

Introduction

You are a newly appointed administrative officer of the EU department within the “University of trial and error” based in Germany and you’re in charge of ERC Grants. Every day you assist the Principal Investigators (PI) in the legal and financial management of their grants. In addition, you have to submit the requested documents required for the preparation of a grant agreement following the success of a proposal 987654 BeyondtheHorizon submitted by the PI Dr Karl Schulz (01/04/1966; Germany).

Following the invitation letter sent by the ERCEA, you are preparing the requested documents:

- The Description of Action (DoA, Annex I)
- The statement of changes
- The draft Supplementary agreement (SA)
- The Budget table (Annex II)

The documents have been prepared by the EU department of your institution and you have to review them before sending them to the ERCEA services. Unfortunately, from experience you know that these documents may be incorrect.

Step 1 (25 minutes): Your task is to identify these issues, identify any errors, explain them and propose a solution.

Step 2 (25 minutes): We will discuss the issues and the solutions you proposed and provide some feedback and clear guidance on this.

Details on the Host Institution and Principal Investigator

This case study would be based on a practical example: The proposal 987654 BeyondtheHorizon has been accepted. Please note this case is a fictive case.

60 months project; ERC contribution €1 971 431.00

Host institution (HI): “University of trial and error” based in Germany, public entity

PI: Dr. Karl Schulz, (01/04/1966; German)

No ethical review required

Project invited on 01/10/2016; PI commitment in proposal 80 %

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ERC Advanced Grant 2016

**Annex 1 to the Grant Agreement
(Description of the Action)
Part B**

Action Acronym: BeyondtheHorizon

Action number: 987654

Action Title: Beyond the current science Horizon

Principal Investigator: Dr Karl Schulz

Host Institution: University of trial and error

Additional Beneficiaries (if applicable): Not Applicable

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1. Curriculum vitae – Funding ID

PERSONAL INFORMATION

Family name, First name: Schulz Karl

Nationality: German

Date of birth: 01.04.1966

- **EDUCATION**

- **CURRENT POSITION(S)**

Since October 2009: Professor in Economics and Head of Department at INSTITUTE OF ECONOMY (25 Birmingham Square, Oxford UK)

- **PREVIOUS POSITIONS**

- **FELLOWSHIPS AND AWARDS**

- **SUPERVISION OF GRADUATE STUDENTS AND POSTDOCTORAL FELLOWS**

- **TEACHING ACTIVITIES**

- **ORGANISATION OF SCIENTIFIC MEETINGS**

- **INSTITUTIONAL RESPONSIBILITIES**

- **COMMISSIONS OF TRUST**

- **MEMBERSHIPS OF SCIENTIFIC SOCIETIES**

- **MAJOR COLLABORATIONS**

Appendix: All ongoing and submitted grants and funding of the PI (Funding ID)

On-going Grants

There is no financial overlap between the listed projects and the project brightfuture.

<i>Project Title</i>	<i>Funding source</i>	<i>Amount (Euros)</i>	<i>Period</i>	<i>Role of the PI</i>	<i>Relation to current ERC proposal</i>
Space Opera	ERC-StG-2010	€1.490.000	01 September 2011 – 31 March 2017	PI	Closely linked There is no request for an extension of this project
Master of chaos	New Age Foundation	€300.000	01 December 2013- 30 November 2016	Co-applicant	Linked as potential data generator.

2. Early achievements track-record

Publications

Chapters in books

Invited lectures

Organizing of international conferences

Research Expeditions

3. State-of-the-art and objectives

Introduction

General Objective:

Specific Objectives:

Ground-breaking, innovative character of the project and impact

4. Methodology

Task 1

Task 2

Task 3

Task 4

Dissemination of the knowledge

Feasibility and risk assessment:

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High risk/High gain

Reference List

5. Resources (including project costs)

Resources and Estimated budget for the action

The action will start on 01/02/2017

Personnel costs

Management of the project and the role of team members

Table 1. Main research team members, tasks, workload, funding

Team members	Tasks	Y1	Y2	Y 3	Y 4	Y 5	ERC *
		%	%	%	%	%	
K. Schulz,	Overall scientific supervision and administrative management	60	60	60	60	60	x
Adm 1, UOTAE	Administration of the project	20	20	20	20	20	x
J. Brown, Oxford University	Task 2	10	10	10	20	20	x
Post-doc 1, UOTAE	Task 1	100	100	100	100	100	x
Post-doc 2, UOTAE	Task 2	50	50	50	50	50	x
Post-doc 3, UOTAE	Task 3	75	75	75	75	75	
3 PhD students, UOTAE	Collaboration in tasks 1,2 and 3	80	80	80	80		x

Y= Year; * ERC funding required

PI

The PI will devote 60% of his time to the BeyondtheHorizon action over the 5-year period of the grant and will work at the HI's premises.

The PI will be responsible for the coordination and administration of the whole project. His salary costs corresponding to the working time he will dedicate to the action will be charged to the project.

Total estimated costs: €360.000.

Senior Staff

Dr James Brown from the University of Oxford will collaborate in the implementation of Task 2. He will dedicate to the action 14% of his working time; he will work in his lab at the University of Oxford.

The HI will reimburse the University of Oxford for the actual salary costs of Dr Brown corresponding to the working time he will dedicate to the action. No other costs incurred by the University of Oxford are budgeted nor will be charged to the BeyondtheHorizon action.

Total estimated costs: €84.000

Post-docs and PhD Students

3 Post-docs and 3 PhD students will be recruited by the HI and will be involved in the implementation of tasks 1, 2 and 3 of the action:

- Post-doc 1, full-time commitment to the project. He/she will be involved in Task 1
- Post-doc 2, 50% working time commitment, Task 2

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- Post-doc 3, 75% working time commitment, Task 3. His/her salary will be covered by the HI, no contribution will be requested from the ERC.

The PhD students will collaborate in the implementation of tasks 1, 2 and 3 with 80% working-time commitment each during the first 4 years of the project.

Total estimated costs for Post-docs: €360.000 (salary costs of Post-doc 3 are not included in this amount)

Total estimated costs for PhD Students: €230.400.

Other – Administrative assistant

An administrative assistant will support the PI for the general management of the work and his team.

Total estimated costs: €30.000

Travel - total estimated costs €49.000

All the researchers involved in the project will be active in attending international workshops and conferences to deliver talks and to visit research partners for international cooperation on the topics of the project.

Some of the workshops would be held before the starting date of the project but are necessary for it (€2.000).

External collaborators collaboration is very important to keep alive the international network mentioned in the proposal with fruitful and periodic exchanges and updates, being the project quite wide. This amount includes the costs of invited scientists even if some of these external collaborators are not linked to the project but may help the PI in future research (€4.000).

Travel costs further include a training regarding the management of EU projects for the administrative assistant (€2.000).

Equipment - total estimated costs €122.500

Equipment: 12 cluster nodes and equipment devices.

Equipment is budgeted according the usual accounting practice of the host institution and depreciated over 36 months and used exclusively for the project.

The costs include the purchase of tablets/smartphones for the PI and the PhDs because they are needed for the project (€2.500)

Other goods and services – total estimated costs €260.745.

Consumables

Consumables include components for setting up and maintaining the experiments, for example substrates/targets for sample preparation and optical components like broadband THz wire-grid polarizers (0.3 to 30 THz) and nonlinear optical crystals for THz generation and optical parametric amplifiers which shall be used for the ERC project, but also for other EU actions

Some components might be purchased from other departments. The costs of these purchases have an internal overhead rate of 7% for ERC projects (a rate of 21% is applied for other funding sources). The estimated internal overhead amount is €1.000.

All prices are including VAT.

Dissemination

One workshop on economic theory and environmental policy will be organised for the action and will aim at ensuring that the methodological approach of the project is at the frontier of economic theory. Top theorists will be invited to the conference. The estimated cost of the workshop is €5.000.

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A second conference will be an information conference, not linked directly to the project but necessary for networking and to invite potential partners for possible future collaborations (estimated costs of the second conference: €5.000)

Subcontracting - total estimated costs €136.000

In order to disseminate the action results a web-site will be created and maintained for the project. The HI has a framework contract with an external IT company which this contract will be assigned to. The estimated cost of the contract is €20.000.

Task 4 was originally to be done internally. To ameliorate the time frame for completing it task 4 will be outsourced to the specialised company “Milestone”. “Milestone” is the sole service provider in this research area and therefore is it not possible for any other company to offer the requested service.

The estimated cost for the contract is €111.000

The estimated costs for the Certificate on the Financial Statements is €5.000

In kind contributions not used on premises

none