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Scientific aspects & role of the PI in ERC grants

Città della Scienza – 29 October 2013
AGENDA

- Introduction
- Legal aspects
- Financial aspects

Coffee break

- Scientific Follow up
  1. Scientific reporting
  2. Ethics in ERC projects
  3. Information on ERC schemes
  4. Statistics on Italian performance

- YAE – an initiative from ERC grantees
- Open discussion
Scientific reporting
Split Scientific & Financial reporting

- 2 scientific reports
  - submitted by the Principal Investigator (on behalf of the Host Institution)

- 4 financial reports
  - submitted by the Host Institution (on behalf of the Principal Investigator)

⇒ Advantage: less administrative burden for the researchers
Split Scientific & Financial reporting

- 2 scientific reports
  ⇔ submitted by the Principal Investigator (on behalf of the Host Institution)

Reports covering the scientific aspects of the grant:
- Prepared by PI on behalf of HI
- Submitted 2 times over 5 yrs at midterm and at end of project
- Assessment by the Scientific Department: SOs responsible for monitoring
- External expertise if needed
Scope of Scientific Reporting

- **Feedback to ERC**
  - Contributing to the overall monitoring of program implementation and success of the FP7 PROGRAMME.

- **Dissemination of results**
  - Increased visibility of projects and outcomes
  - Acknowledgement of ERC as an agency funding excellent research and leading scientists

- **Legal requirements**
  - Reasonable assurance of proper use of public funds
Scientific Report Submission

- Deadline for report submission: **60 days after end** of period (M32, M62)
- **15 days before** end of period → Advanced notice letter sent to PI
- Reminders are sent if needed (until 3)
- Receipt of PI’s reporting documents by Follow-up team
- Completeness check: if incomplete → go back to PI
Scientific Reporting: Documents

Documents submitted by the PI at midterm or final reporting:

- Core report
- Project output record
- Full publications, if available or
- Abstracts in case of copyrights

E-mail exchange with PI - clarifications, additional info etc.

Last version of DoW - against which PI’s report needs to be checked
Scientific Mid-Term Activity report

- Summary of major achievements since the start of the project
- Publishable brief summary of the achievements of the project
- Major problems/difficulties
- Information you would only want to share with ERCEA
- List of keywords
- Attachments
Scientific Final report

- Summary of the major achievements over the entire period
- Publishable brief summary of the achievements of the project
- Overall assessment of achievements and success of the project
- Major problems/difficulties
- Information you would only want to share with ERCEA
- List of keywords
- Websites where additional information may be found
- Attachments
Monitoring Report: Assessment by the SOs of the Scientific Department

Project monitoring is:

- Assessment of the project progress and achievements
- Assessment of the work carried out, not scientific results
- Check whether the progress is consistent with the DoW
- Check for signs of underperformance of the Project

→ External reviews can be required from panel members

Project monitoring is not:

- A scientific re-evaluation of the project
- A peer review of the scientific output
- An assessment of the scientific quality of the project outcomes

Approval scientific reports: feedback to PI & Grant Dept. by follow-up team
Scientific reporting: 2011 – 2013

**Advanced Grants**
Number of mid-term reports received in 2011: 229
Number of final reports received in 2011: 0
Number of mid-term reports expected to be received in 2012: 218
Number of final reports expected to be received in 2012: 7
Number of mid-term reports expected to be received in 2013: 235
Number of final reports expected to be received in 2013: 46

**Starting Grants**
Number of mid-term reports received in 2011: 271
Number of final reports received in 2011: 3
Number of mid-term reports expected to be received in 2012: 230
Number of final reports expected to be received in 2012: 36
Number of mid-term reports expected to be received in 2013: 411
Number of final reports expected to be received in 2013: 248
Scientific reporting: IT applications

**CPM** – Contract and Project Management

- Mainly used for financial / contractual issues
- Versatility and accessibility across departments
- Temporary solution for storing scientific reports

**CORDA** – Community Research DataWarehouse

- Business Objects
- Statistics and Overview

**SESAM (electronic reporting)**

- Dedicated tool for scientific reporting for all FP7
- Expected to work for ERC in a few weeks
- Dual functionality: Submission of reports and publications
  - Assessment of reports
Ethics in the ERC Projects
Research Ethics : Article 6 of FP7

- "All the research activities carried out under the Seventh Framework Programme must be carried out in compliance with fundamental ethical principles"

_Seventh Framework Programme (Decision N° 982/2006/EC), Article 6 (1 § )_

- ERCEA ensures that no ERC grant is given to research that may contravene ethical legislation or regulations (EU and/or national legislation and regulations)
What is an ethical issue?

- Use of Human Embryonic Stem Cells or Foetal Tissue
- Use of Non Human Primates
- Research Intervention on human beings
- Privacy and use of personal data
- Research on animals
- Research in Developing countries
- Dual Use
Established by the European Commission

Ethics Review (RTD):
- hESCs
- Primates
- Humans

hESCs are submitted to:
a. Programme Committee
b. EC decision

Ethics Pre-Screening

Ethics Screening

Ethics Review ERC:
(Except 1-3)

Ethics Clearances

Lists with evaluated proposals
(main + reserve lists)

Ethics tables + Ethics annexes submitted through EPSS

Proposals concerned by ethics review are frozen until Clearance doc.

Signature of Grant Agreements
Information on ERC schemes
Consolidator – Applicant’s profile

- Potential for research independence
- Evidence of scientific maturity
- At least one (StG) /several (CoG) publications without participation of PhD supervisor

Promising track-record of early achievements

- Significant publications
- Invited presentations in conferences
- Funding, patents, awards, prizes
Proof of concept – Principle

- Initiated to help ERC grant-holder **to bridge the gap** between their research and the earliest stage of a marketable innovation
- Supporting grant-holders during the pre-demonstration
- Up to **150,000 Euro** per grant 1 year
- **One step** evaluation
- First call in Autumn 2011 with 2 deadlines
- Second call in 2012 with 2 deadlines
- Third call in 2013
- (deadlines 24/04 and 3/10)

**2011** | **2012** | **2013**
---|---|---
Total applications | 151 | 143 | 146
Evaluated* | 139 | 120 | 140
Funded | 51 | 60 | 33

* withdrawn and ineligible proposals not taken into account
Proof of concept – Evaluation calendar

<table>
<thead>
<tr>
<th>PoC 2013 Deadline 1</th>
<th>PoC 2013 Deadline 2</th>
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<tbody>
<tr>
<td>Submission of proposals: <strong>146 received</strong> April 24th</td>
<td>Submission of proposals <strong>147 received</strong> October 3rd</td>
</tr>
<tr>
<td>Proposals available: <strong>140 eligible</strong> Between 29 April and 3rd of May</td>
<td>Proposals available. <strong>144 eligible</strong> Between 7th and 11th October</td>
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<tr>
<td>Panel Meeting June: <strong>33 funded</strong></td>
<td>Panel Meeting November</td>
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<td>Feedback to applicants July 2013</td>
<td>Feedback to applicants December 2013</td>
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Proof of Concept 2013
Consequences of the increase of proposals

- The Success rate will go down from 45% to 22%
- The number of experts has been increased from 15 to 22
- The evaluation may take longer
Restrictions on submission of proposals – successive grants

- A Principal Investigator may hold only one frontier research grant from the ERC at a time.

- A Principal Investigator who holds an ERC frontier research grant, cannot submit a proposal for another ERC grant unless the existing grant expires no more than two years after the call deadline

⇒ if the project expires after « call deadline + 2 years » then, the proposal is not eligible.
Statistics on Italian performance
Established by the European Commission

208 projects with a host institution in Italy, by ERC call and domain

* current host institutions; data as of 21/01/2013

Granted proposals at HI in Italy
ERC Starting Grant calls 2007-2012
ERC Advanced Grant calls 2008-2012
Success rates per country of Host Institution
ERC Starting and Advanced Grant calls 2007-2012

* First legal signatories of the first grant agreement taken into account
Nationals at home and abroad
ERC Starting and Advanced Grant calls 2007-2012

Nationality as last declared by the principal investigator

- Nationals Abroad
- Nationals in the Country

(PI nationality - EU member states and FP7 A.C.)
Mobility of researchers
ERC Starting and Advanced Grant calls 2007-2012

22 foreign grantees in Italy

133 Italian grantees abroad: UK (39), FR (23), CH (22)
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