

# FP7 IDEAS Programme The European Research Council



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UNICA – EU Research Officers meeting

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# Outline



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## What is the ERC?

### Horizon 2020

Priorities and effects

### What we offer

The ERC grants and the rules of the game

### Evaluation Procedure

How to prepare and submit a grant

### Ethics aspects

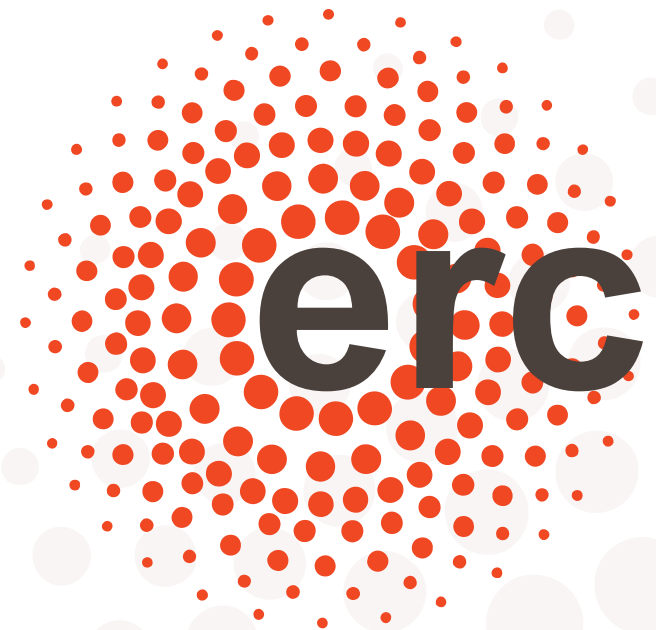
Principles and recommendations



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# What is the ERC?



# The ERC in a nutshell



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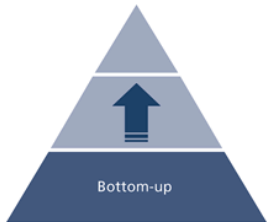
**ERC is a new type of funding body in Europe to support excellence in frontier research, a bottom-up, individual-team, pan-European competition**

## Legislation

- Scientific Council with 22 members
- Support by the ERC Executive Agency
- Significant budget (1.6 billion €/year in 2012)
- Excellence as the only valid criterion

## Strategy

- Support for the individual scientist
- International peer-review
- No predetermined subjects (bottom-up)
- Support of frontier research in all fields of science and humanities



# After 7 years of existence...



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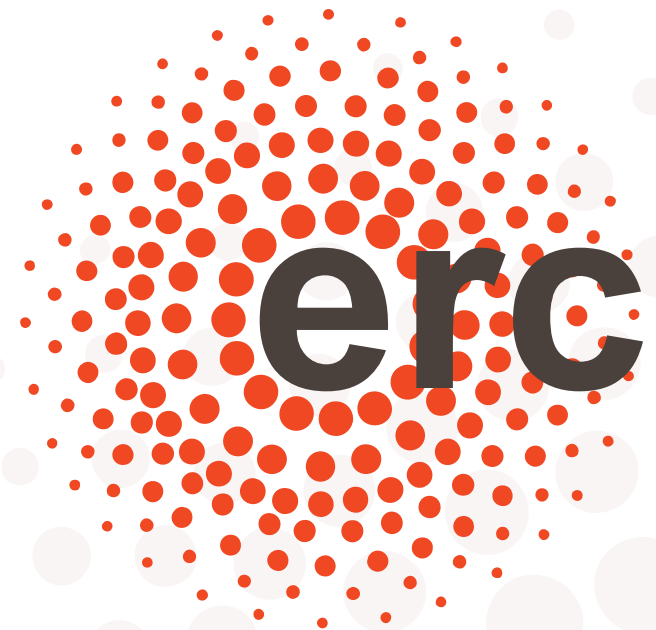
- Highly recognised by the research community
- More than 3.800 funded proposals; over € 6 billion awarded
- “excellence attracts excellence”: 50% of PIs in 50 institutions, but more than 500 different host institutions in 29 countries host the other 50% of the projects
- Highly competitive: average success rate 12%
- Strong structuring effects: reshaping the European landscape of basic/frontier research
- Making Europe more attractive in the global competition for scientific talent



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# Horizon 2020



# Budget under H2020

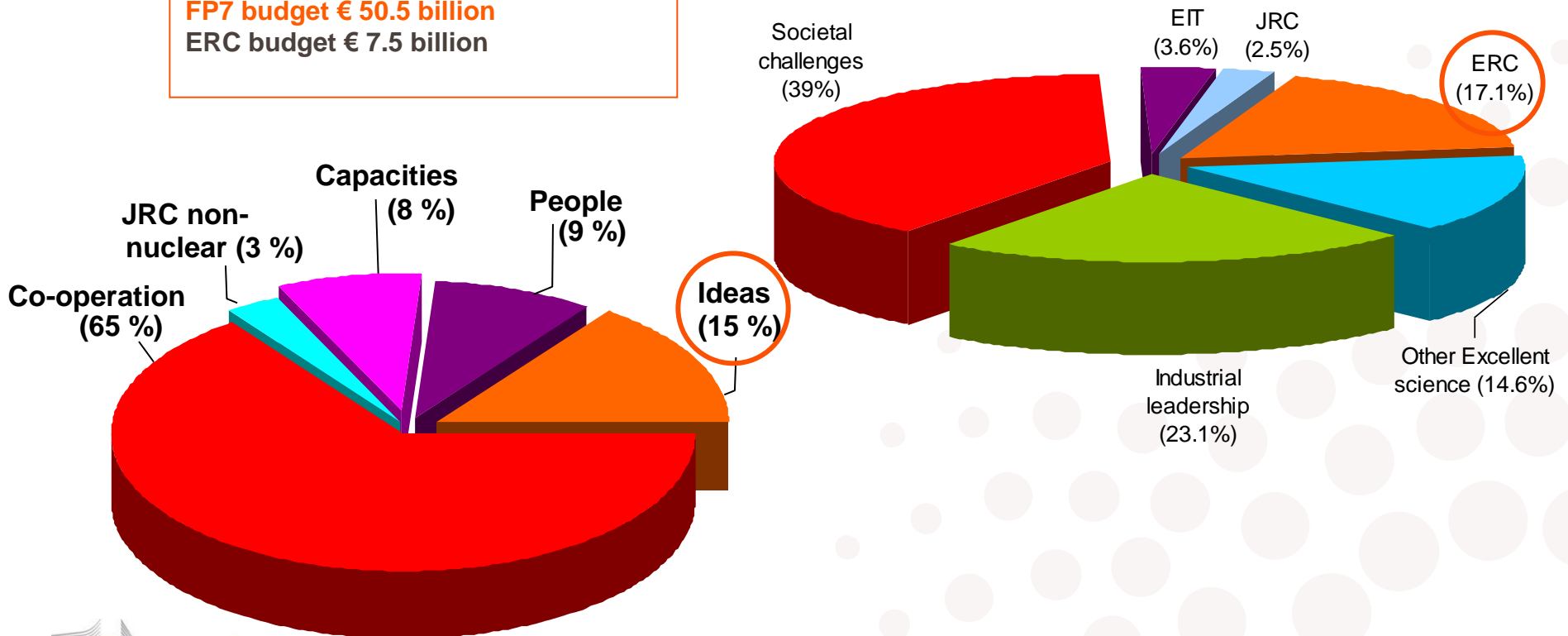


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**H2020 budget € 76,5 billion**  
**ERC budget € 13,1 billion**

**FP7 budget € 50.5 billion**  
**ERC budget € 7.5 billion**



# From FP7 to HORIZON 2020 (2014-2020)



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Research and innovation is the only area to receive a major increase under new EU budget, and **ERC in particular!**

➤ **HORIZON 2020** structure:

- Excellent Science
- Industrial leadership
- Societal challenges

➤ **Excellent Science:** reinforcing and extending the excellence of the EU's science base to make EU's R&I system more competitive on a global scale

- ✦ **European Research Council** (budget proposal under H2020: € 15 billion)
- ✦ Future and Emerging Technologies
- ✦ Marie Curie

✦ **Research Infrastructures**



# ERC in FP7 and in H2020 : Changes and Continuity



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## Essential features maintained

- Independent Scientific Council with full authority over funding strategy
- Executive Agency with autonomous operation
- Scientific excellence - the sole criterion on which ERC grants are awarded
- Tentative date for next calls: end 2013

# H2020 - Simplification: Rules for Participation

- **1. A single set of rules**
  - Adapted for the whole research and innovation cycle
  - Covering all research programmes and funding bodies
  - Aligned to the Financial Regulation, coherent with other new EU Programmes
- **2. One project – one funding rate**
  - Maximum of 100% of the total eligible costs (except for innovation actions, where a 70% maximum will apply for profit making entities)
  - Indirect eligible costs: a flat rate of 25% of direct eligible costs
- **3. Simple evaluation criteria**
  - Excellence – Impact – Implementation (Excellence only, for the ERC)
- **4. New forms of funding** aimed at innovation: pre-commercial procurement, inducement prizes, dedicated loan and equity instruments
- **5. International participation:** facilitated but better protecting EU interests

# Simplification: Rules for Participation

- **6. Simpler rules for grants:** broader acceptance of participants accounting practices for direct costs, flat rate for indirect costs, no time-sheets for personnel working full time on a project, possibility of output-based grants
- **7. Fewer, better targeted controls and audits**
  - ➔ Lowest possible level of requirements for submission of audit certificates without undermining sound financial management
  - ➔ Audit strategy focused on risk and fraud prevention
- **8. Improved rules on intellectual property**
  - ➔ Balance between legal security and flexibility
  - ➔ Tailor-made IPR provisions for new forms of funding
  - ➔ A new emphasis on open access to research publications

***Beyond the Rules: further simplified provisions in the Grant Agreement and implementing procedures to facilitate access to Horizon 2020 (e.g. common IT platform).***

# Simplification: summary

- Single set of simpler and more coherent participation rules
- New balance between trust and control
- Moving from several funding rates for different beneficiaries and activities to just two
- Replacing the four methods to calculate overhead or «indirect costs» with a single flat rate
- Major simplification under the forthcoming financial regulation
- Successful applicants to get working more quickly: time-to-grant of 8 months ("5 + 3 months"); exceptions for the ERC and in duly justified cases



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# ERC Grants : The basic rules of the game



# ERC Grant schemes



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## Starting Grants

Starters (2-7 years after PhD) € 1.5 up to € 2.0 Mio for 5 years

## Consolidator Grants

Consolidators (7-12 years after PhD) € 2.0 up to € 2.75 Mio for 5 years

## Advanced Grants

Track-record of significant research achievements in the last 10 years  
€ 2.5 up to € 3.5 Mio for 5 years

## ~~Synergy Grants~~

~~2 – 4 Principal Investigators  
up to € 15.0 Mio for 5 years~~

## Proof-of-Concept

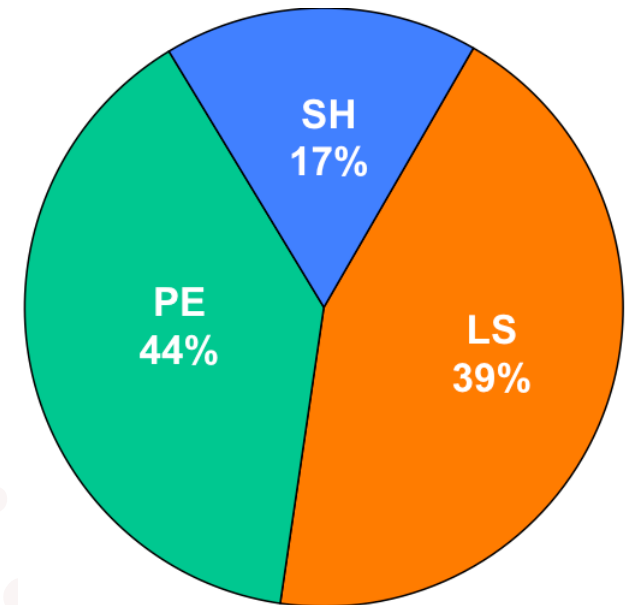
bridging gap between research - earliest  
stage of marketable innovation  
up to €150,000 for ERC grant holders

# Call budget distribution for 2014 calls

ERC 2014 Budget: 1.7 Billion €

## Breakdown per domain

- **LS** : Life Sciences
- **PE** : Physical Sciences & Engineering
- **SH** : Social Sciences & Humanities

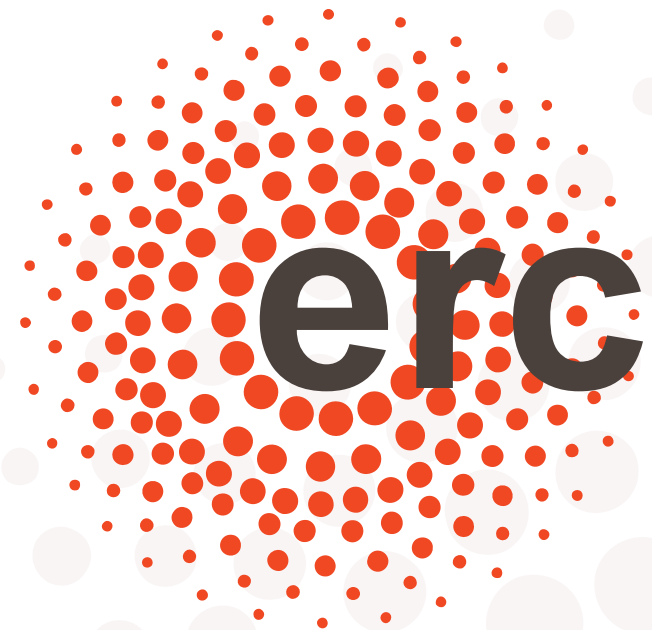




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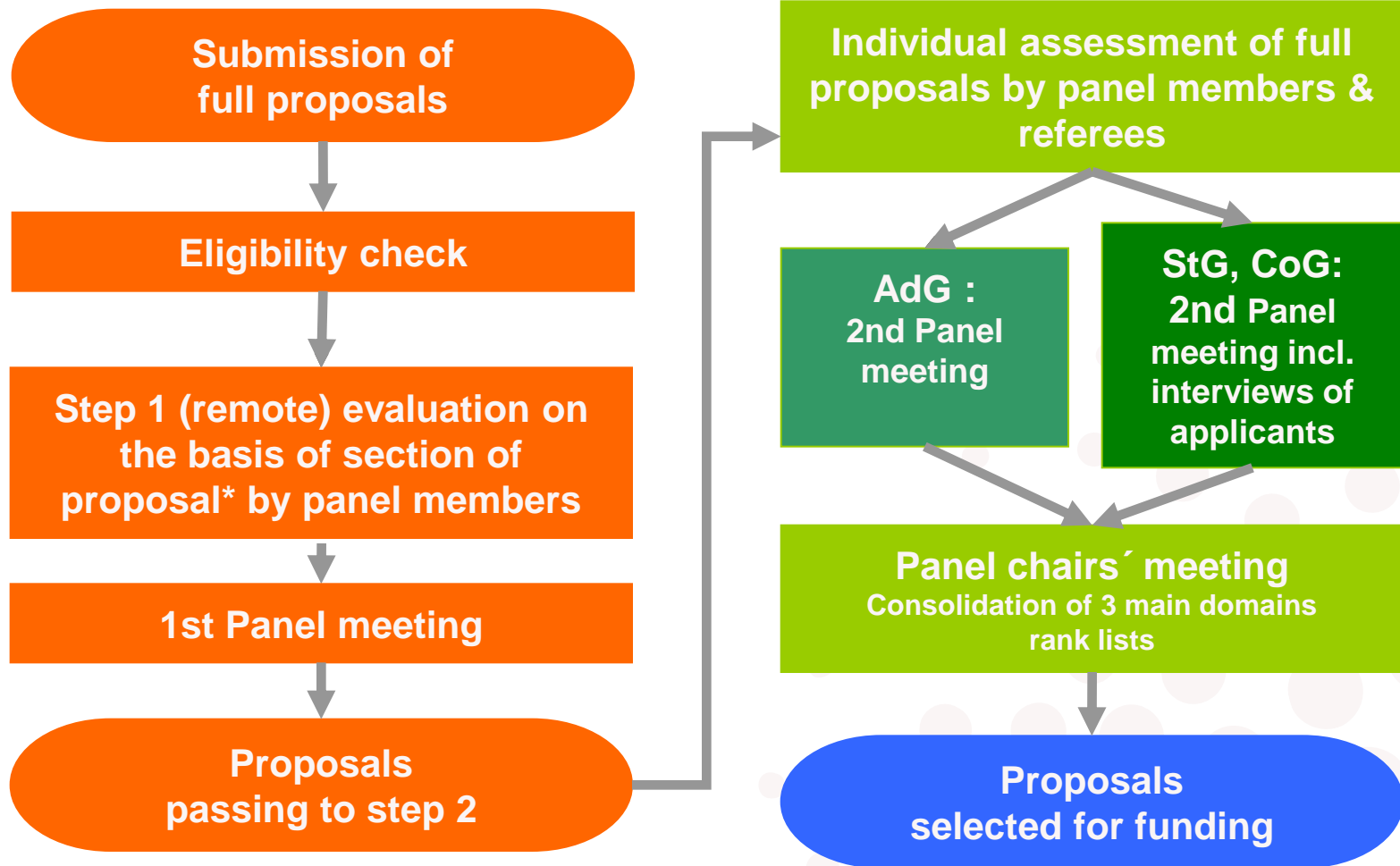
# ERC Grants : Proposal submission and evaluation





# Submission, evaluation and selection

Starting, Consolidator and Advanced Grants



# ERC Grants 2014

## few advises for future calls



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- Synopsis of Part B 1 should be carefully written (this is the only proposal information that is accessible & assessed at step 1!)
- Coherency of budget figures (A3 and Part B2, in case of doubt usually A3 figures serves as a reference)
- Individual reviews are done remotely and are not harmonised (PIs sometimes do not seem to be aware of that)
- Evaluation report ⇒ Evaluation report consists of **panel comments** summarising the Panel decision (incl. key strength and weaknesses) and **individual comments** (Panel Members, remote referees) which may not be necessarily convergent!

# Indicative calls for proposals 2014

- Main calls:
  - Starting Grant – end of March 2014
  - Consolidator Grant – end of May 2014
  - Advanced Grant – end of October 2014
- Proof of Concept – beginning of April 2014 and beginning of October 2014
- **No** call for Synergy Grants foreseen in 2014



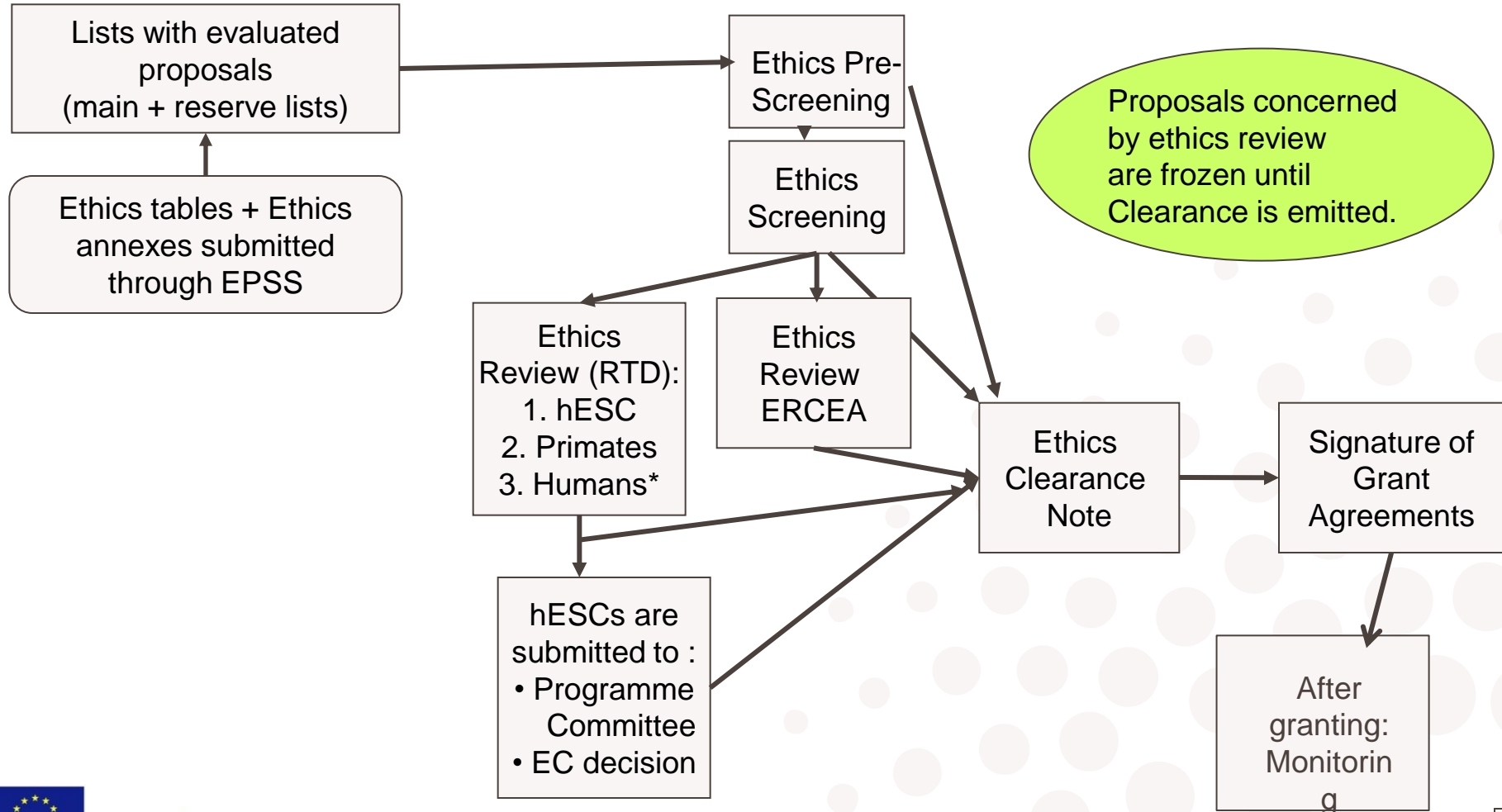
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# Ethics aspects: Principles and recommandations



# Ethics Clearance



# Ethics issues

## Humans

- Which humans are involved?
  - vulnerable persons
  - persons unable to give consent
  - children
- Are some intervention on the body foreseen?
  - invasive techniques (blood sample, EEG, fMRI)
  - patients? Healthy volunteers?
- Which are the procedures for recruitment and consent?
- Documents to provide
  - ethics authorisations
  - information and consent forms

## Data protection

- Which data?
  - genetic data
  - sensitive data (health, political or religious opinions, sexual orientation, etc.)
- Which procedure?
  - procedure for collection – how, by whom, information on rights, info and consent forms, anonimisation
  - procedure for protection of data – how it is protected, encrypted, where, for how long?
- Documents to provide
  - data protection officer/authority authorisations
  - information and consent forms
  - security measures

# Ethics issues

## Animals

- Which animals are involved?
  - vertebrates
  - GMOs
  - Primates
  - wild / protected animals
- For what use?
  - Justification for choice of species
  - 3Rs, precise evaluation of number
  - Description of procedure, husbandry, anesthesia, euthanasia
  - applicable legislation
- Documents to provide
  - ethics authorisations / project license
  - personal and laboratory licenses

## Cells and Tissues

- What type?
  - hESCs
  - foetal cells/tissues
  - use or creation of cells/cells lines
- What for?
  - justification of use
  - origin: direct collection/ biobanks /secondary use
- Documents to provide
  - ethics authorisations
  - information and consent forms
  - justification of right for secondary use

# Ethics issues

## Non EU countries

- Which countries?
  - associated countries, ICPC, others?
  - to do what with? Whom with?
- Export/import of resources?
  - which sources (including data)?
  - export/import from/to EU
- Benefit sharing measures for ICPC
- Documents to provide
  - National and local ethics authorisations
  - authorisations for import/export
  - Contact with local researchers/local authorities

BUT, if politically sensitive research there can be exceptions

## Misuse and Security

- Which threats?
  - health for team and/or society
  - misuse risks/ terrorist abuse
  - dual use
  - threats on human rights
- What for?
  - justification
  - Documents to provide
  - ethics authorisations
  - mitigation measures
  - balance of rights



# Ethics issues

## Environment

- Is the project taking place in sensitive areas?
- Is the project using/collecting protected elements?
  - oceans – Directive on Oceans?
  - natural areas – Directive Habitat?
  - areas with endangered/protected species – Directive on birds, CITES convention?
- What for?
  - justification
  - measures to minimize impact
  - benefit of the research to the environment
- Documents to provide
  - ethics authorisations
  - specific zone authorisations

NEW!



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# Information/Questions

**Our website:**

<http://erc.europa.eu>

**E-mail:**

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# Thank you



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