

## **NKTH Research Career Development Programme**

**NKTH-OTKA-EU FP7 (Marie Curie action) co-funded 'MOBILITY' call**

**HUMAN-MB08**

**Guide for Proposers**

**2009**

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## 1. Justification and Objective of the Call for Proposals

For the period between 2008 and 2010, the National Office for Research and Technology (NKTH) wishes to create a complex Research Career Development Programme to develop human resources in the R&D sector.

On behalf of the minister without portfolio responsible for R&D, NKTH and the Hungarian Scientific Research Fund (OTKA) publishes a call for proposals titled “MOBILITY” under the Research Career Development Programme for the period between 2008 and 2010 to support the international mobility of researchers in order to promote research careers (call acronym: HUMAN-MB08).

The aims of the **MOBILITY Call, co-financed by NKTH-OTKA-EU 7th Framework Programme (Marie Curie actions)**, include **promoting the scientific careers of experienced researchers** with PhD degree or at least 3 years of full-time employment as researchers by supporting their mobility and gaining international experience, as well as promoting the Hungarian exploitation of experience acquired in third countries by supporting researchers returning to Hungary.

**Between 2008 and 2010, the call shall be published under three priorities** - i.e. outgoing mobility, incoming mobility and reintegration - for researchers carrying out basic, industrial or applied research **in the fields of technical-, natural-, life- and social sciences**. As to which of the three priorities are open may change annually.

**The following three thematic priorities are open for applications under HUMAN-MB08 call in the above fields in 2009.**

- A./ Outgoing mobility (HUMAN-MB08-A):** promotes the accumulation of international experience of researchers with Hungarian nationality by supporting their research activities at prominent international research units.
- B./ Incoming mobility (HUMAN-MB08-B):** promotes the employment of researchers with non-Hungarian nationality at internationally renowned Hungarian research units, thus promoting international R&D cooperation and knowledge-transfer.
- C./ Reintegration (HUMAN-MB08-C):** assists researchers who have worked in a third country – for at least 36 months prior to application – in creating research units in Hungary. Applications may be submitted for a maximum of 1 year following the return of the applying researcher from a third country. Researchers with the nationality of EU-member or associated countries shall be eligible under this priority.

## 2. Source and Budget of Project Funding

Source of funding: title 1 of the Research and Technology Innovation Fund (hereinafter referred to as: Fund) (Act CLXIX of 2007 on the Budget of the Hungarian Republic for 2008), co-funding provided under FP7 by the European Commission (EU co-funding of regional, national and transnational programmes – hereinafter referred to as: COFUND), and the funding allocation for the Hungarian Scientific Research Fund.

The earmarked budget for the Mobility call between 2008 and 2010 shall be HUF 3 billion, out of which HUF 300 million shall be provided by the budget of OTKA.

Title of funding: points (1) a) and f) of section 8 of Act XC/2003 on the Research and Technology Innovation Fund.

Further rules on the provision and use of funding are defined by Government Decree 133/2004. (IV. 29.) on the Management and Use of the Research and Technology Innovation Fund as well as by Government Decree 217/1998. (XII.30.) on the Rules of Operation of Public Finances.

### 3. Expected Number of Funded Proposals

Expected number of proposals submitted per annum, by priority:

A./	35-45
B./	17-25
C./	15-20

The expected number of funded projects per annum, by priority:

A./	18-20
B./	10-14
C./	8-10

These figures are indicative.

### 4. Eligible Applicants

#### A./ Outgoing mobility (HUMAN-MB08-A)

**Researchers with Hungarian nationality, with PhD degree or at least 4 years of full-time employment as researchers at the time of application shall be eligible**, who wish to enhance their professional knowledge via realizing a research project **at a prominent international (not Hungarian) research unit**. Under the project, basic research and/or industrial research with a minimum duration of 1 but a maximum of 2 years shall be eligible. If, at submission, the Hungarian institute linked to the applicant declares that, following the his/her return to Hungary, it shall further employ the researcher, than, reintegration may also be funded (reintegration phase). Duration of reintegration shall not exceed the duration of the stay abroad. Applicant researchers must have an employment relationship or other type of legal relationship to carry out work with the home/reintegration host institution for the duration of the project. As a further condition, the applicant researcher is expected to spend a decisive amount of his/her research time on the proposed research.

The host declaration of the international research unit hosting the applicant researcher must be attached to the project proposal in all cases (see chapter 16: Attachments). If the applicant researcher applies for funding for his/her return also, than the home institution shall make a declaration on reinstating the applicant researcher (see chapter 16. Attachments).

#### B./ Incoming mobility (HUMAN-MB08-B)

Researchers with **non-Hungarian nationality** (nationals of EU members, associated countries or third countries), **with PhD degree or at least four years of full-time employment as researchers at the time of application** shall be eligible, who wish to enhance their professional experience via realizing a research project **at an internationally**

**renowned Hungarian research unit.** Under the project, basic research and/or industrial research with a minimum duration of 1 but a maximum of 2 years shall be eligible. Applicant researchers must have an employment relationship or other type of legal relationship to carry out work with the host institution as well as an official place of residence in Hungary for the duration of the project. As a further condition, the applicant researcher is expected to spend a decisive amount of his/her research time on the proposed research.

### C./ Reintegration (HUMAN-MB08-C)

**Researchers with the nationality of EU members or associated countries, with PhD degree or at least four years of full-time employment as researchers at the time of application may receive funding for creating a research unit in Hungary, who have carried out research activities in a third country outside Europe for at least 36 months prior to application. Applications may be submitted for a maximum of 1 year following the return of the applying researcher from a third country.** Those minimum 2-, maximum 3-year-long basic research and/or industrial research activities shall be eligible under the project in the framework of which the researcher, by creating the research unit, lays the foundation for long-term research at the host institution. Applicant researchers must have an employment relationship or other type of legal relationship to carry out work with the host institution as well as an official place of residence in Hungary for the duration of the project. As a further condition, the applicant researcher is expected to spend a decisive amount of his/her research time on the proposed research.

**In the case of all three thematic priorities the final beneficiary of funding is the applicant researcher as a physical person. Funding provided serves researcher career development primarily.**

Home and host institutions of the applicant researcher shall not be affiliated enterprises as defined under point (2) 7, section 3 of Act C of 2000 on Accounting (e.g. subsidiary, foreign premises, etc.)

## 5. Form and Duration of Funding

**Form of funding:** final grant disbursed to the beneficiary with no repayment obligation (“grant”).

Minimum and maximum **duration of funding**, by thematic priority:

- A./ Outgoing mobility (MB08-A) min. 1 year - max 2 years  
(Including the possible reintegration period of the researcher.)
- B./ Incoming mobility (MB08-B) min. 1 year - max 2 years
- C./ Reintegration (MB08-C) min. 2 years - max 3 years

## 6. Funding Intensity and Budget

Minimum and maximum amount of funding per annum, by proposal and by priority:

- A./ Outgoing mobility (MB08-A) min. 10 - max. 15 million HUF/ annum
- B./ Incoming mobility (MB08-B) min. 10 - max. 12 million HUF/ annum
- C./ Reintegration (MB08-C) min.12 – max.30 million HUF/annum

Advance payment may be disbursed in accordance with paragraphs (3)-(4), section 18 of Government Decree 133/2004 (IV.29.) and the provisions of the funding contract.

Under the three thematic priorities, present funding does **not qualify as State aid** as defined in Article 87(1) of the EC-Treaty **if**:

- in each case the final beneficiary of funding is the applicant physical person.
- the research unit employing beneficiary qualifies as a research unit as defined in point 3.1 of Community framework for state aid for research and development and innovation<sup>1</sup>, and does not receive actual economic advantage by employing beneficiary,
- the research unit employing beneficiary, qualifying as an undertaking as set forth by Article 87 (1) of the EC Treaty, does not receive actual advantages, i.e. the research results created constitute the intellectual property of the researcher.

(There is no need to provide own resources for the projects.)

## 7. Exclusion

1. The following researchers shall be ineligible and shall not receive funding,
  - a) who have been guilty of making false declarations during earlier calls under the Fund, OTKA or under the targeted allocations provided by paragraph (2) of section (16) of Act XC of 2003 on the Research and Technology Innovation Fund, or have breached their essential obligations arising under an earlier funding contract concluded based on a successful proposal – due to their own default;
  - b.) who have public debt,
  - c) who have had expired liabilities to the Fund, OTKA or to the targeted allocations provided by paragraph (2), section (16) of Atv for more than 60 days – due to their own default; having regard to point 2 of this chapter.
  - d) who intend to carry out activities or projects not complying with environmental requirements;
  - e) who have not got the necessary permits issued by the competent authorities for the proposed activities;
  - f) who have been ordered by a decision of the European Commission to reimburse any aid.
2. Furthermore, the following applicants shall be ineligible and shall not receive funding
  - a) anyone participating in the call procedure as a person cooperating in the course of decision preparation<sup>2</sup> anyone who is a a decision-maker<sup>3</sup>;

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<sup>1</sup> OJ L 2006/C 323/01

<sup>2</sup> **a person cooperating in the course of decision preparation:** pursuant to Section 2.(1) b) of Act CLXXXI of 2007 on Transparency of Subsidies Provided from Public Funds, shall mean any physical person who

a) participates in preparation of the call for proposals or the funding decision either in an employment relationship or within the framework of civil law relationship,

b) has consultative rights in the procedure aimed to adopt the funding decision or is a member of a body having such rights

- b) excluded civil servants<sup>4</sup>;
- c) close relatives of persons described under points a)-b);
- d) anyone whose exclusion has been published on the website pursuant to Section 13 of Act CLXXXI of 2007 on Transparency of Subsidies Provided from Public Funds.

## 8. Eligible Activities

During project implementation, irrespective of priority, any **basic research<sup>5</sup> and/or industrial research<sup>6</sup>** carried out via researcher mobility, as well as activities linked to those (e.g. researcher training, talent development, etc.) shall be eligible.

Proportion of research types (basic research, industrial research) within a project are defined by the nature of the project, thus the proportion of research types is not set under this call.

## 9. Eligible costs

Under certain topics of funded projects, R&D project costs implemented exclusively by the mobility and exchange of experience of researchers shall be eligible, in line with the provisions of Act C of 2000 on Accounting (hereinafter referred to as: Accounting Act) as follows:

### A./ Outgoing mobility (MB08-A)

- personnel costs:  
The personnel costs of only the applicant researcher shall be eligible under the project, (personnel costs and contributions), pursuant to section 79 of the Accounting Act.

An average of 920.000 HUF/month is recommended when calculating the personnel costs of the applicant researcher.

Please take the calculations of researcher personnel costs valid for different countries with the correction factors applied for Marie Curie actions into consideration when planning the personnel costs of the applicant researchers. (EU FP7, “People” specific

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<sup>3</sup> **decision-maker:** pursuant to Section 2.(1) c) of Act CLXXXI of 2007 on Transparency of Subsidies Provided from Public Funds, shall mean any physical person who

a) is entitled to adopt the funding decision pursuant to his/her competence and scope of duties or is the head or member of the body entitled to do so,

b) has significant influence in respect of the funding decision pursuant to his/her competence and scope of duties, thus in particular if he/she has a right of consent, veto or approval in connection with the funding decision, or if he/she is the head or member of the body having such rights

<sup>4</sup> **excluded civil servants:** pursuant to Section 2.(1) d) of Act CLXXXI of 2007 on Transparency of Subsidies Provided from Public Funds, shall mean Government members, government commissioners, secretaries of state, special secretaries of state, presidents of the regional development councils, head of the central agency with competence for development policy issues, executive officers of the organizations established by the regional development council pursuant to law, members of the supervisory board and the executive officers of the organizations cooperating with the Sectoral Operative Programmes as well as members of its supervisory body

<sup>5</sup> extending the general scientific and technical knowledge which is not linked to industrial or commercial objectives

<sup>6</sup> research conducted to acquire new knowledge with the aim to exploit such knowledge for the development of new products, processes or services, or for the significant improvement of existing products, processes or services.

programme). (See table 1, chapter 17 under Appendices. The recommended 920 000 HUF/ month ‘average amount’ shall equal 100/00 unit.)

- material costs:

Costs of materials, smaller tools, books, periodicals, services linked to project implementation (e.g. travel expenses abroad, costs of participation at events closely linked to the research topic of the project and costs of certification, measurements, etc.), pursuant to section 78 of the Accounting Act. During the term of the project, tourist class tickets (one outbound and one inbound ticket) shall be eligible each year. Accommodation and local travel expenses of researchers shall not be eligible as material costs. (These costs shall be covered by the personnel costs.) Other travel expenses (e.g. conference, etc) linked to project implementation shall be eligible as material costs. Entertainment costs shall not be eligible.

Administration costs incurred during project implementation (e.g. accounting and other administrative costs, costs of auditing, etc.) and general material expenses (overheads) shall be eligible up to a maximum of 11% of the funding.

#### **B./ Incoming mobility (MB08-B)**

- personnel costs:

The personnel costs of only the applicant researcher shall be eligible under the project, (personnel costs and contributions), pursuant to section 79 of the Accounting Act.

An average of 810 000 HUF/month is recommended when calculating the personnel costs of the applicant researcher.

- material costs:

Costs of materials, smaller tools, books, periodicals, services linked to project implementation (e.g. travel expenses abroad, costs of participation at events closely linked to the research topic of the project and costs of certification, measurements, etc.), pursuant to section 78 of the Accounting Act.

During the term of the project, tourist class tickets (one outbound and one inbound ticket) shall be eligible each year. Accommodation and local travel costs of researchers shall not be eligible as material costs. (These costs shall be covered by the personnel costs.) Other travel expenses (e.g. conference, etc) linked to project implementation shall be eligible as material costs. Entertainment costs shall not be eligible.

Administration costs incurred during project implementation (e.g. accounting and other administrative costs, costs of auditing, etc.) and general material expenses (overheads) shall be eligible up to a maximum of 11% of the funding.

#### **C./ Reintegration (MB08-C)**

- personnel costs:

The personnel costs of the applicant researcher and the members of the research team shall be eligible under the project, (personnel costs and contributions), pursuant to section 79 of the Accounting Act.

An average of 810 000 HUF/month is recommended when calculating the personnel costs of the applicant researcher.

- material costs:  
Costs directly linked to research activities, costs of materials, smaller tools, books, periodicals, services linked to project implementation (e.g. costs of participation at events closely linked to the research topic of the project and costs of certification, measurements, etc.), pursuant to section 78 of the Accounting Act. Travel expenses (e.g. conference, etc) linked to project implementation shall be eligible as material costs. Entertainment costs shall not be eligible. Accommodation and local travel expenses of researchers shall not be eligible as material costs. (These costs shall be covered by the personnel costs.)

Administration costs incurred during project implementation (e.g. accounting and other administrative costs, costs of auditing, etc.) and general material expenses (overheads) shall be eligible up to a maximum of 11% of the funding.

- costs of instruments and equipment:  
For each activity period, the costs of instruments and equipment shall be eligible **to the extent and period of their use under the project** (pursuant to the provisions of the Accounting Act and documented by the instrument log in a transparent way), thus **only depreciation costs proportionate to the duration of the research project and to the use for project purposes shall be eligible**.  
At the costs of equipment, their operation costs may also be considered (e.g. transportation, installation, service and maintenance costs, etc.).

Cost rules valid for all three thematic priorities:

- Gross amounts (including VAT) shall be planned at cost calculations.
- Administrative and general material expenses (overheads) shall be eligible based on the receipts / invoices issued by the institution. Overheads include a proportionate part of the following with regards to the project: public utility fees documented by an invoice, telephone, mobile phone subscription (pre-paid phone cards are not eligible), internet subscription fee, fuel costs, postage, servicing, maintenance etc.

If general costs (overheads) actually incurred during the implementation of the project are accounted for, the institution shall do so in accordance with the proportions established on the basis of the principles determined in the Cost Accounting Standards for Subsidized Costs, promptly supported by calculations.

- The smallest amount of eligible costs shall be (gross) HUF 2 000 on a single invoice, costs smaller than that shall not be eligible.
- Costs shall be eligible under the project as of the starting date set forth by the funding contract.

## 10. Evaluation and Selection Criteria

During evaluation, proposals shall be handled confidentially and observing the principal of equal chances.

## 10.1. Formal Assessment, Missing Data

Proposals which are received both electronically and in hard copy by the start of a given evaluation cycle shall be registered and checked against formal requirements. This process takes approximately 2-3 weeks. Formally eligible proposals shall undergo professional evaluation, while ineligible proposals shall be excluded from the given evaluation cycle. OTKA Office shall inform applicants about the results of the eligibility check.

Project proposals shall be **rejected on formal grounds**, if:

1. *- required Attachments have not been attached to the proposal (Chapter 16, Guide for Proposers);*
2. *the applicant researcher is not eligible for funding (does not fall under the definition of eligible applicants, or is excluded on other grounds set forth by a statute or this call);*
3. *the home and host institutions of the applicant researcher qualify as affiliated enterprises as defined under point 7, section 3 (2) of Act C of 2000 on Accounting (e.g. subsidiary, foreign premises, etc.)*
4. *there are differences between the electronic and the hard copy of the proposal (beyond the ones set forth by the guide);*
5. *any of the compulsory parts are missing or of unapt quality;*
6. *any part of the proposal contains false data;*
7. *despite the instructions of the call, the proposal is not in English.*

Minor shortcomings which may be corrected within 5 workdays upon receipt of the note on such shortcomings include:

- a few sentences of the English language proposal are in Hungarian;
- a few text fields are filled in incorrectly;
- FTE value needs to be corrected;
- the document titled “form - in case of involvement” has not been submitted.

## 10.2. Evaluation criteria and possible scores

Proposal evaluation criteria and procedure

The evaluation and pre-filtering of submitted, formally eligible proposals are carried out by OTKA Office in three phases by involving external experts.

1.)

Project proposals are first evaluated by at least three independent external experts of the scientific and technological fields concerned, who comply with the rules on conflict of interest, they award scores and provide written evaluation, and also define the strengths and weaknesses of the proposals, pursuant to the criteria set forth by the Guide. This phase takes approximately 1 month.

2.)

In the next phase, an evaluation committee comprising independent experts ranks project proposals by their comparative evaluation based on the evaluations in the first phase. The member of the three, 8-10 strong evaluation committees shall be renowned experts of the fields of life sciences, technical sciences, natural and social sciences. International experts shall also participate in the work of committees. Evaluation committees gather and compile the ranking list within 1 month following the first cycle of evaluation is closed.

3.)

In the third and final phase of evaluation, one Joint Evaluation Committee shall meet, comprising the chairpersons of committees in the previous round and renowned experts appointed by the presidents of NKTH and OTKA Commission. The task of the Joint Evaluation Committee is to make a unified ranking of all proposals based on the ranking lists of evaluation committees and make a proposal for decision for the president of NKTH. Based on the proposal of the joint committee and on the proposal of the president of the OTKA Commission, the president of NKTH shall make funding decisions.

The total evaluation process takes place with the involvement of independent, external experts of the given fields, who shall make a declaration on no conflict of interest and on confidentiality. To ensure transparency and the highest possible quality of evaluation, 10-20% of external experts are foreign experts. When selecting evaluators, emphasis is put on ensuring that an adequate number of female evaluators also participate.

The evaluation process takes at least 3 months. Applicants receive a notice on the result, as well as the expert opinions within 10 days the decision is passed. Successful proposers receive an offer to conclude a contract at the same time.

### Evaluation Criteria

During evaluation - under all three thematic priorities - one project may receive a maximum of 20 points.

In all three priorities (outgoing mobility, incoming mobility and reintegration), the following 6 evaluation criteria shall be applied.

SELECTION CRITERIA FOR PROJECT PROPOSALS		Maximum score	Weighing	Weighed score
Compliance with the objectives of the call	Correspondence of the proposal to the objectives of the call	Yes/no		
Scientific and technological quality of the proposal	Scientific, technological quality and novelty of the project proposal as well as its correspondence to cutting-edge international research, its methodology, topicality and relevance	5	1,2	6
Assessment of applicant researcher	Competence, earlier professional activities, research results, project management experience of the applicant researcher, his/her competence with regards to project implementation	5	1,2	6

	and his/her participation in international mobility programmes			
Assessment of the host institution <sup>7 8</sup>	Facilities, equipment, professional excellence and international relationships of the host institution, its experience in the training, hosting and mentoring experienced researchers	5	0,4	2
Project management	Project work stream planning, project feasibility and detailed elaboration of activity periods  Actuality of the financial plan of the project	5	0,4	2
Impact	The long-term impact of the project on the applicant researcher's career  The contribution of the project to the restart of the researcher's career (if relevant)  Expected exploitation of project results	5	0,4	2
<b>Total:</b>				<b>18</b>

Beyond the above described general criteria, further criteria for the different priorities are also used, thus a project proposal may receive a maximum weighed score of 20.

<b>A./ Outgoing mobility</b>		Maximum score	Weighing	Weighed score
Training	Quality of training through the research project (e.g. quality of tutoring, methodology training, etc.)  Other additional training provided by the host institution (e.g. IPR knowledge, presentation skills development, project management know-how, etc.)	5	0,4	2

<b>B./ Incoming mobility</b>		Maximum score	Weighing	Weighed score
Training	Quality of training through the research project (e.g. quality of tutoring, methodology training, etc.)  Other additional training provided by the host institution (e.g. IPR knowledge, presentation skills development, project management know-how, etc.)	5	0,4	2

<sup>7</sup> In the case of outgoing mobility, if the researcher applies for funding for his/her reintegration, provide a description of both the foreign and the Hungarian host institution, based on the set criteria.

<sup>8</sup> Under thematic priority C - i.e. Reintegration - please give a detailed description of the field and nature – and where possible, the amount – of own contribution of the host institution not accounted for among project costs under this call (e.g. purchase value of equipment necessary for project implementation and/or remaining costs not accounted for as depreciation costs under the funding, costs of creating the infrastructural environment, etc.).

Impact	Expected impact of the project on the international relations of the Hungarian host institution and the development of its research potential.			(further possible criteria)
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C./ Reintegration		Maximum score	Weighing	Weighed score
Assessment of the research team	Size, composition and professional level of the research team to be set up during the project (involvement of PhD students and postdocs shall be considered an advantage)	5	0,4	2
Impact	Expected exploitation of project results in Hungary, Expected impact of the project on the international relations of the Hungarian host institution and the development of its research potential.			(further possible criteria)

The maximum score awardable for each evaluation criterion is 5, this score is multiplied by the weighing value, and thus the weighed score is calculated. Each proposal may get a **maximum of 20** points as weighed score during evaluation. The precondition for funding is that a given project receives at least **70%** of the total weighed score (14 points) against the evaluation criteria, and, at the same time, receives 50% of the weighed score of the given criterion for each criterion.

**There is no room for appeal against decisions.**

Funding decisions are expected to take place 3 months after submission deadlines.

## 11. Indicators

To monitor the progress of the project, the coordinator shall provide the following monitoring data - at contracting and during project implementation in the way and with the regularity set forth by the funding contract - (data should be provided for the given project where relevant):

### **Quantitative and qualitative indicators:**

- Increase in the number of new Hungarian research positions or in the headcount of research teams,
- Increase in the number of postdocs involved in international research,
- Strengthening the mobility of researchers to Hungarian research units, increasing the number of researchers arriving.
- Number of publications linked to the project (impact factor, citation index),
- Number of new projects carried out in international cooperation,
- Exploitation of project results, number of published scientific and technological results,

The above data are added up and taken from the computer database for processing. They serve analytical purposes and facilitate follow-up, ex-post evaluation and strategic planning for the programme.

## 12. Disclosure of Data of Public Interest

Pursuant to the Act CLXXXI of 2007 on **Transparency of Subsidies Provided from Public Funds**, applicants must make a declaration on the involvement as set forth by section 8.

To ensure the publication of prescribed data, all applicants shall fill in the form for the transparency of subsidies provided from public funds, which is available for download from the website of NKTH, **Hiba! A hiperhivatkozás érvénytelen.** from the MOBILITY call documentation.

For each proposal, the applicant researcher shall fill in and submit a signed form, on which he/she makes a declaration on his/her involvement and conflict of interest as defined by law. One declaration per application is requested. (See chapter 16, Attachments)

To ensure the submission of an unequivocal declaration, the Public funding form must be filled in as follows:

In the upper-right corner the call acronym 'HUMAN\_MB\_08\_A', or 'HUMAN\_MB\_08\_B', or 'HUMAN\_MB\_08\_C' shall be selected.

Field [11a] shall start by the letters 'OTK', directly followed by the 5 digit OTKA ID number, altogether 8 digits: OTK<5digit number>.

**The personal particulars of the applying researcher (physical person) shall be submitted in fields [11c]-[11i].**

1 has to be typed in field [11c].

In fields [11f] and [11i] country code HU may be changed if necessary.

In fields [11j]-[11k], the **data of either the applicant researcher or of the contact person of the Hungarian institution shall be provided as the contact person** of the proposal.

In fields [11l]-[11o] you have to **choose 'No' for involvement and conflict of interest if there is no involvement/conflict of interest regarding the researcher. In all other cases 'Yes' has to be answered to the given question.** (In case of involvement, the "Form - in case of involvement" also has to be filled in (and signed) and submitted with the printed proposal documentation.)

**The printed version of the form has to be signed by the researcher** in field [11r]. Please also type the name of the signing person on the form.

Fields [11b], [11p] and [11q] have to be filled in according to their titles.

The contents of the form shall also be submitted electronically to 'kozpenz2008@nkth.gov.hu'. (See deadlines under chapter 14.) Upon receiving the electronic files, the receiving server of NKTH sends an automated response. If you receive an error message in the response, please correct the given file and resend it. The system takes the last correct file sent into consideration.

The printed and signed original version of the forms must be attached to the original proposal documentation and sent to the OTKA Office.

### 13. Concluding and implementing the contract

The funding contract shall be concluded with the applicant researcher as the final beneficiary, but the Hungarian research unit (home/host institution) employing the researcher shall also sign as the technical and financial administrator. Personnel allowances shall be disbursed to the researcher (research team) via the institution. The institution must ensure the right of the applicant to make decisions concerning material expenses and costs of instruments and equipment (if possible under the given category), which shall be underpinned by submitting the declaration described under chapter 16.

The contract proposal sent following the funding decision shall be valid for a maximum of 60 days following receipt of the notice thereon. If the contract is not signed until the deadline of the beneficiary's fault, the funding decision becomes automatically null and void, according to paragraph (2) of section 29 of Government Decree 133/2004 (IV.29.).

Institutions employing beneficiary researchers must keep separate accounting of project costs according to the effective financial and accounting rules. I.e. all documents, letters, e-mails, faxes, invoices and settlement slips etc. related to project implementation (documents of the proposal, the contract and implementation) must be kept in practical and chronological order and presented for inspection if requested. All records, documents and invoices concerning the funding **must be kept for ten years** following the date of funding decision.

If a funding contract is concluded, the approved work and financial plan of the project proposal should generally constitute the appendices of the funding contract. Activity periods - depending on project duration - are usually set at an annual level. The project shall be implemented based on the tasks and the financial plan, pursuant to the contract. Funding can be appropriated according to the financial plan laid out in the contract. If justified, advance payments may be made from the funding, once for each reporting period planned by the applicant during the project, to the extent set forth by Government Decree 133/2004. (IV. 29). A maximum of 90% of funding may be disbursed as advance payment. The last 10% of total funding shall only be disbursed following the end of the project. Advance payments shall only be transferred following the approval of the report on using the previous advance payment and following the submission of the relevant financial report. Further criteria for the disbursement of advance payment or funding is that the beneficiary researcher has no expired liabilities to the Fund or to the targeted allocations provided by paragraph (2), section 16 of Atv for more than 60 days – due to his/her own default (e.g. advance payment unaccounted for).

Project progress shall be evaluated following each activity period. All activity periods are closed by an activity and a financial report. The condition for approving the financial report is the approval of project progress report. **The project progress report shall also be signed by the contact person of the host institution.** The financial report shall be compiled jointly by the researcher and the home institution, and they shall make a joint declaration on the use of funding. At the end of the project an audited final balance concerning the whole project has to be submitted.

The last 10% of funding may be disbursed following the approval of the final activity and financial reports. The activity report sent at the closing of the project shall include the report on the project as a whole in a form apt for publication. This document may be published by both OTKA and NKTH in publications or on their websites.

### 13.1. Amending the contract

Amendment of the funding contract during project implementation is only possible in justified cases following the approval of the funder.

### 13.2. Sanctions for breaching the funding contract

- suspension of funding,
- paying liquidated damages in the amount set forth by paragraph (1) section 88/A of Government Decree 217/1998. (XII. 30) (the daily rate of liquidated damages is 1/365th of 10% of the relevant funding; detailed rules are set forth by section 88/A of Government Decree 217/1998. (XII. 30) and the funding contract),
- withdrawal from contract, funding already issued must be returned in a lump sum within 15 days, adding interest (twice the central bank base rate at the time of withdrawal but at least 20%, pursuant to paragraph (4) section 88 of Government Decree 217/1998. (XII. 30)) and other expenses,
- immediate termination of contract,
- exclusion from the support-system.

Detailed regulations are set forth by Sections 87-88/A of Government Decree 217/1998 (XII.30) and Section 18 of Government Decree 133/2004 (IV.29) and by the funding contract.

## 14. Place, process and deadline for proposal submission

Proposals shall be submitted in English. Certain parts of the proposal are requested to be submitted also in Hungarian – OTKA EPR system automatically gives a warning sign at the relevant parts.

**The call is open for continuous submission from its publication until its budget is exhausted, but no later than 1st October 2010. We reserve the right to amend and annually update the call.**

Proposals shall be evaluated twice in 2009.

### Submission deadline: 20 April 2009

Those proposals shall be considered in the first round of evaluation which are **submitted and finalized** in the OTKA EPR system **electronically by 24 hours on 20 April 2009 and their identical hard copies with authorized signatures are sent by 25 April 2009** (according to their postal timestamps) to the OTKA Office. The data content of “KözpénzŰrlap”, i.e. “Form for the transparency of subsidies provided from public funds” shall be submitted electronically to a [kozpenz2008@nkth.gov.hu](mailto:kozpenz2008@nkth.gov.hu) e-mail address, while the printed and signed version of the forms must be attached to the original proposal documentation and sent to the OTKA Office. The submission deadlines of the electronic and printed versions of “KözpénzŰrlap” (Public funds form) are the same: 25 April 2009. (24h).

### Submission deadline: 20 September 2009

Those proposals shall be considered in the second round of evaluation which are **submitted and finalized** in the OTKA EPR system **electronically by 24 hours on 20**

**September 2009 and their identical hard copies with authorized signatures are sent by 25 September 2009** (according to their postal timestamps) to the OTKA Office.

The data content of “KözpénzŰrlap”, i.e. “Form for the transparency of subsidies provided from public funds” shall be submitted electronically to a [kozpenz2008@nkth.gov.hu](mailto:kozpenz2008@nkth.gov.hu) e-mail address, while the printed and signed version of the forms must be attached to the original proposal documentation and sent to the OTKA Office. The submission deadlines of the electronic and printed versions of “KözpénzŰrlap” (Public funds form) are the same: 25 September 2009 (24h).

**Funding decisions** are expected to take place 3 months after submission deadlines.

**Contracting** is expected to take place within the quarter following the decision.

Recommended **start date of projects** shall be within six months following funding decision.

Deadlines for proposal submission shall be published at the beginning of the given year.

The original **printed copy** of the proposal with original signatures and **with the attachments described under chapter 16** shall be **sent to the OTKA Office** by registered mail, separated from any other documentation.

**On the parcel, please indicate the priority acronym:**

„HUMAN-MB08-A”, or „HUMAN-MB08-B”, or „HUMAN-MB08-C”

**Postal address:**

**OTKA OFFICE  
1476 Bp. 100. Pf. 289.**

Please keep the slip as proof of sending the proposal by registered mail.

For information concerning this call you may contact our colleagues:

- By phone during office hours at the **OTKA Office**: +36-1-219-8700
- By e-mail at: **MB08@otka.hu** /'MB' 'zero' 'eight'/. The acronym of the proposal should be indicated in the **subject field**: *HUMAN-MB08*.

**Before turning to the OTKA Office, applicants are kindly advised to carefully read through the Call for Proposals and the Guide for Proposers, as their questions might be answered immediately.**

The Call for Proposals and the Guide for Proposers together contain all necessary requirements for application.

The Call for Proposals, the Guide for Proposers, other documents necessary for proposal submission and useful information are available on the following websites of NKTH and OTKA:

the National Office for Research and Technology	<a href="http://www.nkth.gov.hu">www.nkth.gov.hu</a>
Hungarian Scientific Research Fund	<a href="http://www.otka.hu">www.otka.hu</a>

## 15. Preparing proposals in the electronic system of OTKA

### 15.1. Registration

The electronic system of OTKA may be used for compiling proposals exclusively by registered researchers.

**Registered researchers:** The data of all researchers who have used OTKA's electronic system can be found in OTKA's database. Those who already have their valid user name and password may enter the system and start to compile a new proposal.

**New registration:** Those researchers who have not used OTKA's electronic system earlier should get in touch with their institutional administrator, administrators are listed under "nincs még jelszavam" (no password yet) menu on the sign in page of the website. Should any problem arise, ask for help from the OTKA Office. Researchers applying from abroad are registered by the Hungarian host institution.

Following registration, researchers themselves keep their personal details, CV's, personal performance data and publication lists updated. Data of institutions and research units are managed by the corresponding *institutional administrators*.

The data of researchers and institutions provided at registration and necessary for application are provided by the electronic system automatically.

### 15.2. Details of the proposal

When entering the electronic system, the applying researchers shall:

- *first* check and update their personal particulars.  
Proposals cannot be finalized if any of the compulsory personal data is missing. Please check your e-mail addresses. **In case of researchers the email address is one of the most important data.** The primary email address of researchers may only be changed by the relevant institutional administrator. Senior researchers who (or whose assistants) lack a frequently used email-box shall not be considered for contracting. Provide the email address which is regularly checked by the researcher or his/her assistant, where they expect to be notified.
- provide the name of the Institution where their research unit belongs.  
E.g.: in case of a researcher working at a department of a university, the university shall qualify as the institution while the department as the research unit. Organizational units, which are subdivided into further research units, such as faculties, shall not qualify as research units themselves. In case of research institutes, the institute shall qualify as the institution and the department or group as the research unit. In case of smaller research units with independent budget, the research unit shall qualify as the institution without further organizational division. The internal organization of institutions is represented in a two-level structure (institution and research unit) in OTKA's system, there is no room for providing multiple-level structures. Defining the internal relationship of researchers and research units within the institutions is the competence of the given institution.

- define the category of the proposal, i.e. topic (A/ or B/ or C/),
- chose English as the language of the proposal. (compulsory)

**The latter two data, which are important technical characteristics, may not be changed later.**

### **15.3. Data concerning work time and research time spent**

OTKA's electronic system contains data on research-time spent on earlier successful projects (if there were any) and also enables users to provide and examine research time for each year. Full time equivalent (i.e. FTE) provides important information to evaluators on the rate of participation of certain participants of the planned project and on the size of the planned human resources of all research activities.

Research time spent on the project is measured by full time equivalent, i.e. FTE. The share of funding against 1 FTE is calculated by the electronic system, and the share is presented to the participants of decision preparation.

#### ***Providing FTE***

The value of FTE may be filled directly in the relevant field, or alternatively - with the aid of a calculator - may be calculated based on the number of days planned to be spent with research per week, or on the values of "work time spent on research" and "work time spent on this research project".

In case of one researcher, the sum of total FTE may not be greater than 1.0 in a given year.

In case of several-year-long projects, total research time (FTE / project, research years spent on the project) often exceed 1.0, as the value of total FTE / project is the sum of FTE values of participant researchers.

Under all priorities of the HUMAN-MB08 call, the applicant researcher is expected to spend a decisive amount of his/her research time on the proposed research.

#### ***Several parallel projects***

Data must be provided on parallel research projects if there are any. The rate and justification of funding received by a given researcher from several sources shall also be examined.

Research time spent on present and other proposals and projects shall also play an important role at evaluation.

### **15.4. Scientific categorization**

For all proposals, the narrow scientific categorization used by OTKA as well as the international Ortelius-categorization shall be provided.

<http://www.info.omikk.bme.hu/KFTargyszorendszer-Hu-Eng-050322-1130.pdf>

If you consider your proposal to be interdisciplinary as regards the fields under OTKA juries, please indicate which fields your proposed research concern and what share, in

percent, do different fields represent in the research. If you consider it necessary, please justify your proposal in the field on the form. Justification eases the categorization of your proposal. If you consider your proposal to concern a single field and the proposed research does not automatically fall under the proposed field, please justify the proposed scientific categorization.

We draw your attention to the fact that the scientific categorization of proposals (for the relevant juries) falls under the competence of OTKA bodies (juries and colleges). During categorization the applicant's recommendation is taken into consideration, but not necessarily approved. Applicants may check the categorization of their proposals in the electronic system within a month following submission.

## 15.5. Declarations

For the description of declarations necessary for submission, see under Attachments in chapter 16.

## 15.6. Details of researchers

Researchers are responsible for providing their own data. Providing incorrect data may result in the ineligibility and exclusion of the proposal.

Using their own electronic interface, applicant researchers shall submit the following data:

1. personal particulars
2. professional CV
3. list of selected publications
4. publications and citation (in an attached file)
5. publication statistics
6. researcher training

Fields concerning scientific degree, education and place of work (in the last 5 years) must also be filled in. Hungarian speaker applicants must fill in the CV fields both in Hungarian and in English. The applicant's biographical data are included in the proposal.

On the form you can list studies, scientific degrees and titles, workplaces, international experience, awards and honours, memberships in scientific associations. In these categories, it is practical to display only the important data, it is unnecessary to provide a comprehensive list.

When preparing your professional CV, please emphasise your compliance with the eligibility criteria set forth by the call.

### ***List of selected publications***

*Each researcher may attach a maximum of 10 publications to a proposal.* Please consider which publications you consider to be the most important under the given call, which ones you would like to show the evaluators. Please describe the characteristics of publications, pursuant to guidelines set forth on OTKA website under menu *Electronic case management > Researchers > Publications for reports*. The total citation list of the 10 most important publications, based on which provided figures can be checked, must be provided in an attached file together with the publications, as Appendix F2.

### ***Publication statistics***

Please only indicate chapters of 15 pages or more under the “Book chapter” category.

### ***Scientometric data***

Impact factors (hereinafter referred to as: IF) shall be provided pursuant to the Journal Citation Reports (JCR) published by the Institute of Scientific Information (ISI, Thomson Reuters). Impact factors are available in the central libraries of major universities or the Library of HAS (Hungarian Academy of Sciences), or from the OTKA Office. If the JCR of the given year is unavailable by submission, please consider the last published data concerning the previous year. (In the case of publications older than two years, always provide the relevant IF value of the year of publication).

Publishers of this call shall use independent citing publications (references) during evaluation, i.e. those where the cited and citing publications do not share the same authors. Citations must be provided in the format used in SCI, the Social Sciences Citation Index (SSCI) or HAS Public Body Publication Database (HAS Publication Database). Should any doubt arise, apply the rules of HAS Publication Database. *Citations shall be considered self-citations if the same person is among the authors of the cited and the citing document.* Calculating self citations qualifies as providing false data and results in the exclusion of the proposal.

Under menu *CV > other (önéletrajz > egyéb)* please list the 5 most important citations (without date limits) with highlighting the context. Apart from your 10 most important publications, you may provide a maximum of 5 out of your scientific results (or sector specific work) which are not among the most important ones of the past 10 years.

### ***List of publications and citations***

You do not have to provide the list of publication and citations if you publish and update your data in the HAS Public Body Publication Database (HAS Publication Database), in this case only the reference data have to be provided (URL, name and ID).

The electronic submission of the full list of publications (without the citation list) and the full citation list of the maximum 10 most important scientific publications listed under scientific performance is compulsory. Based on the above, data provided as scientific performance can be easily checked (please do not attach these data to proposal sent by post). When compiling the list, please make sure that all data can be checked during evaluation. Data provided are checked by the publishers of the call on the spot. Providing false data may result in the ineligibility and exclusion of the proposal from further evaluation.

### ***Researcher training***

Only PhD dissertations have to be indicated at dissertations prepared under the researcher as tutor.

## **15.7. Parts of the proposal**

Under thematic priorities B and C, non-Hungarian speaker applicants should use help from the host institution for filling in fields requested in Hungarian.

### ***Summary***

The **brief summary** should be factual and describe the project objectives clearly, in a form intended for the scientific community and in a length of 500-1500 characters. The summary should be intelligible in itself, it should not make references to other parts of the proposal. You may not use charts, pictures or formulas, only simple text is allowed. If symbols are used, there is no guarantee that they are displayed the same way in any software environment.

Apart from the objectives, the brief summary should also include the following:

- expected substantial and measurable research results, as well as the probability and risks of realization;
- whether project deliverables can be applied in the development of any processes or products, and if so, when can deliverables be applied;

### ***Work-plan***

Please describe your research programme (work-plan), the objectives set and expected deliverables. (In case of successful proposals, the work-plan shall constitute a schedule to the funding contract.) **When compiling the work-plan, please take the evaluation criteria set forth by chapter 10 into consideration.** In the work-plan, please **include the following**:

1. tasks and work-packages, their scientific and technology content and novelty,
2. description of expected and measurable outputs,
3. form of planned performance documentation (e.g. proofread articles in periodicals, chapters of books, conference publications, patents, etc.)

If the work-plan is insufficient, the proposal may not be funded.

The work-plan has to be submitted both in English and Hungarian.

### ***Tasks of participants***

**For proposals under thematic priorities A and B, this part is not required**

Provide the list of participants in project implementation, their tasks undertaken in the planned research activities and their work time spent on the project in % pursuant to their employment status (full time/part time).

### ***Detailed research plan***

The length of the detailed research plan shall be a maximum of 10 pages under thematic priorities A./ and B./, while a maximum of 15 pages (27 000 characters) under C./ uploaded as a PDF file (bibliography is not included in the length, and file size must not exceed 5 MB). **When compiling the detailed research plan, please take the evaluation criteria set forth by chapter 10 into consideration.**

In the detailed research plan, please **include the following**:

- The aim, justification and advantages of the project, as well as its relationship to international trends.
- Detailed description of the work.
- Earlier project management experience of the applicant researcher, and his/her and earlier experience in international mobility projects.

- The expected impact on the researcher's individual career.
- Description of research conditions, professional introduction of the host institute.
- Provide the values of the indicators defined in this Guide for Proposers. Beside indicators, every applicant shall define at least 2 indicators specific for the given proposal.

In the detailed research plan describe the international and national antecedents of the topic with reference to bibliographic data, its originality, its expected theoretical and practical significance, novelty of studies to be conducted and the nature of research, the headcount of researchers and auxiliary staff wishing to participate in the planned project, as well as the necessary infrastructure and research background. Bibliography is not included in the length.

Under thematic priority C., please indicate the headcount of researchers and auxiliary staff wishing to participate in the planned project.

**In all proposals (under all thematic priorities, i.e. A., B., and C.), please include the following:**

Describe your scientific activities in the past five years, emphasizing your earlier results linked to the planned project. Describe your research objectives and the expected Hungarian and/or international results of planned research project. Outline the professional potentials of the chosen host institute and the opportunities necessary for the planned research. Please describe the expected exploitability of results and the impact of deliverables on the sector and on your professional development.

In proposals under thematic priority C., the applicant should describe the criteria for forming the research group, the earlier scientific activities of PhD students and postdocs to be funded, the tasks to be implemented, aims and expected scientific results.

### ***Financial plan and its justification***

The itemized justification of requested funding is an important evaluation criteria. If the financial plan is unrealistic, the proposal may not be funded. In the case of successful proposal, the financial plan shall form a part of the contract.

The following costs - with the exception of general costs - must be indicated and justified in the justification of the budget.

- validity of planned personnel costs;  
Please give a detailed justification if planned personnel costs of the applicant researcher exceed the recommended 'average cost' (in chapter 9) by 10%.
- if you plan trips abroad, please indicate the aim, destination, duration and expected costs;
- indicate any items, the costs of which are expected to exceed HUF 250 thousand as material costs, and justify their necessity;
- **only under thematic priority C./** - provide the purchase plan of invested assets necessary for R&D tasks together with a professional justification for each item exceeding HUF 250 thousand (including the name, number of items, planned price, and planned depreciation costs for under each activity period). Procurement is

recommended to be planned for the first year of the project. The list of invested assets has to be submitted both in **English and Hungarian**.

- provide the amount of requested advance payment(s) and justify them, especially if you are requesting an disproportionate advance payment.

#### ***Permit(s)***

If the planned research activities require permits for any reason (they are dangerous, or have ethical risks, etc.), - in case of successful proposals - necessary **permits must be submitted to the OTKA Office** by the time the funding contract is concluded. In the absence of permits, contract proposals may be withdrawn. If only part of the activities require permits, the funding contract may be concluded, but relevant activities may not be carried out until required permits are issued.

#### ***Other research activities (parallel research, submitted proposals)***

If the applicant was a coordinator of an OTKA project ended between 2004 and 2008, sectoral committees withdraw the relevant efficiency data from the electronic system of OTKA. In case of research activities financed by OTKA funds, provide the reference number thereof and also describe any overlaps in research activities.

If you already have another ongoing research project the topic of which is similar to or identical with that of your proposal under HUMAN-MB08, please indicate the similarities and differences and also justify the submission of the present proposal.

#### ***Other scientific results***

If you deem it necessary, attach any further results - linked to your present proposal, which may help evaluation and cannot be filled into the form - to the pdf file.

#### ***Other attachments***

Documents (in .pdf format) defined under Attachments in chapter 16 have to be provided here, pursuant to the provisions of chapter 16.

## **15.8. Compiling the proposal**

Compiling a new proposal may be started by clicking “saját kutatások / pályázatok, projektek / új pályázat létrehozása” (own research / proposals, projects / creating new proposal). The system automatically generates an acronym (ID) for the proposal.

You can display certain administrative details and important data of your proposal during work in a pop-up chart in the upper part of the screen. The chart may be opened and closed by clicking the arrow next to the “title” of the proposal. You may send letters from the system directly to addressees by clicking the little envelope icon next to the name.

#### **Compulsory fields:**

(compulsory fields are indicated by bold letters)

1. Personal and scientific data (in the case of English proposals in Hungarian and in English),
2. Front-page,
3. Signature field of declarations
4. Summaries,

5. Work-plan,
6. Tasks of participants, research expenses,
7. Financial plan,
8. Justification of the financial plan,
9. Closed or parallel research activities (if there was/is such),
10. Table of contents (automated, must be attached to the printed version),
11. Biographies and publications of researchers. All researchers fill in their data themselves. Applicant researchers must provide their publications, or links thereof to the HAS Publication Database.

#### **Data to be uploaded (PDF files):**

1. List of publications and citations, if they are not attached from the HAS Publication Database,
2. Detailed research plan,
3. Permits (if they are necessary),
4. Other scientific results (if needed),
5. In the case of proposals under thematic priority A./, the declaration of the foreign institution hosting the applicant researcher,
6. In the case of proposals under thematic priorities A./, B./ and C./, declaration of the home/host institutions of the applicant researcher.
7. Agreement on the IPR (if necessary)

In the case of incorrect data or unfilled compulsory field, the system displays an error message indicating the type of error; the system does not save the data until the mistake is corrected.

You can navigate forward among entry fields by pressing the “Tab” button, while backward by pressing “Shift+Tab”. You may save by pressing “Enter”.

Do not use the mouse scroll function following the selection of the correct data from a pop-up list while the pop-up field is still active (indicated by highlighted background), as this will scroll the list forward or backward changing the selected item and resulting in incorrect data submission. The best solution is to move from the pop-up list by pressing the TAB button, or by clicking on an empty area or another entry field with the mouse, or by saving changes immediately.

EPR uses tables or lists to display several data of the same type (e.g. participants telephone numbers, proposals). To chose a line in a table click on a link, in many cases you may edit selected data by clicking on the pencil-icon and delete by the red “X”. Figures have to be provided in whole numbers, except for the impact factor provided at scientific publications and FTE values, where **the decimal separator is “dot”**.

In the fields for summaries, the work-plan and the detailed research plan, you may only insert texts of limited length. If the number of characters is not correct, the system displays an error message, also indicating the number of extra characters if there is excess.

#### **Checking, finalizing, submission and printing**

While editing, the researcher may confirm certain pages, which can be checked and confirmed under the check-menu.

Possible formal mistakes or deficiencies of the proposal may be revealed and corrected under the Check menu.

The proposal is *finalized* by the researcher, then, following the (optional) approval by the financial manager of the Hungarian (home/host) institution, it shall *be approved* by the head of the institution (or his/her appointee) electronically (proposal status becomes “submitted”), and then the proposal shall be *printed and signed* (by the researchers and managers) sealed and posted.

Should you find any mistakes or deficiencies in the sealed and finalized proposal by submission deadline, than you can request the institution's administrator or OTKA Office staff to restore the editable status of the proposal. Following amendments and corrections, the proposal must be resubmitted electronically, then must be printed and sealed again, and the corrected version has to be sent to the OTKA Office.

If you click the “print” button under the main menu, the print preview is displayed in a pop-up window displaying the page with yellow and black stripes if the proposal is unfinished. If the proposal is submitted electronically, the warning stripes disappear and you may print the proposal. The version number in the top-right corner of the printed version must be identical with the one in the system, otherwise the proposal is ineligible.

## 16. Attachment

### 16.1. Declarations

Results generated by research activities shall constitute the intellectual property of the researcher. You may deviate from the above practice if the research unit employing the researcher does not qualify as an undertaking as set forth by Article 87 (1) of the EC Treaty. In this case the IPR agreement in the form of a declaration – signed by the relevant parties and including justification – must be attached to the proposal. *(The signed English version document shall be uploaded in pdf format among “Other attachments”. The original hard copy of the document must be attached to the printed proposal.)*

The following documents are available for download from the websites of NKTH and OTKA.

#### Declarations:

- Applicant researchers must fill in Appendix titled “**Declaration (applicant researcher)**”. *(To be attached only to the printed proposal in Hungarian or in English.)*
- For proposals under **MB08-A, -B and -C**, Appendix titled “**Declaration of the home/host institution of the applicant researcher**” must be filled in in English. *(The signed English version document shall be uploaded in pdf format among “Other attachments”. The original hard copy of the document must be attached to the printed proposal.)*

- The following must be filled in in English only for calls under **MB08-A**: the “Declaration of the foreign institution hosting the applicant researcher” on hosting the researcher. *(The signed English version document shall be uploaded in pdf format among “Other attachments”. The original hard copy of the document must be attached to the printed proposal.)*
- The applicant researcher must fill in the “**Form for the transparency of subsidies provided from public funds**” in Hungarian or in English. *(This form does not have to be uploaded in the OTKA EPR system as an attachment, but it must be sent to [kozpenz2008@nkth.gov.hu](mailto:kozpenz2008@nkth.gov.hu) . The original hard copy of the document must be attached to the printed proposal. For details, see chapter 12.)*

## 17. Appendices

### 17.1. Declaration (applicant researcher)

*The declaration does not have to be uploaded in the system electronically. Either the Hungarian or the English form has to be filled in and, following signing, has to be attached to the printed proposal and submitted together with it.*

I, the undersigned

.....<name of applicant> .....

(address: .....;

place of birth: .....;

date of birth: .....)

as an annex to my project proposal <name and acronym of project proposal> submitted for funding, I make the following declarations.

1. I certify that data, information and documents communicated in the project proposal are complete and true.
2. I declare that, under the given topic\*
  - I have not submitted any proposal for evaluation.
  - I have submitted a proposal and received funding.  
Name of funder, date of submission:
  - I have submitted a proposal, but did not receive funding.  
Name of funder, date of submission:
3. I declare that I have not started the implementation of the project before submitting the proposal.
4. I declare that the proposal I submit complies with the relevant legislation, and that the project and the activities carried out thereunder comply with environmental provisions.
5. I declare that, for pursuing activities described in the proposal,
  - I have the necessary permits issued by the competent authorities.
  - I have applied for the necessary permits of competent authorities.
  - there is no need for special permits.\*

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\* Underline where appropriate.

6. I take note that I am not entitled to the financial contribution if the payment deadline for my public debts has expired. In this case, according to paragraph (5) Section 92 of Government Decree 217/1998. (XII. 30.), the funding authority shall suspend its payments until public dues are settled, and, according to paragraph (6) Section 13/A of Áht, to make up for my public debts, it shall retain the actual financial contribution - without relieving me from my obligations under the funding contract.

7. In order to make the monitoring of public dues possible – described in paragraph (4) section 13/A of the Act on Public Finances and in paragraph (4) section 92 of Government Decree 217/1998. (XII. 30.) –, I authorize the funding authority and the Hungarian State Treasury to acquire information about possible expired public debts, their settlement and their amount, with the aid of my tax ID.

8. We authorize the monitoring system prevailing at all times, operated by the Hungarian State Treasury, to provide access to its database for those who are eligible under the law, as well as for the State Audit Office, the Government Audit Office and the Ministry of Finance.

9. I am aware that, in the case of successful proposals – according to Government Decree 217/1998. (XII. 30.) – the funder shall publish my name, as well as the title, subject and location of the funded project, as well as the amount of support and the total cost of the project.

10. I declare that I have no expired debts arising from any financial support provided by the subsystems of public finances.

11. I authorize organizations eligible under the law to check the project proposal from a legal perspective and to monitor the use of funds.

12. I declare that

- I have no public dues;
- I have no payment obligations payable to the Research and Technology Innovation Fund (hereinafter referred to as Fund) or to budget provisions specified in Paragraph (2) of Section 16 of Act XC of 2003 on the Research and Technology Innovation Fund (hereinafter referred to as Atv.), overdue by more than 60 days – due to my own default;
- I have not provided false or misleading data in proposals submitted for funding from the Fund, or from budget provisions specified in Paragraph (2) Section 16 of Atv.;
- I have fully complied with my essential obligation under the funding contract concluded on the basis of my proposal submitted for funding from the Fund, or from budget provisions specified in Paragraph (2) Section 16 of Atv, or I have failed to comply with the provisions of the funding contract due to reasons beyond my control;
- I have not been ordered by a decision of the European Commission to reimburse any aid.

13. I take on the obligation that - before the funding contract expires - I shall inform the funder without delay if any of the cases defined under point 12 arise.

14. I authorize the funder to register and handle the data submitted to it within the project proposal. I declare that person(s) whose personal data is communicated in the project proposal

explicitly authorized the funder to register and handle that information according to the application procedures. Furthermore, I declare that the persons concerned explicitly authorized the funder to send their personal data abroad (if necessary) for the professional evaluation of the project and its implementation.

15. I take on the obligation to submit data referred to in Section 2 of Government Decree 160/2001 (IX.12) to the funder in Hungarian and English when signing or modifying the funding contract, as well as at the end of the project for use in the National Research Registration System.

16. I declare that throughout the duration of the project I provide for the security of assets created by using state contribution with due care as set forth by the relevant legal regulations. I note that any financial or other consequences arising from possible damages shall be borne by me.

17. Having understood my criminal liability, I declare that – concerning the tax authorities of the relevant local council having jurisdiction over my residential address or over the venues where the project shall be implemented, and the traditional own resources of the European Union – I have no public dues overdue

- .
- I have public dues overdue which have been relived (deferred or broken up into instalments) by the relevant authority. See certifying document attached.\*

Date:

*signature*

Witnesses:

1.	2.
Signature: .....	Signature: .....
Name, legibly: .....	Name, legibly: .....
Address: .....	Address: .....
ID card number: .....	ID card number: .....

---

\* Underline where appropriate.

## 17.2. ‘Declaration of the Hungarian home/host institutions of the applicant researcher’

*For proposals under HUMAN-MB08-A,- B, -C, only fill in the English version. The signed document has to be uploaded into the electronic system under “Other attachments” in pdf format. The original hard copy of the document must be attached to the printed proposal.*

Name of applicant researcher:

.....  
 Thematic priority **HUMAN-**      **MB08-A**      **MB08-B**      **MB08-C:** (please circle where appropriate)

Title of the proposal submitted under the above priority:

.....  
 Acronym of the proposal: (OTKA) -'xxxxx'

Name and address of the **Hungarian** home/host **institution** of the applicant researcher:

.....  
 Name and position of the contact person of the Hungarian institution:.....

For the proposal under **HUMAN-MB08-A, MB08-B and MB08-C**, our institute undertakes to

- participate in the financial and technical coordination of the project and sign the funding contract as the financial and technical administrator,
- ensure the right of the applicant to make decisions concerning material expenses and costs of instruments and equipment (if possible under the given priority).

Furthermore,

In the case of priorities **HUMAN-MB08-B and MB08-C**, our institution undertakes to:

- host the applicant researcher for project implementation and provide necessary infrastructure, instruments and equipment to the researcher,
- verify the applicant’s project progress reports by the signature of the abovementioned contact person.

Furthermore,

For **HUMAN-MB08-A**, if the project includes a **reintegration phase**, our institution undertakes to:

- reintegrate the applicant for at least a period of ‘zz’ months to implement his/her tasks under the project during the ‘yy’ months of project duration and also provide for the necessary infrastructural conditions,
- verify the applicant’s project progress reports in the reintegration phase by the signature of the abovementioned contact person.

Done at....., on ..... (day) ..... (month) 200 .

.....  
 Authorized signature



<name in capital letters>

L.S.

<name in capital letters>

### 17.3. ‘Declaration of the foreign institution hosting the applicant researcher’

*For proposals under HUMAN-MB08-A– Outgoing mobility*

*Please only fill in the English language version The signed document has to be uploaded into the electronic system under “Other attachments” in pdf format. The original hard copy of the document must be attached to the printed proposal.*

Name of applicant researcher:

.....

Name and address of the Hungarian home institution of the applicant researcher:

.....

Title of the proposal submitted under priority **HUMAN-MB08-A**:

.....

Acronym of the proposal: (OTKA) -’xxxxx’

Name and address of the foreign host institution of the applicant researcher:

.....

Name and position of the contact person of the host institution:.....

.....

In case of successful proposal, we undertake to:

- host the applicant researcher for ‘yy’ months for implementation of the proposed project,
- provide infrastructure, instruments and equipment necessary for project implementation to the researcher,
- verify the applicant’s project progress reports by the signature of the abovementioned contact person.

Done at....., on ..... (day) ..... (month) 200 .

.....

Authorized signature

L.S.

!

## 17.4. Table 1:

FP7 'People' Work Programme

Table 3.3 Correction Coefficients – The EU-25 Member States<sup>26, 27</sup>

Austria	102,2	Estonia	76,5	Hungary	66,5	Luxembourg	100	Slovak Rep.	82,2
Belgium	100,0	Finland	112,0	Ireland	113,3	Malta	97,5	Slovenia	80,8
Cyprus	99,0	France	104,4	Italy	103,9	Netherlands	101,2	Spain	95,5
Czech Republic	77,2	Germany	101,5	Latvia	71,1	Poland	71,6	Sweden	108,9
Denmark	133,5	Greece	90,1	Lithuania	71,2	Portugal	91,4	UK	109,2

  

The non-EU Countries (and Romania and Bulgaria while in transition period for the calculation, and New Caledonia a French overseas territory)											
Albania	82,7	Canada	90,6	Eritrea	49,4	Israel	109,6	Moldova	87,1	Thailand	60,3
Algeria	84,5	Cape Verde	77,4	Ethiopia	85,7	Jamaica	91,3	Morocco	86,8	Togo	92,4
Angola	113,5	Ken African Rep.	120,1	Fiji	71,3	Japan (Naka)	113,7	Mozambique	80,7	Trinidad & Tobago	70,4
Argentina	56,4	Chad	131,2	FYROM	69,7	Japan (Tokyo)	119,9	Namibia	72,8	Tunisia	71,8
Armenia	105,7	Chile	76,6	Gabon	116,6	Jordan	72,3	Nepal	68,8	Turkey	83,7
Australia	99,1	China	63,2	Gambia	55,8	Kazakhstan	125,2	New Caledonia	134,5	Uganda	55,5
Bangladesh	43,7	Colombia	130,4	Georgia	95,1	Kenya	77,8	New Zealand	89,0	Ukraine	104,6
Barbados	125,7	Congo	69,1	Guinea	79,9	Kyrgyzstan	80,3	Nicaragua	60,7	US	100,5
Benin	92,3	Costa Rica	89,4	Ghana	80,6	Laos	71,3	Niger	89,3	Uruguay	72,9
Bolivia	48,4	Côte d'Ivoire	109,4	Guatemala	56,4	Lebanon	90,8	Nigeria	94,7	Vanuatu	114,5
Bosnia & Herzegovina	77,7	Croatia	105,8	Guinea-Bissau	100,7	Lesotho	61,8	Norway	131,7	Venezuela	60,9
Botswana	62,1	Cuba	97,1	Guinea	100,7	Madagascar	72,3	Pakistan	52,2	Vietnam	54,2
Brazil	76,2	Dem Rep Congo	132,4	Guyana	60,6	Malawi	70,4	Papua New Guinea	75,6	West Bank	92,7
Bulgaria	76,4	Djibouti	96,8	Haiti	109,5	Malaysia	74,8	Paraguay	70,8	Yemen	68,2
Burkina Faso	89,7	Dominican Rep.	71,9	Honduras	74,9	Mali	91,2	Peru	78,4	Zambia	69,3
Cambodia	70,4	Ecuador	70,8	Hong Kong	101,3	Mauritania	67,7	Philippines	60,2	Zimbabwe	47,2
Cameroun	110,1	Egypt	51,0	India	45,3	Mauritius	70,7	Romania	62,7		
		El Salvador	86,4	Indonesia	83,9	Mexico	70,2	Russia	120,7		

<sup>26</sup> For the EU-25 Member States based on the Council Regulation No. 1895/2006 of 19 Dec 2006 (OJ L 397, 30.12.2006) page 6, adjusting the weightings applicable to the remuneration of officials of the European Communities. For the other countries (and the most recent two EU Member States in transition) it is based on Council Regulation (EC) No. 453/2007 of 25 April 2007 laying down the weightings applicable from 1 July 2006 to the remuneration of officials of the European Communities. Please note that the basis of the calculation of the two sets of coefficients differ in detail.

<sup>27</sup> For countries where the correction coefficient is not available (not indicated in the table, (e.g. Montenegro for which a survey is under way in the 2<sup>nd</sup> half of 2007), the Commission will decide on a case by case basis. For countries where there are multiple entries, but none of them exactly match the location of the fellowship, then the lowest coefficient for that country will be applied. For Iceland the rate of Norway apply