

# EMDESK Project and Work Management Solutions.

We will start in a few minutes ...

FOCUS ON RESEARCH. DRIVE INNOVATION.







# EXPERT INSIGHTS

Decoding Horizon Europe lump sum model – Expert Insights

MAY 8, 2024 11:00 - 12:00 (+30 MIN Q&A)



# **Kimberly ALBEÑO**

Client Relationship Specialist at EMDESK

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- twitter.com/emdeskpm

Researchers are crucial in today's world and I want to do my part to help them.







# **Krisztina TOTH**

Senior Trainer and Consultant at @Europamedia and Director of Corporate Affairs at EMG Group Plc.

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In this webinar Krisztina Tóth, senior trainer and consultant at Europa Media, will explain the details of the lump sum model.

This webinar is presented by EMDESK in cooperation with Europa Media.



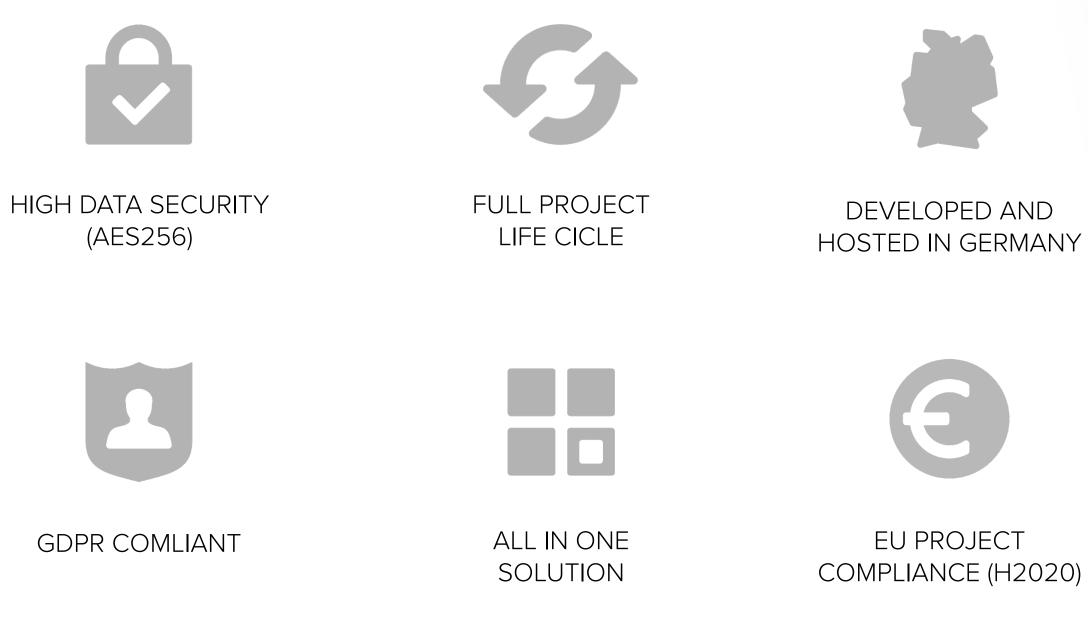
Today's Topics:

- Introduction to key features of the lump sum model
- Budget planning and work package design practices
- Suggestions on lump sum implementations



EMDESK is a project and work management solution for research and innovation projects.

It helps large teams across organisations to organise and collaborate in EU funded projects while keeping maximum control and transparency.





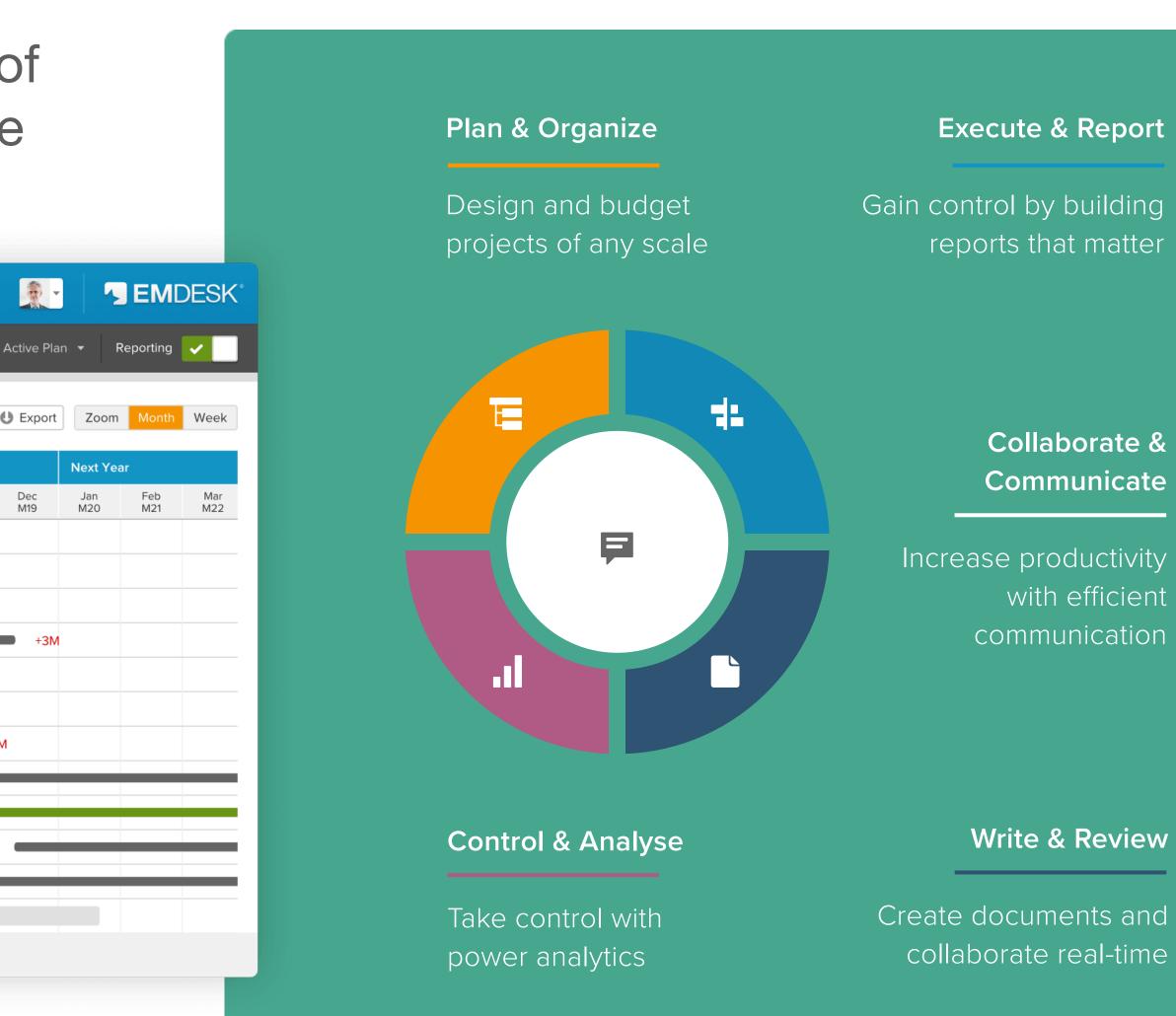
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An all-in-one solution for the entire lifecycle of projects of any scale and complexity with the flexibility to customise to specific needs.

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**EMDESK** - From planning, controlling, reporting, and collaboration. One stop solution you need to work more efficiently with others in real-time.

- Leading project and work management solution for H2020 projects
- Our customers report an increase in efficiency of more than 30%
- Trusted by 28.000+ users in 4.000+ projects worldwide since 2008
- from small to billion Euro projects involving 150+ organisations (like EU flagships HBP and Graphene)



Combining a personal service with flexibility and solution-oriented thinking, EMDESK is a highly reliable solution that helps us to manage and monitor all our project activities efficiently."

Dr. Katarina Boustedt Head of Administration of the EU FET Graphene Flagship at Chalmers University of Technology



# 28000 +

### users

# 4000 +projects

Users report an average efficiency gain of **30%** 

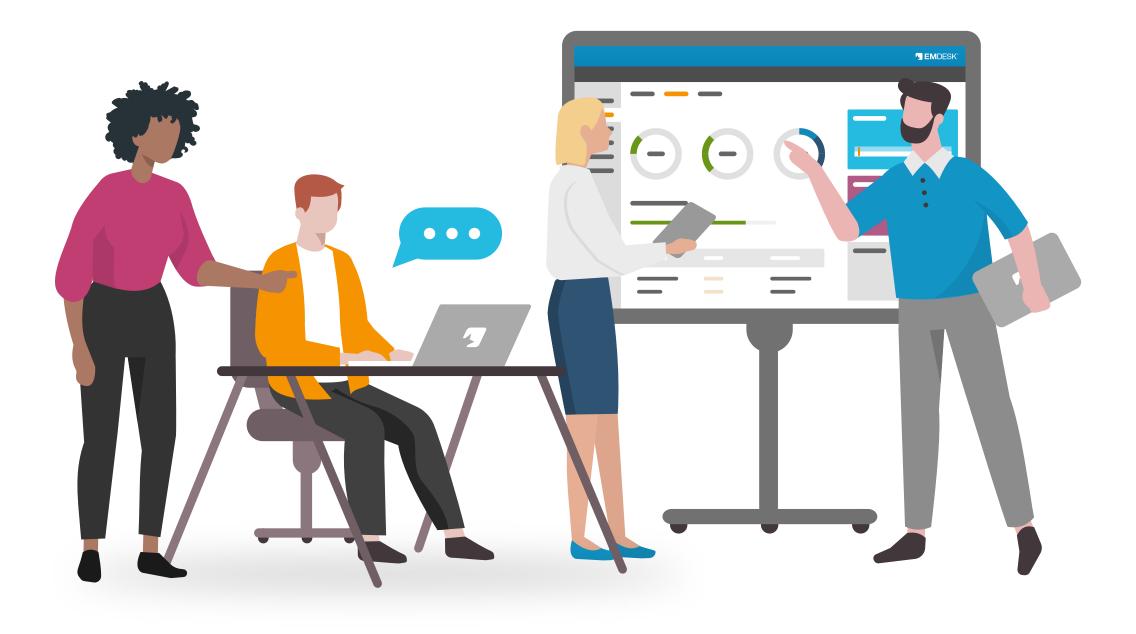
### 89%

found EMDESK helpful in overcoming the challenges they usually face

### 95% Of those using EMDESK would use it again



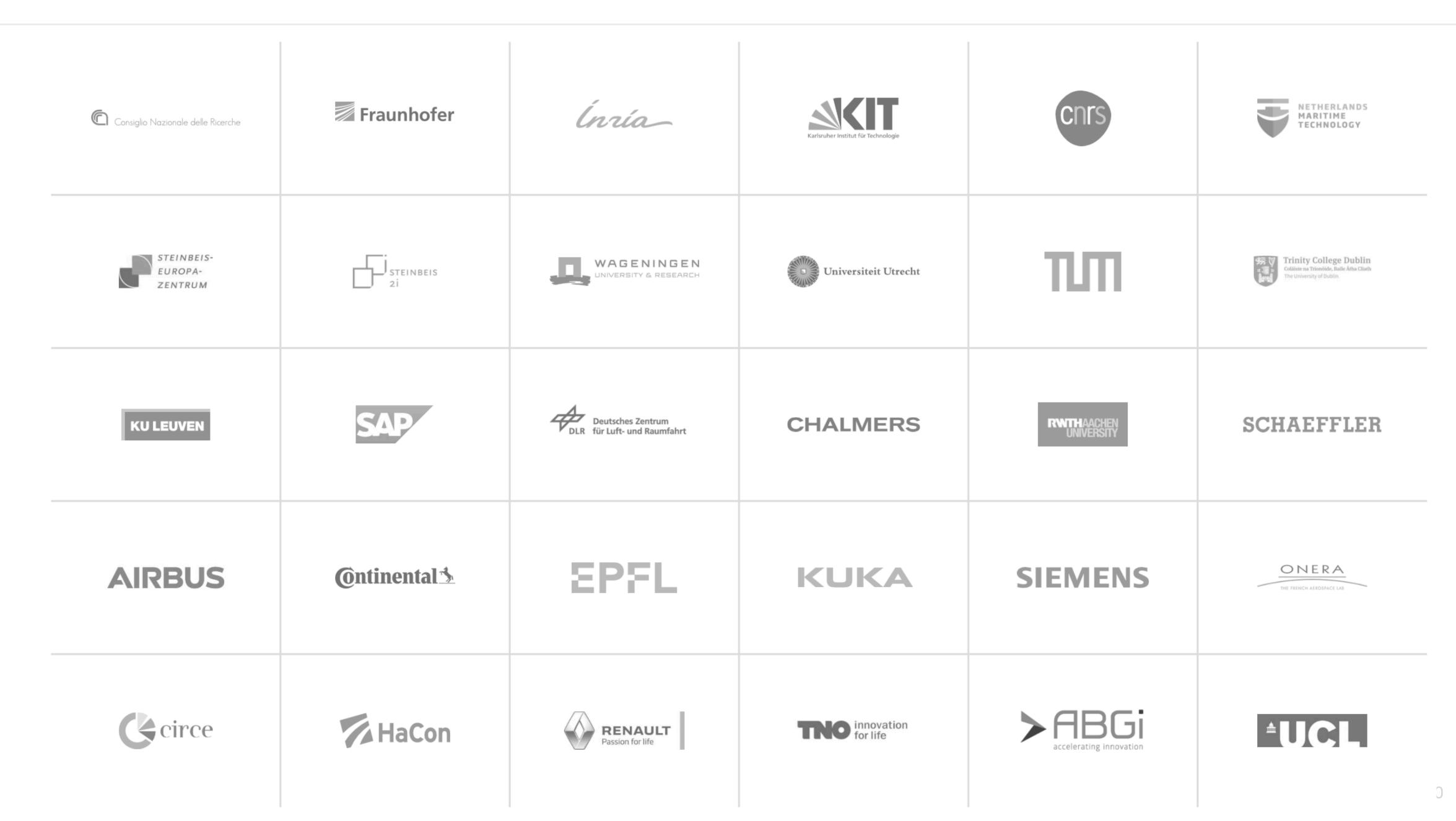
# **EMDESK** is ready for Lump Sum Projects



EMDESK is designed to support consortia and managing teams in the timely delivery of work packages while maintaining a full project overview.

- ✓ Structured planning
- ✓ Budget tracking
- ✓ Financial oversight
- ✓ Unified collaboration
- ✓ Outcome-based execution
- ✓ Meet deadlines
- ✓ Adaptive tools

## TRUSTED BY EUROPE'S TOP RESEARCH ORGANISATIONS









# TRAININGS

in collaboration with





## **Decoding Horizon Europe lump sum model**

Krisztina Toth Managing Director, Europa Media Trainings Ltd. (EMG Group)



Expert Insights 8 May 2024

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### **Krisztina Toth**

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TRAININGS

**INNOVATIONS** 







# What is lump sum?



# Lump sum basics

### Good to know

- Lump sum funding was tested in a pilot under Horizon 2020.
- Lump sum was designed to make the programme easier and simpler - especially for small organisations and newcomers - by removing the need to report actual costs
- The pilot was assessed in two independent studies
- Lump sum funding was slowly introduced in the 2022 Work Programme
- The first significant wave of lump sum topics were in the 2023-2024 Work Programmes
- ERC Advanced Grants awarded following the 2024 call will use lump sum.
- Improved guidance, templates to clarify how lump sum funding works



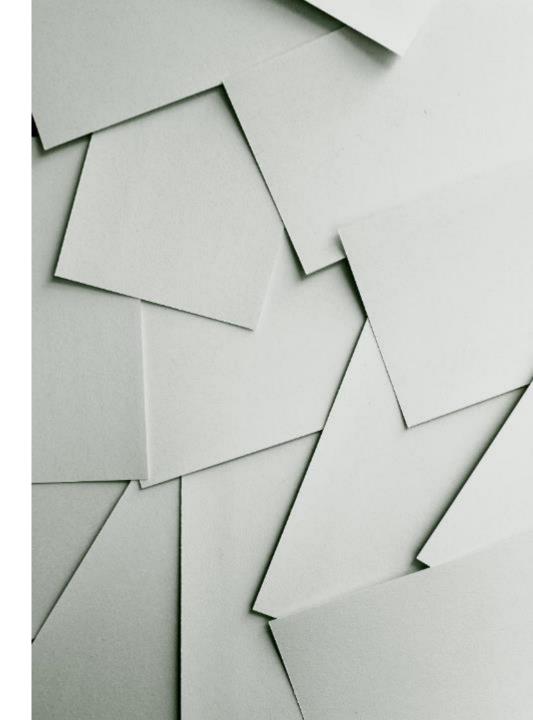
# **Major concerns**

## Is lumps sum the right instrument?

• Higher financial risk (true or not?);

**TRAININGS** 

- Possible negative side effects (fewer newcomers, less ambitious proposals) (true or not?);
- Work packages must be aligned with the reporting periods (true or not?);
- Less flexibility in grant management (true or not?);
- Lump sum payments depend on a successful outcome (true or not?);
- Partially completed lump sum work packages will not be paid (true or not?);
- Misuse of the Horizon dashboard for lump sum evaluations (true or not?).



# **EARTO Recommendations 2024 January**



EARTO Recommendations regarding the Evaluation & Pre-contractual Negotiations of Lump-sums EU Funded RD&I Projects

8 January 2024

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TRAININGS

EARTO members are very active participants in the EU RD&I Frameworks Programmes (FPs), especially in complex and large collaborative applied RD&I projects. In this context, <u>EARTO Feedback on EARTO Members'</u> <u>Experiences with Lump-Sums Projects within Horizon Europe</u> addressed wider issues related to lump-sums funding within Horizon Europe. With the recent announcements and discussions pointing to the possible extension of the use of this funding principle, EARTO members wish to alert the EU Institutions on worrying trends and signals regarding the evaluation and pre-contractual negotiations of lump-sums EU-funded RD&I projects. Indeed, with many newly selected projects using the lump-sums funding scheme under Horizon Europe, EARTO members have now proper feedback on their granting process and the issues that are rising.

https://www.earto.eu/wp-content/uploads/EARTO-Position-Paper-on-Lump-Sums-Dashboard-8-January-2024-Final.pdf



# **Lump sum funding in Horizon Europe** Where to find more information?

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Horizon dashboard for lump sum evaluations [2]					table			
Helps experts ensure that lump sum budgets are reasonable								





# Lump sum proposal tips



# **Proposal templates for LS grants**

Part A and Part B

### Part A - Declarations

10) For Lump Sum Grants with a detailed budget table: We understand and accept that the EU lump sum grants must be reliable proxies for the actual costs of a project and confirm that the detailed budget for the proposal has been established in accordance with our usual cost accounting practices and in compliance with the basic eligibility conditions for EU actual cost grants (see <u>AGA - Annotated Grant Agreement, art 6</u>) and exclude costs that are ineligible under the Programme. Purchases and subcontracting costs must be done taking into account best value for money and must be free of conflict of interest. \*

EMDESK'

 $\times$ 

**TRAININGS** 

### Part B – Implementation

**3.1** Work plan and resources [e.g. 14 pages (19 pages for topics using lump sum funding) – including tables]

RIA/IA  $\rightarrow$  Total page limit: 50 pages

3.1 Work plan and resources [e.g. 10 pages (13 pages for topics using lump sum funding) – including tables] CSA → Total page limit: 33 pages



### **Tips for Part B** Proposal

- Higher number of **WPs** (split but don't artificially modify)
- More **details** on the division of responsibilities among partners within WPs and tasks
- Less complex **work plan** with fewer interdependencies
- Different/tailored **project management** structure (consider under section 3.2: Consortium as a whole)
- Deliverable/milestone schedules to be aligned and cross-checked
- More **precise wording** of tasks, deliverables, milestones
- Cross-check the figures in the Excel and Part B for consistency

TRAININGS

# **Budgeting at the proposal phase**

- The budget is important primarily for you
- The **detailed lump sum budget** estimation will help in the implementation
- Evaluators will assess the budget (unlike in actual cost grants) both quantitatively (€) and qualitatively (resources)
- Need to demonstrate a **stronger link** between implementation and budget

TRAININGS

EMDESK

• More time needed for budget preparation



# **Detailed budget table**

	•	в	C	D			E			
	A	Horizon Europe Progra	amme	U			L			
		Detailed lump sum budget		Generate the Excel file in macro-free format Ready for the online submission system						
			Instructions							
,		Go to Beneficiaries and Affiliated Entities list	! Double click buttons !	Go to Work p	ackages list					
9	GENERAL INSTRUCTIONS	This workbook enables you to present the detailed e package. It must be uploaded as an additional docu the proposal submission will be blocked. You <b>must not change the structure</b> of this workbook Comprehensive guidance and background on <u>lump</u> s the guide <u>Lump sum funding – what do I need to kno</u> We recommend using Excel 2013 (Windows) / Excel	ad the Excel workbook,	Lump sum funding under Horizon Europe						
0	The only currency used in this workbook is EURO. You <b>must complete</b> the following sheets: 'BE list' – 'WP list' – 'BE' (one sheet for each beneficiary) – 'Depreciation costs' (if any). The appropriate number of individual beneficiary sheets ('BEx') will be generated automatically with data from the 'BE list' and 'WP list' sheets. The information in this workbook <b>must correspond</b> to the main proposal. For example, the list of beneficiaries and affiliated entities and the list of work packages must be the same. Likewise, the tables in section 3.1 of Part B of the proposal must be in line with the budget presented here (e.g., table 3.1h 'purchase costs', and table 3.1i 'internally invoiced goods and services').									
	In the 'BE list', add the beneficiaries and affiliated entities. They must be the same as in the main proposal and listed in the same order. To add beneficiaries, click on the "Add AE" button. To add an affiliated entity, click on the "Add AE" button next to the beneficiary concerned. The detailed lump sum budget table covers exclusively those participants that receive EU funding. Associated partners do not complete it. For each beneficiary and each affiliated entity, you must select the country and the appropriate funding rate in the drop-down menus. The funding rates are used in the automatic calculation of the lump sum breakdown. For RIA and CSA topics, the funding rate is always 100%. For IA topics, the funding rate is 70% (exceptionally 60%),									
<	$\rightarrow$	Instructions BE list WP list	Lump sum breakdown Person-months overview Su	Immary per WP BE1	Depreciation costs	Any comments	Change Log	+		

### Download the detailed LS budget template here:

https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/how-to-participate/reference-documents;programCode=HORIZON

### SEMDESK ETT TRAININGS

- Read the instructions carefully
- Table to be filled in per beneficiary, providing a breakdown of all applicable cost categories per WP
- "Units" are defined only for personnel costs → person-month (PM)

•

- PM rates should be specified per staff category
- Estimated costs must follow the eligibility rules
- Costs must be realistic, value for money, and needed for implementation
- Additional details can be provided in the last tab "Any comments"

BE	NEFICIA	ARY CAI	CULATION SHEET			
	summary			BENE	FICIARY 1: EL	uropa Media
			COST CATEGORY	UNITS	COST PER UNIT	BE TOTAL COSTS
			COSTS WORK PACKAGE 1: Project Management and Coordin	ation	-	-
A. D	IRECT PERSO	ONNEL COST	rs			
A.1	Employees (	or equivale	nt)			
	SENIOR S	CIENTISTS (	or equivalent in the private sector)	3.00	7500.00	22,500.00
	JUNIOR S	CIENTISTS (	or equivalent in the private sector)	2.00	4500.00	9,000.00
	TECHNIC	AL PERSON	VEL (or equivalent in the private sector)			0.00
	ADMINIS	TRATIVE PE	RSONNEL (or equivalent in the private sector)			0.00
	OTHERS					0.00
A.2	Natural Per	sons under	direct contract			0.00
A.3	Seconded P	ersons				0.00
A.4	SME owners	and natura	al person beneficiaries		3,657.60	0.00
B. D	IRECT SUBCO	ONTRACTIN	G COSTS			
						0.00
C. D	IRECT PURCH	HASE COSTS				
C.1	Fravel and s	ubsistence		4.00	1050.00	4,200.00
C.2	Equipment (	complete 'D	Depreciation costs' sheet)			
	Equipme	nt				0.00
	Infrastru	cture				0.00
	Other as	sets				0.00
C.3 (	Other goods	, works and	services			
	Consuma					0.00
		for meeting		1.00	3000.00	3,000.00
		-	ation activities (including website)			0.00
	Publicati	-				0.00
	Other (s	hipment, ins	urance, translation, etc.)			0.00
			Any comments			
nr	BE ref	WP ref	Comments			
1	1	1	Room rent and catering services for the 1st progress meeting	<b>-</b>		
-	-			<b>—</b> [`		
2	1	1	Travel cost unit rate for 1 person/2-night trip to project meeting/review meetings (4			
		ļ	units in total)			

SEMDESK' ETT TRAININGS

# **Potential problems**

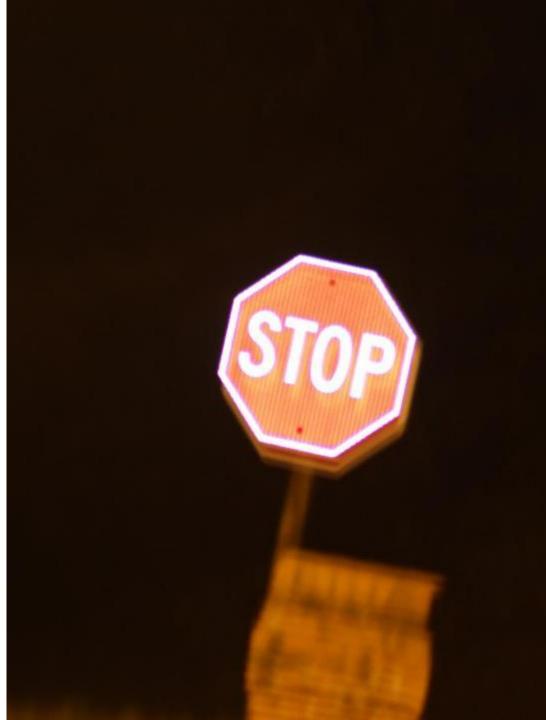
Proposal

EMDESK

- Overinflated budget (abnormal PM rate, excessive cost items)
- Unjustified budget (poor/missing explanation in Part B / Comments)
- Unclear responsibilities

TRAININGS

- WP descriptions not allowing to identify completion
- Domino effect due to failure in WPs (nonperforming partners or technical issues)







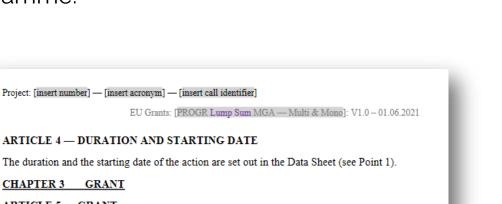
# Lump sum project management tips



# **Grant Agreement**

Lump Sum grants

- Specific applicable rules are highlighted in purple •
- Text in grey indicates that text which is used in other EU programmes is not applicable for this programme.



### ARTICLE 5 - GRANT Form of grant 5.1

CHAPTER 3 GRANT

The grant is an action grant<sup>12</sup> which takes the form of a lump sum grant for the completion of work packages.

### 5.2 Maximum grant amount

The maximum grant amount is set out in the Data Sheet (see Point 3) and in the estimated budget (Annex 2).

[OPTION for programmes with contingency reserve: [OPTION if selected for the call: The maximum grant amount can be raised at the end of the action, by activating the contingency reserve set out in the Data Sheet (see Point 3).//

5.3 Funding rate

Not applicable





### [insert programme name (acronym)]

### Model Grant Agreement

Lump Sum Grants

(PROGR Lump Sum MGA— Multi & Mono))

Version 2.0 01 March 2023

Disclaimer

This document is aimed at assisting applicants. It shows the full range of provisions that may be applied to this type of agreement, and is provided for information purposes only. The legally binding agreement will be that which is signed by the parties in the system.

# **Lump Sum GAP**

Modification requests...

### **Lump Sum distribution**

- Evaluators will check whether the resources proposed and split of lump sum shares are reasonable
- If needed, they can make **recommendations on changes to the detailed budget table**, therefore the lump sum amount and the lump sum breakdown will be modified during the GA preparation
- Evaluators can also recommend to decrease the lump sum amount for a WP and/or a beneficiary OR to reallocate lump sum shares among WPs and/or beneficiaries

### Further breakdown of Work Packages

• Further breakdown of horizontal WPs during the GA preparation is possible, but it requires prior agreement with your PO

**Please note:** Following the recommendations of the evaluators, the requested grant amount might be decreased, however the requested grant amount can not be increased!



## **DESCA 2.0** LS editions

### **Consortium Agreement**

February 2024

https://www.descaagreement.eu/assets/helmholtz\_gemeinschaft/user\_upload/Brussels\_Office/D ESCA/20240206\_DESCA\_HorizonEurope\_v.2.0\_with\_elucidations.pdf

- Step by step more lump sum projects in Horizon Europe up to 50 % by 2027
- High demand for a Consortium Agreement by Stakeholders
- So far there is limited experience with the whole lifecycle and especially the final reporting of the lump sum projects.
- So far information on how not completed work packaged will be dealt with at the end of the project is limited and the Commission did not publish an official version of the Annotated Grant Agreement yet.





# **Reporting obligations**

of the lump sum projects

### **Continuous reporting**

• As it is in any other Horizon Europe grants

### Internal technical reporting - optional

• Based on the CA linked to the monitoring system

### **Periodic reporting**

Consist of Technical report and Status of Work Packages <u>Process:</u>

- Consortium will prepare a detailed Technical report.
- The coordinator declares work packages as Completed or Not Completed. This should be justified by the periodic technical report. Partially completed – possible only at the last reporting period.
- The project officer will assess the technical report and the status for each work packages declared
- There is no reporting of actual costs or of resources.



# **Periodic report module**

Action grants vs Lump sum grants

### **Technical part**

- Part A (structured information entered through the continuous reporting module)
  - Project summary
  - Deliverables, milestones, risks, etc.
  - Answers to the impact questionnaire
- **Part B** (narrative part submitted in a PDF through the **periodic reporting** module)
  - Explanation of the work carried out by the beneficiaries and overview of progress
  - Explanations on deviations from DoA

### **Financial part**



Report generated automatically based on the information entered through the **periodic reporting** module.

Activated at the end of reporting periods

Must be submitted within 60 days following the end of each reporting period

# **Assessment of the WPs by the PO**

**Completed vs. Partially completed** 

- The PO will assess the technical report and the status of work packages
- For each work package declared, the PO will assess and choose between 'completed' and 'not completed'.
- At the final report, the project officer can also choose 'partially completed' and enter the percentage of completion.
- The PO will reject a WP when a significant or essential part of the work has not been completed, and this deviation from the work plan is not justified or not acceptable.
- If the PO intends to reject a work package, you will have the opportunity to react to the observations of the PO.
- In this case, the PO will either send you a request for additional information or reject the technical report and ask you to justify the completion of the work package(s).



# **Payments in Lump sum projects**

Almost the same, except...

### **Pre-financing**

- One pre-financing, distrubuted by the Coordinator based on the CA
- 5% Mutual Insurance Mechanism contribution will be deducted from the prefinancing

### Interim payment(s)

- One or more, depending on the duration of the project and reporting periods
- EC will pay the LS shares, defined in your lump sum budget for the WPs completed and approved by the PO in the reporting period.
- There is no possibility for interim payment of partially completed WPs
- If the WP is rejected, the lump sum share concerned will not paid at that interim payment. In this case, you should complete the work package and declare it again at the end of any subsequent reporting period.

### Payment of the balance

- Partial payment for partially completed work packages possible if it is not possible to complete a work package by the end of the project due to technical reasons or force majeure.
- If you declare a work package incomplete at the end of the project due to other reasons, the work package may be rejected in full.
- Payment of the balance from the EC and the amount retained for the Mutual Insurance Mechanism



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### Take away! For your next lump sum proposal

LS budget preparation requires significant time!

Coordinator should invest more time in supporting partners!

Perfomance and progress monitoring measures in the CA

Act fast if something needs to be changed!

Focus is on the completion of the work packages!







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