

# HERA

Humanities in the European Research Area

## HERA Joint Research Programme "Uses of the Past" Frequently Asked Questions (FAQ)

The following series of Frequently Asked Questions and answers relate to the Full Proposal Phase. You can also consult the HERA JRP UP Glossary on the HERA website for additional information ([www.heranet.info](http://www.heranet.info)).

Please note that this document will be up-dated regularly. If your question is not answered here, please contact Dr Sander Steeman at the HERA JRP UP Handling Agency at [hera@nwo.nl](mailto:hera@nwo.nl). For questions about national eligibility issues, please contact the national contact persons listed in the Full Proposal Guidelines, and the General and National Eligibility Requirements.

**Last update: 10 December 2015**

8 July                      Revisions for Full Proposal phase  
10 December          Correction format rebuttal/right to reply

### **GENERAL**

#### ***What is the main objective of this HERA Joint Research Programme (HERA JRP UP)?***

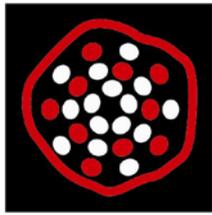
The HERA Joint Research Programme Uses of the Past (HERA JRP UP) partners have launched a joint call for trans-national Collaborative Research Projects (CRPs) under the theme: "Uses of the Past". By launching the HERA JRP UP call for proposals, the humanities funding organisations in 23 countries want to create opportunities for collaborative, trans-national humanities-led research that will result in new academic insights relevant to major social, cultural and political challenges facing Europe. Proposed research may draw upon insights and methodologies from a wide spectrum of arts and humanities disciplines. Although humanities-driven, proposals are encouraged to involve contributions from other research domains where appropriate.

#### ***Which countries are participating in the HERA JRP UP?***

Austria, Belgium, Croatia, Czech Republic, Denmark, Estonia, Finland, Germany, Iceland, Ireland, Italy, Latvia, Lithuania, Luxembourg, the Netherlands, Norway, Poland, Portugal, Slovenia, Spain, Sweden, Switzerland, United Kingdom. A list of national contact points – who may be contacted for questions about national eligibility issues – can be found at the end of the HERA JRP UP Call and the Full Proposal Guidelines.

#### ***Not all of the European countries are in the list of possible participants; why?***

Funding agencies in all European countries had been invited to join the preparation and funding of the HERA Joint Research Programme. In order to participate they need to contribute their share into the HERA JRP UP budget for the funding of transnational collaborative research projects. The national financial contributions have been determined on a formula taking into account GDP and population statistics. Funding agencies in the countries listed above did formally make that financial commitment. Other countries (including some partners in the HERA Network) were unable to make such a commitment. This was mostly due to financial reasons (no funding available) or legal reasons, thus preventing them from participating this time.



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### ***What is the research theme that my project idea must fit within?***

This HERA JRP UP call focuses on the theme "Uses of the Past". The theme specifications are provided in the Call which you can download on the HERA website: <http://www.heranet.info/>

### ***What character/size/duration must a HERA JRP UP Collaborative project have?***

- a) must build on the previous HERA JRP UP Outline Proposal;
- b) be collaborative - involve at least four HERA JRP UP countries;
- c) must be humanities driven, although proposals are encouraged to involve contributions from other research domains where appropriate;
- d) may include any type of researcher (senior, post-doc, Ph.D.) that is in accordance with national eligibility, but type of researcher must be justified;
- e) the total budget requested in funding from the HERA JRP UP must not exceed 1.2M € across all participating partners;
- f) have a maximum length of three years (36 months); if projects are shorter than 3 years they must commit to participate in the HERA JRP UP Knowledge Exchange activities until the end of 2019;
- g) must be carried out by a balanced consortium, but distribution of funding over countries may be uneven;
- h) must take into consideration equality and diversity dimension issues;
- i) apart from excellent research, Knowledge Exchange and Knowledge Dissemination must be part of the project; in addition - depending on national requirements – the project may involve researcher training.

### ***What should a HERA JRP UP Collaborative Research Project consortium look like?***

A HERA JRP UP CRP consortium must consist of at least four Principal Investigators (PI) leading research activities in their Individual Projects (IP). One of the PIs will function as the Project Leader (PL).

### ***What is a balanced consortium?***

A balanced consortium must have a reasonable division of academic labour over the partner countries which fits the research goals of the CRP. However it cannot be that one partner takes the majority of the funding and just budgets for some travel funding for the other partners. Consortia are also encouraged to take the equality and diversity dimension into consideration.

### ***What kind of partners can be included in a Collaborative Research Project consortium?***

A CRP consortium **must** contain at least four eligible Principal Investigators (PI) each based in an eligible university or (research) institute in a different HERA JRP UP country. All main applicants must be eligible for their respective national HERA JRP UP funding organisations. A list of national contact points is provided in the Call and the Full Proposal Guidelines. Non-academic partners may be included as Associated Partners (More on this issue can be found below).

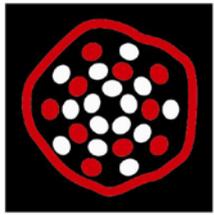
### ***What happens to a consortium if one of the partners is considered not eligible?***

If one of the research partners in a CRP consortium is not eligible then the whole consortium is not eligible and their proposal will not be evaluated.

### ***What if I want to include someone who is based in a non-participating country?***

Researchers from non-HERA JRP UP countries cannot be formally included in the proposal. However, associations with other researchers can be mentioned in the description of the CRP but no associated documentation (e.g. CV, letter) can be submitted and their participation cannot be integral to the proposal.

Note that Associate Partners may be based in non-participating countries.



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***Can researchers from other countries be included as long as the proposal also includes four other eligible partners from HERA JRP UP countries?***

Your proposal must contain a collaboration of researchers from at least four HERA JRP UP countries. That collaboration will be the sole basis of the assessment. This consortium must be sound enough to function independently of any other researchers that you may want to co-collaborate with, which means that researchers from countries not participating in the HERA JRP UP are not eligible. If they wish to collaborate in CRPs they can only do so at their own cost. Their projects/contributions to CRPs will not be taken into consideration during the evaluation, and proposals should not include any associated information (project descriptions, CVs) of ineligible researchers.

***What is the definition of a HERA JRP UP CRP Project Leader (PL)?***

The Project Leader (PL) is one of the PIs responsible for carrying out and managing the CRP, in addition to his/her own Individual Project. The PL is a senior researcher with a solid experience of managing collaborative research projects. S/he will be the contact point for the HERA JRP UP Handling Agency throughout the application phase and is responsible for communication with the other partners of his/her CRP. The PL is also responsible for the administrative and financial management of the complete CRP, i.e. if a CRP is funded, the CRP budget will be transferred to the host institution of the PL, which in turn will be responsible for distributing funding to the CRP partners. Note that the PL is not free to redistribute the funding without the permission of the HERA JRP UP Handling Agency and the HERA JRP funding partners relevant to the project. Finally, the PL is responsible for the intellectual agenda and coherence as well as all the reporting duties.

As the Project Leader (PL) also acts as a Principal Investigator, there cannot be both a PL and a PI from the same institute in one CRP. Other researchers from the same institute can be part of the PL's project team as Project Members.

***What is the definition of a HERA JRP CRP UP Principal Investigator (PI)?***

A Principal Investigator (PI) is responsible for leading research activities at his/her institution. As a rule a PI has to hold a Ph.D., however s/he does not have to be at any specific career stage after Ph.D. Some countries also allow for PIs without Ph.D. as long as they have adequate research experience. Other researchers (senior researchers, post-doctoral researchers, Ph.D. students) can be part of the PI's project team as Project Members (PMs). Please consult the National Eligibility Requirements for full information.

***Can I submit several applications?***

No, you can only be involved in one proposal.

Project Leaders submit the application on the part of all partners (Principal Investigators) of the Collaborative Research Project (CRP).

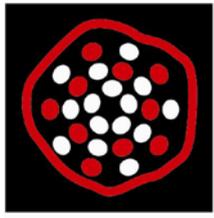
A Project Leader may act as Project Leader only for one proposal. PI's may also be involved in only one proposal.

***Can I act as a PL in one CRP and as a PI in another/others?***

No, you can only be involved in one proposal.

***What happens if I submit more than one proposal or if I am involved as PI in more than one proposal?***

If you submit more than one proposal as a PL you will be asked to delete one of them. If you are involved as PI in more than one proposal, your PLs will have to determine which of the projects is to be eliminated.



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### ***Can there be more than one Principal Investigator per country in a proposal?***

There may be more than one Principal Investigator (PI) from any one eligible country in one proposal but there can be only one Principal Investigator per institution. Other researchers from the same institution can be part of the PI's Individual Project team as Project Members.

### ***Are HERA JRP UP proposals similar to EU FP7 or Horizon2020 applications?***

No, these are different programmes. The HERA JRP UP is designed by the HERA JRP UP partner agencies. However, the HERA JRP UP theme corresponds to one of the Horizon 2020 thematic priorities and the programme is co-funded by the European Commission.

### ***What is the special role of the Netherlands Organisation for Scientific Research (NWO) in the HERA JRP Uses of the Past?***

NWO has been commissioned by the HERA JRP UP partners to act as HERA JRP UP Handling Agency (H.A.). The H.A. is entrusted with the tasks related to the implementation of the HERA JRP UP, notably:

- preparation for / launch of the JRP Call for Proposals;
- management of the evaluation and selection process (peer review).

### ***Do I have to have an agreement with my national funding organisation before I can submit a HERA JRP UP proposal?***

Please read the National Eligibility Requirements available from the HERA website. You do not have to have an agreement but your application **must** follow the National Eligibility Requirements relevant to all your PIs in addition to the general eligibility principles described in the Call for Proposals. You may contact your respective national funding organisations in order to verify eligibility if needed (see contact persons listed in the Call and Full Proposal Guidelines).

### ***In addition to the proposal we submit online, do we have to submit a separate proposal to our national funding organisations?***

No, but prior to submitting Full Proposals, all applicants must read the National Eligibility Requirements available from the HERA website as some funding organisations may require you to do something extra.

## **FULL PROPOSALS**

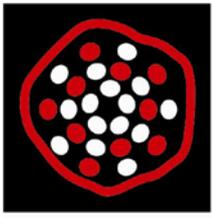
### ***What are HERA JRP UP Full Proposals?***

The project selection of the HERA JRP UP is divided in two phases: i) The Outline Proposal phase and ii) the Full Proposal phase. Successful applicants of the Outline Proposal phase are invited to submit Full Proposals. Detailed requirements for Full Proposals and instructions on how to complete the application forms are available from <http://www.heranet.info>.

### ***How will HERA JRP UP Full UP Proposals be assessed?***

Only invited applicants will be able to submit a Full Proposal and will be given access to the online submission form for Full Proposals. The deadline for the submission of Full Proposals is 8 October 2015, 14:00 CEST (Brussels local time).

Full Proposals will be remotely assessed by three independent external expert referees who are selected from a pool of researchers suggested by the participating funding organisations. A list of all referees used for the international peer review will be published - unassigned to proposals - on the HERA website, once the selection process has been completed.



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Referee reports will be made available (anonymously) to the applicants for their information and for commenting or rebuttal (optional). The HERA JRP UP Review Panel will rank all Full Proposals based on the referee reports and the applicants' responses to these.

The Review Panel will create a ranking list consisting of the best Full Proposals and will subsequently make recommendations to the HERA JRP UP Board for the funding of these proposals.

### ***What are the assessment criteria for Full Proposals?***

Full Proposals will be evaluated according to the following selection **criteria**:

#### Research excellence:

- sound concept and quality of objectives
- progress beyond the state-of-the-art
- quality and effectiveness of the research methodology and associated workplan

#### Potential Impact:

- relevance to the Call for Proposals
- extent to which research outcomes are likely to be of value for non-academic stakeholders and user communities
- appropriateness of measures for the dissemination and/or exploitation of CRP results, and management of intellectual property

#### Quality and efficiency of the implementation and management:

- appropriateness of the management structure and procedures
- quality and relevant experience of the individual participants
- quality of the consortium as a whole (including complementarity, balance, level of integration and collaboration)
- appropriate allocation and justification of the resources to be committed (budget, staff, equipment)

### ***What to include in the description of the potential impact (section B)?***

You are encouraged to:

- identify and actively engage relevant users of research and stakeholders at appropriate stages;
- outline the planning and management of associated activities including timing, personnel, skills, budget, deliverables and feasibility.

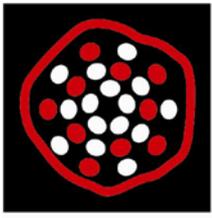
In addition:

- be project-specific and not generalised;
- be flexible and focus on potential outcomes;

It is expected that being able to describe the potential impact will apply for the vast majority of proposals. In the few exceptions where this is not the case, this section should justify the reasons why this is not possible.

### ***How to describe the "European added value of the collaboration"?***

It is important that all proposals make the European added value of their proposed project clear, not only how the research is academically excellent, but also how it is essential that this is delivered by transnational collaboration and how the management and communication structures enable collaboration across partners from the beginning; i.e. the research is truly integrated from conception and not just bringing together individual projects at the end.



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### ***Do the partners in a Full Proposal need to be the same as in the Outline Proposal?***

In essence we expect you not to change the consortium. In case of *force majeure*, changes in the consortium are possible. Adding Associated Partners is allowed and small budget changes are accepted, too. However, the maximum budget requested cannot change at all.

If you decide to add additional PIs to strengthen your proposal, funding must be redistributed as the maximum cannot change. Also, you must make sure that your new partner(s) in a CRP is/are eligible for funding from their national funding organisation(s). The eligibility of all partners of your proposal with the national funding organisations will again be checked in the Full Proposal phase. If one PI in a consortium is not eligible, then the whole consortium will be considered not eligible and not be evaluated.

### ***What are eligibility criteria for Full Proposals?***

The basic general eligibility criteria for Full Proposals are the same as those for Outline Proposals. Note however, that several National Eligibility Requirements have been updated for the Full Proposal phase, e.g. regarding:

- Statements from the host institutions of each PI, which must be provided with the application;
- The eligibility of PIs and their costs (will be checked again during the Full Proposal phase).

Make sure that the information in the application is correct and in accordance with all relevant HERA JRP UP guidelines and eligibility requirements (in case of doubts, please contact the relevant HERA JRP UP national contact point(s) well before the submission deadline).

### ***Can I submit a Full Proposal if I have not submitted an Outline Proposal?***

No, if you did not submit an Outline Proposal you cannot submit a Full Proposal.

### ***Can I submit a Full Proposal if my Outline Proposal was not successful and I was not invited to submit a Full Proposal?***

No, only those applicants that were selected by the HERA JRP UP Board in the Outline Proposal phase can submit a Full Proposal.

### ***What does a budget of an Individual Project (IP) have to include?***

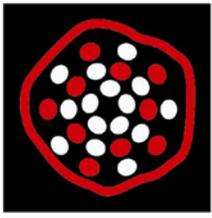
Eligible costs would generally include direct costs such as employment costs (PL, PIs, and other Project Members, e.g. Ph.D. students, researchers, etc., administrative personnel), equipment, travel and meeting costs, consumables, dissemination and knowledge transfer costs, and often also indirect costs (or eligible overheads). Please read the Full Proposal Guidelines as well as the National Eligibility Requirements to verify the eligibility of specific budget items according to the rules of your national funding organisation. Several National Eligibility Requirements have been updated for the Full Proposal phase and now include instructions on how to fill out the budget tables. In case of doubt, please contact the relevant national contact person.

### ***What currency should I use when describing the budgets?***

The estimated requested budget must be given in Euros only.

### ***Do I have to cost all PIs and APs to attend events?***

If you have numerous PIs and APs, it is recommended that you budget for no more than 8 people to attend each event (the launch, mid and final event) as it is likely that attendance per project will be limited.



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### ***Is there a specific format that the Full Proposal should have?***

Yes. The Full Proposal must be written in **English** and must be submitted via the online submission system Iris, hosted by NWO. The Full Proposal comprises the filled-out on-line form after which the filled out template saved as PDF must be uploaded into the system. Please make sure that the PDF document contains all requested elements: cover page, sections A, B, and C (including budget tables for each Individual Project and for the CRP as a whole), and annexes 1, 2, and 3. Further information is available in the Full Proposal Guidelines.

### ***How do I submit the Full Proposal?***

Please note that, contrary to the Outline Proposals, Full Proposals:

- must be submitted via the online submission system Iris, hosted by NWO;
- can be revised and saved in the system before submitting, but can be submitted **only once**.

The system will be open for the submission of HERA JRP UP Full Proposals from 3 August 2015. Further instructions and a link to the system will be sent by email to those applicants who are invited to submit a Full Proposal.

### ***Will the Review Panel for evaluating and ranking Full Proposals be the same as the one that selected Outline Proposals?***

In the Full Proposal phase, the Review Panel will be made up of about half of the initial Review Panel members due to the smaller number of proposals under consideration.

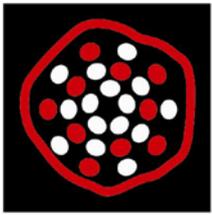
### ***What is a rebuttal or right to reply? How do I write a good one?***

The HERA JRP UP Review Panel will be evaluating and ranking all proposals based on the reviews that have been submitted by the external experts. Applicants will be sent the external expert reviews, and have the option to submit comments on these reviews. Both the external expert reviews and the applicants' comments on these expert reviews (the Rebuttal or the Right to Reply) will be considered by the review panel in the evaluation process. The Right to Reply is a critical document that allows applicants to respond to the external experts reviews. Applicants submissions under the Right to Reply process should be well structured, factual and objective. Applicants can re-enforce positive comments or aspects of the proposal not covered in the external review comments. In addition the Right to Reply allows the applicants to address some of the comments made or questions raised by the external expert reviewers. If written factually and well-argued, a Right to Reply can refute some of the external expert criticisms. Applicants should note that simply discarding the expertise of an external reviewer will be neither useful nor effective as the international Review Panel has not selected the expert reviewers, nor do they know who they are (external expert reviewers are anonymous).

The Right to Reply should be written in English and should not be longer than 1200 words (further information will be provided in the invitation). Please note that the Right to Reply process is not intended to allow applicants to propose substantial revisions to their application. Applicants are encouraged to use the Right to Reply process, even if the external experts reviews are positive. It is also advised that applicants conduct their own internal peer review or colleague assessment of the Right to Reply document before submitting it to the HERA JRP UP Handling Agency at NWO.

### ***Can I contact the members of the Review Panel of the HERA JRP UP to discuss my proposal?***

No, you should not contact any of the members of the Review Panel to discuss your project proposal at any stage of the selection and ranking processes or afterwards. The membership of the Review Panel is publicised solely in the interest of transparency. All questions concerning the assessment process should be directed to the Handling Agency at [hera@nwo.nl](mailto:hera@nwo.nl).



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### *How long is the selection process?*

Full Proposals will be invited from the selected Outline Proposals in July 2015, with the submission deadline 8 October 2015, 14:00 CEST (Brussels local time). The selection and ranking of Full Proposals will occur in October 2015 – January 2016 and the funding decisions are expected to be announced in February 2016. CRPs are expected to start in June 2016.