



HERA

Humanities in the European Research Area

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

The following series of Frequently Asked Questions and answers 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 UP 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 Dr Sander Steeman at the HERA JRP UP Handling Agency at hera@nwo.nl. For questions about national eligibility issues, please contact the national contact persons listed at the end of the call text..

Last update: 24 January 2015

Special message for the attention of researchers in Spain who are planning to apply to the HERA Joint Research Programme "Uses of the Past" and to international research teams planning to include Spanish researchers in HERA applications:

Fortunately, the Ministerio de Economía y Competitividad of Spain has found a way to re-enter the HERA Joint Research Programme "Uses of the Past". Therefore, contrary to previous indications, researchers in Spanish institutions will be eligible to apply to the HERA Call for Proposals as Project Leaders, Principal Investigators or Project Members. We sincerely regret the conflicting communications about this.

GENERAL

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

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

Which countries are participating in the HERA JRP UP?

Austria, Belgium, Croatia, Czech Republic, Denmark, Estonia, Finland, Germany, Iceland, Ireland, Italy, Latvia, Lithuania, Luxembourg, the Netherlands, Norway, Poland, Portugal, Slovenia, Spain, Sweden, Switzerland,



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United Kingdom. A list of national contact points – who may be contacted for questions about national eligibility issues – can be found at the end of the HERA JRP UP Call.

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

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

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

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

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

- a) be collaborative - involve at least four HERA JRP UP countries;
- b) must be humanities driven, although proposals are encouraged to involve contributions from other research domains where appropriate;
- c) may include any type of researcher (senior, post-doc, Ph.D.) that is in accordance with national eligibility, but type of researcher must be justified;
- d) may not exceed the maximum budget size of 1,2 M€;
- e) have a maximum length of three years (36 months); if projects are shorter than 3 years they must commit to participate in the HERA JRP UP Knowledge Exchange activities until the end of 2019;
- f) must be carried out by a balanced consortium, but distribution of funding over countries may be uneven;
- g) must take into consideration equality and diversity dimension issues;
- h) apart from excellent research, Knowledge Exchange and Knowledge Dissemination must be part of the project; in addition - depending on national requirements – the project may involve researcher training.

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

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

What is a balanced consortium?

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

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

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

What happens to a consortium if one of the partners is considered not eligible.

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



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

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

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

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

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

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

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

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

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

Can I submit several applications?

No, you can only be involved in one proposal.

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

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

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

No, you can only be involved in one proposal.



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

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

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

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

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

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

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

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

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

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

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

How do I submit a proposal?

Both Outline and Full Proposals must be submitted via the online submission system. The link to the online system with the application form and the template for Outline Proposals is available on the HERA website <http://www.heranet.info>. Applicants should use the application template for Outline Proposals available on the HERA website to ensure that the required proposal structure is followed.

You are strongly encouraged to register early in the submission system. During registration you will receive a text message with an activation code and an e-mail. Follow the instructions in the e-mail.

Then you can already start your application which consists of entering information in the online form pages and uploading the PDF.

You can still revise and resubmit your Outline Proposal up until the deadline. The last successful submission before the deadline will be considered for evaluation.

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 as some funding organisations may require you to do something extra.

OUTLINE PROPOSALS

What are HERA JRP UP Outline Proposals?



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The project selection of the HERA JRP UP is divided in two phases: i) The Outline Proposal phase, and ii) the Full Proposal phase. Successful applicants of the Outline Proposal phase are invited to submit Full Proposals. 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 UP award if I did not apply for, or was not selected for a HERA JRP UP Matchmaking event?

Yes. Participation in the HERA JRP UP Matchmaking event or submitting an Expression of Interest for it is not a prerequisite for applying for a HERA JRP award.

How many partners can be included in an Outline Proposal?

There have to be at least four partners (Principal Investigators) from different HERA JRP UP 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 seven PIs, there are more than three PIs coming from the same country.

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

For the HERA JRP UP Call for Proposals, you are required to build a consortium of at least **four** partners based in and eligible for funding in the HERA JRP UP 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 UP; 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 Outline Proposal and Full Proposal 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 must be submitted via the online submission system. The Outline Proposal comprises the filled-out on-line form pages after which the filled out template saved as PDF must be uploaded into the system. The application template includes a tabulated table, which must be used for entering the total estimated requested budget of each Individual Project and for the CRP as a whole.

Further guidance is available in the Call for Proposals.

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



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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 template available on the HERA website includes a tabulated excel table, which must be used for entering the total estimated requested budget of each Individual Project for the CRP as a whole.

What currency should I use when describing the budgets?

The estimated requested budget must be given in Euros only.

How will HERA JRP UP Outline Proposals be assessed?

An independent international Review Panel composed of between 24-30 members will assess the HERA JRP UP Outline Proposals. The members of the Review Panel are leading researchers, appointed by the HERA JRP UP Board. The composition of the HERA JRP UP 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 UP to discuss my proposal?

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

What are the assessment criteria for Outline Proposals?

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

- Relevance to the theme "Uses of the Past"
- Potential for research excellence
- Novelty and originality of research
- Potential impact of the proposed research beyond academia
- Qualification of the applicants and coordination structures proposed
- European added value: this refers to the project's potential to contribute to the development of Europe's research capacity and profile, not to the geographic areas to be investigated as part of the project's research activity.

Based on the input of the international Review Panel, the HERA JRP UP Board will choose which consortia will be invited to submit a full proposal.

How long is the selection process?

The Call for Outline Proposals is launched in the second half of January 2015 with a submission deadline on **9 April 2015, 19:00 CET (18:00 GMT)**. Full Proposals will be invited from the selected Outline Proposals in July 2015, with a submission deadline in October 2015. The selection and ranking of Full Proposals will occur in October 2015 – January 2016 and the funding decisions are expected to be announced in February 2016. CRPs are expected to start in June 2016.

FULL PROPOSALS

What are HERA JRP UP Full Proposals?

The project selection of the HERA JRP UP is divided in two phases: i) The Outline Proposal phase and ii) the Full Proposal phase. Successful applicants of the Outline Proposals phase 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 invited.

How will HERA JRP UP Full UP 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 a Full Proposal. The expected deadline for the submission of Full Proposals will be in October 2015.

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

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

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

What are the assessment criteria for Full Proposals?

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

Research excellence:

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

Potential Impact:

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

Quality and efficiency of the implementation and management:

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

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

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

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



What are eligibility criteria for Full Proposals?

The eligibility criteria for Full Proposals are the same as 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 applicants that were selected by the HERA JRP UP Board in the Outline Proposals phase can submit a Full Proposal.

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

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

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

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

The Right to Reply should be written in English and should not be longer than two sides of A4 page (font type Arial, size 10 and 1.5 line spacing should be used). Please note that the Right to Reply process is not intended to allow applicants to propose substantial revisions to their application. Applicants are encouraged to use the Right to Reply process, even if the external experts reviews are positive. It is also advised that applicants conduct their own internal peer review or colleague assessment of the Right to Reply document before submitting it to the HERA JRP UP Handling Agency at NWO.