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ERC Work Programme 2009

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1. Introduction

The European Research Council (ERC) has a unique position in European research funding to support the best science and scholarship. It is operating at the highest level of ambition to generate the maximum benefit to European research from the activities it pursues. The ERC will not be hostage to the conventional wisdom; instead, it will take the best practice wherever it can be found.

The fundamental principle for all ERC activities is that of stimulating investigator-initiated frontier research across all fields of research, on the basis of excellence. Awards will be made and grants operated according to simple procedures that maintain the focus on excellence, encourage initiative and combine flexibility with accountability.

By using competition on the basis of excellence at the European level, the ERC aims to add value to other funding schemes, such as those of Research Funding Agencies operating at the national level. The ERC also complements other research activities under the 7th Framework Programme managed by the European Commission, including the Marie Curie schemes, strategic basic research in support of thematic priorities, and support for European infrastructures.

The ERC aims to create leverage towards structural improvements in the research system of Europe. For example, since many investigators who will be involved in the funded activities are likely to be working within universities, academies, research centres and similar establishments, the ERC can have a strong incentive effect on these institutions by:

- Offering greater independence to early stage (starting) investigators as an investment in the next generation and towards enhancement and sustainability of the institutions' research capacity.
- Setting quality benchmarks, allowing institutions better to judge their research performance.
- Revealing in a bottom up manner the availability of top talent in various fields and emerging areas, and thus assisting the institutions' strategic thinking and priority setting.
- Promoting interaction of European research institutions with similar institutions around the world on the basis of the participation of individual researchers from these institutions in ERC activities.

The Scientific Council of the ERC establishes the ERC's strategy. It has full authority over decisions on the type of research to be funded and acts as guarantor of the quality of the activity from the scientific perspective. In particular, among its tasks are the development of the annual work programme¹, the establishment of the peer review structure and process, as well as the monitoring and quality control of the programme's implementation from the

¹ Article 5, Ideas Specific Programme, Council Decision 2006/972/EC of 19 December, OJ L54, 22.2.2007

scientific perspective, including the development of the ERC's strategy regarding international cooperation.

2. Underlying principles of ERC funding

Two types of ERC grant are available at present. These two funding streams, operating on a 'bottom-up' basis, across all research fields, without predetermined priorities, are expected to be the core of the ERC's operations for the duration of the 7th Framework Programme.

- The ERC Starting Independent Researcher Grants (ERC Starting Grants). The objective is to provide critical and adequate support to the independent careers of excellent researchers, whatever their nationality, located in or moving to the Member States and Associated countries, who are at the stage of starting or consolidating their own independent research team or, depending on the field, their independent research programme.
- The ERC Advanced Investigator Grants (ERC Advanced Grants). The objective is to encourage and support excellent, innovative investigator-initiated research projects by leading advanced investigators across the Member States and Associated countries. This funding stream complements the Starting Grant scheme by targeting the population of researchers who have already established themselves as being independent research leaders in their own right.

The Grants will support projects carried out by individual teams² which are headed by a single **principal investigator (P.I.)** of any nationality and, as necessary, include additional **team-members**. These teams may be of national or trans-national character. With the focus on the Principal Investigator, the concept of individual team is fundamentally different from that of a traditional 'network' or 'research consortium'; **proposals of the latter type will not be accepted.**

An ERC grant is awarded to the institution (Applicant Legal Entity) that engages and hosts the Principal Investigator, with the attached **commitment that this institution offers appropriate conditions for the PI independently to direct the research and manage its funding for the duration of the project**³. These conditions, including the '*portability*' of the project, are the subject of an agreement between the principal investigator and the host institution (supplementary to the ERC Grant Agreement) and are described in the ERC Model Grant Agreement (C (2007)1625, 16/04/2007).

² It is recognised that in certain fields (e.g. in the humanities and mathematics), research is often performed individually, aside from guiding research students. The term 'team' is used in the broadest sense, including cases where a single individual works independently or conversely in cases when several investigators are working so closely together as to constitute a single team.

³ This does not exclude cases where the Principal Investigator's employer is not the host institution. In these cases, the specific conditions of engagement will also be subject to clarification and approval during the granting procedure.

It is a condition for all ERC funding that the host institution commits to the following conditions of independence⁴, ensuring that the P.I. may:

- apply for funding independently
- manage the research and the funding for the project and make appropriate resource allocation decisions
- publish independently as senior author and invite as co-authors only those who have contributed substantially to the reported work
- supervise team members, including research students, doctoral students or others
- have access to reasonable space and facilities for conducting the research

Any type of legal entity, including universities, research centres and undertakings can host the Principal Investigator and his/her team as long as the principles indicated above are respected and the Principal Investigator and his/her activity are not constrained by the research strategy of the enterprise.

In addition, and within the framework provided by the ERC Model Grant Agreement and any other available administrative and legal possibilities, host institutions are expected to make appropriate efforts to attract and retain scientists and scholars of the calibre to be awarded an ERC grant. At the same time host institutions are expected to attribute the resources of the ERC grant towards the achievement of the goals of the specific research project.

As experience and the portfolio of funded projects builds up, the Scientific Council will be in a position to evaluate the programme achievements, adjust mechanisms and procedures as needed, and elaborate its scientific strategy as this is seen to be appropriate.

⁴ Note that the conditions of independence provided to the PI and his/her team are consistent with the 'The European Charter for Researchers' and 'The Code of Conduct for the Recruitment of Researchers', C(2005)576, 11.3.2005

3. ERC Starting Grant

3.1 Background

A widely accepted view is that Europe offers insufficient opportunities for young investigators to develop independent careers and make the transition from working under a supervisor to being independent research leaders in their own right. This structural problem leads to a dramatic waste of research talent in Europe. It limits or delays the emergence of the next-generation of researchers, who bring new ideas and energy, and it encourages highly talented researchers at an early stage of their career to seek advancement elsewhere, either in other professions or as researchers outside Europe.

Up to now, only some relatively small scale efforts have been made in Europe to address these problems. The ERC is well placed to develop a broad, international and consistent scheme on the much larger scale that will be necessary to make a real impact on European science and scholarship.

3.2 Objectives

ERC Starting Independent Researcher Grants are designed to support researchers (Principal Investigators) at the stage at which they are starting or consolidating their own independent research team or, depending on the field, establishing their independent research programme. The scheme will support the creation of independent and excellent new individual research teams and will strengthen others that have been recently created.

Applicants who are applying to consolidate their own independent team/activity (rather than to start their transition to independence) will be required to indicate this situation in the proposal. This will enable the evaluation panels to assess those proposals taking into account the more advanced stage of the career of these applicants.

The peer review evaluation Panels will be empowered to conclude whether the grant and the conditions specified by the host institution will allow the Principal Investigator to make or consolidate the transition to independence.

3.3 Size of ERC Starting Grants

Depending on the specific project and field, the level of ERC Starting Independent Researcher Grants may be up to around €2,000,000 for a period of 5 years⁵ (pro rata for projects of shorter duration)

3.3.1 Community Contribution

The Community financial contribution shall be in the form of a grant to the budget corresponding to 100% of the total eligible and approved direct costs and a contribution of 20% of the total eligible direct costs (excluding the direct costs for subcontracting and the

⁵ The level of the grant represents a maximum overall figure – payments must be justified on the basis of the amounts actually disbursed for the project.

costs of resources made available by third parties which are not used on the premises of the host institution) towards indirect costs.

3.3.2 Grant assessment

The overall level of the grant offered will be determined by the peer review evaluation, on the basis of the needs of the project, judged by the panel (see Annex 1 for panel structure and description) against the requested grant to the budget⁶. In all cases, the evaluation panels will review the requested grant and recommend the total amount to be granted, using rounded figures. The panels may also suggest a modification to the indicative budgetary breakdown in the application but the Principal Investigator has the freedom to re-budget during the course of the project.

3.4 Profile of the ERC Starting Grant Applicant

A competitive Starting Grant Principal Investigator must have already shown the potential for research independence and evidence of maturity. For example, it is normally expected that applicants will have produced independently at least one important publication without the participation of their PhD supervisor. Applicants should also be able to demonstrate a promising **track-record of early achievements** appropriate to their research field and career stage, including significant publications (as main author) in major international peer-reviewed multidisciplinary scientific journals, or in the leading international peer-reviewed journals of their respective field. They may also demonstrate a record of invited presentations in well-established international conferences, granted patents, awards, prizes etc.

The evaluation panels will assess the applicants taking into account the specific stage of the research career they are at the time of the application.

3.5 ERC Starting Grant proposal description

Section 1

1(a) Scientific leadership potential: A description of the applicant's scientific leadership potential should include:

- a '*self-evaluation*' of early research career achievements demonstrating the applicant's potential to go significantly beyond the state of the art;
- a presentation of the content of the early scientific or scholarly contributions of the applicant to his or her own research field;
- the recognition and diffusion that these early contributions have received from others (publications, citations or appropriate equivalents/additional funding/ students/international prizes and awards/ institution-building/other);

⁶ The requested grant should reflect the Principal Investigator's estimation of the real project cost, taking account of the nature of the project and team and whether it is intended to set up a new team or add support to an established team. Evaluation panels will review the requested grant and, as appropriate, suggest adjustments using rounded figures (increments of EUR 10 000).

1(b) Curriculum Vitae: The CV should include the standard academic and research record as well as a succinct 'funding ID' which must specify any current research grants and their subject⁷, and any ongoing application for work related to the proposal.

1(c) Early achievements track-record: The applicant should list:

1. **Publications, as main author** (indicating those without the presence as co-author of their PhD supervisor) in **major international peer-reviewed multi-disciplinary scientific journals** and/or in the **leading international peer-reviewed journals, peer-reviewed conferences proceedings and/or monographs** of their respective research fields, also indicating the number of citations (excluding self-citations) they have attracted.
2. Granted **patent(s)** (if applicable).
3. **Invited presentations to peer-reviewed, internationally established conferences and/or international advanced schools** (if applicable)
4. **Prizes and Awards** (if applicable)

The applicant will be asked to introduce a summary of the information above as well as a short summary of his/her scientific leadership profile using an electronic template that will be provided.

1(d) Extended Synopsis: concise presentation of the scientific proposal, with particular attention to the ground-breaking nature of the research.

Section 2:

Scientific Proposal: description of scientific and technical aspects of the project, 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 should also be indicated.

The proposed research activities shall respect fundamental ethical principles⁸.

Section 3:

⁷ Investigators who have already obtained significant funding to assist them in the establishment or consolidation of their independent research team/activity and/or, due to other important research engagements, cannot commit significant part of their time to run the ERC-funded activity, are not encouraged to submit a proposal for additional funding from ERC during the same period.

⁸ In accordance with article 3 of the Ideas Specific Programme and including those fundamental ethical principles reflected in the Charter of Fundamental Rights of the European Union. The opinions of the European Group on Ethics in Science and New Technologies are and will be taken into account. Research activities should also take into account the Protocol on the Protection and Welfare of Animals, and reduce the use of animals in research and testing, with a view to ultimately replacing animal use.

Research Environment: description of the proposed research environment and its contribution to the research project/activity.

The host institution 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 successful⁹, according to the template provided¹⁰. Proposals that do not include this institutional statement will not be considered for evaluation.

In fairness to all applicants, [strict] limits will be applied to the length of proposals, as follows:

Section 1

Scientific leadership potential: 2 pages

Curriculum Vitae: 2 pages

Early achievements track-record: 2 pages

Extended Synopsis: 5 pages

Section 2

Scientific Proposal: 15 pages

Section 3

Research Environment: 2 pages

Only the material that is presented within these limits will be evaluated.

Additional necessary elements of the proposal:

1. Host Institution Binding Statement
2. Ethical Review table (incorporated in section 2)
3. PhD record and supporting documentation for eligibility checking

3.6 ERC Starting Grant proposal submission procedure and peer review evaluation

3.6.1 Proposal Submission

Proposals are submitted by the Principal Investigator (PI), who has scientific responsibility for the project, on behalf of the host institution which is the applicant legal entity¹¹.

⁹ The statement must be on an official letter (organisation letterhead), signed by the appropriate official and commit the host institution according to the requirements of the ERC Model Grant Agreement (C (2007)1625, 16/04/2007). The letter should be scanned and uploaded to EPSS with the proposal.

¹⁰ see Guide for Applicants

¹¹ Exceptionally, the Principal Investigator may himself/herself act as the applicant legal entity, if he/she is acting in the capacity of the legal entity in his/her own right.

Proposal submission is made electronically via the Electronic Proposal Submission System (EPSS). Early registration in EPSS is strongly recommended and should be done as early as possible in advance of the call deadline.

3.6.2 Peer review evaluation

A **single submission of the full proposal** will be followed by a **two-step evaluation**. The evaluation will be conducted by means of a structure of high level peer review panels as listed in Annex 1¹². The Panels may be assisted by referees.

Principal Investigators whose proposals will be retained for the second step of the evaluation may be invited for an interview to present their project to the evaluation panel meeting in Brussels. They will be accordingly reimbursed for their travel and subsistence expenses¹³.

The applicant must submit the proposal to the primary evaluation panel before the submission deadline of this panel. This will be the basis for allocating proposals to panels. In case that the applicant has indicated a secondary evaluation panel, the primary panel will determine whether the proposal is indeed cross-panel or cross-domain interdisciplinary and may request additional reviews by appropriate members of other panel(s) or additional referees who act as reserve evaluators. If the primary panel decides that the proposal is well within the panel's scope then it will only be evaluated by this panel.

3.6.3 Call budget

The ERC Scientific Council has established the following indicative percentage budgets¹⁴ for each of the 3 main research domains:

Physical Sciences & Engineering: 39%

Life Sciences: 34%

Social Sciences & Humanities: 14%

¹² Panel members will be compensated on the evaluation tasks they perform. Additional reimbursement of travel and subsistence will be made for assignments involving travel. Referees who may assist the evaluation panels will not be compensated.

¹³ In duly justified and exceptional cases, and with the consent of the Scientific Council, the Commission/ERC DIS may agree, subject to technical feasibility, on other ways of interviewing successful Principal Investigators such as video link, teleconference or similar means, and on the reimbursement of their possible related travel and subsistence expenses. Relevant provisions for the reimbursement of expenses incurred in relation to Principal Investigators' interviews are included in the ERC Rules for submission of proposals and the related evaluation, selection and award procedures for indirect actions under the Ideas Specific Programme of the 7th Framework Programme.

¹⁴ Indicative budgets may permit a variation of the budget for each domain by a maximum of 10% of the total budget for the call; however the budget proportions allocated to projects in the three main research domains will be no lower than the percentages indicated. In addition, the final budget awarded per ERC call, following the evaluation of projects, may vary by up to 10% of the total value of the call if additional appropriations become available.

and an *Interdisciplinary*¹⁵ domain with an indicative budget of 13%.

A detailed description of the evaluation process for Starting Grant proposals is set out in Annex 2.

The ERC Scientific Council, acting as the guarantor of the quality of the activity from a scientific perspective, and on the basis of information from the panel Chairs, will ensure that the establishment of the 4 domain lists are in accordance with the Starting Grant scientific strategy and priorities it has established in the work programme.

3.7 Reapplications and multiple applications

Rules apply to reapplications for ERC grants by Principal Investigators whose eligible proposals are not judged to meet the threshold of quality, as well as for multiple eligible applications within the same or different type of ERC grants. The current rules, which may subsequently be modified by the Scientific Council in light of experience, are as follows:

3.7.1 General

- Only one ERC grant managed by a Principal Investigator or Co-Investigator can be active at any time.
- No Principal Investigator or Co-Investigator may be associated with more than one application to the ERC during the same year.

3.7.2 Specific to ERC Starting Grant Calls

- No Principal Investigator who has submitted an eligible proposal to a Starting Grant call may apply to the next Starting Grant call, unless his/her proposal was evaluated above the quality threshold during the 2nd step but not funded due to insufficient available budget.
- It will be possible for ERC Starting Grant Principal Investigators to compete within the last two years of the Starting Grant for an Advanced Investigator Grant to allow for uninterrupted funding of their project/activity.

To note: Investigators who have already obtained significant funding to assist them in the establishment or consolidation of their independent research team/activity and/or, due to other important research engagements, cannot commit significant part of their time to run the ERC-funded activity are encouraged not to submit a proposal for additional funding from ERC during the same period.

3.8 Eligibility Criteria

Incomplete proposals (where parts of the proposal and/or the PhD –related documents and/or the host institution's commitment statement are missing) are considered ineligible and will not

¹⁵ Including cross-panel and/or cross-domain research projects and research with the potential to open new fields

be evaluated¹⁶. The proposal must be submitted to the appropriate primary ERC panel (i.e. the panel which covers the main scientific areas of the research proposed) before the respective deadline.

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.

3.8.1 Eligible Scientific Fields

Applications may be made in any field of research¹⁷.

Funding of human embryonic stem cell research will be possible within the ethical framework defined in the EC 7th Framework Programme¹⁸ as well as the Ideas Specific Programme.

3.8.2 Eligible Principal Investigator

The ERC actions are open to researchers of any nationality who intend to establish and conduct their research activity in any Member State or Associated Country.

The Principal Investigator may be of any age and nationality and may reside in any country in the world at the time of the application

The Principal Investigator must have been awarded¹⁹ his/her first PhD (or equivalent doctoral degree²⁰) **at least 3 and less than 8 years prior to the publication date of the call for proposals of the ERC Starting Grant.**

Extensions of this period may be allowed only in case of eligible career breaks which must be properly documented: maternity (1 year per child born after the PhD award) & paternity leave (accumulation of actual time off after the PhD award) and leave taken for long-term illness, national service. Leave taken for unavoidable statutory reasons (e.g. clinical qualifications) may also count as an extension.

¹⁶ See also 'eligibility check' in ERC rules for the submission of proposals and the related evaluation, selection and award procedures relevant to the Ideas Specific Programme.

¹⁷ Research proposals within the scope of Annex I of the Euratom Treaty, namely those directed towards nuclear energy applications, should be submitted to relevant calls under the Euratom 7th Framework Programme.

¹⁸ In accordance with Commission statement, OJ L 412 of 30.12.2006, p. 42, proposals which will include research activities which destroy human embryos, including for the procurement of stem cells, will not be submitted to the Regulatory Committee. The exclusion of funding of this step of research will not prevent funding of subsequent steps involving human embryonic stem cells.

¹⁹ The reference date towards the calculation of the eligibility period should be the date of the actual award according to the national rules in the country that the degree was awarded.

²⁰ See Scientific Council's strategic note 'PhD and Equivalent Doctoral Degrees: The ERC Policy' on ERC web site (<http://erc.europa.eu/index.cfm?fuseaction=page.display&topicID=24>), including specific provisions for holders of medical degrees.

The cumulative eligibility period should not in any case surpass 11 years following the award of the first PhD. No allowance will be made for part-time working (2 years of half-time working count as 2 full-time years).

3.8.3 Eligible Host Institution (Applicant Legal Entity)

The contribution of Principal Investigators must be substantially carried out in the EU or Associated countries. This does not exclude field work or other research activities in cases where these must necessarily be conducted outside the EU or the Associated countries in order to achieve the scientific objectives of the project/activity.

The host institution will host and engage²¹ the Principal Investigator for at least the duration of the grant. It must be situated in one of the Member States, or one of the Associated countries. It may also be an International European Interest Organisation (such as CERN, EMBL, etc.) or the European Commission's Joint Research Centre. Normally, the applicant legal entity will be the only participating legal entity. Other legal entities, including those located in third countries, may however be involved and receive funding to support the work of additional team members, if so specified in the grant award or subsequent amendments to the original grant.

3.9 Evaluation criteria

Excellence is the sole criterion of evaluation. It will be applied to the evaluation of both the Principal Investigator and the research project. The evaluation will also assess the extent to which the research environment enables the excellence of the project to be achieved.

The detailed elements applying to the 3 sections of the proposal are as follows:

1. Principal Investigator²²

Quality of research output/track-record: How well qualified is the Principal Investigator to conduct the project (reviewers are expected to evaluate the quality of the prior work such as published results in top peer review journals as well as other elements of the Principal Investigator's CV).

To what extent are the publications and achievements of the Principal Investigator ground-breaking and demonstrative of independent creative thinking and capacity to go significantly beyond the state of the art?

Taking account of the particular circumstances of the Principal Investigator and the proposed research, including any funding already secured, to what extent will an ERC Starting Grant make a significant contribution to the establishment or consolidation of independence?

2. Research project

Ground-breaking nature of the research: Does the proposed research address important challenges at the frontiers of the field(s) addressed? Does it have suitably ambitious objectives, which go substantially beyond the current state of the art (e.g. including inter- and

²¹ See also footnote 3

²² Evaluation panel members should also take into consideration the benchmarks set in section 3.4 and the proposal's elements such as the 'Scientific leadership potential' in section 3.5

trans-disciplinary developments and novel or unconventional concepts and/or approaches)? How well conceived and organised is the proposed activity?

Potential impact:

- (a) *Does the research open new and important, scientific, technological or scholarly horizons?*
- (b) *Will the project significantly enhance the research environment and capabilities for frontier research in Europe (including the host institution)?*

Methodology:

- a) *Is the outlined scientific approach (including the activities to be undertaken by the individual team members) feasible?(step 1)*
- b) *Is the proposed research methodology (including when pertinent the use of instrumentation, other type of infrastructures etc.) comprehensive and appropriate to the project? Will it enable the goals of the project convincingly to be achieved within the proposed timescales and resources (including the costs of the Principal Investigator and the members of the team who will be engaged in the project²³) and the level of risk associated with a challenging research project? (step 2)*

High-gain/High-risk balance:

- a) *does the proposed research involve highly novel and/or unconventional methodologies, whose high risk is justified by the possibility of a major breakthrough with an impact beyond a specific research domain/discipline?*

3. Research Environment (to be assessed only during step 2 of the evaluation)

Contribution of the research environment to the project: *Does the host environment²⁴ provide most of the infrastructure necessary for the research to be carried out? Is it in a position to provide an appropriate intellectual environment and infrastructural support and to assist in achieving the ambitions for the project and the Principal Investigator?*

Participation of other legal entities²⁵: *If it is proposed that other legal entities participate in the project, in addition to the applicant legal entity, is their participation fully justified by the scientific added value they bring to the project?*

3.10 Application of Criteria

Panels and referees will evaluate and mark numerically the proposals under the criteria of Heading 1: *Principal Investigator* and Heading 2: *Research project*. Proposals will be evaluated under Heading 3 on a 'pass/fail' basis and commented but not marked during step 2

²³ see also section 2: Underlying Principles of ERC funding

²⁴ The term 'research environment' corresponds to the immediate setting of the research team, such as Department (rather than the sponsoring institution as a whole), and when appropriate, the wider 'milieu' of the team's operation, including collaborating laboratories, groups, departments etc.

²⁵ As the ERC schemes are addressed to individual investigators, usually the participation of more than one legal entity will not improve the chances of success. Participation of investigator(s) from another legal entity would be acceptable if they clearly and substantially enhance the scientific value of the proposal.

of the evaluation. The evaluation panels will review the level of the requested grant and, as appropriate, suggest adjustments.

Each proposal will receive a mark on a scale of 1 to 4 for each of the 2 evaluation criteria (Heading 1 and 2):

4: Outstanding

3: Excellent

2: Very Good

1: Non-competitive

At each step of the evaluation and on the basis of their average mark (at least three independent panel members), proposals will be ranked by the panels (domains) in order of priority. If a proposal, in any step of the evaluation, as set out in Annex 2, is marked below the quality threshold of ≥ 2 on any of the first two headings, it will not be further evaluated.

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 an overall appreciation of their strengths and weaknesses.

4. ERC Advanced Grant

4.1 Background

ERC Advanced Grants provide an opportunity to established scientists and scholars to pursue frontier research of their choice. Being highly competitive and awarded on the sole criterion of excellence without restriction to particular areas of research, these grants will support the very best of research to be conducted in Europe, adding value to research investments at the national level.

Advanced Grants are intended to promote substantial advances in the frontiers of knowledge, and to encourage new productive lines of enquiry and new methods and techniques, including unconventional approaches and investigations at the interface between established disciplines.

The peer review evaluation of proposals will therefore give emphasis to these aspects, in full understanding that such research has a high-gain/high-risk profile, i.e. if successful the payoffs will be very significant, but there is a higher-than-normal risk that the research project does not entirely fulfil its aims.

4.2 Objectives

The aim is to fund individual teams led by established, innovative and active Principal Investigators, regardless of nationality, age or current location. They will include, for example, leading contributors to research advances in Europe, leading scientists of the European 'diaspora' or non-EU nationals who wish to establish themselves in Europe and pursue ground-breaking, high-risk research that opens new directions in their respective research fields or other domains.

Applicants must have a track record of research achievements and recognised as such. Assessment of their scientific leadership profile and track record, therefore, will be a significant component of the evaluation. Research proposals of a multi- and inter-disciplinary nature are strongly encouraged.

To encourage interdisciplinarity, when an interdisciplinary Advanced Grant proposal is grounded in the necessary combination of knowledge and skills from more than one discipline ('Co-Investigator project'), a Principal Investigator (PI) may identify a member or members of his/her individual team, who are active in these disciplines, as Co-Investigators, as an exception to the rule stated in Section 2 that consortia-style applications are not permitted.

The contribution of Principal Investigators and Co-Investigators must be carried out in the EU or Associated countries. In order to appropriately cover the disciplines, the evaluation panel (see below) may, if necessary, invite one or more members of a complementary panel to contribute to the evaluation of the proposal. The evaluation panel will carefully assess the scientific added value of any Co-Investigator(s) to the project; in particular the participation of any additional legal entity will only be permitted if it is clearly necessary from the scientific perspective.

The ERC Advanced Researcher Grant (ERC Advanced Grant) scheme intends to support research projects to be performed in any Member State or associated country to the Framework Programme. Team members, unlike Principal Investigators or Co-Investigators, may conduct the funded research outside the European Union or Associated countries.

During the period of the 7th Framework Programme, this scheme is expected to become the largest funding activity of the ERC.

4.3 Size of ERC Advanced Grants

Depending on the specific project and field, the level of these grants may be up to around EUR 3 500 000 for a period of 5 years²⁶ (pro rata for projects of shorter duration). Normally, however, grants will be limited to a maximum of around EUR 2 500 000 unless the application involves specific features requiring a higher level of support: a 'Co-Investigator project' (see section 4.2); requirement to purchase major research equipment, or a Principal Investigator who is coming from a third country to establish a research team and activity at a host institution in a member state or associated country.

4.3.1 Community Contribution

The Community financial contribution shall be in the form of a grant to the budget corresponding to 100% of the total eligible and approved direct costs and a contribution of 20% of the total eligible direct costs (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) towards indirect costs.

4.3.2 Grant assessment

The overall level of the grant offered will be determined by the peer review evaluation, on the basis of the needs of the project, judged by the panel (see Annex 1 for panel structure and description) against the requested grant to the budget²⁷. In all cases, the evaluation panels will review the requested grant and recommend the total amount to be granted, using rounded figures. The panels may also suggest a modification to the indicative budgetary breakdown in the application but the Principal Investigator has the freedom to re-budget during the course of the project.

²⁶ The level of the grant represents a maximum overall figure – payments must be justified on the basis of the amounts actually disbursed for the project.

²⁷ The requested grant should reflect the Principal Investigator's estimation of the real project cost, taking account of the nature of the project and team and whether it is intended to set up a new team or add support to an established team. Evaluation panels will review the requested grant and, as appropriate, suggest adjustments using rounded figures (increments of EUR 10 000).

4.4 Profile of the ERC Advanced Grant Applicant

Applicants 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. There is little prospect of an application succeeding in the absence of such a record, which identifies investigators as exceptional leaders in terms of originality and significance of their research contributions.

Thus, in most fields, Principal Investigators of Advanced Grant proposals will be expected to demonstrate a record of achievements appropriate to the field and at least matching one or more of the following benchmarks:

- Normally 10 publications as senior author (or in those fields where alphabetic order of authorship is the norm, joint author) in major international peer-reviewed multidisciplinary scientific journals, and/or in the leading international peer-reviewed journals and peer-reviewed conferences proceedings of their respective field.
- Normally 3 major research monographs, of which at least one is translated into another language. This benchmark is relevant to research fields where publication of monographs is the norm (e.g. humanities and social sciences).

Other alternative benchmarks that may be considered (individually or in combination) as indicative of an exceptional record and recognition in the last 10 years:

- Normally 5 granted patents
- Normally 10 invited presentations in well-established internationally organised conferences and advanced schools
- Normally 3 research expeditions led by the applicant
- Normally 3 well-established international conferences or congresses where the applicant was involved in their organisation as a member of the steering and/or organising committee
- International recognition through scientific prizes/awards or membership in well-regarded Academies

4.5 ERC Advanced Grant proposal description

Section 1

1(a) Scientific leadership profile: A description of the applicant's scientific leadership profile should include:

- a '*self-evaluation*' of research career achievements demonstrating the applicant's capacity to go significantly beyond the state of the art;

- a presentation of the content and impact of the major scientific or scholarly contributions of the applicant to his or her own research field and/or neighbouring research fields and, if applicable, their wider societal impact;
- the international recognition and diffusion that these major contributions have received from others (publications, citations or appropriate equivalents/additional funding/ students/international prizes and awards/ institution-building/other);
- evidence of efforts and ability to inspire younger researchers towards high quality research (highlights of research mentoring record, information on the careers of supervised graduate and post-doctoral students, etc.);
- where applicable: proven ability to productively change research fields and/or to establish new interdisciplinary approaches;

1(b) Curriculum Vitae: The CV should include the standard academic and research record as well as a succinct 'funding ID' which must specify any current research grants and their subject, and any ongoing application for work related to the proposal.

1(c) 10-year track-record: The applicant should list his/her activity over the past 10 years as regards:

1. The **top 10 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.
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 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)

The applicant will be asked to introduce a summary of the data above as well as a short summary of his/her scientific leadership profile using an electronic template that will be provided.

Co-Investigator(s): In exceptional cases ('Co-Investigator projects') the scientific leadership profile, the CV and the 10-year track-record should also be produced for each designated Co-Investigator.

1(d) Extended Synopsis: concise presentation of the scientific proposal, with particular attention to the ground-breaking nature of the research.

Section 2:

Scientific Proposal: description of scientific and technical aspects of the project, 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 should also be indicated.

The proposed research activities shall respect fundamental ethical principles²⁸.

Section 3:

Research Environment: description of the proposed research environment and its contribution to the research project/activity.

The host institution 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 successful²⁹, according to the template³⁰ provided. Proposals that do not include this institutional statement will not be considered for evaluation.

In fairness to all applicants, [strict] limits will be applied to the length of proposals, as follows:

Section 1³¹

Scientific leadership profile: 2 pages

Curriculum Vitae: 2 pages

10-year track-record: 2 pages

Extended Synopsis: 5 pages

Section 2

Scientific Proposal: 15 pages

Section 3

Research Environment: 2 pages

²⁸ In accordance with article 3 of the Ideas Specific Programme and including those fundamental ethical principles reflected in the Charter of Fundamental Rights of the European Union. The opinions of the European Group on Ethics in Science and New Technologies are and will be taken into account. Research activities should also take into account the Protocol on the Protection and Welfare of Animals, and reduce the use of animals in research and testing, with a view to ultimately replacing animal use.

²⁹ The statement must be on an official letter (organisation letterhead), signed by the appropriate official and commit the host institution according to the requirements of the ERC Model Grant Agreement (C (2007)1625, 16/04/2007). The letter should be scanned and uploaded to EPSS with the proposal.

³⁰ see Guide for Applicants

³¹ In the case of the 'Co-Investigator projects', the scientific leadership profile, the CV and the 10-year track-record should also be produced for each designated co-investigator, focusing on research achievements and publications. The maximum is set to 6 pages per co-investigator.

Only the material that is presented within these limits will be evaluated.

Additional necessary elements:

1. Host Institution Binding Statement
2. Ethical Review table (incorporated in section 2)

4.6 Submission procedure and peer review evaluation

4.6.1 Proposal Submission

Proposals are submitted by the Principal Investigator (PI), who has scientific responsibility for the project, on behalf of the host institution which is the applicant legal entity³².

Proposal submissions will be done electronically via the Electronic Proposal Submission System (EPSS). Early registration in EPSS is strongly recommended and should be done as early as possible in advance of the call deadline.

4.6.2 Peer review evaluation

A **single submission of the full proposal** will be followed by a **two-step evaluation**. The evaluation will be conducted by means of a structure of high level peer review panels as listed in Annex 1³³. The Panels may be assisted by referees.

The applicant must submit the proposal to the primary evaluation panel before the submission deadline of this panel. This will be the basis for allocating proposals to panels. In case that the applicant has indicated a secondary evaluation panel, the primary panel will determine whether the proposal is indeed cross-panel or cross-domain interdisciplinary and may request additional reviews by appropriate members of other panel(s) or additional referees who act as reserve evaluators. If the primary panel decides that the proposal is well within the panel's scope then it will only be evaluated by this panel.

4.6.3 Call budget

The ERC Scientific Council has established the following indicative percentage budgets³⁴ for each of the 3 main research domains:

³² Exceptionally, the Principal Investigator may himself/herself act as the applicant legal entity, if he/she is acting in the capacity of the legal entity in his/her own right.

³³ Panel members will be compensated on the evaluation tasks they perform. Additional reimbursement of travel and subsistence will be made for assignments involving travel. Referees who may assist the evaluation panels will not be compensated.

³⁴ Indicative budgets may permit a variation of the budget for each domain by a maximum of 10% of the total budget for the call; however the budget proportions allocated to projects in the three main research domains will be no lower than the percentages indicated. In addition, the final budget awarded per ERC call, following the

Physical Sciences & Engineering: 39%

Life Sciences: 34%

Social Sciences & Humanities: 14%

and an *Interdisciplinary*³⁵ domain with an indicative budget of **13%**.

A detailed description of the evaluation process for Advanced Grant proposals is set out in Annex 3.

The ERC Scientific Council, acting as the guarantor of the quality of the activity from a scientific perspective, and on the basis of information from the panel Chairs, will ensure that the establishment of the 4 domain lists are in accordance with the Advanced Grant scientific strategy and priorities it has established in the work programme.

4.7 Reapplications and multiple applications

Rules apply to reapplications by Principal Investigators for ERC grants whose eligible proposals are not judged to meet the threshold of quality, as well as for multiple eligible applications within the same or different type of ERC grants. The current rules, which may subsequently be modified by the Scientific Council in light of experience, are as follows:

4.7.1 General

- Only one ERC grant managed by a Principal Investigator or Co-Investigator can be active at any time.
- No principal or Co-Investigator may be associated with more than one application to the ERC during the same year.

4.7.2 Specific to the ERC Advanced Grant Calls

- No Principal Investigator or Co-Investigator may be associated with more than one eligible proposal for an ERC-Advanced Grant to either of the first two Advanced Grant calls (ERC-2008-AdG or ERC-2009-AdG).
- A Principal Investigator or a Co-Investigator associated with an eligible proposal for an ERC-Advanced Grant to either of the first two Advanced Grant calls (ERC-2008-AdG or ERC-2009-AdG) may not apply for the third ERC-Advanced Grant call (ERC-2010-AdG, expected in 2010) unless the eligible proposal to the first or second call has met the quality threshold on both evaluation criteria - Principal Investigator, Research Project - at the end of step 1 of evaluation.
- A Principal Investigator or Co-investigator who has submitted an eligible proposal for an ERC-Advanced Grant in either of the first two Advanced Grant calls may not apply for an ERC Starting Grant during the same period (2008-2009)

evaluation of projects, may vary by up to 10% of the total value of the call if additional appropriations become available.

³⁵ Including cross-panel and/or cross-domain research projects and research with the potential to open new fields

4.8 Eligibility Criteria

Incomplete proposals (where parts of the proposal and/or the host institution's commitment statement are missing) are considered ineligible and will not be evaluated³⁶. The proposal must be submitted 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.

4.8.1 Eligible Scientific Fields

Applications may be made in any field of research³⁷.

Funding of human embryonic stem cell research will be possible within the ethical framework defined in the EC 7th Framework Programme³⁸ as well as the Ideas Specific Programme.

4.8.2 Eligible Principal Investigator

The ERC actions are open to researchers of any nationality who intend to establish and conduct their research activity in any Member State or Associated Country.

The ERC Advanced Grant Principal Investigator (and Co-Investigator) can be of any age and nationality and he/she can reside in any country in the world at the time of the application

Principal Investigators applying for the ERC Advanced Grant must be established research leaders who have made exceptional contributions to research in terms of originality and significance. No specific eligibility criteria with respect to their academic requirements are consequently foreseen.

4.8.3 Eligible Host Institution (Applicant Legal Entity)

The contribution of Principal Investigators and Co-Investigators must be substantially carried out in the EU or Associated countries. This does not exclude field work or other research

³⁶ See also 'eligibility check' in ERC rules for the submission of proposals and the related evaluation, selection and award procedures relevant to the Ideas Specific Programme.

³⁷ Research proposals within the scope of Annex I of the Euratom Treaty, namely those directed towards nuclear energy applications, should be submitted to relevant calls under the Euratom 7th Framework Programme.

³⁸ In accordance with Commission statement, OJ L 412 of 30.12.2006, p. 42, proposals which will include research activities which destroy human embryos, including for the procurement of stem cells, will not be submitted to the Regulatory Committee. The exclusion of funding of this step of research will not prevent funding of subsequent steps involving human embryonic stem cells.

activities in cases where these must necessarily be conducted outside the EU or the Associated countries in order to achieve the scientific objectives of the project/activity.

The host institution will host and engage³⁹ the Principal Investigator for at least the duration of the grant. It must be situated in one of the Member States, or one of the Associated countries. It may also be an International European Interest Organisation (such as CERN, EMBL, etc.) or the European Commission's Joint Research Centre. Normally, the applicant legal entity will be the only participating legal entity. Other legal entities, including those located in third countries, may however be involved and receive funding to support the work of additional team members, if so specified in the grant award or subsequent amendments to the original grant.

4.9 Evaluation criteria

Excellence is the sole criterion of evaluation. It will be applied to the evaluation of both the Principal Investigator (and Co-Investigator if applicable) and the research project. The evaluation will also assess the extent to which the research environment enables the excellence of the project to be achieved.

The detailed elements applying to the 3 sections of the proposal are as follows:

1. Principal Investigator⁴⁰

Quality of research output/track-record: How well qualified is the Principal Investigator (and any Co-Investigator if applicable) to conduct the project (reviewers are expected to evaluate the quality of the prior work such as published results in top peer review journals as well as other elements of the Principal Investigator's CV).

To what extent are the publications and achievements of the Principal Investigator ground-breaking and demonstrative of independent creative thinking and capacity to go significantly beyond the state of the art?

To what extent does the quality and quantity of funding the Principal Investigator has attracted during the last ten years demonstrate his/her reputation as a performer of ground-breaking research?

Intellectual capacity and creativity: To what extent does the Principal Investigator's record of research, collaborations, project conception, supervision of students and publications demonstrate that he/she is able to confront major research challenges in the field, and to initiate new productive lines of thinking?

2. Research project

Ground-breaking nature of the research: Does the proposed research address important challenges at the frontiers of the field(s) addressed? Does it have suitably ambitious objectives, which go substantially beyond the current state of the art (e.g. including inter- and

³⁹ See also footnote 3

⁴⁰ Evaluation panel members should also take into consideration the benchmarks set in section 4.4 and the proposal's elements such as the 'Scientific leadership profile' in section 4.5

trans-disciplinary developments and novel or unconventional concepts and/or approaches)? How well conceived and organised is the proposed activity?

Potential impact:

- (a) *Does the research open new and important, scientific, technological or scholarly horizons?*
- (b) *Will the project significantly enhance the research environment and capabilities for frontier research in Europe (including the host institution)?*

Methodology:

- a) *is the outlined scientific approach (including the activities to be undertaken by the individual team members) feasible?(step 1)*
- b) *is the proposed research methodology (including when pertinent the use of instrumentation, other type of infrastructures etc.) comprehensive and appropriate to the project? Will it enable the goals of the project convincingly to be achieved within the proposed timescales and resources (including the costs of the Principal Investigator and the members of the team who will be engaged in the project⁴¹) and the level of risk associated with a challenging research project? (step 2)*

High-gain/High-risk balance:

- a) *does the proposed research involve highly novel and/or unconventional methodologies, whose high risk is justified by the possibility of a major breakthrough with an impact beyond a specific research domain/discipline?*

3. Research Environment (to be assessed only during step 2 of the evaluation)

Contribution of the research environment to the project: *Does the host environment⁴² provide most of the infrastructure necessary for the research to be carried out? Is it in a position to provide an appropriate intellectual environment and infrastructural support and to assist in achieving the ambitions for the project and the Principal Investigator?*

Participation of other legal entities⁴³: *If it is proposed that other legal entities participate in the project, in addition to the applicant legal entity, is their participation fully justified by the scientific added value they bring to the project?*

4.10 Application of Criteria

Panels and referees will evaluate and mark numerically the proposals under the criteria of Heading 1: *Principal Investigator* and Heading 2: *Research project*. Proposals will be evaluated under Heading 3 on a 'pass/fail' basis and commented but not marked during step 2

⁴¹ see also section 2: Underlying Principles of ERC funding

⁴² The term 'research environment' corresponds to the immediate setting of the research team, such as Department (rather than the sponsoring institution as a whole), and when appropriate, the wider 'milieu' of the team's operation, including collaborating laboratories, groups, departments etc.

⁴³ As the ERC schemes are addressed to individual investigators, usually the participation of more than one legal entity will not improve the chances of success. Participation of investigator(s) from another legal entity would be acceptable if they clearly and substantially enhance the scientific value of the proposal.

of the evaluation. The evaluation panels will review the level of the requested grant and, as appropriate, suggest adjustments.

Each proposal will receive a mark on a scale of 1 to 4 for each of the 2 evaluation criteria (Heading 1 and 2):

4: Outstanding

3: Excellent

2: Very Good

1: Non-competitive

At each step of the evaluation and on the basis of their average mark (at least three independent panel members), proposals will be ranked by the panels (domains) in order of priority. If a proposal, in any step of the evaluation, as set out in Annex 3, is marked below the quality threshold of ≥ 2 on any of the first two headings, it will not be further evaluated.

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 an overall appreciation of their strengths and weaknesses.

5. Coordination & Support Actions (CSA)

5.1 ERC support via open calls

A challenge for the ERC is to set up an appropriate evaluation and assessment framework that is robust and flexible. The framework should enable the Scientific Council to take necessary measures for optimising its scientific strategy and for the Commission to develop the evidence base needed for rigorous appraisal of the ERC's activities in the longer term.

The Scientific Council proposes to support independent exploratory work to analyse the impact of the ERC and to assist in the development of a strategy for the monitoring and assessment of ERC activities. This will be done by using the funding scheme 'Co-ordination and Support Actions' (CSAs), which gives financial support aimed at co-ordinating or support research activities and policies.

The Co-ordination and Support Actions will be subject to the standard procedures (grant agreement and financial implications regarding reimbursement of direct and indirect costs) for such actions in the 7th Framework Programme.

5.1.1 Objectives

The monitoring and assessment strategy for the ERC will be developed in liaison with other programmes of the 7th Framework Programme, both to draw experience from the latter and to meet, in a co-ordinated way, the Commission's obligations for programme monitoring and evaluation, as well as the specific evaluation requirements established in the legislation for the ERC, including the ERC mid-term review of structures and mechanisms. The latter will be performed by a high level panel of independent experts and its cost will also be covered by the evaluation, monitoring and review budget.

The work foreseen will assist the ERC in engaging in creative and exploratory thinking, from a broad and diverse set of perspectives, to arrive at a mature and well-considered position on this important set of issues and to establish data collection, and monitoring and assessment tools both to assure inputs to longitudinal studies from the outset and to assist in the process of 'learning by doing'.

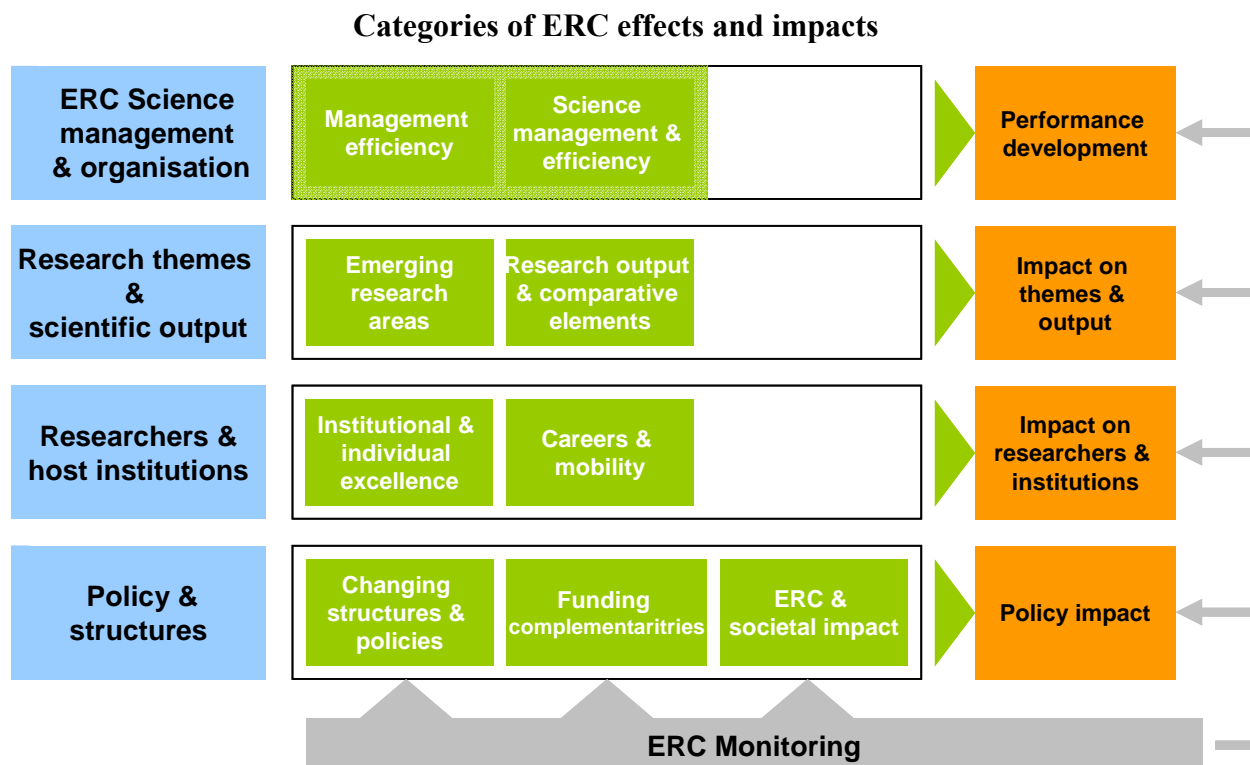
The ERC aims to build up a comprehensive portfolio of projects and studies to support the ongoing monitoring and evaluation work as well as to the future strategy and policy development.

5.1.2 Topics for support under the 2009 work programme

For the ERC-Support 2009 call, the ERC seeks to complement the project and studies supported from the 2008 CSA call. This will be done within a framework which categorises effects and impacts at four broad levels and which identifies topics on which proposals are invited within each category.

However, the ERC operates a flexible and responsive "bottom-up" approach for proposal submissions and is thus open for further suggestions for high quality CSA studies and projects, within these broad categories provided they are of high strategic importance for the ERC.

The methodologies proposed for the support activities should be effective and innovative. Proposals need to consider their potential impact on the ERC's operations and effectiveness, rather than addressing purely theoretical or conceptual issues, and be capable of making a real difference to the way the ERC develops from a policy perspective.



ERC science management and organisation

The ERC must be as efficient and effective as possible in its operations. It is also committed to being a "learning organisation", developing and adapting its structures and mechanisms to ensure it delivers its objectives in an effective manner. It must have the capability to link day to day action to the implementation of strategic objectives.

For the 2009 work programme, proposals are invited in particular on:

Science Management and efficiency

Frontier research creates new knowledge beyond disciplinary borders and uses approaches outside established trajectories. Consequently, the ERC needs to be rigorous in evaluating the very best science and researchers and in selecting innovative and "high risk/high gain" projects.

The ERC's operations are based on scientific governance provided by an independent Scientific Council which, inter alia, is responsible for designing the peer review process and selecting peer review experts. The ERC peer review system is at the very heart of the ERC's operations and a crucial element in realising its scientific strategy. Analysis is needed to monitor the effectiveness and efficiency of the peer review process (including its implementation) and to understand the particular dynamics and considerations at play in the

process of selecting successful applicants, taking account of the interplay between scientific and administrative aspects of the process

Research themes and scientific output

ERC projects should be effective in generating important new knowledge; it is also expected that they will exploit new, emerging research opportunities and foster breakthroughs in new areas.

*For the 2009 work programme, proposals are invited in particular on **Emerging research areas***

The bottom-up approach of the ERC funding schemes is flexible and responsive to new lines of research discovery which may have an impact on the development of dynamic, creative and innovative areas of research in Europe. Tools should be developed and analysis carried out to capture and map ERC-funded research within the landscape of science and draw implications, for example the emergence of new fields, Europe's comparative performance vis-à-vis the rest of the world or opportunities for knowledge transfer and uptake.

Researchers and host institutions

The ERC sets out to attract and support the very best and most promising researchers and to encourage the most excellent research. Individual performance should improve as a result of ERC grants and, via this route and other mechanisms, the institutional performance of host organisations is expected to improve as well.

*For the 2009 work programme, proposals are invited in particular on **Institutional and individual excellence***

Analysis is needed of the ERC's impact at the institutional level (i.e. host institutions of successful and aspiring applicants), arising through the direct contribution of the grants and the research and people supported. Analysis should also consider the ERC's effects, and its impacts on host institutions' performance as well as their strategic responses to European competition and reputational effects.

Policy and structures

The ERC is expected to affect both national and European research cultures. National policies and strategies of research councils and other funding agencies as are expected to adapt to the ERC and the opportunities it provides for frontier research, in the context of their broader strategies regarding the European Research Area.

*For the 2009 work programme, proposals are invited in particular on **Changing structures and policies***

Analysis is needed of the ERC's impact on research policies, on the landscape of publicly funded national/regional research programmes, on funding organisations in the Member states and in other countries.

Funding complementarities

Analysis is needed of the interactions, including possible synergies and/or inefficiencies, between the ERC's activities and those of other national (including the US or Research Foundations) as well as European funding schemes.

Indicative budget⁴⁴ for CSA (supporting action) open call: EUR 2,500,000 for 2009.

5.1.3 Developing and refining the key elements and quality standards of the Monitoring, Assessment and Evaluation strategy of the ERC

Following an initial workshop with a group of leading specialists in fields relevant to evaluation and assessment of frontier research in July 2007, it is proposed to set up a small number of expert groups to support the ERC in the development, refinement and implementation of the monitoring, assessment and evaluation strategy. The focus for topics will be based on the ERC's categorisation of issues set out above, but will also aim to draw on good practice and experience from monitoring and evaluation activities of national research systems, especially as regards the ERC's complementarity and added value.

Indicative budget⁴⁵ for CSA (experts group): EUR 200,000 for 2009

5.1.4 CSA Eligibility Criteria

Proposals for co-ordination and support actions must be focused on requirements specified in the work programme and/or call for proposals.

Co-ordination and support actions (Support) are open to legal entities situated in Member States, or Associated countries. Applications from International European Interest Organisations (such as CERN, EMBL, etc.) or the European Commission's Joint Research Centre, and legal entities established in third countries are also eligible. Legal entities established in third countries can receive funding if their participation is essential for carrying out the action.

The minimum participation is 1 independent legal entity (CSA-Support).

5.1.5 CSA Evaluation Criteria

Proposals for Coordination and Support Actions (CSA) will be evaluated on the basis of the following criteria:

1. Objectives and impact (award):

Are the objectives of the proposed project consistent with the requirements specified in the work programme and/or call for proposals? Will the project have a substantial impact in the context of the ERC strategic objectives?

⁴⁴ The final budget awarded per ERC call, following the evaluation of projects, may vary by up to 10% of the total value of the call if additional appropriations become available.

⁴⁵ The budget figures for non-call activities may also vary by up to 10% of the stated budget if additional appropriations become available.

2. Quality and effectiveness (award):

Is the proposed methodology and work plan effective in reaching the goals of the project? Does it ensure the highest quality and/or utility of results? Does it, where appropriate, correspond to, or go beyond, best current practice?

3. Resources (selection):

Are the resources (personnel, experience, equipment, other) appropriate for the goals of the project? Will they be used effectively? Are they properly justified?

5.1.6 Application of CSA Evaluation Criteria

Each evaluation criterion will be marked on a scale of 0 to 5 (with half-point resolution) and an overall quality threshold of 80% will be used to establish the retained list of proposals which will be ranked in order of priority for funding.

5.2 CSA to Named beneficiaries

It is foreseen that CSAs (Supporting Action)⁴⁶ will be used to provide support and assistance to the Chair and vice-Chairs of the Scientific Council, hosted by Imperial College of Science, Technology and Medicine (London, UK) [up to EUR 200 000], Vienna Science and Technology Fund (Vienna, AT) [up to EUR 50 000] and Commissariat à l'énergie atomique (Paris, FR) [up to EUR 50 000], to have dedicated local support for their tasks of preparing the plenary and other meetings of the Scientific Council, as well as tasks related to the process of developing and projecting its policies and activities in interaction with the scientific community and other stakeholders⁴⁷.

The principal activities will be:

- to support and assist the Chair in his diverse responsibilities including the preparation of meetings, the efficient and effective functioning of the ScC, its integrated operation together with the ERC's dedicated implementation structure and effective interfacing with the scientific community, other funding agencies and the political institutions of the EU.
- To support and assist the vice-Chairs to ensure their contributing to the efficient operation of the ScC, and the efficient and timely achievement of its objectives in preparing and managing ERC operations under FP7

The named institutions hosting the Chair and vice-Chairs would therefore be direct beneficiaries of up to EUR 300.000 CSA (Support Action) in compliance with Article 14(a) of the Rules of Participation⁴⁸.

⁴⁶ In conformity with the provisions of the Specific Programme Ideas (annex 1) and in compliance with Article 14(a) of the Rules of Participation.

⁴⁷ Activities funded under this CSA must not overlap with the administrative support provided directly by the Dedicated Implementation Structure to the chair and vice-chairs of the ERC Scientific Council, or with any support that is foreseen in the Commission Decision establishing the ERC (2007/134/EC, 02/02/2007).

⁴⁸ Regulation 1906/2006/EC of 18 December 2006, concerning the rules for participation of undertakings, research centres and universities in the European Community 7th Framework Programme (2007-2013)

Indicative overall budget for CSA (supporting action)⁴⁹: EUR 300 000 for 2009.

5.3 Transfer of unused funds from CSAs of 2008 for the reinforcement of ERC-2008-AdG call

In addition to the ERC-2009-AdG, ERC-2009-StG and ERC-2009-Support calls foreseen under the 2009 budget and described above, this work programme provides for a technical adjustment to the ERC-2008-AdG call, to add to the indicative budget of the call an additional amount of €500 000 from the CSA Call for Tender which will not be launched in 2008. This addition is well within the 10% allowed variation foreseen for the indicative budget of the ERC-2008-AdG call (€16 950 000).

⁴⁹ The budget figures for non-call activities may also vary by up to 10% of the stated budget if additional appropriations become available.

6. Indicative budget for the revised ERC Work Programme

Call	in EUR million
ERC-2009-STG	295.8
ERC-2009-AdG	489.5
OTHER ACTIVITIES: CSA: ERC (SUPPORTING ACTION) CALL FOR PROPOSALS	 2.5 0.2
CSA: EXPERT GROUP CSA: ERC SUPPORT TO NAMED BENEFICIARIES (SUPPORTING ACTION)	 0.3
EVALUATION, MONITORING AND REVIEW COSTS	5.3⁵⁰
<u>BUDGET SOURCE:</u> PRELIMINARY BUDGET 2009*	793.6
ESTIMATED TOTAL BUDGET ALLOCATION (rounded)	793.6
* Under the condition that the preliminary draft budget for 2009 is adopted without modifications by the budgetary authority	

⁵⁰ This may also cover the cost of the mid-term review of the ERC structures and mechanisms. In the case of the costs of evaluation, monitoring and review costs the budget figures may vary by up to 20% of the stated budget if additional appropriations become available.

Annex 1 Primary panels structure,description and corresponding deadlines

Physical Sciences & Engineering:

ERC-2009-StG: 29 October 2008, 17.00.00 (Brussels local time)

ERC-2009-AdG: 25 March 2009, 17.00.00 (Brussels local time)

- PE1 Mathematical foundations:** all areas of mathematics, pure and applied, plus mathematical foundations of computer science, mathematical physics and statistics
- PE2 Fundamental constituents of matter:** particle, nuclear, plasma, atomic, molecular, gas, and optical physics
- PE3 Condensed matter physics:** structure, electronic properties, fluids, nanosciences
- PE4 Physical and analytical chemical sciences:** analytical chemistry, chemical theory, physical chemistry/chemical physics
- PE5 Materials and synthesis:** materials synthesis, structure-properties relations, functional and advanced materials, molecular architecture, organic chemistry
- PE6 Computer science and informatics:** informatics and information systems, computer science, scientific computing, intelligent systems
- PE7 Systems and communication engineering:** electronic, communication, optical and systems engineering
- PE8 Products and processes engineering:** product design, process design and control, construction methods, civil engineering, energy systems, material engineering
- PE9 Universe sciences:** astro-physics/chemistry/biology; solar system; stellar, galactic and extragalactic astronomy, planetary systems, cosmology, space science, instrumentation
- PE10 Earth system science:** physical geography, geology, geophysics, meteorology, oceanography, climatology, ecology, global environmental change, biogeochemical cycles, natural resources management

Social Sciences & Humanities:

ERC-2009-StG: 19 November 2008, 17.00.00 (Brussels local time)

ERC-2009-AdG: 15 April 2009, 17.00.00 (Brussels local time)

- SH1 Individuals, institutions and markets:** economics, finance and management

- SH2 Institutions, values, beliefs and behaviour:** sociology, social anthropology, political science, law, communication, social studies of science and technology
- SH3 Environment and society:** environmental studies, demography, social geography, urban and regional studies
- SH4 The Human Mind and its complexity:** cognition, psychology, linguistics, philosophy and education
- SH5 Cultures and cultural production:** literature, visual and performing arts, music, cultural and comparative studies
- SH6 The study of the human past:** archaeology, history and memory

Life Sciences:

ERC-2009-StG: 10 December 2008, 17.00.00 (Brussels local time)

ERC-2009-AdG: 6 May 2009, 17.00.00 (Brussels local time)

- LS1 Molecular and Structural Biology and Biochemistry:** molecular biology, biochemistry, biophysics, structural biology, biochemistry of signal transduction
- LS2 Genetics, Genomics, Bioinformatics and Systems Biology:** genetics, population genetics, molecular genetics, genomics, transcriptomics, proteomics, metabolomics, bioinformatics, computational biology, biostatistics, biological modelling and simulation, systems biology, genetic epidemiology
- LS3 Cellular and Developmental Biology:** cell biology, cell physiology, signal transduction, organogenesis, developmental genetics, pattern formation in plants and animals
- LS4 Physiology, Pathophysiology and Endocrinology:** organ physiology, pathophysiology, endocrinology, metabolism, ageing, regeneration, tumorigenesis, cardiovascular disease, metabolic syndrome
- LS5 Neurosciences and neural disorders:** neurobiology, neuroanatomy, neurophysiology, neurochemistry, neuropharmacology, neuroimaging, systems neuroscience, neurological disorders, psychiatry
- LS6 Immunity and infection:** immunobiology, aetiology of immune disorders, microbiology, virology, parasitology, global and other infectious diseases, population dynamics of infectious diseases, veterinary medicine
- LS7 Diagnostic tools, therapies and public health:** aetiology, diagnosis and treatment of disease, public health, epidemiology, pharmacology, clinical medicine, regenerative medicine, medical ethics
- LS8 Evolutionary, population and environmental biology:** evolution, ecology, animal behaviour, population biology, biodiversity, biogeography, marine biology, ecotoxicology, prokaryotic biology
- LS9 Applied life sciences and biotechnology:** agricultural, animal, fishery, forestry and food sciences; biotechnology, chemical biology, genetic engineering, synthetic biology, industrial biosciences; environmental biotechnology and remediation;

Annex 2 Starting Independent Researcher Grants Call Information

Call Title: Call for proposals for *ERC Starting Independent Researcher Grant*

Call identifier: ERC-2009-StG

Date of publication⁵¹: 24 July 2008

Electronic proposal submission deadlines⁵² (single submission of full proposal):⁵³

Panels: PE1 - PE10 (Physical Sciences & Engineering), 29 October 2008, 17.00.00 (Brussels local time)

Panels: SH1 – SH6 (Social Sciences & Humanities), 19 November 2008, 17.00.00 (Brussels local time)

Panels: LS1 – LS9 (Life Sciences), 10 December 2008, 17.00.00 (Brussels local time)

Indicative budget: EUR 295 762 000 from 2009 budget⁵⁴

N.B.: The ERC Scientific Council has established the following indicative percentage budgets for each of the 3 main research domains:

Physical Sciences & Engineering: 39%

Life Sciences: 34%

Social Sciences & Humanities: 14%

and an Interdisciplinary⁵⁵ domain with an indicative budget of 13%.

The Community financial contribution shall be in the form of a grant to the budget corresponding to 100% of the total eligible and approved direct costs and a contribution of 20% of the total eligible direct costs. Indicative budgets may permit a variation of the budget for each domain by a maximum of 10% of the total budget for the call; however the budget proportions allocated to projects in the three main research domains will be no lower than the percentages indicated. In addition, the final budget awarded per ERC call, following the evaluation of projects, may vary by up to 10% of the total value of the call if additional appropriations become available.

Activity: European Research Council Starting Grant

⁵¹ The Director-General responsible for the call may publish it up to one month prior to or after the envisaged date of publication

⁵² At the time of the publication of the call, the Director-General responsible may delay this deadline by up to two months

⁵³ please consult Annex 1 of the Ideas Work Programme for the panel description

⁵⁴ Under the condition that the preliminary draft budget for 2009 is adopted without modifications by the budgetary authority

⁵⁵ Including cross-panel and/or cross-domain research projects and research with the potential to open new fields

Minimum number of participants: At least 1 independent legal entity established in one of the Member States, or one of the Associated countries (in the case of the participation of more than one legal entity the participants are not obliged to establish a consortium agreement)

Restrictions on participation: see eligibility criteria in the work programme

Grant Portability: applicants should be aware of the portability features of ERC grants as described in the ERC model grant agreement (http://cordis.europa.eu/fp7/calls-grant-agreement_en.html)

Eligibility criteria:

Incomplete proposals (missing parts and/or the PhD-related support documents and/or the host institution's commitment statement) are considered ineligible and will not be evaluated⁵⁶. The proposal must be submitted to the appropriate primary ERC panel (i.e. the panel which covers the main scientific areas of the research proposed) before the respective deadline.

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.

Eligible Scientific Fields

Applications may be made in any field of research⁵⁷, other than those specifically excluded from the 7th framework programme.

Funding of human embryonic stem cell research will be possible within the ethical framework defined in the EC 7th Framework Programme⁵⁸ as well as the Ideas Specific Programme.

Eligible Principal Investigator (see also section 3.7 of the Work programme for other possible restrictions)

The ERC actions are open to researchers of any nationality who would like to establish their research activity in any Member State as well as any Associated Country.

The Principal Investigator can be of any age and nationality and he/she can reside in any country in the world at the time of the application

The ERC Starting Grant Principal Investigator must have been awarded⁵⁹ his/her first PhD (or equivalent doctoral degree⁶⁰) at least 3 and less than 8 years prior to the publication date of the call for proposals of the ERC Starting Grants.

⁵⁶ See also 'eligibility check' in ERC rules for the submission of proposals and the related evaluation, selection and award procedures relevant to the Ideas Specific Programme

⁵⁷ Research proposals within the scope of Annex I of the Euratom Treaty, namely those directed towards nuclear energy applications should be submitted to relevant calls under the Euratom 7th Framework Programme

⁵⁸ In accordance with Commission statement, OJ L 412 of 30.12.2006, p. 42, proposals which will include research activities which destroy human embryos, including for the procurement of stem cells, will not be submitted to the Regulatory Committee. The exclusion of funding of this step of research will not prevent funding of subsequent steps involving human embryonic stem cells.

⁵⁹ The reference date towards the calculation of the eligibility period should be the date of the actual award according to the national rules in the country that the degree was awarded.

Extensions of this period may be allowed only in case of eligible career breaks which must be properly documented: maternity (1 year per child born after the PhD award) & paternity leave (accumulation of actual time off after the PhD award) and leave taken for long-term illness, national service. Leave taken for unavoidable statutory reasons (e.g. clinical qualifications) may also count as an extension.

The cumulative eligibility period should not in any case surpass 11 years following the award of the first PhD. No allowance will be made for part-time working (2 years of half-time working count as 2 full-time years).

As was already announced in the Work Programme 2007, applicants who were unsuccessful in their ERC-2007-StG call application and who are still eligible can exceptionally apply in the ERC-2009-StG call.

Eligible Host Institution (Applicant Legal Entity)

The contribution of Principal Investigators must be substantially carried out in the EU or Associated countries. This does not exclude field work or other research activities in cases where these must necessarily be conducted outside the EU or the Associated countries in order to achieve the scientific objectives of the project/activity.

The host institution will host and engage⁶¹ the Principal Investigator for at least the duration of the grant. It must be situated in one of the Member States, or one of the Associated countries. It may also be an International European Interest Organisation (such as CERN, EMBL, etc.) or the European Commission's Joint Research Centre. Normally, the applicant legal entity will be the only participating legal entity. Other legal entities, including those located in third countries, may however be involved and receive funding to support the work of additional team members, if so specified in the grant award or subsequent amendments to the original grant.

Evaluation procedure (see also section 3.6 of the work programme):

- The evaluation will take place **in two steps** following the **single submission of a full proposal**.
- The evaluation is carried out through evaluation panels that may be assisted by referees.
- The allocation of the proposals to the various panels will be based on the expressed preference of the applicant. In case of interdisciplinary proposals the panel may request additional reviews by appropriate members of other panel(s) or additional referees who act as reserve evaluators.
- Proposals may be evaluated remotely.
- **Step 1:** Following the submission of the proposal, Section 1 of the proposal (see section 3.5) will be assessed and marked.
- If necessary, and in order to assure the quality of the evaluation in the case of heavy over-subscription to the call, the evaluation panels may identify the less competitive applications which do not reach the minimum quality threshold(s) by assessing the proposals on the basis of the **track-record** (requested summary), the summary of the **Scientific Leadership Potential** and the project's **Extended Synopsis**.
- With the agreement of the individual reviewers to whom the proposals have been allocated, these proposals will not be further evaluated, allowing the panel focus on thorough evaluation of the retained proposals.

⁶⁰ See Scientific Council's strategic note 'PhD and Equivalent Doctoral Degrees: The ERC Policy' on ERC web site (<http://erc.europa.eu/index.cfm?fuseaction=page.display&topicID=24>), including specific provisions for holders of medical degrees.

⁶¹ See also footnote 3

- At the end of this evaluation of step 1, the panel will rank the proposals according to their marks. An indicative budget will be allocated to each panel, in proportion to the budgetary demand of its assigned proposals. This indicative budget is calculated as the cumulative grant request of all proposals to the panel divided by the cumulative grant request of all proposals to the domain of the call, multiplied by the total indicative budget of the domain.
- Each panel will determine its budgetary cut-off level as a multiple of its indicative budget. The budgetary cut-off level should be approximately 2 times the panel's indicative budget. Proposals with a mark passing the quality threshold and which lie above the budgetary cut-off level will be retained and pass to step 2 of evaluation (all proposals with identical marks at the cut off level will pass through to the second step of evaluation). Those proposals failing to reach the quality threshold on any of the evaluation criteria or ranked below the budgetary cut-off described above will be rejected.
- The complete version of the retained proposals will be assessed and ranked by the panels during **step 2** of the evaluation. Interdisciplinary proposals within a domain or across domains will be flagged as such, and the panel may request additional reviews by appropriate members of other panel(s) or additional referees who act as reserve evaluators.
- Principal Investigators whose proposals will be retained for the second step of the evaluation may be invited for an interview to present their project to the evaluation panel meeting in Brussels. They will be accordingly reimbursed for their travel and subsistence expenses⁶².
- Following the conclusion of the panel evaluations the following additional steps will be taken with the participation of the evaluation peer review evaluation panel chairs:

Step 2a: Acting in concert, the peer review evaluation panel chairs of each research domain or their deputies, representing their panels, will prepare a consolidated ranked list for the domain's proposals which are above the quality threshold and can be funded in order of priority from the respective domain budgets⁶³.

Step 2b: Acting in concert across the 3 main research domains, taking account of the forward looking and innovative nature of the programme, all the peer review evaluation panel chairs or their deputies will bring forth and specifically discuss, from an interdisciplinary perspective, the scientific added value of proposals above the quality threshold which are of interdisciplinary nature. In order to establish the ranked list of the *Interdisciplinary Research* domain, all peer review evaluation panel chairs will further assess these proposals on the basis of the second evaluation criterion (Research project).

Any funds still available in any of the 4 domains, after exhausting the list of proposals over the quality threshold, will be distributed to the other 3 domains according to the initial call budget breakdown.

Finally, a number of proposals (over the quality threshold) in the 4 domain lists may also be kept in reserve to allow for eventualities such as the failure of the granting procedure to projects, the withdrawal of proposals, budget savings agreed during the granting procedure, or the availability of additional budget from other sources.

⁶² In duly justified and exceptional cases, and with the consent of the Scientific Council, the Commission/ERC DIS may agree, subject to technical feasibility, on other ways of interviewing successful Principal Investigators such as video link, teleconference or similar means, and on the reimbursement of their possible related travel and subsistence expenses. Relevant provisions for the reimbursement of expenses incurred in relation to Principal Investigators' interviews are included in the ERC Rules for submission of proposals and the related evaluation, selection and award procedures for indirect actions under the Ideas Specific Programme of the 7th Framework Programme.

⁶³ In accordance with the ERC rules for the Submission of Proposals and the related evaluation, selection and award procedures relevant to the Ideas Specific Programme

Additional funds will also be distributed according to the initial call budget breakdown.

Evaluation criteria: See the work programme for the applicable criteria

Information on the modalities of the call and guidance to applicants on how to submit projects is available on:

<http://erc.europa.eu>, http://cordis.europa.eu/fp7/ideas/home_en.html

Annex 3 Advanced Investigator Grant Call Information

Call Title: Call for proposals for *ERC Advanced Investigators Grant*

Call identifier: ERC-2009-AdG

Date of publication⁶⁴: 19 November 2008

Electronic proposal submission deadlines⁶⁵ (single submission of full proposal):⁶⁶

Panels: PE1 - PE10 (Physical Sciences & Engineering), 25 March 2009, 17.00.00 (Brussels local time)

Panels: SH1 – SH6 (Social Sciences & Humanities), 15 April 2009, 17.00.00 (Brussels local time)

Panels: LS1 – LS9 (Life Sciences), 6 May 2009, 17.00.00 (Brussels local time)

Indicative budget: EUR 489 538 000 from 2009 budget⁶⁷

N.B.: The ERC Scientific Council has established the following indicative percentage budgets for each of the 3 main research domains:

Physical Sciences & Engineering: 39%

Life Sciences: 34%

Social Sciences & Humanities: 14%

and an Interdisciplinary⁶⁸ domain with an indicative budget of 13%.

The Community financial contribution shall be in the form of a grant to the budget corresponding to 100% of the total eligible and approved direct costs and a contribution of 20% of the total eligible direct costs. Indicative budgets may permit a variation of the budget for each domain by a maximum of 10% of the total budget for the call; however the budget proportions allocated to projects in the three main research domains will be no lower than the percentages indicated. In addition, the final budget awarded per ERC call, following the evaluation of projects, may vary by up to 10% of the total value of the call if additional appropriations become available.

Activity: European Research Council Advanced Grant

Minimum number of participants: At least 1 independent legal entity established in one of the Member States, or one of the Associated countries (in the case of the participation of more than one legal entity the participants are not obliged to establish a consortium agreement)

⁶⁴ The Director-General responsible for the call may publish it up to one month prior to or after the envisaged date of publication

⁶⁵ At the time of the publication of the call, the Director-General responsible may delay this deadline by up to two months

⁶⁶ please consult Annex 1 of the Ideas Work Programme for the panel description

⁶⁷ Under the condition that the preliminary draft budget for 2009 is adopted without modifications by the budgetary authority

⁶⁸ Including cross-panel and/or cross-domain research projects and research with the potential to open new fields

Restrictions on participation: see eligibility criteria in the work programme

Grant Portability: applicants should be aware of the portability features of ERC grants as described in the ERC model grant agreement (http://cordis.europa.eu/fp7/calls-grant-agreement_en.html)

Eligibility criteria:

Incomplete proposals (missing parts and/or the host institution's commitment statement) are considered ineligible and will not be evaluated⁶⁹. The proposal must be submitted to the appropriate primary ERC panel (i.e. the panel which covers the main scientific areas of the research proposed) before the respective deadline.

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.

Eligible Scientific Fields

Applications may be made in any field of research⁷⁰, other than those specifically excluded from the 7th framework programme.

Funding of human embryonic stem cell research will be possible within the ethical framework defined in the EC 7th Framework Programme⁷¹ as well as the Ideas Specific Programme.

Eligible Principal Investigator (see also section 4.7 of the Work programme for other possible restrictions)

The ERC actions are open to researchers of any nationality who would like to establish their research activity up in any Member State as well as any Associated country.

The Principal Investigator can be of any age and nationality and he/she can reside in any country in the world at the time of the application.

Eligible Host Institution (Applicant Legal Entity)

The contribution of Principal Investigators and Co-Investigators must be substantially carried out in the EU or Associated countries. This does not exclude field work or other research activities in cases where these must necessarily be conducted outside the EU or the Associated countries in order to achieve the scientific objectives of the project/activity.

The host institution will host and engage⁷² the Principal Investigator for at least the duration of the grant. It must be situated in one of the Member States, or one of the associated countries. It may also

⁶⁹ See also 'eligibility check' in ERC rules for the submission of proposals and the related evaluation, selection and award procedures relevant to the Ideas Specific Programme

⁷⁰ Research proposals within the scope of Annex I of the Euratom Treaty, namely those directed towards nuclear energy applications should be submitted to relevant calls under the Euratom 7th Framework Programme

⁷¹ In accordance with Commission statement, OJ L 412 of 30.12.2006, p. 42, proposals which will include research activities which destroy human embryos, including for the procurement of stem cells, will not be submitted to the Regulatory Committee. The exclusion of funding of this step of research will not prevent funding of subsequent steps involving human embryonic stem cells.

⁷² See also footnote 3

be an International European Interest Organisation (such as CERN, EMBL, etc.) or the European Commission's Joint Research Centre. Normally, the applicant legal entity will be the only participating legal entity. Other legal entities, including those located in third countries, may however be involved and receive funding to support the work of additional team members, if so specified in the grant award or subsequent amendments to the original grant.

Evaluation procedure (see also section 4.6 of the work programme):

- The evaluation will take place **in two steps** following the **single submission of a full proposal**.
- The evaluation is carried out through evaluation panels that may be assisted by referees.
- The allocation of the proposals to the various panels will be based on the expressed preference of the applicant. In case of interdisciplinary proposals the panel may request additional reviews by appropriate members of other panel(s) or additional referees who act as reserve evaluators.
- **Step 1:** Following the submission of the proposal, Section 1 of the proposal (see section 4.5) will be assessed and marked.
- Proposals may be evaluated remotely.
- If necessary, and in order to assure the quality of the evaluation in the case of heavy over-subscription to the call, the evaluation panels may identify the less competitive applications which do not reach the minimum quality threshold(s) by assessing the proposals on the basis of the **10-year track-record of the Principal Investigator** (requested summary), the summary of the **Scientific Leadership Profile** and the project's **Extended Synopsis**.
- With the agreement of the individual reviewers to whom the proposals have been allocated, these proposals will not be further evaluated, allowing the panel focus on thorough evaluation of the retained proposals.
- At the end of this evaluation of step 1, the panel will rank the proposals according to their marks. An indicative budget will be allocated to each panel, in proportion to the budgetary demand of its assigned proposals. This indicative budget is calculated as the cumulative grant request of all proposals to the panel divided by the cumulative grant request of all proposals to the domain of the call, multiplied by the total indicative budget of the domain.
- Each panel will determine its budgetary cut-off level as a multiple of its indicative budget. The budgetary cut-off level should be approximately 3 times the panel's indicative budget. Proposals with a mark passing the quality threshold and which lie above the budgetary cut-off level will be retained and pass to step 2 of evaluation (all proposals with identical marks at the cut off level will pass through to the second step of evaluation). Those proposals failing to reach the quality threshold on any of the evaluation criteria or ranked below the budgetary cut-off described above will be rejected.
- The complete version of the retained proposals will be assessed and ranked by the panels during **step 2** of the evaluation. Interdisciplinary proposals within a domain or across domains will be flagged as such, and the panel may request additional reviews by appropriate members of other panel(s) or additional referees who act as reserve evaluators.
- Following the conclusion of the panel evaluations the following additional steps will be taken with the participation of the evaluation peer review evaluation panel chairs:
 - **Step 2a:** Acting in concert, the peer review evaluation panel chairs of each research domain or their deputies, representing their panels, will prepare a consolidated ranked list for the domain's proposals which are above the quality threshold and can be funded in order of priority from the respective domain budgets⁷³.

Step 2b: Acting in concert across the 3 main research domains, taking account of the forward looking and innovative nature of the programme, all the peer review evaluation panel chairs or their deputies will bring forth and specifically discuss, from an interdisciplinary perspective, the scientific added value of proposals above

⁷³ In accordance with the ERC rules for the Submission of Proposals and the related evaluation, selection and award procedures relevant to the Ideas Specific Programme

the quality threshold which are of interdisciplinary nature. In order to establish the ranked list of the *Interdisciplinary Research* domain, all peer review evaluation panel chairs will further assess these proposals on the basis of the second evaluation criterion (Research project).

Any funds still available in any of the 4 domains, after exhausting the list of proposals over the quality threshold, will be distributed to the other 3 domains according to the initial call budget breakdown.

Finally, a number of proposals (over the quality threshold) in the 4 domain lists may also be kept in reserve to allow for eventualities such as the failure of the granting procedure to projects, the withdrawal of proposals, budget savings agreed during the granting procedure, or the availability of additional budget from other sources. Additional funds will also be distributed according to the initial call budget breakdown.

Evaluation criteria: See the work programme for the applicable criteria

Information on the modalities of the call and guidance to applicants on how to submit projects is available on:

<http://erc.europa.eu>, http://cordis.europa.eu/fp7/ideas/home_en.html

Annex 4 CSA Call Information

Call Title: Call for proposals for *ERC CSA (Supporting action)*

Call identifier: ERC-2009-Support

Date of publication⁷⁴: 24 July 2008

Call deadline⁷⁵: 12 November 2008, at 17.00.00 (Brussels local time)

Indicative budget: EUR 2 500 000⁷⁶ from 2009 budget

The upper limit for the Community financial contribution is 100%. The final budget awarded per ERC call, following the evaluation of projects, may vary by up to 10% of the total value of the call if additional appropriations become available.

Activity: European Research Council Co-ordination and Support Actions

Topics: Applications must address topics specified in the work programme (section 5.1.2)

Minimum number of participants: At least 1 independent legal entity established in one of the Member States, or one of the Associated countries (in the case of the participation of more than one legal entity the participants are not obliged to establish a consortium agreement)

Eligibility criteria

Proposals for co-ordination and support actions must be focused on requirements specified in the work programme and/or call for proposals.

Co-ordination and support actions (Support) are open to legal entities situated in Member States, or Associated countries. Applications from International European Interest Organisations (such as CERN, EMBL, etc.) or the European Commission's Joint Research Centre, and legal entities established in third countries are also eligible. Legal entities established in third countries can receive funding if their participation is essential for carrying out the action.

The minimum participation is 1 independent legal entity (CSA-Support).

Evaluation procedure:

- The evaluation is carried out through evaluation panels.
- Proposals may be evaluated remotely.

Evaluation criteria: See the work programme for the applicable criteria

Information on the modalities of the call and guidance to applicants on how to submit projects is available on:

<http://erc.europa.eu> http://cordis.europa.eu/fp7/ideas/home_en.html

⁷⁴ The Director-General responsible for the call may publish it up to one month prior to or after the envisaged date of publication

⁷⁵ At the time of the publication of the call, the Director-General responsible may delay this deadline by up to two months

⁷⁶ Under the condition that the preliminary draft budget for 2008 is adopted without modifications by the budgetary authority