The mission of the ERC NCPs is to raise awareness, inform and advise on ERC funding opportunities as well as to support potential applicants in the preparation, submission and follow-up of ERC grant applications. For details on the ERC NCP in your country please consult the ERC website at <http://erc.europa.eu/national-contact-points>

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<sup>1</sup> This document is referred to as the 'Guide for Applicants' in the ERC Work Programme 2014.

<sup>2</sup> European Commission C(2013)8632 of 10 December 2013.

<sup>3</sup> This applies to EU Member States and Associated Countries. Some other countries also provide this service.

## Highlights of important new features related to proposal submission and evaluation for the ERC Advanced Grant 2014 calls

*Important extensions to the restrictions on applications will apply to the 2015 calls based on the outcome of the evaluation of the 2014 calls – see restrictions on submission of proposals section in this document.*

*New Horizon 2020 format for the online administrative submission forms (accessible via the [Participant Portal Submission System - PPSS](#)) including the mandatory filling of the Ethics Table for all proposals.*

*New templates for Proposal Parts B1 and B2 as well as the host institution support letter available for download in PPSS includes the following changes:*

- The introduction of a Model CV (Part B1)*
- Compulsory table format of the applicant's Funding ID (Part B1)*
- A new budget table under section c. Resources (Part B2) which should include a fixed rate of indirect costs/overheads at a flat rate of 25%*

## TABLE OF CONTENTS

|  |           |
|--|-----------|
| <b>PURPOSE OF THIS DOCUMENT .....</b>  | <b>2</b>  |
| <b>1: APPLYING FOR AN ERC ADVANCED GRANT.....</b>                            | <b>5</b>  |
| <b>1.1 PREPARING AND SUBMITTING AN ERC ADVANCED GRANT APPLICATION .....</b>  | <b>6</b>  |
| <b>1.1.1 Objectives and principles of ERC Advanced Grants 2014 .....</b>     | <b>6</b>  |
| <b>1.1.2 How to complete the grant application.....</b>                      | <b>11</b> |
| 1.1.2.1 Completing the online administrative Proposal Submission Forms ..... | 11        |
| 1.1.2.2 Instructions for completing 'Part B' of the proposal .....           | 22        |
| <b>1.1.3 How to submit the grant application.....</b>                        | <b>30</b> |
| 1.1.3.1 Modifying or withdrawing a proposal.....                             | 35        |
| <b>1.2 EVALUATION AND SELECTION OF GRANT PROPOSALS.....</b>                  | <b>36</b> |
| <b>1.2.1 Eligibility Check.....</b>  | <b>36</b> |
| <b>1.2.2 Peer review evaluation of proposals .....</b>                       | <b>37</b> |
| 1.2.2.1 The ERC evaluation panels .....                                      | 38        |
| <b>1.2.3 Ethics Review .....</b>   | <b>39</b> |
| <b>1.2.4 Outcome of evaluation.....</b>                                      | <b>40</b> |
| <b>1.2.5. Feedback to applicants.....</b>                                    | <b>40</b> |
| 1.2.5.1 Evaluation review procedure.....                                     | 41        |
| <b>2: ANNEXES .....</b>  | <b>43</b> |
| <b>ANNEX 1: ERC PEER REVIEW EVALUATION PANELS (ERC PANELS) .....</b>         | <b>44</b> |
| <i>Social Sciences and Humanities.....</i>                                   | <i>44</i> |
| <i>Physical Sciences and Engineering .....</i>                               | <i>46</i> |
| <i>Life Sciences.....</i>  | <i>50</i> |
| <b>ANNEX 2: COMMITMENT OF THE HOST INSTITUTION .....</b>                     | <b>54</b> |
| <b>ANNEX 3: SPECIFIC GUIDANCE RELATED TO ETHICS .....</b>                    | <b>57</b> |

# **1: Applying for an ERC Advanced Grant**

## 1.1 Preparing and submitting an ERC Advanced Grant application

### 1.1.1 Objectives and principles of ERC Advanced Grants 2014

The ERC Work Programme 2014 sets out the Objectives and Principles of ERC funding. ERC Advanced Grants are designed to support excellent Principal Investigators at the career stage at which they are already established research leaders with a recognised track record of research achievements. Applicant Principal Investigators must demonstrate the ground breaking nature, ambition and feasibility of their scientific proposal.

This action is open to researchers of any nationality who intend to conduct their research activity in any EU Member State<sup>4</sup> or Associated Country<sup>5</sup>.

The ERC's frontier research grants operate on a 'bottom-up' basis without predetermined priorities. Applications can be made in any field of research with particular emphasis on the frontiers of science, scholarship and engineering<sup>6</sup>. In particular, proposals of an interdisciplinary nature, which cross the boundaries between different fields of research, pioneering proposals addressing new and emerging fields of research or proposals introducing unconventional, innovative approaches and scientific inventions are encouraged.

The call 'ERC-2014-AdG' consists of one call with a single deadline applying to the three main research domains: Physical Sciences & Engineering (Panels PE1-PE10), Life Sciences (Panels LS1-LS9), and Social Sciences & Humanities (Panels SH1 – SH6). The guiding principles of the ERC Advanced Grants are highlighted in Box 1.

#### Box 1 Guiding principles of the ERC Advanced Grants

- Scientific excellence is the sole criterion on the basis of which ERC frontier research grants are awarded.
- Applications can be made in any field of research.
- Individual research teams led by a single PI can apply for funding.
- Principal Investigators from anywhere in the world can apply for an ERC grant.
- The ERC's frontier research grants aim to empower individual researchers and provide the best settings to foster their creativity.
- Grants are awarded to the host institution that engages and hosts the PI. The PI will be employed by the host institution.
- Host institutions must provide conditions for the PI independently to direct the research and manage its funding.
- Host institutions must be established in an EU Member State<sup>4</sup> or Associated Country<sup>5</sup>.

<sup>4</sup> The EU Member States are: Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, the Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, and United Kingdom.

<sup>5</sup> The Associated Countries are: Albania, Bosnia and Herzegovina, the Faroe Islands, FYR Macedonia, Iceland, Israel, Montenegro, Norway, Republic of Moldova, Serbia and Turkey. Other countries may become associated during the course of H2020. The association of Switzerland to Horizon 2020 is pending finalisation of their association agreements.

<sup>6</sup> Research proposals within the scope of Annex I of the EURATOM Treaty directed toward nuclear energy applications should be submitted to relevant calls under the Research and training programme of the European Atomic Energy Community (2014-18) complementing Horizon 2020 Framework programme for research and Innovation (Council Regulation (EURATOM) No 1314/2013, OJ L 347, 20.12.2013, p. 948).

The ERC supports projects, which are carried out by individual **research teams headed by a single Principal Investigator (PI)** of any nationality. These teams may be of national or trans-national character. With the focus on the PI, the concept of individual team is fundamentally different from that of a traditional 'network' or 'research consortium'; **proposals of the latter type should not be submitted to the ERC**. In certain fields (e.g. in the humanities and mathematics), where research is often performed individually, the 'team' may consist solely of the Principal Investigator.

The PI does not need to be employed by the host institution at the time when the proposal is submitted. If not already employed by the host institution, the PI must be engaged by the latter at least for the duration of the grant<sup>7</sup>.

With the support of the host institution, successful PIs will be expected to lead their individual teams. The PI must be strongly committed to the project and devote a significant amount of time to it. Principal Investigators funded through the ERC Advanced Grants will be expected to spend a **minimum 30% of their total working time on the ERC project and a minimum of 50% of their total working time in an EU Member State or Associated Country**<sup>8</sup>.

### **Size of ERC Advanced Grants**

**Advanced Grants** can be up to a maximum of **EUR 2 500 000** for a period of **5 years** (pro rata for projects of shorter duration).

However, up to an additional **EUR 1 000 000** can be requested in the proposal to cover:

(a) eligible "start-up" costs<sup>9</sup> for Principal Investigators moving to the EU or an Associated Country from elsewhere as a consequence of receiving the ERC grant (b) and/or the purchase of major equipment and/or (c) access to large facilities.

The European Union financial contribution will take the form of the reimbursement of up to 100% of the total eligible and approved direct costs and of a flat-rate financing of indirect costs of 25% of the total eligible direct costs<sup>10</sup>.

### **Profile of the ERC Advanced Grant Principal Investigator**

Principal Investigators for the prestigious ERC Advanced Grant are expected to be active researchers and to have a track record of significant research achievements **in the last 10 years** which must be presented in the application.

Furthermore, Principal Investigators of Advanced Grant proposals will be expected to demonstrate a record of achievements appropriate to the field.

Applicants are encouraged to evaluate their track-record and leadership potential against the benchmarks listed in the ERC Work Programme 2014 (see Profile of the ERC Advanced Grant PI) that

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<sup>7</sup> Normally the Principal Investigator will be employed by the host institution, but cases where, for duly justified reasons, the Principal Investigator's employer cannot become the host institution, or where the Principal Investigator is self-employed, can be accommodated. The specific conditions of engagement will be subject to clarification and approval during the granting procedure or during the amendment procedure for a change of host institution.

<sup>8</sup> A specification about the PI's commitment should be provided in Part B2 of the research proposal.

<sup>9</sup> As any additional funding is to cover major one-off costs it is not subject to pro-rata reduction for projects of shorter duration. All funding requested is assessed during evaluation.

<sup>10</sup> Excluding the direct costs for subcontracting and the costs of resources made available by third parties, which are not used on the premises of the host institution.

have been adopted by the Scientific Council, in order to decide for themselves their likelihood for success, thus avoiding investing effort in proposals that are very unlikely to succeed.

### **Eligible Host Institutions**

The host institution must engage the Principal Investigator for at least the duration of the project, as defined in the ERC model grant agreement. It must either be established in an EU Member State or Associated Country as a legal entity created under national law, or it may be an International European Interest Organisation (such as CERN, EMBL, etc.), the European Commission's Joint Research Centre (JRC) or any other entity created under EU law. Any type of legal entity, public or private, including universities, research organisations and undertakings can host Principal Investigators and their teams.

### **Ethical Issues**

Some frontier research activities and methodologies may have ethical implications or may raise questions which will require sound ethical assessment in order to ensure that research supported by an ERC grant respects the fundamental ethical principles (see point 1.2.3 and Annex 3 to this document).

### **Research Integrity**

Cases of scientific misconduct such as fabrication, falsification, plagiarism or misrepresentation of data will be considered as breaches of fundamental ethical principles and the proposals concerned may be excluded in accordance with section 3.11 of the ERC Rules for Submission.



## Restrictions on submissions of proposals

The restrictions for submission under the ERC Work Programme 2014 are set out below. They may be modified in subsequent years by the Scientific Council in light of experience.

The year of an ERC call for proposals refers to the Work Programme under which the call was made and can be established by its call identifier. A 2012 ERC call for proposals is therefore one that was made under the Work Programme 2012 and will have 2012 in the call identifier (for example ERC-2012-AdG). Ineligible or withdrawn proposals do not count against these restrictions.

- *A Principal Investigator may submit only one proposal to the ERC for ERC frontier research grant calls made under the same Work Programme.*
- *A Principal Investigator whose proposal was evaluated as **category C** in the Starting, Consolidator or Advanced Grant calls for proposals under Work Programme 2013 may not submit a proposal to the Starting, Consolidator or Advanced Grant calls for proposals made under Work Programme 2014.*
- *A researcher may participate as Principal Investigator or Co-Investigator<sup>11</sup> in only one ERC frontier research project at any one time<sup>12</sup>;*
- *A researcher participating as Principal Investigator in an ERC frontier research project may not submit a proposal for another ERC frontier research grant, unless the existing project ends<sup>13</sup> no more than two years after the call deadline;*
- *A Principal Investigator who is a serving Panel Member for a 2014 ERC call or who served as a Panel Member for a 2012 ERC call may not apply to a 2014 ERC call for the same type of grant<sup>14</sup>.*

As a result of very high and rising demand for ERC grants the Scientific Council has decided to extend the above restrictions in future as follows:

- *A Principal Investigator whose proposal is evaluated as **category C** in the Starting, Consolidator or Advanced Grant calls for proposals under Work Programme 2014 may not submit a proposal to the Starting, Consolidator or Advanced Grant calls for proposals made under Work Programme 2015 and 2016.*
- *A Principal Investigator whose proposal is finally evaluated as **category B** in the Starting, Consolidator or Advanced Grant calls for proposals under Work Programme 2014 may not submit a proposal to the Starting, Consolidator or Advanced Grant calls for proposals made under Work Programme 2015.*

<sup>11</sup> Co-Investigator projects were supported under the Advanced Grant in Ideas Work Programmes from 2008 – 2011.

<sup>12</sup> A new frontier research project can only start after the duration of the project fixed in a previous frontier research grant agreement has ended.

<sup>13</sup> According to the duration of the project fixed in the previous frontier research grant agreement.

<sup>14</sup> The members of the ERC's panels alternate to allow panel members to apply to the ERC's calls in alternate years.

These restrictions are designed to allow unsuccessful Principal Investigators the time to develop a stronger proposal.

## **Preparing and submitting an ERC Advanced Grant application<sup>15</sup>**

ERC grant applications can be submitted only in response to a 'call for proposals'. Calls announced in the ERC Work Programme 2014 are published on the ERC website<sup>16</sup>, the Research and Innovation Participant Portal<sup>17</sup>, and in the Official Journal of the European Union<sup>18</sup>.

**A single submission deadline is foreseen for all scientific domains:**

**ERC-2014-AdG: 21 October 2014, 17.00.00 (Brussels local time)**

Please note that the foreseen submission deadlines could be modified after the publication of the calls. You are therefore invited to periodically consult the Research and Innovation Participant Portal<sup>17</sup> where any modifications of the submission deadlines are indicated.

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<sup>15</sup> The working language of the ERC evaluation panels is English. Please note that accordingly the evaluation reports will be available in English only. If the proposal is not in English, a translation of the full proposal would be of assistance to the experts. An English translation of the abstract must be included in the proposal.

<sup>16</sup> <http://erc.europa.eu/>

<sup>17</sup> <http://ec.europa.eu/research/participants/portal>

<sup>18</sup> <http://eur-lex.europa.eu/JOIndex.do?ihmlang=en>

## 1.1.2 How to complete the grant application

### 1.1.2.1 Completing the online administrative Proposal Submission Forms<sup>19</sup>

Proposals must be submitted electronically via the web-based Participant Portal Submission Service (PPSS). **Please read point 1.1.3 of this document before starting the pre-registration process.** The PPSS Guide is available online at <http://ec.europa.eu/research/participants/portal/>.

In the submission forms, the PI is asked to fill the administrative data online that will be used in the evaluation and further processing of the proposal. The administrative forms are an integral part of the proposal and are divided in 5 Sections:<sup>20</sup>

- 1 – General Information
- 2 – Administrative data of participating organisations
- 3 – Budget
- 4 – Ethics
- 5 – Call specific questions

**Section 1 – General Information** concerns information about the research proposal, including an abstract of the project proposal and the chosen ERC panel for evaluation. The PI must indicate the most relevant ERC panel for evaluation of his/her proposal and choose one or more ERC keywords related to the research fields involved from a drop-down menu (see Annex 1 to this document for the full list of ERC keywords). Furthermore, section 1 contains general declarations related to the proposal and the participation in H2020.

**Section 2 – Administrative data of participating organisations** concerns information about the PI and the PI's host institution<sup>21</sup>.

**Section 3 – Budget** concerns information about the total estimated project costs and the requested EU grant. The amount given in the online financial form (section 3) must correspond exactly to the information provided in the research proposal text (Part B2, section c, resources). In case of discrepancy, the proposal submission form data will prevail.

**Section 4 – Ethics** serves to identify any ethical aspects of the proposed work. This table has to be completed even if there are no issues (simply confirm that none of the ethical issues apply to the proposal). Please note that, in case you answer YES to any of the questions, you are requested to provide an Ethics Self-Assessment and additional ethics documentation – if applicable, as detailed in the Ethics Issues Table checklist (in Annex 3 to this document).

**Section 5 – Call specific questions** contain declarations related to eligibility, and permission statements on data-related questions (the data-related consents are entirely voluntary). In section 5, as established in section 3.3 of the ERC Rules for Submission<sup>22</sup>, applicants submitting a proposal may request that up to three specific persons would not act as peer reviewers in the evaluation of their proposal.

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<sup>19</sup> The Specific Privacy Statement on the protection of personal data related to the "ERC- Proposals Evaluation, Grants Management and Follow-up" is available on the [ERC website](#). Applicants are reminded not to provide irrelevant and excessive data (mainly with regards to health data).

<sup>20</sup> Details of the scientific project are described in the research proposal, Parts B1 and B2.

<sup>21</sup> The filling of additional section 2 forms, corresponding to other beneficiaries e.g. institutions of team members ('additional participants'), may be necessary.

<sup>22</sup> To be found at [http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference\\_docs.html](http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html)

The following notes are for information only. They should assist you in completing the online proposal Submission forms of your proposal. On-line guidance will also be available. The precise questions and options presented in PPSS may differ slightly from these below.

Please regularly consult the Research and Innovation Participant Portal call page for updated information or contact the PPSS Service Desk by using the Horizon 2020 Help Desk <http://ec.europa.eu/research/index.cfm?pg=enquiries> or the Participant Portal IT Helpdesk <http://ec.europa.eu/research/participants/api/contact/index.html> or by contacting the SEP helpdesk on **(+32 (2) 29 92222)**.

## 1 – General information

|                         |  |
|-------------------------|--|
| <b>Topic</b>            | [pre-filled]<br>Chosen upfront on the participant portal call page, ERC-AdG-2014.  |
| <b>Call identifier</b>  | [pre-filled]<br>The call identifier is the reference number given in the call or part of the call you are applying for, as indicated in the publication of the call in the Research and Innovation Participant Portal – H2020 Calls. A call identifier looks like this: ERC-2014-AdG.  |
| <b>Type of Action</b>   | [pre-filled]<br>Definition for 'type of action', ERC-ADG.  |
| <b>Proposal Number</b>  | [pre-filled]   |
| <b>Proposal Acronym</b> | [pre-filled but editable]<br>The short title or acronym will be used to identify your proposal efficiently in this call. It should be of <b>no more than 20 characters</b> (use standard alphabet and numbers only; no spaces, symbols or special characters please).<br><br>The same acronym should appear on each page of the research proposal. |

|  |   |
|--|---|
| <b>Proposal Title (max. 200 characters) (non-confidential information)</b> | The title should be <b>no longer than 200 characters</b> and should be understandable to the non-specialist in your field.<br><br><b>In order to best review your application, your agreement is needed below so that this non-confidential title can be used when contacting potential reviewers, should your proposal be retained for step 2 of the evaluation process.</b>   |
| <b>Duration in months</b>  | The estimated duration of the project in full months (0-60 months).   |
| <b>Primary ERC Review Panel</b>  | [drop-down menu] – <u>mandatory</u><br>Please choose the primary ERC review panel ('Targeted Review Panel') by which you would like your proposal to be evaluated.<br>The full list of ERC review panels is in Annex 1 to the ERC Work Programme 2014.<br><br>It is the PI's responsibility to choose the most relevant ERC panel ('primary review panel') for the evaluation of the proposed research. The initial allocation of the proposals to the various panels will be based on the expressed preference of the PI. In the case of cross-panel/cross-domain proposals the PI may indicate a 'secondary review panel'. The primary panel will then decide whether the proposal is indeed cross-panel or even cross-domain and if its evaluation requires expertise from other panels.<br><br><b>Despite the initial allocation being based on the preference of the PIs, when necessary due to the expertise required for the evaluation, proposals may be reallocated to different panels during the course of the peer review evaluation.</b> |

|  |  |
|--|--|
| <p><b>Secondary ERC Review Panel (if applicable)</b></p>   | <p>[drop-down menu]<br/>You can choose a secondary ERC review panel that you consider most relevant to your proposal. The choice of a 'Secondary ERC Review Panel' is <u>optional</u>. The full list of ERC review panels is in Annex 1 to the ERC Work Programme 2014.</p>  |
| <p><b>ERC Keyword 1 (please choose this keyword from those linked to the Primary ERC Review Panel)</b></p> | <p>[drop-down menu] - <u>mandatory</u><br/>Please select ERC keywords (as indicated in the ERC review panel list - Annex 1 to this document) that best characterise the subject of your proposal. <u>As first keyword please choose one which is linked to the Primary Review Panel.</u></p>   |
| <p><b>ERC Keywords 2, 3, 4</b></p>   | <p>[drop-down menu]<br/>You can select additional ERC keywords (as indicated in the ERC review panel list - Annex 1 to this document) that best characterise the subject of your proposal. You don't need to limit your choice of ERC keywords to your choice of specific review panel(s). Keywords 2, 3 and 4 are optional.</p>   |
| <p><b>Free Keywords</b></p>  | <p>In addition, please enter free text keywords that you consider best characterise the scope of your research proposal. The choice of keywords should take into account any multi-disciplinary aspects of the proposal.<br/>You can also use keywords from other specific classification systems, provided that the actual describing text is included. For example, applicants to the 'PE1 - Mathematics' panel may want to use the Mathematics Subject Classification system, and can then enter a text like 'MSC2010: 51Hxx Topological geometry'. There is a limit of 200 characters.</p> |

|  |   |
|--|---|
| <p><b>Abstract (min.100/ max. 2000 char.) (non-confidential information)</b></p>   | <p>The abstract should, at a glance, provide the reader with a clear understanding of the objectives of the research proposal and how they will be achieved. <b>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 ERC experts and/or inform the Commission and/or the programme management committees and/or relevant national funding agencies</b> (see also Data-Related Questions). <b>It must therefore be short and precise and should not contain confidential information.</b></p> <p>Please use plain typed text, avoiding formulae and other special characters. <b>The abstract must be written in English.</b> There is <u>a limit of 2000 characters</u> (spaces and line breaks included).</p> |
| <p><b>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?</b></p> | <p>[Yes/No] – In the course of the evaluation procedure, the non-confidential title and abstract of your proposal may be communicated to potential ERC reviewers, in particular should your proposal be retained for step 2 of the evaluation process. Please specify your agreement or disagreement.</p>   |
| <p><b>Has this proposal (or a very similar one) been previously submitted/funded to a call for proposals of FP7/Horizon 2020/other EU programmes?</b></p>  | <p>[Yes/No] – Please give the proposal reference or contract number.</p>  |

| <b>Declarations</b>   |  |
|---|--|
| The Principal Investigator declares to have the explicit consent of all applicants on their participation and on the content of this proposal.  | [Yes/No]   |
| The information contained in this proposal is correct and complete.   | [Yes/No]   |
| This proposal complies with ethical principles (including the highest standards of research integrity — as set out, for instance, in the <a href="#">European Code of Conduct for Research Integrity</a> — and including, in particular, avoiding fabrication, falsification, plagiarism or other research misconduct).   | [Yes/No]   |
| <p>The Principal Investigator hereby declares that:</p> <p>-, in case of multiple participants in the proposal, the coordinator has carried out the self-check of the financial capacity of the organisation on <a href="https://ec.europa.eu/research/participants/portal4/desktop/en/organisations/lfv.html">https://ec.europa.eu/research/participants/portal4/desktop/en/organisations/lfv.html</a>. Where the result was “weak” or “insufficient”, the coordinator confirms being aware of the measures that may be imposed in accordance with the H2020 Grants Manual (Chapter on Financial capacity check)</p> <p>-, in case of multiple participants in the proposal, the coordinator 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)</p> <p>- in case of a sole participant in the proposal, the applicant is exempt from the financial capacity check.</p> | [Yes/No] – Please tick the one declaration (out of three options) that is applicable to your proposal  |
| <p>The Principal Investigator hereby declares that each applicant has confirmed:</p> <p style="padding-left: 40px;">to have the financial and operational capacity to carry out the proposed action.</p> <p>Where the proposal is to be retained for EU funding, each beneficiary applicant will be required to present a formal declaration in this respect.</p>   | [Yes/No] – 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. |

## 2 – Administrative data of participating organisations

The first sub-section lists the participating organisations. The first form is given for the host institution. If other organisations are involved, additional fields will appear for each partner organisation added in Step 4 of the online submission system. For each institution many fields will be read-only data as registered and/or validated in the central registry of organisations of the European Commission, linked to the given PIC number in the Beneficiary Register (previously the URF).

### Host institution (applicant legal entity)

| Host Institution                                       |  |
|--|--|
| <b>Participant Identification Code (PIC)</b>           | [pre-filled] – The Participant Identification Code (PIC) enables organisations to take advantage of the Participant Portal. PIC numbers are necessary for the submission of proposals. By entering a PIC, section 2 will be filled in automatically. An online tool to search for existing PICs and the related organisations is available at <a href="http://ec.europa.eu/research/participants/portal/desktop/en/organisations/register.html">http://ec.europa.eu/research/participants/portal/desktop/en/organisations/register.html</a> . Organisations not yet having a PIC must self-register (via the same page) before submitting the proposal. Failure to do so will block the submission of your proposal. |
| <b>HI Legal name</b>                                   | [pre-filled]   |
| <b>HI Short name</b>                                   | [pre-filled]   |
| Address of the organisation                            |  |
| <b>Street</b>  | [pre-filled]   |
| <b>Town</b>  | [pre-filled]   |
| <b>Postcode</b>  | [pre-filled]   |
| <b>Country</b>   | [pre-filled]   |
| <b>Webpage</b>   | [pre-filled]   |
| Legal Status of your organisation                      |  |
| <b>Legal person</b>                                    | [pre-filled]   |
| <b>Public body</b>                                     | [pre-filled]   |
| <b>Non-profit</b>                                      | [pre-filled]   |
| <b>International organisation</b>                      | [pre-filled]   |
| <b>International organisation of European interest</b> | [pre-filled]   |
| <b>Secondary or Higher education establishment</b>     | [pre-filled]   |
| <b>Small and Medium-sized Enterprises (SMEs)</b>       | [pre-filled]   |
| <b>Academic sector</b>                                 | [pre-filled]   |
| <b>Nace code</b>                                       | [pre-filled]   |

| <b>Departments Carrying out the Proposed Work</b>     |  |
|---|--|
| <b>Department/Faculty/<br/>Institute/Lab<br/>Name</b> | Please indicate the address of the main department/institute/ unit that belongs to the same legal entity carrying out the work. Please use Latin characters. Use the 'Add a Department' button to add additional departments or units within the same institution, if necessary. |
| <b>Street</b>   | Please enter the street name and number where the department/faculty/institute/laboratory is located, in English.  |
| <b>Town</b>   | The town where the department/faculty/institute/laboratory is located, in English (please avoid any district codes).   |
| <b>Postcode</b>                                       | Please add here the district code.   |
| <b>Country</b>  | The country where the department/faculty/institute/laboratory is located, in English.  |

### **Principal Investigator (PI)**

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 ERCEA in case your e-mail address changes (by using the call specific e-mail address [ERC-2014-AdG-APPLICANTS@ec.europa.eu](mailto:ERC-2014-AdG-APPLICANTS@ec.europa.eu)).

The name and e-mail of the Principal Investigator is **read-only** in the administrative form (Step 5). Only additional details can be edited here. To edit the name of the PI please go back to Step 4 of the submission wizard and save the changes.

| <b>Principal Investigator</b>         |   |
|---------------------------------------|---|
| <b>Researcher ID</b>                  | If you have a researcher identifier number (e.g. Researcher ID, ORCID) please enter it here.        |
| <b>Last Name</b>                      | [pre-filled from 'Contacts' at Step 4]<br>Last name as given on Passport or Identity Card.          |
| <b>Last Name at Birth</b>             | Your last name at birth.  |
| <b>First Name(s)</b>                  | [pre-filled from 'Contacts' at Step 4]<br>Your first name(s) as given on Passport or Identity Card. |
| <b>Title</b>                          | Please choose one of the following: Prof., Dr., Mr., Mrs., Ms.                                      |
| <b>Gender<br/>Female(F)/Male(M)</b>   | This information is required for statistical and mailing purposes. Indicate F or M as appropriate.  |
| <b>Nationality</b>                    | [drop-down menu]<br>Please select one country.  |
| <b>Country of residence</b>           | [drop-down menu]<br>Please select the country in which you legally reside.                          |
| <b>Date of Birth<br/>(DD/MM/YYYY)</b> | Please specify your date of birth using the format (DD/MM/YYYY).                                    |
| <b>Country of Birth</b>               | [drop-down menu]  |



|                       |  |
|-----------------------|--|
|                       | Please select the country in which you were born.  |
| <b>Place of Birth</b> | The town in which you were born. Insert the name of the town in English (please avoid any district codes). |

|   |   |
|---|---|
| <b>Contact Address</b>                                      |   |
| <b>Current Organisation name</b>                            | Name under which your organisation is registered.   |
| <b>Current Department/Faculty/Institute/Laboratory name</b> | Name under which your department/faculty/institute/laboratory is registered.  |
| <b>Street</b>   | The street name and number.   |
| <b>Town</b>   | The town, in English (please avoid any district codes).   |
| <b>Postcode/Cedex</b>                                       | The postal code.  |
| <b>Country</b>  | [drop-down menu]<br>Please select one country.  |
| <b>Phone</b>  | Please insert the full phone number including country and city/area code. Example +32-2-2991111.  |
| <b>Phone2/Mobile</b>  | Please insert the full mobile number including country and city/area code. Example +32-2-2991111. The mobile phone number is optional.                                  |
| <b>E-mail</b>   | pre-filled from 'Contacts' at Step 4.   |
| <b>Qualifications</b>                                       |   |
| <b>Date of PhD award (PhD or equivalent) (DD/MM/YYYY)</b>   | Please specify the date of award of the <b>earliest degree</b> (PhD or equivalent doctoral degree). The information is mainly for statistical purposes and is optional. |

### **Contact address of the host institution and contact person for the ERC.**

The name and e-mail of the Host Institution contact person(s) are **read-only** in the administrative form (Step 5), only additional details can be edited here. To give access rights and contact details of the Host Institution, please go back to **Step 4 of the submission wizard** and save the changes. **Please note that submission is blocked without a contact person and email address for the Host Institution.**

|   |  |
|---|--|
| <b>Organisation legal name</b>                          | [pre-filled from 'Contacts' at Step 4]   |
| <b>First name(s)</b>                                    | [pre-filled from 'Contacts' at Step 4]   |
| <b>Last name</b>  | [pre-filled from 'Contacts' at Step 4]   |
| <b>E-mail</b>   | [pre-filled from 'Contacts' at Step 4]   |
| <b>Position in organisation</b>                         | e.g. senior administrative officer   |
| <b>Office/Section/<br/>Department/Faculty/<br/>name</b> | The name under which the host department/faculty/institute/laboratory is registered.                       |
| <b>Street</b>   | The street name and number.  |
| <b>Town</b>   | The town, in English (please avoid any district codes).  |
| <b>Postcode/Cedex</b>                                   | The postal code.   |
| <b>Country</b>  | [drop-down menu]<br>Please select one country.   |
| <b>Phone</b>  | Please insert the full phone number including country and city/area code. Example +32-2-2991111.           |
| <b>Phone2/Mobile</b>                                    | Please insert the full mobile number including country and city/area code. The mobile number is optional,. |

|   |  |
|---|--|
| <b>Other Contact Persons with access rights</b> |  |
| <b>First name(s)</b>                            | [pre-filled from 'Contacts' at Step 4]   |
| <b>Last name</b>                                | [pre-filled from 'Contacts' at Step 4]   |
| <b>E-mail</b>                                   | [pre-filled from 'Contacts' at Step 4]   |
| <b>Phone</b>                                    | Editable. Please insert the full phone number including country and city/area code. Example +32-2-2991111. |

### 3 – Budget

|   |   |
|---|---|
| <b>Financial information (in euros) – whole duration of the project</b>   |   |
| <p><b>Please ensure that all costs are given in whole Euros (integer), not thousands of Euros.</b><br/>Please ensure that the figures in this table match the total eligible costs and requested EU grant in Part B2 (section c, resources), where needed including the 25% indirect costs.</p> |   |
| <b>Participant Number in this proposal</b>  | The PI's host institution of the proposal is automatically <u>number one</u> .            |
| <b>Organisation short name</b>  | [pre-filled]  |
| <b>Organisation country</b>   | [pre-filled]  |
| <b>Total Eligible Costs</b>   | The sum of direct costs (personnel and others), indirect costs of 25% and subcontracting. |
| <b>Requested Grant</b>  | The total budget that you are requesting as the ERC grant (in Euros)                      |

## 4 – Ethics

In H2020 the completion of a general Ethics table has become compulsory and part of the online administrative submission forms. The PI must indicate any ethics issue in this section 4 together with a proposal page number (referring to Part B2). For correct indication of any ethics issue related to your proposal, please refer to Annex 3 to this document. Annex 3 will also give guidance on how to write the ethics self-assessment and give indication of any supporting documentation needed for the Ethics review procedure.

Areas excluded from funding under Horizon 2020 (Art. 19.3 of the H2020 Framework Programme)

- (i) Research activity aiming at human cloning for reproductive purposes;
- (ii) Research activity intended to modify the genetic heritage of human beings which could make such changes heritable (Research relating to cancer treatment of the gonads can be financed);
- (iii) Research activities intended to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.

All Horizon 2020 funded research shall comply with the relevant national, EU and international ethics related rules and professional codes of conduct. Where necessary, the beneficiary(ies) shall provide the responsible ERCEA with a written confirmation that it has received (a) favourable opinion(s) of the relevant ethics committee(s) and, if applicable, the regulatory approval(s) of the competent national or local authority(ies) in the country in which the research is to be carried out. The copy of the official approval from the relevant national or local ethics committees must also be provided to the ERCEA.

| <b>Ethics Issues (extended table available in Annex 3)</b>   |  |
|--|--|
|  | [Tickbox] - The Ethics Issues Table has to be completed even if there are no issues (simply confirm that none of the ethics issues apply to the proposal).                       |
| I confirm that I have taken into account all ethics issues described above and that, if any ethics issues apply, I will complete the ethics self-assessment and attach the required documents. | If any of the ethics issues indicated in the Ethics Issues Table apply to your proposal, you <b>must</b> provide an ethics self-assessment following the instruction in Annex 3. |
|  | For indication of additional supporting documentation needed, please see the extended table of ethics issues in Annex 3.   |

## 5 – Call specific questions

| <b>Eligibility</b>   |  |
|--|--|
| <p>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.</p>  | <p>[Yes] - Please confirm that you are eligible according to all requirements established in the ERC Work Programme 2014 – please pay particular attention to the section ‘Restrictions on submission of proposals’.</p> |
| <b>Data-Related Questions and Data Protection</b>  |  |
| <p>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.</p>  |  |
| <p>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.</p>  | <p>[Yes/No]</p>  |
| <p>Some national and regional public research funding authorities run schemes to fund ERC applicants that score highly in the ERC's evaluation but which cannot 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?</p>  | <p>[Yes/No]</p>  |
| <p>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?</p>  | <p>[Yes/No]</p>  |
| <p>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 the 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</p> | <p>[Yes/No]</p>  |

and the respective evaluation data? The privacy statement on grants<sup>23</sup> explains further how your personal data is secured.

### Exclusion of independent experts at the request of an applicant

As established in section 3.3 of the ERC Rules for Submission<sup>24</sup>, applicants submitting proposals may request that up to three specific persons would not act as peer reviewers in the evaluation of their proposal. Such a request is done at the time of proposal submission in the online administrative forms section 5 'Excluded Reviewers'.

If the person(s) identified is an independent expert participating in the Advanced Grant 2014 evaluation, he/she may be excluded from the evaluation of the proposal as long as ERCEA remains in the position to have the proposal evaluated. Applicants need to provide the following data about the persons which they intend to exclude from the evaluation:

- Name of the expert(s);
- Institution/employer, Town and Country;
- Web page.

| First Name | Last Name | Institution | Town | Country | Webpage |
|------------|-----------|-------------|------|---------|---------|
|            |           |             |      |         |         |

Please use the 'Add' button to fill information on each identified expert. By clicking the 'Remove' button you may delete the expert again.

Such a request will be treated confidentially by the authorised staff of ERCEA. If the excluded expert is a member of a panel he/she will be informed about the request concerning him/her. Please note that the request for exclusion is accepted by ERCEA as long as the proposal can still be evaluated by other reviewers having the necessary expertise. Additionally, in application of the existing regulation<sup>25</sup> on data protection, an excluded expert may be granted access to all data linked to his/her exclusion<sup>26</sup>.

The names of the excluded experts may be provided to the Panel Chair and/or members of the relevant panel(s). Please note that all fields, excluding the webpage, have to be properly completed for the request to be considered.

<sup>23</sup> <http://erc.europa.eu/document-library>

<sup>24</sup> To be found at [http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference\\_docs.html](http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html)

<sup>25</sup> Reform of data protection legislation: <http://ec.europa.eu/justice/data-protection/>

<sup>26</sup> Please see the Specific Privacy Statement provided on the ERCEA website at the following address: <http://erc.europa.eu/documents/erc-specific-privacy-statement-exclusion-independent-experts-applicants>

### 1.1.2.2 Instructions for completing 'Part B' of the proposal

The research proposal (Part B) consists of two parts: Part B1 (including cover page, sections a, b, and c) and Part B2 (including sections a, b, and c). **The templates for these two sections are provided in PPSS and their use is mandatory.** The electronic upload of the research proposal Parts B1 and B2 is done at Step 5 'Edit Proposal' and submitted via PPSS – see point 1.1.3 of this document.

**IMPORTANT NOTICE:** Please be aware that at step 1 of the evaluation only Part B1 is evaluated by the panel members, while at step 2 both Parts B1 and B2 are evaluated.

**When drafting Part B1, PIs should pay particular attention to the extended synopsis (section a) and should not consider it as simply complementing Part B2. It is important that the extended synopsis contains all relevant information including the feasibility of the scientific proposal since the panel will only evaluate Part B1 at step 1. Please note that at step 1 the panel has no access to Part B2.**

The information to be included in each of the sections as well as the maximum length of each section or its sub-sections, which needs to be respected strictly, is described below.

**In fairness to all applicants, the page limits below will be applied strictly. Only the material that is presented within these limits will be evaluated (peer reviewers will only be asked to read the material presented within the page limits, and will be under no obligation to read beyond them).**

Each proposal page **shall** carry a **header** presenting the **PI's last name**, the **acronym of the proposal**, and the reference to the respective proposal section (**Part B1** or **Part B2**).

The following parameters **shall** be respected for the layout:

| Page Format | Font Type                           | Font Size   | Line Spacing | Margins                 |
|-------------|-------------------------------------|-------------|--------------|-------------------------|
| A4          | Times New Roman<br>Arial or similar | At least 11 | Single       | 2 cm side<br>1.5 bottom |

#### **Part B1 – Cover page:**

**Please use the online template provided in the Participant Portal Submission Page for the call.**

Name of the Principal Investigator (PI)

Name of the PI's host institution for the project

Proposal full title

Proposal short name

Proposal duration in months

Proposal abstract (half page, must be a copy/paste of abstract from the administrative form section 1)

For inter-disciplinary/cross-panel proposals: please indicate the additional ERC review panel(s) and explain why the proposal needs to be considered by more than one panel.

#### **Part B1 Section a, b and c:**

##### **The Research Proposal**

##### **a. Extended Synopsis of the scientific proposal (max. 5 pages)**

The Extended Synopsis should give a concise presentation of the scientific proposal, with particular attention to the ground-breaking nature of the research project and the feasibility of the outlined scientific approach. Describe the proposed work in the context of the state of the art of the field.

References to literature should also be included. **It is important that this extended synopsis contains all relevant information including the feasibility of the scientific proposal since the panel will only evaluate Part B1 at step 1.**

#### **The Principal Investigator**

##### **b. Curriculum Vitae (max. 2 pages):**

The CV **should include the standard academic and research record**. A suggested outline is available in the Part B1 downloadable template. **The structure of the CV may be modified.**

If applicable, please make sure that any **research career gaps** and/or unconventional paths which might have influenced your ten-year track record are clearly explained in the career break section of your CV so that this can be fairly assessed by the evaluation panels.

The succinct '**funding ID**' which must specify any current research grants and their subject, and any on-going application for work related to the proposal **must follow the table format indicated in the Part B1 template**. The funding ID **will not count towards page limits** and needs to be completed with the following information for on-going grants and applications:

**Project Title, Funding source, Amount, Period, Role of the PI, Relation to ERC project**

##### **c. Ten-year track record (max. 2 pages)<sup>27</sup>:**

The Principal Investigator must provide a list of achievements in the last 10 years.

The PI should list his/her activity as regards:

1. **Ten representative publications, as senior author** (or in those fields where alphabetic order of authorship is the norm, joint author) in **major international peer-reviewed multi-disciplinary scientific journals** and/or in the **leading international peer-reviewed journals and peer-reviewed conferences proceedings** of their respective research fields, also indicating the number of citations (excluding self-citations) they have attracted (if applicable).
2. **Research monographs and any translations thereof** (if applicable).
3. **Granted patents** (if applicable).
4. **Invited presentations to peer-reviewed, internationally established conferences** and/or **international advanced schools** (if applicable).
5. **Research expeditions that the applicant Principal Investigator has led** (if applicable).
6. **Organisation of international conferences in the field of the applicant** (membership in the steering and/or organising committee) (if applicable).
7. **International Prizes/ Awards/ Academy memberships** (if applicable).
8. **Major contributions to the early careers of excellent researchers** (if applicable)
9. **Examples of leadership in industrial innovation or design** (if applicable).

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<sup>27</sup> As described in the ERC Work Programme 2014 section on the profile of the ERC Advanced Grant Principal Investigator.

## **Part B2 Section a, b, and c:**

### **The scientific proposal (max 15 pages)**

This part is evaluated *only* in step 2 of the peer review evaluation.

Please use the Word-template provided online in the Participant Portal Submission Page for the call.

The scientific, technical, and/or scholarly aspects of the project should be described more in detail demonstrating the ground-breaking nature of the research, its potential impact and research methodology. The fraction of the applicant's research effort that will be devoted to this project and a full estimation of the real project costs also need to be indicated.

**a. State of the art and objectives:** Specify clearly the objectives of the proposal, in the context of the state of the art in the field. When describing the envisaged research it should be indicated how and why the proposed work is important for the field, and what impact it will have if successful, such as how it may open up new horizons or opportunities for science, technology or scholarship. Specify any particularly challenging or unconventional aspects of the proposal, including multi - or interdisciplinary aspects.

#### **b. Methodology**

Describe the proposed methodology in detail including, as appropriate, key intermediate goals. Explain and justify the methodology in relation to the state of the art, including any particularly novel or unconventional aspects addressing 'high-risk/high-gain' balance. Highlight any intermediate stages where results may require adjustments to the project planning. In case it is proposed that team members engaged by another host institution participate in the project, their participation has to be fully justified. This should be done emphasizing the scientific added value they bring to the project.

#### **c. Resources (incl. project costs)**

It is strongly recommended to use the budget table template included in Part B2 to facilitate the assessment of resources by the panels. (See Box 2 and 3 for guidance on eligible- and non-eligible direct and indirect costs as well as the different cost categories)<sup>28</sup>. Please use whole Euro integers only when preparing the budget table.

State the amount of funding considered necessary to fulfil the objectives for the duration of the project. The resources requested should be reasonable and fully justified in the proposal. The requested grant should be in proportion to the actual needs to fulfil the objectives of the project.

Specify briefly your commitment to the project and how much time you are willing to devote to the proposed project. Please note that you are expected to devote at least 30% of your total working time to the ERC-funded project and spend at least 50% of your total working time in an EU Member State or Associated Country (see the ERC Work Programme 2014).

Describe the size and nature of the team, indicating, where appropriate, the key team members and their roles. The participation of team members engaged by another host institution should be

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<sup>28</sup> Applicants should pay special attention to the new cost category 'Direct costing for Large Research Infrastructures'. This new cost category will only be applicable 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. This new cost category should only be used for costs to access large research infrastructures inside the premises of and owned by the participating organisations. Please read the Annex to the Commission Decision C(2013) 8699 '[Guidelines on direct costing for large research infrastructures in Horizon 2020](#)'.



justified in relation to the additional financial cost this may impose to the project. Take into account the percentage of your dedicated time to run the ERC funded activity when calculating your personnel costs.

Specify any existing resources that will contribute to the project. Describe other necessary resources, such as infrastructure and equipment. It is advisable to include a short technical description of the equipment requested, a justification of its need as well as the intensity of its planned use. When estimating the costs for travel, please also consider participation of the PI and team members in conferences and dissemination events.

The terms and conditions laid down in the ERC Model Grant Agreement addresses how scientific publications must be made available through open access. The ERC also considers it essential that data and data-related products, such as computer codes, be deposited in the relevant databases as soon as possible, although this is not a formal requirement of the Grant Agreement. Please consider any costs complying with the terms and conditions related to open access.

**In the budget table:** Include the direct costs of the project plus a flat-rate financing of indirect costs calculated as 25% of the total eligible direct costs (excluding subcontracting) towards overheads. Furthermore, include a breakdown of the budget subdivided in personnel costs, travel, equipment, consumables, publication costs (including any costs related to Open Access), other direct costs, and any envisaged subcontracting costs.

If additional funding, above the normal (EUR 2 500 000), is requested for (a) covering eligible ‘start-up’ costs for a PI moving from another country to the EU or an Associated Country<sup>4,5</sup> as a consequence of receiving an ERC grant and/or (b) the purchase of major equipment and/or (c) access to large facilities, then this also needs to be fully justified. Please note that any additional funding request under (a) and (b) is subject to 25% overhead. The request of additional funding under (c) to access large research facilities owned by a third party and not used on the premises of the beneficiaries should be listed in cost category ‘C2. Other Direct Costs with no overheads’.

**The costs are given for the full duration. A breakdown by reporting period is not requested for the evaluation process.** The ‘Total estimated eligible costs’ as well as the ‘Total requested grant’ figures should be equal to those inserted in the online proposal submission forms (section 3 – Budget). The ERC funds 100% of the total eligible costs. In case the total costs differ from the requested grant, it should be specified on the proposal what exactly is funded from other sources.

The project cost estimation should be as accurate as possible. The evaluation panels assess the estimated costs carefully; unjustified budgets will be consequently reduced.

### **Supporting Documentation**

**Any additional annexes, the host institution support letter (and where relevant in case of ethical issues) should be provided and uploaded as separate pdf documents. These annexes do not count towards the maximum page limit for Part B2.**

## Box 2 Eligible and non-eligible direct and indirect costs

**Direct eligible costs** are those which support all the research, management, training and dissemination activities necessary for the conduct of the project, such as:

- Personnel Costs;
- Costs for subcontracting
- Other direct costs such as :
  - ✓ Travel costs and related subsistence allowances;
  - ✓ The depreciation costs for equipment;
  - ✓ Costs for other goods and services [consumables and supplies; dissemination/publication costs (page charges and related fees for publication of results including for Open Access), IPR costs, costs of the Certificates on the Financial statements];
  - ✓ Direct costing for Large Research Infrastructures<sup>28</sup>.

**Indirect eligible costs** are those which cannot be identified as directly attributable to the project, but which are incurred in direct relationship with the project's direct eligible costs, such as:

- Costs related to general administration and management;
- Costs of office or laboratory space, including rent or depreciation of buildings and equipment, and related expenditure such as water, heating, electricity;
- Maintenance, insurance and safety costs;
- Communication expenses, network connection charges, postal charges and office supplies;
- Common office equipment such as PCs, laptops, office software;
- Miscellaneous recurring consumables.

**Non-eligible costs** cannot be reimbursed through the ERC grant, in particular:

- Costs related to return on capital;
- Debt and debt service charges;
- Provisions for possible future losses or debts;
- Interest owed;
- Doubtful debts;
- Currency exchange losses;
- Excessive or reckless expenditure;
- Costs reimbursed under another EU grant;
- Deductible VAT;

More detailed information and guidance on the financial issues is provided in the [Horizon 2020 Reference Documents](#) and in the [ERC Annotated Model Grant Agreement](#).

### **Box 3 Subcontracting**

A subcontractor is a third party which has entered into an agreement on business conditions with one or more participants, in order to carry out part of the work of the project without the direct supervision of the participant and without a relationship of subordination.

Where it is necessary for the participants to subcontract certain elements of the work to be carried out, the following conditions must be fulfilled:

- subcontracts may only cover the execution of a limited part of the project;
- recourse to the award of subcontracts must be duly justified in Part B2 of the proposal having regard to the nature of the project and what is necessary for its implementation;
- recourse to the award of subcontract by a participant may not affect the rights and obligations of the participants regarding background and foreground;
- Part B2 of the proposal must indicate the task to be subcontracted and an estimation of the costs;

The beneficiary must award the subcontracts ensuring the best value for money or, if appropriate, the lowest price. In doing so, it must avoid any conflict of interests.

Framework contracts between a participant and a subcontractor, entered into prior to the beginning of the project that are according to the participant's usual management principles may also be accepted.

### 1.1.2.3 Supporting Documentation

A scanned copy of the following supporting documentation needs to be submitted with the proposal by uploading electronically in PPSS in PDF format:

- The host institution (applicant legal entity) must confirm its association with and its support to the project and the Principal Investigator. As part of the application the institution must provide a binding statement that the conditions of independence are already fulfilled or will be provided to the Principal Investigator if the application is successful. The host institution support letter (template available on PPSS, or please see Annex 2 to this document) needs to be originally signed, stamped and dated by the institution's legal representative. Proposals that do not include this institutional statement may be declared ineligible.
- Any additional supporting documents which may be required following the indications provided in the proposal application (i.e. ethical self-assessment and supporting documentation for the ethics review procedure).

Copies of official documents can be submitted in any of the EU official languages. Document(s) in any other language must be provided together with a certified translation into English.

Please provide only the documents requested above. Unless specified in the call, any hyperlinks to other documents, embedded material, and any other documents (company brochures, supporting documentation, reports, audio, video, multimedia etc.) will be disregarded.

### **Check if the proposal is complete for the evaluation**

Incomplete proposals (where parts or sections of the proposal and/or the host institution's commitment statement are missing) may be declared ineligible and will not be evaluated<sup>29</sup>. The proposal must be submitted **before the relevant deadline of the call** to the appropriate primary ERC panel (i.e. the panel which covers the main scientific areas of the research proposed).

Where there is a doubt on the eligibility of a proposal, the peer review evaluation may proceed pending a decision by an eligibility review committee. If it becomes clear before, during or after the peer review evaluation phase, that one or more of the eligibility criteria has not been met, the proposal is declared ineligible and is withdrawn from any further examination.

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<sup>29</sup> See also section 2.4 'eligibility check' in the ERC Rules for Submission and in the ERC Work Programme 2014.

## **Box 4 Checklist – Is your proposal complete?**

For the submission of a complete Advanced Grant proposal, the following components have to be prepared:

**The Administrative 'Proposal submission forms': to be completed online in PPSS**

- on-line forms pre-registration and sections 1, 2, 3, 4 and 5

**The Research Proposal (Part B1 and B2) and all supporting documentation should be uploaded and submitted via PPSS as PDF files. Make sure all file names<sup>30</sup> contain the 'Proposal Short Name', such as PartB1\_[Proposal-Short-Name].pdf and PartB2\_[Proposal-Short-Name].pdf**

**The Research Proposal (Part B):**

**Part B1 (to be evaluated at step 1 and step 2):**

- Section a – The Extended Synopsis of the scientific proposal.
- Section b and c – The Principal Investigator. The 'funding ID' should be specified using the provided table format.

**Part B2 (to be evaluated at step 2 only):**

- Section a – State-of-the art and objectives
- Section b – Methodology
- Section c – Resources (including project costs)

**The Supplementary Documents:**

- The supporting statement from the host institution: originally signed, stamped and dated by the host institution's legal representative (see Annex 2).
- If applicable, the ethics self-assessment explaining how the ethics issues will be treated (see Annex 3 to this document on how to write the ethics self-assessment and on the need for supporting documentation).

**Please ensure that all forms and supplementary documents are uploaded correctly in PPSS before the final submission. It is strongly recommended to double-check by downloading them and verifying their completeness.**

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<sup>30</sup> Please note that filenames cannot exceed 75 characters long including the file extension.

### 1.1.3 How to submit the grant application

Proposals must be submitted electronically using the electronic submission system of the web-based Participant Portal (PPSS)<sup>31</sup>. Access to PPSS is available from the call page (after selecting a topic, click on the 'Submission Service' button, and a type of action of a call) of the Research and Innovation Participant Portal<sup>32</sup>.

An Internet browser and version 9 (or above) of the Adobe reader are needed and is set up as your default PDF handler. Make sure Adobe Reader plug-in is enabled on your browser (all previous reader installations must be removed). Please note that some internet browsers and/or Operating Systems (OS) may not be supported by the PPSS. To check the requirements, click on:

<https://ec.europa.eu/research/participants/submission/manage/diagnostics> or the '[User guide of the submission service](#)', also available from the 'Submission Service'.

#### **Step 1: 'ECAS registration' - Getting a user ID with the Commission**

To be able to submit a proposal, you must first register an ECAS account. Getting a user ID with the **European Commission Authentication Service (ECAS)** is mandatory in order to login to the Participant Portal and to be able to use the different functions of the Portal, including the proposal submission. Each time you access the proposal for editing, this user ID is requested. The same user ID is used for all later interactions with the ERCEA, including notification of the results of the evaluation<sup>33</sup>.

#### **Step 2: 'Access the proposal submission system'**

Access to the system is provided from the topic's page after selecting the 'Submission Service' and choosing the required action type. The system requires a login on the Portal.

#### **Step 3: 'Create a draft proposal' (pre-registration)**

At this step, you fill in pre-registration data for the proposal. These details will be used by the ERCEA in order to plan the evaluation. You will not have access to this page again once it is completed and you have progressed to Step 4, but certain data can be modified at a later stage. **Be careful to choose the correct PIC-number for your host institution AND to type the correct e-mail address of the PI at this step. We recommend that you as a PI create the draft proposal. This is to ensure that you have the right to manage the access rights to your proposal at Step 4.**

- When registering, please select the type of contact person you are: Principal Investigator, Main Host Institution Contact, or Contact person (e.g. additional contact person or team-member). **This will have an influence on the subsequent steps.** The person who creates the proposal becomes the 'primary coordinator contact' for the proposal (as used on the Participant Portal) and will determine the access rights of other people to the proposal data.
- **Acronym:** This is used to identify your proposal efficiently in the call. It should be no more than 20 characters (use standard alphabet and numbers only; no symbols or special characters, except underscore, space, hyphen or dot).
- **Short summary:** The short summary describes briefly the purpose of the proposal with a maximum of 2000 characters. You may decide not to provide the full summary, but a list of keywords of the proposal will help the services in the planning of the evaluation. The 'short

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<sup>31</sup> In duly justified exceptional circumstances the ERCEA may authorise submission on paper.

<sup>32</sup> <http://ec.europa.eu/research/participants/portal/>

<sup>33</sup> Further details are available here: [http://ec.europa.eu/research/participants/docs/h2020-funding-guide/user-account-and-roles/ecas-login\\_en.htm](http://ec.europa.eu/research/participants/docs/h2020-funding-guide/user-account-and-roles/ecas-login_en.htm)

summary' information is copied to the 'Abstract' field in the online administrative form section 1, where it can be modified (see Step 5).

- ERC Review Panel: Select the review panel by which you would like your proposal to be evaluated (see Annex 1 to the ERC Work programme 2014). Please note that the panel chosen at this step can be modified later in the administrative form.

Please note that the list of participants will also be part of the pre-registration data.

At this step, the host institution **must be identified with a Participant Identification Code (PIC)**. **Failure to do so blocks the preparation and the submission of the proposal!** The PIC is a unique 9 digit number that helps the ERCEA identify a participant (organisation). It is used in all grant-related interactions between the organisation and the ERCEA (or with the European Commission in other actions of Horizon 2020). Once an organisation is registered (in the Beneficiary Register, which is hosted in the Participant Portal<sup>32</sup>), it eliminates redundant requests for information.

If a PIC is not yet available for an organisation, it can be obtained by registering the organisation in the Beneficiary Register. A PIC is then given, which can then be used in PPSS<sup>34</sup>.

If your host institution has already participated in a 7<sup>th</sup> Framework Programme proposal, it is likely that you already have a PIC number. You can check this on the Beneficiary Register Page, where additional information on how to register is also available: <http://ec.europa.eu/research/participants/portal/desktop/en/organisations/register.html>

**You are strongly advised to register your proposal well in advance of the call deadline to verify if the PIC is available for your host institution. If it is not, you then have sufficient time to register and contact your host institution or the PPSS Service Desk if needed at [DIGIT-EFP7-SEP-SUPPORT@ec.europa.eu](mailto:DIGIT-EFP7-SEP-SUPPORT@ec.europa.eu) or (+32 (2) 29 92222).**

After entering the PIC, certain sections of the online proposal submission forms are filled in automatically. The objective of the PIC is to identify the organisation and validation of the information will happen at a later stage, if the proposal is retained for funding.

**Note:**

- If an organisation has a PIC, it may be likely that it has a person in charge of the administrative questions with the European Commission (the legal entity appointed representative – LEAR<sup>35</sup>). Identifying this person inside your organisation may help you in the proposal submission process. The LEAR can modify the data related to the PIC if needed.

Once Steps 1 to 3 are completed, the proposal is created. You can continue to Step 4 or return later to edit this draft proposal. This is done by following the steps below:

1. Go to the Participant Portal <http://ec.europa.eu/research/participants/portal/>

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<sup>34</sup> This self-registration will lead to a request by the Validation Service to the organisation to provide supporting documents and to nominate a Legal Entity Authorised Representative (LEAR). However, this PIC code does not need to be validated for proposal submission. If your proposal is selected, this additional information and validation will be completed at a later stage before a grant agreement can be signed.

<sup>35</sup> The LEAR is a person nominated in each legal entity participating in FP7/H2020. This person is the contact for the ERCEA related to all questions on legal status. He/she has access to the on-line database of legal entities with a possibility to view the data stored on his/her entity and to initiate updates and corrections to these data. After the validation of the entity has been finalised, the contact person/authorised representative named in the Research and Innovation Participant Portal receives the PIC number. Once the LEAR is validated, he/she manages the modifications of the entity-related information in the Research and Innovation Participant Portal and distributes the PIC number within his/her organisation, which can be used in all proposals submission and negotiations.

2. Click on the login button and provide your ECAS username and password
3. Click on the 'My Proposals' tab
4. Depending on the status of the proposal, you jump to either Step 5 'Edit draft' or Step 6 'View submitted'.

#### **Step 4 'Manage Your Related Parties and access rights'**

Here you see the name and details of the host institution (always participant number '1') and the name of the person who created the draft proposal. At this step, you can:

- **add the main host institution contact person name and e-mail**
- **give access to other contact persons** (full access or read-only access)
- **add additional organisations** ('Add partners'), and

**Organisations** must be identified by their nine-digit PIC numbers. A search function is provided in the system to facilitate the search for partners (if any).

When giving access rights to **contact persons**, the e-mail address of the person serves as the main identifier. You must define the level of access rights for each contact person:

- **full access** (Principal Investigator level of rights is named 'Coordinator contact' in PPSS - The Coordinator contact/PI has the right to edit all parts of the proposal, upload documents, submit, and withdraw the proposal) or **read-only rights** (Team member) are supported.
- For each contact person the **role within the project** must be defined: usually Principal Investigator or main host institution contact in ERC actions.

Please also be aware that **only one person should work on the forms at any given time**. In case of a save conflict the last save wins, which means that you risk overwriting changes made by other contact person if you are working in parallel. We therefore recommend that you **give 'read-only' access** to your partners / additional contact persons (other contacts) unless it is absolutely necessary to grant full access.

For the Principal Investigator and the host institution contact person full details will be required later in the administrative forms (section 2). **Please be aware that you MUST enter the details of the PI and the main host institution contact person at Step 4, since these fields are not-editable in Step 5 in the forms.** You may at any point return to Step 4 of the submission to add or delete any contact person or to change the access rights. Remember to save your data before leaving Step 4.

Once the coordinator saves the changes, an **automatic invitation** is sent to all contacts' e-mail addresses. The invited persons can **access the proposal** after logging in to the Participant Portal – with the ECAS account linked to the given e-mail address – under the **'My Proposals'** tab.




## **Step 5: 'Edit Proposal'**

This step is the core of the submission process, as from this step, you can **edit the administrative proposal submission forms**, view the history, print the draft proposal, download templates, upload files and submit the proposal by clicking on the relevant buttons.

By clicking the 'Edit form' button at Step 5 of the submission wizard, users can fill in the administrative forms of the proposal.

The ERC actions have specific administrative forms. The specificities lay mainly in the budget table, in the call specific questions and in the list of declarations.

Guidance on how to fill in the administrative online form is provided directly in the form as ghost text for the single entries or as additional help text hidden behind question-marks . Some parts of the form will be prefilled based on the data entered at pre-registration or in the Beneficiary Register.

Please use the functionality '**Validate form**' button to check the validity and completeness of your data. Any warning or error will be listed at the end of the validated form.

Further information on the preparation of the application (the online administrative forms and Proposal Parts B1 and B2) is given in points 1.1.2.1 and 1.1.2.2 of this document.

- **For Part B you must only use PDF ('portable document format'). Other file formats will not be accepted by the system.** Irrespective of any page limits specified in this document, there is an **overall limit of 10 Mbytes to the size of each uploaded document (Part B1, B2, and supporting documentation)**. However, it is advised to limit the size of Parts B1 and B2 to 2 Mbytes each.
- Unless specified in the call, embedded material and any other documents (company brochures, scientific papers, reports, audio, video, multimedia, etc.) sent electronically or by post, will be disregarded.
- There are also restrictions to the name given to the Part B files: use alphanumeric characters; special characters and spaces must be avoided.

*You are advised to clean your document before converting it to PDF (e.g. accept all tracked changes, delete notes).*

*Check that your conversion software has successfully converted all the pages of your original document (e.g. there is no problem with page limits).*

*Check that your conversion software has not cut down landscape format pages to fit them into portrait format. Check that captions and labels have not been lost from your diagrams.*

*Please note that the ERCEA prints out proposals in black and white on plain A4 paper. The printable zone on the print engine is bounded by 1.5 cm right, left, top bottom. No scaling is applied to make the page 'fit' the window. Printing is done at 300 dots per inch.*

- **Completing the Proposal submission forms in the PPSS and uploading all the necessary files (mandatory: Part B1, Part B2, host institution support letter and – if applicable: Ethical Self-assessment and supporting documentation for ethics issues) does not yet mean that your proposal is submitted.** Once there is a consolidated version of the proposal, **the 'SUBMIT' button must be pressed.** The system performs a limited automatic validation of the proposal. A list of any problems such as missing data, wrong file format or excessive file size

will then appear on the screen. You may submit your proposal with warnings, but **submission is blocked until all errors are corrected**. However, these checks do not replace the formal eligibility checks described in point 1.2.1 of this document and cannot guarantee that the contents of these files respond to the requirements of the call. When corrected, you must then repeat the above steps to achieve submission.

**IMPORTANT: If the submission sequence described above is not followed, the ERCEA considers that no proposal has been submitted.**

- When the proposal is successfully submitted, the system will proceed to Step 6 where a message that indicates that the proposal has been received is displayed. The system also sends a submission confirmation e-mail to you, with the summary data of the submitted proposal. The mail can end up in the spam folder or be blocked by the anti-spam system of your organisation. This automatic message is not the official acknowledgement of receipt.

#### **Step 6: 'Submit'**

Reaching this step means that the proposal is submitted (i.e. sent to the ERCEA for evaluation). It does not mean that the proposal is valid, complete and eligible in all respects. Within a few minutes of submission your proposal will be available for download with an e-receipt in the PPSS system.

In Step 6 you can:

- *Download the proposal.* You are advised to download the proposal once submitted to check that it has been correctly sent. The downloaded proposal with an e-receipt is digitally signed and time stamped. The e-receipt is also the Acknowledgement of receipt.
- *Re-edit the proposal,* going back to Step 5. **You may continue to modify the proposal and submit revised versions overwriting the previous one right up until the deadline.** The sequence above must be repeated each time.
- *Withdraw/delete the proposal before the call deadline.* If the proposal is deleted or withdrawn, it is not considered for evaluation. (Note: your proposal draft is not deleted from the server and this withdrawal action can be reversed, but only before the deadline, by simply submitting it again).

**Once submitted, it is recommended to verify the proposal and its content by downloading all the submitted files. We strongly advise that you submit a first version of your proposal at least 24 hours in advance of the call deadline.**

**Warning: Please note that in the last hours prior to call closure, the download option of checking your submitted proposal may be disabled due to a high pressure on the system.** In this case we will inform the applicants via the Call Page on the Participant Portal (under 'call summary') of the call that the function has been disabled:

**If the e-receipt and download option have been disabled, you may review your submitted proposal by going back to Step 5 to check the data in the administrative forms and click on 'View History' to verify which attachments have been uploaded.**

- Proposals must be **submitted before the deadline** specified in the call for proposals<sup>36</sup>.

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<sup>36</sup> In the unlikely event of a failure of the PPSS service due to a breakdown of the Commission server during the last 24 hours of a call, the deadline will be extended by a further 24 hours. This will be notified by e-mail to all applicants who had registered for this call by the time of the original deadline, and also by a notice on the call page on the Participant Portal: <http://ec.europa.eu/research/participants/portal>

- PPSS will be closed for a relevant call at its call deadline. After this moment, it will be impossible to access PPSS for the relevant call.

**Early registration and submission in PPSS is strongly recommended and should be done as early as possible in advance of the call deadline. Applicants, who wait until shortly before the close of the call to start uploading their proposal, take a serious risk that the uploading will not be concluded in time and thus the 'SUBMIT' button will not be active anymore in order to conclude the submission process.**

**Box 5: Proposal submission - important to know:**

- Proposals sent by means other than PPSS will not be accepted<sup>36</sup>.
- Up to the call deadline, it is possible to modify a proposal simply by submitting a new version. As long as the call has not yet closed, the new submission will overwrite the old one.
- **After the call deadline no update of the proposal will be accepted. Only the material that the proposal contains within the given page limits while respecting the indicated layout parameters will be evaluated.**
- Submission is deemed to occur only if the submission sequence described above has been followed and not when the applicant starts uploading the proposal.
- Proposals are kept under secure conditions at all times. When no longer needed, all copies are destroyed except those required for archiving and/or auditing purposes.
- In some rare occasions the proposal may be altered while in transit on the internet. To check that the uploaded proposal has been received unaltered, please download and verify all uploaded files.

If the submission is technically successful, the applicant receives an automatic computer-generated acknowledgement from PPSS.

Subsequent to submission, and only in exceptional cases, the ERC may contact the PI if this is necessary to clarify questions of eligibility, ethics issues, research integrity or to verify administrative or legal data contained in the proposal.

*1.1.3.1 Modifying or withdrawing a proposal*

Up to the call deadline, it is possible to **modify a proposal simply by submitting a new version**. As long as the call has not yet closed, the new submission will overwrite the old one.

**The last version of your proposal submitted before the deadline is the one which will be evaluated; no later version can be substituted and no earlier version can be recovered.**

**Once the deadline has passed, the ERCEA cannot accept any further additions, corrections or re-submissions.** However a read-only access to the submitted proposal is granted in case the PI (or

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For technical inquiries on the use of PPSS, please contact the Participant Portal IT Help Desk (<http://ec.europa.eu/research/participants/api/contact/index.html>). Please note that the ERCEA will not extend deadlines for system failures that are not its own responsibility. In all circumstances, you should aim to submit your proposal well before the deadline to have time to solve any problems.

other contact persons) wishes to verify what has been submitted. This possibility is available for 90 days after the call deadline.

**Proposals may be withdrawn before the call deadline at Step 6 using the ‘Withdraw’ button.** These withdrawn proposals will not be considered subsequently for peer review evaluation or for selection, nor count against possible re-application restrictions<sup>37</sup>.

**For a proposal to be withdrawn after the call deadline**, and for the application not to count against possible future re-applications restrictions, a written request for withdrawal must be received by the Agency at the latest on the day preceding the panel meeting where a final position on the outcome of the evaluation of that proposal is established. The withdrawal of a proposal must be done by sending an e-mail to the call-specific mail-box ([ERC-2014-AdG-APPLICANTS@ec.europa.eu](mailto:ERC-2014-AdG-APPLICANTS@ec.europa.eu)) including a signed scanned letter of withdrawal. The ERCEA will use the date of the e-mail as the reference point when deciding if a withdrawal can be accepted. The applicant will receive an acknowledgement of receipt of the e-mail and the signed scanned letter to confirm the withdrawal.

If more than one version of the same proposal is submitted before the call deadline, only the most recent version is kept for evaluation. In the case of very similar proposals submitted by the same PI, the ERCEA services may ask the PI to withdraw one or more of the proposals concerned.

Please consult regularly the [Research and Innovation Participant Portal](#) call page for updated information.

## 1.2 Evaluation and selection of grant proposals<sup>38</sup>

### 1.2.1 Eligibility Check

Proposals are first checked to ensure that all of the eligibility criteria are met.

A proposal must fulfil all of the following eligibility criteria:

- It must be submitted before the single submission deadline.
- It must be submitted to an appropriate ERC panel (i.e. a panel, which is covering the main scientific areas of the research proposal, see Annex 1 to this document).
- It must be complete, readable and printable (i.e. all of the requested forms, parts or sections of the proposal, and supporting documents must be completed and present).
- It must meet the eligibility requirements of the respective ERC grant as well as other criteria mentioned in the relevant call for proposals.
- It must be in compliance with the restrictions on submission of proposals rules (see ERC Work Programme 2014).

The eligibility is checked on the basis of the information given by the PI in the proposal. Where there is a doubt on the eligibility of a proposal, the peer review evaluation may proceed pending a final decision by the eligibility review committee. If it becomes clear before, during or after the peer review evaluation phase, that one or more of the eligibility criteria has not been met (for example,

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<sup>37</sup> As set out in the ERC Work Programme 2014.

<sup>38</sup> See also the ERC Work Programme 2014.

due to incorrect or misleading information), the proposal will be declared ineligible and not considered any further.

## **1.2.2 Peer review evaluation of proposals**

A single submission of an ERC Advanced Grant proposal will be followed by a two-step peer review evaluation.

Grant applications are assessed by peer review evaluation panels (ERC panels listed in Annex 1), which may be supported by external experts. These ERC panels assess and score the proposals on the basis of the individual evaluations and on the panel discussion which follows them.

Depending on the budget available for the call a budgetary cut-off applies to the ranking list and only the highest ranked proposals are offered an ERC grant until the call budget is consumed.

**For more details on the evaluation procedure and evaluation criteria, PIs are invited to consult the ERC Work Programme 2014 (Evaluation procedure and criteria) and the ERC Rules for Submission (section 3.6 Organisation of the peer review evaluation).**

Please note that any direct or indirect contact about the peer review evaluation of a call between the PI and/or applicant legal entity submitting a proposal under the same call on the one side and any independent expert involved in that peer review evaluation on the other side may result in the decision of the ERCEA to exclude the proposal concerned from the call in question.

The ERC's peer review evaluation process has been carefully designed to identify scientific excellence irrespective of the gender, age, nationality or institution of the Principal Investigator and other potential biases, and to take career breaks as well as unconventional research career paths into account. The evaluations are monitored to guarantee transparency, fairness and impartiality in the treatment of proposals.



### 1.2.3 Ethics Review

**Please see the Annex A to the ERC Rules for Submission for a detailed description of the ERC Ethics Review procedure.**

The ethics review process concerns all projects funded by the ERC in Horizon 2020. The applicants should pay particular attention to the ethical aspects of the proposed work and should submit all ethics documentation available for their proposal.

The process is aimed at ensuring that the Article 19 of Horizon 2020 Framework Programme, and Articles 13 and 14 of the Rules for Participation are implemented and, in particular, that all the research and innovation activities under Horizon 2020 comply with ethics principles and relevant national, Union and international legislation, including the Charter of Fundamental Rights of the European Union and the European Convention on Human Rights and its Supplementary Protocols.

The main areas that are addressed during the ethics review process include:

1. Human protection (including study participants and researchers)
2. Animal protection and welfare
3. Data protection and privacy
4. Environment protection
5. Participation of non-EU countries
6. Malevolent use of research results

When submitting their proposal, applicants must complete the Ethics Issues Table which is section 4 of the online proposal submission forms and submit an ethics self-assessment (separate annex) if they answer yes to one or several questions in the Ethics Issues Table. Please see Annex 3 to this document for guidance to write an ethics self-assessment.

Please include any supporting documentation, such as any authorisation you may already have. This will allow a more effective ethics clearance and an accelerated granting process<sup>39</sup>.

Please upload any related documents or annexes in PPSS Step 5 'Edit Proposal'.

If the proposal is retained for possible funding, further to the outcome of the ethics review process, the host institutions and the principal investigators receive an unsigned copy of the ethics report so as to preserve the anonymity of the experts.

PIs need to be aware that no grant agreement can be signed by ERCEA prior to a satisfactory conclusion of the ethics review procedure.

Those whose proposals are rejected because of ethics considerations are informed of the grounds for such a decision.

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<sup>39</sup> A full description of the Ethics Review is provided in the ERC Rules for the submission of proposals and the related evaluation, selection and award procedures relevant to the H2020 Specific Programme.

A dedicated website that aims to provide helpful information including ethics issues is available at: <http://ec.europa.eu/research/participants/portal/desktop/en/funding/guide.html>

#### **1.2.4 Outcome of evaluation**

At each evaluation step, each proposal will be evaluated and marked for each of the two main elements of the proposal: Research Project and Principal Investigator.

At the end of each evaluation step, the proposals will be ranked by the panels on the basis of the marks they have received and the panels' overall appreciation of their strengths and weaknesses.

At the end of **step 1** of the evaluation, on the basis of the assessment of Part B1 of the proposal, applicants will be informed that their proposal:

- A.** is of sufficient quality to pass to step 2 of the evaluation;
- B.** is of high quality but not sufficient to pass to step 2 of the evaluation;
- C.** is not of sufficient quality to pass to step 2 of the evaluation.

The applicant receiving a B or a C score may also be subject to restrictions on submitting proposals to future ERC calls<sup>40</sup>.

At the end of **step 2** of the evaluation, on the basis of the assessment of the full proposal, applicants will be informed that their proposal:

- A.** fully meets the ERC's excellence criterion and is recommended for funding if sufficient funds are available;
- B.** meets some but not all elements of the ERC's excellence criterion and will not be funded.

The evaluation panels may review the level of the requested budget and, as appropriate, suggest adjustments.

In addition, once the evaluation of their proposal has been completed, applicants will receive an evaluation report which will include the ranking range of their proposal out of the proposals evaluated by the panel.

Projects recommended for funding (scored 'A') will be funded by the ERC if sufficient funds are available. Proposals will be funded in priority order based on their rank. This means that it is very likely that not all proposals scored 'A', and therefore recommended for funding, will be eventually funded by the ERC.

#### **1.2.5. Feedback to applicants**

Official communications and feedback from the ERCEA to the PI and the host institution (applicant legal entity) will be done via the ECAS secured web-mail account accessible via the Participant Portal.

The PI or the applicant legal entity's contact person will receive an activation e-mail (at the address 'E-mail 1' provided in Step 4 of the proposal submission) inviting them to activate an ECAS account, if not already registered. Following to this first activation the ECAS account will be maintained for following communications or feedback.

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<sup>40</sup> Applicants will need to check the restrictions in place for each call.



PIs and applicant legal entities are provided with feedback on the outcome of the peer review evaluation in the form of an evaluation report. This indicates whether the proposal meets the quality threshold and is retained, and provides the score and corresponding comments given by the panel as well as the comments given by the individual reviewers.

**Please note that the comments by the individual reviewers may not necessarily be convergent – controversy and differences in opinion about the merits of a proposal are part of the ‘scientific method’ and are legitimate.**

Furthermore, the ERC panel may take a position that is different from what could be inferred from the comments of the individual reviewers. This is the case for example, if the panel discussion reveals an important weakness in a proposal that had not been identified by the individual reviewers. The panel comments reflect the consensus decision taken by the panel as a whole based on prior remote individual assessments from independent reviewers, which can be non-paid experts as well as panel members, and on a thorough discussion and on the ranking against other proposals during the panel meeting.

#### 1.2.5.1 Evaluation review procedure

**Please see the section 3.9 of the ERC Rules for Submission for a detailed description of the assistance, inquiries and evaluation review procedures.**

Upon reception of the feedback on the outcome of the peer review evaluation with the evaluation report or with the results of the eligibility check, the PI and/or the PI’s host institution (applicant legal entity) may wish to introduce a request for evaluation review, if there is an indication that there has been a shortcoming in the way a proposal has been evaluated, or that the results of the eligibility checks are incorrect. The evaluation review procedure is not meant to call into question the scientific judgement made by the peer review panel; it will look procedural shortcomings and – in rare cases – into factual errors.

Such requests for evaluation review should be raised within 30 days of the date of the feedback on the outcome of the peer review evaluation sent by the ERCEA, and should follow the instructions provided in the Feedback to applicants.

Requests must be:

- related to the peer review evaluation process, or eligibility checks, for the call and grants in question;
- set out using the on-line form via the above-mentioned web-based mailing system, including a clear description of the grounds for complaint;
- received within the time limit specified on the Call information letter;
- sent by the PI and/or the PI’s host institution (as the applicant legal entity).

An initial reply will be sent to complainants no later than three weeks after the deadline for evaluation review requests. This initial reply will indicate when a definitive reply will be provided.

An evaluation review committee of the ERCEA may be convened to examine the peer review evaluation process for the case in question. The evaluation review committee will bring together staff of the ERCEA with the requisite scientific/technical and legal expertise. The committee’s role is to ensure a coherent interpretation of requests, and equal treatment of applicants. The evaluation review committee itself, however, does not re-evaluate the proposal. Depending on the nature of the complaint, the committee may review the evaluation report, the individual comments and examine the CVs of the experts. In the light of its review, the committee will recommend a course of action to the ERCEA. If there is clear evidence of a shortcoming that could affect the eventual funding

decision, it is possible that all or part of the proposal will be re-evaluated. Unless there is clear evidence of a shortcoming there will be no follow-up or re-evaluation.

Please note:

- A re-evaluation will only be carried out if there is evidence of a shortcoming that affects the quality assessment of a proposal. This means, for example, that a problem relating to one evaluation criterion will not lead to a re-evaluation if a proposal has failed anyway on the other criteria.
- The evaluation score following any re-evaluation will be regarded as definitive. It may be lower than the original score.
- Only one request for evaluation review per proposal will be considered by the committee.
- All requests for evaluation review will be treated in confidence.

## **2: Annexes**

## **ANNEX 1: ERC PEER REVIEW EVALUATION PANELS (ERC PANELS)**

For the planning and operation of the evaluation of ERC grant proposals by panels, the following panel structure applies. There are 25 ERC panels to cover all fields of science, engineering and scholarship assigned to three research domains: Physical Sciences and Engineering (10 Panels, PE1–PE10), Life Sciences (9 Panels, LS1–LS9) and Social Sciences and Humanities (6 Panels, SH1–SH6).

The panel names are accompanied by a list of ERC keywords indicating the fields of research covered by the respective ERC panels.

**The ERC keywords must always be read in the overall context of the panel's titles and sub-titles.**

### **Social Sciences and Humanities**

#### **SH1 Markets, Individuals and Institutions:** Economics, finance and management

- SH1\_1 Macroeconomics; monetary economics
- SH1\_2 International trade, international business, development, economic growth
- SH1\_3 Econometrics, game theory, experimental design, operations research
- SH1\_4 Labour economics; institutional economics
- SH1\_5 Political economy, public economics
- SH1\_6 Microeconomics, behavioural economics
- SH1\_7 Industrial organisation
- SH1\_8 Strategy; entrepreneurship
- SH1\_9 Technological change, innovation, research & development
- SH1\_10 Financial markets, asset prices, international finance
- SH1\_11 Banking, corporate finance, accounting, auditing, insurance
- SH1\_12 Marketing
- SH1\_13 Management; operations management
- SH1\_14 Organisational behaviour; human resource management
- SH1\_15 History of economic thought, quantitative economic history

#### **SH2 The Social World, Diversity and Common Ground:** Sociology, social anthropology, political science, law, communication, science and technology studies

- SH2\_1 Social structure, inequalities, social mobility
- SH2\_2 Diversity and identities, gender, interethnic relations
- SH2\_3 Social policies, welfare and educational systems
- SH2\_4 Democratisation, social movements, social integration
- SH2\_5 Political systems and institutions, governance
- SH2\_6 Conflict and conflict resolution, violence
- SH2\_7 Legal studies, constitutions, human rights, comparative law
- SH2\_8 International relations, global and transnational governance
- SH2\_9 Communication and information, networks, media
- SH2\_10 Social studies of science and technology

#### **SH3 Environment, Space and Population:** Sustainability science, demography, geography, regional studies and planning

- SH3\_1 Sustainability sciences, environment and resources
- SH3\_2 Environmental and climate change, societal impact
- SH3\_3 Environmental and climate policy
- SH3\_4 Population dynamics; households, family and fertility
- SH3\_5 Health, ageing and society

- SH3\_6 Transportation and logistics, tourism
- SH3\_7 Spatial development, land use, regional planning
- SH3\_8 Urban, regional and rural studies
- SH3\_9 Human and social geography
- SH3\_10 Geographic information systems, spatial data analysis

**SH4 The Human Mind and Its Complexity:** Cognitive science, psychology, linguistics, philosophy of mind, education

- SH4\_1 Evolution of mind and cognitive functions, animal communication
- SH4\_2 Human life-span development
- SH4\_3 Neuropsychology
- SH4\_4 Cognitive and experimental psychology: perception, action, and higher cognitive processes
- SH4\_5 Social psychology
- SH4\_6 Clinical psychology
- SH4\_7 Formal, cognitive, functional and computational linguistics
- SH4\_8 Historical, typological, and comparative linguistics
- SH4\_9 Origin and acquisition of language and languages, language pathologies
- SH4\_10 Pragmatics, sociolinguistics, discourse analysis, second language learning
- SH4\_11 Philosophy of mind, epistemology and logic
- SH4\_12 Education, teaching and learning

**SH5 Cultures and Cultural Production:** Literature, philology, cultural studies, arts, philosophy

- SH5\_1 Classics, ancient literature and art
- SH5\_2 Theory and history of literature, comparative literature
- SH5\_3 Philology and palaeography
- SH5\_4 Visual and performing arts, design, arts-based research
- SH5\_5 Music and musicology; history of music
- SH5\_6 History of art and architecture
- SH5\_7 Museums, exhibitions, conservation and restoration
- SH5\_8 Cultural studies, symbolic representation, religious studies
- SH5\_9 Transregional studies
- SH5\_10 Cultural heritage, cultural identities and memories
- SH5\_11 Philosophy and history of philosophy

**SH6 The Study of the Human Past:** Archaeology and history

- SH6\_1 Historiography, theory and methods of history
- SH6\_2 Archaeology, archaeometry, landscape archaeology
- SH6\_3 Prehistory, palaeoanthropology, palaeodemography
- SH6\_4 Ancient history
- SH6\_5 Medieval history
- SH6\_6 Early modern history
- SH6\_7 Modern and contemporary history
- SH6\_8 Colonial and post-colonial history
- SH6\_9 Global history, transnational history, comparative history, entangled histories
- SH6\_10 Social and economic history

|        |   |
|--------|---|
| SH6_11 | Gender history, history of collective identities and memories |
| SH6_12 | History of ideas, intellectual and cultural history           |
| SH6_13 | History of science and technology                             |

## Physical Sciences and Engineering

**PE1 Mathematics:** All areas of mathematics, pure and applied, plus mathematical foundations of computer science, mathematical physics and statistics

|        |   |
|--------|---|
| PE1_1  | Logic and foundations                                 |
| PE1_2  | Algebra   |
| PE1_3  | Number theory   |
| PE1_4  | Algebraic and complex geometry                        |
| PE1_5  | Geometry  |
| PE1_6  | Topology  |
| PE1_7  | Lie groups, Lie algebras                              |
| PE1_8  | Analysis  |
| PE1_9  | Operator algebras and functional analysis             |
| PE1_10 | ODE and dynamical systems                             |
| PE1_11 | Theoretical aspects of partial differential equations |
| PE1_12 | Mathematical physics                                  |
| PE1_13 | Probability   |
| PE1_14 | Statistics  |
| PE1_15 | Discrete mathematics and combinatorics                |
| PE1_16 | Mathematical aspects of computer science              |
| PE1_17 | Numerical analysis                                    |
| PE1_18 | Scientific computing and data processing              |
| PE1_19 | Control theory and optimisation                       |
| PE1_20 | Application of mathematics in sciences                |
| PE1_21 | Application of mathematics in industry and society    |

**PE2 Fundamental Constituents of Matter:** Particle, nuclear, plasma, atomic, molecular, gas, and optical physics

|        |  |
|--------|--|
| PE2_1  | Fundamental interactions and fields          |
| PE2_2  | Particle physics                             |
| PE2_3  | Nuclear physics                              |
| PE2_4  | Nuclear astrophysics                         |
| PE2_5  | Gas and plasma physics                       |
| PE2_6  | Electromagnetism                             |
| PE2_7  | Atomic, molecular physics                    |
| PE2_8  | Ultra-cold atoms and molecules               |
| PE2_9  | Optics, non-linear optics and nano-optics    |
| PE2_10 | Quantum optics and quantum information       |
| PE2_11 | Lasers, ultra-short lasers and laser physics |
| PE2_12 | Acoustics                                    |
| PE2_13 | Relativity                                   |
| PE2_14 | Thermodynamics                               |
| PE2_15 | Non-linear physics                           |

- PE2\_16 General physics
- PE2\_17 Metrology and measurement
- PE2\_18 Statistical physics (gases)

**PE3 Condensed Matter Physics:** Structure, electronic properties, fluids, nanosciences, biophysics

- PE3\_1 Structure of solids and liquids
- PE3\_2 Mechanical and acoustical properties of condensed matter, Lattice dynamics
- PE3\_3 Transport properties of condensed matter
- PE3\_4 Electronic properties of materials, surfaces, interfaces, nanostructures, etc.
- PE3\_5 Semiconductors and insulators: material growth, physical properties
- PE3\_6 Macroscopic quantum phenomena: superconductivity, superfluidity, etc.
- PE3\_7 Spintronics
- PE3\_8 Magnetism and strongly correlated systems
- PE3\_9 Condensed matter – beam interactions (photons, electrons, etc.)
- PE3\_10 Nanophysics: nanoelectronics, nanophotonics, nanomagnetism, nanoelectromechanics, etc.
- PE3\_11 Mesoscopic physics
- PE3\_12 Molecular electronics
- PE3\_13 Structure and dynamics of disordered systems: soft matter (gels, colloids, liquid crystals, etc.), glasses, defects, etc.
- PE3\_14 Fluid dynamics (physics)
- PE3\_15 Statistical physics: phase transitions, noise and fluctuations, models of complex systems, etc.
- PE3\_16 Physics of biological systems

**PE4 Physical and Analytical Chemical Sciences:** Analytical chemistry, chemical theory, physical chemistry/chemical physics

- PE4\_1 Physical chemistry
- PE4\_2 Spectroscopic and spectrometric techniques
- PE4\_3 Molecular architecture and Structure
- PE4\_4 Surface science and nanostructures
- PE4\_5 Analytical chemistry
- PE4\_6 Chemical physics
- PE4\_7 Chemical instrumentation
- PE4\_8 Electrochemistry, electrodialysis, microfluidics, sensors
- PE4\_9 Method development in chemistry
- PE4\_10 Heterogeneous catalysis
- PE4\_11 Physical chemistry of biological systems
- PE4\_12 Chemical reactions: mechanisms, dynamics, kinetics and catalytic reactions
- PE4\_13 Theoretical and computational chemistry
- PE4\_14 Radiation and Nuclear chemistry
- PE4\_15 Photochemistry
- PE4\_16 Corrosion
- PE4\_17 Characterisation methods of materials
- PE4\_18 Environment chemistry

**PE5 Synthetic Chemistry and Materials:** Materials synthesis, structure-properties relations, functional and advanced materials, molecular architecture, organic chemistry

- PE5\_1 Structural properties of materials
- PE5\_2 Solid state materials
- PE5\_3 Surface modification
- PE5\_4 Thin films
- PE5\_5 Ionic liquids
- PE5\_6 New materials: oxides, alloys, composite, organic-inorganic hybrid, nanoparticles
- PE5\_7 Biomaterials synthesis
- PE5\_8 Intelligent materials – self assembled materials
- PE5\_9 Coordination chemistry
- PE5\_10 Colloid chemistry
- PE5\_11 Biological chemistry
- PE5\_12 Chemistry of condensed matter
- PE5\_13 Homogeneous catalysis
- PE5\_14 Macromolecular chemistry
- PE5\_15 Polymer chemistry
- PE5\_16 Supramolecular chemistry
- PE5\_17 Organic chemistry
- PE5\_18 Molecular chemistry
- PE5\_19 Combinatorial chemistry

**PE6 Computer Science and Informatics:** Informatics and information systems, computer science, scientific computing, intelligent systems

- PE6\_1 Computer architecture, pervasive computing, ubiquitous computing
- PE6\_2 Computer systems, parallel/distributed systems, sensor networks, embedded systems, cyber-physical systems
- PE6\_3 Software engineering, operating systems, computer languages
- PE6\_4 Theoretical computer science, formal methods, and quantum computing
- PE6\_5 Cryptology, security, privacy, quantum crypto
- PE6\_6 Algorithms, distributed, parallel and network algorithms, algorithmic game theory
- PE6\_7 Artificial intelligence, intelligent systems, multi agent systems
- PE6\_8 Computer graphics, computer vision, multi media, computer games
- PE6\_9 Human computer interaction and interface, visualisation and natural language processing
- PE6\_10 Web and information systems, database systems, information retrieval and digital libraries, data fusion
- PE6\_11 Machine learning, statistical data processing and applications using signal processing (e.g. speech, image, video)
- PE6\_12 Scientific computing, simulation and modelling tools
- PE6\_13 Bioinformatics, biocomputing, and DNA and molecular computation

**PE7 Systems and Communication Engineering:** Electronic, communication, optical and systems engineering

- PE7\_1 Control engineering
- PE7\_2 Electrical and electronic system engineering



- PE7\_3 Simulation engineering and modelling
- PE7\_4 Systems engineering, sensorics, actorics, automation
- PE7\_5 Micro- and nanoelectronics, optoelectronics and photonics
- PE7\_6 Communication technology, high-frequency technology
- PE7\_7 Signal processing
- PE7\_8 Networks (communication networks, sensor networks, networks of robots, etc.)
- PE7\_9 Man-machine-interfaces
- PE7\_10 Robotics
- PE7\_11 Components and systems for applications in medicine, biology and the environment, etc.

**PE8 Products and Processes Engineering:** Product design, process design and control, construction methods, civil engineering, energy systems, material engineering

- PE8\_1 Aerospace engineering
- PE8\_2 Chemical engineering, technical chemistry
- PE8\_3 Civil engineering, maritime/hydraulic engineering, geotechnics, waste treatment
- PE8\_4 Computational engineering
- PE8\_5 Fluid mechanics, hydraulic-, turbo-, and piston engines
- PE8\_6 Energy systems (production, distribution, application)
- PE8\_7 Micro (system) engineering
- PE8\_8 Mechanical and manufacturing engineering (shaping, mounting, joining, separation)
- PE8\_9 Materials engineering (biomaterials, metals, ceramics, polymers, composites, etc.)
- PE8\_10 Production technology, process engineering
- PE8\_11 Industrial design (product design, ergonomics, man-machine interfaces, etc.)
- PE8\_12 Sustainable design (for recycling, for environment, eco-design)
- PE8\_13 Lightweight construction, textile technology
- PE8\_14 Industrial bioengineering
- PE8\_15 Industrial biofuel production
- PE8\_16 Architectural engineering

**PE9 Universe Sciences:** Astro-physics/chemistry/biology; solar system; stellar, galactic and extragalactic astronomy, planetary systems, cosmology, space science, instrumentation

- PE9\_1 Solar and interplanetary physics
- PE9\_2 Planetary systems sciences
- PE9\_3 Interstellar medium
- PE9\_4 Formation of stars and planets
- PE9\_5 Astrobiology
- PE9\_6 Stars and stellar systems
- PE9\_7 The Galaxy
- PE9\_8 Formation and evolution of galaxies
- PE9\_9 Clusters of galaxies and large scale structures
- PE9\_10 High energy and particles astronomy – X-rays, cosmic rays, gamma rays, neutrinos
- PE9\_11 Relativistic astrophysics
- PE9\_12 Dark matter, dark energy
- PE9\_13 Gravitational astronomy
- PE9\_14 Cosmology
- PE9\_15 Space Sciences

- PE9\_16 Very large data bases: archiving, handling and analysis
- PE9\_17 Instrumentation - telescopes, detectors and techniques

**PE10 Earth System Science:** Physical geography, geology, geophysics, atmospheric sciences, oceanography, climatology, cryology, ecology, global environmental change, biogeochemical cycles, natural resources management

- PE10\_1 Atmospheric chemistry, atmospheric composition, air pollution
- PE10\_2 Meteorology, atmospheric physics and dynamics
- PE10\_3 Climatology and climate change
- PE10\_4 Terrestrial ecology, land cover change
- PE10\_5 Geology, tectonics, volcanology
- PE10\_6 Palaeoclimatology, palaeoecology
- PE10\_7 Physics of earth's interior, seismology, volcanology
- PE10\_8 Oceanography (physical, chemical, biological, geological)
- PE10\_9 Biogeochemistry, biogeochemical cycles, environmental chemistry
- PE10\_10 Mineralogy, petrology, igneous petrology, metamorphic petrology
- PE10\_11 Geochemistry, crystal chemistry, isotope geochemistry, thermodynamics
- PE10\_12 Sedimentology, soil science, palaeontology, earth evolution
- PE10\_13 Physical geography
- PE10\_14 Earth observations from space/remote sensing
- PE10\_15 Geomagnetism, palaeomagnetism
- PE10\_16 Ozone, upper atmosphere, ionosphere
- PE10\_17 Hydrology, water and soil pollution
- PE10\_18 Cryosphere, dynamics of snow and ice cover, sea ice, permafrosts and ice sheets

## Life Sciences

**LS1 Molecular and Structural Biology and Biochemistry:** Molecular synthesis, modification and interaction, biochemistry, biophysics, structural biology, metabolism, signal transduction

- LS1\_1 Molecular interactions
- LS1\_2 General biochemistry and metabolism
- LS1\_3 DNA synthesis, modification, repair, recombination and degradation
- LS1\_4 RNA synthesis, processing, modification and degradation
- LS1\_5 Protein synthesis, modification and turnover
- LS1\_6 Lipid synthesis, modification and turnover
- LS1\_7 Carbohydrate synthesis, modification and turnover
- LS1\_8 Biophysics (e.g. transport mechanisms, bioenergetics, fluorescence)
- LS1\_9 Structural biology (crystallography and EM)
- LS1\_10 Structural biology (NMR)
- LS1\_11 Biochemistry and molecular mechanisms of signal transduction

**LS2 Genetics, Genomics, Bioinformatics and Systems Biology:** Molecular and population genetics, genomics, transcriptomics, proteomics, metabolomics, bioinformatics, computational biology, biostatistics, biological modelling and simulation, systems biology, genetic epidemiology

- LS2\_1 Genomics, comparative genomics, functional genomics
- LS2\_2 Transcriptomics
- LS2\_3 Proteomics
- LS2\_4 Metabolomics

- LS2\_5 Glycomics
- LS2\_6 Molecular genetics, reverse genetics and RNAi
- LS2\_7 Quantitative genetics
- LS2\_8 Epigenetics and gene regulation
- LS2\_9 Genetic epidemiology
- LS2\_10 Bioinformatics
- LS2\_11 Computational biology
- LS2\_12 Biostatistics
- LS2\_13 Systems biology
- LS2\_14 Biological systems analysis, modelling and simulation

**LS3 Cellular and Developmental Biology:** Cell biology, cell physiology, signal transduction, organogenesis, developmental genetics, pattern formation in plants and animals, stem cell biology

- LS3\_1 Morphology and functional imaging of cells
- LS3\_2 Cell biology and molecular transport mechanisms
- LS3\_3 Cell cycle and division
- LS3\_4 Apoptosis
- LS3\_5 Cell differentiation, physiology and dynamics
- LS3\_6 Organelle biology
- LS3\_7 Cell signalling and cellular interactions
- LS3\_8 Signal transduction
- LS3\_9 Development, developmental genetics, pattern formation and embryology in animals
- LS3\_10 Development, developmental genetics, pattern formation and embryology in plants
- LS3\_11 Cell genetics
- LS3\_12 Stem cell biology

**LS4 Physiology, Pathophysiology and Endocrinology:** Organ physiology, pathophysiology, endocrinology, metabolism, ageing, tumorigenesis, cardiovascular disease, metabolic syndrome

- LS4\_1 Organ physiology and pathophysiology
- LS4\_2 Comparative physiology and pathophysiology
- LS4\_3 Endocrinology
- LS4\_4 Ageing
- LS4\_5 Metabolism, biological basis of metabolism related disorders
- LS4\_6 Cancer and its biological basis
- LS4\_7 Cardiovascular diseases
- LS4\_8 Non-communicable diseases (except for neural/psychiatric, immunity-related, metabolism-related disorders, cancer and cardiovascular diseases)

**LS5 Neurosciences and Neural Disorders:** Neurobiology, neuroanatomy, neurophysiology, neurochemistry, neuropharmacology, neuroimaging, systems neuroscience, neurological and psychiatric disorders

- LS5\_1 Neuroanatomy and neurophysiology
- LS5\_2 Molecular and cellular neuroscience
- LS5\_3 Neurochemistry and neuropharmacology
- LS5\_4 Sensory systems (e.g. visual system, auditory system)
- LS5\_5 Mechanisms of pain
- LS5\_6 Developmental neurobiology

- LS5\_7 Cognition (e.g. learning, memory, emotions, speech)
- LS5\_8 Behavioural neuroscience (e.g. sleep, consciousness, handedness)
- LS5\_9 Systems neuroscience
- LS5\_10 Neuroimaging and computational neuroscience
- LS5\_11 Neurological disorders (e.g. Alzheimer's disease, Huntington's disease, Parkinson's disease)
- LS5\_12 Psychiatric disorders (e.g. schizophrenia, autism, Tourette's syndrome, obsessive compulsive disorder, depression, bipolar disorder, attention deficit hyperactivity disorder)

**LS6 Immunity and Infection:** The immune system and related disorders, infectious agents and diseases, prevention and treatment of infection

- LS6\_1 Innate immunity and inflammation
- LS6\_2 Adaptive immunity
- LS6\_3 Phagocytosis and cellular immunity
- LS6\_4 Immunosignalling
- LS6\_5 Immunological memory and tolerance
- LS6\_6 Immunogenetics
- LS6\_7 Microbiology
- LS6\_8 Virology
- LS6\_9 Bacteriology
- LS6\_10 Parasitology
- LS6\_11 Prevention and treatment of infection by pathogens (e.g. vaccination, antibiotics, fungicide)
- LS6\_12 Biological basis of immunity related disorders (e.g. autoimmunity)
- LS6\_13 Veterinary medicine and infectious diseases in animals

**LS7 Diagnostic Tools, Therapies and Public Health:** Aetiology, diagnosis and treatment of disease, public health, epidemiology, pharmacology, clinical medicine, regenerative medicine, medical ethics

- LS7\_1 Medical engineering and technology
- LS7\_2 Diagnostic tools (e.g. genetic, imaging)
- LS7\_3 Pharmacology, pharmacogenomics, drug discovery and design, drug therapy
- LS7\_4 Analgesia and Surgery
- LS7\_5 Toxicology
- LS7\_6 Gene therapy, cell therapy, regenerative medicine
- LS7\_7 Radiation therapy
- LS7\_8 Health services, health care research
- LS7\_9 Public health and epidemiology
- LS7\_10 Environment and health risks, occupational medicine
- LS7\_11 Medical ethics

**LS8 Evolutionary, Population and Environmental Biology:** Evolution, ecology, animal behaviour, population biology, biodiversity, biogeography, marine biology, eco-toxicology, microbial ecology

- LS8\_1 Ecology (theoretical and experimental; population, species and community level)
- LS8\_2 Population biology, population dynamics, population genetics

- LS8\_3 Systems evolution, biological adaptation, phylogenetics, systematics, comparative biology
- LS8\_4 Biodiversity, conservation biology, conservation genetics, invasion biology
- LS8\_5 Evolutionary biology: evolutionary ecology and genetics, co-evolution
- LS8\_6 Biogeography, macro-ecology
- LS8\_7 Animal behaviour
- LS8\_8 Environmental and marine biology
- LS8\_9 Environmental toxicology at the population and ecosystems level
- LS8\_10 Microbial ecology and evolution
- LS8\_11 Species interactions (e.g. food-webs, symbiosis, parasitism, mutualism)

**LS9 Applied Life Sciences and Non-Medical Biotechnology:** Agricultural, animal, fishery, forestry and food sciences, biotechnology, genetic engineering, synthetic and chemical biology, industrial biosciences; environmental biotechnology and remediation

- LS9\_1 Non-medical biotechnology and genetic engineering (including transgenic organisms, recombinant proteins, biosensors, bioreactors, microbiology)
- LS9\_2 Synthetic biology, chemical biology and bio-engineering
- LS9\_3 Animal sciences (including animal husbandry, aquaculture, fisheries, animal welfare)
- LS9\_4 Plant sciences (including crop production, plant breeding, agroecology, soil biology)
- LS9\_5 Food sciences (including food technology, nutrition)
- LS9\_6 Forestry and biomass production (including biofuels)
- LS9\_7 Environmental biotechnology (including bioremediation, biodegradation)
- LS9\_8 Biomimetics
- LS9\_9 Biohazards (including biological containment, biosafety, biosecurity)

## **ANNEX 2: COMMITMENT OF THE HOST INSTITUTION**

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

### **Commitment of the host institution for ERC Calls 2014<sup>41, 42, 43</sup>**

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 scientific guidance of the *principal investigator* who is expected to devote:
  - *in the case of a Starting or Consolidator Grant at least 50% of her/his total working time to the ERC-funded project and spend at least 50% of her/his total working time in an EU Member State or associated country;*
  - *in the case of an Advanced Grant at least 30% of her/his total working time to the ERC-funded project and spend at least 50% of her/his total working time in an EU Member State or associated country.*
- b) carry out the work to be performed, as it will be identified in Annex 1 of the ERC Grant Agreement, taking into consideration the specific role of the *principal investigator*;

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<sup>41</sup> A scanned copy of the signed statement should be uploaded electronically via the Participant Portal Submission Service in PDF format.

<sup>42</sup> The statement of commitment of the host institution refers to most obligations of the host institution, which are stated in the ERC grant agreement. The ERC model grant agreement is available on the ERC website at <http://erc.europa.eu> and [http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference\\_docs.html](http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html).

<sup>43</sup> 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.

- c) establish a *supplementary agreement* with the *principal investigator* which specifies that the *applicant legal entity* shall:
- i) support the *principal investigator* in the management of the *team* and provide reasonable administrative assistance to the *principal investigator*, in particular as regards:
    - a. the timeliness and clarity of financial information,
    - b. the general management and reporting of finances,
    - c. the advice on internal *applicant legal entity* management practices,
    - d. the organisation of *project* meetings as well as the general logistics of the *project*.
  - ii) provide research support to the *principal investigator* and his/her *team members* throughout the duration of the *project* in accordance with Annex 1 ERC Grant Agreement, in particular as regards infrastructure, equipment, products, access rights and other services as necessary for the conduct of the research;
  - iii) ensure that the *principal investigator* and his/her *team members* enjoy, on a royalty-free basis, access rights to the *background* and the *results* needed for their activities under the *project* as specified in Annex 1 ERC Grant Agreement;
  - iv) ensure that the *principal investigator* enjoys adequate contractual conditions, in particular as regards:
    - a. the provisions for annual, sickness and parental leave,
    - b. occupational health and safety standards,
    - c. the general social security scheme, such as pension rights.
  - v) guarantee the necessary scientific independence of the *principal investigator*, in particular as regards:
    - a. the selection and supervision of other *team members*, hosted and engaged by the *applicant legal entity* or other legal entities, in line with profiles needed to conduct the research, including the appropriate advertisement, and in accordance with the beneficiary's usual management practices;
    - b. the use of the budget to achieve the scientific objectives;
    - c. the preparation of scientific reports to the *ERC Executive Agency*;
    - d. the authority to publish as senior author and invite as co-authors only those who have contributed substantially to the reported work.
  - vi) inform the *principal investigator* of any circumstances affecting the implementation of the *project* or leading potentially to a suspension or termination of the ERC Grant Agreement;
  - vii) subject to the observance of applicable national law and to the agreement of the *ERC Executive Agency*, the transfer of the grant agreement as well as any pre-

financing of the grant not covered by an accepted cost claim to a new legal entity, should the *principal investigator* request to transfer the entire *project or part of it* to this new legal entity. The *applicant legal entity* shall submit a substantiated request for amendment or notify the *ERC Executive Agency* in case of its objection to the transfer.

**For the institution (applicant legal entity)**

**Name, Function, Email + Signature of legal representative**

**Date and Stamp of institution (applicant legal entity)**

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| <b>IMPORTANT NOTE: In order to be complete all the above mentioned items need to be filled in and shall be included in the commitment of the host institution.</b> |
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## **ANNEX 3: SPECIFIC GUIDANCE RELATED TO ETHICS**

### **Ethics Self-Assessment**

#### **Overview**

The aim of the ethics self-assessment is to provide guidance for discussion of the ethics issues involved in the proposal and of how they will be dealt with.

- How do you **introduce**, at the outset, **the ethical perspective in your research**?

Please provide a **description of the ethics issues** associated to your proposal, making sure you cover all topics flagged in the ethics issues table. Please **specify** as well **any authorisation or permission** you already have **for the proposed work** and **include copies** (the ethics self-assessment and the copies do not count towards the page limit of your proposal). All documents must be submitted in an official EU language or the original document together with a certified translation in English or another official EU language. Please list the documents provided with their expiry date. In case such documents are not available yet, please provide an approximate timing for their submission. This will allow a more effective ethics clearance and an accelerated granting process if the proposal is retained for possible funding.

For a detailed list of required information and documents related to each ethics issue, see the table listed in this annex 'Information and documents to be provided by the applicants' ("Ethics Issues Table – Checklist").

#### **Human embryos/foetus**

Please make sure that you describe adequately why the use of human embryos/foetus is needed, the ethics issues associated to it and how you plan to deal with them and to conform to national legislation.

Please note that research on **human stem cells**, both adult and embryonic, may be financed, depending both on the contents of the scientific proposal and the legal framework of the Member States involved. No funding shall be granted for research activities that are prohibited in all the Member States. No activity shall be funded in a Member State where such activity is forbidden.

Any proposal for research on **human embryonic stem cells** shall include, as appropriate, details of licensing and control measures that will be taken by the competent authorities of the Member States as well as details of the ethics approvals that will be provided. As regards the derivation of human embryonic stem cells, institutions, organisations and researchers shall be subject to strict licensing and control in accordance with the legal framework of the Member States involved<sup>44</sup>.

If your proposal involves the use of Human embryos/foetus, including human embryonic stem cells (hESC), please provide the following information:

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<sup>44</sup> [Regulation of the European Parliament and of the Council laying down the rules for the participation and dissemination in 'Horizon 2020 – the Framework Programme for Research and Innovation \(2014-2020\)](#)

- Confirm that the proposal does not include research activities which destroy embryos including for the procurement of stem cells;
- Confirm that you have taken into account the legislation, regulations, ethics rules and/or codes of conduct in place in the country(ies) where the research is to take place, including the procedures for obtaining informed consent;
- Describe the origin of the Human embryos/foetus/hESC;
- Describe the measures taken to protect personal data, including genetic data, and privacy;
- Describe the nature of financial inducements, if any.

If already available at this stage, please submit the national/local ethics approvals, information sheets and informed consent forms to cover the research on Human embryos/foetus, including human embryonic stem cells (hESC). Please note that the funding of hESC proposals requires an additional approval procedure at EU level in accordance with Articles 10 and 12 of Decision 2013/743/EU establishing the specific programme implementing Horizon 2020 – the Framework Programme for Research and Innovation (2014-2020).

## Humans

This category refers to **any type of research involving empirical work with human beings, regardless of the scientific domain**. Common to all fields, the main ethics issues concern the respect for persons and for human dignity, the just distribution of research's benefits and burden, the social value and the rights and interests of research participants, the need to ensure participants' free informed consent (with particular attention to vulnerable categories of individuals such as children, patients, discriminated people, minorities, persons unable to give consent, etc.). Research methodologies should not result in discriminatory practices or unfair treatment.

When children and other persons unable to give consent are directly involved, their assent (besides parents or legal guardians' consent) should be elicited when feasible<sup>45</sup>.

With regard to proposals in the field of **social sciences and humanities**, their peculiarity for what concerns ethics issues and requirements should be taken into consideration. Please specify what type of work with humans is involved (ex: interviews, observation, experiments with volunteers, and whether those include physical interventions), and discuss the ethical implications of the chosen methodologies. For instance, describe the sampling methods or recruitment procedures and discuss whether they may result in discriminatory practices. Assess whether the research topics or methodologies may entail any psychological, social, legal or other type of harm to participants. If due to the research context or methodology, standard written informed consent procedures are not applicable or advisable, please explain how you will ensure consent in a more appropriate way. The involvement of persons having personal or hierarchical links with the investigators should be avoided, or else the procedure to ensure real free and informed consent should be described (including students being awarded academic credits for participating in research projects).

For guidance on how to deal with ethics issues in social research, see also:

[http://ec.europa.eu/research/participants/data/ref/fp7/89867/social-sciences-humanities\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/fp7/89867/social-sciences-humanities_en.pdf)

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<sup>45</sup> [Directive 2001/20/EC of the European Parliament and of the Council of 4 April 2001 on the approximation of the laws, regulations and administrative provisions of the Member States relating to the implementation of good clinical practice in the conduct of clinical trials on medicinal products for human use](#) – see article 4 and 5.

With regard to **medical studies**, the *Declaration of Helsinki*<sup>46</sup> sets the ethics framework for research, specifying the main principles for medical research (e.g. protection of life, health, dignity, integrity, right to self-determination, privacy, and confidentiality of personal information of research subjects, protocols' design, role of research ethics committees, informed consent procedures, etc.).

Moreover, projects funded under the EU research framework programmes have to comply with the principles enshrined in the [Council of Europe Convention on human rights and biomedicine](#) – known as the Bioethics Convention (Oviedo). Its main purpose is to protect individuals against exploitation arising out of treatment or research and it contains several detailed provisions on informed consent<sup>47</sup>.

Regarding clinical trials, they must comply with the EU Directive on Clinical Trials<sup>48</sup>. Its purpose is to rationalise the procedure involving documentation and administration required for conducting clinical trials, and to ensure that patients are afforded the same protection in all EU Member States. On 17 July 2012, the Commission adopted a "[Proposal for a Regulation of the European Parliament and of the Council on clinical trials on medicinal products for human use \(and repealing Directive 2001/20/EC\)](#)". On 14 April 2014, the Council of the European Union approved a draft regulation on [clinical trials](#), which is expected to enter into force in 2016, and should also be taken into account.

Please explain how your research will take into account the relevant ethical framework.

### **Human cells/tissues**

Human cells and tissues used in the research should either be commercially available (please indicate the source) or, in case you produce them or they originate from another laboratory, you should demonstrate that their production is ethically authorized. If cells or tissues derive from clinical practice (e.g. operations), please make sure that donors have provided their informed consent to their use for research.

If your research implies use of human cells/tissues collected in the framework of another research project, please provide the adequate authorisations to secondary use.

Please specify if any material from existing biobanks will be used. Please specify if your project has the aim or effect to set up a biobank.

### **Protection of personal data**

Please explain how you will ensure privacy and confidentiality in personal data collection and processing, in accordance with EU legislation, in particular:

[Directive 95/46/EC of the European Parliament and of the Council of 24 October 1995 on the protection of individuals with regard to the processing of personal data and on the free movement of such data.](#)

However, the European legislation on data protection is evolving and the coming legislation should also be taken into consideration – (Reform of data protection legislation: <http://ec.europa.eu/justice/data-protection/>)

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<sup>46</sup> [WMA Declaration of Helsinki - Ethical Principles for Medical Research Involving Human Subjects](#)

<sup>47</sup> The article on the purpose and object of the Convention states that the Parties "shall protect the dignity and identity of all human beings and guarantee everyone, without discrimination, respect for their integrity and other rights and fundamental freedoms with regard to the application of biology and medicine". The Convention also concerns equitable access to health care, professional standards, protection of genetic heritage and scientific research.

<sup>48</sup> [Directive 2001/20/EC](#). The Clinical Trials Directive is concretised further by [Commission Directive 2005/28/EC of 8 April 2005 laying down principles and detailed guidelines for good clinical practice as regards investigational medicinal products for human use](#).

In case your research involves the collection/processing of **sensitive personal data** (health, sexual lifestyle, ethnicity, political opinion, religious or philosophical conviction, etc.) or **genetic information**, please justify the need for their collection, discuss the possible ethics implications and how you will address them.

In case your research involves **tracking or observation** of participants, please state whether any video or photo will be used publicly and describe the methods you will use to guarantee the privacy of the participants, including the informed consent provisions (if applicable).

In case you are planning to use **secondary data**, please specify if these originate from publicly available sources, or, if not, whether the data has been authorized for secondary use (by primary owner of the data who must also confirm that the informed consent included the possibility of a secondary use of data).

In any case, please **describe** in details **the specificity of data collection, storage, protection, retention and destruction**. Please provide as well an authorisation from the university data protection controller or national data protection authority.

Regarding the transfer of personal data from/to non-EU countries, please refer to the chapter 'Non-EU countries' below.

## **Animals**

Animal welfare is a value of the Union (Article 13 of the TFEU). Animals have an intrinsic value which must be respected and they must be treated as sentient creatures. As a consequence, one of the main aims of the [Directive 2010/63/EU](#) is to improve the welfare of animals used in scientific procedures, taking into account that new scientific knowledge is available in respect of factors influencing animal welfare as well as the capacity of animals to sense and express pain, suffering, distress and lasting harm.

According to the Directive, it is compulsory to carry out ethical review based on the principles of replacement, refinement, reduction (**3Rs principle**) and all breeders, suppliers, users and the experiments with animals must be authorised.

Therefore, in addition to provide authorisations if already available, please elaborate on **the need to use animals** and the justification to this; consider whether your project has been designed so that procedures involving animals are carried out in the most humane and environmentally sensitive manner possible; make sure that the 3Rs principle will be adequately implemented; reflect on appropriateness of veterinary care and husbandry, impact on animals in terms of pain and distress (mention the anaesthesia and euthanasia methods if any); perform a harm-benefit analysis.

Provide reference to **compliance with relevant EU and national legislation**, see in particular: [Directive 2010/63/EU of the European Parliament and of the Council of 22 September 2010 on the protection of animals used for scientific purposes](#)

## **Third countries**

International research raises several concerns, especially when they take place in developing or emerging–economy countries where participants may be more vulnerable due to economic or political reasons, and a significant disparity of power may exist between researchers and research participant.

Thus, the researcher must ensure that he/she will **comply with the relevant EU legislation in addition to the legislation of the host country**. He/she should also comply with international reference documents, such as the Declaration of Helsinki.

The researcher should also make sure – if applicable – that the **benefits of the research are shared** with relevant local actors.

Therefore, if the Host Institution of the project is located in an **Associated Country**, please check the [H2020 Online Manual](#) and click on 'International cooperation' for up-to-date information on this topic, or if the project includes research activities taking place in a **non-EU country**, the PI must provide a declaration that he/she will rigorously apply the ethical standards and guidelines of H2020, regardless of the country in which the research is carried out.

In case work is foreseen in [low or lower-middle income country\(ies\)](#) according to OECD classification, ***an authorisation from local competent institutions (as appropriate) will be required.***

In case of **exportation/importation of any materials outside/inside a non-EU country** – including personal data - some additional documents are required, including an ethics approval/data protection authorisation, the local authorisation for export/import, and a Material Transfer Agreement.

In addition to an authorisation from local competent institutions (as appropriate), in case of use of local resources (**and especially animal and/or human tissue samples, genetic material, live animals, human remains, materials of historical value, endangered fauna or flora samples**), please explain which resources are used, why and what measures are foreseen on this specific aspect for benefit sharing.

Finally, if the situation in the country may put individuals taking part in the research at risk, please provide details on the foreseen security measures, including insurance cover.

For further guidance, please see [http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/ethics\\_en.htm](http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/ethics_en.htm)

### **Environment & Health and Safety**

Some types of research may imply a risk for the safety of the environment or of the staff involved. Examples include studies on pathogen agents and virus, or experiments that may lead to the release of dangerous substances or particles in the air/water/soil or in the human body.

If your research implies such risks, you are required to describe the foreseen security, health and safety measures, and their conformity with EU and national guidelines.

See: [Directive 2000/54/EC](#) (on the protection of workers from risks related to exposure to biological agents at work), [Directives 2009/41/EC](#) and [98/81/EC](#) (on the contained use of genetically modified micro-organisms – GMMs, and [European Commission Recommendation of 07/02/2008 on a Code of Conduct for Responsible Nanosciences and Nanotechnologies Research](#)).

If your research takes place in a protected area, please take into consideration the relevant Directives, namely [Directive 2008/56/EC](#) of the European Parliament and of the Council of 17 June 2008 establishing a framework for community action in the field of marine environmental policy (Marine Strategy Framework Directive) – specifically its Annex III ; [Council Directive 92/43/EEC](#) of 21 May 1992 on the conservation of natural habitats and of wild fauna and flora ; [Council directive 79/409 EEC](#) on the conservation of wild birds.

### **Dual use**

Dual use specifically refers to technologies that can be used for both peaceful and military aims (See [Regulation No 428/2009 of 5 May 2009 setting up a Community regime for the control of exports, transfer, brokering and transit of dual-use items](#)). The technologies might present a danger to

participants, or to society as a whole, if they were improperly disseminated and must be correctly identified, mentioning as well if they are defensive or offensive.

In the bio-medical field, dual use refers for instance to research which may enhance the virulence of microorganisms causing diseases; diminish the immunity of the host; enhance the transmissibility of the pathogens (enhance the contagiousness); alter (enlarge) the host range of the pathogen; render a vaccine ineffective; confer resistance to life-saving antibiotics; prevent diagnosis of infection or detection of a pathogen; enable eventual weaponization, severity of disease/symptoms or mass casualty, see:

[http://ec.europa.eu/research/participants/data/ref/fp7/89888/ethics-for-researchers\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/fp7/89888/ethics-for-researchers_en.pdf)

In case your research may fall under the mentioned categories, please provide details on the project and on the measures that you foresee to prevent/address/mitigate the risks they might raise.

### **Misuse**

In general, potential **misuse** of research may be defined as “research involving or generating materials, methods or knowledge that could be misused for unethical purposes”.

The main areas of concern regarding potential misuse are: research involving agents or equipment that could be directly misused for criminal or terrorist purposes; research which creates knowledge that could be used for criminal or terrorist purposes; research which can result in stigmatization and discrimination; application and development of surveillance technologies; data mining and profiling technologies.

### **Other ethics issues**

If any other ethically relevant issues apply to your project, please describe them here and explain how you address them.

**ETHICS ISSUES TABLE - CHECKLIST**

**Information and documents to be provided by the applicants**

| <b>BOX 1: HUMAN EMBRYOS/FOETUSES</b>  |   | <b>Information to be provided</b>  | <b>Documents to be provided</b>  |
|---|---|--|--|
| <b>Does your research involve Human Embryonic Stem Cells (hESCs)?<sup>i</sup></b> |   |  |  |
| <b>If YES:</b>  | - Will they be directly derived from embryos within this project? | <i>Research cannot be funded.</i>  | <i>Research cannot be funded.</i>  |
|   | - Are they previously established cells lines?                    | Origin and line of cells.<br><br>Details on licensing and control measures by the competent authorities of the Member States involved. | Copies of relevant Ethics Approvals.   |
| <b>Does your research involve the use of human embryos?</b>                       |   | Origin of embryos.<br><br>Details on recruitment and informed consent procedures.  | Copies of relevant Ethics Approvals.<br><br>Informed Consent Forms.<br><br>Information Sheets. |
| <b>Does your research involve the use of human foetal tissues / cells?</b>        |   | Origin of human foetal tissues/cells.<br><br>Details on informed consent procedures.   | Copies of relevant Ethics Approvals.<br><br>Informed Consent Forms.<br><br>Information Sheets. |

| <b>BOX 2: HUMANS</b>  |  | <b>Information to be provided</b>  | <b>Documents to be provided</b>  |
|---|--|--|--|
| <b>Does your research involve human participants?</b>                               |  | <i>Please provide information in one of the subcategories below:</i>   |  |
| <b>If YES:</b>  | - Are they volunteers for social or human sciences research? | Details on recruitment and informed consent procedures.  | Copies of relevant Ethics Approvals.<br><br>Informed Consent Forms.<br><br>Information Sheets. |
|   | - Are they persons unable to give informed consent?          | <i>Information above plus:</i><br><br>Details on the procedures used to ensure that there is no coercion on participants.  | <i>Documents as above.</i>   |
|   | - Are they vulnerable individuals or groups?                 | Details on the type of vulnerability.<br><br>Details on recruitment and informed consent procedures.   | <i>Documents as above.</i>   |
|   | - Are they children/minors?                                  | <i>Information above plus:</i><br><br><i>Details on the age range.</i><br><br>Details on children/minors assent procedures.<br><br>Describe the procedures to ensure welfare of child/minor. | <i>Documents as above.</i>   |
|   | - Are they patients?   | Details on the nature of disease/condition/disability.<br><br>Details on recruitment and informed consent procedures.  | <i>Documents as above.</i>   |
|   | - Are they healthy volunteers for medical studies?           | <i>Information above plus:</i><br><br>Details on incidental findings. policy.  | Copies of relevant Ethics Approvals.   |
| <b>Does your research involve physical interventions on the study participants?</b> |  |  |  |
| <b>If YES:</b>  | - Does it involve invasive techniques?                       | Risk assessment.   | Copies of relevant Ethics Approvals.   |
|   | - Does it involve collection of biological samples?          | Details on the type of samples to be collected.<br><br>Details on procedures for collection of biological samples.   | Copies of relevant Ethics Approvals.   |



| <b>BOX 3: HUMAN CELLS / TISSUES</b>   |   | <b>Information to be provided</b>                      | <b>Documents to be provided</b>  |
|---|---|--|--|
| <b>Does your research involve human cells or tissues? (Other than from "Human Embryos/Foetuses" i.e. BOX 1)</b> |   |  |  |
| <b>If YES:</b>  | - Are they available commercially?          | Details on cell types and provider (company or other). |  |
|   | - Are they obtained within this project?    | Details on cell types.                                 | Copies of relevant Ethics Approvals.   |
|   | - Are they obtained within another project? | Details on cell types.                                 | Authorisation by primary owner of cells/tissues (including references to ethics approval). |
|   | - Are they deposited in a biobank?          | Details on cell types.                                 | Details on biobank and access to it.   |

| <b>BOX 4: PROTECTION OF PERSONAL DATA<sup>ii</sup></b>  |   | <b>Information to be provided</b>   | <b>Documents to be provided</b>   |
|---|---|---|---|
| <b>Does your research involve personal data collection and/or processing?</b>                               |   |   |   |
| <b>If YES:</b>  | - Does it involve the collection and/or processing of sensitive personal data (e.g. health, sexual lifestyle, ethnicity, political opinion, religious or philosophical conviction)? | Details on protection of privacy/confidentiality.<br><br>Details of procedures for data collection, storage, protection, retention, destruction or re-use.<br><br>Explicit confirmation of compliance with national and EU legislation. | Copies of relevant Ethics Approvals for the collection of personal data.<br><br>Informed Consent Forms.<br>Information Sheets.  |
|   | - Does it involve processing of genetic information?  | <i>Information as above.</i>  | Copies of relevant Ethics Approvals for the processing of genetic information.  |
|   | - Does it involve tracking or observation of participants?  | <i>Information as above plus:</i><br><br>Details on methods used for tracking or observing participants.  | Copies of relevant Ethics Approvals for the collection of personal data.  |
| <b>Does your research involve further processing of previously collected personal data (secondary use)?</b> |   | Details of the database used or to the source of data.<br><br>Confirmation of open public access to the data or of authorisation for secondary use.   | Document confirming open public access to the data (e.g. print screen from Website) or authorisation by primary owner of data<br><br>Informed Consent Form (if applicable). |

| <b>BOX 5: ANIMALS<sup>iii</sup></b>        |  | <b>Information to be provided</b>  | <b>Documents to be provided</b>   |
|--|--|--|---|
| <b>Does your research involve animals?</b> |  | <p>Confirmation of compliance with relevant EU and national legislation.</p> <p>Number of animals to be used, nature of the experiments, procedures, anticipated impact and how this will be minimised.</p> <p>Details on species and rationale for their use.</p> <p>Details on procedures to ensure animal welfare.</p> <p>Details on implementation of the 3Rs Principle.</p> | <p>Copies of all appropriate authorisations for the supply of animals and the project experiments.</p> <p>Copies of training certificates/ personal licences of the staff involved in animal experiments.</p> |
| <b>If YES:</b>                             | - Are they vertebrates?                        | <i>Information as above.</i>   | <i>Documents as above.</i>  |
|  | - Are they non-human primates?                 | <p><i>Information above plus:</i></p> <p>Confirmation of compliance with Art. 8, 10, 28, 31, 32 (Directive 2010/63/EU).</p> <p>Discussion of specific ethics issues related to their use.</p>  | <p><i>Documents as above.</i></p> <p>Personal history file</p> <p>(See art. 31 of Directive 2010/63/EU).</p>  |
|  | - Are they genetically modified? <sup>iv</sup> | <p>Confirmation of compliance with relevant EU and national legislation.</p> <p>Number of animals to be used, nature of the experiments, procedures, anticipated impact and how this will be minimised.</p> <p>Details on species and rationale for their use.</p> <p>Details on procedures to ensure animal welfare.</p> <p>Details on implementation of the 3Rs Principle.</p> | <p>Copies of all appropriate authorisations for the supply of animals and the project experiments.</p> <p>Copies of training certificates/ personal licences of the staff involved in animal experiments</p>  |
|  | - Are they cloned farm animals?                | <i>Information as above</i>  | <p>Copies of all appropriate authorisations for the supply of animals and the project experiments.</p> <p>Copies of training certificates/ personal licences</p>  |

|  |                                |   |  |
|--|--------------------------------|---|--|
|  |                                |   | of the staff involved in animal experiments.<br>Copies of specific authorisation for cloning.  |
|  | - Are they endangered species? | <i>Information as above plus:</i><br>Confirmation of compliance with Art. 7 - Directive 2010/63/EU.<br>Discussion of specific ethics issues related to their use. | Copies of all appropriate authorisations for the supply of animals and the project experiments.<br>Copies of training certificates/ personal licences of the staff involved in animal experiments. |

| BOX 6: THIRD COUNTRIES  |   | Information to be provided  | Documents to be provided   |
|---|---|---|--|
| <b>Does your research involve non-EU countries?</b><br><i>Countries: (Maximum number of characters allowed: 1000)</i><br>_____  |   | Details on activities carried out in non-EU countries.                      | Signed declaration to confirm compliance with ethical standards and guidelines of H2020.<br>Copies of relevant Ethics Approvals from EU country host and non-EU country (double ethics review, if possible).   |
| <b>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.)?</b> |   | Details on type of local resources to be used and modalities for their use. | In case of human resources, copies of relevant Ethics Approvals, as above.<br>In case of animals, plants, micro-organisms and associated traditional knowledge, document showing compliance with Convention on Biodiversity (e.g. access permit and benefit sharing agreement) |
| <b>Do you plan to import any material, from non-EU countries into the EU?</b><br><i>For data imports, please fill in Box 4. For imports concerning human cells or tissues, fill in also Box 3.</i>          |   | Details on type of materials or data to be imported.                        | As above (use of local resources) and:<br>Material Transfer Agreement (MTA).   |
| If <b>YES:</b>  | - Specify material and countries involved (maximum number of characters allowed: 1000)<br>_____ |   |  |
| <b>Do you plan to export any material from the EU to non-EU countries?</b><br><i>For data exports, please fill in Box 4. For exports concerning human cells or</i>  |   | Details on type of materials or data to be exported.                        | Authorisation for export from EU.<br>Material Transfer Agreement (MTA).  |

|   |  |  |
|---|--|--|
| <i>tissues, fill in also Box 3.</i>   |  |  |
| <b>If YES:</b>  | - Specify material and countries involved (maximum number of characters allowed: 1000)<br>_____  |  |
| <b>If your research involves <u>low and/or lower middle income countries</u><sup>49</sup>, are benefit-measures foreseen?</b> | Details on benefit sharing measures.<br>Details on responsiveness to local research needs.<br>Details on procedures to facilitate effective capacity building. | As above (use of local resources) and narrative document describing benefit sharing, responsiveness to local research needs and capacity building. |
| <b>Could the situation in the country put the individuals taking part in the research at risk?</b>                            | Details on safety measures to be implemented, including training.  | Insurance cover  |

| <b>BOX 7: ENVIRONMENT &amp; HEALTH and SAFETY<sup>v vi vii</sup></b>  | <b>Information to be provided</b>  | <b>Documents to be provided</b>   |
|---|--|---|
| <b>Does your research involve the use of elements that may cause harm to the environment, to animals or plants?</b><br><br><i>For research involving animal experiments, please fill in also box 5.</i> | Confirmation of compliance with national/local guidelines/legislation<br><br>Details on safety measures to be implemented. | Safety classification of laboratory.<br><br>GMO authorisation, if applicable. |
| <b>Does your research deal with endangered fauna and/or flora and/or protected areas?</b><br><br><i>For research involving human participants, please fill in also box 2.</i>                           | Confirmation of compliance with international/national/local guidelines/legislation <sup>50</sup>                          | Specific approvals, if applicable.  |

<sup>49</sup> For a list of low and/or lower middle income countries, see <http://www.oecd.org/development/stats/49483614.pdf>

<sup>50</sup> See, in particular:  
[Directive 2008/56/EC](#); [Council Directive 92/43/EEC](#); [Council Directive 79/409/EEC](#)  
[Council Regulation \(EC\) No 338/97](#)  
[Council Decision 93/626/EEC](#)  
[Council Decision 2002/628/EC](#).

|   |  |  |
|---|--|--|
| <p><b>Does your research involve the use of elements that may cause harm to humans, including research staff?</b></p> | <p>Details on health and safety procedures.</p> <p>Confirmation of compliance with national/local guidelines/legislation</p> | <p>University safety procedures.</p> <p>Safety classification of laboratory.</p> |
|---|--|--|

| <b>BOX 8: DUAL USE<sup>viii</sup></b>  | <b>Information to be provided</b> | <b>Documents to be provided</b>   |
|--|-----------------------------------|---|
| <p><b>Does your research have the potential for military applications?</b></p> |                                   | <p>Narrative document describing the potential dual use implications of the research.</p> |

| <b>BOX 9: MISUSE</b>  | <b>Information to be provided</b> | <b>Documents to be provided</b>   |
|---|-----------------------------------|---|
| <p>Does your research have the potential for malevolent/criminal/terrorist abuse?</p> |                                   | <p>Narrative document describing the potential dual use implications of the research.</p> |

| <b>BOX 10: OTHER ETHICS ISSUES</b>   | <b>Information to be provided</b> | <b>Documents to be provided</b> |
|--|-----------------------------------|---------------------------------|
| <p>Are there any other ethics issues that should be taken into consideration?</p> <p>Please specify:</p> <p>(Maximum number of characters allowed: 1000)</p> | <p>Any relevant information.</p>  | <p>Any relevant document.</p>   |

I confirm that I have taken into account all ethics issues described above and that, if any ethics issues apply, I will complete the ethics self-assessment and attach the required documents.

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- <sup>i</sup> [REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL laying down the rules for the participation and dissemination in 'Horizon 2020 – the Framework Programme for Research and Innovation \(2014-2020\)](#)  
and  
[REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL establishing Horizon 2020 - The Framework Programme for Research and Innovation \(2014-2020\)](#)
- <sup>ii</sup> [Directive 95/46/EC of the European Parliament and of the Council of 24 October 1995 on the protection of individuals with regard to the processing of personal data and on the free movement of such data](#)
- <sup>iii</sup> [DIRECTIVE 2010/63/EU OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 22 September 2010 on the protection of animals used for scientific purposes](#)
- <sup>iv</sup> [DIRECTIVE 2009/41/EC OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 6 May 2009 on the contained use of genetically modified micro-organisms](#) and  
[REGULATION \(EC\) No 1946/2003 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 15 July 2003 on transboundary movements of genetically modified organisms](#) – see specifically its articles 4 to 11 and its annexes III to V
- <sup>v</sup> [DIRECTIVE 2000/54/EC OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 18 September 2000 - On the protection of workers from risks related to exposure to biological agents at work](#) – see specifically its Chapter II and article 16
- <sup>vi</sup> [DIRECTIVE 2009/41/EC OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 6 May 2009 on the contained use of genetically modified micro-organisms](#) – see specifically its annex IV  
and  
[REGULATION \(EC\) No 1946/2003 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 15 July 2003 on transboundary movements of genetically modified organisms](#) - – see specifically its articles 4 to 11 and its annexes III to V  
[DIRECTIVE 2001/18/EC of the European Parliament and of the Council of 12 March 2001 on the deliberate release into the environment of genetically modified organisms](#)  
[COUNCIL DECISION 2002/628/EC: of 25 June 2002 concerning the conclusion, on behalf of the European Community, of the Cartagena Protocol on Biosafety](#)  
[COUNCIL DECISION 93/626/EEC of 25 October 1993 concerning the conclusion of the Convention on Biological Diversity](#)
- <sup>vii</sup> [DIRECTIVE 2008/56/EC OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 17 June 2008 establishing a framework for community action in the field of marine environmental policy \(Marine Strategy Framework Directive\)](#) – specifically its Annex III  
[COUNCIL DIRECTIVE 92/43/EEC of 21 May 1992 on the conservation of natural habitats and of wild fauna and flora](#)  
[Council directive 79/409 EEC on the conservation of wild birds](#) and  
<http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:31997R0338&from=en>
- <sup>viii</sup> [COUNCIL REGULATION \(EC\) No 428/2009 of 5 May 2009 setting up a Community regime for the control of exports, transfer, brokering and transit of dual-use items](#)