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

4th Call for proposals

An agreement between the Agence Nationale de la Recherche (ANR France), 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 conscious that some of the best research can be delivered by working with the best researchers internationally, ANR, DFG, ESRC and NWO are launching a fourth 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. The partner organisations will conduct a co-ordinated peer review and a single common selection process. Funding will be distributed among the partners according to the place of work of the researchers, and generally according to the funding rules of each individual agency (with some exceptions detailed below).

Information for potential applicants: the agencies wish to communicate that the success rate for the previous call was circa 10% based on the overall number of submitted applications.

There is 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 has established a 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 for the Japanese call.

Proposals may be submitted in any area of the social sciences. However the disciplinary coverage may vary 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.

Please note that Franco-German bilateral projects will be funded under the ANR-DFG scheme for Social Sciences and Humanities and are therefore excluded from this call.

Deadline for the submission of proposals:
15 January 2015 until 12.00 PM CET (midday) (11 AM GMT)
Only complete and timely submitted applications will be considered.

ANR is the coordinating agency for this round and all applications must be made through the ORA online application system https://ora.agencerecherche.fr

German applicants will need to make an additional application on ELAN (see section VI below).

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DETAILS OF PROPOSED SCHEME

I. Eligibility Criteria

The scheme will be open to applications from eligible researchers from two or more of the subscribing countries (please see point V for additional information concerning each agency). Any applicant can only be involved in ONE application in the current round, in any capacity. Applicants must meet the specific eligibility criteria set by their respective national funding agencies.
Co-investigators 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. In particular, 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 to 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 taken independently. If an ORA-project has an associate partner from Japan: the main applicant will indicate this by filling the relevant section in the online application procedure, as well as on the application form. For these projects, an annex of no more than 1 page should be uploaded on the application website, in addition to the application form with a) information on the Japanese participants and b) a summary of the partner project.

Disciplinary scope: proposals may be submitted in any area of the social sciences within the remit of the relevant national agencies concerned (please see point V for additional information concerning each agency).

Applications may be for projects with a **minimum duration of two years** and a **maximum of three years**. The projects must constitute substantive integrated work. This may include both research and resource and infrastructure projects – for example to establish surveys, datasets or corpora – but networking or other projects without a substantive focus will **not** be eligible.

Projects must involve integrated collaboration between partners from two or more countries. Projects must have well identified joint working, demonstrating clearly the added value of transnational collaboration. Loosely connected projects, where there is no clear scientific value added from the collaboration will not be eligible. We expect that each partner substantially contributes 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. Projects where some partners are not fully integrated in the project will not be included in the assessment procedure.

All applicants and their institutions must fulfil national eligibility rules for research proposals as set by the relevant agency. All budget items must conform to the national rules relevant for each applicant. The total value of applications in each country must not exceed funding levels for applications which apply in that country. The following funding limits will apply:

ANR   up to €150,000 per year 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 per project
NWO   Up to € 300,000 per project, with a minimum of €80,122 for personnel costs.

Applicants must note that the national agencies retain the right to reject applications where they fail to comply with the procedures set out in the guidelines. If an application is ineligible with one national agency the complete project will be rejected by all the agencies concerned.

If an application has been submitted to any other call this must be clearly stated in the application form (please also check national agency rules regarding submission of a project to more than one scheme).

All applications must be submitted electronically via https://ora.agencerecherche.fr , timely and complete.

II. Submission of applications

All applications must be submitted electronically via https://ora.agencerecherche.fr. There will be one single integrated proposal per project (see section IV below). Please note that any applications not submitted via https://ora.agencerecherche.fr cannot be considered. Applications must be written in English, but proposals including French or German partners may submit an additional version in French or German, provided this is a close and interoperable translation of the English version.

The application must be submitted via https://ora.agencerecherche.fr by **12.00 PM CET on 15 January 2015.**
Each national party will have a Principal Investigator (PI) in that country, which must be clearly identified in the application form and on the submission website (see below). PI's 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.

For the electronic application (and for this purpose only), one of the Principal Investigators will act as Main Applicant and submit the application on behalf of all partners. For more information about this process, see https://ora.agencerecherche.fr

Applications should be submitted complete by the deadline set out for the call. Applicants are obliged to ensure that the application contains sufficient and consistent information for evaluation. The national agencies will not accept supplementary information or revisions after the application deadline.
National agencies expect to communicate funding decisions by December 2015 at the latest. The earliest start dated for successful applications will be 1 January 2016 and the latest 1 October 2016, with integrated projects from each country starting on the same date.

Publication of Data on Grant Holders and Research Projects: please note that all information in the applications will be shared between the four agencies for the purposes of assessing applications to reach a joint funding decision (and only for this purpose). Information on successful applications 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 applications, 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

III. Letters of intent

Any applicant planning on submitting to the call is invited to register their project's intention to submit by **1st November 2014.** This information will help the agencies monitor the demand for the call. All those that register will receive an email within 10 days giving estimated information on the popularity and potential success rates.

Please email: ora@esrc.ac.uk
State the following information: Name of PI's, countries involved in the project, estimated costs of each country.

IV. Guidelines for applications

A single electronic application should be submitted via https://ora.agencerecherche.fr. All relevant documents to be completed and submitted online can be found at the following address http://www.agence-nationale-recherche.fr/ORA-2015-en/

For their application to be considered for eligibility, applicants must:
- register online and fill in all information required by the online application system,
- use the **Application Form** available on http://www.agence-nationale-recherche.fr/ORA-2015-en/, fill in all sections and sub-sections with all requested information, and submit it via https://ora.agencerecherche.fr.
- 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 b) a summary of the partner project (max 1 page),

The Application Form entails 7 sections, which must all be fully completed, including their subsections:
1/ Project identification
2/ Resubmission details
3/ Full list of the applicants
4/ Research description
5/ Bibliography
6/ Budgets, Justification of resources and financial forms
7/ CVs

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

2/ Resubmission details
If your application is a resubmission, specify how the application has been revised substantially. National agencies may reject applications if they do not consider these to be a substantial revision.

3/ Full list of the applicants
The roles of the various applicants, who must all be listed, are as follows:
Main Applicant: the Main Applicant is one of the Principle Investigators. As a Main Applicant, he is in charge of leading the online application 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: There must be one PI per country involved in the proposal. The PI will fulfil the role of a PI as defined by his agency and act as contact point with his funding agency for all national matters.
Team Coordinator: for countries where funding can be distributed between several teams and work organized accordingly, a team coordinator must be named, in conformity with national rules. The Team Coordinator will be in charge of listing his team members on the application website and state the budget requested for his team.
Team Members: all other participants who will benefit from funding must be listed as team members

4/ Research description
The Research Description can be up to 6,000 words. The content should follow the breakout proposed in the application 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.
- The theoretical and methodological basis for the work and why this will be feasible, innovative and interesting.
- Other relevant published and continuing research on which it will build.
- The specific research proposed and how this will be contributed to by the various national partners, the research timetable, the staff resources required, and the staff duties: what are the roles of the various staff proposed on the project?
- 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.
- Impact: who are seen as the beneficiaries of the research, both academic and non-academic impact and how this research will be disseminated to them?
- 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 applicants should check ethical r*equirements wit*h the relevant national agencies.
- Data management: arrangements made for data storage and providing access to data for other researchers.

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

5/ Bibliography
This should only include works cited in the Research Description.

6/ Budgets and Justification of resources

6.1 A template is first provided to report an overview of the requested budgets.

6.2 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 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 posed. The JoR should be no more than 1 side 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 Justification of Resources. Where you do not provide explanation for an item that requires justification, it may be cut from any grant made.

6.3 For each national agency where funding is requested, funds finally need to be applied for by using the nationally required forms (and justified separately in the application form, see 6.2). National templates to specify budgets are available on http://www.agence-nationale-recherche.fr/ORA-2015-en/. They should be pasted in the relevant section of the application form. German applicants will specify their budget on the DFG website. Please see point V for additional information concerning each agency.

7/ CVs
Brief CVs (maximum 2 pages including publications) must be pasted in the relevant section of the application form. They must include professional details for every named researcher and a list of publications (maximum 10 publications mentioned per researcher).

V. Peer Review and Selection

There will be a two-stage peer review process. The first stage will obtain written reviews from a minimum of two external expert reviewers (according to the size and the disciplinary breadth of the projects, additional reviews may be commissioned). In the second stage, the projects will be assessed by a joint panel. The panel will consist of recognised researchers from various fields of 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.

The proposals will be assessed according to the following criteria:

1. *The originality and potential contribution to new knowledge, practice, theory and/or methodology;*
   - Is the proposed research likely to make an original and significant contribution to theory, methods or knowledge?
   - 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, research team;*
   - Does the proposal have clear 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 research methodology?
   - Is the timescale and scheduling of the work appropriate and realistic?
   - Are the qualifications and competencies of the participating researchers to conduct the research clear and appropriate to the research? Relevant preliminary work and related previous publications should be of high quality.
   - Is the joint working well identified? Have the applicants demonstrated clearly the added value of the international collaboration?
   - 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 for these, including the staffing requirement proposed, being reasonable to meet them.

3. *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.
   - 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

4. *Any ethical issues involved?*
   - Are any ethical issues raised by the proposed research 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?

5. _Communication plans and likely impact of the work?_
   ▪ Is the planned output of the research appropriate; have the applicants made adequate plans to 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?

VI. Additional information required

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-2015

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
- Guidelines for German applicants

http://www.dfg.de/en/research_funding/international_cooperation/european_research_area/programmes/open_research_area/

All German applicants are requested to additionally submit the German application's part via DFG elan portal (electronic platform for submission). The Principal Investigator of the German application's part is in charge. The submission has to be done within one week after the submission date via https://ora.agencerecherche.fr at the latest. All documents uploaded via https://ora.agencerecherche.fr need to be uploaded via DFG elan once more. These documents must be identical to those uploaded via https://ora.agencerecherche.fr. Additional documents are not allowed.

Additional information required for **ESRC**

Notice: Depending on all conditions of eligibility and peer review being met, the total budget requested for the UK project is a minimum of **£200,000 and a maximum of £600,000 at 100 per cent fEC (£480,000 at 80 per cent fEC), per project.**
Standard ESRC research funding terms and conditions apply (www.esrc.ac.uk/rfg)

It is expected that applications to this call will be Collaborative Research Grants with the consortium composition as defined in the call document. ESRC will fund the United Kingdom partner of any successful trans-national collaboration.
The official national call announcement for the United Kingdom available on the ESRC website
http://www.esrc.ac.uk/funding-and-guidance/funding-opportunities/31352/oraopen-research-area-in-europe4th-joint-call.aspx

Eligibility and national funding modalities

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 applications 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

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).

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 www.esrc.ac.uk/funding-and-guidance/applicants/uk-co-investigators.aspx and www.esrc.ac.uk/funding-and-guidance/applicants/costs-incurred.aspx

Note: UK applicants **are not** required to submit as application to ESRC at this stage. However, all successful UK applicants will be invited to submit an application 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 Success Rates

The ORA is an highly popular scheme but the success rates are very low.

	UK application success rate
Round 1	10%
Round 2	6%
Round 3	7%

This is due to two main factors, large volume of applications being submitted and many of which are of a poor quality. The most effective way to manage demand is through a combination of self-regulation by HEIs and by ESRC introducing specific demand management measures. This will place greater responsibility and effort for initial quality assurance of applications with institutions, and will build upon existing good practice in many HEIs. Greater self-regulation has the potential to significantly reduce the volume of applications. **ESRC may decide to start publishing the success rates of institutions submitting more than 2 applications to the ORA call in any one year.**

ESRC Resubmissions Policy

ESRC does not allow the resubmission of any previously unsuccessful proposal.
This explicitly means that no previously unsuccessful ORA application with a UK applicant can be resubmitted to an ORA call or another ESRC scheme. Similarly, an unsuccessful ESRC application from another scheme cannot be submitted to the ORA.

UK ESRC expenditure

•   Applicants from the UK are requested to complete the UK ESRC Expenditure Excel spread sheet available from the ANR website http://www.agence-nationale-recherche.fr/ORA-2015-en/

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.
Please also make clear any additional Project Partner details and contribution (outside of the participating Country applicants)
No UK project linked studentships are eligible under this scheme.

International Co-investigators

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/_images/International_CoIs_%20Guidance_tcm8-21152.pdf

*Additional information required for **NWO***

Who can apply
-   To be eligible for NWO funding, Dutch applicants must hold a doctorate and be employed, at least for the duration of the project, at a Dutch university or research institute recognised by NWO or the KNAW.

-   An ORA application can only include one Dutch project. Dutch applicants can be involved in **one** application in this Call only, in any capacity.

-   Please note that in the Research Talent subsidy, there are restrictions in place on double submissions. An ORA application can therefore not be combined with an application that is being assessed in the Research Talent call at the time of submission of the ORA application (this refers to *any* application, including applications on a different topic). For more information, please contact Joris Voskuilen, coordinator of Research Talent, at j.voskuilen@nwo.nl.

Disciplines
-   For the Dutch project, the proposed research must fall within the remit of NWO's Division of Social Sciences (MaGW), defined in the NWO social sciences list of discipline codes. Please see: http://www.nwo.nl/en/documents/magw/magw---disciplinecode-list ORA applications are eligible from all social sciences contained in the discipline list of NWO-MaGW. Social sciences is also a specific discipline on this list, but ORA applications are eligible from *all* disciplines on the list referred to above.

What can be applied for: personnel costs
-   Proposals may be for projects with a minimum duration of two years and a maximum of three years. 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.
    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. Note that an application must include funding for a postdoc or a PhD student at least to be eligible, applications 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 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.

What can be applied for: material costs
- In addition to personnel costs, material costs up to the sum of € 50,000 can be applied for. These costs should be justified on the NWO financial form and in the Justification of Resources in the Application form.

What can be applied for: budget
- The total budget requested for the Dutch project may not be higher than **€ 300,000** (including bench fee). Up to € 250,000 can cover personnel costs, see http://www.agence-nationale-recherche.fr/ORA-2015-en/ for the appropriate salary scales. The minimum limit is € 80,122 for personnel costs (i.e. the costs of a postdoc for 0.6 fte for a two-year project). An eligible application must include a funding request for either a PhD student or a Postdoc.

- To PhD and post-doctorate researchers a personalised bench fee is assigned for an appointment of a minimum of 0.6 fte for the duration of the project. 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.

- 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.