

# Lump sum applications in Horizon Europe: challenges and opportunities

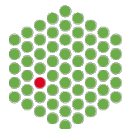
Capacity Building Event for Research Managers & Administrators

**Virginia Otón García**

Head of Grants Services

24 March 2023

EMBL



1. European Molecular Biology Laboratory (EMBL)
2. Research Funding at EMBL
3. EMBL participation in lump sum funding

The background features a close-up of a cell, likely a yeast cell, with a prominent nucleus. The image is overlaid with a digital aesthetic, including glowing blue and green lines that resemble neural connections or data pathways. A semi-transparent white box is positioned in the upper left quadrant, containing a green square with the number '1' and a white box with the text 'European Molecular Biology Laboratory (EMBL)'.

1

European Molecular Biology  
Laboratory (EMBL)

# EMBL member states

## Member states (28)

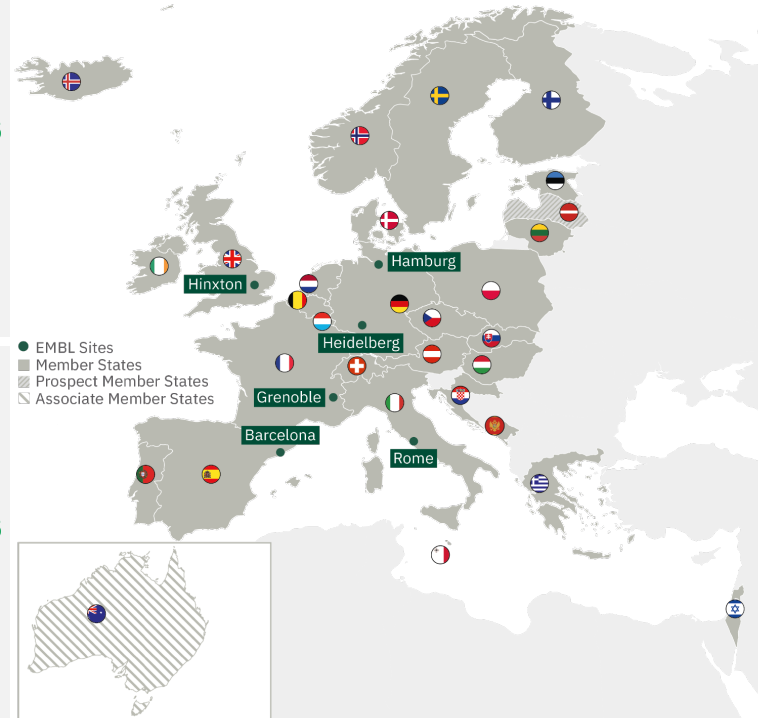
|                     |                     |
|---------------------|---------------------|
| Austria 1974        | Belgium 1990        |
| Denmark 1974        | Portugal 1998       |
| France 1974         | Ireland 2003        |
| Germany 1974        | Iceland 2005        |
| Israel 1974         | Croatia 2006        |
| Italy 1974          | Luxembourg 2007     |
| Netherlands 1974    | Czech Republic 2014 |
| Sweden 1974         | Malta 2016          |
| Switzerland 1974    | Hungary 2017        |
| United Kingdom 1974 | Slovakia 2018       |
| Finland 1984        | Montenegro 2018     |
| Greece 1984         | Lithuania 2019      |
| Norway 1985         | Poland 2019         |
| Spain 1986          | Estonia 2023        |

## Associate member states

Australia 2008

## Prospect member states

Latvia



# Six sites with 1900 people and 98 nationalities



**EMBL-EBI**

Bioinformatics



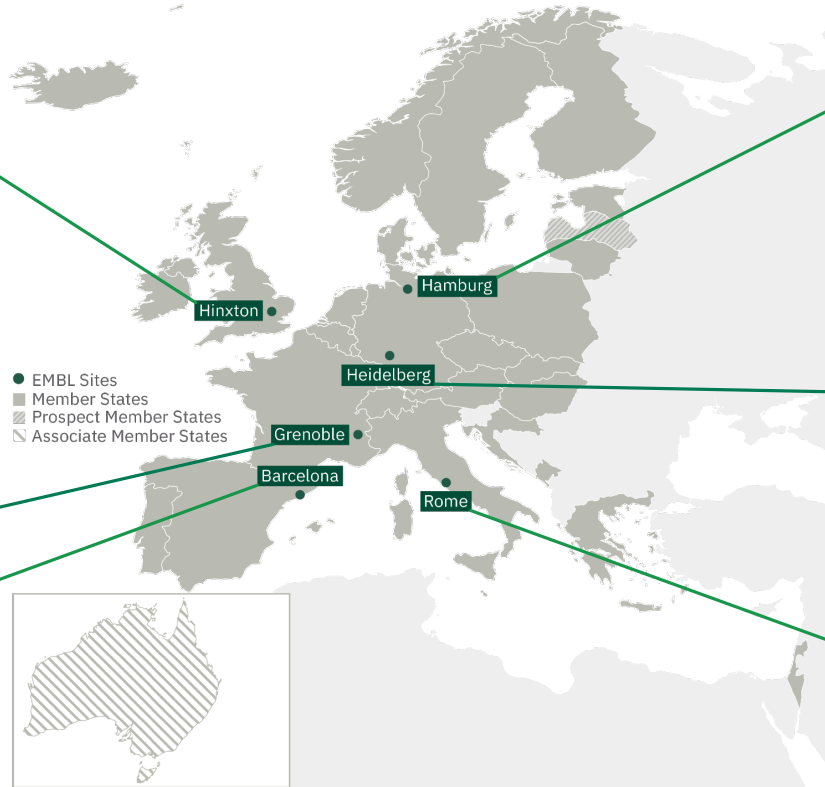
**Grenoble**

Structural biology



**Barcelona**

Tissue biology  
and disease  
modelling



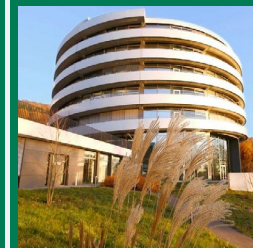
**Hamburg**

Structural biology



**Heidelberg**

Life sciences



**Rome**

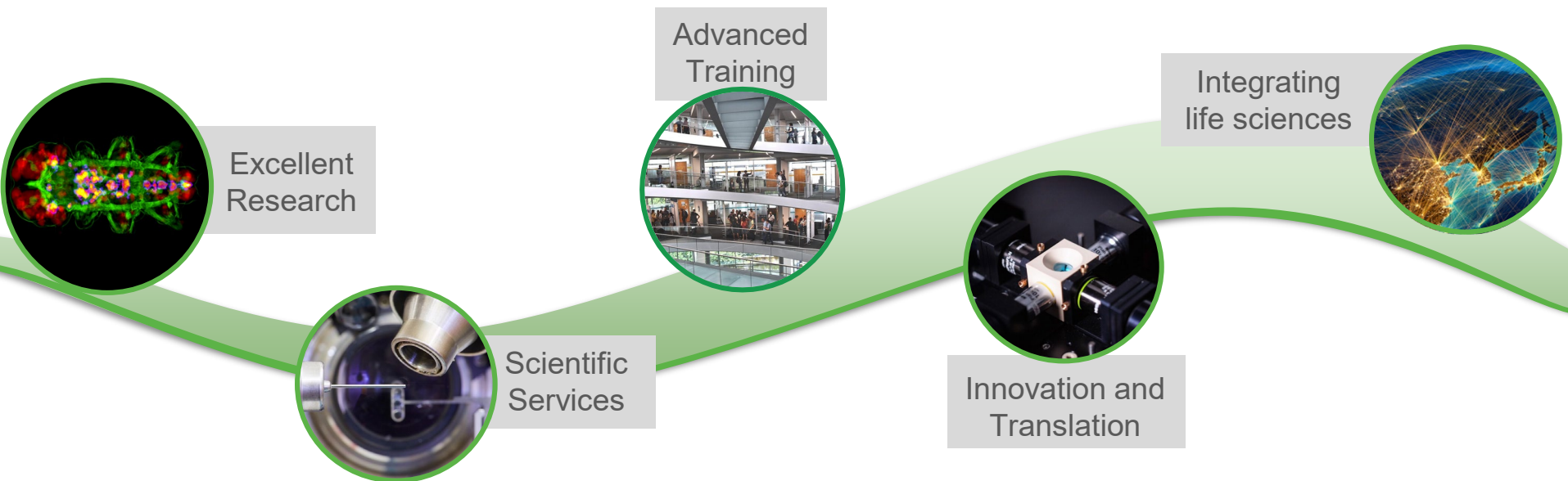
Epigenetics  
and neurobiology





# European Molecular Biology Laboratory (EMBL)

Europe's only intergovernmental laboratory for life science research



**1900**  
people

**98**  
nationalities

**28**  
member states

**800**  
publications

**107 million**  
daily web requests to  
EMBL-EBI data services

**3700**  
annual users of  
experimental services

2021 metrics shown

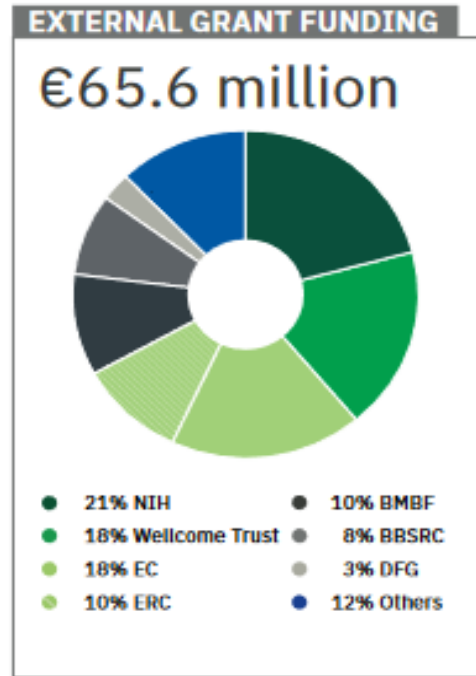
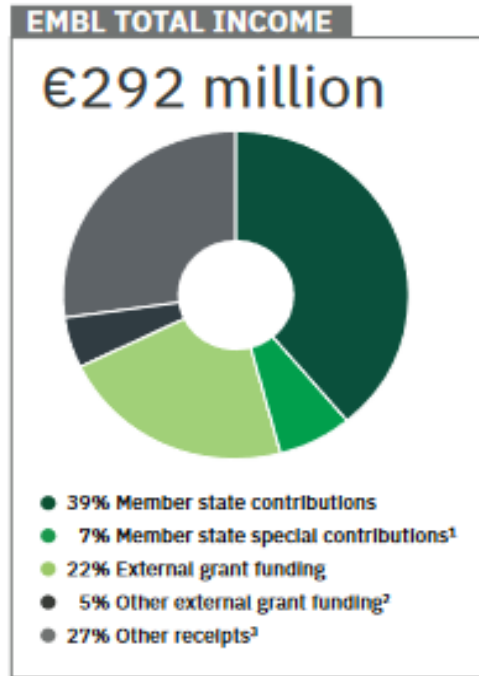
A microscopic image showing numerous cells, likely yeast or bacteria, with bright green and red fluorescent spots distributed across their surfaces. The background is dark, making the glowing cells stand out.

**2**

Research funding at EMBL

# EMBL funding structure

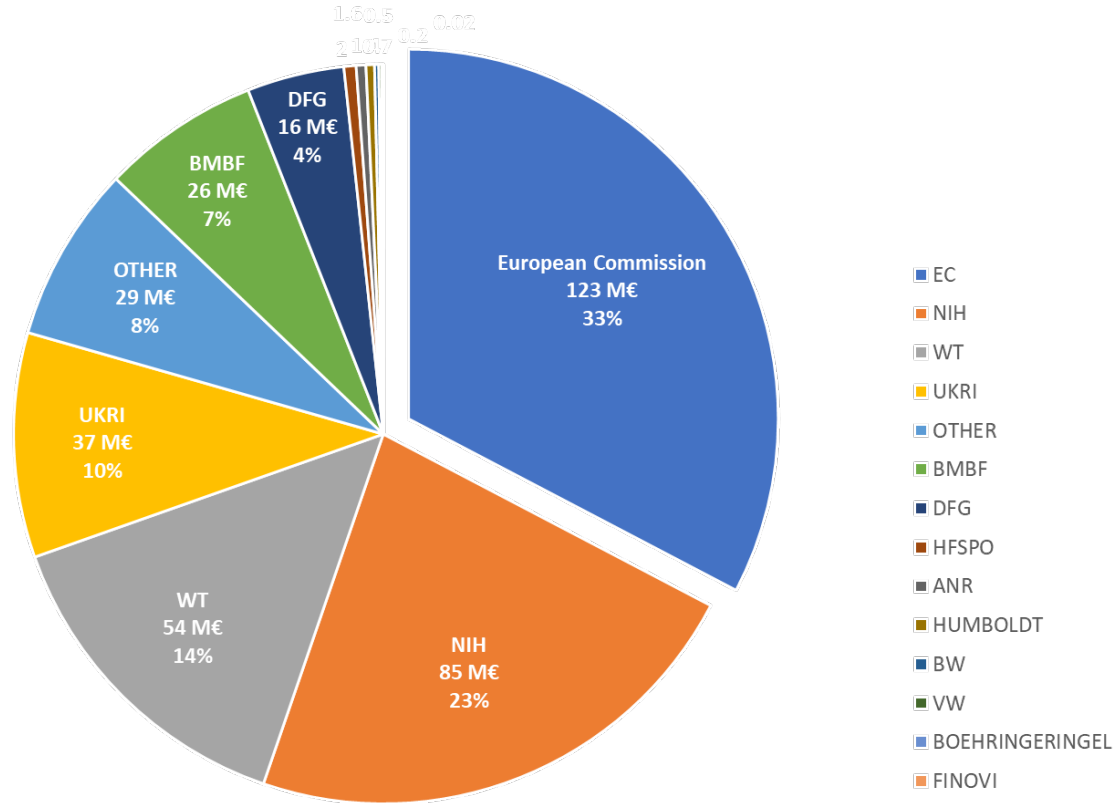
- From annual report 2021



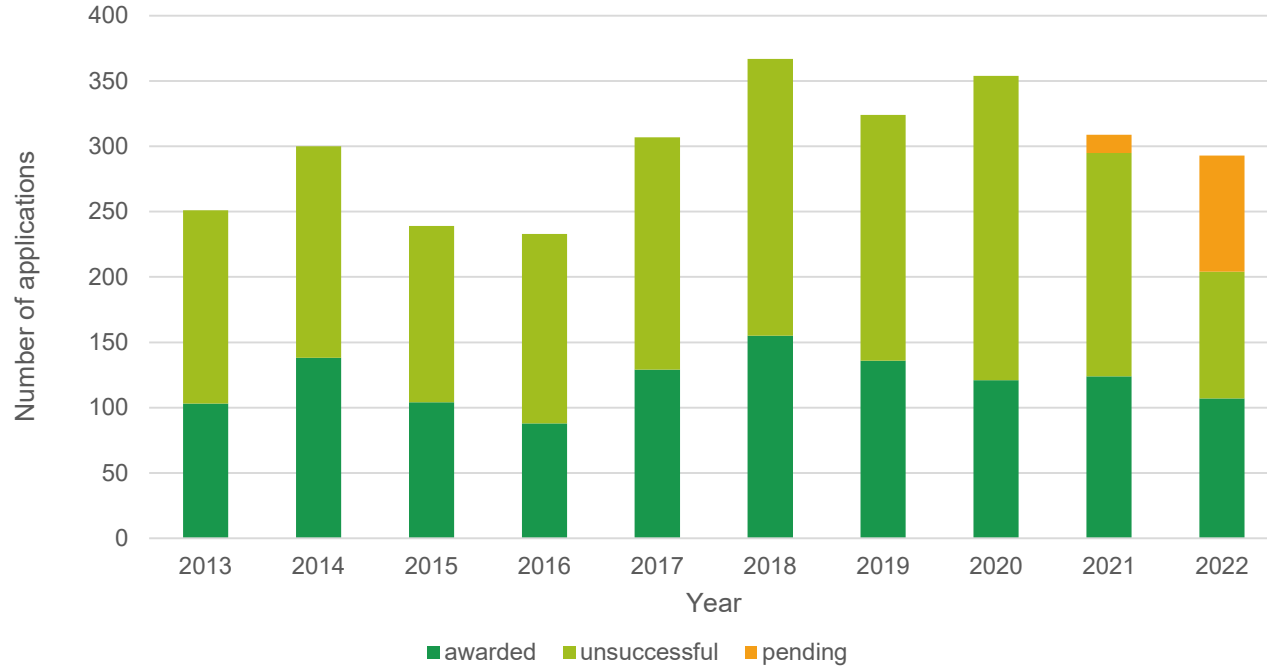


# EMBL major external funders in 2021

EMBL  
Grant income  
by funder



# EMBL grant applications

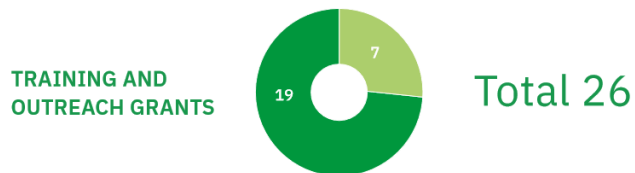
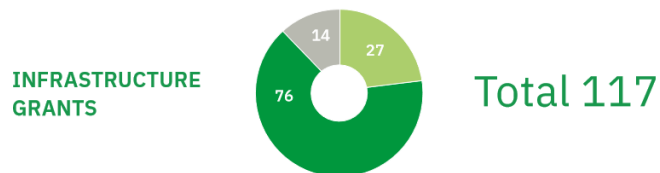
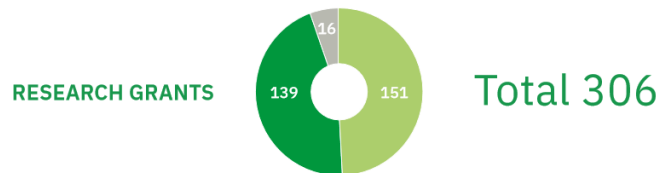


# Type of active grants at EMBL (all funders)

Annual Report  
2021

## GRANTS IN NUMBERS

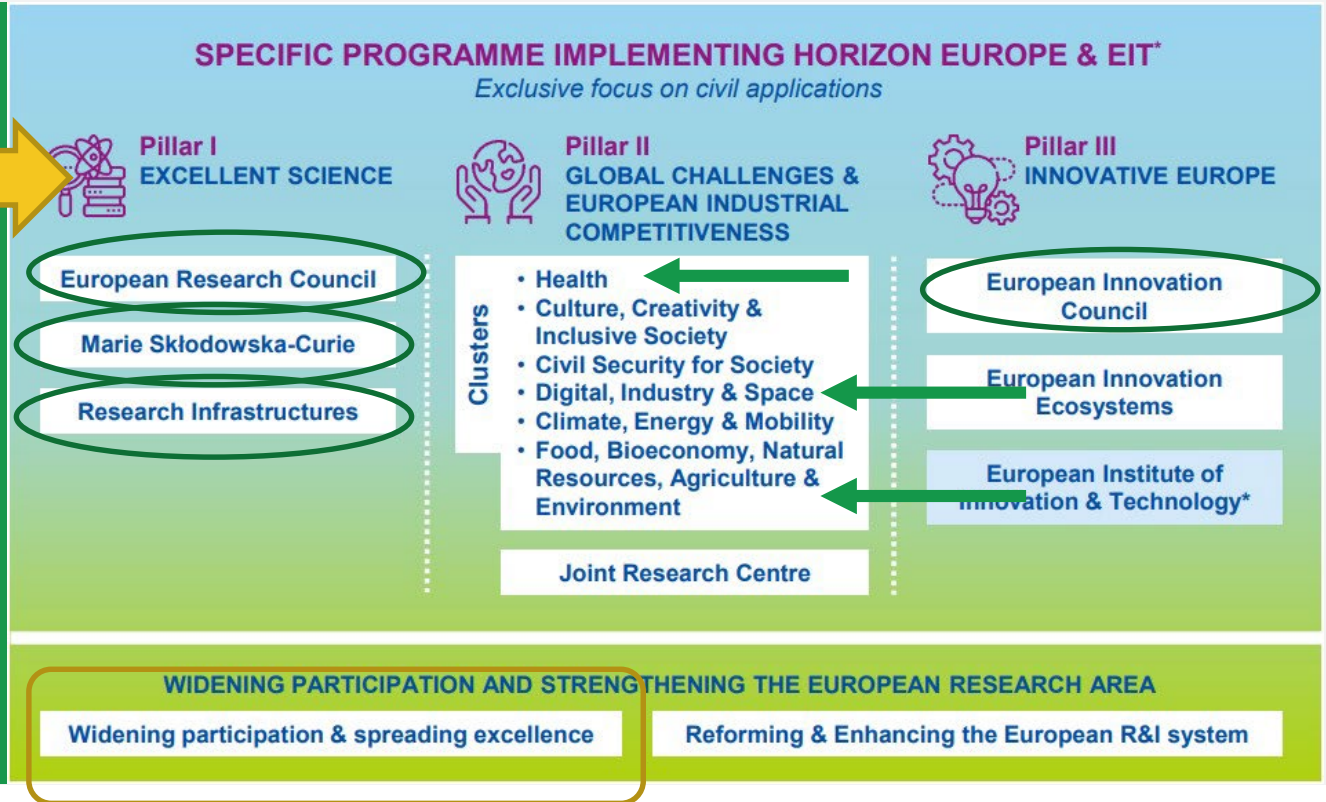
External grants support a large proportion of EMBL's research, technical and service infrastructure, and training and outreach activities. These active grants complement EMBL's member state funding, enabling it to support the activities of scientists at EMBL, in EMBL member states, and beyond.



● EMBL ● EMBL in collaboration with organisations in member or associate member states ● EMBL in collaboration with organisations in non-member states

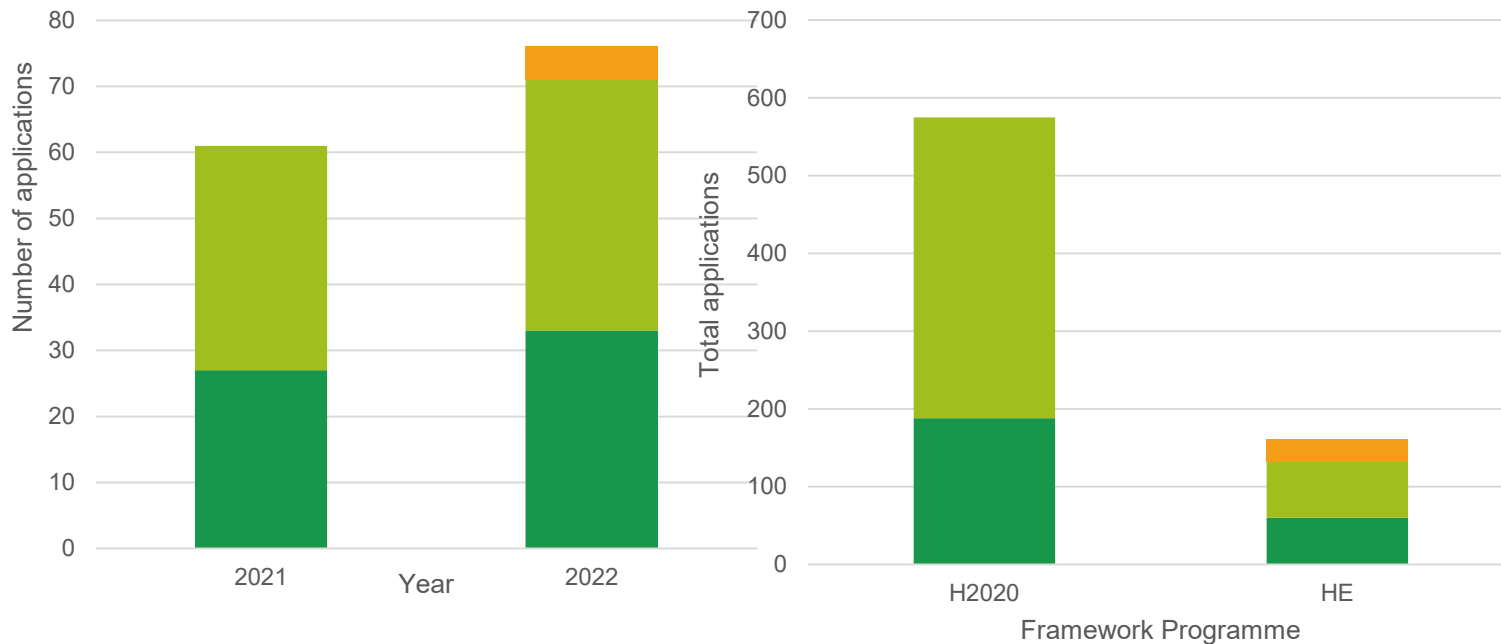
# EMBL participation in Horizon Europe

- Strong participation in Pillar I (72%)
- Also projects in Pillars II (9%) and III (7%)
- Commitment to Widening activities (6%), Missions, other



# EMBL participation in EC projects

Proposals per call year (2021 and 2022) and Framework Programme

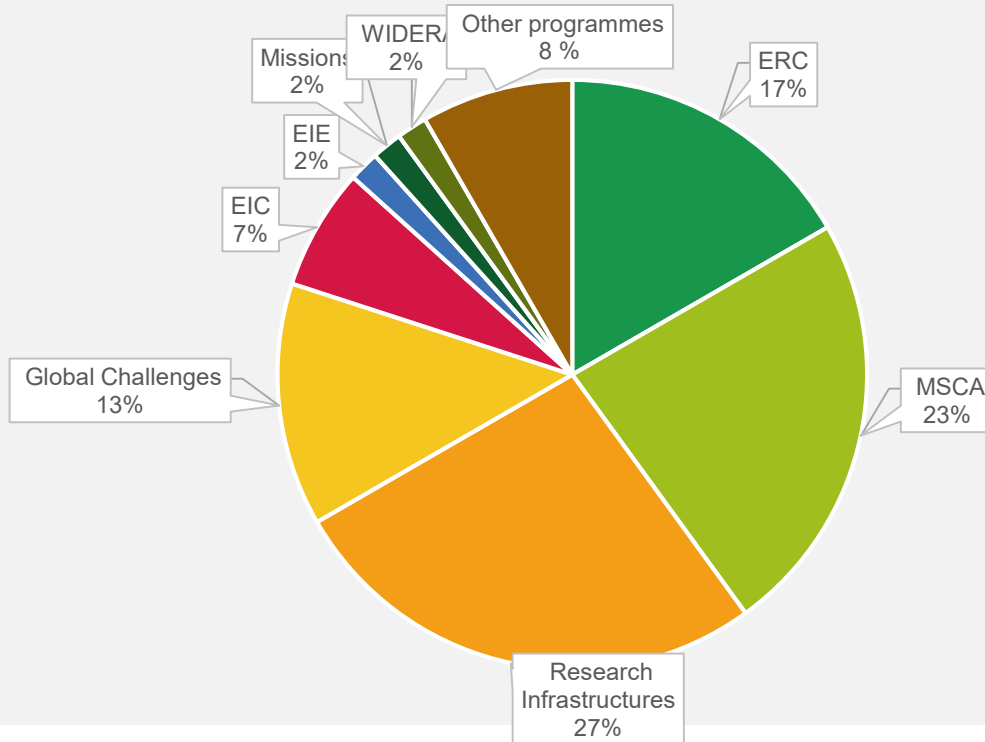


■ Awarded ■ Unsuccessful ■ Pending



# Horizon Europe applications and grants

## HE Awarded grants



Submitted proposals

161

Awarded grants

60

3

## EMBL participation in Lump Sum funding



# EMBL participation in lump sum funding

- [ERC-2022-POC](#) – first report in first half 2024
- HORIZON-INFRA-2023-EOSC-01-06 (Coordinator)
- HORIZON-INFRA-2023-TECH-01-01 (x2)
- HORIZON-INFRA-2023-DEV-01-04 (x2)
- HORIZON-INFRA-2023-DEV-01-06
- HORIZON-INFRA-2023-DEV-01-07

Submitted proposals

8

Running grants

1

# Feedback at application stage

## Positive

- Straightforward
- Very **detailed** template for costing (better planning)
- Tables **clearly organized** to facilitate effort identification and contribution of partners per WP

## Negative

- Unclear terminology, such as **unit definition**.
- Evaluators will assess budget
- Need for **more WP** and clear deliverables
- **Technical** difficulties, mostly with excel sheet (password requests, table crashes and data loss, low transferability...)

# Key points at implementation

## Positive

- **Expecting more flexibility** in the use of funds in the implementation phase
- Tables **clearly organized** to facilitate effort identification and contribution of partners per WP
- High pre-financing
- “Automated” financial report

## Negative

- Potential difficulties is sharing budget and tasks with other partner (amendments)
- **Payment** only after completion of WP (or at the end of the project)
- **Communication** to PIs – less requirements by EC but EMBL internal policies



# Opportunities and challenges for institutions

| Opportunities                               | Challenges  |
|---|---|
| Easier for newcomers, smaller organisations | H2020, HORIZON and HORIZON lump sum grants simultaneously |
| Simplified financial planning               | Different income recognition and reporting                |
| Less errors in financial reporting          | Difficulties in non-financial record keeping              |
| Cost savings (no CFS)                       |   |

# Change of focus



From financial management

to

implementation

Internal controls  
Established processes  
Clear ownership and responsibilities  
Reimbursement based on expenditure

Good scientific practices (lab books...)  
Publications  
Visibility of the action  
Reimbursement based on work  
accomplishments

# Internal processes will be kept

## 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

Time recording

Financial records for cost eligibility

*“You have no contractual obligation to keep financial records for the project. There is no reporting of actual costs or of resources.”*

Project monitoring

# Open questions: post-award reporting

- Non-financial nature of the financial statements
- Record-keeping
- Technical audits / reviews

ANNEX 4 XXX LUMP SUM MGA — MULTI & MONO

Associated with document Ref. Ares(2022)6742607 - 30/09/2022

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 [X]   |  |   |
| 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]               |  |  |  |  |  |  |  |  |  |  |  |   |
| 4 - [short name associated partner]                |  |  |  |  |  |  |  |  |  |  |  |   |
| Total consortium                                   |  |  |  |  |  |  |  |  |  |  |  |   |

# Open questions: Consortium Agreement

- Pre-financing distribution
- Responsibilities clearly outlined in CA
  - per Partner & WP
  - by budget & output (contribution to the overall project)





# Thank you!



**SymbNET**



The project SymbNET has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement N° 952537.

**EMBL**

