European Research Council

ERC Grant Schemes

Guide for Applicants

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It can also be downloaded from the CORDIS page on http://cordis.europa.eu

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European Commission
FP7 Specific Programme IDEAS

ERC Grant Schemes

Guide for Applicants

Purpose of the Guide

This guide provides practical information to potential applicants in preparing and submitting an application for a European Research Council (ERC) grant. In addition, it provides a general overview of the ERC peer review evaluation process, the ERC grant agreement and the underlying principles for the management of ERC grants.

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:

- Guide for ERC Grant Holders[1]: This guide provides practical information to ERC grant holders - both the Principal Investigator and the Principal Investigator's hosting institution- 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 also information to applicants that have been offered an ERC grant on the process to prepare the grant agreement and the associated terms and conditions.

- Guide for ERC Peer Reviewers[2]: This guide provides practical information to peer reviewers as well as detailed information on the peer review evaluation and project selection process.

Note: As with other parts of the Seventh Framework Programme, National Contact Points (ERC NCPs) have been set up across Europe[3] 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. Contact details are available at http://erc.europa.eu.

[1] In preparation, available in early 2007 at http://erc.europa.eu
[2] In preparation, available in early 2007 at http://erc.europa.eu
[3] This applies to EU Member States and Associated Countries. Some third countries also provide this service.

1. What is the ERC?

The European Research Council (ERC) is a newly-created pan-European funding organisation, 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.

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 and funded through the Seventh Framework Programme, complements other funding schemes in Europe, such as those of research funding agencies operating at the national level and those within the Seventh EU Framework Programme.

The ERC consists of a Scientific Council and a dedicated implementation structure; it operates under conditions of autonomy and integrity, guaranteed by the European Commission, to which it is accountable. The European Commission will set up the dedicated implementation structure as an executive agency. Pending the establishment and operability of the executive agency, its implementation tasks shall be executed by a dedicated service of the European Commission.

1.1. 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 review experts.

2. ERC Grant Schemes

2.1. What kinds of ERC grants are available?

Two types of ERC grants are available to support researchers in carrying out frontier research projects:

2.1.1 ERC Starting Independent Researcher Grant

The ERC Starting Independent Researcher Grant scheme (ERC Starting Grant) aims to provide adequate support to researchers at the stage at which they are intending to establish or are already leading their first independent research team or, depending on the field, developing their first independent research programme. Researchers applying for an ERC Starting Grant must be able to demonstrate their potential to become independent research leaders.

2.1.2 ERC Advanced Investigator Grant

The ERC Advanced Investigator Grant scheme (ERC Advanced Grant) aims to encourage and support excellent, innovative and investigator-initiated research projects carried out by leading advanced investigators. This funding scheme complements the ERC Starting Grant scheme by targeting researchers who have already established themselves as being independent research leaders in their own right. The first call for the ERC Advanced Investigator Grant will be launched in mid 2007.

2.2. Who can apply for an ERC grant?

ERC Grants support projects which are carried out by individual teams, headed by a single "Principal Investigator" of any nationality and, if necessary, include additional team members[4]. The guiding principles of ERC grants are highlighted in Box 1.

An application for a grant should be submitted by a single “Principal Investigator” (PI) in conjunction with and on behalf of her/his “hosting institution.”

The hosting institution (e.g. a university, a research organisation or a research-performing company) is the applicant legal entity which engages and hosts the Principal Investigator, with the attached commitment that this institution will grant the Principal Investigator the independence to direct the project and manage the research funding.

[4] 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. Since the focus of ERC grants is on the Principal Investigator, the concept of an individual team is fundamentally different from that of a traditional “network” or “research consortium”; proposals of the latter type will not be acceptable under this scheme.

Box 1: Guiding principles of ERC funding schemes

- Scientific excellence is the sole selection criterion
- All fields of research are eligible
- Individual teams led by independent Principal Investigators are supported
- Significant funding is provided to attract the best researchers

To apply for an ERC grant, the Principal Investigator presents a frontier research project and an individual research team, which will work under his/her responsibility. Depending on the field, a PI may also work alone.

2.2.1 The Principal Investigator

The Principal Investigator (PI) is the project's lead researcher. He/she can be of any age (see box 2), nationality or country of residence.

In order to be eligible for a grant, the PI must be independent or, for the ERC Starting Grant, at the stage at which they are establishing independence[5] (i.e. starting or leading their first research team) or, depending on the field, establishing their independent research programme. Further details are provided in Box 2.

Independence implies that the PI has the authority to[6]:

- Apply for funding independently of senior colleagues;
- Direct the project, manage the research funding and make appropriate resource allocation decisions;
- Publish as senior author and invite as co-author only those who have contributed substantially to the reported work;
- Supervise team members, including research students or others;
- Have access to reasonable space and facilities for conducting the research.

The Principal Investigator does not necessarily need to be employed by the hosting institution at the time when the proposal is submitted.

[5] The ERC peer review evaluation panels will assess whether the requested ERC Starting Grant and the conditions specified by the hosting institution will guarantee independence or will allow the PI to make the transition to independence.

[6] Note that the conditions of independence provided to the PI and his/her team are consistent with the "*The European Charter for Researchers" and "The Code of Conduct for the Recruitment of Researchers*", OJ C (2005) 576, 11.3.2005.

Box 2: Status of a Principal Investigator

ERC Starting Grant

The Principal Investigator must have been awarded[1] his/her first PhD (or equivalent doctoral degree) more than 2 and less than 8 years prior to the deadline of the call for proposals.

Extensions of this period may be allowed in case of eligible career breaks which must be properly documented: maternity & paternity leave and leave taken for long-term illness, national service. Leave taken for unavoidable statutory reasons (e.g. clinical qualifications) may also count as an extension.

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

Important Note: The Scientific Council decided at its meeting on 11/12 January 2007, to change the requirements for the Principal Investigator of ERC Starting Grants. A revised version of the work programme is now in the process of being formally adopted by the Commission, which is reflecting this Scientific Council decision. Thus, with the formal adoption and publication of the revised work programme, the requirements for the Principal Investigator should read as follows:

The Principal Investigator must have been awarded[1] his/her first PhD (or equivalent doctoral degree) more than 2 and less than 9 years prior to the deadline of the call for proposals.

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

The cumulative eligibility period should not in any case surpass 12 years following the award of the first PhD. No allowance will be made for part-time working (2 years of half-time working count as 2 full-time years).

ERC Advanced Grant

The Principal Investigator must be already established as in independent research leader in his/her own right The Principal Investigator may be at any career stage beyond that at which he / she would be eligible for an ERC Starting Grant.

[1] The reference date towards the calculation of the eligibility period should be based on the date of the actual award of the PhD or equivalent doctoral certificate as indicated in the document that will be attached to the proposal during the second stage.

2.2.2 The Hosting Institution

The PI must be supported by a legally established hosting institution, which is entitled to receive funds. This is the applicant legal entity for the ERC grant. The PI's hosting institution hosts and engages the PI for the duration of the grant and is committed to the PI's independence and to provide administrative support in managing the ERC research grant[7].

This hosting 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, research organisation or research-performing company.

The hosting institution must be situated in the European Union or in an Associated Country[8]. It may also be an International European Interest Organisation[9].

In most cases, the PI's hosting institution is the only legal entity which participates in the project.

2.2.3 The Team Members

The constitution of the individual research team is flexible. Commonly, it involves other researchers from the PI's research group or from the same organisation as "team members".

However, depending on the nature of a project the research team may also involve team members from other research organisations situated in the same or a different country. Therefore, research teams can be of national or trans-national character.[10]

Team members can be of any age, nationality and country of residence. Independence is not required for team members.

Hosting Institutions of team members may be located in any country, including non-European third countries. 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 competences and capacities.

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[7] The rules and obligations between the hosting organisation and the PI are set out in a supplementary agreement (see section 5).

[8] The Associated Countries are: a) Iceland, Liechtenstein, and Norway (subject to amendment procedure of EEA agreement); b) Switzerland, Israel (subject to satisfactory conclusion of bilateral S/T agreements); c) Turkey, Croatia, and Serbia (subject to satisfactory completion of the decision-making procedure associating these countries via a Memorandum of Understanding). Other countries may become associated during the course of FP7. The latest news will be posted on the CORDIS and ERC web site.

[9] e.g. CERN, EMBL, ILL, ESO, ESRF, EMBO.

[10] Note: With the focus on the Principal Investigator, the concept of individual team is fundamentally different from that of a traditional "network" or "research consortium"; proposals of the latter type will not be acceptable for the ERC.

2.3. 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 for established disciplinary boundaries.

Applications may be made in any field of research - including the social sciences and humanities - with particular emphasis on the frontier of science and scholarship.[11]

Box 3: Dealing with ethical issues

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.

Research supported by an ERC grant must respect fundamental ethical principles. Fundamental ethical principles which must be respected include those reflected in the Charter of Fundamental Rights of the European Union. 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 he lowest degree of neuropsychological sensitivity, and to cause the least pain, suffering, distress or lasting harm.

The following activities cannot be funded:

- Research activities aimed 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 Commission's commitment to follow the practice of the 6th framework programme and exclude from financial support 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. Where necessary, approval must be sought from the relevant national or local ethics committee prior to the start of the project.

[11] Nuclear energy research on fission and fusion should be submitted to calls under the EURATOM Research Programme.

In particular, proposals of an interdisciplinary nature which cross the boundaries between different fields of research, proposals in new and emerging fields and "high-risk, high-gain" proposals are encouraged.

In essence, ERC-supported research should aim to broaden scientific and technological knowledge. As such, projects should not be linked to commercial objectives.

Some frontier research activities and methodologies may have ethical implications or may raise questions which will require a sound ethical assessment (see Box 3). This may result in proposals not being accepted or being accepted only under certain conditions.

2.4. What is the typical size of an ERC grant?

ERC Starting Grants last up to five years and provide €100,000 to €400,000 of funding per year, amounting to a total of €0.5 to 2.0 million per grant.[12]

ERC Advanced Grants last up to five years and provide €100,000 to €500,000 of funding per year, amounting to a total of €0.5 to 2.5 million per grant.

The costs which can be covered by an ERC grant are described in Box 4.

The requested budget should reflect the PI's estimation of the real project cost, taking account of the nature of the project and team and whether it is intended to set up a new team or add support to an established team.

The level of the grant offered will be assessed and determined by the ERC peer review evaluation panel on the basis of the essential requirements of the project, judged against the requested budget of the proposal.

[12] The level of the grant represents a maximum overall figure. Costs will be reimbursed on the basis of the amounts actually disbursed for the project.

Box 4: Eligible and non-eligible direct and indirect costs

An ERC grant can cover up to 100% of the total eligible direct costs of the research plus a contribution towards indirect costs, which cannot exceed 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 hosting organisation's own accounting rules.

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

- Personnel Costs
- 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 PC's, laptops, office software;
- Miscellaneous recurring consumables.

Non-eligible costs, 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 Community project;
- Costs related to return on capital;
- Debt and debt service charges;
- Excessive or reckless expenditure;

cannot be reimbursed through the ERC grant.

3. Applying for an ERC Starting Grant Grant (StG)

An ERC grant application should be submitted by a single Principal Investigator (PI) in conjunction with and on behalf of her/his hosting institution (the "applicant legal entity").

To apply for an ERC grant, the PI presents a frontier research project and in most cases an individual research team, which will work under his/her responsibility.

The key features of the ERC application procedure are highlighted in Box 5.

Box 5: Key features of ERC Starting Grant application procedure

- Two-stage application/evaluation procedure:
  - 1st stage – Outline Proposal (max 8 pages, see section 3.2.2)
  - 2nd stage – Full Proposal (max 16 pages, see section 3.2.2)
- Essential components of an ERC grant application (see annexes 1&2):
  a) CV + self-evaluation of the PI's research achievements + funding ID
  b) Brief description of scientific and technical aspects of the project proposal
  c) Description of the scientific environment and resources
- Electronic submission via EPSS only (see section 3.2.3)

3.1. When can I apply?

ERC StG grant applications can be submitted only in response to an open "call for proposals". Calls are published on the ERC website (http://erc.europa.eu), the CORDIS website (http://cordis.europa.eu/fp7/home_en.html) and in the Official Journal of the European Union (http://europa.eu.int/eur-lex/en/oj).

Deadlines[13] for the submission of ERC grant applications are specified in each "call for proposals" and in the latest ERC work programme.

3.2. How can I submit an ERC StG application?

3.2.1 Pre-Registration

Principal Investigators (PIs) need to pre-register their intention to submit a proposal via the web-based EPSS (the Electronic Proposal Submission System, see section 3.2.3) in

[13] See "Grants" page on ERC website at http://erc.europa.eu.

order to receive a login and password for the proposal submission via EPSS. This should be done as early as possible and at least three weeks prior to the deadline for the submission of proposals.[14]

Pre-registration shall involve the submission of a short statement indicating the name of the PI, the title of the proposal and the preferred choice(s) of evaluation panels (using the codes indicated in Annex 6).[15]

Pre-registration is needed only before a stage 1 submission of an outline proposal. It is not required for a stage 2 submission since only those proposals which successfully pass stage 1 are invited to submit a stage 2 full proposal.

3.2.2 Preparing an ERC StG grant application

The application procedure consists of two stages. In stage 1, a proposal should describe the project and the qualifications of the PI. Successful PIs in stage 1 are invited to submit a more detailed proposal by the deadline of stage 2.

In both stages, a complete ERC StG grant application involves three distinct components:

- The administrative forms
- The research proposal
- Supporting documentation (a statement from the hosting institution and, in stage 2, proof of PI's status and a completed ethical checklist – see Box 2 and Box 3)

The Administrative Forms

These web-based forms (Annex 1) need to be filled in via EPSS and include administrative details on the PI and the PI's hosting institution (if applicable also those of hosting institutions of team members). Basic financial information on the requested ERC Grant needs to be filled as well. Applicants should specify which ERC peer review evaluation panel they consider to be most relevant to their proposal (i.e. the core scientific field involved, see Annex 6) and indicate one or more keywords (i.e. other fields involved and selected from a drop-down list, see Annex 6). The assignment to peer reviewers will be made by the Panel Chairs on the basis of this information.

The Research Proposal (to be uploaded electronically on EPSS in PDF format)

[14] Note: The three-week-limit is not applicable to the first call for proposals for the ERC Starting Grant.

[15] Pre-registration allows the ERC to estimate and provide the required resources and expertise for the ERC peer review evaluation process and to determine in advance the likely demand for funds.

The components to be included in each stage of the ERC StG proposal and the maximum length of each are listed in the table below (more detailed information/templates are provided in Annex 2):

Proposal Components – ERC StG Grant	**Stage 1**	**Stage 2**
a) CV and a self-evaluation of the Principal Investigator's research achievements, including a succinct "funding ID" which must specify any current research grants and any on going application for work related to the proposal.	3 pages	4 pages
b) Description of objectives and scientific and technical content of the project	4 pages	10 pages
c) Description of the scientific environment and resources	1 page	2 pages
TOTAL	8 pages	16 pages

The information provided on each of these components should be sufficiently comprehensive to allow the peer reviewers to assess the scientific excellence of the proposal according to the evaluation criteria (the evaluation criteria are listed in Annex 5).

In order to determine the required level of funding for a project, PIs should determine the amount of funding considered necessary to fulfil their objectives and the duration of the project in both stage 1 and stage 2 of the application procedure. This should be justified with supporting information. On this basis, the ERC peer review evaluation panel will recommend the level of funding and duration of the grant, taking into account the needs of the project (e.g. research field, size of the team) and whether it is intended to set up a new, or add support to an established or newly established, team (see Box 4 for information on eligible and non-eligible costs).

Applications which involve research activities that raise ethical issues should provide explanatory information. Further guidelines are provided in Box 3 and a checklist is provided in Annex 7.

For the layout, the following parameters **must** be respected:

Page Format	**Font Type**	**Font Size**	**Line Spacing**	**Margins**
A4	Times Roman	12	1.0	At least 2.0 cm

Only the material that the proposal contains within these limits will be evaluated.

The three components of the research proposal must be submitted in one single PDF file (see Section 3.2.3).

Please note that the working language of the peer review evaluation Panels is English.

Supporting Documentation (scanned copies to be uploaded electronically on EPSS in PDF format)

In stage 1, the hosting institution must confirm its association and support to the project and PI. In stage 2, the hosting institution must provide a binding statement that the conditions of independence set out in the supplementary agreement to the ERC Grant agreement and outlined in section 2.2.1 are already fulfilled or will be provided to the PI if the application is successful. Templates are provided in Annexes 3 and 4.

In addition, in stage 2 of the application procedure, the PI should submit scanned copies of documents proving his/ her eligibility for the grant (ie. for the ERC Starting Grant the PhD certificate and, if applicable, justification for the extension of the eligibility period (see Box 2)).

These documents should be scanned and submitted via EPSS as PDF files. Two separate files may be submitted, the first containing the supporting statement from the hosting institution and, in stage 2, the second containing scanned copy(ies) of document(s).

Box 6: Proposal submission - Important to know

- Proposals cannot be submitted without pre-registration (it is required to obtain an EPSS user-ID and password)
- Proposals sent by other means than EPSS will normally not be accepted.
- Only the material that the proposal contains within the specified limits will be evaluated.

3.2.3 Electronic Proposal Submission

Proposals and pre-registrations should be submitted electronically via the web-based Electronic Proposal Submission Service (EPSS).[16]

[16] In exceptional cases, if an applicant has absolutely no means of accessing the EPSS and if it is impossible to arrange to do so, it may request permission from the ERC to submit on paper. Such a request, which must clearly explain the circumstances of the case, must be received by the ERC no later than one month before the call deadline, send to the following address: European Research Council (ERC), Madou Plaza n°1, Office: MADO 5/64, 1049 Brussels. The ERC will reply to such a request within five working days of receipt. If a derogation is granted, the ERC will send proposal forms for paper submission to the applicant concerned.

EPSS can be accessed from the ERC website and the call page on CORDIS.

Full instructions will be found in the “EPSS preparation and submission guide”. This will be available from the ERC and CORDIS website early in 2007.

Before submitting a proposal using EPSS, applicants must pre-register (to obtain a login name and password) and must agree to the conditions of use of EPSS. Following this, the application can be prepared, uploaded and submitted via EPSS.

EPSS will carry out a number of basic verification checks prior to submission, including that of completeness of the proposal, internal data consistency, absence of virus infection and conformity to the file types and size limitations which are specified. This automatic validation does not replace the more detailed eligibility check carried out later by the ERC.

Only upon successful completion of these checks will the EPSS allow the applicant to initiate the submission of the proposal (by clicking on the submission button).

If the 'SUBMIT' button is not pressed, the ERC considers that no proposal has been submitted.

The proposals and attached documentation must exclusively use PDF ("Portable Document Format", compatible with Adobe version 3 or higher, with embedded fonts).[17] Other file formats will not be accepted by the system. 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.) sent electronically or by post, will be disregarded.

Proposals must be submitted on or before the deadline specified in the Call for Proposals.

The EPSS will be closed at the call deadline. After this moment, access to the EPSS will be impossible.

Applicants are strongly advised to prepare their submission and upload the proposal in good time before the deadline. It can be modified if necessary at any time prior to the call deadline.

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.

[17] Irrespective of the page limits specified above, there is an overall limit of 10 Mbyte 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.

3.2.4 Reception

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

Subsequent to submission, 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.

3.2.5 Modifying or withdrawing a proposal

Up until 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.

Once the deadline has passed, however, the ERC can accept no further additions, corrections or re-submissions. The last eligible version of your proposal received before the deadline is the one which will be evaluated, and no later material can be submitted.

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

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

After the call deadline, a proposal may be withdrawn only by sending a signed letter to the European Research Council (ERC): Madou Plaza n°1, Office: MADO 5/64, 1049 Brussels.

3.2.6 Reapplications and multiple applications

For reapplications or the submission of more than one application the following rules apply:

- No PI or team member may be associated with more than one application to the ERC during the same calendar year.
- A PI may not submit an application for an ERC grant during the calendar year following the submission of an unsuccessful application, unless that application was judged to meet the quality threshold for funding[18].
- Only one ERC grant by a PI can be active at any time.[19]

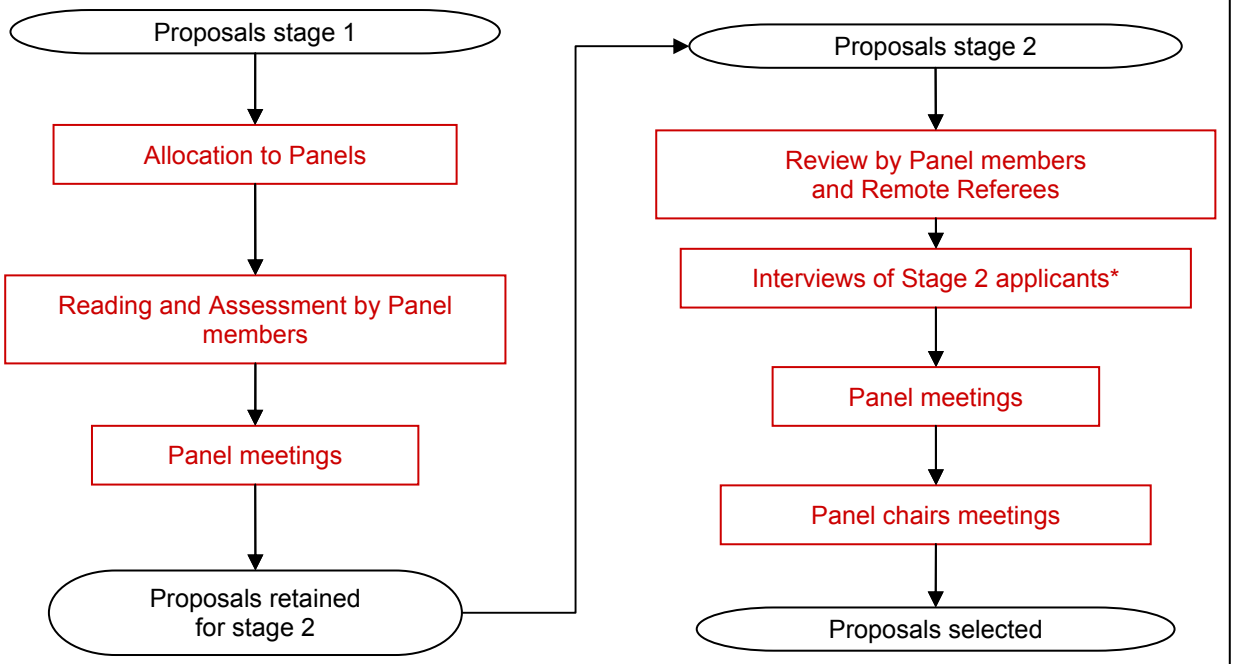
[18] Note: This rule will not apply to the second call for ERC Starting Grants.

[19] However, to secure continuity of funding, applicants that have been awarded an ERC Starting Grant may apply for an Advanced Investigator Grant during the last calendar year of their grant.

- For ERC Starting Grants only: Applications by PIs who have successfully applied for similar type of funding (e.g. EURYI awards) will not be accepted unless the objectives of the proposed ERC project are clearly distinct.

4. Evaluation and selection of grant proposals[20]

The grant application procedure consists of two stages. In summary, these are as follows (see Box 7):



Box 7: Evaluation and selection of grant proposals

***Interviews with applicants will only be conducted for ERC Starting Grants.**

Stage 1

i.) Eligibility Check: Proposals are checked to ensure that all of the eligibility criteria are met.

ii.) Peer Review Evaluation: Proposals which fulfil these criteria are evaluated by high level peer review evaluation panels ("Panels"), which assess, score and comment on the quality of the proposal.

iii.) Feedback: Applicants are informed of the outcome of the evaluation of their proposal. Applicants whose proposals meet the required level of quality are invited to proceed to stage 2.

[20] The *Guide for ERC Peer Reviewers* provides detailed information on ERC Peer Review Evaluation and Proposal Selection Processes. See at http://erc.europa.eu

Stage 2

i.) Eligibility Check: Proposals are checked to ensure that all of the eligibility criteria are met.

ii.) Peer Review Evaluation: Proposals which fulfil these criteria are evaluated by Panels, which assess, score and comment on the quality of the proposal. Additionally, interviews with applicants may be conducted by these Panels. Applications which meet the quality thresholds are ranked in a list.

iii.) Feedback: Applicants are informed of the outcome of the evaluation of their proposal.

iv.) Selection: An ERC grant is offered to proposals which are sufficiently high in the ranked list such that ERC funding is available.

v.) Grant Preparation: If an applicant accepts the offer, a grant agreement is prepared. This defines the terms and conditions applicable to the PI, the hosting institution and the ERC (see chapter 5).

4.1 How are proposals evaluated?

4.1.1 Eligibility

In order to be retained, a proposal must fulfil all of the following eligibility requirements:

- It must be submitted before the deadline.
- It must be complete (i.e. all of the requested components and forms must be present)
- Its content must relate to the ERC grant scheme which is subject of the call for proposals.
- Eligibility requirements of the respective ERC grant scheme as well as other criteria mentioned in the relevant call for proposals must be met.

An eligibility check is carried out at both stages of the two-stage application procedure.

Where there is a doubt on the eligibility of a proposal, the evaluation may proceed pending a decision by an eligibility review committee (see section 4.4).

4.1.2 Peer review evaluation and ranking

Proposals are evaluated by Panels mainly on the basis of:

- The potential of the Principal Investigator
- The quality of the proposed research project

In addition, the Panels consider (as a pass/fail criterion):

- The research environment and resources

Further details on the evaluation criteria for the ERC Starting Grant are provided in Annex 5. These criteria apply to both stage 1 and stage 2 of the application procedure. Criteria for the ERC Advanced Investigator Grant will be defined in 2007.

The composition of the Panels is outlined in Box 8. Proposals are assigned to panels according to the keywords indicated in the application form. The Panels then assess whether each proposal meets the quality threshold, based on the evaluation criteria of the relevant ERC grant scheme.

For the ERC Starting Grant scheme, 20 Panels have been established covering all fields of science, engineering and scholarship. Details on the structure and composition of the ERC panels are provided in Annex 6. The panel structure for the ERC Advanced Investigator Grant will be defined in 2007.

Panels may be assisted by additional experts. As renowned specialists in particular research domains, these additional experts act as referees to provide individual assessments on a proposal-by-proposal basis.

Box 8: Composition of ERC Panels

- Each panel consists of one Panel Chair and 10-12 panel members.
- The Panel Chair and members are selected by the ERC Scientific Council.
- The Panel Chair manages and ensures the quality of the evaluation process for the proposals assigned to his/her panel.
- The panels work on the basis of common "Rules of Procedures", which are defined by the ERC Scientific Council (see Guide for ERC Peer Reviewers).

In summary, the evaluation procedure is as follows:

Stage 1: Outline proposals are distributed to panel members[21] who read them "remotely" (i.e. at their place of work). For each proposal, three or four panel members

[21] In cases where the number of proposals is exceptionally high, proposals can be evaluated additionally by external (non-panel) reviewers designated by the ERC.

are given particular responsibility for a preliminary assessment. Following this, proposals are discussed and scored by the whole panel during a meeting.

In order to avoid over-subscription at stage 2, the number of proposals that successfully pass stage 1 of the evaluation is limited. It is estimated that the number of proposals invited to proceed to stage 2 will be approximately double the number of grants available. This implies a success rate of around 50% at stage 2.

Stage 2: Full proposals are assessed and scored remotely by at least two panel members as well as by at least two additional specialist referees. PIs with the highest ranked proposals will be invited for an interview by the relevant ERC panel. Following this, the Panels meet to decide on the final scoring and ranking.

For proposals which meet the required quality threshold, the Panel may make recommendations regarding the budget proposed by the PI and/or the methodology and time schedule of the work. These recommendations will be taken into account if a grant is subsequently offered to the PI.

A ranked list is drawn up for the proposals which meet the quality threshold and grants are offered for applications sufficiently high in the list for which budget is available.

Please note that if the research project described in a stage 2 full proposal deviates substantially from the corresponding stage 1 outline proposal, it may be excluded from further evaluation.

4.3 Feedback to applicants

Applicants are provided with feedback on the outcome of the evaluation after each stage of the application procedure 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 (where applicable) comments from the referees.

For those proposals rejected after failing an evaluation threshold, comments are only included for those criteria examined up to the point where the threshold was failed.

Proposals which meet the quality threshold in stage 1 are invited to proceed to stage 2. Proposals which meet the threshold in stage 2, and which are sufficiently high in the list for funding to be available, are invited to conclude an ERC grant agreement.

4.4 Redress

Appeals against the collective scientific judgement of the Panels will not be admissible. Appeals on procedural matters, matters regarding conflict of interest, or on factual errors may only be considered if they are well founded.

Appeals should be addressed to ERC Secretary-General[22] within one month of receipt of the results of the evaluation, making reference to the name of the call for proposals, the proposal number (if any), the title of the proposal, and a description of the problems encountered.

A committee may be convened under the authority of the Scientific Council to review the case in question. This committee will bring together staff with the requisite scientific/technical and legal expertise and will recommend a course of action to the ERC.

For questions regarding eligibility, an eligibility review committee may be convened.

The applicant will receive a response within 2 weeks after reception of the redress request. If a definitive reply cannot be given at that stage, the reply will indicate when a full reply can be expected.

[22] ERC Secretary-General, Madou Plaza 1, Office: MADO 06/007, BE-1049 Brussels, Fax: +32-2-299.31.73 , email: rtd-erc-appeals@ec.europa.eu

5. Managing ERC grants[23]

5.1 What is an ERC grant agreement?

A 'grant agreement' is the set of documents which awards funding to the Principal Investigator (PI) and specifies the relevant terms and conditions.

An ERC grant agreement essentially consists of:

- an ERC Core Grant Agreement between the ERC and the hosting institution, the latter being the legal entity entitled to receive funds.
- a Supplementary Agreement between the hosting institution and the PI, which commits the hosting institution to granting the PI the requisite basic support and the independence to manage the research funding for the duration of the project.

5.2 How is a grant agreement prepared?

The ERC prepares grant agreements for projects on the basis of the proposal and the recommendations of the peer review evaluation Panels (see Section 4.1.2), verifying also the legal status and financial capacity of the applicant legal entity[24].

PIs that are offered a grant may accept or reject the grant and applicable rules and conditions as a "package".

If the PI accepts the conditions, the ERC prepares the relevant documents. In addition to the two agreements mentioned in Section 5.1 the following annexes are included in the grant agreement:

- Annex I: Description of work (the Stage 2 project proposal taking into account the ERC panel's recommendations)
- Annex II: General conditions
- Annex III: Accession Form (if more than one hosting institution)

[23] Detailed information and documentation, including the template structures and forms for financial and scientific reporting are provided in the *Guide for ERC Grant Holders*. See at http://erc.europa.eu .

[24] See Commission's decision on *"FP7 Rules to ensure consistent verification of the existence and legal status of participants, as well as their financial capacity", to be adopted and published in mid 2007.*

The general conditions include the arrangements for the scientific, financial and ethical conduct as well as procedures for dealing with changes in the team composition and managing Intellectual Property Rights.

The agreements are concluded following signature by the relevant parties; the ERC always signs the agreement after having received the duly signed Supplementary Agreement and the signature by the PI's hosting institution.

5.3 How much flexibility is allowed within an ERC Grant Agreement?

5.3.1 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 revise the scientific strategy and allocate expenditure (e.g. regarding staff, equipment, consumables) accordingly, provided the research performed is still in line with the original scientific or scholarly objectives.

5.3.2 Portability[25]

It is normally expected that the PI establishes and concludes the funded research project in association with the original hosting Institution (applicant legal entity). However, it is acknowledged that in some cases the PI may move to another organisation during the course of the project. This may, for example be necessary if the provisions for the PI's leadership of the research have not been respected. In such cases, with the agreement of the ERC, the PI is entitled to transfer the remainder of the grant to a new hosting institution. This would not normally be done within the first two years of the start of the project.

The original hosting institution is expected to transfer funds other than those that have already been consumed or irretrievably committed by the current hosting institution 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.[26]

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

[25] Please note that the arrangement concerning grant portability are currently being finalised and this may lead to modifications to the Guide for Applicants.

[26] In some countries, equipment is formally owned by the State and the consent of the hosting organisation alone may not be sufficient.

The detailed rules for transferring grants are included in the *"Guide for ERC Grant Holders".*

5.4 How is project progress reported?

Project reporting is carried out in two streams: scientific reporting (for which PIs are responsible) and financial management reporting (for which the hosting institution is responsible).

5.4.1 Scientific Reporting

PIs are required to send a mid-term and final scientific report to the ERC. These reports inform the ERC 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 panel convened by the ERC, which may also involve site visits. The panel will make recommendations as to the future course of the project.

5.4.2 Financial management reporting

The hosting institution is required to send periodic financial management reports justifying the use of any expenditure. Declarations of costs exceeding a cumulative total of € 375'000 must be accompanied by a certificate on financial statements. Where the project involves more than one legal entity, the hosting institution must provide a consolidated cost claim.

5.5 When and how are ERC Grants paid?

Grants are paid in several instalments: an advance payment (as pre-financing) is made at the start of the project (i.e. shortly after signature of the grant agreement) and actual expenditures are reimbursed on the basis of the periodic financial management reports (see Section 5.4.2).

6. Publication and exploitation of results

6.1 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 European Research Council has provided financial support under the European Community's Seventh Framework Programme (FP7/2007-2013) / ERC grant agreement n° [xxxxxxxxx]."

For downloading the image files of the ERC logo and the European emblem, please consult http://erc.europa.eu and http://europa.eu/abc/symbols/emblem/download_en.htm .

6.2 Dissemination, Exploitation and IPR

PIs should develop their own strategy to disseminate and exploit project results, 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 may publish information on projects which it supports financially. This could include the name of the PI and hosting 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 hosting institution may request that the ERC does not make this information public.

7. Further Information and Support

General information and key documents are available on the **ERC website** at http://erc.europa.eu and CORDIS at http://cordis.europa.eu . The website also includes a glossary and 'Frequently Asked Questions.'

As with other parts of the Seventh Framework Programme, **National Contact Points (ERC NCPs)** have been set up across Europe[27] 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. Contact details are available at http://erc.europa.eu/pdf/ncp.pdf .

Questions related to the EPSS should be directed to the **EPSS Helpdesk** (details are available in mid-March 2008).

A general **ERC Helpdesk** is also available and accessible via the Europe Direct Contact Centre at http://ec.europa.eu/research/index.cfm?pg=enquiries .

[27] This applies to EU Member States and Associated Countries. Some third countries also provide this service.

Annex 1: ERC grant application Submission Forms

Instructions for completing the "administrative forms" (A forms) of the ERC grant application

Please note that as part of the start-up of FP7, the Electronic Proposal Submission Service (EPSS) is expected to become available at least four weeks before the call deadline. Further information will be given on the CORDIS site.

Proposals and pre-registrations must be submitted electronically via the web-based Electronic Proposal Submission Service (EPSS). The procedure is given in section 3.2.3 of this guide.

In the A forms the applicant 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. Details of the work the PI intend to carry out will be described in the research proposal (annex 2 of this guide).

Section A1 gives a snapshot of the proposal and of the PI, section A2 concerns the PI hosting institution, while section A3 deals with money matters.

Please note:

- Please use English only to fill in the forms.
- Section A1 and section A3 concern information about the research proposal, about the PI and on estimation of the resources.
- Section A2 concerns information about the PI's Hosting Institution[28]
- Subcontractors are not required to fill in section A2 and should not be listed separately in section A3.
- Please ensure that the amount given in the financial section A3 corresponds precisely to the information provided in the research proposal text (resources section). In case of discrepancy, the A3 data will prevail.

When you complete part A, please make sure that:

- *All costs are given in whole Euros (integer), not thousands of Euros, and must exclude value added tax.*

Note:
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.

[28] The filling of additional A2 forms, corresponding to the organisations of some team members, may be necessary

ERC GRANTS

Section A1: Proposal and PI information (To be completed for Stage 1 and stage 2 proposals)	
Proposal Number	[pre-filled by the system]
Proposal Acronym	The short title or acronym will be used to identify your proposal efficiently in this call. It should be of no more than 20 characters (use standard alphabet and numbers only; no spaces, symbols or special characters please). The same acronym should appear on each page of the research proposal.
General Information on the Proposal	
Type of project	[pre-filled] Support for Frontier Research – ERC Starting Grant
Call identifier	[pre-filled] The call identifier is the reference number given in the call or part of the call you are addressing, as indicated in the publication of the call in the CORDIS call page. A call identifier looks like this: *ERC-2007-StG*
Activity code	Should be: ERC Starting Grant
Proposal Title	The title should be no longer than 200 characters and should be understandable to the non-specialist in your field.
Duration in months	The estimated duration of the project in full months.
ERC Review Panel	[drop-down menu] Please choose an option indicating the ERC panel(s) by which you would prefer your proposal to be evaluated. This information is mandatory for the 1st preference and optional for the 2nd and 3rd preferences.
ERC Keywords	[drop-down menu] Please select keywords that best characterise the subject of your proposal. You don't need to limit your choice of keywords to your choice of specific panel or panels. The choice of keyword 1 is mandatory; keywords 2, 3 and 4 are optional.
Free Keywords	In addition please enter free text keywords that you consider necessary to characterise the scope of your research proposal. The choice of keywords should take into account any multiple-disciplinary aspects of the proposal. There is a limit of 100 characters.
Abstract	The abstract (summary) should, at a glance, provide the reader with a clear understanding of the objectives of the research proposal and how they will be achieved. The abstract will be used as the short description of your research proposal in the evaluation process and in communications to the programme management committees and other interested parties. It must therefore be short and precise and should not contain confidential information. Please use plain typed text, avoiding formulae and other special characters. There is a limit of 2000 characters.

Information on the Principal Investigator	
Family Name	Last name as given in your PhD (or equivalent doctoral degree) documentation.
Birth Family Name	Your last name at birth.
First Name(s)	Your first name.
Title	Please choose one of the following: Prof., Dr., Mr., Mrs., Ms.
Gender Female(F)/Male(M)	This information is required for statistical and mailing purposes. Indicate F or M as appropriate.
Nationality	Insert your Nationality, in English.
Country of residence	The country in which you legally reside. Insert the name of the country, in English.
Date of Birth (DD/MM/YYYY)	Please specify your date of birth using the format (DD/MM/YYYY).
Country of Birth	The country in which you were born. Insert the name of the country, in English (please avoid any additional regional or district code or information).
Town of Birth	The town in which you were born. Insert the name of the town, in English (please avoid any district codes).
Current Organisation name (if applicable)	Name under which your organisation is registered.
Current Department/Faculty/ Institute/Laboratory name (if applicable)	Name under which your Department/Faculty/Institute/Laboratory is registered.
Street name	The street name.
Number	The building number.
Town	The town, in English (please avoid any district codes).
Postal Code/ Cedex	The Postal code.
Fax	Please insert the full fax number including country and city/area code. Example +32-2-2991111.
Country	The country, in English (please avoid any additional regional or district code or information).
Phone	Please insert the full phone number including country and city/area code. Example +32-2-2991111. The 2nd phone number is optional.
E-mail	Please insert your e-mail address. The 2nd e-mail address is optional.

Date of first PhD or Doctorate award (DD/MM/YYYY)	Please specify the date of award of your doctoral degree using the format (DD/MM/YYYY). This should correspond to the date on the actual original PhD certificate. Wrong or missing information may cause your proposal to be ineligible
If this date is more than 9 years prior to the call deadline: do you qualify for an extension of the eligibility period (of maximum 3 years)?	Researchers must have obtained a PhD or equivalent doctoral degree at the earliest 9 years prior to the date of the deadline for submission of proposals. Extensions of this period are possible in certain cases. Please consult the work program, the eligibility conditions section. Wrong or missing information may cause your proposal to be ineligible.
During the last calendar year, have you submitted any other proposal for an ERC grant?	No PI or team member may be associated with more than one application to the ERC during the same calendar year. A PI may not submit an application for an ERC grant during the calendar year following the submission of an unsuccessful application, unless that application was judged to meet the quality threshold for funding (not applicable to the first/second StG calls).
Information on the Administrative Official of the Hosting Institution	
Family Name	Last name as given in the Passport or ID card.
Birth Family Name	Last name at birth.
First Name(s)	First name.
Title	Please choose one of the following: Prof., Dr., Mr., Mrs., Ms.
Gender Female(F)/Male(M)	This information is required for statistical and mailing purposes. Indicate F or M as appropriate.
Position in the hosting institution	e.g. senior administrative officer
Department/Faculty/ Institute/Laboratory name	The name under which the host Department/Faculty/Institute/Laboratory is registered.
Street name	The street name.
Number	The building number.
Town	The town, in English.
Postal Code/ Cedex	The Postal code.
Fax	Please insert the full fax number including country and city/area code. Example +32-2-2991111.
Country	The country, in English.

Phone	Please insert the full phone number including country and city/area code. Example +32-2-2991111. The 2nd phone number is optional.
E-mail	Please insert the e-mail address. The 2nd e-mail address is optional.
Section A2: Hosting institution information (To be completed for Stage 1 and stage 2 proposals)	
Organisation Number	The number allocated by the consortium (if it is the case) to each organisation. The **PI** of the proposal is always **number one**.
The Organisation	
If your organisation has already registered for FP7, enter your Participant Identity Code	Not applicable to the first call.
Organisation legal name	**For Public Law Body,** it is the name under which the hosting institution 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; **For Private Law Body,** it is the name under which the hosting institution is registered in the national Official Journal (or equivalent) or in the national company register.
Organisation short name	Choose an abbreviation of the hosting institution 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 (./;…), for e.g. CNRS and not C.N.R.S. It should be preferably the one as commonly used, for e.g. IBM and not Int.Bus.Mac.
Organisation Town	Town where the Organisation is located, in English (please avoid any district codes).
Organisation Country	The country where the Organisation is located, in English (please avoid any additional regional or district code or information).
Department/Faculty/ Institute/Lab Name	The name under which the Department/Faculty/Institute/Laboratory is registered.
Department/Faculty/ Institute/Lab Town	The town where the Department/Faculty/Institute/Laboratory is located, in English (please avoid any district codes).
Department/Faculty/ Institute/Lab Country	The country where the Department/Faculty/Institute/Laboratory is located, in English (please avoid any additional regional or district code or information).
Internet Homepage	Insert the address of the Organisation internet homepage.

Section A3: Budget (To be completed for Stage 1 and stage 2 proposals)

Financial information – whole duration of the project

This financial data summarises the total costs and the requested EU grant, as they are also presented in the Research proposal text.

The Hosting Institution[29] should enter the different type of costs (Personnel, other direct, indirect and subcontracting). Please ensure the table contains the correct amount of the different type of costs and the correct total eligible costs and requested grant.

If you are participating as legal entity from International Cooperation Partner Countries (ICPC), you can opt for lump sum funding instead of reimbursement of eligible costs. In this case you should complete only the box on "requested grant".[30]

Eligible and non-eligible direct and indirect costs

An ERC grant can cover up to 100% of the total eligible direct costs of the research plus a contribution towards indirect costs, which cannot exceed 20% of the total eligible direct costs (excluding sub-contracting). Costs claimed should be in line with the hosting institution's own accounting rules.

Direct eligible costs are those which support all the research, management, training and dissemination activities necessary for the conduct of the project, such as: Personnel Costs; 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 PC's, laptops, office software; Miscellaneous recurring consumables.

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.

Participant Number in this proposal	The **PI' Hosting Institution** of the proposal is always **number one**.
Organisation short name	The same name that as been used in form A2.
Personnel costs	Personnel costs are only the costs of the actual hours worked by the persons directly carrying out work under the project. Such persons must: – be directly hired by the beneficiary in accordance with its national legislation, – work under the sole technical supervision and responsibility of the latter, and – be remunerated in accordance with the normal practices of the participant. 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

[29] Additional lines should correspond to any legal entities that have filled form A2

[30] The lump sum calculation method will be subject to a specific Commission decision, published in early 2007.

	usual accounting practices of the participant. Average personnel costs charged by a participant having provided a certification on the methodology are deemed not to significantly differ from actual personnel costs.
Other direct costs (- subcontracting)	Means direct costs not covered by the above mentioned categories of costs.
Indirect costs	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.
Subcontracting	A subcontractor is a third party which has entered into an agreement on business conditions with one or more participants, in order to carry out part of the work of the project without the direct supervision of the participant and without a relationship of subordination. Where it is necessary for the participants to subcontract certain elements of the work to be carried out, the following conditions must be fulfilled: - subcontracts may only cover the execution of a limited part of the project; - recourse to the award of subcontracts must be duly justified in Part B of the proposal having regard to the nature of the project and what is necessary for its implementation; - recourse to the award of subcontract by a participant may not affect the rights and obligations of the participants regarding background and foreground; - Part B of the proposal must indicate the task to be subcontracted and an estimation of the costs; 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. 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.
Eligible Costs	The sum of direct costs (personnel and others), indirect costs and subcontracting.
Requested Grant	The total budget that you are requesting as the ERC grant.

Annex 2: ERC Starting Grant: Proposal Template[31]

Format of the proposal:

The proposal consists of a cover page and three components. The information to be included in each of these sections and the maximum length is described below.

Please note that only the material that the proposal contains within these limits will be evaluated. It should provide sufficient evidence to the peer reviewers to assess the evaluation criteria as described in Annex 5.

Cover page:

- Name of the Principal Investigator
- Name of the hosting institution for the project
- Project full title
- Project short name
- Project duration
- Project summary (half page)

a) *The Principal Investigator* (Stage 1: max. 3 pages, Stage 2: max. 4 pages)

i. CV

Outline your education (including training), key qualifications and professional experience. State the exact date of award of your PhD. State clearly any extensions of the eligibility period (max 8 years from PhD) that you are claiming for eligible career breaks. Supporting documents must accompany the proposal at stage 2.

Describe your principal scientific activities and responsibilities (past and present), your participation in research projects, your experience in scientific collaboration and any international experience.

List your 5 main publications relevant to this proposal and any other relevant achievements (such as patents, books, awards, invited key lectures given, etc.). In stage 2, you may specify additional publications.

State any other skills and experience you consider relevant to the proposal.

ii. Self Evaluation

Describe how your skills and achievements demonstrate your potential as an independent research leader.

iii. Funding ID

State clearly and accurately any current research grants, scholarships, bursaries etc. from which you benefit, for work related to the ERC grant application, as well as any ongoing or foreseen future applications. Describe how you envisage an ERC grant will complement any existing funding.

[31] *If your 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 your proposal.*

For each source of funding, you should specify:

- Full title of the research grant, scholarship, bursary etc.
- Name of the funding scheme and organisation responsible
- Your participation in it (e.g. Principal Investigator, co-investigator, etc.)
- Size and duration of the funding

You may use a tabular format.

b) ***The Research Project*** **(Stage 1: max. 4 pages, Stage 2: max. 10 pages)**

i. State-of-the-art and objectives
Specify clearly the objectives of the project, in the context of the state-of-the-art in the field. Outlining the project it should be indicated how and why the project 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 project, including multi - or inter-disciplinary aspects.

ii. Methodology
Stage 1
Describe the key elements of the proposed research methodology, indicating how and why it is appropriate.

Stage 2
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.

iii. Resources
Describe the size and nature of the team, illustrating the role of any key team member. Describe other necessary resources, such as infrastructure and equipment. Specify any existing resources that will contribute to the project.

iv. Ethical issues
If applicable, describe any ethically sensitive issues raised by the proposed research, and how they will be managed. For research requiring ethical or other regulatory review by competent local or national authorities, specify the name of the pertinent authority or review board.

c) ***Research Environment*** **(Stage 1: max. 1 page, Stage 2: max. 2 pages)**

i. Transition to independence
Describe how the project will enable you to make or consolidate the transition to becoming an independent research leader

ii. Hosting institution

At stage 1 describe the hosting institution. At stage 2 also specify what facilities and assistance it will provide to the project, illustrating its capacity to support the project, including in terms of broader intellectual support.

iii. Budget

State the overall budget requested. This should include the direct costs of the project and also a contribution of 20% of the direct costs (excluding subcontracting) towards overheads. At stage 2 include a breakdown of the budget including 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 (Annex 1).

iv. Additional participants

If more than one institution will be included as a participant in the project, you should demonstrate clearly the specific scientific added value of this additional participant.

Annex 3: ERC Starting Grant (Stage 1): Expression of Support of the Hosting Institution[32]

When submitting a stage 1 proposal for an ERC Starting Grant, the hosting institution must confirm its association and support to the proposal and the Principal Investigator.

In this respect, the hosting institution should submit a signed statement, as an attachment to the Principal Investigator's proposal. The statement (on letterhead paper) should read as follows:

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"[33], confirms its association and support to the submission of the proposal entitled "[Acronym]: [Title of the proposal]" by [*name of the Principal Investigator*], who has the full scientific responsibility of the project.

For the institution

Name, Function, Email + Signature of legal representative

Stamp of institution

[32] A scanned copy of the signed statement should be uploaded electronically on EPSS in PDF format

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

Annex 4: ERC Starting Grant (Stage 2): Commitment of the Hosting Institution[34]

When submitting a stage 2 proposal for an ERC Starting Grant, the hosting institution must reconfirm its commitment to supporting the Principal Investigator and facilitating his/her transition to independence.

In this respect, the hosting institution should submit a signed statement (on letterhead paper), as an attachment to the PI's proposal, confirming its intention to sign a Supplementary Agreement with the PI and stating the specific obligations[35] of the hosting institution listed in the ERC's Supplementary Agreement.

This statement needs to be signed by the institution's legal representative and stating his/her name, function and email address.

The peer review evaluation panels are empowered to determine whether the grant and the signed statement by the hosting institution will allow the Principal Investigator to make or consolidate the transition to independence.

[34] A scanned copy of the signed statement should be uploaded electronically on EPSS in PDF format

[35] The list of these specific obligations will be provided in the final version of this Guide.

Annex 5: ERC Starting Grants: Evaluation Criteria

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

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

1. Principal Investigator: Potential to become an independent research leader

Quality of research output: Has the Principal Investigator published in high quality peer reviewed journals or the equivalent? To what extent are these publications ground-breaking and demonstrative of independent creative thinking and capacity to go significantly beyond the state of the art?

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

2. Quality of the proposed research project

Ground-breaking nature of the research: Does the proposed research address important challenges in the field(s) addressed? Does it have suitably ambitious objectives, which go substantially beyond the current state of the art (e.g. including trans-disciplinary developments and novel or unconventional approaches)?

Potential impact: Does the research open new and important scientific, technological or scholarly horizons?

Methodology:
a) is the outlined scientific approach (including the activities to be undertaken by the individual team members) feasible? (*Stage 1*)
b) is the proposed research methodology (including when pertinent the use of instrumentation, other type of infrastructures etc.) comprehensive and appropriate for to the project? Will it enable the goals of the project convincingly to be achieved within the timescales and resources proposed and the level of risk associated with a challenging research project? (*Stage 2*)

3. Research Environment

Transition to independence: Will the proposed project enable the Principal Investigator to make or consolidate the transition to independence?

Hosting institution (normally applicant legal entity): Does the institution hosting the project have most of the infrastructure necessary for the research to be carried out? Is it in a position to provide an appropriate intellectual environment and infrastructural support and to assist in achieving the ambitions for the project and the Principal Investigator?

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

Application of Criteria

- Panels and referees will evaluate and score numerically the proposals under the criteria of Heading 1: *Potential of the Principal Investigator* and Heading 2: *Quality of the proposed research project.*
- Proposals will be evaluated under Heading 3 criteria (*Research Environment*) on a "pass/fail" basis and commented during stage 2 of the evaluation.
- The overall scoring of the proposals will integrate the strengths and weaknesses including these scores as well as an overall appreciation of the proposal.
- Each evaluation criterion (heading 1 and 2) will be marked on a scale of 1 to 5. The full proposal will be evaluated on a scale of 1 to 10 and an overall quality threshold of 8/10 will be used to establish the "retained list" of proposal which will be ranked in order of priority for funding.
- Panels will establish a recommended budget for each of the proposals retained at stage 2.

Note: The Scientific Council decided at its meeting on 11/12 January 2007, to modify the title of evaluation criterion on n°1. It will now read as follows:

Principal Investigator: Potential to perform world class research

A revised version of the work programme which reflects this Scientific Council decision is now in the process of being formally adopted by the Commission.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Annex 6: ERC Starting Grants: Peer Review Panel Structure

For the ERC Starting Grant, the following Panels have been established.

Social Sciences and Humanities

Panel SH1 - Individuals and organisations: economics, management, demography, geography, urban and environmental studies

- Macroeconomics, growth, development, business cycles
- Microeconomics, institutional economics
- Environment, sustainability, social and industrial ecology
- Econometrics, statistical methods
- Financial markets, banking and corporate finance
- Innovation, competitiveness, research and development
- Consumer behaviour, marketing
- Organization studies, strategy
- Human resource management, employment and earnings
- Public administration, public economics
- Income distribution, poverty
- International trade, economic geography
- Human and social geography, spatial and regional planning
- Population dynamics, health and population
- Urbanization, urban planning, transport studies

Panel SH2 - Institutions, behaviour, values and beliefs: anthropology, sociology, political science, law, communication, social studies of science and technology

- Social structure, inequalities, mobility
- Communication networks, media studies, information society
- Ageing, work, social policies
- Globalization, migration, interethnic relations
- Identity, community, nation, religion
- Legal systems, human rights, constitutions
- Kinship, cultural dimensions of classification and cognition
- Myth, ritual, symbolic representations
- Ethnography
- Political systems, legitimacy, political support
- Global and trans-national governance, civic participation
- Transformation of societies, democratization, social movements
- Scientific knowledge production, politics of knowledge
- Techno-sciences and societies, mutual engagement
- History of science and technology

Panel SH3 - The human mind and its complexity: cognition, linguistics, psychology, philosophy and education

- Evolution of mind and cognitive functions
- Formal, cognitive and functional linguistics

- Neuro-, psycho-, sociolinguistics
- Linguistic typology, comparative and historical linguistics
- Human life-span development
- Neuro- and cognitive psychology
- Clinical and experimental psychology
- Education
- Philosophy
- Epistemology, logic
- Ethics and morality

Panel SH4 - Cultures and cultural diversity: literature, visual and performing arts, music and cultural studies

- Classics, classical literature, classical art
- Literature, literary theory, analysis and criticism
- Comparative literature
- Textual philology and textual criticism
- Visual arts
- Performing arts
- Museums and exhibitions
- Music and musicology
- Cultural studies, cultural diversity
- Ethnic and postcolonial studies
- Cultural heritage

Panel SH5 - The study of the past and of cultural artefacts: memory, history and archaeology

- Modern and contemporary history
- Ancient history, ancient cultures
- Medieval history
- National, trans-regional and trans-national history
- Entangled histories, global history
- Social, economic, cultural, political history
- Historiography
- Archaeology, prehistory, proto-history
- Collective memories and identities, "lieux de memoire"
- History of art and architecture
- History of ideas, intellectual history

Mathematics, physical sciences, information and communication, engineering, universe and earth sciences

Panel PE1 - Mathematical foundations: All areas of mathematics, pure and applied, plus mathematical aspects of theoretical computer science, and mathematical physics

- Foundations of mathematics and logic
- Algorithms
- Number theory
- Combinatorial analysis
- Algebra
- Geometry
- Topology
- Analysis
- Computational mathematics
- Theoretical computer science
- Numerical analysis
- Probability and statistics
- Applied mathematics
- Operations research
- Mathematical physics
- Other areas of mathematics

Panel PE2 - Fundamental constituents of matter: High energy, particle, nuclear, plasma, atomic, molecular, gas, and optical physics.

- High energy physics
- Fundamental interactions & particles
- Particle physics
- Nuclear physics
- Gas & plasma physics
- Atomic, molecular physics
- Optics and quantum optics
- Relativity
- Classical physics
- Thermodynamics
- Non-linear physics
- General physics
- Metrology

Panel PE3 - Condensed matter in physics and chemistry: Condensed matter (structure, electronic properties, fluids,…), statistical physics, nano-sciences, reactions.

- Biophysics
- Condensed matter & solid state physics
- Statistical physics
- Phase transitions
- Structural properties of materials
- Electronic properties of materials & transport
- Magnetism
- Superconductivity
- Semiconductors
- Material sciences (physics related)
- Nano-sciences & nanotechnology (physics related)
- Reaction mechanisms
- Chemical reactions
- Reaction dynamics
- Theoretical and computational chemistry of condensed matter
- Chemical physics, physical chemistry of condensed matter
- Nano-chemistry

Panel PE4 - Material and chemical sciences: material sciences, molecular architecture, chemical theory, analysis and synthesis (organic and inorganic), physical and environmental chemistry, method development.

- Physical chemistry of molecules
- Environment chemistry
- Homogeneous & heterogeneous catalysis
- Spectroscopic and spectrometric techniques
- Molecular architecture
- Molecular chemistry
- Analytical chemistry
- Organic chemistry
- Inorganic chemistry
- Instrumental techniques
- Macromolecular chemistry, polymer chemistry
- Solid state chemistry
- Synthesis (organic and inorganic)
- Material science (chemistry related)
- Surface science
- Colloid chemistry
- Combinatorial chemistry
- Theoretical and computational chemistry of molecules
- Method development
- Supramolecular chemistry
- Chemistry of biological systems (biological chemistry)

Panel PE5 - Information and communication: Informatics and information systems, computer science, scientific computing, communication technology, intelligent systems.

- Computer architecture
- Database management
- Formal methods
- Graphics
- Human computer interaction and interface
- Informatics and information systems
- Theoretical computer science
- Intelligent systems
- Scientific Computing
- Modelling tools
- Multimedia
- Networks
- Parallel and Distributed Computing
- Robotics
- Signals, Speech and Image Processing
- Systems and software

Panel PE6 - Engineering sciences: Electronics, product design, process design & control, construction methods, fluid and solid mechanics, energy systems, bio-engineering.

- Aerospace engineering
- Biomedical engineering and technology
- Chemical engineering
- Civil engineering

- Control engineering
- Electrical & electronic engineering
- Computational engineering
- Fluid dynamics
- Energy systems
- Maritime engineering
- Micro-engineering
- Mechanical engineering
- Materials Engineering
- Nuclear engineering
- Process engineering
- Product design
- Simulation engineering & modelling
- Systems engineering

Panel PE7 - Universe science: Astro-physics/chemistry/biology/geology; solar system; stellar, galactic and extragalactic astronomy, cosmology; space science, instrumentation.

- Solar & interplanetary physics
- Planetary systems sciences
- Interstellar medium
- Formation of stars & planets
- Astrobiology
- Stars & stellar systems
- The Galaxy
- Formation & evolution of galaxies
- Clusters of galaxies & large scale structures
- High energy and particles astronomy – X-rays, cosmic rays, gamma rays, neutrinos
- Relativistic Astrophysics
- Dark matter, dark energy
- Gravitational astronomy
- Cosmology
- Space Sciences
- Very large data bases: archiving, handling & analysis
- Instrumentation – telescopes, detectors & techniques

Panel PE8 - Earth system science: Physical geography, geology, geophysics, meteorology, oceanography, climatology, ecology, global environmental change, biogeochemical cycles, solar planets, natural resources management

- Atmospheric chemistry and aeronomy
- Meteorology and atmospheric sciences
- Climatology (incl. paleo-climatology), climate modeling
- Ecology, environmental chemistry, water, air and soil pollution
- Geography, geology , geochemistry
- Global environmental change
- Geophysics, seismology, volcanology
- Oceanography/marine sciences (physical, chemical, biological),
- Biogeochemistry
- Geophysics, geochemistry, mineralogy
- Solar planetology
- Petrology, sedimentology
- Physical geography
- Earth observations from space / remote sensing
- Geomagnetism, paleomagnetism
- Ozone and atmospheric composition
- Soil science, tectonics
- Waste disposal, water science

Biological and Life Sciences

Panel LS1 - Molecular, cellular and developmental biology: Molecular biology, biochemistry, biophysics, structural biology, cell biology, cell physiology, signal transduction and pattern formation in plants and animals.

- Molecular biology and interactions
- General biochemistry and metabolism
- Nucleic acid biosynthesis, modification and degradation
- RNA processing and modification
- Protein synthesis, modification and turnover
- Biophysics
- Structural biology (crystallography, NMR, EM)
- Morphology and functional imaging of cells
- Cell biology and molecular transport mechanisms
- Cell cycle and division
- Apoptosis
- Cell differentiation, physiology and dynamics
- Organelle biology
- Cell signalling and cellular interactions
- Signal transduction
- Development, developmental genetics, pattern formation and embryology

Panel LS2 - Genetics, genomics, bioinformatics and systems biology: Molecular and cell genetics, genomics, transcriptomics, proteomics, metabolomics, bioinformatics, computational biology, biostatistics, biological modelling & simulation, systems biology.

- Molecular genetics
- Epigenetics and gene regulation
- Quantitative genetics
- Cell genetics
- Comparative genetics
- Human genetics
- Reverse genetics and RNAi
- Genomics, comparative genomics, functional genomics
- Proteomics
- Transcriptomics
- Metabolomics
- Glycomics
- Bioinformatics
- Computational biology
- Biostatistics
- Systems biology
- Biological systems analysis, modelling and simulation

Panel LS3 - Organismic physiology, including infection and immunity: Organogenesis, organ physiology, endocrinology, ageing, regeneration, metabolism, immuno-biology, microbiology, virology, parasitology, toxicology.

- Organ physiology
- Comparative physiology
- Endocrinology
- Ageing
- Metabolism, biological basis of metabolism related disorders
- Toxicology
- Parasite biology
- Microbiology, microbial genetics
- Virology, viral genetics
- Innate immunity
- Adaptive immunity
- Phagocytosis and cellular immunity
- Immuno-signalling
- Immunological memory and tolerance
- Immuno-genetics
- Biological basis of immunity related disorders

Panel LS4 -Neurosciences: Neurobiology, neuroanatomy, neurophysiology, neurochemistry, neuropharmacology, neuroimaging, systems neuroscience, psychiatry.

- Neurobiology
- Neuroanatomy
- Neurophysiology
- Neurochemistry and neuropharmacology
- Systems neuroscience
- Cognition
- Behaviour
- Brain and neuroimaging
- Biological basis of neural and psychiatric disorders

Panel LS5 - Evolutionary, population and environmental biology: Evolution, ecology, animal behaviour, population biology, biodiversity, biogeography, marine biology, ecotoxicology.

- Evolutionary biology, biological adaptation
- Molecular Evolution
- Evolution and development
- Population biology, population dynamics, population genetics
- Ecology, environmental and conservation biology, biodiversity, ecotoxicology, marine biology, radiation biology
- Environment and health risks including radiation biology, environmental medicine and toxicology

Panel LS6 - Medical and health science research: Aetiology, diagnosis and treatment of disease, public health, epidemiology, pharmacology, regenerative medicine, veterinary medicine, medical ethics.

- Biological basis of non-communicable diseases, except for neural/psychiatric, immunity-related and metabolism-related disorders. E.g. cancer and cardiovascular diseases.
- Diagnostics
- Therapies: drug therapies, gene therapy, surgery
- Stem cell biology, regenerative medicine
- Public health and epidemiology
- Pharmacology and pharmacogenomics
- Health services, health care research
- Veterinary medicine
- Ethics in medical and health sciences

Panel LS7 - Applied Life Sciences, biotechnology and bioengineering: Agricultural, animal, fishery, forestry and food sciences; biotechnology, chemical biology, genetic engineering, synthetic biology, industrial biosciences; environmental biotechnology and remediation; bioethics.

- Genetic engineering, transgenic organisms, recombinant proteins, biosensors
- Synthetic biology and new bio-engineering concepts
- Chemical biology
- Agriculture and food: animal husbandry, dairying, livestock raising, crop production, soil biology and cultivation, applied plant biology
- Aquaculture, fisheries
- Forestry, biomass production
- Environmental biotechnology: bioremediation; biodegradation
- Industrial biotechnology: bioreactors, industrial microbiology
- Drug discovery, drug design
- Biofuels, biomimetics
- Biohazards, biological containment, biosafety, biosecurity
- Ethics in life sciences (other than medical and health sciences)

Annex 7: Ethical Review

Introduction

The ERC evaluation procedure includes a check of ethical issues raised by the proposals. An ethical review of proposals involving sensitive ethical issues may take place after the evaluation and before any funding decision by the ERC.

The objective of this ethical review is to make sure that the ERC does not support research which would be contrary to fundamental ethical principles.

Description of Ethical Issues in the Proposal

Describe any ethical issues that may arise in their proposal. In particular, you should explain the benefit and burden of their experiments and the effects it may have on the research subject.

The following special issues should be taken into account:

Informed consent: When describing issues relating to informed consent, it will be necessary to illustrate an appropriate level of ethical sensitivity, and consider issues of insurance, incidental findings and the consequences of leaving 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 is previously collected data being used. Consider issues of informed consent for any data being used. Describe how personal identify of the data is protected.

Use of animals: Where animals are used in research the application of the 3Rs (Replace, Reduce, Refine) must be convincingly addressed. Numbers of animals 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 (hESC) will have to address all the following specific points:

- the necessity to use hESC in order to achieve the scientific objectives set forth in the proposal.
- whether the applicants have taken 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 source of the hESC
- the measures taken to protect personal data, including genetic data, and privacy;
- the nature of financial inducements, if any.

Identify the countries where research will be undertaken and which ethical committees and regulatory organisations will need to be approached during the life of the project.

Include the Ethical issues table below. If you indicate YES to any issue, please identify the pages in the proposal where this ethical issue is described. Answering 'YES' to some of these boxes does not automatically lead to an ethical review. It enables the independent experts to

decide if an ethical review is required. If you are sure that none of the issues apply to your proposal, simply tick the YES box in the last row.

Notes:
Only in exceptional cases will additional information be sought for clarification, which means that any ethical review will be performed solely on the basis of the information available in the proposal.
Projects raising specific ethical issues such as research intervention on human beings; research on human embryos and human embryonic stem cells and non-human primates are automatically submitted for ethical review.

To ensure compliance with ethical principles, the Commission Services will undertake ethics audit(s) of selected projects at its discretion. A web site is being prepared aiming to provide clear, helpful information on ethical issues.

ETHICAL ISSUES TABLE

	YES	PAGE
Informed Consent		
• Does the proposal involve children?		
• Does the proposal involve patients or persons not able to give consent?		
• Does the proposal involve adult healthy volunteers?		
• Does the proposal involve Human Genetic Material?		
• Does the proposal involve Human biological samples?		
• Does the proposal involve Human data collection?		
Research on Human embryo/foetus		
• Does the proposal involve Human Embryos?		
• Does the proposal involve Human Foetal Tissue / Cells?		
• Does the proposal involve Human Embryonic Stem Cells?		
Privacy		
• Does the proposal involve processing of genetic information or personal data (eg. health, sexual lifestyle, ethnicity, political opinion, religious or philosophical conviction)		
• Does the proposal involve tracking the location or observation of people?		
Research on Animals		
• Does the proposal involve research on animals?		
• Are those animals transgenic small laboratory animals?		
• Are those animals transgenic farm animals?		
• Are those animals cloning farm animals?		
• Are those animals non-human primates?		
Research Involving Developing Countries		
• Use of local resources (genetic, animal, plant etc)		
• Benefit to local community (capacity building ie access to healthcare, education etc)		
Dual Use		
• Research having potential military / terrorist application		
I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL		