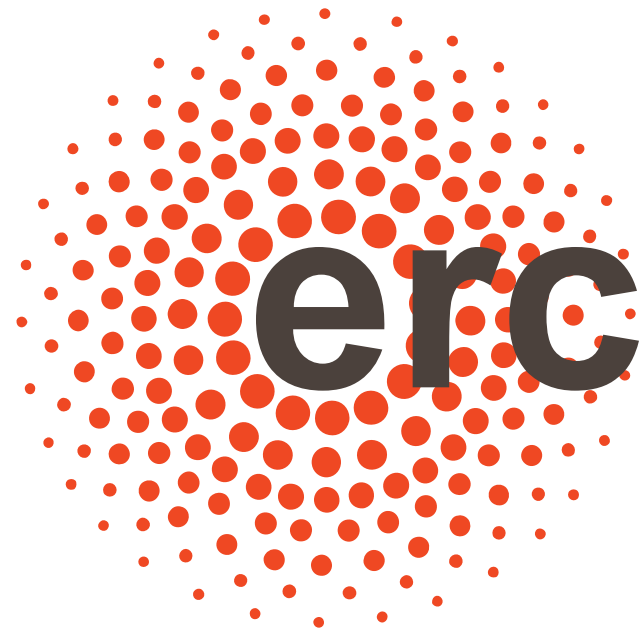


The European Research Council

Veronica WILLIAMS
ERC Executive Agency

Rights and Obligations of the PI
Paris, 2nd June 2017



Agenda



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- Aim of the presentation

1. PI central role - contractual specificities

Rights & Obligations

2. Policies

1. Proof of Concept (PoC)
2. International agreements
3. Social package

3. ERC services focused on PIs

Aim of the presentation



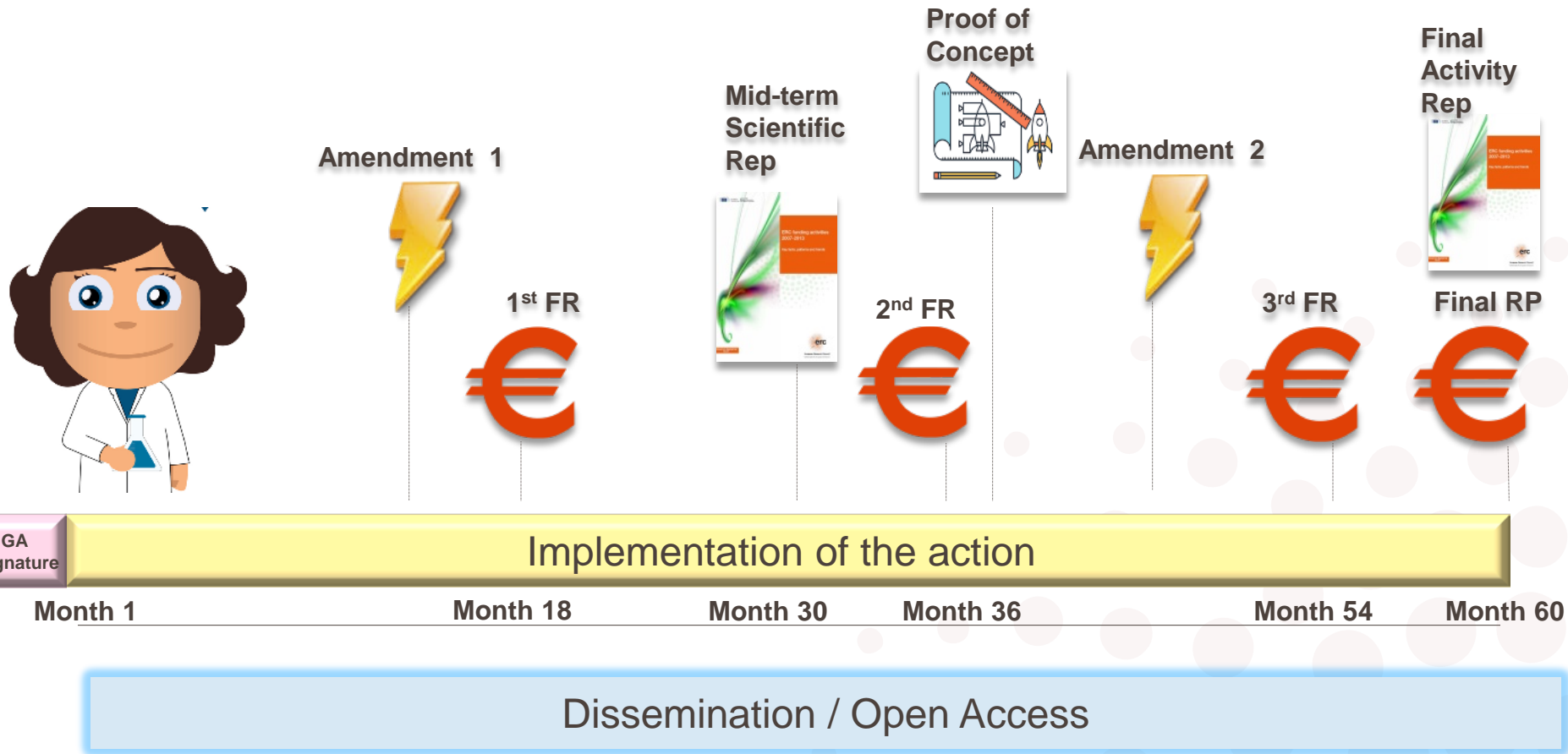
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- (i) Emphasise the essential role of the PI in ERC projects
- (ii) Clarify the content of the specific rights and obligations of the PI
- (iii) Present ERC's support and advisory services to PIs

Grant Agreement life-cycle



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1- PI central role

Sources of rights and obligations



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Grant agreement

Work Programme

Supplementary Agreement PI-HI

Completed by national legislation and HI practice

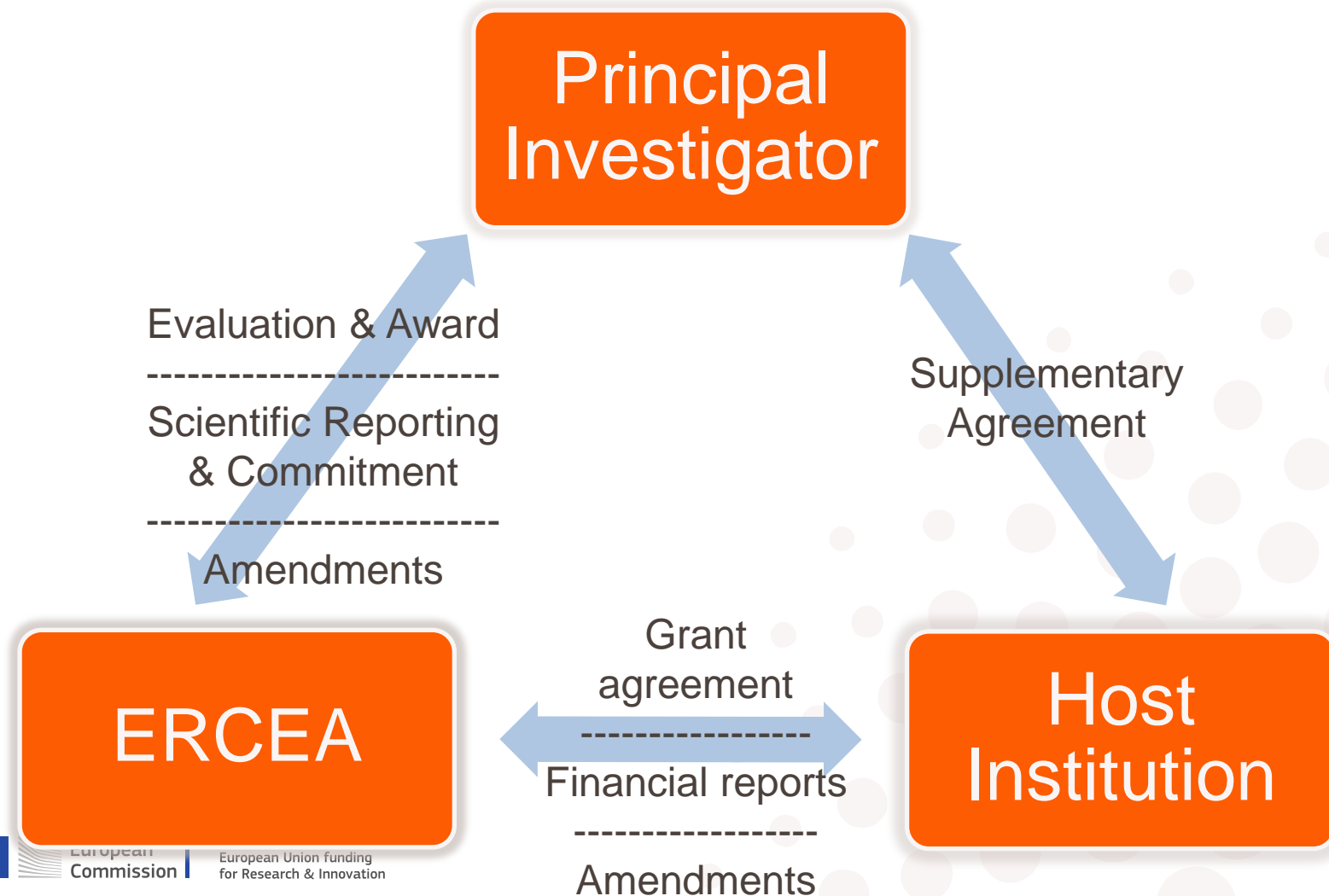


PI central role

Contractual specificities



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PI Rights and Obligations - General

RIGHTS (have)

- Scientific autonomy & research support
- Access rights to background and foreground
- Adequate working and labour conditions
- Independent publications
- Portability

OBLIGATIONS (must)

- Scientific Responsibility
- Confidentiality & IPR
- Time Commitment & in EU
- Dissemination
- Inform HI about changes

Apply the beneficiary usual management practices

HI role in the grant agreement

The HI is the signatory, hence the guardian of the grant agreement

- Respect and promote social rights, ensure the fluid work conditions for PI and team
- Ensure scientific facilities and the PI's autonomy
- Ensure the legality of implementation and the sound financial management
- Supervise PI time commitments
- Undertake legal changes/amendments/portability
- Support PI in all communication and IPR matters
- Provide administrative assistance

1.- Scientific autonomy vs Scientific responsibility



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The PI is entitled to have:

- Access to facilities needed for the project
- Autonomy in the selection and management of the team
- Control on the budget distribution

The PI must:

- Effectively and directly supervise the project
 - Implement the project as approved in Annex I
- Prepare and submit the scientific reports
- Respect the relevant financial & legal rules

2.- IPR access rights vs confidentiality



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The PI must have:

- Access to background (*free of charge FP7/default rule: royalty free H2020*)
- Free Access to the foreground

Even after the transfer of the GA

The PI must:

- Preserve the confidentiality of any data, documents or other material that is identified as confidential
- Respect EU and HI's IPR during and after the project

**IPR
Transfer/licence**

3.- Working conditions vs PI commitment



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The PI shall be guaranteed:

- Transparent and fair recruitment and career development policy (*for PI and team*)
- Adequate occupational health and safety standards
- Proper social security schemes (leave & pension)

Standards fixed by national legislation & HI practices

The PI must

- Devote at least 50% (StG), 40*% (CoG) and 30% (AdG) of their total working time to the ERC-funded project
- Spend at least 50% of their total working time in EU/AC
- Synergy – PIs core time together

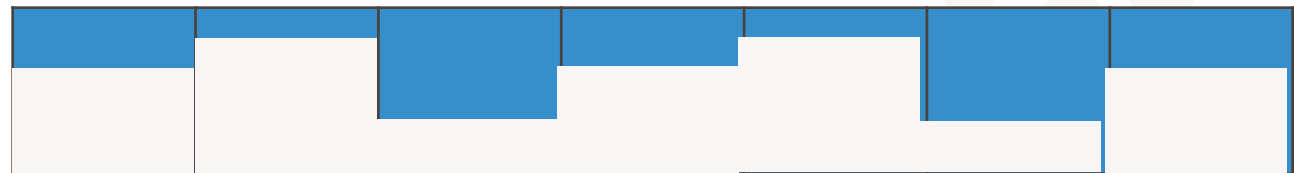
PI time commitments -examples

- PIs **must** be employed/engaged by the HI throughout the whole duration of the GA; in addition to the Supplementary Agreement

Not acceptable pattern



Negotiable pattern



4.- Independent publications vs dissemination



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The PI has:

- Authority to deliver scientific reports to the Agency
- Authority to publish as senior author
- Authority to invite as co-authors those who have contributed substantially to the reported work

The PI must:

- Provide wide access to research data through efficient dissemination of results - disseminate as swiftly as possible
- Ensure the visibility of EU funding
- Acknowledge the ERC financial support (EU & ERC logo)
- Open Access (*H2020 enhanced obligation*)

5.- Portability vs Inform the HI



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The PI has the right to request the transfer of the ERC grant to a new employer, incl. transfer of equipment purchased for the action

- Reasons: Better professional conditions, better research conditions, problems with HI...

HI cannot object unless legal obstacles

The PI must inform the HI:

- Any substantial change in methodology/objectives
- Any event jeopardising or affecting substantially the project
- Substantial financial reorganisation / subcontracting
- Transfer of the project to a new Host Institution

Timing is important: risk of ineligible costs and/or termination

What if the rights and obligations are not respected



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- Inform the Agency !!!!
- Portability
- Sanctions foreseen by the grant agreement:
 - reduction of the grant,
 - penalties,
 - suspension,
 - termination.

2 - Policies



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1. Proof of Concept (PoC)
2. International agreements
3. Social package

Proof of Concept



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■ Objective:

- Maximize the excellency of the ERC research by identifying the innovation and market potential of the projects' results

■ Examples of PoC activities:

- Technical validation
- Market research
- IPR strategy
- Investigating business opportunities
- Initial expenses for start-up

International agreements

- Non-European researchers visiting ERC research teams
- Visitors take the initiative in the "matchmaking" – no ERC intervention in the selection,
- Generally, costs of the visit are covered by the foreign agency.
- Costs related to the work of the visitor are eligible
- The ERC grantee does not receive additional funding from the ERC and the visit is not a reason to ask for a grant extension.
- USA, Rep of Korea, Argentina, Japan, China, South Africa, Mexico, Canada, and Brazil
- If the visit is not mentioned, the Annex 1, it does not need to be amended (AGA),

Social package



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- New initiatives
 - Articles 32 & 33 - 'best effort obligations'.
 - the beneficiary must be proactive and take all measures to ensure the principles set out in the **Charter and Code of Conduct**
 - **Gender balance-equal opportunities between women & men** in research teams;
 - EURAXESS - <http://ec.europa.eu/euraxess/>
 - Advertise research jobs
 - Network with scientists
 - Information on work regulations, taxation, social security

3 - ERC services focused on PIs

- Daily support (procedures, communication, and dissemination)
- PI helpdesk
- Support to communication & dissemination activity
- Simplified & pre-filled templates (**H2020** – all info in PPGMS)
 - Scientific reporting
 - Financial reporting
 - Amendment request
- FAQs
- Outreach events for Principal Investigators

Useful links

- Grant Management mailbox:

ERC-C2@ec.europa.eu

- Amendment mailbox:

ERC-C2-amendments@ec.europa.eu

- PI helpdesk mailbox:

ERC-C2-PI-HELPDESK@ec.europa.eu