



Europa Media Trainings

Lump sum reporting in Horizon Europe

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Horizon Europe Academy
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Grant Agreement preparation

Things to keep in mind!

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.

Project: [insert number] — [insert acronym] — [insert call identifier]

EU Grants: [PROGR Lump Sum MGA — Multi & Mono]: V1.0 — 01.06.2021

ARTICLE 4 — DURATION AND STARTING DATE

The duration and the starting date of the action are set out in the Data Sheet (see Point 1).

CHAPTER 3 — GRANT

ARTICLE 5 — GRANT

5.1 Form of grant

The grant is an action grant¹² 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!*



Evolution of your LS budget

From the detailed budget table to LS budget in Part A

Horizon Europe Programme
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 packages list

GENERAL INSTRUCTIONS

This workbook enables you to present the detailed estimation of costs of your lump sum project and to calculate the lump sum breakdown per beneficiary and per work package. It must be uploaded as an additional document at the 'Proposal forms' step of proposal submission. This is mandatory. If you do not upload the Excel workbook, the proposal submission will be blocked.

Comprehensive guidance and background on lump sum funding under Horizon Europe is available on the Funding & Tenders Portal. To get started, we recommend to read the guide [Lump sum funding – what do I need to know](#). This includes details on how to complete this Excel workbook. The weblinks are provided in column E.

We recommend using Excel 2013 (Windows) / Excel 2016 (Mac OS) or more recent.

The only currency used in this workbook is EURO (€).

You **must complete** the following sheets: 'BE list' – 'WP list' – 'BEX' (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 **must correspond** to the main proposal. For example, the list of beneficiaries 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 this workbook (e.g., table 3.1h 'purchase costs', and table 3.1i 'internally invoiced goods and services').

In the **'BE list'**, you can add as many beneficiaries and as many affiliated entities as you need. To add beneficiaries, click on the "Add BE" button. To add an affiliated entity, click on the "Add AE" button next to the beneficiary concerned.

Instructions | BE list | WP list | Lump sum breakdown | Person-months overview | Summary per WP | BE1 | Depreciation costs | Any

3 - Budget

No	Name of Beneficiary	Country	Role	Requested grant amount
1	Geonardo Environmental TechnologiesLtd	HU	Coordinator	213 375.00
2	International Iniziative For A Sustainable Built Environment Italia Research And Development Srl	IT	Partner	585 312.50
3	Felicity-tools Informatikai Szolgaltato Kft	HU	Partner	333 187.50
4	Centro De Investigaciones Estrategicas Y De Desarrollo Economico Y Social De Malaga Cledes	ES	Partner	244 042.50
5	Hochschule Fur Angewandte Wissenschaften Munchen	DE	Partner	550 000.00
6	Ceske Vysoke Uceni Technicke V Praze	CZ	Partner	362 187.50
7	University College Cork - National University Of Ireland, Cork	IE	Partner	299 375.00
8	Comune Di Torino	IT	Partner	160 312.50
9	Envirobat-bdm	FR	Partner	350 325.00
10	Granlund Oy	FI	Partner	257 550.00
Total				3 355 667.50

Evolution of your LS budget

Lump sum budget in the GA

Project: [insert number] — [insert acronym] — [insert call identifier]

EU Grants: [JUST/REC Lump Sum MGA — Multi & Mono]: V1.0 – 01.06.2021

ANNEX 2

ESTIMATED BUDGET

ANNEX 2 XXX LUMP SUM MGA — MULTI & MONO

ESTIMATED BUDGET (LUMP SUM BREAKDOWN) FOR THE ACTION

Estimated EU contribution											
Estimated eligible lump sum contributions (per work package)											Maximum grant amount ³
WP1 [name]	WP2 [name]	WP3 [name]	WP4 [name]	WP5 [name]	WP6 [name]	WP7 [name]	WP8 [name]	WP9 [name]	WP10 [name]	WP DOC	
/Lump sum contribution / Financing not linked to costs /	/Lump sum contribution / Financing not linked to costs /	/Lump sum contribution / Financing not linked to costs /	/Lump sum contribution / Financing not linked to costs /	/Lump sum contribution / Financing not linked to costs /	/Lump sum contribution / Financing not linked to costs /	/Lump sum contribution / Financing not linked to costs /	/Lump sum contribution / Financing not linked to costs /	/Lump sum contribution / Financing not linked to costs /	/Lump sum contribution / Financing not linked to costs /	/Lump sum contribution / Financing not linked to costs /	
	a	b	c	d	e	f	g	h	i	j	k
1 - [short name beneficiary]											
1.1 - [short name affiliated entity]											
2 - [short name beneficiary]											
2.1 - [short name affiliated entity]											
X - [short name associated partner]											
Total concotions											

CHANGES

- The breakdown of lump sum shares will be part of your GA – Annex 2. The submitted, detailed lump sum budget table is not part of your GA.
- Once the lump sum is fixed in the GA, **it will not be questioned**, during the implementation of the project.

Consortium Agreement

for Lump sum projects - Tips

DESCA 2.0

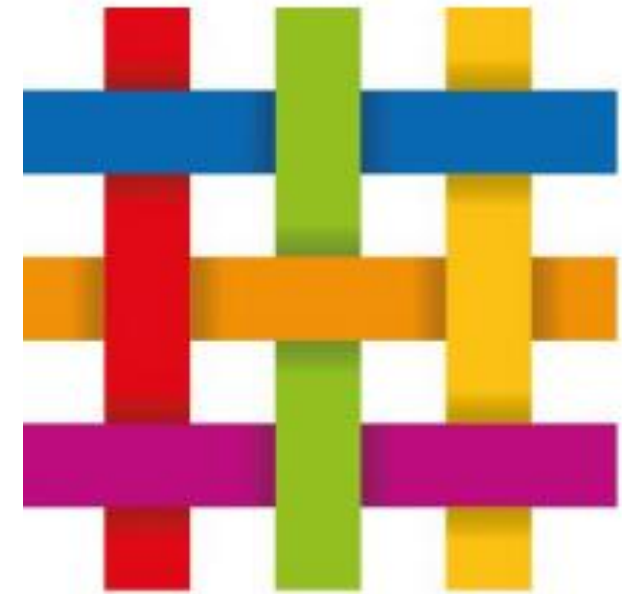
LS feedback

Consortium Agreement

February 2024

https://www.desca-agreement.eu/assets/helmholtz_gemeinschaft/user_upload/Brussels_Office/DESCA/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.



DESCA **15**
YEARS
MODEL CONSORTIUM
A G R E E M E N T

Action implementation

Non-compliance Art 11 (old 7)

SECTION 2 RULES FOR CARRYING OUT THE ACTION

ARTICLE 11 — PROPER IMPLEMENTATION OF THE ACTION

11.1 Obligation to properly implement the action

The beneficiaries must implement the action as described in Annex 1 and in compliance with the provisions of the Agreement, the call conditions and all legal obligations under applicable EU, international and national law.

11.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 28).

Such breaches may also lead to other measures described in Chapter 5.

Consortium Agreement

How to make sure that one non-performing partner does not fail the project and makes all other partners work a lot more?



DESCA for lump sum

Where should we be stricter?

- **Section 1** Definitions
- **Section 2** Purpose
- **Section 3** Entry into force, duration and termination
- **Section 4** Responsibilities of Parties
- **Section 5** Liability towards each other
- **Section 6** Governance structure
- **Section 7** Financial provisions
- **Section 8** Results
- **Section 9** Access Rights
- **Section 10** Non-disclosure of information
- **Section 11** Miscellaneous
- **Section 12** Signatures
- **Attachment 1** Background included
- **Attachment 2** Accession document
- **Attachment 3** List of Third Parties for simplified transfer according to Section 8.3.2
- **(Option) Attachment 4** Identified Affiliated Entities according to Section 9.5
- **(Option) Attachment 5** NDA for External Expert Advisory Board agreed under Section 6
- **Module GOV SP/LP**
- **Module IPR SC** Specific Software provisions

The working group provides this model Consortium Agreement as draft without assuming any warranty or responsibility. The use of the text in total or in part takes place on the users own risk and does not release users from legal examination to cover their interests and protect their rights.



for
Horizon Europe

Version 1.1, November 2022

Responsibilities of Parties

Section 4 – LS additions

4.1 General

- Each Party undertakes to take part in the efficient implementation of the Project, and to cooperate, perform and fulfil, promptly and on time, all of its obligations under the Grant Agreement and this Consortium Agreement as may be reasonably required from it and in a manner of good faith as prescribed by Belgian law.
- Each Party undertakes to notify promptly the Granting Authority, the Coordinator and the other Parties, in accordance with the governance structure of the Project, of **any significant information, fact, problem or delay likely to affect the Project and the completion of a Work Package.**
- (...)
- (...)

Responsibilities of Parties

Section 4 – LS additions

4.2 Breach

- (...) Considering the form of the grant awarded by the Funding Authority (lump sum), should a Party fail to implement its part of the Project, whether in whole or in part, whether itself or by involving a third party in the Project, such failure leading to the non-completion of one or several Work packages of the Project, said Party shall be considered in breach of this Consortium Agreement.
- If such breach is not substantial but is not remedied within that period or is not capable of remedy, the General Assembly may decide on the following consequences:
 - The Coordinator may be assigned to require fulfilling new reporting tasks or work plan related requirements from the declared Party and withhold any interim payment from the declared Party until the requirements are met.
- If such breach is substantial and is not remedied within that period or is not capable of remedy, the General Assembly may decide to declare the Party to be a Defaulting Party and to decide on the consequences thereof which may include termination of its participation.

Responsibilities of Parties

Section 4 – LS additions

4.3 Involvement of third parties

- Considering the form of the grant awarded by the Funding Authority (lump sum), should such third party fail to implement its part of the Project on behalf of the Party it's legally bound to therefore and should such failure lead to the non-completion of one or several Work packages of the Project, said Party shall be considered responsible and liable towards the others for such failure of its third party.



Responsibilities of Parties

Section 4 – LS additions

4.5 New section

- Specific responsibilities regarding reporting and implementation
- 4.5.1 Internal Progress Reports
- 4.5.2 Proper implementation – connected to 4.5.4 and 5.2
- 4.5.3 Termination Reports
- 4.5.4 Consequences of non-compliance
 - First step: General Assembly identifies a breach
 - Second step, if the breach has not been remedied: General Assembly may declare the breaching party a Defaulting Party
 - Damage can be caused e.g. if improper implementation by a Party leads to rejection or reduction of another Party's initial Lump Sum Contribution
 - Breaching Party will be liable of such damage in accordance with Section 5.2



Responsibilities of Parties

Section 4 – LS additions

4.5 Specific responsibilities regarding reporting and implementation

4.5.1 Internal Progress Reports

The Parties commit to continuously provide information on the progress of the implementation of the work packages. In particular, they shall issue an Internal Progress Report to the Work Package Leader upon request 14 days ahead of the relevant meeting of the [Module GOV SP: Work Package Leaders Group / Module GOV LP: Executive Board]. The Internal Progress Report provided should allow for an assessment of the status or completion of each work package in order to enable monitoring, e.g. through certain performance indicators as defined in Annex 1 of the Grant Agreement, if any.



Responsibilities of Parties

Section 4 – LS additions

4.5 Specific responsibilities regarding reporting and implementation

4.5.2 Proper implementation

Each Party shall perform its tasks in accordance with the Consortium Plan and contribute to the completion of the work package. If a work package cannot be completed, the Parties must collaborate to propose an amendment of the Grant Agreement for that work package via an alternative solution.

A large, bold, black number '4' is centered on a white brick wall background. The wall has a grid of rectangular bricks with visible mortar lines.

Liability towards each other

Section 5 – LS additions

NOT in DESCA 2.0

5.2 Limitations of contractual liability

Considering the form of the grant awarded by the Funding Authority (lump sum), a Party declared as a Defaulting Party in accordance with the appropriate provisions of this Consortium Agreement shall be liable to any other Party for loss of part of said grant.

For any remaining contractual liability, a Party's aggregate liability towards the other Parties collectively shall be limited to once the Party's share of the total costs of the Project as identified in Annex 2 of the Grant Agreement provided such damage was not caused by a wilful act or gross negligence.



Governance structure

Section 6 – LS additions

6.1 General structure

The **Work Package Leaders Group** is an assessment group of the Consortium without formal decision-making power. It shall assess the individual and overall implementation of the Project. – see at Section 6.5

6.3 Operational procedures for the General Assembly

- (.....) Monitoring and coordination of the work in and between WPs;
- Decisions on changes to Description of the Action and/or Budget, particularly in cases necessitated by Lump Sum circumstances
- Monitoring and evaluation of performance of the Parties;
- Decision on work package completion percentage in case of non-completion



Governance structure

Section 6 – LS additions

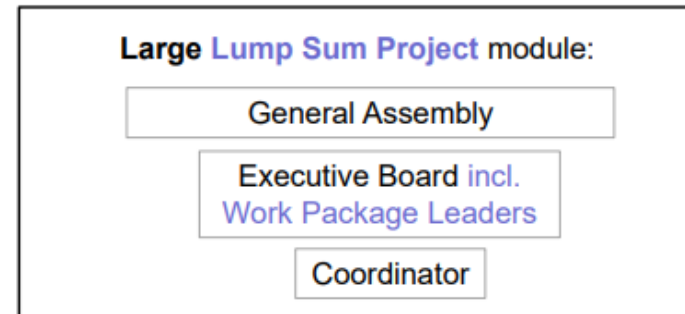
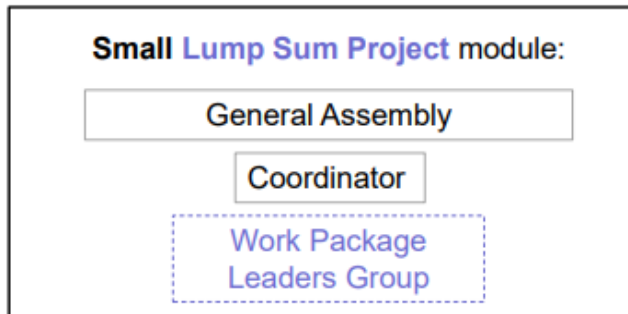
6.4 Coordinator responsibilities adapted

6.5 LS governance

WP Leader definition added

WP Leaders Group (6.5)

WPLG Meetings every three months



Financial provisions

Section 7 – LS additions

Section 1.2: New definitions

Consortium Plan

Lump sum contribution

- **Section 7.1.2: Justification of Lump Sum Contributions not based on financial reporting**

Each Party contributes with complete, reliable and true information to all reporting requirements regarding the completion of work packages and proper implementation. Moreover, adequate records and supporting documents must be provided by the Parties concerned upon request of the Granting Authority in line with the Grant Agreement. Each Party is solely liable for justifying its Lump Sum Contribution or share

- **Section 7.1.4 & 7.2.2: New control mechanisms: Excess payment clause & further prefinancing based on performance**

- **7.1.6: Adaptations due to payment on the basis of completed work packages by the Granting Authority**



Financial provisions

Section 7 – LS additions

7.1.3 Funding Principles

Each Party is entitled to its Lump Sum Contribution as approved by the Granting Authority after completion of the respective work package. For work packages not completed at the end of the Project, the Coordinator distributes to each Party only the share of Lump Sum Contribution as approved by the Granting Authority at final payment.

7.1.4 Excess payments

A Party has received excess payment

if the [Module GOV SP: Work Package Leaders Group/ Module GOV LP: Executive Board] assessed that the performance of a Party regarding the completion of one or several work packages is significantly lower than foreseen in Annex 1 of the Grant Agreement and that the Party received more funding than approved by the Granting Authority.



Financial provisions

Section 7 – LS additions

7.2 Payments

The Coordinator will transfer payments in accordance with Art. 7 and 22.1 of the Grant Agreement following this payment scheme. The initial payment will be set in the instalment table (see below) at a fixed percentage and paid accordingly. Further prefinancing instalments will be paid by the Coordinator upon positive performance assessment of internal progress reports by the [Module GOV SP: Work Package Leaders Group/ Module GOV LP: Executive Board].

As interim payments, the Parties will receive, upon receipt of the interim payment by the Coordinator, the difference between the further prefinancing instalments already received and the Lump Sum Contributions approved by the Granting Authority. The initial prefinancing will not be taken into account for this calculation and remains as a float.



Financial provisions

7.2.2 Payment schedule - examples

The amount of the pre-financing will be defined in Art. 22.1 of the GA by the Granting Authority. It will be 85% of the maximum EC contribution. 5% of the maximum grant amount, will be transferred directly by the Granting Authority to the Mutual Insurance Mechanism. So, the actual transfer will be 80%. After receiving the Pre-financing from the Granting Authority, the Coordinator will transfer the Funding to the Parties in separate instalments as agreed below:

- **60 %** On receipt of the pre-financing
- **40 %** Later, after the Coordinator has received and assessed the technical and financial input for the first internal report (for the period M1-M9) from Parties and if the reported data proves the demand for payment.

The transfer of the initial pre-financing, the additional pre-financings (if any) and interim payments to Parties will be handled in accordance with Article 22.1. and Article 7 of the Grant Agreement following this payment schedule:

Funding of costs included in the Consortium Plan will be paid by the Coordinator to the Parties after receipt of payments from the Granting Authority in separate instalments as agreed below:

- **75 %** On receipt of the pre-financing
- **Remaining 25 % of the pre-financing:** At the end of month 18 of the project, upon achievement of the Milestone M4 – e-solutions running.

Amendments vs Deviations

What can be changed?

Amendment and deviations in lump sum projects

What can be changed?

Amendments:

Lump sum grant can be amended, using the same procedure and conditions as for all other Horizon Europe grants.

Can be changed eg.:

- Changes in the work plan;
- Adding or removing beneficiaries;
- Transfer of tasks between beneficiaries;
- Changing project duration or reporting periods;
- Changes of lump sum shares;

Can not be changed eg.:

- Lump sum work packages that have already been paid

Deviations:

Can also be described in the Periodic Technical Report Part B Section 5.2 – **Simplified procedure applies.**

5.5 Budget flexibility

Budget flexibility does not apply; changes to the estimated budget (lump sum breakdown) always require an amendment (see Article 39).

Amendments for transfers between *work packages* are moreover possible only if:

- the work packages concerned are not already completed (and declared in a financial statement) and
- the transfers are justified by the technical implementation of the action.

¹² For the definition, see Article 180(2)(a) EU Financial Regulation 2018/1046: ‘**action grant**’ means an EU grant to finance “an action intended to help achieve a Union policy objective”.

¹³ See Article 125 EU Financial Regulation 2018/1046.

Payment in lump sum projects

Payments in Lump sum projects

Almost the same, except...

Pre-financing

- One pre-financing
- 5% contribution to the Mutual Insurance Mechanism will be deducted from the pre-financing
- Coordinator distributes the amount based on the provisions of the Consortium Agreement

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.



**Consortium
Agreement?**

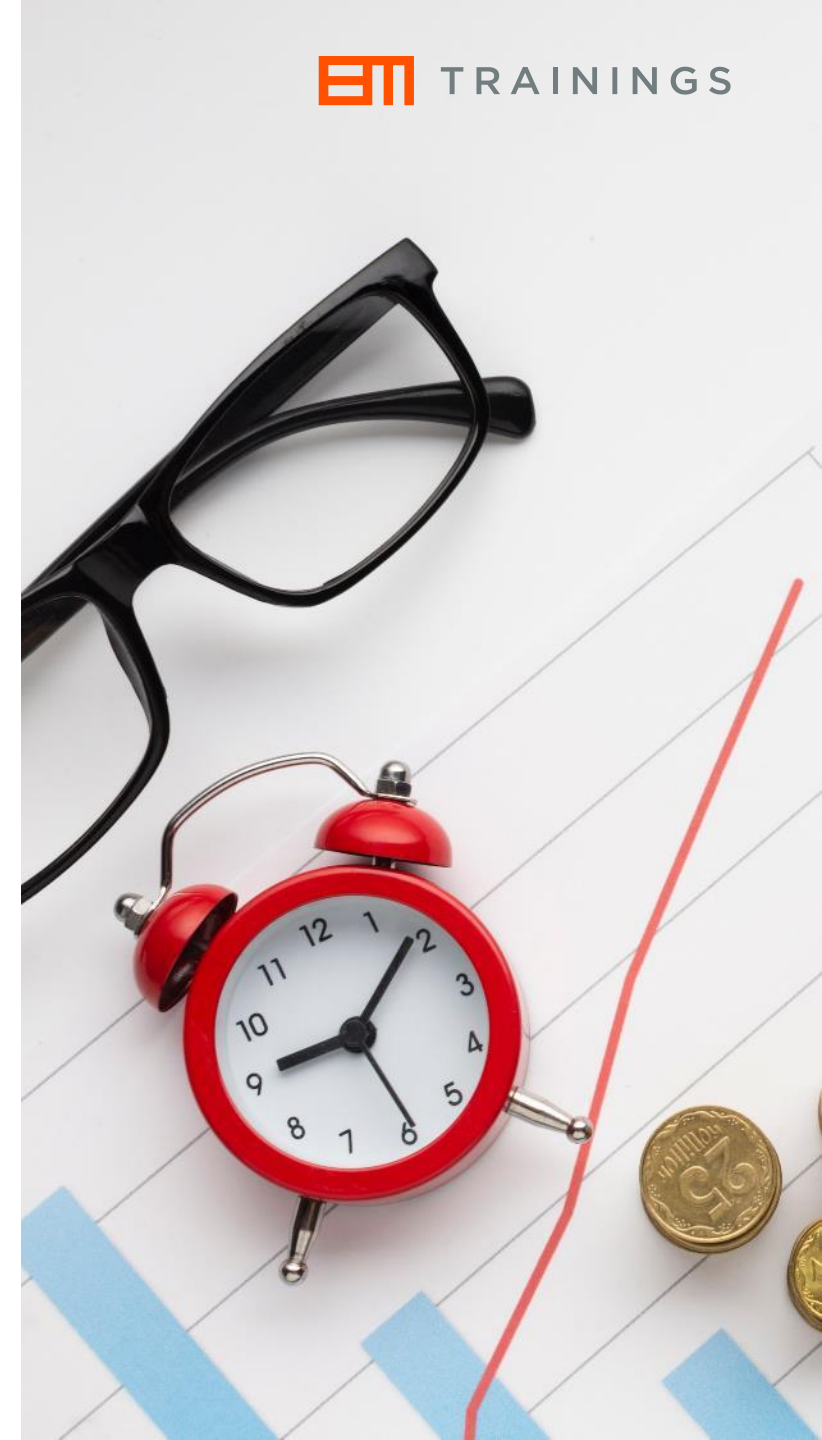


**Consortium
Agreement?**

Payments of the balance & partial payment

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



Reporting

Continuous and Periodic Reporting

Reporting obligations

of the lump sum projects

Continuous reporting

As it is in any other Horizon Europe grants

Periodic reporting

Consist 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 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

- **Financial statements** (individual and consolidated)
- Explanation of **expenses** and information on **cash** and in-kind contributions
- **Certificate of statements** (CFS), **cash flow statement** (CFS) and **balance sheet** (BS) should be reached **within 60 days** as PL

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 a user profile for 'Generic DEVUSERCOORDINATOR'. A navigation menu on the left lists 'MY PROJECT', 'Latest Legal Data', 'Active Processes', 'Document Library', 'Communication Centre', and 'Archived Processes'. The main content area is divided into two sections:

- Periodic Reporting and Payment - Lump Sums:** REP-237556-1 - period 01/03/2021 > 28/02/2022. The progress bar shows 'Draft' (01 Mar 2022), 'Submitted', 'Observations', and 'Paid'. Below this are tasks for 'Technical Part contribution' (locking...), 'Status of Work Packages contribution' (Lock & Include), and 'Periodic Report composition' (Submit to EU). A 'Process documents' section is also visible.
- Continuous Reporting:** 237556 - 237556 SURDULI - SURDU Liviu-Iulian [ABAC: ABACBUDT]. The progress bar shows 'Started' (01 Mar 2022) and 'Completed'. Below this are tasks for 'Continuous reporting data' and a 'Process documents' section.

Status of the Work Packages

Periodic reporting

Grant Management Project Periodic Report ndevugen (EXTERNAL) ?

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

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

Status of completion 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

- Completion of the work packages are based on the completion of the activities and not on a 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. For example, you can propose a feasible alternative to the initial WP description, based on equivalent work that can be carried out.



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 +

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

01 Mar 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

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

11 Jul 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

MODEL FOR THE FINANCIAL STATEMENTS

ANNEX 4 XXX LUMP SUM MGA – MULTI & MONO

FINANCIAL STATEMENT FOR THE ACTION FOR REPORTING PERIOD [NUMBER]

EU contribution												Requested EU contribution
Eligible lump sum contributions (per work package)												
WP1 [name]	WP2 [name]	WP3 [name]	WP4 [name]	WP5 [name]	WP6 [name]	WP7 [name]	WP8 [name]	WP9 [name]	WP10 [name]	WP [XX]		
Forms of funding	/ Lump sum contribution / Financing not linked to costs /	/ Lump sum contribution / Financing not linked to costs /	/ Lump sum contribution / Financing not linked to costs /	/ Lump sum contribution / Financing not linked to costs /	/ Lump sum contribution / Financing not linked to costs /	/ Lump sum contribution / Financing not linked to costs /	/ Lump sum contribution / Financing not linked to costs /	/ Lump sum contribution / Financing not linked to costs /	/ Lump sum contribution / Financing not linked to costs /	/ Lump sum contribution / Financing not linked to costs /	/ Lump sum contribution / Financing not linked to costs /	
Status of completion	COMPLETED	COMPLETED	COMPLETED	COMPLETED	COMPLETED	COMPLETED	COMPLETED	PARTIALLY COMPLETED	PARTIALLY COMPLETED	COMPLETED	NOT COMPLETED	
	a	b	c	d	e	f	g	h	i	j	k	$l = a + b + c + d + e + f + g + h + i + j + k$
1 - [short name beneficiary]												
1.1 - [short name affiliated entity]												
2 - [short name beneficiary]												
2.1 - [short name affiliated entity]												
X - [short name associated partner]												
Total consortium												

Grant Management Project Periodic Report

220021057 (220021057 SURDU..) ESF-LS

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

Project Summary, Deliverables, Milestones, Critical Risks, Disseminati... Activities, Events and Trainings, Communic... Activities, Tech. Report (Part B), Financial Statements, Status Of WP, Financial support to 3rd parties

Partners Financial Report

Number	Role	Short Name	Legal Name	Country	PIC	Status
1	CO	AST GmbH	AST-ADVANCED SPACE TECHNOLOGIES GMBH	DE	973276467	Draft
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).



Keeping records

Keeping records

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

You need (e.g.)	You don't need
<input type="checkbox"/> Technical documents	<input type="checkbox"/> Time-sheets
<input type="checkbox"/> Publications, prototypes, deliverables	<input type="checkbox"/> Pay-slips or contracts
<input type="checkbox"/> Documentation required by good research practices such as lab books	<input type="checkbox"/> Depreciation policy
<input type="checkbox"/> ...any document proving that the work was done as detailed in Annex 1	<input type="checkbox"/> Invoices
	<input type="checkbox"/> ...any documents proving the actual costs incurred
<p><i>Same as for all Horizon Europe grants</i></p>	

What if?

- lump sum project is not your only project
- if you have both a running action 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 an action 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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