



European Research Council

# **ERC Grant Schemes**

## **Guide for Applicants for the Advanced Grant 2012 Call**

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The Guide is published by the ERC Scientific Council on  
<http://erc.europa.eu>

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



**EUROPEAN COMMISSION**  
FP7 Specific Programme  
IDEAS



## **IMPORTANT NOTICE**

Following the experience with previous calls, some adjustments and improvements have been introduced to this guide. Notably, changes have been introduced with regard to, I) the application forms on the Electronic Proposal Submission Service (EPSS), II) restrictions on applications and evaluation criteria, III) evaluation criteria and outcome of evaluation, IV) the information to be provided on Security sensitive issues for any proposal and for proposals involving Security issues (see Annex 4).

As these adjustments have an impact on the proposal preparation and submission with EPSS, applicants are requested to consult the EPSS website and the Research & Innovation Participant Portal call page (<http://ec.europa.eu/research/participants/portal/>) for any further information.

Other changes have been introduced to increase the comprehensibility and readability of the guide.

## **Purpose of the Guide**

This guide provides practical information to potential applicants in preparing and submitting an application for an ERC Advanced Grant. In addition, it provides a general overview on the ERC peer review evaluation process and presents the main features of the ERC grant agreement and the management of ERC grants.

The present guide is based on the legal documents setting the rules and conditions for the ERC grant schemes, in particular the ERC Work Programme, the ERC Rules for the submission of proposals and the related evaluation, selection and award procedures relevant to the Ideas Specific Programme, and the ERC Model Grant Agreement. This guide does not supersede the afore-mentioned documents, which are legally binding. The European Commission, the ERC Executive Agency or any person or body acting on their behalf cannot be held responsible for the use made of the guide.

The ERC Guide for Applicants for the Advanced Grant call is divided into three parts:

- 1: Applying for an ERC Advanced Grant
- 2: Managing ERC grants
- 3: Annexes

The Guide for Applicants may be further modified based on the experiences gained from preceding calls for proposals, on changes applied to the grant schemes and the submission processes. Updated versions of the Guide for Applicants may be published with the publication of the future calls for proposals.

For detailed information on the ERC peer review evaluation process, the ERC grant agreement and the management of ERC grants, the following documents are available on the ERC website at <http://erc.europa.eu/document-library>:

- Guide for ERC Peer Reviewers: This guide provides practical information to peer reviewers as well as detailed information on the peer review evaluation and project selection process.
- ERC Model Grant Agreement: The grant agreement, which will be concluded between the ERC and the Principal Investigator's Host Institution. A template for the 'Supplementary Agreement' between the Principal Investigator and the Host Institution is available on the ERC website as well.
- Guide for ERC Grant Holders: This guide provides practical information to ERC grant holders, whether individual researchers or Host Institutions, on the administration and management of ERC grants, including monitoring and claiming of project costs, the scientific and financial reporting procedure, and the process for making changes to the project. It includes information to applicants that have been offered an ERC grant on the process to prepare the grant agreement and the associated terms and conditions. It is divided into two parts: part 1 is relevant for both the Principal Investigator and his/her Host Institution, whereas part 2 is relevant mainly for the Host Institution's administration.

**Note:** As with other parts of the EU's Seventh Research Framework Programme, National Contact Points (ERC NCPs) have been set up across Europe<sup>1</sup> by the national governments to provide information and personalised support to ERC applicants in their native language. The mission of the ERC NCPs is to raise awareness, inform and advise on ERC funding opportunities as well as to support potential applicants in the preparation, submission and follow-up of ERC grant applications. For details on the ERC NCP in your country please consult the ERC website at <http://erc.europa.eu/national-contact-points>.

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<sup>1</sup> This applies to EU Member States and Associated Countries. Some third countries also provide this service.

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## **The European Research Council**

The European Research Council (ERC) is a European funding initiative, designed to support the best scientists, engineers and scholars in Europe.

The ERC's mandate is to encourage the highest quality research in Europe through competitive funding and to support investigator-initiated frontier research across all fields of research, on the basis of scientific excellence.

Three types of ERC grants are currently available to support researchers in carrying out frontier research projects: ERC Starting Independent Researcher Grant (ERC Starting Grant), ERC Advanced Investigator Grant (ERC Advanced Grant) and ERC Synergy Grant. In addition, ERC grant holders can now apply for additional funding through a Coordination and Support Action ("Proof of Concept") to establish the innovation potential of ideas arising from their ERC-funded frontier research projects.

Grants are awarded and managed according to simple procedures that maintain the focus on excellence, encourage creativity and combine flexibility with accountability.

The ERC, which is established by the European Commission and funded through the EU's Seventh Research Framework Programme with a budget of EUR 7.51 bn for 7 years (FP7, 2007-2013), complements other funding schemes in Europe, such as those of research funding agencies operating at the national level and those within the EU's Seventh Research Framework Programme.

The ERC consists of a Scientific Council and an Executive Agency. It operates under conditions of autonomy and integrity, guaranteed by the European Commission, to which it is accountable.

### **The role of the ERC Scientific Council**

The Scientific Council establishes the overall scientific strategy of the ERC, including the annual Work Programme where the calls for proposals and the corresponding funding rules and selection criteria are defined.

The Scientific Council establishes and oversees the ERC's scientific management and the implementation of the Work Programme, including the peer review and project selection processes and the selection of peer reviewers.

### **The ERC Executive Agency (ERCEA)**

The ERC Executive Agency implements the FP7 Specific Programme 'Ideas' and manages ERC operations. It executes the annual Work Programme as established by the Scientific Council, implements calls for proposals and organises peer review evaluation in accordance with methodologies designed by the Scientific Council, and establishes and manages grant agreements. Additionally, it provides information and support to applicants and grant holders.

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

## 1.1 About the ERC Advanced Grant funding scheme

ERC Advanced Grants are intended to support the very best research to be conducted in EU Member States<sup>2</sup> and Associated Countries<sup>3</sup>. Being highly competitive and awarded on the sole criterion of excellence, without restriction to particular areas of research<sup>4</sup>, the grants are aimed to promote substantial advances at 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.

This funding scheme targets researchers who have already established themselves as being independent research leaders in their own right and who would like to pursue frontier research of their choice.

The aim is to fund individual teams led by established, innovative and active advanced investigators - called Principal Investigators (PI) in the funding scheme - regardless of nationality, age or current location.

The maximum grant amount will be EUR 2 500 000 for a maximum period of 5 years. However, in exceptional cases described in point 1.1.4 of this guide an additional sum of up to EUR 1 000 000 funding can be made available.

### **Box 1: Guiding principles of the ERC Advanced Grant**

- Scientific excellence is the sole selection criterion
- Projects in all fields of research are eligible for funding
- Individual research teams led by a single PI are supported
- Significant funding is provided to attract exceptional research leaders
- Grants are awarded to the host institution that engages the PI
- The host institution guarantees the PI's independence and provides the research environment to carry out the project and manage its funding

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<sup>2</sup> The EU Member States are: Austria, Belgium, Bulgaria, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, the Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, and United Kingdom.

<sup>3</sup> The Associated Countries are: Albania, Bosnia and Herzegovina, Croatia, the Faroe Islands, FYR Macedonia, Iceland, Israel, Liechtenstein, Montenegro, Norway, Republic of Moldova, Serbia, Switzerland and Turkey. Other countries may become associated during the course of FP7. The latest news will be posted on the [CORDIS web site](http://cordis.europa.eu).

<sup>4</sup> Research proposals within the scope of Annex I of the EURATOM Treaty directed toward nuclear energy applications should be submitted to relevant calls under the Seventh EURATOM Research Framework Programme (this annex is available at: [http://eur-lex.europa.eu/en/treaties/dat/12006A/12006A\\_AN1.htm](http://eur-lex.europa.eu/en/treaties/dat/12006A/12006A_AN1.htm)).



### 1.1.1 Who can apply for an ERC Advanced Grant?

#### **Box 2: ERC Advanced Grant - Eligible Principal Investigators (PI)**

- Principal Investigators applying for an ERC Advanced Grant should be established research leaders who have made original and significant contributions to research. No specific eligibility criteria with respect to their academic requirements are foreseen.
- 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 can be of any age and nationality and he/she can reside in any country in the world at the time of the application.

#### 1.1.1.1 Restrictions on applications

As established in the 2012 "Ideas" Work Programme<sup>5</sup> there are restrictions on submission of proposals. The relevant provisions applicable to Advanced Grants 2012 are:

- A Principal Investigator or Co-Investigator<sup>6</sup> may hold only one grant from the ERC at any one time;
- A Principal Investigator may submit only one proposal to the ERC per calendar year ;
- A Principal Investigator who holds an ERC grant cannot submit a proposal for the ERC Synergy Grant unless that grant expires before 15 November 2013;
- A Principal Investigator who has submitted an eligible proposal to a 2011 ERC call may not apply to a 2012 ERC call for the same type of grant, unless his/her proposal was evaluated above the quality threshold at the end of step 1 ;
- A Principal Investigator who is a serving Panel Member for a 2012 ERC call or who served as a Panel Member for a 2010 ERC call may not apply to a 2012 ERC call for the same type of grant.

For more information on the subject, please see 2012 "Ideas" Work Programme - section 3.2 for the current restrictions on application rules.

**IMPORTANT NOTICE:** These rules must be taken very seriously into account by the potential applicants. Proposals which do not comply with these rules during the submission of a proposal will be brought to the attention of the ERC eligibility review committee which will assess and decide on the eligibility of the proposal.

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<sup>5</sup> The title in full: The IDEAS Work Programme, European Research Council Work Programme 2012

<sup>6</sup> Co-Investigator projects were supported under the Ideas Work Programmes from 2008 – 2011.

## 1.1.2 Who could be a competitive candidate for the ERC Advanced Grant?

### 1.1.2.1 The Principal Investigator (PI)

ERC grants support projects which are carried out by individual **research teams<sup>7</sup>** **headed by a single Principal Investigator (PI)** of any nationality and, if necessary, include additional team members. These teams may be of national or trans-national character. With the focus on the PI, the concept of individual team is fundamentally different from that of a traditional 'network' or 'research consortium'; **proposals of the latter type should not be submitted to the ERC.**

The PI does not necessarily need to be employed by the Host Institution at the time when the proposal is submitted. If not already employed by the Host Institution, the PI must be engaged by the latter at least for the duration of the grant.

ERC-funded PIs must be strongly committed to the project and devote a significant amount of time to it. In the case of the Advanced Grant **PIs should devote at least 30% of their working time to the ERC-funded project while spending at least 50% of their total working time in Europe** (EU Member State or Associated Country).<sup>8</sup>

With the support of the Host Institution, successful PIs will be expected to lead their individual teams and be fully engaged in the running of the ERC grant.

Applicants for the 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, PIs 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 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.

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<sup>7</sup> In certain fields (e.g. in the humanities and mathematics), research is often performed individually, aside from guiding research students. The term 'team' is therefore used in the broadest sense. It includes cases where an individual works independently.

<sup>8</sup> A specification about the PI's commitment should be provided in Part B section 1 and 2.

- 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.

Applicants are encouraged to evaluate their track-record and leadership profile against the above benchmarks that have been adopted by the Scientific Council, in order to decide for themselves their likelihood for success, to avoid investing effort in proposals that are very unlikely to succeed.

#### 1.1.2.2 Individual Team, Team Members

The composition of the individual research team is flexible. Commonly, it involves other researchers - such as senior researchers, post docs, graduate students and PhD researchers - from the PI's research group or from the same institution as '**team members**'. However, depending on the nature of a project the research team may also involve team members from other research institutions situated in the same or a different country. Therefore, research teams can be of national or trans-national character. Team members can be of any age, nationality and country of residence. Team members operate under the leadership of the PI.

Although mono-beneficiary proposals are preferred, team members may be hosted by other institutions that can be located in any country, including third countries<sup>9</sup>. Their participation (and possible funding to support the work of the respective team members) is subject to appraisal by the ERC peer review evaluation panels, which assess whether their involvement is properly justified and essential in terms of scientific competence and capacities.

### **1.1.3 What kind of research can be funded?**

ERC grants aim to support 'Frontier Research', in other words the pursuit of questions at or beyond the frontiers of knowledge, without regard to established disciplinary boundaries. Applications may be made in **any field of research** covered by the Treaty on the Functioning of the European Union including physical sciences and engineering, life sciences, and social sciences and humanities. Please note that research proposals within the scope of Annex I to the Euratom Treaty, namely those directed towards nuclear energy applications should be submitted to relevant calls under the Euratom 7th Framework Programme<sup>10</sup>.

In particular, proposals of a multi- or interdisciplinary nature which cross the boundaries between different fields of research, pioneering proposals addressing new and emerging fields of research or proposals introducing unconventional, innovative approaches and scientific inventions are encouraged, as long as the expected impact on science, scholarship or engineering is significant.

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

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<sup>9</sup> Third countries are neither EU Member States nor Associated Countries.

<sup>10</sup> Research proposals within the scope of Annex I of the EURATOM Treaty directed toward nuclear energy applications should be submitted to relevant calls under the Seventh EURATOM Research Framework Programme (this annex is available at: [http://eur-lex.europa.eu/en/treaties/dat/12006A/12006A\\_AN1.htm](http://eur-lex.europa.eu/en/treaties/dat/12006A/12006A_AN1.htm)).

will be very significant, but there is a higher-than-normal risk that the research project does not entirely fulfil its aims.

Some frontier research activities and methodologies may have ethical implications or may raise questions which will require sound ethical assessment in order to ensure that research supported by an ERC grant respects the fundamental ethical principles (see Box 3 and Annex 2 to this Guide).

### **Box 3: Dealing with ethical issues**

Fundamental ethical principles must be respected, including those reflected in the Charter\* of Fundamental Rights of the European Union. These principles include the need to ensure the freedom of research and the need to protect the physical and moral integrity of individuals and the welfare of animals. The opinions of the European Group on Ethics in Science and New Technologies (EGE)\*\* are and will be taken into account. Furthermore, due account should be taken of the Protocol\*\*\* on the Protection and Welfare of Animals, to reduce the use of animals in research and testing (with a view to ultimately replacing animal use), to involve animals with the lowest degree of neuropsychological sensitivity, and to cause the least pain, suffering, distress or lasting harm.

Applicants should indicate whether the proposed research raises sensitive ethical questions such as research involving human beings, human biological samples, personal data, genetic information or animals\*\*\*\*.

According to Article 6 of the FP7 Decision and Article 3 of the Specific Programme Ideas, the following activities cannot be funded:

- research activities aiming at human cloning for reproductive purposes;
- research activities intended to modify the genetic heritage of human beings which could make such changes heritable;
- research activities intended to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.

As regards human embryonic stem cell research, the ERC is bound by the European Commission's commitment to follow the practice of the EU's Sixth Research Framework Programme (see OJ L 412 of 30.12.2006, p. 42) and exclude from financial support any research activities destroying human embryos, including for the procurement of stem cells. The exclusion of funding of this step of research will not prevent ERC funding of subsequent steps involving human embryonic stem cells.

Applicants must ensure that the research proposed respects all national rules and procedures of the relevant country where the proposed research is conducted. Where necessary, approval must be sought from the relevant national or local ethics committee prior to the start of the project.

\* see [http://www.europarl.europa.eu/charter/default\\_en.htm](http://www.europarl.europa.eu/charter/default_en.htm)

\*\* see [http://ec.europa.eu/bepa/european-group-ethics/docs/publications/opinion\\_22\\_final\\_follow\\_up\\_en.pdf](http://ec.europa.eu/bepa/european-group-ethics/docs/publications/opinion_22_final_follow_up_en.pdf)

\*\*\* see [http://ec.europa.eu/food/animal/welfare/references\\_en.htm](http://ec.europa.eu/food/animal/welfare/references_en.htm)

\*\*\*\* a dedicated website that aims to provide helpful information on ethical issues is available at: [http://cordis.europa.eu/fp7/ethics\\_en.html](http://cordis.europa.eu/fp7/ethics_en.html)

Additionally, as established in the *ERC Rules for submission- Annex D*<sup>11</sup>, ERC actions addressing security-sensitive subjects need to be identified and scrutinised according to the applicable legislation (see Box 4 and Annex 4).

#### **Box 4: Scrutiny of security sensitive ERC actions**

ERC grants addressing security-sensitive subjects must undergo a security scrutiny procedure. In order to ensure this, any successful ERC proposal will be scrutinised for security aspects prior to granting.

A security 'sensitive' proposal is a proposal for an action that may need to handle classified information. Proposals submitted to ERC calls must not contain any classified information. However, it is possible that the output of an action ('Foreground') needs to be classified, or that classified inputs ('Background') are required. In addition, a proposal may also be considered as sensitive if it is planned to exchange material which is subject to transfer or export licensing.

The first step of this scrutiny (security scrutiny clearance) will be carried out by ERCEA staff, who will identify all proposals that clearly have no associated security issues and which therefore should proceed with granting immediately.

The remaining proposals (i.e. those that clearly are or that may be security-sensitive) will be scrutinised, according to legislation, by a '**Security Scrutiny Committee**'. This committee consists of representatives of national security authorities, supported, if appropriate, by representatives of the relevant members of the Programme Committees. The scrutiny will be carried out by Committee members of the same country(ies) as that of the prospective grant beneficiaries (i.e. the host organisation and other organisations involved in the proposal).

The outcome of the scrutiny process results in a recommendation of the committee:

- That no EU classification is needed;
- That an EU classification at some level is needed (references);
- That the proposal is too sensitive to be financed.

During the subsequent granting process, ERCEA will put in place the recommendations of the committee.

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<sup>11</sup> See [http://ftp.cordis.europa.eu/pub/fp7/docs/erc-evrules\\_en.pdf](http://ftp.cordis.europa.eu/pub/fp7/docs/erc-evrules_en.pdf)

### 1.1.4 What is the level of funding of the ERC Advanced Grants?

As indicated in the 2012 "Ideas" Work Programme– section 5.3, the maximum grant will be EUR 2 500 000 for a period of 5 years (pro rata for projects of shorter duration). However, an additional amount of up to EUR 1 000 000 can be made available to cover (a) eligible "start-up" costs for Principal Investigators moving from a third country to the EU or an Associated Country<sup>12</sup> as a consequence of receiving the ERC grant or (b) the purchase of major equipment.

The total requested grant should reflect a realistic estimation of the project needs and should not be unnecessarily inflated to reach the maximum grant level. The evaluation panels will review the requested grant and recommend the total amount to be granted on the basis of the needs of the project, using rounded figures. The panels may also suggest a modification to the indicative budgetary breakdown in the application but the PIs have the freedom to re-budget during the course of the project.

An ERC grant can cover up to 100% of the total eligible and approved direct costs of the research plus a flat-rate financing of indirect costs on the basis of 20% of the total eligible direct costs (excluding the direct eligible costs for subcontracting and the costs of resources made available by third parties which are not used on the premises of the Host Institution). The costs which can be covered by an ERC grant are described in Box 5. Please note that the above-mentioned limits include indirect costs. 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.

The resources requested should be reasonable and fully justified in the proposal (part B section 2). If additional funding (above the normal EUR 2 500 000 and up to an additional amount of EUR 1 000 000) is requested for covering the "start-up" costs for Principal Investigators moving from one third country to the EU or an Associated Country as a consequence of receiving the ERC grant and/or purchase of major equipment then this also needs to be justified in Part B Section 2c.

**Project costs covered by third parties** are allowed but **need to be declared**, and will be deducted from the total of eligible costs covered by the ERC grant. Nevertheless, ERC grants are expected to be significant and cover a major part of the project and its costs. Thus, ERC funding **aims neither at topping up the funding of running projects, nor providing a means for co-funding**. Applicants should specify any current research grants and their subject in the 'funding ID' included in part B1 section 1a.

The actual project costs claimed should be presented in line with the usual management practices and accounting rules of the Host Institution and the other additional beneficiary(ies).

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<sup>12</sup> However, it goes without saying that the additional funding can only be granted if the reason to move from a third country to the EU or an Associated Country is exclusively linked with the AdG. No preceding appointment by, or move to, the potential HI before the awarding of the grant can therefore give rise to such an additional financial assistance.

#### Box 5: Eligible and non-eligible direct and indirect costs

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

- Personnel Costs;
- Equipment Costs;
- Consumables;
- Travel and Subsistence Costs;
- Publication Costs (page charges and related fees for publication of results).

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

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

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

- Any identifiable indirect taxes, including VAT or duties;
- Interest owed;
- Provisions for possible future losses or charges;
- Exchange losses;
- Costs declared, incurred or reimbursed in respect of another EU funded project;
- Costs related to return on capital;
- Debt and debt service charges;
- Excessive or reckless expenditure.

More detailed information and documentation is provided in the Guide to Financial Issues relating to FP7 Indirect Actions:

<http://erc.europa.eu/sites/default/files/document/file/guide%20to%20financial%20issues.pdf>

### 1.1.5 Where can the Principal Investigator run an ERC-funded research activity?

The project must be carried out in the EU Member States<sup>2</sup> or the Associated Countries<sup>3</sup>. This does not exclude field work or other research activities in cases where these must necessarily be conducted outside the EU Member States or the Associated Countries in order to achieve the scientific objectives of the project or activity.

An ERC grant is awarded to the applicant's legal entity - the Host Institution - that engages and hosts the PI for at least the duration of the grant. **The Host Institution must provide a commitment letter offering appropriate conditions for the PI to direct independently the proposed research and manage its funding for the duration of the project** (see Annex 3 to this Guide). These conditions, including the '*portability*' of the project, are the subject of an agreement between the PI and the Host Institution (supplementary to the ERC Grant Agreement) and are described in the ERC Model Grant Agreement<sup>13</sup>. **The ERC Grant**

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<sup>13</sup> Available on the ERC website at <http://erc.europa.eu/document-library> and published in the Official Journal of the EU, C (2007)1625, 16.04.2007.

**Agreement itself will be concluded between the ERCEA and the Host Institution, the latter becoming thereby the beneficiary of the ERC grant.**

The Host Institution must be established under the law of one of the EU Member States, or one of the Associated Countries. It may also be an International European Interest Organisation<sup>14</sup> or the European Commission's Joint Research Centre.

It is also expected that the Host Institution will be the only participating legal entity. However, additional team members may be hosted by additional legal entities. In the case of team members, these additional legal entities which will be eligible for funding may be established anywhere, including outside the European Union or Associated Countries.

It is a condition for all ERC funding that the Host Institution commits to the following **conditions of independence**<sup>15</sup>, ensuring that the PI 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.**

The Host Institution can be any legal entity (public or private), which has the infrastructure and capacity to carry out a frontier research project, such as a university, a research organisation or a research-performing company. Research-performing companies can host a PI as long as the PI's independence is not constrained by the research strategy of the company.

#### **1.1.5.1 Registration of legal entities in the Commission's Early Warning System (EWS) and Central Exclusion Database (CED)**

To protect the EU's financial interests, the Commission uses an internal information tool, the Early Warning System (EWS) to flag identified risks related to beneficiaries of centrally managed contracts and grants. Through systematic registration of financial and other risks the EWS enables the Commission services to take the necessary precautionary measures to ensure a sound financial management<sup>16</sup>.

EWS registrations are not publicly disclosed. However, registrations will be transferred to the Central Exclusion Database (CED) if they relate to entities that have been excluded from EU funding because they are insolvent or have been convicted of a serious professional misconduct or criminal offence detrimental to EU financial interests. The data in CED are available to **all public authorities implementing EU funds**, i.e. European institutions,

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<sup>14</sup> Such as: CERN, EMBL, ESA, ESO, ESRF, ILL.

<sup>15</sup> Note that the conditions of independence provided to the PI and his/her team are consistent with 'The European Charter for Researchers and The Code of Conduct for the Recruitment of Researchers', C(2005)576, 11.03.2005.

<sup>16</sup> The EWS covers situations such as significantly overdue recovery orders, judicial proceedings pending for serious administrative errors/fraud, findings of serious administrative errors/fraud, legal situations which exclude the beneficiary from funding.



national agencies or authorities in Member States, and, subject to conditions for personal data protection, to third countries and international organisations.

The Work Programme informs you that the details of your organisation (or those of a person who has powers of representation, decision-making or control over it) may be registered in the EWS and the CED and be shared with public authorities as described in the relevant legal texts<sup>17</sup>.

More information on the EWS and CED can be found here:

[http://ec.europa.eu/budget/sound\\_fin\\_mgt/ews\\_en.htm](http://ec.europa.eu/budget/sound_fin_mgt/ews_en.htm)

## 1.2 Preparing and submitting an ERC Advanced Grant application<sup>18</sup>

An ERC grant application should be submitted by a single Principal Investigator, who has the scientific responsibility for the project in conjunction with and on behalf of the Host Institution which is the applicant legal entity.

Grant applications are assessed by peer review evaluation panels (ERC panels), which may be supported by additional remote reviewers. These ERC panels assess, score and rank the proposals.

### 1.2.1 When can I apply?

ERC grant applications can be submitted only in response to a '**call for proposals**'. Calls announced in the 2012 "Ideas" Work Programme are published on the ERC website<sup>19</sup>, the Research & Innovation Participant Portal<sup>20</sup> and in the Official Journal of the European Union<sup>21</sup>.

The ERC publishes annual calls for proposals for the ERC Advanced Grant scheme. The provisional timing of these calls for proposals is indicated in the table below. It is expected that the call budgets will be gradually increased each year.

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<sup>17</sup> The basis for registrations in EWS and CED is laid out in:

- the Commission Decision of 16.12.2008 on the Early Warning System (EWS) for the use of authorising officers of the Commission and the executive agencies (OJ, L 344, 20.12.2008, p. 125), and

- the Commission Regulation (EC, Euratom) No 1302/2008 of 17.12.2008 on the Central Exclusion Database – CED (OJ L 344, 20.12.2008, p. 12).

<sup>18</sup> The working language of the ERC evaluation panels is English. Please note that accordingly the panel reports will be available in English only. If the proposal is not in English, a translation of the full proposal would be of assistance to the experts. An English translation of the abstract must be included in the proposal.

<sup>19</sup> <http://erc.europa.eu/>

<sup>20</sup> <http://ec.europa.eu/research/participants/portal/appmanager/participants/portal>

<sup>21</sup> <http://eur-lex.europa.eu/JOIndex.do?ihmlang=en>

## ERC Advanced Grant Call Provisional Schedule – 2012

	Call open	Call Deadline	Evaluation
ERC-2012-AdG	Autumn 2011	Spring 2012	Spring 2012 - Autumn 2012

The foreseen date of publication of the next call for Advanced Grant proposals, ERC-2012-AdG call, is **16 November 2011**.

The foreseen electronic proposal submission deadlines (single submission of full proposals) for the three scientific domains are:

**Panels PE1 - PE10 (Physical Sciences & Engineering):** 16 February 2012 17.00.00 (Brussels local time)

**Panels LS1 – LS9 (Life Sciences):** 14 March 2012 17.00.00 (Brussels local time)

**Panels SH1 – SH6 (Social Sciences & Humanities):** 11 April 2012 17.00.00 (Brussels local time)

### 1.2.2 How can I submit an ERC grant application?

The key features of the ERC Grant application procedure are highlighted in Box 6.

#### Box 6: Key features of the ERC grant application procedure

- Applications should be submitted by a single PI in conjunction with and on behalf of her/his host institution (the applicant legal entity).
- A proposal consists of **administrative forms (Part A), a research proposal (Part B section 1 and 2) and supporting documentation**.
- Proposal formats and page numbers are strictly limited.
- Submission of all the documents is accepted only via the web-based **Electronic Proposal Submission Service (EPSS)**. The application procedure consists of a **single submission stage**.
- Strict rules apply for restrictions on submission of proposals that must be checked before applying for a grant.

#### 1.2.2.1 EPSS registration

Proposals must be submitted electronically via the web-based Electronic Proposal Submission Service (EPSS)<sup>22</sup>.

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<sup>22</sup> In exceptional cases, if an applicant has absolutely no means of accessing the EPSS and if it is impossible to arrange to do so, he/she may request permission from the ERCEA to submit on paper. Such a request, which must clearly explain the circumstances of the case, must be received by the ERCEA no later than one month before the call deadline. The ERCEA will reply to such a request within five working days of receipt. If derogation is granted, the ERCEA will send proposal forms for paper submission to the applicant concerned. Such a request should be sent to the following address:

PIs first need to register their intention to submit a proposal via the web-based EPSS in order to receive a login name and password and thus get access to EPSS for preparing, uploading and submitting a proposal. This should be done as early as possible before the call deadline for the submission of proposals.

EPSS can be accessed via the ERC website<sup>23</sup> and the calls' pages on Research & Innovation Participant Portal<sup>24</sup>, or directly at <https://www.epss-fp7.org/epss/welcome.jsp>. Full instructions can be found in the 'EPSS preparation and submission guide' available on the EPSS welcome page.

Please note that some web-browsers and/or Operating Systems (OS) may not be supported by EPSS, for further information please consult the 'EPSS preparation and submission guide' mentioned above.

**Please consult regularly the Participant Portal or CORDIS for updated information or contact the EPSS HELPDESK by e-mail [support@epss-fp7.org](mailto:support@epss-fp7.org), or by phone +32 2233 3760.**

#### 1.2.2.2 EPSS proposal submission

Following registration and agreement to the conditions of use of EPSS, the application can be prepared, uploaded and submitted via EPSS. Further information on the preparation of the application (Parts A and B) is given in point 1.2.3 of this guide.

- **Completing the Part A forms in EPSS and uploading a Part B does not yet mean that your proposal is submitted.** Once there is a consolidated version of the proposal, you must press the button “SUBMIT NOW” (If you don't see the button “SUBMIT NOW”, first select the “SUBMIT” tag at the top of the screen). **Please note that “SUBMIT NOW” starts the final steps for submission; it does not in itself cause the proposal to be submitted.**
- After reading the information page that then appears, it is possible to submit the proposal using the button marked “*Press this button to submit the proposal*”.
- EPSS then performs an automatic validation of the proposal by carrying out a number of basic verification checks. A list of any problems (“validation error message”) such as missing data, viruses, wrong file format or excessive file size will then appear on the screen. **Submission is blocked until these problems are corrected.** Once corrected, the applicant must then repeat the above steps to achieve submission. Only upon completion of these basic verification checks EPSS allows the applicant to submit. However, these checks do not replace the formal eligibility checks described in point 1.3.1 and cannot assure that the contents of the proposal and of the uploaded files correspond to the requirements of the call.
- Once the proposal is submitted, the applicant receives a message that indicates that the proposal has been received. This automatic message is not the official

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European Commission, European Research Council Executive Agency (ERCEA)/ Unit B 3, COV2 21/126, 1049 Brussels, Belgium.

<sup>23</sup> ERC: European Research Council - Grants/Submit an ERC Grant Proposal:  
<http://erc.europa.eu/funding-and-grants/apply-funding/call-proposals>

<sup>24</sup> <http://ec.europa.eu/research/participants/portal/page/home><sup>25</sup> Irrespective of the sections/sub-sections page limits specified in point 1.2.3.2, there is an overall limit of 10 MB to the size of the PDF proposal file. There are also restrictions to the file name you give to the PDF proposal - use alphanumeric characters only. Special characters and spaces must be avoided.

acknowledgement of receipt (see point 1.2.4.2: *"Has my proposal been received by the ERCEA?"*).

- **The applicant may continue to modify the proposal and submit revised versions overwriting the previous one right up until the deadline.** The sequence above must be repeated each time (see also below point 1.2.4.3: *"How do I modify or withdraw my proposal?"*).
- **If the submission sequence described above is not followed at least once, the ERCEA considers that no proposal has been submitted.**
- The research proposal and attached supporting documentation must exclusively use PDF ('Portable Document Format', compatible with Adobe version 3 or higher, with embedded fonts)<sup>25</sup>. Other file formats will not be accepted by the system. Unless specified in the call, embedded material and any other documents (company brochures, scientific papers, reports, audio, video, multimedia, etc.) sent electronically or by post, will be disregarded. However, panel members and/or referees may (but are not obliged to) access relevant web pages (that the PI may refer to in Part B Section 1) in order to further assess the applicants' previous work (including openly accessible published manuscripts of the applicant).
- Proposals must be **submitted before the deadline** specified in the call for proposals<sup>26</sup>.
- EPSS will be closed for a specific call at its call deadline. After this moment, it will be impossible to access EPSS for the respective call.

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

### 1.2.3 How do I complete the grant application?

A complete ERC Advanced Grant application involves the following three separate components:

- **The administrative forms (Part A)**
- **The research proposal (Part B)**
- **The supporting documentation**

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<sup>26</sup> In the unlikely event of a failure of the EPSS service due to a breakdown of the EPSS server during the last 24 hours of a call, the deadline will be extended by a further 24 hours. This will be notified by e-mail to all applicants who had registered in EPSS for this call, and also by a notice on the call page on the ERC website (<http://erc.europa.eu/>) and on Participant Portal (<http://ec.europa.eu/research/participants/portal/page/home>) as well as on the website of EPSS. Such a failure is a rare and exceptional event. Therefore, it should not be assumed that there will be such an extension of a call. If an applicant encounters difficulties in submitting a proposal, it should not be assumed that it is because of a problem with the EPSS server. For technical inquiries on the use of EPSS, please contact the EPSS helpdesk (see point 1.2.2.1. of this guide). Please note that the ERC will not extend deadlines for system failures that are not its own responsibility. In all circumstances, you should aim to submit your proposal well before the deadline to have time to solve any problems.

### 1.2.3.1 Instructions for completing 'Part A' of the proposal

Proposals must be submitted electronically via the web-based Electronic Proposal Submission Service (EPSS) (see section 1.2.2. of this guide).

In the A forms, the PI will be asked for administrative data that will be used in the evaluation and further processing of the proposal. The A forms are an integral part of the proposal.<sup>27</sup>

Part A: section A1 gives a snapshot of the proposal and of the PI, section A2 concerns the PI's Host Institution, while section A3 deals with financial matters.

Please note:

- Section A1 concerns information about the research proposal and the PI, including a non confidential abstract of the proposal and the chosen ERC panel for evaluation. The PI must indicate the most relevant ERC panel for the evaluation of the proposal and choose one or more descriptors (i.e. ERC keywords) of the research fields involved from a drop-down menu (see Annex 1 to this Guide).

It is the PI's responsibility to choose the most relevant ERC panel ('primary evaluation panel') for the evaluation of the proposed research. The initial allocation of the proposals to the various panels will be based on the expressed preference of the PI. In the case of interdisciplinary proposals the PI may indicate a 'secondary evaluation panel'. The primary panel will then decide whether the proposal is indeed cross-panel or cross-domain and if its evaluation requires expertise from other panels.

**Despite the initial allocation based on the preference of the PI, if necessary due to the expertise required for the evaluation, a proposal may be reallocated to a different panel at the beginning of the peer review evaluation.**

- Section A2 concerns information about the PI's Host Institution<sup>28</sup>.
- Subcontractors are not required to fill in section A2 and should not be listed separately in section A3.
- Section A3 concerns information about the estimated project costs and grant required.

**Please ensure that all costs are given in whole Euros (integer), not thousands of Euros, and must exclude value added tax (VAT).**

Please ensure that the amount given in the financial section A3 corresponds precisely to the information provided in the research proposal text (Part B Section 2c (B2), Resources). In case of discrepancy, the A3 data will prevail.

### **Participant Identification Code (PIC)**

Those who are familiar with the proposal submission and grant preparation forms know that in the past, participants had to provide to the European Commission their legal and financial information every time they submitted a proposal or negotiated a contract. To eliminate these redundant requests for information, we invite you to register your organisational data once in the **Unique Registration Facility (URF)** which is hosted in the [Participant Portal](#)<sup>29</sup>. This self-registration will lead to a request by the European Commission for the organisation to

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<sup>27</sup> Details of the scientific project itself which the applicant intends to carry out will be described in the research proposal, Part B Section1 (B1) and Section2 (B2).

<sup>28</sup> The filling of additional A2 forms, corresponding to other institutions of team members ('additional participants'), may be necessary.

<sup>29</sup> For participants not yet having a Participant Identification Code (PIC), i.e. not yet being registered and validated in the Commission's Unique Registration Facility (URF) their existence as legal entities and their legal status will have to be validated before a grant agreement can be signed.

provide supporting documents and to nominate a Legal Entity Authorised Representative (LEAR).

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

If you think your organisation already has registered in URF and you wish to retrieve the PIC, please query online the PIC database by using the PIC search functionality<sup>30</sup>. Please do not forget to visit the '[Frequently Asked Questions](#)' of the URF page should you want any additional general information.

Applicant legal entities possessing a Participant Identification Code (PIC) can use this number to identify themselves in the Electronic Proposal Submission System.

On entering the PIC, some parts of the A forms will be filled in automatically. Please note that in the cases where a PIC is not available it will always be possible to submit a proposal by entering the organisation details manually. However, the use of PICs will lead to a more efficient handling of the proposal.

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

As established in section 3.1.2.1. of the ERC rules for submission <sup>31</sup> applicants submitting project proposals may request that up to three specific persons would not act as peer reviewers in the evaluation of their proposal. Such a request is done at the time proposal submission in the Part A (the administrative forms). Applicants will have to specify one of the following reasons:

1. Direct Scientific Rivalry;
2. Professional Hostility;
3. Similar situation which would impair or put in doubt the objectivity of the potential evaluator.

If the person(s) identified is an independent expert participating in the Advanced Grant 2012 evaluation, he/she may be excluded from the evaluation of your proposal as long as ERCEA remains in the position to have your proposal evaluated.

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<sup>30</sup>

[http://ec.europa.eu/research/participants/portal/appmanager/participants/portal?\\_nfpb=true&\\_pageLabel=myorganisations](http://ec.europa.eu/research/participants/portal/appmanager/participants/portal?_nfpb=true&_pageLabel=myorganisations)

<sup>31</sup> Commission Decision 2010/767/EU of 9 December 2010 amending Decision C(2007) 2286 on the adoption of ERC Rules for the submission of proposals and the related evaluation, selection and award procedures for indirect actions under the Ideas Specific Programme of the Seventh Framework Programme (2007 to 2013), OJ L 327, 11.12.2010, p. 51-70

Applicants need to provide the following data about the persons which they intend to exclude from the evaluation:

- Name of the expert(s)
- Institution/employer, city and country;
- Web page, if possible.

Such a request will be treated confidentially by the authorised staff of ERCEA and the concerned Panel Chair. If the excluded expert is a member of a panel he/she will be informed about the request concerning him/her.

Please note that the request for exclusion is accepted by ERCEA as long as the proposal can still be evaluated by other reviewers having the necessary expertise.

Additionally, in application of the existing regulation<sup>32</sup> on Data protection, an excluded expert may be granted access to all data linked to his/her exclusion in order to provide information which could rectify inaccurate statements done by the applicant. (Please, refer to the Specific Privacy Statement provided on the ERCEA website at the following address: <http://erc.europa.eu/documents/erc-specific-privacy-statement-exclusion-independent-experts-applicants> ).

**The following notes are for information only. They should assist you in completing the A forms of your proposal. On-line guidance will also be available. The precise questions and options presented on EPSS may differ slightly from these below. Please consult regularly the Participant Portal call page or CORDIS for updated information or contact the EPSS HELPDESK by e-mail, or by phone +32 2 133 3760.**

### **Section A1: Proposal and PI information**

<b>Proposal Number</b>	[pre-filled by the system]
<b>Proposal Acronym</b>	<p>The short title or acronym will be used to identify your proposal efficiently in this call. It should consist of <u>no more than 20 characters</u> (use standard alphabet and numbers only; no spaces, symbols or special characters please).</p> <p>The same acronym should appear on each page of the research proposal.</p>

### **General Information on the Proposal**

<b>Type of project</b>	[pre-filled]
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<sup>32</sup> Regulation (EC) No 45/2001 articles 13 and 14, OJ L8 of 12.1.2011, p. 10.



	Support for Frontier Research – ERC Advanced Grant
<b>Call identifier</b>	[pre-filled] The call identifier is the reference number given in the call or part of the call you are applying for, as indicated in the publication of the call in the Participant Portal - FP7 Calls. A call identifier looks like this: <i>ERC-2012-AdG</i> followed by a number
<b>Activity code</b>	[pre-filled] ERC Advanced Grant
<b>Proposal Title (max 180 char.) (Non Confidential Information)</b>	The title should be <u>no longer than 180 characters</u> and should be understandable to the non-specialist in your field.  <b>In order to best review your application, your agreement is needed below so that this non-confidential title can be used when contacting potential reviewers, should your proposal be retained for step 2 of the evaluation process.</b>
<b>Duration in months</b>	The estimated duration of the project in full months.
<b>Primary ERC Review Panel (linked to call deadline)</b>	[drop-down menu] – <i>mandatory, different for every deadline</i> Please choose the primary ERC review panel ('Targeted Review Panel') by which you would like your proposal to be evaluated. This information is <u>mandatory</u> . The full list of ERC review panels is in Annex 1 to this ERC Guide for Applicants for the Advanced Grant 2012 Call.
<b>Secondary ERC Review Panel (if applicable)</b>	[drop-down menu] You can choose a secondary ERC review panel that you consider most relevant to your proposal. This information is <u>optional</u> for a 'Secondary ERC Review Panel'. The full list of ERC review panels is in Annex 1 to this ERC Guide for Applicants for the Advanced Grant 2012 Call.
<b>ERC Keyword 1 (please choose this keyword from those linked to the Primary ERC Review Panel)</b>	[drop-down menu] - mandatory Please select ERC keywords (i.e. Panel descriptors as indicated in the ERC review panel list - Annex 1 to this document) that best characterise the subject of your proposal. <u>As first keyword please choose one which is linked to the Primary Review Panel. ERC Keyword 1 is mandatory.</u>
<b>ERC Keywords 2, 3, 4</b>	[drop-down menu] You can select additional ERC keywords (i.e. Panel descriptors as indicated in the ERC review panel list - Annex 1 to this document) that best characterise the subject of your proposal. You don't need to limit your choice of ERC keywords to your choice of specific review panel(s). Keywords 2, 3 and 4 are <u>optional</u> .
<b>Free Keywords [mandatory field to be filled]</b>	In addition, please enter free text keywords that you consider best characterise the scope of your research proposal. The choice of keywords should take into account any multi-disciplinary aspects of the proposal. You can also use keywords from other specific classification systems, provided that the actual describing text is included. For example, applicants to the 'PE1 -- Mathematics' panel may want to use the Mathematics Subject Classification system, and can then enter a text like "MSC2010: 51Hxx Topological geometry". There is <u>a limit of 90 characters</u> .
<b>Abstract (min.100/ max. 2000 char.) (Non confidential information)</b>	The abstract (summary) should, at a glance, provide the reader with a clear understanding of the objectives of the research proposal and how they will be achieved. <b>The abstract will be used as the short description of your research proposal in the evaluation process and in communications to contact in particular the potential referees and/or inform the European Commission and/or the programme management committees and/or relevant national funding agencies (provided you give permission to do so where requested below). It must therefore be short and precise and should not contain confidential information.</b>  Please use plain typed text, avoiding formulae and other special characters. The abstract must be written in English. There is a limit of 2000 characters (spaces and line breaks included).
<b>In order to best</b>	[Yes/No] – In the process of the evaluation procedure, the non confidential title and abstract of your



<b>review your application, do you agree that the above non confidential proposal title and abstract can be used, without disclosing your identity, when contacting potential reviewers?</b>	proposal may be communicated to potential external experts. Please specify your agreement or disagreement.
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### **Reviewers Requested to be Excluded**

You may indicate the names of up to three reviewers to be excluded from reviewing the proposal. Please indicate one of the following as the reason for exclusion - 1: Direct scientific rivalry; 2: Professional hostility; 3: Similar situation which would impair or put in doubt the objectivity of the potential evaluator.

<b>Family Name</b>	<b>First Name(s)</b>	<b>Institution</b>	<b>City</b>	<b>Country</b>	<b>Webpage</b>	<b>Reason for exclusion</b>

### **Information on the Principal Investigator**

The following information of the Principle Investigator is used to personalise the communications to applicants and the Evaluation reports. Please make sure that your personal information is accurate and please inform the ERCEA in case your e-mail address changes (by using the call specific email address [ERC-2012-ADG-APPLICANTS@ec.europa.eu](mailto:ERC-2012-ADG-APPLICANTS@ec.europa.eu)).

<b>Family Name</b>	Last name as given in Passport or Identity Card.
<b>Family Name at Birth</b>	Your last name at birth.
<b>First Name(s)</b>	Your first name(s) as given in Passport or Identity Card.
<b>Title</b>	Please choose one of the following: Prof., Dr., Mr., Mrs., Ms.
<b>Gender Female(F)/Male(M)</b>	This information is required for statistical and mailing purposes. Indicate F or M as appropriate.
<b>Nationality</b>	[drop-down menu] Please select one country.
<b>Country of residence</b>	[drop-down menu] Please select the country in which you legally reside.
<b>Date of Birth (DD/MM/YYYY)</b>	Please specify your date of birth using the format (DD/MM/YYYY).
<b>Country of Birth</b>	[drop-down menu] Please select the country in which you were born.
<b>Town of Birth</b>	The town in which you were born. Insert the name of the town in English (please avoid any district codes).

Contact Address	
<b>Current Organisation name (if applicable)</b>	Name under which your organisation is registered.
<b>Current Department/Faculty/Institute/ Laboratory name (if applicable)</b>	Name under which your Department/Faculty/Institute/Laboratory is registered.
<b>Street name</b>	The street name.
<b>Number</b>	The street number.
<b>Town</b>	The town, in English (please avoid any district codes).
<b>Postal Code/ Cedex</b>	The Postal code.
<b>Country</b>	[drop-down menu] Please select one country.
<b>Phone 1, 2</b>	Please insert the full phone number including country and city/area code. Example +32-2-2991111. The 2 <sup>nd</sup> phone number is optional.
<b>Fax</b>	Please insert the full fax number including country and city/area code. Example +32-2-2991111.
<b>E-mail 1, 2</b>	Please insert your e-mail address. The 2 <sup>nd</sup> e-mail address is optional. Please note that E-mail 1 is the main channel of communication between the ERCEA and the PI, therefore please verify that the E-mail 1 provided is correct. Additionally, E-mail 1 will be used to generate the PI's ERC web account where official communication from ERCEA to the PI may be posted.

Academic Training	
<b>Date of first PhD (or equivalent) award (DD/MM/YYYY)</b>	Please specify the date of award of your doctoral degree (or equivalent degree) using the format (DD/MM/YYYY).
<b>I acknowledge that I am aware of the eligibility requirements for applying for the ERC Advanced Grant as specified in the 2012 "Ideas" Work Programme, and certify that, to the best of my knowledge, my application is in compliance with all these requirements. I understand that my proposal may be declared ineligible at any point during the evaluation or granting process if it is found not to be compliant with these</b>	<p>[Yes/No]</p> <p>Please confirm that you are eligible according to all requirements established in the 2012 "Ideas" Work Programme? In particular having regard to "Ideas" WP2012 point 3.2 – Restrictions on submission of proposals ad 3.4 – Eligibility criteria.</p>

<p>eligibility criteria.</p>	
<p>Do you allow the ERC to disclose the evaluation result (score and ranking range) together with your names, non-confidential proposal title and abstract, proposal acronym, Host Institution and your contact details to the relevant national funding agency in case your proposal is recommended for funding at the end of the evaluation process (for example if requested by national funding agencies interested in funding your proposal)?</p> <p>In addition, for purposes related to monitoring, study and evaluation foreseen by the Ideas Work programmes, the ERCEA may need that submitted proposals be processed by third parties (Contractors and/or beneficiaries of Coordination and Support Actions. The subject and required data of the processing are identified in the Ideas Work Programmes.), in compliance with the requirements of Regulation (EC) No 45/2001 of the European Parliament and of the Council (For</p>	<p>[Yes/No]</p> <p>For communication purposes only, the ERC EA asks for your permission to publish your name, the proposal title and acronym, the Host Institution name and country should your proposal be above quality threshold at step 2 of the evaluation process.</p> <p><u>The decision about this permission will not affect in any manner the outcome of the evaluation and will not be communicated to the reviewers.</u></p>

<p>details, please refer to the Specific Privacy Statement on Grants published on the ERC website). Do you give your consent that the content of your proposal, including your personal data, be processed by such third parties? This consent is not requested on a compulsory base and it is only provided on a voluntary base. Refusal to give the individual consent does not affect the evaluation process.</p>	
<p><b>Does the proposal raise any ethical issues, as specified in the Ethical Issues Table at the end of Part B section 2 (B2)?</b></p>	<p>[Yes/No] -The Ethical Issues Table has to be completed even if there are no issues (by confirming in the table that none of the ethical issues apply)</p> <p>If any of the issues in the Ethical Issues Table (in part B2) apply to your proposal, you <b>must</b> provide a brief explanation of the ethical issue involved and how it will be dealt with appropriately. An Ethical Issues Annex template is provided in EPSS together with Part B section 2 (B2) templates).</p> <p>See point 1.1.3, Box 3 of this guide.</p>

### **The Host Institution**

<b>The Authorised Legal Representative of the Host Institution</b>	
<b>The person who can commit the Host Institution according to the requirements of the applicable ERC Model Grant Agreement (C(2007)1625, 16/04/2007).</b>	
<b>Family Name</b>	Last name as given in the Passport or ID card.
<b>First Name(s)</b>	First name(s) as given in the Passport or ID card.
<b>Title</b>	Please choose one of the following: Prof., Dr., Mr., Mrs., Ms.
<b>Gender Female(F)/Male(M)</b>	This information is required for statistical and mailing purposes. Indicate F or M as appropriate.
<b>Position in the Host institution</b>	e.g. senior administrative officer
<b>Contact address of the Host Institution and administrative contact person for the ERC EA</b>	
<b>Organisation legal name</b>	<p><b>For a Public Law Body</b>, it is the name under which the organisation is registered in the Resolution text, Law, Decree/Decision establishing the Public Entity, or in any other document established at the constitution of the Public Law Body;</p> <p><b>For a Private Law Body</b>, it is the name under which the organisation is registered in the national Official Journal (or equivalent) or in the national company register</p>

<b>Office/ Section/ Department/ Faculty</b>	The name under which the host Office/Section/Department/Faculty/Institute/Laboratory is registered.
<b>Family Name (contact person)</b>	Last name as given in the Passport or ID card.
<b>First name(s) (contact person)</b>	First name.
<b>Street name</b>	The street name.
<b>Number</b>	The street number.
<b>Town</b>	The town, in English (please avoid any district codes).
<b>Postal Code/ Cedex</b>	The Postal code.
<b>Country</b>	[drop-down menu] Please select one country.
<b>Phone 1, 2</b>	Please insert the full phone number including country and city/area code. Example +32-2-2991111. The 2 <sup>nd</sup> phone number is optional.
<b>Fax</b>	Please insert the full fax number including country and city/area code. Example +32-2-2991111.
<b>E-mail 1, 2</b>	Please insert the e-mail address. The 2 <sup>nd</sup> e-mail address is optional. Please note that E-mail 1 is the main channel of communication between the ERCEA and the Host Institution; therefore please verify that the E-mail 1 provided is correct. Additionally, E-mail 1 will be used to generate the Host Institution's ERC web account where official communication from ERCEA to the Host Institution may be posted.

## **Section A2: Host Organisation**

One form for the Host Institution. If other organisations are involved, please generate and fill in another A2 form by adding another participant.

<b>Proposal Number</b>	[pre-filled by the system]
<b>Proposal Acronym</b>	[filled in from A1]
<b>Organisation Number [pre-filled]</b>	The number allocated by EPSS to each organisation participating in the proposal. The <b>PI's Host Institution (or the "principal beneficiary")</b> is always <b>number one</b> .
<b>The Organisation</b>	
<b>If your organisation has already registered for FP7, enter your Participant Identity Code</b>	<p>Applicants possessing a Participant Identification Code (PIC) can use this number to identify themselves in the Electronic Proposal Submission System. On entering the PIC, parts of the A forms will be filled in automatically. Please note that in the cases where a PIC is not available it will always be possible to submit a proposal by entering the organisation details manually. However, the use of PICs will lead to more efficient handling of the proposal.</p> <p>The process for assigning a PIC is triggered by a self-registration of an organisation at the following website:</p> <p><a href="http://ec.europa.eu/research/participants/portal/page/myorganisations">http://ec.europa.eu/research/participants/portal/page/myorganisations</a></p> <p>On this website you will also find a search tool for checking if your organisation is already registered (and has thus a PIC).</p>

<b>Organisation legal name</b>	<b>For a Public Law Body</b> , it is the name under which the organisation is registered in the Resolution text, Law, Decree/Decision establishing the Public Entity, or in any other document established at the constitution of the Public Law Body; <b>For a Private Law Body</b> , it is the name under which the organisation is registered in the national Official Journal (or equivalent) or in the national company register.
<b>Organisation short name</b>	Choose an abbreviation of the organisation legal name, only for use in this proposal and in all relating documents. This short name should not be more than 20 characters exclusive of special characters (./;...), e.g. CNRS and not C.N.R.S. It should be preferably the one commonly used, e.g. IBM and not Int.Bus.Mac.
<b>Organisation Town</b>	Town where the Organisation is located, in English (please avoid any district codes).
<b>Organisation Country</b>	The country where the Organisation is located, in English (please avoid any additional regional or district code or information).
<b>Department/Faculty/Institute/Lab Name</b>	The name under which the Office/Section/Department/Faculty/Institute/Laboratory is registered.
<b>Department/Faculty/Institute/Lab Town</b>	The town where the Office/Section/Department/Faculty/Institute/Laboratory is located, in English (please avoid any district codes).
<b>Department/Faculty/Institute/Lab Country</b>	The country where the Office/Section/Department/Faculty/Institute/Laboratory is located, in English (please avoid any additional regional or district code or information).
<b>Internet Homepage</b>	Insert the address of the organisation internet homepage.

## Section A3: Budget

<b>Financial information (in euros) – whole duration of the project</b>	
<p>This financial data summarises the total costs and the requested ERC grant, also presented in the research proposal text (part B2: section 2c: resources).</p> <p>The project cost estimation should be as accurate as possible. There is no minimum contribution per year; the requested contribution should be in proportion to the actual needs to fulfil the objectives of the project.</p> <p>The Host Institution(s)<sup>33</sup> should enter the different types of costs (personnel, other direct, indirect and subcontracting). Please ensure the table contains the correct amount of the different types of costs and the correct total eligible costs and requested grant.</p> <p><b>Eligible and non-eligible direct and indirect costs</b></p> <p>An ERC grant can cover up to 100% of the total eligible direct costs of the research plus a flat-rate financing of indirect costs on the basis of 20% of the total eligible direct costs (excluding the direct eligible costs for subcontracting and the costs of reimbursement of resources made available by third parties which are not used on the premises of the beneficiary). Costs claimed should be in line with the Host Institution's own management practices and accounting rules.</p> <p><b>Direct eligible costs</b> are those which support all the research, management, training and dissemination activities necessary for the project, such as: Personnel Costs; Equipment Costs; Consumables; Travel and Subsistence Costs; Publication Costs (page charges and related fees for publication of results).</p> <p><b>Indirect eligible costs</b> are those which cannot be identified as directly attributable to the project, but which are incurred in direct relationship with the project's direct eligible costs, such as: Costs related to general administration and management; Costs of office or laboratory space, including rent or depreciation of buildings and equipment, and related expenditure such as water, heating, electricity; Maintenance, insurance and safety costs; Communication expenses, network connection charges, postal charges and office; Supplies; Common office equipment such as PCs, laptops, office software; Miscellaneous recurring consumables.</p> <p>Non-eligible costs cannot be reimbursed through the ERC grant, such as: Any identifiable indirect taxes, including VAT or duties; Interest owed; Provisions for possible future losses or charges; Exchange losses; Costs declared, incurred or reimbursed in respect of another Community project; Costs related to return on capital; Debt and debt service charges; Excessive or reckless expenditure.</p> <ul style="list-style-type: none"> <li>• Please ensure that the amounts given in this form correspond precisely to the information provided in the research proposal text (part B2: section 2c: resources). In case of discrepancy, the data contained in this A3 form will prevail.</li> <li>• Please make sure that all costs are given in <u>whole Euros (integer)</u>, not thousands of Euros. All costs must be given <u>excluding the value added tax (VAT)</u>.</li> </ul>	
<b>Participant Number in this proposal</b>	The <u>PI's Host Institution</u> of the proposal is always <u>number one</u> .
<b>Organisation short name</b>	The same name that has been used in form A2.
<b>Personnel costs</b>	<p>Personnel costs are only the costs of the actual hours worked by the persons directly carrying out work under the project and must correspond to the percentage of dedicated working time to run the ERC project. Such persons must:</p> <ul style="list-style-type: none"> <li>– be directly hired by the beneficiary in accordance with its national legislation,</li> <li>– work under the sole technical supervision and responsibility of the latter, and</li> <li>– be remunerated in accordance with the normal practices of the participant.</li> </ul> <p>Participants may opt to declare average personnel costs if certified in accordance with a methodology approved by the Commission and consistent with the management principles and usual accounting practices of the participant.</p> <p>Average personnel costs charged by a participant having provided a certification on the methodology are deemed not to significantly differ from actual personnel costs.</p>

<sup>33</sup> Additional lines should correspond to any legal entities that have filled form A2.

<b>Other direct costs (excluding subcontracting)</b>	Means direct costs not covered by the above-mentioned categories of costs.
<b>Indirect costs (max. 20 % of direct costs)</b>	Indirect costs are all those eligible costs which cannot be identified by the participant as being directly attributed to the project but which can be identified and justified by its accounting system as being incurred in direct relationship with the eligible direct costs attributed to the project. They may not include any eligible direct costs.
<b>Subcontracting</b>	<p>A subcontractor is a third party which has entered into an agreement on business conditions with one or more participants, in order to carry out part of the work of the project without the direct supervision of the participant and without a relationship of subordination.</p> <p>Where it is necessary for the participants to subcontract certain elements of the work to be carried out, the following conditions must be fulfilled:</p> <ul style="list-style-type: none"> <li>- subcontracts may only cover the execution of a limited part of the project;</li> <li>- recourse to the award of subcontracts must be duly justified in Part B of the proposal having regard to the nature of the project and what is necessary for its implementation;</li> <li>- recourse to the award of subcontract by a participant may not affect the rights and obligations of the participants regarding background and foreground;</li> <li>- Part B of the proposal must indicate the task to be subcontracted and an estimation of the costs;</li> </ul> <p>Any subcontract, the costs of which are to be claimed as an eligible cost, must be awarded according to the principles of best value for money (best price-quality ratio), transparency and equal treatment. Framework contracts between a participant and a subcontractor, entered into prior to the beginning of the project that are according to the participant's usual management principles may also be accepted.</p> <p>Participants may use external support services for assistance with minor tasks that do not represent per se project tasks as identified in Part B of the proposal.</p>
<b>Total Eligible Costs</b>	The sum of direct costs (personnel and others), indirect costs and subcontracting.
<b>Requested Grant</b>	The total budget that you are requesting as the ERC grant (in Euros).

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

The research proposal (Part B) consists of two sections: Section 1 (B1) (including cover page, Sections 1 a, b, and c) and Section 2 (B2) (including Sections 2 a, b, c and d). **The templates for these two sections are provided in EPSS and their use is mandatory.**

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

**When drafting Part B, Section 1 (B1) PIs should pay particular attention to the extended synopsis (Section 1c) and should not consider it as simply complementing Part B Section 2 (B2). It is important that the extended synopsis contains all relevant information including the feasibility of the scientific proposal since the panel will only evaluate Part B Section 1 (B1) at step 1. Please note that at step 1 the panel has no access to Part B Section 2 (B2).**

The information to be included in each of the sections is described below. The maximum length of each section or its sub-sections, which needs to be respected strictly, is described below. The research proposal needs to be uploaded and submitted via EPSS (see point 1.2.2.2 of this guide).



**Only the material contained within the page limits mentioned below while respecting the layout parameters will be evaluated. It should provide sufficient information to the peer reviewers to assess the proposal according to the evaluation criteria.**

Each proposal page **must** carry a **header** presenting the **PI's last name**, the **acronym**, and the reference to the respective proposal section (**Part B Section 1** or **2**).

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

Page Format	Font Type	Font Size	Line Spacing	Margins
A4	Times New Roman	At least 11	Single	2 cm right and left side, 2 cm top, 1.5 cm bottom

### **Section1( B1) – Cover page:**

Name of the Principal Investigator (PI)  
 Name of the PI's Host Institution for the project  
 Proposal full title  
 Proposal short name  
 Proposal duration in months  
 Proposal summary (half page, possibly copy/paste of abstract from the administrative form A1)

### **Section 1 (B1) a, b, and c:**

#### **The Principal Investigator**

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

In addition to the standard academic and research record, the CV **should include a succinct 'funding ID' which must specify any current research grants and their subject, as well as any ongoing application for work related to the proposal.** This facilitates the proper assessment of the proposal and the granting process in case the proposal is retained for funding.

Any research career gaps and/or unconventional paths should be clearly explained. Peer reviewers will take this into consideration when assessing the PI's quality and career progression.

#### **b. 10-Year Track-Record (max 2 pages):**

The applicant should list his/her activity over the **past 10 years** (dated from the deadline of the call) as regards:

1. A list of the **top 10 publications, as senior author** (or in those fields where alphabetic order of authorship is the norm, joint author), listing all authors, in major international peer-reviewed multidisciplinary scientific journals and/or in the leading international peer-reviewed journals and/or peer-reviewed conferences proceedings of their respective research fields, also indicating the number of citations (excluding auto-citations) they have attracted and possibly the h-index (if applicable).
2. **Research monographs, chapters in collective volumes 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 programme committee) (if applicable).

7. **International Prizes/Awards/Academy memberships** (if applicable).

8. Major contributions to early careers of excellent researchers (if applicable)

9. Examples of leadership in industrial innovation (if applicable)

- not in line with the provisions of the WP2012

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

The Extended Synopsis should give a concise presentation of the scientific proposal, including the scientific feasibility of the project, with particular attention to its ground-breaking nature and how it may open up new horizons or opportunities for research. Describe the proposed work in the context of the state of the art of the field. References to literature should also be included. **It is important that this extended synopsis contains all relevant information including the feasibility of the scientific proposal since the panel will only evaluate Part B Section 1 (B1) at step 1.**

## **Section 2 (B2) a, b, c and d:**

### **The scientific proposal (max 15 pages, excluding Ethical Issues Table and Annex)**

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

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

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

#### **b. Methodology**

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

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

It is strongly recommended to use the costing table template to facilitate the assessment of resources by the panels.

Describe the size and nature of the team, indicating, where appropriate, the key team members and their roles. The participation of team members engaged by another Host Institution should be justified in relation to the additional financial cost this may impose to the project (see point 1.1.2.2 of this guide). Describe other necessary resources, such as infrastructure and equipment. Specify any existing resources that will contribute to the project. It is advisable to include a short technical description of the equipment requested, a justification of its need as well as the intensity of its planned use.

State the amount of funding considered necessary to fulfil the objectives for the duration of the project. This should be a reasoned estimate of the projects costs. Take into account the percentage of your dedicated time (you are expected to devote at least 30% of your working time to the ERC-funded project while spending at least 50% of your total working time in an EU Member State or Associated Country) to run the ERC-funded activity when calculating your personnel costs. Include the direct costs of the project plus a reimbursement of a flat rate of 20% of the total eligible direct costs (excluding subcontracting and the costs of reimbursement of resources made available by third parties which are not used on the premises of the beneficiary) for indirect costs. Furthermore, include a breakdown of the budget subdivided in personnel costs, equipment and infrastructure, consumables, travel, publication costs, and any envisaged subcontracts. State how the costs will be distributed over the duration of the project. These figures should be summarised in the financial information **form A3** as well as **in the costing table** provided as a template.

The project cost estimation should be as accurate as possible. The evaluation panels assess the estimated costs carefully; unjustified budgets will be consequently reduced. There is no minimum contribution per year; the requested contribution should be in proportion to the actual needs to fulfil the objectives of the project.

#### **d. Ethical and security-sensitive Issues**

The Ethical Issues Table serves to identify any ethical aspects of the proposed work. This table has to be completed even if there are no issues (by confirming in the table that none of the ethical issues apply to the proposal).

If any of the issues in the Ethical Issues Table (in part B1) apply to the proposal, the PI **must** provide a brief explanation of the ethical issue involved and how it will be dealt with appropriately. Annex 2 to this guide describes the ethics review process and gives guidance on the completion of the Ethical Issues Table. An Ethical Issues Annex template is provided in EPSS, with part B2 templates, which has to be uploaded in case there are any ethical implications in the proposal.

The PIs are encouraged to include any supporting documentation, such as any authorisation they may already have. This will allow a more effective ethical clearance and an accelerated granting process if the proposal is retained for possible funding<sup>34</sup>.

Please upload this Ethical Issues Annex and any related documents in the 'Extra Annexes Upload' section included in the EPSS tab 'part B & annexes'.

Please be aware that no grant agreement can be signed by ERCEA prior to a satisfactory conclusion of the ethical review.

A dedicated website that aims to provide helpful information on ethical issues is now available at: [http://cordis.europa.eu/fp7/ethics\\_en.html](http://cordis.europa.eu/fp7/ethics_en.html)

#### **- Security-sensitive Issues**

ERC actions may be classified if they are considered as security sensitive. The proposal can be considered security-sensitive for a variety of reasons, most notably:

- if it proposed action may need to handle classified information as background;
- if some foreground is planned to be classified.

<sup>34</sup> A full description of the Ethics Review is provided in the in ERC rules for the submission of proposals and the related evaluation, selection and award procedures relevant to the Ideas Specific Programme: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2010:327:0051:0070:EN:PDF>

In addition, a proposal may also be considered as sensitive, independently of any security classification, if it plans to exchange material subject to transfer or export licensing. If export licences (or intra EU licences) are required for carrying out the planned work, applicants must clarify the requirement to have such export or transfer licences and must provide a copy of export or transfer licences (or of the requests). For further information on security sensitive issues relevant to this Call, see Annex 4 to this guide.

If your proposal is security sensitive, describe (in section 2 d) why, which are the participants concerned by the sensitivity and what are the measures foreseen to cope with it. Please annex to your proposal a first version of the Security Aspects Letter (SAL) and its annex, the Security Classification Guide, as part of the proposal using the template provided in Annex 4.

Describe also your experience in managing security sensitive projects, if relevant.

Please note that these security related parts of the proposal are not considered as part of the scientific evaluation. These will only be considered in the scrutiny of security sensitive actions.

**The pages of section 2d, Ethical and security-sensitive issues, included in part B section 2 (B2) and additional Annexes (separate document) where relevant in case of ethical issues and/or security-sensitive subjects do not count towards the maximum page limit for part B section 2 (B2).**

#### 1.2.3.3. Supporting Documentation

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

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

The Host Institution (applicant legal entity) must provide a binding statement that the conditions of independence set out in the supplementary agreement to the ERC Grant agreement are already fulfilled or will be provided to the PI if the application is successful. This document (mandatory template available on EPSS, or please see Annex 3 to this guide) needs to be originally signed, stamped and dated by the institution's legal representative. Proposals that do not include this institutional statement will not be considered for evaluation.

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

#### **1.2.4 Is my proposal ready for evaluation?**

Incomplete proposals (where parts or sections of the proposal and/or the Host Institution's commitment statement are missing) are considered ineligible and will not be evaluated<sup>35</sup>. The

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<sup>35</sup> 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 ([http://erc.europa.eu/sites/default/files/document/file/erc\\_rules%20for%20submission.pdf](http://erc.europa.eu/sites/default/files/document/file/erc_rules%20for%20submission.pdf)).

proposal must be submitted **before the respective deadline of the relevant domain** 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.

## Checklist – Is your proposal complete?

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

### **The Administrative Forms (Part A): to be completed in EPSS**

- on-line forms A1, A2, A3

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

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

- Section 1a, b – The Principal Investigator. The 'funding ID' should be specified.
- Section 1c – The Extended Synopsis of the scientific proposal.

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

- Section 2a, b, c – The scientific proposal.
- Section 2d – **Ethical and security-sensitive issues**. The ethical issues table (and, when necessary, the explanatory information on ethical **and security-sensitive** issues and how they will be treated).

### **The Supplementary Documents:**

- The supporting statement from the Host Institution: originally signed, stamped and dated by the Host Institution's legal representative (see Annex 3).
- If applicable, the explanatory information on ethical issues and how they will be treated (Ethical Issues Annex, see Annex 2 of this guide).
- If applicable, **Security-Issues Annex** (see Annex 5 of this guide).

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

### 1.2.4.1 How do I submit the proposal via EPSS?

The research proposal, Part B Section 1 and 2 (B1 and B2) and the supporting documentation should be uploaded and submitted via EPSS as PDF files. For more information on EPSS and the uploading/submission of the grant application, please consult point 1.2.2 of this guide.

Please ensure that all file names<sup>36</sup> contain the 'Proposal Short Name', such as:

- *PartB1\_[Proposal-Short-Name].pdf*
- *Host-Letter\_[Proposal-Short-Name].pdf*

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<sup>36</sup> Please note that filenames cannot exceed 75 characters long including the file extension.

**Box 8: Proposal submission - important to know:**

- Proposals cannot be submitted without prior registration, which is required to obtain an EPSS login name and password.
- Proposals sent by means other than EPSS will not be accepted.
- Up to the call deadline, it is possible to modify a proposal simply by submitting a new version. So long as the call has not yet closed, the new submission will overwrite the old one.
- **After the call deadline no updates of the proposal will be accepted. Only the material that the proposal contains within the given page limits while respecting the indicated layout parameters will be evaluated.**
- Submission is deemed to occur only if the submission sequence described in point 1.2.2.2 has been followed.
- Proposals are kept under secure conditions at all times. When no longer needed, all copies are destroyed except those required for archiving and/or auditing purposes.
- In some rare occasions the proposal may be altered while in transit on the Internet. To check that the uploaded proposal has been received unaltered, please download and verify all uploaded files.

**1.2.4.2 Has my proposal been received by the ERCEA?**

If the submission is technically successful, the applicant receives an automatic computer-generated acknowledgement from EPSS. Acknowledgement of receipt is subsequently provided by e-mail after the call deadline.

**Once submitted, it is recommended to verify the proposal and its content by downloading all the submitted files.**

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

**1.2.4.3 How do I modify or withdraw a proposal?**

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

**The last version of your proposal submitted before the deadline is the one which will be evaluated, and no later material can be submitted. Once the deadline has passed, the ERCEA cannot accept any further additions, corrections or re-submissions.** However a read-only access to the submitted proposal is granted in case the PI wishes to verify what has been submitted. This option is available for 30 days after the call deadline.

**Proposals may be withdrawn before the call deadline** by submitting a revised version of the administrative form A, with the following words entered into the abstract field:

*"The applicant wishes to withdraw this proposal. It should not be evaluated by the ERC".*

A proposal may be **withdrawn after the call deadline** until the ERCEA has notified the PI of the final outcome of the peer review evaluation. The withdrawal of a proposal must be done

by sending a signed letter to: European Research Council Executive Agency (ERCEA)/ Unit B3, COV2 21/127, BE-1049 Brussels, Belgium.

**Please consult regularly the Participant Portal for updated information or contact the EPSS HELPDESK by e-mail, or by phone +32 2233 3760.**

## 1.3 Evaluation and selection of grant proposals<sup>37</sup>

### 1.3.1 Eligibility Check

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

A proposal must fulfil all of the following eligibility criteria:

- It must be submitted before the deadline of the appropriate domain of the primary ERC panel. In case of the PI indicating 2 panels, the proposal must be submitted before the deadline of the primary panel (see point 1.2.1 of this guide).
- It must be submitted to an appropriate ERC panel (i.e. a panel, which is covering the main scientific areas of the research proposal, see point 1.3.2 and Annex 1 to this guide).
- It must be complete (i.e. all of the requested forms, parts or sections of the proposal, and supporting documents must be completed or present).
- Its content must relate to the ERC grant scheme which is subject of the call for proposals.
- It must meet the eligibility requirements of the ERC Advanced Grant scheme as well as other criteria mentioned in the relevant call for proposals.
- It must be in compliance with the restrictions on applications rules (see point 1.1.1 of this guide).

Where there is a doubt on the eligibility of a proposal, the peer review evaluation may proceed with the evaluation pending a decision by an eligibility review committee.

The eligibility is checked on the basis of the information given by the PI in the proposal. If at a later stage, an eligibility criterion is found not to be fulfilled (for example, due to incorrect or misleading information), the proposal will be immediately declared ineligible.

### 1.3.2 Peer review evaluation of proposals

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

Grant applications are assessed by peer review evaluation panels (ERC panels), which may be supported by additional remote reviewers. These ERC panels assess, score and rank the proposals on the basis of the individual evaluations and on the panel discussion which follows them.

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<sup>37</sup> The Guide for ERC Peer Reviewers provides detailed information on ERC peer review evaluation and project selection processes. See ERC website at <http://erc.europa.eu/document-library>

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

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

### 1.3.2.1 What are the ERC evaluation panels?

The peer review evaluation of ERC Advanced Grant proposals is in the hands of 25 peer review evaluation panels (ERC panels), covering all fields of science, engineering and scholarship, which for operational reasons are subdivided into three main research domains:

- |  |                  |
|--|------------------|
| ▪ <b>Physical Sciences and Engineering</b> | <b>10 Panels</b> |
| ▪ <b>Life Sciences</b>                     | <b>9 Panels</b>  |
| ▪ <b>Social Sciences and Humanities</b>    | <b>6 Panels</b>  |

Details on the structure of the ERC panels are provided in Annex 1. The panel chair and members have been proposed by the ERC Scientific Council on the basis of their scientific reputation. Before the deadline of a call, the names of the panel chairs are published on the ERC website. However, the names of panel members are published after the evaluation process is concluded.

Furthermore, the section 3.1.4 of the 2012 "Ideas" Work Programme, , provides the following indicative percentages for each of the three main research domains:

- |   |            |
|---|------------|
| ▪ <b>Physical Sciences &amp; Engineering:</b> | <b>44%</b> |
| ▪ <b>Life Sciences:</b>                       | <b>39%</b> |
| ▪ <b>Social Sciences &amp; Humanities:</b>    | <b>17%</b> |

**Research proposals of a multi and inter disciplinary nature are strongly encouraged throughout the ERC's schemes.** Proposals of this type are evaluated by the ERC's regular panels with the appropriate external expertise (see section 5.6 in the 2012 "Ideas" Work Programme).

### 1.3.2.2 Two-step peer review evaluation

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

#### **Proposal allocation to an ERC panel:**

It is the PI's responsibility to choose and indicate the most relevant ERC panel ('primary evaluation panel') for the evaluation of the proposed research (administrative form A1, see point 1.2.3.1 of this guide), and indicate one or more panel descriptors (i.e. ERC keywords representing the research fields involved, see Annex 1). The initial allocation of the proposals to the various panels will be based on the expressed preference of the PI. On its own initiative or in case that the PI has indicated a secondary evaluation panel, the primary panel will determine whether the proposal is indeed cross-panel or cross-domain and, if this is confirmed, the panel may request additional reviews by appropriate members of other panel(s) or additional referees. The composition of the ERC evaluation



panels is by nature multi-disciplinary and therefore some multidisciplinary proposals may be properly evaluated within the main panel. **Although the initial allocation is based on the preference of the PI, when necessary due to the expertise required for the evaluation, a proposal may be reallocated to a different Panel based on the agreement of both Panel Chairs concerned.**

#### Step 1:

Proposals which fulfil the eligibility criteria are evaluated by the ERC panels, which in step 1 assess, score and comment **only on the quality of Part B Section 1 (B1)** of the proposal. The assignment of proposals to panel members will be made by the panel chairs with the aid, if necessary, of the panel descriptors (i.e. ERC keywords) indicated by the PI in the proposal (administrative form A1). The ERCEA ensures that each proposal is assessed by at least three reviewers.

The proposals are first evaluated by panel members. At this point, panel members are acting individually; they do not discuss the proposal with each other, nor with any other person. The panel members record their opinions in individual reports, giving scores and comments against the evaluation criteria (see below, point 1.3.4).

After the completion of the individual reviews, the panels meet to discuss and assess the proposals based on the evaluation criteria, arbitrate controversial opinions in individual reviews, and establish a ranking list of proposals which are:

- of sufficient quality to pass to Step 2 of the evaluation (scored A);
- of high quality but not sufficient to pass to Step 2 of the evaluation (scored B);
- of insufficient quality to pass to Step 2 of the evaluation (scored C). The applicant may also be subject to resubmission limitations in the next call<sup>38</sup>

Proposals will be retained for Step 2 based on the ranked list and the determined budgetary cut-off level. Each panel will determine its budgetary cut-off level as a multiple of its indicative budget. The budgetary cut-off level may be set by each panel anywhere up to 3 times the panel's indicative budget.

Applicants whose proposals do not meet the sufficient quality to pass to Step 2 of the evaluation will be informed accordingly.

#### Step 2:

At step 2 **Part B Section 1 and 2 (B1 and B2)** are evaluated.

Remote referees and panel members provide individual assessments on a proposal-by-proposal basis working independently and remotely. Then, during the step 2 meeting, panels discuss and assess the proposals. The final decision of the panel is based upon the opinions from the individual reviews and the following panel discussion.

After a panel discussion, where the controversial opinions are arbitrated and a decision is reached, a ranking list is established, consisting of proposals that

- fully meet the ERC's excellence criterion and are recommended for funding if sufficient funds are available (scored A);

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<sup>38</sup> Applicants will need to check restrictions in place for each call in the relevant ERC Work Programme

- meet some but not all elements of the ERC's excellence criterion and will not be funded (scored B).

### 1.3.3 Ethics review

The objective of the ethics review is to ensure that the ERC does not support research which would be contrary to fundamental ethical principles (see Box 3 and Annex 2 to this guide) and to examine whether the research complies with the rules relating to research ethics set out in the Seventh Framework Programme and the related statement of the Commission, the Rules for Participation and the Specific Programme 'Ideas'. After the peer review evaluation and before any funding decision is taken, all proposals retained for funding will undergo an ethical clearance. The proposals involving sensitive ethical issues will undergo an ethics review.

### 1.3.4 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 detailed elements applying to the 2 sections of the proposal are specified in the 2012 "Ideas" Work Programme– section 5.7, and reproduced here below:

#### **1. Principal Investigator**

##### ***Intellectual capacity and creativity:***

*To what extent is the Principal Investigator's record of research, collaborations, project conception, supervision of students and publications ground-breaking and demonstrative of independent creative thinking and the capacity to go significantly beyond the state of the art?*

##### ***Commitment:***

*Is the Principal Investigator strongly committed to the project and willing to devote a significant amount of time to it (they will be expected to devote at least 30% of their total working time to the ERC-funded project and spend at least 50% of their total working time in an EU Member State or Associated Country)? (assessed at step 2)*

#### **2. Research project**

##### ***Ground-breaking nature and potential impact of the research:***

*To what extent does the proposed research address important challenges at the frontiers of the field(s) addressed?*

*To what extent does it have suitably ambitious objectives, which go substantially beyond the current state of the art (e.g. including inter- and trans-disciplinary developments and novel or unconventional concepts and/or approaches)?*

### **Methodology:**

*To what extent does the possibility of a major breakthrough with an impact beyond a specific research domain/discipline justify any highly novel and/or unconventional methodologies ("high-gain/high-risk balance")?*

*To what extent is the outlined scientific approach feasible? (assessed at step 1)*

*To what extent is the proposed research methodology (including the proposed timescales and resources) appropriate to achieve the goals of the project? To what extent are the resources requested necessary and properly justified? (assessed at step 2)*

*If it is proposed that team members engaged by another Host Institution participate in the project is their participation fully justified by the scientific added value they bring to the project? (assessed at step 2)*

It is of crucial importance that the ERC evaluation procedure is gender fair. It has therefore been carefully designed to identify scientific excellence irrespective of gender, and to take career breaks as well as unconventional research career paths into account. The outcome of each ERC evaluation is analysed with respect to submission and success rates of women and men. Please see the ERC Gender equality plan for more information ([http://erc.europa.eu/sites/default/files/document/file/erc\\_scc\\_gender\\_equality\\_plan\\_2007\\_2013.pdf](http://erc.europa.eu/sites/default/files/document/file/erc_scc_gender_equality_plan_2007_2013.pdf)).

### **Outcome of evaluation**

At each evaluation step, each proposal will be evaluated and marked for each of the two main elements of the proposal (Principal Investigator and research project).

At the end of each evaluation step, the proposals will be ranked by the panels on the basis of the marks they have received and the panels' overall appreciation of their strengths and weaknesses. At the end of **step 1** of the evaluation, on the basis of the assessment of part B-section 1 of the proposal, applicants will be informed that their proposal:

- A. is of sufficient quality to pass to Step 2 of the evaluation;
- B. is of high quality but not sufficient to pass to Step 2 of the evaluation;
- C. is not of sufficient quality to pass to Step 2 of the evaluation. The applicants may also be subject to resubmission limitations in the next call.

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

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

The evaluation panels may review the level of the requested budget and, as appropriate, suggest adjustments (please see 2012 "Ideas" Work Programme– section 3.1.2).

In addition, at the end of both steps applicants receiving the communication about the final outcome of the evaluation will be told the ranking range of their proposal out of the proposals evaluated by the panel.

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

### 1.3.5 Feedback to applicants

Official communications and feedbacks from the ERCEA to the PI and the applicant legal entity (HI) might be done via an ERCEA secured web-mail account. At the time of the first communication or feedback, the PI and the applicant legal entity's contact person will receive an activation email (at the address *Email 1* provided in *form A1*) inviting them to activate their ERC web-mail account. Following this first activation the ERC web-mail account will be maintained for any further communications or feedback.

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

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

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

#### Redress

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

Such requests for redress should be raised within one month of the date of the feedback on the outcome of the peer review evaluation sent by the ERC Executive Agency, and should be introduced via the web-based mailing system at

[http://cordis.europa.eu/fp7/ideas/redress\\_en.html](http://cordis.europa.eu/fp7/ideas/redress_en.html).

Requests must be:

- related to the peer review evaluation process, or eligibility checks, for the call and funding scheme in question;

- set out using the online form via the above-mentioned web-based mailing system, including a clear description of the grounds for complaint;
- received within the time limit specified on the information letter;
- sent by the PI and/or the PI's Host Institution (as the applicant legal entity).

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

A redress committee of the ERC Executive Agency may be convened to examine the peer review evaluation process for the case in question. The redress committee will bring together staff of the ERCEA with the requisite scientific/technical and legal expertise. The committee's role is to ensure a coherent interpretation of requests, and equal treatment of applicants. The redress committee itself, however, does not re-evaluate the proposal. Depending on the nature of the complaint, the committee may review the evaluation report, the individual comments and examine the CVs of the experts. In the light of its review, the committee will recommend a course of action to the ERC Executive Agency. If there is clear evidence of a shortcoming that could affect the eventual funding decision, it is possible that all or part of the proposal will be re-evaluated. Unless there is clear evidence of a shortcoming there will be no follow-up or re-evaluation.

Please note:

- This procedure is concerned with the peer review evaluation and/or eligibility checking process.
- The **committee will not call into question the scientific judgment** of the individual peer reviewers, who are appropriately qualified experts.
- A re-evaluation will only be carried out if there is evidence of a shortcoming that affects the quality assessment of a proposal. This means, for example, that a problem relating to one evaluation criterion will not lead to a re-evaluation if a proposal has failed anyway on the other criteria.
- The evaluation score following any re-evaluation will be regarded as definitive. It may be lower than the original score.
- Only one request for redress per proposal will be considered by the committee.
- All requests for redress will be treated confidentially.

## **2 : Managing ERC grants**

## 2.1 Preparation of a grant agreement<sup>39</sup>

The ERC Executive Agency prepares grant agreements for projects on the basis of the proposal and the recommendations of the ERC panel. The grant preparation involves no negotiation of scientific/technical substance. Applicant legal entities and PIs are expected to provide, if requested, further information on the project and its envisaged management in view of the rules applicable to ERC grants and if needed on the legal and financial capacity of the legal applicant entity.

Additionally to the standard text of the grant agreement the Host Institution and the PI shall conclude a 'Supplementary Agreement' to ensure the minimum requirements for the project implementation, such as the Host Institution's commitment to grant the PI the requisite basic support and the independence to manage the research funding for the duration of the project, amongst others. Any provisions of the supplementary agreement<sup>40</sup> which are not in accordance with the ERC grant agreement shall be deemed to be void for the purposes of the ERC grant agreement.

The start of the project normally takes place the first calendar day of the month following conclusion of the grant agreement. Due to the ground-breaking nature of frontier research projects, it is expected that all projects start within 6 months from the invitation to initiate the preparation of the granting process. ERCEA reserves the right to cancel a grant if the proposed start date goes beyond this limit.

## 2.2 Flexibility within an ERC grant agreement

### 2.2.1 Change of scientific strategy and/or objectives

The PI is expected to carry out the project as described in the grant agreement, however, it is possible to adjust the scientific strategy and reallocate expenditure (e.g. regarding staff, equipment, consumables) accordingly, provided the research performed is still in line with the original scientific or scholarly objectives.

### 2.2.2 Grant portability

It is expected that the PI establishes and concludes the funded research project in association with the original Host Institution (applicant legal entity). However, the ERC grant scheme allows PIs having received a frontier research grant to transfer their projects from one host to another in the course of the project. The PI should then present the reasons<sup>41</sup> for wishing to move to another institution. In many cases, in order to facilitate mobility of researchers, when there is a common agreement between the PI and the original and the

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<sup>39</sup> Detailed information and documentation, including the template structures and forms for financial and scientific reporting are provided in the ERC Guidance Notes for preparing the Grant Agreement available at <http://erc.europa.eu/document-library> (Document Library/Information for Applicants/Guides and Rules).

<sup>40</sup> See template with minimum requirements available at <http://erc.europa.eu/document-library> (Document Library/Information for Applicants/Grant Agreement).

<sup>41</sup> This may, for example be necessary if the provisions for the PI's leadership of the research have not been respected.

new Host Institutions, such a request will be dealt with by the ERC Executive Agency in a straightforward manner<sup>42,43</sup>.

The original Host Institution is expected to transfer funds other than those that have already been consumed or irretrievably committed to resources required for the project (on personnel, consumables, etc). It is expected to take all reasonable steps to transfer equipment and other purchases made for the benefit of the project, such that the aims of the project can be secured<sup>44</sup>.

If more than one beneficiary is involved in the project, only that part of the grant that is assigned to the Host Institution of the PI is transferable (unless otherwise agreed with the other beneficiaries).

## **2.3 Project progress reporting**

Project reporting is carried out in two streams: scientific reporting (for which the PI is responsible) and financial management reporting including use of resources (for which the Host Institution is responsible).

### **2.3.1 Scientific reporting**

PIs are required to send scientific reports to the ERC Executive Agency (mid-term and at the end of the project). These reports inform the ERCEA on progress and achievements of the project. Specific outputs from the project should be included (e.g. publications).

The scientific reports may be subject to review by a pertinent scientific review panel convened by the ERCEA, which may also involve site visits. The review panel will make recommendations as to the future course of the project.

### **2.3.2 Financial management reporting**

The Host Institution is required to send periodic financial management reports (normally every 18 months) justifying the use of any expenditure. Declarations of costs exceeding a cumulative total of EUR 375 000 must be accompanied by a certificate on financial statements. Where the project involves more than one legal entity, the Host Institution must provide a consolidated cost claim.

Applicants are reminded that the Commission's Research DGs have adopted a new and reinforced audit strategy aimed at detecting and correcting errors in cost claims submitted in projects on the basis of professional auditing standards. As a result, the number of audits and participants audited will increase significantly and the Commission's services will assure appropriate mutual exchange of information within its relevant internal departments in order to fully coordinate any corrective actions to be taken in a consistent way. More information can be found here: [http://cordis.europa.eu/audit-certification/home\\_en.html](http://cordis.europa.eu/audit-certification/home_en.html)

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<sup>42</sup> However, in some cases, only after a careful analysis of the request by the ERC Executive Agency, which may involve a review of the project, will the PI be entitled to request transfer of the remainder of the grant to the new Host Institution.

<sup>43</sup> This would not normally be done within the first two years of the start of the project.

<sup>44</sup> In some countries, equipment is formally owned by the State and the consent of the Host Institution alone may not be sufficient.



## 2.4 Payment of ERC grants

Grants are paid in several instalments: an advance payment (as pre-financing) is made within a maximum of 45 days of the date of entry into force of the ERC grant agreement. Interim payments are made on the basis of actual expenditures accepted for each financial management reporting period.

The total amount of the pre-financing and the interim payments paid out to the beneficiary shall not exceed 85% of the maximum amount of the financial contribution attributed to the project.

A final payment is made corresponding to the last financial management reporting period plus any adjustment needed.

## 2.5 Publication and exploitation of results

### 2.5.1 Acknowledging ERC support

Whenever achievements resulting from ERC-funded research are published (such as in journals, patents, presentations, etc.) the PI should highlight the ERC's financial support under the Seventh Framework Programme. This may imply a written acknowledgment and/or the application of the ERC logo and the European emblem:

*“The research leading to these results has received funding from the European Research Council under the European Union's Seventh Framework Programme (FP7/2007-2013) / ERC Grant agreement n° [xxxxxx]”*

For downloading the image files of the ERC logo and the European emblem, please consult <http://erc.europa.eu/logos-and-banners>.

### 2.5.2 Dissemination, exploitation and IPR

A strategy to disseminate and exploit project results should be developed, with due regard to applicable local and national regulations and the rules regarding Intellectual Property Rights described in detail in the ERC grant agreement.

The ERC Executive Agency may publish information on projects which it supports financially. This could include the name of the PI and Host Institution, the project's objectives, the amount of funding awarded, and the location of the project and the project reports. However, in clearly justified cases, the Host Institution may request that the ERC Executive Agency does not make this information public.

## 2.6 Further information and support

General information and key documents are available on the **ERC website** at <http://erc.europa.eu>, and the Research & Innovation Participant portal at <http://ec.europa.eu/research/participants/portal/page/home>. The ERC website also includes 'Frequently Asked Questions'.

As with other parts of the Seventh Framework Programme, **National Contact Points (ERC NCPs)** have been set up across Europe by the national governments to provide information and personalised support to ERC applicants in their native language. The mission of the

ERC NCPs is to raise awareness, inform and advise on ERC funding opportunities as well as to support potential applicants in the preparation, submission and follow-up of ERC grant applications<sup>45</sup>. For details on the ERC NCP in your country please consult the ERC website at <http://erc.europa.eu/national-contact-points>.

Technical questions related to the Electronic Proposal Submission Service (EPSS) should be directed to the **EPSS Helpdesk** by e-mail [support@epss-fp7.org](mailto:support@epss-fp7.org), by phone +32-2-233 3760 or via the Participant Portal<sup>46</sup>. A general **FP7 Helpdesk** is also available and accessible via the Europe Direct Contact Centre at <http://ec.europa.eu/research/index.cfm?pg=enquiries>

**Information events** (seminars, conferences, exhibitions) on the ERC or with participation of ERC speakers are published on the ERC website.

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<sup>45</sup> Note: The ERC will provide the coordinating NCP organisations with information and statistics on the outcome of calls and the evaluation of each proposal. This information is given under strict conditions of confidentiality and allows NCP organisations to customise their service.

<sup>46</sup> <http://ec.europa.eu/research/participants/portal/page/support>

## **3 : Annexes**

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

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

The panel names are accompanied by a list of panel descriptors (i.e. ERC keywords) indicating the fields of research covered by the respective ERC panels.

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

### **Social Sciences and Humanities**

<b>SH1 Individuals, institutions and markets:</b> economics, finance and management	
SH1_1	Macroeconomics, business cycles
SH1_2	Development, economic growth
SH1_3	Microeconomics, institutional economics
SH1_4	Econometrics, statistical methods
SH1_5	Financial markets, asset prices, international finance
SH1_6	Banking, corporate finance, accounting
SH1_7	Competitiveness, innovation, research and development
SH1_8	Consumer choice, behavioural economics, marketing
SH1_9	Organization studies, strategy
SH1_10	Human resource management, labour economics
SH1_11	Public economics, political economics, public administration
SH1_12	Income distribution, poverty
SH1_13	International trade, economic geography
SH1_14	History of economics and economic thought, quantitative and institutional economic history
<b>SH2 Institutions, values, beliefs and behaviour:</b> sociology, social anthropology, political science, law, communication, social studies of science and technology	
SH2_1	Social structure, inequalities, social mobility, interethnic relations
SH2_2	Ageing, work, social policies, welfare
SH2_3	Kinship, cultural dimensions of classification and cognition, identity, gender
SH2_4	Myth, ritual, symbolic representations, religious studies
SH2_5	Democratization, social movements
SH2_6	Violence, conflict and conflict resolution
SH2_7	Political systems and institutions, governance
SH2_8	Legal theory, legal systems, constitutions, comparative law
SH2_9	Global and transnational governance, international studies, human rights
SH2_10	Communication networks, media, information society
SH2_11	Social studies of science and technology, science, technology and innovation policies

**SH3 Environment, space and population:** environmental studies, demography, social geography, urban and regional studies

- SH3\_1 Environment, resources and sustainability
- SH3\_2 Environmental change and society
- SH3\_3 Environmental regulations and climate negotiations
- SH3\_4 Social and industrial ecology
- SH3\_5 Population dynamics, health and society
- SH3\_6 Families and households
- SH3\_7 Migration
- SH3\_8 Mobility, tourism, transportation and logistics
- SH3\_9 Spatial development, land use, regional planning
- SH3\_10 Urbanization, cities and rural areas
- SH3\_11 Infrastructure, human and political geography, settlements
- SH3\_12 Geo-information and spatial data analysis

**SH4 The Human Mind and its complexity:** cognition, psychology, linguistics, philosophy and education

- SH4\_1 Evolution of mind and cognitive functions, animal communication
- SH4\_2 Human life-span development
- SH4\_3 Neuropsychology and clinical psychology
- SH4\_4 Cognitive and experimental psychology: perception, action, and higher cognitive processes
- SH4\_5 Linguistics: formal, cognitive, functional and computational linguistics
- SH4\_6 Linguistics: typological, historical and comparative linguistics
- SH4\_7 Psycholinguistics and neurolinguistics: acquisition and knowledge of language, language pathologies
- SH4\_8 Use of language: pragmatics, sociolinguistics, discourse analysis, second language teaching and learning, lexicography, terminology
- SH4\_9 Philosophy, history of philosophy
- SH4\_10 Epistemology, logic, philosophy of science
- SH4\_11 Ethics and morality, bioethics
- SH4\_12 Education: systems and institutions, teaching and learning

**SH5 Cultures and cultural production:** literature, visual and performing arts, music, cultural and comparative studies

- SH5\_1 Classics, ancient Greek and Latin literature and art
- SH5\_2 History of literature
- SH5\_3 Literary theory and comparative literature, literary styles
- SH5\_4 Textual philology and palaeography
- SH5\_5 Visual arts
- SH5\_6 Performing arts
- SH5\_7 Museums and exhibitions
- SH5\_8 Music and musicology, history of music
- SH5\_9 History of art and history of architecture
- SH5\_10 Cultural studies, cultural diversity
- SH5\_11 Cultural heritage, cultural memory

**SH6 The study of the human past:** archaeology, history and memory

- SH6\_1 Archaeology, archaeometry, landscape archaeology
- SH6\_2 Prehistory and protohistory

SH6_3	Ancient history
SH6_4	Medieval history
SH6_5	Early modern history
SH6_6	Modern and contemporary history
SH6_7	Colonial and post-colonial history, global and transnational history
SH6_8	Social and economic history
SH6_9	History of ideas, intellectual history, history of sciences and techniques
SH6_10	Cultural history
SH6_11	History of collective identities and memories, history of gender
SH6_12	Historiography, theory and methods of history

## Physical Sciences and Engineering

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

- PE1\_1 Logic and foundations
- PE1\_2 Algebra
- PE1\_3 Number theory
- PE1\_4 Algebraic and complex geometry
- PE1\_5 Geometry
- PE1\_6 Topology
- PE1\_7 Lie groups, Lie algebras
- PE1\_8 Analysis
- PE1\_9 Operator algebras and functional analysis
- PE1\_10 ODE and dynamical systems
- PE1\_11 Theoretical aspects of partial differential equations
- PE1\_12 Mathematical physics
- PE1\_13 Probability
- PE1\_14 Statistics
- PE1\_15 Discrete mathematics and combinatorics
- PE1\_16 Mathematical aspects of computer science
- PE1\_17 Numerical analysis
- PE1\_18 Scientific computing and data processing
- PE1\_19 Control theory and optimization
- PE1\_20 Application of mathematics in sciences
- PE1\_21 Application of mathematics in industry and society life

**PE2 Fundamental constituents of matter:** particle, nuclear, plasma, atomic, molecular, gas, and optical physics

- PE2\_1 Fundamental interactions and fields
- PE2\_2 Particle physics
- PE2\_3 Nuclear physics
- PE2\_4 Nuclear astrophysics
- PE2\_5 Gas and plasma physics
- PE2\_6 Electromagnetism
- PE2\_7 Atomic, molecular physics
- PE2\_8 Ultra-cold atoms and molecules
- PE2\_9 Optics, non-linear optics and nano-optics
- PE2\_10 Quantum optics and quantum information

- PE2\_11 Lasers, ultra-short lasers, and laser physics
- PE2\_12 Acoustics
- PE2\_13 Relativity
- PE2\_14 Thermodynamics
- PE2\_15 Non-linear physics
- PE2\_16 General physics
- PE2\_17 Metrology and measurement
- PE2\_18 Statistical physics (gases)

**PE3 Condensed matter physics:** structure, electronic properties, fluids, nanosciences

- PE3\_1 Structure of solids and liquids
- PE3\_2 Mechanical and acoustical properties of condensed matter
- PE3\_3 Thermal properties of condensed matter
- PE3\_4 Transport properties of condensed matter
- PE3\_5 Electronic properties of materials and transport
- PE3\_6 Lattice dynamics
- PE3\_7 Semiconductors, material growth, physical properties
- PE3\_8 Superconductivity
- PE3\_9 Superfluids
- PE3\_10 Spintronics
- PE3\_11 Magnetism
- PE3\_12 Electro-optics
- PE3\_13 Nanophysics: nanoelectronics, nanophotonics, nanomagnetism
- PE3\_14 Mesoscopic physics
- PE3\_15 Molecular electronics
- PE3\_16 Soft condensed matter (liquid crystals...)
- PE3\_17 Fluid dynamics (physics)
- PE3\_18 Statistical physics (condensed matter)
- PE3\_19 Phase transitions, phase equilibria
- PE3\_20 Biophysics

**PE4 Physical and analytical chemical sciences:** analytical chemistry, chemical theory, physical chemistry/chemical physics

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

- PE4\_17 Corrosion
- PE4\_18 Characterization methods of materials

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

- PE5\_1 Structural properties of materials
- PE5\_2 Solid state materials
- PE5\_3 Surface modification
- PE5\_4 Thin films
- PE5\_5 Ionic liquids
- PE5\_6 New materials: oxides, alloys, composite, organic-inorganic hybrid, nanoparticles
- PE5\_7 Biomaterials synthesis
- PE5\_8 Intelligent materials – self assembled materials
- PE5\_9 Environment chemistry
- PE5\_10 Coordination chemistry
- PE5\_11 Colloid chemistry
- PE5\_12 Biological chemistry
- PE5\_13 Chemistry of condensed matter
- PE5\_14 Homogeneous catalysis
- PE5\_15 Macromolecular chemistry
- PE5\_16 Polymer chemistry
- PE5\_17 Supramolecular chemistry
- PE5\_18 Organic chemistry
- PE5\_19 Molecular chemistry
- PE5\_20 Combinatorial chemistry

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

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

**PE7 Systems and communication engineering:** electronic, communication, optical and systems engineering

- PE7\_1 Control engineering



- PE7\_2 Electrical and electronic engineering: semiconductors, components, systems
- PE7\_3 Simulation engineering and modelling
- PE7\_4 Systems engineering, sensorics, actorics, automation
- PE7\_5 Micro- and nanoelectronics, optoelectronics
- PE7\_6 Communication technology, high-frequency technology
- PE7\_7 Signal processing
- PE7\_8 Networks (communication networks, sensor networks, networks of robots.....)
- PE7\_9 Man-machine-interfaces
- PE7\_10 Robotics

**PE8 Products and processes engineering:** product design, process design and control, construction methods, civil engineering, energy systems, material engineering

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

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

- PE9\_1 Solar and interplanetary physics
- PE9\_2 Planetary systems sciences
- PE9\_3 Interstellar medium
- PE9\_4 Formation of stars and planets
- PE9\_5 Astrobiology
- PE9\_6 Stars and stellar systems
- PE9\_7 The Galaxy
- PE9\_8 Formation and evolution of galaxies
- PE9\_9 Clusters of galaxies and large scale structures
- PE9\_10 High energy and particles astronomy – X-rays, cosmic rays, gamma rays, neutrinos
- PE9\_11 Relativistic astrophysics
- PE9\_12 Dark matter, dark energy
- PE9\_13 Gravitational astronomy
- PE9\_14 Cosmology
- PE9\_15 Space Sciences
- PE9\_16 Very large data bases: archiving, handling and analysis
- PE9\_17 Instrumentation - telescopes, detectors and techniques

**PE10 Earth system science:** physical geography, geology, geophysics, atmospheric sciences, oceanography, climatology, ecology, global environmental change, biogeochemical cycles, natural resources management

PE10\_1 Atmospheric chemistry, atmospheric composition, air pollution

PE10\_2 Meteorology, atmospheric physics and dynamics

PE10\_3 Climatology and climate change

PE10\_4 Terrestrial ecology, land cover change,

PE10\_5 Geology, tectonics, volcanology,

PE10\_6 Paleoclimatology, paleoecology

PE10\_7 Physics of earth's interior, seismology, volcanology

PE10\_8 Oceanography (physical, chemical, biological, geological)

PE10\_9 Biogeochemistry, biogeochemical cycles, environmental chemistry

PE10\_10 Mineralogy, petrology, igneous petrology, metamorphic petrology

PE10\_11 Geochemistry, crystal chemistry, isotope geochemistry, thermodynamics,

PE10\_12 Sedimentology, soil science, palaeontology, earth evolution

PE10\_13 Physical geography

PE10\_14 Earth observations from space/remote sensing

PE10\_15 Geomagnetism, paleomagnetism

PE10\_16 Ozone, upper atmosphere, ionosphere

PE10\_17 Hydrology, water and soil pollution

## Life Sciences

**LS1 Molecular and Structural Biology and Biochemistry:** molecular biology, biochemistry, biophysics, structural biology, biochemistry of signal transduction

LS1\_1 Molecular biology and interactions

LS1\_2 General biochemistry and metabolism

LS1\_3 DNA synthesis, modification, repair, recombination and degradation

LS1\_4 RNA synthesis, processing, modification and degradation

LS1\_5 Protein synthesis, modification and turnover

LS1\_6 Biophysics

LS1\_7 Structural biology (crystallography, NMR, EM)

LS1\_8 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

LS2\_1 Genomics, comparative genomics, functional genomics

LS2\_2 Transcriptomics

LS2\_3 Proteomics

LS2\_4 Metabolomics

LS2\_5 Glycomics

LS2\_6 Molecular genetics, reverse genetics and RNAi

LS2\_7 Quantitative genetics

LS2\_8 Epigenetics and gene regulation

LS2\_9 Genetic epidemiology

LS2\_10 Bioinformatics

- LS2\_11 Computational biology
- LS2\_12 Biostatistics
- LS2\_13 Systems biology
- LS2\_14 Biological systems analysis, modelling and simulation

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

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

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

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

**LS5 Neurosciences and neural disorders:** neurobiology, neuroanatomy, neurophysiology, neurochemistry, neuropharmacology, neuroimaging, systems neuroscience, neurological disorders, psychiatry

- LS5\_1 Neuroanatomy and neurophysiology
- LS5\_2 Molecular and cellular neuroscience
- LS5\_3 Neurochemistry and neuropharmacology
- LS5\_4 Sensory systems (e.g. visual system, auditory system)
- LS5\_5 Mechanisms of pain
- LS5\_6 Developmental neurobiology
- LS5\_7 Cognition (e.g. learning, memory, emotions, speech)
- LS5\_8 Behavioral neuroscience (e.g. sleep, consciousness, handedness)
- LS5\_9 Systems neuroscience
- LS5\_10 Neuroimaging and computational neuroscience
- LS5\_11 Neurological disorders (e.g. Alzheimer's disease, Huntington's disease, Parkinson's)

disease)

- LS5\_12 Psychiatric disorders (e.g. schizophrenia, autism, Tourette's syndrome, obsessive-compulsive disorder, depression, bipolar disorder, attention deficit hyperactivity disorder)

**LS6 Immunity and infection:** immunobiology, aetiology of immune disorders, microbiology, virology, parasitology, global and other infectious diseases, population dynamics of infectious diseases, veterinary medicine

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

- LS7\_1 Medical engineering and technology
- LS7\_2 Diagnostic tools (e.g. genetic, imaging)
- LS7\_3 Pharmacology, pharmacogenomics, drug discovery and design, drug therapy
- LS7\_4 Analgesia
- LS7\_5 Toxicology
- LS7\_6 Gene therapy, stem cell therapy, regenerative medicine
- LS7\_7 Surgery
- LS7\_8 Radiation therapy
- LS7\_9 Health services, health care research
- LS7\_10 Public health and epidemiology
- LS7\_11 Environment and health risks including radiation
- LS7\_12 Occupational medicine
- LS7\_13 Medical ethics

**LS8 Evolutionary, population and environmental biology:** evolution, ecology, animal behaviour, population biology, biodiversity, biogeography, marine biology, ecotoxicology, prokaryotic biology

- LS8\_1 Ecology (theoretical, community, population, microbial, evolutionary ecology)
- LS8\_2 Population biology, population dynamics, population genetics, plant-animal interactions
- LS8\_3 Systems evolution, biological adaptation, phylogenetics, systematics
- LS8\_4 Biodiversity, comparative biology
- LS8\_5 Conservation biology, ecology, genetics
- LS8\_6 Biogeography
- LS8\_7 Animal behaviour (behavioural ecology, animal communication)

- LS8\_8 Environmental and marine biology
- LS8\_9 Environmental toxicology
- LS8\_10 Prokaryotic biology
- LS8\_11 Symbiosis

**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

- LS9\_1 Genetic engineering, transgenic organisms, recombinant proteins, biosensors
- LS9\_2 Synthetic biology and new bio-engineering concepts
- LS9\_3 Agriculture related to animal husbandry, dairying, livestock raising
- LS9\_4 Aquaculture, fisheries
- LS9\_5 Agriculture related to crop production, soil biology and cultivation, applied plant biology
- LS9\_6 Food sciences
- LS9\_7 Forestry, biomass production (e.g. for biofuels)
- LS9\_8 Environmental biotechnology, bioremediation, biodegradation
- LS9\_9 Biotechnology (non-medical), bioreactors, applied microbiology
- LS9\_10 Biomimetics
- LS9\_11 Biohazards, biological containment, biosafety, biosecurity

## **ANNEX 2: ETHICAL ISSUES**

### **Annex 2a: Specific Information on Ethical Issues**

The objective of the ethics review is to ensure that the ERC does not support research which would be contrary to fundamental ethical principles (see Box 3) and to examine whether the research complies with the rules relating to research ethics set out in the Decisions on FP7 and the Ideas Specific Programme. All proposals retained for funding, regardless of the applicant having identified any ethical issues, will be reviewed concomitantly the peer review evaluation. The proposals identified as having ethical issues by the PI or during the ethics process (see Annex 2b) will undergo an ethics review that can take up to several weeks to be completed, according to the complexity and sensitivity of the issues involved. Applicants need to be aware that no grant agreement can be signed by the ERC EA prior to a satisfactory conclusion of the ethics review.

Proposals raising specific ethical issues such as research intervention on human beings<sup>47</sup>; research on human embryos and human embryonic stem cells and non-human primates are automatically submitted to a more in-depth ethics review.

#### **Ethical Issues Table and description of ethical issues in the research proposal, Part B Section 2 (B2)**

The Ethical Issues Table (see Annex 2b) has to be completed **even if there are no ethical issues** (simply confirming that none of the ethical issues apply to the proposal: in Part B Section 2 B2).

If the answer to any of the questions of the Ethical Issues Table is “YES”, the PI must provide a brief description of the ethical issues involved and how it will be dealt with appropriately on the **Ethical Issues Annex** provided in EPSS (together with the Part B Section 2 (B2) template). In particular, it should outline the **benefit** and **burden** of such research, the effects it may have and how the ethical issues will be managed.

The PI may wish to include copies of any existing authorisation for the proposed work (these copies do not count towards the page limit).

The following special issues, among others, should be taken into account:

**Informed consent:** When describing issues relating to informed consent, it will be necessary to demonstrate an appropriate level of ethical sensitivity and to consider issues of insurance, incidental findings and the consequences of withdrawing from the study.

**Data protection issues:** Avoid the unnecessary collection and use of personal data. Identify the source of the data, describing whether it is collected as part of the research or if previously collected data is being used. Consider issues of informed consent for any data being used. Describe how personal identification data is protected.

**Use of animals:** Where animals are used in research the application of the 3Rs (Replace, Reduce, Refine) must be convincingly addressed. The number of animals used should be specified. Describe what happens to the animals after the research experiments.

**Human embryonic stem cells:** Research proposals that will involve human embryonic stem cells (hESCs) will have to address all the following specific points:

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<sup>47</sup> Such as research and clinical trials, and research involving invasive techniques on persons (e.g. taking of tissue samples, examinations of the brain).

- the PI as well as, where appropriate, the Host Institution (the applicant legal entity) should demonstrate that the project fulfils important research aims to advance scientific knowledge in basic research or to increase medical knowledge for the development of diagnostic, preventive or therapeutic methods to be applied to humans.
- the necessity to use hESCs in order to achieve the scientific objectives set forth in the proposal. In particular, applicants must document that appropriate validated alternatives (in particular, stem cells from other sources or origins) are not suitable and/or available to achieve the expected goals of the proposal. This latter provision does not apply to research comparing hESCs with other human stem cells.
- the PI as well as the Host Institution (the applicant legal entity) should take into account the legislation, regulations, ethical rules and/or codes of conduct in place in the country(ies) where the research using hESC is to take place, including the procedures for obtaining informed consent;
- the PI as well as the Host Institution (the applicant legal entity) should ensure that for all hESC lines to be used in the project were derived from embryos
  - of which the donor(s) express, written and informed consent was provided freely, in accordance with national legislation prior to the procurement of the cells.
  - that result from medically-assisted *in vitro* fertilisation designed to induce pregnancy, and were no longer to be used for that purpose.
  - of which the measures to protect personal data and privacy of donor(s), including genetic data, are in place during the procurement and for any use thereafter. Researchers must accordingly present all data in such a way as to ensure donor anonymity;
  - of which the conditions of donation are adequate, and namely that no pressure was put on the donor(s) at any stage, that no financial inducement was offered to donation for research at any stage and that the infertility treatment and research activities were kept appropriately separate.

### **Ethical considerations when research field work is performed in non-EU Countries**

The proposed research is expected to be responsive to the needs of the country where research is carried out (e.g. the study must be of added value for the health and welfare of the intended participants, their community, and/or their country).

#### **Applicable legislation**

The PI as well as the applicant legal entity (HI) must abide by European standards of research ethics, as it is expressed in the applicable legislation / regulations of the host countries. They should also comply with internationally accepted guidance documents, such as the Declaration of Helsinki.

#### **Benefit sharing**

Research projects where possible, must seek to provide direct benefits to research participants and their community, and also for local researchers. The PI should address whether and how the research might impact on the local population.

#### **Healthy volunteers**

As healthy volunteers can represent a particularly vulnerable population in emerging economy - and developing countries, specific attention should be paid to ensure that they are able to provide genuine informed consent, and to ensure their safety.

**Data protection**

Data protection and privacy must be ensured, in compliance with EU/national legislation. If cross-country transmission is anticipated, a formal legal agreement, such as a Material Transfer Agreement or a Memorandum of Understanding is recommended so as to safeguard the rights of developing countries, but also those of the stakeholders of the developed country.

**Animal welfare**

Research projects must comply with the applicable EU/national legislation governing animal experimentation. The proposed research should also contribute to the capacity building of the host country (e.g. in terms of training on animal experiments and/or facilities).

Note: Only in exceptional cases additional information will be sought for clarification, which means that any ethics review will be performed **solely on the basis of the information available in the proposal**.

To ensure compliance with ethical principles, the Commission Services will undertake ethics audit(s) of selected projects at its discretion.

A dedicated website that aims to provide clear and helpful information on ethical issues is now available at: [http://cordis.europa.eu/fp7/ethics\\_en.html](http://cordis.europa.eu/fp7/ethics_en.html)



## Annex 2b: Ethical Issues Table (template)

### Areas Excluded From Funding Under FP7 (Art. 6)

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

All FP7 funded research shall comply with the relevant national, EU and international ethics-related rules and professional codes of conduct. Where necessary, the beneficiary(ies) shall provide the responsible Commission services with a written confirmation that it has received (a) favourable opinion(s) of the relevant ethics committee(s) and, if applicable, the regulatory approval(s) of the competent national or local authority(ies) in the country in which the research is to be carried out, before beginning any Commission approved research requiring such opinions or approvals. The copy of the official approval from the relevant national or local ethics committees must also be provided to the responsible Commission services.

	Research on Human Embryo/ Foetus	YES	Page
	Does the proposed research involve human Embryos?		
	Does the proposed research involve human Foetal Tissues/ Cells?		
	Does the proposed research involve human Embryonic Stem Cells (hESCs)?		
	Does the proposed research on human Embryonic Stem Cells involve cells in culture?		
	Does the proposed research on Human Embryonic Stem Cells involve the derivation of cells from Embryos?		
	I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		

	Research on Humans	YES	Page
	Does the proposed research involve children?		
	Does the proposed research involve patients?		
	Does the proposed research involve persons not able to give consent?		
	Does the proposed research involve adult healthy volunteers?		
	Does the proposed research involve Human genetic material?		
	Does the proposed research involve Human biological samples?		
	Does the proposed research involve Human data collection?		
	I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		

	<b>Privacy</b>	<b>YES</b>	<b>Page</b>
	Does the proposed research involve processing of genetic information or personal data (e.g. health, sexual lifestyle, ethnicity, political opinion, religious or philosophical conviction)?		
	Does the proposed research involve tracking the location or observation of people?		
	I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		

	<b>Research on Animals<sup>48</sup></b>	<b>YES</b>	<b>Page</b>
	Does the proposed research involve research on animals?		
	Are those animals transgenic small laboratory animals?		
	Are those animals transgenic farm animals?		
	Are those animals non-human primates?		
	Are those animals cloned farm animals?		
	I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		

	<b>Research Involving non-EU Countries (ICPC Countries<sup>49</sup>)<sup>50</sup></b>	<b>YES</b>	<b>Page</b>
	Is the proposed research (or parts of it) going to take place in one or more of the ICPC Countries?		
	Is any material used in the research (e.g. personal data, animal and/or human tissue samples, genetic material, live animals, etc) : a) Collected in any of the ICPC countries?		
	b) Exported to any other country (including ICPC and EU Member States)?		
	I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		

	<b>Dual Use</b>	<b>YES</b>	<b>Page</b>
	Research having direct military use		
	Research having the potential for terrorist abuse		
	I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		

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<sup>48</sup> The type of animals involved in the research that fall under the scope of the Commission's Ethical Scrutiny procedures are defined in the [Council Directive 86/609/EEC](#) of 24 November 1986 on the approximation of laws, regulations and administrative provisions of the Member States regarding the protection of animals used for experimental and other scientific purposes Official Journal L 358 , 18/12/1986 p. 0001 – 0028

<sup>49</sup> In accordance with Article 2.(12) of the Rules for Participation in FP7, 'International Cooperation Partner Country (ICPC) means a third country which the Commission classifies as a low-income (L), lower-middle-income (LM) or upper-middle-income (UM) country, please refer for this purpose to the list in Annex 1 to the Cooperation Work Programme 2011, as published on CORDIS: [ftp://ftp.cordis.europa.eu/pub/fp7/docs/wp/cooperation/cooperation-general-annexes201201\\_en.pdf](ftp://ftp.cordis.europa.eu/pub/fp7/docs/wp/cooperation/cooperation-general-annexes201201_en.pdf)Countries associated to the Seventh EC Framework Programme do not qualify as ICP Countries and therefore do not appear in this list.

<sup>50</sup> A guidance note on how to deal with ethical issues arising out of the involvement of non-EU countries is available at: [ftp://ftp.cordis.europa.eu/pub/fp7/docs/developing-countries\\_en.pdf](ftp://ftp.cordis.europa.eu/pub/fp7/docs/developing-countries_en.pdf)

**If any of the above issues apply to your proposal, you are required to complete and upload the "B2\_Ethical Issues Annex" (template provided).**

The **Ethical Issues Annex** (max 2 pages) must provide a brief explanation on the ethical issue involved and how it will be dealt with appropriately. Please specify as well any authorization or permission you already have for the proposed work and include copies (these copies do not count towards the 2-page-limit). The Ethical Issues Annex will allow a proper ethical screening if the proposal is chosen for possible funding. **Without it, your application cannot be reviewed properly.**

Please upload this Ethical Issues Annex and any related documents in the 'Extra Annexes Upload' section included in the EPSS tab 'Part B & Annexes'.

**The pages of the Ethical Issues Table (included in Part B Section 2 (B2) and Ethical Issues Annex (separate document) will not count towards the maximum page limit for Part B.**

## **Annex 3: Commitment of the Host Institution**

### **Commitment of the Host Institution**<sup>51, 52, 53</sup>

The name of the legal entity that is associated to the proposal and may host the Principal Investigator and the project in case the application is successful, which is the *applicant legal entity*, confirms its intention to sign a supplementary agreement with name of the Principal Investigator in which the obligations listed below will be addressed, should the proposal entitled acronym : title of the proposal be retained.

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

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

- a) ensure that the work will be performed under the scientific guidance of the *Principal Investigator* who is expected to devote:
  - *in the case of a Starting Grant* at least 50% of her/his working time to the ERC-funded project and spend at least 50% of her/his total working time in an EU Member State or associated country;
  - *in the case of an Advanced Grant* at least 30% of her/his working time to the ERC-funded project and spend at least 50% of her/his total working time in an EU Member State or associated country.
- b) carry out the work to be performed, as it will be identified in Annex I of the ERC Grant Agreement, taking into consideration the specific role of the *Principal Investigator*;
- c) establish a *supplementary agreement* with the *Principal Investigator* which specifies that the *applicant legal entity* shall:
  - i) support the *Principal Investigator* in the management of the *team* and provide reasonable administrative assistance to the *Principal Investigator*, in particular as regards:
    - a. the timeliness and clarity of financial information,
    - b. the general management and reporting of finances,
    - c. the advice on internal *applicant legal entity* strategies and *ERC Executive Agency or Commission* policies,

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<sup>51</sup> A scanned copy of the signed statement should be uploaded electronically on EPSS in PDF format. More information can be found in the Guide for Applicants on ERC Grant Schemes.

<sup>52</sup> The statement of commitment of the host institution refers to most obligations of the host institution, which are stated in the ERC grant agreement (see article II.2 of the grant agreement). The ERC grant agreement is available on the ERC website at <http://erc.europa.eu>.

<sup>53</sup> This statement (on letterhead paper) shall be signed by the institution's legal representative and stating his/her name, function, email address and stamp of the institution.

- d. the organisation of *project* meetings as well as the general logistics of the *project*.
- ii) provide research support to the *Principal Investigator* and his/her *team members* throughout the duration of the *project* in accordance with Annex I ERC Grant Agreement, in particular as regards infrastructure, equipment, products and other services as necessary for the conduct of the research;
- iii) ensure that the *Principal Investigator* and his/her *team members* enjoy, on a royalty-free basis, access rights to the *background* and the *foreground* needed for their activities under the *project* as specified in Annex I ERC Grant Agreement;
- iv) guarantee adequate contractual conditions to the *Principal Investigator*, in particular as regards:
  - a. the provisions for annual, sickness and parental leave,
  - b. occupational health and safety standards,
  - c. the general social security scheme, such as pension rights.
- v) ensure the necessary scientific autonomy of the *Principal Investigator*, in particular as regards:
  - a. the selection of other *team members*, hosted and engaged by the *applicant legal entity* or other legal entities, in line with profiles needed to conduct the research, including the appropriate advertisement;
  - b. the control over the budget in terms of its use to achieve the scientific objectives;
  - c. the authority to deliver scientific reports to the *ERC Executive Agency*;
  - d. the authority to publish as senior author and invite as co-authors only those who have contributed substantially to the reported work.
- vi) inform the *Principal Investigator* of any circumstances affecting the implementation of the *project* or leading potentially to a suspension or termination of the ERC Grant Agreement;
- vii) subject to the observance of applicable national law and to the agreement of the *ERC Executive Agency*, the transfer of the grant agreement as well as any pre-financing of the grant not covered by an accepted cost claim to a new legal entity, should the *Principal Investigator* request to transfer the entire *project* or part of it to this new legal entity. The *applicant legal entity* shall submit a substantiated request for amendment or notify the *ERC Executive Agency* in case of its objection to the transfer.

For the institution (applicant legal entity)

Name, Function, Email +Signature of legal representative

Stamp of institution (applicant legal entity)

**IMPORTANT NOTE: All the above mentioned items are mandatory and shall be included in the commitment of the Host Institution.**

## **ANNEX 4: SECURITY ISSUES**

Security sensitive proposals are required to follow special procedures. ERC actions may be classified<sup>54</sup> if they are considered as sensitive. These procedures are described in this guide. They will apply to all ERC actions if so specified in the relevant call, or when the subjects addressed are considered as sensitive.

*A security 'sensitive' proposal is a proposal for an action that may need to handle classified information. **Proposals submitted to ERC calls must not contain any classified information.** However, it is possible that the output of an action ('Foreground') needs to be classified, or that classified inputs ('Background') are required. In such cases, applicants have to declare their proposal as 'sensitive' and provide a Security Aspects Letter (SAL)<sup>55</sup> and its annex Security Classification Guide (SCG)<sup>56</sup> as part of their proposals.*

A 'security considerations' flag will be associated with a proposal:

- when the applicant declares a proposal as sensitive;
- if the expert evaluators or the ERCEA detect or suspect any of the following conditions:
  - Classified information is, or may be, used as background information,
  - Some foreground is planned to be classified,

The SCG will cover:

- The level of classification of background and foreground;
- Which participant will have access to what information;

In addition, the following documents are required as part of the proposal:

- A copy of the Facility Security Clearances (FSC) (or the FSC requests). The validity of the FSC will be checked by the European Commission's Security Directorate through the appropriate formal channel with the National Security Authorities (NSAs) involved;

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<sup>54</sup> As defined in the Commission Decision 2001/844/EC, ECSC, Euratom of 29 November 2001 amending its internal rules of procedure (OJ, L 317, 3.12.2001).

<sup>55</sup> 'Security Aspects Letter (SAL)': "a set of special contractual conditions, issued by the contracting authority, which forms an integral part of a classified contract involving access to or generation of EU classified information, and that identifies the security requirements or those elements of the classified contract requiring security protection", as defined in section 27 of Commission Decision 2001/844/EC, ECSC, Euratom.

<sup>56</sup> As defined in section 27 of Commission Decision 2001/844/EC, ECSC, Euratom.

- Formal written authorization by the relevant security authorities to use the classified background;

In addition, a proposal may also be considered as sensitive, independently of any security classification, if it is planned to exchange material subject to transfer or export licensing. In that context, applicants must comply with national laws and EU regulation<sup>57</sup>. If export licences (or intra EU licences) are required for carrying the planned work, applicants must clarify the requirement to have such export or transfer licences and must provide a copy of export or transfer licences (or of the requests).

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<sup>57</sup> Council Regulation (EC) No 428/2009 of 5 May 2009 setting up a Community regime for the control of exports, transfer, brokering and transit of dual-use items (OJ L 134, 29.5.2009, p.1).

## **Annex 4a: Security Aspects Letter (template)**

The following security requirements shall be complied with for handling and storage of the elements and parts of the grant agreement that are mentioned in the Security Classification Guide in Appendix to this SAL for the grant agreement.

- The performance of the grant agreement will involve information classified 'EU restricted', 'EU confidential' or 'EU secret'.
- A Facility Security Clearance is [or is not] required.
- Persons who need to access EU classified information (EUCI) must have an EU personal security clearance and be briefed as to their responsibility for security<sup>67</sup>.
- The beneficiaries concerned shall take all measures prescribed by the National Security Authority/Designated Security Authority (NSA/DSA) for safeguarding EUCI.
- The beneficiaries concerned shall appoint a Facility Security Officer (FSO).
- The beneficiaries concerned, through the FSO, shall maintain a continuing relationship with their NSA/DSA.
- The beneficiaries concerned shall maintain a record of their employees taking part in the project and who have been cleared for access to EUCI.
- EU classified information for the purpose of these instructions is to be understood as information classified and marked 'EU restricted', 'EU confidential' or 'EU secret' or its equivalent national classification.
- Information generated by the beneficiaries concerned will require EU classification and marking.
- The beneficiaries concerned must obtain the approval of the Contracting Authority before beginning negotiations with a view to subcontract.
- The Commission Security Directorate may - in co-ordination with the responsible NSA/DSA - conduct inspections at concerned beneficiaries' facilities to verify the implementation of the security requirements for the handling of EUCI.
- The beneficiaries concerned shall report all cases of unauthorised disclosure or loss of EUCI to the responsible NSA/DSA, the Commission Security Directorate and the Contracting Authority.
- All EUCI provided or generated under this grant agreement shall continue to be protected in the event of termination of the grant agreement.
- The beneficiaries concerned shall undertake not to use, other than for the specific purpose of the grant agreement No ... [to be completed].
- Handling and storage instructions for information classified 'EU restricted', 'EU confidential' or 'EU secret'.



## Annex 4b: Security Classification Guide (template)

### Annex to the Security Aspects Letter

*This template should be filled in for all sensitive projects and will be part of the grant agreement.*

Handling of classified Background				
Subject	Classification level	Beneficiaries involved in handling or wanting to access		Comments including purpose of the access and planned use
		Responsibility	Date of handling or request of access	
number and name of the reports	Classification level	entities name only		
		owner		
		entities name only		
		reader		
		...		
		...		

Production of classified Foreground				
Subject	Classification level	Beneficiaries involved in production or wanting to access		Comments including purpose of the access and planned use
		Responsibility	Date of production or request of access	
number and name of the deliverable	proposed Classification level	entities name only		
		owner		
		entities name only		
		contributor		
		entities name only		
		reader		
		...		
		...		

Please see the Commission decision No 2001/844/EC, ECSC, Euratom of 29 November 2001 amending its internal rules of procedure (OJ, L 317, 3.12.2001).

<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CONSLEG:2001D0844:20060805:EN:PDF>