



REGIC

Red de Entidades Gestoras
de Investigación Clínica

Jornadas Anuales REGIC 2024

Taller 3: LUMP SUM in Horizon Europe (HEU)

Compartiendo experiencias:
cómo abordamos los retos en la
preparación y gestión
de estos proyectos

GT Intercambio de Experiencias y
Buenas Prácticas en Proyectos
Internacionales (Focus en Horizon
Europe 2024)

Grupo de trabajo:

Intercambio de experiencias y buenas prácticas en proyectos internacionales
(Focus en Horizon Europe)

Integrantes 2024:



Marianne Köck



Mireia Giménez



Laia Lagunas



Chus García



Inés Soro

Próximas sesiones:

- Terceras Partes en proyectos HEU (Third Parties) ► 29/11/2024 de 10:00-11:30 (IGTP y VHIR)
- Programa EIC (Pilar 3) ► TBC
- Programa EU4Health ► TBC

Taller: Lump sum en HORIZON EUROPE

Objetivos: Compartir experiencias entre gestores, sobre los retos más importantes en la preparación (pre) y gestión (post) de proyectos lump sum.

Dinámica:

- Breve resumen de las principales singularidades de los proyectos Lump Sum
- Actividad grupal: discutir en grupos de 4-5 personas, sobre el correcto proceder a la hora de llevar a cabo acciones propias de este tipo de proyecto (uso de la plataforma SLIDO), con la participación de nuestra invitada, Elena Chavarría, Project manager del VHIO, y gestora coordinadora de un proyecto Lump Sum.
- Mesa redonda: Con Elena Chavarría y asistentes, sobre algunos puntos de difícil decisión.

Invitada:



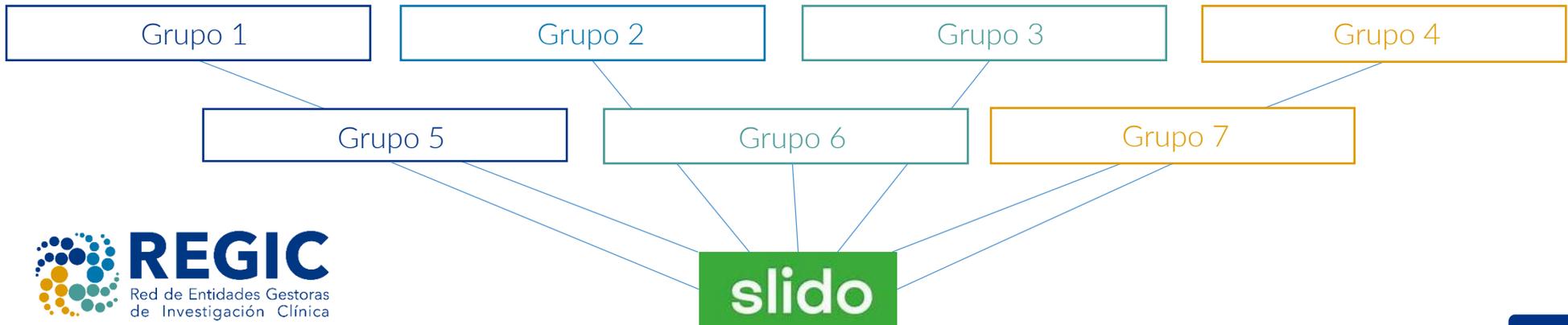
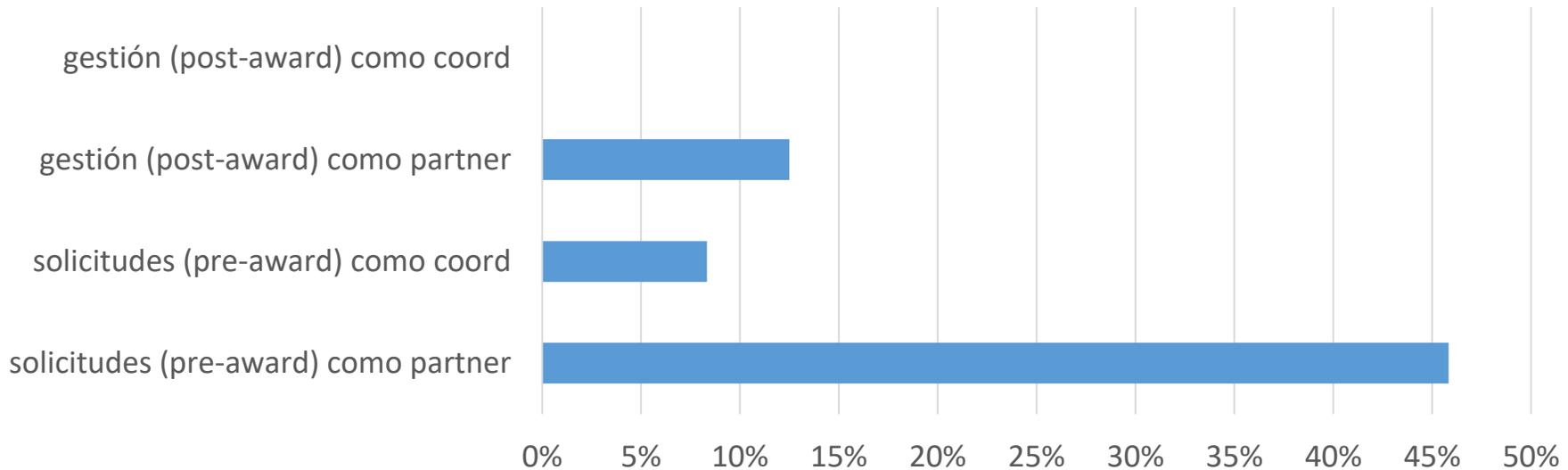
Elena Chavarría
Project
Manager



Encuesta:

El objetivo era conocer el área de conocimiento sobre Lump Sum de los asistentes, para que en todos los grupos del taller hubiera gente familiarizada con la temática.

24 de los 30 inscritos respondieron la encuesta





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Breve resumen de las
principales singularidades de
los proyectos Lump Sum

Why do we use lump sum funding?

Horizon Europe uses lump sum funding to reduce administration and financial errors.

Significant simplification potential

- Despite all simplification, funding based on reimbursement of incurred costs remains complex and error-prone
- Lump sum project funding removes all obligations on actual cost reporting and financial ex-post audits – i.e. a major reduction of administrative burden
- Access to the programme becomes easier, especially for small organisations and newcomers

Focus on content

- Less focus on financial management, and more focus on the scientific-technical content of projects

- Use the standard Horizon Europe proposal template. Address expected impacts and outcomes as in any Horizon proposal.
- No change in project design, except that work packages with a long duration may be split along the reporting periods. In this way, the relevant activities can be paid at the end of the reporting period.
- You need to provide a detailed breakdown of cost estimates to define and justify the lump sum. The estimates must be an approximation of your actual costs and meet the eligibility criteria of Horizon Europe. These cost details are needed to plan the budget of any proposal, even when they are not part of the proposal.
- The additional effort to include this information in a lump sum proposal should therefore be limited.

Administrative forms (Part A)

Edit forms View history Print preview

Part B and Annexes

In this section you may upload the technical annex of the proposal (in PDF format only) and any other requested attachments.

Part B Upload

Annex – Detailed budget table Upload

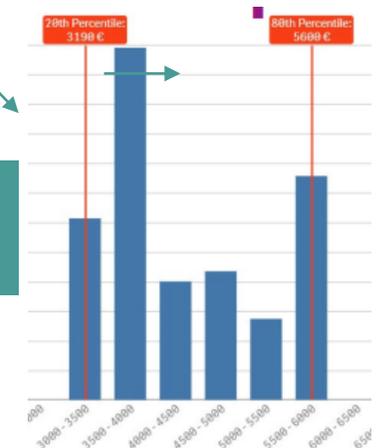
[← BACK TO PARTICIPANTS LIST](#) [VALIDATE](#) [SUBMIT](#)

Beneficiary: BE3 - BUDGET SHEET View Summary

COST CATEGORY	SME 1		
	ITEMS	COST PER ITEM	BE TOTAL COSTS
COSTS WORK PACKAGE 1: WP1 name			
A. DIRECT PERSONNEL COSTS			
A.1 Employees (or equivalent)			
SENIOR SCIENTISTS (or equivalent in the private sector)	5.0	7000	35000.00
JUNIOR SCIENTISTS (or equivalent in the private sector)	10.0	4900	49000.00
TECHNICAL PERSONNEL (or equivalent in the private sector)	5.0	5300	26500.00
ADMINISTRATIVE PERSONNEL (or equivalent in the private sector)			0.00
OTHERS			0.00
A.2 Natural Persons under direct contract			
A.3 Seconded Persons			0.00
A.4 SME owners and natural person beneficiaries		4798	0.00
B. DIRECT SUBCONTRACTING COSTS			
C. DIRECT PURCHASE COSTS			
C.1 Travel and subsistence	5.0	1500	7500.00
C.2 Equipment (complete 'Depreciation costs' sheet)			
Equipment	2.0	3000	6000.00
Infrastructure			0.00
Other assets			0.00
C.3 Other goods, works and services			
Consumables	1.0	7500	7500.00
Services for meetings, seminars			0.00
Services for dissemination activities (including website)			0.00
Publication fees			0.00
Other (shipment, insurance, translation, etc.)			0.00
D. OTHER COST CATEGORIES			
D.1 Financial support to third parties (if applicable in the topic specific conditions)			
D.2 Internally invoiced goods and services			0.00
D.3 Transnational access to research infrastructure unit costs (if mentioned as eligible in the topic specific conditions)			0.00
D.4 Virtual access to research infrastructure unit costs (if mentioned as eligible in the topic specific conditions)			0.00
D.5 PCP/PPI procurement costs (if mentioned as eligible in the topic specific conditions)			0.00
TOTAL DIRECT PERSONNEL COSTS AND PURCHASE COSTS (A+C)			111500.00
Instructions BE list WP list Lump sum breakdown Person-months overview Summary per WP			BE1 BE2 BE4 BE5 BE6

- We apply the standard evaluation criteria (excellence, impact, and implementation). The cost estimations are assessed against the proposed activities under the 'implementation' criterion. This ensures the estimates are reasonable and non-excessive. If the evaluation experts find overestimated costs, this is recorded transparently in the Evaluation Summary Report. We will reflected this in a modified lump sum amount in the grant agreement.
- Once the lump sum amount is finalised after evaluation, the detailed cost estimates are no longer relevant. This information is used to generate automatically a simple breakdown of lump sum shares per work package and per participant.
- If your lump sum proposal is selected for funding, we follow the standard process to prepare the grant agreement. The 'no negotiation' principle applies. The overall lump sum is fixed in the grant agreement. The breakdown of lump sum shares (but not the cost estimates) is also included in the grant agreement.
- Once the lump sum is fixed in the grant agreement, it will not be questioned in case prices for goods or services change later on.

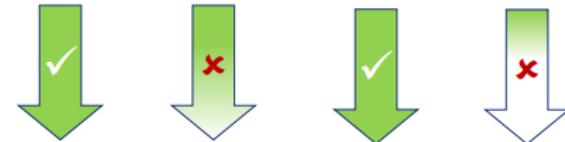
Horizon dashboard for lump sum





- Payments follow the standard schedule (i.e., a pre-financing and payments at the end of each reporting period).
- You have full flexibility on how the lump sum is used. Do not report actual costs and resources.
- At the end of a reporting period, declare which work packages have been completed (yes or not). The technical report should justify this. The financial cost statements are generated automatically on this basis.
- At the final reporting period, it is possible to declare Partially Completed work packages, and to enter the percentage of completion.

	WP1	WP2	WP3	WP4	WP5
Beneficiary A	250.000			50.000	300.000
Beneficiary B		250.000	350.000	50.000	
Beneficiary C	100.000	100.000		50.000	
Beneficiary D		120.000		50.000	
Total	350.000	470.000	350.000	200.000	300.000



$$\text{Payment} = 350\,000 + 0 + 350\,000 + 0 = 700\,000 \text{ €}$$

Status of Completion	Completion %
Partially Completed	60.00
Completed	100.00
Partially Completed	50.00
Not Completed	0.00
Not Completed	0.00

- The grant agreement can be amended to change the work plan, including all work packages that have not been completed and paid already.
- Lump sum work packages are accepted and paid if their activities have been carried out, irrespective of a positive or negative outcome.
- If a work package cannot be completed for scientific-technical reasons, you should introduce an amendment to make it feasible, including the possibility to extend the project duration
- As there is no financial reporting, there are no financial checks or audits. We do not impose any obligation to keep financial records in lump sum grants.
- Controls can focus on the proper implementation of the work plan (of the activities) and on any non-financial obligation.
- You do not need any additional information or documentation for lump sum grants.

You need (e.g.)

- Technical documents
- Publications, prototypes, deliverables
- Documentation required by good research practices such as lab books
- ...any document proving that the work was done as detailed in Annex 1

Same as for all Horizon Europe grants

You don't need*

- Time-sheets
- Pay-slips or contracts
- Depreciation policy
- Invoices
- ...any document proving the actual costs incurred

*You still need to comply with financial record keeping obligations outside the grant agreement, if any (e.g., under national law or internal procedures)



Actividad grupal

GRUPOS DE TRABAJO

Grupo 1

Ainhoa	González Muñoz	FUNDESALUD
Ariane	Becerra Castro	I3PT
Carlos	Arias	FIB HG Marañón
Declan	de la Fuente O'Sullivan	SANT PAU
Sandra	Fernández Morodo	IGTP

Grupo 2

Anna	Aguilar Aguilar	I3PT
Meritxell	Canals Dueñas	IGTP
Montse	Domingo Sàbat	ASPHALION
Regina	Rubira Lizarraga	SANT PAU

Grupo 3

Beatriz	Gallego Gómez	F. Hosp Nac Parapléji
ESTIBALIZ	LÓPEZ DE ABECHUCO	IIS BIOARABA
Laia	Lagunas	IJC
Rosa	Gómez Gálvez	FIMABIS

Grupo 4

Cristina	Marcos Atxutegi	IBSAL
Francisco	Matarin Ucles	FIB HG Marañón
Ivan	Belzunce Guillermo	IGTP
Mikel	Rubio	Navarrabiomed
Olaya	Espina Díaz	FINBA

Grupo 5

Esther	Aguilar	IDIBGI
Joaquín	Bonelli Blasco	IRBLLLEIDA
JORGE	MARIN VIDONDO	IdiSNA
Marianne	Köck	IGTP

Grupo 6

Alessia	Squitieri	SANT PAU
Belén	Mañogil	FISABIO
CHUS	GARCÍA GALÁN	IJC
Marta	TERESA FERNÁNDEZ	IIS ARAGON

Grupo 7

Carles Andreu	Blasco Peris	ISABIAL
Mireia	Giménez Barcons	IGTP
Sergio	Cervero Benedí	IIS ARAGON
Sophie	Monteau	FISEVI



Los asistentes tendrán 60min para discutir sobre el correcto proceder a la hora de llevar a cabo acciones propias de los proyectos LUMP SUM.



1 - La co-dependencia financiera entre partners es mayor en los proyectos LUMP SUM

VERDADERO



FALSO



DEPENDE



2 - La participación de instituciones grandes ofrece menos riesgos en este tipo de proyectos

VERDADERO



FALSO

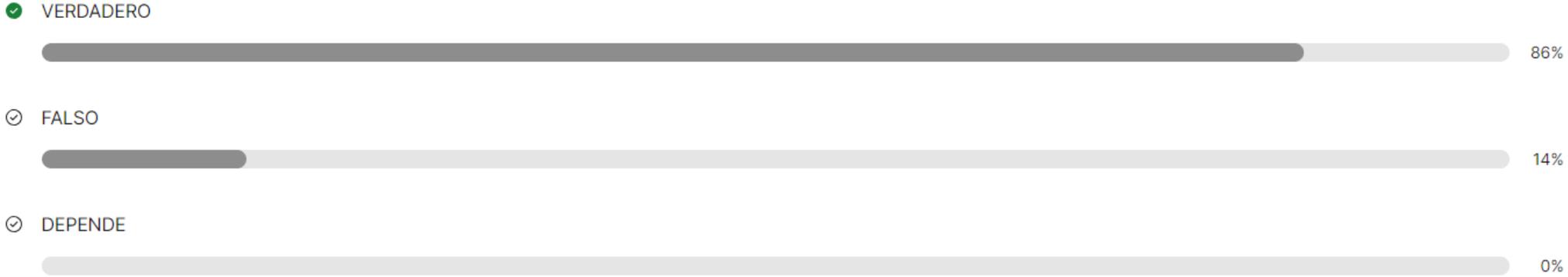


DEPENDE

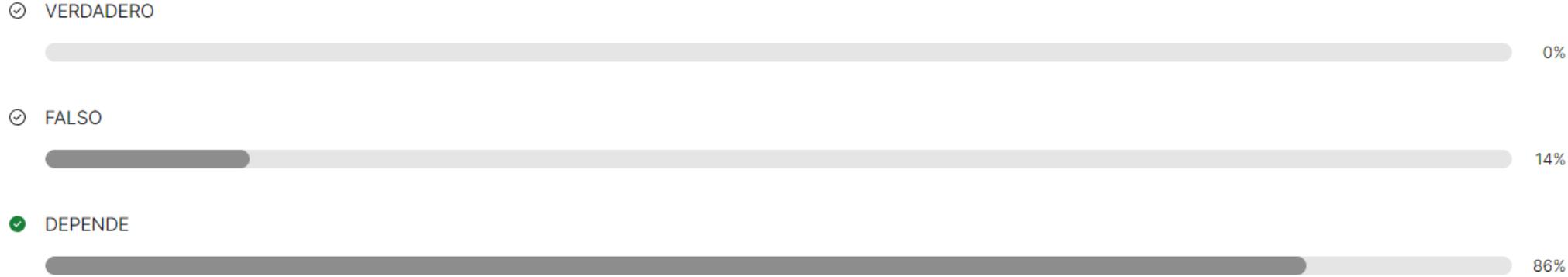




3 - La elegibilidad de los costes en proyectos lump sum y proyectos "actual costs" son los mismos.

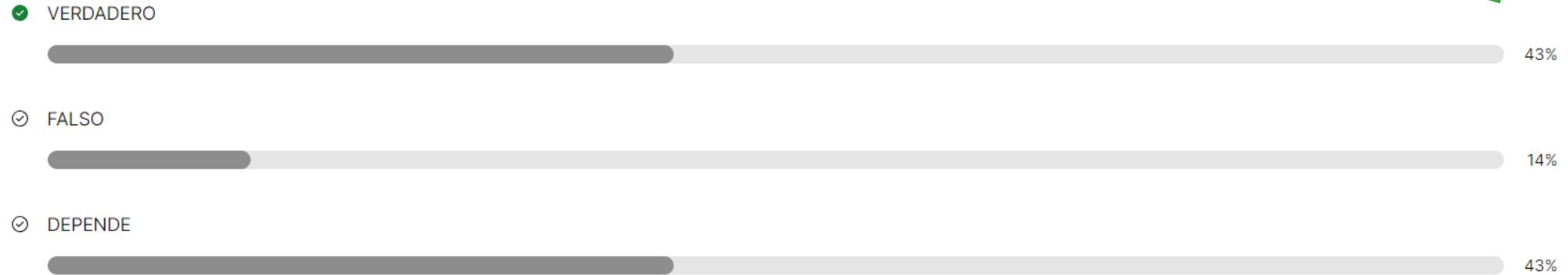


4 - Mientras más WPs, mejor!

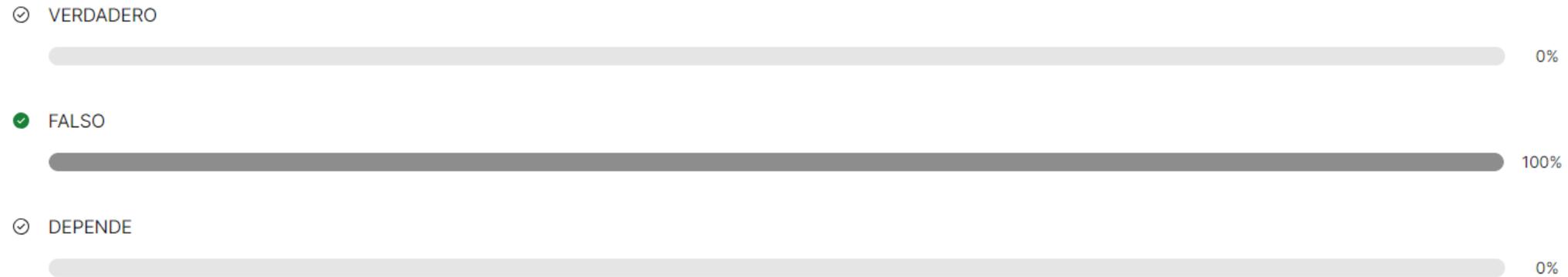




5 - Cuanto más detalladas las tareas, mejor!



6 - Los WPs deben acabarse junto con los reporting periods





7 - Dentro de un mismo WP, el número de tasks, deliverables y milestones deben ser los mismos

- VERDADERO 0%
- FALSO 100%
- DEPENDE 0%

8 - Las tareas deben estar descritas de la forma más objetiva posible

- VERDADERO 100%
- FALSO 0%
- DEPENDE 0%



9 - El presupuesto debe ser más detallado y no necesita estar en línea con la actividad científica

VERDADERO 0%

FALSO 100%

DEPENDE 0%

10 - Las tasks referentes a MGT y DISS, pueden ser por reporting period

VERDADERO 100%

FALSO 0%

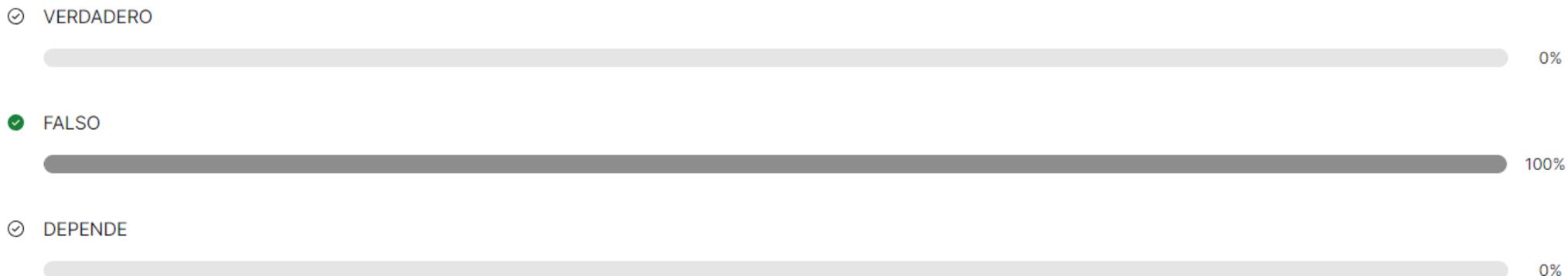
DEPENDE 0%



11 - Una vez el proyecto concedido, el PO no puede reducirme el budget



12 - Si he presupuestado poco dinero para travel, hay que hacer un amendment para aumentarlo.





13 - El DESCA model es el único modelo de CA que se puede usar

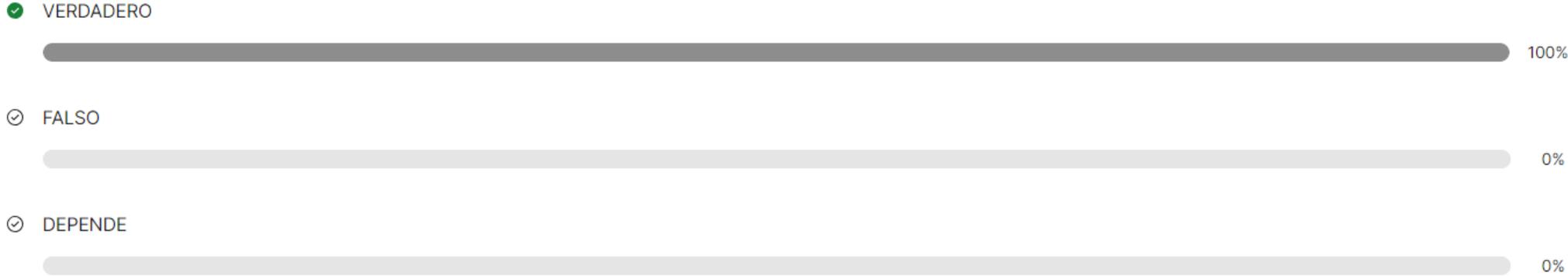
- VERDADERO 0%
- FALSO 100%
- DEPENDE 0%

14 - No hay pre-financing en LUMP SUM

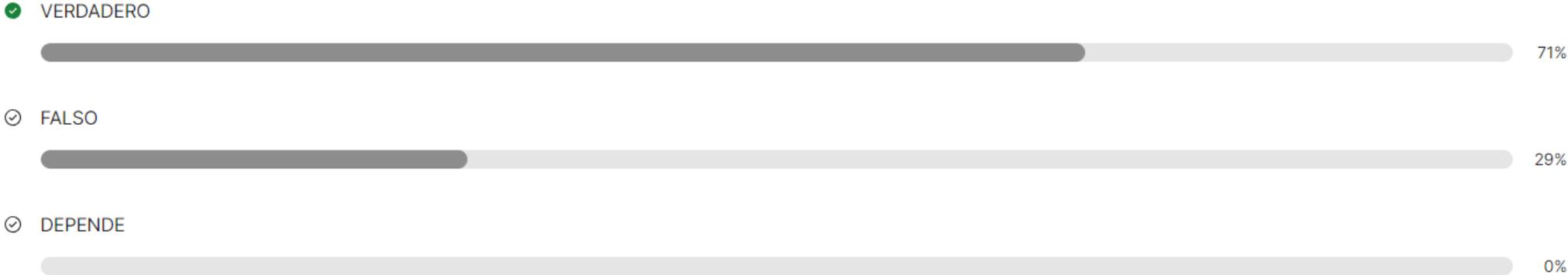
- VERDADERO 0%
- FALSO 100%
- DEPENDE 0%



15 - Tanto el coordinador como los WP líderes deben controlar la ejecución de las tareas

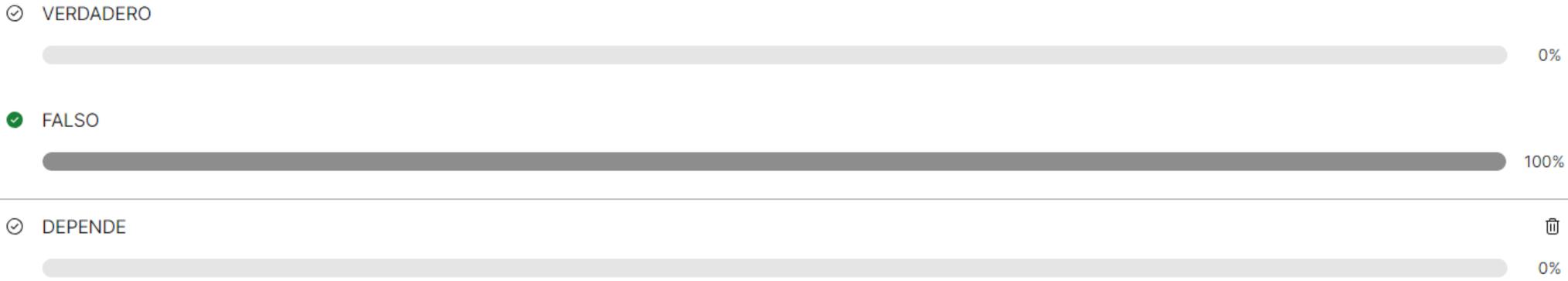


16 - El lump sum share de un WP se pagará íntegro si se ha completado, aunque un partner no haya realizado su tarea predefinida.

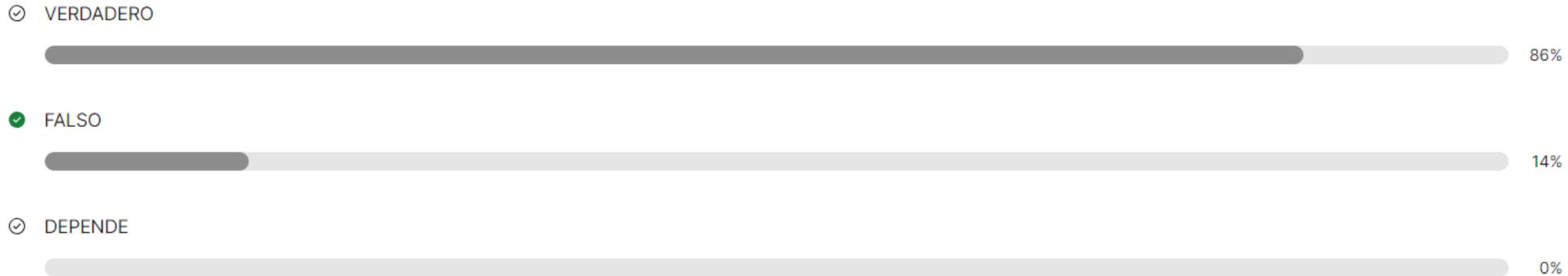




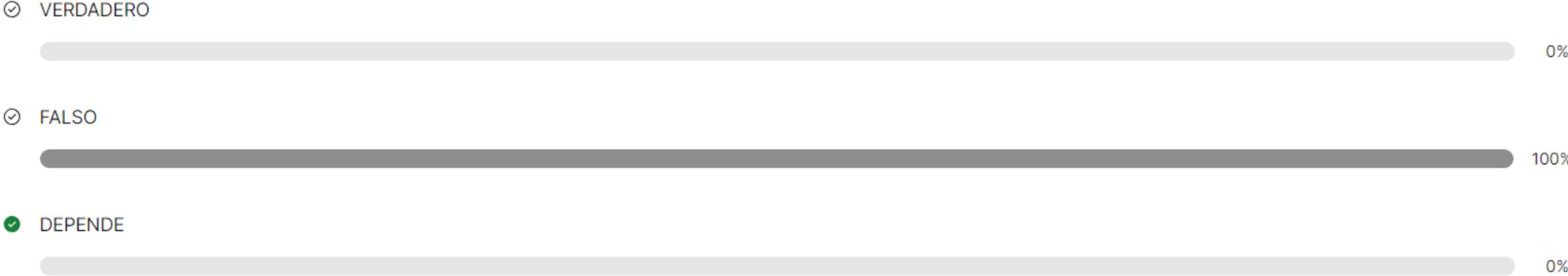
17 - Los pagos dependen del éxito de los objetivos alcanzados



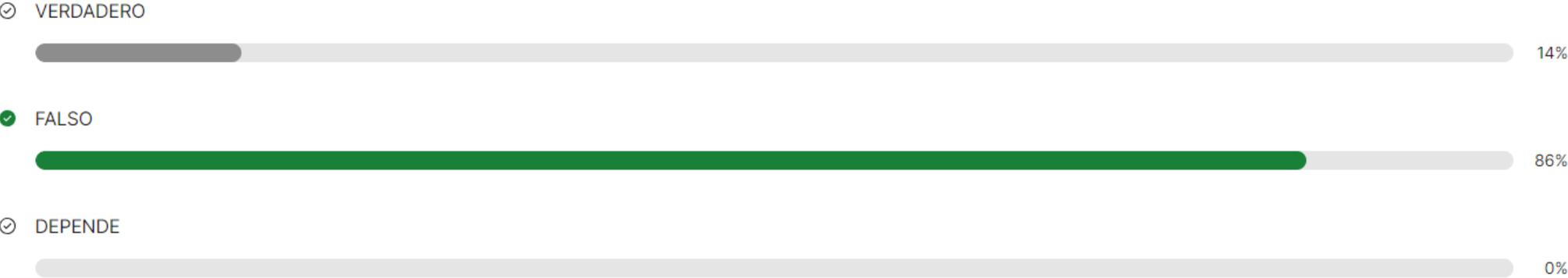
18 - Existe el technical report pero no el financial statement



19 - La CE no me pedirá facturas, así que no necesito guardar registro de nada



20 - El coord no puede reportar una tarea como 50% acabada.





Mesa redonda

Excel para el budget Lump Sum:
amigo o enemigo?

El uso de timesheets:
vale la pena mantenerlos?

Control financiero interno:
separación de presupuesto por WP?

Documentos técnicos:
a qué punto de control debemos llegar?



» Gracias por su atención

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