



**OPEN RESEARCH AREA FOR THE SOCIAL SCIENCES  
ANR-DFG-ESRC-NWO**

**5th Call for Proposals, 2017/2018**

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**I. Introduction**

***ORA is based on an agreement between the Agence Nationale de la Recherche (ANR France), the Deutsche Forschungsgemeinschaft (DFG Germany), the Economic and Social Research Council (ESRC UK) and the Nederlandse Organisatie voor Wetenschappelijk Onderzoek (NWO Netherlands).***

In order to strengthen international co-operation in the field of social sciences, wishing to fund high quality scientific research within their own countries, and aware that some of the best research can be delivered by working with the best researchers internationally, ANR, DFG, ESRC and NWO are launching a fifth common call for proposals in order to fund the best joint research projects in social sciences. The scheme will provide funding for integrated projects by researchers coming from at least two of the four participating countries – in any combination of two or more countries. Please note that Franco-German bilateral projects will be funded under the ANR-DFG scheme for the Social Sciences and Humanities and are therefore excluded from this call.

Proposals may be submitted in any area of the social sciences. However, the disciplinary coverage varies according to the involvement of the national agencies. Applicants who are uncertain of whether their proposal would be eligible should contact the relevant national agencies for clarification.

There is again a special opportunity for cooperation with projects in Japan: With the aim to strengthen cooperation between researchers in Japan and Europe, JSPS as the national funding organization of Japan renews the funding scheme to support projects, which are associated with ORA. For details see page 3 below and [http://www.jsps.go.jp/j-bottom/01\\_f\\_gaiyo.html](http://www.jsps.go.jp/j-bottom/01_f_gaiyo.html) for the Japanese call.

The partner organisations will conduct a coordinated peer review and a common selection process. Based on the results of an evaluation that ORA underwent in 2016, the funding organisations have implemented a procedural change: this call will include an outline stage, and only the teams whose Outline Proposal has been positively assessed will be invited to submit a Full Proposal. For the evaluation report see [www.dfg.de/ora](http://www.dfg.de/ora).

Funding will be distributed among the partners according to the place of work of the researchers, and according to the funding rules each individual agency set for the call.

Applicants need to be aware that the success rate for past calls was circa 10% based on the overall number of submitted proposals, and will not change significantly for the next call.

DFG is the coordinating agency for this round and all proposals must be submitted to the DFG.

### Tentative Timeline

5 July 2017	Submission Deadline for Outline Proposals
October 2017	Panel Decision
Beginning of November 2017	Notification of Results
31 January 2018	Submission Deadline for Full Proposals
February to June 2018	Eligibility Check and Peer Review
July 2018	Panel Decision about Full Proposals
End of September 2018	Notification of Results
As of October 2018	Start of Joint Research Projects

### Call Documents

- 1) Call for Proposals
- 2) Outline Proposal Template
- 3) Full Proposal Template
- 4) Manual for the DFG's electronic proposal submission system "elan"
- 5) National Financial Forms for the Full Proposal stage
- 6) FAQ

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## II. Eligibility – Applying for Outline and Full Proposals

1. Applicants
  - The scheme will be open to proposals from eligible applicants from two or more of the subscribing countries (excluding bilateral applications from French-German teams).
  - All applicants and their institutions must fulfil national eligibility rules for research proposals as set by the relevant funding agency (please see section V for additional information concerning each agency).
  - Any project participant (Principal Investigator, Co-Investigator, Team Member; for definitions see paragraph 2.3 of section III) can only be involved in ONE proposal in the current round, in any capacity. In case an applicant appears in two applications, both applications will be declared ineligible.
2. Cooperation Partners
  - **ORA projects have the opportunity to associate themselves with partners in Japan.** JSPS, the Japanese national funding organization, will open a specific call for such collaborations. A Japanese project answering to this call will be associated with the ORA project. The Japanese proposal will be evaluated and decided upon by JSPS, in light of its association with ORA. The ORA-proposal will be evaluated as a stand-alone proposal by the ORA partners and funding decisions will be made independently. If an ORA project has an associate partner from Japan, the Main Applicant will indicate this by ticking the box provided in the Outline and Full Proposal templates. For these projects, an annex of no more than 1 page should be added to both, the Outline and the Full Proposal, with a) information on the Japanese participants and b) a summary of the partner project.
  - Researchers from other countries may be included as long as they bring the relevant funding with them, or are eligible for funding under one of the subscribing agencies' rules (please see the definition of "Cooperation Partners" under paragraph 2.3 of section III).
3. Content of Proposals
  - Disciplinary scope: Proposals may be submitted in any area of the social sciences within the remit of the relevant national agencies concerned (please see section V for additional information concerning each agency).
  - All projects must focus on substantive research and feature an integrated work programme demonstrating clearly the added value of transnational collaboration. We expect that each partner contributes substantially to the common project topic, including taking responsibilities for the project organization. These contributions should also be reflected in a reasonable amount of requested funds by each partner.
  - Scientific infrastructure or networking activities can only be funded within projects with a substantive research focus. As stand-alone projects, infrastructure or networking projects will not be eligible.
4. Composition of the Project Team
  - Each national group of applicants will name a Principal Investigator (PI) in that country, which must be clearly identified in the template. PIs will act as national contact points with their national funding agencies and fulfil the role of a PI as defined in the rules of their agency.
  - In order to keep contact throughout the whole assessment procedure (and for this purpose only), one of the Principal Investigators will act as Main Applicant and submit the proposal to the DFG, the leading agency for the fifth round on behalf of all partners.
5. Project Duration and Budget
  - Proposals may be for projects with a minimum duration of two years and a maximum of three years.

- All budget items must conform to the national rules relevant for each applicant. The total value of proposals in each country must not exceed funding levels for proposals, which apply in that country. The following funding limits will apply:

ANR	Up to €450,000 per project
DFG	No maximum limit
ESRC	Up to £600,000 at 100% fEC (£480,000 at 80 %fEC) with a minimum of £200,000 (100%fEC) per project
NWO	Up to €308,540 per project, with a minimum of €87,225 for personnel costs.

#### 6. Templates and Guidelines

- All proposals must be written in English.
- Please use the *Outline Proposal Template* for the Outline stage and the *Full Proposal Template* for the Full Proposal stage. All documents are available on [www.dfg.de/ora](http://www.dfg.de/ora). Fill in all sections and sub-sections with all requested information.
- There must be a single integrated Proposal Template per project.
- If the stated maximum number of words per respective section is exceeded, or if the necessary documents are not included, the proposal will be disqualified.
- Applicants must note that the national agencies retain the right to reject proposals where they fail to comply with the procedures set out in the guidelines. If a proposal is ineligible with one national agency the complete project will be rejected by all the agencies concerned.
- If a proposal has been submitted to any other call this must be clearly stated in the proposal template (please also check national agency rules regarding submission of a project to more than one scheme).

#### 7. Proposal Submission

- Outline and Full Proposals must be submitted via the DFG's electronic proposal submission system "elan" at <https://elan.dfg.de>.
- If you are not familiar with the elan system, please refer to the manual on the DFG website.
- For the Outline Stage: Main Applicants have to be registered with elan in order to be able to submit a proposal.
- For the Full Proposal Stage: All Main Applicants, Principal Investigators and Co-Investigators have to be registered with elan in order to be able to submit a proposal.
- Please allow at least one business day for processing the registration as the registration requests are handled manually by DFG staff.

### III. Assessment Procedure and Guidelines for Proposals

#### 1. Assessment Procedure

Proposals to ORA are processed in two stages. In the first stage, Outline Proposals are invited with a deadline of **July 5, 2017, 13:00 Central European Summer Time (CEST)**. Proposals received after the deadline will not be eligible. Only proposals that meet all the conditions set out in this call text will be included in the assessment procedure. Applicants are obliged to ensure that the proposal contains sufficient and consistent information for evaluation. The national agencies will not accept supplementary information or revisions after the deadline.

Outline Proposals will be assessed in an open scientific competition, in which an international panel of experts identifies a shortlist of proposals that are potentially fundable based on the programme's assessment criteria (see section IV). All Main Applicants will receive notification of the results of the assessment. The Main Applicants of the proposals accepted to the second stage will receive an invitation to submit a Full Proposal in November 2017.

Full Proposals will be evaluated by a minimum of two written reviews from a minimum of two external reviewers having the expertise required to cover the proposal. Based on those reviews, projects will be assessed by a joint panel. The panel, again, will consist of recognised researchers from various fields of the social sciences who have sound knowledge and understanding of national level decision-making systems. The funding recommendations of the joint panel will be subject to approval by the national agencies.

National agencies expect to communicate funding decisions by September 2018 at the latest. The earliest starting date for successful proposals will be 1 October 2018 and the latest starting date will be within nine months after the grant was made by the respective agency. Subprojects from each country should start on the same date.

Publication of data on grant holders and research projects: please note that all information in the proposals will be shared between the four agencies for the purposes of assessing proposals to reach a joint funding decision (and only for this purpose). Information on successful proposals will be made generally available, including names of Principal Investigators and Co-Investigators, institution, discipline, title, and a non-technical summary of the research project. For ESRC applicants, there is now harmonised transparency feedback to research organisations. For more information, <http://www.esrc.ac.uk/about-esrc/mission-strategy-priorities/demand-management/maximising-transparency.aspx>.

## **2. Guidelines for Outline Proposals**

The Outline Proposals are abridged versions of the Full Proposals. For the submission of Outline and Full Proposals, the eligibility requirements set out in Section II apply.

**The Outline Proposal Form entails six sections, which should be completed, including their subsections where appropriate:**

- 1 Project identification
- 2 Resubmission details
- 3 Full list of the applicants
- 4 Research description
- 5 References
- 6 Budgets

Annexes (to be uploaded separately):

- CV's
- Summary for Japanese Proposals (if applicable)

### **1 Project identification**

Please provide all information necessary to identify your proposal, its topic and general characteristics.

### **2 Resubmission details**

If your Outline Proposal is a resubmission, specify how the proposal has been revised substantially. National agencies may reject proposals if they do not consider them to be substantial revisions.

### **3 Full list of the project participants**

The roles of the various project participants, who must all be listed, are as follows:

**Main Applicant (MA):** the Main Applicant is one of the Principle Investigators. As a Main Applicant, they are in charge of the online submission of the proposal and will act as a main contact point with the coordinating agency for all matters related to the proposal as a whole.

**Principal Investigator (PI):** There must be one PI per country involved in the proposal. The PI will fulfil the role of a PI as defined by their agency and act as contact point with their funding agency for all national matters.

**Co-Investigators (Co-I):** for countries where funding can be distributed between several teams and work organized accordingly, a CI must be named, in conformity with national rules.

**Team Members (TM):** all other participants who will benefit from funding must be listed as team members. They are not applicants in the proposal.

**Cooperation Partners (CP):** scientists from countries not participating in ORA and non-academic partners with whom you are cooperating or have agreed to cooperate on this particular project. Please note that no funding can be requested for Cooperation Partners. If a scientific board is set up for the project, members can be listed here.

**Please note that Main Applicants, Principal Investigators, and Co-Investigators are all considered applicants.**

#### **4 Research Description**

The Research Description may be up to four pages. The content should follow the breakout proposed in the proposal form and may address the following points.

- The aims/objectives of the research proposed.
- The intellectual, scientific and policy background to the proposal and why it is important.
- The theoretical and methodological foundations for the work and why this will be feasible, innovative and interesting.
- Relevant published and continuing research on which it will build.
- Added value that will be gained by undertaking this research as a collaborative project.
- Contributions and research expertise brought in by the different partners involved.
- Data collection (primary and secondary sources, fieldwork, surveys, etc.) and of the proposed data analysis (statistical, theoretical, methodological), and why these are relevant, appropriate and innovative.
- Expected outcomes and academic and non-academic impact of the research and dissemination of results.

You may also take into account the ORA assessment criteria available in section III.3 below to elaborate the content of your research description.

#### **5 Bibliography**

This should only include works cited in the Research Description.

#### **6 Budgets**

Please state the total funding requested per participating funding agency and provide a brief justification. You will need to comply with national funding rules and requirements. Please refer to section V.

#### **Annexes (to be uploaded separately)**

##### **- Curriculum Vitae**

Brief CVs (maximum 2 pages per CV, including publications) of every PI and Co-I must be attached as a separate document and uploaded. CVs for Team Members and Cooperation Partners are not allowed. They must include professional details for every PI and Co-I and a list of publications (maximum 10 publications mentioned per PI and Co-I). Applicants should structure their publication lists as follows:

- a) Articles which at the time of proposal submission have been published or officially accepted by publication outlets with scientific quality assurance; book publications.
- b) Other publications, for example articles in publication outlets without scientific quality assurance, or Discussion Paper Series available on the internet.

- **Summary for Japanese Proposals (if applicable)**

Upload an annex on the Japanese component of the research if a Japanese partner is associated. This will include a) information on the Japanese participants (list of applicants, affiliations, etc.) b) a summary of the partner project (max 1 page).

### **Evaluation of the Outline Proposals**

Eligible Outline Proposals will be reviewed by an international panel, consisting of experts nominated by the four funding agencies. Expertise in the panel aims to widely cover the disciplinary fields targeted in the call. In the expert panel at least three assessors will be assigned as *rapporteurs* for each Outline Proposal. The panel assesses the Outline Proposals comparatively, using the defined criteria (see section IV), and subsequently prioritises the proposals according to likelihood of funding, without making use of external referees. The panel will recommend a short list of applicants/proposals to the funding agencies to be invited to submit Full Proposals. Based on the recommendations by the expert panel, and taking into account the available (agency) budgets, the participating funding agencies will make decisions, depending on the national rules.

All applicants will receive a brief assessment of their Outline Proposal from the panel and a notification of the shortlisting decisions in November 2017. Shortlisted applicants will be invited to submit a Full Proposal.

### **3. Guidelines for Full Proposals**

For the submission of Full Proposals, the eligibility requirements set out in Section II apply.

The deadline for the submission of Full Proposals is **31 January 2018**. Proposals received after the deadline, or failing to comply with the published call requirements will be rejected. Only candidates invited to submit a Full Proposal are eligible.

Teams that have submitted an Outline Proposal and who are invited to the Full Proposal stage are not allowed to make large changes to the core of the proposal or the project team. Some changes will be accepted, particularly if these follow an explicit recommendation by the panel of experts and are in line with (national) eligibility requirements. Adding partners to the team is possible, but removing members from the team proposed in the Outline stage is not. You are advised to consult the contact point at your national funding agency if you have doubts relating to these matters.

In terms of budgets, a 20% increase at maximum in the overall budget will be acceptable, although applicants will be required to sufficiently justify any such increase. National budget maxima still apply. Increases above the 20% limit will lead to the application being declared ineligible. Decreases in budget are allowed.

Complete and upload the relevant National Financial Files, as requested by each funder involved in the application.

Upload an annex on the Japanese component of the research if a Japanese partner is associated. This will include a) information on the Japanese participants (list of applicants, affiliations, etc.) b) a summary of the partner project (max 1 page).

**The Full Proposal Template entails five sections, which must all be fully completed, including their subsections where appropriate:**

1 Project identification

- 2 Full list of the applicants
- 3 Research description
- 4 References
- 5 Budgets

Annexes (to be uploaded separately):

- Curriculum Vitae
- National Financial Files
- Summary for Japanese Proposals (if applicable)

### **1 Project identification**

Here you will be asked to provide all information necessary to identify your proposal, its topic and general characteristics.

### **2 Full list of the project participants**

The roles of the various project participants, who must all be listed, are as follows:

**Main Applicant (MA):** the Main Applicant is one of the Principle Investigators. As a Main Applicant, is they are in charge of the online submission of the proposal and will act as a main contact point with the coordinating agency for all matters related to the proposal as a whole.

**Principal Investigator (PI):** There must be one PI per country involved in the proposal. The PI will fulfil the role of a PI as defined by their agency and act as contact point with their funding agency for all national matters.

**Co-Investigators (Co-I):** for countries where funding can be distributed between several teams and work organized accordingly, Co-investigators must be named, in conformity with national rules.

**Team Members (TM):** all other participants who will benefit from funding must be listed as team members. They are not applicants in the proposal.

**Cooperation Partners (CP):** scientists from countries not participating in ORA and non-academic partners with whom you are cooperating or have agreed to cooperate on this particular project. Please note that no funding can be requested for Cooperation Partners. If a scientific board is set up for the project, members can be listed here.

**Please note that Main Applicants, Principal Investigators, and Co-Investigators are all considered applicants.**

### **3 Research description**

The Research Description may be up to 10 pages. The content should follow the breakout proposed in the proposal form and address the following points:

- The aims/objectives of the research proposed. The intellectual, scientific and policy background to the proposal and why it is important.
- Position in the context of existing literature; relevant published and continuing research on which it will build.
- The theoretical and methodological foundations for the work and why this will be feasible, innovative and interesting.
- Added value that will be gained by undertaking this research as a collaborative project. Contributions of the various national partners and research expertise brought in by the different partners involved; the research timetable, the staff resources required, and the staff duties, the roles of the various staff proposed on the project.
- Work plan and details of any specifics about data collection (primary and secondary sources, fieldwork, surveys, etc.) and of the proposed data analysis (statistical, theoretical, methodological), and why these are relevant, appropriate and innovative.
- Expected outcomes and academic and non-academic impact of the research, and dissemination of results.

- Ethics: any ethical issues arising from the research, how they will be addressed and that they have been subject to all appropriate national and institutional procedures. Please note that applicants should check ethical requirements with the relevant national agencies.
- Data management: arrangements made for data storage and for providing access to data for other researchers.

You may also take into account the ORA assessment criteria available in section IV below to elaborate the content of your research description.

#### **4 Bibliography**

This should only include works cited in the Research Description.

#### **5 Budgets and Justification of resources**

5.1 A table is provided to provide an overview of the requested budgets.

5.2 For all national agencies involved in the funding request, a clear and detailed explanation must then be given for the costs requested in the overall project. Costs must be justified per country. The role of the Justification of resources (JoR) is to aid reviewers when assessing proposals so that they can make an informed judgement on whether the resources requested are appropriate for the research proposed. Reviewers will not have access to the National Financial Files, which are for the administrative use of the funders only. As a result, your budget presentation and justifications should be clear and sufficient to convince the reviewers of the relevance of the resources.

The JoR should be no more than one page of A4 for each country. This statement should be used to justify the resources required to undertake the research project and is mandatory. The JoR should explain why the resources requested are appropriate for the research proposed, taking into account the nature and complexity of the research proposal. All items requested in the budgets must be justified in the JoR. Where you do not provide an explanation for an item that requires justification, it may be cut from any grant made.

#### **Annexes (to be uploaded separately)**

##### **- Curriculum Vitae**

Brief CVs (maximum 2 pages per CV including publications) for each PI and Co-I must be attached as a separate document and uploaded. CVs for Team Members and Cooperation Partners are not allowed.

They must include professional details for every named PI and Co-I and a list of publications (maximum 10 publications mentioned per researcher). Applicants should structure publication lists as follows:

- a) Articles which at the time of proposal submission have been published or officially accepted by publication outlets with scientific quality assurance; book publications.
- b) Other publications, for example articles in publication outlets without scientific quality assurance, or Discussion Paper Series available on the internet.

##### **- National Financial Forms**

For each national agency from which funding is requested, funds need to be applied for by submitting the National Financial Forms. Please attach this Annex as a separate document to the proposal. National templates are available on <http://www.dfg.de/ora>. German applicants will specify their budget on the DFG elan portal. Please see also section V of this document for additional information concerning each agency.

- **Summary for Japanese Proposals (if applicable)**

Upload an annex on the Japanese component of the research if a Japanese partner is associated. This will include a) information on the Japanese participants (list of applicants, affiliations, etc.) b) a summary of the partner project (max 1 page).

## Evaluation of the Full Proposals

Full Proposals are sent for assessment to external, independent referees for peer review. Each Full Proposal will be evaluated by a minimum of two external referees (according to the size and the disciplinary breadth of the projects, additional reviews may be commissioned). Based on those reviews proposals are discussed by a joint expert panel. In the expert panel at least two assessors will be assigned as rapporteur for each Full Proposal. The assessments received from the external referees, and the pre-assessment from the rapporteurs will form the starting point for a joint review carried out by the international expert panel. There will be some overlap in persons between the expert panel from the Outline Proposal stage and from the Full Proposal stage. After discussion, the panel agrees on a rating and a funding recommendation to the funding agencies taking into account the available agency budgets. The funding recommendations of the joint panel will be subject to approval by the national agencies. In making decisions, the guiding principle will be scholarly merit (research excellence).

Funding agencies expect to make final funding decisions by September 2018.

Applicants will receive the reviews of the external referees and a consensus report of the expert panel as feedback.

## IV. Selection Criteria

Both Outline Proposals and Full Proposals will be assessed according to the following criteria:

1. *The originality and potential contribution to new scientific knowledge (theory, methodology, or practice)*
  - Is the proposed research likely to make an original and significant contribution to scientific knowledge? Is there an expected advancement in its own field and/or across different fields?
  - Is the relevant state of the art literature in the field considered adequately, or is there similar/related work not mentioned in the proposal of which the applicant(s) should be aware?
2. *The appropriateness of the research design, work plan*
  - Does the proposal have clear and sound conceptual and theoretical foundations?
  - Are the research methods and framework for analysis suitable to the aims and objectives; are they clearly defined, rigorous and feasible?
  - How innovative is the conceptual approach, or the research methodology?
  - Is there a convincing research management and sensible work plan? Is the timescale and scheduling of the work appropriate and realistic?
  - Is the research feasible? The research should be clearly demonstrated as logistically feasible in terms of both reasonable access being assured to any necessary data, research materials and infrastructure, and the resource plan and funding request, including the staffing requirements proposed, should be reasonable to facilitate the research.
3. *The appropriateness of the research team and collaboration plans*
  - Are the qualifications and expertise of the participating researchers to conduct the research clear and appropriate to the research?
  - Have the applicants shown relevant and sound preliminary work and related previous publications of high quality? Have there already been joint projects?
  - Is the planned collaboration described well? Have the applicants clearly demonstrated the scientific added value of the international collaboration? How does the research profit considerably from combining expertise, methodologies, data etc.?

4. The costings and value for money of the research:

*Overall Value for Money*

Is the research proposed overall good value-for-money for the total cost involved? The key issue here is whether the core potential of the research, and the likely contribution to the advancement of knowledge, understanding and/or methodology which it will make, either narrowly within its particular focus or more broadly across its particular discipline or the sciences more generally, is likely to be sufficient to justify the costs involved.

*Individual Aspects of Resourcing the Proposal*

- Are the specific funding requests in the following areas essential/sufficient for the proper conduct of the research proposed?
- The overall length of time for the project; the amount of time to be devoted to it by the proposed principal and co-investigators, and their level of commitment.
- The amount of time for research, technical and support staff and the level of appointment for such staff
- The equipment, consumables and other directly incurred costs such as travel and subsistence
- Costs of collecting, establishing, providing or organizing the necessary data and research materials
- The costs of research dissemination
- Access to institutional research facilities

5. Ethical issues

- Are the ethical issues raised by the proposed research, if any, addressed appropriately and comprehensively by the research proposal and the project design?
- Have applicants made appropriate plans for data storage and providing access to data for other researchers?

6. Communication plans and likely impact of the work

- Is the planned scientific output of the research appropriate; have the applicants made adequate plans to publish and disseminate the results of the research?
- Where relevant, have appropriate arrangements been made for engaging potential users of the research at relevant stages of the project?
- Is the research likely to have significant impact beyond the academic community?

## V. Country-Specific Additional Information

*Additional information required for ANR*

For specific eligibility criteria and additional specific guidance for French applicants, please check the "Annexe pour les participants français" on <http://www.agence-nationale-recherche.fr/ORA-2017>

*Additional information required for DFG*

Please consult the Guidelines and Proposal Preparation Instructions for research grants for further information on eligibility.

### 50.01 Merkblatt Programm Sachbeihilfe [10/11], German and English

[http://www.dfg.de/foerderung/programme/einzelfoerderung/sachbeihilfe/formulare\\_merkblaetter/index.jsp](http://www.dfg.de/foerderung/programme/einzelfoerderung/sachbeihilfe/formulare_merkblaetter/index.jsp)

## Additional information required for **ESRC**

**Notice:** The total budget requested for the UK project is a minimum of **£200,000 at 100% fEC and a maximum of £600,000 at 100 per cent fEC (£480,000 at 80 per cent fEC)**, per project.

No UK project linked studentships are eligible under this scheme.

Standard ESRC research funding terms and conditions apply ([www.esrc.ac.uk/rfg](http://www.esrc.ac.uk/rfg))

### Eligibility

The ESRC is the UK's leading research and training funding agency addressing economic and social concerns. The ESRC will fund the UK partner(s) of successful proposals that fall within its remit. A full list of acceptable ESRC research areas is available on the ESRC website [www.esrc.ac.uk/funding-and-guidance/applicants/proposal-classifications-esrc-disciplines.aspx](http://www.esrc.ac.uk/funding-and-guidance/applicants/proposal-classifications-esrc-disciplines.aspx).

Applicants will need to ensure that their research falls within ESRC's remit prior to submission: <http://www.esrc.ac.uk/funding/guidance-for-applicants/is-my-research-suitable-for-esrc-funding/>.

All UK applicants (whether principal or co-investigators) requesting funding from the ESRC must be associated with an eligible Research Organisation. Applicants are encouraged to consult the ESRC Research Funding Guide for eligibility information ([www.esrc.ac.uk/rfg](http://www.esrc.ac.uk/rfg)).

The ESRC will fund and support high quality basic, strategic and applied research in the social sciences which meet the needs of users and beneficiaries. Our mission places emphasis on ensuring researchers engage fully with the users of research outcomes. These may be other academics, government departments, public bodies, business, voluntary organisations or other interested partners.

Applicants requesting ESRC funds may therefore also include costs associated with knowledge exchange, co-production and collaboration between researchers and the private, public and civil society sectors.

This may include costs for activities such as:

- academic placements with a civil society, business or public organisation
- policy or evidence seminars
- the development of tools that emerge from research that can maximise the use of research outputs in practitioner communities, and
- collaborative research, where researchers are engaging directly with users in shaping the research agenda in applying social science to current issues relating to policy, strategy or practice.

In such cases, the ESRC expects to see research and knowledge exchange activities developed in collaboration with non-academic stakeholders, and welcomes co-funding (case or in-kind) as a demonstration of support for such activities. When requesting expenditure for involvement including non-academic co-investigators, please refer to ESRC's guidance (available from <http://www.esrc.ac.uk/funding/guidance-for-applicants/research-funding-guide/> and [www.esrc.ac.uk/funding-and-guidance/applicants/costs-incurred.aspx](http://www.esrc.ac.uk/funding-and-guidance/applicants/costs-incurred.aspx)).

**Note:** UK applicants **are not** required to submit their proposal to ESRC at this stage. However, all successful UK applicants will be invited to submit a proposal via Je-S as a condition of access to UK ESRC funding. Therefore all UK applicants and co-investigators will need to be Je-S registered.

### ESRC Resubmissions Policy

ESRC does not allow the resubmission of any previously unsuccessful proposal.

This explicitly means that no previously unsuccessful ORA proposal with a UK applicant can be resubmitted to an ORA call or another ESRC scheme. Similarly, an unsuccessful ESRC proposal from another scheme cannot be submitted to the ORA. Proposals previously considered by another UK research council may not be resubmitted to this call.

### UK ESRC expenditure

Applicants from the UK are requested to complete the UK ESRC Expenditure Excel spread sheet available from the DFG website <http://www.dfg.de/ora>

UK applicants are requested to provide a detailed breakdown of costings with clear justification. Costings within the ESRC expenditure spreadsheet must be provided in pounds sterling (£).

Requests for funds from ESRC must adhere to ESRC funding guidelines as found in our Research Funding Guide - [www.esrc.ac.uk/RFG](http://www.esrc.ac.uk/RFG).

Please also make clear any additional Project Partner details and contribution (outside of the participating country applicants)

### **International Co-Investigators (only as part of Full Proposals)**

For any international co-investigators (outside of the participating country applicants) costs, a full justification of the associated costs must be included within the UK justification of resources (JOR) attachment. Where applicants request salaries for international co-investigators, a supporting letter must be submitted as part of the UK JOR to explain the reasons for inclusion of these costs. Please consult the guidance on international co-investigators <http://www.esrc.ac.uk/funding/guidance-for-applicants/inclusion-of-international-co-investigators-on-proposals/>

### **Additional information required for NWO**

#### **Who can apply?**

- To be eligible for NWO funding, Dutch applicants must hold a doctorate and be employed as a researcher, at least for the duration of the project, at a Dutch university or an NWO or KNAW research institute. Funding for researchers at *Hogescholen* (Universities of Applied Sciences) is not available in this call.
- An ORA proposal can only include one Dutch project.
- Proposals may be for projects with a minimum duration of two years and a maximum of three years. Please note that the Dutch projects should start within 9 months after the award letter has been sent.
- Please note that in the 2018 call of the Research Talent subsidy, there will be restrictions in place on double submissions. If your ORA Outline Proposal is selected for the Full Proposal stage, this cannot be combined with a submission to the Full Proposal stage of the 2018 Research Talent call (this refers to any proposal, including proposals on a different topic). For more information, please contact Joris Voskuilen, coordinator of Research Talent, at [magwot@nwo.nl](mailto:magwot@nwo.nl).
- According to NWO standards, Principal Investigator equals "hoofdaanvrager" and Co-Investigator equals "medeaanvrager".

#### **Disciplines**

For the Dutch project, the proposed research must fall within the remit of NWO's Research Area of the Social Sciences, as listed here: <http://www.nwo.nl/en/documents/magw/discipline-code-list---social-sciences>. ORA proposals are eligible from all social sciences contained in this list. Social sciences is also a specific discipline on this list, but ORA proposals are eligible from *all* disciplines on the list referred to above.

#### **What can be applied for?**

##### *Personnel costs:*

- All salary costs in ORA are financed in accordance with the most recent version of "akkoord overlaten werkgeverschap NWO-VSNU". Applicants for the Dutch project can apply for:
  - o either a PhD position (three years, full-time). The PhD student should be suitably prepared to complete their PhD in three years. A guarantee to this end must be provided by the university in case the project is funded.
  - o or a postdoc (up to three years, full-time, with a minimum of 0.6 fte). The postdoc position can be split over two people, but the minimum for an individual position is 0.2 fte, and combined the postdoc position must add up to at least 0.6 fte, but not exceed 1.0 fte for each year of the duration of the project.

- In addition to either a postdoc or a PhD student, a replacement grant can be applied for for the Principal or Co-Investigator of the Dutch team. In that case funding can be requested for staff at the postdoc level to take over the teaching duties of the PI or CI. This person does not need to be named in the application, as they are not working on the proposed project. Note that a proposal must include funding for a postdoc or a PhD student at least to be eligible, proposals requesting a replacement grant only will not be eligible.
  - o A replacement grant may be applied for in respect of Dutch applicants (Principal Investigator or Co-investigator) with an employment contract at a university, NWO or a KNAW institution for the duration of the project, but only if they perform academic work related to the research for which funding is requested; this must be specified in the Justification of Resources and reasons must be given.
  - o Professors or university lecturers may be exempted from part of their teaching duties by means of a replacement grant so that they can focus on research for their ORA project for a specific period of time.
  - o A replacement grant for conducting research will only be awarded if the applicant can demonstrate that a PhD student or postdoc funding will not fulfil the intended purpose in the Justification of Resources.
  - o The salary costs of the replacement can be covered by the replacement grant (at the salary level of a postdoc researcher). A replacement grant can be requested for up to three years with a maximum appointment of 0.2 fte.

*Material costs:*

In addition to personnel costs, material costs can be applied for. These costs should be justified on the NWO financial form and in the Justification of Resources in the Proposal form.

**Budget requirements**

- The total budget requested for the Dutch project may not be higher than **€ 308,540** (including bench fee).
- Up to € 258,540 can cover personnel costs, see <http://www.nwo.nl/en/funding/funding+process+explained/salary+tables> for the appropriate salary scales. The minimum limit is € 87,225 for personnel costs (i.e. the costs of a postdoc for 0.6 fte for a two-year project plus bench fee). An eligible proposal must include a funding request for either a PhD student or a Postdoc.
- To PhD researchers, and post-doctorate researchers with an appointment of 0.5 fte or more, a personalised bench fee is assigned. This is a fixed sum of € 5,000 in order to cover costs related to the researcher, for example conference visits and publication costs of the dissertation. No additional funding can be requested for activities covered by the bench fee.
- Up to €50,000 can cover material costs.
- In accordance with the NWO-VSNU agreement, the non-staff costs exclude infrastructure costs (accommodation, office automation, books, i.e. costs of facilities which can be regarded as part of the normal infrastructure for the discipline concerned) and overheads. As a consequence, the subsidy will not cover the costs of data processing time at computer centers or the acquisition of personal computers or laptops; costs for accommodation / housing, overhead, maintenance or depreciation.

**Funded projects**

Once funding decisions have been taken, Dutch Principal Investigators in ORA projects that have been awarded funding will be asked to submit their application in ISAAC to start the award process. At this

stage they will also be asked to specify the data management plan in section 8 of the ORA Full Proposal form. For this they will be asked to use the NWO form, which can be found here: <http://www.nwo.nl/en/documents/nwo/data-management/data-management-plan-form>. NOTE that these two steps are only required for funded projects, and successful applicants will be informed in further detail at that time.