

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 can 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: 2 October 2012

GENERAL

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

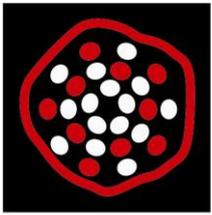
The HERA Joint Research Programme (HERA JRP) partners have launched a joint call for trans-national Collaborative Research Projects (CRPs) under the theme: "Cultural Encounters". By launching the HERA JRP call for proposals, the humanities funding organisations in 18 countries want to create opportunities 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 may involve contributions from other research domains where appropriate.

Which countries are participating in the HERA JRP?

Austria, Belgium, Croatia, Denmark, Estonia, Finland, Germany, Iceland, Ireland, Lithuania, Luxemburg, the Netherlands, Norway, Poland, Portugal, Slovenia, Sweden, 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 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 Programme. In order to participate they need to contribute their share into the joint Programme budget for the funding of successful, transnational collaborative research projects. 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 Network) were unable to make such a commitment. This was sometimes due to financial reasons (no funding available), but in some cases it was also due to legal reasons, thus preventing them from participating in this type of funding mechanism.



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

This HERA JRP call focuses on the theme "Cultural Encounters". 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 Collaborative project have?

- a) be collaborative (involve at least three HERA JRP countries);
- b) must be humanities driven, although proposals may involve contributions from other research domains where appropriate;
- c) may include any type of researcher (senior, post-doc, PhD) that is in accordance with national eligibility, but type of researcher must be justified;
- d) may not exceed the maximum budget size of 1 M€;
- e) have a maximum length of three years (36 months);
- f) must be carried out by a balanced consortium, but distribution of funding over countries may be uneven;
- g) may involve research, researcher training, travel, knowledge exchange and knowledge dissemination.

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

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

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

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

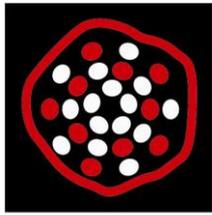
Can proposals include partners from outside Humanities?

Please note that this is a Humanities Research call. The call document states that the proposals must be centred on Humanities research (see excerpt from the Call for Proposals document below) and it is expected that Humanities approaches form the majority of the proposal and that the results of the research will 'move on' knowledge in the Humanities.

There is some scope for other disciplinary approaches but the expectation is that that these will add value to a Humanities research proposal. In a very competitive shortlisting process, a Humanities 'add on' to an overall proposal that is centered on other research disciplines is highly unlikely to fit the call definition of cultural encounters which is a shortlisting criteria.

You also need to be mindful of national eligibility; most funders have an expectation that most of the researchers from their countries will be humanities based. We recognise that there are some slight differences of 'what is humanities' in the participating countries so you are advised to check national eligibility guidelines where you are unsure. For example, the UK funders are specific in their national eligibility guidelines that they also expect the majority of their country's involvement to fall within the remit of AHRC.

"In terms of methodology, it seems clear that the attempt to understand the complex causes and consequences of cultural encounters benefits from the combined insights of comparative, multi-disciplinary and inter-disciplinary research across the humanities. If appropriate, other disciplinary perspectives may be included in proposals; however projects should retain a primary focus on the humanities. Projects should also demonstrate how their transnational and (if applicable) their multi-disciplinary/interdisciplinary aspects will add value to the projected research in fundamental ways; in other words, they should demonstrate how 'the whole will be



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greater than the sum of its parts.' "

(http://www.heranet.info/system/files/hera_jrp_ce_call.pdf, page 4)

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

Partners from non-HERA JRP 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.

Can researchers from other countries be included as long as the proposal 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 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 associated information (project descriptions, CVs) of ineligible researchers.

Can a PI have project members based in a different institution or even in a different country?

It is our expectation that PIs would have all their team members based at the same institution, but there can be exceptions (e.g. where a specific expertise is required and it is unavailable at the PI's institution), provided that the national eligibility rules allow.

What is the definition of a HERA JRP 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 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. 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.

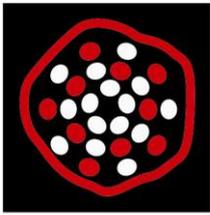
What is the definition of a HERA JRP CRP Principal Investigator (PI)?

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 – please consult national eligibility requirements for further information. Other researchers (senior researchers, post-doctoral researchers, Ph.D. students) can be part of the PI's project team as Project Members (PMs).

Can I submit several applications?

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

Project Leader may act as Project Leader only for one proposal.



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

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

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 per project. Other researchers from the same institution can be part of the PI's Individual Project team as Project Members.

Can there be only one PI per institution for the entire HERA JRP Programme?

No. There can be only one PI per institution per project which means that you can't have two PIs from the same institution listed on the same project. However, there is no institutional limit with regard to applications in the whole joint research programme.

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

Yes, you may be involved as a PL in one CRP and as a PI in another/others, provided

1. you inform the other PL(s) about which other CRP proposal(s) you are involved in;
2. the total number of hours per week you participate in the submitted CRP proposal(s) must be lower than the number of hours per week you are employed by your university/institution.

Are HERA JRP 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 the European Science Foundation (ESF). However, the HERA JRP theme corresponds 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:

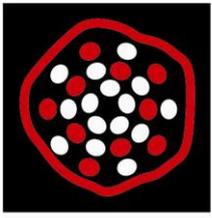
- preparation for / launch of the JRP Call for Proposals;
- management of the evaluation process (peer review).

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

Please read the National Eligibility Requirements available from the HERA website. You do not have to have agreement but your application must follow your national eligibility rules in addition to the general 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).

How do I submit a proposal?

Both Outline and Full Proposals must be submitted via the online submission system . The link to the online application form for Outline Proposals is available on the HERA website <http://www.heranet.info>. Applicants should follow the proposal structure as indicated in the application template for Outline Proposals also available on the HERA website.



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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 read the National Eligibility Requirements available from the HERA website.

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, and ii) the Full Proposal phase. Successful applicants of the Outline Proposals phase 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 partners involved, as well as an indication of the requested budget of the project. Detailed requirements as to the format of Outline Proposals are provided in the Call for Proposals.

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

Yes. Participation in the *HERA JRP Matchmaking event* is not a prerequisite for applying for a HERA JRP 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 benefit 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.

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?

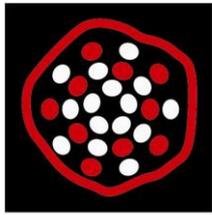
Yes, for the HERA JRP Call for Proposals, you are required to build a consortium of at least three partners based in and eligible for funding in the HERA JRP countries.

Can non-academic partners be part of a CRP?

Non-academic partners (i.e. stakeholders in the cultural, heritage or educational sector, media or creative industries) can be included in a proposal as **Associated Partners (APs)**. Their participation as APs in a CRP will not be financially supported by the HERA JRP; only their travel and subsistence costs for attending CRP-related events can be covered. 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 Outline Proposal should have?

Yes. An Outline Proposal must be written in **English** and submitted via the online submission system. The outline proposal comprises the filled-out on-line form and a PDF attachment following the application template. Further guidance is available in the Call for Proposals.



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Does the word limit (2000 words) for the part i. of the application, a short description of the CRP, include references and footnotes?

Yes, references and footnotes are part of the project description section of the application.

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 guidelines in the Call for Proposals as well as the National Eligibility Requirements to verify the eligibility of specific budget items according to the rules of your national funding organisation. In case of doubt, please get in touch with the national contact person.

The application form available on the HERA website includes a tabulated template, which must be used for entering the total estimated budget of each Individual Project.

Can funding be distributed disproportionately among the project partners?

The funding among the project partners can be different. The differences may be due to the different national eligibility rules (e.g. regarding the overheads) but also due to the division of work. It is advisable to think about the research questions first and what can be delivered across the **entire** consortium and then prepare the budget accordingly. Variation in budgets is expected and it may be worth emphasising to your potential partners that you all need to consider more actively the amount of time being committed. An evenly balanced budget between partners that actually results in 80% of the research being done in Croatia, and 10% in UK and Germany for example is not likely to be considered a balanced research collaboration

What currency should I use when describing the budgets?

The estimated budget must be given in Euros only.

How will HERA JRP Outline Proposals be assessed?

An independent international Review Panel composed of 24 members will assess the HERA JRP Outline Proposals. The members of the RP are leading researchers, appointed by the HERA JRP Board. The composition of the HERA JRP Review Panel will be published on the HERA website www.heranet.info after the launch of the Call for Proposals.

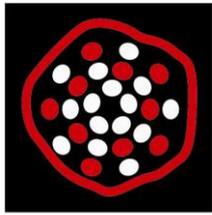
Can I contact the members of the Review Panel of the HERA JRP to discuss my proposal?

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. 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@esf.org.

What are the assessment criteria for Outline Proposals?

In the Outline Proposal phase, the Review Panel will select proposals with potential for research excellence, by applying the following criteria:

- Potential for research excellence
- Novelty and originality of research
- Qualification of the applicants and coordination structures proposed
- European added value of collaboration [=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]
- Relevance to the theme "Cultural Encounters", including potential impact of the proposed research beyond academia



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How long is the selection process?

The Call for Outline Proposals is launched early February 2012 with a submission deadline on **4 May 2012, 14:00 CET (13:00 GMT)**. Full Proposals will then be invited from the selected Outline Proposals in July 2012, with a submission deadline in October 2012. The selection and ranking of Full Proposals will occur in October 2012 – January 2013 and the funding decisions are expected to be announced in January 2013. CRPs are expected to start in June 2013.

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 and ii) the Full Proposal phase. Successful applicants of the Outline Proposals phase are invited to submit Full Proposals. Detailed requirements for Full Proposals and instructions on how to complete the application forms are available online.

How will HERA JRP Full Proposals be assessed?

Following the evaluation of the Outline Proposals, selected applicants will be given access to the online submission form for Full Proposals. Only invited applicants will be able to submit Full Proposals. The expected deadline for the submission of Full Proposals will be in October 2012.

Full Proposals 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 referees used for the international peer review will be published - unassigned to proposals - on the HERA website, once the selection process has been completed.

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

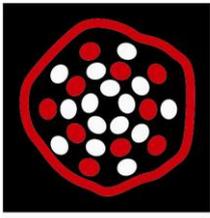
- sound concept and quality of objectives
- progress beyond the state-of-the-art
- quality and effectiveness of the research methodology and associated workplan

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)

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



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- appropriateness of measures for the dissemination and/or exploitation of CRP results, and management of intellectual property

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. However, 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 their national funding organisation. The eligibility of all partners of your proposal with the national funding organisations will again be checked in the Full Proposals phase.

What are the eligibility criteria for Full Proposals?

The eligibility criteria for Full Proposals are the same as those for Outline Proposals except for applicants from Germany (please check the National Eligibility Requirements).

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 Review Panel in the Outline Proposals phase can submit a Full Proposal.

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

In the Full Proposal phase, the review panel will be slightly reduced due to the smaller number of proposals under consideration.

In the part B of the Full Proposal online form (Description of the CRP implementation and management), what exactly is meant by "5 pages max., not counting the budget tables"

The description of the CRP implementation and management including the justification of the requested budgets under each budget table should be maximum 5 pages long. The budget tables should not be counted.

It is possible to exceed the 5 page limit if national requirements demand a more detailed justification of the requested budget items below each table. However, preferably, the justification below the tables should not be too long (around 1 page).

When are the CRPs expected to start and end?

The maximum CRP duration is 36 months. It is preferable that CRPs start as soon as the negotiations are completed, e.g. in April- June 2013. However, if required, the projects can start by 30 September 2013 at the latest and thus end by 30 September 2016.