



Praktiske nyheter i Horisont Europa 2023

Lump Sum & Blind Evaluation





Lump Sum

Hva er Lump Sum? Kort sagt

- Utarbeid detaljert budsjett for hele prosjektet allerede i søknadsfasen
- Utbetaling basert på gjennomførte arbeidspakker
- Ingen rapportering av faktiske kostnader
- Ingen finansiell revisjon av prosjektet

Writing a lump sum proposal

- To write a lump sum proposal, you:
 - Use the standard Horizon Europe application form
 - Present the objectives and methodology of your project and address the expected outcomes and impacts as in any Horizon Europe proposal
 - Describe in detail the activities covered by each work package.
- To define and justify the lump sum, you need to provide a **detailed budget table** with cost estimations.
- The detailed budget table is an **Excel file**. You must download it from the online submission system, fill it and submit it as an annex to the Part B of your application form.

Writing a lump sum proposal

- In this detailed budget table, you provide **cost estimations for each cost category** per beneficiary (and affiliated entity if any) and per work package.
- The cost estimations must be an **approximation of your actual costs**. They:
 - are subject to the same eligibility rules as in actual costs grants
 - must be in line with your normal practices
 - must be reasonable / non-excessive
 - must be in line with and necessary for your proposed activities.
- The cost estimations are used to generate in the detailed budget table a **breakdown of lump sum shares** per work package and per participant.
- Details and instructions on how to fill in the lump sum detailed budget table are provided in the [Funding & Tenders portal](#).

Project design – Work packages

Work package distribution



As many as needed but no more than what is manageable

A work package (WP) is a major sub-division of the work plan of your project.

- A single activity is not a WP
- A single task is not a WP
- A % of progress is not a WP (e.g. 50 % of the tests)
- A lapse of time is generally not a WP (e.g. activities of year 1)

Work packages with a long duration may be split along the reporting periods (e.g., Management, Dissemination and Exploitation, etc.). In this way, the relevant activities can be paid at the end of the reporting period.

Evaluation of a lump sum proposal

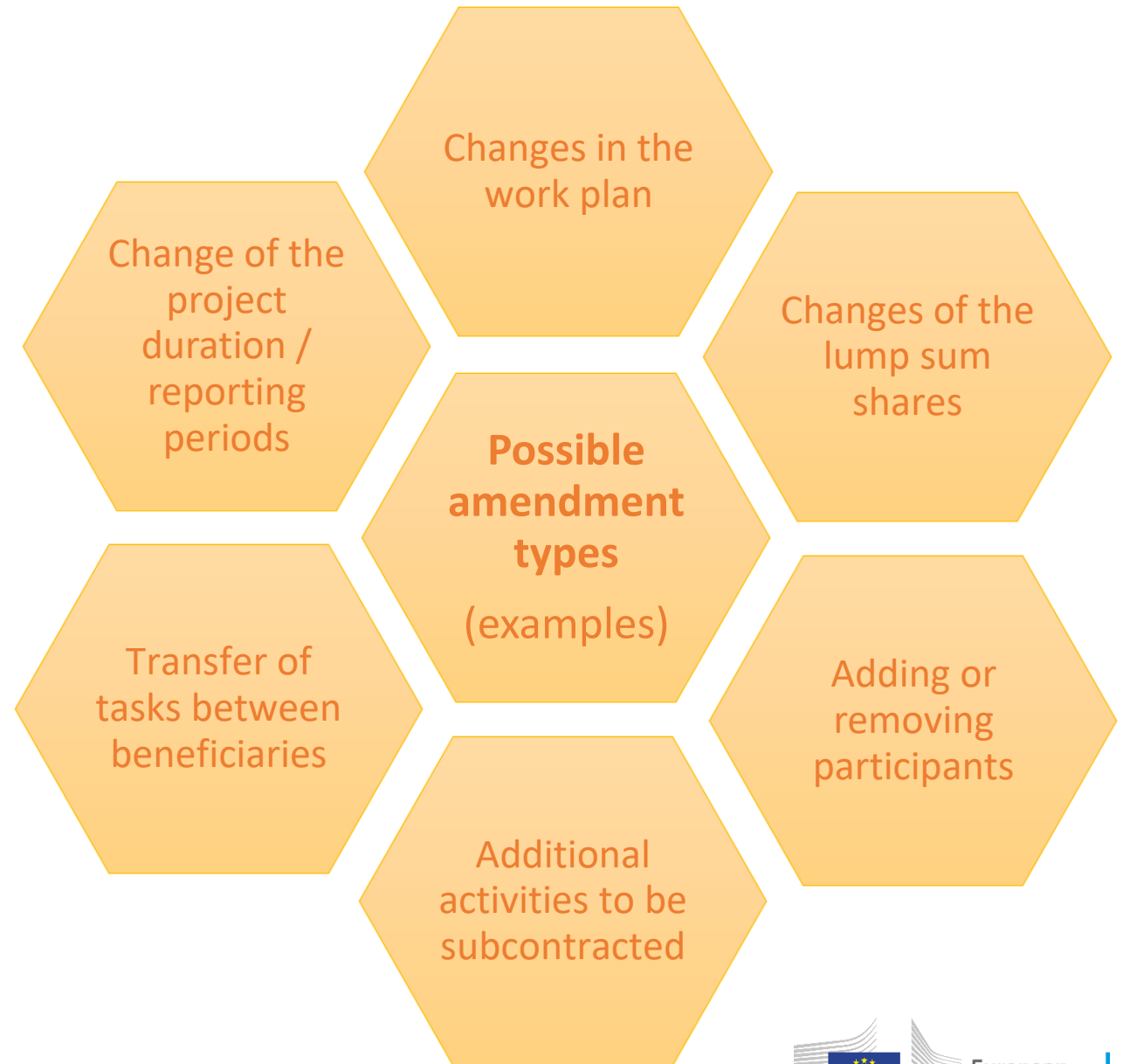
- Your proposal will be evaluated by independent experts against the **standard evaluation criteria**: excellence, impact, and implementation.
- The cost estimations will be assessed against the proposed activities under the **implementation** criterion.
- Experts will:
 - ensure that the cost estimations are **reasonable and non-excessive**
 - evaluate whether the proposed resources and the split of the lump sum **allow completing the activities described in the proposal**.
- If the experts find overestimated costs, they make **concrete recommendations** on the budget that are recorded in the Evaluation Summary Report. This will be reflected in a modified lump sum amount in the grant agreement.
- Cost estimations that are clearly overestimated or underestimated lead to a **decreased score** under the implementation criterion.

Grant preparation

- We follow the **standard process to prepare the grant agreement**.
- The grant agreement for your project will be based on the [Model Grant Agreement for lump sum grants](#).
- The **'no negotiation' principle** applies. The grant agreement is prepared on the basis of the proposal you submitted. However, some changes might be necessary:
 - correcting obvious errors and inconsistencies
 - other changes necessary to comply with applicable rules
 - adjustment of the lump sum to the amount specified in the Evaluation Result Letter
- The **breakdown of lump sum shares per beneficiary and per work package** is included in the grant agreement as Annex 2. The submitted detailed lump sum budget table is not part of the lump sum grant agreement.
- Once the lump sum is fixed in the grant agreement, **it will not be questioned** if the prices for goods or services change later on.

Amendments

- Lump sum grants **can be amended**.
- **Same procedure and conditions** as for all Horizon grants.
- Lump sum work packages that have already been paid **cannot be amended**.
- A **technical review** is needed to amend Horizon 2020 lump sum grants (no longer needed under Horizon Europe).
- **Deviations** from the work plan can also be flagged in the periodic report (**simplified procedure**).



Acceptance of work packages

- Work packages are **accepted if the activities have been carried out**. We can also accept them when all essential tasks have been completed, when equivalent tasks have been carried out, or when deviations have been justified.
- **Lump sum projects can be amended** according to scientific-technical needs (or deviations can be justified in the reports). Use these mechanisms to make completion of work packages feasible.
- Before a lump sum work package (that you declared completed) is rejected as incomplete, you are invited to **respond to the observations of the project officer**.
- If the rejection is upheld the lump sum share concerned is not paid at that point in time. You should **complete the work package later** and declare it at the end of any subsequent reporting period.
- If it is not possible to complete a work package by the end of the project (e.g., for technical reasons or due to force majeure), the **lump sum is paid partially** in line with the degree of completion. The decision on the partial amount is taken on a case-by-case basis. You will be able to provide observations.

Ex-post controls

Checks, reviews and audits for:



Proper implementation of the action (e.g. technical review)



Compliance with the other non-financial obligations of the grant, e.g.



IPR obligations

Ethics and integrity

Open science

Dissemination

Etc.



No financial checks, reviews and audits by EU services

Resources available

One dedicated [lump sum page](#) on the Funding & Tenders Portal with:

Guidance documents

- [What do I need to know? & Quick guide](#)
- [Frequently asked questions](#)
- [Detailed guidance for participants](#)
- [Lump sum briefing slides for experts](#)

Reference documents

- [Model Grant Agreement Lump Sum](#)
- [Decision authorising the use of lump sum contributions under the Horizon Europe Programme](#)

Studies

- [European Commission assessment](#) (October 2021)
- [European Parliament \(STOA\) study on lump sums in Horizon 2020](#) (May 2022)

Events

- Future events
- Past events and recordings

Funding opportunities

- List of Horizon Europe topics using lump sum funding





Blind Evaluation



Pilot on Blind evaluation

- In HE WP 2023-2024, all two-stage calls will be evaluated blindly, except one call for Widening (legal basis on article 28 of HE Regulation)
- With this pilot we want to tackle some understandable concerns that the evaluation process could be **perceived** as biased towards well-known organisations in countries with better performing Research and Innovation systems (a recent independent study has not revealed such a bias).
- The pilot aims to identify whether the **implementation** of blind evaluation within our legal requirements and operational context creates any difficulties. If this is not the case, it might lead to a modified approach, with a greater use of blind evaluations, which could effectively mitigate the risk of **real, potential or perceived reputational bias**.

Article 28

Award criteria and selection

1. A proposal shall be evaluated on the basis of the following award criteria:
 - (a) excellence;
 - (b) impact;
 - (c) quality and efficiency of the implementation.
2. Only the criterion referred to in point (a) of paragraph 1 shall apply to proposals for ERC frontier research actions.
3. The work programme shall lay down further details concerning the application of the award criteria laid down in paragraph 1 including any weighting, thresholds and where relevant rules for dealing with *ex aequo* proposals, taking into consideration the objectives of the call for proposals. The conditions for dealing with *ex aequo* proposals may include, but shall not be limited to, the following criteria: SMEs, gender, and geographical diversity.
4. The Commission and other funding bodies shall take into account the possibility of a two-stage submission and evaluation procedure and where appropriate, **anonymised proposals** may be evaluated during the **first stage of evaluation** based on one or more of the award criteria referred to in paragraph 1.



Key facts

- It will be launched in the WP 2023-24
- **All two-stage calls** in 2023 and 2024 should take part in the pilot (except justified cases)
- It will only concern the **first stage application** of two-stage calls
- **NEW admissibility criterion:** Applicants submitting a proposal under the blind evaluation pilot must not disclose their **organisation names, acronyms, logos nor names of personnel** in Part B of their first-stage application.



No identification data can be mentioned by applicants in the proposal's **Part B**, otherwise **inadmissible proposal**



Important to know

- Difference between clearly inadmissible proposals and 'grey-zone' cases, which will be evaluated on a case-by-case basis with the help of the legal team.
- We expect that there will be admissible proposals where the evaluator could guess the identity of the applicant regardless (e.g., small research community). We plan to track those cases and examine to what extent true blind evaluations were possible.
- Mention of country of the applicant does not necessarily mean that a proposal will be deemed inadmissible. However, in case the applicant is clearly identifiable, the proposal will be inadmissible.
- Proposals with blacked out names and information are not preferred but accepted.
- We will also consider the intentionality behind the exposure of identity.
- The application form template was annotated with more guidance for the applicants regarding the blind evaluation process.



Questions from events

- *How can experts assess the capacity of the partners to perform the work proposed (implementation)?*
Only excellence and part of the impact are evaluated in first-stage proposals, we do not evaluate implementation at this stage.
- *How can applicants support the state of the art or TRL of a proposal without citing their own publications or projects?*
Applicants cannot mention these publications as theirs, but they can mention them from a neutral point of view.
- *Can we mention governmental bodies by name in a blind evaluation proposal?*
If they are beneficiaries, then not. The consortium structure cannot be mentioned in the first stage application. The consortium will be revealed in the second stage application, as the second stage is not evaluated blindly.
- *How to manage if we have to mention the location of a pilot plot or type of farm, or a climatic area?*
This could be mentioned (especially when the topic description requires it), as the applicant does not necessarily have to be from this area.



How to insert references to publications

The proposal can include references to participants' own publications if there is **no emphasis** that the publication is authored by one or more of the proposers.

For example, the following statement will **not be admissible**:

'For climate impact, we will use greenhouse gas emission intensities, following a methodology developed previously by a project partner (Dalin et al.)'

but the following would be ok:

'For climate impact, we will use greenhouse gas emission intensities, following the methodology described in Dalin et al.'



Examples of statements resulting in inadmissible proposals

- ‘Most of project’s participants have been involved in the previous H2020 project, NANOCOM...’
- ‘For climate impact, we will use greenhouse gas emission intensities, following a methodology developed previously by a project partner (Dalin et al.)’
- ‘This task in WP3 will be based on outputs generated by some participants of the consortium’, (with in the footnote a link to a YouTube video or webpage where participants can be identified)
- ‘The consortium includes the largest research institute in France’
- ‘Partner 3 is the leading company in Spain for wind turbine installation’



Examples of statements resulting in inadmissible proposals

- ‘Our current research expands our previous findings described in a recently published article (Wiliam et al, 2022)’
- ‘The consortium consists of leaders in the high tech industry, including the biggest in terms of capital constructor of micro chips’
- ‘The coordinator organisation was the one who first introduced the concept of m-RNA in vaccines’
- ‘The consortium consists of 2 research centres (including an international one based in Geneva) and the oldest university in Belgium’