



TECHNISCHE
UNIVERSITÄT
WIEN

Vienna University of Technology

ERC Starting & Consolidator Grant 2017 in Horizon 2020

Formal Application Criteria and Budget Calculation

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Aim and Scope 1/2

- Support of excellent Principal Investigators (PIs) at the career stage at which they are starting / consolidating their own independent research team or programme.
- Support of projects, which are carried out by individual research teams headed by a single PI of any nationality from anywhere in the world.
- Teams may be of national or trans-national character.
- In certain fields, where research is often performed individually, the “team” may consist solely of the PI.

Aim and Scope 2/2

- Research project is expected to be implemented within the territory of a MS or AC
- This does not exclude field work or other research activities in cases where these must necessarily be conducted outside a MS or AC in order to achieve the scientific objectives of the project/activity

Research Topic (bottom-up approach)

- Any field of research with particular emphasis on the frontiers of science, scholarship and engineering.
- In particular, proposals of an interdisciplinary nature, which cross the boundaries between different fields of research, pioneering proposals addressing new and emerging fields of research or proposals introducing unconventional, innovative approaches and scientific inventions are encouraged.
- Not within the scope of Annex I of the Euratom Treaty directed towards nuclear energy.
- Ground-breaking nature, ambition and feasibility of the scientific proposal

Principal Investigator - Eligibility Criteria 1/7

- First PhD (or equivalent doctoral degree) awarded ≥ 2 and ≤ 7 years (StG) and >7 and ≤ 12 years (CoG) prior to 1 January 2017
- Reference date is the date of the actual award (according to the national rules in the country where the degree was awarded)
- Cut-off dates:
 - StG: PhD awarded from 1 January 2010 to 1 January 2015 (inclusive)
 - CoG: PhD awarded from 1 January 2005 to 31 December 2009 (inclusive)

Principal Investigator - Eligibility Criteria 2/7

- Already shown (the potential for - StG) research independence and evidence of maturity:

at least one (StG) / several (CoG) important publications without the participation of their PhD supervisor.
- Promising track record of early achievements appropriate to their research field and career stage (Part B1.c)

Principal Investigator - Eligibility Criteria 3/7

- Commitment (StG):
 - min. 50 % of their total working time on the ERC project and
 - min. 50% of their total working time in MS or AC

- Commitment (CoG):
 - min. 40 % of their total working time on the ERC project and
 - min. 50% of their total working time in MS or AC

Principal Investigator - Eligibility Criteria 4/7

Reduction of the effective elapsed time since the award of the first PhD

- For maternity by 18 months or by the actual of maternity leave taken for each child born before or after the PhD award.
- For paternity by the actual amount of paternity leave taken for each child born before or after the PhD award.
- For long-term illnesses (over ninety days for the PI or a close family member - child, spouse, parent or sibling), clinical training or national service by the document amount of leave actually taken by the PI for each incident which occurred after the PhD award.

Restrictions on (re-)submission of proposals (1/3)

- A PI may submit proposals to different ERC frontier research grant calls made under the same Work Programme, but only the first eligible proposal will be evaluated.
- A PI whose proposal was evaluated as category A in the Starting or Consolidator Grant calls 2016 may submit a proposal to the Starting or Consolidator Grant calls 2017.
- A PI whose proposal is evaluated as category B at step 2 in the Starting or Consolidator Grant calls 2016 may submit a proposal to the Starting or Consolidator Grant calls 2017.

Restrictions on (re-)submission of proposals (2/3)

- A PI whose proposal is evaluated as category B at step 1 in the Starting or Consolidator Grant calls 2016 may **not** submit a proposal to the Starting or Consolidator Grant calls 2017.
- A PI whose proposal is evaluated as category C in the Starting or Consolidator Grant calls 2015 or 2016 may **not** submit a proposal to the Starting or Consolidator Grant calls 2017.
- A researcher may participate as PI in only one ERC frontier research project at any one time-

Restrictions on (re-)submission of proposals (3/3)

- A PI whose proposal was rejected on the grounds of a breach of research integrity in the calls for proposals under Work Programme 2015 or 2016 may **not** submit a proposal to the calls for proposals made under Work Programme 2017.
- A researcher participating as PI in an ERC frontier research project may **not** submit a proposal for another ERC frontier research grant, unless the existing project ends no more than two years after the call deadline.
- A PI who is a serving Panel Member for a 2017 ERC call or who served as a Panel Member for a 2015 ERC call may **not** apply to a 2017 ERC call for the same type of grant.

Host Organisation - Eligibility Criteria 1/2

- Established in an EU Member State (MS) or an Associated Country (AC) as a legal entity created under national law, or it may be an International European Interest Organisation, The European Commission's Joint Research Centre (JRC) or any other entity created under EU law
- Any type of legal entity, public or private, including universities, research organisations and undertakings can host PIs and their teams
- Engagement of the PI for at least the duration of the project

Host Organisation - Eligibility Criteria 2/2

- Commitment to offer appropriate conditions for the PI to independently manage the ERC funded research and must ensure that the PI is able to:
 - 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 include 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 appropriate space and facilities for conducting the research

Host Commitment Letter of TU Wien

TU internal procedure to receive the host institution support letter

- PI sends an e-mail with following documents to the EU Research Support (EURS) (siegfried.huemer@tuwien.ac.at, cc: ann-christin.kehrberg@tuwien.ac.at)
 - formless supporting letter of the Head of Institute
 - budget calculation sheet (http://www.tuwien.ac.at/dle/eufs/eufs_e0155/tuw_interne_doku/)
 - pre-filled template of the Commitment of the Host Institution letter
- Deadline: 2 weeks before the submission deadline (StG: 4.10.16; CoG: 25.01.17)
- EURS checks the documents and sends them to the Vice Rector for Research.
- VR Fröhlich signs the commitment on official paper and it will be sent electronically / by mail to the PI

Part A - Administrative forms 1/4

Section 1 - General Information contains information about

- the research proposal, including an abstract of the project proposal
- the chosen ERC panel for evaluation and
- declarations related to the proposal and the participation in H2020

- The PI must indicate the most relevant ERC panel for evaluation of his/her proposal and choose one or more ERC keywords related to the research fields

- In the case of interdisciplinary proposals the PI has indicated a “secondary evaluation panel”.

Part A - Administrative forms 2/4

Section 2 - Administrative data of participating organisations contains information about the PI and the host institution

- PIC of the Technische Universität Wien: 999979888
- Contact person of the Host Institution: Person of the institute nominated in accordance with the Head of Institute

Section 3 - Budget contains information about the total estimated project costs and the requested EU contribution

- given in whole Euros (integer), not thousands of Euros
- corresponding exactly to Part B.2c.

Part A -Administrative forms 3/4

Section 4 - Ethics serves to identify any ethical aspects of the proposed work

- Has to be completed even if there are no issues
(simply confirm that none of the ethical issues apply to the proposal)
- In case of YES to any of the questions:

Ethics Self-Assessment and additional ethics documentation
(see Information for Applicants, Annex 4 “Ethics Issues Table checklist”)

Part A -Administrative forms 4/4

Section 5 - Call specific questions contains information on

- the academic training of the PI,
- declarations related to eligibility and
- permission statements on data-related questions (the data-related consents are entirely voluntary)

Possible request for exclusion of up to three reviewers

Part B - Research proposal

- Consists of Part B1 and Part B2
- Mandatory templates provided in the Submission Service System
- The Research Proposal (Part B1 and B2) and all supporting documentation should be uploaded and submitted via PPSS as PDF files.
- Make sure all file names contain the “Proposal Short Name”, such as PartB1_(Proposal-Short-Name).pdf and PhD_(Proposal-Short-Name).pdf

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 abstract
1/2 page, must be a copy/paste of proposal abstract (Part A section 1)

For inter-disciplinary /cross-panel proposals:

Please indicate the additional ERC review panel(s) and explain why the proposal needs to be considered by more than one panel.

Part B1.a Extended synopsis of the scientific proposal

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

- Present the scientific proposal, with particular attention to the ground-breaking nature of the research project and the feasibility of the outlined scientific approach
- Describe the proposed work in the context of the state of the art of the field.
- References to literature included (do not count towards the page limit)

Important: The extended synopsis contains all relevant information including the feasibility of the scientific project since the panel will only evaluate Part B1 at step 1 of the evaluation.

Part B1.b - Curriculum Vitae

Curriculum Vitae (max. 2 pages)

- Standard academic and research record included (a suggested outline in the Part B1 template)
- The structure of the CV may be modified
- Any research career gaps and/or unconventional paths clearly explained
- The succinct "funding ID"
 - must follow the table format of the Part B1 template.
 - the requested information for on-going grants and applications
 - does not count towards page limits

Early achievement track-record (max 2 pages)

- list of achievements reflecting the track record
 1. Publications in major international peer-reviewed multi-disciplinary scientific journals and/or in the leading international peer-reviewed journals, peer-reviewed conferences proceedings and/or monographs of their respective research fields, listing up to five (StG) or up to ten (CoG) representative publications, those without the presence as co-author of their PhD supervisor, and the number of citations (excluding self-citations) they have attracted (if applicable).
 2. Research monographs and any translations thereof (if applicable)
 3. Granted patent(s) (if applicable)
 4. Invited presentations to peer-reviewed, internationally established conferences and/or international advanced schools (if applicable)
 5. Prizes and awards (if applicable)

Part B2 - The Scientific proposal

B2.a,b,c: The scientific proposal (max. 15 pages, to be evaluated at step 2)

- Describe the scientific, technical, and/or scholarly aspects of the project more in detail demonstrating the ground-breaking nature of the research, its potential impact and research methodology.
- The fraction of the applicant's research effort that will be devoted to this project and a full estimation of the real project costs also need to be indicated.
- References to literature do not count towards the page limit

Part B2.a - State of the art and objectives

B2.a: State of the art and objectives

- Specify 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.

B2.b Methodology

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

Funding (StG/CoG)

- Up to a maximum of € 1.500.000 (StG) / € 2.000.000 (CoG) for a period of 5 years (pro rata for projects of shorter duration).
- Up to an additional € 500.000 (StG) / € 750.000 (CoG) can be requested in the proposal to cover:
 - a. eligible “start-up” costs for PIs moving to a MS or AC from elsewhere as a consequence of receiving the ERC grant
 - b. and/or the purchase of major equipment and/or
 - c. access to large facilities.

As any additional funding is to cover major one-off costs it is not subject to pro-rata reduction for projects of shorter duration.
- up to 100% of the total eligible and approved direct costs and of flat-rate financing of indirect costs on the basis of 25% of the total eligible direct costs (excl. direct costs for subcontracting / costs of resources made available by third parties not used on the premises of the host institution).

Funding - Direct Costs

Direct costs are costs that are directly linked to the action implementation and can therefore be attributed to it directly, such as:

- Personnel costs
- Costs for subcontracting
- Other direct costs such as
 - Travel costs and related subsistence allowances
 - Depreciation costs for equipment
 - Costs for other goods and services (consumables and supplies; dissemination (including open access), protection of results; certificates on the financial statements, translations and publications)
 - Costs for large research infrastructures

Funding - Indirect Costs

Indirect costs 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

- 25% of the total eligible direct costs

Non-eligible Costs

- Costs related to return on capital
- Debt and debt service charges
- Provisions for possible future losses or debts
- Interest owed
- Doubtful debts
- Currency exchange losses
- Bank costs charged by the beneficiary's bank for transfer from the Agency
- Excessive or reckless expenditure
- Deductible VAT
- Costs reimbursed under another EU grant

Part B2.c – Ressources 1/4

- Use of the budget table template strongly recommended
- State the amount of funding considered necessary to fulfil the objectives for the duration of the project. The resources requested should be reasonable and fully justified in the proposal. The requested contribution should be in proportion to the actual needs to fulfil the objectives of the project.
- Specify briefly your commitment to the project and how much time you are willing to devote to the proposed project. (StG: 50-50%, CoG: 40%-50%)

Part B2.c – Ressources 2/4

- Describe the size and nature of the team, indicating, where appropriate, the key team members and their roles.
- Justify the participation of team members engaged by another host institution in relation to the additional financial cost this may impose to the project.
- Specify any existing resources that will contribute to the project.
- Describe other necessary resources, such as infrastructure and equipment.

Advisable to include a short technical description of the equipment requested, a justification of its need and the intensity of its planned use.

Part B2.c – Ressources 3/4

- Applicants should be aware that it will be mandatory to provide Open Access (free of charge, online access for any user) to all peer-reviewed scientific publications resulting from ERC projects funded through this call.
- Costs for providing immediate Open Access to publications (article processing charges) are eligible and can be charged against the ERC grant if they are incurred during the lifetime of the project. It is highly advisable to consider the need to include such expenditure in the budget and to make a realistic estimation of the amount needed.

Part B2.c – Ressources 4/4

- If additional funding (StG: € 500.000 und CoG: €) 750.000 is requested for
 - covering eligible “start-up” costs for a PI moving from another country to the EU or an Associated Country as consequence of receiving an ERC grant and/or
 - the purchase of major equipment and/or
 - access to large facilities,

then this also needs to be fully justified.

Part B - The supporting documentation

- The documents proving the eligibility of the PI for the grant, i.e. the PhD certificate clearly indicating the date of award and, in case of an extension of the eligibility period has been requested, the relevant documentary evidence.
- Any additional supporting documents (i.e. ethic self-assessment and supporting documentation for the ethics review procedure)
- Copies of official documents can be submitted in any of the EU official languages. Document(s) in any other language must be provided together with a certified translation into English.

Part B - Layout

Mandatory parameters for the layout of Part B:

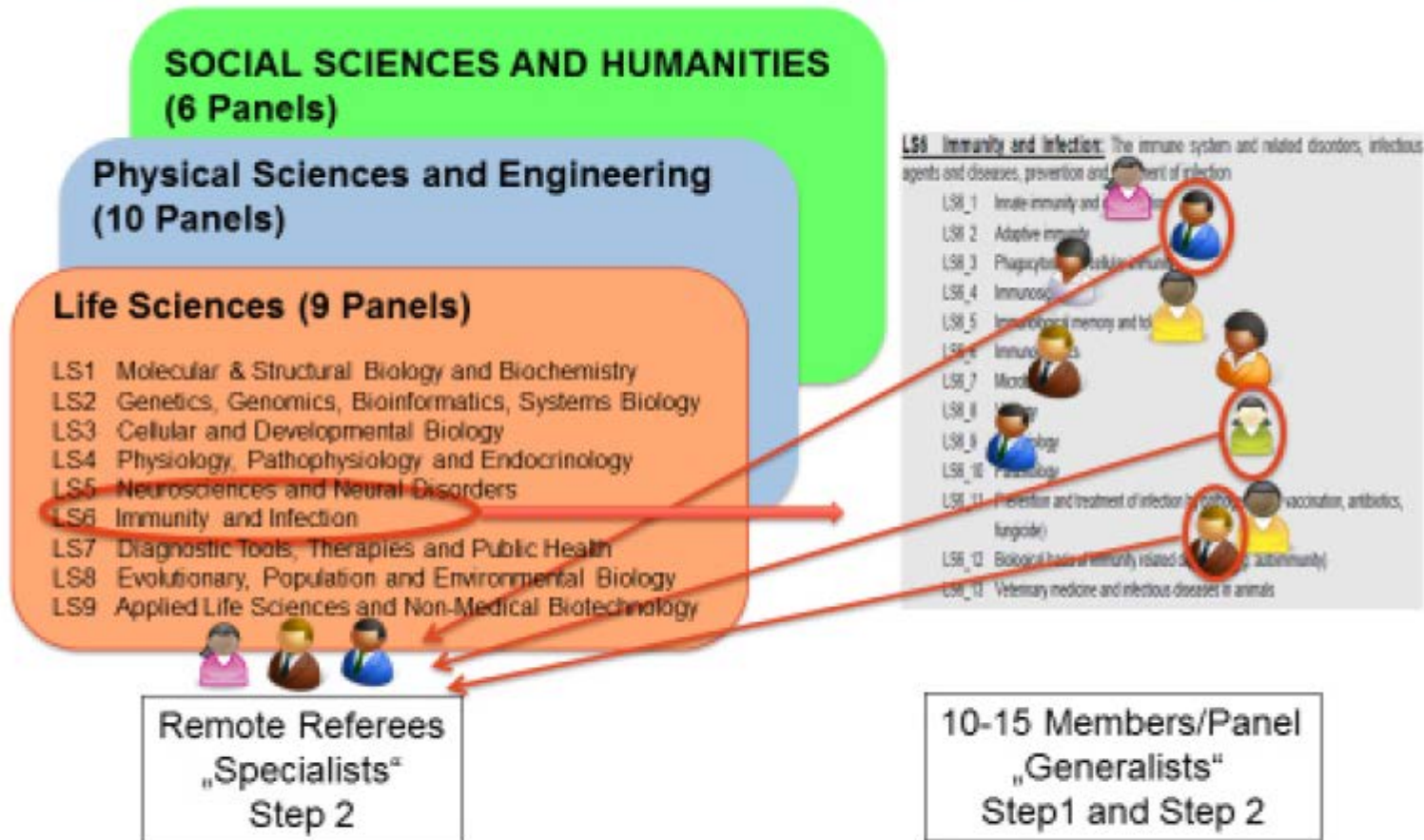
- Page format: A4
- Font Type: Times New Roman, Arial or similar
- Font Size: at least 11
- Line Spading: single
- Margins: 2 cm side; 1,5 bottom
- Each proposal page shall carry a header presenting the PI's last name, the acronym of the proposal, and the reference to the respective proposal section (Part B1 or Part B2).

Part B - Clarity

- well understandable
- precise wording and descriptions
- clear definitions
- concrete examples
- „reader-friendly“ layout
 - sufficient spaces
 - highlighting key messages (text boxes with short summaries, bullet points, balanced use of bold fonts)
 - High quality figures
 - time tables, Gantt charts, etc.

Evaluation 1/4

EVALUATION: PANEL MEMBERS AND REMOTE REFEREES



list of previous panel members: <http://erc.europa.eu/evaluation-panels>

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Evaluation 2/4

Step 1 of the Evaluation (Part B1 a-c):

1. Individual Assessment:

3 - 4 panel members read the whole part,
the remaining panel members only the abstract

2. Panel meeting (discussion) and panel ranking:

A: sufficient quality to pass to step 2

B: high quality but not enough to pass to step 2

C: not sufficient quality to pass to step 2

Evaluation 3/4

Step 2 of the Evaluation (Part B1 & B2):

1. Individual Assessment:
4 - 6 panel members (old and new ones) and 2 - 3 external referees
2. Panel meeting (discussion)
3. Final panel ranking by the panel members:
 - A: fully meets ERC's excellence criterion and recommended for funding if sufficient funds are available
 - B: meets some but not all elements of ERC's excellence criterion and will not be funded

Evaluation 4/4

Evaluator's opinion after few minutes of reading:

- What is the problem / the research challenge?
- Why is the problem important?
- Why was the problem not solved until now?

- What is the new idea/approach?
- Is this groundbreaking research?

- What are the concrete research objectives?

- Is this PI likely to succeed with the project?

Scientific excellence is the sole criterion of evaluation.

It will be applied to the evaluation of both
the **research project** and the **Principal Investigator** in conjunction.

Evaluation Criteria 2/5

1. Research Project - Ground-breaking nature, ambition and feasibility

- Ground-breaking nature and potential impact of the research project
- Scientific Approach

2. Principal Investigator - Intellectual capacity, creativity and commitment

- Intellectual capacity and creativity
- Commitment

Evaluation Criteria 3/5

1. Research Project – Ground-breaking nature, ambition and feasibility

Ground-breaking nature and potential impact of the research project

- To what extent does the proposed research address important challenges?
- To what extent are the objectives ambitious and beyond the state of the art (e.g. novel concepts and approaches or development across disciplines)?
- How much is the proposed research high risk/high gain?

Evaluation Criteria 4/5

1. Research Project – Ground-breaking nature, ambition and feasibility

Scientific Approach

- To what extent is the outlined scientific approach feasible bearing in mind the extent that the proposed research is high risk/high gain (based on the Extended Synopsis)?
- To what extent is the proposed research methodology appropriate to achieve the goals of the project (based on the full Scientific Proposal)?
- To what extent does the proposal involve the development of novel methodology (based on the full Scientific Proposal)?
- To what extent are the proposed timescales and resources necessary and properly justified (based on the full Scientific Proposal)?

Evaluation Criteria 5/5

2. Principal Investigator – Intellectual capacity, creativity and commitment

Intellectual capacity and creativity

- To what extent has the PI demonstrated the ability to propose and conduct ground-breaking research?
- To what extent does the PI provide evidence of creative independent thinking?
- To what extent have the achievements typically gone beyond the state-of-the-art?

Commitment: To what extent does the PI demonstrate the level of commitment to the project necessary for its execution and the willingness to devote a significant amount of time to the project (StG: 50-50%; CoG: 40-50%)

Electronical Submission 1/6

Step 1: European Commission Authentication System (ECAS) registration - Getting a user ID with the Commission

mandatory in order to be able to use the proposal submission

Step 2: Access the proposal submission system

access to the system is provided from the topic's page after selecting the "Submission Service" and choosing the required action type.

Step 3: Create a draft proposal (pre-registration) 1/2

- Filled in pre-registration data for the proposal will be used by the ERCEA in order to plan the evaluation
- No access to this page again after its completion and progression to Step 4 (but certain data can be modified at a later stage)
- Careful choice of the correct PIC-number of the host institution and e-mail address of the Principal Investigator

Step 3: Create a draft proposal (pre-registration) 2/2

- Creation of the draft proposal by the PI recommended.
The person who creates the proposal becomes the primary coordinator contact and determines the access rights of other people to the proposal.
- Short summary information is copied to the abstract field in Part A - section 1, where it can be modified (see step 5)
- Chosen ERC Review Panel can be later modified in Part A - section 1

Electronical Submission 4/6

Step 4: manage Your Related parties and Access Rights

- Addition of additional organisations and access to other contact persons (full access or read-only rights)
- Recommendation: “read-only access” to partner / collaborator contacts
- Details of the PI and the main host institution contact person, are not-editable in the forms
- Possible return to step 4 at any point of the submission to add or delete any contact person or to change the access rights. Save your data before leaving step 4. Once the coordinator saves the changes, an automatic invitation is sent to all contacts’ e-mail addresses.

Electronical Submission 5/6

Step 5. Edit proposal

- From this step you can edit the administrative forms, view the history, print the draft proposal, download templates, upload files and submit the proposal by clicking on the relevant button.
- Please use the functionality “Validate form” button to check the validity and completeness of your data.

Step 6: Submit

- Reaching this step means that the proposal is submitted.
- You can download the proposal, re-edit the proposal, going back to step 5, continue to modify the proposal and submit revised versions overwriting the pervious one right up until the deadline and withdraw/delete the proposal before the call deadline

Links

ERC Starting Grant Call (description, documents, submission service)

<http://ec.europa.eu/research/participants/portal/desktop/en/opportunities/h2020/calls/erc-2017-stg.html>

Participant Portal Submission Service Desk (+32 (2) 29 92222)

[DIGIT-EFP7](#)

-SEPSUPPORT@ec.europa.eu

ERC Homepage

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

Nationale Kontaktstelle ERC

<https://www.ffg.at/europa/h2020/erc>

ERC funded projects

<http://erc.europa.eu/projects-and-results/erc-funded-projects>

Previous ERC Panel Members

<http://erc.europa.eu/evaluation-panels>

EUFS-Homepage (Factsheets, Checklisten, Budgetkalkulationstabellen, etc.)

<http://www.tuwien.ac.at/dle/eufs/erc/>

Submission deadlines

ERC-2017-StG: 18 October 2016, 17:00.00 (Brussels local time)

ERC-2017-CoG: 9 February 2017, 17:00.00 (Brussels local time)

The foreseen submission deadlines could be modified
after the publication of the calls.

You are therefore invited to periodically consult
the Research and Innovation Participant Portal where any modifications of
the submission deadlines are indicated.

Kontakt

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