



EM TRAININGS



Europa Media Trainings

Lump sum vs. Actual cost reporting in Horizon Europe

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11-13 December 2023

Vienna, Austria

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Reporting

Continuous and Periodic Reporting

Reporting obligations

of the lump sum projects

Continuous reporting

As is in any other Horizon Europe grant

Periodic reporting

Consists of **Technical report** and **Status of Work Packages**

Process:

- 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 of each work package declared
- There is **no reporting of actual costs or of resources**.



Periodic report module

Budget-based 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 of deviations from the DoA

Financial part

- **Financial statements** (individual and consolidated)
- Explanation of **in-kind** contributions and information on **in-kind** contributions
- **Certificate of financial statements** (CFS), which is generated when the financial year is reached and submitted as PDF

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

Periodic reporting module

Functionalities

- At the end of each reporting period, each beneficiary will receive a notification to complete:
- Their contribution to the **Technical Part** (this is common for all beneficiaries in the project)
- Their contribution to the **Status of Work Packages** (this is common for all beneficiaries in the project)
- They can see the read-only **Status of Work Packages** and the **Periodic Report composition** task, which need to be completed by the Coordinator.



The screenshot displays the 'RESEARCH & INNOVATION Grant Management Services' interface. The header includes the European Commission logo and the user 'Generic DEVUSERCOORDINATOR'. A 'Launch new interaction with the EU' button is visible in the top right.

MY PROJECT sidebar (left):

- Call: InnovFund-SSC-2020
- Type of Action: InnovFund-LS
- Acronym: 237556 SURDULLI - SURDU Liviu-Iulian [ABAC: ABACBUDT]
- Current Phase: Grant Management
- Number: 237556
- Duration: 12 months
- GA based on the: INNOVFUND Lump Sum MGA - Multi & Mono - 1.null
- Start Date: 01 Apr 2022
- Estimated Project Cost: €0.00
- Requested EU Contribution: €50.00
- Contact: Anelco_SALS]

Periodic Reporting and Payment - Lump Sums (top right):

- REP-237556-1 - period 01/03/2021 > 28/02/2022
- Timeline: 01 Mar 2022 (Draft) → Submitted → Observations → Paid
- Tasks:
 - Technical Part contribution (locking...)
 - Status of Work Packages contribution (Lock & Include)
 - Periodic Report composition (Submit to EU)
- Process documents, Process communications, Process history

Continuous Reporting (bottom right):

- 237556 - 237556 SURDULLI - SURDU Liviu-Iulian [ABAC: ABACBUDT]
- Timeline: 01 Mar 2022 (Started) → Completed
- Task: Continuous reporting data
- Process documents, Process communications

Status of the Work Packages

Periodic reporting

Grant Management Project Periodic Report ndevgen (EXTERNAL) ?

237556 (237556 SURDULI ...) InnovFun... Status Of WP

Period No: 1 Duration (months): 12
Reporting Period : [01 Mar 2021 - 28 Feb 2022]

SAVE

Number	Title	Lead Beneficiary	Status of Completion	Completion %
WP1	wp1	AST GmbH	Partially Completed	60.00
WP2	wp2	AAA	Completed	100.00
WP3	wp3	AST GmbH	Partially Completed	50.00
WP4	wp4	AAA	Not Completed	0.00
WP5	wp5	AST GmbH	Not Completed	0.00

Validate

- The Coordinator declares the status of the work packages as **Completed** or **Not Completed**
- An incomplete work package can be completed and paid in any of the subsequent reporting period.
- **Partially Completed** status with **% of completion** can only be used at the final reporting period

Declaring WPs as complete

Completed vs. Partially completed

Completed WP

- Based on the complete delivery of the foreseen activities and not on successful outcomes!
- While a work package can normally only be declared as completed when all the work has been carried out as described, it can also be declared as completed if some elements are missing, as long as:
 - All essential tasks have been completed, and/or
 - Equivalent tasks have been carried out, and/or
 - When deviations have been duly justified.

Deviations compared to GA

- If the deviation happened because of technical reasons:
 - You can report the deviation in the Section 5 of the technical report. If duly justified, the deviation can be accepted with the technical report.
 - Alternatively, you can introduce an amendment to address the situation, with the aim of making the completion of the WP feasible



Declaring WPs as complete

Completed vs. Partially completed

Partially completed WP

- At the end of the last reporting period, you have the possibility to declare a work package as **partially completed**.
- In this case, you need to **indicate a percentage of completion**.
- You should declare WP as partially completed **if essential parts have not been carried out and not been replaced with equivalent work**.
- This needs to be **explained and justified** in the final technical report.
- The percentage of completion declared should correspond to the share of activities described in the grant agreement that have been carried out.



Technical report

Periodic reporting

- You must use the standard technical periodic report template available directly in the Grant Management System.
- The technical report should detail who did what (at the level of the participating organisations, not at the level of individual staff), indicating the contributions from beneficiaries, affiliated entities, associated partners, and subcontractors.
- The technical report should focus on the completion of work packages, in particular, when you declare a WP as completed, the report must explain and justify this.
- In the last reporting period, when you declare a WP partially completed, report must explain and justify.

Horizon Europe Technical Report

Table of content

1. EXPLANATION OF THE WORK CARRIED OUT AND OVERVIEW OF THE PROGRESS

1.1 Objectives

1.2 Explanation of the work carried out per WP

1.3 Impact

2. FOLLOW-UP OF RECOMMENDATIONS AND COMMENTS FROM PREVIOUS REVIEW(S) (IF APPLICABLE)

3. EXPLOITATION PRIMARILY IN NON-ASSOCIATED THIRD COUNTRIES (IF APPLICABLE)

4. OPEN SCIENCE

5. DEVIATIONS FROM ANNEX 1 (IF APPLICABLE)

Financial statement

Consolidated statement for the consortium

- The **Locking & Including** of the Status of Work packages by the Coordinator will generate automatically the consolidated financial statement for all beneficiaries
- Financial Statement is **created based on the completed work packages** (at the final reporting, partially completed work packages as well) and the **corresponding lump sum shares**.
- Notification will be sent to the Coordinator that the Financial Statement is ready to be signed.

Launch new interaction with the EU +

01 Mar 2022

Periodic Reporting and Payment - Lump Sums
REP-237556-1 - period
01/03/2021 > 28/02/2022

Draft Submitted Observations Paid

+ Status of Work Packages contribution **Lock & Include**

+ Periodic Report composition **Coordinator C**

Submit to EU

Process documents

Process communications

Process history

11 Jul 2022

Periodic Reporting and Payment - Lump Sums
REP-245724-1 - period
11/04/2021 > 10/07/2022

Draft Submitted Observations Paid

+ Financial Part TELIA [PIC 922460301] **Lock for review**

+ Periodic Report composition **Submit to EU**

Process documents

Process communications

Process history

Financial statement

Consolidated statement for the consortium

- The financial statements of non-Coordinator beneficiaries are included in the financial statement of the Coordinator. Therefore, if a user clicks on a partner (other than the Coordinator) the following warning message will be displayed: "Being this a Lump Sum Grant, the information is to be checked in the Coordinator's FS".

- Coordinator signs the consolidated financial statement on behalf of the consortium

Grant Management | Project Periodic Report | nptestel (EXTERNAL)

245724 (245724 SURDULI ...) ERASMUS-LS | Beneficiary 1: TELIA
 Legal Name: TELIA FINLAND OYJ | Status: VALIDATED
 PIC: 922460301 | Legal Address: TEOLLISUUSKATU 15 000 , 421 00 , Trikala Greece

Period No: 1 | Duration (months): 15 | Reporting Period: [11 Apr 2021 - 10 Jul 2022]

Financial Statement

Activity	Amount	Total
▼ WP1		
1-TELIA FINLAND OYJ	5.00 €	10.00 €
2-DIACHEIRISI APOVLITON FOTISTIKON ILEKTRIKO	4.00 €	0.00 €
3-PROMOCIO ECONOMICA DE SABADELL SL-PES	10.00 €	0.00 €
TOTAL WP1	19.00 €	100.00
▼ WP2		
1-TELIA FINLAND OYJ	5.00 €	2.80 €
2-DIACHEIRISI APOVLITON FOTISTIKON ILEKTRIKO	4.00 €	0.00 €
3-PROMOCIO ECONOMICA DE SABADELL SL-PES	4.00 €	0.00 €
TOTAL WP2	13.00 €	70.00
▼ WP3		
1-TELIA FINLAND OYJ	10.00 €	6.00 €
2-DIACHEIRISI APOVLITON FOTISTIKON ILEKTRIKO	2.00 €	0.00 €
3-PROMOCIO ECONOMICA DE SABADELL SL-PES	6.00 €	0.00 €
TOTAL WP3	18.00 €	100.00
TOTAL	50.00 €	18.80 €

Validate

Grant Management | Project Periodic Report | nptestel (EXTERNAL)

220021057 (220021057 SURDU...)ESF-LS | Project Summary | Deliverables | Milestones | Critical Risks | Disseminati... | Events and Trainings | Communic... | Tech.Report (Part B) | Financial Statements | Status Of WP | Financial support to 3rd parties

Period No: 1 | Duration (months): 24 | Reporting Period: [01 Jan 2016 - 31 Dec 2017]

Partners Financial Report

Number	Role	Short Name	Legal Name	Country	PIC	Status
▼ 1	CO	AST GmbH	AST ADVANCED SPACE TECHNOLOGIES GMBH	DE	97376467	Draft
1	AE					
2	BEN					
3	BEN	short_951414122	FUNDACION PRIVADA INSTITUTO DE SALUD GLOBAL BARC	ES	951414122	Included in the Coordinator's FS

Being this a Lump Sum Grant, the information is to be checked in the Coordinator's FS

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

Payments in Lump sum projects

Almost the same, except...

Interim payment(s)

- One or more, depending on the duration of the project and the number of periods set in your GA
- EC will pay the shares of the lump sum, defined in your lump sum budget for the work packages completed and approved by the PO in the reporting period.
- There is no possibility for interim payment of partially completed work packages.
- If the WP is rejected, the lump sum share concerned will not be 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



Keeping records

Keeping records

You need vs. You don't need, however.....

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 documents proving the actual costs incurred

What if?

- The lump sum project is not your only project
- You have both a running budget-based grant and a lump sum project and what if one of them is H2020 and the other one is Horizon Europe?
- What if you have colleagues who are working on both a lump sum project and a budget-based grant?

Good questions, right?

Source: EC slides: Lump Sum Funding in Horizon Europe: How does it work? How to write a proposal? (9 February 2023)



QUESTIONS?

Thank
you

for your attention

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