

HERA

Humanities in the European Research Area

HERA Joint Research Programme

Frequently Asked Questions (FAQ)

The following series of Frequently Asked Questions and answers are grouped under three main categories of General, Outline Proposals and Full Proposals as related to the main stages of the HERA Joint Research Programme. You could also consult the HERA JRP Glossary on the HERA website for additional information (www.heranet.info).

Please note that this document will be up-dated regularly. If your question is not answered here, please contact Ms. Julia Boman at the HERA JRP Handling Agency at hera@esf.org.

Last update: 11 February 2009

GENERAL

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

The HERA Joint Research Programme (HERA JRP) partners have launched a joint call for trans-national Collaborative Research Projects (CRPs) in two humanities research areas: "Cultural Dynamics: Inheritance and Identity" and "Humanities as a source of Creativity and Innovation". By launching the HERA JRP call for proposals, 13 national funding partners want to create collaborative, trans-national research opportunities that will derive new insights from humanities research in order to address major social, cultural, and political challenges facing Europe. In consultation with their national researcher communities, they have jointly defined and developed common research priorities, and created a new trans-national funding mechanism.

Which countries are participating in the HERA JRP?

Austria, Croatia, Denmark, Estonia, Finland, Iceland, Ireland, Luxemburg, Norway, the Netherlands, Slovenia, Sweden, United Kingdom. A list of national contact points – who should be contacted for questions pertaining to national eligibility issues – can be found at the end of the HERA JRP Call.

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 Programmes. In order to participate they need to contribute their share into the "common pot" for the funding of successful, transnational collaborative research projects under the HERA JRPs. The national financial contributions have been determined on a formula taking into account public R&D expenditure. Funding agencies in the countries listed above did formally make that financial commitment. Other countries (including some partners in the HERA consortium) were unable to make such a commitment. This was sometimes due to financial reasons (no funding available), but sometimes also due to legal reasons (preventing them from participating in a "common pot" funding mechanism that may lead to funding across borders). Note that one of the partners that contrary to earlier announcements did not contribute to the HERA JRP common pot is France. French researchers are therefore not eligible under the HERA JRP call.

Which are the research themes that my project idea must fit within?

The HERA JRP focuses on two themes:

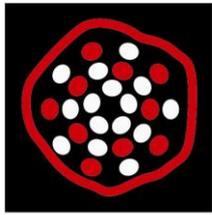
- "Cultural Dynamics: Inheritance and Identity"
- "Humanities as a Source of Creativity and Innovation".

The theme specifications are given in the Call which you can download on the HERA website:

<http://www.heranet.info/>

Can I submit an application only for one theme?

Project Leaders submit the application on the part of all partners (Principal Investigators) of the Collaborative Research Project (CRP). Project Leaders may act as Project Leaders only for one proposal, under one of the two



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HERA JRP themes. Principal Investigators may be part of more than one CRP, under both themes, provided they meet specific requirements (please see the question *What is the definition of a HERA JRP CRP Principal Investigator (PI)?*)

Are HERA JRP Outline Proposals similar to EU Framework Programme 7 applications?

No, these are different programmes. The HERA JRP is designed by the HERA JRP partner agencies and ESF. However, the two HERA JRP themes correspond to the FP7 thematic priorities and EU objectives.

What is the role of the European Science Foundation (ESF) in the HERA Joint Research Programme?

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

- preparation for / launch and management of the JRP Call;
- management of the evaluation procedures;
- management of the networking and dissemination activities;
- contracting and financial management of CRPs;
- management of monitoring of CRPs.

The H.A. provides the secretariat to the HERA JRP's bodies and committees, the Review Panels and Research Steering Committees, and thereby ensures continuous communication between these.

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

All partners in a CRP should confirm their eligibility and the eligibility of their requested budget items with their national funding organisations before submitting a CRP proposal. You will find the contact details for the participating national funding organisations at the end of the Call for proposals.

How do I submit a proposal?

Both Outline and Full Proposals must be submitted online. The online application form for Outline Proposals will be available on the HERA website as from **5 February 2009**. Applicants should follow the proposal structure as indicated in the application template for Outline Proposals available on the HERA website at: <http://www.heranet.info>.

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 Outline Proposals, all applicants must contact the contact persons of their respective national funding organisations in order to verify eligibility (see above).

OUTLINE PROPOSALS

What are HERA JRP Outline Proposals?

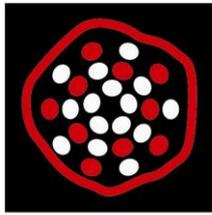
The project selection of the HERA JRP is divided in two phases: i) The Outline Proposal phase of submission and selection of Outline Proposals, and ii) the Full Proposal phase for Full Proposals submission and selection. Applicants of the successful Outline Proposals are invited to submit Full Proposals. Outline Proposals provide the general ideas for a CRP by specifying the scope of the CRP, the description of the methodology and an indication of the requested budget of the project. Detailed requirements as to the format of Outline Proposals are provided in the Call.

What kind of partners can be included in a HERA JRP consortium?

A HERA JRP consortium **must** contain at least three academic partners from three different countries participating in the HERA JRP common pot, i.e. all main applicants (PIs) must reside in different eligible HERA JRP countries. All main applicants must be eligible for their respective national HERA partner councils. A list of national contact points is appended to the Call. Non-academic partners may be included as Associated Partners. (More on that issue can be found below). No information on researchers, who cannot be funded under the HERA JRP but with whom you may still wish to collaborate, should be included in the proposal.

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

- a) be collaborative (involve at least three HERA JRP countries);
- b) may include any type of researcher (senior, post-doc, PhD) that is in accordance with national eligibility, but type of researcher must be justified;
- c) may not exceed the maximum budget size of 1 M€, the size of the national eligible cost in that will be determined by the national research councils, and salaries will be paid according to national ratio;



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- d) have a maximum length of three years;
- d) must be carried out by a balanced consortium, but distribution of funding over countries may be uneven;
- e) may involve research, researcher training, travel, knowledge transfer and knowledge dissemination.

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

A HERA CRP consortium will consist of at least three Principal Investigators (PI) leading research activities in their Individual Projects (IP), one of which functions as Project Leader (PL).

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

Project Leader (PL): The Project Leader (PL) must be a senior researcher responsible for carrying out the CRP. S/he will be the contact point for the HERA JRP handling agency and is responsible for communication with the other Principal Investigators of his/her CRP. While representing the Collaborative Project as a whole, the PL is also responsible for leading project activities in his/her Individual Project at his/her own institute [thus at the same time acting as a Principal Investigator]. The PL is responsible for the administrative and financial management of the complete CRP, i.e. if a CRP is granted, the HERA JRP Handling Agency will transfer the full CRP budget to the PL, who will be responsible for distributing funding to the CRP consortium partners. Finally, the PL is responsible for the intellectual agenda and coherence as well as all reporting duties pertaining to the CRP funded within the context of the HERA JRP.

The PL can participate as a PL in one HERA JRP proposal only.

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

Principal Investigator (PI): Each Principal Investigator (PI) is responsible for leading project activities of his/her Individual Project (IP) at his/her institution. PI status is not limited to researchers at any specific career stage after completing PhD. There may be more than one PI per eligible country per CRP, but only one per university/institute. PIs are responsible for providing the PL with the required information and financial data in order for the PL to be able to fulfil his/her reporting obligations.

A PI is only allowed to be involved in more than one HERA JRP proposal provided the following conditions are met:

- o *the PI needs to inform his/her PLs about which CRP proposals (s)he is involved in;*
- o *the total number of hours the PI participates in the submitted CRP proposal(s) must be lower than the number of hours (s)he is employed by his/her university/institute.*

Can I submit more than one proposal for a HERA JRP grant [=be a PL for more than one CRP]?

No. See also answer to question "What is the definition of a HERA JRP CRP Project Leader (PL)?"

Can I be part of more than one consortium applying for a HERA JRP grant [=be a PI in more than one CRP]?

Yes, provided some strict conditions are met! See answer to question "What is the definition of a HERA JRP CRP Principal Investigator (PI)?"

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

Yes, you may be involved as a PL [and automatically as a PI] in one CRP and as a PI in another/others, provided that:

- the total number of hours you participate in the submitted CRP proposal(s) is lower than the number of hours you are employed by his/her university/institute and that
- you inform your PL(s) about which projects you are involved in.

Can I apply for a HERA JRP Grant if I did not apply for, or was not selected for a HERA JRP Matchmaking event travel grant or a HERA JRP Networking Grant?

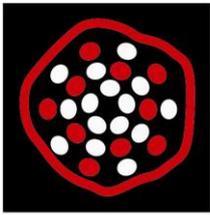
Yes. Applying for a HERA JRP Matchmaking event travel grant or a HERA Networking Grant is not a prerequisite for applying for a HERA Joint Research Programmes grant.

How many partners can be included in an Outline Proposal?

There have to be at least three partners (Principal Investigators) from different HERA JRP countries in a proposal. There is no maximum number of Principal Investigators (PI) per CRP. The number of PIs should be adequate to cover the scope and focus of the research being proposed and can thus vary from project to project.

How many Principal Investigators (PI) from one country can be part of a proposal?

There is no maximum number of PIs per country but to ensure that Collaborative Research Projects are benefiting from international collaboration, there must be a reasonable balance. It would have to be justified if, for example, in a CRP with six PIs, there are more than three PIs coming from the same country.



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How many Principal Investigators (PI) can be in one Individual Project (IP)?

There is only one PI in an IP.

Does the consortium for a HERA JRP CRP have to be the same as the consortium that applied for the HERA JRP Networking grant?

No. The composition of the consortium applying for a HERA JRP Grant may differ from the consortium that applied for a HERA JRP networking grant.

Currently, I only have partners in countries that are not participating in the Call. Does that mean I need to find other partners in other countries?

Yes, for the HERA JRP Call for Proposals, you are required to build a consortium of at least three partners based in and eligible for funding in the HERA JRP countries.

Can researchers from other countries be included as long as it also includes three other eligible partners from HERA JRP countries?

Your proposal must contain a collaboration of researchers from at least three HERA JRP countries. That collaboration will be the sole basis of the assessment. This basic consortium must be sound enough to function independently of any other researchers that you may want to co-operate with, which means that **researchers from countries NOT participating** in the HERA JRP 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 information (project descriptions, CVs) of ineligible researchers.

Can non-academic partners be part of a CRP?

The HERA JRP Board encourages that non-academic partners, e.g. creative industries, museums and other heritage institutions, government agencies concerned with policy issues, and the like, can participate in CRPs as **Associated Partners (APs)** provided they bring their own budget, as their presence will be of critical importance for knowledge transfer of the projects into society. Their participation as APs in a CRP will not be financially supported by the HERA JRP. The HERA JRP Board feels that knowledge transfer occurs best in partnerships between researchers and non-academic organisations in the community. Non-academic APs are considered part of a CRP and will be assessed as such at both the Outline and Full Proposal stage. A formal letter of commitment on the part of non-academic APs should be appended to the application explaining their interest and role in the CRP and making explicit the way in which they are committed to the CRP activities (financially and/or in kind).

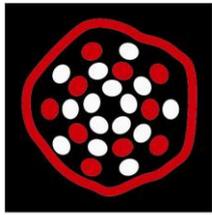
Is there a specific format that a HERA CRP pre-proposal should have?

An Outline Proposal must be written in English, must follow the proposal structure as indicated in the application template for Outline Proposals available on the Programme website and comprises:

- √ A short description of the CRP (max. 2000 words) that explains:
 - * What research question does the CRP seek to answer
 - * Why is this research question significant? How will it contribute to one of the HERA JRP themes?
 - * By what methods will the research question be tackled?
 - * In what way is the project original and/or innovative?
 - * What added value will be gained by undertaking this CRP with the proposed partners?
 - * What is the trans-national (European) added value of the CRP?
 - * How will findings be shared with interested parties?
- √ Short CVs of PL, all PIs and non-academic APs (max. one page each, including five most relevant publications); A formal letter of commitment on the part of non-academic APs should be appended to the application explaining their interest and role in the CRP and making explicit the way in which they are committed to the CRP activities (financially and/or in kind).
- √ Estimated budget over the funding period of max. 36 months (consistent with the rules of relevant national funding organisation) tabulated according to a provided template. *NB! At the Full Proposal stage applicants must provide proof for the fact that the budget data they provide are in accordance with national eligibility rules.*

A project summary of no more than 1500 characters (no spaces) should be entered directly in the Online application form that will be available on the Programme website as from **5 February 2009**. The summary should include the following information:

- * relevance of the research topic to the call
- * Objectives/expected outcome of the project
- * Explanation on how the project will be implemented.



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The maximum duration of CRPs is **36 months**, and the maximum level of funding is **1M€**. Taking into account the selection and approval processes, the successful projects are expected to begin their activities in **February-March 2010**.

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

The IP budget may include items that are considered eligible by the respective national funding agency, such as for example:

- salary costs for researchers, Ph.D. students, technicians, student assistants;
- equipment items;
- travel expenditure including travel to conferences and study trips;
- consumables/running costs
- publication, dissemination costs
- overheads (if applicable)
- other costs

Please note that you must verify with your national funding agency which budget items are eligible in your case. The application template available on the HERA website includes a tabulated template, which must be used for entering the estimated budget of each Individual Project.

PLs are advised to budget for the coordination costs which will be necessary for running the CRPs (reporting, intra-CRP networking activities, etc).

NB! The intra-CRP networking activities must be paid from the HERA JRP research grants and can be included in the budgets of the Individual Projects in the CRP. In addition, all IP budgets should include travel and accommodation costs for participation in the HERA JRP Kick-Off and Final Conferences, where PIs (obligatory) and other Project Members (optional) take part. A standard estimate of 850 EUR per person per trip may be used.

NB! HERA JRP supports the recommendations on Open Access made by the European Research Advisory Board and the Scientific Council of the European Research Council. You are therefore strongly encouraged to make your research results available to the scientific community and general public through Open Access publishing (Open Access journals, repositories, etc). Please include in your budget all the related costs, if you foresee to publish under "author pays" regimes.

What currency should I use when describing the budgets?

You should use Euros.

How will HERA JRP Outline Proposals be assessed?

Two thematic International Review Panels will assess the HERA JRP Outline Proposals. The composition of the HERA JRP Review Panels will be published on the HERA website www.heranet.info. Read about the Review Panel in the HERA JRP Glossary available on the Programme website.

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

No, you should not try to contact any of the members of the Review Panel to discuss your project proposal at any stage of the selection and ranking processes. The membership of the Review Panel is publicised solely in the interest of transparency. All communications concerning the assessment process should be passed through the Handling Agency at hera@esf.org.

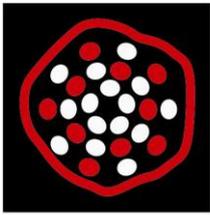
What are the assessment criteria for Outline Proposals?

Applications will be evaluated according to a set of criteria in a two-stage procedure. In the Outline Proposal phase, the Review Panels will select proposals with potential for research excellence, by applying the following **criteria**:

- Research excellence
- Relevance to the Call for Proposals
- Novelty and originality
- European added value [=value added to the research conducted from the novel multilateral European research collaboration. European added value is not about "European" (vs. local or global) topics, but about the expected better research that emerges from European research collaboration]
- Qualification of the applicants

Assessment criteria for Outline Proposals include 'European added value': what does it mean?

According to the formal EC definition European Added Value is the value resulting from European support for research activities which is additional to the value that would have resulted from research funded at regional



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and national levels by both public authorities and the private sector. In practice, to build 'European added-value' into a project, it is necessary not only to attempt to run the project in a number of Member States and build multinational partnerships, but also to look beyond the confines of the project to find the broader European relevance of the issues, the actions and the output of the project.

How long is the selection process?

For the HERA JRP, the Call for Outline Proposals is announced in early January 2009 with a submission deadline on **7 April 2009, 14:00 CET**. Full Proposals are then invited from the selected Outline Proposals in the end of May-early June 2009, with a submission deadline around 1 September 2009. The selection and ranking of Full Proposals will occur in September-December 2009 and the funding decisions are expected to be announced during December 2009 or early in 2010. CRPs are expected to start in March-February 2010.

FULL PROPOSALS

What are HERA JRP Full Proposals?

The project selection of the HERA JRP is divided in two phases: i) The Outline Proposal phase of submission and selection of Outline Proposals, and ii) the Full Proposal phase for Full Proposals submission and selection. Applicants of the successful Outline Proposals are invited to submit Full Proposals. Detailed requirements for Full Proposals and instructions on how to complete the application forms will be made available once Full Proposals are being invited.

How will HERA JRP Full Proposals be assessed?

The Full Proposals under each theme will be assessed by at least three independent external expert referees who are selected from a pool of scientists suggested by the participating funding organisations. A list of all referee names unassigned to proposals used for the international peer review will be published on the Programme website once the selection process is complete.

Referee reports will be made available (anonymously) to the applicants for their information and for commenting (optional). The HERA JRP Review Panels will rank all Full Proposals based on the assessment of the Full Proposal, the referee reports and the applicant's responses to these.

The proposals under both themes will be financed from one common pot, where the highest ranked proposals under both themes are funded. The chairs of the two Review Panels will create a joint ranked list consisting of the best Full Proposals under the two HERA JRP themes and will subsequently make recommendations to the HERA JRP Board for the funding of these proposals. RP chairs will combine the two thematic ranking lists into one list with excellence being the main criterion. Also a certain balance and a similar success rate for both themes will be aimed at by taking into account:

- number of applications within each theme and
- number of excellent applications within each theme.

What are the assessment criteria for Full Proposals?

Full Proposals will be evaluated according to the following selection **criteria** (in accordance with FP7 requirements):

Research excellence - Quality of the trans-national project (Threshold 3/5):

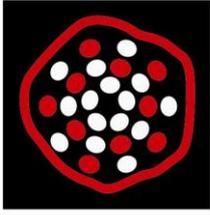
- sound concept and quality of objectives
- progress beyond the state-of-the-art
- quality and effectiveness of the research methodology and associated workplan

Quality and efficiency of the implementation and management (Threshold 3/5) :

- appropriateness of the management structure and procedures
- quality and individual 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)

Potential Impact (Threshold 3/5):

- relevance to the EU and FP7 objectives
- appropriateness of measures for the dissemination and/or exploitation of trans-national CRP results, and management of intellectual property"



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Assessment criteria for Full Proposals include, under 'Potential Impact', 'relevance to the EU and FP7 objectives': what does it mean?

HERA JRP is expected to be partly financed through the ERA-Net Plus call, in addition to the common pot with the contributions from the HERA JRP Partners. The Era-Net Plus scheme prescribes assessment criteria for Full Proposals. The two HERA JRP themes correspond to the thematic priorities of the FP7 Work Programme "Cooperation" for Socioeconomic Sciences and Humanities (2007/8). The HERA JRP themes are relevant in particular to the areas 8.5.2 Diversities and Commonalities in Europe and 8.3.3 Cultural interactions in an international perspective. Therefore, your proposal is relevant to EU and FP7 objectives if it is relevant to the HERA JRP themes.

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

No, from the Outline to the Full Proposal stage you can change some of the partners including the Project Leader, if necessary. The content and focus of the selected Outline Proposal and the submitted Full Proposal should essentially be the same. Also, **YOU MUST** make sure that your new partner(s) in a CRP is/are eligible for funding from his/her national funding organisation. The eligibility of all partners of your proposal with the national funding organisations will again be checked at the Full Proposals stage.

What are eligibility criteria for Full Proposals?

The eligibility criteria for Full Proposals are equal to those for Outline Proposals.

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 Outline Proposals that were selected by the Review Panel, can submit a Full Proposal.

Will the Review Panel for selecting Full Proposals be the same as the one that selected Outline Proposals?

Yes, although additional members may be co-opted if an expertise in a certain area is needed.