

ERC Consolidator Grant Call 2019: Notes and Tips for Applicants (Version Nov 30, 2018)

Quick overview: Consolidator Grant Call 2019

Deadline: February 7, 2019 17:00 CET

- **Reference date** for the “Starter“ and “Consolidator“ eligibility window: **January 1st, 2019**
- **Waiting time for resubmission** of ERC proposals that failed in **step 1** of the evaluation: 1 year for proposals evaluated as category B, 2 years for category C proposals (most likely; rules to be provided in Work Programme 2020)
- Proposals that proceed to **step 2** but are not funded can be resubmitted immediately to ERC calls of Work programme 2020 (most likely)
- **Literature references do not count towards page limits** (B1+B2)
- **Track Record:** Presentation of **up to 10** publications; **preprints** may be included, if freely available from a preprint server
- **Model CV-Template** provided by ERC
- **MD/PhD-equivalency:** M.D. + clinical training alone does not render a M.D. degree a PhD-equivalent; a proof of an appointment that requires doctoral equivalency is necessary in addition
- **Clinical training** can extend the eligibility time window **up to 4 years maximum** – see ERC Work Programme 2019, p 18
- **Mandatory Funding ID annex** to indicate ongoing and submitted as well as previous grants and funding of the PI
- Request for **exclusion of up to three reviewers** possible without justification
- **Open Access** is mandatory, related costs can be charged to the project
- ERC beneficiaries will automatically be covered by the H2020 provisions on **research data sharing** unless they specifically decide to opt-out; related costs can be charged to the project
- **Ethical issues table** needs to be completed online; **ethics self-assessment annex to be provided if any issue** in the ethical issues table applies (no template)
- **Minimum 40% of the PIs total working time** needs to be committed to the ERC project, and the PI needs to spend minimum 50% of his/her total working time in Europe or a Horizon 2020-Associated Country, even if the salary of the PI is not charged to the project

Important documents and useful links

Please read the following two documents:

- **ERC Work Programme 2019 (legally binding)**
http://ec.europa.eu/research/participants/data/ref/h2020/wp/2018-2020/erc/h2020-wp19-erc_en.pdf
 - **Information for Applicants to the Starting and Consolidator Grant Call 2019**, including the detailed **panel expertise keywords**:
http://ec.europa.eu/research/participants/data/ref/h2020/other/guides_for_applicants/h2020-guide19-erc-stg-cog_en.pdf
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- Participant Portal: Link to **proposal submission** for the Consolidator Grant Call 2019:
<http://ec.europa.eu/research/participants/portal/desktop/en/opportunities/h2020/topics/erc-2019-cog.html>
 - **ERC Standard Proposal template** (pdf) for the Starting/Consolidator Grant, including administrative forms and Letter of Commitment of the Host Institute:
 - http://ec.europa.eu/research/participants/data/ref/h2020/call_ptef/pt/2018-2020/h2020-call-pt-erc-cog-2019_en.pdf → rtf.-versions available via the online-submission system (PPSS) after registration
 - ERC Homepage: erc.europa.eu
 - ERC Consolidator Grant 2019 Applicant Mailbox for queries related to the call:
ERC-2019-COG-APPLICANTS@ec.europa.eu
 - Link to previous **ERC panel members (frequently generalists)**:
 - <https://erc.europa.eu/document-category/evaluation-panels>
We recommend to use the lists of previous panel members to understand the different backgrounds and perspectives from which panel members may view your proposal. ERC panel members alternate between even and odd years, while several of the panel members will usually be replaced by new ones. It is therefore advisable to check in particular the panel member lists for the Call 2017 in order to arrive at an idea about the possible composition of panel members for 2019.

The Panel Chairs for the ERC Consolidator Grant Call 2019 should soon be listed at:

<https://erc.europa.eu/node/1344>

- Link to previous **ERC external referees (specialists)**:
http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html#h2020-expertslists-excellent-erc
- Link to ERC **database of ERC-funded projects**:
<https://erc.europa.eu/projects-figures/erc-funded-projects>
Here you can search for ERC project summaries and Principle Investigators of ERC grants. Search results can be filtered e.g. by panel and keywords. Project abstracts and the CVs of Principal Investigators funded by the panel you consider applying for may prove helpful for deciding on the most suitable evaluation panel, and for comparing CVs/track records of PIs.
- ERC webpage on **open access**: <https://erc.europa.eu/funding-and-grants/managing-project/open-access>
- Guidelines on Implementation of Open Access to Scientific Publications and Research Data (ERC):
https://ec.europa.eu/research/participants/data/ref/h2020/other/hi/oa-pilot/h2020-hi-erc-oa-guide_en.pdf

Online submission of ERC proposals: Submit early, submit often

We strongly recommend to **submit a first version of the proposal around 1 week before the deadline**, in order to check for any browser problem or other technical issues that may block proposal submission, or lead to layout changes in the uploaded versions. Up to the call deadline, **you can continuously modify your proposal by submitting (not just uploading) a new version, which will overwrite the previous one.**

- In case of problems with the online submission system (PPSS), please **contact your host institution** (grant management/researchers' service), **FFG** (ylva.huber@ffg.at) or directly the **PPSS Service Desk: DIGIT-EFP7-SEP-SUPPORT@ec.europa.eu** or **+32 (2) 29 92222**
- Information on how to use the online submission system is also available via the submission service user manual: http://ec.europa.eu/research/participants/data/support/sep_usermanual.pdf
- Please ensure that all the **required supporting documents are obtained and submitted** via PPSS in time (Commitment letter of the Host Institution, ethical issues annex [ethical self-assessment and any additional documents related to ethics], other supporting documents as applicable)

Ethical issues: Online table and ethics self-assessment annex

- The **ethical issues table** needs to be completed online in the Participant Portal/Funding and Tenders Portal. The page numbers in the ethics table refer to part B2. It is possible to indicate several page numbers divided by '/' (e.g. 12/14).
- For each ethical issue that applies to your proposal, please 1) tick the appropriate box in the list and 2) provide information on your approach to these issues in the **ethics self-assessment** document. As there is **no template** for the ethics self-assessment, we suggest to use a plain word-document indicating the relevant topic(s) from the online-ethics section and to describe your strategy to deal diligently with these issues (e.g. which ethic approvals you will obtain, compliance with relevant national and European law/directives, anonymization of data, insurance, etc). Convert the document into **pdf** format and upload it as **ethics self-assessment annex** in the submission system. Furthermore, you can upload additional annexes with ethics-related documents (e.g. examples of informed consent forms)
- A **guideline** on how to complete the ethics self-assessment is available at <https://erc.europa.eu/sites/default/files/document/file/EthicsSelfAssessmentStepByStep.pdf>
- Recently, the European Commission also published a guideline on ethics and data protection: http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/ethics/h2020_hi_ethics-data-protection_en.pdf
- **Please note:** The ethics self-assessment guide also refers to documents that may not be available at the stage of proposal submission but need to be provided at the stage of preparing the grant agreement, e.g. ethics approvals.
- The **ethical issues section/ethics self assessment will not be evaluated** during proposal evaluation, as communicated to FFG by the ERCEA: “Any document related to ethics (including the ethics issues table) will not be made available to the ERC reviewers during the evaluation. Hence, they will not be instructed to look at them. The evaluators are not supposed to take ethic issues into account during evaluations. The ethics clearance is done by the ethics review after evaluation is final.”
- For proposals with immediate ethics issues, it is nonetheless “advisable to include a short paragraph summarising how they will be dealt with and refer to ethics self-assessment/annexes.”

Evaluating scientific excellence: Questions that CoG reviewers need to answer

(ERC Work Programme 2019, p36)

1. Research Project

Ground-breaking nature, ambition and feasibility

Starting, Consolidator, Advanced and Synergy

Ground-breaking nature and potential impact of the research project

To what extent does the proposed research address important challenges?

To what extent are the objectives ambitious and beyond the state of the art (e.g. novel concepts and approaches or development between or across disciplines)?

To what extent is the proposed research high risk/high gain (i.e. if successful the payoffs will be very significant, but there is a higher-than-normal risk that the research project does not entirely fulfil its aims)?

Scientific Approach

To what extent is the outlined scientific approach feasible bearing in mind the extent that the proposed research is high risk/high gain (based on the Extended Synopsis)?

To what extent are the proposed research methodology and working arrangements appropriate to achieve the goals of the project (based on the full Scientific Proposal)?

To what extent does the proposal involve the development of novel methodology (based on the full Scientific Proposal)?

To what extent are the proposed timescales, resources and PI commitment adequate and properly justified (based on the full Scientific Proposal)?

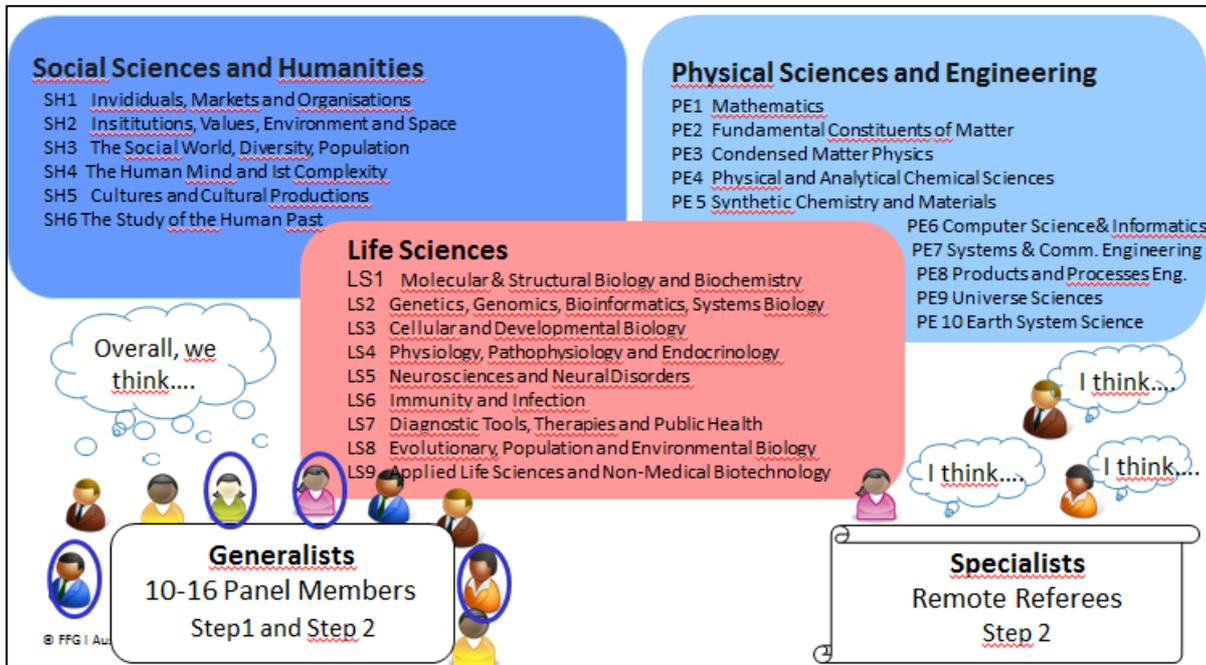
2. Principal Investigator (Starting and Consolidator)

Intellectual capacity and creativity

To what extent has the PI demonstrated the ability to conduct ground-breaking research?

To what extent does the PI provide evidence of creative independent thinking?

To what extent does the PI have the required scientific expertise and capacity to successfully execute the project?



Evaluation step one: Usually **four Panel Members**, the majority of whom may often be **generalists** rather than specialists in the area(s) of your project, **read part B1 only**. The other panel members will frequently only see the abstract of the proposal and possibly skim through the proposal during the panel meeting.

Evaluation step two: The **full proposal (B1 and B2)** becomes accessible to **panel members** and **specialist external referees**. The final decision on the recommendation of a project for funding lies with the panel members.

Considerations and Tips for a convincing ERC Consolidator Grant proposal

Structure

- Think of a **narrative** and provide a **clear structure**, so that your proposal reads as a compelling, authentic story.
- Provide the **big picture**: Introduction/state of the art are important sections to put your research into a **broader context** (appealing also to panel members who are not specialists in your field) and to motivate your research goals.
- The introduction/motivation should, however, not dominate the proposal: The **major part** of the proposal (also in B1) should explain your **novel approach**.

- Present the concrete **aims/objectives** of your project rather early and in a highly visible manner (e.g. bullet points, bold fonts, text box). Panel Members like to see them at the first glance.
- The **perfect match between aims/objectives**, the **methodology** and the **workplan** of the project should be easy to grasp. For instance, you can refer to aim(s) 1,2 when describing method x or research line/workpackage y). This will support the impression of a well integrated, coherent proposal.

Part B1

is your “ticket to the interview”: a crucial element of the proposal that needs to capture both the ambition and the feasibility of the project. The success rate for step1 of the evaluation process, where only Part B1 is assessed, was lately around 30% for the Consolidator Grant.

- The extended synopsis in B1 should contain **all important information** to evaluate both the breakthrough character and the feasibility of the project. This includes:
 - key **preliminary data/results/”proof of principle”** (e.g. for novel methodology) already obtained
 - risks and contingency strategies** (what are significant risks and your “plan B)
 - how will you **validate** the results of your project? E.g. how will you determine causality, as opposed to “only” correlation?
 - other factors that may be important to show the **explanatory power** of your approach, e.g. generalizability of results
- Based on ERC evaluation comments, we strongly recommend to also include a paragraph/sentence on the **team composition** in B1 (message: the necessary expertise will be assembled in your team), as well as a **brief timeplan** (1-2 sentences, or putting timing information in brackets, e.g. “aim 1... [Year 1-3]” / “key intermediate goal x [Year 3]“).
- One or a few high quality **figure(s)** can also be very helpful for B1
- **References** to literature should be included. They do not count towards the five pages-limit. The references in B1 may also support Panel Members in selecting the external referees to evaluate the proposal in step 2 of the evaluation.

Part B2

should present the required details for the evaluation by specialist reviewers in step 2. This concerns in particular the methodology, preliminary data, risks and contingency plans, but also details on resources, including the team composition and –organisation and the infrastructure/scientific environment at the host institution. Part B2 also contains the budget table (see template), which is included in the 15 pages-limit.

- We recommend to maintain the overall structure of B2 provided for in the B2 template with three sections: a) State of the art and objectives; b) Methodology, c) Resources

- Where applicable, present important **intermediate goals** and any intermediate stages where results may require adjustments to your planning
- Highlight any **novel/unconventional methodology**
- Deal diligently with **significant risks/challenges** (contingency plans, alternative strategies; promising preliminary data)
- At least in most cases, reviewers will likely expect a reasonable **time plan** for an ERC project. It has meanwhile become standard in part B2 of ERC proposals to present e.g. a Gantt chart or overview table on key intermediate goals/milestones (see also example below). The time plan should however not be too detailed to be credible for a groundbreaking research agenda.
- Present the composition and expertise requirements for your **team** (PhDs, Post Docs), as well as **working arrangements** (e.g. supervision of PhD students supported by Post-Docs; overall supervision and guidance by PI). Please consider: What is the ideal combination of PhD students and PostDocs for your project, how should e.g. PhD students “overlap” timewise to ensure optimal continuity of the project, etc? Reviewers may e.g. question whether certain tasks could be “too demanding for a PhD student” and should rather be allocated to a Post Doc; or conversely whether the presented tasks constitute a convincing PhD project.
- Explain your **commitment** to the project as PI, including the percentage of total working time. If you think there could be reasonable doubts on whether you will be able to fulfil the time commitment due to other duties, describe your strategy up front.
- **References** to literature should be included (they do not count towards the 15 page-limit)

Avoid unnecessary repetition between B1 and B2

As part B1 should capture the essence of the entire proposal, B1 and B2 need to be mutually consistent. However, panel members seem **to increasingly disapprove of longer sections with identical wording in B1 and B2**. As both B1 and B2 are evaluated at step 2, you can also **save space in B2** by e.g. referring to a figure or section in B1, instead of repeating it in B2.

Proposal Abstract

The abstract is an important part of the proposal, also during panel discussions. The majority of panel members may only read the abstract and possibly leaf through the proposals when they are discussed in the panel meetings. The abstract should therefore present the essence of your project, capturing the scientific challenge, novel approach, objectives, potential impact and unique features of the project.

Further considerations for B1 and B2:

Novelty and Vision

- Address explicitly the **groundbreaking nature** of the project (what is the core novelty?) and its potential **impact**. Both the anticipated impact of the project on your field/other fields as well as your more **long-term research vision** (5-10 years or beyond) should be presented. This will support the message that the ERC Grant will **enable you to establish a new research field**.
- It should be evident for reviewers that your approach is really **novel, original, and timely**. It should not come across as an incremental “extension” of (your) previous research. Explain the **unique features** and the advantages of your approach compared to **competing approaches**.

Hypothesis-driven project/clearly defined research questions

- While there may be differences between research fields/disciplines, ERC reviewers frequently comment positively on the fact that a project is hypothesis-driven. In any case, however, the overarching research questions should be clearly presented. Proposals that apparently lack such question(s) and are perceived as largely technology- or methodology-driven will likely be at a disadvantage.

Scope of the project: Justified approach

- As with any research proposal, also the scope of an ERC project can be questioned by reviewers – either as being too broad/unfocused or too narrowly focused/incremental. It is therefore important to explain why the approach you have chosen is the best strategy to achieve a breakthrough.

Clarity

- Your proposal needs to be **well understandable** also for **reviewers that are not specialists** in your own research field/topic.
- Important: **Precise wording**/descriptions, **clear** (working) **definitions**, concrete **examples**, high quality **figures**
- Ensure a reader-friendly layout. It can be helpful to highlight key messages, e.g. by a short summary of a section in a text box, bullet points, and/or selective use of bold fonts

Collaborations

- Strive for a good balance when describing collaborations for the project: explain their importance for the project, but without giving the impression of being “too dependent” on them. This should convey the message that 1) due to excellent connections of the PI, s/he will have access to all required complementary expertise and infrastructure, and 2) the collaborations are well-defined/targeted.

The idea is also to avoid a potential impression of a project based on a consortium, as the ERC explicitly does not fund consortia (ERC Work Programme 2019, p9). If you think your project would actually require several PIs, the ERC Synergy Grant call (for a group of 2-4 PIs; next deadline probably in autumn 2019) could be an option.

Demonstrating a competitive Consolidator profile

- **CV, Track Record, State of the art:**

Make sure that your own contributions (e.g. in important co-authored papers) are clearly visible.

Research independence of the PI should be evident throughout the proposal, i.e. not only shown in the CV and Track Record, but also in B1 and B2, for instance when presenting preliminary work/data (As we could show in [ref.x]...“)

In general, there is a stronger emphasis on research independence (vis-a-vis the PhD-supervisor, but also with respect to subsequent supervisors) as well as on leadership and international visibility of the PI for Consolidators, compared to Starters. For the Consolidator Grant, reviewers may also expect that the PI already leads a core team which would be expanded by the Consolidator Grant.

- Your **experience in team leadership** should be clearly reflected in the CV/Track record (e.g. [co-]supervision of PhD students. If you could not yet formally supervise students due to the requirement of a habilitation in Austria, you can add such explanation.)
- **Up to 10 representative publications** should be listed in the track record for Consolidators (see Work Programme 2019 and comment below).

Explain why the ERC grant is important for you now

- We suggest to explain the importance of the ERC grant for you concisely, e.g. to build an internationally competitive team/hire additional Post Docs/PhD students, establish a new line of research,...

Reviewers should not get the impression that the ERC grant could rather serve as top-up of existing funds/resources. However, where applicable, it is useful to demonstrate the complementarity of the ERC project with other grants/funds, to generate a critical mass of efforts. This can include contributions by the host institution that are not charged to the ERC, demonstrating the commitment of the host institution to the project.

Which panel?

- Consider which panel is likely in the best position to understand the groundbreaking nature of your project, and to appreciate your previous achievements.

- While the ERC welcomes **interdisciplinary** projects, they constitute a challenge for the evaluation process, as these proposals need to be rated as excellent in every discipline they cover. If you consider your proposal to be interdisciplinary (cross-panel/cross-domain), you can indicate a secondary panel in the online-submission system. In this case, please describe the cross-panel/cross-domain nature in the dedicated text box on the B1 cover page. However, we recommend to give some extra thought to this question, as so far the success rates of explicitly cross-panel proposals apparently has been lower. Alternatively, you can choose only one panel, but add keywords from other relevant panels (as well as free keywords).
- Exceptionally, the panel may allocate a proposal to a different panel than the one indicated by the PI.

Feedback by colleagues

- Questions and critical comments of colleagues (both within and beyond your research field, ideally with a background similar to that of potential panel members) on the proposal will be highly valuable.
- We suggest to picture and prepare for the situation of the interview in step two already when drafting the proposal (you will only have a few minutes to “pitch” your project and around 20-25 minutes to answer questions), e.g. by collecting critical questions from specialists and non-specialists.
- Where applicable, also a polishing of the proposal by an English native speaker is highly recommended.

Specific remarks on B1-CV, Track Record and B2- resources

B1, Section b: Curriculum vitae (max. 2 pages)

- Overall, it is recommended to **maintain the structure of the CV template** (see Information for Applicants, p18: “Curriculum vitae ...should follow the suggested template“)
- In addition to the examples provided by the CV template, please present also key activities as reviewer for **journals**
- Provide the **name of your PhD supervisor and the title of your thesis**
- Ensure an impeccable and reader-friendly **layout** also of the CV and Track Record section
- **Appendix to the CV: All ongoing and submitted grants and funding of the PI (Funding ID)** Mandatory information not counting towards page limits
 - According to information by the ERCEA, the information in this table is also used to support the selection of reviewers for the proposal (avoiding potential conflicts of interest with reviewers that might be involved in running/submitted projects with the applicant).

However, if several ongoing grants are listed which will temporally overlap with the ERC project, it is advisable to also demonstrate that **the PI will be able to fulfil his/her time commitment to the ERC project**, e.g. by indicating the percentage of time commitment of the PI for the other grants in the table.

- For submitted grant proposals which **strongly overlap with the content of the ERC project** (e.g. in the case of an FWF START application), **we recommend to add an explanatory sentence**, e.g.: “In case both the X grant application and the ERC Consolidator grant application are successful, I shall accept the ERC Grant and decline the X grant”
- Based on a new sentence in the Information for Applicants guide¹, we recommend to also include **previous, concluded grants** in this section, although the Funding ID section in the B1 template currently only refers to “all ongoing and submitted grants and funding of the PI”.

B1, Section c: Early achievements track-record (max. 2 pages)

- In the early achievements track record, your most important publications (**up to ten publications** in the case of Consolidators) should be presented, highlighting those as main author and/or without the co-authorship of your PhD supervisor. You can also add field relevant bibliometric indicators, e.g. citations without self-citations (see ERC Work Programme 2019; Information for Applicants 2019). **Preprints** may be included, if freely available from a preprint server (preprints should be properly referenced and either a link to the preprint or a DOI should be provided).
- We recommend to provide **summary/overview information** for the reviewers (e.g. total number of publications, contributions to conferences, citations, h-index etc as applicable; **plus weblink to full list of publications and talks**), as well as specific “**highlight information**”. For the list of ten top publications in the track record, it is very advisable to **describe their significance and your contribution in 1-2 sentences**, e.g. in a textbox (“Here, we could show for the first time...”)
- We do not know how much attention ERC reviewers give to the provision of listing only "up to 10 publications" in the Track Record. At any rate, this limit is no formal criterion, but we would expect that reviewers appreciate a focus on 10 top papers in the track record. According to the ERCEA, it “ is not an eligibility issue but how strictly each panel will look at this in the evaluation is their own decision and cannot be predicted.”

In any case, we recommend to mention any further important papers of particular relevance for your ERC project (i.e. in addition to the top ten) in the proposal as well, e.g. by integrating this information in a brief additional running text section in the Track record ("research profile", "research interests" or similar), and/or in the extended synopsis and B2.

¹ Page 18: „You should as well list your previous and ongoing grants and grant applications in the funding ID table (this table will not count towards the page limits)“.

B2, Section c : Resources

- Apart from explaining the project costs in the adequate detail (usually around half to one page of explanatory text page for the main cost items, plus the budget table), this section is also suitable to present **detailed information on the team composition and expertise**, including the expertise requirements for the Post Docs and PhD students that will be hired for the project. No names of team members are required at this stage, and we suggest to state that the positions will be internationally advertised, e.g. via the Euraxess portal.
- We also recommend to present relevant information on the **host institution/research environment** here, to support the message of "the right project and team in the right place".
- The time plan/overview on timing of key intermediate goals is typically either presented at the end of section b) methodology or in section c) resources

Budget table:

→ Please contact the grant management office at your ERC host institution for support with the budget calculation

- **Other direct costs** (with overhead flat rate): This category includes contracts to purchase goods, works or services, e.g. contract for a computer; contract for an audit certificate on the financial statements; contract for the publication of brochures; contract for the creation of a project website, contract for organization of the rooms and catering for a meeting, contract for hiring IPR consultants/agents. These costs do not arise from directly implementing the action tasks of the ERC project, but they are necessary to implement these tasks. In Horizon 2020, overheads apply to these costs, as opposed to the case for subcontracts (http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf, 122)
- **Audit costs** should be included in the **other direct costs** category. In Horizon 2020, only one audit (certificate of the financial statement) is required at the end of the project, if the funding (direct costs) amounts to more than 325.000 EUR
- **Subcontracting costs** (without overheads): Costs for subcontracts arise from the implementation of specific tasks which are part of the action (ERC project) by a third party. No overheads can be charged for these costs.
- **Equipment:** Please note that only **depreciation rates** (according to national rules) can be charged to the ERC for equipment. If the depreciation period of the equipment in question exceeds the duration of the ERC project, the remaining costs have to be carried by other means. Please contact your host institution in case of questions in this context.
- Do not forget the possibility to include costs for publications, including **open access fees** (Article 29.2 of the ERC Model Grant Agreement). In Horizon 2020, each beneficiary must ensure open access to all peer-reviewed scientific publications relating to its results. Also costs related to **open access to research data** (Article 29.3. of the ERC Model Grant Agreement) can be charged.

- **Other direct costs with no overheads** : This category includes costs of resources made available by third parties which are not used on the premises of the beneficiary (= host institution), e.g. access to large research facilities owned by a third party and not used on the premises of the beneficiaries.
- **PI salary**: As a PI, you may request funding for your salary corresponding to the percentage of total working time dedicated to the ERC project (or a smaller fraction of that amount), even if you already receive a salary by your host institution. Funding of (part of) the PI’s salary can e.g. support the host institution in hiring a teaching replacement in case there is an agreement to reduce teaching obligations of a PI during the ERC project. Please consider, however, whether funding of the PI salary could result in a less-than-optimal number/experience level of team members due to budget constraints, as this needs of course to be avoided.

Indicative evaluation schedule for the Consolidator Grant Call 2019 (may be subject to change)

Updates at: <https://erc.europa.eu/funding/consolidator-grants>

